



**METROPOLITAN
TRANSPORTATION
COMMISSION**

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Memorandum

TO: Transit Finance Working Group

DATE: October 7, 2009

FR: Amy Burch

RE: Prop 1B Update: Transit (PTMISEA) and Transit Security (CTSGP)

Background - PTMISEA

To date, Bay Area operators have received over \$287 million in PTMISEA payments (see Attachments A and B for operator-specific amounts). Allocation requests for the next funding round will likely be due to MTC and Caltrans in November 2009. The FY 2009-10 available funding is anticipated to be the same as FY 2008-09, based on a \$350 million statewide PTMISEA appropriation. Once firm FY 2009-10 program dates are established, we will notify the TFWG.

In July, the State Controller's Office (SCO) paid \$90.4 million to Bay Area agencies with Prop 1B projects (see Attachment C). However, the July state-wide bond sale did not provide funding for all Bay Area projects. Approved allocations totaling \$9.7 million for FY 2008-09 Round 2-submitted projects will not be paid until additional bond funds are available. These approved allocations include bus purchases for Vallejo, Petaluma and Sonoma County, as well as SFMTA's Central Control and Command.

PTMISEA Revised Guidelines and Forms

Attached are the most recent PTMISEA Guidelines and forms (Attachments D through L). Caltrans plans to distribute revised guidelines this month. Please download forms directly from the PTMISEA website, as information is updated frequently:

<http://www.dot.ca.gov/hq/MassTrans/Proposition-1B.html>.

FY 2009-10 Schedule

Below is a draft schedule for the PTMISEA FY 2009-10 Cycle:

Caltrans distributes revised guidelines	October 2009
SCO calculates allocations	October 2009
MTC Issues Call for Projects	October 2009
MTC Commission adopts program	November 2009
MTC submits program to Caltrans	November 2009
Caltrans releases adopted list to SCO	December 2009
TDA Audits due to Caltrans	December 31, 2009
SCO allocates funds for first cycle	January 2010

Semi-annual report due to Caltrans	February 15, 2010
Second Cycle	
MTC Issues Call for Projects	March 2010
MTC Commission adopts program	April 2010
MTC submits program to Caltrans	April 2010
Caltrans releases adopted list to SCO	May 2010
SCO allocates funds for second cycle	June 2010

**Schedule subject to change based on direction from Caltrans.*

Prop 1B Transit Security – CTSGP-CTAF

Bay Area operators have received conditional awards for Transit Security grants totaling \$21.2 million for FY 2008-09 (see Attachment M). MTC anticipates that these funds will be paid after the next bond sale, which may occur by the end of the calendar year. Transit Security projects did not receive any funds from the July bond sale.

FY 2009-10 Schedule

Below is a draft schedule for the CTSGP-CTAF FY 2009-10 Cycle:

OHS releases guidelines and applications	October 2009
Investment Justification submittal period begins	October 2009
MTC Issues Call for Projects	October 2009
MTC Commission adopts program	December 2009
MTC submits program to OHS	January 2010
Investment Justification submittal period ends	January 2010
Conditional Award Letters	February 2010

**Schedule subject to change based on direction from CalEMA.*

Feel free to contact me at 510-817-5735 and aburch@mtc.ca.gov or Kenneth Folan at 510-817-5804 and kfolan@mtc.ca.gov with questions regarding the Prop 1B Transit and Transit Security Programs.

Attachments:

- A. Draft Population-based Prop 1B Programming
- B. Draft Revenue-based Prop 1B Programming
- C. Recent Payments to Bay Area Agencies with Prop 1B Projects
- D. PTMISEA Guidelines
- E. Allocation Request Guide
- F. PTMISEA Allocation Request
- G. Financial Progress Report
- H. Financial Progress Report Balance Sheet
- I. Outcome Progress Report
- J. Project Lead Checklist
- K. Corrective Action Plan
- L. Final Project Report
- M. Bay Area's Share of Transit Security Funding

DRAFT - POPULATION-BASED PROPOSITION 1B - PTMISEA

Investment Category	Estimated Prop Total	FY 2007-08			FY 2008-09					Available for Programming		
		FY 2007-08 Appropriated	Actual Allocations (Paid)	CARRYOVER Unallocated FY 2007-08	A	B	C=A+B	D	E	F=D+E	G=C-F	I
Lifeline												
Alameda	30,688,000	1,734,416	5,098,588		0					-		2,872,181
Contra Costa	14,000,000	791,248		212,018	1,804,823	2,016,841	1,647,056	300,000	1,947,056	69,785		1,310,302
Marin	3,024,000	170,910		45,796	389,842	435,638	435,638		435,638	(0)		283,025
Napa	1,904,000	107,610		28,834	245,456	274,290	274,290		274,290	0		178,201
San Francisco*	16,912,000	955,828		256,117	2,180,226	2,436,344	212,000		212,000	2,224,344		1,582,844
San Mateo	7,952,000	449,429		120,426	1,025,140	1,145,566	100,000	900,000	1,000,000	145,566		744,251
Santa Clara	24,304,000	1,373,607		368,063	3,133,173	3,501,236			-	3,501,236		2,274,684
Solano	6,160,000	348,149		93,288	794,122	887,410	587,410	300,000	887,410	(0)		576,533
Sonoma	7,056,000	398,789		106,857	909,631	1,016,488	967,488	49,000	1,016,488	(0)		660,392
MTC - Regional Projects**		12,278,000	12,278,000		-							
Subtotal - Lifeline Program	112,000,000	18,607,987	17,376,588	1,231,399	10,482,412	11,713,811	4,223,882	1,549,000	5,772,882	5,940,929		10,482,412
*In FY 2008-09, MTC approved San Francisco Lifeline projects totaling \$2,436,344. However, Caltrans only approved \$212,000 for project work scheduled for completion within 6 months. SF project sponsors need to reapply to Caltrans when contract award is within 6 months of funding cycle.												
**MTC Regional Projects funded with 1B to free up STA funds for Lifeline.												
Urban Core Transit Improvements												
BART Seismic	24,000,000	3,987,426	24,000,000						-	-		
San Francisco Muni Central Subway	100,000,000	16,614,274			15,000,000		15,000,000		15,000,000	-		
Santa Clara VTA Line 522/523 BRT	45,000,000	7,476,423	9,726,977						-	-		
BART to Warm Springs	17,000,000	2,824,427							-	-		
East Contra Costa BART Extension	17,000,000	2,824,427			3,999,373		3,999,373		3,999,373	-		
Subtotal - Urban Core	203,000,000	33,726,977	33,726,977	0	18,999,373		18,999,373	0	18,999,373	0		18,999,373
Small Operators/North Counties												
Marin	3,404,473	565,629	565,629	0	318,635			318,635	318,635	-		318,635
Napa	1,806,699	300,170	300,170	0	169,094		169,094		169,094	-		169,094
Solano (includes Vallejo)	5,682,360	944,083	944,082	0	531,829			531,829	531,829	-		531,829
Sonoma	6,449,431	1,071,526	1,071,526	0	603,621		131,237	457,617	588,854	14,767		603,621
CCCTA	6,555,668	1,089,177	1,089,177	0	613,564		613,564		613,564	-		613,564
ECCTA	3,654,151	607,111	607,111	0	342,003		342,003		342,003	-		342,003
LAVTA	2,583,887	429,294	429,294	0	241,834		241,834		241,834	-		241,834
Union City	956,272	158,878	158,878	0	89,500		89,500		89,500	-		89,500
WestCat	907,058	150,701	150,701	0	84,894		84,894		84,894	-		84,894
Subtotal - Small Operators/North Counties	32,000,000	5,316,568	5,316,568	0	2,994,975		1,672,126	1,308,081	2,980,207	14,767		2,994,974
Population-based Total	347,000,000	57,651,532	56,420,133	1,231,399	32,476,760		24,895,381	2,857,081	27,752,462	5,955,696		32,476,760

FY 2007-08 CARRYOVER Funds are available for allocation until June 30, 2010, and available for encumbrance and liquidation until June 30, 2012.
 FY 2008-09 Funds are available for allocation until June 30, 2010, and available for encumbrance and liquidation until June 30, 2014.

DRAFT - REVENUE-BASED PROPOSITION 1B - PTMISEA

Agency	Estimated Prop 1B Total	FY 2007-08					FY 2008-09			Available for Programming	
		FY 2007-08 Appropriated	Actual Allocations (Paid)	Approved by Caltrans - Postponed to Future Cycle	Actual + Postponed	CARRYOVER Unallocated FY 2007-08	B FY 2008-09 Appropriated	C Actual Allocations (Paid)	D Approved by Caltrans - Postponed to Future Cycle	A+B-C-D	
										CARRYOVER FY 2007-08 and FY 2008-09	Estimated FY 2009-10 Appropriation
Alameda CMA - for ACE	1,699,328	283,155	283,155		283,155	0	159,509			159,509	159,509
Benicia	129,528	21,583	21,583		21,583	0	12,158			12,158	12,158
Caltrain	41,108,705	6,849,847	6,849,847		6,849,847	0	3,858,715			3,858,715	3,858,715
CCCTA	5,117,254	852,676	852,676		852,676	0	480,337	480,337		0	480,337
Dixon	41,542	6,922	6,922		6,922	0	3,900	3,900		0	3,900
ECCTA	2,076,372	345,981	345,981		345,981	0	194,901	194,901		0	194,901
Fairfield*	724,664	120,749		120,749	120,749	0	68,021	68,021		0	68,021
GGBHTD	35,123,114	5,852,482	5,852,482		5,852,482	0	3,296,871	2,163,666	532,679	600,526	3,296,871
Healdsburg	11,217	1,869	1,869		1,869	0	1,053		1,053	0	1,053
LAVTA	1,606,102	267,621	267,621		267,621	0	150,759	150,759		0	150,759
NCPTA	429,082	71,497	71,497		71,497	0	40,276	40,276		0	40,276
SamTrans	48,424,898	8,068,927	8,068,927		8,068,927	0	4,545,458	2,568,430		1,977,028	4,545,458
Santa Rosa	1,099,151	183,149	183,149		183,149	0	103,173	103,173		0	103,173
Sonoma County Transit	1,392,500	232,029	232,029		232,029	0	130,708	130,708		0	130,708
Union City	411,210	68,519	68,519		68,519	0	38,599	38,599		0	38,599
Vallejo	5,933,235	988,641	988,641		988,641	0	556,930	556,930		0	556,930
VTA	143,993,645	23,993,323	21,398,690		21,398,690	2,594,633	13,516,126			16,110,759	13,516,126
VTA - for ACE	2,371,371	395,136			0	395,136	222,592			617,728	222,592
WestCAT	2,484,810	414,038	414,038		414,038	0	233,239	233,239		0	233,239
SUBTOTAL	294,177,728	49,018,144	45,907,626	120,749	46,028,375	2,989,769	27,613,325	6,732,939	533,732	23,336,423	27,613,325
AC Transit	94,030,133	15,668,020	15,668,020		15,668,020	0	8,826,245	8826245	0	0	8,826,245
BART	235,238,734	39,197,278	39,197,278		39,197,278	0	22,080,949	22,080,949	0	0	22,080,949
SFMTA	309,462,843	51,565,067	50,365,000	1,200,000	51,565,000	67	29,048,079	16,700,000	8,700,000	3,648,146	29,048,079
SUBTOTAL	638,731,711	106,430,365	105,230,298	1,200,000	106,430,298	67	59,955,273	47,607,194	8,700,000	3,648,146	59,955,273
Revenue-based Total	932,909,439	155,448,509	151,137,924	1,320,749	152,458,673	2,989,836	87,568,598	54,340,133	9,233,732	26,984,570	87,568,598

FY 2007-08 CARRYOVER Funds are available for allocation until June 30, 2010.

FY 2008-09 Funds are available for allocation until June 30, 2010 also.

J:\PROJECT\Funding\Infrastructure Bond\U-Bond\Transit\MTC Regional Transit Proposal - \$347M\FY 2008-09\Project Summary List\PTMISEA Project List_8.25.09.xls\REV

Recent Payments to Bay Area Agencies with Prop 1B Projects:

SCO Paid Project Sponsors on 7/15/09 and 7/22/09

	Sponsor	Project Title	Amount Paid
1	AC Transit	Replace/Expand Nine 60-foot Articulated and Thirty 45-foot Buses	8,826,245
2	Alameda CMA - for ACE	ACE Station Improvements	283,155
3	BART	BART Pittsburg/Bay Point Station Improvements	320,000
4	BART	Intermodal Access Improvements at West County BART Stations	482,251
5	BART	BART Balboa Park Station Westside Entrance and Walkway	1,153,610
6	BART	Central Contra Costa BART Crossover	5,000,000
7	BART	eBART	6,000,000
8	BART	Station Modernization Program	15,080,322
9	Caltrain (PCJPB)	South Terminal Station Project	6,849,847
10	CCCTA	Pacheco Transit Hub	800,000
11	CCCTA	Rolling Stock Replacement	1,938,706
12	Dixon	Replacement vehicles	85,822
13	ECCTA	Bus Purchase	882,885
14	Fairfield	DART Paratransit Replacement Vehicles	109,621
15	Fairfield	Vacaville Bus Shelters	109,800
16	Fairfield	Vacaville City - Replace 5 Buses	240,000
17	GGBHTD	Canal Neighborhood Transit Improvements	435,638
18	GGBHTD	Purchase Seven 35-foot Low Floor Hybrid Buses	872,020
19	GGBHTD	Asset Management and Vehicle Fluid Management Systems	2,163,666
20	LAVTA	Route 10 Rapid Bus (BRT) Project	392,593
21	NCTPA	Bus Purchase - Rolling Stock Acquisition	555,157
22	San Mateo County Transit District	Van Purchase for Shelter Network	28,000
23	San Mateo County Transit District	East Palo Alto Bus Stop Improvements	72,000
24	San Mateo County Transit District	Replacement of 126 1993 Gillig Buses	888,938
25	San Mateo County Transit District	Replacement of Fare Collection Equipment	1,679,492
26	Santa Rosa CityBus	Bus Purchase	901,303
27	SFMTA	Randolph/Farallones/Orizaba Transit Access Improvements**	85,000
28	SFMTA	SFMTA Persia Triangle Improvements**	127,000
29	SFMTA	Interim Line Management Center	400,000
30	SFMTA	Light Rail Operations Control Center Improvements	1,300,000
31	SFMTA	Central Subway	30,000,000
32	Sonoma County	Bus Purchase (Five)	232,029
33	Sonoma County	Bus Purchase (Ten)	614,452
34	Union City	Bus Purchase - Two Replacement Buses	196,618
35	Vallejo	Purchase of Shop Truck	75,730
36	Vallejo	Purchase Vehicle Replacement Parts	94,000
37	Vallejo	Bus Maintenance Facility Repair	182,000
38	Vallejo	Bus Fixed/Heavy Equipments	205,200
39	Vallejo	Install Bus Shelters and Stops	361,010
40	WestCat	Bus Purchase - Contra Costa College Connection	69,785
41	WestCat	Bus Purchase - LYNX	318,133
		Total	90,412,028

**California Department of Transportation
Public Transportation Modernization, Improvement, and Service Enhancement Account
(PTMISEA)**

Guidelines and Project Description and Allocation Request

The Highway Safety, Traffic Reduction, Air Quality, and Port Security Bond Act of 2006 (Bond Act), approved by the voters as Proposition 1B on November 7, 2006, includes a program of funding in the amount of \$4 billion to be deposited in the Public Transportation Modernization, Improvement, and Service Enhancement Account (PTMISEA). Of this amount, \$3.6 billion in the PTMISEA is to be made available to project sponsors in California for allocation to eligible public transportation projects. This comprehensive voter-approved transportation bond investment package was designed to help advance important goals and policies, including protecting the environment and public health, conserving energy, reducing congestion, and providing alternative mobility and access choices for Californians. Projects funded from the PTMISEA will help advance the State's policy goals of providing mobility choices for all residents, reducing congestion, and protecting the environment.

Funds will be appropriated to the State Controller's Office (Controller) for allocation to eligible agencies. In fiscal year 2007/08, Senate Bill 88 identified the Department of Transportation as the administering agency. The Legislature appropriated \$600 million to the Program. In fiscal year 2008/09 the Legislature extended the procedures in SB 88 for another year, and appropriated \$350 million. The 2009/2010 Governor's Budget includes \$350 million of PTMISEA.

Due to the current fiscal state, California bond funds have not been sold regularly. Projects approved for funding will receive their request when funding from bond sales is available.

Guidelines

1. Guideline Purpose

The Department is responsible for developing and approving guidelines that accomplish the following:

1. Provide for the audit of project expenditures and outcomes.
2. Require that the useful life of the project be identified as part of the project nomination process.
3. Require that project nominations have project delivery milestones as applicable: start and completion dates for environmental clearance, design, right of way, construction, vehicle/equipment procurement, and project closeout.

These guidelines are intended to assist the project sponsor and the Department in verifying that the proposed project is consistent with the criteria established for the PTMISEA in the Bond Act and Statutes. The Legislature is currently working to pass AB 1072 that applies

the process and formulae used initially in the Budget Act to distribute transit funds under the PTMISEA to the funds remaining in this Proposition 1B bond program. The Department will revise these guidelines as necessary for the remainder of the funds to be appropriated for the PTMISEA in future fiscal years.

Statutory Program Eligibility

2. Project Sponsors

“*Project sponsor*” is identified by the State Controller as:

- a. A transit operator, including a rail transit, commuter rail, bus, or waterborne transit operator, eligible to receive an allocation of funds under the State Transit Assistance (STA) pursuant to Public Utilities Code (PUC) Sections 99314, or
- b. A local agency, including a transportation planning agency, county transportation commission, or the San Diego Metropolitan Transit Development Board, eligible to receive an allocation of funds under the STA pursuant to PUC Section 99313.

Recipient Agency is the project sponsor that will act as the lead when multiple project sponsors agree to contribute their PTMISEA funds to a joint project.

3. PTMISEA Allocation

The Controller identifies and develops the list of eligible project sponsors and the amount each is eligible to receive, based on calculations outlined in PUC Sections 99313 and 99314. The Controller notifies project sponsors of their eligibility and funding level via an official letter annually. The amount may vary depending on the availability of funds.

FY 2008-09 PTMISEA Allocation

Per Budget Bill AB 1781, the FY 2008-09 PTMISEA amount is available for allocation until June 30, 2010, and available for encumbrance and liquidation until June 30, 2014.

FY 2007-08 PTMISEA Allocation

For FY 2007-08, the Controller released their letter on October 24, 2007. The FY 2007-08 PTMISEA amount is available for allocation until June 30, 2010, and available for encumbrance and liquidation until June 30, 2012.

4. Eligible Projects

Transit Capital Projects

Eligible projects are **transit capital projects** (including a minimum operable segment of a project) for purposes of one of the following:

- Rehabilitation, safety, or modernization improvements. Purchasing of equipment for rehabilitation, operation, modernization and/or safety enhancements. These may include items such as bus engines, computer systems, and signage.
- Capital service enhancements or expansions. Expansion and/or modernization of existing buildings, bus shelters, transit centers, operation and maintenance facilities, and the like. These may include any one or a combination of the phases; design and/or construction.
- New capital projects. New construction, expansion, and/or modernization of buildings, bus shelters, transit centers, operation and maintenance facilities, and the like. This may include any one or a combination of the phases; design, right of way, and/or construction.
- Bus rapid transit improvements. Construction and/ or expansion of BRT lanes and or equipment to expand service.
- Rolling stock procurement, rehabilitation, expansion or replacement. To purchase, replace or rehabilitate transit vehicles to replace or expand services. These may include buses, vans, paratransit vehicles, and rail transit vehicles.

Useful Life

To be eligible, projects must have a useful life not less than the required useful life for capital assets pursuant to the State General Obligation Bond Law, GC Section 16727 (a).

Short Range Transit Plan

Further more, projects **must** be consistent with the sponsor's most recently adopted short-range transit plan or publicly adopted plan that programs or prioritizes funds for transit capital improvements, including a transportation improvement program. Or a certified board endorsement will suffice to meet this requirement.

Project Full Funding Plan

The project sponsor must provide a funding plan that demonstrates the funds are expected to be reasonably available and sufficient to complete the project or a useable project segment. Funding for a useable project segment can only be approved if the benefits associated with the segment are sufficient to meet the objectives of the PTMISEA. **The executive authority of an agency must sign the statement on the cover sheet that holds project sponsor liable for all fiscal responsibilities.**

5. Authorized Agent Form

The executive authority of an agency is required to submit to the Department a signed and dated Authorized Agent form indicating whom has authority to act on behalf of their agency for submitting the required Allocation Request and reporting documents. The form will remain valid for one fiscal year or until there is a change in the authorized agent. This form shall be submitted even when the only signing authority is the Executive Director.

PTMISEA Allocation Request

6. PTMISEA Allocation Request

The project sponsor and/or the “recipient agency” must sign the Allocation Request. A project sponsor becomes the “recipient agency” when more than one project sponsor is contributing to the project. The contributing project sponsors must also sign the Request form and state the dollar amount contributed and whether the funds are provided in accordance with SB 1781, Statutes of 2008; **or provide an official signed letter with this information. If there are multiple contributing sponsors, each must submit an official signed letter stating the dollar amount.**

Project sponsors shall submit to the Department a description of the proposed transit capital project or projects it intends to fund with PTMISEA **The Project Lead will be the project sponsor or recipient agency. The Project Lead will complete Table 1 of the Request form and the contributing project sponsors information in Table 2.**

The PTMISEA Allocation Request and Attachment A.1 form is provided in Microsoft Excel format. The Request includes all of the following and serves as the basis for the Department’s review to verify the project is consistent with the PTMISEA requirements:

- a. A summary of the proposed project, which shall include the benefit the project intends to achieve.
- b. The useful life of the project.
- c. The estimated schedule for the completion of the project.
- d. The total cost of the proposed project, including the identification of all funding sources necessary for the project to be completed.

Please see Allocation Request Instructions

7. Request Submittal

The original signed hardcopy Request (including Attachment A.1, and the relevant sections of the publicly adopted plan) and any letter of verification from the regional entity, as applicable, must be mailed to:

Joan Musillani, PTMISEA Program Manager
California Department of Transportation
Division of Mass Transportation, MS #39
P.O. Box 942874
Sacramento, CA 94274-0001

You may e-mail a scanned version, but you must follow with a hard copy by mail. The scanned version should be sent to appropriate PTMISEA staff listed on the DMT website:

8. Project Eligibility Verification and Adoption

The Department will review the Requests and only approve projects that meet the requirements of PTMISEA as outlined above. A minimal operable project segment will only be approved if the benefits are sufficient to meet the objectives of the PTMISEA. Project sponsors are expected to have the financial capacity to maintain and operate the project services, as well as the financial and institutional ability to accept the legal liabilities and obligations for the duration of the project's useful life. These PTMISEA funds shall be spent consistent with the California Air Resources Board's regulations governing transit equipment and emissions.

Upon approval, the Department will establish and adopt a list of the eligible projects and allocations by project sponsor that are ready to proceed within the following six-month period and submit the list to the Controller. The Department will send written notification to the sponsors of the projects, including an accounting of the FY PTMISEA share remaining to be approved for other eligible projects.

9. Biannual Project Lists

For FY 2009-10, and previous years, requests can be made on a continuous basis up to the amount allocated for that year. However, the Department only sends a list of all approved PTMISEA projects that are ready to proceed with the PTMISEA funded phase within the following six-month period to the Controller biannually.

10. Allocations from the PTMISEA

After receiving the Department's adopted PTMISEA list, the Controller will issue the warrant to the project sponsor up to the level of funding it is eligible to receive for the project. This means that a sponsor may request funds in advance of actually incurring the expense, if the Department has verified that the project is eligible. Funds will be allocated based on project readiness as indicated in the submitted schedule. **To receive funds electronically, complete the form found at the website below and send it to the Controller: <http://www.sco.ca.gov/ard/state/forms/fam34.pdf>.**

11. Eligible Bond Expenditures/Timely Use of Funds

Per statutes, costs allowable include costs incidentally but directly related to construction or acquisition as applicable: start and completion dates for environmental clearance, design, right of way, construction, vehicle/equipment procurement, and project closeout. The Department must verify that funds can be encumbered within two years of the allocation and expended within four years after encumbrance.

Project cost incurred **prior** to passage of the following Fiscal Year Budget Acts are **not** eligible expenditures for PTMISEA funds. Dates are:

FY 2007-08: August 24, 2007

FY 2008-09: September 23, 2008

Project cost incurred **after** the passage of the following Fiscal Year Budget Act are eligible expenditures for PTMISEA funds. Dates are:

FY 2007-08: August 24, 2007

FY 2008-09: September 23, 2008

12. Interest Earned

Interest must be used in the same manner as the principle. Interest earned can only be used for approved PTMISEA Projects, in the following ways:

- If project cost exceeds the approved request, any interest earned can be applied to the project. An approved Corrective Action Plan is required, available from on the Department of Mass Transportation website or from PTMISEA staff.
- Interest remaining after project closeout must be applied to another approved PTMISEA project.

13. Surplus Funds

Funds remaining after project completion are considered surplus. These funds shall be expended in conformance with PTMISEA guidelines. A Project Description and Allocation Request is required.

14. Changes to Scope of Work, Budget, or Schedule

Prior approval is required to change a PTMISEA Project Allocation Request. The following process applies:

- Contact the PTMISEA office to request a Corrective Action Plan form.
- Complete and return the PTMISEA Corrective Action Plan form.
- Your amended PTMISEA Project Completion Date must fall within the original approved timeline.

Accountability and Progress Reports

15. Project Accountability and Semi-Annual Reporting

Each project must meet the front-end, in-progress, and follow-up accountability requirements of the Governor's Executive Order S-02-07, (E.O.) as found at: http://www.bondaccountability.ca.gov/Executive_Order/.

The Department will submit to the Department of Finance, the Controller, and the Treasurer a report that includes the project information taken from the Requests and subsequent adopted list. The Department's report will fulfill the E.O. front-end reporting requirement for the project sponsors.

GC Section 8879.50(f)(1) requires the project sponsor to report semi-annually on the activities and progress made on the project to the Department to ensure the projects and activities funded from bond proceeds are being executed in a timely fashion, within the scope and cost approved at the time of allocation, and are achieving the intended purposes. You will be notified of the due dates for the reports. The project sponsor must also notify the Department when the allocated funds have been encumbered. These semiannual reports to the Department fulfill the E.O. in-progress reporting requirements for the project sponsors.

If the project is expected to exceed the approved budget, the project sponsor shall provide a revised plan to the Department indicating how it will address the cost increase. The project sponsor may either downscope the project or find an alternative funding source. Unallocated FY 2007-08 and FY 2008-09 PTMISEA funds may be used as an alternative source.

The information from the Department's reports will be available online, accessible through the Department of Finance website, allowing the public and officials to see how bond funds are being used. The State Treasurer will prepare an annual executive summary of information on the bond projects and post it online, including any conclusions or recommendations to the Legislature or responsible department.

During the first year of these reports, the due dates fell six months after the release of the funds. Since the release dates vary, we are adjusting the due dates to be consistent each year. All projects (regardless of their cycle) will have reports due 45 days after the June quarter and after the December quarter. This will coincide with other bond program requirements and will present more consistent program status updates. All FY 7/8 projects will follow this schedule, and as we fund the FY 8/9 cycles, they will also be due at the same times. The schedule for the Semi-Annual Reports is as follows:

Report due:	Data effective as of:
August 15, 2009	June 30, 2009
February 15, 2010	December 31, 2009
August 15, 2010	June 30, 2010
February 15, 2011	December 31, 2010

16. Final Report

- Notice of Completion: When project is complete, the Sponsor must notify the DMT. This notification can be via email or letter.
- Six Month Completion Report: Six months after the project is complete a short summary of the project must be submitted to DMT.

17. Project Audit and Follow-up Report

The annual audit of public transportation operators already required under the Transportation Development Act (TDA) pursuant to PUC 99245 **must be expanded to include verification of receipt and appropriate expenditure of bond funds** in accordance with Statutes. Each project sponsor receiving PTMISEA funds in a fiscal year for which an audit is conducted shall transmit a copy of the audit to the Department **180 days after the close of the fiscal year**, and the Department shall make the audits available to the Legislature and the Controller. The audit can fulfill the E.O. requirement for follow-up reporting. If the annual audit is conducted six months after the project becomes fully operational or has entered service and includes final costs compared to the original project budget, the project duration as compared to the project schedule at date of allocation, and performance outcomes achieved as compared to the outcomes described in the original application.

18. Commission’s Annual Report

The Department will provide project information to the California Transportation Commission to include in its annual report. The report will include a summary of the PTMISEA project activities including the description and location, the amount of funds allocated to each project, progress made to date, and a description of the public benefits achieved. This shall also include a list of any projects that have been subject to an audit.

Other General Information

19. The estimated timeline for FY 2009-10, is below:

- | | |
|--|---------------|
| • Distribute revised guidelines | October 2009 |
| • SCO calculates allocations | October 2009 |
| • Project Sponsor submit Request to Department | November 2009 |
| • Department releases adopted list to Controller | December 2009 |
| • Controller allocates funds for first cycle | January 2010 |
| • Second Project Cycle submittals to Department | April 2010 |
| • Department releases adopted list to Controller | May 2010 |
| • Controller allocates funds for second cycle | June 2010 |

20. Additional Information

Please view our website to download all materials and additional information: [Division of Mass Transportation PTMISEA](http://www.dot.ca.gov/hq/MassTrans/Proposition-1B.html). (http://www.dot.ca.gov/hq/MassTrans/Proposition-1B.html)

PTMISEA Allocation Request Instructions

The following is to be used as a guide to completing the California Department of Transportation Public Transportation Modernization Improvement and Service Enhancement Account (PTMISEA) Allocation Request.

Cover Page

An original should be completed and submitted by the Lead Agency and signed by contributing sponsor(s). An official signed letter can be submitted by contributing sponsor(s) in lieu of signing the cover page. The signature(s) should be from the Executive Director or the Authorized Agent to confirm validity of the request. PTMISEA will need an Authorized Agent Form to be completed every Fiscal Year.

PTMISEA Project Description and Allocation Request

Allocation Request Amount

The amount requested should be listed under the year the funding was allocated by the legislature, not the year the funding is being requested or expended. The funds requested by each project sponsor cannot exceed the amount identified by the Controller for each year.

Table 1 – Project Sponsor/Recipient Agency Information: The Lead/Recipient Agency completes this table. If there are other contributing project sponsors, the agency receiving the funds from other project sponsors becomes the Lead Agency/Recipient Agency. The Lead Agency/Recipient Agency becomes the principal project contact and responsible for complying with reporting requirements. **Remember, only agencies identified by the Controller can be Project Sponsors.**

Table 2 – Contributing Project Sponsor(s) Information

The Request must clearly identify the contributing PTMISEA-eligible sponsors and the amount of funds they are contributing. In addition, whether the funds are from the PTMISEA formula for GC Section 8879.55(a)(2) or GC Section 8879.55(a)(3). **List PTMISEA funds only.**

Table 3 – Project Category

Select one category that best describes the project. *Refer to Eligible Projects, item #4, on the PTMITSEA guidelines.*

Table 4 – Project Summary

Describe the project (or minimum operable segment of a project). The description of the project should include the number of items being produced/purchased with PTMISEA funding (i.e. 5 vehicles, 1 transit center), the type (i.e. Type VII bus, i.e. Light Rail Station), and any appropriate definitions of project. Attach any additional pages if necessary.

Table 4.b:

The useful life of the project or asset, which shall not be less than the required useful life for capital assets pursuant to the State General Obligation Bond Law.

Table 5 – Description of Major Benefits / Outcomes

Please select one or more of the measurable public benefit(s). The major public benefit should be stated as a measurable statistical benefit shown as a percent. This information will be available on the Governor’s Bond Accountability Website for the public to view. Please refer to the table below for further guidance on filling out this table. In addition, please summarize any additional benefits the project will generate.

The table below may aid in quantifying some public benefits and outcomes				
Benefits	Increase Ridership	Reduce Operating/ Maintenance Costs	Reduce Emissions	Increase System Reliability
	Outputs	Increase in Rail Transit Round Trips	Increase Fleet Life	Increase Fuel Efficiency
Average Daily Rides		Reduce Vehicle Miles	Construct CNG / LNG Fueling station	Service Facility Expansion
Increased Capacity		Enhanced Maintenance Capacity	Purchase CNG / LNG vehicles	Improved System Performance
Increase Mobility		Extend Vehicle Life		On-Time Performance Increase
Reduce Congestion		Maintenance / Storage Facility Construction / Expansion		
Transit Center Construction / Expansion		Decrease Fueling Time		
Park & Ride Spaces				
Security Enhancement ADA Requirement				

Examples:

Project Description - Pave and re-stripe 40 Park & Spaces.

Output - Park & Ride Spaces

Benefit - Increase Ridership by 5%

Project Description - Rehabilitate 50 Buses.

Output - Increase fleet life

Benefit - Reduce Operating / Maintenance Cost by 10%

Project Description - Replace 10 Diesel buses with new CNG models

Output - Purchase CNG vehicles

Benefit - Reduce Emissions by 20%

Project Description - Purchase and Install AVL in bus fleet

Output - On-Time Performance Increase

Benefit - Increased System Reliability by 10%

Note: Percentages above are for example purposes only.

Table 6 – Project Schedule and Milestones

State the estimated start and completion dates for the project phases as applicable: start and completion dates for environmental clearance, design, right of way, construction, vehicle/equipment procurement, and project closeout. Please note, the PTMISEA-funded phase of the project **must** be ready to proceed within six months of the allocation request biannual deadlines.

Table 7 – Tax Compliance Information

Respond to the questions as asked. These questions replace the Tax Compliance Questionnaire usually required.

Total Project Cost and Funding Plan

The funding plan must demonstrate the project is fully funded by identifying the sources of funding, including federal, local, private, and State money committed for the project. If the project-funding plan includes interest earned on PTMISEA funds, it will be listed as a separate funding source and included on this attachment. The funding should be entered according to the year the funding was allocated to the project, not the year the funding was received or expended.

Short Range Transit Plan

Projects must be consistent with the project sponsor's most recently adopted short-range transit plan or other publicly adopted plan that programs or prioritizes funds for transit capital improvements, including the region's transportation improvement program or a certified board endorsement. Submit only the following information of your plan:

- a. Cover page
- b. Summary
- c. Adoption page
- d. Relevant project description

Sponsor Check List

The checklist serves as a guide to complete and submit key requirements in the Allocation Request process. Completing the checklist will help to ensure that requests are processed in a timely matter to meet Allocation Request deadlines.

**Public Transportation Modernization, Improvement and
Service Enhancement Program (PTMISEA)
PROJECT DESCRIPTION AND ALLOCATION REQUEST**

	Regional Entity:
Project Lead*:	County:
Project Title:	

I certify the scope, cost, schedule, and benefits as identified in the attached Project Description and Allocation Request (Request) and attachments are true and accurate and demonstrate a fully funded operable project. I understand the Request is subject to any additional restrictions, limitations or conditions that may be enacted by the State Legislature, including the State's budgetary process, which may effect the amount of bond proceeds received by the project sponsor now and in the future. Project sponsors may need to consider alternative funding sources if bond proceeds are not available. In the event the project cannot be completed as originally scoped, scheduled and estimated, or the project is terminated prior to completion, project sponsor shall, at its own expense, ensure that the project is in a safe and operable condition for the public. I understand this project will be monitored by the California Department of Transportation -- Division of Mass Transportation.

Name: _____

Signature: _____

Title: _____

Agency: _____

Date: _____

If this project includes funding from more than one project sponsor, the project sponsor above becomes the "recipient agency" and the additional contributing project sponsor(s) must also sign and state the amount and type of PTMISEA funds (GC Section 8879.55(a)(2) and/or Section 8879.55(a)(3)) contribution. Sign below or **attach a separate officially signed letter providing that information.**

Name: _____

Signature: _____

Title: _____

Agency: _____

Date: _____ **Amount:** _____

PTMISEA 2009- 10 PROJECT DESCRIPTION AND ALLOCATION REQUEST

	7/8	8/9	9/10
Request Amount per GC 8879.55(a)(2)/PUC 99313:	\$ _____	\$ _____	\$ _____
Request Amount per GC 8879.55(a)(3)/PUC 99314:	\$ _____	\$ _____	\$ _____
Total Project Allocation Request:	\$0	\$0	\$0
Project Title:	_____		
Project Location/Address:	_____		

Table 1: Project Lead/Recipient Agency Information			
Project Lead/ Recipient Agency: _____ Contact: _____ Contact Phone #: _____ Email Address: _____ Address: _____		<i>Legislative District Numbers</i> Senate: _____ Assembly: _____ Congressional: _____	Amount: _____ \$ _____ \$ _____
		Fund Type: _____	

Table 2: Contributing PTMISEA-Eligible Project Sponsor Information			
PTMISEA Contributors: _____ Contact: _____ Contact Phone #: _____ Email Address: _____ Address: _____		Amount : _____ \$ _____ \$ _____	Fund Type: _____ _____
Other PTMISEA Contributors (Attach sheet with contact info) _____ _____ _____		Amount: \$ _____ \$ _____ \$ _____	Fund Type: _____ _____ _____
TOTAL		\$0	

(*Contributing project sponsors attach signed letters of verification as to amount and eligibility or sign cover page)

Table 3: Project Category	
Check only 1 box that best fits the description of the project being funded.	
<input type="checkbox"/> Rehabilitation, Safety or Modernization Improvement	<input type="checkbox"/> Bus Rapid Transit
<input type="checkbox"/> Capital Service Enhancement or Expansion	<input type="checkbox"/> Rolling Stock Procurement: ___ Expansion ___ Rehabilitation ___ Replacement
<input type="checkbox"/> New Capital Project	

Table 4: Project Summary

a) Describe the project (or minimum operable segment) for which you are applying for funds. Attach additional sheets if necessary. If the application is for the purchase of vehicles or rolling stock, please include information on number of vehicles, size, passenger count, accessibility, and fuel type:

Write here:

b) Useful Life of the Project: _____ years

Table 5: Description of Major Benefits/Outcomes

a) Please check appropriate Benefit/Outcome:

_____ Increase Ridership by _____ %
 _____ Reduce Operating/Maintenance Cost by _____ %
 _____ Reduce Emissions by _____ %
 _____ Increase System Reliability by _____ %

b) Please summarize and describe any other benefits:

Table 6: Project Schedule

	Date
Begin Project Approval & Environmental Document Phase	
CEQA/ Environmental Compliance	
End Project Approval & Environmental Document Phase	
Begin Plans, Specifications & Estimates Phase	
End Plans, Specifications & Estimates Phase	
Begin Right of Way Phase	
End Right of Way Phase	
Begin Construction Phase (Contract Award)	
End Construction Phase (Contract Acceptance)	
Begin Vehicle/Equipment Order (Contract Award)	
End Vehicle/Equipment Order (Contract Acceptance)	
Begin Closeout Phase	
End Closeout Phase	

Table 7: Tax Compliance Information

Is it reasonably anticipated that any money will be derived at any point in the future as a result of the project that will be paid to the State?

	YES
	NO

If yes, please describe the source of the money and provide an estimate of the amount:

Estimate: \$ _____

Division of Mass Transportation
Public Transportation Modernization, Improvement, and
Service Enhancement Account (PTMISEA)
Financial Progress Report



Regional Entity	Transit Operator	Project Sponsor	Project Name
GC Section 8879.50(f)(1) requires the project sponsor to report semi-annually on the activities and progress made on the project to the Department to ensure the projects and activities funded from bond proceeds are being executed in a timely fashion, within the scope and cost approved at the time of allocation, and are achieving the intended purposes.			
BRIEF PROJECT DESCRIPTION:			

1. IDENTIFY ANY CONTRACTS INITIATED THAT WILL EXPEND PTMISEA FUNDS ON THIS PROJECT:

Contract #:

Vendor Name:

Start Date:

End Date:

Dollar Amount:

1a) If no contracts have been initiated please explain:

2. INTEREST EARNED TO DATE ON PTMISEA FUNDS, FOR THIS PROJECT:

Amount Awarded:

Interest Rate:

Interest Earned:

3. COMPLETION STATUS:

Overall Project Percent Complete: _____%

Date (anticipated completion date): _____

4. BEGINNING BALANCE, ITEMIZED EXPENDITURES, AND ENDING BALANCE:

Itemize Expenditures on Attachment A.1.3

PERSON PREPARING THIS REPORT (please type or print)	PHONE:	DATE:
APPROVAL AUTHORITY* (signature) Date:	TYPED NAME AND PHONE NUMBER	

*Note: The same authority that signed the Allocation Request must sign here.

Division of Mass Transportation
Public Transportation Modernization, Improvement, and
Service Enhancement Account (PTMISEA)
Outcome Progress Report



Regional Entity	Transit Operator	Project Sponsor	Project Name

GC Section 8879.50(f)(1) requires the project sponsor to report semi-annually on the activities and progress made on the project to the Department to ensure the projects and activities funded from bond proceeds are being executed in a timely fashion, within the scope and cost approved at the time of allocation, and are achieving the intended purposes.

BRIEF PROJECT DESCRIPTION:

1) BRIEFLY SUMMARIZE THE STATUS OF THE PROJECT:

a) Description of what has been completed as described in the scope of the original project allocation request:

b) List any vehicles/equipment received (i.e., ordered 10 buses, have received 3):

2) BRIEFLY DESCRIBE THE STATUS OF THE PROJECT’S BENEFITS/OUTCOMES:

State the progress of the Benefits/Outcomes as they pertain to the scope of this project (include data for measurable outcomes: number of new routes, rail miles, BRT miles, facilities constructed, increased ridership, reduced congestion/greenhouse gases, number of vehicles purchased/rehabilitated/ replaced):

Please include the current overall Measurable Benefit as a Percent.

3) STATE WHAT STILL NEEDS TO BE COMPLETED BEFORE PROJECT CLOSEOUT:

4) LIST THE COMPLETION STATUS OF THE MILESTONES THAT PERTAIN TO THIS PROJECT:

Phase:	Percent Complete:
Project Approval & Environmental Document (PA & ED)	%
Plan Specification & Estimates (PS & E)	%
Right of Way	%
Construction	%
Vehicle/ Equipment Purchase	%
Closeout	%

**Division of Mass Transportation
Public Transportation Modernization, Improvement and
Service Enhancement Account (PTMISEA)
Outcome Progress Report**

5) AMENDMENT: Please describe any changes to the project scope, cost, and/or schedule that have occurred.

	Original	Revised
<u>Project Description/ Scope of Work</u>		
<u>Funding</u>		
99313 :		
99314 :		
PTMISEA Interest :		
<u>Other Funds</u>		
Federal :		
State :		
Local :		
Total :	\$0	\$0
<u>Schedule Date</u>		
Begin PA & ED :		
End PA & ED :		
Begin PS & E :		
End PS & E :		
Begin Right of Way :		
End Right of Way :		
Begin Construction :		
End Construction :		
Begin Vehicle/Equipment Order :		
End Vehicle/Equipment Order :		
Begin Closeout Phase :		
End Closeout Phase :		
Justification for Change :		

PERSON PREPARING THIS REPORT (please type or print)		PHONE:	DATE:
APPROVAL AUTHORITY* (signature)		TYPED NAME AND PHONE NUMBER	
Date:			

*Note: The same authority that signed the Allocation Request must sign here.



**Public Transportation Modernization, Improvement & Service Enhancement Program (PTMISEA)
Project Description and Allocation Request
Corrective Action Plan**

Fiscal Year :
PTMISEA Cycle :
Project Sponsor :
Contributing PTMISEA Sponsor :

	Original		Revised
<u>Project Scope</u>			
<u>Funding</u>			
99313 :			
99314 :			
PTMISEA Interest :			
<u>Other Funds</u> :			
Federal :			
State :			
Local :			
<u>Schedule Date</u>			
Begin Environmental :			
End Environmental :			
Begin Design :			
End Design :			
Begin Right of Way :			
End Right of Way :			
Begin Construction :			
End Construction :			
Begin Vehicle/Equipment Order :			
End Vehicle/Equipment Order :			
Begin Closeout Phase :			
End Closeout Phase :			
Justification for Change :			

Signature(s)

Sponsor Recipient

Date

Contributing PTMISEA Sponsor

Date

Note: The same authority that signed the Allocation Request must sign here.



Effective(12/08)

Public Transportation Modernization, Improvement & Service Enhancement Program (PTMISEA)

Final Project Report

Per G.C. 8879.50 (f)(2) "Within six months of the project becoming operable the recipient agency shall provide a report to the administrative agency . . ." Please provide the following information:

Fiscal Year :
 PTMISEA Cycle :
 Project Sponsor :
 Contributing PTMISEA Sponsor :
 Project Name :

	Original Application	Final Project
Project Scope		
Funding	Original Approved Project Cost	Final Project Cost
99313 :		
99314 :		
PTMISEA Interest :		
Other Funds		
Federal :		
State :		
Local :		
Total Project Cost :	\$0	\$0
Schedule Date	Original Project Schedule	Final Project Schedule
Begin Environmental :		
End Environmental :		
Begin Design :		
End Design :		
Begin Right of Way :		
End Right of Way :		
Begin Construction :		
End Construction :		
Begin Vehicle/Equipment Order :		
End Vehicle/Equipment Order :		
Begin Closeout Phase :		
End Closeout Phase :		
	Anticipated Performance Outcome	Actual Performance Outcome
Performance Outcomes Description/Improvement Percentages :		

Signature:

 Name and Title

 Date

Note: The same authority that signed the Allocation Request must sign here.

Bay Area's Share of Transit Security Funding in Proposition 1B ~ FY2008-09								
	FY08-09 Eligible Allocation		Carryover from FY07-08		FY07-08 + 08-09	Total Requested in Round One (Received Conditional Award)	Total Available in Future (Carryover)	Total Population-Based Available (Carryover)
	Revenue Based Formula GC 8879.58(a)(3)	Population Based Formula GC 8879.58(a)(2)	Revenue Based Formula GC 8879.58(a)(3)	Population Based Formula GC 8879.58(a)(2)	Total Funding Available (Revenue + Population)*			
Statewide Share	30,000,000	30,000,000	30,000,000	30,000,000	120,000,000			
MTC Share	15,548,491	5,766,503	15,548,491	5,766,503	42,629,988			
Alameda CMA - Corresponding to ACE	28,322	10,504	28,322	10,504	77,652		77,652	21,008
Benicia	2,159	801	2,159	801	5,919		5,919	1,601
Caltrain	685,145	254,101			939,246	939,246		
CCCTA	85,288	31,631			116,918	116,918		
Dixon	692	257	692	257	1,898		1,898	514
ECCTA	34,606	12,834	34,606	12,834	94,881	47,440	47,441	12,834
Fairfield	12,078	4,479		4,479	21,036	21,036		
GGBHTD	585,385	217,103			802,488	802,488		
Healdsburg	187	69	187	69	513		513	139
LAVTA	26,768	9,928		9,928	46,624	46,624		
NCPTA	7,151	2,652	51	2,652	12,507		12,507	5,304
SamTrans	807,082	299,324			1,106,406	1,106,406		
Santa Rosa	18,319	6,794			25,113	25,113		
Sonoma County Transit	23,208	8,607			31,816	31,816		
Union City	6,854	2,542	6,854	2,542	18,791		18,791	5,084
Vallejo	98,887	36,675	98,887	36,675	271,123	135,562	135,561	36,675
SCVTA	2,399,894	890,054			3,289,948	3,289,948		
SCVTA - Corresponding to ACE	39,523	14,658	39,523	14,658	108,362		108,362	29,316
WestCAT	41,413	15,359			56,773	56,773		
SUBTOTAL	4,902,962	1,818,372	211,281	95,400	7,028,015	6,619,370	408,644	112,474
Alameda-Contra Costa Transit District	1,567,169	581,219			2,148,388	2,148,388		
Bay Area Rapid Transit District	3,920,646	1,454,058			5,374,704	5,374,704		
City of San Francisco (MUNI)	5,157,714	1,912,853			7,070,567	7,070,567		
SUBTOTAL	10,645,529	3,948,131			14,593,659	14,593,659		
TOTAL	15,548,491	5,766,503	211,281	95,400	21,621,674	21,213,029	408,644	112,474

Note:

Per OHS California Transit Security Grant Program guidelines (pp. 5 and 6).

J:\PROJECT\Funding\Infrastructure Bond\I-Bond\Security-Transit\FY 2008-09\Program Allocations - FY 08-09\Prop 1B Transit Security allocation FY08-09_v3.xls]For Round Two