



AGENDA

Topic	Estimated Time
1. Introductions (<i>Fernando Cisneros, Chair</i>)	5 min
2. Review of May 8, 2009 Minutes* (<i>Fernando Cisneros, Chair</i>)	5 min
3. Programming Updates:	
A. STP/CMAQ Program Monitoring Update* (<i>Marcella Aranda</i>)	5 min
B. Report of Federal Inactive Obligations* (<i>Marcella Aranda</i>)	10 min
4. Standing Updates:	
A. Legislative Update (<i>Rebecca Long</i>)	15 min
1. State Proposal to Redirect Gas Tax Subventions*	
B. Strategic Plan Implementation – Reform Subcommittee Report (<i>Theresa Romell</i>)	15 min
5. Discussion Items:	
A. American Recovery and Reinvestment Act (ARRA) Update (<i>Theresa Romell/ Ross McKeown</i>)	20 min
1. Costs Savings Discussion*	
2. ARRA Discretionary Programs Summary*	
B. New Federal Act – Framework and Schedule for Cycle Programming* (<i>Craig Goldblatt</i>)	15 min
C. Joint Policy Committee’s Proposed Policies on the Implementation of SB 375* (<i>Ted Droettboom</i>)	15 min
D. TDA-3 Funds for Regional Bicycle and Pedestrian Counts** (<i>Sean Co</i>)	15 min
6. Informational Items:	
A. FY 2008-09 LS&R Needs, Revenue and Performance Survey (<i>Amy Burch / Theresa Romell</i>)	15 min
1. Survey Response Summary*	
2. 25-Year Needs Calculations**	
B. TIP Update * (<i>Informational Only</i>)	
(<i>The current TIP and subsequent TIP Amendments are available online at: http://www.mtc.ca.gov/funding/tip</i>)	
C. PMP Certification Status* (<i>Memo Only</i>)	
(<i>Current PMP Certification status is available online at: http://www.mtcpms.org/ptap/cert.html</i>)	
7. Caltrans Items:	
A. Oberstar Awards – Call for Applications* (<i>Informational Only</i>)	
B. Interim Construction Oversight Plan* (<i>Informational Only</i>)	
8. Recommended Agenda Items for Next Meeting: (<i>All</i>)	5 min

Proposed Next Meeting:

(*Note: Meeting rescheduled due to the Independence Day Holiday (observed)*)

Friday, July 10, 2009

9:00 a.m. to 12:00 p.m.

MetroCenter, 1st Floor, Room 171

101-8th Street, Oakland 94607

* = Attachment in Packet ** = Handouts Available at Meeting

Contact MTC staff liaison, Theresa Romell, at 510.817.5772 if you have questions regarding this agenda.

LOCAL STREETS & ROADS WORKING GROUP MINUTES

May 8, 2009

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1. Introductions

Fernando Cisneros (City/County of San Francisco and Chair) requested introductions.

2. Minutes of March 6, 2009 LS&R Working Group Meeting

The minutes of the March 6, 2009 LS&R Working Group meeting were accepted.

3. Programming Updates

a. STP/CMAQ Program Monitoring Update

Marcella Aranda (MTC) provided the STP/CMAQ Program Monitoring status report for FFY 2008-09. As of April 30, 2009, approximately \$108 million or 62.1% of the STP/CMAQ funds have been obligated. Sponsors with regional STP/CMAQ funds programmed in FY 2008-09 of the federal TIP were required to submit the obligation/ transfer request to Caltrans by February 1, 2009, and to receive obligation (an E-76 / federal authorization to proceed) by April 30, 2009. Funds not obligated by the regional deadlines are returned to MTC for reprogramming within the region. Projects not obligated due to a lack of OA will be considered for carry over after the April 30 regional deadline. Staff reminded the jurisdictions that the end of SAFETEA is September 30, 2009, and should prepare for the end of Act rescissions.

b. Report of Federal Inactive Obligations

Marcella Aranda (MTC) reported that the March 2009 Inactive List was released on April 17, 2009 and noted that the June and September 2009 Look Ahead reports were included in the packet. Projects on the March list should submit an invoice or justification and appropriate documentation by **May 22, 2009**. Projects that do not meet these deadlines will be deobligated by FHWA. Project sponsors were advised that if there has been invoicing activity on these projects since March, they may no longer be in jeopardy. MTC staff encourages all CMAs to contact their local agencies to make sure that all inactive obligation justifications and deobligation requests have been submitted to the Caltrans' District Local Assistance Engineer (DLAE) as well as complete justification forms with backup documentation for projects that do not have eligible expenditures. The June 2009 Inactive List is expected to be released by the end of July, and will be distributed via email to the Working Group shortly thereafter. Invoice status can be checked online via LPAMS, <http://lpams.dot.ca.gov>. The Quarterly Review of Inactive Obligations report is online at: <http://www.dot.ca.gov/hq/LocalPrograms/InactiveProjects.htm>.

4. Standing Updates

a. Legislative Update

Rebecca Long (MTC) reported that the House Transportation Committee is expected to release a proposal for reauthorization by July. There is no movement from the Senate as of yet. There has been activity on cap and trade (Clean TE)/ environmental language, which is similar to SB 375. On the State side, the financial situation is grim and the May 19 ballot measures are expected to make a huge impact on the revised budget. Other updates included AB 744 (HOT Lanes), which authorizes the region to move forward with the HOT program is moving along; AB 672 provides more flexibility for Proposition 1B and will allow local agencies pre-award authority. MTC staff is soliciting jurisdictions' comments for SB 518 (Parking policy), which requires cities/counties with populations larger than 300,000 to collectively map out key points regarding parking and its impact on the climate.

5. Discussion Items

a. American Recovery and Reinvestment Act (ARRA)

Craig Goldblatt (MTC) outlined the State Element ARRA Funding proposal for TE and Non-TE projects. Under ABX3 20, Caltrans has sub-allocated \$167M in additional funds for the State Discretionary ARRA; \$157.3M for Non-TE and \$9.6M for TE projects. As a result, staff is recommending directing the \$157.3M to the following projects: \$120.3M to move stalled Proposition 1B projects to construction; fully fund the Tier 2 Local Streets and Roads System Preservation amount (\$23.4M); and add High Occupancy Toll (HOT) Lane projects as a priority funding category (\$13.5M). For the TE projects (\$9.6M), staff is recommending directing roughly the full amount to advance ready-to-go TE-eligible projects, with the approximately 80% based on the STIP county share formula, and 20% directed on a regional basis, similar to the split for the Regional ARRA system preservation funding. Since ready-to-go projects may

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May 8, 2009

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not conform exactly to county shares, counties will be allowed to “over program” their ARRA share in exchange for programming future TE backfill share in another county. For TE projects, ABX3 20 requires that priority must be provided for projects that partner with a community or California Conservation Corps to construct or undertake the project. Delivery deadlines for Prop 1B/RTIP Replacement and TE funds are June 30, 2009 for obligation and December 31, 2009 for award; all remaining funds including Smart Highways and LS&R are to be obligated by November 30, 2009 and awarded by June 30, 2010.

Group members proposed a third tier as a contingency in the event bids come in lower than expected after May 25. Staff advised the group that change orders can be done in the event this scenario arises; however, scope changes are not allowed. Other suggestions in the event of cost savings would be to roll Tier 1 funding into Tier 2; relax the Tier 2 deadlines to account for low bids; or, extend the regional deadline of May 30 to after the bidding period, approximately late-June/ early-July. The Group requested having a meeting with Caltrans and FHWA to discuss low bids, deadlines and leaving funds on the table and/or reprogrammed funds to other projects.

Amy Burch (MTC) reported that MTC has developed a program matrix (ARRA Discretionary Program Summary), which provides an overview of the various ARRA transportation grant programs, to assist agencies seeking funding. Weekly updates to this matrix are available on the MTC website at: <http://www.mtc.ca.gov/funding/ARRA/>. MTC will focus advocacy and consensus on three funding categories: 1) Secretary’s Discretionary Grant Program; 2) High Speed Rail and Intercity Passenger Rail Grants; and 3), New Starts. MTC’s goal is to partner with Caltrans and the California High Speed Rail Authority so that the Bay Area and California are competitive for these funds. For other ARRA discretionary programs, agencies are encouraged to apply directly to the federal implementing agency. The Energy Efficiency and Conservation Block Grant (EECBG) Program provides direct, formula grants to reduce energy use and fossil fuel emissions, and to improve energy efficiency. A list of the allocations to Bay Area cities and counties (nearly \$57 million), as well as those to the California Energy Commission (\$49 million), is available at the following link: <http://www.energy.ca.gov/recovery/blockgrant.html>. Applications for the EECBG are due by June 25, 2009. Cities and counties that are not listed for direct, formula grants are eligible for nearly \$30 million of the \$49 million allocated to the California Energy Commission. The CEC may distribute the remaining \$19 million at its discretion.

Theresa Romell (MTC) reported that staff is expected to “road show” the proposed framework for the 1st Cycle programming of STP, STIP/RTIP, and Prop 1B backfill funds. There has been discussion in reauthorization to consolidate all the fund sources into one “regional” fund, jurisdictions need to advocate for the LS&R share.

b. PDA/Focus Program Discussion

Theresa Romell (MTC) reported that there has been discussion of moving the FOCUS program forward through incentives using the LS&R maintenance funds. The Group will invite Ted Droettboom of the Joint Policy Committee to attend the June LSRWG meeting to discuss PDAs and the FOCUS program.

c. April 2009 State Treasurer Bond Sale

Theresa Romell (MTC) reported that on April 22, 2009, the State sold \$6.9B in General Obligation bonds. Approximately \$1B of the bond proceeds were used to repay outstanding AB 55 loans, while the remainder was used to fund various General Obligation bond projects such as roads, schools, flood control, water, environmental, stem cell research, high-speed rail, and affordable housing. A preliminary listing of non-exempt projects within the MTC region affected by the December 2008 funding freeze was included in the packet. Non-exempt projects are authorized to restart and funding will be provided consistent with project contracts, grant criteria, and / or additional agency / Board approvals as necessary. The listing will be updated as needed to reflect the status of bond funded projects. Updated listings can be found online at: http://www.dof.ca.gov/infrastructure/bond_funded_projects/

d. Strategic Plan Implementation

The Group discussed the LS&R Strategic Plan implementation and agreed to re-form a subcommittee to focus on implementing Goal 2 – Safety, improve the safety of local streets in the Bay Area for all modes of travel; Item B – HBRR. Volunteers to sit on the subcommittee include Craig Tackabery (Marin Co.), Diana Vargas (NCTPA), Seana Gause (SCTA), Fernando Cisneros (City/Co. San Francisco), Ben Tripousis (City of San Jose), Rick Moshier (City of Santa Rosa), and Theresa Romell (MTC). The subcommittee will provide a status report at the June LSRWG meeting.

LOCAL STREETS & ROADS WORKING GROUP MINUTES

May 8, 2009

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6. Informational Items

a. FY 2008-09 LS&R Needs, Revenue and Performance Survey

Amy Burch (MTC) reported a response rate of over 91% received for the FY 2009-08 LS&R Needs, Revenue and Performance Survey and distributed the draft Regional Unit Cost/ Pavement Needs. Staff solicited the Group's consideration of reducing the unit cost as a result of current CPI fluctuations. The Group felt that the fluctuations are an anomaly and recommended using the submitted numbers. All outstanding surveys are due no later than May 22. Failure to submit a completed survey may result in the reallocation of a portion of said jurisdiction's STP funds as well as ineligibility to apply for future PTAP grant funds. Survey responses and/or questions should be directed to Amy Burch at aburch@mtc.ca.gov.

a. TIP Update

Sri Srinivasan (MTC) provided an update on all current and prospective TIP modifications. Changes for ARRA projects should be directed through the CMAs. For ARRA projects, the deadline to add Tier 2 funds to Tier 1 projects is May 15, 2009. All Tier 2 only projects must be updated and submitted to Sri via the master spreadsheet template by May 15, 2009. The deadline to enter all Tier 1 and Tier 2 projects into FMS is May 31, 2009.

b. PMP Certification Status

MTC staff reminded jurisdictions that their certifications must be current in order to remain eligible to receive STP funds, including those to be included in the stimulus package. Current PMP Certification status is available online at: <http://www.mtcpms.org/ptap/cert.html>.

7. Caltrans Items

Sylvia Fung (Caltrans, D4) reported that any project authorized under a Race-Neutral DBE program with contingencies should resubmit for an E-76 with conditions before authorization and award. Current DBE information is posted on the Caltrans Local Assistance website at: http://www.dot.ca.gov/hq/LocalPrograms/DBE_CRLC.html#NEW_DBE. Updated information regarding all local programs can be found on the Local Assistance website at: <http://www.dot.ca.gov/hq/LocalPrograms/index.htm>. Weekly updates regarding ARRA project status can be found on the District 4 website at: <http://www.dot.ca.gov/dist4/ola/>.

Craig Goldblatt (MTC) clarified ARRA reporting guidance, stating that Caltrans is to do all the reporting. MTC will get the project list approved by the Commission and obtain all 1511 certifications. Caltrans is to handle the other reporting requirements by working directly with the local project sponsors.

Recommended Agenda Items for Next Meeting

- ARRA – Reallocation of funds after award due to low bids and within deadlines

Proposed Next Meeting:

(Note: Date Change)

Friday, June 12, 2009

9:00 a.m. to 12:00 p.m.

MTC MetroCenter, 2nd Floor, Claremont Room

101-8th Street, Oakland 94607



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TRANSPORTATION
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Memorandum

TO: Local Streets & Roads Working Group

DATE: June 12, 2009

FR: Marcella Aranda

RE: FY 2008-09 STP/CMAQ Obligation Status

Background

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 STP and CMAQ 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 not obligated by the regional deadlines are returned to MTC for reprogramming within the region.

On November 21, 2008, MTC submitted the required FY 2008-09 annual obligation plan to Caltrans. The original plan identified over 118 STP/CMAQ projects totaling \$166.8 million in committed STP/CMAQ obligations for FY 2008-09. As of May 31, 2009, approximately \$111.4 million or 66.1% of the STP/CMAQ funds have been obligated. The obligations by fund source are summarized below.

STP/CMAQ Obligation Status for FY 2008-09

Fund Source	FY 2008-09 Obligation Plan (as submitted)	FY 2008-09 Obligation Plan (as of 5/31/09)	Obligations through May 31, 2009	% Obligated	Balance Remaining	% Remaining
STP	\$58,459,360	\$58,459,360	\$54,967,146	94.0 %	\$3,492,214	6.0 %
CMAQ	\$108,373,000	\$110,232,827	\$56,472,431	51.2 %	\$53,760,396	48.8 %
Total	\$166,832,360	\$168,692,187	\$111,439,577	66.1 %	\$57,252,610	33.9 %

FY 2008-09 Obligation Status

MTC staff continuously monitors the delivery of STP/CMAQ 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 STP/CMAQ funds programmed in FY 2008-09 of the federal TIP were required to submit the obligation/ transfer request to Caltrans by February 1, 2009, and to receive an

FY 2008-09 STP/CMAQ Obligation Status

June 12, 2009

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obligation (an E-76 / federal authorization to proceed) by April 30, 2009. 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 2008-09 of the TIP through a TIP Revision approved by MTC, before the change is incorporated into the Obligation Plan. Attached is a listing of the STP/CMAQ funds programmed in FY 2008-09 and should have been submitted to Caltrans Local Assistance by February 1, 2009, and obligated by April 30, 2009. **Funds not obligated by the regional deadlines are subject to reprogramming within the region to other projects that can use the OA.**

Any sponsor with funds in the “Balance Remaining” column of the attached Obligation Status Report should contact Ross McKeown at rmckeown@mtc.ca.gov immediately, if they still want the funds for their projects.

Attachment

A – FY 2008-09 STP/CMAQ Obligation Status Report, June 3, 2009

J:\COMMITTEE\Partnership\Partnership PDWG\2008 PDWG\08 PDWG Memos\12_December\03a_0_STP-CMAQ_Oblig_Monitoring Memo.doc

Metropolitan Transportation Commission

STP/CMAQ Obligation Status Report

Fiscal Years: FY 08/09

June 03, 2009

Sponsor	TIP ID	Ver	Fund Code	Federal Proj Info			Appn FY	Prog FY	Fund Programming Information			Obligation Information			
				Prefix	Proj ID	Project Name			STP Amount	CMAQ Amount	Total Amount	Date	STP Amount	CMAQ Amount	Total Amount
Alameda County															
AC Transit	ALA050017	8	CMAQ-T3-3B-3434			Enhanced Bus - Telegraph/Int/East 14th (CON)	08/09	08/09		35,000,000	35,000,000				35,000,000
ACCMMA	ALA010032	10	STP-T3-3-TCP-SF	STPL	6273052	I-580 San Leandro Estudillo Noise Barrier (CON)	08/09	08/09	7,262,000		7,262,000	03/30/2009	7,262,000		7,262,000
ACCMMA	ALA050036	9	CMAQ-T3-1-AQ	CML	6273047	Alameda SMART Corridors Operations & Management (CON)	08/09	08/09		283,000	283,000	01/28/2009		283,000	283,000
ACCMMA	ALA070020	8	CMAQ-T3-1-AQ	HPLUL	6204071	I-580 (TriValley) Corridor - EB HOV/HOT Lanes (CON)	08/09	08/09		160,000	160,000	04/09/2009		160,000	160,000
ACCMMA	ALA070020	8	CMAQ-T3-1-AQ	HPLUL	6204080	I-580 (TriValley) Corridor - EB HOV/HOT Lanes (CON)	08/09	08/09		1,000	1,000	04/09/2009		1,000	1,000
ACCMMA	ALA070020	8	CMAQ-T3-3B-SYS-SFTY-SWAP	HPLUL	6204071	I-580 (TriValley) Corridor - EB HOV/HOT Lanes (CON)	08/09	08/09		2,000,000	2,000,000	04/09/2009		2,000,000	2,000,000
ACCMMA	ALA070020	8	CMAQ-T3-3B-SYS-SFTY-SWAP	HPLUL	6204071	I-580 (TriValley) Corridor - EB HOV/HOT Lanes (CON)	08/09	08/09		4,000,000	4,000,000	04/09/2009		4,000,000	4,000,000
ACCMMA	ALA991084	14	CMAQ-T3-1-AQ			I-680 Sunol Grade - Alameda SB HOV Final Phase (CON)		08/09							
Alameda County	ALA050072	5	STP-T3-3-LSR-SF			Alameda County - Castro Valley Blvd Rehabilitation (CON)	08/09	08/09	758,000		758,000				758,000
Alameda County	ALA070040	4	CMAQ-T3-1-AQ			Hampton Rd Streetscape Improvements (CON)	08/09	08/09		257,000	257,000				257,000
Alameda County	ALA070040	4	CMAQ-T3-1-TROC-LIFE			Hampton Rd Streetscape Improvements (CON)	08/09	08/09		159,000	159,000				159,000
Alameda County	ALA070040	4	CMAQ-T3-2-TROC-LIFE			Hampton Rd Streetscape Improvements (CON)	08/09	08/09		1,841,000	1,841,000				1,841,000
Alameda County	ALA070040	4	CMAQ-T3-2-TROC-LIFE			Hampton Rd Streetscape Improvements (ROW)		08/09							
Alameda County	ALA070040	4	CMAQ-T3-3-RBP-CO			Hampton Rd Streetscape Improvements (CON)	08/09	08/09		742,000	742,000				742,000
BART	ALA070051	2	CMAQ-T3-1-AQ			BART Station Electronic Bike Lockers, Ph. 2 (CON)	08/09	08/09		130,000	130,000				130,000
Berkeley	ALA050073	4	STP-T3-3-LSR-SF	STPL	5057030	Berkeley - University Ave Rehabilitation (CON)	08/09	08/09	630,000		630,000	02/05/2009	630,000		630,000
Caltrans	ALA050059	4	STP-T3-2-TLC-SAP	STPL	6204063	SR 13 Median Landscaping (CON)	08/09	08/09	99,765		99,765	01/13/2009	99,765		99,765
Caltrans	ALA070042	4	CMAQ-T3-1-AQ	CML	6273045	I-880 SB HOV Lanes - Marina Blvd to Hegenberger (PE)	08/09	08/09		24,000	24,000	04/18/2009		24,000	24,000
Caltrans	ALA070042	4	CMAQ-T3-3B-SYS-SFTY-SWAP	CML	6273045	I-880 SB HOV Lanes - Marina Blvd to Hegenberger (PE)	08/09	08/09		2,757,000	2,757,000	04/18/2009		2,757,000	2,757,000
Caltrans	ALA070042	4	STP-T3-2-TCP-SF			I-880 SB HOV Lanes - Marina Blvd to Hegenberger (PSE)		08/09							
Caltrans	ALA070042	4	STP-T3-3-TCP-SF	CML	6273045	I-880 SB HOV Lanes - Marina Blvd to Hegenberger (PE)	08/09	08/09	198,000		198,000	04/18/2009	198,000		198,000
Dublin	ALA050082	6	CMAQ-T3-1-AQ	CML	5432013	E. Dublin BART Station Corridor Bike/Ped Enh. (CON)	08/09	08/09		76,000	76,000	03/10/2009		76,000	76,000
Dublin	ALA050082	6	CMAQ-T3-2-TLC-HIP	CML	5432013	E. Dublin BART Station Corridor Bike/Ped Enh. (CON)	08/09	08/09		1,459,000	1,459,000	03/10/2009		1,459,000	1,459,000
Dublin	ALA050083	5	CMAQ-T3-2-TLC-HIP	CML	5432013	W. Dublin BART Station Corridor Bike/Ped Enh. (CON)	08/09	08/09		1,052,000	1,052,000	03/10/2009		1,052,000	1,052,000
Fremont	ALA070037	3	CMAQ-T3-3-TLC-REG	CML	5322029	Bay Street Streetscape & Parking Project (CON)	08/09	08/09		1,570,000	1,570,000	01/16/2009		1,570,000	1,570,000
Livermore	ALA070038	2	CMAQ-T3-3-TLC-REG	CML	5053016	Downtown Livermore Pedestrian Transit Connection (CON)	08/09	08/09		1,060,000	1,060,000	03/31/2009		888,309	888,309
Livermore	ALA070059	3	CMAQ-T3-3-TLC-HIP	CML	5053017	Livermore Downtown Pedestrian Improvements (CON)	08/09	08/09		845,000	845,000	04/09/2009		845,000	845,000
MTC	ALA050060	5	CMAQ-T3-3-TLC-HIP			Emeryville - San Pablo/MacArthur Bike/Ped Imps. (CON)	08/09	08/09		128,000	128,000				128,000

Metropolitan Transportation Commission

STP/CMAQ Obligation Status Report

Fiscal Years: FY 08/09

June 03, 2009

Sponsor	TIP ID	Ver	Fund Code	Federal Proj Info			Appn FY	Prog FY	Fund Programming Information			Obligation Information					
				Prefix	Proj ID	Project Name			STP Amount	CMAQ Amount	Total Amount	Date	STP Amount	CMAQ Amount	Total Amount	Balance Remaining	
Alameda County																	
Oakland	ALA050061	5	CMAQ-T3-2-TLC-HIP			Oakland - Latham & Telegraph Pedestrian Imps. (CON)		08/09									
Oakland	ALA050080	7	CMAQ-T3-3-TLC-HIP	CML	5012082	7th Street,W. Oakland Transit Village Improvements (CON)	08/09	08/09		750,000	750,000	01/22/2009		750,000	750,000		
Oakland	ALA050080	7	CMAQ-T3-3-TLC-REG	CML	5012082	7th Street,W. Oakland Transit Village Improvements (CON)	08/09	08/09		1,580,000	1,580,000	01/22/2009		1,580,000	1,580,000		
Oakland	ALA070011	5	CMAQ-T3-2-TLC-HIP	CML	5012087	66th Avenue Streetscape Improvement Project (CON)	08/09	08/09		1,230,000	1,230,000	03/31/2009		1,230,000	1,230,000		
Oakland	ALA070057	4	CMAQ-T3-3-TLC-HIP	CML	5012088	Fruitvale Ave Streetscape & Ped. Improvements (CON)	08/09	08/09		2,320,000	2,320,000	03/10/2009		2,320,000	2,320,000		
Oakland	ALA070057	4	CMAQ-T3-3-TLC-HIP			Fruitvale Ave Streetscape & Ped. Improvements (PE)	08/09	08/09		300,000	300,000				300,000		
San Leandro	ALA050078	5	CMAQ-T3-3-RBP-CO	HP21L	5041025	Bay Trail Bridge at Oyster Bay Slough (CON)	08/09	08/09		750,000	750,000	12/20/2008		750,000	750,000		
Union City	ALA050070	3	STP-T3-3-LSR-SF	STPL	5354024	Union City - Alvarado-Niles Road Rehabilitation (CON)	08/09	08/09		421,000	421,000	01/28/2009		421,000	421,000		
Alameda County Totals										9,368,765	60,474,000	69,842,765		8,610,765	21,745,309	30,356,074	39,486,691

Metropolitan Transportation Commission

STP/CMAQ Obligation Status Report

Fiscal Years: FY 08/09

June 03, 2009

Sponsor	TIP ID	Ver	Fund Code	Federal Proj Info			Fund Programming Information			Obligation Information						
				Prefix	Proj ID	Project Name	Appn FY	Prog FY	STP Amount	CMAQ Amount	Total Amount	Date	STP Amount	CMAQ Amount	Total Amount	Balance Remaining
Contra Costa County																
BART	CC-030003	9	STP-T3-2-BF	FTASTPL	6000039	Richmond BART Parking Structure (CON)	08/09	08/09	4,320,000		4,320,000	01/21/2009	4,320,000		4,320,000	
CC County	CC-990046	10	CMAQ-T3-3-RBP-CO	CML	5928048	Iron Horse Trail Over-crossing at Treat (CON)	08/09	08/09		1,520,000	1,520,000	02/19/2009		1,520,000	1,520,000	
CC County	CC-990046	10	CMAQ-T3-3-TLC-CO	CML	5928048	Iron Horse Trail Over-crossing at Treat (CON)	08/09	08/09		754,000	754,000	02/19/2009		754,000	754,000	
CC County	CC-990046	10	CMAQ-T3-3-TLC-HIP	CML	5928048	Iron Horse Trail Over-crossing at Treat (CON)	08/09	08/09		2,522,000	2,522,000	02/19/2009		2,522,000	2,522,000	
Concord	CC-070030	3	CMAQ-T3-3-RBP-CO	CML	5135033	Concord Blvd. Gap Closure, Phase 2 (CON)	08/09	08/09		820,000	820,000	05/28/2009		820,000	820,000	
Concord	CC-070083	3	CMAQ-T3-3-TLC-REG			Monument Blvd & Meadow Ln Pedestrian Improvements (CON)	08/09	08/09		1,200,000	1,200,000				1,200,000	
El Cerrito	CC-070074	4	CMAQ-T3-3-TLC-CO	CML	5239010	San Pablo Avenue Streetscape (CON)	08/09	08/09		506,000	506,000	01/30/2009		506,000	506,000	
El Cerrito	CC-070074	4	CMAQ-T3-3-TLC-REG	CML	5239010	San Pablo Avenue Streetscape (CON)	08/09	08/09		1,800,000	1,800,000	01/30/2009		1,800,000	1,800,000	
Martinez	CC-070085	4	CMAQ-T3-3-TLC-HIP			Martinez - Marina Vista Streetscape (CON)	08/09	08/09		1,600,000	1,600,000				1,600,000	
Moraga	CC-050069	4	STP-T3-3-LSR-SF	STPL	5415008	Moraga - Moraga Road Rehabilitation (CON)	08/09	08/09	375,000		375,000	04/01/2009	375,000		375,000	
Pinole	CC-050073	3	STP-T3-3-LSR-SF		5126009	Pinole - Appian Way Rehab: Phase II (CON)	08/09	08/09	540,000		540,000				540,000	
Richmond	CC-070066	4	CMAQ-T3-3-RBP-CO	CML	5137035	Central Richmond Greenway (East Segment) (CON)	08/09	08/09		20,000	20,000	03/25/2009		20,000	20,000	
Richmond	CC-070080	3	CMAQ-T3-3-TLC-HIP			Richmond Downtown Bike & Ped Improvements (CON)	08/09	08/09		1,100,000	1,100,000				1,100,000	
Contra Costa County Totals									5,235,000	11,842,000	17,077,000		4,695,000	7,942,000	12,637,000	4,440,000

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Marin County																
San Rafael	MRN070016	4	CMAQ-T3-2-TROC-LIFE			San Rafael Canal Street Pedestrian Access (CON)	06/07	08/09		288,000	288,000					288,000
Marin County Totals									0	288,000	288,000		0	0	0	288,000

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				Prefix	Proj ID	Project Name			STP Amount	CMAQ Amount	Total Amount	Date	STP Amount	CMAQ Amount	Total Amount	Balance Remaining
Napa County																
American Canyon	NAP050011	4	STP-T3-2-LSR-SF	STPL	5470003	American Canyon - Elliott Street Rehabilitation (CON)	08/09	08/09	48,000		48,000				48,000	
American Canyon	NAP070004	2	STP-T3-3-LSR-SF			West American Canyon Road Rehabilitation (CON)	08/09	08/09	281,000		281,000				281,000	
NCTPA	NAP070008	2	CMAQ-T3-3-RBP-CO			East Avenue Sidewalk Project (CON)	08/09	08/09		284,000	284,000				284,000	
Napa	NAP070003	3	STP-T3-3-LSR-SF			Napa - Browns Valley Road Rehabilitation (CON)	08/09	08/09	664,000		664,000				664,000	
Napa	NAP070006	3	STP-T3-3-LSR-SF			Napa - Soscol Avenue Rehabilitation (CON)	08/09	08/09	221,000		221,000				221,000	
Napa	NAP070007	3	STP-T3-3-LSR-SF			Napa - Soscol Road Rehabilitation Phase 2 (CON)	08/09	08/09	574,000		574,000				574,000	
Napa County	NAP070005	2	STP-T3-3-LSR-SF			Deer Park Road Rehabilitation (CON)	08/09	08/09	46,581		46,581				46,581	
Napa County Totals									1,834,581	284,000	2,118,581		0	0	0	2,118,581

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				Prefix	Proj ID	Project Name			STP Amount	CMAQ Amount	Total Amount	Date	STP Amount	CMAQ Amount	Total Amount	Balance Remaining
Regional Totals																
BART	REG050020	6	STP-T3-3-TCP-SF	FTASTPL	6000039	BART Car Exchange (Preventive Maintenance) (CON)	08/09	08/09	22,683,000		22,683,000	01/21/2009	22,683,000		22,683,000	
MTC	MTC030003	13	CMAQ-T3-3-RO			Freeway Operations TOS (CON)		08/09								
MTC	MTC030003	13	CMAQ-T3-3-RO			Freeway Operations TOS (CON)	08/09	08/09		934,000	934,000				934,000	
MTC	MTC030003	13	CMAQ-T3-3-RO	CMLN	6084147	Freeway Operations TOS (PE)	08/09	08/09		266,000	266,000	04/18/2009		266,000	266,000	
MTC	MTC030005	7	STP-T3-3-TLC-PL			TLC/HIP Planning Grants (ENV)		08/09								
MTC	REG050008	5	STP-T3-3-TLC-PL	STPL	6084146	Station Area Planning Program (PE)	08/09	08/09	855,000		855,000	11/14/2008	855,000		855,000	
MTC	REG050008	5	STP-T3-3-TLC-SAP	STPL	6084146	Station Area Planning Program (PE)	08/09	08/09	9,200,000		9,200,000	11/14/2008	9,200,000		9,200,000	
MTC-SAFE	REG050021	5	CMAQ-T3-3-RO			Incident Management Program (PE)		08/09		1,000,000	1,000,000				1,000,000	
Regional Totals									32,738,000	2,200,000	34,938,000		32,738,000	266,000	33,004,000	1,934,000

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San Francisco County																
MUNI	SF-010037	14	CMAQ-T3-3-RBP-CO	FTASTPL	6328027	SF Muni Third St LRT Phase 2 - New Central Subway (PSE)	08/09	08/09		2,025,000	2,025,000	02/24/2009		2,025,000	2,025,000	
SF DPW	SF-070031	2	CMAQ-T3-3-TLC-REG	HPLUL	5934133	Valencia Streetscape Improvements (CON)	08/09	08/09		2,600,000	2,600,000	03/20/2009		2,600,000	2,600,000	
SF DPW	SF-070032	3	CMAQ-T3-3-TLC-HIP	RPSTPLE	5934140	Leland Avenue Streetscape Improvements (CON)	08/09	08/09		1,640,000	1,640,000	03/20/2009		1,640,000	1,640,000	
SF DPW	SF-070039	4	CMAQ-T3-3-TLC-HIP		5934149	Divisadero Streetscape and Ped. Improvements (CON)	08/09	08/09		2,614,000	2,614,000					2,614,000
San Francisco County Totals									0	8,879,000	8,879,000		0	6,265,000	6,265,000	2,614,000

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				Prefix	Proj ID	Project Name			STP Amount	CMAQ Amount	Total Amount	Date	STP Amount	CMAQ Amount	Total Amount	Balance Remaining
San Mateo County																
Belmont	SM-050011	5	STP-T3-2-LSR-SF	STPL	5268014	Belmont - Old County Road Rehabilitation (CON)	08/09	08/09	120,000		120,000	12/24/2008	120,000		120,000	
CCAG	SM-070037	3	CMAQ-T3-3-RO	CML	6419007	San Mateo County Traffic Incident Management (PE)	08/09	08/09		367,000	367,000	01/28/2009		367,000	367,000	
CCAG	SM-070043	2	CMAQ-T3-2-RO			San Mateo County Ramp Metering Study (PE)		08/09								
Colma	SM-070042	4	CMAQ-T3-3-RBP-CO	CML	5264002	Colma - 'D' Street Pedestrian Enhancements (CON)	08/09	08/09		235,000	235,000	01/16/2009		180,743	180,743	54,257
Colma	SM-070042	4	CMAQ-T3-3-TLC-HIP	CML	5264002	Colma - 'D' Street Pedestrian Enhancements (CON)	08/09	08/09		250,000	250,000	01/16/2009		250,000	250,000	
Daly City	SM-050046	8	CMAQ-T3-2-TLC-HIP	CML	5196030	Daly City - Mission St. Pedestrian Imps.- Phase I (CON)	08/09	08/09		47,000	47,000	03/10/2009		47,000	47,000	
Daly City	SM-050046	8	CMAQ-T3-3-RBP-CO	CML	5196030	Daly City - Mission St. Pedestrian Imps.- Phase I (CON)	08/09	08/09		499,000	499,000	03/10/2009		499,000	499,000	
Daly City	SM-050046	8	CMAQ-T3-3-TLC-CO	CML	5196030	Daly City - Mission St. Pedestrian Imps.- Phase I (CON)	08/09	08/09		293,000	293,000	03/10/2009		293,000	293,000	
Daly City	SM-050046	8	CMAQ-T3-3-TLC-HIP	CML	5196030	Daly City - Mission St. Pedestrian Imps.- Phase I (CON)	08/09	08/09		123,000	123,000	03/10/2009		123,000	123,000	
Daly City	SM-050046	8	CMAQ-T3-3-TLC-REG	CML	5196030	Daly City - Mission St. Pedestrian Imps.- Phase I (CON)	08/09	08/09		900,000	900,000	03/10/2009		900,000	900,000	
Foster City	SM-070012	2	STP-T3-3-LSR-SF			Foster City - Shell Boulevard Rehabilitation (CON)		08/09								
MTC	SM-070036	3	CMAQ-T3-3-TLC-HIP			Colma HIP Streetscape & Pedestrian Improvements (CON)	08/09	08/09								
Pacifica	SM-070027	6	CMAQ-T3-3-RBP-CO		5350015	San Pedro Terrace Multi-Purpose Trail (CON)	08/09	08/09		150,000	150,000				150,000	
Pacifica	SM-070027	6	CMAQ-T3-3-RBP-CO	CML	5350015	San Pedro Terrace Multi-Purpose Trail (CON)	08/09	08/09		450,000	450,000	01/13/2009		450,000	450,000	
Pacifica	SM-070027	6	CMAQ-T3-3-RBP-CO		5350015	San Pedro Terrace Multi-Purpose Trail (PE)	08/09	08/09		50,000	50,000	10/22/2008		200,000	200,000	-150,000
Redwood City	SM-070001	7	CMAQ-T3-2-TLC-HIP	ESPL	5029021	Redwood City - El Camino Real/Broadway Streetscape (CON)	08/09	08/09		8,000	8,000	05/01/2009		8,000	8,000	
Redwood City	SM-070001	7	CMAQ-T3-3-TLC-HIP	ESPL	5029021	Redwood City - El Camino Real/Broadway Streetscape (CON)	08/09	08/09		251,000	251,000	05/01/2009		251,000	251,000	
Redwood City	SM-070001	7	CMAQ-T3-3-TLC-HIP	ESPL	5029021	Redwood City - El Camino Real/Broadway Streetscape (CON)	08/09	08/09		380,000	380,000	05/01/2009		380,000	380,000	
San Mateo	SM-070026	5	CMAQ-T3-3-RBP-CO	CML	5102032	San Mateo - Delaware Street Improvement (CON)	08/09	08/09		70,000	70,000	01/16/2009		70,000	70,000	
San Mateo Co	SM-070028	4	CMAQ-T3-3-RBP-CO	CML	5935044	Mirada Surf Coastal Bike and Pedestrian Trail (CON)	08/09	08/09		181,000	181,000	02/06/2009		181,000	181,000	
San Mateo Co	SM-070038	4	CMAQ-T3-3-TLC-HIP			Colma - 'F' Street Sidewalk Imps. and Streetscape (CON)		08/09								
San Mateo Co	SM-070039	5	CMAQ-T3-3-RBP-CO	CML	5935046	Menlo Park - Santa Cruz Avenue Pedestrian Imps. (CON)	08/09	08/09		27,000	27,000	01/28/2009		27,000	27,000	
San Mateo Co	SM-070040	4	CMAQ-T3-3-RBP-CO	CML	5935045	Westborough Blvd. Bicycle Lanes Improvements (CON)	08/09	08/09		18,000	18,000	01/22/2009		15,900	15,900	2,100
San Mateo Co	SM-070046	2	CMAQ-T3-3-TLC-HIP	CML	5935048	Install Permanent Traffic Calming Advisory Signs (CON)	08/09	08/09		40,000	40,000	01/15/2009		40,000	40,000	
San Mateo County Totals									120,000	4,339,000	4,459,000		120,000	4,282,643	4,402,643	56,357

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Santa Clara County															
Caltrans	SCL030008	7	STP-T3-2-BF	STPL	6204067	SR 87 Guadalupe Freeway Corridor (CON)	08/09	08/09	208,600		208,600				208,600
Caltrans	SCL030008	7	STP-T3-2-BF	STPL	6024067	SR 87 Guadalupe Freeway Corridor (CON)	08/09	08/09	1,211,400		1,211,400	10/23/2008	1,211,400		1,211,400
Caltrans	SCL030008	7	STP-T3-2-BF			SR 87 Guadalupe Freeway Corridor (PSE)	08/09	08/09	60,000		60,000				60,000
Gilroy	SCL070010	5	CMAQ-T3-2-TROC-LIFE	CML	5034015	Gilroy Pedestrian Improvements (CON)	08/09	08/09		323,000	323,000	10/23/2008		323,000	323,000
Gilroy	SCL070039	4	CMAQ-T3-3-TLC-CO	CML	5034017	Gilroy 6th Street Streetscape West/East (CON)	08/09	08/09		459,000	459,000	01/15/2009		459,000	459,000
Gilroy	SCL070039	4	CMAQ-T3-3-TLC-HIP			Gilroy 6th Street Streetscape West/East (CON)	08/09	08/09		515,000	515,000				515,000
Los Altos Hills	SCL070025	3	CMAQ-T3-3-RBP-CO	CML	5324004	Los Altos Hills - El Monte Road Bike/Ped Path (CON)	08/09	08/09		440,000	440,000	10/23/2008		440,000	440,000
Los Gatos	SCL050029	5	STP-T3-3-LSR-SF	STPL	5067013	Los Gatos - Various Streets Rehabilitation (CON)	08/09	08/09	272,000		272,000	10/22/2008	272,000		272,000
Milpitas	SCL070037	3	CMAQ-T3-3-TLC-CO	CML	5314006	So. Abel & So. Main Streetscape Imps. - Phase 1 (CON)	08/09	08/09		850,000	850,000	05/09/2009		850,000	850,000
Morgan Hill	SCL070014	3	CMAQ-T3-3-TLC-REG	CML	5152016	Morgan Hill - Third Street Promenade (CON)	08/09	08/09		1,520,000	1,520,000	01/28/2009		1,520,000	1,520,000
San Jose	SCL050061	5	CMAQ-T3-3-TLC-HIP	CML	5005093	San Jose State Univ. / Japantown Pedestrian Imps. (CON)	08/09	08/09		1,555,000	1,555,000	01/28/2009		1,393,654	1,393,654
San Jose	SCL050081	7	CMAQ-T3-3-RBP-CO	HPLUL	5005084	Lower Guadalupe River Trail (PSE)	08/09	08/09		1,377,000	1,377,000	01/31/2009		1,377,000	1,377,000
San Jose	SCL070040	4	CMAQ-T3-3-RBP-CO	CML	5005094	San Jose - Jackson Street Pedestrian Imps. (CON)	08/09	08/09		435,000	435,000	02/05/2009		435,000	435,000
San Jose	SCL070040	4	CMAQ-T3-3-TLC-CO	CML	5005094	San Jose - Jackson Street Pedestrian Imps. (CON)	08/09	08/09		865,000	865,000	02/05/2009		865,000	865,000
Santa Clara Co	SCL050072	5	STP-T3-3-LSR-SF	STPL	5937125	Santa Clara Co. - Capitol Expwy. Rehabilitation (CON)	08/09	08/09	819,919		819,919	02/19/2009	728,860		728,860
Santa Clara Co	SCL050072	5	STP-T3-3-LSR-SF			Santa Clara Co. - Capitol Expwy. Rehabilitation (ENV)		08/09							
Santa Clara Co	SCL050072	5	STP-T3-3-LSR-SF	STPL	5937125	Santa Clara Co. - Capitol Expwy. Rehabilitation (PE)	08/09	08/09	75,081		75,081	10/22/2008	75,081		75,081
Santa Clara Co	SCL050075	6	STP-T3-3-LSR-SF	STPL	5937126	Santa Clara Co. - Oregon/Page Mill Expwy Rehab (CON)	08/09	08/09	1,180,972		1,180,972	03/05/2009	1,181,000		1,181,000
Santa Clara Co	SCL050075	6	STP-T3-3-LSR-SF			Santa Clara Co. - Oregon/Page Mill Expwy Rehab (ENV)	08/09	08/09							
Santa Clara Co	SCL050075	6	STP-T3-3-LSR-SF		5937126	Santa Clara Co. - Oregon/Page Mill Expwy Rehab (PE)	08/09	08/09	75,028		75,028	10/22/2008	75,028		75,028
Santa Clara Co	SCL050076	6	STP-T3-1A-LSR-SF	STPL	5937131	Santa Clara Co. - Various Non-Expressway Rehab (CON)	08/09	08/09	850,000		850,000	04/15/2009	850,000		850,000
Santa Clara Co	SCL050076	6	STP-T3-3-LSR-SF			Santa Clara Co. - Various Non-Expressway Rehab (PE)		08/09							
Santa Clara Co	SCL070042	2	CMAQ-T3-1-AQ-SWAP	CML	5937127	San Tomas Bicycle Shoulder Delineation - Phase 2 (CON)	08/09	08/09		216,000	216,000	01/28/2009		216,000	216,000
Santa Clara Co	SCL070042	2	CMAQ-T3-1-AQ-SWAP	CML	5937127	San Tomas Bicycle Shoulder Delineation - Phase 2 (CON)	08/09	08/09		34,000	34,000	01/28/2009		34,000	34,000
Santa Clara Co	SCL070051	2	CMAQ-T3-3-RBP-CO	CML	5937130	Foothill Expressway Loyola Bridge Bicycle Imp. (CON)	08/09	08/09		320,000	320,000	03/10/2009		320,000	320,000
Saratoga	SCL070038	2	CMAQ-T3-3-TLC-CO	CML	5332013	Saratoga Village Pedestrian Enhancements (CON)	08/09	08/09		425,000	425,000	03/05/2009		425,000	425,000
Saratoga	SCL070050	2	CMAQ-T3-2-RBP-REG	HSIPL	5332011	Highway 9 Safety Improvements (PE)	08/09	08/09		462,000	462,000	02/27/2009		462,000	462,000
Sunnyvale	SCL050027	6	STP-T3-3-LSR-SF	STPL	5213030	Sunnyvale - Various Streets Rehabilitation (CON)	08/09	08/09	530,234		530,234	10/22/2008	530,234		530,234
Sunnyvale	SCL070036	4	CMAQ-T3-3-TLC-CO	CML	5213028	Sunnyvale-Murphy Ave Streetscape Revitalization (CON)	08/09	08/09		397,000	397,000	01/23/2009		397,000	397,000

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Santa Clara County																	
Sunnyvale	SCL070036	4	CMAQ-T3-3-TLC-HIP	CML	5213028	Sunnyvale-Murphy Ave Streetscape Revitalization (CON)	08/09	08/09		1,300,000	1,300,000	01/23/2009		1,300,000	1,300,000		
Sunnyvale	SCL070036	4	CMAQ-T3-3-TLC-HIP			Sunnyvale-Murphy Ave Streetscape Revitalization (PE)	08/09	08/09									
VTA	SCL090031	1	CMAQ-T3-1-AQ-SWAP	FTACML	6264039	Grade-Separated Pedestrian Crossing (PSE)	08/09	08/09		257,827	257,827			257,828	257,828		
VTA	SCL090031	1	CMAQ-T3-3-RBP-CO	FTACML	6264039	Grade-Separated Pedestrian Crossing (PSE)	08/09	08/09		1,210,000	1,210,000			1,210,000	1,210,000		
VTA	SCL990046	21	STP-T3-3-TCP-SF	FTASTPL	6264038	VTA Preventive Maintenance (CON)	08/09	08/09		1,199,780	1,199,780	01/21/2009	1,199,778		1,199,778		
Santa Clara County Totals										6,483,014	12,960,827	19,443,841		6,123,381	12,284,482	18,407,863	1,035,978

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				Prefix	Proj ID	Project Name	Appn FY	Prog FY	STP Amount	CMAQ Amount	Total Amount	Date	STP Amount	CMAQ Amount	Total Amount	Balance Remaining
Solano County																
Benicia	SOL070045	3	CMAQ-T3-3-RBP-CO			State Park Road Bridge Widening (CON)	08/09	08/09		1,311,000	1,311,000			1,311,000		
Benicia	SOL070045	3	CMAQ-T3-3-TLC-CO			State Park Road Bridge Widening (CON)	08/09	08/09		40,000	40,000			40,000		
Dixon	SOL070046	2	CMAQ-T3-3-AQ-SOL	CML	5056015	SR113 Pedestrian Improvements (CON)	08/09	08/09		90,000	90,000	04/21/2009	90,000	90,000		
Fairfield	SOL070027	2	CMAQ-T3-3-RBP-CO			W. Texas St. Gateway Project Phase I & II (CON)	06/07	08/09		85,000	85,000			85,000		
STA	SOL991066	13	CMAQ-T3-3-AQ-SOL	CML	6249015	Eastern Solano / SNCI Rideshare Program (PE)	08/09	08/09		195,000	195,000	02/27/2009	195,000	195,000		
Solano County	SOL050024	5	CMAQ-T3-3-AQ-SOL	CML	5923086	Vacaville-Dixon Bicycle Route (CON)	08/09	08/09		337,000	337,000	01/16/2009	337,000	337,000		
Solano County	SOL050046	7	CMAQ-T3-3-TLC-CO	RPSTPLE	5923073	Old Town Cordelia Enhancements (CON)	08/09	08/09		500,000	500,000	02/24/2009	499,998	499,998	2	
Vacaville	SOL050013	5	CMAQ-T3-2-AQ-SOL	CML	5094048	Vacaville Intermodal Station (CON)	08/09	08/09		900,000	900,000			900,000		
Vacaville	SOL050013	5	CMAQ-T3-3-TLC-HIP	CML	5094048	Vacaville Intermodal Station (CON)	08/09	08/09		2,128,000	2,128,000			2,128,000		
Vacaville	SOL070028	2	CMAQ-T3-3-AQ-SOL	CML	5094047	Vacaville Downtown Creekwalk Extension (CON)	08/09	08/09		694,000	694,000	02/24/2009	693,999	693,999	1	
Vacaville	SOL070028	2	CMAQ-T3-3-AQ-SOL	CML	5094047	Vacaville Downtown Creekwalk Extension (PSE)	08/09	08/09		53,000	53,000	01/13/2009	53,000	53,000		
Vacaville	SOL070029	2	CMAQ-T3-3-AQ-SOL	CML	5094051	Ulatis Creek Bike Path - Allison to I-80 (ENV)	08/09	08/09		169,000	169,000	01/28/2009	169,000	169,000		
Vacaville	SOL070047	3	CMAQ-T3-2-AQ-SOL	ESPL	5094049	Peabody Rd & Marshall Rd Pedestrian Improvements (CON)	08/09	08/09		120,000	120,000	05/23/2009	120,000	120,000		
Vacaville	SOL070047	3	CMAQ-T3-3-AQ-SOL	ESPL	5094049	Peabody Rd & Marshall Rd Pedestrian Improvements (CON)	08/09	08/09		28,000	28,000	05/23/2009	28,000	28,000		
Vacaville	SOL070047	3	CMAQ-T3-3-RBP-CO	ESPL	5094049	Peabody Rd & Marshall Rd Pedestrian Improvements (CON)	08/09	08/09		4,000	4,000	05/23/2009	4,000	4,000		
Vallejo	SOL010027	6	STP-T3-3-LSR-SF	STPL	5030045	Vallejo - Lemon Street Rehabilitation (CON)	08/09	08/09	672,000		672,000	03/05/2009	672,000	672,000		
Vallejo	SOL050048	4	CMAQ-T3-2-TLC-HIP			Downtown Vallejo Pedestrian Enhancements.- Ph I (CON)	08/09	08/09		580,000	580,000			580,000		
Solano County Totals									672,000	7,234,000	7,906,000		672,000	2,189,997	2,861,997	5,044,003

Metropolitan Transportation Commission

STP/CMAQ Obligation Status Report

Fiscal Years: FY 08/09

June 03, 2009

Sponsor	TIP ID	Ver	Fund Code	Federal Proj Info			Fund Programming Information			Obligation Information						
				Prefix	Proj ID	Project Name	Appn FY	Prog FY	STP Amount	CMAQ Amount	Total Amount	Date	STP Amount	CMAQ Amount	Total Amount	Balance Remaining
Sonoma County																
Cotati	SON050032	3	STP-T3-3-LSR-SF			Cotati - Old Redwood Highway South Rehab (CON)		08/09								
Healdsburg	SON050017	4	CMAQ-T3-3-RBP-CO	CML	5027013	Healdsburg Foss Creek Bicycle/Ped Pathway (PE)	08/09	08/09		149,000	149,000	04/18/2009		149,000	149,000	
MTC	SON050025	4	CMAQ-T3-3-TLC-HIP			SMART Regional Bike/Ped Path: Ph. III (CON)		08/09								
Santa Rosa	SON050036	3	STP-T3-3-LSR-SF	STPL	5028051	Santa Rosa - Various Streets Rehabilitation (CON)	08/09	08/09	2,008,000		2,008,000	03/30/2009	2,008,000		2,008,000	
Santa Rosa	SON070006	3	CMAQ-T3-3-TLC-HIP		5028044	Santa Rosa Courthouse Square Enhancements (CON)	08/09	08/09		434,000	434,000	01/16/2009		434,000	434,000	
Santa Rosa	SON070017	2	CMAQ-T3-3-RBP-CO	CML	5028052	Piner Road Pathway/Stony Circle Sidewalk (CON)	08/09	08/09		235,000	235,000				235,000	
Sebastopol	SON070015	2	CMAQ-T3-3-RBP-CO	CML	5123013	Street Smart Sebastopol Phase 2 (CON)	08/09	08/09		485,000	485,000	05/27/2009		485,000	485,000	
Sonoma County	SON070018	2	CMAQ-T3-3-RBP-CO	CML	5920112	Western Avenue Bike Ped. Project (CON)	08/09	08/09		429,000	429,000	05/09/2009		429,000	429,000	
Windsor	SON070019	3	CMAQ-T3-3-RBP-CO			Windsor Road Ped & Bike Gap Closure (CON)	08/09	08/09								
Sonoma County Totals									2,008,000	1,732,000	3,740,000		2,008,000	1,497,000	3,505,000	235,000
Report grand									58,459,360	110,232,827	168,692,187		54,967,146	56,472,431	111,439,577	57,252,610



METROPOLITAN
TRANSPORTATION
COMMISSION

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Memorandum

TO: Local Streets and Roads Working Group

DATE: June 12, 2009

FR: Marcella Aranda

RE: Federal Inactive Obligations List – March 2009 List and June and September 2009 Look Ahead

Federal regulations require that agencies receiving federal funds invoice against their obligations at least once every six months. Projects that do not have invoicing 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 receive either an invoice or a valid justification for inactivity. A current list of projects to be deobligated can be found online at <http://www.dot.ca.gov/hq/LocalPrograms/Inactiveprojects.htm>.

Previous memos included additional information on how to justify project delays to Caltrans and FHWA, as well as how to check the status of your invoice (via LPAMS, <http://lpams.dot.ca.gov>). Caltrans Local Assistance posts the quarterly inactive list, as well as future at-risk look-ahead reports online at <http://www.dot.ca.gov/hq/LocalPrograms/Inactiveprojects.htm>.

The March 2009 Inactive List was released on April 17, 2009. An updated list as of May 29, 2009 has been included as Attachment B. Projects on the March list should have submitted an invoice or justification and appropriate documentation by **May 22, 2009**. Projects that did not meet these deadlines will be deobligated by FHWA. The June 2009 Inactive List is expected to be released by the end of July, and will be distributed via email to the Working Group shortly thereafter.

Also attached for review are the Look Ahead reports for June 2009 and September 2009, which includes projects that will become inactive if these projects do not have an invoice paid in time. Note: if there has been invoicing activity on these projects since March, they may no longer be in jeopardy. Please ensure that your jurisdictions' projects do not end up on this list. FHWA is required to deobligate federal funds if they do not receive an invoice or justification within the prescribed timeframe.

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

Attachments:

- A. Letter from Denix Anbiah re: March 2009 Inactive Obligation Listing, April 17, 2009
- B. Bay Area Region Inactive Project Listing for March 2009, rev May 29, 2009
- C. Bay Area Region Inactive Project Listing Look Ahead for June 2009, rev May 22, 2009
- D. Bay Area Region Inactive Project Listing Look Ahead for September 2009, rev April 23, 2009

DEPARTMENT OF TRANSPORTATION

DIVISION OF LOCAL ASSISTANCE – M.S. 1

1120 N STREET

P. O. BOX 942874

SACRAMENTO, CA 94274-0001

PHONE (916) 653-1776

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TTY 711

*Flex your power!
Be energy efficient!*

April 17, 2009

To: Metropolitan Planning Organizations
Regional Transportation Planning Agencies
Local Transportation Commissions
Public Works Directors of All Cities and Counties in California

Dear Executive Director:

Subject: Potential loss of Federal Funds
Quarterly Review of Inactive Obligations – Quarter Ending March 31, 2009

The California Department of Transportation (Caltrans) has started the quarterly review process of inactive obligations for the quarter period from January 1, 2009 to March 31, 2009 as required under 23CFR 630.106 (http://www.access.gpo.gov/nara/cfr/waisidx_06/23cfr630_06.html). The list of currently inactive obligations is available for review on the Division of Local Assistance website at <http://www.dot.ca.gov/hq/LocalPrograms/Inactiveprojects.htm>. This list will be updated regularly as to the status of each of these projects. A summary of the inactive projects listed by local agency is enclosed for your reference. To prevent the potential deobligation and/or loss of unexpended federal funds, the local agencies must do one the following:

1. Submit a complete and correct invoice for eligible expenditures to Caltrans Local Program Accounting (LPA) with an electronic copy to chris_jensen@dot.ca.gov by **May 22, 2009**.
2. Identify unneeded project funds and submit deobligation requests to the District Local Assistance Engineer (DLAE) by **May 22, 2009**. Process project final closeout, if applicable.
3. Submit a complete justification form (available on the website) along with all backup documentation to DLAE by **May 22, 2009** for projects that do not have eligible expenditures to be invoiced or do not have unneeded funds to be deobligated.

In addition to the procedure changes implemented for June 2008 quarterly review (see letter dated July 31, 2008), the Federal Highway Administration (FHWA) has implemented the following changes immediately:

1. FHWA will only consider justifications in the following categories:
 - right of way delay
 - environmental approval
 - litigation
 - final invoice
 - program specific issue that are related to special projects

Metropolitan Planning Organizations, et al.
April 17 2009
Page 2

2. After FHWA reviews all the inactive projects, FHWA will direct Caltrans to deobligate unexpended federal funds for any inactive projects that do not have a valid financial transaction, valid invoice or approved justification.
3. Caltrans shall complete the deobligation of unexpended federal funds within 90 days after the review period. For the current review period, deobligations must be completed by June 30, 2009.

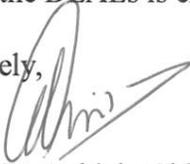
Local Agencies that have an indirect cost rate proposal awaiting approval by the Caltrans' Division of Audits should continue to submit invoices for eligible direct cost until the indirect cost rate proposal is approved.

In addition to the currently inactive local projects, "Look Ahead Reports" are also available on the website. The Look Ahead Reports include projects that will become inactive by the end of June 2009 (3-Month Look Ahead Report), the end of September 2009 (6-Month Look Ahead Report), and by the end of December 2009 (9-Month Look Ahead Report), if no expenditures are billed. These reports provide an opportunity for local agencies to be proactive in preventing projects from becoming inactive and the potential loss of federal funds. Projects on the 3-Month Look Ahead Report are being monitored for financial transactions to reduce the number of projects that would become inactive for the next quarterly review.

Please work with your district and local agencies to ensure all the inactive projects are made active by either invoicing or deobligating excess funds. Our goal is to help local agencies prevent their projects from becoming inactive. We do not want to depend on FHWA approval of a justification to keep projects from being deobligated.

If you have any questions regarding the quarterly review process, please contact your DLAE. A list of the DLAEs is enclosed for your reference.

Sincerely,



Denix D. Anbiah, Chief
Division of Local Assistance

Enclosure

cc: District Local Assistance Engineers
Deputy District Directors for Local Assistance

**Inactive List for March 2009 Quarterly Review
(Review Period 01/01/09 - 03/31/09)
District 4**

Project No	County	Responsible Agency	Description	Auth Date	Expenditure Date	Total Proj Cost	Federal Funds (from Budgets)	Expended	Unexpended Funds	First Qtrly Review Appearance (yyyy-mm)	LPAMS Action I=Invoiced F= In Final Voucher Process R= Rejected Invoice A = Approved Invoice	FMIS Action: C= Closed D=De-Obligated E=FMIS Error I=Invoiced W=Withdrawn	Documentation Received I=Progress Invoice D=De-obligation J=Justification N/A=Docs. not reqd. X=Docs. Needed	Agency Action Required (as of 04/28/09)
4430004	Ala	Alameda County	PALOMARES ROAD @ MM 8.70 . , EMERGENCY OPENING & PRE. RESTORATIO	12/17/05		\$89,900.00	\$87,010.00	\$0.00	\$87,010.00	2009-03	A	N/A	N/A	Invoice approved by State; Monitor for FMIS transaction.
5933074	Ala	Alameda County	VASCO RD BETWEEN LIVERMORE AND CC COUNTY LINE , ROADWAY ALIGNMENT AND ROW .	05/12/05	02/22/08	\$5,400,000.00	\$3,900,000.00	\$3,900,000.00	\$0.00	2009-03	A	N/A	N/A	Invoice approved by State; monitor for FMIS transaction.
5933074	Ala	Alameda County	VASCO RD BETWEEN LIVERMORE AND CC COUNTY LINE , ROADWAY ALIGNMENT AND ROW .	05/12/05	02/22/08	\$286,382.00	\$136,876.00	\$0.00	\$136,876.00	2009-03	A	N/A	N/A	Invoice approved by State; monitor for FMIS transaction.
5933074	Ala	Alameda County	VASCO RD BETWEEN LIVERMORE AND CC COUNTY LINE , ROADWAY ALIGNMENT AND ROW .	05/12/05	02/22/08	\$19,562,764.00	\$9,350,000.00	\$0.00	\$9,350,000.00	2009-03	A	N/A	N/A	Invoice approved by State; monitor for FMIS transaction.
5933074	Ala	Alameda County	VASCO RD BETWEEN LIVERMORE AND CC COUNTY LINE , ROADWAY ALIGNMENT AND ROW .	05/12/05	02/22/08	\$1,190,926.00	\$433,202.00	\$0.00	\$433,202.00	2009-03	A	N/A	N/A	Invoice approved by State; monitor for FMIS transaction.
5322025	Ala	Fremont	AT VARIOUS SPOT INTERSECTIONS, TRAFFIC SIGNAL CONTROLLERS	07/01/01	01/03/06	\$720,000.00	\$312,000.00	\$282,779.45	\$29,220.55	2009-03	N/A	N/A	X	No documentation rec'd; submit invoice or justification form by 5/22/09.
6084091	Ala	Metropolitan Transportation Commission	VARIOUS MTC COUNTIES . , TRAVELER INFORMATION FY 04/05 .	08/10/04	09/26/06	\$5,986,672.00	\$5,300,000.00	\$5,050,537.31	\$249,462.69	2008-09	A	I	N/A	Confirmed FMIS transaction; no further action req'd.
5317012	Ala	Newark	THORNTON AVENUE/CEDAR BLVD INTERSECTION , GROOVE PAVEMENT	01/19/06		\$22,000.00	\$19,800.00	\$0.00	\$19,800.00	2009-03	N/A	N/A	X	No documentation rec'd; submit invoice or justification form by 5/22/09.
5041029	Ala	San Leandro	E. 14TH ST. , MEDIAN IMPROVEMENT & LIGHTING	11/27/07		\$858,615.00	\$623,629.00	\$0.00	\$623,629.00	2008-12	N/A	N/A	J	Justification form submitted and reviewed; will present to FHWA at quarterly mtg.
5135003	CC	Concord	04-CC-242-R1.2/2.4, CITY OF CONCORD, CONCORD , AVE TO GRANT, MOD. I/C, ADD AUX. LN	03/01/94	10/16/06	\$8,034,920.00	\$6,000,000.00	\$5,899,828.48	\$100,171.52	2008-12	I	N/A	I	Invoice rec'd by State; awaiting approval. Monitor progress.
5137021	CC	Richmond	WESTSIDE OF RICHMOND BART/AMTRAK STATION, CONSTRUCT NEW PEDESTRIAN PLAZA	03/01/00	12/09/05	\$847,171.00	\$750,000.00	\$646,269.00	\$103,731.00	2007-12	N/A	D	N/A	Confirmed FMIS transaction; no further action req'd.

**Inactive List for March 2009 Quarterly Review
(Review Period 01/01/09 - 03/31/09)
District 4**

Project No	County	Responsible Agency	Description	Auth Date	Expenditure Date	Total Proj Cost	Federal Funds (from Budgets)	Expended	Unexpended Funds	First Qtrly Review Appearance (yyyy-mm)	LPAMS Action I=Invoiced F= In Final Voucher Process R= Rejected Invoice A = Approved Invoice	FMIS Action: C= Closed D=De-Obligated E=FMIS Error I=Invoiced W=Withdrawn	Documentation Received I=Progress Invoice D=De-obligation J=Justification N/A=Docs. not reqd. X=Docs. Needed	Agency Action Required (as of 04/28/09)
5137025	CC	Richmond	VARIOUS LOCATIONS , INSTALL PED. CROSS WALK LIGHT	09/10/02	10/11/06	\$203,000.00	\$182,700.00	\$675.00	\$182,025.00	2008-12	N/A	N/A	X	No documentation rec'd; submit invoice or justification form by 5/22/09.
5137027	CC	Richmond	RICHMOND TRANSIT STATION/NEVIN PLAZA , CONSTRUCT TRANSIT STATION	09/09/02	02/05/08	\$3,690,250.00	\$1,579,000.00	\$532,701.73	\$1,046,298.27	2009-03	N/A	N/A	X	No documentation rec'd; submit invoice or justification form by 5/22/09.
5137027	CC	Richmond	RICHMOND TRANSIT STATION/NEVIN PLAZA , CONSTRUCT TRANSIT STATION	09/09/02	02/05/08	\$2,073,750.00	\$575,000.00	\$172,708.41	\$402,291.59	2009-03	N/A	N/A	X	No documentation rec'd; submit invoice or justification form by 5/22/09.
5225019	CC	Walnut Creek	TREAT BLVD - SHEPPARD ROAD TO BANCROFT ROAD , ROADWAY REHABILITATION	03/22/08		\$1,097,709.00	\$540,000.00	\$0.00	\$540,000.00	2009-03	A	N/A	I	Invoice approved by State; Monitor for FMIS transaction.
5232008	Mrn	Corte Madera	CORTE MADERA AVE. IN CORTE MADERA, CA , NEW SIDEWALK AND DRAINAGE, RET WALL	03/06/07		\$129,549.00	\$80,000.00	\$0.00	\$80,000.00	2009-03	I	N/A	I	Copy of invoice rec'd from Agency. Will provide to FHWA at Quarterly meeting.
5470003	Nap	American Canyon	ELLIOTT ST FR DONALDSON SOUTH TO CITY LIMITS , REHABILITATION	08/23/06		\$619,550.00	\$200,000.00	\$0.00	\$200,000.00	2008-09	N/A	N/A	X	No documentation rec'd; submit invoice or justification form by 5/22/09.
5042026	Nap	Napa	SEMINARY ST. BRIDGE OVER NAPA CREEK., BRIDGE RAIL REPLACEMENT	07/01/00	01/30/07	\$63,500.00	\$56,216.00	\$0.00	\$56,216.00	2009-03	N/A	N/A	I	Copy of invoice rec'd from Agency. Will provide to FHWA at Quarterly meeting.
5042026	Nap	Napa	SEMINARY ST. BRIDGE OVER NAPA CREEK., BRIDGE RAIL REPLACEMENT	07/01/00	01/30/07	\$75,000.00	\$66,397.00	\$66,396.85	\$0.15	2009-03	N/A	N/A	I	Copy of invoice rec'd from Agency. Will provide to FHWA at Quarterly meeting.
5034012	SCI	Gilroy	MONTEREY STREETSCAPE BETWEEN 4TH & 6TH STREET , STREETSCAPES IMPROVEMENT	08/16/05	01/29/07	\$2,823,902.00	\$2,500,000.00	\$2,450,000.00	\$50,000.00	2009-03	N/A	N/A	X	No documentation rec'd; submit invoice or justification form by 5/22/09.
5937097	SCI	Santa Clara County	AT VARIOUS LOCATIONS IN SANTA CLARA COUNTY , BIENNIAL BRIDGE INSPECT./MANAGEMENT	10/14/04	02/08/07	\$352,650.00	\$282,120.00	\$176,634.09	\$105,485.91	2009-03	F	N/A	N/A	In Final Voucher process; awaiting decision if more docs req'd; monitor progress.
5213020	SCI	Sunnyvale	TASMAN LIGHT RAIL VICINITY , PEDESTRIAN ACCESS IMPROVEMENT	09/06/02	11/28/06	\$533,007.00	\$471,870.00	\$397,446.08	\$74,423.92	2008-12	N/A	D	N/A	Project deobligated in FMIS; no further action req'd.

**Inactive List for March 2009 Quarterly Review
(Review Period 01/01/09 - 03/31/09)
District 4**

Project No	County	Responsible Agency	Description	Auth Date	Expenditure Date	Total Proj Cost	Federal Funds (from Budgets)	Expended	Unexpended Funds	First Qtrly Review Appearance (yyyy-mm)	LPAMS Action I=Invoiced F= In Final Voucher Process R= Rejected Invoice A = Approved Invoice	FMIS Action: C= Closed D=De-Obligated E=FMIS Error I=Invoiced W=Withdrawn	Documentation Received I=Progress Invoice D=De-obligation J=Justification N/A=Docs. not reqd. X=Docs. Needed	Agency Action Required (as of 04/28/09)
6003031	SF	San Francisco County	GOLDEN GATE BRIDGE , SEISMIC RETROFIT-PHASE 2	09/08/06	02/26/08	\$1,505,631.00	\$1,505,631.00	\$214,172.26	\$1,291,458.74	2009-03	N/A	N/A	X	No documentation rec'd; submit invoice or justification form by 5/22/09.
6003031	SF	San Francisco County	GOLDEN GATE BRIDGE , SEISMIC RETROFIT-PHASE 2	09/08/06	02/26/08	\$751,462.00	\$751,462.00	\$105,487.84	\$645,974.16	2009-03	N/A	N/A	X	No documentation rec'd; submit invoice or justification form by 5/22/09.
L089804	SF	San Francisco County	METRO EAST LINE RAIL MAINT/STORAGE, PE	06/01/93		\$15,000,000.00	\$1,288,050.00	\$0.00	\$1,288,050.00	2006-03	F	N/A	N/A	In Final Voucher process; awaiting decision if more docs req'd; monitor progress.
6342003	SF	University of San Francisco	STATEWIDE PUBLIC EDUCATIONAL PROGRAM , PEDESTRIAN AND BICYCLE EDUCATION	12/13/07		\$885,000.00	\$783,000.00	\$0.00	\$783,000.00	2008-12	N/A	N/A	X	No documentation rec'd; submit invoice or justification form by 5/22/09.
5268009	SM	Belmont	RALSTON AVE - HWY 101 TO GRANADA STREET, ROAD REHABILITATION	08/01/01	01/18/06	\$165,172.00	\$105,000.00	\$94,500.00	\$10,500.00	2009-03	A	N/A	I	Invoice approved by State; Monitor for FMIS transaction.
5268014	SM	Belmont	OLD COUNTY RD.FR. SAMMATEOCO LMT. TO RALSTON , ROAD REHABILITANTION/AC OVERLAY	03/07/07		\$15,814.00	\$14,000.00	\$0.00	\$14,000.00	2009-03	I	N/A	I	Copy of invoice rec'd from Agency. Will provide to FHWA at Quarterly meeting.
5268014	SM	Belmont	OLD COUNTY RD.FR. SAMMATEOCO LMT. TO RALSTON , ROAD REHABILITANTION/AC OVERLAY	03/07/07		\$349,230.00	\$120,000.00	\$0.00	\$120,000.00	2009-03	I	N/A	I	Copy of invoice rec'd from Agency. Will provide to FHWA at Quarterly meeting.
5350013	SM	Pacifica	PALMETTO AVE FR ESPLANADE-BELLA VISTA , AC OVERLAY	03/26/07		\$512,300.00	\$405,000.00	\$0.00	\$405,000.00	2009-03	A	I	N/A	Confirmed FMIS transaction; no further action req'd.
5132023	Sol	Fairfield	TRAVIS BLVD. FROM OLIVER RD. TO N. TEXAS ST. , SIGNAL UPGRADE, TRAFFIC SIGN INSTAL	06/26/05	10/06/06	\$400,000.00	\$360,000.00	\$189,462.19	\$170,537.81	2008-12	I	N/A	X	Invoice rec'd by State; awaiting approval. Monitor progress.
5123010	Son	Sebastopol	Sebastopol: asphalt concrete overlay	03/06/07		\$192,799.00	\$150,000.00	\$0.00	\$150,000.00	2009-03	R	N/A	X	Invoice rejected; correct and return by 5/22/09.
5920036	Son	Sonoma County	SONOMA CREEK (WATMAUGH ROAD) (BR NO 20C-0017) , SEISMIC RETROFIT	09/04/96	12/28/05	\$25,000.00	\$22,132.00	\$22,132.00	\$0.00	2008-12	N/A	N/A	X	No documentation rec'd; submit invoice or justification form by 5/22/09.

**Inactive List for March 2009 Quarterly Review
(Review Period 01/01/09 - 03/31/09)
District 4**

Project No	County	Responsible Agency	Description	Auth Date	Expenditure Date	Total Proj Cost	Federal Funds (from Budgets)	Expended	Unexpended Funds	First Qtrly Review Appearance (yyyy-mm)	LPAMS Action I=Invoiced F= In Final Voucher Process R= Rejected Invoice A = Approved Invoice	FMIS Action: C= Closed D=De-Obligated E=FMIS Error I=Invoiced W=Withdrawn	Documentation Received I=Progress Invoice D=De-obligation J=Justification N/A=Docs. not reqd. X=Docs. Needed	Agency Action Required (as of 04/28/09)
5920036	Son	Sonoma County	SONOMA CREEK (WATMAUGH ROAD) (BR NO 20C-0017) , SEISMIC RETROFIT	09/04/96	12/28/05	\$115,000.00	\$92,000.00	\$43,999.99	\$48,000.01	2008-12	N/A	N/A	X	No documentation rec'd; submit invoice or justification form by 5/22/09.
5920041	Son	Sonoma County	STONY PT.-PEPPER RD TO MECHAM RD., RECONSTRUCTION & WIDENING	08/01/97	01/11/06	\$2,433,790.00	\$1,772,371.00	\$1,772,371.00	\$0.00	2009-03	I	N/A	N/A	Invoice rec'd by State; awaiting approval. Monitor progress.
5920041	Son	Sonoma County	STONY PT.-PEPPER RD TO MECHAM RD., RECONSTRUCTION & WIDENING	08/01/97	01/11/06	\$2,843,912.00	\$2,517,716.00	\$2,508,863.02	\$8,852.98	2009-03	I	N/A	N/A	Invoice rec'd by State; awaiting approval. Monitor progress.
Regional Totals						\$79,856,327.00	\$43,332,182.00	\$24,526,964.70	\$18,805,217.30					

**March 2009 Quarterly Review
3-Months Look Ahead
June 2009**

Project Number	Prefix	County	Responsible Agency	Description	Expenditure Date	Auth Date	Total Cost	Federal Funds	Expended	Unexpended	LPAMS Action I=Invoiced F= In Final Voucher Process R= Rejected Invoice A = Approved Invoice (as of 05/22/09)	FMIS Action: C= Closed D=De- Obligated E=FMIS Error I=Invoiced W=Withdrawn (as of 05/22/09)
6273047	VPPL	Ala	Alameda County Congestion Management Agency	ALAMEDA AND CONTRA COSTA COUNTIES . , OPERATION, MANAGEMENT-SMART CORRID.	6/26/08	6/26/08	\$869,000.00	\$801,000.00	\$0.00	\$801,000.00	N/A	N/A
6000032	STPLZ	Ala	Bay Area Rapid Transit Authority	BART ROCKRIDGE STATION , SEISMIC RETROFIT-AERIAL STRUCTURES	5/22/08	5/22/08	\$1,980,639.00	\$1,753,458.00	\$0.00	\$1,753,458.00	N/A	N/A
6000034	STPLZ	Ala	Bay Area Rapid Transit Authority	NORTH OAKLAND AERIAL STRUCTURES , SEISMIC RETROFIT	6/5/08	6/5/08	\$40,505,647.00	\$35,859,648.00	\$0.00	\$35,859,648.00	N/A	N/A
6000035	STPLZ	Ala	Bay Area Rapid Transit Authority	BART WEST OAKLAND STATION , SEISMIC RETROFIT	6/27/08	6/27/08	\$2,840,734.00	\$2,514,900.00	\$0.00	\$2,514,900.00	N/A	N/A
6084060	CML	Ala	Metropolitan Transportation Commission	BAY AREA TRANSIT SYSTEM , SMART TRANSIT CARD FARE COLLECTION	6/11/07	7/17/02	\$11,670,621.00	\$10,332,000.00	\$10,125,360.00	\$206,640.00	A	N/A
5012084	STPL	Ala	Oakland	CITYWIDE , AC OVERLAY	4/5/08	4/5/08	\$2,808,088.00	\$2,486,000.00	\$0.00	\$2,486,000.00	A	N/A
5012086	CML	Ala	Oakland	DERBY AVE. TO LANCASTER STR. , BAY TRAIL	4/12/08	4/12/08	\$1,637,039.00	\$899,000.00	\$0.00	\$899,000.00	N/A	N/A
5101013	CML	Ala	Pleasanton	I-580 FROM I-238 TO GREENVILLE R. DBLN,PLE,LI , UPRADE INTEGRATION OF FWY & LOCAL	6/19/06	3/26/00	\$4,113,908.00	\$3,223,000.00	\$3,183,921.03	\$39,078.97	N/A	N/A
5041022	HP21L	Ala	San Leandro	E. 14TH ST. , MEDIAN IMPROVEMENT & LIGHTING	5/25/06	9/12/02	\$100,000.00	\$80,000.00	\$80,000.00	\$0.00	N/A	N/A
5038011	CML	CC	Antioch	SR4; BAILEY TO SR4/160 I/C & ADJ. ARTERIALS , SR4 CORRIDOR SIGNAL INTERCONNECT	4/26/07	9/5/00	\$1,242,518.00	\$1,100,000.00	\$860,335.78	\$239,664.22	N/A	N/A
5135019	CML	CC	Concord	TREAT BLVD / CYTN RD / CND AVE / GILINDO ST / , WILLOW PASS RD UPGRADE SIGNALS	4/17/06	9/6/00	\$1,287,241.00	\$1,137,000.00	\$1,114,260.00	\$22,740.00	N/A	N/A
5024009	STPLR	CC	Martinez	MARTINEZ MARINA; FOOT OF NORTH COURT STREET. , CONSTRUCT PASSENGER SHELTER.	4/5/07	8/1/96	\$309,613.00	\$247,690.00	\$18,999.69	\$228,690.31	N/A	N/A
5024021	STPL	CC	Martinez	ALHAMBRA AVE.-APPROX. HWY 4 TO JOHN MUIR ROAD , ROADWAY REHABILITATION	6/6/08	6/6/08	\$609,964.00	\$540,000.00	\$0.00	\$540,000.00	N/A	N/A
5375018	RSTP	CC	Pleasant Hill	CONTRA COSTA BLVD BETH DR. GREGORY LN , RESURFACE AC,	5/24/08	5/24/08	\$922,156.00	\$540,000.00	\$0.00	\$540,000.00	I	N/A
5137026	STPLER	CC	Richmond	FILBERT ST. FROM CHESLEY AVE. TO VERNON AVE. , SIDEWALK AND ROADWAY IMPROVEMENT	6/12/07	4/18/03	\$2,564,792.00	\$2,000,000.00	\$1,630,581.60	\$369,418.40	N/A	N/A

**March 2009 Quarterly Review
3-Months Look Ahead
June 2009**

Project Number	Prefix	County	Responsible Agency	Description	Expenditure Date	Auth Date	Total Cost	Federal Funds	Expended	Unexpended	LPAMS Action I=Invoiced F= In Final Voucher Process R= Rejected Invoice A = Approved Invoice (as of 05/22/09)	FMIS Action: C= Closed D=De- Obligated E=FMIS Error I=Invoiced W=Withdrawn (as of 05/22/09)
5137032	STPL	CC	Richmond	RICHMOND BART ST MACDONALD AVE AND 16TH ST. , IMPROVEMENT BUS SHELTER & PARKING	5/13/08	12/14/04	\$977,636.00	\$865,500.00	\$8,853.00	\$856,647.00	N/A	N/A
5437017	STPL	CC	San Ramon	SAN RAMON BLVD CROW CANYON TO NORRIS CANYON , RESURFACE AC,	5/24/08	5/24/08	\$884,532.00	\$540,000.00	\$0.00	\$540,000.00	N/A	N/A
5277018	STPLH	Mrn	Fairfax	SFD BLVD., MARIN & OAK TREE LANE , INSTALL LIGHTING, BEACONS SIGNINGS	6/27/07	6/27/07	\$120,175.00	\$108,157.00	\$0.00	\$108,157.00	N/A	N/A
5470005	STPL	Nap	American Canyon	AMERICAN CANYON RD FR FLOSDEN TO AM CYN CR BR , REHABILITATION	6/20/07	6/20/07	\$661,058.00	\$287,000.00	\$0.00	\$287,000.00	N/A	N/A
6204065	CML	Nap	Caltrans	IN NAPA & SOLANO CNTYS SR12 BET SR29 & I-80 , REHAB & EXPAND FR TWO TO FOUR LANES	5/28/08	3/18/08	\$9,281,385.00	\$2,500,000.00	\$1,400,000.00	\$1,100,000.00	N/A	N/A
5042012	BRLO	Nap	Napa	FIRST ST BRIDGE @ NAPA CRK (BR # 21C-0096) , BRIDGE REPLACEMENT	6/11/07	7/30/96	\$9,914,771.00	\$7,871,817.00	\$7,678,820.38	\$192,996.62	N/A	N/A
5152014	STPLHSR	SCI	Morgan Hill	MONTEREY RD. AND CENTRAL AVE.INTERSECTION , PED SAFETY IMPROVE, RADAR SPEED DIS	5/9/06	7/8/05	\$188,100.00	\$169,290.00	\$169,289.99	\$0.01	N/A	N/A
5005085	HPLUL	SCI	San Jose	SANTA CLARA COUNTY , TRASPOT INCIDENT MANAGE CENTER	4/19/08	4/19/08	\$1,562,500.00	\$1,250,000.00	\$0.00	\$1,250,000.00	R	N/A
5937103	STPL	SCI	Santa Clara County	COUNTY NON-EXPRESSWAYS - VARIOUS LOCATIONS . , ROAD REHABILITATION & OVERLAY	4/2/07	2/18/06	\$804,247.00	\$712,000.00	\$558,295.80	\$153,704.20	N/A	N/A
5937115	STPL	SCI	Santa Clara County	SEE STATE REMARK FOR THE STREETS , ROAD REHAB AND OVERLAY	5/17/08	5/17/08	\$961,257.00	\$851,000.00	\$0.00	\$851,000.00	A	N/A
6264036	STPL	SCI	Santa Clara Valley Transportation Authority	SR 87 (BRANHAM LANE TO JULIAN ST) , LANDSCAPING	4/2/08	4/2/08	\$3,283,000.00	\$2,520,000.00	\$0.00	\$2,520,000.00	I	N/A
6204038	STPLN	SM	Caltrans	SR101 FROM RALSTON AVE TO HILLSDALE BLVD , CONSTRUCT NB AUXILIARY LANE	5/25/07	7/25/00	\$9,350,312.00	\$4,832,422.00	\$4,416,435.79	\$415,986.21	N/A	N/A
6014005	CML	SM	San Mateo County Transit District	EL CAMINO REAL , PRELIMINARY PLANNING	4/15/07	4/15/07	\$500,000.00	\$400,000.00	\$0.00	\$400,000.00	I	N/A
5132029	CML	Sol	Fairfield	LINEAR PARK BETWEEN N. TEXAS ST. & DOVER AVE. , PEDSTRIAN AND BIKE PATH	4/18/07	4/18/07	\$415,824.00	\$330,000.00	\$0.00	\$330,000.00	N/A	N/A

**March 2009 Quarterly Review
3-Months Look Ahead
June 2009**

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5094029	CML	Sol	Vacaville	VARIOUS LOCATIONS IN VACAVILLE AND DIXON , LEASING OF ELECTRIC VEHICLES AND **	6/13/06	9/8/02	\$795,000.00	\$650,000.00	\$640,000.00	\$10,000.00	N/A	N/A
5379014	CML	Son	Rohnert Park	STATE FARM DRIVE TO CITY CENTER PLAZA , CITY CENTER PLAZA & PED IMPROVEMENT	5/3/08	5/3/08	\$2,205,722.00	\$1,150,000.00	\$0.00	\$1,150,000.00	I	N/A
4442087	ER	Son	Sonoma County	13 Locations in Sonoma County - Emergency Openings	5/14/08	5/14/08	\$559,393.00	\$534,592.00	\$0.00	\$534,592.00	N/A	N/A
5114013	STPL	Son	Sonoma County	ANDRIEUX ST - BROADWAY TO 5TH, PAVEMNT REHAB , ROADWAY REHABILITATION	4/20/07	4/20/07	\$325,221.00	\$150,000.00	\$0.00	\$150,000.00	N/A	N/A
5920034	STPLZ	Son	Sonoma County	VARIOUS LOCATIONS (SEE STATE COMMENTS), SEISMIC RETROFIT	6/7/06	9/1/96	\$50,000.00	\$44,265.00	\$39,838.50	\$4,426.50	N/A	N/A
5920043	STPLX	Son	Sonoma County	DUTCHER CREEK RD. ON DUTCHER CREEK, REPLACE BR RAIL & WIDEN(20C-0411)	6/9/06	12/1/97	\$17,000.00	\$15,049.00	\$15,048.94	\$0.06	N/A	N/A
5472008	RPSTPLE	Son	Windsor	MCCLELAND RODATA INTERSECTIONS , WINDSOR ROAD PEDESTRIAN ENHANCEMENT	6/27/07	6/27/07	\$235,000.00	\$208,045.00	\$0.00	\$208,045.00	N/A	N/A
				Regional Total			\$116,554,093.00	\$89,502,833.00	\$31,940,040.50	\$57,562,792.50		

**March 2009 Quarterly Review
6-Months Look Ahead Report
Quarter Ending September 2009**

LSRWG - 06/12/09: Item 3B (D)
Data as of: 4/23/09

Project Number	County	Responsible Agency	Description	Expenditure Date	Auth Date	Total Cost	Federal Funds	Expended	Unexpended
5933028	Ala	Alameda County	OAKLAND ESTUARY (FRUITVALE AV) BR NO 33C-0147, SEISMIC RETROFIT	7/11/06	9/1/96	\$25,000.00	\$22,132.00	\$16,841.30	\$5,290.70
5933030	Ala	Alameda County	VARIOUS LOCATIONS (SEE STATE COMMENTS), SEISMIC RETROFIT	7/7/06	9/1/96	\$50,000.00	\$44,265.00	\$15,664.54	\$28,600.46
5933083	Ala	Alameda County	INTERSECT. @ CASTRO VALLY BLVDV. & MATTOX RD. , INTERSECTION SAFTY IMPROVMENT .	7/27/07	7/27/07	\$400,000.00	\$360,000.00	\$0.00	\$360,000.00
6000038	Ala	Bay Area Rapid Transit Authority	BART DALY CITY STATION , SEISMIC RETROFIT	9/17/08	9/17/08	\$653,154.00	\$578,236.00	\$0.00	\$578,236.00
5057026	Ala	Berkeley	WEST STREET- BETWEEN UNIV. AVE.& DELAWARE ST. , BIKE LANE, PED. PATH & LANDSCAPE .	7/3/07	2/27/04	\$1,210,568.00	\$1,000,000.00	\$811,726.89	\$188,273.11
6204073	Ala	Caltrans	I-680 FROM RTE 237 TO STONRIDGE DR. . , CONSTRUCT HOV LANE. .	8/5/08	8/5/08	\$50,791,250.00	\$1,373,150.00	\$0.00	\$1,373,150.00
6328015	Ala	City & County of San Francisco, MTA / Dept of Parking & Traffic	SAN FRANCISCO DOWNTOWN , IMP. VAR PRIC PRG USING TET TOLLSYS	7/28/08	7/28/08	\$23,000,000.00	\$18,400,000.00	\$0.00	\$18,400,000.00
6084101	Ala	Metropolitan Transportation Commission	BAY AREA , CMA PLANNING ACTIVITIES FY 04/05 .	7/3/07	8/12/04	\$4,602,963.00	\$4,075,000.00	\$3,924,999.93	\$150,000.07
6084133	Ala	Metropolitan Transportation Commission	CITY AND COUNTY OF SAN FRANCISCO , VALUE PRICING PILOT (VPP)	9/17/07	9/17/07	\$545,000.00	\$436,000.00	\$0.00	\$436,000.00
6097009	Ala	San Francisco International Airport	SAN FRANCISCO INTERNATIONAL AIRPORT , SEISMIC RETROFIT	9/15/08	9/15/08	\$25,087,073.00	\$22,209,586.00	\$0.00	\$22,209,586.00
5038016	CC	Antioch	SOMERSVILLE ROAD BRIDGE NO. 28C-0201 , BRIDGE REPLACEMENT	7/29/08	5/14/02	\$2,211,218.00	\$1,923,895.00	\$350,058.40	\$1,573,836.60
5928032	CC	Contra Costa County	DELTA ROAD BRIDGE @ ROCK SLOUGH, BRIDGE REPLACEMENT	9/26/06	9/1/97	\$950,000.00	\$760,000.00	\$738,683.71	\$21,316.29
5928082	CC	Contra Costa County	BOULEVARD WAY OVER LAS TRAMPAS CREEK , BRIDGE SCOUR REPAIR/COUNTERMEASURE	9/12/07	9/12/07	\$64,000.00	\$56,659.00	\$0.00	\$56,659.00
5117007	CC	Hercules	SAN PABLO AVE SYCAMORE AVE, WILLOW AVE , AC OVERLAY REHAB	8/28/07	8/23/06	\$677,737.00	\$600,000.00	\$543,646.05	\$56,353.95
5024016	CC	Martinez	BR @ GREEN ST (28C-0370) & WARD ST (28C-0406), BRIDGE RAIL REPLACEMENT	7/28/06	12/1/00	\$17,000.00	\$15,050.00	\$2,145.32	\$12,904.68
5415007	CC	Moraga	ASCOT DR. AND MORAGA ROAD , INSTALL TRAFFIC SIGNAL	8/29/08	9/12/07	\$668,301.00	\$601,470.00	\$90,000.00	\$511,470.00
5927064	Mrn	Marin County	MARIN PARKLANDS VISITOR ACCESS , WETLAND AND CREEK RESTORATION	7/3/08	7/3/08	\$544,822.00	\$544,822.00	\$0.00	\$544,822.00
5043019	Mrn	San Rafael	MEDWAY--FRANCISCO E. AND CANAL STREET , BEAUTIFY ST. S.W. PLANT TREES ETC.	8/21/08	4/9/03	\$1,647,205.00	\$1,530,600.00	\$783,725.99	\$746,874.01
6406005	Mrn	Transportation Authority of Marin	SR101-- MARIN SONOMA NARROWS , SAFETY LU DEMO HOVE LANES IN MARIN	9/4/08	9/14/07	\$951,000.00	\$841,500.00	\$133,218.83	\$708,281.17
5921039	Nap	Napa County	ON LAS AMIGAS RD FR CUTTINGS WHARF TO MILTON , CONSTRUCT CLASS II BIKE LANE	8/14/07	8/14/07	\$436,565.00	\$276,213.00	\$0.00	\$276,213.00

**March 2009 Quarterly Review
6-Months Look Ahead Report
Quarter Ending September 2009**

Project Number	County	Responsible Agency	Description	Expenditure Date	Auth Date	Total Cost	Federal Funds	Expended	Unexpended
5152017	SCI	Morgan Hill	WEST LITTLE LLAGAS CREEK , BIKE TRAIL	8/6/08	8/6/08	\$614,101.00	\$543,000.00	\$0.00	\$543,000.00
5005087	SCI	San Jose	COYOTE CREEK TRAIL (SR237 TO STORY RD) , BIKE/PED TRAIL	7/3/08	7/3/08	\$1,647,500.00	\$1,317,999.00	\$0.00	\$1,317,999.00
5937046	SCI	Santa Clara County	STEVENS CRK. BR. ON STEVENS CANYON RD.37C-576 , BRIDGE REPLACEMENT	7/23/08	12/11/97	\$2,166,100.00	\$1,885,235.00	\$200,799.88	\$1,684,435.12
5937047	SCI	Santa Clara County	STEVENS CRK. BR. ON STEVENS CANYON RD.37C-577 , BRIDGE REPLACEMENT	7/23/08	12/11/97	\$2,250,800.00	\$1,960,219.00	\$176,799.84	\$1,783,419.16
5332012	SCI	Saratoga	DEANZA TRAIL BET SUNNYVALE&SARATOGA , BIKE AND PEDESTRIAN FACILITIES	8/6/08	8/6/08	\$1,400,000.00	\$1,400,000.00	\$0.00	\$1,400,000.00
5213029	SCI	Sunnyvale	SUNNYVALE: TASMAN-FAIR OAKS , BICYCLE/PEDESTRIAN IMPROVEMENTS	8/13/08	8/13/08	\$1,809,000.00	\$1,601,507.00	\$0.00	\$1,601,507.00
6003017	SF	Golden Gate Bridge, Highway And Transportation District	GOLDEN GATE BRIDGE , SEISMIC RETROFIT PHASE III	9/12/08	9/7/01	\$20,173,270.00	\$20,173,270.00	\$4,551,283.48	\$15,621,986.52
5053016	SF	Livermore	DOWNTOWN LIVERMORE PEDESTRIAN TRANSIT CENTER , LANDSCAPED PED. WALKWAY/ PATH	9/4/08	11/9/07	\$1,161,539.00	\$1,028,309.00	\$16,339.76	\$1,011,969.24
5934097	SF	San Francisco County	CIVIC CENTER PLAZA BET.LEAVENWORTH AND HYDE , LANDSCAPING, LIGHTING, ETC.	9/26/06	8/18/00	\$936,325.00	\$936,325.00	\$936,325.00	\$0.00
7500100	SM	San Mateo	CITY OF SAN MATEO, USDOT #754900Y,903U,904B , GRADE CROSSING HAZARD ELIMINATION	8/21/08	8/21/08	\$1,390,000.00	\$1,390,000.00	\$0.00	\$1,390,000.00
5132026	Sol	Fairfield	WOOLNER AVE.FROM ENTERPRISE DR. TO SHELDON ES , SIDEWALK IMPROVEMENT	9/12/07	9/12/07	\$65,000.00	\$53,100.00	\$0.00	\$53,100.00
5032011	Sol	Suisun City	VARIOUS LOCATIONS THROUGHOUT CITY, STRIPING FOR BIKE LANES	8/25/06	8/1/01	\$44,980.00	\$35,000.00	\$19,731.17	\$15,268.83
5027009	Son	Healdsburg	HEALDSBURG AVENUE , HEALDSBURG AVENUE REHABILITATION	7/11/07	7/11/07	\$374,080.00	\$240,000.00	\$0.00	\$240,000.00
5920048	Son	Sonoma County	RIVERSIDE DRIVE @ SONOMA CRK (BR # 20C-0009) , REPLACE BRIDGE (SEISMIC STRATEGY)	8/17/07	4/24/98	\$4,612,165.00	\$3,698,260.00	\$3,622,625.40	\$75,634.60
5920101	Son	Sonoma County	KINLEY DRIVE , UPGRADE METAL BEAM GUARDRAIL	8/17/07	4/4/06	\$170,600.00	\$131,400.00	\$22,500.00	\$108,900.00
5920102	Son	Sonoma County	VARIOUS LOCATIONS , DEVELOP BPMP	9/8/06	9/8/06	\$15,000.00	\$13,279.00	\$0.00	\$13,279.00
Regional Totals						\$153,363,316.00	\$92,055,481.00	\$16,957,115.49	\$75,098,365.51

As presented to the Legislation Committee on June 5, 2009



METROPOLITAN
TRANSPORTATION
COMMISSION

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Memorandum

TO: Legislation Committee

DATE: June 5, 2009

FR: Executive Director

RE: FY 2009-10 State Budget Update

California voters' resounding rejection of the May 19 special election measures has forced Sacramento legislators back to the drawing board to solve what is now estimated to be a \$21 billion budget shortfall. Approximately \$9.5 billion of this shortfall is due to the rejection of the measures, while roughly \$12.5 billion is due to lower revenue projections in the current year and FY 2009-10.

The Administration's May Revise of the FY 2009-10 Budget includes \$5.5 billion in borrowing with revenue anticipation warrants (RAWs), \$5.3 billion in cuts to K-14 education, and \$2 billion in local government revenue loans to be repaid with interest in three years under the provisions of Proposition 1A (2004). With regard to transportation, the Administration proposes:

- For FY 2009-10, transferring \$986 million in local gas tax subventions (otherwise available for local streets and roads) to the General Fund to offset transportation debt service costs pursuant to Article XIX, Section 5 of the Constitution, which the Administration believes allows up to 25 percent of the state's *total* fuel tax revenue (including the local share) to be used for this purpose. For FY 2010-11 and beyond, diverting about \$750 million annually from local gas tax subventions to offset transportation bond debt service.
- Transferring an additional \$336 million in unanticipated spillover funds (due to higher gasoline prices) to the General Fund to cover transportation debt service costs.

The Legislative Analyst's Office recommended an alternative approach whereby the state would borrow, rather than simply redirect, local gas tax subvention funds and repay them with interest within three years. The LAO also recommended partial suspension of Proposition 42 in FY 2009-10.

The proposed redirection of local gas tax subvention funds would result in a \$184 million loss in funding for Bay Area cities and counties in FY 2009-10 and almost \$140 million in FY 201-11 and beyond, as shown in Attachment 1. Staff will closely monitor the budget negotiations, particularly the proposal to reduce local streets and road funding, and work to minimize the impact on projects already underway, particularly those that are partially funded by federal American Recovery and Reinvestment Act funds, and thus subject to strict deadlines in order to retain access to the funds.

//Steve Heminger//

Steve Heminger
Executive Director

Item 5, Attachment A

Bay Area Impact of Proposed Diversion of Local Gas Tax Subvention Funds

(Dollars in thousands)

TOTAL BAY AREA LOCAL STREET & ROAD FUNDS AT RISK	FY2009-10	FY2010-11 & Beyond
Alameda	(36,922)	(27,897)
Contra Costa	(26,076)	(19,703)
Marin	(6,808)	(5,144)
Napa	(4,271)	(3,227)
San Francisco	(18,874)	(14,261)
San Mateo	(19,616)	(14,822)
Santa Clara	(45,387)	(34,293)
Solano	(11,924)	(9,009)
Sonoma	(14,066)	(10,628)
Bay Area Subtotal	(183,945)	(138,984)
State Total	(986,000)	(745,000)

ALAMEDA	FY2009-10	FY2010-11
ALAMEDA	(1,150)	(869)
ALBANY	(256)	(194)
BERKELEY	(1,625)	(1,228)
DUBLIN	(667)	(504)
EMERYVILLE	(140)	(106)
FREMONT	(3,234)	(2,443)
HAYWARD	(2,259)	(1,707)
LIVERMORE	(1,266)	(956)
NEWARK	(668)	(504)
OAKLAND	(6,348)	(4,796)
PIEDMONT	(169)	(128)
PLEASANTON	(1,050)	(794)
SAN LEANDRO	(1,245)	(940)
UNION CITY	(1,105)	(835)
COUNTY (UNINCORPORATED)	(15,743)	(11,895)
COUNTY TOTAL	(36,922)	(27,897)
CONTRA COSTA		
ANTIOCH	(1,583)	(1,196)
BRENTWOOD	(773)	(584)
CLAYTON	(170)	(129)
CONCORD	(1,953)	(1,475)
DANVILLE	(673)	(509)
EL CERRITO	(367)	(277)
HERCULES	(379)	(286)

Contra Costa Cont'd

Item 5, Attachment A

LAFAYETTE	(379)	(286)
MARTINEZ	(572)	(432)
MORAGA	(256)	(193)
OAKLEY	(504)	(381)
ORINDA	(277)	(209)
PINOLE	(304)	(230)
PITTSBURG	(996)	(753)
PLEASANT HILL	(524)	(396)
RICHMOND	(1,641)	(1,240)
SAN PABLO	(489)	(370)
SAN RAMON	(917)	(693)
WALNUT CREEK	(1,034)	(781)
COUNTY (UNINCORPORATED)	(12,285)	(9,282)
COUNTY TOTAL	(26,076)	(19,703)
MARIN		
BELVEDERE	(36)	(27)
CORTE MADERA	(157)	(119)
FAIRFAX	(123)	(93)
LARKSPUR	(202)	(152)
MILL VALLEY	(230)	(174)
NOVATO	(872)	(659)
ROSS	(40)	(30)
SAN ANSELMO	(208)	(157)
SAN RAFAEL	(966)	(730)
SAUSALITO	(124)	(94)
TIBURON	(148)	(112)
COUNTY (UNINCORPORATED)	(3,702)	(2,797)
COUNTY TOTAL	(6,808)	(5,144)
NAPA		
AMERICAN CANYON	(266)	(201)
CALISTOGA	(88)	(67)
NAPA	(1,279)	(966)
ST HELENA	(100)	(75)
YOUNTVILLE	(55)	(41)
COUNTY (UNINCORPORATED)	(2,484)	(1,877)
COUNTY TOTAL	(4,271)	(3,227)
SAN FRANCISCO		
SAN FRANCISCO CITY AND COUNTY	(18,874)	(14,261)
COUNTY TOTAL	(18,874)	(14,261)
SAN MATEO		

Item 5, Attachment A

ATHERTON	(117)	(89)
BELMONT	(409)	(309)
BRISBANE	(60)	(45)
BURLINGAME	(453)	(342)
COLMA	(25)	(19)
DALY CITY	(1,678)	(1,268)
EAST PALO ALTO	(516)	(390)
FOSTER CITY	(478)	(361)
HALF MOON BAY	(204)	(154)
HILLSBOROUGH	(176)	(133)
MENLO PARK	(492)	(372)
MILLBRAE	(331)	(250)
PACIFICA	(620)	(469)
PORTOLA VALLEY	(73)	(55)
REDWOOD CITY	(1,217)	(920)
SAN BRUNO	(666)	(503)
SAN CARLOS	(453)	(342)
SAN MATEO	(1,510)	(1,141)
SOUTH SAN FRANCISCO	(990)	(748)
WOODSIDE	(88)	(66)
COUNTY (UNINCORPORATED)	(9,059)	(6,845)
COUNTY TOTAL	(19,616)	(14,822)
SANTA CLARA		
CAMPBELL	(606)	(458)
CUPERTINO	(840)	(635)
GILROY	(756)	(572)
LOS ALTOS	(428)	(324)
LOS ALTOS HILLS	(131)	(99)
LOS GATOS	(448)	(339)
MILPITAS	(1,014)	(766)
MONTE SERENO	(54)	(41)
MORGAN HILL	(585)	(442)
MOUNTAIN VIEW	(1,116)	(843)
PALO ALTO	(954)	(721)
SAN JOSE	(14,836)	(11,210)
SANTA CLARA	(1,741)	(1,315)
SARATOGA	(478)	(362)
SUNNYVALE	(2,068)	(1,563)
COUNTY (UNINCORPORATED)	(19,330)	(14,605)
COUNTY TOTAL	(45,387)	(34,293)
SOLANO		
BENICIA	(432)	(326)

Item 5, Attachment A

DIXON	(273)	(206)
FAIRFIELD	(1,630)	(1,231)
RIO VISTA	(121)	(91)
SUISUN CITY	(432)	(327)
VACAVILLE	(1,491)	(1,127)
VALLEJO	(1,877)	(1,418)
COUNTY (UNINCORPORATED)	(5,668)	(4,283)
COUNTY TOTAL	(11,924)	(9,009)
SONOMA		
CLOVERDALE	(147)	(111)
COTATI	(130)	(98)
HEALDSBURG	(201)	(152)
PETALUMA	(981)	(741)
ROHNERT PARK	(739)	(559)
SANTA ROSA	(2,719)	(2,054)
SEBASTOPOL	(134)	(101)
SONOMA	(171)	(129)
WINDSOR	(455)	(344)
COUNTY (UNINCORPORATED)	(8,391)	(6,340)
COUNTY TOTAL	(14,066)	(10,628)
BAY AREA TOTAL	(183,945)	(138,984)



**METROPOLITAN
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Memorandum

TO: Local Streets & Roads Working Group

DATE: June 12, 2009

FR: Craig Goldblatt

RE: ARRA Cost Savings Proposal

There have been numerous questions raised by project sponsors regarding how to handle cost savings at the time of awarding an ARRA funded (FHWA) project. Many believe that this is likely given the favorable bid environment that we find ourselves in today.

The following approaches have been discussed as ways to address significant cost savings upon the award of a construction contract for projects under the “System Preservation Projects—Local Streets and Roads” category:

1. In the case where the project sponsor is bringing sufficient local funds to the project budget, lower the ratio of local funds to federal funds in order to maintain the full use of the original ARRA fund amount originally programmed to the project in the TIP.
2. A project sponsor, as a contingency, would include additional project segments or components under its request for authorization and include those as contingencies in the advertisement package. If there are sufficient cost savings upon award, additional project components could be included in the contract. Or conversely if there are no cost savings a number of project components could be deleted. Of course the larger, inclusive project scope must have been already included in the project scope that was reviewed per NEPA.
3. Cost savings could be redirected to another project after award by deobligating ARRA funds and programming them to another project for reobligation. A proposal to do this follows below.

Proposal

If the first two approaches are not workable for a project sponsor, MTC proposes the moving of these cost savings for project with the May 31, 2009 obligation deadline (ARRA regional funded and combined ARRA regional and state funded projects) to other project(s):

- The CMA may pool together cost savings in its county and reprogram these funds to a new project under the same project category type as the original project.
- To minimize the number of projects and workloads on Caltrans Local Assistance during the latter part of the ARRA program time frame, the CMA’s are requested to select

ARRA Cost Savings Proposal

June 12, 2009

Page 2 of 2

projects that will use no less than \$500,000 of ARRA funding. MTC will provide flexibility in some cases such as when countywide cost savings do not exceed this amount.

- Projects subject to the May 31, 2009 obligation deadline have until September 30, 2009, to award. Any cost savings may be deobligated and provided to a new project provided that obligation occurs no later than December 31, 2009. It is advisable that a project retain 5-10% of the project cost to address change order purposes when deobligating federal funds. The award deadline for new projects would be the same as State ARRA funded projects, March 31, 2010.
- Lastly for those projects funded by ARRA, exclusively using State ARRA funds, obligation must occur no later than November 30, 2009 with the contract award no later than June 30, 2010. There is a small window to address cost savings for these projects. The final federal "drop dead" date for reobligating cost savings is September 30, 2010; but in all likelihood an earlier Caltrans deadline is anticipated (TBD) to provide a programming cushion to ensure flexibility to the State to manage and save any left over funding. Therefore there will not be sufficient time in most cases to redirect cost savings to another project. While no formal policy is being offered to address these cost savings, MTC staff offers to work with CMAs on a case-by-case basis if cost savings occur well before June 30, 2010 to explore options, if there will be any. We will keep our partners informed when there is more information on the amount of time that would be available.

We will be discussing these approaches at the next LSR Working Group Meeting. In the meantime, I am waiting to hear back from Caltrans on their views and any other issues that might need to be addressed.



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Memorandum

TO: Local Streets and Roads Working Group

DATE: June 12, 2009

FR: Amy Burch

RE: ARRA Discretionary Programs

Background

The American Recovery and Reinvestment Act (ARRA) included an array of competitive programs that may provide additional funding to transportation projects in the Bay Area. MTC has developed a program matrix (ARRA Discretionary Program Summary, attached), which provides an overview of the various ARRA transportation grant programs, to assist agencies seeking funding. Weekly updates to this matrix are available on our website at: <http://www.mtc.ca.gov/funding/ARRA/>

Regional Coordination and Advocacy

MTC will focus advocacy and consensus on two funding categories: 1) Secretary's Discretionary Grant Program, and 2) High Speed Rail and Intercity Passenger Rail Grants. MTC's goal for this regional effort is to partner with Caltrans and the California High Speed Rail Authority so that the Bay Area and California are competitive for these funds. Agencies interested in seeking funding from these sources may contact Randy Rentschler at rentschler@mtc.ca.gov or 510.817.5780.

MTC Supports Agencies Applying Individually

For other ARRA discretionary programs (#s 4 - 17 on the ARRA Discretionary Program Summary), agencies are encouraged to apply directly to the federal implementing agency. Also, as requested, we will provide other support for agencies seeking funding in these discretionary program categories. Feel free to contact Alix Bockelman at abockelman@mtc.ca.gov or 510.817.5850 if you have requests for assistance.

Upcoming ARRA Discretionary Program Application Deadlines

Attached is a reference page for application/obligation deadlines (Deadlines for ARRA Discretionary Programs). Please note that many programs' application deadlines have already passed. Programs with upcoming application due dates include:

- Department of Energy – “Energy Efficiency and Conservation Block Grant” (EECBG) program (#13 on ARRA Discretionary Program Summary). **Applications are due by June 25, 2009.** Attached is an allocation list of funds available to Bay Area cities and counties, as well as to the state (EECBG - Allocations for Bay Area). More information is available on the ARRA Discretionary Program Summary, and at: <http://www.eecbg.energy.gov/>
- Department of Energy - "Clean Cities FY09 Petroleum Reduction Technologies Projects for the Transportation Sector" Program (#12 on ARRA Discretionary Program Summary). **Applications are due by September 30, 2009** for round two of this program. More information is available on the ARRA Discretionary Program Summary, and at: <http://www.afdc.energy.gov/cleancities/progs/solicitations.php#recovery>

Additional EECBG Program Details

The Energy Efficiency and Conservation Block Grant (EECBG) Program provides direct, formula grants to reduce energy use and fossil fuel emissions, and to improve energy efficiency. A list of the allocations to Bay Area cities and counties

(nearly \$57 million), as well as those to the California Energy Commission (\$49 million), is available at the following link: <http://www.energy.ca.gov/recovery/blockgrant.html>. As noted above, **applications are due by June 25, 2009**.

Small cities and counties that are not listed for direct, formula grants are eligible for nearly \$30 million (60 percent) of the \$49 million allocated to the California Energy Commission. The CEC may distribute the remaining \$19 million at its discretion. In early June, CEC staff held workshops on the application process and guideline development for the 60 percent portion of funds.

In addition to the EECBG formula grants, a separate, competitive program will distribute \$455 million nationally. DOE's first priority is to award the formula grants. Details for the competitive program will soon be available in a Funding Opportunity Announcement. To stay current on the status of the formula and competitive grants, agencies may sign up for automated email updates from DOE. Please subscribe to Progress Alerts to receive updates on DOE's Recovery Act activities at the following link: <http://apps1.eere.energy.gov/news/subscribe.cfm>

Feel free to contact Amy Burch at aburch@mtc.ca.gov or 510.817.5735 with any questions regarding these discretionary programs.

Attachments:

- 1) ARRA Discretionary Program Summary
- 2) Deadlines for ARRA Discretionary Programs
- 3) EECBG – Allocations for Bay Area

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**DRAFT American Recovery and Reinvestment Act (ARRA) Discretionary Program Summary
Transportation Funding in HR 1, as of June 3, 2009**

Agency	Program	Amount (millions)	Application Deadline	Obligation Deadline	Eligible Sponsors	Eligible Projects	Funding Number www.grants.gov or web reference	Other Details	
MTC Commission to Adopt Regional Priorities - Will Consult with Partnership									
1	DOT	U.S. DOT Secretary's Discretionary Grant Program - "Transportation Investment Generating Economic Recovery" (TIGER)	1,500	Sept 15, 2009 Submit applications via e-mail at TIGERGrants@dot.gov	Funds available for obligation until September 30, 2011. Priority to projects that can be completed by February 17, 2012.	State and local governments, including U.S. territories, tribal governments, transit agencies, port authorities, other political subdivisions of State or local governments, and multi-State or multi-jurisdictional applicants	Eligible projects include, but are not limited to highway, transit, freight and passenger rail and port infrastructure projects: (1) highway or bridge projects eligible under title 23, United States Code; (2) public transportation projects eligible under chapter 53 of title 49, United States Code; (3) passenger and freight rail transportation projects; and (4) port infrastructure investments.	Federal Register Interim Notice, posted May 15, 2009, http://www.federalregister.gov/OFRUpload/OFRData/2009-11542_P1.pdf http://www.fta.dot.gov/index_9118.html	Grant range from \$20 - \$300million. Secretary may waive the \$20m minimum grant size for projects in small cities, regions or states. Cap of 20% for any single state. Priority to projects with a local match, and that can be completed by February 17, 2012. Guidelines for required federal logos for all DOT-funded ARRA projects: http://www.fta.dot.gov/index_9440_9482.html
2	DOT	High Speed and Intercity Passenger Rail	8,000	TBD Guidance to be issued on/before June 17, 2009 (within 120 days of enactment)	Funds must be obligated by September 30, 2012	Official eligibility requirements TBD. See grant categories under Eligible Projects.	http://www.fra.dot.gov/us/content/2166	Secretary of DOT must submit a strategic plan to House and Senate Appropriations Committee within 60 days of enactment (mid-April) describing how funding will be used. Guidelines for required federal logos for all DOT-funded ARRA projects: http://www.fta.dot.gov/index_9440_9482.html	
3	DOT	New Starts/Capital Investment Grants	750	FTA is not soliciting applications. Instead, FTA limited its allocation of discretionary funding to eleven major capital projects - 10 New Starts and one Small Starts - that were already started or under construction.	By May 11, 2010, all funds must be outlayed. FTA may de-obligate any funds not outlayed within the one-year period.	Please see Eligible Projects.	FTA selected projects already in the pipeline in order to obligate a significant amount of funding within 150 days of ARRA enactment. Federal Register Notice posted May 11, 2009: http://edocket.access.gpo.gov/2009/pdf/E9-10963.pdf		
Sponsors Apply Individually - MTC Support as Requested									
4	DOT	Transit Energy Efficiency "Recovery Act-Transit Investments for Greenhouse Gas and Energy Reduction" (TIGGER)	100	ALREADY PASSED	Sept. 30, 2010 ARRA Funds expire Sept. 30, 2015		FTA-09005-TIGGER-TRI Federal Register Listing 3/24/09: http://edocket.access.gpo.gov/2009/pdf/E9-6420.pdf		
5	DOT	Ferry Boat Discretionary (FBD) Program	60	ALREADY PASSED	Sept. 30, 2010 ARRA Funds expire Sept. 30, 2015		http://www.fhwa.dot.gov/discretionary/090330a.cfm		
6	DOT	Park Roads and Parkways (PRP)	170	Internal application process - no solicitation expected		FHWA Federal Lands Highway is responsible for project design, construction and oversight activities. The NPS develops the prioritized program-of-projects and oversees planning.	Fund allocations are based on the ranking of the prioritized projects approved by the FHWA.	Program Contact: US DOT, FHWA, Federal Lands Highway, Office of Program Development, 1200 New Jersey Avenue, SE, Washington, DC 20590. (202) 366-9494. www.fhwa.dot.gov/flh/	

**DRAFT American Recovery and Reinvestment Act (ARRA) Discretionary Program Summary
Transportation Funding in HR 1, as of June 3, 2009**

	Agency	Program	Amount (millions)	Application Deadline	Obligation Deadline	Eligible Sponsors	Eligible Projects	Funding Number www.grants.gov or web reference	Other Details
7	NPS	National Park Service (including roads)	589	Internal application process - no solicitation expected		Projects must be submitted by National Park Units	Projects must be within or provide direct access to a National Park		ARRA funding already committed to existing projects in the program.
8	EPA	Diesel Emission Reduction -- "Recovery Act Funding for Clean Diesel: National Clean Diesel Funding Assistance Program"	156	ALREADY PASSED	Project Implementation - from June 2009 - Sept. 30, 2010			EPA-ARRA-OAR-OTAQ-09-06 http://epa.gov/otaq/eparecovery/prognational.htm	
9	EPA	Diesel Emission Reduction -- "Recovery Act Funding for Clean Diesel: SmartWay Clean Diesel Finance Program"	30	ALREADY PASSED	same as above			EPA-ARRA-OAR-OTAQ-09-04 http://epa.gov/otaq/eparecovery/profinance.htm	
10	EPA	Diesel Emission Reduction -- "Recovery Act Funding for Clean Diesel: Clean Diesel Emerging Technologies Program"	20	ALREADY PASSED	same as above			EPA-ARRA-OAR-OTAQ-09-05 http://epa.gov/otaq/eparecovery/proemerge.htm	
11	DOE	Transportation Electrification	400	ALREADY PASSED				DE-FOA-0000028 http://www.energy.gov/recovery/funding.htm	
12	DOE	Alternative Fuel Vehicles Pilot "Clean Cities FY09 Petroleum Reduction Technologies Projects for the Transportation Sector"	300	Round 1: May 29, 2009 Round 2: September 30, 2009	Awards anticipated August 2009 for Areas of Interest 1-3 For Area of Interest 4, Round 1 awards anticipated September 2009 Round 2 awards anticipated February 2010	State governments, local governments, metropolitan transportation authorities, air pollution control districts, and private or nonprofit entities.	Eligible projects include acquisition of alternative fueled vehicles, fuel cell vehicles or hybrid vehicles, including buses for public transportation and ground support vehicles at public airports. The installation or acquisition of infrastructure necessary to directly support an alternative fueled vehicle, fuel cell vehicle, or hybrid vehicle project funded by the grant is also eligible.	DE-PS26-09NT01236-04 For more information: http://www1.eere.energy.gov/clean/cities/ http://www.afdc.energy.gov/clean/cities/progs/solicitations.php	Provides grants to encourage the use of plug-in electric drive vehicles or other emerging electric vehicle technologies for up to 30 geographic areas. The funding minimum per project is \$5 million to a maximum of \$15 million.
13	DOE	Energy Efficiency and Conservation Block Grant (EECBG)	2,700	June 25, 2009 at 8:00 PM (EST) for ALL applicants, including local, tribal, and state governments (As of May 11, 2009)	Obligate: 18 months after effective award date Grant performance period: 36 months In the event funds are not obligated/committed within eighteen (18) months, DOE reserves the right to deobligate the funds and cancel the award.	U.S. states, territories, Indian tribes, cities and counties are eligible to receive funds under the EECBG Program. Please see the list of entities eligible for formula grants and allocation amounts: http://www.eecbg.energy.gov/grantalloc.html	Funds can be used community-wide, not only for government owned facilities and infrastructure. A list of eligible activities for use of program funds is provided in Section 544, Title V, Subtitle E of the Energy Independence and Security Act (EISA). Transportation-related examples of projects include: Development of bike lanes and pedestrian walkways; State/local/regional integrated planning activities to reduce GHG emissions and VMT; Incentive programs to reduce commutes by single occupancy vehicles; Improvements in operational and system efficiency of the transportation system, such as intelligent transportation systems (ITS); Idle-reduction technologies and/or facilities to conserve energy and reduce air pollutants/GHG emissions from freight movement.	http://www.eecbg.energy.gov/ Funding Opportunity Announcement (FOA): https://www.fedconnect.net/Fedconnect/ Reference number: DE-FOA-0000013 Application: http://www.grants.gov/ CDFA No: 81.128	Program provides direct, formula grants to reduce energy use and fossil fuel emissions, and to improve energy efficiency. * nearly \$1.9 billion is available to cities and counties * more than \$770 million is available to states, U.S. territories, and the District of Columbia * nearly \$54 million is available to Indian tribes In addition, each state must pass not less than 60% of its allocation on to cities and counties that are ineligible for direct formula grants from DOE. States decide how to award sub-grants. The FOA and its attachments are located at FedConnect: https://www.fedconnect.net/Fedconnect/ . The application package is located at: http://www.grants.gov/ .

**DRAFT American Recovery and Reinvestment Act (ARRA) Discretionary Program Summary
Transportation Funding in HR 1, as of June 3, 2009**

	Agency	Program	Amount (millions)	Application Deadline	Obligation Deadline	Eligible Sponsors	Eligible Projects	Funding Number www.grants.gov or web reference	Other Details	
14	DOE	Energy Efficiency and Conservation Competitive Grants	455	Funding Opportunity Announcement expected soon	TBA	TBA	TBA	http://www.eecbq.energy.gov/	DOE's first priority is to award the formula grants. Details on applying for competitive grants will soon be provided in a Funding Opportunity Announcement.	
15	FEMA	Port Security Grant Program (PSGP)	150	July 2, 2009	Obligate by end of first quarter, FY 2010 Expend within 3 years	Port authorities, facility operators, and State and local government agencies required to provide port security services	Top Three Priorities for eligible port projects: 1. Maritime Domain Awareness (MDA) 2. Improvised Explosive Device (IED) and WMD prevention, protection, response, and recovery 3. Implementation of the Transportation Worker Identification Credential (TWIC) Top Three Priorities for eligible ferry system projects: 1. Develop ways to prevent, detect, respond to and recover from terrorists using IEDs 2. Risk mitigation 3. Use mobile technology to prevent and detect explosives, other threats	http://www.dhs.gov/xlibrary/assets/recovery/FEMA_Port_Security_Grants_Recovery_Act_Plan_51509.pdf	Competitive program for grants and cooperative agreements. FEMA and USCG will target funds to the highest-risk ports across the nation. Each of the four tiers will have a specific allocation, and ports will compete for the funds within their assigned tier. FEMA will announce allocations and awards on a rolling basis from October 15, 2009 to December 31, 2009. Please note that from mid-September to mid-October, all financial systems within DHS must be shut down to reconcile obligations. As well, OMB must reappportion grant monies back to FEMA after the first of the fiscal year, so there may be delays in grant awards.	
16	FEMA	Transportation Security Grant Program (TSGP) - Public Transportation and Railroad Security	150	June 1, 2009 for personnel costs June 15, 2009 for capital projects	Obligate by end of first quarter, FY 2010 Expend within 3 years	Transit agencies	Priorities for eligible projects: 1. Operational Packages: Hiring of transit law enforcement officers to enhance visible, unpredictable deterrence efforts in transit (e.g., K-9 teams, mobile screening teams, and Anti-terrorism teams (ATT)) 2. Support and Equipment for Operational Packages 3. Shovel-Ready Capital Projects for Asset Hardening: Projects that can certifiably begin within 90 days of release of funds and will be completed within 24 months from the release of funds date. 4. Other Security Projects	http://www.dhs.gov/xlibrary/assets/recovery/FEMA_Public_Transportation_and_Rail_Security_Recovery_Act_Plan_51509.pdf	Competitive grant program for transit agencies to promote security. FEMA will announce allocations and awards on a rolling basis from October 15, 2009 to December 31, 2009. Please note that from mid-September to mid-October, all financial systems within DHS must be shut down to reconcile obligations. As well, OMB must reappportion grant monies back to FEMA after the first of the fiscal year, so there may be delays in grant awards.	
17	DOT	Public Transportation on Indian Reservations Program (Tribal Transit Program (TTP))	17	ALREADY PASSED	Sept. 30, 2010			FTA-09004-TPM-TRTR		
Total			15,547							

Note: Highlighted programs are still accepting applications, as of June 3, 2009.

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DRAFT
As of June 4, 2009

Application Deadlines for Non-Formula Programs:
American Recovery and Reinvestment Act (ARRA)
Transportation Funding in HR 1

June, 2009

June 15: Transportation Security Grant Program (TSGP) - Public Transportation and Railroads – capital projects

June 25: Energy Efficiency and Conservation Block Grant (EECBG) – cities, counties, states and tribes submit

July, 2009

July 2: Port Security Grant Program (PSGP)

September, 2009

September 30: Clean Cities FY 09 Petroleum Reduction Technologies – round two

Obligation Deadlines

September 30, 2010

- Ferry Boat Discretionary (FBD) Program
- National Clean Diesel Funding Assistance Program
- Clean Diesel Emerging Technologies Program
- Public Transportation on Indian Reservations Program (Tribal Transit)
- Port Security Grant Program (PSGP)
- Transportation Security Grant Program (TSGP) - Public Transportation and Railroads

September 30, 2011

- U.S. DOT Secretary's Discretionary Grant Program
- SmartWay Clean Diesel Finance Program

September 30, 2012

- High Speed and Intercity Passenger Rail

Energy Efficiency and Conservation Block Grant
ARRA Discretionary Program #13
Allocations For Bay Area

Name	Government Level	Allocation (\$)
Alameda	City	640,600
Antioch	City	885,000
Berkeley	City	1,013,500
Brentwood	City	197,000
Campbell	City	163,700
Concord	City	1,151,900
Cupertino	City	526,200
Daly City	City	873,900
Danville	City	168,400
Dublin	City	186,700
Fairfield	City	984,500
Fremont	City	1,891,200
Gilroy	City	207,000
Hayward	City	1,361,900
Livermore	City	750,800
Martinez	City	150,800
Milpitas	City	662,400
Morgan Hill	City	157,100
Mountain View	City	719,000
Napa	City	699,800
Newark	City	173,200
Novato	City	491,800
Oakland	City	3,919,200
Pacifica	City	140,600
Palo Alto	City	663,000
Petaluma	City	514,500
Pittsburg	City	565,500
Pleasanton	City	692,700
Redwood City	City	736,300
Richmond	City	955,100
Rohnert Park	City	164,100
San Francisco	City	7,739,300
San Jose	City	8,840,600
San Mateo	City	875,800
San Rafael	City	575,400
San Ramon	City	215,600
Santa Clara	City	1,180,900
Santa Rosa	City	1,509,500
South San Francisco	City	636,900
Sunnyvale	City	1,292,000
Union City	City	638,200
Vacaville	City	849,000
Vallejo	City	1,051,200
Walnut Creek	City	677,700
Contra Costa	County	3,574,300
San Mateo	County	2,951,200
Sonoma	County	1,981,200
Total Bay Area		56,996,200

California Energy Commission	49,603,400
60% through competitive grant program	29,762,040
40% allocated at CEC's discretion	19,841,360



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Memorandum

TO: Local Streets and Roads Working Group

DATE: June 12, 2009

FR: Craig Goldblatt

W. I.

RE: New Federal Transportation Act—Framework and Schedule for Cycle Programming
(STP/CMAQ)

Background

The region has programmed all of its expected SAFETEA apportionment and we are in the final fiscal year of the act. As the region faces the close of SAFETEA ending on September 30, 2009, an expeditious approach is called for to provide an overall architecture to guide upcoming programming decisions for the new surface transportation act funding (New Act). While the exact fund program categories in the new authorization are not yet known, there is a likelihood that the future funding programs will overlap to a great extent with projects that are currently eligible for funding under Title 23. Furthermore, we expect that the next one or two years of funding most likely will be authorized through an extension of the current act and its programs.

The starting point for making New Act funding decisions should be guided by Transportation 2035, which was adopted by the Commission last month, with an eye toward strategic delivery of these investments. The plan provides a critical backdrop for setting priorities for New Act funding. In particular, Transportation 2035 stressed investments for federal STP/CMAQ funding in the following areas:

- Ongoing commitments to system maintenance and preservation;
- Climate Initiatives;
- System operations on the State Highways;
- Bicycle/pedestrian programs;
- Transportation for Livable Communities (TLC); and
- Continuation of Regional Operations programs such as 511 and TransLink[®].

Further, funding decisions should be strategic, responding to and seizing on opportunities to deliver system-wide improvements as well as to address critical projects that might be postponed due to unforeseen budget crises. For example, in the past, the region directed STP and ARRA funds to jumpstart construction projects when state funds were not immediately available.

Recent Programming Activities

Under the American Recovery and Reinvestment Act of 2009 (ARRA) roughly \$660 million of funding was made available to fund critical transportation needs in the Bay Area, which could be implemented quickly with the objective of jumpstarting the economy. The following ARRA investment actions are a necessary piece for informing policy decisions on funding going forward.

New Act Programming

June 12, 2009

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1. **System Preservation:** State and Regional ARRA funds have in large part been set aside to address System Preservation needs for transit and streets and roads as identified in Transportation 2035. \$145 million has been programmed to streets and roads rehabilitation projects and \$286 million has been programmed to transit rehabilitation projects.
2. **Safety and Freeway Performance Initiative projects:** ARRA included \$32 million for cost-effective and timely system operations improvements.
3. **Transit Expansion:** \$70 million kick starts the Oakland Airport Connector, a key regional transit connection.
4. **Advance Proposition 1B to Construction:** \$105 million funds are being directed to close funding gaps in the Proposition 1B program to allow ready-to-go stalled projects to move forward. With this funding MTC is further leveraging state funds to deliver the SR-24 Caldecott Tunnel Fourth Bore.
5. **SMART Highways:** \$14 million delivers two SMART highway projects: the Alameda I-580 EB Express Lane element and the Santa Clara SR-I 880/SR 237 Express connector.
6. **Transportation Enhancements:** The region programmed \$9.6 million of ARRA funding within the transportation enhancements (TE) program on existing bicycle and pedestrian projects. After considering a regional investment for US 101 in Belmont, \$7.5 million will be available in State TE funding for future projects.

A closely timed action was a proposal by MTC to enter into a private placement bond purchase to keep \$200 million in Proposition 1B highway projects in construction.

Funding Estimate

As noted above, without a New Federal Transportation authorization or even a proposed bill, MTC can only make preliminary estimates of revenues. Therefore, as in the past, we will have to reconcile revenue levels following enactment of a New Act, and also address any changes in eligibility of revenue categories. That being said, STP/CMAQ revenue is estimated at roughly \$1 billion over the New Act, assuming a 4% growth rate.

However, the regions overall capacity to address priority investment categories in the first few years of our T2035 plan extend beyond just the New Act's STP/CMAQ programming estimate. Given the recent ARRA funding actions discussed below, the region will also have \$105 million in RTIP/CMIA bond funding capacity as well as \$7.5 million in Transportation Enhancements for programming consideration. Attachment A summarizes both the ARRA programming as well as the estimated funding to be discussed as part of the New Act programming. All told, roughly \$1.1 billion will be part of the New Act programming framework discussion. MTC staff would recommend that we consider the funding in three tranches: 1) ARRA Backfill (\$105 million); 2) First Cycle (first three-years of the New Act, or FY 2009-10 to FY2011-12); and 3) Second Cycle (last three-years, or FY2012-13 to FY2014-15).

New Act Programming

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Proposed Programming Principles

MTC staff has developed some general principles for discussion that would guide the New Act programming development, and is seeking feedback from our partners and advisors.

- **Maintain critical on-going programs:** The starting point is the continuation of fundamental programs which have critical funding needs in Cycle 1. These include planning activities, regional operation programs, Pavement Technical Assistance Program (PTAP), and statutorily required Federal – Aid Secondary (FAS) investments. Additionally, any required payback to the State of borrowed Obligation Authority should be considered a first priority.
- **Seize opportunity to deliver system-wide improvements:** Another focused funding priority is the Freeway Performance Initiative, a ready-to-go, cost-effective, high performing program. This program addresses traffic congestion on State highways throughout the Bay Area.
- **Fund core Transportation 2035 categories:** Establish a framework for funding key Transportation 2035 programs such as System Preservation (Streets and Road and Transit), Climate Initiatives, Transportation for Livable communities, and Bike and Pedestrian Projects. Consider that additional startup time is needed to establish the newly revised TLC Program and Climate Initiative programs. Establish an appropriate level and sequence of the funding by considering both ARRA and STP/CMAQ capacity.
- **Direct some ARRA backfill capacity to strategic investments and regional commitments:** In addition to the nearly 80% of funding invested in system preservation, the ARRA funding also included some key strategic investment recommendations. Some capacity from the ARRA backfill should also focus on complementary areas to those from ARRA such as freight/goods movement, transit efficiency, system management, and regional commitments.

Schedule

Please refer to Attachment B for a summary of the schedule for the development of Cycle 1 funding for the New Act. The proposal will be developed in concert with the Bay Area Partnership during the months of June and July. August presents a recess for most committees. In September, staff expects to take a final proposal to the Programming and Allocations Committee with a recommendation for MTC adoption.

We welcome your feedback and expect to bring a more detailed proposal for discussion to the next Partnership Board meeting.

**Fund Estimate and ARRA Programming
May 29, 2009**

(amounts in \$ millions)

STP & CMAQ Total	ARRA Programming	ARRA* Backfill	STP/CMAQ Cycle 1	STP/CMAQ Cycle 2	STP/CMAQ New Act Total	Grand Total
	08/09	08/09	09/10 - 10/11 - 11/12	12/13 - 13/14 - 14/15	09/10-14/15	09/10-14/15
Estimated Apportionment Revenues	662	113	485	546	1,031	1,806
Annual Programs						
1 Required SAFETEA OA Carryover			70		70	70
2 On-Going Regional Planning			22	24	46	46
3 On-Going Regional Operations			84	74	158	158
4 On-Going Regional Streets and Roads - PTAP & FAS			22	6	28	28
SubTotal			198	104	302	302

T 2035 Core Programs	ARRA Programming	ARRA* Backfill	STP/CMAQ Cycle 1	STP/CMAQ Cycle 2	STP/CMAQ New Act Total	Grand Total
5 Focus 1 Freeway Performance Initiative (FPI)	19					19
6 Focus 2 Climate Initiatives / Regional Bike/Ped	10	8				17
7 Focus 2 Transportation for Livable Communities (TLC)						0
8 Focus 3 Transit Capital Rehabilitation	286					286
9 Focus 3 Regional Streets and Roads Rehabilitation	145					145
ARRA Strategic Investments						
10 Safety Projects (Vasco Road and North Bay counties)	13					13
11 SMART Highways (580 and 237/880)	14					14
12 Transit Expansion (Oakland Airport Connector)	70					70
13 Advance Prop 1B Construction (Caldecott Tunnel)	105					105
Total Programming To-Date	662	8				669

* \$113 M in ARRA Backfill is included within the \$662 M ARRA Programming Amount (\$105 M for Caldecott Tunnel and \$8M for TE)

Available for Programming Discussions	0	105	287	442	729	834
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Attachment B

New Act STP/CMAQ Cycle Programming Outreach Schedule

Date	Committee	Action
May		
18	PTAC	Draft Proposal
June		
3	TFWG	Draft Proposal
4	EDAC	
9	MCAC	
10	Advisory Council	
12	LSRWG	
15	PDWG	
15	PTAC	
23	Partnership Board	
July		
1	TFWG	Draft Proposal Revised as needed. Draft Final developed after PTAC to be taken to PAC/Commission in September.
2	EDAC	
8	PAC	
8	Advisory Council	
10	LSRWG	
14	MCAC	
20	PDWG	
20	PTAC	
September		
9	PAC	Adoption of Cycle 1 and New Act Framework / TIP Amendment
22	Commission Approval	

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Association of Bay Area Governments
 Bay Area Air Quality Management District
 Bay Conservation and Development Commission
 Metropolitan Transportation Commission

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JOINT POLICY COMMITTEE — REGIONAL PLANNING PROGRAM

Date: May 29, 2009
 To: Local Streets and Roads Committee
 From: Ted Droettboom, Regional Planning Program Director
 Subject: Draft Policies for the Bay Area's Implementation of SB 375

I have been asked to speak with the Local Streets and Roads Committee about the Bay Area's emerging approach to the implementation of SB 375.

We are refining our approach starting with a set of draft policies to guide implementation—in effect policies for making policies. Those policies were distributed for comment in January and were first considered by the Joint Policy Committee (JPC) at its meeting on March 20th. The draft policies generated a number of written comments and a flurry of public testimony at the March JPC meeting. In order to give the lengthy and thoughtful commentary due consideration, the Committee deferred action on the draft policies.

At its meeting of May 15th, the JPC received a set of amended policies responding to the comments received on the initial draft. At our recommendation, the JPC tabled further action on the policies pending continuing discussion with stakeholders. A report is expected back no later than the September JPC meeting.

Attached to this memo is a synopsis of comments and issues, including suggested amendments to the initial draft policies. Also attached is the original set of policies upon which the comments were based, as well as two comment letters received subsequent to the March 20th JPC meeting: one from the City of San José and one from the Northern California Chapter of the U.S. Green Building Council. Comments received on March 20th or earlier are archived on the JPC website (<http://www.abag.ca.gov/jointpolicy/jpc-sb375-implementation.htm>).

With only a couple of exceptions, agencies represented on the Local Streets and Road Committee were not commentators on the first-draft policies. Nevertheless, over the long-term, local infrastructure investments could be affected by SB 375 and the required Sustainable Communities Strategy. I would, therefore, appreciate your review of the policies as amended and your identification of any unresolved issues requiring further discussion.



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JOINT POLICY COMMITTEE — REGIONAL PLANNING PROGRAM

Date: May 6th, 2009

To: Joint Policy Committee

From: Ted Droettboom, Regional Planning Program Director

Subject: Draft Policies for the Bay Area's Implementation of SB 375—Synopsis of Comments and Issues

At its meeting of March 20th, the JPC began consideration of a set of draft policies to guide the Bay Area's approach to Senate Bill 375. The Committee also had before it 18 letters from interested stakeholders, comprising a total of 70 pages of comments on the draft policies. Of the 18 comment letters, ten had been received in the week subsequent to the distribution of the agenda package on March 13th—five of these on the day before the meeting and two on the day of the meeting. The City of San Jose submitted comments on April 13th, well after the meeting

The draft policies were distributed for public comment on January 23rd. A number of powerful organizations, then, required nearly two months—and, in one case, more—to vet the draft policies and produce comprehensive and thoughtful comment letters. This speaks to the importance that these organizations accord SB 375 and to the seriousness with which they regard the region's proposed approach to the bill.

Eighteen members of the public also requested to speak on this item at the Committee meeting, although not all were present when their turns arose. With a very few exceptions, the oral comments echoed the commentary in the letters.

In recognition of the length, complexity and thoroughness of the comments and noting the limited time available to read, absorb, and respond before and during the March meeting, staff proposed that the JPC defer action on the draft policies to its May meeting. To act otherwise would be dismissive of the considerable thought and effort involved in commenting. Accordingly, the Committee took no action on March 20th.

This memo, prepared in collaboration with the executive directors/officers of the four JPC member agencies, summarizes the comments received, identifies significant issues requiring resolution, and suggests amendments to the draft policies, giving effect to the proposed resolutions. Most of the comments are directed to specific policies and policy subjects; and this memo, for the most part, follows that pattern as well. The memo also notes and responds to a few general comments that span policy subjects or that raise issues beyond the scope of the draft policies.

Policy Subject 1: Setting Targets

This is one of the policy subjects around which there is the least consensus. It is also a subject characterized by vague, ambiguous and overly nuanced language. The draft policy uses words like “aggressive” and “significant” without ever precisely defining what those words mean. Similarly, the comment letters use phrases like “ambitious and achievable,” and “feasible, reasonable, and realistic,” although the meaning of those phrases is very much in the eye of the beholder.

Underneath the wordplay is a core issue that unfortunately is also difficult to define and evaluate in the abstract and in the absence of actual numerical targets. That issue lies in the phrase “business as usual,” a phrase which several commentators propose be struck from the discussion leading up to Policy 1. The presence or absence of that phrase is consequential, as it connotes whether (1) we are going to treat climate change as just another factor to be considered along with many other (and, by implication, more important) traditional factors; or whether (2) climate protection becomes a paramount objective that reshapes our fundamental approach to land-use and transportation planning. Your regional-agency staff are more inclined to the second sea-change alternative, as are most of the non-governmental organizations that submitted comments. Most, though not all, of the congestion management agencies appear to favor the first, more incremental alternative, as do two of the building-industry trade groups.

The level of the targets is important because it signals which of the two alternatives will be emphasized in our approach to SB 375. A relatively low set of targets would suggest that we do not need to change past practice very much; higher targets imply greater urgency and the need for more fundamental change.

Partially obscuring the core issue are two peripheral issues related to targets. Both issues enjoy a fair amount of currency and require a response.

The first issue is the assertion that the establishment of targets exposes us to litigation and the greater the target, the greater the litigation risk. We believe the potential for litigation arises not from the targets themselves but from how the targets are used. If the targets are simply transformed into unrealistic and unattainable commitments, without the policies and resources required to achieve those commitments and without acknowledgement that meeting the targets requires consequential corollary actions, some of which may be beyond our direct control, then successful litigation becomes a possibility. If, however, we treat the targets responsibility—as we intend to do—then litigation becomes much less likely. We have to observe, too, that not establishing appropriate targets can also expose us to litigation, as demonstrated by the Attorney General's recent actions around the state regarding plans that fail to adequately address greenhouse-gas emissions.

We also need to be wary of a double standard relative to the establishment of targets. We note that the region has had no apparent reservations about establishing a target for local streets and roads maintenance as defined by an explicit pavement standard, including also an acknowledgement that there is a significant shortfall relative to the targeted condition. It is conceivable that someone might litigate our failure to meet our street-condition target, but no one has, nor has anyone expressed much fear of that risk. Clearly, however, the high commitment of funding to “fix it first” illustrates the utility of establishing an ambitious target.

The second side issue comes from only one source, but it is expressed so forcefully that it demands a rejoinder. This is the contention from the Home Builders Association of Northern California that it is improper for regional agency staff to initiate fundamental policy proposals and seek adoption by the JPC, and that a policy relative to targets is particularly reprehensible as it affects a matter of substance not merely of process. In response, we simply note that it is a long and respected tradition in public service for staff to propose policy initiatives to elected officials. Those elected officials may accept, reject, or modify those proposals based upon arguments from others or their own judgment. The draft policy on targets is consistent with that universally accepted tradition. We will concede, however, that line between substance and process is a blurry one—in this and in many other cases. The proposed policy on targets may affect both process and substance: process in the sense that it will drive our level of effort in preparing the sustainable communities strategy; substance in that it will make a difference if we are successful in achieving the target. We do not believe it is inappropriate to have policies affecting both process and substance.

In the end, however, after reviewing all the comments, we believe that draft Policy 1 fails the test of good public policy on two counts: (1) it is too vaguely worded, therefore leaving too much to alternative interpretation; and (2) it deals with a matter largely outside our policy control, as the targets will be established, not by the Bay Area, but by the California Air Resources Board with the advice of a statewide committee. To remedy these faults, we suggest modifying an amendment suggested by the CMAs to acknowledge the usefulness of explicit targets in driving policy and action. We propose to amend policy 1 to read as follows¹:

Policy 1:

The Bay Area regional agencies will fully participate in CARB's regional target-setting process. This participation will occur, to the extent possible, through the RTAC process, through the exchange of data and information with CARB, and through the authority given MPOs to independently recommend targets for their regions.

~~In their participation, the Bay Area regional agencies will seek factors, methodologies, and targets that do not limit this region's ability to achieve significant GHG reductions and that do provide significant challenges to current trends and habits.~~

The regional agencies, with their partners, will evaluate the targets provided by CARB against the best science available and may decide to establish unofficial aspirational targets which exceed the CARB minimums. The Bay Area will endeavor to construct a Sustainable Communities Strategy that meets these aspirational targets, but will evaluate performance relative to these targets for information only.

The regional agencies will also seek unambiguous and accurate metrics of target achievement, so that performance relative to the targets can be confidently and unarguably assessed.

¹In this and all subsequent cases, strikeouts denote deletion and additions are italicized.

Policy Subject 2: Modeling the Relationship between Transportation and Land Use

Those commenting on the modeling policy seek five qualities with which we fully concur. The policy would be improved by making these qualities more explicit—noting, as do some of the commentators, that achieving modeling perfection should be subordinate to delivering an acceptable sustainable communities strategy on time and that continued close collaboration among modeling entities is essential. We propose to incorporate these qualities by amending the draft policy as follows:

Policy 2: The Bay Area regional agencies will *continue to work together with local partners and regional stakeholders* to construct an integrated ~~and transparent~~ modeling system which ~~facilitates technical, decision-maker and public understanding of how land use and transportation decisions can be coordinated so as to reduce GHG emissions,~~ *to the extent possible within the time and resources available, achieves these essential qualities:*

- *Transparency—technical, decision-maker and public understanding of how land-use and transportation decisions can be coordinated so as to reduce GHG emissions, facilitated through open disclosure and explanation of assumptions and methodologies, but without over-simplifying complex relationships;*
- *Comprehensiveness—sensitivity to the many factors that influence individual and collective land-use and transportation choices, including, but not limited to: energy prices, parking prices and availability, transportation usage charges, travel-time comparisons among alternative modes, housing affordability, employment locations, school quality, perceived public safety, and the presence or absence of complementary uses, supportive design and other community amenities or liabilities;*
- *Resolution—Spatial and temporal data and analysis at the highest possible level of detail (e.g., below the census tract level and for additional hours beyond just weekday peak periods), but without making the modeling results so dependent on detail that they become unreliable with small variations in the underlying assumptions;*
- *Uniformity—Full involvement of the CMAs and others who engage in complementary modeling activities to facilitate commonality and compatibility among models and a consistent modeling system which extends beyond the regional agencies;*
- *Appropriate Usage—Explicit recognition of the limitations of models in accurately predicting the future and guiding choice (They are representations of potential reality, not reality itself, and are best employed to help differentiate among alternative strategies, not to predict the precise results of a single strategy. They inform decisions; they do not make decisions.).*

Policy Subject 3: Preparing a Sustainable Communities Strategy and an Alternative Planning Strategy

This is the lengthiest and most consequential of the policy subjects. Predictably, it has generated a great deal of comment.

Among the easier comments to deal with is that relating to an unintended slight to the congestion management agencies in not recognizing the leadership role that some have played on climate change. We apologize for this and propose to amend the offending wording in the policy discussion as follows:

Transportation 2035 has been instrumental in introducing climate protection as a core regional transportation planning objective. ~~to the CMAs and other transportation planning and operating agencies.~~

Also relatively easy to handle is the strong objection which some took to the sixth bullet point under policy 6:

Work with federal agencies to ensure that fiscal constraints and realism tests account for reasonable and probable changes in policy and financial capacity between plan initiation and the RTP horizon year.

The objectors interpreted this to imply an unfair manipulation of the scorecard to make the SCS easier, which we did not intend. As it is standard practice with every RTP to have a discussion with the federal agencies on plan realism, this part of Policy 3 is really unnecessary. Further, as we are interested in achieving actual GHG reductions, not just a paper plan, it is in our interest to apply a tough realism test to assure ourselves that our intent is achievable. To avoid confusion and misinterpreted intent, we propose deleting this clause from Policy 3.

The more difficult commentary relates to resources and to resource priorities. Commentators noticed, as we have, that the SCS is a big and expensive undertaking, both in terms of the technical analysis and the inclusive planning discussion that needs to occur and in terms of the incentives required to make the strategy real.

In terms of technical analysis and planning, our preliminary estimate is that the SCS/RTP/RHNA complex will involve the regional agencies spending three to five times the cost of preparing the usual RTP, not accounting for the costs incurred by CMAs, local governments and others participating in the process.

Incentives are an essential part of implementing the SCS. SB 375 is unambiguous in its assertion that there is no compulsion for local governments to comply with the SCS and that alignment between the SCS and local plans will occur only through objectives in common and incentives. "Incentives" may, in fact, be a bit of a misnomer, as the word usually implies a "bonus motivator," something that gives one a little extra push to engage in a positive behavior. Many local governments need more than bonuses; they are lacking the base resources required to undertake the kind of change contemplated for an effective SCS. Without deep funding, they are incapable of complying, even though they may want to.

Ultimately this may require more resources than are currently in the regional pie, and it could place a significant call on new money as well as lead to the re-prioritization of existing funds. That is why Policy 3 places such an emphasis on resource acquisition. It is also why more than a few commentators are concerned about the content of Policy 3 and the potential diversion of funds from present expenditure programs. We have amended the Policy to clarify that the expenditures called for in the short term are consistent with current regional priorities as established in the most recent RTP, *Transportation 2035* and are consistent with existing state accounts established explicitly to facilitate infill development. We have also agreed with the

commentators that stable transit funding is integral to a successful SCS and have added a bullet point to Policy 3 to that effect.

However, we cannot deny that in the longer term even more resources will be required to assist realization of an effective SCS and this may require some reconsideration of present priorities. Priorities are what planning is all about, and these will benefit from discussion during the actual construction of the SCS. This discussion most appropriately occurs in that context, not without firmer knowledge of what we actually need to accomplish and what the costs are—both in terms of dollars and in terms of alternatives foregone.

On a related issue, some commentators objected (fairly, in our view) to an implied premature judgment on a road-pricing strategy. The policy has been amended to clarify that we are only seeking the authority to implement more comprehensive road pricing if we need it and that the application of that authority, if granted, will only occur if we determine through the SCS process that it is required and feasible. It is prudent to seek authority in advance, as there will only be seven years between the adoption of our first SCS in 2013 and the first target year, 2020.

The amended Policy 3 below reflects our suggested resolution to the concerns and issues discussed above. It also clarifies our intent to pursue the SCS through a broad-based regional/local partnership, building upon partnerships and collaborative mechanisms already in place.

Policy 3

The Bay Area regional agencies are committed to achieving the region's GHG-reduction targets through the SCS and will prepare an APS only as a last resort.

To assist in the preparation of a realistic and attainable SCS, the regional agencies will:

- ~~Form a partnership~~ Partner with ~~local transportation and land use authorities~~ *with CMAAs, transit agencies, local governments, and with* other relevant stakeholders to cooperatively prepare an SCS, beginning no later than the end of 2009;
- *In balance with other programming priorities, begin programming and allocating funds from the current RTP's \$2.2 billion TLC account no later than fiscal year 2010-11 so as to demonstrate a tangible commitment to priority development areas that assist in reducing GHGs;*
- Initiate joint programming of regional-agency funding (e.g., MTC and BAAQMD grants) to achieve synergies and maximize combined impact, *beginning with pilot efforts built upon the MTC's new Climate Change fund and the Air District's TFCA program;*
- *Consistent with the current RTP and forthcoming discussions on new incentives for priority development areas, give priority consideration to SCS-supportive incentives in the allocation and programming of new funding (e.g., the federal stimulus package) as it becomes available to the regional agencies;*
- Advocate for early and appropriately directed incentives for PDAs and PCAs from existing state programs *which are intended to encourage infill development and land conservation, and advocate* for the creation of additional incentive mechanisms through new state legislation in advance of the SCS;

Policy 3 continued

- *Advocate for the restoration of more stable funding to transit operations, which will be essential to reducing VMT and GHGs.*
- ~~Work with federal agencies to ensure that fiscal constraints and realism tests account for reasonable and probable changes in policy and financial capacity between plan initiation and the RTP horizon year;~~
- ~~Advocate for road pricing and other transportation measures and regional transportation pricing authorities that can contribute to reducing VMT per capita and hence related GHGs so that these authorities can be available to the SCS if required.~~

Policy Subject 4: Achieving Consistency with Adjacent Regions

This policy seems to be universally supported as written. Therefore, we propose no amendments.

Policy Subject 5: Synchronizing and Conforming the SCS and the RTP with the Regional Housing Needs Allocation (RHNA)

Under this subject, we received some strong philosophical and political commentary relating to the ethics and efficacy of state housing-element law and the RHNA process. These issues are beyond the scope of these policies and are more appropriately addressed to the State Legislature.

There are two issues which are germane to the policies and susceptible to policy amendment. The first of these is a call for once again emphasizing that the process will occur as a partnership between regional and local interests, and we have added some words to that effect. Inclusion and partnership is integral to a successful process, and it cannot be repeated too many times. It is also appropriate to use already established partnership and advisory mechanisms where possible, rather than build an entirely new collaborative infrastructure.

The second issue relates to some discomfort among members of the JPC, other regional leaders, and a few of the commentators about referring matters *first* to the JPC without prior consideration at the responsible agency. The policy has been amended to allow prior agency review to occur if desired, but to require thorough vetting at the JPC before final and firm decisions are taken, fully consistent with the JPC's role as defined by state law. We must observe, however, that this could potentially lengthen the elapsed time required to achieve policy resolution and the time commitment which regional leaders must make to additional meetings. In either case, the JPC is only advisory and there is no delegation of formal authority and responsibility to the JPC. However, the SCS is all about joint policy, and for joint policy to be successful it is essential that it be considered in a genuinely joint manner.

Our proposed resolution to the two issues is reflected in the amendments below.

Policy 5:

The SCS, RTP and RHNA will be developed together through a single and integrated cross-agency work program, *developed and implemented in partnership with the other regional agencies, congestion management agencies, local governments, and non-governmental organizations which have a stake in the work and its outcomes.*

~~All Progress and interim~~ products in the cross-agency work program will be reported in draft ~~first~~ to the JPC *for a thorough interagency vetting before being referred with JPC recommendations; and through the JPC for final decision* ~~to~~ by the committees, board, and commission ~~charged with making draft and final decisions on~~ *formally responsible for each of the three policy instruments: MTC for the RTP, ABAG for the RHNA, and both for the SCS.*

~~The JPC and its member agencies will share draft material with partnership groups, consultative committees and advisory councils and with one another may, from time to time, form subcommittees, including additional representatives from each of the agencies to~~ facilitate broadened vetting of significant ~~draft documents~~ *ideas and initiatives. From time to time, the JPC may initiate special task forces, widely representative of affected regional and local interests, to assist in the detailed drafting of contentious and consequential policies and measures.*

To the extent feasible, policy reports and adopting resolutions for each of policy instruments will reference implications for the other instruments so that all decisions are cognizant of interdependencies.

Policy Subject 6: Providing CEQA Assistance

There are no comments that would lead to substantive amendments to this policy as written.

Policy Subject 7: Aligning Regional Policies

We propose amending Policy 7 to again clarify the role of our local partners and to clarify the role of the JPC relative to its member agencies. Of particular relevance is the requirement under state law—SB 849 (Torlakson) and AB 2094 (DeSaulnier)—that the Joint Policy Committee “shall coordinate the development and drafting of major planning documents prepared by ABAG, MTC, the Bay Area Air Quality Management District, and the San Francisco Bay Conservation and Development Commission, including reviewing and commenting on major interim work products and the final draft comments prior to action by ABAG, MTC, the Bay Area Air Quality Management District, and the San Francisco Bay Conservation and Development Commission.”

A few commentators have objected to the JPC's consideration of an indirect source rule (ISR). The desirability of an ISR is best addressed when the Air District begins its discussion of its proposal later this year.

One area unsusceptible to resolution through policy amendment is the City of San Jose's observation that the JPC is incapable of responsibly vetting consequential land-use and transportation policy as it lacks direct representation from the region's largest city, where much of that policy will play out. This issue can only be resolved by member-agency appointments to JPC.

Policy 7:

Starting immediately, and consistent with the JPC's role as defined in state law, all significant regional-agency policies documents affecting the location and intensity of development or the location and capacity of transportation infrastructure will be vetted through the JPC and evaluated against the filter of the emerging SCS. As with all regional-agency policies affecting local land-use discretion or local-level transportation investments, the policy documents will be developed in partnership with the applicable local governments, congestion management and transit agencies and with the participation of other interested stakeholders. As well, the final decision on any regional policy lies with the responsible regional board or commission to which the JPC is advisory.

Other Issues and Concerns

In the course of reviewing the draft policies to guide the SB 375 process, a number of commentators have raised issues of substantive policy that are best addressed in the sustainable communities strategy itself and are most appropriately discussed and resolved in the context of developing that strategy. Among these are the importance of considering employment location in addition to housing location, issues of displacement, gentrification and affordable housing, parking prices and availability, climate-protection fees and taxes, economic feasibility of alternative development forms and new approaches to housing supply, broad equity concerns, greenfield protection, value recapture, criteria for rewarding performance not merely intent, and a broadened menu of incentives and financial assistance. We concur that most, if not all, of these subjects are integral to a successful strategy and we look forward addressing them with our partners.

At least one commentator has also raised the possibility of the SCS addressing other greenhouse gas emissions beyond those generated by automobiles and light trucks. While we agree this would be desirable, we note that it goes considerably beyond the scope of the SCS as required by SB 375 and may go well beyond the capabilities of the regional agencies and our partners to accomplish in the time available. We suggest that a more reasonable objective would be to treat non-automotive emissions as potential co-benefits of a strategy directed at automobile emissions. Many of the initiatives we undertake to reduce automotive emissions will also reduce other emissions, but we do not believe we have the capacity or the authority to undertake other planning activities aimed exclusively at non-automotive initiatives—at least not within the SB 375 mandate.

RECOMMENDATION

The amendments suggested above respond positively to most of the comments we received on our initial draft, and we are grateful to the commentators for helping us improve on that draft. There are, however, areas of continued disagreement, where accepting some comments would be counter to the spirit of the proposed policies and would work against the intent of SB 375 and against efforts to achieve real reductions in greenhouse gas emissions. While we cannot recommend acceptance of these contentious comments, we are not entirely comfortable with recommending our counter proposal to you either. To do so would likely just generate another round of commentary and start the sustainable communities strategy on a note of unfortunate discord with many of our key partners.

We do, however, have some time to work out the differences with our partners before the SCS program starts in earnest this fall, and we are confident that a face-to-face, interest-based dialogue can improve understanding and trust. While there will likely to be some areas where we need to agree to disagree, we believe it is worth the time and effort to work on something approaching a consensus recommendation. Further, this in-depth conversation among partners is consistent with the process of inclusion we are recommending for the development of the SCS itself, and it is appropriate to model that essential inclusionary process with the finalization of the implementation policies.

As well, we are aware that some elected leaders of our member agencies are not entirely comfortable with a more active role for the JPC, even though that role is effectively mandated by state law. Postponing action on the implementation policies will give the member agencies more time to consider the acceptability of this role relative to alternatives.

Accordingly we RECOMMEND:

THAT regional-agency staff engage in face-to-face discussions with our partner local agencies and other key stakeholders with the objective of bringing a consensus recommendation on implementation policies back to the JPC no later than its September 2009 meeting.



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JOINT POLICY COMMITTEE — REGIONAL PLANNING PROGRAM

Date: March 12, 2009
 To: Joint Policy Committee
 From: Ted Droettboom, Regional Planning Program Director
 Subject: Policies for the Bay Area's Implementation of Senate Bill 375

Attached is a draft set of policies which are proposed to guide the process through which the Bay Area's regional agencies will implement SB 375 (Steinberg). The draft policies were distributed to the JPC and to stakeholders in January so that there would be ample opportunity to consider and comment on the draft policies before they were submitted for adoption at the JPC's March meeting. Some stakeholders have provided written comments, and these are also attached to this memorandum.

The draft policies are essentially policies for making policies (i.e., "meta-policies"). They were developed by senior staff from all four of the JPC member agencies and are supported by the Executive Directors/Officers of each.

The draft policies are designed to facilitate the achievement of five qualities, which we believe are essential for the successful implementation of SB 375 and for the responsible and effective conduct of our ongoing regional planning responsibilities. These qualities are:

1. **Challenge** to the *status quo* and to business as usual, in recognition of the urgency and magnitude of the global climate-change imperative;
2. **Integration**
 - Between ABAG's and MTC's respective contributions to the Sustainable Communities Strategy (SCS) and, if required, the Alternative Planning Strategy (APS),
 - Between the Regional Transportation Plan (RTP) and the Regional Housing Needs Allocation (RHNA),
 - Between analytic modeling results and planning choices,
 - Between the requirements of SB 375 and other ongoing and proposed regional planning initiatives undertaken by any and all of the four JPC member agencies,

- Between the efforts of the Bay Area and those of adjacent regions;
3. **Inclusion** of all the entities—local governments, congestion management agencies, transit providers, non-governmental organizations (NGOs), business, development and environmental interests—required to make the SCS real, achievable, and more than a paper plan;
 4. **Momentum**, continuing and building upon the climate-protection, focused-growth, transit-oriented-development, road-pricing and other related land-use and transportation planning initiatives already moving forward under the leadership of the JPC member agencies;
 5. **Impact** on the actual, on-the-ground production of greenhouse gases without compromising the region's overall objectives for economic prosperity, environmental sustainability and social equity.

Our approach to SB 375, as guided by these policies, will significantly change how we prepare the Regional Transportation Plan (RTP) and how we develop the Regional Housing Needs Allocation (RHNA). It will also affect the planning activities of the Air District and influence the way BCDC prepares for change on the Bay's shoreline. In addition, the approach requires that the JPC play a considerably enhanced role in all regional planning products. SB 375 and our preparation of a Sustainable Communities Strategy clearly bring *joint* policy to the forefront and require that the JPC and its regional-agency members engage in an unprecedented partnership with other members of the Bay Area community.

RECOMMENDATION

I RECOMMEND:

- A. THAT the Joint Policy Committee adopt the attached Policies for the Bay Area's Implementation of SB 375 (the Policies); and
- B. THAT the Joint Policy Committee refer and commend the Policies for adoption by its member agencies.



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JOINT POLICY COMMITTEE

Policies for the Bay Area's Implementation of Senate Bill 375

Introduction

SB 375¹ (Steinberg) was passed by the California State Assembly on August 25th, 2008, and by the State Senate on August 30th. The Governor signed it into law on September 30th, 2008.

The bill mandates an integrated regional land-use-and-transportation-planning approach to reducing greenhouse-gas (GHG) emissions from automobiles and light trucks, principally by reducing vehicle miles traveled (VMT). Within the Bay Area, automobiles and light trucks account for about 26 percent of our 2007 GHG inventory² and about 64 percent of emissions from the transportation sector.

SB 375 explicitly assigns responsibilities to the Association of Bay Area Governments (ABAG) and to the Metropolitan Transportation Commission (MTC) to implement the bill's provisions for the Bay Area. Both agencies are members of the Joint Policy Committee³ (JPC). The policies in this document were approved by the JPC and provide guidance to the two lead regional agencies in fulfilling their responsibilities in collaboration with their JPC partners, the Bay Area Air Quality Management District (Air District) and the San Francisco Bay Conservation and Development Commission (BCDC).

Bay Area Climate-Protection Context

On July 20th, 2007, the JPC approved a *Bay Area Regional Agency Climate Protection Program*⁴. This program has as a key goal: "To be a model for California, the nation and the world." Following from this key goal is a supporting goal: "Prevention: To employ all feasible, cost-effective strategies to meet and surpass the State's targets of reducing greenhouse-gas emissions to 1990 levels by 2020 and to 80% below 1990 levels by 2050." In pursuit of these goals, MTC's current Regional Transportation Plan (RTP) update, *Transportation 2035*⁵, has evaluated transportation strategies and investment programs relative to a target of reducing GHG emissions from on-road vehicles in the year 2035 by 40 percent compared to 1990 levels. ABAG has established the same target for assessing alternative land-use scenarios in the

¹ http://www.leginfo.ca.gov/pub/07-08/bill/sen/sb_0351-0400/sb_375_bill_20080930_chaptered.html

² Bay Area Air Quality Management District, *Source Inventory of Bay Area Greenhouse Gas Emissions*, December 2008 (http://www.baaqmd.gov/pln/documents/regionalinventory2007_003_000.pdf)

³ The Joint Policy Committee (JPC) is a regional planning consortium of the Association of Bay Area Governments (ABAG), the Bay Area Air Quality Management District (BAAQMD or the "Air District"), the San Francisco Bay Conservation and Development Commission (BCDC), and the Metropolitan Transportation Commission (MTC)

⁴ <http://www.abag.ca.gov/jointpolicy/JPC%20Action%20on%20Climate%20Protection.pdf>

⁵ http://www.mtc.ca.gov/planning/2035_plan/index.htm

development of the latest iteration of the region's policy-based forecast of population and employment: *Projections 2009*⁶.

The Bay Area's regional agencies have clearly recognized the primacy of the climate-change challenge as a driver of public transportation and land-use policy, and we have embraced the urgency of GHG reduction. The momentum established by our policies and actions to date will carry over into our implementation of SB 375. We do not regard SB 375 as a vexatious new requirement, but rather as an instrument to assist us in continuing and accelerating the climate-protection journey upon which we have already embarked. We are genuinely concerned with making real and measurable progress in reducing the impact which motor-vehicle travel has on the global warming problem. That concern will be paramount in our approach to SB 375 and is reflected in the policies which follow.

Policy Subject 1: Setting Targets

SB 375 requires that the California Air Resources Board (CARB) set GHG-reduction targets for cars and light trucks in each California region for the years 2020 and 2035. CARB must release draft targets by June 30, 2010 and adopt targets by September 30, 2010.

To assist in establishing these targets, CARB is required to appoint a Regional Targets Advisory Committee (RTAC) composed of representatives of Metropolitan Planning Organizations⁷ (MPOs), affected air districts⁸, the League of California Cities (the League), the California State Association of Counties (CSAC), local transportation agencies⁹, and members of the public—including homebuilders, environmental organizations, environmental-justice organizations, affordable housing organizations, and others. The Advisory Committee is tasked with recommending factors to be considered and methodologies to be used in establishing the targets, not recommending the targets themselves—though MPOs are explicitly permitted to recommend targets for CARB's consideration.

In recommending factors to be considered and methodologies to be used, the Advisory Committee may consider any relevant issues, including, but not limited to, data needs, modeling techniques, growth forecasts, the impacts of regional jobs-housing balance on interregional travel and GHG emissions, economic and demographic trends, the magnitude of GHG-reduction benefits from a variety of land use and transportation strategies, and appropriate methods to describe regional targets and to monitor performance in attaining those targets. The advisory committee shall provide a report with its recommendations to CARB no later than September 30, 2009, and CARB must consider the report before setting the targets. After the publication of the Advisory Committee Report, MPOs are required to hold at least one public workshop in their region. In establishing the targets, CARB is also required to exchange technical information with MPOs and associated air districts.

The prescribed target-setting process, including the multi-sector RTAC, creates a dynamic between *need* (i.e., the reduction required to contribute to the state's overall greenhouse-gas-reduction targets) and *feasibility* (i.e., the perceived probability of satisfying that need through

⁶ <http://www.abag.ca.gov/planning/currentfcst/news.html>

⁷ In the Bay Area, the Metropolitan Planning Organization is MTC.

⁸ In the Bay Area, the Bay Area Air Quality Management District.

⁹ In the Bay Area, this might include Congestion Management Agencies (CMAs), transit providers, and the transportation planning/streets-and-roads arms of local governments.

available regional planning and implementation mechanisms.) That dynamic may be premature and limiting. Until one goes through the actual process of producing and evaluating a target-based plan, the feasibility of that plan, and the target to which it responds, is mostly just conjecture. The necessity to limit the target based on an *a priori* judgment of feasibility is also obviated by the legislation's provision of an escape valve, the Alternative Planning Strategy (APS), which provides a mechanism to identify additional measures if target achievement proves not to be feasible in the initial plan, the Sustainable Communities Strategy (SCS).

In the 2009 RTP update and in the *Projections 2009* process, ABAG and MTC have established very aggressive GHG-reduction targets, based on the transportation sector's large contribution to the region's GHG inventory and on the science-based need to reduce GHGs to 80 percent below 1990 levels by the year 2050. The Bay Area's regional agencies are committed to achieving a significant reduction in transportation-related GHGs and are opposed to constraining that reduction by setting targets that are too low and that do not provide sufficient challenge to business as usual. We also want to ensure our efforts are rewarded with observable progress, not just with well-intentioned but unimplemented plans.

Policy 1:

The Bay Area regional agencies will fully participate in CARB's regional target-setting process. This participation will occur, to the extent possible, through the RTAC process, through the exchange of data and information with CARB, and through the authority given MPOs to independently recommend targets for their regions.

In their participation, the Bay Area regional agencies will seek factors, methodologies, and targets that *do not* limit this region's ability to achieve significant GHG reductions and that *do* provide significant challenges to current trends and habits.

The regional agencies will also seek unambiguous and accurate metrics of target achievement, so that performance relative to the targets can be confidently and unarguably assessed.

Policy Subject 2: Modeling the Relationship between Transportation and Land Use

Travel models (mathematical simulations of travel behavior relative to the regional transportation system and the distribution of land uses) are used to compare the impact of alternative transportation strategies, alternative investment packages and alternative land-use patterns. The land-use patterns that are fed into the travel models are also, in part, generated by mathematical models of economic and demographic trends.

SB 375 requires that the California Transportation Commission (CTC), in consultation with the California Department of Transportation (Caltrans) and CARB, maintain guidelines for travel models. The guidelines must, to the extent practicable within resource constraints, account for:

- The empirical relationship among land-use density, automobile ownership, and vehicle miles traveled (VMT);
- The impact of enhanced transit service on vehicle ownership and VMT;
- Induced travel behavior and land development likely to result from highway or rail expansion;

- Mode splits between automobile, transit, carpool, bicycle, and pedestrian trips;
- Speed and frequency, days, and hours of operation of transit service.

SB 375 also requires that MPOs disseminate the methodology, results, and key assumptions of their travel models in a way that would be usable by and understandable to the public.

Models will be key tools in developing and assessing the alternative transportation and land-use strategies required to implement SB 375. MTC is currently replacing its travel model with a new instrument more attuned to the CTC guidelines. ABAG is about to update its land-use forecasting models.

This is an opportune time to ensure that the region's models are integrated and can be used in an iterative manner, with not only the land-use models feeding into the travel model but with the travel model also feeding back into the land-use models so that the development impacts and requirements of various transportation measures and investments can be more confidently evaluated and so that a mutually reinforcing land-use *and* transportation strategy can be constructed. At present, the relationship is very linear and one-way, with the land-use forecast informing the travel model but the travel model only indirectly influencing how we forecast land use. Achieving two-way integration will require a much closer working relationship between ABAG and MTC staff engaged in modeling and forecasting than has heretofore been the case.

While the models are very technical and complex, it is also a worthy and responsible objective to aim for more public transparency of model methodologies, assumptions and particularly limitations.

Policy 2:

The Bay Area regional agencies will work together to construct an integrated and transparent modeling system which facilitates technical, decision-maker and public understanding of how land-use and transportation decisions can be coordinated so as to reduce GHG emissions.

Policy Subject 3: Preparing a Sustainable Communities Strategy and an Alternative Planning Strategy

SB 375 requires that each MPO (MTC and ABAG in the Bay Area) prepare a sustainable communities strategy (SCS). This strategy is to, among other things, constitute the land-use forecast for the Regional Transportation Plan (RTP) and must comply with federal requirements for that forecast, including most importantly that it be judged to be realistically attainable during the twenty-five-year period of the RTP. One criterion for judging realistic attainability is congruence with local-government general plans, specific plans and zoning.

The SCS shall be adopted as part of the RTP¹⁰ and shall:

- Identify the general location of uses, residential densities, and building intensities within the region;
- Identify areas within the region sufficient to house *all* the population of the region, including all economic segments of the population, over the course of the planning period of the RTP

¹⁰ The next RTP update, and the first to which SB 375 will apply, is scheduled to be adopted in March 2013.

(i.e., 25 years), taking into account net migration into the region, population growth (presumably referring to natural increase), household formation, and employment growth;

- Identify areas within the region sufficient to house an eight-year projection of the regional housing need;
- Identify a transportation network to service the transportation needs of the region;
- Gather and consider the best practically available scientific information regarding resource areas and farmland in the region;
- Consider state housing goals;
- Forecast a development pattern for the region, which when integrated with the transportation network and other transportation measures and policies, will achieve, to the extent practicable, the targeted greenhouse-gas emission reduction from automobiles and light trucks, while also permitting the RTP to comply with the Clean Air Act;
- In doing all of the above, consider spheres of influence that have been adopted by LAFCOs.

Some believe that the SCS is just ABAG's *Projections* under another name and with slightly different prescriptions and constraints. It is much more than that. While the SCS will, in part, play a role similar to *Projections* in the RTP, it is not just a land-use forecast, but a preferred development pattern *integrated* with the transportation network and with transportation measures and policies. It approaches in intent and content a comprehensive land-use and transportation plan for the region. As such, it should play a more fundamental guiding role for the RTP than does *Projections*, which is mostly used now for the Environmental Impact Report (EIR) and for air quality conformity analysis accompanying the RTP.

Before adopting the SCS, we will be required to quantify the reduction in greenhouse gas emissions projected to be achieved by the SCS and identify the difference (if any) between that reduction and the CARB targets for the region.

If the SCS is unable to reduce greenhouse gas emissions to the targeted levels, then we must prepare an Alternative Planning Strategy (APS) showing how the greenhouse-gas targets would be achieved through alternative development patterns, infrastructure, or additional transportation measures or policies. The APS is a separate document from the RTP but may be adopted at the same time as the RTP. In preparing the APS, we are required to:

- Identify the principal impediments to achieving the targets through the SCS;
- Describe how the GHG targets would be achieved by the alternative strategy and why the development pattern, transportation measures and transportation policies in the APS are the most practicable choices for the achievement of those targets;
- Ensure that the APS complies with all the federal requirements for an RTP "except to the extent that compliance with those requirements would prevent achievement of the GHG targets" (i.e., the APS is essentially exempted from the criterion of realistic attainability);
- Develop the APS in the same manner and consider the same factors as we would to develop an SCS.

The APS is essentially a more aggressive GHG-reduction strategy than would be permissible under the federal requirements for an RTP—i.e., financially constrained and with a realistic land-use forecast.

As the SCS is an official part of the RTP, it is required by federal law to be internally consistent with the other parts of the RTP, including the financially constrained transportation investment package. This is what gives the SCS its power: transportation projects identified for funding in the RTP investment package must be consistent with the SCS¹¹.

As the APS is not included in the RTP and therefore does not influence transportation investment, its potential impact is much more limited. It serves essentially two purposes, the first explicit in the legislation, the second implicit: (1) to provide access to some California Environmental Quality Act (CEQA) concessions for qualifying development projects¹², and (2) to provide a means through which the state can be informed of additional powers, authorities or resources required to meet regional GHG-reduction targets.

The Bay Area's regional agencies are committed to making a real difference in reducing GHGs. Therefore, it is in our interest to achieve as much progress toward this region's targets in the SCS as possible. Those land-use changes, transportation measures and transportation policies which can only be identified in the APS are essentially those that we have conceded cannot be implemented; that is, we cannot provide the required assurances to the federal government that those changes, measures, and policies meet the realism test—at least not within the current distribution of authorities. If the changes, measures and policies are not real, then the GHG reductions are also not real. We will not attain the on-the-ground improvement we desire and need.

Meeting the realism test for the SCS requires two preconditions: (1) alignment of local land-use policy with the preferred land-use pattern in the SCS¹³ and (2) authority and resources to undertake the required transportation policies and measures. To maximize our probability of success, we need to be acquiring those preconditions now, building upon the momentum that we have established with the target driven RTP, *Transportation 2035*, with the performance-based

¹¹ The legislation specifically excludes a subset of investment projects from this requirement, including those contained in the 2007 or 2009 Federal Statewide Transportation Program (STP), those specifically listed in a sales tax ballot measure approved before the end of the 2008, and arguably those funded through Proposition 1-B (2006). Further the legislation does not require a sales tax authority to change the funding allocations approved by voters for categories in a sales tax measure adopted before the end of 2010.

¹² CEQA concessions are extended to two potentially overlapping types of development projects: (1) a residential or mixed-use project consistent with an SCS or APS; and (2) specifically defined "transit priority projects" (TPPs). Subject to incorporating mitigation measures from previous reviews, the EIRs for SCS- or APS-consistent projects will not be required to address growth-inducing impacts, global warming impacts, or regional transportation network impacts. Further SCS- or APS-consistent development projects will not have to prepare a reduced-density alternative to address local traffic impacts. TPPs will be exempt from CEQA review if they are consistent with an SCS or APS and comply with a long list of other mandatory and optional criteria.

¹³ SB 375 explicitly provides that neither the SCS nor the APS will regulate the use of land or supersede the exercise of the land-use authority of cities and counties. It further stipulates that there is no requirement that a city's or county's land-use polices and regulations, including its general plan, be consistent with the RTP (including the SCS) or with the APS. Therefore, alignment of local land-use policy with the SCS will have to be voluntary.

Projections 2009 and with the Bay Area's voluntary development and conservation strategy, *FOCUS*¹⁴.

Transportation 2035 has been instrumental in introducing climate protection as a core regional transportation planning objective to the CMAs and to other transportation planning and operating agencies. The *Projections 2009* process has initiated a productive discussion with local-government officials on the impact that land-use and development has on transportation GHGs. *FOCUS* has provided mechanisms, priority development areas (PDAs) and priority conservation areas (PCAs), through which the regional agencies and local governments can partner on achieving a land-use pattern that contributes to lower VMT and hence fewer GHG emissions.

To enable the region to prepare a genuinely effective SCS in association with the 2013 RTP, the cooperative policy discussions begun with the 2009 RTP and with *Projections 2009* need to continue and accelerate over the next few years and into the formal beginning of the SCS process. A successful SCS will not be proposed and imposed by the regional agencies, but will be built and owned cooperatively at all levels by all the transportation and land-use authorities in the Bay Area.

We also need to make substantial progress on the implementation of the PDAs and PCAs, so that local governments have concrete examples upon which to draw when constructing local plans that are consistent with the SCS. And we need to establish trust among local governments that substantial regional and state assistance to PDAs and PCAs is truly forthcoming. Full local-government participation in the *FOCUS* PDA and PCA initiatives is conditioned on the provision of incentive funding. In *Transportation 2035* MTC established a \$2.2-billion¹⁵ Transportation for Livable Communities (TLC) account to, in part, assist PDAs and transit-oriented development. Early programming of dollars in the TLC account can set a positive stage for an SCS that enjoys local-government support and, therefore, is more likely to be realistically attainable.

Policy 3

The Bay Area regional agencies are committed to achieving the region's GHG-reduction targets through the SCS and will prepare an APS only as a last resort.

To assist in the preparation of a realistic and attainable SCS, the regional agencies will:

- Form a partnership with local transportation and land-use authorities and with other relevant stakeholders to cooperatively prepare an SCS, beginning no later than the end of 2009;
- Begin programming and allocating funds from the \$2.2 billion TLC account no later than fiscal year 2010-11 so as to demonstrate a tangible commitment to priority development areas that assist in reducing GHGs;
- Initiate joint programming of regional-agency funding (e.g., MTC and BAAQMD grants) to achieve synergies and maximize combined impact;

¹⁴ <http://www.bayareavision.org/initiatives/index.html>

¹⁵ As a federal requirement, enumerated in escalated dollars of the day.

Policy 3 continued

- Give priority consideration to SCS-supportive incentives in the allocation and programming of new funding (e.g., the federal stimulus package) as it becomes available to the regional agencies;
- Advocate for early and appropriately directed incentives for PDAs and PCAs from existing state programs and for the creation of additional incentive mechanisms through new state legislation in advance of the SCS;
- Work with federal agencies to ensure that fiscal constraints and realism tests account for reasonable and probable changes in policy and financial capacity between plan initiation and the RTP horizon year;
- Advocate for road pricing and other transportation measures and authorities that can contribute to reducing VMT and hence GHGs.

Policy Subject 4: Achieving Consistency with Adjacent Regions

As referenced under Policy Subject 3, the SCS will be required to identify areas within the region sufficient to house all the population of the region, including all economic segments of the population, taking into account net migration into the region, natural increase, household formation, and employment growth.

This is a substantial departure from present regional-planning practice, which has assumed some spillover of Bay-Area-generated housing and transportation demand into adjacent regions, particularly into the Central Valley. We can plan to accommodate all our population growth, but our plans are unlikely to be realized if they are not consistent with those of our neighboring regions, who may continue to plan on the basis of accommodating exogenous demand from the Bay Area. Early and frequent discussions with surrounding regions to coordinate assumptions and policies is, therefore, required.

Policy 4:

The Bay Area regional agencies will initiate discussions and consult with our neighboring regions throughout the model-development and SCS planning processes to facilitate consistency in assumptions and policies.

Policy Subject 5: Synchronizing and Conforming the SCS and the RTP with the Regional Housing Needs Allocation (RHNA)

SB 375 requires that the RHNA/housing element cycle will be synchronized and coordinated with the preparation of every other RTP update, starting with the first update after 2010 (i.e., 2013). RTP updates occur every four years, and housing elements must be adopted by local governments eighteen months after the adoption of the RTP. With a few exceptions, the region will now be on an eight-year RHNA cycle and local governments will be on eight-year housing-element cycles. In addition to synchronizing with the preparation of the RTP and the SCS contained therein, the RHNA allocation must be consistent with the development pattern included in the SCS, and the resolution approving the RHNA shall demonstrate that it is

consistent with the SCS. Housing elements and associated local zoning adopted pursuant to the RHNA may be among the most important means for making the SCS real.

The 2008 ABAG RHNA process was the first in the state to explicitly connect the regional housing allocation to the sort of focused-growth and transit-oriented development principles which are likely to be central to the SCS. We, therefore, have a head start on the consistency requirements of SB 375. However, many of jurisdictions that received higher RHNA numbers as the result of the newly applied principles also persuasively argued that they required additional resources to respond to the infrastructure and service requirements of more housing and population. A more intimate connection with the RTP will be required to assist resources to flow in the same direction as housing requirements.

Existing law makes MTC responsible for the RTP and ABAG responsible for the RHNA. SB 375 makes both agencies jointly responsible for the SCS, though the SCS will also be adopted as part of the RTP. To ensure coordination and complementariness and to ensure that both agencies are fully cognizant of their commitments to each other and of their joint commitments to other partners and the region, all three instruments—the RTP, the RHNA and the SCS—should be developed and adopted together as a regional-agency partnership.

Policy 5:

The SCS, RTP and RHNA will be developed together through a single and integrated cross-agency work program.

Progress and interim products in the cross-agency work program will be reported *first* to the JPC, and through the JPC to the committees, boards, and commission charged with making draft and final decisions on each of three policy instruments: MTC for the RTP, ABAG for the RHNA, and both for the SCS.

The JPC may, from time to time, form subcommittees, including additional representatives from each of the agencies, to facilitate broadened vetting of significant draft documents.

To the extent feasible, policy reports and adopting resolutions for each of policy instruments will reference implications for the other instruments so that all decisions are cognizant of interdependencies.

Policy Subject 6: Providing CEQA Assistance

SB 375 provides various levels of CEQA assistance to housing and mixed-use development projects based on their conformity with a number of criteria, including consistency with an SCS or APS. However, the legislation only vaguely defines “consistency” and then in manner which may not be compatible with current Bay Area regional land-use planning practice. One approach to clarifying “consistency” is the preparation of a programmatic environmental impact review (EIR) for the SCS (and for the APS, if required). Development projects, as well as infrastructure projects, might also be able to “tier off” this EIR, and thus become eligible for additional CEQA assistance in addition to that provided through SB 375. The feasibility of this approach, and of alternatives, requires the resolution of a number of technical and legal issues, including the relationship to the EIR presently prepared for the RTP. Work to resolve these issues needs to occur as soon as possible as it will clearly affect the manner in which we prepare the SCS/APS.

DRAFT 3/12/2009

Policy 6:

In consultation with appropriate CEQA authorities, the regional agencies will develop and finalize, no later than June 2010, a functional design for the structure and content of the SCS, the APS and associated environmental impact review documents sufficient for these to be confidently employed as the basis for determining eligibility for CEQA assistance as contemplated in SB 375 and, if feasible, to provide additional CEQA assistance for projects which contribute positively to environmental objectives for the region.

Policy Subject 7: Aligning Regional Policies

While ABAG and MTC develop the region's first SCS, the Air District and BCDC will also be putting together policies and regulations that will affect the region's distribution of land uses and the placement of public infrastructure. Both agencies may, as well, propose projects which could be included in the RTP.

In its effort to control criteria pollutants (e.g. ozone precursors and particulate matter), the Air District may, under existing authority, consider an indirect source rule (ISR) that regulates the construction and long-term transportation impacts of land development and requires mitigation or payments in lieu for development which does not meet established standards. Of particular concern is development which is deemed to increase automobile travel and hence vehicle emissions. The Air District may also seek to limit development in certain areas so as to reduce exposure to noxious particulate matter and other localized air toxins.

BCDC will be preparing an adaptation plan to prepare for inevitable sea-level rise and storm surges affecting areas on and near the Bay shoreline. This will have implications for the location of future development and perhaps for the relocation of present development and infrastructure.

It is essential that both the Air District's work and BCDC's be aligned with the SCS so that the regional agencies complement and do not contradict one another. Confusion will not contribute to the multi-level collaboration required to achieve a sustainable communities strategy that works.

Policy 7:

Starting immediately, all regional-agency policies affecting the location and intensity of development or the location and capacity of transportation infrastructure will be vetted through the JPC and evaluated against the filter of the emerging SCS.



Office of the City Manager

April 13, 2009

Mr. Ted Droettboom
 Regional Planning Program Director
 Joint Policy Committee
 101 Eighth Street
 Oakland, CA 94604

Dear Mr. Droettboom:

Thank you for the opportunity to review and comment on the Draft Policies for the Bay Area's Implementation of Senate Bill 375. We understand that these policies set forth the "ground rules" for the interdisciplinary work of the four regional agencies pursuant to the legislation, and the goal in the JPC-approved Bay Area Regional Agency Climate Protection Program to employ all feasible, cost-effective strategies to meet and surpass the State's targets of reducing greenhouse gas (GHG) emissions.

Overall, we support the majority of the general policy statements in the document dated January 15, 2009. We would like to highlight a couple of key issues.

Policy #2: Integrated and Transparent Modeling System: We agree that a transparent modeling system is critical to the success of this effort. Transparency needs to go beyond the regional agencies. It is essential that local jurisdictions have meaningful participation in the development of the model that will be used as a basis for the Sustainable Communities Strategy, and related regional planning efforts (e.g., Regional Housing Needs Assessment, Regional Transportation Plan, etc.).

Policy #7: All Regional Policies to be Vetted through JPC First: It is premature to establish this policy. The representation issues for the JPC are currently in flux, and until local jurisdictions are comfortable that their interests will be adequately heard by the JPC, this policy should not be adopted. Similarly, Policy #5 should be amended to delete the second sentence regarding "cross-agency work products will be reported first to the JPC."

Future Policy Considerations

We look forward to working with the JPC and the regional agencies on the specific policies that will be needed to meet SB375. Below are some initial ideas for future consideration in terms of land use, transportation, and Regional Housing Needs Assessment (RHNA).

Land Use Considerations. We encourage the JPC to consider including in its set of policies some incentives or credits for GHG-reducing measures that jurisdictions are already implementing, such as focusing growth to transit locations. Other examples of such measures



Mr. Ted Droettboom
 Subject: Comments on Draft SB 375 Policies
 April 13, 2009
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include the City of San José's Green Vision and San José's Green Building policies (see attachments). Many of the actions associated with these measures can result in significant reductions in GHGs.

Transportation Considerations. San José has been a leader in the pursuit and implementation of Regional Transportation policies that encourage residential and nonresidential densities, increase transit use and relieve traffic congestion by reducing the number of single occupant drivers. Taken together these efforts are an important step toward significantly reducing the number of vehicle miles traveled and the levels of greenhouse gas emissions. These efforts can be built upon at the regional level as we implement the directives of SB 375. The pursuit and implementation of the Sustainable Communities Strategy (SCS) is consistent with San José's efforts to date and we would welcome the Region's participation in similar efforts.

Working with the Santa Clara Valley Transportation Authority (VTA) and MTC in the development of the Transportation 2035 Regional Plan update San José has supported and recommends the following initiatives:

- Emphasize the importance of maintaining existing roadways and transit facilities by investing regional funds in local streets and roads and transit rehabilitation.
- Encourage Transit expansion (BART, High Speed Rail, and Light Rail) and the development of more "Transit Friendly" communities.
- Encourage the development, use and public agency fleet expansion of alternative fuel vehicles.
- Support the expansion of Project Development Areas (PDA's) development incentives that are funded through the use of the nearly \$2.2 billion in regional Transportation for Livable Communities (TLC) funds.
- Through PDA's and the expansion of the Regional Bicycle Network, expand development of bicycle and pedestrian improvements to encourage increased use and mode shift.
- Develop the Regional "HOT Lane" network in an effort to further reduce VMT and ensure that resources generated by any express lane program are returned to source for the funding of local transit expansion and maintenance, thereby further reducing VMT.
- Encourage Region wide development of congestion pricing strategies (Toll Roads, VMT, VLF, etc.)
- Recommend substantial reinvestment in Transportation and Transit at the Federal level by supporting significant expansion of next Authorization of the Federal Transportation program. Any New Authorization should include:
 - A 25 to 40 cent increase in the Federal Gas Tax
 - Streamlining of the number federal transportation programs
 - Increase in the return to source and local control of the Federal allocation
 - Emphasis on the development of "Green Technologies" and low emission vehicles

San José has already initiated and expanded many of these efforts and welcomes regional support in their further development.

Mr. Ted Droettboom
Subject: Comments on Draft SB 375 Policies
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RHNA Considerations. Reducing vehicle miles traveled is an important objective. Encouraging an increase in public transportation options and the use of more efficient vehicles both will help the State meet its GHG-reduction targets. But more action is needed. It is imperative that residents are provided opportunities to, and are encouraged to, live and work in the same community. By locating housing near employment, the need to travel long distances to work is no longer necessary thus resulting in a reduction in vehicle miles driven and lower GHG emissions. Some cities have considerably more jobs than housing for their employees, or have high cost housing and low wage jobs. Both of these situations result in the need for workers to travel distances, sometimes long distances, between work and home. Other cities have the opposite situation, where employed residents exceed the number of jobs. This also results in the need for employees to travel to reach a job outside their home town.

Currently the Regional Housing Needs Allocation (RHNA) does not consider the jobs-housing balance, or jobs-housing *imbalance*, when allocating housing goals. In order to further the goals of SB375, RHNA goals should allocate additional housing capacity to those jurisdictions that have a surplus of jobs. This will encourage the development of housing opportunities near current employment centers, providing employees with the chance to live and work in the same community. Additionally, the State should consider RHNA allocation goals when allocating affordable housing funding to jurisdictions. Those jurisdictions with the highest State housing goals should be given preference in the allocation of these scarce resources.

Amendments to SB 375

SB 575 is a placeholder bill for potential amendments to SB375. We recommend that the JPC support amending SB 375 to address: 1) accounting for beneficial actions (such as those described in this letter) in a quantifiable manner, and 2) liberalizing CEQA review for projects that incorporate these measures. With these recommendations we can more readily reduce GHGs by implementing all practical and cost-effective methods available.

Conclusion

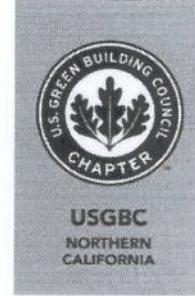
We look forward to the collaborative involvement with local jurisdictions to meet the requirements of SB375. Thank you again for the opportunity to comment. If you have questions or need additional information, please contact Laurel Prevetti, Assistant Director of Planning, Building, and Code Enforcement at 408/535-7901.

Sincerely,



Debra Figone
City Manager

Attachments



May 1, 2009

BOARD OF DIRECTORS

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 & DEAN, LLP

Chairperson Scott Haggerty and Members of the Joint Policy Committee
 P.O. Box 2050
 Oakland, CA 94604-2050

RE: Draft Policies for Implementation of SB 375

Dear Chairperson Haggerty and Members of the Joint Policy Committee:

On behalf of the Northern California Chapter of the U.S. Green Building Council (USGBC-NCC), thank you for the opportunity to comment on the Joint Policy Committee's draft policies for implementation of SB 375.

The USGBC is a national, non-profit organization committed to expanding sustainable building practices and sustainable communities. With nearly 1500 members, the Northern California Chapter of the USGBC is an active advocate for built environments that are environmentally responsible, profitable and healthy places to live and work.

SB 375 presents the opportunity to drastically alter the course of land use planning and development, both here in the Bay Area and throughout the State of California. However, the bill could also be rendered ineffectual if MPOs and local decision makers choose not to use SB 375 as a tool to lower greenhouse gas emissions, but rather as just one more legislative mandate demanding perfunctory compliance.

USGBC-NCC applauds the JPC's stated goal to recognize the primacy of climate change as a driver of land use policy, and to regard SB 375 as an "instrument to.... continue and accelerate the climate-protection journey." We strongly support the draft policies' ambitious goals for implementation of SB 375 in the region, and agree that the Bay Area should strive throughout the implementation process to be a model for California.

In furtherance of those goals, we offer the following comments on the draft policies:

- *The SCS should limit Vehicle Miles Traveled (VMTs) to the greatest extent feasible:* We agree that the SCS is not just a land use forecast, but a preferred development pattern. The SCS should therefore incorporate a land use plan that reflects existing development but also contains development policies and plans that limit VMTs to the greatest extent feasible.

- *Programmatic EIRs:* Development projects that are consistent with and support the policies of the SCS or APS should receive meaningful CEQA relief. USGBC-NCC supports preparation of a thorough Programmatic EIR for the SCS/APS so that eligible development projects are able to tier off of that PEIR .
- *Incentives:* The SCS/APS should include recommendations for incentives for projects that are consistent with the SCS/APS, such as expedited permitting processes and reduction/elimination of fees or assessments. In addition, the SCS should include incentives for local jurisdictions to modify local land use plans for consistency with the SCS/APS.

We look forward to working closely with the JPC and other stakeholders to develop policies for meaningful implementation of SB 375 in order to achieve the ultimate goal of attaining substantial GHG reductions in the Bay Area.

Sincerely,



Andrea Traber
President, Board of Directors
USGBC-NCC



Dan Geiger
Executive Director
USGBC-NCC

cc: Ted Droettboom, Regional Planning Program Director

2009 LS&R NEEDS/REVENUE SURVEY RESPONSES

As of May 26, 2009

ALAMEDA	Survey	"X" = Data Useable		
		Part 2	Part 3	Part 4
Alameda County	3/16/2009	X	X	X
Alameda	3/10/2009	X	X	X
Albany	3/16/2009	X	X	X
Berkeley	3/10/2009	X	X	X
Dublin	3/10/2009	X	X	X
Emeryville	3/16/2009	X	X	X
Fremont	3/23/2009	X	X	X
Hayward	3/10/2009	X	X	X
Livermore	5/11/2009	X	X	X
Newark	3/10/2009	X	X	X
Oakland	4/2/2009	X	X	X
Piedmont	3/24/2009	X	X	X
Pleasanton	3/26/2009	X	X	X
San Leandro	3/10/2009	X	X	X
Union City	3/10/2009	X	X	X
TOTAL	15	15	15	15

NAPA	Survey	"X" = Data Useable		
		Part 2	Part 3	Part 4
Napa County	3/13/2009	X	X	X
American Canyon	5/21/2009	X	X	X
Calistoga	5/22/2009	X	X	X
Napa	3/9/2009	X	X	X
St. Helena	5/22/2009	X	X	X
Yountville	5/18/2009	X	X	X
TOTAL	6	6	6	6

*Requested Napa surveys by 3/31/09 - emailed Diana Vargas - no reply

SANTA CLARA	Survey	"X" = Data Useable		
		Part 2	Part 3	Part 4
Santa Clara County	3/13/2009	X	X	X
Campbell	3/20/2009	X	X	X
Cupertino	3/23/2009	X	X	X
Gilroy	4/2/2009	X	X	X
Los Altos	3/13/2009	X	X	X
Los Altos Hills	3/13/2009	X	X	X
Los Gatos	3/13/2009	X	X	X
Milpitas	3/13/2009	X	X	X
Monte Sereno	3/23/2009	X	X	X
Morgan Hill	4/3/2009	X	X	X
Mountain View	3/13/2009	X	X	X
Palo Alto	2/3/2009	X	X	X
San Jose	3/13/2009	X	X	X
Santa Clara	3/6/2009	X	X	X
Saratoga	3/13/2009	X	X	X
Sunnyvale	3/13/2009	X	X	X
TOTAL	16	16	16	16

Part 2 = Unit Cost Data
 Part 3 = Non-Pavement Data
 Part 4 = Revenue Data

CONTRA COSTA	Survey	"X" = Data Useable		
		Part 2	Part 3	Part 4
Contra Costa County	3/9/2009	X	X	X
Antioch	5/15/2009	X	X	X
Brentwood	3/9/2009	X	X	X
Clayton	3/9/2009	X	X	X
Concord	3/9/2009	X	X	X
Danville	3/24/2009	X	X	X
El Cerrito	4/1/2009	X	X	X
Hercules	3/19/2009	X	X	X
Lafayette	3/6/2009	X	X	X
Martinez	5/15/2009	X	X	X
Moraga	3/19/2009	X	X	X
Oakley	3/9/2009	X	X	X
Orinda	3/9/2009	X	X	X
Pinole	3/30/2009	X	X	X
Pittsburgh	3/16/2009	X	X	X
Pleasant Hill	5/15/2009	X	X	X
Richmond	3/20/2009	X	X	X
San Pablo	5/6/2009	X	X	X
San Ramon	3/9/2009	X	X	X
Walnut Creek	3/17/2009	X	X	X
TOTAL	20	20	20	20

SAN FRANCISCO	Survey	"X" = Data Useable		
		Part 2	Part 3	Part 4
San Francisco	3/25/2009	X	X	X
TOTAL	1	1	1	1

SOLANO	Survey	"X" = Data Useable		
		Part 2	Part 3	Part 4
Solano County	3/2/2009	X	X	X
Benicia	3/19/2009	NA	X	X
Dixon	3/11/2009	X	X	X
Fairfield	3/11/2009	X	X	X
Rio Vista*				
Suisun City	3/19/2009	X	X	X
Vacaville	3/24/2009	X	X	X
Vallejo	3/19/2009	X	X	X
TOTAL	7	7	7	7

SONOMA	Survey	"X" = Data Useable		
		Part 2	Part 3	Part 4
Sonoma County	3/13/2009	X	X	X
Cloverdale	3/20/2009	X	X	X
Cotati	5/7/2009	X	X	X
Healdsburg	3/26/2009	X	X	X
Petaluma	3/10/2009	X	X	X
Rohnert Park	3/9/2009	X	X	X
Santa Rosa	3/12/2009	X	X	X
Sebastapol	4/1/2009	X	X	X
Sonoma	3/16/2009	X	X	X
Windsor	3/9/2009	X	X	X
TOTAL	10	10	10	10

MARIN	Survey	"X" = Data Useable		
		Part 2	Part 3	Part 4
Marin County	3/9/2009	X	X	X
Belvedere	5/20/2009	X	X	X
Corte Madera	3/9/2009	X	X	X
Fairfax	3/9/2009	X	X	X
Larkspur	3/9/2009	X	X	X
Mill Valley	3/18/2009	X	X	X
Novato	3/9/2009	X	X	X
Ross	3/9/2009	X	X	X
San Anselmo	3/9/2009	X	X	X
San Rafael	3/9/2009	X	X	X
Sausalito	3/11/2009	X	X	X
Tiburon	3/9/2009	X	X	X
TOTAL	12	12	12	12

SAN MATEO	Survey	"X" = Data Useable		
		Part 2	Part 3	Part 4
San Mateo County	3/9/2009	X	X	X
Atherton	3/9/2009	X	X	X
Belmont	3/9/2009	X	X	X
Brisbane	3/9/2009	X	X	X
Burlingame	3/9/2009	X	X	X
Colma	3/9/2009	X	X	X
Daly City	3/9/2009	X	X	X
East Palo Alto	4/1/2009	X	X	X
Foster City	3/11/2009	X	X	X
Half Moon Bay	3/27/2009	X	X	X
Hillsborough	3/16/2009	X	X	X
Menlo Park	3/26/2009	X	X	X
Millbrae	3/25/2009	X	X	X
Pacifica	3/13/2009	X	X	X
Portola Valley	4/3/2009	X	X	X
Redwood City	4/2/2009	X	X	X
San Bruno	3/9/2009	X	X	X
San Carlos	3/9/2009	X	X	X
San Mateo	3/9/2009	X	X	X
S. San Francisco	3/9/2009	X	X	X
Woodside	3/18/2009	X	X	X
TOTAL	21	21	21	21

REGION	#	%	Part 2	Part 3
Alameda County	15	100%	100%	100%
Contra Costa County	20	100%	100%	100%
Marin County	12	100%	100%	100%
Napa County	6	100%	100%	100%
San Francisco	1	100%	100%	100%
San Mateo County	21	100%	100%	100%
Santa Clara County	16	100%	100%	100%
Solano County	7	88%	88%	88%
Sonoma County	10	100%	100%	100%
TOTAL	108	100%	100%	100%



**METROPOLITAN
TRANSPORTATION
COMMISSION**

Joseph P. Bort MetroCenter
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Memorandum

TO: Local Streets and Roads Working Group

DATE: June 12, 2009

FR: Sri Srinivasan

RE: TIP Update

2009 TIP Revisions

TIP Revision 09-20 - Pending

TIP Amendment 09-20 makes revisions to 17 projects with a net decrease in funding of approximately \$5.5 million. The amendment adds seven new projects into the TIP: three transit projects (scheduled to receive part of the \$15.3 million in American Recovery and Reinvestment Act (ARRA) funds), two new planning projects (funded with Other Local funds), one grade crossing design project (funded with TCSP earmarks funds) and one pavement overlay project (funded with SLPP funds and Other Local funds). The amendment also updates funding plans of the ARRA funded SHOPP projects to reflect actual obligations, at the request of Caltrans and among other changes, the amendment also changes the funding plan for the Doyle Drive Replacement Project as follows: it moves approximately \$35 million from FY 2007-08 to FY 2008-09 for the Doyle Drive Replacement Project and changes the fund source for \$80 million from Other Local funds to AB1171 funds. The changes made with this revision will not affect the air quality conformity or conflict with the financial constraint requirements.

Revision 09-20 is expected to be approved by the MTC Commission on June 24, 2009. Caltrans approval is expected July 10, 2009 and final federal approval is expected in mid-August 2009.

TIP Revision 09-18 - Pending

Revision 09-18 is an amendment that makes revisions to a total of 34 projects with a net change in funding of \$76.5 million. It adds 12 new projects into the TIP, including the SR 12/29/221 Soscol Junction Interchange (Flyover) Study project with \$6.3 million in State funds; 10 regional planning projects; and a new TIP listing for the Pavement Technical Assistance Program (P-TAP). These were split from existing projects to mark the start of the new federal authorization period. One significant change in this amendment is the increase in costs of the Golden Gate Bridge - Suicide Deterrent System project, with \$5 million in FY 2010-11 and \$45 million in uncommitted funds in FY 2012-13. The changes made with this revision will not affect the air quality conformity or conflict with the financial constraint requirements.

Revision 09-17 was approved by the MTC Commission on May 27, 2009. Caltrans approval is expected June 12, 2009 and final federal approval is expected in mid-July 2009.

TIP Revision 09-17 - Pending

Revision 09-17 is an amendment that makes revisions to a total of 28 projects with a net decrease in funding of \$7.7 million. The amendment is the Annual All Transit or Program of Projects (POP) TIP amendment that makes revisions to transit projects to reflect the FY 2008-09 appropriations that were enacted in March as part of the omnibus appropriations act and the apportionments of the FTA 5307 and 5309 Fixed Guideway programs to urbanized areas that were released by FTA on April 27. One significant change in this amendment is the addition of \$12.6 million to the BART Car Replacement project. The changes made with this revision will not affect the air quality conformity or conflict with the financial constraint requirements.

Revision 09-17 was approved by the MTC Commission on May 27, 2009. Caltrans approval is expected June 12, 2009 and final federal approval is expected in mid-July 2009.

TIP Revision 09-16 - Approved

Revision 09-16 is an administrative modification that makes revisions to 8 American Recovery and Reinvestment Act (ARRA) funded grouped listings with a net increase in funding of approximately \$6.8 million. The back-up lists and costs of grouped listings are updated with this revision. The changes made with this revision will not affect air quality conformity or conflict with financial constraint requirements.

Revision 09-16 was approved by the MTC Director on May 22, 2009. Final Caltrans approval was received on May 27, 2009.

TIP Revision 09-15 – Approved

Revision 09-15 is an administrative modification that makes revisions to 41 projects with a net increase in funding of approximately \$2 million. Among other changes, it updates project lists and costs of three Caltrans managed SHOPP Grouped listings. Most of the modifications reflect adjustments to transit projects reconciling programmed amounts to actual appropriations. The changes made with this revision will not affect the air quality conformity or conflict with the financial constraint requirements.

Revision 09-15 was approved by the Deputy Executive Director on June 3, 2009. Final Caltrans approval was received on June 4, 2009.

TIP Revision 09-14 - Pending

Revision 09-14 is an amendment that revisions to a total of 27 projects with a net increase in funding of approximately \$6.6 million. The amendment serves to update projects to reflect the revised Urban Partnership Program Agreement (UPA). Among other changes, the UPP Pre-Implementation project (SF-070044) was deleted from the TIP and the new Congestion Pricing Study and Coordination project (SF-090028) was added into the TIP. The revision also adds three other new projects into the TIP, two that program the new State Local Partnership Program funds and one that programs the FLHP funds received. The amendment deletes the Santa Rosa City Bus Route 19 /12 (SON070014) project as it was duplicated in the TIP and the Caltrain Fare Equipment Replacement project (SM-030029) as all the funds within the TIP period are being transferred to the Signal/Communication Rehabilitation & Upgrades project (SM-050041). The funding plan of the I-680 Sunol Grade - Alameda project (ALA991084) was updated to include \$72 million in Proposition 1B SHOPP funds that were originally listed under the Grouped Listing - SHOPP - Mandated and Prop IB (VAR991009). The changes made with this revision will not affect the air quality conformity or conflict with the financial constraint requirements.

Revision 09-14 was approved by the MTC Commission on April 22, 2009. Caltrans approval was received on May 28, 2009 and final federal approval is expected in mid-June 2009.

TIP Revision 09-13 - Pending

Revision 09-13 is an amendment that makes revisions to 6 projects receiving American Recovery and Reinvestment Act (ARRA) funds with a net change in funding of approximately \$17.1 million. Among other changes, the amendment adds three new projects (Yountville SR 29 Bicycle Safety Improvements project - NAP090001, Pedestrian Signal Upgrades - SF-090029, and McGary Road Safety Improvements Project - SOL090004). The amendment also adds \$10 million in ARRA funds to the Vasco Road Safety Improvements - Contra Costa project (CC-050030). The changes made with this revision will not affect the air quality conformity or conflict with the financial constraint requirements.

Revision 09-13 was approved by the MTC Commission on April 22, 2009. Caltrans approval was received on May 27, 2009 and final federal approval is expected in mid-June 2009.

TIP Revision 09-12 – Approved

Revision 09-12 is an administrative modification that makes revisions to 21 projects receiving American Recovery and Reinvestment Act (ARRA) funds with a net increase in funding of approximately \$1.9 million. One significant change in this revision is the creation of the San Mateo County: Install TMS Elements (SM-090023) project by splitting the project originally listed in the SHOPP – Mobility Grouped Listing in the TIP (MTC050006) to allow for easier reporting and tracking of ARRA funds. The funding plan for the SR 24 - Caldecott Tunnel 4th Bore project was also updated by adding \$104.957 million in State ARRA funds in FY09 in place of \$31 million in RIP funds and \$73.957 million in CMIA funds programmed in the TIP. The changes made with this revision will not affect the air quality conformity or conflict with the financial constraint requirements.

Revision 09-12 was approved by the Director on April 22, 2009. Caltrans approval was received on April 24, 2009.

TIP Revision 09-11 – Approved

Revision 09-11 is an administrative modification that makes revisions to two projects receiving State American Recovery and Reinvestment Act (ARRA) funds with a net increase in funding of approximately \$4.1 million. The changes reflect the actions taken at the April California Transportation Commission meeting. The Marin US 101 HOV Gap Closure project (MRN990001) received \$2.1 million in State ARRA-TE funds and \$2 million in RIP funds in FY09. The funding plan for the SR 24 - Caldecott Tunnel 4th Bore project was updated by adding \$92.7 million in State ARRA funds in FY09 in place of \$2.7 million in IIP funds and \$90 million in CMIA funds programmed in the TIP. Changes made with this revision do not affect the air quality conformity or conflict with the financial constraint requirements.

Revision 09-11 was approved by the Director on April 16, 2009. Caltrans approval was received on April 16, 2009.

TIP Revision 09-10 – Approved

Revision 09-10 is an administrative modification that makes revisions to 13 American Recovery and Reinvestment Act (ARRA) funded grouped listings with a net decrease in funding of approximately \$7.8 million. One significant change in this revision is the creation of a Grouped Listing for Highway Maintenance Projects receiving ARRA funds (REG090034) by splitting the project originally listed in the SHOPP – Roadway Preservation Grouped Listing in the TIP (MTC050009) to allow for easier reporting and tracking of ARRA funds. All other changes primarily updated the back-up lists and costs of grouped listings. Changes made with this revision do not affect the air quality conformity or conflict with the financial constraint requirements.

Revision 09-10 was approved by the Director on April 10, 2009. Caltrans approval was received on April 13, 2009.

TIP Revision 09-09 – Approved

Revision 09-09 is an administrative modification that makes revisions to 17 projects with a net increase in funding of approximately \$13.7 million. One significant change in this revision is the addition of four million dollars in FTA 5309 New Starts funds to AC Transit's Enhanced Bus - Telegraph/International/East 14th project (ALA050017). The Caltrans managed Grouped Listing for State Highway Operations and Protection Program (SHOPP) – Emergency Response was updated to include three new projects in FY 2008-09 and one in FY 2009-10 with a net increase in cost of \$2.4 million. Changes made with this revision do not affect the air quality conformity or conflict with the financial constraint requirements.

Revision 09-09 was approved by the Director on April 9, 2009. Caltrans approval was received on April 13, 2009.

TIP Revision 09-08 – Approved

Revision 09-08 is an administrative modification that makes revisions to 6 projects with a net change in funding of \$3.15 million. The revision programs \$132,298,000 in federal American Recovery and Reinvestment Act (ARRA) funds in place of existing funding and adds Highway Maintenance projects. Among other changes, the US-101 Doyle Drive Replacement project in San Francisco (SF-991030) received \$50,000,000 in federal ARRA-SHOPP funding instead of later local funds to allow a segment of the project to be delivered sooner. Changes made with this revision do not affect the air quality conformity determination or conflict with financial constraint requirements.

Revision 09-08 was approved by the Deputy Executive Director on March 17, 2009. Caltrans approval was received on March 18, 2009.

TIP Revision 09-07 – Approved

Revision 09-07 was approved by the MTC Commission on February 25, 2009. Caltrans approval was received on March 2, 2009 and final federal approval was received on March 17, 2009.

TIP Revision 09-06 - Approved

Revision 09-06 is an amendment being processed by MTC. The 2009 TIP is presently a reflection of the 2030 Regional Transportation Plan (T-2030). MTC is in the process of developing and adopting an updated Regional Transportation Plan (T-2035). Amendment 09-06 serves to conform the 2009 TIP to the new Transportation 2035 Plan for air quality conformity purposes. TIP Amendment 09-06 modifies approximately 17 projects and adds approximately 134 non-exempt projects with a net increase in funding of roughly \$12.5 billion, including the addition of new projects as a result of recently approved voter initiatives, such as the Bay Area Rapid Transit District's (BART's)- Warm Springs to Silicon Valley with a total cost of \$7.587 billion and Sonoma Marin Area Rail Corridor (SMART) project for \$646 million; it adds the San Jose International Airport People Mover project for \$512 million; adds the Freeway Performance Initiative for \$222 million and adds the Bayview Transportation Improvements project for \$126 million. The amendment also adds various Proposition 1B Trade Corridors Improvement Fund (TCIF) projects recently adopted by the California Transportation Commission (CTC); adds new projects approved by the CTC in the 2008 State Transportation Improvement Program (STIP), reconciles project costs to the new RTP (T-2035), and adds or deletes other air quality non-exempt projects consistent with the new RTP. The conformity analysis done for the Transportation 2035 Plan also serves to reconform the entire 2009 TIP.

Revision 09-06 was approved by the MTC Commission on April 22, 2009. Caltrans approval was received on May 12, 2009 and final federal approval was received on May 29, 2009.

TIP Revision 09-05 - Approved

Revision 09-05 was approved by the MTC Commission on February 25, 2009. Caltrans approval was received on February 26, 2009 and final federal approval was received on March 17, 2009.

TIP Revision 09-04 - Approved

Revision 09-04 was approved by the MTC Commission on February 25, 2009. Caltrans approval was received on March 3, 2009 and final federal approval was received on March 17, 2009.

TIP Revision 09-03 - Approved

Final Caltrans approval for TIP Revision 09-03 was received on February 10, 2009.

TIP Revision 09-02 - Approved

Revision 09-02 was approved by the MTC Commission on December 17, 2008. Caltrans approval was received on January 7, 2009 and final federal approval was received on January 23, 2009.

TIP Revision 09-01 - Approved

Final Caltrans approval for TIP Revision 09-01 was received on December 16, 2008.

Projects in all the revisions can be viewed at: <http://www.mtc.ca.gov/funding/tip/revisions.htm> The FMS system has also been updated to reflect the approvals received. If you have any questions regarding any TIP project, please contact Sri Srinivasan at (510) 817-5793 or ssrini@mtc.ca.gov.



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P-TAP

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Pavement Management Program Certification Listing

In accordance with section 2108.1 of the Streets and Highway Code, MTC requires cities and counties submitting pavement maintenance and rehabilitation projects for funding to utilize a Pavement Management Program (PMP).

Section 2108.1 of the Streets and Highway Codes says:

By July 1, 1990, the City, County, State Cooperation Committee in the department shall develop and adopt a pavement management program to be utilized on local streets or highways that receive funding under the state transportation improvement program. The pavement management program shall be transmitted to every county or city for possible adoption or incorporation into an existing pavement management program. The City, County, State Cooperation Committee shall solicit recommendations from transportation planning agencies and any other entity the committee deems appropriate.

Based on the recommendation of the joint City, County, State Cooperation Committee, the MTC will grant certification to a jurisdiction when all of the following applies:

1. The Pavement Management Program used by the jurisdiction is capable of completing all the following:
 - Storing inventory data for all roads within the jurisdiction
 - Assessing the pavement condition based on distress information
 - Identifying all pavement sections that need rehabilitation or replacement
 - Calculating budget needs for rehabilitating or replacing deficient pavement sections
2. The jurisdiction completes all the following:
 - Reviews and updates the inventory information for all roads every two years. The review will include checking for road network completeness along with checking for the accuracy of the existing management sections.
 - Completes inspection of pavement sections for arterial and collector routes in the system every two years, and residential routes every 5 years.
 - Calculates budget needs for rehabilitating or replacing deficient pavement sections for the current year and the next three years.

To be certified please submit the following to MTC:

1. Your jurisdiction's latest updated pavement management database. If you are not using MTC PMP, please submit items #2 and #3 only. If you are using an MTC PMP software program please submit all files associated with the version of StreetSaver you are using. If you need assistance in accessing these files, please contact your [PMP coordinator](#).
2. The following 3 budget scenarios reports: 1) a report showing sections selected for treatment over the next five years based on your jurisdiction's annual budget estimates, 2) a report showing what would need to be done to maintain your jurisdiction's existing PCI, and 3) a scenario depicting a five-point increase of your jurisdiction's current PCI over the next five years. *(These types of reports are typically generated as part of the Pavement Management Technical Assistance Program (P-TAP) projects.)*
3. A signed letter by the Public Works Director, or equivalent department head, stating that all of the requirements in parts 1 and 2 above have been met. "[Sample letter](#)"

MTC will post certification status updates of Bay Area jurisdictions on this page the first day of every month. The updated certification will have an expiration date two years from the date when the last inspection of arterials and collectors in your network was completed.

Temporary exemptions from the certification process

* A jurisdiction may apply for a one-year extension if the department head submits a letter stating that reinspection will occur within one year. Extensions may not continue beyond three years from the last major inspection date.

** A jurisdiction, whose certification is expiring, may apply for pending status if it is in the process of inspecting its network. You must

notify the MTC in writing of your request for pending status, and include a reasonable date when inspections will be completed, or your certification will be considered expired. Jurisdictions who received a pending status because of their participation with the **P-TAP project (Rounds 7 & 8) had until February 15, 2008** to submit their documentation or be considered expired. **Round-9 participants had until December 31, 2008** to submit their documentation or be considered expired. **Round-10 participants have until September 30, 2009** to submit their documentation or be considered expired.

NOTE: Failure to submit your PMP Certification letter and/or extension request by the above deadlines and/or your Certification Expiration Date will result in a lapse in compliance and any Pending status will revert back to its original expiration date.

The information should be forwarded to your [PMP Contact](#).

Last Updated: June 1, 2009

[Alameda County](#) [Contra Costa County](#) [Marin County](#) [Napa County](#) [San Francisco County](#)

[San Mateo County](#) [Santa Clara County](#) [Solano County](#) [Sonoma County](#)

Note: An *italicized* status represents a certification expected to expire in ~ 45 days.

Alameda County

Jurisdiction	Last Major Inspection	Certified	Certification Expiration Date
County of Alameda	12/31/2005	Pending	P-TAP 10
Alameda*	03/31/2007	Yes	04/01/2010*
Albany*	07/31/2004	Pending	Under contract*
Berkeley	10/31/2008	Yes	11/01/2010
Dublin	09/30/2007	Yes	10/01/2009
Emeryville	01/31/2000	No	02/01/2002
Fremont	10/31/2006	Pending	P-TAP 10
Hayward*	10/31/2006	Pending	Under contract*
Livermore	04/30/2008	Yes	05/01/2010
Newark	05/30/2007	No	06/01/2009
Oakland	07/31/2008	Yes	08/01/2010
Piedmont	03/31/2009	Yes	04/01/2010
Pleasanton*	12/31/2006	Yes	01/01/2010*
San Leandro	03/31/2008	Pending	P-TAP 10
Union City	11/30/2007	Yes	12/01/2009

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Contra Costa County

Jurisdiction	Last Major Inspection	Certified	Certification Expiration Date
Contra Costa County	10/31/2006	Pending	P-TAP 10
Antioch	05/30/2007	No	06/01/2009
Brentwood	03/31/2007	No	04/01/2009
Clayton	04/30/2008	Yes	05/01/2010
Concord	03/31/2008	Yes	04/01/2010
Danville	12/31/2008	Yes	01/01/2011
El Cerrito	12/31/2007	Yes	01/01/2010
Hercules	09/30/2007	Yes	10/01/2009
Lafayette	01/31/2008	Yes	02/01/2010
Martinez	07/31/2007	Yes	08/01/2009
Moraga	06/30/2007	Yes	07/01/2009
Oakley	06/30/2007	Yes	07/01/2009
Orinda	07/31/2008	Yes	08/01/2010
Pinole	03/31/2008	Yes	04/01/2010
Pittsburg	09/30/2007	Yes	10/01/2009
Pleasant Hill	01/31/2008	Pending	P-TAP 10
Richmond	03/31/2008	Yes	04/01/2010

San Pablo	12/31/2007	Yes	01/01/2010
San Ramon	09/30/2007	Pending	P-TAP 10
Walnut Creek	06/30/2006	Pending	P-TAP 10

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Marin County

Jurisdiction	Last Major Inspection	Certified	Certification Expiration Date
Marin County	05/31/2007	No	06/01/2009
Belvedere	10/31/2005	No	11/01/2007
Corte Madera	09/30/2008	Yes	10/01/2010
Fairfax	04/30/2007	No	05/01/2009
Larkspur	06/30/2006	Pending	P-TAP 10
Mill Valley	12/31/2007	Yes	01/01/2010
Novato	12/31/2008	Yes	01/01/2011
Ross	04/30/2007	Pending	P-TAP 10
San Anselmo	02/28/2007	No	03/01/2009
San Rafael	02/28/2009	Yes	03/01/2011
Sausalito	09/30/2008	Yes	10/01/2010
Tiburon	09/30/2008	Yes	10/01/2010

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Napa County

Jurisdiction	Last Major Inspection	Certified	Certification Expiration Date
Napa County	12/31/2008	Yes	01/01/2011
American Canyon*	01/31/2007	Yes	02/01/2010*
Calistoga	12/31/2008	Yes	01/01/2011
Napa*	06/30/2004	Pending	Under contract*
St. Helena	06/30/2007	Yes	07/01/2009
Yountville	03/31/2009	Yes	04/01/2011

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San Francisco County

Jurisdiction	Last Major Inspection	Certified	Certification Expiration Date
San Francisco	08/31/2007	Yes	09/01/2009
Presidio Trust		Pending	P-TAP 10

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San Mateo County

Jurisdiction	Last Major Inspection	Certified	Certification Expiration Date
San Mateo County	11/30/2008	Yes	12/01/2010
Atherton	09/30/2008	Yes	10/01/2010
Belmont	07/31/2007	Yes	08/01/2009
Brisbane	01/31/2008	Yes	02/01/2010
Burlingame	09/30/2008	Yes	10/01/2010
Colma	03/31/2008	Yes	04/01/2010
Daly City	11/30/2005	Pending	P-TAP 10
East Palo Alto	06/30/2007	Yes	07/01/2009
Foster City	10/31/2008	Yes	11/01/2010
Half Moon Bay	04/30/2008	Yes	05/01/2010
Hillsborough	08/31/2007	Yes	09/01/2009
Menlo Park	04/30/2007	Pending	P-TAP 10
Millbrae	11/30/2003	Pending	P-TAP 10
Pacifica	12/31/2008	Yes	01/01/2011
Portola Valley	05/31/2006	No	06/01/2009
Redwood City	09/30/2008	Yes	10/01/2010
San Bruno	12/31/2005	Pending	P-TAP 10
San Carlos	08/31/2008	Yes	09/01/2010
San Mateo	04/30/2008	Yes	05/01/2010
South San Francisco	08/31/2008	Yes	09/01/2010

Woodside 07/31/2007 Yes 08/01/2009

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Santa Clara County

Jurisdiction	Last Major Inspection	Certified	Certification Expiration Date
Santa Clara County	05/31/2007	No	06/01/2009
Campbell	04/30/2009	Yes	05/01/2011
Cupertino	04/30/2008	Yes	05/01/2010
Gilroy	10/31/2008	Yes	11/01/2010
Los Altos	10/31/2007	Pending	P-TAP 10
Los Altos Hills	01/31/2008	Yes	02/01/2010
Los Gatos	11/30/2005	Pending	P-TAP 10
Milpitas	09/30/2007	Yes	10/01/2009
Monte Sereno	08/31/2008	Yes	09/01/2010
Morgan Hill	09/30/2008	Yes	10/01/2010
Mountain View	05/31/2008	Yes	06/01/2010
Palo Alto	11/30/2008	Yes	12/01/2010
San Jose	12/31/2007	Yes	01/01/2010
Santa Clara	07/31/2008	Yes	08/01/2010
<i>Saratoga</i>	<i>06/30/2007</i>	Yes	<i>07/01/2009</i>
Sunnyvale	05/31/2009	Yes	06/01/2011

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Solano County

Jurisdiction	Last Major Inspection	Certified	Certification Expiration Date
Solano County	09/30/2007	Yes	10/01/2009
Benicia	04/30/2008	Yes	05/01/2010
Dixon	05/30/2007	No	06/01/2009
Fairfield	03/31/2008	Yes	04/01/2010
Rio Vista	03/31/2006	Pending	Under contract*
Suisun City	03/31/2007	No	04/01/2009
Vacaville	06/30/2006	Pending	P-TAP 10
Vallejo	09/30/2008	Yes	10/01/2010

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Sonoma County

Jurisdiction	Last Major Inspection	Certified	Certification Expiration Date
Sonoma County	05/25/2005	Pending	Under contract*
Cloverdale	07/31/2008	Yes	07/31/2010
Cotati	11/30/2008	Yes	12/01/2010
Healdsburg	01/31/2008	Yes	02/01/2010
Petaluma	01/30/2007	Pending	P-TAP 10
Rohnert Park	02/28/2008	Yes	03/01/2010
Santa Rosa	05/31/2007	Pending	P-TAP 10
<i>Sebastopol</i>	<i>06/30/2007</i>	Yes	<i>07/01/2009</i>
Sonoma*	11/01/2002	Pending	Under contract*
Windsor	09/30/2008	Yes	10/01/2010

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(*) *Indicates Extended Date*

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From: Sylvia Fung <sylvia_fung@dot.ca.gov>
To: <maranda@mtc.ca.gov>
Date: 06/04/09 9:23 AM
Subject: Fw: Oberstar Award call for applications

Applications Open for 2009 Oberstar Safe Routes to School Award

CHAPEL HILL — The National Center for Safe Routes to School is now accepting applications for the 2009 James L. Oberstar Safe Routes to School Award. The deadline for applications is July 15, 2009. To access the award application and criteria, please visit www.saferoutesinfo.org/oberstar.

The Oberstar Award is given annually by the National Center for Safe Routes to School to an exemplary Safe Routes to School program in the United States. The 2009 Oberstar Award will recognize outstanding achievement by a school or community in conducting a SRTS program that benefited from the Federal SRTS funding awarded by its State. The Award specifically will recognize a school with a Safe Routes to School program that has achieved success while overcoming challenges in implementing and/or sustaining the program.

“We realize that programs with outstanding achievements have had to find ways to address local challenges,” says Lauren Marchetti, Director of the National Center for Safe Routes to School. “We want to recognize current issues affecting our schoolchildren and how schools are dealing with these issues. We ask the applicants to describe how Safe Routes to School addressed any type of adversity or challenge – in their own terms and within the realities of their own environments.”

The award is named for Congressman Oberstar (D-MN) to honor his dedication to American schoolchildren as the pioneer for the National Safe Routes to School Program. Oberstar, current Chairman of the U.S. House Transportation and Infrastructure Committee, sponsored the Safe Routes to School legislation that strives to create safe settings to enable more parents and children to walk and bicycle to school.

States have announced funding for more than 5,200 schools and communities throughout the U.S. to conduct Safe Routes to School programs as a way to meet the challenges posed by safety, health and environmental concerns.

Bear Creek Elementary School, in Boulder, Colorado, received the 2008 Oberstar SRTS Award for Outstanding Local Program. The school is one of the first in the country to have walking school buses throughout the school year. Parent volunteers keep track of students’ travel through monthly tallies, and Kent Cruger, principal at Bear Creek Elementary, challenges students daily with his own examples of car-free travel.

In 2007, the Oberstar Award recognized the efforts of State Departments of Transportation in implementing Safe Routes to School programs from the ground up. The Michigan Department of Transportation received the Oberstar SRTS Award for its quick start up of a statewide program, and Delaware DOT received a special recognition for its staff’s skillful problem-solving which allowed for smooth implementation by local communities.

Organizations that promote pedestrian and bicycle safety offer their expertise in reviewing the applications received by the National Center for Safe Routes to School. America Walks, the Safe Routes to School National Partnership, the American Association of State Highway and Transportation Officials, the Governors Highway Safety Association, the Institute of Transportation Engineers, the National Center

for Bicycling and Walking and Toole Design Group all were among the organizations that assisted the National Center for Safe Routes to School in the 2008 selection process.

In July 2005, Congress passed federal legislation that established a national Safe Routes to School program. The program dedicated a total of \$612 million towards Safe Routes to School from 2005 to 2009. These funds are made available to individual States to develop and Administer Safe Routes to School Programs through the Department of Transportation.

Established in May 2006 through funding from the Federal Highway Administration, the National Center for Safe Routes to School assists communities in enabling and encouraging children to safely walk and bicycle to school. The Center strives to equip Safe Routes to School programs with the knowledge and technical information to implement safe and successful strategies. The Center is located at the University of North Carolina Highway Safety Research Center.

For more information, contact Raquel Rivas at (919) 962-5835, rivas@hsrc.unc.edu or Pam Barth at (919)962-8717, barth@hsrc.unc.edu.

Please go to www.saferoutesinfo.org/oberstar to fill out an online application. Please pass this information along to local contacts who are implementing Safe Routes to School programs in your community.

From: Sylvia Fung <sylvia_fung@dot.ca.gov>
To: <maranda@mtc.ca.gov>
Date: 06/10/09 8:44 AM
Subject: Fw: Construction Oversight Information for ARRA projects
Attachments: Interim_Construction_Oversight_Plan.pdf; #09-02.pdf

Attached below for your information and action is the Interim Construction Oversight Plan and the second issue "#09-02" of the Division of Local Assistance "Construction Oversight Information Notice" or "COIN."

The Interim Construction Oversight Plan outlines the responsibilities of the local agency, Caltrans District Local Assistance Engineer (DLAE), and Caltrans HQ Division of Local Assistance (DLA) to ensure compliance of Local Agency Federal-Aid Programs to federal regulations.

The purpose of the COIN is to help increase Caltrans' oversight of local agency federal-aid projects by providing outreach information and guidance to local agencies on issues pertaining to the construction of federal-aid projects. This issue focuses particularly on local agency projects receiving funds from the "American Recovery and Reinvestment Act of 2009 (Recovery Act)" as these projects are considered high risk by FHWA and to require a significant increase in oversight by both Caltrans and FHWA.

(See attached file: Interim_Construction_Oversight_Plan.pdf)
(See attached file: #09-02.pdf)

Sylvia Fung
Chief, Office of Local Assistance
Caltrans - District 4
Phone: 510-286-5226
Fax: 510-286-5229

From: Frank Cao <frank_cao@dot.ca.gov>
To: <dla-website-updates-announce@lists.dot.ca.gov>
CC: Eugene Shy <eugene_shy@dot.ca.gov>, Henry Wells <henry_wells@dot.ca.gov>...
Date: 06/04/09 10:43 AM
Subject: [DLAWUA] Announcement of the "Interim Construction Oversight Plan" to the DLA Website

Announcement:

To bolster Local Assistance's oversight of Federal-aid construction projects, an "Interim Construction Oversight Plan" has been developed by Caltrans, in conjunction with FHWA, and has been placed on the Local Assistance website. It has been placed under the heading "Reports and Databases" and is available at: http://www.dot.ca.gov/hq/LocalPrograms/Reports_db.htm

Change:

The "Interim Construction Oversight Plan" will be incorporated into the Local Assistance Procedures Manual at a later date.

Impacts:

The implementation of the "Interim Construction Oversight Plan" will affect Caltrans Local Assistance, FHWA and local agencies participating in the Federal-aid Program.

Contact:

Questions or comments regarding this change should be directed to:

Eugene Shy, P.E; 916 651-6552; or
Henry Wells, P.E; 916 651-8991
Office of Policy Development and Quality Assurance
Division of Local Assistance - MS 1

DLA-Website-Updates-Announce mailing list
DLA-Website-Updates-Announce@lists.dot.ca.gov
<http://lists.dot.ca.gov/mailman/listinfo/dla-website-updates-announce>

FEDERAL HIGHWAY ADMINISTRATION (FHWA) & CALIFORNIA DEPARTMENT OF TRANSPORTATION (CALTRANS)



INTERIM CONSTRUCTION OVERSIGHT PLAN

This plan provides guidelines to local agencies and Caltrans for all Federal-aid projects off the State Highway System (SHS)

APPROVED BY:

Denix D. Anbiah
Chief
Division of Local Assistance
California Department of Transportation

04/30/09
Date

Karen A. Bobo
Local Programs Director
California Division
Federal Highway Administration

05/01/09
Date

APRIL 2009

INTERIM CONSTRUCTION OVERSIGHT PLAN

Outlined in this plan are the Local Agency's, the District Local Area Engineer's (DLAE), and Division of Local Assistance's (DLA) responsibilities to ensure that the Local Agency Federal-aid Program is being implemented in substantial compliance with federal regulations.

Program-Level Oversight

Construction Performance Measures:

Caltrans DLA will provide quarterly reports to FHWA on the following data (from LP2000):

- Total Cost at Authorization and Date
- Award Amount and Date
- Original and final number of working days for project completion
- Total Final Cost and Invoice Date

Construction Outreach Information Notice (COIN)

Periodic outreach bulletins to DLAEs and Local Agencies – bulletins will serve as reminders and highlight aspects of contract administration that need improvement. **Attachment #1** is an example of the COIN template to be used. The COIN will be posted on the DLA website, sent to FHWA and the DLAEs for distribution to our Local Agency partners, and sent to the DLA list server subscribers. DLA and FHWA will collaborate to provide local agencies information through web conferencing.

Project-Level Oversight

New and existing responsibilities and oversight procedures for Local Agencies and Caltrans, respectively, per the Local Assistance Procedure Manual (LAPM). All exhibits referred to herein are from the LAPM.

Chapter 4 – Agreements

Local Agency

1. Prepare "Local Agency Agreement Checklist" (Exhibit 4-A) and the "Field Review Form" (Exhibit 7-B), if not previously submitted, for project and send to DLAE.
2. Receive Program Supplement Agreement from DLA. If there is no Master Agreement with Local Agency, send concurrently with Program Supplement Agreement.
3. Agreement(s) is signed by designated signatory or passed by resolution. Agreement(s) is sent back to DLA.
4. Receives a copy of executed agreement from DLA.

Caltrans DLAE

1. DLAE is the local agency point of contact and the liaison between DLA and Local Agency.
2. Input date of local agency QAP into LP2000 with, or prior to the request for authorization of construction.

Caltrans DLA

1. Prepare the Program Supplement Agreement after receiving Exhibits 4-A and 7-B from Local Agency and funds for project have been obligated and/or vote allocated by CTC. If there is no Master Agreement with Local Agency, prepare concurrently with Program Supplement Agreement.
2. Send Program Supplement Agreement to Local Agency, after funds are encumbered by Local Program Accounting.
3. Review and sign the returned Program Supplement Agreement signed by the Local Agency.
4. Copies of the executed Program Supplement Agreement are sent back to Local Agency and Local Program Accounting.
5. DLA will not allow an Authorization for Construction to go forward without an approved QAP.

Chapter 15 – Advertise and Award Project

Outlined in this section are project roles and responsibilities for advertising and awarding the Federal –aid construction project.

Local Agency

1. Receives Caltrans approval of its construction administration procedures, prior to advertising a major NHS project.
2. Prepares the “Local Agency Construction Contract Administration Checklist” (Exhibit 15-A), prior to advertising a construction project, and submits to DLAE.
3. Take all reasonable steps to ensure that DBEs are able to compete for and perform contracts.
4. Fills out the “PS&E Certification” (Exhibit 12-C) and certifies that the project’s PS&E package meets all federal and state regulations.
5. Prepares a “Request for Authorization” and, along with other documents (see Section 3.3, “Request for Authorization,” of LAPM) send to Caltrans for approval.
6. Advertises a project only after FHWA issues an “Authorization for Construction.”
7. Provide the DLAE with one set (two sets for a bridge project) of “as advertised” plans and special provisions, as soon as project is advertised.
8. Advertises the project a minimum period of three weeks. Prepare a PIF and submit to the DLAE for approval, if the Local Agency proposes a shorter advertisement period.
9. Will follow its own established bid opening procedures, provided requirements described in Section 15.5, “Contract Bid Opening” are included.
10. After bid opening, complete the “Bid Tabulation Summary Sheet” (Exhibit 15-D) and the “Local Agency Bid Opening Checklist” (Exhibit 15-I) and place in project records. Also, place in the project records the “Local Agency Bidder – DBE (Construction Contracts) – Information” (Exhibit 15-G) and the “Noncollusion Affidavit (Exhibit 12-E, Attachment D), completed by the successful bidder. If the project is located on the NHS, complete the “Submission of Bid Tabulation” (Exhibit 15-E), and the “Bid Price Data” (Exhibit 15-F), if the project costs is \$500,000 or more, and forward both to the DLAE immediately following bid opening.
11. Assure that all bid proposals submitted include a completed addenda certification statement.
12. Must ensure with the DLAE and the RTPA/MPO that there are enough funds available to award the contract, if the bid amount exceeds the Engineer’s Estimate.

13. Should perform a bid analysis to justify the award or rejection of the bids for the project in accordance with Subsection "Bid Analysis Process." For a project on the NHS the Local Agency is required to perform a bid analysis.
14. Shall award the project to the lowest responsive and responsible bidder following its normal procedures. If the contract is awarded to other than the lowest bidder, written justification needs to be included in the project records. Also, retain in the project records the executed contract, document the award date and preconstruction meeting minutes. [15-13] (Exceptions to the competitive bid process are described Section 12-4, "Method of Construction," specifically force account.)
15. Conduct approximately every 2 years a post-award review of projects to see if any abnormal bid patterns exist.
16. Shall terminate and complete defaulted federal-aid contracts in accordance with Subsection "Termination of Contracts."
17. Will submit within 60 days of award and with the first invoice the following documents to the DLAE:
 - "Local Agency Contract Award Checklist" (Exhibit 15-L)
 - "Detail Estimate" (Exhibit 15-M)
 - "Finance Letter" (Exhibit 15-N)
 - "Resident Engineer's Construction Contract Administration Checklist" (Exhibit 15-B)
 - "Local Agency Bidder – DBE (Construction Contracts) Information" (Exhibit 15-G (2))

Caltrans DLAE

1. Approves PIF for contract advertisement period of less than 3 weeks.
2. Approves the construction administration procedures for major NHS projects.
3. Reviews and concurs with the Local Agency on terminating a contract for a FHWA High Profile project. Forwards the recommendation to DLA to FHWA for approval.
4. Review the "Local Agency Contract Award Checklist" (Exhibit 15-L) to determine if project is eligible for federal funds.
5. Reviews all documents sent from the Local Agency for format and reasonableness. Required documents are sent to DLA. If the documents include the first invoice also send to Local Program Accounting, after review and approval.
6. Will prepare a revised E-76 after receiving the "Detail Estimate" (Exhibit 15-M) from the Local Agency.

Caltrans DLA

1. Will review the award package supplied with the first invoice, and will track forms included or missing from the award package and ensure that the DBE information provided is entered into LP2000. If the DBE information supplied is not entered into LP2000, will enter it. A copy of the "Local Agency Bidder – DBE (Construction Contracts) Information" (Exhibit 15-G (2)) will be kept on file.

Chapter 16 – Administer Construction Contract

Outlined in this section are project roles and responsibilities for administering the Federal-aid construction contract.

Local Agency

1. Ensures that force account work is in compliance with Section 12.4, "Contracting Method," of the LAPM.
2. Will provide adequate field staff and equipment to administer the construction project, including a qualified engineer, and fulfill all requirements of the contract. Names and titles of the staff members shall be kept in the project records.
3. Will employ field staff that are knowledgeable of safety rules and regulations, i.e., FHWA Form 1273 Section VIII, "Safety – Accident Prevention," and the California Division of Industrial Safety "Construction Safety Orders."
4. If using a consultant for construction engineering, will provide a full-time employee that is in responsible charge of the project. However, this requirement is waived if a consultant is being retained as the City Engineer.
5. Will ensure that the contractor designates, in writing, a person authorized to supervise the work and to act for the contractor.
6. Ensures that material samples are taken and testing performed in accordance with the Local Agency's Quality Assurance Program and contract special provisions.
7. Ensures that daily reports are kept by the engineer and inspectors of their and the Contractor's activities. Daily reports will follow the guidelines in Section 16.7, "Engineer's Daily Reports."
8. Resident Engineer may ask for help from the DLAE, if a construction problem arises.
9. Is encouraged to partner with the Contractor to maintain open communication and to mutually resolve field problems to the benefit of all parties.
10. Should schedule a preconstruction meeting with the Contractor, major subcontractors, DLAE and other affected agencies; local, state or federal authorities and utility companies.
11. Shall maintain a record of the contractor's progress and keep track of the number of working days.
12. Shall follow the subcontracting procedures outlined in Section 16.6, "Subcontracting," for federal-aid projects on the NHS. Specifically, minimum percentage of work that a Contractor must do with their work force and the substitution of first tier subcontractors.
13. Ensures job records are complete, in one location, and organized in accordance with subsection "Organization of Files."
14. Will prepare a progress invoice and submit to the DLAE and Local Program Accounting Branch for reimbursement. The progress invoice will be supported with documentation outlined in Section 16.9, "Construction Records and Accounting Procedures."
15. Will designate a labor compliance officer who will ensure that labor compliance regulations are met in accordance with the contract special provisions and Section 16.11, "Labor Compliance."
16. For labor compliance violations the Local Agency will notify DLAE and the US Department of Labor.
17. Will document the Contractor's compliance with EEO requirements in accordance with FHWA Form 1273. Will collect and submit to the DLAE FHWA form PR-1391 by August 25 of each year.
18. Shall prepare change orders for changes to the contract work. Change orders shall be executed by the Local Agency prior to the start of the change order work. Will not execute change orders that require authorization of additional federal funds, until receiving written confirmation from the DLAE and RTPA/MPO that funds are available. However, if the change order is for emergency work, verbal approval from the DLAE and RTPA/MPO is acceptable, to be followed up in writing. For additional information on change orders, see Section 16.13, "Contract Change Order," and Chapter 5, "Change Orders," of the Caltrans Construction Manual.

19. Will use the Dataquest Rental Rate Blue Book or Caltrans' Labor Surcharge & Equipment Rental Rate to determine change order costs for the Contractor's equipment.
20. Will determine if the change order work is participating or not, in regards to using federal funds. Questions regarding this matter may be directed to the DLAE.
21. Will have an updated Quality Assurance Program, for testing materials, that is in accordance with the Caltrans "Quality Assurance Program (QAP) Manual For Use by Local Agencies" Manual, as posted on the Local Assistance web site.
22. Will notify the DLAE and METS when independent assurance assistance is needed and will have METS review the local agency's QAP.
23. Will provide as needed source inspections for manufactured and prefabricated materials at locations other than the construction site. If the Local Agency is unable to perform source inspection and qualified consultants are unavailable, contact the DLAE and request that Caltrans perform the source inspection in accordance with subsection "Source Inspection."
24. Will incorporate into the job records all material records of samples and tests, material releases, certificate of compliance, weight slips/tags, and initial test reports.
25. Shall provide the DLAE a "Materials Certificate" after the project has been completed.
26. Will avoid claims by preparing contract documents that are accurate, current, and complete. However, if claims do occur the Local Agency will follow the administrative claims procedure in the contract special provisions. Complex claims should be brought to the attention of the DLAE.
27. Will provide the Contractor with all required posters to be posted on the job site.
28. Shall have a traffic control plan (TCP) for handling traffic through the construction work zone and a responsible person to assure that the TCP is followed.

Caltrans DLAE

1. DLAE will participate in and document pre-construction meetings on a periodic basis.
2. DLAE provides assistance to Local Agency Resident Engineers if staff is available.
3. Review all local agency invoices (progress/final) and support documentation and approve before sending to Local Program Accounting. See Chapter 5, "Accounting/Invoices" for detailed progress/final invoice format, support documentation and processing requirements
4. DLAE shall periodically perform inspections of the Local Agency's job records.
5. DLAE will keep track of labor compliance violations on projects.
6. DLAE and District Labor Compliance will monitor Local Agency labor compliance through a process review or mini process review.
7. DLAE will collect the FHWA form PR-1391 and forward to the Division of Local Assistance Civil Rights Coordinator no later than August 30 of each year.
8. Will help Local Agencies determine if change order work is participating or not, in regards to using federal funds.
9. Will conduct process reviews to monitor change orders annually.
10. Will assist the Local Agency in obtaining independent assurance (IA) services and source inspection from METS.
11. Will provide limited guidance to the Local Agency on contractor claims, depending on the complexity and size of the claim, and the availability of the DLAE's staff.

Caltrans DLA

1. Delegates responsibility of contract administration and construction inspection to Local Agencies by way of master agreements and program supplements.

Caltrans METS

1. Will perform independent assurance (IA) services, in accordance with the QAP Manual, for Local Agencies with Federal-aid projects on and off the NHS. Will certify Local Agency and consultant material labs, samplers and testers in the use of the California Test Methods. Will review the Local Agency's or consultant's submitted QAP and provide feedback to the Local Agency, consultant and DLAE.
2. While performing IA services, will interview R.E. with a set of questions, see **Attachment #2**, to test R.E.'s knowledge of the QAP and maintaining material records. Responses to question will be kept in a database and will help identify for METS changes needed to enhance future IA service to local agencies.
3. Will perform source inspections for Local Agencies, if resources are available.

Caltrans DLA - Construction Oversight Engineers

The construction oversight engineers will be located throughout California and will be responsible for monitoring local agency federal-aid construction projects off the state highway system taking place in a region or district.

Oversight engineers will be responsible for the following:

1. Visit 5 to 10 project sites per month.
2. Visit project site 3 times:
 - a) Start of construction, preferably at the pre-construction meeting or before the work has started. Will go over "Review Form," see **Attachment #3**, with R.E. and answer any questions he or she may have.
 - b) Mid-point of project or during active construction season. Will perform review in accordance with the "Review Form."
 - c) After job acceptance, perform another review.
3. "Review Form" will be graded on % of yes responses. Overall goal is 100%. The oversight engineer will also comment in writing on outstanding issues both good and bad.
4. "Review Form" will go to HQ and DLAE
5. DLAE will send to Local Agency and work with Local Agency on any shortcomings
6. Conflict between DLAE, Oversight Engineer and Local Agency will be decided by DLA.

Caltrans DLA - Construction Oversight Program Coordinator

A Senior Level Engineer will act as the Statewide Construction Oversight Program Coordinator in Division of Local Assistance Headquarters, and will be responsible for the following:

1. Will determine projects to be reviewed. This will be done using LP2000 and choosing projects at random.
2. Will work with oversight engineers to ensure consistency in evaluating local agencies. This may include traveling with oversight engineers and observing site reviews.
3. Will act as a liaison with FHWA and oversight engineers.
4. Prepare quarterly reports to FHWA:
 - a) List number and type of negative responses
 - b) Scores – Goal is 100%
 - c) Number of projects reviewed
 - d) Stage of construction, i.e., first or last inspection
 - e) Actions to correct problems – COIN, training or withholds
5. Ensure data from reviews is input into database.
6. Will input data from “Review Form” into LP2000.
7. Help resolve conflicts between parties, i.e., local agency, DLAE and oversight engineer and if conflicts can not be resolved to the satisfaction of all the parties, will make the final decision.
8. Work with other divisions within Caltrans/FHWA to keep up with construction practices.
9. Modify “Review Form” to keep current and proactive.
10. Prepare Construction Outreach Information Notice (COIN), a periodic outreach bulletin to DLAEs and Local Agencies that will serve as a reminder and highlight areas and aspects of contract administration needing improvement. The COIN will be posted on the DLA website, sent to FHWA and the DLAEs for distribution to our Local Agency Partners, and also sent to the DLA list server subscribers.

Division of Occupational Safety and Health

Will inspect construction site for worker safety and take action if unsafe or unsanitary conditions exist.

FHWA

Review job records in field.

Chapter 17 – Project Completion

Outlined in this section are project roles and responsibilities for closing a Federal-aid construction contract.

Local Agency

1. Shall document environmental mitigation commitments for the final inspection Report of Expenditures in accordance with Section 17.3, “Final Inspection Procedures for Federal-aid Projects.”
2. Will create punch list of work to be completed prior to contract acceptance. After all work has been finished and the construction contract has been accepted, will complete Item 1-10 of the “Local Agency Final Inspection Form” (Exhibit 17-C) and forward to the DLAE.
3. Shall provide “As-Built” plans of the structure work to the DLAE.

4. Will prepare the "Report of Expenditures" within 6 months after project completion and submit to the DLAE. It shall include the following:
 - a) Cover Letter and Report of Expenditures Checklist (Exhibit 17-A)
 - b) Local Agency Final Inspection Form (Exhibit 17-C)
 - c) Final Invoice (Exhibit 17-D)
 - d) Final Detail Estimate – see Section 15.7 "Award Package"
 - e) Change Order Summary (Exhibit 17-E)
 - f) Final Report, Utilization of Disadvantaged Business (DBE) and Woman-Owned Business Enterprise (Exhibit 17-F)
 - g) Disadvantaged Business Enterprises (DBE) Certification Status Change (Exhibit 17-O)
 - h) Materials Certificate (Exhibit 17-G)
 - i) Cover Letter and Report of Completion of Structures on Local Streets and Roads (Exhibit 17-I and 17-J)
 - j) Report of Completion of Right of Way Expenditures (Exhibit 17-K)
 - k) Report of Expenditures for Force Account Projects (Exhibit 17-L)
6. Ensure the Final Invoice and the Final Detail Estimate match.
7. Maintain project documentation for three years from the date of the final invoice.

Caltrans DLAE

1. Will review the job site, after receiving the "Local Agency Final Inspection Form" (Exhibit 17-C) from the Local Agency, and verify that the project was completed within scope of the work contemplated and in accordance with the contract plans. If the work is satisfactory, will complete Item 11-13 of the "Local Agency Final Inspection Form" (Exhibit 17-C), sending a copy to the Local Agency.
2. Will forward structure "As-Built" plans on to the Division of Construction, along with a copy of the "Report of Completion of Structures" (Exhibit 17-J).
3. DLAE will review the Report of Expenditures for correct format and obvious error and/or admissions. After the DLAE verifies the report shall forward to Local Program Accounting.
4. Will input final cost and final invoice date into LP2000.
5. Will receive the Cover Letter and Report of Completion of Structures on Local Streets and Roads (Exhibit 17-I and 17-J) from the Local Agency.

Caltrans Oversight Engineer

1. Will review FHWA Full Oversight (New or Reconstruction > \$1 Million) project site, after receiving the "Local Agency Final Inspection Form" (Exhibit 17-C) from the Local Agency, to ensure that the project has been completed in accordance with the plans and specifications. If all work is satisfactory, will forward the information to FHWA.
2. Coordinate final inspection with FHWA in accordance with Caltrans "Oversight Field Engineer Guidelines."

Caltrans DLA

Receive copy of the Final Report of Expenditure and close out project after Local Program Accounting submits final invoice to Local Agency.

FHWA

For "High Profile" Projects (for criteria see California Stewardship & Oversight Agreement signed (September 4, 2007) inspect to ensure that the project has been completed in accordance with the plans and specifications.

**FEDERAL-AID PROJECT RESPONSIBILITIES
FOR DELEGATED PROJECTS
OFF THE NATIONAL HIGHWAY SYSTEM¹**

(Pursuant to the 2007 FHWA and Caltrans - *Joint Stewardship and Oversight Agreement*)

Project Action/Activity	Local Agency	Caltrans DLAE	Caltrans DLA	FHWA
Project Authorization (Chapter 3)				
Construction Authorization [23 CFR 630.110]	Prepare	Recommend	Recommend	Approve ²
Obligate Funds	-	-	-	Approve
Vouchers	-	-	-	Approve
Advertise & Award Project (Chapter 15)				
Consultant Agreements [23 CFR 172.7-172.9]	Approve	-	-	-
Public Interest Finding (PIF) - Advertising Less than 3 Weeks [23 CFR 635.112]	Prepare	Approve	-	-
Advertise Project	Approve	-	-	-
Advertisement Addendum [23 CFR 635.1129(c)]	Approve	-	-	-
Award of Project [23 CFR 635.114]	Approve	-	-	-
Rejection of All Bids [23 CFR 635.114]	Approve	-	-	-
Award Package – Including DBE Reporting	Prepare	Accept	-	-
Administer Construction Contract (Chapter 16)				
Contract Administration and Inspection	Certify	Verify ³	-	Verify ²
Subcontracting Requirements [23 CFR635.114]	Certify	- ²	-	-- ²
Quality Assurance Program	Approve	Accept ²	-	-- ²
Contract Change Orders (no increase in federal funds)	Approve	-- ²	-	-- ²
E-76 Modification for CCO with increases in federal funds	Prepare	Recommend	Recommend	Approve ¹
Environmental Commitments	Implement	- ²	-	- ²
Contract Time Extensions [23 CFR635.120&121]	Approve	- ²	-	- ²
Termination of Construction Contract [23 CFR 635.125]	Approve	- ²	-	- ²
Settlement of Construction Contract Claims	Approve	- ²	-	- ²
Incentive/Disincentive Amount Justification [23 CFR 635.127]	Approve	- ²	-	- ²
Liquidated Damages [23 CFR 635.127]	Approve	- ²	-	- ²
Materials Certification [23 CFR 637.207]	Certify	Accept	-	-
Reimbursement Invoice	Prepare	Recommend	Recommend	Approve
Project Completion (Chapter 17)				
Final Inspection/Contract Acceptance [23 USC 114(a)]	Approve	-	-	-
Project Verification	Recommend	Approve	-	-

¹ These project responsibilities also apply to delegated activities on High Profile Projects.

² FHWA performs a cursory review of all authorizations, modifications and final vouchers; a more in-depth review is performed on sampled projects.

³ Verification is defined as routine, independent confirmation of local agency self-certifications for sampled projects. Caltrans and FHWA can verify any aspect of construction contract administration as part of construction field reviews.

Project Action/Activity	Local Agency	Caltrans DLAE	Caltrans DLA	FHWA
Final Report of Expenditures	Prepare	Approve	?	Approve ¹
Post-Project Audits			?	Verify ²

DIVISION OF LOCAL ASSISTANCE

**CONSTRUCTION
OVERSIGHT
INFORMATION
NOTICE**



DLA COIN Issue #09-01

Release date: April 28, 2009

Welcome to COIN!

This is the first issue of a new Caltrans Local Assistance Program publication — the **Construction Oversight Information Notice**, or “**COIN**” for short. These short, single-topic bulletins are intended to provide outreach information and guidance to local agencies on issues pertaining to the construction of Federal-aid projects. They will cover a wide variety of subjects, including discussions of findings resulting from process reviews by Caltrans and/or FHWA, changes in procedures or regulations, reminders of existing procedures or best practices, and other timely information. The goal is to ensure proper and timely delivery of Federal-aid projects. Please ensure that Resident Engineers on all Federal-aid projects receive copies of these notices.

Our First Topic: Keeping Adequate Construction Records

The issue: A significant point made in the FHWA “Local Agency Program Review, Phase II” report, dated September 2008, relates to project records. Specifically, one of the most recurrent findings was that project files were incomplete, and that documentation problems were most often found in the construction phase. As the report states, “**complete and organized projects files are essential in demonstrating compliance with laws, regulations and policies.**” Important construction record keeping areas include:

- Project correspondence
- Materials data (including inspection and testing reports)
- Resident Engineer/Construction Inspector daily diaries
- Contract item pay quantity documents
- Contract Change Orders (CCO’s) and claims
- Labor Compliance/EEO records (including certified payrolls and employee interviews)
- DBE participation reports

Our advice: The best source of information for construction project record keeping requirements is the **Caltrans Local Assistance Procedures Manual (LAPM)**. In particular, **Exhibit 15-B, the “Resident Engineer’s Construction Contract Administration Checklist”**, and **Chapter 16, “Administer Construction Contracts”** contain valuable information on this subject. You can find these resources at our website, <http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm>. Your Caltrans District Local Assistance Engineer (DLAE) can also help you with any questions you may have.

The Construction Oversight Information Notice (COIN) is prepared by Caltrans, Division of Local Assistance, Office of Policy Development and Quality Assurance. Comments or suggestions should be directed to the COIN Editor: Tom_Glover@dot.ca.gov.

LOCAL ASSISTANCE CONSTRUCTION OVERSIGHT

ASSESSMENT NO. (example NO. IA09- 01David, or I IA09-02David, so on)
 FEDERAL AID NO.
 PROJECT:
 LOCAL AGENCY:
 RESIDENT ENGINEER: DATE:

A. QUESTIONS FOR RESIDENT ENGINEER	Unsatisfactory*	Satisfactory	Excellent*
1. Is there an approved Quality Assurance Program (QAP)?			
2. Is the QAP being followed?			
3. Are records of material tests organized and accessible?			
4. Is staffing available to perform materials testing as needed?			
5. Are samplers, testers, and laboratory certified and by whom?			
6. What materials are accepted by the RE by certification?			
7. Do records show failed tests and actions taken by RE?			
8. Are Certificates of Compliance being provided per the contract?			
9. Is source inspection occurring of material listed in LAPM Exh16-I?			
10. Are "Buy America" requirements met on invoices/certifications?			
	* Provide written justification		
	4.17.09		

B. DISCUSSION

Discuss the following areas below with the local agency:

1. How is Independent Assurance (IA) now performed? _____
2. Is the local agency aware of METS IA services? _____
3. Is their present IA program satisfactory? _____
4. What are their material testing capabilities? _____
5. Is contractor paid only for acceptable materials? _____
6. Is a consultant being used for materials testing? _____
7. If so, how was the consultant selected? _____
8. Are California Test Methods used? If not, what are? _____

Distribution: Original: IA file, Copy: METS, DLAE (for action), DLA Oversight Engr

9/06/01

**District Construction Monitor
Review Form**

Local Agency: _____ Project No. _____
Reviewed by: _____
Date: _____ Contract Amount \$ _____ % Work Complete _____
Type of Work: _____ Location: _____

(LAPM Page #)

Project Staffing: (16-5)

Is there a list of names and titles of all staff assigned to the project?

yes no Comments:

Who is the Resident Engineer, and is that person in responsible charge of the project?

yes no Comments:

In Case of Emergency: (16-13)

Is there a list of names, addresses, and telephone numbers of responsible members of Local Agency/Consultant/Contractor's personnel?

yes no Comments:

Is there a map showing the location of a neighborhood medical facility with their address, telephone number and office hours? (Review jobsite)

yes no Comments:

Authorization: (15-6)

What is the date of the "Authorization to Proceed for Construction"?

What was the date the project was advertised?

What was the bid opening date?

Project Files: (16-10)

Are the files in an established order?

yes no Comments:

Index used on this project is local agency's standard for all jobs

Or, for Federal-aid jobs only

Comments:

Resident Engineer's/Construction Inspectors Daily Diaries: (16-10 & 16)

Are they current, thorough, and neat?

yes no Comments:

Construction Records and Accounting Procedures: (16-12)

Is the Detailed Estimate and Finance Letter in the project files?

yes no Comments:

Does the RE know the amount of Federal-aid funds encumbered for the project?

yes no Comments:

Is the Program Supplement Agreement on file?

yes no Comments:

Is the RE aware of the Program Supplement Agreement covenants?

yes no Comments:

Are there source documents supporting progress payments made to contractor?

yes no Comments:

Are there separate item sheets for each contract item paid? Randomly check.

yes no Comments:

Is there a procedure for Administrative or Labor Compliance deductions in the contract?

yes no Comments:

Is the State invoiced after progress payments are made to the contractor?

yes no Comments:

Contract Time: (16-8)

Is there an established method to account for contract time?

yes no Comments:

Labor Compliance: (16-15)

Are diaries spot-checked against certified payrolls?

yes no Comments:

What is the established method?

EEO/Wage Rate Posters: (16-16)

Are the Federal posters posted for every worker to see at, or near, the contractor's office at the construction site, or at the worker's central gathering point? (Review jobsite)
yes no Comments:

Employee Interviews: (16-16)

Is the local agency conducting employee interviews?
yes no Comments:

Have the interviews been signed and dated?
yes no Comments:

OJT: (12-22 & 16-16)

Are OJT requirements included in the contract?
yes no Comments:

Is there documentation to account for the apprentices on the job?
yes no Comments:

DBE: (9-4)

Is a copy of the contract Bidder DBE Information Form in the project files?
yes no Comments:

What was the contract DBE goal?

What is the contractor's DBE goal?

If the contractor's goal is less than the contract goal, is there a "good faith" statement in the project files?
yes no Comments:

How is the local agency checking for DBE goal compliance?

Payrolls?
yes no Comments:

Interviews?
yes no Comments:

Diaries?

yes no Comments:

Additional Methods:

Prompt Payment: (9-9)

What does the RE know about the subcontractor prompt payment requirements in the contract?

yes no Comments:**CCOs: (16-18)**

Is there a process for CCO approval?

yes no Comments:

List of the approved CCOs.

yes no Comments:

Randomly check CCOs for Federal-aid eligibility, report on findings.

Comments:

Traffic Safety in Highway and Street Work Zones: (16-45)

(If the project involves work on a existing highway or roadway)

Is there a Traffic Control Plan (TCP)/Traffic Management Plan (TMP) in the PS&E?

yes no Comments:

Field review the project to see if the TCP/TMP agrees with the actual conditions, report on findings.

Comments:

Is the local agency analyzing construction work site traffic accidents for the purpose of correcting deficiencies, which might be found to exist on individual projects and to improve the content of future TCP/TMPs?

Materials Files: (16-23)

Is the Local Agency's Quality Assurance Program (QAP) in the RE's Office?

yes no Comments:

If local agency staff is performing acceptance testing, are copies of the local agency material tester's certification in the project files?

yes no Comments:

Has the local agency hired a consultant to do the materials testing for this project?

yes no Comments:

Is there a copy of the consultant's QAP in the project files?

yes no Comments:

Is the local agency adhering to their QAP?

yes no Comments:

Do the files back it up?

yes no Comments:

Does the local agency have a procedure for and filing of:

Notice of Materials to be used?

yes no Comments:

Certifications of Compliance?

yes no Comments:

Do all Certifications of Compliance contain the required information?

yes no Comments:

"Buy America" Requirements included on invoices and certifications?

yes no Comments:

Are there Acceptance Sampling and Testing Reports in the files?

yes no Comments:

Are trial batch test results properly identified and acceptable?

yes no Comments:

Is there a "Summary Log" of tests?

yes no Comments:

What is the frequency of tests?

Frequency tables used?

yes no Comments:

Is the frequency of tests being monitored?

yes no Comments:

Are failed tests documented in the files with cross references to re-tests?

yes no Comments:

Does the Resident Engineer see the test reports?

yes no Comments:

Environmental: (6-15)

Is the environmental document for this project in the RE's files?

yes no Comments:

Is the construction project adhering to the mitigation requirements in the document?

yes no Comments:

Bridge Projects (only)**Concrete records (16-23)**

Are all approved concrete mixes on file?

yes no Comments:

Was a letter of approval written for all approved mixes?

yes no Comments:

Are proper tests being recorded on pour record?

yes no Comments:

Are load slips for PCC being properly filled out?

yes no Comments:

Bridge CCO's (16-18)

For bridge design changes, has the bridge designer authorized the change?

yes no Comments:

Review set of approved falsework plans.(16-3)

Is the falsework log on file?

yes no Comments:

Properly stamped?

yes no Comments:

Plans for erection & striping provided?

yes no Comments:

Calculations complete?

yes no Comments:

Are the records of camber and falsework deflection calculations performed by the Engineer?

yes no Comments:

Are records of falsework soffit and deck grades supplied to the contractor by the Engineer which will accommodate falsework settlement, falsework deflection, and the bridge camber requirements?

yes no Comments:

Is there a letter from the contractor certifying that the erected falsework substantially meets the approved falsework plans **prior** to concrete pour of bridge soffit/deck ?

yes no Comments:

Are there any records of falsework settlement during and after the concrete pour?

yes no Comments:

Prestressing (16-3)

(If the contract requires prestressing.)

Are the initial shop drawings for prestressing (submitted by the contractor) on file?

yes no Comments:

Are they properly stamped?

yes no Comments:

Are the final set of shop drawings for prestressing on file?

yes no Comments:

Properly stamped?

yes no Comments:

Is there a record in the RE/inspector's diary to indicate that the prestressing ducts were checked for any obstruction after the soffit/deck concrete pour, and before placing the strands?

yes no Comments:

Are the records of actual prestressing in file?

yes no Comments:

Are the contractor's pressure gauges certified? Is the gauge certification still valid?

yes no Comments:

Is there a proper documentation of, i) Actual strand elongation v/s theoretical elongation?, ii) Load cell readings v/s contractor's gauge readings?

yes no Comments:

Are there records of grouting in file? Is the certificate of compliance for the cement used in file?

yes no Comments:

Profilographs (16-23)

(If there is a new bridge deck, or if the existing deck has been modified)

Are the profilographs taken before and after the deck grinding? Are all the profilograph records in file?

Review set of approved shoring plans (16-3)

(If there is shoring on the project.)

Properly stamped?

yes no Comments:

Calculations complete?

yes no Comments:

Welding (16-23)

(If there is welding in the contract.)

Does the contract require the Contractor to have a Quality Control Plan for welding?

yes no Comments:

Is a copy on file?

yes no Comments:

Are all Welder qualification tests on file?

yes no Comments:

Are the Weld Procedures Specifications on file?

yes no Comments:

Are the Contractor's certified copies of test reports for electrodes on file?

yes no Comments:

Are "As built" changes being currently maintained on a set of plans or in a file? (17-4)

yes no Comments:

Additional comments:

DIVISION OF LOCAL ASSISTANCE



CONSTRUCTION OVERSIGHT INFORMATION NOTICE



DLA COIN Issue #09-02

Release date: June 10, 2009

Welcome to COIN!

This is the second issue of a new Caltrans Local Assistance Program publication — the **Construction Oversight Information Notice**, or “**COIN**” for short. These short, single-topic bulletins are intended to provide outreach information and guidance to local agencies on issues pertaining to the construction of Federal-aid projects. They will cover a wide variety of subjects, including discussions of findings resulting from process reviews by Caltrans and/or FHWA, changes in procedures or regulations, reminders of existing procedures or best practices, and other timely information. The goal is to ensure proper and timely delivery of Federal-aid projects.

Our Topic: FHWA Risk Management Plan for Recovery Act Projects

The Issue: The Federal Highway Administration (FHWA) has identified “Local Public Agency” projects funded with federal-aid “American Recovery and Reinvestment Act of 2009 (Recovery Act)” funds as being high risk and requiring a significant increase in oversight by Caltrans and FHWA.

Recently an “Interim Construction Oversight Plan” was jointly developed by Caltrans, FHWA, and local agency representatives which identifies local agency, District Local Assistance Engineer (DLAE), and Division of Local Assistance (DLA) responsibilities from chapters of the Local Assistance Procedures Manual associated with projects during construction. The “Interim Construction Oversight Plan” is available for your information on the Caltrans Division of Local Assistance website at:

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

In addition to increased oversight for Recovery Act projects by Caltrans Local Assistance and FHWA California Division, FHWA will also be fielding “National Review” teams to evaluate Recovery Act projects. Since California is receiving in excess of 60 percent of the Recovery Act funds, a large number of local agencies with Recovery Act projects are expected to be reviewed by FHWA and/or Caltrans Local Assistance. To provide guidance, FHWA has made available the attached draft copy of a 7-page “Local Public Agency (LPA) Federal-Aid Projects Checklist”, a 2-page “Billing/Payment Process of State and Local Governments Division Office Checklist”, and a 2-page “Indirect Costs of State and Local Governments Division Office Checklist - March 10, 2009”. These have been specifically prepared for review of Recovery Act projects. Local agencies with Recovery Act projects should take time to examine these attachments to help ensure that their project will be in full compliance. Any questions regarding these attachments should be emailed to: **eugene.shy@dot.ca.gov**

The Construction Oversight Information Notice (COIN) is prepared by Caltrans, Division of Local Assistance, Office of Policy Development and Quality Assurance. Comments or suggestions should be directed to the COIN Editor: Tom_Glover@dot.ca.gov .



LOCAL PUBLIC AGENCY (LPA) FEDERAL-AID PROJECTS CHECKLIST

The FHWA Risk Management Plan identifies the major risk areas in implementing the American Recovery and Reinvestment Act of 2009 (Recovery Act). For Division Offices consideration, example checklists have been developed for use in "visible monitoring" efforts. The LPA Checklist should be completed by the Division Office in the review of LPA Recovery Act projects to ensure projects are being administered in accordance with all applicable Federal-aid laws, regulations, and policies.

Also refer to the **Financial Management Checklists:**

- Local Project Administration Policies and Procedures
- Billing/Payment Process of State and Local Governments
- Indirect Costs of State and Local Governments

PROJECT DATA

Item No.	
Federal Project Number	
County	
Route	
Engineer's Estimate	
Contract ID	
Letting Date	
Description	

GENERAL REFERENCES

Regulations and Guidance

<http://staffnet.fhwa.dot.gov/programadmin/localovr.cfm>

PLANNING

Checklist Item	Yes	No	N/A
1. Is the project programmed in the currently approved STIP? 23 CFR 450.216 Ref. _____			
2. Is this project in an MPO area and programmed in the MTP and TIP? 23 CFR 450.322 MTP Ref. _____ 23 CFR 450.324 TIP Ref. _____			

Comments:

ENVIRONMENT

Checklist Item	Yes	No	N/A
1. Has the environmental documentation for the project been approved? 23 CFR 771 <input type="checkbox"/> Programmatic Categorical Exclusion (PCE) Date Approved _____ <input type="checkbox"/> Categorical Exclusion Level 1 (CE-1) Date Approved _____ <input type="checkbox"/> Categorical Exclusion Level 2 (CE-2) Date Approved _____ <input type="checkbox"/> Categorical Exclusion Level 3 (CE-3) Date Approved _____ <input type="checkbox"/> Environmental Assessment (EA) / FONSI Date of FONSI _____ <input type="checkbox"/> Environmental Impact Statement (EIS) / ROD Date ROD Signed _____			
2. Is a reassessment or re-evaluation of the environmental document needed? 23 CFR 771.129			
3. Have environmental commitments been incorporated into the final design and contract documents? Y <input type="checkbox"/> N <input type="checkbox"/> N/A <input type="checkbox"/> Historic Preservation 36 CFR 800 Prop./Plan Ref. _____ Y <input type="checkbox"/> N <input type="checkbox"/> N/A <input type="checkbox"/> Stream/Wetland Mitigation 23 CFR 777 Prop./Plan Ref. _____ Y <input type="checkbox"/> N <input type="checkbox"/> N/A <input type="checkbox"/> Noise Abatement 23 CFR 772 Prop./Plan Ref. _____ Y <input type="checkbox"/> N <input type="checkbox"/> N/A <input type="checkbox"/> Section 4f 23 CFR 771.135 Prop./Plan Ref. _____ Y <input type="checkbox"/> N <input type="checkbox"/> N/A <input type="checkbox"/> Endangered Species Act 50 CFR 402.12(c) Prop./Plan Ref. _____ Y <input type="checkbox"/> N <input type="checkbox"/> Other _____ Prop./Plan Ref. _____			
4. Have all permits for the project been secured?			
5. Is the contractor responsible for obtaining any permits or external agency approvals for this project? Permit/Agency Approval _____ Prop./Plan Ref. _____			

Comments:

RIGHT OF WAY & UTILITIES

Checklist Item	Yes	No	N/A
1. Has all Right-of-Way for the project been secured? 23 CFR 635.309 <input type="checkbox"/> Right-of-Way Certificate Date Approved _____ Proposal Ref. _____			
2. If the Right-of-Way will not be clear prior to authorization, are proper stipulations contained in the proposal? Y <input type="checkbox"/> N <input type="checkbox"/> N/A <input type="checkbox"/> Restrictions on the contractor Proposal Ref. _____ Y <input type="checkbox"/> N <input type="checkbox"/> Estimate of when the Right-of-Way will be clear Prop. Ref. _____			

<p>3. Is the project located within 2 miles of an airport? 23 CFR 620.103 <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> Coordinated with FAA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> Vertical clearance adequate</p>			
<p>4. Have utility agreements for all utilities affected by this project been completed and approved?</p>			
<p>5. Have all utilities affected by this project been relocated or will be relocated prior to advertisement? Utility Clearance Note Proposal Ref. _____</p>			
<p>6. If all utilities have not been relocated prior to advertisement, does the proposal include a special provision stipulating utility coordination with the prime contractor for each utility? For each utility relocation coordinated with the prime contractor, provide the utility name, relocation date specified in the utility agreement, and a proposal reference: Utility Co. Name: _____ Relocation Date: _____ Prop. Ref. _____ Utility Co. Name: _____ Relocation Date: _____ Prop. Ref. _____ Utility Co. Name: _____ Relocation Date: _____ Prop. Ref. _____</p>			
<p>7. Does the project require use of or adjustment of railroad facilities? 23 CFR 646 <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> Railroad Agreement approved <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> Liability Insurance requirements provided in proposal Proposal Ref. _____</p>			

Comments:

PLANS & SPECIFICATIONS

Checklist Item	Yes	No	N/A
<p>1. Have all comments and issues from previous review reports, meeting summaries, etc. been satisfactorily addressed?</p>			
<p>2. Do the contract plans describe the location and design features and the construction requirements in sufficient detail to facilitate construction and the estimation of construction costs of the project? 23 CFR 630.205 Do the contract plans contain the following: <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> Title Sheet <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> Typical Sections <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> Summary of Quantities <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> Plan Sheets <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> Profile Sheets <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> Drainage Sheets <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> Cross Sections <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> Traffic Control Plans <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> Signing Plans <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> Lighting Plans <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> Traffic Signal Plans <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> Special Detail Sheets</p>			

Y <input type="checkbox"/> N <input type="checkbox"/> Structure/Bridge Plans Y <input type="checkbox"/> N <input type="checkbox"/> Utility Relocation Plans Other _____			
3. Does the design conform to Federal-aid design standards for geometric and structural design of highways and/or STA policy and guidance manuals? 23 CFR 625			
4. Are any design exceptions incorporated into this project? 23 CFR 625.3(f) Design Exception: <hr/> Y <input type="checkbox"/> N <input type="checkbox"/> Reviewed and approved by the STA and FHWA (if applicable per current State DOT/FHWA Stewardship Plan) Date Approved _____			
5. Does the project involve new or revised Interstate Access? Y <input type="checkbox"/> N <input type="checkbox"/> Interchange Justification/Modification Study approved by FHWA Date Approved _____			
6. Are Right-of-Way, easement, and control of access lines shown on the plans?			
7. Is the Right-of-Way acquired adequate to facilitate construction of the project?			
8. Are all traffic control devices provided with this project consistent with the current edition of the Manual on Uniform Traffic Control Devices (MUTCD)? 23 CFR 655.603			
9. Is a temporary traffic control plan provided and consistent with regulations on Work Zone Safety & Mobility as described in 23 CFR 630 (J)? Prop./Plan Ref. _____ Y <input type="checkbox"/> N <input type="checkbox"/> N/A <input type="checkbox"/> Transportation Management Plan (TMP) Approved by the STA and FHWA (if applicable per current STA/FHWA Stewardship Plan) Date Approved _____			
10. Are the clear zone and safety appurtenances provided for this project in accordance with the current edition of the AASHTO Roadside Design Guide?			
11. Are appropriate accommodations provided for bicyclists and pedestrians along the project and intersecting roadways? 23 CFR 652			
12. Are pedestrian facilities designed in accordance Americans with Disabilities Act requirements? http://www.access-board.gov/			
13. Does the project utilize the current version of Standard Drawings?			
14. Are local standard drawings, sepia drawings, or special details incorporated into the project? Prop./Plan Ref. _____ Y <input type="checkbox"/> N <input type="checkbox"/> Reviewed and approved by the STA and FHWA (if applicable per current STA/FHWA Stewardship Plan) Date Approved _____			
15. Does the project utilize the current version of the State Standard Specifications?			

<p>16. Are local specifications or supplemental specifications utilized on the project? Proposal Ref. _____ Y <input type="checkbox"/> N <input type="checkbox"/> Reviewed and approved by the STA and FHWA (if applicable per current STA/FHWA Stewardship Plan) Date Approved _____</p>			
<p>17. Are all pay items covered by an appropriate specification that agrees with the plans for basis of payment?</p>			
<p>18. Are any materials to be supplied by the Local Public Agency or the State? 23 CFR 635.407 Material: _____ Y <input type="checkbox"/> N <input type="checkbox"/> Public Interest Finding (PIF) approved by the STA and FHWA (if applicable per current STA/FHWA Stewardship Plan) Date Approved _____</p>			
<p>19. Are patented or proprietary materials shown in the plans or specifications? 23 CFR 635.411 Material/Product: _____ Y <input type="checkbox"/> N <input type="checkbox"/> Use of Material approved by the STA and FHWA (if applicable per current STA/FHWA Stewardship Plan) Date Approved _____</p>			
<p>20. Is state or local force account construction work to be utilized on this project? 23 CFR 204 Y <input type="checkbox"/> N <input type="checkbox"/> Cost Effective Determination approved by the STA and FHWA (if applicable per current STA/FHWA Stewardship Plan) Date Approved _____</p>			
<p>21. Are experimental features utilized on this project? (Federal-aid Policy Guide G 6042.4) Experimental Feature: _____ Y <input type="checkbox"/> N <input type="checkbox"/> Work Plan approved by the STA and FHWA (if applicable per current STA/FHWA Stewardship Plan) Date Approved _____</p>			
<p>Comments:</p>			

ESTIMATE

Checklist Item	Yes	No	N/A
1. Does the estimate include a pay item for all work included in the plans?			
2. Are all estimated unit prices reasonable and comparable to average unit bid prices or construction industry trends?			
3. Are Federal-aid non-participating items included in this project? Y <input type="checkbox"/> N <input type="checkbox"/> Non-participating items separately listed in the estimate and/or plans items include: _____			
4. Is the amount of the estimate consistent with the amount of Federal-aid funding requested for the construction phase?			

Comments:

PROPOSAL

Checklist Item	Yes	No	N/A
1. Is the FHWA-1273 Required Contract Provisions for Federal-Aid Construction Contracts included? 23 CFR 633.102 Proposal Ref. _____			
2. Are Equal Employment Opportunity (EEO) special provisions included? Proposal Ref. _____			
3. Does the proposal contain a Disadvantaged Business Enterprise (DBE) goal? 23 CFR 635.107 & 49 CFR 26 DBE Goal: _____ Proposal Ref. _____			
4. Is a non-collusion provision included? 23 CFR 635.112(f) Proposal Ref. _____			
5. Are standardized changed condition clauses included? 23 CFR 635.109 Specification/Proposal Ref. _____			
6. Are training special provisions included? Proposal Ref. _____			
7. Are the minimum wage rates determined by the United State Department of Labor included? 23 CFR 117(f) Proposal Ref. _____			
8. Are the Buy America Act Provisions included? 23 CFR 635.410 Specification/Proposal Ref. _____			
9. Is the contract time/completion date realistic and adequately supported? 23 CFR 635.121 Proposal Ref. _____ Completion: Date / Work Days / Calendar Days (Circle One)			
10. Does the proposal contain incentive/disincentive clauses? Proposal Ref. _____			

Comments:

AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 (RECOVERY ACT)

This category of items will ensure contract documents for projects utilizing Recovery Act funds satisfy additional requirements and include the necessary provisions as set forth in the Recovery Act. For additional guidance and information related to the Recovery Act, please visit www.fhwa.dot.gov/economicrecovery/index.htm

Checklist Item	Yes	No	N/A
1. Is this project included in Section 1511 Certification and is the information accurate?			
2. Does the contract package for the project include provisions regarding the special reporting requirements of the Recovery Act?			
3. Does the contract package for the project include a provision to override the general applicability provisions in form FHWA-1273, Section IV and V? Note that Davis-Bacon Prevailing Wage Rate requirements shall apply to all Recovery Act funded construction projects regardless of location / roadway classification. Proposal Ref. _____			
4. Does the contract package require installation of Recovery Act Project Construction Signing?			
5. Does the contract package for the project include a provision for Section 902 regarding U.S. Comptroller General authority?			
6. Does the contract package for the project include a provision for Section 1515 regarding Inspector General authority?			

Comments:

Billing/Payment Process of State and Local Governments Division Office Checklist

Division Offices: Please use the following checklist to assist you in assessing compliance related to claims for reimbursement and payment in your state. This checklist will also help prepare you in responding to questions raised during subsequent outside reviews of various agency-identified high risk areas. While these review team members will have some level of familiarity with the FHWA billing processes and procedures, the Division Offices are responsible for ensuring compliance with all applicable Federal requirements by State, local and other subrecipient entities receiving Federal-aid funds.

Review of State DOT billing/payment process

- Does the Division conduct periodic billing transaction reviews (other than the required IPIA review)?
 - If no, how does the Division verify billings submitted through RASP are accurate/supportable?
- If the Division performs periodic billing transaction reviews:
 - How current is the latest review?
 - Have all findings been satisfactorily resolved?
 - Have there been any changes to the billing system/process since last assessment?
 - What is the Division/State doing to address any concerns resulting from these changes?
 - Has resolution to concerns been tested?
 - Are results of tests conclusive? Sufficient?
 - Were the review, results, and follow-up documented?
- Does the Division insure credits have been applied when an Ineligibility Notice has been issued? Is documentation of the credits maintained?
- Is the State implementing a new accounting and billing system or billing module?
 - Has the Division been working with FHWA FST to mitigate risks of new system implementation?
 - What conclusions have been reached regarding evaluations of new billing modules?
 - Have all applicable concerns been satisfactorily resolved/mitigated?
 - Is resolution satisfactorily documented?

Review of State DOT Local Project Administration (LPA) billing/payment process

- Does the State DOT have written procedures for processing claims for reimbursement submitted by subrecipients of Federal funds?
- Does the State DOT reimburse the local agency according to their procedures and in a timely manner?
- Does the State DOT have a systematic process of auditing the claims submitted by local agencies? If so, please briefly describe the process.
- Does the LPA accounting and billing process comply with generally accepted accounting principles and standards of internal controls?
- Does the documentation submitted by the local agencies support the claims for reimbursement?

- Does the State or Local Agency have an audit function that reviews final claims for locally administered federal-aid projects?
 - Are these final claims supported with audit reports and do they accompany the claim?
 - Do persons with authority to take appropriate action receive and review the reports?
 - How does State or Local Agency handle the disposition of significant findings that impact the claim for Federal funds?
 - Has the quality of these audits been determined and what were the results of this review?
- Did the State or local agency have any Single Audit findings involving Federal-aid billing processes?
 - If so, were findings satisfactorily resolved and documented?

Review of Miscellaneous FAHP recipients not run through the State's billing system

- Does the Division periodically review claims for reimbursement from recipients of Federal Funds who do not use the current billing process RASP (Recreational Trails for example)?
- Periodic billing transaction reviews performed by the Division Office:
 - How current is the latest review?
 - Have all findings been satisfactorily resolved?
 - Have there been any changes to billing system/process since last assessment?
 - What is the Division/State doing to address any concerns resulting from these changes?
 - Has resolution to concerns been tested?
 - Are results of tests conclusive? Sufficient?
 - Were the review, results, and follow-up documented?
- Does the Division insure credits have been applied when an Ineligibility Notice has been issued? Is documentation of the credits maintained?
- Does the recipient's accounting and billing process comply with generally accepted accounting principles and standards of internal controls?
- Does the documentation submitted by the recipient support the claims for reimbursement?
- Does the recipient have an audit function that reviews final claims for federal-aid projects not processed through the state DOT's billing system?
 - Are these final claims supported with audit reports and do they accompany the claim?
 - Do persons with authority to take appropriate action receive and review the reports?
 - How does the recipient handle the disposition of significant findings that impact the claim for Federal funds?
 - Has the quality of these audits been determined and what were the results of this review?
- Was the recipient subject to the Single Audit requirements under OMB A-133?
 - Were there any findings involving Federal-aid funds?
 - Were the findings adequately resolved and documented?

**Indirect Costs of State and Local Governments
Division Office Checklist
March 10, 2009**

Division Offices: Please use the following checklist to ensure you are prepared to respond to questions related to Indirect Cost Allocation in your state.. There will likely be subsequent outside reviews of various agency-identified high risk areas, and they will be using the same checklists in their evaluations. While these review team members will have some level of familiarity with the various federal cost principles, the Division Offices, as cognizant agency for indirect cost allocation, are responsible for ensuring compliance with all applicable Federal requirements by State, local and other subrecipient entities receiving Federal-aid funds.

Annual approval of State DOT indirect cost allocation plan (ICAP) and indirect cost (IDC) rate(s) (if applicable)

- Has Division Office approved current ICAP and IDC rates for use by State DOT?
- Was the ICAP submitted and approved in a timely manner?
- Is there documented evidence of review of the ICAP submittal in the Division Office files?
- Did the Division utilize the Health and Human Services, FHWA ICAP Review Guide, or other appropriate checklist to determine that the State's ICAP conforms to the requirements of 2 CFR 225?
- Has an agreement been executed by both the State DOT and FHWA Division?
- Is the State DOT observing the FHWA prohibition on indirect cost projects? (see Indirect Cost Policy memo: FHWA Indirect Costs May 5 2004)

State's responsibilities for Local Public Agency (LPA) ICAP and IDC rate approvals

- Is the State aware of, and is it exercising its responsibilities for negotiation and monitoring LPA ICAPs, in accordance with 23 USC 106(g)(4) and 2 CFR 225 Appendix E(D)(1)(b)?
- Are there any LPAs for which the State is not exercising this responsibility?
 - If yes, identify steps being taken to ensure compliance.
 - Are the follow up steps tied to the Office of Infrastructure's LPA corrective action plan?

Other subrecipients with ICAPs

- Has the State exercised its responsibilities regarding non-profit ICAPs (per 23 U.S.C. 106(g)(4)(A)(ii)) and their compliance with 2 CFR 230?
- Is the State aware of the most recent approved ICAP for universities? (likely approved by either HHS or the Office of Naval Research, depending on who provides the most federal funding)?

Effects of infusion of ARRA funds on equity of indirect cost allocation to all benefiting cost objectives (2 CFR 225 Appendix A(F)(1), Appendix E(D)(2)(c) and (D)(3)(e))

- States – Has the Division discussed impacts of ARRA funding infusion on the continued equity of distribution of indirect costs to all benefiting cost objectives, including FAHP and ARRA funded projects?

- If applicable, have risks been appropriately mitigated? (This will likely involve either not allowing any charging of indirect costs to ARRA funded projects for the remainder of the State's FY 2009 or taking necessary steps to adjust rates for the remainder of FY 2009 to take into account the increased infusion of Federal funds and to avoid unnecessary over recovery of indirect costs)
- LPAs – Has the Division discussed potential impacts of ARRA funding on LPA administered projects where indirect costs are involved?
- Does the State have plans to adequately address risk of effects on FAHP and ARRA funded projects?

Periodic checking of rate application to Federal-aid projects

- Has the Division verified that IDC rates are properly charged to FAHP and ARRA funded projects, in accordance with current FHWA approval letter, and/or subsequently modified rates to mitigate effects of ARRA infusion of funding
 - For State administered projects?
 - For LPA administered projects?
- Is the State charging indirect costs to projects funded with Emergency Relief funds?
 - If so, has the Division ensured that such allocations do not result in a “windfall” of federal funding to the State?
 - Has the Division documented efforts to avoid over recovery of indirect costs to the ER program, such as special ER indirect cost rate(s) being developed?