

Public Transportation Modernization, Improvement and Service Enhancement Account (PTMISEA)

Summer 2009



Contents:

- Program Overview
 - Program Update
 - Allocation Request Process
 - Project Accountability and Completion
 - Q & A
-

Program Overview

- Created by Proposition 1B, the Highway Safety, Traffic Reduction, Air Quality, and Port Security Bond Act of 2006.
 - \$3.6 billion dollars was allocated to PTMISEA available to transit operators over a ten-year period.
-

Program Overview Cont...

- Use of Funds:
 - Safety or modernization improvements,
 - Capital service enhancements or expansions,
 - New capital projects,
 - BRT
 - Rolling stock procurement, rehabilitation or replacement.
-

Program Overview Cont...

- Appropriated annually by the Legislature to the State Controllers Office (SCO)
 - The Department of Transportation is the administering agency.
 - \$600 million for FY 07/08
 - \$350 million for FY 08/09 and \$350 for FY 09/10
-

Program Update & Budget

- FY 07/08 Projects
 - FY 08/09 Projects Status
 - Bond Sales
 - FY 9/10
 - Bill update (next two slides)
-

AB 1072 (ENG)*

- This bill applies the process and formulae used initially in the Budget to distribute transit funds under PTMISEA to funds remaining in Prop 1B Program.
- This will allow recipients to plan long term and engage in contracts with vendors with some certainty for funding.
- Urgency clause so the allocation will be in place for the \$350 million PTMISEA appropriation already enacted for the 2009-2010 Budget Act

** Status of the bill*

AB 672* (BASS and ENG)

- Authorizes a regional or local agency to apply to an administrative agency for a letter of no prejudice (LNOP) for a project that is programmed for funding on or after July 1, 2008, with bonds made available from Prop 1B.
 - Provides, that the LNOP will allow the regional or local agency to use its own funds for any bond-funded component of the project and serve to ensure the project sponsor will be reimbursed for expending its own funds.
-

** Status of the bill*

Allocation Request Process

- Allocation Amounts
 - MPO/RTPA
 - Local Operators
 - Request Process
 - Authorized Agent Form
 - Allocation Request
 - Funding Plan
 - Short Range Transit Plan/ Board Resolution
-

Authorized Agent Form

- Legal Document identifying authorized signatory(ies) for agency projects.

- Valid for One Fiscal Year

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION
Division of Mass Transportation
Public Transportation Modernization, Improvement, and
Service Enhancement Account (PTMISEA)
Authorized Agent Form



Authorized Agent

AS THE _____
(Chief Executive Officer / Director / President / Secretary)

OF THE _____
(Name of County/City/Organization)

I hereby authorize the following individual(s) to execute for and on behalf of the named Regional Entity/Transit Operator, any actions necessary for the purpose of obtaining Public Transportation Modernization, Improvement, and Service Enhancement Account (PTMISEA) funds provided by the California Department of Transportation, Division of Mass Transportation. This form shall remain valid for one year from date signed.

(Name and Title of Authorized Agent) OR

(Name and Title of Authorized Agent) OR

(Name and Title of Authorized Agent)

(Print Name) _____
(Title)

(Signature)

Approved this _____ day of _____, 20____

FY09-10 PTMISEA Fund

Overview of Allocation Request:

- Cover Page
 - Sections
 - Funding year and amount
 - Table 1: Project Lead/ Recipient Agency
 - Table 2: Contributing PTMISEA Project Sponsor
 - Table 3: Project Category
-

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

	Regional Entity:
Project Sponsor*:	County:
Project Title:	

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

Name: _____

Signature: _____

Title: _____

Agency: _____

Date: _____

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

Name: _____

Signature: _____

Title: _____

Agency: _____

Date: _____ **Amount:** _____

**PTMISEA 2009- 10 PROJECT DESCRIPTION
AND ALLOCATION REQUEST**

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

Table 1: Project Lead/Recipient Agency Information

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

Table 2: Contributing PTMISEA-Eligible Project Sponsor Information

PTMISEA Contributors: _____	Amount :	Fund Type:
Contact: _____	\$ _____	_____
Contact Phone #: _____	\$ _____	_____
Email Address: _____		
Address: _____		

Other PTMISEA Contributors (Attach sheet with contact info)	Amount:	Fund Type:
_____	\$ _____	_____
_____	\$ _____	_____
_____	\$ _____	_____
TOTAL	\$0	_____

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

Table 3: Project Category

Check **only 1** box that best fits the description of the project being funded.

- | | |
|--|---|
| <input type="checkbox"/> Rehabilitation, Safety or Modernization Improvement | <input type="checkbox"/> Bus Rapid Transit |
| <input type="checkbox"/> Capital Service Enhancement or Expansion | <input type="checkbox"/> Rolling Stock Procurement: |
| <input type="checkbox"/> New Capital Project | ___ Expansion |
| | ___ Rehabilitation |
| | ___ Replacement |

Overview of Allocation Cont...

- Table 4: Project Summary
 - Project Description
 - Quantifiable Useful Life

 - Table 5: Description of Benefits/Outcomes
 - Choose from list and percentage
 - Additional benefits
-

Table 4: Project Summary

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

Write here:

b) Useful Life of the Project: _____ years

Table 5: Description of Major Benefits/Outcomes

a) Please check appropriate Benefit/Outcome:

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

b) Please summarize and describe any other benefits:

Overview of Allocation Cont...

- Table 6: Project Schedule and Milestones
 - PTMISEA funded portion must start within **6 months** of Application Cycle

 - Table 7: Tax Compliance Information
 - Replace the Tax Questionnaire
-

Table 6: Project Schedule

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

Table 7: Tax Compliance Information

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

YES
 NO

If yes, please describe the source of the money and provide an estimate of the amount: Estimate: \$ _____

Short Range Transit Plan or Board Resolution

- Projects must be consistent with sponsor's most recently adopted SRTP
 - Cover Page
 - Summary
 - Adoption Page
 - Relevant Project description
 - A certified board endorsement
-

Overview of Allocation Cont...

- Project Lead Checklist

Project Lead Checklist			
Sponsor:	Project Lead Checklist	Notes	Complete
Authorized Agent Form			
Project Description and Allocation Request			
Cover Page			
	SCO Authorized Project Sponsor		
	Signed by Proper Authority as shown on Authorized Agent Form		
	Allocation Request Amount: 99313/99314		
Table 1			
	Project Sponsor/ Recipient Agency Information		
	Contact:		
Table 2			
	Contributing PTMISEA Project Sponsor		
	Name: Amount:		
Table 3			
	Project Category		
Table 4			
	Project Summary		
	Meet Useful Life Requirement:		
Table 5			
	Major Benefits/Outcomes (please indicate %)		
Table 6			
	Project Schedule (Month and Year)		
Table 7			
	Tax Compliance Information		
Total Project Cost and Funding Plan			
	PTMISEA FY 07/08 Amount:		
	PTMISEA FY 08/09 Amount:		
	PTMISEA FY 09/10 Amount:		
	Total Project Funds (PTMISEA + all other funds):		
Other Project Approval Criteria			
	Short Range Transit Plan		
	or Board Approved Resolution		

Corrective Action Plan (CAP)

- When project changes a CAP should be submitted.
 - Funding changes (additional funding or reduced project cost)
 - Schedule Changes
 - Project scope changes (minor changes)
 - If project has significant changes please discuss with staff on next steps.
-

Corrective Action Plan (CAP)



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

Fiscal Year : 07/08
 PTMISEA Cycle : 1
 Project Sponsor : ABC Transit Agency
 Contributing PTMISEA Sponsor : 123 MPO / RTPA
 Project Name : Bus Purchase for Expansion

	Original	Revised
Project Scope	Purchase 10 buses for expansion service.	Purchase 12 buses for Replacement.
Funding		
99313 :	\$5,000,000	\$5,000,000
99314 :	\$100,000	\$100,000
PTMISEA Interest :		
Other Funds		
Federal :	\$500,000	\$700,000
State :	\$100,000	\$100,000
Local :	\$50,000	\$50,000
Total :	\$5,750,000	\$5,950,000
Schedule Date		
Begin Environmental :		
End Environmental :		
Begin Design :		
End Design :		
Begin Right of Way :		
End Right of Way :		
Begin Construction :		
End Construction :		
Begin Vehicle/Equipment Order :	1/1/08	1/1/09
End Vehicle/Equipment Order :	12/1/08	12/1/09
Begin Closeout Phase :		
End Closeout Phase :		
Justification for Change :	Scope increased from 10 buses to 12 due to cost savings from previous contract with manufacturer. Begin Vehicle Order Milestone has been delayed due to manufacturer back log of bus orders.	

Signature(s)

Sponsor Recipient

Date

Contributing PTMISEA Sponsor

Date

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

Project Accountability

- Governor's Bond Accountability Webpage
 - Bond Programs
 - PTMISEA
 - Semi-Annual Progress Reports
 - Progress Outcome Report
 - Progress Financial Report
 - Balance Sheet
 - Annual Financial Statements
 - TDA Audit Compliance
-

Project Accountability

■ Governor's Strategic Growth Plan Web Page

The screenshot shows a Microsoft Internet Explorer browser window displaying the California Strategic Growth Plan Bond Accountability website. The address bar shows the URL: [http://www.bondaccountability.dot.ca.gov/bondacc/ProjectDetailsPreActionPublic.do?&bondId=07/08-1-35A\(001\)](http://www.bondaccountability.dot.ca.gov/bondacc/ProjectDetailsPreActionPublic.do?&bondId=07/08-1-35A(001)). The navigation menu includes Home, Bond Information, Executive Order, Strategic Growth Plan, 5-Year Infrastructure Plan, and Infrastructure News. The main content area features a breadcrumb trail: Home -> Bond Information -> Transportation -> Public Transportation Modernization, Improvement, and Service Enhancement -> List of Projects -> Project Detail. The project name is **SPRINTER**, with a description: "Expand services - Diesel Multiple Unit (DMU) passenger rail system". Below the description are tabs for Project Information, Contacts, Cost by Fund Source, Cost by Component, Schedule, and Map. The **Schedule** tab is active, showing a "Project Schedule Baseline Summary" table.

(Schedule Changes and Variances in Months)	Adopted Program (06/07/07) a	Approved Changes (mm/dd/yyyy) b	Current Approved (03/31/2009) c	% Complete (03/31/2009) d	Schedule Forecast (03/31/2009) e	Schedule Variance (months) f=c-e
Begin Environmental Phase	05/01/1989		05/01/1989	100		0
End Environmental Phase	06/01/1991		06/01/1991			0
Begin Design (PS&E) Phase	04/01/1994		04/01/1994	100		0
End Design (PS&E) Phase	09/01/2005		09/01/2005			0
Begin Right of Way Phase	12/01/1987		12/01/1987	100		0
End Right of Way Phase	09/01/2005		09/01/2005			0
Begin Construction Phase	11/01/2002		11/01/2002	100		0
End Construction Phase	04/01/2008		04/01/2008			0
Begin Closeout Phase	10/01/2007		10/01/2007	100		0
End Closeout Phase	12/01/2008		12/01/2008			0

Project Accountability

- Semi-Annual Reports

Report Due	Date effective as of
August 15, 2009	June 30, 2009
February 15, 2010	December 31, 2009
August 15, 2010	June 30, 2010
February 15, 2011	December 31, 2010

Project Accountability

- Semi Annual Report

Outcome Progress Report

- Brief summary of status, describe project benefits/outcomes, milestones of project, and vehicles received (if any)
-

Project Accountability

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION
 Division of Mass Transportation
 Public Transportation Modernization, Improvement, and
 Service Enhancement Account (PTMISEA)
 Outcome Progress Report



Regional Entity	Transit Operator	Project Sponsor	Project Name

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

BRIEF PROJECT DESCRIPTION:

1) BRIEFLY SUMMARIZE THE STATUS OF THE PROJECT:

- a) Description of what has been completed as described in the scope of the original project allocation request:
- b) List any vehicles/equipment received (i.e., ordered 10 buses, have received 3):

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

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

Please include the current overall Measurable Benefit as a Percent.

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

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

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

Effective (09/08)

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

2 of 2

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

	Original	Revised
Project Description/ Scope of Work		
Funding		
89313		
89314		
PTMISEA Interest		
Other Funds		
Federal		
State		
Local		
Total	\$0	\$0
Schedule Date		
Begin PA & ED		
End PA & ED		
Begin PS & E		
End PS & E		
Begin Right of Way		
End Right of Way		
Begin Construction		
End Construction		
Begin Vehicle/Equipment Order		
End Vehicle/Equipment Order		
Begin Closeout Phase		
End Closeout Phase		
Justification for Change:		

PERSON PREPARING THIS REPORT (please type or print) | PHONE: | DATE:

APPROVAL AUTHORITY* (signature) | TYPED NAME AND PHONE NUMBER

Date: |

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

Project Accountability

- Semi Annual Report

Financial Progress Report

- Funding received, identify any contracts and amount, interest earned on PTMISEA funds, completion status (%)
-

Project Accountability

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION
Division of Mass Transportation
Public Transportation Modernization, Improvement, and
Service Enhancement Account (PTMISEA)
Financial Progress Report



Regional Entity	Transit Operator	Project Sponsor	Project Name

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

BRIEF PROJECT DESCRIPTION:

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

Contract #:

Vendor Name:

Start Date:

End Date:

Dollar Amount:

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

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

Amount Awarded:

Interest Rate:

Interest Earned:

3. COMPLETION STATUS:

Overall Project Percent Complete: _____%

Date (anticipated completion date): _____

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

Itemize Expenditures on Attachment A.1.3

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

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

Project Accountability

- **Expanded TDA Audit**

- Independent Auditors Report
- Balance sheets
- Statement of expenditures and changes in fund balance
- Notes to financial statements
- Compliance report

- Verification required to be submitted:

- Verification of receipt of PTMISEA funds
- Verification of appropriate expenditures of PTMISEA funds

- **Due date: 180 days** after the end of the fiscal year and can be extended an additional **90 days** if the Department deems it necessary.
-

Project Completion

- Notice of Completion
 - Six Month Report: completed and submitted to department within **SIX months** of notice of completion.
-

Project Completion: Final Report

“Within six months of the project becoming operable, the recipient agency shall provide a report to the administrative agency on the final costs of the project as compared to the approved project budget, the project duration as compared to the original project schedule as the date of allocation, and performance outcomes derived from the project compared to those described in the original application for funding”

-SB 88



Effective (12/08)

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

Final Project Report

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

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

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

Signature: _____

Name and Title _____ Date _____

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

PTMISEA Successes

- PTMISEA Funded Projects



Q & A

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

