

DIVISION OF LOCAL ASSISTANCE

OFFICE OF PROJECT MANAGEMENT OVERSIGHT

OBLIGATION PLANS



AGENDA

Obligation Plan Overview

Managing Obligation Plans

DLA Reports

Obligation Plan Management using Smartsheet

Resources

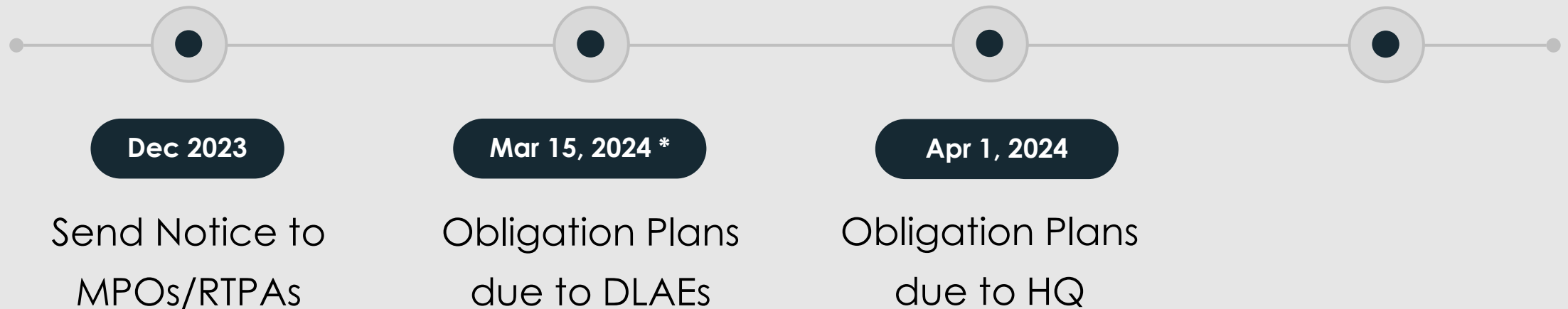


Why Obligation Plans?

1. Apportionments and Obligation Authority
2. AB 1012 Requirements
3. State Statutes
 - SH&C 182.6 - STBGP
 - SH&C 182.7 - CMAQ



Obligation Plan Timeline



* Consequences of not submitting Obligation Plans



Obligation Plan Template

District	MPO/RTPA	Local Agency	FTIP ID	Project Programmed in the current FSTIP (Yes/No) <small>If not programmed, provide anticipated date in Column P.</small>	Federal Project Number <small>Enter as: STP 1234(567).</small>	Project Location/Scope/Description <small>Provide location of project: street name, highway, cross-street, etc.; scope of project; and brief description.</small>	Planned Date of Obligation from 04/01/24 to 09/30/24 <small>(enter as MM/YY)</small>	Level of Certainty	Risk

Federal Fund Type					Total Federal Obligation	Remarks <small>Enter comments or additional information. Provide contact names & phone numbers or email addresses for questions.</small>
RSTP \$	CMAQ \$	CRP \$	PROTECT \$	Federal HSIP \$ <small>(formerly HES)</small>		
					\$0	



Information to be included in Obligation Plan

KEY ITEMS:

- FTIP ID (MPO ID or CTIPS ID)
- FSTIP Status
- Federal Project No.
- Planned Date of Obligation
- Level of Certainty
- Federal Fund Type and Total Federal Obligation



Manage Obligation Plans

- **April – August:** Meetings with Districts, MPOs, RTPAs and Local Agencies
- **Continue Updating Obligation Plans:**
 1. Reflect latest project information – obligation date and \$, FSTIP IDs, FPN
 2. Exclude non-formula funded projects from Plan (exclude HIP, Discretionary Programs, ER)



Formula Programs

- National Highway Performance Program (NHPP)
- **Surface Transportation Block Grant Program (STBGP)**
 - Transportation Alternatives Program (TAP)
 - Recreational Trails Program (RTP) is a set-aside of TAP
 - STBGP Off-System Bridge
- **Highway Safety Improvement Program (HSIP)**
- Railway-Highway Crossings Program (RHCP)
- **Congestion Mitigation & Air Quality Improvement Program (CMAQ)**
- Metropolitan Planning Program (MPP)
- National Highway Freight Program (NHFP)
- **Carbon Reduction Program (CRP)**
- **Promoting Resilient Operations for Transformative, Efficient, and Cost-Saving Transportation (PROTECT) Program**



Reports Published By DLA

- Main DLA internet: <https://dot.ca.gov/programs/local-assistance>
- OA Delivery report: <https://dot.ca.gov/programs/local-assistance/projects/delivery-report-of-formula-oa-funds>
- Monthly Activity reports: <https://dot.ca.gov/programs/local-assistance/projects/cmaq-monthly-activity-reports>
- AB 1012 reports: <https://dot.ca.gov/programs/local-assistance/projects/ab1012>



AB 1012 Balance Report

- **Purpose:**

1. Increase monitoring and reporting of funds
2. Increase the efficiency of transportation funding
3. Improve the delivery of federally funded transportation projects funded with CMAQ and STBG
4. Reprogramming of funds by CTC if not obligated within the first three years of federal eligibility



AB 1012 Regional Report Summary

<https://dot.ca.gov/programs/local-assistance/projects/ab1012/ab1012-previous->

*Previously referred to as Cycle 23

Region	CMAQ Unobligated 9/30/2023 Delivery Balance ¹	CMAQ Amount Subject to AB 1012 Reprogramming 11/01/2022 ²	RSTP Unobligated 9/30/2023 Delivery Balance ¹	RSTP Amount Subject to AB 1012 Reprogramming 11/01/2022 ²
Butte	(880,229)	-	-	-
Fresno	7,713,985	-	18,339,040	-
Kern	10,061,396	-	11,224,004	-
Kings	2,149,864	-	-	-
Madera	1,299,030	-	1	-
Merced	4,252,442	-	(1)	-
Monterey ³	-	-	-	-
S. F. Bay Area (MTC)	15,472,731	-	54,673	-
Sacramento (SACOG)	334,706	-	3,172,110	-
San Benito ³	-	-	-	-
San Diego	(19,647,900)	-	(0)	-
San Joaquin	11,309,379	-	14,181,375	-
San Luis Obispo	6,634,190	-	-	-
Santa Barbara ³	-	-	-	-
Santa Cruz ³	-	-	-	-
Southern CA (SCAG)	116,391,631	-	144,315,067	-
Stanislaus	6,982,700	-	14,211,412	-
Tahoe	1,192,742	-	210	-
Tulare	662	-	1,067,907	-
Rural Counties & SCAG	7,344,524	-	43,797	-
TOTAL	170,611,854	-	206,609,595	-



Monthly Activity Reports – CMAQ & STBGP

<https://dot.ca.gov/programs/local-assistance/projects/cmaq-monthly-activity-reports>

Amador County Transportation Commission Monthly Activity Report CMAQ and RSTP/STBGP September 30, 2023							
District	MPO/RTP/County	Date of Transaction	Local Agency	Appn Code	CMAQ	RSTP / STBGP	
						Urban	Any Area
10	6127		Amador County Transportation Commission				
			Beginning Balance as of: August 31, 2023 <small>(AB 1012 Report Unobligated Balance)</small>		731,247	0	43,821
			Apportionment Adjustments				
			Total Beginning Balance and Apportionments	Project #	Location	Description	
			Activities/Adjustments				
			Obligations				
			No Activity this Month				
			Subtotal Obligations				
					0	0	0
			Transfers/Exchanges (includes FTAs)				
			No Transfers/Exchanges				
			Subtotal Transfers/Exchanges				
					0	0	0
			Total Net Requirements (includes obligations, transfers, and exchanges)				
					0	0	0
			Ending Balance as of: September 30, 2023 <small>(total beginning balance and apportionments less total)</small>				
					731,247	0	43,821



Formula OA Delivery Report

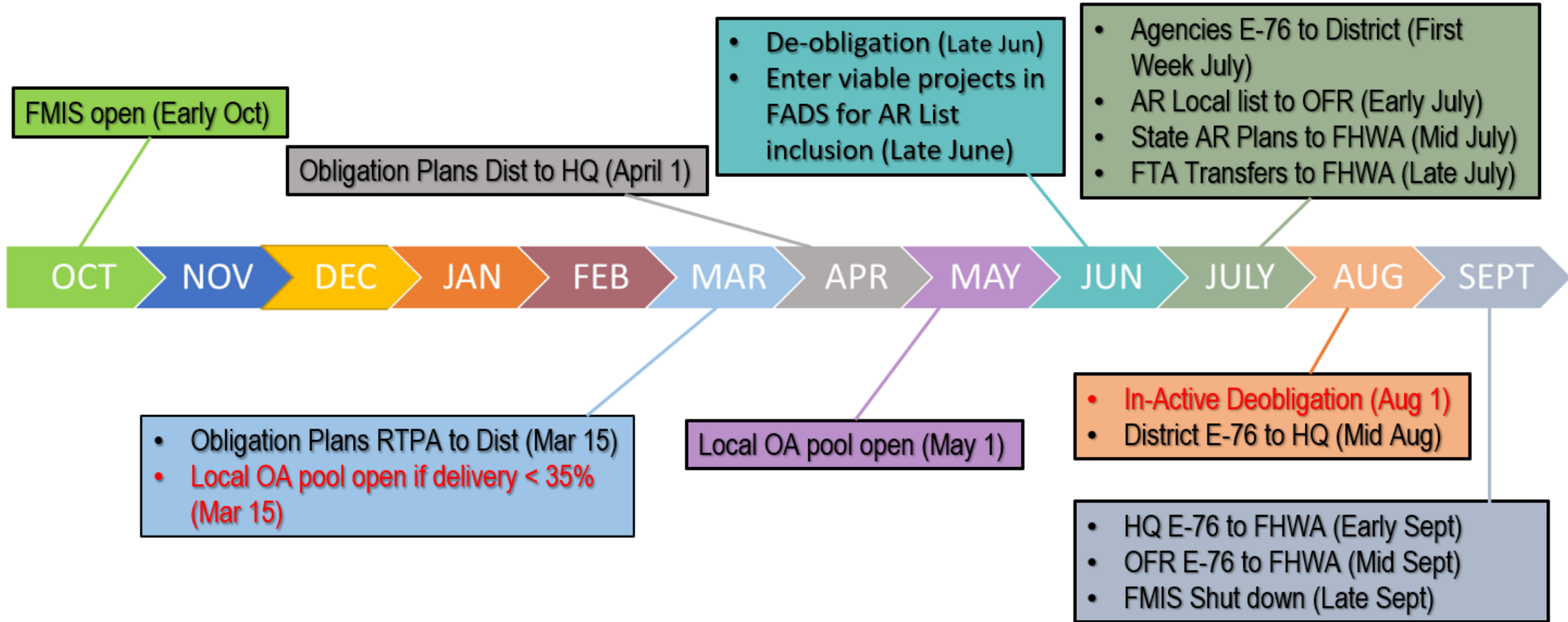
<https://dot.ca.gov/programs/local-assistance/projects/delivery-report-of-formula-oa-funds>

FFY 2022 - 23
Local Assistance Delivery
Formula OA Funds as of September 30, 2023

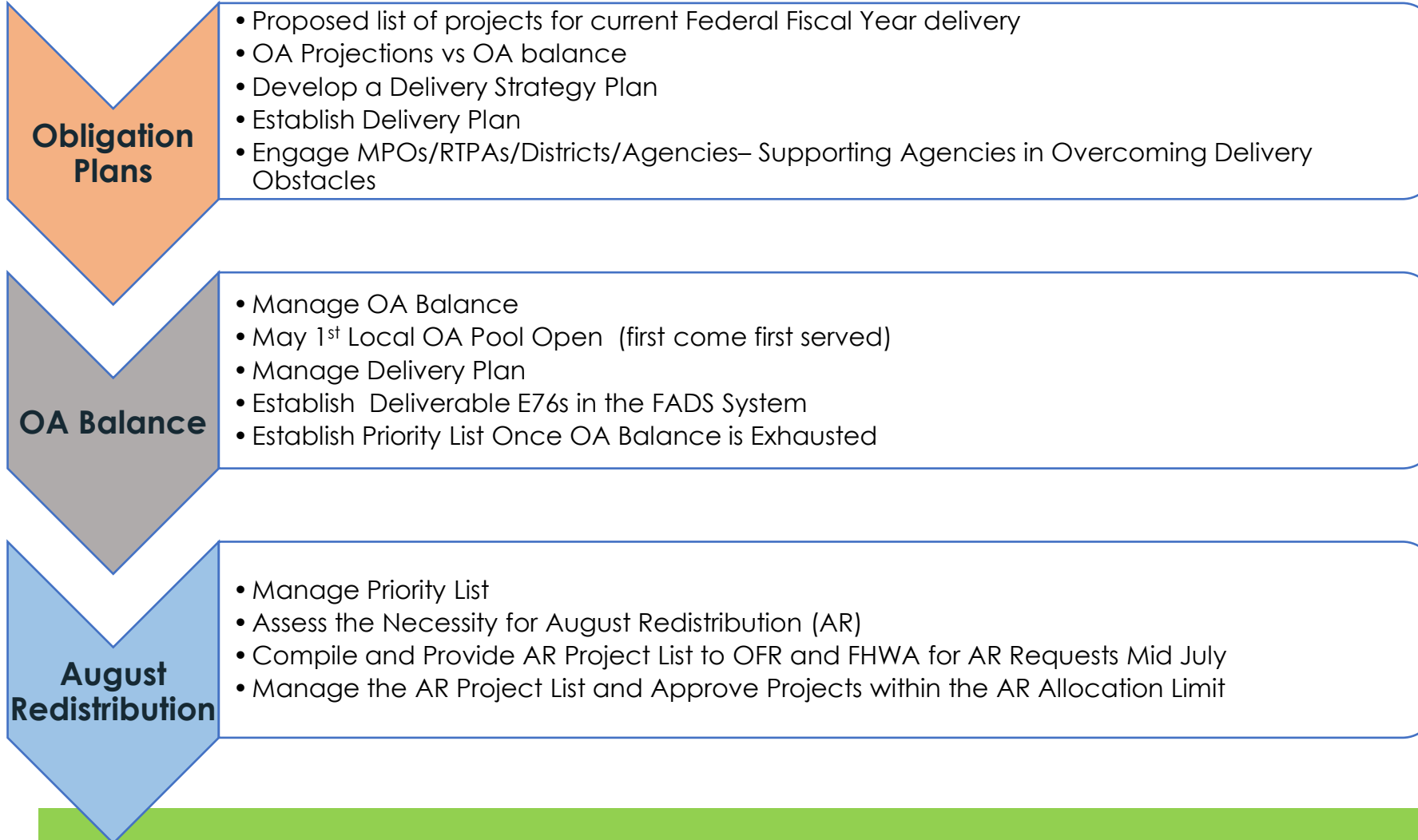
Region	Actual FFY 2023 OA ¹	Adjustment to FFY 2023 OA for FFY 2022 Over - Under Delivery ²	Actual FFY 2023 Oversight Adjustment ³	Contribution for LS&R Needs Assessment FFY 2023 ⁴	LS&R Needs Assessment Funding Offset	Adjusted FFY 2023 Actual OA ⁵	FFY 2023 Obligations as of 9/30/23	Percent Actual OA Delivered	FFY 2023 August Redistribution \$ 151,403,991	Balance FFY 2023 Actual OA ⁶
Amador	971,384	1,144,051	(14,281)	-	-	2,101,153	1,430,537	68.1%	-	670,616
Butte	5,274,551	1,582,819	(77,087)	-	-	6,780,283	8,869,327	130.8%	797,433	(1,291,610)
Calaveras	1,135,610	480,452	(16,658)	-	-	1,599,403	767,585	48.0%	-	831,819
Fresno	25,127,338	(2,493,338)	(403,978)	-	-	22,230,022	31,137,605	140.1%	3,400,218	(5,507,365)
Kern	22,580,219	(1,736,595)	(362,886)	-	-	20,480,738	32,846,594	160.4%	4,720,316	(7,645,539)
Kings	4,283,440	2,500,352	(63,525)	-	-	6,720,266	3,668,674	54.6%	-	3,051,592
Madera	4,309,093	8,165,881	(64,016)	-	-	12,410,958	4,624,685	37.3%	-	7,786,273
Mariposa	454,074	1,885,299	(6,658)	-	-	2,332,715	307,994	13.2%	-	2,024,721
Merced ¹⁰	7,516,764	(764,951)	(111,934)	-	-	6,479,879	5,388,712	83.2%	-	1,091,167
Nevada	2,635,126	3,759,912	(38,912)	-	-	6,356,127	1,661,288	26.1%	-	4,694,839
Sacramento (SACOG) ¹³	54,696,354	(27,710,016)	(879,392)	-	-	26,106,946	43,546,031	166.8%	6,656,878	(10,782,207)
San Diego	79,838,951	(16,603,900)	(1,284,943)	-	-	61,950,108	104,968,840	169.4%	16,421,185	(26,597,546)
San Francisco Bay Area (MTC) ¹⁴	165,516,607	(65,135,599)	(2,663,067)	-	-	114,717,941	150,712,499	131.4%	13,739,906	(22,254,653)
San Joaquin ¹⁰	18,908,425	10,939,921	(304,430)	-	-	29,703,916	7,111,719	23.9%	-	22,592,196
San Luis Obispo	6,798,998	8,042,914	(99,858)	-	-	14,742,055	3,891,046	26.4%	-	10,851,009
Southern California (SCAG) ^{11,13}	510,816,276	60,122,234	(8,219,463)	-	-	562,719,047	754,157,377	134.0%	73,076,174	(118,362,156)
Stanislaus	13,744,691	4,698,622	(221,284)	-	-	18,222,028	10,278,333	56.4%	-	7,943,695
Tahoe	3,375,887	(525,986)	(54,342)	-	-	2,795,559	3,826,061	136.9%	393,365	(637,137)
Tehama	1,600,386	2,680,688	(23,503)	-	-	4,257,571	2,868,808	67.4%	-	1,388,763
Tulare	12,375,067	(1,956,530)	(191,314)	-	-	10,227,223	13,003,819	127.1%	1,059,887	(1,716,709)
Tuolumne	1,380,038	1,498,936	(20,245)	-	-	2,858,729	1,132,128	39.6%	-	1,726,601
Exchange Counties	34,230,088	1,622,606	(476,985)	-	-	35,375,708	34,863,828	98.6%	-	511,880
TOTAL LOCAL AGENCIES	977,569,366	(7,802,229)	(15,598,761)	-	-	971,168,376	1,221,063,489	125.7%	120,265,362	(129,629,752)
HBP	291,091,391	(66,824,980)	(4,650,149)	-	-	219,616,262	272,867,320	124.2%	20,327,087	(32,923,971)
Safety ⁸	80,269,511	(38,862,297)	(1,282,296)	-	-	40,124,919	68,448,017	170.6%	10,811,543	(17,511,556)
Carbon Reduction Program (CRP) ^{7,12}	62,012,302	63,340,535	-	-	-	125,352,838	40,368,980	32.2%	-	84,983,858
PROTECT Program ⁷	43,392,265	44,321,678	-	-	-	87,713,943	-	0.0%	-	87,713,943
SRTS	-	5,827,293	-	-	-	5,827,293	(365,470)	0.0%	-	6,192,762
TOTAL	1,454,334,836	(0)	(21,531,206)	-	-	1,449,803,630	1,602,382,336	110.5%	151,403,991	(1,174,715)
FFY 2022 Formula OA Obligations YTD (9/30/22) (Total)		Prior year data displayed for informational purposes	-	-	-	1,493,049,851	1,547,341,427	103.6%	54,291,576	(0)



FFY 2024 Deadlines OA Delivery



Obligation Plans and August Redistribution



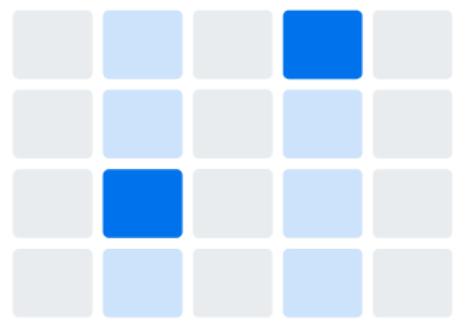
Things to Remember

- FFY 2024 Deadlines for OA Delivery
- Importance of submitting Obligation Plans by Deadline
- Statewide meeting with Districts and Regional Partners
- Inactive Projects
- Lapsing of Funds
- Deadline for FTA Transfer Projects



Managing Obligation Plans using Smartsheet

By Danny Mossman



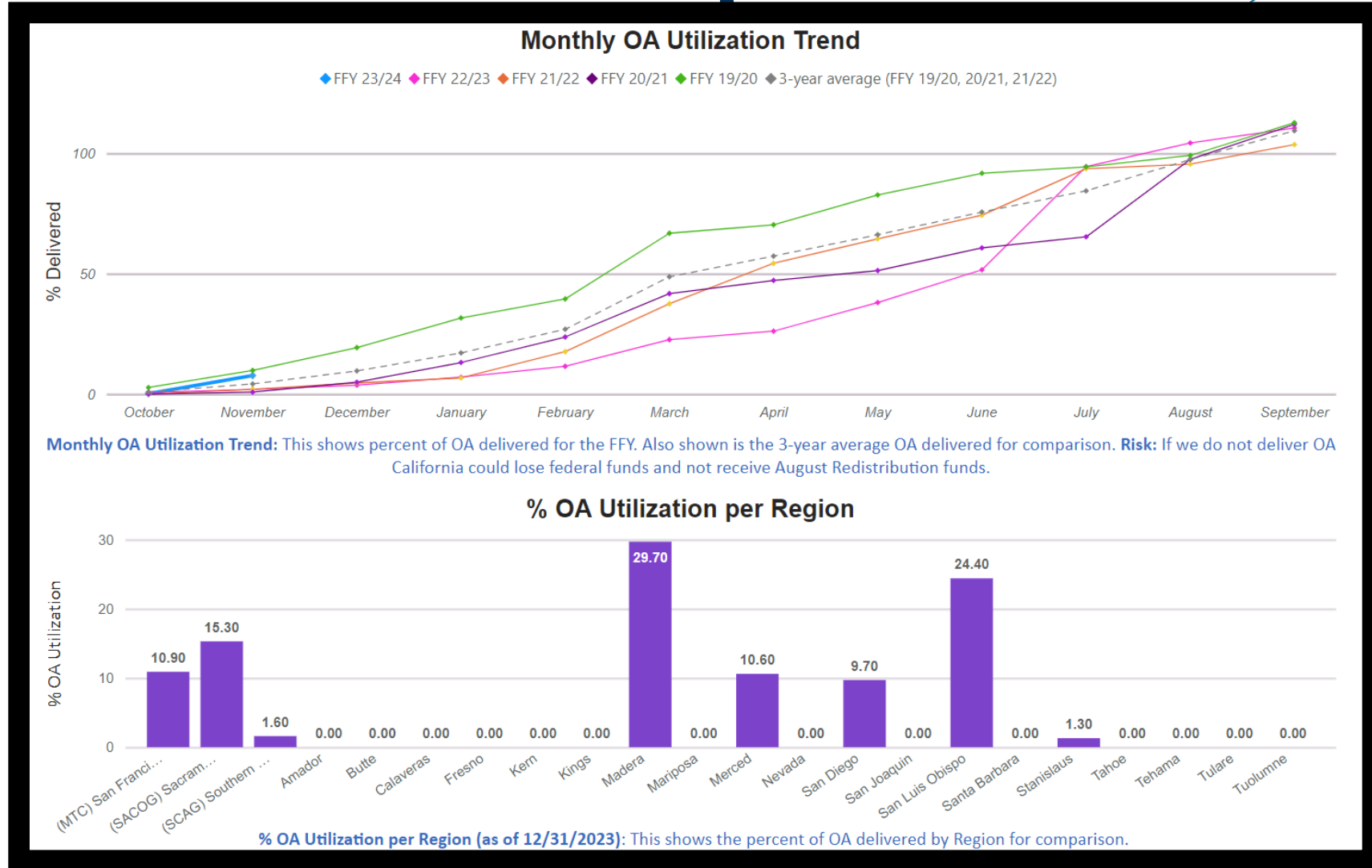
 smartsheet

Dynamic View



Obligation Plan Status Updates – NEW PROCESS

- Why a new process?
- Updates using separate Excel files were difficult to track, update, and not efficient for reporting and projecting OA utilization for the FFY.



Obligation Plan Status Updates

- Bi-weekly status meetings will be held from April to August.
- Obligation plans will be uploaded to new dynamic monitoring system.
- MPO/RTPAs provide status updates to Districts prior to meetings.
- District staff will have access to new Smartsheet Dynamic View and be able to make updates and provide status updates (demonstration to follow).
- Potential OA related issues are discussed during status meetings with Districts and MPO/RTPAs.



Status Updates (Cont.)

- Obligation status of project
 - Project was obligated (input actual obligation amount and date of obligation)
 - Obligation no longer anticipated this FFY
- Update Level of Certainty and/or Risk level.
- Provide status updates related to obligation of funds.
- Modify Formula OA Funds used on the project.
- Add new projects to the plan.



District	MPO/RTPA	Local Agency	FTIP ID	Federal Project Number	Project Programm... in the current FSTIP?	Project Location/Scope/Description	Planned Date of Obligation	Level of Certainty	Risk	RSTP \$	CMAQ \$	CRP \$	PROTECT \$	HSIP \$ (Federal)	Total Federal Obligation	Obligation Status	Actual Obligation Amount (\$)	Remark
4	MTC									\$112,434,378	\$62,886,734	\$0	\$0	\$20,805,830	\$196,126,942		\$0	
4	MTC	Alameda		ATPL-5014(047)	Yes	Central Avenue Safety Improvements	01/31/24	High	Low	\$2,000,000					\$2,000,000			
4	MTC	Alameda		ATPL-5014(047)	Yes	Central Avenue Safety Improvements	01/31/24	High	Low		\$1,487,000				\$1,487,000			
4	MTC	Alameda		STPL-5014(048)	Yes	Alameda Grand St. Pavement Rehab	01/31/24	High	Low	\$827,000					\$827,000			
4	MTC	Alameda County	ALA190019		Yes	Alameda County Complete Streets	01/31/24	High	Low		\$8,300,000				\$8,300,000			
4	MTC	Alameda County	ALA190019		Yes	Alameda County Complete Streets	01/31/24	High	Low	\$1,000,000					\$1,000,000			
4	MTC	Caltrans	ALA170060		Yes	GL: Alameda and Marin Counties - TOS-Mobility	01/31/24	High	Low		\$2,541,262				\$2,541,262			
4	MTC	Caltrans	ALA170060		Yes	GL: Alameda and Marin Counties - TOS-Mobility	01/31/24	High	Low		\$20,000				\$20,000			
4	MTC	Caltrans	ALA170060		Yes	GL: Alameda and Marin Counties - TOS-Mobility	01/31/24	High	Low		\$270,000				\$270,000			
4	MTC	Caltrans	ALA170060		Yes	GL: Alameda and Marin Counties - TOS-Mobility	01/31/24	High	Low		\$3,978,255				\$3,978,255			
4	MTC	CCJPA	ALA210033		Yes	CCJPA SR84 Intermodal Bus Facility	01/31/24	High	Low	\$100,000					\$100,000			
4	MTC	Fremont	ALA170076		Yes	Centerville Complete Streets of Relinquished	01/31/24	High	Low		\$3,000,000				\$3,000,000			
4	MTC	Fremont	ALA170076		Yes	Centerville Complete Streets of Relinquished	01/31/24	High	Low	\$3,510,000					\$3,510,000			
4	MTC	Hayward	ALA170065		Yes	Hayward - Main Street Complete Street	01/31/24	High	Low		\$500,000				\$500,000			
4	MTC	Hayward	ALA170065		Yes	Hayward - Main Street Complete Street	01/31/24	High	Low	\$1,000,000					\$1,000,000			
4	MTC	MTC	ALA170057		Yes	I-880 Integrated Corridor Management - Central	01/31/24	High	Low		\$1,498,000				\$1,498,000			
4	MTC	Oakland	ALA170063		Yes	Lakeside Family Streets	01/31/24	High	Low		\$2,446,000				\$2,446,000			
4	MTC	Oakland	ALA170063		Yes	Lakeside Family Streets	01/31/24	High	Low	\$1,946,000					\$1,946,000			
4	MTC	Oakland		HSIPL-5012(158)	Yes	Oakland - Various Intersection Imprvmnts H9-04-022	01/31/24	High	Low					\$250,000	\$250,000			
4	MTC	Oakland	VAR170002		Yes	Safe Oakland Streets Major Crossings	01/31/24	High	Low					\$2,321,910	\$2,321,910			



District	MPO/RTPA	Local Agency	FTIP ID	Federal Project Number	Project Programmed in the current FSTIP?	Project Location/Scope/Description	Planned Date of Obligation	Level of Certainty	Risk	RSTP \$	CMAQ \$	CRP \$	PROTECT \$	HSIP \$ (Federal)	Total Federal Obligation	Obligation Status	Actual Obligation Amount (\$)	Renewal
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4	MTC	Alameda County	ALA190019		Yes	Alameda County Complete Streets	01/31/24	High	Low		\$8,300,000				\$8,300,000			
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4	MTC	Caltrans	ALA170060		Yes	GL: Alameda and Marin Counties - TOS-Mobility	01/31/24	High	Low		\$270,000				\$270,000			
4	MTC	Caltrans	ALA170060		Yes	GL: Alameda and Marin Counties - TOS-Mobility	01/31/24	High	Low		\$3,978,255				\$3,978,255			
4	MTC	CCJPA	ALA210033		Yes	CCJPA SR84 Intermodal Bus Facility	01/31/24	High	Low	\$100,000					\$100,000			
4	MTC	Fremont	ALA170076		Yes	Centerville Complete Streets of Relinquished	01/31/24	High	Low		\$3,000,000				\$3,000,000			
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4	MTC	Hayward	ALA170065		Yes	Hayward - Main Street Complete Street	01/31/24	High	Low		\$500,000				\$500,000			
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4	MTC	MTC	ALA170057		Yes	I-880 Integrated Corridor Management - Central	01/31/24	High	Low		\$1,498,000				\$1,498,000			
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4	MTC	Oakland	VAR170002		Yes	Safe Oakland Streets Major Crossings	01/31/24	High	Low					\$2,321,910	\$2,321,910			

Details x

Please provide updates to your projects using this View.

Data Comments (0)

District *

x

MPO/RTPA *

Local Agency *

FTIP ID

Please update as soon as FPN is available

Federal Project Number

Project Programmed in the current FSTIP? *

x

Project Location/Scope/Description

Planned Date of Obligation

📅

Level of Certainty

x

Risk

x



Contacts

OA Management and Reports:

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PLANNING & MODAL PROGRAMS

Data & Digital Services - Local Assistance - Program Management
Research, Innovation & System Information - Transportation Planning



CALTRANS DIVISION OF
LOCAL ASSISTANCE

THANK YOU

[HTTPS://DOT.CA.GOV/PROGRAMS/LOCAL-ASSISTANCE/PROJECTS](https://dot.ca.gov/programs/local-assistance/projects)

