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**TRANSPORTATION COMMISSION  
AGENDA**

**WEDNESDAY, FEBRUARY 28, 2018  
6:00 PM**

**County of Imperial Administration Center  
Board of Supervisors Chambers  
940 W. Main Street, Second Floor  
El Centro, CA 92243**

**CHAIR: LUIS PLANCARTE**

**VICE CHAIR: ROBERT AMPARANO**

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Individuals wishing accessibility accommodations at this meeting, under the Americans with Disabilities Act (ADA), may request such accommodations to aid hearing, visual, or mobility impairment by contacting ICTC offices at (760) 592-4494. Please note that 48 hours advance notice will be necessary to honor your request.

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**I. CALL TO ORDER AND ROLL CALL**

**II. EMERGENCY ITEMS**

- A. Discussion/Action of emergency items, if necessary.

**III. PUBLIC COMMENTS**

Any member of the public may address the Commission for a period not to exceed three minutes on any item of interest not on the agenda within the jurisdiction of the Commission. The Commission will listen to all communication, but in compliance with the Brown Act, will not take any action on items that are not on the agenda.

**IV. CONSENT CALENDAR**

(Executive Director recommends approval of consent calendar items)

- A. Approval of the ICTC Commission Draft Minutes: January 24, 2018 Pages 4-17
- B. Receive and File:
1. ICTC Management Committee Draft Minutes: February 14, 2018
  2. ICTC TAC Minutes: January 25, 2018
- C. Appointment of Public Works Representative to Imperial Valley Emergency Communications Authority (IVECA) Page 19

The Technical Advisory Committee and the Management Committee forwards this item to the Commission for their review and approval after public comment, if any:

1. Appointment of Mr. Abraham Campos as the new public works representative to IVECA.

**CITIES OF BRAWLEY, CALEXICO, CALIPATRIA, EL CENTRO, HOLTVILLE, IMPERIAL, WESTMORLAND,  
IMPERIAL IRRIGATION DISTRICT AND COUNTY OF IMPERIAL**

**V. REPORTS** (Up to 5 minutes per staff report)

- A. ICTC Executive Director
  - See attached Executive Director Report on page 21
- B. Southern California Association of Governments
  - See attached report on page 29
- C. California Department of Transportation – District 11
  - See attached report on page 33
- D. Commission Member Reports (if any)

**VI. ACTION CALENDAR**

- A. Imperial County Transportation Commission (ICTC) resolution for Federal Fiscal Year (FFY) 2018/2019 – 2023/2024 Federal Transportation Improvement Program Page 48

The ICTC Management Committee met on February 14, 2018 and forwards this item to the Commission for their review and approval after public comment, if any:

- 1. Authorize the Chairman to sign the resolution that certifies funding has been identified for the projects in the FFY 2018/2019 – 2023/2024 FTIP and affirms our commitment to implement all projects in the program.

- B. Professional Maintenance Audit Reporting Services of the ICTC Transit Operations – IVT Maintenance Audit Findings Report Page 67

The ICTC Management Committee met on February 14, 2018 and forwards this item to the Commission for their review and approval after public comment, if any:

- 1. Accept/Approve the 2017 IVT Maintenance Audit Report dated December 2017

- C. Memorandum of Understanding (MOU) between the Imperial County Transportation Commission (ICTC) and Imperial Valley Economic Development Corporation (IVEDC) – California Advanced Services Fund (CASF) Southern Border Broadband Consortium (SBBC) Page 110

The ICTC Management Committee met on February 14, 2018 and forwards this item to the Commission for their review and approval after public comment, if any:

- 1. Authorize the Chairman to sign the Memorandum of Understanding between Imperial County Transportation Commission and Imperial Valley Economic Development Corporation (IVEDC) for the California Advanced Services Fund (CASF) grant awarded to the Southern Border Broadband Consortium (SBBC)

- D. FY 2017-2018 Overall Work Program, Regional Collaboration (RC) Budget Amendment #1 Page 182

The ICTC Management Committee met on February 14, 2018 and forwards this item to the Commission for their review and approval after public comment, if any:

- 1. Approve the Overall Work Program Regional Collaboration (RC) Budget (7577001) FY 2017-18 Amendment #1 for \$150,000.

**VII. MEETING DATE AND PLACE**

- A. The next meeting of the **Imperial County Transportation Commission** will be held on **Wednesday, March 28, 2018 at 6:00 p.m.**, at the **County of Imperial Board Chambers**, at 940 W. Main Street, El Centro, CA.

**VIII. ADJOURNMENT**

- A. Motion to adjourn

## **IV. CONSENT CALENDAR**

### **A. APPROVAL OF COMMISSION DRAFT MINUTES:**

**JANUARY 24, 2018**

### **B. RECEIVE AND FILE:**

#### **1. ICTC MANAGEMENT COMMITTEE DRAFT MINUTES:**

**FEBRUARY 14, 2018**

#### **2. ICTC TAC MINUTES:**

**JANUARY 25, 2018**

**IMPERIAL COUNTY TRANSPORTATION COMMISSION****DRAFT MINUTES FOR JANUARY 24, 2018****6:00 p.m.****VOTING MEMBERS PRESENT:**

City of Brawley	George Nava
City of El Centro	Cheryl Viegas-Walker
City of Holtville	James Predmore
City of Imperial	Robert Amparano
City of Westmorland	Lawrence Ritchie
County of Imperial	Luis Plancarte
County of Imperial	Ryan Kelley

**NON-VOTING MEMBERS PRESENT:**

Caltrans District 11	Ann Fox
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**STAFF PRESENT:** Mark Baza, Kathi Williams, Virginia Mendoza, Vicky Hernandez, Cristi Lerma

**OTHERS PRESENT:** David Salgado: SCAG; Eric Havens: ICTC Counsel; Jesus Vargas: Caltrans, Marcelo Pinedo: Caltrans; Tim Kelley: IVEDC, Glenna Barrett: IVEDC

The following action minutes are listed as they were acted upon by the Imperial County Transportation Commission and as listed on the agenda for the meeting held Wednesday January 24, 2018 together with staff reports and related documents attached thereto and incorporated therein by reference.

**I. CALL TO ORDER AND ROLL CALL**

[Chair Plancarte](#) called the Commission meeting to order at 6:28 p.m. Roll call was taken and a quorum was present.

**II. EMERGENCY ITEMS**

There were none.

**III. PUBLIC COMMENTS**

There were none.

**IV. CONSENT CALENDAR**

- A. Approval and ratification of all actions on the Commission Draft Minutes: December 13, 2017.
- B. ICTC Management Committee Draft Minutes: January 10, 2018

A motion was made by [Viegas-Walker](#) and seconded by [Nava](#) to approve consent items A and B, **Motion carried unanimously.**

**V. REPORTS**

- A. ICTC Executive Director  
Mr. Baza and staff had the following announcements:
  - Mr. Baza introduced Eric Havens, ICTC Counsel. Mr. Havens stated that as a follow up to the point of order quorum discussion from the previous meeting, 6 voting members are needed under Robert's Rules of Order.

- The last IMBA meeting was held on October 5, 2017 at the Carmen Durazo Cultural Arts Center in the City of Calexico. The next meeting is scheduled February 8, 2018 in Imperial County.
- The Calexico West Port of Entry Traffic Management Study will assist the City of Calexico and the Imperial Valley Region to analyze and purpose traffic management strategies and alternatives to serve traffic flow for the Calexico West Port of Entry expansion. The study is expected to proceed with a Request for Proposals in late January 2018.
- Beginning October 1, 2017, agencies are allowed to move forward with request for authorization (RFA) for Congestion Mitigation Air Quality (CMAQ), Regional Surface Transportation Program (RSTP) and Active Transportation Program (ATP) programmed in FY 2017/2018. A complete list of programmed projects was provided in the Executive Director report on page 21.
- ICTC in partnership with IVEDC received a California Advanced Services Regional Consortia Grant award of \$450,000 from their Rural and Regional Consortia program. The grant will cover a 3-year period. ICTC will be the fiscal agent and is working on developing an MOU which will define roles and responsibilities (Audits, Administration and Project Management) for ICTC and IVEDC. Since award, IVEDC staff has been meeting monthly with Consortia members and other webinars toward development of strategies for providing Broadband services for underserved communities. A SBBC stakeholder outreach event is scheduled for Thursday, February 9, 2018 at the Farm Credit Services, starting at 8:30AM.
- Staff met with Caltrans and CBP on December 20, 2017 at the ICTC office to finalize agreements and discuss next steps regarding the improvements to the State Route 86 (northbound) Border Patrol Checkpoint.
- A complete list of ICTC updates can be found on Page 20 of the agenda.

B. Southern California Association of Governments (SCAG)

Mr. David Salgado-had the following announcements:

- SCAG staff had one on one meetings with local agencies regarding the RTP-SCS Local Input Process from December 11<sup>th</sup> to December 13<sup>th</sup>. at the City of El Centro RDA Conference Room in order to review the “Bottom-Up Local Input Process for the 2020 RTP-SCS and RHNA. Data will be accepted up to October of 2018. As a part of the Local Input Process SCAG is making interns available to help input data or complete any tasks related to the Local Data Input Process and 2020 RTP-SCS development.
- SCAG is entering the 3<sup>rd</sup> year of the GO-Human Marketing and Advertising Safety and Encouragement Campaign implemented throughout the 6 county SCAG region. There has been great participation and engagement in Imperial County.. The new round of advertising will integrate Vison Zero and new messaging developed from gathered feedback. The campaign will run through the month of May to coincide with “National Bike Month” and during July and August to promote safe walking and biking during “back to school.” If any agencies would like to participate and partner with SCAG to promote GO Human, please reach out to SCAG Regional Affairs Officer (RAO) David Salgado or Assistant Regional Planner Julia Lippe-Klein (213) 236-1856.
- A “save the date” was announced for the SCAG 2018 Regional Conference and General Assembly. The conference will be held at the Renaissance Esmeralda Indian Wells Resort and Spa in Indian Wells on May 2<sup>nd</sup> , 3<sup>rd</sup> and 4<sup>th</sup>, 2018. City clerks should have received notice to begin the formal process for selecting the 2018 GA delegate and alternate. For questions please contact Regional Affairs Officer (RAO) David Salgado.

- SCAG's Regional Council and Policy Committee meetings will take place Thursday, February 1st, 2018 at SCAG's main offices in Los Angeles. SCAG will be dark the month of January 2018.
- A SCAG report can be found on page 26.

C. California Department of Transportation (Caltrans)

Ms. Fox had the following updates:

- The quarterly Mile Marker report was distributed to all.  
The I-8 Continuously Reinforced Concrete Pavement Project is divided into five segments.  
Segments 1-3 have been completed and segments 4-5 are underway and scheduled for completion in 2019.  
Segment 4 is divided into two sections located near El Centro from west of I-8/SR-111 separation to just west of Anderholt Road overcrossing and from east of the East Highline Canal Bridge to west of the I-8/SR-98 separation. This segment began construction on July 10, 2017.  
Segment 5 is located near Winterhaven from west of Ogilby Road overcrossing to west of the I-8/SR-186 separation. This seven-mile segment began construction the week of June 12, 2017. This project is expected to be completed one year ahead of schedule.
- The I-8 Dogwood Road Landscape Project has been completed with plant establishment continuing.
- Caltrans scheduled a 24-hour closure on westbound I-8 from East 16th Street in Yuma, Arizona to Winterhaven Drive in California on Sunday, January 21, 2018 at 3:00 a.m., to complete repairs on the Colorado River Viaduct Bridge spanning Gateway Park in the City of Yuma. The Howard C Giss Parkway on-ramp to westbound I-8 was also closed. Caltrans coordinated project work and closures with the City of Yuma and Arizona Department of Transportation. A News Release was issued January 18, 2018 to Imperial County and Arizona media and stakeholders and was provided at the end of the report.
- The funding for the SR-86/Customs & Border Protection Checkpoint expansion was approved by the LTA Board late 2017. Caltrans is working on developing a schedule with the assistance of ICTC and CBP.
- Caltrans launched two new planning grant programs with funding from Senate Bill 1, the Road Repair & Accountability Act of 2017. The new planning grant funds include:
  - o \$25 million annually for Sustainable Communities Grants to encourage local and regional planning that further state goals, including, but not limited to, the goals and best practices cited in the regional transportation plan guidelines adopted by the California Transportation Commission.
  - o \$20 million over three years for Adaptation Planning Grants to local and regional agencies for climate change adaptation planning.
- Caltrans District 11 will host two Transportation Grant Workshops for the Fiscal Year 2018-2019 Grant Program. A total of \$40.8 million is available. A workshop will be held in Imperial County on Thursday, January 25, 2018 at 1 p.m. at the ICTC Offices.
- Caltrans Planning recently met with the County of Imperial Public Works Department and held a kick-off meeting for a \$200,000 Planning Grant. The plan will cover the unincorporated areas of Imperial County, specifically the Communities and Townsites; and areas near schools. The plan will be based on needs assessment through data gathering and analysis, public feedback, and consultation with local agencies. The study will address issues such as safety and security, liability, environmental concerns, convenience, accessibility, usage, connections and linkages for bicycle users, as well as associated pedestrians and safe routes to school planning

efforts. Requests for Proposals (RFPs) have been received, reviewed and interviews held with consultant selection finalized. Final contract negotiations are underway and it is anticipated that project kickoff will be in early 2018, with the Plan being complete by early 2019.

- D. Commission Member Report
- Mr. Amparano stated that next month on February 24, 2018 is Tri-Tip Cook-Off and Market Days in Imperial.
  - Mr. Nava stated that the State of City Address is on February 16, 2018 at the Stockman's Club in Brawley.
  - Mrs. Viegas-Walker announced the new City Manager Marcela Piedra and new Interim Public Works Director Abraham Campos. The State of the City Address will be on February 15, 2018 in the evening at the MLK Pavilion in El Centro. It is anticipated that El Centro will come back to the LTA Board and request for funds for Security Services at the 7<sup>th</sup> and State Streets Transfer Terminal. The Department of Transportation (DOT) received 4 proposals for Essential Air Service (EAS) in Imperial County. EAS ends on May 1, 2018. The last day to submit support letters to the DOT is February 14, 2018. El Centro will be taking action to submit a support letter on February 6, 2018.
  - Mr. Predmore announced that the Rib Cook-Off is Saturday, January 27, 2018. and the Carrot Festival is February 11, 2018.
  - Mr. Ritchie stated that a West-end Travel Center, a10 mile project, is underway. Currently, Caltrans is finalizing the encroachment permit. . Currently the City of Westmorland is in the design phase of a new swimming pool is and should be completed by June 1, 2018.

## VI. INFORMATION CALENDAR

- A. 2016 Regional Transportation Plan/Sustainable Communities Strategy – Amendment 1

Mr. Baza presented this item to the Commission.

The Southern California Association of Governments (SCAG) approved the 2016 Regional Transportation Plan/Sustainable Communities Strategy (RTP/SCS) that has been accepted by the Air Resource Board. SCAG developed the RTP/SCS in collaboration with ICTC, other County Transportation Commissions, and local governments from the six county Southern California region through a bottoms-up, collaborative process. The RTP/SCS addresses many challenges including projected growth, changing demographics, climate change adaption, housing needs, and transportation demands.

SCAG opened Amendment 3 of the 2016 RTP/SCS for any changes to existing projects or for the addition of new projects. Projects listed in the RTP/SCS must be of regional significance and increase the road capacity. ICTC will be preparing to submit one project as part of Amendment 3.

Project Description was as follows: ICTC Expansion of the Calexico East Port of Entry – Phase 1: widen bridge over the All American Canal. Phase 2: increase the number of Commercial Vehicle lanes from existing 3 to 6 lanes; add 6 new northbound Privately Owned Vehicle (POV) lanes; pedestrian pathway improvements including shaded sidewalks and transit lot (pick-up and drop-off area).

This item was provided as an informational item only.

- B. Senate Bill 1 Trade Corridor Enhancement Program – Grant Application

Mr. Baza presented this item to the Commission.

Senate Bill 1 (SB 1) provides an ongoing source of state funding dedicated to freight-related projects by establishing the new Trade Corridor Enhancement Program (TCEP). The objective of the TCEP is to fund infrastructure improvements on federally designated Trade Corridors of National and Regional Significance, on the Primary Freight Network, as identified in the California Freight Mobility Plan, and along other corridors that have a high volume of freight movement as determined by the California Transportation Commission.

Caltrans District 11 in partnership with the Imperial County Transportation Commission (ICTC) will be submitting the following two applications under the Trade Corridor Enhancement Program:

- Expansion of the Calexico East Port of Entry – widen bridge over the All American Canal (Environmental & Design, \$3 Million)
- State Route 98 Widening Phase 1C between Ollie Avenue and Rockwood Avenue (Construction, \$7 Million)

The projects submitted under this call of TCEP are part of Imperial County’s freight network priority needs. If awarded, the projects would alleviate congestion, decrease cross border wait times, and enhance international trade and commerce for the Imperial Valley Region.

This item was provided as an informational item only.

#### C. Overview of the Brawley Transit Corridor Brownfield Assessment

Mr. Baza provided the following presentation.

Project background:

- A \$300,000 grant was approved by U.S. Environmental Protection Agency (EPA) for the Brawley Transit Corridor Brownfield Assessment project
- The project will be focused along the 13 mile transit circulator route known as the IVT “Gold Line” and the Brawley Transit Center
- The target assessment area includes over 100 known commercial properties with some known or suspected historical gas stations or underground tanks

Goals and Objectives:

In Phase I, the project will conduct the following:

- Conduct bilingual community outreach
- Prepare a prioritized brownfield inventory
- Perform Phase I and II Environmental Site Assessments (ESAs); and,
- Develop cleanup plans that are consistent with State regulatory programs

Deliverables:

- A Community Involvement Plan that clearly documents all of the meetings and activities undertaken to complete the ESAs
- A generic Quality Assurance Project Plan (QAPP) will be developed and reviewed and approved by EPA prior to undertaking Phase I and II Assessment activities
- A Draft and Final QAPP or Sampling Analysis Plan (SAP) will be completed documenting the rationale for the Phase I sites selected and the data analysis and project plans prepared for each of the Phase I sites and the selection of the Phase II Assessment sites

- With consent from EPA, the Phase II ESA Project Reports will be initiated and completed with property profile forms for each property with required Quarterly Progress Reports; Field Reports; and other technical reports required by EPA
- Clean-up and remedial re-use plans will also be completed for all Phase II sites and project reports – The project reports and plans create an opportunity to pursue grant funds for eligible sites to carry out clean-up and remediation

Process to Date:

- A Draft Memorandum of Agreement (MOA) between ICTC and IVEDC has been prepared with consensus to proceed for Board approvals
- ICTC and IVEDC have been working to develop a Scope of Work and Request For Proposals (RFP)
- The RFP is scheduled for release on January 12, 2018 with Notice to Proceed projected for late March/early April 2018
- Project is tentatively scheduled for completion in December 2018

D. Overview of the Southern Border Broadband Consortium (SBBC)

Mr. Kelly and Ms. Barrett provided a presentation on this item. ICTC is the Fiscal agent of this grant.

- IVEDC was awarded \$450,000 to be spent over three years to further broadband deployment, access and/or adoption in the Southern region of California (Imperial and San Diego counties).
- Goals for the first year:
  - Work with local stakeholders to identify, prioritize and advance digital access projects
  - Identify funding sources and funding gaps
  - Facilitate and promote broadband education
  - Research, compile and analyze data from surveys and maps
  - Conduct community and business surveys
  - Perform and promote ground truth speed testing
  - Work with local agencies to facilitate applications for public housing grants and broadband infrastructure grant
  - Attend Quarterly Consortia meetings
  - Identify two disconnected areas where broadband is not available but needs to exist
  - Identify low adoption areas where broadband is not available but needs to exist
  - Research and surveys to identify the homework gap
- SBBC will be hosting a Roundtable with CASF on February 9th from 9-12 in Imperial County.

## VII. ACTION CALENDAR

A. Rotation of Chair and Vice-Chair Positions

A motion was made to appoint Luis Plancarte from County of Imperial as Chair of ICTC by [Kelley](#) and seconded by [Ritchie](#), **Mr. Plancarte abstained, motion carried.**

A motion was made to appoint Robert Amparano from City of Imperial as Vice-Chair by [Kelley](#) and seconded by [Ritchie](#), **Motion Carried unanimously.**

B. Draft Regional Collaboration (RC) Budget, FY 2017-2018

Ms. Williams stated that ICTC, in partnership IVEDC submitted a grant to the U.S. Environmental Protection Agency (EPA) and was awarded a grant for \$300,000 under the *Brownfields Assessment* program.

A new budget unit entitled “Regional Collaboration” (7557001) has tentatively been created to track the grant revenues and expenditures. This budget unit is separate from other ICTC transit and transportation related projects.

This budget proposes expenditures for contract administration, grant reporting and related staffing expense, as well as, funding for consultant and other office related expenses.

The RC Budget is balanced and provides for development and implementation of this specific project. It is anticipated that future non transit or non-transportation related projects would also use this budget unit with amendments in the future.

A motion was made by [Nava](#) and seconded by [Kelley](#), **Motion Carried unanimously.**

C. SCAG-ICTC Memorandum of Understanding (MOA)

Ms. Williams stated that SCAG seeks to enter into an MOU with ICTC to cooperatively determine their mutual responsibilities in carrying out the metropolitan transportation planning and programming processes, in accordance with 23 CFR 450.314

The MOU reflects the most recent metropolitan transportation planning regulations as set forth under 23 CFR Section 450.314, which requires that SCAG, the State and providers of public transportation to cooperatively determine their mutual responsibilities in carrying out the metropolitan transportation planning process, including specific provisions including but not limited to the development of financial plans that support the Regional Transportation Plan, Federal Transportation Improvement Program (FTIP), and the development of the annual listing of obligated projects.

An MOU between SCAG and the other subregions has been in effect for several years. This is the first opportunity for ICTC to enter into the same type of MOU.

A motion was made by [Viegas-Walker](#) and seconded by [Predmore](#), **Motion Carried with 1 abstention (Kelley).**

D. Memorandum of Agreement (MOA) between the Imperial County Transportation Commission (ICTC) and Imperial Valley Economic Development Corporation (IVEDC) – Brownsfield Assessment Project.

Mr. Baza stated that ICTC was awarded a grant from the EPA to conduct Community Brownfield Assessment focused on the City of Brawley’s downtown area and transit corridor. The grant award identifies IVEDC as a co-lead and project partner. ICTC will serve as the administrative agency handling the procurement of the project and IVEDC will work with the selected consultant to carry out the day to day work in cooperation with ICTC. The memorandum of agreement establishes the roles and responsibilities between ICTC and IVEDC required for administration and completion of the project. The funding summary for the project is as follows:

Grant Funds:	\$ 300,000
Consultant Services:	\$ 257,980
ICTC/IVEDC Staff Support & Travel:	\$ 42,020



**IMPERIAL COUNTY TRANSPORTATION COMMISSION  
MANAGEMENT COMMITTEE**

**DRAFT** MINUTES OF February 14, 2018

**10:00 a.m.**

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**VOTING MEMBERS PRESENT:**

City of Brawley	Rosanna Bayon Moore
City of Calexico	David Dale
City of El Centro	Marcela Piedra
City of Holtville	Nick Wells
City of Imperial	Stefan Chatwin
County of Imperial	Joe Picazo for Tony Rouhutas
County of Imperial	John Gay

**STAFF PRESENT:** Mark Baza, Virginia Mendoza, Michelle Bastidas, Cristi Lerma

**OTHERS PRESENT:** Jim Minnick: County of Imperial; David Salgado: SCAG; Beth Landrum: Caltrans; Liz Zarate: City of El Centro

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The following minutes are listed as they were acted upon by the Imperial County Transportation Commission Management Committee and as listed on the agenda for the meeting held Wednesday, February 10, 2018 together with staff reports and related documents attached thereto and incorporated therein by reference.

**I. CALL TO ORDER AND ROLL CALL**

Chair Dale called the Committee meeting to order at 10:41 a.m. Roll call was taken. Introductions were made.

**II. EMERGENCY ITEMS**

A. There were none.

**III. PUBLIC COMMENTS**

There were none.

**IV. CONSENT ITEMS**

A motion was made by Wells seconded by Picazo to approve the consent calendar as presented. **Motion carried.** Items 4A through 4C were approved.

**V. REPORTS**

- A. ICTC Executive Director
  - A list of ICTC updates can be found on Page 32 of the agenda.
- B. Southern California Association of Governments (SCAG)
  - A list of SCAG updates can be found on Page 40 of the agenda.
- C. Caltrans Department of Transportation – District 11
  - A full report is on page 44 of the agenda.
- D. Committee Member Reports
  - There were none.

**VI. ACTION CALENDAR**

- A. Imperial County Transportation Commission (ICTC) resolution for Federal Fiscal Year (FFY) 2018/2019 – 2023/2024 Federal Transportation Improvement Program

Ms. Mendoza presented this item to the Committee.

ICTC Staff presented this item to the Technical Advisory Committee on January 25, 2018 and forwarded to the Management Committee and Commission for approval after public comments, if any:

1. Authorize the Chairman to sign the resolution that certifies funding has been identified for the projects in the FFY 2018/2019 – 2023/2024 FTIP and affirms our commitment to implement all projects in the program.

A motion was made by [Picazo](#) and seconded by [Wells](#), **Motion Carried unanimously.**

- B. Professional Maintenance Audit Reporting Services of the ICTC Transit Operations – IVT Maintenance Audit Findings Report

Mr. Baza presented this item to the Committee.

It was requested that the ICTC Management Committee forward this item to the Commission for their review and approval after public comment, if any:

1. Accept/Approve the 2017 IVT Maintenance Audit Report dated December 2017

A motion was made by [Bayon Moore](#) and seconded by [Piedra](#), **Motion Carried unanimously.**

- C. FY 2017-2018 Overall Work Program, Regional Collaboration (RC) Budget Amendment

Mr. Baza presented this item to the Committee.

It was requested that the ICTC Management Committee forward this item to the Commission for their review and approval after public comment, if any:

1. Approve the FY 2017-18 Overall Work Program Regional Collaboration (RC) Budget Amendment for \$450,000

A motion was made by [Chatwin](#) seconded by [Picazo](#), **Motion carried** unanimously.

- D. Memorandum of Understanding (MOU) between the Imperial County Transportation Commission (ICTC) and Imperial Valley Economic Development Corporation (IVEDC) – California Advanced Services Fund (CASF) Southern Border Broadband Consortium (SBBC)

Mr. Baza presented this item to the Committee.

It was requested that the ICTC Management Committee forward this item to the Commission for their review and approval after public comment, if any:

1. Authorize the Chairman to sign the Memorandum of Understanding between Imperial County Transportation Commission and Imperial Valley Economic Development Corporation (IVEDC) for the California Advanced Services Fund (CASF) Southern Border Broadband Consortium (SBBC)

A motion was made by [Piedra](#) seconded by [Picazo](#), **Motion carried** unanimously, *with the clarification that all amendments to the MOU will be brought to the Management Committee and the Commission for review and approval.*

#### **VII. NEXT MEETING DATE AND PLACE**

The next meeting of the **Management Committee** will be held on **March 14, 2018** at the **City of Brawley, Brawley, CA.**

#### **VIII. ADJOURNMENT**

- A. Meeting adjourned at 11:33 a.m.



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**TECHNICAL ADVISORY COMMITTEE**  
**DRAFT MINUTES**

January 25, 2018

Present:

Gordon Gaste	City of Brawley
Steven Sullivan	City of Brawley
Lily Falomir	City of Calexico
Abraham Campos	City of El Centro
Adriana Nava	City of El Centro
Lisa Tylenda	City of Imperial
Isabel Alvarez	City of Imperial
Joel Hamby	City of Westmorland
Erika Garcia	The Holt Group representing City of Holtville / City of Calipatria

Others:

Virginia Mendoza	ICTC
David Aguirre	ICTC
Cristi Lerma	ICTC
David Salgado	SCAG
Beth Landrum	Caltrans

1. The meeting was called to order at 10:12 a.m. A quorum was present and introductions were made. There were no public comments made.
2. Rotation of Chair and Vice-Chair Positions  
  
A motion was made by [Tylenda](#) and seconded by [Gaste](#) to nominate the City of Calexico as the Chair for 2018, **Motion Carried.**  
  
A motion was made by [Hamby](#) and seconded by [Tylenda](#) to nominate the City of Calipatria as the Vice-Chair for 2018, **Motion Carried.**
3. A *motion* was made to adopt the minutes for October 26, 2017. ([Campos/Hamby](#)) **Motion Carried.**
4. Appointment of Public Works Representative to Imperial Valley Emergency Communications Authority (IVECA)

A motion was made by [Nava](#) and seconded by [Hamby](#) to nominate Abraham Campos to IVECA , **Motion Carried.**

5. Imperial County Transportation Commission (ICTC) Resolution for Federal Fiscal Year (FFY) 2018/2019 – 2023/2024 Federal Transportation Improvement Program (FTIP)

Ms. Mendoza stated that ICTC submitted its portion of the Federal Transportation Improvement Program (FTIP) for inclusion into the SCAG 2019 FTIP on January 9, 2018. The attached resolution establishes our commitment to implement all listed projects in the FTIP. A project list was also attached to the agenda for review. Ms. Mendoza requested agencies to review the list and notify her of any changes to projects if needed.

ICTC Staff presented this item to the Technical Advisory Committee for discussion and recommendation and requested this item be forwarded to the ICTC Management Committee and Commission after public comments, if any:

1. Authorize the Chairman to sign the resolution that certifies funding has been identified for the projects in the FFY 2018/2019 – 2023/2024 FTIP and affirms our commitment to implement all projects in the program.

A motion was made by [Hamby](#) and seconded by [Tylenda](#), **Motion Carried.**

6. ICTC Updates / Announcements

- Transit Planning Updates (By David Aguirre):
  - The Project Consultant team Kimley Horn and Associates has finished their review of the Bus Stop Inventory, Signage Replacement and Technology Assessment Project. The consultant team and agency stakeholders are set to meet on January 31, 2018 to review and discuss the current status of the project. The items that will be reviewed include a Bus Stop Inventory, Asset Condition Report, ADA Assessment Report, Bus Stop Usage Priority List and Bus Stop Signage installation parameters and requirements. A goal of the project will be to purchase signage for all countwide bus stops and have agency staff install them. The report will prioritize deficiencies by ridership usage and ranked by both city and county.
- Transportation Planning Updates (By Virginia Mendoza):
  - Regional Mobility Hub Implementation Strategy project has developed a Regional Mobility Hubs Implementation Plan for San Diego County and Imperial Valley. The focus of the plan was to develop recommended improvements, conceptual designs, and implementation strategies for different mobility hub station place types for both regions. Mobility hubs can help maximize the capital investment in transit services and support the emphasis on smart growth and transit-oriented development. The Consultant has completed Mobility Hub Concept Designs for the intermodal facilities in the City of Brawley, Imperial Valley College and the City of El Centro. SANDAG project team is refining document design and using non-grant funding to carry out professional copyediting services on all public-facing documents. The final deliverables will be posted online in February 2018.
  - SCAG is assisting with the contract administration of the Regional Climate Action Plan and it currently in the final stages of scope of work development. The intent is to have a climate action plan for each agency. Ms. Mendoza requested feedback from TAC to ensure the plan was inclusive of all agencies

and to create a baseline to make agencies up to par for future funding opportunities.

- The Calexico ITC Design RFP will be released in March 2018.
- District 11 will be looking at the following projects to incorporate under the Caltrans SB1 Transportation Corridor Program. These projects are eligible under this program because they are federally significant corridors and they are on a statewide system.
  - o State Route 98 Phase 1 C widening for \$7 million
  - o Calexico East Bridge Expansion (design) for \$3 million
- LTA Updates (By Virginia Mendoza):
  - Ms. Mendoza stated that the City of Brawley and the City of Calexico are the two agencies pending to expend all their LTA Bond monies. Both agencies have provided staff with information on the projects and an expected date of completion. Both projects should be wrapped up by mid-2018. MS. Mendoza thanked both agencies for their efforts.
  - A presentation by Bond Counsel was presented to the LTA Board for a potential bonding opportunity. There are no commitments at this time.

7. SCAG Updates / Announcements: (By Mr. Salgado)

- Go Human Marketing material will be available to all agencies.

8. Cities and County Planning / Public Works Updates:

- There were various local agencies that gave an update on their local projects in process.

9. Caltrans Updates / Announcements

Ms. Landrum had the following updates and announcements:

- An SB1 grant administrator workshop is scheduled for today (January 25, 2018) at 1 p.m. at the ICTC Offices. All were encouraged to attend. The workshop can assist in attaining project ideas and is an opportunity to review grant guidelines. Agencies can also send Caltrans applications ahead of time for review and comment. There are \$40.8 million available for this round and the deadline to submit an application is February 21, 2018.
- SCAG is working to release a request for proposals soon for the Calexico West Port of Entry Traffic Management Study and have a consultant on board by April 2018.
- The I-8 CRCP project segments 1-3 have been completed and 4-5 are underway.
- One on One meetings are scheduled with Caltrans Local Assistance and local agencies.
- Caltrans Environmental will attend the TAC in February for Hazardous Waste / Air Quality Training.
- Caltrans anticipates the CTC to announce the 2019 ATP Cycle 4 Call for Projects in or around March 2018.
- A Caltrans report was also attached to the agenda.

10. General Discussion / New Business

- There were none.

11. Meeting adjourned at 11:17 a.m.

## **IV. CONSENT CALENDAR**

- C. Appointment of Public Works Representative to  
Imperial Valley Emergency Communications Authority  
(IVECA)



IMPERIAL COUNTY  
TRANSPORTATION COMMISSION

1503 N. IMPERIAL AVE., SUITE 104  
EL CENTRO, CA 92243-2875  
PHONE: (760) 592-4494  
FAX: (760) 592-4410

February 22, 2018

Luis Plancarte, Chairman  
Imperial County Transportation Commission  
1405 N. Imperial Ave., Suite 1  
El Centro, CA 92243

SUBJECT: Appointment of Public Works Representative to Imperial Valley Emergency  
Communications Authority (IVECA)

Dear Commission Members:

On January 26, 2014, representatives of the Imperial Valley Emergency Communications Authority (IVECA) Board requested a public works representative from the Imperial County Transportation Commission (ICTC) Technical Advisory Committee (TAC) to serve on the IVECA Board. After discussion of the responsibilities and time commitment of the representative, Terry Hagen of the City of El Centro volunteered and TAC voted to support and recommend appointment by the Commission.

Mr. Hagen has recently retired and a new appointment is necessary. ICTC staff request consideration of TAC members to volunteer and serve on the IVECA Board.

The Technical Advisory Committee and the Management Committee forwards this item to the Commission for their review and approval after public comment, if any:

1. Appointment of Mr. Abraham Campos as the new public works representative to IVECA.

Sincerely,

A handwritten signature in blue ink that reads "Mark Baza".

MARK BAZA  
Executive Director

MB/vm

**CITIES OF BRAWLEY, CALEXICO, CALIPATRIA, EL CENTRO, HOLTVILLE, IMPERIAL, WESTMORLAND,  
IMPERIAL IRRIGATION DISTRICT AND COUNTY OF IMPERIAL**

# **V. REPORTS**

- A. ICTC EXECUTIVE DIRECTOR REPORT
- B. SOUTHERN CALIFORNIA ASSOCIATION OF GOVERNMENTS REPORT
- C. CALTRANS REPORTS



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## Memorandum

**Date:** February 23, 2018  
**To:** ICTC Commission Meeting  
**From:** Mark Baza, Executive Director  
**Re:** Executive Director's Report

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The following is a summary of the Executive Director's Report for the Management Committee Meeting on February 28, 2018.

- 1) **SAVE THE DATE - Imperial Valley General Assembly and Economic Summit:** Please "Save the Date" of May 30-31, 2018 for the Imperial Valley General Assembly and Economic Summit. Congressman Juan Vargas is confirmed to be the keynote speaker at ICTC's General Assembly on the evening of May 31<sup>st</sup>.
- 2) **Office Technician (Limited Term) Job Announcement for the Regional Mobility Management Program at ICTC:** Recruitment is underway for one Office Technician position (bilingual) for the Regional Mobility Management Program at ICTC. Applications are due on March 9, 2018. More information on the position and full copies of the job description and job announcement are on the website at <http://www.imperialctc.org/employment-opportunities/>.
- 3) **2018-19 Unmet Transit Needs Public Hearing:** The hearing was held on February 22, 2018 at 3:00PM at the El Centro City Council Chambers, 1275 Main Street El Centro Ca. 92243. The Chairman of the hearing was ICTC Chairman Luis Plancarte (County of Imperial). Panel members also included Mayor George Nava (Brawley), Council Member Maria Nava-Froelich (Calipatria) and Council Member Alex Cardenas (El Centro). Members of the public presented comments to the panel and staff.

The second meeting is scheduled for March 22, 2018 at 3 p.m. at the El Centro City Council Chambers, 1275 Main Street El Centro Ca. 92243. At this meeting staff will present a response to the requests presented at the hearing and make recommendations to determine what is reasonable to meet and what is not reasonable to meet at this time.

- 4) **2018 ICTC Bus Stop Bench and Shelter Inventory:** The Project Consultant team Kimley Horn and Associates, and Agency Stakeholders from ICTC, Brawley, Calexico, El Centro and Imperial met on January 31, 2018 to review and discuss the current status of the ICTC Bus Stop Inventory, Signage Replacement and Technology Assessment Project. The items reviewed included the consultant prepared Bus Stop Inventory, Asset Condition Report, ADA Assessment Report, Bus Stop Usage Priority List and Bus Stop Signage installation parameters and requirements. The group agreed to continue discussions regarding the Bus Stop Usage Priority List and Bus Stop Signage installation and requirements at a follow up meeting within the month.
- 5) **Preparation of FTIP 2019:** The 2019 Federal Transportation Improvement Program (FTIP) Guidelines have been prepared to facilitate the work of the County Transportation Commissions (CTCs) (Imperial, Los Angeles, Orange, Riverside, San Bernardino and Ventura Counties), transit operators, and the State of California

Department of Transportation Caltrans) in development of county Transportation Improvement Programs (TIPs) for inclusion in the Southern California Association of Governments (SCAG) 2019 FTIP. These Guidelines assist in the development of the county TIPs that fulfill the legal, administrative and technical requirements prescribed by the law and which minimizes duplicate efforts by the CTCs, Caltrans, SCAG and/or other agencies. ICTC staff will reach out to cities and county staff to obtain project updates on all programmed 2019 FTIP projects. *During the month of November, ICTC staff received project updates from member agencies. ICTC staff will be updating the 2019 FTIP database for all Imperial County projects. A recommendation to approve the resolution will be on the Commission's agenda in February 2018.*

- 6) **Imperial Mexicali Binational Alliance Meeting:** *In February 8, 2018, the IMBA group met at the ICTC Offices for the first meeting of the year. The meeting covered updates for the Calexico West Port of Entry Phase 1 Expansion Project by the State of Baja California and U.S. Customs and Border Protection staff. Other updates included border project updates by ICTC, Caltrans and the City of Calexico. Lastly, the Imperial Valley Economic Development Corporation presented on Statebook International and the CaliBaja updates. The next regular IMBA meeting is scheduled for March 8, 2018 in Mexicali.*
- 7) **Calexico West Port of Entry Traffic Management Study:** Caltrans authorized a special planning grant to perform a traffic management study to assist the City of Calexico and the Imperial Valley region to analyze and propose traffic management strategies and alternatives to serve traffic flow for the Calexico West Port of Entry expansion. The expansion will have two access points: One, from current access at SR-111/Imperial Ave.; and, a Second at Cesar Chavez Blvd and 2<sup>nd</sup> St. SCAG, Caltrans and ICTC will lead study in partnership with the City of Calexico, Customs and Border Protection and General Services Administration. *The Request for Proposals (RFP) was released on February 14, 2018 and consultant selection is anticipated for mid-April 2018, more information on the RFP can be found on the SCAG website at <http://scag.ca.gov/Pages/default.aspx>*
- 8) **2018 Short Range Transit Plan (SRTP):** ICTC staff developed a Request for Proposals (RFP) that was released on September 1, 2017 to complete an update to the 2011 Short Range Transit Plan (SRTP). This is a planning document that identifies transit services and capital improvements over the next three to five year period, with expected available resources. The project unfolds over an approximately 12 month period. The goal is to have an updated report with bilingual public participation. ICTC awarded the contract to the firm AECOM at the December 13, 2017 Commission meeting. The project kick off meeting was held on January 17 at the ICTC offices. The outreach process has begun with stakeholder meetings underway in the month of February. *The consultant team held bus stop workshops on February 13<sup>th</sup> at the locations below. Stakeholder meetings were held with social service agencies at the ICTC offices on February 14, 2018.*
  - *City of Calexico at 3rd and Paulin*
  - *City of Calipatria at State Route 111 and Main*
  - *City of Brawley at South Plaza/5th & G Transfer Center*
  - *Imperial Valley College at IVC Transit Center*
  - *IV Mall at IVT stop at Mall*
  - *El Centro at 7th & State Transfer Center*
- 9) **State Route 98 and Cesar Chavez Blvd.:** As part of the POE Expansion project, traffic will be rerouted from the existing roadways to SR-98 and Cesar Chavez Boulevard which are not designed to handle the high volumes of traffic associated with the border travel. The City of Calexico has completed the right-of-way acquisition and an environmental amendment for widening Cesar Chavez Boulevard. *The City of Calexico is scheduled to receive CTC approval for allocation of Border Infrastructure Program funds in March, 2018; the City is scheduled to begin construction in early summer 2018. Caltrans' SR-98 work between VV Williams and Ollie Avenue is scheduled for completion in March 2018. Caltrans is working on a second segment on SR-98 between Rockwood Avenue and Ollie Avenue is in the design and right-of-way phase.*
- 10) **Funding for Phase II of the Calexico West Port of Entry:** As previously noted, Congress authorized \$98 million for Phase 1. The U.S. General Services Administration (GSA) began construction for Phase 1 in December 2015 with completion now scheduled for June 2018. *\$275 million for Phase 2 has been identified in the President's budget for FY 2018/2019 and is pending Congressional approval.*

- 11) **State and Federal funding Obligations:** Beginning October 1, 2017, agencies are allowed to move forward with request for authorization (RFA) for Congestion Mitigation Air Quality (CMAQ), Regional Surface Transportation Program (RSTP) and Active Transportation Program (ATP) programmed in FY 2017/2018. A complete list of programmed projects will be provided as a separate attachment.

FY2017/2018 Project List						
Agency	Project Name	Funding Type	Phase	Federal Amount in FY2017/18	Local Match	Total Phase Cost
Calexico	De Las Flores Street paving and sidewalk installation	CMAQ	CON	\$403,000	\$52,000	\$455,000
Calipatria	N. Brown Street road and pedestrian improvements	CMAQ & RSTP	ROW	\$51,000	\$6,000	\$57,000
El Centro	Dogwood and Danenberg synchronization	CMAQ	CON	\$275,000	\$36,000	\$311,000
El Centro	Imperial Ave. extension south	RSTP	CON	\$2,023,000	\$2,090,000	\$4,113,000
El Centro	SR2S Program & bicycle improvements	ATP-MPO	CON	\$247,000	\$ -	\$247,000
Holtville	9th Street improvements from Palm Ave. to Olive Ave.	CMAQ & RSTP	CON	\$216,000	\$28,000	\$244,000
Imperial County	Rio Vista Sidewalk improvements from San Diego Ave. to Holt Ave.in Seeley	CMAQ	CON	\$792,000	\$103,000	\$895,000
Imperial County	Rio Vista Sidewalk improvements from Holt Ave. to Imperial Ave. in Seeley	ATP-MPO	ENG	\$193,000	\$26,000	\$219,000
<b>Regional Total FY2017/2018</b>						<b>\$6,541,000</b>

12) **Partnerships with IVEDC:**

- a) Southern Border Broadband Consortium (SBBC): ICTC in partnership with IVEDC received a California Advanced Services Regional Consortia Grant award of \$450,000 from their Rural and Regional Consortia program. The grant will cover a 3-year period. ICTC will be the fiscal agent and is working on developing an MOU which will define roles and responsibilities (Audits, Administration and Project Management) for ICTC and IVEDC. Since award, IVEDC staff has been meeting monthly with Consortia members and other webinars toward development of strategies for providing Broadband services for underserved communities. A SBBC stakeholder outreach event is scheduled for Thursday, February 9, 2018 at the Farm Credit Services, starting at 8:30AM. An RFP for the Attestation Reporting required by the PUC was released on January 26<sup>th</sup>. Proposals were due on February 23<sup>rd</sup>. *A review of the proposals received is scheduled for 2/27/18.*
- b) The Brawley Transit Corridor Brownfield Assessment: ICTC in partnership with IVEDC received a U.S. Environmental Protection Agency (EPA) Brownfields Communitywide Assessment Grant award of \$300,000 from the Environmental Protection Agency’s Brownfields Assessment Program. This assessment will be focused along the transit circulator route within the 13 mile Imperial Valley Transit’s (IVTs) Brawley Gold Line Transit Route and the Brawley Transit Center that serves as the IVTs North Imperial

County transfer terminal. The commercial corridors in the target assessment area include over 100 known commercial properties and suspected historical gas station sites with known or suspected underground tanks in the target area. ICTC will be the fiscal agent and is working on developing an MOU which will define roles and responsibilities (Audits, Administration and Project Management) for ICTC and IVEDC. IVEDC staff recently attended an EPA conference that provided guidance for project implementation. ICTC and IVEDC coordinated to develop a Request for Proposals (RFP) for qualified firms to carry out the study analysis. The RFP was released on January 12, 2018. Proposals are due on February 9<sup>th</sup>. *Ten proposals were received and are being evaluated.*

- 13) **State Route 86 (Northbound) Border Patrol Checkpoint:** In August 2017 following a year of coordination, Caltrans, the County of Imperial and ICTC met with CBP management and operations staff achieved consensus for a new conceptual alternative prepared by Caltrans. The LTA Board met on September 27, 2017, staff presented the Board with a fund request for \$1.3 million from the 5% Regional Highway Set-Aside from the Measure D allocations. The request was approved. Staff met with Caltrans and CBP on December 20, 2017 at the ICTC to finalize agreements and discuss next steps. *A meeting was held on February 13, 2018 with CBP, Caltrans, County of Imperial and ICTC at the ICTC offices. The project team proposes to design and construct two lanes for primary inspection, a newly constructed canopy placed over State Route 86, and two lanes of secondary inspection to use during peak periods. An item to approve the award of a Consultant Agreement with AECOM will be on the LTA agenda on February 28, 2018.*
- 14) **I-8 / Imperial Avenue Interchange Reconstruction:** ICTC staff submitted the 2018 State Transportation Improvement Plan to the CTC on December 15, 2017. *Caltrans is working to complete the right-of-way acquisition, utility relocation and final design. As presented to the CTC, the current schedule to begin construction is in FY 2019/2020. Mr. Baza presented the STIP recommendations to the CTC at the STIP Hearing on January 25, 2018. The 2018 STIP is scheduled to be adopted by CTC at their March 2018 meeting.*
- 15) **Heber Bus Stop & Pedestrian Access Improvements on State Route 86:** The community of Heber has had a need to improve pedestrian and bus stop access along State Route 86. The ICTC Commission granted the use of Regional Set-Aside Local Transportation Account (LTA) funds for the project. Caltrans has served as the project lead; the first phase was recently completed in November 2017. Phase 2 and 3 will begin in early 2018. Community outreach will be necessary prior to initiating construction in Phase 2 and 3 as road closures and detours will be necessary.
- 16) **California HERO Program:** The California Hero Program was launched in April 2014 in Imperial County with ICTC as the administering agency. A copy of the program activity report up to January 2018 is attached for your review.
- 17) **State Legislation for Transportation Funding – SB 1:** On August 24<sup>th</sup> ICTC staff hosted a TAC workgroup to discuss the upcoming expected actions to be undertaken by cities and county. The workshop discussed the Local Streets and Roads Program and the Local Partnership Program. Representatives from the cities and county were recommended to focus on the upcoming deadlines under the Local Streets and Roads Program. An estimate of Local Streets and Roads Program revenues were provided during the workshop. The estimates per agency included FY2017/2018 and FY2018/2019 Local Streets and Roads Program revenues. All cities and the county were responsible to submit a project list and an amended budget for FY2017/2018 to the California Transportation Commission (CTC) by October 16, 2017. ICTC staff has received confirmation that all agencies submitted a project list for FY 2017/2018 to CTC.

\$1.5 Billion annually will go to cities and counties for local road improvements. The following are projected annual revenues for the Cities and the County of Imperial for FY 2017/2018.

Agency	RMRA Amount FY 2017/2018
Brawley	\$150,100
Calexico	\$227,196
Calipatria	\$43,534

El Centro	\$255,215
Holtville	\$34,426
Imperial	\$102,634
Westmorland	\$12,747
County of Imperial	\$2,656,079
<b>TOTAL</b>	<b>\$3,481,931*</b>

\*City estimate source is from California League of Cities - [FY 17-18 HUTA and RMRA Funding Estimates](#)

\*County estimate source is from California State Association of Counties - [http://www.counties.org/sites/main/files/file-attachments/fy\\_2017-18\\_huta\\_and\\_sb\\_1\\_revenue\\_estimates\\_041317\\_0.pdf](http://www.counties.org/sites/main/files/file-attachments/fy_2017-18_huta_and_sb_1_revenue_estimates_041317_0.pdf)

Below are the projected annual revenues beyond FY 2017/2018.

<b>Agency</b>	<b>RMRA Amount FY 2018-2019</b>
Brawley	\$456,354
Calexico	\$690,750
Calipatria	\$132,357
El Centro	\$775,936
Holtville	\$104,666
Imperial	\$312,041
Westmorland	\$38,754
County of Imperial	\$7,490,000
<b>TOTAL</b>	<b>\$10,000,858*</b>

The **2018 Local Partnership Program** is comprised of formulaic program and competitive programs. In FY2017/2018 total amount available statewide is \$200M and distribution is 50/50 for both formulaic and competitive programs. The formulaic program share distributions for the Local Partnership Program were presented at the CTC meeting in December 6-7, 2017. During the meeting the CTC Commission took action and approved the distribution of funds for the formulaic portion, the funding share for Imperial County in FY2017/2018 and in FY2018/2019 is estimated at \$538,000. According to the program guidelines and CTC staff, there is one time opportunity to rollover funds to the following fiscal year in order to maximize opportunity to use funds. Project applications for formulaic program are due December 15, 2017 to CTC. *For FY2017/2018, no projects were submitted for the formulaic program and funds will be rolled over to FY2018/2019.* Applications for the competitive program are due January 30, 2018 to CTC. The following is the link to the 2018 Local Partnership Program guidelines:

[http://www.catc.ca.gov/programs/SB\\_1/11617\\_Final\\_LPP\\_Guidelines.pdf](http://www.catc.ca.gov/programs/SB_1/11617_Final_LPP_Guidelines.pdf)

- 18) **Active Transportation Program (ATP) Augmentation Planning Grant Opportunity:** As a part of Senate Bill (SB) 1, the 2017 Active Transportation Program (ATP) Augmentation is funded from the approximately \$200 million allocated from the Road Maintenance and Rehabilitation Account to the ATP in fiscal years 2017-18 and 2018-19. The Road Maintenance and Rehabilitation Account funds are state funds. Therefore, projects funded in the 2017 ATP Augmentation do not need to be federal-aid eligible. The initial programming capacity for the 2017 ATP Augmentation program is in fiscal years 2017-18 and 2018-19. Some fiscal year 2019-20 and 2020-21 programming capacity may become available as previously programmed projects request advancement into fiscal years 2017-18 and 2018-19.

The County of Imperial was awarded an ATP Augmentation Grant for sidewalk improvements on Rio Vista in the Community of Seeley. The grant is \$369,000 with a local match of 1.2 million for a total project of \$1.5 million.

- 19) **SCAG’s Sustainability Grant Program – Imperial County Regional Climate Action Plan:** ICTC was awarded a SCAG Sustainable Planning Grant to develop a Regional Climate Action Plan. ICTC staff will work in collaboration with SCAG staff to develop and release a request for proposal to select a consultant that will develop the Regional Climate Action Plan. ICTC will serve as the day to day project manager and SCAG staff will serve as the administrative project manager. The goal of the project is to develop a regional framework for addressing Green House Gas (GHG) emissions for a Regional Climate Action Plan that allows each local agency to customize and fit into the context of the community each jurisdiction serves, that can be used at the local level in the development of jurisdiction – specific Climate Action Plans (CAPs). *ICTC staff is currently finalizing the scope of work language in collaboration with SCAG staff and plans to release a request for proposal March 2018.*
- 20) **Calexico East Commercial Vehicle Port of Entry Expansion Project:** ICTC submitted the Calexico East Commercial Vehicle Port of Entry Expansion Project under the California Sustainable Freight Action Plan: Pilot Project Ideas. The project is a proposed public-private partnership for the construction costs of the freight elements of the Calexico East Expansion that include: bridge expansion, commercial vehicle primary inspection booths and road construction totaling \$65 million. ICTC is pursuing discretionary freight program funding for the bridge expansion for an estimated total cost of \$28 million. Pending the possible funds for the bridge expansion, ICTC is pursuing a donation authority request to U.S. Customs and Border Protection. In October 2017, *ICTC staff submitted a TIGER Grant proposal for the bridge expansion. With no assurances of grant award staff is coordinating with Caltrans to submit for grant funding under the State’s Freight funding available under SB-1 and the State’s share of the 2015 federal transportation bill (FAST Act).*
- 21) **Westshores Transit Opportunities:** In Preparation for the Short Range Transit Plan, staff is exploring transit connection opportunities with Sunline Transit that serves the Coachella Valley region, and pursuing grant opportunities for interregional transit services to/from Westshores and Coachella. Together we will be pursuing available grant opportunities to provide service connections. Update - On Friday, May 19, 2017, ICTC and IVT RIDE staff held a 2nd transit service outreach at the Imperial Valley Food Bank’s distribution site in Westshores from 7:30 am – 9:30 am. ICTC staff met with SunLine staff in Palm Springs on June 2, 2017 to continue dialogue for potential opportunities. *This area has been listed for review of services in the Short Range Transit Plan.*
- 22) **Critical Rural Freight Corridors (CRFC) and Critical Urban Freight Corridors (CUFC):** The Southern California Association of Government (SCAG) requested a CRFC and CUFC project nomination list from all Regional Transportation Planning Agency (RTPA). On January 10, 2017, ICTC reviewed the regional project list and submitted the following projects to SCAG:

Project Description	Designation & Cost
<b>Widen bridge over the All American Canal at the Calexico East POE:</b> Widen of bridge over the All American Canal to six lanes at the Calexico East Port of Entry	CRFC (\$30M)
<b>Intelligent Transportation Systems (ITS) Implementation at Calexico East POE:</b> Install border wait-time monitoring systems, radio frequency identification (RFID)/Bluetooth technology, and advanced traveler information systems	CRFC (\$3M)
<b>SR-98 widening from VV Williams Avenue to Rockwood Avenue:</b> Widen SR-98 from 4 to 6 lanes from VV Williams Avenue to Rockwood Avenue	CUFC (\$10M)
<b>Forrester Road Corridor:</b> Forrester Road bridge over the New River reconstruction, roadway realignment and operational improvements	CRFC (\$20M)
<b>Menvielle Road Widening:</b> Widen Menvielle Road from 2 to 4 lanes between Carr Road to SR-98	CRFC (\$4.4M)

- 23) **Regional Mobility Hubs Strategy for Imperial and San Diego:** This project funded by Caltrans will develop a Regional Mobility Hubs Implementation Plan for San Diego County and Imperial Valley. This project is led by SANDAG in collaboration with ICTC. The focus of the plan will be to develop recommended improvements, conceptual designs, and implementation strategies for different mobility hub station place types

for both regions. Mobility hubs can help maximize the capital investment in transit services and support the emphasis on smart growth and transit-oriented development.

The Consultant has completed draft Mobility Hub Concept Designs for the intermodal facilities in the City of Brawley, Imperial Valley College and the City of El Centro. The consultant team has completed the contract work and SANDAG project team will be submitting the final report to ICTC and Caltrans by June 30, 2017. SANDAG project team is refining document design and using non-grant funding to carry out professional copyediting services on all public-facing documents. *The final deliverables will be posted online in February 2018.* Virginia Mendoza, Project Manager

- 24) **Community of Niland Bus Stop Bench and Shelter Request:** The ICTC submitted a formal request to the California Department of Transportation (Caltrans) District 11 requesting their assistance in identifying a location for a bus stop bench and shelter in the Community of Niland along State Route 111 (SR-111). *The shelter will be installed in an existing parking lot on the east side of SR-111. The project has been approved and the contractor expects the manufacturing of the shelter to take two months. Construction will begin after receiving the shelter.*
- 25) **California-Baja California Binational Region:** A Fresh Look at Impacts of Border Delays: Building upon previous Caltrans, SANDAG, and ICTC studies, this project will refine the economic models developed to assess economic impacts of delays at the land ports of entry (POEs) between the San Diego and Imperial Counties region and Baja California, Mexico, on the border region economies. It will also estimate greenhouse gas (GHG) emissions of passenger and commercial vehicles due to northbound and southbound border delays at the six California POEs, and propose strategies to reduce GHG emissions at the border region. Lastly, extensive outreach to government agencies, local border communities, and private sector stakeholders will be conducted. Extensive data collection and modeling work has been conducted on these areas by ICTC, SANDAG and other agencies, this project will build upon that work. The consultant team is completing the development of the survey instrument that will be used in all 6 POEs. *The Consultant team is currently working on the emission analysis deliverables. The upcoming project team meeting is scheduled for February 13, 2018 and will discuss the findings of business interviews conducted by the Consultant.*
- 26) **Meetings attended on behalf of ICTC:**
- January 25, 2018 – CTC STIP Hearing in Irvine
  - January 26, 2018 – SANDAG Border’s Committee in San Diego (attended by staff)
  - January 30, 2018 – Supervisor’s Academy in San Diego, Ca. (attended by staff)
  - January 31, 2018 – CTC Meeting in Sacramento
  - February 1, 2018 – SCAG Regional Council Meeting in Los Angeles
  - February 5-6, 2018 – 2018 Mobility 21 Sacramento Delegation Trip
  - February 12-16, 2018 – FTA Procurement Training in Orlando (attended by staff)
- 27) **Community Outreach Events attended on behalf of ICTC:**
- January 11, 2018 – El Centro, Day Out Adult Health Care Facility – IVT RIDE Sign Ups
  - January 20, 2018 – Heber CA, 1<sup>st</sup> Annual Tamale Festival – Transit Services Outreach
  - January 24-25, 2018 – Calexico CA, Senior Center – IVT Ride Outreach and Sign Ups
  - January 31, 2018 – Imperial Valley Expo, Senior Appreciation Day – Transit Services Outreach and IVT Ride Sign Up
  - February 10, 2018 – Holtville CA, Carrot Festival – Transit Services Outreach
  - February 21-22, 2018 – El Centro CA, Senior Nutrition Sites – IVT Ride Outreach and Sign Ups
- 28) **Upcoming Community Outreach Events:**
- February 24, 2018 – Imperial CA, Tri-Tip Cook-Off – Transit Services Outreach
  - March 14, 2018 – Niland CA, Children and Families Health Fair
  - March 16, 2018 – Imperial CA, Imperial Valley College Transition Fair



California HERO Activity Report  
**Imperial County Transportation Commission**  
 Launch Date through January 31, 2018

**Program Activity through January 31, 2018**

Member	Launch Date	Eligible Housing Units *	Total Applications Received	Applications Approved	Approved Amount	Funded Projects	Funded Amount	Jobs Created and/or Retained***	Type of Projects			Solar kW Installed	Annual kWh Saved	Annual CO2 Reduced (Tons)
									Energy	Water	Renewable			
Brawley	5/23/2014	5,590	279	175	\$4,856,167	96	\$1,313,173	12	109	0	35	976,584	254	253
Calexico	3/24/2015	7,374	616	366	\$11,931,165	217	\$2,799,206	25	197	3	96	2,431,981	627	616
Calipatria	3/24/2015	758	10	5	\$134,632	5	\$61,615	1	6	0	0	49,993	12	12
El Centro	5/23/2014	9,250	486	328	\$9,984,159	175	\$2,364,616	21	176	8	60	1,840,470	475	452
Holtville	3/24/2015	1,248	60	43	\$1,159,744	23	\$286,391	3	21	0	10	218,676	57	54
Imperial	6/10/2015	4,622	202	157	\$5,256,065	87	\$1,396,283	13	72	14	45	883,015	234	234
Westmoreland		596							<b>Has not adopted Resolution of Participation</b>					
Imperial County Unincorporated	11/14/2014	9,506	253	158	\$5,101,515	85	\$1,235,198	11	91	3	26	878,410	225	212
<b>Total</b>		<b>38,944</b>	<b>1,906</b>	<b>1,232</b>	<b>\$ 38,423,447</b>	<b>688</b>	<b>\$ 9,456,483</b>	<b>85</b>	<b>672</b>	<b>28</b>	<b>272</b>	<b>7,279,128</b>	<b>1,885</b>	<b>1,834</b>

\*\* Participation rate based off of funded projects

\*\*\* 1 job for every \$117,000 invested.



SOUTHERN CALIFORNIA ASSOCIATION OF GOVERNMENTS  
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## Memorandum

**Date:** February 23, 2018  
**To:** ICTC Commission Meeting  
**From:** David Salgado, Regional Affairs Officer (RAO)  
**Re:** **Southern California Association of Government's Report**

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The following is a summary of the SCAG Executive Director's Report and/or Federal and State Legislature Staff Report for the Imperial County Transportation Commission Meeting February 28<sup>th</sup>, 2018.

- 1. SCAG Go Human Campaign:** SCAG is entering the 3<sup>rd</sup> year of the GO-Human Marketing and Advertising Safety and Encouragement Campaign implemented throughout the 6 county SCAG region. We've had great participation and engagement in Imperial County and would like to build upon the success. The new round of advertising will integrate Vision Zero and new messaging developed from gathered feedback. The campaign will run through the month of May to coincide with "National Bike Month" and during July and August to promote safe walking and biking during "back to school." If any agencies would like to participate and partner with SCAG to promote GO Human, please reach out to SCAG Regional Affairs Officer (RAO) David Salgado or Assistant Regional Planner Julia Lippe-Klein (213) 236-1856.
- 2. SCAG President and Executive Team Luncheon and Imperial Valley Tour-SAVE THE DATE:** SCAG President Margaret Finlay is committed to coming to Imperial County for a tour. The date President Finlay and Hasan have set is Friday March 30<sup>th</sup>, 2018. We are finalizing details and will provide information as it is made available. Currently the tentative schedule is to have a morning tour concluding with a luncheon at the new SCAG/ICTC offices. SCAG Executive Director Hasan Ikhata is also committed to providing a presentation to city managers, elected officials, and stakeholders while out in Imperial County covering some of SCAG's roles, responsibilities, and ongoing programs. The presentation will be provided during the SCAG hosted luncheon portion of their visit.
- 3. SCAG 2018 Public Participation Plan – DRAFT:** SCAG has developed a Draft 2018 Public Participation Plan, and would like your input. SCAG does transportation and land use planning for a large, diverse region-- this plan is key to helping us make sure we're engaging the public effectively & inclusively. The plan is available online for review until April 2018. For questions please contact SCAG RAO David Salgado.
- 4. 2018 Regional Conference and General Assembly:** Please save the date for the 2018 Regional Conference and General Assembly. This year's conference will be held at the Renaissance Esmeralda Indian Wells Resort and Spa in Indian Wells on May 3<sup>rd</sup> and 4<sup>th</sup>, 2018. City clerks should have received notice to begin the formal process for selecting the 2018 GA delegate and alternate. For questions please contact Regional Affairs Officer (RAO) David Salgado.

5. **SCAG Downtown Los Angeles Relocation:** SCAG relocated to the new Downtown Headquarters located at The Wilshire Grand Center. The new address is 900 Wilshire Boulevard, 17<sup>th</sup> Floor, Los Angeles, CA 90017. The building is a brand new LEED Certified Class A Building and provides for a more advanced space for SCAG to grow into. The new space will also have improved spaces for SCAG's regular public meetings and workshops.
6. **SCAG Regional Council and Policy Committees:** SCAG's Regional Council and Policy Committee meetings will take place Thursday March 1<sup>st</sup>, 2018 at SCAG's main offices in Los Angeles.
7. **SB 1 Road Repair and Accountability Act of 2017:** The bill passed by a vote of 27-11. The bill provides \$52.4 billion over 10 years for transportation by raising California's gas excise tax 12 cents to 30 cents a gallon, with annual adjustments for inflation. The diesel excise tax will also go up 20 cents to 36 cents a gallon. Funds will also be raised by fee increases on vehicle registrations which will be proportionate to the vehicle model year and will range from \$25 to \$175 a year annually. Zero emission vehicles will incur a \$100 annual fee. There will be a constitutional amendment put on the 2018 ballot to allow a vote to ensure the funds will be provided for road projects.
8. **SCAG 2017 Local Profiles:** 2017 Final Local Profiles are posted on the SCAG website and readily available. Hard copies may be provided upon request. Questions can be directed to Ping Chang or Mike Gainor at SCAG.
9. **2017 SCAG Presidents Strategic Plan (PSP) Update:** SCAG has convened a strategic planning committee composed of executive management, leadership, and staff in order to develop and update SCAG's Strategic Planning Document. The new SCAG Strategic Plan was adopted as one of the first items of the new year at the February 2018 Regional Council Meeting. The Strategic Plan has not been updated since 2009 and provides a framework for the agencies Work Plan and continued success. A Staff Strategic Planning (SSP) Committee has been composed to support the work of the PSP. Imperial County RAO David Salgado is participating on the PSP Committee.
10. **2016 RTP/SCS FINAL APPROVAL** – On April 7, 2016, SCAG's Regional Council adopted the 2016 RTP/SCS, a long range visioning plan that balances future mobility and housing needs with economic, environmental and public health goals. The Plan charts a course for closely integrating land use and transportation – so that the region can grow smartly and sustainably. It outlines more than \$556.5 billion in transportation system investments through 2040. The Plan was prepared through a collaborative, continuous, and comprehensive process with input from local governments, county transportation commissions, tribal governments, non-profit organizations, businesses and local stakeholders within the counties of Imperial, Los Angeles, Orange, Riverside, San Bernardino and Ventura. The 2016 RTP/SCS is available for download by chapter or as one file. Please note that some files are large and may take longer to download depending on individual connection speeds. We strongly recommend that you first download it onto your computer before opening the file. All files are in Adobe Acrobat PDF format. The executive summary is available upon request.

## **SAVE THE DATE: 53RD ANNUAL REGIONAL CONFERENCE AND GENERAL ASSEMBLY**

Mark your calendars: SCAG's premier annual event is fast approaching. The 53rd Regional Conference and General Assembly will convene on May 3-4 at the Renaissance Esmeralda Indian Wells Resort & Spa in Indian Wells, CA. This conference will bring together Southern California's most influential leaders, innovators and policymakers for collaborative, solution-oriented discussions on the region's greatest challenges. Registration for the 2018 Regional Conference will be available shortly. The event is free for elected officials and city managers in the region. For information about sponsorship opportunities, contact Communications Manager Jeff Liu at [liuj@scag.ca.gov](mailto:liuj@scag.ca.gov).

## **DEVELOPMENT BEGINS ON SCAG'S RHNA AND 2020 RTP/SCS**

In December, SCAG began the initial groundwork to develop the next Regional Housing Needs Assessment (RHNA) and the 2020 Regional Transportation Plan and Sustainable Communities Strategy (2020 RTP/SCS). SCAG staff have been meeting one-on-one with councils of governments and local cities to outline the process for both, as well as what city data will be needed. SCAG relies on local land use data and anticipated growth trends in order to establish a clear picture of local conditions and how the region is meeting its greenhouse gas reduction goals. More details about SCAG's bottom-up local input and envisioning process is available on the [RTP/SCS website](#).

## **SCAG/UCLA STUDY REVEALS CAUSES OF FALLING TRANSIT RIDERSHIP**

SCAG and the UCLA Institute of Transportation Studies released a report yesterday identifying the causes of transit ridership declines in the region. The research effort found that on a per capita basis, regional transit ridership has been falling since 2007. This decline has affected both bus and rail routes in the region's urban core, which is one of the strongest transit service areas. The overwhelming cause for the ridership decline is a dramatic increase in private automobile ownership in Southern California, with 2.1 million additional vehicles from 2000 to 2015. Vehicle ownership grew disproportionately among those that are most likely to take transit. Correspondingly, our region is once again experiencing dramatic increases in congestion. The millions of new vehicles also presents a major challenge to properly maintain our infrastructure, one that is put at even greater risk given the effort to repeal SB 1. The findings from this study sets the stage for vital policy discussions as we develop the 2020 RTP/SCS. The new study is available in [SCAG's Document Library](#).

## **SPECIAL WEBINAR ON ASSESSING RISKS FOR MUDSLIDES**

To better prepare our member jurisdictions, SCAG is partnering with the Dr. Lucy Jones Center for Science and Society for a special webinar on Monday, Feb. 5 – "Rain after the Fire: Mudslides and Debris Flows." Dr. Lucy Jones, weather forecasters and landslide scientists will provide detailed information and analysis on how hillsides move, especially when it rains after a fire. Whether your city has experienced a recent wildfire or has the potential for one, this special presentation will benefit emergency managers, public works directors and other city officials who plan for and respond to the threat of mudslides and debris flows. For more information or to RSVP for this event, please email Joseph Briglio at [briglio@scag.ca.gov](mailto:briglio@scag.ca.gov).

## **UPCOMING WORKSHOP ON STATE EMISSION TARGET UPDATES**

On Feb. 5, the California Air Resources Board (CARB) will host a public workshop on the SB 375 Sustainable Communities and Climate Protection program, outlining proposed updates to emissions reduction targets for the state's metropolitan planning organizations. The workshop will feature a briefing from CARB staff about proposed changes to the region's goals and strategies for reducing greenhouse gas emissions from passenger vehicles, including evaluation methodology. CARB staff will seek public input both on next steps for the target update and on metrics for reporting in an upcoming SB 375 program performance report. The workshop will take place on Monday, Feb. 5, from 1:30 p.m. to 3:30 p.m. at the Caltrans District 7 offices, 100 South Main Street, Los Angeles, CA 90012.

## **SCAG HELPS LOCAL GOVERNMENTS PREPARE FOR UPDATED ENVIRONMENTAL RULES**

In November, the Governor's Office of Planning and Research proposed a comprehensive update to the guidelines of the California Environmental Quality Act (CEQA). This is the first comprehensive update in many years to this policy, which dictates how environmental impacts are measured and affects virtually all planning and development projects in the state. In order to help ready cities and counties in the region for navigating these new guidelines, SCAG hosted a workshop for local government leaders on Jan. 31 at the Caltrans District 7 Offices.

The workshop featured staff from the Office of Planning and Research, who briefed attendees on the proposed changes and address any questions they might have. The program gave particular attention to one of the most significant changes in the proposed update: the introduction of a new measure for determining the significance of transportation impacts, establishing vehicle miles travelled, or VMT, as the most appropriate metric for assessing land use projects. More information on the proposed update is available [online](#).

## PROGRESS UPDATE ON VOLKSWAGEN'S ELECTRIFY INVESTMENT PROGRAM

As part of a settlement between Volkswagen and the California Air Resources Board, the auto manufacturer has committed to making significant investments to support zero-emission vehicles in the state. Through a new company, called "Electrify America," \$800 million will be invested in California's electric vehicle infrastructure over a ten-year period. Electrify America is currently soliciting proposals, recommendations and comments for the second cycle of their [Zero Emission Vehicle Investment Plans](#). SCAG will continue to work with our partners to advocate for investments in our region.

Electrify America will also host a series of brand-neutral "Drive and Learn" events featuring battery-powered electric vehicles, charging station demonstrations and information about electric vehicle incentives available to Southern Californians. SCAG region events will take place on Feb. 16-18 in the City of Carson and on Feb. 21-23 in the City of Mission Viejo. Please contact Clean Cities Coordinator Marco Anderson at [anderson@scag.ca.gov](mailto:anderson@scag.ca.gov) if you have further questions.

## CONGRATULATIONS TO TRANSFORMATIVE CLIMATE COMMUNITIES GRANT RECIPIENTS

On Jan. 29, the Strategic Growth Council approved awards of \$35 million to the Housing Authority of the City of Los Angeles and \$35 million to the City of Ontario to fund the implementation of multiple, coordinated projects to reduce greenhouse gas emissions and benefit disadvantaged communities. Several other applicants in the SCAG region have received planning grants to undertake land use planning and related activities including: Los Angeles County (East Los Angeles), Riverside County (City of Riverside); Coachella Valley Association of Governments (multiple cities); City of Moreno Valley, and Gateway Cities Council of Governments (multiple cities).

## FUNDING OPPORTUNITY: TRANSPORTATION RESILIENCE PILOTS

The Federal Highway Authority (FHWA) is soliciting proposals for the Resilience and Durability Pilots Program, which is designed to develop solutions for reducing the impacts of natural disasters and extreme weather on transportation systems. This FHWA program will award up to eight projects from around the country with grants ranging from \$10,000 to \$250,000 to support the adoption of plans and practices that will improve the resilience of transportation infrastructure and assets. Previous funding cycles have distributed a majority of awards to state Departments of Transportation and regional planning agencies. Letters of Interest for the pilot program are due to FHWA by Feb. 9. More information is available [here](#).

## FUNDING OPPORTUNITIES: FORESTRY AND URBAN GREENING

Two statewide grant opportunities for forestry and urban greening projects were recently announced by the California Department of Forestry and Fire Protection (CAL FIRE) and the Natural Resources Agency. This includes \$17,500,000 to promote expansion and better management of California's urban forests. Local government projects that feature urban tree and vegetation planting, tree inventories and urban forestry management planning are eligible to apply. Proposals are due Feb. 26. More information is available [here](#). The Natural Resources Agency announced a call for proposals for their Urban Greening Grant Program last week, seeking to fund the expansion or establishment of urban green spaces, non-motorized urban trails and other activities like urban heat island mitigation. Local governments are eligible to apply, and proposals are due by April 11. More information is available [here](#).

## SHARING REGIONAL PERSPECTIVE AT SUBREGIONAL EVENTS

In January I had the privilege of presenting at two major regional events: The Regional Transportation Summit, hosted by WRCOG's Clean Cities Coalition and the City of Moreno Valley on Jan. 18; and UCLA Extension's 32nd Annual Land Use Law and Planning Conference on Jan. 19. At the Land Use Conference, I joined a panel on "Transportation Infrastructure: Mobility, Choice, and VMT" where I spoke about regional solutions for meeting state climate and mobility goals. The Transportation Summit featured panel discussions with experts and industry professionals sharing best practices and how cities can prepare for transportation's high-tech future. I gave a keynote speech at the Summit which was streamed on [Facebook](#).

## SCAG STAFF PRESENTS RESEARCH AT NATIONAL TRANSPORTATION CONFERENCE

Several SCAG staff attended the 2018 Transportation Research Board Annual Meeting in Washington, D.C. in early January to share knowledge and present on recent projects to the global transportation community. The 2018 meeting, organized around the theme "Transportation: Moving the Economy of the Future," convened more than 13,000 transportation professionals from around the world and featured more than 5,000 presentations in approximately 800 sessions and workshops. SCAG staff presented a study evaluating traffic collisions in Southern California by time series, as part of a collaborative research project with Cal Poly Pomona's Civil Engineering Department. Project abstracts and more information on the program are available [online](#).



**Date:** February 23, 2018  
**To:** ICTC Commissioner's  
**From:** Cory Binns, Caltrans District 11, Acting District Director  
**Re: District Director's Report**

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The following is the California Department of Transportation, District 11 report for the Imperial County Transportation Commission (ICTC) Commission meeting of February 28, 2018:

1. Project Updates:

Please see maps at end of report for project level detail.

2. Construction:

Interstate 8 (I-8) Continuously Reinforced Concrete Pavement Project

I-8 Continuously Reinforced Concrete Pavement Project was divided into five segments with segments 1-3 being complete. Completion of the entire project is scheduled for 2019.

Segment 4: This segment is divided into two sections located near El Centro from west of I-8/SR-111 separation to just west of Anderholt Road overcrossing and from east of the East Highline Canal Bridge to west of the I-8/SR-98 separation. This segment began construction on July 10, 2017. The contractor continues working on I-8 near SR-111, with the traffic switch to Stage 3 Location 1 being completed in January. The contractor is also replacing the existing pavement on Evan Hewes Highway in preparation of establishing this road as a detour.

Segment 5: Located near Winterhaven from west of Ogilby Road overcrossing to west of the I-8/SR-186 separation. This seven-mile segment began construction the week of June 12, 2017. Westbound traffic was switched onto new westbound lanes on December 20, 2017. The eastbound traffic was switched onto new westbound lanes on January 8, 2018. This project is expected to be completed one year ahead of schedule.

### Construction (continued):

#### I-8/Dogwood Road Landscape Project

The follow-up landscape project has been completed with plant establishment continuing.

#### SR-98 / Cesar Chavez Widening Project

Contract approval was received in January 2017, with construction on the \$12.9 million project beginning in April 2017 and ending in spring 2018. Utility relocation work is complete. Construction on Stage 1 from Eady Avenue to VV Williams is complete. Stage 2 and 3 work from VV Williams to Cesar Chavez is complete.

*All work is completed with the exception of activating the traffic signal at Cesar Chavez, all through lanes and sidewalks were opened on January 31, 2018. This project is currently scheduled for completion in late March 2018.*

#### SR-86/Heber Pedestrian Improvements

This project will construct sidewalks and a bus shelter. Construction on Phase 1 is complete. Design is complete for the remaining phases and should be in construction in early 2018. This project is a coordinated effort between Caltrans and ICTC.

#### SR-III/Main Street in Niland

This project will install a bus stop and shelter in an existing parking lot on the east side of SR-III. The project has been approved and the contractor expects the manufacturing of the shelter to take two months. Construction will begin after receiving the bus shelter.

#### Emergency Repair Project:

Caltrans scheduled a 24-hour closure on westbound I-8 from East 16th Street in Yuma, Arizona to Winterhaven Drive in California on Sunday, January 21, 2018 at 3:00 a.m., to complete repairs on the Colorado River Viaduct Bridge spanning Gateway Park in the City of Yuma. The Howard C Giss Parkway on-ramp to westbound I-8 was also closed. Caltrans coordinated project work and closures with the City of Yuma and Arizona Department of Transportation.

*All bridge work was completed in approximately 16 hours.*

### 3. Traffic Operations:

#### SR-86/Customs & Border Protection Checkpoint Expansion

Caltrans recently provided a design alternative with cost estimate to ICTC. The design will allow for two lanes for use by CBP under a newly constructed canopy to be placed over

### Traffic Operations (continued):

SR-86, and two lanes of secondary inspection during peak periods, which should reduce or eliminate queuing of traffic during these time periods. This was approved by the Commission late 2017.

*A meeting with ICTC, CBP, Caltrans and the consultant AECOM was held on February 13, 2018 to discuss the project development process and a draft schedule. It was determined that the work will be done as an Encroachment Permit, and that Caltrans will be providing project support during the planning, design, and construction phases.*

### SR-98/Birch Street

Caltrans Highway Operations is currently working on a Traffic Investigation Report (TIR) that will recommend to remove school zone related signs from the speed feedback posts. In addition, the speed feedback signs will be reset to a 24 hour schedule upon completion of the TIR.

### Signage on I-8 Directing Trucks to SR-7:

The TIR to install signs to direct trucks to use SR-7 on I-8 and SR-111 was approved on November 27, 2017. Per the approved TIR, guide signs to direct trucks to use SR-7 will be installed on eastbound I-8 prior to SR-98 and SR-111. An additional guide sign will be installed on southbound SR-111 to direct trucks to use east I-8 to south SR-7, for a total of three guide signs.

No additional guide signs will be installed on westbound I-8 as there are existing guide signs to direct trucks to use SR-7 for border crossing prior to the I-8/SR-7 connector. The proposed signs were sent to Operations Planning Support on November 30, 2017 to process the sign order.

### All American Canal Bridge/SR-186

*The public hearing was held on February 21, 2018 at the County of Imperial Department of Public Works office in El Centro. In attendance were Caltrans, County of Imperial, CHP, and the Bureau of Reclamation (BOR) representatives. There were no members of the public in attendance to discuss or comment on the bridge weight restriction on SR-186. The following topics were discussed:*

- *Location and description of SR-186 and All American Canal Bridge.*
- *Description of request from BOR for weight restriction on All American Canal Bridge.*
- *Display showing proposed advanced warning and Terminal Access Route signs (see attached).*
- *Discussed impacts weight restriction would have on the public.*
- *Answered questions from CHP.*

*There were no objections to the proposed advanced warning signs for the weight restriction.*

#### 4. Planning:

##### Senate Bill 1 – New Grant Opportunities:

Caltrans launched two new planning grant programs with funding from Senate Bill 1, the Road Repair & Accountability Act of 2017. The new planning grant funds include:

- \$25 million annually for Sustainable Communities Grants to encourage local and regional planning that further state goals, including, but not limited to, the goals and best practices cited in the regional transportation plan guidelines adopted by the California Transportation Commission.
- \$20 million over three years for Adaptation Planning Grants to local and regional agencies for climate change adaptation planning.

##### Trade Corridor Enhancement Projects (TCEP):

Caltrans has been working diligently to develop a comprehensive suite of projects to benefit the U.S./Mexico border region, in the area of goods movement and cross-border traffic. To that end, District 11 has developed a multi-project application submittal that includes projects for both Imperial and San Diego counties. In Imperial, this includes the final phase of the SR-98 widening in Calexico *as well as the environmental and design work* for the expansion of the bridge over the All American Canal at the Calexico East POE. Final submittals were due on January 23, 2018; and project awards are expected to be announced by the CTC in May 2018.

##### Calexico Traffic Circulation Plan

Caltrans has been awarded a grant from the Federal Highways Administration (FHWA) State Planning & Research funds, with an 80/20 in-kind match by the Imperial County Transportation Commission (ICTC) to fund a \$100,000 Traffic Circulation Plan (TCP) for access to the Calexico West Port of Entry (POE).

This effort will have a two-phase approach. Phase one will address access for opening day traffic conditions. Phase two will provide further analysis and recommendations for potential traffic shifts for the 60-90 day period beyond opening day conditions.

The Calexico West POE is scheduled to be complete in *Summer 2018*. Opening of the POE will require the City of Calexico to make necessary improvements to Cesar Chavez Boulevard which will serve as future access to the POE. Caltrans and the City of Calexico will work cooperatively with other local and regional partners to identify other traffic improvements and changes which may be required by changing patterns. Additionally, while Mexico has completed their roadway improvements; their federal customs facility remains to be constructed.

### Planning (continued):

The TCP will provide analysis for the above issues, as well as coordinated efforts for circulation, traffic control, emergency services, and impacts to transit routes. The analysis is expected to take ten months to complete.

The TCP will be fully vetted by all involved agencies and stakeholders. A final report and plan will be presented to the ICTC Management & Commission, as well as the City of Calexico. Significant involvement by federal, state and local agencies will be made to ensure consensus and approval.

*This project was just released by SCAG for consultant bids, and it is anticipated that project kick-off will be late April/early May 2018. Caltrans is pursuing separate grant funds specifically for the public outreach portion of this effort.*

### Transportation Planning Grant Opportunities:

Caltrans is pleased to release the FY 2018-19 Grant Application Guides and call-for-applications for the traditional State and federal funding, as well as grant funding from Senate Bill 1, the Road Repair & Accountability Act of 2017. The Grant Application Guides were developed last summer with input from four public workshops and stakeholder comments. A total of \$40.8 million is available for transportation planning projects statewide.

The available transportation planning grant funds include:

- *Sustainable Communities Grants (\$29.5 million) to encourage local and regional planning that furthers state goals, including, but not limited to, the goals and best practices cited in the Regional Transportation Plan Guidelines adopted by the California Transportation Commission.*
- *Strategic Partnerships Grants (\$4.3 million) to identify and address statewide, interregional, or regional transportation deficiencies on the State highway system in partnership with Caltrans. New for FY 2018-19 is a transit component that will fund planning projects that address multimodal transportation deficiencies with a focus on transit.*
- *Adaptation Planning Grants (\$7 million) to support planning actions at local and regional levels that advance climate change efforts on the transportation system.*

For information, including list of eligible applicants, grant application guides, and required application templates, please review the new Grant Application Guides now available at: <http://www.dot.ca.gov/hq/tpp/grants.html>.

Grant applications are due via email on Friday, February 23, 2018 at 5:00 p.m. Grant announcements are anticipated in May 2018.

### Planning (continued):

*The Caltrans Planning Division held a workshop on January 25, 2018 at the ICTC offices to explain the grant programs, review grant guidelines and application procedures, provide direct feedback on potential grant applications, and discuss elements of successful grant applications.*

*This workshop was attended by ICTC, SCAG, the City of El Centro and the Imperial Valley Velo Club.*

*Caltrans would like to thank ICTC for hosting the workshop as well as assisting with notifying local agencies.*

### Grants Underway:

#### A Fresh Look at Impacts of Border Delays at CA/BC POEs

*In May 2016, the San Diego Association of Governments received two Caltrans grants for a total of \$670,000 to study the Effects of Border Wait Times on the Economy and Air Quality/Climate Change Emissions. This is a cooperative effort between SANDAG, ICTC and Caltrans under contract with HDR.*

#### *Recent Activities:*

*Meetings with the Project Study Team (PST) and the consultant team were held in October, November, and December 2017.*

*The Border Wait Time Technologies and Information Systems White Paper was finalized. A summary report of at-border data collection results, including results of intercept surveys at the six land POEs, and border crossing times for passenger vehicles and truck was reviewed by the PST and finalized.*

*The PST discussed the status of improvements to the travel demand model that will be used to provide projections of cross border volumes and delays. The HDR team continued to prepare the economic and emissions models to include these inputs.*

*Staff made a presentation at the November meeting of the Committee on Binational Regional Opportunities. Meetings with the PST and the consultant team were held in October, November, and December 2017.*

*The Border Wait Time Technologies and Information Systems White Paper was finalized. A summary report of at-border data collection results, including results of intercept surveys at the six land POEs, and border crossing times for passenger vehicles and truck was reviewed by the PST and finalized.*

## Planning (continued):

*The PST discussed the status of improvements to the travel demand model that will be used to provide projections of cross border volumes and delays. The HDR team continued to prepare the economic and emissions models to include these inputs.*

*All 20 interviews with businesses identified in the Economic Outreach Plan were completed. The Border Wait Time Technologies and Information Systems White Paper was finalized. A summary report of at-border data collection results, including results of intercept surveys at the six land POEs and the Cross Border Xpress facility, and border crossing times for passenger vehicles and truck was reviewed by the PST and finalized.*

## Imperial County Transportation Model Update

*The most recent coordination meeting continued to address issues regarding Social, Economic and Demographic (SED) data. SCAG has completed the effort to update SED data for the base year (2016), and will have the SED forecasting for future years completed in spring 2018. Meanwhile, the project team has been working on 1) reviewing model parameters for trip distribution and mode choice, 2) analyzing household survey data to prepare calibration targets, and 3) looking into network coding details to get skims from the prototype model. Once these processes are done, Cambridge Systematics will start testing the model, and proceed with calibration and validation.*

## Upcoming Grant Projects

### Imperial County Active Transportation Plan

Caltrans Planning recently met with the County of Imperial Public Works Department and held a kick-off meeting for this \$200,000 Planning Grant. The plan will cover the unincorporated areas of Imperial County, specifically the Communities and Townsites; and areas near schools. The plan will be based on needs assessment through data gathering and analysis, public feedback, and consultation with local agencies.

The study will address issues such as safety and security, liability, environmental concerns, convenience, accessibility, usage, connections and linkages for bicycle users, as well as associated pedestrians and safe routes to school planning efforts.

Requests for Proposals (RFPs) have been received, reviewed and interviews held with consultant selection finalized. *Project kickoff will be in late February 2018, with the Plan being complete by early 2019.*

## 5. Local Assistance:

### Inactive Projects

Future inactives should be billed within the specified and agreed upon timeframe to avoid a unilateral deobligation of funds.

The list was updated on February 1, 2018. Action is required by the following agencies: Imperial County, and the cities of Imperial and Calexico. All inactive and future inactive invoices should have been submitted to the District Local Assistance Engineer (DLAE) in District 11 before January 20, 2018.

Note: An invoice is not cleared off the inactive or future inactive until it has been paid by the State Controller's Office.

A complete list of inactive projects can be found at the link provided below.

<http://www.dot.ca.gov/hq/LocalPrograms/Inactiveprojects.htm>

### June 15, 2018 Deadline for 17/18 Federal Fiscal Year Requests for Authorization/Obligation

Please transmit Requests for Authorization, de-obligation, etc. due this federal fiscal year before June 15, 2018.

### June 30, 2018 Deadline for "DBE Annual Submittal" and "ADA Annual Certification" Forms

Please submit both the "Local Agency Disadvantaged Business Enterprise (DBE) Annual Submittal Form" (Exhibit 9-B) and "Local Agency Americans with Disabilities Act (ADA) Annual Certification Form" (Exhibit 9-C) by June 30, 2018, for the next Federal Fiscal Year (October 1, 2018 to September 30, 2019) per Local Assistance Procedures Manual (LAPM) Chapter 9, Sections 9.3 and 9.6. Include in your 9-B submittal an organizational chart showing the DBELO and his/her contact information.

Note that failure to submit the completed forms will result in a delay to the processing of any Requests for Authorization.

### Local Assistance Manuals Updated

The Local Assistance Procedures Manual (LAPM) and the Local Assistance Program Guidelines (LAPG) were updated in January 2018. Below are the links for the manuals:

-LAPM: <http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm>

-LAPG: <http://www.dot.ca.gov/hq/LocalPrograms/lam/lapg.htm>

Local Assistance (continued):

ATP Cycle 4 Call-For Projects

Caltrans anticipates the CTC will announce the 2019 (Cycle 4) call-for-projects in or around March 2018.

The Cycle 4 Call for Projects is expected to include about \$440M in ATP funding made up of Federal funding and State SBI and SHA funding. The funding/programming years are expected to include 19/20, 20/21, 21/22 and 22/23 funding years. Potential applicants are encouraged to check the Caltrans and CTC ATP websites for future updates.

CTC – ATP website: <http://www.catc.ca.gov/programs/ATP.htm>

For project specific and call for project questions, please contact Bryan Ott, District II ATP Coordinator at (619) 220-5310 or via email at [bryan.ott@dot.ca.gov](mailto:bryan.ott@dot.ca.gov)

Highway Safety Improvement Program (HSIP)

The next call for projects (HSIP Cycle 9) is expected to be announced around May 2018. Please visit this website periodically for updates:

[http://www.dot.ca.gov/hq/LocalPrograms/HSIP/apply\\_now.html](http://www.dot.ca.gov/hq/LocalPrograms/HSIP/apply_now.html)

For questions, you may contact Bryan Ott, District II HSIP Coordinator at (619) 220-5310 or via email at [bryan.ott@dot.ca.gov](mailto:bryan.ott@dot.ca.gov).

Agency One-on-One Meeting with Caltrans Local Assistance – February and March 2018

Caltrans District II Local Assistance will be meeting with each agency and staff members involved with the administration and project management of the local federal-aid funded projects. This will be an open agenda meeting serving as a meet-and-greet and to discuss general questions and issues the agency may have regarding the Local Assistance program and projects.

The one-on-one meetings are scheduled on two dates: Wednesday, February 21, 2018; and Tuesday, March 13, 2018 at one-hour intervals, and will be held in one of the ICTC Conference Rooms located at 1503 N. Imperial Avenue, Suite 104, El Centro, CA 92243.

Wednesday, February 21, 2018

10:00 a.m. – 11:00 a.m. County of Imperial

11:00 a.m. – 12:00 p.m. Holtville

1:30 p.m. – 2:30 p.m. Westmorland

2:30 p.m. – 3:30 p.m. City of Imperial

## Local Assistance (continued):

Tuesday, March 13, 2018

10:00 a.m. – 11:00 a.m. El Centro

11:00 a.m. – 12:00 p.m. Calipatria

1:30 p.m. – 2:30 p.m. Brawley

2:30 p.m. – 3:30 p.m. Calexico

## Architectural & Engineering (A&E) Consultant Contract Review Office Bulletin #17-02

A recording of the A&E Exhibit 10-C 2-Hour Intensive training webinar is now available, along with a PDF of the presentation and all accompanying handouts. This webinar recording discusses the revised Local Assistance Procedures Manual (LAPM) Exhibit 10-C Consultant Contract Reviewers Checklist and the new procedure in effect requiring all agencies to obtain acceptance of Exhibit 10-C prior to contract award.

Check out our A&E Exhibit 10-C Webinar Recording and Handouts at the following link:

<http://www.localassistanceblog.com/ae-training/>

## Subsidized Classes for Local Agencies

The California Local Technical Assistance Program is a jointly funded effort between FHWA and Caltrans to provide local governments with training, information, technology and direct assistance to help improve transportation infrastructure. Upcoming courses are listed at this link:

[registration.techtransfer.berkeley.edu/wconnect/ShowSchedule.awp?&Mode=GROUP&Group=:FULL&Title=Complete+Listing](http://registration.techtransfer.berkeley.edu/wconnect/ShowSchedule.awp?&Mode=GROUP&Group=:FULL&Title=Complete+Listing)

## April 9-13, 2018: Federal Aid Series

Location: Caltrans District II, 4050 Taylor Street, Gallegos Room, San Diego 92110  
Additional dates and sites are available statewide.

Registration is open. Please check for updates through an online registration link below:  
<http://www.californialtap.org/index.cfm?pid=1077>

For questions or to register for any training, please contact Alma Sanchez at (619)278-3735 or via email at: [Alma\\_Sanchez@dot.ca.gov](mailto:Alma_Sanchez@dot.ca.gov)

## Reminder: Division of Local Assistance Listserver Email Subscription

Sign up for a Division of Local Assistance “Listserver” to receive significant updates or additions to Local Assistance webpages, including changes to the Local Assistance

Local Assistance (continued):

Procedures Manual (LAPM) and Local Assistance Program Guidelines (LAPG), new Office Bulletins and Local Programs Procedures, as well as Calls for Projects.

<http://lists.dot.ca.gov/mailman/listinfo/dla-website-updates-announce>

Reminder: Division of Local Assistance Blog (LAB)

The Caltrans Local Assistance Blog (LAB) provides clarity on issues and contributes to the successful delivery of transportation projects using federal resources. Categories covered by the LAB are: Subsidized Classes for Local Agencies, Policy/Procedures, Program Guidelines, Training, Environmental, and Right of Way.

<http://www.localassistanceblog.com>

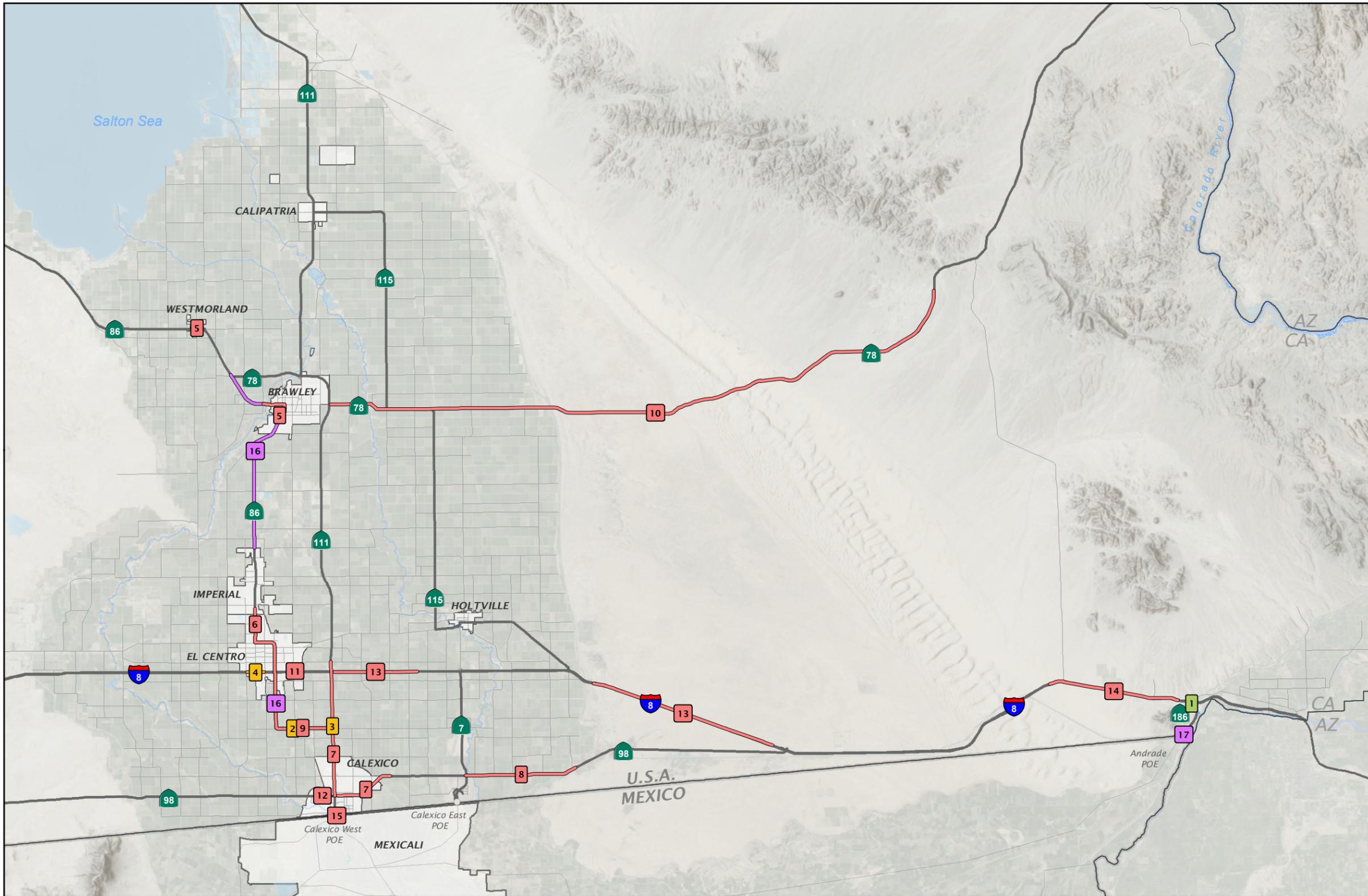
Reminder: Local Assistance Customer Service Survey

This pilot program supports a Caltrans Strategic Management Plan Goal: Organizational Excellence. An external survey ranked Local Assistance as the Division of Caltrans that external agencies interact with most on a regular basis. HQ-Division of Local Assistance and District Offices will recognize employees who go “above and beyond,” document best practices and identify needed training.

So, how did we do?  
Help us serve you better!

The Caltrans Local Assistance Customer Service Survey can be found at the link provided below.

<https://www.surveymonkey.com/r/CTLocalAssistanceFeedback>



## ENVIRONMENTAL

1. SR-186/I-8 Interchange Improvements

## DESIGN

2. SR-86/Dogwood Road Intersection Improvements\*  
Design Complete Fall 2018
3. SR-86/SR-111 Intersection Improvements\*  
Design Complete Fall 2018
4. I-8/Imperial Ave Interchange Improvements  
Design Complete Spring 2019

## CONSTRUCTION

5. SR-86 Pavement Rehabilitation  
Construction Start Spring 2018
6. SR-86 Pavement Rehabilitation  
Construction Start Summer 2018
7. SR-111/SR-98 Pavement Rehabilitation  
Construction Start Summer 2018
8. SR-98 Pavement Rehabilitation  
Construction Start Spring 2018
9. SR-86/"Heber Ave" Sidewalk, Transit,  
& ADA Improvements Phases 2 & 3\*  
Construction Start Spring 2018
10. SR-78 Pavement Rehabilitation  
Construction Complete Spring 2018
11. Dogwood Road Landscape  
Plant Establishment Fall 2018
12. SR-98 West Widening Phase 1 B  
Eady Ave to Ollie Ave  
Construction Complete Spring 2018
13. I-8 Pavement Rehabilitation at Various Locations  
Construction Start Summer 2017
14. I-8 Pavement Rehabilitation at Ogilby Rd to SR-186  
Construction Complete Summer 2018
15. SR-111 Calexico West - GSA POE Reconfiguration\*  
Construction Complete Summer 2018

## RELINQUISHMENT

16. SR-86 Relinquishment From SR-78 to SR-111  
Senate Bill 788 Approved Fall 2013
17. SR-186 Relinquishment 500 Feet  
from Border to GSA\*  
Complete Summer 2018



- █ Environmental
- █ Design
- █ Construction
- █ Relinquishment



**Abbreviations:**  
GSA: General Services Administration

POE: Port of Entry

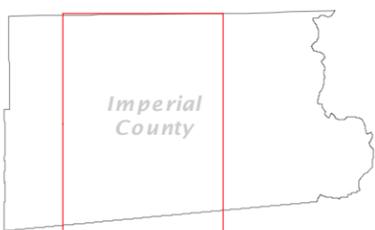
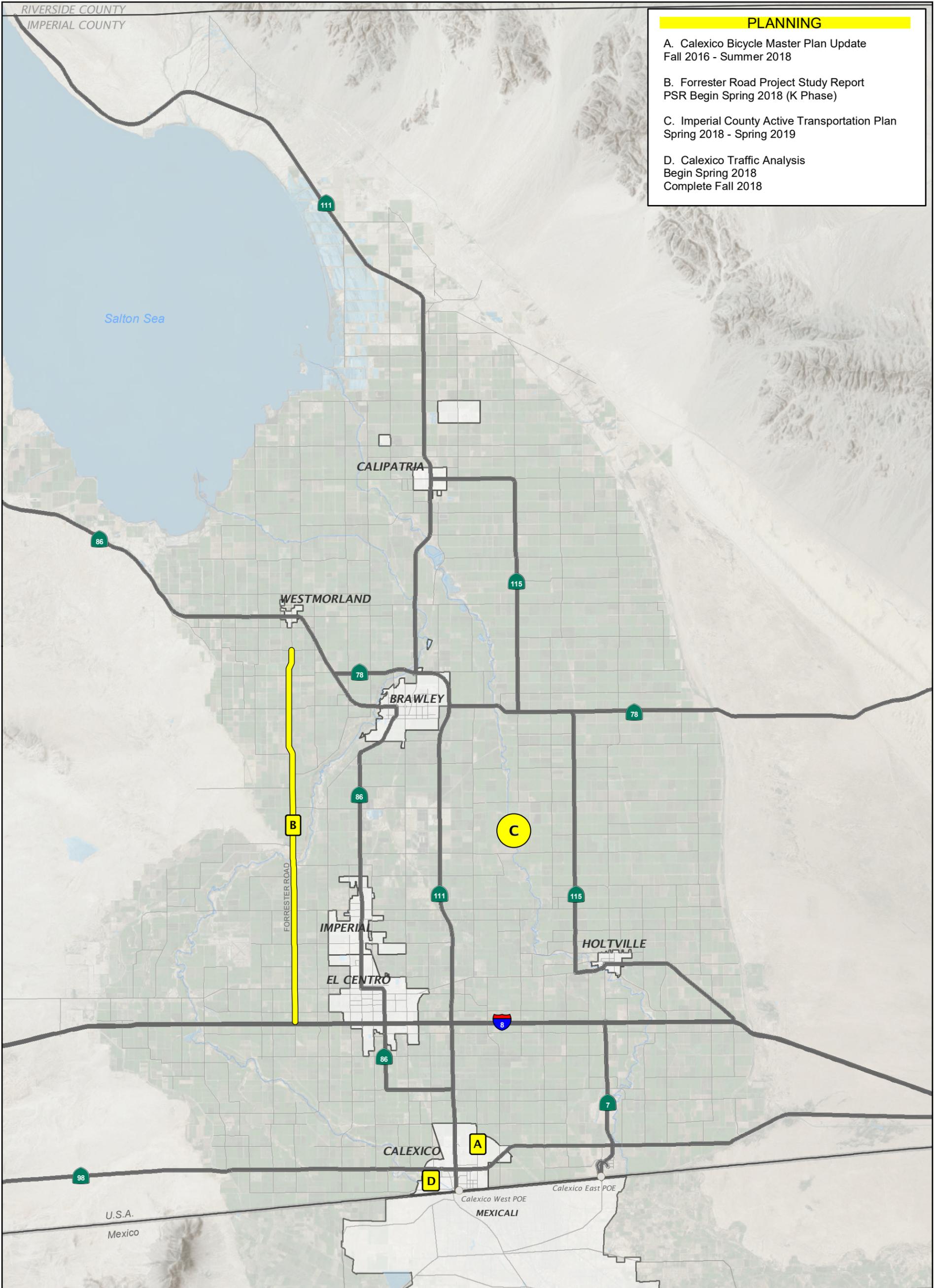
Portions of this map contain geographic information copyrighted by the Imperial County GIS program. All rights reserved. The data provided is "as is" without warranty of any kind.

Date: 01/09/2018



\* The California Department of Transportation (Caltrans) is a partner in this study/projects, although not the lead agency.

# IMPERIAL COUNTY STATUS OF TRANSPORTATION STUDIES AND REPORTS



Portions of this map contain geographic information copyrighted by the Imperial County GIS program. All rights reserved. The data provided is "as is" without warranty of any kind.

Date: 01/23/2018

### Sign Installation Exhibit



# VI. ACTION CALENDAR

## A. IMPERIAL COUNTY TRANSPORTATION COMMISSION (ICTC) RESOLUTION FOR FEDERAL FISCAL YEAR (FFY) 2018-2019—2023-2024 FEDERAL TRANSPORTATION IMPROVEMENT PROGRAM



1503 N. IMPERIAL AVE., SUITE 104  
EL CENTRO, CA 92243-2875  
PHONE: (760) 592-4494  
FAX: (760) 592-4410

February 22, 2018

Luis Plancarte, Chairman  
Imperial County Transportation Commission  
1405 N. Imperial Ave., Suite 1  
El Centro, CA 92243

SUBJECT: Imperial County Transportation Commission (ICTC) resolution for Federal Fiscal Year (FFY) 2018/2019 – 2023/2024 Federal Transportation Improvement Program

Dear Commission Members:

The Imperial County Transportation Commission has submitted its portion of the Federal Transportation Improvement Program (FTIP) for inclusion into the Southern California Association of Governments (SCAG) 2019 FTIP. The program has been prepared in accordance with State and Federal requirements. Every effort was made to contact local agencies to allow them the opportunity to update the status of all projects on the attached list.

Attached is a resolution that establishes our commitment to implement all listed projects in the FTIP in partnership with member agencies and Caltrans. Commitment is based on the assumption that funding sources/revenue remain stable and consistent.

The Technical Advisory Committee and the Management Committee forwards this item to the Commission for their review and approval after public comment, if any:

1. Authorize the Chairman to sign the resolution that certifies funding has been identified for the projects in the FFY 2018/2019 – 2023/2024 FTIP and affirms our commitment to implement all projects in the program.

Sincerely,

A handwritten signature in blue ink that reads 'Mark Baza'.

MARK BAZA  
Executive Director

MB/vm

Attachment

**CITIES OF BRAWLEY, CALEXICO, CALIPATRIA, EL CENTRO, HOLTVILLE, IMPERIAL, WESTMORLAND,  
IMPERIAL IRRIGATION DISTRICT AND COUNTY OF IMPERIAL**

**RESOLUTION NO. XXXXXX-XX**

**A RESOLUTION OF THE IMPERIAL COUNTY TRANSPORTATION COMMISSION (ICTC) WHICH CERTIFIES THAT ICTC HAS THE RESOURCES TO FUND THE PROJECTS IN THE FFY 2018/2019-2023/2024 TRANSPORTATION IMPROVEMENT PROGRAM AND AFFIRMS ITS COMMITMENT TO IMPLEMENT ALL PROJECTS IN THE PROGRAM**

**WHEREAS**, Imperial County is located within the metropolitan planning boundaries of the Southern California Association of Governments; and

**WHEREAS**, the Fixing America's Surface Transportation Act (FAST Act) requires SCAG to adopt a regional transportation improvement program for the metropolitan planning area; and

**WHEREAS**, FAST Act also requires that the regional transportation improvement program include a financial plan that demonstrates how the transportation improvement program can be implemented; and

**WHEREAS**, the ICTC is the agency responsible for short-range capital and service planning and programming for the Imperial County area within SCAG; and

**WHEREAS**, as the responsible agency for short-range transportation planning, the ICTC is responsible for the development of the Imperial County Transportation Improvement Program, including all projects utilizing federal and state highway/road and transit funds; and

**WHEREAS**, the ICTC must determine, on an annual basis, the total amount of funds that could be available for transportation projects within its boundaries; and

**WHEREAS**, the ICTC has adopted the FFY 2018/19-2023/24 Imperial County Transportation Improvement Program with funding for FFY 2018/19 and 2019/20 available and committed, and reasonably committed for FFY 2018/19 through 2023/24.

**NOW, THEREFORE, BE IT RESOLVED** by the ICTC that it affirms its continuing commitment to the projects in the FFY 2018/19-2023/24 Imperial County Transportation Improvement Program (TIP); and

**BE IT FURTHER RESOLVED**, that the FFY 2018/19-2023/24 Imperial County TIP Financial Plan identifies the resources that are available and committed in the first two years and reasonably available to carry out the program in the last four years, and certifies that:

1. Projects in the FFY 2018/19-2023/24 ICTC TIP are consistent with the proposed 2018 State Transportation Improvement Program scheduled to be approved by the California Transportation Commission in April 2018; and

2. All of the projects in the Imperial County TIP have complete funding identified in the Program.
3. ICTC has the funding capacity in its county Surface Transportation Program and Congestion Mitigation and Air Quality Program allocation to fund all of the projects in the FFY 2018/19-2023/24 Imperial County TIP; and
4. The local match for projects funded with federal STP and CMAQ program funds is identified in the TIP.
5. All the Federal Transit Administration funded projects are programmed within FAST Act Guaranteed Funding levels.

**PASSED AND ADOPTED** at a regular meeting of the Imperial County Transportation Commission held on February XX, 2018.

By: \_\_\_\_\_  
Chairman

ATTEST:

By:

\_\_\_\_\_  
CRISTI LERMA  
Secretary to the Commission



## Project Listing

2019 FTIP (FY 2018/2019 - FY 2023/2024)  
Local Highway, State Highway, Transit  
County Approved  
Cost in Thousands

ProjectID	County	Air Basin	Model	RTP ID		Program	Route	Begin	End	Signage Begin	Signage End	System	Conformity Category	Amendment	
IMP120601	Imperial	SSAB		7120003		NCR31						L	EXEMPT - 93.126	0	
Description: S. Palm Ave. Rehabilitation Project- Asphalt rehab/overlay and bicycle lane striping.															
Fund		ENG	R/W	CON	Total	Prior		2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
STP LOCAL				650	650	650									650
AGENCY				84	84	84									84
IMP120601 Total				734	734	734									734
IMP141202	Imperial	SSAB		7120004		NCR27						L	EXEMPT - 93.126	0	
Description: Construction of pedestrian improvements along 1st street from Main Street to A Street.															
Fund		ENG	R/W	CON	Total	Prior		2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
CMAQ				266	266	266									266
AGENCY				34	34	34									34
IMP141202 Total				300	300	300									300
IMP141203	Imperial	SSAB		7120004		NCN26						L	EXEMPT - 93.126	0	
Description: Bike lane striping and signage throughout the City															
Fund		ENG	R/W	CON	Total	Prior		2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
CMAQ				130	130	130									130
AGENCY				23	23	23									23
IMP141203 Total				153	153	153									153
IMP150601	Imperial	SSAB		7120004		NCR27						L	EXEMPT - 93.126	0	
Description: Sidewalk Rehabilitation on Various Streets															
Fund		ENG	R/W	CON	Total	Prior		2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
CMAQ				266	266	266									266
AGENCY				34	34	34									34
IMP150601 Total				300	300	300									300
IMP160407	Imperial	SSAB		7120001		NCR31						L	EXEMPT - 93.126	0	
Description: Paving of dirt road Wildcat Drive from S. Western Avenue to S. First Street															
Fund		ENG	R/W	CON	Total	Prior		2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
CMAQ		184		708	892	184		708							892
AGENCY		24		92	116	24		92							116
IMP160407 Total		208		800	1,008	208		800							1,008



## Project Listing

2019 FTIP (FY 2018/2019 - FY 2023/2024)  
 Local Highway, State Highway, Transit  
 County Approved  
 Cost in Thousands

ProjectID	County	Air Basin	Model	RTP ID	Program	Route	Begin	End	Signage Begin	Signage End	System	Conformity Category	Amendment	
IMP161004	Imperial	SSAB		7120001	NCR31						L	EXEMPT - 93.126	0	
Description:							PTC	109			Agency	BRAWLEY		
Asphalt rehabilitation along Rio Vista Avenue between Allen Street and Cattle Call Drive, in the City of Brawley, Imperial County.														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
2016 EARMARK REPURPOSING AGENCY				87	87		87							87
IMP161004 Total				22	22		22							22
IMP161004 Total				109	109		109							109
IMP080904	Imperial	SSAB		IMP080904	STUDY						L	EXEMPT - 93.126	0	
Description:							PTC	226			Agency	CALEXICO		
Seismic Bridge Evaluation Study														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
STP LOCAL				200	200	200								200
CITY FUNDS				26	26	26								26
IMP080904 Total				226	226	226								226
IMP090701	Imperial	SSAB		6TDL04	NCN25						L	EXEMPT - 93.126	0	
Description:							PTC	4,000			Agency	CALEXICO		
Develop Bicycle Paths and Public Park Space Adjacent to the New River, Calexico (HPP TEA-LU Project #3092)														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
DEMO-SAFETEA-LU				1,600	3,200	3,200								3,200
STATE LOCAL PARTNER				400	800	800								800
IMP090701 Total				2,000	4,000	4,000								4,000
IMP160408	Imperial	SSAB		7120001	NCR31						L	EXEMPT - 93.126	0	
Description:							PTC	466			Agency	CALEXICO		
Paving of dirt road De Las Flores Street between Eady Avenue and Kloke Avenue to include the installation of curb, gutter and sidewalks														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
CMAQ				9	412	412								412
AGENCY				2	54	54								54
IMP160408 Total				11	466	466								466
IMP150602	Imperial	SSAB		7120004	NCR27						L	EXEMPT - 93.126	0	
Description:							PTC	123			Agency	CALIPATRIA		
South International Avenue Sidewalk Improvements Phase II between South City limits to Main Street														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
CMAQ				109	109	109								109
AGENCY				14	14	14								14
IMP150602 Total				123	123	123								123



## Project Listing

2019 FTIP (FY 2018/2019 - FY 2023/2024)  
 Local Highway, State Highway, Transit  
 County Approved  
 Cost in Thousands

ProjectID	County	Air Basin	Model	RTP ID	Program	Route	Begin	End	Signage Begin	Signage End	System	Conformity Category	Amendment	
IMP160402	Imperial	SSAB		7120004	NCR31						L	EXEMPT - 93.126	0	
Description:							PTC	1,233			Agency	CALIPATRIA		
Roadway and Pedestrian improvements on North Brown from East Alamo Street to Delta Street														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
CMAQ		29	25	269	323	54	269							323
STP LOCAL		53	26	689	768	79	689							768
AGENCY		11	6	125	142	17	125							142
IMP160402 Total		93	57	1,083	1,233	150	1,083							1,233
IMP120619	Imperial	SSAB		6TDL04	NCN27						L	EXEMPT - 93.126	0	
Description:							PTC	658			Agency	EL CENTRO		
Buena Vista Ave. pedestrian improvements (new sidewalk, curb/gutter, driveways and roadway shoulder paving) from 6th to 8th Street														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
CMAQ		60		522	582	582								582
AGENCY		8		68	76	76								76
IMP120619 Total		68		590	658	658								658
IMP120627	Imperial	SSAB		6TDL04	NCN27						L	EXEMPT - 93.126	0	
Description:							PTC	548			Agency	EL CENTRO		
Euclid Ave. pedestrian improvements (new sidewalk, curb/gutter, driveways and roadway shoulder paving) from Imperial Ave. to La Brucherie														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
CMAQ		46		439	485	485								485
AGENCY		6		57	63	63								63
IMP120627 Total		52		496	548	548								548
IMP140802	Imperial	SSAB		7120004	NCR25						L	EXEMPT - 93.126	0	
Description:							PTC	797			Agency	EL CENTRO		
Pedestrian and Bicyclist Improvement Project (ATP ID 0643)														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
ACTIVE TRANSPORTATION PROGRAM - MPO		59		738	797	797								797
IMP140802 Total		59		738	797	797								797
IMP160409	Imperial	SSAB		7120001	ITS02						L	EXEMPT - 93.126	0	
Description:							PTC	351			Agency	EL CENTRO		
Interconnect existing signal lights along Dogwood Avenue and Danenberg Avenue to the El Centro's master computer to permit for synchronization														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
CMAQ		35		275	310	310								310
AGENCY		5		36	41	41								41
IMP160409 Total		40		311	351	351								351



## Project Listing

2019 FTIP (FY 2018/2019 - FY 2023/2024)  
Local Highway, State Highway, Transit  
County Approved  
Cost in Thousands

ProjectID	County	Air Basin	Model	RTP ID	Program	Route	Begin	End	Signage Begin	Signage End	System	Conformity Category	Amendment	
IMP160901	Imperial	SSAB		1161L001	CAX66						L	NON-EXEMPT	0	
Description:							PTC	5,556			Agency	EL CENTRO		
Imperial Avenue Extension South - new roadway from I-8 to McCabe Road. Phase 1 includes 4 new lanes on Imperial Avenue from I-8 to Wake Avenue; and 2 new lanes on Wake Avenue from Imperial Avenue to Cypress Drive.														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
STP LOCAL				2,676	2,676	2,023	653							2,676
AGENCY		490	200	2,190	2,880	2,680	200							2,880
IMP160901 Total		490	200	4,866	5,556	4,703	853							5,556
IMP161010	Imperial	SSAB		7120004	NCR25						L	EXEMPT - 93.126	0	
Description:							PTC	524			Agency	EL CENTRO		
Establishment of SR2S Program and Bicycle Route Improvements.														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
ACTIVE TRANSPORTATION PROGRAM - MPO		62		462	524	524								524
IMP161010 Total		62		462	524	524								524
IMP100901	Imperial	SSAB		6TDL04	NCN25						L	EXEMPT - 93.126	0	
Description:							PTC	489			Agency	HOLTVILLE		
Alamo River Recreational Trail, Phase I														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
RECREATIONAL TRAILS				430	430	430								430
REDEVELOPMENT FUNDS		53		6	59	59								59
IMP100901 Total		53		436	489	489								489
IMP120608	Imperial	SSAB		7120001	NCR31						L	EXEMPT - 93.126	0	
Description:							PTC	562			Agency	HOLTVILLE		
Walnut Avenue Improvements from Fourth Street to First Street- overlay project														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
STP LOCAL				498	498	498								498
AGENCY				64	64	64								64
IMP120608 Total				562	562	562								562
IMP150603	Imperial	SSAB		7120004	NCR27						L	EXEMPT - 93.126	0	
Description:							PTC	136			Agency	HOLTVILLE		
Cedar Avenue Sidewalk Improvements between 5th Street to 4th Street														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
CMAQ				120	120	120								120
AGENCY				16	16	16								16
IMP150603 Total				136	136	136								136



## Project Listing

2019 FTIP (FY 2018/2019 - FY 2023/2024)  
 Local Highway, State Highway, Transit  
 County Approved  
 Cost in Thousands

ProjectID	County	Air Basin	Model	RTP ID	Program	Route	Begin	End	Signage Begin	Signage End	System	Conformity Category	Amendment	
IMP160403	Imperial	SSAB		7120001	NCR31						L	EXEMPT - 93.126	0	
Description:							PTC	633			Agency	HOLTVILLE		
The undergrounding of a raw water lateral and the construction of curb, gutter, sidewalk, and full width pavements on 9th Street from Palm Avenue to Olive Avenue														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
CMAQ				127	127	127								127
STP LOCAL			217	216	433	433								433
AGENCY			28	45	73	73								73
IMP160403 Total			245	388	633	633								633
IMP160404	Imperial	SSAB		7120001	NCR31						L	EXEMPT - 93.126	0	
Description:							PTC	682			Agency	HOLTVILLE		
Sixth Street pavement improvements between Holt Avenue and Melon Avenue														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
2016 EARMARK REPURPOSING				18	18		18							18
STP LOCAL				584	584	584								584
AGENCY				80	80	75	5							80
IMP160404 Total				682	682	659	23							682
IMP160406	Imperial	SSAB		7120001	NCR31						L	EXEMPT - 93.126	0	
Description:							PTC	302			Agency	IMPERIAL CITY		
Dogwood Road pavement improvements from Aten Road Boulevard to southeast City Limits														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
STP LOCAL				267	267	267								267
AGENCY				35	35	35								35
IMP160406 Total				302	302	302								302
IMP120610	Imperial	SSAB		7120001	NCR31						L	EXEMPT - 93.126	0	
Description:							PTC	2,309			Agency	IMPERIAL COUNTY		
Aten Road Improvements from Dogwood Road to Highway 111- Road Rehabilitation/Overlay														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
STP LOCAL				1,982	1,982	1,982								1,982
AGENCY		70		257	327	327								327
IMP120610 Total		70		2,239	2,309	2,309								2,309
IMP141201	Imperial	SSAB		REG0703	NCR31						L	EXEMPT - 93.126	0	
Description:							PTC	1,204			Agency	IMPERIAL COUNTY		
Various unpaved roads overlay project														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
CMAQ		90		975	1,065	1,065								1,065



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AGENCY	12	127	139	139										139
IMP141201 Total	102	1,102	1,204	1,204										1,204

ProjectID	County	Air Basin	Model	RTP ID	Program	Route	Begin	End	Signage Begin	Signage End	System	Conformity Category	Amendment	
IMP160405	Imperial	SSAB		7120001	NCR31						L	EXEMPT - 93.126	0	
Description:							PTC	2,335			Agency	IMPERIAL COUNTY		
Dogwood Road pavement improvements between El Centro City Limits to Imperial City Limits														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
STP LOCAL				2,067	2,067	1,144	923							2,067
AGENCY				268	268	148	120							268
IMP160405 Total				2,335	2,335	1,292	1,043							2,335

ProjectID	County	Air Basin	Model	RTP ID	Program	Route	Begin	End	Signage Begin	Signage End	System	Conformity Category	Amendment	
IMP161002	Imperial	SSAB		7120001	NCR31						L	EXEMPT - 93.126	0	
Description:							PTC	1,017			Agency	IMPERIAL COUNTY		
Heber Avenue from Highway 86 to Correll Road and south of Highway 86 to Fawcett Road, Paving, Drainage ADA. Using Toll Credits as match for EARREPU funds.														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
2016 EARMARK REPURPOSING				1,017	1,017		1,017							1,017
IMP161002 Total				1,017	1,017		1,017							1,017

ProjectID	County	Air Basin	Model	RTP ID	Program	Route	Begin	End	Signage Begin	Signage End	System	Conformity Category	Amendment	
IMP161003	Imperial	SSAB		7120004	NCN25						L	EXEMPT - 93.126	0	
Description:							PTC	720			Agency	IMPERIAL COUNTY		
Conservation easement, access improvements and parking facilities at the Desert museum, Imperial County. Using Toll Credits as match for EARREPU funds.														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
2016 EARMARK REPURPOSING				720	720		720							720
IMP161003 Total				720	720		720							720

ProjectID	County	Air Basin	Model	RTP ID	Program	Route	Begin	End	Signage Begin	Signage End	System	Conformity Category	Amendment	
IMP161011	Imperial	SSAB		7120004	PLN40						L	EXEMPT - 93.126	0	
Description:							PTC	100			Agency	IMPERIAL COUNTY		
Pedestrian Master Plan.														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
ACTIVE TRANSPORTATION PROGRAM - MPO				100	100	100								100
IMP161011 Total				100	100	100								100

ProjectID	County	Air Basin	Model	RTP ID	Program	Route	Begin	End	Signage Begin	Signage End	System	Conformity Category	Amendment	
IMP170101	Imperial	SSAB		7120004	NCN27						L	EXEMPT - 93.126	0	
Description:							PTC	1,119			Agency	IMPERIAL COUNTY		
The project consist in providing improvements such as sidewalks, driveways, in-fill paving to accommodate a bike lane along Rio Vista Street from San Diego Avenue to Holt Avenue in the community of Seeley.														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
CMAQ		198		792	990	990								990



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 County Approved  
 Cost in Thousands

AGENCY	26	103	129	129										129
IMP170101 Total	224	895	1,119	1,119										1,119

ProjectID	County	Air Basin	Model	RTP ID	Program	Route	Begin	End	Signage Begin	Signage End	System	Conformity Category	Amendment
IMP170102	Imperial	SSAB		7120004	NCN27						L	EXEMPT - 93.126	0
Description: PTC 237 Agency IMPERIAL COUNTY													
The project consist in providing improvements such as sidewalks, driveways, in-fill paving to accommodate a bike lane along Rio Vista Street from Holt Avenue to Heil Avenue in the community of Seeley.													
Fund	ENG	R/W	CON	Total	Prior	2018/2019	2019/2020	2020/2021	2021/2022	2022/2023	2023/2024	Total	
CMAQ	66		143	209	66	143						209	
AGENCY	9		19	28	9	19						28	
IMP170102 Total	75		162	237	75	162						237	

ProjectID	County	Air Basin	Model	RTP ID	Program	Route	Begin	End	Signage Begin	Signage End	System	Conformity Category	Amendment
IMP171002	Imperial	SSAB		7120004	NCR29						L	EXEMPT - 93.126	0
Description: PTC 1,584 Agency IMPERIAL COUNTY													
Sidewalk Improvements on Rio Vista Street in Seeley California													
Fund	ENG	R/W	CON	Total	Prior	2018/2019	2019/2020	2020/2021	2021/2022	2022/2023	2023/2024	Total	
AGENCY	26	5	1,184	1,215	26	1,189						1,215	
ACTIVE TRANSPORTATION PROGRAM - MPO	193	35	141	369	193	176						369	
IMP171002 Total	219	40	1,325	1,584	219	1,365						1,584	

ProjectID	County	Air Basin	Model	RTP ID	Program	Route	Begin	End	Signage Begin	Signage End	System	Conformity Category	Amendment
IMPL507	Imperial	SSAB		REG0701	NCR36						L	EXEMPT - 93.126	0
Description: PTC 26,504 Agency IMPERIAL COUNTY													
Grouped Projects for Bridge Rehabilitation and Reconstruction - HBP Program (projects are consistent with 40 CFR part 93.126 exempt tables 2 categories - widening narrow pavements or reconstructing bridges (no additional travel lanes)) - 6 BRIDGES; ARAZ, GENTRY, FORRESTER RD., WINTERHAVEN DRIVE, ANZA RD., VERDE SCHOOL ROAD., and BRIDGE NO. PM00066.													
Fund	ENG	R/W	CON	Total	Prior	2018/2019	2019/2020	2020/2021	2021/2022	2022/2023	2023/2024	Total	
COUNTY			2,298	2,298	282		155	1,861				2,298	
BRIDGE - LOCAL			23,942	23,942	2,762	1,179	1,549	18,452				23,942	
LOCAL BRIDGE SEISMIC RETROFIT ACCOUNT			264	264		153		111				264	
IMPL507 Total			26,504	26,504	3,044	1,332	1,704	20,424				26,504	

ProjectID	County	Air Basin	Model	RTP ID	Program	Route	Begin	End	Signage Begin	Signage End	System	Conformity Category	Amendment
IMP1305001	Imperial	SSAB		RRC0702	NCN31						L	EXEMPT - 93.126	0
Description: PTC 895 Agency VARIOUS AGENCIES													
Eliminate hazards at railroad grade crossing at intersection of Main Street and UPRR in the City of El Centro													
Fund	ENG	R/W	CON	Total	Prior	2018/2019	2019/2020	2020/2021	2021/2022	2022/2023	2023/2024	Total	
STP RAILROAD LOCAL			895	895	895							895	
IMP1305001 Total			895	895	895							895	



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ProjectID	County	Air Basin	Model	RTP ID	Program	Route	Begin	End	Signage Begin	Signage End	System	Conformity Category	Amendment	
IMP160201	Imperial	SSAB		REG0704	NCN50						L	EXEMPT - 93.126	0	
Description:							PTC	138			Agency	VARIOUS AGENCIES		
Install 7 educational kiosks at Desert Wildlife Management Area (DWMA) access points and legal route makers at approximately 1/3 - mile intervals to distinguish the 200 miles of legal OHV routes in the DWMA. (Project number RTM-15-028)														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
RECREATIONAL TRAILS				120	120	120								120
AGENCY				18	18	18								18
IMP160201 Total				138	138	138								138
IMP160401	Imperial	SSAB		REG0703	NCR31						L	EXEMPT - 93.126	0	
Description:							PTC	12,900			Agency	VARIOUS AGENCIES		
Grouped Projects for Pavement resurfacing and/or rehabilitation: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Pavement resurfacing and/or rehabilitation														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
Federal Lands Transportation Program				12,900	12,900	12,900								12,900
IMP160401 Total				12,900	12,900	12,900								12,900
IMP161005	Imperial	SSAB		7120004	NCR30						L	EXEMPT - 93.126	0	
Description:							PTC	720			Agency	VARIOUS AGENCIES		
Parking lot paving and ADA access improvements on CA-78 in the City of Brawley, Imperial County. Using Toll Credits as match for EARREPU funds.														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
2016 EARMARK REPURPOSING		42		678	720		42	678						720
IMP161005 Total		42		678	720		42	678						720
IMP171001	Imperial	SSAB		7120004	PLN40						L	EXEMPT - 93.126	0	
Description:							PTC	224			Agency	VARIOUS AGENCIES		
Project Ride, Walk, Learn														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
ACTIVE TRANSPORTATION PROGRAM - MPO				224	224		224							224
IMP171001 Total				224	224		224							224
IMPL514	Imperial	SSAB		REG0701	NCN31						L	EXEMPT - 93.126	0	
Description:							PTC	1,425			Agency	VARIOUS AGENCIES		
Grouped projects for Railroad/highway crossing: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 categories - Railroad/highway crossing														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
RAILWAY-HIGHWAY CROSSINGS				1,425	1,425	1,425								1,425
IMPL514 Total				1,425	1,425	1,425								1,425



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ProjectID	County	Air Basin	Model	RTP ID	Program	Route	Begin	End	Signage Begin	Signage End	System	Conformity Category	Amendment	
IMP120612	Imperial	SSAB		7120001	NCR31						L	EXEMPT - 93.126	0	
Description:							PTC	372			Agency	WESTMORLAND		
North Center Street Pavement Rehabilitation From 7th Street to N. City Limits - 8th Street														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
STP LOCAL		38		291	329	329								329
AGENCY		5		38	43	43								43
IMP120612 Total		43		329	372	372								372
IMP140801	Imperial	SSAB		7120004	NCR27						L	EXEMPT - 93.126	0	
Description:							PTC	1,113			Agency	WESTMORLAND		
Improve Center Street Pedestrian Facility (ATP ID 0703)														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
AGENCY		21		107	128	128								128
ACTIVE TRANSPORTATION PROGRAM		88		897	985	985								985
IMP140801 Total		109		1,004	1,113	1,113								1,113
IMP160411	Imperial	SSAB		7120001	NCR31						L	EXEMPT - 93.126	0	
Description:							PTC	429			Agency	WESTMORLAND		
Paving of dirt roads H Street and 8th Street. Street segments are on H street from 7th Street to 8th Street; and 8th Street from H Street to I Street.														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
CMAQ		30		350	380	30	350							380
AGENCY		4		45	49	4	45							49
IMP160411 Total		34		395	429	34	395							429
IMPL513	Imperial	SSAB		REG0701	SHP03	8		10.3			S	EXEMPT - 93.126	0	
Description:							PTC	455,687			Agency	CALTRANS		
Grouped projects for pavement resurfacing and/or rehabilitation - SHOPP Roadway Preservation Program (Projects are consistent with 40 CFR Part 93.126 exempt tables 2 categories - pavement resurfacing and/or rehabilitation, emergency relief (23 USC 125), widening narrow pavements or reconstructing bridges (no additional travel lanes)) 100% SHOPP Advance Construction (AC) (federal funds using Toll														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
SHOPP - ADVANCE CONSTRUCTION				455,687	455,687	453,070		2,617						455,687
IMPL513 Total				455,687	455,687	453,070		2,617						455,687
0515	Imperial	SSAB		6120002	CARH3	8	36.5	37.5			S	NON-EXEMPT	0	
Description:							PTC	39,098			Agency	CALTRANS		
Reconstruct I-8 interchange at Imperial Ave.: from a two-lane to a four-lane diamond type overcrossing, realign and reconstruct on and off-ramps, and provide access to Imperial Ave. south of I-8 (Demo ID 621 - HPP 2861). Project using toll credits to match Demo funds.														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
DEMO-SAFETEA-LU			1,258		1,258	1,258								1,258





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ProjectID	County	Air Basin	Model	RTP ID	Program	Route	Begin	End	Signage Begin	Signage End	System	Conformity Category	Amendment	
IMP0523a	Imperial	SSAB		6M04018	CAN76	999					S	NON-EXEMPT	0	
Description:							PTC	27,499			Agency	CALTRANS		
In EI Centro on Dogwood Rd. Reconstruct and Widen Bridge from 2 to 4 lanes; with 2 turn lanes (Demo ID 409 - HPP 950)														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
DEMO-SAFETEA-LU				1,700	1,700	1,700								1,700
DEVELOPER FEES			4,500		4,500	4,500								4,500
STIP ADVANCE CON-RIP		4,600		16,699	21,299	21,299								21,299
IMP0523a Total		4,600	4,500	18,399	27,499	27,499								27,499
IMP140804	Imperial	SSAB		6M04018	NCN46	999					S	EXEMPT - 93.126	0	
Description:							PTC	3,694			Agency	CALTRANS		
I-8/Dogwood Interchange Landscape mitigation. In EI Centro east of Dogwood Road overcrossing revised interchange.														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
STIP ADVANCE CON-RIP		800	9	2,885	3,694	3,694								3,694
IMP140804 Total		800	9	2,885	3,694	3,694								3,694
IMPL511	Imperial	SSAB		REG0701	NCR31	999					S	EXEMPT - 93.126	0	
Description:							PTC	29,996			Agency	CALTRANS		
Grouped projects for pavement resurfacing and/or rehabilitation on the State Highway System - Highway Maintenance. Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and 3 categories.														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
NATIONAL HWY SYSTEM		660	8	10,070	10,738	10,738								10,738
SURFACE TRANSPORTATION PROGRAM - HM		1,275	13	17,970	19,258	19,258								19,258
IMPL511 Total		1,935	21	28,040	29,996	29,996								29,996
IMPL512	Imperial	SSAB		REG0701	SHP04	999					S	EXEMPT - 93.126	0	
Description:							PTC	1,300			Agency	CALTRANS		
Grouped projects for safety improvements, shoulder improvements, pavement resurfacing and/or rehabilitation - Minor Program. Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and 3 categories.														
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020		2020/2021	2021/2022	2022/2023	2023/2024	Total
SHOPP ADVANCE CONSTRUCTION (AC) - CT MINOR				1,262	1,262	1,262								1,262
IMPL512 Total				1,262	1,262	1,262								1,262



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IMP100101	Imperial	SSAB		6OM0701	PLN40	999					S	EXEMPT - 93.126	0
Description: PTC 2,419 Agency IMPERIAL COUNTY TRANSPORTATION COMMISSION (ICTC)													
Planning, Programming, and Monitoring (PPM) funds to pay for eligible staff and program expenses for ICTC													
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020	2020/2021	2021/2022	2022/2023	2023/2024	Total
STIP ADVANCE CON-RIP				2,419	2,419	2,119		300					2,419
IMP100101 Total				2,419	2,419	2,119		300					2,419
IMP140805	Imperial	SSAB		6OM0701	PLN40	999					S	EXEMPT - 93.126	0
Description: PTC 29 Agency VARIOUS AGENCIES													
Imperial Dunes Trail Map													
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020	2020/2021	2021/2022	2022/2023	2023/2024	Total
RECREATIONAL TRAILS				25	25	25							25
AGENCY				4	4	4							4
IMP140805 Total				29	29	29							29
IMP140204	Imperial	SSAB		IMP33000	TRRH6						T	EXEMPT - 93.126	0
Description: PTC 1,153 Agency BRAWLEY													
ADA Access and bus stop improvement capital improvement plan for stops on the Imperial Valley													
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020	2020/2021	2021/2022	2022/2023	2023/2024	Total
5311 - NONURBANIZED AREA FORMULA PROGRAM				1,026	1,026	1,026							1,026
TDA				127	127	127							127
IMP140204 Total				1,153	1,153	1,153							1,153
IMP33004	Imperial	SSAB		IMP33004	PAO00						T	EXEMPT - 93.126	0
Description: PTC 3,439 Agency BRAWLEY													
BRAWLEY DIAL-A-RIDE - OPERATING ASSISTANCE													
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020	2020/2021	2021/2022	2022/2023	2023/2024	Total
AGENCY				180	180	180							180
FARE REVENUE				347	347	347							347
LOCAL TRANS FUNDS				2,912	2,912	2,912							2,912
IMP33004 Total				3,439	3,439	3,439							3,439
IMP33021	Imperial	SSAB		IMP33021	PAO00						T	EXEMPT - 93.126	0
Description: PTC 5,530 Agency CALEXICO													
CALEXICO DIAL-A-RIDE OPERATING ASSISTANCE													
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020	2020/2021	2021/2022	2022/2023	2023/2024	Total
AGENCY				180	180	180							180
FARE REVENUE				538	538	538							538
LOCAL TRANS FUNDS				4,812	4,812	4,812							4,812
IMP33021 Total				5,530	5,530	5,530							5,530



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ProjectID	County	Air Basin	Model	RTP ID		Program					System	Conformity Category	Amendment
IMP140803	Imperial	SSAB		IMP33000		NCR27					T	EXEMPT - 93.126	0
Description: Heber Bus Stop and Pedestrian Access Improvement Project at SR-86													
		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020	2020/2021	2021/2022	2022/2023	2023/2024	Total
AGENCY		110	51	546	707	707							707
TDA		15	7	71	93	93							93
IMP140803 Total		125	58	617	800	800							800
IMP990401	Imperial	SSAB		IMP990401		PAO00					T	EXEMPT - 93.126	0
Description: EL CENTRO DIAL-A-RIDE OPERATING ASSISTANCE													
		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020	2020/2021	2021/2022	2022/2023	2023/2024	Total
AGENCY				180	180	180							180
FARE REVENUE				554	554	554							554
LOCAL TRANS FUNDS				3,646	3,646	3,646							3,646
IMP990401 Total				4,380	4,380	4,380							4,380
IMP111101	Imperial	SSAB		6TDL04		TRNH6					T	EXEMPT - 93.127	0
Description: Transit Transfer Terminal in the City of Imperial (Carryover from prior, FY11/12, \$974, 5309c)													
		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020	2020/2021	2021/2022	2022/2023	2023/2024	Total
FTA 5309(c) BUS		300	400	274	974	700	274						974
PUBLIC TRANS MODERINAZATION IMP AND SERV. ENHANCEMENT ACCT.				243	243		243						243
IMP111101 Total		300	400	517	1,217	700	517						1,217
IMP33006	Imperial	SSAB		IMP33006		BUO00					T	EXEMPT - 93.126	0
Description: CITY OF IMPERIAL DIAL-A-RIDE - OPERATING ASSISTANCE													
		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020	2020/2021	2021/2022	2022/2023	2023/2024	Total
AGENCY				180	180	180							180
FARE REVENUE				240	240	240							240
LOCAL TRANS FUNDS				1,625	1,625	1,625							1,625
IMP33006 Total				2,045	2,045	2,045							2,045
IMP1301004	Imperial	SSAB		IMP33000		BUO00					T	EXEMPT - 93.126	0
Description: County Wide Transit System - IVT Gold Line - Capital and Operational Assistance													
		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020	2020/2021	2021/2022	2022/2023	2023/2024	Total
CMAQ				282	282	282							282
5311 - NONURBANIZED AREA FORMULA PROGRAM				170	170	170							170
AGENCY				55	55	55							55



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FARE REVENUE				13	13	13									13
LOCAL TRANS FUNDS				130	130	130									130
<b>IMP1301004 Total</b>				<b>650</b>	<b>650</b>	<b>650</b>									<b>650</b>

ProjectID	County	Air Basin	Model	RTP ID		Program					System	Conformity Category	Amendment
IMP150301	Imperial	SSAB		IMP33000		ADM83					T	EXEMPT - 93.126	0
Description:							PTC	180			Agency	IMPERIAL COUNTY TRANSPORTATION COMMISSION (ICTC)	
Hiring of a mobility manager (5310 from FFY13/14)													
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020	2020/2021	2021/2022	2022/2023	2023/2024	Total
5310 FTA 5310 ELD AND DISABI					144	144							144
TDA					36	36							36
<b>IMP150301 Total</b>					<b>180</b>	<b>180</b>							<b>180</b>

ProjectID	County	Air Basin	Model	RTP ID		Program					System	Conformity Category	Amendment
IMP160410	Imperial	SSAB		6120006		PLN40					T	EXEMPT - 93.126	0
Description:							PTC	10,064			Agency	IMPERIAL COUNTY TRANSPORTATION COMMISSION (ICTC)	
New Intermodal Transportation Center in the City of Calexico													
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020	2020/2021	2021/2022	2022/2023	2023/2024	Total
CMAQ					495	495							495
AGENCY					64	64							64
<b>IMP160410 Total</b>					<b>559</b>	<b>559</b>							<b>559</b>

ProjectID	County	Air Basin	Model	RTP ID		Program					System	Conformity Category	Amendment
IMP171101	Imperial	SSAB		IMP33000		ADM83					T	EXEMPT - 93.126	0
Description:							PTC	353			Agency	IMPERIAL COUNTY TRANSPORTATION COMMISSION (ICTC)	
Regional Mobility Management Program.													
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020	2020/2021	2021/2022	2022/2023	2023/2024	Total
5310 FTA 5310 ELD AND DISABI					282	282	94	94					282
LOCAL TRANS FUNDS					71	71	23	24					71
<b>IMP171101 Total</b>					<b>353</b>	<b>353</b>	<b>117</b>	<b>118</b>					<b>353</b>

ProjectID	County	Air Basin	Model	RTP ID		Program					System	Conformity Category	Amendment
IMP33000	Imperial	SSAB		IMP33000		BUO00					T	EXEMPT - 93.126	0
Description:							PTC	67,724			Agency	IMPERIAL COUNTY TRANSPORTATION COMMISSION (ICTC)	
COUNTY WIDE TRANSIT SYSTEM - OPERATING and CAPITAL ASSISTANCE													
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020	2020/2021	2021/2022	2022/2023	2023/2024	Total
5307ECC 5307 EL CENTRO-CALEXICO URBANIZED AREA					23,575	23,575							23,575
5311 - NONURBANIZED AREA FORMULA PROGRAM					4,543	4,543							4,543
FTA 5317 NEW FREEDOM PROGRAM					100	100							100
FARE REVENUE					6,614	6,614							6,614
LOCAL TRANS FUNDS					27,757	27,757							27,757
PUBLIC TRANS MODERINAZATION IMP AND SERV. ENHANCEMENT ACCT.					5,135	5,135							5,135
<b>IMP33000 Total</b>					<b>67,724</b>	<b>67,724</b>							<b>67,724</b>



## Project Listing

2019 FTIP (FY 2018/2019 - FY 2023/2024)  
 Local Highway, State Highway, Transit  
 County Approved  
 Cost in Thousands

ProjectID	County	Air Basin	Model	RTP ID			Program				System	Conformity Category	Amendment
IMP33023	Imperial	SSAB		IMP33023			BUO00				T	EXEMPT - 93.126	0
Description:								PTC	5,528		Agency	IMPERIAL COUNTY TRANSPORTATION COMMISSION (ICTC)	
IVT MedTrans													
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020	2020/2021	2021/2022	2022/2023	2023/2024	Total
5307ECC 5307 EL CENTRO-CALEXICO URBANIZED AREA FARE REVENUE				1,315	1,315	261	262	263	264	265			1,315
LOCAL TRANS FUNDS				895	895	599	71	73	75	77			895
IMP33023 Total				3,318	3,318	2,261	263	264	265	265			3,318
				5,528	5,528	3,121	596	600	604	607			5,528
IMP43000	Imperial	SSAB		IMP43000			BUO00				T	EXEMPT - 93.126	0
Description:								PTC	1,629		Agency	IMPERIAL COUNTY TRANSPORTATION COMMISSION (ICTC)	
WEST SHORES DIAL-A-RIDE OPERATIONAL ASSISTANCE													
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020	2020/2021	2021/2022	2022/2023	2023/2024	Total
AGENCY				480	480	480							480
FARE REVENUE				137	137	137							137
LOCAL TRANS FUNDS				1,012	1,012	1,012							1,012
IMP43000 Total				1,629	1,629	1,629							1,629
IMP150302	Imperial	SSAB		IMP33000			PAR16				T	EXEMPT - 93.126	0
Description:								PTC	184		Agency	VARIOUS AGENCIES	
2 Replacement Buses, Type VII. Toll Credits used as match for 5310 funds: \$31 in FY14/15 for CON													
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020	2020/2021	2021/2022	2022/2023	2023/2024	Total
5310 FTA 5310 ELD AND DISABI				153	153	153							153
IMP150302 Total				153	153	153							153
IMP150303	Imperial	SSAB		IMP33000			PAR16				T	EXEMPT - 93.126	0
Description:								PTC	178		Agency	VARIOUS AGENCIES	
1 Replacement buses, Type III and equipment purchase. Toll Credits used as match for 5310 funds: \$30 in FY14/15 for CON													
Fund		ENG	R/W	CON	Total	Prior	2018/2019	2019/2020	2020/2021	2021/2022	2022/2023	2023/2024	Total
5310 FTA 5310 ELD AND DISABI				148	148	148							148
IMP150303 Total				148	148	148							148
Grand Total		18,832	14,748	714,906	748,486	679,023	10,699	37,129	21,028	607			748,486

# VI. ACTION CALENDAR

- B. PROFESSIONAL MAINTENANCE AUDIT REPORTING SERVICES OF THE ICTC TRANSIT OPERATIONS—  
IVT MAINTENANCE AUDIT FINDINGS REPORT



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FAX: (760) 592-4410

February 22, 2018

Luis Plancarte, Chairperson  
Imperial County Transportation Commission  
1503 N. Imperial Avenue, Suite 104  
El Centro, Ca. 92243

**SUBJECT: Professional Maintenance Audit Reporting Services of the ICTC Transit Operations – IVT Maintenance Audit Findings Report**

Dear Commission Members:

In May 2017, the Commission awarded a 3 year contract to Transit Resource Center (TRC) Engineering Services to complete annual maintenance audits on all of ICTC's revenue and non-revenue fleet (60 combined vehicles). ICTC staff had previously recommend that the Commission consider this project, due to the time and specialized knowledge required in order to provide sufficient administrative oversight of the fleet maintenance for the transit contracts. It was anticipated that there might be observations and recommendations for changes for both ICTC and the transit contractor.

The agreement between ICTC and TRC required the consultant to complete a number of services including: a comprehensive fleet inspection including engine components and vehicle interior and exterior; review of safety procedures and policies; reviews of the transit contractor's preventative maintenance records; maintenance shop operations and facility adequacy; fluid samples and laboratory analysis on an annual basis.

TRC also completed a review of the existing contractual agreements between ICTC and the transit contractor (First Transit) to determine that contract language is in place to hold the operator accountable, that contractual definitions of maintenance terms are consistent with industry practices and understood by ICTC and the First Transit staff, that pricing is in line with industry practices for parts and maintenance services and that contractor maintenance staffing requirements are sufficient to ensure proper and efficient turnaround for the maintenance of the vehicles.

TRC completed the documentation review, comprehensive fleet inspection, fluid sample and laboratory analysis in October 2017 (A copy of the report and support documentation is included in the packet). TRC proceeded to prepare a comprehensive report noting the inspection findings, laboratory results, contract review summary, facility review summary and recommendations. A summary of Findings and Recommendations noted within the report is as follows:

**CITIES OF BRAWLEY, CALEXICO, CALIPATRIA, EL CENTRO, HOLTVILLE, IMPERIAL, WESTMORLAND,  
IMPERIAL IRRIGATION DISTRICT AND COUNTY OF IMPERIAL**

### **Findings**

1. The inspection found a total of 216 physical defects. Of the 216 total defects, 96 were considered Class A (safety related) and 120 were considered Class B (non-safety related). Safety related defects (Class A) included such items as missing reflectors and decals, rock chipped windshields, lighting issues, low tire tread, wheelchair ramp issues and similar items. Non-safety related defects (Class B) included such items as cracked motor mounts, deteriorated decals, missing antennas, minor oil leaks, missing sun shades and camera adjustments.
2. Mileage between the last three scheduled PMIs was calculated to determine that PMI's were completed in accordance with vehicle specifications.
3. Due to height restrictions within the building, the single operating set of lifts is not able to lift 40ft buses more than 4 feet. This presents a hazard and makes working on the underside of the bus very difficult.
4. The maintenance facility includes three bays, but only one bay is fully usable. The other bays are either partially or fully blocked with spare parts and toolboxes. A single operating bay to maintain 60 vehicles is inadequate.
5. TRC found no OSHA or safety violations during the inspections. No actual repairs were witnessed to determine if mechanics use the proper personal protective equipment when necessary.
6. TRC reviewed the maintenance language within the contract with ICTC and found that:
  - a. The contract provides ICTC with sufficient oversight tools to hold First Transit accountable. TRC indicates that ICTC is not actually using these contractual provisions with sufficient frequency.
  - b. The staffing requirement outlined in the contract is insufficient to ensure that an adequate number of fully trained mechanics are available to service buses.
7. The report noted that there were minor issues pertaining to fluid sampling which were caused by higher water concentrations in antifreeze mixture and various oil system leaks.

### **Recommendations**

1. Parts storage and its impact on service bay availability must be reviewed by ICTC. An alternate part storage area must be discussed with First Transit.
2. ICTC must verify that First Transit is properly conducting fluid sampling and that it has procedures in place to follow in the event of abnormal results. ICTC must review First Transit's procedure for topping off coolant during service.
3. TRC recommends that the defects found in the Accessibility Features category section of the spreadsheet be reviewed closely and that these items be addressed and reviewed during normal PMI work.
4. TRC recommends that all drivers and maintenance personnel be instructed on tire wear limits to ensure proper tire treads are used on the fleet.
5. It was recommended that ICTC consider additional auditing functions. The existing agreement provides that one audit take place on an annual basis. Request for additional audits would result in an increased expense and change to the existing agreement.

\*The list of all findings and recommendations can be found within the contents of the Vehicle Maintenance Audit Report.

Upon receipt of the Audit Findings at the end of November 2017, ICTC staff met with the transit contractor's First Transit maintenance and management staff. A series of meetings was held to review the findings, and prepare a plan of action to remedy the various items noted in the Audit Findings. First Transit was very responsive and immediately prepared a plan of action to remedy the corrective items noted in the Audit Findings with safety being the first priority. First Transit has since worked diligently to complete the repair of all items noted within the Audit Findings.

ICTC Staff met with the First Transit every two (2) weeks since the receipt of the Audit Findings to monitor the status of the completion of required repairs to the transit fleet. At the beginning of February 2018, First Transit had completed the majority of the required repairs and the remaining repairs were awaiting the arrival of parts. None of the remaining repairs have safety impacts.

First Transit also prepared a response to the Maintenance Audit by issuing letter correspondence (included in the packet) noting various methods at which they intend to proactively eliminate such a substantial list of repair items from occurring in the future. First Transit's noted adjustments include but are not limited to; taking oil and coolant fluid samples during PMI inspections and transmission fluid samples every 48,000 miles, putting a stronger emphasis on repairs during PMI work, added emphasis towards motor mount inspections and will address tire tread limits and initiate stricter controls for tire tread with staff.

The report also recommended increasing the inspection services beyond on an annual basis. This would increase the annual expense for this project. ICTC staff has observed an increase in the level of attention to maintenance responsibilities and does not recommend an increase in the inspection schedule at this time.

ICTC Management Committee met on February 14, 2018 and has forwarded this item to the ICTC Commission for review and approval, after the receipt of public comment.

1. Accept/Approve the 2017 IVT Maintenance Audit Report dated December 2017.

Sincerely,



MARK BAZA  
Executive Director

MB/ksw/cl



## **VEHICLE MAINTENANCE AUDIT**

**Prepared by**

**Transit Resource Center (TRC)**

**December 2017**

**IMPERIAL COUNTY TRANSPORTATION COMMISSION  
VEHICLE MAINTENANCE AUDIT  
FIFTY-EIGHT (58) VEHICLES  
Conducted October 25 - 29, 2017**

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**IMPERIAL COUNTY TRANSPORTATION COMMISSION  
VEHICLE MAINTENANCE AUDIT  
FIFTY-EIGHT (58) VEHICLES  
Conducted October 25 - 29, 2017**

**EXECUTIVE SUMMARY**

TRC Engineering Services was contracted by Imperial County Transportation Commission (ICTC) to conduct annual fleet maintenance audits for ICTC over the next three years to ensure that its contractor, First Transit, is maintaining the vehicles owned by ICTC in accordance with its contract provisions. The first of the three annual fleet maintenance audits was conducted on October 25 - 29, 2017. The results of this audit will serve as the baseline to inform ICTC if First Transit's maintenance performance is remaining the same, deteriorating, or improving over time. Sixty (60) vehicles were scheduled for inspection and maintenance record reviews, however, two vehicles (units 1201 and 1216) were down and not available for inspection due to maintenance issues and repairs. Unit 1216 was off site for engine repairs at a local Cummins shop, and Unit 1201 was on site but its systems were not operational due to engine issues. The cause of the engine issues is unknown at this time.

The results of this audit showed:

- The total number of defects found during this audit was 216, or 3.72 average defects per vehicle. This is the first inspection, so no trend can be presented at this time. The Summary of Defects by Category table can be found on Page 9.
- A total of ninety-six (96) Class "A" defects were found during this audit, or 1.66 average Class "A" defects per vehicle. A Class "A" defect is a safety-related defect that requires immediate repair and keeps the vehicle from returning to revenue service until the defect is corrected. Class "A" defects were found on forty-eight (48) of the fifty-eight (58) vehicles inspected. TRC informed First Transit staff that all Class "A" defects discovered during this audit needed to be repaired immediately before the buses could be allowed back into revenue service. TRC did not witness any repairs conducted during the inspection timeframe.
- Included in the audit were four (4) MV1 vehicles. These units, although new, had defects which needed immediate attention for repairs. Although these vehicles are not revenue vehicles, they are used in support of other ICTC services which require the same level of safety and maintenance. These units (S3, S4, S5, and S6) accounted for four (4) of the 96 Class "A" defects discovered. These four (4) Class "A" defects must be corrected before the vehicles are used in any service work. These units should still be under full warranty and all Class "A" defects should be repaired under warranty.
- Mileage between the last three scheduled PMIs was calculated to determine if the inspections and oil changes were performed on time (within 10% or 600 miles of the scheduled 6,000 mile interval on the full-size fixed-route buses and within 10% or 300 miles of the scheduled 3,000 mile interval on the paratransit vehicles) or if they were late. TRC Engineering Services found that

the work was performed within the mileage and time requirements for all vehicles. The overall condition and appearance of the fleet was found to be good. Vehicles were generally clean, with no significant signs of abuse or damage.

- The shop area includes three bays, but only one bay is fully usable. The other bays are either partially or fully blocked with spare parts and toolboxes. A single operating bay to maintain 60 vehicles is inadequate.
- Due to height restrictions within the building, the single operating set of lifts is not able to lift 40ft buses more than 4 feet. This presents a hazard and makes working on the underside of the bus very difficult.
- TRC found no OSHA or safety violations during our inspections. No actual repairs were witnessed to determine if mechanics use the proper personal protective equipment when necessary.
- In the review of the spare parts storage area, TRC found that First Transit appeared to have a normal supply of spare parts. This included spare parts for maintenance (e.g. filters) that were in stock for all bus models. TRC also found that the spare parts storage area took a much-needed service bay away from being fully usable for repair activities.
- TRC reviewed the maintenance contract and found that:
  - The contract provides ICTC with sufficient oversight tools to hold First Transit accountable. TRC suspects that ICTC is not actually using these contractual provisions with sufficient frequency.
  - The staffing requirement outlined in the contract is insufficient to ensure that an adequate number of fully trained mechanics are available to service buses.
  - The contract has many reporting requirements. It is unclear if all reports are filed on time and are being interpreted and used by ICTC.
- It should be noted that during our inspections:
  - First Transit management and staff were cooperative and prepared in providing a constant supply of vehicles for TRC Engineering Services to inspect, thus, ensuring that the audit inspections were efficiently carried out;
  - PMI records were well organized and easy to locate;
  - Work areas were clean and well maintained.

Detailed findings are presented throughout this report and the attached electronic file. The tables are based on data contained in Excel spreadsheets included in the flash drive provided as Appendix A to this report. A summary of recommendations is provided at the end of this report.

## Summary of Recommendations

Based on TRC's observations during our first annual audit, the following actions are recommended. Greater detail is included in the body of the report.

- ICTC must continue to receive and review PMI results from First Transit. This report provides ICTC the first evidence of declining maintenance.
- TRC recommends that ICTC review the current audit cycle and consider more frequent onsite audits as well as, random inspections.
- ICTC must establish stronger oversight of Class "A" defects and their repair.
- Based on the number of Class "A" defects, TRC recommends a review of First Transit's policies to ensure that there is zero tolerance for allowing buses to enter service with known safety defects.
- Parts storage and its impact on service bay availability must be reviewed by ICTC. Alternate part storage area must be discussed with First Transit.
- ICTC must review working conditions and their impact on worker safety and maintenance capability, in particular with respect to lifting of buses.
- ICTC must verify that First Transit is properly conducting fluid sampling and that it has procedures in place to follow in the event of abnormal results.
- ICTC must review First Transit's procedure for topping off coolant during service.
- TRC recommends stronger control of fueling operations.
- TRC recommends that the defects found in the Accessibility Features category section of the spreadsheet be reviewed closely and that these items be addressed and reviewed during normal PMI work.
- TRC recommends that maintenance staff review all the motor mounts in the paratransit fleet.
- TRC recommends that the maintenance staff review all check engine indicator light defects.
- TRC recommends that all safety systems be reviewed and repaired during PMI operations. Many of these defects can be easily repaired.
- TRC recommends that all drivers and maintenance personnel be instructed on tire wear limits to ensure proper tire treads are used on the fleet.
- TRC recommends that Interior Condition defects be reviewed by maintenance personnel and that these items be included in PMI inspections.

# Audit Report

## BACKGROUND

Imperial County Transportation Commission (ICTC) contracted TRC Engineering Services (TRC) to audit the maintenance performance of its operator, First Transit. ICTC is responsible for ensuring that its assets are properly maintained and public funds are properly used. The purpose of this initial audit is to measure the performance of the contractor conducting vehicle maintenance and determine if additional oversight is required. Audits will be conducted annually to identify trends in performance.

TRC Engineering Services conducted the first of a series of three annual fleet maintenance audits for ICTC on October 25 – 29, 2017. The audit consisted of a fleet inspection and maintenance record review of fifty-eight (58) vehicles. Two (2) vehicles were unable to be inspected due to outside vendor work being performed and major engine work being done in house at the time of inspections.

## VEHICLES INSPECTED

Table 1 identifies the fifty-eight (58) vehicles that received a physical inspection.

<b>Table 1 Vehicles Inspected</b>		
<b>PHYSICAL INSPECTION</b>	<b>MODEL YEAR</b>	<b>VEHICLE MAKE</b>
S3	2016	AM General
S4	2016	AM General
S5	2016	AM General
S6	2016	AM General
132	2014	Ford E-450
133	2014	Ford E-450
134	2014	Ford E-450
135	2014	Ford E-450
136	2014	Ford E-450
137	2014	Ford E-450
138	2014	Ford E-450
139	2014	Ford E-450
140	2014	Ford E-450
141	2016	Ford E-450
142	2016	Ford E-450
143	2016	Ford E-450
144	2016	Ford E-450
145	2016	Ford E-450
500	2016	Ford E-450
501	2016	Ford E-450
502	2016	Ford E-450
503	2016	Ford E-450
504	2016	Ford E-450
1100	2015	Ford E-450
1101	2015	Ford E-450
1102	2015	Ford E-450

<b>Table 1 Vehicles Inspected</b>		
1103	2015	Ford E-450
1104	2015	Ford E-450
1105	2015	Ford E-450
1202	2012	Gillig
1203	2012	Gillig
1204	2012	Gillig
1205	2012	Gillig
1206	2012	Gillig
1207	2012	Gillig
1208	2012	Gillig
1209	2012	Gillig
1210	2012	Gillig
1211	2015	Gillig
1212	2015	Gillig
1213	2015	Gillig
1214	2015	Gillig
1215	2015	Gillig
1300	2016	Ford E-450
1301	2016	Ford E-450
1302	2016	Ford E-450
1303	2016	Ford E-450
1304	2016	Ford E-450
1305	2016	Ford E-450
1306	2016	Ford E-450
1307	2016	Ford E-450
1308	2016	Ford E-450
1309	2016	Ford E-450
1310	2016	Ford E-450
1400	2016	Ford E-450
1401	2016	Ford E-450
1402	2016	Ford E-450
1403	2015	Ford E-450

Note: vehicles 1201 and 1216 undergoing engine repair and not inspected

## **EVALUATION CRITERIA & METHODOLOGY**

TRC Engineering Services assigned a team of three (3) inspectors and a project manager to perform the maintenance audit and physically inspect the vehicles. The inspection team members were Vim Villapana, Sean Burr, and Greg Dowell (see attached resumes in Appendix D). Mr. Villapana served as the on-site supervisor and recorded the defects identified by the inspection team. Mr. Denman served as Project Manager who organized the overall inspection process and prepared the final report.

The material which follows describes the evaluation criteria and methodology used by TRC Engineering Services to conduct the fleet inspection and the records review audit.

### **Fleet Inspection**

The fleet was physically inspected by three (3) TRC inspectors (Vim Villapana, Sean Burr, and Greg Dowell). This work included functional testing of all bus systems such as windshield wipers and washers, door operation, heating and air conditioning systems, lighting, wheelchair lifts, etc. TRC also had the buses lifted to review the underbody systems such as brake components, suspension components, steering components, tires, etc. The inspection also included engine compartment components such as batteries, belts, motor mounts, and fluid systems. Lastly, fluid samples were drawn and sent to an independent laboratory for analysis. During these inspections, all defects were categorized and recorded for each individual bus.

Defects documented during the inspections were classified under 18 functional categories:

- 1) Accessibility Features
- 2) Air System/Brake System
- 3) Climate Control
- 4) Destination Signs
- 5) Differential
- 6) Driver's Controls
- 7) Electrical System
- 8) Engine Compartment
- 9) Exhaust
- 10) Exterior Body Condition
- 11) Interior Condition
- 12) Lights
- 13) Passenger Controls
- 14) Safety Equipment
- 15) Structure/Chassis/Fuel Tank
- 16) Suspension/Steering
- 17) Tires
- 18) Transmission

An "A/B" designation system was used to distinguish defects requiring immediate repair from those that could be repaired at a later time.

**Class A** – Indicates a safety-related defect that requires immediate repair and keeps the vehicle from returning to revenue service until the defect is corrected.

**Class B** – Indicates a non-safety critical defect that requires attention during the next scheduled preventive maintenance service interval.

Class "A" safety defects were discussed and agreed upon between ICTC and the TRC Engineering Services inspectors prior to the inspections. A list of the Class "A" defects regarded as being safety related for this audit is attached as Appendix B. These defects are based on Federal Motor Carrier Safety Administration regulations included in CFR 49 B III B 393, as well as California regulations CCR Title 13 2 6.5-3. During the inspection, TRC Engineering Services provided First Transit staff with copies of the defect lists for use in scheduling repairs. The TRC Engineering Services inspectors also verified operation of certain controls to ensure that defects were legitimate ones and not the result of the inspectors being unfamiliar with specific equipment.

## **Records Audit**

The records examination set out to determine if:

- Preventive maintenance (PM) had been performed correctly and at prescribed intervals;
- Repairs had been performed properly and made promptly.

### PM Intervals

To determine if preventive maintenance inspections (PMIs) were performed correctly and on time, TRC Engineering Services examined the PMI records of the fifty-eight (58) vehicles. Mileage between the last three scheduled PMIs was calculated to determine if the inspections were performed on time (within 10% or 600 miles of the scheduled 6,000 mile interval on the full-size fixed-route buses and within 10% or 300 miles of the scheduled 3,000 mile interval on the paratransit vehicles) or if they were late.

### Repairs

To determine if repairs were performed properly and made promptly, two audit procedures were used:

- PMI sheets going back to the previous three PMIs were selected and examined for each of the fifty-eight (58) vehicles to determine if and when defects defined during the PMI process were repaired. TRC Engineering Services also reviewed Driver's Vehicle Inspection (DVI) reports to determine if defects found by drivers during pre-trip inspections were addressed and, if needed, repaired. Defects from the previous three PMIs were then compared to determine if any defects were repeated from one PMI to the next.

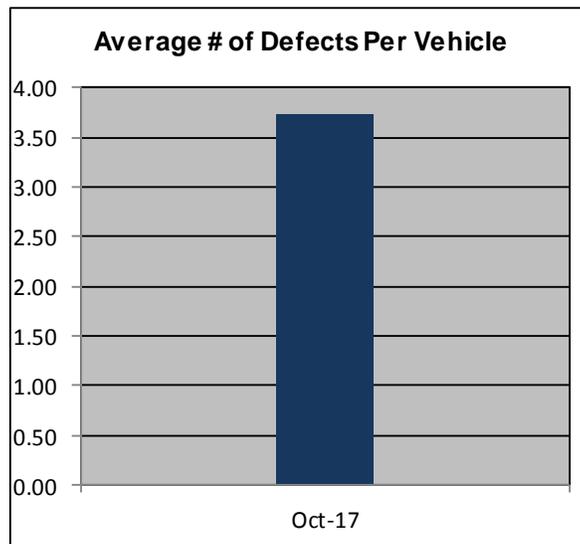
From this comparison, TRC Engineering Services can determine if the defects were repaired or if they were simply noted on subsequent inspections.

## **FINDINGS**

### **Overall Fleet Condition**

The total number of defects identified by TRC Engineering Services during this inspection was 216. This was an average of 3.72 defects per vehicle. Since this is the first inspection conducted by TRC on ICTC vehicles, it is not possible to determine if defects are increasing or decreasing.

TRC's experience with other operators suggests that the total number of defects is not unusual for an operation of this size and duty cycle. However, TRC believes that Class "A" level defects are higher compared to peer agencies. TRC believes that buses are being operated with Class "A" defects which may pose an increased risk to ICTC. This could indicate that either First Transit is not finding these defects during their inspections, or that there is a culture of complacency by First Transit that permits operating buses with known defects.



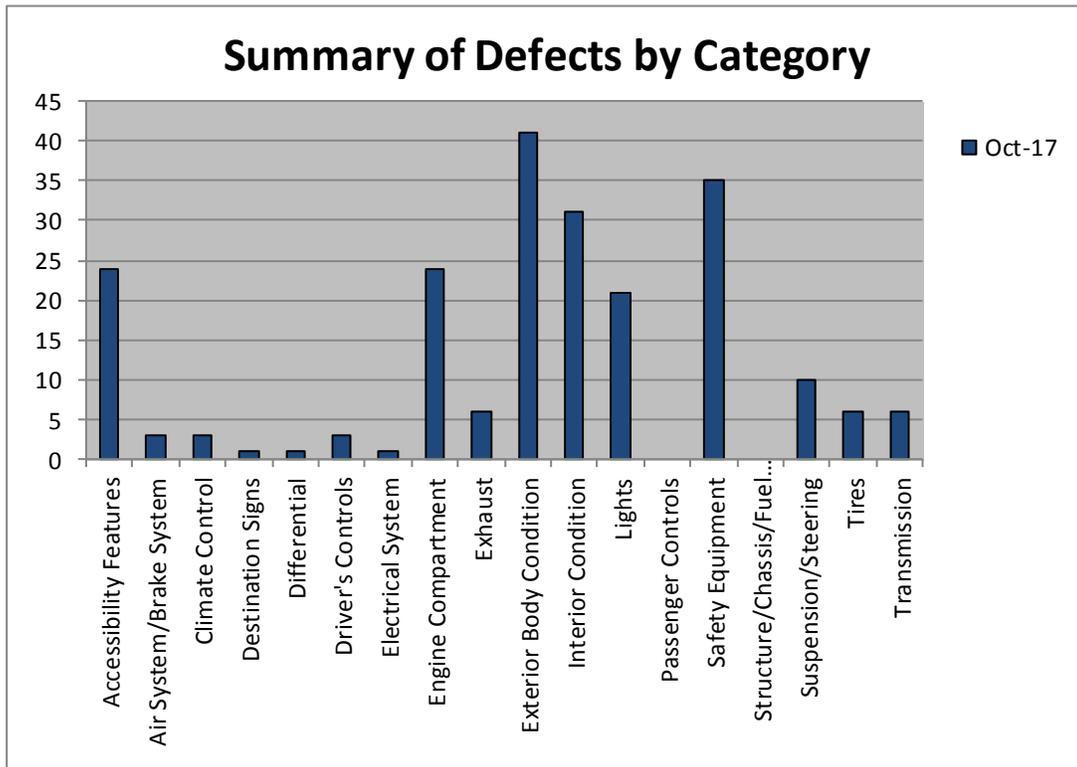
### **Defects Findings**

Defects were found in the Accessibility Features, Air System/Brake System, Climate Control, Destination Signs, Differential, Driver's Controls, Electrical System, Engine Compartment, Exhaust, Exterior Body Condition, Interior Condition, Lights, Safety Equipment, Suspension/Steering, Tires, and Transmission categories. The Exterior Body Condition category showed the most defects during this audit with a total of forty-one (41) defects. Most of these defects were minor body damage, which is very common among other operators. Safety Equipment category followed with a total of thirty-five (35) defects. These defects were generally missing safety equipment. It should be noted that the contractor is required to maintain all safety equipment per the contract as illustrated in the figure below.

ICTC requires that Contractor regularly inspect and maintain all safety equipment used or required in the fulfillment of this Agreement. Contractor is responsible for purchasing, at its own cost, replacement fire extinguishers, first aid kits, first aid kit refill supplies, and triangle reflector kits sufficient to ensure that spares are always available and that the operation maintains compliance with local, state, and federal safety regulations. Drivers' daily vehicle

A breakdown of all defects by category is shown in the Table 2 and chart which follow.

<b>Table 2</b>	
<b>Summary of Defects By Category</b>	<b>Oct. 2017</b>
Accessibility Features	24
Air System/Brake System	3
Climate Control	3
Destination Signs	1
Differential	1
Driver's Controls	3
Electrical System	1
Engine Compartment	24
Exhaust	6
Exterior Body Condition	41
Interior Condition	31
Lights	21
Passenger Controls	0
Safety Equipment	35
Structure/Chassis/Fuel Tank	0
Suspension/Steering	10
Tires	6
Transmission	6
<b>Total Defects:</b>	<b>216</b>
<b>Avg. Defects Per Vehicle:</b>	<b>3.72</b>



During the inspection cycle, TRC Engineering Services also evaluated the general condition of the First Transit shop. The shop and vehicle storage areas were found to be in good condition with work areas clear of items not required for vehicle maintenance work. Appendix D includes pictures of various garage areas.

The garage has three potential work bay areas, but only one is equipped with bus lifts and is utilized to conduct vehicle repairs. The second bay is currently utilized for mechanic tool box storage and not available for any vehicle service work. The third bay is partly fenced off and used to store bus parts used for maintenance. Some minor repairs and servicing may be conducted in this bay. TRC noted that a 40ft bus could not be fully lifted for maintenance operations in any bay. A 40ft bus can only be lifted approximately 4 feet for underbody access. This was due to shop design and access door style and location. This constraint limits movement and access below the bus and is hazardous to employees conducting underbody repairs. TRC believes that closer examination of shop facilities is warranted to ensure that shop conditions are not negatively impacting First Transit's ability to service vehicles as required in the contract. As shown below, the contract does not specify a building size or bays, but it does require it to be "sufficient to support the operation".

**FACILITIES**

**17.1** All facilities and arrangements including office space, furniture, dispatch, maintenance bays, paved, secured and lighted parking areas, storage, on/off site fueling, radio, telephone and computer connections are the responsibility of Provider and shall be sufficient to support the operation of the paratransit services described herein.

## Specific Defect Summaries

All of the defects identified during the inspections were entered in a database which was used to generate a Master Defect Sheet. Data contained in that spreadsheet were then used to produce a series of detailed Excel reports.

The following Excel spreadsheets produced by TRC Engineering Services for ICTC are included as attachments to this report via flash drive:

- **Defect Summary:** includes a summary of defect totals and a summary of the 18 defect categories
- **All Defects (Master Defect Sheet):** identifies all defects for all vehicles inspected
- **Defects by Category:** identifies specific defects under each of the 18 categories
- **"A" Defects:** identifies all Class "A" defects
- **"B" Defects:** identifies all Class "B" defects
- **Vehicles Inspected:** lists all vehicles inspected during the audit

As mentioned earlier, each defect was given a severity code:

**Class A** – Indicates a safety-related defect that requires immediate removal from service and keeps the vehicle from returning to revenue service until the defect is corrected.

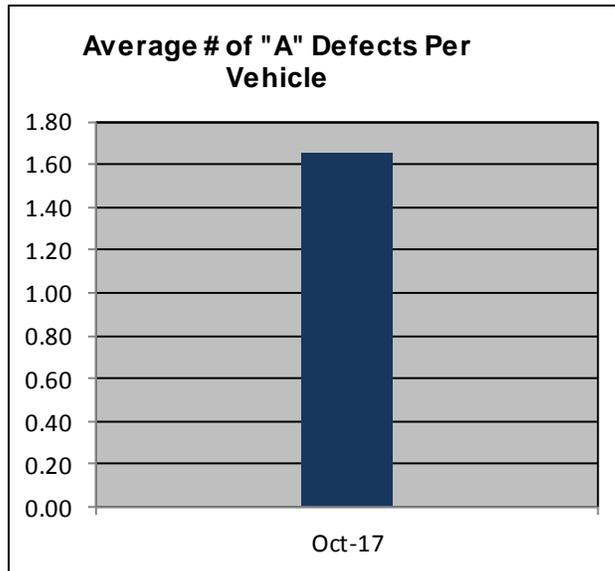
**Class B** – Indicates a non-safety critical defect that requires attention during the next scheduled preventive maintenance service interval.

## Defect Analysis

Defects identified by TRC Engineering Services were analyzed to determine the severity or detrimental impact they pose in terms of safety, comfort and convenience, and structural integrity. TRC informed First Transit staff that any Class "A" defects discovered would need immediate repairs before the bus would be allowed back into revenue service. TRC did not witness any repairs during the inspection timeframe.

### Safety

A total of ninety-four (96) Class "A" defects were found during this audit, or 1.66 average Class "A" defects per vehicle. A Class "A" defect is a safety-related defect that requires immediate repair and keeps the vehicle from returning to revenue service until the defect is corrected. Class "A" defects were found on forty-eight (48) of the fifty-eight (58) vehicles inspected. As noted earlier, TRC discussed with First Transit that all Class "A" defects needed to be repaired before the vehicles should be allowed to return to revenue service. Due to the amount of buses being inspected and the lack of shop working space, TRC did not see Class "A" defect repairs being performed during the audit.



Comfort and Convenience

TRC Engineering Services found the interiors and exteriors of vehicles to be in acceptable condition based on the age of the vehicles. The vehicles had some expected wear and tear but were in good working condition.

Structural Integrity

No structural issues were found on the vehicles inspected during this audit.

**Records Audit Findings**

PMI Paperwork Review

TRC Engineering Services performs a PMI paperwork review during each inspection cycle. TRC Engineering Services found that First Transit's records showed that the required PMI work was recorded properly. The PMI records were well organized and easy to locate.

PMI Interval Inspection

TRC Engineering Services examined the records of the fifty-eight (58) vehicles to determine if the PMIs were being done at the scheduled 3,000 and 6,000-mile intervals. PMI intervals were considered "on time" if performed within 10% or 600 miles of the scheduled 6,000-mile interval on the full-size fixed-route buses and within 10% or 300 miles of the scheduled 3,000-mile interval on the paratransit vehicles. All the vehicles inspected during this audit had work performed on time. The records examination also reviewed the oil change intervals. This review showed on-time oil changes for all 58 vehicles.

Fluid Analysis

TRC also drew engine, transmission, and coolant fluid samples from fourteen (14) buses selected at random (42 samples). TRC staff pulled 3 fluid samples from each of the noted buses below. Each sample was taken using a hand held vacuum pump attached to plastic tubing and a plastic sample bottle. To avoid cross-contamination of samples, different pumps were used for each fluid type (i.e. all oil samples were taken with one pump and transmission samples with a different pump), and new

tubing sample bottles were used for each sample taken. The plastic tubing was inserted to reach the internal areas of the engine or radiator/surge tank for the fluid extraction. Each sample bottle was identified with the bus number and type of fluid. The samples, along with identifying paperwork and required testing was shipped to ALS Tribology in Valley View, Ohio for analysis. ALS is a nationally recognized laboratory that has specific testing procedures for each fluid type, and can provide guidance on acceptable wear limits and contamination. The results of the fluid samples are found in Appendix C.

First Transit is required to conduct fluid sampling per contract as shown below.

<p><b>16.3.4.3</b> At scheduled oil change intervals, a laboratory engine and transmission oil analysis shall be performed on every ICTC-provided bus engine or transmission. The analysis program used by Provider shall be subject to approval by ICTC.</p>
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ICTC should request copies of sampling results from First Transit to ensure it is compliant with contractual requirements. In addition, ICTC must review First Transit's policies and procedures after it receives results from its fluid sampling. It is unclear if First Transit is properly trained to evaluate laboratory results.

As can be seen by the results listed in Table 3, abnormal coolant glycol level was found on multiple units. It is possible that coolant level is being topped off with water only, leading to a slightly diluted mix which will get progressively worse. ICTC must review First Transit's procedures to ensure that 50/50 coolant mix is always used for topping off.

#### Repairs

TRC Engineering Services staff reviewed the PMI paperwork going back to the previous three PMIs to determine if defects identified during the PMI process were repaired. TRC Engineering Services verified that PMI corrective work was being performed by the First Transit maintenance staff. TRC Engineering Services also reviewed the Driver's Vehicle Inspection (DVI) reports. This review showed that defects found by drivers during pre-trip inspections were also being addressed by First Transit maintenance staff.

#### Fueling

TRC observed that fueling of the buses each day after service was done via a fuel delivery truck. This type of fueling is not typical and can introduce risks (spills, inventory control, cost control, etc.). TRC recommends that the fueling process be reviewed, and the review should include how the process is performed and how much fuel is issued per vehicle, costs of fuel, costs of delivery of fuel, costs of fueling staff and requirements etc. All aspects of the fueling process should be determined and, if needed, adjustments can be made for any deficiencies in the process.

#### Parts and Inventory

Inspectors observed spare part inventory and location of parts storage. Running maintenance items such as filters, bulbs, and fluids seemed readily in stock, and were kept in a fenced off area inside the building. This configuration reduced the size and operation of one of the service bays. Operators have an incentive to reduce their stock as low as possible to improve cashflow. ICTC must ensure that First

Transit is not negatively impacting maintenance efficiency by having a reduced spare parts inventory. TRC found no direct evidence that spare parts are not available at this time, but future audits will better indicate if consumables are properly stocked. TRC recommends a review of the parts storage area in order to determine if another area of the shop can be utilized for parts storage. This effort may help in allowing full access to the current work bay for additional maintenance operations. First Transit appears to be compliant with the contractual requirement shown below, but its impact on service is not fully understood yet.

4.10. Contractor, as manager of the fleet, shall establish and maintain a spare parts inventory based on the age and variety of vehicles, sufficient to ensure that peak hour vehicle requirements are met. Vehicles may not be used to supply spare parts for other buses.

Contract Review

TRC reviewed the operating agreement between ICTC and First Transit. The contract is performance based and has minimum maintenance practices which must be adhered to. From this single inspection, it appears that First Transit is abiding by most contract requirements. The contract includes multiple provisions for ICTC (or its agent) to conduct inspections, including the two highlighted below:

termination of the Agreement. ICTC shall determine Contractor's compliance with the above requirements by reviewing detailed monthly PMI reports, and or by utilizing an independent maintenance consultant. ICTC may select buses randomly for independent third party inspections.

ICTC may inspect any vehicle at any time. Contractor shall allow ICTC, or its designated agent, access to Contractor's facilities and records for the purpose of monitoring the Contractor's maintenance performance, as ICTC deems necessary. ICTC shall be permitted to view and copy any vehicle maintenance records, inspect vehicles, and request Contractor's personnel to drive vehicles and/or position vehicles to inspect the undercarriage, as is necessary to evaluate the condition of vehicles used in the performance of this Agreement. ICTC, or its designated agent(s), shall conduct such inspections on a regular basis.

It is unclear if ICTC is utilizing these contractual provisions with any regularity. Based on the quantity of Class "A" defects and the garage space dedicated for actual vehicle maintenance, TRC recommends more frequent inspections, including some random visits. Annual inspections are helpful to evaluate the general condition of the fleet and review the contractor's adherence to PM schedules but are too infrequent to evaluate the responsiveness to defects identified. The contract properly allows for cyclical or random inspections as well as monthly reports to track ongoing maintenance of buses. To begin this oversight process, ICTC should request the PMI quarterly report identified in the contract and highlighted below.

Copies of the "Preventive Maintenance Inspection" report will be submitted to ICTC on a quarterly basis, if so requested by ICTC. ICTC shall coordinate with Contractor for submittal of selected summary type reports from the computerized maintenance system. Any Daily Bus Report shall be submitted to ICTC upon request. Contractor shall submit the entire vehicle file, or selected reports,

## **RECOMMENDATIONS**

- ICTC must continue to receive and review PMI results from First Transit. This report provides ICTC the first evidence of declining maintenance.
- TRC recommends that ICTC review the current audit cycle and consider more frequent as well as random inspections. Many fleet systems with similar maintenance contracts rely on quarterly audits to ensure that the buses are maintained in accordance with the work scope defined in the contract of the maintenance provider.
- ICTC must establish stronger oversight of Class "A" defects and their repairs. This may be accomplished through detailed reports submitted by First Transit of repairs completed, coupled with more frequent garage visits by ICTC or its agent.
- Based on the number of Class "A" defects, TRC recommends a review of First Transit's policies to ensure that there is zero tolerance for allowing buses to enter service with known safety defects.
- Parts storage and its impact on service bay availability must be reviewed by ICTC. Alternate part storage area must be discussed with First Transit.
- Bus lifting capabilities are insufficient to safely conduct underbody repair. ICTC must review working conditions and their impact on worker safety and maintenance capability. First Transit must consider an alternative bus lifting arrangement.
- ICTC must verify that First Transit is properly conducting fluid sampling and that it has procedures in place to follow in the event of abnormal results. First Transit may require additional training to ensure results are interpreted correctly and the proper action taken.
- ICTC must review First Transit's procedure for topping off coolant during service. Coolant results suggest improper use of pure water to refill coolant.
- TRC recommends stronger control of fueling operations. Utilizing fuel trucks may lead to a loss of inventory, increased risk of spills, and does not allow tracking of fuel consumption by bus.
- TRC recommends that the defects found in the Accessibility Features category section of the spreadsheet be reviewed closely and that these items be addressed and reviewed during normal PMI work. Twenty-four (24) Accessibility Features defects were found during this audit, which included fourteen (14) Class "A" defects that needed immediate repairs so that the buses could return to service. The defects included inoperative wheelchair ramps, inoperative stop request touch pads, and ADA lighting that was not working properly. The majority of these defects should have been easily identified and should be a major part of both the PMI and driver pre-trip inspections to make sure all areas function as required and are in good repair.
- TRC recommends that maintenance staff review all the motor mounts in the paratransit fleet. This audit found sixteen (16) motor mounts with various

amounts of damage. These mounts need immediate repairs to help maintain sound operation of the bus engines.

- TRC recommends that the maintenance staff review all check engine indicator light defects. Check engine indicator lights were illuminated on the dashes of several buses during this audit. Buses with illuminated check engine lights should not be placed back in service until the defect is repaired. Drivers should be trained to understand that this type of defect should be reported and that the buses should not be put back in service until repairs are made. ICTC should request First Transit's training and experience requirements for its mechanics to determine if additional training is required to properly diagnose and repair issues. Lack of trained mechanics is an industry-wide problem.
- During this audit, TRC reviewed safety equipment on the vehicles. This review found thirty-four (34) defects concerning safety-related equipment on the buses. Thirty (30) of the defects needed immediate repairs before the buses could be returned to service. These items included missing reflectors, egress windows that would not open, inoperative door sensitive edges, inoperative windshield washers, and inoperative back-up sensors. TRC recommends that all safety systems be reviewed and repaired during PMI operations. Many of these defects can be easily repaired.
- TRC also discovered during this audit that tires are being used beyond wear limits. Five (5) buses had tires worn beyond tread depth limits. TRC recommends that all drivers and maintenance personnel be instructed on tire wear limits so these defects can be eliminated and to ensure proper tire treads are used on the fleet.

TRC found many Interior Condition issues during this audit, including missing instructional decals, damaged flooring, and drivers' sun shades either missing or not operational. Many of these items are required for safe operation of the buses in the fleet. TRC recommends that these defects be reviewed by maintenance personnel and that these items be included in PMI inspections to make sure these types of defects are correctly repaired so the buses are safe and are all operational and instructional decals are in place.

**APPENDIX A: Electronic copy of EXCEL spreadsheet reports**

Vehicle #	Model Year	Vehicle Make	Vehicle Model	Date of Inspection	Mileage at Time of Inspection	Category	Defect	A/B
S3	2016	AM General	MV-1	10/27/17	17,618	Air System / Brake System	ABS light, dash, light on (to be repaired under warranty)	A
S3	2016	AM General	MV-1	10/27/17	17,618	Suspension/Steering	Traction control light, dash, light on (to be repaired under warranty)	A
S4	2016	AM General	MV-1	10/27/17	13,801	Tires	Tire monitoring system, dash, has code (to be repaired under warranty)	A
S6	2016	AM General	MV-1	10/27/17	4,839	Suspension/Steering	Air bag light, dash, light on to be repaired (under warranty)	A
132	2014	Ford E-450	Champion	10/27/17	39,425	Climate Control	HVAC, interior, inop	A
132	2014	Ford E-450	Champion	10/27/17	39,425	Accessibility Features	Wheelchair lift ramp, exterior, inop	A
132	2014	Ford E-450	Champion	10/27/17	39,425	Engine Compartment	Battery, engine, weak (bus barely started)	A
132	2014	Ford E-450	Champion	10/27/17	39,425	Safety Equipment	Windshield washer sprayer, exterior, fluid not coming out	A
134	2014	Ford E-450	Champion	10/26/17	49,082	Lights	Clearance lights, front top, inop	A
134	2014	Ford E-450	Champion	10/26/17	49,082	Lights	Emergency exit window light, @ C/S #3 window, inop	A
134	2014	Ford E-450	Champion	10/26/17	49,082	Tires	Tires, all rear tires, low tread (below 2/32" minimum)	A
135	2014	Ford E-450	Champion	10/26/17	44,886	Exterior Body Condition	Windshield, S/S, has rock chip in driver's line of sight	A
136	2014	Ford E-450	Champion	10/26/17	46,737	Lights	Marker light, front top, inop	A
137	2014	Ford E-450	Champion	10/26/17	42,232	Lights	Marker light, front top, inop	A
137	2014	Ford E-450	Champion	10/26/17	42,232	Tires	Tires, rear duals, low tread (less than 2/32")	A
140	2014	Ford E-450	Champion	10/26/17	52,551	Accessibility Features	Touch pad, #2 flip seat, touch to signal pad inop	A
140	2014	Ford E-450	Champion	10/26/17	52,551	Accessibility Features	Touch pad, C/S flip seat, touch to signal pad inop	A
142	2016	Ford E-450	Champion	10/26/17	24,960	Tires	Tires, rear exterior dual tires, low tread (less than 2/32")	A
143	2016	Ford E-450	Champion	10/26/17	18,654	Accessibility Features	Wheelchair lift ramp, exterior, inop	A
143	2016	Ford E-450	Champion	10/26/17	18,654	Climate Control	HVAC, rear, A/C inop	A
143	2016	Ford E-450	Champion	10/26/17	18,654	Safety Equipment	Reflector, S/S rear, covered by license plate	A
144	2016	Ford E-450	Champion	10/26/17	26,962	Tires	Tires, C/S & S/S outer dual tires, low tread (less than 2/32")	A
500	2016	Ford E-450	Starcraft	10/27/17	3,215	Safety Equipment	Reflectors, rear, missing	A
500	2016	Ford E-450	Starcraft	10/27/17	3,215	Interior Condition	Emergency exit window decals, interior, missing	A
501	2016	Ford E-450	Starcraft	10/26/17	9,366	Accessibility Features	Wheelchair lift ramp, exterior, won't activate until door switch is tapped	A
501	2016	Ford E-450	Starcraft	10/26/17	9,366	Accessibility Features	Wheelchair lift ramp, exterior, floor height needs adjustment	A
502	2016	Ford E-450	Starcraft	10/26/17	8,134	Interior Condition	Emergency exit window decals, interior, missing	A
503	2016	Ford E-450	Starcraft	10/27/17	8,676	Interior Condition	Emergency exit window decals, interior, missing	A
504	2016	Ford E-450	Starcraft	10/26/17	10,622	Accessibility Features	Wheelchair lift ramp, inside barrier, interlock inop	A
504	2016	Ford E-450	Starcraft	10/26/17	10,622	Interior Condition	Emergency exit window decals, interior, missing	A
1100	2015	Ford E-450	Starcraft	10/26/17	75,102	Interior Condition	Emergency exit window decal, C/S #3, missing	A
1100	2015	Ford E-450	Starcraft	10/26/17	75,102	Safety Equipment	Back-up sensor, exterior, inop	A
1101	2015	Ford E-450	Starcraft	10/27/17	64,575	Interior Condition	Emergency exit window decal, C/S , missing	A
1101	2015	Ford E-450	Starcraft	10/27/17	64,575	Interior Condition	Emergency exit window decal, rear window, missing	A
1102	2015	Ford E-450	Starcraft	10/27/17	50,257	Exterior Body Condition	Windshield, front, cracked	A
1102	2015	Ford E-450	Starcraft	10/27/17	50,257	Lights	Step lights, front door, inop	A
1103	2015	Ford E-450	Starcraft	10/27/17	65,597	Safety Equipment	Reflector, C/S rear, missing	A
1104	2015	Ford E-450	Starcraft	10/27/17	78,527	Interior Condition	Emergency exit window decal, S/S #2, missing	A
1105	2015	Ford E-450	Starcraft	10/27/17	33,984	Climate Control	HVAC, rear, inop	A
1105	2015	Ford E-450	Starcraft	10/27/17	33,984	Interior Condition	Flooring, @ standee line, coming up / trip hazard	A
1105	2015	Ford E-450	Starcraft	10/27/17	33,984	Interior Condition	Emergency exit window decals, C/S #3 & S/S #2, missing	A
1202	2012	Gillig	40' LF Diesel	10/27/17	241,219	Safety Equipment	Windshield washers, front, inop	A
1202	2012	Gillig	40' LF Diesel	10/27/17	241,219	Safety Equipment	Reflector, S/S rear, missing	A
1202	2012	Gillig	40' LF Diesel	10/27/17	241,219	Safety Equipment	Sensitive edge, rear door fore leaf, inop	A
1203	2012	Gillig	40' LF Diesel	10/27/17	266,715	Safety Equipment	Windshield washers, front, inop	A
1203	2012	Gillig	40' LF Diesel	10/27/17	266,715	Tires	Tire, S/S inner dual tire, low tread (less than 2/32")	A
1204	2012	Gillig	40' LF Diesel	10/26/17	240,649	Safety Equipment	Emergency exit window, #1 C/S window, won't open	A

1204	2012	Gillig	40' LF Diesel	10/26/17	240,649	Safety Equipment	Emergency exit window, #2 S/S window, won't open	A
1204	2012	Gillig	40' LF Diesel	10/26/17	240,649	Transmission	Check transmission light, dash, on	A
1205	2012	Gillig	40' LF Diesel	10/27/17	211,503	Accessibility Features	Wheelchair lift ramp, wheelchair lift area, inop	A
1205	2012	Gillig	40' LF Diesel	10/27/17	211,503	Engine Compartment	Check engine light, dash, on	A
1205	2012	Gillig	40' LF Diesel	10/27/17	211,503	Exterior Body Condition	Windshield washer sprayer, front, inop	A
1205	2012	Gillig	40' LF Diesel	10/27/17	211,503	Lights	Headlight, C/S, inop	A
1205	2012	Gillig	40' LF Diesel	10/27/17	211,503	Lights	Turn signal lights, C/S & S/S, loose	A
1205	2012	Gillig	40' LF Diesel	10/27/17	211,503	Lights	Marker lights, rear top, inop	A
1206	2012	Gillig	40' LF Diesel	10/27/17	212,370	Exterior Body Condition	Mirror, S/S top mirror, broken	A
1206	2012	Gillig	40' LF Diesel	10/27/17	212,370	Safety Equipment	Reflector, C/S rear, missing	A
1206	2012	Gillig	40' LF Diesel	10/27/17	212,370	Safety Equipment	Windshield washers, front, inop	A
1206	2012	Gillig	40' LF Diesel	10/27/17	212,370	Safety Equipment	Sensitive edge, rear door, inop	A
1207	2012	Gillig	40' LF Diesel	10/26/17	204,529	Engine Compartment	Check engine light, dash, on	A
1207	2012	Gillig	40' LF Diesel	10/26/17	204,529	Engine Compartment	High temp light, engine, on	A
1207	2012	Gillig	40' LF Diesel	10/26/17	204,529	Safety Equipment	Windshield washer sprayers, front, have no fluid	A
1207	2012	Gillig	40' LF Diesel	10/26/17	204,529	Safety Equipment	Sensitive edge, rear door (front leaf), inop	A
1208	2012	Gillig	40' LF Diesel	10/26/17	228,719	Accessibility Features	Touch pad, C/S flip seat, push to signal pad inop	A
1210	2012	Gillig	40' LF Diesel	10/26/17	230,763	Engine Compartment	Check engine light, dash, on	A
1210	2012	Gillig	40' LF Diesel	10/26/17	230,763	Exterior Body Condition	Windshield washer, front, has no fluid	A
1210	2012	Gillig	40' LF Diesel	10/26/17	230,763	Safety Equipment	Emergency window, C/S #1 window, stuck open	A
1211	2015	Gillig	40' LF Diesel	10/27/17	164,191	Air System / Brake System	ABS light, dash, on	A
1211	2015	Gillig	40' LF Diesel	10/27/17	164,191	Engine Compartment	Check engine light, dash, on	A
1211	2015	Gillig	40' LF Diesel	10/27/17	164,191	Safety Equipment	Sensitive edge, rear door (fore leaf), inop	A
1212	2015	Gillig	40' LF Diesel	10/27/17	117,755	Safety Equipment	Sensitive edge, rear door (aft leaf), inop	A
1212	2015	Gillig	40' LF Diesel	10/27/17	117,755	Safety Equipment	Emergency release door glass, rear door, missing	A
1213	2015	Gillig	40' LF Diesel	10/26/17	143,719	Air System / Brake System	ABS light, dash, on	A
1213	2015	Gillig	40' LF Diesel	10/26/17	143,719	Engine Compartment	Check engine light, dash, on	A
1213	2015	Gillig	40' LF Diesel	10/26/17	143,719	Safety Equipment	Window, C/S #1 window, won't open	A
1214	2015	Gillig	40' LF Diesel	10/26/17	161,826	Accessibility Features	Touch pad, C/S #2 flip seat, push to signal touch pad inop	A
1214	2015	Gillig	40' LF Diesel	10/26/17	161,826	Engine Compartment	Oil leak, engine compartment, alternator oil line leaking badly	A
1215	2015	Gillig	40' LF Diesel	10/27/17	156,267	Accessibility Features	Door, rear door, gets stuck @ open position	A
1301	2016	Ford E-450	Starcraft	10/27/17	53,355	Safety Equipment	Reflector, side reflector by rear of coach, missing	A
1302	2016	Ford E-450	Starcraft	10/27/17	52,031	Accessibility Features	Wheelchair lift ramp power button light, interior, inop	A
1303	2016	Ford E-450	Starcraft	10/27/17	53,143	Lights	Step lights & overhead front lights, front door, inop	A
1304	2016	Ford E-450	Starcraft	10/27/17	17,137	Safety Equipment	Reflector, C/S side rear reflector, missing	A
1305	2016	Ford E-450	Starcraft	10/26/17	49,292	Accessibility Features	Wheelchair lift ramp, exterior, barrier interlock inop	A
1305	2016	Ford E-450	Starcraft	10/26/17	49,292	Safety Equipment	Back-up sensor, exterior, inop	A
1306	2016	Ford E-450	Starcraft	10/27/17	52,335	Safety Equipment	Reflector, rear, missing	A
1306	2016	Ford E-450	Starcraft	10/27/17	52,335	Safety Equipment	Reflectors, side, missing	A
1306	2016	Ford E-450	Starcraft	10/27/17	52,335	Safety Equipment	Reflectors, side (mid bus), amber reflectors missing	A
1306	2016	Ford E-450	Starcraft	10/27/17	52,335	Lights	Emergency window light, rear, inop	A
1307	2016	Ford E-450	Starcraft	10/26/17	27,796	Interior Condition	Emergency exit window decals, C/S #2 window, missing	A
1307	2016	Ford E-450	Starcraft	10/26/17	27,796	Safety Equipment	Back-up alarm, exterior, inop	A
1309	2016	Ford E-450	Starcraft	10/27/17	47,537	Exterior Body Condition	Reflectors, side & rear reflectors, missing	A
1310	2016	Ford E-450	Starcraft	10/27/17	51,263	Safety Equipment	Back-up sensors, exterior, inop	A
1401	2016	Ford E-450	Starcraft	10/27/17	68,480	Safety Equipment	Reflector, C/S rear, side reflector covered by decal	A
1402	2016	Ford E-450	Starcraft	10/26/17	33,579	Accessibility Features	Wheelchair lift ramp, wheelchair lift area, inop	A
1403	2015	Ford E-450	Starcraft	10/26/17	19,423	Safety Equipment	Reflector, S/S rear, covered by decal	A
1403	2015	Ford E-450	Starcraft	10/26/17	19,423	Lights	Step light, front door, missing	A

Vehicle #	Model Year	Vehicle Make	Vehicle Model	Date of Inspection	Mileage at Time of Inspection	Category	Defect	A/B
132	2014	Ford E-450	Champion	10/27/17	39,425	Engine Compartment	Motor mounts, C/S & S/S, cracked	B
132	2014	Ford E-450	Champion	10/27/17	39,425	Exterior Body Condition	Trim, by front door, missing @ cap	B
132	2014	Ford E-450	Champion	10/27/17	39,425	Interior Condition	Stanchion pole, interior, loose	B
132	2014	Ford E-450	Champion	10/27/17	39,425	Interior Condition	Decal, @ front door header, peeling off	B
132	2014	Ford E-450	Champion	10/27/17	39,425	Interior Condition	Modesty panel, front door, loose	B
132	2014	Ford E-450	Champion	10/27/17	39,425	Lights	Lights, C/S interior, inop	B
132	2014	Ford E-450	Champion	10/27/17	39,425	Suspension/Steering	Air bag, S/S front, missing chunks	B
133	2014	Ford E-450	Champion	10/26/17	41,336	Engine Compartment	Motor mount, C/S, cracked	B
133	2014	Ford E-450	Champion	10/26/17	41,336	Exterior Body Condition	Panel, C/S by rear tire, body damage	B
133	2014	Ford E-450	Champion	10/26/17	41,336	Lights	Turn signal light, S/S @ mirror, inop	B
133	2014	Ford E-450	Champion	10/26/17	41,336	Suspension/Steering	Shock absorber, C/S rear, hits exhaust pipe	B
134	2014	Ford E-450	Champion	10/26/17	49,082	Engine Compartment	Motor mount, S/S, chunk missing	B
134	2014	Ford E-450	Champion	10/26/17	49,082	Exterior Body Condition	Trim, S/S, rubber trim missing	B
135	2014	Ford E-450	Champion	10/26/17	44,886	Suspension/Steering	Sway bar bushing, front, torn	B
135	2014	Ford E-450	Champion	10/26/17	44,886	Suspension/Steering	Oil leak, underside, steering box leaking	B
136	2014	Ford E-450	Champion	10/26/17	46,737	Exterior Body Condition	Decal, rear, peeling off	B
136	2014	Ford E-450	Champion	10/26/17	46,737	Exterior Body Condition	Windshield, front, has rock chip (spreading)	B
136	2014	Ford E-450	Champion	10/26/17	46,737	Interior Condition	Decal, @ front door header, peeling off	B
137	2014	Ford E-450	Champion	10/26/17	42,232	Exhaust	Exhaust hanger, rear, broken	B
137	2014	Ford E-450	Champion	10/26/17	42,232	Exterior Body Condition	Windshield, front, chipped	B
138	2014	Ford E-450	Champion	10/26/17	38,245	Exterior Body Condition	Antenna, S/S, missing	B
138	2014	Ford E-450	Champion	10/26/17	38,245	Exterior Body Condition	Decal, S/S corner bottom decal, peeling	B
139	2014	Ford E-450	Champion	10/26/17	40,167	Engine Compartment	Motor mount, S/S, chunk missing	B
139	2014	Ford E-450	Champion	10/26/17	40,167	Exterior Body Condition	Antenna, S/S, missing	B
139	2014	Ford E-450	Champion	10/26/17	40,167	Exterior Body Condition	Panel, S/S by rear tires, body damage	B
139	2014	Ford E-450	Champion	10/26/17	40,167	Exterior Body Condition	Panel, C/S by front door @ bottom corner, body damage	B
139	2014	Ford E-450	Champion	10/26/17	40,167	Lights	Turn signal light, S/S @ mirror, inop	B
139	2014	Ford E-450	Champion	10/26/17	40,167	Lights	Bike rack deploy light, dash, inop	B
140	2014	Ford E-450	Champion	10/26/17	52,551	Engine Compartment	Motor mounts, C/S & S/S, chunks missing	B
140	2014	Ford E-450	Champion	10/26/17	52,551	Exhaust	Exhaust pipe, exhaust, hangs on top of cross member	B
140	2014	Ford E-450	Champion	10/26/17	52,551	Exterior Body Condition	Decal, exterior back, peeling	B
141	2016	Ford E-450	Champion	10/26/17	22,086	Engine Compartment	Motor mount, S/S, chunk missing	B
141	2016	Ford E-450	Champion	10/26/17	22,086	Exterior Body Condition	Decal, rear corner, peeling off	B
141	2016	Ford E-450	Champion	10/26/17	22,086	Lights	Bike rack deploy light, dash, inop	B
141	2016	Ford E-450	Champion	10/26/17	22,086	Suspension/Steering	Oil leak, S/S front, shock absorber leaking	B
142	2016	Ford E-450	Champion	10/26/17	24,960	Engine Compartment	Motor mount, S/S, cracked	B
143	2016	Ford E-450	Champion	10/26/17	18,654	Engine Compartment	Motor mount, S/S, cracked	B
143	2016	Ford E-450	Champion	10/26/17	18,654	Exterior Body Condition	Auxiliary battery panel, C/S, cracked	B
144	2016	Ford E-450	Champion	10/26/17	26,962	Engine Compartment	Motor mount, S/S, cracked	B
144	2016	Ford E-450	Champion	10/26/17	26,962	Exterior Body Condition	Antenna, S/S, missing	B
144	2016	Ford E-450	Champion	10/26/17	26,962	Exterior Body Condition	Panel, C/S, body damage	B
145	2016	Ford E-450	Champion	10/26/17	31,982	Engine Compartment	Motor mount, S/S, cracked	B
501	2016	Ford E-450	Starcraft	10/26/17	9,366	Lights	Bike rack deploy light, dash, inop	B
503	2016	Ford E-450	Starcraft	10/27/17	8,676	Exhaust	Exhaust guard, rear bumper, coming off	B
503	2016	Ford E-450	Starcraft	10/27/17	8,676	Lights	Bike rack deployed light, interior, is on when rack is up	B

504	2016	Ford E-450	Starcraft	10/26/17	10,622	Interior Condition	Watch Your Step decal, front door, peeling	B
1100	2015	Ford E-450	Starcraft	10/26/17	75,102	Electrical Systems	Auxiliary battery tray, exterior, off track	B
1100	2015	Ford E-450	Starcraft	10/26/17	75,102	Engine Compartment	Motor mount, S/S, cracked	B
1100	2015	Ford E-450	Starcraft	10/26/17	75,102	Interior Condition	Fare box, interior, loose mounting bolt	B
1101	2015	Ford E-450	Starcraft	10/27/17	64,575	Differential	Drive line, underside carrier bearing loose	B
1101	2015	Ford E-450	Starcraft	10/27/17	64,575	Driver's Controls	Door control switch, driver's area, rubber torn	B
1101	2015	Ford E-450	Starcraft	10/27/17	64,575	Exterior Body Condition	Bumper, rear, cracked	B
1101	2015	Ford E-450	Starcraft	10/27/17	64,575	Interior Condition	Seat belt, driver's seat belt, cover missing	B
1101	2015	Ford E-450	Starcraft	10/27/17	64,575	Interior Condition	Flooring, standee line flooring, starting to come off	B
1102	2015	Ford E-450	Starcraft	10/27/17	50,257	Accessibility Features	Wheelchair lift door magnetic switch, wheelchair lift area, gets stuck	B
1102	2015	Ford E-450	Starcraft	10/27/17	50,257	Interior Condition	Ceiling, driver's area, bolt loose	B
1102	2015	Ford E-450	Starcraft	10/27/17	50,257	Interior Condition	Door trim top rivets, front door, falling out	B
1102	2015	Ford E-450	Starcraft	10/27/17	50,257	Suspension/Steering	Oil leak, steering, power steering hose leaking	B
1104	2015	Ford E-450	Starcraft	10/27/17	78,527	Engine Compartment	Motor mount, S/S, cracked	B
1104	2015	Ford E-450	Starcraft	10/27/17	78,527	Accessibility Features	Touch tape, S/S @ rear, coming loose	B
1105	2015	Ford E-450	Starcraft	10/27/17	33,984	Exterior Body Condition	Panel, S/S, scuff marks	B
1105	2015	Ford E-450	Starcraft	10/27/17	33,984	Interior Condition	Emergency exit window decal, C/S #1, peeling off	B
1105	2015	Ford E-450	Starcraft	10/27/17	33,984	Accessibility Features	Touch tape, S/S, touch strip for signal stop request peeling off	B
1202	2012	Gillig	40' LF Diesel	10/27/17	241,219	Exterior Body Condition	Mirror, S/S bottom mirror, broken	B
1202	2012	Gillig	40' LF Diesel	10/27/17	241,219	Exterior Body Condition	Windshield seal, front, rubber seal coming off	B
1202	2012	Gillig	40' LF Diesel	10/27/17	241,219	Interior Condition	Sun shade, driver's area, inop	B
1203	2012	Gillig	40' LF Diesel	10/27/17	266,715	Exterior Body Condition	Battery disconnect kneel ramp decals, exterior, missing	B
1203	2012	Gillig	40' LF Diesel	10/27/17	266,715	Exterior Body Condition	License plate, front, illegible	B
1203	2012	Gillig	40' LF Diesel	10/27/17	266,715	Exterior Body Condition	Marker light, front top, lenses cracked	B
1203	2012	Gillig	40' LF Diesel	10/27/17	266,715	Interior Condition	Sun shade, driver's area, side shade missing	B
1204	2012	Gillig	40' LF Diesel	10/26/17	240,649	Accessibility Features	Wheelchair lift ramp, exterior, creaks when deploying	B
1204	2012	Gillig	40' LF Diesel	10/26/17	240,649	Exterior Body Condition	Panel, behind rear door, body damage	B
1204	2012	Gillig	40' LF Diesel	10/26/17	240,649	Exterior Body Condition	Kneel ramp decal, exterior, missing	B
1204	2012	Gillig	40' LF Diesel	10/26/17	240,649	Exterior Body Condition	Battery decal, exterior, missing	B
1204	2012	Gillig	40' LF Diesel	10/26/17	240,649	Interior Condition	Sun shade, driver's front & side, won't lock in place	B
1204	2012	Gillig	40' LF Diesel	10/26/17	240,649	Transmission	Oil leak, transmission, leak @ pan	B
1205	2012	Gillig	40' LF Diesel	10/27/17	211,503	Accessibility Features	ADA seat belt release, C/S, missing cover	B
1205	2012	Gillig	40' LF Diesel	10/27/17	211,503	Driver's Controls	Heater select knob, driver's area, missing	B
1205	2012	Gillig	40' LF Diesel	10/27/17	211,503	Exterior Body Condition	Mirror, S/S bottom mirror, inop	B
1205	2012	Gillig	40' LF Diesel	10/27/17	211,503	Exterior Body Condition	Kneel/Ramp/Battery Disconnect decals, exterior, missing	B
1205	2012	Gillig	40' LF Diesel	10/27/17	211,503	Lights	Turn signal light, S/S rear, all lights flashing	B
1205	2012	Gillig	40' LF Diesel	10/27/17	211,503	Safety Equipment	Camera status light, interior, has red code	B
1205	2012	Gillig	40' LF Diesel	10/27/17	211,503	Transmission	Oil leak, transmission, leak @ pan	B
1206	2012	Gillig	40' LF Diesel	10/27/17	212,370	Destination Signs	Destination sign, exterior, missing pixels	B
1206	2012	Gillig	40' LF Diesel	10/27/17	212,370	Exterior Body Condition	Kneel/Ramp/Battery Disconnect decals, exterior, missing	B
1206	2012	Gillig	40' LF Diesel	10/27/17	212,370	Interior Condition	Sun shade, driver's area, missing	B
1207	2012	Gillig	40' LF Diesel	10/26/17	204,529	Accessibility Features	Wheelchair lift ramp power button light, interior, inop	B
1207	2012	Gillig	40' LF Diesel	10/26/17	204,529	Transmission	Oil leak, transmission, transmission seal leaking	B
1207	2012	Gillig	40' LF Diesel	10/26/17	204,529	Transmission	Oil leak, transmission, cooler fitting leaking	B
1208	2012	Gillig	40' LF Diesel	10/26/17	228,719	Accessibility Features	Wheelchair lift ramp power button light, interior, inop	B
1208	2012	Gillig	40' LF Diesel	10/26/17	228,719	Interior Condition	Sun shade, driver's side shade, track bar missing	B
1209	2012	Gillig	40' LF Diesel	10/27/17	240,769	Accessibility Features	Wheelchair lift ramp power button light, interior, inop	B
1209	2012	Gillig	40' LF Diesel	10/27/17	240,769	Exterior Body Condition	Mirror, S/S bottom mirror, cracked	B

1210	2012	Gillig	40' LF Diesel	10/26/17	230,763	Exterior Body Condition	Windshield, S/S, chipped	B
1210	2012	Gillig	40' LF Diesel	10/26/17	230,763	Interior Condition	Sun shade, driver's side shade, won't lock	B
1211	2015	Gillig	40' LF Diesel	10/27/17	164,191	Accessibility Features	Wheelchair lift ramp power button light, interior, inop	B
1211	2015	Gillig	40' LF Diesel	10/27/17	164,191	Lights	Marker light, middle, broken	B
1211	2015	Gillig	40' LF Diesel	10/27/17	164,191	Transmission	Oil leak, transmission, leak @ pan	B
1212	2015	Gillig	40' LF Diesel	10/27/17	117,755	Suspension/Steering	Bellows, suspension, bus leans to curbside	B
1213	2015	Gillig	40' LF Diesel	10/26/17	143,719	Driver's Controls	Defroster, driver's area, stuck on heat mode	B
1214	2015	Gillig	40' LF Diesel	10/26/17	161,826	Accessibility Features	Wheelchair lift ramp power button light, interior, inop	B
1214	2015	Gillig	40' LF Diesel	10/26/17	161,826	Safety Equipment	Emergency release door glass, rear door, cracked	B
1215	2015	Gillig	40' LF Diesel	10/27/17	156,267	Interior Condition	Sun shade, driver's side shade, won't come down	B
1300	2016	Ford E-450	Starcraft	10/27/17	36,607	Exterior Body Condition	Decals, rear, peeling off	B
1300	2016	Ford E-450	Starcraft	10/27/17	36,607	Exterior Body Condition	Panel, C/S panel, scratched	B
1301	2016	Ford E-450	Starcraft	10/27/17	53,355	Exhaust	Exhaust hanger, exhaust, broken	B
1302	2016	Ford E-450	Starcraft	10/27/17	52,031	Engine Compartment	Motor mount, S/S, cracked	B
1302	2016	Ford E-450	Starcraft	10/27/17	52,031	Exterior Body Condition	Windshield, front, has rock chips	B
1305	2016	Ford E-450	Starcraft	10/26/17	49,292	Safety Equipment	Camera, S/S, can't see out of it	B
1306	2016	Ford E-450	Starcraft	10/27/17	52,335	Engine Compartment	Motor mount, S/S, cracked	B
1308	2016	Ford E-450	Starcraft	10/27/17	45,852	Interior Condition	Door overhead trim, front door, broken rivets	B
1309	2016	Ford E-450	Starcraft	10/27/17	47,537	Engine Compartment	Motor mount, S/S, starting to crack	B
1309	2016	Ford E-450	Starcraft	10/27/17	47,537	Exhaust	Exhaust hanger, exhaust, broken	B
1309	2016	Ford E-450	Starcraft	10/27/17	47,537	Exterior Body Condition	Bus #, rear, last # crooked	B
1309	2016	Ford E-450	Starcraft	10/27/17	47,537	Suspension/Steering	Oil leak, steering, power steering line leaking	B
1310	2016	Ford E-450	Starcraft	10/27/17	51,263	Engine Compartment	Motor mount, S/S, cracked	B
1310	2016	Ford E-450	Starcraft	10/27/17	51,263	Interior Condition	Door overhead trim, front door, rivets missing	B
1310	2016	Ford E-450	Starcraft	10/27/17	51,263	Lights	Step lights, front, inop	B
1400	2016	Ford E-450	Starcraft	10/26/17	64,483	Exhaust	Exhaust pipe, exhaust, too short (missing exhaust tail pipe)	B
1402	2016	Ford E-450	Starcraft	10/26/17	33,579	Safety Equipment	Camera, C/S exterior camera, has moisture	B

## APPENDIX B:

### Master Class "A" Defects

- Fire extinguisher
- Headlights
- Wipers
- Washers
- Cracked windshield in driver's view
- Seat belts, driver
- Turn signals
- Horn
- Emergency flashers
- Brake lights
- Air pressure/Air leaks
- Brake lining thickness
- Tire tread depth @ front tires 4/32, 2/32 at rear tires
- Fuel leak
- Exposed wires
- Proximity to exhaust – oil, harness, etc.
- Oil/Grease on Brakes
- Wheelchair lift/ramp & securement
- Sharp edges – interior
- Tripping hazard – interior
- Critical steering/suspension play, wear
- Sensitive edges – doors – not working properly
- Tire pressure below 80 psi
- Wheel lug nuts
- Exhaust leak into vehicle
- Back up alarm
- Excessive slack adjuster throw
- Excessive oil in air system
- Missing battery label for shutoff
- Missing emergency exit signs
- Emergency window won't open

## Appendix C: Fluid Analysis Results

Fluid Analysis Results	
Engine Oil:	Results
1202	Normal
1203	Normal
1204	Normal
1205	Abnormal: Fuel dilution at problem level. Viscosity low for specified oil grade. Action: Check fuel injection system. Change oil and filter(s). Resample at a reduced service interval to monitor and establish wear trend.
1206	Normal
1207	Abnormal: Fuel dilution at problem level. Viscosity low for specified oil grade. Action: Check fuel injection system. Advise schedule for oil change. Resample at a reduced service interval to monitor and establish wear trend.
1208	Normal
1209	Abnormal: Fuel dilution at problem level. Viscosity low for specified oil grade. Action: Check fuel injection system. Advise schedule for oil change. Resample at a reduced service interval to monitor and establish wear trend.
1210	Normal
1211	Normal
1212	Normal
1213	Normal
1214	Normal
1215	Normal
Transmission Fluid:	
1202	Normal
1203	Normal
1204	Normal
1205	Normal
1206	Normal
1207	Caution: Sodium level (possible coolant chemical) elevated. Action: Possible oil cooler core or seal leak. Change oil and filter(s) if not already done. Resample at a reduced service interval to further monitor.
1208	Normal
1209	Normal
1210	Normal
1211	Abnormal: Torque converter/pump wear indicated. Action: Change oil and filter(s) if not already done. Resample at a reduced service interval to monitor and establish wear trend.
1212	Abnormal: Torque converter/pump wear indicated. Action: Change oil and filter(s) if not already done. Resample at a reduced service interval to monitor and establish wear trend.
1213	Abnormal: Torque converter/pump wear indicated. Action: Change oil and filter(s) if not already done. Resample at a reduced service interval to monitor and establish wear trend.

Fluid Analysis Results	
1214	Abnormal: Torque converter/pump wear indicated. Action: Change oil and filter(s) if not already done. Resample at a reduced service interval to monitor and establish wear trend.
1215	Normal
<b>Coolant:</b>	
1202	Abnormal: Moderate amount of sediment detected. pH is low. Glycol level is below normal recommended limits. Recommend drain and flush coolant. Check for source of contamination. Recommend take corrective action and resample to monitor.
1203	Abnormal: Glycol level is below normal recommended limits. Pressure check radiator cap, if it fails replace cap and recheck pressure. Check that proper coolant volume is being maintained. Recommend adjust coolant to a 50/50 mix. Recommend take corrective action and resample to monitor.
1204	Abnormal: Glycol level is below normal recommended limits. Pressure check radiator cap, if it fails replace cap and recheck pressure. Check that proper coolant volume is being maintained. Recommend adjust coolant to a 50/50 mix. Recommend take corrective action and resample to monitor.
1205	Abnormal: Glycol level is below normal recommended limits. Pressure check radiator cap, if it fails replace cap and recheck pressure. Check that proper coolant volume is being maintained. Recommend adjust coolant to a 50/50 mix. Recommend take corrective action and resample to monitor.
1206	Abnormal: Glycol level is below normal recommended limits. Pressure check radiator cap, if it fails replace cap and recheck pressure. Check that proper coolant volume is being maintained. Recommend adjust coolant to a 50/50 mix. Recommend take corrective action and resample to monitor.
1207	Abnormal: Glycol level is below normal recommended limits. Pressure check radiator cap, if it fails replace cap and recheck pressure. Check that proper coolant volume is being maintained. Recommend adjust coolant to a 50/50 mix. Recommend take corrective action and resample to monitor.
1208	Abnormal: Glycol level is below normal recommended limits. Pressure check radiator cap, if it fails replace cap and recheck pressure. Check that proper coolant volume is being maintained. Recommend adjust coolant to a 50/50 mix. Recommend take corrective action and resample to monitor.
1209	Abnormal: pH is low. Recommend drain 50% and Re-Inhibit. Recommend take corrective action and resample to monitor.
1210	Abnormal: Glycol level is below normal recommended limits. Pressure check radiator cap, if it fails replace cap and recheck pressure. Check that proper coolant volume is being maintained. Recommend adjust coolant to a 50/50 mix. Recommend take corrective action and resample to monitor.
1211	Abnormal: Glycol level is below normal recommended limits. Pressure check radiator cap, if it fails replace cap and recheck pressure. Check that proper coolant volume is being maintained. Recommend adjust coolant to a 50/50 mix. Recommend take

<b>Fluid Analysis Results</b>	
	corrective action and resample to monitor.
1212	Abnormal: Glycol level is below normal recommended limits. Pressure check radiator cap, if it fails replace cap and recheck pressure. Check that proper coolant volume is being maintained. Recommend adjust coolant to a 50/50 mix. Recommend take corrective action and resample to monitor.
1213	Abnormal: Glycol level is below normal recommended limits. Pressure check radiator cap, if it fails replace cap and recheck pressure. Check that proper coolant volume is being maintained. Recommend adjust coolant to a 50/50 mix. Recommend take corrective action and resample to monitor.
1214	Abnormal: Glycol level is high. Pressure check radiator cap, if it fails replace cap and recheck pressure. Check that proper coolant volume is being maintained. Recommend adjust coolant to a 50/50 mix. Recommend take corrective action and resample to monitor.
1215	Abnormal: Glycol level is below normal recommended limits. Pressure check radiator cap, if it fails replace cap and recheck pressure. Check that proper coolant volume is being maintained. Recommend adjust coolant to a 50/50 mix. Recommend take corrective action and resample to monitor.

Note: Fluid samples are rated as Normal, Abnormal, Caution, or Critical.

**Appendix D – Various Shop and Equipment Pictures**



**Shop bay entrances**



**Parts storage area**



Shop parts washer and fluid storage



MSDS safety data sheet storage

**FLUID STORAGE**



**Shop safety station**



Shop safety eye and shower station

## Appendix E: Personnel Qualifications

### VimVillapana

#### PROFESSIONAL EXPERIENCE

##### **(2000 to Present) Chief Resident Inspector, TRC**

Mr. Villapana has over 20 years experience in transit maintenance. For the past 11 years he has been assigned to a wide range of bus inspection projects for TRC clients.

Mr. Villapana has conducted numerous fleet maintenance audits for clients such as San Mateo County Transit (SamTrans), ICTC, the City of Visalia, Antelope Valley Transit Authority (AVTA), the Regional Transportation Commission in Reno, NV, Access Services in Los Angeles, CA, and First Transit Operations in Philadelphia, PA.

Mr. Villapana has also conducted QA inspections on new and rebuilt bus fleets for nearly 60 transit agency clients served by TRC, including inspections of structural repairs, road test evaluations, electrical systems, power plant performance, etc. He is an expert on Gillig buses, having managed bus inspection projects involving several hundred Gillig buses. Since joining TRC as our full-time resident bus inspector at the Gillig plant, Mr. Villapana has been responsible for numerous Gillig bus inspections for these and other TRC clients:

##### **(2004 - 2005) Coach Maintenance Supervisor, Monterey-Salinas Transit - Monterey CA**

Mr. Villapana's duties entailed the supervision of Journey and Apprentice mechanics on the inspection, repair and preventative maintenance of a fleet of Gillig Low floors, Gillig Phantoms and CNG powered Orion Coaches. Directed and supervised personnel while performing major and minor inspections; Identifying defects and repairs accordingly. Ensured that work performed was completed in a timely and efficient manner, processed warranty items, tracked common failures and trends and provided training sessions. Evaluations and performance appraisals for mechanics and service workers.

Coordinated vendor related repairs, warranty and training sessions for mechanics provided by the subcontractors including: Thermoking, Cummins West, Gillig Corp, Carrier, Dinex, Detroit Diesel, ZF Transmissions, Voith , Allison Transmission, Lift U, Ricon Lift, Allen Bradley, GFI, Luminator, Twin Vision, March Networks, Bus Watch REI, Safety Vision, Apollo Systems, GE Kalatel, Seon, Dura, Stormtite, Ricon Windows, Motorola, ACS Orbital, Siemens, Trapeze, IniT, Digital Recorders. (1999 to 2004) Coach Maintenance Supervisor, AC Transit – Oakland, CA

Mr. Villapana's duties included the supervision of journey level and apprentice mechanics on the inspection, repair and preventative maintenance of a fleet of coaches that were comprised of Gillig, New Flyers and NABI coaches. Directed/Supervised personnel while conducting major and minor inspections, identifying defects and repairs accordingly. Ensured that the work performed was completed accurately and in a timely manner; processed warranty items; identified common failures and trends; and provided training sessions, evaluation and performance

appraisals for the mechanics. Was assigned as a member of the inspection crew at the NABI plant in Alabama when AC Transit participated on a 50-coach, low floor bus buy in 2000.

**(1982 to 1999) Coach Maintenance Supervisor, Valley Transit Authority – San Jose, CA**

Duties entail the supervision of Transit Mechanics on the inspection, repair and preventative maintenance in a fleet oriented environment. The fleet consisted of Gilligs, Metros, New Flexibles and GMC RTS 4's. Assisted staff in conducting major and minor inspections, identifying defects and repair accordingly. Duties also included the assurance of quality work performed; processing of warranty items; projection of trends and component tracking. Also led a team of coach inspectors when VTA purchased 100 high floor Gilligs in 1998. The team conducted "shake down" inspections, identify fleet defects and corresponded with the Gillig representatives to ensure that coaches delivered were within specifications. Also responsible for coordinating with subcontractors such as Cummins, Detroit Allison, Voith, Thermoking, Motorola, Lift-U, Luminator and GFI to ensure that subcomponents are within specifications prior to coach delivery.

**OTHER RELATED EXPERIENCE**

- Supervisory, maintenance and mechanical experience
- Completed VTA Leadership Academy
- Completed National Training Institute (NTI) Training At VTA
- Led teams of coach inspectors at 3 prominent Transit Authorities
- (VTA, AC Transit and Monterey Salinas Transit)
- Attended APTA conventions for new coach developments
- Attended Hybrid Diesel Electric bus consortium at Stockton CA.
- CNG Heavy duty bus training at Monterey Salinas Transit
- AC Transit Fuel Cell Technology
- Inspected over 1000 Gillig Heavy duty Coaches for numerous transit properties

# Sean Burr

## PROFESSIONAL EXPERIENCE

### **(2003 to Present) Bus Maintenance and Q/A Inspector, TRC**

For the past 13 years, Mr. Burr has been assigned to a number of TRC's bus inspection projects for both new bus Q/A programs as well as bus maintenance audit programs.

Most recently, Mr. Burr served as a member of TRC's maintenance audit team for SamTrans maintenance audit and the City of Glendale, CA maintenance audits.

Additionally, Mr. Burr has served as one of TRC's Q/A bus inspectors at the Gillig Corporation in Hayward, CA.

### **(1998 to Present) Weekend Maintenance Supervisor, Alameda County Transit**

Responsibilities include supervision of maintenance of diesel engines, transmissions, brake systems, hydraulic systems, electrical systems, steering and suspension systems. Additional responsibilities include acting as lead Q/A inspector at AC Transit on new bus purchases. Conducted Q/A inspections on several previous Gillig bus orders.

### **(1991 to 1998) Automotive Technician, Sears Automotive Center, San Bruno, CA**

Responsibilities included automotive and light truck repairs on front ends, steering, brakes, four-wheel alignment, and repairs to support equipment.

## EDUCATION

College of San Mateo, Associates Degree in Aeronautics,  
1995 San Mateo, CA

## PROFESSIONAL LICENSES

Airframe and Power Plant

License, 1995 Automotive

Service Certification, 1996

Heavy Duty Coach Mechanic Journeyman Certification, 2002

## **GREG L. DOWELL**

### **PROFESSIONAL EXPERIENCE**

#### **2009 – Present Senior Bus Electrician Transit Resource Center and Affiliates**

For the past seven (7) years, Mr. Dowell has served as Senior Bus Electrician and Senior Bus Electrical Consultant for Transit Resource Center and its affiliates. Mr. Dowell has rebuilt complete electrical systems on transit and highway buses, designed new electrical harnesses, installed complete wiring systems, installed fire suppression systems, and replaced computer on-board systems for buses. Mr. Dowell has also served as a senior consultant on electrical problems for TRC transit clients, diagnosing and resolving electrical problems of all types.

Since joining TRC, Mr. Dowell has been a key member of TRC's bus maintenance audit teams. The following list contains recent maintenance audit projects Mr. Dowell has assisted with:

- Potomac and Rappahannock Transportation Commission (Virginia)
- Capital District Transit Authority (New York)
- Denver Regional Transportation District (Colorado)
- DC DOT (Washington D.C.)

#### **1990 – 2006 Senior Bus Electrical Supervisor Neoplan USA**

From 2001 to 2006, Mr. Dowell was the Electrical Department Supervisor for Neoplan USA, one of the largest manufacturers of transit and intercity buses in North America. His career at Neoplan began as an electrical installer of wiring harnesses on bus interiors, then later on installing wiring harnesses in the engine compartments. As department Supervisor, Mr. Dowell led the design, development, and installation of Neoplan's first on-board computer system using Dynex system.

### **EDUCATION**

- ASE Certified in Transit Electrical Systems
- Certificate in Electronic Technology, Northwest Kansas Area Vocational-Technical School, Goodland, Texas

January 26, 2018



Mr. Mark Baza, Director  
Imperial County Transportation Commission  
1503 N. Imperial Ave., Suite 104  
El Centro, CA 92243-2875

792 E Ross Ave  
El Centro, CA 92243  
Tel: 760-482-2900

Re: Response to Audit of Vehicle Maintenance

Mr. Baza,

First Transit has received, read and acted on the vehicle maintenance audit performed by TRC Engineering Services, dated October 25-29, 2017. First Transit's corporate maintenance support was instrumental in assisting with the actions taken. The following is First Transit's responses to all the results and recommendations noted by TRC in their report.

#### Response to Results

- The total number of defects found during this audit was 216, or an average of 3.72 defects per vehicle. First Transit accepts the fact that this is too high of an average. However, this being our first maintenance audit, we were surprised to the number of "safety related" items that were primarily missing decals and reflectors. Each one counted as a defect which raised the number significantly. There were indeed items which needed immediate attention, which First Transit gave. But there were also items that would have been discovered in the next routine maintenance inspection. As of this writing all but 7 of the "safety" related defects have been repaired. Remaining are 4 – reflector clearance lights, 1 stop request pad for an ADA seat, 1 back-up sensor, and 1 emergency exit window decal. TRC notes they did not witness any repairs during the inspection timeframe but First Transit can assure ICTC that many of the repairs started immediately upon notation.
- A total of 96 Class A (safety related) defects were noted from this audit. As already noted, many of these, although certainly categorized as "safety related" did not put the vehicle in danger of an accident or significant situation. Several were emergency exit decals, clearance lights and missing reflectors.
- An additional total of 120 Class B (non-safety related) defects were noted in the audit. These were items primarily consisting of body damage, decal deterioration, and minor oil leaks.
- First Transit concentrated heavily on the Class A defects while working on the Class B defects simultaneously. Most defects were corrected prior to the end of November 2017 and the balance of repairs completed by the end of December 2017.
- The four MV-1 service vehicles were also inspected with four (4) class A defects noted. These units were repaired with several items claimed as warranty repairs.
- All reviews of scheduled PMI's determined that inspections were performed within the time frame intervals, with TRC noting that "... work was performed within the mileage and time requirements for all vehicles".
- TRC noted that our shop is limited to only one bay being fully usable. Although First Transit agrees that we are space challenged, we do have two working bays and quite frequently have as

many as four vehicles being repaired within these two bays. ICTC is in the process of locating or building a new operations and maintenance facility with the intent of providing more working space for maintenance activity and storage space for maintenance and operations parts and supplies.

- TRC found no OSHA or safety violations during their inspections and First Transit can assure ICTC that use of proper personal protective equipment is closely monitored.
- TRC noted First Transit's parts supply to be adequate, however again this storage area takes away valuable space which could be a working bay.
- TRC notes they believe our staffing is inadequate, and that the contract provision for staffing is also inadequate. First Transit has an established threshold based on 9 buses per technician ratio when the fleet is a mix of transit and paratransit vehicles. Using this formula, the current staffing is one tech per 9.3 buses, just barely outside the goal. Another measurement is techs per annual miles with the average goal being between 220 – 270,000 annual total miles. Measuring total miles for all IVT First Transit vehicles the total is 1,561,728 miles. Again, our tech level falls within the goal for techs per annual miles with our current level being 1 tech per 260,288 miles.

#### Response to TRC Recommendations

- ICTC must continue to receive and review PMI results from First Transit. First Transit welcomes this oversight and will review with ICTC on an interval determined to be adequate.
- TRC recommends that ICTC review the current audit cycle and consider more frequent onsite audits as well as, random inspections. First Transit believes once per year audit is adequate but will not be opposed to more than once per year.
- ICTC must establish stronger oversight of Class A defects and their repair. First Transit will elevate Class A defects to a more immediate repair time frame, particularly now understanding what is determined to be Class A defect. Although less critical, First Transit will also monitor Class B defects to ensure items are addressed proactively and immediately should they surface.
- Parts storage and its impact on service bay availability must be reviewed by ICTC. First Transit is seeking to find solutions to the bay availability in the current shop. With two bays available sometimes four vehicles can be in positions for repairs. There remains the issue of raising the units to a height more readily available for repair work under the unit.
- ICTC must verify that First Transit is properly conducting fluid sampling and that procedures are in place to follow in the event of abnormal results. First Transit can assure ICTC that effective immediately oil and coolant will be sampled at each PMI and transmission fluid will be sampled every 48,000 miles as the manufacturer recommends.
- TRC recommends stronger control of fueling operations. First Transit is uncertain of this recommendation as there have been no issues relative to vehicle fueling. Paratransit operators fuel at nearby service stations and transit buses are fueled by a local vendor truck nightly on site.
- TRC recommends that defects found in the Accessibility Features category of the spreadsheet be reviewed closely and that these items be addressed and reviewed during normal PMI work. First Transit agrees with this recommendation.
- TRC recommends that maintenance staff review all motor mounts in the paratransit fleet. First Transit's level of concern for motor mounts wear has been raised by this audit. First Transit technicians will be more diligent in the inspection process of motor mounts.

- TRC recommends that the maintenance staff review all check engine indicator light defects. First Transit can assure ICTC that this is already a practice with review of all check engine light indicators.
- TRC recommends that all safety systems be reviewed and repaired during PMI operations. First Transit has a better understanding of what is considered "safety related" as a result of this audit.
- TRC recommends that all drivers and maintenance personnel be instructed on tire wear limits. This subject will be addressed in an upcoming driver/technician safety meeting and First Transit will initiate stricter controls over tire tread limits.

Please do not hesitate to contact me directly for any follow up questions or concerns to this response.

Thank you,

A handwritten signature in blue ink, appearing to read "Eric Estell", with a long, sweeping underline.

Eric Estell, General Manager  
First Transit

## **VI. ACTION CALENDAR**

- C. MOU BETWEEN ICTC AND IVEDC—CALIFORNIA  
ADVANCED SERVICES FUND (CASF) SOUTHERN  
BORDER BROADBAND CONSORTIUM (SBBC)



1503 N. IMPERIAL AVE., SUITE 104  
EL CENTRO, CA 92243-2875  
PHONE: (760) 592-4494  
FAX: (760) 592-4410

February 22, 2018

Luis Plancarte, Chairman  
Imperial County Transportation Commission  
1503 N. Imperial Avenue, Suite 104  
El Centro, CA 92243

**SUBJECT:** Memorandum of Understanding (MOU) between the Imperial County Transportation Commission (ICTC) and Imperial Valley Economic Development Corporation (IVEDC) – California Advanced Services Fund (CASF) Southern Border Broadband Consortium (SBBC)

Dear Commission Members:

The Southern Border Broadband Consortium (SBBC), administered by the Imperial Valley Economic Development Corporation (IVEDC) was awarded a grant from the California Public Utilities Commission for a grant from the California Advanced Services Fund (CASF). The grant award identifies IVEDC as the lead agency, and ICTC as the fiscal agent. ICTC and IVEDC have developed a Memorandum of Understanding (MOU) for review and approval.

The Imperial Valley Economic Development Corporation (IVEDC), a not-for-profit (501)(C)(6), has formed the Southern Border Broadband Consortium (SBBC) along with representatives from government and economic sectors, to assist the unserved and underserved areas in Imperial and San Diego counties to provide access to education, health care, and capital through broadband internet. The SBBC is comprised of local government agencies, non-profit organizations and local business owners that serve the counties of Imperial and San Diego.

Providing access to broadband internet to these areas would deliver the necessary infrastructure to foster economic growth, improve health care, education and local government. The long term vision of the SBBC is to facilitate 100% availability of residential, commercial and industrial grade broadband facilities and services, and 100% utilization by all members of the many diverse communities in these this regions.

**CITIES OF BRAWLEY, CALEXICO, CALIPATRIA, EL CENTRO, HOLTVILLE, IMPERIAL, WESTMORLAND,  
IMPERIAL IRRIGATION DISTRICT AND COUNTY OF IMPERIAL**

The project is for \$650,000 with grants funds approved for \$450,000. The remainder of \$275,000 is in kind services, i.e. staff support. ICTC is anticipated to receive \$65,000 for annual fiscal reporting and other related expenses.

The attached memorandum of understanding establishes the roles and responsibilities required for the completion of the project. The funding summary for the project for the three year period is as follows:

<u>Grant Funds:</u>	<u>\$ 450,000</u>
Personnel (Outreach Coordinator, IVEDC staff):	\$ 150,000
Contract Labor	\$ 150,000
Non-Personnel (Supplies, Travel, Marketing):	\$ 85,000
Fiscal and Accounting (ICTC):	\$ 65,000
<u>In-Kind (Regional Coordination, Outreach):</u>	<u>\$ 225,000</u>
Total Project Cost	\$ 675,000

ICTC Management Committee met on February 14, 2018 and forwards this item to the Commission for review and approval, after the receipt of public comment.

1. Authorize the Chairman to sign the Memorandum of Understanding between Imperial County Transportation Commission and Imperial Valley Economic Development Corporation (IVEDC) for the California Advanced Services Fund (CASF) grant awarded to the Southern Border Broadband Consortium (SBBC)

Sincerely,



MARK BAZA  
Executive Director

MB/ksw/cl

Attachments

1 **MEMORANDUM OF UNDERSTANDING**

2 THIS MEMORANDUM OF UNDERSTANDING (“MOU”), entered into this \_\_\_\_\_ day of  
3 \_\_\_\_\_, 2018, is by and between the IMPERIAL COUNTY TRANSPORTATION  
4 COMMISSION (“ICTC”), and the IMPERIAL VALLEY ECONOMIC DEVELOPMENT  
5 CORPORATION, a California corporation (“IVEDC”), (individually, “Party;” collectively, “Parties”).

6 **RECITALS**

7 **WHEREAS** California Public Utility Commission’s (“CPUC”) California Advanced Services  
8 Fund (“CASF”) Rural and Regional Urban Consortia Account (“Consortia Account”) approved grant  
9 funding in the amount of four hundred fifty thousand dollars (\$450,000) for a three-year program  
10 (“Program”) to IVEDC; and

11 **WHEREAS** the Program will further broadband deployment, access and/or adoption in the  
12 Southern region of California, specifically Imperial County and San Diego County; and

13 **WHEREAS** IVEDC wishes to retain ICTC as the Fiscal Agent to represent IVEDC for  
14 purposes of administration of IVEDC activities; and

15 **WHEREAS** ICTC is qualified, experienced, and committed to acting as IVEDC’s Fiscal Agent  
16 throughout the implementation of this Program.

17 **NOW THEREFORE**, for and in consideration of the mutual promises set out herein, ICTC and  
18 IVEDC have and hereby agree as follows:

19 1. This MOU shall commence on the date first written above and shall remain in effect  
20 until the expiration of the Program or close of the grant award.

21 2. Anything to the contrary herein notwithstanding, IVEDC understands and agrees that all  
22 CASF-mandated terms shall be deemed to control in the event of a conflict with other provisions  
23 contained in this MOU. IVEDC shall not perform any act, fail to perform any act, or refuse to comply  
24 with any ICTC requests which would cause ICTC to be in violation of the CASF terms and conditions.

25 3. Parties agree to comply with all guidelines, requirements, and conditions associated with  
26 the grant of CASF funds as specified in Resolution T-17561 (attached hereto as **Exhibit “A”** and  
27 incorporated herein by this reference), as well as Decision (D.) 11-06-038 (attached hereto as **Exhibit**  
28

1 “B” and incorporated herein by this reference). Parties also understand and agree to comply with all  
2 Federal, State, and Local rules and regulations with respect to their roles in the Program.

3 4. Parties agree that IVEDC is entering into this MOU with the understanding that funding  
4 for the Program will be provided by CPUC’s CASF Consortia Account. Should circumstances change  
5 such that funding is not provided and/or that funding is not matched by in kind contribution by  
6 IVEDC’s members, then this MOU shall become null and void.

7 5. Parties, on their own behalf and the behalf of its agents and employees, agree that each  
8 is acting in an independent capacity and not as an agent, officer, or employee of either of the other  
9 Parties.

10 6. IVEDC shall allow ICTC or its designated agent(s) to audit its books and records  
11 relating to its use of the grant funds, provided ICTC gives IVEDC ten (10) working days notice of its  
12 intent to conduct such an audit. IVEDC shall also direct a Certified Public Accountant to prepare  
13 audits both annually and when the Program is completed for submission to ICTC at IVEDC’s expense.

14 7. The Parties represent and warrant that the people executing this MOU on their  
15 respective behalf have the authority to sign this MOU and bind all Parties to the performance of all  
16 duties and obligations assumed herein.

17 8. It is understood and agreed that IVEDC and ICTC maintain insurance policies or  
18 self-insurance programs to fund their respective liabilities. Parties agree that such respective programs  
19 or policy coverage for Workers' Compensation shall contain a waiver of subrogation as to the other  
20 party and each of its members, board members, officers, officials, employees and agents. Evidence of  
21 Insurance, e.g., Certificates of Insurance or other similar documentation, shall not be required of either  
22 Party under this MOU.

23 9. To the furthest extent allowed by law, IVEDC shall indemnify, hold harmless and  
24 IVEDC shall indemnify, hold harmless and defend ICTC and each of its members, board members,  
25 officers, officials, employees and agents from any and all loss, liability, fines, penalties, forfeitures,  
26 costs and damages (whether in contract, tort or strict liability, including but not limited to personal  
27 injury, death at any time and property damage) incurred by IVEDC, ICTC or any other person, and  
28 from any and all claims, demands and actions in law or equity (including attorney's fees and litigation

1 expenses), arising or alleged to have arisen directly or indirectly from the negligent or intentional acts  
2 or omissions, or willful misconduct of IVEDC or any of its members, board members, officers,  
3 officials, employees or agents in the performance of this MOU.

4 ICTC shall indemnify, hold harmless and defend IVEDC and each of its members, board  
5 members, officers, officials, employees and agents from any and all loss, liability, fines, penalties,  
6 forfeitures, costs and damages (whether in contract, tort or strict liability, including but not limited to  
7 personal injury, death at any time and property damage) incurred by ICTC, IVEDC or any other person,  
8 and from any and all claims, demands and actions in law or equity (including attorney's fees and  
9 litigation expenses), arising or alleged to have arisen directly or indirectly from the negligent or  
10 intentional acts or omissions, or willful misconduct of ICTC or any of its members, board members,  
11 officers, officials, employees or agents in the performance of this MOU.

12 In the event of concurrent negligence on the part of IVEDC and any of its members, board  
13 members, officers, officials, employees and agents, and ICTC or any of its members, board members,  
14 officers, officials, employees and agents, the liability for any and all such claims, demands and actions  
15 in law or equity for such losses, fines, penalties, forfeitures, costs and damages shall be apportioned  
16 under the State of California's theory of comparative negligence as presently established or as may be  
17 modified hereafter.

18 This section shall survive termination or expiration of this MOU.

19 10. Both Parties retain the right to terminate this MOU with or without cause by notifying  
20 the other Party in writing thirty (30) days prior to termination.

21 11. Nothing herein contained shall be construed to create, and the Parties hereto expressly  
22 disclaim any intent to create, any form of agency relationship, joint venture, or partnership.

23 12. If any term or provision of this MOU, or the application of such provision to a particular  
24 situation, is held by a court of competent jurisdiction to be void, invalid or otherwise unenforceable, the  
25 remaining terms and provisions shall continue in full force and effect.

26 13. This MOU is made and entered into in Imperial County, California. This MOU shall be  
27 construed and enforced in accordance with the laws of the State of California, except that the Parties  
28

1 agree that any action brought by either Party regarding this MOU shall be brought in a court of  
2 competent jurisdiction in Imperial County.

3 14. The Parties hereto agree to act in good faith and deal fairly with the other Party in the  
4 performance of this MOU.

5 15. Notices required hereunder shall be in writing and may be given either personally or by  
6 registered or certified mail, postage prepaid, return receipt requested. If given by registered or certified  
7 mail, such notice shall be addressed as indicated below and shall be deemed given and received upon  
8 the earlier of actual receipt by the Party to whom the notice was sent or return of the requested receipt  
9 to the Party giving notice. Notice personally given shall be deemed given when delivered to the Party  
10 to whom the notice is addressed. Any Party may upon ten (10) days written notice to the other Parties,  
11 change the address where notices are to be sent.

12 NOTICES TO ICTC

13 Imperial County Transportation Commission  
14 Attn: ICTC Project Coordinator  
15 1503 N. Imperial Avenue, Suite 104  
16 El Centro, CA 92243  
17 Telephone: (760) 592-4494  
18 Facsimile: (760) 592-4410

18 NOTICES TO IVEDC

19 Imperial Valley Economic Development Corp  
20 Telephone: (760) 353-8332

21 Physical: 3051 N. Imperial Ave., Suite 102  
22 El Centro, CA 92243

23 Mailing: P.O. Box 3005  
24 El Centro, CA 92244

25 16. This MOU constitutes the full and complete agreement between the Parties. All prior  
26 agreements and understandings with respect to the subject matter of this MOU are merged herein. This  
27 MOU may be executed in counterparts.  
28

1           17. Any modifications within the scope of the MOU shall be made by mutual consent of the  
2 Parties, by the issuance of a written modification, signed and dated by both Parties, prior to any  
3 changes being made.  
4

5           **IN WITNESS WHEREOF**, the Parties have executed this MOU on the day and year first  
6 above written.

7 **IMPERIAL COUNTY**  
8 **TRANSPORTATION COMMISSION:**

**IMPERIAL VALLEY ECONOMIC**  
**DEVELOPMENT CORPORATION:**

9  
10 By: \_\_\_\_\_  
11  
12       Chairman

By: \_\_\_\_\_  
Timothy Kelley  
Chief Executive Officer

13 **ATTEST:**

14  
15  
16 By: \_\_\_\_\_  
17       CRISTI LERMA  
18       Secretary to the Commission

19 **APPROVED AS TO FORM:**

20  
21 KATHERINE TURNER  
22 County Counsel

23  
24 By: \_\_\_\_\_  
25       SARAH SAUER  
26       Deputy County Counsel  
27  
28

**PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA**

**Communications Division  
Broadband, Video and Market Branch**

**RESOLUTION T-17561  
April 6, 2017**

**R E S O L U T I O N**

**RESOLUTION T-17561: Approval of funding for the Rural and Regional Consortia grant application of the Southern Border Broadband Consortium in the amount of \$450,000.**

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**I. SUMMARY**

This Resolution approves grant funding in the amount of \$450,000 from the California Advanced Services Fund (CASF) Rural and Regional Urban Consortia Account (Consortia Account) for the grant application of the Southern Border Broadband Consortium (SBBC). This project will further broadband deployment, access and/or adoption in the Southern region of California.

By furthering broadband deployment, access and adoption, this project is expected to enhance public safety in the San Diego and Imperial county regions of California in the event of fire, flooding, and earthquakes.

**II. BACKGROUND**

On June 23, 2011, the Commission adopted Decision (D.) 11-06-038, which implemented the provisions of Senate Bill (SB) 1040 (Padilla, Stats 2010, Chapter 317) relating to the CASF consortia program and outlined the application and filing process for the program. On September 2, 2015, the Governor signed Assembly Bill (AB) 1262 (Wood, Chapter 242, Statutes of 2015) that reallocated \$5 million from the CASF Broadband Infrastructure Revolving Loan Account to the CASF Consortia Account, thus making additional funds available for consortia activities. Prospective applicants were invited to submit new proposals on January 29, 2016. The recent application process is consistent with D.11-06-038, with the addition of a performance review for applicants with prior Consortia grant experience.

### III. APPLICANT REQUEST

On October 27, 2016, SBBC submitted a grant application for CASF Consortia funding.<sup>1</sup> The deadline for Consortia applications was January 29, 2016; SBBC was informed that their application would be reviewed after all other applications submitted on the January 29 deadline had been approved or denied, and if funds remained available.

#### *Applicants:*

SBBC represents San Diego and Imperial counties. It is a first time consortium applicant for a region that was previously represented by the San Diego Imperial Regional Broadband Consortium. SBBC's application states that it will assist unserved, underserved and outlying rural areas in Imperial and San Diego counties to assess the needs for broadband internet.

#### *Proposals*

SBBC requests a total budget of \$675,000 for a three-year program, of which \$450,000 will come from CASF funding. An additional \$225,000 estimated in kind contribution value will be supplied by its members.<sup>2</sup> SBBC proposes to collect and update information regarding broadband infrastructure, assets, and availability; promote broadband deployment and availability for residences and businesses, and increase the rate of broadband adoption by facilitating the impact of consumer education, outreach, and adoption. Specifically, SBBC will continue to collect data for unserved and underserved areas in its region and publish the data via a web platform and means already used. SBBC plans to conduct workshops to identify more broadband providers in the area, identify services they offer, and determine if their interest in providing services to community members at affordable prices. SBBC will continue to work with agencies that have had success in the past with CASF grants to encourage more applications to the program.

### IV. NOTICES

On February 18, 2016, CD posted a list of applications received by the January 29, 2016 deadline on the Commission's CASF Consortia Account webpage,<sup>3</sup> and sent email

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<sup>1</sup> Fifteen applications were submitted by January 29, 2016.

<sup>2</sup> In-kind contribution refers to members' time and efforts associated with the project.

<sup>3</sup> <http://www.cpuc.ca.gov/General.aspx?id=908>.

notices regarding the proposed projects to its CASF Distribution List. On November 11, 2016, CD posted the information for SBBC to the CASF Consortia webpage.<sup>4</sup>

## V. PROJECT REVIEW

### A. Project Eligibility

SBBC's application is eligible because they meet the minimum criteria established by D.11-06-038 and CD's review of how efficiently and cost-effectively previously granted Consortia funds were spent as a basis for awarding any new and/or additional funding.

### B. Project Criteria Evaluation

CD evaluated all proposals with respect to the criteria defined in D.11-06-038, Attachment G, Scoring Criteria. The criteria includes: (1) Work Plan, (2) Action Plan, (3) Budget, (4) Regional Consortium's/Members Experience, and (5) Regional Consortium Representation and Endorsements. CD's evaluation of this project is summarized below.

#### *Work Plan*

**SBBC's** Work Plan contains discrete, clear tasks and deliverables, with acceptable timelines for completion (see Appendix A). Activities itemized in the Work Plan are consistent with the Action Plan. For example, for the outreach program, SBBC will survey approximately 5,000 residents; a minimum of 50 interviews or surveys to improve maps; develop a minimum of 1 outreach campaigns; and identify potential telecom companies interested in expanding access to broadband to unserved and underserved areas.

Some other areas that SBBC intends to focus on are education issues in the region. More specifically, SBBC members proposes to assist existing programs to eliminate the "homework gap" in which students do not have access to the information that is necessary for their studies/homework; they will also work with organizations that give children in foster care computers, and will expand such programs to senior citizens.

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<sup>4</sup> On October 27, 2016 the Commission received an application for Southern Border Broadband Consortium. This application was received after the deadline, and is not guaranteed consideration in this funding round. The contact information can be found [here](#). Please contact the listed consortium representative for more information.

SBBC wants to increase broadband availability to the unserved regions to help community members with various issues such as: access to online job applications, telehealth for remote medical access, to get online degrees to further education, and for small online businesses and ecommerce to grow. <sup>5</sup>

SBBC will work with broadband providers in the area (Frontier, Charter, TDS Telecom) to further increase access to underserved areas. In the past, SBBC members have worked with utilities providers to add broadband infrastructure to existing power lines.

#### *Action Plan*

**SBBC** provided a clear Action Plan consistent with program requirements defined in D.11-06-038. SBBC proposes to promote broadband deployment and availability to residences and businesses and identify high priority underserved and unserved target populations and communities. These are consistent with the “core responsibilities” outlined in D.11-06-038.

#### *Budget*

**SBBC’s** budget request of \$450,000 covers a three-year period. Based on CD staff’s review of the Action Plan and Work Plan, CD staff determined that the budget is reasonable for the tasks proposed and should be adopted.

#### *Regional Consortium’s/Members Experience*

**SBBC’s** members have direct experience with broadband deployment and adoption efforts. SBBC members have been involved in projects to seek connectivity solutions for schools with geographic, technological, and fiscal constraints. In addition, members have been implemented a demonstration program to provide internet access to long distance fixed route buses that travel between rural areas. As government officials, emergency service workers, educators, etc., they have direct experience working with culturally and linguistically diverse communities.

#### *Regional Consortium Representation and Endorsements*

**SBBC’s** representation includes local business owners, non-profit organizations, financial institutions as well as local government agencies. CD received 40

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<sup>5</sup> SBBC will work to address Rancho Santa Fe Fairbanks Ranch in San Diego County, and Desert Shores in Imperial County- two high impact areas identified by the Communications Division [White Paper](#) mailed on 2/17/17.

endorsements from health care organizations, educations, as well as non-profit and for-profit businesses. CD received nine endorsements from the City of Brawley, The City of El Centro, and the Imperial County Fire Department.

## **VI. STAFF RECOMMENDATIONS FOR FUNDING**

CD staff has determined that the SBBC application qualifies for funding. SBBC scored at least 70 of 100 points with clear and detailed proposals. CD staff's evaluation of this proposal finds that it meets the requirements of D.11-06-038, and supports broadband deployment, access, and adoption. CD staff recommends approval of this proposal.

## **VII. COMPLIANCE REQUIREMENTS**

SBBC is required to comply with all the guidelines, requirements, and conditions associated with the grant of CASF funds as specified in D.11-06-038 and this Resolution. Such compliance includes, but is not limited to the following:

### **A. Execution and Performance**

CD staff will coordinate start dates with each consortium grantee. The estimated start date is May 1, 2017. By receiving a CASF grant from the Commission, SBBC agrees to comply with the terms, conditions, and requirements of the grant and thus submit to the jurisdiction of the Commission with regard to disbursement and administration of the grant.

Should SBBC fail to complete the project in accordance with the terms of the CPUC approval as set forth in this resolution, SBBC must reimburse some or all of the CASF funds it has received. If SBBC fails to perform in good faith, or in accordance with the expectations set forth in its Action Plan, Work Plan and Consent Form,<sup>6</sup> as affirmed in the affidavit, the Commission may withhold subsequent grant disbursement or suspend or terminate the Consortium grant, as warranted.

Any changes to the substantive terms and conditions underlying the Commission approval of the Consortium grant must be communicated in writing to the Communications Director at least 30 days before the anticipated change, and may be

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<sup>6</sup> D.11-06-038, Attachment H.

subject to approval by either the Director or by Commission resolution before becoming effective.

B. Summit Requirement

D.11-06-038 directed CD staff to schedule and host on at least an annual basis a Regional Consortia Learning Community Summit, and required all consortia receiving California Advanced Services Fund grants to attend the Summit. D.11-06-038 allocated up to \$10,000 per consortium for summit attendance. In Resolution T-17529, the Commission modified this requirement so that at least one summit during the grant implementation period will be organized.<sup>7</sup>

C. Fiscal Agent

D.11-036-038 requires:

Each regional Consortium must retain at least one Fiscal Agent with lead responsibility and legal authority to represent the Consortium for purposes of sponsoring the application, and for administration of Consortium activities, including receipt and disbursement of Consortium grant funds. In any event, the Fiscal Agent must affirmatively agree, on behalf of the Consortium, to comply with the Commission's directives and conditions relating to the review, approval, and administration of any Consortia application grants. This requirement is to provide assurance that Consortium members or contractors retained by the Consortium are capable and committed to delivering on the commitments to be funded.<sup>8</sup>

CD staff reviewed the applications and determined that the application meets this requirement. Specifically, for each application, the Fiscal Agent signed an affidavit, under penalty of perjury, that to the best of his or her knowledge, all statements and representations made in Consortium application are true and correct, and affirmed to fulfill the requirements of the CPUC with respect to grant administration.<sup>9</sup>

The Fiscal Agent shall comply with all rules and requirements set forth in D.11-06-038, including but not limited to ensuring implementation of the approved Work Plan within the allocated budget (in conjunction with the consortium program manager),

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<sup>7</sup> Resolution T-17529, dated August 18, 2016.

<sup>8</sup> D.11-06-038, p. 25.

<sup>9</sup> Imperial County Transportation Commission, Fiscal Agent for SBBC has agreed to comply with the CPUC's grant administration requirements.

and shall be responsible for notifying CD of any proposed changes to the Work Plan or budget during the course of the grant cycle.

D.11-036-038 further requires each Consortia grantee to:

...maintain books, records, documents and other evidence sufficient to substantiate expenditures covered by the grant, according to generally accepted accounting practices. Each Consortia grantee shall make these records available to the Commission upon request and agrees that these records are subject to a financial audit by the Commission at any time within three years after the Grantee incurred the expense being audited. A Consortia grantee shall provide access to the Commission upon 24 hours' notice to evaluate work completed or being performed pursuant to the grant.<sup>10</sup>

Lastly, D.11-06-038 requires that the Fiscal Agent must submit a letter stating the Fiscal Agent's commitment to act as a Fiscal Agent for the Consortium. The letter must include:<sup>11</sup>

- The name and contact information of the responsible party within the agency, including the person responsible for the administrative tasks, if different.
- Affirmation that the work outlined in the Consortium Work Plan will be completed and verification by an Attestation Report prepared by an independent, licensed Certified Public Accountant will be submitted annually to the Communications Division. The letter must also state the Consortium's acceptance of the Fiscal Agent's rights, duties, and responsibilities.

D. Distinguishing CASF from other Financial Resources

D.11-06-038 requires that the consortium take steps to ensure that that CASF grant budget does not duplicate funding from other non-Consortia Account funding.<sup>12</sup> All grantees must ensure that *only* CASF-approved activities will be billed to the Consortia

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<sup>10</sup> D.11-06-038, p. 29.

<sup>11</sup> Id. at pp. 25-26.

<sup>12</sup> D.11-06-038, Ordering Paragraph 11, p. 40, "Any proposed consortium budget must expressly exclude any costs for activities or programs within the consortia region that are separately funded from any other sources in order to ensure that California Advanced Services Fund grants do not duplicate funding from any other sources."

Account, and activities obligated to other funding resources will not be billed to the CASF Consortia Account.

Prior to initiation of Work Plan activities, the Fiscal Agents for SBBC must communicate to CD staff how they will ensure that billing to discrete funding sources does not overlap.

E. Payments

D.11-06-038 requires that submission of invoices from and payments to the grantees shall be made at quarterly intervals. Specifically, D.11-06-038 states:

In order to receive a progress payment, the Consortium must first submit the Quarterly Progress Report to the Communications Division, together with all requests for payment and reimbursement supported by relevant invoices receipts, etc. ... Further, the Quarterly Progress Report shall indicate the actual date of completion of each task/milestone as well as problems/issues encountered and the actions taken to resolve these problems/issues. The Quarterly Progress Report will be submitted and certified under penalty of perjury.<sup>13</sup>

Furthermore, documentation should substantiate the consortium's progress in following its proposed Action Plan, Work Plan, with the approved budget. Billing should only be for activities related to broadband deployment, access, and adoption.

F. Project Audit

The Commission's Communications Division has delegated authority to initiate and enforce any necessary audit, verification, and discovery of consortium members relating to grant funding activities to ensure that CASF funds are spent in accordance with Commission adopted rules and standards.<sup>14</sup>

SBBC's invoices and other relevant records will be subject to a financial audit by the Commission or its designee at any time within three years after SBBC incurred the expense being audited.

G. Lobbying and Advocacy Efforts

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<sup>13</sup> Id. at, p. 30.

<sup>14</sup> D.11-06-038, p. 29; see also Pub. Util. Code, § 270.

SBBC is free to advocate on any legislation of their choosing. However, no work on proposed state legislation including meetings, travel, or lobbying may be billed to or reimbursed by the CASF Consortia Grant program.

#### H. Reporting

SBBC must submit quarterly progress reports on the status of the project irrespective of whether grantees request reimbursement or payment.<sup>15</sup> Quarterly progress reports must begin the first quarter after the Commission approval of the grant proposal. Quarterly reports are due May 1, 2017, August 1, 2017, November 1, 2017, and so on for the remainder of the grant period, irrespective of payment requests.

### VIII. SAFETY IMPACT

By furthering broadband deployment, access and adoption, these projects are expected to enhance public safety in the San Diego and Imperial County regions of California in the event of fire, flooding, or earthquakes.

### IX. COMMENTS

In compliance with Pub. Util. Code section 311(g)(1), a Notice of Availability was e-mailed on March 3, 2017 informing all parties on the CASF Distribution List of the availability of the draft of this Resolution for public comments at the Commission's website at <http://www.cpuc.ca.gov/>. This letter also served to inform parties that the final conformed Resolution the Commission adopts will be posted and available at this same website. CD received no comments.

### X. FINDINGS

1. On September 2, 2015, the Governor signed legislation (AB1262) that reallocated \$5 million from the CASF Broadband Infrastructure Revolving Loan Account to the CASF Consortia Grant Account.
2. Fifteen prospective grantees filed applications on January 29, 2016. CD posted each applicant's name, contact information, and coverage area by county on the CPUC Consortia Account webpage on February 18. On October 27, 2016, SBBC

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<sup>15</sup> D.11-06-038, p. 30.

submitted a grant application for CASF Consortia funding. On November 11, 2016, CD posted the information for SBBC to the CASF Consortia webpage.

3. CD reviewed SBBC's application according to the guidelines, requirements, and evaluation criteria adopted in D.11-06-038, which include regional consortium representation and endorsements, regional consortium's/members' experience, action plans, work plans, and budgets. CD also evaluated the applications based on the merits of each proposal, past performance including achievements, fiscal responsibility and cost effectiveness.
4. Based on its review, CD determined that SBBC's proposed project meets eligibility requirements and qualifies for funding under D.11-06-038.
5. CD recommends CASF consortia grant approval of total funding of \$450,000 for SBBC.
6. SBBC is required to retain at least one Fiscal Agent with lead responsibility and legal authority to represent the Consortium for purposes of sponsoring the application, administration of Consortium activities, including receipt and disbursement of Consortium grant funds. The Fiscal Agent must also affirmatively agree on behalf of the Consortium to comply with the Commissions directives and conditions relating to review, approval and administration of any Consortia application grants.
7. The Fiscal Agent for SBBC must submit a letter stating the fiscal agent's commitment to act as a Fiscal Agent for the Consortium. The letter must include: the name and contact information of the responsible party within the agency, including the person responsible for the administrative tasks, if different; and affirmation that the work outlined in the Consortium Work Plan will be completed and verification by an Attestation Report prepared by an independent, licensed Certified Public Accountant will be submitted annually to the Communications Division. The letter must also state the Consortium's acceptance of the Fiscal Agent's rights, duties, and responsibilities.
8. SBBC is required to comply with all guidelines, requirements, and conditions associated with the granting of CASF funds as specified in D.11-06-038 and this

Resolution, including only billing for activities related to broadband deployment, access, and adoption in approved Action and Work Plans.

9. SBBC is required to expressly exclude any costs for activities or programs from the proposed consortium budget that are separately funded from any other sources in order to ensure that CASF grants do not duplicate funding from any other sources.
10. D.11-06-038 directs CD to schedule and host a Regional Consortia Learning Community Summit, and authorizes \$2,000 per person for up to five delegates annually for each approved consortium. Resolution T-17529, adopted on August 18, 2016 modified this requirement so that at least one summit during the grant implementation period will be organized.
11. The Commission finds CD's recommendation reasonable and consistent with Commission orders and, therefore, adopts such recommendation.
12. A notice was emailed on March 3, 2017 informing the parties of record in Decision 11-06-038 of the availability of the draft of this Resolution for public comments at the Commission's website <http://www.cpuc.ca.gov/PUC/documents/>. This letter also informed parties that the final conformed Resolution adopted by the Commission will be posted and available at this same website. CD received no comments.

**THEREFORE, IT IS ORDERED THAT:**

1. The Commission shall award \$450,000 to Southern Border Broadband Consortium (SBBC). All awards are based on the descriptions of the projects as described herein. The Approved Work plan for SBBC is in the attached Appendix.
2. Payments to SBBC shall be in accordance with guidelines adopted in D.11-06-038 and in accordance with the process defined in the "Payments" section of this Resolution.
3. The Fiscal Agent for SBBC must submit a letter stating the fiscal agent's commitment to act as a Fiscal Agent for the Consortium. The letter must include: the name and contact information of the responsible party within the agency, including the person responsible for the administrative tasks, if different; and affirmation that the work

outlined in the Consortium Work Plan will be completed and verification by an Attestation Report prepared by an independent, licensed Certified Public Accountant will be submitted annually to the Communications Division. The letter must also state the Consortium's acceptance of the Fiscal Agent's rights, duties, and responsibilities.

4. SBBC shall comply with all guidelines, requirements and conditions associated with the CASF funds award as specified in D.11-06-038 and this Resolution.
5. Prior to commencement of SBBC projects, each Fiscal Agent must provide CD with the method chosen to distinguish funding sources and billing practices, to ensure that CASF payments are not duplicated by other sources.
6. The disbursement of funds shall be subject to the requirements set forth in D.11-06-038 and this Resolution including the submission of quarterly progress reports and supporting documentation for payment reimbursement, yearly status reports for informing the legislature, and a completion report to be submitted with the final payment request.
7. By receiving a CASF grant from the Commission, SBBC agrees to comply with the terms, conditions, and requirements of the grant and thus submit to the jurisdiction of the Commission with regard to disbursement and administration of the grant.
8. SBBC must use the grant funds solely for the approved project as described in the Consortia Commission-approved Action Plan and Work Plan, (or approved revisions to such Plans and budgets).
9. Any changes to the substantive terms and conditions underlying Commission approval of the grant (e.g., changes to Action Plan, Work Plan, budget or designated Fiscal Agent, etc.) must be communicated in writing to the Communications Division Director at least 30 days before the anticipated change, and may be subject to approval by either the Director or by Commission resolution before becoming effective.
10. The Commission may withhold or terminate grant payments to SBBC if the consortium does not comply with any of the requirements set forth in Decision 11-06-038 and this Resolution.
11. In the event that SBBC fails to complete the project in accordance with the terms of approval granted by the Commission and this Resolution, the consortium, represented by the Fiscal Agent, will be required to reimburse some or all of the CASF funds that it has received.

Resolution T- 17561  
CD/TGC

12. The commencement of the grant cycle will be May 1, 2017.

I hereby certify that this Resolution was adopted by the Public Utilities Commission at its regular meeting on April 6, 2017. The following Commissioners approved it:

/s/ Timothy J. Sullivan

TIMOTHY J. SULLIVAN

Executive Director

MICHAEL PICKER

President

CARLA J. PETERMAN

LIANE M. RANDOLPH

MARTHA GUZMAN ACEVES

CLIFFORD RECHTSCHAFFEN

Commissioners

## **APPENDIX**

**APPENDIX A**  
**Southern Border Broadband Consortium**  
**Work Plan**

Activities	Y1 Q1	Y1 Q2	Y1 Q3	Y1 Q4	Y2 Q1	Y2 Q2	Y2 Q3	Y2 Q4	Y3 Q1	Y3 Q2	Y3 Q3	Y3 Q4	Outcome/Deliverable
Work with local stakeholders to identify, prioritize and advance digital access projects	X	X	X	X	X	X	X	X	X	X	X	X	Summary reports identifying digital access projects
Identify funding sources and funding gaps	X	X	X	X	X	X	X	X	X	X	X	X	E-Newsletters, E-blasts, social media posts, recommendations for each county
Facilitate and promote broadband educational	X	X	X	X	X	X	X	X	X	X	X	X	Summary reports on resources and collaboration on education and outreach efforts
Research, compile and analyze data from surveys and maps	X	X	X	X	X	X	X	X	X	X	X	X	Summary reports to share with stakeholders
Conduct community and business surveys	X		X		X		X		X		X		Summary reports for each cities and recommendations
Perform and promote ground truth speed testing	X	X	X	X	X	X	X	X	X	X	X	X	Synthesized survey results
Work with local agencies to facilitate applications for public housing grants and broadband infrastructure grants	X	X	X	X	X	X	X	X	X	X	X	X	Summary report, grant assistance, working grant timelines for each applications submitted
Attend Quarterly Consortia Meetings				X				X				X	To continue engaging information with other California Consortia
Identify Two Disconnected Areas where broadband is not available but needs to exist	X	X	X	X									Summary reports
Identify Low Adoption Areas where broadband is available but under utilized	X	X	X	X									Summary reports, tool kit
Research and surveys homework gap	X	X	X	X									Survey households with children
Identify Four Disconnected Areas by prioritized list of projects where broadband is not available but needs to exist					X	X	X	X					Summary reports

Resolution T- 17561  
 CD/TGC

Develop Improved Maps				X	X	X	X						Summary reports from interviews and surveys
Research and surveys senior access to internet					X	X	X	X					Summary reports from nursing homes and households
Implement homework gap infrastructure					X	X	X	X	X	X	X	X	Synthesized research and surveys summary report for each county
Elicit government and local government support			X	X	X	X	X	X	X	X	X	X	Establish policies promoting broadband deployment and adoption
Convene and coordinate stakeholders, funding sources and telecoms to identify and prioritize core set of projects					X	X	X	X	X	X	X	X	Reports that identify specific projects and implementation strategies
Work with telecoms to increase enrollment for low-cost home and business internet solutions					X	X	X	X	X	X	X	X	Summary reports and resource guides for all counties
Implement broadband access to senior							X	X	X	X	X	X	
Implement Public Awareness Campaign									X	X	X	X	Summary reports from findings with stakeholders to all counties

Decision 11-06-038 June 23, 2011

**BEFORE THE PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA**

Order Instituting Rulemaking to Consider Modifications to the California Advanced Services Fund Including Those Necessary to Implement Loan Program and Other Provisions of Recent Legislation.

Rulemaking 10-12-008  
(Filed December 16, 2010)

**DECISION IMPLEMENTING BROADBAND CONSORTIA GRANT****1. Introduction**

In this decision, we take another important step to promote the widespread availability of high-speed broadband advanced communications services through the California Advanced Services Fund (CASF) program. The CASF is designed to encourage deployment of high-quality advanced communications services to all Californians that will promote economic growth, job creation, and the substantial social benefits of advanced information and communications technologies.<sup>1</sup> Specifically, we implement herein provisions of Senate Bill (SB) 1040 relating to the Rural and Urban Regional Broadband Consortia Grant Account (Consortia program). Through the Consortia program,

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<sup>1</sup> See California Pub. Util Code Sec. 281. The CASF was first established in Decision (D.) 07-12-054.

we promote more widespread availability of advanced communications services for all Californians by fostering increased broadband deployment and adoption.<sup>2</sup>

As previously noted in D.07-12-054, ubiquitous deployment of broadband is widely regarded as holding tremendous opportunities for consumers, technology providers, and content providers. These various public sectors will thus benefit from the Consortia grant program as funded activities lead to greater acceptance, adoption and deployment of broadband services within areas of California that are underserved or not served at all. The Consortia funding program will advance universal service policies aimed at bridging the “digital divide” as articulated in Pub. Util. Code § 709(c) and (d).

The Commission will administer the Consortia program, as set forth in SB 1040, through the application filing process outlined in this decision. Grants will be awarded to only one Regional Consortium per geographic region<sup>3</sup> to avoid duplication. The Commission, itself, will not organize Consortia but will select eligible Consortia among those submitting applications, and award grants by Commission resolution based on designated criteria set forth herein. It will

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<sup>2</sup> Broadband refers to the width of frequency bands used to transmit data or voice communications over the Internet. Depending on the width of the frequency band, information can be sent on many different frequencies or channels with broadband concurrently, allowing for advanced services, including video, to be transmitted at much faster speeds than would otherwise be available over a dial-up telephone connection to the Internet.

<sup>3</sup> A “geographic region” as used here means a regional area within California that consists of cities, counties, and/or unincorporated areas that have united to form a network of leaders representing public, non-profit, and/or for-profit entities that share common goals and objectives regarding broadband deployment and adoption. We define a “Regional Consortium” as a network of leaders in a geographic region that represents public, non-profit, and/or for-profit entities that share common goals and objectives.

be the responsibility of each Consortium applicant to assemble its own membership and to delineate its geographical region of responsibility. The Commission will approve Consortia Grant Account funding based upon various eligibility factors, as detailed below. The Commission will retain continuing oversight of grant disbursements to ensure that funds are spent on authorized functions that meet set objectives and timelines specified in grantees' applications.

To assist prospective applicants for Consortia grants in preparing their requests in a manner that meets Commission requirements, we have provided a series of sample attachments at the end of this decision that illustrate various key informational requirements and documents that must be properly completed with the application in order to be considered for approval. The purpose and contents of each of these forms and information requirements is discussed in detail below. The attachments provided at the end of this decision are summarized as follows:

- A. Action Plan and Work Plan Contents
- B. Sample of Action Plan Format
- C. Sample of Work Plan Format
- D. Requested Budget
- E. Affidavit Form
- F. CASF Consortia Application Checklist
- G. Consortium Scoring Criteria
- H. Consent Form
- I. Sample of Quarterly Report Format

## **2. Background**

The California Advanced Services Fund (CASF) was established in D.07-12-054 whereby \$100 million was allocated for purposes of awarding

financial assistance to qualifying broadband deployment projects. The Commission subsequently approved a significant number of qualifying broadband projects for funding under the CASF program.

Prior to SB 1040, the CASF was scheduled to sunset as of January 1, 2013. Senate Bill (SB) 1040 repealed the CASF sunset provision, however, and expanded the program significantly, increasing the CASF fund capacity from \$100 million to \$225 million. The additional funds are to be collected in annual \$25 million increments from 2011 through 2015. SB 1040 also created two new accounts, the Rural and Urban Regional Broadband Consortia Grant and the Broadband Infrastructure Revolving Loan accounts. Both of these accounts are entirely new and created to address unmet needs under the current CASF program. SB 1040 allocated funds as follows to these three accounts now established under the CASF:

- The Broadband Infrastructure Grant Account (\$100 million);
- The Rural and Urban Regional Broadband Consortia Grant Account (\$10 million) ; and
- The Broadband Infrastructure Revolving Loan Account (\$15 million).

The Commission instituted this proceeding to implement new funding provisions resulting from SB 1040 and to address other possible changes to the existing CASF program, including those suggested in a pending petition by the Commission's Division of Ratepayer Advocates (DRA) to modify D.07-12-054. Opening comments on the Order Instituting Rulemaking (OIR) were filed on January 21, 2011, with reply comments filed on February 14, 2011.

This interim decision is limited to the implementation of the Consortia program which is "to fund the cost of broadband deployment activities other

than the capital cost of facilities, as specified by the commission.” (Pub. Util. Code § 281(d).) Accordingly, we focus herein only on the comments relating to the Consortia Grant Account. The assigned Commissioner issued a scoping memo on April 19, 2011. A draft proposed plan to implement the administration of the Consortia Grant Account program was issued for comment on April 26, 2011. Comments were filed on May 9, 2011. Parties filing comments included telephone companies, cable companies, consumer groups, the California Emerging Technology Fund (CETF) regional partners, and other regional and community groups focused on broadband adoption and deployment.<sup>4</sup> These comments presented a spectrum of perspectives on how Consortia funds should be administered and distributed. We have reviewed the comments as appropriate in preparing the instant decision.

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<sup>4</sup> Telephone companies offering comments included: AT&T California and its affiliates, Verizon California Inc., Frontier Communications of California and its affiliates, DTS of CA, Inc. (DTS), and the Small LECs. DTS is a satellite-based provider that has sought authority to be a Small ILEC in all of the unserved areas of California.

The cable companies offering comments included: Cox Communications and Comcast Phone of California, LLC.

The consumer groups offering comments included: DRA, The Utility Reform Network (TURN), and Greenlining Institute.

Several significant comments were filed by regional groups associated with the CETF, including: the California Partnership for the San Joaquin Valley, the Sierra Economic Development Corporation, the Amador-Tuolumne Community Action Agency, Shepherds Crook Enterprises, the Contra Costa Council, CSU-Monterey Bay, Valley Vision, and the California Center for Rural Policy.

Other regional and community groups offering comments included: the Corporation for Education Network Initiatives in California, the Regional Council of Rural Counties, Spiral Internet/Nevada County Connected, and Camino Fiber Network Cooperative, Inc.

### **3. Overview of Parties' Positions**

As a basis for this decision, we have considered the comments from parties in response to the OIR, and in response to the Draft Proposal issued by ruling on April 26, 2011.

Various parties, including those representing regional Consortia (Consortia Parties), commented on what the Consortia's role with respect to CASF goals should be. Parties representing Consortia generally view the role of the Consortia grant program as assisting the Commission in evaluating and making recommendations on future CASF infrastructure applications to ensure that projects address regional priorities and achieve optimal cost effectiveness. Consortia parties proposed the following functions be covered by the regional Consortia grant program:

- a. Conduct information briefings for stakeholders and providers about CASF and the opportunity to apply for funds;
- b. Identify and convene interested parties to discuss options for infrastructure applications to CASF and to explore opportunities for coordinating use of assets to achieve the most cost-effective proposals;
- c. Provide regional data and information to all interested applicants to submit applications to CASF;
- d. Work with public agencies and private-sector industry clusters (and other prospective customers) to facilitate interaction with applicants to CASF;
- e. Review and comment on both CASF infrastructure grant and loan applications submitted from the region as a formal part of the Commission staff assessment and analysis of the projects; and
- f. Ensure policies are put in place by local governments throughout the region to promote broadband deployment and adoption.

Some parties suggest that the CETF or its partners should be part of the Commission's formal process of reviewing CASF grant or loan applications. The Small Local Exchange Carriers disagree, however, arguing that injecting these entities into the Commission's formal application review process would create confusion and possibly compromise the transparency of the Commission's review.

DRA believes that the Consortia program is duplicative of the role of the CETF, which was created by the Commission in 2005, after approving major telecommunications mergers. DRA agrees that if administered prudently, however, the Consortia program may facilitate further adoption of broadband services in California.

The CETF is a non profit organization dedicated to making grants to existing community based organizations in California who perform projects consistent with the CETF "digital-divide" goals. The Commission founded the CETF to achieve ubiquitous access to broadband by expanding adoption and use of broadband services. The CETF consists of \$60 million of apportioned ratepayer monies for the purpose of further developing broadband deployment and adoption in California.

DRA recommends that Consortia program grants be awarded only for proposed broadband projects, but not to further subsidize existing Consortia organizations. If regional Consortia are consulted for project recommendations, DRA believes Consortia should either be preexisting, or should seek funds from the CETF for core funding. Otherwise, the State and the Commission will oversee two identical programs that function independently of one another. DRA asserts that it is more practical for the Commission to administer the

Consortia program for project completion and to further broadband deployment and adoption, and advise parties to seek CETF funds for “core funding.”

Many community-based organizations filing comments argue that only one publicly supported Consortium covering any given geographic region should be funded and that only existing regional Consortium should be eligible for funding or at least be given preference. Many of these parties also argue for adoption of Consortia criteria developed by the CETF.

TURN states that although the CETF and the existing Regional Consortia have achieved important results in helping bridge the digital divide in California, these organizations do not have all the answers for solving the lack of broadband in many communities. TURN believes that limiting eligible Consortia to only one existing regional Consortium based solely on CETF criteria would inherently limit expansive public participation and creation of new regional Consortium. CETF follows a venture philanthropy grant making model whereby the CETF Board decides what should be funded. Given that monies paid by ratepayers fund the CASF, TURN argues that the process must promote inclusiveness, accountability, and transparency. CETF has no such requirements.

TURN recommends that once a Consortium is approved for funding, the Consortia should have the duty to invite to participate any members of the public who desires to do so. TURN recognizes that the details of what exactly such participation would have to be developed, but as a general rule, TURN believes that the Consortia should allow all to be heard, to have a voice in the work of the Consortia and that the Consortia’s processes, meetings, etc, should be noticed and public.

TURN also proposes that non-Commission-regulated entities that apply for CASF funds be required to submit to Commission jurisdiction as a condition

to receiving such funding. TURN argues that the Commission can require non-regulated entities to comply with conditions in order to receive CASF funding including consumer protections, quality standards any price caps, etc.

SB 1040 appropriates a total of \$10 million of funds to the Consortia grant program. Various Consortia Parties recommend that the Commission appropriate to each Regional Consortium \$150,000 per year and a total baseline funding of \$450,000 for three years.<sup>5</sup> Consortia Parties further request an additional \$2,000 per person (per diem) for up to five delegates annually to participate in the Regional Consortia Learning Community Summit. Various parties state that such a funding level was the original basis for projecting a need of \$10 million in the Consortia program.

DRA, in contrast to other parties, argues that suggestions to award \$2,000 per diem costs and \$150,000 minimum level “core funding” do not comport with the intent for broadband deployment and adoption. DRA does not believe that the CASF program funds were intended to support and fund all activities of regional Consortia. DRA contends that proposals to allocate monies for per diem costs and core funding would exhaust a significant portion of the Consortia grant fund before a single application is reviewed.

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<sup>5</sup> See Comments of Redwood Coast Connect, Steven M. Karp, at 5; Comments of Teri Murrison, at 7; Comments of Valley Vision, at 6; Comments of Arlene Krebs, CSU Monterey Bay at 2; Comments of Amador-Tuolumne Community Action Agency at 7; Comments of Redwood Coast Connect, Dero Forslund, at 6; Comments of Contra Costa Council, at 5; Comments of the California Center for Rural Policy, at 5; Comments of California Partnership for the San Joaquin Valley, at 10; Comments of Sierra Economic Development Corporation, at 3.

#### **4. Adopted Goals, Objectives, and Role of Regional Consortia**

As a basis for establishing the procedures and protocols for administering the Consortia grant program, we must first identify what are the relevant goals, objectives and roles of the program and its participants. We shall adopt appropriate goals, objectives, and membership of the Consortia grant program consistent with the statutory mandate specified in Pub. Util. Code § 281 which states:

Moneys in the Rural and Urban Regional Broadband Consortia Grant Account (Consortia program) shall be available for grants to eligible Consortia to fund the cost of broadband deployment activities other than the capital cost of facilities, as specified by the Commission. An eligible Consortium may include, as specified by the commission, representatives of organizations, including, but not limited to, local and regional government, public safety, K-12 education, health care, libraries, higher education, community-based organizations, tourism, parks and recreation, agricultural, and business, and is not required to have as its lead fiscal agent an entity with a certificate of public convenience and necessity.

Consistent with this statutory language, the membership of Consortia can be quite broad, encompassing the range of community interests that share the common purpose of promoting greater deployment and adoption of broadband. SB 1040 specifies eligibility criteria for a Consortium, but authorizes the Commission to provide further guidance in regards to administration of funds, delegation of authorities, and objectives of the Consortia. The procedures we adopt herein provide the requisite guidance. We are further guided by the broad purposes for which the CASF program has been administered to date.

We will not adopt a rigid definition of a “geographic region” prescribing minimum or maximum sizes of individual consortia. Similarly, we will not

predetermine or mandate the precise number of consortia to receive CASF grants. Given the range of variations in demographics and broadband needs among diverse regions within California, we recognize that a one-size-fits-all policy for establishing regional consortia is not practical or desirable. While we adopt general standards and guidelines in this decision to govern the formation and membership of eligible consortia, the details regarding the size and membership of each consortium should be worked out within each local region. In this regard, the regional consortia previously formed through the CETF may offer a useful point of reference to local entities contemplating formation of a CASF consortia. In any event, we anticipate awarding grants to multiple consortia of varying sizes and demographic characteristics consistent with the general standards and principles adopted in this decision.

We recognize the primary role of the CASF Consortia Grant Account program as helping to bridge the “digital divide.”<sup>6</sup> Funding designated to regional Consortia activities shall be designed to promote regionally appropriate and cost-effective broadband deployment, access, and adoption within a given region. A regional Consortium will serve as the umbrella organization, coordinating efforts across public, private, and community-based parties as set forth in SB 1040, to close gaps and leverage opportunities aimed at increasing broadband deployment, access, and adoption. Grant funds will be used to promote ubiquitous broadband deployment and to advance broadband adoption in unserved and underserved areas by:

- Increasing sustainability of broadband infrastructure and projects

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<sup>6</sup> As set forth by the Legislature in Public Utilities Code Section 709.

- Promoting broadband deployment (availability) for residences in California
- Promoting broadband access and adoption (knowledge of service options and ability to utilize services as well as subscription of services) for residences in California
- Increasing the rate of broadband adoption by facilitating the impact of consumer education, outreach, and training
- Supporting those community-based parties, especially anchor institutions, that are working to increase deployment, access, and adoption

The CETF partners or any other external Consortia grantees will have no formal role in the Commission's review of CASF applications for infrastructure loans or grants. The CASF review and approval function must remain exclusively under Commission authority. While Consortia may certainly work with grant recipients and may offer input on proposed CASF infrastructure grant projects, a Consortium grant shall not be used for construction of infrastructure facilities.<sup>7</sup>

As noted by TURN, most of the Consortia members will consist of entities that are not licensed carriers, and thus are not otherwise subject to Commission jurisdiction. Such entities may not necessarily be familiar with Commission processes and rules. Accordingly, it is important that all Consortia receiving CASF grant funds recognize and acknowledge that by receiving a CASF grant from the Commission, the Consortia members agree to comply with the terms,

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<sup>7</sup> Since this decision focuses only on the Consortium program, we make no prejudgment concerning whether or how individual consortium members may separately qualify for CASF infrastructure grants or revolving loans. Those issues will be addressed in a subsequent decision to be issued in this proceeding.

conditions, and requirements of the grant and thus submit to the jurisdiction of the Commission with regard to disbursement and administration of the grants. CASF funds are collected from California telecommunications ratepayers, and thus ratepayers are entitled to consumer protections ensuring that CASF funds are administered in a responsible and cost-effective manner. We have included appropriate controls in our adopted processes to ensure that the Commission retains oversight and enforcement tools necessary to carry out its responsibilities in administering this program.

We conclude that Consortia funding should not be limited only to existing Consortia, but should be open both to existing and newly formed Consortia. We recognize, however, that the expertise offered by the CETF Consortia partners may offer valuable advantages in terms of meeting the goals of the CASF consortia program. Our intention is also to avoid duplication with respect to funding sources and program activities, however. Thus, we shall limit CASF grants only to one Consortium per geographic region. Such a limitation is fully consistent with the statute establishing funding for “Regional Broadband Consortia.”<sup>8</sup> We shall also likewise require that any CASF grants be limited and apply only to activities and programs that are not already covered by funding from any other public or private sources.

We agree with TURN’s proposal that the Consortia’s processes, meetings, etc., should be widely noticed and open to public scrutiny. We believe, however, that participation by members of the public should be separate and distinct from the formal membership of the Consortia, itself. Thus, we disagree with TURN

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<sup>8</sup> The use of “regional” in P.U. Code 281(d) indicates legislative intent to limit the Consortia by geography. *See, Webster’s Third New International Dictionary.*

that the Consortia should unilaterally be free to add or subtract members from its official membership list submitted to the Commission as part of its application process. The Commission will review and approve Consortia applications, in part, based upon consideration of the membership making up the Consortia. In order to maintain appropriate oversight of the Consortia funding, therefore, any change in the official Consortia membership must be subject to Commission pre-approval as discussed in Section 10.

##### **5. Amount of Grant Funding Allocations**

The total Consortia program appropriation as authorized in SB 1040 is \$10 million. The majority of parties support a base funding of \$150,000 per Consortium per year over a three-year period as a standard for awarding grants. Various parties note that setting a core funding level of \$150,000 per year and \$450,000 for three years was the original basis for projecting a need of \$10 million in the Consortia Account as enacted by SB 1040. However, instead of using a base of \$150,000 as a core standard, the Commission plans to initially award grants based only upon the budgeted level of program activities approved for each Consortium, subject to a maximum funding cap of \$150,000 per year per Consortium. The initial round of consortia applications may request funding covering up to a three-year period, capped at no more than \$450,000 per consortium. Where an application seeks multi-year funding, however, the application must still present separate year-by-year annual workplans and budgets.

Various parties state that a modified approach is warranted within Los Angeles County in view of its concentrated population whereby grants may be requested in lesser amounts by smaller sub-regional Consortia. We agree that a modified funding approach is warranted for the Los Angeles County region, to

allow for grants funding separate sub-regional Consortia that are partners of a larger regional Consortium. Therefore, for the Los Angeles region, we shall require the larger regional Consortium to be the umbrella organization submitting one application on behalf of all partnering sub-regional consortia. Each sub-regional consortium's action plan, work plan, budget, key contact information, and members will be consolidated into the application submitted by the larger regional Consortium with whom they are partners.

Consortia applicants will bear responsibility to identify the separate grant amounts requested for any sub-regional consortia partners, taking into account the smaller scope of a sub-region's planned activities, and recognizing that the nature of deployment and adoption issues in major served urban areas within the Los Angeles metropolitan region is very different from unserved and underserved rural areas in need of infrastructure. Each sub-regional Consortium must reflect such differences in budget and funding requests for its sub-region. In any event, the overall combined grant limits for all Los Angeles sub-regional consortia shall not exceed the established caps of \$150,000 per year and \$450,000 for three years.

Depending on the number and size of given sub-regional Consortia, the requested size of grants should thus be reduced accordingly in relation to grants for larger regional Consortia. Application requirements specified in this decision applicable to regional Consortia shall also apply to sub-regional Consortium. In addition, a sub-regional Consortium application must clearly identify its partner relationship with a larger regional Consortium.

The disbursement of funds at any time is subject to Commission discretion, including a review-and-approval process of each grantee through regular site visits, progress reports on a quarterly basis or as needed, supporting

invoices and receipts, and execution of and compliance with a signed Consent Form. A sample Consent Form is included as Attachment H. Before the Commission releases any awarded CASF Consortia Grant Account funds to the Grantee, the Grantee must complete and execute the Consent Form and return it to the Communications Division. As the sample Consent Form states, it binds the Grantee to the terms, conditions, and requirements of both the Decision and the resolution awarding the grant.

In addition to the base grant, several parties also propose supplemental funding of \$2,000 per person for up to five delegates annually to participate in a "Regional Consortia Learning Community Summit." As proposed by various parties, the purpose of this summit would be for the various regional consortia to gather as one large "learning community" to exchange information and ideas among themselves as to lessons learned and best practices to achieve common broadband adoption and deployment goals. We agree that a periodic gathering of all regional consortia to exchange information and ideas could be useful, and hereby adopt the proposal. The summit shall be hosted by the Commission's Communications Division. Specific information concerning the specific scheduling, location, and agenda for the first summit meeting will be posted on the Commission's website. We expect that the first "learning community" summit will be scheduled at the conclusion of the first year of CASF consortia funding activity.

The Commission will consider supplemental funding in addition to the base grant capped at \$2,000 per person for up to five delegates annually as long as an applicant utilizes the additional funds exclusively for broadband access, adoption, and sustainability, such as participation in learning summits, workshops, conferences, and/or training to share best practices, to promote

team-building among Consortia, and to facilitate networking across geographic regions. Applicants are required to provide supporting documentation of collective anticipated costs per person as part of its Action Plan and Work Plan with its application. Any actual reimbursement will be subject to the State of California Administrative Manual requirements for cost ceilings and documentation to support reimbursement of per-diem expenses incurred in connection with state-related business.

The actual amount of the award of individual grants and supplemental funding should be determined in relation to the broadband needs for the geographic and demographic region represented by the given regional Consortium seeking funding. As noted above, the specific amount of grant funding requested must be limited to the costs of eligible activities that the Consortium expects to incur, supported by an attached budget that collectively details the expected costs of proposed Consortium program activities. An applicant is required to keep detailed records, i.e., invoices and receipts, of each program element as specified below. These program elements must, in turn, be supported by an attached Action Plan and Work Plan, as well as execution of a Consent Form as previously discussed.

Our adopted limits on grant funding will help to ensure that a wide range of regions throughout California to have the opportunity to share in the \$10 million Consortium funding program. By further limiting the actual annual funding limit to the Commission-approved budgeted level of planned activity in a given region, we will maintain assurance that funds are allocated in a fair and cost-effective manner.

Before the end of the initial CASF Consortia Grant Account funding period, the Commission's Communication Division will post a schedule for a

new round of application filings to award remaining unencumbered Consortia grant funds. The Commission will establish this new round of application filings to allow those who initially applied but were not successful in securing grants another opportunity to participate in the grant program. In addition, previously awarded Consortia grant recipients may file applications at that time for renewed funding of additional activities. The Commission will consider how efficiently and cost-effectively any previously granted Consortia funds were spent as a basis for awarding of any new and/or additional funding.

## **6. Application Filing Guidelines, Timelines, and Requirements**

### **6.1. Timeline and Submission Process**

We recognize the need to begin issuing grants under the CASF Consortia program on an expedited basis so that the benefits of the program can begin to be realized. Accordingly, prospective Consortia may begin submitting applications for CASF Consortia grants upon adoption of this decision. Applications must be submitted to the Commission within 60 calendar days from the effective date of this decision in order to be reviewed and acted upon in the first round of grant approvals. Completed applications should be submitted in the format specified below. Applications received after 60 calendar days will be reviewed and acted upon in a subsequent round of approvals.

The Consortia applications will not be formally filed with the Commission's Docket Office, but will instead be submitted through the procedures set forth below. Since these applications are not to be filed with the Commission's Docket Office, they will not be assigned formal proceeding number(s), but will be tracked separately by the Commission's Communications Division.

Completed applications for Consortia grants must be submitted as follows:

1. Via an electronic format at the Commission's website at <http://www.cpuc.ca.gov/PUC/Telco/Information+for+providing+service/CASFConsortiaGrant.htm> ; and
2. Via U.S. mail in the form of a paper copy mailed separately to the CPUC Communications Division, Attention: CASF Consortia Grant Account, 505 Van Ness Ave., Third Floor, San Francisco, CA 94102.

## **6.2. Public Notice of Consortia Application Information**

The Commission will post the name of each Consortium that submits an application for a grant, its contact information, and region(s) proposed to be covered within 14 days from the submission deadline on the CASF Consortia Grant Account webpage at

<http://www.cpuc.ca.gov/PUC/Telco/Information+for+providing+service/CA/SFConsortiaGrant.htm>. Otherwise, given that multiple applicants may potentially be competing for the same grant money, we will not post the full contents of each application on the webpage. However, parties seeking to review the contents of a Consortium application may contact the respective Consortium to request an electronic or paper copy for review.

In the opening comments, both DRA and TURN raise the issue of transparency in the application process. This issue has been raised previously by both parties in the processing and award of CASF infrastructure grants and has been responded to by the Commission repeatedly, in responses to comments of parties in the approved CASF grant resolutions.

TURN states that the CASF process was shrouded in confidentiality and that the Commission's approach to rewarding grants was a "black-box" with interested parties and the public at-large having no ability to understand the nature of the applications nor the approach and analysis used by Commission

staff to pick grantees.” DRA likewise states that the Assigned Commissioner’s Ruling inexplicably fails to acknowledge this issue or adopt any of DRA’s recommendations and procedures to promote public awareness and participation in the grant application process. Thus, DRA requests that the Consortia grant applications and signed affidavits be made publicly available by either posting on the Commission’s website and/or e-mailing them to the service list for this proceeding. DRA believes the Commission should also allow an opportunity to comment on the Consortia applications before a draft resolution comes before the Commission.

We disagree with TURN claim that the CASF process of awarding grants was a “black box” with the public and other interested parties not made aware of the nature of the applications nor the approach and analysis used by Commission staff to pick grantees. While it is true that the specifics of the applications other than the Census Block Groups (CBs), ZIP Codes, and maps of the areas proposed for CASF infrastructure grant funding are not made public prior to the issuance of the draft resolution for public comment, i.e., served to parties on the service list and posted on the Commission website, the Commission followed the process set forth in Resolution T-17143. The Commission has already addressed the rationale for not revealing all information relative to the application in various decisions and approved funding resolutions.

We disagree with claims that the public and other parties are not aware of the process and analysis used by the Commission staff to pick grantees. The Commission issued Resolution T-17143 to ensure that all applicants submit a standard set of documents and meet the requirements specified. Staff evaluates the applications according to the process outlined in said resolution. Further,

each draft funding resolution explains the process followed in reviewing the application and is made available to parties on the service list and posted on the Commission's website to give parties the opportunity to comment before the Commission votes on the resolution.

We find no merit in making the Consortia application and affidavit public, i.e., served on the service list and posted on the website, i.e., before a draft resolution comes before the Commission. If the intent is to afford the public an opportunity to comment on a proposed Consortia award and to know the identity of any party receiving its funding and representing its interests, the 30-day comment period on the draft resolution satisfies this concern regarding notice and comment.

### **6.3. Forum to Seek Additional Assistance with Procedural Questions**

Although this decision lays out the CASF application requirements in reasonable detail, as specified herein, we recognize that questions may remain concerning the proper preparation and submission of applications. We will thus provide a forum for submitting such questions electronically via the e-mail addresses referenced below. Responses to inquiries will be posted on the CASF website. Accordingly, prospective applicants may contact the CASF Consortia Grant Administrator for questions on the application process at:

[CASF Consortia Grant Application Questions@cpuc.ca.gov](mailto:CASF_Consortia_Grant_Application_Questions@cpuc.ca.gov)

and for Consortia Grant Account program questions at:

[CASF Consortia Grant Administrator@cpuc.ca.gov](mailto:CASF_Consortia_Grant_Administrator@cpuc.ca.gov)

#### **6.4. Documents and Information Required from Applicants**

Each application must be accompanied by the items set forth the checklist in Attachment F. We describe the contents in further detail below:

##### **6.4.1. Information Requirements**

At a minimum, each Consortium application shall provide the following required information:

- A. Identification (i.e., name, contact information, etc.) of each Consortium member, including which, if any members are telecommunications carriers that are certificated by or registered with the Commission, identifying their Utility Identification number in such instances.
- B. Background, description, and role each member<sup>9</sup> of the Consortium will play in the proposed Consortium project.
- C. Governing board structure in place that provides for direct representation from affected cities, counties, and tribes; the application must describe the governing board structure.
- D. Identification and description of the geographical regions/population groups/community interests to be covered by the proposed Consortium project to include a map, list of CBGs and ZIP Codes.

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<sup>9</sup> As prescribed in Public Utilities Code Section 281, eligible consortium members may include, as specified by the Commission, representatives of organizations, including, but not limited to those listed below. The Commission will give consideration to all consortia, both new and pre-existing, that are committed to pursuing projects consistent with the objectives stated in Public Utilities Code Section 281(a). Consortium members should include and be supported by a significant cross-section of stakeholders/representatives of community anchor institutions such as city and county government, community service districts, health care, primary and higher education, public safety, libraries, community-based organizations, tourism, parks and recreation, agriculture, and other business groups.

- E. Description of existing and past projects including:
  - (1) budget, timelines, and funding source; (2) demonstration that there will be no overlap and/or duplication of such projects (i.e., provide description of geographic region served and geographic region that will be served, etc.); and
  - (3) best practices learned from said projects.

#### **6.4.2. Action and Work Plan Requirements**

Each Consortium applicant must submit an Action Plan and Work Plan as part of the application. The Action Plan and the Work Plan will serve as the tools in the initial review of the applications.<sup>10</sup> The Action Plan is an outline of the Consortium's priorities as they relate to the region's needs for broadband deployment, access, and adoption. The Work Plan should include more detailed functions and activities related to implementing the Action Plan.

The Action Plan and Work Plan documents are to be tailored to fit the needs of a given region's constituents and geography, incorporating core responsibilities, including goals, measurable deliverables, expected outcomes, and specific timeline milestones as they relate to broadband deployment, access, and adoption.

The Action Plan should represent the viewpoints of its consensus of stakeholders and anchor institutions, and it should be aimed at increasing broadband deployment, access, and adoption in the Consortium's respective region. The Action Plan should reflect the priorities of the Consortium's members for broadband deployment, access, and adoption, and should set forth

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<sup>10</sup> Specific information that should be included in both the Action and Work Plans are shown in Attachment A, and sample Action Plan and Work Plan format is shown in Attachment B and Attachment C, respectively.

overall Consortium program goals, outcomes, metrics<sup>11</sup>, and strategies to accomplish said goals.

The Work Plan is an expansion of the Action Plan that shows how each priority in the Action Plan will be carried out. The Work Plan should include more detailed functions and activities related to implementing the Action Plan. The Work Plan should include a timeline identifying milestone dates for completion of key Work Plan activities proposed to be funded; the timeline shall describe each of the quarterly milestones to be accomplished. A Work Plan for each funding year is to be submitted, e.g., Work Plan Year 1, Work Plan Year 2, Work Plan Year 3. A sample Work Plan format is shown in Attachment C.

#### **6.4.3. Budget Requirements**

A proposed budget detailing the expected costs to be covered by the Work Plan including explanation of how any other costs related to the Work Plan, if any, will be funded, e.g., matching funds from other sources, is required as part of the application. The requested amount of Consortia grant funds should be based upon and consistent with the budget presented in the application. A yearly budget must be submitted for each funding year. A sample Budget format is included in Attachment D.

Each applicant's proposed consortium budget must expressly exclude any costs for activities or programs within the consortia region that are separately funded from any other sources in order to ensure that CASF grants do not duplicate funding from any other sources. The proposed consortium budget must be accompanied by a description of any existing broadband adoption or

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<sup>11</sup> Metrics is a measurement used to gauge quantifiable components of performance,

*Footnote continued on next page*

deployment activities funded by any other state or federal grants within the same region, together with confirmation showing that the CASF consortium budget does not duplicate any other sources of funding. For example, CETF has previously received federal grants for broadband awareness and adoption in various California regions. The consortium application must therefore identify any such CETF grants that cover the region within which the CASF consortium grant would apply, and show that the requested CASF consortium funding would not duplicate any CETF grant funding.

#### **6.4.4. Assignment of a Fiscal Agent**

Each regional Consortium must retain at least one Fiscal Agent with lead responsibility and legal authority to represent the Consortium for purposes of sponsoring the application, and for administration of Consortium activities, including receipt and disbursement of Consortium grant funds. In any event, the Fiscal Agent must affirmatively agree, on behalf of the Consortium, to comply with the Commission's directives and conditions relating to the review, approval, and administration of any Consortia application grants. This requirement is to provide assurance that Consortium members or contractors retained by the Consortium are capable and committed to delivering on the commitments to be funded.

The Fiscal Agent may be a local public institution e.g., city, county, academic institution, tribal government, etc., as defined under Section 50001 of the Government Code, or a town, as defined by Section 21 of the Government Code. The Fiscal Agent may also possibly be a certificated telecommunications

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e.g., survey of 150 community-based organizations, etc.

carrier. The Fiscal Agent must submit a letter stating its commitment to act as a Fiscal Agent for the Consortium. The letter must include:

- The name and contact information of the responsible party within the agency, including the person responsible for the administrative tasks, if different.
- Affirmation that the work outlined in the Consortium Work Plan will be completed and verification by an Attestation Report prepared by an independent, licensed Certified Public Accountant will be submitted annually to the Communications Division. The letter must also state the Consortium's acceptance of the Fiscal Agent's rights, duties, and responsibilities.

Any subsequent change in the Fiscal Agent must first be approved by the Commission resolution.

#### **6.4.5. Affidavit of Application's Truth and Accuracy**

As part of the application, an applicant's Fiscal Agent must sign an affidavit, under penalty of perjury, that to the best of their knowledge all the statements and representations made in the Consortium application are true and correct.<sup>12</sup> A sample Affidavit form is provided in Attachment E.

DRA recommends that the Affidavit include a clause that the Regional Consortia members and associated Fiscal Agent agree to comply with Rule 1.1 of the Commission's Rule of Practice and Procedures and that the Commission incorporate language comparable to that of an application for Certification of Public Convenience and Necessity. We concur with DRA's recommendation, and thus shall require Regional Consortia to certify within the affidavit that:

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<sup>12</sup> Rule 1.1 of the Commission's Rules of Practice and Procedure.

No member, officer, director, partner of a Consortium or its Fiscal Agent has: 1) filed for bankruptcy; 2) was sanctioned by the Federal Communications Commission or any state regulatory agency for failure to comply with any regulatory statute, rule, or order; nor 3) has been found either civilly or criminally liable by a court of appropriate jurisdiction for violation of § 1700 et. seq. of the California Business and Professions Code, or for any action which involved misrepresentations to consumers, nor is currently under investigation for similar violations.

If the Consortium fails to perform in good faith, or in accordance with the expectations set forth in its Action Plan, Work Plan, and Consent Form, as affirmed in the affidavit, the Commission may withhold subsequent grant disbursements or suspend or terminate the Consortium grant, as warranted.

#### **7. Basis for Review and Award of Consortia Grants**

An evaluation team comprised of Communications Division staff will assess all completed applications in each of the following areas: (1) Regional Consortium Representation and Endorsements; (2) Regional Consortium / Members' Experience; (3) Action Plan; (4) Work Plan; and (5) Budget.

We agree with TURN's recommendation that the applicant secure endorsements from critical stakeholders other than governmental institutions. Letters of endorsements should also be obtained from community-based organizations, schools, hospitals, libraries, businesses and consumers. This additional requirement will address DRA's concern that the application be made public since the regional Consortium applicant will have to disclose to the affected community / area its intent to apply for a Consortia grant to obtain the community support/endorsements.

Applicants will be objectively evaluated on how well they meet the goals of the CASF Consortia program. This scoring method will be used on all

completed applications submitted by the given deadline. Judgment will be rendered in the form of a numerical score. All applicants will be assigned a score.

Those applicants who meet a minimum score of 70 points (out of a possible 100 points) will be considered for funding. Funding will be reserved to only one Regional Consortium per region. If said scoring criteria threshold is not met in any region(s), no award will be disbursed for said region(s) and as a result, a second application process for said region(s) will be required and announced to the service list and posted on the Commission website at <http://www.cpuc.ca.gov/PUC/Telco/Information+for+providing+service/CASFConsortiaGrant.htm>.

Where multiple Consortia apply for the same region only the applicant in a region who has the highest score will be considered for an award. The scoring criteria and the points allocated to each criterion are shown in Attachment G.

The Commission will issue approval of qualifying Consortia applications, together with the grant amount per Consortium, through a Commission resolution(s). The Commission's grant of any award is subject to satisfaction of the conditions set forth in this decision, and any additional conditions that may be specified in the Commission resolution approving a grant. Each grant is made expressly only to the Consortium grantee as identified in the Commission resolution. The grantee may not assign the project in whole or in part, except as expressly provided by the Commission's approval as discussed in Section 10.

#### **8. Oversight of Consortia Activities Subsequent to Grant Approval**

The Commission authorizes the Communications Division to implement administrative controls necessary to assure that funds disbursed to a Consortium are administered efficiently and cost-effectively consistent with the stated purposes and objectives for which the funds are to be used. The

Communications Division and the CASF Consortia Grant recipient will determine the project start date. The Commission will not begin to pay for the Consortium's activities until a start date has been established and until Communication Division receives a signed Consent Form.

Grant funds will be disbursed in accordance with, and within the time specified in, California Government Code Section 927. The Commission's Communications Division has the authority to initiate any necessary audit, verification, and discovery of Consortium members relating to grant funding activities to ensure that CASF Consortia grant funds are spent in accordance with the Commission's adopted rules and standards. Each Consortia grantee shall maintain books, records, documents and other evidence sufficient to substantiate expenditures covered by the grant, according to generally accepted accounting practices. Each Consortia grantee shall make these records available to the Commission upon request and agrees that these records are subject to a financial audit by the Commission at any time within three years after the Grantee incurred the expense being audited. A Consortia grantee shall provide access to the Commission upon 24 hours notice to evaluate work completed or being performed pursuant to the grant.

The Grantee must use the grant funds solely for the approved project as described in the Grantee's Commission-approved Action Plan and Work Plan. Each Consortia grantee shall complete the project in accordance with and within the project performance period set forth in the Commission-approved Action Plan and Work Plan, unless the Commission or Commission staff has granted an extension or modification in writing. Grantee's performance and completion of the project must comply with all applicable laws and regulations.

## **9. Disbursement of Grant Funds**

The Commission's Fiscal Office is directed to administer all accounting and record keeping necessary for the Commission to oversee Consortia grant funds. Once an application for a grant is approved, actual disbursements will be made in the form of progress payments to the Fiscal Agent. All requests for progress payments and reimbursements must be supported by documentation, e.g., receipts, invoices, quotes, etc.

The grantee may request reimbursement of start-up costs equivalent to a maximum of 10% of the total award. Such payment requests should also be supported by documentation, e.g., receipts, invoices, quotes, etc. Start-up costs include administrative expenses, e.g., rental of building, hiring of personnel, purchase of office supplies, etc. Subsequent disbursements are on a progress report-review basis and are to be made at the following intervals: 15%, 25%, 25%, and 25%.

In order to receive a progress payment, the Consortium must first submit the Quarterly Progress Report to the Communications Division, together with all requests for payment and reimbursement supported by relevant invoices receipts, etc. A sample of a Quarterly Progress Report is included in Attachment I. Quarterly Progress Reports shall be based upon the approved Action Plan, Work Plan, Consent Form, timelines, milestones, and costs identified in the application. Further, the Quarterly Progress Report shall indicate the actual date of completion of each task/milestone as well as problems/issues encountered and the actions taken to resolve these problems/issues. The Quarterly Progress Report will be submitted and certified under penalty of perjury. As noted above, all requests for payment and

reimbursement must be supported by appropriate supporting documentation, e.g., receipts, invoices, quotes.

All performance specified under the terms of any award shall be completed on or before the termination date of the award, as per the signed Consent Form between the recipient and Commission. A project completion report will be required before full payment showing that all activities in the Work Plan have been accomplished. The final disbursement will be equal to the outstanding balance due under the Consortium grant or actual expenditures, whichever is less. The grantee's final payment report, including all documentation and receipts, should be submitted no later than 60 days after project completion.

#### **10. Execution and Performance**

Should the recipient or its contractor fail to commence work at the agreed upon time, the Commission, upon ten business days written notice to the CASF Consortia Grant Account recipient, may terminate the award.

In the event that the CASF Consortia Grant Account recipient fails to complete the project, in accordance with the terms of approval granted by the Commission, the recipient will be required to reimburse some or all of the CASF Consortia Grant Account funds that it has received.

Any changes to the substantive terms and conditions underlying Commission approval of the Consortium grant (e.g., changes to Action Plan, Work Plan, budget or designated Fiscal Agent, etc.) must be communicated in writing to the Communications Division Director at least 30 days before the anticipated change, and may be subject to approval by either the Director or by Commission resolution before becoming effective.

## **11. Publicity and Acknowledgment**

Any publications, studies, or reports made possible or derived in whole or in part from the project and any news articles, brochures, seminars, or other promotional materials or media through which the Grantee publicizes the Project will acknowledge the CASF's Consortia program in the following manner:

"Funding for this project has been provided in full or in part through a grant by the Rural and Urban Regional Broadband Consortia Grant Account of the California Advanced Services Fund, a program administered by the California Public Utilities Commission."

## **12. Comments on Proposed Decision**

The proposed decision of Commissioner Peevey in this matter was mailed to the parties in accordance with Section 311 of the Pub. Util. Code and comments were allowed under Rule 14.3 of the Commission's Rules of Practice and Procedure. Comments were filed on June 13, 2011, and reply comments were filed on June 20, 2011. We have reviewed the comments and made appropriate refinements in finalizing this decision.

In its comments on the Proposed Decision, California Broadband Policy Network (CBPN) notes that the Commission's President serves as the Chairman of the Board of Directors of the CETF. CBPN therefore suggests that the Commission's President recuse himself from the Consortia Grant review process. We have considered this request and see no reason for the President to recuse himself from the grant review process. Such recusal would be necessary if the CETF were to apply for a grant. However, due to conflicts concerns, CETF will not be able to apply for any grant under this decision. Accordingly, there will be no reason for the Commission's President to recuse himself from reviewing the grant applications.

### **13. Assignment of Proceeding**

Michael R. Peevey is the assigned Commissioner and Thomas R. Pulsifer is the assigned ALJ in this proceeding.

#### **Findings of Fact**

1. Pursuant to SB 1040, the Rural and Regional Broadband Consortia Account was established, providing an appropriation of \$10 million for grants to eligible Consortia to cover the cost of broadband deployment activities other than the capital costs of facilities, as specified by the Commission.

2. Ubiquitous deployment of broadband holds tremendous opportunities for consumers, technology providers, and content providers, and is important to the continued health and economic development in California.

3. The activities and programs expected to be performed by regional Consortia under the criteria adopted in this decision, offer the potential to promote greater deployment and adoption of broadband advanced communications services within areas that are underserved or not served at all, consistent with universal service policies aimed at bridging the “digital divide” as articulated in Pub. Util. Code §§ 709(c) and (d).

4. For purposes of qualifying for a grant under the CASF Consortia program, the Consortia membership criteria are set forth in Pub. Util. Code § 281.

5. The procedures and policies adopted in this decision governing the submission of applications and awarding of grants under the Consortia program are appropriate to ensure that the grant funds disbursed pursuant to Commission action are spent in a responsible and cost-effective manner consistent with adopted program goals.

6. A grant funding cap of \$150,000 per year per Consortium, and a three-year cap of \$450,000 per Consortium, provides a reasonable upper limit on

disbursements, given the total fund appropriation size, and subject to Commission approval of lesser amounts, depending on the size of a given Consortium budget.

7. The amount of any CASF grant awarded to a Consortium may vary depending on the size of the budget submitted with the application, and subject to the Commission's review and approval of requested grant amounts.

8. It is reasonable to provide for supplemental grant funding capped at \$2,000 per person for up to five delegates annually as long as an applicant utilizes the additional funds exclusively for broadband access, adoption, and sustainability, such as participation in learning summits, workshops, conferences, and/or training to share best practices, to promote team- building among Consortia, and to facilitate networking across geographic regions. All applicants are required to provide supporting documentation of collective anticipated costs per person as part of its Action Plan and Work Plan with its application.

9. The scoring criteria and weighting factors set forth in Attachment G provide a reasonable set of objective standards by which to select and rank applications and to award grants for the Rural and Regional Broadband Consortia Account.

### **Conclusions of Law**

1. The Commission has the responsibility and authority to establish procedures and controls necessary to implement funding through the Rural and Regional Broadband Consortia Account in accordance with the directives of SB 1040, as codified by Pub. Util. Code § 281.

2. Pursuant to SB 1040, Consortia grants must be used for purposes other than funding capital costs of broadband facilities. Separate provisions relating to

CASF grant and loan accounts for the funding of broadband capital costs should be addressed in a separate decision in this proceeding.

3. The procedures and requirements adopted in this decision for administering the Consortia program are consistent with SB 1040 objectives to promote wider availability of advanced communications services through greater deployment and adoption of broadband.

4. An evaluation team comprised of the Commission's Communications Division staff should be assigned responsibility to assess all completed applications in each of the following areas: (1) Regional Consortium Representation and Endorsements; (2) Regional Consortium / Members' Experience; (3) Action Plan; (4) Work Plan; and (5) Budget.

5. Consortia applications should be subject to approval by Commission resolution based on the results of the Communications Division review in accordance with the scoring criteria set forth in Attachment G.

6. Applicants should be required to secure endorsements from critical stakeholders other than governmental institutions. Letters of endorsements should also be obtained from community-based organizations, schools, hospitals, libraries, businesses and consumers.

7. Applicants should be required to submit an Action Plan and Work Plan with the Consortia application. The Action Plan should conform to the requirements in Attachment A and B, outlining the Consortium's priorities as they relate to the region's needs for broadband deployment, access, and adoption. The Work Plan should conform to the requirements of Attachment A and C and include more detailed functions and activities related to implementing the Action Plan.

8. An applicant's proposed grant amount should not exceed the cap of \$150,000 per year and the cap of \$450,000 over three years. The applicant should be required to present a proposed budget detailing the expected costs to be covered by the Work Plan including explanation of how any other costs related to the Work Plan, if any, will be funded, e.g., matching funds from other sources, is required as part of the application. The requested amount of Consortia grant funds should be consistent with the budget presented in the application.

9. By executing a consent form prior to receiving grants of CASF funds, a Consortium agrees to the terms, conditions, and requirements of this Decision and the resolution awarding the grant and effectively comes under the jurisdiction of the Commission with respect to all matters relating to the administration of the CASF grant.

10. The administrative controls on approving Consortium grants and disbursement of grant funds as set forth in this decision are necessary and appropriate to enable the Commission to retain oversight of the Consortia program and to ensure that funds are spent in a cost-effective and responsible manner consistent with program goals.

11. Because CETF will not be able to apply for any grant under this decision due to conflicts concerns, there will be no reason for the Commission's President to recuse himself from reviewing the grant applications.

12. The procedures and requirements set forth in this decision as incorporated in the ordering paragraphs below should be adopted and implemented in order to enable grant funds to be disbursed consistent with the relevant statutory requirements.

**O R D E R**

**IT IS ORDERED** that:

1. The Commission hereby authorizes eligible Consortia to apply for grants pursuant to the Rural and Urban Regional Broadband Consortia Account subject to annual funding caps of \$150,000 and three-year caps of \$450,000, in accordance with Public Utilities Code Section 281 and the ordering paragraphs below. Each applicant for a consortium grant shall bear primary responsibility for assembling its own membership and delineating its geographic region of responsibility consistent with the standards and requirements set forth in this decision. The initial round of consortia applications may request funding covering up to a three-year period, capped at no more than \$450,000 per consortium.

2. In the case of the Los Angeles region, smaller sub-regional consortia that are partners of a larger regional Consortium, the larger regional Consortium must serve as the umbrella organization submitting one application on behalf of all partnering sub-regional consortia. Each sub-regional consortium's action plan, work plan, budget, key contact information, and members will be consolidated into the application submitted by the larger regional Consortium with whom they are a partner.

3. The requested amount of sub-regional Consortia grants shall be reduced in proportion to their smaller scale compared with larger regional Consortia. A sub-regional Consortia application shall clearly delineate its relationship and interaction with the larger regional Consortium. Consortia applicants shall bear responsibility to develop and propose a grant amount applicable to sub-regional

consortia partners, consistent with the principles and standards set forth in this decision. In any case, the combined total size of grants for all Los Angeles sub-regional consortia shall not exceed \$150,000 for one year or \$450,000 for three years.

4. The Commission's Communications Division is directed to schedule and host on at least an annual basis a Regional Consortia Learning Community Summit. All consortia receiving California Advanced Services Fund grants shall be required to attend the Summit. The purpose of the Summit is to provide a forum for all consortia to gather and exchange information and ideas on best practices to enhance the effectiveness of consortia programs. The first Summit shall be scheduled and posted on the Commission's website at the conclusion of the first year of Consortia funding.

5. A Consortium shall be eligible for seeking supplemental funding up to \$2,000 per person for up to five delegates to participate annually in the Regional Consortia Learning Community Summit. Any actual reimbursement for such expenses will be subject to the State Administrative Manual requirements for cost ceilings and supporting documentation for per-diem expenses.

6. The adopted grant funding caps shall constitute an upper limit on possible authorized grant amounts. The actual grant amount requested in a Consortium application shall reflect the specific level of budgeted activities planned by the Consortium, as reflected in the budget information required to be attached to the application.

7. Eligible applicants are authorized to begin submitting applications for California Advanced Services Fund Consortia grants beginning on the effective date of this decision.

8. At a minimum, each Consortium application shall provide the following required information and documents itemized in the attachments to this decision, including:

- A. Identification (i.e., name, contact information, etc.) of each Consortium member, including which, if any members are telecommunications carriers that are certificated by or registered with the Commission, identifying their Utility Identification number in such instances.
- B. Background, description, and role each member of the Consortium will play in the proposed Consortium project.
- C. Governing board structure in place that provides for direct representation from affected cities, counties, and tribes; the application must describe the governing board structure.
- D. Identification and description of the geographical regions/population groups/community interests to be covered by the proposed Consortium project to include a map, list of Census Block Groups and ZIP Codes.
- E. Description of existing and past projects including: (1) budget, timelines, and funding source; (2) demonstration that there will be no overlap and/or duplication of such projects (i.e., provide description of geographic region served and geographic region that will be served, etc.); and (3) best practices learned from said projects.

9. Each application must include an Action Plan and Work Plan which provide at a minimum, the information and disclosures set forth in Attachment A, B, and C hereto. A Work Plan must be submitted for each funding year, e.g., Work Plan Year 1, Work Plan Year 2, Work Plan Year 3.

10. Each application must include a budget of planned activities, a designated Fiscal Agent, and an affidavit attesting to the application's truth and

accuracy. A budget must be submitted for each funding year, e.g., Budget Year 1, Budget Year 2, Budget Year 3.

11. Any proposed consortium budget must expressly exclude any costs for activities or programs within the consortia region that are separately funded from any other sources in order to ensure that California Advanced Services Fund (CASF) grants do not duplicate funding from any other sources. Any proposed consortium budget must be accompanied by a description of any and all existing broadband adoption or deployment activities funded by any other state or federal grants or by any other sources within the region covered by the consortium application, together with supporting detail necessary to confirm that the CASF consortium budget does not duplicate any such funding.

12. Applications must be submitted to the Commission as specified in Section 6.1 above, and received within 60 calendar days from the effective date of this decision in order to be considered in the first round of grant approvals. Applications received after 60 calendar days shall be reviewed and acted upon in a subsequent round of approvals.

13. The Commission's Communications Division shall post the name of each Consortium that submits an application for a grant, its contact information, and region(s) proposed to be covered within 14 days from the submission deadline on the California Advanced Services Fund Consortia Grant Account webpage.

14. The Commission's Communications Division is authorized to conduct the review and evaluation of eligible Consortia grantees in accordance with the scoring and evaluation criteria set forth in Attachment G.

15. Before the end of the initial California Advanced Services Fund Consortia Grant Account funding period, the Commission shall establish a schedule for a new round of application filings to award remaining unencumbered consortia

grant funds. The same eligibility criteria, filing requirements, and scoring protocols adopted for the initial filing round shall apply for the subsequent round of filings. Any previously awarded consortia grant recipients seeking renewed funding for additional activities shall be considered based on how efficiently and cost-effectively any previously granted consortia funds were spent.

16. All the applicants shall be assigned a score in accordance with Appendix G criteria. Those applicants that meet a minimum threshold scoring criteria of 70 points (out of a possible 100) shall be eligible for funding. Where multiple applicants seek funding in the same region, the highest ranking applicant shall be considered eligible to receive a grant.

17. The disbursement of funds awarded by grant shall be subject to the requirements and protocols for the production of periodic progress reports and supporting documentation for payment reimbursement in accordance with the requirements set forth in Section 9 above.

18. Consortia applicants receiving awards shall be bound by the requirements and obligations set forth in the Commission's resolution authorizing such award, including Action and Work Plan, budget, the completed consent form (as shown in Attachment H), and completed affidavit, swearing or affirming to the statements as show in Attachment E to this decision.

19. Should the Consortium Grant recipient or its contractor fail to commence work at the agreed upon time, the Commission, upon ten business days written notice to the California Advanced Services Fund Consortia Grant Account recipient, reserves the right to terminate the award.

20. In the event that the California Advanced Services Fund (CASF) Consortia Grant Account recipient fails to complete the project, in accordance with the

terms of approval granted by the Commission, the recipient will be required to reimburse some or all of the CASF Consortia Grant Account moneys that it has received, as may be directed by subsequent Commission order.

21. Any changes to the substantive terms of the terms and conditions underlying Commission approval of the Consortium grant, (e.g., changes to Action Plan, Work Plan, budget or designated Fiscal Agent, etc.) must be communicated to the Communications Division Director at least 30 days before the anticipated change, and may be subject to approval by either the Director or by Commission resolution before becoming effective.

This order is effective immediately.

Dated June 23, 2011, in San Francisco, California.

MICHAEL R. PEEVEY  
President  
TIMOTHY ALAN SIMON  
MICHEL PETER FLORIO  
CATHERINE J.K. SANDOVAL  
MARK J. FERRON  
Commissioners

## ATTACHMENT A

### ACTION PLAN AND WORK PLAN CONTENTS

The Action Plan and Work Plan are to be tailored to fit the needs of a given region's constituents and geography, incorporating core responsibilities, including goals, measurable deliverables, expected outcomes, and specific timeline milestones as they relate to broadband deployment, access, and adoption. Below are required core responsibilities that should be included and reflected in an Action Plan. Following the Action Plan is a list of activities that should be included in a Work Plan. The Work Plan should include all activities designed to implement the Action Plan goals. Sample forms illustrating the format of an Action Plan and Work Plan are included as Attachments B and C.

Action Plan Core Responsibilities that should be included:

- Broadband deployment
  - Conduct open information briefings for stakeholders and providers about CASF.
  - Identify and convene interested parties to discuss options and facilitate the thorough preparation and submission of infrastructure applications and to explore opportunities for coordinating use of community resources to achieve the most cost-effective proposals where most needed.
  - Recommend prioritization of broadband infrastructure projects.
  - Solicit local community participation in the form of broadband access and adoption workshops open to the public and used to define infrastructure needs and areas of accountability.
  - Facilitate open party meetings to encourage area-specific proposals and to promote cooperation with public-private entities in application preparation.
  - Provide regional data and information to all interested applicants.

- Work with public agencies and private-sector industry clusters (and prospective customers) to facilitate interaction between them and CASF applicants.
  - Review and comment on applications submitted to CASF from the region in the course of assessment of the infrastructure grant projects.
  - Identify opportunities and top priorities for application of broadband infrastructure and deployment through research, analyses, and recommendations on cost-effective projects within their regions.
- Broadband access and adoption
- In urban areas, create services e.g. telehealth, online training and education, and common areas, e.g. popular neighborhood hot spots such as coffee houses, bookstores, gyms, and community centers, that spur broadband use.
  - Promote new regional projects to assess the needs for broadband technologies in the region, including critical gaps of broadband availability.
  - Elicit support from local governments throughout the region to establish and implement policies to promote deployment and adoption.
  - Develop initiatives and public awareness, education, and outreach campaigns to stimulate the demand for broadband services.
  - Work with grant/loan recipients to coordinate demand stimulation efforts through the CASF infrastructure grant program.
  - Propose innovative projects to achieve the goal to increase subscribership in undersubscribed areas or targeted populations.
  - Provide education and training so all potential users know how to assess the technology and use it.
  - Advance broadband adoption levels throughout the community by working with anchor institutions.

Work Plan activities designed to implement the Action Plan goals that should be included:

- A community development approach that focuses on the strengths and capabilities of its residents and associations in implementing Action Plan goals.
- Education, training, and outreach to promote broadband access and adoption.
- A plan and schedule for Consortium and stakeholders to meet, e.g. holding regular open meetings, roundtable discussions, and conference calls.
- Activities to assist in developing cost-effective CASF infrastructure grant applications, e.g. gathering market data and undertaking of studies to identify opportunities and priorities for application of broadband deployment, access, and adoption.
- Studies to identify performance metrics, looking at actual performance versus potential performance, e.g. addressing the questions of “Where are we” and “Where do we want to be”.
- Contracting with technical consultants (if applicable).

**(END OF ATTACHMENT A)**

## ATTACHMENT B

### Sample of Action Plan Format

[Name of Regional Consortium]

[Name of Project]

**ACTION PLAN**

**---EXAMPLE SECTIONS---**

#### I. Executive Summary

- An overview of your consortium
- An overview of your project
- Summarize your key points

#### II. Vision Statement

- A picture of your consortium in the future
- Your framework for strategic planning

#### III. Background

- History of your consortium
- Inception of your project
- Importance of your project

#### IV. Organizational Structure

- Design of your consortium's allocation of authority, roles and responsibilities, communications (how information flows between different levels), etc.

#### V. Activities

- A description of your consortium's actions in achieving goals and objectives

#### VI. Investment Strategy

- A description of the ways in which your consortium will maximize investments

#### VII. Broadband Deployment, Access, and Adoption

- How will your consortium achieve broadband deployment (assist in broadband infrastructure projects), access (getting information out on broadband availability, services, etc.), and utilization/adoption (getting residents to subscribe to broadband services)

VIII. Budget and Expenditures

- Include itemization of budget items and expenditures including documentation (receipt, invoices, quotes, etc.)

IX. Next Steps

- Your consortium's project plans and activities in the future (e.g., what does your consortium plan to accomplish within the next three-to-five years)

X. Appendix

**(END OF ATTACHMENT B)**

**ATTACHMENT C**  
**Sample of Work Plan Format**  
**[Name of Regional Consortium]**  
**[Name of Project]**  
**WORK PLAN – [MONTH, YEAR]**

Activity(ies)	Timeline	Responsible Party(ies)	Performance Measure(s)
Identify, recruit, and train community-based organizations (CBOs) to conduct outreach <ul style="list-style-type: none"> <li>• Identify CBOs and develop database</li> <li>• Secure commitments for CBO participation</li> <li>• Train CBO officers</li> <li>• Convene meetings and facilitate planning</li> </ul>	1/1/11 – 12/21/11 <ul style="list-style-type: none"> <li>• Identify CBOs and develop database: 1/1/11-1/8/11</li> <li>• Secure commitments: 1/9/11-2/9/11</li> <li>• Train CBO officers: 1/9/11-4/29/11</li> <li>• Convene meetings: 1/9/11-12/15/11</li> </ul>	<ul style="list-style-type: none"> <li>• Joseph Lee, Community Relations Manager</li> <li>• Stephanie Singh, Marketing Director</li> <li>• Ashley Marino, CIO</li> </ul>	<ul style="list-style-type: none"> <li>• Reach at least 80% of CBOs in region</li> <li>• Train CBO officers or designated representatives</li> <li>• Conduct two meetings per month</li> <li>• Conduct one conference call per week</li> </ul>

**(END OF ATTACHMENT C)**

# **VI. ACTION CALENDAR**

- D. FY 2017-2018 OWP, REGIONAL COLLABORATION  
BUDGET (RC) BUDGET AMENDMENT #1**



1503 N. IMPERIAL AVE., SUITE 104  
EL CENTRO, CA 92243-2875  
PHONE: (760) 592-4494  
FAX: (760) 592-4410

February 22, 2018

Luis Plancarte, Chairman  
Imperial County Transportation Commission  
1503 N. Imperial Avenue, Suite 104  
El Centro, CA 92243

**SUBJECT: FY 2017-2018 Overall Work Program -  
Regional Collaboration (RC) Budget Amendment #1**

Dear Commission Members:

At the Commission meeting on January 24, 2018 a new budget unit entitled "Regional Collaboration" (7557001) was approved by the Commission, to be used for the EPA Brownfield Assessment project. The fund was created to track the grant revenues and expenditures from ICTC non-transit and non-transportation related projects. It was anticipated that other future non transit or non-transportation related projects would also use this budget unit, through budget amendments in the future.

The Southern Border Broadband Consortium (SBBC), administered by the Imperial Valley Economic Development Corporation (IVEDC) was recently awarded a grant from the California Public Utilities Commission for funding from the California Advanced Services Fund (CASF). The grant award identifies IVEDC as the lead agency, and ICTC as the fiscal agent.

ICTC, as fiscal agent has a drafted Memorandum of Understanding (MOU) which defines roles and responsibilities (Audits, Administration and Project Management) for ICTC and IVEDC. The SBBC-CASF project grant budget contains separate expenditures for fiscal administration; project management by IVEDC and related staffing expense; as well as, funding for consultant and other related expenses for a three year period.

ICTC staff are requesting that a budget amendment be created to record the SBBC-CASF project revenue and expenses for the first year of the project, with an anticipated total of \$150,000.

**CITIES OF BRAWLEY, CALEXICO, CALIPATRIA, EL CENTRO, HOLTVILLE, IMPERIAL, WESTMORLAND, IMPERIAL IRRIGATION DISTRICT AND COUNTY OF IMPERIAL**

The funding summary for the project for three years is as follows:

<u>Grant Funds:</u>	<u>\$ 450,000</u>
Personnel (Outreach Coordinator, IVEDC staff):	\$ 150,000
Contract Labor (IVEDC Consultant)	\$ 150,000
Non-Personnel (Supplies, Travel, Marketing):	\$ 85,000
Fiscal and Accounting (ICTC):	\$ 65,000
<u>In-Kind (Regional Coordination, Outreach):</u>	<u>\$ 225,000</u>
Total Project Cost	\$ 675,000

ICTC is anticipated to receive \$65,000 for annual fiscal reporting and other related expenses.

ICTC Management Committee met on February 14, 2018 and forwards this item to the Commission for review and approval, after the receipt of public comment.

1. Approve the Overall Work Program Regional Collaboration (RC) Budget (7577001) FY 2017-18 Amendment #1 for \$150,000.

Sincerely,



MARK BAZA  
Executive Director

MB/ksw/cl

Attachments

**IMPERIAL COUNTY TRANSPORTATION COMMISSION FY 2017-18**

**ICTC REGIONAL COLLABORATION 7577001**

1                      2                      3                      4                      5                      6                      7

**REVENUES**

A	430000	On hand balance/Interest revenue		\$		-
B	446010	State Aid - SBBC - CAFS		\$		150,000
<b>C Total Revenues</b>				\$		<b>150,000</b>

**EXPENDITURES**

**Administration and Operations**

D	501000/525010	ICTC Administrative Staffing and Support		\$		3,000
E		- Fiscal Agent admin, grant reporting and oversight				
F		- Interagency consultation				
G	524000	Office exp		\$		2,000
<b>H Administration and Operations Subtotal</b>				\$		<b>5,000</b>

**Professional and Specialized Projects and Services**

I	525010	IVEDC Administrative staffing and support		\$		80,000
J		- Contract admin, grant reporting and oversight				
K	525010	Consultant Contract Labor		\$		50,000
L		- Research and Analyst Consultant, Project Coordinator				
M	525090	Consultant CPA Attestation Reporting (ICTC)		\$		15,000
<b>N</b>						<hr/>
				\$		<b>145,000</b>
<b>O Total Projects, Services, Plans and Programs</b>				\$		<b>145,000</b>

**P Total Expenditures**

<b>P Total Expenditures</b>				\$		<b>150,000</b>
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