

# Memorandum

To: CHAIR AND COMMISSIONERS  
CALIFORNIA TRANSPORTATION COMMISSION

CTC Meeting: September 15, 2011

Reference No.: 3.10  
Information Item

From: NORMA ORTEGA  
Chief Financial Officer

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Subject: **QUARTERLY REPORT ON LOCAL ASSISTANCE LUMP SUM ALLOCATION  
FOR FEDERAL FISCAL YEAR 2011**

## **SUMMARY:**

For Federal Fiscal Year (FFY) 2011, the California Transportation Commission (Commission) allocated approximately \$1.5 billion to the California Department of Transportation (Department). Of the \$1.5 billion administered by the Department, approximately \$128 million is state funds and \$1.3 billion is federal funds.

As of June 30, 2011, approximately \$869 million, or 59 percent, of the \$1.5 billion has been sub-allocated to 836 local projects.

The majority of the sub-allocations (approximately \$617 million) are for 731 projects in the following categories:

- Regional Surface Transportation Program (RSTP) - 112 projects, \$125 million
- RSTP State Match and Exchange - 86 projects, \$50 million
- Congestion Mitigation and Air Quality Program (CMAQ) - 158 projects, \$219 million
- Freeway Service Patrol (FSP) - 14 projects, \$25 million
- High Priority Projects (HPP) - 51 projects, \$52 million
- Highway Bridge Program (HBP) - 175 projects, \$107 million
- Railroad Grade Separations - 3 projects, \$15 million
- Highway Safety Improvement Program (HSIP) - 73 projects, \$12 million
- Safe Routes to School (SRTS) - 59 projects, \$12 million

The remaining \$252 million was sub-allocated for 105 projects in seven other categories (as referenced with an asterisk on the attachment). This includes \$192 million in Federal Transit Administration (FTA) transfers for seven RSTP transit projects and 23 CMAQ transit projects that are at the local agencies' discretion and must be accounted for separately from the RSTP and CMAQ highway projects listed above.

**BACKGROUND:**

On February 22, 2001, the Commission passed Resolution G-01-08, which states that the Commission will provide an annual lump sum allocation consistent with the Budget Act, and delegate authority to the Department to administer the local assistance subvention budget. The resolution further delegates the authority to adjust allocations between expenditure categories, and requires the Department to report to the Commission if transfers in or out of an expenditure category exceed ten percent of its allocation.

**Local Assistance Lump Sum Allocation Status for FFY 2011:**

Some programs have low sub-allocations; however, this is not unusual for the third quarter of the federal fiscal year. The Railroad Grade Crossing Protection (RGCP) program currently has no sub-allocations. The Department is waiting for the Public Utilities Commission to provide a list of RGCP projects for review and prioritization. The Department anticipates sub-allocating all RGCP funds by the end of the federal fiscal year. For projects under the Bridge and Safety programs, expenditures historically occur in the last quarter of the federal fiscal year.

For the Miscellaneous category, total expenditures exceed allocations by \$44 million. However, this category is primarily used to fund federal discretionary programs. Due to the discretionary nature of the programs, budget authority is not requested during budget development. These categories are funded with available authority from other programs' unused balances.

The amount of funds sub-allocated as of June 30, 2011, (\$869 million, or 59 percent) is slightly higher than last year (\$714 million, or 48 percent) at the end of the third quarter on June 30, 2010. The Department anticipates sub-allocating all funds allocated by the Commission for FFY 2011, as it has done the past 12 years.

Attachment

**LOCAL ASSISTANCE FUNDS**  
**FY 2010-11**  
**As of June 30, 2011**  
(Dollars in Thousands)

Reference No.: 3.10  
September 15, 2011  
Attachment

Fund Description	Commission Allocation			Total Sub-Allocations			Allocation Balance			Percent Sub-Allocated	Number of Projects
	State	Federal	Total	State	Federal	Total	State	Federal	Total		
<b>Local Administered &amp; Miscellaneous Programs</b>											
Regional Surface Transportation Program (RSTP)		414,191	414,191		124,720	124,720		289,471	289,471	30%	112
RSTP State Match and Exchange	57,849		57,849	49,559		49,559	8,290		8,290	86%	86
Congestion Mitigation & Air Quality Program (CMAQ)		405,266	405,266		219,217	219,217		186,049	186,049	54%	158
Freeway Service Patrol	25,479		25,479	25,479		25,479	0		0	100%	14
High Priority Projects		208,170	208,170		51,687	51,687		156,483	156,483	25%	51
Miscellaneous	3,000	1,700	4,700		48,456	48,456 *	3,000	(46,756)	(43,756)	1031%	45
<b>Bridge Programs</b>											
Bridge Inspection	735	2,640	3,375		212	212 *	735	2,428	3,163	6%	3
Highway Bridge Program		197,120	197,120		106,664	106,664		90,456	90,456	54%	175
Local Bridge Seismic Retrofit		30,874	30,874		8,941	8,941 *		21,933	21,933	29%	19
<b>Rail Programs</b>											
Railroad Grade Crossing Protection		11,716	11,716					11,716	11,716	0%	
Railroad Grade Crossing Maintenance	2,000		2,000	2,000		2,000 *				100%	1
Railroad Grade Separations	15,000		15,000	15,000		15,000				100%	3
<b>Safety Programs</b>											
Highway Safety Improvement Program (HSIP)		47,212	47,212		11,584	11,584		35,628	35,628	25%	73
High Risk Rural Roads (HRRR)		7,428	7,428		969	969 *		6,459	6,459	13%	7
Safe Routes to School	24,250	20,672	44,922	8,271	4,173	12,444	15,979	16,499	32,478	28%	59
<b>Total Local Assistance Subvention Funds</b>	<b>128,313</b>	<b>1,346,989</b>	<b>1,475,302</b>	<b>100,309</b>	<b>576,623</b>	<b>676,932</b>	<b>28,004</b>	<b>770,366</b>	<b>798,370</b>	<b>46%</b>	<b>806</b>
Federal Transit Administration (FTA) Transfers					191,667	191,667 *					30
<b>Total Local Assistance Including FTA Transfers</b>	<b>128,313</b>	<b>1,346,989</b>	<b>1,475,302</b>	<b>100,309</b>	<b>768,290</b>	<b>868,599</b>	<b>28,004</b>	<b>770,366</b>	<b>798,370</b>	<b>59%</b>	<b>836</b>

**Assumptions:**

- o Allocations for state funds reflect June-July 2010 meeting vote, Item 2.5h.
- o Allocations for federal funds reflect September 2010 meeting vote, Item 2.5h, and June 2011 meeting vote, Item 2.5i.
- o The Allocation Balance is the difference between Commission Allocation and Total Sub-Allocations.
- o FTA Transfers are \$95,608,000 for RSTP and \$96,058,517 for CMAQ.
- o Total Sub-Allocations are from Info Advantage (accounting system).
- o In accordance with Commission Resolution G-01-08, the Department reports when total transfers in or out of an expenditure category exceed ten percent of its allocation.
- o The \$252 million for 105 projects, as referenced in the fourth paragraph of the book item, is the total of all sub-allocations in the following seven categories: Miscellaneous, Bridge Inspection, Local Bridge Seismic Retrofit, Railroad Grade Crossing Protection, Railroad Grade Crossing Maintenance, High Risk Rural Roads, and Federal Transit Administration Transfers.