AGENDA

Thursday, May 07, 2020
9:00 a.m.

This meeting is being held in accordance with the Brown Act as it is currently in effect under the State Emergency Services Act, the Governor’s Emergency Declaration related to COVID-19, and the Governor’s Executive Order N-29-20, issued on March 17, 2020 which allows legislative bodies to meet by teleconference. The full executive order can be found here.

Members of the public may not attend this meeting in person. Comments and questions may be shared with the Commission through teleconference audio in real time, or by prior written submission to info@sccrtc.org.

NOTE: Teleconference
Community TV ZOOM
WEB: https://zoom.us/j/85790789656
Dial-in number (US): +1-669-900-6833
Conference ID: 85790789656

NOTE
See the last page for details about access for people with disabilities, translation services, and meeting broadcasts.

En Español
Para información sobre servicios de traducción al español, diríjase a la última página.

AGENDAS ONLINE
To receive email notification when the RTC meeting agenda packet is posted on our website, please call (831) 460-3200 or visit sccrtc.org/about/esubscriptions/
COMMISSION MEMBERSHIP

Caltrans (ex-officio) Tim Gubbins
City of Capitola Jacques Bertrand
City of Santa Cruz Sandy Brown
City of Scotts Valley Randy Johnson
City of Watsonville Trina Coffman-Gomez
County of Santa Cruz Greg Caput
County of Santa Cruz Ryan Coonerty
County of Santa Cruz Zach Friend
County of Santa Cruz John Leopold
County of Santa Cruz Bruce McPherson
Santa Cruz Metropolitan Transit District Ed Bottorff
Santa Cruz Metropolitan Transit District Aurelio Gonzalez
Santa Cruz Metropolitan Transit District Mike Rotkin

The majority of the Commission constitutes a quorum for the transaction of business.

1. Roll call

2. Oral communications

Any member of the public may address the Commission on any item within the jurisdiction of the Commission that is not already on the agenda. The Commission will listen to all communication, but in compliance with State law, it may not take action on items that are not on the agenda.

Speakers are requested to sign the sign-in sheet and state their name clearly so that their names can be accurately recorded in the minutes of the meeting.

3. Additions or deletions to consent and regular agendas

CONSENT AGENDA

All items appearing on the consent agenda are considered to be minor or non-controversial and will be acted upon in one motion if no member of the RTC or public wishes an item be removed and discussed on the regular agenda. Members of the Commission may raise questions, seek clarification or add directions to consent agenda items without removing the item from the consent agenda as long as no other Commissioner objects to the change.

MINUTES

4. Approve draft minutes of the April 02, 2020 Regional Transportation Commission meeting.

5. Accept draft minutes of the April 13, 2020 Bicycle Advisory Committee meeting.

6. Accept draft minutes of the April 14, 2020 Elderly & Disabled Transportation Advisory Committee meeting.
POLICY ITEMS

No consent items

PROJECTS and PLANNING ITEMS

7. Approve RailPros Contract Amendment for Bridge Inspections and Load Ratings (Resolution)


BUDGET AND EXPENDITURES ITEMS

9. Accept status report on Transportation Development Act (TDA) revenues.

10. Accept status report on Measure D revenues.


12. Approve Amendments to the Fiscal Year (FY) 2019-20 Budget & Work Program (Resolution)

ADMINISTRATION ITEMS

13. Approve rejection of claim from Annie H. Bradfield.

INFORMATION/OTHER ITEMS


15. Accept correspondence log.

16. Accept letters from RTC committees and staff to other agencies. - none

17. Accept miscellaneous written comments from the public on RTC projects and transportation issues. - none

18. Accept information items. - none

REGULAR AGENDA

19. Commissioner reports – oral reports

20. Director’s report – oral report (Guy Preston, Executive Director)

21. Caltrans report
   a. Santa Cruz County project updates
22. **9:30 a.m. PUBLIC HEARING** 2020 Unmet Paratransit and Transit Needs
   *(Grace Blakeslee and Amanda Marino, Transportation Planners)*
   
a. Staff report  
b. Final Draft 2020 Unmet Paratransit and Transit Needs  
c. Public Comment on Unmet Paratransit and Transit Needs list

23. Fiscal Year 2020-21 Article 4 and Article 8 Transportation Development Act (TDA) Claims for Santa Cruz METRO, Volunteer Center, Community Bridges, Bike to Work and Santa Cruz County Health Services Agency
   *(Luis Mendez, Deputy Director and Amanda Marino and Thomas Travers, Transportation Planners)*
   
a. Staff report  
b. Resolutions (SC Metro, Community Bridges, Volunteer Center, CTSC, BTW)

24. Amendments to the Highway 1 Auxiliary Lanes and Bus on Shoulder project (State Park Drive to Bay/Porter) Consultant Contract and Caltrans Cooperative Agreement and Senate Bill 1 Solutions to Congested Corridors and Local Partnership Program Matching Funds
   *(Sarah Christensen, Senior Transportation Engineer)*
   
a. Staff report  
b. Resolution – Mar Vista Overcrossing  
c. Resolution – SB1 Cycle 2 SCCP & LPP Match  
d. Draft Amendment 1 to Professional Engineering Services Agreement with Mark Thomas & Company, Inc., Scope of Services and Cost Proposal  
e. Draft Amendment 1 to Caltrans Cooperative Agreement for the Highway 1 Bay-Porter/State Park Aux Lanes and Bus on Shoulder Project PA/ED phase  
f. Revised 5 year Program of Projects – Highway Corridor Investment Category

25. Construction Contract Award - Emergency Bridge Repair of Ballast Timber Trestle at MP 4.87”
   *(Sarah Christensen, Senior Transportation Engineer)*
   
a. Staff report and other documents will be available by 5:00pm on the RTC website by May 4)

26. Next meetings
   The next RTC meeting is scheduled for Thursday, June 04, 2020 at 9:00 a.m. by teleconference if the shelter-in-place order is still in effect, or at the Watsonville Council Chambers, 275 Main Street, #400, Watsonville, CA 95076.
   The next Transportation Policy Workshop meeting is scheduled for Thursday, May 21, 2020 at 9:00 a.m. by teleconference.
H OW T O R E ACH US
Santa Cruz County Regional Transportation Commission
1523 Pacific Avenue, Santa Cruz, CA 95060
phone: (831) 460-3200 / fax: (831) 460-3215
e-mail: info@sccrtc.org / website: www.sccrtc.org

C OMENTS FROM T H E P UBL IC
Written comments for items on this agenda that are received at the RTC office in Santa Cruz by noon on the day before this meeting will be distributed to Commissioners at the meeting.

H OW T O S TAY I NFORMED ABOUT RTC M EETINGS, AGENDAS & NEWS
Broadcasts: Many of the meetings are broadcast live. Meetings are cablecast by Community Television of Santa Cruz. Community TV’s channels and schedule can be found online (www.communitytv.org) or by calling (831) 425-8848.

Agenda packets: Complete agenda packets are available at the RTC office, on the RTC website (www.sccrtc.org), and at all Santa Cruz County public libraries.

For information regarding library locations and hours, please check online at www.santacruzpl.org or www.cityofwatsonville.org/public-library

Online viewing: The SCCRTC encourages the reduction of paper waste and therefore makes meeting materials available online. Agendas are typically posted 5 days prior to each meeting. To receive email notification when complete agenda packet materials are posted to our website please visit sccrtc.org/about/esubscriptions/

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H OW T O R EQuest
ACCOMMODATIONS FOR PEOPLE WITH DISABILITIES
The Santa Cruz County Regional Transportation Commission does not discriminate on the basis of disability and no person shall, by reason of a disability, be denied the benefits of its services, programs, or activities. This meeting location is an accessible facility. If you wish to attend this meeting and require special assistance in order to participate, please contact RTC staff at 460-3200 (CRS 800/735-2929) at least three working days in advance of this meeting to make arrangements. People with disabilities may request a copy of the agenda in an alternative format. As a courtesy to those person affected, please attend the meeting smoke and scent-free.

S ERVICIOS DE TRADUCCIóN/ T RANSLATION SERVICES
Si gusta estar presente o participar en esta junta de la Comisión Regional de Transporte del Condado de Santa Cruz y necesita información o servicios de traducción al español por favor llame por lo menos con tres días laborables de anticipio al (831) 460-3200 para hacer los arreglos necesarios. (Spanish language translation is available on an as needed basis.) Please make advance arrangements (at least three days in advance) by calling (831) 460-3200.

T ITLE VI N OTICE TO BENEFICIARIES
The RTC operates its programs and services without regard to race, color and national origin in accordance with Title VI of the Civil Rights Act. Any person believing to have been aggrieved by the RTC under Title VI may file a complaint with RTC by contacting the RTC at (831) 460-3212 or 1523 Pacific Avenue, Santa Cruz, CA 95060 or online at www.sccrtc.org. A complaint may also be filed directly with the Federal Transit Administration to the Office of Civil Rights, Attention: Title VI Program Coordinator, East Building, 5th Floor-TCR, 1200 New Jersey Ave., SE, Washington, DC 20590.

**AVISO A BENEFICIARIOS SOBRE EL TITULO VI**

La RTC conduce sus programas y otorga sus servicios sin considerar raza, color u origen nacional de acuerdo al Titulo VI del Acta Sobre los Derechos Civiles. Cualquier persona que cree haber sido ofendida por la RTC bajo el Titulo VI puede entregar queja con la RTC comunicándose al (831) 460-3212 o 1523 Pacific Avenue, Santa Cruz, CA 95060 o en línea al www.sccrtc.org. También se puede quejar directamente con la Administración Federal de Transporte en la Oficina de Derechos Civiles, Atención: Coordinador del Programa Titulo VI, East Building, 5th Floor-TCR, 1200 New Jersey Avenue, SE, Washington, DC 20590.
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1. Roll call.

The meeting was called to order at 9:17 am.

Members present:
Jacques Bertrand  John Leopold
Sandy Brown  Aurelio Gonzalez
Randy Johnson  Mike Rotkin
Greg Caput  Trina Coffman-Gomez
Andy Schiffrin (alt)  Bruce McPherson
Aileen Loe (Ex-Officio) (alt)

Staff present:
Luis Mendez  Guy Preston
Yesenia Parra  Amanda Marino
Krista Corwin  Amy Naranjo
Tracy New  Brianna Goodman
Rachel Moriconi  Shannon Munz
Sarah Christensen  Steve Mattas
Fernanda Dias Pini

2. Oral communications.

Received Public Comment from:
Michael Saint, Campaign for Sustainable Transportation

3. Additions or deletions to consent and regular agendas: Handout for item 18
CONSENT AGENDA

Commissioner Leopold moved and Commissioner Alternate Schiffrin seconded the motion to approve the consent agenda. The motion passed unanimously with Commissioners Bertrand, Brown, Johnson, Coffman-Gomez, Caput, Schiffrin (alt.), Leopold, and Gonzalez voting “aye.”

MINUTES

4. Approved draft minutes of the March 05, 2020 Regional Transportation Commission meeting

5. Accepted draft minutes of the March 19, 2020 Interagency Technical Advisory Committee meeting

6. Approved draft minutes of the March 19, 2020 Transportation Policy Workshop

7. Approved draft minutes of the March 12, 2020 Budget & Administration/Personnel Committee meeting

POLICY ITEMS

   No consent items

PROJECTS and PLANNING ITEMS

   No consent items

BUDGET AND EXPENDITURES ITEMS

8. Accepted status report on Transportation Development Act (TDA) revenues.

9. Accepted status report on Measure D revenues

10. Approved Fiscal Year (FY) 2019-20 amended RTC work program (Resolution 103-19)

ADMINISTRATION ITEMS

11. Approved Measure D Oversight Committee appointment.

INFORMATION/OTHER ITEMS

12. Accepted monthly meeting schedule.

13. Accepted correspondence log.

14. Accepted letters from RTC committees and staff to other agencies. - none

15. Accepted miscellaneous written comments from the public on RTC projects and transportation issues. - none
16. Accepted information items. - none

REGULAR AGENDA

17. Commissioner reports – none

18. Director’s Report

Executive Director Guy Preston reported on the impacts of the shelter-in-place order on the daily function of the RTC; two new emergency bridge repair contracts; the impact of COVID-19 on TDA-funded transportation services (Santa Cruz METRO, Community Bridges, and the Volunteer Center of Santa Cruz County); an update on transit economic stimulus legislation and revenue loss estimates provided by the transit advocacy group TransitCenter; an update to TDA and Measure D allocation estimates to local jurisdictions; a re-commitment with Central Federal Lands (CFL) to begin construction on the North Coast Rail Trail (Segment 5) in mid-2021 following a funding setback from the Federal Highway Administration (FHWA); funding approved by the California Transportation Commission (CTC) for Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities projects; and an extension of the public input period for Milestone 2 of the Transit Corridors Alternatives Analysis (TCAA) due to COVID-19 and an approximate timeline of activities. Milestone 2 is expected to be brought to the Commission for approval on June 4, 2020.

Executive Director Preston thanked individuals who risk their health to provide essential services, especially those related to transportation.

In response to a Commissioner’s question, Executive Director Preston noted that ongoing budget discussion in light of COVID-19 will take place.

Commissioner comments: support moving forward with pre-construction activities on Segment 5, understanding the importance for securing grant funds.

19. Caltrans report

Caltrans Alternate Ex-Officio Aileen Loe thanked the Commission for carrying on in its function as an essential infrastructure service. Caltrans is working to keep the state’s highways open and to keep construction contracts on track (approx. $1 billion). Ms. Loe highlighted Santa Cruz County Project 18: Crosswalks and Pedestrian Safety Enhancements, for which a contract is expected to be awarded in June with construction scheduled for this summer.

In response to a Commissioner’s question, Ms. Loe clarified that construction on Project 18 is scheduled to start in the summer; however, there is a 150-day lead time for ordering the “Modified Type 15 FBS” poles for flashing beacons because they are a specialty item. More details on the construction schedule for particular safety enhancements can be made available upon request.
20. Approve Fiscal Year (FY) 2020-21 proposed budget

Director of Finance and Budget Tracy New reported that staff presented the proposed budget to the Budget & Administration/Personnel Committee prior to the COVID-19 outbreak and since then, staff is evaluating the potential impacts and communicating with partner organizations, including state and federal agencies. Staff is preparing scenarios to bring to the Commission in May and updates in June.

In response to Commissioner questions, Director New clarified RTC’s fiduciary responsibilities to local agencies and jurisdictions, noted the availability of reserve funds, and emphasized continual communication of the most recent projections by staff to recipients.

Executive Director Guy Preston added that approving the budget today would enable the RTC to measure the impact of COVID-19 on our revenues. Frequent amendments to the budget will be required to adjust for the impacts as they unfold and in response to possible federal stimulus.

Commissioners discussed: impacts of dipping into reserves; reconvening the Budget & Administration/Personnel Committee for further budget discussion; the purpose of the reserves; the various unknowns; the preliminary budget of the Transit District; careful consideration of reserve spending.

Deputy Director Luis Mendez commented that in the past the RTC has employed a combination of using TDA reserves, reducing TDA apportionments to various jurisdictions, reducing costs, and working to secure additional funds to address reductions in TDA revenue.

Executive Director Preston noted that payments for TDA are made via claims which would come to the commission for approval.

Commissioner comments: passing the budget to keep the machinery of the RTC running; reserves demonstrate foresight by the RTC; important to complete jurisdictional projects under construction; projections will be a moving target in the short term and in the indefinite future; opportunity to evaluate how to use reserves conservatively; fluid budget document will be amended and monitored to measure impact; vital projects contribute to community economic stimulus.

In response to Commissioner questions, Director New added that Senior Transportation Planner Rachel Moriconi has communicated with local jurisdictions in her role as Measure D Lead and Executive Director Preston has communicated with the CEO of METRO and the cities and counties. Executive Director Preston and Deputy Director Mendez clarified RTC’s obligations under the TDA ordinance to provide forecasts to recipients. Payments for some funds are made based upon the revenues received, not on the forecasted projections.

Received public comment from:
Sally Arnold, Friends of the Rail and Trail
Michael Saint, Campaign for Sustainable Communication
Alex Clifford, CEO and General Manager Santa Cruz METRO
Commissioner Alternate Schiffrin moved and Commissioner Bertrand seconded the Budget and Administration/Personnel Committee and staff recommendation to:

1. Adopt a resolution approving the proposed FY 2020-21 RTC budget;
2. Accept the Measure D revenue forecast for FY 2019-20 and FY 2020-21 provided by HDL Services;
3. Accept the 30-year revenue projection which incorporates the HDL forecast for FY 2019-20;
4. Accept the 5-year revenue estimates for the Measure D recipients which incorporate the HDL forecast for FY 2019-20 and calculation of the revenue distribution for local jurisdictions with updated data; and
5. An additional recommendation to direct staff to return at the May meeting with an update of the budget situation and any recommendations to amend the 2021 budget, and/or the revenue estimates.

The motion passed with Commissioners Bertrand, Brown, Caput, Schiffrin (alt), Leopold, Gonzalez, Rotkin, Coffman-Gomez, and McPherson voting “aye,” and Commissioner Johnson voting “no.”

21. Next meetings

The next RTC meeting is scheduled for Thursday, May 07, 2020 at 9:00 a.m. at the Capitola City Council Chambers, 420 Capitola Avenue, Capitola, CA. or via Teleconference if the shelter-in-place order is still in effect.

The next Transportation Policy Workshop meeting was scheduled for Thursday, April 16, 2020 at 9:00 a.m. by teleconference. This meeting has been cancelled.

Respectfully Submitted,

Yesenia Parra
Administrative Services Officer
Attendees:
Donna Murphy
Heather Adamson
Michael Saint, Campaign for Sustainable Transportation
Sally Arnold, Friends of the Rail and Trail
Christina Watson
Gina Cole, Bike Santa Cruz County
Kirk Ance, Community Bridges/Lift Line
Alex Clifford, Santa Cruz METRO
1-831-***-6199
1-831-***-1434
1-831-***-4800
1-831-***-8987
1-831-***-2501
Galaxy Tab S2
1. Call to Order: Chair, Amelia Conlen called the meeting to order at 6:05 pm.

2. Introductions

**Members Present:**
Amelia Conlen, Bike-to-Work, Chair  
Grace Voss, District 1  
Shea Johnson, District 2  
Peter Scott, District 3  
Sally Arnold, District 3 (Alt.)  
Anna Kammer, District 4  
Rick Hyman, District 5  
Theresa Rogerson, District 5 (Alt.)  
Michael Moore, City of Capitola  
Matt Farrell, City of Santa Cruz  
Richard Masoner, City of Scotts Valley  
Murray Fontes, City of Watsonville  
Leo Jed, CTSC

**Unexcused Absences:**

**Excused Absences:**
Janneke Strause, District 1 (Alt.)  
Casey Beyer, District 2 (Alt.)  
Bruce Sawhill, City of Santa Cruz (Alt.)  
Drew Rogers, City of Watsonville (Alt.)  
Jim Langley, CTSC (Alt.)  
Matt Miller, Bike-to-Work (Alt.)

**Vacancies:**
District 4 – Alternate  
City of Capitola – Alternate  
City of Scotts Valley – Alternate

**Staff:**
Tommy Travers, Transportation Planner  
Guy Preston, Executive Director  
Luis Mendez, Deputy Director  
Sarah Christensen, Senior Transportation Engineer  
Ginger Dykaar, Senior Transportation Planner  
Brianna Goodman, Transportation Planner

**Guests:**
Nathan Nguyen, City of Santa Cruz  
Piet Canin, Ecology Action/Bike-to-Work  
Gina Cole, Bike Santa Cruz County  
Jacques Bertrand, City of Capitola Commissioner  
Lauren Freeman, County Health Services Agency/CTSC  
Matt Marquez, Santa Cruz METRO  
Pete Rasmussen, Santa Cruz METRO  
Ron Goodman, member of public  
Brett Garrett, member of public
3. Announcements – Staff announced that the RTC continues to hold its public meetings, using Zoom and being streamed online, as usual, by Community TV

4. Oral communications – Piet Canin announced that Specialized Bicycles has a program to donate bicycles to essential workers.

5. Additions or deletions to consent and regular agendas – Items 8 & 10 moved to the Regular Agenda

**CONSENT AGENDA**

Members discussed the hazard report responses regarding parking in bike lanes. A motion (Fontes/Masoner) was made to approve the consent agenda excepting items 8 & 10. The motion passed unanimously with members Conlen, Voss, Johnson, Arnold, Kammer, Hyman, Moore, Farrell, Masoner, and Fontes voting in favor.

6. Approved draft minutes of the February 10, 2020 Bicycle Advisory Committee meeting

7. Accepted summary of hazard reports

9. Accepted informational item: Bike to Work update on FY 19/20 TDA-funded program changes due to COVID-19

11. Accepted informational item: Report on Regional Transportation Plan 2045 Goals and Targets from Rick Hyman

**REGULAR AGENDA**

10. Accepted informational item: Chanticleer/Highway 1 overcrossing design update - Staff provided clarification on the design of Chanticleer Ave at Soquel Ave. Members requested dashed green treatment where the proposed cycle track crosses driveways. Also discussed was a desire for future bicycle and pedestrian improvements to the northern portion of Chanticleer Ave.

   A motion (Arnold/Farrell) was made to accept the informational item. The motion passed unanimously with members Conlen, Voss, Johnson, Arnold, Kammer, Hyman, Moore, Farrell, Masoner, and Fontes voting in favor.

   *Committee member Leo Jed joined the meeting.*

12. Committee Chair and Vice Chair elections – Staff asked for nominations for the positions of chair and vice chair of the Bicycle Advisory Committee to serve 2-year terms.

   A nomination (Farrell/Arnold) was made of Amelia Conlen for the position of chair. The vote passed unanimously with members Conlen, Voss, Johnson, Arnold, Kammer, Hyman, Moore, Farrell, Masoner, Fontes, and Jed voting in favor.
A nomination (Conlen/Farrell) was made of Murray Fontes for the position of vice chair. The vote passed unanimously with members Conlen, Voss, Johnson, Arnold, Kammer, Hyman, Moore, Farrell, Masoner, Fontes, and Jed voting in favor.

13. Rail Trail Segment 7 Phase 2 design review – Nathan Nguyen, City of Santa Cruz staff, first updated the Committee on progress of Phase 1 and of Segments 8/9. He then presented several renderings and plan sheets of the trail project, including the entrance/exit areas at each end. He reviewed cross sections of the trail, retaining wall details, drainage, and the planned lighting and security cameras. There are areas for public art at a later date. The earliest start of construction would be Spring 2021.

A motion (Hyman/Farrell) was made to approve the final plans for Segment 7 Phase 2. The motion passed unanimously with members Conlen, Voss, Johnson, Arnold, Kammer, Hyman, Moore, Farrell, Masoner, Fontes, and Jed voting in favor.

14. Transit Corridor Alternatives Analysis (TCAA) – Alternatives Screening Results and Short List of Alternatives – Ginger Dykaar, Sr. Transportation Planner, presented the results of the first stage of analysis, which brings the TCAA process to what is called Milestone 2. She presented the full qualitative high-level screening results of the full list of possible transit options for the corridor, which was undertaken using the triple-bottom-line approach of considering equity, the environment, and the economy. The current recommendation is to move four top alternatives to the next more detailed stage of analysis. Ginger provided a description of the benefits of each of the four alternatives. The TCAA project team is seeking input from stakeholder groups and RTC advisory committees at this milestone, and there will be an “online open house” for public input available on the RTC website. Members asked clarifying questions about alternatives utilizing all or part of the corridor, the risk of losing railroad easements for non-rail alternatives, the meaning of temporal separation of light rail vehicles and freight trains, the ability to store bicycles on-board buses, the effects of the alternatives on the quality of and delivery of a multiuse trail in the corridor, and the expected travel time and ridership capacity of the alternatives. Members of the public commented about the ability of smaller vehicles to allow for “social distancing” and have comparable capacity, and of some elevated systems to have level boarding without elevators.

A motion (Farrell/Arnold) was made to express the Committee’s current preference for light rail and commuter rail due to potentially greater bicycle capacity and shorter travel times. The motion passed with members Conlen, Voss, Johnson, Arnold, Kammer, Moore, Farrell, and Masoner voting in favor. Members Hyman, Fontes, and Jed abstained.

8. Approved recommendation to the RTC to approve Ecology Action’s Transportation Development Act (TDA) allocation request for $60,000 for the Bike to Work/School Program – Piet Canin, Ecology Action staff, informed the Committee that his organization proposes to develop more online encouragement and resources for bicycling as well as highlighting the benefits bicycling provides for mental and physical health during times of “social distancing” and shelter-in-place orders. RTC staff informed the Committee that it is anticipated that TDA funds will decline significantly during the next several months due to COVID-19 shelter-in-place orders. Members requested that if there is a reduction in TDA funding allocation for this project after there is more information about reductions in sales tax revenue,
the project return to the Committee for input on how the funding reduction is accommodated.

A motion (Jed/Fontes) was made to approve the recommendation to the RTC to approve Ecology Action’s TDA allocation request. The motion passed unanimously with members Conlen, Voss, Johnson, Arnold, Kammer, Hyman, Moore, Farrell, Masoner, Fontes, and Jed voting in favor.

15. Approved recommendation to the RTC to approve the county Health Services Agency’s TDA allocation request for $130,000 for the Community Traffic Safety Coalition (CTSC) and the Ride N Stride (RnS) Bicycle and Pedestrian Education Programs; review Vision Zero Work Plan – Theresia Rogerson, County Health Services Agency staff, gave an oral presentation providing an overview of the CTSC and RnS programs including other funding sources, in-school RnS education programs offered, plans for increased online education due to COVID-19, and the Vision Zero-focused work of the CTSC. The CTSC has been working closely with Watsonville for their first-in-the-county Vision Zero Action Plan, and they are currently seeking input from stakeholders, including the Committee, on the Vision Zero Work Plan to assist the other jurisdictions of the county. It is planned to incorporate the “safe systems” approach including engineering, policy, and technology proposals, while also including education and equity considerations. RTC staff informed the Committee that it is anticipated that TDA funds will decline significantly during the next several months due to COVID-19 shelter-in-place orders, and also requested Spanish online resources and acknowledgement of the fact that many low-income children don’t have very good online access. Members reiterated their support for the education programs of the CTSC and RnS, and stated that the leadership of the CTSC in implementing Vision Zero and other active transportation safety has been very important to South County.

A motion (Hyman/Jed) was made to approve the recommendation to the RTC to approve county Health Services Agency’s TDA allocation requests. The motion passed unanimously with members Conlen, Voss, Johnson, Arnold, Kammer, Hyman, Moore, Farrell, Masoner, Fontes, and Jed voting in favor.

16. Updates – Murray Fontes announced that construction of the first phase of the Segment 18 rail trail begins in May.

17. Adjourn – 8:30 pm

NEXT MEETING: The next Bicycle Committee meeting is scheduled for June 8, 2020 from 6:00pm to 8:30pm at the Community Foundation Santa Cruz County, 7807 Soquel Dr, Aptos, Calif.

Minutes respectfully prepared and submitted by:
Tommy Travers, Transportation Planner
1. Roll call

The meeting was called to order at 1:32 p.m.

**Members present:**
Kirk Ance, CTSA (Lift Line)
Deborah Benham, 5th District
Janet Edwards, 1st District
Michael Pisano, Potential Transit User (60+)
Lisa Berkowitz, CTSA (Community Bridges)
Veronica Elsea, Chair, 3rd District
Tara Ireland, Social Service Provider – Persons of Limited Means
Caroline Lamb, Potential Transit User (Disabled)
John Daugherty, SCMTD (Metro)
Phil Kipnis, 1st District Alternate

**Unexcused absences:**

**RTC staff present:**
Grace Blakeslee
Amanda Marino
Amy Naranjo
Ginger Dykaar
Brianna Goodman
Luis Mendez
Guy Preston

**Others present:**
Wondimu Mengistu, Santa Cruz Metro
Pete Rasmussen, Santa Cruz Metro
Sally Arnold, member of the public
Brett Garrett, member of the public

2. Introductions

3. Oral communications
Member Michael Pisano inquired about construction of K-rail on State Route (Highway) 1 in Santa Cruz County. Guy Preston, RTC Executive Director, communicated that K-rail along HWY 1 is a part of a CALTRANS project to accommodate the resurfacing of HWY 1 to meet safety standards.

Member Lisa Berkowitz announced that the Community Bridges dining site in Santa Cruz serving people over the age of 60 has been closed since March 16th, 2020. Meals on Wheels changed the eligibility of requirements for home deliveries for people over the age of 60.

4. Additions or deletions to consent and regular agendas

Chair Veronica Elsea clarified that item # 12, Appointment of Chair includes appointment of vice chair as shown on the staff report.

None.

CONSENT AGENDA

5. Approved minutes from February 11, 2020

A motion (Pisano/Lamb) was made to approve the February 11, 2020 minutes. The motion passed unanimously, with members Kirk Ance, Deborah Benham, Janet Edwards, Michael Pisano, Lisa Berkowitz, Veronica Elsea, Caroline Lamb, John Daugherty, Phil Kipnis, voting in favor. Tara Ireland was not present for this vote.

6. Received Transportation Development Act Revenues Report

7. Received RTC Meeting Highlights

8. Received Information Items


b. Letter from Caltrans District 5 to RTC Regarding Purchase of Electric Vehicles as part of the FTA Section 5310 Program

c. Elaine Ingalls, “Santa Cruz Metro in Crosshairs of Proposed Legislation” Santa Cruz Sentinel, March 1, 2020

9. Accepted correspondence from the public

10. Pedestrian Hazard Report

A motion (Ance/Edwards) was made to approve the consent agenda. The motion
passed unanimously, with members Kirk Ance, Deborah Benham, Janet Edwards, Michael Pisano, Lisa Berkowitz, Veronica Elsea, Caroline Lamb, John Daugherty, Phil Kipnis, voting in favor. Tara Ireland was not present for this vote.

REGULAR AGENDA

11. Received Program Updates
   a. Volunteer Center – COVID 19 Update
      Member Tara Ireland communicated the impacts of COVID-19 on the Volunteer Center’s transportation services and the development of the Grocery Shopper Program.
   b. Community Bridges – COVID 19 Update
      Member Kirk Ance communicated the impacts of COVID-19 on Community Bridge’s transportation services. Lift Line clients who need food delivery are receiving home-delivered meals.
   c. Santa Cruz Metro – COVID 19 Update
      Wondimu Mengistu representing Santa Cruz Metro communicated the impacts of COVID-19 on Metro’s transportation services. Santa Cruz Metro is currently running the weekend service schedule seven days a week.
   d. SCCRTC– COVID 19 Update
      Amanda Marino, Transportation Planner, communicated that RTC is in the process of projecting reductions in sales tax revenue for Measure D and TDA funding due to COVID-19 and announced that the Measure D 5-year plan update is currently postponed.
      Luis Mendez, RTC Deputy Director, provided information regarding potential TDA funding impacts on TDA recipients due to COVID-19.
   e. Special Projects
      Chair Veronica Elsea provided an update on the work status of the Pedestrian ad-hoc committee discussing intersection design. Due to COVID-19 the committee postponed a meeting but will be able to provide an update on the work being done at the next E&D TAC meeting.
      No action taken.

12. Appointment of Chair (and Vice Chair)

A motion (Pisano/Edwards) was made to elect Veronica Elsea as Chair for a one-year term. The motion passed unanimously, with members Kirk Ance, Deborah Benham, Janet Edwards, Michael Pisano, Lisa Berkowitz, Veronica Elsea, Caroline Lamb, John Daugherty, Phil Kipnis, voting in favor. Tara Ireland was not present for this vote.
Deborah Benham, Janet Edwards, Michael Pisano, Lisa Berkowitz, Veronica Elsea, Tara Ireland, Caroline Lamb, John Daugherty, Phil Kipnis, voting in favor.

A motion (Pisano/Berkowitz) was made to elect Janet Edwards as Vice Chair for a one-year term. The motion passed unanimously, with members Kirk Ance, Deborah Benham, Janet Edwards, Michael Pisano, Lisa Berkowitz, Veronica Elsea, Tara Ireland, Caroline Lamb, John Daugherty, Phil Kipnis, voting in favor.

13. 2020 Unmet Paratransit and Transit Needs List

Amanda Marino, Transportation Planner, explained that each year the E&D TAC voluntarily prepares a list of unmet paratransit and transit needs in Santa Cruz County, referred to as the Unmet Needs List. The RTC considers adoption of the final Unmet Needs List at the May RTC meeting.

Committee members discussed revisions to the Unmet Needs List including the need to increase early morning and late-night transit service and increase weekend service to downtown centers and other commercial centers in Santa Cruz County. The committee also identified the need to consider pedestrian patterns when planning transit routes.

A motion (Kipnis/Pisano) was made to revise the Draft 2020 Unmet Paratransit and Transit Needs List to reflect the comments made by E&D TAC committee members and recommend that the Regional Transportation Commission adopt the Final 2020 Unmet Paratransit and Transit Needs List following a public hearing on May 7, 2020. The motion passed unanimously, with members Kirk Ance, Deborah Benham, Janet Edwards, Michael Pisano, Lisa Berkowitz, Veronica Elsea, Tara Ireland, Caroline Lamb, John Daugherty, Phil Kipnis, voting in favor.

14. Transportation Development Act Claim for Volunteer Center

Amanda Marino, Transportation Planner, communicated the staff recommendation for the TDA claim for the Volunteer Center. Tara Ireland, Volunteer Center, provided an overview of the Volunteer Center TDA claim.

Luis Mendez, RTC Deputy Director explained that the Volunteer Center’s request for funding for a new Grocery Shopper Program, and for early allocation of the TDA funds in May is possible given the COVID-19 circumstances.

A motion (Daugherty/Lamb) was made to recommend that the Regional Transportation Commission approve the Volunteer Center’s TDA claim, contingent upon approval by the City of Santa Cruz to act as the claimant. The motion passed unanimously, with members Kirk Ance, Deborah Benham, Janet Edwards, Michael Pisano, Lisa Berkowitz, Veronica Elsea, Tara Ireland, Caroline Lamb, John Daugherty, Phil Kipnis, voting in favor.

15. Transportation Act Claim for Community Bridges

Amanda Marino, Transportation Planner, communicated the staff recommendation
for the TDA/STA claim for Community Bridges. Kirk Ance, Community Bridges, provided an overview of the Community Bridges TDA/STA claim.

A motion (Kipnis/Edwards) was made to recommend that the Regional Transportation Commission approve Community Bridges’ TDA claim, contingent upon approval by the City of Santa Cruz to act as the claimant. The motion passed with members Deborah Benham, Janet Edwards, Michael Pisano, Veronica Elsea, Tara Ireland, Caroline Lamb, John Daugherty, Phil Kipnis, voting in favor. Members Kirk Ance and Lisa Berkowitz abstained from the vote.

16. Transportation Act Claim for Santa Cruz Metropolitan Transit District

Amanda Marino, Transportation Planner, communicated the staff recommendation for the TDA/STA claim for Santa Cruz Metro. Wondimu Mengistu, Santa Cruz Metro, provided an overview of the Metro TDA/STA claim.

Committee Member Deborah Benham inquired about using “Clipper Cards” for HWY 17 mobile ticketing. Pete Rasmussen, Santa Cruz Metro, communicated that the “Clipper Card” is a project of the Metropolitan Transportation Commission. Santa Cruz Metro has previously discussed this option with the Metropolitan Transportation Commission and allowing for use of the Clipper Card on the HWY 17 express would be at the discretion of the Metropolitan Transportation Commission Committee members further conversed about this possibility.

A motion (Kipnis/Edwards) was made to recommend that the Regional Transportation Commission approve Metro’s TDA claim. The motion passed with members Kirk Ance, Deborah Benham, Janet Edwards, Michael Pisano, Lisa Berkowitz, Veronica Elsea, Tara Ireland, Caroline Lamb, Phil Kipnis, voting in favor. Member John Daugherty abstained from the vote.

17. Transportation Development Act Claim for the Health Services Agency for CTSC and Ride N Stride Program

Amanda Marino, Transportation Planner, communicated the staff recommendation for the TDA/STA claim for the HSA. Committee members discussed the benefits of the CTSC and Ride N Stride Programs.

A motion (Edwards/Lamb) was made to recommend that the Regional Transportation Commission approve HSA’s TDA claim. The motion passed unanimously, with members Kirk Ance, Deborah Benham, Janet Edwards, Michael Pisano, Lisa Berkowitz, Veronica Elsea, Tara Ireland, Caroline Lamb, John Daugherty, Phil Kipnis, voting in favor.

18. Transit Corridor Alternatives Analysis – Alternatives Screening Results and Short List of Alternatives

Ginger Dykaar, RTC Senior Transportation Planner, presented the TCAA alternative screening results and described each alternative for high capacity public transit on the Santa Cruz Branch Rail Line to be considered for further analysis.

Committee members discussed the potential alternatives asking questions regarding
accessibility, safety, and connectivity. Members of the public commented on COVID-19 impacts on the alternatives and risks to property ownership if a rail alternative is not selected.

A motion (Lamb/Benham) was made to recommend the Regional Transportation Commission consider the E&D TAC’s preferred rail line alternatives. The motion passed with members Kirk Ance, Deborah Benham, Janet Edwards, Michael Pisano, Lisa Berkowitz, Veronica Elsea, Tara Ireland, Caroline Lamb, Phil Kipnis, voting in favor. Member John Daugherty voted against.

Meeting adjourned at approximately 4:15 pm

The next E&D TAC meeting is scheduled for Tuesday, June 9, 2020 at 1:30 p.m. at the Cabrillo College's Watsonville Center.

NOTE: Teleconference may be necessary due to COVID-19.

Respectfully submitted, Amanda Marino, Staff
AGENDA: May 7, 2020

TO: Regional Transportation Commission  
FROM: Sarah Christensen, P.E.  
RE: RailPros Contract Amendment for Bridge Inspections and Load Ratings

RECOMMENDATIONS

Staff recommends that the Regional Transportation Commission (RTC) approve the attached resolution (Attachment 1) authorizing the Executive Director to amend contract no. TP 1827-01 with RailPros, Inc. to add scope and compensation and extend the term for continuation of professional engineering services in association with the bridge inspections and load ratings on the Santa Cruz Branch Rail Line.

BACKGROUND

In April of 2018, the RTC approved the list of on-call engineering firms for civil engineering, structural engineering and inspections, and construction management, and authorized contracts with on-call engineering consultants on the approved list for a total of up to $500,000 for inspections, analysis and recommendation of work for bridges, culverts, and other infrastructure. In August of 2018, the RTC entered into a professional engineering services agreement (contract no. TP 1827-01) with RailPros, Inc. in the amount of $287,976 for inspections of all 29 bridges, inspections of culverts, and safe load rating calculations. On June 26, 2019 the contract was amended (Amendment 1) to extend the term of the contract through June 30, 2020.

DISCUSSION

In March of 2020, Commission staff reallocated a portion of the RailPros contract Safe Load Ratings task in order to respond to an emergency bridge repair at the timber trestle located at Milepost (MP) 4.87. RailPros at the request of RTC staff performed a detailed inspection, took measurements, and began preparing a draft design and construction documents for the repair of the bridge at MP 4.87. This work was tracked by task order and totaled $17,551. A contract amendment is needed to replenish the budget for the Safe Load Ratings task, so that the remaining work anticipated in the original contract can be completed.

On March 19, 2020, the Commission authorized the Executive Director to enter into contracts in response to the emergency bridge repair at MP 4.87. A separate, sole source contract (No. TP2074) was entered into with RailPros, Inc. on March 23, 2020 for professional engineering services. Amendment 2 to the inspections and
load ratings contract covers the services rendered prior to that date for the emergency bridge repair.

**Staff recommends the RTC authorize the Executive Director to negotiate and amend the contract with RailPros, Inc. for an amount not to exceed $17,551 in new compensation and a total amended contract value of $305,527.** A draft of Amendment 2 is included as Attachment 2, which includes revisions to Articles 1, 2, and 4 for duties, compensation, and term respectively which is subject to review by legal counsel as to form.

**FISCAL IMPACT**

The RTC’s budget for the Santa Cruz Branch Rail Line provides funds to maintain and repair the railroad infrastructure for preservation. RTC’s approved Measure D Five-Year Program of Projects for the Rail category includes a total of $2.2 Million for Railroad Bridge rehabilitation, with approximately $1.5 Million of funding capacity remaining for this work. The FY 19/20 budget includes $269,750 for professional and special services. Capacity exists within the budgeted amount to cover the compensation added by Amendment 2.

**SUMMARY**

A contract amendment is needed to replenish the budget for the railroad bridge inspections and load ratings contract with RailPros, due to a portion of the budget being reallocated to a new task to respond to the emergency bridge repair at MP 4.87. The original contract value is $287,976, the amendment 2 value is $17,551, adding up to a total amended contract value of $305,527.

**Attachments:**
1. Resolution
2. Amendment 2 to Contract No. TP 1827-01 with RailPros, Inc.
RESOLUTION NO.

Adopted by the Santa Cruz County Regional Transportation Commission
on the date of May 7, 2020
on the motion of Commissioner
duly seconded by Commissioner

A RESOLUTION AUTHORIZING THE EXECUTIVE DIRECTOR TO AMEND CONTRACT NO. TP1827-01 WITH RAILPROS, INC. FOR PROFESSIONAL ENGINEERING SERVICES, FOR BRIDGE INSPECTIONS AND SAFE LOAD RATINGS TO ADD SCOPE, COMPENSATION, AND EXTEND THE TERM OF THE CONTRACT

WHEREAS, the Regional Transportation Commission (RTC) purchased the Santa Cruz Branch Rail Line (Branch Line) in October 2012;

WHEREAS, the Commission approved the list of qualified firms in 2018 for Civil Engineering, Structural Engineering/Inspections, and Construction Management services;

WHEREAS; in July 2018 the RTC entered into the Administration, Coordination, and License (ACL) Agreement with St. Paul & Pacific Railroad (SPPR)

WHEREAS, the Commission authorized the Executive Director to enter into a contract with the top ranked on-call structure engineering services consultant, RailPros, for bridge inspections and load ratings in 2018;

WHEREAS, severe scour damage to the timber trestle at MP 4.87 was observed by staff and an emergency repair and recommended an emergency repair to the timber trestle because it is in danger of collapsing at the March 19, 2020 TPW meeting;

WHEREAS, staff reallocated $17,551 of the original budget under the existing bridge inspection and load ratings contract with RailPros, Inc. in March of 2020 in order to respond to the emergency repair;

WHEREAS; a new contract was entered into with RailPros, Inc. (contract no. TP2074) for the remaining scope of work for the preparation of design and construction documents for the emergency repair;

WHEREAS; a contract amendment is needed to replenish the budget for the bridge inspection and load ratings contract with RailPros, Inc.

THEREFORE, BE IT RESOLVED BY THE SANTA CRUZ COUNTY REGIONAL TRANSPORTATION COMMISSION THAT:

1. The Executive Director is authorized to negotiate and amend the agreement for professional engineering services with RailPros, Inc. (contract no. TP 1827-01) for duties, compensation, and term with an amended contract value not to exceed $305,527;
2. The Executive Director is authorized to issue amendments to the agreement for professional engineering services with RailPros, Inc. (contract no. TP 1827-01) for term and/or for compensation of up to $25,000 in total amendment value, provided there is enough budget capacity for proposed current year’s work and enough programming capacity for future year’s work.

3. The Executive Director is authorized to issue amendments to the agreement for professional engineering services with RailPros, Inc. (contract no. TP 1827-01) for compensation of up to $60,000 in total amendment value, with the written approval of the Chair of the Commission, provided there is enough budget capacity for proposed current year’s work and enough programming capacity for future year’s work.

AYES: COMMISSIONERS

NOES: COMMISSIONERS

ABSTAIN: COMMISSIONERS

__________________________
Bruce McPherson, Chair

ATTEST:

__________________________
Guy Preston, Secretary

Distribution: RTC Fiscal, RTC, Contractor, and Consultant Project Managers
SECOND AMENDMENT TO AGREEMENT
WITH RAILPROS, INC.

Effective this _____ day of _____________, 2020, the parties hereto agree to amend that certain Agreement No. TP1827-01 dated August 10, 2018, by and between the SANTA CRUZ COUNTY REGIONAL TRANSPORTATION COMMISSION and RAILPROS, INC., (“CONSULTANT”) as follows:

1. **Amend Article 1. (entitled “DUTIES”) section A. to read as follows:**
   A. CONSULTANT agrees to exercise special skill, in accordance with customary and ordinary professional practices and principles accepted in the industry, to accomplish the following results: RTC SCBRL On-Call Engineering Task Order 001 Structure Assessments and Load Ratings, as specified in Exhibit A: Scope of Services, and Exhibit A Scope of Services added by Amendment 2 which by reference is incorporated herein.

2. **Amend Article 2. (entitled “COMPENSATION”) section A. to read as follows:**
   A. Total Payment is not to exceed:
      1. $292,673 for time and materials at the rates and conditions set forth in Exhibit C-1: Fee Schedule, which by this reference is incorporated herein.
      a) The COMMISSION shall reimburse the CONSULTANT for actual costs (including labor costs, subcontracts) incurred by the CONSULTANT in performance of the work, in an amount not to exceed $12,854 exclusive of any fixed fee. Transportation and subsistence expenses claimed for reimbursement shall not exceed the rates authorized to be paid rank and file STATE employees under current CalHR rules or to employees under current U.S. General Service Administration rules. Actual costs shall not exceed the estimated wage rates and other costs set forth in the approved CONSULTANT’S Cost Proposal (Exhibit C-1: Fee Schedule, Exhibit C-1: Fee Schedule Added by Amendment 2, and Exhibit C-2: Cost Proposal Exhibit 10-H2)

3. **Amend Article 4. (entitled “TERM”) to read as follows:**
   This Agreement shall take effect on August 10, 2018; contingent upon prior approval by the COMMISSION governing board, and the CONSULTANT shall commence work after notification to proceed by the COMMISSION’S Contract Manager. The Agreement shall end on June 30, 2021, unless earlier terminated or extended by contract amendment. The CONSULTANT is advised that this Agreement is not binding and enforceable until it is fully executed and approved by the COMMISSION’s board.

All other provisions of said Agreement shall remain the same.

SANTA CRUZ COUNTY REGIONAL TRANSPORTATION COMMISSION

CONSULTANT

By__________________________________ By_________________________________
Guy Preston, Executive Director Dan Davis
RailPros, Inc.

Approved as to form:

RTC Counsel

Distribution: RTC ASO, RTC Contract Manager, Consultant Contract Manager
Exhibit A
Scope of Services added by Amendment 2

Response to Emergency Repair of Ballast Deck Timber Trestle at MP 4.87: Inspection of bridge at MP 4.87 in response to emergency repair effort under the direction of the SCCRTC Engineering Manager. Measurement of all bridge members at bent 3. Measurements of scour damage at bents 2, 3, 7, 8, and 10. Provide draft design documents for the emergency repair to prevent spans 2 and 3 from collapsing due to the weight of the ballast deck if additional scour occurs. Provide signed and sealed engineered sketch for bent 3 replacement by a licensed civil engineer. The replacement bent will be a framed bent on concrete mud sill. Provide a general sketch for armoring around bent 3, 7, 8 and 10 and 525 feet of existing drainage ditch south from abutment 1. Attendance on bid walk, conference calls with SCCRTC Environmental consultant and Contractor.

Exhibit C-1
Fee Schedule - compensation added by Amendment 2

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TO: Regional Transportation Commission (RTC)

FROM: Tracy New, Director of Finance

RE: Transportation Development Act (TDA) Fiscal Years 2016-2018 Triennial Performance Audit

RECOMMENDATIONS

Staff recommends that the Regional Transportation Commission (RTC) accept the fiscal years (FY) 2015-16 to 2017-18 triennial performance audit report of the RTC (Attachment 1) and Santa Cruz County transit operators (Attachment 2); and direct staff to implement the recommendations of the RTC audit.

BACKGROUND

State law requires triennial performance audits of local transportation planning agencies and transit operators who receive Transportation Development Act (TDA) funds. The audit determines compliance with state requirements and evaluates the efficiency, effectiveness and economy of operations. The performance audit guidebook produced by Caltrans states:

“While meeting the legal requirements for conducting a performance audit is important, a performance audit also provides an opportunity for an independent, objective and comprehensive review of the economy, efficiency, and effectiveness of the entity being audited. The audit has other benefits, including:

- Provides management with useful information to assess past activities and provides insight for future planning efforts;
- Provides management with a review and evaluation of an agency’s organization and operations;
- Presents an opportunity to utilize auditor expertise which can supplement staff work; and
- Assures public accountability for the use of public funds."

The FY 2016-2018 triennial performance audits of the RTC and the transit operators were conducted by Michael Baker International in accordance with Section 99246 of California’s Public Utilities Code (PUC). The final audit reports for the audit of the RTC and operators will be submitted to the State Controller as required by state law.
DISCUSSION

To conduct the triennial performance audit and prepare the audit reports, Derek Wong of Michael Baker International interviewed board members and staff and visited facilities of the entities being audited. Although not required by state law, the triennial performance audit of the Santa Cruz County operators includes Community Bridges and the Volunteer Center.

RTC Triennial Performance Audit

The RTC FY 2016-2018 triennial performance audit (Attachment 1) finds that the RTC is in compliance with TDA requirements and in some cases exceeds those requirements. The RTC triennial performance audit also finds that one of the two recommendations of the previous audit have been implemented. The recommendation to include a standard assurances form in TDA claims for transit was developed but had not been implemented at the time of this audit. It has now been implemented with the TDA funding claims for FY 2020-21, which are being considered in a different staff report under the agenda for this RTC meeting. The RTC 2016-2018 triennial performance audit includes the following four recommendations:

1. Include standard assurances form in TDA claims for transit.

This recommendation is being forwarded in this audit, since TDA claims for transit funding must ensure compliance with a series of provisions in the TDA statute. These standard assurances are typically listed in a checklist format in the TDA claims and should be reviewed and signed off by the transit claimant prior to submittal of the claim. The RTC, in turn, would verify compliance for each applicable measure prior to approving the claim for funding. Standard assurances include completion of the annual fiscal and compliance audit and State Controller’s Reports, and compliance with the farebox recovery ratio/50 percent eligibility requirement.

TDA requirements are currently covered by the RTC's claim form and claim review process but the standard assurances form adds a tool in the process to provide a useful summary and checklist. Many of these standard assurances are featured in the compliance matrix section of the performance audit of the transit operators. In addition, a sample standard assurance checklist is shown for reference in the appendix to this performance audit.

2. Make additional updates to the transit operator TDA process for consistency with the updated RTC rules and regulations.

RTC’s revised rules and regulations manual outlines the changes made to the TDA process enacted by state legislation such as SB 508. Some of the changes also directly impact the content of the TDA claim form for transit which should be revised concurrently with the manual. For example, using the FY 2018 TDA claim form, Items #23 (Farebox Recovery Ratio) and #24 (FY 1978-79 ratios) applicable to Santa Cruz Metro should be consistent with the RTC rules and regulations and new state law. Specifically, for #23, additional exclusions from operating cost above the consumer
price index for fuel, alternative fuel programs, power, insurance premiums and payments in settlement of claims, and state and federal mandates should be added in the footnotes in calculating urban/rural farebox recovery. For #24, the language should be deleted all together as the law eliminates the requirement for a separate ratio for FY 1978-79.

As an added measure, the quarterly TDA reports submitted by Community Bridges for Lift Line as described in the TDA claim form should include on-time performance of the service. Vehicle on-time arrival to pick up a passenger at the scheduled time is an important measure of operational effectiveness and customer service. The TDA claims submitted by Community Bridges describes the investment in automatic vehicle locator technology and mobile data computers that enable more automation in the tracking of vehicle movement. The technology allows the collection of accurate data such as on-time performance which should be on the list of performance metrics to include in the TDA quarterly report.

3. RTC and Santa Cruz METRO should clarify the performance eligibility criteria for TDA-Local Transportation Funds.

Article 4 of the TDA statute provides alternatives for Santa Cruz METRO to be eligible for TDA-Local Transportation Funds. One is for Santa Cruz METRO to meet the farebox recovery ratio. The other is to meet the 50 percent expenditure rule as an older operator, defined as service starting prior to 1974. Currently, Santa Cruz METRO meets both requirements but the documentation stating eligibility is not consistent. For example, the TDA claims form and resolution state that Santa Cruz METRO eligibility to receive LTF is from farebox compliance. However, its audited financial statements state Santa Cruz METRO meets the 50 percent expenditure limitation and does not use the alternative farebox recovery ratio. Historically, the amount of LTF allocated to Santa Cruz METRO has not exceeded 50 percent of operating expenditures; hence, either criteria applies. Farebox recovery is an important performance measure that gauges transit operational efficiency and effectiveness.

Santa Cruz METRO and RTC should discuss the applicability of each criteria and agree to which of the two meets compliance with rules and regulations for LTF. Currently, the adopting resolution allocating LTF from RTC to Santa Cruz METRO shows farebox recovery. Should the 50 percent expenditure criteria be applied instead, the TDA claims form and resolution should be adjusted. Should farebox remain the criteria, the Santa Cruz METRO audited financial statements should be modified to show audited farebox recovery rather than the 50 percent expenditure rule. This clarity will provide consistency in reporting of performance measures for LTF eligibility.

4. City of Santa Cruz, Volunteer Center, and RTC should discuss an alternative performance measure for TDA-Local Transportation Fund eligibility.

LTF are allocated to Volunteer Center under a performance standard that a 10 percent local match be provided by Volunteer Center. Budgets for the volunteer driver program show a local match would be provided by donations from riders, which are not enough for the 10 percent match. As the LTF revenue is claimed by the City of
Santa Cruz on behalf of Volunteer Center through the TDA Article 8 program, the law provides latitude on the performance standard. In lieu of a local match, RTC, the City, and Volunteer Center should discuss an alternative measure for LTF eligibility. Among the possibilities include using goals set in the TDA claim form such as minimum ridership levels and number of unduplicated clients. Other data that is reported by Volunteer Center to RTC for which a performance standard could be created include minimum number of ride requests unable to fill, and maintenance of driver availability for clients in each of the three travel areas of Santa Cruz, San Lorenzo Valley/Scotts Valley, and Watsonville. Given that the current standard for local match cannot be met, another performance standard that is attainable yet provides a measure of service efficiency and effectiveness should be considered by the involved agencies.

**Transit Operators Triennial Performance Audit**

The FY 2016-2018 triennial performance audit of the Santa Cruz County transit operators (Attachment 2) complied with each of the compliance requirements. One exception is the partial compliance with the local match for LTF funding by Volunteer Center. The 10 percent local match is not met through donations.

The transit operators triennial performance audit also finds that the six recommendations of the previous audit have been implemented. The transit operators 2016-2018 triennial performance audit includes the following six new recommendations:

1. METRO and SCCRTC should clarify the performance eligibility criteria for TDA-Local Transportation Funds.

   Article 4 of the TDA statute provides alternatives for Santa Cruz METRO to be eligible for TDA-Local Transportation Funds. One is for METRO to meet the farebox recovery ratio. The other is to meet the 50 percent expenditure rule as an older operator, defined as service starting prior to 1974. Currently, METRO meets both requirements but the documentation stating eligibility is not consistent. For example, the TDA claims form and resolution state METRO eligibility to receive LTF is from farebox compliance. However, the METRO audited financial statements state METRO meets the 50 percent expenditure limitation and does not use the alternative farebox recovery ratio. Historically, the amount of LTF allocated to METRO has not exceeded 50 percent of operating expenditures; hence, either criteria applies. Farebox recovery is an important performance measure that gauges transit operational efficiency and effectiveness.

   METRO and SCCRTC should discuss the applicability of each criteria and agree to which of the two meets compliance with rules and regulations for LTF. Currently, the adopting resolution allocating LTF from SCCRTC to METRO shows farebox recovery. Should the 50 percent expenditure criteria be applied instead, the TDA claims form and resolution should be adjusted. Should farebox remain the criteria, the METRO audited financial statements should be modified to show audited farebox recovery
rather than the 50 percent expenditure rule. This clarity will provide consistency in reporting of performance measures for LTF eligibility.

2. METRO should ensure the alignment of data analytics training for staff with deployment of new technology.

Santa Cruz METRO has placed a priority on replacing aging equipment and upgrading its communication infrastructure. For example, METRO has been working on implementation of the Syncromatics intelligent transportation systems infrastructure, which includes real-time tracking via an automatic vehicle locator system, automated passenger counters, and voice annunciators. As this deployment occurs and is being tested along with integration of other existing technology investments including fare collection system, the technology will provide a wealth of new data as transit operators gravitate toward data-driven analysis for service improvement and cost efficiency. The amount of data that is generated is bountiful and provides new defensible methods of evaluating routes, ridership, operations, and customer service. METRO budgets annually for staff training to increase competencies from new computer systems. Emphasis should be placed on training and readying key staff for these data-driven operational systems that will have a significant impact on how transit service is evaluated and prioritized. METRO departments including information technology, finance, and human resources should coordinate training for staff on these new systems such as mining data and conducting data analysis to form trends and patterns that could further METRO operations, customer service, and planning. Creating an environment where real-time data is heavily used with performance criteria to develop dashboard metrics involves personnel training to appropriately interpret and apply the information. One of the strategic priorities in the METRO strategic plan is to develop advanced technology systems which in turn generates sizable data output.

3. City of Santa Cruz, Volunteer Center, and SCCRTC should discuss an alternative performance measure for TDA-Local Transportation Fund eligibility.

Local Transportation Funds are allocated to Volunteer Center under a performance standard that a 10 percent local match be provided by Volunteer Center. Budgets for the volunteer driver program show a local match would be provided by donations from riders, which are not enough for the 10 percent match. As the LTF revenue is claimed by the city of Santa Cruz on behalf of Volunteer Center through the TDA Article 8 program, the law provides latitude on the performance standard. In lieu of a local match, SCCRTC, the City, and Volunteer Center should discuss an alternative measure for LTF eligibility. Among the possibilities include using goals set in the TDA claim form such as minimum ridership levels and number of unduplicated clients. Other data that is reported by Volunteer Center to SCCRTC for which a performance standard could be created include minimum number of ride requests unable to fill, and maintenance of driver availability for clients in each of the three travel areas of Santa Cruz, San Lorenzo Valley/Scotts Valley, and Watsonville. Given that the current standard for local match cannot be met, another performance standard that is attainable yet provides a measure of service efficiency and effectiveness should be considered by the involved agencies.
4. Volunteer Center should capture client and driver stories in its reporting on the volunteer driver program.

In its effort to promote the volunteer driver program, Volunteer Center personnel should consider additional means to show the importance of the program in the community. With this service filling a needed travel gap that cannot be provided efficiently by other transit or transportation alternatives, there is opportunity for Volunteer Center to capture the human component of the program by demonstrating the benefits received from the riders. From interviews or other ways to collect information, passenger stories can be expressed on how the program has helped them retain their livelihood and the relationships built. The same can be told by volunteer drivers who are empathetic and also cultivate relationships with riders. With data showing that many drivers do not seek mileage reimbursement, there is the human element that should be captured from the program. These stories can be featured in Volunteer Center literature and/or its website, as well as in presentations and other communication channels about the volunteer driver program.

5. Community Bridges should conduct survey of taxi scrip riders to determine service needs.

The taxi scrip program offered by Community Bridges, where residents can purchase discounted coupons to supplement the price of a taxi ride, originated from meeting a SCCRTC unmet transit need. With the changing landscape to the ridesharing environment including presence of ride-hailing companies (Transportation Network Companies) in Santa Cruz, the local taxi industry has been impacted. Lift Line management cited taxi service has been poor and unreliable in the city of Santa Cruz which affects the scrip program, although taxi service has continued to function satisfactorily in the city of Watsonville.

With uncertainty in the taxi industry and concerns about service, Community Bridges should conduct a survey of scrip participants whether the taxi scrip program is an essential service relative to other transportation services available. The survey should determine whether the scrip program, which serves a limited market, is a mere convenience for the customer versus offering a lifeline service, and whether their trip can be adjusted to enable these riders to access other transportation services at other times. For example, a question could be whether the trip purpose of using taxi scrip could be moved to another time or day that have other transportation options. If responses show the scrip program remains a lifeline service, Community Bridges is reviewing alternative ways to continue the service such as having a non-profit agency operate the service using a loaner vehicle from Lift Line.


Vehicle on-time arrival to pick up a passenger at the scheduled time is an important measure of operational effectiveness and customer service. The Lift Line on-time performance window for pickup is 20 minutes (plus/minus 10 minutes from pickup
time). The time of pickup is documented by drivers; however, it is noted this effort is tedious for drivers in light of their primary driver and customer service responsibilities, according to Lift Line management. The TDA claims submitted by Community Bridges describes the investment in automatic vehicle locator (AVL) technology and mobile data computers that enable more automation in the tracking of vehicle movement. The technology serves multiple benefits including for safety and operational efficiencies. The technology also allows the collection of accurate data such as on-time performance. With implementation of this technology, Community Bridges should report on-time performance in the quarterly reports as another key indicator of operational effectiveness and customer service. SCCRTC will need to update the TDA claim form to include this measure on the list of performance metrics to include in the quarterly report.

Staff recommends that the RTC accept the FY 2016-2018 triennial performance audit of the RTC and transit operators produced by Michael Baker International, and direct staff to implement the recommendations of the audit.

SUMMARY

The required FY 2016-2018 triennial performance audit of the RTC and transit operators has been completed. The audit includes findings of compliance and recommendations. Staff recommends that the RTC accept the audits, and direct staff to implement the recommendations of the audit.

Attachments:

1. FY 2016-2018 Triennial Performance Audit of the RTC
2. FY2016-2018 Triennial Performance Audit of the Santa Cruz County Transit Operators
FY 2016-2018
Triennial Performance Audit of
Santa Cruz County
Regional Transportation Commission

Submitted to
Santa Cruz County
Regional Transportation Commission

April 2020
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Executive Summary

The Santa Cruz County Regional Transportation Commission (RTC, Commission) retained Michael Baker International to conduct its Transportation Development Act (TDA) performance audit for fiscal years (FY) 2015–16, 2016–17, and 2017–18. As a Regional Transportation Planning Agency (RTPA), the RTC is required by California Public Utilities Code (PUC) Section 99246 to prepare and submit an audit of its performance on a triennial basis to the California Department of Transportation (Caltrans) to continue receiving TDA funding. TDA funds are used primarily for RTC administration, planning, and implementation of public transportation and non-motorized projects and programs. This includes distribution of TDA funds for public transit services and non-motorized projects and programs.

This performance audit is intended to describe how well the RTC is meeting its obligations under TDA, as well as its organizational management and efficiency. The Performance Audit Guidebook for Transit Operators and Regional Transportation Planning Entities, September 2008 (third edition) published by Caltrans was used to guide the development and conduct of the audit. To gather information for the TDA performance audit, Michael Baker conducted interviews with agency staff and Commissioners as well as with the public transit operators, reviewed various documents, and evaluated the RTC’s responsibilities, functions, and performance of the TDA guidelines and regulations.

The audit comprises several sections, including compliance with TDA requirements, status of implementing prior audit recommendations, and review of functional areas. Findings from each section are summarized below, followed by recommendations based on our audit procedures.

Compliance with TDA Requirements

The RTC has satisfactorily complied with applicable state legislative mandates for RTPAs. One compliance measure that did not apply to the RTC pertains to adopting rules and regulations for TDA claims under Article 4.5. The agency does not disburse any TDA funds under this article section. Rather, the CTSA in the county receives TDA Article 8 funds through the City of Santa Cruz acting as the claimant on behalf of the paratransit/community transportation system.

Status of Prior Audit Recommendations

The RTC has implemented one of the two prior performance audit recommendations. The recommendations pertained to the inclusion of a standard assurances form with the TDA claim submittal and update of the Commission’s rules and regulations to account for recent changes in the TDA statute. The standard assurances form recommendation was not implemented during the audit period and is being carried forward in this audit for full implementation. It is noted that following the audit period Commission staff is reviewing the sample assurance form
and making adjustments in alignment with the existing TDA claim for transit. RTC will ask the transit claimants to use the form starting in FY 2020-21.

**Functional Review**

1. The Commission experienced changes in both its executive and professional staffing during and after the audit period. The Commission’s long-time executive director retired from the agency in December 2018. A new executive director hired after the audit period was appointed and has led the agency since December 2018. Historically, the longevity of personnel at both the executive and professional staff levels has brought remarkable stability to the agency to address the various technical and policy issues.

2. One of the major accomplishments during the audit period was the passage of Measure D, a 30-year countywide transportation one-half cent transactions and use tax, on November 8, 2016. Passage of the measure gives the RTC leverage in applying for other transportation-related funding from state and federal grant programs as well as providing funding for transit services, infrastructure, major capital projects, some of the backlog of local road maintenance, and to maintain and expand transportation for seniors and people with disabilities. Santa Cruz County is now one of 24 self-help counties in California.

3. Several large projects were accomplished during the audit period, including the development of a preventative maintenance program for the Santa Cruz Branch Line Rail in March 2018, environmental review of auxiliary lanes on Highway 1 between 41st Avenue and Soquel Drive with a pedestrian and bicycle overcrossing at Chanticleer Avenue, and participation in the Bus on Shoulder Feasibility Study that was completed in June 2018. Designations as a Rail/Trail Authority and construction management authority place the RTC in a unique role of evolving from a purely transportation planning agency to a project implementation agency offering multimodal transportation options.

4. Interviews with RTC Commissioners provided overall high ratings for staff and activities undertaken during the audit period. Management and staff are professional, focused, and responsive. The new executive director has been charged with developing new partnerships and approaches that enhance the transparent nature of Commission activities.

5. The 2040 RTP update and corresponding environmental review was developed and adopted in June 2018. The RTP identifies the goals, projects, and programs that will maintain and improve the transportation system over the next 20 years in a measured and sustainable manner. The RTC featured numerous discussions about the RTP on the agency’s Nextdoor social media platform, which reaches 77 neighborhoods, and on Facebook, which provided yet another avenue for getting information to the public.

6. Despite no TDA funds being allocated for streets and roads, the RTC continues with an unmet transit needs process that involves obtaining public input and coordinating with the E&D TAC and Santa Cruz METRO to update the Unmet Specialized Transportation/Transit...
Needs List. The Commission also formally adopts the list in a sign of agreement. A public hearing is held annually in compliance with the law.

7. TDA claims submitted to the RTC are required to include detailed past and budgeted information to support the claims. The claims forms are reviewed by different Commission staff versed in their respective transportation expertise. Claims for transit and specialized transportation services, and claims for pedestrian improvements, are also reviewed by the E&D TAC. TDA claims for bicycle projects are reviewed by the Bicycle Advisory Committee.

8. The Commission’s Rules & Regulations serves as an in-house TDA manual documenting the claims administration process by the RTC. Most recently updated on August 17, 2017, the document provides guidance for TDA fund claims. The latest update includes changes to efficiency requirements of transit operators, to bike and pedestrian provisions, and to STA provisions. Further changes to the Rules & Regulations may be appropriate in the near term for current proposals being made to the TDA statute.

9. RTC’s public outreach focus has been to communicate its mission more effectively while working in close coordination with local jurisdictions and stakeholders. Public outreach efforts also include Spanish language to engage the Spanish speaking community. The Commission hired a communications specialist to coordinate public outreach and community engagement.

10. Commute Solutions and 511 combined under the Cruz511 umbrella and one website to reach more people and streamline operations. Alternative modes of travel are promoted and marketed, and Cruz511 has grown both in size and in popularity. A new on-line commuter management and ridesharing service is planned for launch. Growth in this program is consistent with the RTC’s goals of planning for a multimodal transportation system.

Four recommendations are provided to improve the RTC’s administration and management relating to the TDA:

1. **Include standard assurances form in TDA claims for transit.**

   This recommendation is being forwarded in this audit, since TDA claims for transit funding must ensure compliance with a series of provisions in the TDA statute. These standard assurances are typically listed in a checklist format in the TDA claims and should be reviewed and signed off by the transit claimant prior to submittal of the claim. The RTC, in turn, would verify compliance for each applicable measure prior to approving the claim for funding. Standard assurances include completion of the annual fiscal and compliance audit and State Controller’s Reports, and compliance with the farebox recovery ratio.

   TDA requirements are currently covered by the RTC’s claim form and claim review process but the standard assurances forms adds a tool in the process to provide a useful summary.
and checklist. Many of these standard assurances are featured in the compliance matrix section of the performance audit of the transit operators. In addition, a sample standard assurance checklist from another RTPA is shown for reference in the appendix to this performance audit.

2. **Make additional updates to the transit operator TDA process for consistency with the updated RTC rules and regulations.**

RTC’s revised rules and regulations manual outlines the changes made to the TDA process enacted by state legislation such as SB 508. Some of the changes also directly impact the content of the TDA claim form for transit which should be revised concurrently with the manual. For example, using the FY 2018 TDA claim form, Items #23 (Farebox Recovery Ratio) and #24 (FY 1978-79 ratios) applicable to Santa Cruz Metro should be consistent with the RTC rules and regulations and new state law. Specifically, for #23, additional exclusions from operating cost above the consumer price index for fuel, alternative fuel programs, power, insurance premiums and payments in settlement of claims, and state and federal mandates should be added in the footnotes in calculating urban/rural farebox recovery. For #24, the language should be deleted all together as the law eliminates the requirement for a separate ratio for FY 1978-79.

As an added measure, the quarterly TDA reports submitted by Community Bridges for Lift Line as described in the TDA claim form should include on-time performance of the service. Vehicle on-time arrival to pick up a passenger at the scheduled time is an important measure of operational effectiveness and customer service. The TDA claims submitted by Community Bridges describes the investment in automatic vehicle locator technology and mobile data computers that enable more automation in the tracking of vehicle movement. The technology allows the collection of accurate data such as on-time performance which should be on the list of performance metrics to include in the TDA quarterly report.

3. **RTC and Santa Cruz METRO should clarify the performance eligibility criteria for TDA-Local Transportation Funds.**

Article 4 of the TDA statute provides alternatives for Santa Cruz METRO to be eligible for TDA-Local Transportation Funds. One is for Santa Cruz METRO to meet the farebox recovery ratio. The other is to meet the 50 percent expenditure rule as an older operator, defined as service starting prior to 1974. Currently, Santa Cruz METRO meets both requirements but the documentation stating eligibility is not consistent. For example, the TDA claims form and resolution state that Santa Cruz METRO eligibility to receive LTF is from farebox compliance. However, its audited financial statements state Santa Cruz METRO meets the 50 percent expenditure limitation and does not use the alternative farebox recovery ratio. Historically, the amount of LTF allocated to Santa Cruz METRO has not exceeded 50 percent of operating expenditures; hence, either criteria applies. Farebox recovery is an important performance measure that gauges transit operational efficiency and effectiveness.
Santa Cruz METRO and RTC should discuss the applicability of each criteria and agree to which of the two meets compliance with rules and regulations for LTF. Currently, the adopting resolution allocating LTF from RTC to Santa Cruz METRO shows farebox recovery. Should the 50 percent expenditure criteria be applied instead, the TDA claims form and resolution should be adjusted. Should farebox remain the criteria, the Santa Cruz METRO audited financial statements should be modified to show audited farebox recovery rather than the 50 percent expenditure rule. This clarity will provide consistency in reporting of performance measures for LTF eligibility.

4. **City of Santa Cruz, Volunteer Center, and RTC should discuss an alternative performance measure for TDA-Local Transportation Fund eligibility.**

LTF are allocated to Volunteer Center under a performance standard that a 10 percent local match be provided by Volunteer Center. Budgets for the volunteer driver program show a local match would be provided by donations from riders, which are not enough for the 10 percent match. As the LTF revenue is claimed by the City of Santa Cruz on behalf of Volunteer Center through the TDA Article 8 program, the law provides latitude on the performance standard. In lieu of a local match, RTC, the City, and Volunteer Center should discuss an alternative measure for LTF eligibility. Among the possibilities include using goals set in the TDA claim form such as minimum ridership levels and number of unduplicated clients. Other data that is reported by Volunteer Center to RTC for which a performance standard could be created include minimum number of ride requests unable to fill, and maintenance of driver availability for clients in each of the three travel areas of Santa Cruz, San Lorenzo Valley/Scotts Valley, and Watsonville. Given that the current standard for local match cannot be met, another performance standard that is attainable yet provides a measure of service efficiency and effectiveness should be considered by the involved agencies.
Section I

Introduction – Initial Review of RTPA Functions

The Santa Cruz County Regional Transportation Commission (RTC, Commission) retained the firm Michael Baker International to conduct its Transportation Development Act (TDA) performance audit covering the most recent triennial period, fiscal years (FY) 2015–16, 2016-17, and 2017–18. As a Regional Transportation Planning Agency (RTPA), the RTC is required by California Public Utilities Code (PUC) Section 99246 to prepare and submit an audit of its performance on a triennial basis to the California Department of Transportation (Caltrans) in order to continue to receive TDA funding.

This performance audit, as required by TDA, is intended to describe how well the RTC is meeting its obligations under TDA.

Overview of RTC

The RTC is responsible for delivering a full range of safe, convenient, reliable, and efficient transportation choices for the community. With a focus on long-term sustainability, the RTC plans, funds, and implements transportation projects and services. Working together with transportation partners, the RTC secures funding to maintain the existing transportation network as well as prepare for the transportation needs of the next generation. The RTC keeps residents, visitors, and businesses moving wherever they want to go and however they choose to get there.

The RTC was originally created in 1972 by statute establishing RTPAs. The agency later became a State-designated transportation planning agency under State Government Code Sections 67940 and 67941. The RTC comprises 12 voting members plus an ex officio member. Consistent with law, the governing body is composed of all five members of the Santa Cruz County Board of Supervisors, one member for each of the cities in the county (Capitola, Santa Cruz, Scotts Valley, and Watsonville), and three members appointed by the Santa Cruz Metropolitan Transit District (Santa Cruz METRO). An alternate member may serve in the place of the regular member when the regular member is absent or disqualified from participating in a meeting of the governing body. A representative from Caltrans serves as an ex officio, non-voting member of the Commission.

State legislative approval of Senate Bill 465 in 2002 provided additional powers to the RTC to act as a Rail/Trail Authority. Government Code Section 67941 added powers of eminent domain and the power to preserve, acquire, construct, improve, and oversee multimodal transportation projects and services on rail rights-of-ways within Santa Cruz County in any manner that facilitates recreational, commuter, intercity, and intercounty travel. It also provides authority to the RTC to contract for any services to accomplish its purpose.
The RTC is guided by its published *Rules & Regulations*, updated in August 2017, specifying its membership requirements and procedures for administering various funding sources. Among them are the procedures for establishing and processing TDA apportionments, which are a major funding source for RTC operations and multimodal transportation including transit operations and pedestrian and bicycle projects. Funds are established to account for funds which are restricted for a specific project or use. Separate funds are established for programs including: Administration, Planning & Rideshare; Rail/Trail Authority; Highway 1 Project Approval/Environmental Documentation; Service Authority for Freeway Emergency (SAFE); Freeway Service Patrol (FSP); RSTP Exchange; State Transit Assistance; and TDA.

Santa Cruz County is located in the Central Coast region of California and forms the northern portion of Monterey Bay. The county is bordered by Santa Clara County to the east and northeast, Monterey County to the south, San Benito County to the southeast, and San Mateo County to the north. Established in 1850, the county was one of the original counties in California; the county’s name means “holy cross” in Spanish. It has the second smallest geographic area of any county in California after the City and County of San Francisco. A demographic snapshot of key cities and the county is presented in Table I-1.

### Table I-1
Santa Cruz County Demographics

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</thead>
<tbody>
<tr>
<td>Capitola</td>
<td>9,918</td>
<td>-0.6%</td>
<td>15.5%</td>
<td>10,240</td>
<td>1.59</td>
</tr>
<tr>
<td>Santa Cruz</td>
<td>59,946</td>
<td>+9.8%</td>
<td>8.8%</td>
<td>65,807</td>
<td>12.74</td>
</tr>
<tr>
<td>Scotts Valley</td>
<td>11,580</td>
<td>+1.7%</td>
<td>13.6%</td>
<td>12,082</td>
<td>4.60</td>
</tr>
<tr>
<td>Watsonville</td>
<td>51,199</td>
<td>+11.9%</td>
<td>8.3%</td>
<td>53,021</td>
<td>6.69</td>
</tr>
<tr>
<td>Unincorporated Area</td>
<td>129,739</td>
<td>-3.1%</td>
<td>12.7%</td>
<td>133,721</td>
<td>419.55</td>
</tr>
<tr>
<td>Total Santa Cruz County</td>
<td>262,382</td>
<td>+2.6%</td>
<td>11.1%</td>
<td>274,871</td>
<td>445.17</td>
</tr>
</tbody>
</table>

Source: 2010 US Census; California Department of Finance 2019 Population Estimates

The City of Santa Cruz is the county seat and the largest city in the county. The county and its four incorporated cities saw modest growth between 2000 and 2010, as recorded in the US Census for each of those years. Watsonville had the highest percentage increase in population. The senior citizen population, comprising residents aged 65 and over, is 11.1 percent countywide. The 2019 population for Santa Cruz County is estimated to be 274,871, as reported by the California Department of Finance.

**Organizational Structure**

RTC staff offer administrative, technical, and policy recommendations to the Commission on decisions affecting transportation. Figure I-1 shows the current organization chart of staff.
RTC meetings are generally televised on Community TV and include a full agenda on a wide range of topics. Transportation Policy Workshop meetings offer a forum for more informal and in-depth discussion on a limited set of agenda topics. The workshop meets on the third Thursday at 9:00 a.m. as needed.

In addition to the governing board, there are a number of committees and a task force. Each is briefly described below:

- Budget, Administration & Personnel Committee
- Elderly & Disabled Transportation Advisory Committee (E&D TAC)
- Bicycle Advisory Committee
- Interagency Technical Advisory Committee (ITAC)
- Measure D Taxpayer Oversight Committee
- Traffic Operations System Oversight and Safe on 17 Task Force
The Budget, Administration & Personnel Committee provides oversight with respect to Commission administration, budget, policy, finance, audit, and personnel issues and makes recommendations to the RTC on these matters. The committee consists of six commissioners elected annually by the RTC. The committee elects a chair each year. The committee meets at least once a quarter.

The E&D TAC serves as the Paratransit Advisory Council and the Social Services Transportation Advisory Council (SSTAC) required by TDA statute. The E&D TAC advises the RTC and other transportation agencies on the network of specialized transportation services for seniors and people with disabilities in Santa Cruz County, as well as about the transportation needs of these members of the community. In its capacity as the local SSTAC, the State-required entity seeks input from transit-dependent and transit-disadvantaged persons, including seniors, people with disabilities, low-income persons, and youth regarding transit needs in Santa Cruz County. The E&D TAC has 15 members comprising citizen, service provider, and agency representatives. The minimum membership for the SSTAC is nine; however, the Commission exceeds this participatory amount by including individuals representing elderly and/or disabled interests from each of the five supervisory districts, and a representative from Santa Cruz METRO. The E&D TAC meets the second Tuesday of every even-numbered month at 1:30 p.m. One meeting annually is scheduled at an appropriate location outside of the City of Santa Cruz and in proximity to a major transit route.

The Bicycle Committee serves in an advisory capacity to the RTC and its member agencies on bicycle-related issues, policies, plans, programs, and projects. Its responsibilities include advising on bicycle-related issues; reviewing proposed bicycle-related policies, programs, projects, plans, funding applications, and legislation; providing input on existing roadway/bikeway conditions affecting cycling; reviewing and approving Bikes Secure (bike parking subsidy) applications; developing bike projects for future implementation; and coordinating with local jurisdictions and bicycle-related organizations to promote cycling projects and programs. The 11-member committee comprises volunteers representing each of the five supervisory districts, each of the four cities, Bike to Work, and the Community Traffic Safety Coalition. The committee meets the second Monday of every other month, or as needed, from 6:00 p.m. to 8:30 p.m. The time may be changed by the committee with a majority vote.

The ITAC comprises staff from a variety of jurisdictions and agencies. The ITAC reviews and provides technical advice on transportation projects and programs in the region; coordinates and provides recommendations to the RTC on the use of transportation funds; and serves as a forum for sharing information on transportation projects and federal and state requirements for project implementation. There are 16 voting members and ex officio members drawing from agencies including City and County Public Works staffs; City and County Planning staffs; Santa Cruz METRO; Caltrans District 5; the Association of Monterey Bay Area Governments; the Monterey Bay Air Resources District (ex officio member); transportation management associations; the University of California, Santa Cruz; Cabrillo College (ex officio member); and
the California Highway Patrol (CHP; ex officio member). The ITAC meets on the third Thursday of the month at 1:30 p.m., or as needed.

The Measure D Taxpayer Oversight Committee reviews the annual independent fiscal audits of the expenditures of local Measure D, the 30-year countywide one-half cent transportation sales tax that was approved by Santa Cruz County voters in November 2016. The committee is tasked with releasing an annual report on its findings regarding compliance with the requirements of the Measure D Expenditure Plan and the Ordinance. Per the voter-approved ordinance, the total membership of the committee shall not exceed five members, each one a non-elected official selected from each of the five supervisory districts in the county to ensure good geographical representation.

The Traffic Operations System Oversight and Safe on 17 Task Force meets jointly to share information about traffic operation systems in Santa Cruz County and about transportation projects and collisions on Highway 17. The task force meets regularly and is composed of staff from various entities across jurisdictional lines to help ensure coordination and collaboration and improved safety and also to help improve communication amongst the participating entities and with the public. The Highway 17 corridor was identified as a high collision corridor in 1998 as a result of collision data analysis and recommendations of local, regional, county, and state agencies. A task force was formed to develop collision-reducing strategies. Also, Santa Cruz County’s transportation system runs more efficiently and safely due to several Traffic Operations System components that provide the public with important information. Members represent the RTC, the San Francisco Bay Area’s Metropolitan Transportation Commission, CHP, Caltrans, local law enforcement and fire departments, legislators’ offices, and the media.

Audit Methodology

To gather information for this performance audit, Michael Baker accomplished the following activities:

- Document Review: Conducted an extensive review of documents including various RTC files and internal reports, committee agendas, and public documents.

- Interviews: Conducted in-person interviews with RTC staff and telephone interviews with Commissioners. In-person interviews were also held with the transit operators, including Santa Cruz METRO, to gain their perspectives about the agency’s efficiency and economy.

- Analysis: Evaluated the responses from the interviews as well as the documents reviewed about the RTC’s responsibilities, functions, and performance to TDA guidelines and regulations.
All the activities described above were intended to provide information necessary to assess RTC’s efficiency and effectiveness in two key areas:

- Compliance with state TDA requirements
- Organizational management and efficiency

The remainder of this report is divided into four sections. In Section II, Michael Baker reviews the compliance requirements of the TDA administrative process. Section III describes the RTC’s responses to the recommendations in the previous performance audit. In Section IV, Michael Baker reviews the RTC’s functions in detail, while Section V summarizes our findings and recommendations.
Section II

Compliance Requirements

Fourteen key compliance requirements are suggested in the *Performance Audit Guidebook for Transit Operators and Regional Transportation Planning Entities*, which was developed by Caltrans to assess transit operators’ conformance with the TDA. Our findings concerning the RTC’s compliance with state legislative requirements are summarized in Table II-1.

<table>
<thead>
<tr>
<th>RTC Compliance Requirements</th>
<th>Reference</th>
<th>Compliance Efforts</th>
</tr>
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<tbody>
<tr>
<td>All transportation operators and city or county governments which have responsibility for serving a given area, in total, claim no more than those Local Transportation Fund (LTF) monies apportioned to that area.</td>
<td>Public Utilities Code, Section 99231</td>
<td>The RTC Rules &amp; Regulations manual, which was revised in August 2017, specifies the requirements for apportionments. The primary claimant of the funds is Santa Cruz METRO. Other transit allocations are made to the City of Santa Cruz acting on behalf of Community Bridges and Volunteer Center for transit services. Allocations are also made to local jurisdictions for other uses including pedestrian and bicycle projects. Conclusion: Complied.</td>
</tr>
<tr>
<td>The RTPA has adopted rules and regulations delineating procedures for the submission of claims for facilities provided for the exclusive use of pedestrians and bicycles.</td>
<td>Public Utilities Code, Sections 99233.3 and 99234</td>
<td>The RTC Rules &amp; Regulations specifies the requirements for uses of LTF for pedestrian and bicycle projects. According to the document, rather than allocating under Article 3 (PUC Section 99233.3) which has funding allocation limitations for these uses (2 percent of the County’s allocation), the RTC allocates funds under Article 8 of the TDA. An eligible claim for Article 8 includes planning and investment in pedestrian and bicycle facilities. Conclusion: Complied.</td>
</tr>
<tr>
<td>The RTPA has established a social</td>
<td>Public Utilities Code,</td>
<td>The RTC has established an SSTAC</td>
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TABLE II-1
RTC Compliance Requirements Matrix

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<tbody>
<tr>
<td>services transportation advisory council. The RTPA must ensure that there is a citizen</td>
<td>Sections 99238 and 99238.5</td>
<td>required under PUC Section 99238. The roles and responsibilities of the</td>
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<td>participation process which includes at least an annual public hearing.</td>
<td></td>
<td>15-member E&amp;D TAC, which serves as the SSTAC, are based on TDA guidelines. Additional members beyond the required positions include a member from Santa Cruz METRO and a represent from each county supervisorial district.</td>
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<td></td>
<td></td>
<td>Based on the member list on the RTC website, the committee has two vacancies (social service provider for the County-seniors and social service provider for the County-disabled) of the required positions. This is an improvement from the prior audit period in which there were four vacancies. The RTC has an application form available on its website to help fill the vacancies. A quorum is seven members, if all positions are full. Quorum is determined by the number of filled positions.</td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>Conclusion: Complied.</strong></td>
</tr>
<tr>
<td>The RTPA has annually identified, analyzed and recommended potential productivity</td>
<td>Public Utilities Code, Section 99244</td>
<td>The RTC actively monitors the activities of the transit systems in the county through various methods including reviewing quarterly and annual performance reports that are submitted by the operators. While a committee for the purpose of advising on productivity improvements is not formed, the E&amp;D TAC, which includes Santa Cruz METRO as a member, also provides a venue for RTC discussion on transit activities and improvements.</td>
</tr>
<tr>
<td>improvements which could lower the operating costs of those operators which operate at</td>
<td></td>
<td>Through the commission of the triennial performance audit by the RTC, recommendations are made to</td>
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<td>least 50 percent of their vehicle service miles within the RTPA’s jurisdiction.</td>
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<td>Recommendations include, but are not limited to, those made in the performance audit.</td>
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<tr>
<td>- A committee for the purpose of providing advice on productivity improvements may be</td>
<td></td>
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<tr>
<td>formed.</td>
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Triennial Performance Audit
Regional Transportation Commission
### TABLE II-1
RTC Compliance Requirements Matrix

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<td>• The operator has made a reasonable effort to implement improvements recommended by the RTPA, as determined by the RTPA, or else the operator has not received an allocation which exceeds its prior year allocation.</td>
<td></td>
<td>improve the efficiency and economy of the transit systems. Santa Cruz METRO’s Short-Range Transit Plan and Comprehensive Operations Analysis provide further areas for productivity improvements. Also, the annual TDA claims administered by the RTC present areas of improvement by transit, including progress in meeting performance goals and measures. Furthermore, each of the transit systems provides performance measures to the RTC on a quarterly and annual basis.</td>
</tr>
<tr>
<td>The RTPA has ensured that all claimants to whom it allocates Transportation Development Act (TDA) funds submits to it and to the state controller an annual certified fiscal and compliance audit within 180 days after the end of the fiscal year (December 27). The RTPA may grant an extension of up to 90 days as it deems necessary (March 26).</td>
<td>Public Utilities Code, Section 99245</td>
<td>Annual certified fiscal and compliance audits were completed for the transit claimants, including for Santa Cruz METRO and for City of Santa Cruz acting as the claimant for Community Bridges and Volunteer Center. For FYs 2016, 2017, and 2018, the annual financial audits were submitted within the 180-day period, in December each year.</td>
</tr>
<tr>
<td>The RTPA has designated an independent entity to conduct a performance audit of operators and itself (for the current and previous triennium). For operators, the audit was made and calculated the required performance indicators, and the audit report was transmitted to the entity that allocates the operator’s TDA monies and to the RTC within 12 months after the</td>
<td>Public Utilities Code, Sections 99246 and 99248</td>
<td>For the current three-year period, the RTC retained Michael Baker International to conduct the audit of the RTPA and the Santa Cruz County transit operators. Michael Baker International was retained to conduct the previous audit for the three fiscal years that ended June 30, 2015. Caltrans and RTC have granted extensions for submittal of the audits.</td>
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<tr>
<td>end of the triennium. If an operator’s audit was not transmitted by the start of the second fiscal year following the last fiscal year of the triennium, TDA funds were not allocated to that operator for that or subsequent fiscal years until the audit was transmitted.</td>
<td></td>
<td>Conclusion: Complied.</td>
</tr>
<tr>
<td>The RTPA has submitted a copy of its performance audit to the Director of the California Department of Transportation. In addition, the RTPA has certified in writing to the Director, that the performance audits of the operators located in the area under its jurisdiction have been completed.</td>
<td>Public Utilities Code, Section 99246(c)</td>
<td>The RTC submitted a written letter to Caltrans requesting an extension of the prior performance audit. The performance audit was submitted to Caltrans following its completion. Conclusion: Complied.</td>
</tr>
<tr>
<td>The performance audit of the operator providing public transportation service shall include a verification of the operator’s operating cost per passenger, operating cost per vehicle service hour, passengers per vehicle service mile, and vehicle service hours per employee, as defined in Section 99247. The performance audit shall include, but not be limited to, consideration of the needs and types of passengers being served and the employment of part-time drivers and the contracting with common carriers of persons operating under a franchise or license to provide services during peak hours, as defined in subdivision (a) of Section 99260.2</td>
<td>Public Utilities Code, Section 99246(d)</td>
<td>The performance audit of the Santa Cruz County transit operators includes all required elements. Conclusion: Complied.</td>
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### TABLE II-1
RTC Compliance Requirements Matrix

<table>
<thead>
<tr>
<th>RTC Compliance Requirements</th>
<th>Reference</th>
<th>Compliance Efforts</th>
</tr>
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<tbody>
<tr>
<td>The RTPA has established rules and regulations regarding revenue ratios for transportation operators providing services in urbanized and new urbanized areas.</td>
<td>Public Utilities Code, Section 99270.1 and 99270.2</td>
<td>According to the previous RTC Rules &amp; Regulations, Santa Cruz METRO was subject to a farebox recovery ratio of 15 percent. This requirement was changed from passage of Senate Bill 508 in October 2015. RTC updated its Rules &amp; Regulations in 2017 with new language that Santa Cruz METRO is subject to farebox recovery ratios as set forth by state law. Beginning in FY 2016-17, state law set urban farebox at 20 percent and rural farebox at 10 percent. RTC local policy continues to require Santa Cruz METRO to show different ratios for urban and rural service. In the annual claims forms, Santa Cruz METRO separately reports its urban and rural farebox recovery ratios and has complied with meeting the respective ratios. In addition to farebox recovery, the annual financial audit for Santa Cruz METRO indicates that the agency meets the 50 percent expenditure limitation under the TDA (PUC 99268) in lieu of meeting the farebox recovery requirement. Whichever requirement applies to Santa Cruz METRO, either farebox recovery or 50 percent expenditure limitation, for LTF eligibility should be clarified between Santa Cruz METRO and the RTC. TDA law indicates only one of these two requirements applies (PUC 99268.2) if Santa Cruz METRO’s claim for LTF remains below 50 percent of its operating costs.</td>
</tr>
<tr>
<td>RTC Compliance Requirements</td>
<td>Reference</td>
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<tr>
<td>The RTPA has adopted criteria, rules and regulations for the evaluation of claims under Article 4.5 of the TDA and the determination of the cost-effectiveness of the proposed community transit services.</td>
<td>Public Utilities Code, Section 99275.5</td>
<td>The RTC has not adopted rules and regulations for Article 4.5 claims, as the agency does not disburse any TDA funds under this article section. The consolidated transportation service agency (CTSA) in the county is Community Bridges, which receives TDA Article 8 funds through the City of Santa Cruz acting as the claimant on behalf of the transit system. Likewise, Volunteer Center also receives Article 8 transit funds through the City of Santa Cruz. Conclusion: Not applicable.</td>
</tr>
<tr>
<td>State transit assistance funds received by the RTPA are allocated only for transportation planning and mass transportation purposes.</td>
<td>Public Utilities Code, Sections 99310.5 and 99313.3 and Proposition 116</td>
<td>The RTC allocates State Transit Assistance (STA) funds to Santa Cruz METRO for transit purposes. RTC may also allocate this portion of STA for community transportation services. Conclusion: Complied.</td>
</tr>
<tr>
<td>The amount received pursuant to Public Utilities Code, Section 99314.3; by each RTPA for state transit assistance is allocated to the operators in the area of its jurisdiction as allocated by the State Controller’s Office.</td>
<td>Public Utilities Code, Section 99314.3</td>
<td>The RTC allocates operator revenue-based STA funds to Santa Cruz METRO in accordance with the amounts published by the State Controller’s Office. Conclusion: Complied.</td>
</tr>
<tr>
<td>If TDA funds are allocated to purposes not directly related to public or specialized transportation services, or facilities for exclusive use of pedestrians and bicycles, the transit planning agency has annually: • Consulted with the Social</td>
<td>Public Utilities Code, Section 99401.5</td>
<td>As no TDA is used for streets and roads, the RTC is not required to hold a formal unmet transit needs process under PUC Section 99401.5. However, the RTC continues to obtain input on potential transit needs from the community. The RTC works through the E&amp;D TAC and cooperatively with Santa Cruz METRO for this process in which an Unmet...</td>
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<tr>
<td>Services Transportation Advisory Council (SSTAC) established pursuant to Public Utilities Code, Section 99238;</td>
<td>California Administrative Code, Section 6662</td>
<td>Specialized Transportation/Transit Needs List is developed by staff. During the annual public hearing, staff reports that the unmet needs list helps determine projects for funding when funding becomes available. The list is organized under general needs, paratransit needs, and transit needs and is prioritized within those categories. The transit needs process is addressed by the E&amp;D TAC through development and review of a draft and final list. The Commission adopts the Unmet Specialized Transportation/Transit Needs List each spring following a public hearing. Conclusion: Complied.</td>
</tr>
<tr>
<td>- Identified transit needs, including:</td>
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<td>- Groups that are transit-dependent or transit disadvantaged,</td>
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<tr>
<td>- Adequacy of existing transit services to meet the needs of groups identified, and</td>
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<tr>
<td>- Analysis of potential alternatives to provide transportation services;</td>
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<tr>
<td>- Adopted or re-affirmed definitions of “unmet transit needs” and “reasonable to meet;”</td>
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<tr>
<td>- Identified the unmet transit needs and those needs that are reasonable to meet; Adopted a finding that there are no unmet transit needs that are reasonable to meet; or that there are unmet transit needs including needs that are reasonable to meet.</td>
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If a finding is adopted that there are unmet transit needs, these needs must have been funded before an allocation was made for streets and roads.

The RTPA has caused an audit of its accounts and records to be performed for each fiscal year by the county auditor, or a certified public accountant. The RTPA must transmit the resulting audit report to the State Controller. The accounting firm of Moss, Levy & Hartzheim, LLP conducted the financial audit of the RTC for FYs 2016, 2017, and 2018. The Audited Financial Statements and Compliance Reports were submitted to the State Controller within 12 months of the
Findings from RTPA Compliance Requirements Matrix

The RTC has satisfactorily complied with applicable state legislative mandates for RTPAs. One compliance measure that did not apply to the RTC pertains to adopting rules and regulations for TDA claims under Article 4.5. The RTC does not use this article section to disburse TDA funds. Rather, the CTSA (Community Bridges) receives TDA funds through the City of Santa Cruz as the claimant for Article 8.

Despite no TDA funds being allocated for streets and roads, the RTC continues with an unmet transit needs process that involves obtaining public input and coordinating with the E&D TAC and Santa Cruz METRO to annually update the Unmet Specialized Transportation/Transit Needs List. The annual updating of the Unmet Specialized Transportation/Transit Needs List serves as a tool to identify and prioritize potential transit service and facility improvements throughout the county.

The RTC Rules & Regulations manual was updated in August 2017 and provides the documented guidance for TDA fund administration and distribution. The rules describe the processes necessary to ensure the proper sequence of actions that are taken and the eligibility

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<tbody>
<tr>
<td>within 12 months of the end of each fiscal year and must be performed in accordance with the Basic Audit Program and Report Guidelines for California Special Districts prescribed by the State Controller. The audit shall include a determination of compliance with the transportation development act and accompanying rules and regulations. Financial statements may not commingle the state transit assistance fund, the local transportation fund, or other revenues or funds of any city, county or other agency. The RTPA must maintain fiscal and accounting records and supporting papers for at least four years following the fiscal year close.</td>
<td></td>
<td>end of each fiscal year. The RTC also maintains fiscal and accounting records and supporting papers for at least four years following the fiscal year close.</td>
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</table>

**Conclusion: Complied.**

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**Triennial Performance Audit**

*Regional Transportation Commission*

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**8-30**
requirements for the claimants. Other components of the rules and regulations stipulate the flow of TDA apportionments that directly affect the budgeting for the RTC and its members.

The *Rules and Regulations* and TDA claims form show the qualifying criteria for the transit operators. One is for Santa Cruz METRO to meet the farebox recovery ratio. However, METRO’s audited financial statements show Santa Cruz METRO meeting the 50 percent expenditure limitation under TDA while stating the agency does not use the alternative farebox recovery ratio. Santa Cruz METRO and RTC should discuss the applicability of each criteria and agree to which of the two should be used for compliance and eligibility for LTF. In addition, Santa Cruz Volunteer Center is subject to local match requirements for TDA. Budgets for the volunteer driver program show a local match would be provided by donations from riders, which are not enough for the 10 percent match. In lieu of a local match, RTC, the City of Santa Cruz, and Volunteer Center should discuss an alternative measure for LTF eligibility.

TDA funds for bicycle and pedestrian projects are allocated under Article 8, which is a statutory provision that follows transit allocations to METRO under Article 4. The allocations are made to support community programs such as the Community Traffic Safety Coalition, and Ride ‘n Stride/Ecology Action’s Walk Smart Program. Allocations are also made to the County and the cities for bicycle and pedestrian projects using a population formula after allocations are made to all other recipients of TDA funds.
Section III

Prior Triennial Performance Audit Recommendations

This chapter describes the RTC’s response to the recommendations included in the prior triennial performance audit. Each prior recommendation is described, followed by a discussion of the agency’s efforts to implement the recommendation. Conclusions concerning the extent to which the recommendations have been adopted by the agency are then presented.

Prior Recommendation 1

Include standard assurances form in TDA claims for transit.

Background: TDA claims for transit funding must ensure compliance with a series of provisions in the TDA statute. These standard assurances are typically listed in a checklist format in the TDA claims and should be reviewed and signed off by the transit claimant prior to submittal of the claim. The RTC, in turn, would verify compliance for each applicable measure prior to approving the claim for funding. Standard assurances include completion of the annual fiscal and compliance audit and State Controller’s Reports, and compliance with the farebox recovery ratio.

Many of these standard assurances are featured in the compliance matrix section of the performance audit of the transit operators. In addition, a sample standard assurance checklist from another RTPA was included for reference in the appendix to the prior performance audit.

Actions taken by the RTC

The RTC’s Rules & Regulations contains TDA claims procedures for all service modes that receive TDA funding. A checklist is provided toward the end of the TDA claim form entitled “Documentation to Include with Your Claim.” All claims are required to have attached:

- A letter of transmittal addressed to the RTC executive director that attests to the accuracy of the claim and all its accompanying documentation; and
- Statement from the TDA-eligible claimant indicating its role and responsibilities.

In addition to the aforementioned, Article 8 Bicycle/Pedestrian Claims are required to include:

- Evidence of environmental review for capital projects.

All Transit and Specialized Transportation Claims (Santa Cruz METRO, CTSA, and Volunteer Center) are required to include:
• A copy of the operating and capital budgets for the coming fiscal year.
• Description of capital projects, including time frame over which project will be funded and implemented.
• Operating plan for current and upcoming activities – can be within project description.

Article 4 Transit Claims require:

• A certification from the CHP (completed within the last 13 months) indicating that the operator is in compliance with Section 1808.1 of the Vehicle Code.
• Other certifications.
• Written report of current and upcoming activities (per RTC Rules & Regulations).

Following this checklist, the local claimant certifies that the claim has been prepared in accordance with the RTC’s budget, Rules and Regulations, and Caltrans TDA Guidebook. Although the claims checklist denotes important supporting documentation for inclusion with the claim, the Commission has yet to include the standard assurances check-off list with its claim form. As was explained in the prior performance audit, standard assurances are intended as an easy checklist for both the operator and RTC to confirm and sign off that major TDA provisions are met as a condition of receiving the funds such as completion of the annual fiscal and compliance audit and State Controller’s Reports, and compliance with the farebox recovery ratio. Many of these standard assurances are featured in the compliance matrix section of the performance audit of the transit operators as a reference.

**Conclusion**

This recommendation has not been implemented and is carried forward for full implementation. It is noted that following the audit period Commission staff is reviewing the sample assurance form and making adjustments in alignment with the existing TDA claim for transit. RTC will ask the transit claimants to use the form starting in FY 2020-21.

**Prior Recommendation 2**

Update the RTC rules and regulations for new TDA legislation.

**Background:** The RTC updated its rules and regulations in 2014 in meeting a prior audit recommendation. Because of additional changes to the TDA legislation following the update, a number of new measures should be reflected in the rules and regulations. Among them are new TDA requirements created through passage of Senate Bill (SB) 508 in October 2015.

The legislation has several objectives, including simplifying fare recovery requirements, authorizing funding of bicycle and pedestrian safety education programs, and modifying STA qualifying criteria for operations. The RTC’s rules and regulations should be updated to reflect
these changes and identify the responsible party for implementing the updates, such as the fiscal auditor or Santa Cruz METRO for the farebox recovery calculation. The RTC should also communicate these changes to the transit systems and determine what implication, if any, the changes might have on their respective transit operations.

**Actions taken by the RTC**

The Commission updated many areas in its rules and regulations during the audit period. The revised document, *Rules & Regulations*, was adopted by the Commission on August 17, 2017, and contains procedures for the apportionment and allocation of TDA under Articles 3, 4, and 8 that reflect the recent changes to TDA. These include changes to efficiency requirements of transit operators, to bike and pedestrian provisions, and to the State Transit Assistance program. In addition, the federal Fixing America’s Surface Transportation (FAST) Act made some changes to federal funding programs. Changes made by SB 508 and the FAST Act are incorporated into the revised *Rules & Regulations*. Further changes to the *Rules & Regulations* may be appropriate in the near term for current proposals being made to the TDA statute. In addition, the RTC may want to incorporate some Measure D items such as bylaws for the Measure D oversight committee once they have been approved.

**Conclusion**

This recommendation has been implemented.
Section IV

Detailed Review of RTPA Functions

This section assesses in detail the RTC’s functions and performance as an RTPA during this audit period. Using Caltrans’s Performance Audit Guidebook for Transit Operators and Regional Transportation Planning Entities, the RTC’s activities can be divided into the following activities:

- Administration and Management
- Transportation Planning and Regional Coordination
- TDA Claimant Relationships and Oversight
- Marketing and Transportation Alternatives
- Grant Applications and Management

Administration and Management

RTC staff is led by the executive director responsible for reporting to the Commission and facilitating the coordination of the transportation system in Santa Cruz County. Historically, the longevity of personnel at both the executive and professional staff levels has brought remarkable stability to the agency to address the various technical and policy issues. However, the Commission saw turnover in both its executive and professional staffing during and after the audit period. The Commission’s long-time executive director retired in December 2018. A new executive director hired after the audit period was appointed and has led the agency since December 2018. There were eight staff departures during the audit period, including three senior-level planners. Six employees joined the agency during the period, including a senior engineer and two engineering interns. There were several additional departures and new hires subsequent to the audit period. The RTC’s long-tenured fiscal officer left the agency at the end of March 2019 and a new Director of Finance and Budget was hired. In addition, a new Communications Specialist was hired with responsibility for media contact, public outreach, and community engagement to advance the agency’s public voice on transportation. At the end of FY 2017-18, there were 17 full- and part-time employees representing 15.75 full-time equivalent positions.

The RTC retains a contract with the County for certain functions like legal, real estate, and treasury. Although the RTC does not employ a human resources officer, personnel management and other administrative functions are the responsibility of the administrative services officer. The agency contracts with vendors to offer health benefits and other coverage. Retirement benefits are provided through CalPERS including voluntary contribution to a 457 Deferred
Compensation Plan. Also, the RTC manages its own payroll using a web-based program. Staff evaluations are conducted for pay step increases until the employee reaches the maximum step.

Two employee unions are recognized: the RTC Association of Middle Managers representing four managers, and Service Employees International Union (SEIU) Local 521 representing planners, an accounting technician, and administrative employees. The SEIU contract, which expired in March 2015, was further extended to March 31, 2018, with provisions including cost of living increases and contributions to pensions. Effective April 2016, employees pay their full share of contributions to their retirement plans. As an equity offset, special provisions in the memorandum of understanding (MOU) provided that each step in the salary range for all employees is increased by a certain percentage in April 2015 and in April 2016. The MOU further included that the RTC and SEIU agree to postpone conducting a joint compensation study until the fall of 2017. It is noted that after the audit period a compensation study was completed and labor agreements were negotiated which implement the compensation study and expire on March 31, 2021.

Each year, the RTC produces an annual work program in consultation with Caltrans along with the annual budget; it also makes amendments to the work program throughout the year as necessary. The work program guides the allocation of staff resources to meet mandated responsibilities as well as RTC priorities for the coming year. Key information for each work element is described including financial data, project description, proposed federal expenditure, previous project accomplishments, and timelines and deliverables.

Highlights of multimodal transportation initiatives and projects that the RTC has facilitated through its committees and partnerships that are either completed or underway during the audit period include the following:

**Local Measure D**

One of the major accomplishments during the audit period was the passage of Measure D, a 30-year countywide transportation one-half cent transactions and use tax, on November 8, 2016. Passage of the measure gives the RTC leverage in applying for other transportation-related funding from state and federal grant programs as well as providing funding for transit services, infrastructure, major capital projects, some of the backlog of local road maintenance, and to maintain and expand transportation for seniors and people with disabilities. The funding includes 20 percent of measure D funds to METRO (16 percent) and the CTSA (4 percent), as well as 8 percent to the preservation of railroad infrastructure. This significantly increases the amount of funds that are dedicated to transit services and infrastructure. Measure D generates an estimated $20 million in revenues annually.

Santa Cruz County is now one of 24 self-help counties in California. The measure’s implementation and expenditures are overseen by the Measure D Taxpayer Oversight Committee. The committee is composed of five members, who are non-elected officials. The
members are selected to represent each of the five supervisorial districts in the county to ensure good geographical representation. At least one of the members, the committee chair, is a certified public accountant. Measure D contains a maintenance of effort requirement supported by audited financial data.

As part of the measure implementation, in late 2019 the RTC initiated development of a strategic implementation plan for the measure that would also assess potential bonding opportunities. The 2020 Measure D Strategic Implementation Plan is intended to serve as the guiding policy and programming document for the implementation of regional Measure D projects. Included in the 2020 Strategic Implementation Plan are:

- Policies related to managing and expending sales tax revenues;
- Policies related to project delivery and management;
- Schedules and descriptions of programs and projects for the next five years;
- Financial planning strategies, including borrowing and investment approaches; and
- Project implementation requirements such as audit and reporting requirements.

**Santa Cruz Branch Rail Line**

The RTC acquired the Santa Cruz Branch Line from the Union Pacific Railroad in October 2012. The RTC is designated as a Rail/Trail Authority and construction management authority involved in engineering work to rehabilitate structures and award contracts for construction. Bridge rehabilitation construction work was completed for four bridges, including complete reconstruction of the La Selva Beach trestle. Also, the Commission secured a Caltrans transit planning grant to analyze the feasibility of commuter and/or intercity passenger rail service in the corridor and completed a Passenger Rail Feasibility Study in December 2015 through extensive community engagement.

The Commission is responsible for maintaining the portion of the right-of-way (ROW) outside of the railroad easement, which is defined as a 10-foot lateral width in each direction from the railroad centerline. Designations as a Rail/Trail Authority and construction management authority place the RTC in a unique role of evolving from a purely transportation planning agency to a project implementation agency offering multimodal transportation options. Internal goals and achievements must align with these multifaceted responsibilities, which the agency has exemplified through these large projects, among other functions. Challenges lie ahead, however, with regard to management of the rail corridor and its connectivity with the overall transportation network. The Rail/Trail Authority generates $60,000 in lease revenues.

A preventative maintenance program for the Santa Cruz Branch Line Rail corridor was developed by RTC staff and implemented in March 2018. The maintenance program includes a process for responding to maintenance reports from the community or local jurisdictions, and guidelines for regular maintenance inspections for preventative maintenance efforts. RTC staff
procured on-call maintenance contractors for light civil/grading, vegetation control, encampment cleanup, no-trespassing signing installation, and graffiti abatement. In addition, the Commission adopted the Final Unified Corridor Investment Study in January 2019, which would involve collaboration with Santa Cruz METRO on an Alternatives Analysis for high capacity transit options on the rail ROW. The RTC received a Caltrans State Highway Account Grant for $100,000, which will be applied toward the Alternatives Analysis.

**Coastal Rail Trail**

The Monterey Bay Sanctuary Scenic Trail Network is an RTC-proposed 50-mile bicycle and pedestrian trail project. The spine of the trail network is composed of the 32-mile Coastal Rail Trail from Davenport to Watsonville, to build within or adjacent to the Commission-owned Branch Rail Line ROW. Initiation of projects began following adoption of the award-winning Master Plan, a document that serves as the guiding blueprint for the project’s implementation. Thirteen miles of projects are in various stages of development and have been funded in full or in part.

The Commission is working with Central Federal Lands to implement a 7.5-mile north coast rail trail project for which a Federal Lands Access Grant had been awarded, with matching funds provided by the Land Trust of Santa Cruz County, the California Coastal Conservancy, and the Commission. A request for proposals for consultant services was released, and a team was selected to develop the environmental impact report in FY 2017-18. The environmental report was certified in March 2019 and the RTC is now working with Central Federal Lands to complete the final design.

**Highway 1 Auxiliary Lanes**

The Commission has been involved in the management and completion of a series of auxiliary lanes on Highway 1. The lanes extend the weaving and merging distance between the ramps and improve traffic flow by providing greater separation between vehicles entering and exiting the freeway from mainline traffic. In 2003, work began on the project approval/environmental documentation phase of the Highway 1 Corridor Investment Program. The RTC has been the construction manager for this project with the assistance of an engineering consultant and partnership with Caltrans.

The benefits of the RTC assuming construction management authority have included direct involvement in critical decisions regarding the project, proactive construction management approach, development of locally beneficial and lasting ancillary transportation components, and local accountability and community relations. During the audit period, the Commission has been focused on the environmental review and design of auxiliary lanes on Highway 1 between 41st Avenue and Soquel Drive with a pedestrian and bicycle overcrossing at Chanticleer Avenue.

The RTC awarded a contract to a professional engineering consultant to prepare the plans, specifications, and estimate (PS&E) package for the Highway 1 auxiliary lanes project.
D funds were used to expedite the delivery of this project by advancing the PS&E phase concurrent with the environmental phase.

**Bus on Shoulder Feasibility Study**

Increased levels of traffic congestion along the Highway 1 corridor have prompted the consideration of multimodal alternatives. Monterey-Salinas Transit (MST) approached Caltrans about the possibility of studying bus operations on the shoulders of Highway 1. Assembly Bill 946 (Stone) was passed in 2013 allowing Monterey and Santa Cruz Counties to operate buses on shoulders. The Commission participated in the Bus on Shoulder Feasibility Study, which evaluated the feasibility of operating buses on the shoulder of Highway 1 in Santa Cruz County. The feasibility study was completed in June 2018 and concluded that operating buses on the outside shoulders of Highway 1 is feasible and cost effective if implemented with the already planned auxiliary lanes projects on Highway 1. RTC staff has been working with Santa Cruz METRO, Caltrans, and CHP on an implementation strategy for the bus on shoulder project. A Concept of Operations document was released in May 2019, which provides the framework for the design, implementation, and operation of the facility.

Other multimodal transportation projects that the RTC has facilitated through its committees and partnerships that are either completed or underway during the audit period include:

- San Lorenzo Valley Highway 9 Corridor
- Branciforte Creek Bike/Ped Bridge, Santa Cruz
- Mt. Hermon Road/Scotts Valley Drive/Whispering Pines Drive Intersection Modifications, Scotts Valley
- Glen Canyon Road/Green Hills Road/S. Navarra Drive Bike Corridor and Roadway Preservation
- Airport Boulevard Improvements (Freedom Boulevard to Watsonville city limits)
- Freedom Boulevard Reconstruction (Broadis Street to Alta Vista Avenue)
- Sidewalk Infill Harkins Slough Road and Main Street, Watsonville
- Aptos Village Improvements
- Twin Lakes Beachfront (5th Ave to 7th Ave)
- ParaCruz van replacement
- Open Streets Watsonville

Progress by the RTC is made through active support of the Commissioners. Regular monthly Commission meetings are held and are well attended by the Commissioners, based on the auditor’s review of meeting minutes during the audit period. This is an indication of the
education, interest, and engagement by the Commissioners on transportation topics. Transportation Policy Workshops are also held to focus in-depth on specific items. Meeting locations are alternated among each of the four cities to encourage participation by the communities and enhance the visibility of the RTC to the community.

Telephone interviews with Commissioners provided overall high ratings for staff and activities undertaken during the audit period. Highlights from the interviews include:

- RTC staff is professional, focused, and responsive. An attribute in the hiring of the new executive director was enabling greater transparency with Commission functions.
- Board representation has been adequate and more inclusive with the South County having more of a voice. The RTC has focused on efforts that provide more opportunity to obtain more input from South County residents.
- The Commission has become more project driven and is better able to anticipate issues on potential construction challenges.
- While Commission votes are not always unanimous, the RTC works on issues through rigorous technical and policy explanations.
- Relations have been close between the Commission and Santa Cruz METRO. RTC board members expressed need for further coordination between RTC and Santa Cruz METRO for accommodating multimodal alternatives on the rail corridor. The appointment of a designated liaison would be helpful in facilitating communication during the project.

**Transportation Planning and Regional Coordination**

Projects approved for funding by the RTC are included in the Santa Cruz County Regional Transportation Improvement Program (RTIP). The RTIP identifies projects programmed to receive various state and federal funds, amends information on previously programmed projects, and acts as Santa Cruz County’s proposal to the California Transportation Commission (CTC) for programming State Transportation Improvement Program (STIP) funds. Federally funded transportation projects, including those projects approved for funding by agencies other than the RTC, are included in the Federal Transportation Improvement Program developed by the Association of Monterey Bay Association of Governments (AMBAG).

TDA revenues in the county increased during the audit period with an improving economy but were met by increased demands for the revenue to offset higher transit operating costs as well as from work programs undertaken by the Commission. Other state and federal funds for overall transportation activity were also carefully monitored. RTC management worked with the Commissioners to continue to fund programmed improvements.

During the audit period, the Commission adopted the 2016 RTIP following a public hearing at its December 2015 meeting. Since no new programming capacity was available for the 2016 STIP, the 2016 RTIP carried over projects from the 2014 RTIP. This was due to a projected decrease in
transportation revenues attributed to lowered gasoline excise tax rate by the State Board of Equalization, which went into effect on July 1, 2015. This further compounded fiscal challenges and resulted in a lack of funding capacity for projects programmed. Despite the funding shortfall, the 2016 RTIP was adopted in November 2015 for inclusion in the STIP. In December 2015, the RTC submitted its RTIP to the state as part of the 2016 STIP process. In January 2016, the CTC released its revised fund estimate, which forecasted lower than projected STIP revenues. The CTC deleted over $750 million in projects that had previously been programmed funds and delayed most other projects for several years.

In response to this projected shortfall, RTC proposed to the CTC a shifting of funds for previously approved projects to later years. The Commission delayed 80 percent of previously approved funds. In May 2016, the CTC delayed additional projects and deleted funding designated for construction of one project in Santa Cruz County. At its March 2, 2017, meeting, the Commission approved amendments to its 2016 RTIP in order to maximize use of STIP funding available in FY 2017-18, which would program funds necessary to close out the construction contract for the Highway 1 Soquel-Morrissey Auxiliary Lanes Project.

With the passage of Senate Bill 1, new STIP funding was made available for programming for the first time since 2014. The 2018 STIP Fund Estimate identified Santa Cruz County’s programming target for the five years of the 2018 STIP cycle (FY 2018-19 through FY 2022-23) as $17,461,000. This funding is made up of $9,279,000 in unprogrammed balances and reserves from prior STIP cycles and $8,182,000 in the 2018 STIP Formula Share.

For programming of available transportation improvement program funds, the RTC holds a call for projects and hosts a workshop for applicants. The scoring of project applications includes linking scoring criteria to the Regional Transportation Plan (RTP) performance measure targets to achieve a balanced transportation system by mode and by geography. Project sponsors must follow state rules for environmental clearance and local matches. The TDA, as an example, is used as a local match for some transit and bicycle projects, while state toll credits can be used for federally funded projects. RTC staff maintain an Access database to track amendments submitted by project sponsors through letters to the Commission. A major amendment is required to go through the Commission’s committees for review and approval. Staff conduct check-ins on the project sponsors about three times a year.

*Regional Transportation Plan*

For the audit period, the update to the RTP and corresponding environmental review was developed and adopted in June 2018. The draft 2040 RTP was available for public review and comment from December 8, 2017, to February 5, 2018. The RTP is incorporated into AMBAG’s tri-county Metropolitan Transportation Plan/Sustainable Communities Strategy, which covers the counties of Santa Cruz, Monterey, and San Benito. The RTP’s environmental impact report was developed by AMBAG. The 2040 RTP is required to conform to the mandates stipulated in California’s Assembly Bill 32 and Senate Bill 375, which call for regions across California to reduce greenhouse gas emissions from cars and light trucks. The document is composed of an
executive summary, nine chapters, and associated appendices. Chapters address sustainability, the transportation network, travel patterns, vision and goals for 2040, funding, transportation investments, system performance, environmental and air quality, and emerging trends and opportunities. In addition, socioeconomic and demographic data were updated in the 2040 RTP.

Addressing all required elements including policy, action, and financial, the RTP is a comprehensive planning document that identifies the goals, projects, and programs that will maintain and improve the transportation system over the next 20 years. The financially constrained project list consists of approximately 220 projects that could be fully implemented and 120 projects that could be partially implemented over the time horizon of the RTP. The role of the RTP is to plan for a transportation system that will reduce the number of vehicle miles traveled through coordinated land use and transportation planning. The final plan reflects ideas, issues, and recommendations received from RTC committees, project sponsors, partner agencies, resource agencies, the public, and public interest groups at key milestones.

Public input is critical to the planning and decision-making process mandated by law. RTC staff conducted two years of extensive outreach in developing a vision for transportation in Santa Cruz County. As such, comments from a wide range of individuals, public interest groups, and local agencies were solicited during development of the plan. As outlined in the 2015 Public Participation Plan, outreach for the RTP included a variety of public participation activities. The RTC’s extensive public involvement process included public meetings, workshops, news releases, online and phone surveys, a plan website, social media engagement (Facebook, Twitter, and Nextdoor), radio and television interviews, and email notices to a broad range of over 1,000 individuals, groups, agencies, and stakeholders.

New for this RTP update was the increased usage of social media to inform the community on how to get involved in the long-range transportation planning process. The RTC featured numerous discussions about the RTP on the agency’s Nextdoor social media platform, which reaches 77 neighborhoods, and on Facebook, which provided yet another avenue for getting information to the public. The public was able to review proposed projects in which the RTC conducted scoring to create a constrained funding project list and an unconstrained list for the plan.

A new and innovative tool, the Sustainable Transportation Analysis and Ratings System (STARS), was used to develop the 2014 RTP based on sustainability outcomes. This approach provided a framework for evaluating the RTP in terms of the triple bottom line of economy, environment, and healthy communities. The transportation plan’s goals and policies incorporate STARS sustainability outcomes and will guide project selection for the short and long term.

The 2040 RTP includes the following key proposals based on available funding:

- Maintenance of the existing transportation network including roads, highways, bike lanes, sidewalks, and transit;
• Safety and operational improvements to SR 1, 9, 17, 129, and 152;
• Addition of auxiliary lanes on SR 1 between State Park Drive in Aptos and Soquel Drive;
• Bicycle and pedestrian crossings over SR 1 at Chanticleer and Mar Vista;
• Modifications to major arterial roads, including intersection improvements and bus, pedestrian, and bicycle facilities;
• Freeway Service Patrol along SR 1 and 17;
• Expanded bus service for high ridership routes to serve University of California, Santa Cruz, South County, and San José commuters;
• Transit queue jumps and high occupant vehicle signal priority; and
• Expansion of specialized transport services in response to projected increases in senior and disabled populations.

The RTC is the first RTPA to implement STARS, which is a performance-based process for developing, analyzing, rating, and comparing outcome-based transportation plans and projects. Developed by the Portland Bureau of Transportation, the North American Sustainable Transportation Council, and the RTC, STARS intends to improve transportation outcomes by certifying and rewarding performance and improving the triple bottom line of providing economic benefit, reducing petroleum use and greenhouse gases, and improving quality of life. As one of the visible partners for STARS, the RTC is providing an innovative tool to allow planners and project managers to compare alternatives based on performance, not modes, while guiding plans and projects to establish targets and evaluation strategies to achieve the targets.

The 2045 RTP, scheduled for adoption in 2022, will address autonomous vehicles and other emerging technologies as well as climate change issues.

**TDA Claimant Relationships and Oversight**

This functional area addresses the RTC’s administration of the provisions of the TDA. As LTF allocated to claimants have been used for public transit or non-roadway purposes, state law does not require the RTC to undertake a formal unmet transit needs process. However, the RTC is recognized for continuing a process of soliciting and maintaining an annual prioritized transit needs list and working with its committees and Santa Cruz METRO. Unmet needs on the list are kept until they are implemented or removed. The E&D TAC endeavors to hold one unmet needs meeting per year in the City of Watsonville per the RTC Rules & Regulations to schedule an appropriate location outside of the City of Santa Cruz and in proximity to a major transit route. A public hearing is also held at a Commission meeting in Santa Cruz. The public hearing complies with the TDA statute that requires at least one public hearing in the citizen participation process (PUC Section 99238.5).
RTC Administration and Planning

The uses of TDA revenues apportioned to Santa Cruz County flow through a priority process prescribed in state law. The RTC is able to allocate LTF revenues for TDA administration and general planning. During the audit years of 2016 through 2018, the RTC claimed the amounts shown in Table IV-1.

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>TDA Administration &amp; Planning</th>
</tr>
</thead>
<tbody>
<tr>
<td>2016</td>
<td>$1,181,350</td>
</tr>
<tr>
<td>2017</td>
<td>$1,250,637</td>
</tr>
<tr>
<td>2018</td>
<td>$1,284,747</td>
</tr>
</tbody>
</table>

Based on the above table, in FY 2016, the amount shown for administration and planning equaled approximately 13.7 percent of total LTF ($8,640,404). In FY 2017, the amount was 13.3 percent (out of $9,417,753), and for FY 2018, the amount was 13.9 percent (out of $9,252,675). TDA planning is used for three programs: (1) General Planning; (2) Bike to Work; and (3) Bike & Pedestrian Safety (Community Traffic Safety Coalition and Ride & Stride Program). The Bike to Work and Bike & Pedestrian Safety programs are claimed by the Commission under Article 8 for Ecology Action and the County of Santa Cruz Health Services Agency, respectively, in helping to support community-based bicycle and pedestrian operations. The two entities submit claims for review by the Commission for their programs, which have been supported by the RTC for many years. LTF allocations for these programs are matched by local funding sources.

LTF funds are allocated to eligible agencies including the RTC, Santa Cruz METRO for public transportation, the City of Santa Cruz as a pass-through for specialized transportation, and local jurisdictions for bike/pedestrian projects. The RTC has an existing adopted TDA reserve fund of at least 8 percent of the annual revenue estimate. Reserves are used due to a deficit in TDA revenues or a special allocation. This reserve fund can fluctuate in the RTC budget because it is dependent on carryover funds from one year to the next and it is used only to pay TDA recipients if revenues come in below estimates. The reserve is replenished, as the RTC rules and regulations indicate new allocations are to be made to the reserve fund as a first priority. The TDA reserve was replenished in FY 2016-17 in the amount of $133,244 as shown in the annual apportionments.
**TDA Claim Processing**

On an annual basis during this audit period, the RTC was responsible for managing the apportionment of between $8.6 and $9.2 million in LTF revenues and up to $3.67 million in STA funds.

TDA claims are generally submitted by applicants prior to the fiscal year of the claim. To its credit, the RTC uses a detailed TDA claim form that requires detailed past and budgeted information to support the claims. The TDA claim form is applicable to either an Article 4 or Article 8 claimant, and the instructions in the form direct which sections need to be completed. The information provided by claimants ensures that proper information is submitted to justify the TDA claim. Among the required data for transit claims is the status of implementing prior audit recommendations and financial performance metrics. The claim form also incorporates a checklist of materials for claimants to include for each type of claim, whether for Article 4 or Article 8, and for transit systems such as CHP inspection certification and operating and capital plans. The checklist creates uniformity in the claims process and ensures that adequate information is provided to substantiate the claim for TDA revenues. Pedestrian/bicycle claims and transit claims are reviewed by different technical staff versed in their respective expertise. The E&D TAC also participates in the claims review prior to approval by the Commission, generally in May. Quarterly payments are then made to the claimants.

In addition to the checklist of items to submit with the claim, other RTPAs require transit claimants to sign off on a standard assurances form to confirm compliance with different TDA measures. These measures include completion and submittal of the annual financial audit and State Controller’s Reports, among other requirements. A prior performance audit recommendation was made for RTC to include a standard assurance form in the claim package. The appendix to this audit includes sample standard assurance forms for consideration by the RTC in enhancing the TDA claims process.

**Rules & Regulations** serves as an in-house TDA manual documenting the claims administration process by the RTC. Most recently updated in August 2017, the document provides guidance for TDA submissions but also describes the operating procedures for the Commission and for other funding programs such as the RTIP and STP exchange. The latest update included modifications to areas recommended in the prior performance audit, clarification in terminology, membership and voting, and eligible funding programs. The RTC may also elect to designate a portion of TDA revenues for research and/or demonstration projects based on specific evaluation criteria.

**Transit Performance Monitoring**

Each transit claimant provides performance measures to the RTC on a quarterly and annual basis, which are shared with the E&D TAC. The list of performance metrics slightly differs among the transit systems (Community Bridges, Volunteer Center, and Santa Cruz METRO) to reflect their system size and service modes. As several Commissioners also serve on Santa Cruz
METRO’s board, there is cross pollination of performance metrics review and regular monitoring of agendas. Documentation prepared by the transit systems shows their commitment to provide the information to the RTC as a condition of their receipt of TDA funds. The performance metrics for Santa Cruz METRO are listed in the TDA claims form and include those listed in Table IV-2.

Table IV-2
Santa Cruz METRO Performance Measures

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Annual passengers</td>
</tr>
<tr>
<td>2.</td>
<td>Rides/passenger trips provided by type (student, senior, adult, pass holders, etc., or however stats are kept) and amount of TDA funds used for each type of ride</td>
</tr>
<tr>
<td>3.</td>
<td>Annual service hours</td>
</tr>
<tr>
<td>4.</td>
<td>Passengers per vehicle service hour*</td>
</tr>
<tr>
<td>5.</td>
<td>Annual service miles</td>
</tr>
<tr>
<td>6.</td>
<td>Number of fixed-route miles</td>
</tr>
<tr>
<td>7.</td>
<td>Service area – square miles</td>
</tr>
<tr>
<td>8.</td>
<td>Service area population</td>
</tr>
<tr>
<td>9.</td>
<td>Passengers per vehicle service mile*</td>
</tr>
<tr>
<td>10.</td>
<td>Average passengers per weekday</td>
</tr>
<tr>
<td>11.</td>
<td>Total operating costs in budget</td>
</tr>
<tr>
<td>12.</td>
<td>Operating cost per vehicle service hour*</td>
</tr>
<tr>
<td>13.</td>
<td>Total operating cost per passenger*</td>
</tr>
<tr>
<td>14.</td>
<td>Average farebox revenue per passenger (describe what is included)</td>
</tr>
<tr>
<td>15.</td>
<td>Number of FTE employees (all employees, not just drivers)</td>
</tr>
<tr>
<td>16.</td>
<td>Vehicle service hours/employee*</td>
</tr>
<tr>
<td>17.</td>
<td>Number of routes</td>
</tr>
<tr>
<td>18.</td>
<td>Average route length</td>
</tr>
<tr>
<td>19.</td>
<td>Average travel times/rider</td>
</tr>
<tr>
<td>20.</td>
<td>Number of bus stops</td>
</tr>
<tr>
<td>21.</td>
<td>Number of vehicles in operation</td>
</tr>
<tr>
<td>22.</td>
<td>Number of monthly bus passes in circulation</td>
</tr>
<tr>
<td>23.</td>
<td>Maximum vehicles in service at any time</td>
</tr>
<tr>
<td>24.</td>
<td>Hours of service</td>
</tr>
<tr>
<td>25.</td>
<td>Approximate number of unduplicated passengers</td>
</tr>
<tr>
<td>26.</td>
<td>Cost per unit of service plus text about long range plans to make/keep this low</td>
</tr>
<tr>
<td>27.</td>
<td>Funds and percentage spent on administration/overhead/grantee allocation/etc.</td>
</tr>
<tr>
<td>28.</td>
<td>Actual financials compared with budget</td>
</tr>
<tr>
<td>29.</td>
<td>Actual number of rides provided compared with goal and text about whether goal was met and why/why not</td>
</tr>
</tbody>
</table>

* Denotes TDA indicator

The performance indicators submitted by Community Bridges are shown in Table IV-3.

Table IV-3
Community Bridges Performance Measures

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Unduplicated passengers per month</td>
</tr>
<tr>
<td>2.</td>
<td>Total passenger trips (units of service) per month</td>
</tr>
<tr>
<td>10.</td>
<td>Total operating cost per passenger*</td>
</tr>
<tr>
<td>11.</td>
<td>Total operating cost per vehicle service hour*</td>
</tr>
</tbody>
</table>

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Michael Baker International
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The performance indicators submitted by Volunteer Center are shown in Table IV-4.

Table IV-4
Volunteer Center Performance Measures

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Number of rides provided</td>
</tr>
<tr>
<td>2.</td>
<td>Trip destinations</td>
</tr>
<tr>
<td>3.</td>
<td>Mileage claimed</td>
</tr>
<tr>
<td>4.</td>
<td>Estimated mileage donated</td>
</tr>
<tr>
<td>5.</td>
<td>Estimated total mileage</td>
</tr>
<tr>
<td>6.</td>
<td>Average length of trip</td>
</tr>
<tr>
<td>7.</td>
<td>Number of unduplicated passengers</td>
</tr>
<tr>
<td>8.</td>
<td>Number of requests for service</td>
</tr>
<tr>
<td>9.</td>
<td>Number of turndowns</td>
</tr>
<tr>
<td>10.</td>
<td>Reason for turndowns</td>
</tr>
<tr>
<td>11.</td>
<td>Number of active volunteers</td>
</tr>
<tr>
<td>12.</td>
<td>Geographic distribution of clients</td>
</tr>
</tbody>
</table>

The RTC is able to track and monitor transit operator trends using the above data and review them at E&D TAC meetings as well as with the Commission. The E&D TAC reviews transit data quarterly. Performance data prepared by the smaller operators are also submitted to the City of Santa Cruz as part of the conditions of the City claiming TDA funds on behalf of the agencies. As was discussed in the transit operator performance audit for this cycle, Community Bridges has enhanced capability to report on-time performance of its service vehicles using installed technology. This data should be added to the above performance measures reported by Community Bridges as another gauge of operational effectiveness and customer service.

Marketing and Transportation Alternatives

The RTC’s public outreach focus has been to communicate its mission more effectively while working in close coordination with local jurisdictions and stakeholders. Public outreach efforts also include Spanish language to engage the Spanish speaking community. The Commission hired a communications specialist in February 2018 to coordinate public outreach and
community engagement. The communications specialist is tasked with engaging local stakeholders, monitoring and posting to social media, and developing project fact sheets.

Public access and information about the RTC and its work is available through its home website (https://sccrtc.org/). The website was updated to be available in English and other languages using Google Translate. The website contains information about the agency's role in current transportation projects and programming, transportation plans (RTP, RTIP, etc.), Commission meeting agendas and minutes, newsletters and issues, transportation links, and library listing of past projects and studies. RTC staff also maintain an active email database of stakeholders and members of the community for electronic transmission of information. Social media engagement is conducted through Facebook and Twitter. Website metrics are tracked through Google Analytics.

The RTC has offered alternative transportation options since 1979. The beginning of the audit period saw the implementation of Cruz511. Cruz511 is an online, centralized, multimodal traveler information service. The service provides travelers with real-time traffic conditions including travel speeds, images from traffic cameras, and incident and construction notifications. In June 2015, Commute Solutions and 511 combined under the Cruz511 umbrella and one website (http://cruz511.org/) to reach more people and streamline operations. Cruz511 is managed by a transportation planner and the communications specialist works with the transportation planner on public outreach activities.

During the audit period, Cruz511 was further refined and streamlined to include programs such as real-time traffic alerts, links to the Caltrans QuickMap traffic conditions and CHP incident websites, a hotline providing information on local events, and a help desk where users can email inquiries. Grassroots initiatives have included Cruz511 In My Neighborhood, which is a neighborhood-focused, door-to-door outreach effort that makes contact with prospects three times. Cruz511 also provides information on Santa Cruz METRO service changes and a transit cost calculator. Additional features planned include automated vehicle locator feeds from Santa Cruz METRO and the ability to purchase transit passes online.

Contact information for Cruz511 staff is provided on the website which has grown both in size and in popularity. From this organic growth, clients can receive a customized plan including making trips on transit. For added benefit, the RTC has an MOU with the Bay Area Metropolitan Transportation Commission to partner in an expanded online travel matching service for 12 San Francisco Bay Area counties.

Along with the themes of using performance indicators to measure the impact of transportation choices, Cruz511 offers users the ability to calculate the cost of their commute. The site includes web links to several tools that measure this impact such as the true cost of driving calculator, a calculator to compare the price of using public transportation with the cost of driving, and a side-by-side comparison of the impacts of various vehicles in terms of gas mileage, greenhouse gas emissions, air pollution, and safety.
RTC has planned the launch of Ride Amigos in the spring of 2020, which is a two-year pilot program featuring carpool matching and trip planning services targeting area businesses, educational institutions, and government agencies. The program has a dedicated website (https://rideamigos.com/) featuring a toolbox of rideshare and commuter options as well as a blog and newsletter. The program also tracks performance measures for feedback on program success.

The Commission has been a conduit of funding to local community partners for alternative transportation campaigns. One such collaborative has been with Ecology Action, a local nonprofit that works with businesses in promoting sustainable practices and the reduction of carbon emissions. Through these partnerships, the RTC has provided grants in the amount of $60,000 for Bike-to-Work Month and $120,000 to the Traffic Safety Coalition. The RTC has also conducted outreach at the annual Santa Cruz County Fair in Watsonville and during Open Streets Santa Cruz events. The Commission ensures that Spanish language interpreters are available for outreach efforts in Watsonville.

Further, the RTC engages in intercounty coordination with Santa Clara County entities. The Commission has been involved in interline agreements between the Santa Cruz METRO Highway 17 Express and the Capitol Corridor Joint Powers Authority (Amtrak), Altamont Corridor Express, Caltrain, and the Santa Clara Valley Transportation Authority. Approximately 20 percent of Santa Cruz County’s workforce commutes to Santa Clara County.

**Grant Applications and Management**

In Santa Cruz County, grant assistance and management are shared between the RTC and AMBAG, which serves as the federal metropolitan planning organization for the three-county areas of Santa Cruz, Monterey, and San Benito. AMBAG performs metropolitan-level transportation planning on behalf of the region. Among its many duties, AMBAG manages the region’s transportation demand model and prepares regional housing, population, and employment forecasts that are used in a variety of regional plans. RTC and AMBAG relations have been positive in the coordination of activities that impact each of their respective planning and programming responsibilities.

RTC administers the Federal Transit Administration 5310 Program for enhanced mobility for seniors and people with disabilities including soliciting grant applications with the E&D TAC reviewing and scoring each submittal. The RTC approves the lists of projects. Committee members are invited to participate on the evaluation committee.

Local Measure D has allowed for the RTC to support specialized transportation services. Four percent of Measure D revenues are allocated to Community Bridges Lift Line which has allowed for service expansion. The Lift Line Dial-A-Ride Program replaced two gas-powered shuttles with two electric vehicle shuttles. Two Level 2 electric charging stations are also included in the procurement. The Commission allocated $62,000 in Measure D funding toward the project.
Funding was also provided for Community Bridges to secure a permanent operations and maintenance facility in Watsonville.

During the audit period, Santa Cruz METRO was the only recipient in the county for state transit funds including Proposition 1B—the Transit System Safety, Security, and Disaster Response Account (TSSDRA) and the Public Transportation Modernization, Improvement, and Service Enhancement Account Program (PTMISEA), with the RTC passing all of these formula funds through to Santa Cruz METRO. Proposition 1B funds, along with other sources, have been used for construction of the new Santa Cruz METRO operations facility. Other capital support is provided for the bus stop improvement plan and conversion of fuel from diesel to liquefied natural gas. The RTC approves the relevant resolution used to pass the funds through.

RTC also works with Caltrans and its grant funding partners to obtain Caltrans planning grants for special studies. Provided that RTC staff have good grant writing experience, staff provide assistance to local agencies that require help and RTC sponsorship for eligibility. This assistance further promotes the good relations between the RTC and its member agencies.
Section V

Findings and Recommendations

The following summarizes the findings from the triennial audit covering FYs 2016 through 2018. A set of recommendations is then provided.

Findings

1. The RTC has satisfactorily complied with applicable state legislative mandates for RTPAs. One compliance measure that did not apply to the RTC pertains to adopting rules and regulations for TDA claims under Article 4.5. The agency does not disburse any TDA funds under this article section. Rather, the CTSA in the county receives TDA Article 8 funds through the City of Santa Cruz acting as the claimant on behalf of the paratransit/community transportation system.

2. The RTC has implemented one of the two prior performance audit recommendations. The recommendations pertained to the inclusion of a standard assurances form with the TDA claim submittal and update of the Commission’s rules and regulations to account for recent changes in the TDA statute. The standard assurances form recommendation was not implemented and is being carried forward in this audit for full implementation. It is noted that following the audit period Commission staff is reviewing the sample assurance form and making adjustments in alignment with the existing TDA claim.

3. The Commission experienced changes in both its executive and professional staffing during and after the audit period. The Commission’s long-time executive director retired from the agency in December 2018. A new executive director hired after the audit period was appointed and has led the agency since December 2018. Historically, the longevity of personnel at both the executive and professional staff levels has brought remarkable stability to the agency to address the various technical and policy issues.

4. One of the major accomplishments during the audit period was the passage of Measure D, a 30-year countywide transportation one-half cent transactions and use tax, on November 8, 2016. Passage of the measure gives the RTC leverage in applying for other transportation-related funding from state and federal grant programs as well as providing funding for transit services, infrastructure, major capital projects, some of the backlog of local road maintenance, and to maintain and expand transportation for seniors and people with disabilities. Santa Cruz County is now one of 24 self-help counties in California.

5. Several large projects were accomplished during the audit period, including the development of a preventative maintenance program for the Santa Cruz Branch Line Rail in March 2018, environmental review of auxiliary lanes on Highway 1 between 41st Avenue
and Soquel Drive with a pedestrian and bicycle overcrossing at Chanticleer Avenue, and participation in the Bus on Shoulder Feasibility Study that was completed in June 2018. Designations as a Rail/Trail Authority and construction management authority place the RTC in a unique role of evolving from a purely transportation planning agency to a project implementation agency offering multimodal transportation options.

6. Interviews with RTC Commissioners provided overall high ratings for staff and activities undertaken during the audit period. Management and staff are professional, focused, and responsive. The new executive director has been charged with developing new partnerships and approaches that enhance the transparent nature of Commission activities.

7. The 2040 RTP update and corresponding environmental review was developed and adopted in June 2018. The RTP identifies the goals, projects, and programs that will maintain and improve the transportation system over the next 20 years in a measured and sustainable manner. The RTC featured numerous discussions about the RTP on the agency’s Nextdoor social media platform, which reaches 77 neighborhoods, and on Facebook, which provided yet another avenue for getting information to the public.

8. Despite no TDA funds being allocated for streets and roads, the RTC continues with an unmet transit needs process that involves obtaining public input and coordinating with the E&D TAC and Santa Cruz METRO to update the Unmet Specialized Transportation/Transit Needs List. The Commission also formally adopts the list in a sign of agreement. A public hearing is held annually in compliance with the law.

9. TDA claims submitted to the RTC are required to include detailed past and budgeted information to support the claims. The claims forms are reviewed by different Commission staff versed in their respective transportation expertise. Claims for transit and specialized transportation services, and claims for pedestrian improvements, are also reviewed by the E&D TAC. TDA claims for bicycle projects are reviewed by the Bicycle Advisory Committee.

10. The Commission’s Rules & Regulations serves as an in-house TDA manual documenting the claims administration process by the RTC. Most recently updated on August 17, 2017, the document provides guidance for TDA fund claims. The latest update includes changes to efficiency requirements of transit operators, to bike and pedestrian provisions, and to STA provisions. Further changes to the Rules & Regulations may be appropriate in the near term for current proposals being made to the TDA statute.

11. RTC’s public outreach focus has been to communicate its mission more effectively while working in close coordination with local jurisdictions and stakeholders. Public outreach efforts also include Spanish language to engage the Spanish speaking community. The Commission hired a communications specialist in February 2018 to coordinate public outreach and community engagement.
12. In June 2015, Commute Solutions and 511 combined under the Cruz511 umbrella and one website to reach more people and streamline operations. Alternative modes of travel are promoted and marketed, and Cruz511 has grown both in size and in popularity. A new online commuter management and ridesharing service is planned for launch. Growth in this program is consistent with the RTC’s goals of planning for a multimodal transportation system.
Triennial Audit Recommendations

1. **Include standard assurances form in TDA claims for transit.**

   This recommendation is being forwarded in this audit, since TDA claims for transit funding must ensure compliance with a series of provisions in the TDA statute. These standard assurances are typically listed in a checklist format in the TDA claims and should be reviewed and signed off by the transit claimant prior to submittal of the claim. The RTC, in turn, would verify compliance for each applicable measure prior to approving the claim for funding. Standard assurances include completion of the annual fiscal and compliance audit and State Controller’s Reports, and compliance with the farebox recovery ratio/50 percent eligibility requirement.

   TDA requirements are currently covered by the RTC's claim form and claim review process but the standard assurances forms adds a tool in the process to provide a useful summary and checklist. Many of these standard assurances are featured in the compliance matrix section of the performance audit of the transit operators. In addition, a sample standard assurance checklist is shown for reference in the appendix to this performance audit.

2. **Make additional updates to the transit operator TDA process for consistency with the updated RTC rules and regulations.**

   RTC’s revised rules and regulations manual outlines the changes made to the TDA process enacted by state legislation such as SB 508. Some of the changes also directly impact the content of the TDA claim form for transit which should be revised concurrently with the manual. For example, using the FY 2018 TDA claim form, Items #23 (Farebox Recovery Ratio) and #24 (FY 1978-79 ratios) applicable to Santa Cruz Metro should be consistent with the RTC rules and regulations and new state law. Specifically, for #23, additional exclusions from operating cost above the consumer price index for fuel, alternative fuel programs, power, insurance premiums and payments in settlement of claims, and state and federal mandates should be added in the footnotes in calculating urban/rural farebox recovery. For #24, the language should be deleted all together as the law eliminates the requirement for a separate ratio for FY 1978-79.

   As an added measure, the quarterly TDA reports submitted by Community Bridges for Lift Line as described in the TDA claim form should include on-time performance of the service. Vehicle on-time arrival to pick up a passenger at the scheduled time is an important measure of operational effectiveness and customer service. The TDA claims submitted by Community Bridges describes the investment in automatic vehicle locator technology and mobile data computers that enable more automation in the tracking of vehicle movement. The technology allows the collection of accurate data such as on-time performance which should be on the list of performance metrics to include in the TDA quarterly report.
3. **RTC and Santa Cruz METRO should clarify the performance eligibility criteria for TDA-Local Transportation Funds.**

Article 4 of the TDA statute provides alternatives for Santa Cruz METRO to be eligible for TDA-Local Transportation Funds. One is for Santa Cruz METRO to meet the farebox recovery ratio. The other is to meet the 50 percent expenditure rule as an older operator, defined as service starting prior to 1974. Currently, Santa Cruz METRO meets both requirements but the documentation stating eligibility is not consistent. For example, the TDA claims form and resolution state that Santa Cruz METRO eligibility to receive LTF is from farebox compliance. However, its audited financial statements state Santa Cruz METRO meets the 50 percent expenditure limitation and does not use the alternative farebox recovery ratio. Historically, the amount of LTF allocated to Santa Cruz METRO has not exceeded 50 percent of operating expenditures; hence, either criteria applies. Farebox recovery is an important performance measure that gauges transit operational efficiency and effectiveness.

Santa Cruz METRO and RTC should discuss the applicability of each criteria and agree to which of the two meets compliance with rules and regulations for LTF. Currently, the adopting resolution allocating LTF from RTC to Santa Cruz METRO shows farebox recovery. Should the 50 percent expenditure criteria be applied instead, the TDA claims form and resolution should be adjusted. Should farebox remain the criteria, the Santa Cruz METRO audited financial statements should be modified to show audited farebox recovery rather than the 50 percent expenditure rule. This clarity will provide consistency in reporting of performance measures for LTF eligibility.

4. **City of Santa Cruz, Volunteer Center, and RTC should discuss an alternative performance measure for TDA-Local Transportation Fund eligibility.**

LTF are allocated to Volunteer Center under a performance standard that a 10 percent local match be provided by Volunteer Center. Budgets for the volunteer driver program show a local match would be provided by donations from riders, which are not enough for the 10 percent match. As the LTF revenue is claimed by the City of Santa Cruz on behalf of Volunteer Center through the TDA Article 8 program, the law provides latitude on the performance standard. In lieu of a local match, RTC, the City, and Volunteer Center should discuss an alternative measure for LTF eligibility. Among the possibilities include using goals set in the TDA claim form such as minimum ridership levels and number of unduplicated clients. Other data that is reported by Volunteer Center to RTC for which a performance standard could be created include minimum number of ride requests unable to fill, and maintenance of driver availability for clients in each of the three travel areas of Santa Cruz, San Lorenzo Valley/Scotts Valley, and Watsonville. Given that the current standard for local match cannot be met, another performance standard that is attainable yet provides a measure of service efficiency and effectiveness should be considered by the involved agencies.
Appendix A

Sample TDA Standard Assurances Checklist
STANDARD ASSURANCES FOR TRANSIT OPERATOR APPLICANTS

Claimant: ________________________________  Fiscal Year: ___________

1. CERTIFIED FISCAL AUDIT
Claimant certifies that it has submitted a satisfactory, independent fiscal audit, with the required certification statement, to (RTPA name) and to the State Controller’s Office, pursuant to PUC 99245 and CCR 6664 for the prior fiscal year (project year minus two). Claimant assures that this audit requirement will be completed for the current fiscal year (project year minus one). This requirement does not apply to new operators.

2. STATE CONTROLLER REPORT
Claimant certifies that it has submitted a State Controller’s report in conformance with the uniform system of accounts and reports, to (RTPA name) and to the State Controller, pursuant to PUC 99243, for the prior year (project year minus two). Claimant assures that this report will be completed for the current fiscal year (project year minus one). This requirement does not apply to new operators.

3. PART-TIME EMPLOYEES (STAF ONLY)
Claimant certifies that it is not precluded, by any contract, from employing part-time drivers or contracting with common carriers of persons operating under a franchise or license.

4. 50-PERCENT EXPENDITURE LIMITATION
Claimant filing a claim pursuant to PUC 99268 certifies expenditure of the funds may in no year exceed 50 percent of the amount required to meet operating, maintenance, and capital and debt service requirements of the system after deduction of approved federal grants and funds estimated to be allocated pursuant to the State Transit Assistance Fund.

5. REVENUE RATIOS FOR OLDER OPERATORS
Claimant filing a claim pursuant to PUC 99268.2 certifies that it maintain for the project year the ratio of fare revenues to operating cost at least equal 20 percent if serving an urbanized area and 10 percent if serving a non-urbanized area.

6. REVENUE RATIOS FOR EXCLUSIVE SERVICES TO ELDERLY AND DISABLED
Claimant filing a claim pursuant to PUC 99268.5 certifies that it maintain for the project year the ratio of fare revenues to operating cost at least equal 10 percent for the purpose of provides services exclusive to elderly and disabled persons.
7. **REVENUE RATIOS FOR COMMUNITY TRANSIT AND CONTRACTED TRANSIT SERVICES**
Claimant filing a claim pursuant to PUC 99275.5c and 99405c further certifies that, for the project year, it reasonably anticipates achieving the performance criteria, local match requirements, or fare recovery ratios adopted by the transportation planning agency or county transportation commission.

8. **REVENUE RATIOS FOR OPERATORS SERVING URBANIZED AND NONURBANIZED AREAS**
Claimant filing a claim pursuant to PUC 99270.1 certifies that it will maintain for the project year at least the alternative farebox recovery ratio as determined by the adopted (RTPA name) “fare ratio optional rule.”

9. **EXTENSION OF SERVICES**
Claimant that received an allocation of LTF funds for an extension of service pursuant to PUC 99268.8 certifies that it will file a report of these services pursuant to CCR 6633.8b within 90 days after the close of the fiscal year in which that allocation was granted.

10. **RETIREMENT SYSTEM**
Claimant filing claim pursuant to PUC Section 99260 certifies that (check one):

___1. The current cost of its retirement system is fully funded with respect to the officers and employees of its public transportation system (PUC Section 99271a); or

___2. The operator is implementing a plan approved by the transportation planning agency which will fully fund the retirement system for such officers and employees within 40 years (PUC Section 99271a); or

___3. The operator has a private pension plan which sets aside and invests on a current basis funds sufficient to provide for the payment of future pension benefits and which is fully compliant with the requirements stated in PUC Sections 99272 and 99273.

11. **USE OF FEDERAL FUNDS**
Claimant filing a claim for TDA funds for capital intensive projects pursuant to PUC 99268.7 certifies that it has made every effort to obtain federal funding for any project which is funded pursuant to PUC 99268.7.
12. **REDUCED FARES FOR ELDERLY AND HANDICAPPED**
A claimant filing a claim pursuant to PUC 99260 which offers reduced fares to senior citizens and disabled persons certifies that it is in compliance with PUC 99155.

13. **DRIVERS PULL NOTICE PARTICIPATION**
A claimant filing a claim for public transit assistance must include a certification completed within the prior 13 months by the California Highway Patrol indicating the operator has participated in a "pull notice system" to examine driver's records.

14. **INCREASE IN OPERATOR'S COST PER HOUR (STAF OPERATING ASSISTANCE ONLY)**
Claimant filing a claim for operating assistance from STAF funds must include a supplemental schedule which identifies either: A - 1) the most recent audited cost per revenue vehicle hour (year 1) and the cost per revenue hour for the year prior to the most recent audit year (year 2) and 2) the Consumer Price Index for the year prior to the most recent audit year (year 2); or B - 1) the most recent audited cost per revenue vehicle hour (year 1) and the cost per revenue hour for the three years prior to the most recent audit year and 2) the Consumer Price Index for the three years prior to the most recent audit year. The supplemental schedule information will be used to determine eligibility pursuant to PUC 99314.6.

15. **STAFFING ON VEHICLES**
Claimant certifies that it is in compliance with PUC Section 99264 that it does not routinely staff, with two or more persons, a vehicle for public transportation purposes designed to be operated by one person.

(Legal Name of Applicant/Claimant)

(Authorizing Signature of CEO/CFO)

(Name and Title)
FY 2016-2018
Triennial Performance Audit of the
Santa Cruz County Transit Operators

Submitted to
Santa Cruz County
Regional Transportation Commission

April 2020
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Section I

Introduction

California’s Transportation Development Act (TDA) requires that a triennial performance audit be conducted of public transit entities that receive TDA revenues. The performance audit serves to ensure accountability in the use of public transportation revenue.

The Santa Cruz County Regional Transportation Commission (SCCRTC) engaged Michael Baker International to conduct the TDA triennial performance audit of the public transit operators under its jurisdiction in Santa Cruz County. This performance audit is conducted for the Santa Cruz Metropolitan Transit District, Community Bridges, and the Volunteer Center covering the most recent triennial period, fiscal years 2015–16 through 2017–18.

The purpose of the performance audit is to evaluate the operators’ effectiveness and efficiency in their use of TDA funds to provide public transportation in their service areas. This evaluation is required as a condition for continued receipt of these funds for public transportation purposes. In addition, the audit evaluates the operators’ compliance with the conditions specified in the California Public Utilities Code (PUC). This task involves ascertaining whether the operators are meeting the PUC’s reporting requirements. Moreover, the audit includes calculations of transit service performance indicators and a detailed review of the transit administrative functions. From the analysis that has been undertaken, a set of recommendations has been made which is intended to improve the performance of transit operations.

In summary, this TDA audit affords the opportunity for an independent, constructive, and objective evaluation of the organizations and their operations that otherwise might not be available. The methodology for the audit included in-person interviews with management, telephone interviews with board members, collection and review of agency documents, data analysis, and on-site observations. The Performance Audit Guidebook for Transit Operators and Regional Transportation Planning Entities published by the California Department of Transportation (Caltrans) was used to guide the development and conduct of the audit.

Overview of the Transit System

Santa Cruz Metropolitan Transit District (Santa Cruz METRO)

Santa Cruz METRO was created in 1968 by the Santa Cruz Metropolitan District Act of 1967, a special district with taxing authority pursuant to Part 5 of the California PUC. Santa Cruz METRO initially provided public transit services to Santa Cruz, Capitola, and Live Oak. Service was eventually expanded to the San Lorenzo Valley, Scotts Valley, and Watsonville in 1974. In 1979, Santa Cruz County voters approved a measure that changed the district’s local financing structure from a property tax to a one-half cent sales tax. The 1989 Loma Prieta earthquake, which resulted in the closure of State Route (SR) 17, prompted Santa Cruz METRO to provide an emergency bus bridge between Santa Cruz, Scotts Valley, and San José. This service eventually
evolved into the Highway 17 Express-Amtrak Thruway bus service in partnership with Amtrak California, the Capitol Corridor Joint Powers Authority (CCJPA), the San Joaquin Joint Powers Authority (SJJPA), and the Santa Clara Valley Transportation Authority (VTA). Santa Cruz METRO is governed by an 11-member Board of Directors comprising representatives of the cities of Watsonville, Santa Cruz, Capitola, and Scotts Valley, and from the unincorporated areas of the county. In addition, there is one ex officio member representing the University of California, Santa Cruz (UCSC).

**Community Bridges**

Community Bridges, the designated Consolidated Transportation Services Agency (CTSA) for Santa Cruz County, operates several specialized transportation services under the Lift Line program. The organization was founded in 1977 and offers a variety of human services programs encompassing family resources, nutrition, youth outreach, and transportation. Since 1982, Community Bridges has been offering transportation services through Lift Line as well as from taxi vehicles through the taxi scrip program. In November 2017, Community Bridges administration relocated from Aptos to the city of Watsonville which, among the changes, enables transit administrative staff to be closer to the drivers and the operations facility located in Watsonville. A permanent operations/maintenance facility was developed in Watsonville.

**Volunteer Center**

The Santa Cruz Volunteer Center offers a variety of community-based programs targeted to seniors, the disabled, families, and youth. The agency also serves as a resource for businesses, nonprofits, schools, government, and faith-based agencies that want to make a difference through effective, meaningful volunteer initiatives. The Volunteer Center Transportation Program provides free rides to ambulatory seniors and the disabled throughout the county. The program matches drivers with seniors aged 60 and older and persons with disabilities for essential trips to access medical appointments, banking, pharmacies, and grocery shopping.

**Transit Service Area**

Santa Cruz County is located in the Central Coast region of California and forms the northern portion of Monterey Bay. The county is bordered by Santa Clara County to the east and northeast, Monterey County to the south, San Benito County to the southeast, and San Mateo County to the north. Established in 1850, the county was one of the original counties in California; the county’s name means “holy cross” in Spanish. It has the second smallest geographic area of any county in California after the City and County of San Francisco. Agriculture, education, government services, health care, and tourism are mainstays of the local economy. Major highways traversing Santa Cruz County include SR 1, 9, 17, 35, 129, 152, and 236. SR 1 is the main coastal highway connecting the cities of Capitola, Santa Cruz, and Watsonville. SR 17 is the main north–south highway connecting Santa Cruz and Scotts Valley with San José and the Santa Clara Valley. A demographic snapshot of key cities and the county is presented in Table I-1.
The city of Santa Cruz is the county seat and the largest city in the county. The county and its four incorporated cities saw modest growth between 2000 and 2010, as recorded in the US Census for each of those years. Watsonville had the highest percentage increase in population. The senior citizen population, comprising residents aged 65 and over, is 11.1 percent countywide. The 2019 population for Santa Cruz County is estimated to be 274,871, as reported by the California Department of Finance.

**Transit System Characteristics**

*Santa Cruz METRO*

Santa Cruz METRO operates fixed-route and Americans with Disabilities Act (ADA) compliant paratransit service within Santa Cruz County as well as commuter service to Santa Clara County along the SR 17 corridor. Santa Cruz METRO operates four transit centers, which provide connections between routes and other transit services. The main transit center is the Santa Cruz METRO Center (Pacific Station) located at 920 Pacific Avenue in Santa Cruz. The other three transit centers are Capitola Mall, Cavallaro (Scotts Valley), and Watsonville.

Transit services operate seven days a week with varying service hours based on the mode. Certain routes operate only during the school terms for the San Lorenzo Valley Unified School District, UCSC, and Cabrillo College. Local fixed route does not operate on New Year’s Day, Independence Day, Labor Day, Thanksgiving Day, and Christmas Day, but operates on the weekend schedule on the day after Thanksgiving, Christmas Eve, and New Year’s Eve. The Highway 17 Express operates the weekend schedule on the aforementioned holidays. The METRO ParaCruz operates most holidays except on New Year’s Day, Independence Day, Labor Day, Thanksgiving Day, and Christmas Day.

Santa Cruz METRO operates 26 fixed routes, including the Highway 17 Express commuter route. Headways range from 30 minutes to 60 minutes depending on the route, time of day, and day of the week. Certain routes operate during peak periods to serve students attending UCSC and Cabrillo College as well as local middle and secondary schools. It is noted that the service...
provided during the audit period underwent a major restructuring in September 2016 to address a structural deficit to increase revenue and decrease costs.

Fares

Santa Cruz METRO fare media comprise cash and several pass options based on the number of days and rides. All Santa Cruz METRO day passes are good for unlimited rides in Santa Cruz County, excluding the Highway 17 Express route. All Highway 17 Express passes are good for unlimited rides on all Santa Cruz METRO and VTA local routes. Santa Cruz METRO also offers a cash card with no expiration date that is available in denominations of $10, $20, $30, and $50. Electronic plastic smart cards, including the METRO CRUZ pass and CRUZ Cash cards, are reloadable and are read by tapping the GFI Odyssey electronic fareboxes on the Santa Cruz METRO buses. Transfers to Monterey Salinas Transit buses are available for passengers from certain Santa Cruz METRO routes at the Watsonville Transit Center and the Pacific Station. Fares for the Highway 17 Express were increased in September 2015. The current fare structure for Santa Cruz METRO and the Highway 17 Express is summarized in Table I-2.

Table I-2
Santa Cruz METRO and Amtrak Highway 17 Express Fare Schedule

<table>
<thead>
<tr>
<th>Fare Category</th>
<th>Regular Santa Cruz METRO Service</th>
<th>Highway 17 Express (with fare increase)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adult (Age 18+)</td>
<td>$2</td>
<td>$6</td>
</tr>
<tr>
<td>Youth (Through Age 17)</td>
<td>$2</td>
<td>$6</td>
</tr>
<tr>
<td>Discount Fare</td>
<td>$1</td>
<td>$3</td>
</tr>
<tr>
<td>Child (Under 46” Tall)</td>
<td>Free, limit of three children with a fare-paying adult</td>
<td></td>
</tr>
</tbody>
</table>

Note: Beginning November 1, 2019, customers who are legally blind may ride the Santa Cruz METRO fixed-route bus system for free as a way to resolve some concerns raised by visually impaired riders who had difficulty using our ticket vending machines.

Santa Cruz METRO discount fares and passes are available to eligible seniors and persons with disabilities by presenting the following forms of identification:

- A METRO Discount photo ID card
- A METRO ParaCruz ID card
- A Discount photo ID card/Paratransit ID card issued by another transit agency
- A senior citizen ID card
- A Medicare ID card
- Current state driver’s license or current state ID card
- Government-issued ID that displays date of birth
- A valid ID card for California disabled person parking placard
A disabled veteran’s ID card

**METRO ParaCruz Paratransit**

Through its ParaCruz service, Santa Cruz METRO provides door-to-door paratransit service for those passengers unable to use the fixed route. Eligibility for this complementary ADA paratransit service is determined through an in-person interview. METRO ParaCruz operates on days and hours that reflect the local fixed-route bus service in the same area. ParaCruz does not operate on New Year’s Day, Independence Day, Labor Day, Thanksgiving, or Christmas Day. Service is provided to any destination within three-quarters of a mile of an operating Santa Cruz METRO bus route. Rides must be reserved at least one day in advance between the hours of 8:00 a.m. and 5:00 p.m. The ParaCruz fare is $4.00 per one-way trip equivalent to a single fixed-route bus fare, and $6.00 maximum per one-way trip if equivalent to two or more fixed-route bus fares. Premium fares are charged for will-call returns ($8.00) and for a re-dispatched vehicle ($16.00). A personal care attendant accompanying a fare-paying passenger rides free, if an attendant is determined necessary during the transit evaluation interview.

**Santa Cruz METRO Fleet**

There were 95 vehicles in the Santa Cruz METRO fixed-route active fleet during the audit period. Older vehicles are diesel-powered, whereas most later-model vehicles are powered by compressed natural gas (CNG). A number of older vehicles were replaced which was an initiative for the agency to reduce costs. All vehicles are wheelchair accessible with tie-downs in compliance with the ADA. Table I-3 shows the active vehicle fleet information.

**Table I-3**

<table>
<thead>
<tr>
<th>Year</th>
<th>Make/Model</th>
<th>Quantity</th>
<th>Seating Capacity</th>
<th>Fuel Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>1998</td>
<td>New Flyer D35LF</td>
<td>9</td>
<td>30</td>
<td>Diesel</td>
</tr>
<tr>
<td>1998</td>
<td>New Flyer D40LF</td>
<td>8</td>
<td>39</td>
<td>Diesel</td>
</tr>
<tr>
<td>2002</td>
<td>New Flyer D609LF</td>
<td>4</td>
<td>57</td>
<td>Diesel</td>
</tr>
<tr>
<td>2003</td>
<td>New Flyer D35LFC</td>
<td>14</td>
<td>30</td>
<td>CNG</td>
</tr>
<tr>
<td>2003</td>
<td>New Flyer D40LFC</td>
<td>11</td>
<td>39</td>
<td>CNG</td>
</tr>
<tr>
<td>2003</td>
<td>Orion V</td>
<td>4</td>
<td>43</td>
<td>CNG</td>
</tr>
<tr>
<td>2003</td>
<td>Ford Goshen GCI</td>
<td>1</td>
<td>15</td>
<td>Gas</td>
</tr>
<tr>
<td>2006</td>
<td>New Flyer C40LF</td>
<td>2</td>
<td>39</td>
<td>CNG</td>
</tr>
<tr>
<td>2008</td>
<td>New Flyer C40LF</td>
<td>8</td>
<td>39</td>
<td>CNG</td>
</tr>
<tr>
<td>2008</td>
<td>New Flyer C40LF</td>
<td>5</td>
<td>36</td>
<td>CNG</td>
</tr>
<tr>
<td>2010</td>
<td>New Flyer C40LFR</td>
<td>5</td>
<td>39</td>
<td>CNG</td>
</tr>
<tr>
<td>2011</td>
<td>New Flyer C40LFR</td>
<td>11</td>
<td>39</td>
<td>CNG</td>
</tr>
<tr>
<td>2013</td>
<td>New Flyer XN35</td>
<td>6</td>
<td>28</td>
<td>CNG</td>
</tr>
<tr>
<td>2014</td>
<td>Gillig Low Floor</td>
<td>4</td>
<td>39</td>
<td>Diesel Hybrid</td>
</tr>
<tr>
<td>2016</td>
<td>New Flyer XN40</td>
<td>3</td>
<td>40</td>
<td>CNG</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>95</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Source: Santa Cruz METRO Revenue Vehicle Listing*
ParaCruz operates a fleet of 32 unleaded gasoline-powered vehicles. The fleet varies in type and passenger capacity. All vehicles are wheelchair accessible with tie-downs in compliance with the ADA. Table I-4 summarizes the ParaCruz fleet.

Table I-4
ParaCruz Fleet

<table>
<thead>
<tr>
<th>Year</th>
<th>Make/Model</th>
<th>Quantity</th>
<th>Seating Capacity</th>
<th>Fuel Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>2003</td>
<td>Ford Goshen GCII</td>
<td>2</td>
<td>17</td>
<td>Gas</td>
</tr>
<tr>
<td>2011</td>
<td>Ford E350 - Versa Shuttle</td>
<td>5</td>
<td>4</td>
<td>Gas</td>
</tr>
<tr>
<td>2011</td>
<td>Ford E350 – Versa Shuttle</td>
<td>5</td>
<td>5</td>
<td>Gas</td>
</tr>
<tr>
<td>2011</td>
<td>Dodge Amerivans</td>
<td>2</td>
<td>2</td>
<td>Gas</td>
</tr>
<tr>
<td>2011</td>
<td>Dodge Amerivans</td>
<td>1</td>
<td>4</td>
<td>Gas</td>
</tr>
<tr>
<td>2015</td>
<td>Dodge Amerivans</td>
<td>2</td>
<td>4</td>
<td>Gas</td>
</tr>
<tr>
<td>2015</td>
<td>Ford/Eldorado-F550 Aerolight</td>
<td>1</td>
<td>22</td>
<td>Gas</td>
</tr>
<tr>
<td>2017</td>
<td>Ford E350-Starlite 22</td>
<td>1</td>
<td>8</td>
<td>Gas</td>
</tr>
<tr>
<td>2018</td>
<td>Ford/Starcraft-Starlite</td>
<td>11</td>
<td>10</td>
<td>Gas</td>
</tr>
<tr>
<td>2018</td>
<td>Ford/Starcraft-E450Allstar</td>
<td>2</td>
<td>14</td>
<td>Gas</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td>32</td>
<td></td>
</tr>
</tbody>
</table>

Source: Santa Cruz METRO Revenue Vehicle Listing

Community Bridges

Community Bridges’ Lift Line offers a variety of demand-responsive transit services for the disabled, frail, and elderly throughout Santa Cruz County as well as to the adjacent counties of Monterey, San Mateo, San Benito, San Francisco, and Santa Clara. Lift Life services during the audit period included:

- Countywide medical transportation
- Out-of-county medical transportation
- Veterans medical transportation
- Taxi scrip
- Elderday Adult Health Care transportation
- Senior dining center transportation (Meals on Wheels)
- Same day medical transportation
- Interfaith Satellite Shelter Program homeless transportation

The medical transportation program provides transportation for Santa Cruz County residents who meet age, disability, and/or income criteria. Eligible riders are able to access dental, medical, and prescription appointments free of charge. This service operates Monday through Friday except holidays. Lift Line is currently using the ADA paratransit system pickup window lasting up to 30 minutes, with a pick up no sooner that 10 minutes before the scheduled pick up time and not less than 20 after the scheduled pick up time. The pickup window for outside contracts very depending on the agreement between Lift Line (contractor) and outside agency (contractee). Trips are prioritized on a first-come, first-served basis.
The out-of-county medical transportation service provides transportation from Santa Cruz County to a number of facilities including in Palo Alto (Stanford Medical Center), the Veterans Hospital, VA Monterey Bay/Fort Ord, Lucile Packard Children’s Hospital, San Jose, Santa Clara, Menlo Park, San Francisco, and Gilroy. The service operates Monday through Friday excluding holidays and is available free of charge to Santa Cruz County residents who meet age, disability, and/or income criteria. Due to budget reductions, out-of-county areas are served certain days of the week. Locations closer to Santa Cruz County such as Monterey, Salinas, and San Benito are served Monday, Wednesday, and Friday, while northern locations including San Jose, Santa Clara, and San Francisco are served Tuesday and Thursday.

The veterans medical transportation program provided transport free of charge to veterans who meet residency, income, age, and/or disability criteria. This program provided service to the Veterans Building in Santa Cruz and to the VA Hospital Monterey Bay/Fort Ord. The veterans transportation was combined with the out-of-county medical transportation for days of service until 2017 when the Federal Transit Administration 5310 grant revenue ended and the veterans service was discontinued.

The taxi scrip program offers discounted coupons or “scrip” to use for taxi fares. This program receives federal and local support through the TDA. An eligible person purchases scrip from Lift Line at a discounted rate for use on any one of three designated taxi carriers in Santa Cruz. The participating taxi companies included Santa Cruz Yellow Cab, Deluxe Cab Company, and Courtesy Cab Company of Watsonville. Rides are arranged directly with the taxi companies. The growth of Transportation Network Companies (TNC’s) have impacted the taxi industry disrupting taxi service in the County, particularly in northern Santa Cruz.

Elderday transportation provides rides to and from Elderday twice a day using seven set routes. The senior dining center transportation program provides coordinated transportation to Meals on Wheels congregate dining centers in Santa Cruz County. Community Bridges also offers bus charter services for outside contracts/private events to help support its free and reduced programming using competitive flat rates.

The homeless services transportation program provided after-hours transport to emergency shelters during inclement weather conditions for the county’s homeless population, in particular for the disabled. Community Bridges partnered with the Homeless Services Center in Santa Cruz to provide transportation for the Interfaith Satellite Shelter Program (ISSP). In 2018, the Salvation Army took over the ISSP including providing their own vehicle and transportation service, thus eliminating the need for Lift Line.

Fleet

Community Bridges’ Lift Line service operates a fleet of 15 unleaded gasoline-powered vehicles and 2 electric vehicles. The new electric vehicles are targeted for service in disadvantaged communities in Watsonville. Funding for the electric vehicles also provide two Level 2 charging stations at the Lift Line fleet facility in Watsonville. Newer vehicles have on-board cameras
installed for safety. The fleet varies in type and passenger capacity, with many older vehicles replaced during the audit period. Most vehicles are wheelchair accessible with tie-downs in compliance with the ADA. Table I-5 summarizes the Lift Line fleet.

### Table I-5
Lift Line Fleet

<table>
<thead>
<tr>
<th>Year</th>
<th>Make/Model</th>
<th>Quantity</th>
<th>Seating Capacity</th>
<th>Wheelchair Capacity</th>
</tr>
</thead>
<tbody>
<tr>
<td>2006</td>
<td>Chevy Uplander</td>
<td>2</td>
<td>5</td>
<td>1</td>
</tr>
<tr>
<td>2007</td>
<td>Ford E350</td>
<td>1</td>
<td>8</td>
<td>2</td>
</tr>
<tr>
<td>2008</td>
<td>Ford E450</td>
<td>1</td>
<td>13/11</td>
<td>1/2</td>
</tr>
<tr>
<td>2008</td>
<td>Chevy Uplander</td>
<td>1</td>
<td>5/3</td>
<td>0/1</td>
</tr>
<tr>
<td>2013</td>
<td>Dodge Caravan</td>
<td>1</td>
<td>3</td>
<td>1</td>
</tr>
<tr>
<td>2013</td>
<td>Ford E450</td>
<td>2</td>
<td>16</td>
<td>2</td>
</tr>
<tr>
<td>2013</td>
<td>Ford E450</td>
<td>2</td>
<td>13/11</td>
<td>1/2</td>
</tr>
<tr>
<td>2013</td>
<td>Ford E450</td>
<td>1</td>
<td>17/11</td>
<td>0/2</td>
</tr>
<tr>
<td>2013</td>
<td>Ford E450</td>
<td>2</td>
<td>17/15/11</td>
<td>0/1/2</td>
</tr>
<tr>
<td>2016</td>
<td>Dodge Caravan</td>
<td>2</td>
<td>5/2</td>
<td>0/1</td>
</tr>
<tr>
<td>2019</td>
<td>Ford/E450 EV</td>
<td>2</td>
<td>14</td>
<td>2</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>17</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Source: Lift Line/Community Bridges CTSA Vehicle List*

**Volunteer Center**

The Santa Cruz Volunteer Center’s volunteer driver transportation program addresses the needs of ambulatory seniors and the disabled by offering free rides throughout the county. Wheelchair riders cannot be accommodated. The program matches drivers with seniors aged 60 years and older and disabled persons for essential trips to medical appointments, grocery shopping, banking, and pharmacies. Two rides per week are available for eligible persons to meet basic needs or get to needed appointments. Rides are provided throughout Santa Cruz County including Watsonville, San Lorenzo Valley, Scotts Valley, and Santa Cruz. Drivers are required to have a good driving record, a reliable automobile, and insurance. The Volunteer Center offers drivers supplemental insurance.
Section II

Operator Compliance Requirements

This section of the audit report contains the analysis of the Santa Cruz County transit operators’ ability to comply with state requirements for continued receipt of TDA funds. The evaluation uses the guidebook, *Performance Audit Guidebook for Transit Operators and Regional Transportation Planning Agencies, September 2008 (third edition)*, developed by Caltrans to assess transit operators. The guidebook contains a checklist of 11 measures taken from relevant sections of the PUC and the California Code of Regulations. Each of these requirements is discussed in the table below, including a description of the system’s efforts to comply with the requirements. In addition, the findings from the compliance review are described in the text following the table.

<table>
<thead>
<tr>
<th>Operator Compliance Requirements</th>
<th>Reference</th>
<th>Compliance Efforts</th>
</tr>
</thead>
<tbody>
<tr>
<td>The transit operator submitted annual reports to the RTPA based upon the Uniform System of Accounts and Records established by the State Controller. Report is due 90 days after end of fiscal year (Sept. 28/29), or 110 days (Oct. 19/20) if filed electronically (Internet).</td>
<td>Public Utilities Code, Section 99243</td>
<td>Completion/submittal dates:</td>
</tr>
<tr>
<td></td>
<td></td>
<td><em>For Santa Cruz METRO:</em></td>
</tr>
<tr>
<td></td>
<td></td>
<td>FY 2016: October 2, 2016</td>
</tr>
<tr>
<td></td>
<td></td>
<td>FY 2017: January 18, 2018*</td>
</tr>
<tr>
<td></td>
<td></td>
<td>FY 2018: January 29, 2019*</td>
</tr>
<tr>
<td></td>
<td></td>
<td><em>For Santa Cruz METRO-ParaCruz: (specialized service)</em></td>
</tr>
<tr>
<td></td>
<td></td>
<td>FY 2016: October 2, 2016</td>
</tr>
<tr>
<td></td>
<td></td>
<td>FY 2017: January 18, 2018*</td>
</tr>
<tr>
<td></td>
<td></td>
<td>FY 2018: January 29, 2019*</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Reports were filed electronically.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>*Note: New state legislation was passed (AB 1113, Bloom) on July 21, 2017, that changes the timeline to submit the annual Transit Operators Financial Transaction Reports to the State Controller effective reporting year FY 2017. The submittal date has been extended from within 110 days after fiscal year end to 7 months after</td>
</tr>
</tbody>
</table>
Table II-1  
Operator Compliance Requirements Matrix

<table>
<thead>
<tr>
<th>Operator Compliance Requirements</th>
<th>Reference</th>
<th>Compliance Efforts</th>
</tr>
</thead>
</table>
| The operator has submitted annual fiscal and compliance audits to the RTPA and to the State Controller within 180 days following the end of the fiscal year, or has received the appropriate 90-day extension by the RTPA allowed by law. | Public Utilities Code, Section 99245 | Completion/submittal dates:  
For Santa Cruz METRO:  
FY 2016: December 9, 2016  
FY 2017: December 18, 2017  
FY 2018: December 31, 2018  
For Community Bridges:  
FY 2016: December 9, 2016  
FY 2017: December 12, 2017  
FY 2018: December 17, 2018  
Conclusion: Complied. |
| The CHP has, within the 13 months prior to each TDA claim submitted by an operator, certified the operator’s compliance with Vehicle Code Section 1808.1 following a CHP inspection of the operator’s terminal. | Public Utilities Code, Section 99251 B | Santa Cruz METRO and Community Bridges participate in the CHP Transit Operator Compliance Program in which the CHP has conducted inspections within the 13 months prior to each TDA claim.  
For Santa Cruz METRO:  
Inspections were conducted at the Santa Cruz METRO facility located at 138 Golf Club Drive in Santa Cruz.  
Inspection dates applicable to the audit period were July 15, 2016; August 2, 2017; and August 9, 2018.  
Conclusion: Complied. |
**Table II-1**
Operator Compliance Requirements Matrix

<table>
<thead>
<tr>
<th>Operator Compliance Requirements</th>
<th>Reference</th>
<th>Compliance Efforts</th>
</tr>
</thead>
</table>
| The operator’s claim for TDA funds is submitted in compliance with rules and regulations adopted by the RTPA for such claims. | Public Utilities Code, Section 99261 | Inspections were found to be satisfactory.  
*For Community Bridges:*  
Inspections were conducted at the Community Bridges facilities located at 240 Ford Street in Watsonville.  
Inspection dates applicable to the audit period were January 21, 2016; January 17, 2017; and April 6, 2018.  
Inspections were found to be satisfactory.  
**Conclusion: Complied.** |
| If an operator serves urbanized and non-urbanized areas, it has maintained a ratio of fare revenues to operating costs at least equal to the ratio determined by the rules and regulations adopted by the RTPA. | Public Utilities Code, Section 99270.1 | As a condition of approval, the Santa Cruz County transit operators’ annual claims for Local Transportation Funds and State Transit Assistance funds are submitted in compliance with the rules and regulations adopted by the SCCRTC.  
**Conclusion: Complied.** |

*Public Utilities Code, Section 99270.1*
Table II-1  
Operator Compliance Requirements Matrix

<table>
<thead>
<tr>
<th>Operator Compliance Requirements</th>
<th>Reference</th>
<th>Compliance Efforts</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>percent. SCCRTC local policy continues to require METRO to show different ratios for urban and rural service.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>In the annual claims forms, Santa Cruz METRO separately reports its urban and rural farebox recovery ratios. Both sets of ratios exceeded the respective thresholds each year and are shown below.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Santa Cruz METRO TDA Claims</td>
</tr>
<tr>
<td>FY 2016 19.1%</td>
<td>Urban</td>
<td>Rural 15.1%</td>
</tr>
<tr>
<td>FY 2017 21.2%</td>
<td>FY 2017</td>
<td>16.0%</td>
</tr>
<tr>
<td>FY 2018 25.0%</td>
<td>FY 2018</td>
<td>16.1%</td>
</tr>
</tbody>
</table>

In addition to farebox recovery, the annual financial audit for METRO indicates that the agency meets the 50 percent expenditure limitation under the TDA (PUC 99268) in lieu of meeting the farebox recovery requirement (see Table IV-6 for the 50% expenditure calculation).

Which requirement applies to METRO, either farebox recovery or 50 percent expenditure limitation, for Local Transportation Fund (LTF) eligibility should be clarified between METRO and SCCRTC. TDA law indicates only one of these two requirements applies (PUC 99268.2) if METRO’s claim for LTF remains below 50 percent of its operating costs.

Conclusion: Complied.
### Table II-1
Operator Compliance Requirements Matrix

<table>
<thead>
<tr>
<th>Operator Compliance Requirements</th>
<th>Reference</th>
<th>Compliance Efforts</th>
</tr>
</thead>
<tbody>
<tr>
<td>budget has not increased by more than 15% over the preceding year, nor is there a substantial increase or decrease in the scope of operations or capital budget provisions for major new fixed facilities unless the operator has reasonably supported and substantiated the change(s).</td>
<td>Section 99266</td>
<td>County transit operators’ operating budgets:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>For Santa Cruz METRO:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>FY 2016: +4.5%</td>
</tr>
<tr>
<td></td>
<td></td>
<td>FY 2017: -7.8%</td>
</tr>
<tr>
<td></td>
<td></td>
<td>FY 2018: +3.0%</td>
</tr>
<tr>
<td></td>
<td></td>
<td>For Community Bridges:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>FY 2016: -22.6%</td>
</tr>
<tr>
<td></td>
<td></td>
<td>FY 2017: 12.5%</td>
</tr>
<tr>
<td></td>
<td></td>
<td>FY 2018: 16.1%</td>
</tr>
<tr>
<td></td>
<td></td>
<td>In FY 2018, additional drivers and administrative staff were budgeted for increased service using Measure D funding, according to Community Bridges TDA Claim.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>For Volunteer Center:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>FY 2016: 3.1%</td>
</tr>
<tr>
<td></td>
<td></td>
<td>FY 2017: -3.2%</td>
</tr>
<tr>
<td></td>
<td></td>
<td>FY 2018: -20.0%</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Source: Santa Cruz County transit operators’ budgets for FYs 2016–2019</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Conclusion: Complied.</td>
</tr>
<tr>
<td>The operator’s definitions of performance measures are consistent with Public Utilities Code Section 99247, including (a) operating cost, (b) operating cost per passenger, (c) operating cost per vehicle service hour, (d) passengers per vehicle</td>
<td>Public Utilities Code, Section 99247</td>
<td>The Santa Cruz County transit operators’ definition of performance is consistent with PUC Section 99247, based on data collection methods and reporting.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Conclusion: Complied.</td>
</tr>
<tr>
<td>Operator Compliance Requirements</td>
<td>Reference</td>
<td>Compliance Efforts</td>
</tr>
<tr>
<td>----------------------------------</td>
<td>-----------</td>
<td>--------------------</td>
</tr>
<tr>
<td>service hour, (e) passengers per vehicle service mile, (f) total passengers, (g) transit vehicle, (h) vehicle service hours, (i) vehicle service miles, and (j) vehicle service hours per employee.</td>
<td>Public Utilities Code, Sections 99268.2, 99268.3, 99268.12</td>
<td>SCCRTC updated its Rules &amp; Regulations in 2017 with new language that Santa Cruz METRO is subject to farebox recovery ratios as set forth by state law. Beginning in FY 2016-17, State law sets urban farebox at 20 percent. As shown above, METRO met the urban ratio. SCCRTC local policy continues to require METRO to show different ratios for urban and rural service. <strong>Conclusion: Complied.</strong></td>
</tr>
<tr>
<td>If the operator serves an urbanized area, it has maintained a ratio of fare revenues to operating costs at least equal to one-fifth (20 percent), unless it is in a county with a population of less than 500,000, in which case it must maintain a ratio of fare revenues to operating costs of at least equal to three-twentieths (15 percent), if so determined by the RTPA.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If the operator serves a rural area, or provides exclusive services to elderly and disabled persons, it has maintained a ratio of fare revenues to operating costs at least equal to one-tenth (10 percent).</td>
<td>Public Utilities Code, Sections 99268.2, 99268.4, 99268.5</td>
<td>SCCRTC updated its Rules &amp; Regulations in 2017 with new language that Santa Cruz METRO is subject to farebox recovery ratios as set forth by state law. Beginning in FY 2016-17, State law sets rural farebox at 10 percent. As shown above, METRO met the rural ratio. SCCRTC local policy continues to require METRO to show different ratios for urban and rural service. Community Bridges and the Volunteer Center are subject to a 10 percent local match requirement established by the SCCRTC. The TDA claim forms attest to at least a 10 percent local match to TDA allocations. However,</td>
</tr>
</tbody>
</table>
### Table II-1
Operator Compliance Requirements Matrix

<table>
<thead>
<tr>
<th>Operator Compliance Requirements</th>
<th>Reference</th>
<th>Compliance Efforts</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>the budget for Volunteer Center transportation shows less than a 10 percent local match through donations. With the shortfall in local match, an alternative performance measure should be discussed between SCCRTC and Volunteer Center which is allowable under PUC 99400(c) claims. <strong>Conclusion: Partial Compliance.</strong></td>
</tr>
<tr>
<td>The current cost of the operator’s retirement system is fully funded with respect to the officers and employees of its public transportation system, or the operator is implementing a plan approved by the RTPA which will fully fund the retirement system within 40 years.</td>
<td>Public Utilities Code, Section 99271</td>
<td>Santa Cruz METRO contributes toward its employees’ defined benefit pension plan, the Miscellaneous Plan for the Santa Cruz Metropolitan Transit District. The plan is part of the California Public Employees’ Retirement System (CalPERS). Santa Cruz METRO also offers a deferred compensation plan under IRS Section 457. Community Bridges offers a deferred compensation plan for full-time employees, as described in the memorandum of understanding (MOU) with UTU Local 23. <strong>Conclusion: Complied.</strong></td>
</tr>
<tr>
<td>If the operator receives state transit assistance funds, the operator makes full use of funds available to it under the Urban Mass Transportation Act of 1964 before TDA claims are granted.</td>
<td>California Code of Regulations, Section 6754(a)(3)</td>
<td>Santa Cruz METRO receives State Transit Assistance funds in addition to federal funds that are available to the district as reported in the federal NTD reports: FY 2016: Operations ($6,688,762) Capital ($364,402) FY 2017: Operations ($6,749,855) Capital ($663,791) FY 2018: Operations ($7,098,403)</td>
</tr>
</tbody>
</table>
Table II-1
Operator Compliance Requirements Matrix

<table>
<thead>
<tr>
<th>Operator Compliance Requirements</th>
<th>Reference</th>
<th>Compliance Efforts</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Capital ($552,749)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Conclusion: Complied.</td>
</tr>
</tbody>
</table>

Findings and Observations from Operator Compliance Requirements Matrix

1. The Santa Cruz County transit operators complied with each of the compliance requirements. One exception is the partial compliance with the local match for LTF funding by Volunteer Center. The 10 percent local match is not met through donations.

2. Santa Cruz METRO attained farebox ratios for both urban and rural services that exceeded the standard. The agency also meets the 50 percent expenditure limitation under the TDA in lieu of meeting the farebox recovery requirement.

3. The Santa Cruz County transit operators (Santa Cruz METRO and Community Bridges’ Lift Line) participate in the CHP Transit Operator Compliance Program and received vehicle inspections within the 13 months prior to each TDA claim. Satisfactory ratings were made for all inspections conducted during the audit period for both agencies. For the Santa Cruz METRO inspection, no vehicles were placed out of service during the review period. No violations were noted for the Community Bridges’ CHP inspections.

4. The operating budgets for the operators exhibited modest fluctuations during the audit period, with only the Community Bridges’ Lift Line budget for FY 2018 showing an increase of more than 15 percent (16.1 percent) over the prior year. According to the Community Bridges TDA Claim for FY 2018, additional drivers and administrative staff were budgeted for increased service using Measure D funding.
Section III

Prior Triennial Performance Recommendations

The Santa Cruz County transit operators’ efforts to implement the recommendations made in the prior triennial audit are examined in this section of the report. For this purpose, each prior recommendation for the agency is described, followed by a discussion of the transit operators’ efforts to implement the recommendation. Conclusions concerning the extent to which the recommendations have been adopted by the agency are then presented.

Prior Recommendation 1

Santa Cruz METRO should prioritize the addition of on-board cameras.

Background: The prior audit stressed how surveillance cameras on transit vehicles are standard for relatively large transit agencies. Cameras serve multiple purposes, including risk management involving passenger and driver safety, complaint resolution, driver training, and incident capture for public safety. Given that the buses do not have cameras installed, Santa Cruz METRO bus and paratransit operators have been fully instructed on procedures to follow with respect to public safety and personal safety and in proper reporting processes to assist medical, fire, and police responders. As part of its measures to increase the use of technology in achieving efficiencies, it was recommended that Santa Cruz METRO continue working with the union on the addition of on-board cameras and plan for funding. Both fixed-route and paratransit vehicles could be ideally outfitted with cameras, but in considering funding constraints, a priority list of vehicles should be developed.

Actions taken by Santa Cruz METRO

During FY 2017-18, METRO installed on-board cameras on all its buses. Each bus is outfitted with 13 cameras at different angles. The cameras monitor driver performance and are used to investigate customer service complaints. Camera footage is recorded and stored for future reference and training. Local law enforcement has been able to request footage from the camera feed. METRO has established protocols and policies for the use of the on-board cameras.

Conclusion

This recommendation has been implemented.

Prior Recommendation 2

Santa Cruz METRO should prioritize technology investment to continuously track on-time performance.
**Background:** Delays on the fixed route occur for a variety of reasons, including construction, narrow travel corridors, and congestion. Studies and limited collection methods to date have been employed to track bus on-time performance. The prior audit detailed how Santa Cruz METRO had some technology infrastructure, which was a start to developing tools to automate the collection of on-time performance data. Automated vehicle location and automated passenger counters are priority investments to further expand the collection and organization of on-time performance data, among providing other benefits. It was recommended that Santa Cruz METRO should continue to prioritize these projects for funding as they provide both operational and safety benefits to the riders.

**Actions taken by Santa Cruz Operators**

Santa Cruz METRO recognizes that installing an automatic vehicle locator (AVL) system to help track on-time performance is one of its highest priorities. Santa Cruz METRO has been working on implementation of the Syncromatics intelligent transportation systems infrastructure, which includes real-time tracking via an AVL system, automated passenger counters, and voice annunciators. The system has been deployed on half of the revenue fleet to date and is in the testing phase.

**Conclusion**

This recommendation is in the process of implementation.

**Prior Recommendation 3**

Santa Cruz METRO should strengthen its marketing program.

**Background:** Prior to the development of the Short-Range Transit Plan (SRTP), there was no marketing plan for Santa Cruz METRO. Consequently, there has not been a dedicated marketing manager on staff to coordinate and manage a robust marketing program and integrate customer service with marketing activities. Currently, Santa Cruz METRO departments work together, but no single department is responsible for the overall appearance of Santa Cruz METRO’s marketing tools, adherence to any design policies or programs, or management of the marketing function. The SRTP noted that stakeholders indicated very limited proactive marketing by Santa Cruz METRO, including no specialized efforts targeted to UCSC and Cabrillo College. The recent bus pass program secured with Cabrillo College and UCSC’s contribution to new services provide momentum for proactive marketing and better service to the student population.

The prior audit found that a marketing manager type position could coordinate the various efforts being conducted and design a comprehensive strategy including actions proposed by the SRTP to increase awareness and brand strength. The prevalence of social media and technology in marketing campaigns raises the importance of an experienced transit marketer. Santa Cruz METRO should develop a strategy to centralize marketing functions, whether creating a dedicated marketing management position or designating qualified staff within existing
departments. This would have the effect of creating efficiencies in consistent messaging and marketing service across communication channels with riders and the public.

**Actions taken by Santa Cruz Operators**

Santa Cruz METRO has implemented a series of measures designed to boost its marketing outreach. Santa Cruz METRO hired a marketing director in May 2019 and has been developing a marketing plan based on an on-board survey conducted in June 2019. Other initiatives undertaken by the agency include an upgrade of the website’s content management system, the opening of the Watsonville Transit Center, mobile ticketing pilot program for the Highway 17 Express Route, and increased social media engagement. Service-specific marketing campaigns were initiated, such as for the Watsonville Circulator. Social media optimization resulted in a significant increase in post reach on Facebook. Social media platforms are used for service alerts and to drive users to the website.

**Conclusion**

This recommendation has been implemented.

**Prior Recommendation 4**

Community Bridges’ Lift Line should continue to pursue funding for a driver trainer/supervisor position.

**Background:** The driver trainer/supervisor position is key to maintaining a solid core of drivers qualified to operate the vehicles and provide customer service. In spite of a relatively healthy list of on-call drivers, it was indicated that many do not have the full training to obtain a Class B license with passenger endorsement. An in-house resource for training and supervision should be prioritized for funding. With a new Lift Line management structure in place to manage daily operations, the pursuit of grants to fund such a position should be undertaken.

**Actions taken by Santa Cruz Operators**

Community Bridges noted the recruitment for a driver/trainer in the FY 2018 TDA claim and budgeted for increased expenses. The position was filled toward the end of the audit period, and the driver trainer/supervisor position is shown on the Lift Line organizational chart dated June 2019. The driver trainer provides enhanced in-house resources such as on-line training and safety modules leading to benefits including quicker driver certification, driver retention, and improved morale. The trainer provides retraining for driver safety issues and also serves as a backup driver.

**Conclusion**

This recommendation has been implemented.
**Prior Recommendation 5**

The Volunteer Center should track driver time spent per trip.

**Background:** This recommendation is a carryover from the prior audit. The Volunteer Center currently does not request that drivers record drive time in transporting passengers. While trip length is recorded and used to calculate average trip length, drive time is not. The tracking of time spent to transport riders is another gauge of the volunteer program’s value. Performance measures such as average trip time and operating cost per hour place values on the program and the drivers’ and passengers’ time in providing and using the service.

**Actions taken by Santa Cruz Operators**

During the audit period, Volunteer Center developed an innovative software program to manage the trip making and tracking of volunteer driver trips. The software helps match a customer with available driver and also uses Google maps to track the trip taken by the driver. Google maps has capability to determine the length and time of the trip. Given the software is relatively new, Volunteer Center is continuing to learn the capabilities of the program and increase its value to capture additional data including trip time.

**Conclusion**

This recommendation has been partially implemented.

**Prior Recommendation 6**

The Volunteer Center should regularly review the mileage reimbursement rate.

**Background:** This recommendation is a carryover from the prior audit. Volunteer drivers for the transportation program have the option to receive reimbursement at the rate of $0.31 per mile. In contrast, the current Internal Revenue Service optional standard mileage rates used to calculate the deductible costs of operating an automobile for business purposes is $0.54 per mile. Volunteer Center staff indicated that newer volunteer drivers have requested the reimbursement for the service. In an effort to maintain a qualified pool of volunteer drivers, there should be regular review of the mileage reimbursement rate offered by the Volunteer Center with the rate balanced against budgets for the transportation program. During the audit period, total reimbursements did not reach budgeted figures because many drivers elect to not take the reimbursement. This provides Volunteer Center with some flexibility in phasing in any rate adjustment to recruit and retain the pool of drivers.

**Actions taken by Santa Cruz Operators**

The Volunteer Center has not had opportunity to review the mileage reimbursement rate but sees a need to revisit the rate as a driver recruitment strategy. Since many drivers do not request reimbursement and the total payouts have not reached budgeted amounts, there is no
immediate urgency to consider changes to the rate. The number of available volunteer drivers have fluctuated some over the past years, and the reimbursement rate remains a consideration for driver retention.

Conclusion

This recommendation has not been implemented.
Section IV

TDA Performance Indicators

This section reviews the Santa Cruz County transit operators’ performance in providing transit service to the community in an efficient and effective manner. The TDA requires that at least five specific performance indicators be reported, which are contained in the following tables. Farebox recovery ratio is not one of the five specific indicators but is a requirement for continued TDA funding. Therefore, farebox calculation is also included. Two additional performance indicators, operating cost per mile and average fare per passenger, are included as well. Findings from the analysis are contained in the section following the tables.

Tables IV-1 through IV-5 provide the performance indicators for the Santa Cruz METRO system-wide, fixed route, and paratransit, as well as for Community Bridges and the Volunteer Center. Charts are also included to depict the trends in the indicators. It is noted that the system-wide operating costs and fare revenues are based on audited figures drawn from the financial statements, while modal costs and fare revenues for fixed-route and paratransit costs are unaudited and drawn from the federal National Transit Database (NTD). The annual fiscal audits do not provide a modal breakdown.\(^1\) Also, only operations costs for Community Bridges are audited figures for the small operators, as the fiscal audits do not separate transportation costs and revenues from all programs provided by the nonprofit entities.

\(^1\) The sum of operating expenses by mode reported in the NTD does not equal the audited total operating costs. The NTD operating costs by mode only reflect costs allocated by Santa Cruz METRO to that particular mode in following NTD guidelines. Additional operating costs are classified as other reconciling items in the NTD and are not separated by mode.
### Table IV-1
Santa Cruz METRO TDA Performance Indicators
System-wide

<table>
<thead>
<tr>
<th>Performance Data and Indicators</th>
<th>FY 2015</th>
<th>FY 2016</th>
<th>FY 2017</th>
<th>FY 2018</th>
<th>% Change FY 2015–2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operating Cost</td>
<td>$49,614,127</td>
<td>$49,962,296</td>
<td>$51,843,931</td>
<td>$53,527,521</td>
<td>7.9%</td>
</tr>
<tr>
<td>Total Passengers</td>
<td>5,752,012</td>
<td>5,583,798</td>
<td>5,162,583</td>
<td>5,120,721</td>
<td>-11.0%</td>
</tr>
<tr>
<td>Vehicle Service Hours</td>
<td>274,342</td>
<td>268,834</td>
<td>246,440</td>
<td>251,643</td>
<td>-8.3%</td>
</tr>
<tr>
<td>Vehicle Service Miles</td>
<td>3,857,070</td>
<td>3,808,780</td>
<td>3,329,335</td>
<td>3,312,817</td>
<td>-14.1%</td>
</tr>
<tr>
<td>Employee FTEs</td>
<td>334</td>
<td>306</td>
<td>315</td>
<td>311</td>
<td>-6.9%</td>
</tr>
<tr>
<td>Passenger Fares</td>
<td>$9,796,024</td>
<td>$9,923,862</td>
<td>$9,720,871</td>
<td>$10,280,559</td>
<td>4.9%</td>
</tr>
<tr>
<td>Operating Cost per Passenger</td>
<td>$8.63</td>
<td>$8.95</td>
<td>$10.04</td>
<td>$10.45</td>
<td>21.2%</td>
</tr>
<tr>
<td>Operating Cost per Vehicle Service Hour</td>
<td>$180.85</td>
<td>$185.85</td>
<td>$210.37</td>
<td>$212.71</td>
<td>17.6%</td>
</tr>
<tr>
<td>Operating Cost per Vehicle Service Mile</td>
<td>$12.86</td>
<td>$13.12</td>
<td>$15.57</td>
<td>$16.16</td>
<td>25.6%</td>
</tr>
<tr>
<td>Passengers per Vehicle Service Hour</td>
<td>21.0</td>
<td>20.8</td>
<td>20.9</td>
<td>20.3</td>
<td>-2.9%</td>
</tr>
<tr>
<td>Passengers per Vehicle Service Mile</td>
<td>1.49</td>
<td>1.47</td>
<td>1.55</td>
<td>1.55</td>
<td>3.7%</td>
</tr>
<tr>
<td>Vehicle Service Hours per Employee</td>
<td>821.4</td>
<td>878.5</td>
<td>782.3</td>
<td>809.1</td>
<td>-1.5%</td>
</tr>
<tr>
<td>Average Fare per Passenger</td>
<td>$1.70</td>
<td>$1.78</td>
<td>$1.88</td>
<td>$2.01</td>
<td>17.9%</td>
</tr>
<tr>
<td>Fare Recovery Ratio</td>
<td>19.74%</td>
<td>19.86%</td>
<td>18.75%</td>
<td>19.21%</td>
<td>-2.7%</td>
</tr>
</tbody>
</table>

Note: Audited operating costs reflect total Santa Cruz METRO operating expenses. Passenger fares include audited passenger fares and special transit fares.
Percentage change may not match figures due to rounding of the figures for presentation in the table.
Source: Annual Fiscal & Compliance Audit Reports, National Transit Database, State Controller’s Reports
### Table IV-2
**Santa Cruz METRO TDA Performance Indicators**
**Fixed Route**

<table>
<thead>
<tr>
<th>Performance Data and Indicators</th>
<th>FY 2015</th>
<th>FY 2016</th>
<th>FY 2017</th>
<th>FY 2018</th>
<th>% Change FY 2015–2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operating Cost</td>
<td>$36,879,129</td>
<td>$37,329,477</td>
<td>$36,964,307</td>
<td>$37,343,719</td>
<td>1.3%</td>
</tr>
<tr>
<td>Total Passengers</td>
<td>5,653,812</td>
<td>5,500,969</td>
<td>5,091,394</td>
<td>5,048,512</td>
<td>-10.7%</td>
</tr>
<tr>
<td>Vehicle Service Hours</td>
<td>225,347</td>
<td>225,455</td>
<td>206,966</td>
<td>207,680</td>
<td>-7.8%</td>
</tr>
<tr>
<td>Vehicle Service Miles</td>
<td>3,325,820</td>
<td>3,337,760</td>
<td>2,895,296</td>
<td>2,858,408</td>
<td>-14.1%</td>
</tr>
<tr>
<td>Employee FTEs</td>
<td>282</td>
<td>257</td>
<td>269</td>
<td>265</td>
<td>-6.0%</td>
</tr>
<tr>
<td>Passenger Fares</td>
<td>$8,955,245</td>
<td>$9,184,252</td>
<td>$8,918,400</td>
<td>$9,469,559</td>
<td>5.7%</td>
</tr>
<tr>
<td>Operating Cost per Passenger</td>
<td>$6.52</td>
<td>$6.79</td>
<td>$7.26</td>
<td>$7.40</td>
<td>13.4%</td>
</tr>
<tr>
<td>Operating Cost per Vehicle Service Hour</td>
<td>$163.65</td>
<td>$165.57</td>
<td>$178.60</td>
<td>$179.81</td>
<td>9.9%</td>
</tr>
<tr>
<td>Operating Cost per Vehicle Service Mile</td>
<td>$11.09</td>
<td>$11.18</td>
<td>$12.77</td>
<td>$13.06</td>
<td>17.8%</td>
</tr>
<tr>
<td>Passengers per Vehicle Service Hour</td>
<td>25.1</td>
<td>24.4</td>
<td>24.6</td>
<td>24.3</td>
<td>-3.1%</td>
</tr>
<tr>
<td>Passengers per Vehicle Service Mile</td>
<td>1.70</td>
<td>1.65</td>
<td>1.76</td>
<td>1.77</td>
<td>3.9%</td>
</tr>
<tr>
<td>Vehicle Service Hours per Employee</td>
<td>799.1</td>
<td>877.3</td>
<td>769.4</td>
<td>783.7</td>
<td>-1.9%</td>
</tr>
<tr>
<td>Average Fare per Passenger</td>
<td>$1.58</td>
<td>$1.67</td>
<td>$1.75</td>
<td>$1.88</td>
<td>18.4%</td>
</tr>
<tr>
<td>Fare Recovery Ratio</td>
<td>24.28%</td>
<td>24.60%</td>
<td>24.13%</td>
<td>25.36%</td>
<td>4.4%</td>
</tr>
</tbody>
</table>

Note: The sum of operating expenses by mode reported in the NTD does not equal the audited total operating costs. The NTD operating costs by mode only reflect costs allocated by Santa Cruz METRO to that particular mode in following NTD guidelines. Additional operating costs are classified as other reconciling items in the NTD and are not separated by mode. Farebox recovery for this table is based on NTD data.

Percentage change may not match figures due to rounding of the figures for presentation in the table.

Source: National Transit Database; METRO for FTE data.
Table IV-3
ParaCruz TDA Performance Indicators
Paratransit

<table>
<thead>
<tr>
<th>Performance Data and Indicators</th>
<th>FY 2015</th>
<th>FY 2016</th>
<th>FY 2017</th>
<th>FY 2017</th>
<th>% Change FY 2015–2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operating Cost</td>
<td>$5,318,477</td>
<td>$4,906,673</td>
<td>$4,801,494</td>
<td>$5,269,932</td>
<td>-0.9%</td>
</tr>
<tr>
<td>Total Passengers</td>
<td>98,200</td>
<td>82,829</td>
<td>71,189</td>
<td>72,209</td>
<td>-26.5%</td>
</tr>
<tr>
<td>Vehicle Service Hours</td>
<td>48,995</td>
<td>43,379</td>
<td>39,474</td>
<td>43,963</td>
<td>-10.3%</td>
</tr>
<tr>
<td>Vehicle Service Miles</td>
<td>531,250</td>
<td>471,020</td>
<td>434,039</td>
<td>454,409</td>
<td>-14.5%</td>
</tr>
<tr>
<td>Employee FTEs</td>
<td>52</td>
<td>49</td>
<td>46</td>
<td>46</td>
<td>-11.5%</td>
</tr>
<tr>
<td>Passenger Fares</td>
<td>$329,050</td>
<td>$322,797</td>
<td>$290,282</td>
<td>$287,363</td>
<td>-12.7%</td>
</tr>
<tr>
<td>Operating Cost per Passenger</td>
<td>$54.16</td>
<td>$59.24</td>
<td>$67.45</td>
<td>$72.98</td>
<td>34.8%</td>
</tr>
<tr>
<td>Operating Cost per Vehicle Service Hour</td>
<td>$108.55</td>
<td>$113.11</td>
<td>$121.64</td>
<td>$119.87</td>
<td>10.4%</td>
</tr>
<tr>
<td>Operating Cost per Vehicle Service Mile</td>
<td>$10.01</td>
<td>$10.42</td>
<td>$11.06</td>
<td>$11.60</td>
<td>15.8%</td>
</tr>
<tr>
<td>Passengers per Vehicle Service Hour</td>
<td>2.0</td>
<td>1.9</td>
<td>1.8</td>
<td>1.6</td>
<td>-18.1%</td>
</tr>
<tr>
<td>Passengers per Vehicle Service Mile</td>
<td>0.18</td>
<td>0.18</td>
<td>0.16</td>
<td>0.16</td>
<td>-14.0%</td>
</tr>
<tr>
<td>Vehicle Service Hours per Employee</td>
<td>942.2</td>
<td>885.3</td>
<td>858.1</td>
<td>955.7</td>
<td>1.4%</td>
</tr>
<tr>
<td>Average Fare per Passenger</td>
<td>$3.35</td>
<td>$3.90</td>
<td>$4.08</td>
<td>$3.98</td>
<td>18.8%</td>
</tr>
<tr>
<td>Fare Recovery Ratio</td>
<td>6.19%</td>
<td>6.58%</td>
<td>6.05%</td>
<td>5.45%</td>
<td>-11.9%</td>
</tr>
</tbody>
</table>

Note: The sum of operating expenses by mode reported in the NTD does not equal the audited total operating costs. The NTD operating costs by mode only reflect costs allocated by Santa Cruz METRO to that particular mode in following NTD guidelines. Additional operating costs are classified as other reconciling items in the NTD and are not separated by mode. Farebox recovery for this table is based on NTD data. Percentage change may not match figures due to rounding of the figures for presentation in the table. Source: National Transit Database; METRO for FTE data.
### Table IV-4

**Community Bridges’ Lift Line TDA Performance Indicators**

<table>
<thead>
<tr>
<th>Performance Data and Indicators</th>
<th>Audit Period</th>
<th>% Change FY 2015–2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operating Cost</td>
<td>FY 2015: $1,445,555</td>
<td>FY 2016: $1,118,517</td>
</tr>
<tr>
<td>Total Passengers</td>
<td>84,268</td>
<td>74,403</td>
</tr>
<tr>
<td>Vehicle Service Hours</td>
<td>19,037</td>
<td>22,967</td>
</tr>
<tr>
<td>Vehicle Service Miles</td>
<td>278,757</td>
<td>112,062</td>
</tr>
<tr>
<td>Employee FTEs</td>
<td>18</td>
<td>13</td>
</tr>
<tr>
<td>Passenger Fares (donations)</td>
<td>$5,549</td>
<td>$5,816</td>
</tr>
<tr>
<td>Operating Cost per Passenger</td>
<td>$17.15</td>
<td>$15.03</td>
</tr>
<tr>
<td>Operating Cost per Vehicle Service Hour</td>
<td>$75.93</td>
<td>$48.70</td>
</tr>
<tr>
<td>Operating Cost per Vehicle Service Mile</td>
<td>$5.19</td>
<td>$9.98</td>
</tr>
<tr>
<td>Passengers per Vehicle Service Hour</td>
<td>4.4</td>
<td>3.2</td>
</tr>
<tr>
<td>Passengers per Vehicle Service Mile</td>
<td>0.30</td>
<td>0.66</td>
</tr>
<tr>
<td>Vehicle Service Hours per Employee</td>
<td>1,042.9</td>
<td>1,796.7</td>
</tr>
<tr>
<td>Average Fare per Passenger</td>
<td>$0.07</td>
<td>$0.08</td>
</tr>
<tr>
<td>Fare Recovery Ratio</td>
<td>0.38%</td>
<td>0.52%</td>
</tr>
</tbody>
</table>

Community Bridges is subject to a local match provision in lieu of meeting farebox recovery standard. Percentage change may not match figures due to rounding of the figures for presentation in the table. Source: Annual Fiscal Audit for operations costs; Community Bridges TDA Year-End Reports

### Table IV-5

**Volunteer Center TDA Performance Indicators**

<table>
<thead>
<tr>
<th>Performance Data and Indicators</th>
<th>Audit Period</th>
<th>% Change FY 2015–2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Passengers</td>
<td>3,212</td>
<td>4,229</td>
</tr>
<tr>
<td>Vehicle Service Miles</td>
<td>66,087</td>
<td>72,000</td>
</tr>
<tr>
<td>Operating Cost per Passenger</td>
<td>$23.22</td>
<td>$18.19</td>
</tr>
<tr>
<td>Operating Cost per Vehicle Service Mile</td>
<td>$1.13</td>
<td>$1.07</td>
</tr>
<tr>
<td>Passengers per Vehicle Service Mile</td>
<td>0.049</td>
<td>0.059</td>
</tr>
</tbody>
</table>

Volunteer Center is subject to a local match provision in lieu of meeting farebox recovery standard. In FY 2018, Volunteer Center performed a one-time salary savings of $19,500 redirected to multi-year project. Percentage change may not match figures due to rounding of the figures for presentation in the table. Source: Volunteer Center final reports FYs 2015–2018
Santa Cruz METRO is defined in the TDA as an older operator, having started service prior to July 1, 1974. Older operators may qualify for the TDA under the 50 percent expenditure limitation (PUC Section 99268.1) or the farebox recovery ratio (PUC Section 99268.2). As described in Santa Cruz METRO’s financial compliance audit, the operator has met the 50 percent expenditure limitation. The calculation below by the performance auditor in Table IV-6 shows the compliance.

### Table IV-6

50 Percent Expenditure Limitation

<table>
<thead>
<tr>
<th>Line#</th>
<th>Description</th>
<th>FY 2016</th>
<th>FY 2017</th>
<th>FY 2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Total Operating Cost</td>
<td>$49,962,296</td>
<td>$51,843,931</td>
<td>$53,527,521</td>
</tr>
<tr>
<td>2</td>
<td>Total Depreciation</td>
<td>$3,915,785</td>
<td>$4,297,447</td>
<td>$4,527,151</td>
</tr>
<tr>
<td>3</td>
<td>Total Capital Outlay</td>
<td>$7,571,302</td>
<td>$3,632,663</td>
<td>$2,594,506</td>
</tr>
<tr>
<td>4</td>
<td>Total Lines 1, 2 &amp; 3</td>
<td>$61,449,383</td>
<td>$59,774,041</td>
<td>$60,649,178</td>
</tr>
<tr>
<td>5a</td>
<td>Less Federal Ops Grants Received</td>
<td>$5,715,265</td>
<td>$6,454,874</td>
<td>$6,738,883</td>
</tr>
<tr>
<td>5b</td>
<td>Less Federal Capital Grants Received</td>
<td>$1,283,609</td>
<td>$663,791</td>
<td>$552,748</td>
</tr>
<tr>
<td>6</td>
<td>Less LTF Capital Intensive</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>7</td>
<td>Less STAF Received</td>
<td>$2,636,432</td>
<td>$1,671,333</td>
<td>$3,196,463</td>
</tr>
<tr>
<td>8</td>
<td>Total Lines 5, 6 &amp; 7</td>
<td>$9,635,306</td>
<td>$8,789,998</td>
<td>$10,488,094</td>
</tr>
<tr>
<td>9</td>
<td>Total Line 4 Less Line 8</td>
<td>$51,814,077</td>
<td>$50,982,337</td>
<td>$50,159,186</td>
</tr>
<tr>
<td>10</td>
<td>50% of Line 9</td>
<td>$25,907,039</td>
<td>$25,491,169</td>
<td>$25,079,593</td>
</tr>
<tr>
<td>11</td>
<td>Add Amount of LTF Claimed in Excess of Line 10</td>
<td>$1,428,816</td>
<td>$1,613,719</td>
<td>$1,684,721</td>
</tr>
<tr>
<td>12</td>
<td>Add LTF Capital Intensive</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>13</td>
<td>Total Permissible LTF Expenditure</td>
<td>$27,335,855</td>
<td>$27,105,314</td>
<td>$26,764,788</td>
</tr>
<tr>
<td>14</td>
<td>Total LTF Applied to Operations</td>
<td>$6,377,491</td>
<td>$6,804,838</td>
<td>$6,767,933</td>
</tr>
</tbody>
</table>
Graph IV-1
Santa Cruz METRO Operating Costs

Note: System-wide operating costs are drawn from audited data, while data by mode are unaudited using NTD data.

Graph IV-2
Santa Cruz METRO Ridership
Graph IV-3
Santa Cruz METRO Operating Cost per Passenger

Note: System-wide operating costs are drawn from audited data, while data by mode are unaudited using NTD data.

Graph IV-4
Santa Cruz METRO Operating Cost per Vehicle Service Hour

Note: System-wide operating costs are drawn from audited data, while data by mode are unaudited using NTD data.
Graph IV-5
Santa Cruz METRO Passengers per Vehicle Service Hour

Graph IV-6
Santa Cruz METRO Fare Recovery Ratio

Note: System-wide operating costs are drawn from audited data, while data by mode are unaudited using NTD data.
Findings from Verification of TDA Performance Indicators

1. Santa Cruz METRO operating costs increased 7.9 percent system-wide over the period based on audited data from the FY 2015 base year through FY 2018. System-wide operating costs reflect all costs and exclude depreciation costs. Using unaudited modal operating cost data drawn from the NTD, operating costs increased by 1.3 percent for fixed route and decreased by 0.9 percent for ParaCruzer. According to the annual financial audit, the trend in system-wide operating cost increases was due to increases in employee wage rates, overtime costs, benefits, the provision of other post-employment benefit, medical insurance rates, and the CalPERS retirement rate. Community Bridges’ Lift Line operating costs were relatively flat for the three-year period, increasing by 1.1 percent. Volunteer Center transportation costs decreased by 20.1 percent for the audit period. In FY 2018, Volunteer Center performed a one-time salary savings of $19,500 redirected to a multi-year project.

2. Ridership on Santa Cruz METRO decreased by 11 percent system-wide during the audit period. Fixed-route ridership decreased by approximately the same percentage, decreasing from 5.65 million to 5.05 million passengers between FY 2015 and FY 2018. ParaCruzer ridership decreased by 26.5 percent, from 98,200 to 72,209 riders over the same period. Lift Line ridership decreased 35.5 percent during the audit period by about 30,000 passengers. Volunteer Center transportation ridership increased significantly by more than 43 percent for the three-year period, from 3,200 to 4,600 passengers.

3. The provision of revenue hours and miles by Santa Cruz METRO decreased system-wide during the audit period, 8.3 percent and 14.1 percent, respectively. Fixed-route revenue hours and miles decreased 7.8 and 14.1 percent, respectively. ParaCruzer revenue hours and miles also decreased by 10.3 and 14.5 percent, respectively. Vehicle hours significantly increased for Lift Line during the audit period, increasing by 38.9 percent, while miles decreased 9.5 percent. Volunteer Services vehicle miles also increased significantly from 66,087 in FY 2015 to 96,052 in FY 2018.

4. Using audited data, operating cost per passenger increased by 21.2 percent system-wide for Santa Cruz METRO. On a modal basis using NTD data, cost per passenger for fixed route and ParaCruzer increased by 13.4 percent and 34.8 percent, respectively. The trends for these indicators using audited costs reflect growth in operating cost as ridership decreases. Operating cost per passenger for Lift Line increased by 56.6 percent as ridership decreased and operations cost remained relatively stable.

5. Audited operating cost per hour system-wide increased 17.6 percent for Santa Cruz METRO as operating cost grew and vehicle hours decreased during the audit period. On a modal basis using NTD costs, the performance trend also showed an increase for both ridership and operating costs.

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2 The sum of operating expenses by mode reported in the NTD do not equal the audited total operating costs. The NTD operating costs by mode only reflect costs allocated by Santa Cruz METRO to that particular mode in following NTD guidelines. Additional operating costs are classified as other reconciling items in the NTD and not separated by mode.
fixed route and ParaCruz of 9.9 percent and 10.4, respectively. As noted in this section, the NTD costs by mode do not show all operations costs compared to the system-wide audited figures. Lift Line operating cost per hour declined by 27.2 percent as the number of vehicle hours increased substantially faster than costs.

6. System-wide, passengers per vehicle service hour was relatively steady on Santa Cruz METRO, between 20 and 21 passengers per hour. This indicator was also relatively stable for fixed route, as the small percentage decrease for fixed route did not result in much change in the actual number of passengers served (between 24 and 25) per vehicle hour. For ParaCruz, passengers per hour dropped to below 2. For Lift Line, with a much smaller rider base, this performance indicator showed a decline of 53.5 percent with the number of passengers per hour decreasing by about 2 during the audit period. Several key services were no longer offered through Lift Line including the veteran transportation service and the homeless shelter service, both of which impacted the total number of riders.

7. The fare recovery ratio remained relatively strong over the audit period for Santa Cruz METRO. For the three-year period, the system-wide farebox averaged 19.27 percent. Separately, fixed route farebox averaged 24.70 percent for the three years, while ParaCruz averaged 6.03 percent. In the TDA claims, Santa Cruz METRO further separates its farebox recovery between urban and non-urbanized services. Both urban and rural ratios exceeded the 15 percent TDA minimum for the audit period.
Section V

Review of Operator Functions

This section provides an in-depth review of various functions within each of the Santa Cruz County transit operators. The review highlights accomplishments, issues, and/or challenges that were determined during the audit period. The following functions were reviewed at Santa Cruz METRO, Community Bridges, and the Volunteer Center’s offices in Santa Cruz:

- Operations
- Maintenance
- Planning
- Marketing
- General Administration and Management

Within some departments are sub-functions that require review as well, such as Grants Administration that falls under General Administration.

Operations

The operations of Santa Cruz METRO are guided by its mission statement:

*To provide a public transportation service that enhances personal mobility and creates a sustainable transportation option in Santa Cruz County through a cost-effective, reliable, accessible, safe, clean, and courteous transit service.*

The majority of Santa Cruz METRO’s ridership is considered transit-dependent. Discretionary riders are attracted to the Highway 17 Express route, which offers a viable alternative to commuters traveling to the Santa Clara Valley and other Bay Area destinations. Students attending UCSC comprise the largest rider group, with many routes designed to accommodate student schedules. UCSC patronage comprises 50 percent of total system and averages 2.5 million trips annually. On-campus parking at UCSC has been priced at prohibitively high levels, which, coupled with UCSC’s ingress-egress cap that limits the number of single-occupant vehicles accessing the campus, encourages alternative modes of travel.

Parking permits and employee bus passes are issued through the UCSC Transportation and Parking Services (TAPS). Santa Cruz METRO service for students is funded through the Student Transit Fee. By showing a valid UCSC student ID card, a student rider has access to unlimited rides on Santa Cruz METRO buses with no additional fare required, with the exception of the Highway 17 Express. UCSC faculty and staff can purchase a subsidized Santa Cruz METRO bus pass (at a fraction of the regular cost) through the TAPS sales office. During the audit period, the payment arrangement to Santa Cruz METRO was changed from a per ride basis to a lump sum
based on the prior year’s enrollment growth. UCSC is also subsidizing a new service, Route 22, including the cost of a new operator, which amounts to $130,000 annually.

In September 2016, Santa Cruz METRO successfully secured a comparable service contract arrangement with Cabrillo College, a local public community college in Aptos. Cabrillo College students held an election and voted to impose a mandatory transportation fee of $40 per student per semester. The fee provides each student with a bus pass valid seven days a week. Students simply show their Cabrillo College ID card with a current semester sticker to ride the bus. Santa Cruz METRO will provide transit services with number of trips and routes specified in the agreement. The agreement runs for two years and may be renewed for successive periods upon written amendment of both parties. The college reimburses METRO based on the cost of providing coach operators and the per mile cost to run the service. Cross-marketing of each other’s programs is also part of the agreement.

Santa Cruz METRO has placed a priority on replacing aging equipment and upgrading its communication infrastructure. Santa Cruz METRO has been working on implementation of the Syncromatics intelligent transportation systems infrastructure, which includes real-time tracking via an automatic vehicle locator (AVL) system, automated passenger counters, and voice annunciators. The system has been deployed on half of the revenue fleet to date and is in the testing phase.

During FY 2017-18, surveillance cameras were installed on the buses. Each bus is equipped with 13 cameras, which are utilized to monitor driver performance and customer complaints. Footage captured by the cameras is also used in law enforcement investigations. Policies and protocols have been established for the use of the camera footage. Santa Cruz METRO was able to secure grant funding to procure other security equipment for use on buses and surveillance equipment at facilities, including upgraded radios and an alert button on the bus that signals dispatch, as well as cameras, videos, and other devices for the transit centers. Automated ticketing feedback systems were also implemented during the period.

Santa Cruz METRO has invested in the security of facilities and its personnel through the hiring of a safety and training coordinator to actively work with police departments and emergency service agencies to coordinate the safety of riders and increase driver training in these areas. The safety officer provides security training tailored for the transit environment on the bus and at transit facilities. Drivers also receive training on how to handle security situations on the bus. Unarmed contracted employees are a presence at the transit facilities.

Schedule adherence and on-time performance for several bus routes have been challenging for a variety of reasons, including construction, narrow travel corridors, and congestion. Santa Cruz METRO’s definition of “on-time” departures from timepoints is not early and no more than 5 minutes late. Its system-wide on-time goal is 72 percent of all departures, according to the Short Range Transit Plan (SRTP).

ParaCruz serves ADA-certified riders and its operating hours mirror those of the fixed route. With changes to the taxi industry resulting from the influx of ride-hailing companies such as
Transportation Network Companies, local taxi services have limited means to provide reliable back up for ParaCruz.

The use of larger wheelchairs by customers have heightened challenges given the limited space on the vehicle, weight of the wheelchairs, and security restraint system. To address these challenges, half of the ParaCruz fleet consists of newer vehicles with rear lift capacity and Q'Strain wheel chair securement systems.

On-time performance for ParaCruz was consistently in the 80 percent range or better for the audit period. The goal has ranged between 90 and 92 percent. According to ParaCruz operations status reports, on-time performance for the vehicle arriving within the ready window averaged 89.29 percent in FY 2016, 83.75 percent in FY 2017, and 85.22 percent in FY 2018. Other performance factors for ParaCruz, such as the percentage of passenger no-shows, remained at or slightly above the goal of less than 3 percent of trips requested, which meets general industry standard. Also, there were no denied rides. ParaCruz has a no-show policy that is not typically enforced due to the low number of no-shows. The policy when enforced involves sending a letter to those with an excessive number of no-shows.

Chargeable occurrences, or preventable accidents/incidents, are tracked; however, NTD data for incidents was not available for the fixed- and commuter-route modes. For ParaCruz, the number of chargeable occurrences decreased over the three years, declining from 19 in FY 2016 to 10 in FY 2017 and 7 in FY 2018. Santa Cruz METRO has an accident review committee that reviews preventable accidents/incidents for the month. The committee is overseen by the assistant safety and training coordinator.

Dispatching and bus scheduling is conducted using the Hastus software system for fixed route and Trapeze for ParaCruz. Santa Cruz METRO has been in the process of transitioning from Trapeze to Ecolane, which was scheduled for implementation by the fall of 2019. A key feature of Ecolane would be the ability to batch rides automatically as well as improve on-time performance monitoring and NTD reporting. Staff are cross-trained in both systems to enable flexibility in staffing and ample shift coverage. ParaCruz reservations can be booked directly into the Trapeze system. Paratransit vans have mobility safety devices to improve ergonomics and safety for both the passenger and the driver.

Customer complaints, compliments, inquiries, and suggestions are managed by Santa Cruz METRO through RSTickets Pro software, which creates a customer service ticket summary report. A summary of customer service metrics was provided for the ParaCruz operations. For FY 2016, a total of 63 entries were made, composed of 21 valid complaints, 21 non-valid complaints, and 21 compliments. In FY 2017, entries totaled 67 including 22 valid complaints, 24 non-valid complaints, and 21 compliments, while for FY 2018, there were 52 total ticket entries including 12 valid complaints, 20 non-valid complaints, and 20 compliments. Complaints varied and are operational in nature such as wireless Internet issues, driver rudeness, and unsafe driving. The customer service supervisor handles most entries and receives support from other staff if the issue cannot be readily addressed.
Community Bridges

Specialized transportation programs offered by Community Bridges’ Lift Line went through changes during the audit period which affected ridership. The veterans medical transportation service was eliminated in FY 2017 due to the ending of a federal 5310 grant and has been difficult to revive the program since the shutdown including recommunicating with former riders. The Interfaith Satellite Shelter Program (ISSP) contract also ended for Community Bridges toward the end of 2018 when the Salvation Army expanded its services including taking over this program and providing its own vehicle to provide transportation. The ending of these two programs, especially the ISSP program, has reduced ridership totals for Lift Line.

Elderday Adult Day health center transportation remains Lift Line’s largest program. Passengers from Lift Line’s programs may share vehicles; however, Lift Line works to efficiently dedicate trips for each program. Community Bridges is also a participant in the City of Santa Cruz emergency resource program list of organizations that can assist during an emergency. As the CTSA for Santa Cruz County, Community Bridges coordinates transportation with social service agencies and participates through the SCCRTC Elderly and Disabled Transportation Advisory Group to identify and discuss program issues and needs in addition to providing justification for the TDA claim.

The taxi scrip program has run into challenges as local taxi companies continue to feel the impact from the influx of ride-hailing companies (TNCs). As a result of the increasing business pressure on taxis, service quality provided to scrip riders has declined such as rides being unreliable and poor according to Lift Line transit management. Much of the service decline has occurred in the north county area. However, the taxi service in Watsonville remains a viable option. To fill trip requests that go unserved, Lift Line works with Volunteer Center for transport and vice versa.

Lift Line is reviewing alternatives for scrip riders including a potential partnership with a local non-profit agency. During this review period for a new partner, Community Bridges should gauge the needs of scrip riders relative to continuing the program which sprouted from an identified unmet transit need. The taxis do not track riders and Community Bridges only captures riders at the time taxi script is sold, which is estimated to be about 250 customers. The time and days when the service is offered, and whether the service is for rider necessity or convenience, should be part of a survey to determine whether demand for the program can be shifted where other transportation alternatives at different times are available to better meet the needs of this limited market.

The reasons cited by riders for using Lift Line have expanded as Community Bridges increases its visibility in the community. Trips are provided to more than just social events but also for outpatient medical services such as physical therapy and counseling. The diversity of reasons for taking Lift Line aligns with County policy to address senior living and reduce isolation. In addition to receiving TDA funds and donations, Community Bridges has separate contracts with the local jurisdictions that support the transportation services. Contracts are in place with the cities of Capitola, Santa Cruz, Scotts Valley, and Watsonville and the County for services such as
transportation for senior and low-income residents to medical appointments and dining centers within their respective jurisdictions.

A no-show policy reduces inefficiencies caused by passengers’ failures to meet their assigned trip. The policy defines no-shows and identifies ways that passengers can avoid this issue. A suspension penalty could occur for a pattern of this behavior. Community Bridges tracks no shows for three programs including Medical, Meals on Wheels, and Elderday. The no show rate compared to total trips for these programs was 3.7 percent in FY 2016, 5.0 percent in FY 2017, and 5.2 percent in FY 2018. The industry standard rate is generally below five percent.

The CTSA utilizes Trapeze Pass, a computer transportation management system that includes reservations, scheduling, and real-time dispatching to track daily/monthly/annually clients’ rides to medical destinations, shelters, social service agencies, and dining sites. Full capacity usage of the Trapeze system is ongoing by staff due to software upgrades and staffing resource and time constraints. Mentor mobile data terminals are on board the vehicles to communicate with dispatch. Community Bridges is evaluating the next generation of dispatch software in Trapeze Novus that automates many functions such as scheduling trips through algorithms.

Complaints collected by Community Bridges were consistent for the last several years, ranging between 11 and 13 per year. The number of accidents reported in the TDA quarterly report show 0 in FY 2016, 16 in FY 2017, and 16 in FY 2018. The number of incidents, which could be any reported activity by Lift Line during operations, ranged from 13 (FY 2018) to 33 (FY 2017). The on-time performance is a 30 minute pickup window, with the pickup no sooner than 10 minutes before the scheduled pickup time and not less than 20 minutes after the scheduled pickup time. The time of pickup is documented by drivers and tracked by the Mobile Data Computers and Automatic Vehicle Locator system; however, this effort is tedious for drivers to record for each pickup and drop off.

Volunteer Center

New clients fill out a registration form and are contacted by the dispatcher to confirm their eligibility through age (60+) or disability. Trips are prioritized by Volunteer Center in order of 1) medical, 2) shopping, and 3) social, and could include multiple stops during the trip. Each rider is limited to two trips per week with medical appointments taking priority. The primary ridership is seniors who are ambulatory; drivers and their passengers generally stay together and form a bond. Reservations are made between 5 and 7 days advance notice to secure a driver. The Volunteer Center will send a letter to riders who fall into a habit of not following general ride guidelines, including canceling their trips or not showing. Drivers will also conduct welfare checks on their passengers.

A significant activity undertaken by the Volunteer Center was the transition from a manual method of dispatch and data collection to an in-house developed software program. The software went live in 2019. The software has reduced the time spent coordinating individual rides as well as increased the quality of service to clients by standardizing the coordination process between dispatcher volunteers; eliminating time-consuming handwritten dispatch
processes; enabling the auto-tracking of drivers through a Google Maps based system; automating repetitive tasks like driver check-ins, email composition, and ride matching; and quickly generating program reports and statics. Overall the software has streamlined the program's administration and simplified complex, volunteer-run processes, enabling existing resources to be used more efficiently.

Client profiles are created in the software to capture data for creating successful trips, and data is stored on a cloud platform which reduces physical storage needs. Dispatchers send emails to the drivers with a list of ride needs and drivers select the trips to make. Dashboard summaries are available that show pertinent trip data. Alerts are also made when drivers need to renew their license, thus keeping the Volunteer Center and drivers aware of important to do's. The software is able to capture key data such as trip distance and time through the google map system which visually shows the direction of the trip from point to point.

As a check of the software information and summed in the quarterly transportation reports, the Volunteer Center tracks mileage driven through the monthly reports submitted by drivers, whether for mileage reimbursement or not. Typical trips are between 16 and 23 miles round trip, based on the quarterly reports during the audit period. The Volunteer Center does not track the time spent by drivers to transport their clients, as there is a value to the time spent by the volunteer to provide the trip which staff supplied an anecdotal value of $21 per hour shown in the TDA claim. With the new dispatch software, there is opportunity to begin tracking both trip time and distance.

**Personnel**

**Santa Cruz METRO**

Santa Cruz METRO employs 150 fixed-route operators, 11 supervisors, a safety and training coordinator, and one assistant safety and training coordinator. For ParaCruz, there are 29 operators (budgeted for 30 operators) and 2 supervisors. Non-exempt employees are represented by two unions: Service Employees International Union (SEIU) Local 521 and United Transportation Union (UTU) Local 23. The SEIU represents Santa Cruz METRO employees, including the Professional Supervisors Association, Salaried Employees Association, and Vehicle Maintenance Unit. The UTU represents employees for the ParaCRUZ operation. Labor agreements in place during the audit period were modified and extended. The prior MOU between Santa Cruz METRO and SEIU Local 521, which expired June 30, 2015, was extended for an additional three-year period. The contract extension and modification commenced on December 31, 2015, and expired June 30, 2018. The pay rate schedule and paid leave provisions were modified. Two separate labor agreements between Santa Cruz METRO and UTU Local 23 that expired June 30, 2015 were also extended into the audit period and modified with regard to pay raises and leave policies.

Base wage rates were increased by 2 percent per year until the union agreed to defer this increase until 2020 to help the agency address the structural deficit and maintain its union workforce. A new wage scale for ParaCruz consolidates the pay rates for represented classes.
Upon commencement of the labor agreement, employees were placed on the new wage scale but were not disadvantaged by a reduction in base wage rate after the wage consolidation. Santa Cruz METRO pays medical premiums depending on bargaining union contract requirements. Union leadership fosters a cooperative relationship between Santa Cruz METRO and the unions as evidenced by the union agreement to defer the cost of living adjustment, which has maintained the number of drivers. A summary of employees for both Santa Cruz METRO and ParaCruz during the period is presented in Table V-1:

<table>
<thead>
<tr>
<th>Table V-1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Santa Cruz METRO Employee Count</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>FY 2016</td>
</tr>
<tr>
<td>---------</td>
</tr>
<tr>
<td>Santa Cruz METRO Bus/All Other</td>
</tr>
<tr>
<td>267</td>
</tr>
<tr>
<td>ParaCruz DAR</td>
</tr>
<tr>
<td>49</td>
</tr>
<tr>
<td>Total Employees</td>
</tr>
<tr>
<td>316</td>
</tr>
</tbody>
</table>

*Source: Santa Cruz METRO*

Fluctuations in staffing levels were due to turnover although there were no layoffs. Santa Cruz METRO offered a separation package in an effort to trim staffing levels in lieu of layoffs. ParaCruz operations turnover was attributed to retirements and ParaCruz operators transferring to the fixed route. The average years of experience decreased from an average of 10 to 15 years to an average of 5 to 10 years. It is reported that 29 drivers have been with the agency since 1999. Driver turnover, among other reasons stated earlier such as traffic congestion, has contributed to issues with meeting performance measures such as on-time performance which fell below 90 percent schedule adherence. An average of 15 drivers, or roughly 10 percent of total coach operators, are absent or on leave at any given time, according to METRO management. Employees undergo three- and six-month evaluations as well as an annual evaluation, which is tied to a step increase. Supervisors are reminded to conduct employee evaluations based on the schedule.

From the need to address the structural deficit and trimming of personnel, METRO has taken initiative to improve its driver training. The hiring of a safety and training coordinator and an assistant safety and training coordinator has improved the training status of the operators and streamlining the licensing and permitting process. Training protocols have sped up to retain new drivers while improving the quality of training and customer service. Further, the operations division moved into a new facility in March 2016 after years of revenue planning, facility design, and construction. The new facility is a modern structure and environment for operations personnel previously housed in temporary buildings until the facility was completed. This has some improvement on morale.

Santa Cruz METRO implemented several new methods of recruitment during the period. The agency has used the Employment Development Department, veteran centers, churches, movie ads, and radio spots on I-Heart Radio. About 14 people were recruited through the radio spot. Human resources has also recruited candidates through job fairs and local colleges. Open houses are held at the transit center and feature applications and interest sheets. Santa Cruz METRO’s
focus has been to draw from Santa Cruz County as well as from neighboring Monterey and Santa Clara Counties. In spite of these efforts, there was a lull in the number of qualified candidates due to the improving economy and other job prospects. Santa Cruz METRO receives an average of 20 applicants at any given time.

The new employee interview panel involves four to five employees encompassing management personnel, supervisors, and union representatives. Santa Cruz METRO uses a validated testing system to screen prospective candidates. The agency uses Ergometrics, a behavioral-based approach that encompasses video simulation tests designed to assess applicant abilities in important, hard-to-test areas, such as situational judgment, human relations, teamwork, listening and communications skills, dealing with difficult and stressful situations, multitasking, problem solving, and safety orientation. Testing also encompasses knowledge of the rules of the road. The new coach operators handbook was updated in 2019 after the audit period.

Operators undergo eight hours of recurring Verification of Transit Training annually. In addition, each operator is required to attend eight hours of annual safety training. With the addition of the new articulated buses, the training protocol has been expanded. DMV pull notices are monitored daily. Employees also undergo sexual harassment and violence in the workplace training every three years as required by Santa Cruz METRO's Sexual and Gender Discrimination, Harassment and Retaliation Prevention Policy.

A management classification and compensation study was commissioned in FY 2019, which involved an update of job specifications. Under the most recent MOU with the SEIU (FY 2020), four positions can be reclassified two times annually. Santa Cruz METRO provides health insurance coverage through CalPERS that is 95 to 100 percent paid. There are five HMO and three PPO plans offered. There are PPO dental and vision plans that are 100 percent paid by Santa Cruz METRO. The defined benefit retirement plan is offered through CalPERS. Santa Cruz METRO utilizes Epicor ERP software for payroll and benefit processing.

**Community Bridges**

Lift Line budgets a total of 26 personnel, including 6 office staff, 4 operations staff (operations and maintenance personnel, and project manager), and 16 drivers (full and part-time, including a driver/scheduler). This includes two additional drivers hired using Measure D funds. Drivers and the mechanic are represented by the same union as METRO personnel, UTU Local 23. The new contract approved in the last year allows Community Bridges to track patterns of sick-outs while remaining within labor laws. New full-time drivers have Class B licenses and go through the requisite orientation and training, including drive-along, safety training, and general proficiency with the routes. On-call drivers do not need to have a Class B license upon joining but must work toward getting the license. The vehicle fleet includes minivans which require a Class C license and can be driven for service during the time the driver is training for the Class B license. Lift Line management indicated challenges in recruiting drivers and retaining personnel due to similar reasons affecting the transit industry such as other job opportunities.
The hiring of a driver trainer has improved the in-house training program although DMV certifications are conducted outside and take long to schedule testing with more strict rules for certification. Driver meetings are held once a month to review safety and operational procedures and include the use of a driver simulator supplied by the insurance carrier.

All Lift Line personnel including administration, operations management, maintenance, and drivers are located in Watsonville, a significant and positive change during the audit period. The operations and maintenance staff are housed in a permanent facility using Measure D funds and is located near the Community Bridges administrative building. This enables better team building and communications compared to previously when administration and management were located in Aptos. Quarterly meetings are held for different purposes, including one for all staff, another for safety training, and another for drivers to discuss other issues.

Volunteer Center

There were between 41 and 61 volunteer drivers during the audit period, serving about 150 unduplicated clients, based on estimates from the quarterly transportation reporting. The number of volunteer drivers fluctuates among each of the three service areas of Santa Cruz, San Lorenzo Valley, and Watsonville, with Volunteer Center indicating the total number of drivers holds relatively steady at 55. Santa Cruz typically has the most drivers, followed by San Lorenzo and Watsonville. The general pattern is the more available drivers, the more rides provided in each of the service areas. Volunteer Center staff expend resources conducting screens of volunteer drivers including criminal background checks and their ability to provide frequent service over at least a 6 month commitment. Volunteer Center has been active over the past year in grouping rides using the new dispatch software.

Driver turnover is relatively frequent, as shown by national rates of 50 percent retention, with driver numbers declining mainly during the summer. Drivers have the option of requesting reimbursement on a mileage basis at $0.31 per mile. While newer drivers tend to request the reimbursement, many drivers provide the service without requesting reimbursement. Volunteer Center personnel indicated that drivers can be selective and give preferences for the rides they want to provide. The new dispatch software builds profiles of riders which can better match with driver preferences. Volunteer Center tracks unfilled ride requests which range between 2 and 6 percent of total rides. Trips filled by other providers are also recorded which helps alleviate unfilled requests.

Drivers are required to complete a volunteer registration form, vehicle insurance form, and the authorization to do a background check. Volunteer Center staff also conduct screenings and interviews. Driver background checks are conducted and incur a nominal cost to the agency. The Volunteer Center provides excess general liability and medical insurance above the driver’s own insurance coverage.
Maintenance

Santa Cruz METRO’s maintenance facility was completed in 2009 and features 11 bays, 5 in-ground lifts, 8 portable lifts, and one set of 6 posts for the newer articulated buses. The facility is open daily with the following hours: Monday through Friday, 24 hours, and Saturday and Sunday from 6:30 a.m. to 2:30 p.m. The facility opens at 10:45 p.m. Sunday to begin the week. Energy-efficient LED lighting was installed during the audit period.

There are 19 mechanics on staff, including three maintenance supervisors, assigned over three weekday and two weekend shifts. There were some promotions and turnover in the maintenance department. The current maintenance manager was hired in 2017, having previously served in the maintenance department of the City of Santa Monica’s transit agency. New mechanics undergo a three-month training process and training is tracked for each mechanic. Training is conducted through the manufacturer or coordinated with other transit agencies such as the San Mateo County Transit District (SamTrans) and the Southern California Regional Transit Training Consortium. METRO has budgeted additional resources for maintenance training as the agency prepares for introduction of electric buses to the fleet.

About half of the mechanics were hired in the past five to seven years; they work in three shifts on weekdays and one to two on weekends. Mechanics obtain Automotive Service Excellence (ASE) certification for specific technical tasks. Santa Cruz METRO is looking to incentivize ASE certification, which would require amending the MOU with the SEIU. The maintenance manager is reviewing the maintenance staff schedules to improve efficiency and has identified the need to hire an in-house trainer. Safety concerns are discussed during “toolbox” meetings.

The maintenance department utilizes MaintStar asset management software to track repairs and parts inventory. The department is interested in integrating mobile tablets and modules with the MaintStar program. Repairs are coded and categorized. Labor time and vehicle mileage are also tracked. The lead mechanic reviews repairs, which are followed up by the supervisor who approves the work order. Defect cards are obtained from operations for review by the lead mechanic before being assigned and tracked in MaintStar.

Part requisitions have to be approved prior to use. Parts are barcoded but not used in the module. Safety issues and operations were addressed involving engine inframes, staffing levels, and vehicle spare ratio levels. Warranties on new vehicle procurements have been negotiated, which resulted in a five-year warranty on engines and a two-year warranty on transmissions. Body and paint work are outsourced. Santa Cruz METRO is generally able to receive parts the next day. Every part issued is entered onto a work order for both fleet and facility maintenance. Santa Cruz METRO keeps brake kits in stock so as to allow mechanics to perform a full brake job. Group cycle counts are conducted weekly.

A Fleet Maintenance Resource Work Plan was developed in December 2015 that revamped the policies and procedures guiding preventive maintenance inspections (PMIs) and other servicing work. Santa Cruz METRO has expressed the intention to update the work plan to include the servicing of newer vehicles in the fleet. All vehicle maintenance for both fixed-route and
ParaCruz services is conducted in-house as a cost-saving measure, with only certain major overflow issues and body work contracted out. PMIs are performed per manufacturer’s requirements, including in 6,000-mile increments and within a 10 percent mileage window. Santa Cruz METRO performs a safety inspection midway through the 6,000-mile PMI cycle for all fixed-route and commuter-revenue vehicles, not to exceed 3,500 miles. ParaCruz vehicles require PMIs to be performed in 5,000-mile increments within a 10 percent mileage window. Extended warranties are leveraged.

Pre- and post-vehicle inspection reports were revised and include placing a sticker on the bus wheel indicating maintenance attention. Quality control/quality assurance requirements are documented in the work plan, as are 10 key performance indicators to measure maintenance quality and compliance. These indicators are included in the monthly fleet service summary worksheet. Road calls are tracked and summarized in the following table:

<table>
<thead>
<tr>
<th>Table V-2</th>
<th>Santa Cruz METRO Road Calls</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>FY 2016</td>
</tr>
<tr>
<td>Santa Cruz METRO Bus</td>
<td>315</td>
</tr>
<tr>
<td>ParaCRUZ DAR</td>
<td>23</td>
</tr>
<tr>
<td>Total Road Calls</td>
<td>338</td>
</tr>
</tbody>
</table>

*Source: Santa Cruz METRO*

Road calls increased slightly during the audit period from 338 in FY 2016 to 349 in FY 2018 with a minor dip in FY 2017. It is anticipated that as new vehicles are procured and placed into revenue service, the number of road calls will start to decline. The implementation of the new protocols outlined in the Fleet Maintenance Work Plan will also assist in reducing the number of road calls. Annual CHP terminal inspections conducted during the period have been satisfactory.

**Community Bridges**

The permanent operations and maintenance facility funded by Measure D is on two acres of land located at 545 Ohlone Parkway in Watsonville. The facility features two bays and two lifts, and a 3,000 square foot maintenance shop. A form is created to track mileage at time of service and mechanic charges for the vehicle. A Microsoft Access database is used to manage the maintenance program that is based on mileage and days. Management is reviewing a new maintenance program. As a gauge of maintenance, the number of mechanical failures (including lift failure) reported by Community Bridges in the TDA quarterly report ranged between 3 and 6 annually during the audit period, with the higher number of failures occurring at the end of the period. A wheelchair malfunction resulted in a passenger incident. With delivery of two new electric vehicles and battery chargers, Lift Line staff are learning the operations and maintenance of the new vehicle technology.
Planning

Santa Cruz METRO planning staff combine ridership data, on-board survey data, and countywide demographic data to analyze the productivity of transit corridors in the county and design service accordingly. Additionally, Santa Cruz METRO partners with SCCRTC, the Association of Monterey Bay Area Governments (AMBAG), UC Santa Cruz Transportation and Parking Services, and the Santa Clara Valley Transportation Authority (VTA), as well as other county and local municipalities, in overall transportation improvement planning. The mixture of rural and urban areas, geography, topographical landscape, and the diverse needs of the community all provide challenges that Santa Cruz METRO faces when planning transit service.

The Short Range Transit Plan had an objective to create policies directed at identifying service metrics that guide the decision-making for identifying productive service. This would include specifying service performance targets, designing appropriate bus stop spacing, and maintaining a fiscally sustainable service. A stop-by-stop level of data gathering has been a challenge for Santa Cruz METRO staff to conduct more in-depth planning; although the agency’s adopted budget included a half-time surveyor position, the position had not been filled for some time. The busy Soquel corridor has been a focus of planning, but significant service adjustments are difficult without in-depth data.

A new planning and development manager and scheduler were hired in November 2015 to support efforts in the planning and restructuring of service. The agency had limited planning staff and only limited funding for hiring outside contractors to collect data upon which to base planning and scheduling decisions. The planning manager reports to the Board of Directors on service trends quarterly as well as conducts an annual board presentation on the state of service planning.

A comprehensive operations analysis (COA) was conducted in 2016 to lay the foundation for overall service restructuring. Entitled Metro Forward: Transit for Tomorrow, the COA was adopted in May 2016 and reviews the broader network structure as well as individual route performance to provide Santa Cruz METRO with a comprehensive understanding of market conditions and service performance. A set of recommendations and service scenarios were provided to build upon the network’s market opportunities and performance strengths, minimize ridership loss, ensure adequate coverage throughout the county, and maximize financial sustainability.

Implementation of the COA recommendations resulted in the elimination of 19 percent of daily trips and an 8 percent decrease in ridership. A summary of the proposed changes in the COA included the elimination of Route 30 in the San Lorenzo Valley; Routes 8 and 12 in Santa Cruz; Routes 54 and 56 in the Live Oak/Capitola/Aptos area; and Routes 74 and 77 in Watsonville. Santa Cruz METRO also eliminated Route 33 and 34, which were school tripper services operating in a rural area. Route 35 in the San Lorenzo Valley continues to operate as a lifeline service. Route 71, an intercity route, is the most productive outside of the routes serving UCSC. Ridership on the Highway 17 Express with its 30 daily trips has been static during the period.
A metric of 10 to 15 passengers per hour triggers service monitoring. Santa Cruz METRO has realized that service standards can be too aspirational. The agency is pursuing more flexible and cost-effective ways to serve areas of low ridership with microtransit and collaborative arrangements with transportation network companies such as Uber and Lyft. ParaCruz is available as a backup service mode for ADA service requests.

In April 2019, METRO conducted an on-board survey and ridecheck, METRO’s first since 2012, to enhance its understanding of its riders, demographics, travel patterns, satisfaction with METRO services, and preferences in the use of various technologies including fare payment methods.

**Transit Performance Monitoring**

Each of the transit systems provides performance measures to the SCCRTC on a quarterly and annual basis. The list of performance metrics differs slightly among the transit systems (Community Bridges, Volunteer Center, and Santa Cruz METRO) to reflect their system size and service modes. As several commissioners also serve on Santa Cruz METRO’s board, the performance of Santa Cruz METRO is shared as needed with the SCCRTC. Documentation supplied by the transit systems shows their commitment to provide the information to the SCCRTC as a condition of their receipt of TDA funds. The performance metrics for Santa Cruz METRO are listed in the TDA claims form and include those listed in Table V-3.

<table>
<thead>
<tr>
<th>Table V-3</th>
<th>Santa Cruz METRO Performance Measures</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Annual passengers</td>
<td>16. Vehicle service hours/employee*</td>
</tr>
<tr>
<td>2. Rides/passenger trips provided by type (student, senior, adult, pass holders, etc., or however statistics are kept) and amount of TDA funds used for each type of ride</td>
<td>17. Number of routes</td>
</tr>
<tr>
<td>3. Annual service hours</td>
<td>18. Average route length</td>
</tr>
<tr>
<td>4. Passengers per vehicle service hour*</td>
<td>19. Average travel times/rider</td>
</tr>
<tr>
<td>5. Annual service miles</td>
<td>20. Number of bus stops</td>
</tr>
<tr>
<td>6. Number of fixed-route miles</td>
<td>21. Number of vehicles in operation</td>
</tr>
<tr>
<td>7. Service area – square miles</td>
<td>22. Number of monthly bus passes in circulation</td>
</tr>
<tr>
<td>8. Service area population</td>
<td>23. Maximum vehicles in service at any time</td>
</tr>
<tr>
<td>9. Passengers per vehicle service mile*</td>
<td>24. Hours of service</td>
</tr>
<tr>
<td>10. Average passengers per weekday</td>
<td>25. Approximate number of unduplicated passengers</td>
</tr>
<tr>
<td>11. Total operating costs in budget</td>
<td>26. Cost per unit of service plus text about long-range plans to make/keep this low</td>
</tr>
<tr>
<td>12. Operating cost per vehicle service hour*</td>
<td>27. Funds and percentage spent on administration/overhead/grantee allocation/etc.</td>
</tr>
<tr>
<td>13. Total operating cost per passenger*</td>
<td>28. Actual financials compared with budget</td>
</tr>
<tr>
<td>14. Average farebox revenue per passenger (describe what is included)</td>
<td>29. Actual number of rides provided compared with goal and text about whether goal was met and why/why not</td>
</tr>
</tbody>
</table>

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Michael Baker International – 45

8-106
The performance indicators submitted by Community Bridges are shown in Table V-4.

<table>
<thead>
<tr>
<th>Table V-4 Community Bridges Performance Measures</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Unduplicated passengers per month</td>
</tr>
<tr>
<td>2. Total passenger trips (units of service) per month</td>
</tr>
<tr>
<td>3. Incidents per month</td>
</tr>
<tr>
<td>4. Accidents per month</td>
</tr>
<tr>
<td>5. Mechanical failures (including lift failure) per month</td>
</tr>
<tr>
<td>6. No-shows per month</td>
</tr>
<tr>
<td>7. Turndowns or referrals per month</td>
</tr>
<tr>
<td>8. Cancellations per month</td>
</tr>
<tr>
<td>9. Donations per month</td>
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</tbody>
</table>

* Denotes TDA indicator

The performance indicators submitted by the Volunteer Center are shown in Table V-5.

<table>
<thead>
<tr>
<th>Table V-5 Volunteer Center Performance Measures</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Number of rides provided</td>
</tr>
<tr>
<td>2. Trip destinations</td>
</tr>
<tr>
<td>3. Mileage claimed</td>
</tr>
<tr>
<td>4. Estimated mileage donated</td>
</tr>
<tr>
<td>5. Estimated total mileage</td>
</tr>
<tr>
<td>6. Average length of trip</td>
</tr>
</tbody>
</table>

* Denotes TDA indicator

Community Bridges and METRO have invested in Automatic Vehicle Locator technology that enables more automation in the tracking of vehicle movements. The technology serves multiple benefits including for safety and operational efficiencies. The AVL feature, when combined with dispatch/scheduling and other communications technology, can provide accurate performance
measures such as on-time performance for the different vehicle modes as the technology becomes more available on the vehicle fleet. Given this technology integration for the transit systems, reporting on-time performance in the quarterly reports should be added as another key indicator of operational effectiveness and customer service.

**Marketing**

Marketing and communications are conducted by customer service staff in the operations division. The Santa Cruz METRO website ([https://www.scmtd.com/en/](https://www.scmtd.com/en/)) was redesigned with an upgraded content management system. This has resulted in better functionality. The website contains a Google Transit trip planner, service calendar, and a Spanish version ([https://www.scmtd.com/es/](https://www.scmtd.com/es/)). Several Santa Cruz METRO departments, including IT, planning, and operations, collaborated on a pilot project called Schedule by Stop to provide the day’s bus schedule for each stop using Google Transit data collected for trip planning. The page displays the approximate time of all routes serving a given stop all day long, as well as optional trip detail showing all stops that each bus makes along the route. The planning pages were also redesigned.

Santa Cruz METRO’s “Headways” bus rider’s guide is revised several times a year to reflect the route changes, which are described in the front section of the guide. Usage of the Headways publication is dropping due to the growing use of electronic and mobile sources of transit information. For instance, the agency is planning to deploy “E-Ink” electronic timetables on bus stop poles at UCSC in FY 2020. There has also been an emphasis on service-specific marketing campaigns, such as for the launch of the Watsonville Circulator.

Social media platforms such as Facebook and Twitter have been used for communicating service alerts and driving users to the website. The agency saw more engagement on Facebook, which has proven to be a more effective medium with a seven-fold increase in post reach. METRO’s Twitter account has been relatively inactive with only 38 followers. The agency is looking to add content on Instagram. Text messaging is a larger communications venue where riders subscribe to Stay Connected text messaging with the schedule on demand at any location of interest; riders receive real-time subscriber alerts whenever schedules are impacted on the routes they ride. Rider alerts on service changes or current issues are also placed on the Santa Cruz METRO website in a news bulletin feature.

Santa Cruz METRO has an online store where customers can purchase bus passes online using a credit card. A mobile ticketing pilot has been planned for the Highway 17 Express route in FY 2020. Santa Cruz METRO has retained the fare media platform Masabi to implement the pilot. Masabi’s JustRide mobile ticketing platform is already being utilized by Sonoma-Marin Rail Transit and the Altamont Corridor Express.

The Watsonville Transit Center has been open for the past three years and is open weekdays from 8:00 a.m. to 5:00 p.m. Santa Cruz METRO reports a low volume of ticket sales at the Watsonville Center, ranging from $150 to $200 in daily sales. Ticket vending machines have been installed. The downtown Santa Cruz transit center handles ticketing and all other customer service requests. The Watsonville facility currently contains a local grocer that occupies space
and promotes a sense of customer well-being. Santa Cruz METRO is working with the SEIU to emphasize outreach as an integral part of operations, including more face-to-face interaction with the public. An accessibility coordinator who provides travel training is located at the downtown Santa Cruz transit center and is a central figure for this interaction. Bilingual outreach and interpretation is provided in-house in English and Spanish, with Santa Cruz METRO staff attending community events such as the county fair and interactive activities.

Customer service is the front line for handling complaints and following the procedures described on the Santa Cruz METRO website. The customer service coordinator investigates complaints that are logged with red flags. Other department staff are involved to further investigate and resolve the complaint prior to closing the file. All managers are able to receive and review customer comments and complaints. Valid complaints are kept in the employee’s file for one year, which is acceptable to the union.

Prior to the development of the SRTP, there was no marketing plan for Santa Cruz METRO. The agency hired a marketing director in May 2019 and is developing a marketing plan based on the on-board survey conducted in June 2019. The recent bus pass program secured with Cabrillo College and UCSC’s contribution to new services add momentum for proactive marketing and better service to the student population. Marketing strategies proposed by the SRTP include electronic informational tools, printed materials, branding of the system, fare media, bus stops–signage and facilities, and coordinated marketing. Santa Cruz METRO also revised its logo.

Community Bridges conducts more outreach compared to past years and has hired an extra position for this. As described earlier in the operations function, more types of trips are being made for different appointments such as for medical, physical therapy, and counseling. The expanded outreach aligns with County policy to address senior living and reduce loneliness and isolation. Community Bridges develops a brochure for its services and tailored flyers for specific services. The brochure is provided in both English and Spanish and contains detailed information about Lift Line services and eligibility. The Community Bridges website includes information about Lift Line on its main program site as well as a dedicated site for Lift Line services and detailed information. Advertising space on the back of the vehicles is also available for businesses that see value in Lift Line’s visibility around the community.

The Volunteer Center also produces a community brochure for distribution and markets an ongoing need for volunteer drivers to maintain a qualified pool. By filling a transportation need that other transit modes cannot efficiently provide, Volunteer Center is serving a different rider market and is developing a means to share their clients’ stories. For growth in the program and recruitment of both drivers and passengers, investment in public awareness of how the program benefits riders should be an ongoing activity by the Volunteer Center.

**General Administration and Management**

The Santa Cruz Metropolitan Transit District is governed by an 11-member Board of Directors, plus one ex officio member from UCSC. A number of members on the board serve as
commissioners on the Santa Cruz County Regional Transportation Commission. A few board members also serve on the AMBAG board.

The METRO Advisory Committee advises Santa Cruz METRO’s Board of Directors on matters of policy and operations referred to by the board or the CEO/general manager. The Advisory Committee may also address issues regarding the quality and quantity of transportation services provided by Santa Cruz METRO. Membership comprises anyone from Santa Cruz County who applies and is appointed by a Santa Cruz METRO board member.

Administrative departments are located at the Administration Facility at 110 Vernon Street. The CEO/general manager was focused on addressing the agency’s structural deficit while ensuring vehicle replacement was occurring and developing strategic priorities moving forward. Major contributing factors to the structural deficit included too many consecutive years in which Santa Cruz METRO experienced an increase in the recurring costs of personnel, goods, and services without the same growth in recurring revenues, and uncontrollable outside forces contributing to the structural deficit, such as a sluggish economic recovery.

Many of the activities that Santa Cruz METRO has undertaken to mitigate the structural deficit included actions that increase revenue or reduce costs. The CEO/general manager’s approach to undertaking this large task involved an inclusive style of education and information among board members and the public during the process. New key positions were added during the audit period, including a planning and development manager and a dedicated safety specialist to augment existing safety trainers; new job titles were introduced to align with more advanced current responsibilities; and purchasing practices were enhanced. A classification study to review staff titles and job roles in relation to the industry was commissioned in FY 2019.

The organization chart of the agency is shown below.

![Santa Cruz METRO Organization Chart](image-url)
With emphasis on open communication, departments participate in board meetings and present their own topics and reports as a means to build rapport with board members and among each other. A leadership meeting occurs weekly and empowers staff to participate in decision-making for the agency. The CEO/general manager has introduced a management style founded on data analysis and development of key performance indicators (KPIs) for every department. The value of KPIs relies on collection and analysis of multitude of data, but there has been a lack of staff analysts and data warehousing space at Santa Cruz METRO. However, departments have developed and reported some KPI figures in monthly reports, such as the maintenance department through its Fleet Maintenance Resource Work Plan. Formalizing a KPI program based on benchmarks gathered from peer agencies and having the resources and infrastructure in place to support this are being planned. METRO should continue with training staff on data analysis and using the amount of information generated from new technology programs for decision making. This would include participation of the IT department that houses the data systems and networks.

In June 2019, the METRO board approved a 10-Year Strategic Business Plan that sets key tactical initiatives in support of the strategic priorities. The priorities include:

1. Safety First Culture
2. Financial Responsibility, Stability, Stewardship, Accountability
3. Service Quality and Delivery
4. Internal and External Technology
5. Employee Engagement: Attract, Retain, Develop
6. State of Good Repair
7. Strategic Alliances and Community Outreach

The strategic priorities and key tactical initiatives are intended to prioritize the use of METRO’s financial and staff resources in the coming years. Beginning in October 2018, the METRO board undertook an initial work session in which the board and management team established a preliminary set of strategic priorities. Through the ensuing months leading up to the approval of the plan, the board adopted the strategic priorities and key initiatives, the management team developed a 5 year implementation plan, and the Capital Projects Standing Committee provided comments to the strategic plan. The plan identifies the responsible department within METRO to implement the initiatives and estimated costs for procurement of proposed capital projects.

Santa Cruz METRO adopts a budget annually with a two-year horizon. The finance department conducts regular budget meetings with each department manager. Operator overtime has resulted in budget overruns in part contributed by the number of drivers at any time who are absent or on leave. According to the audited financial statements, overtime comprises about 15 percent of direct labor costs, and salary and fringe benefits comprise 80 percent of the total operating budget. Reserves are not tapped for budget overruns and are maintained for critical needs such as local match for operations and capital grants; operations sustainability; and bus replacement. Revenue from Measure D and from Senate Bill 1 through the STA and State of California.
Good Repair Program provide needed infusion of new funds for both operating and capital match. METRO has budgeted $800,000 toward the procurement of an enterprise resource planning software program for FY 2020 to enhance administrative management and financial control. Santa Cruz METRO adopted a procurement policy manual in 2016, which was reviewed and approved by the agency’s legal counsel. The agency utilizes Puridiom/Bravo Advantage procurement software, which tracks each department’s budget. Requests can be inputted and research conducted through the program. Purchases and requisitions are processed online through the software.

Telephone interviews with board members provided overall high ratings for staff and activities undertaken during the audit period. Highlights from the interviews include:

- Santa Cruz METRO has become more attentive to the needs of the South County with planned implementation of the Watsonville Circulator in 2020.
- The board orientation process was adequate but not always comprehensive regarding the key issues facing the agency.
- METRO has become more proactive and resourceful in the procurement of new vehicles and the implementation of better marketing strategies.
- The agency sees a broader role for METRO in the development of the rail corridor and buses on shoulders between Santa Cruz and Watsonville.
- Concerns were expressed about the long-term fiscal health of the agency with regard to cost per hour, growing CalPERS retirement, and other post-employment benefit costs.

The agency’s most recent FTA triennial review was conducted on January 8, 2016 (scoping meeting) with site visits on April 28-29, 2016. A draft report was completed June 1, 2016. No deficiencies were found in 10 of the 17 areas of FTA requirements. Deficiencies were found in seven areas: Financial Management and Capacity, Technical Capacity, ADA, Title VI, Procurement, Disadvantage Business Enterprise (DBE), and Planning/Program of Projects. In Financial Management and Capacity, one deficiency was noted: no financial plan. In Technical Capacity, one deficiency was noted: inadequate oversight of subrecipient/third party subcontractor/lessees. Under ADA, there were two deficiencies: facility accessibility standards and limits or capacity constraints on ADA complementary paratransit service. Under Title VI, there were two deficiencies: lacking a language assistance plan and lacking assessment or provision for limited English proficiency persons. Under Procurement, there were two deficiencies: procurement policies not current or complete and contract administration system not implemented. For DBE, there were three deficiencies: DBE goal submission not complete, DBE policy not updated, and shortfall analysis or corrective steps inadequate. Under Planning/Program of Projects, there was one deficiency: no current agreement or deficiencies in current agreement with the metropolitan planning organization. Santa Cruz METRO responded to all deficiencies, which were closed out. The agency received its triennial review closeout letter in response to the Summary of Findings and Corrective Actions on June 8, 2017.
Community Bridges

General management of Lift Line was largely unchanged during the audit period following changes to the organization in the prior period. The management layer supports the director including an operations manager who oversees daily operations and management of drivers. With both administration and operations located in Watsonville, communications and interaction occurs more frequently among management and drivers. Operations and maintenance were separated to allow each manager to focus on their primary duties.

The organization chart of Lift Line is shown below.

![Community Bridges' Lift Line Organization Chart](image)

Because Lift Line is one program within Community Bridges, the transportation program is allocated joint administrative costs including administrative and fiscal personnel and other agency-wide operating expenses. A documented cost allocation policy is regularly updated and specifies the method used for allocation of indirect costs, which is required for grant funding. Community Bridges uses a fixed percentage indirect cost rate that is universally applied to all of its programs. The joint cost rate is determined by taking the pooled joint administrative costs as a percentage of total program direct operating costs. Direct operating costs are total program costs less capital expenditures for major equipment, leasehold improvements, in-kind expenses,
and amounts passed through to other agencies. Documentation provided by Community Bridges shows an indirect cost rate of 17.1 percent applied to direct program costs such as Lift Line expenditures. Since the joint cost rate is based on expenses incurred, each Lift Line transportation program is assessed proportional to the expenses incurred for that particular program.

Volunteer Center

Goals for the program are reviewed each year and compared to actual data in the reports submitted to the City of Santa Cruz and the SCCRTC as conditions of receiving TDA funds. The goals for unduplicated clients and total rides were not met with exception in FY 2018. The number of volunteer drivers declined compared to the prior triennial period. As a result, the goals were more difficult to meet. For the three-year audit period, the actual figures compared to goals were as shown in Table V-3.

<table>
<thead>
<tr>
<th>Table V-3</th>
<th>Volunteer Center Transportation Program Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Unduplicated Clients</td>
</tr>
<tr>
<td>FY 2016</td>
<td>169</td>
</tr>
<tr>
<td>FY 2017</td>
<td>156</td>
</tr>
<tr>
<td>FY 2018</td>
<td>160</td>
</tr>
</tbody>
</table>

Note: Unduplicated clients is selected from the highest quarterly amount each fiscal year.
Total rides is sum of rides from quarterly report.
Source: Volunteer Center Quarterly Report for unduplicated clients and total rides.
TDA claim forms - project productivity goals.

Grants Management

Santa Cruz METRO historically relies on a variety of grants and other funding mechanisms, including local sales tax revenues, to support its transit system. The Grants/Legislative Analyst evaluates the feasibility of obtaining funding for proposed projects, writes grant applications, and ensures agency compliance with federal, state, and local regulations and funding source requirements. The analyst also monitors and analyzes the impact of legislative and regulatory issues and develops a coordinated strategy for responding to these issues as they impact METRO’s transportation services.

The analyst closely monitors and reports on grant activity, and prepares and presents a quarterly status report of grant applications and active grants to the METRO Board. On a monthly basis, the analyst meets with the executive and management team to review pending grant awards, upcoming and current grant solicitations, active grants, and a review of capital needs.

The agency has developed a bus replacement sheet that outlines capital procurement goals and priorities. The aim is to access grant opportunities that would allow for reducing the average age
of the revenue fleet, refurbishment of vehicles in the interim, and the consideration of lease-to-
own options. The average age of the fleet is 11.65 years. Santa Cruz METRO has procured 10
2014 Gillig electric-diesel hybrid surplus buses from VTA. In addition, the agency expects delivery
of four electric Proterra buses for use on the Watsonville Circulator in 2020.

Santa Cruz METRO has $200 million in unfunded capital needs and only about $20 million on
hand annually to meet those needs. New revenues from local Measure D and SB 1 funding have
helped attain financial sustainability. A bus replacement fund was created into which $3 million
annually is set aside using funding Local Measure D, SB 1-State of Good Repair program and
State Transit Assistance. There is a rolling 10-year bus replacement program tied to METRO’s
Transit Asset Management program. METRO strategic plan also contains a five-year
implementation schedule related to capital procurement.

In November 2016, Santa Cruz County voters approved Local Measure D, a one-half cent sales tax to
be used for transportation-related expenditures within the county. Santa Cruz METRO receives a
portion of these proceeds to support ParaCruz operations and transit capital needs. Based on
audited financial data, Santa Cruz METRO received $1.8 million in Local Measure D funding in FY
2018. Of that amount, about $1.27 million was expended on operations and $532,333 was expended
on capital.

Santa Cruz METRO relies on both formula and discretionary grant revenue to support its
operating and capital budgets. Capital funding sources that METRO applies for include the
Federal Transit Administration (5339 Bus and Bus Facilities; 5309 Capital Investment Grant; 5307
Urbanized; FTA 5311 Rural; and 5310 Specialized), Federal Surface Transportation Program; State
of California (Proposition 1B-PTMISEA and TSSDRA - now sunset; State Transit Assistance; Low
Carbon Transit Operations Program; CALSTART Zero Emission; Transit and Intercity Rail Capital
Program (TIRCP); Local Partnership Program; and State Transportation Improvement Program),
Monterey Bay Unified Air Pollution Control District AB 2766 Motor Vehicle Emissions Reduction
Program, and cash reserves.

Community Bridges receives FTA Section 5310 Elderly and Disabled Specialized Transit Program
funds for vehicle and capital equipment purchases and submits its semi-annual reports to
Caltrans certifying use and condition of the equipment. Community Bridges also receives grant
funding from contracts with various government entities, including the Area Agency on Aging
and each of the four cities and the County for services such as Meals on Wheels, as well as
outside contracts for specific programs like Elderday and Interfaith Satellite Shelter Program.
Section VI

Findings

The following summarizes the findings obtained from this triennial audit covering fiscal years 2016 through 2018. A set of recommendations is then provided.

Triennial Audit Findings

1. The Santa Cruz County transit operators complied with each of the compliance requirements. One exception is the partial compliance with the local match for LTF funding by Volunteer Center. The 10 percent local match is not met through donations.

2. New State law passed in late 2015 made changes to farebox recovery requirements. Santa Cruz METRO was previously subject to a 15 percent farebox standard pursuant to the previous Rules and Regulations of the SCCRTC. In 2017, SCCRTC revised the rules and regulations with new language that Santa Cruz METRO is subject to farebox recovery ratios as set forth by state law. Santa Cruz METRO attained farebox ratios for both urban and rural services that exceeded the 20 percent and 10 percent standard, respectively.

In the METRO annual financial statements, the agency meets the 50 percent expenditure limitation under the TDA (PUC 99268) in lieu of meeting the farebox recovery requirement. As an older operator under TDA, either farebox recovery or the 50 percent expenditure limitation must be met for Local Transportation Fund (LTF) eligibility. While both measures are met by METRO, it should be clarified as to which of the two is used for fund eligibility.

3. Santa Cruz METRO and Community Bridges’ Lift Line participate in the CHP Transit Operator Compliance Program and received vehicle inspections within the 13 months prior to each TDA claim. Satisfactory ratings were made for all inspections conducted during the audit period for both agencies.

4. Of the prior six performance audit recommendations, the Santa Cruz County operators implemented three recommendations, partially implemented two, and did not implement one. The recommendation not implemented relates to the Volunteer Center review of the mileage reimbursement rate.

5. Santa Cruz METRO operating costs increased 7.9 percent system-wide over the period based on audited data from the FY 2015 base year through FY 2018. System-wide operating costs reflect all costs and exclude depreciation costs. According to the annual financial audit, the trend in system-wide operating cost increases was due to increases in employee wage rates, overtime costs, accrued leave payouts, the provision of other post-employment benefit, medical insurance rates, and the CalPERS retirement rate. Community Bridges’ Lift Line audited operating costs were relatively flat for the three-year period, increasing by 1.1
percent. Volunteer Center transportation costs decreased by 20.1 percent for the audit period, as the Volunteer Center performed a one-time salary savings of $19,500 redirected to a multi-year project in FY 2018.

6. Ridership on Santa Cruz METRO decreased by 11 percent system-wide during the audit period. Fixed-route ridership decreased from 5.65 million to 5.05 million between FY 2015 and FY 2018, while ParaCruz ridership decreased from 98,200 to 72,209 riders over the same period. Lift Line ridership decreased 35.5 percent during the audit period by about 30,000 passengers due to the loss of two services, the veteran’s shuttle and the Interfaith Satellite Shelter Program. Volunteer Center transportation ridership increased significantly by more than 43 percent in FY 2018 when compared against the base year of FY 2015 which showed a significant decrease in rides.

7. From a combination of performance data trends, TDA performance indicators for Santa Cruz METRO showed increases in costs on a per unit basis, including per hour and per passenger. The trends for these indicators using audited costs reflect marginal growth in operating cost paired with declines in ridership and service hours.

8. In September 2016, METRO successfully secured a comparable service contract arrangement with Cabrillo College. Cabrillo College students held an election and voted to impose a mandatory transportation fee of $40 per student per semester. The fee provides each student with a bus pass valid seven days a week. The college reimburses METRO based on the cost of providing coach operators and the per mile cost to run the service. Cross-marketing of each other’s programs is also part of the agreement.

9. Schedule adherence and on-time performance for several bus routes have been challenging for a variety of reasons, including construction, narrow travel corridors, and congestion. Its system-wide on-time goal is 72 percent of all departures, according to the Short Range Transit Plan (SRTP).

10. METRO has placed a priority on replacing aging equipment and upgrading its communication infrastructure. This includes working on implementation of the Syncromatics intelligent transportation systems infrastructure, which includes real-time tracking via an automatic vehicle locator (AVL) system, automated passenger counters, and voice annunciators. The system has been deployed on half of the revenue fleet to date and is in the testing phase. Surveillance cameras were also installed on the buses.

11. METRO has invested in the security of facilities and its personnel through the hiring of a safety and training coordinator to actively work with police departments and emergency service agencies to coordinate the safety of riders and increase driver training in these areas. Drivers also receive training on how to handle security situations on the bus.

12. The CEO/general manager was focused on addressing the agency’s structural deficit while ensuring vehicle replacement was occurring and developing strategic priorities moving forward. In June 2019, the METRO board approved a 10-Year Strategic Business Plan that sets
key tactical initiatives in support of the seven strategic priorities. The strategic priorities and key tactical initiatives are intended to prioritize the use of METRO’s financial and staff resources in the coming years. The priorities speak to safety, financial sustainability, service quality, technology, employee engagement, asset management, and partnerships.

13. Community Bridges’ Lift Line taxi scrip program has run into challenges as local taxi companies continue to feel the impact from the influx of ride-hailing companies (TNCs). As a result of the increasing business pressure on taxis, service quality provided to scrip riders has declined such as rides being unreliable and poor according to Lift Line transit management. Much of the service decline has occurred in the north county area. However, the taxi service in Watsonville remains a viable option. Lift Line is reviewing options for the scrip program.

14. A significant activity undertaken by the Volunteer Center was the transition from a manual method of dispatch and data collection to an in-house developed software program. The software serves many benefits including reducing human error from more automation, eliminating manual dispatch and standardizing dispatch functions, auto tracking of drivers through the GPS system and eliminating frequent driver call-ins to dispatch during customer pickups, and attracting younger volunteers to run the software.
Recommendations

1. **METRO and SCCRTC should clarify the performance eligibility criteria for TDA-Local Transportation Funds.**

   Article 4 of the TDA statute provides alternatives for Santa Cruz METRO to be eligible for TDA-Local Transportation Funds. One is for METRO to meet the farebox recovery ratio. The other is to meet the 50 percent expenditure rule as an older operator, defined as service starting prior to 1974. Currently, METRO meets both requirements but the documentation stating eligibility is not consistent. For example, the TDA claims form and resolution state METRO eligibility to receive LTF is from farebox compliance. However, the METRO audited financial statements state METRO meets the 50 percent expenditure limitation and does not use the alternative farebox recovery ratio. Historically, the amount of LTF allocated to METRO has not exceeded 50 percent of operating expenditures; hence, either criteria applies. Farebox recovery is an important performance measure that gauges transit operational efficiency and effectiveness.

   METRO and SCCRTC should discuss the applicability of each criteria and agree to which of the two meets compliance with rules and regulations for LTF. Currently, the adopting resolution allocating LTF from SCCRTC to METRO shows farebox recovery. Should the 50 percent expenditure criteria be applied instead, the TDA claims form and resolution should be adjusted. Should farebox remain the criteria, the METRO audited financial statements should be modified to show audited farebox recovery rather than the 50 percent expenditure rule. This clarity will provide consistency in reporting of performance measures for LTF eligibility.

2. **METRO should ensure the alignment of data analytics training for staff with deployment of new technology.**

   Santa Cruz METRO has placed a priority on replacing aging equipment and upgrading its communication infrastructure. For example, METRO has been working on implementation of the Syncromatics intelligent transportation systems infrastructure, which includes real-time tracking via an automatic vehicle locator system, automated passenger counters, and voice annunciators. As this deployment occurs and is being tested along with integration of other existing technology investments including fare collection system, the technology will provide a wealth of new data as transit operators gravitate toward data-driven analysis for service improvement and cost efficiency. The amount of data that is generated is bountiful and provides new defensible methods of evaluating routes, ridership, operations, and customer service.
METRO budgets annually for staff training to increase competencies from new computer systems. Emphasis should be placed on training and readying key staff for these data-driven operational systems that will have a significant impact on how transit service is evaluated and prioritized. METRO departments including information technology, finance, and human resources should coordinate training for staff on these new systems such as mining data and conducting data analysis to form trends and patterns that could further METRO operations, customer service, and planning. Creating an environment where real-time data is heavily used with performance criteria to develop dashboard metrics involves personnel training to appropriately interpret and apply the information. One of the strategic priorities in the METRO strategic plan is to develop advanced technology systems which in turn generates sizable data output.

3. City of Santa Cruz, Volunteer Center, and SCCRTC should discuss an alternative performance measure for TDA-Local Transportation Fund eligibility.

Local Transportation Funds are allocated to Volunteer Center under a performance standard that a 10 percent local match would be provided by Volunteer Center. Budgets for the volunteer driver program show a local match would be provided by donations from riders, which are not enough for the 10 percent match. As the LTF revenue is claimed by the city of Santa Cruz on behalf of Volunteer Center through the TDA Article 8 program, the law provides latitude on the performance standard. In lieu of a local match, SCCRTC, the City, and Volunteer Center should discuss an alternative measure for LTF eligibility. Among the possibilities include using goals set in the TDA claim form such as minimum ridership levels and number of unduplicated clients. Other data that is reported by Volunteer Center to SCCRTC for which a performance standard could be created include minimum number of ride requests unable to fill, and maintenance of driver availability for clients in each of the three travel areas of Santa Cruz, San Lorenzo Valley/Scotts Valley, and Watsonville. Given that the current standard for local match cannot be met, another performance standard that is attainable yet provides a measure of service efficiency and effectiveness should be considered by the involved agencies.

4. Volunteer Center should capture client and driver stories in its reporting on the volunteer driver program.

In its effort to promote the volunteer driver program, Volunteer Center personnel should consider additional means to show the importance of the program in the community. With this service filling a needed travel gap that cannot be provided efficiently by other transit or transportation alternatives, there is opportunity for Volunteer Center to capture the human component of the program by demonstrating the benefits received from the riders. From interviews or other ways to collect information, passenger stories can be expressed on how the program has helped them retain their livelihood and the relationships built. The same can be told by volunteer drivers who are empathetic and also cultivate relationships with riders. With data showing that many drivers do not seek mileage reimbursement, there is the human element that should be captured from the program. These stories can be featured in Volunteer Center literature and/or its website, as well as in presentations and other communication channels about the volunteer driver program.
5. **Community Bridges should conduct survey of taxi scrip riders to determine service needs.**

The taxi scrip program offered by Community Bridges, where residents can purchase discounted coupons to supplement the price of a taxi ride, originated from meeting a SCCRTC unmet transit need. With the changing landscape to the ridesharing environment including presence of ride-hailing companies (Transportation Network Companies) in Santa Cruz, the local taxi industry has been impacted. Lift Line management cited taxi service has been poor and unreliable in the city of Santa Cruz which affects the scrip program, although taxi service has continued to function satisfactorily in the city of Watsonville.

With uncertainty in the taxi industry and concerns about service, Community Bridges should conduct a survey of scrip participants whether the taxi scrip program is an essential service relative to other transportation services available. The survey should determine whether the scrip program, which serves a limited market, is a mere convenience for the customer versus offering a lifeline service, and whether their trip can be adjusted to enable these riders to access other transportation services at other times. For example, a question could be whether the trip purpose of using taxi scrip could be moved to another time or day that have other transportation options. If responses show the scrip program remains a lifeline service, Community Bridges is reviewing alternative ways to continue the service such as having a non-profit agency operate the service using a loaner vehicle from Lift Line.

6. **Community Bridges should report on-time performance in the TDA Quarterly Performance Report.**

Vehicle on-time arrival to pick up a passenger at the scheduled time is an important measure of operational effectiveness and customer service. The Lift Line on-time performance window for pickup is 20 minutes (plus/minus 10 minutes from pickup time). The time of pickup is documented by drivers; however, it is noted this effort is tedious for drivers in light of their primary driver and customer service responsibilities, according to Lift Line management. The TDA claims submitted by Community Bridges describes the investment in automatic vehicle locator (AVL) technology and mobile data computers that enable more automation in the tracking of vehicle movement. The technology serves multiple benefits including for safety and operational efficiencies. The technology also allows the collection of accurate data such as on-time performance. With implementation of this technology, Community Bridges should report on-time performance in the quarterly reports as another key indicator of operational effectiveness and customer service. SCCRTC will need to update the TDA claim form to include this measure on the list of performance metrics to include in the quarterly report.
### SANTA CRUZ COUNTY REGIONAL TRANSPORTATION COMMISSION
#### TDA REVENUE REPORT
#### FY 2019/2020

<table>
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<tr>
<th>MONTH</th>
<th>FY18 - 19 ACTUAL REVENUE</th>
<th>FY19 - 20 ESTIMATE REVENUE</th>
<th>FY19 - 20 ACTUAL REVENUE</th>
<th>DIFFERENCE</th>
<th>CUMULATIVE % OF ACTUAL TO PROJECTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>JULY</td>
<td>908,365</td>
<td>910,174</td>
<td>1,060,892</td>
<td>150,718</td>
<td>16.56%</td>
</tr>
<tr>
<td>AUGUST</td>
<td>670,376</td>
<td>671,711</td>
<td>645,861</td>
<td>-25,850</td>
<td>-3.85%</td>
</tr>
<tr>
<td>SEPTEMBER</td>
<td>886,090</td>
<td>887,855</td>
<td>905,653</td>
<td>17,798</td>
<td>2.00%</td>
</tr>
<tr>
<td>OCTOBER</td>
<td>1,276,595</td>
<td>1,279,137</td>
<td>1,069,443</td>
<td>-209,694</td>
<td>-16.39%</td>
</tr>
<tr>
<td>NOVEMBER</td>
<td>577,500</td>
<td>578,651</td>
<td>711,628</td>
<td>132,977</td>
<td>22.98%</td>
</tr>
<tr>
<td>DECEMBER</td>
<td>905,920</td>
<td>907,724</td>
<td>853,153</td>
<td>-54,570</td>
<td>-6.01%</td>
</tr>
<tr>
<td>JANUARY</td>
<td>877,694</td>
<td>879,442</td>
<td>897,534</td>
<td>18,093</td>
<td>2.06%</td>
</tr>
<tr>
<td>FEBRUARY</td>
<td>816,270</td>
<td>817,896</td>
<td>1,026,294</td>
<td>208,398</td>
<td>25.48%</td>
</tr>
<tr>
<td>MARCH</td>
<td>861,435</td>
<td>863,150</td>
<td>734,870</td>
<td>-128,280</td>
<td>-14.86%</td>
</tr>
<tr>
<td>APRIL</td>
<td>847,201</td>
<td>848,888</td>
<td>686,821</td>
<td>-162,067</td>
<td>-19.09%</td>
</tr>
<tr>
<td>MAY</td>
<td>607,386</td>
<td>608,595</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>JUNE</td>
<td>912,189</td>
<td>914,006</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTAL</td>
<td>10,147,019</td>
<td>10,167,228</td>
<td>8,592,150</td>
<td>-52,477</td>
<td>-0.52%</td>
</tr>
</tbody>
</table>

**Note:**

I:\FISCAL\TDA\MonthlyReceipts\FY2020\FY2020 TDA Receipts.xlsx]FY2019
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### TRANSPORTATION TAX REGIONAL TRANSPORTATION FUND (TTRTF) - MEASURE D

**SUMMARY OF REVENUE ALLOCATION BY MONTH**

<table>
<thead>
<tr>
<th>Month</th>
<th>Services &amp; Supplies</th>
<th>BOE Fees</th>
<th>O/H Admin</th>
<th>SALARIES &amp; O/H IMPEL &amp; OVERT</th>
<th>BOE FEES</th>
<th>O/H ADJUST</th>
<th>ADJUSTED</th>
</tr>
</thead>
<tbody>
<tr>
<td>OCTOBER</td>
<td>138,888.89</td>
<td>344,657.85</td>
<td>27,720.65</td>
<td>407,190.95</td>
<td>80%</td>
<td>18,698,844.58</td>
<td>169,982.07</td>
</tr>
<tr>
<td>NOVEMBER</td>
<td>344,657.85</td>
<td>27,720.65</td>
<td>407,190.95</td>
<td>8%</td>
<td>ADJUSTMENT</td>
<td>185,105.65</td>
<td>1,879,525.11</td>
</tr>
<tr>
<td>DECEMBER</td>
<td>5.  RAIL CORRIDOR -</td>
<td>4.  ACTIVE TRANSPORTATION -</td>
<td>Community Bridges - 4%</td>
<td>Santa Cruz Metro (SCMTD) 16%</td>
<td>City of Santa Cruz - 35%</td>
<td>City of Scotts Valley - 8%</td>
<td>City of Wateronville - 5%</td>
</tr>
<tr>
<td>SUMMARY OF REVENUE ALLOCATION BY MONTH</td>
<td>1,284,775.87</td>
<td>1,287,748.37</td>
<td>1,920,856.31</td>
<td>2,241,046.12</td>
<td>1,469,192.03</td>
<td>1,767,230.78</td>
<td>18,182,582.35</td>
</tr>
<tr>
<td>1. NEIGHBORHOOD:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SLV SR9</td>
<td>30%</td>
<td>356,441.99</td>
<td>55,821.08</td>
<td>59,060.42</td>
<td>16,149.32</td>
<td>9,855.87</td>
<td>274,495.58</td>
</tr>
<tr>
<td>HWY 17 Wildlife</td>
<td>Fixed $</td>
<td>13,888.89</td>
<td>13,888.89</td>
<td>13,888.89</td>
<td>13,888.89</td>
<td>13,888.89</td>
<td>13,888.89</td>
</tr>
<tr>
<td>2. HWY Corridors:</td>
<td>25%</td>
<td>521,224.44</td>
<td>71,585.83</td>
<td>77,433.76</td>
<td>22,568.62</td>
<td>14,267.58</td>
<td>274,495.58</td>
</tr>
<tr>
<td>3. TRANSIT/PARATRANSIT:</td>
<td>20%</td>
<td>424,955.17</td>
<td>257,549.67</td>
<td>384,171.26</td>
<td>488,209.22</td>
<td>299,238.41</td>
<td>535,446.16</td>
</tr>
<tr>
<td>Santa Cruz Metro (SCMTD) 16%</td>
<td>80%</td>
<td>339,964.14</td>
<td>206,039.74</td>
<td>307,337.01</td>
<td>358,567.38</td>
<td>219,390.73</td>
<td>282,756.92</td>
</tr>
<tr>
<td>Community Bridges - 4%</td>
<td>20%</td>
<td>84,991.03</td>
<td>51,509.93</td>
<td>76,834.25</td>
<td>89,641.84</td>
<td>59,847.68</td>
<td>70,689.23</td>
</tr>
<tr>
<td>4. ACTIVE TRANSPORTATION:</td>
<td>17%</td>
<td>361,211.90</td>
<td>218,917.22</td>
<td>326,545.57</td>
<td>380,977.84</td>
<td>254,352.65</td>
<td>300,429.23</td>
</tr>
<tr>
<td>5. RAIL CORRIDOR:</td>
<td>8%</td>
<td>169,982.07</td>
<td>103,019.87</td>
<td>153,668.50</td>
<td>179,283.69</td>
<td>119,695.36</td>
<td>141,378.46</td>
</tr>
<tr>
<td>DISTRIBUTED TO INVESTMENT CATEGORIES</td>
<td>100%</td>
<td>1,284,775.87</td>
<td>1,287,748.37</td>
<td>1,920,856.31</td>
<td>2,241,046.12</td>
<td>1,469,192.03</td>
<td>1,767,230.78</td>
</tr>
<tr>
<td>TOTAL ADMIN &amp; IMPLEM AND INVESTMENT CATEGORIES</td>
<td>100%</td>
<td>1,284,775.87</td>
<td>1,287,748.37</td>
<td>1,920,856.31</td>
<td>2,241,046.12</td>
<td>1,469,192.03</td>
<td>1,767,230.78</td>
</tr>
</tbody>
</table>

I:\\Fiscal\Measure D\Distribution To Investment Categories\FY2020\FY2020-10 April 2020\Measure D Distribution.xlsx\Summary
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AGENDA: May 7, 2020

TO: Regional Transportation Commission

FROM: Tracy New, Director of Budget and Finance

RE: FY 2018-19 Fiscal Audit for the SCCRTC Measure D Fund

RECOMMENDATIONS

Staff recommends that the Regional Transportation Commission (RTC) accept the attached SCCRTC Measure D Fund FY 2018-19 audited financial statements.

BACKGROUND

The Commission is required by Ordinance 2016-1 to undergo an independent annual financial audit of the Measure D Fund. Moss, Levy & Hartzheim, performed the FY 2018-2019 fiscal audit of the Measure D Fund for the Commission.

DISCUSSION

The Commission received a clean opinion from the Auditor and no major concerns were raised which would require changes to the SCCRTC internal controls and accounting practices. The reports are public documents and are available at the Commission’s office and on the website. (Audit Report).

The significant highlights for FY 2018-19 include:

1. In May 2018, the CDTFA transitioned to a new Centralized Revenue Opportunity System (CROS) that resulted in delayed payments totaling $573,100 in FY 2017/18 revenues received in fiscal year 2018/19.

2. Measure D cash receipts during FY 2018-19 total $21,982,020; this was $1,881,315 over budget and $1,245,570 increase over FY 2017-18 cash receipts. The $1,245,570 represents $672,470 for FY 2018/19 and $573,100 in delayed payments from FY 2017/18.

3. FY2019 is the second full year receiving Measure D funds. The cash received during the fiscal year of July 2018 through June 2019, account for April 2018 through March 2019 revenues. Measure D payment of a given month is received two months in arrears.
4. Due to a robust economy and AB 147, California’s “Marketplace Facilitator Act” requiring certain remote and online sellers to collect and remit sales and use tax, the Measure D Fund Net position as of June 30, 2019, is $19,916,245 (Pages 11 and 12). These funds can only be used for intended purposes and cannot be spent for other RTC needs.

5. Some of the projects, funded by Measure D, which commenced or continued in FY 2018/19 (discussed in detail starting on Page 4) included:

   a) Monterey Bay Sanctuary Scenic Trail Network
   b) Highway 1 41st Avenue – Soquel Drive auxiliary lane project design
   c) Rail Corridor maintenance and repairs
   d) County Resurfacing Projects
   e) City of Capitola bike lane improvement and slurry seal program
   f) City of Santa Cruz road repaving, bike and pedestrian improvements
   g) City of Scotts Valley Intersection, bike, and pedestrian improvements
   h) City of Watsonville Bike and pedestrian safety programs and training
   i) Santa Cruz METRO and Lift Line services for seniors and people with disabilities.

Following review by the RTC, staff will present the FY 2018-19 SCCRTC Measure D Fund audit and audits from other Measure D recipients to the Measure D Taxpayer Oversight Committee.

SUMMARY

The FY 2018-19 SCCRTC Measure D Fund audit has been completed and is ready for review. Staff recommends that the Commission accept the audit report.

Attachments:
   1. FY 2018-19 SCCRTC Measure D Fund Fiscal Audit Report

S:\RTC\TC2020\TC0520\Consent Agenda\FY2019 Annual Financial Meas D\FY2019AuditMeasureDStaffReport.docx
SANTA CRUZ COUNTY REGIONAL TRANSPORTATION COMMISSION
MEASURE D FUND

FINANCIAL STATEMENTS
June 30, 2019
SANTA CRUZ COUNTY REGIONAL TRANSPORTATION COMMISSION
MEASURE D FUND
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June 30, 2019

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INDEPENDENT AUDITORS’ REPORT

Citizen Oversight Committee
Santa Cruz County Regional Transportation Commission
Santa Cruz, California

We have audited the accompanying financial statements of the Measure D Fund of Santa Cruz County Regional Transportation Commission, as of and for the fiscal year ended June 30, 2019, and the related notes to the financial statements, as listed in the table of contents.

Management’s Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor’s Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor’s judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity’s preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity’s internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of the Measure D Fund of Santa Cruz County Regional Transportation Commission, as of June 30, 2019, and the changes in financial position thereof for the fiscal year then ended in accordance with accounting principles generally accepted in the United States of America.

Emphasis of Matter

As discussed in Note 1, the financial statements present only the Measure D Fund and do not purport to, and do not present fairly the financial position of the Santa Cruz County Regional Transportation Commission, as of June 30, 2019, the changes in its financial position for the fiscal year then ended in accordance with accounting principles generally accepted in the United States of America. Our opinion is not modified with respect to this matter.
Required Supplementary Information

Accounting principles generally accepted in the United States of America require that the management’s discussion and analysis on pages 3 through 11 be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board, who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management’s responses to our inquiries, of the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

Supplementary Information

Our audit was conducted for the purpose of forming an opinion on the financial statements that collectively comprise the Measure D Fund of Santa Cruz County Regional Transportation Commission’s financial statements. The supplementary information listed in the table of contents are presented for purposes of additional analysis and is not a required part of the financial statements.

The supplementary information, listed in the table of contents, are the responsibility of management and was derived from and relate directly to the underlying accounting and other records used to prepare the financial statements. Such information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the basic financial statements or to the basic financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated in all material respects in relation to the financial statements as a whole.

Moss, Rey & Stange, LLP

Santa Maria, California
April 13, 2020
I. INTRODUCTION

Measure D is a comprehensive and inclusive package of transportation investments passed in November 2016 by over two-thirds (2/3) of Santa Cruz County voters. This ½-cent sales tax guarantees a steady, direct source of local funding to every city and the County of Santa Cruz for local street and road maintenance, bicycle, pedestrian, and safety projects; to Santa Cruz METRO and Community Bridges-Lifeline for transit and para-transit services for seniors and people with disabilities, as well as providing funds to implement priority highway, trail, and other essential transportation projects and programs throughout the county. Measure D went into effect on April 1, 2017. After costs for administration and implementation of the Measure are accounted for, funds are distributed by the formula set forth in the Expenditure Plan for Measure D to the following Investment Categories:

1. Neighborhood Projects (Cities & County) – 30%
2. Highway Corridor – 25%
3. Transit/Paratransit (SCMTD and Community Bridges) – 20%
4. Active Transportation – 17%
5. Rail Corridor – 8%

The RTC is the administrator of Measure D. A five-year program of projects showing how recipient agencies plan to use Measure D funds is updated and adopted annually by each agency receiving Measure D revenues. An annual audit of receipts and expenses of each recipient is also required; and the audited reports are to be reviewed by an Oversight Committee of five members. The Measure D Oversight Committee met three times in FY2018/19 to review recipient agency fiscal audits and prepared an annual report of findings for FY2017/18, consistent with the Ordinance.

II. Measure D Funded Projects in FY2018/2019

Since Measure D went into effect, the cities of Capitola, Santa Cruz, Scotts Valley, and Watsonville, the County of Santa Cruz, Santa Cruz METRO, Community Bridges, and the RTC have put Measure D funds to work - filling potholes, building new bicycle and walking paths, replacing aging buses, increasing transportation service for seniors and people with disabilities, designing major infrastructure projects, maintaining existing infrastructure, and providing traveler information and assistance programs. The following highlights a few of the projects that were funded by Measure D in FY2018/19.
Activetransportation: Monterey Bay Sanctuary Scenic Trail Network (MBSST)

1. **MBSST Network Implementation**: RTC staff provided oversight and technical assistance for implementation of the Monterey Bay Sanctuary Scenic Trail Network (MBSST). This included coordination with local jurisdictions and Central Federal Lands of the Federal Highways Administration who are implementing specific sections of the trail network.

2. **Segment 7 - Phase 1**: The city completed design work for Phase 1, which is from Natural Bridges Drive to Bay Street/California Avenue in the City of Santa Cruz. Phase 1 is scheduled for construction in FY 2019/20.

3. **Segment 7 - Phase 2**: The city is completing design work and is pursuing grants for construction from Bay Street/California Avenue to the Santa Cruz Wharf.

4. **North Coast Segment 5**: The RTC certified the Final Environmental Impact Report (EIR) on March 7, 2019 for this segment, which goes from Davenport to Wilder Ranch State Park. In coordination with the SCCRTC, Federal Highway Administration Central Federal Lands Highway Division (FHWA-CFLHD) continued work on design of the 7.5 mile trail. The 5.4-mile section from Wilder Ranch to Panther/Yellowbank Beach is scheduled for construction in 2021. RTC is seeking construction grants for the remaining 2.1 mile section of the trail.

5. **San Lorenzo River Trestle Widening project**: The City of Santa Cruz widened the bicycle and pedestrian portion of the trestle bridge, improving access for bicycles and pedestrians traveling next to the railroad tracks near the Boardwalk in Santa Cruz. While construction was completed in Spring 2019, final closeout and invoicing of Measure D funds occurred in early FY19/20, so expenses will be reflected in FY19/20 financial statements.

6. **Segment 18, Watsonville**: Environmental review and design work was completed in FY2018/19. Construction of trail between Ohlone Drive and Watsonville Slough Trail is scheduled for Spring 2020.

7. **Ongoing Corridor Maintenance**: RTC continued to maintain the future trail corridor, including vegetation control; hazardous tree removal; trash and graffiti abatement; drainage maintenance and repairs; clearing encroachments; and storm damage repairs.
Rail Corridor

1. **Unified Corridor Investment Study:** In January 2019 the RTC completed the Unified Corridor Investment Study, adopting the preferred scenario for implementation of a combination of multimodal projects on Highway 1, Soquel Dr/Ave-Freedom Blvd, and within the rail corridor. Public input was collected and analysis conducted on various scenarios with different combinations of projects. The majority of the study was funded by Measure D funds from the Rail Corridor investment category as well as a Caltrans planning grant and some Measure D funds from the Highway Corridors investment category.

2. **Infrastructure Preservation:** The RTC continued environmental and engineering work necessary to make storm damage repairs to the Santa Cruz Branch Rail Line right-of-way in FY 2018-19. RTC will continue this work to obtain necessary permits and prepare bid documents for the construction work in FY 2019-20. In addition, bridge inspections were completed, which will be used to determine the work that will be necessary for repair and maintenance of the railroad bridges.

Highway Corridors

1. **Highway 1 Auxiliary Lanes:** In FY2018/19 Measure D funds were used to complete Bus on Shoulders studies. Final design for auxiliary lanes between 41st Avenue and Soquel Drive began in September 2018, with construction scheduled for FY 2020-21. The project includes a new bicycle/pedestrian bridge over Highway 1 near Chanticleer Ave and will provide for buses to operate in auxiliary lanes and on shoulders. During FY2018/19 the RTC also initiated the procurement process to hire a consultant team to conduct environmental review and preliminary engineering for the Highway 1 auxiliary lanes and bus on shoulders project between State Park Dr. and Bay-Porter interchanges.

2. **Cruz511 Program:** The Cruz511 program is a traveler resource and transportation demand management program. In FY2018/19, the RTC continued to provide rideshare, transit, bicycle, and traffic information to the public, primarily through the www.Cruz511.org website. During FY2018/19 staff continued to provide traffic safety messaging and active transportation mapping resources to community members throughout the county. In FY2018/19 staff also worked with other entities to develop a more robust demand management program, including an online commute manager platform with dynamic ride matching, which is scheduled to launch in FY2019/20.

3. **Safe on 17 and Freeway Service Patrol:** Measure D has provided critical funding to provide extra California Highway Patrol (CHP) enforcement on Highway 17, through the Safe on 17 program. Measure D funds are also being used to provide tow truck patrols on Highway 1 and Highway 17 during peak travel times, which work in tandem with CHP to improve traffic flow and safety by removing debris, assisting motorists with broken down vehicles, clearing collisions and other incidents.
Neighborhood Projects
Capitola, Santa Cruz, Scotts Valley, Watsonville and County public works departments repaired several local roads and improved bicycle and pedestrian facilities throughout the county during FY2018/19.

1. County of Santa Cruz:
   - Roadway Resurfacing: The County spent $2.25 million in Measure D funds in resurfacing roadways countywide in FY2018/19.

2. City of Capitola:
   - Design work for Brommer Street complete streets improvements to improve access for vehicles, bikes, and pedestrians. Pavement reconstruction, install ADA driveways and sidewalks, and reconfigure eastbound approach to 41st Ave. for vehicle access.
   - Slurry seal of ten roadways, including 46th Avenue, Wharf Rd, Capitola Ave, Plum St, and Pilgrim Dr.

3. City of Santa Cruz:
   - Citywide Street Reconstruction – the City repaved 40 streets.
   - Bicycle and pedestrian safety training at citywide elementary schools.
   - San Lorenzo River trestle bridge for pedestrians and bicyclists was widened.

4. City of Scotts Valley:
   - Glenwood Drive Rehabilitation and Bicycle Improvement Project: design work.
   - Infill Sidewalks: Construction of new sidewalks on Kings Village Road.
   - Pavement Rehabilitation and Bicycle Paths – Glen Canyon Rd/Green Hills Rd/S. Navarra Dr: construction completed in October 2018.
5. **City of Watsonville:**
   - Design and environmental document for a new trail on Lee Road from the railroad crossing to Pajaro Valley High School.
   - Pedestrian safety and traffic calming measures, such as striping, signage, flashing beacons, curb extensions and speed humps.
   - Bicycle safety signage and traffic markings along bicycle corridors citywide.

6. **Highway 17 Wildlife Crossing:**
   Caltrans prepared design plans for the Highway 17 Wildlife Crossing, using State Highway Operation and Protection Program (SHOPP) funds. $5 million from Measure D will be used for construction of the project and financing needed to accelerate delivery in 2021. The Land Trust of Santa Cruz County is raising funds needed to match Measure D funds allocated to the project. This project is under the Neighborhood investment category but is regional in nature so it is being implemented by the RTC in partnership with Caltrans and the Land Trust of Santa Cruz County.

7. **Highway 9 Corridor Investments:**
   The RTC, working with Caltrans, the County of Santa Cruz, Santa Cruz METRO and the community completed a corridor plan in FY2018/19, identifying priority projects for implementation. Measure D revenues will be used to leverage grants for priority projects. This project is under the Neighborhood investment category but is regional in nature so it is being implemented by the RTC in partnership with Caltrans and the County of Santa Cruz.

**Transit/Paratransit**

1. **Santa Cruz Metro:** METRO used Measure D funds to fund bus operators for ten bus routes and to sustain paratransit service levels.

2. **Lifeline Community Bridges:**
   - Expanded Service: Measure D funds have allowed service to be expanded from 5 to 7 days per week.
   - Additional public outreach was conducted to promote paratransit ride availability.
   - Measure D funds were also used for pre-construction activities for a new operations facility.
III. FINANCIAL STATEMENTS

The financial statements of Measure D are on accrual basis, as the revenues are recorded when earned and expenses are recognized when incurred. Measure D, the Fund, is divided into seven subfunds – Measure D - Distribution; Administration and Implementation; Neighborhood; Highway Corridor; Transit/Para-transit; Active Transportation; and Rail Corridor subfunds. The Neighborhood Subfund has two additional subfunds to account for the San Lorenzo Valley Highway 9 Corridor Improvements and Highway 17 Wildlife Crossing Expenditure Plan projects.

Measure D – Distribution Subfund is a place holder where all Measure D proceeds are deposited prior to the distribution to other subfunds. This is the place to find total proceeds from the California Department of Tax and Fee Administration (formerly the Board of Equalization) and the amounts distributed to the Administration and Implementation; and to each of the five Investment Categories. Each subfund earns and keeps any interest earned due to the time lag between the deposit to the subfunds and the payment to recipients.

The interfund transactions were eliminated on the Statement of Net Position (page 12); and on the Statement of Changes in Net Position (page 13). The revenues represent actual Measure D proceeds received and any interest earned; the expenses are actual payments sent to recipients or vendors – these are not interfund payments. Funds not actually paid (which have not left Measure D Fund) comprise the Net Position.

IV. FINANCIAL HIGHLIGHTS

Consolidated Financial Statements

The Statement of Net Position shows a cash balance of $19,123,244 and a net position balance of $19,916,245 on 6/30/2019. The total liability of $2,894,636 is the sum of the accounts payable from all subfunds; and represents the amount the subfunds owe to actual recipients of Measure D and outside vendors.

In FY 2018/19 Measure D revenue totaled $22,180,875 and they earned $320,836 in interest for total revenues of $22,501,711. Total expenses amounted to $14,398,752 over the same 12 months through 6/30/2019. The net position, except for $9,707, is restricted to related subfunds and is not available for distribution. The $9,707 balance is the cumulative interest earned by Measure D and will be credited to the cash balance of the respective program.

Subfunds Financial Statements

The monthly receipts from California Department of Tax and Fee Administration are accounted for in Measure D – Distribution Subfund. These receipts were all (100%) distributed to the Administration & Implementation Subfund and the Five Investment Category subfunds according to pre-determined allocation formula, which are prescribed in Measure D. The revenues equal expenses in Measure D – Distribution Subfund; and any net position is the cumulative interest earned by the cash receipts prior to distribution. This net position is
unrestricted and is available for distribution to other subfunds. Below is the FY 2018/19 receipts distribution schedule and the graphical presentation of the distribution with and without the Administration & Implementation subfund in the mix:

**Measure D Distribution**  
**FY 2018/19 Ending 6/30/2019**

<table>
<thead>
<tr>
<th>Category</th>
<th>With Administration &amp; Implementation</th>
<th>Without Administration &amp; Implementation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administration Salaries &amp; Benefits</td>
<td>$191,753 1%</td>
<td></td>
</tr>
<tr>
<td>Implementation &amp; Overhead</td>
<td>$547,173 3%</td>
<td></td>
</tr>
<tr>
<td>Neighborhood</td>
<td>$6,432,585 29%</td>
<td>$6,432,585 30%</td>
</tr>
<tr>
<td>Highway Corridor</td>
<td>$5,360,487 24%</td>
<td>$5,360,487 25%</td>
</tr>
<tr>
<td>Transit/Para-Transit</td>
<td>$4,288,390 19%</td>
<td>$4,288,390 20%</td>
</tr>
<tr>
<td>Active Transportation</td>
<td>$3,645,131 16%</td>
<td>$3,645,131 17%</td>
</tr>
<tr>
<td>Rail Corridor</td>
<td>$1,715,356 8%</td>
<td>$1,715,356 8%</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>$22,180,875 100%</strong></td>
<td><strong>$21,441,949 100%</strong></td>
</tr>
</tbody>
</table>

**Graph 1 – Measure D Distribution Without Adm. & Imp.**
The total receipts of $22,180,875 are 10% above projection and each investment subfund except for Administration & Implementation received 8% more than budgeted as shown below:

### Measure D Receipts Compared to Budget

<table>
<thead>
<tr>
<th></th>
<th>Receipts</th>
<th>Budget</th>
<th>Over Budget*</th>
<th>(%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administration &amp; Implementation</td>
<td>$738,926</td>
<td>$684,024</td>
<td>$54,902</td>
<td>8%</td>
</tr>
<tr>
<td>Neighborhood</td>
<td>6,432,585</td>
<td>5,825,004</td>
<td>607,581</td>
<td>10%</td>
</tr>
<tr>
<td>Highway Corridor</td>
<td>5,360,487</td>
<td>4,854,170</td>
<td>506,317</td>
<td>10%</td>
</tr>
<tr>
<td>Transit/Para-Transit</td>
<td>4,288,390</td>
<td>3,883,336</td>
<td>405,054</td>
<td>10%</td>
</tr>
<tr>
<td>Active Transportation</td>
<td>3,645,131</td>
<td>3,300,836</td>
<td>344,295</td>
<td>10%</td>
</tr>
<tr>
<td>Rail Corridor</td>
<td>1,715,356</td>
<td>1,553,334</td>
<td>162,022</td>
<td>10%</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>$22,180,875</strong></td>
<td><strong>$20,100,704</strong></td>
<td><strong>$2,080,171</strong></td>
<td>10%</td>
</tr>
</tbody>
</table>

* Excess of Receipts over Budget

Payments to Neighborhood and Transit/Para-transit recipients were made monthly while disbursements to regional projects (Highway Corridor; Rail/Trail; and Rail Corridor) were based on presentation of invoices or other evidentiary cost documentation. Highway 9 Complete Streets Investment Plan and Highway 17 Wildlife Overcrossing are in the Neighborhood Subfund, but they are regional projects; and funds are managed by the RTC. For Highway 9, $35,000 was expended in FY 2018/19; no funds were expended in FY 2018/19 for the Highway 17 project.

Absent Highway 9 and Highway 17, Measured D receipts would equal expenses in the Neighborhood. The equality of receipts and expenses also exists in Transit/Para-transit Subfund because these are pass-through funds and monthly payments are automatic, provided that the recipients are in compliance with Measure D requirements. Schedule 1 (page 24) in the Supplemental Information/Schedule Section presents the detailed monthly distribution of Measure D and needed adjustments.

Highway 9; Highway 17; Highway Corridor; Active Transportation (Rail/Tail - MBSST); and Rail Corridor all show high net position because construction works have not commenced. The following is a condensed revenues, expenditures, and change in net position statement:
V. FINANCIAL ISSUES AND CONCERNS

What it will take to start larger projects: While pay-as-you-go financing is the preferred method for delivery of projects, the RTC is working to accelerate delivery of most projects. Measure D revenues are intended to be used to leverage other grants. The RTC, Caltrans and local agencies anticipate using Measure D funds to leverage new state grants available thanks to SB-1 transportation funding. In order to accelerate delivery of some larger projects, RTC will be evaluating a range of financing options, starting with inter-program loans. The RTC approved a Strategic Implementation Plan in February 2020 which includes policies and long-range cash flow models with relatively conservative revenue projections.

VI. COMPLIANCE WITH MEASURE D ORDINANCE

In FY2018/19, the RTC and Recipient agencies demonstrated that they implemented Measure D in accordance with the Measure D Ordinance and Expenditure Plan, as well as agreements and guidelines established by the RTC for recipient agencies. Recipients provided expenditure reports and audited financials showing how Measure D funds were spent, provided information to demonstrate compliance with the Ordinance, including Maintenance of Effort and public outreach.
SANTA CRUZ COUNTY REGIONAL TRANSPORTATION COMMISSION
MEASURE D FUND
STATEMENT OF NET POSITION
June 30, 2019

<table>
<thead>
<tr>
<th>ASSETS</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash in county treasury</td>
<td>$19,123,244</td>
</tr>
<tr>
<td>Accounts receivable</td>
<td>3,687,637</td>
</tr>
<tr>
<td><strong>Total assets</strong></td>
<td><strong>22,810,881</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>LIABILITIES</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Accounts payable</td>
<td>2,894,636</td>
</tr>
<tr>
<td><strong>Total liabilities</strong></td>
<td><strong>2,894,636</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>NET POSITION</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Restricted for distribution</td>
<td>19,906,538</td>
</tr>
<tr>
<td>Unrestricted</td>
<td>9,707</td>
</tr>
<tr>
<td><strong>Total net position</strong></td>
<td><strong>$19,916,245</strong></td>
</tr>
</tbody>
</table>

See accompanying notes to financial statements.
SANTA CRUZ COUNTY REGIONAL TRANSPORTATION COMMISSION
MEASURE D FUND
STATEMENT OF CHANGES IN NET POSITION
For the Fiscal Year Ended June 30, 2019

<table>
<thead>
<tr>
<th>Revenues:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>State Board of Equalization - sales tax apportionment</td>
<td>$22,180,875</td>
</tr>
<tr>
<td>Interest</td>
<td>$320,836</td>
</tr>
</tbody>
</table>

| Total revenues                     | $22,501,711 |

<table>
<thead>
<tr>
<th>Expenditures:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries and benefits</td>
<td>191,753</td>
</tr>
<tr>
<td>Services and supplies</td>
<td>1,552,565</td>
</tr>
<tr>
<td>Consultant services</td>
<td>5,200</td>
</tr>
<tr>
<td>Claimants:</td>
<td></td>
</tr>
<tr>
<td>City of Capitola</td>
<td>332,722</td>
</tr>
<tr>
<td>City of Santa Cruz</td>
<td>1,849,081</td>
</tr>
<tr>
<td>City of Scotts Valley</td>
<td>288,317</td>
</tr>
<tr>
<td>City of Watsonville</td>
<td>902,300</td>
</tr>
<tr>
<td>County of Santa Cruz</td>
<td>3,060,948</td>
</tr>
<tr>
<td>Santa Cruz County Regional</td>
<td></td>
</tr>
<tr>
<td>Transportation Commission</td>
<td>1,926,169</td>
</tr>
<tr>
<td>Community Bridges</td>
<td>857,751</td>
</tr>
<tr>
<td>Santa Cruz Metropolitan Transit District</td>
<td>3,431,946</td>
</tr>
</tbody>
</table>

| Total expenditures                 | 14,398,752|

| Change in net position             | 8,102,959 |

| Net position, beginning of fiscal year | 13,338,696 |
| Prior period adjustment             | (1,525,410)|
| Net position, beginning of fiscal year adjusted | 11,813,286|

| Net position, end of fiscal year   | $19,916,245 |
NOTE 1 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

A. Reporting Entity

The Measure D Fund (the Fund) was established as an expendable trust fund of Santa Cruz County Regional Transportation Commission (the Commission). The purpose of the trust fund is to accumulate revenues transmitted to the Commission by the State of California derived from a ½ cent of the general sales tax collected within Santa Cruz County.

The Commission is the Regional Transportation Planning Agency which is responsible for apportionments from the Measure D Fund.

The financial statements present only the activity of the Measure D Fund, and are not intended to present the financial position and changes in financial position of Santa Cruz County Regional Transportation Commission, in conformity with accounting principles generally accepted in the United States of America.

B. Basis of Accounting

The financial statements have been prepared on the accrual basis of accounting. Revenues are recorded when earned and expenses are recorded when a liability is incurred. Interest income is allocated quarterly to the fund by the Treasurer of Santa Cruz County.

C. Cash and County Treasury

The Measure D Fund holds its cash in the County of Santa Cruz Treasury. The County maintains a cash and investment pool, and allocates interest to the various funds based upon the average daily cash balances. Information regarding categorization of investments can be found in the County of Santa Cruz's basic financial statements.

D. Estimates

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results could differ from those estimates.

NOTE 2 - CASH AND INVESTMENTS

Custodial credit risk is the risk that in the event of a bank failure, the Fund’s deposits may not be returned to it. The Fund does not have a formal deposit policy for custodial credit risk in addition to the California Government Code collateral requirements. Cash balances held in banks are insured up to $250,000 by the Federal Deposit Insurance Corporation. All deposits held by financial institutions are fully insured or collateralized with securities, held by the pledging financial institutions’ trust departments in the Fund’s name.

Investments at June 30, 2019, consist of the following:

Pooled Investment Funds:
Cash in county treasury $19,123,244
NOTE 2 - CASH AND INVESTMENTS (Continued)

The Fund categorizes its fair value measurements within the fair value hierarchy established by accounting principles generally accepted in the United States of America. The hierarchy is based on the valuation inputs used to measure the fair value of the asset. Level 1 inputs are quoted prices in active markets for identical assets; Level 2 inputs are significant other observable inputs; Level 3 inputs are significant unobservable inputs. The Fund’s investments are in the Santa Cruz County Investment Pool which is an external investment pool is valued under Level 2.

Cash in County Treasury

The fund maintains a portion of its cash in the Santa Cruz County Treasury, an external investment pool. The County pools these funds with those of other governmental entities in the county and invests the cash. These pooled funds are carried at fair value. Interest is earned based on average daily balance and is deposited quarterly into participating funds. Any investment gains and losses are proportionately shared by all funds in the pool. The County is restricted by the California Government Code to invest in obligations issued by the United States Treasury; obligations, participations, or other instruments of or issued by a federal agency or a United States government sponsored enterprise; obligations of state and local agencies of this State; bankers’ acceptances; commercial paper; negotiable certificates of deposit; repurchase agreements; medium-term corporate notes; as well as other investments established by the California Government Code. The County’s report discloses the required information in accordance with Governmental Accounting Standards Board Statement Nos. 3 and 40. Pooled investments are not required to be categorized by risk category.

Interest Rate Risk

The Fund does not have a formal investment policy that limits investment maturities as a means of managing its exposure to fair value losses arising from increasing interest rates.

Credit Risk

State law limits investments in commercial paper, corporate bonds, and mutual bond funds to the top two ratings issued by nationally recognized statistical rating organizations. The Fund has no investment policy that would further limit its investment choices. Santa Cruz County Treasury pooled investment funds are unrated.

NOTE 3 – PRIOR PERIOD ADJUSTMENT

A prior period adjustment of $(1,525,410) was made to adjust distributions to the proper period.
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SUPPLEMENTARY INFORMATION
INDEPENDENT AUDITOR’S REPORT ON
MEASURE D COMPLIANCE

Citizen Oversight Committee
Santa Cruz County Regional Transportation Commission
Santa Cruz, California

We have audited the financial statements of the Measure D Fund of the Santa Cruz County Regional Transportation Commission’s (the Commission) compliance with the types of compliance requirements described in Ordinance No. 2016-01 (Measure D), applicable for the fiscal year ended June 30, 2019.

Management’s Responsibility

Management is responsible for compliance with the requirements of laws, regulations, contracts, and grants applicable to the Measure D.

Auditors’ Responsibility

Our responsibility is to express an opinion on the Commission’s compliance based on our audit of the compliance with applicable statutes, rules and regulations of Measure D. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States; and Ordinance No. 2016-01. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the compliance requirements referred to above that could have a direct and material effect on the state laws and regulations applicable to the Fund occurred. An audit includes examining, on a test basis, evidence about the Fund’s compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that our audit provides a reasonable basis for our opinion on compliance. However, our audit does not provide a legal determination of the Commission’s compliance.

Opinion on Compliance with Measure D

In our opinion, the funds allocated to and received by Santa Cruz County Regional Transportation Commission pursuant to Measure D, complied, in all material respects, with the compliance requirements referred to above that are applicable to the statutory requirements of Measure D of Santa Cruz County Regional Transportation Commission for the fiscal year ended June 30, 2019.

Purpose of this Report

This report is intended solely for the information and use of the Citizen Oversight Committee, management of the Santa Cruz County Regional Transportation Commission and for filing with the appropriate regulatory agencies and is not intended to be and should not be used by anyone other than these specified parties.

Moss, Levy & Hartzheim LLP

Santa Maria, California
April 13, 2020
### SANTA CRUZ COUNTY REGIONAL TRANSPORTATION COMMISSION
### MEASURE D FUND
### STATEMENT OF NET POSITION BY ALLOCATION
### June 30, 2019

<table>
<thead>
<tr>
<th></th>
<th>Unallocated</th>
<th>Admin</th>
<th>Neighborhood</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>ASSETS</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cash and investments</td>
<td>$ 9,707</td>
<td>$ 516,615</td>
<td>$ 1,268,205</td>
</tr>
<tr>
<td>Accounts receivable</td>
<td></td>
<td>117,488</td>
<td>1,023,757</td>
</tr>
<tr>
<td><strong>Total assets</strong></td>
<td>9,707</td>
<td>634,103</td>
<td>2,291,962</td>
</tr>
<tr>
<td><strong>LIABILITIES</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accounts payable</td>
<td></td>
<td>4,646</td>
<td>1,179,577</td>
</tr>
<tr>
<td><strong>Total liabilities</strong></td>
<td></td>
<td>4,646</td>
<td>1,179,577</td>
</tr>
<tr>
<td><strong>NET POSITION</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Restricted for distribution</td>
<td>629,457</td>
<td></td>
<td>1,112,385</td>
</tr>
<tr>
<td>Unrestricted</td>
<td>9,707</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total net position</strong></td>
<td>$ 9,707</td>
<td>$ 629,457</td>
<td>$ 1,112,385</td>
</tr>
<tr>
<td>Highway Corridor</td>
<td>Transit</td>
<td>Active Transportation</td>
<td>Rail Corridor</td>
</tr>
<tr>
<td>-----------------</td>
<td>---------</td>
<td>-----------------------</td>
<td>---------------</td>
</tr>
<tr>
<td>$9,888,433</td>
<td>$71,663</td>
<td>$5,634,617</td>
<td>$1,734,004</td>
</tr>
<tr>
<td>853,131</td>
<td>682,505</td>
<td>720,887</td>
<td>289,869</td>
</tr>
<tr>
<td>10,741,564</td>
<td>754,168</td>
<td>6,355,504</td>
<td>2,023,873</td>
</tr>
</tbody>
</table>

| 155,796         | 753,855 | 644,776               | 155,986       | 2,894,636       |
| 155,796         | 753,855 | 644,776               | 155,986       | 2,894,636       |
| 10,585,768      | 313     | 5,710,728             | 1,867,887     | 19,906,538      |
| $10,585,768     | $313    | $5,710,728            | $1,867,887    | $19,916,245     |
## SANTA CRUZ COUNTY REGIONAL TRANSPORTATION COMMISSION
### MEASURE D FUND
### STATEMENT OF CHANGES IN NET POSITION BY ALLOCATION
For the Fiscal Year Ended June 30, 2019

<table>
<thead>
<tr>
<th>Additions:</th>
<th>Unallocated</th>
<th>Admin</th>
<th>Neighborhood</th>
</tr>
</thead>
<tbody>
<tr>
<td>State Board of Equalization - sales tax</td>
<td>$</td>
<td>-</td>
<td>$ 6,432,585</td>
</tr>
<tr>
<td>Interest</td>
<td>5,074</td>
<td>11,304</td>
<td>16,848</td>
</tr>
<tr>
<td>Total additions</td>
<td>5,074</td>
<td>750,230</td>
<td>6,449,433</td>
</tr>
</tbody>
</table>

| Deductions:                                    |             |         |              |
| Salaries and benefits                          | 191,753     |         |              |
| Services and supplies                          | 1,998       |         |              |
| Consultant services                            | 5,200       |         |              |
| Claimants:                                     |             |         |              |
| City of Capitola                               |             |         | 332,722      |
| City of Santa Cruz                             |             |         | 1,349,081    |
| City of Scotts Valley                          |             |         | 288,317      |
| City of Watsonville                            |             |         | 902,300      |
| County of Santa Cruz                           |             |         | 3,060,948    |
| Santa Cruz County Regional                     |             |         |              |
| Transportation Commission                      |             |         | 297,329      |
| Community Bridges                              |             |         | 35,000       |
| Santa Cruz Metropolitan Transit District       |             |         |              |
| Total deductions                                |             | 496,280 | 5,968,368    |

### Change in net position
<table>
<thead>
<tr>
<th>Unallocated</th>
<th>Admin</th>
<th>Neighborhood</th>
</tr>
</thead>
<tbody>
<tr>
<td>5,074</td>
<td>253,950</td>
<td>481,065</td>
</tr>
</tbody>
</table>

Net position - beginning of fiscal year
<table>
<thead>
<tr>
<th>Unallocated</th>
<th>Admin</th>
<th>Neighborhood</th>
</tr>
</thead>
<tbody>
<tr>
<td>4,633</td>
<td>375,507</td>
<td>1,513,234</td>
</tr>
</tbody>
</table>

Prior period adjustment
<table>
<thead>
<tr>
<th>Unallocated</th>
<th>Admin</th>
<th>Neighborhood</th>
</tr>
</thead>
<tbody>
<tr>
<td>(881,914)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Net position - beginning of fiscal year adjusted
<table>
<thead>
<tr>
<th>Unallocated</th>
<th>Admin</th>
<th>Neighborhood</th>
</tr>
</thead>
<tbody>
<tr>
<td>4,633</td>
<td>375,507</td>
<td>631,320</td>
</tr>
</tbody>
</table>

Net position - end of fiscal year
<table>
<thead>
<tr>
<th>Unallocated</th>
<th>Admin</th>
<th>Neighborhood</th>
</tr>
</thead>
<tbody>
<tr>
<td>$ 9,707</td>
<td>$ 629,457</td>
<td>$ 1,112,385</td>
</tr>
<tr>
<td>Highway Corridor</td>
<td>Transit</td>
<td>Active Transportation</td>
</tr>
<tr>
<td>-----------------</td>
<td>---------</td>
<td>-----------------------</td>
</tr>
<tr>
<td>$5,360,487</td>
<td>$4,288,390</td>
<td>$3,645,131</td>
</tr>
<tr>
<td>158,302</td>
<td>440</td>
<td>88,355</td>
</tr>
<tr>
<td>5,518,789</td>
<td>4,288,830</td>
<td>3,733,486</td>
</tr>
<tr>
<td>610,149</td>
<td></td>
<td>940,418</td>
</tr>
<tr>
<td></td>
<td></td>
<td>5,200</td>
</tr>
<tr>
<td>500,000</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>357,592</td>
<td>857,751</td>
<td>984,235</td>
</tr>
<tr>
<td></td>
<td>3,431,946</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>967,741</td>
<td>4,289,697</td>
<td>1,484,235</td>
</tr>
<tr>
<td>4,551,048</td>
<td>(867)</td>
<td>2,249,251</td>
</tr>
<tr>
<td>6,034,720</td>
<td>644,676</td>
<td>3,461,477</td>
</tr>
<tr>
<td></td>
<td>(643,496)</td>
<td></td>
</tr>
<tr>
<td>6,034,720</td>
<td>1,180</td>
<td>3,461,477</td>
</tr>
<tr>
<td>$10,585,768</td>
<td>$313</td>
<td>$5,710,728</td>
</tr>
</tbody>
</table>
### SANTA CRUZ COUNTY REGIONAL TRANSPORTATION COMMISSION
### MEASURE D FUND
### SUMMARY OF OUTGO BY PROJECT
For the Fiscal Year Ended June 30, 2019

<table>
<thead>
<tr>
<th>Deductions</th>
<th>Unallocated</th>
<th>Admin</th>
<th>Neighborhood</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries and benefits</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Services and supplies</td>
<td></td>
<td>$191,753</td>
<td>$</td>
</tr>
<tr>
<td>Consultant services</td>
<td></td>
<td>1,998</td>
<td></td>
</tr>
<tr>
<td>City of Capitola</td>
<td></td>
<td></td>
<td>332,722</td>
</tr>
<tr>
<td>City of Santa Cruz</td>
<td></td>
<td></td>
<td>1,349,081</td>
</tr>
<tr>
<td>City of Scotts Valley</td>
<td></td>
<td></td>
<td>288,317</td>
</tr>
<tr>
<td>City of Watsonville</td>
<td></td>
<td></td>
<td>902,300</td>
</tr>
<tr>
<td>County of Santa Cruz</td>
<td></td>
<td></td>
<td>3,060,948</td>
</tr>
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<td>Active Transportation</td>
<td>Rail Corridor</td>
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</table>
# SANTA CRUZ COUNTY REGIONAL TRANSPORTATION COMMISSION

## MEASURE D FUND

### SUMMARY OF REVENUE ALLOCATION BY MONTH - CASH BASIS

For the Fiscal Year Ended June 30, 2019

<table>
<thead>
<tr>
<th></th>
<th>July</th>
<th>August</th>
<th>September</th>
<th>October</th>
<th>November</th>
<th>December</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Revenues</strong></td>
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<td>$1,904,969</td>
<td>$2,650,591</td>
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<td>$1,944,488</td>
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<td>(71,380)</td>
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<td>1,569,656</td>
<td>1,944,488</td>
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<td><strong>Administration &amp; Implementation</strong></td>
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<td>14,574</td>
<td>19,050</td>
<td>26,506</td>
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<td>19,445</td>
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<td>9,856</td>
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<td>15,000</td>
<td>15,000</td>
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<td>$1,404,561</td>
<td>$1,843,538</td>
<td>$2,574,844</td>
<td>$1,514,662</td>
<td>$1,882,298</td>
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### Investment Categories

| **Neighborhood**       |           |           |           |           |           |           |
| SLV SR9                | $27,778   | $27,778   | $27,778   | $27,778   | $27,778   | $27,778   |
| HWY 17 Wildlife        | 13,889    | 13,889    | 13,889    | 13,889    | 13,889    | 13,889    |
| City of Capitola       | 28,224    | 21,339    | 28,740    | 41,069    | 23,195    | 29,393    |
| City of Santa Cruz     | 114,167   | 86,317    | 116,254   | 166,128   | 93,825    | 118,898   |
| City of Scotts Valley  | 24,599    | 18,598    | 25,049    | 35,795    | 20,215    | 25,618    |
| City of Watsonville    | 76,286    | 57,677    | 77,681    | 111,007   | 62,694    | 79,447    |
| County of Santa Cruz   | 258,935   | 195,771   | 263,671   | 376,787   | 212,801   | 269,666   |
| **Total Neighborhood** | 543,878   | 421,369   | 553,062   | 772,453   | 454,397   | 564,689   |
| **Highway Corridors**  |           |           |           |           |           |           |
| Highway Corridors       | 453,223   | 351,140   | 460,884   | 643,711   | 378,666   | 470,574   |
| **Transit/Paratransit**|           |           |           |           |           |           |
| Santa Cruz Metro        | 290,068   | 224,730   | 294,966   | 411,975   | 242,346   | 301,168   |
| Community Bridges       | 72,517    | 56,182    | 73,742    | 102,994   | 60,587    | 75,292    |
| **Total Transit/Paratransit** | 362,585 | 280,912   | 368,708   | 514,969   | 302,933   | 376,460   |
| **Active Transportation** |           |           |           |           |           |           |
| Active Transportation   | 308,198   | 238,775   | 313,401   | 437,723   | 257,493   | 319,991   |
| **Rail Corridor**       |           |           |           |           |           |           |
| Rail Corridor           | 145,034   | 112,365   | 147,483   | 205,988   | 121,173   | 150,584   |
| **Amount Distributed to Investment Categories** | $1,812,927| $1,404,561| $1,843,538| $2,574,844| $1,514,662| $1,882,298|

24
<table>
<thead>
<tr>
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<th>January</th>
<th>February</th>
<th>March</th>
<th>April</th>
<th>May</th>
<th>June</th>
<th>Total</th>
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<td>$ 1,781,863</td>
<td>$ 1,786,793</td>
<td>$ 1,289,095</td>
<td>$ 1,781,949</td>
<td>$ 21,246,912</td>
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<td>112,384</td>
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<td>$ 1,781,863</td>
<td>$ 1,786,793</td>
<td>$ 1,289,095</td>
<td>$ 1,781,949</td>
<td>$ 21,246,912</td>
</tr>
</tbody>
</table>
## SANTA CRUZ COUNTY REGIONAL TRANSPORTATION COMMISSION
### MEASURE D FUND
#### PRIOR YEAR SUMMARY OF REVENUE ALLOCATION BY MONTH - CASH BASIS

For the Fiscal Year Ended June 30, 2018

<table>
<thead>
<tr>
<th>Revenues</th>
<th>July</th>
<th>August</th>
<th>September</th>
<th>October</th>
<th>November</th>
<th>December</th>
</tr>
</thead>
<tbody>
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<td>$1,529,000</td>
<td>$2,455,390</td>
<td>$1,231,700</td>
<td>$1,642,200</td>
<td>$2,662,704</td>
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<tr>
<td>Board of Equalization Fees</td>
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<td>(50,520)</td>
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<td></td>
</tr>
<tr>
<td>Net Sales Tax</td>
<td>$1,146,700</td>
<td>$1,529,000</td>
<td>$2,404,870</td>
<td>$1,231,700</td>
<td>$1,642,200</td>
<td>$2,612,184</td>
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</table>

| Administration & Implementation | | | | | | |
| Admin Salaries & Benefits | 11,467 | 15,290 | 24,049 | 12,317 | 16,422 | 26,122 |
| Overhead Admin | 11,582 | 15,443 | 24,289 | 12,440 | 16,586 | 16,873 |
| Implementation & Oversight | 8,333 | 8,333 | 8,333 | 8,334 | 8,333 | 8,333 |
| Services & Supplies | 4,345 | 4,345 | 4,345 | 4,345 | 4,345 | 4,345 |
| Subtotal | 35,727 | 43,411 | 61,016 | 37,436 | 45,686 | 55,673 |

| Amount to Distribute to Investment Categories | $1,110,973 | $1,485,589 | $2,343,854 | $1,194,264 | $1,596,514 | $2,556,511 |

### Investment Categories

| Neighborhood | | | | | | |
| SLV SR9 | $27,778 | $27,778 | $27,778 | $27,778 | $27,778 | $27,778 |
| HWY 17 Wildlife | 13,889 | 13,889 | 13,889 | 13,889 | 13,889 | 13,889 |
| City of Capitola | 16,393 | 22,711 | 37,185 | 17,798 | 24,582 | 40,771 |
| City of Santa Cruz | 66,211 | 91,727 | 150,186 | 71,884 | 99,283 | 164,670 |
| City of Scotts Valley | 14,287 | 19,793 | 32,407 | 15,511 | 21,423 | 35,533 |
| City of Watsonville | 44,301 | 61,374 | 100,488 | 48,097 | 66,429 | 110,179 |
| County of Santa Cruz | 150,433 | 208,405 | 341,224 | 163,322 | 225,571 | 374,134 |
| Total Neighborhood | 333,292 | 445,677 | 703,157 | 358,279 | 478,955 | 766,954 |

| Highway Corridors | | | | | | |
| Highway Corridors | 277,743 | 371,397 | 585,963 | 298,566 | 399,129 | 639,128 |

| Transit/Paratransit | | | | | | |
| Santa Cruz Metro | 177,755 | 237,694 | 375,016 | 191,082 | 255,442 | 409,042 |
| Community Bridges | 44,439 | 59,424 | 93,755 | 47,771 | 63,861 | 102,260 |
| Total Transit/Paratransit | 222,194 | 297,118 | 468,771 | 238,853 | 323,303 | 511,302 |

| Active Transportation | | | | | | |
| Active Transportation | 188,866 | 252,549 | 398,455 | 203,025 | 271,406 | 434,606 |

| Rail Corridor | | | | | | |
| Rail Corridor | 88,878 | 118,848 | 187,508 | 95,541 | 127,721 | 204,521 |

<p>| Amount Distributed to Investment Categories | $1,110,973 | $1,485,589 | $2,343,854 | $1,194,264 | $1,596,514 | $2,556,511 |</p>
<table>
<thead>
<tr>
<th>January</th>
<th>February</th>
<th>March</th>
<th>April</th>
<th>May</th>
<th>June</th>
<th>Total</th>
</tr>
</thead>
<tbody>
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<td>$2,047,592</td>
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<td>(36,980)</td>
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<td>36,904</td>
<td>50,899</td>
<td>44,428</td>
<td>550,280</td>
</tr>
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</table>

| $1,273,347       | $1,702,055        | $2,149,359      | $1,224,796      | $1,939,713     | $1,609,195      | $20,186,170    |

| $27,778          | $27,778           | $27,778         | $27,778         | $27,778        | $27,778         | $333,336       |
| 13,889           | 13,889            | 13,889          | 13,889          | 13,889         | 13,889          | 166,668        |
| 19,132           | 26,361            | 33,904          | 18,312          | 30,368         | 24,794          | 312,311        |
| 77,271           | 106,471           | 136,937         | 73,963          | 122,658        | 100,145         | 1,261,406      |
| 16,673           | 22,974            | 29,550          | 15,961          | 26,468         | 21,611          | 272,191        |
| 51,701           | 71,239            | 91,624          | 49,489          | 82,071         | 67,008          | 844,000        |
| 175,560          | 241,904           | 311,126         | 168,047         | 278,682        | 227,533         | 2,865,941      |
| 382,004          | 510,616           | 644,808         | 367,439         | 581,914        | 482,758         | 6,055,853      |

| 318,337          | 425,514           | 537,340         | 306,199         | 484,928        | 402,298         | 5,046,542      |

| 203,735          | 272,328           | 343,898         | 195,968         | 310,355        | 257,472         | 3,229,787      |
| 50,934           | 68,083            | 85,974          | 48,991          | 77,588         | 64,367          | 807,447        |
| 254,669          | 340,411           | 429,872         | 244,959         | 387,943        | 321,839         | 4,037,234      |

| 216,470          | 289,350           | 365,391         | 208,215         | 329,751        | 273,564         | 3,431,648      |
| 101,867          | 136,164           | 171,948         | 97,984          | 155,177        | 128,736         | 1,614,893      |

| $1,273,347       | $1,702,055        | $2,149,359      | $1,224,796      | $1,939,713     | $1,609,195      | $20,186,170    |

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11-35
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TO: Regional Transportation Commission (RTC)

FROM: Tracy New, Director of Finance and Budget

RE: Amendments to the Fiscal Year (FY) 2019-20 Budget & Work Program

RECOMMENDATIONS

Staff recommends that the Regional Transportation Commission (RTC) approve the attached resolution (Attachment 1) authorizing the following:

1. The RTC’s FY 2019-20 budget and work program as shown on Exhibit A to Attachment 1.

2. Amending the Measure D 5-year program of projects for Rail to program funds as shown on Exhibit B to Attachment 1.

3. Amending the Measure D 5-year program of projects for Rail Trail to program funds as shown on Exhibit C to Attachment 1.

BACKGROUND

After review and recommendation from the B&A/P Committee, in April 2019, the Regional Transportation Commission (RTC) approved the initial budget for fiscal year (FY) 2019-20. In November 2019, the RTC approved the major fall amendment to the fiscal year (FY) 2018-19 budget and work program. An additional minor amendment was made in December 2019.

Due to work trends it is currently necessary to consider amendments to the RTC’s FY 2019-20 budget and work program.

DISCUSSION

At the beginning of each fiscal year the budget that is approved includes estimates for the work that is anticipated to be done. Usually, adjustments need to be made due to work trends. Therefore, a number of adjustments are included in this budget amendment as a result of more or less work than was estimated for various projects and planning efforts. Adjustments proposed include increases for repairs to the 2017 Storm Damage on the Santa Cruz County Branch Rail Line, maintenance on the Monterey Bay Sanctuary Scenic
Trail (MBSST) and additional work on Segment 18 in the City of Watsonville. FY2019-20 decreases in staff time are attributed to project timelines and for various other projects.

At the March 7, 2019, RTC meeting, the Commission approved Community Bridges/ Lift Line’s request to receive $292,605 of the RTC’s share of Low Carbon Transit Operations Program (LCTOP) funds to purchase one electric 9-passenger paratransit van ($171,075) and two level three charging stations in Watsonville and Felton ($121,530). Caltrans is distributing the funds through the RTC and the RTC budget needs to be amended in order to make payment of the previously approved funds to Lift Line.

**Therefore, staff recommends that the RTC approve the FY 2019-20 budget and work program as shown on Exhibit A of Attachment 1.**

**FISCAL IMPACT**

The budget adjustments do not change the overall staff resources previously approved by the RTC nor do they require additional funding. They simply reallocate the resources within the budget to better match the actual work to date.

LCTOP funds were received by the RTC in July 2019, this amendment will allow the RTC to disburse these funds allocated in a previous fiscal year.

**SUMMARY**

Due to work trends, it is necessary to consider amendments to the FY 2019-20 budget and work program.

Community Bridges/Lift Line is requesting a reimbursement for the Electric Vehicle (EV) Paratransit Project costs to date for the vehicle purchase and operations.

Staff recommends that that the RTC approve the proposed amended FY 2019-20 budget and work program, program Measure D, and disbursement of LCTOP funds to Community Bridges/Lift Line per Exhibit A of Attachment 1.

**Attachment:**

1. Resolution amending the FY 2019-20 budget and work program and Exhibit A: SCCRTC FY 2019-20 Budget and Work Program as amended
Exhibit B: Measure D Rail 5-year program of projects as amended

S:\RTC\TC2020\TC0520\Consent Agenda\FY1920 BudgAmend\FY1920BudgAmend-SR.docx
RESOLUTION NO.

Adopted by the Santa Cruz County Regional Transportation Commission
on the date of May 7, 2020
on the motion of Commissioner
duly seconded by Commissioner

A RESOLUTION AMENDING THE FY 2019-20 BUDGET AND WORK PROGRAM FOR
THE REGIONAL TRANSPORTATION COMMISSION
AND MEASURE D 5 YEAR PLAN FOR THE RAIL AND RAIL TRAIL PROGRAMS

WHEREAS, the Santa Cruz County Regional Transportation Commission
(RTC) adopts and periodically amends a budget and work program for each
fiscal year to guide its expenses and work;

BE IT RESOLVED BY THE SANTA CRUZ COUNTY REGIONAL TRANSPORTATION
COMMISSION:

1. The FY 2019-20 Budget and Work Program for the Santa Cruz County
Regional Transportation Commission (RTC) are hereby amended as shown
in Exhibit A;

2. The Measure D 5 year Program of Projects for the Rail category is hereby
amended, as shown in Exhibit B.

3. The Measure D 5 year Program of Projects for the Rail Trail category is
hereby amended, as shown in Exhibit C.

AYES: COMMISSIONERS

NOES: COMMISSIONERS

ABSTAIN: COMMISSIONERS

_____________________________
Bruce McPherson, Chair

ATTEST:

____________________________
Guy Preston, Secretary
Attachments: Exhibit A - SCCRTC FY 2019-20 Budget and Work Program as amended

Exhibit B – Measure D 5 year program of projects for Rail Category as amended

Distribution: RTC Fiscal

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## Apportionment Schedule

<table>
<thead>
<tr>
<th>FY2019/20 Budget</th>
<th>2019-20</th>
<th>2019-20</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approved</td>
<td>11/7/19</td>
<td>5/7/20</td>
<td></td>
</tr>
<tr>
<td>Proposed</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Low Carbon Transit Operations Program (LCTOP)</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Community Bridges</td>
<td>-</td>
<td>292,605</td>
<td>292,605</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>-</td>
<td>292,605</td>
<td>292,605</td>
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</table>

## Active Transportation

<table>
<thead>
<tr>
<th>FY2019/20 Budget</th>
<th>2019-20</th>
<th>2019-20</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approved</td>
<td>11/7/19</td>
<td>5/7/20</td>
<td></td>
</tr>
<tr>
<td>Proposed</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Revenues</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Measure D</td>
<td>1,169,250</td>
<td>1,186,250</td>
<td>17,000</td>
</tr>
<tr>
<td>Total Revenues</td>
<td>1,169,250</td>
<td></td>
<td>17,000</td>
</tr>
<tr>
<td><strong>Expenditures</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Allocated Labor Costs</td>
<td>242,925</td>
<td>258,019</td>
<td>15,094</td>
</tr>
<tr>
<td>Allocated Overhead (indirect costs)</td>
<td>272,075</td>
<td>288,981</td>
<td>16,906</td>
</tr>
<tr>
<td><strong>Total Salaries, Benefits &amp; Overhead</strong></td>
<td>515,000</td>
<td>547,000</td>
<td>32,000</td>
</tr>
<tr>
<td><strong>Services and Supplies</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MBSST Network</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General Technical Assistance</td>
<td>65,000</td>
<td>40,000</td>
<td>(25,000)</td>
</tr>
<tr>
<td>Corridor encroachment &amp; maint</td>
<td>189,250</td>
<td>189,250</td>
<td>-</td>
</tr>
<tr>
<td>Environmental Permits</td>
<td>240,000</td>
<td>240,000</td>
<td>-</td>
</tr>
<tr>
<td><strong>MBST City of Watsonville Segment 18:</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Legal Fees</td>
<td>500</td>
<td>500</td>
<td>-</td>
</tr>
<tr>
<td>Tech Asst (envl, survey, EHS, etc.)</td>
<td>9,500</td>
<td>19,500</td>
<td>10,000</td>
</tr>
<tr>
<td>Seg 18 Constr - to City of Wats</td>
<td>150,000</td>
<td>150,000</td>
<td>-</td>
</tr>
<tr>
<td><strong>Subtotal Services &amp; Supplies</strong></td>
<td>654,250</td>
<td>639,250</td>
<td>(15,000)</td>
</tr>
<tr>
<td><strong>Total Expenditures</strong></td>
<td>1,169,250</td>
<td>1,186,250</td>
<td>17,000</td>
</tr>
<tr>
<td><strong>Unappropriated Revenues:</strong></td>
<td>-</td>
<td>-</td>
<td></td>
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</table>

## Santa Cruz Branch Rail Line

<table>
<thead>
<tr>
<th>FY2019/20 Budget</th>
<th>2019-20</th>
<th>2019-20</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approved</td>
<td>11/7/19</td>
<td>5/7/20</td>
<td></td>
</tr>
<tr>
<td>Proposed</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Revenues</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Measure D</td>
<td>1,550,000</td>
<td>1,557,500</td>
<td>7,500</td>
</tr>
<tr>
<td>Interest</td>
<td>6,000</td>
<td>6,000</td>
<td>-</td>
</tr>
<tr>
<td>Leases, Licenses &amp; Other Rev</td>
<td>70,000</td>
<td>70,000</td>
<td>-</td>
</tr>
<tr>
<td>State-Other</td>
<td>510,631</td>
<td>510,631</td>
<td>-</td>
</tr>
<tr>
<td>FEMA</td>
<td>2,300,000</td>
<td>2,300,000</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total Revenues</strong></td>
<td>4,546,631</td>
<td>4,554,131</td>
<td>7,500</td>
</tr>
<tr>
<td><strong>Salaries, Benefits &amp; Overhead</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Allocated Labor Costs</td>
<td>111,557</td>
<td>158,726</td>
<td>47,170</td>
</tr>
<tr>
<td>Allocated Overhead</td>
<td>124,943</td>
<td>177,774</td>
<td>52,830</td>
</tr>
<tr>
<td><strong>Total Salaries, Benefits &amp; Overhead</strong></td>
<td>236,500</td>
<td>336,500</td>
<td>100,000</td>
</tr>
<tr>
<td><strong>Services &amp; Supplies</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Telephone &amp; Mobile Device</td>
<td>1,800</td>
<td>1,800</td>
<td>-</td>
</tr>
<tr>
<td>Liability Insurance</td>
<td>5,250</td>
<td>5,250</td>
<td>-</td>
</tr>
<tr>
<td>Repairs &amp; Maintenance</td>
<td>3,971,630</td>
<td>3,708,880</td>
<td>(262,750)</td>
</tr>
<tr>
<td>Legal Fees</td>
<td>92,500</td>
<td>50,000</td>
<td>(42,500)</td>
</tr>
<tr>
<td>Professional &amp; Special Serv</td>
<td>269,750</td>
<td>475,000</td>
<td>205,250</td>
</tr>
<tr>
<td>Contingency/Special Exp</td>
<td>15,000</td>
<td>15,000</td>
<td>-</td>
</tr>
<tr>
<td><strong>Subtotal Services &amp; Supplies</strong></td>
<td>4,355,930</td>
<td>4,255,930</td>
<td>(100,000)</td>
</tr>
<tr>
<td><strong>Total Expenditures</strong></td>
<td>4,592,430</td>
<td>4,592,430</td>
<td>-</td>
</tr>
<tr>
<td>From Reserve Funds:</td>
<td>45,799</td>
<td>38,299</td>
<td>-</td>
</tr>
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</table>

## Staffing Budget

<table>
<thead>
<tr>
<th>FY2019/20 Budget</th>
<th>2019-20</th>
<th>2019-20</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approved</td>
<td>11/7/19</td>
<td>5/7/20</td>
<td></td>
</tr>
<tr>
<td>Proposed</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Rail</strong></td>
<td>236,500</td>
<td>336,500</td>
<td>100,000 **</td>
</tr>
<tr>
<td><strong>Hwy</strong></td>
<td>1,201,832</td>
<td>1,069,832</td>
<td>(132,000)</td>
</tr>
<tr>
<td><strong>Bike Signage</strong></td>
<td>20,000</td>
<td>20,000</td>
<td>-</td>
</tr>
<tr>
<td><strong>MBST</strong></td>
<td>515,000</td>
<td>547,000</td>
<td>32,000 *</td>
</tr>
<tr>
<td><strong>Planning</strong></td>
<td>1,368,329</td>
<td>1,368,329</td>
<td>-</td>
</tr>
<tr>
<td><strong>Admin</strong></td>
<td>821,732</td>
<td>821,732</td>
<td>-</td>
</tr>
<tr>
<td><strong>Hwy 9 - SLV</strong></td>
<td>30,000</td>
<td>30,000</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>4,193,393</td>
<td>4,193,393</td>
<td>-</td>
</tr>
</tbody>
</table>

Staffing cost is calculated by adding salaries and benefits and multiplying times the Indirect Cost Allocation Plan (ICAP) factor of 112% to account for indirect costs.

Example cost calculation:

Salaries +benefits = $100, staff cost calculation for reimbursement purposes combines direct and indirect costs.

$100 (salaries + benefits) + $112 (indirect overhead) = $212 allocated to program.
## Measure D: 5-Year Program of Projects (FY19/20-FY23/24)
Approved 6/6/19; Amended 6/27/19; Amended 10/3/19. PROPOSED CHANGES will be taken for board approval on 5/7/20.

### Category: Rail Corridor (8% of Measure D Revenues)

<table>
<thead>
<tr>
<th>Project</th>
<th>Description</th>
<th>Prior Years</th>
<th>FY19/20</th>
<th>FY20/21</th>
<th>FY21/22</th>
<th>FY22/23</th>
<th>FY23/24</th>
<th>Total Measure D</th>
<th>2019 Updates</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Unified Corridor Investment Study</td>
<td>Analysis of rail corridor usage options</td>
<td>$775,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$775,000</td>
<td>Adds $150K in FY18/19 based on actual costs.</td>
</tr>
<tr>
<td>1a Alternatives Analysis</td>
<td>Analysis of high-capacity transit uses on rail corridor.</td>
<td>$13,000</td>
<td></td>
<td>$920,000</td>
<td></td>
<td></td>
<td></td>
<td>$933,000</td>
<td>10/19: Add $370,000 (previously $550,000). Includes consultant and staff time, and $13k match to grant. Identified from the UCS as the next step for the rail corridor.</td>
</tr>
<tr>
<td>2 2017 Storm Damage Repair &amp; Cleanup</td>
<td>Repair and cleanup of damage resulting from the 2017 winter storms including one washout, minor slides and various downed or compromised trees</td>
<td>$400,000</td>
<td></td>
<td>$250,000</td>
<td></td>
<td></td>
<td></td>
<td>$650,000</td>
<td>Increased $100,000 for additional work including staff and consultant. Proposed approval at the May 2020 RTC Meeting. Some work not covered by FEMA. Increased from $400k.</td>
</tr>
<tr>
<td>3 Railroad Bridge analysis</td>
<td>Updated engineering analysis of railroad bridges to complete bridge rehabilitation work outlined in engineering analysis completed in 2012</td>
<td>$450,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$450,000</td>
<td>No change. Bridge inspections completed in FY 18/19</td>
</tr>
<tr>
<td>3a Capitola Trestle Railroad Bridge analysis</td>
<td>Analysis of feasibility for building a trail on the bridge through Capitola Village and over Soquel Creek.</td>
<td>--- &gt;</td>
<td>--- &gt;</td>
<td>$50,000</td>
<td></td>
<td></td>
<td></td>
<td>$50,000</td>
<td>Funds shifted to FY20/21 6/27/19</td>
</tr>
<tr>
<td>4 Railroad Bridge Rehabilitation</td>
<td>Rehabilitation of railroad bridges consistent with analysis completed in 2012 and updated analysis proposed for 2018</td>
<td>--- &gt;</td>
<td>$500,000</td>
<td>$1,700,000</td>
<td></td>
<td></td>
<td></td>
<td>$2,200,000</td>
<td>Funds respread to reflect current schedule.</td>
</tr>
<tr>
<td>5 Track infrastructure and signage maintenance and repairs</td>
<td>On-going maintenance, repair and rehabilitation of railroad track infrastructure and signage</td>
<td>$100,000</td>
<td></td>
<td>$800,000</td>
<td>$166,841</td>
<td>$169,010</td>
<td>$171,207</td>
<td>$173,433</td>
<td>$1,580,491</td>
</tr>
<tr>
<td>6 Rail Transit or Other Projects Environmental Document</td>
<td>Preparation of environmental documents for projects on rail corridor resulting from the Unified Corridor Study</td>
<td>$0</td>
<td></td>
<td></td>
<td></td>
<td>$650,000</td>
<td>$1,150,000</td>
<td>$1,450,000</td>
<td>$750,000</td>
</tr>
<tr>
<td>7 Santa Cruz County Regional Conservation Investment Strategy - Grant match</td>
<td>Match to Wildlife Conservation Board grant for early mitigation planning for transportation projects.</td>
<td>$0</td>
<td></td>
<td></td>
<td></td>
<td>$8,160</td>
<td></td>
<td></td>
<td>$8,160</td>
</tr>
<tr>
<td>8 Rail Agreement Lawsuit</td>
<td>Defense against CEQA lawsuit regarding the rail operator agreement</td>
<td>$200,000</td>
<td></td>
<td>$0</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$200,000</td>
</tr>
</tbody>
</table>

**Estimated Annual Measure D Expenditures**

<table>
<thead>
<tr>
<th></th>
<th>FY19/20</th>
<th>FY20/21</th>
<th>FY21/22</th>
<th>FY22/23</th>
<th>FY23/24</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Estimated Annual Measure D Expenditures</td>
<td>$1,938,000</td>
<td>$2,478,160</td>
<td>$2,566,841</td>
<td>$1,319,010</td>
<td>$1,621,207</td>
<td>$923,433</td>
</tr>
</tbody>
</table>

---

12-6
### Rail Trail Project/Program

#### Description
- Allocation to City of Santa Cruz for Segment 7 rail trail
- RTC project management, oversight, outreach and technical assistance
  (consultants, legal, Environmental Health Services & ROW)
- Allocation to City of SC for widening of existing walkway on the existing railroad bridge over San Lorenzo River near Boardwalk
- Allocation to City of SC: $2M set aside to serve as match for construction grants. Joint project with County.
- Ongoing maintenance. Includes restriping, sweeping, vegetation management, mitigations, and periodic repaving.

### Planned Use

<table>
<thead>
<tr>
<th>Rail Trail Project/Program</th>
<th>Description</th>
<th>Prior Years Spent</th>
<th>FY19/20</th>
<th>FY20/21</th>
<th>FY21/22</th>
<th>FY22/23</th>
<th>FY23/24</th>
<th>Total Measure D</th>
<th>2019 Updates</th>
<th>Estimated Construction start date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>1</strong></td>
<td>Segment 7: Natural Bridges to Bay/California (Phase I), Bay/California to Wharf (Phase II), City of Santa Cruz (SC) lead</td>
<td>Allocation to City of Santa Cruz for Segment 7 rail trail</td>
<td>---&gt;</td>
<td>$2,100,000</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$2,100,000</td>
<td>Shift $1.1M for ph. 1 to FY19/20 &amp; add $1 million per City of SC request for Phase 2 for construction, contingent on city securing other funds for balance of Ph. 2. Shift capital funds to FY19/20 based on updated schedule.</td>
</tr>
<tr>
<td><strong>1A</strong></td>
<td>Segment 7: Natural Bridges to Bay/California (Phase I), Bay/California to Wharf (Phase II), City of Santa Cruz (SC) lead</td>
<td>RTC project management, oversight, outreach and technical assistance (consultants, legal, Environmental Health Services &amp; ROW)</td>
<td>$91,972</td>
<td>$100,000</td>
<td>$50,000</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$241,972</td>
<td>Update RTC and technical assistance costs (previously $245k).</td>
</tr>
<tr>
<td><strong>2</strong></td>
<td>Seg 8: San Lorenzo River trestle widening, City of Santa Cruz</td>
<td>Allocation to City of SC for widening of existing walkway on the existing railroad bridge over San Lorenzo River near Boardwalk</td>
<td>$500,000</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$500,000</td>
<td>No change.</td>
</tr>
<tr>
<td><strong>2A</strong></td>
<td>Seg 8: San Lorenzo River trestle widening, City of Santa Cruz</td>
<td>RTC project management, oversight, outreach and technical assistance (consultants, legal, Environmental Health Services &amp; ROW)</td>
<td>$12,500</td>
<td>$10,000</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$22,500</td>
<td>Updates RTC and technical assistance costs (previously $15k)</td>
</tr>
<tr>
<td><strong>3</strong></td>
<td>Seg 8/9: SC Wharf to 17th Ave., City of SC lead (partnership with County)</td>
<td>Allocation to City of SC: $2M set aside to serve as match for construction grants. Joint project with County.</td>
<td>$0</td>
<td>-</td>
<td>---&gt;</td>
<td>---&gt;</td>
<td>---</td>
<td>$2,000,000</td>
<td>$2,000,000</td>
<td>Shifted funds from FY 20/21</td>
</tr>
<tr>
<td><strong>3A</strong></td>
<td>Seg 8/9: SC Wharf to 17th Ave., City of SC lead (partnership with County)</td>
<td>RTC project management, oversight, outreach and technical assistance (consultants, legal, Environmental Health Services &amp; ROW)</td>
<td>$0</td>
<td>$40,000</td>
<td>$40,000</td>
<td>$40,000</td>
<td>$40,000</td>
<td>$0</td>
<td>$200,000</td>
<td>Add FY22/23 and FY23/24 estimates.</td>
</tr>
<tr>
<td><strong>4</strong></td>
<td>City of SC trail maintenance and operations</td>
<td>Ongoing maintenance. Includes restriping, sweeping, vegetation management, mitigations, and periodic repaving.</td>
<td>$0</td>
<td>$50,000</td>
<td>$50,000</td>
<td>$50,000</td>
<td>$50,000</td>
<td>$0</td>
<td>$250,000</td>
<td>Add FY23/24 at same level; add $25K to FY19/20</td>
</tr>
<tr>
<td><strong>5</strong></td>
<td>Segment 18: Lee Rd-Walker, Watsonville</td>
<td>Allocation to City of Watsonville for trail construction.</td>
<td>$0</td>
<td>$150,000</td>
<td>$0</td>
<td>$2,800,000</td>
<td>$0</td>
<td>$0</td>
<td>$2,950,000</td>
<td>Shift funds to match current schedule and add $2.8M of city's $3.8M request, contingent on city securing other funds for balance of construction cost.</td>
</tr>
<tr>
<td><strong>5A</strong></td>
<td>Segment 18: Lee Rd-Walker, Watsonville</td>
<td>RTC project management, oversight, outreach and technical assistance (consultants, legal, Environmental Health Services &amp; ROW)</td>
<td>$62,775</td>
<td>$37,000</td>
<td>$20,000</td>
<td>$20,000</td>
<td>$0</td>
<td>$0</td>
<td>$139,775</td>
<td>Additional work on Segment 18 including staff costs and SCC Environmental Health Services. Updates RTC and technical assistance costs, adding funds in FY20/21-21/22.</td>
</tr>
</tbody>
</table>

---

**Measure D: 5-Year Program of Projects (FY19/20-23/24)**

Approved 6/6/19, Amended 12/5/19. PROPOSED CHANGES will be taken for board approval on 5/7/20.

Category: **Active Transportation/MBSST-Rail Trail (17% of Measure D Revenues)**
<table>
<thead>
<tr>
<th>Rail Trail Project/Program</th>
<th>Description</th>
<th>Prior Years Spent</th>
<th>FY19/20</th>
<th>FY20/21</th>
<th>FY21/22</th>
<th>FY22/23</th>
<th>FY23/24</th>
<th>Total Measure D</th>
<th>2019 Updates</th>
<th>Estimated Construction start date</th>
</tr>
</thead>
<tbody>
<tr>
<td>6 City of Watsonville trail maintenance and operations</td>
<td>Ongoing maintenance. Includes restriping, sweeping, vegetation management, mitigations, and periodic repaving.</td>
<td>$0</td>
<td>$0</td>
<td>$10,000</td>
<td>$11,000</td>
<td>$11,000</td>
<td>$11,000</td>
<td>$43,000</td>
<td>Add funds for FY23/24 maintenance.</td>
<td>ongoing</td>
</tr>
<tr>
<td>7 North Coast Segment 5</td>
<td>RTC project mgmt, oversight, outreach and technical assistance (EIR consultants, legal, Environmental Health Services &amp; ROW)</td>
<td>$1,216,939</td>
<td>$240,000</td>
<td>$160,000</td>
<td>$150,000</td>
<td>$0</td>
<td>$0</td>
<td>$1,766,939</td>
<td>Updated costs</td>
<td>est 2021</td>
</tr>
<tr>
<td>8 North Coast Segment 5: trail maintenance and operations</td>
<td>Ongoing maintenance of sections of trail once constructed. Includes restriping, sweeping, vegetation management, mitigations, and periodic repaving.</td>
<td>$0</td>
<td>-</td>
<td>$100,000</td>
<td>$125,000</td>
<td>$125,000</td>
<td>$350,000</td>
<td>$3,825,000</td>
<td>Deleted FY21/22 funds, adds funds for FY23/24.</td>
<td>ongoing</td>
</tr>
<tr>
<td>9 North Coast Seg 5: Trail construction and reserve to match grants</td>
<td>Funds to serve as match to grant application(s)</td>
<td>$0</td>
<td>$0</td>
<td>$3,825,000</td>
<td>-</td>
<td>-</td>
<td>$0</td>
<td>$3,825,000</td>
<td>12/5/19-RTC added $125,000 for Davenport crosswalk</td>
<td>est. 2021</td>
</tr>
<tr>
<td>10 Segment 10-12: Segment 10 (17th-47th/Jade St. park), Seg 11 (Monterey to St. Park Dr), &amp; Seg 12 (St Park to Aptos Creek Rd) PA/ED; Preliminary Analysis of 17th Ave-47th Ave/Jade St. Park.</td>
<td>Allocation to County DPW: Environmental Review and Preliminary design, right of way research/surveys, assessments, and grant writing services. County DPW-Capitola project.</td>
<td>$0</td>
<td>$1,333,333</td>
<td>$1,333,333</td>
<td>$1,333,333</td>
<td>$0</td>
<td>$0</td>
<td>$4,000,000</td>
<td>Expand scope. Increase from $200K previously allocated to Seg 10 to $4M total for expanded project length and level of analysis.</td>
<td>TBD</td>
</tr>
<tr>
<td>11 Capitola Trail: City Hall to Monterey Ave</td>
<td>RTC project mgmt, oversight, outreach and technical assistance (consultants, legal, Environmental Health Services &amp; ROW)</td>
<td>$0</td>
<td>$50,000</td>
<td>$50,000</td>
<td>$50,000</td>
<td>$50,000</td>
<td>$50,000</td>
<td>$250,000</td>
<td>Increased funds due to expanded scope; added FY23/24</td>
<td>TBD</td>
</tr>
<tr>
<td>12 Ongoing RTC oversight, coordination, and assistance, including on development of future rail sections.</td>
<td>RTC: Surveys, Environmental Health (EHS), legal, stakeholder coordination, response to public comments, and development of future projects/grant applications</td>
<td>$304,767</td>
<td>$235,000</td>
<td>$210,000</td>
<td>$285,000</td>
<td>$345,000</td>
<td>$345,000</td>
<td>$1,724,767</td>
<td>Updated estimated costs, adds FY23/24</td>
<td>ongoing</td>
</tr>
<tr>
<td>13 Santa Cruz County Regional Conservation Investment Strategy - Grant match</td>
<td>Match to Wildlife Conservation Board grant for early mitigation planning for transportation projects.</td>
<td>$0</td>
<td>$17,340</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>$17,340</td>
<td>New - approved by RTC May 2, 2019</td>
<td>TBD</td>
</tr>
<tr>
<td>14 Corridor encroachments &amp; maintenance</td>
<td>Ongoing corridor maintenance, including vegetation, tree removal, trash, graffiti, drainage, encroachments, storm damage repairs outside of what is required for railroad operations</td>
<td>$502,724</td>
<td>$499,250</td>
<td>$519,250</td>
<td>$519,250</td>
<td>$519,250</td>
<td>$519,250</td>
<td>$3,078,974</td>
<td>Updated estimated costs FY17/18-19/20 (slightly lower), adds FY23/24</td>
<td>ongoing</td>
</tr>
</tbody>
</table>

**Estimated Annual Measure D Expenditures**

<table>
<thead>
<tr>
<th>FY17/18</th>
<th>FY18/19</th>
<th>FY19/20</th>
<th>FY20/21</th>
<th>FY21/22</th>
<th>FY22/23</th>
<th>FY23/24</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>$2,691,677</td>
<td>$4,876,923</td>
<td>$6,267,583</td>
<td>$5,358,583</td>
<td>$3,140,250</td>
<td>$1,140,250</td>
<td>$23,475,267</td>
<td></td>
</tr>
</tbody>
</table>
TO: Regional Transportation Commission  
FROM: Yesenia Parra, Administrative Services Officer  
RE: Reject claim from Annie H Bradfield represented by Haselton, Haselton & Liddicoat LLP

RECOMMENDATIONS

Staff recommends that the Regional Transportation Commission (RTC) approve the Notice of Rejection for the claim from Annie H. Bradfield represented by Haselton, Haselton & Liddicoat LLP for a collision near the West Cliff pedestrian/bicycle path near David Way in the City of Santa Cruz.

BACKGROUND

As a public agency involved in transportation projects, the RTC is subject to liability and legal claims due to incidents on facilities of the county’s transportation system.

DISCUSSION

On April 29, 2020 the RTC received a claim, (Attachment 1) from Annie H. Bradfield represented by Haselton, Haselton & Liddicoat LLP for a fatal collision that occurred on November 1, 2019. The collision happened near the West Cliff pedestrian/bicycle path in the City of Santa Cruz near David Way.

Mr. Bob Bradfield was operating his bicycle on West Cliff and lost his life as a result of this collision. This facility is not owned or operated by the RTC. The RTC did provide some funding for the City of Santa Cruz West Cliff bicycle and pedestrian path.

Staff has reviewed the claim with the RTC’s insurance carrier, Special District Risk Management Authority (SDRMA), and recommends that the Commission reject Annie H. Bradfield’s claim and direct staff to work with RTC’s insurance carrier and legal counsel on next steps for this claim.
SUMMARY

On April 29, 2020 the RTC received a claim Annie H. Bradfield represented by Haselton, Haselton & Liddicoat LLP for a fatal collision that occurred on November 1, 2019. Staff has reviewed the claim with its insurance carrier and recommends that the Commission reject the claim from Annie H. Bradfield. Staff will work with the RTC’s insurance carrier and legal counsel on next steps.

Attachments:
   1. Claim from Annie H. Bradfield
GOVERNMENTAL CLAIM

(Government Code §900, et seq.)

County of Santa Cruz
Santa Cruz County Department of Public Works
City of Santa Cruz
City of Santa Cruz Public Works Department
Santa Cruz County Regional Transportation Commission
California Coastal Commission

YOU ARE HEREBY NOTIFIED of the claims of the individual identified below for

damages against the County of Santa Cruz, Santa Cruz County Department of Public Works, City of
Santa Cruz, the City of Santa Cruz Public Works Department, the Santa Cruz County Regional
Transportation Commission, and the California Coastal Commission ("the governmental entities").

1. Name and address of Claimant:

   Annie H. Bradfield
   8071 Valencia Street
   Aptos, CA 95003

2. Notices

   All notices concerning this claim should be sent to Joseph G. Haselton, Esq., Haselton,
   Haselton & Liddicoat LLP, 2425 Porter Street, Suite 14, Soquel, California 95073, telephone (4831)
   475-4679, facsimile (831) 462-0724.

3. Description of Occurrence

   (a) Date: The death of Bob Bradfield, deceased on 11/1/2019, date of birth, 03/21/1961.
   (b) Place: Bob Bradfield died on November 1, 2019 near the West Cliff
pedestrian/bicycle path in the area of West Cliff Drive and David Way.
   (c) Names of Public Employees: The names of the public employees who contributed to
the occurrence are presently unknown.
   (d) Circumstances: The governmental entities against whom claims are asserted here
owned, constructed, planned, improved, and/or had a fee or lesser interest in, and/or had an easement
on or over, and/or maintained and/or had a duty to maintain certain real property, including, but not

limited to, roadways, bicycle and pedestrian paths, beach access, and other works of public
improvement within and connecting to public improvements located in the area of West Cliff Drive
and David Way, Santa Cruz (hereinafter "West Cliff"). These governmental entities owed duties to
the claimant, including but not limited to, maintaining the real property and improvements such that
they would not cause or result in sight obstruction to pedestrians and bicyclists, the maintenance of
appropriate speed recommendations, sight lines, safety measures, paving, lining, fencing, warnings,
and that the present conditions would not constitute a "trap", for users of "West Cliff"). These duties
further included, but were not limited to, warning said users of the dangerous conditions that therein
exist. The governmental entities against whom the claims are asserted breached these duties. As a
result of these breaches of duty, "West Cliff" does not have adequate speed recommendation,
warning signs, and other issues as herein noted causing and resulting in the bicycle accident which
occurred on November 1, 2019, in which the decedent, Bob Bradfield was killed while operating his
bicycle on "West Cliff". As a result of the breaches of duty and the resulting death of Bob Bradfield,
his wife Annie Bradfield has suffered ongoing and debilitating emotional distress and injury. The
family of a person killed by the wrongful act or neglect of another may recover the present value of
their respective pecuniary losses, including loss of comfort, society, and protection. See Code of
Civil Procedure Sections 377.60, 377.61; Burk v. Arcata and Mad River Railroad (1899) 125
C.364, 369; Montanez v. Beard (1929) 207 C.379; Wilson v. City and County of San Francisco

Statutory obligations also exist to the government entities herein including, but in no way
limited to Government Code Sections 830, 830.4, 830.8, 835, 835.2, 835.4, and 840.2.

Finally, the governmental entities as listed provided unreasonable conduct in the
maintenance, control and design of dedicated roads, rights of way and other public improvements on
"West Cliff" in Santa Cruz County, California and was further a substantial factor in additional
cause of the damages sustained by claimant. All governmental entities failed to act reasonably and
with due care by permitting and allowing the dangerous condition to continue and exist, by posting
inadequate and improper speed signs, by posting and failing to post adequate warning signs, by the
installation of inadequate fencing, by designing "West Cliff" not taking into consideration the safety
of the foreseeable users of "West Cliff", and as a result of said actions and/or omissions, caused the
damages as alleged herein.

In failing to act as described herein said entities were negligent, failed to discharge mandatory
duties, allowed and maintained dangerous conditions on public property, unreasonably failed to
control a public work of improvement, created a nuisance, and were strictly liable.

Further, the design, construction and maintenance of "West Cliff" imposed an unreasonable
risk of harm to the claimant, and such unreasonable design, construction and/or maintenance
constituted a substantial legal and proximate cause of the damage sustained by claimant.

Further, all governmental entities are liable because of their unreasonable conduct in failure
to deal with changed conditions of the public improvements at "West Cliff", which were a
substantial factor and proximate legal cause of the damages sustained by claimant.

(e) Basis for Legal Liability: The governmental entities are liable to claimant, based upon
the circumstances described above, including, but in no way limited to the following legal theories:
(1) negligence; (2) breach of mandatory duty; (3) strict liability; (4) dangerous condition of public
property; (5) nuisance (6) statutory obligations, (7) intentional and negligent infliction of emotional
distress...

4. Description of Injury and Damage

Claimant suffered severe emotional injuries as a result of the death of her husband. The
family of a person killed by the wrongful act or neglect of another may recover the present value of
their respective pecuniary losses, including loss of comfort, society, and protection. See Code of
Civil Procedure Sections 377.60, 377.61; Burk v. Arcata and Mad River Railroad (1899) 125
C.364, 369; Montañez v. Beard (1929) 207 C.379; Wilson v. City and County of San Francisco

Personal Injury

Emotional Injury

Claimants emotional distress and personal injury includes but is in no way limited to,
nervousness, anxiety, sleeplessness, digestive system disorders, fear, behavioral problems, and other
symptoms. Claimant further suffers from all legally compensable damages associated with a
wrongful death claim, including any and all claims associated with wage loss and future wage loss as
a result of the death of Bob Bradfield.
5. Amount of Claim

The amount of damages to date for personal, emotional injuries, wage loss and damages
associated with wrongful death, are within the jurisdictional limits of the Superior Court in an
amount in excess of $1,000,000.00.

Dated: April 28, 2020

Joseph G. Haselton
Attorney for Claimant
PROOF OF SERVICE BY MAIL, HAND DELIVERY, FACSIMILE, ELECTRONIC SERVICE

CCP §1013a, 2015.5, CAL. RULES OF COURT 2.251

I, the undersigned, declare:

I am employed in the City of Soquel, County of Santa Cruz, California; I am over the age of eighteen years and not a party to the within cause; my business address is: 2425 Porter Street, Ste. 14, Soquel, California, 95073.

On April 28, 2020, I served the within documents: GOVERNMENT CLAIM on the interested parties in said cause, addressed as follows:

CLERK OF THE BOARD OF SUPERVISORS 701 OCEAN STREET ROOM 520 SANTA CRUZ, CALIFORNIA 95060

SANTA CRUZ COUNTY DEPARTMENT OF PUBLIC WORKS 701 OCEAN STREET, ROOM 410, SANTA CRUZ, CALIFORNIA 95060

BONNIE BUSH, SANTA CRUZ CITY CLERK ADMINISTRATOR 809 CENTER STREET ROOM 9 SANTA CRUZ, CALIFORNIA 95060

SANTA CRUZ CITY DEPARTMENT OF PUBLIC WORKS 809 CENTER STREET ROOM 201 SANTA CRUZ, CALIFORNIA 95060

SANTA CRUZ COUNTY REGIONAL TRANSPORTATION COMMISSION ATTN: YESenia Parra 1523 PACIFIC AVENUE SANTA CRUZ CA 95060

CALIFORNIA COASTAL COMMISSION C/O Government Claims Program
Office of Risk and Insurance Management, Department of General Services
P.O. Box 989052 MS-414, West Sacramento, CA 95798-9052

by the method indicated below:

[ x] BY MAIL. By placing true copies thereof enclosed in a sealed envelope, with postage thereon fully prepaid, in the United States mail at Soquel, California.

[ ] BY PERSONAL SERVICE. By personally hand-delivering true copies thereof, on this date, enclosed in a sealed envelope.

[ ] BY FACSIMILE. By transmitting by facsimile true copies thereof, on this date, to the offices of the addressee(s) using a facsimile machine which complies with Rule 2003(3) of the California Rules of Court; said facsimile was reported as complete and without error at the time specified on the transmission confirmation which was properly issued by the transmitting facsimile machine operating at (831) 462-0724.

[ ] BY OVERNIGHT DELIVERY. By placing true copies thereof, enclosed in a sealed envelope provided by an overnight delivery carrier and addressed to the persons at the addresses noted above for collection and overnight delivery at an office or a regularly utilized drop box of the overnight delivery carrier.

[ ] BY ELECTRONIC SERVICE. By electronically serving the documents to the
attorneys/parties listed above at their respective email addresses, on this date, from haseltonesq@gmail.com at or around 4:45 pm.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct, and that this declaration was executed on April 28, 2020, at Soquel, California.

Joseph G. Haselton
GOVERNMENTAL CLAIM

(Government Code §900, et seq.)

County of Santa Cruz
Santa Cruz County Department of Public Works
City of Santa Cruz
City of Santa Cruz Public Works Department
Santa Cruz County Regional Transportation Commission
California Coastal Commission

YOU ARE HEREBY NOTIFIED of the claims of the individual identified below for damages against the County of Santa Cruz, Santa Cruz County Department of Public Works, City of Santa Cruz, the City of Santa Cruz Public Works Department, the Santa Cruz County Regional Transportation Commission, and the California Coastal Commission ("the governmental entities").

1. Name and address of Claimant:
   Annie H. Bradfield
   8071 Valencia Street
   Aptos, CA 95003

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3. Description of Occurrence
   (a) Date: The death of Bob Bradfield, deceased on 11/1/2019, date of birth, 03/21/1961.
   (b) Place: Bob Bradfield died on November 1, 2019 near the West Cliff pedestrian/bicycle path in the area of West Cliff Drive and David Way.
   (c) Names of Public Employees: The names of the public employees who contributed to the occurrence are presently unknown.
   (d) Circumstances: The governmental entities against whom claims are asserted here owned, constructed, planned, improved, and/or had a fee or lesser interest in, and/or had an easement on or over, and/or maintained and/or had a duty to maintain certain real property, including, but not
limited to, roadways, bicycle and pedestrian paths, beach access, and other works of public
improvement within and connecting to public improvements located in the area of West Cliff Drive
and David Way, Santa Cruz (hereinafter "West Cliff"). These governmental entities owed duties to
the claimant, including but not limited to, maintaining the real property and improvements such that
they would not cause or result in sight obstruction to pedestrians and bicyclists, the maintenance of
appropriate speed recommendations, sight lines, safety measures, paving, lining, fencing, warnings,
and that the present conditions would not constitute a "trap", for users of "West Cliff". These duties
further included, but were not limited to, warning said users of the dangerous conditions that therein
exist. The governmental entities against whom the claims are asserted breached these duties. As a
result of these breaches of duty, "West Cliff" does not have adequate speed recommendation,
warning signs, and other issues as herein noted causing and resulting in the bicycle accident which
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wrongful death claim, including any and all claims associated with wage loss and future wage loss as
a result of the death of Bob Bradfield.

5. **Amount of Claim**

The amount of damages to date for personal, emotional injuries, wage loss and damages
associated with wrongful death, are within the jurisdictional limits of the Superior Court in an
amount in excess of $1,000,000.00.

Dated: April 28, 2020

[Signature]

Joseph G. Haselton
Attorney for Claimant
PROOF OF SERVICE BY MAIL, HAND DELIVERY, FACSIMILE, ELECTRONIC SERVICE

CCP §1013a, 2015.5, CAL. RULES OF COURT 2.251

I, the undersigned, declare:

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SANTA CRUZ COUNTY DEPARTMENT OF PUBLIC WORKS 701 OCEAN STREET, ROOM 410, SANTA CRUZ, CALIFORNIA 95060

BONNIE BUSH, SANTA CRUZ CITY CLERK ADMINISTRATOR 809 CENTER STREET ROOM 9 SANTA CRUZ, CALIFORNIA 95060

SANTA CRUZ CITY DEPARTMENT OF PUBLIC WORKS 809 CENTER STREET ROOM 201 SANTA CRUZ, CALIFORNIA 95060

SANTA CRUZ COUNTY REGIONAL TRANSPORTATION COMMISSION ATTN: YESENIA PARRA 1523 PACIFIC AVENUE SANTA CRUZ CA 95060

CALIFORNIA COASTAL COMMISSION C/O Government Claims Program Office of Risk and Insurance Management, Department of General Services P.O. Box 989052 MS-414, West Sacramento, CA 95798-9052

by the method indicated below:

[ x ] BY MAIL. By placing true copies thereof enclosed in a sealed envelope, with postage thereon fully prepaid, in the United States mail at Soquel, California.

[ ] BY PERSONAL SERVICE. By personally hand-delivering true copies thereof, on this date, enclosed in a sealed envelope.

[ ] BY FACSIMILE. By transmitting by facsimile true copies thereof, on this date, to the offices of the addressee(s) using a facsimile machine which complies with Rule 2003(3) of the California Rules of Court; said facsimile was reported as complete and without error at the time specified on the transmission confirmation which was properly issued by the transmitting facsimile machine operating at (831) 462-0724.

[ ] BY OVERNIGHT DELIVERY. By placing true copies thereof, enclosed in a sealed envelope provided by an overnight delivery carrier and addressed to the persons at the addresses noted above for collection and overnight delivery at an office or a regularly utilized drop box of the overnight delivery carrier.

[ ] BY ELECTRONIC SERVICE electronically serving the documents to the
attorneys/parties listed above at their respective email addresses, on this date, from haseltonesq@gmail.com at or around 4:45 pm.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct, and that this declaration was executed on April 28, 2020, at Soquel, California.

[Signature]
Joseph G. Haselton
# Santa Cruz County Regional Transportation Commission

## THREE MONTH MEETING SCHEDULE

### May 2020 Through July 2020

All meetings are subject to cancellation when there are no action items to be considered by the board or committee. Please visit our website for meeting agendas and locations: [www.sccrtc.org/meetings/](http://www.sccrtc.org/meetings/)

### COVID-19 NOTE:
If shelter-in-place orders are still in effect for Santa Cruz County during the time of the meeting, that meeting will be held via teleconference only.

Instructions for joining via teleconference will be provided in that meeting’s agenda. More information can be found at our website.

<table>
<thead>
<tr>
<th>Meeting Date</th>
<th>Meeting Day</th>
<th>Meeting Type</th>
<th>Meeting Time</th>
<th>Meeting Place</th>
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<tbody>
<tr>
<td>05/07/20</td>
<td>Thursday</td>
<td>Regional Transportation Commission</td>
<td>9:00 am</td>
<td>Teleconference</td>
</tr>
<tr>
<td>05/21/20</td>
<td>Thursday</td>
<td>Interagency Technical Advisory Committee</td>
<td>1:30 pm</td>
<td>Commission Offices</td>
</tr>
<tr>
<td>06/04/20</td>
<td>Thursday</td>
<td>Regional Transportation Commission</td>
<td>9:00 am</td>
<td>Watsonville City Council Chambers</td>
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<tr>
<td>06/08/20</td>
<td>Monday</td>
<td>Bicycle Advisory Committee</td>
<td>6:00 pm</td>
<td>Community Foundation Santa Cruz County</td>
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<tr>
<td>06/09/20</td>
<td>Tuesday</td>
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<td>06/11/20</td>
<td>Thursday</td>
<td>Budget and Administration/Personnel</td>
<td>3:00 pm</td>
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<tr>
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<td>Thursday</td>
<td>Interagency Technical Advisory Committee</td>
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No RTC or committee meetings in July

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RTC Commission Offices – 1523 Pacific Ave. Santa Cruz, CA 95060
Community Foundation Santa Cruz County – 7807 Soquel Dr., Aptos, CA 95003
Watsonville City Council Chambers – 275 Main St. #400, Watsonville, CA 95076

Teleconference – See agenda for details
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<tr>
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<tr>
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<tr>
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<td>N/A</td>
<td>SCCRTC</td>
<td>Joan</td>
<td>Steele</td>
<td>Citizen</td>
<td>Please no train, build a walking bike path only</td>
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<td>Dion</td>
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<td>SCCRTC</td>
<td>Jack</td>
<td>Brown</td>
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<td>Stop wasting time with studies. Build a trail on the corridor now.</td>
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<td>Aird</td>
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<td>SCCRTC</td>
<td>Doug</td>
<td>Valby</td>
<td>Citizen</td>
<td>Grant every low-income and handicapped person an electric tricycle. No rail transit on the corridor</td>
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<td>Bud</td>
<td>Colligan</td>
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<td>Support for bike, peds, and small electric shuttle options on the corridor. No rail transit.</td>
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<td>First</td>
<td>Last</td>
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<td>Cassada</td>
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<td>Leslie</td>
<td>Ingham</td>
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## PROJECTS UNDER CONSTRUCTION

<table>
<thead>
<tr>
<th>Project</th>
<th>Location</th>
<th>Description</th>
<th>Construction Timeline</th>
<th>Construction Cost</th>
<th>Funding Source</th>
<th>Project Manager (Resident Engineer)</th>
<th>Contractor</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Santa Cruz 1 CAPM and Bridge Rails (1C85U)</td>
<td>In and near Santa Cruz from North Aptos up to Jct. Route 9 PM (10.2 to 17.5)</td>
<td>Pavement Rehabilitation, ADA Curb Ramps, Guardrail/BARRIER rail/bridge</td>
<td>June 2, 2019 – Fall 2020</td>
<td>$22 million</td>
<td>SHOPP</td>
<td>Luis Duazo (GG)</td>
<td>Granite Construction Company Watsonville, CA</td>
</tr>
<tr>
<td>2.</td>
<td>Highway 9 Spring Creek Road Soldier Pile Wall (1K140)</td>
<td>Near Boulder Creek at Spring Creek Road (PM 15)</td>
<td>Construct Soldier pile wall restore roadway and facilities, place water pollution control BMPs, erosion control</td>
<td>Summer 2019—Spring 2020</td>
<td>$2.8 million</td>
<td>SHOPP</td>
<td>Doug Hessing (BR)</td>
<td>Gordon N. Ball, Inc. Alamo, CA</td>
</tr>
<tr>
<td>3.</td>
<td>Highway 17 Pasatiempo Shoulder Widening (1C670)</td>
<td>South of Pasatiempo overcrossing (PM 0.2/0.5)</td>
<td>Shoulder widening and soil nail wall</td>
<td>Spring 2019- Summer 2020</td>
<td>$5.7 million</td>
<td>SHOPP</td>
<td>Luis Duazo (BR)</td>
<td>Graniterock Company Watsonville, CA</td>
</tr>
<tr>
<td>4.</td>
<td>Highway 17 North Route 17 CAPM (1F760)</td>
<td>Scotts Valley from just north of the Granite Creek Road overcrossing to SCL (PM 6.0/12.5)</td>
<td>Maintenance pavement overlay</td>
<td>Spring 2019—Spring 2020</td>
<td>$19 million</td>
<td>SHOPP SB-1</td>
<td>Doug Hessing (JW)</td>
<td>Granite Construction Company, Watsonville, CA</td>
</tr>
<tr>
<td>5.</td>
<td>Pedestrian Signal Upgrades (1G160)</td>
<td>Various Locations: Highways 1, 9, 17, 129, and 152</td>
<td>Install Accessible Pedestrian Signal (APS)</td>
<td>January 2020 – Summer 2020</td>
<td>$ 1.8 million</td>
<td>SHOPP</td>
<td>Mike Lew (FA)</td>
<td>Crosstown Electrical &amp; Data, Inc</td>
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# PROJECTS IN DEVELOPMENT

<table>
<thead>
<tr>
<th>Project Description</th>
<th>Project Number</th>
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<th>Estimated Construction Cost</th>
<th>Funding Source</th>
<th>Project Manager</th>
<th>Phase</th>
<th>Comments</th>
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</thead>
<tbody>
<tr>
<td>Highway 1 Soquel Creek Scour Protection</td>
<td>1H480</td>
<td>In Capitola at Soquel Creek Bridge (PM 13.3)</td>
<td>Bridge preventative maintenance – Place scour protection</td>
<td>Winter 2022</td>
<td>$2.2 million</td>
<td>SHOPP</td>
<td>Luis Duazo</td>
<td>PA&amp;ED</td>
<td></td>
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<tr>
<td>TMS Detection Repair</td>
<td>1H990</td>
<td>Various locations throughout District 5 along SRs 1, 17, 68, 156, 101 (PM Various)</td>
<td>Replace failed TMS Detection</td>
<td>Summer 2020</td>
<td>$451,000</td>
<td>SHOPP SB-1</td>
<td>Brandy Rider/Amy Donatello</td>
<td>PS&amp;E/RW</td>
<td>Project is in Design.</td>
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<tr>
<td>Highway 1/Highway 17 Ramp Safety Improvements</td>
<td>1H060</td>
<td>From the fishhook to Pasatiempo overcrossing (PM 16.7)</td>
<td>Construct ramp safety improvements</td>
<td>May 2020</td>
<td>$5.8 million</td>
<td>SHOPP</td>
<td>Luis Duazo</td>
<td>PS&amp;E/RW</td>
<td></td>
</tr>
<tr>
<td>Highway 1 Davenport Culvert Replacement</td>
<td>0J200</td>
<td>Near Davenport and south of Waddell Creek Bridge (PM 31.9/35.7)</td>
<td>Replace culverts</td>
<td>Fall 2021</td>
<td>$3.6 million</td>
<td>SHOPP SB-1</td>
<td>Doug Hessing</td>
<td>PA&amp;ED</td>
<td>The project is in the design, right of way, and permitting phase.</td>
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<tr>
<td>SCr 9 South Drainage and Erosion Control Improvements</td>
<td>1F920</td>
<td>From SR 1 and 9 to slightly north of Glen Arbor Road (PM 0.0/8.5)</td>
<td>Upgrade drainage systems and stabilize slopes</td>
<td>Fall 2020</td>
<td>$2 million</td>
<td>SHOPP</td>
<td>Doug Hessing</td>
<td>PS&amp;E/RW</td>
<td>Project is in Design.</td>
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## PROJECTS IN DEVELOPMENT (Cont’d.)

<table>
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<tr>
<th>Project</th>
<th>Location Post Mile (PM)</th>
<th>Description</th>
<th>Construction Timeline</th>
<th>Estimated Construction Cost</th>
<th>Funding Source</th>
<th>Project Manager</th>
<th>Phase</th>
<th>Comments</th>
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</thead>
<tbody>
<tr>
<td>11. Highway 9 PM 1.0 and 4.0 Viaduct (1K120)</td>
<td>Near SCr north of Vernon Street (PM 1/1)</td>
<td>Construct side-hill viaduct restore roadway and facilities, place Water Pollution Control BMPs, erosion control</td>
<td>Fall 2022</td>
<td>$9.9 million</td>
<td>SHOPP</td>
<td>Doug Hessing</td>
<td>PA&amp;ED</td>
<td>Project is in preliminary Design and Environmental phase.</td>
</tr>
<tr>
<td>12. SCr 9 Upper Drainage and Erosion Control Improvements (1G950)</td>
<td>In Boulder Creek from Holiday Lane to just south of Ben Lomond to the SR 236/9 Junction (PM 8.5/25.5)</td>
<td>Upgrade drainage and erosion control</td>
<td>Spring 2023</td>
<td>$5.4 million</td>
<td>SHOPP</td>
<td>Doug Hessing</td>
<td>PA&amp;ED</td>
<td></td>
</tr>
<tr>
<td>13. Highway 9 San Lorenzo River Bridge and Kings Creek Bridge Replacement (1H470)</td>
<td>Near Boulder Creek, at San Lorenzo River Bridge and at Kings Creek Bridge (PM 13.6/15.5)</td>
<td>Replace bridges</td>
<td>Summer 2022</td>
<td>$12 million</td>
<td>SHOPP SB-1</td>
<td>Doug Hessing</td>
<td>PA&amp;ED</td>
<td>Project is in preliminary Design and Environmental phase.</td>
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<tr>
<td>14. Highway 9 Hairpin Tieback (1K130)</td>
<td>Near Boulder Creek about 1.1 miles south of the SR 236/9 Junction (PM 19.97)</td>
<td>Soldier Pile Tieback Retaining Wall</td>
<td>Spring 2021</td>
<td>$2.6 million</td>
<td>SHOPP</td>
<td>Doug Hessing</td>
<td>PA&amp;ED</td>
<td>Storm Damage Repair</td>
</tr>
<tr>
<td>15. Highway 17 Wildlife Habitat Crossing (1G260)</td>
<td>From Laurel Road to just north of Laurel Road (PM 9.442-9.692)</td>
<td>Construct wildlife undercrossing</td>
<td>2020</td>
<td>$6.22 million</td>
<td>SHOPP</td>
<td>Aaron Henkel</td>
<td>PS&amp;E/RW</td>
<td>Project is in design and on schedule.</td>
</tr>
<tr>
<td>Project</td>
<td>Location Post Mile (PM)</td>
<td>Description</td>
<td>Construction Timeline</td>
<td>Estimated Construction Cost</td>
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<td>Project Manager</td>
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<tr>
<td>16. <strong>Highway 129/ Lakeview Road Intersection Improvements (1G990)</strong></td>
<td>Near Watsonville, at Lakeview Road (PM 1.4)</td>
<td>Construct roundabout and improve street lighting</td>
<td>2020</td>
<td>$4.5 million</td>
<td>SHOPP</td>
<td>Luis Duazo</td>
<td>PS&amp;E/RW</td>
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<tr>
<td>17. <strong>Highway 152 Corralitos Creek ADA (05-1F620)</strong></td>
<td>Near Watsonville, East of Beverly Drive to Holohan / College Road (PM1.9 to R2.0)</td>
<td>Construct Accessible Pathway</td>
<td>Spring 2022</td>
<td>$3.4 million</td>
<td>SHOPP</td>
<td>Mike Lew</td>
<td>PA&amp;ED</td>
<td>Project is currently at 80% complete for the PA&amp;ED stage.</td>
</tr>
<tr>
<td>18. <strong>Crosswalks and Pedestrian Safety Enhancements (1G760)</strong></td>
<td>Various Locations: Highways 1, 9, 129, and 152 (Note: Project also includes six locations in Monterey County, on Routes 68 and 183)</td>
<td>Electrical/Signs/Flashing Beacons/Markings/Pavements</td>
<td>Spring/Summer 2020</td>
<td>$1,000,000</td>
<td>Minor</td>
<td>Mike Lew</td>
<td>PS&amp;E</td>
<td>Bid opening on 3/19/2020. 150-day lead time for ordering “Modified Type 15 FBS” poles (for flashing beacons) after award of contract.</td>
</tr>
<tr>
<td>19. <strong>Highway 236 Heart Hill Wall (1M450)</strong></td>
<td>Near Boulder Creek (PM 5.4)</td>
<td>Install engineered fill and restore roadway</td>
<td>2022/2023</td>
<td>$1.8 million</td>
<td>SHOPP</td>
<td>Doug Hessing</td>
<td>PID</td>
<td>Project is in the initiation phase.</td>
</tr>
</tbody>
</table>
ACRONYMS USED IN THIS REPORT:

- ADA: Americans with Disabilities Act
- CEQA: California Environmental Quality Act
- CMAQ: Congestion Mitigation Air Quality
- CMIA: Corridor Mobility Improvement Account
- CTC: California Transportation Commission
- ED: Environmental Document
- EIR: Environmental Impact Report
- PA&ED: Project Approval and Environmental Document
- PM: Post Mile
- PS&E: Plans, Specifications, and Estimates
- RW: Right of Way
- SB1: Senate Bill 1, the Road Repair and Accountability Act of 2017
- SCL: Santa Clara County Line
- SHOPP: State Highway Operation and Protection Program
- SR: State Route
- STIP: State Transportation Improvement Program
- TMS: Traffic Management System
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--- Public Hearing Scheduled for 9:30 a.m. ---

AGENDA: May 7, 2020

TO: Regional Transportation Commission

FROM: Grace Blakeslee and Amanda Marino, Transportation Planners

RE: 2020 Unmet Paratransit and Transit Needs

RECOMMENDATIONS

The Elderly and Disabled Transportation Advisory Committee and staff recommend that the Regional Transportation Commission (RTC):

1. Adopt the 2020 Unmet Paratransit and Transit Needs (Attachment 1), with revisions as appropriate, following the public hearing; and,
2. Consider unmet paratransit and transit needs as funding becomes available.

BACKGROUND

The State allocates ¼ cent share of the state's 7.25 cent sales tax to the Regional Transportation Commission according to state law. TDA statutes require transportation planning agencies using TDA funds for local streets and roads projects, to implement a public process, including a public hearing, to identify unmet transit needs of transit dependent or disadvantaged persons, and determine if unmet transit needs can be reasonably met. Although the RTC does not allocate TDA funds to local streets and roads projects, and therefore is not required to perform this analysis, the RTC endeavors to solicit regular input on unmet transit and paratransit needs to provide a useful tool to identify and prioritize needs in the region.

DISCUSSION

Serving as the social services transportation advisory council per TDA statutes, the Elderly and Disabled Transportation Advisory Committee (E&D TAC) regularly hears and considers unmet paratransit and transit needs in Santa Cruz County. Unmet paratransit and transit needs are those transportation needs which are not being met by the current public transit system, have community support, and do not duplicate transit services provided publicly or privately.

Attached for the Regional Transportation Commission's consideration is the 2020 Unmet Paratransit and Transit Needs list (Attachment 1). The 2020 Unmet Transit Needs List is shown in Attachment 1 with updates since the 2019 Unmet Transit Needs list using underline and strikeout. The unmet needs are prioritized using high, medium and low rankings, and within each category there are three levels indicating to what extent the needs, if addressed, would advance regional
transportation plan goals. Development of the *2020 Unmet Paratransit and Transit Needs* considers needs identified through various means including:

- input from the Elderly and Disabled Transportation Advisory Committee (E&D TAC);
- staff of Santa Cruz Metropolitan Transit District, Community Bridges Lift Line serving as the Coordinated Transportation Services Agency, and the Volunteer Center;
- information gathered from project sponsors during development of grants submitted to the Federal Transit Administration 5310 Program; and
- comments submitted by members of the public and partner agencies, RTC staff and RTC commissioners.

The Draft 2020 Unmet Paratransit Needs list was posted on the RTC website and a notice of availability was sent to interest groups, senior living facilities, senior centers, local jurisdictions, and transportation service providers. Public input was received using the online form included as Attachment 2. The Draft 2020 Unmet Paratransit Needs List was considered by the E&D TAC at its April 14, 2020 meeting and recommends approval.

**The E&D TAC and staff recommends that the RTC adopt the 2020 Unmet Paratransit and Transit Needs list, with revisions as appropriate, following the public hearing, and consider unmet paratransit and transit needs as funding is available.**

**SUMMARY**

TDA statutes require transportation planning agencies to consult with their designated social services transportation advisory councils to annually identify transit needs. Although the RTC does not allocate TDA funds to local streets and roads projects, and therefore is not required to perform an analysis of unmet transit needs, the RTC endeavors to solicit regular input on unmet paratransit and transit needs to provide a useful tool to prioritize needs in the region. Staff recommends adoption of the *2020 Unmet Paratransit and Transit Needs* with revisions as appropriate, following the public hearing on the item.

**Attachments:**

1. Final Draft 2020 Unmet Paratransit and Transit Needs
2. Public Comment on Unmet Paratransit and Transit Needs list
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Final Draft
2020 Unmet Paratransit and Transit Needs

Prioritization of Need:
**H - High** priority items are those items that fill a gap or absence of ongoing service.

**M - Medium** priority items that supplement existing service.

**L - Low** priority items should become more specific and then be planned for, as funds are available.

**1-3 Graduated scale** indicates to what extent the need, if addressed, would:
- increase the number of individuals who are within a 30-minute transit trip to key destinations;
- improve safety;
- support economic vitality by way of decreasing transportation costs; or,
- improve cost-effectiveness of transportation services.

Strategies:
- Proposals and suggestions to address need, including programs and projects.

**General**

1. **H1** - Safe travel paths between senior and/or disabled living areas, medical facilities, educational facilities, employment locations, retail centers, entertainment venues, bus stops, and/or railroad crossings.
   - Improve accessibility at and to bus stops - such as, but not limited to, sidewalk and crosswalk improvements connecting destinations frequented by senior and disabled individuals and transit stops such as, but not limited to, those identified in the RTC Safe Paths of Travel Final Report.
   - Secure funding assistance to make Safe Paths of Travel improvements.
   - Expand publicity regarding sidewalk maintenance.
   - Consider pedestrian patterns when planning transit routes.

2. **H1** - Transportation services to areas with high concentrations of seniors, disabled and low income individuals.
   - Support alternative transportation programs, such as vanpool programs, serving low income and senior housing areas outside of the transit service area in south county.
   - Explore pilot projects, such as regularly scheduled paratransit trips two-three times per week, to serve residents.
   - Secure funding for taxi voucher programs for senior and low income individuals.
   - Provide affordable and desirable housing for seniors and low income individuals within the existing transit service area.
• Provide incentives for senior and social services and medical and social services providers to be located in existing transit service areas.
• Support programs that encourage ridesharing to destinations popular with seniors or high concentrations of seniors.
• Seek volunteer drivers to provide transportation services.
• Evaluate on-demand transit services.

3. **H3** - Transportation services for low-income families with children, including transportation for people transitioning from welfare to work.
   • Support welfare to work programs and training programs.
   • Support transportation programs dedicated to serving low-income families with children.
   • Seek volunteer drivers for transportation family members to visits at detention facilities.
   • Provide taxi vouchers to low income families.
   • Reinstate ride to work programs.
   • Provide youth bus passes to low income households.

4. **H1** - Transportation services for caregivers of senior and disabled clients.
   • Support programs providing transportation for caregivers to clients.
   • Provide taxi voucher to caregivers.
   • Reinstate ride to work programs.

**Paratransit/Specialized Transportation Services**

5. **H1** - Coordinated and seamless-to-the-public system of specialized transportation with a Mobility Management Center (central information point, one stop shop).
   • Assess feasibility and seek funds for development/start-up of the center, and assess entities already providing information and referral services).
   • Utilize information technology solutions to provide transit information that is accessible to all users.

6. **H1** - Wheel chair accessible vehicles for taxis and transportation network company services.
   • Monitor the Transportation Network Company (TNC) Access for All program
   • Evaluate other comparable options to provide services (i.e new companies, subcontract with services equipped with wheelchair vehicles).
   • Provide on demand paratransit service.

7. **M1** - Paratransit service for the people who lost paratransit service due to changes in Santa Cruz Metro ParaCruz program in 2015.
• Support policies that expand ADA mandated paratransit service area.
• Support programs providing specialized transportation to areas outside the ADA-mandated paratransit service area for a fee or at no cost.
• Expand taxi voucher program.

8. **M1** – Access to paratransit services on all holidays.
   • Extend existing paratransit services to holidays.
   • Support taxi voucher programs.

9. **H2** - Specialized transportation for areas outside the ADA-mandated paratransit service area for medical, non-medical trips.
   • Secure funding for taxi voucher programs.
   • Provide affordable and desirable housing for seniors and disabled individuals within ADA paratransit service area.
   • Provide incentives for senior and social services to be located in transit service areas.
   • Support programs providing specialized transportation to areas outside the ADA-mandated paratransit service area for a fee or at no cost.
   • Support continuous funding for transportation to medical services.
   • Seek volunteer drivers to provide transportation services from areas not served by transit or ADA paratransit service.
   • Identify priority origins and destinations outside the ADA service area.

10. **M1** – Free or low-cost paratransit options
    • Provide funding for programs that provide discounted and free paratransit rides
    • Support programs that provide on-demand ADA accessible rides.

11. **H2** - Direct paratransit and accessible transit connections with neighboring counties- including Monterey (Pajaro), San Benito, Santa Clara and other points north.
    • Establish direct inter-regional fixed route accessible transit service.
    • Develop plan to coordinate between agencies providing specialized transportation services in neighboring counties.
    • Support programs providing inter-regional specialized transportation for a fee or at no cost.
    • Establish feeder services to inter-regional accessible transit services.
12. **M1** - Affordable transportation for dialysis and other medical appointments, including ‘same day’ specialized transportation services for medical trips, on a continuous basis.
   - Support continuous funding for ‘same day’ transportation to medical services.
   - Support continuous funding for no or low-cost specialized transportation to medical appointments.
   - Increase capacity of existing programs providing transportation to dialysis and other medical appointments.
   - Secure funding for taxi voucher programs.

13. **M2** - Transportation for programs that promote senior and disabled individuals health, safety and independence including, but not limited to, all senior meal sites in the county, the stroke centers, medical facilities, and senior activity centers.
   - Support continuous funding for transportation services to meal sites.
   - Provide transit and paratransit services to medical service centers.
   - Support volunteer drivers to provide transportation services.

14. **M2** – Conduct targeted outreach to seniors, people living with disabilities, and transportation service providers to provide information about transportation options and safety.
   - Provide safe driving and transit information at locations with concentrations of seniors.
   - Support field trips to events by bus (“Mobility Trainer” and “Bus by Choice” models)
   - Annual updates to transportation service providers including, but not limited to, providers included in the Guide for Specialized Transportation about paratransit service options.

15. **L2** - Publicity about existing specialized transportation services including ADA paratransit, non-ADA paratransit, taxi services, Medi-Cal rides and mobility training for people to use regular fixed route buses.
   - Streamline communication activities by establishing a central point of contact within health providers to disseminate information about specialized transportation services.
   - Support continuous funding for communication and outreach activities.

16. **H2** - Volunteer drivers in Santa Cruz County particularly in south-county and San Lorenzo Valley.
   - Expand outreach efforts to recruit drivers and promote services.
   - Support for the Volunteer Center Transportation Program.
17. **M2** - Affordable special care trips and gurney vehicle for medically fragile individuals and those needing "bed to bed" transportation.
   - Provide vouchers for specialized care trips.
   - Identify a service provider for gurney trips and assist in procurement of a vehicle for services.
   - Partner with assisted living and hospice care to provide services.
   - Publicize availability of services, if available.

18. **M3** - Ongoing provision of ADA Paratransit certification, provided by Santa Cruz Metro, at group facilities.
   - Provide on-site services to reach a greater number of individuals.

19. **M3** - Specialized transportation services for people living with a cognitive impairments, dementia or mental health diagnosis.
   - Provide on demand transportation services for people living with a mental health diagnosis.
   - Provide services designated to assisting people with mental illness navigate transit and paratransit eligibility requirements.

20. **L2** - Specialized transportation for ‘same day’ low cost non-medical trips.
   - Expand taxi voucher program.
   - Support “on-call” volunteer drive programs.

21. **L3** - Anticipate growing demand for services by projecting funding needs for specialized transportation (including fixed route, ADA and non-ADA Paratransit) to provide transportation services to the senior population expected to increase over the next 15 to 30 years.
   - Identify funding needs for paratransit over a 15-30 year horizon.
   - Designated funding source for paratransit service.

**Paratransit/Specialized Transportation Capital**

22. **H1** - ParaCruz operating facilities.
   - Acquire and develop permanent operations and maintenance facility for ParaCruz to reduce operating cost.
   - Increase funding opportunities for paratransit capital projects.

23. **MH2** - Consolidated Transportation Services Agency operating facilities.
   - Acquire and develop permanent operation and maintenance facilities for Consolidated Transportation Services Agency.
   - Increase funding opportunities for paratransit capital projects.

24. **H2** - Paratransit vehicle replacements.
• Increase funding opportunities for paratransit capital projects including funding for electric vehicles and/or zero emission vehicles.
• Take measures to include electric vehicles as option for purchase in the Section 5310 grant program.

25. **M1** – Electric Vehicle Charging Stations
• Support funding for electric vehicle charging infrastructure.

**Transit Services**

26. **H1** – Greater frequency and span of transit service, including weekend service, in densely populated areas with a mix of land uses.
   • Increase service level between downtown Santa Cruz and Capitola Mall Transit Center through the Live Oak corridor.
   • Enhance service on Mission Street.
   • Extend transit service hours later in the evening and early in the morning serving Cabrillo College, downtown centers, and other commercial centers of Santa Cruz/Live Oak/Watsonville.
   • Enhance service to employment entities.
   • Enhance service on Scotts Valley Drive.

27. **H1** – Greater evening frequency and span of transit service in coverage-oriented areas, in keeping with METRO service standards.
   • San Lorenzo Valley Route 35 variants (Mt. Store and Country Club)
   • Local Watsonville services

28. **M1** – More transit service to UCSC.
   • Increase weekend and weekday UCSC service.
   • Increase service to UCSC campus.
   • Increase service to the University of Santa Cruz employment center in Scotts Valley.

29. **HM1** - More interregional and cross county transit services.
   • Increase Hwy 17 weekend service frequency.
   • Provide transit service from Santa Cruz County to Los Gatos.
   • Provide direct transit service to San Jose Airport.
   • Enhance Monterey County to Santa Cruz County service.
   • Support for an integrated transit network, which includes transit services on a dedicated transit facility on the rail right-of-way consistent with the Unified Corridor Investment Study.
   • Provide transit service from San Lorenzo Valley to Los Gatos.
30. **M1** – Free and low-cost transportation options, including fixed-route transit services.
   - Support programs that provide transportation services, including, but not limited to bus services, for a reduced or no fee.
   - Seek volunteer drivers to provide transportation services.
   - Support programs that allow seniors and disabled individuals to ride free during designated time periods.

31. **M2** – More transit service between primary destinations in Santa Cruz County.
   - Provide service between Capitola Mall and Cabrillo.
   - Expand transit service to new residential and commercial areas in Watsonville.
   - Improve north-south transit connections (ex. Soquel Ave/Drive to coastal communities).
   - Support for an integrated transit network, which includes transit services on a dedicated transit facility on the rail right-of-way consistent with Unified Corridor Investment Study.
   - Provide single trip service.

32. **M2** – More transit service to facilities providing medical, health and other social services.
   - Provide transit service to medical facilities.
   - Provide medical, health, and social services within the existing transit service area.

33. **M2** – Access to transportation services on all holidays.
   - Provide regular Santa Cruz Metro service on holidays.
   - Support taxi voucher programs.
   - Support volunteer transportation services.

34. **M2** – Easier and faster transit trips system wide.
   - Enhance connections through increasing the span and frequency of service.

35. **M2** – Faster run times on transit routes.
   - Investigate opportunities for transit priority lanes and signal priority.
   - Pursue right turn pockets for bypass lanes for buses service and transit priority on Soquel Ave/Drive and Freedom consistent with the Unified Corridor Investment Study.
   - Consider direct services between more locations, reducing need for transfers.

36. **M2** – Intra-community service in Santa Cruz County communities.
• Develop San Lorenzo Valley circulator.
• Develop Scotts Valley circulator.
• Investigate need for intra-community and neighborhood transit services
• Consider partnerships with ride-hail and/or taxi services for first/last mile connections.

37. **L2** - Transit service to major tourist destinations.
   • Provide transit service to Waddell Creek and North Coast and Highway 17 direct service to Boardwalk on weekends.

38. **L2** - Commuter transit service.
   • Extend Highway 17 service to Watsonville, or improve connections between Watsonville-Santa Cruz service and Highway 17 service.
   • Provide faster commute option for transit riders between SLV and Santa Cruz.

39. **L3** - Special event services.
   • Establish program to coordinate with Santa Cruz Visitor Center and partner agencies to provide special event services.

**Transit Capital**

40. **M1** – ADA accessible bus stops.
   • Provide ADA compliant bus stops.
   • Prioritize bus stop improvements and shelter replacement based on high usage by seniors and people with disabilities.
   • Install braille and raised numbers on bus signage at bus stops indicating which bus routes are being offered at each stop (or a technology-based way finding alternative).
   • Provide the ability to lower the height of braille for wheelchair access.

41. **M1** – Maintenance of existing transit facilities.
   • Support funding for maintenance of bus stops, parking lots, transit centers, buildings.

42. **H1** – Bus replacement: Replace buses beyond useful life as needed including buses, including buses providing rural service.
   • Support funding for transit capital improvements.
   • Support funding for electric vehicle bus replacements and electric vehicle charging stations.

43. **H1** – Transit station improvements.
• Investigate options for renovation or redevelopment of Santa Cruz Metro Center.
• Coordinate improvements to Capitola Transit Center with Capitola Mall ownership.

44. **H2** – Faster transit travel times.
• Installation of transponders on all buses for signal priority on major corridors improving traffic flow, reducing travel time, and improving on-time performance.
• Support and seek funding for bus on shoulder on Highway 1.

45. **H1** – Dedicated transit facilities.
• Right-of-way improvements and stations along Santa Cruz Branch Rail Line if a bus rapid transit (BRT) or rail service is developed consistent with the Unified Corridor Investment Study.
• Multimodal transfer facilities at stations along the Santa Cruz Branch Rail Line if BRT or rail service is developed.

46. **H3** - New equipment to assist with real-time operations, security, scheduling and planning.
• Automated Vehicle Location (AVL) System to provide better monitoring of on-time performance and more accurate data reporting.
• Automatic Passenger Counting (APC) system to make mandatory reporting more efficient and improve data for service planning.
• Install audio and video surveillance system for all buses.
• Electronic fare payment for more convenient payment options and to speed up boarding.
• Modernize planning and scheduling software for more efficient service planning and better community outreach.

47. **M3** – More multimodal connections to transit.
• Construct park and ride lots in strategic locations along inter-city routes that lack adequate feeder service.
• (MOVED) Bike lockers and/or bike share stations at key locations to facilitate first/last mile of travel.

48. **M3** - Wifi expansion on buses.
• Install wifi equipment at all facilities and on all buses.
• Partner with private companies to provide wifi.
Public Comment on 2020 Unmet Paratransit and Transit Needs List
Received Via Online Unmet Transit Needs Form
April 2019 – April 2020

1. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.

“She is senior 66 years old and can not use alone the public transportation.”

The need described is located in:
City of Santa Cruz, City of Capitola

Name:
Maria de Jesus Alves

Email:
celmafreire@yahoo.com

Report submission date:
7/10/2019  6:05:00 PM

2. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.

"Route a Metro bus to travel from the San Andreas freeway exit, down San Andreas Road. Stop at Sea Scape Blvd- existing stop, at Playa in La Selva Beach-existing stop. The bus can then continue down San Andreas with stops at KOA/Renaissance High School, Buena Vista Road, and San Andreas Camp- School bus stop. The bus would continue down San Andreas to Beach Street to Beach and into Watsonville and the transit center. This bus could be the same bus that goes north on Freedom Blvd from Watsonville. This would connect the large unincorporated community with Watsonville transit system and the Watsonville transit center for direct buses to Santa Cruz and Monterey County. This loop would bring much transit relief to many in the unincorporated area."

The need described is located in:

Unincorporated County

Name:
Bonnie Gutierrez
3. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.

"More bus benches (rather than removing them to try to address the issue of homeless people using them for other than waiting for the bus and causing problems for bus ridership). Better routes: as a teenager here, 40 years ago, I could get from my house on Branciforte Dr. into town and then to various places easily (the Capitola Mall, my Aunt’s house in Bonny Doon, downtown Santa Cruz). My kids tried to plan a bus trip to see their Aunt in Watsonville and we nixed the plan when we saw how many bus changes (and how many hours of bus waiting and riding) were required to get from the westside of Santa Cruz to her house in Watsonville. Once I took my very tall for his age son on the bus and because he’s not short enough to look his own age and because, at least at the time, fares were charged based on height, I had to pay for him...... Also, a few times lately when I travel, I would like to catch a bus to the San Jose Airport, or find an easy route to get there and there isn't."

The need described is located in:

Countywide

Name:

L Gray

Email:

grayla@yahoo.com

Report submission date:

4/30/2019 1:29:00 PM

4. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.

“I am interested in knowing the evacuation plan for assisted care/skilled nursing facilities and other medical-health facilities when there is an earthquake or other disaster requiring movement of patients. Does the County provide transportation/para-transit for these individuals with medical-health conditions? There won't be enough ambulances to transport
those with Access and Functional Needs. Whose is responsible for this planning? Thank you, Kathleen Conley.”

The need described is located in:
Countywide

Name:
Kathleen Conley

Email:
kathleen.conley@santacruzcounty.us

Report submission date:
4/30/2019 9:43:00 AM

5. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.

“Paratransit service needs to be extended to holidays. It is so sad the disabled cannot celebrate holidays with their family, friends, or attend places of worship. Why is this not a higher priority and what is the rationale?”

The need described is located in:
Countywide

Name:
Anne Friscia

Email:
annebfriscia@gmail.com

Report submission date:
4/29/2019 11:07:00 PM

6. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.

"- Better poison oak control around SLV bus stops and shoulder one must walk to reach them so we do not have to stand or walk on the road surface in danger from cars (by summertime, poison oak frequently extends past the marked road shoulder)

- Earlier trip inbound from Boulder Creek on weekends. Can't do anything on a weekend that happens or starts in the morning because the bus does not run early enough ... can't catch a train out of Diridon before noon

- Later outbound 35 and returning inbound on 17 Express with connection to SLV 35
- Bus to Big Basin State Park. I live on the access road (236) and watch, hear, and smell tourist cars and tourist busses clog the road to the state park all summer but cannot go there myself anymore since the bus was cut; need a bus for all. 236 drivers have become too bad to walk particularly in tourist season, with no shoulder in places, so also need bus for safety

- Bus to Boulder Creek park district Bear Creek facility (not only school runs)"

The need described is located in:
Unincorporated county, Countywide

Name:
Kimberly Bach

Email:
kim@thoth.us

Report submission date:
4/27/2019  10:41:00 AM

7. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.

"I'm happy to see vanpool programs have a high priority. Please promote their use. Increasing participation in carpools/vanpools one of the easiest and cheapest ways to reduce the number of cars on the road.

Please explore the possibility of developing a schoolbus program, or merge this need with public transportation. Other cities do this very successfully. My commute is significantly faster during local school breaks. All those kids being driven to school separately has a huge impact on traffic."

The need described is located in:
Countywide

Name:
Christine Huffard

Email:
chuffard@gmail.com

Report submission date:
4/24/2019  3:09:00 PM

8. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.
“I am the carpool coordinator for my son's class at Pacific Elementary School in Davenport. It is a huge effort to coordinate rides to get the dozen kids from his class alone home after school. If the #40 ran in the afternoon, leaving Davenport just after 3pm, and heading straight to town, it would be an enormous help.”

The need described is located in:
City of Santa Cruz, Unincorporated County

Name:
Rebbie Higgins

Email:
rebbie@pinkopaque.com

Report submission date:
4/23/2019  10:36:00 AM

9. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.

“There must be a new system of rail that connects the rest of the town to the current single rail going through the county. Without in investment in new infrastructure we will continue to be behind the curve of transportation need for the county. Also, without the new infrastructure, we will not be able to meet the needs of riders, and the rail option will be underutilized until these changes are made. They must happen in conjunction with current mainline improvement, not secondarily. We also must not rely on the current bus system to solve our issues. The current bus system at minimum will always have the problem of sitting in traffic causing slow transportation and inefficient fossil fuel usage. People will not use the current planned system until it is too late, and over population and traffic have forced change. We must get ahead of this problem.”

The need described is located in:
Countywide

Name:
Alex Walker

Email:
WALKER.ALEXJ@GMAIL.COM

Report submission date:
4/23/2019 5:59 AM
10. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.

“Restore passenger rail service from Santa Cruz to San Jose.”

The need described is located in:
Countywide

Name:
Father Karl Claver

Email:
fatherkarl79@yahoo.com

Report submission date:
4/23/2019 5:40:00 AM

11. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.

“The need for more bike friendly options in town. We also need to do more to address the traffic congestion in this town in terms of widening main roadways. Where are the car pool lanes? Where are the designated bike path expressways through town?”

The need described is located in:
Countywide

Name:
Clinton Angus

Email:
clinton.angus@gmail.com

Report submission date:
4/22/2019 6:53:00 PM

12. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.

“They took benches out of some of the bus stops recently. As a 53 year old woman who has undergone some abdominal surgeries, it is hard for me to wait standing for long periods. For a person with a cane or other mobility issue, I imagine it would be excruciating.”

The need described is located in:
City of Santa Cruz

Name:
Karen Fraser

Email:
karfraser@cruzio.com

Report submission date:
4/22/2019 4:38:00 PM

13. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.

"I agree with most of the draft list of unmet transit needs, but I would put a higher priority on items 25-28. It's hard to encourage people to use transit, when you don't have adequate service to the largest employers in Santa Cruz County on the major transit routes. Ideally you would have well maintained buses running on Soquel Drive/Avenue every 15 minutes during the commute hours, especially to places like UCSC, Cabrillo, the hospital and medical centers.

My son tried commuting with both with his bike and using the bus, to Cabrillo and later UCSC. It was challenging, to say the least. In his senior year, he finally succumbed to buying a car."

The need described is located in:
Countywide

Name:
Gloria Wells

Email:
fcwells1@comcast.net

Report submission date:
4/22/2019 4:02:00 PM

14. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.

"I believe that the trail should have been in motion for some time now if not already be working for the public.

- Even though the road needs to be alleviated from today's traffic a train is not a viable or economical solution we don't have the population or the density to support it especially if extra taxes are levied in the already over the roof taxation in our county. Public transportation, already in place has to be improved and upgraded. HW1 has to be upgraded."
- Progressive Rail has no place in our county. An industrial train is needed I suspect from Watsonville/Pajaro eastward to Caltrain, to service the local businesses transportation needs. Anything else, with regard to train, is a waste of time yours/ours and even more waste of our tax money. plus it will never be built. So at least built the trail ASAP and you can continuation at your leisure work for a local empty. Bart type, train!!.

Hope to see a trail like Monterey county soon."

**The need described is located in:**

Countywide

**Name:**

Panagos Pateras

**Email:**
pdpateras@yahoo.com

**Report submission date:**

4/22/2019  3:48:00 PM

15. **Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.**

"Access to more transit options than are currently being offered. Whether it be by road, bike lane, rail trail or a contract with elon musk to make the whole combination of services more efficient. The need is for people to be able to access locations within the county and for commuters who work outside the county and live here, lastly tourists coming here to spend their money and enjoy visiting our area.

Please call Elon musk and give him all of Our money.

Thank you,
Matte Sapone"

**The need described is located in:**

City of Santa Cruz, City of Watsonville, City of Scotts Valley, City of Capitola, Unincorporated County, Countywide

**Name:**

Matthew Sapone

**Email:**

mdsapone@gmail.com
16. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.

“Add as many lanes to Highway 1 as possible, as soon as possible. I don't care about bicycles, or buses, or trains.”

The need described is located in:

Countywide

Name:

John McCoy

Email:

johnmccoyitaly@yahoo.com

Report submission date:

4/22/2019  3:08:00 PM

17. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.

"Aptos Village was designed without consideration for the safety of pedestrians walking into the village from other parts of Aptos. Aptos has poor bus service internally so many leave Aptos in our cars to shop because traffic is horrible during commute hours.

Create an Aptos only shuttle. It can run a loop from Cabrillo to Park to McGregor to Mar Vista to Seacliff to Spreckles to Aptos Village. The shuttle can proceed on Soquel Drive to Rio Del Mar and Deerpark Center then onto Clubhouse to Seascape Village Center. It can return along Sumner to Rio Del Mar then to the beach and inland on Treasure Island to Spreckles back to Soquel Drive and return to Cabrillo. If two shuttles traveled in both directions then travel times within Aptos would be short enough to entice drivers to get out of their cars. Aptos is the choke point for the county commute. Reducing local traffic with bus service frees up the road for those who must drive. Local businesses would benefit too."

The need described is located in:

Unincorporated County

Name:

Rebecca Downing

Email:
18. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.

“I would like to ride my bike on a bike path or bike lane with access to a dedicated bike car on the train”

The need described is located in:
Countywide

Name:
Eliece Horton

Email:
elieceh@yahoo.com

Report submission date:
4/17/2019 12:04:00 AM

19. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.

“Unfortunately for most folks in Santa Cruz County there is little to no benefit to riding public transportation. As there are no dedicated lanes/access for buses there is no increase in the speed in which you travel. Aka: You don't arrive at your destination any earlier than if you drove your own car. Public transportation is also less convenient than your own car in that the access points are limited in both number of and locations & schedule is not frequent enough for most people to utilize the bus as an option. It is in fact, less convenient and more difficult to take public transportation.”

The need described is located in:
City of Santa Cruz

Name:
M L

Email:
homestage1@yahoo.com

Report submission date:
4/15/2019 11:12:00 AM
20. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.

"The terrible stretch of Highway 9 between Felton and Santa Cruz. There are multiple modes of transportation occurring in this corridor. Train (Big Trees Railroad etc.) Road bike/Mountain Bikes, state park hikers who exit trails and cross the dangerous section of 9 to go over to other trails, horse back riders...then your usual point A to point B (i.e., from Felton to SC) pedestrian/hikers/runners, and vehicles.

It is in a ridiculous state. There are sides of the roads which are unsupported dirt walls and when it rains and there are slides and the road is closed. If a pedestrian/bike trail was created along the train line it would be very accessible grade wise for bicyclists to commute safely into santa cruz. Just for starters!

Realize this is CalTrans maintained road so nothing will ever happen."

The need described is located in:

Unincorporated County

Name:
Virginia Vaquero

Email:
vivaquero@gmail.com

Report submission date:
4/15/2019 10:59:00 AM

21. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.

“Not enough focus on high density areas. We need frequent, 7 day a week service to the dense parts of our county. This will encourage density and better land use. Metro is currently almost 100% focused on coverage, we need a focus on ridership. Get people who can afford to drive out of their cars and onto the bus.”

The need described is located in:

Countywide

Name:
Daniel Heppner

Email:
daniel.heppner1@gmail.com

Report submission date:
22. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.

"Connectivity between Santa Cruz through Capitola and Aptos and Watsonville on a dedicated transit route, connecting to the statewide network at Watsonville Junction. Nothing beats providing alternatives to congestion like a dedicated rail line."

The need described is located in:

Countywide

Name:
Barry Scott

Email:
barry@coastalrail.org

Report submission date:
4/14/2019  6:35:00 PM

23. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.

“When my husband broke his wrist, he was sent to a surgical center in Mountain View for surgery. He could not drive. I cannot drive. Thus I discovered that there is no form of service for medical needs like this. And since the surgical center is in Mountain View, I imagine that many Santa Cruzans must go there for surgery. We priced the Uber ride at $150, but in hindsight, Uber would never have been appropriate. My husband was released after surgery nauseated, dizzy, and in considerable pain. He had to return twice for additional surgery, and several more times for checkups. Each time, we had to scour our acquaintances for someone free during the day and able to drive there. Now a friend of mine is being sent to UCSF for spinal surgery. She also will be unable to drive.”

The need described is located in:

Countywide

Name:
Caroline Lamb

Email:
ratbert@cruzio.com

Report submission date:
4/13/2019  1:08:00 PM
24. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.

"Bus service is needed in La Selva Beach, which also affects Paracruz. As a Senior my driving has become more and more limited, but I could still take the bus or Paracruz if it were available. Of course ridership was down when bus service was limited to twice a day. Big buses aren't needed, vans would suffice.

This would also help alleviate the traffic congestion on Hwy. 1, by reducing the number of cars on the road."

The need described is located in:

Unincorporated County

Name:

Marcia Poms

Email:

marciapoms@yahoo.com

Report submission date:

4/7/2019 4:05:00 PM

25. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.

"Perhaps the RTC can assist the school districts with their busing programs or lack thereof. Consider how many parents' SUV's could be replaced by one 30 passenger school bus. A reduction in GHGs is sure to result when the number of parents crowding around the many schools in the county waiting to pick up their kids is reduced. Other than that suggestion, it looks like the RTC is doing a bang up job, especially with the single track right of way."

The need described is located in:

Countywide

Name:

Dennis Case

Email:

paintr@arczip.com

Report submission date:

4/5/2019 5:24:00 PM

26. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.
“Folks are being encouraged to use public transit to get to and from work downtown so it makes sense to add one or more public transit downtown loops. For example a loop that goes down River to the Costco area and the Tannery complex. The #4 bus is inadequate to address transit for this part of Santa Cruz. Maybe another trolley would work for this purpose? Thanks for all your work on our many unmet transit needs!”

The need described is located in:

City of Santa Cruz

Name:

Deb Wirkman

Email:

debrawirkman@sbcglobal.net

Report submission date:

4/5/2019  3:15:00 PM

27. Describe a need which is not being met by the current public transit system and how it could be addressed to improve transit and/or paratransit service.

“A bike lane is needed on at least one of the roads that goes from Scotts Valley to Santa Cruz. The current roads are rather thin with many blind curves, making it very dangerous for bicyclists. Even better than a bike lane would be a dedicated bike and/or walk path that is paved. Also additional bike racks on or inside of RTD buses on Route 35 would be great. Often the bike racks are full during the last few runs, and I have to ride home to Scotts Valley at night, slowly, uphill on an unlit, thin, curvy road with no bike lane. Thank you for your consideration.”

The need described is located in:

Unincorporated County

Name:

Neil Schaefer

Email:

ns573@yahoo.com

Report submission date:

4/5/2019  2:39:00 PM
THIS PAGE INTENTIONALLY LEFT BLANK
TO: Regional Transportation Commission

FROM: Luis Mendez, Deputy Director and Amanda Marino and Thomas Travers, Transportation Planners

RE: Fiscal Year 2020-21 Article 4 and Article 8 Transportation Development Act (TDA) Claims for Santa Cruz METRO, Volunteer Center, Community Bridges, Bike to Work and Santa Cruz County Health Services Agency

RECOMMENDATION

The Elderly & Disabled Transportation Advisory Committee (E&D TAC) and staff recommend that the Regional Transportation Commission (RTC):

1. Adopt the attached resolution (Attachment 1) approving the Transportation Development Act (TDA) Article 4 funds claim in the amount of $7,628,850 from the Santa Cruz Metropolitan Transit District to provide operating assistance for fixed route public transit and Americans with Disabilities Act complementary paratransit operations;
2. Adopt the attached resolution (Attachment 2) approving the fiscal year (FY) 2020-21 Transportation Development Act (TDA) Article 8 funds claim in the amount of $749,501 from Community Bridges to provide transportation for seniors and people with disabilities, contingent on approval from the City of Santa Cruz to act as the claimant;
3. Adopt the attached resolution (Attachment 3) approving the FY 2020-21 TDA Article 8 funds claim in the amount of $96,377 requesting early allocation of funds in May 2020 for the Volunteer Center to administer the Grocery Shopper Program primarily serving seniors, contingent on approval from the City of Santa Cruz to act as the claimant;

The Bicycle Advisory Committee and staff recommend that the Regional Transportation Commission:

4. Adopt the attached resolutions (Attachments 4 and 5) approving claims for FY 2020-21 TDA Article 8 funds for the County of Santa Cruz Health Services Agency’s Community Traffic Safety Coalition (CTSC) and Ride ‘n Stride Programs in the amount of $130,000, and for Ecology Action’s Bike to Work (BTW) Program in the amount of $60,000; and

Staff further recommends that the Regional Transportation Commission:

5. Adopt the attached resolution (Attachment 1) approving the State Transit Assistance (STA) and STA State of Good Repair (SGR) claims from the Santa
Cruz Metropolitan Transit District in the amounts of $4,494,411 and $735,009 respectively; and

6. Adopt the attached resolution (Attachment 2) approving the State Transit Assistance (STA) claim from Community Bridges in the amount of $100,000 contingent upon approval by the City of Santa Cruz to act as their claimant.

BACKGROUND

The Regional Transportation Commission (RTC) allocates Transportation Development Act (TDA) funds from the region’s ¼ percent share of the state’s 7.25 percent sales tax according to state law and established formulas in the Commission’s Rules and Regulations. At the RTC’s April meeting, the FY 2020-21 budget was approved including Transportation Development Act (TDA) apportionments for Santa Cruz METRO, Community Bridges, the Volunteer Center, Bike to Work and the Santa Cruz County Health Services Agency, consistent with RTC Rules and Regulations. The City of Santa Cruz, as a local jurisdiction, has agreed to act as the claimant for both Community Bridges and the Volunteer Center, as it has historically. The City of Santa Cruz is scheduled to take action approving a resolution to act as claimant at the May 26, 2020 City of Santa Cruz City Council meeting.

State Transit Assistance (STA) funds are generated from the sales tax on diesel fuel. The RTC FY 2020-21 approved budget includes RTC’s population-based formula funds (PUC Section 99313) and Santa Cruz Metropolitan Transit District’s (METRO) estimated revenue-based formula share (PUC Section 99314). Both the METRO and the RTC-formula allocations of STA funds pass through the RTC budget. RTC FY 2020-2021 STA distributions to METRO are consistent with California Public Utilities Code (PUC) and RTC policy.

The Santa Cruz METRO, Community Bridges, Volunteer Center and Santa Cruz County Health Services Agency claims were provided to the E&D TAC for review and approval. The Bike to Work and Santa Cruz County Health Services Agency claims were provided to the E&D TAC for review and approval. Both committees recommend approval of the claims.

DISCUSSION

Consistent with the RTC annual timing for processing of TDA and STA claims, the RTC’s E&D TAC and Bicycle Committee reviewed the claims at their April meeting, and now the claims are being presented for consideration by the RTC at its May meeting.

Santa Cruz Metropolitan Transit District (METRO)

The Santa Cruz METRO operates and maintains the countywide bus system. Fixed-route public transit operations serve 26 routes throughout Santa Cruz County and
the Highway 17 Express. ParaCruz, the Santa Cruz METRO’s complementary paratransit service, operates 32 accessible vans in demand response service for persons who, due to disability, cannot access the fixed-route system. For FY 2020-21, the RTC approved budget apportions $7,628,850 in TDA funds, $4,494,411 in STA funds and $735,009 in STA SGR funds for a total of $12,858,270 to Santa Cruz METRO. Santa Cruz METRO proposes to use these funds to assist with operating the fixed route bus services and the Americans with Disabilities Act-mandated paratransit service, ParaCruz, and capital projects, including facility repairs and improvements, construction projects, vehicle replacements, and ticket vending machines. Santa Cruz METRO projects to provide 74,785 one-way ParaCruz rides and over 5 million bus rides in FY 2020-21. METRO’s claim is shown as Exhibit 1 to Attachment 1.

Community Bridges

Lift Line, a program of Community Bridges, provides specialized transportation free of charge to low income seniors and disabled individuals of Santa Cruz County, many of whom are unable to use traditional public transit or complementary paratransit. Lift Line’s transportation programs include, but are not limited to, specialized transportation to meal sites, medical appointments, Elderday, and essential services. In FY 2020-2021, TDA funds in the amount of $749,501 are projected to provide 21,803 out of a total of 48,490 rides provided by Community Bridges in the form of Medical Rides (5,500 rides), Taxi Scrip (3,200 rides), Meals on Wheels (4,203 rides), and Elderday (8,900 rides).

In FY 2020-2021, STA funds in the amount of $100,000 are projected to provide 1,414 rides to for the following services; Out of County Medical Rides, Veteran’s Transportation, Veterans’ Shuttle Watsonville, Same Day Medical Transportation, and the Downtown Senior Center.

Community Bridges has requested that the City of Santa Cruz, as a local jurisdiction, act as the claimant. Community Bridges’ claim is shown as Exhibit 1 to Attachment 2.

Volunteer Center

The Volunteer Center Transportation Program provides transportation for seniors free of charge to medical appointments, grocery shopping and other necessary activities. In FY 2020-21, the Volunteer Center’s Transportation Program is requesting TDA funds in the amount of $89,226 of FY 2020-21 funds and $7,151 in unallocated funds from previous years for a total of $96,377. The Volunteer Center is requesting early allocation of FY 2020-21 funds and the unallocated balance in May 2020 due to an increased need to scale immediate program services in response to the COVID-19 pandemic. These funds will serve approximately 150 seniors with the new Grocery Shopper Program. The new program continues to serve the same specialized transportation population serviced by the Volunteer Center’s Transportation Program in FY 19-20. To meet the needs of their most vulnerable seniors in the community, the Volunteer Center developed the Grocery
Shopper Program as a fully vetted volunteer program to provide food, grocery and medication pickup services to the most at-risk group of the COVID-19 virus. Should the COVID-19 shelter in place order be lifted and it is safe for seniors to enter the community, the Volunteer Center will resume their regular Transportation Program. The Volunteer Center has requested that the City of Santa Cruz, as a local jurisdiction, act as the claimant. The Volunteer Center claim is shown as Exhibit 1 to Attachment 3.

**Community Traffic Safety Coalition (CTSC) and Ride ‘n Stride Programs**

The County Health Services Agency (HSA) submitted the attached TDA Article 8 funding claim (Exhibit 1 of Attachment 4) as well as the TDA claim forms, work plans, and budgets for Commission review and consideration for the CTSC and Ride ‘n Stride program. Included is the CTSC’s draft Vision Zero work plan for all county jurisdictions. Also included is a semiannual summary report containing a description of services provided by HSA during July-December 2019. The total FY 2020-21 funding request for the two programs totals $130,000. The requested amount for the CTSC is $65,000 and will provide partial funding for continuing the development of Vision Zero policies, strategies, data collection, and action plans. The Ride ‘n Stride bicycle and pedestrian education program includes staff costs for bicycle and pedestrian safety presentations to elementary school students. The FY 2020-21 funding request for this program is also $65,000. The requested amounts for the CTSC and Ride ‘n Stride have been approved as part of the RTC’s FY 2020-21 budget and are the same amount as last year’s allocation. County Health Services Agency staff will be at the meeting to address any questions.

**Bike to Work**

Ecology Action submitted a funding request, FY 2020-21 TDA Article 8 claim, work plan, and budget for its Bike to Work program (Exhibit 1 to Attachment 5) for RTC review and consideration. Ecology Action is requesting $60,000 in FY 2020-21 TDA funds to support the Bike to Work/School efforts. The request is the same amount as last year’s allocation. In the next fiscal year Ecology Action will continue to expand its Workplace Bike Challenge and Ambassador programs and increase online outreach and education in addition to continuing the biannual Bike to Work events and programming. Exhibit 1 to Attachment 5 provides the FY 2020-21 scope of work and budget detailing the services Bike to Work proposes to provide during the coming fiscal year. Also included is a 2019 Summary Report containing a description of services provided by BTW during the previous calendar year. Ecology Action staff will be at the meeting to respond to any questions or comments regarding the Bike to Work program.

The E&D TAC, Bicycle Committee, and staff recommend adoption of the attached resolutions approving the TDA claims and STA claims for Santa Cruz METRO, Community Bridges, the Volunteer Center, Bike to Work and the Santa Cruz County Health Services Agency at the amounts requested, which are consistent with the RTC’s approved FY 2020-21 budget.
FISCAL IMPACT

The claims in this report are consistent with the RTC’s FY 2020-21 budget approved by the RTC at its April 2, 2020 meeting. The TDA and STA revenue estimates for that budget were produced prior to the COVID-19 pandemic. The COVID-19 pandemic resulted in shelter-in-place orders which are having a significant impact on the economic activity that generates the TDA and STA revenues. Therefore, it is anticipated that the revenue estimates provided for FY 2019-20 will not be met and that the revenue estimates for FY 2020-21 produced in January and February must be revised. However, because the duration of the social changes associated with the COVID-19 pandemic is still very uncertain, it is too early to provide estimates that take into account the full economic impacts of the pandemic. Preliminary estimates for Measure D revenues provided by RTC’s consultant, HDL Services, indicate that Measure D revenues will decrease by about 12.2% in FY 2019-20 compared to FY 2018-19 and decrease by about an additional 4.4% in FY 2020-21 and start to rebound in FY 2021-22. Because TDA revenues are derived from the same transactions as Measure D revenues, similar impacts are anticipated for the TDA revenues.

The RTC has a reserve fund for TDA that is 8% of estimated revenues. This means that if indeed FY 2019-20 revenues decrease by about 12.2%, the TDA reserve fund will be insufficient to meet all the TDA claim commitments approved for funds through FY 2019-20. If the TDA reserve fund is fully used to meet to the fullest extent possible the TDA commitments for funds through FY 2019-20, there will not be any reserve funds available in FY 2020-21 to help meet the claims in this report. Therefore, the RTC will need to consider revised TDA apportionments that are below the amounts of the claims in this report. This report recommends approval of the claims consistent with the approved RTC FY 2020-21 budget; however, RTC staff will return to the RTC as soon as possible, hopefully in June, with proposed revisions to that budget. If the preliminary estimates hold, the reductions would be about 17% from the amounts in this report. Payment on these claims would be adjusted should the RTC amend the FY 2021-21 Transportation Development Act apportionments in the FY 2020-21 budget. Payment amounts for the STA claims will be based on the actual STA funds approved by the State and received by the RTC from the State.

SUMMARY

Annually Santa Cruz METRO, Community Bridges, the Volunteer Center, Bike to Work and Santa Cruz County Health Services Agency submit claims for the expenditure of Transportation Development Act funds and State Transit Assistance funds. These are made available to the recipients to provide transit services, specialized transportation services for seniors and people with disabilities, and bicycle and pedestrian services and programs as allowed by state law. The annual FY 2020-21 TDA claims are consistent with state requirements and the RTC’s rules and regulations and were reviewed by the RTC’s E&D TAC and Bicycle Committee. The E&D TAC, Bicycle Committee and staff recommend approval of the TDA and STA claims as submitted. Due to the impacts of the COVID-19 pandemic, RTC staff
will return to the RTC, as soon as possible, with proposed revisions to the amounts of these claims, which will likely be significant reductions.

**Attachments:**

1. Resolution approving FY 2020-21 TDA and STA funds for Santa Cruz METRO
2. Resolution approving FY 2020-21 TDA and STA funds for the City of Santa Cruz on behalf of Community Bridges
3. Resolution approving FY 2020-21 TDA Funds for the City of Santa Cruz on behalf of the Volunteer Center
4. Resolution approving FY 2020-21 TDA funds for the County HSA’s Community Traffic Safety Coalition and Ride ‘n Stride Program
5. Resolution approving FY 2020-21 TDA funds for the Bike to Work Program
RESOLUTION NO.

Adopted by the Santa Cruz County Regional Transportation Commission

on the date of May 7, 2020

on the motion of

duly seconded by

WHEREAS, the Transportation Development Act of 1971, Article 4, Section 99260(a)
of the Public Utilities Code provides that transit operators may file a claim for monies from
a county’s local transportation fund with the transportation planning agency for that county;

WHEREAS, the Santa Cruz Metropolitan Transit District (METRO) is a transit operator
in accordance with Article 1, Section 99210 of the Public Utilities Code, and the Santa Cruz
County Regional Transportation Commission (RTC) is the regional transportation planning
agency for Santa Cruz County, in accordance with Article 1, Section 99214 of the Public
Utilities Code;

WHEREAS, in its approved FY 2020-21 budget, the RTC apportioned the following to METRO:

• $7,628,850 in Transportation Development Act (TDA) funds,
• $2,282,834 in RTC’s population-based State Transit Assistance (STA) formula funds
  (PUC Section 99313),
• $2,211,577 in METRO’s revenue-based STA formula funds (PUC Section 99314),
• $381,203 in RTC’s population based STA State of Good Repair (SGR) formula funds
  (PUC Section 99313), and
• $353,806 in METRO’s revenue based STA SGR formula funds (PUC Section 99314),

for a total of $12,858,270 apportioned to METRO;

WHEREAS, METRO submitted a claim for Transportation Development Act funds and
State Transit Assistance Funds in accordance with TDA statutes and the RTC Rules and
Regulations; and,

WHEREAS the Elderly & Disabled Transportation Advisory Committee, at its April 14,
2020 meeting, recommended that the Regional Transportation Commission approve this
claim;

THEREFORE BE IT RESOLVED BY THE SANTA CRUZ COUNTY REGIONAL TRANSPORTATION
COMMISSION:

1. The FY 2020-21 Transportation Development Act (TDA) claim by Santa Cruz
Metropolitan Transit District (METRO) fulfills the requirements specified in the
Transportation Development Act and the Santa Cruz County Regional Transportation
Commission’s (RTC) Rules and Regulations and the RTC finds that:
a. The proposed expenditures are in conformity with the Regional Transportation Plan.

b. The level of passenger fares and charges is sufficient to enable the METRO to meet the fare revenue requirements of Public Utilities Code sections 99268.1 or 99268.2b as an older operator.

c. METRO is making full use of federal funds available under the Urban Mass Transportation Act of 1964.

d. The sum of METRO’s allocations from the State Transit Assistance (STA) and the TDA funds does not exceed the amount that METRO is eligible to receive during the fiscal year.

e. The claim funds may be used to offset reductions in federal operating assistance and the unanticipated increase in the cost of fuel, to enhance existing public transportation services, and to meet high priority regional, countywide, or area wide public transportation needs.

f. METRO made a reasonable effort to implement the productivity improvements recommended pursuant to Public Utilities Code section 99244 as specified in sections 17 and 22 of the TDA claim form.

g. METRO obtained certification by the Department of the California Highway Patrol verifying that METRO is in compliance with section 1808.1 of the Vehicle Code, as required in Public Utilities Code section 99251. The certification shall have been completed within the last 13 months.

2. The claim submitted by the Santa Cruz Metropolitan Transit District for Transportation Development Act Article 4 funds in the amount of $7,628,850, State Transit Assistance funds in the amount of $4,494,411 and STA State of Good Repair funds in the amount of $735,009 for fiscal year 2020-21 is hereby approved, to be paid in quarterly payments, as specified below:

<table>
<thead>
<tr>
<th>Quarter</th>
<th>TDA</th>
<th>STA</th>
<th>STA-SGR</th>
</tr>
</thead>
<tbody>
<tr>
<td>1st Quarter</td>
<td>$1,907,212.50</td>
<td>$1,123,602.75</td>
<td>$183,752.25</td>
</tr>
<tr>
<td>2nd Quarter</td>
<td>$1,907,212.50</td>
<td>$1,123,602.75</td>
<td>$183,752.25</td>
</tr>
<tr>
<td>3rd Quarter</td>
<td>$1,907,212.50</td>
<td>$1,123,602.75</td>
<td>$183,752.25</td>
</tr>
<tr>
<td>4th Quarter</td>
<td>$1,907,212.50</td>
<td>$1,123,602.75</td>
<td>$183,752.25</td>
</tr>
<tr>
<td>Total</td>
<td>$7,628,850.00</td>
<td>$4,494,411.00</td>
<td>$735,009.00</td>
</tr>
</tbody>
</table>

3. Should the RTC amend its FY 2020-21 budget to modify TDA revenue apportionments to METRO, the Executive Director is authorized to modify the payment amounts consistent with the RTC’s approved FY 2020-21 budget.

4. The Executive Director is authorized to modify the payment amounts based on actual STA funds approved by the State and received by the RTC from the State.

AYES: COMMISSIONERS

NOES: COMMISSIONERS

ABSTAIN: COMMISSIONERS
ATTEST:

Guy Preston, Secretary

Exhibit 1: Santa Cruz METRO TDA and STA claim and supporting materials

Distribution: METRO
RTC Fiscal
March 29, 2020

Guy Preston, Executive Director
Santa Cruz County Regional Transportation Commission
1523 Pacific Avenue
Santa Cruz, CA 95060

Dear Mr. Preston:

The Santa Cruz Metropolitan Transit District’s FY21 Transportation Development Act (TDA) Claim Form is enclosed. METRO is the single fixed-route and ADA-mandated complementary paratransit provider in Santa Cruz County and is responsible for all operations, maintenance and administration, including civil rights compliance, in accordance with federal, state and local requirements. METRO will allocate all of the FY21 TDA-Local Transportation Fund (TDA-LTF) revenue to the operating budget and its FY21 TDA-State Transit Assistance (TDA-STA) revenue to the operating and capital budgets. The respective TDA-LTF and TDA-STA allocations are shown in the Santa Cruz Metropolitan Transit District FY21 & FY22 Preliminary Operating Budget and the FY21 Preliminary Capital Budget attached to the Claim form.

Santa Cruz METRO requests a total of $12,858,270 in TDA-LTF and TDA-STA funds allocated in the Santa Cruz County Regional Transportation Commission’s FY21 Work Program and Budget as summarized below:

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>TDA – LTF FY21 Transit Operations</td>
<td>$7,628,850</td>
</tr>
<tr>
<td>TDA – STA FY21 $100,000 less of Sec 99313 Operations and Capital</td>
<td>$2,282,834</td>
</tr>
<tr>
<td>TDA – STA FY21 99314 Operations and Capital</td>
<td>$2,211,577</td>
</tr>
<tr>
<td>STA-SGR FY21 100% of 99313 Vehicle Replacements</td>
<td>$381,203</td>
</tr>
<tr>
<td>STA-SGR FY21 99314 Vehicle Replacements</td>
<td>$353,806</td>
</tr>
<tr>
<td>Total</td>
<td>$12,858,270</td>
</tr>
</tbody>
</table>

If TDA funding levels vary from the budgeted amount during FY21, the SCCRTC will revise the TDA allocations to METRO in accordance with an amended FY21 SCCRTC Work Program and will pay METRO the revised amount of TDA funds without further action from METRO.

The FY21 TDA Claim has been prepared with the most recently available budget and system performance data in accordance with the SCCRTC’s guidance and Caltrans TDA Statutes. Please call me if you need additional information.

Sincerely,

Alex Clifford
CEO/General Manager

cc: Maura F. Twomey, AMBAG
SANTA CRUZ METROPOLITAN TRANSIT DISTRICT

DATE: March 29, 2020

TO: Executive Director, SCCRTC

FROM: CEO/General Manager, Santa Cruz METRO

SUBJECT: FY21 TDA FUNDS DISBURSEMENT REQUIREMENT

METRO requests disbursement of the Santa Cruz Metropolitan Transit District’s FY201 TDA claim for $7,628,850 in TDA-LTF funds, $4,494,411 in TDA-STA funds, and $735,009 in STA-SGR funds as follows:

TDA-LTF FUNDING FOR FY21

<table>
<thead>
<tr>
<th>Disbursement Schedule</th>
<th>Operating Funds</th>
<th>Total Disbursement</th>
</tr>
</thead>
<tbody>
<tr>
<td>First Quarter</td>
<td>$1,907,212.50</td>
<td>$1,907,212.50</td>
</tr>
<tr>
<td>Second Quarter</td>
<td>$1,907,212.50</td>
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<tr>
<td>Third Quarter</td>
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<tr>
<td>Fourth Quarter</td>
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<td>$1,907,212.50</td>
</tr>
<tr>
<td><strong>$7,628,850.00</strong></td>
<td><strong>$7,628,850.00</strong></td>
<td></td>
</tr>
</tbody>
</table>

TDA-STA FUNDING FOR FY21 (Sec. $100,000 less of 99313 and 100% 99314 STA)

<table>
<thead>
<tr>
<th>Disbursement Schedule</th>
<th>Operating Funds</th>
<th>Capital Funds</th>
<th>Total Disbursement</th>
</tr>
</thead>
<tbody>
<tr>
<td>First Quarter</td>
<td>$1,083,088.25</td>
<td>$40,514.50</td>
<td>$1,123,602.75</td>
</tr>
<tr>
<td>Second Quarter</td>
<td>$1,083,088.25</td>
<td>$40,514.50</td>
<td>$1,123,602.75</td>
</tr>
<tr>
<td>Third Quarter</td>
<td>$1,083,088.25</td>
<td>$40,514.50</td>
<td>$1,123,602.75</td>
</tr>
<tr>
<td>Fourth Quarter</td>
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<td>$40,514.50</td>
<td>$1,123,602.75</td>
</tr>
<tr>
<td><strong>$4,332,353.00</strong></td>
<td><strong>$162,058.00</strong></td>
<td></td>
<td><strong>$4,494,411.00</strong></td>
</tr>
</tbody>
</table>

STA-SGR FUNDING FOR FY21 (Sec. 100% of 99313 and 99314 SGR)

<table>
<thead>
<tr>
<th>SGR Disbursement Schedule</th>
<th>Capital</th>
</tr>
</thead>
<tbody>
<tr>
<td>First Quarter</td>
<td>$183,752.25</td>
</tr>
<tr>
<td>Second Quarter</td>
<td>$183,752.25</td>
</tr>
<tr>
<td>Third Quarter</td>
<td>$183,752.25</td>
</tr>
<tr>
<td>Fourth Quarter</td>
<td>$183,752.25</td>
</tr>
<tr>
<td><strong>$735,009.00</strong></td>
<td></td>
</tr>
</tbody>
</table>
FY21 TDA funds will be used for fixed-route and paratransit operating, capital and administrative costs as shown on the FY21 TDA Claim Form and in the Santa Cruz Metropolitan Transit District FY21 & FY22 Preliminary Operating Budget and the FY20 Preliminary Capital Budget, which the Board is anticipated to approve on 4/24/20. SGR funds will be used for bus replacements.
Transportation Development Act (TDA) CLAIM FORM
Submit a separate form for each project.

This form has been developed in an effort to standardize information required from TDA recipients, based on TDA Statute, RTC Rules and Regulations, and/or RTC board requests.
If you have any questions about this claim form or would like an electronic copy of the form, please contact the Santa Cruz County Regional Transportation Commission at 460-3200.

Project Information

1. Project Title: FY21 Santa Cruz METRO Operating and Capital Assistance

2. Implementing Agency: Santa Cruz Metropolitan Transit District (METRO)

3. Sponsoring Agency (if different) – must be a TDA Eligible Claimant:

4. Funding requested this claim:

<table>
<thead>
<tr>
<th>TDA-LTF (FY20/21)</th>
<th>$ 7,628,850</th>
</tr>
</thead>
<tbody>
<tr>
<td>TDA-STA 99313</td>
<td>$ 2,282,834</td>
</tr>
<tr>
<td>TDA-STA 99314</td>
<td>$ 2,211,577</td>
</tr>
<tr>
<td>SGR 99313</td>
<td>$ 381,203</td>
</tr>
<tr>
<td>SGR 99314</td>
<td>$ 353,806</td>
</tr>
</tbody>
</table>

5. Fiscal Year (FY) for which funds are claimed: FY21

6. General purpose for which the claim is made, identified by the article and section of the Act which authorizes such claims:
   - Article 8 Bicycle and/or Pedestrian Facility
   - Article 4 Public Transportation
   - Article 8 Specialized Transportation
   - Article 3 & 8 TDA Admin or Planning

7. Contact Person/Project Manager
   a. Name: Alex Clifford, CEO/General Manager
      Telephone Number: (831) 426-6080. Email: Aclifford@scmtd.com
   b. Secondary Contact (in event primary not available): Wondimu Mengistu, Grants/Legislative Analyst Telephone Number: (831) 420-2580. Email: Wmengistu@scmtd.com

8. Project/Program Description/Scope (use additional pages, if needed, to provide details such as work elements/tasks.

This project provides $11,961,203 for fixed-route public transit and ADA complementary paratransit operations in Santa Cruz County and $897,067 for capital improvements. Fixed-route public transit operations require a maximum fleet of 76 buses serving 26 routes throughout Santa Cruz County, including the Highway 17 Express AMTRAK feeder service between Santa Cruz and San Jose (Diridon Station). ParaCruz, METRO’s complementary paratransit service, operates 32 accessible vans in demand-response service for persons who, due to disability, cannot access the fixed-route system. FY21 SGR Capital funds ($735,009) and $162,058 in STA funds transferred to the capital
TDA Claim

budget contribute $897,067 of $3,000,000 in capital funding to procure replacement buses.

9. Project Location/Limits (attach a map and/or photos if available/applicable, include street names):

METRO Service Area.

10. Justification for the project. (Why is this project needed? Primary goal/purpose of the project; problem to be addressed; project benefits; importance to the community)

This project provides financial support for fixed-route public transit and paratransit service in Santa Cruz County and critical capital improvement funds to replace and/or refurbish buses that are beyond their useful lifespan. Public transit is lifeline transportation for residents who do not have access to a privately owned vehicle and offers an alternative transportation mode choice for others. Increasing public transit ridership is a goal of the 2040 RTP, and TDA/STA financial assistance is required to sustain current levels of transit service, which will support ridership growth in subsequent years.

While METRO has been successful in obtaining capital grants to replace some of its aging fleet, it still needs additional capital funds to replace the backlog of old buses which need to be replaced. METRO continues to operate buses, which are beyond their useful life, and is purchasing new, low and no-emission buses to transition to a 100% zero-emission fleet by 2040. METRO also needs to develop and implement charging infrastructure to support electric bus operations and battery storage to allow METRO to avoid purchasing power from the grid at peak price times.

11. Project Productivity Goals for this fiscal year:
   a. Measures of performance, success or completion to be used to evaluate project/program (ex. increase use of facility/service, decrease collisions, etc.):
      - Total Annual passenger trips
      - Operating Cost/Hour
      - Farebox Recovery Ratio

   b. Number of people to be served/anticipated number of users of project/program (ex. number of new or maintained bike miles; number of people served/rides provided):

      For FY21, METRO projects 5,118,277 fixed-route and ParaCruz passenger trips based upon a FY19 actual ridership reduction by 0.05% in fixed-route and 1.9% increase in ParaCruz passenger trips. The FY21 ParaCruz ridership estimate is 74,785 trips, 1.9% higher than the 73,497 actual trips carried in FY19. The FY21 ParaCruz ridership estimate is based upon current trends to adjust the previous year’s actual ridership.

12. Consistency and relationship with the Regional Transportation Plan (RTP) - Is program/project listed in the RTP and/or consistent with a specific RTP Goal/Policy?

Yes, METRO’s FY21 TDA/STA project conforms to these goals and targets in the 2040 RTP, Transportation Goals, Policies and Targets:

**Goal 1:** Improve people’s ability to meet most of their daily needs without having to
drive. Improve access and proximity to employment centers (Attachment 3, p. 1).

**Targets:**
1A. Increase the percentage of people that can travel to key destinations within a 30-minute walk, bike or transit trip by 20 percent by 2020 and 47 percent by 2040 (Attachment 3, p. 1).
1B. Reduce per capita fuel consumption and greenhouse gas emissions by 1 percent by 2020 and 5 percent by 2035 and 6 percent by 2040. (Attachment 3, p. 1).
1E. Increase the number of active transportation trips by 5 percent of total trips by 2020 and by 20% of all trips by 2040. (Attachment 3, p. 2).

**Goal 3:** Deliver access and safety improvements cost effectively, within available revenues, equitably and responsive to the needs of all users of the transportation system, and beneficially for the natural environment.

**Targets:**
3C. Reduce travel times and increase travel options for people who are transportation disadvantaged due to income, age, race, disability or of limited English proficiency by increasing the percentage that are within a 30-minute walk, bike or transit trip to key destinations by 20% by 2020 and 47% by 2040.

13. Impact(s) of project on other modes of travel, if any (ex. parking to be removed):
   - Reduce congestion on local streets and roads by providing alternatives to the private automobile.
   - Increase range of travel for bicycles by accommodating bikes on buses.
   - Provide feeder service to intercity bus, rail and airline network at San Jose.

14. Estimated Project Cost/Budget, including other funding sources, and Schedule: (attach project budget). Specialized Transportation Claims require 10% local match. Local match can take the form of fares, donations, agency charges, grants, revenue sharing and other non-restricted sources. In kind services many NOT apply toward the local match.

METRO will contribute $11,538,007 in farebox revenue together with sufficient advertising, rental and interest income to meet the 50% match for operating funds.

What is the total project cost?

$54,906,933 for FY21 operations and $3,000,000 for capital improvements as published in the Santa Cruz Metropolitan Transit District FY21 & FY22 Preliminary Operating Budget and FY21 Preliminary Capital Budget, Attachment A. Revenue sources for capital improvements (replacement buses) are $162,058 FY21 STA transferred from operating budget; $735,009 SGR capital; $2,102,933 FY21 Measure D transferred from operating budget.

Is project fully funded? Yes.

What will TDA (and STA) funds be used on (ex. administration, brochures, engineering, construction)?
Public transit operations; administration; capital improvements.

15. Preferred Method and Schedule for TDA fund distribution (see RTC Rules and Regulations for details): SCMTD: ☒ Quarterly disbursement

16. TDA Eligibility:

<table>
<thead>
<tr>
<th>YES/?/NO?</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Has the project/program been approved by the claimant's governing body? Form of approval (e.g. resolution, work program, budget, and other document) NO. However, on 3/12/19, the METRO Finance, Budget and Audit Standing Committee adopted the FY20 &amp; FY21 Preliminary Operating Budget for the purpose of submitting the TDA claim in the amounts requested with this claim. If &quot;NO,&quot; provide the approximate date approval is anticipated. 4/24/2020</td>
</tr>
<tr>
<td>B. Has this project previously received TDA funding? (This Project is defined as FY21 operations.)</td>
</tr>
<tr>
<td>C. For capital projects, have provisions been made by the claimant to maintain the project or facility, or has the claimant arranged for such maintenance by another agency? (If an agency other than the Claimant is to maintain the facility provide its name: ________________________________ )</td>
</tr>
<tr>
<td>D. Bike, Ped, and Specialized Transportation Claims: Has the project already been reviewed by the RTC Bicycle Committee and/or Elderly/Disabled Transportation Advisory Committee? (If &quot;NO,&quot; project will be reviewed prior to RTC approval).</td>
</tr>
</tbody>
</table>

**SCMTD, CTSA, Bike to Work, CTSC Only – PLEASE KEEP ANSWERS BRIEF**

17. Improving Program Efficiency/Productivity

- Describe any areas where special efforts have been made in the last fiscal year to reduce operating cost and/or increase ridership/program usage. Note any important trends.
  - New Single-Ride tickets were introduced in October, to help shorten wait times while boarding the Highway17 Express and local routes.
  - In April 2019, METRO conducted an on-board survey and ridecheck, METRO’s first since 2012, to enhance its understanding of its riders, demographics, travel patterns, satisfaction with METRO services, and preferences in the use of various technologies including fare payment methods.
  - Downtown Employee Bus Pass Program Pilot – In an effort to increase mobility options and reduce single occupant vehicle travel in downtown Santa Cruz, METRO collaborated with the City of Santa Cruz by issuing 4,000 “Go Santa Cruz” bus passes to provide to every downtown employee for a one year pilot project to test the appeal of public transportation for new users who work in the downtown area. These passes provide unlimited rides on Santa Cruz METRO’s local service for the pilot project period.
  - Highway 17 Express Mobile Ticketing Program Pilot - METRO will use the Highway 17 Express route to test a mobile ticketing system using a one-year pilot. METRO is
employing Masabi to implement this pilot program in March of 2020. The intent of this pilot is to minimize boarding times and simplify the ticket purchase process. Upon completion of the pilot, METRO will decide whether to continue this service and expand to the rest of the system. Purchase of on-board validators will likely be necessary to provide mobile ticketing to METRO’s entire system.

- METRO has proposed a new contract services with Cabrillo College, which will run for three school years (2018-2019 through 2020-21) and includes an option for two additional school years (2021-22 and 2022-23). In return, all Cabrillo students can ride METRO’s local fixed-route service with no out-of-pocket costs, a significant incentive to increase countywide transit ridership. METRO has also renewed a contractual service with the University of California Santa Cruz to support transit operations serving their campuses.
- METRO is continuously fine-tuning the time of its route and considering route modification to improve efficiency.

- **Goals for next fiscal year (ex. identify opportunities to maximize economies of scale, planned productivity improvements).** Describe any areas where special efforts will be made to improve efficiency and increase program usage/ridership:
  - Purchase two electric buses to implement the FY16, FY17 and FY18 Low Carbon Transit Operations Program for expanded Watsonville service.
  - Develop electric charging infrastructure and battery storage plan for electric buses serving Watsonville area.
  - Refurbishing existing buses to extend their useful life.
  - Begin rebuilding service from the FY17 service restructuring.
  - Improve on-time performance.
  - Continue pursuit of discretionary grants in state and federal programs.
  - Deploy Automatic Vehicle Locators to provide real-time travel information to customers and improve vehicle dispatch response.

18. What is different from last year’s program/claim?
   a. This year’s TDA claim is less than last year’s amended claim, $7,912,960 vs $7,628,850.
   b. At its September 5, 2019 meeting, the RTC approved METRO’s request to allocate $100,000 per year of the RTC’s (PUC 99313) FY19/20-FY21/22 State Transit Assistance (STA) allocation to Community Bridges Lift Line and to allocate the balance of the RTC’s FY19/20-FY21/22 share of STA and 100% of the RTC’s (PUC 99313) of FY19/20-FY21/22 SB1-State Transit Assistance State of Good Repair (SGR) funds to METRO.

19. Schedule of regular progress reports including an evaluation at the end of the year:
   - SCMD – April each year

**CTSA and Volunteer Center (Article 8) Only**

20. Are these transportation services responding to transportation needs not otherwise being met within the community or jurisdiction of the claimant? Describe.

21. Where appropriate, are these specialized transportation services coordinated with other transportation
services? Describe.

i. Provide performance information, as pertinent, such as: verification of the operating cost per passenger, operating cost per vehicle service hour, passengers per vehicle service hour, passengers per vehicle service mile, and vehicle service hours per employee for last fiscal year (definitions available in Section 99247 of TDA Guidelines). *(99246d, per 2010 Performance Audit)*

22. Discuss the needs and types of the passengers being served, the employment of part-time drivers and the contracting with common carriers of persons operating under a franchise or license to provide services during peak hours, as defined in subdivision (a) of Section 99260.2. *(99246d, per 2010 Performance Audit)*

**SCMTD, CTSC, Volunteer Center & RTC Only**

23. List the recommendations provided in the last TDA Triennial Performance Audit and your progress toward meeting them.

- Describe the work your agency has undertaken to implement each performance audit recommendation and the steps it will take to fully implement the recommendation.
- For any recommendations that have not been implemented, explain why the recommendation has not been implemented and describe the work your agency will undertake to implement each performance audit recommendation.
- Describe any problems encountered in implementing individual recommendations.

1. **Santa Cruz METRO should prioritize the addition of on-board cameras.**

   METRO installed on-board cameras on all its buses. Each bus is outfitted with 13 cameras at different angles. The cameras monitor driver performance and are used to investigate customer service complaints. Camera footage is recorded and stored for future reference and training. Local law enforcement has been able to request footage from the camera feed. METRO has established protocols and policies for the use of the on-board cameras.

2. **Santa Cruz METRO should prioritize technology investment to continuously track on-time performance.**

   METRO recognizes that installing an automatic vehicle locator (AVL) system to help track on-time performance is one of its highest priorities. METRO has been working on implementation of the Syncomatics intelligent transportation systems infrastructure, which includes real-time tracking via an AVL system, automated passenger counters, and voice annunciators.

   AVL system will improve operational efficiency, data gathering and analysis, and provide a customer facing Predictive Arrival and departure System (PADS). This technology will provide METRO with much needed data that will be used to improve the accuracy of on-time performance, making for better system service. AVL will also significantly enhance the customer’s experience by providing up to date information on bus arrival and system disruptions. The system has been deployed on half of the revenue fleet to date and is in the testing phase.

   AVAS provides automatic audio announcement and visual displays of destination and
stop information for passengers with disabilities utilizing GPS to obtain vehicle’s location on a path of travel. METRO’s current AVAS is no longer supported and is faced with dwindling parts availability. Therefore, an updated AVAS is deemed an essential element to this project.

3. **Santa Cruz METRO should strengthen its marketing program.**

METRO has implemented a series of measures designed to boost its marketing outreach. METRO hired a marketing director in May 2019 and has been developing a marketing plan based on an on-board survey conducted in June 2019. Other initiatives undertaken by the agency include an upgrade of the website’s content management system, the opening of the Watsonville Transit Center, mobile ticketing pilot program for the Highway 17 Express Route, and increased social media engagement. Service-specific marketing campaigns were initiated, such as for the Watsonville Circulator. Social media optimization resulted in a significant increase in post reach on Facebook. Social media platforms are used for service alerts and to drive users to the website.

### SCMTD Only

24. **Farebox Recovery Ratio:** (split out=urbanized service vs. non-urban service farebox ratios for prior year and year-to-date)

<table>
<thead>
<tr>
<th>Funds</th>
<th>Urbanized Service</th>
<th>Rural/Non-Urban Service&lt;sup&gt;1&lt;/sup&gt;</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fare Revenue:</td>
<td>$10,210,001</td>
<td>$134,968</td>
</tr>
<tr>
<td>Local Support Revenues&lt;sup&gt;2&lt;/sup&gt;:</td>
<td>$34,675,997</td>
<td>$1,558,065</td>
</tr>
<tr>
<td>Operation costs:</td>
<td>$54,263,218</td>
<td>$643,715</td>
</tr>
<tr>
<td>Ratio Fare Rev ÷ Op Cost&lt;sup&gt;3&lt;/sup&gt;:</td>
<td>18.8%</td>
<td>21.0%</td>
</tr>
<tr>
<td>Passengers/Year&lt;sup&gt;4&lt;/sup&gt;:</td>
<td>5,036,711</td>
<td>81,566</td>
</tr>
<tr>
<td>Cost per ride being subsidized for different services/funds:</td>
<td>$10.77</td>
<td>$7.89</td>
</tr>
</tbody>
</table>

The projected FY20 cost per ride in the urbanized area is $10.77 and $7.89 in the rural area. These differences reflect the much lower ridership per hour in the rural areas vs. the urban areas. Highway 17 Express performance measures are included in all calculations.

Note: Exemptions for calculating operating costs – spell out in your operating budget summary.
- Service extensions are exempt until two years after the end of the fiscal year during which they were established.

---

<sup>1</sup> FY 21 Preliminary Budget all Fares* FY 19 rural fares/total fares
<sup>2</sup> Support Revenue Allocated Rural/Urban by FY 19 rural operating hours/total hours
<sup>3</sup> Excludes, 2016 Net Sales Tax (Measure D), 1979 Gross Sales Tax (1/2 cent), advertising, and other misc. revenues.
<sup>4</sup> FY 19 Actual Ridership less 0.024%
<sup>5</sup> FY 1978-79 Ratio: 56.9%
TDA Claim

(PUC Sec. 99268.8). This exemption applies only if the new service was not provided nor was funded by LTF/STA during any of the prior three fiscal years.

- The additional operating costs to a transit operator of providing comparable complementary paratransit services, pursuant to the Americans with Disabilities Act, that exceed operator’s prior year costs as adjusted by the CPI are excluded from operating cost.
- As set forth in Section 99268.2, ratio must be at least equal to one-fifth if serving an urbanized area or one-tenth if serving a non-urbanized area. If a ratio of the sum of fare revenues and local support to operating cost greater than one-fifth if serving an urbanized area, or one-tenth if serving a non-urbanized area, during the 1978-79 fiscal year shall, at least, maintain that ratio in order to be eligible for additional funds pursuant to this section.
- Additional exclusions in calculating urban/rural farebox recovery: operating costs above the consumer price index for fuel, alternative fuel programs, power, insurance premiums and payments in settlement of claims, and state and federal mandates.

25. Did the SCMTD operating budget increase over 15% from the prior fiscal year?

If the answer is yes, please provide a statement identifying and substantiating the reason or need for the increase in the transit operating budget in excess of 15% above the preceding year, and identify substantial increases or decreases in the scope of operations or capital provisions for major new service - (transit claimants only, if applicable).

NO, the FY21 preliminary operating budget shows an increase of 6.2% over the final FY20 budget.

26. Operating statistics (compare current fiscal year to date to last three full fiscal years; *TDA required performance indicators), submit items from the following list.

Please see METRO Performance Indicators FY15– FY19 Following

- Annual passengers
  - Rides/passenger trips provided by type (student, senior, adult, pass holders, etc, or however state’s kept) and amount of TDA $ used for each type of ride.

For FY21, TDA funds will contribute an estimated $2.15 per fixed-route passenger trip and $15.78 per ParaCruz passenger trip.

- Annual service hours- Please see Transit Fact Sheet, attached
- Passengers per vehicle service hour*- Please see Transit Fact Sheet, attached
- Annual service miles- Please see Transit Fact Sheet, attached
- # of fixed-route miles- Please see Transit Fact Sheet, attached
- Passengers per vehicle service mile*- Please see Transit Fact Sheet, attached
- Average passengers per weekday
- Total operating costs in budget- Please see Transit Fact Sheet, attached
- Operating cost per vehicle service hour*- Please see Transit Fact Sheet, attached
- Total operating cost per passenger*- Please see Transit Fact Sheet, attached
- Average Farebox Revenue per passenger (describe what is included)- Please see Transit Fact Sheet, attached
- # of FTE employees (all employees, not just drivers) Please see Transit Fact Sheet, attached
Vehicle Service hours/Employee*- Please see Transit Fact Sheet, attached

# of routes- Please see Transit Fact Sheet, attached

Average route length-

Average travel times/rider

# of bus stops- Please see Transit Fact Sheet, attached

# of vehicles in operation- Please see Transit Fact Sheet, attached

# of monthly bus passes in circulation

Max vehicles in service at any time: Please see Transit Fact Sheet, attached

Hours of service: Please see Transit Fact Sheet, attached

Approximate # of unduplicated passengers

Cost per unit of service plus text about long range plans to make/keep this low-

Please see Transit Fact Sheet, attached.

METRO will continue to provide transit service that balances the needs of the community in a cost efficient manner, including high ridership corridors, geographic coverage, and equitability.

Funds and percentage spent on administration/overhead/grantee allocation/etc

Actual financials compared with budget

Actual number of rides provided compared with goal and text about whether goal was met and why/why not

**Definitions:**

a) "Operating cost" means all costs in the operating expense object classes exclusive of the costs in the depreciation and amortization expense object class of the uniform system of accounts and records adopted by the Controller pursuant to Section 99243. “Operating cost” excludes all subsidies for commuter rail services operated on railroad lines under the jurisdiction of the Federal Railroad Administration, all direct costs for providing charter services, all vehicles lease costs, and principal and interest payments on capital projects funded with certificates of participation.

b) "Operating cost per passenger," means the operating cost divided by the total passengers.

c) "Operating cost per vehicle service hour," means the operating cost divided by the vehicle service hours.

d) "Passengers per vehicle service hour" means the total passengers divided by the vehicle service hours.

e) "Passengers per vehicle service mile" means the total passengers divided by the vehicle service miles.

f) "Total passengers" means the number of boarding passengers, whether revenue producing or not, carried by the public transportation system.

g) "Transit vehicle" means a vehicle, including, but not limited to, one operated on rails or tracks, which is used for public transportation services funded, in whole or in part, under this chapter.

h) "Vehicle service hours" means the total number of hours that each transit vehicle is in revenue service, including layover time.

i) "Vehicle service miles" means the total number of miles that each transit vehicle is in revenue service.

j) "Vehicle service hours per employee" means the vehicle service hours divided by the number of employees employed in connection with the public transportation system, based on the assumption that 2,000 person-hours of work in one year constitute one employee. The count of employees shall also include those individuals employed by the operator, which provide services to the agency of the operator responsible for the operation of the public transportation system even though not employed in that agency.

**Documentation to Include with Your Claim:**

All Claims

- YES. A letter of transmittal addressed to the SCCRTC Executive Director that attests to the accuracy of the claim and all its accompanying documentation.

- YES. Statement from the TDA Eligible Claimant indicating its role and responsibilities.
Article 8 Bicycle/Pedestrian Claims
- Evidence of environmental review for capital projects

All Transit and Specialized Transportation Claims (SCMTD, CTSA, and Volunteer Center)
- YES. A copy of the operating and capital budgets for the coming fiscal year
- YES. Description of capital projects, including time frame over which project will be funded and implemented
- YES. Operating Plan for current and upcoming activities – can be within project description

Article 4 Transit Claims
- YES. A certification from the California Highway Patrol (completed within the last 13 months) indicating that the operator is in compliance with Section 1808.1 of the Vehicle Code.
- YES. Other Certifications
- YES. Written report of current and upcoming activities. (per RTC Rules and Regulations)
- YES. TDA Standard Assurances Checklist

Local Agency Certification:

This TDA Claim has been prepared in accordance with the SCCRTC’s Budget, SCCRTC’s Rules and Regulations, and Caltrans TDA Guidebook (http://www.dot.ca.gov/hq/MassTrans/State-TDA.html). I certify that the information provided in this form is accurate and correct. I understand that if the required information has not been provided this form may be returned and the funding allocation may be delayed.

Signature _____________________________
Title: CEO/General Manager ___________________________ Date: __March 29, 2020__

I:\E&DTAC\TDA\Metro\2021\Metro_Revised_TDAClaimForm_FY20-21.doc
# TDA Standard Assurances Checklist

**Claimant:** Santa Cruz Metropolitan Transit District  
**Fiscal Year:** FY21

<table>
<thead>
<tr>
<th>Assurance</th>
<th>Initial</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. CERTIFIED FISCAL AUDIT (All Claimants)</strong></td>
<td>WM</td>
</tr>
<tr>
<td>Claimant certifies that it has submitted a satisfactory, independent fiscal audit, with the required certification statement, to (RTPA name) and to the State Controller’s Office, pursuant to PUC 99245 and CCR 6664 for the prior fiscal year (project year minus two). Claimant assures that this audit requirement will be completed for the current fiscal year (project year minus one). <em>This requirement does not apply to new operators.</em></td>
<td></td>
</tr>
<tr>
<td><strong>2. STATE CONTROLLER REPORT (All Claimants)</strong></td>
<td>WM</td>
</tr>
<tr>
<td>Claimant certifies that it has submitted a State Controller’s report in conformance with the uniform system of accounts and reports, to (RTPA name) and to the State Controller, pursuant to PUC 99243, for the prior year (project year minus two). Claimant assures that this report will be completed for the current fiscal year (project year minus one). <em>This requirement does not apply to new operators.</em></td>
<td></td>
</tr>
<tr>
<td><strong>3. PART-TIME EMPLOYEES (STAFF ONLY) (STA Claimants Only)</strong></td>
<td>WM</td>
</tr>
<tr>
<td>Claimant certifies that it is not precluded, by any contract, from employing part-time drivers or contracting with common carriers of persons operating under a franchise or license.</td>
<td></td>
</tr>
<tr>
<td><strong>4. REVENUE RATIOS FOR COMMUNITY TRANSIT AND CONTRACTED TRANSIT SERVICES (CTSA &amp; Volunteer Center Only)</strong></td>
<td>N/A</td>
</tr>
<tr>
<td>Claimant filing a claim pursuant to PUC 99275.5c and 99405c further certifies that, for the project year, it reasonably anticipates achieving the performance criteria, local match requirements, or fare recovery ratios adopted by the transportation planning agency or county transportation commission.</td>
<td></td>
</tr>
<tr>
<td><strong>5. REVENUE RATIOS FOR OPERATORS SERVING URBANIZED AND NONURBANIZED AREAS (METRO Only)</strong></td>
<td>WM</td>
</tr>
<tr>
<td>Claimant filing a claim pursuant to PUC 99270.1 certifies that it will maintain for the project year at least the alternative farebox recovery ratio as determined by the adopted (RTPA name) “fare ratio optional rule.”</td>
<td></td>
</tr>
<tr>
<td><strong>6. EXTENSION OF SERVICES (METRO Only)</strong></td>
<td>WM</td>
</tr>
<tr>
<td>Claimant that received an allocation of LTF funds for an extension of service pursuant to PUC 99268.8 certifies that it will file a report of these services pursuant to CCR 6633.8b within 90 days after the close of the fiscal year in which that allocation was granted.</td>
<td></td>
</tr>
<tr>
<td><strong>7. RETIREMENT SYSTEM (METRO Only)</strong></td>
<td>WM</td>
</tr>
<tr>
<td>Claimant filing claim pursuant to PUC Section 99260 certifies that (check one):</td>
<td></td>
</tr>
<tr>
<td>a) The current cost of its retirement system is fully funded with respect to the officers and employees of its public transportation system (PUC Section 99271a); or</td>
<td>WM</td>
</tr>
<tr>
<td>b) The operator is implementing a plan approved by the transportation planning agency which will fully fund the retirement system for such officers and employees within 40 years (PUC Section 99271a); or</td>
<td>WM</td>
</tr>
<tr>
<td>c) The operator has a private pension plan which sets aside and invests on a current basis funds sufficient to provide for the payment of future pension benefits and which is fully compliant with the requirements stated in PUC Sections 99272 and 99273.</td>
<td>WM</td>
</tr>
<tr>
<td><strong>8. USE OF FEDERAL FUNDS (Claimants Receiving Federal Funds)</strong></td>
<td>WM</td>
</tr>
<tr>
<td>Claimant filing a claim for TDA funds for capital intensive projects pursuant to PUC 99268.7 certifies that it has made every effort to obtain federal funding for any project which is funded pursuant to PUC 99268.7.</td>
<td></td>
</tr>
<tr>
<td><strong>9. REDUCED FARES FOR ELDERLY AND HANDICAPPED (METRO Only)</strong></td>
<td>WM</td>
</tr>
<tr>
<td>A claimant filing a claim pursuant to PUC 99260 which offers reduced fares to senior citizens and disabled persons certifies that it is in compliance with PUC 99155.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>10. DRIVERS PULL NOTICE PARTICIPATION (METRO &amp; Community Bridges Only)</td>
</tr>
<tr>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td></td>
<td>A claimant filing a claim for public transit assistance must include a certification completed within the prior 13 months by the California Highway Patrol indicating the operator has participated in a &quot;pull notice system&quot; to examine driver's records.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>11. INCREASE IN OPERATOR'S COST PER HOUR (STA Claimants Only)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Claimant filing a claim for operating assistance from STAF funds must include a supplemental schedule which identifies either: A - 1) the most recent audited cost per revenue vehicle hour (year 1) and the cost per revenue hour for the year prior to the most recent audit year (year 2) and 2) the Consumer Price Index for the year prior to the most recent audit year (year 2); or B - 1) the most recent audited cost per revenue vehicle hour (year 1) and the cost per revenue hour for the three years prior to the most recent audit year and 2) the Consumer Price Index for the three years prior to the most recent audit year. The supplemental schedule information will be used to determine eligibility pursuant to PUC 99314.6.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>12. STAFFING ON VEHICLES (METRO &amp; Community Bridges Only)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Claimant certifies that it is in compliance with PUC Section 99264 that it does not routinely staff, with two or more persons, a vehicle for public transportation purposes designed to be operated by one person.</td>
</tr>
</tbody>
</table>

Santa Cruz Metropolitan Transit District
(Legal Name of Applicant/Claimant)

(Authorizing Signature of CEO/CFO)

CEO/General Manager
(Name and Title)
### Santa Cruz METRO Operating Statistics

<table>
<thead>
<tr>
<th></th>
<th>FY16</th>
<th>FY17</th>
<th>FY18</th>
<th>FY19</th>
</tr>
</thead>
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<tr>
<td><strong>System Information</strong></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Directional Route Miles</td>
<td>430.59</td>
<td>479</td>
<td>398.37</td>
<td>398.65</td>
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<tr>
<td>Number of Bus Stops</td>
<td>936</td>
<td>936</td>
<td>931</td>
<td>845</td>
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<tr>
<td>Number of Routes</td>
<td>36</td>
<td>35</td>
<td>25</td>
<td>26</td>
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<tr>
<td>Total Active Fleet</td>
<td>108</td>
<td>98</td>
<td>98</td>
<td>100</td>
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<tr>
<td>Maximum Bus In-Svc</td>
<td>83</td>
<td>82</td>
<td>75</td>
<td>76</td>
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<tr>
<td>Total METRO Employees</td>
<td>318</td>
<td>329</td>
<td>311</td>
<td>319</td>
</tr>
<tr>
<td>Revenue Hour Per Employee</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>709</td>
<td>687</td>
<td>671</td>
<td>651</td>
</tr>
<tr>
<td><strong>Local Fixed-Route Performance</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ridership</td>
<td>5,274,631</td>
<td>5,164,160</td>
<td>4,787,727</td>
<td>4,758,093</td>
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<tr>
<td>Revenue Hours</td>
<td>201,462</td>
<td>202,112</td>
<td>186,046</td>
<td>184,072</td>
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<tr>
<td>Revenue Miles</td>
<td>2,642,511</td>
<td>2,650,889</td>
<td>2,283,490</td>
<td>2,262,484</td>
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<tr>
<td>Passengers Per Hour</td>
<td>26.18</td>
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<td>25.73</td>
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<td>Passengers Per Mile</td>
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<td>2.10</td>
<td>2.11</td>
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<tr>
<td>Revenue Hours Per Capita</td>
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<td>21.77</td>
<td>20.18</td>
<td>20.07</td>
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<tr>
<td>Revenue Miles Per Capita</td>
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<td>0.85</td>
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<tr>
<td>Revenue Miles Per Capita</td>
<td>11.14</td>
<td>11.17</td>
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<td>Total Cost Per Passenger</td>
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<td>Revenue Per Passenger</td>
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<td>51.43</td>
<td>51.52</td>
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<tr>
<td>Farebox Recovery</td>
<td>20.92%</td>
<td>20.29%</td>
<td>20.32%</td>
<td>21.37%</td>
</tr>
<tr>
<td></td>
<td>709</td>
<td>687</td>
<td>671</td>
<td>651</td>
</tr>
<tr>
<td><strong>Highway 17 Performance</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ridership</td>
<td>379,181</td>
<td>336,809</td>
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<td>290,419</td>
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<td>Revenue Hours</td>
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<td>24,021</td>
<td>22,731</td>
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<tr>
<td>Revenue Miles</td>
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<td>686,891</td>
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<td>24.38</td>
<td>24.31</td>
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<td>Passengers Per Mile</td>
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<td>1.65</td>
<td>1.76</td>
<td>1.76</td>
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<tr>
<td>Revenue Hours Per Capita</td>
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<td>14.02</td>
<td>13.36</td>
<td>12.47</td>
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<td>Revenue Miles Per Capita</td>
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<td>0.50</td>
<td>0.48</td>
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<tr>
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<td>1.42</td>
<td>1.28</td>
<td>1.22</td>
</tr>
<tr>
<td>Total Cost Per Passenger</td>
<td>5.43</td>
<td>5.70</td>
<td>5.77</td>
<td>5.80</td>
</tr>
<tr>
<td>Revenue Per Passenger</td>
<td>5.43</td>
<td>5.62</td>
<td>5.71</td>
<td>5.79</td>
</tr>
<tr>
<td>Farebox Recovery</td>
<td>8.89%</td>
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<td></td>
<td>709</td>
<td>687</td>
<td>671</td>
<td>651</td>
</tr>
<tr>
<td><strong>Fixed-Route Total Performance</strong></td>
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<td></td>
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<tr>
<td>Ridership</td>
<td>5,653,812</td>
<td>5,500,949</td>
<td>5,091,394</td>
<td>5,048,512</td>
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<td>Revenue Hours</td>
<td>225,355</td>
<td>226,135</td>
<td>208,797</td>
<td>207,680</td>
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<tr>
<td>Revenue Miles</td>
<td>3,125,771</td>
<td>3,337,779</td>
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<td>2,858,408</td>
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<td>Passengers Per Hour</td>
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</tr>
<tr>
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<tr>
<td>Revenue Hours Per Capita</td>
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<td>14.02</td>
<td>13.36</td>
<td>12.47</td>
</tr>
<tr>
<td>Revenue Miles Per Capita</td>
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<td>0.50</td>
<td>0.48</td>
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</tr>
<tr>
<td>Farebox Recovery</td>
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<td></td>
<td>709</td>
<td>687</td>
<td>671</td>
<td>651</td>
</tr>
<tr>
<td><strong>ParaCruz Performance</strong></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Ridership</td>
<td>98,096</td>
<td>85,768</td>
<td>75,116</td>
<td>72,209</td>
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<tr>
<td>Revenue Hours</td>
<td>48,995</td>
<td>44,918</td>
<td>39,474</td>
<td>38,779</td>
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<tr>
<td>Revenue Miles</td>
<td>531,250</td>
<td>488,017</td>
<td>456,208</td>
<td>451,985</td>
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<td>Passengers Per Hour</td>
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<td>1.91</td>
<td>1.90</td>
<td>1.86</td>
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<td>Passengers Per Mile</td>
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<td>0.19</td>
<td>0.16</td>
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<td>Revenue Hours Per Capita</td>
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<td>0.30</td>
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<td>Revenue Miles Per Capita</td>
<td>0.21</td>
<td>0.19</td>
<td>0.17</td>
<td>0.16</td>
</tr>
<tr>
<td>Total Cost Per Passenger</td>
<td>5.26</td>
<td>5.64</td>
<td>5.92</td>
<td>6.22</td>
</tr>
<tr>
<td>Revenue Per Passenger</td>
<td>5.26</td>
<td>5.64</td>
<td>5.92</td>
<td>6.22</td>
</tr>
<tr>
<td>Farebox Recovery</td>
<td>8.89%</td>
<td>20.29%</td>
<td>20.32%</td>
<td>21.37%</td>
</tr>
<tr>
<td></td>
<td>709</td>
<td>687</td>
<td>671</td>
<td>651</td>
</tr>
</tbody>
</table>

* Expenses do not include year-end Depreciation, W/C IBNR, GASB 45 OPEB adjustments, or GASB 68 Pension adjustments

** Highway 17 Farebox Recovery including Highway 17 Payments
## SANTA CRUZ METROPOLITAN TRANSIT DISTRICT

**FY21 & FY22 PRELIMINARY OPERATING BUDGET**

### REVENUE SOURCES

<table>
<thead>
<tr>
<th>REVENUE SOURCE</th>
<th>Jun-19 FY20</th>
<th>Mar-20 FY21</th>
<th>% CHANGE FY20</th>
<th>Mar-20 FY21</th>
<th>% CHANGE FY21</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Passenger Fares</td>
<td>2,425,337</td>
<td>2,371,000</td>
<td>-2.2%</td>
<td>2,371,000</td>
<td>0.0%</td>
</tr>
<tr>
<td>2 Special Transit Fares</td>
<td>5,632,252</td>
<td>5,675,000</td>
<td>0.8%</td>
<td>5,767,001</td>
<td>1.6%</td>
</tr>
<tr>
<td>3 Paratransit Fares</td>
<td>291,566</td>
<td>291,566</td>
<td>0.0%</td>
<td>291,566</td>
<td>0.0%</td>
</tr>
<tr>
<td>4 Highway 17 Fares</td>
<td>1,487,489</td>
<td>1,489,600</td>
<td>0.1%</td>
<td>1,459,808</td>
<td>-2.0%</td>
</tr>
<tr>
<td>5 Highway 17 Payments</td>
<td>536,491</td>
<td>517,803</td>
<td>-3.5%</td>
<td>522,769</td>
<td>1.0%</td>
</tr>
<tr>
<td>6 Commissions</td>
<td>2,500</td>
<td>2,500</td>
<td>0.0%</td>
<td>2,500</td>
<td>0.0%</td>
</tr>
<tr>
<td>7 Advertising Income</td>
<td>275,000</td>
<td>343,750</td>
<td>25.0%</td>
<td>429,688</td>
<td>25.0%</td>
</tr>
<tr>
<td>8 Rent Income</td>
<td>180,000</td>
<td>165,000</td>
<td>-8.3%</td>
<td>165,000</td>
<td>0.0%</td>
</tr>
<tr>
<td>9 Interest Income</td>
<td>100,000</td>
<td>275,000</td>
<td>175.0%</td>
<td>200,000</td>
<td>-27.3%</td>
</tr>
<tr>
<td>10 Other Non-Transp Revenue</td>
<td>30,000</td>
<td>175,200</td>
<td>484.0%</td>
<td>30,000</td>
<td>-82.9%</td>
</tr>
<tr>
<td>11 1979 Gross Sales Tax (1/2 cent)</td>
<td>22,617,238</td>
<td>22,388,476</td>
<td>-1.0%</td>
<td>22,612,361</td>
<td>1.0%</td>
</tr>
<tr>
<td>12 2016 Net Sales Tax (Measure D)</td>
<td>3,358,289</td>
<td>3,500,617</td>
<td>4.2%</td>
<td>3,535,623</td>
<td>1.0%</td>
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<tr>
<td>13 Transp Dev Act (TDA - LTF) Funds</td>
<td>7,531,910</td>
<td>8,167,962</td>
<td>8.4%</td>
<td>8,413,001</td>
<td>3.0%</td>
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<tr>
<td>14* FTA Sec 5307 - Op Assistance</td>
<td>4,441,297</td>
<td>4,582,912</td>
<td>3.2%</td>
<td>4,683,278</td>
<td>2.2%</td>
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<tr>
<td>15 FTA Sec 5311 - Rural Op Asst</td>
<td>178,139</td>
<td>191,234</td>
<td>7.4%</td>
<td>195,422</td>
<td>2.2%</td>
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<tr>
<td>16 AMBAG/Misc. Grant Funding</td>
<td>205,000</td>
<td>205,000</td>
<td>0.0%</td>
<td>5,000</td>
<td>-97.6%</td>
</tr>
<tr>
<td>17 STIC</td>
<td>2,619,113</td>
<td>2,702,626</td>
<td>3.2%</td>
<td>2,761,814</td>
<td>2.2%</td>
</tr>
<tr>
<td>18 TDA - STA - Operating (Includes SB1)</td>
<td>4,530,969</td>
<td>4,494,411</td>
<td>-0.8%</td>
<td>4,494,411</td>
<td>0.0%</td>
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<tr>
<td>19 Fuel Tax Credit</td>
<td>313,126</td>
<td>351,000</td>
<td>12.1%</td>
<td>-</td>
<td>-100.0%</td>
</tr>
<tr>
<td>20 Medicare Subsidy</td>
<td>550</td>
<td>550</td>
<td>0.0%</td>
<td>550</td>
<td>0.0%</td>
</tr>
<tr>
<td><strong>TOTAL REVENUE</strong></td>
<td><strong>56,756,266</strong></td>
<td><strong>57,891,208</strong></td>
<td><strong>2.0%</strong></td>
<td><strong>57,940,791</strong></td>
<td><strong>0.1%</strong></td>
</tr>
<tr>
<td><strong>TRANSFERS</strong></td>
<td><strong>(5,038,620)</strong></td>
<td><strong>(2,984,276)</strong></td>
<td><strong>-40.8%</strong></td>
<td><strong>(1,198,948)</strong></td>
<td><strong>-59.8%</strong></td>
</tr>
<tr>
<td><strong>TOTAL OPERATING REVENUE</strong></td>
<td><strong>51,717,646</strong></td>
<td><strong>54,906,933</strong></td>
<td><strong>6.2%</strong></td>
<td><strong>56,741,843</strong></td>
<td><strong>3.3%</strong></td>
</tr>
</tbody>
</table>

* FTA funding is used solely to fund labor expense
## SANTA CRUZ METROPOLITAN TRANSIT DISTRICT
### FY21 PRELIMINARY CAPITAL BUDGET AS OF MARCH 13, 2020

**PROJECT/ACTIVITY** | **FEDERAL FUNDS** | **PTMISEA (1B)** | **STIP** | **LCTOP** | **LPP** | **STA-SB1 (XFR FROM OPER BUDGET)** | **STA-SGR (SB 1)** | **MEASURE D (XFR FROM OPER BUDGET)** | **OPERATING & CAPITAL RESERVE FUND** | **TOTAL** |
---|---|---|---|---|---|---|---|---|---|---|
### Construction Related Projects
1. New MELRO Owned Paracruz Facility-(Grant Match for 5339(b)) - $2.3M - spent $7,154 in FY20 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
2. Pacific Station/Metro Center Redevelopment w/City of SC | 1,000,000 | 1,000,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
3. Pacific Station/Metro Center-Conceptual Design/MOU (5309) | 122,000 | 31,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | -31,000 |
**Subtotal** | 122,000 | 31,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | -31,000 |
### IT Projects
4. Replace Financial System (Includes $50K Consulting) | 800,000 | 800,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
**Subtotal** | 800,000 | 800,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
### Facilities Upgrades & Improvements
5. Maintenance Facility Roof Replacement (FTA 5339a FY19) | 450,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 450,000 |
6. Fuel Management System (FTA 5339a FY17)/additional funding of $8,054 coming from the Misc. Capital Contingency Fund | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | -8,054 |
7. Contingency Fund # 19-0048 below | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | -8,054 |
8. Bus bitter improvements (FTA 5339a FY18) | 124,765 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 124,765 |
9. Gate Control at JKS Bus Entry (FTA 5339a FY18) | 100,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 100,000 |
10. JKS Facility - Bus Wash Rehab (FTA 5339a FY19) | 100,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 100,000 |
**Subtotal** | 1,190,158 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 1,190,158 |
### Revenue Vehicle Purchases, Replacements & Campaigns
11. Replace Six (6) CNG Buses (PTMISEA) - add 6th bus using PTMISEA match $536K moved from FTA 5339b LoNo grant and backfill difference w/funding from the $2M BRF Xfr approved at the 11/15/19 BOD Meeting | 4,036,017 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 4,036,017 |
12. FY18 STIP - 2 ZEBs (STIP, LPP, HVIP = $300K) | 870,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 870,000 |
13. FY18 STIP - AVL/ITS (STIP, Measure D) - All Measure D spent | 834,796 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 834,796 |
14. Refurb 4 Buses @ ~ $254K (FY18 STIP, Measure D) | 900,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 900,000 |
**Subtotal** | 1,190,158 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 1,190,158 |
### Summary
- **Bus Replacement Fund** $3M PER YEAR (MEASURE D + SB1 STA&SGR)
- **Construction Related Projects**
  - New MELRO Owned Paracruz Facility-(Grant Match for 5339(b)) - $2.3M - spent $7,154 in FY20
  - Pacific Station/Metro Center Redevelopment w/City of SC
  - Pacific Station/Metro Center-Conceptual Design/MOU (5309)
- **Subtotal** $122,000
- **IT Projects**
  - Replace Financial System (Includes $50K Consulting)
- **Subtotal** $800,000
- **Facilities Upgrades & Improvements**
  - Maintenance Facility Roof Replacement (FTA 5339a FY19)
  - Fuel Management System (FTA 5339a FY17)/additional funding of $8,054 coming from the Misc. Capital Contingency Fund
  - Contingency Fund # 19-0048 below
  - Bus bitter improvements (FTA 5339a FY18)
  - Gate Control at JKS Bus Entry (FTA 5339a FY18)
  - JKS Facility - Bus Wash Rehab (FTA 5339a FY19)
- **Subtotal** $1,190,158
- **Revenue Vehicle Purchases, Replacements & Campaigns**
  - Replace Six (6) CNG Buses (PTMISEA) - add 6th bus using PTMISEA match $536K moved from FTA 5339b LoNo grant and backfill difference w/funding from the $2M BRF Xfr approved at the 11/15/19 BOD Meeting
  - FY18 STIP - 2 ZEBs (STIP, LPP, HVIP = $300K)
  - FY18 STIP - AVL/ITS (STIP, Measure D) - All Measure D spent
  - Refurb 4 Buses @ ~ $254K (FY18 STIP, Measure D)
  - YTA Bus Transfer - Decommission & Retrofit 10 Electric Hybrids, and 4 Diesel Artics - Original budget $1M
  - CNG Bus (1) - (Caltrans FY13-FY17 5339 Statewide Discretionary)
  - Replace 7 Replacement Paracruz Vans (FY19 LPP, Measure D)
  - 1 New Flyer Repl. Capital Lease - Year 4 of 6 Prin Only - (Measure D) Interest funded in Operating Budget $24K
  - Paracruz Van Replacement (3) (STBG FY19 via RTC)
- **Subtotal** $200,000

---

2/24/2020
1

03-27-20 FY21 DRAFT Capital Budget
<table>
<thead>
<tr>
<th>PROJECT/ACTIVITY</th>
<th>FEDERAL FUNDS</th>
<th>PTMISEA (1B)</th>
<th>STIP</th>
<th>LCTOP</th>
<th>LPP</th>
<th>STA-SB1 (XFR FROM OPER BUDGET)</th>
<th>STA-SGR (SB 1)</th>
<th>MEASURE D (XFR FROM OPER BUDGET)</th>
<th>OPERATING &amp; CAPITAL RESERVE FUND</th>
<th>TOTAL</th>
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<tr>
<td>Mid-Life Bus Engine Overhaul (4) (FTA 5339a FY17) - was $160K</td>
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<td>Completion of Cameras on Buses (6 buses) (was $47K)</td>
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<td>EV Charging Infrastructure @ JKS (10 Bays) (FY19 LCTOP)</td>
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<td>Completion of JKS Facility-ZEB Yard Charging Infrastructure - was $300K</td>
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<td>Revenue Vehicle Purchases, Replacements &amp; Campaigns - Fleet Electrification Projects</td>
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<td>$5,127,171</td>
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## SANTA CRUZ METROPOLITAN TRANSIT DISTRICT
### FY21 PRELIMINARY CAPITAL BUDGET
#### AS OF MARCH 13, 2020

<table>
<thead>
<tr>
<th>PROJECT/ACTIVITY</th>
<th>FEDERAL FUNDS</th>
<th>PTMISEA (1B)</th>
<th>STIP</th>
<th>LCTOP</th>
<th>LPP</th>
<th>STA-SB1 (XFR FROM OPER BUDGET)</th>
<th>STA-SGR (SB 1)</th>
<th>MEASURE D (XFR FROM OPER BUDGET)</th>
<th>OPERATING &amp; CAPITAL RESERVE FUND</th>
<th>TOTAL</th>
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<tbody>
<tr>
<td>State Transportation Improvement Program (STIP)</td>
<td>$2,604,796</td>
<td>$2,604,796</td>
<td>$2,218,890</td>
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<td>STA-SGR (SB1)</td>
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<td>Local Sources of Funds:</td>
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<td>Operating and Capital Reserve Fund</td>
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<tr>
<td>TOTAL CAPITAL FUNDING BY FUNDING SOURCE</td>
<td>$5,739,755</td>
<td>$4,393,233</td>
<td>$2,604,796</td>
<td>$2,218,890</td>
<td>$1,088,000</td>
<td>$48,045</td>
<td>$48,045</td>
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<td>$26,790,924</td>
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<td>Restricted Funds</td>
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<td>Unrestricted Funds</td>
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<tr>
<td>TOTAL CAPITAL FUNDING</td>
<td>$5,739,755</td>
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<td>$48,045</td>
<td>$48,045</td>
<td>$48,045</td>
<td>$48,045</td>
<td>$26,790,924</td>
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</tbody>
</table>

NOTE: The amounts listed here represent the amounts committed against awarded grants and projects, and therefore will not equal the $3M allocated to the Bus Replacement Fund in any given year.
A RESOLUTION APPROVING THE FISCAL YEAR 2020-21 TRANSPORTATION DEVELOPMENT ACT (TDA) ARTICLE 8 CLAIM AND STATE TRANSIT ASSISTANCE CLAIM FROM THE CITY OF SANTA CRUZ ON BEHALF OF COMMUNITY BRIDGES

WHEREAS the Transportation Development Act (TDA) of 1971 provides that the applicant may file an Article 8 claim for monies from the Local Transportation Fund; and

WHEREAS the Regional Transportation Commission (RTC) has identified a process for TDA claims in their Rules and Regulations; and

WHEREAS the Regional Transportation Commission, in adopting its FY 2020-21 TDA budget, has apportioned $749,501 to be used by Community Bridges for providing specialized transportation; and $100,000 in RTC’s population-based State Transit Assistance (STA) formula funds (PUC Section 99313).

WHEREAS the Elderly & Disabled Transportation Advisory Committee, reviewed claim details at its April 14, 2020 meeting, and recommended that the Regional Transportation Commission approve this claim; and

WHEREAS the City of Santa Cruz is eligible to claim TDA Article 8 and STA funds and is scheduled to approve their role as claimant for Community Bridges on May 26, 2020;

THEREFORE BE IT RESOLVED BY THE SANTA CRUZ COUNTY REGIONAL TRANSPORTATION COMMISSION:

1. The claim submitted in the amount of $749,501 in TDA Article 8 funds and $100,000 in STA funds fulfills the requirements as specified in the Transportation Development Act and the Rules and Regulation of the RTC and is consistent with the Regional Transportation Plan, as follows:

   a. The claim includes a proposed budget for the 2020-21 fiscal year;
   b. The claim includes a statement of projected or estimated revenues and expenditures for the prior fiscal year;
   c. The claim will fund specialized transportation services and respond to transportation needs not otherwise being met within the community; and
   d. The proposed expenditure of the funds is consistent with the most current Regional Transportation Plan.
2. The City of Santa Cruz will act as a claimant on behalf of the Community Bridges, for TDA Article 8 and STA claims for specialized transportation programs and the FY 2020-21 claim is hereby approved in the amount of $749,501 and State Transit Assistance funds in the amount of $100,000 for fiscal year 2020-21 consisting of quarterly payments as follows:

**TDA**
- July 15, 2020 $247,335.50
- October 15, 2020 $167,388.50
- January 15, 2021 $167,388.50
- April 15, 2021 $167,388.50
- **Total** $749,501

**STA**
- 1st Quarter $25,000
- 2nd Quarter $25,000
- 3rd Quarter $25,000
- 4th Quarter $25,000
- **Total** $100,000

3. The Executive Director is authorized to modify the payment amounts should the RTC amend the FY 2020-21 Transportation Development Act apportionments in the RTC’s FY 2020-21 budget.

4. The Executive Director is authorized to modify the payment amounts based on actual STA funds approved by the State and received by the RTC from the State.

**AYES:** COMMISSIONERS

**NOES:** COMMISSIONERS

**ABSTAIN:** COMMISSIONERS

________________________
Bruce McPherson, Chair

**ATTEST:**
________________________
Guy Preston, Secretary
Exhibit 1: Community Bridges TDA and STA claim and supporting materials

Distribution: City of Santa Cruz
Community Bridges
Transportation-Fiscal

I:\E&DTAC\TDA\RTC REPORTS\RESOLUTIONS\RES_CB-TDA_20-21.DOCX
March 31, 2020

Mr. Guy Preston, Executive Director
Santa Cruz County Regional Transportation Commission
1523 Pacific Avenue
Santa Cruz, CA 95060-3911

RE: CTSA/City of Santa Cruz Claim for FY 2020/2021 TDA/STA Revenues

Dear Mr. Preston:

The City of Santa Cruz has been asked to act as claimant for the 2020/2021 fiscal year Transportation Development Act (TDA) and State Transit Assistance (STA) funds allocated to the consolidated Transportation Services Agency (CTSA). Please accept this letter that Community Bridges’ Lift Line attests to the accuracy of the claim and all its accompanying documentation.

The City of Santa Cruz will be asked to request $749,501 in TDA funds for the CTSA as well as $100,000 in STA funding. The proposed payment schedule shown in Exhibit D includes an initial payment to cover annually remitted expenses, including a substantial insurance premium due in July. The three remaining quarters are adjusted to reflect the balance.

These funds will allow Community Bridges’ Lift Line to continue to operate a variety of vital specialized transportation programs serving low income seniors and disabled individuals who are unable to utilize traditional public transit. TDA funds will be used for the Taxi Scrip programs operating in South and North County, non-emergency medical transportation, and transportation to Meals on Wheels Senior Dining Centers and Elderday Adult Day Health Center. The STA funds will be used for expanded 5310 Same Day and Out of County program through the whole FY20-21, helping connect seniors, veterans and medically complex children and individuals to need medical services.

Enclosed are documents comprising our claim for TDA and STA funds:

1. 2020/2021 TDA Claim Form, Written Report of Activities, and CHP Inspection Report
2. 2020/2021 Operating & Capital Budget (Exhibit A, pages 1-2)
3. CTSA Five Year Capital Improvement Plan (Exhibit B)
4. Operating Plan (Exhibit C-1, pages 1-2 & C-2, page 1)
5. Schedule of Payments Requested (Exhibit D)
6. Statement of Role and Responsibility (Exhibit E)
7. CTSA Reporting Period & Performance Measures (Exhibit F)
On behalf of Lift Line clients and Community Bridges, I thank the Commission and staff for your continued support of these programs.

Thank you.

Raymon Cancino, CEO

Cc: K. Ance, Lift Line Program Director
    D. Underhill, CFO
    S. McGibben, CAO
    R. Iskandarova, GA
Transportation Development Act (TDA)
CLAIM FORM
Submit a separate form for each project.

This form has been developed in an effort to standardize information required from TDA recipients, based on TDA Statute, RTC Rules and Regulations, and/or RTC board requests. If you have any questions about this claim form or would like an electronic copy of the form, please contact the Santa Cruz County Regional Transportation Commission at 460-3200.

Project Information

1. Project Title: Lift Line / CTSA Specialized Paratransit Service for Santa Cruz County

2. Implementing Agency: Community Bridges

3. Sponsoring Agency (if different) – must be a TDA Eligible Claimant:
The City of Santa Cruz acts as the eligible TDA claimant for Lift Line.
Lift Line receives the TDA funds through a contract with the City of Santa Cruz.

4. Funding requested this claim: TDA– Local Transportation Funds (LTF)$749,501
   STA (transit only) $100,000

5. Fiscal Year (FY) for which funds are claimed: FY19/20

6. General purpose for which the claim is made, identified by the article and section of the Act which authorizes such claims:
   ☑ Article 8 Specialized Transportation
   ☑ Article 3 & 8 TDA Admin or Planning
   ☐ Article 8 Bicycle and/or Pedestrian Facility
   ☐ Article 4 Public Transportation

7. Contact Person/Project Manager
   Name: Kirk Ance
   Telephone Number: 831-688-8840 ext. 238   E-mail: kirka@cbridges.org

   Secondary Contact (in event primary not available): Raymon Cancino
   Telephone Number: 831-688-8840 ext. 201   E-mail: raymonc@cbridges.org

8. Project/Program Description/Scope (use additional pages, if needed, to provide details such as work elements/tasks. Please see Exhibit C-1 and C-2 attached.

9. Project Location/Limits (attach a map and/or photos if available/applicable, include street names):
The TDA and STA funding for CTSA is to coordinate and provide social transportation services with existing fixed-route of public and private transportation providers for low-income elderly and disabled Santa Cruz County residents, in accordance with the requirements of the Social Services Transportation Improvement Act.

10. Justification for the project. (Why is this project needed? Primary goal/purpose of the project; problem to be addressed; project benefits; importance to the community)
    Community Bridges has been the designated Consolidated Transportation Services Agency (CTSA) since 1982. CTSAs are authorized under California Government Code Sections 15975 and 15950-15952, which were enacted pursuant to the Social Service Transportation Act.
Improvement Act. The purpose of the CTSA is to improve transportation required by social
service recipients by promoting the consolidation and coordinating of social service
transportation. As the Consolidated Transportation Service Agency, Lift Line coordinates
transportation services with other transportation providers and human service agencies in order
to provide the most efficient transportation possible. These agencies include Human Services
Department of the County of Santa Cruz, County Office of Education, Veterans Service Offices
in Santa Cruz and Palo Alto, and other hospitals and medical facilities.

Lift Line services provide clients with greater access to same day and out of county medical
transportation improving health outcomes. The Seniors Count report by the Area Agency of Aging,
identifies transportation as a critical part of helping seniors remain in their homes longer and reduces
the risk of isolation for homebound seniors.

Additionally, Lift Line works closely with several other non-profit organizations and other counties to
continue to identify unmet needs and define effective responses to meet those needs through
coordinated efforts through various partnerships and commissions. The ultimate goal of these efforts
is to mobilize disabled, low-income and senior residents of Santa Cruz County to critical medical
needs. Lift Line maintains a vital lifeline for eligible participants to access healthcare providers that
are unavailable in our region, including destinations in Monterey County and the San Francisco Bay
Area for medically complex patients needing specialized care. This is consistent with the Association
of Monterey Bay Area Governments (AMBAG) Coordinated Public Transit Plan to provide
comprehensive coordination.

The benefits to having CTSA coordination is to improve and identify the needs for specialized
transportation equipment and services, if the equipment is funded through Caltrans 5310 and isn't
reaching its proposed requirements, as the CTSA, the equipment can be coordinated for use to other
identified paratransit services.

Pursuant to the CTSA designation for Santa Cruz County, Community Bridges operates the Lift Line
transportation program, which works in identifying unmet transportation needs, coordinates and
provides social service transportation services to low-income seniors, disabled residents, underserved
populations and other persons in Santa Cruz County. Lift Line directly addresses the issues identified
through the unmet needs process by providing rides to medical appointments (including dialysis),
alternative care, mental health, drug rehabilitation centers, dental appointments, pharmacies, and
various therapy appointments.

11. Project Productivity Goals for this fiscal year:
a. Measures of performance, success or completion to be used to evaluate project/program (ex.
   increase use of facility/service, decrease collisions, etc.):

   The majority of our scheduling is automated with Mobile Data Computers and Automatic
   Vehicle Locaters (AVL) that integrate with Trapeze, making changes if needed and track rides
   as they occur. As rides are completed, the MDTs tag completed rides with real pickup and
drop-off times and highlights these times in blue, making it easier for our dispatchers to
monitor all rides. Likewise, uncompleted or unassigned rides (such as will-call returns) are
highlighted in red to inform the dispatcher of the priority of pending trips. The addition of the
AVLs in the fleet allows Lift Line to monitor and track vehicles at any moment. These
systems allow Lift Line to provide accurate monthly encounter data to satisfy data
requirements.

   We will continue to provide our quarterly TDA/STA reports, with the RTC reporting
requirements, which are generated directly from the actual rides performed and documented through these systems. Lift Line’s dispatch and scheduling system still has some manual components, to be used in the case of a power loss or technical difficulties. Since we cannot determine in advance when a power or technical problem should arise, we give all drivers a paper manifest to work from daily so as to not lose any information. Daily, drivers fill out paperwork to let us know if they have any incidents, accidents or mechanical failures. In order to track turndowns and referrals, schedulers and dispatchers keep a dispatch log. Also any turndown is offered an option of being placed on a waiting list in case there becomes an opening with a driver’s schedule.

Performance Measures to be included in Quarterly Reports

The quarterly reports are to include the following:

| 1. | Unduplicated passengers per month |
| 2. | Total passenger trips (units of service) per month |
| 3. | Incidents per month |
| 4. | Accidents per month |
| 5. | Mechanical failures* (including lift failure) per month |
| 6. | No-shows per month |
| 7. | Turndowns or referrals per month |
| 8. | Cancels per month |
| 9. | Donations per month |
| 10. | Total operating cost per passenger |
| 11. | Total operating cost per vehicle service hour |
| 12. | Total passengers per vehicle service hour |
| 13. | Total passengers per vehicle service mile |
| 14. | Van mileage per program |

*Mechanical failure means any problem which results in a delay of one hour or longer, or cancellation of service.

b. Number of people to be served/anticipated number of users of project/program (ex. number of new or maintained bike miles; number of people served/rides provided):

Lift Line is projecting to provide transportation services to nearly 780 Santa Cruz County residents who will use specialized wheel-chair accessible vans. We are projecting to provide and coordinate 65,000 rides in the 20/21 fiscal year. Please see Exhibit C-1 and C-2 Operating Plan for details.

12. Consistency and relationship with the Regional Transportation Plan (RTP) - Is program/project listed in the RTP and/or consistent with a specific RTP Goal/Policy?

The Lift Line programs are consistent with 2040 RTP Goals 1 and 3 and advance:
- Target #3c of the 2040 RTP: Reduce travel times and increase travel options for people who are transportation disadvantaged due to income, age, race, disability or limited English proficiency by increasing the percentage that are within a 30-minute walk, bike or transit trip to key destinations (Lift Line included as transit in this instance) and Target #3d: Ensure transportation services (and impacts) are equitably distributed to all segments of the population.

The Lift Line program also support the following RTP policies:
TDA Claim

- Improve multimodal access to and within key destinations.
- Ensure network connectivity by closing gaps in the bicycle, pedestrian and transit networks.
- Support projects that provide access to emergency services.
- Improve coordination between agencies in a manner improves efficiencies, and reduces duplication.
- Demonstrate that planned investments will reduce disparities in safety and access for transportation disadvantaged populations.
- Support land use decisions that locate new facilities close to existing services, particularly those that service transportation disadvantaged populations.

13. Impact(s) of project on other modes of travel, if any (ex. parking to be removed):

Lift Line is a complementary service to the ADA-mandated METRO ParaCruz service. In addition, Lift Line provides a flexible specialized transportation service for ongoing identified unmet immediate service needs. Due to the diverse nature of our services, Lift Line is able to group riders in various service categories, which ultimately reduces the number of vehicles needed to perform rides and in turn cuts down on traffic and emissions. Lift Line recent implementation of Electric Vehicle (EV) fleet we will continue to provide increased positive impact by reducing emissions. Lift Line continues to optimize our service by scheduling rides in the most efficient manner and ultimately reducing the duplication of rides by grouping ride types for long distance and cross county rides.

Furthermore, Lift Line provides residents with specialized transportation needs who do not qualify for ParaCruz rides because they live outside the service area (more than 3/4 mile from fixed transit route), unable to afford the cost of transportation, do not have family or friends to assist them, and/or they may need same day service. For people who are low-income or who face health/physical challenges, these services are crucial.

Lift Line has also been awarded Section 5310 grant funding for operating in 2018-2021 to support same day and out of county medical transportation service, as identified in the AMBAG unmet needs plan. This new service was implemented in 2013 and we have been awarded 5310 funds to continue the project through February 2021. Since we were funded at 80% of our request, these funds will most likely be expended out by early 2021. However, we did not receive a renewal for Section 5310 to continue this service after February 2021. STA funding will fill in the gap and allow us to continue the same day and out of county service at the current levels without any reductions for FY20/21.

14. Estimated Project Cost/Budget, including other funding sources, and Schedule: (attach project budget). Specialized Transportation Claims require 10% local match. Local match can take the form of fares, donations, agency charges, grants, revenue sharing and other non-restricted sources. In kind services many NOT apply toward the local match.

What is the total project cost?
Total CTSA Transportation Budget = $2,317,116 (of which $749,501 are TDA funds and $100,000 STA funds)

Is project fully funded? Yes

What will TDA (and STA) funds be used on (ex. administration, brochures, engineering, construction)?
These funds will be used for administration, all cost related to provision of paratransit rides.
This is clearly identified in our Operating Plan Exhibit C-2. Please see TDA Operating Plan, Exhibit C-2.

15. Preferred Method and Schedule for TDA fund distribution (see RTC Rules and Regulations for details):
   a. Bike/Ped: ✔ Up to 90% upon initiation of work OR ☐ 100% upon project completion
   b. CTSA: ☑ Quarterly disbursement, with up to 35% in first quarter, and the remaining quarterly payments being one-third of the remaining claim amount;
      OR ☐ Quarterly disbursement
   c. Volunteer Center: ☐ Full approved claim amount in the first quarter
   d. SCMTD: ☐ Quarterly disbursement

16. TDA Eligibility:

   A. Has the project/program been approved by the claimant's governing body? Form of approval (eg resolution, work program, budget, other document)
      If "NO," provide the approximate date approval is anticipated.
      YES

   B. Has this project previously received TDA funding?
      YES

   C. For capital projects, have provisions been made by the claimant to maintain the project or facility, or has the claimant arranged for such maintenance by another agency?  (If an agency other than the Claimant is to maintain the facility provide its name:  )
      N/A

   D. Bike, Ped, and Specialized Transportation Claims: Has the project already been reviewed by the RTC Bicycle Committee and/or Elderly/Disabled Transportation Advisory Committee? (If "NO," project will be reviewed prior to RTC approval). April 14, 2020 E&D TAC meeting
      NO

   E. For "bikeways," does the project meet Caltrans minimum safety design criteria pursuant to Chapter 1000 of the California Highway Design Manual? (Available on the internet via:  
      N/A

   F. For Article 4 transit claims: Does operator meet Article 4 eligibility requirements for farebox recovery ratio?
      N/A

SCMTD, CTSA, Bike to Work, CTSC Only – PLEASE KEEP ANSWERS BRIEF

17. Improving Program Efficiency/Productivity

   - Describe any areas where special efforts have been made in the last fiscal year to reduce operating cost and/or increase ridership/program usage. Note any important trends.

   Lift Line routes are continually assessed and re-structured to increase productivity, we group rides when possible so that vehicles and staff time are serving at capacity. This keeps the cost of operating down and helps keep the cost per service unit as low as possible. Failing to re-structure and maximized productivity would lead to increased cost per service unit. In the case of taxi subcontractors, we have paid special attention to maximizing the benefit of working with these outside partners only when we have reached our internal existing capacity. We continue to work with physicians and participants to improve efficiency through group rides. Our experienced drivers, schedulers, and dispatch staff, with the use of computerized scheduling equipment, continue to serve as valuable assets toward achieving these goals.
Lift Line continues to work with the SMART Union to address ways to lower the economic issues impacting the operations of the budget. We also continue to work on reducing our worker's compensation costs and exposures in order to reduce our premiums. Lift Line also maintained optimum fleet size for the services provided, and we continually seek to update our vehicles and equipment through grants.

We have increased our outreach by working with the County Health Services Department's programs, such as in Home Health Services, as well as local medical facilities and the Senior Network Services, to ensure their clients are filling out the TDA Medical Transportation Application as well as faxing the application with required supporting documents to our office, on a regular basis. We have also increased our coordination with the Central Coast Alliance to coordinate medical rides for Medi-Cal eligible participants.

Lift Line has participated in several outreach forums in the community that are addressing the transportation needs of the local senior and disabled population, including veterans, as well as conducted presentations to local service organizations and senior living facilities. Lift Line participates annually in local business and health fairs to increase community awareness about local paratransit transportation service and have dedicated a portion of an administration staff position to work on increased outreach. Last year, we were able to use our opportunity in being awarded CARB grant dollars to also specifically target a Watsonville and CARB disadvantaged community to promote Lift Line and EV usage helping us promote our services and increase ridership.

Lift Line continues these outreach efforts and more that were made possible with braided funding that included Measure D, STA, TDA, CARB and LCTOP funds. This has allowed us to continue to build our outreach program and get information about our service out to participants and medical providers.

Last year, Lift Line was awarded a grant through the Monterey Peninsula Foundation to operate its new north Monterey County transportation program and provided an additional 276 one-way trips to north Monterey County residents. Most of the trips were to medical appointments in Santa Cruz County. This grant also met some of the RTC 2019 unmet paratransit needs, such as "direct paratransit and accessible transit connection with neighboring counties- including Monterey", which was listed as a high priority.

- Goals for next fiscal year (ex. identify opportunities to maximize economies of scale, planned productivity improvements). Describe any areas where special efforts will be made to improve efficiency and increase program usage/ridership:

  Lift Line will continue to assess the cost and demand for our services on a regular basis, and structure our routes and staffing accordingly. Lift Line staff will continue to participate in outreach efforts to identify emerging needs in the community, and we will coordinate with service providers to meet the transportation needs of low-income elderly and disabled residents, including our area veterans. Our outreach program will continue to increase our client base and educate clients about all of our services with an internal goal of 5%.

To increase productivity, our driver trainer will work to get drivers trained and Commercial Class C certified in a quick and efficient manner. The driver trainer can work as a backup driver when needed, which will help fill in the gaps as well as help put drivers on the road sooner.

The driver trainer is working on a new training module. Part of this plan is to improve efficiencies and identify areas for improvement. The plan will also educate drivers more on our clients' needs and awareness of how to better serve our clients.
Lift Line as a program of Community Bridges is participating in a 10 program agency wide data migration program that will allow the agency as a whole to identify all program services that an applicant well qualify for. For example, if a client is applying for Elderday or Meals on Wheels serveries we will be able to identify if that applicant also qualifies for Lift Line services. As a result, they will be referred to Lift Line.

18. What is different from last year’s program/claim?

Community Bridges/Lift Line is requesting TDA and STA funds to assist with the comprehensive list of ride types as last year but we hope to extend the use to funding to out of county transportation that is critically needed to serve the medical needs of our community.

We are therefore requesting funding for: Medical TDA Rides, Meals on Wheels, Elderday, and the Taxi Scrip programs.

Using STA funds to match with 5310 funding to prolong the duration of same day and out of county transportation program and add an additional 1,414 rides through FY 20/21.

19. Schedule of regular progress reports including an evaluation at the end of the year:

   SCMD – April each year
   ✗ Specialized Transportation: Quarterly¹ to E/D TAC, RTC: Nov 2020, Jan 2021, Apr 2021, Jul 2021 and year-end report 20/21 (Months/Year)

   □ CTSA: Bicycle Committee __________ (Month, year); RTC __________ (Month, year)
   □ B2W: Bicycle Committee __________ (Month, year); RTC __________ (Month, year)

   **CTSA and Volunteer Center (Article 8) Only**

20. Are these transportation services responding to transportation needs not otherwise being met within the community or jurisdiction of the claimant? Describe.

   Yes. We provide transportation that is otherwise not available to our target population.

21. Where appropriate, are these specialized transportation services coordinated with other transportation services? Describe.

   Lift Line, as the CTSA, acts as the safety net transportation service for low-income seniors and disabled individuals unable to secure mobility through other programs. We coordinate and refer people regularly to other services more suited to their specialized transportation requirements, such as: METRO bus or METRO ParaCruz; local taxi services through the taxi scrip program; the Volunteer Center; Veterans Services and our in house “Out of County” medical ride service.

   We constantly work with local health care providers such as Satellite Dialysis throughout the region, CCAH, Elderday and primary healthcare providers to provide flexible service for their clients. We help identify an individual's specific need for specialized transportation service and help coordinate not only services in our County, but also for rides to neighboring counties of San Benito, Monterey and Santa Clara. This extends itself to other calls which Lift Line continues to assist from other parts of our region and state looking for other public and specialized transportation in their area.

   Lift Line's staff will continue to participate with local and statewide transportation groups to develop coordinated processes and keep current on transportation systems for seniors and disabled residents.

                                      ________________
i. Provide performance information, as pertinent, such as: verification of the operating cost per passenger, operating cost per vehicle service hour, passengers per vehicle service hour, passengers per vehicle service mile, and vehicle service hours per employee for last fiscal year (definitions available in Section 99247 of TDA Guidelines). *(99246d, per 2010 Performance Audit)*

All TDA reports, quarterly and annual are sent directly to the RTPA within the scheduled time schedules. These reports are included in the above listed performance measures.

22. Discuss the needs and types of the passengers being served, the employment of part-time drivers and the contracting with common carriers of persons operating under a franchise or license to provide services during peak hours, as defined in subdivision (a) of Section 99260.2. *(99246d, per 2010 Performance Audit)*

There are times during the day when it is more cost effective or necessary to use taxi to provide some of the TDA Medical rides, especially when they are short rides and more on an individual need basis, while Lift Line buses provided more of the grouped rides. At times due to the hours of return or pickup we might need to provide this option to ensure we are providing a greater flexibility for clients and to help us prioritize group rides whenever possible. Lift Line has two on-call drivers to assist with paratransit services as needed during peak hours.

**SCMTD, CTSC, Volunteer Center & RTC Only**

23. List the recommendations provided in the last TDA Triennial Performance Audit and your progress toward meeting them.

1 The quarterly TDA reports submitted by Community Bridges for Lift Line should include on-time performance of the service.

Vehicle on-time arrival to pick up a passenger at the scheduled time is an important measure of operational effectiveness and customer service.

- Describe the work your agency has undertaken to implement each performance audit recommendation and the steps it will take to fully implement the recommendation.
- For any recommendations that have not been implemented, explain why the recommendation has not been implemented and describe the work your agency will undertake to implement each performance audit recommendation.
- Describe any problems encountered in implementing individual recommendations.
TDA Triennial Performance Audit Recommendations:
The last TDA Triennial Performance Audit covers FYs 2016-2018. There were two recommendation noted which states the following,
1) "Community Bridges should conduct survey of taxi scrip riders to determine service needs". A survey will go out calendar year 2020 to all enrolled Taxi Script clients to assess the taxi scrip service needs.

2) "Community Bridges should report on-time performance in the TDA Quarterly Performance Report". On-time performance is closely associated with fixed route where there are regular scheduled stops at a bus stop. It's not a good fit for paratransit as the rides are often grouped rides of up to 14 passengers and tracking the pickup times would be challenging. We also have instituted a 30 minutes pick up window following the ADA guidelines. Lift Line is in talks with the RTC as how to preceded and we have been informed by the RTC for FY20/21, that they are not requiring Lift Line report on-time performance. Further the RTC has made a commitment to work with Lift Line on a solution or response concerning on-time performance. We anticipate using the 30-minute pick-up window as the benchmark for this measure.

Documentation to Include with Your Claim:

All Claims
- A letter of transmittal addressed to the SCCRTC Executive Director that attests to the accuracy of the claim and all its accompanying documentation.
- Statement from the TDA Eligible Claimant indicating its role and responsibilities.

Article 8 Bicycle/Pedestrian Claims
- Evidence of environmental review for capital projects

All Transit and Specialized Transportation Claims (SCMTD, CTSA, and Volunteer Center)
- A copy of the operating and capital budgets for the coming fiscal year
- Description of capital projects, including time frame over which project will be funded and implemented
- Operating Plan for current and upcoming activities – can be within project description

Article 4 Transit Claims
- A certification from the California Highway Patrol (completed within the last 13 months) indicating that the operator is in compliance with Section 1808.1 of the Vehicle Code.
- Other Certifications
- Written report of current and upcoming activities. (per RTC Rules and Regulations)
- TDA Standard Assurances Checklist
Local Agency Certification:

This TDA Claim has been prepared in accordance with the SCCRTC’s Budget, SCCRTC’s Rules and Regulations, and Caltrans TDA Guidebook (http://www.dot.ca.gov/hq/MassTrans/State-TDA.html). I certify that the information provided in this form is accurate and correct. I understand that if the required information has not been provided this form may be returned and the funding allocation may be delayed.

Signature: Raymon Cancino  Title: Chief Executive Officer  Date: 3/31/20
TDA Standard Assurances Checklist

**Claimant:** Raymon Cancine

**Fiscal Year:** 20/21

<table>
<thead>
<tr>
<th>Assurance</th>
<th>Initial</th>
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<tbody>
<tr>
<td>1. CERTIFIED FISCAL AUDIT (All Claimants)</td>
<td>Fc</td>
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<tr>
<td>Claimant certifies that it has submitted a satisfactory, independent fiscal audit, with the required certification statement, to (RTPA name) and to the State Controller’s Office, pursuant to PUC 99245 and CCR 6664 for the prior fiscal year (project year minus two). Claimant assures that this audit requirement will be completed for the current fiscal year (project year minus one). <em>This requirement does not apply to new operators.</em></td>
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<tr>
<td>2. STATE CONTROLLER REPORT (All Claimants)</td>
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<tr>
<td>Claimant certifies that it has submitted a State Controller’s report in conformance with the uniform system of accounts and reports, to (RTPA name) and to the State Controller, pursuant to PUC 99243, for the prior year (project year minus two). Claimant assures that this report will be completed for the current fiscal year (project year minus one). <em>This requirement does not apply to new operators.</em></td>
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<tr>
<td>3. PART-TIME EMPLOYEES (STAFF ONLY) (STA Claimants Only)</td>
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<tr>
<td>Claimant certifies that it is not precluded, by any contract, from employing part-time drivers or contracting with common carriers of persons operating under a franchise or license.</td>
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<tr>
<td>4. REVENUE RATIOS FOR COMMUNITY TRANSIT AND CONTRACTED TRANSIT SERVICES (CTSA &amp; Volunteer Center Only)</td>
<td>Fc</td>
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<tr>
<td>Claimant filing a claim pursuant to PUC 99275.5c and 99405c further certifies that, for the project year, it reasonably anticipates achieving the performance criteria, local match requirements, or fare recovery ratios adopted by the transportation planning agency or county transportation commission.</td>
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<tr>
<td>5. REVENUE RATIOS FOR OPERATORS SERVING URBANIZED AND NONURBANIZED AREAS (METRO Only)</td>
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<tr>
<td>Claimant filing a claim pursuant to PUC 99270.1 certifies that it will maintain for the project year at least the alternative farebox recovery ratio as determined by the adopted (RTPA name) “fare ratio optional rule.”</td>
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<td>6. EXTENSION OF SERVICES (METRO Only)</td>
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<tr>
<td>Claimant that received an allocation of LTF funds for an extension of service pursuant to PUC 99268.8 certifies that it will file a report of these services pursuant to CCR 6633.8b within 90 days after the close of the fiscal year in which that allocation was granted.</td>
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<td>7. RETIREMENT SYSTEM (METRO Only)</td>
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<tr>
<td>Claimant filing claim pursuant to PUC Section 99260 certifies that (check one):</td>
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<tr>
<td>a) The current cost of its retirement system is fully funded with respect to the officers and employees of its public transportation system (PUC Section 99271a); or</td>
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<tr>
<td>b) The operator is implementing a plan approved by the transportation planning agency which will fully fund the retirement system for such officers and employees within 40 years (PUC Section 99271a); or</td>
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<tr>
<td>c) The operator has a private pension plan which sets aside and invests on a current basis funds sufficient to provide for the payment of future pension benefits and which is fully compliant with the requirements stated in PUC Sections 99272 and 99273.</td>
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<tr>
<td>8. USE OF FEDERAL FUNDS (Claimants Receiving Federal Funds)</td>
<td>Fc</td>
</tr>
<tr>
<td>Claimant filing a claim for TDA funds for capital intensive projects pursuant to PUC 99268.7 certifies that it has made every effort to obtain federal funding for any project which is funded pursuant to PUC 99268.7.</td>
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<tr>
<td>9. REDUCED FARES FOR ELDERLY AND HANDICAPPED (METRO Only)</td>
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<tr>
<td>A claimant filing a claim pursuant to PUC 99260 which offers reduced fares to senior citizens and disabled persons certifies that it is in compliance with PUC 99155.</td>
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</tbody>
</table>
10. **DRIVERS PULL NOTICE PARTICIPATION (METRO & Community Bridges Only)**
   A claimant filing a claim for public transit assistance must include a certification completed within the prior 13 months by the California Highway Patrol indicating the operator has participated in a "pull notice system" to examine driver's records.

11. **INCREASE IN OPERATOR'S COST PER HOUR (STA Claimants Only)**
    Claimant filing a claim for operating assistance from STAF funds must include a supplemental schedule which identifies either: A - 1) the most recent audited cost per revenue vehicle hour (year 1) and the cost per revenue hour for the year prior to the most recent audit year (year 2) and 2) the Consumer Price Index for the year prior to the most recent audit year (year 2); or B - 1) the most recent audited cost per revenue vehicle hour (year 1) and the cost per revenue hour for the three years prior to the most recent audit year and 2) the Consumer Price Index for the three years prior to the most recent audit year. The supplemental schedule information will be used to determine eligibility pursuant to PUC 99314.6.

12. **STAFFING ON VEHICLES (METRO & Community Bridges Only)**
    Claimant certifies that it is in compliance with PUC Section 99264 that it does not routinely staff, with two or more persons, a vehicle for public transportation purposes designed to be operated by one person.

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**CTSA - Community Bridges - Lift Line**
(Legal Name of Applicant/Claimant)

*Raymon Cancino*
(Authorizing Signature of CEO/CFO)

-Raymon Cancino, Chief Executive Officer
(Name and Title)
Community Bridges Lift Line is designated as the Consolidated Transportation Services Agency (CTSA) of Santa Cruz County. Community Bridges has operated transportation under this designation since 1982.

Lift Line provides and coordinates the most accessible, reliable and safe transportation possible. We provided more than 65,500 rides in the past fiscal year to frail, elderly, and disabled county residents at no cost to the passengers. Lift Line now operates daily from 8:00 a.m. until 4:00 p.m. Hours of operation are extended in the case of emergencies, special occasion, and special requests. Lift Line also coordinates and schedules taxi rides provided outside of business hours.

With a current fleet of 18 vehicles, Lift Line provides a variety of services to assist seniors and people with disabilities in getting to where they need to go.

Lift Line has been approved through the SCCRTC for LCTOP funds to expand our emissions reduction goals even further. The funding awarded helped purchase a small 9-passenger fully electric paratransit bus and two level-3 charging station. The chargers will be located at our fleet facility in Watsonville and the other in Felton at the Mountain Community Resources Center located at 6134 Highway 9. These stations will allow quick charging 80% in 20 minutes. They will also be open to other transit operations such as Metro and MST. We hope to help build a clean energy grid that helps accelerate the transition to ZEV (Zero Emission Vehicle) for all operations. Installation, planning and permitting of the charger has been delayed due to local planning departments. The bus is currently in operation providing rides. There are no problems charging the small bus as we have two existing EV chargers currently operating at our operations facility located at 545 Ohlone Parkway in Watsonville.

We are working with the City of Watsonville on permitting to pave an additional parking lot, drainage, and install two additional level-three chargers at Ohlone parkway. The remaining five staff will move to the new Lift Line facility in early 2020, once drainage and paving is completed.

Current Services Offered Include:

**Medi-Cal:** In partnership with the Central Coast Alliance for Health, rides to medical destinations are fully covered for qualified members who have been determined to need above ADA METRO Para Cruz services.

**TDA Medical Transportation:** Transportation Development Act funds are used to provide medical rides (two round-trips per week) to persons qualified as low-income disabled or elderly.

**Senior Dining Centers:** Lift Line provides transportation to four senior dining centers throughout the County five days per week.

**Taxi Scrip:** Taxi Scrip is available for persons who are disabled and/or age 60 and over. Depending on income $30 of Scrip can be purchased for $16 or $30 worth of Scrip for $8 (limited amounts of Scrip available). Due to Taxi Scrip rides being down FY 19/20 Lift Line is going to temporarily lift the limit in attempts to gauge actual demands. We have had requests form some clients wanting more than the allowed limit. The current maximum amount is $180 worth of scrip per quarter. The cost of that Scrip would either be $96 or $48 depending on income.

**Elderday Adult Day Health Care Transportation:** Transportation is provided to the Elderday program that provides outpatient day health care to the most medically complex seniors and people
with medically complex histories who are in need of constant care, and/or are diagnosed with dementia.

**Outside Contracts:** Lift Line is available for community events for groups needing specialized transportation that requires accessibility for the elderly and disabled.

**Non-Emergency Medical Transportation:** Available within Santa Cruz County for private pay.

**Lift Line was able to secure FTA Section 5310 funding to continue the following services through February 2021.** Lift Line will continue to provide these services and with STA funding we will be able to provide the same level of service and will not have to reduce services through the originally planned driver layoff in January 2020, and will ensure continuation through FY2021.

- **Out of County Medical rides:** Lift Line provides door-to-door specialized transportation to low-income residents who have no other way to get to medical facilities for appointments that are in Santa Clara, San Mateo, and San Francisco Counties.
- **Veterans’ Transportation:** Lift Line coordinates and provides transportation for local veterans to out of county VA outpatient medical facilities in Monterey and Palo Alto.
- **Veterans’ Shuttle Watsonville:** Lift Line coordinates and provides transportation for local veteran’s form CVS located at 490 Rodriguez Street Watsonville on Wednesdays at 9:15am to Veterans Memorial Building located at 846 Front St. Santa Cruz. The return to CVS is at 2:00pm.
- **Same Day Medical Transportation:** First come, first serve same day rides for eligible riders to medical appointments including dentist, prescription drugs, and other medical related needs.
- **Downtown Seniors Center:** At the beginning of FY18/19 Lift Line expanded its service to provide transportation to the Louden Nelson Community Center for seniors to take classes and participate in activities. Transportation is provided during activity times Monday through Saturday.

**Due to COVID-19 here are some temporary program impacts:**

**Elderday**
Temporarily did a partial shut-down and were serving 25 of their most vulnerable clients. Due to restrictions in place by the California Department of Aging and lack of financial support the center will temporarily shut its doors on April 2, 2020. This impacts Lift Line by reducing daily one-way trips by about 120 Monday through Friday.

**Meals on Wheels of Santa Cruz County**
All congregate dining centers are closed until further notice. This impacts Lift Line by reducing daily one-way trips by about 44.

**Lift Line**
Shifted its resources and expanded services on 3/23/20 to provide essential trips to grocery stores, pharmacies, banks, and other locations that are recognized by the County of Santa Cruz as essential services under the shelter in place order. We temporarily removed the need for an application to schedule rides in order to remove barriers to access. Lift Line is also supporting Meals on Wheels by utilizing our drivers and buses to deliver meals to participants. These special expanded service will remain operating until the shelter in place order has ended or for other reasons that Lift Line needs to end the services.
Challenges

The immediate challenge now is dealing with COVID-19 as a paratransit operation and being on the front lines. Several additional safety measure have been put in place to help protect staff as well as clients. Even though we have temporarily lost some service, we have expanded services in other areas. We are taking this step-by-step and will adjust accordingly.

Additionally, Lift Line has been having challenges with our third party subcontractor, Santa Cruz Yellow Cab, who performs overflow/backup transportation as well as provides transportation for the Taxi Script program. They have become unreliable; therefore, we are actively looking for alternatives for overflow/backup transportation to help expand our service reach and delivery.
EXHIBIT A, Page'l oÍ 2

COMMUNITY BRIDGES - LIFT LINE / CTSA

TDA 2020.21 BUDGET
TDA
2020-21
BUDGET

ACCOUNT TITLE
PERSONNEL:
Salaries & Wages
Fringe Ben Unemployment
Workers Comp
Health lnsurance
FICA
401 K Plan

TOTAL PERSONNEL COSTS:

STA
2020-21
BUDGET

Non-TDA
2020-21
BUDGET

338,117
2,641
14,130
45,518
25,866

69,465

2,526

350

609
1,655

608,524
4,371
24,990

8,075

92,1 88

5,314

46,552
5,855

428,799 85,469

SERVICES & SUPPLIES:
OPERATING:
Vehicle Operations-Fuel
37,169
Vehicle Licenses
3,384
Vehicle Repair & Maintenance
10,126
Vehicle lnsurance
25,548
Communications-Radio
18,3'15
TOTAL VEH. OPERATING
94,541
OTHER OPERATING & ADMINISTRATION COSTS:
Professional
0
Janitorial
1,873
Legal
0

Overhead
TOTAL EXPENDITURES
TOTAL REVENUES
NET GAIN (LOSS)

1

330,765

7,621
40,776
145,781
77,732
8,731

1,896

Non-TDA

CTSA
2015-20
BUDGET

10,472
43,656

25,304
1,886

64,015
480
3,2'18

12,602
4,897
256

598,677
4,279
28,1 99
80,'167

45,720
3,357

1,296,747 413,979 85,468 760,399

71J92

108,361

6,483

9,867

22,309
28,526

32,435
54,074
44,648

38,856
3,587
15,797

38,856
5,460
15,797

0
0

9,091

9,091

914

0
1,633

154,844 249,385

7't8

TDA STA

2019-20 2019-20 20',19-20
BUDGET BUDGET BUDGET

,01 6,1 06

26,333

GOSTS:

Services
Services/Supplies
services/Audit
Publicity/Media
Special Events
Stafftravel
Minor Equipment
Equip Maintenance/Repair
Office Supplies
Program Supples
Vehicle Maintenance Supplies
Computer Supplies/Related
Postage
Space Rental
Utilities
Space Maintenance
Telephone
Misc Fees
Staff Training
lnsurance-General Liability & Fidelity
MembershipsiSubscriptions
Printing & Copying
Advertising (Recruitment)
lnterest Expense
Subsidized Taxi - Elderday Rides
Subsidized Taxi - MOW Rides
Subsidized Taxi - LL Rides
Subsidized Taxi - Scrip
Nonsubsidized Taxi-Measure D Svcs
Trxfer to/from Equip Reserve
300 Facilility Reserve
Major Equipment - 5310
Major Equipment - Non-5310
Major Equipment CARB
Major Equipment LCTOP
300 Property Fixed Asset
Leasehold lmprovements
Depreciation Equipment

782,480

CTSA
2020-21
BUDGET

718
914
2,486

853
2,888
934
2,072
38
555
258

3,313
1,786
3,889
74
1,062
493

6,201
2,720

0

0

0

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8,602

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13,883

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17,377
96,178

62,299
8,295
20,761
31 ,906

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34,644
54,074

24,926

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244,366

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2,686

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9,1 03
700

148,188

2,524
1,403
0
0
0
891

21

,129

9,103
700

1,230
3,467

0

891

5,713

6,943
11,684

3,725

7,135

2,95'l

5,651

836

1,600
3,704

2,436
5,638

1,553
1,990

0
15,531
0

2,025

2,000

8,217
1,341
4,057
70
1,037
468
11,488
13,634
16,878
2,742
3,510
660

20,596
665

4,694

14,081

1,934

2,025
5,065
665

524
120
121 ,250
257
5,708

271
63
0
0
0

28,327

0
0

29,158
18,01

0

37,261

I

0

112
1,617

541

751

265
6,512
6,423

0

251

251

0

5,569

5,569

27,636

0

27,636

27,447

0

0

19,866

179
121 ,250

42,960

0

0

0

15,793
402,927

27,855

0

27,855

0
0

0

0

0

U

98,742
20,000
3,840

0
0
0

182,306
82,363
20,000
3,840

182,306
82,363
20,000
3.840

I

37,261

98,742
20,000
3,840
147

7,116

23-51

4,052

27,447
19,866
42,960
15,793
402,927

18,01

0
0
0

00

5,500
2,660
18,775
990

257
5,708
28,327
29,158

0

(0)

4,295

0

0

100,000 1,467,615

109

1,578
733
18,000
20,057
17,783

121 ,250

0
0
0

749,501

300
3,937
114
121,250

6,116

183

795

0

531

905

2,654

690
115
65

0
0
0

14

,313

2,059
39

5,961

0
0

498

1

993,457
6,655
41,889
136,425
75,521
5,499
1,259,846

2,317,116
0

't1

777,414 '100,000
777,414
0

2,163,241

2,163,241
(0)

3,040,655
3,040,655
0


## COMMUNITY BRIDGES - LIFT LINE / CTSA
### TDA 2020-21 BUDGET

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<td>$749,501</td>
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<td>40,000</td>
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<td>258,427</td>
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<td>0</td>
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<td>15,000</td>
<td>15,000</td>
<td>15,000</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Elderday Intra-Program Charges</td>
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<td>0</td>
<td>0</td>
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</tr>
<tr>
<td><strong>TOTAL REVENUES</strong></td>
<td>749,501</td>
<td>100,000</td>
<td>1,467,615</td>
<td>2,317,116</td>
<td>777,414</td>
<td>2,163,241</td>
<td>3,040,655</td>
<td>2,317,116</td>
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### COMMUNITY BRIDGES - LIFT LINE / CTSA
### TDA 2020-21 BUDGET

<table>
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<tr>
<th>OPERATING FUND SOURCES</th>
<th>CTSA FINAL FY 18-19</th>
<th>CTSA BUDGET FY 19-20</th>
<th>CTSA BUDGET FY 20-21</th>
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<td>100,000</td>
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<td>City of Capitola</td>
<td>30,600</td>
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<td>30,600</td>
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<tr>
<td>City of Scotts Valley</td>
<td>3,245</td>
<td>3,316</td>
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<td>City of Watsonville</td>
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<td>County of Santa Cruz</td>
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<tr>
<td>Additional TDA Vehicle Reserve</td>
<td>0</td>
<td>20,961</td>
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<tr>
<td>County of SC-Measure D Sales Tax</td>
<td>933,068</td>
<td>833,490</td>
<td>844,325</td>
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<tr>
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<td>CARB</td>
<td>219,521</td>
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<td>LCTOP</td>
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<td>258,427</td>
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<tr>
<td>Area Agency on Aging-Title IIIB</td>
<td>39,267</td>
<td>38,124</td>
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<tr>
<td>FTA Section 5310-Expanded</td>
<td>199,083</td>
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<td>122,446</td>
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<td>Monterey Peninsula Foundation</td>
<td>40,000</td>
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<td>Outside Contracts-Other</td>
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<td>Scrip-Client Payments</td>
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<td>8,426</td>
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<tr>
<td>Scrip - Health Project Center</td>
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<tr>
<td>MOW Intra-Program Charges</td>
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<tr>
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<tr>
<td>Vehicle Sales</td>
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<tr>
<td>Misc Income</td>
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<tr>
<td><strong>SUBTOTAL REVENUES</strong></td>
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<tr>
<td><strong>TOTAL REVENUES</strong></td>
<td>2,693,275</td>
<td>3,040,655</td>
<td>2,317,116</td>
</tr>
</tbody>
</table>

23-52
## EXHIBIT B

### CTSA FIVE YEAR CAPITAL IMPROVEMENT PLAN 20/21

**FISCAL YEARS: 20/21 THROUGH 24/25**

### CAPITAL REVENUE

<table>
<thead>
<tr>
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<tbody>
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<td>$210,000</td>
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<td>Fund Interest</td>
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<td>$11</td>
<td>$11</td>
<td>$11</td>
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<td><strong>$300,614</strong></td>
<td><strong>$108,624</strong></td>
<td><strong>$318,635</strong></td>
<td><strong>$318,667</strong></td>
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### CAPITAL EXPENDITURES

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**Year-End Balance**

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<td><strong>$108,614</strong></td>
<td><strong>$108,624</strong></td>
<td><strong>$318,635</strong></td>
<td><strong>$318,667</strong></td>
<td></td>
</tr>
</tbody>
</table>

**Notes:**

1. As capital grants are indefinite, and as capital equipment arrival dates vary, projected figures may require adjustment.
2. In FY 19/20 Lift Line purchased a vehicle with a 27000 lb. capacity for $27,855.
3. $37,261 of TDA funds are being put into equipment reserve 20/21 to be used as matching funds or non-supported 5310 equipment.
4. 5 buses that were received in the beginning of the FY 19/20.
5. $192,000 equipment funding was approved by FTA for two minivans, computers, and communications equipment for purchase in FY 21-22.
6. $210,000 for 2 buses, computers, and communications equipment projected for FY 23/24.
EXHIBIT C-1
Lift Line / CTSA
FY20/21 OPERATING PLAN

The Lift Line program provides demand-responsive, specialized non-emergency health and medical transportation for low-income seniors and disabled residents of Santa Cruz County. Riders are not charged a fare for the service. Service is generally provided from 8:00 AM to 4:00 PM, seven days a week (with the exception of published holidays), while Lift Line also coordinates additional services on behalf of its clients outside these hours.

Service is focused on individuals that live outside the METRO ParaCruz service area, those who are unable to afford the METRO ParaCruz fare, those that do not meet the ADA complementary paratransit eligibility requirements, those needing same day service, and those that need a higher level of service than can be provided by METRO ParaCruz. Lift Line operates a fleet of 19 wheelchair accessible vans. Transportation is provided to destinations such as doctors’ offices, pharmacies, Elderday Adult Day Health Care, Senior Dining Centers, out of county medical destinations, dialysis sites, and various medical therapy appointments. Clients are generally asked to book their medical rides between 8:30am and 3:30pm.

**Lift Line is seeking to continue TDA Medical Rides service and ensure this service reaches those with the most need. Lift Line projecting 5,500 TDA Medical Rides for FY 20/21.** The TDA Medical Rides program serves as a safety net service for medical rides outside the ADA-mandated METRO paratransit service areas. Eligible individuals may schedule rides to medical destinations as late as one day in advance, with no fares collected. Currently all of the residents that receive medical rides are low income and below the federal 200% poverty level. Lift Line staff continue to update participant applications to reflect the new Federal Government poverty level guidelines to ensure income and disability eligibility is maintained by participants.

**Lift Line also coordinates with the local taxi companies to offer the Taxi Scrip (TS) program. Lift Line is projecting 3,200 Taxi Scrip rides in FY 20/21.** The Taxi Scrip program serves as a safety net service for medical rides and non-medical rides needed outside the ADA-mandated METRO paratransit service areas. Individuals may purchase subsidized taxi scrip so that they can directly schedule taxi rides. Taxi companies own and operate vehicles that are fully accessible for mobility devices such as wheelchairs. Currently all residents that receive Taxi Scrip at a discount are low income and below the federal 200% poverty level. Lift Line staff continue to update the TDA applications to reflect the new Federal Government poverty level guidelines. Area taxi service providers include: Courtesy Cab, and Santa Cruz Cab. Lift Line provides ongoing monitoring and assessment of the program to ensure that eligibility criteria are met, safety criteria are met by subcontractors, and to ensure there is no abuse of this vital program. Currently clients can purchase three $10.00 books, for a total of $30.00 worth of scrip, for $8.00 which would give them approximately one (1) or two (2) rides per book. There is currently a limit to purchase six books per person per quarter.
Lift Line is projecting 9,300 Meals on Wheels rides for FY 20/21, 4,203 of which will be funded with TDA funds. We are on track to meet our projected goal for the current fiscal year. Lift Line will continue to coordinate with the Meals on Wheels program to help them meet any attendance demands at all of the senior dining centers. Lift Line continues to meet with the Meals on Wheels Program Director and site managers to review unmet transportation service needs.

Lift Line is projecting 22,345 Elderday rides in FY 20/21, of which 8,900 are funded by TDA. The Elderday program provides outpatient adult day health care to seniors and community residents who need constant care, and/or are diagnosed with dementia or Alzheimer’s disease. Almost all of these participants use wheelchairs or walkers, and require vans with lifts. Generally, these clients are very frail and need personal, door-to-door assistance. Elderday rides are reflective of the level of client service that Lift Line drivers provide to patients with critical needs.

Lift Line staff will continue to work with the Santa Cruz County Regional Transportation Commission’s Elderly and Disabled Transportation Advisory Committee (E&D TAC) in identifying and addressing unmet needs. Lift Line continues to work with the E&D TAC in meeting the Unmet Transit and Paratransit Needs as well as the recommendations of the Paratransit Coordination Task Force. For those who don’t qualify for METRO ParaCruz or MediCal assistance, we will continue to help them complete the required paperwork to make it easier for them to use the current TDA programs that meet their specific needs. In our role as the Consolidated Transportation Service Agency, Lift Line will continue working with other transportation providers to ensure maximum efficiency and coordination of rides for all residents.

Lift Line will continue to focus its resources on transportation needs that are not being met by other paratransit services, such as ADA-mandated METRO ParaCruz. Through TDA funding, Lift Line will continue to serve those not eligible for METRO ParaCruz service, specifically low income individuals who cannot afford the $8.00 to $12.00 round-trip METRO ParaCruz fare, those who don’t meet the strict ADA qualifications, and those with origins/destinations outside of the METRO ParaCruz service area. Because Lift Line provides safety net services to those ineligible or unable to use other services, its goal is to provide flexible programs, scheduling, and dispatching that can respond to the changing needs of all participants. Community Bridges maintains comprehensive auto and general liability coverage, including the City of Santa Cruz and SCCRTC as additional insured parties. A copy of each insurance certificate shall be filed with the City and with SCCRTC.
### TABLE 1 - TDA/STA PROPOSED SERVICE UNITS

<table>
<thead>
<tr>
<th>TAXI SCRIP</th>
<th>MEDICAL TDA</th>
<th>MEALS ON WHEELS</th>
<th>ELDERDAY FUNDING</th>
<th>TOTAL UNITS</th>
</tr>
</thead>
<tbody>
<tr>
<td>FUNDS ALLOCATED</td>
<td>$70,148</td>
<td>$358,040</td>
<td>$80,725</td>
<td>$203,328</td>
</tr>
<tr>
<td>OPERATING COST</td>
<td>$13,40</td>
<td>$39,79</td>
<td>$11,12</td>
<td>$12,45</td>
</tr>
<tr>
<td>A. PROGRAM MANAGEMENT</td>
<td>$5,35</td>
<td>$18,75</td>
<td>$6,79</td>
<td>$7,08</td>
</tr>
<tr>
<td>B. ADMINISTRATION</td>
<td>$3,18</td>
<td>$7,55</td>
<td>$1,29</td>
<td>$3,32</td>
</tr>
<tr>
<td>TOTAL COST PER SERVICE UNIT</td>
<td>$21,92</td>
<td>$65,10</td>
<td>$10,21</td>
<td>$22,85</td>
</tr>
<tr>
<td>20/21 PROJECTED TDA/STA UNITS OF SERVICE</td>
<td>3,200</td>
<td>5,500</td>
<td>4,203</td>
<td>8,900</td>
</tr>
<tr>
<td>TOTAL</td>
<td>23,217</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### NON-TDA SUPPORTED

### TABLE 2 - OTHER CTSA SERVICE UNITS

<table>
<thead>
<tr>
<th>Meals on Wheels</th>
<th>Elderday Services</th>
<th>Section 5310 Medical</th>
<th>Measure D Paratransit</th>
<th>Dialysis</th>
<th>Total Units</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Funds Allocated</td>
<td>$97,890</td>
<td>$307,158</td>
<td>$122,446</td>
<td>$466,701</td>
<td>$0</td>
<td>$934,195</td>
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<tr>
<td>Revenue per Service Unit</td>
<td>$19,21</td>
<td>$22,85</td>
<td>$70,72</td>
<td>$93,34</td>
<td>$0</td>
<td>$25,273</td>
</tr>
<tr>
<td>20/21 Projected Units of Service</td>
<td>5,997</td>
<td>13,446</td>
<td>1,732</td>
<td>5,000</td>
<td>0</td>
<td>25,273</td>
</tr>
<tr>
<td>Other Income</td>
<td>$95,796</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Operating Income</td>
<td>$1,089,991</td>
<td></td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>CARB and LCTOP Grants</td>
<td>$0</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Measure D Facility/Equip/Project Funds</td>
<td>$377,624</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>FTA Section 5310: Capital Equipment</td>
<td>$0</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TDA/STA Claim</td>
<td>$849,501</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Grand Total</td>
<td>$2,317,116</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### ROLLUP OF ALL Rides

### TABLE 3 - ALL SERVICE UNITS TOTaled (Total tables 1 and 2, units of service, to equal table 3 totals)

<table>
<thead>
<tr>
<th>Taxi Scrip</th>
<th>TDA Medical</th>
<th>Meals on Wheels</th>
<th>Elderday Services</th>
<th>Section 5310 Medical</th>
<th>Measure D Paratransit</th>
<th>Total Units</th>
</tr>
</thead>
<tbody>
<tr>
<td>20/21 Total Ride Projections</td>
<td>3,200</td>
<td>6,500</td>
<td>9,300</td>
<td>22,245</td>
<td>3,146</td>
<td>5,000</td>
</tr>
</tbody>
</table>
Exhibit D
Schedule of Payment
FY: 2020-2021 TDA and STA
Claim Lift Line CTSA

<table>
<thead>
<tr>
<th></th>
<th>TDA</th>
</tr>
</thead>
<tbody>
<tr>
<td>July 15, 2020</td>
<td>$247335.50</td>
</tr>
<tr>
<td>October 15, 2020</td>
<td>$167388.50</td>
</tr>
<tr>
<td>January 15, 2021</td>
<td>$167388.50</td>
</tr>
<tr>
<td>April 15, 2021</td>
<td>$167388.50</td>
</tr>
<tr>
<td>Total</td>
<td>$749501.00</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>STA</th>
</tr>
</thead>
<tbody>
<tr>
<td>1st Quarter</td>
<td>$25,000</td>
</tr>
<tr>
<td>2nd Quarter</td>
<td>$25,000</td>
</tr>
<tr>
<td>3rd Quarter</td>
<td>$25,000</td>
</tr>
<tr>
<td>4th Quarter</td>
<td>$25,000</td>
</tr>
<tr>
<td>Total</td>
<td>$100,000</td>
</tr>
</tbody>
</table>

Preferred Method and Schedule for TDA fund distribution: Quarterly disbursement, with up to 33% in first quarter, and the remaining quarterly payments being one-third of the remaining claim amount.
EXHIBIT E Lift Line / CTSA
20/21 Statement of Role and Responsibility

Community Bridges has been the designated Consolidated Transportation Services Agency (CTSA) since 1982. CTSAs are authorized under California Government Code Sections 15975 and 15950-15952 which were enacted pursuant to the Social Service Transportation Improvement Act. The purpose of the CTSA is to improve transportation required by social service recipients by promoting the consolidation and coordinating of social service transportation. As the Consolidated Transportation Service Agency, Community Bridges Lift Line will continue to coordinate and consolidate transportation services with other transportation and human service agencies in order to provide the most efficient transportation possible. Lift Line will continue to work with Santa Cruz County School Districts, Human Services Department of the County of Santa Cruz, County Office of Education, Veterans Service Offices in Santa Cruz and Palo Alto, Hospice of Santa Cruz County, as well as hospitals and other medical facilities. Community Bridges Lift Line will also continue working closely with the RTPA and to help with the unmet needs identified in the Tri-County AMBAG Coordinated Plan. Community Bridges Lift Line will also continue working with local non-profit organizations and other human service and medical facilities in neighboring counties to continue to define and create an effective mobility management center to help mobilize resident with various disabilities, low income and senior populations to travel easily throughout our County as well as to travel seamlessly throughout our tri-county Monterey Bay region and the San Francisco Bay Area.

As the CTSA, Community Bridges Lift Line will continue coordination to improve and identify the need for specialized transportation equipment. If the equipment funded through Caltrans 5310 isn’t reaching its proposed requirements through their contract, the equipment can be recaptured and its use coordinated through other identified paratransit service needs. We will continue to offer training to ensure that not only Lift Line staff operates in a safe and sensitive manner, but will continue to offer expertise and training for other transportation providers in the County.

Pursuant to the CTSA designation for Santa Cruz County, Community Bridges operates the Lift Line transportation program, which will continue to take a lead, and work closely with the RTPA, to continue to help identify unmet transportation needs, coordinate and provide social service transportation services to low-income seniors, disabled residents, underserved populations and other identified individuals in Santa Cruz County. Lift Line will continue to directly address the issues identified through the unmet needs process by providing rides to medical appointments (including dialysis), alternative care, mental health and various medical transportation needs.
**Exhibit F**  
**Reporting Period and Performance Measures**  
**FY: 2020-2021 TDA Claim**  
**Community Bridges’ Lift Line CTSA**

<table>
<thead>
<tr>
<th>Reporting Period</th>
<th>Due</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Fiscal Year: 2019/20</td>
<td>11/15/20</td>
</tr>
<tr>
<td>2. 1st Quarter, 7/1/20 through 9/30/20</td>
<td>01/15/21</td>
</tr>
<tr>
<td>3. 2nd Quarter, 10/1/20 through 12/31/20</td>
<td>04/15/21</td>
</tr>
<tr>
<td>4. 3rd Quarter, 1/1/21 through 3/31/21</td>
<td>07/15/21</td>
</tr>
<tr>
<td>5. 4th Quarter, 4/1/21 through 6/30/21</td>
<td>11/15/21</td>
</tr>
<tr>
<td>6. Annual Evaluation, Fiscal Year 2020/2021</td>
<td>11/15/21</td>
</tr>
</tbody>
</table>

**Performance Measures to be included in Quarterly Reports**

The quarterly reports are to include the following:

1. Unduplicated passengers per month
2. Total passenger trips (units of service) per month
3. Incidents per month
4. Accidents per month
5. Mechanical failures* (including lift failure) per month
6. No-shows per month
7. Turndowns or referrals per month
8. Cancels per month
9. Donations per month
10. Total operating cost per passenger
11. Total operating cost per vehicle service hour
12. Total passengers per vehicle service hour
13. Total passengers per vehicle service mile
14. Van mileage per program

*Mechanical failure means any problem which results in a delay of one hour or longer, or cancellation of service.
RESOLUTION AUTHORIZING COMMUNITY BRIDGES/LIFT LINE TO MAKE A CLAIM FOR FY20/21 TDA FUNDS FROM THE REGIONAL TRANSPORTATION COMMISSION THROUGH THE CITY OF SANTA CRUZ

WHEREAS, the Transportation Development Act (TDA) of 1971 provides that the applicant may file an Article 8 claim for monies from the Local Transportation Fund; and

WHEREAS, the Regional Transportation Commission (RTC) has identified a process for TDA claims in their Rules and Regulations; and

WHEREAS, Community Bridges desires to apply for said financial assistance to permit operation of paratransit service in Santa Cruz County; and

WHEREAS, the Community Bridges has, to the maximum extent feasible, coordinated with other transportation providers and users in the region (including social service agencies).

NOW, THEREFORE, BE IT RESOLVED AND ORDERED that the Community Bridges does hereby authorize Raymon Cancino, CEO, to file and execute applications on behalf of Community Bridges with the Department to aid in the financing of capital projects pursuant to TDA claim, as amended.

That Raymon Cancino, CEO; Seth McGibben, CAO; Doug Underhill, CFO is authorized to execute and file all certification of assurances, contracts or agreements or any other document required by the Department.

That Raymon Cancino, CEO; Seth McGibben, CAO; Doug Underhill, CFO is authorized to provide additional information as the RTC may require in connection with the application for the TDA claim.

That Raymon Cancino, CEO; Seth McGibben, CAO; Doug Underhill, CFO is authorized to submit and approve request for reimbursement of funds from the RTC for the TDA claim.

PASSED AND ADOPTED by the Governance Committee of the Community Bridges Board of Directors of the Santa Cruz County, State of California, by electronic vote of said Commission or Board Meeting held on March 28, 2020 by the following vote:

AYES: 4  NAYS: 0  ABSENT: 0

Jack Jacobson, Secretary
A RESOLUTION APPROVING THE FISCAL YEAR 2020-21 TRANSPORTATION DEVELOPMENT ACT ARTICLE 8 CLAIM FROM THE CITY OF SANTA CRUZ ON BEHALF OF THE VOLUNTEER CENTER

WHEREAS the Transportation Development Act (TDA) of 1971 provides that an applicant may file an Article 8 claim for monies from the Local Transportation Fund;

WHEREAS the Regional Transportation Commission (RTC) has identified a process for TDA claims in their Rules and Regulations;

WHEREAS the Regional Transportation Commission, in adopting its FY 2020-21 TDA budget, has apportioned $89,226 and $7,151 in unallocated funds to be used by the Volunteer Center for administering the volunteer transportation program;

WHEREAS the Elderly & Disabled Transportation Advisory Committee, at its April 14, 2020 meeting, recommended that the Regional Transportation Commission approve this claim; and

WHEREAS the City of Santa Cruz is eligible to claim Article 8 funds and is scheduled to approve their role as claimant for Volunteer Center on May 26, 2020;

THEREFORE BE IT RESOLVED BY THE SANTA CRUZ COUNTY REGIONAL TRANSPORTATION COMMISSION:

1. The claim submitted in the amount of $96,377 in TDA Article 8 funds fulfills the requirements as specified in the Transportation Development Act and the Rules and Regulation of the RTC and is consistent with the Regional Transportation Plan, as follows:

   a. The claim includes a proposed budget for the 2020-21 fiscal year;

   b. The claim includes a statement of projected or estimated revenues and expenditures for the prior fiscal year;

   c. The claim will fund specialized transportation services and respond to transportation needs not otherwise being met within the community; and

   d. The proposed expenditure of the funds is consistent with the most current Regional Transportation Plan.

2. The submitted FY 2020-21 claim in the amount of $96,377 in TDA Article 8 funds is hereby approved consisting of one payment in May of 2020 and the City of Santa Cruz will act as a claimant on behalf of the Volunteer Center, for Article 8 claims for
specialized transportation programs.

3. The Executive Director is authorized to modify the payment amounts should the RTC amend the FY 2020-21 Transportation Development Act apportionments in the RTC’s FY 2020-21 budget.

AYES: COMMISSIONERS

NOES: COMMISSIONERS

ABSTAIN: COMMISSIONERS

____________________________
Bruce McPherson, Chair

ATTEST:

____________________________
Guy Preston, Secretary

Exhibit 1: Volunteer Center TDA claim and supporting materials

Distribution: City of Santa Cruz
Volunteer Center
Transportation-Fiscal

I:\E&DTAC\TDA\RTC REPORTS\RESOLUTIONS\RES_VC-TDA_20-21.DOCX
April 3, 2020

Guy Preston
Executive Director
Santa Cruz County RTC
1523 Pacific Ave.
Santa Cruz, CA  95060-3911

Dear Mr. Preston,

I am submitting a TDA funding claim on behalf of the Volunteer Center of Santa Cruz County. As an agency we have moved quickly over the last few weeks in response to COVID 19 to redesign, develop new safety guidelines and implement and scale our current Transportation Program to include a new Senior Grocery Shopping Program. We recognize the need for this service with our own participants and would like to also help out additional seniors in our community. If we are able to return to driving seniors in the future we will do this. For now, our goal will be to support seniors with picking up and delivering groceries and medications.

We are honored to be a part of the Regional Transportation E&D TAC commission and serve as one of the agencies of specialized transportation services for seniors and people with disabilities in Santa Cruz County.

Attached is our TDA funding claim for 2020-21 for $89,226. In addition, we are requesting $7,151 of unallocated funds from prior years. We are requesting early allocation of funds due to new costs associated with design, development and implementation of the new Grocery Shopper Program.

I attest to the accuracy of the claim and all of its accompanying documentation. If you have any question or concern please feel free to contact me directly at 831.427.5070.

Warm Regards,

Tara Ireland
Senior Programs Director
Volunteer Center of Santa Cruz County
rsvpvol@scvolunteercenter.org
831.427.5070 x105
April 3, 2020

Ms. Natalia Duarte  
Finance Department  
809 Center Street Room 8  
Santa Cruz, CA 95060  

Dear Ms. Duarte,

This letter serves as our request that the City of Santa Cruz act as the Transportation Development Act (TDA) claimant for the Volunteer Center of Santa Cruz Transportation Program through the Santa Cruz County Regional Transportation Commission.

Our agency remains committed to serving the senior and disabled population of Santa Cruz County. In response to COVID 19 our Transportation Program has designed and developed a Senior Grocery Shopping Program in order to keep vulnerable seniors safe and able to shelter in place.

I have enclosed a copy of our Program Responsibilities and Budget for fiscal year 2020-21. We request to make one claim for an advance of the full $89,226 effective in May 2020. In addition, we are requesting $7,151 of unallocated funds from prior years.

The Volunteer Center is requesting early allocation of funds in May 2020 due to new costs associated with design, development and implementation of the new Grocery Shopper Program

Thank you for your continued support of the Volunteer Center Transportation Program.

Warm Regards,

Tara Ireland  
Senior Programs Director  
Volunteer Center of Santa Cruz County

Enclosure

CC: Grace Blakeslee, Regional Transportation Commission
Transportation Development Act (TDA) – Local Transportation Funds

CLAIM FORM

Submit a separate form for each project.

This form has been developed in an effort to standardize information required from TDA recipients, based on TDA Statute, RTC Rules and Regulations, and/or RTC board requests.

If you have any questions about this claim form or would like an electronic copy of the form, please contact the Santa Cruz County Regional Transportation Commission at 460-3200.

Project Information

1. Project Title: Transportation Program

2. Implementing Agency: Volunteer Center of Santa Cruz

3. Sponsoring Agency (if different) Must be a TDA Eligible Claimant:

4. Funding requested this claim:
   - TDA $0
   - STA (transit only) $ 96,377 ($89,226 + $7,151 unallocated fund balance)

5. Fiscal Year (FY) for which funds are claimed: FY 2020-2021

6. General purpose for which the claim is made, identified by the article and section of the Act which authorizes such claims:
   - Article 8 Bicycle and/or Pedestrian Facility
   - Article 4 Public Transportation
   - Article 8 Specialized Transportation
   - Article 3 & 8 TDA Admin or Planning

7. Contact Person/Project Manager
   - Name: Tara Ireland
   - Telephone Number: _831-427-5070
   - E-mail: rsypvol@scvolunteercenter.org
   - Secondary Contact (in event primary not available) Alicia Dayton
   - Telephone Number: 831-427-5070
   - E-mail: scruz@scvolunteercenter.org

8. Project/Program Description/Scope (use additional pages, if needed, to provide details such as work elements/tasks. See attached scope of work)

9. Project Location/Limits (attach a map and/or photos if available/applicable, include street names):
   - All of Santa Cruz County

10. Justification for the project. (Why is this project needed? Primary goal/purpose of the project; problem to be addressed; project benefits; importance to the community)
    In response to COVID 19, the Volunteer Center Transportation Team designed and developed the Grocery Shopper Program that provides grocery and medication delivery services to members of the Santa Cruz community most at-risk of contracting the COVID-19 virus. This program continues to serve the same specialized population serviced by the Volunteer Center's Transportation Program in FY 19-20. As part of this program, the Volunteer Center has recruited volunteers who have agreed to receive grocery and medication requests from individual clients. The volunteer will purchase the requested items from local grocery stores using money provided by the client and then will deliver those purchased grocery items and pharmacy medications to the client using social distancing guidelines. Our aim is to serve seniors age 60+ and older adults that are health compromised. Our first priority will be to serve those that do not have access to a computer to purchase groceries and those that do not currently have the support of family or friends to shop for them. We will provide these services at no cost to the participants by mobilizing community volunteers that use their own vehicles to grocery shop and pick up medications for seniors. The program offers volunteers additional insurance and a small mileage allowance. The Service covers all of Santa Cruz County including some of the remote areas in San Lorenzo Valley and South County.
Our services are available to elderly, health compromised and disabled persons who cannot use public transit because of shelter in place orders due to COVID 19.

Participants and volunteer grocery shopping drivers are actively recruited in several ways. The Volunteer Center community network, AmeriCorps and SeniorCorps volunteers, our website and local senior service providers.

Should the COVID 19 shelter in place order be lifted and it is safe for seniors to enter the community, we will resume our regular Transportation Program.

11. Project Productivity Goals for this fiscal year:
   a. Measures of performance, success or completion to be used to evaluate project/program (ex. increase use of facility/service, decrease collisions, etc.): The number of senior clients served will measure performance. Clients register with the program and individual records are kept on each client with their personal information, emergency contacts and rides and deliveries received. The number of groceries delivered is evaluated through reports compiled on each service provided that details client, date and time of ride and or groceries delivered, destination and volunteer providing ride/delivery. These records are entered into our transportation computer application.
   b. Number of people to be served/anticipated number of users of project/program (ex. number of new or maintained bike miles; number of people served/rides provided): Our goal is to serve 150 seniors with the new Grocery Shopper Program. Participants are limited to one deliver per week due to the availability and number of drivers/shoppers. Participants are asked to give an advance 2-3 days for shopping requests to be filled. Our priority for filling requests is as follows:

   1st Priority - Shopping trips for low-income persons
   2nd Priority - Medical/Medication pick up for low-income persons
   3rd Priority - Shopping trips for other persons
   4th Priority - Medical/Medication pick up for other persons
   5th Priority - “Other” eligible destinations (include banking, doctor prescribed therapy)

   These trips will be targeted for the below areas:
   Service Area
   Santa Cruz/Mid-County/Aptos/Capitola
   San Lorenzo/Scotts Valley
   Watsonville/ Freedom

   Our program will attempt to serve all of Santa Cruz County. We will have several Spanish Speaking volunteers and staff ready to assist individuals in Watsonville/South County.

12. Consistency and relationship with the Regional Transportation Plan (RTP) - Is program/project listed in the RTP and/or consistent with a specific RTP Goal/Policy?

The Volunteer Center of Santa Cruz County has been receiving TDA funds for over 35 years and are active members of the Elderly & Disabled Transportation Advisory Committee. The program is listed in the Specialized Transportation Guide and is included in the draft Coordinated Public Transit-Human Services Transportation Plan providing all services listed in the plan.

The Grocery Shopper Program is consistent with RTP Goal 3: To deliver access and safety improvements cost effectively, within available revenues, equitable and responsive to the needs of all users of the transportation system and beneficially for the natural environment.
13. Impact(s) of project on other modes of travel, if any (ex. parking to be removed): This project will have no impact on other modes of travel.

14. Estimated Project Cost/Budget, including other funding sources, and Schedule: (attach project budget). Specialized Transportation Claims require 10% local match. Local match can take the form of fares, donations, agency charges, grants, revenue sharing and other non-restricted sources. In kind services many NOT apply toward the local match.

What is the total project cost? $89,226 + $7,151 in unallocated funds=$96,377
Is project fully funded? Yes

What will TDA (and STA) funds be used on (ex. administration, brochures, engineering, construction)? Funds are used for Personnel Cost, Audit fees, Supplies, Telephone, Occupancy, Printing, Postage, Volunteer mileage, Background Checks, Administration, Computer Software and Recruitment/Marketing.

15. Preferred Method and Schedule for TDA fund distribution (see RTC Rules and Regulations for details):
a. Bike/Ped: □ Up to 90% upon initiation of work OR □ 100% upon project completion

b. CTSA: □ Quarterly disbursement, with up to 35% in first quarter, and the remaining quarterly payments being one-third of the remaining claim amount;
   OR □ Quarterly disbursement

c. Volunteer Center: X Full approved claim amount in the first quarter

d. SCMTD: □ Quarterly disbursement

16. TDA Eligibility:

<table>
<thead>
<tr>
<th>A. Has the project/program been approved by the claimant’s governing body? Form of approval work plans and budget (eg resolution, work program, budget, other document) If &quot;NO,&quot; provide the approximate date approval is anticipated.</th>
<th>YES?/NO?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Yes</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>B. Has this project previously received TDA funding?</th>
<th>YES?/NO?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Yes</td>
</tr>
</tbody>
</table>

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<thead>
<tr>
<th>C. For capital projects, has provisions been made by the claimant to maintain the project or facility, or has the claimant arranged for such maintenance by another agency? (If an agency other than the Claimant is to maintain the facility provide its name: ________________________________ )</th>
<th>YES?/NO?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>NA</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>D. Bike, Ped, and Specialized Transportation Claims: Has the project already been reviewed by the RTC Bicycle Committee and/or Elderly/Disabled Transportation Advisory Committee? (If &quot;NO,&quot; project will be reviewed prior to RTC approval).</th>
<th>YES?/NO?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Yes</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>E. For &quot;bikeways,&quot; does the project meet Caltrans minimum safety design criteria pursuant to Chapter 1000 of the California Highway Design Manual? (Available on the internet via: <a href="http://www.dot.ca.gov">http://www.dot.ca.gov</a>).</th>
<th>YES?/NO?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>NA</td>
</tr>
</tbody>
</table>
**SCMTD, CTSA, Bike to Work, CTSC Only – PLEASE KEEP ANSWERS BRIEF**

17. Improving Program Efficiency/Productivity  Describe any areas where special efforts have been made in the last fiscal year to reduce operating cost and/or increase ridership/program usage.

Last year we launched a custom computer application we call “Transportation Hub” that allows us to enter our ride requests and match them with drivers based on distance and availability. We have adapted this application to accommodate our Volunteer Senior Grocery Shopper Program (GSP) and will use it to match participants to volunteers who will shop and deliver groceries to them.

Goals for next fiscal year (ex. identify opportunities to maximize economies of scale, planned productivity improvements). Describe any areas where special efforts will be made to improve efficiency and increase program usage/ridership: We will continue to use our custom transportation application to scale our Senior Grocery Shopping Program that delivers goods to home bound seniors.

18. What is different from last year’s program/claim? We developed a Grocery Shopper Program in response to COVID 19.

19. Schedule of regular progress reports including an evaluation at the end of the year:

- [ ] SCMD – April each year
- [ ] Specialized Transportation: Quarterly to E/D TAC, RTC
- [X] CTSA: Bicycle Committee ____________ (Month, year); RTC _____________ (Month, year)
- [ ] B2W: Bicycle Committee ____________ (Month, year); RTC _____________ (Month, year)

**CTSA and Volunteer Center (Article 8) Only**

20. Are these transportation services responding to transportation needs not otherwise being met within the community or jurisdiction of the claimant? Describe.

The Volunteer Center's Transportation Program/GSP is a volunteer program providing free delivery and rides to people who, through age, physical limitations and shelter in place orders are unable to safely shop in the community. This is the only fully vetted volunteer program offering a free delivery service to seniors in Santa Cruz County.

Where appropriate, are these specialized transportation services coordinated with other transportation services? Describe. When possible, the Volunteer Center will refer those callers whose requests cannot be accommodated through our program to other transportation programs. We often refer to Lifeline and Metro ParaCruz.

Provide performance information, as pertinent, such as: verification of the operating cost per passenger, operating cost per vehicle service hour, passengers per vehicle service hour, passengers per vehicle service mile, and vehicle service hours per employee for last fiscal year (definitions available in Section 99247 of TDA Guidelines). (99246)
The program has no owned service vehicles or employee drivers. Volunteer drivers use private vehicles. It is estimated that each ride (from start to finish) is 17.9 miles, with approximately 4,600 rides provided in the last fiscal year. This is about 82,340 projected service miles per year. Each ride (from start to finish) is an average of 3.5 hours or a total of 16,100 service hours. Volunteers have the option of being paid mileage at a cost of $0.31/mile.

Discuss the needs and types of the passengers being served and the employment of part-time drivers and the contracting with common carriers of persons operating under a franchise or license to provide services during peak hours.

The Volunteer Center Transportation Program works in conjunction with the Santa Cruz County Regional Transportation Commission’s Elderly & Disabled Transportation Advisory Committee to help assure that transportation needs for the elderly and disabled persons are represented. We know from local needs assessments that low or free transportation for elderly, health compromised and disabled persons are in desperate need of grocery delivery to shelter in place mandates. Many of our clients have little or no family to assist them and are living on a fixed income. These factors demonstrate why our transportation program and new GSP is so vital to our community. In many cases, our volunteers go beyond just providing transportation to doctor appointments, grocery shopping and other necessary appointments. Starting in April 2020 volunteers will be delivering groceries and will also pick up medications. Volunteer drivers provide this personalized service free of change to individuals throughout Santa Cruz County.

**SCMTD, CTSC, Volunteer Center & RTC Only**

21. List the recommendations provided in the last TDA Triennial Performance Audit and your progress toward meeting them.

- Describe the work your agency has undertaken to implement each performance audit recommendation and the steps it will take to fully implement the recommendation.
- For any recommendations that have not been implemented, explain why the recommendation has not been implemented and describe the work your agency will undertake to implement each performance audit recommendation.

One recommendation in the last 2019 TDA Audit was that we come up with an alternate measure of service efficiency in lieu of a 10 percent local match. RTC staff and Volunteer Center staff came up with a 1,000 minimum number of rides per quarter. In addition, it was recommended that volunteer drivers track actual time spent on trips with participants. Volunteer Center will continue to encourage volunteers to track time in addition to mileage each month.

22. Farebox Recovery Ratio: (split out=urbanized service vs. non-urban service farebox ratios for prior year and year-to-date)

<table>
<thead>
<tr>
<th>Funds</th>
<th>Urbanized Service</th>
<th>Rural/Non-Urban Service</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fare Revenue:</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Local Support Revenues:</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Operation costs:</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Ratio Fare Rev ÷ Op Cost: (minimum required=15%)</td>
<td>_____%</td>
<td>_____%</td>
</tr>
</tbody>
</table>

Cost per ride being subsidized for different services/funds $ $

Note: Exemptions for calculating operating costs – spell out in your operating budget summary.

- Service extensions are exempt until two years after the end of the fiscal year during which they were established (PUC Sec. 99268.8). This exemption applies only if the new service was not provided nor was funded by
LTF/STA during any of the prior three fiscal years.
- The additional operating costs to a transit operator of providing comparable complementary paratransit services, pursuant to the Americans with Disabilities Act, that exceed operator’s prior year costs as adjusted by the CPI are excluded from operating cost.

23. Current fare & local support revenue to operating cost ratio versus FY1978-79 ratio (for services to the general public).
   - Current ratio \( \frac{\text{sum of fare revenues + local support}}{\text{operating cost}} \):
   - FY1978-79 Ratio: _______________

24. Did the SCMTD operating budget increase over 15% from the prior fiscal year?
   If the answer is yes, please provide a statement identifying and substantiating the reason or need for the increase in the transit operating budget in excess of 15% above the preceding year, and identify substantial increases or decreases in the scope of operations or capital provisions for major new service - (transit claimants only, if applicable).

25. Operating statistics (compare current fiscal year to date to last three full fiscal years; *TDA required performance indicators), submit items from the following list.
   - Annual passengers
     - Rides/passenger trips provided by type (student, senior, adult, pass holders, etc, or however stat’s kept) and amount of TDA $ used for each type of ride
   - Annual service hours
   - Passengers per vehicle service hour*
   - Annual service miles
   - # of fixed-route miles
   - Service Area – square miles
   - Service Area Population
   - Passengers per vehicle service mile*
   - Average passengers per weekday
   - Total operating costs in budget
   - Operating cost per vehicle service hour*
   - Total operating cost per passenger*
   - Average Farebox Revenue per passenger (describe what is included)
   - # of FTE employees (all employees, not just drivers)
   - Vehicle Service hours/Employee*
   - # of routes
   - Average route length
   - Average travel times/rider
   - # of bus stops
   - # of vehicles in operation
   - # of monthly bus passes in circulation
   - Max vehicles in service at any time:
   - Hours of service:
   - Approximate # of unduplicated passengers
   - Cost per unit of service plus text about long range plans to make/keep this low
   - Funds and percentage spent on administration/overhead/grantee allocation/etc
   - Actual financials compared with budget
• Actual number of rides provided compared with goal and text about whether goal was met and why/why not

**Documentation to Include with Your Claim:**

**All Claims**
- A letter of transmittal addressed to the SCCRTC Executive Director that attests to the accuracy of the claim and all its accompanying documentation.
- Statement from the TDA Eligible Claimant indicating its role and responsibilities.

**Article 8 Bicycle/Pedestrian Claims**
- Evidence of environmental review for capital projects

**All Transit and Specialized Transportation Claims (SCMTD, CTSA, and Volunteer Center)**
- A copy of the operating and capital budgets for the coming fiscal year
- Description of capital projects, including time frame over which project will be funded and implemented
- Operating Plan for current and upcoming activities – can be within project description

**Article 4 Transit Claims**
- A certification from the California Highway Patrol (completed within the last 13 months) indicating that the operator is in compliance with Section 1808.1 of the Vehicle Code.
- Other Certifications

**Local Agency Certification:**

This TDA Claim has been prepared in accordance with the SCCRTC’s Budget, SCCRTC’s Rules and Regulations, and Caltrans TDA Guidebook (http://www.dot.ca.gov/hq/MassTrans/State-TDA.html). I certify that the information provided in this form is accurate and correct. I understand that if the required information has not been provided this form may be returned and the funding allocation may be delayed.

Signature _____________________________ Title:__________________________________Date: 3/30/2020

Tara Ireland
Senior Programs Director
3/30/2020

Document1
### TDA Standard Assurances Checklist

**Claimant:** The Volunteer Center of Santa Cruz County  
**Fiscal Year:** 20-21

<table>
<thead>
<tr>
<th>Assurance</th>
<th>Initial</th>
</tr>
</thead>
</table>
| 1. **CERTIFIED FISCAL AUDIT (All Claimants)**  
Claimant certifies that it has submitted a satisfactory, independent fiscal audit, with the required certification statement, to (RTPA name) and to the State Controller’s Office, pursuant to PUC 99245 and CCR 6664 for the prior fiscal year (project year minus two). Claimant assures that this audit requirement will be completed for the current fiscal year (project year minus one). This requirement does not apply to new operators. | TEI |
| 2. **STATE CONTROLLER REPORT (All Claimants)**  
Claimant certifies that it has submitted a State Controller’s report in conformance with the uniform system of accounts and reports, to (RTPA name) and to the State Controller, pursuant to PUC 99243, for the prior year (project year minus two). Claimant assures that this report will be completed for the current fiscal year (project year minus one). This requirement does not apply to new operators. | TEI |
| 3. **PART-TIME EMPLOYEES (STAFF ONLY) (STA Claimants Only)**  
Claimant certifies that it is not precluded, by any contract, from employing part-time drivers or contracting with common carriers of persons operating under a franchise or license. | |
| 4. **REVENUE RATIOS FOR COMMUNITY TRANSIT AND CONTRACTED TRANSIT SERVICES (CTSA & Volunteer Center Only)**  
Claimant filing a claim pursuant to PUC 99275.5c and 99405c further certifies that, for the project year, it reasonably anticipates achieving the performance criteria, local match requirements, or fare recovery ratios adopted by the transportation planning agency or county transportation commission. | TEI |
| 5. **REVENUE RATIOS FOR OPERATORS SERVING URBANIZED AND NONURBANIZED AREAS (METRO Only)**  
Claimant filing a claim pursuant to PUC 99270.1 certifies that it will maintain for the project year at least the alternative farebox recovery ratio as determined by the adopted (RTPA name) “fare ratio optional rule.” | |
| 6. **EXTENSION OF SERVICES (METRO Only)**  
Claimant that received an allocation of LTF funds for an extension of service pursuant to PUC 99268.3 certifies that it will file a report of these services pursuant to CCR 6633.8b within 90 days after the close of the fiscal year in which that allocation was granted. | |
| 7. **RETIREMENT SYSTEM (METRO Only)**  
Claimant filing a claim pursuant to PUC Section 99260 certifies that (check one):  
   a) The current cost of its retirement system is fully funded with respect to the officers and employees of its public transportation system (PUC Section 99271a); or  
   b) The operator is implementing a plan approved by the transportation planning agency which will fully fund the retirement system for such officers and employees within 40 years (PUC Section 99271a); or  
   c) The operator has a private pension plan which sets aside and invests on a current basis funds sufficient to provide for the payment of future pension benefits and which is fully compliant with the requirements stated in PUC Sections 99272 and 99273. | |
| 8. **USE OF FEDERAL FUNDS (Claimants Receiving Federal Funds)**  
Claimant filing a claim for TDA funds for capital intensive projects pursuant to PUC 99268.7 certifies that it has made every effort to obtain federal funding for any project which is funded pursuant to PUC 99268.7. | TEI |
| 9. **REDUCED FARES FOR ELDERLY AND HANDICAPPED (METRO Only)**  
A claimant filing a claim pursuant to PUC 99260 which offers reduced fares to senior citizens and disabled persons certifies that it is in compliance with PUC 99155. | |

---

23-72
10. **DRIVERS FULL NOTICE PARTICIPATION (METRO & Community Bridges Only)**
   A claimant filing a claim for public transit assistance must include a certification completed within the prior 13 months by the California Highway Patrol indicating the operator has participated in a "pull notice system" to examine driver's records.

11. **INCREASE IN OPERATOR'S COST PER HOUR (STA Claimants Only)**
    Claimant filing a claim for operating assistance from STAF funds must include a supplemental schedule which identifies either: A - 1) the most recent audited cost per revenue vehicle hour (year 1) and the cost per revenue hour for the year prior to the most recent audit year (year 2) and 2) the Consumer Price Index for the year prior to the most recent audit year (year 2); or B - 1) the most recent audited cost per revenue vehicle hour (year 1) and the cost per revenue hour for the three years prior to the most recent audit year and 2) the Consumer Price Index for the three years prior to the most recent audit year. The supplemental schedule information will be used to determine eligibility pursuant to PUC 99314.6.

12. **STAFFING ON VEHICLES (METRO & Community Bridges Only)**
    Claimant certifies that it is in compliance with PUC Section 99264 that it does not routinely staff, with two or more persons, a vehicle for public transportation purposes designed to be operated by one person.

---

Tara Ireland  
(legal name of applicant/claimant)

[Signature]

Karen Delaney  
(name and title)
Exhibit B

PROGRAM NAME: Volunteer Center/ Transportation
FISCAL YEAR: 2020-2021  2019-2020

REVENUES

<table>
<thead>
<tr>
<th>Budget Unit Name</th>
<th>Budget Unit Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>4000 PUBLIC SUPPORT</td>
<td></td>
</tr>
<tr>
<td>4008 Unallocated Funds</td>
<td>7,151</td>
</tr>
<tr>
<td>4295 Transportation Commission</td>
<td>89,226</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTAL CURRENT YEAR REVENUES</td>
<td>96,377  89,193</td>
</tr>
</tbody>
</table>

| 5001 Hourly Wages        | 63,503  60,636 |

| SUBTOTAL BENEFITS & TAXES | 63,503  60,636 |

| 6012 Auditing Expense    | 500     |
| 6018 Copies              | 300     |
| 6032 Equipment           | 1,600   |
| 6151 Background Checks   | 550     |
| 6039 Facility Maintenance| 200     |
| 6040 Insurance, General  | 600     |
| 6042 Insurance, Volunteer| 1,900   |
| 6050 Postage             | 500     |
| 6009 Recruitment/Marketing| 2,500   |
| 6061 Rent, Watsonville   | 2,000   |
| 6078 Office Supplies     | 500     |
| 6081 Computer Software & Fees | 600    |
| 6098 Mileage, Volunteers | 3,500   |
| 6100 Telecommunication    | 3,157   |
| 6125 Utilities           | 575     |
| 6150 Volunteer Recognition| 400    |
| 6160 Admin Fees          | 13,492  |

TOTAL CURRENT EXPENSES  96,377  89,193
A. TARGET POPULATION

Our target population is seniors age 60+ and older adults that are health compromised.

B. SERVICE GOALS

Our goal is to provide 4,000 one-way trips to eligible clients. Clients will be limited to a maximum of two rides per week. Our priority for filling requests is as follows:

1st Priority  Shopping trips for low-income persons
2nd Priority  Shopping for other persons
3rd Priority  Medical trips for other persons
4th Priority  Medical for other persons
5th Priority  Other eligible destinations

These trips will be targeted for geographic distribution as follows:

<table>
<thead>
<tr>
<th>Area</th>
<th>% of Rides</th>
<th>#Clients</th>
</tr>
</thead>
<tbody>
<tr>
<td>Santa Cruz/Mid-County/Aptos/Capitola</td>
<td>60%</td>
<td>100</td>
</tr>
<tr>
<td>San Lorenzo/Scotts Valley</td>
<td>15%</td>
<td>15</td>
</tr>
<tr>
<td>Watsonville/ Freedom</td>
<td>25%</td>
<td>20</td>
</tr>
</tbody>
</table>

These figures are based on population data derived from the latest census and available transit services for each area of operations. In considering geographic distribution of services, our goal is to provide extra support in those areas which are outside the boundaries of Liftline services, or which receive limited Liftline service and have limited public transit services.

C. PROGRAM ACTIVITIES

1. The Volunteer Center will maintain volunteers Monday- Friday 10:00 a.m. to 2:00 p.m.

2. When possible, the Volunteer Center will refer those callers whose requests cannot be accommodated through our program to other programs.

3. The Volunteer Center will continue its intensive campaign to recruit new drivers and GSP volunteers.
4. Volunteer Center staff will attend all meetings of the Elderly and Disabled Transportation Advisory Committee of the Santa Cruz County Regional Transportation Commission.

D. QUARTERLY REPORTS

Volunteer Center of Santa Cruz Transportation Program TDA Funding Quarterly Reports and Final Activities Report are due to the Transportation Commission and the City of Santa Cruz according to this schedule:

Prior Year Annual Report: September 6, 2020
Quarterly Activities Report 1: October 25, 2020
Quarterly Activities Report 2: February 8, 2021
Quarterly Activities Report 3: April 26, 2021
Quarterly Activities Report 4: July 26, 2021

The reports will contain the following information for each center and total:

1. Number of rides/deliveries provided
2. Trip destinations
3. Mileage claimed
4. Estimated total mileage
5. Average length of trip
6. Number of unduplicated passengers
7. Number of requests for service
8. Number of turndowns
9. Reason for turndowns
10. Number of active volunteers
11. Geographic distribution of clients

E. INSURANCE

Comprehensive auto and general liability insurance over and above that held by the driver will be maintained by the Volunteer Center in the amount of $1,000,000 per occurrence.

F. CLAIMS

One claim will be submitted for advance payment for the year. We are requesting early allocation due to new costs associated with design, development and implementation of the new Grocery Shopper Program.

Annual Advance - May, 2020 $96,377
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RESOLUTION NO.

Adopted by the Santa Cruz County Regional Transportation Commission
on the date of May 7, 2020
on the motion of Commissioner
duly seconded by Commissioner

A RESOLUTION APPROVING TRANSPORTATION DEVELOPMENT ACT (TDA)
ARTICLE 8 FUNDING FOR THE COMMUNITY TRAFFIC SAFETY COALITION
AND THE RIDE ‘N STRIDE BICYCLE AND PEDESTRIAN SCHOOL EDUCATION PROGRAM

WHEREAS, the County of Santa Cruz Health Services Agency’s (HSA) Community
Traffic Safety Coalition (CTSC) and the Ride ‘n Stride Bicycle and Pedestrian School
Education programs provide bicycle and pedestrian safety education and outreach;

WHEREAS, in FY 1998/99 the RTC committed to providing on-going funding for the
CTSC program and in FY 2017/18 the RTC committed to providing on-going funding
increase for the Ride ‘n Stride and CTSC programs for a total amount of $130,000 through
the yearly budget process;

WHEREAS, the RTC allocated $130,000 in its FY 2020/21 budget for the
Community Traffic Safety Coalition and the Ride ‘n Stride Bicycle and Pedestrian School
Education Program as requested; and

WHEREAS, the Bicycle Advisory Committee and Elderly & Disabled Transportation
Advisory Committee reviewed the requests and proposed scopes of work at their April
2020 meetings and recommended approval;

THEREFORE, BE IT RESOLVED BY THE SANTA CRUZ COUNTY REGIONAL
TRANSPORTATION COMMISSION:

1. The Regional Transportation Commission hereby approves $65,000 in FY 2020/21
   Transportation Development Act Article 8 funds for the Community Traffic Safety
   Coalition, and

2. The Regional Transportation Commission hereby approves $65,000 in FY 2020/21
   Transportation Development Act Article 8 funds for the Ride ‘n Stride Bicycle and
   Pedestrian School Education Program.

3. The Executive Director is authorized to modify the payment amounts should the RTC
   amend the FY 2020-21 Transportation Development Act apportionments in the RTC’s
   FY 2020-21 budget.

AYES: COMMISSIONERS

NOES: COMMISSIONERS

ABSTAIN: COMMISSIONERS
ATTEST:

Guy Preston, Secretary

Exhibit 1: Santa Cruz County HAS Claims and Supporting Materials

Distribution: RTC Fiscal
             RTC Planner
             Health Services Agency
April 2, 2020

Guy Preston
Executive Director
Santa Cruz County Regional Transportation Commission
1523 Pacific Avenue
Santa Cruz, CA 95060-3911

Regarding: FY 2020-2021 TDA Request for the Community Traffic Safety Coalition (CTSC) and Ride n’ Stride programs

Dear Mr. Preston:

The Santa Cruz County Health Services Agency (HSA) provides Safe & Active Transportation programming through its CTSC and Ride n’ Stride programs. CTSC’s mission is to prevent traffic-related injuries and fatalities for all road users, with a focus on people bicycling and walking. The CTSC and its South County Bicycle and Pedestrian Work Group have developed a new two-year work plan for fiscal years 2020-2022 supporting strategies to bring Vision Zero to each jurisdiction in the county and aiming to eliminate all traffic related fatalities and serious injuries.

The Ride n’ Stride program provides bicycle and pedestrian safety education to over 2,000 elementary school students a year. In addition, Ride ’n Stride staff collaborate with Ecology Action’s Walk Smart program to deliver critical pedestrian safety education in the schools. CTSC and Ride n’ Stride program staff also work with school districts and agency partners to conduct outreach efforts and provide safety education and equipment, such as bicycle helmets, to low-income residents.

HSA is requesting $65,000 to support staffing and project implementation for CTSC and the Vision Zero Work Plan and $65,000 to support the Ride n’ Stride school education program. HSA will provide $179,500 in match through other grant funding, HSA program management, fiscal and administrative support, and community in-kind contributions, for a total CTSC/Ride n’ Stride budget of $309,500 for FY 2020/21.

Enclosed you will find the Transportation Development Act (TDA) Local Transportation Funds Claim forms, work plans and budgets for each program. I attest to the accuracy of this claim and all its accompanying documentation. Every effort has been made to ensure that the CTSC and Ride n’ Stride work plans reflect the needs and concerns of the community. Thank you for your consideration and continued support of our vision for safe, accessible and equitable transportation for all.

Sincerely,

Corinne Hyland, MPH
Health Services Manager
Community Health Education
County of Santa Cruz Health Services Agency
(831) 454-7558
corinne.hyaland@santacruzcounty.us
Transportation Development Act (TDA) – Local Transportation Funds
CLAIM FORM
for Bike/Pedestrian Projects
Submit a separate form for each project.

If you have any questions about this claim form or would like an electronic copy of the form, please contact the Santa Cruz County Regional Transportation Commission at 460-3200.

Project Information

1. Project Title: Community Traffic Safety Coalition (CTSC)

2. Implementing Agency: County of Santa Cruz Health Services Agency

3. Sponsoring Agency (if different) – must be a TDA Eligible Claimant: Santa Cruz County Regional Transportation Commission

4. TDA funding requested this claim: $ 65,000

5. Fiscal Year (FY) for which funds are claimed: FY 2020-2021

6. General purpose for which the claim is made, identified by the article and section of the Act which authorizes such claims (ex. Article 8 Bicycle project): Article 8 Bike/Pedestrian Project

7. Contact Person/Project Manager: Theresia Rogerson
   Telephone Number: (831) 454-4312 E-mail: theresia.rogerson@santacruzcounty.us

   Secondary Contact (in event primary not available): Corinne Hyland
   Telephone Number: (831) 454-7558  E-mail: corinne.hyland@santacruzcounty.us

8. Project/Program Description/Scope (use additional pages, if needed, to provide details such as work elements/tasks): See attachment - CTSC Vision Zero Work Plan for FY 2020-22

9. Number of people to be served/anticipated number of users of project/program: The target audience for policy adoption in this work plan is community stakeholders and decision makers in each jurisdiction while also engaging a broad spectrum of community members throughout the county in identifying issues and developing solutions.

10. Project Location/Limits (attach a map and/or photos if available/applicable, include street names): The Vision Zero work plan has a countywide focus engaging all jurisdictions. As needs and opportunities arise in the work plan period, specific jurisdictions or populations may be targeted for traffic safety activities.

11. Justification for the project. (Why is this project needed? Primary goal/purpose of the project; problem to be addressed; project benefits; importance to the community): The mission of CTSC is to prevent traffic-related injuries and fatalities for all road users, with a focus on people biking and walking. CTSC and the South County Bike and Pedestrian Work Group provide a forum for various agencies and individuals to share information, address community issues, collaborate on solutions, and act as a resource for its members and the community.

   The Vision Zero work plan also focuses on the collection and dissemination of traffic safety data. With a rise in traffic related injuries and fatalities both locally and nationwide, CTSC is strengthening its data collection, analysis and reporting activities and bringing a wider audience into the discussion.
of traffic safety to find data-driven solutions. As individuals and communities find active transportation benefits in their lives, the CTSC envisions a safe, accessible and equitable system for everyone to use.

12. Consistency and relationship with the Regional Transportation Plan (RTP) – please reference Project or Policy number: Programmed into the RTP under project #CO50

13. Measures of performance, success or completion to be used to evaluate project/program: See attached work plan.

14. Impact(s) of project on other modes of travel, if any (ex. parking to be removed): CTSC works to promote safe and active transportation by conducting community-based activities such as participating in Bike/Walk to School/Work Days and Open Streets events, distributing bike helmets to low-income youth and adults, and utilizing both traditional and social media messaging to reach all age groups. A goal of the new two-year Vision Zero work plan is to develop policies and systems that put safety first.

15. Project Cost/Budget, including other funding sources, and Schedule: (complete “15a” or “15b”) N/A

15a. Capital Projects

<table>
<thead>
<tr>
<th></th>
<th>Planning</th>
<th>Environmental</th>
<th>Design/ Engineering</th>
<th>ROW</th>
<th>Construction</th>
<th>Other *</th>
<th>Contingency</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>SCHEDULE (Month/Yr)</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
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<tr>
<td>Total Cost/Phase</td>
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</table>

*Please describe what is included in “Other”:

15b. Non-Capital Projects – Cost/Schedule: List any tasks and amount per task for which TDA will be used. Can be substituted with alternate budget format. See attached Community Traffic Safety Coalition Budget for FY 2020-2021.

16. Preferred Method and Schedule for TDA fund distribution, consistent with the RTC Rules and Regulations (a. 90% prior to completion/10% upon completion; or b. 100% after completion): 100% after completion, county transfer fund (journal)

17. Proposed schedule of regular progress reports including an evaluation of prior year’s activities: Biannual progress report to be submitted by January 31, 2021 and final report to be submitted by July 31, 2021.

18. TDA Eligibility:

<table>
<thead>
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<th></th>
<th>YES/?/NO?</th>
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<tr>
<td>A. Has the project/program been approved by the claimant's governing body? Attach resolution to claim. (If &quot;NO,&quot; provide the approximate date approval is anticipated.)</td>
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<td>C. For capital projects, have provisions been made by the claimant to maintain the project or facility, or has the claimant arranged for such maintenance by another agency for the next 20 years? (If an agency other than the Claimant is to maintain the facility provide its name:</td>
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<td>D. Has the project already been reviewed by the RTC Bicycle Committee and/or Elderly/Disabled Transportation Advisory Committee? (If &quot;NO,&quot; project will be reviewed prior to RTC approval).</td>
<td>Bicycle Committee to</td>
</tr>
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</table>

N/A

Documentation to Include with Your Claim:

All Claims
- A letter of transmittal to SCCRTC addressed to the Executive Director that attests to the accuracy of the claim and all its accompanying documentation.
- Resolution from TDA eligible claimants indicating their roles and responsibilities; and, if applicable, commitment to maintain facilities as indicated in the submitted plans for a period of 20 years.

Bike to Work, Community Traffic Safety Coalition/Ride ‘n Stride – PLEASE KEEP ANSWERS BRIEF

19. Improving Program Efficiency

- Describe any areas where special efforts have been made in the last fiscal year to reduce operating cost and/or increase ridership/program usage. Note any important trends.

- Goals for next fiscal year (ex. identify opportunities to maximize economies of scale). Describe any areas where special efforts will be made to improve efficiency and increase program usage/ridership:

The primary goal of the CTSC is to bring together local groups and individuals to support traffic safety in our communities. CTSC activities are supported with a combination of funding, partnerships and volunteer contributions. In 2019, CTSC worked on two planning projects that assessed barriers to walking and biking at over 30 elementary schools. These projects leveraged grant funding to enhance and expand the reach of the Coalition and their work plan. HSA will continue to secure matching funds through grants and other funding sources to maintain an adequate level of staffing for these programs to ensure continuing success and benefits to the community.

20. What is different from last year’s program/claim?

With two new Vision Zero cities in Watsonville and Santa Cruz, the CTSC will continue to provide leadership for needs assessment, data collection & analysis, action plan development, task force creation, and project implementation with city staff and leadership. Our aim will also be to promote Vision Zero policy in remaining jurisdictions. TDA funded resources will focus on these goals as well as educating the community about Vision Zero concepts and convening stakeholders around strategies and systems changes.
CTSC Work Plan: Vision Zero
Fiscal Years 2020-2022

CTSC Vision and Mission

The mission of the Community Traffic Safety Coalition (CTSC) of the Santa Cruz County Health Services Agency, and its South County Bicycle and Pedestrian Work Group (SCBPWG), is to prevent traffic-related injuries and fatalities for all road users, with a focus on people bicycling and walking. The CTSC and SCBPWG envision safe, accessible, and equitable transportation for all.

Vision Zero Needs Statement

Vision Zero is a world-wide traffic safety program that aims to eliminate all traffic fatalities and severe injuries while increasing safe, healthy, and equitable mobility for all. The mission, goals, and activities of the CTSC align with this aim. The CTSC recently completed their second two-year Vision Zero work plan in the 2018–2020 fiscal years and proposes to continue Vision Zero work into 2022.

In 2017, the state Office of Traffic Safety (OTS) ranked the County of Santa Cruz as the 4th worst for bicyclists killed and injured and 1st for bicyclists under 15 years of age compared to 58 California counties. The City of Santa Cruz was ranked 1st for the number of bicyclist injuries/fatalities and 2nd for pedestrians compared to 106 similar sized cities. The City of Watsonville was ranked 3rd for pedestrian injuries/fatalities for those under 15 years of age.

The number of bicyclists and pedestrians injured and killed in the 3-year period from 2015 to 2017 has increased compared to the previous three years in Santa Cruz County. Numbers for bicyclists and pedestrians injured under 15 years of age has increased each year from 2015 to 2017. According to more recent local police records, 4 people were killed in traffic collisions in Watsonville in 2016, 3 in 2017, and 5 in 2018, almost all pedestrians.

The serious bike and pedestrian safety problem in our county led us to Vision Zero. From our data analysis and community engagement as part of launching Vision Zero, we know that traffic violence has taken a disproportionate toll on Santa Cruz County bicyclists and pedestrians. With vulnerable road users increasingly becoming the collateral in our transportation system, our two most populous cities, Watsonville and Santa Cruz, recently passed Vision Zero policies to eliminate traffic related fatalities and severe injuries by 2030.

Vision Zero Core Principles

The principles below are adapted from the Vision Zero Network, a national organization helping communities reach their goal of achieving zero traffic fatalities and severe injuries. These principles align with a safe systems approach, considered to be best practice in road safety.
1. Human life and health are prioritized above speed and convenience within all aspects of the transportation system.
2. People have the right to move about their communities safely.
3. Traffic deaths and severe injuries are preventable.
4. Speed is the fundamental factor in crash severity.
5. Safety work should focus on systems-level changes, particularly the built environment, policies, and technologies.
6. Responsibility for safety is shared by transportation system designers and road users.

Vision Zero Work Plan for Fiscal Year’s 2020-2022

Primary Objectives:

1. Continue to assist the City of Watsonville in Vision Zero policy implementation.
2. Assist the City of Santa Cruz in developing a Vision Zero Action Plan.
3. Promote Vision Zero adoption and implementation in all other jurisdictions.
4. Develop and maintain countywide Vision Zero collaboration and support.

Proposed activities are listed below under each objective and organized by jurisdiction. A framework originally developed by the Safe Routes to School movement and adapted here to better align with a safe systems approach, the E’s (Education, Engineering, Enforcement, Encouragement, and Evaluation, and now including Equity and Engagement) will be utilized in this plan and are highlighted under the Countywide section below. Jurisdictions could become eligible for certain project funding, such as Highway Safety Improvement Project (HSIP) funds, once a Vision Zero policy is adopted.

1) City of Watsonville


- Assist in creating a Vision Zero Task Force (the South County Bicycle and Pedestrian Work Group will transition into this task force in Watsonville).
- Advocate for continued community engagement and equity prioritization.
- Provide technical assistance in tracking and measuring progress, as well as evaluating programs.
- Encourage accountability and transparency throughout plan implementation.
- Help in identifying funding sources for implementation and sustainability of projects.

2) City of Santa Cruz

Assist in community engagement, data collection, and developing a Santa Cruz Vision Zero Task Force and Action Plan.
• Collaborate on collecting qualitative data from participants at community outreach events, especially in marginalized communities.
• Share Vision Zero Network resources as appropriate with City Staff.
• Provide a public health perspective into strategies and policy objectives.


• Support implementation of Vision Zero Action Plan once adopted as noted above for City of Watsonville.

3) County of Santa Cruz, Capitola, Scotts Valley, UCSC

Advocate for Vision Zero policy adoption and implementation in all jurisdictions.

• Invite communication between local elected officials and those from other Vision Zero communities.
• Convene city/county staff to discuss Vision Zero policy adoption and implementation.
• Create traffic violence data summaries for jurisdictions considering Vision Zero.
• Support implementation of Vision Zero Action Plans once adopted as noted above for City of Watsonville.

4) Countywide

Develop and maintain countywide Vision Zero collaboration and implementation through the following E’s and proposed activities:

All efforts will incorporate Equity – Prioritizing safety and access for communities who are most impacted by traffic violence.

Education – Equipping people with knowledge, skills, and confidence to use the roads safely and respectfully.

• Participate in the regional Street Smarts campaign.
• Post Vision Zero information on social media and the CTSC website.
• Increase safety education in local bike share programs.
• Provide education about micro-mobility devices.
• Develop violation-specific education through diversion programs for drivers.
• Pursue implementing a crossing guard training for school districts.

Engineering – Designing and building a transportation system that creates safe, convenient, and comfortable places to drive, bike and walk.

• Advocate for engineering to reduce speeds, such as narrowing travel lanes.
• Develop opportunities to implement pop-up infrastructure demonstrations.
• Promote protected or separated bicycle and pedestrian facilities.
• Conduct a countywide SWITRS data analysis focused on arterials for each jurisdiction.

**Enforcement** – Ensuring that all road users understand and follow traffic laws and regulations.

- Advocate for state modernization of speed-setting practices.
- Work with law enforcement agencies to share local crash data and report on traffic citations.
- Partner with the Police Departments to apply for grant funding to increase staff hours.
- Present evidence-based information to law enforcement agencies on the use of red-light cameras and automated speed enforcement.
- Collaborate with County Substance Use Disorders Services (SUDS) on DUI/impaired driving prevention.
- Assist jurisdictions in developing a plan to respond to fatal and severe injury crashes.

**Encouragement** – Promoting a culture that recognizes drivers, cyclists, and pedestrians as road users who all share the responsibility for safety.

- Promote press articles, columns, letters to the editor, alerts, etc. through TV, radio, and print media.
- Communicate with reporters/anchors/editors about using Vision Zero language.
- Attend and share knowledge from Vision Zero trainings and webinars.
- Develop and disseminate success stories from local jurisdictions and other cities.

**Evaluation** – Using data to measure progress and plan for success.

- Maintain a database of crashes reported by the media and community.
- Obtain a crowdsourcing platform to collect qualitative community data.
- Enhance data collection, tracking, and reporting in all jurisdictions.
- Collaborate with agencies and jurisdictions receiving traffic safety funding.
- Monitor successful strategies implemented by jurisdictions outside Santa Cruz County.
- Identify interjurisdictional areas of collaboration, shared interest, and cross jurisdictional projects.

**Engagement** – Intentionally involving individuals and communities to build relationships, develop meaningful solutions to their needs, and influence policy making.

- Track grant objectives that support Vision Zero and report progress.
- Participate in World Day of Remembrance or another annual memorial event.
- Develop resources to support families who have lost and lose loved ones in traffic violence.
- Post online acknowledgement and response to lives lost and severe injuries.
- Present Vision Zero information to stakeholder and community groups.
- Mobilize youth through development of a Youth Vision Zero program.
CTSC/SCBPWG Roles and Responsibilities

The coalition staff is employed by the County of Santa Cruz Health Services Agency (HSA) and is responsible for assisting the coalition in managing its operations, including coalition meetings, member communication, and community engagement, as well as work plan development, implementation and evaluation.

The coalition members and partner agencies actively participate in meetings and play an advisory role in fiscal management and strategic planning. Members and partner agencies take on specific work plan tasks as appropriate.

Two coalition leaders (Co-Chairs) are elected by coalition members for two-year terms, and are also responsible for facilitating coalition meetings, providing expertise and guidance to coalition staff, and signing coalition letters.

CTSC/SCBPWG will provide support, technical assistance, and resources to jurisdictions and the community to implement Vision Zero, as well as develop and maintain collaborative relationships for other grant funded traffic safety programs that support Vision Zero. The Coalition and staff are committed to providing traffic safety programming that the community has relied on for many years, such as the Ride n’ Stride education program, the Bicycle Traffic School diversion program, Bicycle Helmet Fit and Distribution Sites, participation in Bike/Walk to School and other community outreach events, Pace Car and Trash Can Sticker traffic calming programs, maintenance of the CTSC website at www.sctrafficsafety.org and Facebook page, and traffic injury surveillance.
## Community Traffic Safety Coalition  
**TDA/CTSC Budget, FY 2020/21**

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Vision Zero Work Plan Activities Progress (FY 19-20)

Watsonville - Phase I Work Continued
Assist City in community engagement and data collection.
- In August 2019, CTSC staff participated in a Family Fun Festival hosted by Ecology Action. At this event, CTSC staff distributed flyers that encouraged Watsonville community members to leave online comments on the draft Vision Zero Action Plan.
- CTSC and City Public Works staff met in August 2019 with Numetric (www.numetric.com), a company that provides traffic data analytics solutions, to learn about how their services might support Vision Zero in Watsonville.
- CTSC staff participated in a conversation with Jovenos SANOS high school youth to discuss traffic safety concerns and Vision Zero in December 2019.
- CTSC’s South County Bicycle and Pedestrian Work Group (SCBPWG) continues to meet bimonthly to provide input on continued community engagement and data collection in Watsonville’s Vision Zero effort.

Assist in writing a Watsonville Vision Zero Action Plan
- The CTSC staff worked with City Public Works staff to ensure accountability and transparency throughout the action plan development process by way of multiple draft edits, reviews, and opportunities for public comment. In addition, every action plan draft was posted online for public comment and sent electronically to all SCBPWG members through a MailChimp email distribution list through December 2019.
- The final Watsonville Vision Zero Action Plan is scheduled to go to City Council for approval on February 25, 2020.

Watsonville – Phase II Work Continued
Support implementation of Vision Zero Action Plan
- Prior to final adoption of the action plan, CTSC staff have supported City of Watsonville in beginning to implement the Street Smarts traffic safety media campaign and continuing bicycle and pedestrian education programming in the schools.
Countywide Work Continued

Promote Vision Zero policy adoption in each jurisdiction.

- At their August 27, 2019 meeting, the Santa Cruz City Council unanimously adopted a Vision Zero policy with plans to begin work in January 2020.
- CTSC staff are working with Transportation & Public Works Commissioners and City staff to begin supporting their efforts in rolling out Vision Zero in the City of Santa Cruz Council.

Organize a community education campaign.

- CTSC staff provide a public health presence at the countywide Street Smarts Regional Campaign collaborative formed to support consistent traffic safety media messaging throughout the county. CTSC staff support local jurisdictions in incorporating the media campaign into Vision Zero efforts.
- On August 24, 2019 CTSC staff joined the City of Santa Cruz Mayor and Street Smarts program on a community bike ride. This ride focused on safety and promoted bicyclists awareness of the Street Smarts campaign.
- CTSC staff tabled with the Street Smarts program on October 21, 2019 at an Open House event hosted by the City of Santa Cruz Public Works Department. Street Smarts and CTSC staff distributed surveys to community members to gauge their awareness of the campaign.

Document and respond to traffic-related fatalities and injuries.

- CTSC staff continue to track traffic-related fatalities and severe injuries and discuss these incidents as part of each CTSC/SCBPWG meeting agenda.
- Local law enforcement agencies are invited regularly to report traffic-related fatalities and injuries to the two groups.

Develop potential countywide Vision Zero goals and strategies.

- CTSC staff and will be utilized to develop potential countywide Vision Zero goals and strategies.

Assist jurisdictions as they adopt and implement Vision Zero policies.

- CTSC will continue to approach the remaining jurisdictions to encourage adoption and implementation of Vision Zero.
- In continuing to seek grant funding to support Vision Zero efforts, the Santa Cruz County Health Services Agency recently received three grant awards from the California Office of Traffic Safety to implement a year of programming for traffic safety totaling almost $400K. The grant will be used for bicycle and pedestrian safety, impaired driving, and child passenger safety. (See link to Sentinel coverage below).
CTSC Media Coverage

Santa Cruz Sentinel – July 11, 2019
Vision Zero: Watsonville releases draft of plan to end serious traffic injuries, deaths
City has ranked among state’s most dangerous for pedestrians

KSBW News – August 20, 2019
Santa Cruz schools, law enforcement prepare for back to school safety

Santa Cruz Sentinel – August 21, 2019
Street Smarts: Traffic safety campaign rolls out across Santa Cruz County

KSBW News – September 19, 2019
SCPD go undercover, crackdown on drivers and pedestrians for traffic violations

Good Times- November 19, 2019
NUZ: Wheel See

Santa Cruz Sentinel – November 24, 2019
County receives grants for traffic safety programs.
https://www.santacruzsentinel.com/2019/11/24/county-receives-grants-for-traffic-safety-programs/?fbclid=IwAR0GbCHCoC-i4-ad4SYQEOQhPASbVJA4pg85ER6yF2Jt03DSv5dKtJU01hks

Ongoing CTSC Programs

South County Bicycle and Pedestrian Work Group (SCBPWG) - This work group serves as a subcommittee of the CTSC and implements activities that address the unique strengths and needs of the Watsonville area. Activities implemented by the SCBPWG or specific to South County are reported in the work plan project areas listed above.

Bicycle Traffic School (BTS) – BTS two-hour classes are offered quarterly and are taught by CTSC staff who is a League Cycling Instructor (LCI), which is a certification from the League of American Bicyclists (LAB). CTSC staff continues to promote this diversion program to local law enforcement agencies and provide resources to them on citing cyclists based on laws and safety. In addition, media outreach is conducted regularly to promote BTS classes to the public through the CTSC website and Facebook page.
CTSC Website, Facebook Page and YouTube Channel – CTSC maintains an active social media presence through its website, Facebook page, and YouTube channel. The Facebook page at www.facebook.com/sctrafficsafety is used to share timely traffic safety related news and events, promote safe traffic behaviors, and air targeted PSAs. The YouTube channel at www.youtube.com/sctrafficsafety includes video playlists for bike safety, distracted driving, and cycling resources in Santa Cruz County.

Traffic Calming Programs:

Trash Can Stickers – In an effort to slow traffic on residential streets, CTSC developed a sticker that says ‘Please Drive Slowly’ to be placed on curbside waste collection bins. This traffic calming program is currently operating in the City of Santa Cruz only. The Santa Cruz County Cycling Club (SCCCC) awarded funding for initial development and production of the stickers. Other waste management agencies in the county will be approached in the future to offer the program in other jurisdictions.

PACE Car – This program also aims to reduce speeds in neighborhoods and has been ongoing for many years. Pace car community members sign a pledge to drive within the speed limit, stop for pedestrians, drive courteously, and display a Pace Car Sticker on their vehicles. Pace car drivers act as “mobile speed bumps,” slowing any speeding drivers behind them. The more Pace car drivers in a neighborhood, the more effectively the program works to slow traffic.

Anyone who is interested in requesting a Traffic Calming or Pace Car sticker can go to the Order/Comment Form of the CTSC website at www.sctrafficsafety.org.

The invoice and supporting documentation for TDA funds for the period indicated are attached.

Project Director Name and Title
Corinne Hyland, Health Services Manager

[Signature] January 31, 2020

Date
Transportation Development Act (TDA) – Local Transportation Funds
CLAIM FORM
for Bike/Pedestrian Projects
Submit a separate form for each project.

If you have any questions about this claim form or would like an electronic copy of the form, please contact the Santa Cruz County Regional Transportation Commission at 460-3200.

Project Information

1. Project Title: **Ride n’ Stride** (Bike & Pedestrian Safety school-based education program of CTSC)

2. Implementing Agency: County of Santa Cruz Health Services Agency

3. Sponsoring Agency (if different) – must be a TDA Eligible Claimant: Santa Cruz County Regional Transportation Commission

4. TDA funding requested this claim: **$65,000**

5. Fiscal Year (FY) for which funds are claimed: **FY 2020-21**

6. General purpose for which the claim is made, identified by the article and section of the Act which authorizes such claims (ex. Article 8 Bicycle project): Article 8 Bike/Pedestrian Project

7. Contact Person/Project Manager: Theresia Rogerson
   Telephone Number: (831) 454-4312
   E-mail: theresia.rogerson@santacruzcounty.us

   Secondary Contact (in event primary not available): Corinne Hyland
   Telephone Number: (831) 454-7558  E-mail: corinne.hyland@santacruzcounty.us

8. Project/Program Description/Scope (use additional pages, if needed, to provide details such as work elements/tasks): See attached **Ride n’ Stride Education Work Plan for FY 2020-21**

9. Number of people to be served/anticipated number of users of project/program: The primary work plan objective is to reach at least 2,500 elementary and pre-school students to teach them basic bicycle and pedestrian safety practices. In addition, it is anticipated that parent/caregiver presentations and staff participation in community events, Bike/Walk to School activities and distribution of properly fitted bike helmets will reach hundreds more children, parents/caregivers and teachers throughout the county.

10. Project Location/Limits (attach a map and/or photos if available/applicable, include street names): All projects are countywide and education presentations are offered to every elementary school.

11. Justification for the project. (Why is this project needed? Primary goal/purpose of the project; problem to be addressed; project benefits; importance to the community):

   The Ride n’ Stride program provides school-based education and encouragement with the goal of increased bike and pedestrian safety practices among youth. Through its partnership with Ecology Action’s Walk Smart program, there is a greater reach into the schools. Both Ride n’ Stride and Walk Smart increase students’ confidence in using active modes of transportation in the community. Program staff are bilingual, enabling the program to be effective in reaching the county’s diverse
population of students and parents with key messages promoting the benefits of riding and walking. Program evaluations consistently show an increase in bike safety knowledge among students and high satisfaction levels among teachers.

12. Consistency and relationship with the Regional Transportation Plan (RTP) – please reference Project or Policy number: Programmed into the RTP under project #CO50.

13. Measures of performance, success or completion to be used to evaluate project/program: Please see attached Ride n’ Stride Work Plan for evaluation measures.

14. Impact(s) of project on other modes of travel, if any (ex. parking to be removed): Through road safety education, biking and walking encouragement, and provision of bicycle helmets, more students and parents will gain confidence and motivation as cyclists and pedestrians, thereby reducing the numbers of vehicle mode trips to and from school sites, as well as for other local trips.

15. Project Cost/Budget, including other funding sources, and Schedule: (complete “15a” or “15b”) N/A

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<td>Source 3:</td>
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*Please describe what is included in “Other”:

15b. Non-Capital Projects – Cost/Schedule: List any tasks and amount per task for which TDA will be used. Can be substituted with alternate budget format. See attached Ride n’ Stride Safety Program Budget for FY 2020-21.

16. Preferred Method and Schedule for TDA fund distribution, consistent with the RTC Rules and Regulations (a. 90% prior to completion/10% upon completion; or b. 100% after completion): 100% after completion, county transfer fund (journal)

17. Proposed schedule of regular progress reports including an evaluation of prior year’s activities: Biannual progress reports to be submitted by January 31, 2021 and final report to be submitted by July 31, 2021.

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<td>B. Has this project previously received TDA funding?</td>
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D. Has the project already been reviewed by the RTC Bicycle Committee and/or Elderly/Disabled Transportation Advisory Committee? (If "NO," project will be reviewed prior to RTC approval).

Has the project been reviewed by the RTC Bicycle Committee and/or Elderly/Disabled Transportation Advisory Committee?

| Bicycle Committee review April 13, 2020 |

E. For "bikeways," does the project meet Caltrans minimum safety design criteria pursuant to Chapter 1000 of the California Highway Design Manual?

| N/A |

Documentation to Include with Your Claim:

All Claims

- A letter of transmittal to SCCRTC addressed to the Executive Director that attests to the accuracy of the claim and all its accompanying documentation.
- Resolution from TDA eligible claimants indicating their roles and responsibilities; and, if applicable, commitment to maintain facilities as indicated in the submitted plans for a period of 20 years.

Ride n’ Stride education program – PLEASE KEEP ANSWERS BRIEF

19. Improving Program Efficiency

- Describe any areas where special efforts have been made in the last fiscal year to reduce operating cost and/or increase ridership/program usage. Note any important trends.
- Goals for next fiscal year (ex. identify opportunities to maximize economies of scale). Describe any areas where special efforts will be made to improve efficiency and increase program usage/ridership:

The Walk Smart partnership with Ecology Action has enabled more children to receive critical safety information and real-world pedestrian safety practice. Efforts were made to utilize existing or low-cost/no-cost educational materials that reflect current best practices and are developmentally appropriate. The program will continue distribution of supplemental classroom materials developed by HSA from other traffic safety funding. In addition, the program utilizes in-kind donations of teacher and volunteer time and secures competitive pricing for bike helmets and other program supplies. CTSC/Ride n’ Stride staff have worked with partner agencies to implement the Train-the-Trainer Bike Helmet Fitting and Distribution program based at local schools and community service organizations, which saves program staff time. HSA will continue to secure matching funds through grants and other funding sources to maintain an adequate level of staffing for these programs to ensure continuing success and benefits to the community.

20. What is different from last year’s program/claim?

Staff concluded participation in two Complete Streets to Schools Planning projects in partnership with Ecology Action, the City of Watsonville, City of Scotts Valley and County Public Works. These plans will assist jurisdictions in securing funding for future improvements around schools. Ride n’ Stride staff shortages this past year led to full review and new development of grade level curriculum in both bicycle and pedestrian safety education. In addition, due to shifting of Public Health staff time to the corona virus pandemic, HSA staff discussed online and virtual ideas to supplement distance learning while schools were closed due to the shelter in place orders. Both the new curriculum development and online resources have been included in this year’s work plan.
Community Traffic Safety Coalition (CTSC)
Ride n’ Stride Education Work Plan
FY 2020-2021

The Ride n’ Stride program aims to increase safe bicycling and walking among children and youth in Santa Cruz County. Classroom bicycle and pedestrian safety curriculum developed teaches basic traffic safety to young students. The program encourages safe riding and walking and encourages participants to be role models for their friends, siblings and parents. Interactive classroom education sessions on bicycle and pedestrian safety (including other wheeled sports, such as scooters and skateboards) are designed to be age, language and culturally appropriate.

The Ride ‘n Stride program also collaborates with Ecology Action in the provision of Walk Smart, a program that builds on the classroom presentations with the practical experience of a walking fieldtrip. This partnership has been ongoing for a number of years and has expanded the reach of both agencies in providing Safe Routes to Schools programming. Both agencies collaborate to schedule and deliver this program in schools throughout the county.

As a supplement to classroom programming, activity packets for teachers were developed to reinforce traffic safety messages. The packets are geared for 2nd/3rd grade and 5th grade classrooms. Easy to follow lesson plans align with California Common Core standards and provide another opportunity for children to hear important traffic safety messages.

FY 2020/21 Objectives and Activities Work Plan:

- Conduct bicycle and pedestrian safety education sessions for at least 2,500 elementary school and pre-school students in Santa Cruz County school districts, including distribution of supplemental resources, such as activity packets/books.
- Conduct at least 4 traffic safety presentations to parents and caregivers through schools, community agencies and neighborhood groups to promote safe bicycling and walking in Santa Cruz County.
- Participate in at least 4 school or community events to provide traffic safety information and promote safe bicycling and walking in Santa Cruz County.
- Work with CTSC and community partners to coordinate distribution and proper fitting of at least 100 bike helmets to students and other community members.
- Develop multi-grade level curriculum, online and virtual resources, and/or child-to-adult interventions.
- Participate in the fall and spring Bike/Walk to School/Work events, bike rodeos and other bike/pedestrian safety activities, as staff time permits.
- Participate in traffic safety meetings, such as CTSC, South County Bike/Pedestrian Work Group, Vision Zero, and planning grant meetings as staffing capacity and other program priorities allow.
- Conduct program evaluation, including pre/post-testing of students, teacher evaluations, and reporting of bike and pedestrian observational surveys among children and youth.
## Ride n' Stride Bicycle and Pedestrian Education Program
### TDA/RnS Budget, FY 2020/21

<table>
<thead>
<tr>
<th>Line Item</th>
<th>TDA Budget</th>
<th>HSA Match</th>
<th>Total Project Costs</th>
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<td><strong>Totals</strong></td>
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BIANNUAL PROGRESS REPORT
TRANSPORTATION DEVELOPMENT ACT FUNDS

FIRST BIANNUAL PERIOD
July 1, 2019 – December 31, 2019

Project Title: Ride n' Stride Bicycle and Pedestrian Education Program
Agency: Santa Cruz County Health Services Agency
Project Contact: Theresia Rogerson 831-454-4312 theresia.rogerson@santacruzcounty.us

Briefly describe the work completed during this biannual period.

1. Conduct bicycle and pedestrian traffic safety education sessions for at least 2,500 elementary school and pre-school students in Santa Cruz County school districts.
   During the first biannual period, pedestrian safety presentations were conducted at 11 elementary schools across Santa Cruz county school districts reaching a total of 658 students. No bike safety sessions were conducted this period.

2. Conduct at least 4 traffic safety presentations to parents/caregivers through schools, community agencies and neighborhood groups to promote safe bicycling and walking in Santa Cruz County.
   No parent/caregiver presentations were conducted this period. Ride n' Stride/HSA staff began reaching out to several agencies and groups to schedule presentations in the winter and spring.

3. Participate in 4 school or community events to provide traffic safety information and promote safe bicycling and walking in Santa Cruz County.
   Ride n' Stride/HSA staff participated in 5 community events this biannual period. In the Watsonville Plaza, traffic safety booths with interactive games reached 151 participants at National Night Out on 8/6 and 64 community members on 8/17 at the Family Fun Fest. A first of its kind pop-up bike safety event at the Clifford Manor apartment complex in Watsonville served approximately 35 low-income family members on 10/29. Prizes and incentives were given to participants as well as educational pamphlets and handouts. A traffic safety booth with interactive games reached 55 Migrant Head Start family members with bike/ped safety information at the Buena Vista Children’s Center Health Fair on 10/30. Watsonville Project Connect served 116 members of the homeless and home insecure community on 11/13. Safety equipment, such as bicycle helmets and light sets were distributed to those in need. A total of 421 community members were reached through events this biannual period.

4. Collaborate with CTSC, HSA staff and community partners to collect bike and pedestrian safety data.
   Through other grant funding sources, Ride n’ Stride staff assisted in a helmet usage survey in November with observation locations in Watsonville, Santa Cruz and Live Oak.
5. Work with CTSC, HSA and community partners to coordinate distribution and proper fitting of at least 100 bike helmets to students and other community members.
   During this biannual period, a total of 131 helmets were fitted and distributed through Helmet Fit Sites, partner agencies, and community events.

6. Participate in the fall and spring Bike/Walk to School/Work events, bike rodeos and other bike/pedestrian safety activities, as staff time permits.
   Ride n’ Stride/HSA staff assisted Ecology Action with the fall Bike/Walk to School/Work Day breakfast sites in South County on 10/4 at the following locations; Freedom Elementary, MacQuiddy Elementary and Downtown Watsonville Public site.

7. Participate in traffic safety meetings, such as CTSC, SCBPGW and Complete Streets to Schools planning meetings, as staffing capacity and other program priorities allow.
   Ride n’ Stride staff attended the bi-monthly South County Bike/Pedestrian Work Group (SCBPGW) meetings in the months of July, September, and November. Staff also attended the Watsonville Complete Streets to School monthly planning meetings.

8. Conduct program evaluation including pre/post-testing of student samples, teacher evaluations and reporting of bike and pedestrian observational surveys among children and youth.
   During this biannual period, pre/post-tests were administered to students. Results showed a 21.7% increase in knowledge of pedestrian safety, based on a 6-question written quiz. Overall, teacher evaluations rated very high at 4.78, based on a scale of 1(Ineffective) to 5 (Excellent).

Briefly describe the work to be done next TDA biannual period.

☐ Focus on coordinating, scheduling and conducting bicycle and pedestrian safety education presentations at schools and to parents/caregivers.

The primary Ride n’ Stride staff was out on part time leave in this first biannual period, so the number of presentations completed was lower than in past reports. Additional staff have now been trained to provide back up, and additional presentations will be scheduled in the next biannual period.

The invoice and supporting documentation for TDA funds for the period indicated are attached.

Corinne Hyland, Health Services Manager
Project Director Name and Title

Signature

January 31, 2020

Date
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RESOLUTION NO.

Adopted by the Santa Cruz County Regional Transportation Commission
on the date of May 7, 2020
on the motion of Commissioner
duly seconded by Commissioner

A RESOLUTION APPROVING TRANSPORTATION DEVELOPMENT ACT (TDA) ARTICLE 8
FUNDING FOR THE BIKE TO WORK PROGRAM

WHEREAS, Bike to Work events provide important information, education, and incentives for encouraging and rewarding bicycle commuting;

WHEREAS, in 2003 the Regional Transportation Commission (RTC) committed to providing on-going Transportation Development Act (TDA) funding in the amount of $40,000 per year to Ecology Action’s Bike to Work program;

WHEREAS, in FY 2017/18, the RTC agreed to increase the annual commitment to $60,000 on an annual basis through the yearly budget process and approval;

WHEREAS for fiscal year FY 2020/21, Ecology Action submitted an amount of $60,000;

WHEREAS, the Regional Transportation Commission allocated $60,000 in its FY 2020/21 budget for the Bike to Work Program; and

WHEREAS, the Bicycle Advisory Committee reviewed the request and proposed scope of work at the April 13, 2020 meeting and recommended approval;

THEREFORE, BE IT RESOLVED BY THE SANTA CRUZ COUNTY REGIONAL TRANSPORTATION COMMISSION:

1. The Regional Transportation Commission hereby approves $60,000 in FY 2020/21 Transportation Development Act Article 8 funds for the Bike to Work Program.

2. The Executive Director is authorized to modify the payment amounts should the RTC amend the FY 2020-21 Transportation Development Act apportionments in the RTC’s FY 2020-21 budget.

AYES: COMMISSIONERS

NOES: COMMISSIONERS

ABSTAIN: COMMISSIONERS
Exhibit 1: Bike to Work Claim and supporting materials

Distribution: RTC Fiscal  
             RTC Planner  
             Ecology Action’s Bike to Work Program
April 2, 2020

Guy Preston
Executive Director
SCCRTC
1523 Pacific Avenue
Santa Cruz, CA 95060

Dear Mr. Preston:

Ecology Action (EA) is requesting $60,000 in Transportation Development Act (TDA) funds for FY 2020-2021 to support the Santa Cruz County Bike to Work and Bike/Walk to School (BTW/S) program which includes Fall/Spring Bike Transportation Campaigns for work (Bike to Work), school (Bike/Walk to School) and health, May Bike Month and Bike Challenge on Love to Ride. The BTW program is one of the largest sustainable transportation campaigns in our County, providing critical opportunities to increase bike transportation as well as provide bike education and resources to K-12 students and adults.

We are using more online platforms to enhance our behavior change message and resources to meet the ever-changing needs of our community. Engagement with the online Love to Ride platform that powers the new Santa Cruz County Bike Challenge illustrates the positive impact and functionality of virtual channels. The COVID 19 crisis accelerates the need to deliver more online bike transportation messaging and virtual behavior change programs. Given these factors Ecology Action will continue the transition to increase virtual program delivery:

County of Santa Cruz - 2019 Accomplishments
- 20,543 youth and adults participated across our 2019 bike programs,
- 7,648 K-12 students with Spring and Fall Bike and Walk to School Day.
- 1,972 adults participated in our Spring and Fall Bike to Work Day
- Estimated 9,126 people who participated in May Bike Month
- 1,797 community members participated in our Bike Month + Cycle September Bike Challenges

The Bike to Work program continues to leverage RTC funding with some $20,000 in cash support and some $50,000 of in-kind contributions from local businesses, and public agencies. EA supplements RTC funding with state and regional funds where possible to meet the growing demands, especially for our bicycle transportation encouragement and safety education programs in the schools.

Ecology Action is sincerely grateful to the RTC for your continued support and for consideration of this $60,000 allocation request for FY 20/21 to support our Bike to Work/School program.

Sincerely,

Piet Canin, Ecology Action Transportation Group
Transportation Development Act (TDA) – Local Transportation Funds
CLAIM FORM
for Bike/Pedestrian Projects
Submit a separate form for each project.

If you have any questions about this claim form or would like an electronic copy of the form, please contact the Santa Cruz County Regional Transportation Commission at 460-3200.

Project Information
1. Project Title: Bike to Work/School program
2. Implementing Agency: Ecology Action
3. Sponsoring Agency (if different) – must be a TDA Eligible Claimant: SCCRTC
4. TDA funding requested this claim: $60,000
5. Fiscal Year (FY) for which funds are claimed: FY 20/21
6. General purpose for which the claim is made, identified by the article and section of the Act which authorizes such claims (ex. Article 8 Bicycle project): Article 8 Bicycle project
7. Contact Person/Project Manager: Piet Canin
   Telephone Number: 515-1327   E-mail: pcarin@ecoact.org
   Secondary Contact (in event primary not available): Jim Murphy
   Telephone Number: 515-1325   E-mail: jmurphy@ecoact.org
8. Project/Program Description/Scope (use additional pages, if needed, to provide details such as work elements/tasks):

Ecology Action’s (EA) Bike to Work (BTW) Program turns 34 in the Spring of 2021, and we will highlight the incredible growth from a small neighborhood affair to a large-scale community tradition with more than 18,000 kids and adults participating. The BTW program is one of the largest sustainable transportation campaigns in our County, providing critical opportunities to increase bike transportation as well as provide bike education and resources to K-12 students and adults. We are using more online platforms to enhance our behavior change message and resources to meet the ever-changing needs of our community.
SEE ATTACHED SCOPE
9. Number of people to be served/anticipated number of users of project/program: We anticipate 13,000-18,000 people will participate directly in the program.
10. Project Location/Limits (attach a map and/or photos if available/applicable, include street names):
    The project includes the entire Santa Cruz County area including all the incorporated cities.
11. Justification for the project. (Why is this project needed? Primary goal/purpose of the project; problem to be addressed; project benefits; importance to the community)

Ecology Action’s BTW/S program provides incentives and tools for local commuters to bicycle for
transportation therefore reducing their single-occupancy vehicle trips. BTW/S provides a variety of resources and services to support commuters in switching to bicycle transportation and to bike commute more often. One of the primary objectives of BTW/S is to normalize bicycling as a mode of transportation and provide residents with a variety of opportunities throughout the year to experience how bicycling is possible for many different types of trips they would otherwise take by car. BTW/S includes a multi-pronged promotional and outreach approach that reaches community members throughout Santa Cruz County. The benefits associated with BTW/S including reduction of traffic congestion, reduction of air, water, and noise pollution, reduction of greenhouse gasses, as well as the promotion of a healthy means of active transportation that helps combat obesity. BTW/S therefore provides a means for addressing some of the more pressing issues that Santa Cruz County is facing including worsening traffic congestion, growing childhood obesity rates, and climate change. BTW/S is an effective approach to building a more sustainable community.

12. Consistency and relationship with the Regional Transportation Plan (RTP) – please reference Project or Policy number: Project RTC #26

13. Measures of performance, success or completion to be used to evaluate project/program:

To measure the success of the Bike to Work/School program, Ecology Action (EA) tracks the following data using participant surveys: the number of program participants, the participant’s bike commute mileage, and if they are novice, intermediate or advanced cyclists. EA also tracks the number of K-12 school students who bike and walk to school and at a growing number of schools we survey pre-program biking and walking rates. Bike Month Challenge uses bike trip and mileage tracking apps to quantify actual bike commuter trips. EA also measures success by the amount of publicity generated through social media, news articles, radio talk shows, TV newscasts, the number of newsprint ads, and the number of radio and TV PSA’s aired. Success is also measured by the number of posters and brochures distributed, direct mailings sent out, website visits, emails delivered and the growing number of people that sign-up for our electronic newsletter. The number of community, business and school events staffed with informational booths is also tracked.

14. Impact(s) of project on other modes of travel, if any (ex. parking to be removed):

The Bike to Work/School program helps reduce single-occupancy vehicle trips and parking demand while increasing the number of bus/bike combined trips. There also is an increase in people walking to work or school, especially those walking to school.

15. Project Cost/Budget, including other funding sources, and Schedule: (complete “15a” or “15b”)

15a. Capital Projects

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<th>SCHEDULE (Month/Yr)</th>
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</table>
15b. Non-Capital Projects – Cost/Schedule: List any tasks and amount per task for which TDA will be used. Can be substituted with alternate budget format.

SEE ATTACHED BUDGET

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<tr>
<th>Work Element/Activity/Task</th>
<th>SCHEDULE (Month/Yr)</th>
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16. Preferred Method and Schedule for TDA fund distribution, consistent with the RTC Rules and Regulations (a. 90% prior to completion/10% upon completion; or b. 100% after completion):

Quarterly reimbursement for work performed.

17. Proposed schedule of regular progress reports including an evaluation of prior year’s activities:

Annual report as well as program activity narrative updates with quarterly invoices.

18. TDA Eligibility:

A. Has the project/program been approved by the claimant's governing body? Attach resolution to claim. (If "NO," provide the approximate date approval is anticipated.)

B. Has this project previously received TDA funding?

C. For capital projects, have provisions been made by the claimant to maintain the project or facility, or has the claimant arranged for such maintenance by another agency for the next 20 years? (If an agency other than the Claimant is to maintain the facility provide its name: _______________________________ )
D. Has the project already been reviewed by the RTC Bicycle Committee and/or Elderly/Disabled Transportation Advisory Committee? (If "NO," project will be reviewed prior to RTC approval).

To be reviewed by the RTC Bike Committee at their April 2020 meeting.


Documentation to Include with Your Claim:

All Claims
- A letter of transmittal to SCCRTC addressed to the Executive Director that attests to the accuracy of the claim and all its accompanying documentation.
- Resolution from TDA eligible claimants indicating their roles and responsibilities; and, if applicable, commitment to maintain facilities as indicated in the submitted plans for a period of 20 years.

Bike to Work – PLEASE KEEP ANSWERS BRIEF
19. Improving Program Efficiency

- Describe any areas where special efforts have been made in the last fiscal year to reduce operating cost and/or increase ridership/program usage. Note any important trends.

For 2020/21 we will transition to more virtual program delivery to effectively reach more local residents throughout the county with segmented messaging for different levels of bike transportation. We’ll take advantage of the rise in online activity due to the COVID 19 social distancing practice that in some form could last through the end of 2020 or longer.

EA continues to develop and foster our volunteer base through consistent volunteer retention with engagement events, regular communications, and recruitment of new volunteers. In addition, EA continues to solicit a wide array of product donations, both financial and in-kind. Local businesses, public agencies, and individuals provide a high level of skilled volunteer labor to assure the smooth running of the program. EA has built on its 30 years of success to generate non-TDA cash donations from local businesses, individuals and public agencies. Last year the program raised $20,000 in cash donations and $50,000 in in-kind services and product donations to match the TDA funds. These cash donations are from non-transportation funding sources. EA also actively seeks other funding sources such as federal and state Safe Routes to School, local foundations, and applicable funders.

- Goals for next fiscal year (ex. identify opportunities to maximize economies of scale). Describe any areas where special efforts will be made to improve efficiency and increase program usage/ridership:

EA will focus on business engagement by refining Bike Month Challenge where employees will be encouraged to participate in two monthly Bike Challenges using apps to track their bike commute trips and miles. Prizes and gamification will be used to catalyze participation from new bike commuters and get those biking already to ride more often for bike transportation. This online tool, Love to Ride, also
provides a platform for seasoned cyclists to advocate and inspire their coworkers and neighbors to participate. We’ll grow our Bike Ambassador effort which recruits individuals to champion more biking at their worksite through various means of encouragement and support.

EA will continue to focus on Bike to School within the schools and leveraging our existing volunteer and administrator contacts at school sites to increase ridership among students while keeping staff time low. We’ll look at the viability of introducing the Love to Ride platform to county high school students to increase biking to school.

EA will continue to support ridership with year-round communication on our social media platforms and electronic newsletters as well as collaborative work and/or events with community partners, agencies, and organizations.

20. What is different from last year’s program/claim?

We’ll continue our shift to more virtual outreach and engagement to reach more county residents with compelling, useful and fun content. We’ll create bike commute workshops, how-to and inspirational videos. We’ll explore and test the feasibility of a Bike Ambassador program to champion bike commuting at their workplace. These ambassadors would increase our reach by capitalizing on their networks to more widely distribute our message and enlist more participants to the Bike Month Challenge and support bike transportation year-round.
Bike To Work Program
Scope of Work FY 20-21

Ecology Action’s (EA) Bike To Work (BTW) Program turns 34 in the Spring of 2021, and we will highlight the incredible growth from a small neighborhood affair to a large-scale community tradition with more than 18,000 kids and adults participating. The BTW program is one of the largest sustainable transportation campaigns in our County, providing critical opportunities to increase bike transportation as well as provide bike education and resources to K-12 students and adults. We are using more online platforms to enhance our behavior change message and resources to meet the ever-changing needs of our community. Engagement with the online Love to Ride platform that powers the new Santa Cruz County Bike Challenge illustrates the positive impact and functionality of virtual channels. The COVID 19 crisis accelerates the need to deliver more online bike transportation messaging and virtual behavior change programs. Given these factors Ecology Action proposes these main components to our Bike to Work program:

1) Fall Bike Transportation Campaign for work (Bike to Work), school (Bike to School) & health.
2) Spring Bike Transportation Campaign for work (Bike to Work), school (Bike to School) & health.
3) Bike Challenge via Love to Ride (September & May).
4) Spring Bike Month, which features fun, inclusive, positive, and educational bicycle activities
5) Ongoing support targeting novice or infrequent bike commuters via online communications including original digital, electronic newsletters, social media and website/blog updates
6) In addition to tips and content to support new and intermediate riders, we’ll also include regular updates on bike infrastructure projects that will have a positive impact on local commuters (i.e. Rail Trail, Chanticleer Bike/Ped bridge, Water St. Protected bike lane)

Fall Bike Transportation Campaign for work, school and health (September/October)

Work Schedule/Tasks:
EA will coordinate the Fall Bike Transportation Campaign for work, school and health activity which features incentives, resources, encouragement, peer and EA support and engagement to bike to work, school, errands, health and wellness. The following are tasks to be completed:

- Implement a Fall Bike Transportation Campaign for work, school and health activity.
- Implement Bike to Work Day via in-person activation (public breakfast and/or workplace-based events) and virtual (Love to Ride platform)
- Solicit cash and material incentives to leverage for participation and increased ridership and encouragement
- Conduct outreach to novice bike commuters through targeted employer and employee outreach, online social marketing and media outreach
- Conduct comprehensive promotional campaign including print ads, online ads, electronic newsletters, website, social media and hardcopy flyer distribution. Campaign will include promoting informative resources to increase ridership among infrequent riders.
• Coordinate Bike/Walk to School efforts with bike safety presentations conducted by EA’s Bike Smart Youth Bike Safety program and the Community Traffic Safety Coalition (CTSC)
• Coordinate helmet distribution with CTSC at school sites based on supply of helmets and greatest need
• Conduct outreach to school teachers, administrators and parents to continue to expand student participation
• Recruit, train and coordinate 150+ volunteers
• Continue to assess the efficacy of electronic pre-registration and survey system and contact tracking system

Performance Goals for Fall Bike Transportation Campaign for work, school and health
• Increase participation levels by 5% for fall activities and September Bike Challenge. Using more tools to increase ongoing bike transportation including a mix of in person and digital encouragement, storytelling, and incentives.
• Increase the number of beginning cyclists participating by 5%.
• Place hundreds of event and informational posters at local businesses and around the community.
• Develop and send targeted emails to over 6,000 participants with bike commuting news, incentives, and resource information.
• Create bilingual Bike Month communications.
• Conduct content marketing campaign including video clips featuring community members on a variety of topics (i.e. how to start commuting, riding in the rain, why I ride series, etc.)

Spring Bike Month May 2021
Work Schedule/Tasks:
EA staff will coordinate the 34th annual Santa Cruz County Spring Bike Month, which will include Bike Month, Bike Month Challenge and Spring Bike Transportation Campaign for work, school and health activities that includes Bike to Work/School. The main objective will be to continue to promote bicycle commuting as well as bicycle transportation for other trips that replace single occupancy vehicle trips. The following are tasks to be completed:
• Work with large employers to offer incentives and encourage participation.
• Continue Bike Challenge with local employers. Recruit 'teams' of employees that will help keep each other motivated to bike commute. Teams will record their daily bike trips on our challenge designated website – Love to Ride, and will earn 'points' for riding and encouraging others to ride. The team/business with the most points at the end of the month will be featured on Bike Month promotions.
• Implement Bike to Work Day via in-person activation (public breakfast and/or workplace-based events) and virtual (Love to Ride platform)
• Solicit business donations.
• Promote bike commuting resources and safety tips through a regularly scheduled electronic newsletter with a distribution of 6,000+ local contacts.
• Maintain regular social media presence via Ecology Action’s Facebook and website page with over 4,400 FB followers.

• Conduct comprehensive promotional campaign including print ads, online ads, electronic newsletters, website, social media and hardcopy flyer distribution. Campaign will focus on storytelling, relevant and timely content, social diffusion and positive peer pressure, incentives, and fun – all designed to invite and sustain more participation, ridership, and a local bike culture.

• Create artwork and other promotional collateral.

• Coordinate with bike safety presentations conducted by EA’s Bike Smart Youth Bike & Walk Safety program the Community Traffic Safety Coalition (CTSC)

• Coordinate helmet distribution with CTSC at school sites.

• Promote Bike Month, bringing in partnerships with additional agencies and businesses to promote Bike Month activities and bike resources throughout the year.

• Recruit, coordinate and train 200+ volunteers.

• Continue efforts in South County to improve outreach to underrepresented populations.

Performance Goals for the Spring Bike Month, 2021

• Increase participation by 5% from the previous spring Bike Month activities including Bike Month Challenge on Love to Ride and other Bike Month activities/events.

• Continue to grow Bike Month Challenge with at least 5 new businesses.

• Innovate outreach/promotion to businesses, public agencies, & local organizations by identifying organization champions via Love to Ride, individuals who register and champion the challenges internally at their workplace.

• Target increasing the number of beginning cyclists participating in Bike Month activities including, Bike Month Challenge, and other Bike Month activities/events through marketing segmentation and tailored messaging.

• Develop and send at least 4 e-newsletters to 6,000+ people with bike commuting news, upcoming events, incentives, and resource information.

• Create bilingual Bike Month communications.

• Conduct content marketing campaign including video clips featuring community members on a variety of topics (I.e. how to start commuting, riding in the rain, why I ride series, etc.)
# EA's Bike to Work/School 20/21 Budget
- $60,000 TDA Funds

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<td><strong>TOTAL PROJECT BUDGET</strong></td>
<td>$ 160,000.00</td>
<td></td>
</tr>
</tbody>
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*Local business and public agencies donations contribute $20,000 in cash plus an additional $50,000 of inkind services and product annually for Bike to Work.*
Ecology Action’s Bike To Work Program 2019
Program Summary

Ecology Action’s (EA) 2019 Bike To Work (BTW) Program provided many fun and unique opportunities for community members to participate and provided a critical platform for EA and our partners to provide bike education, encouragement, and resources to K-12, college students, and adults across the county. EA celebrated our 33rd BTW Anniversary year and continued the Bike Month Challenge through the online platform, Love to Ride.

County of Santa Cruz - 2019 Accomplishments
- 20,543 youth and adults participated across our 2019 bike programs,
- 7,648 K-12 students with Spring and Fall Bike and Walk to School Day.
- 1,972 adults participated in our Spring and Fall Bike to Work Day
- Estimated 9,126 people who participated in May Bike Month
- 12 public Bike to Work breakfast sites in spring and fall including our largest site in downtown Santa Cruz, a new site at Aptos New Leaf and 42 and 41 participating schools in spring and fall, respectively.
- Bike to Work – 10.5% of Bike to Work participants indicated they beginner, 45% intermediate, and 44.5% advanced.
- Bike to Work – 8.5% of Bike to Work participants indicated they never bike commute, 28% indicated they bike commute 1-2 per week, 26.5% indicated 3-4 times a week, and 37% indicated they commute daily.
- 15,323 vehicle miles were reduced on our Bike to Work Days, which translates to the prevention of roughly 13,500 lbs of CO2 from being emitted into our atmosphere
- 1,797 community members participated in our Bike Month + Cycle September Bike Challenges
- Bike Month Challenge saw 78 organizations, and 1054 participants, with 93 new riders riding a total of 118,172 miles and preventing 34,812 lbs of CO2 from being emitted
- Cycle September Challenge saw 59 organizations, and 743 participants, with 73 new riders riding a total of 93,782 miles and preventing 17,648 lbs of CO2 from being emitted

Annual Promotions
- Electronic newsletter campaign: Over 4,500 community members received regular correspondence which included education, incentives and resource to promote bicycle commuting.
- Social Media: Over 4,400 followers received regular updates and communications via the EA Facebook page.
- Poster Distribution: Over 1,000 bilingual posters were distributed throughout the County and at school sites.
Bike/Walk to School Promotion
- Coordination with 42+ schools
- Over 500 posters distributed to schools throughout the County
- Educational materials distributed to program participants at school sites including helmet fit
  guides, traffic rules and safety tips
- Over 25 ‘Share the Road’ signs and barricades posted at school sites
- Coordinated with EA’s Youth Bike & Walk Safety education training prior to event days at
  specified school sites.

Collaborations
EA benefits greatly from the many business and public agency partners that help make the BTW
Program successful. EA continued to forge new partnerships and build upon established
partnerships. The following is a partial list of our 2019 partners:

- **Santa Cruz County Regional Transportation Commission (SCCRTC):** Provided major
  financial support along with promotional support. EA also communicated key SCCRTC
  initiatives to our 4,500 list-serv and on our social media platforms throughout the year
- **The Community Traffic Safety Coalition (CTSC):** EA distributed CTSC bike safety
  information
- **City of Santa Cruz:** Provided cash funding and promotional support
- **County of Santa Cruz:** Provided promotional support
- **City of Watsonville:** Provided staff and promotional support for Watsonville schools and
  public site
- **City of Capitola:** Provided promotional support
- **University of California Santa Cruz:** Provided cash funding and promotional support
- **Cabrillo College:** Provided staff support and promotional support
- **Santa Cruz Cycling Club:** Provided promotional support
- **Bike Santa Cruz County:** Was a program partner for the Bike Month kick-off event at the
  Museum of Art & History, provided bike valet at breakfast sites and assisted with
  promotion
- **Greenways to School:** Assisted with outreach at targeted schools
- **Spokesman Bicycles, Cycle Works, Another Bike Shop, Epicenter Cycling, Bicycle Trip,
  Santa Cruz Bicycle Exchange, Watsonville Cyclery, Scotts Valley Cycle Sport, and Family
  Cycling Center:** Provided free basic bike maintenance
- **Patagonia:** Provided cash funding and promotional support
- **Dignity Health Medical Group and the Palo Alto Medical Foundation:** Provided cash
  funding support and helped promote
- **Staff of Life, Whole Foods Santa Cruz/Capitola, New Leaf Community Markets, The
  Buttery, The Picnic Basket** and many other local restaurants and food vendors provided
  free breakfast items to cyclists
- **FOX and Blackburn** provided free helmets, bike lights and water bottles and other gear
  raffled off to students and adults
TO: Regional Transportation Commission

FROM: Sarah Christensen, P.E., Senior Transportation Engineer

RE: Amendments to the Highway 1 Auxiliary Lanes and Bus on Shoulder Project (State Park Drive to Bay/Porter) Consultant Contract and Caltrans Cooperative Agreement and Senate Bill 1 Solutions to Congested Corridors and Local Partnership Program Matching Funds

RECOMMENDATIONS

Staff recommends that the Regional Transportation Commission (RTC) approve the attached resolution (Attachment 1) authorizing the following actions related to the bicycle and pedestrian overcrossing at Mar Vista Drive:

1. Amend the professional engineering services contract with Mark Thomas & Company, Inc. (Attachment 3) for the environmental component of the Highway 1 Auxiliary Lanes and Bus on Shoulder (Aux/BOS) Project between State Park Drive and Bay/Porter in the amount of $444,728 for a total amended contract value of $2,274,638, to add the preliminary engineering and environmental documentation of the bicycle and pedestrian overcrossing at Mar Vista Drive to the project.

2. Amending the Cooperative Agreement with Caltrans (Attachment 4) for the Project Approval/Environmental Document (PA/ED) component of the Highway 1 Auxiliary Lanes and Bus on Shoulders (Aux/BOS) project between State Park Drive and Bay/Porter interchanges, to add the bicycle and pedestrian overcrossing at Mar Vista Drive to the project.

3. Amending the Regional Transportation Improvement Program (RTIP) and requesting that the California Transportation Commission (CTC) amend the State Transportation Improvement Program (STIP) to reprogram funds previously programmed to Mar Vista into the combined project.

4. Amending the RTC FY 19/20 and 20/21 Budgets accordingly.

Staff recommends that the Regional Transportation Commission (RTC) approve the attached resolution (Attachment 2) authorizing the amending of the Measure D 5 year program of projects for Highway Corridors to program funds as shown in Attachment 5, which programs Measure D funds as a match for RTC’s proposed applications for cycle 2 of the Senate Bill 1 (SB 1) Solutions to Congested Corridors Program (SCCP) and Local Partnership Program (LPP) competitive grants.
BACKGROUND

The Highway 1 Corridor Investment Program was developed to relieve congestion and improve access to/from Highway 1 through Santa Cruz County. The program of projects includes auxiliary lanes, bus on shoulder (BOS) improvements, and bicycle and pedestrian overcrossings. The Highway Corridor Investment Category of Measure D comprises 25% of the funds with an Expenditure Plan that includes auxiliary lanes between Soquel Avenue/Drive and Freedom Boulevard interchanges, bicycle and pedestrian overcrossings, traveler information and transportation demand management, and highway safety and congestion reduction programs.

In 2019 the Commission approved reprogramming the Regional Surface Transportation Program Exchange (RSTPX) funds for the Project Approval/Environmental Document (PA/ED) component of the bicycle and pedestrian overcrossing at Mar Vista Drive to the County of Santa Cruz, with the County designated as the implementing agency.

On February 6, 2020, the Commission also adopted the Measure D Strategic Implementation Plan (SIP) which included a delivery strategy for the Highway 1 Auxiliary Lanes and Bus on Shoulders projects by which Measure D funds and other discretionary funds available to the RTC would be used to fund the pre-construction phases of 3 projects to construct auxiliary lanes and bus on shoulders improvements between Soquel Avenue/Drive and Freedom Boulevard interchanges, which includes replacement of bridges with longer span bridges to accommodate the additional lanes on Highway 1, and pedestrian and bicycle bridges over Highway 1, soundwalls, and retaining walls.

DISCUSSION

Mar Vista Bicycle and Pedestrian Overcrossing

The Project Development Team (PDT) made up of the County of Santa Cruz, RTC, and Caltrans staff recommends combining the bicycle and pedestrian bridge at Mar Vista Drive into the Aux/BOS project on Highway 1 between the Bay/Porter and State Park Drive interchanges. There is substantial overlap in the scope of work between the two projects for the preliminary engineering, environmental analysis and environmental documentation efforts. Combining the two projects has many efficiency benefits, with the main benefit being that environmental clearance for both projects can be obtained in spring of 2021, in comparison to the County’s original schedule of spring 2022 for the Mar Vista bridge. The combined project would be eligible for cycle 2 SCCP and LPP competitive grant applications, which could fully fund construction. If the projects remained separate, the bicycle and pedestrian overcrossing at Mar Vista Drive would not be eligible for cycle 2 and is expected to be less competitive for future SB 1 funding cycles of Solutions to Congested Corridors Program.

RTC is the implementing agency for the PA/ED component of the Highway 1 Aux/BOS project. Mark Thomas & Company, Inc. developed a cost proposal of
$444,728 to add Mar Vista to their scope of work. RTC and the County has reviewed the estimate and consider it to be fair and reasonable.

To pay for the consultant’s work, it is proposed to re-program $445,000 of the RSTPX funds for the environmental phase of the bicycle and pedestrian overcrossing at Mar Vista Drive project to the RTC. The remaining approximately $115,000 of the project’s RSTPX funds will cover the County of Santa Cruz Public Works staff labor for oversight and community outreach efforts. **Therefore, staff recommends the RTC amend the Regional Transportation Improvement Program (RTIP) and request that the California Transportation Commission (CTC) amend the State Transportation Improvement Program (STIP) to modify the scope of the Bay/Porter to State Park project to include Mar Vista and reprogram $445,000 of the Mar Vista RSTPX funds and all of the STIP funds previously programmed to Mar Vista to the expanded Bay/Porter-State Park project, with the RTC as the implementing agency for the project.** The remaining RTC costs including staff labor, community outreach, and project management consultant support will be funded by Measure D Highway Corridors funds previously programmed to the Mar Vista project.

**Amendment to the Consultant Contract**

In order to combine the two projects, RTC will need to amend the Mark Thomas contract (Contract No. TP2047-01) to add scope and compensation for the Mar Vista PA/ED work. **Staff recommends the RTC authorize the Executive Director to negotiate and amend the professional engineering services agreement (Contract No. TP2047-01) to add to the scope of services tasks for the bicycle and pedestrian overcrossing at Mar Vista Drive, and increase the compensation by an amount of $444,728 for a total not to exceed amount of $2,274,638.** The draft Amendment 1 to Mark Thomas & Company, Inc.’s professional engineering services agreement is included as Attachment 3, which is subject to final negotiation and RTC legal counsel review as to form.

**Caltrans Cooperative Agreement Amendment**

In order to combine the two projects, RTC will need to amend the Cooperative Agreement with Caltrans (Caltrans Coop No. 05-0350) for the PA/ED component of the Highway 1 Aux/BOS project to add the bicycle and pedestrian overcrossing at Mar Vista Drive to the project description. **Staff recommends the RTC authorize the Executive Director to negotiate and amend the PA/ED Cooperative Agreement with Caltrans (Caltrans Coop No. 05-0350) for the Highway 1 Aux/BOS project between the Bay/Porter and State Park Drive interchanges to include the bicycle and pedestrian overcrossing at Mar Vista Drive.** The draft Amendment 1 to the Cooperative Agreement with Caltrans for the PA/ED component of the Highway 1 Aux/BOS project is included as Attachment 4, which is subject to final negotiation and RTC legal counsel review as to form.
SB 1 SCCP and LPP Applications
The RTC staff is proposing a transformative package of multimodal projects that increase options for travel, reduce congestion, and improve safety for residents and visitors to Santa Cruz County for cycle 2 of competitive SB 1 funding programs. Co-applicants include the Santa Cruz Metropolitan Transit District and the County of Santa Cruz with a key partner being Caltrans. The package of multimodal projects includes the following:

**Highway 1, Morrissey Avenue to State Park Drive**
- Auxiliary Lanes and Bus on Shoulder improvements resulting in hybrid bus on shoulder auxiliary lane project from Morrissey Boulevard to State Park Drive
- Replacement of the Capitola Avenue overcrossing
- Bicycle and Pedestrian Overcrossings at Chanticleer Avenue in Live Oak and at Mar Vista Drive in Aptos

**Soquel Avenue/Drive, La Fonda Drive to State Park Drive**
- Adaptive signal control and transit signal priority
- Bicycle and pedestrian improvements at the intersections
- Buffered or protected bike lanes for 90% of the project length

The Unified Corridor Investment Study (UCS) approved by this Commission in 2019 serves as the multimodal corridor plan required to qualify for SCCP funds. The proposed package of multimodal projects for cycle 2 of the SCCP and LPP emphasize improvements on Highway 1 and Soquel Avenue/Drive, as shown in Figure 1:
Figure 1 - Proposed package of multimodal projects for cycle 2 of SB 1 SCCP and LPP

Staff proposes to apply for cycle 2 of both the Local Partnership Program and Solutions to Congested Corridors Program, which have $187M and $494M available respectively statewide. Staff proposes to apply for both programs in order to maximize the fundability of the projects, and provide the CTC with flexibility to fully fund the projects through both programs. Funding for both programs are limited to construction. Table 1 includes a draft breakdown of the proposed match funds and requested amounts for each program, subject to final cost estimates:
Table 1 – Cycle 2 LPP and SCCP Funding Requests (Construction Components- all figures in $ thousands ($1,000))

<table>
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<tr>
<th>Project</th>
<th>Matching Funds</th>
<th>LPP Ask</th>
<th>SCCP Ask*</th>
<th>Total Construction Cost</th>
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<tr>
<td>Highway 1 Aux Lanes &amp; BOS – 41st/Soquel</td>
<td>$8,475</td>
<td>$8,475</td>
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<tr>
<td>Highway 1 Aux Lanes &amp; BOS – Bay-Porter/State Park</td>
<td>$14,929</td>
<td>$14,929</td>
<td>$67,231</td>
<td>$82,160</td>
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<tr>
<td>Soquel Avenue/Drive Signal, Bike/Ped Improvements</td>
<td>$5,755</td>
<td>$1,596</td>
<td>$16,463</td>
<td>$22,218</td>
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</tbody>
</table>

* Includes full ask amount if unsuccessful in winning LPP competitive grant funds. If LPP competitive funds are granted, the granted amount for SCCP will be reduced accordingly to fully fund the construction phase of each project. The maximum LPP grant allowed is $25 million.

The California Transportation Commission (CTC) who administers the LPP and SCCP requires demonstration of a commitment of matching funds. The LPP requires a minimum 1:1 match, whereas the SCCP uses matching funds as a discretionary factor in recommending grant awards. Eligible matching funds can include the RTC’s regional share of State Transportation Improvement Program (STIP) funds, federal Highway Infrastructure Program (HIP) funds, Measure D – Highway and other local funds.

The Highway 1 Aux/BOS project between Soquel Avenue/Drive and 41st Avenue has $8.475M of matching funds programmed for construction, which includes $6.835M of STIP and $1.64M of HIP funds. The approved 5-Year Plan for Measure D also included $4 Million in Measure D programmed for construction, but staff recommends reprogramming those funds to serve as matching funds for the Highway 1 Aux/BOS project between Bay/Porter and State Park Drive for cash flow purposes. The Bay/Porter to State Park project’s construction phase is in a later year. The Soquel to 41st Avenue project is scheduled be construction-ready in the fall of this year, and if granted the requested grant funds to fully fund the project in FY 21/22, construction can begin as early as spring 2021.

The Highway 1 Aux/BOS project between the Bay/Porter and State Park Drive interchanges, which will include the Mar Vista bicycle and pedestrian overcrossing, has $4.9M of STIP funds programmed for construction. Staff recommends programming $10 Million in Measure D-Highway funds to this project to provide a competitive match. The matching funds will give the project a better opportunity for funding in cycle 2. Even with the current economic impacts, staff estimates that the Measure D funding will be available without the need to issue revenue bonds in
the proposed year of programming. This project is scheduled to obtain environmental clearance in the spring of 2021, with final design completing in the fall of 2022. If granted the requested funds to fully fund the project in FY 22/23, construction can begin as early as 2023.

The Soquel Avenue/Drive signal, bicycle, and pedestrian improvements has $5.755M of local County of Santa Cruz funds available for construction. The project has preliminary engineering and environmental documentation complete, with final design scheduled for completion in early 2023. If granted the requested SCCP/LPP funds to fully fund the project in FY 22/23, construction will begin as early as 2023.

**Staff recommends the RTC approve the attached resolution (Attachment 2) to program matching funds for the Highway 1 projects by amending the 5 year plan for the Highway Corridor Investment Category of Measure D, included as Attachment 5.** The County of Santa Cruz Board of Supervisors plan to commit match funds for Soquel Avenue/Drive projects by adopting a resolution at a future board meeting.

**FISCAL IMPACT**

A commitment of matching funds is required by the CTC as part of the application for SCCP and LPP competitive funds. An amendment to the 5-year plan for the Measure D Highway Corridors program is proposed, which includes adjustments to the Measure D-Highway funds used as a match for construction of the two highway projects included as Attachment 5. The proposed revision to the 5-year plan removes $4 Million from the Highway 1-Soquel to 41st Avenue project and adds $10 Million to the Highway 1-Bay/Porter to State Park project. The net $6 Million in programming represents Highway 1 programming capacity that had not yet been used in previously approved Five-Year Plans. The proposed programming is supported by the RTC’s adjusted Cash Flow Model, which considers anticipated reduced revenues to the current economic conditions.

The programming of Measure D funds serves as a commitment of matching funds for the competitive grant application. Once the CTC adopts the program for cycle 2 of SCCP and LPP, if successful in funding the project, staff will return with future cooperative agreements and budget actions as required to deliver the construction components of the projects.

The FY19/20 and 20/21 budgets will need to be amended to account for the programming changes and required changes to combine the Mar Vista bicycle and pedestrian overcrossing into the Highway 1 Aux/BOS project between Bay/Porter and State Park.

**SUMMARY**

Staff recommends combining the proposed Highway 1 - Mar Vista Bicycle and Pedestrian overcrossing project into the Highway 1 – Bay/Porter to State Park Drive Aux/BOS project to increase efficiencies, speed delivery, and best position the project for grant opportunities. Staff recommends amending the Measure D – Highway Five-Year Plan to account for current economic conditions, while providing
a strategic match to future grant applications for cycle 2 of both the competitive LPP and SCCP for a corridor project that would include a Highway 1 - hybrid bus on shoulder auxiliary lane project from Morrissey Boulevard to State Park Drive, Highway 1 bicycle and pedestrian overcrossings at Chanticleer Avenue and Mar Vista Drive, and transit and bicycle improvements along Soquel Avenue/Drive.

**ATTACHMENTS**

1. Resolution – Mar Vista Overcrossing
2. Resolution – SB1 Cycle 2 SCCP & LPP Match
3. Draft Amendment 1 to Professional Engineering Services Agreement with Mark Thomas & Company, Inc., Scope of Services and Cost Proposal
4. Draft Amendment 1 to Caltrans Cooperative Agreement for the Highway 1 Bay-Porter/State Park Aux Lanes and Bus on Shoulder Project PA/ED phase.
5. Revised 5 year Program of Projects - Highway Corridor Investment Category
RESOLUTION NO.

Adopted by the Santa Cruz County Regional Transportation Commission on the date of May 7, 2020
on the motion of Commissioner duly seconded by Commissioner

A RESOLUTION AUTHORIZING THE EXECUTIVE DIRECTOR TO AMEND THE AGREEMENT
(NO. TP2047-01) WITH MARK THOMS & COMPANY, INC. FOR ENGINEERING SERVICES
AND NEGOTIATE AND AMEND THE COOPERATIVE AGREEMENT WITH CALTRANS TO
INCLUDE THE BICYCLE AND PEDESTRIAN OVERCROSSING AT MAR VISTA DRIVE IN THE
PROJECT APPROVAL/ENVIRONMENTAL DOCUMENT (PA/ED) PHASE FOR THE HIGHWAY 1
AUXILIARY LANES AND BUS ON SHOULDER PROJECT BETWEEN STATE PARK AND
BAY/PORTER; AMEND THE RTIP AND REQUESTING CTC AMEND THE STIP TO REPROGRAM
FUNDS; AND AMENDING THE RTC FY 19/20 and 20/21 BUDGETS

WHEREAS, Highway 1 is the most heavily traveled highway in Santa Cruz County, is
often congested and has safety concerns; and

WHEREAS, Highway 1 serves as the backbone for the movement of people and goods
through the majority of the urban area in Santa Cruz County, providing access to schools,
commercial, residential, and recreational destinations;

WHEREAS, the RTC authorized the Executive Director to negotiate and enter into a
Cooperative Agreement with Caltrans for the Highway 1 Auxiliary Lanes and Bus on
Shoulders from State Park to Bay/Porter Project Approval/Environmental Document
(PA/ED) phase;

WHEREAS; the RTC authorized the Executive Director to negotiate and enter into a
professional engineering services agreement with Mark Thomas & Company Inc. for the
Highway 1 Auxiliary Lanes and Bus on Shoulders from State Park to Bay/Porter Project
Approval/Environmental Document (PA/ED) phase;

WHEREAS, in February of 2020 the Commission adopted the Measure D Strategic
Implementation Plan (SIP) which included a delivery strategy for the Highway 1 Auxiliary
Lanes and Bus on Shoulders projects;

WHEREAS; in April 2020 the Project Development Team made up of Caltrans, County,
and RTC staff has recommended combining the bicycle and pedestrian overcrossing at Mar
Vista Drive into the Highway 1 Auxiliary Lanes and Bus on Shoulders from State Park to
Bay/Porter Project to reduce the overall cost and best position the improvements for
competitive grant opportunities;

THEREFORE, BE IT RESOLVED BY THE SANTA CRUZ COUNTY REGIONAL TRANSPORTATION
COMMISSION THAT:

1. The Executive Director is authorized to negotiate and amend the professional
engineering services agreement (No. TP2047-01) with Mark Thomas & Company for
an amendment value not to exceed $444,728, for a total not to exceed contract
amount of $2,274,638.

2. The Executive Director is authorized to issue amendments to the professional engineering services agreement for term and/or for compensation of up to $25,000 in total amendment value, provided there is enough budget capacity for proposed current year’s work and enough programming capacity for future year’s work.

3. The Chair is authorized to authorize the Executive Director to issue additional amendments to the professional engineering services agreement for compensation for up to $60,000 in total amendment value, provided there is enough approved budget capacity for proposed current year’s work and enough programming capacity for future year’s work.

4. The RTC hereby amends the Regional Transportation Improvement Program (RTIP) and requests that the California Transportation Commission (CTC) amend the State Transportation Improvement Program (STIP) to combine the pedestrian and bicycle overcrossing at Mar Vista Drive with the Highway 1 Auxiliary Lanes and Bus on Shoulders from State Park to Bay/Porter Project, including moving $445,000 in RSTPX for environmental review and $6,779,000 in STIP previously programmed for design, right-of-way and construction into the combined project;

5. The Executive Director is authorized to negotiate and amend the Cooperative Agreement with Caltrans for the PA/ED phase of the Highway 1 Auxiliary Lanes and Bus on Shoulders from State Park to Bay/Porter Project to include the pedestrian and bicycle overcrossing at Mar Vista Drive, subject to the final approval by legal counsel as to form.

6. The RTC budgets for FY19/20 and 20/21 are hereby amended to reflect the above actions.

AYES: COMMISSIONERS

NOES: COMMISSIONERS

ABSTAIN: COMMISSIONERS

__________________________
Bruce McPherson, Chair

____________________________
Guy Preston, Secretary
Distribution: RTC Fiscal, RTC PDM, RTC TIP, and Consultant Project Manager

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RESOLUTION NO.

Adopted by the Santa Cruz County Regional Transportation Commission
on the date of May 7, 2020
on the motion of Commissioner
duly seconded by Commissioner

A RESOLUTION AUTHORIZING THE EXECUTIVE DIRECTOR TO AMEND THE MEASURE D 5 YEAR PLAN FOR THE HIGHWAY CORRIDORS PROGRAM TO PROVIDE ADDITIONAL MATCHING FUNDS FOR SENATE BILL 1 (SB1) CYCLE 2 SOLUTIONS TO CONGESTED CORRIDORS PROGRAM AND LOCAL PARTNERSHIP PROGRAM

WHEREAS, Highway 1 is the most heavily traveled highway in Santa Cruz County, is often congested and has safety concerns; and

WHEREAS, Highway 1 serves as the backbone for the movement of people and goods through the majority of the urban area in Santa Cruz County, providing access to schools, commercial, residential, and recreational destinations;

WHEREAS, in February of 2020 the Commission adopted the Measure D Strategic Implementation Plan (SIP) which included a delivery strategy for the Highway 1 Auxiliary Lanes and Bus on Shoulders projects;

WHEREAS, the California Transportation Commission programmed State Transportation Improvement Program (STIP) and Highway Infrastructure Program (HIP) funds to projects along Highway 1 which will serve as matching funds for SB1 Cycle 2 Solutions to Congested Corridor Program and Local Partnership competitive program;

WHEREAS; in January of 2020 the California Transportation Commission adopted the guidelines for cycle 2 of the Solutions to Congested Corridors Program; and

WHEREAS; in March 2020 the California Transportation Commission adopted the guidelines for cycle 2 of the Local Partnership Program;

THEREFORE, BE IT RESOLVED BY THE SANTA CRUZ COUNTY REGIONAL TRANSPORTATION COMMISSION THAT:

1. The Measure D 5 year Program of Projects for the Highway Corridors category is hereby amended as shown in Exhibit 1.

AYES: COMMISSIONERS

NOES: COMMISSIONERS

ABSTAIN: COMMISSIONERS

24-12
Exhibit 1 – Amended Measure D – Highway Program Five-Year Plan

Distribution: RTC Fiscal, RTC PDM, RTC TIP, and Consultant Project Manager
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Effective _____________, 2020, the parties hereto agree to amend that certain Agreement No. TP2047-01 dated July 18, 2019, by and between the SANTA CRUZ COUNTY REGIONAL TRANSPORTATION COMMISSION ("COMMISSION") and MARK THOMAS & COMPANY, INC., ("CONSULTANT") as follows:

1. Amend Article I. (entitled “INTRODUCTION”) sub-article B to read as follows:

   B. The work to be performed under this AGREEMENT is described in Article III Statement of Work (Attachment A, adding scope of services for PA/ED activities for the bicycle and pedestrian overcrossing at Mar Vista Drive as Attachment A-1) and the approved CONSULTANT’s Cost Proposal dated April 24, 2020. The approved CONSULTANT’s Cost Proposal is attached hereto (Attachment B) and incorporated by reference. If there is any conflict between the approved Cost Proposal and this AGREEMENT, this AGREEMENT shall take precedence.

2. Amend Article III. (entitled “STATEMENT OF WORK”) to read as follows:

   Refer to Attachment A, adding scope of services for PA/ED activities for the bicycle and pedestrian overcrossing at Mar Vista Drive as Attachment A-1 for the scope of services and Attachment C for the project schedule.

3. Amend Article V. (entitled “ALLOWABLE COSTS AND PAYMENTS”) sub-articles C, D, and I to read as follows:

   C. In addition to the allowable incurred costs, COMMISSION will pay CONSULTANT a fixed fee of $195,919.10. The fixed fee is nonadjustable for the term of the AGREEMENT, except in the event of a significant change in the scope of work and such adjustment is made by AGREEMENT amendment.

   D. Transportation and subsistence expenses claimed for reimbursement shall not exceed the rates authorized to be paid rank and file STATE employees under current CalHR rules or to employees under current U.S. General Service Administration rules.

   I. The total amount payable by COMMISSION including the fixed fee shall not exceed $2,274,638.

All other provisions of said Agreement shall remain the same.

SANTA CRUZ COUNTY REGIONAL TRANSPORTATION COMMISSION

By__________________________________  By___________________________________
Guy Preston, Executive Director Zach Siviglia
Mark Thomas & Company, Inc.

Approved as to form:

Steve Mattas, COMMISSION Counsel

ATTACHMENT 3
Distribution: RTC Fiscal
RTC Project Manager
Consultant Project Manager

Attachments: Attachment A-1 Scope of Services for PA/ED of the bicycle and pedestrian overcrossing at Mar Vista Drive
Attachment B Revised Cost Proposal including compensation added by Amendment 1

LAPM Forms: Exhibit 10-K for LSA
Exhibit 10-O2
Exhibit 10-H1 for Prime and Subconsultants
SCAPE OF WORK

Firm Legend

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<td>MRW</td>
<td>Monument Right of Way</td>
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Task 1 – Preliminary Design

1.1 Project Management | MT, ICF
Provide project management services for control and administration of the work during the contract. Implement quality control procedures, maintain project filing system, submit invoices and progress reports, and monitor subconsultant activities. Provide overall team direction, budget management, and client/agency coordination. Prepare a project schedule utilizing MS Project software and submit for County concurrence. Environmental Project Management by the ICF Project Manager for a duration of 12 months.

Deliverables

- Project Schedule with monthly updates
- Monthly Invoices and Progress Reports
- Agency Correspondence

1.2 Project Meetings | MT TEAM
Organize and conduct one “re-kickoff” PDT meeting (in-person, including County and Caltrans staff), PDT meetings (five in-person, twelve (12) teleconference), and project progress/review meetings (four teleconference). Prepare agendas and sign-in sheets and distribute minutes.

It is assumed that the ICF Project Manager will attend up to two (2) project meetings and that Mark Thomas and Company (Mark Thomas) will prepare the minutes for these meetings. Additionally, six (6) conference calls are assumed.

Deliverables

- Meeting Agendas and Minutes

1.3 Data Collection and Review and Site Visits | MT TEAM
Obtain and review available data and information for design of the project. The information will be sought from RTC, Santa Cruz County, Caltrans, and other government agencies or organizations. Data to be reviewed includes:

- Previous reports or documents related to the project
- Road as-built plans
- Utility Maps
- Hydraulic Analysis/Flood Records
- Aerial photos and digitized topography
- Survey control data
- Right-of-way/property owner information

Deliverables

- Field Notes and Digital Photos
1.4 Survey and Mapping | MT
Develop project base sheets using available Santa Cruz County GIS mapping, and aerial mapping from the RTC Highway 1 Auxiliary Lanes. Mapping will be supplemented with limited topographic survey information to confirm project site at the POC touch down locations. Existing information obtained from the data collection task will be used to update the base sheets. The base sheets, available in AutoCAD, will illustrate the existing right of way lines and utilities within the project area in order to provide a proper base for the development of the Project Report design.

Deliverable
- Project Base Map (AutoCAD format)

1.5 Utility and Agency Coordination | MT
Coordinate with the affected utility companies and property owners (Caltrans, Pacific Gas and Electric Company (PG&E), Soquel Creek Water District, Santa Cruz County Sanitation District, tele-communication companies, etc.) to make preliminary determination of ownership rights and relocation cost liabilities, and other information/requirements in compliance with PA&ED standards. Prepare an existing utility base map in AutoCAD format for identified utilities within the project limits. Identify any potential high priority utility impacts per Caltrans requirements. Determine if utility relocations should be considered. Any utility agreements, report of investigations, or notice to owners will prepared under a future contract.

1.6 Public Meetings | MT, ICF
Provide support to the County for one (1) community meeting and public outreach.

The community meeting will be held during the release of the draft environmental document. It is anticipated that this meeting will follow the format of an Open Forum Hearing, as described in the PDPM and consistent with Caltrans environmental procedures. Community members will be invited to attend at any time during open forum hours to view displays and presentations at various stations and ask questions. All comments will only be accepted via the designated mail address, email, and comment boxes, and through the court reporter provided by the County. Following the meeting, a debriefing teleconference will be conducted between the County, Caltrans, and consultant team to discuss written comments received and share information.

Draft public meeting and outreach materials, such as presentations, speaking outlines, handouts, exhibits, and meeting notices will be provided to the County and Caltrans in advance of the meeting for review and approval. In advance of the public meeting, a pre-planning teleconference will be conducted between the County, Caltrans, and consultant team to discuss the meeting materials and logistics. Based on feedback, meeting materials may be updated up to two (2) times before printing and/or posting. Finalized notices and email contact lists will be provided by the consultant to the County and Caltrans prior to any distribution or mailings.

It is assumed that the County will provide a meeting room at a public facility for the public meetings, maintain the mailing list for the project, distribute meeting notifications or mailings following approval by Caltrans.

Following the community meeting, the County will compile and prepare a Record of Public Meeting that summarizes where the meeting was held, who attended, what was discussed, and includes public meeting materials, as well as formal comments received via mail, email, or court reporter.

If requested by the County, a project webpage will be developed (as an additional service to be negotiated) to provide a summary of the project and allow visitors to sign up for the mailing list and submit general comments and questions. All web content will be reviewed and approved by the County and Caltrans prior to becoming live. During the official public and review and comment period for the draft environmental document, the draft environmental document will be posted on the official Caltrans website, and the
project website will link directly to the Caltrans site. Visitors to the project webpage will be directed to submit official comments on the draft environmental document in writing to the designated mail and email addresses. The consultant will provide mailing list sign-ups to supplement the County’s mailing lists prior to Caltrans’ review and approval of the mailing list for the distribution of notices, as above.

**Deliverables**
- Meeting materials (e.g., presentation, exhibits, handouts)
- Meeting notification graphics
- [Optional] Project webpage

### 1.7 Design Concept and Preliminary Geometric Plans (15%) | MT

Conduct a workshop with the County and Caltrans staff (concurrent with re-kickoff PDT Meeting) to confirm objectives and project constraints. Conduct alternatives analysis of up to two feasible alternatives for the overcrossing structure and approaches. After development of alternatives, conduct a workshop (anticipated to be electronic format) with the County and Caltrans to review and evaluate alternatives. The goal of this workshop will be to identify a single build alternative to be carried through PA&ED. For the purposes of this scope, it is assumed that a single alternative will be identified, and if not, development of a second alternative will be considered optional scope, to be specifically authorized by the County.

Develop 15% conceptual drawing set for the preferred alternative in accordance with Caltrans applicable design standards and guidelines for the PA&ED phase. Provide a drawing showing:
- Embankments, retaining walls, supports, main span and approach structure geometrics (in plan)
- Geometric horizontal and vertical alignment and clearances including falsework considerations
- Utilities, property lines, environmentally restricted areas

Develop conceptual-level cost estimates.

Review the initial design to confirm that the Highway Design Manual (HDM) requirements are adhered to. If design exceptions are required, they will be highlighted and discussed with Caltrans to confirm the fact sheets will be considered for approval. The termini areas and geometrics will be evaluated in consideration of potential impacts and continuous and safe circulation of the users.

**Deliverables**
- Preliminary Alternatives
- 15% Drawing of Preferred Alternative
- Preliminary Design Exception List
- Conceptual Cost Estimates

### 1.8 Environmental Documentation and Reports | ICF, SWCA, WC, MT

Based on discussions with the County, RTC, and Caltrans the Mar Vista Bicycle and Pedestrian Overcrossing Project (proposed project) will be added into the EIR/EA for the State Route 1 (SR 1) Auxiliary Lanes State Park to Bay Avenue/Porter Street Project.

#### 1.8.1 ENVIRONMENTAL TECHNICAL STUDIES

ICF assumes that we will modify the existing technical studies produced for the SR 1 Auxiliary Lanes State Park to Bay Avenue/Porter Street Project to incorporate the Mar Vista Bicycle and Pedestrian Overcrossing Project (proposed project). ICF will expand the current study area for SR 1 Auxiliary Lanes State Park to Bay Avenue/Porter Street Project to add in the proposed project area and any potential impacts from the proposed project.

The following technical studies and memoranda are anticipated, and will be subject to the review and approval by Caltrans environmental specialists in the respective subject areas: Traffic Technical

All work will be in accordance with Caltrans’ Standard Environmental Reference (SER). The studies will be prepared by experienced staff that meet the qualification requirements in the SER.

For this scope of work, the technical studies for which a specific scope of work has been included have been assumed based on a review of existing project information. If additional studies are identified during the environmental phase of the project a scope of work and cost will be submitted for approval prior to their initiation. The deliverable for each technical study are as follows.

The following assumptions have been made with regard to the technical studies that are to be prepared.

• A maximum of one build alternative will be evaluated.
• Relocations will not be required.

Traffic Technical Memorandum. Conduct a parking survey to quantify the number of parking spaces that would be removed by the proposed project. This will include one site visit to count cars parked in the study area. Prepare a technical memorandum that presents the methodology and results of the parking study; quantifies the number of parking spaces to be temporarily and permanently removed by the project; describes the anticipated construction-phase impacts to motor vehicle, pedestrian, and bicycle traffic; and includes appropriate construction-phase traffic control measures. The discussion of construction-phase traffic control measures will be based on the Traffic Management Plan prepared for the Project Report. The Traffic Technical Memorandum is anticipated to include a brief, qualitative statement, based on currently available information such as countywide active transportation planning documents, discussing the project’s potential to reduce, or have no impact on, VMT. The qualitative statement would refer to Section 15064.3 of the CEQA guidelines, which states that transportation projects that reduce, or have no impact on, VMT should be presumed to cause a less than significant transportation impact. This task includes the preparation of a location map and project description to be used in multiple technical studies. This task specifically excludes quantitative traffic analyses.

Noise Technical Memorandum. Because the project would not affect any lanes or traffic noise on SR-1, it would not be considered a Type I project and a Noise Study Report would not be required. For evaluation of Noise impacts. ICF will prepare a Noise Technical Memorandum that identifies sensitive receptors and provides a quantitative analysis of construction noise, based on the techniques and equipment to be used during construction. The construction analysis will also include a discussion of any proposed pile driving and the potential impacts of construction work anticipated to occur at night. ICF will also propose avoidance, minimization and/or mitigation measures to address the noise impacts that may occur during project construction. The memorandum will also address the potential for operational impacts related to noise that may be generated by users of the bicycle/pedestrian overcrossing; however, ICF assumes that operational noise will be inconsequential relative to highway noise on SR-1 and will be addressed qualitatively. The memorandum will reference applicable guidelines included in 23 CFR 772, Procedures for Abatement of Highway Traffic Noise and Construction Noise.

Air Quality Assessment Report. For evaluation of air quality impacts, ICF will update the AQAR for the Highway 1 improvements that identifies sensitive receptors, attainment status of the project area for criteria air pollutants, and applicable requirements of the MBARD; and provides a quantitative analysis of construction criteria air pollutant and greenhouse gas emissions, based on the techniques and equipment to be used during construction. The construction analysis will use the most recent version of the Road Construction Emissions Model. ICF will propose avoidance, minimization and/or mitigation measures to
address the air quality and greenhouse gas impacts that may occur during project construction. ICF assumes that the project would not result in a change to long-term operational emissions or mobile source air toxics. The memorandum will thus provide a qualitative analysis of greenhouse gas and energy impacts resulting from project operations. The AQAR will also discuss how active transportation is a part of the State’s strategy to achieve long-term climate change goals, and that the project would support those goals. Because Santa Cruz County is unclassifiable/attainment or attainment for all federal air quality standards, conformity does not apply, and a transportation conformity analysis is not required.

Initial Site Assessment (ISA). WRECO will submit an updated Draft ISA report to the RTC and Project Team, and then incorporate the comments received into the Final ISA report. The report will comply with the California Environmental Quality Act/National Environmental Policy Act requirements. If there are additional existing or potential RECs at the POC area, WRECO will provide recommendations in the ISA report amendment to conduct specific sampling at the Project area.

Recommended field sampling will be performed as part of the Preliminary Site Investigation (PSI) to confirm the presence or lack of suspected RECs.

Water Quality Assessment Report. WRECO will evaluate the water quality impacts of the added POC area and will recommend possible best management practices (BMP) or Project features to address water quality issues. WRECO will document our updated findings in the Water Quality Assessment Report.

Natural Environmental Study (NES). Our team assumes that the portion of the proposed Mar Vista Pedestrian Overcrossing that has not been previously evaluated during the 2020 field effort for the State Park to Bay-Porter segment would be minimal and the findings would be included in the Natural Environment Study that is currently under preparation.

Field surveys will be conducted consistent with the efforts taken during the 2020 field effort for the State Park to Bay-Porter segment. This includes baseline information on vegetation communities, habitat types, and plant and wildlife species in the study area. Resources identified during field surveys will be mapped with Global Positioning System (GPS)/Geographic Information System (GIS) and will be overlain on plans and/or aerials provided by Mark Thomas.

In order to comply with agency protocol for botanical resources, our team would utilize existing data from the Tier II State Park to Bay Avenue/Porter Street Aux Lanes. However, additional surveys would need to be conducted in 2020 to augment the existing data in order to cover a study area that is sufficient for all alternatives that may be considered moving forward. Reconnaissance wildlife surveys will be conducted concurrently with the botanical surveys and all plant and wildlife species (or evidence of, such as scat or tracks) will be identified to the lowest possible taxonomic level. No protocol-level surveys are anticipated.

Findings will be inserted within the existing working draft version of the NES for the Tier II State Park to Bay Avenue/Porter Street Aux Lanes. Additional time will be needed for coordination, revisions of graphics, and technical editing.

Visual Impact Assessment. Based on Caltrans’ Visual Impact Assessment Guide (available: http://www.dot.ca.gov/hq/LandArch/16_la_design/via/outlines/index.htm.), a Moderate Visual Impact Analysis (MVIA) will be required for the project. The analysis will be performed using methods and protocol developed by the Federal Highway Administration (FHWA) and adopted by the Caltrans and will utilize Caltrans’ MVIA template. ICF will utilize information developed for the SR 1 Auxiliary Lanes State Park to Bay Avenue/Porter Street Project to aid in preparing the visual impact analysis for this project. The analysis will define the project location and setting; describe visual resources and resource change and viewer groups and viewer responses associated with the project; and evaluate potential visual impacts caused by the proposed project, including any proposed mitigation measures to reduce impacts.

Community Impact Assessment (CIA). Our team will revise the existing working draft version of the CIA in
Consistency

This or growth an preparation include work not does through It consultation encampments. to overcrossing at attracting
Caltrans, the a include discussion homelessness in the local area, and the potential for the new overcrossing structure to attract homeless encampments. As necessary, appropriate mitigation measures will be developed to reduce impacts through consultation with design engineers. It is assumed that the CIA will not address growth or economics. This scope of work does not include the preparation of an application for federal Coastal Consistency Certification or Determination.

Archaeological Study Report (ASR). Prepare, for Caltrans approval, an Area of Potential Effects (APE) map for archaeological resources, which will encompass the area of direct impact, where actual ground disturbance will occur. A record search will be conducted at the NortICFst Information Center of the California Historical Resources Information System at Sonoma State University to address the possibility that new information may be available since cultural studies were completed for the SR 1 Tier I Project EIR/EA. The record search will include records within a half-mile radius of the project. This task will include contacting the Native American Heritage Commission for a search of the sacred lands files and a list of tribal contacts, and sending request for information letters to those tribal contacts listed. It is assumed that no resources requiring discussion in the ASR would be identified, and that Caltrans will conduct tribal coordination in accordance with AB 52 requirements. Meetings with tribal representatives are not included in this scope of work. Qualiﬁed personnel will conduct a pedestrian survey of areas not previously surveyed, which is assumed to include only the area that was subject to biological studies conducted for the Highway 1 improvements. Prepare the ASR in accordance with the Caltrans SER, including information from the Tier I Project’s ASR as appropriate, updated with newly identiﬁed information.

Given the potential for ground disturbance outside of the previously studied area and the antiquity of the prior studies, our team will review the previously prepared cultural resources documentation and (if necessary) conduct an updated California Historical Resources Information System (CHRIS) records search for the area of potential effects (APE) and a 0.25-mile radius at the Northwest Information Center at Sonoma State University, which houses records for Santa Cruz County. The results of the records search and the review of background documentation will be summarized in the existing working draft ASR currently being prepared for the State Park to Bay Avenue/Porter Street Aux Lanes, which will be submitted to Caltrans for review and approval in April 2020.

Historic Resources Evaluation Report (HRER). With regard to built environment resources, additional buildings affected by the Project may be 50 years or older at the time of construction and are required to be evaluated during environmental review. To satisfy the need for additional building surveys, our team will review the previously written and Caltrans-accepted Historic Resources Evaluation Report (HRER) for the Tier I/Tier II EIR-EA-FONSI, and recent 2020 work within the Tier II State Park to Bay Avenue/Porter Street Aux Lanes Project. These documents outline the property ages of each built environment resource that intersect the previously-established Indirect (built environment) APE (I-APE). Any buildings within the I-APE that have come of age (defined as 50 years are older) during the last nine years would require evaluation for NRHP and CRHR eligibility. Our team will review these background materials alongside the Caltrans Section 106 Programmatic Agreement in order to identify any properties which can be exempted, and any that require intensive evaluation to assess their eligibility for listing on the NRHP or CRHR. Based on this review, our team will recommend an approach to address built environment resources to fulfill the requirements of CEQA, NEPA, and Section 106 pursuant to Caltrans guidelines. If any resources are identiﬁed which are
eligible for the CRHR or NRHP, a Finding of Effect document and/or support for preparation of a Memorandum of Agreement would be provided at additional cost.

**Historic Properties Survey Report (HPSR).** Upon completion of the ASR and HRER (if necessary), described above, our team will include the findings within the Caltrans Historic Property Survey Report (HPSR) according to Caltrans current guidance as specified in the SER. The HPSR is the overarching document that summarizes the results of the cultural resources investigation. It will include a project description; a description of the APE; details of coordination with Native American groups/individuals, as well as local government and historic groups; a summary of identification efforts; information regarding any properties identified within the APE; a list of attached documentation; and the findings of the study. Our team assumes that only one revision to the HPSR will be required. If the project APE is found to contain historic properties, as described under Section 106 of the NHPA, additional cultural studies would become necessary.

**Deliverables**
Draft and Final Technical Studies and Memoranda (electronic copies only) of the following technical studies/memoranda (electronic and 2 hard copies of each report):

- Traffic Technical Memorandum
- Noise Technical Memorandum
- Air Quality Technical Memorandum
- Initial Site Assessment (ISA)
- Water Quality Assessment Technical Memorandum
- Natural Environmental Study (NES)
- Visual Impact Assessment
- Community Impact Assessment
- Archaeological Study Report (ASR)
- Historic Resources Evaluation Report (HRER)
- Historic Properties Survey Report (HPSR)

**TASK 1.8.2 INCORPORATE TECHNICAL STUDIES INTO DRAFT EIR/EA AND ADDRESS COMMENTS**

Upon Caltrans approval of the technical studies, ICF will incorporate the information into the SR 1 Auxiliary Lanes State Park to Bay Avenue/Porter Street Project Draft EIR/EA. The same number of reviews by the County and Caltrans that are assumed in the scope of work for the SR 1 Auxiliary Lanes State Park to Bay Avenue/Porter Street Project are assumed in this scope of work. ICF will address County and Caltrans comments on the proposed project sections of the Draft EIR/EA.

**Deliverable**
- Same deliverables as assumed in the SR 1 Auxiliary Lanes State Park to Bay Avenue/Porter Street Project scope of work

**1.9 Design Studies and Reports | MT, PC**

Prepare and update the following reports in accordance with Caltrans guidelines for inclusion into the Project Report (PR):

**Preliminary Foundation Report (PFR).** Review geologic maps, previous geotechnical studies including previously performed explorations for SR1 Auxiliary Lanes project and prepare a Preliminary Foundation Report in accordance with Section 2-3 of the Caltrans OSFP Information and Procedures guide. Submit PFR as part of Bridge Advance Planning Study Package for County and Caltrans review and approval.

**Storm Water Data Report (SWDR).** Mark Thomas will revise the SWDR prepared for the Highway 1 improvements to include impacts from the Mar Vista POC on water quality, and assess minimization measures, recommended best management practices (BMPs), erosion control measures, and a preliminary
hydro-modification assessment to determine the magnitude of the impacts and the need for minimization. Perform a drainage assessment and analysis for the project area to identify significant issues, address flood plains and establish general drainage requirements. This initial assessment is critical to prepare the SWDR. The SWDR will include Treatment Best Management Practices Checklists. Assessment and conformance to water quality issues is a required project element associated with the preparation of the SWDR, based on input provided by Caltrans D5 Environmental and the County (1/22/2020), the following has been assumed:

- Based on the MS4 (County) and Caltrans NPDES permits with the RWQCB related to water quality exemptions (non-vehicular, capacity-enhancing bicycle/pedestrian improvement projects), thresholds of disturbed soil areas (DSA), and thresholds of new/reworked impervious areas, post construction stormwater quality treatment BMPs will not be required.
- Although the project does currently reside in CT D5’s “Significant Trash Generating Area,” there are no drainage facilities within the immediate project limits along Highway 1, and the project assumes it would not seek to incorporate trash capture BMPs.

Although the SWDR will assess these issues, including coordination with the County’s MS4 Stormwater Manager for work outside of Caltrans right of way, changes to these water quality assumptions resulting in the need to analyze, design, and revise project elements associated with the PA&ED process in order to integrate post-construction stormwater quality BMPs, is excluded from this scope of services.

**Location Hydraulic Study (LHS).** Based on WRECO’s preliminary qualitative assessments no floodplain encroachments or impacts are anticipated as a result of the POC area. Therefore, WRECO will update the Location Hydraulic Study Report to document the investigation and summarize the results.

**Transportation Management Plan (TMP).** Staging requirements for the project will be developed for inclusion into the TMP prepared for the Highway 1 improvements. An assessment of the construction traffic impacts and mitigation will be conducted. Elements will be considered to mitigate traffic impacts during construction, the TMP checklist will be reviewed and completed for the Project. The documents will be provided for Caltrans review and to confirm traffic management strategies, traffic detours, lane closures, etc.

**Risk Management Plan (RMP).** As a verification of the reliability of the schedule and cost, a risk analysis will be conducted and incorporated into the risk management plan prepared for the Highway 1 improvements. The risk management plan will be a “live” document that is updated continuously throughout the life of the project. The risk management plan will highlight project components with schedule impacts sensitive to changes in the assumptions in the PR Document, such as right of way acquisition and utility relocations.

**Deliverables**
Draft and Final copies of the following reports:
- Preliminary Foundation Report
- Storm Water Data Report
- Location Hydraulic Study
- Transportation Management Plan
- Risk Management Plan

**1.10 Design Standard Decision Document | MT**
Review the developed geometrics of the proposed overcrossing for nonstandard features and prepare Design Standard Decision Document (DSDD), for those standards that cannot be met, for Caltrans review and approval. As part of this task, Design Information (DIB) 78 Design Checklist, and DIB 82-06, Pedestrian Accessibility Guidelines for Highway Projects, will be reviewed for HDM compliance. For the DSDD data, exhibits, and preliminary details will be provided to support the non-standard feature and to obtain Caltrans approval. It is assumed DSDD will be prepared for a maximum of four non-standard features.
Deliverables

1.11 Right-of-Way Data Sheets | MRW
Review existing R/W maps and tax assessor data to identify affected and/or adjacent properties. Prepare R/W Data Sheet and R/W cost estimate for up to three property takes or TCE’s. The R/W Data Sheet will be signed by authorized R/W Agent and included as an attachment to the Project Report.

Deliverables

1.12 Bridge Advance Planning Study (APS) | MT
Prepare Bridge Advance Planning Study (APS) in accordance with Section 3-2 of the Caltrans OSFP Information and Procedures Guide for the preferred alternative. Controlling issues such as vertical and horizontal clearance limitations, soil conditions, construction space limitations, environmental and site constraints, public input, other considerations will be evaluated. Prepare and submit APS package for County and Caltrans review and approval.

Deliverables

1.13 Preliminary Plans | MT
Refine 15% concept design selected as the build alternative in Task 1.7 and prepare preliminary design plans based on community and agency input. Plans will include the typical cross sections, profiles including superelevations, and layout drawings of the selected alternative. The work will be detailed to an appropriate level to perform the required evaluations and prepare accurate cost estimates for the Project Report.

Deliverables

1.14 Preliminary Cost Estimates | MT
Prepare preliminary cost estimate for the preferred alternative including construction, right of way, utility relocation, and support costs for the preferred alternative (only) to establish funding boundaries for the project. Costs will be based on available mapping and design data and individual cost items quantified. The preliminary cost estimate will be prepared using the Caltrans’ Standard format for Project Planning Cost Estimate (11-page format). Prepare and submit Project Planning Cost Estimate package for the County and Caltrans review and approval.

Deliverables

Task 2 – Approval Documents

2.1 Prepare and Approve Project Report and Final Environmental Documents | MT, ICF

TASK 2.1.1 PREPARE PROJECT REPORT

Upon completion of Task 1 services, Mark Thomas will incorporate the Mar Vista POC design elements into the Draft Project Report prepared for the Highway 1 improvements for review and comment. The items completed in Task 1 will be used and the following are addressed and noted in the Draft Project Report:

- Present the project’s goals and general information including describing the viable alternatives
- Recommend that the Draft Environmental Document be publicly circulated to obtain feedback
- Provide background information to include history, community interaction and existing conditions
- Identify the purpose and need of the Project
Discuss the viable alternatives including a brief description and explanation of rejected alternatives
Incorporate environmental findings and recommendations
Identify utilities within the right of way for compliance to current Caltrans standards
Discuss the evaluations that were conducted
Note considerations such as permitting, cooperative agreements and staging that may affect the approval of the project

Following review and receipt of comments from Caltrans, the participating agencies and interested parties and in conjunction with the public circulation period of the draft environmental document; MT will organize, attend, and lead a JRT (Joint Resolution Team) comment/response resolution meeting to discuss conflicting comments and obtain necessary clarifications and resolutions. Other design modifications will also consider balancing the requirements and sort out the needs of the stakeholders that may have been presented through the environmental process.

During the preparation of the final Project Report, closely monitor the progress of the critical activities and the progress of the final environmental document. These activities must be integrated into the overall design process. Comments from the Draft Project Report will be incorporated and the document updated to reflect the receipt of comments from the Draft Environmental Document and in consideration of the selected preferred alternative and in compliance with the requirements for a Final Project Report. After performing a final QA/QC review, assemble and distribute the Final Project Report for Caltrans final review. Any resulting minor comments will be incorporated. A finalized Project Report ready for signature will be available and ready when the final environmental document is signed.

Gaps or revisions in the design, caused by changes or pending design and policy decisions, will be specifically targeted prior to the submission of the final PR and will require immediate resolution. Closely monitor the progress of the critical activities and the progress of the final environmental document. These activities must be integrated into the overall design process. Assemble and distribute the FPR for County’s and Caltrans’ final review and incorporate resulting comments.

**Deliverable**
- Draft and Final Project Report

**TASK 2.1.2 RESPONSES TO COMMENTS AND FINAL EIR/EA**

ICF will address any public comments received related to the Mar Vista Bicycle and Pedestrian Overcrossing (proposed project) in the SR 1 Auxiliary Lanes State Park to Bay Avenue/Porter Street Project Final EIR/EA. Twenty (20) additional individual public comments are assumed. ICF will also make any necessary text revisions related to the proposed project in the SR 1 Auxiliary Lanes State Park to Bay Avenue/Porter Street Project Final EIR/EA.

**Deliverables**
- Same deliverables as assumed for the SR 1 Auxiliary Lanes State Park to Bay Avenue/Porter Street Project

**Optional Task 4 – SB1 Grant Funding Assistance**

If requested by the County, provide assistance to coordinate, develop, draft, revise, and submit a SB1 funding application. Efforts will include coordination, operational analysis, exhibits, and compilation of data/information to be inserted into the funding application. (This task will be negotiated separately if required.) Expected items include:

- California Life-Cycle Benefit/Costs Analysis (Active Transportation) [Using CAL B/C Method]
- Local Partnership Program (LPP) Application Package
- Project Programming Request (PPR)
Assumptions

- Following completion of Task 1.7, and prior to initiating Tasks 1.8-1.14, the PDT will eliminate one of the two alternatives currently under consideration and will identify only one build alternative to be reviewed during the PA&ED phase. It is further assumed that technical environmental studies, engineering design studies/reports, the Project Report, and the EIR/EA will evaluate only one build alternative and a no build alternative.
- The County will identify community stakeholders to be added to the mailing/notification list, will maintain contact/mailing lists, and perform all physical and digital distribution of mailings.
- The County will manage reservations, setup, AV equipment, and breakdown for public meetings.
- This scope of work does not include the preparation of an application for federal Coastal Consistency Certification or Determination.
- It is assumed that no resources requiring discussion in the Archaeological Survey Report (ASR) would be identified during the records search.
- Caltrans will conduct tribal coordination in accordance with AB 52 requirements.
- MT team members will not attend any meetings with tribal representatives.
- One map will be prepared that includes separate Area of Potential Effects (APE) boundaries for archaeological resources and historic architectural resources.
- In the event that a property is found eligible for the NRHP, and there would be an effect, the preparation of a Finding of Effect would be negotiated separately.
- Technical studies, reports, etc. will be reviewed and approved by Caltrans in two rounds (Draft and Final).
- Base sheets shall consist of available background information such as Santa Cruz County’s GIS mapping. Base sheets will be supplemented with right of way and utility information from available existing information.
- Potholing of utilities is excluded for this scope but can be provided as an optional service if the need becomes required to establish design limitations or costs.
- Landscape conceptual plans will not be required for this phase.
- Architectural, lighting, and aesthetic details will be developed during the PS&E phase.
- Printing of Design Studies and Reports identified in Task 1.9 will be limited to 5 copies of each.
- Soil sampling and testing will not be performed as part of the ISA work.
- The PSI is not included as a part of this scope and will be performed upon approval by the RTC and the Project Team if recommended in the ISA report amendment.
- The actual scope of the PSI fieldwork will depend on the findings and recommendations of the ISA.
- WRECO will use the EDR search that we have obtained for the State Route 1 Auxiliary Lanes (Bay Street/Porter Street to State Park Drive) Project.
## COST PROPOSAL FOR PROJECT SCOPE: SCCRTC-Hwy 1 Bay St/State Park PA&ED

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### 2.0 PROJECT MANAGEMENT

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### 3.0 DATA COLLECTION

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### 5.0 ENVIRONMENTAL DOCUMENTS

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### 6.0 TOTAL COSTS

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### 7.0 Subtotals

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### Appendix A: Summary of Project Personnel

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<tr>
<th>Position</th>
<th>Principal/Project Manager</th>
<th>Sr. Project Manager</th>
<th>Sr. Project Engineer</th>
<th>Sr. Technical Engineer</th>
<th>Project Engineer</th>
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Work Description

CONSTRUCT NORTHBOUND AND SOUTHBOUND AUXILIARY LANES BETWEEN THE BAY STREET/PORTER AVENUE AND STATE PARK DRIVE INTERCHANGES ON HIGHWAY 1, REHABILITATE FREEWAY PAVEMENT, DRAINAGE FACILITIES, CONSTRUCT RETAINING WALLS AND SOUND WALLS, INCLUDING BUS ON SHOULDER IMPROVEMENTS, PEDESTRIAN AND BICYCLE OVERCROSSING AT MAR VISTA DRIVE, AND THE REPLACEMENT OF THE CAPITOLA AVENUE OVERCROSSING WITH BICYCLE AND PEDESTRIAN FACILITIES ON CAPITOLA AVENUE IN BOTH DIRECTIONS AT THE NEW BRIDGE

Contact Information

CALTRANS

Luis Duazo, Project Manager
50 Higuera Street
San Luis Obispo, CA 93401
Office Phone: (805) 542-4678
Mobile Phone: (805) 441-3775

SANTA CRUZ COUNTY REGIONAL TRANSPORTATION COMMISSION

Sarah Christensen, Engineering Manager
1523 Pacific Avenue
Santa Cruz, CA 95060
Office Phone: (831) 460-3204
Email: schristensen@sccrtc.org
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COOPERATIVE AGREEMENT

This AGREEMENT, effective on ______________________________, is between the State of California, acting through its Department of Transportation, referred to as CALTRANS, and:

Santa Cruz County Regional Transportation Commission, a public corporation/entity, referred to hereinafter as SCCRTC.

An individual signatory agency in this AGREEMENT is referred to as a PARTY. Collectively, the signatory agencies in this AGREEMENT are referred to as PARTIES.

RECITALS

1. PARTIES are authorized to enter into a cooperative agreement for improvements to the State Highway System per the California Streets and Highways Code, Sections 114 and 130.

2. For the purpose of this AGREEMENT, construct northbound and southbound auxiliary lanes between the Bay Street/Porter Avenue and State Park Drive interchanges on Highway 1, rehabilitate freeway pavement, drainage facilities, construct retaining walls and sound walls, including bus on shoulder improvements, pedestrian and bicycle overcrossing at Mar Vista Drive, and the replacement of the Capitola Avenue Overcrossing with bicycle and pedestrian facilities on Capitola Avenue in both directions at the new bridge will be referred to hereinafter as PROJECT. The PROJECT scope of work is defined in the project initiation and approval documents (e.g. Project Study Report, Permit Engineering Evaluation Report, or Project Report).

3. All obligations and responsibilities assigned in this AGREEMENT to complete the following PROJECT COMPONENT will be referred to hereinafter as WORK:

   • PROJECT APPROVAL AND ENVIRONMENTAL DOCUMENT (PA&ED)

Each PROJECT COMPONENT is defined in the CALTRANS Workplan Standards Guide as a distinct group of activities/products in the project planning and development process.
4. The term AGREEMENT, as used herein, includes this document and any attachments, exhibits, and amendments.

This AGREEMENT is separate from and does not modify or replace any other cooperative agreement or memorandum of understanding between the PARTIES regarding the PROJECT.

PARTIES intend this AGREEMENT to be their final expression that supersedes any oral understanding or writings pertaining to the WORK. The requirements of this AGREEMENT will preside over any conflicting requirements in any documents that are made an express part of this AGREEMENT.

If any provisions in this AGREEMENT are found by a court of competent jurisdiction to be, or are in fact, illegal, inoperative, or unenforceable, those provisions do not render any or all other AGREEMENT provisions invalid, inoperative, or unenforceable, and those provisions will be automatically severed from this AGREEMENT.

Except as otherwise provided in the AGREEMENT, PARTIES will execute a written amendment if there are any changes to the terms of this AGREEMENT.

PARTIES agree to sign a CLOSURE STATEMENT to terminate this AGREEMENT. However, all indemnification, document retention, audit, claims, environmental commitment, legal challenge, maintenance and ownership articles will remain in effect until terminated or modified in writing by mutual agreement or expire by the statute of limitations.

5. The following work associated with this PROJECT has been completed or is in progress:

- CALTRANS completed the Project Initiation Document on August 12, 2002.

6. In this AGREEMENT capitalized words represent defined terms, initialisms, or acronyms.

7. PARTIES hereby set forth the terms, covenants, and conditions of this AGREEMENT.
RESPONSIBILITIES

Sponsorship

8. A SPONSOR is responsible for establishing the scope of the PROJECT and securing the financial resources to fund the WORK. A SPONSOR is responsible for securing additional funds when necessary or implementing PROJECT changes to ensure the WORK can be completed with the funds obligated in this AGREEMENT.

PROJECT changes, as described in the CALTRANS Project Development Procedures Manual, will be approved by CALTRANS as the owner/operator of the State Highway System.

9. SCCRTC is the SPONSOR for the WORK in this AGREEMENT.

Implementing Agency

10. The IMPLEMENTING AGENCY is the PARTY responsible for managing the scope, cost, schedule, and quality of the work activities and products of a PROJECT COMPONENT.

- SCCRTC is the Project Approval and Environmental Document (PA&ED) IMPLEMENTING AGENCY.

PA&ED includes the completion of the Final Environmental Document and the Project Report (documenting the project alternative selection).

11. The IMPLEMENTING AGENCY for a PROJECT COMPONENT will provide a Quality Management Plan (QMP) for the WORK in that component. The QMP describes the IMPLEMENTING AGENCY’s quality policy and how it will be used. The QMP will include a process for resolving disputes between the PARTIES at the team level. The QMP is subject to CALTRANS review and approval.

12. Any PARTY responsible for completing WORK will make its personnel and consultants that prepare WORK available to help resolve WORK-related problems and changes for the entire duration of the PROJECT including PROJECT work that may occur under separate agreements.

Funding

13. The WORK does not use funds administered by CALTRANS. PARTIES will amend this AGREEMENT should this condition change.
14. Each PARTY is responsible for the costs they incur in performing the WORK unless otherwise stated in this AGREEMENT.

**CALTRANS’ Quality Management**

15. CALTRANS, as the owner/operator of the State Highway System (SHS), will perform quality management work including Independent Quality Assurance (IQA), environmental document quality control, and owner/operator approvals for the portions of WORK within the existing and proposed SHS right-of-way.

16. CALTRANS’ Independent Quality Assurance (IQA) efforts are to ensure that SCCRTC’s quality assurance results in WORK that is in accordance with the applicable standards and the PROJECT’s quality management plan (QMP). An IQA does not include any efforts necessary to develop or deliver WORK or any validation by verifying or rechecking WORK.

When CALTRANS performs IQA it does so for its own benefit. No one can assign liability to CALTRANS due to its IQA.

17. CALTRANS, as the owner/operator of the State Highway System, will approve WORK products in accordance with CALTRANS policies and guidance and as indicated in this AGREEMENT.

18. Per National Environmental Policy Act (NEPA) assignment and California Environmental Quality Act (CEQA) statutes, CALTRANS will perform environmental document quality control and NEPA assignment review procedures for environmental documentation. CALTRANS quality control and quality assurance procedures for all environmental documents are described in the NEPA Assignments memorandums, available at http://www.dot.ca.gov/ser/memos.htm#LinkTarget_705. This also includes the independent judgement analysis and determination under CEQA that the environmental documentation meets CEQA requirements.

19. SCCRTC will provide WORK-related products and supporting documentation upon CALTRANS’ request for the purpose of CALTRANS’ quality management work.
20. SCCRTC, including any employee, agent, consultant or sub-consultant retained by the
SCCRTC, shall implement uniform document control policies necessary to retain all records
and electronically stored information associated with the WORK, including but not limited to
those records identified in California Public Resources Code, Section 21167.6, and including
email and attachments, in a manner consistent with the CALTRANS Uniform Filing System
and the “Final Caltrans Environmental Records Retention Policy”, available
records, along with an index of the records, shall be provided to CALTRANS within 60 days
of CALTRANS’ written request.

21. The cost of CALTRANS’ quality management work is to be borne by CALTRANS.

CEQA/NEPA Lead Agency

22. CALTRANS is the CEQA Lead Agency for the PROJECT.

23. CALTRANS is the NEPA Lead Agency for the PROJECT.

Environmental Permits, Approvals and Agreements

24. SCCRTC will comply with the commitments and conditions set forth in the environmental
documentation, environmental permits, approvals, and applicable agreements as those
commitments and conditions apply to SCCRTC's responsibilities in this AGREEMENT.

25. Unless otherwise assigned in this AGREEMENT, the IMPLEMENTING AGENCY for a
PROJECT COMPONENT is responsible for all PROJECT COMPONENT WORK associated
with coordinating, obtaining, implementing, renewing, and amending the PROJECT permits,
agreements, and approvals whether they are identified in the planned project scope of work or
become necessary in the course of completing the PROJECT.

26. It is expected that the PROJECT requires the following environmental permits/approvals:

<table>
<thead>
<tr>
<th>ENVIRONMENTAL PERMITS/REQUIREMENTS</th>
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<tbody>
<tr>
<td>Coastal Development Permit, California Coastal Commission</td>
</tr>
<tr>
<td>1602 California Department of Fish and Wildlife</td>
</tr>
<tr>
<td>404, US Army Corps Of Engineers</td>
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<tr>
<td>401, Regional Water Quality Control Board</td>
</tr>
<tr>
<td>U. S. Fish and Wildlife Service (Section 7 BO)</td>
</tr>
</tbody>
</table>
Project Approval and Environmental Document (PA&ED)

27. As the PA&ED IMPLEMENTING AGENCY, SCCRTC is responsible for all PA&ED WORK except those activities and responsibilities that are assigned to another PARTY and those activities that are excluded under this AGREEMENT.

28. CALTRANS will be responsible for completing the following PA&ED activities:

<table>
<thead>
<tr>
<th>CALTRANS Work Breakdown Structure Identifier (If Applicable)</th>
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<tbody>
<tr>
<td>100.10.10.xx Quality Management</td>
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<tr>
<td>165.15.15.xx Essential Fish Habitat Consultation</td>
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<td>165.15.15.xx Section 7 Consultation</td>
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<td>165.25.25 Approval to Circulate Resolution</td>
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<td>175.20 Project Preferred Alternative</td>
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<td>180.10.05.05.xx CEQA Lead Final Env. Doc QA/QC and Approval</td>
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<td>180.10.05.45 Section 7 Consultation</td>
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<td>180.15.05 Record of Decision (NEPA)</td>
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<tr>
<td>180.15.10 Notice of Determination (CEQA)</td>
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</tbody>
</table>

29. Any PARTY preparing environmental documentation, including studies and reports, will ensure that qualified personnel remain available to help resolve environmental issues and perform any necessary work to ensure that the PROJECT remains in environmental compliance.

30. SCCRTC will provide written notice of the initiation of environmental studies to the CEQA and NEPA Lead Agencies prior to completing any other PA&ED phase work.

California Environmental Quality Act (CEQA)

31. Environmental documentation will be prepared in compliance with the California Public Resources Code §§ 21080.3.1(d)(e). CALTRANS will provide, and SCCRTC will use, a letter template and a list of California Native American tribes requesting notification. SCCRTC will prepare consultation documentation for CALTRANS’ signature and transmittal in compliance with the statutorily required time frames.
32. The CEQA Lead Agency will determine the type of CEQA documentation and will cause that documentation to be prepared in accordance with CEQA requirements.

33. Any PARTY involved in the preparation of CEQA documentation will prepare the documentation to meet CEQA requirements and follow the CEQA Lead Agency’s standards that apply to the CEQA process.

34. Any PARTY preparing any portion of the CEQA documentation, including any studies and reports, will submit that portion of the documentation to the CEQA Lead Agency for review, comment, and approval at appropriate stages of development prior to public availability.

35. SCCRTC will submit CEQA-related public notices to CALTRANS for review, comment, and approval prior to publication and circulation.

36. SCCRTC will submit all CEQA-related public meeting materials to the CEQA Lead Agency for review, comment, and approval at least ten (10) working days prior to the public meeting date.

   If the CEQA Lead Agency makes any changes to the materials, then the CEQA Lead Agency will allow SCCRTC to review, comment, and concur on those changes at least three (3) working days prior to the public meeting date.

37. The CEQA Lead Agency will attend all CEQA-related public meetings.

38. If a PARTY who is not the CEQA Lead Agency holds a public meeting about the PROJECT, that PARTY must clearly state its role in the PROJECT and the identity of the CEQA Lead Agency on all meeting publications. All meeting publications must also inform the attendees that public comments collected at the meetings are not part of the CEQA public review process.

   That PARTY will submit all meeting advertisements, agendas, exhibits, handouts, and materials to the CEQA Lead Agency for review, comment, and approval at least ten (10) working days prior to publication or use. If that PARTY makes any changes to the materials, it will allow the CEQA Lead Agency to review, comment on, and approve those changes at least three (3) working days prior to the public meeting date.

   The CEQA Lead Agency maintains final editorial control with respect to text or graphics that could lead to public confusion over CEQA-related roles and responsibilities.
National Environmental Policy Act (NEPA)

39. Pursuant to Chapter 3 of Title 23, United States Code (23 U.S.C. 326) and 23 U.S.C. 327, CALTRANS is the NEPA Lead Agency for the PROJECT. CALTRANS is responsible for NEPA compliance, will determine the type of NEPA documentation, and will cause that documentation to be prepared in accordance with NEPA requirements.

CALTRANS, as the NEPA Lead Agency for PROJECT, will review, comment, and approve all environmental documentation (including, but not limited to, studies, reports, public notices, and public meeting materials, determinations, administrative drafts, and final environmental documents) at appropriate stages of development prior to approval and public availability.

When required as NEPA Lead Agency, CALTRANS will conduct consultation and coordination and obtain, renew, or amend approvals pursuant to the Federal Endangered Species Act, and Essential Fish Habitat.

When required as NEPA Lead Agency, CALTRANS will conduct consultation and coordination approvals pursuant to Section 106 of the National Historic Preservation Act.

40. Any PARTY involved in the preparation of NEPA documentation will follow FHWA and CALTRANS standards that apply to the NEPA process including, but not limited to, the guidance provided in the FHWA Environmental Guidebook (available at www.fhwa.dot.gov/hep/index.htm) and the CALTRANS Standard Environmental Reference.

41. Any PARTY preparing any portion of the NEPA documentation (including, but not limited to, studies, reports, public notices, and public meeting materials, determinations, administrative drafts, and final environmental documents) will submit that portion of the documentation to CALTRANS for CALTRANS’ review, comment, and approval prior to public availability.

42. SCCRTC will prepare, publicize, and circulate all NEPA-related public notices, except Federal Register notices. SCCRTC will submit all notices to CALTRANS for CALTRANS’ review, comment, and approval prior to publication and circulation.

CALTRANS will work with the appropriate federal agency to publish notices in the Federal Register.

43. The NEPA Lead Agency will attend all NEPA-related public meetings.

44. SCCRTC will submit all NEPA-related public meeting materials to CALTRANS for CALTRANS’ review, comment, and approval at least ten (10) working days prior to the public meeting date.
45. If a PARTY who is not the NEPA Lead Agency holds a public meeting about the PROJECT, that PARTY must clearly state its role in the PROJECT and the identity of the NEPA Lead Agency on all meeting publications. All meeting publications must also inform the attendees that public comments collected at the meetings are not part of the NEPA public review process.

That PARTY will submit all meeting advertisements, agendas, exhibits, handouts, and materials to the NEPA Lead Agency for review, comment, and approval at least ten (10) working days prior to publication or use. If that PARTY makes any changes to the materials, it will allow the NEPA Lead Agency to review, comment on, and approve those changes at least three (3) working days prior to the public meeting date.

The NEPA Lead Agency has final approval authority with respect to text or graphics that could lead to public confusion over NEPA-related roles and responsibilities.

46. SCCRTC will ensure that the PROJECT is included in the approved Federal Statewide Transportation Improvement Program (FSTIP) prior to the NEPA Lead Agency’s approval of the environmental document.

**Schedule**

47. PARTIES will manage the WORK schedule to ensure the timely use of obligated funds and to ensure compliance with any environmental permits, right-of-way agreements, construction contracts, and any other commitments. PARTIES will communicate schedule risks or changes as soon as they are identified and will actively manage and mitigate schedule risks.
Additional Provisions

Standards

48. PARTIES will perform all WORK in accordance with federal and California laws, regulations, and standards; Federal Highway Administration (FHWA) standards; and CALTRANS standards. CALTRANS standards include, but are not limited to, the guidance provided in the:

- CADD Users Manual
- CALTRANS policies and directives
- Plans Preparation Manual
- Project Development Procedures Manual (PDPM)
- Workplan Standards Guide
- Standard Environmental Reference
- Highway Design Manual

Qualifications

49. Each PARTY will ensure that personnel participating in WORK are appropriately qualified or licensed to perform the tasks assigned to them.

Consultant Selection

50. SCCRTC will invite CALTRANS to participate in the selection of any consultants that participate in the WORK.

Encroachment Permits

51. CALTRANS will issue, upon proper application, the encroachment permits required for WORK within State Highway System (SHS) right-of-way. SCCRTC, their contractors, consultants, agents and utility owners will not work within the SHS right-of-way without an encroachment permit issued in their name. CALTRANS will provide encroachment permits to SCCRTC, their contractors, consultants, and agents at no cost. CALTRANS will provide encroachment permits to utility owners at no cost. If the encroachment permit and this AGREEMENT conflict, the requirements of this AGREEMENT will prevail.
52. The IMPLEMENTING AGENCY for a PROJECT COMPONENT will coordinate, prepare, obtain, implement, renew, and amend any encroachment permits needed to complete the WORK.

Protected Resources

53. If any PARTY discovers unanticipated cultural, archaeological, paleontological, or other protected resources during WORK, all WORK in that area will stop and that PARTY will notify all PARTIES within 24 hours of discovery. WORK may only resume after a qualified professional has evaluated the nature and significance of the discovery and CALTRANS approves a plan for its removal or protection.

Disclosures

54. PARTIES will hold all administrative drafts and administrative final reports, studies, materials, and documentation relied upon, produced, created, or utilized for the WORK in confidence to the extent permitted by law and where applicable, the provisions of California Government Code, Section 6254.5(e) will protect the confidentiality of such documents in the event that said documents are shared between PARTIES.

PARTIES will not distribute, release, or share said documents with anyone other than employees, agents, and consultants who require access to complete the WORK without the written consent of the PARTY authorized to release them, unless required or authorized to do so by law.

55. If a PARTY receives a public records request pertaining to the WORK, that PARTY will notify PARTIES within five (5) working days of receipt and make PARTIES aware of any disclosed public documents. PARTIES will consult with each other prior to the release of any public documents related to the WORK.

Hazardous Materials

56. HM-1 is hazardous material (including, but not limited to, hazardous waste) that may require removal and disposal pursuant to federal or state law, irrespective of whether it is disturbed by the PROJECT or not.

HM-2 is hazardous material (including, but not limited to, hazardous waste) that may require removal and disposal pursuant to federal or state law only if disturbed by the PROJECT.

The management activities related to HM-1 and HM-2, including and without limitation, any necessary manifest requirements and disposal facility designations are referred to herein as HM-1 MANAGEMENT and HM-2 MANAGEMENT respectively.
57. If HM-1 or HM-2 is found the discovering PARTY will immediately notify all other PARTIES.

58. CALTRANS, independent of the PROJECT, is responsible for any HM-1 found within the existing State Highway System right-of-way. CALTRANS will undertake, or cause to be undertaken, HM-1 MANAGEMENT with minimum impact to the PROJECT schedule.

CALTRANS, independent of the PROJECT will pay, or cause to be paid, the cost of HM-1 MANAGEMENT related to HM-1 found within the existing State Highway System right-of-way.

59. If HM-1 is found within the PROJECT limits and outside the existing State Highway System right-of-way, responsibility for such HM-1 rests with the owner(s) of the parcel(s) on which the HM-1 is found. SCCRTC, in concert with the local agency having land use jurisdiction, will ensure that HM-1 MANAGEMENT is undertaken with minimum impact to PROJECT schedule.

The cost of HM-1 MANAGEMENT for HM-1 found within the PROJECT limits and outside the existing State Highway System right-of-way will be the responsibility of the owner(s) of the parcel(s) where the HM-1 is located.

60. SCCRTC and CALTRANS will comply with the Soil Management Agreement for Aerially Deposited Lead Contaminated Soils (Soil Management Agreement) executed between CALTRANS and the California Department of Toxic Substances Control (DTSC). Under Section 3.2 of the Soil Management Agreement, CALTRANS and SCCRTC each retain joint and severable liability for noncompliance with the provisions of the Soil Management Agreement. SCCRTC will assume all responsibilities assigned to CALTRANS in the Soil Management Agreement during PROJECT COMPONENTS for which they are the IMPLEMENTING AGENCY except for final placement and burial of soil within the State right-of-way, per Section 4.5 of the Soil Management Agreement, which is subject to CALTRANS concurrence and reporting to DTSC which will be performed by CALTRANS.

61. CALTRANS’ acquisition or acceptance of title to any property on which any HM-1 or HM-2 is found will proceed in accordance with CALTRANS’ policy on such acquisition.

Claims

62. SCCRTC may accept, reject, compromise, settle, or litigate claims of any consultants or contractors hired to complete WORK without concurrence from the other PARTY.
63. PARTIES will confer on any claim that may affect the WORK or PARTIES’ liability or responsibility under this AGREEMENT in order to retain resolution possibilities for potential future claims. No PARTY will prejudice the rights of another PARTY until after PARTIES confer on the claim.

64. If the WORK expends state or federal funds, each PARTY will comply with the Federal Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards of 2 CFR, Part 200. PARTIES will ensure that any for-profit consultant hired to participate in the WORK will comply with the requirements in 48 CFR, Chapter 1, Part 31. When state or federal funds are expended on the WORK these principles and requirements apply to all funding types included in this AGREEMENT.

65. If the WORK expends state or federal funds, each PARTY will undergo an annual audit in accordance with the Single Audit Act in the Federal Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards as defined in 2 CFR, Part 200.

66. When a PARTY reimburses a consultant for WORK with state or federal funds, the procurement of the consultant and the consultant overhead costs will be in accordance with the Local Assistance Procedures Manual, Chapter 10.

**Interuption of Work**

67. If WORK stops for any reason, IMPLEMENTING AGENCY will place the PROJECT right-of-way in a safe and operable condition acceptable to CALTRANS.

68. If WORK stops for any reason, each PARTY will continue with environmental commitments included in the environmental documentation, permits, agreements, or approvals that are in effect at the time that WORK stops, and will keep the PROJECT in environmental compliance until WORK resumes.

**Penalties, Judgements and Settlements**

69. Any PARTY whose action or lack of action causes the levy of fines, interest, or penalties will indemnify and hold all other PARTIES harmless per the terms of this AGREEMENT.

**Project Files**

70. SCCRTC will furnish CALTRANS with the Project History Files related to the PROJECT facilities on State Highway System within sixty (60) days following the completion of each PROJECT COMPONENT. SCCRTC will prepare the Project History File in accordance with the Project Development Procedures Manual, Chapter 7. All material will be submitted neatly in a three-ring binder and on a CD ROM in PDF format.
GENERAL CONDITIONS

Venue

71. PARTIES understand that this AGREEMENT is in accordance with and governed by the Constitution and laws of the State of California. This AGREEMENT will be enforceable in the State of California. Any PARTY initiating legal action arising from this AGREEMENT will file and maintain that legal action in the Superior Court of the county in which the CALTRANS district office that is signatory to this AGREEMENT resides, or in the Superior Court of the county in which the PROJECT is physically located.

Exemptions

72. All CALTRANS’ obligations under this AGREEMENT are subject to the appropriation of resources by the Legislature, the State Budget Act authority, programming and allocation of funds by the California Transportation Commission (CTC).

Indemnification

73. Neither CALTRANS nor any of their officers and employees, are responsible for any injury, damage, or liability occurring by reason of anything done or omitted to be done by SCCRTC, its contractors, sub-contractors, and/or its agents under or in connection with any work, authority, or jurisdiction conferred upon SCCRTC under this AGREEMENT. It is understood and agreed that SCCRTC, to the extent permitted by law, will defend, indemnify, and save harmless CALTRANS and all of their officers and employees from all claims, suits, or actions of every name, kind, and description brought forth under, but not limited to, tortious, contractual, inverse condemnation, or other theories and assertions of liability occurring by reason of anything done or omitted to be done by SCCRTC, its contractors, sub-contractors, and/or its agents under this AGREEMENT.

74. Neither SCCRTC nor any of their officers and employees, are responsible for any injury, damage, or liability occurring by reason of anything done or omitted to be done by CALTRANS, its contractors, sub-contractors, and/or its agents under or in connection with any work, authority, or jurisdiction conferred upon CALTRANS under this AGREEMENT. It is understood and agreed that CALTRANS, to the extent permitted by law, will defend, indemnify, and save harmless SCCRTC and all of their officers and employees from all claims, suits, or actions of every name, kind, and description brought forth under, but not limited to, tortious, contractual, inverse condemnation, or other theories and assertions of liability occurring by reason of anything done or omitted to be done by CALTRANS, its contractors, sub-contractors, and/or its agents under this AGREEMENT.
Non-parties

75. PARTIES do not intend this AGREEMENT to create a third party beneficiary or define duties, obligations, or rights for entities not signatory to this AGREEMENT. PARTIES do not intend this AGREEMENT to affect their legal liability by imposing any standard of care for fulfilling the WORK different from the standards imposed by law.

76. PARTIES will not assign or attempt to assign obligations to entities not signatory to this AGREEMENT without an amendment to this AGREEMENT.

Ambiguity and Performance

77. SCCRTC will not interpret any ambiguity contained in this AGREEMENT against CALTRANS. SCCRTC waives the provisions of California Civil Code, Section 1654. A waiver of a PARTY’s performance under this AGREEMENT will not constitute a continuous waiver of any other provision.

78. A delay or omission to exercise a right or power due to a default does not negate the use of that right or power in the future when deemed necessary.

Defaults

79. If any PARTY defaults in its performance of the WORK, a non-defaulting PARTY will request in writing that the default be remedied within thirty (30) calendar days. If the defaulting PARTY fails to do so, the non-defaulting PARTY may initiate dispute resolution.

Dispute Resolution

80. PARTIES will first attempt to resolve AGREEMENT disputes at the PROJECT team level as described in the Quality Management Plan. If they cannot resolve the dispute themselves, the CALTRANS District Director and the Executive Officer of SCCRTC will attempt to negotiate a resolution. If PARTIES do not reach a resolution, PARTIES’ legal counsel will initiate mediation. PARTIES agree to participate in mediation in good faith and will share equally in its costs.

Neither the dispute nor the mediation process relieves PARTIES from full and timely performance of the WORK in accordance with the terms of this AGREEMENT. However, if any PARTY stops fulfilling its obligations, any other PARTY may seek equitable relief to ensure that the WORK continues.
Except for equitable relief, no PARTY may file a civil complaint until after mediation, or forty-five (45) calendar days after filing the written mediation request, whichever occurs first.

PARTIES will file any civil complaints in the Superior Court of the county in which the CALTRANS District Office signatory to this AGREEMENT resides or in the Superior Court of the county in which the PROJECT is physically located.

81. PARTIES maintain the ability to pursue alternative or additional dispute remedies if a previously selected remedy does not achieve resolution.

**Prevailing Wage**

82. When WORK falls within the Labor Code § 1720(a)(1) definition of "public works" in that it is construction, alteration, demolition, installation, or repair; or maintenance work under Labor Code § 1771, PARTIES will conform to the provisions of Labor Code §§ 1720-1815, and all applicable provisions of California Code of Regulations, Title 8, Division 1, Chapter 8, Subchapter 3, Articles 1-7. PARTIES will include prevailing wage requirements in contracts for public work and require contractors to include the same prevailing wage requirements in all subcontracts.

Work performed by a PARTY’s own employees is exempt from the Labor Code's Prevailing Wage requirements.

If WORK is paid for, in whole or part, with federal funds and is of the type of work subject to federal prevailing wage requirements, PARTIES will conform to the provisions of the Davis-Bacon and Related Acts, 40 U.S.C. §§ 3141-3148.

When applicable, PARTIES will include federal prevailing wage requirements in contracts for public works. WORK performed by a PARTY’s employees is exempt from federal prevailing wage requirements.
SIGNATURES

PARTIES are empowered by California Streets and Highways Code to enter into this AGREEMENT and have delegated to the undersigned the authority to execute this AGREEMENT on behalf of the respective agencies and covenants to have followed all the necessary legal requirements to validly execute this AGREEMENT.

Signatories may execute this AGREEMENT through individual signature pages provided that each signature is an original. This AGREEMENT is not fully executed until all original signatures are attached.

STATE OF CALIFORNIA
DEPARTMENT OF TRANSPORTATION

Timothy M. Gubbins
District Director

VERIFICATION OF FUNDS AND AUTHORITY:

Julia Bolger
Resource Manager

CERTIFIED AS TO FINANCIAL TERMS AND POLICIES:

Gina Schumacher
HQ Accounting Supervisor

SANTA CRUZ COUNTY REGIONAL
TRANSPORTATION COMMISSION

Guy Preston
Executive Director

Attest:

Sarah Christensen, P.E.
Engineering Manager

Approved as to form and procedure:

Steve Mattas
Commission Counsel
CLOSURE STATEMENT INSTRUCTIONS

Did PARTIES complete all scope, cost and schedule commitments included in this AGREEMENT and any amendments to this AGREEMENT?

YES / NO

Did CALTRANS accept and approve all final deliverables submitted by other PARTIES?

YES / NO

Did the CALTRANS HQ Office of Accounting verify that all final accounting for this AGREEMENT and any amendments to this AGREEMENT were completed?

YES / NO

If construction is involved, did the CALTRANS District Project Manager verify that all claims and third party billings (utilities, etc.) have been settled before termination of the AGREEMENT?

YES / NO

Did PARTIES complete and transmit the As-Built Plans, Project History File, and all other required contract documents?

YES / NO

If ALL answers are “YES”, this form may be used to TERMINATE this AGREEMENT.
CLOSURE STATEMENT

PARTIES agree that they have completed all scope, cost, and schedule commitments included in Agreement 05-0350 and any amendments to the agreement. The final signature date on this document terminates agreement 05-0350 except survival articles. All survival articles in agreement 05-0350 will remain in effect until expired by law, terminated or modified in writing by the PARTIES’ mutual agreement, whichever occurs earlier.

The people signing this agreement have the authority to do so on behalf of their public agencies.

CALTRANS

Name ___________________________________________ Date ________________
District Director

SANTA CRUZ COUNTY REGIONAL TRANSPORTATION COMMISSION

Name ___________________________________________ Date ________________
Executive Director
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Category: Highway Corridors (25% of Measure D Revenues)

<table>
<thead>
<tr>
<th>Name/Road/Limits</th>
<th>Description</th>
<th>Prior Years Spent</th>
<th>FY19/20</th>
<th>FY20/21</th>
<th>FY21/22</th>
<th>FY22/23</th>
<th>FY23/24</th>
<th>Total Measure D</th>
<th>2020 Updates</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Highway 1: Auxiliary Lanes and Bus on Shoulder from 41st to Soquel: Chanticleer Bike/Pedestrian Overcrossing (5)</td>
<td>Freeway operational improvement, bus on shoulder improvements, rehab roadway and drainage, improve bicycle/pedestrian access over freeway.</td>
<td>$600,000</td>
<td>$350,000</td>
<td>$350,000</td>
<td>$350,000</td>
<td>$100,000</td>
<td>$0</td>
<td>$1,750,000</td>
<td>Proposed for approval at the May 2020 RTC Meeting</td>
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<tr>
<td>2 Highway 1: Auxiliary Lanes &amp; Bus on Shoulder from State Park to Bay-Porter, and Reconstruction of Capitola Avenue Overcrossing (6)</td>
<td>Freeway operational improvement, bus on shoulder improvements, soundwalls and retaining walls, reconstruct Capitola Ave. overcrossing with sidewalks and bike lanes</td>
<td>$50,000</td>
<td>$693,168</td>
<td>$2,510,000</td>
<td>$2,330,000</td>
<td>$10,400,000</td>
<td>$0</td>
<td>$15,983,168</td>
<td>Proposed for approval at the May 2020 RTC Meeting</td>
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<tr>
<td>3 Highway 1: Auxiliary Lanes &amp; Bus on Shoulder from Freedom to State Park, and Reconstruction of two railroad bridges, and widening of the bridge over Aptos Creek/Spreckles Drive (6)</td>
<td>Freeway operational improvement, bus on shoulder improvements, soundwalls and retaining walls, reconstruct 2 railroad bridges and widen bridge over Aptos Creek/Spreckles Drive</td>
<td>$0</td>
<td>$3,698,000</td>
<td>$5,130,000</td>
<td>$824,000</td>
<td>$3,660,000</td>
<td>$0</td>
<td>$13,312,000</td>
<td>Approved at the March RTC meeting. Adjust funds for PA/ED and PS&amp;E</td>
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<td>4 Highway 1 Bicycle/Pedestrian Overcrossing at Mar Vista Drive (6)</td>
<td>Implementation $48.5k. $300k for RTC oversight and assistance to address restricted bike/ped access by building new overcrossing with lighting, traffic calming, and moderate aesthetic treatments</td>
<td>$0</td>
<td>$148,500</td>
<td>$100,000</td>
<td>$100,000</td>
<td>$0</td>
<td>$348,500</td>
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<td></td>
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<tr>
<td>5 Santa Cruz County Regional Conservation Investment Strategy - Grant match</td>
<td>Match to Wildlife Conservation Board grant for early mitigation planning for transportation projects.</td>
<td>$0</td>
<td>$25,500</td>
<td>$25,500</td>
<td>$25,500</td>
<td>$25,500</td>
<td>$25,500</td>
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<td>No change</td>
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<tr>
<td>6 Cruz 511-Traveler Information and Commute Manager</td>
<td>Ongoing system &amp; demand management (TDM), includes Cruz511.org traveler information, carpool and other TDM programs</td>
<td>$200,000</td>
<td>$250,000</td>
<td>$250,000</td>
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<td>$200,000</td>
<td>$1,300,000</td>
<td>No change</td>
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<tr>
<td>7 Safe on 17</td>
<td>Ongoing system management program, involves increased CHP enforcement on Highway 17</td>
<td>$25,000</td>
<td>$50,000</td>
<td>$50,000</td>
<td>$50,000</td>
<td>$50,000</td>
<td>$50,000</td>
<td>$275,000</td>
<td>No change</td>
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<tr>
<td>8 Unified Corridor Investment Study</td>
<td>Analysis of Highway 1 corridor projects</td>
<td>$200,000</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$200,000</td>
<td>No change</td>
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<tr>
<td>9 Freeway Service Patrol (6)</td>
<td>Ongoing system management and congestion reducing program. Roving tow trucks removing incidents and obstructions during peak travel periods on Hwy 1 and Hwy 17</td>
<td>$118,813</td>
<td>$122,213</td>
<td>$150,000</td>
<td>$165,000</td>
<td>$181,500</td>
<td>$199,650</td>
<td>$937,176</td>
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<td></td>
<td>Estimated Annual Measure D Expenditures</td>
<td>$1,193,813</td>
<td>$5,337,381</td>
<td>$8,540,000</td>
<td>$4,019,000</td>
<td>$14,591,500</td>
<td>$449,650</td>
<td>$18,148,176</td>
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</tr>
</tbody>
</table>

Notes:
1. Hwy 41st/Sequel Aux Lane and Chanticleer B/P Overcrossing: Previously programmed funds used for preliminary and final engineering design and right-of-way phases over the period FY 17/18-through FY 19/20. Measure D funds for PS&E and Project Management activities. RTC targeting SCCP and LPP Cycle 2 to fully fund construction.
2. Hwy 1 Auxiliary Lanes from State Park Drive to Bay/Porter Project: Measure D funding for preliminary design and environmental documentation (FY 18/19 - FY 19/20) assumes PS&E will be advanced in FY 20/21, and right-of-way acquisition occurring in FY 21/22. RTC targeting SCCP and LPP Cycle 2 to fully fund construction.
3. Mar Vista Bicycle/Pedestrian Overcrossing: Previously programmed funds used for project development and construction activities. $300k Measure D funds to supplement project management and public outreach support activities as needed, $48,500 replaces RSTPX previously programmed, that was shifted to Scott Creek. RTC will target SCCP and LPP Cycle 2 or could decide at future date whether to utilize bond or other financing.
4. Freeway Service Patrol: Through state budget/881 more Caltrans funds became available reducing Measure D needed.
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