

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

PROGRAM STATUS  
Local Assistance Lump Sum Allocation  
Information Item

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CTC Meeting: December 12-13, 2001

Agenda Item: 3.6

*Original Signed By:*  
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Chief Financial Officer  
December 1, 2001

**LOCAL ASSISTANCE FY 2001-02**  
**QUARTERLY LUMP SUM ALLOCATION STATUS REPORT**

**BACKGROUND**

The Local Assistance Program administers the local assistance subvention budget under authority of 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 report to the Commission if any transfers in or out of an expenditure category exceed 10 percent of the total allocation.

**SUMMARY**

In June 2001, the Commission passed Resolution FM-01-02 the allocation of funds for local assistance in the 2001-2002 fiscal year. The allocation included approximately \$79 million in state funds and \$917 million in federal funds for a total of approximately \$996 million. As of September 30, 2001, approximately \$245 million or 25% of these funds have been expended. These expenditures include approximately \$116 million in Federal Transit Authority transfers that have been processed this fiscal year. There are 299 projects associated with the \$245 million. Of these projects, Surface Transportation Program (STP) has 118 projects or 39% of all projects. The Congestion Mitigation & Air Quality Program (CMAQ) has 31 projects or 10%, and TEA Regional Share has 30 projects or 10%. There are 37 projects or 12% of the total projects associated with FTA transfers. The remaining 83 projects are a summary of all other funds or 29% of the total projects.

There are five categories that have not encumbered funds to date. These categories involve Bridge Scour, RR Grade Crossing Maintenance and Rail Road Separations, TEA exchange, and RSTP State Match and Exchange. These projects represent 6% of the total allocation. It is not unusual for it to take several years for contract development and approval when dealing with the railroads. The remaining projects are expected to expended their allocation, but have been slow to start.

Fiscal Year 2001-2002 expenditures are projected to follow Fiscal Year 2000-01's trend. The first quarter FY 2000-01 expended 28% or \$276 M of the total year's expenditures. The FY 2000-01 trend shows percent expenditures of 24% during the second quarter, 26% for the third quarter and 22% during the fourth quarter. Fiscal Year 2001-02 has expended approximately \$245 M. This is on track with the expenditure plan.

ATTACHMENT

**LOCAL ASSISTANCE FUNDS**  
**FY 2001-02**  
**(As of September 30, 2001)**

(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		63,507	63,507		0	267,593	267,593	19.2%	118
Congestion Mitigation & Air Qual Pgrm (CMAQ)	350,235	350,235		7,746	7,746		0	342,489	342,489	2.2%	31
Bridge Seismic Retrofit State Match	15,000	54,300	69,300	498	8,320	8,818	14,502	45,980	60,482	12.7%	26
Highway Bridge Rehabilitation & Replacement (HBRR)		98,645	98,645		2,837	2,837	0	95,808	95,808	2.9%	19
Bridge Scour & State Match	900	3,300	4,200			0	900	3,300	4,200	0.0%	
RR Grade Crossing Protection		20,363	20,363		431	431	0	19,932	19,932	2.1%	6
RR Grade Crossing Maintenance	4,250		4,250			0	4,250	0	4,250	0.0%	
Railroad Grade Separations	7,500		7,500			0	7,500	0	7,500	0.0%	
Hazard Elimination & Safety (HES)		18,000	18,000		4,345	4,345	0	13,655	13,655	24.1%	22
Demonstration Projects		0	0		28,052	28,052	0	(28,052)	(28,052)		7
State Match for Transportation Enhancement Activities			0			0	0	0	0		
Transportation Enhancement Activities Exchange	3,000		3,000			0	3,000	0	3,000	0.0%	
Transportation Enhancement Activities, Regional Share		39,760	39,760		9,296	9,296	0	30,464	30,464	23.4%	30
RSTP State Match and Exchange	46,000		46,000			0	46,000		46,000	0.0%	
Miscellaneous	2,100	1,100	3,200	1,170	3,088	4,258	930	(1,988)	(1,058)	133.1%	3
<b>Total Local Assistance Subvented Funds</b>	<b>78,750</b>	<b>916,803</b>	<b>995,553</b>	<b>1,668</b>	<b>127,622</b>	<b>129,290</b>	<b>77,082</b>	<b>789,181</b>	<b>866,263</b>	<b>13.0%</b>	<b>262</b>
FTA Transfers					115,514	115,514	0	(115,514)	(115,514)		37
<b>Total Local Assistance Including FTA Transfers</b>	<b>78,750</b>	<b>916,803</b>	<b>995,553</b>	<b>1,668</b>	<b>243,136</b>	<b>244,804</b>	<b>77,082</b>	<b>673,667</b>	<b>750,749</b>	<b>24.6%</b>	<b>299</b>

**Assumptions:**

- ? The amounts do not include Freeway Service Patrol or Bay Area Ferry Operations.
- ? FTA transfers are \$54,577,700 RSTP, \$60,936,079 for CMAQ and \$0 for TEA. These numbers are thru September.
- ? Misc. expenditures include projects not included elsewhere.