Regular Meeting  
November 20, 2014, 4:00 p.m. 
Eureka City Hall, Council Chambers  
531 K Street, Eureka

1. **Call to Order**

2. **Adjournment of the HCAOG Board; Convening of the Policy Advisory Committee (PAC)**  
The PAC convenes to include representation from Caltrans and the Humboldt Transit Authority Board for items specific to transportation.

3. **Public Participation**  
This agenda item is reserved for matters not on the agenda that may be presented by the public.

4. **Public Hearing to Consider Changing the Regional Transportation Plan (RTP) Update Schedule** (encl)  
The HCAOG Board will conduct a public hearing to allow comment on the option to change the RTP update from a five to a four-year cycle, which would increase the planning period for Regional Housing Need Allocation and Housing Element schedules.

5. **Special Presentation: Caltrans Safety Update**  
David Morgan, Chief Safety Officer for Caltrans District 1, will provide a safety presentation on Humboldt County highways.

6. **Consent Calendar**  
By motion, approve the following item(s) considered to be routine and enacted on one motion. Item(s) may be removed from the Consent Calendar and will be heard separately.

   a. **Approval of Meeting Record** – September 18, 2014 (encl)

   b. **FY 2014-15 Overall Work Plan (OWP) & Budget Amendment #1**  
      [Resolution 14-15] (encl)  
The PAC will consider recommending the HCAOG Board adopt Resolution 14-15, approving the FY 2014-15 OWP & Budget Amendment #1 for submittal to Caltrans District 1.
c. **Service Coordination Committee (SCC) Membership** (encl)
The PAC will consider recommending the HCAOG Board approve the County of Humboldt's request for membership on the SCC.

d. **Social Service Transportation Advisory Council (SSTAC) Membership** (encl)
The PAC will consider recommending the HCAOG Board approve the City of Fortuna's request for membership on the SSTAC.

7. **Action Items**
   a. **Service Authority for Freeway Emergencies (SAFE) funding for increased California Highway Patrol (CHP) in Areas without Emergency Call Boxes**
      [Resolution 14-16] (encl)
The PAC will consider recommending the HCAOG Board adopt Resolution 14-16, approving a contract with CHP to increase patrols in areas without emergency call boxes.
   
   b. **HCAOG Transportation Development Act (TDA) Rules Amendment** (encl)
The PAC will consider recommending that the HCAOG Board approve and adopt the amended HCAOG TDA Rules.

8. **HCAOG Staff and PAC Member Reports**
   This agenda item is reserved for matters that members of the PAC and staff may wish to present.

9. **Reconvening of the HCAOG Board**
   **Requested Action:** By motion, reconvene as the HCAOG Board and approve PAC recommendations.

10. **Adjournment**

Persons who require special accommodations, accessible seating, or documentation in alternative formats under the Americans with Disabilities Act, or persons who require translation services (free of charge) should contact the HCAOG office at 444-8208 at least two days prior to the meeting.

Las personas que requieren alojamiento especial de acuerdo con el American with Disabilities Act, o personas que requieren servicios de traducción (libre de cargo) deben comunicarse con HCAOG al menos dos días antes de la reunión.

HCAOG Board meetings are recorded and televised by Access Humboldt, and can be viewed on the Access Humboldt or HCAOG websites.
DATE: November 13, 2014
TO: HCAOG Policy Advisory Committee
FROM: Marcella Clem, Executive Director
SUBJECT: Public Hearing to Consider Changing the Regional Transportation Plan (RTP) Update Schedule

STAFF REPORT

Contents:
- Staff's recommended action
- Staff's summary
- Memorandum from the Department of Housing and Community Development
- Letters in support of the changing the RTP update schedule

Staff’s Recommended Action:

1. Introduce the item as an action Item;
2. Allow staff to present the item;
3. Receive public comment;
4. Discuss item, consider making the motion:
   “I move the PAC forward a recommendation to the HCAOG Board to change the RTP update cycle from five to four years.”

Staff Summary:

The Department of Housing and Community Development, in a memorandum dated August 29, 2014, has offered HCAOG an option to change our RTP schedule that would ultimately increase the planning period used for both the Regional Housing Needs Assessment (RHNA) and the local agency Housing Elements.

Currently, our RTP is required to be updated every five years, and local government Housing Elements must be updated every five years following each RHNA process. However, Senate Bill 375 allows local governments on five-year housing element planning periods to extend that to an eight-year planning period, if their Regional Transportation Planning Agency elects to shift from a five-year to a four-year RTP update. For the next 6th cycle housing element update, the election to change the RTP cycle must be made before December 31, 2014.
Planning representatives from the cities of Arcata, Eureka, Fortuna and the County of Humboldt submitted correspondence in support of the change. The overall agreement is that the benefits outweigh the costs to the region as a whole. The Technical Advisory Committee, at their November 6th meeting unanimously recommended approval of the change. To date, there have been no public comments submitted in response to the public notice.

Upon notification of electing a four year RTP cycle to the California Department of Housing and Community Development, HCAOG’s next RTP must be completed within three years. All local governments within HCAOG’s jurisdiction would then be required to adopt the next housing element revision no later than eighteen months after adoption of the first RTP update following the election. The Subsequent revisions would be due eighteen months after adoption of every second RTP update. If the HCAOG Board elects to change the cycle duration, the following schedule outlines the due dates.

<table>
<thead>
<tr>
<th>Schedule of RTP and Housing Element Due Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cycle 6</td>
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<tr>
<td>RTP Due Date</td>
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<tr>
<td>November 2017</td>
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<tr>
<td></td>
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<tr>
<td>RHNA Due Date</td>
</tr>
<tr>
<td>May 2018</td>
</tr>
<tr>
<td>Housing Element Due Date</td>
</tr>
<tr>
<td>May 2019</td>
</tr>
</tbody>
</table>
MEMORANDUM FOR: Local Governments on a Five (5) Year Housing Element Schedule

FROM: Glen A. Campora, Assistant Deputy Director
Division of Housing Policy Development

SUBJECT: Option to Change Next Housing Element Updates from a 5-Year to a 8-Year Schedule

This memorandum provides **time-sensitive** information to local governments interested in changing their housing element (HE) schedule for the next 6th cycle update from a 5-year HE planning period to an 8-year HE planning period. Attachment 1 identifies Senate Bill 375 (Steinberg, Chapter 728, Statutes of 2009) statutory amendments providing an option to applicable transportation agencies to change the update schedule for the regional transportation plan (RTP) and housing element (HE).

A metropolitan planning organization (MPO) or regional transportation planning agency (RTPA) on a 5-year regional transportation plan (RTP) update schedule can elect to adopt its RTP every four years. After the election is made, all local governments within the region of the MPO or RTPA change from a 5-year to an 8-year HE planning period beginning with the next HE update.

For the next 6th cycle housing element update, the MPO or RTPA must make its election before December 31, 2014, at least 54 months prior to the next 6th cycle HE due date (June 30, 2019) for local governments currently on a 5th cycle 5-year HE update schedule. Attachment 2 identifies MPOs and RTPAs on a 5-year RTP update schedule and local governments on a 5-year HE update schedule.

In considering the option to change the update schedule for the next RTP in order to change the next housing element update schedule and planning period from five (5) to eight (8) years, the MPO or RTPA is required to hold a public hearing and notify the public and localities at least 30 days before the hearing. If the election is made, the Department must be promptly notified and the next RTP must be completed within three (3) years of the notification of electing a 4-year RTP update schedule. Local governments will have a new HE due date based on the requirement to update and adopt the housing element no later than 18 months from adoption of the RTP.

Local governments interested in changing from a 5-year to an 8-year housing element planning period should quickly communicate with the MPO or RTPA to take necessary actions by specified time periods. Please contact the Department at 916-263-2911 for questions or technical assistance.
MPO/RTPA Option to Change
RTP Update Schedule from Five (5) Years to Four (4) Years and
Housing Element Update Schedule from Five (5) Years to Eight (8) Years
SB 375 (Steinberg, Chapter 728, Statutes of 2008)
(underlining added for emphasis)

65080(b)(2)(L) Option to Change RTP Update Schedule from Five Years to Four Years
(L) A metropolitan planning organization, or a regional transportation planning agency not
within a metropolitan planning organization, that is required to adopt a regional transportation
plan not less than every five years, may elect to adopt the plan not less than every four years.
This election shall be made by the board of directors of the metropolitan planning organization
or regional transportation planning agency no later than June 1, 2009, or thereafter 54 months
prior to the statutory deadline for the adoption of housing elements for the local jurisdictions
within the region, after a public hearing at which comments are accepted from members of the
public and representatives of cities and counties within the region covered by the metropolitan
planning organization or regional transportation planning agency. Notice of the public hearing
shall be given to the general public and by mail to cities and counties within the region no later
than 30 days prior to the date of the public hearing. Notice of election shall be promptly given
to the Department of Housing and Community Development. The metropolitan planning
organization or the regional transportation planning agency shall complete its next regional
transportation plan within three years of the notice of election.

65588(e)(3)(C) Action Required to Change Housing Element from Five Years to Eight Years
(C) If a metropolitan planning organization or a regional transportation planning agency
subject to the five-year revision interval in subparagraph (B) makes an election pursuant to
subparagraph (L) of paragraph (2) of subdivision (b) of Section 65080 after June 1, 2009,
all local governments within the regional jurisdiction of that entity shall adopt the next housing
element revision no later than 18 months after adoption of the first regional transportation plan
update following the election. Subsequent revisions shall be due 18 months after adoption of
every second regional transportation plan update, provided that the deadline for adoption is no
more than eight years later than the deadline for adoption of the previous eight-year housing
element.
<table>
<thead>
<tr>
<th>Transportation Planning Agencies Currently on a 5-Year Schedule to Update the Regional Transportation Plan</th>
<th>Local Governments Currently on a 5-Year Schedule to Update the Housing Element</th>
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</thead>
<tbody>
<tr>
<td>Alpine County Transportation Commission</td>
<td>Alpine County</td>
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<tr>
<td>Amador County Local Transportation Commission</td>
<td>Amador County and all cities</td>
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<tr>
<td>Calaveras Council of Governments</td>
<td>Calaveras County and all cities</td>
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<tr>
<td>Colusa County Local Transportation Commission</td>
<td>Colusa County and all cities</td>
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<td>Del Norte County Local Transportation Commission</td>
<td>Del Norte County and all cities</td>
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<td>Glenn County Local Transportation Commission</td>
<td>Glenn County and all cities</td>
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<tr>
<td>Humboldt County Association of Governments</td>
<td>Humboldt County and all cities</td>
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<tr>
<td>Inyo County Local Transportation Commission</td>
<td>Inyo County and all cities</td>
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<tr>
<td>Lake County/City Area Planning Council</td>
<td>Lake County and all cities</td>
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<tr>
<td>Lassen County Transportation Commission</td>
<td>Lassen County and all cities</td>
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<tr>
<td>Mariposa County Local Transportation Commission</td>
<td>Mariposa County</td>
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<tr>
<td>Mendocino Council of Governments</td>
<td>Mendocino County and all cities</td>
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<td>Modoc County Transportation Commission</td>
<td>Modoc County and all cities</td>
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<td>Mono County Local Transportation Commission</td>
<td>Mono County and all cities</td>
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<td>Nevada County Transportation Commission</td>
<td>Nevada County and all cities</td>
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<tr>
<td>Plumas County Transportation Commission</td>
<td>Plumas County and all cities</td>
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<tr>
<td>San Luis Obispo Council of Governments</td>
<td>San Luis Obispo County and all cities</td>
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<tr>
<td>Shasta County Regional Transportation Planning Agency</td>
<td>Shasta County and all cities</td>
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<tr>
<td>Sierra County Transportation Commission</td>
<td>Sierra County and all cities</td>
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<td>Siskiyou County Transportation Commission</td>
<td>Siskiyou County and all cities</td>
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<td>Tehama County Transportation Commission</td>
<td>Tehama County and all cities</td>
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<tr>
<td>Trinity County Transportation Commission</td>
<td>Trinity County</td>
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<tr>
<td>Tuolumne County Transportation Council</td>
<td>Tuolumne County and all cities</td>
</tr>
</tbody>
</table>

List information was obtained from Cal Trans links:  
[www.dot.ca.gov/hq/tpp/offices/orip/rtp/index_files/RTPA_RTP_Status_Chart_6-02-14_KJD.pdf](http://www.dot.ca.gov/hq/tpp/offices/orip/rtp/index_files/RTPA_RTP_Status_Chart_6-02-14_KJD.pdf)
Call to Order
Chair Susan Ornelas called the meeting to order at 4:00 p.m.

Unmet Transit Needs (UTN) Public Hearing
A public hearing was conducted to receive input on unmet transit needs from the citizens of Humboldt, pursuant to Section 99238.5 and 99401.5 of the Transportation Development Act, and adopted procedures of Humboldt County Association of Governments (HCAOG) as the designated Regional Transportation Planning Agency.

UTN Public Comments
Silvia Jula – spoke about concerns with transit for seniors and the need for funding the administration of the Volunteer Driver Program offered by the Area 1 Agency on Aging.
Maggie Kraft, Area 1 Agency on Aging – spoke about the importance of the Volunteer Driver Program and the need to find funding sources.

Sienna Klein, Miranda – explained she attends meetings of Transit Action for Southern Humboldt, and expressed the need for extended hours and increased weekend bus service to Southern Humboldt.

3. Public Participation
   There was no public participation for items not on the agenda.

4. Adjournment of the HCAOG Board; Convening of the Policy Advisory Committee (PAC)
   The PAC convenes to include representation from Caltrans and the Humboldt Transit Authority Board for items specific to transportation. (4:06 p.m.)

5. Consent Calendar
   b. Transportation Development Act (TDA) Local Transportation Fund (LTF) FY 2014-15
      Motion was made (Schapiro/Johnson) that the PAC recommends the HCAOG Board adopt Resolution 14-13, approving the FY 2014-15 LTF Claim for the City of Rio Dell. Motion carried unanimously.

   Items pulled from the Consent Calendar:
   
   5a. Approval of Meeting Records – August 21, 2014
      Motion was made (Schapiro/Johnson) to approve the Meeting Record of August 21, 2014, as amended by Mayor Schapiro. Motion carried unanimously.

   5c. Request for Local Transportation Fund (LTF) Regional Bicycle and Pedestrian Allocation
      Motion was made (Ciarabellini/West) that the PAC recommends the HCAOG Board approve Resolution 14-14 authorizing an allocation request of $100,000 from the LTF Regional Bicycle and Pedestrian Fund for the City of Eureka’s Waterfront Trail Project. Motion carried unanimously.

      Public Participation on pulled consent item 5c:
      Miles Slattery, City of Eureka

6. Action Items
   a. McKinleyville Community Services District (MCSD) Request for Membership on the Technical Advisory Committee (TAC)
      Motion was made (Ciarabellini/Strehl) to deny representation on the TAC by Community Service Districts, specifically McKinleyville Community Service District. Motion carried by the following votes:
      AYES: Ornelas, Strehl, Ciarabellini, Schapiro, Mierzwa, West, Jackman
      NOES: Bohn, Johnson
      ABSTENTIONS: None
7.  **Informational Items**
   a.  **American Society of Civil Engineers – Report Card for America’s Infrastructure Update**
       This item was continued to a future Board meeting.
   b.  **Caltrans Grant Marketing Events, Sustainable Transportation Planning Grant Program, and Updating the California Strategic Highway Safety Plan**
       Rex Jackman provided an update.
   c.  **Climate Change Workshop Update**
       Susan Ornelas requested a formal presentation be provided at a future HCAOG Board meeting.

8.  **HCAOG Staff and PAC Member Reports**
   - Doug Strehl provided information regarding the Highway 36 Association meeting he attended with a representative from Caltrans District 1.

9.  **Reconvening of the HCAOG Board (5:18 p.m.)**
    Motion was made (Johnson/Ciarabellini) to reconvene as the HCAOG Board and approve the recommendations made by the Policy Advisory Committee.
    Motion carried unanimously.

10. **Adjournment**
    The meeting adjourned at 5:22 p.m.

Respectfully submitted,

Siana L. Watts, Executive Assistant
DATE: November 10, 2014  
TO: HCAOG Policy Advisory Committee (PAC)  
FROM: Debbie Egger, Administrative Services Officer  
SUBJECT: FY 2014-15 Overall Work Program (OWP) & Budget Amendment #1

STAFF REPORT

Contents:
- Staff's recommended action
- Staff's summary
- Resolution 14-15
- FY 2014-15 OWP & Budget Amendment #1

Staff's Recommended Action:

Motion to be approved by consent:

“The PAC recommends the HCAOG Board adopt Resolution 14-15, approving the FY 2014-15 OWP & Budget Amendment #1.”

Staff Summary:

On an annual basis HCAOG prepares and adopts the Overall Work Program (OWP) & Budget which documents staff planning and a schedule of work for regional transportation planning in Humboldt County. At the April 2014 meeting, the HCAOG Board adopted the final FY 2014-15 OWP & Budget reflecting HCAOG revenue projections by funding source and expenditures per work element. This first amendment is necessary to reflect end of year fund adjustments minor revisions.

Carryover funds included in final OWP:
- Local Transportation Fund (LTF) carryover amount $18,801
- Rural Planning Assistance (RPA) carryover amount $17,905
- FY 2012-13 Planning Programming & Monitoring (PPM) was overestimated by $4,835. Carryover total for FY 2012-13 is $108,165.
- FY 2013-14 PPM was underestimated by $22,218. Carryover total for FY 2013-14 is $42,782.
The Amendment #1 revises the following fund estimates in the currently adopted OWP:

W.E. 1 Current Planning - Based on year-end claims this work element is being increased from $153,220 to $160,350.

W.E. 2 Advanced Planning - Based on year-end claims this work element is being increased from $21,000 to $23,000.

W.E. 3 Planning & Programming of State Transportation Funds - Based on year-end claims this work element is being increased from $28,000 to $40,000, $1,200 of which is earmarked for the annual license fee for Caliper software that runs the Countywide Traffic Model.

W.E. 4 Project Deliver & Oversight - Based on year-end claims this work element is being decreased from $147,155 to $109,000 due to project study reports being completed prior to the end of the fiscal year. A new task, earmarking $5,000, was added to assist the County with public outreach and fundraising for the Humboldt Bay Trail.

W.E. 6 Grant Development - HCAOG staff will create a Title VI Program in order to be a recipient of federal funds. This work element is being increased from $23,500 to $29,501.

W.E. 7 Public Participation Program - Based on year-end claims this work element is being increased from $7,950 to $9,300.

W.E. 9 TDA Fund Management - Based on HCAOG Board recommendation, HCAOG will hire a consultant to review cost savings, efficiency and centralized dispatching for the regions Dial-A-Ride program(s). This work element has been increased from $54,400 to $59,400.

W.E.10 Regional Transportation Plan - Based on year-end claims this work element is being increased from $14,400 to $24,000.

W.E. 11 Pavement Management Program - Carryover RPA funds have been added to this work element, increasing it from $95,350 to $102,027.

W.E. 13 Regional Bicycle Parking Program - This work element is being increased from $6,100 to $6,500.

W.E. 15 Regional Safe Routes to School Tool - Based on a need to update school survey data, additional funds have been added to this work element, increasing it from $5,125 to $7,125.

W.E. 16 Active Transportation Program - This work element is being decreased from $17,000 to $13,000.

W.E. 18 Park and Ride Study - Carryover funds have been added to this work element due to the project not being completed by the Consultant. This work element is being increased from $2,300 to $4,150.
W.E. 19 *Rural Transit Transport* - HCAOG did not receive federal grant funds for this work element which has changed tasks outlined in the work program decreasing the funds need. This work element is being decreased from $12,700 to $10,500.

W.E. 21 *Service Authority for Freeway Emergencies* – Funds added to cover approved contracts with the California Highway Patrol for dispatching and supplemental freeway patrols on Highways 36 and 96. This work element is being increased from $184,400 to $284,400.

The breakdown of funding sources can be found on the OWP Budget Summary, page 9. The total work program is being revised from $1,037,400 to $1,147,053.

The Technical Advisory Committee has reviewed and recommends Board approval of the FY 2014-15 OWP & Budget Amendment #1.
HUMBOLDT COUNTY ASSOCIATION OF GOVERNMENTS RESOLUTION
FOR FISCAL YEAR 2014-15 OVERALL WORK PROGRAM & BUDGET
AMENDMENT #1

WHEREAS, the FY 2014-15 Overall Work Program & Budget initiates efforts consistent with planning directives of Federal and State statute, directed toward resolving identified issues and sustaining the best possible living environments for all residents of the County; and

WHEREAS, the Humboldt County Association of Governments, in its official capacity as the Regional Transportation Planning Agency for Humboldt County, has adopted FY 2014-15 Overall Work Program & Budget; and

WHEREAS, there is a need to amend the FY 2014-15 Overall Work Program & Budget; and

WHEREAS, the Amendment #1 reflects the actual carryover of state and local funds available to HCAOG for FY 2014-15, and budgets the work elements accordingly;

NOW, THEREFORE, BE IT RESOLVED that the Humboldt County Association of Governments hereby approves Amendment #1 to the FY 2014-15 Overall Work Program & Budget with a funding total of $1,147,053.

PASSED AND ADOPTED by the Humboldt County Association of Governments, in the City of Eureka, County of Humboldt, State of California, this 20th day of November 2014, by the following vote:

AYES: MEMBERS:
NOES: MEMBERS:
ABSENT: MEMBERS:
ABSTAIN: MEMBERS:

ATTEST:

HCAOG Administrative Services Officer
Susan Ornelas, HCAOG Chair
Amendment #1
November 20, 2014

Humboldt County Association of Governments (HCAOG)
611 I Street, Suite B
Eureka CA 95501
707.444.8208
www.hcaog.net
Humboldt County Association of Governments
FY 2014-15 Overall Work Program (OWP) & Budget

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OVERVIEW

There are twenty-six rural counties in California. Rural counties generally have populations of less than 250,000 but do not have a single urbanized area greater than 50,000. Metropolitan Planning Organizations (MPOs) serve urbanized areas in the State. The Humboldt County Association of Governments (HCAOG) is the designated Regional Transportation Planning Agency (RTPA) for the Humboldt region. As the RTPA, HCAOG is mandated by federal and state law to develop transportation plans and programs for the region. HCAOG performs these duties in a cooperative, continuous, and comprehensive planning process carried out with federal, state, regional, and local agencies. HCAOG is also the designated Service Authority for Freeway Emergencies (SAFE) in Humboldt.

Humboldt County’s population of approximately 135,000 is served by approximately 1,800 miles of maintained highways, county and tribal roads, and city streets. The political structures of the region include the seven incorporated cities, the County of Humboldt, eight federally recognized Native American governments, and numerous Community Service Districts.

Regional transportation planning involves coordinating and collaborating with an assortment of partners to develop a shared vision for transporting goods and people, and to create a functional, balanced, multi-modal transportation system.

Purpose of the Overall Work Program

HCAOG’s Overall Work Program (OWP) is a reference document for citizens, agencies, and elected officials to understand HCAOG’s objectives and funding resources. The OWP is a one-year scope of work and budget for specific transportation planning and project activities to be accomplished between July 1 and June 30 (the State fiscal year). The OWP objectives and tasks are developed in accordance with the goals and policies of HCAOG’s adopted 2008 Regional Transportation Plan. An OWP is a working document that is amended during the year to reflect changes in legislation, policies, priorities, funding, or staffing.

Regional transportation planning activities that are carried out by other agencies are listed in the Information Element of the OWP.

HCAOG ROLES AND RESPONSIBILITIES

HCAOG was established on May 7, 1968, through a Joint Powers Agreement (JPA) signed by the eight local governments in the region (the seven incorporated cities and the unincorporated County). At that time, the purpose of the JPA was to “advise, plan for and suggest solutions to common problems and qualify the local jurisdictions to receive allocation of state and federal funds.”

On July 20, 1972, HCAOG was designated by the State of California as the RTPA for the County of Humboldt. The principal purposes of RTPAs in rural areas are to prepare and adopt transportation planning and programming documents, and administer various funding programs. Specific mandated RTPA duties include preparing and adopting the Regional Transportation Plan, the Regional Transportation Improvement Program (RTIP), and the Overall Work Program & Budget to allocate federal and state funds, including Transportation Development Act funds, to local governments and transit operators.
California State Legislature since January 1, 1986, authorizes counties to form or designate a Service Authority for Freeway Emergencies (SAFE). In 1993, pursuant to Section 2550 of the Streets and Highway Code, the County and cities designated HCAOG as the SAFE agency in Humboldt County. SAFE responsibilities are primarily to plan, implement, and maintain an emergency call box system. There are currently 62 call boxes on Highways 101 and 299. The operation of the SAFE program is funded by a $1.00 yearly fee on vehicle registrations in Humboldt County assessed through the Department of Motor Vehicles. Coordination and consultation with Caltrans and the California Highway Patrol concerning the siting and installation of new call boxes is necessary for implementation.

RTPA duties are also prescribed by other legislation, including the federal transportation bill, Moving Ahead for Progress in the 21st Century Act of 2012 (MAP-21), California legislation in the Global Warming Solutions Act (AB 32, 2006), California Sustainable Communities Strategy (SB 375, 2008), and the California Complete Streets Act (AB 1358, 2008).

HCAOG BOARD AND COMMITTEES

The HCAOG Board of Directors is directly served by HCAOG’s five standing committees and five full-time staff.

HCAOG Board and Policy Advisory Committee

The HCAOG Board of Directors is comprised of eight members: the Chairman of the Board of Supervisors and the Mayors of Humboldt’s seven cities. Any such official may designate another member of his governing body as an alternate. The Board annually appoints an Executive Committee to carry out administrative and executive functions between regular monthly meetings. This three-member committee consists of the HCAOG Chair, Vice-Chair, and an additional Board member selected by the Board. The Executive Committee meets on an as-needed basis.

The Policy Advisory Committee (PAC) consists of all members of the Board in addition to a Caltrans representative and the Chair of the Humboldt Transit Authority. The PAC recommends, to the Board, formal action on all transportation-related matters.

Technical Advisory Committee

HCAOG’s Technical Advisory Committee (TAC) advises the HCAOG Board on technical matters, funding allocations, and transportation programs. This seventeen-member committee consists of representatives of public works or transportation staff of each of the Joint Powers entities, Native American tribes and Rancherias, transit managers, Caltrans, and the California Highway Patrol. The TAC gives staff direction in developing the Regional Transportation Improvement Program (RTIP), Regional Transportation Plan (RTP), and the annual OWP.

Social Service Transportation Advisory Council

The Social Services Transportation Advisory Council (SSTAC) is established to advise HCAOG on the public transportation needs of the region. The SSTAC is required to have a minimum of nine members representing the transit community, including handicapped and senior transit users, social service provider representatives, low-income representatives, and representatives of the Consolidated Transportation Service Agency (CTSA). The HCAOG Board has appointed additional members to the SSTAC in accordance with Public Utilities Code 99238(b).
The SSTAC was established in compliance with Senate Bill 498 (1987) and, pursuant to Public Utilities Code 99238(c), has the following responsibilities:

1. Annually participate in identifying transit needs in the jurisdiction.
2. Annually review and recommend to the RTPA that (A) there are no unmet transit needs, (B) there are no unmet transit needs that are reasonable to meet, or (C) there are unmet transit needs, including needs that are reasonable to meet.
3. Advise the RTPA on any other major transit issues, including the coordination and consolidation of specialized transportation services.

A subcommittee of the SSTAC serves as HCAOG’s Federal Transit Administration (FTA) Section 5310 Evaluation Committee. The subcommittee ranks applications for Section 5310 funds to buy transit vehicles and equipment.

Service Coordination Committee

The Service Coordination Committee (SCC) consists of representatives from local public and private transit operators, local colleges, and Caltrans. The SCC advises the HCAOG Board on all matters general or relevant to regional transit issues. The SCC regularly reviews transit performance and productivity issues, recommends annual transit claims to the HCAOG Board, and provides input on the annual unmet transit needs process.

REGIONAL COMMITTEES

HCAOG is a member of:

California Association of Councils of Government (CALCOG)
CALCOG works to ensure the success of its members by facilitating communication and information sharing between members, other local officials, state and federal agencies, and the public. Most members are formed as councils of governments (COGs), meaning they represent joint powers agreements of cities and counties, while others are transportation commissions created by statute.

Rural Counties Task Force (RCTF)
The State of California contains 26 rural counties, which generally have populations of less than 250,000 and do not have a single urbanized area greater than 50,000. Rural counties provide food, fiber, timber, and mineral products for California industry and residents, as well as recreation for urban residents and tourists. In order to provide a direct opportunity for the small counties to remain informed, have a voice, and become involved with changing statewide transportation policies and programs, a task force was formed in 1988 as a joint effort between the California Transportation Commission (CTC) and the rural counties. There are 26 rural county Regional Transportation Planning Agencies (RTPAs) or Local Transportation Commissions represented on the Rural Counties Task Force (RCTF).

The RCTF is an informal organization with no budget or staff that generally meets every other month. A member of the CTC usually acts as liaison to the RCTF, and CTC and Caltrans staff typically attend these meetings to explain and discuss changing statewide transportation issues that may be of concern to the rural counties.

North State Super Region (NSSR)
Regional transportation planning agencies from 16 counties in Northern California came together on October 20, 2010, to sign a memorandum of agreement. This agreement created an alliance between the agencies to work together and support each other on issues related to transportation and to have a unified voice representing the North State.
Organizational Chart

**HCAOG Board**
- Governing Body
- 8 members
- 1 member of the Board of Supervisors
- 7 members from each incorporated city

**The Policy Advisory Committee (PAC)**
- Includes the Board Members plus representatives from Caltrans and the Humboldt Transit Authority Board

**Service Coordination Committee (SCC)**
- 9 Members: local public and private transit operators, local colleges & Caltrans

**Social Services Transportation Advisory Council (SSTAC)**
- 9 members appointed pursuant to TDA regulations
- Plus 9 members appointed by the HCAOG Board

**Technical Advisory Committee (TAC)**
- 12 Members including City staff, County staff, Tribal

**Staff**
- Senior Planner
- Associate Planner
- Administrative Services Officer
- Executive Assistant

**Executive Director**

**Legal Counsel**
PUBLIC PARTICIPATION PROCESS

Consultation and public participation during the development of transportation plans, programs, and projects is an essential part of the transportation planning process. An open and accessible consultation and public participation process is critical for discussing and resolving regional transportation issues. HCAOG’s new office now has a conference room at a convenient location, within blocks from both the County Courthouse and the Eureka City Hall. Facebook is a means to increase the public’s knowledge of HCAOG’s roles, responsibilities, projects, and documents.

HCAOG uses a number of committees, public hearings, workshops, surveys, and publications to inform, gauge, and respond to public concerns regarding regional issues. HCAOG’s SSTAC will ensure that there is an adequate effort made to include the traditionally under-served and under-represented in the planning unmet transit needs process.

HCAOG staff works closely with a number of the Native American tribal governments in the region. In 2013, the HCAOG Board adopted criteria for membership on the Board. Interested parties, including a Joint Powers Agency formed by tribes have an opportunity to obtain a seat on the HCAOG Board through adherence to the adopted criteria. HCAOG endeavors to enlist tribal involvement through outreach efforts by encouraging membership and participation with HCAOG committees, projects and activities, in addition to attending meetings, workshops and activities sponsored by the Tribes. HCAOG staff attends meetings of the North Coast Tribal Transportation Commission (NCTTC). The NCTTC is a cooperative transportation improvement initiative comprised of federally recognized tribes in Northern California. The NCTTC was formed to seek federal, state, and local funding, to promote safe and efficient modes of transportation, to seek opportunities to preserve contemporary and traditional modes and routes of transportation, to raise awareness of tribal transportation issues, and to represent Humboldt County tribes’ transportation issues and priority projects at federal, inter-tribal, tribal, state, and county levels.

HCAOG encourages the direct involvement of citizens and organizations that represent specific segments of the population to ensure that plans and programs reflect the diverse interests within the region. HCAOG allows for public participation at all levels of the planning process. All committee and Board of Directors meetings are open to the public and all agendas include a public participation item. All public hearings are noticed through the HCAOG website, Facebook, local print media, and electronic mail to stakeholder lists. All meeting agendas are posted on the HCAOG website and physically at the site where the meeting will take place (usually HCAOG’s office).
**FEDERAL PLANNING FACTORS**

The U.S. Congress issues federal planning factors (Title 23 United States Code, Section 134(f)), which they revise when they reauthorize the federal transportation bill should also be incorporated in the OWPs of Metropolitan Planning Organizations (MPOs) and Regional Transportation Planning Agencies (RTPAs). The eight planning factors (for both metropolitan and statewide planning) are listed in the matrix below.

Planning Emphasis Areas (PEAs) for transportation planning are also developed at the national level (jointly by FHWA and FTA). However, while MPOs must incorporate the PEAs into their OWPs, RTPAs are not required to do so.

<table>
<thead>
<tr>
<th>Federal Planning Factor</th>
<th>HCAOG Work Element</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>a. Support the economic vitality of the metropolitan area, especially by enabling global competitiveness, productivity, and efficiency.</td>
<td>X</td>
</tr>
<tr>
<td>b. Increase the safety of the transportation system for motorized and non-motorized users.</td>
<td>X</td>
</tr>
<tr>
<td>c. Increase the security of the transportation system for motorized and non-motorized users.</td>
<td>X</td>
</tr>
<tr>
<td>d. Increase the accessibility and mobility of people and for freight.</td>
<td>X</td>
</tr>
<tr>
<td>e. Protect and enhance the environment, promote energy conservation, improve the quality of life, and promote consistency between transportation improvements and State and local planned growth and economic development patterns.</td>
<td>X</td>
</tr>
<tr>
<td>f. Enhance the integration and connectivity of the transportation system, across and between modes, for people and freight.</td>
<td>X</td>
</tr>
<tr>
<td>g. Promote efficient system management and operation.</td>
<td>X</td>
</tr>
<tr>
<td>h. Emphasize the preservation of the existing transportation system.</td>
<td>X</td>
</tr>
</tbody>
</table>
BUDGET SUMMARY REVIEW

The Draft Amended Fiscal Year 2014-2015 Overall Work Program (OWP) & Budget requires total funding of $1,037,400, funded from a combination of state and local and grant funds.

Local Funding

Local Transportation Fund (LTF): This Draft amendment OWP programs $220,000 in LTF funds, includes $18,801 in carryover, for a total commitment of $238,801.

Planning, Programming & Monitoring (PPM): In accordance with SB 45 provisions (as revised under AB 608, effective 1/1/02) up to 5% of Humboldt County’s Regional Choice (SB 45) funds may be utilized for eligible PPM activities. A total of $118,000 in FY 2014-15 PPM funds is programmed in this OWP. Also included is $178,000 in carryover ($113,000 in FY 12-13 and $65,000 in FY 13-14), for a total PPM commitment of $296,000.

Service Authority for Freeway Emergencies (SAFE): The Call Box Program allows for administration, management, and implementation of various studies and services including the countywide system of call boxes. A total of $184,400 is programmed in this year’s OWP.

Of the total draft 2014-15 OWP funds, the commitment from local funding sources totals $700,400.

State Funding

Rural Planning Assistance (RPA): For the seventeenth consecutive year, State RPA funding is expected to be available to assist in funding the OWP. This fiscal year the RPA has an increase of $22,000. The Draft amendment OWP includes a total of $337,000 in RPA funds and a carryover of $17,905, for a total commitment of $354,905.

Of the total funds for fiscal year 2014-15, State funding sources total $337,000.

(65.85% 69.06%)

(31.69% 30.94%).
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<thead>
<tr>
<th>WE No.</th>
<th>Work Element</th>
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<th>State Funds</th>
<th>Total</th>
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<td>LTF</td>
<td>PPM</td>
<td>SAFE</td>
</tr>
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<td>Current Planning</td>
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<td>124,105</td>
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<td>3</td>
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</tbody>
</table>

Local Transportation Funds (LTF)
Planning Programming and Monitoring (PPM)
Service Authority for Freeway Emergencies (SAFE)
Rural Planning Assistance (RPA)
Work Element 1  Current Planning

Purpose Statement:
Current Planning covers the extensive RTPA duties for general transportation planning duties.

Previous, ongoing and future years’ work:
This is an annual work element. This work element covers routine transportation planning duties such as preparing for and attending meetings and maintaining communications and outreach activities.

Tasks:
1. Day-to-day transportation planning duties, including monitoring state and federal legislative activities, gathering information for Public Records Act and transportation correspondence. Develop and maintain contacts. Update the HCAOG website and social media such as Facebook. (HCAOG Staff–through 6/15)

2. Attend meetings for transportation planning at local government and tribal meetings (City Council, Tribal Council, Board of Supervisors, North Coast Tribal Transportation Commission (NCTTC).

3. Participate in transportation organizations and committees, such as the North State Super Region (NSSR), California Association of Councils of Governments (CALCOG), and Aspiring Counties meetings. (HCAOG Staff–through 6/15) Note: RPA funds will not be used for attendance or work associated with this task.

4. Prepare for, plan, and attend HCAOG Board, Executive Committee, TAC, SSTAC and SCC meetings. Includes posting meeting agendas and materials to HCAOG website. (HCAOG Staff–through 6/15).

5. Allocate annual dues for membership in the Rural Counties Task Force, and CALCOG. Note: RPA funds will not be used for these costs. (HCAOG staff-one time annual task).

6. Coordinate the annual Unmet Transit Needs (UTN) Process with the SSTAC as lead. Coordinate with local and tribal governments, gather public information and comments. Prepare draft and final reports for Board adoption and submittal to Caltrans: (HCAOG Staff, SSTAC–through 4/15)

7. Prepare staff reports for HCAOG Board and committee meetings (HCAOG staff through 6/15)

Task Products
1. Public records requests, transportation related correspondence, HCAOG website.
2. Record of meetings.
3. Meeting agendas, minutes, staff reports, and meeting documents.
4. Record of membership invoices.
5. Membership to RCTF and CALCOG
6. Announcement, flyers, survey and public notices advertising the UTN hearings. Draft and Final UTN reports.

Staff reports
<table>
<thead>
<tr>
<th>Agency</th>
<th>Funding Source</th>
<th>Total Costs</th>
</tr>
</thead>
<tbody>
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<td></td>
<td>LTF</td>
<td>PPM</td>
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<tr>
<td>HCAOG Staff</td>
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<td>8,220</td>
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<tr>
<td></td>
<td>7,245</td>
<td>124,105</td>
</tr>
<tr>
<td>CALCOG/NSSR/Aspiring Counties Meetings</td>
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<td></td>
<td>7,500</td>
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<td><strong>Total</strong></td>
<td><strong>26,000</strong></td>
<td><strong>8,220</strong></td>
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</tbody>
</table>

|                  | **229,245** | **124,105** | **160,350** |

|                  | **$26,000** | **$8,220**  | **$119,000** | **$153,220** |

|                  | **245**     | **105**     | **350**     |

|                  | **29,000**  | **29,000**  | **350**     |
Work Element 2  Advanced Planning

Purpose Statement: 
Advanced planning covers long-range transportation duties to achieve HCAOG mission goals. Promotes working relationships with federal, state, inter-regional, local and regional agencies involved in transportation, including rail, port, air quality, aviation, public transit and land use planning, as well as public health and social services.

Previous, ongoing and future years’ work:  
This is an annual work element. Previous and ongoing tasks include coordinating with transportation-related agencies and Caltrans to develop and maintain a functional sustainable transportation system.

Tasks:
1. Participate in collaborative, multi-agency long-range transportation planning, including attending meetings, and researching legislation, policies, and funding for implementing multi-agency projects and programs. Outreach to agencies with transportation-related duties, such as, but not limited to the North Coast Unified Air Quality Management District (NCUAQMD), the Airport Land Use Commission (ALUC), the North Coast Railroad Authority (NCRA), Humboldt Bay Harbor, Recreation and Conservation District (HBHRCD), Redwood Coast Energy Authority (RCEA) and Redwood Region Economic Development Commission (REDC). (HCAOG Staff–through 6/15)

2. Review agency reports, such as General Plans, EIRS, Transportation Plans, and other transportation-related studies to ensure consistency with HCAOG’s long-range planning goals and objectives. Review correspondence of local clearinghouse, and federal, state and local agencies relating to transportation and planning issues. (HCAOG Staff–through 6/15)

3. Participate and coordinate with Caltrans District 1 including the Greater Eureka Area Technical Advisory Group and the Pilot Climate Change Study. Facilitate a presentation of the Pilot Climate Change Study to the HCAOG Board. (HCAOG Staff, Caltrans, Consultants–through 6/15)

4. Research passenger rail studies and services. Arrange a presentation on the Sonoma Marin Area Rail Transit (SMART) project. Monitor the upcoming Sacramento-Placerville Transportation Corridor Alternatives Analysis project by the El Dorado Transportation Commission and the Santa Cruz Passenger Rail study by the Santa Cruz Regional Transportation Commission.

5. Prepare staff reports for HCAOG Board and committee meetings. (HCAOG Staff–through 6/15)

Task Products:
1. Record of meeting.
2. Comment letters, and letters of concurrence.
3. Participation in Caltrans meetings.
4. SMART Presentation, report on rail studies.
5. Staff reports.

<table>
<thead>
<tr>
<th>WE 2  Agency Responsibility and Funding</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agency</td>
</tr>
<tr>
<td>RPA</td>
</tr>
<tr>
<td>HCAOG Staff</td>
</tr>
<tr>
<td></td>
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<tr>
<td>SMART Presentation/Climate Change Study Presentation</td>
</tr>
<tr>
<td><strong>Total</strong></td>
</tr>
</tbody>
</table>

HCAOG FY 2014-15 Overall Work Program - Amendment #1 adopted May 2014 November 2014 Page 12
Work Element 3  Planning and Programming State Funds

Purpose Statement:
Plan and administer state transportation planning funds and improvement programs associated with the Regional Transportation Improvement Program (RTIP) and State Transportation Improvement Program (STIP), including the Transportation Alternatives (TA) program, Regional Surface Transportation Program (RSTP), Highway Safety Improvement Program (HSIP), and State Highway Operation and Protection Program (SHOPP).

Previous, ongoing and future years’ work:
This is an annual work element. Ongoing tasks include project programming for the STIP, Interregional Transportation Improvement Program (ITIP) and TA program. This work element also includes annually renewing 5 StreetSaver licenses for the Pavement Management System.

Tasks:
1. Attend CalRTPA, Rural Counties Task Force (RCTF), Caltrans, and California Transportation Commission (CTC) meetings and workshops. Participate in the update of Active Transportation Program guidelines and application review committee. (HCAOG Staff–through 6/15)

2. Review RTIP/STIP Guidelines and fund estimates for STIP cycle, which may include a call for projects, project ranking, programming and technical support to local governments in coordination with Caltrans and CTC staff. (HCAOG Staff–through 6/15)

3. Carry out Regional Surface Transportation Program (RSTP) related duties for transportation planning and coordinate with local agencies, and tribal governments. Respond to and implement changes in the RSTP process that may arise from Federal Reauthorization and/or changes in HCAOG policies. (HCAOG Staff–through 6/15)

4. Prepare staff reports for HCAOG Board and committee meetings. (HCAOG Staff–through 6/15)

5. Renew five StreetSaver Licenses for the region (annual renewal).

5.6. Purchase Caliper Traffic Model License for the region.

Task Products:
1. Record of meetings.
2. Record of RSTP allocations.
3. Staff reports for HCAOG Board and committee meetings.
4. Invoices for StreetSaver license renewals.
5. Caliper Traffic Model License

WE 3 Agency Responsibility and Funding

<table>
<thead>
<tr>
<th>Agency</th>
<th>Funding Source</th>
<th></th>
<th></th>
<th></th>
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<tbody>
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<td>PPM</td>
<td>RPA</td>
<td>Total Costs</td>
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</table>
Work Element 4  Project Delivery and Oversight

Purpose Statement:
One of HCAOG's key obligations as the RTPA, is oversight to ensure effective project development and delivery. This work element includes managing, reporting, and monitoring (projects) to effectively deliver projects funded with current resources and to capitalize on future resources.

Previous, ongoing and future years’ work:
This is an annual work element. Ongoing tasks include member entities’ activities associated with project engineering. For HCAOG it includes monitoring projects using federal, state, and local grant funds, and coordinating with local and tribal governments to develop projects that meet federal program guidelines.

Tasks:
1. Develop project study reports (PSRs), feasibility studies, capital improvement plans or major investment studies by local agencies in cooperation with regional agencies (PPM funds). (Local and Tribal Governments–through 6/15)
   - City of Eureka – PSR for South Gateway Project. $45,000 (Local jurisdiction–through 6/15)
   - City of Ferndale – Pedestrian Safety & Feasibility Study, $7,500 (Local jurisdiction–through 6/15)
   - City of Trinidad – Van Wycke Street Trail $5,000 (Local jurisdiction–through 6/15)
   - Humboldt County Public Works—Humboldt Bay Rail Trail Project, Eureka to Bracut Segment. $21,000 (Local jurisdiction–through 6/15)
   - City of Arcata – Roundabouts at Highway 255–101 Interchange. $22,500 (Local jurisdiction–through 6/15)
   - City of Fortuna – Study for Bicycle and Pedestrian Improvements. $12,500 (Local jurisdiction–through 6/15)
   - County of Humboldt - Public outreach and fund raising. $5,000 (Local jurisdiction-through 6-15)

2. Monitor project delivery, implementation schedules, costs, and deadlines. Take necessary actions to prevent loss of funds to the region. Develop correspondence, allocation requests, STIP amendments, time extension request and reports. (HCAOG Staff, legal counsel–through 6/15)

3. Attend Caltrans Local Assistance webinars and other Caltrans or local government or tribal meetings for PPM funded studies and STIP funded projects. (HCAOG Staff–through 6/15)

4. Prepare staff reports for HCAOG Board and committee meetings. (HCAOG Staff–through 6/15)

Task Products:
1. PSR feasibility studies, major investment studies.
2. Record of correspondence, allocation requests, time extension requests, and reports related to the STIP.
3. Record of meetings and webinars.
4. Staff reports.

WE 4 Agency Responsibility and Funding

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HCAOG FY 2014-15 Overall Work Program - Amendment #1 dated May 2014 November 2014  Page 14
Work Element 5  Overhead Costs

Purpose Statement:
Overhead costs cover the day-to-day expenses associated with HCAOG.

Previous, ongoing and future years’ work:
This is an annual work element. Overhead costs include expenses associated with office lease, personnel duties, paying for Auditor-Controller accounting fees, legal counsel, and office maintenance. This work element is funded fully by local LTF funds.

Tasks:
1. Office maintenance, lease, insurance, and legal services. (HCAOG–through 6/15)
2. Printing, postage, publications, communication, office equipment, equipment lease. (HCAOG–through 6/15)
4. Maintain and upgrade computers as necessary, computer systems, network, website, and equipment. (HCAOG–through 6/15)
5. Accounting and payroll services provided by the County of Humboldt. (Humboldt County–through 6/15).
6. Prepare staff reports for HCAOG Board and committee meetings. (HCAOG Staff–through 6/15)

Task Products:
1. Organized functional office. Record of insurance and legal services.
2. Invoices for Printing, postage, computer maintenance and equipment, leased office equipment and rent.
3. Performance reviews, personnel policies, personnel records.
4. Record of payment for accounting and payroll services from auditor's office.
5. Staff reports.

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Work Element 6  

Grant Development

Purpose Statement:
Grant Development includes researching and providing technical assistance to local agencies for transportation grant opportunities and applications, as well as applying for grants with HCAOG as lead sponsor/agency.

Previous, ongoing and future years’ work:
This is an annual work element. This work element includes tasks to assist members and local partners in applying for grants from various funding sources. HCAOG will assist local transit agencies with programs such as the Elderly and Disabled Specialized Transit Program (FTA 5310), Rural and Transit Intercity Bus (FTA Section 5311 & 5311(f)), and California Office of Emergency Services (Cal OES), and may attend the annual California Association for Coordinated Transportation (CalACT) workshop.

Tasks:
1. Research and disseminate information on transit grants and transportation planning grants available to the region and assist with grant applications, including letters of support. (non 5310, 5311) (HCAOG Staff–through 6/15)

2. FTA 5310 Program: solicit applications and provide technical assistance to applicants. Score applications. (HCAOG Staff–through 6/15)

3. FTA 5311 Program: solicit applications and provide technical assistance to applicants. (HCAOG Staff–through 6/15)

4. Attend federal, state or local training workshops on grant programs, such as the CalACT, 5310 and TIGER Grants, etc. (HCAOG Staff–through 6/15)

4-5. Develop and adopt Title VI; Policies and Procedures, which are required in order to receive Federal funds. (HCAOG Staff–through 6/15)

5-6. Prepare staff reports for HCAOG Board and committee meetings. (HCAOG Staff–through 6/15)

Task Products:
1. Informational notices. Support letters, Grant applications.
2. Record of work done for the FTA 5310 Elderly and Disabled Transit Program.
3. Record of work done for the FTA 5311 Rural and Transit Intercity Bus Program.
4. Record of attendance at workshops.

5. Title VI Policies and Procedures
5-4 Staff report.

WE 6 Agency Responsibility and Funding

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Work Element 7       Public Outreach

Purpose Statement:
The Public Outreach serves to increase public awareness and understanding of HCAOG's regional transportation issues, goals, policies, and programs/plans.

Previous, ongoing and future years’ work:
This is an annual work element.

Tasks:
1. Prepare and publish public outreach materials (notices, service announcements, fliers, brochures, news releases, print and radio advertising, radio and television spots). (HCAOG Staff–through 6/15)

2. Attend transportation-related working groups, forums, ceremonies (e.g. ground-breaking and ribbon-cutting) that will augment HCAOG’s PR/publicity/outreach. (HCAOG Staff–through 6/15)

3. Prepare staff reports for HCAOG Board and committees. (HCAOG Staff–through 6/15)

Task Products:
1. Record of Public notices, P.R. materials, record of media advertising.
2. Attendance at events, workshops, forums, etc.
3. Staff reports.

WE 7 Public Outreach

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Work Element 8  Training

Purpose Statement:
The Training work element helps fund registration fees and travel costs for HCAOG board members and staff to attend transportation-related trainings and conferences for technical, planning, or management expertise.

Previous, ongoing and future years’ work:
This is an annual work element.

Tasks:
1. Attend transportation-related trainings, including planning academies, seminars, or workshops offered through Caltrans, CALCOG, NARC or other agencies. (HCAOG Board, HCAOG Staff–through 6/15)

2. Attend administrative workshops to improve office efficiency and management. (HCAOG Staff–through 6/15)

Task Products:
1. Attendance at transportation planning workshops and trainings.
2. Attendance at workshops/trainings, education and training materials, improved office operations.

WE 8 Agency Responsibility and Funding

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Work Element 9  Transportation Development Act (TDA) Fund Management

Purpose Statement:
TDA Fund Management is included to allocate and administer Local Transportation Funds (LTF) and State Transit Assistance (STA) funds to comply with federal and state laws and regulations.

Previous, ongoing and future years’ work:
This is an annual work element. HCAOG reviews and approves TDA claims submitted for authorized uses. HCAOG is also responsible to ensure that annual Fiscal and Compliance and Triennial Performance audits be prepared for all entities that claim TDA funds.

Tasks:
1. Administer TDA Funds (LTF and STAF), including allocating and paying LTF and STA funds, administering a program of projects, processing claims and assisting claimants, and assisting with audits. Review TDA, update HCAOG’s TDA Rules, research CTSA regulations. (HCAOG Staff–through 6/15)

2. Perform TDA fiscal and compliance audits; prepare reports and presentation to HCAOG Board. (Consultant–through 12/14)

2.3. Hire a consultant to research and provide recommendations for centralized dispatching, cost savings, cost sharing and travel zone improvements of the existing Dial A Ride systems. (Consultant through-6/15/)

3.4. Staff reports to HCAOG Board and committees.

Task Products:
1. TDA funds (LTF and STAF) allocated.
2. Fiscal and Compliance audit reports and presentation.
3.4 Staff reports.

WE 9 Agency Responsibility and Funding

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HCAOG FY 2014-15 Overall Work Program - Amendment #1 Effective May 2014 November 2014 Page 19
Work Element 10  Regional Transportation Plan (RTP) Implementation

Purpose Statement:
The RTP Implementation work element covers procedural and ongoing tasks to carry out RTP policies and implement projects/programs adopted in the RTP. It includes keeping the RTP in compliance with State requirements. HCAOG ensures that local plans and programs are included in the RTP to establish eligibility for state and federal funding.

Previous, ongoing and future years’ work:
This is an annual work element. RTP implementation tasks are ongoing. RTP updates are required every five years in rural counties.

Tasks:

1. Adopt RTP Update 2014
   (a) Prepare CEQA environmental review (Environmental Impact Report). Draft EIR forty-five day public & agency review period, July-August 2014 (HCAOG Staff, Consultants—through 9/14)
   (b) Draft EIR public hearing, August or September Board meeting.
   (c) Present Final RTP and EIR to the HCAOG Board for adoption. (HCAOG Staff—through 10/14)

2. Implement policies and projects of the current Regional Transportation Plan. (HCAOG Staff—through 6/15)

2.3. Consider member requests to change the RTP cycle from five to four years. (HCAOG Staff through 12/14)

3.4. Prepare staff reports to HCAOG Board and committees. (HCAOG Staff—through 6/15)

Task Products:

1. Certified EIR and adopted RTP Update.
2. Record of work done on RTP projects.
3. Staff reports.

WE 10 Agency Responsibility and Funding

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Total $14,400 $24,000
Work Element 11  Pavement Management Program

Purpose Statement:
The Pavement Management Program (PMP) provides HCAOG member entities and Native American Tribes the same, systematic method to evaluate roadway pavement conditions in the region, and prioritize their maintenance, rehabilitation, and reconstruction needs. This project will update the PMP database including overlays that are compatible with the Geographical Information System (GIS) centerline already in place for the larger entities.

Previous, ongoing and future years’ work:
The PMP is required to be updated every two to four years. HCAOG funded a regional Pavement Management Program in the FY 2009/10 and 2010/11 OWPs.

Tasks:
1. Develop and distribute a Request for Proposals (RFP); select a qualified firm; negotiate, the final scope of work, execute and administer contract (by Aug/Sept); manage project consultant. (Consultant, HCAOG Staff–through 6/15)

2. Project Kick off meeting with TAC (Consultant, HCAOG Staff–09/15)

3. Evaluate pavement conditions: condition surveys/PCI calculations, M&R decision tree.. Prepare budgetary analysis, draft and final reports. (Consultant–through 4/15)

4. Presentation to TAC and HCAOG Board. (Consultant–through 5/15)

45. Prepare staff reports for HCAOG Board and TAC. (HCAOG Staff–through 5/15)

Task Products:
1. RFP. Signed contract.
2. PMP updates, GIS linkage.
3. Draft and Final Reports.
4. Staff reports HCAOG Board and Committee presentations,.
5. Staff reports

WE 11 Agency Responsibility and Funding

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Work Element 12 Implementation of the Humboldt County Coordinated Public Transit-Human Services Transportation Plan (Coordinated Plan)

Purpose Statement:
The Coordinated Plan identifies projects that are eligible for funding from the federal Enhanced Mobility of Seniors & Individuals with Disabilities Program (FTA Section 5310). Implementing the Coordinated Plan will pursue strategies to address the transportation needs of persons of low income, persons with disabilities, and seniors.

Previous, ongoing and future years’ work:
HCAOG updated the Coordinated Plan in December of 2013. This work element includes implementing identified projects in the adopted plan, and any needed amendments to incorporate a Capital Improvement/Replacement Program. HCAOG will coordinated with the SCC, SSTAC, regional partners, tribal governments, human service representatives, and other service providers.

Tasks:
1. Request and compile data to develop a Capital Improvement/Replacement Program. Prepare Coordinated Plan Amendment to incorporate into the plan. (HCAOG Staff/SCC/SSTAC–through 6/15)

2. Review unmet transit needs data and conduct survey to determine ridership demand and destination locations for strategies/projects; identify service zones/days/hours (HCAOG Staff/SCC/SSTAC–through 6/15)

3. Research funding sources available to implement the Coordinated Plan strategies. (HCAOG Staff/SCC/SSTAC–through 6/15)

4. Coordination to determine if existing agencies can expand current service to fulfill strategies/projects. Identify recommendations for next steps. (HCAOG Staff/SCC/SSTAC–through 6/15)

5. Prepare staff reports for HCAOG Board and committee meetings. (HCAOG Staff–through 6/15)

Task Products
1. Capital Improvement/Replacement Program
2. Summary of ridership demands; report of potential service zones.
3. Current inventory of applicable funding sources.
4. Meeting records, summary of recommended next steps.
5. Staff reports.

WE 12 Agency Responsibility and Funding

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Work Element 13  Regional Bicycle Parking Program

Purpose Statement:
This work element covers disseminating best practices for installing racks, and compiling and disseminating bicycle parking codes from different jurisdictions in Humboldt. Sharing this information could help foster more consistent standards throughout the region.

Previous, ongoing and future years' work:
This program was listed in the 2008 Regional Bicycle Plan, and was carried over in the 2012 Bike Plan update. No work on this program has been done to date. The Ad-hoc Bicycle Advisory Committee (in January 2014) recommended this program as a new OWP work element.

Tasks:
1. Research and compile information on best practices for choosing, installing, and maintaining public bike racks, at locations including but not limited to: public sidewalks, in-street ways (e.g. parklets), in buildings, in parking lots, and on buses. Research “best practices” and local examples of bike rack design standards and building codes. Research shall include consulting with TAC and SCC members, other staff from local jurisdictions, advocates and other stakeholders. (HCAOG staff–through 6/15)

2. Present draft findings to TAC and other interested parties for review and comment. Prepare a final report. (HCAOG staff–through 6/15)

3. Reproduce final report as a guidebook to disseminate to jurisdictions and other stakeholders. (HCAOG staff–through 6/15)

4. Prepare staff reports. (HCAOG staff–through 6/15)

Task Products:
1. Compiled information; record of meetings with local jurisdictions.
3. Final guidebooks; dissemination and outreach.
4. Staff reports.

WE 13 Agency Responsibility and Funding

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Work Element 14  Annie & Mary Trail, Phase 2 Continued

Purpose Statement:
Based on the outcome of work element 14-1, this element will facilitate work required for the actual railbanking process.

Previous, ongoing and future years’ work:
This work element includes tasks previously performed in the FY 2010/11 OWP under work element 1.6 Annie and Mary Trail (Phases I and II). Previous work includes tasks outlined in Phase 1 of the project; Annie and Mary Feasibility Study, prepared by the Redwood Community Action Agency (RCAA), in 2003; Annie & Mary Trail Next Steps, prepared for HCAOG by Alta Planning and Design, in 2008; Phase I Environmental Study of the rail corridor, 2009.

Tasks: Tasks 1 was completed in FY 2011/12.

1. Historical research of the Arcata and Mad River Railroad. (HCAOG Staff, Completed)

2. Develop RFP for historical report, execute and maintain contracts, attend project meetings, mange project, review invoices, coordinate with consultants and participating partners. (HCAOG Staff–through 6/15)

3. Coordinate NCRA, STB, rail-banking activity. (HCAOG Staff–through 6/15)

4. Prepare historical report for railbanking filing. (HCAOG Staff, Consultant–through 6/15)

5. Prepare and file documents for railbanking. (HCAOG Staff, Consultant–through 6/15)

6. Develop and prepare preliminary planning for phases of the trail not utilizing railbanking. (Local Jurisdictions–through 6/15)

6. Prepare staff reports for HCAOG Board and committee meetings. (HCAOG Staff–through 6/15)

Task Products
2. RFP, record of invoice review, payment, and correspondence with stakeholders.
3. Record of coordination with rail authorities.
4. Historical Report of Arcata Mad River line.
5. Record of railbanking filing.
6. Staff reports.

WE 14-2 Agency Responsibility and Funding

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Work Element 15  Regional Safe Routes to School

Purpose Statement:
The Regional Safe Routes to School Project will help coordinate SR2S efforts countywide to widely disseminate SR2S materials, tools, and concepts; to maximize resources from different agencies, districts, schools, and organizations; and to minimize duplication.

Previous, ongoing and future years’ work:
The project will build on the work done in the last two fiscal years. HCAOG implemented the Regional SR2S Prioritization Tool, which created a GIS-based tool for prioritizing regional SR2S projects. In FY 2013/14, HCAOG attended the National SR2S bi-annual conference and participated in the advisory Humboldt Countywide Safe Routes to School Task Force (which formed under the initial project). HCAOG will continue participating in the task force. Future years’ work may include assisting jurisdictions in preparing SR2S projects and keeping the Toolkit’s database up-to-date.

Tasks:
1. Prepare for and attend Humboldt Countywide SR2S Task Force monthly meetings and other SR2S-related meetings. (HCAOG Staff–through 6/15)
2. Disseminate and facilitate implementing the SR2S Prioritization Toolkit in conjunction with state, federal, grant, and other funding opportunities. Update Toolkit and implement recommendations of the Final SR2S Tool Report, to the extent feasible with current resources. (HCAOG Staff–through 6/15)
3. Research and training/webinars for SR2S.
   2-4. Support phone call surveys conducted by the Redwood Community Action Agency (Consultant–through 6/15)
3-5. Maintain the SR2S webpage on HCAOG’s website. (HCAOG Staff–through 6/15)
4. Prepare staff reports for HCAOG Board and committee meetings (HCAOG Staff–through 6/15)

Task Products:
1. Attendance at meetings, minutes.
2. Toolkit database/inventory, project matrix, prioritization schedule/process.
3-4. Up-to-date regional Safe Routes to School webpage.
4-5. Prepare staff reports for HCAOG Board and committee meetings.

WE 15 Agency Responsibility and Funding

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Work Element 16  
Active Transportation Projects

Purpose Statement:
Promote multi-modal transportation emphasizing active transportation (walking, bicycling, as well as public transit). Efforts shall include educating, informing, marketing and promoting incentives for people to choose active transportation modes and reduce motorized trips.

Previous, ongoing and future years’ work:
This work element is expanded from FY 2013/14’s “Regional Bicycle Guide & Map” project (work element 18). Last year’s work included marketing and distributing the Humboldt Bay Area Bike Map as a strategy to increase non-motorized trips.

Tasks:
1. Collaborate with agencies and organizations for public education and encouragement, including promoting Bike to Work Month and Walk to School Month (which promotes all forms of active transportation) and other events. Disseminate active transportation educational and promotional materials (e.g. safety education, Humboldt Bay Area Bike Map, transit connections, multi-modal travel, etc.). (HCAOG Staff–through 6/15)
2. Promote active transportation on HCAOG website, including but not limited to the bicycle map, safety education, and relevant events (HCAOG Staff–through 6/15)
3. Facilitate and manage the annual monitoring of (progress in implementing) the Humboldt Regional Bicycle Plan. Coordinate and facilitate an ad hoc bicycle advisory committee for this review (per Bike Plan policy 3.2). (HCAOG Staff–through 6/15)
4. Research and training/webinars for active transportation issues.
4. Prepare staff reports for HCAOG Board and committees. (HCAOG Staff–through 6/15)

Task Products:
1. Educational materials and events and promoting active transportation.
2. HCAOG website with current active transportation information.
4. Stay updated on ATP issues.
4. Staff reports.

WE 16 Agency Responsibility and Funding

<table>
<thead>
<tr>
<th>Agency</th>
<th>Funding Source</th>
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</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>LTF</td>
<td>RPA</td>
</tr>
<tr>
<td>HCAOG Staff</td>
<td>6,200</td>
<td>9,800</td>
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<td></td>
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<tr>
<td>Books/Publications</td>
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</table>

|                   |                 |
|                   | $13,000         |
|                   |                 | $13,000     |
Work Element 17          Local Funding for Self Sufficiency *Continued*

Purpose Statement:
Pursue developing local funding sources for regional transportation needs.

Previous, ongoing and future years’ work:
This is a new work element. This work element would research potential funding sources or mechanisms for the regional transportation system, and assess next best steps. This work element can include public education and polling. Polling can also be a tool to educate the public about transportation funding issues.

Tasks:

1. Research potential local revenue strategies. (HCAOG Staff-through 11/15)

2. Facilitate a Board workshop and forum of industry experts to candidly discuss the opportunities, barriers and process of pursuing a transportation tax. Prepare education materials and presentations on transportation funding. (Consultant, HCAOG Staff-through 12/15)

3. Create and edit workshop summary/work plan. Present to HCAOG committees and Board. (Consultant, HCAOG Staff-through 6/15)

4. Prepare staff reports for HCAOG Board and committees. (HCAOG Staff-through 6/14)

Task Products

1. Record of research of potential local revenue strategies.
2. Panelist invite list, workshop agenda, funding 101 Power Point, HCAOG funding options Power Point.
3. Workshop summary/Workplan.
4. Prepare staff reports.

WE 17 Agency Responsibility and Funding

<table>
<thead>
<tr>
<th>Agency</th>
<th>Funding Source</th>
<th>PPM</th>
<th>Total Costs</th>
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<tr>
<td>HCAOG Staff</td>
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<td>3,000</td>
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<td>Consultant</td>
<td></td>
<td>11,000</td>
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<td>Total</td>
<td></td>
<td>$14,000</td>
<td>$14,000</td>
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</table>
Work Element 18  Park-and-Ride Study Continued

Purpose Statement:
Conduct a feasibility study for developing park-and ride lots near bus stops and/or transit hubs.

Previous, ongoing and future years’ work:
This is a continuing work element. Last year consultants were hired, and are contracted to finish the Park-and-Ride Study in July 2015.

Tasks:
1. Design project scope of work; solicit Request for Proposal (RFP), contract consultant. (Completed.)
   Manage consultant. (HCAOG Staff–through 8/14)

2. Research potential park-and-ride locations and costs to acquire leasing and or building. (Consultant–through 6/14)

3. Prepare feasibility of "next steps" report, including funding possibilities. (Consultant–through 7/14)

   (Consultant–through 7/14)

5. Prepare staff reports for HCAOG Board and committees. (HCAOG Staff–through 7/14)

Task Products:
3. Feasibility "next steps" report.
5. Staff reports.

WE 18 Agency Responsibility and Funding

<table>
<thead>
<tr>
<th>Agency</th>
<th>Funding Source</th>
<th>Total Costs</th>
</tr>
</thead>
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<tr>
<td></td>
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<td><strong>$2,3004,150</strong></td>
<td><strong>$2,3004,150</strong></td>
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</table>
Work Element 19  Rural Transit Transport

Purpose Statement:
The goal of this project is to create a new revenue source for Humboldt’s most remote rural transit routes. The idea is to develop a transit management plan for a pilot project to offer local, small businesses transit service to transport their small-scale products to communities in southern and eastern Humboldt County. The new source of farebox revenue will help preserve and hopefully expand the existing rural transit routes.

Previous, ongoing and future years’ work:
This is a new work element.

Tasks:
1. Project Initiation and Management – Develop project schedule and scope; coordinate staff/manage project; facilitate committee participation; prepare staff reports. (HCAOG Staff–through 6/15)
2. Feasibility Study – Research feasibility, including researching federal and State transit funding rules and regulations; surveying small businesses to identify needs and estimate demand; research equipment for transporting and storing freight; consult with transit providers and riders. Perform preliminary cost/revenue analysis. (HCAOG –through 6/15)
3. Research Funding & Grant Applications – Research funding resources (including in-kind) to fund start-up capital, operating costs, and outreach/marketing program. (HCAOG, SCC–through 6/15)

Task Products:
1. Meeting agendas and meeting records
2. Feasibility study
3. Summary of funding sources/grant opportunities
4. Draft and final report; SCC meeting record; Board meeting record
5. Staff reports

WE 19 Agency Responsibility and Funding

<table>
<thead>
<tr>
<th>Agency</th>
<th>Total Costs</th>
</tr>
</thead>
<tbody>
<tr>
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<td>HCAOG Staff</td>
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</table>

| HCAOG FY 2014-15 Overall Work Program - Amendment #1 adopted May 2014 November 2014 Page 29 |
Work Element 20  Overall Work Program Development

Purpose Statement:
Overall Work Program (OWP) Development covers the development and management of the OWP.

Previous, ongoing and future years' work:
This is an annual work element. This work element covers OWP monitoring, budget development, and preparing quarterly progress reports.

Tasks:
1. Research for and prepare current and future years OWP and budget. Manage the work program. Monitor the OWP budget, prepare and processing amendments, coordinate with local agency staff. Research and prepare for implementing an Indirect Cost Allocation Plan. (HCAOG Staff–through 6/15)


3. Complete daily timesheets. (HCAOG Staff–through 6/15)

4. Prepare staff reports for HCAOG Board and committee meetings. (HCAOG Staff–through 6/15)

Task Products
2. Quarterly reports, budget, claims and financial statements.
3. Timesheets.
4. Staff reports.

WE 20 Agency Responsibility and Funding

<table>
<thead>
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<th>Agency</th>
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</tr>
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<td>$78,000</td>
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</table>
Work Element 21  Service Authority for Freeway Emergencies (SAFE) Program

Purpose Statement:
As the SAFE coordinator for Humboldt County, HCAOG is responsible for operation and maintenance of a countywide system of freeway and rural highway call boxes. The call box network helps travelers-in-need contact the California Highway Patrol (CHP) for roadway emergencies. There are currently 66 call boxes on Highways 101 and 299. This emergency program is funded by a $1.00 yearly fee on vehicle registrations in Humboldt County, assessed through the Department of Motor Vehicles.

Previous, ongoing and future years’ work:
This is an annual work element. Previous and ongoing work includes maintaining the Call Box maintenance contract. This fiscal year, HCAOG will explore expansion of the Call Box Program to rural arterials and Highways 36, 96, and 169.

Tasks:
1. Oversee project, manage consultant. (HCAOG Staff, ongoing)
2. Attend CAL SAFE meetings, monitor legislation, and coordinate with statewide call box efforts. (HCAOG Staff, ongoing)
3. Conduct call box inventory. The consultant will make test calls, collect data (measurements, site type, and the general condition of the equipment; digital photos, GPS readings) at each existing call box site and evaluate compliance of the site configuration with ADA requirements. (Consultant–through 6/15)
4. Consider expanding the program. The consultant will analyze potential call box relocations or additional call boxes on State Highways and rural arterials. Consultant will prepare a final report that summarizes finding and recommendations to the HCAOG Board. (Consultant–through 6/15)
5. Update HCAOG’s current SAFE Implementation Plan. (HCAOG Staff, Consultant–through 6/15)
6. Call Box Program Operations & Maintenance. A qualified firm, contracted by HCAOG, will maintain and update the SAFE call box database as needed; track temporary removals required by road construction activities; interface with the SAFE cellular communications provider (currently US Cellular), and CHP to gather report information; create and submit to HCAOG quarterly, and annual reports. (Contractor–ongoing)
6.7. Contract with the California Highway Patrol for dispatch services and supplemental patrols on State Highways 36 and 96. (CHP-through 6/15)
7. Prepare staff reports for HCAOG Board and committee meetings. (HCAOG Staff–through 6/15)

Task Products:
1. RFP, record of consultant selection, contract negotiations and execution.
2. Consultant contracts.
3. Record of attendance at CAL SAFE meetings.
4. Inventory data.
6. Updated implementation plan; quarterly and annual usage reports.
7. CHP Contracts.
8. Staff reports.

### WE 21 Agency Responsibility and Funding

<table>
<thead>
<tr>
<th>Agency</th>
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</tr>
</thead>
<tbody>
<tr>
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<td>SAFE Account</td>
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<tr>
<td></td>
<td>HCAOG Staff</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Consultant – Inventory, expansion study, implementation plan and final report</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Consultant – Maintenance Contract</td>
</tr>
<tr>
<td></td>
<td>CHP-Dispatch and supplemental patrol contracts</td>
</tr>
<tr>
<td></td>
<td><strong>Total</strong></td>
</tr>
</tbody>
</table>
**Information Element**

**Purpose:**
The Information Element lists transportation planning activities that are being done by other agencies in the Humboldt region.
The Humboldt County Association of Governments is aware of the following transportation planning activities being performed in the region, during FY 2013/14:

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<thead>
<tr>
<th>Action/Agency</th>
<th>Product(s)/Project</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agency: Caltrans Update and development of the California Interregional Blueprint (CIB)</td>
<td>Integrating Statewide Modal Plans and Programs California Interregional Blueprint</td>
<td>Finalized Dec 2015</td>
</tr>
<tr>
<td>Agency: Caltrans District 1 Fund Source: FHWA Public Lands Highway Discretionary Program (PLHD)</td>
<td>Widen Portion of California State Route 36</td>
<td>FY 18-19</td>
</tr>
<tr>
<td>Agency: Caltrans Integrating statewide modal plans and programs</td>
<td>California Transportation Plan (CTP) 2040</td>
<td>December 2015</td>
</tr>
<tr>
<td>Agency: County of Humboldt Master Plan</td>
<td>Samoa Town Master Plan</td>
<td>Ongoing</td>
</tr>
<tr>
<td>Agency: County of Humboldt General Plan</td>
<td>Humboldt County General Plan</td>
<td>Ongoing</td>
</tr>
<tr>
<td>Agencies: City of Fortuna and Caltrans District 1 Develop a Master Plan for a multi-use trail system along Strong's Creek Fund Source: Community Based Transportation Planning (CBTP)</td>
<td>City of Fortuna, John Campbell Memorial Greenway and Strongs Creek Trail Master Plan</td>
<td>FY 2013/14</td>
</tr>
<tr>
<td>Agency: Caltrans DOTP Broadway Feasibility Study</td>
<td>Engineered Feasibility Study (EFS) Micro-simulation for Broadway on U.S. 101</td>
<td>Ongoing</td>
</tr>
<tr>
<td>Agency: Caltrans DOTP Greater Eureka Area Modeling Group</td>
<td>Traffic Modeling Products for the Greater Eureka Area</td>
<td>Ongoing</td>
</tr>
<tr>
<td>Agency: City of Eureka</td>
<td>Eureka South Gateway Project</td>
<td></td>
</tr>
<tr>
<td>Agency: Caltrans, FHWA Program Caltrans/Multi-Agency</td>
<td>Climate Change Vulnerability Assessment Pilot</td>
<td>January 2015</td>
</tr>
<tr>
<td>Agency: Caltrans Highway 255</td>
<td>Engineered Feasibility Study (EFS)</td>
<td>Ongoing</td>
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<tr>
<td>Agency: Yurok Tribe Fund source: Federal Grant - FHWA</td>
<td>Yurok Tribe Scenic Byways</td>
<td></td>
</tr>
<tr>
<td>Agency: Caltrans Integrate Statewide Modal Plans and</td>
<td>California Interregional Blueprint</td>
<td>December 2015</td>
</tr>
<tr>
<td>Programs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------</td>
<td>------------------------------------------------------------------</td>
</tr>
<tr>
<td>Agency: Trinidad Rancheria Project Study Report (PSR)</td>
<td>Cher-Ae Heights/Trinidad Rancheria Interchange</td>
<td>Ongoing</td>
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<tr>
<td>Agencies: Caltrans and City of Eureka</td>
<td>Adaptive Signal Control Technology</td>
<td>Pending Award</td>
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<tr>
<td>Partnership between Caltrans and City of Eureka</td>
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<tr>
<td>Fund source: State Planning and Research (SPR) Grant</td>
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## Appendix A - List of Acronyms

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
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<tbody>
<tr>
<td>A&amp;MRTS</td>
<td>Arcata and Mad River Transit System</td>
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<tr>
<td>CALCOG</td>
<td>California Association of Councils of Governments</td>
</tr>
<tr>
<td>Caltrans</td>
<td>California Department of Transportation</td>
</tr>
<tr>
<td>CPG</td>
<td>Consolidated Planning Grant</td>
</tr>
<tr>
<td>CTC</td>
<td>California Transportation Commission</td>
</tr>
<tr>
<td>DOT</td>
<td>Department of Transportation</td>
</tr>
<tr>
<td>ETS</td>
<td>Eureka Transit Service</td>
</tr>
<tr>
<td>FTA</td>
<td>Federal Transit Administration</td>
</tr>
<tr>
<td>FY</td>
<td>Fiscal Year</td>
</tr>
<tr>
<td>HCAOG</td>
<td>Humboldt County Association of Governments</td>
</tr>
<tr>
<td>HSU</td>
<td>Humboldt State University</td>
</tr>
<tr>
<td>HSIIP</td>
<td>Highway Safety Improvement Program</td>
</tr>
<tr>
<td>HTA</td>
<td>Humboldt Transit Authority</td>
</tr>
<tr>
<td>HVTC</td>
<td>Hoopa Valley Tribal Council</td>
</tr>
<tr>
<td>ITS</td>
<td>Intelligent Transportation System</td>
</tr>
<tr>
<td>LTF</td>
<td>Local Transportation Fund</td>
</tr>
<tr>
<td>MAP-21</td>
<td>Moving Ahead for Progress in the 21st Century Act</td>
</tr>
<tr>
<td>MFTA</td>
<td>Master Fund Transfer Agreement</td>
</tr>
<tr>
<td>MOU</td>
<td>Memorandum of Understanding</td>
</tr>
<tr>
<td>NCRA</td>
<td>North Coast Railroad Authority</td>
</tr>
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<td>ORIP</td>
<td>Office of Regional Interagency Planning</td>
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<tr>
<td>OWP</td>
<td>Overall Work Program</td>
</tr>
<tr>
<td>PAC</td>
<td>Policy Advisory Committee</td>
</tr>
<tr>
<td>PMS</td>
<td>Pavement Management System</td>
</tr>
<tr>
<td>PPM</td>
<td>Project, Planning, and Monitoring</td>
</tr>
<tr>
<td>PSA</td>
<td>Public Service Announcement</td>
</tr>
<tr>
<td>PSR</td>
<td>Project Study Report</td>
</tr>
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<td>RCTF</td>
<td>Rural County Task Force</td>
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<td>RFP</td>
<td>Request for Proposal</td>
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<td>RIP</td>
<td>Regional Improvement Program</td>
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<td>RSTP</td>
<td>Regional Surface Transportation Program</td>
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<td>RTIP</td>
<td>Regional Transportation Improvement Program</td>
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<td>RTP</td>
<td>Regional Transportation Plan</td>
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<td>RTPA</td>
<td>Regional Transportation Planning Agency</td>
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<td>Redwood Transit System</td>
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<td>Service Authority for Freeway Emergencies</td>
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<tr>
<td>SAFETEA-LU</td>
<td>Safe Accountable Flexible Efficient Efficient Transportation Equity Act: A legacy for Users</td>
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<td>SB</td>
<td>Senate Bill</td>
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<td>Service Coordination Committee</td>
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<td>State Transportation Improvement Program</td>
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<td>TA or TAP</td>
<td>Transportation Alternatives Program</td>
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<td>TAC</td>
<td>Technical Advisory Committee</td>
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<td>TDA</td>
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<td>TEA</td>
<td>Transportation Enhancement Activity</td>
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<td>TSM</td>
<td>Transportation Systems Management</td>
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Table 1

Fiscal Year 2014-15 Budget

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<th>Expenditures</th>
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<td><strong>Total</strong></td>
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<td><strong>$1,147,053</strong></td>
<td><strong>$1,164,678</strong></td>
<td><strong>(17,625)</strong></td>
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<table>
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<th>Revenues</th>
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<td>184,400</td>
<td>184,400</td>
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<tr>
<td><strong>Total</strong></td>
<td><strong>$1,037,400</strong></td>
<td><strong>$1,047,053</strong></td>
<td><strong>$1,164,678</strong></td>
<td><strong>(117,624)</strong></td>
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LTF = Local Transportation Fund
PPM = Planning, Programming & Monitoring
RPA = State Rural Planning Assistance
<table>
<thead>
<tr>
<th>Contracted/Membership Dues Costs Budget</th>
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<td>FY 2014-15</td>
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<thead>
<tr>
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<td>Advanced Planning</td>
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<td>Public Outreach</td>
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<td>11,000</td>
<td>PPM</td>
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<td>Park and Ride Continued</td>
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<td>Rural Transit Transport</td>
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<td>Grant/LTF</td>
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<td>OWP Programming</td>
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<td>SAFE</td>
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**Overhead Costs Budget**

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<th>Prior Year FY 2013-14</th>
<th>Variance</th>
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<td>81,731</td>
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<td><strong>Publications/Legal Notices</strong></td>
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<td>4,000</td>
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<td>104,992</td>
<td>125,245</td>
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### Table 4

**Humboldt County Association of Governments**  
Summary of Revenue and Expenses by Work Element  
FY 2014-2015

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<tr>
<th>LTF</th>
<th>LTF Amendment</th>
<th>PPM</th>
<th>PPM Amendment</th>
<th>SAFE</th>
<th>RPA Amendment</th>
<th>Total</th>
<th>Total Amendment #1</th>
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<td>107,900</td>
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<td>25,501</td>
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<td>12,900</td>
<td>12,900</td>
<td>13,004</td>
<td>-</td>
<td>(104)</td>
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<td>7,000</td>
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<td>14,000</td>
<td>11,988</td>
<td>1,000</td>
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<td>12,700</td>
<td>12,700</td>
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<td>184,400</td>
<td>12,391</td>
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**Total**  
220,000.00 | 238,801.00 | 256,000.00 | 268,947.00 | 184,400.00 | 337,000.00 | 354,905.00 | 1,037,400.00 | 1,047,053.00 | 474,657.87 | 447,150.00 | 35,232.01

**PPM Carryover**  
18,800.00 | 178,000.00 | 150,947.00 | 17,905.00

**FY 14-15 PPM**  
118,000.00 | 118,000.00

**OWP Adopted Budget**  
220,000.00 | 256,000.00 | 268,947.00 | 184,400.00 | 337,000.00
## Table 5

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<th>Debra</th>
<th>Debbie</th>
<th>Siana</th>
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<td>Dees</td>
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<td>Watts</td>
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</tr>
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<td></td>
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<tr>
<td>18 Park and Ride Continued</td>
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<td>19 Rural Transit Transport</td>
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</table>
DATE: November 12, 2014  
TO: HCAOG Policy Advisory Committee (PAC)  
FROM: Debra Dees, Associate Planner  
SUBJECT: Service Coordination Committee (SCC) Membership

STAFF REPORT

Contents:
- Staff's recommended action
- Staff's summary
- County Public Works request for membership
- SCC By-laws (Amended)

Staff’s Recommended Action:

Motion to be approved by consent:

“The PAC recommends the HCAOG Board amend the SCC by-laws to include the County of Humboldt as a member.

Staff Summary:

HCAOG’s Service Coordination Committee (SCC) is made up of local public and private transit operators, local colleges, and Caltrans. The SCC advises the HCAOG Board on all matters general or relevant to providing transportation services in Humboldt County, and to review and recommend action to the HCAOG Board on transit issues. The SCC regularly reviews transit performance and productivity issues, and provides input on the annual unmet transit needs process.

The County of Humboldt, through the Department of Public Works, funds a significant amount of transit service and their participation on the SCC would enhance the existing committee. Public Works is responsible for administering Transportation Development Act funds and their participation will be a benefit to the SCC and will further enhance coordination efforts between all agencies involved in transportation in our region. The current SCC composition is provided on pages 1 and 2 of the by-laws.
The SCC, at their October 20, 2014 meeting, unanimously approved recommendation to the HCAOG Board supporting the appointment of a County Public Works representative to the SCC. The addition of membership requires an amendment to the SCC by-laws listing a County Representative to Article 4.0 Membership.
October 10, 2014

Board of Directors
Humboldt County Association of Governments
611 I Street, Suite B
Eureka, CA 95501

Dear Board of Directors:

The Humboldt County Department of Public Works hereby requests that a County representative to the HCAOG Service Coordination Committee be authorized. The Department funds a significant amount of transit service and would enhance the existing committee by having a position on this committee. The Department of Public Works, if authorized, will assign Ms. Josielyn Gilbaugh, Deputy Director-General Services, to this position effective immediately.

Thank you for your consideration.

Sincerely,

Thomas K. Mattson
Public Works Director
HUMBOLDT COUNTY
ASSOCIATION OF GOVERNMENTS

SERVICE COORDINATION COMMITTEE
(SCC)
BY-LAWS

ADOPTED-AMENDED
APRIL 17, 2014

Article 1.00 - Designation

1.01 - Name

The name of this organization shall be the Service Coordination Committee, hereinafter referred to in this document as the SCC or Committee, to function in an advisory capacity to the Humboldt County Association of Governments (HCAOG), in its role as the designated Regional Transportation Planning Agency, and hereinafter referred to in this document as the Association.

1.02 - Jurisdiction

The area of jurisdiction for the SCC shall be the entire geographic jurisdictional area of Humboldt County.

Article 2.00 - Purpose

It shall be the purpose of the SCC to advise the Association on all matters general or relevant to the provision of transportation services in Humboldt County.

Article 3.00 - Responsibility

It is the responsibility of the SCC to review and recommend action to the Board on transit issues.

Article 4.00 - Membership

4.01 - Committee Composition

The membership of the SCC shall consist of:
- A representative from the Consolidated Transportation Services Agency (CTSA)
- A representative from the Humboldt Transit Authority
- A representative from Arcata & Mad River Transit Service (A&MRTS)
- A representative from the Humboldt State University Public Safety (HSU)
- A representative Klamath-Trinity Non-Emergency Transportation (K-T Net)
- A representative from City of Eureka Dial-A-Ride/Lift
- A representative from City of Fortuna Public Transportation
- A representative from Eureka Transit Service
- A representative from Blue Lake Rancheria Transit
- A representative from Caltrans District 01
  - A representative from College of the Redwoods
- A representative from County Public Works

**4.02 - Term of Office**

Of the appointments to the SCC, the term of office is indefinite as directed by the appropriate appointing entity.

**4.03 - Voting Rights**

Each member of the SCC shall be entitled to one vote only and may cast that vote on any issue submitted to a vote for the action of the SCC. Proxy voting and absentee voting shall not be permitted for any item brought before the SCC.

**4.04 - Transfer of Membership**

Local entities may select within their agency an alternate for representation at meetings of the SCC in their absence.

**4.05 - Conflict of Interest**

When any member of the SCC has financial interests of benefit, or is a member of an agency, business, or organization with financial interests of benefit, such member shall immediately disclose his/her interest and shall not vote on the issue. Conflicts do not exist in the actions of members which benefit parent entities and do not enrich or profit personal interests.

**Article 5.00 - Meetings**

**5.01 - Regular Meetings**

The Committee shall meet every other month on the third Monday of the month or as necessary, or unless such day falls on a legal holiday, in which event the regular meeting shall be held at the same hour and place on the next succeeding day.

Regular meetings are open to the public. All convened meetings of the SCC are public meetings to be noticed as such by the Association's staff in the same manner as all other regular meetings of the Association's various bodies. All matters and materials related to items under consideration at meeting of the SCC shall be considered public information.
5.02 - Place of Meetings

The Committee shall conduct all of its meetings in a facility to be determined by staff to the Association.

5.03 - Special Meetings

Special meetings may be called whenever necessary for the purpose of the conduct of special business in any of the following ways:

1) By the request of the Chair;
2) By the request of the Vice-Chair, in the absence of, or inability to act by the Chair;
3) By the request of the Association.

5.04 - Notice of Meetings

All meetings of the SCC, being public meetings, shall be noticed in the same manner as all other meetings of the various bodies of the Association in conformance with the Brown Act, as amended. Required notices shall state date, hour, and location of the meeting and shall be posted to SCC members not less than 72 hours in advance of the date of such meetings.

5.05 - Decisions of Committee

All decisions of the SCC shall be made only after an affirmative vote of a majority of its members in attendance provided a quorum is present.

5.06 - Quorum

At any meeting properly called and noticed, a quorum shall consist of a simple majority of the appointed members.

5.07 - Conduct of Meetings

All points of order otherwise not covered in these By-laws shall be decided by Robert's Rules of Order, revised.
Article 6.00 - Officers

6.01 - Officers

The Officers of the SCC shall be a Chair and Vice-Chair, and any other such officers as deemed desirable.

6.02 - Election and Term of Office

The Officers of the Coordination Committee shall be elected for a one-year term and may be re-elected for a second one-year term.

6.03 - Removal

Any officer elected or appointed by the SCC may be removed by a vote of a quorum of appointed members whenever in the judgement of the Committee the best interests of the SCC would thereby be served.

6.04 - Chair

The Chair shall preside at all meetings of the SCC and may sign all letters, reports, and other communications from the Committee. In addition, the Chair shall perform all duties incidental to the office and such other duties as may be prescribed by the SCC from time-to-time.

6.05 - Vice-Chair

It shall be the duty of the Vice-Chair to represent the Chair in assigned tasks and to substitute in the absence of the Chair. The Vice-Chair shall also perform such other duties as from time-to-time may be assigned by the Chair or the SCC.

Article 7.00 - Amendments

Amendments to these By-laws may be initiated by a two-thirds affirmative vote of appointed SCC members provided the amendment is to further carry out the objectives of the Committee as herein expressed, with the final authority of the HCAOG Board.
DATE:   November 12, 2014  
TO:     HCAOG Policy Advisory Committee (PAC)  
FROM:  Debra Dees, Associate Planner  
SUBJECT: Social Service Transportation Advisory Council (SSTAC) Membership

STAFF REPORT

Contents:
- Staff's recommended action
- Staff's summary
- City of Fortuna request for membership

Staff's Recommended Action:
Motion to be approved by consent:
“The PAC recommends the HCAOG Board support the appointment of a City of Fortuna representative to the SSTAC.”

Staff Summary:
The SSTAC has been established in compliance with requirements enacted by Senate Bill 498 (1987) to advise HCAOG on the transportation needs of the region. The SSTAC is required to have a minimum of nine members representing the transit community, including disabled and senior transit users; social service provider representatives, low-income representatives, and representatives of the Consolidated Transportation Service Agency (CTSA).

Consistent with Government Code Section 99238, each transportation planning agency shall provide the establishment of an SSTAC for each county, or counties operating under a joint powers agreement, which is not subject to the apportionment restriction established in Section 99232.

(a) The social services transportation advisory council shall consist of the following members:
(1) One representative of potential transit users who is 60 years of age or older.
(2) One representative of potential transit users who is handicapped.
(3) Two representatives of the local social service providers for seniors, including one representative of a social service transportation provider, if one exists.
(4) Two representatives of local social service providers for the handicapped, including one representative of a social service transportation provider, if one exists.
(5) One representative of a local social service provider for persons of limited means.
(6) Two representatives from the local consolidated transportation service agency, designated pursuant to subdivision (a) of Section 15975 of the Government Code, if one exists, including one representative from an operator, if one exists.
(7) The transportation-planning agency may appoint additional members in accordance with the procedure prescribed in subdivision (b).

(b) Members of the social services transportation advisory council shall be appointed by the Transportation planning agency which shall recruit candidates for appointment from a broad representation of social service and transit providers representing the elderly, the disabled, and persons of limited means. In appointing council members, the transportation-planning agency shall strive to attain geographic and minority representation among council members. Of the initial appointments to the council, one-third of them shall be for a one-year term, one third shall be for a two-year term, and one-third shall be for a three-year term. Subsequent to the initial appointment, the term of appointment shall be for three years, which may be renewed for an additional three-year term. The transportation-planning agency may, at its discretion, delegate its responsibilities for appointment pursuant to this subdivision to the board of supervisors.

The City of Fortuna operates the Fortuna Senior Transit, a deviated fixed route service within the city limits of Fortuna, for seniors or persons of any age with a disability. The City of Fortuna’s Parks and Recreation Department operate Fortuna Senior Transit. A representative of the City of Fortuna will be a benefit to the SSTAC membership and will enhance coordination efforts between all agencies involved in transportation in our region.

The SSTAC, at their November 1, 2014 meeting, unanimously approved recommendation to the HCAOG Board supporting the appointment of a City of Fortuna representative to the SSTAC.
October 20, 2014

Humboldt County Association of Governments
611 I Street, Suite B
Eureka, CA 95501

Dear Board of Directors,

The Fortuna Senior Transit would like to request that a City of Fortuna representative be added to the members for the Social Services Transportation Advisory Council (SSTAC).

At this time, if the membership is full, please consider the City of Fortuna for the next opening.

Sincerely,

Christina Boone
Recreation Office Supervisor
DATE: November 12, 2014
TO: HCAOG Policy Advisory Committee
FROM: Marcella Clem, Executive Director
SUBJECT: Agreement between the State of California Department of Highway Patrol and HCAOG acting as the Service Authority for Freeway Emergencies

STAFF REPORT

Contents:
- Staff’s recommended action
- Staff’s summary
- Resolution 14-16
- State of California Standard Agreement Number 14R125000

Staff’s Recommended Action:

1. Introduce the item as an action Item;
2. Allow staff to present the item;
3. Receive public comment;
4. Discuss item, consider making the motion:
   “I move the PAC recommends to the HCAOG Board adoption of Resolution 14-16, authorizing the HCAOG Executive Director to execute the CHP and Humboldt County SAFE Agreement Number 14R125000.”

Staff Summary:

HCAOG in its role as the Service Authority for Freeway Emergencies (SAFE) is responsible for the road side call box program in Humboldt County. Funding for this program is obtained from a one dollar registration fee collected by the Department of Motor Vehicles (California State Streets and Highways Code, Section 131.1, Sections 2550-2559; and California Vehicle Code 9250.10).

As of April 30, 2014, there was just under $1.5 million in the SAFE account. In the 2012-13 fiscal year, HCAOG received $131,769.91 in funding for the call box program. The annual maintenance of the system is just under $50,000. HCAOG’s Overall Work Program includes a work element for a study and implementation of additional call boxes in the region.
HCAOG is currently under contract with the California Highway Patrol (CHP) for dispatch services for the motorist aid call box system in Humboldt County. At the June HCAOG Board meeting, staff was directed to proceed with contracting with the CHP for supplemental patrolling services on State Route 36 and State Route 96, areas with limited cell phone coverage and no call box installations.

Upon review from HCAOG’s legal counsel, Item 9 in Exhibit D will be changed to the following mutual indemnification language (provided by CHP):

9. Humboldt County Association of Governments SAFE, to the extent permitted by law, shall defend, indemnify and hold harmless CHP, as well as CHP’s appointees, officers, employees, and agents, from and against any and all liability, loss, claims for “injury” (as defined by Gov. Code, § 810.8), or expense (including reasonable attorney’s fees) arising out of the performance of this Agreement, but only in proportion to and to the extent such liability, loss, claims, or expense are caused by or result from the negligent or intentional acts or omissions of SAFE, or SAFE’s appointees, officers, employees, or agents.

The CHP to the extent permitted by law, shall defend, indemnify and hold harmless SAFE, as well as SAFE’s appointees, officers, and employees, from and against any and all liability, loss, claims for “injury” (as defined by Gov. Code, § 810.8), or expense (including reasonable attorney’s fees) arising out of the performance of this Agreement, but only in proportion to and to the extent such liability, loss, claims, or expense are caused by or result from the negligent or intentional acts or omissions of CHP, or CHP’s appointees, officers, employees, or agents.”

It should be expressly understood that the obligations hereunder shall be conditioned upon this Agreement being one that falls within the purview of Section 895.4 of the Government Code.

CHP agreement number 14R125000 is provided for your review and consideration. Adoption of Resolution 14-16, authorizing the HCAOG Executive Director to execute the agreement is required per Item 10 of Exhibit D.
HUMBOLDT COUNTY ASSOCIATION OF GOVERNMENTS
BOARD RESOLUTION AUTHORIZING EXECUTION OF A CONTRACTUAL AGREEMENT WITH THE CALIFORNIA HIGHWAY PATROL (CHP) FOR SERVICES AND ASSISTANCE WITH THE ROADSIDE CALL BOX PROGRAM

WHEREAS, the Humboldt County Association of Governments (HCAOG), in its official capacity as the designated Service Authority for Freeway Emergencies, hereinafter called SAFE, provides for the implementation, maintenance and operation of a motorist-aid roadside call box system for the citizens of Humboldt County; and

WHEREAS, the SAFE has continued a contractual relationship for services and assistance with the CHP in accordance with the “CHP/Caltrans Call Box and Motorist Aid Guidelines” since the inception of Humboldt County’s roadside call box program in 1994; and

WHEREAS, a need for supplemental patrolling services on State Route 36 and State Route 96, areas with limited cell phone coverage and no call box installations was identified; and

WHEREAS, the SAFE requests to enter into a contract with the CHP effective November 21, 2014 through June 30, 2015.

NOW, THEREFORE, BE IT RESOLVED that SAFE hereby authorizes Marcella Clem, Executive Director, to execute a contractual agreement with the CHP for the period beginning November 21, 2014 through June 30, 2015 for CHP services and assistance in accordance with the “CHP/Caltrans Call Box and Motorist Aid Guidelines” for operation of the Humboldt County roadside call box program.

PASSED AND ADOPTED by the Humboldt County Association of Governments, in the City of Eureka, County of Humboldt, State of California, this 20th day of November 2014, by the following vote:

AYES: MEMBERS:

NOES: MEMBERS:

ABSENT: MEMBERS:

ABSTAIN: MEMBERS:

ATTEST:

______________________________
Marcella Clem, Executive Director

______________________________
Susan Ornelas
HCAOG, Chair
1. This Agreement is entered into between the State Agency and the Contractor named below:

**STATE AGENCY’S NAME**
Department of California Highway Patrol

**CONTRACTOR’S NAME**: Humboldt County Association of Governments Service Authority for Freeway Emergencies (SAFE)

2. The term of this Agreement is: 09/01/2014 through 09/01/2015

3. The maximum amount of this Agreement is: $99,917.85

4. The parties agree to comply with the terms and conditions of the following exhibits, which are by this reference made a part of the Agreement:

   - **EXHIBIT A – Scope of Work**: 2 page(s)
   - **EXHIBIT B – Budget Detail and Payment Provisions**: 1 page(s)
   - **EXHIBIT C* – General Terms and Conditions**: GTC 610 09/10/10
   - **EXHIBIT - D Special Terms and Conditions**: 1 page(s)

*Items shown with an Asterisk (*), are hereby incorporated by reference and made part of this agreement as if attached hereto. These documents can be viewed at www.ols.dgs.ca.gov/StandardLanguage*

IN WITNESS WHEREOF, this Agreement has been executed by the parties hereto.

**CONTRACTOR**

**CONTRACTOR’S NAME**: Humboldt County Association of Governments SAFE

**PRINTED NAME AND TITLE OF PERSON SIGNING**

**ADDRESS**
Humboldt County Association of Governments SAFE
611 "I" Street, Suite B, Eureka, Ca 95501

**STATE OF CALIFORNIA**

**AGENCY NAME**
Department of California Highway Patrol

**PRINTED NAME AND TITLE OF PERSON SIGNING**
T. L. ANDERSON, Assistant Chief, Administrative Services Division

**ADDRESS**
P.O. Box 942898, Sacramento, CA 94298-0001
EXHIBIT A
(Standard Agreement)

SCOPE OF WORK

1. Contractor agrees to reimburse the Department of California Highway Patrol (CHP) for costs associated with traffic control related services provided by the CHP Humboldt office for patrolling services on State Route 36 and State Route 96 within rural Humboldt County and in areas where there is limited cell phone coverage.

2. The services shall be provided during:

   The hours of duty performed by CHP officer(s) under this Agreement are those mutually agreed upon by the Project Representatives listed below, or designee(s). Any changes to the proposed plan such as additional hours, dates, and sites for traffic control can be requested on an "as needed" basis and must be mutually agreed upon by the local CHP command and the Humboldt County Association of Governments SAFE.

3. The Project Representatives during the term of this Agreement will be:

<table>
<thead>
<tr>
<th>STATE AGENCY</th>
<th>CONTRACTOR</th>
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</thead>
<tbody>
<tr>
<td>Department of California Highway Patrol</td>
<td>Humboldt County Association of Governments SAFE</td>
</tr>
<tr>
<td>NAME</td>
<td>NAME</td>
</tr>
<tr>
<td>Sergeant Mike Berry</td>
<td>Marcella Clem, Executive Director</td>
</tr>
<tr>
<td>TELEPHONE NUMBER</td>
<td>TELEPHONE NUMBER</td>
</tr>
<tr>
<td>(707) 822-5981</td>
<td>(707) 444-8208</td>
</tr>
<tr>
<td>FAX NUMBER</td>
<td>FAX NUMBER</td>
</tr>
<tr>
<td>(707) 822-8939</td>
<td>(707) 444-8319</td>
</tr>
</tbody>
</table>

Direct all contract inquiries to:

<table>
<thead>
<tr>
<th>STATE AGENCY</th>
<th>CONTRACTOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department of California Highway Patrol</td>
<td>Humboldt County Association of Governments SAFE</td>
</tr>
<tr>
<td>SECTION/UNIT</td>
<td>SECTION/UNIT</td>
</tr>
<tr>
<td>Business Services Section/Contract Services Unit</td>
<td></td>
</tr>
<tr>
<td>ATTENTION</td>
<td>ATTENTION</td>
</tr>
<tr>
<td>Loretta Maddux</td>
<td>Marcella Clem</td>
</tr>
<tr>
<td>ADDRESS</td>
<td>ADDRESS</td>
</tr>
<tr>
<td>P.O. Box 942898, Sacramento, CA 94298-0001</td>
<td>611 &quot;I&quot; Street, Suite B, Eureka, CA 95501</td>
</tr>
<tr>
<td>TELEPHONE NUMBER</td>
<td>TELEPHONE NUMBER</td>
</tr>
<tr>
<td>(916) 843-3641</td>
<td>(707) 444-8208</td>
</tr>
<tr>
<td>FAX NUMBER</td>
<td>FAX NUMBER</td>
</tr>
<tr>
<td>(916) 322-3166</td>
<td>(707) 444-8319</td>
</tr>
</tbody>
</table>
EXHIBIT A
(Standard Agreement)

SCOPE OF WORK (Continued)

5. Detailed description of work to be performed:

A. CHP Humboldt office shall provide CHP officer(s) with vehicles and coordinate all traffic control. Should the CHP Humboldt office be unable to fill the necessary staffing for each event, the shortage of CHP Officers will be utilized from out-of-area uniformed personnel.

B. The traffic control services to be performed by CHP officer(s) under this Agreement, including the standards of performance, discipline and control thereof, shall be the responsibility of CHP.

C. It is understood by Humboldt County Association of Governments SAFE that billing of CHP officer(s) time shall be from portal to portal (CHP Area office to the service location and return to CHP Area office) except as specified in Item D.

D. If the CHP officer(s) has reported to the assigned location and has worked less than four (4) hours, Humboldt County Association of Governments SAFE agrees to pay every assigned CHP officer(s) a minimum of four (4) hours overtime. Exception: This does not apply to those cases when the hours worked is part of an extended shift.

If the CHP officer(s) report(s) to the assigned service location and if for any reason CHP reassigns the officer(s) away from the service location, Humboldt County Association of Governments SAFE will be billed only for the officer(s) actual time incurred from the CHP Area office to the service location and for the time spent at the assigned service location covered under this Agreement.

E. Cancellation of Services

Humboldt County Association of Governments SAFE shall not be charged for service cancellations made more than 24 hours prior to the scheduled assignment.

1. Humboldt County Association of Governments SAFE agrees that if service cancellation is made within 24 hours prior to the scheduled assignment and the assigned CHP officer(s) cannot be notified of such service cancellation, a minimum of four (4) hours overtime shall be charged for each assigned CHP officer.

2. Humboldt County Association of Governments SAFE agrees that if service cancellation is made within 24 hours prior to the scheduled assignment and CHP officer(s) is notified of such service cancellation, Humboldt County Association of Governments SAFE shall only be charged a short notice service cancellation fee of $50.00 per assigned CHP officer(s).

3. All service cancelation notices to CHP must be made during normal CHP business hours of 8:00 a.m. to 5:00 p.m., Monday through Friday, excluding state holidays.

4. The CHP agrees to make reasonable efforts to notify the assigned CHP officer(s) of the service cancellation.
EXHIBIT B
(Standard Agreement)

BUDGET DETAIL AND PAYMENT PROVISIONS

1. Invoicing and Payment

A. The CHP shall provide Humboldt County Association of Governments SAFE with an itemized invoice which details all CHP costs for traffic control services under this Agreement.

Monthly itemized invoices will be submitted in duplicate to:

Humboldt County Association of Governments SAFE
611 "I" Street, Suite B
Eureka, CA 95501

Humboldt County Association of Governments SAFE agrees to pay CHP within thirty (30) days after the date of the invoice.

B. This Agreement includes hourly usages and anticipated mileage for the patrolling services on State Route 36 and State Route 96 within rural Humboldt County and in areas where there is limited cell phone service.

The following is an estimate of cumulative costs for the patrolling services:

<table>
<thead>
<tr>
<th>Description</th>
<th>Rate</th>
<th>Hours</th>
<th>Extension</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sergeant Hours:</td>
<td>96.39</td>
<td>70</td>
<td>$6,747.30</td>
</tr>
<tr>
<td>Sergeant/Officer Hours:*</td>
<td>96.39</td>
<td>745</td>
<td>$71,810.55</td>
</tr>
<tr>
<td>Patrol car mileage</td>
<td>0.96</td>
<td>22,250</td>
<td>$21,360.00</td>
</tr>
</tbody>
</table>

\[
\text{Miles} \quad \text{Extension} \\
\text{Patrol car mileage}  \\
\text{Extension} \quad 99,917.85
\]

B. In consideration for the traffic control services contained herein, Humboldt County Association of Governments SAFE agrees to reimburse the CHP upon receipt of an itemized invoice. Humboldt County Association of Governments SAFE agrees to reimburse the CHP for the actual costs incurred at the time services are provided. The rates indicated in this agreement are for estimate purposes only. It is understood by both parties that rate increases in salary and benefits are governed by collective bargaining agreements and/or statute and that no advance written notification is necessary prior to implementing the increased rates. In the event CHP is granted a rate increase, Humboldt County Association of Governments SAFE agrees to pay the increased rate. The following information are the CHP officer and sergeant overtime rates effective Fiscal Year 2013/2014 until superseded:

<table>
<thead>
<tr>
<th>CLASSIFICATION</th>
<th>OVERTIME RATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>CHP Sergeant/Officer*</td>
<td>$96.39 per hour</td>
</tr>
<tr>
<td>CHP Sergeant</td>
<td>$96.39 per hour</td>
</tr>
<tr>
<td>M/C Sergeant/Officer*</td>
<td>$99.73 per hour</td>
</tr>
<tr>
<td>M/C Sergeant</td>
<td>$99.73 per hour</td>
</tr>
<tr>
<td>CHP Automobile</td>
<td>$00.96 per mile</td>
</tr>
<tr>
<td>CHP Motorcycle</td>
<td>$1.53 per mile</td>
</tr>
</tbody>
</table>
SPECIAL TERMS AND CONDITIONS

1. The CHP and Humboldt County Association of Governments SAFE agree this Agreement may be canceled by either party with thirty (30) days advance written notice.

2. In the event of an emergency, this Agreement may be canceled by either party without prior notice.

3. The CHP and Humboldt County Association of Governments SAFE, agree that this Agreement may be amended by written mutual consent of the parties hereto.

4. Unforeseen events may require CHP officer(s) to expend hours in excess of the original estimate. Any costs in excess of the original estimated amount will be processed by appropriate amendment to the Agreement, to reflect the actual costs incurred.

5. Additional charges may be assessed for CHP supplies, additional equipment utilized, damage to property repaired or replaced at state expense, which are directly related to the services provided herein, but only to the extent such supplies or additional equipment are specifically requested in writing by Humboldt County Association of Governments SAFE or such need for repair or replacement of property arises directly from Humboldt County Association of Governments SAFE gross misconduct or willful negligence with respect to the property.

6. Gifts, donations, or gratuities may not be accepted by CHP employees in their own behalf or in behalf of the Department, informal squad club, or other local funds.

7. Any dispute concerning a question of fact arising under the terms of this agreement which is not disposed within a reasonable period of time (ten days) by the parties normally responsible for the administration of this contract shall be brought to the attention of the Administrative Services Officer (or designated representative) of each organization for joint resolution.

8. Humboldt County Association of Governments SAFE agrees that the awarding department, the Department of General Services, the Bureau of State Audits, or their designated representative shall have the right to review and to copy and records and supporting documentation pertaining to the performance of this Agreement. Humboldt County Association of Governments SAFE agrees to maintain such records for possible audit for a minimum of three (3) years after final payment, unless a longer period of records retention is stipulated. Humboldt County Association of Governments SAFE agrees to allow the auditor(s) access to such records during normal business hours and to allow interviews of any employees who might reasonably have information related to such records. Further, Humboldt County Association of Governments SAFE agrees to include a similar right of the State to audit records and interview staff in any subcontract related to performance of this Agreement (Gov. Code §8546.7, Pub. Contract Code §10115 and CCR Title 2, Section 189.)

9. Humboldt County Association of Governments SAFE agrees, to the extent permitted by law, to indemnify CHP against and hold CHP harmless from any and all claims, demands, suits, and actions for personal injury, death, loss, and/or property damage that may arise out of or in connection with the performance of this Agreement, even though such injury, death, loss, and/or damage may be (or may
SPECIAL TERMS AND CONDITIONS

be alleged to be) attributable in part to the active and/or passive negligence of CHP and/or its appointees, officers, agents, employees, and servants. Humboldt County Association of Governments SAFE agrees to defend all such claims, demands, suits, and actions against CHP and/or its appointees, officers, agents, employees, and servants, although CHP retains the right to conduct the defense at its own expense. Humboldt County Association of Governments SAFE shall reimburse CHP for all expenses, including court costs and reasonable attorney fees, incurred by reason of such claims, demands, suits, and actions, or incurred in seeking indemnity or other recovery from Humboldt County Association of Governments SAFE thereunder.

10. The Humboldt County Association of Governments SAFE agrees to provide CHP with a resolution, motion, order or ordinance of the governing body, which authorizes execution of this Agreement, and indicates the individual who is authorized to sign the Agreement on behalf of Humboldt County Association of Governments SAFE.
DATE:  November 12, 2014  
TO:  HCAOG Policy Advisory Committee  
FROM:  Marcella Clem, Executive Director  
SUBJECT:  HCAOG’s Transportation Development Act (TDA) Rules and Regulations (Rules) Amendment

STAFF REPORT

Contents:
- Staff's recommended action
- Staff's summary
- HCAOG TDA Rules Amendment

Staff's Recommended Action:

1. Introduce the item as an action Item;  
2. Allow staff to present the item;  
3. Receive public comment;  
4. Discuss item, consider making the motion:  
   “I move the PAC recommends to the HCAOG Board approval of amendments to the HCAOG TDA Rules.”

Staff Summary:

The Humboldt County Association of Governments (HCAOG), acting in its official capacity as the Regional Transportation Planning Agency (RTPA), updated HCAOG TDA Rules (Rules) in September, 2012. The Rules clarify roles and responsibilities in administering the Local Transportation Fund (LTF) and the State Transportation Assistance Fund (STAF), pursuant to the TDA. These Rules are intended to help HCAOG committees and staff, TDA claimants, transit operators, the County Auditor, and consulting auditors, understand and adhere to the TDA. These Rules augment and do not supersede the Guidelines prepared by the California Department of Transportation (Caltrans).

The proposed changes are necessary to address audit findings and were developed in coordination with the Service Coordination Committee (SCC), the Social Service Transportation Advisory Council (SSTAC) and the Technical Advisory Committee (TAC). A 30 day notice of this amendment was sent to all TDA claimants in the region.
At the October 20th SCC meeting, the motion included an additional change to change the minimum fare box ratio requirement for Arcata & Mad River Transit (currently 18.8%), Eureka Transit Service (currently 22.4%), and Humboldt Transit Authority (currently 26.4%) to 15%. The farebox ratio is the percentage of the cost of operation to revenues received from customers. The transit agencies are currently using a fare box ratio that was set in place by the TDA Statutes Government Code Section 6633.2. While it is the decision of the HCAOG Board to make this change, Caltrans TDA Guidelines state:

A transportation planning agency or a county transportation commission may set the required ratio of fare revenues to operating cost at not less than 15 percent for an operator in a county with a population of 500,000 or less, if the operator provides services in an urbanized area (where funds may be allocated under Article 8), and specific findings are made (emphasis added) by the planning agency or the transportation commission justifying the reasons for its actions (Section 99268.12).

Reasons provided at the SCC meeting were to lessen financial pressure on the transit agencies and to address sudden budget increases. If operation costs increase and customer revenues decrease, the burden is on the city or county to cover the cost of budget increase in addition to the loss in customer revenue. Farebox is a performance measure established by TDA law to maintain and improve efficiency and assurance that the service provided is one that the public uses and invests in. Staff has requested that the transit agencies submit a formal request in writing clarifying the justification for changing the fare box ratio to be discussed at a future meeting.

The changes summarized below, are shown in colored type and strike-out in the draft document.

- A duty was added to HCAOG staff to send out a letter to any transit operator, transit claimant, or non-transit claimant that has not submitted a copy of their Report of Operations (#8) or Non-Transit Expenditure Reports (#9), due September 30 to HCAOG. (page 2)
- Guidance was added for submitting claims under Article 4.5. (page 5)
- Third party transit providers have been added to Table 1. (page 6)
- Guidance was added to the discussion for the Bicycle and Pedestrian 2% set-aside. (page 8)
- Clarification was added regarding the 50-percent expenditure limitation. (pages 9 & 10)
- Updates were made to the regulations and claim forms requiring explanations as to how claimants are addressing audit findings. (pages 24 & 34)
- A requirement to include supporting documentation of STA fund allocations (prior and future) has been added. (pages 23 & 34)
- A requirement for a summary report of TDA funds that have been designated as future capital purchase funds has been added. (pages 23 & 34)
- Language pertaining to Criteria #4 of the definition of “reasonable to meet” has been improved. (pages 32-33)
HCAOG TDA RULES

RULES and REGULATIONS
for the administration of the
TRANSPORTATION DEVELOPMENT ACT

Humboldt County Association of Governments
Regional Transportation Planning Agency
HCAOG TDA RULES
RULES and REGULATIONS
for the administration of the
TRANSPORTATION DEVELOPMENT ACT

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<table>
<thead>
<tr>
<th>ANNUAL DEADLINE</th>
<th>REPORT</th>
<th>RESPONSIBILITY</th>
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<tbody>
<tr>
<td>July 1 triennially</td>
<td>Performance Audits of Transportation Planning Entities and Operators</td>
<td>HCAOG</td>
</tr>
<tr>
<td>July-September</td>
<td>Solicitation for STA fund “Program of Projects”</td>
<td>HCAOG</td>
</tr>
<tr>
<td>August 1</td>
<td>Revised State Transit Assistance (STA) Estimates</td>
<td>State Controller</td>
</tr>
<tr>
<td>August 15</td>
<td>Unmet Transit Needs Report of Findings</td>
<td>HCAOG</td>
</tr>
<tr>
<td>September 1</td>
<td>Schedule of Performance Audits</td>
<td>HCAOG</td>
</tr>
<tr>
<td>September 30</td>
<td>Reports of Extension of Services</td>
<td>Operators, transit claimants</td>
</tr>
<tr>
<td>September 30</td>
<td>Annual Financial Transaction Report (formerly called “fund allocation report”)</td>
<td>HCAOG</td>
</tr>
<tr>
<td>September 30</td>
<td>Report of Operations (formerly called “financial statement”)</td>
<td>Operators, transit claimants</td>
</tr>
<tr>
<td>September 30</td>
<td>Non-Transit Expenditure Reports</td>
<td>Non-transit claimants</td>
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<td>September 30</td>
<td>Quarterly Status of Funds for first quarter (Q1)</td>
<td>County Auditor</td>
</tr>
<tr>
<td>October 7</td>
<td>Delinquency Notifications for Report of Operations and Non-Transit Expenditure Reports</td>
<td>HCAOG</td>
</tr>
<tr>
<td>December 30</td>
<td>Fiscal &amp; Compliance Audits of State Transit Assistance Fund and Local Transportation Fund</td>
<td>HCAOG</td>
</tr>
<tr>
<td>December 30</td>
<td>Certified Fiscal &amp; Compliance Audits</td>
<td>All claimants</td>
</tr>
<tr>
<td>December 30</td>
<td>Quarterly Status of Funds for second quarter (Q2)</td>
<td>County Auditor</td>
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<tr>
<td>January 31</td>
<td>Preliminary State Transit Assistance Estimate</td>
<td>State Controller</td>
</tr>
<tr>
<td>February 1</td>
<td>Local Transportation Fund Estimate</td>
<td>County Auditor</td>
</tr>
<tr>
<td>March 1</td>
<td>Findings &amp; Notice of LTF Apportionments</td>
<td>HCAOG</td>
</tr>
<tr>
<td>March 31</td>
<td>Quarterly Status of Funds for third quarter (Q3)</td>
<td>County Auditor</td>
</tr>
<tr>
<td>April 1</td>
<td>Annual LTF &amp; STAF Claims</td>
<td>All claimants</td>
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<tr>
<td>June 30</td>
<td>Allocation Instructions</td>
<td>HCAOG</td>
</tr>
<tr>
<td>June 30</td>
<td>Quarterly Status of Funds for fourth quarter (Q4)</td>
<td>County Auditor</td>
</tr>
<tr>
<td>June 30</td>
<td>Fiscal Audit of Transportation Planning and Programming Entities</td>
<td>HCAOG</td>
</tr>
</tbody>
</table>
I. **INTRODUCTION**

A. **TRANSPORTATION DEVELOPMENT ACT (TDA)**

*The TDA Guidebook* (Caltrans, March 2009 April 2013)

The TDA provides two funding sources:

1. Local Transportation Fund (LTF), which is derived from a ¼ cent of the general sales tax collected statewide.
2. State Transit Assistance (STA) fund, which is derived from the statewide sales tax on diesel fuel.

The TDA funds a wide variety of transportation programs, including planning and program activities, pedestrian and bicycle facilities, community transit services, public transportation, and bus and rail projects. Providing certain conditions are met, counties with a population under 500,000 (according to the 1970 federal census) may also use the LTF for local streets and roads, construction and maintenance. The STA fund can only be used for transportation planning and mass transportation purposes.

Public participation is a key component of TDA. Public meetings are held to discuss transportation needs and hear concerns. Regional planning agencies are required to establish Social Service Transportation Advisory Councils (SSTAC), comprised of the transit-dependent, including disabled, elderly and low-income representatives. SSTAC members work with local agencies in developing transit unmet needs criteria, which are used in making project approval decisions.

To ensure program compliance, fiscal and performance audits are conducted. Fiscal audits are conducted annually, and include transit operator’s expense-to-revenue ratio, known as farebox recovery.

B. **HCAOG ADMINISTRATIVE RULES FOR TDA**

The Humboldt County Association of Governments (HCAOG), acting in its official capacity as the Regional Transportation Planning Agency (RTPA), has prepared these TDA Rules and Regulations (Rules). The Rules clarify roles and responsibilities in administering the Local Transportation Fund (LTF) and the State Transportation Assistance Fund (STAF), pursuant to the Transportation Development Act (TDA). These Rules are intended to help HCAOG committees and staff, TDA claimants, transit operators, the County Auditor, and consulting auditors understand and adhere to the TDA. These Rules augment and do not supersede the Guidelines prepared by the California Department of Transportation (Caltrans).

---

The authority for an RTPA to publish rules and regulations is set forth in the Act, under the California Code of Regulations (CCR) and Public Utilities Code (PUC). Specific authorizing language includes: “The transportation-planning agency shall adopt rules and regulations delineating procedures for the submission of claims under Section 99234 and subdivision (a) of Section 99400 and stating criteria by which they will be analyzed and evaluated” (PUC §99401(a)). Other authorizing sections of the Act are under California Government Code §29532 (b), and PUC sections §99241, §99241.5, and §99261.

C. AMENDMENT OF RULES

These rules may be amended provided that the Humboldt County Association of Governments gives 30-days notice to eligible claimants prior to taking action.

II. ELIGIBILITY FOR CLAIMS

A. REVIEW OF ANNUAL TRANSIT CLAIMS

HCAOG is responsible for analyzing the following conditions, which the State has placed on public transit claims:

HCAOG is required to make the following findings before allocating funds to an operator or a transit service claimant. HCAOG must make the findings in the resolution allocating the funds. [CCR §6754 (Required Findings)]

(1) HCAOG may allocate funds to an operator or a transit service claimant if it finds all of the following:

(a) The claimant’s proposed expenditures conform to the Regional Transportation Plan.

(b) The level of passenger fares and charges is sufficient to enable the operator or transit service claimant to meet the fare revenue requirements of PUC sections 99268.2, 99268.3, 99268.4, 99268.5, and 99268.9, as they may be applicable to the claimant. (See sidebar.)

(c) The claimant is making full use of federal funds available under the Urban Mass Transportation Act of 1964, as amended.

(d) The sum of the claimant’s allocations from the State Transit Assistance Fund and from the Local Transportation Fund does not exceed the amount the claimant is eligible to receive during the fiscal year. Claims must comply with applicable rules under part III, Eligible Programs, subpart A.

(e) Priority consideration has been given to claims to offset reductions in federal operating assistance and the unanticipated increase in the cost of fuel, to enhance existing public transportation.
transportation services, and to meet high priority regional, countywide, or area-wide public transportation needs. [CCR §6754(a)]

(2) HCAOG may allocate funds to an operator for the public transportation system or community transit service (per CCR §6730, and PUC §99275 and §99275.5) only if it finds:

(a) The operator has made a reasonable effort to implement the productivity improvements recommended pursuant to PUC §99244. This finding shall specifically refer to the improvements recommended and to the efforts made by the operator to implement them.

Recommended productivity improvements include, but are not limited to, those identified in the performance audits (conducted pursuant to PUC §99246) and HCAOG’s adopted 5-year Transit Development Plan. If HCAOG determines that an operator has not made a reasonable effort to implement recommended improvements, HCAOG shall not allocate to the operator, for the next fiscal year, more than its allocation amount for the current fiscal year. [PUC §99244]

(b) A certification by the Department of the California Highway Patrol verifying that the operator is in compliance with section 1808.1 of the Vehicle Code, as required in PUC §99251. The certification shall have been completed within the last 13 months, prior to filing claims.

(c) The operator is in compliance with the eligibility requirements of PUC §99314.6 (State Transit Assistance; Operator’s Qualifying Criteria). [CCR §6754(b)]

(d) For claims filed pursuant to Article 4.5, that the proposed community transit service is responding to a transportation need currently not being met in the community of the claimant and that the service shall be integrated with existing transit services, if appropriate. [PUC §99275.5(c)] A consolidated transportation service agency may file claims under article 4.5 of the Act for its operating costs, to the extent specified in section 6634(a), and for its costs in purchasing vehicles and communications and data processing equipment, to the extent specified in section 6634 (f). Claims may also be filed by a consolidated transportation service agency for state transit assistance funds as specified in section 6731.1.

(3) HCAOG may authorize an operator to exchange funds (per PUC §99314.4(b)) only if it finds that the operator is eligible to receive State Transit Assistance funds. HCAOG must make this finding in the resolution allocating the funds for the area’s apportionment (per PUC §99231). [CCR §6754(c)]

(4) HCAOG shall not allocate funds to a claimant not in compliance with PUC sections 99155 (Reduced Transit Fares) and 99155.5 (Dial-A-Ride and Paratransit Services).
Table 1. Required Farebox Recovery Ratios for TDA Funds

<table>
<thead>
<tr>
<th>Transit Operator</th>
<th>Service Area</th>
<th>Minimum Fare Ratio</th>
<th>Fixed Route</th>
<th>On-Demand Elderly &amp; Disabled Service</th>
</tr>
</thead>
<tbody>
<tr>
<td>A&amp;MRTS</td>
<td>City of Arcata</td>
<td>18.8%</td>
<td>yes</td>
<td>yes</td>
</tr>
<tr>
<td>Blue Lake Rancheria</td>
<td>City of Blue Lake</td>
<td>10.0%</td>
<td>yes</td>
<td>no</td>
</tr>
<tr>
<td>ETS</td>
<td>City of Eureka</td>
<td>22.4%</td>
<td>yes</td>
<td>yes</td>
</tr>
<tr>
<td>HTA</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>RTS</td>
<td>Trinidad to Scotia</td>
<td>26.4%</td>
<td>yes</td>
<td>yes</td>
</tr>
<tr>
<td>Willow Creek</td>
<td>Arcata to Willow Ck</td>
<td>10.0%</td>
<td>yes</td>
<td>no</td>
</tr>
<tr>
<td>So. Humboldt-Intercity</td>
<td>Eureka to Benbow</td>
<td>10.0%</td>
<td>yes</td>
<td>no</td>
</tr>
<tr>
<td>So. Humboldt-Deviated</td>
<td>Miranda to Benbow</td>
<td>10.0%</td>
<td>no</td>
<td>yes</td>
</tr>
<tr>
<td>Senior Transit</td>
<td>City of Fortuna</td>
<td>10.0%</td>
<td>no</td>
<td>yes</td>
</tr>
</tbody>
</table>

Third Party Transit Services

<table>
<thead>
<tr>
<th>DAR provided by HCAR</th>
<th>Greater Eureka Area</th>
<th>10.0%</th>
<th>no</th>
<th>yes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Blue Lake Rancheria</td>
<td>Blue Lake to Arcata</td>
<td>10.0%</td>
<td>yes</td>
<td>no</td>
</tr>
<tr>
<td>K-T Net</td>
<td>Willow Creek to Weitchpec and Orleans</td>
<td>10.0%</td>
<td>yes</td>
<td>yes</td>
</tr>
<tr>
<td>Adult Day Health Care-Mad River</td>
<td>McKinleyville to Arcata and Eureka</td>
<td>N/A</td>
<td>yes</td>
<td>no</td>
</tr>
<tr>
<td>Humboldt Senior Resource Center</td>
<td>Greater Eureka Area and Rio Dell</td>
<td>N/A</td>
<td>Yes</td>
<td>no</td>
</tr>
</tbody>
</table>

1 Per CCR§6633.2–Fare and Local Support Ratios and CCR§6633.5–Fare Ratio for Service to Elderly and Handicapped Persons.

Table 2. Redwood Transit Service (RTS) Shared-Cost Assessments

<table>
<thead>
<tr>
<th>HTA Member</th>
<th>RTS Mainline</th>
<th>RTS Willow Creek</th>
<th>Arcata Dial-A-Ride/Lift</th>
<th>So. Hum Local</th>
<th>So. Hum Intercity</th>
</tr>
</thead>
<tbody>
<tr>
<td>County of Humboldt</td>
<td>50.00%</td>
<td>100%</td>
<td>60%</td>
<td>100%</td>
<td>100%</td>
</tr>
<tr>
<td>City of Eureka</td>
<td>22.61%</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>City of Arcata</td>
<td>14.35%</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>City of Fortuna</td>
<td>9.93%</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>City of Rio Dell</td>
<td>2.80%</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>City of Trinidad</td>
<td>0.31%</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>100.00%</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
</tr>
</tbody>
</table>

1 Adopted by the Humboldt Transit Authority (HTA) Board of Directors on June 20, 2012.
2 HTA is a Joint Powers Authority (JPA)
III. ELIGIBLE PROGRAMS

A. LOCAL TRANSPORTATION FUND (LTF)

Table 3, below, shows the order in which LTF moneys are allocated. Following the table, we describe what services and/or equipment is eligible for funding under each priority.

Table 3. Local Transportation Fund (LTF) Priority Funding Order

<table>
<thead>
<tr>
<th>Priority</th>
<th>Article</th>
<th>Section*</th>
<th>Revenue Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1st: TDA Administration:</td>
<td>Article 3</td>
<td>99233.1</td>
<td>As necessary</td>
</tr>
<tr>
<td>– County Auditor</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>– HCAOG</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2nd: Planning &amp; Programming</td>
<td>Article 3</td>
<td>99233.2(a)</td>
<td>As necessary</td>
</tr>
<tr>
<td>– HCAOG</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3rd: Pedestrian &amp; Bicycle Facilities</td>
<td>Article 3</td>
<td>99233.3</td>
<td>Countywide, ≤ 2%</td>
</tr>
<tr>
<td>– 2% to pedestrian &amp; bicycle</td>
<td></td>
<td>99233.4</td>
<td>of money remaining after higher priorities</td>
</tr>
<tr>
<td>4th: Community Transit Services</td>
<td>Article 4.5;</td>
<td>99233.7; 6681, 6682</td>
<td>Countywide, ≤ 5% of money remaining after higher priorities</td>
</tr>
<tr>
<td>– consolidated transportation service agencies</td>
<td>Article 7</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5th: Public Transit</td>
<td></td>
<td></td>
<td>≤ Area apportionment</td>
</tr>
<tr>
<td>Equal priority:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>– Public transportation systems</td>
<td>Article 3</td>
<td>99233.8</td>
<td></td>
</tr>
<tr>
<td>– Support of public transportation systems</td>
<td>Article 4</td>
<td>99260(a), 99262</td>
<td></td>
</tr>
<tr>
<td>– Aid to research &amp; development projects</td>
<td></td>
<td>99260(b)</td>
<td></td>
</tr>
<tr>
<td>– Claims for separate service to elderly &amp; handicapped</td>
<td>Article 3</td>
<td>99260.7</td>
<td></td>
</tr>
<tr>
<td>Conditional upon finding of unmet transit needs:</td>
<td>Article 8</td>
<td>99400, 99402</td>
<td>≤ Area apportionment</td>
</tr>
<tr>
<td>6th: Article 8 Miscellaneous Allocations</td>
<td></td>
<td>99400 (c,d,e)</td>
<td></td>
</tr>
<tr>
<td>Equal priority:</td>
<td></td>
<td>99407</td>
<td></td>
</tr>
<tr>
<td>– Local streets and roads</td>
<td>Article 8</td>
<td>99400.5</td>
<td></td>
</tr>
<tr>
<td>– Entities contracted to provide public transportation services</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>– Facilities exclusively for bicycles and pedestrians</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>– Multimodal transportation terminal</td>
<td>Article 8</td>
<td>99400.5</td>
<td></td>
</tr>
</tbody>
</table>

*LTF sections start with “9”; CCR sections start with “6.”

LTF Allocations by Priority
HCAOG shall allocate the local transportation funds in the following sequence:

1st Priority – TDA Administration (Article 3)
Allocations go first to the Humboldt County Auditor for expenses incurred in performing auditing and administrative duties assigned to it under the Act. Thereafter, funds go to HCAOG for its expenses in performing its administrative responsibilities under the Act. [PUC §99233.1]
2nd Priority – Planning & Programming (Article 3)
LTF funds are allocated to HCAOG for conducting the transportation planning and programming process. HCAOG budgets the necessary amount to be allocated for this purpose. [PUC §99233.2]

3rd Priority – Pedestrian and Bicycle Allocations (Article 3)
Pursuant to Article 3, of the money remaining in the fund after allocations to higher purposes, 2% there shall be a set-aside for pedestrian and bicycle allocations, equivalent to 2% of the remaining funds, or the LTF increase from baseline fiscal year 2012/13, whichever is less. These funds shall be made available to the county and cities for facilities provided for the exclusive use of pedestrians and bicycles, unless HCAOG finds that the money could be used to better advantage for public transportation or for local street and road purposes to develop a balanced transportation system. Claimants are not precluded from claiming funds for pedestrian and bicycle facilities from their respective annual apportionments if these funds are not set aside, and they may do so pursuant to the current HCAOG regional bicycle plan, their respectively adopted bicycle plans, or individual needs. [PUC §99233.3]

HCAOG may reserve moneys in the fund for later allocation to claimants for pedestrian and bicycle facilities or bicycle safety education programs pursuant to PUC §99233.3 without designating the claimants to receive allocations from the amount. The entire apportionment of fiscal year 2014-15 shall be held in reserve to initiate the establishment of a reserve target of $500,000. Each year thereafter, 50% of the 2% set aside will add to the reserve until the target is met. Beginning December 2015, and on an annual basis thereafter, there will be a call for projects for funds not designated as reserve funds. However, at any time, if an urgent regional priority projects comes up, any claimant can request a call for projects for consideration of allocation. Such moneys may be allocated upon approval of the HCAOG Board to claimants on such terms and conditions as HCAOG may determine in accordance with PUC §99234 (Claims for Pedestrian and Bicycle Facilities). Whenever HCAOG finds that the amount, or any portion of the amount, so reserved could be used to better advantage for other purposes, that amount shall be added to the apportionments determined in accordance with CCR §6644 (Report of Apportionments). [CCR §6655.2] Quarterly status of LTF funds will be provided to HCAOG’s Technical Advisory Committee (TAC).

Under this priority, claimants may apply for pedestrian and bicycle allocations that include, but are not limited to:

- **Class II Striping** – Up to 20 percent of the amount available each year to a city or county for pedestrian and bicycle allocations (PUC §99233.3) may be allocated to re-stripe class II bicycle lanes. [PUC §99234(i)].

- **Comprehensive Bicycle and Pedestrian Facilities Plan** – A portion of the amount available to a city or county for this purpose (§99233.3 *Pedestrian and Bicycle Allocations*) may be allocated to develop a comprehensive bicycle and pedestrian facilities plan or active transportation plan, with an emphasis on bicycle projects intended to accommodate bicycle commuters rather than recreational bicycle users.
An allocation under this subdivision may not be made more than once every five years per jurisdiction. [PUC §99234(h)]

- **Bicycle Transportation Account – Non-Motorized Program Match** – To fund a jurisdiction’s required local match for a non-motorized grant project, funded from the State’s Bicycle Transportation Account (BTA).

- **Operations and Maintenance** – For the costs of operating and maintaining regional bicycle and pedestrian facilities.

### 4th Priority – Allocations for Consolidated Transportation Service Agencies (Articles 4.5 & 7)
HCAOG may make funds available for claims filed by the CTSA(s). For this purpose HCAOG may allocate up to a maximum of five percent (5%) of the sum of all area’s apportionments after subtracting any amounts allocated for rail services pursuant to PUC §99233.4. The amount made available for claims filed by CTSA(s) shall be subtracted from all area’s apportionments in equal proportion after subtracting any amounts allocated for purposes of higher priority. [CCR §6644(d)]

A CTSA may file claims for its operating costs to the extent specified in CCR §6634(a), and for its costs in purchasing vehicles and communications and data processing equipment, to the extent specified in CCR §6634(c) (Eligibility for Funds). [CCR §6681]

(See CCR §6634 below in section C, “Amounts Eligible to Claim for LTF and STAF.”)

A CTSA may provide transportation services itself or contract for services. The contract shall be awarded on the basis of competitive bidding. [CCR §6683]

### 5th Priority – Allocations for Public Transportation Systems (Articles 3 & 4)
HCAOG may allocate local transportation funds to operators for claims presented pursuant to Article 4 for the following public transportation purposes:

- **Support of public transportation systems provided directly or through contracted services.** Public transportation systems is defined by PUC §99211.

- **Separate service for elderly or handicapped – Transportation services using vehicles for the exclusive use of elderly or handicapped persons (direct or contracted service).** For this purpose claimants may also file a claim for funds made available pursuant to PUC §99313 (State Transit Assistance; Population Formula Allocations). [PUC §99260.7, §99262]

### 50-Percent Expenditure Limitation for Funds Allocated Under Article 4
In a fiscal year, an operator may expend funds received under PUC Article 4 to cover no more than 50 percent of costs for operating, maintenance, and capital and debt service requirements of the system after deducting therefrom any approved federal grants estimated to be received and STA funds estimated to be allocated (pursuant to Section 99314.5, Eligibility for State Transit Assistance). [PUC §99268, CCR 6633.1] This 50-percent expenditure limitation was the original “performance” standard prior to the insertion of farebox recovery into law. This
regulation was in the original TDA legislation in 1971 while farebox recovery was added 10 years later, post Proposition 13. Proposition 13 in 1978 severely curtailed available transit revenues which included property tax and other sources that are no longer used. Prior to Proposition 13, transit operators would only be eligible for up to 50-percent of TDA and would get the rest from other local sources. PUC 99268.2 allows older operators (those created prior to 1978-79) to receive additional TDA above the 50% limitation if they meet farebox recovery. “Newer” operators created after 1978-79 are only eligible for TDA under farebox recovery. If for some reason a transit operator does not want to abide by the farebox recovery rules, and are considered an older operator (created prior to 1978-79), the HCAOG can use the 50-percent limitation under PUC 99268.

Exceptions to the 50-percent expenditure limitation are:

(1) Capital-intensive transit improvements, for which an operator may receive local transportation funds equaling up to 100 percent of its cost. Improvements include, but are not limited to, park-and-ride lots, terminal facilities, bus waiting shelters, exclusive lanes for buses, and acquiring vehicles and rolling stock for replacement purposes. To be eligible for this exception, HCAOG must find that the operator has made every effort to obtain federal funds for such improvements. [CCR §6633.1(b)]

(2) Extension of transit service: An operator may receive local transportation funds equaling up to 100 percent of its operating cost for an extension of its public transportation system that has been operating for less than two fiscal years. An operator is eligible for this exception only if the extension is within the definition of CCR §6619.1 (Extension of Public Transportation Services) and the operator/claimant submits a report on the extension of services as outlined in report #5 (in part IV) of these Rules. [CCR §6633.1(c)]

6th Priority – Allocations per Article 8

HCAOG may allocate funds to the county and cities for claims approved pursuant to Article 8 (commencing with PUC §99400). The following purposes are allowed under Article 8, and each has equal priority:

- Pedestrian and Bicycle Facilities and Programs – For expenses related to constructing and engineering facilities provided for the exclusive use by pedestrians and bicyclists or for bicycle safety education programs. [PUC §99407, §99234(a,b)] This can include local streets and roads projects that are provided for pedestrians and bicyclists to use. [PUC §99400(a)]

- Streets and Roads Claims – For claims under Article 8, claims for streets and roads may include those purposes necessary and convenient to develop, construct, and maintain the city or county’s streets and highways network, including planning and contributions to the transportation planning process, acquiring real property, and constructing facilities and buildings. [PUC §99402]

- Contracted Public Transportation Services – Payment to any entity that is under contract with a city or the county for public transportation or for transportation services for any group, as HCAOG has determined, that requires special
transportation assistance. [PUC §99400(c)] Claims for such services may also be for capital expenditures to acquire vehicles and related equipment, bus shelters, bus benches, and communication equipment for transportation services, notwithstanding any other provision of PUC chapter 4 (Transportation Development). [PUC §99400(e)] The city or county shall be considered an operator for these purposes, and subject to PUC sections 99268.3 (Revenue Ratios for Older Operators), 99268.4 (Revenue Ratios for Newer Non-Urbanized Area Operators), 99268.5 (Fare Ratio Requirement for Exclusive Services to Elderly and Handicapped Persons), 99268.9 (Non-compliance with Required Revenue Ratios), as the case may be. [PUC §99405(f)]

Contract Requirements: If the county or city is being served by an operator, the contract entered into by the county or city shall specify (i) the level of service to be provided, (ii) the operating plan to implement that service, and (iii) how that service is to be coordinated with the public transportation service provided by the operator. [PUC §99400(c)]

Finding for Contracted Services: Prior to approving any claim filed per this section (PUC Article 8, §99400(e)) HCAOG shall make a finding that the transportation services contracted for are responding to a transportation need not currently being met within the community or jurisdiction of the claimant, and that, where appropriate, the services are coordinated with the existing transportation service. [PUC §99400(c)]

City or County Administrative Costs: HCAOG may pay funds to the county or a city for their administrative and planning cost with respect to contracted transportation services under §99400(c). [PUC §99400(d)]

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Multi-modal Facilities – If there is no countywide transit district, a county may file a claim for constructing and maintaining multi-modal transportation facilities to be located anywhere in the county. [PUC §99400.5]

For any purpose specified in Section 99400 (Article 8), HCAOG’s allocation may in no year exceed 50 percent of the amount required to meet the city’s or county’s total proposed expenditures for that purpose. HCAOG can waive this requirement for major new facilities if they are consistent with the Regional Transportation Plan [PUC §99405(a), (b)]

The 50-percent allocation limitation shall not apply to a city or county for services under contract pursuant to subdivision (c) of Section 99400. The city or county shall be considered an operator for these purposes, and subject to Sections 99268.3, 99268.4, 99268.5, 99268.9\(^2\), and shall be subject to regional or county wide performance criteria, local match requirements and fare recovery for those services. [PUC §99405(c)] Furthermore, the 50-percent allocation limitation shall not apply to funds to a city or county with a population of less than 5,000, or if allocated for street and road purposes. [PUC §99405(d)]

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\(^2\) See sidebar on page 4 for subsections’ titles.
To the extent necessary to perform its duties under Article 8, HCAOG shall have full access to the books, records, and accounts of the claimant cities and counties. [PUC §99401(c)]

B. STATE TRANSPORTATION ASSISTANCE (STA) FUND

The State Legislature allocates funds to each county based on the same formula: 50% is based on the county’s population compared to the total state population; the other 50% is based on the amount of passenger fares and local support revenues that transit operators collected in the county compared to the amount that transit operators collected statewide. All of Humboldt County’s STA fund allocation is available for the cities, county, and operators, as no money goes to HCAOG or the County Auditor for STAF administration costs.

State Transportation Assistance funds may be used for transportation planning & mass transit only. Table 4 below describes uses eligible for STA funding. The TDA does not prioritize these purposes; however, HCAOG has historically allocated has elected to first allocate STA funds “off the top” to the designated CTSA.

Table 4. Purposes Eligible for State Transit Assistance (STA) Funds

<table>
<thead>
<tr>
<th>Purpose</th>
<th>Legislation</th>
</tr>
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<tbody>
<tr>
<td>20% of STA fund to CTSA from funds available based on the jurisdiction’s population. For public transportation purposes, including community transit services.</td>
<td>PUC Article 6.5, §99313.3, CCR Article 6, §6731.1</td>
</tr>
<tr>
<td>Payment to an operator under contract for transportation services or for their related administrative cost.</td>
<td>CCR Article 6, §6731(b)</td>
</tr>
<tr>
<td>Payments to cities or county (and transit districts) for administrative and planning costs related to transportation services under contract.</td>
<td>PUC Article 8, §99400(d)</td>
</tr>
</tbody>
</table>

STA Fund Allocations for a Consolidated Transportation Service Agency (CTSA)

A CTSA may file claims for STA funds for providing community transit services, which are services that link intra-community origins and destinations and include services for those, such as the disabled, who cannot use conventional transit services. [PUC §99313, §99314 and §99275, CCR §6731.1] While STA funds pursuant to PUC §99313 are available (i.e., funds based on the population of its jurisdiction), HCAOG currently authorizes up to twenty percent (20%) of funds available under PUC §99313 to be allocated to the CTSA for specialized transportation services. The terms of the contract state that payments will be made quarterly based on approved monthly invoices and reporting.

As a claimant for these purposes, the CTSA shall be responsible for all accounting, reporting, and eligibility requirements. [Ref. PUC §99313.3, CCR Article 5, §6734]
C. AMOUNTS ELIGIBLE TO CLAIM FOR LTF AND STA FUND

Operators are eligible to receive moneys from the LTF and STA fund for amounts that do not exceed (for the fiscal year) [CCR §6634]:

(1) Operating costs minus the sum of: fare revenues, local support received to meet ratios, federal operating assistance, city or county payments for providing services beyond its boundaries, and, as applicable, the amount of reduced eligibility under §6633.9 (Non-compliance with Required Revenue Ratio).

(2) For capital and debt service purposes: The operator’s actual capital requirements and actual debt service requirements minus revenues for such purposes from other sources.

(3) For transportation services equipment (vehicle and related equipment, bus shelters, bus benches and communication equipment): The actual cost minus the claimant’s revenues for such purposes from other sources.

(4) For service to elderly & handicapped or community transit services: Operating costs and actual expenditures for the purchase of buses or vans, which include equipment, parts, and accessories for the vehicles and for capitalized administrative and planning costs directly related to the purchase of the vehicles. For LTF allocations for purchasing buses or vans for these purposes, claimants can receive no more than the amount of actual expenditures for the purchase of buses or vans. [PUC §99260.7, §99275].

(5) For a CTSA: Operating costs, and actual expenditures for the purchase of communications and data processing equipment essential to providing, consolidating, and coordinating social service transportation.

IV. TDA REQUIRED REPORTS

This section describes the reports that the TDA requires of HCAOG, the County Auditor, and TDA claimants. The reports are listed in the order of their deadlines within the fiscal year beginning July 1. If a deadline date falls on a weekend, the deadline shall be the next business day. Unless otherwise stated, the reports are required annually.
<table>
<thead>
<tr>
<th>Deadline*</th>
<th>TDA Required Report</th>
</tr>
</thead>
<tbody>
<tr>
<td>July 1 Triennially</td>
<td>Performance Audits of Transportation Planning Entities and Operators (#1)</td>
</tr>
</tbody>
</table>

**RESPONSIBILITY:**
HCAOG

Triennially on July 1, HCAOG shall submit the performance audit of its activities to Caltrans, and shall certify in writing that the triennial performance audit of operators to whom it allocates funds has been completed.

HCAOG is responsible for scheduling and for the conduct of the triennial performance audits. HCAOG is responsible for contracting with a suitable auditing firm which will be held to the performance auditing requirements of the Act. The performance audits prepared pursuant to this section shall be made available to the public. [Ref. PUC sections 99246, 99247, 99248, 99249 and CCR sections 6662.5, 6663, 6664.5]

1. **Performance Audits of HCAOG**
   HCAOG shall designate an independent entity to make a performance audit of its activities carried out with respect to the Act, pursuant to PUC §99246. [CCR §6662.5(a)]

   If HCAOG fails to transmit a performance audit report of its activities within one year after the date on which the report was due, it shall not be eligible to receive funds allocated for administration or planning until the audit report is transmitted or unless prior approval is granted by the Caltrans Director. [CCR §6662.5(b)]

2. **Performance Audits of Operators**
   A triennial performance audit shall be conducted for each operator that has operated its public transportation system for one year or longer. [CCR §6664.5(a)]

   No operator is eligible to receive an allocation under PUC Chapter 4 (a.k.a. the Mills-Alquist-Deddah Act) for any fiscal year until reports of its performance audit are transmitted to the State Controller. The audit must cover the three-year period ending one year prior to July 1 of the fiscal year of the proposed allocation. HCAOG shall transmit such reports to the State Controller and shall make them available to interested parties. [CCR §6663(a), PUC §99248]

<table>
<thead>
<tr>
<th>July-Sept (Q1)</th>
<th>Solicitation for STA fund “Program of Projects” (#2)</th>
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</thead>
</table>

**RESPONSIBILITY:**
HCAOG

HCAOG shall annually solicit State Transit Assistance (STA) fund projects from eligible claimants for a Program of Projects pursuant to STA fund estimates provided by the State Controller’s Office. The solicitation shall take place during the first quarter of each fiscal year, or at such time as STA fund estimates and State budget actions occur.

*If a deadline date falls on a weekend, the deadline shall be the next business day.*
DEADLINE: August 1

RESPONSIBILITY: State Controller

### Revised State Transit Assistance (STA) Estimates (#3)

Not later than each August 1, the State Controller shall send an estimate of the amount of STA funds to be allocated to HCAOG each during the fiscal year.

The State Controller’s estimate is based on the amount appropriated in the Budget Act for purposes of STA population formula allocations and revenue formula allocations (PUC §99313, 99314). [PUC §99312.7(b)]

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August 15

RESPONSIBILITY: HCAOG

### Unmet Transit Needs Report of Findings (#4)

By August 15 of each year, HCAOG shall submit to Caltrans its annual Report of Findings on the unmet transit needs within the RTPA jurisdiction. This date is flexible, however. HCAOG shall submit to Caltrans the annual Report of Findings on the unmet transit needs within the RTPA jurisdiction the documentation either by August 15 of the fiscal year of the allocation, or within 10 days after HCAOG adopts the finding, whichever is later. [PUC §99401.6]

1. Annual Unmet Transit Needs Process

HCAOG shall coordinate and support the Social Services Transportation Advisory Council (SSTAC) to undertake a public participation process. The primary goal of the process is to identify the public transportation needs of the transit dependent, especially the elderly, handicapped and poor, and the public transportation needs for coastal zones and other environmentally sensitive areas. The public process will solicit comments on unmet transit needs that may exist within the jurisdiction and that might be reasonable to meet by establishing new public transportation or specialized transportation services, or by expanding existing services. [PUC §99401.5]

The annual unmet transit needs process will occur simultaneously with the initiation of the fund estimate and claims process. HCAOG will advise prospective claimants of the beginning of the unmet transit needs process, and will encourage member entities to conduct individual public hearings on unmet transit needs for their respective jurisdictions. HCAOG will also hold the hearing required by this section of the Act.

2. HCAOG’s Adopted Definitions

For the purposes of this section, HCAOG has adopted definitions for the RTPA jurisdiction. See Appendix B for HCAOG’s definitions of “unmet transit needs” and what constitutes an unmet transit need that is “reasonable to meet.”

3. Findings Regarding Unmet Transit Needs

HCAOG shall adopt one of the following findings for the RTPA jurisdiction:

1. That there are no unmet transit needs;
2. That there are no unmet transit needs that are reasonable to meet; or
(3) That there are unmet transit needs, including needs that are reasonable to meet. [PUC §99401.5(d)]

If the transportation planning agency adopts a finding that there are unmet transit needs, including needs that are reasonable to meet, then the unmet transit needs shall be funded before any allocation is made for streets and roads within the jurisdiction. [PUC §99401.5(e)]

4. Review of Unmet Transit Needs Finding
Any action to review, set aside, void, or annul HCAOG’s decision on the Unmet Transit Needs Finding (made pursuant to Section 99401.5) shall be filed within 30 days after the agency makes its decision, or after the Secretary has reviewed the decision pursuant to Section 99242, whichever is later. However, the action need not be filed until September 15 if the action is with respect to a decision made prior to August 15 for the fiscal year, which commenced on the July 1 immediately preceding such August 15. [PUC §99408]

September 1
Schedule of Performance Audits (#5)

RESPONSIBILITY: HCAOG

Prior to September 1 of each fiscal year, HCAOG shall provide to Caltrans and the State Controller:
(1) A schedule of performance audit reports to be submitted during that fiscal year.
(2) A list of all entities in the jurisdiction that are subject to triennial performance audits pursuant to PUC §99246 (Performance Audits of Planning Entities and Operators). [CCR §6664.5]

September 30
Reports of Extension of Services (#6)

RESPONSIBILITY: Operators, Transit Claimants

If a claimant wants HCAOG to exclude an extension of service when determining the claimant’s revenue qualification, the claimant must submit a report on the extension of services to HCAOG by September 30. The following conditions must be met:

1. Two-Year Limit on Extension-of-Services Exclusion
The extension of services must have been in operation for less than two full fiscal years. The two-year extension of services exclusion applies until two years after the end of the fiscal year in which the extension of services was put into operation. [CCR §6633.8 (a)]

2. Report Requirements
The claimant’s report shall include, but not be limited to, the following:
(1) Description of the area served and the routes included.
(2) The amount of fare revenues generated by the extension and the method used to derive that amount.
(3) The amount of the operating cost for the extension and the method used to
allocate costs between the extension of services and the claimant’s other services. [CCR §6633.8 (b)]

In determining a claimant’s compliance with the fare and local support ratios in CCR §6633.2 (Fare and Local Support Ratios), CCR §6633.5 (Fare Ratio for Service to Elderly and Handicapped Persons) and CCR §6633.9 (Non-compliance with Required Revenue Ratio), the fare revenues and operating cost attributable to an extension of public transportation services (defined in CCR §6619.1), shall be excluded if all of the above conditions are met. [CCR §6633.8]

3. HCAOG’s Transmittal to the Department

HCAOG shall transmit to the Department of Transportation an operator’s or claimant’s request for waivers of budget requirements under PUC §99268.1 (Fare Ratio Requirement for Exclusive Services to Elderly and Handicapped Persons) and PUC §99268.5 (Expenditure Limitation Applied to Older Operators). The transmittal shall include:

1) Operator’s justifications.
2) HCAOG verification that operator meets requirements of the Exemption for Extension of Services (PUC §99268.8).

September 30

RESPONSIBILITY:
HCAOG

Annual Financial Transaction Report

By September 30, HCAOG shall submit to the State Controller an annual financial transactions report for the local transportation and state transit assistance funds, including:

a) Apportionment to each area.

b) Final allocations and purposes as identified by claimant.

c) The beginning fund balances, amounts and sources of revenues, payments made by recipient and allocation purpose, and the ending fund balances. The balances shall include reserves and their purposes, and any unallocated apportionments.

d) A summary of any problems and solutions posed by the administration of the Act or the Rules and Regulations. [CCR §6660]

September 30

RESPONSIBILITY:
Operators, Transit Claimants

Report of Operations

By September 30, each operator and transit service claimant shall submit its annual report of operations to the State Controller and HCAOG. The report of operations shall be prepared independently by the claimant solely for the respective jurisdictional area, or regionally under HCAOG. The reports must be in accordance with the uniform system of accounts and records adopted by the State Controller pursuant to PUC §99243. [CCR §6637(a)]

The report of operations shall include for preceding the fiscal year:
(a) statement of revenue from each source and expense (actual vs. budgeted);  
(b) balance sheet; and  
(c) analysis of changes in retained earnings.  
(d) projected revenues from each source and its proposed application for the next fiscal year. [CCR §6637(c)]

The report shall specify the data necessary to determine whether the operator or transit service claimant is in compliance with PUC sections:  
99268.1 (Expenditure Limitation Applied to Older Operators),  
99268.2 (Alternative Revenues for Older Operators),  
99268.3 (Revenue Ratios for Operators),  
99268.4 (Alternative Revenues for New Non-Urbanized Area Operators),  
99268.5 (Fare Ratio Requirement for Exclusive Service for Elderly & Handicapped), and 99268.9 (Non-compliance with Required Revenue Ratios). [CCR §6637(a)]

### September 30

**Non-Transit Expenditure Reports**

RESPONSIBILITY: Non-transit Claimants

1. Reports for Non-Transit Expenditures
   By September 30, non-transit claimants shall report to HCAOG and the State Controller expenditures of monies received for:
   
   (a) streets/roads and highway purposes under PUC §99400(a), pursuant to PUC §99406. The report shall be prepared pursuant to Chapter 4 (commencing with Section 2150) of Division 3 of the Street and Highways Code; and, pursuant to Section 12463 of the Government Code:  
   (b) pedestrian and bicycle allocations under PUC §99233.3; and  
   (c) multi-modal transportation terminals under PUC §99400.5. [CCR §6665, PUC §99406]

2. Annual Audits
   By October 1, non-transit claimants shall submit to HCAOG and the State Controller annual audits for claims for pedestrian and bicycle facilities (pursuant to PUC §99233.3), and multi-modal transportation terminals (pursuant to PUC §99400.5), as applicable. Audit reports may be turned in later if HCAOG has extended the deadline (up to 12 months). [CCR §6665]

   The report shall be sufficient to ensure verify to HCAOG that the allocated funds were used in compliance with the legal requirements of the Act and in conformance with the allocation instructions.

### September 30

**Quarterly Status of Funds (Q1)**

RESPONSIBILITY: County Auditor

At quarterly intervals, the County Auditor shall report the status of the local transportation fund to HCAOG and the Department of Transportation.
Quarterly reports must include, but are not limited to, the following information: the beginning fund balance, the amount and source of funds received, the amount of payments made and to whom, and the ending fund balance. The quarterly report shall also identify the amount and purposes of any funds held in reserve.

The County Auditor shall maintain accounting records of the fund in accordance with the State Controller’s “Manual of Accounting Standards and Procedures for Counties.” [CCR §6622]

**October 7**
**Responsibility: HCAOG**

*Delinquency Notification for Report of Operations*

By October 7, or the closest business day thereafter, HCAOG shall send out a reminder to any transit operator, transit claimant or non-transit claimant that has not submitted to HCAOG a copy of the Report of Operations (#8) or Non-Transit Expenditure Reports (#9), due September 30.

**December 30**
**Responsibility: HCAOG**

*Fiscal & Compliance Audits of State Transit Assistance Fund and Local Transportation Fund* (#11)

By December 30 of each year, HCAOG shall submit to the State Controller a report of a fiscal and compliance audit of the financial statements of its state transit assistance fund and of the county local transportation fund. The audits may be conducted by the same auditor and may be submitted together in one audit report to the State Controller and to HCAOG. [CCR §6661, §6751]

The financial statements shall be prepared by the county auditor in accordance with generally accepted accounting principles and shall follow the instructions set forth in CCR §6661 and §6751 of the Act. (See Appendix G.)

The State Controller shall not authorize the payment of any allocation to a regional entity that is delinquent in submitting a fiscal audit report. [CCR §6751]

**December 30**
**Responsibility: All Claimants**

*Certified Fiscal & Compliance Audits* (#12)

By December 30, all claimants shall submit a report of fiscal and compliance audit made by an independent auditor. The auditor shall perform the tasks specified in CCR §6666 (*Audit Tasks for Non-Transit Claims*) or CCR §6667 (*Audit Tasks for Transit Claims*), as applicable. HCAOG will select the auditing firm and the conduct of the cycle. HCAOG will inform claimants of all audit findings.

HCAOG is responsible for ensuring that annual fiscal and compliance audits are performed on both transit and non-transit claimants, and may extend the deadline up to 90 days. HCAOG shall not allocate monies to any claimant that is delinquent in submitting its fiscal and compliance audit report. [PUC §99245, CCR §6663, §6664 and §6751]
Audit Findings:
All claimants shall be responsible for ensuring that audit finding reconciliations are addressed as delivered from annual fiscal and compliance reports, and triennial performance audit reports. A summary explaining how the claimant has addressed audit findings shall be required with all claims (see #16 “Annual LTF & STAF Claims.”

December 30
Quarterly Status of Funds(Q2) (#10)
See report #10 under September 30.

January 31
Preliminary State Transit Assistance Estimate (#13)
By January 31 of each year, the State Controller shall send HCAOG an estimate of the amount of STA funds to be allocated to it during the next fiscal year pursuant to the STA population formula allocation (PUC §99313) and revenue formula allocation (§99314). [PUC §99312.7]

February 1
Local Transportation Fund Estimate (#14)
By February 1 of each year, the County Auditor shall furnish to HCAOG an estimate of local transportation fund moneys to be available for apportionment and allocation during the ensuing fiscal year.

The County Auditor shall estimate from such data as he/she may have, including data furnished by the State Board of Equalization. The County Auditor shall furnish a revised estimate during the year if HCAOG so requests. [CCR §6620]

March 1
Findings & Notice of LTF Apportionments (#15)
By March 1, the HCAOG Board of Directors shall adopt the Findings of Apportionment for the coming fiscal year and HCAOG staff shall notify prospective claimants of anticipated revenues and their anticipated LTF apportionment. [CCR §6644(a)] HCAOG will also transmit forms for annual claim applications.

A claimant’s apportionment for any fiscal year, once determined by HCAOG, shall remain in reserve for the claimant.

The term “apportionment” refers to the proportion of anticipated annual revenue in the fund that the area’s population bears in relation to the total population countywide.

The term “area” means:
• With reference to a county government: the unincorporated area of the county.
• With reference to a city government: the corporate area of the city.
• Where a county or city provides public transportation services beyond its boundaries, for purposes of apportionment, its area shall also include:
  (a) all of that area within one-half mile of any route which extends beyond its boundaries; and
  (b) all of the corporate area of a city to which it provides such services pursuant to contract or prior express authority of the Secretary. [PUC §99231]

Population Estimates:
It is HCAOG’s policy to utilize the State Department of Finance’s population estimates (Report E-1, published annually in May) to calculate apportionment percentages. HCAOG may also rely on population estimates used by the State Controller for distributing money to cities and to counties (per Section 2107 of the Streets and Highways Code, and Section 11005 of the Revenue and Taxation Code, respectively). HCAOG may contract with the Department of Finance or other appropriate agency(ies) for annual population estimates as may be necessary. [PUC §99231, CCR §6620]

March 31
Quarterly Status of Funds (Q3) (#10)
RESPONSIBILITY: County Auditor
See report #10 under September 30.

April 1
Annual LTF & STAF Claims (#16)
RESPONSIBILITY: All Claimants
By April 1 of each year, or at such time as preliminary budgeting information is available, the claimant shall file an annual claim with HCAOG. (For amending claims, see 7 below.)

1. Review of Claims
Prior to June 30, HCAOG shall complete the review of all annual claims that were submitted by April 1 of the same year. HCAOG shall allocate funds only in accordance with a finding that the proposed expenditures conform to the adopted Regional Transportation Plan (CCR §6651).

HCAOG shall transmit to the claimant a copy of the approved annual claim together with a certified copy of HCAOG’s authorizing action.

2. Maximum Claim
The amount of a claim must be based on the Finding of Apportionment provided by HCAOG for the fiscal year and cannot exceed an area’s apportionment, except in the following two instances:
(1) Joint projects agreed upon by two or more claimants where an executed contract exists for the identified project; or
(2) The claim for funds exceeds the annual estimate because it includes funds...
All operators and city or county governments with responsibility for providing municipal services to a given area collectively may file claims for only such monies as represents that area’s apportionment.

3. Claims for Transportation Planning Process
A claimant may request that HCAOG allocate funds to a designated governmental agency that will implement the annual work program of the transportation planning process. HCAOG may authorize the county auditor to pay funds from the claimant’s allocation directly to such governmental agency. [CCR §6646]

4. Carryover of Apportionment for Future Capital Projects
A claimant may request that HCAOG designate all or a portion of its apportionment for future capital projects on the respective annual claim. Such funds shall be reserved for the claimant in the local transportation fund. An operator may, as part of its claim, propose that HCAOG commit to allocate moneys annually for up to five years for installments on a long-term capital outlay. A commitment is neither an allocation nor a pledge of secure anticipated allocations, and an operator shall not execute any document that purports to evidence such an encumbrance. However, a commitment approved by HCAOG may thereafter be cited as available local matching moneys when applying for federal transportation grants. [CCR §6631, Proposed Commitment]

5. Consolidated Transportation Services Agency Is the Claimant
The CTSA is the claimant for funds and shall meet all requirements as a single claimant. The CTSA is responsible for (including, but not limited to) the following: filing claims; maintaining complete and accurate records in accordance with the uniform system of accounts and records; complying with fare revenue requirements; and submitting fiscal and compliance audit reports. The CTSA’s responsibilities as a claimant may not be delegated or assigned to its contract services providers. [CCR §6681]

6. Claim Requirements for Transit and Non-Transit Claims
All claimants shall complete and submit an “Annual Claim for TDA Funds,” which shall consist of the information outlined below.

- All TDA Claims: Claimants shall submit one claim form when requesting both LTF and STA funds. (Beginning FY 2015-16)

- Non-Transit Claims: Claimants shall submit items (a) through (d)(e), inclusive, as part of the claim.

- Transit Claims: An operator or transit service claimant shall submit items (a) through (h)(i), inclusive, to file a claim.

ALL claims must include items (a) through (d)(e), inclusive.
HCAOG forms for parts (a), (b), and (c), and (e) are provided in Appendix C (revised August 2012 October 2014) and on-line at www.hcaog.net. Claimants are responsible for making sure they submit the most current forms.

a) HCAOG “Claim Request” form.

b) HCAOG “Annual Project and Financial Plan” form.

This form serves as the project budget or proposed budget for the fiscal year of the claim. For transit claims, form shall identify the amount claimed for transit system operations, capital projects by item, and any funds to be reserved in the local transportation fund for future use. For non-transit claims, this form shall identify the amount claimed for non-transit projects [CCR §6632(a)]

c) HCAOG “Statement of Conformance” form. Claimants shall certify, as applicable:

- Conformance with transit operator eligibility for State Transit Assistance funds.
- Conformance with Article 8 of the TDA for non-transit claims (i.e. for construction of streets and roads (PUC §99402), and for facilities for the exclusive use of pedestrians and bicycles (PUC §99407)).

d) Claimants who want to designate funds for a future, specific capital project must request it as part of a claim. The claim must indicate any reserved monies in the subsequent annual claim(s). Before expending these funds for any other purpose, the claimant must identify its proposed changes in an amended claim or subsequent annual claim. [CCR §6648]

e) Claimants who are allocated STA funds must submit supporting documentation not limited to invoices, reporting, or budget information for reimbursement. In addition, prior to the release of funds, claimants are required to submit a complete and accurate record of previously allocated STA expenditures, back to the 2009/2010 fiscal year. The record must include a status summary of prior unspent STA funds from this time frame. In addition, claimants who have previously designated excess TDA funds as future capital purchase funds must submit a summary report of their capital purchase accounts. [CCR §6637] (Beginning FY 2015-16)

Only transit claims must include items (e), (f), (g), and (h), (i), and (j):

f) To receive an allocation of funds for service outside the claimant’s area, a claimant must provide, or have on file with HCAOG, an executed contract pursuant to PUC sections:

- §99231(f) …Apportionment: Where a transit district, a county, or city provides public transportation services beyond its boundaries);
- §99260.2 ….Claims for Peak-Hour Service;
- §99260.7 ….Claims for Separate Service to Elderly and Handicapped Persons by Joint Powers Agency Members;
- §99277 …..Service Contracts;
- §99288 …..Extended Service by Contract or Authorization);
§99400(c)...Claims Purposes: Payment to entities under contract; or §99400.5 ....Multi-modal Transportation Terminals.

HCAOG may evaluate and process a claim in the absence of such a contract, but shall not authorize payment. [CCR §6630]

g) If applicable, a statement identifying and substantiating the reason or need for:
(1) increasing the operating budget in excess of 15 percent above the preceding year; (2) a substantial increase or decrease in scope of operations; or (3) capital provisions for major new fixed facilities. [CCR§6632(b)]

h) A certification by the Department of the California Highway Patrol verifying that the operator is in compliance with Section 1808.1 of the Vehicle Code, as required in PUC §99251. The certification shall have been completed within the last 13 months, prior to filing claims. [CCR§ 6632(c)]

i) A financial statement of actual and projected revenues and expenditures for the prior fiscal year. The statement shall specifically identify the estimated amount of the claimant’s maximum eligibility for moneys from the local transportation fund and the state transit assistance fund, as defined in CCR §6634 (Eligibility of Funds). [CCR§ 6632(c)]

j) An explanation of how the claimant has addressed applicable audit findings from annual fiscal and compliance reports, and triennial performance audit reports. The report shall cover findings from the most current audits, and any outstanding findings not yet reconciled from earlier audits.

7. Amended Claim
The claimant shall spend monies received from the fund only in accordance with the terms of the allocation instruction and approved annual financial plan. If the claimant must revise its claim, the claimant shall submit an amended claim requesting HCAOG to consider a revised allocation instruction and financial plan. For amendments that do not change the dollar allocation, claimants may amend their claim informally by noting the change on the claim, providing it to HCAOG for concurrence, and forwarding it to the Auditor Office for processing.

A claimant may submit an amended claim to HCAOG at any time throughout the fiscal year.

8. Review of an Approved Claim
HCAOG or the claimant may at any time during the fiscal year call for a review of an approved annual claim to reconsider the claim based on revised estimates of the fund or upon a finding. In determining or re-determining the approved claim, HCAOG shall have full access to the claimant’s records and accounts. [CCR §6659]
Auditor for each applicant having submitted the claims local transportation fund for the ensuing fiscal year. HCAOG shall transmit a copy of the instructions to each claimant. The instructions shall be a written memorandum of the Executive Director accompanied by a certified copy of the resolution or minute action authorizing the claim action. The instructions shall contain:

a) The date of the instruction and the fiscal year for which the allocation is made.
b) Article and Section of the Act for the allocation.
c) Amount of payment and any terms and/or conditions of the allocation.
d) Time and method of payment to be no less than quarterly, or as monies become available, unless HCAOG directs otherwise.

For all claims submitted after June 30th, instructions will be processed within the next 30 days. These instructions shall constitute all necessary approval required by the Act for the County Auditor to issue payments on the claim. [CCR §6659]

2. STAF Allocation Instructions

On or before June 30, HCAOG shall convey an allocation instruction for STA funds for each operator or city, or county that has filed an annual claim for an allocation from the STA fund, pursuant to Sections 6730 (Claims of Operators) and 6731 (Claims of Cities, Counties or Transit Districts). HCAOG may, with the claimant’s consent, delay conveying an allocation instruction until after the beginning of the fiscal year. For all claims submitted after June 30th, instructions will be processed within the next 30 days. HCAOG shall convey at least one allocation instruction annually. [CCR §6753]

The STAF allocation instruction will consist of one resolution adopting the STAF Minor Program of Projects for the applicable fiscal year. Claims submitted will be executed by HCAOG’s Executive Director with no further HCAOG Board action required.

The amount of a regional entity’s allocation for a fiscal year that is not allocated to claimants for that fiscal year shall be available to the regional entity for allocation in the following fiscal year. [CCR §6753]

3. Revised Allocation Instructions

HCAOG shall make revisions to these allocation instructions only under one of the following conditions:

a) Claimant has filed a revised claim or an appeal affecting the allocation. [CCR §6756]
b) The claimant is found to be spending, or unless enjoined is about to spend, monies otherwise than in accordance with the terms of the allocation instruction.
c) An adjustment is necessary to reconcile the estimate on which the allocation was based, including revised apportionments.
d) The financial needs of the claimant have changed since the time of the allocation.
e) Supporting documentation is inconsistent with the allocation request.
<table>
<thead>
<tr>
<th>Date</th>
<th>Description</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>June 30</td>
<td>Quarterly Status of Funds (Q4)</td>
<td>County Auditor</td>
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<td>See report #10 under September 30.</td>
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<tr>
<td>June 30</td>
<td>Fiscal Audit of Transportation Planning and Programming Entities</td>
<td>HCAOG</td>
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<td>Annually and within 12 months of the end of the fiscal year, HCAOG shall transmit to the State Controller a report of an audit of its accounts and records by the appropriate county auditor, a certified public accountant, or a public accountant pursuant to Sections 6505 and 26909 of the Government Code. The fiscal audit shall conform to the directions set forth in CCR §6662 of the Act. [CCR §6662] (See Appendix D.)</td>
<td></td>
</tr>
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</table>
V. RESPONSIBILITIES OF THE COUNTY AUDITOR

A. PAYMENT BY COUNTY AUDITOR

The County Auditor shall make payments from the fund balance solely in accordance with approved allocation instructions received from HCAOG. The County Auditor shall exercise no discretion in this regard, and in the event of uncertainty, shall immediately refer the matter to HCAOG for resolution. If the auditor is unable to resolve the matter with HCAOG, he may refer the matter to the Secretary for an advisory opinion. [CCR §6621]

B. FUND INTEREST, INCOME AND INVESTMENTS

The County Auditor as fund trustee shall arrange with the County Treasurer to invest monies in the Humboldt County’s local transportation fund at the highest rate of return consistent with prudent fund management and the needs for disbursing funds in accordance with HCAOG’s instructions. Any interest or other income that the local transportation fund earns by investment or otherwise shall accrue to and be a part of the fund. Interest earned will be reported to HCAOG consistent with quarterly report requirements (see section IV, “Quarterly Status of Funds” (report #8 of these rules). Interest earned shall be apportioned to entities with a positive balance in proportion to each entity’s percentage of the total balance in the fund. [CCR §6623]

VI. APPEAL

In the event that a claimant is not satisfied with an approved claim or other action taken by HCAOG in its capacity as the RTPA, the claimant may appeal to the Secretary who shall investigate and evaluate the disagreement between the claimant and the RTPA. The Secretary shall notify the involved parties of his/her findings, which shall be a final settlement of the issue. [PUC §99242]

A. APPELLANT’S RESPONSIBILITIES

A claimant is an eligible appellant under this section whether it has filed a claim or not. [CCR §6670]

1. In the event that a claimant is dissatisfied with its allocation or any other HCAOG decision, the claimant may within sixty days thereafter file an appeal with the Secretary.

2. The appeal shall be in the form of a registered letter addressed to the Secretary with a registered copy to HCAOG. The appeal may be for an amount over and above the allocation but no more than the claimant’s allocation as prescribed by Sections 99231 and 99231.2 of the Act. At the time of filing an appeal, the appellant may request, or the Secretary may set by his/her own motion, a public hearing before the Secretary or his/her designated alternate to hear additional evidence concerning the appeal.

3. The appeal shall be accompanied by the disputed claim or claims and accompanying information and data as required by HCAOG, and any other supporting information submitted with the claim or subsequently to HCAOG for its consideration.
B. **HCAOG’S RESPONSIBILITIES**

Upon receipt of a notice of appeal by a claimant, HCAOG shall immediately transmit to the Secretary:

1. HCAOG rules and regulations in effect at the time of the appeal.
2. Staff reports and other data relating to the disputed action. HCAOG may request a public hearing in front of the Secretary or his/her designate to hear additional evidence concerning the appeal. [CCR §6656]

VII. RELATIONSHIPS BETWEEN OPERATORS

A. **ADDITION, EXTENSION OR RELINQUISHMENT OF ROUTES**

Operators in overlapping service areas shall provide 60 days written notice of affected governing bodies of service level changes in the overlapping areas of service, including, but not limited to, extending routes, or adding or eliminating stops.

The notice period shall be sufficient to allow the affected parties to review and comment on such proposed service level changes in order to examine impacts and/or alternative means of meeting those needs targeted by the service changes.

Extending service or adding routes may occur in service areas that do not overlap, provided that establishing such service does not compete with or divert patronage from existing services. [PUC §99280, §99281]

B. **COORDINATION OF SERVICES**

All operators shall be encouraged to establish maximum coordination of public transportation services, fares, transfer privileges, and other related matters for the overall improvement of public transportation service to the general public within affected overlapping or contiguous service areas. [PUC §99282]

C. **TRANSFERS BETWEEN OPERATORS**

Transfers between public transit operators must be provided for all operators in overlapping and/or contiguous service areas. [PUC §99282.5]

D. **VIOLATIONS**

If a transit operator violates provisions referring to overlapping and contiguous service levels, HCAOG shall withhold the violator’s public transportation claim until the violations have ceased. [PUC §99284]

E. **SERVICES BY CONTRACT**

Any city or county may enter into a contract with any operator for that operator’s provision of public transit within the city or county, in which case the contracted operator may claim funds for those services, as approved by the city or county. Such a claim may include amounts for reimbursement to the
city or county for administration, review, and monitoring of the contract, not to exceed five percent (5%) of the amount of the contract for those services provided to the city or county. [PUC §99231.2, §99288]
APPENDICES

APPENDIX A. DEFINITIONS FOR TDA RULES AND REGULATIONS

For the purposes of HCAOG’s TDA Rules, the following definitions apply.

Act – Transportation Development Act

CCR – California Code of Regulations

Claimant or any derivative term such as “applicant,” means any operator, city, county or consolidated transportation service agency within the boundaries of the Humboldt County Association of Governments. [PUC §99203]

Community Transit Services, for purposes of Article 4.5, means transportation services which link intracommunity origins and destinations. [PUC §99275(b)]

Consolidated Transportation Service Agency (CTSA) – As designated by the RTPA, Humboldt’s CTSA is the Humboldt Community Access and Resource Center Inc. (HCAR), or another agency so designated in the future. [PUC §99204.5]

Construction shall be defined in the same manner as set forth in Section IV, Part 2, State of California Accounting Standards and Procedures for Counties - State Controller’s Office, and shall include those purposes necessary and convenient to the development, construction, and maintenance of the City or County’s street and highway network. [PUC §99402]

Department – The California Department of Transportation (Caltrans).

Director – Director of the California Department of Transportation.

Extension of Public Transportation Services – The term, used in PUC §99268.8, applies collectively to any services that are eligible for funding from the Local Transportation Fund and the State Transit Assistance fund, including services provided by a new operator or transit service claimant, according to “services” as defined in subsections a, b, and c of Section 6619.1 [CCR §6619.1]

Fiscal year – The year commencing July 1 and ending June 30 of the following year, unless otherwise authorized by the HCAOG.

Local transportation fund means the fund established by a county under Article 11 (commencing with Section 29530) of Chapter 2 of Division 3 of Title 3 of the Government Code. [CCR §6617.1]

Municipal operator means a city or county, including any nonprofit corporation or other legal entity wholly-owned or controlled by the city or county, which operates a public transportation system. [PUC §99209]

Operates (Operation) means that the operator owns or leases the equipment, establishes routes and frequency of service, regulates and collects fares and otherwise controls the efficiency and quality of the operation of the system, but does not require that operators of rolling stock be employees of a public agency. [PUC §99209.5]

Operator means any municipal operator, included municipal operator or transit development board. [PUC §99210]

Passenger miles refers to the total number of miles traveled by transit passengers; for example, a bus that carries five passengers for a distance of three miles has provided 15 passenger miles.

Public Transportation System means any system of an operator which provides transportation services to the general public by any vehicle which operates on land or water, regardless of whether operated separate from or in conjunction with other vehicles. [PUC §99211]
PUC – Public Utilities Code

Regional Transportation Plan (RTP) shall mean HCAOG’s currently adopted transportation plan. [CCR §6615]

Regional Transportation Planning Agency (RTPA) refers to the Humboldt County Association of Governments (HCAOG) for the area within its boundaries. [PUC §99214]

Secretary – the Secretary of the Business, Transportation and Housing Agency.

State Transportation Assistance (STA) fund means funds from the State Transit Assistance Program pursuant to the TDA.

State Transit Assistance Program means the provisions of the Transportation Development Act related directly to the state transit assistance funds, including PUC §99312 to §99314.7, inclusive and Chapter 2.5 of the Act. [CCR §6713]

Transportation Planning Process refers to the joint effort of all governmental agencies with transportation responsibilities within a given region by which plans are developed in a continuing and coordinated manner, and which is documented annually by the adoption of an annual work program evidencing the respective contributions in monies and staff time of the respective agencies to that effort. [CCR §6614]
APPENDIX B. DEFINITIONS FOR UNMET TRANSIT NEEDS

HCAOG applies the following definitions for the unmet transit needs process and findings. The HCAOG Board adopted these definitions in 2011.

Definition of “unmet transit needs” — Unmet transit needs are, at a minimum:

1. Trips requested from residents who do not have access to public transportation, specialized transportation, or private transport services or resources for the purpose of traveling to medical care, shopping, social/recreational activities, education/training, and employment; or

2. Proposed public transportation, specialized transportation, or private transport services that are identified in the following (but is not limited to): Transportation Development Plans, the Regional Transportation Plan, the Coordinated Public Transit–Human Services Transportation Plan.

Additionally, the TDA stipulates that, for this process, unmet transit needs do not include:

- Improvements funded or scheduled for implementation in the next fiscal year.
- Minor operational improvements or changes such as bus stops, schedules, and minor route changes.
- Trips for purposes outside of Humboldt County.
- Trips for primary or secondary school transportation.
- Sidewalk improvements or street and road needs.

Definition of “reasonable to meet” — Unmet transit needs may be found to be reasonable to meet by means of the following criteria:

1. Pursuant to the requirements of Transportation Development Act (TDA) Statutes (Public Utilities Code Section 99401.5 (c)), a determination of needs that are reasonable to meet shall not be made by comparing unmet transit needs with the need for streets and roads, for the allocation of TDA funds. The fact that an identified transit need cannot be fully met based on available resources shall not be the sole reason for finding that a transit need is not reasonable to meet.

2. If a new, expanded or revised transit service fails to meet ridership or cost effectiveness standards after one full year of operation, reasonable efforts will be made and documented to rectify the situation during the following year of operation. If service has not met performance standards during the period required by the Transportation Development Act Statutes, and efforts to improve service productivity have been documented by the operator to be unsuccessful, the service will be subject to termination as not being reasonable to meet. Efforts to rectify the underperforming ridership may include but are not limited to increased outreach/marketing of service (newspaper placement), collaboration between organizations or agencies that work with potential ridership of the service and surveys documenting ways in which the service could be improved or made more attractive.

3. Evaluation of potential unmet needs shall be conducted by the TDA claimant that is expected to provide the new, expanded, or revised transit service. The TDA claimant shall review, evaluate, and indicate that the service is operationally feasible, including:
   a. Forecast of anticipated ridership if service is provided.
   b. Estimate of capital and operating cost for the provision of such services.
   c. Determination if there are adequate roadways and selected turnouts to safely accommodate transit vehicles.
   d. Determination that vehicles are currently available in the marketplace.
   e. Determination if potential transit service duplicates existing services.

4. An unmet transit need may be determined to be unreasonable to meet because it is not feasible to initiate service within the coming fiscal year, due to the time required for vehicle acquisition, planning, or similar timing factors, or because additional information is needed to determine whether or not the unmet transit need is reasonable to meet. An unmet transit need shall not be determined unreasonable to meet more than once on these grounds. An unmet transit need, meeting the tests in criteria #3, may be determined not reasonable to meet only
once based on an inability to initiate service within the coming fiscal year. The claimant(s) should use this time to plan, acquire vehicles, or submit additional information needed to begin service. If the service is not initiated in the next fiscal year and still meets the tests in criteria #3, it will be determined reasonable to meet.
Appendix C. Annual Claim Forms
**APPENDIX C. ANNUAL CLAIM FORMS**

**CHECKLIST FOR ANNUAL LTF & STAF CLAIMS**

By April 1 of each year, or at such time as preliminary budgeting information is available, the claimant shall file an annual claim with HCAOG.

- **Non-Transit Claims:** Claimants shall submit items (a) through (e), inclusive, as part of the claim.
- **Transit Claims:** An operator or claimant shall submit items (a) thru (i), inclusive, to file a claim.

**ALL claims must include items (a) through (e), inclusive.**

HCAOG forms for parts (a), (b), and (c) are provided in this Excel file and on-line at www.hcaog.net. Claimants are responsible for making sure they submit the most current forms.

- a) HCAOG “Claim Request” form. [Included in following sheet]
- b) HCAOG “Annual Project and Financial Plan” form. [Included in following sheet]
- c) HCAOG “Statement of Conformance” form. [Included in following sheet]
- d) Claimants who want to designate funds for a future, specific capital project must request it as part of a claim. The claim must indicate any reserved monies in the subsequent annual claim(s).
  Before expending these funds for any other purpose, the claimant must identify its proposed changes in an amended claim or subsequent annual claim. [CCR §6648]
- e) If not submitted previously, claimants must submit a complete and accurate record of STA expenditures from the 2009/10 fiscal year to present citing actual vs. budgeted expenditures and a report of excess LTF funds reclassified for future capital purchases. [CCR §6637]

**Only transit claims must include items (e), (f), (g), (h), (i) and (j):**

- f) To receive an allocation of funds for service outside the claimant’s area, a claimant must provide, or have on file with HCAOG, an executed contract pursuant to PUC sections:
  - §99231(f) -- Apportionment: Where a county or city provides public transportation services beyond its boundaries;
  - §99260.2 -- Claims for peak-hour service;
  - §99260.7 -- Claims for separate service to elderly and handicapped persons by JPA members;
  - §99277 -- Service contracts;
  - §99288 -- Extended service by contract or authorization;
  - §99400(c) -- Claims Purposes: payment to entities under contract; or
  - §99400.5 -- Multi-modal transportation terminals.

- g) If applicable, a statement identifying and substantiating the reason or need for: (1) increasing the operating budget in excess of 15% above the preceding year; (2) a substantial increase or decrease in scope of operations; or (3) capital provisions for major new fixed facilities.

- h) A certification by CHP verifying that the operator is in compliance with §1808.1 of the Vehicle Code, as required in PUC §99251. The certification shall have been completed within the last 13 months, prior to filing claims.

- i) A financial statement of actual and projected revenues and expenditures for the prior fiscal year.
- j) An explanation that summarizes how the claimant has addressed applicable audit findings from annual fiscal and compliance reports, and triennial performance audit reports.

---

For full information on claim requirements, see HCAOG’s TDA Rules (part IV. "TDA REQUIRED REPORTS" Report #16).
CLAIM REQUEST

Check one:
☐ State Transit Assistance (STA) Fund
☐ Local Transportation Fund (LTF)

Claimant: Enter text here.
Address: Enter text here.
Contact Person: Enter text here.
Title: Enter text here.
Phone: Enter text here.
E-mail: Enter text here.

The __________________________________________ hereby requests, in accordance with the
Transportation Development Act of 1971, Chapter 1400, and applicable rules and regulations, that
its annual transportation claim be approved in the amount of $____________ for fiscal year
___________. These monies are to be drawn from the local transportation fund of the County of
Humboldt for the purposes and amounts shown in the attached “Annual Project and Financial
Plan.”

When approved, please transmit this claim to the County Auditor of the County of Humboldt for
payment. Approval of the claim and payment by the County Auditor to this applicant is subject to
such monies being on hand and available for distribution, and to the provisions that such monies
will be used only in accordance with the terms of the approved annual financial plan.

Authorized representative of claimant:

By: ________________________________________ Title: Enter text here.
(print name)

Signature: ___________________________________ Submittal date: Enter text here.

APPROVED:

By: ________________________________________ Date: __________
Marcella Clem
Executive Director, Humboldt County Association of Governments

DRAFT AMENDMENTS to 2012 RULES Page 36 of 44
ANNUAL PROJECT AND FINANCIAL PLAN

Give each project a title and number in sequence, and briefly describe the transportation projects that your jurisdiction proposes. Indicate proposed expenditures for the ensuing fiscal year for all that apply:

(i) public transportation operating and capital expenditures;
(ii) construction of facilities for the exclusive use by pedestrians and bicyclists;
(iii) construction of local streets and roads; and/or
(iv) right-of-way acquisition.

<table>
<thead>
<tr>
<th>Claimant:</th>
<th>Fiscal Year:</th>
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<tbody>
<tr>
<td>PROJECT (Project number, title, &amp; brief description)</td>
<td>TDA - LTF $ amount</td>
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<td>TOTAL</td>
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Attach a copy of transit revenues and expenditures for the last full fiscal year.
STATEMENT OF CONFORMANCE

Claimant: ___________________________ Fiscal Year of Claim: __________

Certify all that apply.

THIS IS REQUIRED FOR ALLOCATIONS MADE AFTER FISCAL YEAR 2014-15. [PUC 99314.6(e)]

☐ STATE TRANSIT ASSISTANCE (STA) FUND - TRANSIT CLAIM
TRANSIT OPERATOR QUALIFYING CRITERIA (PUC §99314.6)

Provide information for the last 3 audited fiscal years.

<table>
<thead>
<tr>
<th>Preceding Fiscal year</th>
<th>Fiscal year</th>
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<th>Fiscal year</th>
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System Operating Costs
System Revenues
System Vehicle Service Hours
System operating cost per revenue vehicle hour
1 $ - $ - $ - $ - $ - 

HCAOG staff use only
2 3-Year Average
3 Regional CPI
4 inflation allowance (1 x 3)
5 (1 + 4) $ - $ - $ - $ - $ - 

☑ NON-TRANSIT CLAIM
The claimant named above hereby certifies that this annual claim for local transportation funds in the amount of $__________ conforms with the requirements of Article 8, PUC Section 99400, of the Transportation Development Act of 1971, and applicable rules and regulations.

CERTIFIED BY CLAIMANT:
By: ___________________________ Title: ___________________________

Signature: ___________________________ Date: __________
APPENDIX D. FISCAL AUDITS OF TRANSPORTATION PLANNING AND PROGRAMMING ENTITIES

CCR, Article 5.5 - Audit and Expenditure Reports

6662 - Fiscal Audits of Transportation Planning and Programming Entities

Each transportation planning agency, county transportation commission, and metropolitan transit development board shall transmit to the State Controller, annually and within 12 months of the end of the fiscal year, a report of an audit of its accounts and records by the appropriate county auditor, a certified public accountant, or a public accountant pursuant to Sections 6505 and 26909 of the Government Code. The audit shall be performed in accordance with the Basic Audit Program and Reporting Guidelines for California Special Districts prescribed by the State Controller pursuant to Section 26909 of the Government Code and shall include a determination of compliance with the Act and the administrative rules and regulations. In the financial statements, of the transportation planning agency, county transportation commission and metropolitan transit development board, the local transportation fund, the state transit assistance fund, and other revenues or funds of any city, county or other agency shall not be commingled. All fiscal and accounting records and other supporting papers shall be maintained for a minimum of four years following the close of the fiscal year of expenditure and shall be available for inspection and audit by the State Controller.

6662.5 - Performance Audits of Transportation Planning and Programming Entities

(a) Each transportation planning agency, county transportation commission and metropolitan transit development board shall designate an independent entity to make a performance audit of its activities with respect to the Act pursuant to Public Utilities Code section 99246. The performance audit shall be submitted to the Director by July 1 triennially, in accordance with a schedule established by the transportation planning agency, county transportation commission and metropolitan transit development board.

(b) If the transportation planning agency or county transportation commission, or metropolitan transit development board fails to transmit a performance audit report of its activities within one year after the date on which the report was due, the agency, commission, or board shall not be eligible to receive funds allocated for administration or planning until the audit report is transmitted or unless prior approval is granted by the Director.

(c) The performance audit prepared pursuant to this section shall be made available to the public pursuant to the California Public Records Act (Chapter 3.5 (commencing with Section 6250) of Division 7 of Title 1 of the Government Code.)

PUC, Article 3 - Local Transportation Funds

99246 - Performance Audits of Planning Entities and Operators

With respect to an operator providing public transportation services, the performance audit shall include, but not be limited to, a verification of the operator’s 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, as defined in Section 99247. The performance audit shall include, but not be limited to, consideration of 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, as defined in subdivision (a) of Section 99260.2. [§99246]

The performance audit may include performance evaluations both for the entire system and for the system excluding special, new, or expanded services instituted to test public transportation service growth potential. [§99246(e)]
APPENDIX E. AUDIT TASKS FOR NON-TRANSIT CLAIMS

CCR, Article 5.5 - Audit and Expenditure Reports

6666 - Compliance Audit Tasks--Non-transit Claimants

In conducting the compliance portion of the audit specified in section 6664 for a non-transit claimant, the independent auditor shall perform at least the following tasks:

(a) Determine whether the funds received by the claimant pursuant to the Act were expended in conformance with those sections of the Act specifying the qualifying purposes, including Public Utilities Code section 99402 for streets and roads claimants and section 99233.3 for claimants under that section for pedestrian and bicycle facilities and bicycle safety education programs.

(b) Determine whether the funds received by the claimant pursuant to the Act were expended in conformance with the applicable rules, regulations, and procedures of the transportation planning agency and in compliance with the allocation instructions.

(c) Determine whether interest earned on funds received by the claimant pursuant to the Act were expended only for those purposes for which the funds were allocated, in accordance with Public Utilities Code sections 99301 and 99301.5.
APPENDIX F. AUDIT TASKS FOR TRANSIT CLAIMS

CCR, Article 5.5 - Audit and Expenditure Reports

6667 - Compliance Audit Tasks–Transit Claimants

In conducting the compliance portion of the audit specified in section 6664 for an operator or transit service claimant, the independent auditor shall perform at least the following tasks:

(a) Determine whether the claimant was an entity eligible to receive the funds allocated to it. This determination should be made with reference to the section of the Act under which the funds were allocated and to the definitions in article 1 of the Act.

(b) Determine whether the claimant is maintaining its accounts and records on an enterprise fund basis and is otherwise in compliance with the uniform system of accounts and records adopted by the State Controller pursuant to Public Utilities Code §99243.

(c) Determine whether the funds received by the claimant pursuant to the Act were expended in conformance with those sections of the Act specifying the qualifying purposes, including Public Utilities Code §§99262 and §99263 for operators receiving funds under article 4, §§99275, 99275.5 and 99277 for article 4.5 claimants, and §99400(c), (d) and (e) for article 8 claimants for service provided under contract, and §99405(d) for transportation services provided by cities and counties with populations of less than 5,000.

(d) Determine whether the funds received by the claimant pursuant to the Act were expended in conformance with the applicable rules, regulations, and procedures of the transportation planning agency and in compliance with the allocation instructions and resolutions.

(e) Determine whether interest earned on funds received by the claimant pursuant to the Act were expended only for those purposes for which the funds were allocated, in accordance with Public Utilities Code §§99234.1, 99301, 99301.5 and 99301.6.

(f) Verify the amount of the claimant’s operating cost (as defined by §6611.1) for the fiscal year, the amount of fare revenues required to meet the ratios specified in §6633.2 and §6633.5 and the amount of the sum of fare revenues and local support required to meet the ratios specified in §6633.2.

(g) Verify the amount of the claimant’s actual fare revenues (as defined by §6611.2 and by Public Utilities Code §99205.7) for the fiscal year.

(h) Verify the amount of the claimant’s actual local support (as defined by §6611.3) for the fiscal year.

(i) Verify the maximum amount the claimant was eligible to receive under the Act during the fiscal year in accordance with §6634 and §6649.

(j) Verify, if applicable, the amount of the operator’s expenditure limitation in accordance with §6633.1.

(k) In the case of an operator, determine whether the operator’s employee retirement system or private pension plan is in conformance with the provisions of Public Utilities Code §§99271, 99272, and 99273.

(l) In the case of an operator, determine whether the operator has had a certification by the Department of the California Highway Patrol verifying that the operator is in compliance with §1808.1 of the Vehicle Code, as required in Public Utilities Code §99251.

(m) In the case of an operator, verify, if applicable, its State Transit Assistance eligibility pursuant to Public Utilities Code §99314.6 or §99314.7.
(n) In the case of a claimant for community transit services, determine whether it is in compliance with Public Utilities Code §99155 and §99155.5.
APPENDIX G. AUDIT OF STATE TRANSIT ASSISTANCE FUND

CCR, Article 5 - Role of Regional Entities

6751 - Audit of State Transit Assistance Fund

Each regional entity shall submit to the State Controller, annually and within 180 days after the end of the fiscal year, a report of a fiscal and compliance audit of the financial statements of its state transit assistance fund. If the regional entity is a county transportation commission or the San Diego Metropolitan Transit Development Board, a copy of the audit report shall be transmitted at the same time to the transportation-planning agency. The audit shall be conducted in accordance with generally accepted auditing standards by the State Controller or by a certified public accountant or public accountant who is not an officer or employee of the regional entity or of any city, county, or operator within the area of the regional entity and shall include a determination of compliance with the Act and the administrative rules and regulations. If the regional entity and the county auditor so agree, the audits of the local transportation fund (pursuant to Section 6661) and the state transit assistance fund may be conducted by the same auditor and may be submitted together in one audit report to the State Controller and to the transportation planning agency. The State Controller shall not authorize the payment of any allocation to a regional entity that is delinquent in its submission of a fiscal audit report.

The financial statements shall be prepared in accordance with generally accepted accounting principles. The statements shall include, but not be limited to:
(a) A balance sheet,
(b) A statement of the revenues and expenditures during the fiscal year,
(c) A statement of changes in the fund balance, and
(d) Supplemental schedules as necessary to list or identify
   (1) The net amounts allocated and net amounts disbursed during the fiscal year for each of the allocation purposes specified in Sections 6730 and 6731,
   (2) Any portion of the fund balance that is allocated or reserved,
   (3) Any interest or other income earned by investment of the fund during the fiscal year,
   (4) Any amounts included in the fund balance that are apportioned to an operator pursuant to Section 6721, and
   (5) Any amounts that have been transferred or that have been received as a result of a transfer as authorized by Section 99313.1.

All fiscal and accounting records and other supporting papers related to the state transit assistance fund shall be maintained for a minimum of four fiscal years following the close of the fiscal year and shall be available for inspection and audit by the State Controller.