

THE BAY AREA PARTNERSHIP

Partnership Technical Advisory Committee

November 18, 2013, **1:30 p.m. – 3:30 p.m.**

MetroCenter, **1st Floor, AUDITORIUM**

101 - 8th Street, Oakland, CA 94607

AGENDA

Estimated Time
for Agenda Item

1. Introductions (*Bob Macaulay, Chair*) **1:30 p.m.**
2. Partnership Reports:
 - Partnership Transit Finance Working Group
Chair: Jeffery Ballou, VTA
The Transit Finance Working Group meets on November 5, 2013.
 - Joint Partnership Local Streets and Roads/ Programming and Delivery Working Group*
Chair: Eileen Ross, SFMTA; Co-Chair: Craig Tackabery, Marin County PW
The Joint Partnership Local Streets and Roads/Programming and Delivery Working Group meets on December 5, 2013
3. Committee Member Reports
4. Nominations and Appointment for CY2014 PTAC Chair/Vice-Chair (*Bob Macaulay, Chair*)
(*The Committee is asked to consider the Transit Finance Working Group's recommended nominee for Vice-Chair to serve for the remainder of CY 2013 and eventual Chair for CY 2014.*)

DISCUSSION ITEMS

1:40 p.m.

5. Legislative Report (*Rebecca Long*)
(*The Legislation Committee meets the 2nd Wednesday of each month. Updates on current legislation can be found online at: <http://www.mtc.ca.gov/legislation/>*)
6. Plan Bay Area Investment Implementation.* (*Anne Richman*)
 - i. Cap and Trade Revenue Framework
(*Staff will present an overview of proposed principles for the Cap and Trade revenues as well as a Core Capacity Challenge Grant Program, a plan staff is developing to target federal, state and regional funds to high-priority transit capital projects that will improve the capacity and state of good repair of transit services in the urban core of the region.*)
 - ii. Transit Core Capacity Challenge Grant Program
7. Proposed Revisions to Regional Project Delivery Policy* (*Craig Goldblatt*)
(*Staff will present the proposed revisions/update to Regional Project Delivery Policy - Resolution 3606*)

INFORMATION ITEMS / OTHER BUSINESS

3:15 p.m.

8. MAP-21 and Performance Measures / Asset Management Update** (*Dave Vautin / Melanie Choy*)
9. 2013 TIP Revision Update*
(*The current TIP and subsequent TIP Revisions are available online at:
<http://www.mtc.ca.gov/funding/tip/2011/revisions.htm>.*)
10. Recommended Future Agenda Items (*All*)
11. Public Comment

Next meeting on:

TBD

1:30 p.m. - 3:30 p.m.

MetroCenter, 1st Floor, Auditorium

101-8th Street, Oakland 94607

* Agenda Items attached

** Agenda Items with attachments to be distributed at the meeting.

MTC Staff Liaison: Contact Kenneth Folan at 510.817.5804 or kfolan@mtc.ca.gov regarding this agenda.

Public Comment: The public is encouraged to comment on agenda items at committee meetings by completing a request-to-speak card (available from staff) and passing it to the committee secretary. Public comment may be limited by any of the procedures set forth in Section 3.09 of MTC's Procedures Manual (Resolution No. 1058, Revised) if, in the chair's judgment, it is necessary to maintain the orderly flow of business.

Record of Meeting: MTC meetings are recorded. Copies of recordings are available at nominal charge, or recordings may be listened to at MTC offices by appointment. Audiocasts are maintained on MTC's Web site for public review for at least one year.

Transit Access to the MetroCenter: BART to Lake Merritt Station. AC Transit buses: #11 from Piedmont and Montclair; #26 from MacArthur BART; #62 from East or West Oakland; #88 from Berkeley. For transit information from other Bay Area destinations, call 511 or use the 511 Transit Trip Planner at www.511.org to plan your trip.

Parking at the MetroCenter: Metered parking is available on the street. No public parking is provided at the MetroCenter. Spaces reserved for Commissioners are for the use of their stickered vehicles only; all other vehicles will be towed away.

Accessibility and Title VI: MTC provides services/accommodations upon request to persons with disabilities and individuals who are limited-English proficient who wish to address Commission matters. For accommodations or translations assistance, please call 510.817.5757 or 510.817.5769 for TDD/TTY. We require three working days' notice to accommodate your request.

可及性和法令第六章: MTC 根據要求向希望來委員會討論有關事宜的殘疾人士及英語有限者提供服務/方便。需要便利設施或翻譯協助者，請致電 510.817.5757 或 510.817.5769 TDD / TTY。我們要求您在三個工作日告知，以滿足您的要求。

Acceso y el Título VI: La MTC puede proveer asistencia/facilitar la comunicación a las personas discapacitadas y los individuos con conocimiento limitado del inglés quienes quieran dirigirse a la Comisión. Para solicitar asistencia, por favor llame al número 510.817.5757 o al 510.817.5769 para TDD/TTY. Requerimos que solicite asistencia con tres días hábiles de anticipación para poderle proveer asistencia.

Meeting Conduct: In the event that any public meeting conducted by MTC is willfully interrupted or disrupted by a person or by a group or groups of persons so as to render the orderly conduct of the meeting unfeasible, the Chair may order the removal of those individuals who are willfully disrupting the meeting. Such individuals may be subject to arrest. If order cannot be restored by such removal, the members of the committee may direct that the meeting room be cleared (except for representatives of the press or other news media not participating in the disturbance), and the session may continue on matters appearing on the agenda.



TRANSIT FINANCE WORKING GROUP (TFWG) MEETING AGENDA

WEDNESDAY, NOVEMBER 6, 2013, 10:00 A.M. – 12:00 P.M.
METROCENTER, 3RD FLOOR, FISHBOWL CONFERENCE ROOM
101 EIGHTH STREET, OAKLAND, CA 94607

Estimated Time

Discussion Items

- | | |
|---|--------|
| 1. Introductions | 3 min |
| 2. Legislative Update (<i>Rebecca Long, MTC</i>) | 5 min |
| 3. FTA Updates | |
| a. FTA Proposed Guidance on Metropolitan Planning Organization Representation* (<i>Rebecca Long, MTC</i>) | 10 min |
| b. Advanced Notice of Proposed Rulemaking on Safety and Transit Asset Management* (<i>Melanie Choy</i>) | 10 min |
| c. FTA Section 5311 Rural Area Formula Program Proposed Circular* (<i>Glen Tepke</i>) | 10 min |
| 4. FTA Grants Status Update* (<i>Glen Tepke</i>) | 10 min |
| 5. Transferring Flex Funds** (<i>Craig Goldblatt, MTC</i>) | 10 min |
| 6. Plan Bay Area Investment Implementation (<i>Anne Richman</i>) | 5 min |
| 7. CARB Zero Emission Bus Regulation Update* (<i>Glen Tepke</i>) | 10 min |

Information Items / Other Items of Business:

- | | |
|---|-------|
| 8. Prop 1B Update: Transit (PTMISEA) and Transit Security (CTSGP)* (<i>Kenneth Folan, MTC</i>) | 5 min |
| 9. TIP Update* (<i>Adam Crenshaw, MTC</i>) | 5 min |
| 10. FTA (NOFA): Solicitation of Project Proposals for Innovative Safety, Resiliency, and All-Hazards Emergency Response and Recovery Research Demonstrations* (memo only) | 1 min |
| 11. Recommended Future Agenda Items (<i>All</i>) | 2 min |

Next Transit Finance Working Group Meeting:

Wednesday, December 4, 2013
10:00 A.M. – 12:00 P.M.
Fishbowl 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.

Metropolitan Transportation Commission Programming and Allocations Committee

November 13, 2013

Item Number 3a.i.

Draft Cap and Trade Funding Framework

Subject: Release of Draft Cap and Trade Funding Framework for Public Comment and Review

Background: Plan Bay Area included a \$3.1 billion reserve from future Cap and Trade funding. The specific set of expenditures for these funds was to be subject to further deliberation with partner agencies and public input. The investment strategy for the funding was to be consistent with the focused land use strategy outlined in Plan Bay Area. Further, the investment process for project and program selection was to ensure that at least 25% of the Cap and Trade funding benefit disadvantaged communities in the Bay Area.

Attachment A proposes principles and a set of investment categories for Cap and Trade Funding that aligns well with the objectives of Plan Bay Area, with the following focus areas:

Funding Category	Amount (\$ millions)
1. Core Capacity Challenge Grants (Transit Capital Program)	800
2. Transit Operating and Efficiency Program	450
3. One Bay Area Grants	1,050
4. Climate Initiatives	400
5. Goods Movement	450
TOTAL	\$3,150

As outlined in the proposed principles, each investment category should have a strong link to greenhouse gas emission reductions and benefit disadvantaged communities. As an example, the Core Capacity Challenge Grant program is focused on AC Transit, BART, and SFMTA – systems that carry over 80% of the region’s overall transit riders as well as more than three-quarters of the low-income and minority passengers. Each program as it is developed will require evaluation for its benefits to greenhouse gas emission reductions and disadvantaged communities.

Staff is seeking input on this draft funding framework, and will return in December to seek approval following public input and review by MTC’s Advisory Council.

While the Legislature has not yet finalized the funding structure and eligible uses, AB 574 (Lowenthal) seeks to reserve California cap and trade allowance revenue from transportation fuels for transportation-related expenditures, with some portion being subvented to Metropolitan Planning Organizations, including MTC. The eligible projects included in AB574 are broad in scope and generally align well with those identified in the Draft Cap and Trade Revenue Framework.

Issues: None.

Recommendation: This is an informational item.

Attachments: Draft Cap and Trade Revenue Framework
6 Wins Letter on PBA Cap and Trade to MTC and ABAG

J:\COMMITTE\PAC\2013 PAC Meetings\11_Nov'13_PAC\3ai_CapandTradeArchitecture.docx

Draft Bay Area Cap and Trade Funding Framework

Cap and Trade Reserve Investment Principles

1. Cap and Trade Funds must have a strong nexus to Greenhouse Gas (GHG) reduction
2. Distribution of the estimated \$3.1 billion in available funds will serve to strategically advance the implementation of Plan Bay Area and related regional policies
3. Investment Categories and related Policy Initiatives will be structured to provide co-benefits and opportunities to leverage investments across categories and from multiple sources (public and private).
4. All Investment Categories should include funding that benefits disadvantaged communities. The Committees are defined as MTC's Communities of Concern.

Cap and Trade Reserve Funding Categories

1. Core Capacity Challenge Grants (Transit Capital Program)

Plan Bay Area identifies a remaining need of \$17 billion over nearly three decades to achieve an optimal state of repair for the region's public transit network. The plan's in-fill and transit-oriented growth strategy relies on a well-maintained transit system to meet greenhouse gas emissions reduction targets and other plan performance objectives.

Proposal:

- Invest \$800 million over the life of Plan Bay Area
- The proposed Core Capacity Challenge Grant Program:
 - a) accelerates fleet replacement and other state of good repair projects from Plan Bay Area, including "greening" the fleet and other strategic capital enhancements
 - b) focuses on BART, SFMTA, and AC Transit – transit operators that carry 80% of region's passengers, account for approximately 75% of the plan's estimated transit capital shortfall, and serve PDAs that are expected to accommodate the lion's share of the region's housing and employment growth
 - c) achieves roughly \$7 billion in total state of good repair investment by leveraging other regional discretionary funds and requiring a minimum 30% local match from the three operators
 - d) participating operators must meet the Transit Sustainability Project's performance objectives outlined in MTC Resolution No. 4060

2. Transit Operating and Efficiency Program

Plan Bay Area fully funds existing transit service levels at nearly \$115 billion over the three decade period, with an assumption that the largest transit operators achieve near-term performance improvements. However, the plan also identifies the importance of a more robust and expanded public transit network, anchored by expanded local service, as a key ingredient for success of Plan Bay Area's growth strategy. In particular, the plan falls short of the funding

**Programming and Allocations Committee
November 13, 2013**

necessary to meet the performance target of growth in the non-auto mode share to 26 percent of all trips.

Proposal:

- Invest \$450 million over the life of Plan Bay Area
- Operating investments and capital investment that create operating efficiencies must be consistent with the recommendations of the Transit Sustainability Project and focus on improving service and attracting riders in the most cost-effective manner
- Operating and capital investments also will be constrained by the availability of cap and trade funds on a predictable, ongoing basis

3. One Bay Area Grants

Plan Bay Area invests over \$14 billion in transportation improvements concentrated near high quality transit and higher density housing – through the One Bay Area grant program – focusing on complete streets, bicycle and pedestrian facilities, and streetscape improvements. The Plan identifies a remaining need of \$20 billion over the next three decades to achieve a PCI score of 75, the Plan’s adopted performance target for pavement; of this, roughly 45% is for non-pavement infrastructure, critical for complete streets that would serve alternative modes and transit-oriented development that is a key part of Plan Bay Area’s growth strategy. Further, the provision of housing for low and moderate income households in areas that provide access to jobs was identified in Plan Bay Area as critical to sustaining the region’s economic growth and attaining the Plan’s GHG and Housing Targets. To address this need, transit-oriented, workforce housing will also be an eligible use of the cap and trade OBAG funding.

Proposal:

- Invest \$1,050 million to augment the One Bay Area Grant Program
- Congestion Management Agencies will administer the funds as in the OBAG program
- Distribution formula and eligible uses of the funds will be consistent with the OBAG program with the addition of transit-oriented, workforce housing , consistent with the nexus requirements for cap and trade revenue
- Counties can opt to use OBAG funding for workforce housing to leverage additional funding from the private sector and foundations
- Priority Development Area Growth and Investment Strategies will serve as a guide to investment priorities

4. Climate Initiatives

The Climate Initiatives Program is a multi-agency program focused on investments in technology advancements and incentives for travel options that help the Bay Area meet the GHG emission reduction targets related to SB375.

**Programming and Allocations Committee
 November 13, 2013**

Proposal:

- Invest \$400 million for the Climate Initiatives Program over the life of Plan Bay Area, including \$75 million to support the county Safe Routes to School programs
- Investments will be focused on those programs that prove most cost-effective at reducing emissions based on evaluations of the existing programs
- MTC will partner with the Air District, other regional and local partners, and the private sector to build upon successful existing programs and leverage other funds

5. Goods Movement

Goods movement investments fall into two categories: (1) projects focused on improving the efficiency of the movement of goods within and through the region, and (2) mitigation projects that reduce the associated environmental impacts on local communities. MTC is currently working with Caltrans and selected Congestion Management Agencies to update the regional goods movement program and to inform the California Freight Mobility Plan. These efforts are identifying goods movement projects as well as the need for mitigations for the localized impacts. These efforts can inform future program development and investment decisions related to goods movement projects.

Proposal:

- Invest \$450 million for goods movement projects over the life of Plan Bay Area
- Leverage existing air quality and transportation funds and seek additional funds to continue to implement BAAQMD and CARB programs aimed at retrofits and replacements of trucks and locomotives including:
 - a) private sector,
 - b) county funding (ACTC committed \$240 million to goods movement in measure B1),
 - c) regional (BAAQMD Carl Moyer funding), and
 - d) reauthorization of the federal surface transportation program.

Funding Category	Amount (\$ millions)
6. Core Capacity Challenge Grants (Transit Capital Program))	800
7. Transit Operating and Efficiency Program	450
8. One Bay Area Grants	1,050
9. Climate Initiatives	400
10. Goods Movement	450
TOTAL	\$3,150

J:\COMMITTEE\PAC\2013 PAC Meetings\11_Nov'13_PAC\3ai_CapandTradeArchitecture.docx

November 1, 2013

Amy Worth, Chair, and Members
Metropolitan Transportation Commission
Mark Luce, President, and Members
Association of Bay Area Governments

**Re: Principles for Implementing Plan Bay Area's Amendment on
Regional Cap and Trade Revenue Allocation**

Dear MTC Chair Worth, ABAG President Luce and Members:

As you prepare to launch the Bay Area's process for setting priorities for Cap and Trade revenue, we write to provide background on the close connection of AB 32 revenues with the needs of disadvantaged communities, and to offer a social and economic justice framework for a Cap and Trade process that will benefit our entire region. Dozens of organizations from around the Bay, including 6 Wins members and allies, stand eager to participate in the process by which the region will determine how best to spend this important new source of funds.

We applaud MTC and ABAG for adopting the amendment proposed by Supervisor John Gioia to ensure transparency and equity in the allocation of Cap and Trade funds in the Bay Area. Plan Bay Area commits MTC and ABAG to conducting "a transparent and inclusive regional public process" for the allocation of AB 32 Cap and Trade revenues in the region and guarantees that "at least 25 percent of these revenues will be spent to benefit disadvantaged communities in the Bay Area."¹ These regional commitments are in line with AB 32's goal of "direct[ing] public and private investment toward the most disadvantaged communities in California and providing opportunities for "community institutions to participate in and benefit from statewide efforts to reduce greenhouse gas emissions. "Plan Bay Area also builds on SB 535's requirement that at least 25 percent of Cap and Trade revenues be targeted to "projects that provide benefits to [disadvantaged] communities," with at least 10 percent to projects "located within" these communities.²

Cap and Trade revenues provide our region with an important opportunity to allocate funds to a variety of projects that reduce GHG emissions and improve public transit, land use patterns, public health and quality of life.

To meet the objectives of both state law and regional policy - and to achieve a better Bay Area for *all* our residents - Cap and Trade spending in the Bay Area should be governed by the following principles:

1. **Ensure Full Transparency and Accountability in Decision Making.** It is critical that MTC and ABAG stay true to Plan Bay Area's commitment to "a transparent and inclusive" regional public process for prioritizing Cap and Trade expenditures. A timeline for decision

¹ See "Summary of Major Revisions to Draft Plan Bay Area," amendment 48, available at http://www.mtc.ca.gov/planning/plan_bay_area/.

² Health & Saf.Code §§ 38501 (h), 38565, 39713.

making and public participation should be developed promptly in consultation with membership groups and their community members from around the region. Key decision points should be identified, and opportunities for local and regional input should be provided for. Any MTC and ABAG consultations with Congestion Management Agencies, and the outcomes of those meetings, should be made public. Finally, all agencies responsible for carrying out projects funded with Cap and Trade dollars should be held accountable to ensure that promised benefits are delivered, measured and reported.

2. Prioritize the Needs of Communities Suffering the Greatest Toxic Exposures. A significant portion of our region's Cap and Trade revenues should be dedicated to reduce emissions and cumulative health risks *in* the communities suffering the greatest exposure to air and other toxic contaminants. The needs of disadvantaged communities should be the first ones addressed in the Cap and Trade revenue expenditures since they are the most heavily and disproportionately burdened by the health impacts of GHGs and co-pollutants, and potentially at risk of further localized burdens as a result of the Cap and Trade system itself. In 2000, diesel PM alone contributed to 2,900 premature deaths compared to 2,000 deaths by homicide.³ Co-pollutants emitted with GHGs, such as PM 2.5, are responsible for more annual deaths in California than caused by car accidents, murders and AIDS combined.⁴ Investing in these communities maximizes the environmental and economic co-benefits, as required by AB 32, by reducing the most hazardous emissions with the greatest human health impact first.

These heavily-burdened communities should play a central role in determining the regional and localized priorities that guide expenditure of this first tier of funds. Expenditures to address these needs should be subject to strict requirements. The funds should be: (a) spent in accordance with a clear plan to address priority community needs (such as a Community Risk Reduction Plan or an updated Community Based Transportation Plan); (b) maximize jobs and other co-benefits for community residents, and (c) ensure that residents are not displaced by the rising land values that are likely to accompany the clean-up of their communities.

3. Ensure that *all* Cap and Trade Revenue Benefits Low-Income Families Across the Region. The remainder of Cap and Trade revenues should be allocated region-wide with a focus on ensuring benefits to low-income communities and residents throughout the Bay Area by focusing on community-stabilizing investments such as improved local transit service, reduced fares, and affordable housing. The Investment Plan for Cap and Trade revenues that CARB and the Department of Finance adopted last spring⁵ includes funding transit operations and affordable TOD housing as important and appropriate expenditures to implement SB 375. Your analysis of the Equity, Environment and Jobs (EEJ) alternative showed that these investments deliver benefits to *all* Bay Area residents. Building on the OBAG program, these investments should also require local jurisdictions to put in place effective anti-displacement and affordable housing measures as a condition of receiving funds, to ensure that people of all

³ Air Resources Board, "Facts about Reducing Pollution from California's Trash Trucks," available at <http://www.arb.ca.gov/msprog/swcv/consumerfactsheet3.pdf>.

⁴ Environmental Working Group, "Particle Civics," available at <http://static.ewg.org/reports/2002/ParticleCivics.pdf>.

⁵ Available at http://www.arb.ca.gov/cc/capandtrade/auctionproceeds/final_investment_plan.pdf.

income levels are able to benefit from neighborhood improvements from public investments.

4. Leverage All Funding to Create Quality Jobs and Economic Opportunity for Those Who Need it Most. Finally, each dollar of Cap and Trade money spent for any use should carry appropriate policies to ensure that it creates quality jobs and economic opportunities. These policies include: hiring of disadvantaged or underrepresented Bay Area residents; collaboration with local Workforce Investment Boards and community-based workforce programs; where appropriate, utilization of state-certified apprentices on building and construction projects, and paid interns in other industries where feasible; prevailing wages on construction jobs; and living wages with health coverage on permanent jobs.

These policies would not only comply with the mandate of state law that the funds achieve economic co-benefits, but would also advance Plan Bay Area's commitment that MTC and ABAG will "identify job creation and career pathway strategies including local best practices on apprenticeship programs, and local hire and standard wage guidelines," and will utilize these strategies "in the implementation of the current Plan Bay Area."⁶ These economic standards should apply as broadly as possible, whether the dollars are spent on direct hiring or are distributed to contractors or subcontractors, to consultants, on marketing and outreach, as incentive payments or through other avenues.

Thank you for this opportunity to offer a principled framework for the upcoming discussion of Cap and Trade priorities.

Sincerely,

Miya Yoshitani, Associate Director
Asian Pacific Environmental Network

Carl Anthony and Paloma Pavel
Breakthrough Communities

Michael Rawson, Director
California Affordable Housing Law Project

Wendy Alfsen, Executive Director
California WALKS

Dawn Phillips, Co-Director of Program
Causa Justa :: Just Cause

Tim Frank, Director
Center for Sustainable Neighborhoods

⁶ See "Summary of Major Revisions to Draft Plan Bay Area," amendment 69, available at http://www.mtc.ca.gov/planning/plan_bay_area/.

Bill Magavern, Policy Director
Coalition for Clean Air

Steering Committee
Ditching Dirty Diesel Collaborative

Nikki Fortunato Bas, Executive Director
East Bay Alliance for a Sustainable Economy (EBASE)

Gloria Bruce, Deputy Director
East Bay Housing Organizations

John Claassen, Chair, Leadership Council
Genesis

Vien Truong, Director, Environmental Equity
Greenlining Institute

John Young, Executive Director
Marin Grassroots

Myesha Williams, Co-Director
New Voices Are Rising Project

Dianne J. Spaulding, Executive Director
The Non-Profit Housing Association of Northern California

Judith Bell, President
PolicyLink

Richard Marcantonio, Managing Attorney
Public Advocates Inc.

Azibuike Akaba, Environmental Policy Analyst
Regional Asthma Management and Prevention

Jill Ratner, President
Rose Foundation for Communities & the Environment

Bill Nack, Business Manager
San Mateo County Building Trades Council

Belén Seara, Director of Community Relations
San Mateo County Union Community Alliance

Neil Struthers, Chief Executive Officer
Santa Clara & San Benito Counties Building & Construction Trades Council

Peter Cohen, Co-Director
SF Council of Community Housing Organizations

Bob Planthold, Chair
SF Bay Walks

Ben Field, Executive Officer
South Bay AFL-CIO Labor Council

Denise Solis, Vice President for Northern California
United Service Workers West, SEIU

Bob Allen, Acting Executive Director
Urban Habitat

Nancy Holland, Founder
Walk & Roll Berkeley

Margaret Gordon, Co-Director
West Oakland Environmental Indicators Project

Derecka Mehrens, Executive Director
Working Partnerships USA

Cc: Steve Heminger, MTC
Ezra Rapport, ABAG
Sup. John Gioia, CARB and BAAQMD

Metropolitan Transportation Commission Programming and Allocations Committee

November 13, 2013

Item Number 3.a.ii.

Transit Core Capacity Challenge Grant Program

Subject: Proposed Core Capacity Challenge Grant Program, targeting federal, state and regional funds to high-priority transit capital projects between 2015 and 2030.

Background: This item presents a staff proposal to address funding for transit capital replacement and rehabilitation needs as well as for key transit infrastructure enhancements needed to support future transit service expansion. Plan Bay Area identifies a total funding shortfall of \$17 billion over 28 years to achieve an optimal state of good repair for the region's transit system. Further, the Plan's in-fill and transit oriented growth strategy relies on a well maintained transit system to meet performance targets. This item responds to the Plan's overall strategy by identifying funding for the next fifteen years to support transit capital needs for the region's three largest transit operators.

The approximately \$7 billion Core Capacity Challenge Grant proposal:

- Focuses on the San Francisco Municipal Transportation Agency (SFMTA), BART, and AC Transit – the three transit operators that carry over 80% of the region's passengers as well as more than three-quarters of the minority and low-income passengers
- Leverages regional discretionary funds and local contributions, including proposed Cap and Trade revenue
- Accelerates and solidifies funding for fleet replacement projects, and identifies new funding for key enhancement projects
- Requires that the participating operators meet the performance objectives of the Transit Sustainability Project

Additional information is included in the attached memorandum from the Executive Director. Note that this item is related to the Cap and Trade Funding Framework item on this Committee's agenda as well as to the Budget and Long Range Plan Amendment item on today's Bay Area Toll Authority (BATA) Oversight Committee meeting agenda.

This item is for information only; staff expects to return to the Commission in December with a final recommendation.

Issues: None.

Recommendation: Information only.

Attachments: Executive Director's Memorandum (including attachments)



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: Programming and Allocations Committee

DATE: November 13, 2013

FR: Executive Director

W. I.

RE: **Core Capacity Challenge Grants: Transit Capital Program**

Plan Bay Area (Plan) identifies a total funding shortfall of \$17 billion over nearly three decades to achieve an optimal state of repair for the region's public transit network. Further, the Plan's in-fill and transit-oriented growth strategy relies on a well-maintained and robust transit system to meet greenhouse gas emissions reduction targets and other Plan performance objectives. In adopting the Plan, the Commission directed staff to work with the region's transit operators and other stakeholders to develop a plan to address funding for transit capital replacement and rehabilitation needs and to expand the funding available to support future increases in transit service. This memorandum responds to that direction with the proposed Core Capacity Challenge Grant Program for high priority transit capital projects.

The Core Capacity Challenge Grant Program:

- Focuses on BART, SFMTA, and AC Transit – transit operators that carry over 80% of the region's passengers as well as more than three-quarters of the low-income and minority riders; account for approximately 75% of the Plan's estimated transit capital shortfall; and serve Priority Development Areas (PDAs) that are expected to accommodate the lion's share of the region's housing and employment growth;
- Achieves over \$7 billion in total state of good repair and strategic expansion investments by leveraging other regional discretionary funds and requiring a minimum 30% local match from the three operators;
- Accelerates and makes more certain funding for fleet replacement and other state of good repair projects from Plan Bay Area, including "greening" the fleet;
- Identifies new funding, including Cap and Trade and bridge toll revenues, to respond to the need for strategic capital enhancements in areas of expected high ridership growth; and
- Requires that participating operators meet the Transit Sustainability Project's performance objectives outlined in MTC Resolution No. 4060.

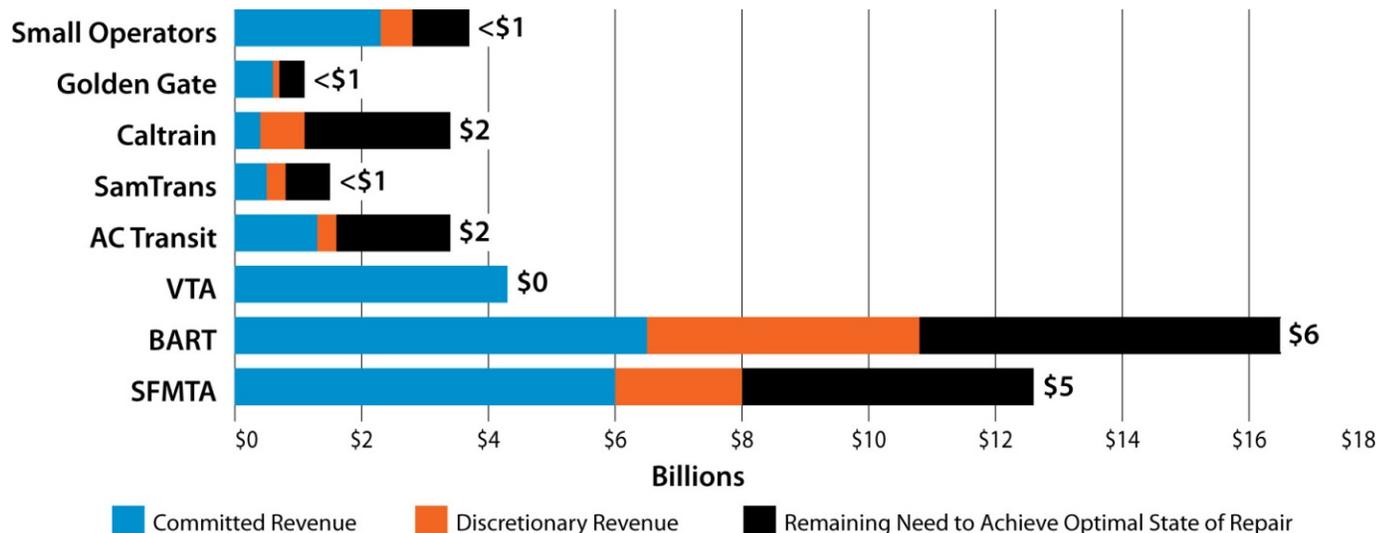
**Programming and Allocations Committee
Core Capacity Challenge Grants Memorandum
November 13, 2013**

Background

Plan Bay Area continues to emphasize a “fix it first” strategy to ensure that the region directs a majority of funding to maintain existing transportation assets, while also supporting focused growth in areas served by the transportation system over the life of the plan. A well-maintained multimodal transportation system is fundamental to the success of the more compact future land use patterns included in Plan Bay Area.

To that end, Plan Bay Area’s total transit capital investment of \$30 billion in committed and discretionary revenues will be sufficient to fund all revenue vehicle replacements and over three-quarters of fixed guideway and other high-priority needs, while large capital needs remain for other assets such as maintenance facilities and station upgrades. Figure 1 below illustrates the total transit capital needs for all operators, as well as identified funding and remaining shortfalls.

Figure 1. Plan Bay Area Transit Capital Needs, Revenues, and Remaining Need (YOES)

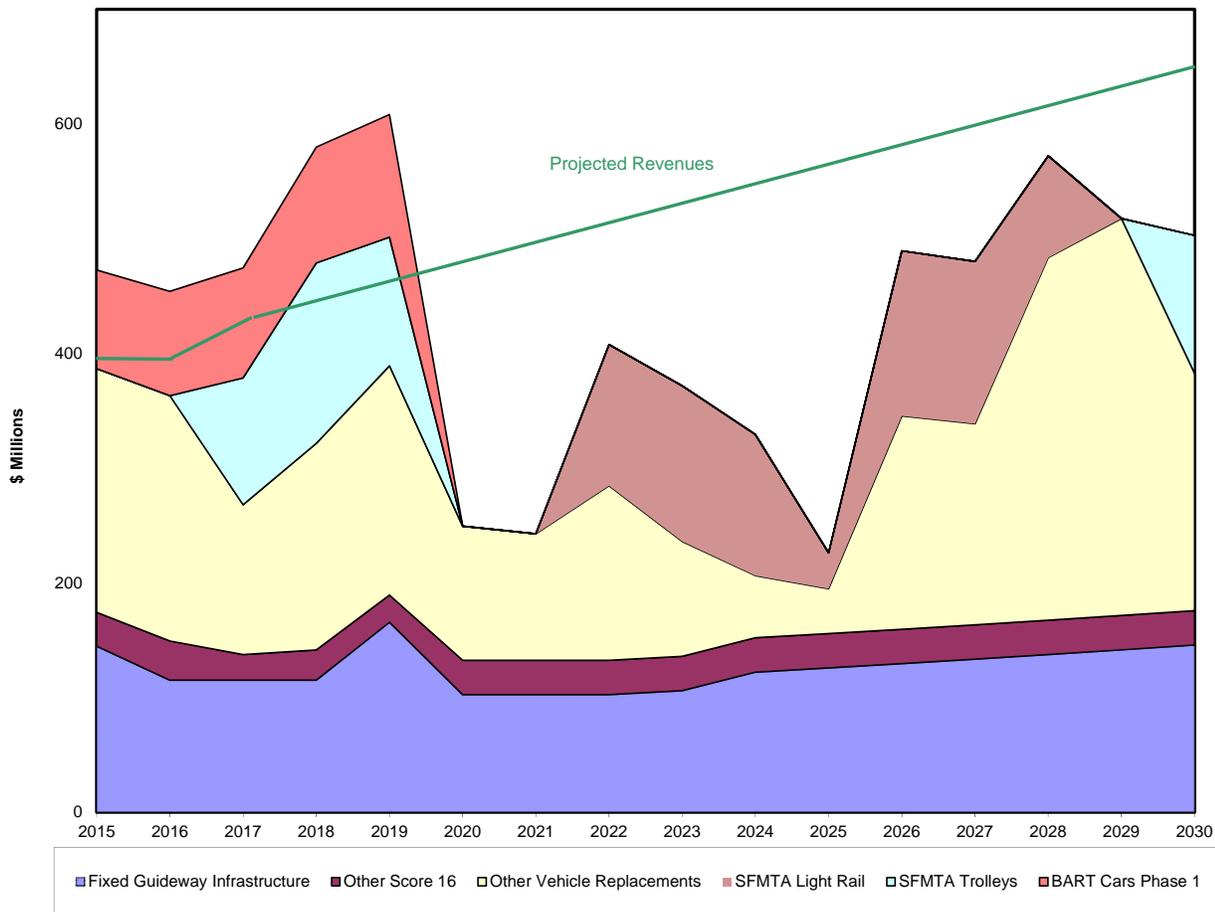


As shown, the capital needs are not uniform across the region’s operators, and are concentrated among the three largest transit operators that serve areas expected to see much of the growth in housing and employment – AC Transit, BART, and SFMTA. In addition, the needs are not spread evenly over the time horizon of the Plan; therefore, replacing large numbers of rail and bus vehicles in the near-term could outpace revenues over the same period if purchased through a pay-as-you-go and short-term programming approach (see Figure 2 on the next page, which does not reflect this proposal).

These needs and timeliness considerations are further compounded by increased ridership demand and capacity constraints expected for the three operators under the Plan’s land use strategy, which will require additional fleet capacity and improved maintenance facilities. Attachment A shows the significant overlap between PDA growth and the AC Transit, BART, and SFMTA’s service areas. The housing and employment growth will increase the demand for transit service in these areas. Over the Plan period, transit ridership in the region is expected to approximately double, from about 1.6 million to 3.0 million typical weekday boardings. Specifically, ridership for SFMTA is expected to increase by 85 percent, BART by nearly 60 percent, and AC Transit by 50 percent.

**Programming and Allocations Committee
Core Capacity Challenge Grants Memorandum
November 13, 2013**

Figure 2. High Priority Transit Capital Replacement Needs and Revenues



While other areas – such as the Silicon Valley and the Peninsula corridor – will also see significant housing and employment growth, Plan Bay Area included specific investments to improve transit and meet ridership demands in these service areas. For example, the next generation of Bay Area transit expansion includes extending BART from Berryessa into downtown San Jose and to Santa Clara. The Plan also charts a course for electrification of the Caltrain corridor between San Jose and San Francisco; extension of the corridor to the new Transbay Transit Center now under construction in downtown San Francisco; the eventual accommodation of high-speed rail service in the Peninsula rail corridor; and development of new high-speed rail stations in San Jose and Millbrae as well as San Francisco.

Proposal

The Core Capacity Challenge Grant sets forth a \$7.4 billion capital investment strategy over the next 15 years for AC Transit, BART, and SFMTA. The plan focuses on fleet replacement and enhancement, facilities upgrades, and fixed guideway infrastructure projects for the three operators as summarized in Table 1 below. The proposed investment strategy, Attachment B, comprises both local and regional funding contributions at levels to fully fund the set of investments.

**Programming and Allocations Committee
Core Capacity Challenge Grants Memorandum
November 13, 2013**

The proposal implements the Plan Bay Area vision for transit as follows:

- Solidifies the schedule and accelerates the regional commitment of FTA and matching bridge toll funds through regional financing;
- Proposes new regional funding to fund projects not typically covered through past Transit Capital Priorities programming, including facilities and strategic vehicle expansions that are key to the health of the three systems;
- Establishes a regional advocacy position for a portion of the Federal New Starts program dedicated to core capacity enhancements; and
- Leverages local commitments by requiring a higher than normal match from the three operators participating in the Core Capacity Challenge Grant Program.

Table 1. Proposed Project Investments by Operator, YOY \$ (millions)

Project	Project Cost
BART	
850 Rail Cars (440 cars beyond current funding commitment)	1,446
Train Control Replacement	700
Hayward Maintenance Center Expansion	433
SFMTA	
Fleet Replacement	2,624
Fleet enhance + expand	670
Facilities core improvements	209
AC Transit	
Fleet Replacement	780
Fleet Expansion	90
Facility Replacement/Rehabilitation	268
Financing	200
TOTAL	7,420

Project Investment Detail

As summarized in Table 1 and detailed in Attachment C, the investments would fund fleet replacements in a timely manner and begin to address critical facilities and enhancement projects that were left unfunded in the Plan but will be important if the region is to implement the land use strategy that relies on a robust transit system, especially in the areas served by AC Transit, BART, and SFMTA. The up-front commitment to over a decade of fleet, facilities and guideway system replacements and expansions is expected to save the agencies considerable sums of money, especially for larger procurements where economies of scale exist. In addition to capital costs, there is an assumption that delivering these capital projects on the proposed timeline needed by the operators will require financing, so \$200 million is included toward covering finance costs.

**Programming and Allocations Committee
Core Capacity Challenge Grants Memorandum
November 13, 2013**

Both BART and SFMTA have near-term vehicle purchase opportunities. BART has an awarded contract and its staff estimates a cost savings of approximately \$125 million if they are able to exercise options to buy more cars as part of their current rail car contract. In addition, BART can save about \$10 million by exercising the next available car option before the end of calendar year 2013. SFMTA expects to open bids for their light rail vehicle procurement project in December and award a contract in 2014.

Revenue Sources and Assumptions

The revenue sources and key assumptions for the \$7.4 billion in local and regional funding are noted below.

- **Local Funding:** Attachment B sets forth \$2.6 billion from various local funding sources and assumes a minimum 30% contribution from each operator.
 - **BART:** For BART, the approximately \$900 million local contribution is comprised of fare revenue and Proposition 1A High Speed Rail connecting operator funds approved for the rail car replacement project. In addition, \$175 million in funding will be provided by the Santa Clara Valley Transit Authority as part of their agreement to contribute to core capacity projects, as BART will soon extend into Santa Clara County and its residents will also benefit from these projects.
 - **SFMTA:** For SFMTA, the nearly \$1.2 billion in local revenues include existing sales tax and revenue bonds as well as anticipated future sales tax, vehicle license fee, and general obligation bonds. A task force has been convened by the San Francisco Mayor's Office and will be finalizing its recommendations by the close of 2013 with the expectation of going to the ballot in 2014 and 2016 to support this local contribution.
 - **AC Transit:** For AC Transit, the assumed local contribution of \$340 million would come from a portion of future Alameda County and Contra Costa sales tax measures and/or parcel tax augmentations for AC Transit operations and maintenance needs.
- **Regional/Other Funding:** Attachment B identifies just over \$4.8 billion in regional/other funding sources to round out the investment strategy, with the majority of the funding coming from two federal sources: Federal Transit Administration (FTA) formula and Surface Transportation Program (STP) flexible highway funds.
 - **FTA/STP Funds:** The program assumes \$3.3 billion in FTA formula and STP funds. These funds have historically supported transit capital replacement through the Transit Capital Priorities process. Generally, the program timeframe has been 2 to 3 years in duration. The proposed Core Capacity Challenge Grant Program investment strategy would extend the commitment for the identified projects to 15 years. The program would also accelerate FTA and STP funds availability through financing as needed; roughly \$200 million is assumed to pay for financing for timely delivery of this aggressive capital program. The proposal acknowledges the needs of other transit operators in the region by retaining an

**Programming and Allocations Committee
Core Capacity Challenge Grants Memorandum
November 13, 2013**

estimated 33% of expected FTA formula funds for the remaining operators. The proposal also retains funding for on-going fixed guideway priorities for rail and ferry operators.

- AB664 Funds: The program assumes \$152 million in AB664 bridge toll funds. These funds have historically supported transit capital replacement by contributing towards local matching funds for eligible operators in the Transit Capital Priorities process. Generally, the funds are programmed annually. The proposed Core Capacity Challenge Grant Program investment strategy would extend the commitment for the identified projects to 15 years, and would accelerate availability of these toll funds by frontloading AB664 revenues that are available as part of a Bay Area Toll Authority (BATA) revenue transfer to MTC in 2010.
- BATA Project Savings: With the completion of the Regional Measure 1 highway and bridge projects and the opening of the New East Span of the Bay Bridge, BATA project savings are proposed to be directed to the Core Capacity Challenge Grant Program. Staff has determined that these transit projects are eligible bridge improvement projects because they will improve functioning or use of one or more of the state-owned bridges. As such, these project expenditures, in an amount of \$250 million, are proposed to be added to BATA's long-range plan and budget as outlined for information on this month's BATA Oversight Committee agenda.
- SFO Net Operating Revenues: A commitment dating from 1988 and the first rail extension agreement, MTC Resolution 1876, directs \$145 million of the net operating surplus generated by the San Francisco International Airport (SFO) BART Extension to fulfill the remaining SamTrans' capital contribution to the BART system, for the Warm Springs Extension. This proposal would direct these funds to BART's rail car purchase project, which includes rail cars for the Warm Springs extension project. The Warm Springs construction costs were met through other regional funding contributions as part of the 2008 MTC Resolution 3434 Strategic Plan.
- Cap and Trade Revenues: AB 574 (Lowenthal) seeks to reserve California Cap and Trade allowance revenue from transportation fuels for transportation-related expenditures. Plan Bay Area included an estimated \$3.1 billion over the 28-year period as available to the region. While the distribution of funds to the MPO's has not yet been finalized, a draft framework and set of principles for Cap and Trade revenues, including \$0.8 billion for the Core Capacity Challenge Grant program, is provided for information in agenda item 3a.i.
- FTA New Starts Core Capacity: With the enactment of MAP-21, this new category of eligible projects was added to the New Starts Program. Projects eligible for this funding must expand capacity by at least 10% in existing fixed-guideway transit corridors that are already at or above capacity today, or are expected to be at or above capacity within five years. As part of Plan Bay Area's investment strategy, a reserve of \$660 million in New Starts was established for future East Bay and North Bay projects. BART's train control project aligns well

**Programming and Allocations Committee
Core Capacity Challenge Grants Memorandum
November 13, 2013**

with the intent of this new category of FTA competitive funding and the direction outlined in Plan Bay Area.

Performance Requirements

Plan Bay Area assumed that the recommendations of the Transit Sustainability Project would be implemented to complement cost control and service improvements already implemented by the region's transit operators. In order to qualify for challenge grant funding, this proposal requires AC Transit, BART, and SFMTA to meet the Transit Sustainability Project's performance objectives outlined in MTC Resolution No. 4060 that call for a 5% real reduction in at least one of three performance measures (cost per service hour, cost per passenger or cost per passenger mile) by FY2016-17 and no growth beyond CPI thereafter. Based on the most recent data available for FY2012 in Attachment D, only BART is currently meeting the performance requirement, but SFMTA is moving in a positive direction and all three operators have until FY2016-17 to meet the performance target.

Strategic Review

Staff recommends a strategic review of the Core Capacity Challenge Grant program at least every 5 years to monitor operator project delivery and local contributions. This will also allow staff to address any changes in the demand for capital projects or the revenue landscape. For example, both BART and SFMTA have developed service plans that would require additional rail cars beyond the quantities funded by this proposed program.

Next Steps

This item is for information and discussion this month. Staff is seeking feedback from the Commission, partner agencies, and advisors and plans to return in December with a final recommendation. The proposed action in December is important for BART to realize cost savings associated with exercising options for their rail car procurement and for finalizing revenue measures for the 2014 electoral process for San Francisco and Alameda Counties.



Steve Heminger

Attachment A: Population Growth in PDAs 2010-2040

Attachment B: Core Capacity Challenge Grants

Attachment C: Project Descriptions

Attachment D: Performance Metrics

SH: AB

J:\COMMITTEE\PAC\2013 PAC Meetings\11_Nov'13_PAC\3aii_Core Capacity Challenge Grant\3aii_Core Capacity Transit Grants.docx

Population Growth in Priority Development Areas, 2010 - 2040

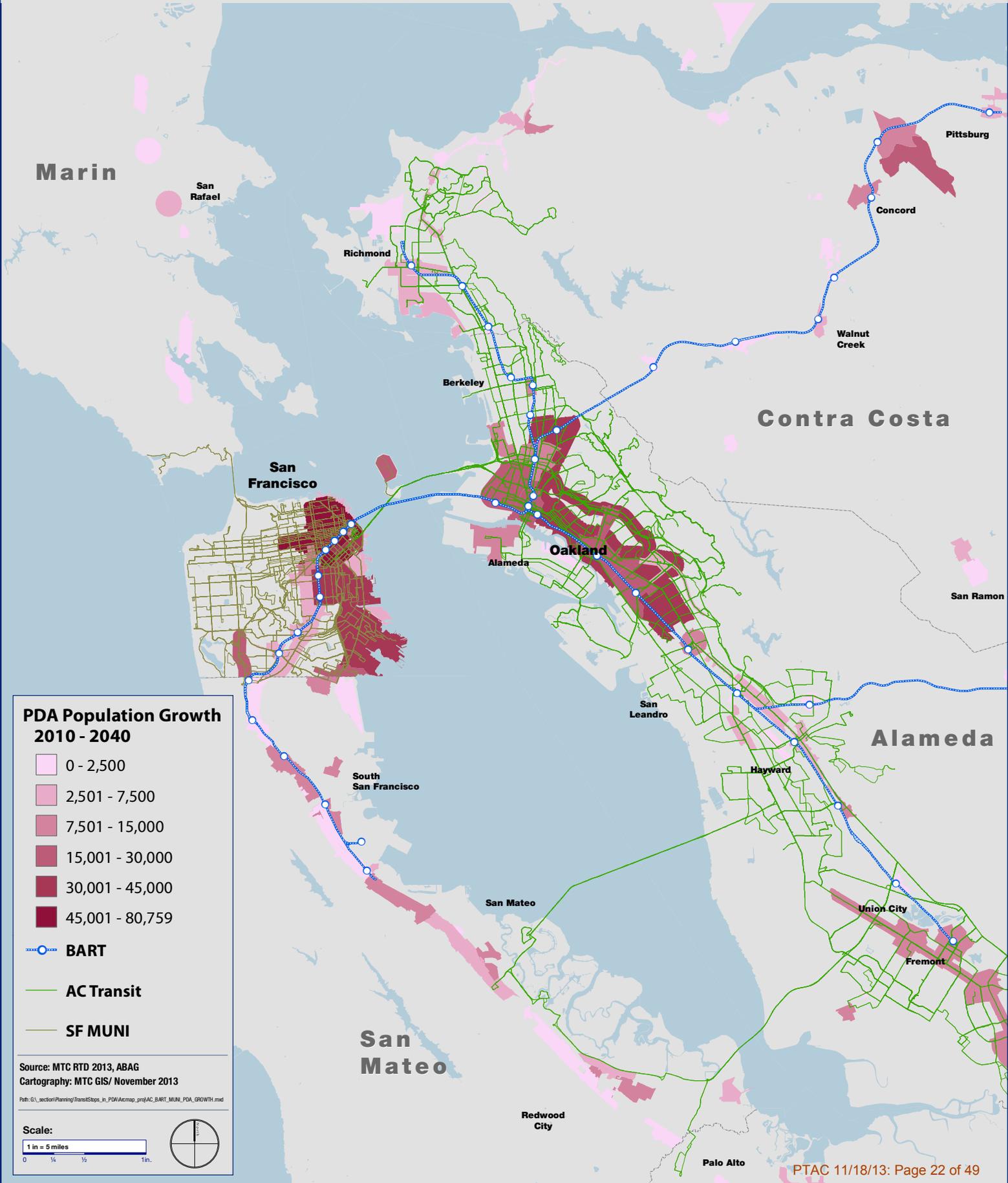


Metropolitan Transportation Commission
 Planning, Financing and Coordinating
 Transportation for the nine-county
 San Francisco Bay Area

ATTACHMENT A

Analytical Services

Geographic Information Systems



Attachment B Core Capacity Challenge Grants (\$ Millions)

Project	Project Cost	Proposed Local \$				Funding Sources for Remaining Need						Total Funding
		BART	SFMTA (2)	AL/CC Sales Tax/Parcel Tax	VTA	FTA/STP(4)	AB664 Bridge Tolls	BATA Project Savings	SFO Net Op Revenue (5)	Cap & Trade	Core Capacity New Starts (6)	
850 BART Rail Cars (440 beyond current funding commitment)	1,446	393				743	82	83	145			1,446
BART Train Control	700	267				163				126	144	700
BART Hayward Maint. Center	433	258			175							433
Subtotal BART	2,579	918	-	-	175	906	82	83	145	126	144	2,579
SFMTA Fleet Replacement	2,624		750			1,746	44	84				2,624
SFMTA Fleet enhance + expand	670		270							400		670
SFMTA facilities core improve	209		142							67		209
Subtotal SFMTA (1)	3,504	-	1,162	-	-	1,746	44	84	-	467	-	3,504
AC Transit Fleet Replacement	780			195		477	25	83				780
AC Transit Fleet Expansion	90			40		5				45		90
AC Transit Facility Repl/Rehab	268			106						162		268
Subtotal AC Transit (3)	1,138	-	-	341	-	481	25	83	-	207	-	1,138
Financing	200					200						200
TOTAL	7,420	918	1,162	341	175	3,333	152	250	145	800	144	7,420

(1) SFMTA cost estimates adjusted to use regional cost estimates for buses and LRVs, and converted to year-of-expenditure dollars

(2) Includes SF Mayor's Transportation Task Force plan proposed new funding sources

(3) Assumes 30% local share

(4) Projected FTA/STP Revenues 2015-2030: \$ 7,549

Core Capacity Challenge Grants	\$ 3,133	42%
Core Capacity Financing Costs	\$ 200	3%
BART & SFMTA Fixed Guideway Caps	\$ 1,235	16%
Remaining BART Car Phase 1 Commitment	\$ 481	6%
Other Operators	\$ 2,500	33%
Total	\$ 7,549	100%

(5) SFO Net Operating Revenue satisfies Samtrans buy-in to the BART District originally dedicated to the BART to Warm Springs project.

(6) Proposed from \$660M East and North Bay New Starts Reserve

Attachment C

Core Capacity Challenge Grants – Project Descriptions

BART

BART Railcar Replacement and Expansion would fund the remaining options on BART's railcar procurement contract to purchase 440 new cars, which, together with previously committed funding, would bring BART's fleet to a total of 850 cars: 669 to replace the current fleet, 91 to increase core capacity, 30 for the Warm Springs extension, and 60 for the Berryessa extension. The \$1.45 billion cost is in addition to the \$1.38 billion already committed to the project, including \$871 million in regional funding. BART operates the oldest fleet among major rail operators in the nation, with all of its current fleet either already overdue or due for replacement by 2019.

BART Train Control System involves either renovating the current train control system or implementing a new system. The current system is aging and needs renovation or replacement to restore and retain reliability. A new train control system would increase peak period/peak direction throughput and allow BART to expand its fleet to meet future demand while maintaining service reliability.

BART Hayward Maintenance Center includes improvements to expand the current Hayward Yard by adding storage and transfer/access tracks on the existing BART property and a primary shop, a vehicle-level overhaul shop, a component repair shop, a central warehouse and an expanded shop and storage facility. This project is needed to store and service BART's expanded fleet while maximizing availability, including serving as the primary maintenance shop and storage yard for the Berryessa extension fleet.

SFMTA

SFMTA Fleet Replacement would replace all of SFMTA's vehicles as they reach the end of their useful lives between 2016 and 2030 to maximize availability and reliability, and minimize operating and maintenance costs. SFMTA's fleet included 494 buses, 333 trolleys, 151 light rail vehicles, and 67 paratransit vans. Also included in the project is approximately \$300 million for mid-life overhauls to extend vehicle service life and maintain reliability, and the costs of rehabilitating Muni's cable car and historic streetcar fleets.

SFMTA Fleet Enhancement & Expansion would expand Muni's light rail vehicle fleet by 77 cars: 24 for the Central Subway extension and 53 to increase capacity on existing lines. The project would also fund the increased cost for replacing 110 40' standard buses with 60' articulated buses to increase capacity on high-ridership routes, and the installation of video and data collection systems on Muni vehicles.

SFMTA Facilities Core Improvements provides for reconstruction and renovation of maintenance facilities for increased efficiency and flexibility, such as:

- Muni Metro East (MME) Paint & Body Shop;
- Burke Central Warehouse;
- Woods Central Diesel Bus Maintenance Facility.

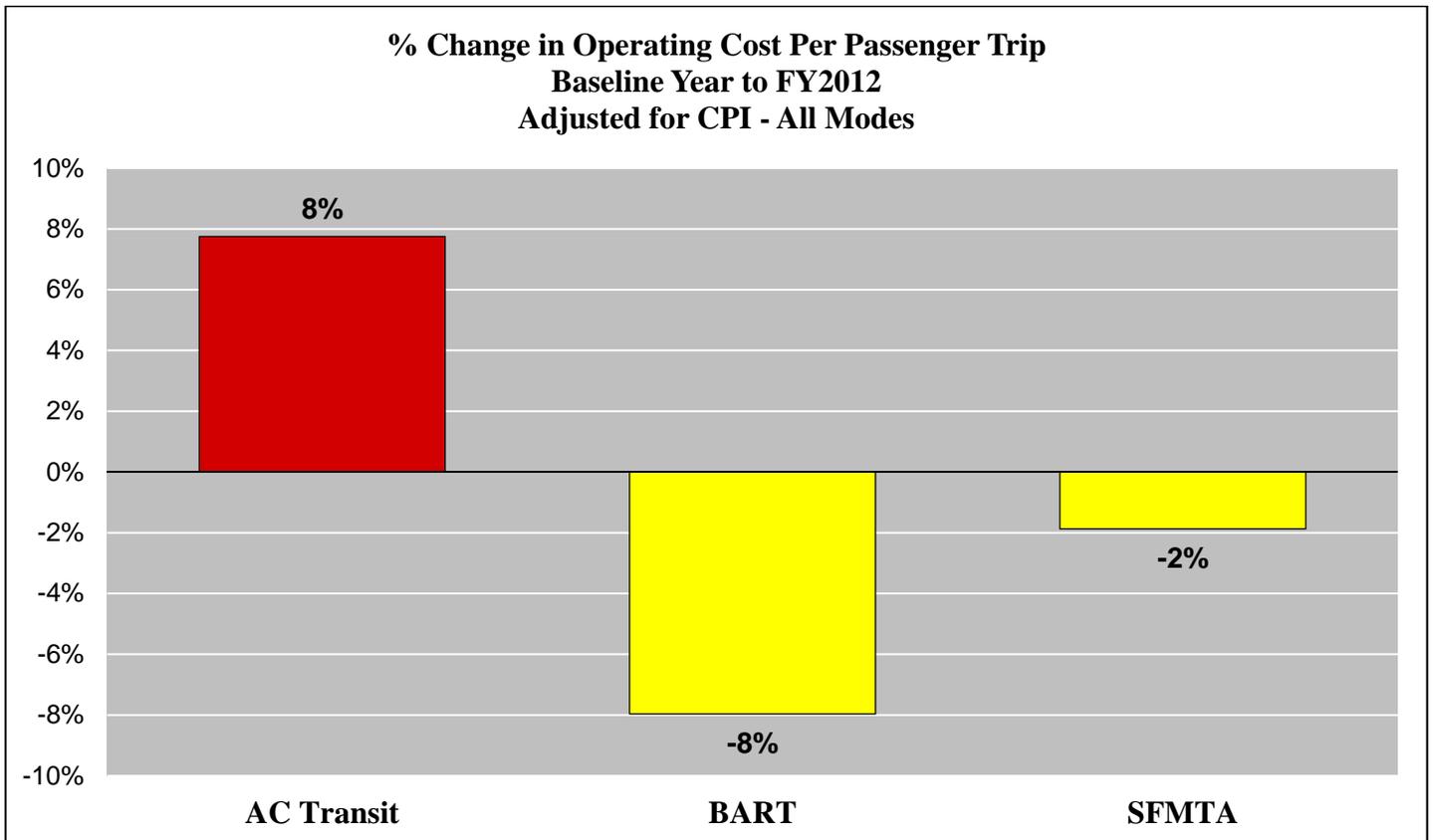
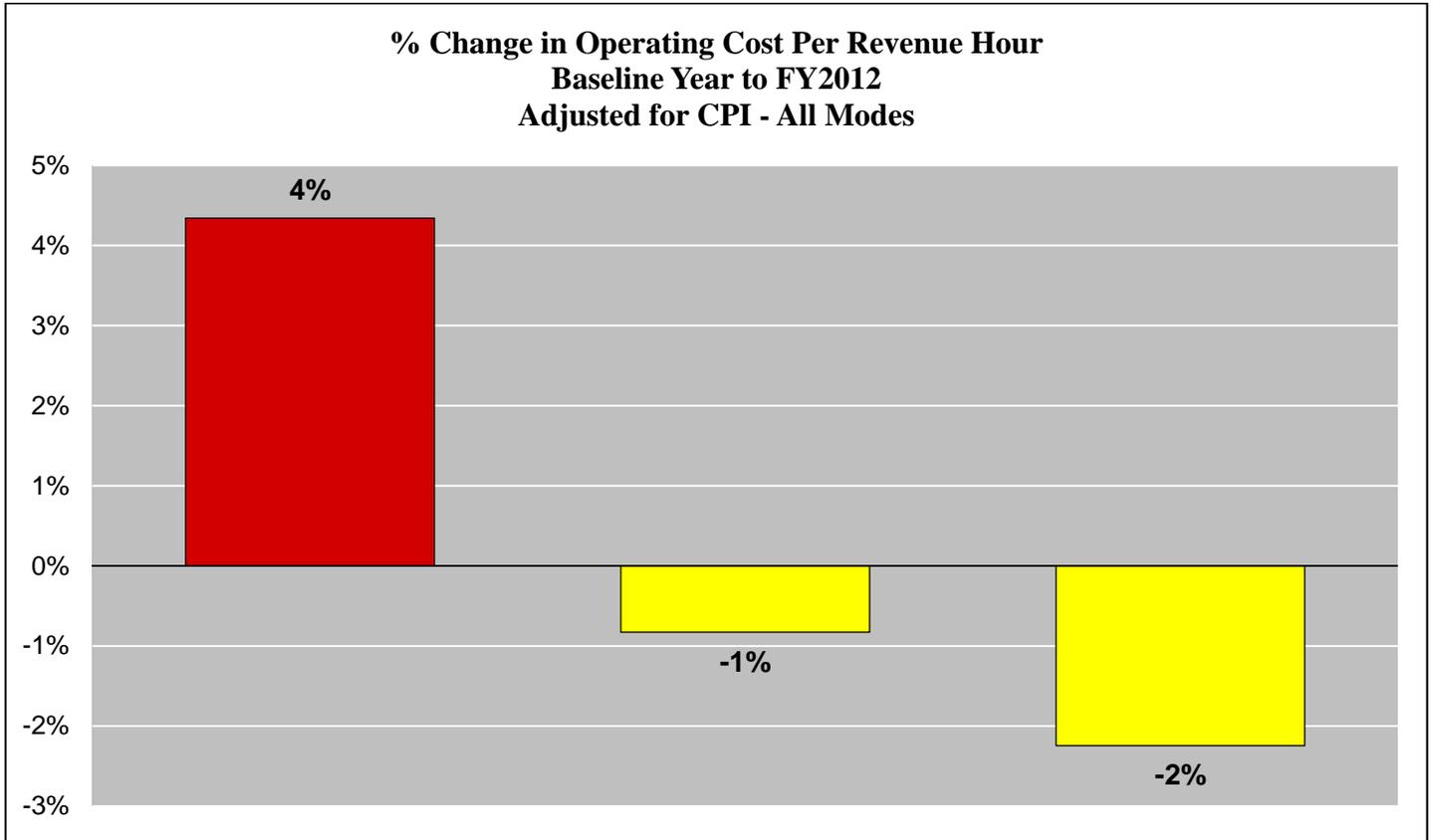
AC Transit

AC Transit Fleet Replacement would replace all of AC Transit's buses as they reach the end of their useful lives between 2015 and 2030 to maximize availability and reliability, and minimize operating and maintenance costs. AC Transit's fleet replacement needs during this period include 150 40' standard transit buses, 57 60' articulated buses, 91 30' buses, 67 40' suburban transit buses, and 39 45' over-the-road coaches.

AC Transit Fleet Expansion would allow for the procurement of 79 Diesel Electric Hybrid buses to implement the service expansions called for under AC Transit's Comprehensive Operations Analysis.

AC Transit Facility Replacement & Rehabilitation includes replacement of equipment such as communications and navigation systems, bus lifts, fuel islands, bus washers, waste treatment systems, and underground storage tanks at AC Transit's maintenance and operations facilities as the equipment reaches the end of its useful life. The funding would also allow for re-opening of the Richmond Maintenance Facility.

Attachment D: Performance Metrics



Source: National Transit Database (NTD), data and analysis for Cost per Passenger Mile still under development.



Memorandum

TO: Partnership Technical Advisory Committee (PTAC)

DATE: November 18, 2013

FR: Ross McKeown

RE: Revised Regional Project Delivery Policy for MTC Resolution 3606

Background

The region has maintained an excellent project delivery record during the last several federal transportation authorization periods. This outstanding delivery record is due to the hard work of Caltrans Local Assistance, the Congestion Management Agencies (CMAs), project sponsors and the regional project-funding delivery policies developed by MTC and the Bay Area Partnership. In an effort to maintain this delivery record during the Moving Ahead for Progress in the twenty-first century (MAP-21) and subsequent federal transportation acts, and maximize the amount of federal funds flowing into the region, MTC staff is recommending revisions to the Project delivery policy in MTC Resolution 3606.

The revised policy responds to provisions in the federal transportation act, increased scrutiny of federal funding deadlines, recent Caltrans procedural changes and anticipated future federal and state policies relating to the timely use of federal funds. The revisions are specifically intended to: improve management of the limited Obligation Authority (OA) available each fiscal year, meet pre and post-obligation funding deadlines, align regional deadlines with the natural project implementation timeline and facilitate project delivery. Most importantly, the policy calls for the programming and obligation of funds consistent with the timing and availability of federal Obligation Authority.

MTC staff has worked with the Federal Efficiencies and Streamlining (FES) subcommittee of the Local Streets and Roads Working Group (LSRWG) and Programming and Delivery Working Group (PDWG) over the last several months to develop the revisions to the regional project-funding delivery policy to reflect new state and federal requirements. The task force consisted of representatives of the CMAs, counties, cities, Caltrans, and MTC staff.

Benefits of the SAFETEA Regional Project-Funding Delivery Policy:

The following are key benefits of the revised policy:

- The policy continues to strengthen the region's delivery efforts, which has assisted the region and sponsors in delivering to the full apportionment and OA levels.
- Strengthens the region's ability to meet AB 1012 requirements, and incorporates Caltrans and FHWA post-obligation requirements, thus minimizing the risk of losing federal transportation funding.

- Supports subsequent requests for additional federal funding for the region by demonstrating success in delivery of regional transportation projects.
- Provides flexibility for project sponsors to swap delayed projects with projects ready to use the funding.
- Establishes standard guidance to be applied for all regional discretionary funds and programming cycles and all FHWA-administered funds included in the TIP. A standardized policy makes it easier for project sponsors and to implement project delivery strategies consistently among the programmed projects.
- Keeps the region ahead of other regions in the state, that in recent years have been improving their own delivery rates.

Significant New and Revised Regional Project-Funding Delivery Policies:

The following are the significant changes to the policy:

- Obligation (E-76 authorization) deadline advanced from April 30 to January 31 of the federal fiscal year programmed in the TIP. This revision aligns the deadline with the natural schedule of projects to be constructed in the following summer construction season.
- Obligation Request Submittal deadline advanced from February 1 of the federal fiscal year programmed in the TIP to November 1 in response to the advanced obligation deadline.
- Funds for construction must be awarded within 6 months of obligation. The previous deadline was 9 months after obligation. This new deadline is for consistency with the CTC's 6-month award deadline following CTC allocation, and to ensure there are eligible expenditures to invoice against to meet Caltrans's 6-month invoicing requirement.
- For regional discretionary funds subject to a federal rescission, the rescinded funding will first apply to projects with funds that have missed the regional obligation deadline and to projects with funds that have been de-obligated but not yet re-obligated.
- The policy is expanded to include all regional discretionary FHWA funds, not just STP/CMAQ, and applies some deadlines and requirements to other FHWA-administered funding programmed in the TIP.
- Every Local Public Agency that receives FHWA-administered funds and includes these funds in the federal TIP will need to identify and maintain a staff position that serves as the single point of contact for the implementation of all FHWA-administered funds within that agency.
- Project sponsors that miss delivery milestones and funding deadlines for FHWA-administered funds are required to prepare and update a delivery status report on major delivery milestones for all active projects with FHWA-administered funds and participate, if requested, in a consultation meeting with the county CMA, MTC and Caltrans to discuss the local agency's ability to deliver current and future federal-aid

transportation projects, and efforts, practices and procedures to be implemented by the local agency to ensure delivery deadlines and requirements are met in the future.

- Local Public Agencies must be qualified in the federal-aid process. By requesting the programming of federal funds in the federal TIP, the agency is self-certifying they are qualified to deliver federal-funding transportation projects. This regional qualification is to help confirm the jurisdiction has the appropriate knowledge and expertise to deliver the project.

Once FHWA-administered funds are transferred to FTA, non-applicable provisions of this policy guidance no longer apply. The project sponsor must then follow FTA guidance and requirements.

The intent of the revisions to the regional project-funding delivery policy is to ensure implementing agencies do not lose any funds due to missing a federal or state funding deadline, while providing maximum flexibility in delivering transportation projects. MTC has attempted to establish regional deadlines, to the extent possible, in advance of federal deadlines, to provide the opportunity for implementing agencies, the CMAs, Caltrans, and MTC to solve potential problems and bring the project back on-line in advance of losing funds.

This revised policy is scheduled to be presented at the December Programming and Allocations Committee (PAC) for consideration and recommendation for approval, and will take effect once approved, with the exception of the Obligation and Obligation Submittal deadlines, which will take effect with new funding programmed after adoption of this revised policy and for all funds programmed in FY 2015-2016 and later in the TIP. Fiscal Year 2015-16 will serve as a transition year for OBAG funds, with sponsors encouraged to meet the new delivery deadlines, but with no consequences if they miss the advanced deadlines as long as they meet the existing obligation deadlines for OBAG funding.

Attachment: Proposed revised regional project-funding delivery policy for regional discretionary federal funding during MAP-21 and beyond

**Regional Project Funding Delivery Policy for SAFETEA
STP and CMAQ FHWA-administered Federal Funds**
In the San Francisco Bay Area
DRAFT

Regional Project Funding Delivery Policy Intent

The intent of this regional funding delivery policy is to ensure implementing agencies do not lose any funds due to missing a federal or state funding deadline, while providing maximum flexibility in delivering transportation projects. It is also intended to assist the region in managing Obligation Authority, and meeting federal financial constraint requirements. MTC has purposefully established regional deadlines ~~in addition to~~ **in advance of** state and federal funding deadlines to provide the opportunity for implementing agencies, the CMAs, Caltrans, and MTC to solve potential project delivery issues and bring projects back in-line in advance of losing funds due to a missed funding deadline. The policy is also intended to assist in project delivery, and ensure funds are used in a timely manner.

Although the policy specifically addresses the Regional ~~STP and CMAQ~~ **Discretionary** Funding managed by MTC, the state and federal deadlines cited apply to all federal-aid funds administered by the state (with few exceptions such as Congressionally mandated projects including Earmarks **which come with their own assigned OA**). Implementing agencies should pay close attention to the deadlines of other state and federal funds on their projects so as not to miss any other applicable funding deadlines, **such as those imposed by the CTC on funds it manages and allocates.**

This regional project delivery policy was developed by the San Francisco Bay Area's Partnership, through the ~~Project Delivery Task Force~~ **working groups** of the Bay Area Partnership's ~~Finance~~ **Technical Advisory Committee's (PTAC) Working Groups (FWG)**, consisting of representatives of Caltrans, the county Congestion Management Agencies (CMAs), transit operators, counties, **cities** and MTC staff.

General Policy Guidance

As the federally designated Metropolitan Planning Organization (MPO) and the agency serving as the Regional Transportation Planning Agency (RTPA) for the nine-counties of the San Francisco Bay Area, the Metropolitan Transportation Commission (MTC) is responsible for various funding and programming requirements, including, but not limited to: development and submittal of the Regional Transportation Improvement Program (RTIP); managing and administering the federal Transportation Improvement Program (TIP); and project selection for designated federal funds (referred collectively as 'Regional Discretionary Funding');

As a result of the responsibility to administer these funding programs, the region has established various deadlines for the delivery of the **regional discretionary** funds **including** the regional Surface Transportation Program (STP), ~~and~~ Congestion Mitigation and Air Quality Improvement (CMAQ) Program, regional Transportation Alternatives Program (TAP) Program, and Regional Transportation Improvement Program (RTIP) to ensure timely project delivery against state and federal funding deadlines. This resolution establishes a standard policy for enforcing project funding deadlines ~~and project substitutions~~ for these **and other FHWA-administered federal** funds during the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), **the Moving Ahead for Progress in the 21st Century (MAP 21)** and any subsequent extensions **and federal transportation acts.**

Once FHWA-administered funds are transferred to FTA, non-applicable provisions of this policy guidance no longer apply. The project sponsor must then follow FTA guidance and requirements.

~~STP and CMAQ~~ **FHWA-administered federal** funds are to be programmed in the **federal** Transportation Improvement Program (TIP), up to the apportionment level for that fiscal year, in the fiscal year in which the funds are to be obligated by the Federal Highway Administration (FHWA) or transferred to the Federal Transit Administration (FTA), similar to the programming of the State Transportation Improvement Program (STIP) **by the California Transportation Commission (CTC).**

The regional **discretionary funds such as the RTIP, STP, CMAQ and regional-TAP funds** are project specific. Projects are chosen for the program based on eligibility, project merit, and deliverability within the established deadlines. ~~The programmed STP and /CMAQ~~ **regional discretionary funds** are for those projects alone, ~~STP/CMAQ funds~~ **and** may be used for any phase of the project, **unless otherwise specified at the time of programming,** in accordance with Caltrans procedures and federal regulations.

It is the responsibility of the implementing agency at the time of project application and programming to ensure the regional deadlines and provisions of the regional project funding delivery policy can be met. Agencies with difficulty in delivering existing FHWA federal-aid projects will have future programming and Obligation Authority (OA) restricted for additional projects until the troubled projects are brought back on schedule, and the agency has demonstrated it can deliver new projects within the ~~required~~ **funding** deadlines **and can meet all federal-aid project requirements.**

MTC staff will actively monitor and report the obligation status of projects to the Working Groups of the Bay Area Partnership. The Working Groups will monitor project funding delivery issues as they arise and make recommendations to the Partnership Technical Advisory Committee (PTAC) as necessary.

The implementing agency or MTC may determine that circumstances may justify changes to the ~~STP and /CMAQ~~ **regional discretionary fund** programming. These changes, or ~~amendments~~ **revisions** to these regional programs, are not routine. Proposed changes will be reviewed by MTC staff before any formal actions on program amendments are considered by the MTC Commission. ~~STP/CMAQ~~ **Regional discretionary** funds may be shifted among any phase of the project without the concurrence or involvement of MTC if allowed under Caltrans procedures and federal regulations. All changes must follow MTC policies on the Public Involvement Process and Federal Air Quality Procedures and Conformity Protocol. Changes must be consistent with the Regional Transportation Plan (RTP), must not adversely affect the expeditious implementation of Transportation Control Measures (TCMs), must comply with the provisions of Title VI, must not negatively impact the deliverability of other projects in the regional programs, and must not affect the conformity finding in the TIP. **Additionally, any changes involving funding managed by the California Transportation Commission (CTC), such as RTIP and TAP, must also follow the CTC's processes for amendments and fund management.**

Regional Discretionary Funding:

Regional Discretionary Funding is revenue assigned to MTC for programming and project selection, including but not limited to funding in the Regional Transportation Improvement Program (RTIP), Surface Transportation Program (STP) funding, Congestion Mitigation and Air Quality Improvement (CMAQ) funding, regional Transportation Alternatives Program (TAP) funding and any subsequent federal funding programs at MTC's discretion. The funds are referred collectively as Regional Discretionary Funding.

Programming to Apportionment in the year of Obligation/Authorization

Federal funds are to be programmed in the TIP, up to the apportionment level available, in the fiscal year in which the funds are to be obligated by FHWA or transferred to FTA. The implementing agency is committed to obligate/transfer the funds by the required obligation deadline once the program year in the TIP becomes the current year, and the **regional** annual Obligation Plan has been developed for that year. This will improve the overall management of federal apportionment and Obligation Authority (OA) within the region and help ensure apportionment and OA are available for projects that are programmed in a particular year. It will also assist the region in meeting federal financial constraint requirements. At the end of the federal authorization act, MTC will reconcile any differences between final apportionments, programmed amounts, obligations and actual OA received **for the funds it manages.**

Advanced Project Selection Process

Obligations for funds advanced from future years of the TIP will be permitted only upon the availability of surplus OA, with Advance Construction Authorization (ACA) projects in the annual obligation plan having first priority for OA in a given year, and current programmed projects that have met the delivery deadlines having second priority for OA in a given year. Advanced obligations will be based on the availability of OA and generally will only be considered after ~~February 1~~ **January 31** of each fiscal year. In some years OA may not be available for advancements until after April 30, but the funds must be identified in the annual obligation plan, and the obligation request for the advanced OA should be received by Caltrans prior to April 30.

Agencies requesting advanced funding should be in good standing in meeting deadlines for other **FHWA** federal-aid projects. Restrictions may be placed on the advancement of funds for agencies that continue to have difficulty delivering projects within required deadlines or have current projects that are not in compliance with funding deadlines **and federal-aid requirements.** MTC may consult with **FHWA**, Caltrans and/or the appropriate Congestion Management Agency (CMA) to determine whether the advancement of funds is warranted and will not impact the delivery of other projects.

Implementing agencies wishing to advance projects may request Advance Construction Authorization from FHWA, or pre-award authority from FTA, to proceed with the project using local funds until OA becomes available. ACA does not satisfy the obligation deadline requirement.

Important Tip: Caltrans releases unused local OA ~~on~~ **by** May 1 of each year. Projects that do not access their OA through obligation or transfer to FTA by that date are subject to having their funds taken by other regions. This provision allows the advancement of projects after April 30, by using unclaimed OA from other regions.

Advance Construction Authorization (ACA)

Agencies that cannot meet the regional, state or federal requirements **deadlines subsequent to the obligation deadline (such as award and invoicing deadlines)** have the option to use Advance Construction Authorization (ACA) rather than seeking an obligation of funds and risk losing the funds due to missing these subsequent deadlines. For example if the expenditure of project development funds or award of a construction contract, **or project invoicing** cannot easily be met within the required deadlines, the agency may consider using ACA until the project phase is underway **and the agency is ready to invoice and the agency is able to meet the deadlines.** **The use of ACA** may also be considered by agencies that prefer to invoice once – at the end of the project, rather than invoice on the required semi-annual basis. **When seeking this option, the project sponsor must program the local funds supporting the ACA in the same year of the TIP as the ACA, and program an equal amount of federal funds in the TIP in the year the ACA will be converted to a funding authorization.**

ACA conversion to full obligation receives priority in the annual obligation plan. MTC will monitor the availability of OA to ensure delivery of other projects is not impacted by ACA conversions. At the end of the federal authorization Act, ACA may be the only option available should the region's OA be fully used.

Project Cost Savings/Changes in Scope/Project Failures – For FHWA-Administered Funds Managed By MTC (Regional Discretionary Funding)

Projects may be completed at a lower cost than anticipated, or have a minor change in scope resulting in a lower project cost, or may not proceed to implementation. In such circumstances, the implementing agency must inform MTC, Caltrans and the appropriate county Congestion Management Agency (CMA) within a timely manner that the funds resulting from these project **funding** reductions will not be used. Federal regulations require that the project proceed to construction within ten years of initial federal authorization of any phase of the project. Furthermore, if a project is canceled, or fails to proceed to construction **or right of way acquisition** in ten years, FHWA will de-obligate any remaining funds, and the agency is required to repay any reimbursed funds.

Project funding reductions accrued prior to the established obligation deadline are available for redirection within the program of origin. Savings within the CMA administered programs (~~such as Local Streets and Roads Rehabilitation~~) are available for redirection within the program by the respective CMA, subject to Commission approval. Project funding reductions within regional competitive programs, ~~such as the Transportation for Livable Communities (TLC) program, or for regional operations projects such as 511,~~ are available for redirection by the Commission. For all programs, projects using the redirected funding reductions prior to the obligation deadline must still obligate the funds within the original deadline.

Minor adjustments in project scope may be made to accommodate final costs, in accordance with Caltrans **(and if applicable, CTC)** procedures and federal regulation. However, **STP/CMAQ Regional Discretionary Funding managed by MTC and assigned to** for the project is limited to the amount approved by MTC **for that specific project**. Once funds are de-obligated, there is no guarantee the funds **replacement funding** will be available for the project. **However, in rare instances, such as when a project becomes inactive, funds de-obligated from a project may be made available for that project once again, as long as the de-obligated funds are not rescinded and are re-obligated within the same federal fiscal year.**

For federal regional discretionary funds managed by MTC, any project funding reductions or unused funds realized after the obligation deadline return to MTC. Any **Regional Discretionary Funding such as** STP/CMAQ funds that have been obligated but remain unused **unexpended at the time of project close-out** will be de-obligated and returned to the Commission for reprogramming. **However, for funding managed by the CTC, such as STIP funds, any unexpended funds at the time of project close-out are returned to the state rather than the region.**

In selecting projects to receive redirected funding, the Commission may use existing lists of projects that did not receive funding in past programming exercises, or direct the funds to agencies with proven on-time project delivery, or could identify other projects with merit to receive the funding, or retain the funding for future programming cycles. Final decisions regarding the reprogramming of available funds will be made by the Commission.

Important Tip: ~~If a project is canceled as a result of the environmental process, the agency does not have to repay reimbursed costs for the environmental activities. However, If a project is canceled after the environmental process is complete, or a project does not proceed to construction~~ **or right of way acquisition** within 10 years, the agency is **may be** required to repay all reimbursed federal funds.

Federal Rescissions

FHWA regularly rescinds unused federal funds, either annually as part of the annual federal appropriations or at the end or beginning of a federal transportation act or extension. Therefore, local public agencies must obligate the funds assigned to them within the deadlines established in this policy. Should regional discretionary funds be subject to a federal rescission, the rescinded funding will first apply to projects with funds that have missed the regional obligation deadline and to projects with funds that have been de-obligated but not yet re-obligated, unless otherwise directed by the Commission.

Annual Obligation Plan

California Streets and Highway Code 182.6(f) requires the regions to notify Caltrans of the expected use of OA each year. Any local OA, and corresponding apportionment that is not used by the end of the fiscal year will be redistributed by Caltrans to other projects in a manner that ensures the state continues to receive increased obligation authority during the annual OA redistribution **from other states**. There is no provision in state statute that the local apportionment and OA used by the state will be returned.

MTC will prepare an annual Obligation Plan at the ~~beginning~~ **end** of each federal **state** fiscal year based on the funding programmed in the TIP, and the apportionment and OA expected to be available. This plan will be the basis upon which obligations will be made for the **following federal fiscal** year. It is expected that the CMAAs and project sponsors with funds programmed in the TIP will assist in the development of the plan by ensuring the TIP is kept up to date, and ~~if necessary,~~ review the plan prior to submittal to Caltrans. Projects listed in the plan that do not receive an obligation **by the deadline** are subject to de-programming. Projects to be advanced from future years, or converted from ACA must be included in the plan to receive priority for obligations against available OA.

If a project or project phase will not be ready for obligation in the year programmed, the agency responsible for the project should request to delay the project prior to entering the program **federal** fiscal year. The agency shall be considered committed to delivering the project **by the funding deadline** (obligating/**authorizing** the funds **in an E-76** or transferring to FTA) ~~once the program year becomes the current fiscal year, and the annual Obligation Plan has been developed for that year.~~ **at the beginning of the federal fiscal year (October 1), for funding programmed in that year of the TIP**

In the event that OA is severely limited, such as at the end of a federal authorization act, and there is insufficient OA to obligate all of the projects in the annual obligation plan, restrictions may be placed on funds for agencies that continue to have difficulty delivering projects within required deadlines or have current projects that are in violation of funding deadlines **and federal-aid requirements.**

Local Public Agency (LPA) Single Point of Contact

To further facilitate project delivery and ensure all federal funds in the region are meeting federal and state regulations, requirements and deadlines, every Local Public Agency (LPA) that receives FHWA-administered funds and includes these funds in the federal TIP will need to identify and maintain a staff position that serves as the single point of contact for the implementation of all FHWA-administered funds within that agency. The person in this position must have sufficient knowledge and expertise in the federal-aid delivery process to coordinate issues and questions that may arise from project inception to project close-out. The local public agency is required to identify, maintain and update the contact information for this position at the time of programming changes in the federal TIP. This person will be expected to work closely with FHWA, Caltrans, MTC and the respective CMA on all issues related to federal funding for all FHWA-funded projects implemented by the recipient.

By applying for and accepting FHWA funds that must be included in the federal TIP, the project sponsor is acknowledging that it has and will maintain the expertise and staff resources necessary to deliver the federal-aid project within the funding timeframe, and meet all federal-aid project requirements.

FHWA-Administered Project Milestones Status

Project sponsors that miss delivery milestones and funding deadlines for FHWA-administered funds are required to prepare and update a delivery status report on major delivery milestones for all active projects with FHWA-administered funds and participate if requested in a consultation meeting with the county CMA, MTC and Caltrans to discuss the local agency's ability to deliver current and future federal-aid transportation projects, and efforts, practices and procedures to be implemented by the local agency to ensure delivery deadlines and requirements are met in the future. The purpose of the status report and consultation is to ensure the local public agency has the resources and technical capacity to deliver FHWA federal-aid projects, is fully aware of the required delivery deadlines, and has developed a delivery timeline that takes into consideration the requirements and lead-time of the federal-aid process within available resources. For purposes of the delivery status report, 'Active' projects are projects programmed in the current federal TIP with FHWA-administered funds (including those in grouped TIP listings), and projects with FHWA-administered funds that remain active (have received an authorization/obligation but have not been withdrawn or closed out by FHWA). The local public agency is to use the status report format provided by MTC, or use a report agreeable by the respective CMA and MTC staff.

Local Public Agency (LPA) Qualification

In an effort to facilitate project delivery and address federal-aid process requirements, Local Public Agencies (LPA) applying for and accepting FHWA administered funds must be qualified in the federal-aid process. By requesting the programming of federal funds in the federal TIP, the LPA is self-certifying they are qualified to deliver federal-funding transportation projects. This regional LPA qualification is to help confirm the jurisdiction has the appropriate knowledge and expertise to deliver the project. The regional LPA self-qualification is not a substitute for any state or federal certification requirements and is simply to acknowledge a minimum requirement by which a local agency can demonstrate to the respective CMA, MTC and Caltrans a basic level of readiness for delivering federal-aid projects. The purpose of the regional LPA qualification is to allow the LPA to program the funds in the federal TIP and has no other standing, implied or otherwise. The regional LPA qualification does not apply to transit operators that transfer all of their FHWA-administered funds to FTA.

To be 'regionally qualified', for regional discretionary funds, and for programming federal funds in the federal TIP, the LPA must comply with the following, in addition to any other state and federal requirements:

- Assign and maintain a single point of contact for all FHWA-administered projects implemented by the agency.
- Maintain a project tracking status of major delivery milestones for all programmed and active FHWA-administered projects implemented by the agency
- Have staff and/or consultant(s) on board who have delivered FHWA-administered projects within the past five years and/or attended the federal-aid process training class held by Caltrans Local Assistance within the past 5 years, and have the knowledge and expertise to deliver federal-aid projects.

- Maintain all active FHWA-administered projects in good standing with respect to regional, state and federal delivery deadlines, and federal-aid requirements
- Maintain the expertise and staff resources necessary to deliver federal-aid projects within the funding timeframe, and meet all federal-aid project requirements
- Has a financial/accounting system in place that meets state and federal invoicing and auditing requirements;
- Has demonstrated a good delivery record and delivery practices with past and current projects.

Maximizing Federal Funds on Local Projects

To facilitate project delivery and make the most efficient use of federal funds, project sponsors are encouraged to concentrate federal funds on fewer, larger projects and maximize the federal share on federalized project so as to reduce the overall number of federal-aid projects. Sponsors may also want to consider using local funds for the Preliminary Engineering (PE) and Right of Way (ROW) phases and target the federal funds on the Construction (CON) phase, thus further reducing the number of authorizations processed by Caltrans and FHWA. Under the regional toll credit policy (MTC Resolution 4008) sponsors that demonstrate they have met or exceeded the total required non-federal project match in the earlier phases, may use toll credits in lieu of a non-federal match for the construction phase. However, sponsors must still comply with NEPA and other federal requirements for the PE and ROW phases. Such an approach can provide the sponsor with greater flexibility in delivering federal projects and avoiding invoicing requirements for the earlier phases. Sponsors pursuing this strategy should ensure that federal funds are programmed to the construction phase in the federal TIP so that Caltrans will prioritize field reviews and NEPA review and approval.

Specific Project-Level Policy Provisions

Projects selected to receive STP or CMAQ Regional Discretionary Funding must have a demonstrated ability to use the funds within the established regional, state and federal deadlines. This criterion will be used for selecting projects for funding, and for placement of funding in a particular year of the TIP. Agencies with a continued history of being delivery-challenged and continue to miss funding delivery deadlines will have restrictions placed on future obligations and programming and are required to develop major milestone delivery schedules for each of their federal-aid projects.

It is the responsibility of the implementing agency to ensure the funds can be used within the established regional, state and federal deadlines and that the provisions of the regional funding delivery policy can be met. It is also the responsibility of the implementing agency to continuously monitor the progress of the programmed funds against regional, state and federal deadlines, and to report any potential difficulties in meeting these deadlines to MTC, Caltrans and the appropriate county CMA within a timely manner, to seek solutions to potential problems well in advance of potential delivery failure or loss of funding.

Specific project-level provisions of the Regional Project Funding-Delivery Policy are as follow:

- **Field Reviews**

Implementing agencies ~~are required to~~ **are to** request a field review from Caltrans Local Assistance within twelve months of approval of the project in the TIP, but no less than twelve months prior to the obligation deadline of construction funds. This policy also applies to federal-aid projects in the STIP. The requirement does not apply to projects for which a field review would not be applicable, such as FTA transfers, regional operations projects and planning activities, **or if a field review is otherwise not required by Caltrans. It is expected that Caltrans will conduct the review within 60 calendar days of the request.**

Failure for an implementing agency to make a good-faith effort in requesting and scheduling a field review from Caltrans Local Assistance within twelve months of programming into the TIP (but no less than twelve months prior to the obligation deadline) could result in the funding being reprogrammed and restrictions on future programming and obligations. Completed field review forms **(if required)** must be submitted to Caltrans in accordance with Caltrans Local Assistance procedures.

- **Environmental Submittal Deadline**

Implementing agencies are required to submit a complete ~~environmental package~~ **Preliminary Environmental Study (PES) form and attachments** to Caltrans for all projects ~~(except those determined Programmatic Categorical Exclusion as determined by Caltrans at the field review)~~, twelve months prior to the obligation deadline for right of way or construction funds. This policy creates a more realistic time frame for projects to progress from the field review through the environmental and design process, to the right of way and construction phase. If the environmental process, as determined at the field review, will take longer than 12 months before obligation, the implementing agency is responsible for delivering the complete environmental submittal in a timely manner. Failure to comply with this provision could result in the funding being reprogrammed. The requirement does not apply to FTA transfers, regional operations projects or planning activities.

- ~~**Disadvantaged Business Enterprise (DBE)**~~

~~Obligation of federal funds may not occur for contracted activities (any combination of environmental/ design/ construction/ procurement activities performed outside the agency) until and unless an agency has an approved DBE program and methodology for the current federal fiscal year. Therefore, agencies with federal funds programmed in the TIP must have a current approved DBE Program and annual methodology (if applicable) in place prior to the fiscal year the federal funds are programmed in the TIP.~~

~~STP/CMAQ funding for agencies without approved DBE methodology for the current year are subject to redirection to other projects after February 1. Agencies should begin the DBE process as early as possible to meet the Caltrans DBE submittal deadline of June 1 the preceding fiscal year. Projects advanced under the Expedited Project Selection Process (EPSP) must have an approved DBE program and annual methodology for the current year (if applicable) prior to the advancement of funds.~~

Important Tip: ~~An agency DBE plan is required before the obligation of federal funds. Furthermore, an annual DBE methodology must be approved prior to the obligation of federal funds for services to be contracted out (such as environmental/ design/ construction/ procurement activities performed outside the agency). An annual DBE methodology may not be required if the activities (such as environmental or design) are to be performed in house using internal staff resources. It generally takes a minimum of 90 days (including a minimum 45 day public comment period) to have an annual DBE methodology approved. Due to the complexities of the DBE requirements, agencies should contact Caltrans Local Assistance to determine whether an annual DBE methodology is required. If a DBE methodology is required, agencies are encouraged to begin the process by March of the preceding federal fiscal year so the process may be complete by the Caltrans due date of June 1 of the preceding fiscal year. This will ensure the DBE requirement has been met by the beginning of the federal fiscal year in October.~~

- **Obligation/Request For Authorization (RFA) Submittal Deadline**

Projects selected to receive ~~STP and CMAQ~~ **Regional Discretionary** funding must demonstrate the ability to obligate programmed funds by the established ~~obligation~~ deadlines. This criterion will be used for selecting projects for funding, and for placement in a particular year of the TIP. It is the responsibility of the implementing agency to ensure the **funding** deadlines ~~and federal aid requirements~~ can be met.

In order to ensure funds are obligated or transferred to FTA in a timely manner, the implementing agency is required to deliver a complete, funding obligation / FTA Transfer Request for Authorization (RFA) package to Caltrans Local Assistance by ~~February 1~~ **November 1** of the **fiscal year** the funds are listed in the TIP. **The RFA package includes the CTC allocation request documentation for CTC managed funds such as STIP and State-TAP funded projects as applicable.** Projects with complete packages delivered by ~~February 1~~ **November 1** of the **TIP** program year will have priority for available OA, after ACA conversions that are included in the Obligation Plan. If the project is delivered after ~~February 1~~ **November 1** of the **TIP** program year, the funds will not be the highest priority for obligation in the event of OA limitations, and will compete for limited OA with projects advanced from future years. Funding for which an obligation/ FTA transfer request is submitted after the ~~February 1~~ **November 1** deadline will lose its priority for OA, and be viewed as subject to reprogramming.

Important Tip: Once a federal fiscal year (October 1 through September 30) has begun, and the Obligation Plan for that year developed, the agency is committed to obligating/transferring the funds by the required obligation deadline for that fiscal year. Funds that do not meet the obligation deadline are subject to de-programming by MTC.

Within the CMA administered programs, ~~such as the Local Streets and Roads Rehabilitation program,~~ the CMAs may adjust delivery, consistent with the program eligibility requirements, up until ~~February 1 of the programmed year~~ **the start of federal fiscal year in which the funds are programmed in the TIP,** swapping funds to ready-to-go projects in

order to utilize all of the programming capacity. The substituted project(s) must still obligate the funds within the original funding deadline.

For funds programmed through regional ~~competitive~~ programs, such as the regional Transportation for Livable Communities (TLC) program, or for regional operations projects, such as 511, or for planning activities, such as the CMA planning activities, the Commission has discretion to redirect funds from delayed or failed projects.

~~STP and CMAQ MTC Regional Discretionary Funding~~ funds are is subject to a **regional obligation/authorization/FTA transfer deadline of April 30 ~~January 31~~** of the fiscal year the funds are programmed in the TIP. Implementing agencies are required to submit the completed request for obligation/**authorization** or FTA transfer to Caltrans Local Assistance by ~~February 1~~ **November 1** of the fiscal year the funds are programmed in the TIP, and receive an obligation/**authorization/** FTA transfer of the funds by ~~April 30~~ **January 31** of the fiscal year programmed in the TIP. For example, projects programmed in ~~FY 2007-08~~ **FY 2014-15** of the TIP have a **request for authorization/obligation/FTA transfer request** submittal deadline (to Caltrans Local Assistance) of ~~February 1, 2008~~ **November 1, 2014** and an obligation/**authorization/** FTA transfer deadline of ~~April 30, 2008~~ **January 31, 2015**. Projects programmed in ~~FY 2008-09~~ have an obligation request submittal deadline (to Caltrans) of ~~February 1, 2009~~ and an obligation/FTA transfer deadline of ~~April 30, 2009~~. No extensions will be granted to the obligation deadline.

In Summary:

- **Request For Authorization (RFA) Submittal Deadline:** ~~February 1~~ **November 1** of the fiscal year **the funds are** programmed in the **federal** TIP. The Implementing Agency is required to submit a complete **Request for Authorization (RFA)/obligation/transfer package to Caltrans (3 months prior to the Obligation Deadline). For projects with federal funds managed by the CTC, such as STIP and State-TAP, the required CTC allocation request documentation must also be submitted by November 1 in order to meet the January 31 obligation deadline.**
- **Obligation /Authorization Deadline:** ~~April 30~~ **January 31** of the fiscal year **the funds are** programmed in the TIP, **including funds managed by the CTC, such as STIP and state-TAP.** No extensions will be granted to the obligation deadline.

Important Tip: If an agency must coordinate delivery with other delivery timelines and other fund sources, it should program the Regional Discretionary Funding in a later year of the TIP and advance the funds after April 30 using the Expedited Project Selection Process (EPSP) when additional OA is made available by Caltrans. Projects with federal funds managed by the CTC, such as STIP and state-TAP, should receive a CTC allocation in sufficient time to receive the federal obligation by the obligation deadline.

~~February 1~~ **November 1** - Regional **Request For Authorization (RFA)** submittal deadline. Complete **and accurate Request for Authorization** package submittals, and ACA conversion requests for projects in the annual obligation plan received by ~~February~~

† **November 1** of the fiscal year the funds are programmed in the TIP will receive priority for obligations against available OA. **The RFA should include CTC allocation request documentation for federal STIP and state-TAP funded projects as applicable.**

February 1 – April 30 November 1 – January 31 – Projects **programmed in the current year of the TIP and** submitted during this timeframe are subject to deprogramming. If OA is still available, these projects may receive OA if obligated by ~~April 30~~ **January 31**. If OA is limited, these projects will compete for OA with projects advanced from future years on a first come-first serve basis. Projects with funds to be advanced from future years ~~must~~ **should** request the advance prior to ~~April 30~~ **January 31**, in order to secure the funds within that federal fiscal year. **This rule does not apply to federal funds managed by the CTC such as STIP or state-TAP funds.**

April 30 January 31 - Regional obligation/**Authorization** deadline. **Regional Discretionary Funding** not obligated (or transferred to FTA) by ~~April 30~~ **January 31** of the fiscal year **the funds are** programmed in the TIP ~~will be returned to MTC for reprogramming~~ **are subject to reprogramming by MTC.** No extensions of this deadline will be granted. Projects seeking advanced obligations against funds from future years should request the advance prior to ~~April 30~~ **January 31** in order to secure the funds within that federal fiscal year. **For funding managed by the CTC, the CTC allocation should occur in sufficient time to meet the January 31 federal obligation deadline.**

The obligation deadline may not be extended. The funds must be obligated by the established deadline or they ~~will be de-programmed~~ are subject to de-programming from the project and redirected by the Commission to a project that can use the funds in a timely manner.

Note: Advance Construction Authorization does not satisfy the regional obligation deadline requirement, ~~except under certain circumstances such as when Caltrans uses ACA for state projects.~~

Important Tip: In some years, OA for the region may be severely limited, especially toward the end of the **such as when the state has run out of OA, or Congress has only provided a partial year's appropriation or during short-term extensions of a** federal Authorization Act. When OA is limited, ACA conversions identified in the annual obligation plan and submitted before the **RFA** deadline of ~~February 1~~ **November 1** have priority, followed by other projects in the annual obligation plan submitted before the **RFA Submittal** deadline of ~~February 1~~ **November 1**. Projects in the obligation plan but submitted after ~~February 1~~ **November 1** may have OA (and thus the obligation of funds) restricted and may have to wait until OA becomes available – either after ~~June 1~~ **May 1**, when unused OA is released from other regions, or in the following federal fiscal year when Congress approves additional OA. ~~Obligation requests~~ **RFAs** submitted after the ~~February 1~~ **November 1** deadline have no priority for OA for that year. Agencies with projects not in good standing with regards to the deadlines of this policy ~~may have OA restricted~~ **or not complying with federal-aid requirements, are subject to restrictions in future Regional Discretionary Funding and the programming of funds in the federal TIP.**

- **Coordination with CTC allocations**

The CTC has its own delivery deadlines that must be met in addition to the regional deadlines. Regional deadlines are always in advance of both state and federal deadlines to ensure all deadlines can be met and funds are not jeopardized. To further ensure that CTC deadlines are met, allocation requests to the CTC for federal funds, must be accompanied with a complete and accurate E-76 RFA package, so that the authorization/ obligation may be processed immediately following CTC action. MTC will not sign off on allocation concurrences unless the E-76 RFA package is also submitted.

- **Program Supplement Agreement (PSA) Deadline**

The implementing agency must execute and return the Program Supplement Agreement (PSA) to Caltrans in accordance with Caltrans Local Assistance procedures. **It is expected that Caltrans will initiate the PSA within 30 days of obligation.** The agency must **should** contact Caltrans if the PSA is not received from Caltrans within 30 days of the obligation. This requirement does not apply to FTA transfers.

Agencies that do not execute and return the PSA to Caltrans within the required Caltrans deadline will be unable to obtain future approvals for any projects, including obligation and payments, until all PSAs for that agency, regardless of fund source, meet the PSA execution requirement. Funds for projects that do not have an executed PSA within the required Caltrans deadline are subject to de-obligation by Caltrans.

- **Construction Advertisement / Award Deadline**

For the Construction (CON) phase, the construction/equipment purchase contract must be advertised ~~within 6 months of obligation and awarded within 9~~ **6** months of obligation (**or within 6 months of allocation by the CTC for funds managed by the CTC**). However, regardless of the advertisement and award deadline, agencies must still meet the invoicing deadline for construction funds. Failure to advertise and award a contract in a timely manner could result in missing the subsequent invoicing and reimbursement deadline, resulting in the loss of funding.

Agencies must submit the notice of award **complete award package immediately after contract award and prior to submitting the first invoice** to Caltrans in accordance with Caltrans Local Assistance procedures, ~~with a copy also submitted to the applicable CMA.~~ Agencies with projects that do not meet these award deadlines will have future programming and OA restricted until their projects are brought into compliance.

For FTA projects, funds must be approved/awarded in an FTA Grant within one federal fiscal year following the federal fiscal year in which the funds were transferred to FTA.

Important Tip: Agencies may want to use the flexibility provided through Advance Construction Authorization (ACA) if it will be difficult meeting the deadlines. Agencies may consider proceeding with ACA and converting to a full obligation at time of award when project costs and schedules are more defined or when the agency is ready to invoice.

- **Regional Invoicing and Reimbursement Deadlines – Inactive Projects**

Funds for each federally funded phase and for each federal program code must be invoiced against at least once every six months.

Funds for each federally funded (Environmental (ENV/ PA&ED), Preliminary Engineering (PE), Final Design (PS&E) and Right of Way (R/W) phase and for each federal program code within these phases, must be invoiced against at least once every six months following obligation. Funds that are not invoiced at least once every 12 months are subject to de-obligation. There is no guarantee that funds will be available to the project once de-obligated.

Funds for the Construction (CON) phase, and for each federal program code within the construction phase, must be invoiced and reimbursed against at least once within 12 months of the obligation, and then invoiced at least once every 6 months there after. Funds that are not invoiced and reimbursed at least once every 12 months are subject to de-obligation by FHWA. There is no guarantee that funds will be available to the project once de-obligated.

Agencies with projects that have not been invoiced against and reimbursed within a 12 month period, regardless of federal fund source, will have restrictions placed on future programming and OA until the project is properly invoiced. Funds that are not invoiced and reimbursed against at least once every 12 months are subject to de-obligation by FHWA.

Caltrans requires administering agencies to submit invoices at least once every 6 months from the time of obligation (E-76 authorization). Projects that have not received a reimbursement of federal funds in the previous 12 months are considered inactive with the remaining un-reimbursed funds subject to de-obligation by FHWA with no guarantee the funds are available to the project sponsor.

To ensure funds are not lost in the region, regional deadlines have been established in advance of federal deadlines. Project Sponsors must submit a valid invoice to Caltrans Local Assistance at least once every 6 months and receive a reimbursement at least once every 9 months, but should not submit an invoice more than quarterly.

Agencies with projects that have not been invoiced against at least once in the previous 6 months or have not received a reimbursement within the previous 9 months have missed the invoicing/reimbursement deadlines and are subject to restrictions placed on future regional discretionary funds and the programming of additional federal funds in the federal TIP until the project receives a reimbursement.

If a project does not have eligible expenses within a 6 month period, the agency must provide a written explanation to Caltrans Local Assistance for that six month period and submit an invoice as soon as practicable to avoid missing the 12 month invoicing and reimbursement deadline.

Important Tip: In accordance with Caltrans procedures, federal funds must be invoiced against for each obligated phase and each federal program code at least once every six months. Funds that are not invoiced and reimbursed **against** at least once every 12 months

are subject to de-obligation by FHWA. There is no guarantee the funds will be available to the project once de-obligated. Agencies that prefer to submit one final billing rather than semi-annual progress billings, **or anticipate a longer project-award process or anticipate having difficulty in meeting these deadlines** can use Advance Construction Authority (ACA) to proceed with the project, then convert to a full obligation prior to project completion. ~~ACA does not meet the obligation deadline, but ACA conversions do receive priority in the annual obligation plan.~~

- ~~Inactive Projects~~

~~Most projects can be completed well within the state's deadline for funding liquidation or FHWA's ten year proceed to construction requirement. Yet it is viewed negatively by both FHWA and the California Department of Finance for projects to remain inactive for more than twelve months. It is expected that funds for completed phases will be invoiced immediately for the phase, and projects will be closed out within six months of the final project invoice. Funds that are not invoiced and reimbursed at least once every 12 months are subject to de-obligation by FHWA. There is no guarantee the funds will be available to the project once de-obligated.~~

- **State Liquidation/Reimbursement Deadline**

California Government Codes 16304.1 and 16304.3 places additional restrictions on the liquidation of federal funds. Generally, federal funds must be liquidated (fully expended, invoiced and reimbursed) within ~~6~~ **5** state fiscal years following the fiscal year in which the funds were appropriated. Funds that miss the state's liquidation/ reimbursement deadline will lose State Budget Authority and will be de-obligated if not reappropriated by the State Legislature, or extended (for one year) in a Cooperative Work Agreement (CWA) with the California Department of Finance. This requirement does not apply to FTA transfers.

- **Project Completion /Close-Out Deadline**

Implementing Agencies must fully expend federal funds on a phase one year prior to the estimated completion date provided to Caltrans.

At the time of obligation (E-76 authorization) the implementing agency must provide Caltrans with an estimated completion date for that project phase. Any unreimbursed federal funding remaining on the phase after the estimated completion date has passed, is subject to project funding adjustments by FHWA.

~~Projects must be properly closed out~~ **Implementing agencies must submit to Caltrans the Final Report of Expenditures** within six months of ~~final project invoice~~ **project completion**. Projects must proceed to **right of way acquisition or** construction within 10 years of federal authorization of the initial phase.

Federal regulations require that federally funded projects proceed to construction **or right of way acquisition** within 10 years of initial federal authorization of any phase of the project. Furthermore, if a project is canceled, or fails to proceed to construction **or right of way**

acquisition in 10 years, FHWA will de-obligate any remaining funds, and the agency may be required to repay any reimbursed funds. If a project is canceled as a result of the environmental process, the agency may not be required to repay reimbursed costs for the environmental activities. However, if a project is canceled after the environmental process is complete, or a project does not proceed to right of way acquisition or construction within 10 years, the agency is required to repay all reimbursed federal funds.

Agencies with projects that have not been closed out within 6 months of final invoice will have future programming and OA restricted until the project is closed out or brought back to good standing by providing written explanation to Caltrans Local Assistance, the applicable CMA and MTC.

Note that funds managed and allocated by the CTC may have different and more stringent funding deadlines. A CTC allocated-project must fully expend those funds within 36 months of the CTC funding allocation.

Consequences of Missed Deadlines

It is the responsibility of the implementing agency to ensure the funds can be used within the established regional, state and federal deadlines and that the provisions of the regional project-funding delivery policy, and all other state and federal requirements can be met. It is also the responsibility of the implementing agency to continuously monitor the progress of ~~the~~ **all their FHWA federal-aid** projects against these regional, state and federal funding deadlines **and milestones** and report any potential difficulties in meeting these deadlines to MTC, Caltrans and the appropriate county CMA within a timely manner. MTC, Caltrans and the CMAs are available to assist the implementing agencies in meeting the funding deadlines, and ~~may be able~~ **will work with the agency** to find solutions that avoid the loss of funds.

Agencies that do not meet these funding deadlines risk the loss of federal funds. To minimize such losses to the region, and encourage timely project delivery, agencies that continue to be delivery-challenged and/or have current projects that have missed the funding deadlines, **or are out of compliance with federal-aid requirements and deadlines** will have future obligations, programming or requests for advancement of funds restricted until their projects are brought back into good standing. Projects are selected to receive ~~STP or CMAQ~~ **Regional Discretionary Funding** based on the implementing agency's demonstrated ability to deliver the projects within the funding deadlines. An agency's proven delivery record will be used for selecting projects for funding and placement in a particular year of the TIP, and for receipt of OA.



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: Partnership Technical Advisory Committee

DATE: November 18, 2013

FR: Adam Crenshaw

RE: 2013 TIP Update

2013 TIP Approval

The 2013 TIP and Transportation-Air Quality Conformity Analysis on the 2013 TIP were adopted by the Commission on July 18, 2013 and approved by the Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) on August 12, 2013. They are valid through August 12, 2017.

TIP Revision 13-08 – Amendment (Proposed)

Amendment 13-08 revises 17 projects with a net increase in funding of \$18 million. Among other changes, the revision:

- Amends four exempt and seven non-exempt, not regionally significant One Bay Area Grant (OBAG) funded projects into the TIP and updates the funding plan and scope of one additional OBAG funded project with a net increase in STP/CMAQ funding of \$11.5 million;
- Archives an earlier listing for the Vallejo Downtown Streetscapes project (SOL050048) as it has been completed; and
- Amends two new grouped listings into the TIP (VAR130002 – GL: JARC FY12 Small UA & Rural; and VAR130003 – GL: New Freedom FY12 Small UA & Rural) with a net increase in JARC funding of \$475,933 and in New Freedom funding of \$584,825.

Changes made with this revision do not affect the air quality conformity finding or conflict with the financial constraint requirements. Amendment 13-08 is scheduled to be approved by the Commission on November 20, 2013. Caltrans approval is expected in mid-December, 2013 and final federal approval is expected in mid-January, 2014.

TIP Revision 13-05 through 13-07 – Administrative Modifications (Pending)

Administrative Modifications 2013-05 to 2013-07 are under development.

TIP Revision 13-04 – Amendment (Approved)

Amendment 13-04 revises 221 projects with a net increase in funding of \$635 million. Among other changes, the revision:

- Amends 133 exempt and 11 non-exempt, not regionally significant One Bay Area Grant (OBAG), Regional Safe Routes to Schools (RSRTS), Priority Development Area (PDA) Planning, and Priority Conservation Area (PCA) funded projects into the TIP;
- Updates the funding plans of 16 existing projects to reflect the programming of funds from these programs;

- Updates the funding plans of three projects (REG110017, REG110010, and REG110015) and amends in nine exempt projects to reconcile the 2013 TIP with changes made as part of TIP Amendment 2011-35;
- Amends nine exempt projects, three non-exempt, not regionally significant projects, and the PE phase of one non-exempt project into the TIP;
- Updates the funding plans of five Transit Capital Priority (TCP) funded projects to reflect prior programming actions;
- Updates the funding plans and back-up listings for seven grouped listings (REG110042, VAR110045, VAR110001, VAR110003, VAR110005, VAR110037, and VAR110044) and the funding plan for one individual project listing (SON090027) to reflect the latest programming information;
- Amends one new grouped listing, SHOPP Roadside Preservation (VAR130001), into the TIP and archives the older version of this grouped listing (MTC050008) as the projects in that listing have been completed;
- Deletes four exempt projects from the TIP as the funding has been redirected; and
- Archives three projects from the TIP as they have been completed.

Changes made with this revision do not affect the air quality conformity finding or conflict with the financial constraint requirements. Amendment 13-04 was approved by the Commission on September 25, 2013. Caltrans approval was received on October 1, 2013 and final federal approval was received on October 24, 2013.

TIP Revision 13-03 – Administrative Modification (Approved)

Administrative Modification 13-03 revises 87 projects with a net increase in funding of \$36 million.

Among other changes this revision:

- Updates the funding plans of 27 STP/CMAQ funded projects to reflect the latest programming decisions;
- Updates the funding plans of 27 FTA funded projects to reflect programming changes made through the Transit Capital Priorities program;
- Updates the funding plan of MTC's Freeway Performance Initiative project (REG090003) to add \$2 million in FHWA Highway for Life grant funds and to reflect other programming changes; and
- Updates the funding plans and back-up listings of four Caltrans managed grouped listings (VAR110004, VAR110012, VAR110031, and VAR110042) and one other grouped listing (REG110041) and updates the back-up listing only for one additional grouped listing (REG110032) to reflect the latest programming information.

The administrative modification is financially constrained by year and MTC relies on the State's programming capacity in the amount of \$181,000 in FTA 5311(f) funds, \$12.8 million in SHOPP funds, \$2 million in FHWA Highway for Life grant funds, \$7.1 million in State STP funds, \$2.4 million in HPP funds, \$10,979 in Non-Motorized Transportation Pilot Program funds and \$333,700 in Transportation, Community, and System Preservation funds. MTC's 2013 TIP, as revised with Revision No. 2013-03, remains in conformity with the applicable State Implementation Plan (SIP) for air quality and the revision does not interfere with the timely implementation of the Transportation Control Measures contained in SIP. The revision was approved into the FSTIP by the deputy executive director on September 30, 2013.

TIP Revision 13-02 – Administrative Modification (Approved)

Administrative Modification 13-02 revises three Federal Transit Administration funded projects to reflect funds programmed through the Transit Capital Priorities Program with a net increase in funding of \$7 million.

MTC will update the financial plan to reflect the additional revenues with the next amendment. MTC's 2013 TIP, as revised with Revision No. 2013-02, remains in conformity with the applicable State Implementation Plan (SIP) for air quality and the revision does not interfere with the timely implementation of the Transportation Control Measures contained in SIP. The revision was approved into the FSTIP by the deputy executive director on September 24, 2013.

TIP Revision 13-01 – Administrative Modification (Approved)

Administrative Modification 13-01 revises 1 project with no net change in funding. The revision:

- Updates the funding plan of San Jose's Autumn St. Extension project to reprogram earmarked funds from FY2010 and FY2011 to FY2013.

The administrative modification is financially constrained by year and MTC relies on the State's programming capacity in the amount of \$974,000 in earmarked STP funds. MTC will update the financial plan to reflect the additional revenues with the next amendment. MTC's 2013 TIP, as revised with Revision No. 2013-01, remains in conformity with the applicable State Implementation Plan (SIP) for air quality and the revision does not interfere with the timely implementation of the Transportation Control Measures contained in SIP. The revision was approved into the FSTIP by the deputy executive director on August 15, 2013.

The 2013 TIP revision schedule (Attachment A) has been posted at the following link:

http://www.mtc.ca.gov/funding/tip/2013/2013_TIP_Revision_Schedule.pdf and project sponsors are requested to submit revision requests before 5:00 PM on the stated deadlines.

Information on TIP revisions is also available through the TIPINFO notification system (electronic mails). Anyone may sign up for this service by sending an email address and affiliation to: tipinfo@mtc.ca.gov.

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>.

If you have any questions regarding any TIP project, please contact Adam Crenshaw at (510) 817-5794 or acrenshaw@mtc.ca.gov. The Fund Management System (FMS) system has also been updated to reflect the approvals received.

Attachments:

A - 2013 TIP Revision Schedule as of October 28, 2013

METROPOLITAN TRANSPORTATION COMMISSION
TRANSPORTATION IMPROVEMENT PROGRAM (TIP)
Tentative 2013 TIP REVISION SCHEDULE - Sorted by Revision Request Submission Deadline
as of October 28, 2013

REVISION TYPE	REVISION NUMBER	REVISION REQUEST SUBMISSION DEADLINE	MTC APPROVAL*	STATE APPROVAL*	FEDERAL APPROVAL*	APPROVAL STATUS	TIP REVISION FINAL APPROVAL DATE
2013 TIP Update	13-00	Thu, Feb 21, 2013	Thu, Jul 18, 2013	Fri, Jul 26, 2013	Mon, Aug 12, 2013	Approved	Mon, Aug 12, 2013
Admin. Modification	13-01	Thu, Aug 1, 2013	Thu, Aug 15, 2013	N/A	N/A	Approved	Thu, Aug 15, 2013
Amendment	13-04	Thu, Aug 1, 2013	Wed, Sep 25, 2013	Tue, Oct 1, 2013	Thu, Oct 24, 2013	Approved	Thu, Oct 24, 2013
Admin. Modification	13-02	Sun, Sep 1, 2013	Tue, Sep 24, 2013	N/A	N/A	Approved	Tue, Sep 24, 2013
Admin. Modification	13-03	Sun, Sep 1, 2013	Mon, Sep 30, 2013	N/A	N/A	Approved	Mon, Sep 30, 2013
Admin. Modification	13-05	Tue, Oct 1, 2013	Thu, Oct 31, 2013	N/A	N/A	Pending	TBD
Amendment	13-08	Tue, Oct 1, 2013	Wed, Nov 20, 2013	TBD (Estimated 4 weeks after MTC Approval Date)	TBD (Estimated 4 weeks after State Approval Date)	Pending	TBD
Admin. Modification	13-06	Fri, Oct 25, 2013	Fri, Nov 22, 2013	N/A	N/A	Pending	TBD
Admin. Modification	13-07	Fri, Nov 22, 2013	Fri, Dec 20, 2013	N/A	N/A	Pending	TBD
Amendment	13-11	Sun, Dec 1, 2013	Wed, Jan 22, 2014	TBD (Estimated 4 weeks after MTC Approval Date)	TBD (Estimated 4 weeks after State Approval Date)	Pending	TBD
Admin. Modification	13-09	Wed, Jan 1, 2014	Fri, Jan 31, 2014	N/A	N/A	Pending	TBD
Admin. Modification	13-10	Sat, Feb 1, 2014	Fri, Feb 28, 2014	N/A	N/A	Pending	TBD
Amendment	13-14	Sat, Feb 1, 2014	Wed, Mar 26, 2014	TBD (Estimated 4 weeks after MTC Approval Date)	TBD (Estimated 4 weeks after State Approval Date)	Pending	TBD
Admin. Modification	13-12	Sat, Mar 1, 2014	Mon, Mar 31, 2014	N/A	N/A	Pending	TBD
Admin. Modification	13-13	Tue, Apr 1, 2014	Wed, Apr 30, 2014	N/A	N/A	Pending	TBD
Amendment	13-17	Tue, Apr 1, 2014	Wed, May 28, 2014	TBD (Estimated 4 weeks after MTC Approval Date)	TBD (Estimated 4 weeks after State Approval Date)	Pending	TBD
Admin. Modification	13-15	Thu, May 1, 2014	Fri, May 30, 2014	N/A	N/A	Pending	TBD
Admin. Modification	13-16	Sun, Jun 1, 2014	Mon, Jun 30, 2014	N/A	N/A	Pending	TBD
Amendment	13-20	Sun, Jun 1, 2014	Wed, Jul 23, 2014	TBD (Estimated 4 weeks after MTC Approval Date)	TBD (Estimated 4 weeks after State Approval Date)	Pending	TBD
Admin. Modification	13-18	Tue, Jul 1, 2014	Thu, Jul 31, 2014	N/A	N/A	Pending	TBD
Admin. Modification	13-19	Fri, Aug 1, 2014	Fri, Aug 29, 2014	N/A	N/A	Pending	TBD

TBD - To Be Determined

N/A - Not Applicable / Not Required

The schedule is also available at the following link: http://www.mtc.ca.gov/funding/tip/2013/2013_TIP_Revision_Schedule.pdf

Note: * MTC has delegated authority to approve TIP administrative modifications, and may approve administrative modifications on, prior to, or after the tentative date listed