

2/2007
Board

STAFF REPORT

SUBJECT: Local Project Delivery Policy

RECOMMENDED ACTION: Motion to: (1) Adopt the 2007 Regional Transportation Plan Project Delivery Policies; (2) Approve the Programming Milestones Calendar; and (3) Approve the Implementation of the Project Delivery Pilot Program

DISCUSSION:

Near the end of last year, SJCOG staff led a series of TAC discussions about establishing a project delivery policy for our region. The main comments from the local jurisdictions were related to minimizing additional workload on local jurisdiction staff and avoiding duplication of effort between SJCOG and Caltrans. Since that time, SJCOG and Caltrans staff have worked together to develop the concept further, and jointly recommend these Project Delivery Policies.

PDP-01 – Programming Milestones

PDP-01 authorizes the development and implementation of SJCOG Board-approved SJCOG Programming Procedures and Milestones Calendar and to assist local jurisdictions identify and resolve State and federal programming issues before they impact project schedules or funding.

In addition to this policy, SJCOG staff is proposing the attached SJCOG Programming Procedures and Milestones Calendar for consideration.

PDP-02 – Project Delivery Pilot Program

PDP-02 authorizes SJCOG staff to develop and implement a Project Delivery Pilot Program (Pilot Program) designed to assist local jurisdictions track the status of projects from its inclusion into the Regional Transportation Plan Tier I category, to delivery.

The Pilot Program will consist of the development of a steering committee made up of members of the Technical Advisory Committee, quarterly status reporting, and a project tracking form. There will be an emphasis on minimizing any duplication of effort between existing tools and/or procedures.

The Pilot Program will phase in the applicability of transit projects through SJCOG's Interagency Transit Committee (ITC) and the development of a transit-based project tracking form.

The Pilot Program is authorized for a period of 4 years (the term of the 2007 RTP), and will be re-evaluated annually to determine its effectiveness and utility. Based on the annual evaluation, the Pilot Program may be discontinued, modified, or made permanent by SJCOG Board action.

Caltrans District 10 and SJCOG are jointly recommending adoption of this pilot program, and propose the following implementation structure:

Implementation of Pilot Program

While all regionally significant projects or federally funded projects in the region would eventually be incorporated into this program, for the initial implementation, a staged approach is recommended that incorporates only the projects from the following categories:

- Congestion Mitigation and Air Quality (CMAQ) projects
- Surface Transportation Program (STP) projects
- Highway Bridge Program (HBP) projects
- Proposition 1B projects (CMIA, Route 99, etc.)
- State Transportation Improvement Program (STIP) projects

Pilot Program Steering Committee

The Pilot Program Steering Committee will consist of a subcommittee of the Technical Advisory Committee whose primary responsibility will be to ensure the completion of the quarterly project updates. The Interagency Transit Committee (ITC) will serve the purpose of the Steering Committee for transit projects. The Steering Committee will be the forum for discussing and resolving any project-related issues that threaten the delivery schedule or funding of projects (i.e. projects whose "red" status remains unresolved), as well as the forum for identifying process-related issues (local, State, federal) that can be elevated to the appropriate levels for additional discussion and resolution. In general, the steering committee will meet on an as needed basis, with the exception of three quarterly 1-hour kick-off meetings upon implementation of the program. The initial meetings may include presentations by Caltrans Environmental staff or Headquarters regarding project delivery-related topics. In addition, supplemental meetings may be needed at the outset of the program to work out more detailed procedural issues. Any participating agency may request that the steering committee be convened.

The initial Steering Committee meetings would be held one hour prior to the TAC meetings in May, August, and November 2007, with additional meetings if needed to work out any procedural details.

Project Tracking Form

The attached Project Tracking Form provides information relevant to identifying major issues relating project programming and delivery. While much of this information is available from

existing FHWA, Caltrans, or SJCOG forms, this format provides a concise overview of the critical programming and delivery milestones necessary to identify emerging issues that would have a negative impact on the project.

Once the initial project information is added, each agency (Caltrans, SJCOG, Local Jurisdiction) will have responsibility for updating specific sections on a quarterly basis as indicated in the Form.

The status bar at the top of the Form provides a quick summary of the project status. The color codes are defined as:

- Green – Project is progressing smoothly
- Yellow – Project may need extra attention or will risk running into difficulty
- Red – Project is at risk of schedule delays or loss of funding due to programming or delivery difficulties.

A project with a Yellow or Red status requires attention by the sponsoring agency, SJCOG staff, and Caltrans, and must include the following:

- An initial discussion and agreement that clearly identifies the issue(s)
- Identification of clearly defined actions necessary to resolve the issue(s)
- Identification of the person(s) responsible for resolving each action point
- Identification of a specific timeframes to resolve each issue
- If necessary, set a meeting to provide an update on the action items

In the event that SJCOG, Caltrans, and the local agency cannot resolve an issue on a specific project, any agency may request a meeting of the Steering Committee. The Steering Committee will be presented with the circumstances surrounding the issue, and is authorized to provide advice and recommendations towards its resolution. If convened, the Steering Committee will meet 1 hour prior to the monthly TAC meeting.

Quarterly Status Reporting

Each project subject to the Pilot Program will be tracked through an Excel spreadsheet using the attached Project Status Report format. The Report instruction page indicates which sections each agency is responsible for updating. Updates may be provided to SJCOG staff in any written form (fax, email, etc.). SJCOG staff will compile the updates from each agency and report a summary of the updates as part of the TAC packet in February, May, August, and November. SJCOG staff will also provide the detailed Reports for each project to the respective jurisdictions electronically. It is anticipated that initially, each jurisdiction will have one Excel file containing all the project reports applicable to that jurisdiction.

Prepared by: Douglas Ito, Senior Regional Planner

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Programming Procedures and Milestones Calendar

The following procedures and milestones were developed based on SJCOG Project Delivery Policy (PDP-01), Board approved on February 22, 2007.

PDP-01 authorizes the development and implementation of SJCOG Board-approved SJCOG Programming Procedures and Milestones Calendar and to assist local jurisdictions identify and resolve State and federal programming issues before they impact project schedules or funding.

This document includes deadlines and procedures to ensure that projects remain within programming requirements, and that any issues are resolved prior to adverse impact on project schedules or funding.

State Transportation Improvement Program (STIP)

- July 1 Local Jurisdiction deadline for current Fiscal Year Allocation Plan information.
- 3 months prior to CTC meeting, project sponsors prepare allocation request.
 - 2 months prior to CTC meeting, paperwork is due to CT Local Assistance.
- January 1 Local Jurisdiction deadline to submit STIP Amendment requests to SJCOG for STIP projects programmed in future fiscal years (if needed).
- February 1 SJCOG deadline to submit STIP Amendment requests to Caltrans Local Assistance for projects in future fiscal years.
- STIP Amendments would be noticed at the April CTC mtg and voted in May.
- April 1 Local Jurisdiction and SJCOG deadline to submit Allocation or Extension Requests to Caltrans for the June CTC meeting.
- This is the last opportunity in the fiscal year to request a project allocation or extension.

Surface Transportation Program (STP) & Congestion Mitigation/Air Quality Program (CMAQ)

- March 1 Local Jurisdiction deadline to complete and deliver funding obligation and/or FTA Transfer Request packages to Caltrans Local Assistance. After this date, the project loses its priority for that fiscal year OA, and the available OA is distributed according to the OA Prioritization indicated below.
- June 1 Unobligated projects lose their OA guarantee in the current fiscal year and are considered for re-programming for future fiscal years.
- SJCOG staff assesses status of regional OA. Any unused OA is redirected to a project that can obligate the funds by the end of the fiscal year.

Federal Transit Administration Grant Programs

January 1 Local Jurisdiction deadline to submit FTA Grant-related FTIP amendments for projects seeking federal obligation by September 30th. If the Federal Register identifying FTA Grant amounts is not published by this date, the deadline to submit FTIP amendments will be set by SJCOG staff, and will be no greater than 30 days after the Federal Register is published.

Obligational Authority Prioritization

Due to limited OA, projects will receive OA in the following order of priority:

1. Local jurisdiction compliance with Disadvantaged Business Enterprises (DBE) requirements
2. Projects programmed in the federally approved TIP
3. Projects listed in the Annual Obligation Plan
4. Projects that meet applicable Project Delivery Milestones
5. Projects requesting Advance Construction Authority/Pre-Award Authority conversions (see below)
6. Projects requesting advances from future years if:
 - The project qualifies under the Expedited Project Selection Procedures,
 - The project has advance construction authorization or pre-award authority
 - Surplus OA is available (see March 1st milestone deadline)

Advance Construction Authorization/Pre-award Authority (ACA/PA)

When there is limited regional OA to deliver projects in the Annual Obligation Plan, projects may proceed under Advance Construction Authorization (ACA)/Pre-award Authority (PA) requirements. Conversion requests for ACA/PA will receive priority for obligation against available OA after March 1.

**San Joaquin Council of Governments
Project Delivery Pilot Program (PDP-02) - Project Tracking Form**

Last updated/verified: Green

Jurisdiction		Project Identifiers
Facility Name/Rte		MPO ID <input type="text"/>
Project Description		PPNO ID <input type="text"/>
Project Limits		Capital EA <input type="text"/>
		CTIPS ID <input type="text"/>
		Federal Project ID <input type="text"/>

Agency Contacts (Name, Phone, Email)

Local Agency	<input type="text"/>
SJCOG	<input type="text"/>
Caltrans	<input type="text"/>

Funding Sources (check)

<input type="checkbox"/> RSTP	<input type="checkbox"/> STIP RIP	<input type="checkbox"/> STIP TE	<input type="checkbox"/> HBP (HBRR)	<input type="checkbox"/> Federal Demo Projects
<input type="checkbox"/> CMAQ	<input type="checkbox"/> STIP IIP	<input type="checkbox"/> Measure K	<input type="checkbox"/> Local	<input type="checkbox"/> Other _____

FTIP Information

	FTIP (yr)	FY	(\$1,000s)
PE			
R/W			
CON			

STIP Information

	STIP (yr)	FY	STIP (\$1,000s)
PA&ED			
PSE			
R/W			
CON			

Allocation Status

Target Request	
CTC vote	
CON Contract deadline	

Measure K Information

	MK (\$1,000s)	Coop? (Y/N)	MK Category
PE			
R/W			
CON			

Project Phase Information

Cost Estimates by Phase	Environmental	Design	ROW	Construction	Costs Verified? <input type="checkbox"/> (check)
	Date of Cost Estimate				

Status of Environmental			Status of Construction		
	CEQA	NEPA		E-76 Dates	
Type			Estimated Approval		
Complete? (y/n)			Local to Caltrans		
Draft			Caltrans to FHWA		
Final			FHWA approval		

Project Authorization Tracking (E-76)

	E-76 Date	Federal Funds (\$1,000s)	State Funds (\$1,000s)	Local Funds (\$1,000s)	Last Billing Date	Inactive List? (y/n)	Reversion Date (Lapse)
PE							
R/W							
CON							

Notes/Pending Action Items:

Related Tracking Reports:

<input type="checkbox"/> CT STIP Quarterly Report	<input type="checkbox"/> CT XPM	<input type="checkbox"/> MK Strategic Plan
<input type="checkbox"/> CT Progress Project Information	<input type="checkbox"/> CT PMCS	<input type="checkbox"/> Other _____

	Initial Project Information (SJCOG and CT)
	Local Jurisdiction's Updates
	SJCOG Updates
	Caltrans Updates

January 2011
SJCOG Board

STAFF REPORT

SUBJECT: Update of Federal Aid and STIP Project Delivery Guidelines

RECOMMENDED ACTION: Motion to Adopt the Revised Federal Aid and STIP Project Delivery Guidelines

DISCUSSION:

In February 2007 the SJCOG Board adopted local project delivery policies for federal aid and State Transportation Improvement Program (STIP) funded projects including the establishment of programming procedures, project delivery milestones, and a Local Project Delivery Subcommittee. The purpose of these policies has been to ensure the appropriate management and use of state and federal funds that are made available to the SJCOG region and that are subject to loss if not used according to defined state and federal policies. The SJCOG Board adopted the local project delivery policies for a term of four years consistent with the 2007 Regional Transportation Plan.

In recognition of the need for the SJCOG Board to re-adopt local project delivery policies prior to February 2011, SJCOG staff has worked with the Local Project Delivery Subcommittee over the months of September, October, and November. This included a review of both existing project delivery policies and relative recent experiences in the federal aid/STIP project delivery process with the Caltrans and FHWA. SJCOG staff has used this effort as an opportunity to reassess the current policies and future project programming to better promote the delivery of federal-aid projects. Additionally, SJCOG staff is reclassifying these policies as guidelines with recognition of the need for some flexibility to address unforeseen circumstances in project delivery. The recommended revised federal aid and STIP project delivery programming procedures and milestones calendar is presented in Attachment 1. As identified in the attachment, separate procedures and milestones have been established for roadway and transit projects. SJCOG staff is also stressing the importance and expectation of each local agency's participation in this effort through the Local Project Delivery Subcommittee.

PRIOR COMMITTEE ACTION

The Technical Advisory Committee unanimously approved the revised federal aid and STIP project delivery guidelines at their January meeting upon support from the Local Project Delivery Subcommittee.

RECOMMENDATION

SJCOG staff recommends that the SJCOG Board adopt the revised federal aid and STIP project delivery guidelines.

ATTACHMENTS

- 1) January 2011 Revised Programming Procedures and Milestones Calendar

Prepared By: Wil Ridder, Senior Regional Planner

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ATTACHMENT 1

Programming Procedures and Milestones Calendar January 2011

State Transportation Improvement Program (STIP)

- July 1 Local Jurisdiction deadline for current Fiscal Year Allocation Plan information.
- 3 months prior to CTC meeting, project sponsors prepare allocation request.
 - 2 months prior to CTC meeting, paperwork is due to CT Local Assistance.
- January 1 Local Jurisdiction deadline to submit STIP Amendment requests to SJCOG for STIP projects programmed in future fiscal years (if needed).
- February 1 SJCOG deadline to submit STIP Amendment requests to Caltrans Local Assistance for projects in future fiscal years.
- STIP Amendments would be noticed at the April CTC mtg and voted in May.
- April 1 Local Jurisdiction and SJCOG deadline to submit Allocation or Extension Requests to Caltrans for the June CTC meeting.
- This is the last opportunity in the fiscal year to request a project allocation or extension.

Surface Transportation Program (STP) & Congestion Mitigation/Air Quality Program (CMAQ: Roadway)

- October Local Jurisdiction one-on-one project review with Caltrans Local Assistance to assess project status and/or development requirements.
- November 1 Local Jurisdiction deadline to complete and deliver funding requests for authorization packages for preliminary engineering (PE) to Caltrans Local Assistance. After this date, the project loses its priority for that fiscal year OA, and the available PE obligational authority (OA) is distributed according to the OA Prioritization indicated below.
- November SJCOG will process a FTIP amendment to modify construction projects per the project review with Caltrans Local Assistance or reprogram PE projects according to the OA Prioritization indicated below.
- March 1 Local Jurisdiction deadline to complete and deliver funding requests for authorization (RFA) and/or FTA Transfer Request packages for construction to Caltrans Local Assistance. After this date, the project loses its priority for that fiscal year OA, and the available construction OA is distributed according to the OA Prioritization indicated below.

- March SJCOG will process a FTIP amendment to reprogram construction projects as necessary according to the OA Prioritization indicated below.
- June 1 Unobligated projects lose their OA guarantee in the current fiscal year and are considered for re-programming for future fiscal years.
- SJCOG staff assesses status of regional OA. Any unused OA is redirected to a project that can obligate the funds by the end of the fiscal year.

Surface Transportation Program (STP) & Congestion Mitigation/Air Quality Program (CMAQ):
Transit

- March/
Publication
of Federal
Register SJCOG will process an FTIP amendment to reconcile FTA's Annual Appropriations and Apportionments Federal Register publication with projects programmed in the applicable fiscal year by March or after the publication of the federal register by FTA, whichever is later.
- April 1 Local Transit Operators deadline to submit request(s) for transfer of funds to Caltrans Local Assistance April 1 or one month after publication of federal register by FTA, whichever is later.
- May 1 Local Transit Operators deadline to submit request for concurrence letter(s) to SJCOG May 1 or one week after FTIP amendment approval whichever is later. SJCOG staff will alert each local transit operator upon approval of any applicable FTIP amendment.
- June 1 Deadline to submit grant applications in FTA TEAM system

**Please note: all transit deadlines are subject to the timing of the publication of the annual Appropriations and Apportionments Federal Register by FTA*

Federal Transit Administration Grant Programs

Local Jurisdiction deadline to submit FTA Grant-related FTIP amendments for projects seeking federal obligation by September 30th. The deadline to submit FTIP amendments will be set by SJCOG staff, and will be no greater than 30 days after the Federal Register is published.

Obligational Authority (OA) Prioritization

Due to limited OA, projects will receive OA in the following order of priority:

1. Local jurisdiction compliance with Disadvantaged Business Enterprises (DBE) requirements
2. Projects programmed in the federally approved TIP
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5. Projects requesting Advance Construction Authority/Pre-Award Authority conversions (see below)
6. Projects requesting advances from future years if:
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Advance Construction Authorization/Pre-award Authority (ACA/PA)

When there is limited regional OA to deliver projects in the Annual Obligation Plan, projects may proceed under Advance Construction Authorization (ACA)/Pre-award Authority (PA) requirements. Conversion requests for ACA/PA will receive priority for obligation against available OA after March 1.