

# Memorandum

To: CHAIR AND COMMISSIONERS

CTC Meeting: February 26-27, 2003

Reference No.: 3.6  
Information Item

From: ROBERT L. GARCIA  
Chief Financial Officer

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Local Assistance

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

## **SUMMARY:**

The annual notice to regional agencies for the fourth cycle of AB 1012 "Use it or Lose It" provisions was released on December 9, 2002. At that time, fourth cycle Regional Surface Transportation Program (RSTP), Congestion Mitigation and Air Quality (CMAQ), and Regional Transportation Enhancement Activity (R-TEA) funds subject to potential reprogramming on December 9, 2003 totaled approximately \$209 million.

The December 31, 2002 balance reports show total funds subject to reprogramming for the fourth cycle of AB 1012 are approximately \$201 million, a reduction of \$8 million. Two regions have recently submitted requests to obligate an additional \$92 million. When these obligations are processed, the fourth cycle AB 1012 balance will be reduced to approximately \$154 million for a total reduction of \$55 million since the initial notice.

The fourth cycle AB 1012 balances assume that all third cycle funds subject to reprogramming will be obligated, extended, or reprogrammed. Therefore, no third cycle funds subject to potential reprogramming are included in the fourth cycle amounts. Extension requests for the remaining third cycle balances have been submitted under Item 4.3c.

## **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 CMAQ and RSTP funds that are not obligated within the first three years of federal eligibility are subject to reprogramming by the Commission in the fourth year. The Department is including 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.

Attachments

**APPORTIONMENT STATUS REPORT  
CMAQ, RSTP, AND R-TEA  
per AB 1012  
as of December 31, 2002**

Cycle 4 Page 1, Summary

**Cycle Four**

<u>Region</u>	<u>CMAQ Amount Subject to AB 1012 Reprogramming Cycle 4 12/09/2003<sup>2</sup></u>	<u>RSTP Amount Subject to AB 1012 Reprogramming Cycle 4 12/09/2003<sup>2</sup></u>	<u>R-TEA Amount Subject to AB 1012 Reprogramming Cycle 4 12/09/2003<sup>2</sup></u>	<u>Total</u>
Butte	400,685	-	-	400,685
Fresno	911,804	2,765,064	904,301	4,581,169
Kern	-	-	-	-
Kings	-	-	-	-
Los Angeles	-	55,482,354	5,703,042	61,185,396
Madera	-	-	-	-
Merced	238,617	-	-	238,617
Monterey	-	-	283,406	283,406
Orange	32,450,452	18,526,123	2,625,154	53,601,729
Riverside	17,623,475	8,171,121	1,665,273	27,459,869
Sacramento (SACOG)	-	-	-	-
San Benito	247,795	-	-	247,795
San Bernardino	19,859,940	-	2,413,565	22,273,505
San Diego	-	9,601,638	-	9,601,638
S.F. Bay Area (MTC)	-	-	2,387,025	2,387,025
San Joaquin	-	-	-	-
San Luis Obispo	-	-	518,457	518,457
Santa Barbara	4,101,680	-	758,929	4,860,609
Santa Cruz	667,216	-	371,272	1,038,488
Stanislaus	-	-	-	-
Tahoe	175,611	-	-	175,611
Tulare	3,140,369	-	314,239	3,454,608
Ventura	6,217,146	-	-	6,217,146
Rural Counties & SCAG	-	-	2,160,020	2,160,020
<b>TOTAL</b>	<b>\$86,034,790</b>	<b>\$94,546,300</b>	<b>\$20,104,683</b>	<b>\$200,685,773</b>

Indicates all apportionments not yet obligated

Reflects balances 2-years old entering 3rd year

Cycle 4 assumes the use of all Cycles 2& 3 balances

**CMAQ, RSTP, AND R-TEA  
Balances Subject to Reprogramming  
per AB 1012  
as of December 31, 2002**

**Cycle Four**

<u>Region</u>	<u>CMAQ Amount Subject to AB 1012 Reprogramming Cycle 4 12/9/2003</u>	<u>RSTP Amount Subject to AB 1012 Reprogramming Cycle 4 12/9/2003</u>	<u>R-TEA Amount Subject to AB 1012 Reprogramming Cycle 4 12/9/2003</u>	<u>Total</u>
Rural County Information:				
Del Norte	-	-	63,802	63,802
Humboldt	-	-	358,069	358,069
Lake	-	-	-	-
Mendocino	-	-	-	-
Lassen	-	-	216,027	216,027
Modoc	-	-	-	-
Plumas	-	-	102,216	102,216
Shasta	-	-	-	-
Siskiyou	-	-	-	-
Tehama	-	-	-	-
Trinity	-	-	-	-
Colusa	-	-	-	-
El Dorado	-	-	-	-
Glenn	-	-	-	-
Nevada	-	-	-	-
Placer	-	-	-	-
Sierra	-	-	-	-
Inyo	-	-	486,700	486,700
Mono	-	-	239,442	239,442
Alpine	-	-	-	-
Amador	-	-	115,315	115,315
Calaveras	-	-	-	-
Mariposa	-	-	22,147	22,147
Tuolumne	-	-	-	-
Imperial (SCAG)	-	-	556,302	556,302
Rural Combined Totals:	-	-	\$2,160,020	\$2,160,020

Indicates all apportionments not yet obligated  
Reflects balances 2-years old entering 3rd year  
Cycle 4 assumes the use of all Cycles 2 & 3 balances

**APPORTIONMENT STATUS REPORT  
as of December 31, 2002  
Congestion Mitigation and Air Quality (CMAQ)**

**Cycles Three and Four**

<u>Region</u>	CMAQ Unobligated 12/31/2002 Delivery Balance <sup>1</sup>	CMAQ Amount Subject to AB 1012 Reprogramming Cycle 3 12/03/2002 <sup>2</sup>	CMAQ Amount Subject to AB 1012 Reprogramming Cycle 4 12/09/2003 <sup>3</sup>	<u>Total</u>
Butte	919,803	-	400,685	400,685
Fresno	11,131,631	-	911,804	911,804
Kern	4,285,198	-	-	-
Kings	-	-	-	-
Los Angeles	(3,366,050)	-	-	-
Madera	-	-	-	-
Merced	2,172,576	-	238,617	238,617
Monterey	1,719,766	-	-	-
Orange	69,034,390	-	32,450,452	32,450,452
Riverside	36,632,146	1,793,306	17,623,475	19,416,781
Sacramento (SACOG)	2,871,696	-	-	-
San Benito	513,004	-	247,795	247,795
San Bernardino	40,733,124	-	19,859,940	19,859,940
San Diego	14,856,933	-	-	-
S.F. Bay Area (MTC)	(37,690,813)	-	-	-
San Joaquin	(1,395,637)	-	-	-
San Luis Obispo	-	-	-	-
Santa Barbara	8,673,555	565,178	4,101,680	4,666,858
Santa Cruz	2,327,485	-	667,216	667,216
Stanislaus	3,047,583	-	-	-
Tahoe	456,805	-	175,611	175,611
Tulare	6,521,716	-	3,140,369	3,140,369
Ventura	14,073,912	-	6,217,146	6,217,146
Rural Counties & SCAG	-	-	-	-
TOTAL	\$ 177,518,823	\$2,358,484	\$86,034,790	88,393,274

<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.

Tahoe Cycle 2 balance was reprogrammed by the CTC at the July 2002 meeting. This amount is not included in the Cycle 3 balance.

Note: Santa Barbara Cycle has submitted an FTA which will clear their Cycle 3 Balance.

**APPORTIONMENT STATUS REPORT**  
**as of December 31, 2002**  
**Regional Surface Transportation Program (RSTP)**  
**Cycles Three and Four**

<u>Region</u>	RSTP Unobligated 12/31/2002 Delivery Balance <sup>1</sup>	RSTP Amount Subject to AB 1012 Reprogramming Cycle 3 12/03/2002 <sup>2</sup>	RSTP Amount Subject to AB 1012 Reprogramming Cycle 4 12/09/2003 <sup>2</sup>	<u>Total</u>
Butte	-	-	-	-
Fresno	10,432,934	-	2,765,064	2,765,064
Kern	1,043,423	-	-	-
Kings	-	-	-	-
Los Angeles	157,298,999	-	55,482,354	55,482,354
Madera	6,295	-	-	-
Merced	1,376,593	-	-	-
Monterey	1,979,859	-	-	-
Orange	46,217,670	-	18,526,123	18,526,123
Riverside	21,616,378	-	8,171,121	8,171,121
Sacramento (SACOG)	7,654,337	-	-	-
San Benito	-	-	-	-
San Bernardino	16,001,643	-	-	-
San Diego	38,297,892	-	9,601,638	9,601,638
S.F. Bay Area (MTC)	(533,269)	-	-	-
San Joaquin	1,865,463	-	-	-
San Luis Obispo	1,495,741	-	-	-
Santa Barbara	2,921,011	-	-	-
Santa Cruz	-	-	-	-
Stanislaus	3,591,817	-	-	-
Tahoe	-	-	-	-
Tulare	-	-	-	-
Ventura	5,935,471	-	-	-
Rural Counties & SCAG	3,821,376	1,164,772	-	1,164,772
<b>TOTAL</b>	<b>\$ 321,023,633</b>	<b>\$ 1,164,772</b>	<b>\$ 94,546,300</b>	<b>\$ 95,711,072</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.

**APPORTIONMENT STATUS REPORT**  
**as of December 31, 2002**  
**Regional Transportation Enhancement Activities (TEA)**  
**Cycles Three and Four**

<u>Region</u>	R-TEA Unobligated 12/31/2002 Delivery Balance <sup>1</sup>	R-TEA Amount Subject to AB 1012 Reprogramming Cycle 3 12/03/2002 <sup>2</sup>	R-TEA Amount Subject to AB 1012 Reprogramming Cycle 4 12/09/2003 <sup>2</sup>	<u>Total</u>
Butte	-	-	-	-
Fresno	2,150,159	-	904,301	904,301
Kern	58,419	-	-	-
Kings	101,329	-	-	-
Los Angeles	17,700,092	-	5,703,042	5,703,042
Madera	-	-	-	-
Merced	-	-	-	-
Monterey	953,477	-	283,406	283,406
Orange	5,888,982	-	2,625,154	2,625,154
Riverside	3,901,496	-	1,665,273	1,665,273
Sacramento (SACOG)	1,848,189	-	-	-
San Benito	107,281	-	-	-
San Bernardino	5,508,628	-	2,413,565	2,413,565
San Diego	(104,358)	-	-	-
S.F. Bay Area (MTC)	11,604,760	-	2,387,025	2,387,025
San Joaquin	446,703	-	-	-
San Luis Obispo	1,191,443	-	518,457	518,457
Santa Barbara	1,551,753	-	758,929	758,929
Santa Cruz	765,199	-	371,272	371,272
Stanislaus	534,369	-	-	-
Tahoe	-	-	-	-
Tulare	1,089,423	-	314,239	314,239
Ventura	899,916	-	-	-
Rural Counties & SCAG	6,380,470	1,142,349	2,160,020	3,302,369
TOTAL	\$62,577,730	\$1,142,349	\$20,104,683	\$21,247,032

<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.

  Cycle 4 assumes the full use of cycle 3

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.

All Cycle 2 balances cleared with the exception of Inyo and Mono

Inyo and Mono Cycle 2 balances were reprogrammed by the CTC at the July 2002 meeting.

**APPORTIONMENT STATUS REPORT**  
**as of December 31, 2002**  
**Regional Surface Transportation Program (RSTP)**  
**for Rural Counties**  
**Cycles Three and Four**

<u>Region</u>	RSTP Unobligated 12/31/2002 Delivery Balance <sup>1</sup>	RSTP Amount Subject to AB 1012 Reprogramming Cycle 3 12/03/2002 <sup>2</sup>	RSTP Amount Subject to AB 1012 Reprogramming Cycle 4 12/09/2003 <sup>2</sup>	<u>Total</u>
Rural County Information:				
Del Norte	-	-	-	-
Humboldt	19,000	-	-	-
Lake	-	-	-	-
Mendocino	-	-	-	-
Lassen	-	-	-	-
Modoc	-	-	-	-
Plumas	-	-	-	-
Shasta	59,043	-	-	-
Siskiyou	-	-	-	-
Tehama	-	-	-	-
Trinity	-	-	-	-
Colusa	13,926	-	-	-
El Dorado	42,496	-	-	-
Glenn	51,439	-	-	-
Nevada	-	-	-	-
Placer	-	-	-	-
Sierra	-	-	-	-
Inyo	8,004	-	-	-
Mono	-	-	-	-
Alpine	-	-	-	-
Amador	-	-	-	-
Calaveras	-	-	-	-
Mariposa	-	-	-	-
Tuolumne	-	-	-	-
Imperial (SCAG)	3,627,468	1,164,772	-	1,164,772
Rural Combined Totals:	\$3,821,376	\$1,164,772	\$0	1,164,772

<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 December 31, 2002**  
**Regional Transportation Enhancement Activities (TEA)**  
**for Rural Counties**  
**Cycles Three and Four**

<u>Region</u>	R-TEA Unobligated 12/31/2002 Delivery Balance <sup>1</sup>	R-TEA Amount Subject to AB 1012 Reprogramming Cycle 3 12/03/2002 <sup>2</sup>	R-TEA Amount Subject to AB 1012 Reprogramming Cycle 4 12/09/2003 <sup>2</sup>	<u>Total</u>
Rural County Information:				
Del Norte	153,258	-	63,802	63,802
Humboldt	1,060,119	328,527	358,069	686,596
Lake	-	-	-	-
Mendocino	215,005	-	-	-
Lassen	650,580	209,203	216,027	425,230
Modoc	-	-	-	-
Plumas	242,533	-	102,216	102,216
Shasta	30,683	-	-	-
Siskiyou	186,719	-	-	-
Tehama	-	-	-	-
Trinity	(238,530)	-	-	-
Colusa	-	-	-	-
El Dorado	94,823	-	-	-
Glenn	-	-	-	-
Nevada	133,295	-	-	-
Placer	37,375	-	-	-
Sierra	-	-	-	-
Inyo	1,434,125	456,111	486,700	942,811
Mono	599,405	-	239,442	239,442
Alpine	-	-	-	-
Amador	235,607	-	115,315	115,315
Calaveras	-	-	-	-
Mariposa	98,000	-	22,147	22,147
Tuolumne	162,352	-	-	-
Imperial (SCAG)	1,285,121	148,508	556,302	704,810
Rural Combined Totals:	\$6,380,470	\$1,142,349	\$2,160,020	\$3,302,369

<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. Cycle 4 assumes the use of all Cycle 3 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.

Cycle 2 balances for Inyo and Mono were reprogrammed by the CTC at the July 2002 meeting.

Note: Humboldt expects to obligate Cycle 3 funds by 1/31/03.

**APPORTIONMENT STATUS REPORT**  
**as of December 31, 2002**  
**Congestion Mitigation and Air Quality (CMAQ) for Rural Counties**  
**Cycles Three and Four**

<u>Region</u>	CMAQ Unobligated 12/31/2002 Delivery <u>Balance</u> <sup>1</sup>	CMAQ Amount Subject to AB 1012 Reprogramming Cycle 3 <u>12/03/2002</u> <sup>2</sup>	CMAQ Amount Subject to AB 1012 Reprogramming Cycle 4 <u>12/09/2003</u> <sup>3</sup>	<u>Total</u>
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)	-	-	-	-
Rural Combined Totals:	\$0	\$0	\$0	\$0

<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.