

State of California
Business, Transportation and Housing Agency
Department of Transportation

PROGRAM BUSINESS
Local Assistance Lump Sum Allocation
Resolution:

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QUARTERLY LOCAL ASSISTANCE LUMP SUM ALLOCATION **FINAL STATUS REPORT FOR 2001-02 FISCAL YEAR**

Background

The Local Assistance Program administers the local assistance subvention budget under authority for the California Transportation Commission (Commission). The Commission provides an annual lump sum allocation consistent with the Budget Act. The commission further delegates to the Department the authority to adjust allocations for local assistance and reports to the Commission if any transfers in or out of an expenditure category exceed 10 percent of the total allocation.

In June 2001, the Commission passed Resolution FM-01-2, the allocation of funds for local assistance for fiscal year 2001-02. The allocation included approximately \$79 million in state funds and \$917 million in federal funds for a total of \$996 million.

In May 2002, the Commission passed Resolution FM-01-04 approving the exchange of state funds for federal funds for the Safe Routes to School Program, cycle two projects. The amount approved was \$20.7 million. The state and federal allocations have been adjusted to reflect the exchange as follows: \$99 million in state funds and \$896 million federal funds for a total of \$996 million.

Local Assistance Lump sum Allocation Status for the Fiscal Year (FY) 2001-2002

As of July 31, 2002, \$830 million or 83.4% of the \$996 million allocated has been expended. These funds were allocated for 1,327 local projects. The majority of these expenditures, including FTA transfers, are for:

Surface Transportation Program – 371 projects, \$263 million
Congestion Mitigation & Air Quality Program (CMAQ) – 250 projects, \$284.5 million
TEA Program, Regional Share – 146 projects, \$49.9 million
Highway Bridge Rehabilitation and Replacement – 125 projects, \$43.3 million

The remaining 435 projects are a summary of all other funds or 33 % of the total projects.

Eighty six percent of the federal funds allocated have been expended and 68% of the state funds have been used. Five categories have exceeded the original allocation made by the Commission by

10 percent or more. Adjustments between categories are allowed per CTC Resolution G-01-08 provided that the lump sum allocation remains the same in total. Total expenditures to-date is within the lump sum allocation.

The Miscellaneous category has expended \$13.5 million more than its original allocation. However, this represents approximately 1.6% of the \$830 million expended to date. The Transportation Enhancement Activities, Regional Share has expended \$47.9 million or 5.7% of the total expenditures.

The allocations for the Railroad Grade Crossing Protection and the Hazard Elimination & Safety (HES) were adjusted down to reflect the Safe Routes to Schools (SR2S) Program approved exchange of state funds for federal funds. The allocation adjustments were appropriate since the SR2S Program, Railroad Grade Crossing Protection and HES programs are under the umbrella of safety funds. The Railroad Grade Crossing Protection category has expended \$19.6 million or 2.4 % of the total expenditures. The Hazard Elimination & Safety Program has expended \$17.3 million or 2% correspondingly.

The Demonstration Projects category expended \$64.7 million or 7.8% of the total expenditures. The allocation request for this category was initially zero since specific projects expected to receive funds during this fiscal year were not known. Including a category for Demonstration projects in the allocation from the Commission allows the Department to make allocations for these projects using excess funds from other categories.

The Railroad Grade Separations and the Safe Routes to School Programs have not incurred expenditures. Contract development and approval for the Railroad activities may take several years. Contracts for the Safe Routes to School Program have been sent out for several agencies and it is anticipated funds will be encumbered shortly.

The delivery to date for fiscal year 2001-02 (\$830.4 million or 83% of the funds allocated) is lower compared to the same period last year (\$1.025 billion or 110% of the funds allocated). However, the last quarter of the federal fiscal year is typically the heaviest delivery period. Therefore, it is expected that the FY 2001-02 allocation will be fully expended.

Attachment

LOCAL ASSISTANCE FUNDS

FY 2001-02
(As of July 31, 2002)

(Dollars in 1,000)

| Fund Description | CTC Allocation | | | Total Expenditures | | | Allocation Balance | | | Percent of Allocation Expended | Number of Projects |
|---|----------------|----------------|----------------|--------------------|----------------|----------------|--------------------|----------------|----------------|--------------------------------|--------------------|
| | State | Federal | Total | State | Federal | Total | State | Federal | Total | Total | Total |
| Surface Transportation Pgrm (STP) | | 331,100 | 331,100 | | 192,378 | 192,378 | 0 | 138,722 | 138,722 | 58.1% | 358 |
| STP State Match and Exchange | 46,000 | | 46,000 | 47,384 | | 47,384 | (1,384) | | (1,384) | 103.0% | 86 |
| Congestion Mitigation & Air Qual Pgrm (CMAQ) | | 350,235 | 350,235 | | 46,282 | 46,282 | 0 | 303,953 | 303,953 | 13.2% | 177 |
| Bridge Scour & State Match | 900 | 3,300 | 4,200 | 273 | 1,091 | 1,364 | 627 | 2,209 | 2,836 | 32.5% | 4 |
| Highway Bridge Rehabilitation & Replacement (HBRR) | | 98,645 | 98,645 | | 43,303 | 43,303 | 0 | 55,342 | 55,342 | 43.9% | 125 |
| Bridge Seismic Retrofit State Match | 15,000 | 54,300 | 69,300 | 3,754 | 11,696 | 15,450 | 11,246 | 42,604 | 53,850 | 22.3% | 111 |
| RR Grade Crossing Protection | | 9,394 | 9,394 | | 19,632 | 19,632 | 0 | (10,238) | (10,238) | 209.0% | 32 |
| RR Grade Crossing Maintenance | 4,250 | | 4,250 | 4,250 | 0 | 4,250 | 0 | 0 | 0 | 100.0% | 1 |
| Railroad Grade Separations | 7,500 | | 7,500 | 0 | 0 | 0 | 7,500 | 0 | 7,500 | 0.0% | |
| Hazard Elimination & Safety (HES) | | 8,304 | 8,304 | | 17,384 | 17,384 | 0 | (9,080) | (9,080) | 209.3% | 122 |
| Safe Routes to School | 20,665 | | 20,665 | 0 | 0 | 0 | 20,665 | 0 | 20,665 | 0.0% | |
| Transportation Enhancement Activities, Regional Share | | 39,760 | 39,760 | 21 | 47,930 | 47,951 | (21) | (8,170) | (8,191) | 120.6% | 145 |
| Transportation Enhancement Activities Exchange | 3,000 | | 3,000 | 2,925 | | 2,925 | 75 | 0 | 75 | 97.5% | 16 |
| Demonstration Projects | | 0 | 0 | | 64,774 | 64,774 | 0 | (64,774) | (64,774) | | 31 |
| Miscellaneous | 2,100 | 1,100 | 3,200 | 8,564 | 8,137 | 16,701 | (6,464) | (7,037) | (13,501) | 521.9% | 31 |
| Total Local Assistance Subvented Funds | 99,415 | 896,138 | 995,553 | 67,171 | 452,607 | 519,778 | 32,244 | 443,531 | 475,775 | 52.2% | 1,239 |
| FTA Transfers | | | | 310,664 | | 310,664 | 0 | (310,664) | (310,664) | | 88 |
| Total Local Assistance Including FTA Transfers | 99,415 | 896,138 | 995,553 | 67,171 | 763,271 | 830,442 | 32,244 | 132,867 | 165,111 | 83.4% | 1,327 |

Assumptions:

- The amounts do not include Freeway Service Patrol or Bay Area Ferry Operations.
- FTA transfers are \$70,673,700 for RSTP, \$238,257,984 for CMAQ and \$1,732,000 for TEA. These numbers are through June 2002.
- Misc. expenditures include projects not included elsewhere.
- Balances are based on allocation requests.
- The Allocation balance is the difference between CTC allocation and Total Encumbrances.
- FAU/FAS allotment and expenditures is shown under STP
- Expenditures and Number of Projects is from new LP2000 report - Local Assistance Funds dated September 6, 2002.

