2002 REGIONAL TRANSPORTATION IMPROVEMENT PROGRAM (RTIP)

POLICIES AND PROCEDURES

MTC RESOLUTION NO. 3404

2002 REGIONAL TRANSPORTATION IMPROVEMENT PROGRAM (RTIP) Policies and Procedures

MTC Resolution No. 3404

METROPOLITAN

TRANSPORTATION

COMMISSION

July 25, 2001
Programming and Allocations Section

2002 RTIP
Metropolitan Transportation Commission
Regional Transportation Improvement Program
Policies and Procedures
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METROPOLITAN TRANSPORTATION COMMISSION
2002 Regional Transportation Improvement Program (RTIP)
Policies and Procedures

Background

The State Transportation Improvement Program (STIP) provides funding for a significant number of transportation projects around the State. As the Regional Transportation Planning Agency (RTPA) for the Bay Area, the Metropolitan Transportation Commission (MTC) is responsible for developing regional project priorities for the STIP.

The Regional Transportation Improvement Program (RTIP) is the region's proposal to the State for STIP funding. This Resolution establishes MTC's policies and procedures for developing the 2002 RTIP, due to the California Transportation Commission (CTC) by December 15, 2001. The 2002 STIP will include programming for the five fiscal years from 2002-03 through 2006-07.

The 2002 STIP is a transition from a four-year to a five-year STIP, and contains three years of new programming capacity in fiscal years 2004-05, 2005-06, and 2006-07.

In addition to the new three-year programming capacity available in the 2002 STIP programming period, the CTC is allowing any region to program an additional amount up to its full four-year county share period. For the 2002 STIP, one additional year of programming is available for a total of four years in additional programming capacity. The CTC would have a certain level of programming discretion for the additional year of programming.

Guiding Principles

The following principles will frame the development of MTC's 2002 RTIP, the region's contribution to the 2002 STIP.

- Investments made in the RTIP must carry out the objectives of the Regional Transportation Plan (RTP), and be consistent with its improvements and programs.

- SB Senate Bill 45 (Chapter 622, Statutes 1997) emphasizes the importance of project readiness and adherence to planned delivery schedules. Project sponsors that are unable to meet these requirements are subject to significant financial penalties. MTC and the Partnership will give special consideration to project readiness in developing priorities for STIP funding.

- Investments made in the RTIP should, where feasible, provide matching funds necessary to deliver regional priority projects included in the Governor's Traffic Congestion Relief Plan and related AB 2928/SB 406 implementation bills.

- MTC may choose to consult with counties to consider programming a portion of their RTIP shares for projects that will have a regionwide benefit. Among these considerations would be operational projects intended to improve the performance of the metropolitan transportation system as a whole and the implementation of an express bus program that has received partial funding in the Governor's Traffic Congestion Relief Plan, and projects proposed for the Interregional Transportation Improvement Program (ITIP).

- MTC and its Partners must recognize and take advantage of the increased programming flexibility that SB 45 (Chapter 622, Statutes 1997) offers to the region, and should be able to demonstrate achievement of flexibility in the final 2002 RTIP.

- MTC and the Partnership developed a strategy for programming federal and state funds to ensure that a balanced, reasonable mix of high priority transportation projects is achieved at the regional level. This strategy was adopted by the Commission as Resolution No. 3053. Pursuant to that policy, the following factors must be considered in the development of priorities and procedures for programming STIP funds and federal funds available under TEA-21:

  - The diverse nature of the Bay Area transportation system requires multi-modal investments.
  - A strategic mix of various fund sources will be required to meet the divergent needs of large versus small projects, and/or differences in the financial capabilities of their Partnership sponsors.
  - Maintaining and sustaining the existing system through replacement and rehabilitation of its infrastructure, coupled with effective management of that system, are high regional priorities in the RTP and must be provided for. However, strategic expansion investments consistent with MTC's Regional Transportation Plan (RTP) will be best accommodated with STIP programming.

Key Policies and Guidance

The following policies serve as the primary guidance in the development of the 2002 RTIP.

RTP Consistency

The Commission has established a policy of "100 percent funding" for transit capital shortfalls as identified in the 1998 Regional Transportation Plan (RTP). Programming policies governing the STIP and other flexible, multi-modal discretionary funding sources such as the federal Surface Transportation Program (STP) and the Congestion Mitigation and Air Quality (CMAQ) funds need to be responsive to that policy. Updated transit capital shortfall estimates over the 25-year period of the upcoming 2001 RTP have been submitted to County Congestion Management Agencies (CMAs). Each CMA which has an indicated shortfall must document those transit projects included in the 2002 RTIP that are credited against that shortfall target, and include a statement of how future STIP county shares will be considered in addressing remaining transit needs. We anticipate future RTIP and STP/ CMAQ guidelines will be further refined to address this long-range planning requirement.

CTC Guidance

The policies of MTC for the 2002 RTIP are based on the STIP guidelines developed for the 2002 STIP and adopted by the California Transportation Commission (CTC) at its July 2001 meeting. Portions of the CTC STIP Guidelines which may be useful in programming projects for the 2002 RTIP are incorporated into the screening requirements of these policies and procedures. The entire CTC STIP Guidelines are available on the internet at: http://www.dot.ca.gov/hq/transprog/stip

Schedule
Development of the 2002 RTIP under these procedures will be done in accordance with the schedule outlined in Attachment A of these policies and procedures.

RTIP Project Solicitation
Each county congestion management agency (CMA), or countywide transportation planning agency for those counties that have opted out of the CMA requirement, will be responsible for soliciting projects for its county share of the RTIP. The CMA must notify all eligible project sponsors of the process and deadlines for applying for RTIP funding, recognizing the expanded project eligibility allowed under SB 45.

Project Analysis
Projects included in the RTIP must be consistent with the adopted Regional Transportation Plan (RTP), and included in a Congestion Management Plan (CMP) or Capital Improvement Program (CIP). Furthermore, evaluation of the effectiveness of the projects proposed in the RTIP is considered to have been performed as part of the system wide analysis of the regional transportation investments of the RTP. The value of the RTIP projects is affirmed by their contribution toward implementing the goals and policies of the Regional Transportation Plan.

Project Eligibility
SB 45 (Chapter 622, Statutes 1997) considerably expanded the range of projects that are eligible for consideration in the RTIP. Eligible projects include, state highway improvements, local road improvements and rehabilitation, public transit, intercity rail, pedestrian, and bicycle facilities, and grade separation, transportation system management, transportation demand management, soundwall projects, intermodal facilities, and safety.

Project Advancements
If a project or project component is ready for implementation earlier than the fiscal year that it is programmed in the STIP, the implementing agency may request an allocation in advance of the programmed year. The CTC will consider making advanced allocations based on a finding that the allocation will not delay availability of funding for other projects programmed in earlier years than the project to be advanced and with the approval of the responsible regional agency if county share funds are to be advanced.

Programming to Reserves
The counties and the region may propose to leave county share STIP funds unprogrammed for a time to allow adequate consideration of funding options for future projects. The CTC particularly encourages Caltrans and the regional agencies to engage in early consultations to coordinate their ITIP and RTIP proposals for such projects. Counties intending to maintain an unprogrammed balance of its county share for future program amendments prior to the next STIP must include a statement of the intentions for the funds, including the anticipated use of the funds, as well as the amount and timing of the intended STIP amendment(s). Unprogrammed balance reserves for both the RTIP shares and county share advance must be identified separately. The Commission intends to encourage the full use of STIP resources while permitting additional STIP amendments. However, access to any unprogrammed balance is subject to availability of funds in the State Highway Account.

County Shares

Attachment B of the Polices and Procedures provides the preliminary county shares for each county for the 2002 STIP. Each county's project list, due to MTC in draft form in August 2001, must be constrained within these county share limits. These targets are based on preliminary figures released by Caltrans in February 2001, and will be revised with release of the draft STIP Fund Estimate at the July 11-12, 2001 CTC meeting. The final programming capacity will be established in the 2002 STIP Fund Estimate adopted by the CTC in August 2001.

The region may program up to the full amount of its share for the five-year STIP period ending fiscal year 2006-07, including any unprogrammed balances from the 2000 STIP. There are three years of additional programming capacity during the 2002 STIP period, (fiscal years 2004-05, 2005-06 and 2006-07). In addition, the CTC will allow programming of funds for the four-year county share period beyond the current STIP period. For the 2002 STIP, there is one additional year available for programming from the county share period (FY 2007-08). This results in a total of four years of additional programming capacity. The additional capacity of the three years of the STIP period is guaranteed to the region for programming. However, the programming of funds from the fourth year of the county share period is at the discretion of the CTC, based on availability of funds statewide.

Additional funding is available for programming of project development components through the Advance Project Development Element (APDE) of the STIP. This equates to 25 percent of the estimated programming capacity for the two years beyond the STIP period (2007-08 and 2008-09). Funds that have been programmed from past STIP APDEs are carried over as a debit against future APDE programming capacity until the project goes to construction. Once a project funded within the STIP APDE moves to construction, the funding within the APDE for that project is deducted from the programming capacity of the county share.

The CTC will be treating the programming of funds in the fourth year of the County share period, as well as the funds programmed within the APDE for projects that have gone to construction, as advances against future STIP period county shares. Amounts programmed under these provisions will be deducted from the regular county share in the next STIP.

The RTIP will separately identify the projects or project components that are to be programmed under the three funding options: regular 2002 STIP programming, county share period fourth-year programming, and APDE programming. Regular 2002 STIP funding must be fully programmed prior to the programming of funds made available through advancement of the fourth year of the county share period.

Countywide RTIP Listing

A uniform format has been developed for the submittal of countywide funding information and is included as Attachment C of this guidance. Each county Congestion Management Agency or countywide transportation planning agency will submit a draft countywide RTIP project listing prior to submittal of the individual project applications. Upon submittal of the final project applications, the countywide RTIP listing will be submitted in final form, along with a statement (for those CMA's that have indicated a transit need shortfall) of how future RTIP county shares will be considered in addressing remaining transit needs.

Project Screening Criteria, Including Readiness
In addition to the CTC Guidelines, all projects included in the 2002 RTIP must meet all MTC project screening Criteria listed in Attachment D of this guidance. Of utmost importance are the project readiness requirements.

RTIP Applications
Project sponsors must complete an application for each project proposed for funding in the RTIP, consisting of the items included in Attachment E of this guidance. Project sponsors are to use the nomination sheet developed for the MTC region, rather than the fact and fund sheets provided by Caltrans. The nomination sheet must be submitted electronically for upload into the regional and statewide databases.

Regional Projects
Applications for projects with regionwide or multi-county benefits should be submitted to both MTC and the affected county CMAs for review. Regional projects will be considered for programming in the context of other county project priorities. MTC staff will work with the affected parties (CMAs and project sponsors) to determine the appropriate level of funding for these projects and negotiate county contributions of the project cost. County contributions would be based on population shares of the affected counties, or other agreed upon distribution formulas.

85-115% Adjustments
MTC may, pursuant to Streets and Highways Code Section 188.8 (k), pool the county shares within the region, provided that each county shall receive no less than 85 percent and not more than 115 percent of its county share for any single STIP programming period and 100 percent of its county share over two STIP programming cycles.

MTC may recommend use of the 85%-115% rule provided for in SB 45 to ensure, as needed, that the proper scope of projects submitted for programming can be accommodated. MTC will also work with CMAs to recommend other options, such as phased programming across STIP cycles, to ensure that sufficient funding and concerns such as timely use of funds are adequately addressed.

Timely Use of Funds Provisions and Deadlines
SB 45 established strict timely use of funds and project delivery requirements for transportation projects programmed in the STIP. Missing critical milestones could result in deletion of the project from the STIP, and a permanent loss of the funds to the county and region. Therefore, these timely use of funds deadlines must be considered in programming the various project phases in the STIP. While SB 45 provides some flexibility with respect to these deadlines by allowing for deadline extensions under certain circumstances, the CTC has made it very clear that deadline extensions will be the exception rather than the rule.

Project sponsors must be certain that they can meet all of the timely use of funds deadlines imposed by SB 45 as described below.

Allocation
Funds programmed in the STIP for all components of local grant projects and for Caltrans construction capital must receive an allocation from the CTC by the end of the fiscal year in which the funds are programmed. Funds not allocated or extended by the CTC within this deadline are deleted from the STIP with the funds returning to the county in the next county share period. The next county share period begins July 1, 2004, with the following share period beginning July 1, 2008

Award
Funds allocated for construction or for purchase of equipment must be encumbered by the award of a contract within twelve months of the date of the allocation. Federal funds for transit projects are considered encumbered and expended upon completion of the fund transfer from Federal Highway Administration (FHWA) to Federal Transit Administration (FTA). Funds not encumbered by the award of a contract, or transferred to FTA, or extended by the CTC within this deadline are permanently lost to the region, with no adjustment to the county share balance.

Expenditure
Funds allocated for local project development or right of way costs must be expended by the end of the second fiscal year following the fiscal year in which the funds were allocated. Funds allocated for construction or for the purchase of equipment must be expended within 36 months of award of the contract. Funds not expended, or transferred to FTA, or extended by the CTC within the expenditure deadline are permanently lost to the region, with no adjustment to the county share balance.

Reimbursement
For local grant projects, the sponsor has 180 days after contract acceptance (completion of expenditure of funds) to make the final payment to the contractor or vendor, prepare the final Report of Expenditure and submit the final invoice to Caltrans for reimbursement. Funds not reimbursed or extended by the CTC within the reimbursement deadline are permanently lost to the region, with no adjustment to the county share balance.

Note for Transit Projects: Funds programmed and allocated for transit projects are considered obligated as soon as they are transferred to the Federal Transit Administration (FTA). Federal funds for such projects will be considered encumbered and expended upon completion of the fund transfer to FTA. State funds allocated to match the federal funds for such projects will be subject to the timely use of funds provisions described above.

For each of these deadlines, the project sponsor may request the CTC (following CMA and MTC concurrence) to extend the deadlines no more than one time and only if the CTC finds that an unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the extension. The extension will not exceed the period of delay directly attributed to the extraordinary circumstance and will in no event be for more than 20 months.

In addition to the Timely Use of Funds provisions of SB 45, the California Transportation Commission has strengthened its STIP Amendment policy by prohibiting amendments for funds programmed in the current fiscal year.

Notice of Contract Award

Caltrans has developed a procedure (Local Programs Procedures LPP-01-06) requiring project sponsors to notify Caltrans immediately after the award of a contract. Furthermore, Caltrans will not make any reimbursements for expenditures until such information is provided.

To ensure proper monitoring of the Timely Use of Funds provisions of SB 45, project sponsors are required to provide MTC and/or the county CMA with a copy of the LPP-01-06 "Award Information for STIP Projects – Attachment A" form, when it is submitted to Caltrans. This will assist MTC in maintaining the regional project monitoring database, and ensure accurate reporting on the status of projects in advance of potential funding lapses.

State-Only Funding

Most projects programmed in the STIP receive a combination of state and federal funds. However, the CTC, with the concurrence of Caltrans, may approve state only funds on a case-by-case basis. Requesting state only funding may be justified, for example, for a local roadway project off of the federal aid system, which would be ineligible to receive federal funding.

Caltrans will be determining the availability of state-only funding in the STIP on an annual basis in conjunction with adoption of the state budget. Therefore, Caltrans will be revisiting the approved state-only funding eligibility categories on an annual basis, with the possibility of only guaranteeing state-only funding for projects in the current fiscal year. Caltrans is aware of the needs of project sponsors to know in advance whether the project will be state-only funded, and will therefore review requests on a project by project basis.

For all state-only funding requests there must be a notation of such a request in the "Special Funding Conditions or Terms" section of the RTIP Nomination Sheet, as well as in the CMA RTIP project list. For projects sponsors requesting state-only funding for projects that do not meet the pre-approved state-only funding categories, sponsors must also include a copy of the Caltrans "Request for Exception to Project Funding Policy" form as part of their RTIP application submittal. The original must be sent directly to Caltrans, HQ Budgets for processing and approval by Caltrans prior to MTC submittal of the final RTIP to the CTC on December 15, 2001. This includes any request for STIP PTA matching funds for Article XIX restricted projects.

State-only funds are currently approved for the following:

- All capital projects under $750,000 with the exception of park and ride and bus stop projects costing $30,000 or more and safety and railroad projects on State Highways costing $100,000 or more.
- State funds used to match federal funds.
- STIP rideshare projects
- Rail projects not eligible for federal funding, and are not for acquiring rolling stock.

- STIP Planning, Programming, and Monitoring (PPM) funding.
- Projects recommended by Caltrans approved by the CTC at the time of programming
- Projects granted exceptions by Caltrans (requires Request for Exception to Project Funding Policy Form)

It is encouraged that project sponsors requesting state-only funding, do so at the time the project is initially programmed in the STIP, rather than waiting until the allocation of funds. The availability of state-only funding varies dramatically year to year, which may result in these funds being unavailable at the time of allocation. Therefore, to guarantee state-only funding, the project sponsor must request state-only funds at the time of programming.

Matching Requirements

A local match is not required for projects programmed in the STIP, except under special situations affecting projects subject to Article XIX restrictions established by the State Constitution. Article XIX limits the use of state revenues in the State Highway Account (SHA) to state highways, local roads, and fixed guideway facilities. Other projects, such as rail rolling stock and buses, are not eligible to receive state funds from the SHA. Article XIX restricted projects must therefore be funded with either a combination of federal STIP funding and matching STIP funds from the Pubic Transportation Account (PTA), or with 100 percent federal STIP funds in the State Highway Account (which requires a non-federal local match of 11.47% from a non-STIP local funding source).

It is expected that the availability of Public Transportation Account (PTA) funds as match for Article XIX restricted projects will be extremely limited for the 2002 STIP. Project sponsors wishing to use STIP PTA funds as matching funds for Article XIX restricted projects must note such a request in the "Special Funding Conditions" section of the RTIP Application Nomination sheet, and obtain approval from Caltrans through the state-only approval process as previously described. Otherwise, the CTC will assume any Article XIX restricted STIP project will be funded with 100 percent federal funds.

STIP Amendment/Extension Procedure

The STIP amendment and extensions process has been updated and is incorporated as Attachment 2 of MTC Resolution No. 3404. Project sponsors will be required to follow this process in addition to any procedures imposed by Caltrans or the CMAs, for all STIP amendment and extension requests. Of particular interest is the new requirement for the development of a 'STIP History' to accompany all requests to delay construction. The 'STIP History' outlines the project's construction history as programmed in the STIP with particular attention to any previous delays and reason for previous and current delay. It must note the original inclusion of the project construction component in the STIP and each prior project construction STIP amendment delay including for each, the amendment date, the dollar amount programmed for construction, and the scheduled year of construction delay. It must also include a statement on the financial impact of the construction delay on the project, and an estimated funding source for the additional funds necessary to complete the project under the delayed schedule.

2002 RTIP
Metropolitan Transportation Commission
Regional Transportation Improvement Program
Attachment A: 2002 RTIP Development Schedule

March 22, 2001	Partnership Finance review of draft RTIP process and criteria
March 23, 2001	SB-45 Oversight Committee review of draft RTIP process and criteria
April 4, 2001	FPWG / TFWG review of draft RTIP process and criteria
June 7, 2001	Caltrans presentation of STIP Fund Estimate assumptions to CTC
June 28, 2001	Partnership Finance review of highlights and significant changes of RTIP process and criteria
July 11, 2001	PAC review/approval of RTIP process and criteria
July 12, 2001	Caltrans presentation of draft STIP Fund Estimate to CTC
July 25, 2001	Commission adopts RTIP process and criteria
July/August	MTC works with counties and project sponsors on regional project proposals
August 10, 2001	CMAs submit draft RTIP project list to MTC
August 22, 2001	CTC adopts STIP Fund Estimate
September 10, 2001	Final CMA RTIP project list, and Application Nomination sheet due to MTC
October 1, 2001	Final changes to CMA RTIP lists and Application Nomination sheets to reflect any unforeseen changes in Final STIP Fund Estimate due to MTC. Final PSRs, Resolution of Local Support and Certification of Assurances due to MTC (Final Complete Applications Due)
October 10, 2001	PAC review – authorize RTIP preparation and public hearing
October 12, 2001	Circulate draft RTIP for public comment
November 14, 2001	Public hearing (at PAC meeting). Close of comment period
November 21, 2001	Commission approves RTIP
December 15, 2001	RTIP due to CTC
April, 2002	CTC adopts 2002 STIP

2002 RTIP
METROPOLITAN TRANSPORTATION COMMISSION
Regional Transportation Improvement Program
Attachment B: 2002 RTIP County Share Balances
2002 STIP Fund Estimate
as revised by MTC Resolution 3422
November 28, 2001

County	FINAL 2002 F.E. Added Programming Capacity FY 04-05, FY 05-06 & FY 06-07 (Aug 23, 2001)	2000 STIP Unprogrammed Balance (as of Aug 23, 2001)	99-00 / 00-01 Lapsed Funds Returned to County (as of Aug 23, 2001)	TOTAL Estimated 2002 RTIP Programming Capacity	4th Year County Share Period Advance	Potential Total	2002 STIP APDE Programming Capacity	2000 STIP APDE Programmed ** (as of Aug 23, 2001)	2002 STIP APDE Net Available	Total Programming Available
Alameda	$98,345,000	$2,981,000	$4,031,000	$105,357,000	$64,229,000	$169,586,000	$25,975,000	($3,000,000)	$22,975,000	$192,561,000
Contra Costa	$63,743,000	$9,667,000	$420,000	$73,830,000	$41,631,000	$115,461,000	$16,836,000	$0	$16,836,000	$132,297,000
Marin	$18,626,000	$619,000	$181,000	$19,426,000	$12,164,000	$31,590,000	$4,919,000	$0	$4,919,000	$36,509,000
Napa	$11,542,000	$4,039,000	$0	$15,581,000	$7,538,000	$23,119,000	$3,049,000	$0	$3,049,000	$26,168,000
San Francisco	$50,254,000	$5,000	$391,000	$50,650,000	$32,821,000	$83,471,000	$13,273,000	$0	$13,273,000	$96,744,000
San Mateo	$51,753,000	$3,677,000	$1,197,000	$56,627,000	$33,800,000	$90,427,000	$13,669,000	$0	$13,669,000	$104,096,000
Santa Clara	$115,142,000	$1,825,000	$3,326,000	$120,293,000	$75,200,000	$195,493,000	$30,411,000	$0	$30,411,000	$225,904,000
Solano	$30,183,000	$5,219,000	$5,012,000	$40,414,000	$19,713,000	$60,127,000	$7,972,000	($2,250,000)	$5,722,000	$65,849,000
Sonoma	$36,843,000	$6,621,000	$455,000	$43,919,000	$24,062,000	$67,981,000	$9,731,000	$0	$9,731,000	$77,712,000
MTC Region Total:	$476,431,000	$34,653,000	$15,013,000	$526,097,000	$311,158,000	$837,255,000	$125,835,000	($5,250,000)	$120,585,000	$957,840,000

* NOTE: 2000 APDE funding for programmed projects is treated as an advance and deducted from new programming capacity at the time the project goes to right of way or construction.

** NOTE: 2000 APDE funding for programmed projects is carried over as a debit against future APDE programing capacity until the project goes to right of way or construction.

2002 RTIP
METROPOLITAN TRANSPORTATION COMMISSION
Regional Transportation Improvement Program
Attachment C: 2002 RTIP Projects Summary List

(Amounts in Thousands)

Proj. #, **TIP ID, PPNO** (if known), **Loc Proj #** **Implementing Agency** **Mode, State Hwy Route** (if applicable) (State Hwy, Local Road, Transit, Intercity Rail, Bike/Ped, or Other) **Project Title**	**RTP status**	**RTP Transit Capital Shortfall Target**	**2002 ITIP Funds Requested**	**TCRP Project ?**	**PSR Date**	**Fund Type Requested**	**Program Type**	**Phase(s)**	**Total**	**2002 RTIP Funding Request (Dollars in Thousands)**				
	ID # or Pending	Yes / No	$ or No (in thousands)	ID # or No	Date	Fed/St Split State-Only, 100% Federal, or Fed/PTA Split	RTIP, APDE or Share Advance	Env, PS&E, R/W, Con, R/W Sup-CT, or Con Sup-CT	(calculated value)	02/03	03/04	04/05	05/06	06/07
Santa Clara									**$37,000**					
1 SCL011234 2002 12345 Santa Clara VTA Transit I-680 Light rail extension from downtown San Jose to Campbell SAMPLE	98-1234	Yes	$5,000	113	6/30/2001	Fed/PTA	Share Advance	ENV	$1,000	$1,000				
								PS&E	$2,000		$2,000			
								R/W	$4,000			$4,000		
								CON	$25,000				$25,000	
								R/W SUP (CT)	$1,000			$1,000		
								CON SUP (CT)	$4,000				$4,000	
								TOTAL	$37,000	$1,000	$2,000	$5,000	$29,000	
2								ENV						
								PS&E						
								R/W						
								CON						
								R/W SUP (CT)						
								CON SUP (CT)						
								TOTAL						
3								ENV						
								PS&E						
								R/W						
								CON						
								R/W SUP (CT)						
								CON SUP (CT)						
								TOTAL						
4								ENV						
								PS&E						
								R/W						
								CON						
								R/W SUP (CT)						
								CON SUP (CT)						
								TOTAL						

2002 Regional Transportation Improvement Program
Policies and Procedures
Attachment D: 2002 RTIP Project Screening Criteria

Eligible Projects

A. Eligible Projects. SB 45 (Chapter 622, Statutes 1997) widened the range of projects that are eligible for consideration in the RTIP. Eligible projects include, state highway improvements, local road improvements and rehabilitation, public transit, intercity rail, pedestrian, and bicycle facilities, and grade separation, transportation system management, transportation demand management, soundwall projects, intermodal facilities, and safety.

Planning Prerequisites

B. RTP Consistency. Projects included in the RTIP must be consistent with the adopted Regional Transportation Plan (RTP), which state law requires to be consistent with federal planning and programming requirements. Each project to be included in the RTIP must identify its relationship with meeting the goals and objectives of the RTP, and where applicable, the RTP ID number and/or RTP travel corridor and whether the project is to be credited against the county's transit capital shortfall target.

C. CMP Consistency. Local projects must also be included in a County Congestion Management Plan (CMP), or in an adopted Capital Improvement Program (CIP) for counties that have opted out of the CMP requirement, prior to inclusion in the RTIP.

D. PSR or PSR Equivalent is Required. Projects in the STIP must have a complete project study report or, for a project that is not on a state highway, a project study report equivalent or major investment study. The intent of this requirement is to ensure that the project scope, cost and schedule have been adequately defined and justified. This requirement is particularly important in light of SB 45 timely use of funds requirements, discussed below.

The required format of a PSR or PSR equivalent varies by project type. Additional guidance on how to prepare these documents is available on the internet at the addresses indicated within Part 3 (Project Study Report (PSR), or equivalent) of Attachment E: 2002 RTIP Project Application, which includes a table categorizing PSR and PSR equivalent requirements by project type.

Project Costs and Phases

E. Escalated Costs. All projects will count against share balances on the basis of their fully escalated (inflated) costs. All RTIP project costs must be escalated to the year in which project delivery is proposed.

As required by law, inflation estimates for Caltrans operations (support) costs are based on the annual escalation rate established by the Department of Finance. For the 2002 STIP the escalation rate for Caltrans operations is 2.7 percent. The annual inflation factor for Caltrans

capital projects is based on the California Highway Construction Cost Index. For the 2002 STIP period the escalation rate for Caltrans capital construction is 3.4 percent.

Local project sponsors may use the state escalation rates or their own rates in determining the escalated project cost in the year programmed.

F. Project Phases. Projects should be separated into the following project components:

1. Completion of all permits and environmental studies
2. Preparation of all Plans, Specifications, and Estimates
3. Acquisition of right-of-way
4. Construction and construction management and engineering, including surveys and inspections."
   Note: Right-of-way and construction components on Caltrans projects must be further separated into capital costs and Caltrans support costs.

The project sponsor/CMA must display the project in these four components (six for Caltrans projects) in the final submittal. STIP funding amounts programmed for any component shall be rounded to the nearest $1,000.

G. Fiscal Years of Programming. The 2002 STIP covers the five-year period from FY 2002-03 though 2006-07. Therefore, no new projects will be programmed in FY 2001-02. This includes the programming of any unprogrammed balances from the 2000 STIP. Project sponsors wishing to access funds in FY 2001-02 must program the funds in FY 2002-03, and request an advance of funds into the 2001-02 fiscal year. For delivery purposes, STIP funds will not be amended into the current year of the STIP, unless there is strong justification.

Readiness Standards

H. Project Phases Must Be Ready in the Year Proposed. Funds designated for each project component will only be available for allocation until the end of the fiscal year in which the funds are programmed in the STIP. Once allocated, the sponsor will have two additional years to expend funds. For construction, the sponsor will have one year to award a contract and three years to expend funds. It is therefore very important that projects be ready to proceed in the year programmed.

I. Completion of Environmental Process. Government Code Section 14529(c) requires that funding for right-of-way acquisition and construction for a project may be included in the STIP only if the CTC makes a finding that the sponsoring agency will complete the environmental process and can proceed with right-of-way acquisition or construction within the five year STIP period. Furthermore, in compliance with Section 21150 of the Public Resources Code, the CTC may not allocate funds to local agencies for design, right-of-way, or construction prior to documentation of environmental clearance under the California Environmental Quality Act (CEQA). Therefore, project sponsors must demonstrate to MTC that these requirements can be reasonably expected to be met prior to programming right-of-way or construction funds in the RTIP.

J. Programming Project Components in Sequential STIP Cycles. Project components may be programmed sequentially. That is, a project may be programmed for environmental work only, without being programmed for plans, specifications, and estimates (design). A project may be programmed for design without being programmed for right-of-way or construction. A project may be programmed for right-of-way without being programmed for construction. The CTC recognizes a particular benefit in programming projects for environmental work only, since projects costs and particularly project scheduling often cannot be determined with meaningful accuracy until environmental studies have been completed. As the cost, scope and schedule of the project is refined, the next phases of the project may be programmed with an amendment or in a subsequent STIP.

When proposing to program only preconstruction components for a project, the implementing agency must demonstrate the means by which it intends to fund the construction of a useable segment, consistent with the regional transportation plan or the Caltrans interregional transportation strategic plan. The anticipated total project cost and source of any uncommitted future funding must be identified.

K. Sequential Phasing. For most projects, the different project phases should be programmed sequentially in the STIP, i.e. environmental before design before right of way before construction. Projects with significant right of way acquisition or construction costs that require more than a simple Categorical Exemption or basic permitting approvals, must not be programmed with the right of way and construction components in the same year as the environmental. Project sponsors must provide sufficient time between the scheduled allocation of environmental funds and the start of design, right of way or construction.

L. The Project Must Be Fully Funded. All local projects included in the final CMA RTIP Lists must be accompanied by an authorizing resolution stating the sponsor's commitment to complete the project as scoped with the funds requested. A model resolution including the information required is outlined in Attachment E - Part 1 of this guidance.

The CTC will program a project component only if it finds that the component itself is fully funded, either from STIP funds or from other committed funds. The CTC will regard non-STIP funds as committed when the agency with discretionary authority over the funds has made its commitment to the project by ordinance or resolution. For federal formula funds, including RSTP, CMAQ, and Federal formula transit funds, the commitment may be by Federal TIP adoption. For federal discretionary funds, the commitment may be by federal approval of a full funding grant agreement or by grant approval.

All regional agencies with rail transit projects shall submit full funding plans describing each overall project and/or useable project segment. Each plan shall list Federal, State, and local funding categories by fiscal year over the time-frame that funding is sought, including funding for initial operating costs. Moreover, should the project schedule exceed the funding horizon, then the amount needed beyond what is currently requested shall be indicated. This information may be incorporated in the project application nomination sheets.

M. Field Review for Federally Funded Local Projects. One way to avoid unnecessary STIP amendment and extension requests is to conduct a field review as early as possible, so potential issues may be identified with sufficient time for resolution.

By requesting funding for a federally-funded project in the RTIP, the project sponsor agrees to contact Caltrans and schedule and complete a project field review within 6-months of the project being included in the adopted STIP. For the 2002 STIP, Caltrans field reviews should be completed by November 1, 2002. This includes federally funded projects carried over from the 2000 STIP. This requirement only applies to projects receiving federal funds. Field reviews for State-only funded projects need not receive a field review from Caltrans.

Other Requirements

N. Availability for Audits. Sponsors must agree to be available for an audit if requested. Government Code Section 14529.1 "The commission [CTC] shall request that the entity receiving funds accept an audit of funds allocated to it by the commission, if an audit is deemed necessary.

O. Interregional Projects May Be Proposed Under Some Restrictive Circumstances. The project needs to be a usable segment, must not be a pre-condition for an RTIP project, and must be more cost-effective than a Caltrans project alternative. Government Code Section 14527 (c) A project recommended for funding by the RTPA for in the Interregional Improvement Program] shall constitute a usable segment, and shall not be a condition for inclusion of other projects in the RTIP." Government Code Section 14529 (k) "... the commission [CTC] must make a finding, based on an objective analysis, that the recommended project is more cost-effective than a project submitted by the department…"

P. Premature Commitment of Funds. The project sponsor may not be reimbursed for expenditures made prior to the allocation of funds by the CTC (or by Caltrans under delegation authority), unless the provisions of Assembly Bill 872 (Chapter 572, Statutes of 1999 – Section 14529.7 of the Government Code) are met in accordance with the CTC Guidelines for Implementation of AB872. Under no circumstances may funds be reimbursed for expenditures made prior to the funds being programmed in the STIP.

Q. State-Only Funding. For all state-only funding requests there must be a notation of such a request in the "Special Funding Conditions or Terms" section of the RTIP Nomination Sheet, as well as in the CMA RTIP project list. For projects sponsors requesting state-only funding for projects that do not meet the pre-approved state-only funding categories, sponsors should also include a copy of the Caltrans "Request for Exception to Project Funding Policy" form as part of their RTIP application submittal. The original must be sent directly to Caltrans, HQ Budgets for processing and approval by Caltrans prior to MTC submittal of the final RTIP to the CTC on December 15, 2001. This includes any request for STIP PTA matching funds for Article XIX restricted projects.

2002 Regional Transportation Improvement Program (RTIP)
Attachment E: 2002 RTIP Project Application

Project sponsors must submit a completed project application for each project proposed for funding in the 2002 RTIP. The application consists of the following four to five parts and are available on the internet (as applicable) at: http://www.mtc.ca.gov/funding.htm

1. Resolution of local support *
1b. Opinion of legal counsel *
2. Local agency certification of assurances
3. Project Study Report (PSR), or equivalent
4. RTIP project nomination sheet (with maps) (must be submitted electronically)
5. Copy of State-Only Funding Request Exception Form (Only if requesting state-only funding and the project is not on pre-approved state-only eligible funding list. Original request is to be submitted directly to Caltrans HQ Budgets for processing and approval prior to MTC submittal of the RTIP to the CTC on December 15, 2001).

* Project sponsor has the option to incorporate language into the Resolution of Local support – see note below

* NOTE: Project sponsors have the option of consolidating the 'Opinion of Legal Counsel' within the Resolution of Local Support, by incorporating the following statements into the Resolution of Local Support:

Resolved, that (agency name) is an eligible sponsor of projects in the State Transportation Improvement Program; and be it further

Resolved, that (agency name) is authorized to submit an application for State Transportation Improvement Program funds for (project name); and be it further

Resolved, that there is no legal impediment to (agency name) making applications for Regional Improvement Program funds; and be it further

Resolved, that there is no pending or threatened litigation which might in any way adversely affect the proposed project, or the ability of (agency name) to deliver such project; and be it further

If the above language is not provided within the Resolution of Local Support, an Opinion of Legal Counsel is required as provided in Part 1b

RTIP Project Application

Part 1: Sample Resolution of Local Support

Resolution No. _____

Whereas, SB 45 (Chapter 622, Statutes 1997) substantially revised the process for estimating the amount of state and federal funds available for transportation projects in the state and for appropriating and allocating the available funds to these projects; and

Whereas, as part of that new process, the Metropolitan Transportation Commission (MTC) is responsible for programming projects eligible for Regional Improvement Program funds, pursuant to Government Code Section 14527(b), for inclusion in the Regional Transportation Improvement Program, and submission to the California Transportation Commission, for inclusion in the State Transportation Improvement Program; and

Whereas, MTC has requested eligible transportation project sponsors to submit applications nominating projects to be programmed for Regional Improvement Program funds in the Regional Transportation Improvement Program; and

Whereas, applications to MTC must be submitted consistent with procedures, conditions, and forms it provides transportation project sponsors; and

Whereas, (agency name) is a sponsor of transportation projects eligible for Regional Improvement Program funds; and

Whereas, the RTIP project nomination sheet of the project application, attached hereto and incorporated herein as though set forth at length, lists the project, purpose, schedule and budget for which (agency name) is requesting that MTC program Regional Improvement Program funds for inclusion in the Regional Transportation Improvement Program; and

Whereas, Part 2 of the project application, attached hereto and incorporated herein as though set forth at length, includes the certification by (agency name) of assurances required by SB 45 in order to qualify the project listed in the RTIP project nomination sheet of the project application for programming by MTC; now, therefore, be it

Resolved, that (agency name) approves the assurances set forth in Part 2 of the project application, attached to this resolution; and be it further

Resolved, that (agency name) has reviewed the project and has adequate staffing resources to deliver and complete the project within the schedule set forth in the RTIP project nomination sheet of the project application, attached to this resolution; and be it further

Resolved, that (agency name) is an eligible sponsor of projects in the State Transportation Improvement Program; and be it further

Resolved, that (agency name) is authorized to submit an application for State Transportation Improvement Program funds for (project name); and be it further

Resolved, that there is no legal impediment to (agency name) making applications for Regional Improvement Program funds; and be it further

Resolved, that there is no pending or threatened litigation which might in any way adversely affect the proposed project, or the ability of (agency name) to deliver such project; and be it further

Resolved, that (agency name) authorizes its (Executive Director, General Manager, or his/her designee) to execute and file an application with MTC to program Regional Improvement Program funds into the Regional Transportation Improvement Program, for the projects, purposes and amounts included in the project application attached to this resolution; and be it further

Resolved, that a copy of this resolution shall be transmitted to MTC in conjunction with the filing of the (agency name) application referenced herein.

RTIP Project Application

Part 1b: Sample Opinion of Legal Counsel

Project sponsors have the option of including specified terms and conditions within the Resolution of Local Support as included in Part 1. If a project sponsor elects not to include the specified language within the Resolution of Local Support, then the sponsor shall provide MTC with a current Opinion of Counsel stating that the agency is an eligible sponsor of projects for the State Transportation Improvement Program; that the agency is authorized to perform the project for which funds are requested; that there is no legal impediment to the agency applying for the funds; and that there is no pending or anticipated litigation which might adversely affect the project or the ability of the agency to carry out the project. A sample format is provided below.

(Date)

To: Metropolitan Transportation Commission
Fr: (Applicant)
Re: Eligibility for State Transportation Improvement Program (STIP) funds

This communication will serve as the requisite opinion of counsel in connection with the application of (Applicant) _____ for funding from the State Transportation Improvement Program (STIP) made available pursuant to the State Transportation Funding Plan, Streets and Highways Code Section 163 et. seq..

1. (Applicant)_____ is an eligible sponsor of projects for the STIP.
2. (Applicant) _____ is authorized to submit an application for STIP funding for (project) _____.
3. I have reviewed the pertinent state laws and I am of the opinion that there is no legal impediment to (Applicant) _____ making applications for STIP funds. Furthermore, as a result of my examinations, I find that there is no pending or threatened litigation which might in any way adversely affect the proposed projects, or the ability of (Applicant) _____ to carry out such projects.

Sincerely,

_____
Legal Counsel

_____
Print name

RTIP Project Application
Part 2: Certification of Assurances

The implementing agency certifies that the project for which Regional Improvement Program funding is requested meets the following project screening Criteria. **Please initial each.**

1. The project is eligible for consideration in the RTIP. Pursuant to Streets and Highways Code Section 164 (e), eligible projects include improving state highways, local roads, public transit, intercity rail, pedestrian, and bicycle facilities, and grade separation, transportation system management, transportation demand management, soundwall projects, intermodal facilities, and safety. _____
2. For the funds requested, no costs have/will be incurred prior to adoption into the STIP by the CTC. _____
3. A Project Study Report (PSR) or PSR equivalent has been prepared for the project. _____
4. The project budget included in Part 2 of the project application reflects current costs updated as of the date of application and escalated to the appropriate year. _____
5. The project is included in a local congestion management program (CMP). (Note: For those counties that have opted out of preparing a CMP in accordance with Government Code Section 65088.3, the project must be consistent with the capital improvement program adopted pursuant to MTC's funding agreement with the countywide transportation planning agency.) _____
6. The year of funding for any design, right-of-way and/or construction phases has taken into consideration the time necessary to obtain environmental clearance and permitting approval for the project. _____
7. The project is fully funded. _____
8. For projects with STIP federal funds, the implementing agency agrees to contact Caltrans and schedule and complete a field review within six months of the project being adopted or amended into the STIP. _____
9. For STIP construction funds, the implementing agency agrees to send a copy of the Caltrans LPP 01-06 "Award Information for STIP Projects – Attachment A" to MTC and/or the CMA, upon award. _____
10. The implementing agency agrees to be available for an audit of STIP funds, if requested. _____

The implementing agency also agrees to abide by all rules and regulations applying to the State Transportation Improvement Program (STIP), and to follow all requirements associated with the funds programmed to the project in the STIP. _____

These include, but are not limited to:

1. Environmental requirements: NEPA standards and procedures for all projects with Federal funds; CEQA standards and procedures for all projects programmed with State funds.
2. California Transportation Commission (CTC) requirements for transit projects, formerly associated with the Transit Capital Improvement (TCI) program. These include rules governing right-of-way acquisition, hazardous materials testing, and timely use of funds.
3. Federal Transit Administration (FTA) requirements for transit projects as outlined in FTA regulations and circulars.
4. Federal Highway Administration (FHWA) and Caltrans requirements for highway and other roadway projects as outlined in the Caltrans Local Programs Manual.
5. Federal air quality conformity requirements, and local project review requirements, as outlined in the adopted Bay Area Conformity Revision of the State Implementation Plan (SIP).

RTIP Project Application

Part 3: Project Study Report (PSR), or equivalent

The required format of a PSR or PSR equivalent varies by project type. The following table categorizes PSR and PSR equivalent requirements by project type. Additional guidance on how to prepare these documents is available on the internet at the addresses indicated below, or from MTC.

Project Study Report (PSR) Requirements
PSR and Equivalents by Project Type

Project Type	Type of Document Required *	Where to get more information
State Highway	Full PSR or PD/ENV Only	http://www.dot.ca.gov/hq/oppd/pdpm/apdx_htm/apdx_l/apdx_l.htm http://www.dot.ca.gov/hq/oppd/pdpmb/pdp.htm
Local Roadway a. rehabilitation b. capacity increasing or other project	 PSR for local rehabilitation PSR equivalent – project specific study with detailed scope and cost estimate	 http://www.dot.ca.gov/hq/LocalPrograms/ then look in "Local Programs Publications" and "PSR for local rehab." In most cases completing the Preliminary Environmental Study and Field Review forms in the Local Assistance Procedures Manual should be sufficient. These forms can be found at: Preliminary Environmental-- http://www.dot.ca.gov/hq/LocalPrograms/ then look in "publications" and "local assistance manuals" chapter 6 pg 35. Field Review -- http://www.dot.ca.gov/hq/LocalPrograms/ "publications" and "local assistance manuals" chapter 7 pg 11.
Transit	State of California Uniform Transit Application	http://www.dot.ca.gov/hq/MassTrans/tfund.htm
Traffic Congestion Relief (TCR) Program projects (Specific phase)	TCR program application for the phases of work included in the TCR application	For a Traffic Congestion Relief (TCR) Program project, a TCR program application is considered a PSR equivalent for the phases of work included in the TCR application http://www.dot.ca.gov/tcrp
Other	PSR equivalent with detailed scope and cost estimate	To be determined on a case by case basis

* In some instances a Major Investment Study (MIS) prepared under federal guidance may serve as a PSR equivalent where information provided is adequate for programming purposes.

RTIP Project Application
Part 4: RTIP Project Nomination Sheet

PROJECT INFORMATION

County | TIP ID | PPNO | District | EA | Project Title/Name (50 character maximum)

Implementing Agency | Project Sponsor

PROJECT LOCATION

Route | Back | Ahead | Area

Miles (Primary) KM

Miles (Secondary) KM

State Assembly Districts: 1, 6, 7, 8, 11, 12, 13, 14, 15, 16, 18, 19, 20, 21, 22, 23, 24, 28

State Senate Districts: 2, 3, 4, 7, 8, 9, 10, 11, 13, 15

Congressional Districts: 1, 3, 6, 7, 8, 9, 10, 12, 13, 14, 15, 16

PROJECT DELIVERY MILESTONES

Document Milestones	Document Type	Date (mm/dd/yy)
Project Study Report (PSR) Complete:	<None>	
Scheduled Circulation of Draft Environmental Document	<None>	

Project Schedule	Quarter	FY	Project Schedule	Quarter	FY
Start Environmental Studies			R/W Certification		
Fginal Environmental Document Complete			Advertise Construction (Ready to List)		
Begin Design Engineering			Start Construction (Award)		
Final Plans, Specs and Estimates			Start Rolling Stock Acquisition (if applicable)		
Start R/W Activities/Acquisitions			Project Completion (Open for Use)		

PROJECT DESCRIPTION

Project Mode: <None>

Project Type: <None>

Project Purpose: <None>

Description, Location and Project limits (brief - 180 characters)

Scope of work (Detailed Description)

Transportation problem to be addressed and Description of project benefits

RTP INFORMATION

RTP ID:

RTP Corridor: <None>

Relationship of Project to RTP

2002 RTIP Nomination
Metropolitan Transportation Commission (MTC)
Regional Transportation Improvement Program (RTIP)

PROJECT INFORMATION

County | TIP ID | PPNO | District | EA | Project Title/Name (50 character maximum)

Implementing Agency | Project Sponsor

FUNDING INFORMATION

Summary Data

	Prior and Existing Funding				Change in Funding						Additional Need		Total
	STIP		Other		RTIP/ Grandfathered		ITIP		Other		Other		Existing + Change + Additional
	RTIP/ITIP/ GF-STIP		Non-STIP Contributions		Added or Subtracted		Added or Subtracted		Non-STIP Added or Subtracted		Non-STIP Added or Subtracted		
Component	FY	Amount	FY	Amount	FY	Amount	FY	Amount	FY	Amount	FY	Amount	Amount
PA&ED / ENV		$0		$0		$0		$0		$0		$0	$0
PS&E		$0		$0		$0		$0		$0		$0	$0
RW SUP (CT)		$0		$0		$0		$0		$0		$0	$0
CON SUP (CT)		$0		$0		$0		$0		$0		$0	$0
RW		$0		$0		$0		$0		$0		$0	$0
CON		$0		$0		$0		$0		$0		$0	$0
TOTALS	$	-	$	-	$	-	$	-	$	-	$	-	$ -

Expected sources of ADDITIONAL FUNDING (identified above as "ADDITIONAL NEED") to complete project.

FUNDING SOURCE Category

- ○ STATE ONLY
- ○ FEDERAL ONLY
- ○ FED/STATE SPLIT

Special Funding Conditions or Terms

FUNDING REQUEST Project

- ◉ NEW STIP/ TIP PROJECT
- ○ AMENDMENT TO EXISTING PROJECT

Explanation for Amendment

FTA Grant Type | FTA Application Date | FTA Grantee

CONTACT INFORMATION

Primary

Name: | Agency: | Title:

Mailing Address: | Telephone: | Fax Number:

City: | State: | Zip Code: | E-mail Address:

Alternate

Name: | Agency: | Title:

Mailing Address: | Telephone: | Fax Number:

City: | State: | Zip Code: | E-mail Address:

2002 RTIP Nomination
Metropolitan Transportation Commission (MTC)
Regional Transportation Improvement Program (RTIP)

PROJECT INFORMATION

County | TIP ID | PPNO | District | EA | Project Title/Name (50 character maximum)

Implementing Agency | Project Sponsor

MAP

Insert Map(s)

2002 RTIP Nomination
Metropolitan Transportation Commission (MTC)
Regional Transportation Improvement Program (RTIP)

			Existing Funding			Proposed Funding			Additional Funding (Not Yet Committed)				
		Totals		$ -			$ -					$ -	
COMPONENT	FUND SOURCE	FUND NAME	EF FISCAL YEAR	EF AMOUNT	ERROR CHECK	PF FISCAL YEAR	PF AMOUNT	ERROR CHECK	AF_COMPONENT	FUND SOURCE	AF FISCAL YEAR	AF AMOUNT	ERROR CHECK

2002 RTIP Nomination
Metropolitan Transportation Commission (MTC)
Regional Transportation Improvement Program (RTIP)

County	PPNO	District	EA	MPO ID	Implementing Agency	Project sponsor	Project Name

	Prior	01/02	02/03	03/04	04/05	05/06	Later	Total
Existing Total Project Cost								
PA&ED / ENV								
PS&E								
RWSUP (CT)								
CONSUP (CT)								
ROW								
CONST								
TOTALS								

Prior	01/02	02/03	03/04	04/05	05/06	Later	Total
Proposed Total Project Cost							

ADDITIONAL FUNDING NEEDS (funding not yet committed)								
TOTALS	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -

COMMENTS

RTIP Project Application
Part 5: State-Only Funding Request
Sample Format

REQUEST FOR STATE ONLY FUNDING FOR STIP PROJECT

Local Agency Letterhead

To: Rick Terry
Chief, Division of Budgets
1120 'N' Street - MS 24
P.O. Box 942874
Sacramento, CA 94274-0001

Date:

From:

Re: Request for State-only funding for STIP project

It is recommended that the California Transportation Commission be requested to vote **AMOUNT** from **DESCRIPTION OF FUNDING SOURCE (BOTH FEDERAL & STATE)** funds in the **FISCAL YEAR** fiscal year for the following project:

PROJECT DESCRIPTION:

JUSTIFICATION:

A. Type of work

B. Need for Project/Proposed Improvements

C. Status of Project

1) Environmental Clearance Status

2) R/W Clearance Status (If currently R/W certified as #3, when will the certification be upgraded to a #1 or #2?)

3) Status of Construction (if applicable)

D. Total Project Funding Plan By Fiscal Year (list all funding sources and anticipated fund usage by year)

E. Allocation

1) Amount of allocation request:

2) Is this a partial allocation request? ☐ YES ☐ NO

3) If this is a partial allocation, what will be the total cost of the project?

When will the additional allocation be needed?

4) Is the project identified as State-Only in the adopted programming document? ☐ YES ☐ NO

5) If requesting State-Only funding, please state specific reasons per project funding policy:

F. Advertisement: We request that this project be advertised in **MONTH**, **YEAR**.

Appendix 1: Abstract

Date: July 25, 2001
W.I.: 1515
Referred by: PAC

ABSTRACT
Resolution No. 3404

This resolution adopts the procedures for developing the 2002 Regional Transportation Improvement Program (RTIP) for the San Francisco Bay Area, for submission to the California Transportation Commission (CTC), consistent with the provisions of Senate Bill 45 (Chapter 622, Statutes 1997).

Further discussion of these actions is contained in the MTC Executive Director's Memorandum to the MTC Programming and Allocations Committee dated July 11, 2001.

Attachment 1 – Policies and Procedures for the 2002 RTIP (with attachments)
Attachment 2 – STIP Amendment / Extension Rules and Procedures

Appendix 2: MTC Resolution No. 3404

RE: Adoption of 2002 Regional Transportation Improvement Program (RTIP) Policies and Procedures

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 3404

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Section 66500 *et seq.*; and

WHEREAS, MTC has adopted and periodically revises, pursuant to Government Code Sections 66508 and 65080, a Regional Transportation Plan (RTP); and

WHEREAS, MTC biennially adopts, pursuant to Government Code Section 65080, a Regional Transportation Improvement Program (RTIP) that is submitted, pursuant to Government Code Section 14527, to the California Transportation Commission (CTC) and the California Department of Transportation (Caltrans); and

WHEREAS, MTC has developed, in cooperation with Caltrans, operators of publicly owned mass transportation services, congestion management agencies, countywide transportation planning agencies, and local governments, policies, procedures and criteria to be used in the development of the 2002 RTIP, to include projects programmed in fiscal years 2002/03 - 2006/07; and

WHEREAS, using the process and criteria set forth in the Attachments to this resolution, attached hereto as though set forth at length, a set of capital priorities for the 2002 Regional Transportation Improvement Program (RTIP) will be developed; and

WHEREAS, the 2002 RTIP will be subject to public review and comment; now, therefore, be it

RESOLVED, that MTC approves the process and criteria to be used in the evaluation of candidate projects for inclusion in the 2002 RTIP, as set forth in Attachment 1 of this resolution, and be it further

RESOLVED, that MTC approves the STIP Amendment / Extension Rules and Procedures be used in processing STIP Amendment and Extension requests, as set forth in Attachment 2 of this resolution, and be it further

RESOLVED, that the Executive Director or designee will revise the proposed County Share Balances for the 2002 RTIP as shown in Attachment B of the 2002 RTIP Policies and Procedures, to reflect the final adopted 2002 State Transportation Improvement Program (STIP) Fund Estimate as adopted by the CTC, and be it further

RESOLVED, that the Executive Director shall forward a copy of this resolution, and such other information as may be required to the CTC, Caltrans, and to such other agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

Original Signed by:

Sharon J. Brown, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in Oakland, California, on July 25, 2001.

Appendix 3: Executive Director's Memorandum

METROPOLITAN
TRANSPORTATION
COMMISSION

Joseph P. Bort MetroCenter
101 Eighth Street
Oakland, CA 94607-4700
Tel: 510.464.7700
TDD/TTY: 510.464.7769
Fax: 510.464.7848

Memorandum

TO: Programming and Allocations Committee DATE: July 11, 2001

FR: Executive Director

RE: MTC Policies and Procedures for 2002 Regional Transportation Improvement Program (RTIP)

Background
MTC is responsible for developing the region's funding priorities for the Regional Transportation Improvement Program (RTIP), and for submitting the proposed projects to the California Transportation Commission (CTC) for adoption into the State Transportation Improvement Program (STIP).

Resolution No. 3404 establishes MTC's policies, procedures, schedule and budget for the 2002 RTIP, due to the CTC by December 15, 2001, and establishes the process for STIP amendment and extension requests.

New Programming Capacity for the 2002 STIP
The Attached "Estimated 2002 RTIP County Share Balances" provides the preliminary county shares for each county for MTC's 2002 RTIP. Each county's project list, due to MTC in draft form in August 2001, must be constrained within these county share limits. These targets are based on the draft STIP Fund Estimate dated July 11-12, 2001. The final programming capacity will be provided in the 2002 STIP Fund Estimate scheduled for adoption by the CTC in August 2001.

The region may program up to the full amount of its share for the five-year STIP period ending fiscal year 2006-07, including any unprogrammed balances from the 2000 STIP. There are three years of additional programming capacity during the 2002 STIP period, (fiscal years 2004-05, 2005-06 and 2006-07). In addition, the CTC will allow programming of funds for the four-year county share period beyond the current STIP period. For the 2002 STIP, there is one additional year available for programming from the county share period (FY 2007-08), which is caused by a one-year overlap of the 2002 STIP cycle and the County Share period. This is the first time that such an overlap has occurred following passage of Senate Bill 45 (Chapter 622, Statutes 1997), and results in a total of four years of additional programming capacity for the 2002 STIP. The additional three-year programming capacity of the 2002 STIP period are guaranteed to the region for programming. However, the additional programming of funds from the fourth year of the county share period is at the discretion of the CTC, based on availability of funds statewide.

Additional funding is available for programming of project development components through the Advance Project Development Element (APDE) of the STIP. This equates to 25 percent of the estimated programming capacity for the two years beyond the STIP period (2007-08 and 2008-09). Funds that have been programmed from past STIP APDEs are carried over as a debit against future APDE programming capacity until the project goes to construction. Once a project funded within the STIP APDE moves to construction, the funding within the APDE for that project is deducted from the programming capacity of the county share.

The CTC will be treating the programming of funds in the fourth year of the County share period, as well as the funds programmed within the APDE of the STIP for projects that have gone to construction, as advances against future STIP period county shares. Amounts programmed under these provisions will be deducted from the regular county share in the next STIP.

The RTIP will separately identify the projects or project components that are to be programmed under the three funding options: regular 2002 STIP programming, county share period fourth-year programming, and APDE programming. Regular 2002 STIP funding must be fully programmed before advanced programming of the fourth year of the county share period is permitted.

See the attached "STIP Cycle / County Share Period Diagram" for further clarification on the programming opportunities available for the 2002 RTIP.

Proposed 2002 RTIP Policies and Procedures
The attached guidance for the 2002 RTIP is very similar to MTC's policy for the previous RTIP programming cycles. Guiding principles of this policy are presented within the proposed guidance. Key among the principles are the following:

Key Principles

- MTC and the Partnership should give special consideration to project readiness in developing priorities for STIP funding. Project sponsors that are unable to meet the timely use of funds requirements are subject to significant financial penalties.
- Investments made in the RTIP must carry out and be consistent with the objectives of the Regional Transportation Plan (RTP), and be consistent with its projects and programs.
- Investments made in the RTIP should, where feasible, provide matching funds necessary to deliver regional priority projects included in the Governor's Traffic Congestion Relief Plan and related AB 2928/SB 1662 implementation bills, and to match funds in the Interregional Transportation Improvement Program (ITIP).

The 2002 guidance has been updated to strengthen the project readiness screening criteria, and to reflect revisions to the CTC STIP guidelines, and the direction of the CTC with regards to project delivery. Significant changes to the MTC Guidance are outlined below.

- **Project Analysis**
  CTC STIP Guidelines require that the RTIP be evaluated for performance and cost effectiveness at the system or project level as appropriate. The RTIP is to be submitted to the CTC, accompanied by a report on its performance and cost effectiveness. MTC staff plans to submit the RTIP on the basis that evaluation of the effectiveness of the projects proposed has been performed as part of the system wide analysis of the regional transportation investments of the RTP. The value and effectiveness of the RTIP projects is confirmed by their contribution toward implementing the goals and policies of the Regional Transportation Plan.

- **RTIP Application**
  MTC, in coordination and consultation with Caltrans and CTC staff, has developed a revised nomination sheet for RTIP projects in the MTC region. This will facilitate the upload of data into the regional and statewide databases. The revised nomination sheet must be submitted electronically, as a pilot program for the electronic submittal of the RTIP.

- **State-Only Funding**
  Project sponsors are encouraged to submit requests for state only funding at the time of programming rather than at the time of allocation, to ensure funds are available when needed. Sponsors requesting state-only funding for projects that do not meet the pre-approved state-only funding categories, must also include a copy of the Caltrans "Request for Exception to Project Funding Policy" form as part of their RTIP application submittal.

- **Award of Construction Contract**
  To ensure proper monitoring of the Timely Use of Funds provisions of SB 45, project sponsors are required to provide MTC and/or the county CMA with information on project awards. This will assist MTC in maintaining the regional project monitoring database, and reporting on the status of projects in advance of potential funding lapses.

- **Programming Project Components in Sequential STIP Cycles**
  Project sponsors are encouraged to program larger project phases sequentially, since the costs and schedules may change during project development. For instance, a sponsor may propose programming for design and environmental components only with future funding to be committed for capital construction costs. However, sponsors who propose funding for a single project phase must identify the anticipated total project cost and source of any uncommitted future funding, consistent with the Regional Transportation Plan (RTP)

- **Field Review for Federally Funded Local Projects**
  By requesting funding for a federally funded project in the RTIP, the project sponsor agrees to contact Caltrans and schedule and complete a project field review within 6-months of the project being included in the adopted STIP. For the 2002 STIP, Caltrans field reviews should be completed by November 1, 2002. This includes federally funded projects carried over from the 2000 STIP. This requirement only applies to projects receiving federal funds. Field reviews for State-only funded projects need not receive a field review from Caltrans.

Proposed STIP Amendment / Extension Rules and Procedures
The STIP Amendment / Extension Rules and Procedures has been updated to reflect recent revisions to the CTC STIP guidelines and is incorporated as Attachment 2 of this resolution. Project sponsors will be required to follow this process in addition to any procedures imposed by Caltrans or the CMAs, for all STIP amendment and extension requests. Two major changes to the process include the new CTC requirement that a 'STIP History' is now required to accompany all amendment and extension requests to delay construction, and a new MTC request that projects be approved for state only funding at the time they are amended into the STIP, rather than waiting until allocation.

RTP Consistency
The Commission has established a policy of "100 percent funding" for transit capital shortfalls as identified in the 1998 Regional Transportation Plan (RTP). Programming policies governing the STIP and other flexible, multi-modal discretionary funding sources such as the federal Surface Transportation Program (STP) and the Congestion Mitigation and Air Quality (CMAQ) funds need to be responsive to that policy. Updated transit capital shortfall estimates over the 25-year period of the upcoming 2001 RTP have been submitted to County Congestion Management Agencies (CMAs). Each CMA which has an indicated shortfall must document those transit projects included in the 2002 RTIP that are credited against that shortfall target, and include a statement of how future STIP county shares will be considered in addressing remaining transit needs. We anticipate future RTIP and STP/ CMAQ guidelines will be further refined to address this long-range planning requirement.

Recommendation
MTC staff recommends that the Programming and Allocations Committee forward Resolution No. 3404 to the Commission for approval, and direct staff to release the draft 2002 RTIP for public comment on October 12, 2001, and schedule a public hearing for November 14, 2001.

Original Signed by:

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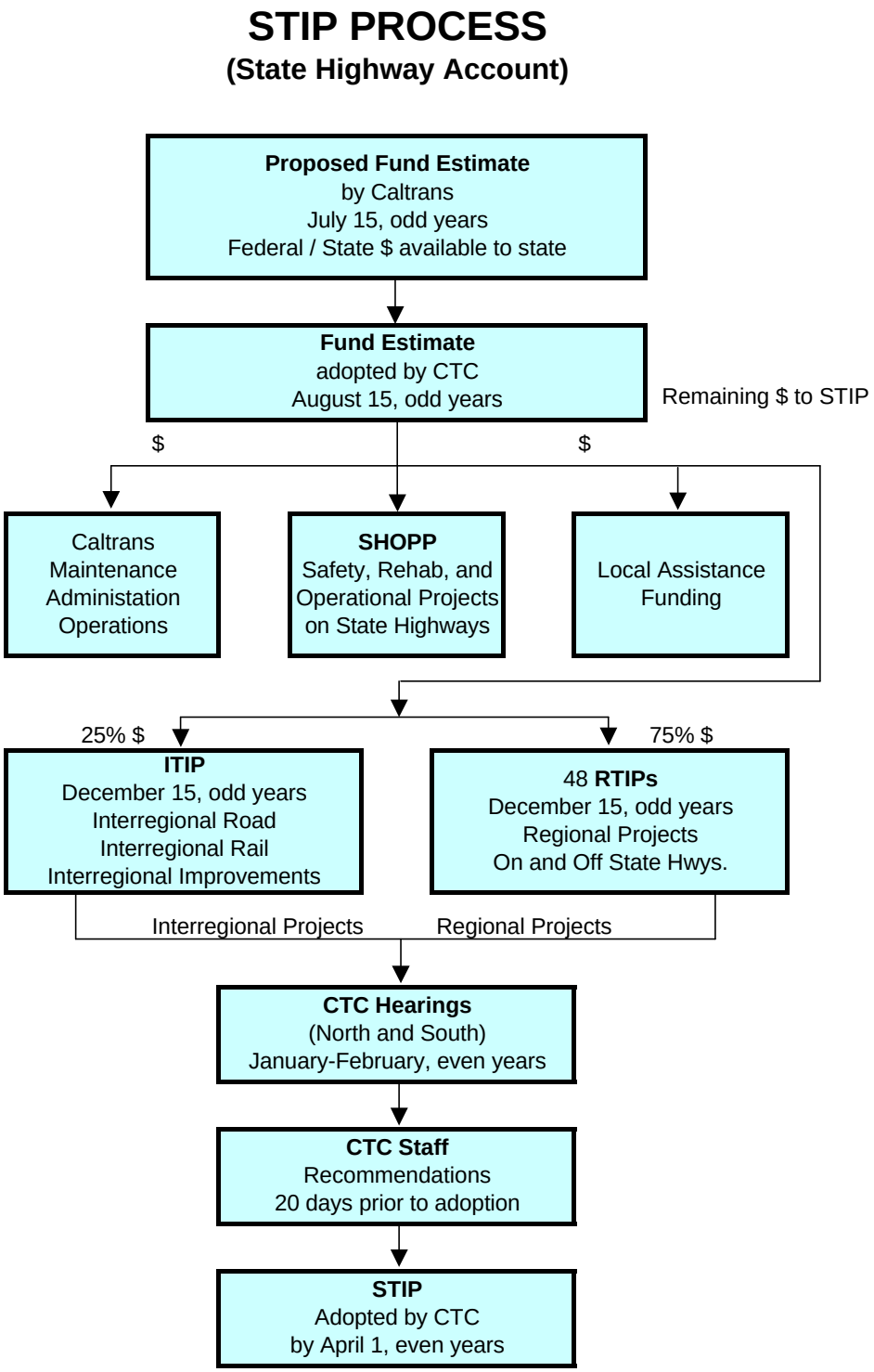
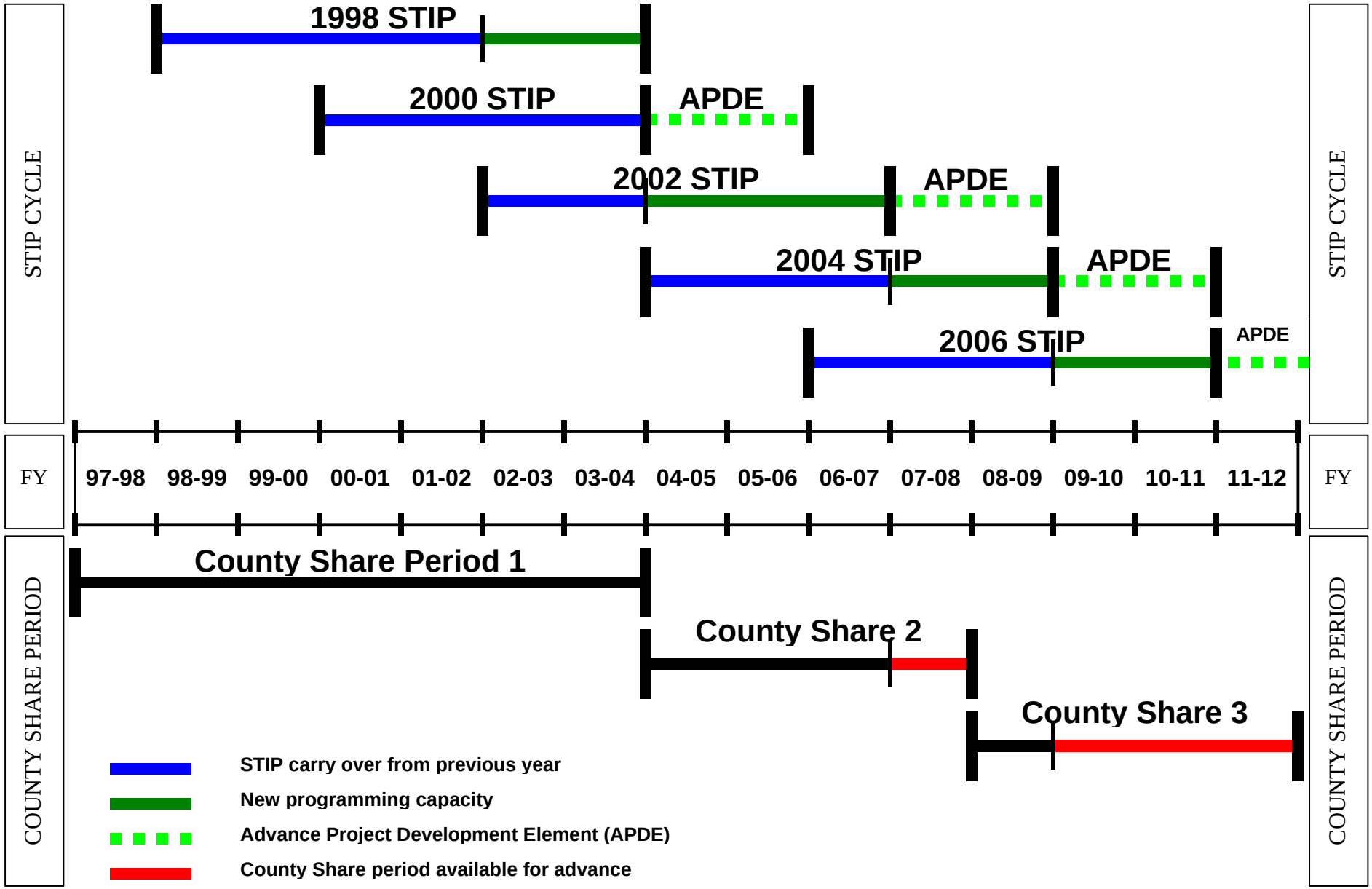
Steve Heminger

Appendix 4: Overview of STIP Process



MTC Programming and Allocations - 07/01/2001

Appendix 5: STIP Cycle / County Share Period Diagram



2002 RTIP
METROPOLITAN TRANSPORTATION COMMISSION
Regional Transportation Improvement Program
Appendix 6: 2002 RTIP County Share Balances
2002 STIP Fund Estimate
as revised by MTC Resolution 3422
November 28, 2001

County	FINAL 2002 F.E. Added Programming Capacity FY 04-05, FY 05-06 & FY 06-07 (Aug 23, 2001)	2000 STIP Unprogrammed Balance (as of Aug 23, 2001)	99-00 / 00-01 Lapsed Funds Returned to County (as of Aug 23, 2001)	TOTAL Estimated 2002 RTIP Programming Capacity	4th Year County Share Period Advance	Potential Total	2002 STIP APDE Programming Capacity	2000 STIP APDE Programmed ** (as of Aug 23, 2001)	2002 STIP APDE Net Available	Total Programming Available
Alameda	$98,345,000	$2,981,000	$4,031,000	$105,357,000	$64,229,000	$169,586,000	$25,975,000	($3,000,000)	$22,975,000	$192,561,000
Contra Costa	$63,743,000	$9,667,000	$420,000	$73,830,000	$41,631,000	$115,461,000	$16,836,000	$0	$16,836,000	$132,297,000
Marin	$18,626,000	$619,000	$181,000	$19,426,000	$12,164,000	$31,590,000	$4,919,000	$0	$4,919,000	$36,509,000
Napa	$11,542,000	$4,039,000	$0	$15,581,000	$7,538,000	$23,119,000	$3,049,000	$0	$3,049,000	$26,168,000
San Francisco	$50,254,000	$5,000	$391,000	$50,650,000	$32,821,000	$83,471,000	$13,273,000	$0	$13,273,000	$96,744,000
San Mateo	$51,753,000	$3,677,000	$1,197,000	$56,627,000	$33,800,000	$90,427,000	$13,669,000	$0	$13,669,000	$104,096,000
Santa Clara	$115,142,000	$1,825,000	$3,326,000	$120,293,000	$75,200,000	$195,493,000	$30,411,000	$0	$30,411,000	$225,904,000
Solano	$30,183,000	$5,219,000	$5,012,000	$40,414,000	$19,713,000	$60,127,000	$7,972,000	($2,250,000)	$5,722,000	$65,849,000
Sonoma	$36,843,000	$6,621,000	$455,000	$43,919,000	$24,062,000	$67,981,000	$9,731,000	$0	$9,731,000	$77,712,000
MTC Region Total:	$476,431,000	$34,653,000	$15,013,000	$526,097,000	$311,158,000	$837,255,000	$125,835,000	($5,250,000)	$120,585,000	$957,840,000

* NOTE: 2000 APDE funding for programmed projects is treated as an advance and deducted from new programming capacity at the time the project goes to right of way or construction.

** NOTE: 2000 APDE funding for programmed projects is carried over as a debit against future APDE programing capacity until the project goes to right of way or construction.

Appendix 7: Programming and Allocations Committee (PAC) Item Summary

Metropolitan Transportation Commission
Programming and Allocations Committee

July 11, 2001 **Item Number 3c**

Resolution No. 3404

Subject: Policies and Procedures for the 2002 Regional Transportation Improvement Program (RTIP) - MTC Resolution No. 3404

Background: MTC is responsible for developing the region's funding priorities for the Regional Transportation Improvement Program (RTIP), and for submitting the proposed projects to the California Transportation Commission (CTC) for adoption into the State Transportation Improvement Program (STIP).

Resolution No. 3404 would establish MTC's policies, procedures, criteria, schedule and budget for the 2002 RTIP, due to the CTC by December 15, 2001.

The attached guidance for the 2002 RTIP is similar to MTC's policies and procedures for previous RTIP programming cycles. The 2002 guidance has been updated to strengthen the project readiness requirements, and has been revised to reflect changes to the CTC STIP guidelines and the recent direction of the CTC with regards to project delivery. Key issues for the 2002 RTIP are presented below. A more detailed explanation of changes to MTC's 2002 RTIP guidance is outlined in the attached MTC Executive Director's Memorandum.

Issues:

1) **Programming Capacity.** Programming capacity for the 2002 STIP, covering the five-year period of FY 2002-03 through FY 2006-07, comes from the following sources:
   - Funding for projects carried over from the 2000 STIP (fiscal years 2002-03 and 2003-04);
   - Any unprogrammed balances from the 2000 STIP;
   - The three years of additional programming capacity added with the 2002 STIP period (fiscal years 2004-05, 2005-06 and 2006-07);
   - Advancement of an additional year of funding beyond the normal 2002 STIP period (FY 2007-08) to complete the four-year county share period;
   - Additional funding available for programming project development components through the Advance Project Development Element (APDE) of the STIP, which equals 25 percent of the funds anticipated to be available in FYs 2008-09 and 2009-10.

This represents a total of four and one-half years of additional RTIP programming capacity available to the region, one and a half years of which are advances against future programming (see County Share Balances table in attached memorandum).

2) **Project Readiness.** Project delivery and the timely use of funds provisions of the STIP have been of particular interest for the California Transportation Commission (CTC). The CTC has scrutinized requests by project sponsors for delivery delays, and has allowed funds to lapse rather than grant delays. With this in mind, the project screening criteria have been strengthened in the area of project readiness and deliverability to minimize project delay and the potential loss of funds.

3) **RTP Consistency.** The Commission has established a policy of "100 percent funding" for transit capital shortfalls as identified in the 1998 Regional Transportation Plan (RTP). Programming policies governing the STIP and other flexible, multi-modal discretionary funding sources such as the federal Surface Transportation Program (STP) and the Congestion Mitigation and Air Quality (CMAQ) funds need to be responsive to that policy. Updated transit capital shortfall estimates over the 25-year period of the upcoming 2001 RTP have been submitted to County Congestion Management Agencies (CMAs). Each CMA which has an indicated shortfall must document those transit projects included in the 2002 RTIP that are credited against that shortfall target, and include a statement of how future STIP county shares will be considered in addressing remaining transit needs. We anticipate future RTIP and STP/ CMAQ guidelines will be further refined to address this long-range planning requirement.

Recommendation: Refer MTC Resolution No. 3404, with attachments, to the Commission for approval, and direct staff to release the draft 2002 RTIP for public comment on October 12, 2001 and conduct a public hearing on November 14, 2001.

Attachments:
Executive Director's Memorandum
Overview of STIP Process Diagram
STIP Cycle / County Share Period Diagram
Estimated 2002 RTIP County Share Balances
MTC Resolution No. 3404
Attachment 1 – 2002 RTIP Policies and Procedures (with attachments)
Attachment 2 – Procedures for STIP Amendments and Extensions