

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

PROJECT BUSINESS MATTERS  
Third Cycle AB 1012 Unobligated RSTP,  
CMAQ, and Regional TEA "Use It or Lose It"  
Balance Report

Prepared By:  
Terry L. Abbott  
Chief  
Division of Local Assistance  
(916) 653-1776

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*Original Signed By:*  
ROBERT L. GARCIA  
Chief Financial Officer  
June 3, 2002

**THIRD CYCLE AB 1012 UNOBLIGATED RSTP, CMAQ, AND REGIONAL TEA  
"USE IT OR LOSE IT" BALANCE REPORT**

**BACKGROUND**

AB 1012 was enacted October 10, 1999 with a goal of improving the delivery of transportation projects. A section of the legislation states that regional agency Congestion Mitigation and Air Quality Improvement (CMAQ) and Regional Surface Transportation Program (RSTP) funds that are not obligated within the first three years of federal eligibility are subject to reprogramming by the California Transportation Commission in the fourth year. The Department is including Regional TEA (R-TEA) funds under the AB 1012 use it or lose it requirements. In addition, the Department is required to submit quarterly progress reports on impacted fund balances to the Commission.

**UPDATED AB 1012 UNOBLIGATED BALANCE REPORT**

The annual notice to regional agencies for the third cycle of AB 1012 use it or lose it provisions was released on December 3, 2001. At that time, third cycle RSTP, CMAQ, and Regional Transportation Enhancement Activity (TEA) funds subject to potential reprogramming on December 3, 2002 totaled approximately \$184.5 million.

The April 30, 2002 balance reports show total funds subject to reprogramming for the third cycle of AB 1012 are approximately \$131.6 million. This is made up of approximately \$47.5 million in CMAQ funds for 8 separate agencies, \$61.2 million in RSTP funds for 5 agencies, and \$22.9 million in Regional TEA funds for 21 agencies. This is an overall reduction of \$52.9 million, or approximately 29 percent, from the initial third cycle notification. The largest reduction occurred in RSTP funds.

Regions with Cycle 3 balances subject to reprogramming are required to submit obligation plans to the Department by June 3, 2002. An analysis of those plans will be presented at the August Commission meeting.

Information on RSTP, CMAQ and Regional TEA balances as of April 30, 2002, by region, is attached.

Attachments

**APPORTIONMENT STATUS REPORT**  
**as of April 30, 2002**  
**Congestion Mitigation and Air Quality (CMAQ)**

<u>Region</u>	CMAQ Unobligated 4/30/2002 Delivery Balance <sup>1</sup>	CMAQ Amount Subject to AB 1012 Reprogramming Cycle 2 12/5/2001	CMAQ Amount Subject to AB 1012 Reprogramming Cycle 3 12/03/2002 <sup>2</sup>	Cycle 2, Cycle 3 Total CMAQ Amount Subject to AB 1012 Reprogramming
Butte	1,932,188	378,112	503,534	881,646
Fresno	16,012,957	-	-	-
Kern	8,637,944	-	-	-
Kings	-	-	-	-
Los Angeles	36,678,987	-	-	-
Madera	-	-	-	-
Merced	2,264,872	-	-	-
Monterey	5,008,748	-	-	-
Orange	93,404,390	-	19,369,258	19,369,258
Riverside	52,509,261	971,840	16,698,581	17,670,421
Sacramento (SACOG)	8,485,660	-	-	-
San Benito	778,004	-	241,298	241,298
San Bernardino	50,017,811	-	7,776,624	7,776,624
San Diego	16,664,114	-	-	-
S.F. Bay Area (MTC)	14,981,263	-	-	-
San Joaquin	2,678,964	-	-	-
San Luis Obispo	-	-	-	-
Santa Barbara	9,525,833	-	1,417,456	1,417,456
Santa Cruz	2,381,503	-	-	-
Stanislaus	4,579,218	-	-	-
Tahoe	932,403	90,598	272,752	363,350
Tulare	8,044,879	-	1,202,026	1,202,026
Ventura	6,863,605	-	-	-
Rural Counties & SCAG	-	-	-	-
<b>TOTAL</b>	<b>\$ 342,382,604</b>	<b>\$1,440,550</b>	<b>\$47,481,529</b>	<b>48,922,079</b>

(1)

<sup>1</sup> Indicates all apportionments not yet obligated.

<sup>2</sup> Reflects bal. 2-years old entering 3rd year.

- Cycle 3 assumes the use of all cycle 2 balances.

Note: The Regional balances reflect activities that have been recorded in Caltran's Local Assistance accounting system. There may be a time delay between the FHWA authorization and the recording of the transaction in the Caltran's Local Assistance accounting system.

**APPORTIONMENT STATUS REPORT**  
**as of April 30, 2002**  
**Regional Surface Transportation Program (RSTP)**

<u>Region</u>	<u>RSTP Unobligated 4/30/2002 Delivery Balance <sup>1</sup></u>	<u>RSTP Amount Subject to AB 1012 Reprogramming Cycle 2 12/5/2001</u>	<u>RSTP Amount Subject to AB 1012 Reprogramming Cycle 3 12/03/2002 <sup>2</sup></u>	<u>Cycle 2, Cycle 3 Total RSTP Amount Subject to AB 1012 Reprogramming</u>
Butte	-	-	-	-
Fresno	14,911,786	-	-	-
Kern	2,265,184	-	-	-
Kings	-	-	-	-
Los Angeles	209,078,600	-	9,727,510	9,727,510
Madera	6,295	-	-	-
Merced	1,376,593	-	-	-
Monterey	1,979,859	-	-	-
Orange	93,086,320	21,352,132 <sup>3</sup>	17,515,744 <sup>3</sup>	38,867,876
Riverside	28,259,104	-	1,934,074	1,934,074
Sacramento (SACOG)	21,176,194	-	-	-
San Benito	-	-	-	-
San Bernardino	18,623,885	-	-	-
San Diego	87,721,901	-	31,536,298	31,536,298
S.F. Bay Area (MTC)	25,152,007	-	-	-
San Joaquin	5,470,149	-	-	-
San Luis Obispo	1,495,741	-	-	-
Santa Barbara	2,921,011	-	-	-
Santa Cruz	-	-	-	-
Stanislaus	7,129,138	-	-	-
Tahoe	-	-	-	-
Tulare	-	-	-	-
Ventura	7,531,354	-	-	-
Rural Counties & SCAG	4,460,657	-	501,248	501,248
<b>TOTAL</b>	<b>\$ 532,645,778</b>	<b>\$ 21,352,132</b>	<b>\$ 61,214,874</b>	<b>\$ 82,567,006</b>

<sup>1</sup> Indicates all apportionments not yet obligated.

<sup>2</sup> Reflects bal. 2-years old entering 3rd year.

- Cycle 3 assumes the use of all cycle 2 balances.

<sup>3</sup> Orange County's balance is a result of State use of Orange County CMAQ funds.

- Repayment was made with RSTP funds in cycle 2.

- Orange County must obligate cycle 2 and cycle 3 balances by 12/03/02.

Note: The Regional balances reflect activities that have been recorded in Caltran's Local Assistance accounting system. There may be a time delay between the FHWA authorization and the recording of the transaction in the Caltran's Local Assistance accounting system.

**APPORTIONMENT STATUS REPORT**  
**as of April 30, 2002**  
**Regional Transportation Enhancement Activities (TEA)**

<u>Region</u>	R-TEA Unobligated 4/30/2002 Delivery Balance <sup>1</sup>	R-TEA Amount Subject to AB 1012 Reprogramming Cycle 2 12/5/2001	R-TEA Amount Subject to AB 1012 Reprogramming Cycle 3 12/03/2002 <sup>2</sup>	Cycle 2, Cycle 3 Total R-TEA Amount Subject to AB 1012 Reprogramming
Butte	-	-	-	-
Fresno	2,341,796	-	-	-
Kern	576,319	-	-	-
Kings	360,966	-	-	-
Los Angeles	32,248,769	-	8,751,006	8,751,006
Madera	-	-	-	-
Merced	-	-	-	-
Monterey	1,874,919	-	562,499	562,499
Orange	8,347,232	-	1,954,605	1,954,605
Riverside	6,159,196	-	1,779,266	1,779,266
Sacramento (SACOG)	4,748,715	-	547,661	547,661
San Benito	178,892	-	-	-
San Bernardino	8,464,047	-	2,401,969	2,401,969
San Diego	5,112,722	-	-	-
S.F. Bay Area (MTC)	21,343,902	-	3,289,781	3,289,781
San Joaquin	950,511	-	-	-
San Luis Obispo	1,356,427	-	38,297	38,297
Santa Barbara	2,779,480	490,614	736,018	1,226,632
Santa Cruz	667,199	-	-	-
Stanislaus	691,949	-	-	-
Tahoe	146,000	-	-	-
Tulare	2,636,100	398,160	719,642	1,117,802
Ventura	1,617,235	-	-	-
Rural Counties & SCAG	11,087,644	2,097,566	2,151,205	4,248,771
TOTAL	\$113,690,020	\$2,986,340	\$22,931,949	25,918,289

<sup>1</sup> Indicates all apportionments not yet obligated.

<sup>2</sup> Reflects bal. 2-years old entering 3rd year.

- Cycle 3 assumes the use of all cycle 2 balances.

Note: The Regional balances reflect activities that have been recorded in Caltran's Local Assistance accounting system. There may be a time delay between the FHWA authorization and the recording of the transaction in the Caltran's Local Assistance accounting system.

Total AB1012 includes Cycle 2 and Cycle 3 balances.

**APPORTIONMENT STATUS REPORT**  
**as of April 30, 2002**  
**Regional Surface Transportation Program (RSTP) for Rural Counties**

Region	RSTP Unobligated 4/30/2002 Delivery Balance <sup>1</sup>	RSTP Amount Subject to AB 1012 Reprogramming Cycle 2 12/5/2001	RSTP Amount Subject to AB 1012 Reprogramming Cycle 3 12/03/2002 <sup>2</sup>	Cycle 2, Cycle 3 Total Rural RSTP Amount Subject to AB 1012 Reprogramming
Rural County Information:				
Del Norte	-	-	-	-
Humboldt	19,000	-	-	-
Lake	-	-	-	-
Mendocino	-	-	-	-
Lassen	-	-	-	-
Modoc	-	-	-	-
Plumas	-	-	-	-
Shasta	59,043	-	-	-
Siskiyou	-	-	-	-
Tehama	-	-	-	-
Trinity	-	-	-	-
Colusa	13,926	-	-	-
El Dorado	1,300,186	-	-	-
Glenn	51,439	-	-	-
Nevada	-	-	-	-
Placer	-	-	-	-
Sierra	-	-	-	-
Inyo	8,004	-	-	-
Mono	-	-	-	-
Alpine	-	-	-	-
Amador	49,357	-	-	-
Calaveras	-	-	-	-
Mariposa	-	-	-	-
Tuolumne	-	-	-	-
Imperial (SCAG)	2,959,702	-	501,248	501,248
Rural Combined Totals:	\$4,460,657	\$0	\$501,248	501,248

<sup>1</sup> Indicates all apportionments not yet obligated.

<sup>2</sup> Reflects bal. 2-years old entering 3rd year.

- Cycle 3 assumes the use of all cycle 2 balances.

Note: The Regional balances reflect activities that have been recorded in Caltran's Local Assistance accounting system. There may be a time delay between the FHWA authorization and the recording of the transaction in the Caltran's Local Assistance accounting system.

Total AB1012 includes Cycle 2 and Cycle 3 balances.

**APPORTIONMENT STATUS REPORT  
as of April 30, 2002**

**Regional Transportation Enhancement Activities (TEA) for Rural Counties**

<u>Region</u>	<u>R-TEA Unobligated 4/30/2002 Delivery Balance <sup>1</sup></u>	<u>R-TEA Amount Subject to AB 1012 Reprogramming Cycle 2 12/5/2001</u>	<u>R-TEA Amount Subject to AB 1012 Reprogramming Cycle 3 12/03/2002 <sup>2</sup></u>	<u>Cycle 2, Cycle 3 Total Rural R-TEA Amount Subject to AB 1012 Reprogramming</u>
<b>Rural County Information:</b>				
Del Norte	393,406	135,148	83,047	218,195
Humboldt	1,455,868	377,516	346,760	724,276
Lake	343,954	-	42,205	42,205
Mendocino	224,743	-	-	-
Lassen	845,580	195,000	209,203	404,203
Modoc	-	-	-	-
Plumas	525,092	120,000	130,263	250,263
Shasta	30,683	-	-	-
Siskiyou	1,146,101	346,497	257,124	603,621
Tehama	-	-	-	-
Trinity	(238,530)	-	-	-
Colusa	-	-	-	-
El Dorado	246,769	-	-	-
Glenn	-	-	-	-
Nevada	133,295	-	-	-
Placer	537,375	-	-	-
Sierra	-	-	-	-
Inyo	2,173,813	755,400	456,111	1,211,511
Mono	1,207,209	168,005	334,171	502,176
Alpine	-	-	-	-
Amador	333,280	-	97,673	97,673
Calaveras	-	-	-	-
Mariposa	193,853	-	45,285	45,285
Tuolumne	467,350	-	149,363	149,363
Imperial (SCAG)	1,067,803	-	-	-
<b>Rural Combined Totals:</b>	<b>\$11,087,644</b>	<b>\$2,097,566</b>	<b>\$2,151,205</b>	<b>4,248,771</b>

<sup>1</sup> Indicates all apportionments not yet obligated.

<sup>2</sup> Reflects bal. 2-years old entering 3rd year.

- Cycle 3 assumes the use of all cycle 2 balances.

Note: The Regional balances reflect activities that have been recorded in Caltran's Local Assistance accounting system. There may be a time delay between the FHWA authorization and the recording of the transaction in the Caltran's Local Assistance accounting system.

Total AB1012 includes Cycle 2 and Cycle 3 balances.

# APPORTIONMENT STATUS REPORT

as of April 30, 2002

## Congestion Mitigation and Air Quality (CMAQ) for Rural Counties

<u>Region</u>	CMAQ Unobligated 4/30/2002 Delivery Balance <sup>1</sup>	CMAQ Amount Subject to AB 1012 Reprogramming Cycle 3 12/03/2002 <sup>2</sup>
Rural County Information:		
Del Norte	-	-
Humboldt	-	-
Lake	-	-
Mendocino	-	-
Lassen	-	-
Modoc	-	-
Plumas	-	-
Shasta	-	-
Siskiyou	-	-
Tehama	-	-
Trinity	-	-
Colusa	-	-
El Dorado	-	-
Glenn	-	-
Nevada	-	-
Placer	-	-
Sierra	-	-
Inyo	-	-
Mono	-	-
Alpine	-	-
Amador	-	-
Calaveras	-	-
Mariposa	-	-
Tuolumne	-	-
Imperial (SCAG)	-	-
<b>Rural Combined Totals:</b>	<b>\$0</b>	<b>\$0</b>

<sup>1</sup> Indicates all apportionments not yet obligated.

<sup>2</sup> Reflects bal. 2-years old entering 3rd year.

- Cycle 3 assumes the use of all cycle 2 balances.

Note: The Regional balances reflect activities that have been recorded in Caltran's Local Assistance accounting system. There may be a time delay between the FHWA authorization and the recording of the transaction in the Caltran's Local Assistance accounting system.