

C/CAG

CITY/COUNTY ASSOCIATION OF GOVERNMENTS OF SAN MATEO COUNTY

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Millbrae • Pacifica • Portola Valley • Redwood City • San Bruno • San Carlos • San Mateo • San Mateo County • South San Francisco • Woodside*

**1:15 p.m., Thursday, February 17, 2011
San Mateo County Transit District Office¹
1250 San Carlos Avenue, Second Floor Auditorium
San Carlos, California**

TECHNICAL ADVISORY COMMITTEE (TAC) AGENDA

- | | | |
|--|---------------|---------------|
| 1. Public comment on items not on the Agenda (presentations are customarily limited to 3 minutes). | Porter/Hurley | No materials. |
| 2. Issues from the last C/CAG Board and CMEQ meetings (Feb 11): <ul style="list-style-type: none">• Approved – Agreement with Jacobs Engineering to provide traffic monitoring services for the 2011 CMP in the amount of \$55,822.02• Approved – Agreement with Mokhtari Engineering for project management services of the Smart Corridor in the amount of \$100,000• Approved – Agreement with SFIA for partial funding of the CLUP related to staff costs in the amount of \$100,000• Approved – Agreement with Joint Venture Silicon Valley for ongoing direct support and assistance to governments in the amount of \$75,000• Approved – Agreement with Advocation to provide State legislative advocacy services for two years in the amount of \$144,000• Election of Bob Grassilli (San Carlos) C/CAG Chair and Carlos Romero (East Palo Alto) and Brandt Grotte (San Mateo) as C/CAG Vice-Chairs | Hoang | No materials. |
| 3. Approval of the Minutes from January 20, 2011 | Hoang | Page 1-2 |
| 4. Review and comment on the process for "call for projects" of the Regional Transportation Plan/Sustainable Communities Strategy (RTP/SCS) (Information) | Higaki/Wong | Page 3-18 |
| 5. Review and recommend approval of a \$10 Vehicle Registration Fee (VRF) Implementation Plan (Action) | Hoang | Handouts |
| 6. Recommendation for the 5 th Cycle of the Transit Oriented Development Housing Incentive Program (Action) | Madalena | Page 19-24 |
| 7. Information and discussion on Express Lanes on US 101 between Whipple Ave. and the Santa Clara County Line (Information) | Napier | No materials |
| 8. Highway Plan Update (Information) | Choy | Handouts |
| 9. Regional Project and Funding Information (Information) | Higaki | Page 25-50 |
| 10. Executive Director Report | Napier | No materials |
| 11. Member Reports | All | |

¹ For public transit access use SamTrans Bus lines 390, 391, 292, KX, PX, RX, or take CalTrain to the San Carlos Station and walk two blocks up San Carlos Avenue. Driving directions: From Route 101 take the Holly Street (west) exit. Two blocks past El Camino Real go left on Walnut. The entrance to the parking lot is at the end of the block on the left, immediately before the ramp that goes under the building. Enter the parking lot by driving between the buildings and making a left into the elevated lot. Follow the signs up to the levels for public parking.

2011 TAC Roster and Attendance		
Member	Agency	Jan
Jim Porter (Co-Chair)	San Mateo County Engineering	x
Joseph Hurley (Co-Chair)	SMCTA / PCJPB / Caltrain	x
Duncan Jones	Atherton Engineering	x
Randy Breault	Brisbane Engineering	x
Syed Murtuza	Burlingame Engineering	x
Bill Meeker	Burlingame Planning	
Lee Taubeneck	Caltrans	x
Sandy Wong	C/CAG	x
Robert Ovadia	Daly City Engineering	x
Tatum Mothershead	Daly City Planning	x
Ray Towne	Foster City Engineering	x
Mo Sharma	Half Moon Bay	
Chip Taylor	Menlo Park Engineering	x
Ron Popp	Millbrae Engineering	x
Van Ocampo	Pacifica Engineering	x
Peter Vorametsanti	Redwood City Engineering	x
Klara Fabry	San Bruno Engineering	x
Robert Weil	San Carlos Engineering	x
Larry Patterson	San Mateo Engineering	x
Steve Monowitz	San Mateo County Planning	
Dennis Chuck	So. San Francisco Engineering	x
Kenneth Folan	MTC	

**TECHNICAL ADVISORY COMMITTEE (TAC)
FOR THE
CONGESTION MANAGEMENT PROGRAM (CMP)**

**January 20, 2011
MINUTES**

The meeting of the Technical Advisory Committee (TAC) was held in the SamTrans Offices, 1250 San Carlos Avenue, San Carlos, Bacciocco Auditorium. Co-chair Hurley called the meeting to order at 1:15 p.m. on Thursday, January 20, 2011.

TAC members attending the meeting are listed on the Roster and Attendance on the preceding page. Others attending the meeting were: John Hoang – C/CAG; Jean Higaki – C/CAG; Richard Napier – C/CAG; Tom Madalena – C/CAG Lee Taubeneck – Caltrans; Jim Bigelow – C/CAG CMEQ

1. Public comment on items not on the agenda.

None.

2. Issues from the last C/CAG and CMEQ meetings.

None.

3. Approval of the Minutes from November 18, 2010.

Approved.

4. Presentation on the San Mateo Countywide Transportation Plan 2035

Joe Kott presented an overview of the planning process including proposed vision, goals, objectives and policies addressing the following: land use and transportation, motor vehicle travel, bicycle and pedestrians, public transportation, TDM/TSM, parking, modal connectivity, goods movement, and the environment.

Discussions and comments were as follows: How is the model being incorporated into this process? There is a need to coordinate with adjacent counties to address external zone traffic in addition; we need to share information with MTC and ABAG. We need to consider impacts of electric vehicles and potential lost in gas tax revenues. For transit, recommendations should include ways for increasing ridership. We should indicate what goals and objectives have changed from the old Plan.

5. Proposed Measure M Implementation Plan

John Hoang presented the proposed Measure M 5-Year implementation plan framework, which included up to 5% off the top of administration services (includes one-time cost of election and DMV setup), 50% of the net revenue for local streets and roads program, and 50% of the net revenue towards the following programs: Transit operations and/or senior transportation program (22%), ITS/San Mateo County Smart Corridor (10%), Safe Routes to School (6%), and NPDES/MRP (12%).

TAC members discussed that in addressing NPDES/MRP; we will need another dedicated revenue stream. In addition, we need to assure programs tie back to vehicles as indicated by the legislation.

6. Executive Director Report

Richard Napier that at a recent meeting, the CTC allocated \$32M for the CMIA project from Marsh to the University and \$5.5M for the phase 2 of the project at Hillsdale and thanked Ron Moriguchi (Caltrans). The next bond sale by the State is expected in the second half of the year.

7. Member Reports

Robert Weil indicated San Carlos is in the process of entering into a cooperative agreement with Caltrans for the PID pilot program. Lee Taubeneck indicated that having a template assisted the process.

Meeting ended at 3:00 p.m.

C/CAG AGENDA REPORT

Date: February 17, 2011
To: CMP Technical Advisory Committee
From: Sandy Wong and Jean Higaki
Subject: Review and comment on the process for "Call for Projects" of the Regional Transportation Plan/Sustainable Communities Strategy (RTP/SCS)

(For further information contact Sandy Wong at 599-1409 or Jean Higaki at 599-1462)

RECOMMENDATION

That the TAC review and comment on the process for "Call for Projects" of the Regional Transportation Plan/Sustainable Communities Strategy (RTP/SCS).

FISCAL IMPACT

None.

SOURCE OF FUNDS

NA

BACKGROUND/DISCUSSION

The Metropolitan Transportation Commission (MTC) has scheduled a "call for projects" to be issued on February 10, 2011 for development of its long-range Regional Transportation Plan/Sustainable Communities Strategy (RTP/SCS). MTC has requested that project sponsors submit projects through their respective Congestion Management Agency (CMA) for each county.

Unlike the previous updates of the RTP, the RTP/SCS must align transportation and land use planning to reduce greenhouse gas emissions. Specifically the SCS part adds three new elements to the RTP: (1) a land use component that identifies how the region could house the entire population of the region over the next eight and 20 years; (2) a discussion of resource and farmland areas to be protected; and (3) a demonstration of how the development pattern and the transportation network can work together to reduce GHG emissions.

C/CAG staff is working with the San Mateo County Transit District (SamTrans) and the San Mateo County Transportation Authority (SMCTA) on the "call for projects". A county level "call for projects" will be issued to all jurisdictions and potential project sponsors as soon as we receive direction from MTC. Staff encourages project sponsors to submit projects that can support the specific RTP/SCS goals and performance targets adopted by MTC on January 26, 2011. (See attached goals and performance targets.)

MTC will assign each CMA a target budget, for each county, as an upper financial limit for projects. This budget is based on population and is only used to set a "reasonable" limit on project submittals. Project estimates will be required as part of a project submittal. Project estimation guidelines will be sent out when available, prior to March 1.

Programmatic category projects are groups of similar projects, programs, and strategies that are

included under a single group for ease of listing in the RTP/SCS. Projects within programmatic categories must be exempt from regional air quality conformity. Projects that add capacity or expand the network are not included in a programmatic category. A list of eligible programmatic categories is attached.

MTC will make a web-based project application form available on March 1, 2011. C/CAG anticipates using this application form to develop the draft list. All projects should be submitted to us through this online application process.

The following “call for projects” schedule was developed by MTC and augmented with C/CAG processes (shaded tasks).

Schedule Task	Date
Review and Solicit Input on Draft Call for Projects Guidance	MTC PTAC: January 31, 2011 Regional RAWG: February 1, 2011 MTC Policy Advisory Council: February 9, 2011
MTC Planning Committee for Information	February 9, 2011
MTC Issues Call for Projects Guidance Letter to CMAs	February 10, 2011
C/CAG staff coordination meeting with SMCTA/SamTrans/JBP	February 10, 2011
CMP TAC – Process Review	February 17, 2011
C/CAG issues a call for projects to all identified project sponsors	Estimated in mid February
CMEQ – Process Review	February 28, 2011
Open Web-Based Project Application Form for Use by CMAs/ Project Sponsors	March 1, 2011
Project Sponsor submits initial project list to C/CAG	March 15, 2011
C/CAG staff develops preliminary draft list of projects based on sponsor submittals	March 16, 2011
CMP TAC – Review of draft list	March 17, 2011
CMEQ – Review of the draft list	March 28, 2011
Project Sponsors to complete web based application	April 8, 2011
C/CAG Board – Review of the draft list	April 14, 2011
CMP TAC –Review of the Final List	April 21, 2011
CMEQ –Review of the Final List	April 25, 2011
Project Submittals Due to MTC	April 29, 2011
C/CAG Board –Approval of the Final List (C/CAG will submit a draft list and request an extension from MTC for Board approved final list.)	May 12, 2011
MTC Conducts Project-Level Performance Assessment	May – July 2011

After the close of the project submittal process MTC will conduct “project-level performance assessments” from May-July 2011. MTC will also conduct a selection process for projects to include in “detailed scenarios assessment”. The “project-level performance assessment” is designed to identify projects and programs that advance the SCS/RTP goals, support the SCS land use strategy, and are cost-effective. The assessment will be similar to that performed as part of Transportation 2035. Methodologies for quantitatively and qualitatively comparing the merits of various transportation projects are in development. The “detailed scenario assessment”, performed after the “project-level performance assessment,” will capture the interactions among transportation projects and land use.

A schedule for the overall RTP/SCS development is attached and scheduled for adoption during November 2012 – April 2013. See attached memo. It is anticipated that the RTP/SCS will continue to be updated every four (4) years with no mid term amendment.

ATTACHMENTS

1. MTC Draft Projects Guidance Memo (3 parts)
2. RTP/SCS Project Targets and Goals.
3. RTP/SCS Needs Projections Approach
4. General SCS Schedule



METROPOLITAN
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COMMISSION

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Memorandum

TO: Partnership Technical Advisory Committee

DATE: January 31, 2011

FR: Grace Cho and Ashley Nguyen

W. I.

RE: Draft Guidance for the Call for Projects

The Metropolitan Transportation Commission (MTC) will issue an open “call for projects” for the Regional Transportation Plan/Sustainable Communities Strategy (RTP/SCS) in February 2011. Project submittals are due to MTC on April 29, 2011. This deadline is important because MTC will be performing project performance assessments starting in May 2011.

MTC staff is seeking your input on the draft Call for Projects Guidance, shown in Attachment A. Below is a brief description of the project submittal process:

- 1) Each Congestion Management Agency (CMA) will coordinate the project submittal process for their respective county. Project sponsors are asked to coordinate with their respective CMA to submit projects. Sponsors of multi-county projects (i.e. BART, Caltrain, Caltrans, etc.) may submit projects directly to MTC. Members of the public are eligible to submit projects, but must secure a public agency sponsor before submitting the project to the CMA. MTC will also submit regional projects/programs for consideration.
- 2) CMAs are to conduct and document their public outreach process to solicit ideas for projects. SB 375, the legislation mandating the RTP/SCS, also requires a separate public participation plan for its development. MTC’s Public Participation Plan was amended in December 2010 to address this requirement and expand upon the procedures and services to comply with Title VI of the Civil Rights Act of 1964. The CMA’s outreach process must be consistent with the requirements of MTC’s Public Participation Plan, which is available at http://www.onebayarea.org/get_involved.htm.
- 3) MTC will assign to each county a target budget, which is intended as a general upper financial limit for the program of projects submitted by county. The county target budgets are calculated based on the county population shares of estimated RTP/SCS discretionary funding plus an additional 75 percent. The county target budget is established for purposes of setting a reasonable limit on project submittals and is not to be construed as the budget used for allocating funds to projects in the RTP/SCS.
- 4) CMAs are to establish project cost estimation guidelines for the project sponsors. CMAs are permitted to develop their own guidelines or can use other local, state, or federal project cost estimation guidance.
- 5) MTC has developed a set of basic criteria to assist project sponsors with determining what type of projects to submit. Project sponsors are encouraged to submit projects that meet one or more of the criteria.

Draft Call for Projects Guidance
 January 31, 2011
 Page 2 of 2

- 6) CMAs are to bundle projects into programmatic categories, where possible. Projects which are not exempt from regional conformity cannot be placed into a programmatic category.

To submit a project, MTC has developed a web-based application form that allows sponsors to update current projects and submit new ones for consideration in the plan. The web-based project application will allow sponsors to:

- Identify projects in the current plan (Transportation 2035 Plan) that have been completed and are in operation, and mark them as a “dropped” project.
- Identify projects in the current plan that are no longer being proposed, and mark them as dropped project.
- Update project information for projects in the current plan that are proposed to be carried forward in the RTP/SCS.
- Add new projects for consideration in the RTP/SCS

The web-based project application form will be available on **March 1, 2011**. CMAs will help MTC by assisting project sponsors with the application, as well as reviewing and verifying project information prior to final submittal to MTC.

Schedule

Task	Date
Review and Solicit Input on Draft Call for Projects Guidance	PTAC: January 31, 2011 RAWG: February 1, 2011 Policy Advisory Council: February 9, 2011
MTC Planning Committee for Information	February 9, 2011
Issue Call for Projects Letter to CMAs	February 10, 2011
Open Web-Based Project Application Form for Use by CMAs/ Project Sponsors	March 1, 2011
Project Submittals Due	April 29, 2011
MTC Conducts Project-Level Performance Assessment	May – July 2011

Please see **Attachment B** for the RTP/SCS development schedule.

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Attachment A.1

RTP/SCS Goals and Performance Targets

Goal	Performance Target
<p><u>Climate Protection</u> Dealing effectively with the challenge of climate change involves communities far beyond the shores of San Francisco Bay. Indeed, Senate Bill 375 requires metropolitan areas throughout California to reduce greenhouse gas emissions from cars and trucks. Furthermore, our region must safeguard the shoreline due to sea-level rise through adaption strategies. By combining aggressive policies with innovative technologies, the Bay Area can act as a model for other regions around the state and nationwide.</p>	Reduce per-capita CO ₂ emissions from cars and light-duty trucks by 15%
<p><u>Adequate Housing</u> A diverse and sufficient housing supply is essential to maximize livability for all Bay Area residents. The region aspires not only to ensure affordability and supply of housing for peoples of all income levels and in all nine counties, but also to reduce the concentration of poverty in low-income communities of concern.</p>	House 100% of the region's projected 25-year growth by income level (very-low, low, moderate, above-moderate) without displacing current low-income resident
<p><u>Healthy & Safe Communities</u> Promoting healthy and safe communities includes improving air quality, reducing collisions and encouraging more bicycle and pedestrian travel. While policy choices by regional agencies can help influence land-use decisions and the operation and design of transportation infrastructure, local governments have the biggest role to play. Cities' and counties' land-use authority directly shapes the development patterns that guide individuals' travel choices.</p>	<ul style="list-style-type: none"> ○ Reduce premature deaths from exposure to particular emissions: <ul style="list-style-type: none"> ● Reduce premature deaths from exposure to fine particulates (PM_{2.5}) by 10% ● Reduce coarse particulate emissions (PM₁₀) by 30% ● Achieve greater reductions in highly impacted areas <p style="margin-left: 20px;">Associated Indicators</p> <ul style="list-style-type: none"> ● Incidence of asthma attributable to particulate emissions ● Diesel particulate emissions <ul style="list-style-type: none"> ○ Reduce by 50% the number of injuries and fatalities from all collisions (including bike and pedestrian) ○ Increase the average time walking or biking per person per day for transportation by 60% (for an average of 15 minutes per person per day)
<p><u>Open Space & Agricultural Preservation</u> Limiting urban sprawl will help preserve productive agricultural lands and prime natural habitat, in addition to maintaining public access to shorelines, mountains, lakes and rivers. As open space and farmlands are essential to the Bay Area's quality of life, the region</p>	<p>Direct all non-agricultural development within the urban footprint (existing urban development and urban growth boundaries)</p> <ul style="list-style-type: none"> ● Scenarios will be compared to 2010 urban footprint

Attachment A.1: RTP/SCS Goals and Performance Targets
 January 31, 2011
 Page 2 of 2

Goal	Performance Target
should focus growth in existing urban areas rather than pursue additional development in outlying areas.	for analytical purposes only
<p><u>Equitable Access</u> A high quality of life is not a privilege reserved only for the wealthy. Regional agencies must work to ensure that high-quality housing is available for people of all incomes; that essential destinations may be reached at a minimal cost of time or money; that mobility options are available not only to those who can transport themselves but also to our growing populations of senior and disabled residents; that the benefits and burdens alike of transportation investment are evenly distributed; and that air pollution, water pollution or noise pollution are not disproportionately concentrated in low-income neighborhoods.</p>	Decrease by 10% the share of low-income and lower-middle income residents' household income consumed by transportation and housing
<p><u>Economic Vitality</u> A strong economy is imperative to ensure continued quality of life for all Bay Area residents. This includes a healthy climate for business and growth, and plentiful employment opportunities for individuals of all skill levels and industries. Savvy transportation and land-use policies in pursuit of this goal will not only reduce travel times but also expand choices, cut total costs, improve accessibility, and boost reliability.</p>	Increase gross regional product (GRP) by 87% – an average of 2.1% per year (in current dollars)
<p><u>Transportation System Effectiveness</u> Maximizing the efficiency of the transportation system requires preserving existing assets in a state of good repair as well as leveraging assets that are not fully utilized and making targeted, cost-effective improvements. Continued maintenance is necessary to protect safety, minimize vehicle damage, support infill development in existing urban areas and promote economic growth regionwide.</p>	<ul style="list-style-type: none"> ○ Decrease average per-trip travel time by 10% for non-auto modes ○ Decrease automobile vehicle miles traveled per capita by 10% ○ Maintain the transportation system in a state of good repair: <ul style="list-style-type: none"> • Increase local road pavement condition index (PCI) to 75 or better • Decrease distressed lane-miles of state highways to less than 10% of total lane-miles • Reduce average transit asset age to 50% of useful life
<p><u>Infrastructure Security</u> The potential for damage from natural or manmade disasters is a threat to the security of Bay Area infrastructure. To preserve the region's economic vitality and quality of life, Bay Area government officials — in cooperation with federal and state agencies — must work to prevent damage to infrastructure systems and to minimize the potential impacts of any future disasters. Funding priorities must reflect the need to ensure infrastructure security and to avoid any preventable loss of life.</p>	

Attachment A.2 Programmatic Categories

Programmatic categories are groups of similar projects, programs, and strategies that are included under a single group for ease of listing in the RTP/SCS. Projects within programmatic categories must be exempt from regional air quality conformity. Projects that add capacity or expand the network are not included in a programmatic category. Projects that do not fit within the identified programmatic categories are listed separately in the RTP/SCS. Programmatic categories are listed below.

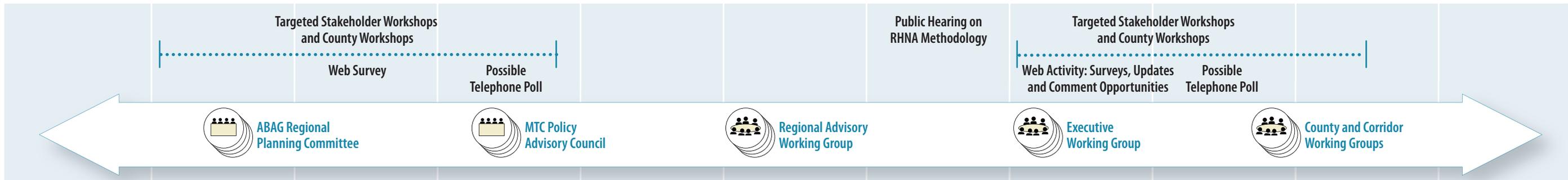
1. **Bicycle/Pedestrian Expansion** (new facilities, expansion of existing bike/pedestrian network)
2. **Lifeline Transportation** (Community Based Transportation Plans projects such as information/outreach projects, dial-a-ride, guaranteed ride home, paratransit, non-operational transit capital enhancements (i.e. bus shelters). Does not include fixed route transit projects.)
3. **Transit Enhancements** (ADA compliance, mobility and access improvements, passenger shelters, informational kiosks)
4. **Bicycle/Pedestrian Enhancements** (enhancements, streetscapes, TODs, ADA compliance, mobility and access improvements)
5. **Transit Management Systems** (TransLink[®], Transit GPS tracking systems (i.e. Next Bus))
6. **Local Road Safety** (shoulder widening, realignment, non-coordinated signals)
7. **Highway Safety** (implementation of Highway Safety Improvement Program, shoulder improvements, guardrails, medians, barriers, crash cushions, lighting improvements, fencing, increasing sight distance, emergency truck pullovers)
8. **Transit Safety and Security Improvements** (Installation of security cameras)
9. **Regional Air Quality and Climate Protection Strategies** (outreach programs and non-capacity projects specifically targeting regional air quality and climate protection strategies)
10. **Local Air Quality and Climate Protection Strategies** (outreach programs and non-capacity projects specifically targeting local air quality and climate protection strategies)
11. **Regional Planning and Outreach** (regionwide planning, marketing, and outreach)
12. **Transportation Demand Management** (continuation of ridesharing, shuttle, or vanpooling at current levels)
13. **Non-Capacity Increasing Local Road Intersection Modifications and Channelization**
14. **Non-Capacity Increasing State Highway Enhancements** (noise attenuation, landscaping, roadside rest areas, sign removal, directional and informational signs)
15. **Freeway/Expressway Incident Management** (freeway service patrol, call boxes)
16. **Non-Capacity Increasing Freeway/Expressway Interchange Modifications** (signal coordination, signal retiming, synchronization)
17. **Freeway/Expressway Performance Management** (Non-ITS Elements, performance monitoring, corridor studies)
18. **Bicycle/Pedestrian Facilities Rehabilitation**
19. **Non-Capacity Increasing Local Road Rehabilitation** (Pavement resurfacing, skid treatments)
20. **Non-Capacity Increasing Local Bridge Rehabilitation/Replacement/Retrofit**
21. **Transit Guideway Rehabilitation**
22. **Transit Station Rehabilitation**
23. **Transit Vehicle Rehabilitation/Replacement/Retrofit**
24. **State Highway Preservation** (Caltrans SHOPP, excluding system management)
25. **Toll Bridge Rehabilitation/Replacement/Retrofit**
26. **Local Streets and Roads O&M** (Ongoing non-capital costs, routine maintenance)
27. **Transit O&M** (Ongoing non-capital costs, preventive maintenance)
28. **Transit Operations Support** (purchase of operating equipment such as fareboxes, lifts, radios, office and shop equipment, support vehicles)
29. **State Highway O&M** (Caltrans non-SHOPP maintenance, minor 'A' and 'B' programs)

Sustainable Communities Strategy Planning Process: Phase 2 Detail for 2011*



Phase 2: Scenario Planning, Transportation Policy & Investment Dialogue, and Regional Housing Need Allocation

Local Government and Public Engagement



- Phase Two Actions/Decisions:**
- Initial Vision Scenario
 - Financial Forecasts
 - Detailed SCS Scenarios
 - RHNA Methodology
 - Preferred SCS Scenario
 - Draft RHNA Plan

Milestones

Release Initial Vision Scenario Begin Public Discussion	Development of Detailed SCS Scenarios	Selection of Detailed SCS Scenarios to be evaluated	Technical Analysis of SCS Scenarios	SCS Scenario Results	Release Preferred SCS Scenario	Approve Preferred SCS Scenario for EIR
Develop Draft 25-Year Transportation Financial Forecasts and Committed Transportation Funding Policy	Transportation Policy Investment Dialogue					Call for Transportation Projects and Project Performance Assessment
Start Regional Housing Need Allocation (RHNA)	Release Draft RHNA Methodologies	Adopt RHNA Methodology	State Dept. of Housing & Community Development Issues Housing Determination	Release Draft RHNA Plan		
Analysis of Equity Issues of Initial Vision Scenario	Develop Equity Analysis Methodology for Detailed SCS Scenarios	Equity Analysis of SCS Scenarios				

- Scenario Planning
- Transportation Policy and Investment Dialogue
- Regional Housing Need Allocation
- Equity Analysis

Policy Board Action

MTC ABAG	MTC ABAG JPC	MTC ABAG JPC	MTC ABAG JPC	MTC ABAG JPC	ABAG Executive Board	MTC ABAG JPC	MTC ABAG JPC	MTC ABAG	MTC ABAG JPC
February	March	April	May/June	July	August	September	October	November	December/January

2011 2012

*Subject to change

Policy Board Actions

- Meeting for Discussion/ Public Comment
- MTC ABAG JPC JOINT meeting of the ABAG Administrative Committee, the Joint Policy Committee and the MTC Planning Committee for Discussion/Public Comment
- ◆ Decision
- ▲ Document Release
- ▲ MTC ABAG JOINT document release by ABAG and MTC

ABAG - ABAG Administrative Committee
JPC- Joint Policy Committee
MTC- MTC Planning Committee

For more information on key actions and decisions and how to get involved, visit OneBayArea.org

Date: January 26, 2011
W.I.: 1121
Referred by: Planning Committee

ABSTRACT

Resolution No. 3987

This resolution adopts performance targets for the 2013 Sustainable Communities Strategy/Regional Transportation Plan.

Further discussion of this action is contained in the MTC “Executive Director’s Memorandum” to the Planning Committee dated January 7, 2011 and to the Commission dated January 19, 2011.

Date: January 26, 2011
W.I.: 1121
Referred by: Planning Committee

Re: Adoption of performance targets for the 2013 Sustainable Communities Strategy/Regional Transportation Plan

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION No. 3987

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Sections 66500 et seq.; and

WHEREAS, SB 375, Chapter 728, Statutes of 2008, amended Sections 65080, 65400, 65583, 65584.01, 65584.02, 65584.04, 65587, and 65588 of, and added Sections 14522.1, 14522.2, and 65080.01 to, the Government Code, and amended Section 21061.3 of, to add Section 21159.28 to, and to add Chapter 4.2 (commencing with Section 21155) to Division 13 of, the Public Resources Code, relating to environmental quality; and

WHEREAS, SB 375 requires MTC and Association of Bay Area Governments (“ABAG”) to adopt a Sustainable Communities Strategy (SCS), which integrates MTC’s Regional Transportation Plan (RTP) and ABAG’s Projections and Regional Housing Needs Allocation process (collectively, SCS/RTP); and

WHEREAS, SB 375 specifies how MTC and the ABAG are to collaborate in the preparation of the SCS; and

WHEREAS, MTC and ABAG may elect to set performance targets for the purpose of evaluating land use and transportation scenarios to help inform selection of a draft and final SCS/RTP; and

WHEREAS, performance targets adopted by MTC and ABAG will be applied in the planning process at the regional level and do not constitute standards, policies or restrictions that apply to decisions under the jurisdiction of local governments; and

WHEREAS, MTC and ABAG have solicited extensive input from local governments, partner transportation agencies, the MTC Policy Advisory Council, the ABAG Regional Planning Committee, and other regional stakeholders on performance targets; and

WHEREAS, Attachment A to this resolution, attached hereto and incorporated herein as though set forth at length, lists a set of performance targets representing environmental, economic and equity outcomes MTC and ABAG hope to achieve through the SCS/RTP; and

WHEREAS, the performance targets in Attachment A provide a framework for both quantitative and qualitative assessment of potential transportation projects to inform decisions about the projects to be included in the financially constrained RTP element of the SCS; and

WHEREAS, MTC and ABAG will periodically measure progress toward the performance targets in order to assess the impacts of regional and local policies and investments, modify or adjust programs or policies, modify or adjust performance targets, or inform development of future SCS updates, now, therefore be it

WHEREAS, the Bay Area Air Quality Management District regularly takes inventories of greenhouse gas emissions for industrial, commercial, transportation, residential, forestry, and agriculture activities in the San Francisco Bay Area; and

RESOLVED, MTC adopts the performance targets set forth in Attachment A.

METROPOLITAN TRANSPORTATION COMMISSION

Scott Haggerty, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in Oakland, California, on January 26, 2011.

Performance Targets for the Sustainable Communities Strategy/Regional Transportation Plan

GOAL/OUTCOME	#	RECOMMENDED TARGET <i>Unless noted, all targets are for year 2035 compared to a year 2005 base</i>
CLIMATE PROTECTION	1	Reduce per-capita CO ₂ emissions from cars and light-duty trucks by 15% <i>Statutory - Source: California Air Resources Board, as required by SB 375</i>
ADEQUATE HOUSING	2	House 100% of the region's projected 25-year growth by income level (very-low, low, moderate, above-moderate) without displacing current low-income residents <i>Statutory - Source: ABAG adopted methodology, as required by SB 375</i>
HEALTHY & SAFE COMMUNITIES	3	Reduce premature deaths from exposure to particulate emissions: <ul style="list-style-type: none"> • Reduce premature deaths from exposure to fine particulates (PM_{2.5}) by 10% • Reduce coarse particulate emissions (PM₁₀) by 30% • Achieve greater reductions in highly impacted areas <i>Source: Adapted from federal and state air quality standards by BAAQMD</i> Associated Indicators <ul style="list-style-type: none"> • Incidence of asthma attributable to particulate emissions • Diesel particulate emissions
	4	Reduce by 50% the number of injuries and fatalities from all collisions (including bike and pedestrian) <i>Source: Adapted from California State Highway Strategic Safety Plan</i>
	5	Increase the average daily time walking or biking per person for transportation by 60% (for an average of 15 minutes per person per day) <i>Source: Adapted from U.S. Surgeon General's guidelines</i>

Attachment A
Resolution No. 3987
Page 2 of 2

GOAL/OUTCOME	#	RECOMMENDED TARGET <i>Unless noted, all targets are for year 2035 compared to a year 2005 base</i>
OPEN SPACE AND AGRICULTURAL PRESERVATION	6	Direct all non-agricultural development within the urban footprint (existing urban development and urban growth boundaries) <ul style="list-style-type: none"> • Scenarios will be compared to 2010 urban footprint for analytical purposes only. <i>Source: Adapted from SB 375</i>
EQUITABLE ACCESS	7	Decrease by 10% the share of low-income and lower-middle income residents' household income consumed by transportation and housing <i>Source: Adapted from Center for Housing Policy</i>
ECONOMIC VITALITY	8	Increase gross regional product (GRP) by 90% – an average annual growth rate of approximately 2% (in current dollars) <i>Source: Bay Area Business Community</i>
TRANSPORTATION SYSTEM EFFECTIVENESS	9	<ul style="list-style-type: none"> • Decrease average per-trip travel time by 10% for non-auto modes • Decrease automobile vehicle miles traveled per capita by 10% <i>Source: Adapted from Caltrans Smart Mobility 2010</i>
	10	Maintain the transportation system in a state of good repair: <ul style="list-style-type: none"> • Increase local road pavement condition index (PCI) to 75 or better • Decrease distressed lane-miles of state highways to less than 10% of total lane-miles • Reduce average transit asset age to 50% of useful life <i>Source: Regional and state plans</i>



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Memorandum

TO: Regional Advisory Working Group

DATE: February 1, 2011

FR: Sri Srinivasan, Ross McKeown, and Glen Tepke

RE: Regional Transportation Plan/Sustainable Communities Strategy - Needs Projections Approach

Overview:

The region's long-range plan, Regional Transportation Plan/Sustainable Community strategy (RTP/SCS) requires the calculation of both the operating and capital needs for the region's transportation network.

The region has engaged in significant policy discussions regarding transit operating needs, transit capital needs, local streets and roads needs, and state highway maintenance and operations needs in each of the previous long-range plans. With each plan, MTC has attempted to improve on the accuracy of regional need projections. To this end, this memo and attachments outline the planned approach for calculating the region's operating and capital needs.

Timeline

The RTP/SCS planning effort consists of four phases, as outlined below. The needs approach effort falls under Phase Two of the planning process.

- Phase One: Performance Targets and Initial Vision Scenario
March 2010 – February 2011
- Phase Two: Scenario Planning, Transportation Policy and Investment Dialogue, and Regional Housing Need Allocation (RHNA)
January 2011 – February 2012
 - Local Streets and Roads Data Collection Timeline
Issue Call for Data – November 2, 2011
Data due from Jurisdictions – December 31, 2011
 - Regional Transit Capital Inventory (RTCI) Timeline
Issue Call for Data – November 17, 2010
Data due from Operators – January 20, 2011
 - Transit Operating Data Collection Timeline
Issue Call for Data – January 5, 2011
Data due from Operators – February 16, 2011

- State Highway Maintenance and Operation Needs Development
MTC will work with Caltrans to obtain the State Highway Maintenance needs based on various State Highway Operation and Protection Program (SHOPP) documents and Caltrans's own maintenance analysis systems – Complete by late March 2011
- Phase Three: RHNA, Environmental/Technical Analysis and Plan Preparation
March 2012 – October 2012
- Phase Four: Plan Adoption
November 2012 – April 2013

Approach

MTC is working with transit operators, local jurisdictions, and Caltrans on significant data collection efforts with timelines highlighted above. The data have been requested for the period of the plan, from FY2010-11 through FY2039-40. This data will then be analyzed to come up with local streets and roads maintenance needs, transit capital needs and transit operating needs, and State highway needs. Attachments A, B and C detail the individual approach methodologies.

Attachments:

- i. Attachment A - RTP/SCS - Needs Projections Approach - Local Streets and Roads Needs
- ii. Attachment B - RTP/SCS - Needs Projections Approach - Transit Capital Needs
- iii. Attachment C – RTP/SCS - Needs Projections Approach - Transit Operating Needs

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C/CAG AGENDA REPORT

Date: February 17, 2011
To: Technical Advisory Committee
From: Tom Madalena
Subject: Recommendation for the 5th Cycle of the Transit Oriented Development Housing Incentive Program

(For further information please contact Tom Madalena at 650-599-1460)

RECOMMENDATION

That the TAC consider the approval of the following projects (presented in attached summary) for the 5th Cycle of the Transit Oriented Development Housing Incentive Program.

FISCAL IMPACT

This initiative will help cities that are approving Transit Oriented Development (TOD) projects receive money earmarked for transportation projects. The cities with qualified projects that begin construction on TOD housing within 2 years will receive the financial incentive once the project is built.

SOURCE OF FUNDS

There is \$3,000,000 available for the 5th Cycle of the program. The funding sources include the State Transportation Improvement Program and the Transportation for Livable Communities (TLC) Program which consists of Congestion Mitigation & Air Quality (CMAQ) Improvement Program and Surface Transportation Program (STP) funds.

BACKGROUND/DISCUSSION

The objective of this program is to encourage high-density housing (greater than 40 units per acre) within 1/3 of a mile of a BART or Caltrain station or on El Camino Real/Mission Street in San Mateo County. For eligible housing projects, C/CAG will make a commitment to program the incentive funds to a transportation project identified by the sponsor if the housing is under construction within two years.

There are 10 projects that are being recommended for approval for the 5th Cycle of the Transit Oriented Development Housing Incentive Program. There were a total of ten applications received. Staff is still working with applicants to verify information presented in the

applications. The projects that qualified collectively include 2,156 bedrooms of which 665 will be affordable to low and moderate-income households. Based on the number of bedrooms approved there will be \$1,335 available for each bedroom built and an additional \$180 available for each affordable bedroom built.

In order to determine the dollar amount for each bedroom we multiplied the number of bedrooms and affordable bedrooms times \$2000 and \$250, respectively. From this we determined the percentage share that each category (regular bedrooms and affordable bedrooms) would have with an unlimited amount of money. It was calculated that of the \$3,000,000, 96% of it would be available for regular bedrooms and 4% would be available for affordable bedrooms. Given this breakdown we have \$1,335 available for each regular bedroom and \$180 available for each affordable bedroom.

For the 5th Cycle there are three projects that are on the El Camino Real.

ATTACHMENT

Summary of Recommended Projects - 5th Cycle

Transit Oriented Development Housing Incentive Program Summary of Recommended Projects – 5th Cycle

Applicant:	City of San Mateo
Project Name:	Mid-Peninsula Housing & Palo Alto Partners
Address:	2000 South Delaware Street San Mateo, CA 94403
Description:	This project consists of a 3-5 story apartment complex with two structures containing 120 residential units built over a single at-grade parking garage podium with large secure courtyard.
Number of Units:	120 units
Number of Bedrooms:	242
Density:	57 units/acre
Distance from Transit Station or ECR/Mission Street:	1,000 feet from Hayward Park Caltrain Station
Non-Residential Uses:	NA
Affordable housing incentive:	100% (242 bedrooms)
<i>Eligible for \$</i>	\$367,000

Applicant:	City of San Mateo
Project Name:	Bay Meadows Phase II
Address:	2600 South Delaware Street San Mateo, CA 94403
Description:	This is a 2.16 acre site with 108 units at a density of 50 dwelling units/net acre consisting of 88 condominium flats and 20 townhomes.
Number of Units:	108 units
Number of Bedrooms:	199
Density:	50 units/acre
Distance from Transit Station or ECR/Mission Street:	923 feet from proposed Hillsdale Caltrain Station
Non-Residential Uses:	NA
Affordable housing incentive:	10% (20 bedrooms)
<i>Eligible for \$</i>	\$270,000

Applicant:	City of San Carlos
Project Name:	San Carlos Transit Village
Address:	East Side of El Camino Real, San Carlos, CA
Description:	Redevelopment of an 8.7 acre site into a “Transit Village”, which is a development involving mainly residential uses and some retail uses, and a multi-modal transit center situated south of the historic depot.
Number of Units:	281 units
Number of Bedrooms:	532
Density:	56 units/acre
Distance from Transit Station or ECR/Mission Street:	El Camino Real
Non-Residential Uses:	34,600 square feet of retail/commercial space
Affordable housing incentive:	15% Affordable (80 bedrooms)
<i>Eligible for \$</i>	\$724,000

Applicant:	City of San Carlos
Project Name:	Wheeler Plaza
Address:	1200 block of San Carlos Ave.& 600 block of Walnut Street, San Carlos, CA
Description:	This is a five story structure that includes approximately 112 residential condominium units.
Number of Units:	112
Number of Bedrooms:	211
Density:	51 units/acre
Distance from Transit Station or ECR/Mission Street:	1/10 of a mile from Caltrain
Non-Residential Uses:	9,800 square feet of retail space
Affordable housing incentive:	21% (44 bedrooms)
<i>Eligible for \$</i>	\$290,000

Applicant:	City of San Bruno
Project Name:	Peninsular Plaza
Address:	400-418 San Mateo Avenue, San Bruno, CA
Description:	This project will be a three story mixed-use building with two floors of condominiums over ground floor commercial use and underground parking.
Number of Units:	48 units
Number of Bedrooms:	93
Density:	48 units/acre
Distance from Transit Station or ECR/Mission Street:	1/5 mile to Caltrain
Non-Residential Uses:	14,650 square feet of commercial space
Affordable housing incentive:	17.5% affordable (16 bedrooms)
<i>Eligible for \$</i>	\$127,000

Applicant:	City of South San Francisco
Project Name:	Mid Peninsula Housing Coalition
Address:	636 El Camino Real, South San Francisco, CA
Description:	Mixed-use affordable housing project on an approximately two-acre lot which will consist of four two to five story buildings with up to 109 residential rental units and approximately 5,000 square feet of commercial/retail space.
Number of Units:	109 residential units
Number of Bedrooms:	235
Density:	54 units/acre
Distance from Transit Station or ECR/Mission Street:	El Camino Real
Non-Residential Uses:	5000 square feet of commercial/retail space
Affordable housing incentive:	100% affordable (235 bedrooms)
<i>Eligible for \$</i>	\$356,000

Applicant:	City of South San Francisco
Project Name:	City of South San Francisco
Address:	418 Linden Avenue, South San Francisco, CA
Description:	Mixed-use housing project which will consist of a four-story building with approximately 7,000 square feet of ground floor commercial space with residential above. The residential portion will consist of 25 units: thirteen 1-bedroom units, twelve 2-bedroom units.
Number of Units:	25 residential units
Number of Bedrooms:	37
Density:	77 units/acre
Distance from Transit Station or ECR/Mission Street:	¼ mile to South San Francisco Caltrain
Non-Residential Uses:	7,000 square feet of commercial space
Affordable housing incentive:	NA
<i>Eligible for \$</i>	\$49,000

Applicant:	City of South San Francisco
Project Name:	Metron, PTP
Address:	1309 Mission Road, South San Francisco, CA
Description:	Mixed use affordable housing project which will consist of a four story building with approximately 5,200 square feet of ground floor commercial with residential above. The residential portion will consist of 20 units: two 1-bedroom units, fourteen 2-bedroom units, two 3-bedroom units and two 4-bedroom units.
Number of Units:	20
Number of Bedrooms:	44
Density:	49 units/acre
Distance from Transit Station or ECR/Mission Street:	.02 miles from South San Francisco BART
Non-Residential Uses:	5,200 square feet of commercial
Affordable housing incentive:	20% affordable (9 bedrooms)
<i>Eligible for \$</i>	\$61,000

Applicant:	City of Redwood City
Project Name:	Mel's Bowl Site / Urban Housing Group
Address:	2580 El Camino Real, Redwood City, CA
Description:	This will be a 149-unit multi-family residential project with wrapped parking containing 246 parking stalls and bicycle storage. The applicant proposes 105 one-bedroom units and 44 two-bedroom units.
Number of Units:	149
Number of Bedrooms:	193 bedrooms
Density:	60 units/acre
Distance from Transit Station or ECR/Mission Street:	El Camino Real
Non-Residential Uses:	NA
Affordable housing incentive:	NA
<i>Eligible for \$</i>	\$258,000

Applicant:	City of Redwood City
Project Name:	Dodge Dealership Development Site / BRE Properties
Address:	640 Veterans Blvd., Redwood City, CA
Description:	This project will be a 260 unit multi-family residential development that includes a density bonus to allow 72 units per acre.
Number of Units:	260
Number of Bedrooms:	370
Density:	72 units/acre
Distance from Transit Station or ECR/Mission Street:	* Information to be verified
Non-Residential Uses:	NA
Affordable housing incentive:	5% affordable (19 bedrooms)
<i>Eligible for \$</i>	\$497,000

Note – Grant amounts are rounded to the nearest \$1,000 per State and Federal requirements.

C/CAG AGENDA REPORT

Date: February 17, 2011
To: C/CAG CMP Technical Advisory Committee (TAC)
From: Jean Higaki, Transportation System Coordinator
Subject: Regional Project and Funding Information

(For further information or questions contact Jean Higaki at 650-599-1462)

RECOMMENDATION

This is an informational item.

FISCAL IMPACT

None.

SOURCE OF FUNDS

N/A

BACKGROUND/DISCUSSION

C/CAG staff routinely attends meetings hosted by the Metropolitan Transportation Commission (MTC) and receives information distributed by the MTC pertaining to Federal funding, project delivery, and other regional policies that may affect local agencies. Attached to this report includes relevant information from MTC.

- Caltrans has issued a Bicycle Transportation Account (BTA) Call For Projects. The deadline to apply is March 18, 2011. BTA provides state funds for city and county projects that improve safety and convenience for bicycle commuters. Eligibility information and applications can be found at:
<http://www.dot.ca.gov/hq/LocalPrograms/bta/BTACallForProjects.htm>
Eligibility information can be found at:
<http://www.dot.ca.gov/hq/LocalPrograms/bta/BTPProcessFinal.htm>
- Changes are being made to the Local Assistance Procedures Manual and/ or to Local Programs procedures including: Invoicing procedures, Value Engineering/ Analysis, Project Oversight and Process Reviews, and Indirect Cost Rate Proposals/ Indirect Cost Allocation Plan (ICRP/ICAP). See attachments.
- MTC Federal Programs Monitoring Update - Regarding the Highway Bridge Program (HBP) FY2010-11 Program entry into FMS. MTC requests that all HBP projects, as well as any outstanding Safety projects (HSIP/HR3/SRTS), be entered into FMS by February 28, 2011. Inputting this data into FMS is for delivery monitoring purposes only. All of these program

projects will now be subjected to MTC Regional deadlines with programming penalties imposed on projects that miss those deadlines. See attachment.

- MTC will issue a Call for Projects in March for their Program for Arterial System Synchronization (PASS). This program is designed to provide technical and financial assistance to Bay Area agencies to help improve the safe and efficient operation of certain traffic signal systems and corridors. PASS provides approximately \$1.25 million per year in CMAQ funds for traffic signal coordination.
- Draft unit costs, obtained from the Local Streets and Roads Needs assessment surveys are available from MTC. Please review the analyses (see attachment) and send any additional data or updated information to MTC by February 18, 2011, so MTC can finalize the unit cost calculation by February 21, 2011. Agencies who fail to meet this deadline will have potential ramifications to the amount of local streets and roads funding. For any questions about the methodology please contact Sri Srinivasan at ssrinivasan@mtc.ca.gov. For updating the data, please reach out to Sui Tan at stan@mtc.ca.gov. MTC has questions about data points from Colma, Belmont, Redwood City, San Bruno, and Woodside.

ATTACHMENTS

1. STP/CMAQ and Local Safety Programs Delivery Update
2. Federal Inactive Obligations – December 2010 Quarterly Review of Inactive Obligations
3. Local Assistance announcement regarding Invoicing procedures, Value Engineering/ Analysis, Project Oversight and Process Reviews, and Indirect Cost Rate Proposals/ Indirect Cost Allocation Plan (ICRP/ICAP).
4. Draft unit costs as calculated from the Local Streets and Roads Needs Assessment Surveys



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Memorandum

TO: Local Streets and Roads/ Programming and Delivery
Working Group

DATE: January 31, 2011

FR: Marcella Aranda

RE: STP/CMAQ and Local Safety Programs Delivery Update

FFY 2010-2011 OA Delivery Update

AB 1012 (Chapter 783, Statutes of 1999 - Torlakson) established strict timely use of funds and project delivery requirements for transportation projects. Under AB 1012, Surface Transportation Program (STP) and Congestion Mitigation Air Quality Improvement (CMAQ) funds must be obligated within three years of the apportionment. The obligation requirement applies to the aggregate programmed amounts of STP and CMAQ amounts for a given fiscal year. Funds not obligated by the deadline are lost to the region. Furthermore, Obligation Authority (OA) is assigned to the STP/CMAQ apportionments on an annual basis. Regional OA not used by May 1 of each year is made available to other regions on a first-come first-served basis, with any remaining OA not used by the end of each federal fiscal year taken by the state; with no guarantee the funds will be returned.

In addition to the state requirements, MTC's Regional Project Delivery Policy (MTC Resolution 3606) requires the obligation of Federal funds on a project-by-project basis for established regional deadlines that are earlier than those required by AB 1012. This is to ensure that no funds are lost to the region due to missed state and federal requirements and to facilitate project delivery. Funds that do not meet the regional deadlines are returned to MTC for reprogramming within the region.

FFY 2010-11 Federal Obligation Status

MTC is developing for submittal to Caltrans, the required FFY 2010-11 Annual Obligation Plan for Regional Surface Transportation Program (RSTP), Congestion Mitigation and Air Quality Improvement (CMAQ), Highway Bridge Program (HBP), Highway Safety Improvement Program (HSIP), High-Risk Rural Roads (HRRR), Safe Routes to School (SRTS), Regional Transportation Enhancement Program (RTIP-TE), and federal State Transportation Improvement Program (STIP) funding for the San Francisco Bay Area. The table below reflects a preliminary estimate of FFY 2010-11 obligations at this time by fund source, excluding RTIP-TE funds.

STP-CMAQ and Local Programs Delivery Update

January 31, 2011

Page 2 of 3

Federal Obligation Status for FFY 2010-11

Fund Source	FY 2010-11 Obligation Plan (DRAFT)	FY 2010-11 Obligation Plan (as of 01/21/11)	Obligations through 01/21/11	% Obligated	Balance Remaining	% Remaining
STP	65,178,250	64,493,250	\$0	.0%	\$64,493,250	100.0%
CMAQ	80,152,691	85,030,691	\$21,433,059	25.2%	\$63,597,632	74.8%
RTIP-TE	21,401,000	21,401,000	N/A	.0%	\$21,401,000	100.0%
HBP	65,196,556	65,196,556	1,410,915	2.2%	\$63,785,641	97.8%
HSIP*	2,211,325	2,691,349	\$1,135,940	42.2%	\$1,555,409	57.8%
HR3*	1,227,600	1,281,600	\$54,000	4.2%	\$1,227,600	95.8%
SRTS*	1,838,262	2,006,414	\$1,348,247	67.2%	\$658,167	32.8%
Total	\$237,205,684	\$242,100,860	\$25,382,161	10.5 %	\$216,718,699	89.5%

*Note: Local Safety Programs (HSIP, HR3, SRTS) funds are based on those entered into FMS and may not reflect overall FFY 2010-11 programming and/or obligations. The current approved TIP back up project listings can be found online at: <http://www.mtc.ca.gov/funding/tip/grouped.htm>.

MTC staff continuously monitors the delivery of federally-funded projects, and has been informing members of the Bay Area Partnership on a regular basis of the project delivery requirements and pending deadlines. Sponsors with regional federal funds programmed in FY 2010-11 of the federal TIP are required to submit the obligation/ transfer request to Caltrans by February 1, 2011, and to receive an obligation (an E-76 / federal authorization to proceed) by April 30, 2011. Sponsors should continue to work with their Caltrans Local Assistance Engineer to obligate their funds as soon as possible before the State runs out of obligation authority.

Any funding changes to projects in the Plan must be added to FY 2010-11 of the TIP through a TIP Revision approved by MTC, before the change is incorporated into the Obligation Plan. Attachment (i) is a listing of the STP/CMAQ funds programmed in FY 2010-11 and should submit to Caltrans Local Assistance by February 1, 2011, and obligate by April 30, 2011. Funds not obligated by the regional deadlines are subject to reprogramming within the region to other projects that can use the OA.

Safety Programs Delivery Status and Guidelines

The Department of Transportation (Caltrans) requires local agencies to meet specific delivery timelines for all past and future projects in the local federal Safety Programs: Highway Bridge Program (HBP), Highway Safety Improvement Program (HSIP), High Risk Rural Roads Program (HR3), and Safe Routes to School Program (SRTS). These project delivery requirements are entirely independent of the FSTIP program year. The project delivery requirements are based upon a set time period to complete three (3) primary milestones of a project. The three milestones and corresponding delivery requirements are:

1. Request Authorization to Proceed with PE within 6 months after the project is amended into the FSTIP.
2. Request Authorization to Proceed with Construction within 30 months (2½ years) after the project is amended into the FSTIP.
3. Complete construction and close-out the project within 54 months (4½ years) after the project is amended into the FSTIP.

The date the project is first amended into the FSTIP (i.e. approved by the FHWA) is the date from which all future delivery performance is evaluated. As soon as a project is included in an approved FSTIP, local agencies are expected to move forward with their project delivery and request an authorization to proceed with PE, ROW, or CON, whichever phase is appropriate for their project. When the FFY of the project

STP-CMAQ and Local Programs Delivery Update

January 31, 2011

Page 3 of 3

delivery schedule does not match the FFY in the FSTIP, local agencies must utilize the Expedited Project Selection Procedure (EPSP) prior to requesting authorization to begin work on the project.

Considering that funds not delivered within established deadlines are lost to the State, as well as to the region, it is important that projects are delivered in a timely manner. As a result, in addition to the state delivery requirements, MTC will be monitoring and enforcing the Regional Project Delivery Policy (MTC Resolution 3606), for all local safety programs effective immediately. Per Resolution 3606, project sponsors with federal funds not obligated by the regional deadline of April 30 of the year the funds are included in the Regional Obligation Plan are subject to programming sanctions by MTC. In an effort to ensure timely delivery, staff requested that sponsors enter their respective Safety Program projects, including HSIP, HR3, and SRTS, into MTC's Fund Management System (FMS) for delivery monitoring purposes only. Attachment (iii) reflects those projects entered into FMS that are expected to be delivered in FFY 2010-11. To assist MTC with monitoring efforts, staff requests that project sponsors work with their respective CMAs to enter and submit any outstanding Safety Program projects as well as the FFY2010-11 Highway Bridge Program (HBP) (Attachment ii) projects into FMS by **February 28, 2011**. These programs will continue to be administered by Caltrans and are included in the approved TIP as Grouped Listings. The latest approved TIP project listings can be found online at: <http://www.mtc.ca.gov/funding/tip/grouped.htm>.

Please check the Caltrans site (http://www.dot.ca.gov/hq/LocalPrograms/HSIP/delivery_status.htm) for additional Safety Program information and to view the five (5) unique Delivery Status Reports that show delivery summaries by program, MPO, agency, and by individual project. These reports are updated quarterly, and most recently updated on January 25, 2011. On the project listing, a green checkmark means that the agency has completed that milestone and is now into the next phase. A red "X" means that the agency did not complete that milestone within the time frame established as acceptable. Projects that do not reflect any milestone marks are projects that should have been closed out and are no longer being tracked.

For those agencies that do not have an on-going federal safety program project, we still encourage you to visit the webpage to familiarize yourself with the current delivery requirements.

Should you have any questions regarding the STP-CMAQ program, please contact Craig Goldblatt at cgoldblatt@mtc.ca.gov. For questions regarding the Local Programs, including HBP, HSIP, HR3, and SRTS, please contact Marcella Aranda at maranda@mtc.ca.gov.

Attachments:

- i. FFY 2010-11 STP/CMAQ Obligation Status as of January 21, 2011
- ii. FFY 2010-11 Highway Bridge Program Obligation Status as of January 4, 2011
- iii. FFY 2010-11 Local Safety Programs (HSIP, HR3, SRTS) Obligation Status as of January 21, 2011
- iv. Caltrans D4 Email: "Project Delivery Status Reports - Safety Projects", dated January 27, 2011

STP-CMAQ Obligation Status Report

Fiscal Years: FY 10/11

January 21, 2011

County	Sponsor	Project Name	Phase	TIP ID	Fund Code	Fed Project Data		Appn FY	Prog FY	Fund Programming Information			Obligation Information			Balance Remaining	
						Prefix	ID			STP Amt	CMAQ Amt	Total Amt	Date	STP Amt	CMAQ Amt		Total Amt
San Mateo County																	
San Mateo	Burlingame	Burlingame - Federal Grant Street Resurfacing	CON	SM-110016	STP-T4-1-LSR-CO				10/11	308,000		308,000				308,000	
San Mateo	CCAG	San Mateo County SR2S Program	CON	SM-110022	CMAQ-T4-1-SR2S-CO				10/11		1,279,000	1,279,000				1,279,000	
San Mateo	CCAG	San Mateo County SR2S Program	CON	SM-110022	STP-T4-1-SR2S-CO				10/11	150,000		150,000				150,000	
San Mateo	Daly City	Daly City Street Rehab Program	CON	SM-110017	STP-T4-1-LSR-CO				10/11	1,058,000		1,058,000				1,058,000	
San Mateo	Millbrae	El Camino Real & Victoria Ave Pedestrian Crossing	CON	SM-090017	CMAQ-T4-1-TLC-CO				10/11		355,000	355,000				355,000	
San Mateo	Pacifica	Pacifica FY 2010-2011 Pavement Rehab Program	CON	SM-110029	STP-T4-1-LSR-CO				10/11	383,000		383,000				383,000	
San Mateo	Redwood City	Redwood City - 2010-2011 Street Overlay Program	CON	SM-110015	STP-T4-1-LSR-CO				10/11	946,000		946,000				946,000	
San Mateo	SSF	SSF - 2010 Various Street Resurfacing Project	CON	SM-110013	STP-T4-1-LSR-CO				10/11	712,000		712,000				712,000	
San Mateo	SamTrans	SAMTRANS: Preventive Maintenance	CON	SM-030023	STP-T4-1-RO		6014012	10/11	10/11	228,000		228,000				228,000	
San Mateo	SamTrans	SAMTRANS: Preventive Maintenance	CON	SM-030023	STP-T4-1-RSI		6014012	10/11	10/11	6,000,000		6,000,000				6,000,000	
San Mateo	SamTrans	Making the Last Mile Connection TDM Program	CON	SM-110005	CMAQ-T4-1-CCI		6014012	10/11	10/11		325,000	325,000				325,000	
San Mateo	SamTrans	Making the Last Mile Connection TDM Program	PE	SM-110005	CMAQ-T4-1-CCI		6014012	10/11	10/11		1,162,000	1,162,000				1,162,000	
San Mateo	San Bruno	San Bruno Various Streets Resurfacing	CON	SM-110018	STP-T4-1-LSR-CO				10/11	398,000		398,000				398,000	
San Mateo	San Carlos	East Side Community Transit Connectivity	PE	SM-110028	CMAQ-T4-1-TLC-REG	CML	5267015	10/11	10/11		425,696	425,696	01/11/11		425,696	425,696	
San Mateo	San Mateo	Delaware Street Bike Lane and Streetscape	PE	SM-110007	CMAQ-T4-1-TLC-REG	CML	5102038		10/11		60,000	60,000	11/18/10		60,000	60,000	
San Mateo	San Mateo	San Mateo Street Rehab of Various Fed. Aid Routes	CON	SM-110021	STP-T4-1-LSR-CO				10/11	1,255,000		1,255,000				1,255,000	
San Mateo	San Mateo Co	San Mateo Co. Pavement Program	CON	SM-110020	STP-T4-1-LSR-CO				10/11	1,416,000		1,416,000				1,416,000	
San Mateo County Totals										12,854,000	3,606,696	16,460,696		0	485,696	485,696	15,975,000

Federal Highway Bridge Program (HBP)

Status of FFY 10/11 Programmed Projects

District	County	MPO/RTPA	Responsible Agency	Project Description	Federal Aid Project	FFY 10/11 Federal Funds Programmed	Current FFY Funds Obligated	Unobligated Balance	Shaded Means Needs Action	PE Auth Date	R/W Auth Date	CON Auth Date	Date of Last Payment
04	San Mateo	Metropolitan Transportation Commission	Half Moon Bay	BRIDGE NO. 35C0025, MAIN ST OVER PILARCITOS CREEK, 0.25 MI S/O S.H. 92. Replace existing 2 lane bridge with 2 lane bridge.		\$ 997,733		\$ 997,733					
04	San Mateo	Metropolitan Transportation Commission	Redwood City	BRIDGE NO. 35C0074L, BRIDGE DR PARKWAY OVER MARINE WORLD LAGOON, EAST OF MARINE WORLD PKWY. Preventive Maintenance.		\$ 66,398		\$ 66,398					
04	San Mateo	Metropolitan Transportation Commission	Redwood City	BRIDGE NO. 35C0074R, BRIDGE DR PARKWAY OVER MARINE WORLD LAGOON, EAST OF MARINE WORLD PKWY. Preventive Maintenance.		\$ 66,398		\$ 66,398					
04	San Mateo	Metropolitan Transportation Commission	Redwood City	PM00029, Planning of the bridge preventive maintenance program by Redwood City. (PLANNING ONLY - for developing projects lists - NOT for project development.)		\$ 88,530		\$ 88,530					
04	San Mateo	Metropolitan Transportation Commission	San Francisco International Airport	BRIDGE NO. 35C0133, DEPARTING FLT TRFC, OVER ARRIVING FLIGHT TRAFFIC, EAST OF SH 101. Upgrade bridge railings. (STP)	6097(004)	\$ 2,978,592		\$ 2,978,592		12/5/97			10/8/10
04	San Mateo	Metropolitan Transportation Commission	San Mateo	BRIDGE NO. 35C0077, BERMUDA DR, OVER FIESTA CHANNEL, SOUTH OF FIESTA DRIVE. Bridge Rehabilitation	5102(033)	\$ 60,200	\$ 60,200	\$ 0		2/11/10			10/20/10
04	San Mateo	Metropolitan Transportation Commission	South San Francisco	BRIDGE NO. PM00049, Bridge Preventive Maintenance Program for the City of South San Francisco. See Caltrans HBP web site for backup list of bridges.		\$ 32,092		\$ 32,092					
04	Santa Clara	Metropolitan Transportation Commission	Palo Alto	BRIDGE NO. 37C0223, NEWELL RD OVER SAN FRANCISQUITO CR, NEAR WOODLAND AVE. Replace existing two-lane bridge with a new two-lane bridge conforming to current standards.		\$ 318,708		\$ 318,708					
04	Santa Clara	Metropolitan Transportation Commission	Santa Clara County	BRIDGE NO. 37C0093, UVAS RD, OVER UVAS CREEK, 0.7 MI N/O WATSONVILLE RD. Replace existing 2-lane bridge with new 2-lane bridge.	5937(077)	\$ 579,303	\$ 568,392	\$ 10,911		12/11/01		4/15/07	12/1/09
04	Santa Clara	Metropolitan Transportation Commission	Santa Clara County	BRIDGE NO. 37C0094, UVAS RD, OVER UVAS CREEK, 0.6 MI S/O CROY RD. Replace 2 lane bridge with new 2 lane bridge.	5937(123)	\$ 84,104		\$ 84,104		6/3/09			12/21/10
04	Santa Clara	Metropolitan Transportation Commission	Santa Clara County	BRIDGE NO. 37C0095, UVAS RD, OVER LITTLE UVAS CREEK, 0.2 MI N/O CROY RD. Replace 2 lane bridge with new 2 lane bridge.	5937(124)	\$ 53,118		\$ 53,118		6/16/09			12/21/10
04	Santa Clara	Metropolitan Transportation Commission	Santa Clara County	BRIDGE NO. 37C0096, UVAS RD, OVER LLAGAS CREEK, 1.0 MI N/O OAK GLEN AV. Replace 2 lane bridge with new 2 lane bridge.		\$ 150,501		\$ 150,501					
04	Santa Clara	Metropolitan Transportation Commission	Santa Clara County	BRIDGE NO. 37C0103, BLOOMFIELD ROAD, OVER CARNADERO CREEK, BOLSA RD. Scour Countermeasure		\$ 39,839		\$ 39,839					
04	Santa Clara	Metropolitan Transportation Commission	Santa Clara County	BRIDGE NO. 37C0117, LOYOLA DR OVER LOYOLA DR OC, AT FOOTHILL EXPWY. Widen existing bridge no added capacity.		\$ 531,180		\$ 531,180					
04	Santa Clara	Metropolitan Transportation Commission	Santa Clara County	BRIDGE NO. 37C0159, ALAMITOS RD, OVER ALAMITOS CREEK, 0.8 MI S OF ALMADEN. Replace 2 lane bridge with new 2 lane bridge. 4/5/2010: Toll Credits programmed for R/W & Con.	5937(058)	\$ 250,340		\$ 250,340		10/1/99			12/27/10
04	Santa Clara	Metropolitan Transportation Commission	Santa Clara County	BRIDGE NO. 37C0170, MASTEN ROAD, OVER LLAGAS CREEK, 0.5 MI E/O SH 101. Scour Countermeasure 4/5/2010: Toll Credits programmed for PE & Con. 11/1/2010: Toll credits for PE deleted.	5937(142)	\$ 58,430		\$ 58,430		9/3/09			12/14/10
04	Santa Clara	Metropolitan Transportation Commission	Santa Clara County	BRIDGE NO. 37C0501, ALAMITOS RD, OVER HERBERT CREEK, 0.7 MI W OF HICKS RD. Scour Countermeasure 4/5/2010: Toll Credits programmed for PE & Con. 11/1/2010: Toll credits for PE deleted.	5937(146)	\$ 44,265		\$ 44,265		9/3/09			12/21/10
04	Santa Clara	Metropolitan Transportation Commission	Santa Clara County	BRIDGE NO. 37C0518, BOWDEN CT, OVER LLAGAS CREEK, 0.1 MI N WATSONVILLE RD. Scour Countermeasure 4/5/2010: Toll Credits programmed for PE & Con. 11/1/2010: Toll credits for PE deleted.	5937(143)	\$ 57,545		\$ 57,545		9/3/09			12/21/10

Metropolitan Transportation Commission
Local Safety Program (HSIP, HRRR, SRTS) Obligation Status Report
 Fiscal Years: FY09/10, FY10/11
 January 21, 2011

County	Sponsor	Project Name	Phase	TIP ID	Fund Code	Fed Project Data		Appn Yr	Prog Yr	Fund Programming Information			Obligation Information			Balance Remaining	
						Prefix	ID			HSIP Amt	HRRR Amt	SRTS Amt	Date	HSIP Amt	HRRR Amt		SRTS Amt
San Francisco County																	
San Francisco	SFMTA	Sunset Blvd. Signals at Kirkham, Santiago, Ulloa	PE	SF-110022	HSIP-T4-3	HSIPL	6328039	12/13	10/11	144,000			11/22/10	144,000			
San Francisco	SFMTA	Alamo Elementary Safe Routes to School	PE	SF-110023	SRTS-T3-2	SRTSL	6328040	12/13	10/11			132,175	12/07/10		132,175		
San Francisco County Totals										144,000	0	132,175		144,000	0	132,175	0
San Mateo County																	
San Mateo	Atherton	Valparaiso at Hoover In-Roadway Lighted	PE	SM-110034	HSIP-T4-3	HSIPL	5261007	12/13	10/11	2,700			11/18/10	2,622		78	
San Mateo	SSF	Sister Cities Blvd Guardrail Project	PE	SM-110033	HSIP-T4-3	HSIPL	5177024	12/13	10/11	27,000			12/30/10	27,000			
San Mateo	San Carlos	SR 82 and Belmont Ave Crosswalk Improvements	PE	SM-110030	HSIP-T4-3			12/13	09/10	27,000						27,000	
San Mateo County Totals										56,700	0	0		29,622	0	0	27,078
Santa Clara County																	
Santa Clara	Campbell	Campbell Avenue/Leigh Avenue Signalization	CON	SCL110043	HSIP-T3-2		5306016	10/11	10/11	295,686						295,686	
Santa Clara	Campbell	Campbell Avenue/Leigh Avenue Signalization	PE	SCL110043	HSIP-T3-2		5306016	10/11	09/10	28,314			12/16/09	28,314			
Santa Clara	San Jose	Minidoka Avenue Sidewalk Improvement	PE	SCL110040	SRTS-T3-1	SRTSLNI	5005097	10/11	09/10			125,000	12/16/09		125,000		
Santa Clara	Santa Clara Co	Black Road Safety Improvements	PE	SCL110046	HSIP-T3-2	HSIPL	5937138	10/11	09/10	45,000			12/16/09	45,000			
Santa Clara County Totals										369,000	0	125,000		73,314	0	125,000	295,686
Sonoma County																	
Sonoma	Healdsburg	Healdsburg Ave In-Pavement Crosswalk Lighting	CON-CT	SON110023	HSIP-T3-2	HSIPL	5027015	11/12	10/11	72,100						72,100	
Sonoma	Healdsburg	Healdsburg Ave In-Pavement Crosswalk Lighting	PE	SON110023	HSIP-T3-2	HSIPL	5027015	11/12	09/10	11,700			04/27/10	11,700			
Sonoma	Petaluma	East Washington Street Pedestrian Crossing	CON	SON110020	HSIP-T3-2	HSIPL	5022043	10/11	09/10	393,210			06/17/10	393,210			
Sonoma	Petaluma	Left-turn Signal Modification	PE	SON110021	HSIP-T4-3	HSIPL	5022047	12/13	09/10	59,400			07/16/10	59,400			
Sonoma County Totals										536,410	0	0		464,310	0	0	72,100
Report totals:										2,802,949	1,281,600	2,081,414		1,135,940	54,000	1,348,247	3,627,776

* Note: Highlighted projects have missed their delivery deadlines. Sponsors should contact their DLAE to ensure funds are not lost as a result of missing these deadlines.

From: John Brewster <john_brewster@dot.ca.gov>
CC: Sylvia Fung <sylvia_fung@dot.ca.gov>
Date: 01/27/11 9:16 AM
Subject: Project Delivery Status Reports - Safety Projects

Dear Transportation Official:

The Department of Transportation (Caltrans) recently posted new Project Delivery Status Reports for local safety projects at http://www.dot.ca.gov/hq/LocalPrograms/HSIP/delivery_status.htm. The three safety programs included in these reports are the Highway Safety Improvement Program (HSIP), the High Risk Rural Roads Program (HR3), and the Safe Routes to School Program (SRTS). The new quarterly reports cover the time period from October 1, 2010 to December 31, 2010. The site has summary reports by program, agency, MPO, and RTPA. It also contains a report called "Complete Project Listing" that shows the delivery status of all local safety projects utilizing federal funds.

Please use these reports to monitor your projects' progress. Please contact me if you have any questions. Thanks.

jb

John C. Brewster, P.E.
Caltrans District 4 - Local Assistance
Safety Program Coordinator
Office: 510-286-6485
Office fax: 510-286-5229
e-mail: john_brewster@dot.ca.gov



METROPOLITAN
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Memorandum

TO: Programming and Delivery Working Group

DATE: January 31, 2011

FR: Marcella Aranda

RE: Federal Inactive Obligations – December 2010 Quarterly Review of Inactive Obligations, including 3-month and 6-month Look-Ahead reports

Federal regulations require that agencies receiving federal funds invoice and receive a reimbursement against their obligations at least once every twelve months. Projects that do not have reimbursement activity over a six-month period are placed on the Inactive Obligation list, and those projects are at risk of deobligation of federal funds if Caltrans and the Federal Highways Administration (FHWA) do not process either a reimbursement or valid justification for inactivity. Please note, Caltrans and FHWA have modified their justification process, justifications for final vouchers are no longer acceptable. There are only three types of justifications that will be considered: 1) Litigation Delays, 2) Environmental Delays, and 3) ROW and/or Utility Relocation Delays. Project sponsors can check the status of their invoices (via LPAMS, <http://lpams.dot.ca.gov>). Caltrans Local Assistance posts the quarterly inactive list, including the 3-month and 6-month Look-Ahead, reports online at <http://www.dot.ca.gov/hq/LocalPrograms/Inactiveprojects.htm>.

The December 2010 Quarterly Review of Inactive Obligations, which also includes the 3-month and 6-month Look-Ahead, was posted to the Caltrans Local Assistance website on January 7, 2011 and most recently updated on January 18, 2011. **The deadline to receive a valid reimbursement or submit a justification is February 15, 2011.** Project sponsors are requested to visit the Caltrans site on a regular basis for the most current project status and posted reports. In addition, Caltrans has posted a recently updated FAQ with regards to Inactive Obligations; please review this document prior to contacting Local Assistance with any questions. Project sponsors are reminded that in accordance with the Regional Delivery Policy (MTC Reso. 3606), jurisdictions with projects appearing on the Inactive Obligations lists, may be subject to a suspension of future federal programming and obligations until said projects have been cleared from the lists.

Deobligation Process

To further assist Caltrans and FHWA to minimize Inactive Obligations to the maximum extent possible, a modified process for Inactive Obligations was implemented as of June 1, 2010. The modified process is in compliance with 23 CFR part 630 and is described below:

- Quarterly meetings will continue as per the current procedure
- At the Quarterly meetings, Caltrans and FHWA representatives will review projects which have become inactive as per the existing procedures. Additionally, Caltrans and FHWA representatives will review projects which will become inactive in the month of the Quarterly meeting and the following two months.
- Justifications for all projects which will become inactive in the month of the Quarterly review meeting or the following two months will be reviewed during the Quarterly meeting. If the Justification for any project is denied, that project will be required to be deobligated 3 days prior to the month in which it would have become inactive. Due to potential delays in processing invoices, MTC staff recommends sponsors submit a valid invoice no less than 60 days prior to the

Inactive Obligations Listings

January 31, 2011

Page 2 of 2

quarter in which the project will become inactive (example, for the 3-month Look-Ahead or June Look-Ahead, the deadline to submit a valid FMIS transaction would be April 1).

If you have any questions regarding inactive obligations and invoicing, please contact MTC or Caltrans Local Assistance staff.

Attachment(s):

- i. December 2010 Quarterly Review Inactive Obligations, rev. January 18, 2011

Quarterly Review of Inactive Obligations
Local, State Administered Locally Funded and Rail Projects
(Review Period 10/01/2010-12/31/2010)

Updated on 01/18/2011 Inactive Projects (Review period: 10/01/2010-12/31/2010)

Project No	LOOKAHEAD	Agency Action Required	State Project No	Prefix	District	County	Agency	Description	Latest Date	Authorization Date	Last Expenditure Date	Total Cost	Federal Funds	Expenditure Amt	Unexpended Bal	3-Tier Criteria
5226010	INACTIVE	No Federal funds remain. Proceed with project closure or submit justification to request project to remain open.	04923577L	CML	04	SM	San Bruno	SR 82 (EL CAMINO REAL) SNEATH LANE TO I-38, MODIFY SIGNAL, TURN POCKETS, S	5/1/2007	5/13/2002	5/13/2002	\$4,146,379.90	\$1,897,769.97	\$1,897,769.97	\$0.00	TIER 3
5232008	6 MONTH	Submit invoice to District.	04924607L	STPL	04	MRN	Corte Madera	CORTE MADERA AVE. IN CORTE MADERA, CA NEW SIDEWALK AND DRAINAGE, RET WALL	6/23/2009	3/6/2007	3/6/2007	\$129,549.00	\$80,000.00	\$5,186.97	\$74,813.03	TIER 2
5239011	3 MONTH	Submit invoice to District by 02/15/2011.	04924742L	STPL	04	CC	El Cerrito	IN EL CERRITO VARIOUS LOCATIONS , RESURFACE AC,	1/22/2009	3/2/2008	3/2/2008	\$727,483.00	\$540,000.00	\$373,804.39	\$166,195.61	TIER 2
5267013	6 MONTH	Submit invoice to District.	04925521L	ESPL	04	SM	San Carlos	VARIOUS LOCATIONS IN SAN CARLOS , ADA INSTALL AND UPGRADE	6/16/2009	6/16/2009	6/16/2009	\$294,870.00	\$294,870.00	\$0.00	\$294,870.00	TIER 2
5318024	6 MONTH	Submit invoice to District.	04924832L	SRTSL	04	SCL	Cupertino	GARDEN GATE ELEMENTARY SCHOOL VICINITY , SIDEWALKS & TRAFFIC SIGNAL UPGRADE	5/8/2009	5/8/2009	5/8/2009	\$410,975.00	\$393,788.00	\$0.00	\$393,788.00	TIER 2
5332004	6 MONTH	Submit invoice to District.	04927987L	BRLS	04	SCL	Saratoga	QUITO ROAD AT TOMAS CREEK 37C-113 & 37C-114 , REPLACE EXISTING BRIDGES	6/17/2009	1/22/1996	1/22/1996	\$627,000.00	\$501,600.00	\$367,274.12	\$134,325.88	TIER 2
5332013	3 MONTH	Invoice returned to Agency, Resubmit to District by 02/15/2011.	04925340L	CML	04	SCL	Saratoga	BIG BASIN WAY - 6TH TO SARATOGA-LOS GATOS RD, PED/BICYCLE ENHANCEMENTS	3/4/2009	3/4/2009	3/4/2009	\$883,640.00	\$425,000.00	\$0.00	\$425,000.00	TIER 2
5361020	6 MONTH	Submit invoice to District.	04924855L	NMTPL	04	MRN	Novato	SOUTH NOVATO BLVD. TO ENFRONTE ROAD IN NOVATO, CA, BUILD BIKE PATH ALONG THE STATE R/W.	6/17/2010	6/17/2010	6/17/2010	\$1,950,002.00	\$1,400,000.00	\$0.00	\$1,400,000.00	TIER 1
5375019	3 MONTH	Submit invoice to District by 02/15/2011.	04925335L	SRTSL	04	CC	Pleasant Hill	IN CITY OF PLEASANT HILL LISA LANE NORTH SIDE, INSTALL NEW SIDEWALK	12/14/2010	1/14/2009	1/14/2009	\$497,288.00	\$344,150.00	\$0.00	\$344,150.00	TIER 2
5375020	6 MONTH	Submit invoice to District.	04925366L	HSPL	04	CC	Pleasant Hill	OAK PARK BLVD/PATTERSON BLVD , SIGNAL UPGRADE AND LEFT TURN LANE	4/14/2009	4/14/2009	4/14/2009	\$60,000.00	\$54,000.00	\$0.00	\$54,000.00	TIER 2
5383006	INACTIVE	Submit invoice or justification to District by 02/15/2011.	04924632L	STPL	04	SON	Contra Costa	WEST SIERRA/EAST COTATI AVENUE REHABILITATION , ASPHALT CONCRETE OVERLAY	12/4/2008	4/19/2007	4/19/2007	\$666,460.00	\$590,016.00	\$519,160.83	\$70,855.17	TIER 2
5444007	INACTIVE	No Federal funds remain. Proceed with project closure or submit justification to request project to remain open.	04928209L	STPLZ	04	CC	Orinda	SAN PABLO CREEK (BEAR CK RD) (BR NO 28C-331), SEISMIC RETROFIT	5/2/2007	9/12/1996	9/12/1996	\$45,500.00	\$28,782.97	\$28,782.97	\$0.00	TIER 3
5444010	INACTIVE	No Federal funds remain. Proceed with project closure or submit justification to request project to remain open.	04924051L	STPLZ	04	CC	Orinda	MINER ROAD BRIDGE AT SAN PABLO CREEK, 28C33 , SEISMIC RETROFIT	11/9/2007	5/6/2003	5/6/2003	\$127,000.00	\$101,600.00	\$101,600.00	\$0.00	TIER 3
5472012	6 MONTH	Submit invoice to District.	04925442L	ESPL	04	SON	Windor	LOS AMIGOS ROAD , LOS AMIGOS ROAD PAVEMENT REHAB.	6/3/2009	6/3/2009	6/3/2009	\$466,927.00	\$455,547.00	\$0.00	\$455,547.00	TIER 2
5920030	INACTIVE	Invoice being processed by Caltrans. Monitor for progress.	04928192L	STPLZ	04	SON	Sonoma County	VARIOUS LOCATIONS (SEE STATE COMMENTS) , SEISMIC RETROFIT	12/1/2009	9/1/1996	9/1/1996	\$2,034,534.00	\$1,801,173.00	\$331,784.25	\$1,469,388.75	TIER 1
5920121	6 MONTH	Submit invoice to District.	04925751L	ESPL	04	SON	Sonoma County	SPRINGS ROAD, BENNETT VALLEY ROAD , ROAD REHABILITATION	6/23/2010	6/23/2010	6/23/2010	\$4,799,952.00	\$2,695,944.00	\$0.00	\$2,695,944.00	TIER 1
5923098	6 MONTH	Submit invoice to District.	04074744L	HPLUL	04	SOL	Solano County	I-8/REDWOOD STREET/FAIRGROUNDS DRIVE I/C IN CITY OF VALLEJO, MODIFY INTERCHANGE	5/18/2010	5/18/2010	5/18/2010	\$943,549.00	\$754,839.00	\$0.00	\$754,839.00	TIER 1
5927061	6 MONTH	Submit invoice to District.	04924869L	SRTSL	04	MRN	Marin County	MARIN AVE. & BELL LANE BTW GREEN GLEN WAY-SCH, SRTS FED FUNDING SAFETY C&G; S	6/4/2010	2/24/2008	2/24/2008	\$715,385.00	\$715,385.00	\$95,055.00	\$620,330.00	TIER 1
5927068	6 MONTH	Invoice being processed by Caltrans. Monitor for progress.	04925476L	ESPL	04	MRN	Marin County	VARIOUS STREETS IN MARIN COUNTY (SEE SCOMMENT, REHABILITATION	6/11/2010	8/5/2009	8/5/2009	\$1,993,435.00	\$1,993,435.00	\$1,147,747.25	\$845,687.75	TIER 1
5927070	6 MONTH	Submit invoice to District.	04925499L	ESPL	04	MRN	Marin County	PHASE C - AHERTON AVE & PARADISE DR, RESURFACING	5/6/2010	5/6/2010	5/6/2010	\$1,272,590.00	\$1,272,590.00	\$0.00	\$1,272,590.00	TIER 1
5933028	INACTIVE	Invoice being processed by Caltrans. Monitor for progress.	04928214L	STPLZ	04	ALA	Alameda County	OAKLAND ESTUARY (FRUITVALE AV) BR NO 33C-147, SEISMIC RETROFIT	7/11/2006	9/1/1996	9/1/1996	\$561,250.00	\$488,021.00	\$16,841.30	\$471,179.70	TIER 2
5933074	INACTIVE	Invoice being processed by Caltrans. Monitor for progress.	04924105L	STPL	04	ALA	Alameda County	VASCO RD BETWEEN LIVERMORE AND CC COUNTY LINE , ROADWAY ALIGNMENT AND ROW	12/15/2009	5/12/2005	5/12/2005	\$17,100,000.00	\$11,000,000.00	\$4,635,529.67	\$6,364,470.33	TIER 1
5933103	6 MONTH	Invoice being processed by Caltrans. Monitor for progress.	04925708L	ESPL	04	ALA	Alameda County	SAN MIGUEL AVE - FROM SOMERSET AV. TO CASTRO VALLEY BLVD. PAVEMENT REHAB, CONSTRUCT CURB AND GUTTER , RAMP	4/7/2010	4/7/2010	4/7/2010	\$1,251,773.00	\$711,097.00	\$0.00	\$711,097.00	TIER 1
5934115	6 MONTH	Submit invoice to District.	04923979L	HP21L	04	SF	San Francisco County	ARELIUS WALKER DR TO YOSEMITE SLOUGH IN CRYSTAL , CONSTRUCT NEW BRIDGE	4/20/2010	9/11/2002	9/11/2002	\$10,994,194.00	\$8,795,355.00	\$6,378,755.74	\$2,416,599.26	TIER 1
5935051	6 MONTH	Invoice being processed by Caltrans. Monitor for progress.	04925332L	BRL0	04	SM	San Mateo County	NUMBER 35C-43, DEMOLITION	4/27/2010	4/27/2010	4/27/2010	\$1,088,750.00	\$963,870.00	\$0.00	\$963,870.00	TIER 1

Quarterly Review of Inactive Obligations
Local, State Administered Locally Funded and Rail Projects
(Review Period 10/01/2010- 12/31/2010)

Updated on 01/18/2011 Inactive Projects (Review period: 10/01/2010-12/31/2010)

Project No	LOOKAHEAD	Agency Action Required	State Project No	Prefix	District	County	Agency	Description	Latest Date	Authorization Date	Last Expenditure Date	Total Cost	Federal Funds	Expenditure Amt	Unexpended Bal	3-Tier Criteria
5937137	6 MONTH	Submit invoice to District. No Federal funds remain. Proceed with project closure or submit justification to request project to remain open.	04925573L	DEM08L	04	SCL	Santa Clara County	SAN TOMAS EXPRWY BOX CULVERT PHASE 1 , REPAIR & RELINING CULVERT INVERT	6/16/2009	6/16/2009	6/16/2009	\$700,000.00	\$490,000.00	\$0.00	\$490,000.00	TIER 2
6003031	3 MONTH		04924565L	HPLUL	04	NULL	GBHHTD	GOLDEN GATE BRIDGE , SEISMIC RETROFIT-PHASE 2	2/26/2008	9/8/2006	9/8/2006	\$319,659.84	\$319,660.10	\$319,660.10	\$0.00	TIER 3
6014006	6 MONTH	Submit invoice to District.	04099858L	HP21L	04	SM	San Mateo County Transit District	EL CAMINO REAL FR NOOR AND SYLAN , MEDIAN LANDSCAPE AND IRRIGATION	4/20/2009	4/20/2009	4/20/2009	\$380,322.00	\$282,000.00	\$0.00	\$282,000.00	TIER 2
6057012	6 MONTH	Submit invoice to District.	04925411L	HPLUL	04	ALA	Port Of Oakland	MARTINEZ SUBDIVISION RAIL CORRIDOR MP-15 , INTER-REGIONAL RAIL INTERMODALSTUDY	4/17/2009	4/17/2009	4/17/2009	\$150,000.00	\$150,000.00	\$0.00	\$150,000.00	TIER 2
6072005	6 MONTH	Submit invoice to District.	04924570L	HPLUL	04	CC	CCTA	CITY OF RICHMOND I/8 AT CENTRAL AVE. RECONFIG INTER. TO REDUCE TRAFFICS	6/4/2010	9/8/2006	9/8/2006	\$1,339,454.00	\$1,071,563.00	\$523,958.64	\$547,604.36	TIER 1
6084141	6 MONTH	Invoice being processed by Caltrans. Monitor for progress.	04925222L	CML	04	MULT	IMTC	SAN FRANCISCO BAY AREA FY 7/8 , FWY OPERATION/ TOS PLANNING STUDY	6/17/2010	3/21/2008	3/21/2008	\$2,051,283.00	\$1,816,000.00	\$914,083.61	\$901,916.39	TIER 1
6084155	6 MONTH	Invoice being processed by Caltrans. Monitor for progress.	04925702L	STPCM	04	MULT	IMTC	SAN FRANCISCO BAY AREA, S11 TRAVELLER INFORMATION FY 9/1	5/5/2010	5/5/2010	5/5/2010	\$38,970,600.00	\$34,500,000.00	\$0.00	\$34,500,000.00	TIER 1
6160018	6 MONTH	Submit invoice to District.	04925797L	STPCM	04	MULT	IMTC-SAFE	MATCHING FEDERAL FUNDS. RAMP METERING, TRAFFIC OPT.SYSTEM & FPI PROJE (TC)	6/30/2010	6/30/2010	6/30/2010	\$4,058,000.00	\$4,058,000.00	\$0.00	\$4,058,000.00	TIER 1
6273034	6 MONTH	Invoice being processed by Caltrans. Monitor for progress.	04924308L	VPPPL	04	ALA	Alameda CTC	I-68 CORRIDOR IN ALAMEDA COUNTY , IMPLEMENT ITS ELEMENTS: PE PHASE1+2	5/12/2010	5/6/2005	5/6/2005	\$4,286,257.00	\$3,089,005.00	\$2,090,282.23	\$998,727.77	TIER 1
6273045	6 MONTH	Invoice being processed by Caltrans. Monitor for progress.	043A9208L	CML	04	ALA	Alameda CTC	I-88: MARINA TO HEGENBERGER I/C'S , IMPLEMENT HOV Lanes.	5/26/2010	12/19/2007	12/19/2007	\$7,806,000.00	\$7,780,000.00	\$6,781,000.00	\$999,000.00	TIER 1
6282020	3 MONTH	Submit invoice to District by 02/15/2011.	04925257L	SRTSL	04	SF	SFMTA /DPT	SF- 17TH AND JUDAH ST, 18TH AND IRVING ST , CONV. CURB BUIROUTS & ADA CURB RAMPS	3/9/2009	3/9/2009	3/9/2009	\$122,000.00	\$122,000.00	\$0.00	\$122,000.00	TIER 2
6328022	3 MONTH	Submit invoice to District by 02/15/2011. Invoice returned to Agency, Resubmit to District.	04925341L	VPPPL	04	SF	SFMTA /DPT UC San Francisco	SAN FRANCISCO DOWNTOWN AND PROXIMITY ,ITS PARKING MGMT AND GUIDANCE STATEWIDE PROJECT WORK MAY OCCUR IN ALL CO. , STATEWIDE SUPPORT FOR SRTS PROGRAMS	3/4/2010	3/4/2010	3/4/2010	\$4,500,000.00	\$3,600,000.00	\$0.00	\$3,600,000.00	TIER 1
6342004	6 MONTH		04925351L	SRTSLNI	04	SF	San Mateo C/CAG	ARTERAL ALONG EGR TO SRII FR 28 HOLLY ST , IMPLEMENT ITS ELEMENTS	6/17/2010	6/17/2009	6/17/2009	\$3,882,076.00	\$3,882,076.00	\$106,590.26	\$3,775,485.74	TIER 1
6419007	3 MONTH	Submit invoice to District by 02/15/2011.	044A9208L	CML	04	SM	San Mateo C/CAG	ARTERAL ALONG EGR TO SRII FR 28 HOLLY ST , IMPLEMENT ITS ELEMENTS	1/27/2009	1/27/2009	1/27/2009	\$415,000.00	\$367,000.00	\$0.00	\$367,000.00	TIER 2

DEPARTMENT OF TRANSPORTATION

DIVISION OF ACCOUNTING
 P.O. BOX 168043
 SACRAMENTO, CA 95816-8043
 PHONE (916) 227-9000
 FAX (916) 227-9176
 TTY 711



*Flex your power!
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December 15, 2010

To: Metropolitan Planning Organizations
 Regional Transportation Planning Agencies
 Local Transportation Commissions
 Local Agencies

Dear Transportation Partners:

The California Department of Transportation (Department) implemented a New Financial Management (NFM) system on July 1, 2010. The implementation of this NFM system has involved the conversion of large volumes of financial data from legacy systems. The implementation has also resulted in the retirement of dozens of legacy systems as well as the establishment of dozens of interfaces with continuing systems.

The Department has delayed some of its routine reporting to Local Agencies since July 1, 2010, while the Department completes financial processes in the new system. Specifically, the Department has been engaged in processing converted data and expenditure data that was initially prevented from being recorded due to system edits designed to ensure the accuracy of the recorded data.

We apologize for delays in providing this reporting. We anticipate resumption of reporting to Local Agencies in the near future upon completion of the majority of financial processes in the NFM system. Initially, the reporting may understate costs to-date for projects as the Department continues to release data intercepted by edits.

Changes of the magnitude undertaken by the Department at this time can be disruptive to normal routines and service levels. We appreciate the patience of our partners as we work through this change. In the long run, we believe the NFM system will allow us to improve.

If you have any questions you may contact Clark Paulsen, Division Chief of Accounting, at (916) 227-9000.

Sincerely,

NORMA ORTEGA
 Chief Financial Officer

cc: Martin Tuttle, Department's Deputy Director of Planning & Modal
 Denix Anbiah, Department's Division Chief Local Assistance
 Karla Sutliff, Department's Division Chief of Project Management

From: DLA Webmaster <DLA_Webmaster@dot.ca.gov>
To: <dla-website-updates-announce@lists.dot.ca.gov>
Date: 12/13/10 4:58 PM
Subject: [DLAWUA] DLA - OB 09-05: Local Agency Invoice Review - Revised
Attachments: Part.002

Announcement:

A new Office Bulletin has been posted to the Local Assistance website at:

http://www.dot.ca.gov/hq/LocalPrograms/DLA_OB/DLA_OB.htm

Change:

DLA - OB 09-05 "Local Agency Invoice Review" was originally issued effective September 1, 2009 to require the review and approval of all local agency invoices (and support documentation) by the District Local Assistance Area Engineer" prior to payment by Local Programs Accounting (LPA). A revised Office Bulletin, effective November 19, 2010, is being issued to implement procedures that will help expedite the invoice review and approval process.

The main changes include, but are not limited to:

A dollar threshold for local agency invoices is being established at 2% of the total federal and State funds for the project or \$1,000, whichever is smaller, unless otherwise authorized by the DLAE (e.g., to prevent the loss of federal funds). Construction Contract Award packages are to be submitted in advance of the first construction invoice. To better reflect Caltrans review times, the review time for the District is being increased from 15 to 20 days (average actual review time for LPA is about 10 days, down from the 15 days referenced in the original version of the Office Bulletin).

Updated Invoice Review Checklist:

Deleted some eligibility type items that are not appropriate for invoice reviews (e.g., items that should have been checked/verified prior to federal authorization)

Deleted items that are being addressed via other processes (e.g., Local Agency QAP now verified prior to federal construction authorization). Also, revised Caltrans internal procedures related to updating of Local Assistance Project Database (LP2000) with respect to construction contract award and DBE reporting milestones prior to payment of local agency invoices.

Impacts:

This policy, effective immediately, is applicable to all local agency invoices for State and federally funded projects. This policy change will be reflected in a future update(s) of Chapter 5 "Account / Invoices" of the Caltrans Local Assistance Procedures Manual (LAPM)."

DLA Webmaster
 Office of Policy Development and Quality Assurance
 Division of Local Assistance
 California Department of Transportation
 1220 O Street, 5th Floor
 Sacramento, CA 95814

From: DLA Webmaster <DLA_Webmaster@dot.ca.gov>
To: <dla-website-updates-announce@lists.dot.ca.gov>
Date: 01/11/11 2:11 PM
Subject: [DLAWUA] FHWA Process Review Value Engineering
Attachments: Part.002

Announcement:

"Process Review (11-04-2010): FHWA Process Review Value Engineering" has been added to "Process Reviews - Final Reports" and placed on the website at:

http://www.dot.ca.gov/hq/LocalPrograms/Reports_db.htm

Change:

Provides data and information regarding Value Engineering/Value Analysis performed on qualifying federal-aid projects exceeding the threshold of \$25 million, \$20 million for bridge projects.

Impacts:

Information only!

Contact:

Questions or comments regarding this change should be directed to: Eugene Shy at (916) 651-6552 or eugene.shy@dot.ca.gov

DLA Webmaster
Office of Policy Development and Quality Assurance
Division of Local Assistance
California Department of Transportation
1220 O Street, 5th Floor
Sacramento, CA 95814

From: DLA Webmaster <DLA_Webmaster@dot.ca.gov>
To: <dla-website-updates-announce@lists.dot.ca.gov>
Date: 12/23/10 11:32 AM
Subject: [DLAWUA] NEW DLA - OB -- "DLA-OB 10-16 - Chapter 19 Project Oversight and Process Reviews
Attachments: Part.002

Announcement:

An Office Bulletin (DLA-OB 10-16 - Chapter 19 Project Oversight and Process Reviews) has been posted to the Local Assistance website at:

http://www.dot.ca.gov/hq/LocalPrograms/DLA_OB/DLA_OB.htm.

Change:

Chapter 19 of the LAPM will be reissued in its entirety to identify and highlight all forms of oversight of Federal-aid or State funded transportation projects. The chapter previously identified Caltrans and FHWA Process Reviews as the main method for determining if a local agency receiving federal-aid funds is in compliance with the applicable Federal laws, regulations and procedures. However, process reviews are no longer the main method of determining compliance. In addition to process reviews, a number of other practices currently contribute to the oversight of local agencies to ensure their compliance with applicable Federal and State laws, regulations, and procedures of their Federal-aid or State funded transportation projects.

Impacts:

This policy, effective immediately, is applicable to all State and federally funded projects. This change will be reflected in future updates of Chapters 19, and 1, 2, 11, 12, 16, 17, 20 of the LAPM.

Contact:

Questions or comments regarding this change should be directed to: Eugene Shy at (916) 651-6552 or Eugene.Shy@dot.ca.gov.

DLA Webmaster
 Office of Policy Development and Quality Assurance
 Division of Local Assistance
 California Department of Transportation
 1220 O Street, 5th Floor
 Sacramento, CA 95814



Expires – Upon Issuance of LPP

Chapter 19 Project Oversight and Process Reviews

I. BACKGROUND

Chapter 19 of the LAPM will be reissued in its entirety to identify and highlight all forms of oversight of Federal-aid or State funded transportation projects. The chapter previously identified Caltrans and FHWA Process Reviews as the main method for determining if a local agency receiving federal-aid funds is in compliance with the applicable Federal laws, regulations and procedures. However, process reviews are no longer the main method of determining compliance. In addition to process reviews, a number of other practices currently contribute to the oversight of local agencies to ensure their compliance with applicable Federal and State laws, regulations, and procedures of their Federal-aid or State funded transportation projects.

II. POLICY

Caltrans will utilize all means of oversight practices to ensure local agencies’ compliance with applicable laws and regulations.

III. PROCEDURE

See the attached Chapter 19, which replaces the previous chapter in its entirety.

IV. APPLICABILITY/IMPACTS

This policy, effective immediately, is applicable to all State and federally funded projects. This change will be reflected in future updates of Chapters 19, and 1, 2, 11, 12, 16, 17, 20 of the LAPM.

Recommended: Original Signed By _____ 12/21/10
 Eugene Shy, Committee Chair Date

Approved: Original Signed By _____ 12/21/10
 Mohsen Sultan, Office Chief Date
 Office of Policy Development and Quality Assurance

ATTACHMENT: Chapter 19 “Project Oversight and Process Reviews”

DEPARTMENT OF TRANSPORTATION

OFFICE OF THE DIRECTOR
 P.O. Box 942873, MS-49
 SACRAMENTO, CA 94273-0001
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January 14, 2011

Dear Transportation Partners:

The California Department of Transportation (Department) has received approval from the Federal Highway Administration (FHWA) to implement a risk-based audit approach for Local Government Agencies' (LGA) Indirect Cost Rate Proposals and Indirect Cost Allocation Plans (ICRP/ICAP) when FHWA is the LGAs' federal cognizant (approving) agency. In conjunction with FHWA and the Department's overall focus on increased oversight, we believe implementation of such a risk-based audit approach will assist in providing reasonable assurance to FHWA that LGA indirect costs are in compliance with 2 Code of Federal Regulation (CFR), Part 225 while streamlining the approval of ICRP/ICAP rates.

The purpose of this letter is to provide a background on the ICRP/ICAP requirements and a narrative of the conceptual framework and proposed timelines for the ICRP/ICAP risk-based audit approach (see Attachment). The Department is interested in receiving your feedback on the proposal. As such, LGA's are encouraged to submit their comments by email to: Audits.and.Investigations.questions@dot.ca.gov through January 31, 2011.

The Department will also discuss this proposal throughout January with various transportation partner organizations, including a January 13, 2011, meeting of the Regional Caltrans Coordination Group and a January 19, 2011, meeting of the Regional Transportation Planning Agencies. We anticipate that by implementing a risk-based audit approach to ICRP/ICAP rates significant efficiencies will be realized. I encourage you to review the proposal as outlined in the attached document and provide comments so that the Department can maximize the benefit of this proposed process improvement.

Sincerely,

CINDY McKIM
 Director

FOR

Attachment

ATTACHMENT
Proposed Indirect Cost Rate Proposal/Indirect Allocation Plan
Risk-Based Audit Approach

Background

Under 2 Code of Federal Regulations (CFR), Part 225, Local Government Agencies (LGA) must prepare Indirect Cost Rate Proposal/Indirect Cost Allocation Plans (ICRP/ICAP) in order to claim indirect costs from federal programs. LGA's have a business decision to make regarding the claiming of indirect costs. Specifically, LGA's must decide if the cost to annually prepare an ICRP/ICAP (staff and/or consultant resources) will result in an equal/greater amount of indirect cost reimbursement (e.g. cost/benefit analysis). Likewise, the California Department of Transportation (Department) must make its own business decision when deciding on the type and amount of LGA oversight necessary to meet its federal grantee obligations.

Since 1994, the Federal Highway Administration (FHWA) has delegated its federal cognizant (approving) agency responsibilities for LGA ICRP/ICAP's to the Department. An LGA's federal cognizant agency can be specifically designated by the Office of Management and Budget (OMB) or designated to the federal agency providing the majority of federal funds to the LGA. Once the federal cognizant agency accepts an LGA's annual ICRP/ICAP, the rate will be used by all other federal funding agencies unless prohibited or limited by statute.

Additionally, it has been FHWA's request and the Department's policy to require annual audits of every FHWA-cognizant ICRP/ICAP before allowing reimbursement of LGA indirect costs. However, over time, the Department, through FHWA-delegation, has become the cognizant agency for a large number of LGA's due to the amount of pass-through federal transportation funding provided by the Department. Retaining this every ICRP/ICAP must be audited every year approach has resulted in significant ICRP/ICAP backlogs for the Department and has become burdensome for LGA's (i.e. creates cash flow issues and project closure delays). As a result, the Department believes implementation of a risk-based audit approach will assist in providing reasonable assurance that LGA's indirect costs are in compliance with 2 CFR, Part 225 without adversely impacting LGA's ability to meet program objectives. Such a risk-based approach is consistent with other federal agencies' oversight programs, including FHWA's recent approval of the Department's cognizant oversight of private-for-profit contract engineering firms.

Overview of Risk-Based Audit Approach

The Department's risk-based audit approach enforces 2 CFR, Part 225 submission requirements and applies analytical procedures to maximize the effective and efficient use of audit resources as well as maintain an acceptable level of risk avoidance for the Department and FHWA. Under the risk-based audit approach, the following process will be initiated for FHWA-cognizant LGA's wishing to seek reimbursement of indirect costs for any given year. A flowchart has also been attached to provide a visual overview of the process.

Attachment
 Proposed Indirect Cost Rate Proposal/Indirect Allocation Plan
 Risk-Based Audit Approach
 Page 2

Annual ICRP/ICAP Submission Process:

- LGAs will be required to prepare and submit an ICRP/ICAP annually in compliance with 2 CFR, Part 225. All ICRP/ICAP submissions will be subject to review by the Department for compliance to submission requirements. Non-compliant submissions will be returned to the LGAs.
- LGAs will be required to submit ICRP/ICAP's within six months after the close of the LGAs' fiscal year (as required by 2 CFR, Part 225). If necessary, LGA's will be allowed to request ICRP/ICAP submission time-extensions. All extension requests will be subject to review and approval by the California FHWA Division office.
- The Department is proposing to allow LGA's until June 30, 2011, to submit all fiscal year (FY) 2009/10 and prior ICRP/ICAP's. For FY 2010/11 and forward ICRP/ICAPs will be due no later than December 31 following the close of the FY. Enforcement of the annual submission requirements will assist the Department in ensuring LGAs' commitment to compliance and avoid ICRP/ICAP backlogs.
- Upon final FHWA approval of the risk-based audit approach, any previously accepted ICRP/ICAP awaiting audit (in the audit backlog) will be subject to the ICRP/ICAP risk-based analysis described below.

Annual ICRP/ICAP Risk-Based Analysis:

- Once an ICRP/ICAP submission is found to be compliant, the Department will perform additional analytical procedures to determine whether an audit will be required.
- Such analytical procedures will be performed to assess the risk of non-compliance and will include the following factors:
 - LGA audit history
 - LGA type
 - ICRP/ICAP rate fluctuation and history,
 - Department and FHWA oversight history
 - Results of LGA-procured (build-upon) audit submitted with the ICAP/ICRP

A weighted grading system will be applied to the risk factor results and any ICAP/ICRP with a total score above a pre-established threshold will be subject to audit.

Attachment
 Proposed Indirect Cost Rate Proposal/Indirect Allocation Plan
 Risk-Based Audit Approach
 Page 3

- Based upon the results of the analytical procedures, the Department will notify selected LGAs if their ICRP/ICAP will require an audit. If an audit is not required, the LGA's ICRP/ICAP will be considered approved as submitted and the LGA will be allowed to submit billings for indirect costs.

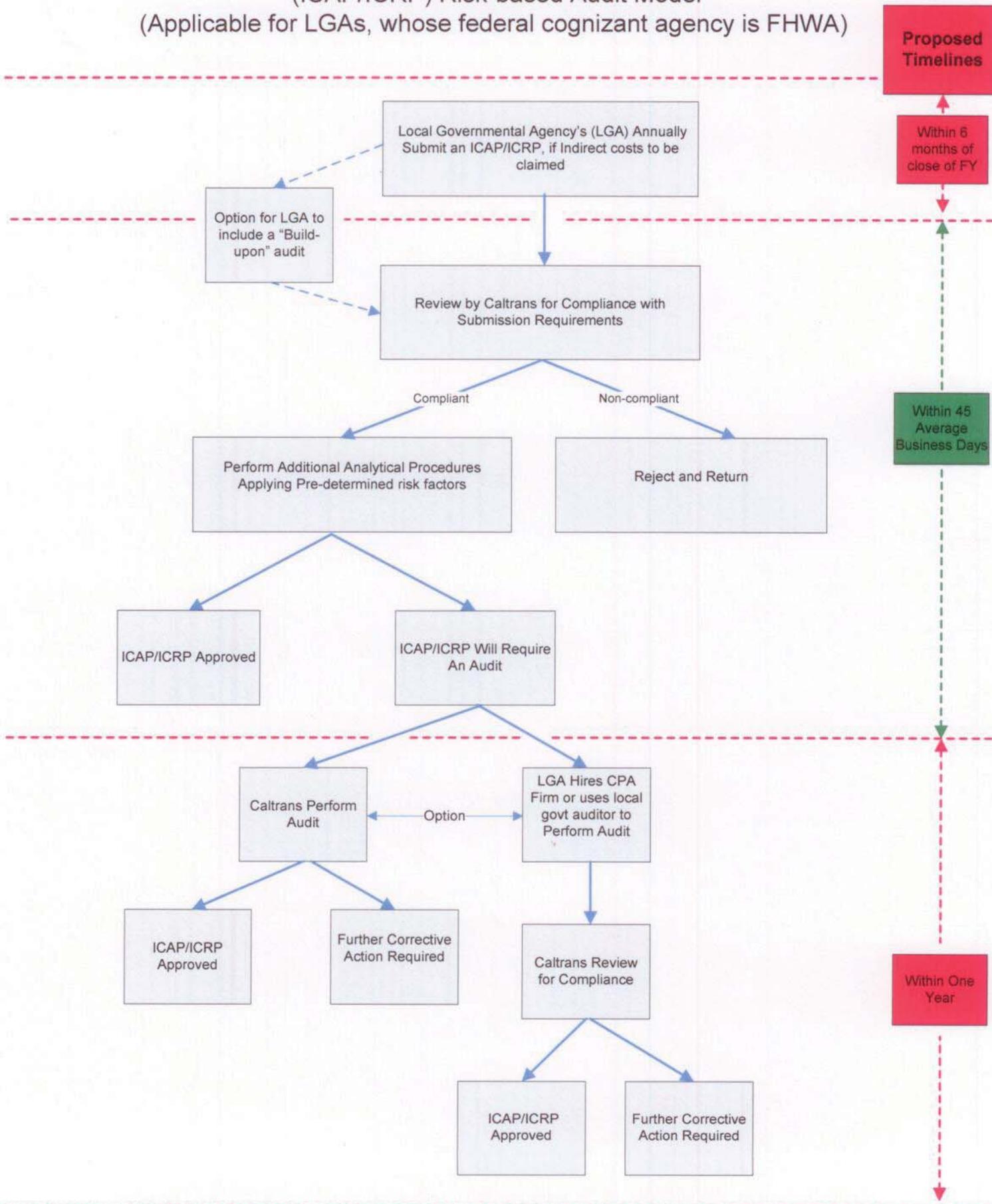
Timeline:

- The Department is committed to completing the ICRP/ICAP submission review and risk-based analytical analysis within an average of 45 business days of acceptance of an ICRP/ICAP submission, pending staffing/resource availability.

Annual ICAP Audits:

- If an audit is required, the LGA will be allowed to bill for indirect costs at an approved provisional rate ONLY for projects/activities that receive continuous annual funding. For other projects/activities, the LGA will not be allowed to bill for indirect costs until completion of the audit, and depending on the audit results. The LGA's ICRP/ICAP audit can either be performed by the Department or LGAs may choose to procure their own ICRP/ICAP audit services from CPA firms or local government auditors. LGAs may utilize the services of the auditor selected to perform the LGAs' annual Single Audit, but should ensure compliance with OMB A-133 auditor selection restrictions.
- LGA-procured ICRP/ICAP audits must be performed in compliance with Government Auditing Standards and Department audit guidelines and the LGA must ensure Department/FHWA-access to the auditors' working papers. Upon Department notification to the LGA that an ICRP/ICAP audit is required, the Department is proposing to require that the LGA notify the Department within 30 business days that the LGA wishes to procure its own audit. The final audit report must be forwarded to the Department within one year of LGA notification to the Department.
- The Department may conduct reviews of such LGA-procured audits and will notify the LGA of the audit acceptance, need for further review or further corrective actions to be taken, with 45 business days of final audit report receipt.
- The Department will provide ICRP/ICAP audit guidelines to assist LGAs that wish to procure their own ICRP/ICAP audit services.

Proposed Indirect Cost Allocation Plan /Indirect Cost Rate Proposal
 (ICAP/ICRP) Risk-based Audit Model
 (Applicable for LGAs, whose federal cognizant agency is FHWA)



Proposed Timelines

Within 6 months of close of FY

Within 45 Average Business Days

Within One Year

PAVEMENT UNIT TREATMENT COST SURVEY - County of San Mateo Total Unit Costs

Arterial / Collector		Reported Data												
Sample Treatment	Atherton	Belmont	Brisbane	Burlingame	Colma	County of San Mateo	Daly City	East Palo Alto	Foster City	Half Moon Bay	Hillsborough	Menlo Park	Millbrae	Pacifica
Crack Sealing	\$ 1.65	\$ 1.03		\$ 1.30	\$ 0.81	\$ 1.50				\$ 1.67	\$ 1.31		\$ 1.70	
Slurry Seal	\$ 5.28	\$ 3.89	\$ 2.18	\$ 2.90	\$ 3.19	\$ 3.00	\$ 3.35	\$ 1.93	\$ 2.30	\$ 4.60	\$ 2.63			\$ 2.55
Chip Seal / Cape Seal	\$ 9.24					\$ 8.10	\$ 6.98	\$ 3.36			\$ 1.67			
Thin Asphalt Overlay (> 0.5", < 2.0")	\$ 19.80	\$ 39.50		\$ 19.30		\$ 25.00	\$ 39.40	\$ 88.35		\$ 23.00			\$ 15.20	\$ 24.71
Thick Asphalt Overlay (> 2.0")	\$ 37.00	\$ 30.63	\$ 26.18	\$ 23.80	\$ 13.32	\$ 27.50	\$ 37.67		\$ 28.10	\$ 39.00	\$ 13.79	\$ 20.37	\$ 31.89	
Reconstruct Surface	\$ 96.00						\$ 41.70			\$ 59.00				
Reconstruct Structure	\$ 168.96				\$ 97.89	\$ 120.00				\$ 126.00			\$ 139.75	

Residential and Other Local		Reported Data												
Sample Treatment	Atherton	Belmont	Brisbane	Burlingame	Colma	County of San Mateo	Daly City	East Palo Alto	Foster City	Half Moon Bay	Hillsborough	Menlo Park	Millbrae	Pacifica
Crack Sealing	\$ 1.65	\$ 72.31		\$ 1.30		\$ 1.50			\$ 1.15	\$ 1.67	\$ 1.31		\$ 1.52	
Slurry Seal	\$ 5.28	\$ 3.89	\$ 2.18	\$ 2.85		\$ 3.00	\$ 3.35	\$ 1.93	\$ 2.30	\$ 4.00	\$ 2.63	\$ 3.69		\$ 2.55
Chip Seal / Cape Seal	\$ 7.00					\$ 8.10	\$ 6.98	\$ 3.36			\$ 1.67			
Thin Overlay (> 0.5", < 2.0")	\$ 19.80	\$ 39.50		\$ 17.65		\$ 25.00		\$ 88.35		\$ 23.00			\$ 13.67	\$ 20.18
Thick Overlay (> 2.0")	\$ 37.00	\$ 30.63	\$ 22.45	\$ 22.80		\$ 27.50	\$ 26.43		\$ 28.10	\$ 38.00	\$ 13.79	\$ 20.06	\$ 28.72	
Reconstruct Surface (Heavy Rehabilitation)	\$ 72.00									\$ 50.00				
Reconstruct Structure	\$ 96.00					\$ 120.00				\$ 101.00			\$ 67.43	

Note: Only the values that are within one standard deviation of the average are taken into account when calculating the County Average.

Highlighted cells implies that MTC has questions about the data

Total Number of values requested	294	
Total number of values entered	156	53%
Total number of values used	127	43%

Portola Valley	Redwood City	San Bruno	San Carlos	San Mateo	South San Francisco	Woodside
				\$ 1.25		\$ 1.86
	\$ 4.79	\$ 66.00		\$ 3.40		\$ 3.93
				\$ 10.30		\$ 9.71
\$ 11.14	\$ 20.30		\$ 13.50	\$ 16.90	\$ 15.80	\$ 12.83
		\$ 20.70	\$ 18.01	\$ 27.25	\$ 24.45	\$ 22.11
		\$ 23.65				\$ 16.51
	256			\$ 112.50		\$ 157.56

Average	SD	-1 SD	+1 SD
\$ 1.41	0.328627	\$ 1.08	\$ 1.74
\$ 7.25	15.69772	\$ (8.45)	\$ 22.94
\$ 7.05	3.319189	\$ 3.73	\$ 10.37
\$ 25.65	19.3261	\$ 6.32	\$ 44.97
\$ 25.99	7.691057	\$ 18.30	\$ 33.68
\$ 47.37	31.80904	\$ 15.56	\$ 79.18
\$ 147.33	49.71127	\$ 97.62	\$ 197.04

Atherton	Belmont	Brisbane	Burlingame	Colma	County of San Mateo
\$ 1.65			\$ 1.30		\$ 1.50
\$ 5.28	\$ 3.89	\$ 2.18	\$ 2.90	\$ 3.19	\$ 3.00
\$ 9.24					\$ 8.10
\$ 19.80	\$ 39.50		\$ 19.30		\$ 25.00
	\$ 30.63	\$ 26.18	\$ 23.80		\$ 27.50
\$ 168.96				\$ 97.89	\$ 120.00

Portola Valley	Redwood City	San Bruno	San Carlos	San Mateo	South San Francisco	Woodside
				\$ 1.19		\$ 1.86
\$ 5.36	\$ 3.72	\$ 66.00	\$ 1.95	\$ 2.90		\$ 3.93
\$ 7.49	\$ 6.79		\$ 8.85	\$ 10.30		\$ 9.71
\$ 11.14	\$ 17.63		\$ 13.50	\$ 14.55	\$ 15.80	\$ 12.83
		\$ 20.70	\$ 18.01	\$ 26.20	\$ 24.45	\$ 22.11
		\$ 23.65				\$ 16.51
				\$ 105.60		\$ 157.56

Average	SD	-1 SD	+1 SD
\$ 8.55	22.40553	\$ (13.86)	\$ 30.95
\$ 6.75	14.82074	\$ (8.07)	\$ 21.57
\$ 7.03	2.683353	\$ 4.34	\$ 9.71
\$ 23.76	19.92125	\$ 3.84	\$ 43.68
\$ 25.43	6.388929	\$ 19.05	\$ 31.82
\$ 40.54	25.44233	\$ 15.10	\$ 65.98
\$ 107.93	29.8156	\$ 78.12	\$ 137.75

Atherton	Belmont	Brisbane	Burlingame	Colma	County of San Mateo
\$ 1.65			\$ 1.30		\$ 1.50
\$ 5.28	\$ 3.89	\$ 2.18	\$ 2.85		\$ 3.00
\$ 7.00					\$ 8.10
\$ 19.80	\$ 39.50		\$ 17.65		\$ 25.00
	\$ 30.63	\$ 22.45	\$ 22.80		\$ 27.50
\$ 96.00					\$ 120.00

Data Adjusted to Remove Outliers

Daly City	East Palo Alto	Foster City	Half Moon Bay	Hillsborough	Menlo Park	Millbrae	Pacifica	Portola Valley	Redwood City	San Bruno	San Carlos	San Mateo	South San Francisco	Woodside	Average
			\$ 1.67	\$ 1.31		\$ 1.70						\$ 1.25			\$ 1.48
\$ 3.35	\$ 1.93	\$ 2.30	\$ 4.60	\$ 2.63			\$ 2.55		\$ 4.79			\$ 3.40		\$ 3.93	\$ 3.33
\$ 6.98												\$ 10.30		\$ 9.71	\$ 8.87
\$ 39.40			\$ 23.00			\$ 15.20	\$ 24.71	\$ 11.14	\$ 20.30		\$ 13.50	\$ 16.90	\$ 15.80	\$ 12.83	\$ 21.17
		\$ 28.10			\$ 20.37	\$ 31.89				\$ 20.70		\$ 27.25	\$ 24.45	\$ 22.11	\$ 25.73
\$ 41.70			\$ 59.00							\$ 23.65				\$ 16.51	\$ 35.22
			\$ 126.00			\$ 139.75						\$ 112.50		\$ 157.56	\$ 131.81

Data Adjusted to Remove Outliers

Daly City	East Palo Alto	Foster City	Half Moon Bay	Hillsborough	Menlo Park	Millbrae	Pacifica	Portola Valley	Redwood City	San Bruno	San Carlos	San Mateo	South San Francisco	Woodside	Average
		\$ 1.15	\$ 1.67	\$ 1.31		\$ 1.52						\$ 1.19		\$ 1.86	\$ 1.46
\$ 3.35	\$ 1.93	\$ 2.30	\$ 4.00	\$ 2.63	\$ 3.69		\$ 2.55	\$ 5.36	\$ 3.72		\$ 1.95	\$ 2.90		\$ 3.93	\$ 3.27
\$ 6.98								\$ 7.49	\$ 6.79		\$ 8.85				\$ 7.54
			\$ 23.00			\$ 13.67	\$ 20.18	\$ 11.14	\$ 17.63		\$ 13.50	\$ 14.55	\$ 15.80	\$ 12.83	\$ 18.79
\$ 26.43		\$ 28.10			\$ 20.06	\$ 28.72				\$ 20.70		\$ 26.20	\$ 24.45	\$ 22.11	\$ 25.01
			\$ 50.00							\$ 23.65				\$ 16.51	\$ 30.05
			\$ 101.00									\$ 105.60			\$ 105.65