

APPENDIX H

Project Delivery Policy



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

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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
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.