



TRANSIT FINANCE WORKING GROUP (TFWG) MEETING AGENDA

WEDNESDAY, APRIL 6, 2011, 10:00 A.M. – 12:00 P.M.
METROCENTER, 3RD FLOOR, CLAREMONT CONFERENCE ROOM
101 EIGHTH STREET, OAKLAND, CA 94607

Estimated Time

Discussion Items

- | | |
|--|--------|
| 1. Introductions | 2 min |
| 2. Approval of March 2, 2011 Minutes | 3 min |
| 3. Legislative Update (<i>Rebecca Long</i>) | 5 min |
| 4. FY11 POP** (<i>Glen Tepke</i>) | 10 min |
| 5. New Freedom Cycle 4 Draft Guidelines* (<i>Kristen Mazur</i>) | 5 min |
| 6. MTC Toll Credits Policy* (<i>Ross McKeown</i>) | 10 min |
| 7. Proposed Bridge Toll Policy Changes* (<i>Glen Tepke/Christina Verdin</i>) | 5 min |
| 8. Narrow-Banding Funding Needs Request* (<i>Glen Tepke</i>) | 5 min |
| 9. Plan Bay Area (SCS/RTP) Transit Needs Assessment | 30 min |
| a. Transit Operating Update* (<i>Sri Srinivasan</i>) | |
| b. Clipper Cost Estimates* (<i>Jake Avidon/Sri Srinivasan</i>) | |
| c. Transit Capital Update* (<i>Glen Tepke</i>) | |

Information Items / Other Items of Business:

- | | |
|--|-------|
| 10. Prop 1B Update: Transit (PTMISEA) and Transit Security (CTSGP)* (<i>Amy Burch</i>) | 5 min |
| 11. 2011 TIP Updates* (<i>Sri Srinivasan</i>) | 5 min |
| 12. Recommended Future Agenda Items (<i>All</i>) | 2 min |

Next Transit Finance Working Group Meeting:

Wednesday, May 4, 2011
10:00 a.m. – 12:00 p.m.
Claremont Conference Room, MTC Metro Center

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

Contact Glen Tepke of MTC at 510-817-5781 or gtepke@mtc.ca.gov if you have questions about this session.

1. Introductions

Gayle Prior (GGBHTD) requested introductions from the attendees.

2. Selection of PTAC Chair for 2011

Monique Webster (SFMTA) was nominated and accepted position of Chair for PTAC. Next PTAC meeting is March 21st. [Note: Subsequent to the meeting, Ms. Webster declined and Kate Miller (AC Transit) accepted the position. Ms. Miller has volunteered as a back-up nominee at the TFWG meeting, should she be needed.]

3. Legislative Update

Rebecca Long (MTC) reported that for FY11, House Republicans have proposed eliminating all prior high-speed rail funding that has not been obligated, saving a total of \$8.7 billion. The proposal would also cut New Starts funding to \$1.6 billion, eliminate TIGER II funding and rescind TIGER funding that is not yet obligated.

The Administration's FY 2012 transportation budget reflects significant policy and funding changes proposed as part of a six-year reauthorization of the federal surface transportation program. There is a big emphasis on state of good repair, however, no specific formulas have been provided. In addition, they are creating a new sustainable communities program in which they continue to fund capital investment grants. On the formula side, they maintain the urbanized area program. JARC, New Freedom, etc. will be consolidated into one specialized transportation program. MTC generally supports the consolidation because it makes things more flexible by not having as many pots and rules. There is also a proposal for higher funding especially in 2012 by front loading \$50 billion for transportation in the first year of authorization, but it does not have an accompanying new revenue source.

Glen Tepke stated that the State of Good Repair is supposed to receive \$10.7 billion in FY2012 but there is no mention of the formula. A key policy issue would be how to allocate the funds to those with the greatest needs without penalizing operators who have done a good job of maintaining their infrastructure.

Rebecca Long added that on the state side staff believes they will see the state budget earlier than usual. There is desire to put something on ballot in June in terms of extensions of existing taxes. The Legislature had a target of March 10 to adopt a budget, but it has been pushed out to the end of March. Both houses have approved the Governor's budget of \$331 million for STA and staff hopes the gas tax swap will be reaffirmed.

Rebecca Long also requested support from all transit agencies for SB582, an Emerson bill. It would allow regional agencies like MTC in cooperation with their air district to require employers to offer a commute benefit policy.

4. FY12 Fund Estimate

Mat Adamo (MTC) reviewed the FY 2011-12 annual Fund Estimate with the working group.

Kenneth Folan stated that the funds that were transferred from BATA to MTC in April are to benefit both agencies for FY2011-12. MTC is using the amounts from FY 2010-11 actuals and is not proposing any increases in the near future.

Proposition 1B, Resolution 3814, anticipated a spillover of funding that would be available in the future. However, there has been no spillover funding in the last two years. Resolution 3925 shifted some funding from STP/CMAQ into areas that were previously supposed to be paid by spillover, relieving some of those commitments.

5. FY11 POP

Glen Tepke (MTC) reported that there has been no Congressional action on enacting the FY11 DOT appropriations or extending the current Continuing Resolution, which expires March 4. Staff will provide an update at the April 6 TFWG meeting.

FTA released partial year apportionments for the formula programs including 5307 and 5309 Fixed Guideway last month which funds the formula programs at 5/12 of their annual amount. However, there are no partial year

apportionments for 5309 Fixed Guideway programs for the SF/O, Concord, Antioch or San Jose Urbanized Areas (UA) because of the unusual seven-tiered formula used for apportioning 5309 FG funds, but those UAs will get their funds when their apportionment for the remainder of the year comes in.

Each operator has an option of submitting a partial year grant application to FTA or waiting for the rest of the apportionments for the whole year. FTA staff is encouraging operators to submit partial year because it will allow them to get the projects through DOL review sooner. When submitting the partial year operators should put the entire FY2011 program in the grant - the balance not covered by the share of the partial year apportionments will go below the line as contingency items and through an amendment operators can later move the amount above the line.

Glen Tepke urged the working group members to take a look at their list of earmarks for 5309 Bus program, New Starts, and Alternatives Analysis that have not been obligated.

Joanne Parker encouraged operators to get their civil rights documents attached in TEAM because FTA had to pull some grants that did not do so.

6. SCS/RTP Transit Needs Assessment

a. Transit Operating Update

Sri Srinivasan (MTC) reported that the RTP/SCS – Transit Operating Needs survey was due to MTC on February 16 and passed around the results so far.

b. Clipper Cost Estimates

Jake Avidon (MTC) reported that staff is unable to provide a draft of the cost forecast for its projections of Clipper operations and maintenance costs. He stated that he would have the estimates by the end of March and noted that annual costs are going up because Clipper customers are acquiring cards in greater volumes than expected and as a result operating expenses are bumping up the annual cost predictions.

c. Transit Capital Update

Glen Tepke (MTC) provided an update on the Transit Capital Needs Assessment approach for the SCS/RTP. The projected cost of replacing everything on schedule would lead to an ideal state of good repair but it is also expensive and could result in a substantial transit capital shortfall. MTC staff is proposing to do three different needs scenarios for the next RTP: 1) same scenarios as in T-2035, 2) look at cost to maintain current average age of assets, and 3) an intermediate between the first two scenarios. Staff will come back to the group and PTAC with a modified proposal for different levels of investment.

MTC has not determined what the funding scenarios will be on the revenue side in T-2035 for FTA formula uncommitted funds.

Booz Allen is currently loading the data that was received in January into the TERM model. Staff hopes to bring the results back to the working group for review in April.

7. Recommendations on Use of RTCI by Transit Operators

Yonel Grant (MTC) presented Booz Allen's recommendations to the working group. They are trying to address two questions: 1) whether the State of Good Repair measure is useful to operators and its connection to the RTCI, and 2) does developing the inventory and maintaining it over time help with other general management tasks.

Kate Miller suggested having some sort of meeting with fellow operators do discuss whether to upgrade the existing asset management database or procure a new one. Glen Tepke stated that it is a good suggestion and perhaps staff may set up some kind of workshop for the operators.

TRANSIT FINANCE WORKING GROUP (TFWG)

MEETING MINUTES – MARCH 2, 2011

Page 3 of 3

8. SRTP Update

Christina Verdin (MTC) stated that staff suspended the SRTP policy for FY 2010-11 and is not requiring that operators submit their scheduled mini-SRTP this year. Instead of funding the SRTPs, FTA Section 5303 planning funds are being used to support the Transit Sustainability Project and an upcoming Transit Origin-Destination and Demographic survey. Based on comments from the TFWG in January for an interim SRTP proposal for FY 2011-12, staff has modified the proposal to assist operators that produce the document in-house or with some consultant support.

A working group member thanked staff for hearing their comments and adapting their proposal.

Staff will come back to working group in April to allow the group to provide further input.

Todd Morgan stated that the second cycle may be a good place to put money aside for operators.

Kenneth Folan stressed transit participation and attendance at PTAC meeting since the SRTP is discussed further at those meetings.

9. 2011 TIP Updates

Sri Srinivasan (MTC) the progress of TIP Amendment 11-05 will be on the website soon.

10. ARRA Grant Status

Anne Richman (MTC) provided an ARRA grant status update. FTA reminds grantees that the ARRA projects and funds were intended to be spent quickly to create jobs and boost the economy. Many of the grants are 100% expended, and most are well over 50% spent. However, a few are well below that.

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

Amy Burch (MTC) reported that the PTMISEA semi-annual reports, certification and assurances, and authorized agent forms were due to Caltrans by February 15.

Two reports are due at the end of April for CAL EMA transit security program: 1) Close-out reports, and 2) FY 2008/09 performance reports.

Amy Burch reported that last month the Commission programmed \$5.4 million in transit security in population based funds and staff plans to go back to Commission in May for PTMISEA Round 2 fund programming.

Next Transit Finance Working Group Meeting:

Wednesday, April 6, 2011

10:00 AM – 12:00 PM



METROPOLITAN
TRANSPORTATION
COMMISSION

Joseph P. Bort MetroCenter
101 Eighth Street
Oakland, CA 94607-4700
TEL 510.817.5700
TDD/TTY 510.817.5769
FAX 510.817.5848
E-MAIL info@mtc.ca.gov
WEB www.mtc.ca.gov

Memorandum

TO: Transit Finance Working Group

DATE: April 6, 2011

FR: Kristen Mazur

RE: DRAFT New Freedom Cycle 4 Program Guidelines (Large Urbanized Areas)

Background

The New Freedom Program provides grants for new capital and operational projects aimed at reducing, beyond the requirements of the Americans with Disabilities Act of 1990, transportation barriers faced by individuals with disabilities.

Funds are apportioned by formula to large urbanized areas (UAs), small UAs, and rural areas based on the population of persons with disabilities. Funds are required to be spent on projects that provide transportation services within those areas.

Designated recipients of the funds are responsible for conducting a competitive selection process to determine which projects should receive funding. MTC is the designated recipient for the Bay Area's large UA funds. Caltrans is the designated recipient for the state's small UA and rural area funds.¹

Cycle 4 New Freedom Program Guidelines for Large UAs

MTC staff have developed the attached draft program guidelines, which are proposed to conduct the Cycle 4 competitive selection process for the large UA New Freedom funds.

The following are highlights from the proposed guidelines:

- The total funding available for the Bay Area's large UAs in Cycle 4 is approximately \$3.7 million. This consists of the actual FY 2009-10 apportionment and the estimated FY 2010-11 apportionment, less a five percent takedown for program administration.² The FY 2011 amounts may be adjusted if final apportionments differ from the estimated amounts. The target programming amount for each large UA is shown in Table 1.

¹ Caltrans last conducted a small UA and rural New Freedom call for projects in winter 2009. Additional information about the small UA and rural call for projects can be found on the Caltrans website: <http://www.dot.ca.gov/hq/MassTrans/5317.html>

² The federal New Freedom guidance allows MTC to use up to 10 percent of the total fiscal year New Freedom apportionment to fund program administration costs including administration, planning and technical assistance. In Cycle 4, MTC is proposing to set aside five percent of the region's large UA apportionment for program administration.

Table 1. Programming Targets for New Freedom Program Cycle 4

Large Urbanized Area (UA)	Cycle 4 Targets
Bay Area Large UA (2-year program)	\$3,743,226
Antioch	\$140,710
Concord	\$282,762
San Francisco-Oakland	\$2,206,320
San Jose	\$927,472
Santa Rosa	\$185,963

UA = Urbanized Area

- Projects are required to be derived from the Elderly & Disabled component of the Bay Area’s Coordinated Public Transit-Human Services Transportation Plan, available at www.mtc.ca.gov/planning/pths/.
- Projects must be “new.” Any service or activity that was not operational on August 10, 2005, and did not have an identified funding source as of August 2005, as evidenced by inclusion in the Transportation Improvement Plan (TIP) or the STIP, is considered “new.”
- Eligible applicants include: a) private non-profit organizations; b) state or local governmental authority; and c) operators of public transportation services, including private operators of public transportation services.
- There is no minimum or maximum amount for funding requests, except that applicants should not request more than the target amount for the large UAs in which their projects will provide services.
- Applications will be evaluated based on MTC-adopted criteria including: demonstration of need and expected benefits; evidence of coordination, partnership, and outreach efforts; and project readiness.
- Call for Projects is expected to be released at the end of May, following Commission adoption of the Program Guidelines (draft is attached).
- A workshop for prospective applicants will be held from 10:00 AM to 12:00 PM on Tuesday, June 28, 2011 at the Claremont Conference Room on the 2nd floor of MTC’s office. Attendance is not required but is encouraged.
- Applications will be due to MTC by 5:00 PM on Friday, August 5, 2011. Preliminary results are expected to be announced in October 2011.

Changes from prior funding cycles

- In December 2010, the Commission adopted Resolution No. 3986, the Job Access and Reverse Commute (JARC) and New Freedom Program Management Plan (PMP) Revisions, which can be found at http://www.mtc.ca.gov/funding/FTA/RES-3986_approved.pdf. The new PMP delineates the designated recipient, direct recipient and subrecipient roles and responsibilities, and clarifies requirements for subrecipient Title VI reporting, complaint procedures and investigation, and Limited English Proficient provisions. The PMP revisions have been incorporated into the Cycle 4 guidelines.
- All recipients/subrecipients will be required to have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number and provide it during the application

process.³ A DUNS number may be obtained from D&B by telephone (866-705-5711) or the Internet (<http://fedgov.dnb.com/webform>).

- The federal New Freedom guidance allows MTC to use up to 10 percent of the total fiscal year New Freedom apportionment to fund program administration costs including administration, planning and technical assistance. In previous cycles, MTC has not used any of the New Freedom funds for program administration. In Cycle 4, MTC is proposing to set-aside five percent of the region's large UA apportionment for program administration.

Next Steps

The proposed program guidelines will be discussed in April with MTC's Policy Advisory Council Equity and Access Subcommittee, the Transit Finance Working Group, the Partnership Technical Advisory Committee, and the Partnership Accessibility Committee, and will be revised as appropriate based on comments received. The draft final guidelines will be presented to the Programming and Allocations Committee for consideration at their May 11th meeting.

Please contact Kristen Mazur at kmazur@mtc.ca.gov or (510) 817-5789 with questions or comments.

Attachment:

1. Draft New Freedom Guidelines

J:\COMMITTEE\Partnership\Partnership TFWG_Transit Finance WG\2011\11 Memos\04_April\05_0_New_Freedom_Cycle_4_Guidelines.doc

³ A Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number is a unique, non-indicative 9-digit identifier issued and maintained by D&B that verifies the existence of a business entity. The DUNS number is a universal identifier required for Federal financial assistance applicants, as well as recipients and their direct subrecipients.

**METROPOLITAN TRANSPORTATION COMMISSION
CYCLE 4 NEW FREEDOM PROGRAM GUIDELINES
FOR LARGE URBANIZED AREAS**

March 2011 DRAFT

The following guidelines are excerpted from Federal Transit Administration (FTA) Circular C 9045.1, the *New Freedom Program Guidance and Application Instructions*, except where modified to meet the region's needs or where additional clarification is provided. The FTA Circular is available at www.fta.dot.gov/laws/circulars/leg_reg_6624.html. MTC's Program Management Plan for New Freedom can be found at http://www.mtc.ca.gov/funding/FTA/RES-3986_approved.pdf.

1. **STATUTORY AUTHORITY.** The New Freedom Program is authorized under the provisions set forth in the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users, (SAFETEA-LU), enacted on August 10, 2005, as codified at 49 U.S.C. 5317. The Secretary may make grants to recipients for new public transportation services and public transportation alternatives beyond those required by the Americans with Disabilities Act of 1990 (ADA) (42 U.S.C. 12101 et seq.), that assist individuals with disabilities with transportation, including transportation to and from jobs and employment support services.
2. **PROGRAM GOAL.** The New Freedom formula grant program aims to provide additional tools to overcome existing barriers facing Americans with disabilities seeking integration into the work force and full participation in society. Lack of adequate transportation is a primary barrier to work for individuals with disabilities. The 2000 Census showed that only 60 percent of people between the ages of 16 and 64 with disabilities are employed. The New Freedom formula grant program seeks to reduce barriers to transportation services and expand the transportation mobility options available to people with disabilities beyond the requirements of the ADA of 1990.
3. **FUNDING APPORTIONMENT AND AVAILABILITY.** New Freedom funds are first apportioned 60 percent to large urbanized areas¹ (UAs), 20 percent to small UAs, and 20 percent to non-UAs. Funds are then apportioned to all designated recipients for an area type by the ratio of the number of disabled individuals in the designated recipient's area to the total number of disabled individuals for that area type. **Figure 1** shows the Bay Area's five large UAs and seven small UAs. (Note that the names given to the urbanized areas correspond to the most populated city/cities within the area, and that the urbanized areas themselves are larger than the cities for which they are named.) **Table 1** shows large UA actual apportionments for FYs 2006 through 2010, and estimated apportionments for FY 2011. Funds are available to the region for obligation during the fiscal year of apportionment plus two additional years. Starting this cycle, MTC is adding a project delivery requirement that project sponsors must expend the New Freedom funds within three years of the FTA grant award or execution of subrecipient agreement with MTC, whichever is applicable.

¹ An urbanized area is an area encompassing a population of not less than 50,000 people that has been defined and designated in the most recent decennial census as an "urbanized area" by the Secretary of Commerce. Large urbanized areas as used in the context of FTA formula grant programs are urbanized areas with a population of greater than 200,000, and small urbanized areas are those with a population of at least 50,000 but less than 200,000.

Figure 1. Map of Urbanized Areas

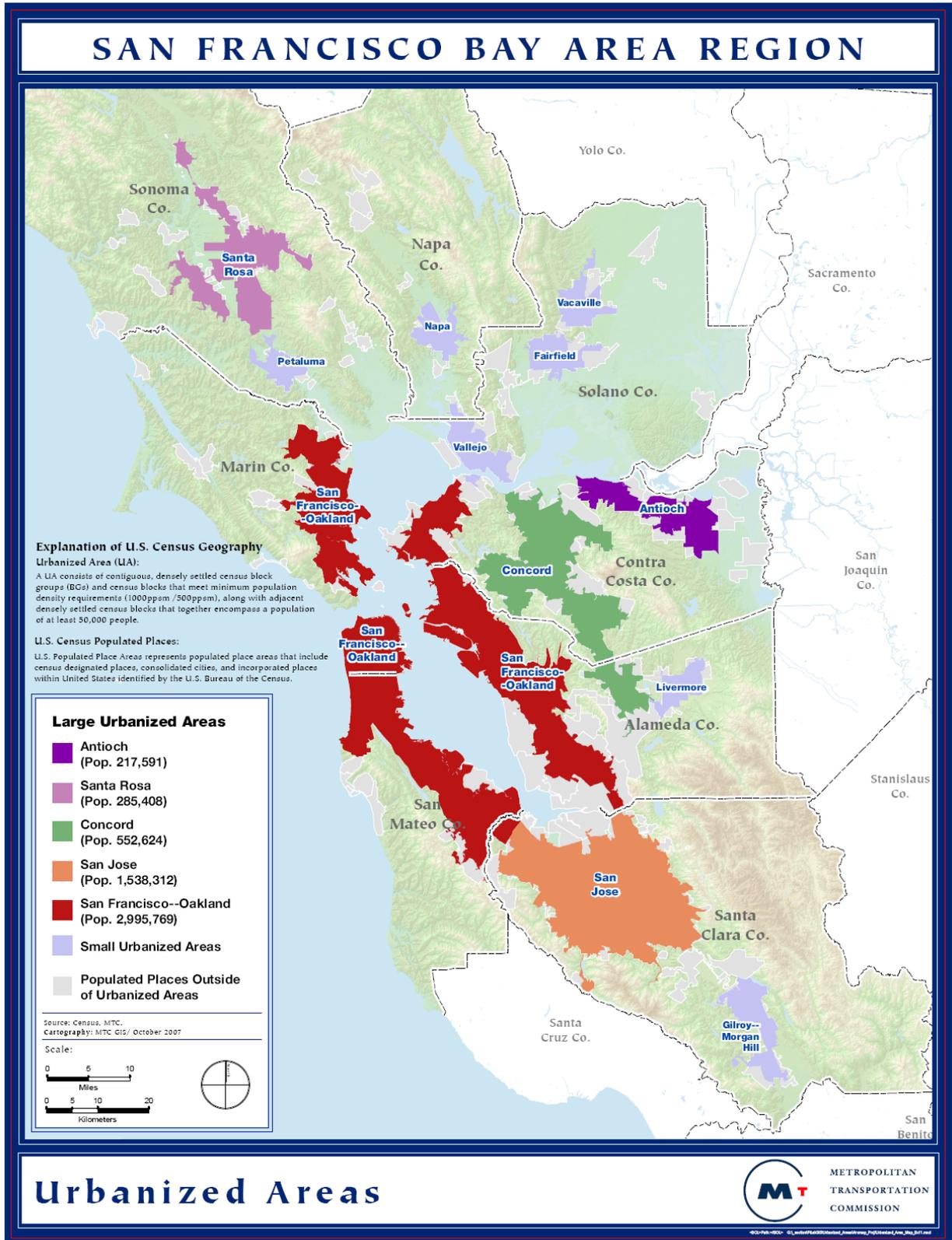


Table 1. New Freedom Program Apportionments

Area	Past Calls for Projects				Current Call for Projects	
	Actual FY 2006	Actual FY 2007	Actual FY 2008	Actual FY 2009	Actual FY 2010	Estimated FY 2011
Bay Area Large UA	\$1,545,232	\$1,612,117	\$1,741,484	\$2,007,374	\$1,970,119	\$1,970,119
Antioch	\$56,232	\$60,601	\$65,464	\$75,459	\$74,058	\$74,058
Concord	\$127,429	\$121,779	\$131,551	\$151,636	\$148,822	\$148,822
S.F.-Oakland	\$885,254	\$950,208	\$1,026,459	\$1,183,180	\$1,161,221	\$1,161,221
San Jose	\$404,370	\$399,440	\$431,494	\$497,374	\$488,143	\$488,143
Santa Rosa	\$71,947	\$80,089	\$86,516	\$99,725	\$97,875	\$97,875

UA = Urbanized Area

= Subject of Current Call for Projects

- 4. ROLE OF THE DESIGNATED RECIPIENTS.** MTC is the designated recipient for the Bay Area’s large UA funding apportionment, and Caltrans is the designated recipient for California’s small and non-UA funding apportionments. The designated recipient is responsible for conducting the competitive selection process to determine which projects should receive funding. For the large UA apportionment, the competitive selection is conducted on a region-wide basis. For the small and non-UA apportionment, the competitive selection is conducted by Caltrans on a statewide basis.

Once projects are selected in the large UA competitive process, transit operators with selected projects that are FTA grantees (i.e., transit operators that are direct recipients under Section 5307 and typically receive funds directly from FTA) must submit their own New Freedom grants to FTA and serve as direct recipients of the funds. MTC reserves the right to reprogram funds if direct recipients fail to obligate the funds through grant submittal and FTA approval within 12 months of program approval. Direct recipients are responsible for carrying out the terms of their grants.

MTC will serve as the direct recipient of New Freedom funds for transit operators or public entities that are not FTA grantees, and for non-profits that are selected in the large UA competitive process. These agencies and organizations will enter into a subrecipient relationship with MTC through the execution of funding agreements with MTC. MTC will monitor subrecipient compliance with federal requirements through inclusion of such requirements in funding agreements and through ongoing monitoring activities.

- 5. FUNDING DISTRIBUTION.** Projects may compete for funding that is apportioned to the UA in which the project will provide services. Projects that will provide services in multiple UAs may compete for funding from all of the affected UAs. This call for projects is for large UAs only.

Large UA Programming Targets. Cycle 1 programmed the FY 2006 apportionment, Cycle 2 programmed the FY 2007 apportionment, and Cycle 3 programmed the FY 2008 and FY 2009 apportionments. The total funding available for the Bay Area’s large UAs in Cycle 4 is approximately \$3.7 million. This consists of the actual FY 2009-10 apportionment and the estimated FY 2010-11 apportionment, less a five percent takedown for program

administration.² The FY 2011 amounts may be adjusted if final apportionments differ from the estimated amounts. The target programming amount for each large UA is shown in **Table 2**. There is no minimum or maximum grant request, except that applicants should not request more than the target amount for the large UAs in which their projects will provide services.

Table 2. Programming Targets for New Freedom Program Cycle 4

Area	Cycle 4 Targets
Bay Area Large UA	\$3,743,226
Antioch	\$140,710
Concord	\$282,762
San Francisco-Oakland	\$2,206,320
San Jose	\$927,472
Santa Rosa	\$185,963

UA = Urbanized Area

Small and Non-UA Programming Targets. The small and non-UA calls for projects are conducted by Caltrans. The last small and non-UA call for projects took place in winter 2009. Additional information about the small and non-UA call for projects can be found on the Caltrans website: <http://www.dot.ca.gov/hq/MassTrans/5317.html>

6. **ELIGIBLE RECIPIENTS/SUBRECIPIENTS.** There are three categories of eligible recipients/subrecipients of New Freedom funds: a) private non-profit organizations; b) state or local governmental authorities; and c) operators of public transportation services, including private operators of public transportation services.

All recipients/subrecipients will be required to have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number and provide it during the application process.³ A DUNS number may be obtained from D&B by telephone (866-705-5711) or the Internet (<http://fedgov.dnb.com/webform>).

7. **ROLE OF RECIPIENTS/SUBRECIPIENTS.** New Freedom recipients/subrecipients' responsibilities include:
 - For direct recipients (transit operators who are FTA grantees), submitting a grant application to FTA and carrying out the terms of that grant;
 - Meeting program requirements and grant/funding agreement requirements including, but not limited to, Title VI reporting requirements;
 - Making best efforts to execute selected projects; and
 - Complying with other applicable local, state, and federal requirements.
8. **ELIGIBLE ACTIVITIES.** New Freedom Program funds are available for capital and operating expenses that support new public transportation services beyond those required by the ADA and new public transportation alternatives beyond those required by the ADA

² The federal New Freedom guidance allows MTC to use up to 10 percent of the total fiscal year New Freedom apportionment to fund program administration costs including administration, planning and technical assistance. In Cycle 4, MTC will set aside five percent of the region's large UA apportionment for program administration.

³ A Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number is a unique, non-indicative 9-digit identifier issued and maintained by D&B that verifies the existence of a business entity. The DUNS number is a universal identifier required for Federal financial assistance applicants, as well as recipients and their direct subrecipients.

designed to assist individuals with disabilities with accessing transportation services, including transportation to and from jobs and employment support services. “New” service is any service or activity that was not operational on August 10, 2005, and did not have an identified funding source as of August 10, 2005, as evidenced by inclusion in the Transportation Improvement Plan (TIP) or the STIP. In other words, if not for the New Freedom Program, the project would not have consideration for funding, and the proposed service enhancements would not be available for individuals with disabilities. Recipients or subrecipients may not terminate ADA paratransit enhancements or other services funded as of August 10, 2005, in an effort to reintroduce the services as “new” and then receive New Freedom funds for those services.

Both new public transportation services and new public transportation alternatives are required to go beyond the requirements of the ADA and must (1) be targeted toward individuals with disabilities; and (2) meet the intent of the program by removing barriers to transportation and assisting persons with disabilities with transportation, including transportation to and from jobs and employment services.

Following is an illustrative list of activities that are eligible for funding under New Freedom:

New Public Transportation Services Beyond the ADA

- Enhancing paratransit beyond minimum requirements of the ADA
- Feeder services
- Making accessibility improvements to transit and intermodal stations not designated as key stations under 49 CFR 37.47, 37.51, or 37.53, and that are not required under 49 CFR 37.43 as part of an alteration or renovation to an existing station
- Travel training
- New and expanded fixed route and demand responsive transit service planned for and designed to meet the needs of individuals with disabilities⁴

New Public Transportation Alternatives Beyond the ADA

- Purchasing vehicles to support new accessible taxi, ride sharing, and/or vanpooling programs
- Supporting the administration and expenses related to new voucher programs for transportation services offered by human service providers
- Supporting new volunteer driver and aide programs
- Supporting new mobility management and coordination programs among public transportation providers and other human service agencies providing transportation

Refer to Appendix A for additional requirements pertaining to the above examples. The list is not intended to be exhaustive. Applicants are encouraged to develop innovative solutions to meet the needs of individuals with disabilities in their communities, considering the transportation needs, proposed solutions, and enhanced coordination strategies identified in the Bay Area’s Coordinated Public Transit-Human Services Transportation Plan (see Section 10).

⁴ FTA originally said that these activities were not eligible for New Freedom funding; however, on April 29, 2009, the FTA issued a notice of policy statement in the Federal Register, announcing that it had revised its interpretation of the New Freedom circular to say that these activities are eligible for New Freedom funding. See Federal Register Vol. 74, No. 81, pages 19624-19627.

9. FEDERAL/LOCAL MATCHING REQUIREMENTS.

- a. General. New Freedom funds may be used to finance capital and operating expenses. The Federal share of eligible capital and planning costs may not exceed 80 percent of the net cost of the activity. The federal share of the eligible operating costs may not exceed 50 percent of the net operating costs of the activity.

The local share of eligible capital costs shall be no less than 20 percent of the net cost of the activity, and the local share for eligible operating costs shall be no less than 50 percent of the net operating costs. All of the local share must be provided from sources other than federal Department of Transportation (DOT) funds. Some examples of sources of local match which may be used for any or all of the local share include: state or local appropriations; other non-DOT Federal funds; dedicated tax revenues; private donations; revenue from human service contracts; toll revenue credits; and net income generated from advertising and concessions. Non-cash share such as donations, volunteer services, or in-kind contributions is eligible to be counted toward the local match as long as the value of each is documented and supported, represents a cost which would otherwise be eligible under the program, and is included in the net project costs in the project budget.

Income from contracts to provide human service transportation may be used either to reduce the net project cost (treated as revenue) or to provide local match for New Freedom operating assistance. In either case, the cost of providing the contract service is included in the total project cost. No FTA program funds can be used as a source of local match for other FTA programs, even when used to contract for service.

- b. Exceptions. The Federal share is 90 percent for vehicle-related equipment and facilities required by the Clean Air Act (CAA) or the Americans with Disabilities Act (ADA). It is only the incremental cost of the equipment or facility required by the CAA or ADA that may be funded at 90 percent, not the entire cost of the vehicle or facility, even if the vehicle or facility is purchased for use in service required by the ADA or CAA. *Applicants wishing to apply for assistance at the higher match ratio should inform MTC before submitting an application, as MTC would need to consult the FTA regional office for further guidance regarding methods of computing the incremental cost.*

- c. Use of Other Federal Funds. Local match may be derived from other federal programs that are eligible to be expended for transportation, other than funds from DOT programs. Examples of types of programs that are potential sources of local match include: employment, training, aging, medical, community services, and rehabilitation services. To be eligible for local match for FTA funds, the other federal funds must be used for activities included in the total net project costs of the FTA grant. Expenditure of other federal funds for transportation outside of the scope of the project cannot be applied as a credit for local match in the FTA grant. Specific program information for other types of Federal funding is available at www.unitedweride.gov.

10. COORDINATED PLANNING. SAFETEA requires that projects selected for funding under the Elderly Individuals and Individuals with Disabilities (Section 5310), Job Access and Reverse Commute (JARC), and New Freedom programs be “derived from a locally developed, coordinated public transit-human services transportation plan”, and that the plan be “developed through a process that includes representatives of public, private, and non-

profit transportation and human services providers and participation by members of the public.” A locally developed, coordinated, public transit-human services transportation plan (“coordinated plan”) identifies the transportation needs of individuals with disabilities, older adults, and people with low incomes, and provides strategies for meeting those local needs. The Bay Area’s Coordinated Plan was adopted in December 2007 and is available at <http://www.mtc.ca.gov/planning/pths/>. The plan includes a low-income component and an elderly and disabled component, the latter being more germane to the New Freedom Program.

Agencies and organizations interested in applying for New Freedom funds must consider the transportation needs, proposed solutions, and enhanced coordination strategies presented in the Coordinated Plan in developing their project proposals. Applicants will be asked to demonstrate their proposed project’s consistency with the Coordinated Plan. Following is a summary of the solutions and strategies that are identified in Chapters 7 and 8, respectively, of the elderly and disabled component of the plan.

Solutions to Gaps

- Additions or improvements to ADA paratransit
- Additions or improvements to demand-responsive services other than ADA paratransit
- Additions or improvements to transit services
- Improved access to transit services
- Information and assistance

Strategies to Enhance Coordination of Service Delivery

- Enhance land use and transportation coordination.
- Promote enhanced pedestrian access to public transit and alternative modes of travel.
- Promote coordinated advocacy and improve efforts to coordinate funding with human service agencies.
- Improve interjurisdictional and intermodal travel.
- Develop and implement mobility management approaches.

11. **APPLICATION FORMS AND TECHNICAL ASSISTANCE.** The application form will be available at http://www.mtc.ca.gov/funding/new_freedom.htm. Interested agencies must submit eight (8) paper copies and an electronic copy on CD of their application, including attachments, by 5:00 PM on Friday, August 5, 2011 to the addressee below. *Incomplete and/or late applications will not be considered.*

Kristen Mazur
Metropolitan Transportation Commission
Joseph P. Bort MetroCenter
101 Eighth Street
Oakland CA 94607-4700

A workshop for prospective applicants will be held from 10:00 AM to 12:00 PM on Tuesday, June 28, 2011 at the Claremont Conference Room on the 2nd floor of MTC’s office. Attendance is not required but is encouraged. Beyond the workshop, MTC staff is available to provide technical assistance throughout the program process.

12. **APPLICATION EVALUATION.** Following an initial eligibility screening by MTC staff, eligible projects will be evaluated by a panel consisting of Bay Area representatives of disabled population interests and MTC staff. Applications will be evaluated based on the following criteria:

Need and Benefits	(maximum 40 points)
--------------------------	---------------------

Extent to which project addresses critical needs for disabled individuals as identified in the Coordinated Plan

Effectiveness at mitigating or eliminating transportation barriers for disabled individuals

Extent to which project promotes integration of disabled individuals into the work force and their full participation in society

Extent to which project could only be funded by New Freedom Program or federal human service grant programs

Extent to which project provides additional benefits

Coordination, Partnership, & Outreach	(maximum 30 points)
--	---------------------

Extent of coordination with other affected transportation systems, providers, and services, and with related social service programs

Extent to which project advances the development and implementation of coordinated transportation services

Extent of community support

Thoroughness of plan for marketing the project to beneficiaries

Project Readiness	(maximum 30 points)
--------------------------	---------------------

Reasonableness and completeness of funding plan

Project sustainability beyond the grant period

Thoroughness of implementation plan and reasonableness of project schedule

Ability to use New Freedom grant to leverage additional resources

Sponsor's experience in managing services for disabled individuals

How project fits into a larger program with well-defined goals, objectives, and performance standards

Sponsor's institutional capacity to manage the project

Sponsor's history of managing federal transportation funds

13. **TIMELINE.** The anticipated timeline for Cycle 4 is as follows:

Release Call for Projects	End of May 2011
Outreach	June/July 2011
Applicant Workshop at MTC	June 28, 2011
Project Applications Due to MTC	August 5, 2011 5:00 PM
Project Selection	August to Sept. 2011
Present Recommended Program of Projects to Policy Advisory Council, Transit Finance Working Group, Partnership Accessibility Committee, Partnership Technical Advisory Committee, etc.	October 2011
Present Recommended Program of Projects to MTC Programming & Allocations Committee	November 9, 2011
Commission Actions: Program Adoption and add projects to TIP	November 16, 2011
Grant preparation by MTC and Direct Recipients	December 2011
Federal TIP approval	January 4, 2012 (estimated)
Grant review by FTA	January 2012
Contract Negotiations between MTC and Subrecipients	Begin after FTA grant approval (estimated Feb. 2012)

14. **COMPLIANCE WITH FEDERAL REQUIREMENTS.** Applicants should be prepared to abide by all applicable federal requirements as specified in 49 U.S.C. Section 5317, FTA Circular C 9045.1, the most current FTA Master Agreement MA(13), and the most current Certifications and Assurances for FTA Assistance Programs.

MTC includes language regarding these federal requirements in its funding agreements with subrecipients and requires each subrecipient to execute a certification of compliance with the relevant federal requirements. Subrecipient certifications are required of the subrecipient prior to the execution of a contract by MTC and annually thereafter when FTA publishes the annual list of certifications and assurances.

Direct recipients are responsible for adhering to FTA requirements through their agreements and grants with FTA directly.

15. **REPORTING REQUIREMENTS.** Subrecipients to MTC will be required to submit quarterly reports to MTC on the following:

- a. Budget or schedule changes, if any
- b. Progress toward meeting milestones
- c. Quantitative or qualitative information, as available, on the following measures:
 - (i) Services provided that impact availability of transportation services for individuals with disabilities as a result of the project for the reporting period;

- (ii) Additions or changes to environmental infrastructure, technology, vehicles that impact availability of transportation services as a result of the project for the reporting period;
- (iii) Actual or estimated rides (as measured by one-way trips) provided for individuals with disabilities as a result of the project for the reporting period

d. Financial status report

- e. Disadvantaged Business Enterprise (DBE) participation as applicable.

Direct recipients of New Freedom funds with active grants will be required to submit quarterly reports to FTA on the progress of their projects.

Detailed quarterly reporting requirements will be included in the funding agreement (if sponsor is a subrecipient to MTC) or in the FTA grant (if sponsor is a direct grantee with FTA).

Both direct recipients and subrecipients of New Freedom funds will be required to participate in FTA's annual Job Access and Reverse Commute (JARC) and New Freedom reporting, in which performance measures will be collected.

16. TITLE VI. In connection with MTC's Title VI monitoring obligations, as outlined in FTA Circular 4702.1A (Title VI and Title VI-Dependent Guidelines for Federal Transit Administration Recipients), applicants will be required to provide the following information in the grant application:

- a. The organization's policy regarding Civil Rights (based on Title VI of the Civil Rights Act) and for ensuring that benefits of the project are distributed equitably among low-income and minority population groups in the project's service area.
- b. Information on whether the project will provide assistance to predominantly minority and low-income populations. (Projects are classified as providing service to predominantly minority and low-income populations if the proportion of minority and low-income people in the project's service area exceeds the regional average minority and low-income population.)

In order to document that New Freedom funds are passed through without regard to race, color or national origin, and to document that minority populations are not being denied the benefits of or excluded from participation in the New Freedom program, MTC will keep a record of applications submitted for New Freedom funding. MTC's records will identify those applicants that would use grant program funds to provide assistance to predominantly minority and low-income populations and indicate whether those applicants were accepted or rejected for funding.

MTC requires that all New Freedom subrecipients submit all appropriate FTA certifications and assurances to MTC prior to funding agreement execution and annually thereafter when FTA publishes the annual list of certifications and assurances. MTC will not execute any funding agreements prior to having received these items from the selected subrecipients. MTC, within its administration, planning, and technical assistance capacity, also will comply

with all appropriate certifications and assurances for FTA assistance programs and will submit this information to the FTA as required.

The certifications and assurances pertaining to civil rights include:

1. Nondiscrimination Assurances in Accordance with the Civil Rights Act
2. Documentation Pertaining to Civil Rights Lawsuits and Complaints

Nondiscrimination assurances included above involve the prohibition of discrimination on the basis of race, color, creed, national origin, sex, or age, and prohibit discrimination in employment or business opportunity, as specified by 49 U.S.C. 5332 (otherwise known as Title VI of the Civil Rights Act of 1964), as amended (42 U.S.C. 2000d et seq.) and U.S. DOT regulations, *Nondiscrimination in Federally-Assisted Programs of the Department of Transportation-Effectuation of Title VI of the Civil Rights Act*, 49 C.F.R. Part 21. By complying with the Civil Rights Act, no person, on the basis of race, color, national origin, creed, sex, or age, will be excluded from participation in or be denied the benefits of any program for which the subrecipient receives federal funding via MTC.

As a condition of receiving New Freedom program funds, subrecipients must comply with the requirements of the US Department of Transportation's Title VI regulations. The purpose of Title VI is to ensure that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. Subrecipients are also responsible for ensuring compliance of each third party contractor at any tier of the project.

Subrecipients must develop procedures for investigating and tracking Title VI complaints filed against them and make their procedures for filing a complaint available to members of the public upon request. In order to reduce the administrative burden associated with this requirement, subrecipients may adopt the Title VI complaint investigation and tracking procedures developed by MTC.

Subrecipients must prepare and maintain a list of any active investigations conducted by entities other than FTA, lawsuits, or complaints naming the subrecipient that allege discrimination on the basis of race, color, or national origin. This list shall include the date, summary of allegations, current status, and actions taken by the subrecipient in response to the investigation, lawsuit, or complaint.

Subrecipients must provide information to the public regarding their Title VI obligations and apprise members of the public of the protections against discrimination afforded to them by Title VI. Subrecipients that provide transit service shall disseminate this information to the public through measures that can include but shall not be limited to a posting on the agency's Web site.

All successful subrecipients must submit compliance reports to MTC. The following contents will be required with the submission of the standard agreement and annually thereafter with the submission of the annual FTA certifications and assurances:

1. A summary of public outreach and involvement activities undertaken and a description of steps taken to ensure that minority and low-income people had meaningful access to these activities.
2. A copy of the subrecipient's plan for providing language assistance for persons with limited English proficiency (LEP) that was based on the DOT LEP Guidance or a copy of the agency's alternative framework for providing language assistance.
3. A copy of the subrecipient procedures for tracking and investigating Title VI complaints.
4. A list of any Title VI investigations, complaints, or lawsuits filed with the subrecipient. This list should include only those investigations, complaints, or lawsuits that pertain to the subrecipient submitting the report, not necessarily the larger agency or department of which the entity is a part.
5. A copy of the subrecipient's notice to the public that it complies with Title VI and instructions to the public on how to file a discrimination complaint.

The first compliance report, submitted with the standard agreement, must contain all of the contents listed above. If, prior to the deadline for subsequent compliance reports, the subrecipient has not altered items 2, 3 and 5 above (its language assistance policies, procedures for tracking and investigating a Title VI complaint, or its notice to the public that it complies with Title VI and instructions to the public on how to file a Title VI complaint), the subrecipient should submit a statement to this effect in lieu of copies of the original documents. The annual compliance report should include an update on items 1 and 4.

Appendix A
New Freedom Program – Eligible Activities

The following list of eligible activities, excerpted from Federal Transit Administration (FTA) Circular C 9045.1, the *New Freedom Program Guidance and Application Instructions*, and Federal Register Vol. 74, No. 81, the *Notice of Policy Statement for Eligible New Freedom Projects* dated April 29, 2009, is intended to be illustrative, not exhaustive. Applicants are encouraged to develop innovative solutions to meet the needs of individuals with disabilities in their communities, considering the transportation needs, solutions, and strategies for enhanced coordination in the Bay Area’s Coordinated Public Transit-Human Services Transportation Plan (see Section 9 of MTC’s New Freedom Program Guidelines).

New Public Transportation Services Beyond the ADA*	
Enhancing paratransit beyond minimum requirements of the ADA	<p>ADA complementary paratransit services can be eligible under New Freedom in several ways as long as the services provided meet the definition of “new:”</p> <ul style="list-style-type: none"> ▪ Expansion of paratransit service parameters beyond the three-fourths mile required by the ADA; ▪ Expansion of current hours of operation for ADA paratransit services that are beyond those provided on fixed-route services; ▪ Incremental cost of providing same day service; ▪ Incremental cost of making door-to-door service available to all eligible ADA paratransit riders, but not as a reasonable modification for individual riders in an otherwise curb-to-curb system; ▪ Enhancement of the level of service by providing escorts or assisting riders through the door of their destination; ▪ Acquisition of vehicles and equipment designed to accommodate mobility aids that exceed the dimensions and weight ratings established for common wheelchairs under the ADA and labor costs of aides to help drivers assist passengers with over-sized wheelchairs. This would permit the acquisition of lifts with a larger capacity, as well as modifications to lifts with a 600 lb design load, and the acquisition of heavier-duty vehicles for paratransit and/or demand-response service; and ▪ Installation of additional securement locations in public buses beyond what is required by the ADA.
Feeder services	New “feeder” service (transit service that provides access) to commuter rail, commuter bus, intercity rail, and intercity bus stations, for which complementary paratransit service is not required under the ADA.

New Public Transportation Services Beyond the ADA* (continued)	
<p>Making accessibility improvements to transit and intermodal stations not designated as key stations</p>	<p>Improvements for accessibility at existing transportation facilities that are not designated as key stations established under 49 CFR 37.47, 37.51, or 37.53, and that are not required under 49 CFR 37.43 as part of an alteration or renovation to an existing station, so long as the projects are clearly intended to remove barriers that would otherwise have remained. New Freedom funds are eligible to be used for new accessibility enhancements that remove barriers to individuals with disabilities so they may access greater portions of public transportation systems, such as fixed-route bus service, commuter rail, light rail and rapid rail. This may include:</p> <ul style="list-style-type: none"> ▪ Building an accessible path to a bus stop that is currently inaccessible, including curbcuts, sidewalks, accessible pedestrian signals or other accessible features, ▪ Adding an elevator or ramps, detectable warnings, or other accessibility improvements to a non-key station that are not otherwise required under the ADA, ▪ Improving signage, or wayfinding technology, or ▪ Implementation of other technology improvements that enhance accessibility for people with disabilities including Intelligent Transportation Systems (ITS).
<p>Travel training</p>	<p>New training programs for individual users on awareness, knowledge, and skills of public and alternative transportation options available in their communities. This includes travel instruction and travel training services.</p>

New Public Transportation Services Beyond the ADA* (continued)	
<p>New and expanded fixed route and demand responsive transit service planned for and designed to meet the needs of individuals with disabilities</p>	<p>New or expanded fixed route service and new or expanded demand response service which constitute new public transportation services beyond those required by ADA of 1990 (42 U.S.C. Section 12101 et seq.) that assist individuals with disabilities with transportation, and are therefore eligible for funding under the New Freedom program, provided that these services: (1) Are identified in the grant applicant’s coordinated public transit human services transportation plan; (2) Are available to the public at large but were planned and designed to meet the mobility needs of individuals with disabilities in response to circumstances where existing fixed route and demand response transportation is unavailable or insufficient to meet the mobility needs of individuals with disabilities; (3) Were not operational on August 10, 2005, and did not have an identified funding source as of August 10, 2005, as evidenced by inclusion in the Transportation Improvement Program (TIP) or the State Transportation Improvement Program (STIP); and (4) Are not designed to allow an agency to meet its obligations under the ADA or the DOT ADA implementing regulations at 49 CFR parts 37 and 38. Examples of such services would be:</p> <ul style="list-style-type: none"> ▪ A fixed route service that is open to the general public but that is extended to serve a congregate living facility or a workplace serving large numbers of individuals with disabilities; or ▪ A demand response service that is available to the general public but whose service coverage or span of service is designed in response to mobility needs expressed by individuals with disabilities. <p>FTA notes that expanded fixed route service may result in expanded ADA complementary paratransit service; since the ADA complementary paratransit service is required under the ADA, it would not be eligible for New Freedom funding. All new or expanded fixed route and demand responsive services funded under the New Freedom program will be subject to the requirements of the ADA and DOT ADA implementing regulations.</p>

New Public Transportation Alternatives Beyond the ADA*	
Purchasing vehicles to support new accessible taxi, ride sharing, and/or vanpooling programs.	New Freedom funds can be used to purchase and operate accessible vehicles for use in taxi, ridesharing and/or van pool programs provided that the vehicle has the capacity to accommodate a passenger who uses a “common wheelchair” as defined under 49 CFR 37.3, at a minimum, while remaining in his/her personal mobility device inside the vehicle, and meeting the same requirements for lifts, ramps and securement systems specified in 49 CFR part 38, subpart B.
Supporting the administration and expenses related to new voucher programs for transportation services offered by human service providers.	This activity is intended to support and supplement existing transportation services by expanding the number of providers available or the number of passengers receiving transportation services. Only new voucher programs or expansion of existing programs are eligible under the New Freedom Program. Vouchers can be used as an administrative mechanism for payment of alternative transportation services to supplement available public transportation. The New Freedom Program can provide vouchers to individuals with disabilities to purchase rides, including: (a) mileage reimbursement as part of a volunteer driver program; (b) a taxi trip; or (c) trips provided by a human service agency. Providers of transportation can then submit the voucher for reimbursement to the recipient for payment based on pre-determined rates or contractual arrangements. Transit passes for use on existing fixed route or ADA complementary paratransit service are not eligible. Vouchers are an operational expense which requires a 50/50 (Federal/local) match.
Supporting new volunteer driver and aide programs.	New volunteer driver programs are eligible and include support for costs associated with the administration, management of driver recruitment, safety, background checks, scheduling, coordination with passengers, and other related support functions, mileage reimbursement, and insurance associated with volunteer driver programs. The costs of new enhancements to increase capacity of existing volunteer driver programs are also eligible. FTA notes that any volunteer program supported by New Freedom must meet the requirements of both “new” and “beyond the ADA.” FTA encourages communities to offer consideration for utilizing all available funding resources as an integrated part of the design and delivery of any volunteer driver/aide program.

New Public Transportation Alternatives Beyond the ADA* (continued)	
<p>Supporting new mobility management and coordination programs among public transportation providers and other human service agencies providing transportation.</p>	<p>Mobility management is an eligible capital cost. Mobility management techniques may enhance transportation access for populations beyond those served by one agency or organization within a community. For example, a non-profit agency could receive New Freedom funding to support the administrative costs of sharing services it provides to its own clientele with other individuals with disabilities and coordinate usage of vehicles with other non-profits, but not the operating costs of the service. Mobility management is intended to build coordination among existing public transportation providers and other transportation service providers with the result of expanding the availability of service. Mobility management activities may include:</p> <ul style="list-style-type: none"> ▪ The promotion, enhancement, and facilitation of access to transportation services, including the integration and coordination of services for individuals with disabilities, older adults, and low-income individuals; ▪ Support for short term management activities to plan and implement coordinated services; ▪ The support of State and local coordination policy bodies and councils; ▪ The operation of transportation brokerages to coordinate providers, funding agencies and customers; ▪ The provision of coordination services, including employer-oriented Transportation Management Organizations’ and Human Service Organizations’ customer-oriented travel navigator systems and neighborhood travel coordination activities such as coordinating individualized travel training and trip planning activities for customers; ▪ The development and operation of one-stop transportation traveler call centers to coordinate transportation information on all travel modes and to manage eligibility requirements and arrangements for customers among supporting programs; and ▪ Operational planning for the acquisition of intelligent transportation technologies to help plan and operate coordinated systems inclusive of Geographic Information Systems (GIS) mapping, Global Positioning System Technology, coordinated vehicle scheduling, dispatching and monitoring technologies as well as technologies to track costs and billing in a coordinated system and single smart customer payment systems (acquisition of technology is also eligible as a stand alone capital expense).

* “New” service is any service or activity that was not operational on August 10, 2005, and did not have an identified funding source as of August 10, 2005, as evidenced by inclusion in the Transportation Improvement Plan (TIP) or the State TIP. In other words, the project would not have consideration for funding and the proposed service enhancement would not be available for individuals with disabilities if not for the New Freedom Program. Recipients or subrecipients may not terminate ADA paratransit enhancements or other services funded as of August 10, 2005, in an effort to reintroduce the services as “new” and then receive New Freedom funds for those services.



**METROPOLITAN
TRANSPORTATION
COMMISSION**

Joseph P. Bort MetroCenter
101 Eighth Street
Oakland, CA 94607-4700
TEL 510.817.5700
TDD/TTY 510.817.5769
FAX 510.817.5848
E-MAIL info@mtc.ca.gov
WEB www.mtc.ca.gov

Memorandum

TO: Transit Finance Working Group

DATE: April 6, 2011

FR: Ross McKeown

RE: Regional Toll Credit Policy for MTC-Managed Federal Funds

Background

Section 1111(c) of the Transportation Equity Act for the 21st Century (TEA21), and 23 U.S.C., Section 1044 of the Intermodal Surface Transportation Efficiency Act (ISTEA) under Section 120(j) allows states to use certain toll revenue expenditures as a credit toward the non-federal matching share of certain programs authorized by Title 23 (referred as toll credits) and for transit programs authorized by Chapter 53 of Title 49 (also referred as transportation development Credits).

During the period from FY 1991-92 through FY 2005-06, California collected approximately \$18.2 billion in toll revenue receipts, of which over \$7.1 billion was invested to build and/or improve public highway facilities. Based on federal statutes, the Federal Highway Administration (FHWA) approved approximately \$5.7 billion in toll credits from investments during this time period. Now approved, these toll credits do not lapse, and are available until used by the state.

To date there are five regions with toll revenues qualifying for toll credits:

Region	(\$millions)	
MTC	\$3,492	60.8%
OCTA	\$2,040	35.5%
SANDAG	\$113	2.0%
LAMTA	\$61	1.1%
SACOG	\$39	0.7%
Total	\$5,744	100.0%

To be able to earn a credit, a state must satisfy the Maintenance of Effort (MOE) determination, which covers a state's non-federal transportation capital expenditures over a 4-year period. To be eligible for toll credits, the expenditures in the last year of the 4-year period must exceed the annual average of the expenditures in the preceding three years of the 4-year period.

Toll credits do not provide additional revenues, but rather allow the use of federal funds without a required non-federal match.

Current State Toll Credit Policy

Caltrans has established an interim toll credit policy covering the three-year demonstration period of FY 2009-10 through FY 2011-12. The policy will be evaluated prior to implementation of a final policy for FY 2012-13 and beyond. The state policy allows the use of toll credits in lieu of the required non-federal match anywhere in the state for selected federal

programs. With few exceptions, toll credits may be used by Caltrans for all federal funds in the SHOPP and STIP - including Transportation Enhancement (TE) funds. Earmarks, FHWA discretionary funding, FTA funds managed by Caltrans, Highway Bridge Program (HBP) funds for local bridges off the federal-aid system, FHWA Planning funds, and FTA 5303 planning funds are eligible as well. The use of toll credits for STP/CMAQ and FTA 5307/5309 FG funds is at the discretion of the RTPA/designated recipient. Caltrans is not allowing the use of toll credits for any project programmed in the local 'on federal-aid system' bridge and safety programs it manages (HBP, HSIP, HR3 and SRTS) because this would require the de-programming of projects because toll credits do not provide additional revenue.

For fiscal year 2009-10, a total of \$241.3 million in toll credits was used for 333 projects statewide, with 38 projects in the MTC region.

Proposed Regional Policy

Considering that toll credits do not provide additional revenue and result in fewer projects delivered with the same amount of federal funding, the use of toll credits should be carefully considered to avoid reductions in overall funding available for transportation projects. Furthermore, a sponsor may not have as much 'ownership' in the implementation and delivery of the project if they do not have their own funds on the project. However, using toll credits can be beneficial for project implementation in special situations. It is therefore proposed that toll credits only be used under the following limited circumstances, on a case-by-case basis for federal funds managed by MTC (such as FTA 5307 and 5309 FG and STP/CMAQ):

- **Maximize Efficient Use of Federal Funds:** Consider applying toll credits on large federalized projects where non-federal funding may be redirected to other transportation projects not requiring federalization. This would focus federal funds on fewer, larger projects, while redirecting more flexible funding to other transportation projects that may have difficulty proceeding through the federal-aid process. The redirected funds would be used to supplement rather than replace existing funding.
- **Facilitate Funding Exchanges:** Consider the use of toll credits if needed to facilitate the exchange of non-federal funds. Often local fund sources, such as county transportation measure funds, rely on bonding to expedite delivery due to projects being ready to implement sooner than funding becomes available. Under such situations it may be advantageous to make federal funds available (with toll credits) early, in exchange for local funds later. Using toll credits would facilitate such an exchange by maximizing the local dollars available for the exchange that would otherwise be required as match to the exchanged federal funds. This would help expand the 'pool' of non-federal funds with which to implement a broader range of regional transportation strategies, consistent with MTC's existing exchange program.
- **Target Federal Funds to Specific Phases:** For smaller projects it is often advantageous to use federal funds only for the construction phase while using local funds for the preliminary engineering and right of way phases. However, it is often difficult to obtain federal approval to consider local funding spent on earlier phases as match to federal funds in later phases. Sponsors tend to over-match smaller projects as a result. Toll

credits could be used on a case-by-case basis for the construction phase, where local funds have been expended in excess of the required match in the earlier phases. The overall project would still have a local match to the project, while facilitating project delivery by targeting federal funds to only one phase.

This policy only applies to federal funds managed by MTC (such as FTA 5307 and 5309 FG and STP/CMAQ) and will be re-evaluated following issuance of Caltrans' final toll credit policy in FY 11-12.

Attachment:

- Caltrans Toll Credit Policy – June 30, 2010

J:\COMMITTEE\Partnership\Partnership TFWG\Transit Finance WG\2011\11 Memos\04_April\06_0_Toll Credit Memo 03-21-2011.doc

CALIFORNIA DEPARTMENT OF TRANSPORTATION TOLL CREDIT USE POLICY

Background:

Section 1111(c) of the Transportation Equity Act for the 21st Century (TEA21), and 23 U.S.C., Section 1044 of ISTEA under Section 120(j) allows states to use certain toll revenue expenditures as a credit toward the non-federal matching share of programs authorized by Title 23 (except for the emergency relief programs) and for transit programs authorized by Chapter 53 of Title 49.

During Fiscal Year (FY) 1992 through FY 2006, California has collected approximately \$18.2 billion in toll receipts, of which over \$7.1 billion was invested to build and/or improve public highway facilities. Based on federal statutes, the State applied for approximately \$5.7 billion in toll credits from investments during this time period. Now approved, these toll credits do not lapse until used by the state.

These guidelines apply to the \$5.7 billion which was approved by the FHWA for the State of California¹ until the end of FY 2011-2012. This two year period represents the demonstration period, permanent program policy to be in place for the FY 2012 and beyond.

Guiding Principles for use of Toll Credits:

- Compliance with state and federal statutes,
- Maximize the use of federal funds,
- Toll credits should not result in the redirection of non-federal funds away from transportation.

Constraints/requirements:

- Use of toll credits does not generate additional federal funding and is limited to the non-federal match required for Apportionments and Obligational Authority (OA) available in any given year.
- All projects proposed to use toll-credits should be fully funded at the maximum allowable federal reimbursement rate.
- Use of toll credits will require amendments to current programming documents.
- FTIPs still need to be financially constrained.
- Toll credits may not be applied to projects funded with FHWA Emergency Relief funds or Appalachian Development Highway System (ADHS).
- The State must establish a special account to track toll credits.
- Processes for the tracking of toll credit usage must be established.

¹ On June 1, 2005, the Department received approval from FHWA for \$104.026 million in toll credits from private entity expenditures on State Route 91. Until the policy for toll credit use in 2012-13 is developed, this \$104.026 million will be kept separate for use within Orange County.

Distribution Process:

1. Toll credits will be made available statewide to the RTPAs for federal match to any eligible federal program, to the Highway Bridge Program Projects for off federal-aid system projects and to the Department to match federal funds used for STIP and SHOPP. Toll credits will not be used for any programmed project in the local safety programs.
 - a. RTPAs will provide the Department with an estimate of the total need for toll credits for the FTIP period by programming year.
 - b. In order for the State to implement the usage of toll credits statewide, the RTPA must submit to the Department on or before October 1 of each federal fiscal year, a list of programmed FTIP projects that are planned to use the credits for the upcoming federal fiscal year (starting October 1).
2. Prior to the end of the two-year demonstration period the policy will be re-evaluated and if necessary changes will be made to the methodology and process for the disbursement of toll credits to take effect in FY 2012-2013.

Monitoring and Reporting of Toll Credit Usage and Balance

In accordance to the FHWA February 8, 2007 Memorandum on Tolling and Pricing Program, Caltrans will establish and maintain a special account to track the use and balance of toll credits for FHWA funded projects.

Prior to using toll credits for projects funded through the FTA, RTPAs and local agencies shall develop and maintain a special account to track the use and balance of toll credits, acceptable to FTA and FHWA. The obligations of funds through FTA constitute final use of toll credits as FTA funds are not de-obligated but are amended through the FTA.



METROPOLITAN
TRANSPORTATION
COMMISSION

Joseph P. Bort MetroCenter
101 Eighth Street
Oakland, CA 94607-4700
TEL 510.817.5700
TDD/TTY 510.817.5769
FAX 510.817.5848
E-MAIL info@mtc.ca.gov
WEB www.mtc.ca.gov

Memorandum

TO: Transit Finance Working Group

DATE: April 6, 2011

FR: Glen Tepke and Christina Verdin

RE: Proposed Bridge Toll Policy Changes

MTC staff is proposing changes to streamline the programming and allocation process for three bridge toll transit funding programs: AB 664, 2% Toll Revenue, and the 5% State General Fund Revenues. Staff is seeking input from the TFWG and intends to present the proposal for Programming and Allocations Committee consideration on May 11th, 2011.

On April 28, 2010, the Bay Area Toll Authority (BATA) approved the transfer of \$507 million to MTC as full payment for BATA's obligation to fund the AB 664, 2% Toll Revenue, and RM1 Rail Reserve transit capital programs for the next 50 years. The proposed policy changes reflect the transfer and recent changes related to ferry service operations.

AB 664

AB664 funds are programmed annually to eligible transit operators that provide service in the vicinity of the Bay, San Mateo and Dumbarton bridges to serve as local match for capital projects funded with Federal Transit Administration formula funds (Section 5307 and 5309), as guided by the Transit Capital Priorities (MTC Res. 3908) process and MTC Resolution No. 2004. AB 664 funds are currently available for any eligible FTA-funded project, with each operator's allocation based on its share of the TCP program in that year. The funding is divided into East and West Bay accounts based on transbay commute trips data.

Proposed changes to AB 664 Policy:

- Maintain the AB 664 funding at the FY 2010-11 level (approximately \$11 million) until sufficient interest income is collected to consider adjustment.
- Eliminate the separation into East Bay and West Bay accounts so the funding amount for each eligible operator is based solely on the operator's share of the TCP program.
- Add a requirement for a Resolution of Local Support for AB 664 funding requests to be consistent with the other bridge toll funding programs.

2% Toll Revenues

One-third of the 2% Toll revenues is dedicated to ferry capital projects and programmed via an annual call for projects for water transit systems in the vicinity of the bridges in the northern bridge group (Richmond-San Rafael, Carquinez, Benicia-Martinez and Antioch bridges) and southern bridge group (S.F.-Oakland Bay, Hayward-San Mateo and Dumbarton bridges). The remaining two-thirds is available for transportation projects to reduce vehicular traffic congestion and improve bridge operations on any bridge, including, but not limited to, bicycle facilities and for the planning, construction, operation, and acquisition of rapid water transit systems. This revenue was previously directed to BATA capital projects for bridge improvements.

By June 30, 2011, the Water Emergency Transportation Authority (WETA) is scheduled to take over operations of the Vallejo and Oakland/Alameda ferry services. WETA would then be the sole eligible recipient of the one-third portion of the 2% Toll Revenue funds.

Proposed changes to 2% Toll Revenues Policy:

- Maintain the 2% Toll Revenues funding at the FY 2010-11 level (approximately \$1.7 million) until sufficient interest income is collected to consider adjustment.
- Establish annual program management and capital support to ABAG for the San Francisco Bay Trail in the amount of \$700,000. These functions are currently funded through an annual allocation of roughly \$250,000 in 5% Unrestricted State Fund revenues and Proposition 84 State Park bond funding administered by the State Coastal Conservancy Commission. The state funding has been expended and the additional \$700,000 in 2% Toll Revenues will provide a stable annual funding source for program and capital support to complete the remaining 190 miles of planned Bay Trail projects.
- Program funds to WETA for use on Bay Area ferry corridors under its jurisdiction.
- Remove the condition splitting funding between Northern and Southern bridge groups for ferry projects due to the consolidation of ferry services.

5% Unrestricted State Fund Reserve

State General Fund revenues are delivered to MTC in amounts equal to projections of the RM 1 five percent (5%) Bridge Toll Program and are separated into northern and southern bridge groups in the same proportion as the northern bridge group and southern bridge group 5% Bridge Toll funds are generated. The funds are programmed and allocated annually for ferry transit operations and bicycle-related planning in the vicinity of each of the bridge groups. The only eligible recipients for this program are WETA and ABAG.

In April 2009, MTC revised the Bridge Toll policy to make the ABAG Bay Trail Project the single priority for bicycle planning projects funded by 5% State General Fund Revenues. The Bay Trail is currently allocated \$250,000 in base funding plus an adjustment based on the lesser of the percent change for 5% State General Fund revenues or the rate of increase of the consumer price index.

Proposed changes to 5% Unrestricted State Fund Reserve Policy:

- Remove the condition splitting funding between Northern and Southern bridge groups for ferry projects due to the consolidation of ferry services.
- Program funds to WETA for use on Bay Area ferry corridors under its jurisdiction.

Below is a summary of the staff proposal.

Staff Proposal - Summary of Estimated Funding Levels

Bridge Toll Category	Sponsor	Annual Funding
AB 664*	Eligible Transit Operators	\$ 10,789,000
2% Toll Revenues*	WETA	\$ 1,000,000
2% Toll Revenues	ABAG - Bay Trail	\$ 700,000
5% Unrestricted State Funds**	WETA	\$ 2,835,000
5% Unrestricted State Funds**	ABAG - Bay Trail	\$ 250,000
Total		\$ 15,574,000

*Annual funding amount based on April 2010 BATA transfer to MTC. Annual funding currently set at FY 2010-11 levels.

**FY 2010-11 funding estimate based on state budget transfer – subject to transfer.

Staff welcomes TFWG comments on this proposal and proposes consolidating and updating the policies previously set forth in MTC Resolutions 2004 and 3288 and presenting an updated resolution at the May 11th MTC Programming and Allocations Committee meeting. If you have questions regarding changes to the AB 664 funding program, please contact Glen Tepke at gtepke@mtc.ca.gov. If you have questions regarding the 2% Toll Revenues or 5% Unrestricted State Funds Capital funding programs, please contact Christina Verdin at cverdin@mtc.ca.gov.



METROPOLITAN
TRANSPORTATION
COMMISSION

Joseph P. Bort MetroCenter
101 Eighth Street
Oakland, CA 94607-4700
TEL 510.817.5700
TDD/TTY 510.817.5769
FAX 510.817.5848
E-MAIL info@mtc.ca.gov
WEB www.mtc.ca.gov

Memorandum

TO: Transit Finance Working Group

DATE: April 6, 2011

FR: Glen Tepke

W. I.

RE: Narrow Banding Funding Needs Request

Land mobile radio systems – the two-way radios most often used to communicate with fleet vehicles – have been mandated by the Federal Communications Commission to change from 25 kHz radio channels to narrow-band 12.5 kHz channels by January 1, 2013 (Sections 309(j) and 337 of the Communications Act of 1934 as Amended). Narrow-banding will require some transit agencies to replace their entire radio infrastructure. For more information on narrow-banding requirements, see:

<http://www.fcc.gov/pshs/public-safety-spectrum/narrowbanding.html>

Under the region's Transit Capital Priorities policy, replacement of communication systems is treated as a Score 16 project. However, given the level-funding of the FTA formula programs over the last two years, and uncertainty over future funding levels under the next federal transportation authorization, funding new project needs that are not already included in the projections of future capital needs will be challenging.

In order to assess the scale of the narrow-banding funding needs and the potential demand for TCP funds, operators are requested to provide the following information to Glen Tepke (gtepke@mtc.ca.gov) by Friday, April 15:

- Brief description of the work required, if any, for your agency to comply with narrow-banding requirements.
- Projected cost of compliance.
- Expected funding sources to cover cost of compliance.
- Whether any TCP funds are currently programmed for narrow-banding related projects.
- Whether the cost of compliance is reflected in your agency's Regional Transit Capital Inventory data, i.e., if narrow-banding requires you to replace your radio system by 2013, do the radio assets in your RTCI data indicate a replacement date of 2013 or earlier?

Thank you for your help with this issue.



METROPOLITAN
TRANSPORTATION
COMMISSION

Joseph P. Bort MetroCenter
101 Eighth Street
Oakland, CA 94607-4700
TEL 510.817.5700
TDD/TTY 510.817.5769
FAX 510.817.5848
E-MAIL info@mtc.ca.gov
WEB www.mtc.ca.gov

Memorandum

TO: Transit Finance Working Group

DATE: April 6, 2011

FR: Sri Srinivasan, Programming & Allocations

RE: Plan Bay Area (SCS/RTP) Transit Needs Assessment - Transit Operating Needs Update

Transit Operating Needs Survey

The Plan Bay Area (SCS/RTP) – Transit Operating Needs survey was due to MTC on February 16, 2011. Of the 25 surveys sent out, we have received 23. Table 1 is a summary of the responses received. We are working with Benicia and Vallejo staff, given their current transition to a newly formed agency, Soltrans.

The draft needs provided to date will be presented at your meeting.

If you have any questions or comments about the survey please contact Sri Srinivasan at ssrinivasan@mtc.ca.gov.

SS

J:\COMMITTEE\Partnership\Partnership TFWG_Transit Finance WG\2011\11 Memos\04_April\09a_Transit Operating Needs Update.doc

Table 1: Status of Submittals of Transit Operating Needs Surveys

<u>Sl. No.</u>	<u>Agency</u>	<u>Submittal Receipt</u>
1	Alameda-Contra Costa Transit District	x
2	Bay Area Rapid Transit District	x
3	Central Contra Costa Transit Authority	x
4	City of Benicia	
5	City of Fairfield	x
6	City of Rio Vista	x
7	Eastern Contra Costa Transit Authority	x
8	Golden Gate Bridge, Highway & Transportation District	x
9	Livermore/Amador Valley Transit Authority	x
10	Marin County Transit District	x
11	Napa County Transportation Planning Agency	x
12	Peninsula Corridor JPB (Caltrain)	x
13	Petaluma Transit	x
14	San Francisco Municipal Transportation Agency	x
15	San Joaquin Regional Rail Commission (ACE)	x
16	San Mateo County Transit District	x
17	Santa Clara Valley Transportation Authority	x
18	Santa Rosa City Bus	x
19	Sonoma County Transit	x
20	Sonoma-Marín Area Rail Transit District	x
21	Union City Transit	x
22	Vacaville City Coach	x
23	Vallejo Transit (Soltrans)	
24	Water Emergency Transit Authority (Alameda-Oakland Ferry (Part of WETA Submittal))	x
25	Western Contra Costa Transit Authority	x
Total Number of Surveys Received		23
Total Number of Surveys Sent		25
Response Rate		92%



METROPOLITAN
TRANSPORTATION
COMMISSION

Joseph P. Bort MetroCenter
101 Eighth Street
Oakland, CA 94607-4700
TEL 510.817.5700
TDD/TTY 510.817.5769
FAX 510.817.5848
E-MAIL info@mtc.ca.gov
WEB www.mtc.ca.gov

Memorandum

TO: Transit Finance Working Group

DATE: April 6, 2011

FR: Jacob Avidon

RE: Forecasted ClipperSM Operations and Maintenance Expenses

In preparation for both MTC's FY 2011-12 agency budget and Plan Bay Area, MTC has updated its projection of ClipperSM operations and maintenance costs. The attachment to this memo shows the portion of the costs for which the transit operators are responsible, in accordance with the ClipperSM Memorandum of Understanding, and the breakdown by transit operator. The attachment does not show MTC's portion of the costs. Transit operators currently operating ClipperSM should reflect the FY 2011/12 expenses in their respective agency budgets. MTC provided a memo in advance of last month's Transit Finance Working Group (TFWG) meeting that provides background information about the ClipperSM operations and maintenance costs, how the costs are divided among operators, and MTC's process for developing an updated cost forecast.

MTC will continue updating and improving this projection in the coming months. Improvements will reflect recent actual data concerning operations and maintenance expenses. MTC will provide updates to the transit operators as MTC makes improvements/refinements to the operations and maintenance cost projections.

ClipperSM Program staff will either attend the upcoming TFWG meeting or be available to answer questions by phone or email. For April 2011, the primary contact is Alyssa Phaneuf (tel: 818.272.2790; email: aphaneuf@mtc.ca.gov); Alyssa works for Kimley-Horn and Associates and she is assigned to the ClipperSM Program.

2013 RTP Project Need Summary

**Cubic Contract Variable Expenses & AT&T Network Expenses Paid by Operators
(Per ClipperSM Memorandum of Understanding)**

	28-Year Planning Horizon										
	FY11/12	FY12/13	FY13/14	FY14/15	FY15/16	FY16/17	FY17/18	FY18/19	FY19/20	FY20/21	FY21/22
AC Transit	\$432,592	\$461,480	\$565,594	\$557,247	\$627,691	\$600,711	\$613,502	\$613,743	\$625,376	\$620,000	\$620,000
BART	\$4,748,155	\$4,883,495	\$5,591,118	\$5,524,918	\$6,223,347	\$5,955,849	\$6,082,668	\$6,085,059	\$6,200,395	\$6,110,000	\$6,090,000
Caltrain	\$353,661	\$609,501	\$687,459	\$683,017	\$769,360	\$736,291	\$751,969	\$752,264	\$766,523	\$760,000	\$760,000
GGBHTD	\$301,931	\$294,857	\$354,508	\$354,875	\$399,736	\$382,555	\$390,700	\$390,854	\$398,262	\$400,000	\$400,000
SFMTA	\$3,829,367	\$3,662,906	\$4,009,682	\$3,952,478	\$4,452,128	\$4,260,762	\$4,351,487	\$4,353,198	\$4,435,708	\$4,380,000	\$4,360,000
VTA	\$0	\$0	\$770,393	\$1,151,443	\$1,297,002	\$1,241,253	\$1,267,683	\$1,268,181	\$1,292,218	\$1,280,000	\$1,270,000
Other Operators	\$0	\$0	\$273,918	\$974,928	\$1,098,173	\$1,050,970	\$1,073,348	\$1,073,770	\$1,094,122	\$1,080,000	\$1,080,000
Total	\$5,836,339	\$6,249,333	\$7,198,679	\$7,120,057	\$8,020,135	\$7,675,405	\$7,838,839	\$7,841,921	\$7,990,555	\$7,890,000	\$7,870,000

FY22/23	FY23/24	FY24/25	FY25/26	FY26/27	FY27/28	FY28/29	FY29/30	FY30/31	FY31/32
\$620,000	\$620,000	\$630,000	\$630,000	\$630,000	\$630,000	\$630,000	\$630,000	\$630,000	\$630,000
\$6,120,000	\$6,130,000	\$6,140,000	\$6,120,000	\$6,120,000	\$6,130,000	\$6,130,000	\$6,130,000	\$6,130,000	\$6,130,000
\$760,000	\$760,000	\$770,000	\$770,000	\$770,000	\$770,000	\$770,000	\$770,000	\$770,000	\$770,000
\$400,000	\$400,000	\$400,000	\$400,000	\$400,000	\$400,000	\$400,000	\$400,000	\$400,000	\$400,000
\$4,380,000	\$4,390,000	\$4,390,000	\$4,380,000	\$4,380,000	\$4,390,000	\$4,390,000	\$4,390,000	\$4,390,000	\$4,390,000
\$1,280,000	\$1,280,000	\$1,290,000	\$1,280,000	\$1,280,000	\$1,290,000	\$1,290,000	\$1,290,000	\$1,290,000	\$1,290,000
\$1,090,000	\$1,090,000	\$1,090,000	\$1,090,000	\$1,090,000	\$1,090,000	\$1,090,000	\$1,090,000	\$1,090,000	\$1,090,000
\$7,900,000	\$7,910,000	\$7,940,000	\$7,920,000	\$7,920,000	\$7,930,000	\$7,930,000	\$7,930,000	\$7,930,000	\$7,930,000

FY32/33	FY33/34	FY34/35	FY35/36	FY36/37	FY 37/38	FY 38/39	FY 39/40	Total
\$630,000	\$630,000	\$630,000	\$630,000	\$630,000	\$630,000	\$630,000	\$630,000	\$17,225,345
\$6,130,000	\$6,130,000	\$6,130,000	\$6,130,000	\$6,130,000	\$6,130,000	\$6,130,000	\$6,130,000	\$169,066,849
\$770,000	\$770,000	\$770,000	\$770,000	\$770,000	\$770,000	\$770,000	\$770,000	\$21,116,383
\$400,000	\$400,000	\$400,000	\$400,000	\$400,000	\$400,000	\$400,000	\$400,000	\$10,966,347
\$4,390,000	\$4,390,000	\$4,390,000	\$4,390,000	\$4,390,000	\$4,390,000	\$4,390,000	\$4,390,000	\$121,208,350
\$1,290,000	\$1,290,000	\$1,290,000	\$1,290,000	\$1,290,000	\$1,290,000	\$1,290,000	\$1,290,000	\$34,018,172
\$1,090,000	\$1,090,000	\$1,090,000	\$1,090,000	\$1,090,000	\$1,090,000	\$1,090,000	\$1,090,000	\$28,419,229
\$7,930,000	\$218,374,924							

- Notes**
1. FY 2011/12 costs for VTA and Caltrain reflect deduction of ClipperSM Incentive Funds.
 2. FY 2012/13 and 2013/14 costs for VTA reflect deduction of ClipperSM Incentive Funds.
 3. MTC-Cubic contract ends in FY 2019/20 (November 3, 2019), which could result in significant restructuring of operations and maintenance costs.



METROPOLITAN
TRANSPORTATION
COMMISSION

Joseph P. Bort MetroCenter
101 Eighth Street
Oakland, CA 94607-4700
TEL 510.817.5700
TDD/TTY 510.817.5769
FAX 510.817.5848
E-MAIL info@mtc.ca.gov
WEB www.mtc.ca.gov

Memorandum

TO: Transit Finance Working Group

DATE: April 6, 2011

FR: Glen Tepke

W. I.

RE: Plan Bay Area Transit Capital Need Projections Update

Projections Summary

Draft preliminary transit capital need projections for Plan Bay Area compared to the projections for T2035 are summarized in Chart 1 below. The figures represent the total cost of replacing and rehabilitating current transit capital assets over the 28-year planning period under three alternative scenarios for the state of good repair (SGR) of the system. This includes major vehicle replacement projects coming up over the next decade, including all of BART's and Caltrain's railcars, and all of SFMTA's trolleys. Capital costs of expansion and enhancement projects are not included. As shown, the total capital need estimate ranges from \$35.5 billion to \$48.1 billion, as compared to \$40.3 billion in Transportation 2035. Attachment A details the unconstrained needs by agency and asset type.

The projected needs consist of a one-time backlog of deferred replacement (assets that are already past their useful life at the beginning of the planning period) and rehab needs, plus normal, recurring replacement and rehab needs that come up when assets reach the end of their life or are due for rehabilitation during the planning period. The estimated cost of the backlog is \$6.7 billion (2010 \$).

Alternative SGR Scenarios

For purposes of the projections, State of Good Repair is defined in terms of the size of the backlog of deferred replacements and rehabs. Eliminating the backlog and performing all replacements and rehabs on schedule would result in an ideal SGR. The sizable backlog indicates the system is currently in a less-than-ideal SGR.

The three scenarios represent alternative levels of SGR that can be achieved by reinvestment in the system, i.e., alternative definitions of transit capital need. In terms of mechanics, they differ in how the backlog is addressed.

Unconstrained. The backlog is eliminated in the first year of the projection (2013), and all normal recurring replacements and rehabs are performed on schedule. Under this scenario, the system would attain an ideal SGR in 2013 and would be maintained at that level through 2040. The scenario used to define transit capital needs in T2035 was equivalent to this scenario.

Chart 1. Plan Bay Area Preliminary Transit Capital Need Projections 2013-2040
Year-of-Expenditure \$ Millions

	Transportation 2035	Plan Bay Area Scenarios		
		Unconstrained	10-Year SGR	Maintain Backlog
Large Operators				
AC Transit	\$1,745.8	\$3,655.4	\$3,603.0	\$2,521.9
BART	15,119.0	15,197.4	15,251.6	12,853.8
Caltrain	3,455.6	3,966.7	3,773.9	1,941.6
GGBHTD	1,046.8	1,968.2	1,900.9	1,456.0
SamTrans	1,018.4	1,496.5	1,485.7	1,120.7
SFMTA	11,388.2	14,486.6	13,644.1	10,631.2
VTA	4,374.4	4,410.7	4,341.6	2,953.6
Subtotal Large Operators	\$38,148.2	\$45,181.6	\$44,000.6	\$33,478.8
Small Operators				
ACE	\$453.0	\$159.9	\$154.1	\$135.0
CCCTA	272.2	424.7	412.0	347.3
ECCTA	121.1	197.3	197.1	171.9
Fairfield	125.2	179.5	182.2	104.9
LAVTA	127.4	223.8	217.6	179.7
Marin County	N/A	42.8	42.8	41.1
Napa	56.0	145.2	145.4	87.2
Petaluma	13.7	34.2	34.1	28.3
Santa Rosa	116.8	127.2	127.2	108.6
Sonoma County	169.3	266.4	266.5	184.6
Union City	43.8	63.4	63.5	59.6
Vacaville	147.9	69.7	70.4	44.0
Vallejo/Benicia	278.5	614.5	560.6	311.5
Westcat	122.9	165.2	166.5	107.0
WETA (AOF)	98.8	181.2	181.3	149.0
Subtotal Small Operators	\$2,146.6	\$2,895.1	\$2,821.2	\$2,059.6
Clipper	Included above	\$43.9	\$38.7	\$26.2
Total	\$40,294.8	\$48,120.6	\$46,860.5	\$35,564.7

Attain SGR in 10 Years. This scenario is similar to Unconstrained, except that the cost of replacing over-age assets and performing deferred rehabs is spread over the first ten years of the projection period, i.e., a more realistic version of the Unconstrained scenario. Under this scenario, the system would attain an ideal SGR by 2023 and would be maintained at that level through 2040.

Maintain Current Backlog. The rate of replacements and rehabs is constrained so that the dollar value of the backlog in 2040 is approximately the same as it was in 2013 (in constant dollars), i.e., the status quo scenario. Under this scenario, some assets would remain in service beyond their useful lives, and some rehabs would continue to be deferred, so the SGR of the system remains approximately the same throughout the planning period.

We propose to develop projections under a fourth intermediate scenario: Reduce Backlog/Improve SGR. Under this scenario, the backlog would be reduced but not eliminated by 2040, and the SGR would improve but not reach the ideal state. These three scenarios, as well as the Reduce Backlog/Improve SGR scenario, provide the range of transit capital needs as the region begins the funding tradeoff discussions.

Changes from T2035

As in T2035, the transit capital need projections are based on the Regional Transit Capital Inventory (RTCI) originally developed for T2035. Unlike T2035, the projections were produced using FTA's Transit Economics Requirement Model (TERM), a capital planning tool used by FTA for national-level projections, including the 2009 Rail Modernization Report and the 2010 National State of Good Repair Assessment. We used TERM as an intermediate step toward implementation of "TERM Lite," a more user-friendly version of TERM that FTA is developing for use by operators and MPOs.

There are several reasons for the differences between the projected needs for Plan Bay Area 10-Year SGR scenario compared to the T2035 projections:

- SFMTA's need projections are based on the initial capital asset inventory which was completed in 2010. SFMTA was unable to complete the inventory (for assets other than vehicles) in time for use in T2035, so the T2035 projections were extrapolated from SFMTA's CIP. The asset-based approach to the projections is more comprehensive than the project-based approach used in T2035, resulting in an increase in SFMTA's projected needs.
- Other operators completed an update of the asset inventories they had developed for use in T2035. In many cases, the operators refined replacement and rehab costs, and useful lives, and in some cases corrected errors and omissions in asset counts.
- The RTCI consultant team, working with the operators, recommended numerous revisions to asset classifications, replacement and rehab costs, and useful lives which are intended to result in more accurate projections.
- The costs of the BART car replacement project were modeled to match BART's current projected total of \$3.2 billion as compared to \$2.7 billion in T2035.
- Marin County Transit District's projected capital needs are included for the first time (SMART and Rio Vista will be incorporated in later revisions to the projections).
- The Plan Bay Area projections are for 28 years vs. 25 years for T2035.
- The Plan Bay Area projections assume an inflation rate of 2.2% vs. 3.0% for T2035.

- The first year of the Plan Bay Area projections is 2013 vs. 2009 for T2035, so the costs include an additional four years of inflation.

Taking these variables into account, the Plan Bay Area projections are generally consistent with T2035.

Revisions to Projections

These are preliminary draft projections. We are continuing to work with the RTCI consultants to refine the numbers, and they are likely to be revised before they are presented to the PTAC, RAWG and MTC Planning Committee in April and May. After presenting the preliminary projections, we plan to make a second round of revisions over the summer before finalizing the projections for the RTP tradeoff discussions in the fall. The second round of revisions will include:

- Further refinements to capital inventory data for SFMTA and other operators based on analysis of the preliminary projections.
- Addition of SMART and Rio Vista, which were not included in the T2035 capital need projections.
- Transfer of ferry assets and capital needs from Vallejo to WETA.
- Allocation of Clipper assets and capital needs to individual operators.

Performance Measures

The performance measure for the transit capital program in the RTP is the Average Age of Assets as a Percentage of Useful Life (AAPUL), with a target of reducing the AAPUL to 50%, which represents an ideal state of good repair. In developing the preliminary need projections, we have found that the AAPUL is strongly affected by long-lived, high-cost assets that are rehabilitated but not replaced during the projection period under any scenario, such as the BART tube and elevated guideway. After trying various remedies, staff is proposing to focus on two alternative measures of SGR as performance targets and bases for the alternative need scenarios:

- The dollar value of the backlog of assets that are past their useful life or have deferred rehab work; and
- The percentage of assets (weighted by replacement value) over their useful life (PAOUL).

The attached charts (Attachment B) illustrate the results for each of these measures under the Attain SGR in 10 Years and Maintain Backlog scenarios, as well as other measures that can be

estimated using TERM, including the condition rating of assets (estimated based primarily on age because we do not have actual condition data in the RTCI).

J:\COMMITTEE\Partnership\Partnership TFWG\Transit Finance WG\2011\11 Memos\04_April\09c_0_Transit Capital Update.doc

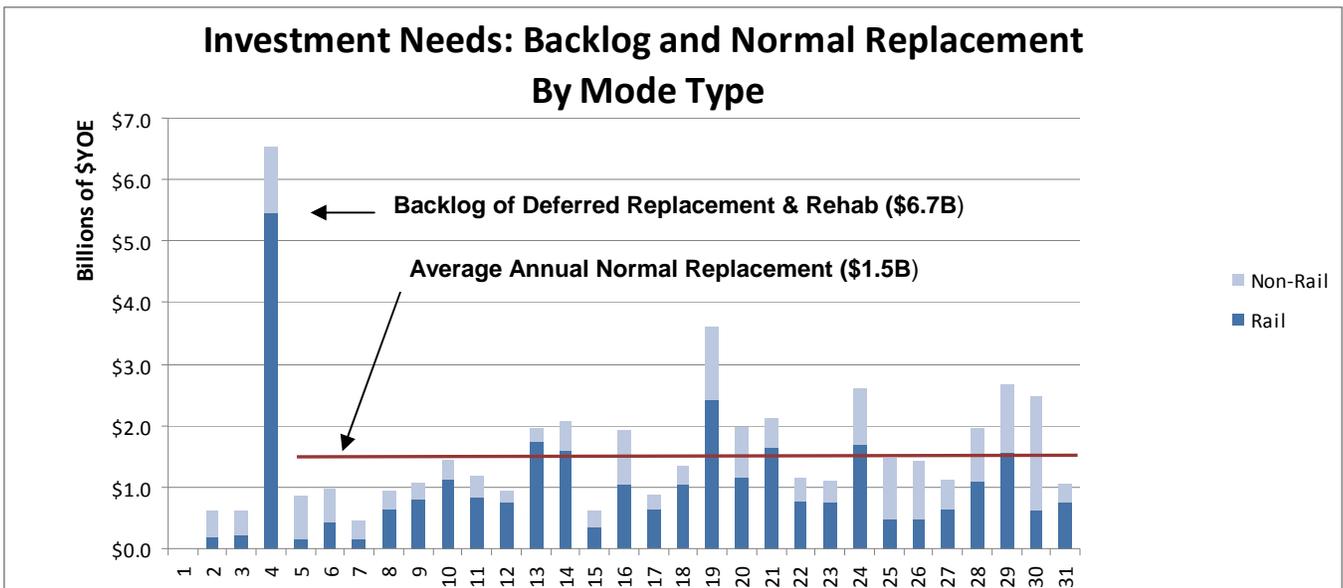
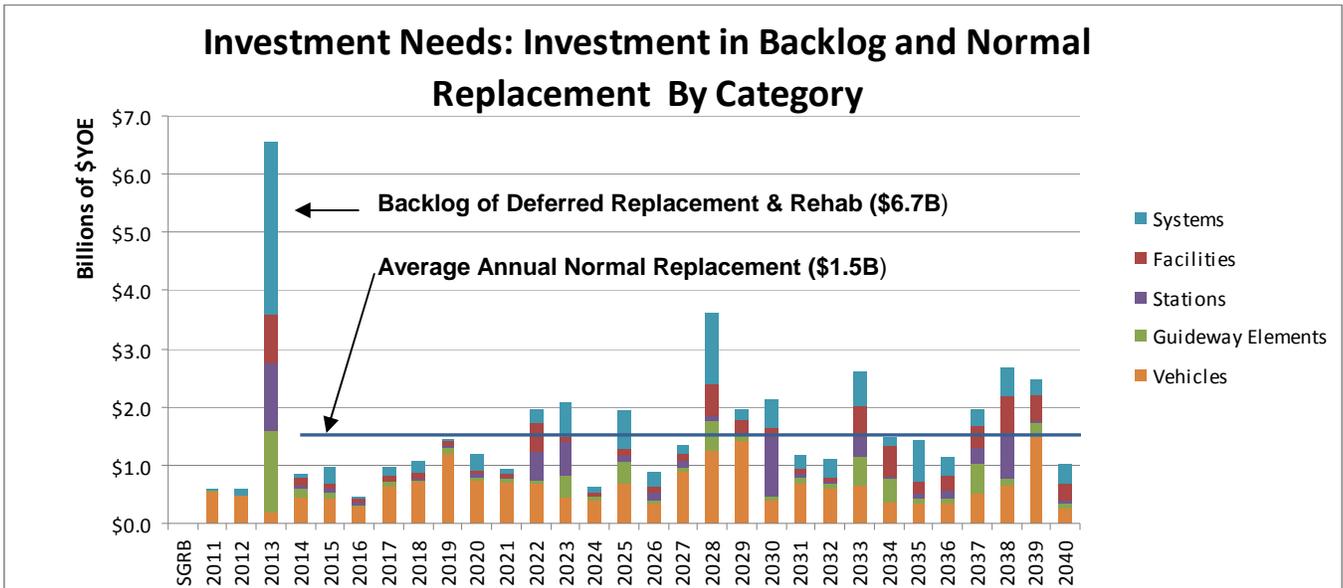
Attachment A.

Plan Bay Area Preliminary Transit Capital Need Projections, 2013 - 2040, Unconstrained Scenario
 Year-of-Expenditure \$ millions

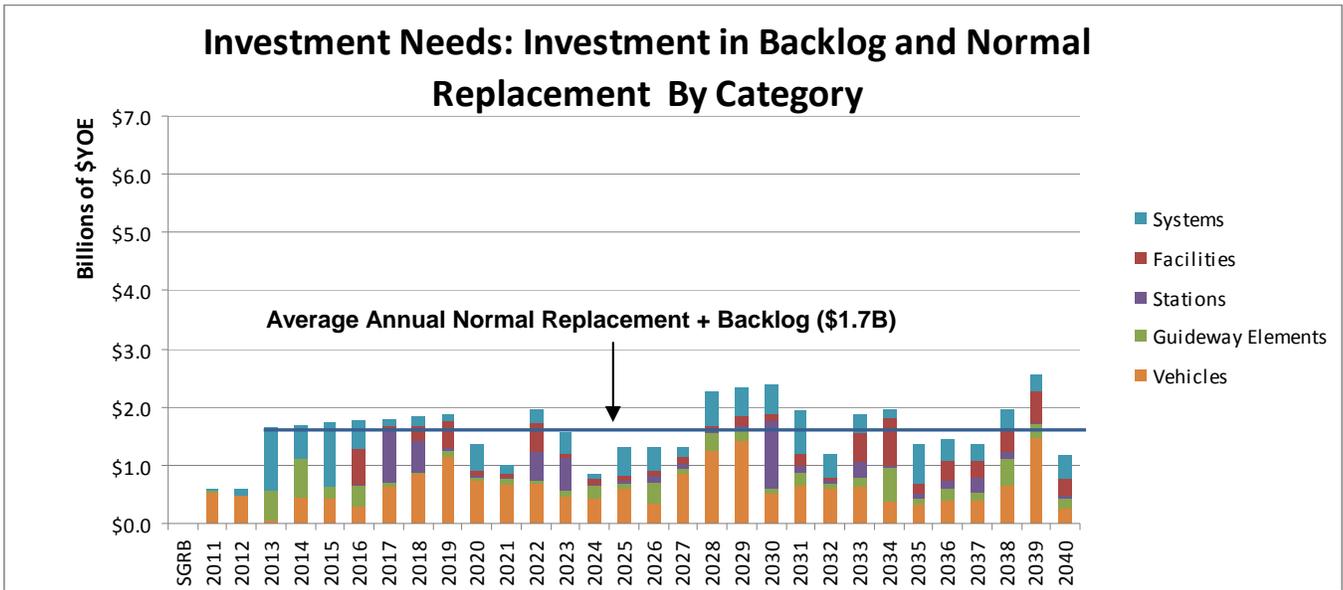
Operator	Asset Category					Total
	Facilities	Guideway	Stations	Systems	Vehicles	
AC Transit	\$ 1,771.6	\$ -	\$ 36.2	\$ 320.7	\$ 1,526.9	\$ 3,655.4
ACE	17.2	-	5.7	18.2	118.8	159.9
BART	1,000.6	3,438.4	1,871.0	3,604.9	5,282.6	15,197.4
Caltrain	151.3	750.3	1,675.7	482.4	907.0	3,966.7
CCCTA	111.4	-	-	32.6	280.8	424.7
ECCTA	22.8	-	-	1.6	172.9	197.3
Fairfield	72.1	-	-	5.1	102.3	179.5
GGBHTD	348.2	87.5	164.5	100.5	1,267.5	1,968.2
LAVTA	23.1	-	0.1	22.7	178.0	223.8
Marin County	1.7	-	-	-	41.1	42.8
Napa	51.5	-	6.8	5.9	81.0	145.2
Petaluma	4.7	-	4.6	0.7	24.2	34.2
SamTrans	514.9	-	44.6	170.8	766.2	1,496.5
Santa Rosa	11.1	-	3.8	8.6	103.8	127.2
SFMTA	1,857.9	1,133.3	1,413.0	5,812.9	4,269.5	14,486.6
Sonoma Coun	105.2	-	22.9	21.1	117.2	266.4
Union City	-	-	3.6	1.4	58.5	63.4
Vacaville	17.4	-	7.9	3.3	41.0	69.7
Vallejo	84.2	10.4	238.8	29.3	251.9	614.5
VTA	613.1	464.0	403.6	985.5	1,944.4	4,410.7
WETA	11.7	16.3	16.0	0.4	136.9	181.2
Westcat	53.7	-	-	4.8	106.7	165.2
Clipper	-	-	-	43.9	-	43.9
Total	\$ 6,845.4	\$ 5,900.2	\$ 5,918.6	\$ 11,677.0	\$ 17,779.3	\$ 48,120.6

**Attachment B.
Plan Bay Area Preliminary Transit Capital Need Projections
State of Good Repair Measures**

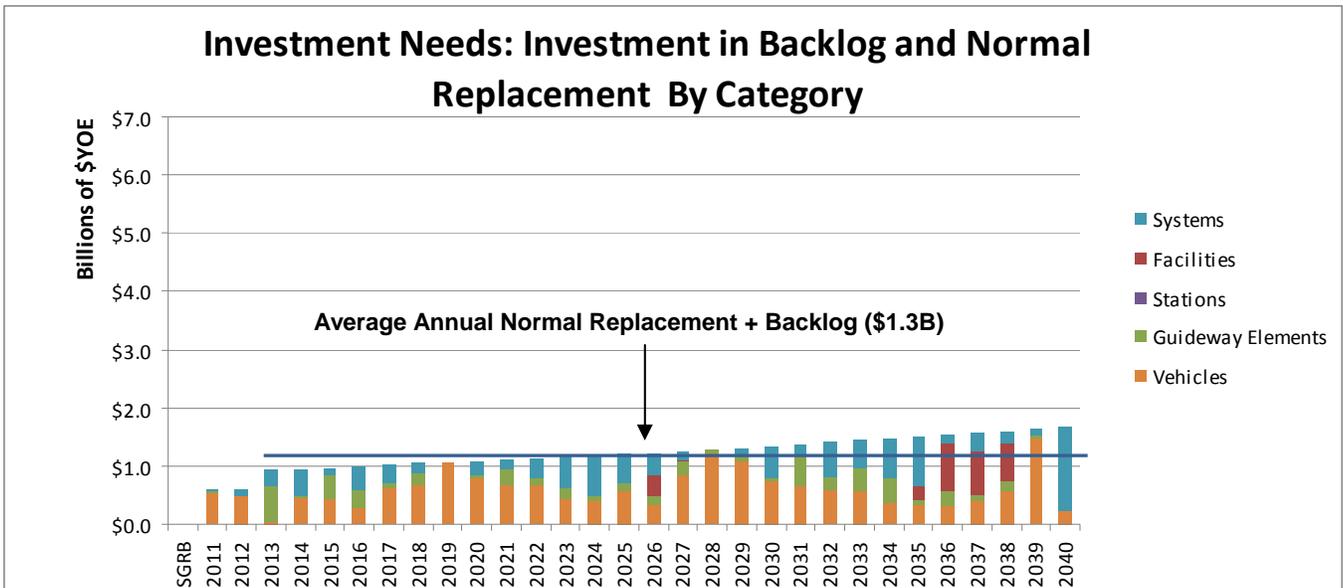
Unconstrained Scenario – Attain SGR in One Year



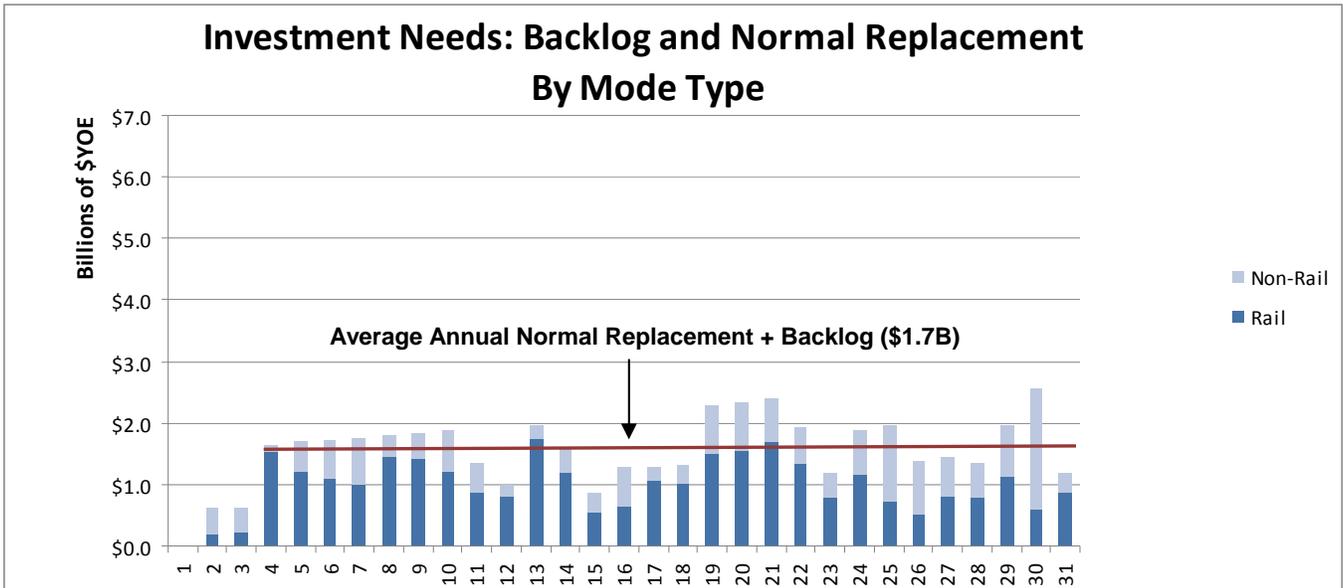
Attain SGR in 10 Years Scenario



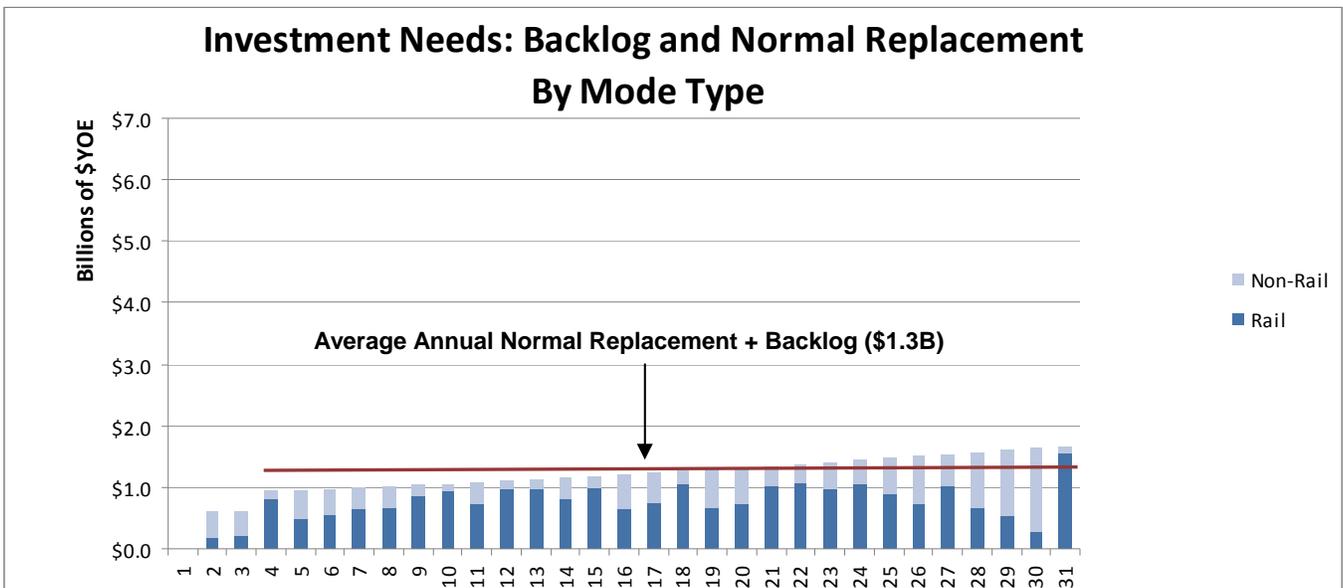
Maintain Current Backlog Scenario



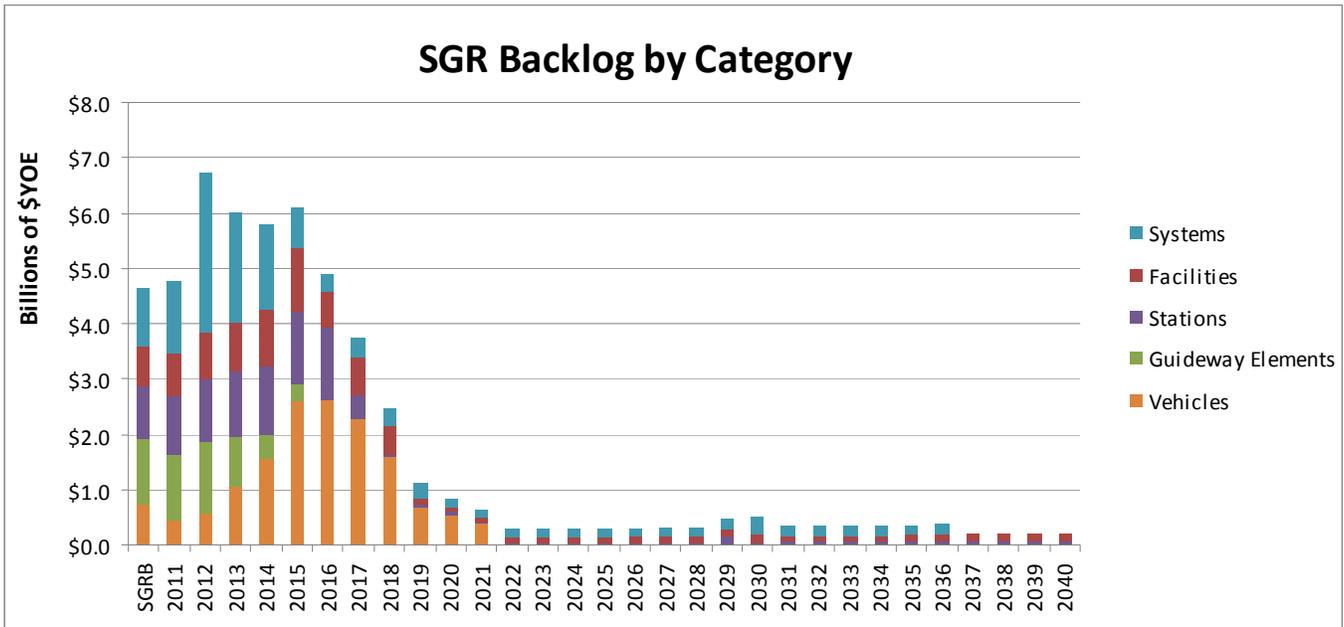
Attain SGR in 10 Years Scenario



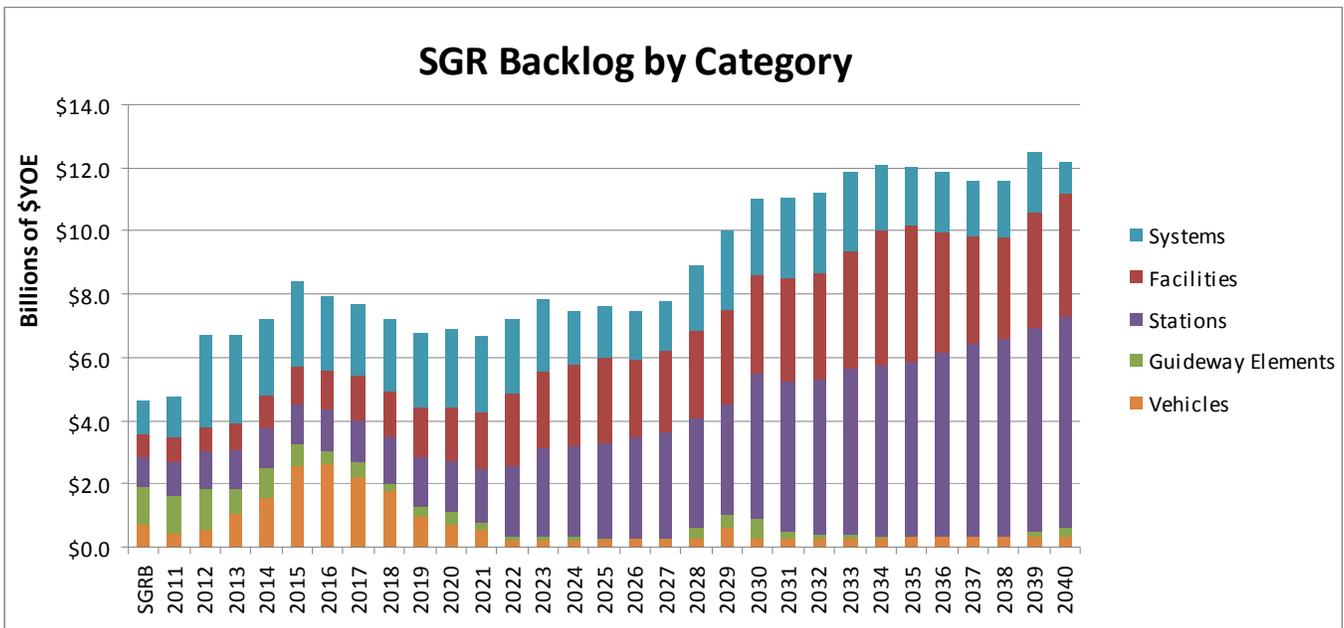
Maintain Current Backlog Scenario



Attain SGR in 10 Years Scenario

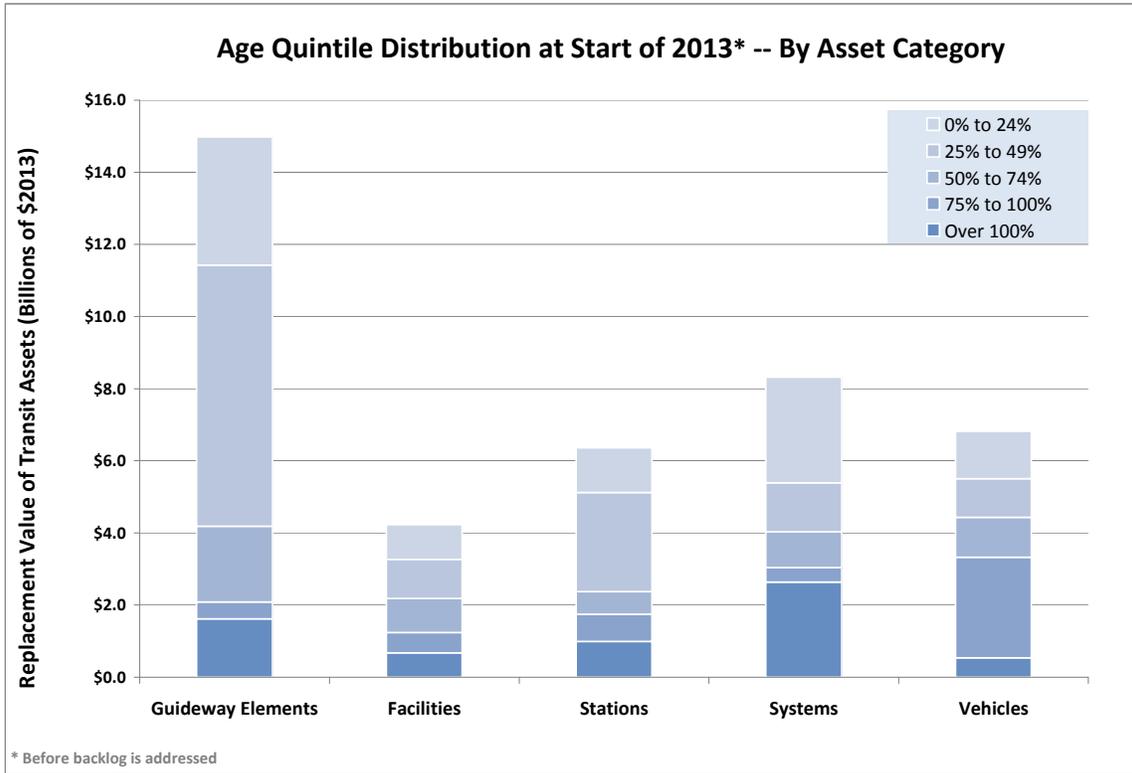


Maintain Current Backlog Scenario

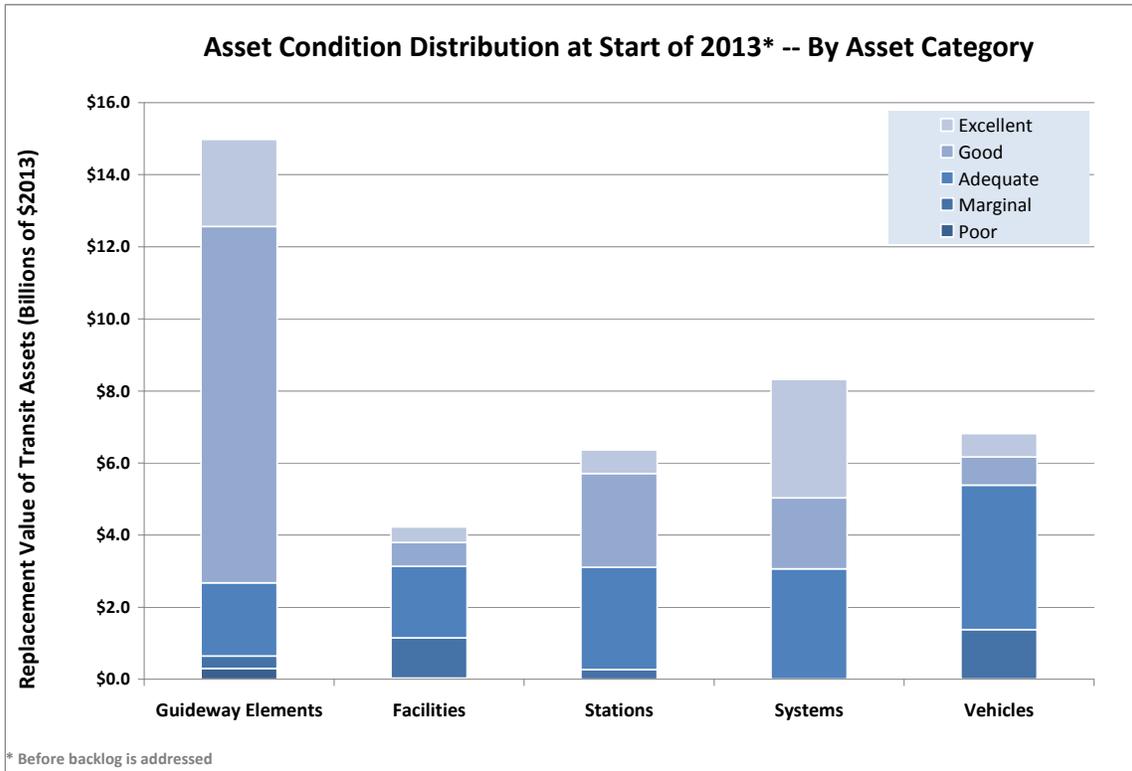


The increase in the backlog in the Maintain Current Backlog Scenario is due to inflation, because costs are expressed in year-of-expenditure dollars. The backlog is maintained at the current level in constant dollars.

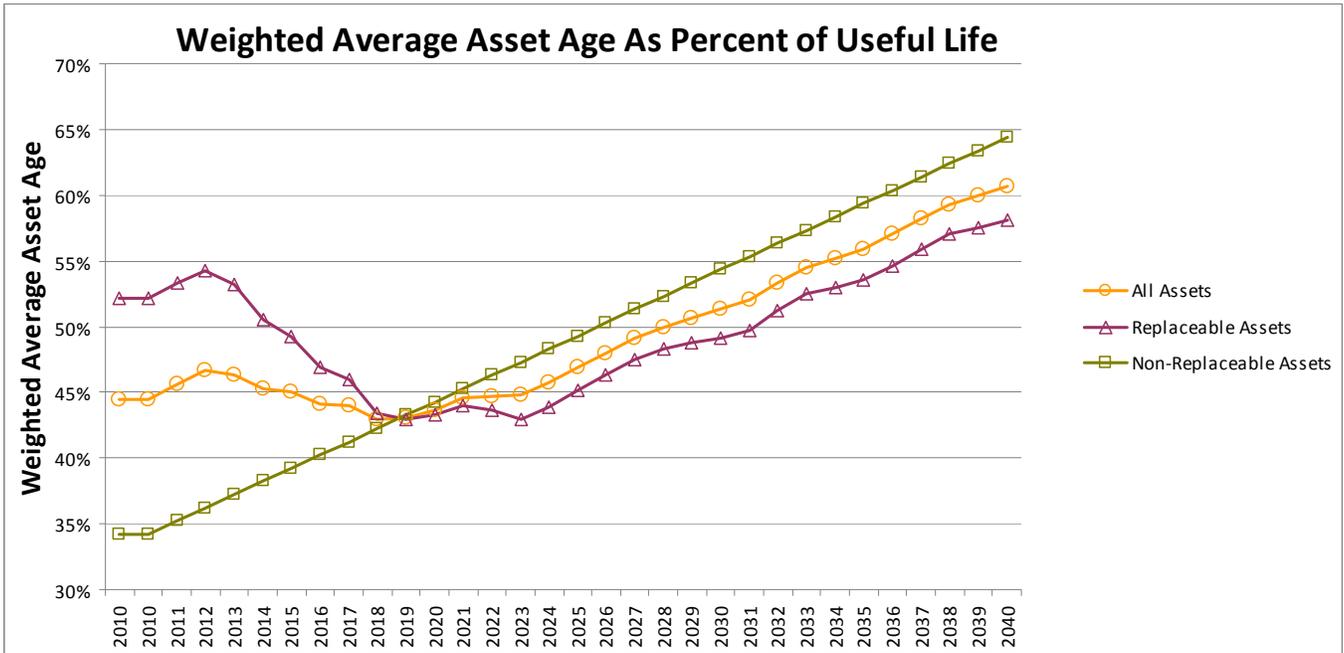
All Scenarios



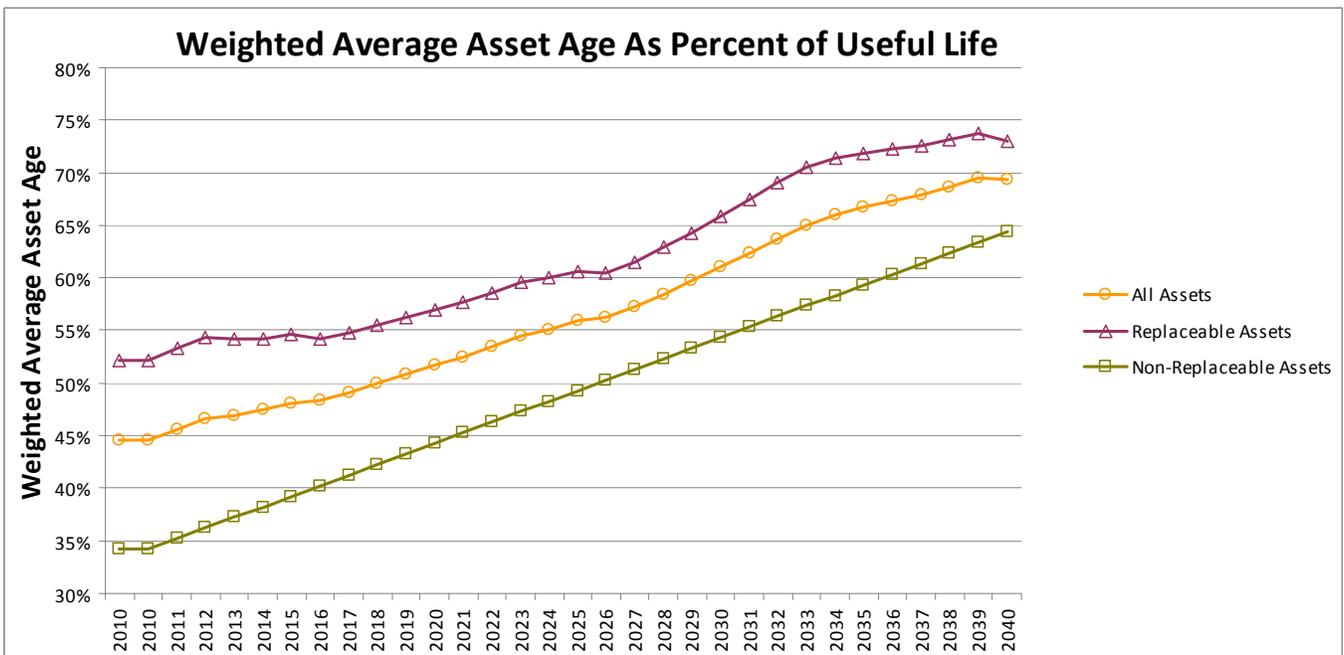
All Scenarios



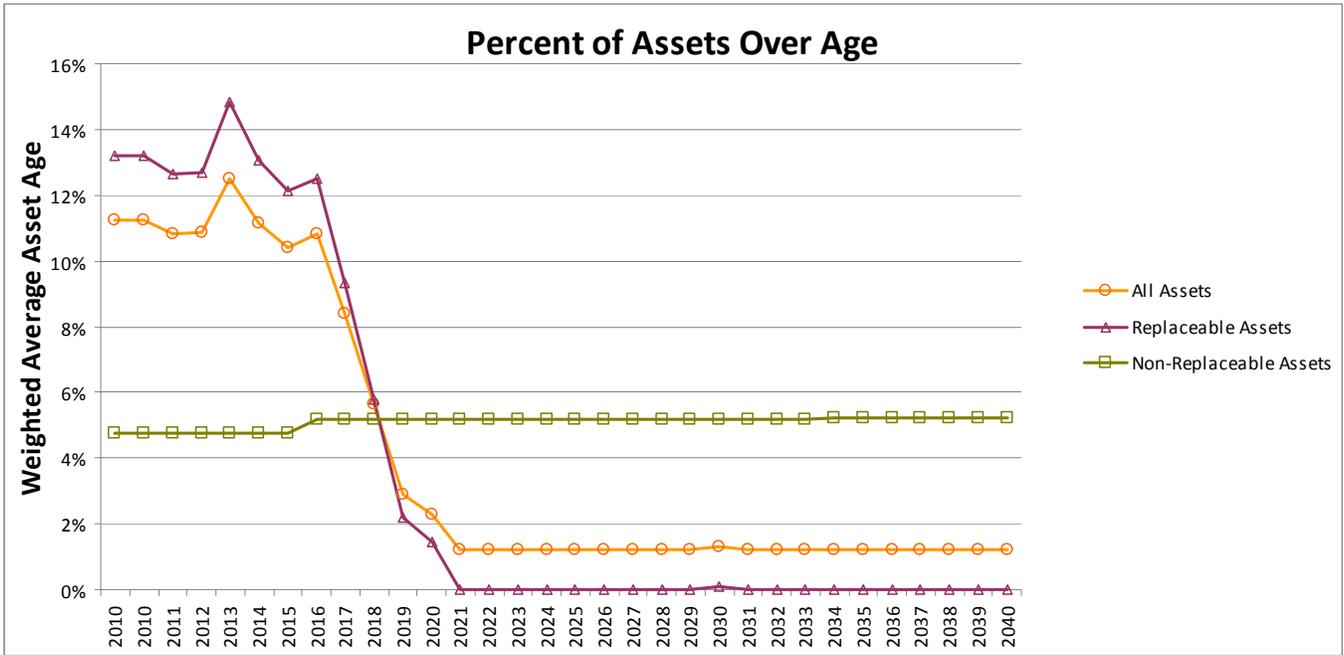
Attain SGR in 10 Years Scenario



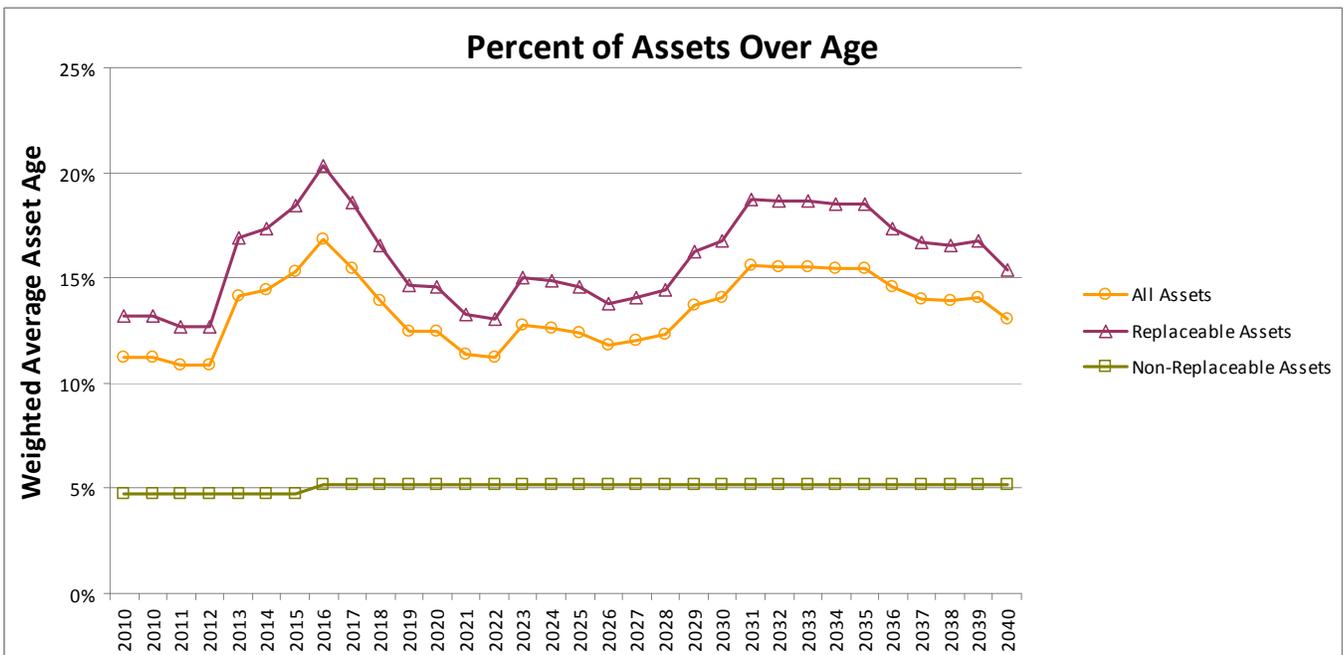
Maintain Current Backlog Scenario



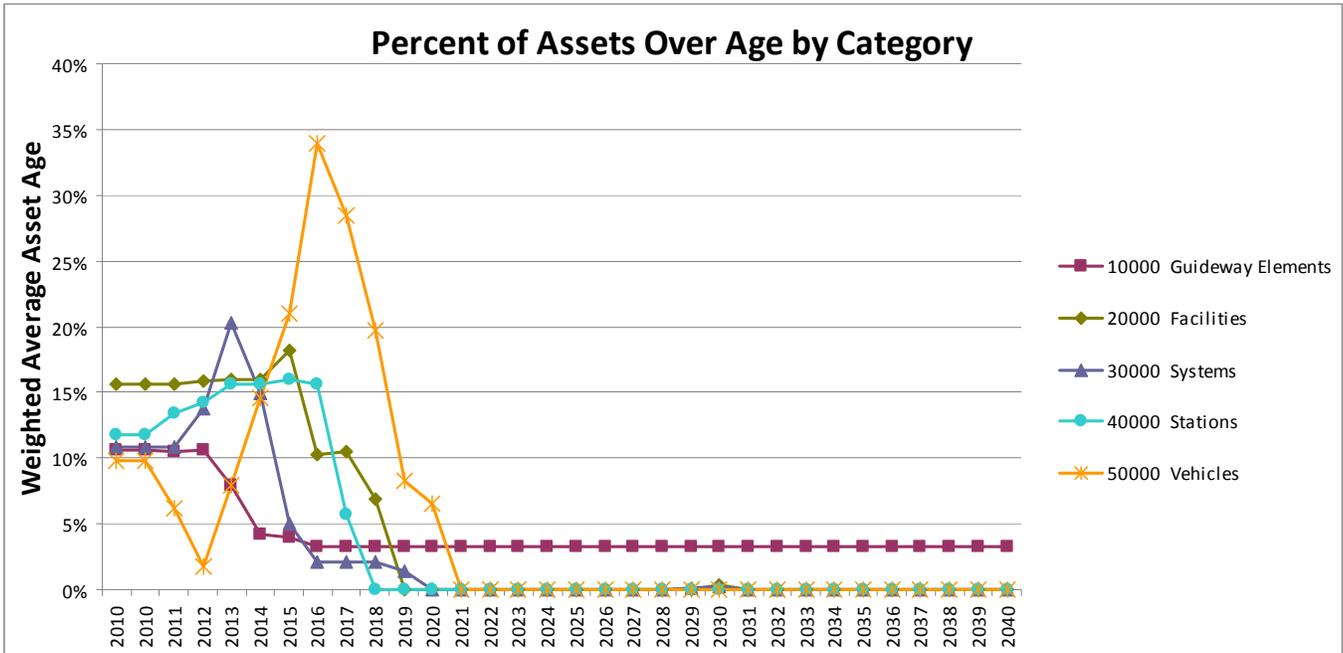
Attain SGR in 10 Years Scenario



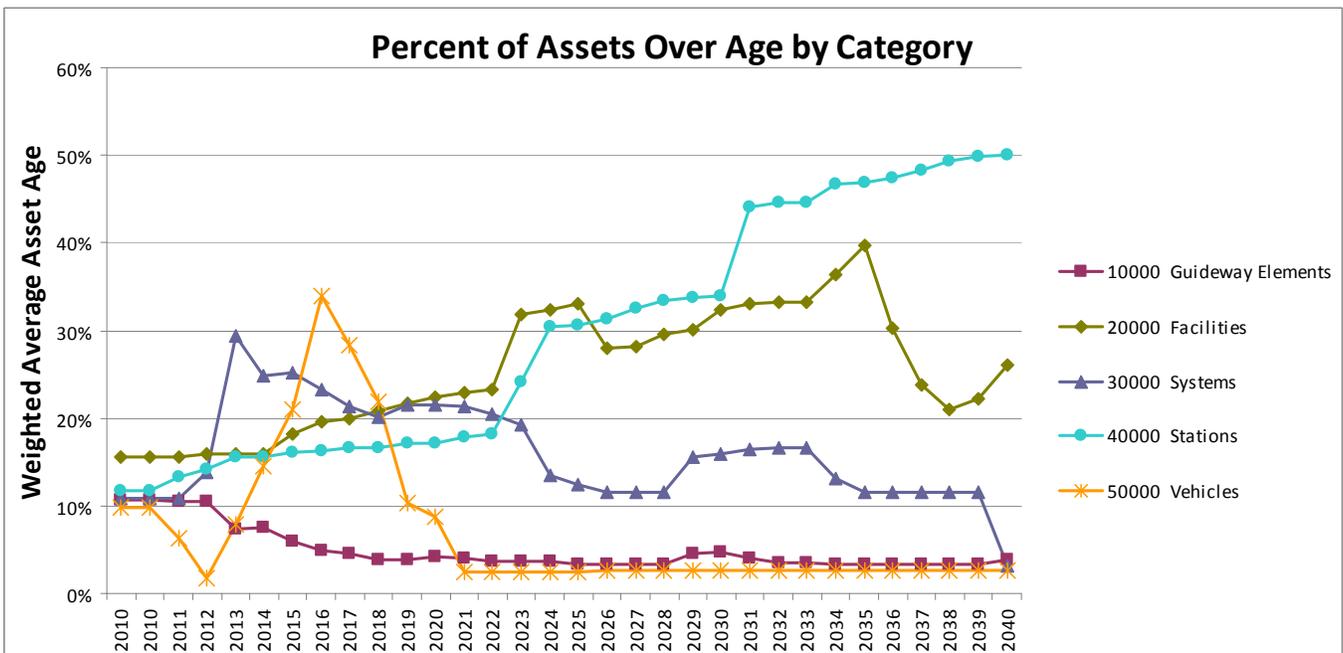
Maintain Current Backlog Scenario



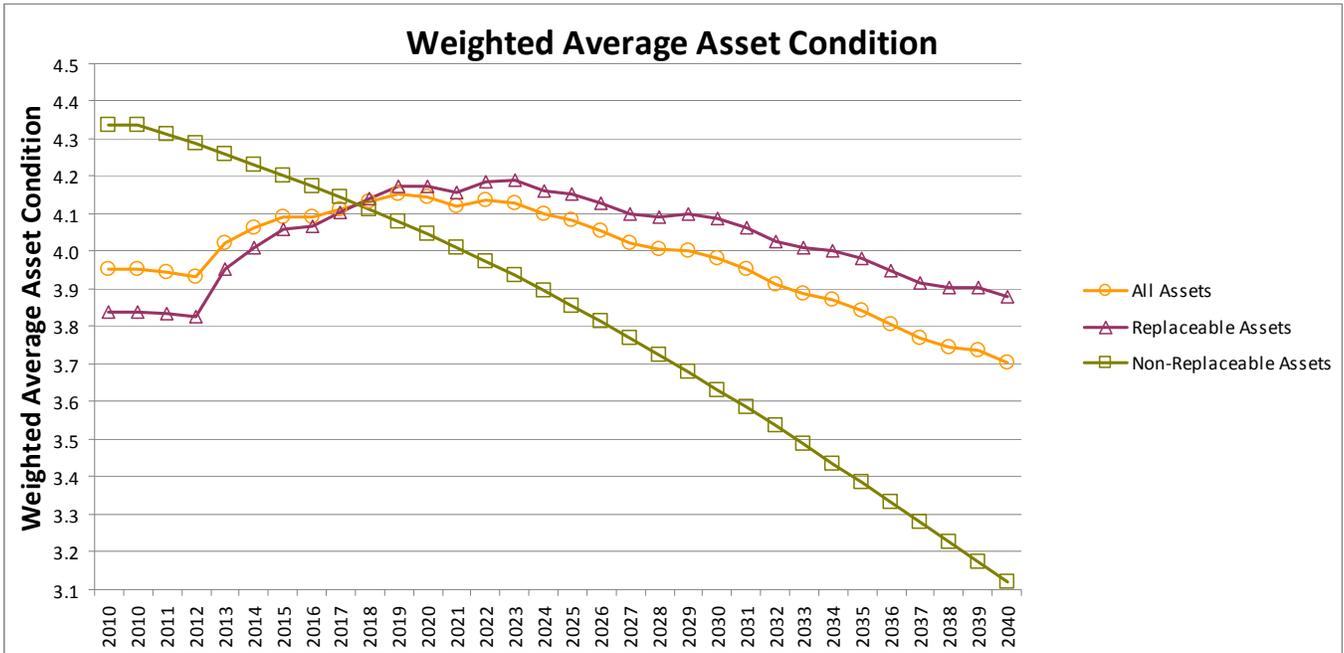
Attain SGR in 10 Years Scenario



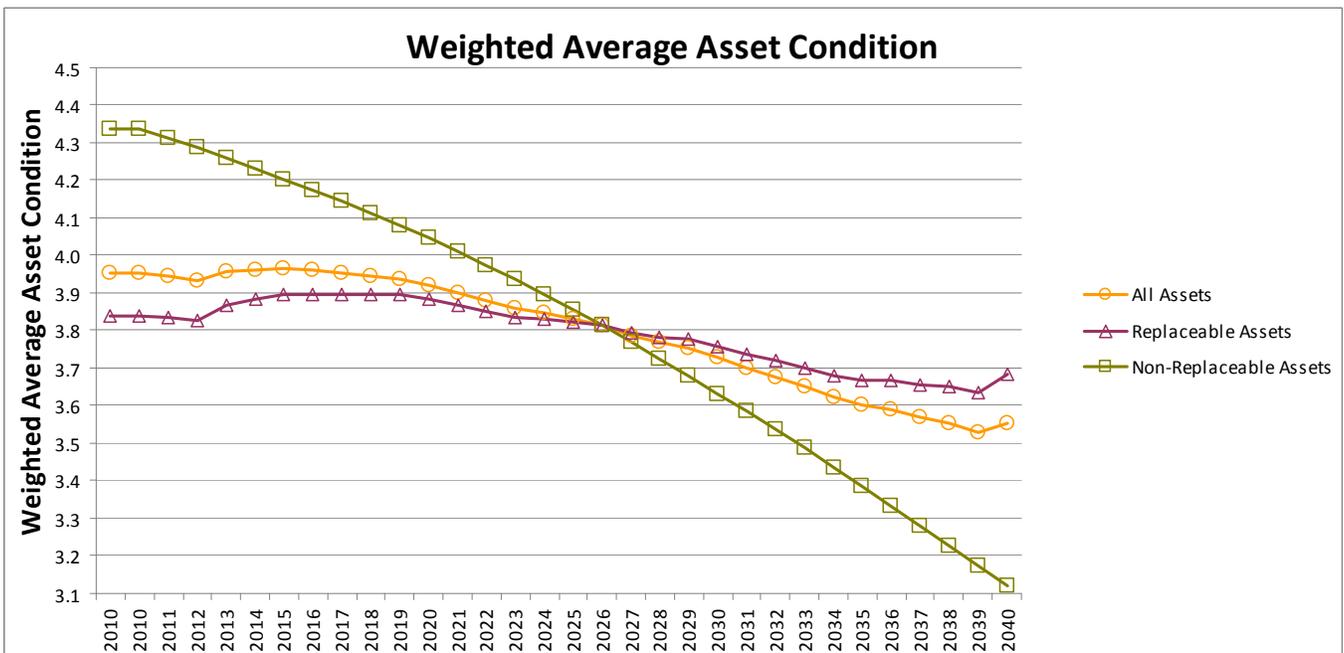
Maintain Current Backlog Scenario



Attain SGR in 10 Years Scenario



Maintain Current Backlog Scenario





METROPOLITAN
TRANSPORTATION
COMMISSION

Joseph P. Bort MetroCenter
101 Eighth Street
Oakland, CA 94607-4700
TEL 510.817.5700
TDD/TTY 510.817.5769
FAX 510.817.5848
E-MAIL info@mtc.ca.gov
WEB www.mtc.ca.gov

Memorandum

TO: Transit Finance Working Group

DATE: April 6, 2011

FR: Amy Burch

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

Upcoming and Recent Deadlines

- Due to MTC by April 8: PTMISEA population-based allocation requests (*Excel only*) for all remaining FY 2009-10 funds, and requests for FY 2010-11 funds (see Attachment 1 for program schedule)
- Due to Cal EMA by March: Investment Justifications for Transit Security projects
- Due to Cal EMA by April 30: (1) FY 2007-08 close-out reports, and (2) FY 2008-09 performance reports

CTSGP – Program Status

- FY 2010 and 2011: \$60 million appropriated each year for Transit Security program. On February 23, the Commission approved about \$5.4 million in FY 2011 population-based funds for the Transit Security program. MTC staff plan to submit an update to the Commission in May for remaining FY 2010 and 2011 population-based funds.
- FY 2008 and 2009: Requests from these fiscal years have been paid.

PTMISEA – Program Status

- FY 2011: \$1.5 billion appropriated statewide and available to allocate until June 2012. MTC staff submitted \$76 million in FY 2011 population-based requests to Caltrans in early March. MTC will program the next round of PTMISEA in May to meet Caltrans' June 1st deadline, see draft program schedule in Attachment 1.
- FY 2008, 2009 and 2010: Agencies must submit FY 2009-10 requests for PTMISEA funds by June 30, 2011. The State paid remaining FY 2008 and 2009 requests on March 9th and 15th. I will bring an updated funding summary to Wednesday's meeting.

PTMISEA and CTSGP Contact Information

- PTMISEA – Toni Jacobs 916.657.4059 toni_jacobs@dot.ca.gov
- CTSGP – Amber Lane 916.322.1901 amber.lane@calema.ca.gov
- PTMISEA website: <http://www.dot.ca.gov/hq/MassTrans/Proposition-1B.html>
- CTSGP website: <http://www.homeland.ca.gov/transitsystemsafety.html>
- MTC – Amy Burch 510.817.5735 aburch@mtc.ca.gov
- MTC – Kenneth Folan 510.817.5804 kfolan@mtc.ca.gov

DRAFT - PTMISEA FY 2010-11 Time Line

Action	Date
<i>TDA Audits due to Caltrans</i>	<i>December 31, 2010</i>
SCO distributes available funding amounts	January 2011
Caltrans distributes revised guidelines	January 5, 2011
MTC Request #1	
MTC Issues Call for Projects	January 11, 2011
Allocation Requests due to MTC	January 21, 2011
<i>Semi-annual report due to Caltrans</i>	<i>February 15, 2011</i>
<i>Certification and Assurances & board resolution</i>	<i>February 15, 2011</i>
MTC Commission adopts program	February 23, 2011
MTC staff submits allocation requests to Caltrans	March 9, 2011
MTC Request #2	
	Cycle 1 Requests Due to Caltrans June 1, 2011
MTC Issues Call for Projects	January 11, 2011
Allocation Requests due to MTC (Excel only)	April 8, 2011
MTC staff reviews requests	April 15, 2011
Allocation Requests due to MTC (wet signature)	April 22, 2011
MTC Commission adopts program	May 25, 2011
Allocation requests due to Caltrans	June 1, 2011
Authorized Agent form due to Caltrans	June 1, 2011
Caltrans releases adopted list to SCO	July 2011
SCO allocates funds for second cycle	August 2011

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

** *At this time staff anticipates that FY 2011 PTMISEA funds for the Lifeline program will be programmed as part of the next Lifeline funding cycle, expected to start in the spring or summer of 2011.*



METROPOLITAN
TRANSPORTATION
COMMISSION

Joseph P. Bort MetroCenter
101 Eighth Street
Oakland, CA 94607-4700
TEL 510.817.5700
TDD/TTY 510.817.5769
FAX 510.817.5848
E-MAIL info@mtc.ca.gov
WEB www.mtc.ca.gov

Memorandum

TO: Transit Finance Working Group

DATE: April 6, 2011

FR: Sri Srinivasan

RE: 2011 TIP Update

TIP Revision 11-05 – Amendment (Proposed)

Revision 11-05 is an amendment that revises 127 projects with a net increase in funding of \$218.9 million. Among other changes, the revision:

- Amends five new exempt projects into the TIP for approximately \$3.9 million– that were originally listed under the County Safe Routes to School (SRTS) Grouped Listing REG090071. The grouped listing is being deleted as part of this amendment;
- Amends in a new exempt project funded with TIGER II funds of approximately \$2 million: Oakland Army Base Infrastructure Master Plan (ALA110046);
- Updates the name, scope and the cost of Iron Horse Trail, Tri-Valley Transit Connector to East Bay Green Transportation Initiative (ALA110011) and adds \$7.9 million in TIGER II funds and \$7 million in Other Local funds;
- Updates the back-up lists and increases the costs for the following Caltrans managed Grouped Listings:
 - SHOPP - Roadway Preservation (MTC050009) by \$82.8 million
 - SHOPP - Collision Reduction (MTC050011) by \$73.9 million
 - SHOPP - Emergency Response (REG070001) by \$15.8 million
 - SHOPP - Mandates (VAR991003) by \$22.9 million
 - SHOPP - Bridge Rehab and Reconstruction (VAR991005) by \$29.4 million
 - Highway Bridge Program for Local Bridges (VAR991007) by \$159.8 million
- Deletes four duplicate projects from the TIP: Port of Oakland 7th Street Grade Separation (ALA070023 - \$180.2 million); City of Napa - Freeway Drive/Golden Gate CIR Project. (NAP090015 - \$793,000); Freeway Drive/Golden Gate Drive Pavement Rehab (NAP11005 - \$793,000) and Sunnyvale Ave/Old San Francisco Rd Intersection (SCL110011 - \$835,000).

Changes made with this revision do not affect the air quality conformity or conflict with the financial constraint requirements. Revision 11-05 was approved by the MTC Commission on March 23, 2011. Caltrans approval is expected on April 6, 2011 and final federal approval is expected at the end of April.

TIP Revision 11-04 – Administrative Modification (In-Process)

TIP Revision 11-03 – Amendment (Approved)

Revision 11-03 is an amendment that revises 47 projects with a net increase in funding of \$38 million. Among other changes, the revision:

- Amends in 17 new exempt Climate Initiative Program projects into the TIP – 13 of which fall under the Innovative Grants Category and 4 under the Safe Route to Schools Creative Grants Category. It also removes 5 Climate Initiative Program projects from the TIP based on finalization of the program.
- Amends in five new exempt projects funded with FTA State of Good Repair Funds of approximately \$16.9 million. Additionally, it updates the funding plan of two projects to add State of Good Repair Funds of \$36.9 million: SFMTA: Islais Creek Motor Coach Facility (SF990004) and NCTPA: Replace Rolling Stock (NAP090005).
- Amends the funding plan of AC Transit's Zero Emission Bus Advanced Demonstration project (ALA070046) to add in \$6 million in TIGGER II funding and \$2 million in matching funds.
- Amends in two new exempt projects funded with TIGER II funds of approximately \$3.3 million: Iron Horse Trail, Tri-Valley Transit Connector (ALA110011) and Grand Boulevard Initiative: Removing Barriers to Livable Communities (SM-110006).
- Updates the funding plan of the US 101 Doyle Drive Replacement project (SF-991030) to reflect changes made as part of Revision 2009-59 and to reconcile federal funding to match final obligations.

Changes made with this revision do not affect the air quality conformity or conflict with the financial constraint requirements.

Revision 11-03 was approved by the MTC Commission on December 15, 2010, Caltrans approval was received on December 29, 2010 and final federal approval was received on December 30, 2010.

TIP Revision 11-02 – Administrative Modification (Approved)

Revision 11-02 is an administrative modification that revises 35 projects with a net increase in funding of \$981,383. Among other changes, this revision:

- Updates the funding plan of the Non-motorized Transp. Projects – Marin County project (MRN090049) to add approx. \$1 million in NMTTP funds in FY11;
- Updates the Caltrans managed Grouped Listing for Collision Reduction (MTC050011) to update the back-up list and add \$610,999; and
- Updates the STP /CMAQ funded grouped listing for the County Safe Routes to School (SRTS) Program (REG090071) to update the back-up list and reduce the cost by \$622,000.

The changes made with this revision will not affect the air quality conformity or conflict with the financial constraint requirements. The revision was approved by the deputy executive director on February 17, 2011 and final Caltrans approval was received on February 18, 2011.

TIP Revision 11-01 – Administrative Modification (Approved)

Revision 11-01 is an administrative modification that revises 198 projects with a net decrease in funding of \$13.5 million. Among other changes, this revision:

- Splits five STP /CMAQ funded grouped listings: County Safe Routes to School (SRTS) Program (REG090071), Transportation Enhancements – Regional Transportation for Livable Communities (TLC) (REG090073), Pavement Resurfacing/Rehab - Local Roads System (REG110002), Regional Bike/Ped Projects (REG110003), and Transportation Enhancements – County TLC (REG110005) into 117 individual projects to allow for better tracking of the projects and reconciles project costs to actual funding in the case of existing projects; the grouped listing for County SRTS Program (REG090071) continues to be active in the TIP; all other grouped listings listed above are being archived;
- Reconciles ARRA funding on 25 projects to match final obligation amounts; and
- Updates 29 projects to reflect Caltrans' use of toll credits for all RIP-TE funds in FY11.

The changes made with this revision will not affect the air quality conformity or conflict with the financial constraint requirements. The revision was approved by the deputy executive director on January 4, 2011 and final Caltrans approval was received on January 6, 2011.

The Fund Management System (FMS) system has also been updated to reflect the approvals received. FMS is available at the following link: <http://fms.mtc.ca.gov/fms/>. Projects in all the revisions can be viewed at: <http://www.mtc.ca.gov/funding/tip/revisions.htm>.

The 2011 TIP revision schedule (Attachment A) has been posted at the following link: http://www.mtc.ca.gov/funding/tip/2011/2011_TIP_Revision_Schedule.pdf and project sponsors are requested to submit revision requests before 5:00 PM on the stated deadlines.

If you have any questions regarding any TIP project, please contact Adam Crenshaw at (510) 817-5794 or acrenshaw@mtc.ca.gov or Sri Srinivasan at (510) 817-5793 or ssrini@mtc.ca.gov.

Attachments:

A - 2011 TIP Revision Schedule as of February 18, 2011

J:\COMMITTEE\Partnership\Partnership TFWG_Transit Finance WG\2011\11 Memos\04_April\11_0_2011_TIP_Update.doc

METROPOLITAN TRANSPORTATION COMMISSION
TRANSPORTATION IMPROVEMENT PROGRAM (TIP)
TENTATIVE 2011 TIP REVISION SCHEDULE (SUBJECT TO CHANGE)
as of February 23, 2011

REVISION TYPE	REVISION NUMBER	AMENDMENT REQUEST SUBMISSION DEADLINE	MTC APPROVAL*	STATE APPROVAL*	FED. APPROVAL*	APPROVAL STATUS	TIP REVISION FINAL APPROVAL DATE
Admin. Modification	11-01	November 18, 2010	January 4, 2011	January 6, 2011	N/A	Approved	January 6, 2011
Admin. Modification	11-02	December 30, 2010	February 17, 2011	February 18, 2011	N/A	Approved	February 18, 2011
Amendment	11-03	October 29, 2010	December 15, 2010	December 29, 2010	December 30, 2010	Approved	December 30, 2010
Admin. Modification	11-04	February 24, 2011	March 31, 2011	April 8, 2011	N/A	Pending	TBD
Amendment	11-05	January 27, 2011	March 23, 2011	April 6, 2011	April 29, 2011	In-Process	TBD
Admin. Modification	11-06	April 28, 2011	May 31, 2011	June 9, 2011	N/A	TBD	TBD
Amendment	11-07	March 31, 3011	May 25, 2011	June 8, 2011	June 30, 2011	TBD	TBD
Admin. Modification	11-08	June 30, 2011	July 29, 2011	August 12, 2011	N/A	TBD	TBD
Amendment	11-09	May 26, 2011	July 27, 2011	August 10, 2011	August 31, 2011	TBD	TBD
Admin. Modification	11-10	August 25, 2011	September 28, 2011	October 12, 2011	N/A	TBD	TBD
Amendment	11-11	July 28, 2011	September 28, 2011	October 12, 2011	November 2, 2011	TBD	TBD
Admin. Modification	11-12	October 27, 2011	November 30, 2011	December 14, 2011	N/A	TBD	TBD
Amendment	11-13	September 29, 2011	November 23, 2011	December 7, 2011	January 4, 2012	TBD	TBD
Amendment	11-14	November 24, 2011	January 25, 2012	February 8, 2012	February 29, 2012	TBD	TBD

Kindly Note:

* Future approval dates are expected dates and are subject to change