



# LAKE COUNTY/CITY AREA PLANNING COUNCIL

Lisa Davey-Bates, Executive Director  
[www.lakeapc.org](http://www.lakeapc.org)

525 South Main Street, Ukiah, CA 95482  
Administration: Suite G ~ 707-234-3314  
Planning: Suite B ~ 707-263-7799

## LAKE COUNTY/CITY AREA PLANNING COUNCIL (APC) AGENDA

**DATE:** Wednesday, August 11, 2021

**TIME:** 9:00

**PLACE:** Audioconference

**Dial-in number:** 1 (669) 900-6833 / **Meeting ID:** 869 3498 9773# **Passcode:** 358790

*Zoom link provided to Board Members in distribution email and to public by request.*

In accordance with the modified Brown Act Requirements established by Governor Newsom's Executive Order N-29-20, and to facilitate Social Distancing due to COVID-19, Lake Area Planning Council's Board meeting will also be by audioconference. Public comments will be available during Wednesday's meeting on any agenda item. Please send comments to our Board Secretary, Charlene Parker, at [cparker@dbcteam.net](mailto:cparker@dbcteam.net) and note the agenda item number being addressed. Oral comments will also be accepted by telephone during the meeting when public comment is invited by the Chair.

- 
1. Call to Order/Roll Call
  2. Adjourn to Policy Advisory Committee

### **PUBLIC EXPRESSION**

3. Public input on any item under the jurisdiction of this agency, but which is not otherwise on the above agenda

### **CONSENT CALENDAR**

4. Approval of June 2, 2021 Minutes

### **REGULAR CALENDAR**

5. Discussion and recommended Approval of Final Transportation Development Act (TDA) Annual Fiscal Audit ending June 30, 2020 (*Davey-Bates*)
6. Discussion and Proposed Action of Resolution #21-22-11 Approving the Project List for FY 2021-22 California State of Good Repair Program (*Sookne*)
7. Discussion and recommended approval of Lake Transit Authority's Allocation Request from the Local Transportation Fund Reserve Account (*Sookne*)

### **RATIFY ACTION**

8. Adjourn Policy Advisory Committee and Reconvene as Area Planning Council
9. Consideration and Adoption of Recommendations of Policy Advisory Committee

### **REPORTS**

10. Reports & Information:
  - a. Lake APC Staff Summary of Meetings – Administration and Planning Services
  - b. Lake APC Planning Staff
    - i. Grant Updates (*Speka*)
    - ii. State Transportation Improvement Program (STIP) Update (*Casey*)
    - iii. Regional Transportation Plan/Active Transportation Plan Update (*Speka/Davey-Bates*)

- iv. SR 53 Corridor Local Circulation Plan (*Casey/Davey-Bates*)
- v. Local Road Safety Plan Update (*Casey*)
- vi. Miscellaneous
- c. Lake APC Administration Staff
  - i. Innovative Concepts Submittals (*Davey-Bates*)
  - ii. Next Meeting Date – **September 8, 2021**
  - iii. Miscellaneous
- d. Lake APC Directors
- e. Caltrans
  - i. SR 29 Project Update (*Pimentel*)
  - ii. Lake County Project Status Update (*Ahlstrand*)
  - iii. Miscellaneous
- f. Rural Counties Task Force
  - i. Next Meeting Date – **September 17, 2021** (*Teleconference*)
- g. California Transportation Commission
  - i. Next Meeting Date – **August 18 – 19** (*Los Angeles*)
- h. California Association of Councils of Governments (CalCOG)
  - i. CDAC Meeting – **September 23, 2021** (*Webinar*)
  - ii. CalCOG Board of Directors Meeting – **August 20, 2021** (*Virtual*)
- i. Miscellaneous

### INFORMATION PACKET

- 11. a) 2021 Caltrans Active Transportation (CAT) Plan Fact Sheet
- b) Transportation Funding in California 2020

### ADJOURNMENT

\*\*\*\*\*

#### PUBLIC EXPRESSION

Any member of the public may speak on any agenda item when recognized by the Chair for a time period, not to exceed 3 minutes per person and not more than 10 minutes per subject, prior to the Public Agency taking action on that agenda item.

#### AMERICANS WITH DISABILITIES ACT (ADA) REQUESTS

To request disability-related modifications or accommodations for accessible locations or meeting materials in alternative formats (as allowed under Section 12132 of the ADA) please contact the Lake Area Planning Council office at (707) 263-7799, at least 5 days' notice before the meeting.

#### ADDITIONS TO AGENDA

The Brown Act, Section 54954.2, states that the Board may take action on off-agenda items when:

- a) a majority vote determines that an “emergency situation” exists as defined in Section 54956.5, **or**
- b) a two-thirds vote of the body, or a unanimous vote of those present, determines that there is a need to take immediate action and the need for action arose after the agenda was legally posted, **or**
- c) the item was continued from a prior, legally posted meeting not more than five calendar days before this meeting.

#### CLOSED SESSION

If agendaized, Lake County/City Area Planning Council may adjourn to a closed session to consider litigation or personnel matters (i.e., contractor agreements). Discussion of litigation or pending litigation may be held in closed session by authority of Govt. Code Section 54956.9; discussion of personnel matters by authority of Govt. Code Section 54957.

POSTED: August 5, 2021

*Lake County/City Area Planning Council Agenda*

*August 11, 2021, Meeting - Page 3*

*Attachments:*

*Agenda Item #4 – 6/2/21 Lake APC Draft Minutes*

*Agenda Item #5 – Staff Report & Fiscal Audit*

*Agenda Item #6 – Staff Report, Project List & Reso*

*Agenda Item #7 – Letter*

*Agenda Item #10a – Summary of Meetings*

*Agenda Item #10bi – Grant Update Staff Report*

*Agenda Item #10bii – STIP Staff Report*

*Agenda Item #10biii – RTP Staff Report*

*Agenda Item #10biv – SR 53 Staff Report*

*Agenda Item #10bv – LRSP Update Staff Report*

*Agenda Item #10ci – Staff Report, Fact Sheet & Proposals*

*Information Packet:* a) *CAT Plan Fact Sheet*

b) *Transportation funding in California 2020*



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## LAKE COUNTY/CITY AREA PLANNING COUNCIL (APC) (DRAFT) MEETING MINUTES

Wednesday, June 2, 2021

**Location:** City of Clearlake & Audioconference (in response to “Shelter-in-Place” directive)

### Present

Bruno Sabatier, Supervisor, County of Lake  
Moke Simon, Supervisor, County of Lake  
Russ Cremer, City Council, City of Clearlake  
Dirk Slooten (Alternate), Council Member, City of Clearlake (*Zoom*)  
Stacey Mattina, City Council Member, City of Lakeport  
Chuck Leonard, Member at Large

### Absent

Russell Perdock, Council Member, City of Clearlake  
Kenneth Parlet, Council Member, City of Lakeport  
Vacant Position, Member at Large

### Also Present

Lisa Davey-Bates, Executive Director, Admin. Staff – Lake APC  
James Sookne, Admin Staff – Lake APC  
Alexis Pedrotti, Admin Staff – Lake APC  
Charlene Parker, Admin Staff – Lake APC  
Nephele Barrett, Planning Staff – Lake APC  
John Speka, Planning Staff – Lake APC  
Tatiana Ahlstrand, Caltrans District 1 (Policy Advisory Committee)  
Jeff Pimentel, Caltrans Project Manager  
Valency Fitzgerald, Asset Manager  
Alexis Kelso, Senior Transportation Planner  
Scott DeLeon, Public Works Director, County of Lake  
Adeline Brown, City of Clearlake  
Clarissa Kincy, Mobility Manager – Lake Links

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### 1. Call to Order/Roll Call

Chair Mattina called the meeting to order at 9:11 a.m. Secretary Charlene Parker called roll. Members present: Sabatier, Simon, Slooten (Alternate-Perdock), Mattina, Cremer, Leonard

### 2. Adjourn to Policy Advisory Committee

Chair Mattina adjourned to the Policy Advisory Committee (PAC) at 9:12 a.m. to include Caltrans District 1 staff and allow participation as a voting member of the Lake APC.

### 3. PUBLIC EXPRESSION

Chair Mattina requested public comments including any written comments.

No public comments were presented to the council.

## **CONSENT CALENDAR**

### **4. Approval of May 5, 2021 Draft Minutes**

*Director Leonard made a motion to approve the May 5, 2021 Lake APC minutes, as presented. The motion was seconded by Director Cremer and carried unanimously.*

*Roll Call Vote: Ayes (7)-Directors Sabatier, Simon, Slooten (Alternate -Perdock), Cremer, Mattina, Leonard, Tatiana Ahlstrand (PAC), Noes (0); Abstain (0); Absent (2) – Directors Parlet, and Vacant Member-at-Large*

## **REGULAR CALENDAR**

### **5. Caltrans Project Development Update and Asset Management Presentation**

Tatiana Ahlstrand introduced Valency Fitzgerald, Asset Manager, and Alexis Kelso, Senior Transportation Planner. Tatiana noted that the presentation was included in the packet so everyone could follow along. Valency gave a detailed presentation on the State Highway Operation and Protection Program (SHOPP) Asset Management and the State Highway System Management Plan (SHSMP) District Performance Plan. Valency explained Caltrans' approach to investing in the State Highway System by preserving assets and minimizing costs, provides a transparent process, creates a financially sustainable framework, and provides methodology to improve performance on a long-term basis. Valency provided a partial list of the upcoming SHOPP projects and noted that this was the time in the cycle for Local Agencies to provide input, add or change project plans. Alexis Kelso presented the RTPA Input Opportunities section. She went over topics such as pre-project nominations, and the Project Initiation Document (PID) development and schedule. Alexis noted past examples of State-Sponsored PID nominations, types of grant applications and cycles. Alexis summarized the project development and ongoing communication through quarterly status reports, milestone reporting, project changes or request updates, and public engagements plans. Tatiana gave a quick overview on the Transportation Planning Information Sheet (TPSIS), which was a communication tool used by Caltrans to plan projects and capture plans in the scoping process. Tatiana opened the floor for any questions.

Director Sabatier asked if there was a conversation at the state level regarding fire breaks by the highways. Valency replied that fire breaks were a high priority for Caltrans headquarters and staff was involved in a major effort to fund fire breaks. A brief discussion also followed about water passages for fish.

Chair Mattina requested any public comments regarding the presentation. No comments were presented.

### **5. Presentation and Recommended Approval of the 2021/22 Lake Area Planning Council's Budget and adoption of resolutions:**

Alexis Pedrotti reported the FY 2021/22 Final Budget Document was included in the packet and included the Transportation Development Act calendar, Executive Director's letter, explanatory notes of funding sources, and draft copies of the Resolutions up for adoption. Alexis explained that annually in May, APC staff presents a draft budget for the APC Board to review prior to adoption of the final document in June. Alexis explained that the budget outlines revenues and expenditures by local, state, and federal funding sources and includes estimated carryover funds. The actual carryover amounts for all funding sources will be incorporated into the first amendment of the budget. Alexis noted the one change that the FY 2021/22 Local Transportation Fund (LTF) was slightly more than what was estimated in the draft budget. Alexis

called attention to the Federal Transit Administration (FTA) 5311, 5311f, CRISSA, and CARES Act funds. She noted that as discussed at the May meeting that those funds brought the Budget amount up a considerable amount. Alexis noted that this fiscal included a line item for the Triennial Performance Audit. The following resolutions itemized all allocations:

- a. Resolution No. 21-22-1 Allocating 2021/22 Local Transportation Funds for Administrative Purposes
- b. Resolution No. 21-22-2 Allocating 2021/22 Local Transportation Funds for Bicycle and Pedestrian Facilities
- c. Resolution No. 21-22-3 Allocating 2021/22 Local Transportation Funds and Carryover Funds for Planning Projects Included in the Work Program
- d. Resolution No. 21-22-4 Allocating 2021/22 Local Transportation Funds to Lake Transit Authority
- e. Resolution No. 21-22-5 Allocating State Transit Assistance Funds to Lake Transit Authority
- f. Resolution No. 21-22-6 Approving State Transportation Improvement Program (STIP) Planning, Programming, and Monitoring Fund Transfer Agreement
- g. Resolution No. 21-22-7 Allocation of 2021/22 Local Transportation Funds (5%) to the Consolidated Transportation Service Agency (CTSA) for Non-Emergency Medical Transportation (NEMT) Purposes
- h. Resolution No. 21-22-8 Allocating State of Good Repair Program Funding to Lake Transit Authority
- i. Resolution No. 21-22-9 Allocation of Local Transportation Funds (LTF) to the Reserve Fund

Alexis reported that Resolution No. 21-22-9 was added to the final budget, which added LTF funding to the reserve account for very specific uses. Alexis reminded the Board Members that due to the uncertainty of the pandemic, and potential impacts on LTF revenues, the 2020/21 budget reflected LTF revenues at Fiscal Year 2019/20 funding levels. Fortunately, the Lake APC saw a historic level of LTF revenues for the current fiscal year. In April the Executive Committee, and Lake APC Board took action to put those funds into the LTF Reserve account. Lisa Davey-Bates noted the surplus of LTF is not guaranteed and will only be added to the reserve account when LTF revenues for the fiscal year go beyond the estimate in the budget.

Chair Mattina requested any public comments regarding the 2021/22 Lake APC Budget. No comments were presented.

*Director Sabatier made a motion to approve the Lake County/City Area Planning Council's Fiscal Year 2021/22 Budget, including Resolutions 21-22-1 through 201-22-9, as presented. The motion was seconded by Director Cremer and carried unanimously.*

*Roll Call Vote: Ayes (7)-Directors Sabatier, Simon, Slooten (Alternate -Perdocke), Cremer, Mattina, Leonard, Tatiana Ahlstrand (PAC), Noes (0); Abstain (0); Absent (2) – Directors Parlet, and Vacant Member-at-Large*

## **6. Discussion and Recommended Approval of 2021/22 Final Overall Work Program**

Alexis Pedrotti reported that the Overall Work Program (OWP) was also presented to the Board in May. Alexis reported that the OWP provides funding to conduct planning projects in the Lake County region. The OWP is consistently funded with three funding sources, Rural Planning Assistance (RPA) funds, Planning Programming and Monitoring (PPM) funds, and Local Transportation Funds (LTF). Grant funds also contribute to the OWP funding.

Alexis gave a brief overview of the OWP schedule, stating that the process starts in December with APC staff distributing a call for planning projects. The OWP was discussed at the February Lake TAC meeting, and staff was directed to submit to Caltrans for review, and to the APC Board for approval. Alexis reported that Caltrans planning staff and Headquarters received the Draft OWP in March. District 1 staff submitted their comments to the Lake APC, which have been incorporated into the final document. Alexis noted that the Local Road Safety Plan (LRSP) was carried over. Unfortunately, as a result of the pandemic, it was determined that the SR53 Corridor Local Circulation Study would also be carried over.

Director Sabatier questioned if the Middletown Multi-Use-Trail from Central Park toward the Casino was complete. Director Simon replied that he does not have an update for that project however Scott DeLeon was managing the project. Scott DeLeon replied that staff was working with Caltrans and that construction was going out for bid later this year.

Director Cremer asked Tatiana about an update on the Lower Lake questions and Tatiana replied that Rex has not received the final answers from safety staff regarding the questions in Lower Lake.

Chair Mattina requested any public comments regarding the Final Overall Work Program. No comments were presented.

*Director Cremer made a motion to approve the 2021/22 Final Overall Work Program, as presented. The motion was seconded by Director Sabatier and carried unanimously.*

*Roll Call Vote: Ayes (7)-Directors Sabatier, Simon, Slooten (Alternate -Perdock), Cremer, Mattina, Leonard, Tatiana Ahlstrand (PAC), Noes (0); Abstain (0); Absent (2) – Directors Parlet, and Vacant Member-at-Large*

**7. Discussion and Recommended Approval of Coronavirus Response & Relief Supplement Appropriations Act Funds**

Nephele Barrett reported that the Coronavirus Response and Relief Supplemental Appropriations Act of 2021 (CRRSAA, HR 133) was enacted into law on December 27, 2020, and included transportation infrastructure funding to the States for suballocation. The California Transportation Commission (CTC) approved a distribution-based formula of 50% on the State Transportation Improvement Program (STIP) and 50% RSTP/STBG. This scenario results in a total of \$863,816 for the Lake County, \$27,589 was required for Planning, Programming and Monitoring (PPM), leaving 836,227 for projects. Nephele explained that the division was broken down to show a total of \$524,187 through the State Transportation Improvement Program (STIP) and \$312,040 through the Surface Transportation Block Grant (STBG) program. Nephele noted that the TAC recommended the 2A funding scenario, with a base of \$100,000 for each agency, the rest distributed based of the following formula:

	Scenario 2A \$100,000 Base		
	STIP	CRRSAA (STBG)	Total
County	\$ 204,506.73	\$ 312,040.00	\$ 516,546.73
Clearlake	\$ 186,737.15	\$ -	\$ 186,737.15
Lakeport	\$ 132,943.12	\$ -	\$ 132,943.12
Total	\$ 524,187.00	\$ 312,040.00	\$ 836,227.00

Nephele noted that there was an option to program the funds through the RTIP which will start this fall, which must be programmed no later than August 2023. Nephele recommended that the Board consider the TAC's recommendation and adopt the resolution to distribute the CRRSAA funds based on the presented scenario (#2A).

*Director Cremer made a motion to approve Resolution #21-22-10 of the funding distribution formula for Coronavirus Response and Relief Supplemental Appropriations Act funds, as presented. The motion was seconded by Director Leonard and carried unanimously.*

*Roll Call Vote: Ayes (7)-Directors Sabatier, Simon, Slooten (Alternate -Perdock), Cremer, Mattina, Leonard, Tatiana Ahlstrand (PAC), Noes (0); Abstain (0); Absent (2) – Directors Parlet, and Vacant Member-at-Large*

Chair Mattina requested any public comments regarding the Coronavirus Response & Relief Supplement Appropriations Act Funds. No comments were presented.

## **RATIFY ACTION**

### **8. Adjourn Policy Advisory Committee and Reconvene as Area Planning Council**

Chair Mattina adjourned the Policy Advisory Committee at 10:35 a.m. and reconvened as the APC.

### **9. Consideration and Adoption of Recommendations of Policy Advisory Committee**

*Director Sabatier made a motion to adopt the recommendations of the Policy Advisory Committee and reconvene as the APC. The motion was seconded by Director Simon and carried unanimously.*

*Roll Call Vote: Ayes (6)-Directors Sabatier, Simon, Slooten (Alternate -Perdock), Cremer, Mattina, Leonard, Noes (0); Abstain (0); Absent (2) – Directors Parlet, and Vacant Member-at-Large*

## **REPORTS**

### **10. Reports & Information**

#### **a. Lake APC Staff Summary of Meetings**

The summary of meetings report was included for the Board's review, and staff was happy to answer any questions, however there were none.

#### **b. Lake APC Planning Staff**

##### **i. Update on Various Grant Programs**

John reported that APC staff was assisting with the City of Lakeport on an application for the Federal Lands Access Program (FLAP) for funds to make improvements to Martin Street west of the City which provides access to Cow Mountain. John noted that the applications were submitted in May. Staff should know if it was successful around the end of summer. John reported that in February staff applied for two Sustainable Transportation Planning Grant program. John explained that the first project was the Wildfire Evacuation and Preparedness Plan for the region. The plan would provide a regional reference document to secure coordination between agencies with respect to transportation and evacuation services. The second project was to update the Transit Development Plan (TDP) and staff was expecting to hear updates this month.



ii. Regional Transportation Plan/Active Transportation Plan

John reported that staff was currently working with Caltrans and Local Public works staff to get information on short term and long-term projects for the Regional Transportation Plan (RTP). John reported that staff was still working on public outreach for input and community engagement through a Social Pinpoint platform. John noted that between thirty to fifty surveys that have been filled out and almost one hundred people that have provided some sort of feedback on the platform. John stated that staff was planning to do a presentation for the Middletown Area Town Hall agenda for June 10 and reached out to the Northshore Town Halls, and the Tribes as well.

The group discussed the rules for FLAP funds and both the City of Lakeport and the County of Lake projects applications that were submitted. They also talked about future plans for access trails in that area.

Lisa stated that staff was seeking input for the RTP and asked if it would be beneficial to have a presentation at the Board of Supervisor and city council meetings. The Board Members agreed that this should be part of the process and that the cities and the Board of Supervisors would welcome a presentation to help get the word out. Chair Mattina added that it would be good to get the word out on social media too. Director Sabatier noted that the County can share the presentation on Facebook. Lisa replied that staff would schedule presentation with the County and both of the cities.

Tatiana Ahlstrand stated that the announcements for the Sustainable Transportation Planning Grant program would go out the last week in June.

iii. State Route 53 Corridor Project

Lisa Davey-Bates reported that the SR53 Corridor Local Circulation Study would be extended into the next fiscal year. Lisa reported that the Technical Advisory Group (TAG) met on April 28<sup>th</sup>. The consultant provided the Draft Existing Conditions Report and recommendations. The TAC met again on May 26 and the stakeholders revisited potential renditions for improvements for the corridor.

The group discussed the importance of new ideas to improve the corridor and thanked staff for taking the extra time to do it right.

iv. Local Road Safety Plan Update

Lisa Davey-Bates reported that the Local Road Safety Plan (LRSP's) for the Cities of Clearlake and Lakeport were being developed and encouraged everyone to share and give us feedback on specific areas of concerns. Lisa reported similar to the RTP staff will be doing an online survey with an interactive map for the LRSPs.

v. Miscellaneous

None

c. Lake APC Administration Staff

i. Next Meeting Date – July 14, 2021 *(if needed)*

ii. Miscellaneous

Lisa announced that staff was working with Caltrans staff on a fieldtrip to visit the Lake 29 project for the October APC Board meeting.

d. Lake APC Directors:

None

e. Caltrans

None

i. SR 29 Project Update:

Jeff Pimentel provided an update on segments 2A and 2B for the Lake 29 project. Jeff reported that the environmental teams were reviewing the past technical studies. Jeff stated that it was determined that the vernal pool boundaries have not moved since the last survey in 2015. Jeff noted that was good because the vernal pools were rare and sensitive and sometimes must be avoided to reduce impacts to habitats. Jeff reported that staff was finalizing the permits and was working on right-of-way to establish property lines, boundaries, and preparation for the appraisal maps. Additionally, the District Deputy Director, Richard Mullen, met with the new Director of Programming for Caltrans on how to make the project more competitive for right-of-way and construction funding. Jeff reported that staff was preparing an updated project fact sheet focusing on safety, mobility, equity, and climate change benefits for potential funding including RAISE and STIP cycles.

ii. Lake County Project Status:

Tatiana reported that the Milestone Report was provided in the packet. Tatiana noted that staff plans to generate a map to go with the report.

Lisa added that the Middletown Multi-Use-Trail was on the last page of the Caltrans Milestone report and was in process of the right-of-way certification.

iii. Miscellaneous

None

f. Rural Counties Task Force

i. Next Meeting Date – June 16, 2021

g. California Transportation Commission

i. Next Meeting Date – June 23 – 24 (*Sacramento/Webinar*)

h. California Association of Councils of Governments (CalCOG)

i. CDAC Meeting – June 29 (*Webinar*)

ii. CalCOG Board of Directors Meeting – June 18 (*Virtual*)

i. Miscellaneous

## **INFORMATION PACKET**

12 a) CAPTI Comment Letter

b) Transportation Infrastructure State Budget Proposal

Lisa gave a brief overview of the information packet documents and noted the disadvantage for rural areas in the CAPTI plan.

## **ADJOURNMENT**

The meeting was adjourned by Chair Mattina at 10:48 a.m.

Respectfully Submitted,

***DRAFT***

Charlene Parker  
Administrative Associate



## LAKE COUNTY/CITY AREA PLANNING COUNCIL STAFF REPORT

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**TITLE:** TDA Fiscal Audit – Fiscal Year 2019/20

**DATE PREPARED:** August 4, 2021

**MEETING DATE:** August 11, 2021

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**SUBMITTED BY:** Lisa Davey-Bates, Executive Director

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### **BACKGROUND:**

According to the Transportation Development Act (TDA) statute and California Codes of Regulations of 2005, Article 5.5, “Each transportation planning agency..., shall submit to the State Controller, annually and within 12 months of the end of the fiscal year, a report of an audit of its accounts and records by the appropriate auditor, a certified public accountant, or a public accountant pursuant to Sections 6505 and 26909 of the Government Code.”

Smith & Newell recently finalized the annual fiscal audit for the period of July 1, 2019 through June 30, 2020. The auditor’s comments were positive, and they did not identify any deficiencies in internal control over financial reporting and found no instances of noncompliance or other matters that are required to be reported under Government Auditing Standards.

### The Independent Auditor’s Report concluded:

The financial statements present fairly, in all material respects, the respective financial position of the governmental activities, each major fund and the aggregate remaining fund information of the Council as of June 30, 2020, and the respective changes in financial position thereof for the year then ended in accordance with accounting principles generally accepted in the United States of America.

The audit did not identify any material weaknesses or recommendations.

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**ACTION REQUIRED:** Although action is not “required”, I suggest adopting the final audit as a requirement of the Transit Development Act, Article 5.5.

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**ALTERNATIVES:** Do not take action.

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**RECOMMENDATION:** Approve the Final Fiscal Audit for the year ended June 30, 2020 as prepared by Smith and Newell.

**LAKE COUNTY/CITY AREA  
PLANNING COUNCIL,  
CALIFORNIA**

**FINANCIAL STATEMENTS  
TOGETHER WITH  
INDEPENDENT AUDITOR'S REPORT  
FOR THE YEAR ENDED  
JUNE 30, 2020**

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**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Annual Financial Report**  
**For the Year Ended June 30, 2020**

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## **INTRODUCTORY SECTION**

- **List of Officials**



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**LAKE COUNTY/CITY AREA PLANNING COUNCIL**

**List of Officials**

**For the Year Ended June 30, 2020**

**Board of Directors**

Bruno Sabatier	Supervisor, County of Lake
Moke Simon	Supervisor, County of Lake
Stacey Mattina	City Council Member, City of Lakeport
Kenneth Parlet	City Council Member, City of Lakeport
Russell Perdock	City Council Member, City of Clearlake
Russ Cremer	City Council Member, City of Clearlake
Chuck Leonard	Member at Large

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## **FINANCIAL SECTION**

- **Independent Auditor's Report**
- **Basic Financial Statements**
- **Required Supplementary Information**
- **Combining Nonmajor Fund Financial Statements**
- **Schedules of Allocations and Expenditures**

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**INDEPENDENT AUDITOR'S REPORT**

To the Board of Directors  
Lake County/City Area Planning Council  
Lakeport, California

**Report on the Financial Statements**

We have audited the accompanying financial statements of the governmental activities, each major fund and the aggregate remaining fund information of Lake County/City Area Planning Council, Lakeport, California (Council), as of and for the year ended June 30, 2020, and the related notes to the financial statements, which collectively comprise the Council's basic financial statements as listed in the table of contents.

**Management's Responsibility for the Financial Statements**

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

**Auditor's Responsibility**

Our responsibility is to express opinions on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinions.

To the Board of Directors  
Lake County/City Area Planning Council  
Lakeport, California

## **Opinions**

In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the governmental activities, each major fund and the aggregate remaining fund information of the Council as of June 30, 2020, and the respective changes in financial position thereof for the year then ended in accordance with accounting principles generally accepted in the United States of America.

## **Other Matters**

### *Required Supplementary Information*

Accounting principles generally accepted in the United States of America require that the budgetary comparison information as listed in the table of contents be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board, who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

Management has omitted the Management's Discussion and Analysis that accounting principles generally accepted in the United States of America require to be presented to supplement the basic financial statements. Such missing information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board, who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic or historical context. Our opinion on the basic financial statements is not affected by this missing information.

### *Other Information*

Our audit was conducted for the purpose of forming opinions on the financial statements that collectively comprise the Council's basic financial statements. The introductory section, combining nonmajor fund financial statements, and Schedules of Allocations and Expenditures are presented for purposes of additional analysis and are not a required part of the basic financial statements.

The combining nonmajor fund financial statements and Schedules of Allocations and Expenditures are the responsibility of management and were derived from and relate directly to the underlying accounting and other records used to prepare the basic financial statements. Such information has been subjected to the auditing procedures applied in the audit of the basic financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the basic financial statements or to the basic financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the combining nonmajor fund financial statements and Schedules of Allocations and Expenditures are fairly stated in all material respects in relation to the basic financial statements as a whole.

To the Board of Directors  
Lake County/City Area Planning Council  
Lakeport, California

The introductory section has not been subjected to the auditing procedures applied in the audit of the basic financial statements and, accordingly, we do not express an opinion or provide any assurance on it.

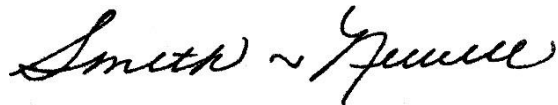
*Report on Summarized Comparative Information*

The financial statements include summarized prior year comparative information. Such information does not include all of the information required to constitute a presentation in accordance with accounting principles generally accepted in the United States of America. Accordingly, such information should be read in conjunction with the Council's financial statements for the year ended June 30, 2019, from which such partial information was derived.

We have previously audited the Council's June 30, 2019 financial statements and our report, dated May 27, 2020, expressed an unmodified opinion on the financial statements. In our opinion, the summarized comparative information presented herein as of and for the year ended June 30, 2019, is consistent, in all material respects, with the audited financial statements from which it has been derived.

**Other Reporting Required by Government Auditing Standards**

In accordance with Government Auditing Standards, we have also issued our report dated June 22, 2021 on our consideration of the Council's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is solely to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the Council's internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with Government Auditing Standards in considering the Council's internal control over financial reporting and compliance.



Smith & Newell CPAs  
Yuba City, California  
June 22, 2021



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## **Basic Financial Statements**

- **Government-Wide Financial Statements**

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**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Statement of Net Position**  
**June 30, 2020**

	<u><b>Total Governmental Activities</b></u>
<b>ASSETS</b>	
Cash and investments	\$ 2,280,494
Receivables:	
Intergovernmental	479,388
Sales tax	400,049
Advance to Lake Transit Authority	<u>300,000</u>
<b>Total Assets</b>	<u><b>3,459,931</b></u>
<b>LIABILITIES</b>	
Accounts payable	<u>252,669</u>
<b>Total Liabilities</b>	<u><b>252,669</b></u>
<b>NET POSITION</b>	
Restricted for:	
Unallocated apportionments	64,532
Transportation	<u>3,142,730</u>
<b>Total Net Position</b>	<u><u><b>\$ 3,207,262</b></u></u>

The notes to the basic financial statements are an integral part of this statement.

**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Statement of Activities**  
**For the Year Ended June 30, 2020**

<u>Functions/Programs:</u>	<u>Expenses</u>	<u>Program Revenues</u>			<u>Net (Expense) Revenue and Changes in Net Position</u>
	<u>Charges for Services</u>	<u>Operating Grants and Contributions</u>	<u>Capital Grants and Contributions</u>	<u>Total Governmental Activities</u>	
Governmental activities:					
Transportation	\$ 4,425,720	\$ -	\$ 4,696,258	\$ -	\$ 270,538
<b>Total Governmental Activities</b>	4,425,720	-	4,696,258	-	270,538
<b>Total</b>	\$ 4,425,720	\$ -	\$ 4,696,258	\$ -	270,538
<b>General revenues:</b>					
Interest and investment earnings					36,372
<b>Total General Revenues</b>					36,372
<b>Change in Net Position</b>					306,910
<b>Net Position - Beginning</b>					2,900,352
<b>Net Position - Ending</b>					\$ 3,207,262

The notes to the basic financial statements are an integral part of this statement.

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## **Basic Financial Statements**

- **Fund Financial Statements**

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**LAKE COUNTY/CITY AREA PLANNING COUNCIL**

**Balance Sheet**

**Governmental Funds**

**June 30, 2020**

(With summarized comparative totals for June 30, 2019)

	<u>Local Transportation</u>	<u>State Transit Assistance</u>	<u>Work Program</u>	<u>Administration</u>
<b>ASSETS</b>				
Cash and investments	\$ 390,003	\$ 166,671	\$ 924	\$ 62,569
Receivables:				
Intergovernmental	-	146,132	302,644	-
Sales tax	400,049	-	-	-
Advance to Lake Transit Authority	<u>300,000</u>	<u>-</u>	<u>-</u>	<u>-</u>
<b>Total Assets</b>	<u>\$ 1,090,052</u>	<u>\$ 312,803</u>	<u>\$ 303,568</u>	<u>\$ 62,569</u>
<b>LIABILITIES</b>				
Accounts payable	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 197,453</u>	<u>\$ 53,536</u>
<b>Total Liabilities</b>	<u>-</u>	<u>-</u>	<u>197,453</u>	<u>53,536</u>
<b>FUND BALANCES</b>				
Restricted	<u>1,090,052</u>	<u>312,803</u>	<u>106,115</u>	<u>9,033</u>
<b>Total Fund Balances</b>	<u>1,090,052</u>	<u>312,803</u>	<u>10 ,115</u>	<u>9,033</u>
<b>Total Liabilities and Fund Balances</b>	<u>\$ 1,090,052</u>	<u>\$ 312,803</u>	<u>\$ 30 ,568</u>	<u>\$ 62,569</u>

The notes to the basic financial statements are an integral part of this statement.

Regional Surface Transportation Program	Service Authority for Freeway Emergencies	Other Governmental Funds	Totals	
			2020	2019
\$ 277,707	\$ 1,018,768	\$ 363,852	\$ 2,280,494	\$ 2,045,478
-	14,389	16,223	479,388	538,283
-	-	-	400,049	276,572
-	-	-	300,000	300,000
<u>\$ 277,707</u>	<u>\$ 1,033,157</u>	<u>\$ 380,075</u>	<u>\$ 3,459,931</u>	<u>\$ 3,160,333</u>
<u>\$ -</u>	<u>\$ 1,680</u>	<u>\$ -</u>	<u>\$ 252,669</u>	<u>\$ 259,981</u>
<u>-</u>	<u>1,680</u>	<u>-</u>	<u>252,669</u>	<u>259,981</u>
<u>277,707</u>	<u>1,031,477</u>	<u>380,075</u>	<u>3,207,262</u>	<u>2,900,352</u>
<u>277,707</u>	<u>1,031,477</u>	<u>380,075</u>	<u>3,207,262</u>	<u>2,900,352</u>
<u>\$ 277,707</u>	<u>\$ 1,033,157</u>	<u>\$ 380,075</u>	<u>\$ 3,459,931</u>	<u>\$ 3,160,333</u>



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**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Statement of Revenues, Expenditures**  
**and Changes in Fund Balances**  
**Governmental Funds**  
**For the Year Ended June 30, 2020**  
(With summarized comparative totals for June 30, 2019)

	<u>Local Transportation</u>	<u>State Transit Assistance</u>	<u>Work Program</u>	<u>Administration</u>
<b>REVENUES</b>				
Intergovernmental revenues:				
Local Transportation fund	\$ 1,760,003	\$ -	\$ -	\$ -
State Transit Assistance fund	-	578,370	-	-
Local Transportation fund allocation	-	-	99,317	536,571
Rural Planning Assistance	-	-	283,159	-
FTA Section 5304	-	-	73,622	-
FTA Section 5310	-	-	-	-
FHWA SPR	-	-	12,320	-
Planning, Programming, and Monitoring	-	-	40,000	-
State Highway Account	-	-	193,255	-
SB1	-	-	40,713	-
Regional Surface Transportation Program	-	-	-	-
State of Good Repair	-	-	-	-
Vehicle registration fees	-	-	-	-
Use of money	10,060	718	-	-
	<hr/>	<hr/>	<hr/>	<hr/>
<b>Total Revenues</b>	1,770,063	579,088	742,386	536,571
<b>EXPENDITURES</b>				
Current transportation:				
Planning and administration	752,772	-	748,252	559,292
Regional transit services	853,923	420,056	-	-
RSTP pass-through	-	-	-	-
Pedestrian and bicycle allocation	20,500	-	-	-
	<hr/>	<hr/>	<hr/>	<hr/>
<b>Total Expenditures</b>	1,627,195	420,056	748,252	559,292
<b>Net Change in Fund Balances</b>	142,868	159,032	(5,866)	(22,721)
<b>Fund Balances - Beginning</b>	<hr/>	<hr/>	<hr/>	<hr/>
	947,184	153,771	11,981	31,754
<b>Fund Balances - Ending</b>	<u>\$ 1,090,052</u>	<u>\$ 312,803</u>	<u>\$ 10,115</u>	<u>\$ 9,033</u>

The notes to the basic financial statements are an integral part of this statement.

Regional Surface Transportation Program	Service Authority for Freeway Emergencies	Other Governmental Funds	Totals	
			2020	2019
\$ -	\$ -	\$ -	\$ 1,760,003	\$ 1,607,461
-	-	-	578,370	578,211
-	-	71,749	707,637	457,922
-	-	-	283,159	273,685
-	-	-	73,622	174,553
-	-	176,442	176,442	-
-	-	-	12,320	-
-	-	-	40,000	35,000
-	-	-	193,255	102,197
-	-	-	40,713	-
656,399	-	-	656,399	615,369
-	-	93,992	93,992	152,080
-	80,346	-	80,346	80,967
4,119	17,697	3,778	36,372	49,810
660,518	98,043	345,961	4,732,630	4,127,255
-	25,275	294,186	2,379,777	1,655,979
-	-	89,070	1,363,049	1,717,877
662,394	-	-	662,394	728,919
-	-	-	20,500	23,068
662,394	25,275	383,256	4,425,720	4,125,843
(1,876)	72,768	(37,295)	306,910	1,412
279,583	958,709	417,370	2,900,352	2,898,940
\$ 277,707	\$ 1,031,477	\$ 380,075	\$ 3,207,262	\$ 2,900,352

**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Reconciliation of the Statement of Revenues, Expenditures**  
**and Changes in Fund Balances of Governmental Funds to the**  
**Government-Wide Statement of Activities - Governmental Activities**  
**For the Year Ended June 30, 2020**

<b>Net Change in Fund Balance - Total Governmental Funds</b>	\$ 306,910
No adjustments were needed to reconcile the net change in fund balance to the change in net position.	<u>                  -</u>
<b>Change in Net Position of Governmental Activities</b>	<u><u>          \$ 306,910</u></u>

The notes to the basic financial statements are an integral part of this statement.

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## **Basic Financial Statements**

- **Notes to Basic Financial Statements**



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**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Notes to Basic Financial Statements**  
**For the Year Ended June 30, 2020**

**NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

**A. Reporting Entity**

The Lake County/City Area Planning Council, the regional transportation planning agency for the County of Lake, was established in 1972 pursuant to the Transportation Development Act. The Council is responsible for transportation planning activities as well as administration of the Local Transportation funds, State Transit Assistance fund, Transportation Planning fund, and the Bicycle/Pedestrian funds received from the State.

The Council receives monies and allocates these monies for the planning, management, and operation of public transportation systems within the County of Lake. The Council also has the authority to allocate monies for other transportation related activities including street and road projects.

Generally accepted accounting principles require government financial statements to include the primary government and its component units. Component units of a governmental entity are legally separate entities for which the primary government is considered to be financially accountable and for which the nature and significance of their relationship with the primary government are such that exclusion would cause the combined financial statements to be misleading. The primary government is considered to be financially accountable if it appoints a majority of an organization's governing body and is able to impose its will on that organization or there is a potential for the organization to provide specific financial benefits to or impose specific financial burdens on the primary government.

**Component Units**

Based on the application of the criteria set forth by the Governmental Accounting Standards Board, management has determined that there are no component units of the Council.

**Related Organizations**

The County of Lake performs various services for the Council including risk management through the County's risk management program. However, the County is not financially accountable for this organization and therefore the Council is not a component unit under Statement Nos. 14, 39 and 61 of the Governmental Accounting Standards Board.

**B. Basis of Presentation**

**Government-Wide Financial Statements**

The statement of net position and statement of activities display information on all the activities of the Council. These statements include only the financial activities of the Council. Eliminations have been made to minimize double counting of internal activities. Interfund services provided and used are not eliminated in the process of consolidation. These statements report the governmental activities of the Council, which are normally supported by intergovernmental revenues. The Council had no business-type activities at June 30, 2020.

**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Notes to Basic Financial Statements**  
**For the Year Ended June 30, 2020**

**NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)**

**B. Basis of Presentation (Continued)**

**Government-Wide Financial Statements (Continued)**

The statement of activities presents a comparison between direct expenses and program revenues for each function of the Council's governmental activities. Direct expenses are those that are specifically associated with a program or function and therefore, are clearly identifiable to a particular function. Program revenues include 1) charges paid by the recipients of goods and services offered by the program, 2) operating grants and contributions, and 3) capital grants and contributions. Taxes and other items not properly included among program revenues are presented instead as general revenues.

**Fund Financial Statements**

Fund financial statements of the Council are organized into funds, each of which is considered to be a separate accounting entity. Each fund is accounted for by providing a separate set of self-balancing accounts that constitute its assets, deferred outflows of resources, liabilities, deferred inflows of resources, fund equity, revenues, and expenditures. The funds of the Council are organized into the governmental category. The emphasis is placed on major funds. Each is displayed in a separate column.

The Council reports the following major governmental funds:

- The Local Transportation fund is a special revenue fund used to account for the local transportation activities. Funding comes from transportation fund allocations.
- The State Transit Assistance fund is a special revenue fund used to account for the receipt and expenditure of State Transit Assistance funds. Funding comes primarily from state transit assistance fund allocations.
- The Work Program fund is a special revenue fund used to account for monies expended in relation to the overall work program. Funding comes primarily from rural planning assistance, PPM, and other grants.
- The Administration fund is a special revenue fund used to account for monies expended in relation to local transportation fund administration. Funding comes primarily from local transportation fund allocations.
- The Regional Surface Transportation Program fund (RSTP) is a special revenue fund used to account for activity related to RSTP projects. Funding comes primarily from state grants.
- The Service Authority for Freeway Emergencies fund (SAFE) is a special revenue fund used to account for activity related to SAFE funding. Funding comes primarily from vehicle registration fees.

**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Notes to Basic Financial Statements**  
**For the Year Ended June 30, 2020**

**NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)**

**C. Basis of Accounting and Measurement Focus**

The government-wide financial statements are reported using the economic resources measurement focus and the accrual basis of accounting. Revenues are recorded when earned and expenses are recorded at the time liabilities are incurred, regardless of when the related cash flows take place. Nonexchange transactions, in which the Council gives (or receives) value without directly receiving (or giving) equal value in exchange, include sales tax, grants, entitlements, and donations. Under the accrual basis, revenues from sales tax are recognized when the underlying transactions take place. Revenues from grants, entitlements, and donations are recognized in the fiscal year in which all eligibility requirements have been satisfied.

Governmental funds are reported using the current financial resources measurement focus and the modified accrual basis of accounting. Under this method, revenues are recognized when measurable and available. Sales taxes, interest, and certain state and federal grants are considered susceptible to accrual and are accrued when their receipt occurs within sixty days after the end of the fiscal year. Expenditures are generally recorded when a liability is incurred, as under accrual accounting. However, debt service expenditures as well as expenditures related to claims and judgments are recorded only when payment is due. General capital asset acquisitions are reported as expenditures in the governmental funds. Proceeds of governmental long-term debt and acquisitions under capital leases are reported as other financing sources.

**D. Non-Current Governmental Assets/Liabilities**

Non-current governmental assets and liabilities, such as capital assets and long-term liabilities, are reported in the governmental activities column in the government-wide statement of net position.

**E. Cash and Investments**

The Council pools all cash and investments with the County of Lake. The Lake County Treasury is an external investment pool for the Council and the Council is considered an involuntary participant. The Council's share in this pool is displayed in the accompanying financial statements as cash and investments.

Participant's equity in the investment pool is determined by the dollar amount of participants deposits, adjusted for withdrawals and distributed investment income. Investment income is determined on an amortized cost basis. Interest payments, accrued interest, accreted discounts, amortized premiums and realized capital gains and losses, net of administrative fees, are apportioned to pool participants every quarter. This method differs from the fair value method used to value investments in these financial statements as unrealized gains and losses are not apportioned to pool participants.

**F. Receivables**

Receivables consist mainly of intergovernmental and sales tax revenues. Management believes its receivables are fully collectible and, accordingly, no allowance for doubtful accounts is required.

**G. Inventory**

Inventories are recorded as expenditures at the time inventory is purchased rather than when consumed. Records are not maintained of inventory and supplies on hand, although these amounts are not considered material.

**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Notes to Basic Financial Statements**  
**For the Year Ended June 30, 2020**

**NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)**

**H. Advance to Lake Transit Authority**

On March 19, 2020, the Council made an interest-free advance of 2020-21 Local Transportation Funds to Lake Transit Authority in the amount of \$300,000 to cover delays in reimbursable grant funding.

**I. Capital Assets**

Capital assets would be valued at historical cost, or estimated historical cost if actual historical cost was not available. Contributed capital assets would be recorded at their acquisition value on the date donated. Major outlays for capital assets and improvements would be capitalized as projects are constructed.

Capital assets used in operations would be depreciated or amortized using the straight-line method over its estimated useful life in the government-wide financial statements.

At June 30, 2020, the Council did not have any capital assets.

**J. Compensated Absences and Other Postemployment Benefits**

The Council does not currently have any employees. Therefore, there is no liability for compensated absences or other postemployment benefits.

**K. Management Contract**

The Council pays an administration fee to Davey-Bates Consulting for all administration and management of the Council. The total amount paid for administration and management for the year ended June 30, 2020 was \$450,160 and was included in expenditures in the Administration fund.

**L. Deferred Outflows/Inflows of Resources**

In addition to assets, the statement of financial position will sometimes report a separate section for deferred outflows of resources. This separate financial statement element, deferred outflows of resources, represents a consumption of net position that applies to a future period and so will not be recognized as an outflow of resources (expense/expenditure) until then. At June 30, 2020, the Council did not have any deferred outflows of resources.

In addition to liabilities, the statement of financial position will sometimes report a separate section for deferred inflows of resources. This separate financial statement element, deferred inflows of resources, represents an acquisition of net position that applies to a future period and so will not be recognized as an inflow of resources (revenue) until that time. At June 30, 2020, the Council did not have any deferred inflows of resources.

**M. Estimates**

The preparation of basic financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results could differ from those estimates

**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Notes to Basic Financial Statements**  
**For the Year Ended June 30, 2020**

**NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)**

**N. Implementation of Governmental Accounting Standards Board (GASB) Statement**

The following Governmental Accounting Standards Board (GASB) Statement has been implemented, if applicable, in the current financial statements.

**Statement No. 95**, Postponement of the Effective Dates of Certain Authoritative Guidance. This Statement extends the effective dates of certain accounting and financial reporting provisions in the Statements and Implementation Guides that were first effective for reporting periods beginning after June 15, 2018. The requirements of this Statement apply to the financial statements of all state and local governments. The GASB Statements effected by this statement include Statement No. 84 - Fiduciary Activities, Statement No. 87 – Leases, Statement No. 89 - Accounting for Interest Cost Incurred before the End of a Construction Period, Statement No. 90 - Majority Equity Interests, Statement No. 91 – Conduit Debt Obligations, Statement No. 92 – Omnibus 2020, and Statement No. 93 – Replacement of Interbank Offered Rates.

**O. Future Accounting Pronouncements**

The following GASB Statements will be implemented in future financial statements:

Statement No. 84 “Fiduciary Activities”	The requirements of this statement are effective for periods beginning after December 15, 2019. (FY 20/21)
Statement No. 87 “Leases”	The requirements of this statement are effective for periods beginning after June 15, 2021. (FY 21/22)
Statement No. 89 “Accounting for Interest Cost Incurred Before the End of a Construction Period”	The requirements of this statement are effective for periods beginning after December 15, 2020. (FY 21/22)
Statement No. 90 “Majority Equity Interests”	The requirements of this statement are effective for periods beginning after December 15, 2019. (FY 20/21)
Statement No. 91 “Conduit Debt Obligations”	The requirements of this statement are effective for periods beginning after December 15, 2021. (FY 22/23)
Statement No. 92 “Omnibus 2020”	The requirements of this statement are effective for periods beginning after June 15, 2021. (FY 21/22)
Statement No. 93 “Replacement of Interbank Offered Rates”	The requirements of this statement are effective for periods beginning after June 15, 2021. (FY 21/22)
Statement No. 94 “Public-Private and Public-Public Partnerships and Availability Payment Arrangements”	The requirements of this statement are effective for periods beginning after June 15, 2022. (FY 22/23)

**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Notes to Basic Financial Statements**  
**For the Year Ended June 30, 2020**

**NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)**

**O. Future Accounting Pronouncements (Continued)**

Statement No. 96 “Subscription-Based Information Technology Arrangements”	The requirements of this statement are effective for periods beginning after June 15, 2022. (FY 22/23)
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**NOTE 2: CASH AND INVESTMENTS**

**A. Financial Statement Presentation**

As of June 30, 2020, the Council’s cash and investments consisted of the following:

Investments:	
Lake County Treasurer’s pool	\$ 2,280,494
Total Cash and Investments	<u>\$ 2,280,494</u>

**B. Investments**

The Council does not have a formal investment policy. At June 30, 2020, all investments of the Council were in the County of Lake investment pool. Under the provisions of the County’s investment policy and the California Government Code, the County may invest or deposit in the following:

- Banker’s Acceptances
- Commercial Paper
- Local Agency Investment Fund (LAIF)
- Mutual Funds
- Medium Term Corporate Notes
- Negotiable Certificates of Deposit
- Repurchase Agreements
- Securities of the Federal Government or its Agencies
- State of California Obligations
- Local Agency Bonds
- Treasury Obligations
- Obligations of California Local Agencies

Fair Value of Investments - The Council measures and records its investments using fair value measurement guidelines established by generally accepted accounting principles. These guidelines recognize a three-tiered fair value hierarchy as follows:

- Level 1: Quoted prices for identical investments in active markets;
- Level 2: Observable inputs other than quoted market prices; and,
- Level 3: Unobservable inputs

As of June 30, 2020, the Council held no individual investment. Accordingly, the measurement of fair value for the Council’s proportionate share of investments in the County investment pool is based on uncategorized inputs not defined as Level 1, Level 2, or Level 3. Required disclosure information regarding categorization of investments and other deposit and investment risk disclosure can be found in the County’s financial statements. The County of Lake’s financial statements may be obtained by contacting the County of Lake Auditor-Controller’s office a 255 North Forbes Street, Lakeport, Ca 95453.

**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Notes to Basic Financial Statements**  
**For the Year Ended June 30, 2020**

**NOTE 2: CASH AND INVESTMENTS (CONTINUED)**

**B. Investments (Continued)**

Interest Rate Risk - Interest rate risk is the risk of loss due to the fair value of an investment falling due to interest rates rising. Generally, the longer the maturity of an investment, the greater the sensitivity of its fair value to changes in market interest rates. To limit exposure to fair value losses from increases in interest rates, the County limits investment maturities to a term appropriate to the need for funds so as to permit the County to meet all projected obligations.

Credit Risk - Credit risk is the risk that an issuer of an investment will not fulfill its obligation to the holder of the investment. This is measured by the assignment of a rating by a nationally recognized statistical rating organization. The County's investment policy sets specific parameters by type of investment to be met at the time of purchase. As of June 30, 2020, the Council's investments were all held with the County of Lake investment pool which is not rated by a nationally recognized statistical rating organization.

Custodial Credit Risk - Custodial credit risk for investments is the risk that, in the event of the failure of a depository financial institution, the Council will not be able to recover its deposits or collateral securities that are in the possession of an outside party. Custodial credit risk does not apply to a local government's indirect investments in securities through the use of mutual funds or government investment pools.

Concentration of Credit Risk - Concentration of credit risk is the risk of loss attributed to the magnitude of the Council's investment in a single issuer of securities. When investments are concentrated in one issuer, this concentration presents a heightened risk of potential loss. State law and the investment policy of the County contain limitations on the amount that can be invested in any one issuer. All investments of the Council were in the Lake County investment pool which contains a diversification of investments.

**C. Investment in External Pool**

The Lake County Pooled Investment Fund is a pooled investment fund program governed by the County which monitors and reviews the management of public funds maintained in the investment pool in accordance with the County investment policy and the California Government Code. The Board of Supervisors review and approve the investment policy annually. The County Treasurer prepares and submits a comprehensive investment report to the Board of Supervisors every month. The report covers the type of investments in the pool, maturity dates, par value, actual cost and fair value. Investments in the Lake County Pooled Investment fund are regarded as highly liquid as deposits and withdrawals can be made at any time without penalty. The Pool does not impose a maximum investment limit. Required disclosure information regarding categorization of investments and other deposit and investment risk disclosures can be found in the County's financial statements. The County of Lake's financial statements may be obtained by contacting the County of Lake Auditor-Controller's office at 255 North Forbes Street, Lakeport, CA 95453.



**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Notes to Basic Financial Statements**  
**For the Year Ended June 30, 2020**

**NOTE 3: NET POSITION**

The government-wide financial statements utilize a net position presentation. Net position is categorized as net investment in capital assets, restricted and unrestricted.

- **Net investment in capital assets** - consists of capital assets including restricted capital assets, net of accumulated depreciation and reduced by the outstanding balances of any bonds, mortgages, notes or other borrowings that are attributable to the acquisition, construction or improvement of those assets.
- **Restricted net position** - consists of net position with constraints placed on the use either by (1) external groups such as creditors, grantors, contributors or laws or regulations of other governments; or (2) law through constitutional provisions or enabling legislation. These principally include restrictions for capital projects, debt service requirements and other special revenue fund purposes.
- **Unrestricted net position** - all other net position that does not meet the definition of “restricted” or “net investment in capital assets”.

**Net Position Flow Assumption**

When a government funds outlays for a particular purpose from both restricted and unrestricted resources, a flow assumption must be made about the order in which the resources are considered to be applied. When both restricted and unrestricted net position are available, it is considered that restricted resources are used first, followed by the unrestricted resources.

**NOTE 4: FUND BALANCES**

As prescribed by GASB Statement No. 54, governmental funds report fund balance in classifications based primarily on the extent to which the Council is bound to honor constraints on the specific purposes for which amounts in the funds can be spent. As of June 30, 2020, fund balance for the governmental funds is made up of the following:

- **Nonspendable fund balance** - amounts that cannot be spent because they are either (a) not in spendable form, or (b) legally or contractually required to be maintained intact. The “not in spendable form” criterion includes items that are not expected to be converted to cash, for example: inventories and prepaid amounts.
- **Restricted fund balance** - amounts with constraints placed on their use that are either (a) externally imposed by creditors, grantors, contributors, or laws or regulations of other governments; or (b) imposed by law through constitutional provisions or enabling legislation.
- **Committed fund balance** - amounts that can only be used for the specific purposes determined by formal action of the Council’s highest level of decision-making authority. The Board of Directors is the highest level of decision making authority for the Council that can, by Board action, commit fund balance. Once adopted, the limitation imposed remains in place until a similar action is taken to remove or revise the limitation. The underlying action that imposed the limitation needs to occur no later than the close of the reporting period.

**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Notes to Basic Financial Statements**  
**For the Year Ended June 30, 2020**

**NOTE 4: FUND BALANCES (CONTINUED)**

- **Assigned fund balance** - amounts that are constrained by the Council’s intent to be used for specific purposes. The intent can be established at either the highest level of decision-making, or by a body or an official designated for that purpose.
- **Unassigned fund balance** - the negative residual amount when expenditures incurred exceed the amounts that are restricted, committed, or assigned.

The fund balances for all major and nonmajor governmental funds as of June 30, 2020, were distributed as follows:

	Local Transportation	State Transit Assistance	Work Program	Administration	Regional Surface Transportation Program	Service Authority of Freeway Emergency	Other Governmental Funds	Totals
<b>Restricted for:</b>								
Unallocated								
Apportionments	\$ 38,239	\$ 26,293	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 64,532
Transportation	1,051,813	286,510	106,115	9,033	277,707	1,031,477	380,075	3,142,730
<b>Total</b>	<b>\$ 1,090,052</b>	<b>\$ 312,803</b>	<b>\$ 106,115</b>	<b>\$ 9,033</b>	<b>\$ 277,707</b>	<b>\$ 1,031,477</b>	<b>\$ 380,075</b>	<b>\$ 3,207,262</b>

**Fund Balance Flow Assumption**

When a government funds outlays for a particular purpose from both restricted and unrestricted resources (the total of committed, assigned, and unassigned fund balance), a flow assumption must be made about the order in which the resources are considered to be applied. When both restricted and unrestricted fund balance are available, it is considered that restricted fund balance is depleted before using any of the components of unrestricted fund balance. Further, when the components of unrestricted fund balance can be used for the same purpose, committed fund balance is depleted first, followed by assigned fund balance. Unassigned fund balance is applied last.

**Fund Balance Policy**

The Board of Directors has adopted a formal fund balance or minimum fund balance policy by passage of an ordinance.

**NOTE 5: RISK MANAGEMENT**

The Council is exposed to various risks of loss related to torts; theft of, damage to, and destruction of assets; errors and omissions; injuries to employees; and natural disasters. The Council is covered under the County of Lake’s risk management programs.

**NOTE 6: RELATED PARTY TRANSACTIONS**

The County of Lake provides accounting and risk management services for the Council. Related party expenditures incurred for the fiscal year ended June 30, 2020 were \$6,000.

**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Notes to Basic Financial Statements**  
**For the Year Ended June 30, 2020**

**NOTE 7: OTHER INFORMATION**

**A. Subsequent Events**

Management has evaluated events subsequent to June 30, 2020 through June 22, 2021, the date on which the financial statements were available for issuance. Management has determined no subsequent events requiring disclosure have occurred.

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**Required Supplementary Information  
(Unaudited)**

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**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Required Supplementary Information**  
**Budgetary Comparison Schedule**  
**Local Transportation - Major Special Revenue Fund**  
**For the Year Ended June 30, 2020**

	<b>Original Budget</b>	<b>Final Budget</b>	<b>Actual Amounts (Budgetary Basis)</b>	<b>Variance with Final Budget Positive (Negative)</b>
<b>REVENUES</b>				
Local Transportation fund	\$ 1,598,953	\$ 2,319,611	\$ 1,760,003	\$ (559,608)
Use of money -----			10,060	10,060
<b>Total Revenues</b>	1,598,953	2,319,611	1,770,063	(549,548)
<b>EXPENDITURES</b>				
Current transportation:				
Planning and administration	673,281	1,104,823	752,772	352,051
Regional transit services	853,923	853,923	853,923	-
Pedestrian and bicycle allocation	20,500	175,126	20,500	154,626
<b>Total Expenditures</b>	1,547,704	2,133,872	1,627,195	506,677
<b>Net Change in Fund Balances</b>	51,249	185,739	142,868	(42,871)
<b>Fund Balances - Beginning</b>	947,184	947,184	94,184	-
<b>Fund Balances - Ending</b>	\$ 998,433	\$ 1,132,923	\$ 1,09,052	\$ (42,871)

**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Required Supplementary Information**  
**Budgetary Comparison Schedule**  
**State Transit Assistance - Major Special Revenue Fund**  
**For the Year Ended June 30, 2020**

	<u>Original Budget</u>	<u>Final Budget</u>	<u>Actual Amounts (Budgetary Basis)</u>	<u>Variance with Final Budget Positive (Negative)</u>
<b>REVENUES</b>				
State Transit Assistance fund	\$ 670,644	\$ 601,328	\$ 578,370	\$ (22,958)
Use of money -----			<u>718</u>	<u>718</u>
<b>Total Revenues</b>	<u>670,644</u>	<u>601,328</u>	<u>579,088</u>	<u>(22,240)</u>
<b>EXPENDITURES</b>				
Current transportation:				
Regional transit services	<u>670,644</u>	<u>601,328</u>	<u>420,056</u>	<u>181,272</u>
<b>Total Expenditures</b>	<u>670,644</u>	<u>601,328</u>	<u>420,056</u>	<u>181,272</u>
<b>Net Change in Fund Balances</b>	-	-	15,032	159,032
<b>Fund Balances - Beginning</b>	<u>153,771</u>	<u>153,771</u>	<u>15,771</u>	-
<b>Fund Balances - Ending</b>	<u>\$ 153,771</u>	<u>\$ 153,771</u>	<u>\$ 31,803</u>	<u>\$ 159,032</u>

**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Required Supplementary Information**  
**Budgetary Comparison Schedule**  
**Work Program - Major Special Revenue Fund**  
**For the Year Ended June 30, 2020**

	<u>Original Budget</u>	<u>Final Budget</u>	<u>Actual Amounts (Budgetary Basis)</u>	<u>Variance with Final Budget Positive (Negative)</u>
<b>REVENUES</b>				
Intergovernmental revenues:				
Local Transportation fund allocation	\$ 99,317	\$ 155,294	\$ 99,317	\$ (55,977)
Rural Planning Assistance	294,000	351,237	283,159	(68,078)
FTA Section 5304	95,612	76,746	73,622	(3,124)
FHWA SPR	139,000	139,000	12,320	(126,680)
Planning, Programming, and Monitoring	40,000	58,418	40,000	(18,418)
State Highway Account	192,995	193,667	193,255	(412)
SB1	<u>112,433</u>	<u>189,179</u>	<u>40,713</u>	<u>(148,466)</u>
<b>Total Revenues</b>	<u>973,357</u>	<u>1,163,541</u>	<u>742,386</u>	<u>(421,155)</u>
<b>EXPENDITURES</b>				
Current transportation:				
Overall Work Program:				
600 - Regional planning and intergovernmental coordination	129,500	139,500	130,044	9,456
601 - TDA activities and coordination	40,000	42,936	39,836	3,100
602 - Transit planning and performance monitoring	5,000	12,500	12,500	-
603 - Transit passenger survey	30,000	30,000	4,137	25,863
604 - Lake county project reserve	27,384	8,190	-	8,190
605 - Federal and state grant preparation, monitoring program	50,000	45,000	37,307	7,693
606 - Speed zone studies	12,500	-	-	-
607 - Special studies	40,500	40,500	24,503	15,997
608 - Planning, programming & monitoring	28,000	33,000	25,579	7,421
609 - Eleventh Street corridor study	110,000	113,265	112,796	469
610 - Active transportation	10,000	10,000	10,000	-
611 - Pavement management program inventory update	6,500	6,500	6,500	-
612 - Countywide technology support services	500	25,705	6,170	19,535
613 - Transportation information outreach	2,000	2,000	2,000	-
614 - Countywide sign inventory project	-	32,031	32,032	(1)
615 - Hwy 20 Northshore traffic calming plan and EFS	108,000	105,498	105,497	1
616 - Training	2,116	7,116	4,581	2,535
617 - SR 53 Corridor local circulation study	173,750	173,750	15,400	158,350
618 - LTA bus passenger facilities plan	54,000	32,304	30,770	1,534
619 - Lake County pedestrian facility needs inventory and EFS	54,000	54,386	52,391	1,995
620 - VMT Regional baseline study	127,000	127,000	45,987	81,013
621 - Transportation voter opinion survey	-	45,612	36,362	9,250
Reserve LTF	<u>-</u>	<u>-</u>	<u>13,860</u>	<u>(13,860)</u>
<b>Total Expenditures</b>	<u>1,010,750</u>	<u>1,086,793</u>	<u>748,252</u>	<u>338,541</u>
<b>Net Change in Fund Balances</b>	(37,393)	76,748	(5,866)	(82,614)
<b>Fund Balances - Beginning</b>	<u>111,981</u>	<u>111,981</u>	<u>11,981</u>	<u>-</u>
<b>Fund Balances - Ending</b>	<u>\$ 74,588</u>	<u>\$ 188,729</u>	<u>\$ 10,115</u>	<u>\$ (82,614)</u>



**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Required Supplementary Information**  
**Budgetary Comparison Schedule**  
**Administration - Major Special Revenue Fund**  
**For the Year Ended June 30, 2020**

	<u>Original Budget</u>	<u>Final Budget</u>	<u>Actual Amounts (Budgetary Basis)</u>	<u>Variance with Final Budget Positive (Negative)</u>
<b>REVENUES</b>				
Local Transportation fund allocation	\$ 536,571	\$ 568,425	\$ 536,571	\$ (31,854)
<b>Total Revenues</b>	<u>536,571</u>	<u>568,425</u>	<u>536,571</u>	<u>(31,854)</u>
<b>EXPENDITURES</b>				
Current transportation:				
Planning and administration	<u>536,571</u>	<u>568,425</u>	<u>559,292</u>	<u>9,133</u>
<b>Total Expenditures</b>	<u>536,571</u>	<u>568,425</u>	<u>559,292</u>	<u>9,133</u>
<b>Net Change in Fund Balances</b>	-	-	(2 ,721)	(22,721)
<b>Fund Balances - Beginning</b>	<u>31,754</u>	<u>31,754</u>	<u>3 ,754</u>	-
<b>Fund Balances - Ending</b>	<u>\$ 31,754</u>	<u>\$ 31,754</u>	<u>\$ 9,033</u>	<u>\$ (22,721)</u>

**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Required Supplementary Information**  
**Budgetary Comparison Schedule**  
**Regional Surface Transportation Program - Major Special Revenue Fund**  
**For the Year Ended June 30, 2020**

	<u>Original Budget</u>	<u>Final Budget</u>	<u>Actual Amounts (Budgetary Basis)</u>	<u>Variance with Final Budget Positive (Negative)</u>
<b>REVENUES</b>				
Other State grants	\$ 656,399	\$ 935,982	\$ 656,399	\$ (279,583)
Use of money -----			<u>4,119</u>	<u>4,119</u>
<b>Total Revenues</b>	<u>656,399</u>	<u>935,982</u>	<u>660,518</u>	<u>(275,464)</u>
<b>EXPENDITURES</b>				
Current transportation: RSTP pass-through	<u>656,399</u>	<u>935,982</u>	<u>662,394</u>	<u>273,588</u>
<b>Total Expenditures</b>	<u>656,399</u>	<u>935,982</u>	<u>662,394</u>	<u>273,588</u>
<b>Net Change in Fund Balances</b>	-	-	(1,876)	(1,876)
<b>Fund Balances - Beginning</b>	<u>279,583</u>	<u>279,583</u>	<u>27,583</u>	-
<b>Fund Balances - Ending</b>	<u>\$ 279,583</u>	<u>\$ 279,583</u>	<u>\$ 27,707</u>	<u>\$ (1,876)</u>

**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Required Supplementary Information**  
**Budgetary Comparison Schedule**  
**Service Authority for Freeway Emergencies - Major Special Revenue Fund**  
**For the Year Ended June 30, 2020**

	<u>Original Budget</u>	<u>Final Budget</u>	<u>Actual Amounts (Budgetary Basis)</u>	<u>Variance with Final Budget Positive (Negative)</u>
<b>REVENUES</b>				
Vehicle registration fees	\$ 80,500	\$ 80,500	\$ 80,346	\$ (154)
Use of money	18,500	18,500	17,697	(803)
<b>Total Revenues</b>	<u>99,000</u>	<u>99,000</u>	<u>98,043</u>	<u>(957)</u>
<b>EXPENDITURES</b>				
Current transportation:				
Planning and administration	70,528	70,528	25,275	45,253
<b>Total Expenditures</b>	<u>70,528</u>	<u>70,528</u>	<u>25,275</u>	<u>45,253</u>
<b>Net Change in Fund Balances</b>	28,472	28,472	7,768	44,296
<b>Fund Balances - Beginning</b>	<u>958,709</u>	<u>958,709</u>	<u>95,709</u>	<u>-</u>
<b>Fund Balances - Ending</b>	<u>\$ 987,181</u>	<u>\$ 987,181</u>	<u>\$ 1,034,477</u>	<u>\$ 44,296</u>

**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Required Supplementary Information**  
**Note to Budgetary Comparison Schedules**  
**For the Year Ended June 30, 2020**

**NOTE 1: BUDGETARY BASIS OF ACCOUNTING**

Formal budgetary integration is employed as a management control device during the year. The Council presents a comparison of annual budget to actual results for all major special revenue funds. Budgets are adopted on a basis consistent with accounting principles generally accepted in the United States of America (GAAP).

The Council follows these procedures annually in establishing the budgetary data reflected in the financial statements:

- (1) The Executive Director submits to the Board of Directors a recommended draft budget for the fiscal year commencing the following July 1. The budget includes recommended expenditures and the means of financing them.
- (2) The Board of Directors reviews the recommended budget at regularly scheduled meetings, which are open to the public. The Board also conducts a public hearing on the recommended budget to obtain comments from interested persons.
- (3) Prior to July 1, the budget is adopted through the passage of a resolution.
- (4) The Board of Directors may amend the budget by motion during the fiscal year.

The Council does not use encumbrance accounting under which purchase orders, contracts, and other commitments for the expenditure of monies are recorded in order to reserve that portion of the applicable appropriation.

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**Combining Nonmajor Fund Financial Statements**

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**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Combining Balance Sheet**  
**Nonmajor Governmental Funds**  
**Special Revenue Funds**  
**June 30, 2020**

	<b>Local Transportation 2% Reserve</b>	<b>- Plannin</b>	<b>Transportation Enhancement Act</b>	<b>Consolidated Transportation Services</b>
<b>ASSETS</b>				
Cash and investments	\$ 175,126	\$ 1	\$ 7,143	\$ 69,281
Receivables:				
Intergovernmental	-	-	-	-
<b>Total Assets</b>	<u>\$ 175,126</u>	<u>\$ 1</u>	<u>\$ 7,143</u>	<u>\$ 69,281</u>
<b>LIABILITIES</b>				
Accounts payable	\$ -	\$ -	\$ -	\$ -
<b>Total Liabilities</b>	-	-	-	-
<b>FUND BALANCES</b>				
Restricted	175,126	1	7,143	69,281
<b>Total Fund Balances</b>	<u>175,126</u>	<u>1</u>	<u>7,143</u>	<u>69,281</u>
<b>Total Liabilities and Fund Balances</b>	<u>\$ 175,126</u>	<u>\$ 1</u>	<u>\$ 7,143</u>	<u>\$ 69,281</u>

<u>State of Good Repair</u>	<u>Totals</u>
\$ 112,301	\$ 363,852
<u>16,223</u>	<u>16,223</u>
<u>\$ 128,524</u>	<u>\$ 380,075</u>
\$ -	\$ -
<u>-</u>	<u>-</u>
<u>128,524</u>	<u>380,075</u>
<u>128,524</u>	<u>380,075</u>
<u>\$ 128,524</u>	<u>\$ 380,075</u>

**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Combining Statement of Revenues, Expenditures**  
**and Changes in Fund Balances**  
**Nonmajor Governmental Funds**  
**Special Revenue Funds**  
**For the Year Ended June 30, 2020**

	<b>Local Transportation 2% Reserve</b>	<b>Plannin</b>	<b>Transportation Enhancement Act</b>	<b>Consolidated Transportation Services</b>
<b>REVENUES</b>				
Intergovernmental revenues:				
Local Transportation fund allocation	\$ 20,500	\$ -	\$ -	\$ 51,249
FTA section 5310	-	-	-	176,442
State of Good Repair	-	-	-	-
Use of money	-	-	130	1,286
<b>Total Revenues</b>	<b>20,500</b>	<b>-</b>	<b>130</b>	<b>228,977</b>
<b>EXPENDITURES</b>				
Current transportation:				
Planning and administration	-	-	-	294,186
Regional transit services	-	-	-	-
<b>Total Expenditures</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>294,186</b>
<b>Net Change in Fund Balances</b>	<b>20,500</b>	<b>-</b>	<b>130</b>	<b>(65,209)</b>
<b>Fund Balances - Beginning</b>	<b>154,626</b>	<b>1</b>	<b>7,013</b>	<b>134,490</b>
<b>Fund Balances - Ending</b>	<b>\$ 175,126</b>	<b>\$ 1</b>	<b>\$ 7,143</b>	<b>\$ 69,281</b>

<u>State of Good Repair</u>	<u>Totals</u>
\$ -	\$ 71,749
-	176,442
93,992	93,992
<u>2,362</u>	<u>3,778</u>
96,354	345,961
-	294,186
<u>89,070</u>	<u>89,070</u>
<u>89,070</u>	<u>383,256</u>
7,284	(37,295)
<u>121,240</u>	<u>417,370</u>
<u>\$ 128,524</u>	<u>\$ 380,075</u>

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## **Schedules of Allocations and Expenditures**

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**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Schedule of Allocations and Expenditures**  
**Local Transportation Fund**  
**For the Year Ended June 30, 2020**

	<b>Beginning Allocations as Adjusted</b>	<b>Allocated</b>	<b>Expended</b>	<b>Rescinded</b>	<b>Ending Allocations as Adjusted</b>
<b>Lake County/City Area Planning Council</b>					
99400(c)	\$ 14,173	\$ 54,122	\$ (54,122)	\$ -	\$ 14,173
99233.1	-	323,061	(323,061)	-	-
99233.3	6,930	23,068	(23,068)	-	6,930
99233.7	-	57,671	(57,671)	-	-
	<u>21,103</u>	<u>457,922</u>	<u>(457,922)</u>	<u>-</u>	<u>21,103</u>
<b>Total Lake County/City Area Planning Council</b>					
<b>Lake Transit Authority</b>					
99260(a)	6,293	1,051,066	(1,051,066)	-	6,293
99262	10,843	-	-	-	10,843
	<u>17,136</u>	<u>1,051,066</u>	<u>(1,051,066)</u>	<u>-</u>	<u>17,136</u>
<b>Total Lake Transit Authority</b>					
<b>Totals</b>	<u>\$ 38,239</u>	<u>\$ 1,508,988</u>	<u>\$ (1,508,988)</u>	<u>\$ -</u>	<u>\$ 38,239</u>



**LAKE COUNTY/CITY AREA PLANNING COUNCIL**  
**Schedule of Allocations and Expenditures**  
**State Transit Assistance Fund**  
**For the Year Ended June 30, 2020**

	<u>Beginning Allocations as Adjusted</u>	<u>Allocated</u>	<u>Expended</u>	<u>Rescinded</u>	<u>Ending Allocations as Adjusted</u>
Lake County/City Area Planning Council 99313.3	\$ 147,138	\$ 482,518	\$ (603,363)	\$ -	\$ 26,293
<b>Total Lake County/City Area Planning Council</b>	<u>\$ 147,138</u>	<u>\$ 482,518</u>	<u>\$ (603,363)</u>	<u>\$ -</u>	<u>\$ 26,293</u>

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**OTHER REPORT**

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**INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER FINANCIAL  
REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN  
AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH  
GOVERNMENT AUDITING STANDARDS AND THE RULES AND  
REGULATIONS OF THE TRANSPORTATION DEVELOPMENT ACT**

To the Board of Directors  
Lake County/City Area Planning Council  
Lakeport, California

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards issued by the Comptroller General of the United States and the applicable fiscal audit requirements of the Transportation Development Act including Public Utilities Code Section 99245 and the California Code of Regulations Title 21, Section 6662, the financial statements of the governmental activities, each major fund and the aggregate remaining fund information of the Lake County/City Area Planning Council (Council), as of and for the year ended June 30, 2020, and the related notes to the financial statements, which collectively comprise the Council's basic financial statements and have issued our report thereon dated June 22, 2021.

**Internal Control Over Financial Reporting**

In planning and performing our audit of the financial statements, we considered the Council's internal control over financial reporting (internal control) as a basis for designing audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the Council's internal control. Accordingly, we do not express an opinion on the effectiveness of the Council's internal control.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A material weakness is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected, on a timely basis. A significant deficiency is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

To the Board of Directors  
Lake County/City Area Planning Council  
Lakeport, California

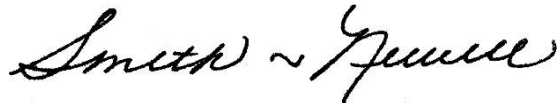
### **Compliance and Other Matters**

As part of obtaining reasonable assurance about whether the Council's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the financial statements. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under Government Auditing Standards.

Additionally, we performed tests to determine that allocations made and expenditures paid by the Council were made in accordance with the allocation instructions and resolutions of the Council and in conformance with the California Transportation Development Act. Specifically, we performed each of the specific tasks identified in the California Code of Regulations Title 21, Section 6666 that are applicable to the Council and tests to determine that certain state funds were received and expended in accordance with applicable bond act and state accounting requirements. However, our objective was not to provide an opinion on overall compliance with such provisions. Accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance that are required to be reported.

### **Purpose of this Report**

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the entity's internal control or on compliance. This report is an integral part of an audit performed in accordance with Government Auditing Standards in considering the entity's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.



Smith & Newell CPAs  
Yuba City, California  
June 22, 2021



# LAKE COUNTY/CITY AREA PLANNING COUNCIL

## STAFF REPORT

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**TITLE:** State of Good Repair FY 21/22 Project List

**DATE PREPARED:** July 27, 2021

**MEETING DATE:** August 11, 2021

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**SUBMITTED BY:** James Sookne, Program Manager

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### **BACKGROUND:**

The State of Good Repair (SGR) program is a product of the Road Repair and Accountability Act of 2017, also known as Senate Bill (SB) 1. This funding source is derived from a transportation improvement fee on vehicle registrations. The estimated SGR funds available for this fiscal year to Lake County is \$99,707. These funds are allocated quarterly, and receipt of the first quarter revenue depends on submitting approved SGR projects to Caltrans. The deadline for submission of the FY 21/22 SGR Project List is September 1, 2021. As part of the project submittal process, the regional entity (RTPA) must approve and submit all proposed projects from operators (LTA) to Caltrans. In years past, LTA was able to approve and submit projects on their own.

The proposed project for FY 21/22 is described in the attached project list. Staff is recommending that the FY 21/22 funds be allocated towards the purchase of new buses.

Staff will be available at the Board meeting to answer any questions.

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**ACTION REQUIRED:** Approval of the State of Good Repair Project List for FY 21/22

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**ALTERNATIVES:** None

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**RECOMMENDATION:** Approve the State of Good Repair Project List for FY 21/22 and Resolution 21-22-11.

# LAKE COUNTY/CITY AREA PLANNING COUNCIL

## RESOLUTION 21-22-11

APPROVING THE PROJECT LIST FOR FY 2021-22  
FOR THE CALIFORNIA STATE OF GOOD REPAIR PROGRAM

### THE AREA PLANNING COUNCIL HEREBY FINDS, DECLARES AND RESOLVES THAT:

WHEREAS, Senate Bill 1 (SB1), the Road Repair and Accountability Act 2017, establishing the State of Good Repair (SGR) program to fund eligible transit maintenance, rehabilitation and capital project activities that maintain the public transit system in a state of good repair; and

WHEREAS, the Lake County/City Area Planning Council is an eligible project sponsor and may receive and distribute State Transit Assistance – State of Good Repair funds to eligible project sponsors (local agencies) for eligible transit capital projects; and

WHEREAS, the Lake County/City Area Planning Council distributing SGR funds to eligible project sponsors (local agencies) under its regional jurisdiction; and

WHEREAS, the Lake County/City Area Planning Council concurs with and approves the attached project list for the State of Good Repair Program funds; and

WHEREAS, the Department has developed guidelines for the purpose of administering and distributing SGR funds to eligible recipients (local agencies); and

### NOW, THEREFORE, BE IT RESOLVED THAT:

The Board of Directors hereby approves the SB1 State of Good Repair Project List for FY 2021-22.

Adoption of this Resolution was moved by Director \_\_\_\_\_, seconded by Director \_\_\_\_\_, and carried on this 11<sup>th</sup> day of August 2021, by the following roll call vote:

AYES:

NOES:

ABSENT:

WHEREUPON, THE CHAIRMAN DECLARED THE RESOLUTION ADOPTED, AND SO ORDERED.

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ATTEST: Lisa Davey-Bates  
Executive Director

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Stacey Mattina, Chair  
APC Member



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**Regional Entity Information**

**Funding Fiscal Year: 2021-22**

**Regional Entity :**

Lake County City Council of Governments

**\*State of Good Repair Funding**

<b>99313 Estimated Allocation for the Region</b>	<b>\$</b>	<b>94,563</b>
<b>99314 Estimated Allocation for the Region</b>	<b>\$</b>	<b>5,144</b>
<b>Total</b>	<b>\$</b>	<b>99,707</b>

**Contact Name:**

James Sookne

**Contact Phone Number:**

707-263-7868

**Contact Email:**

[jsookne@dbcteam.net](mailto:jsookne@dbcteam.net)

The 2019-20 Allocation Estimates can be found on the California State Controller's website:

[https://www.sco.ca.gov/ard\\_payments\\_transit\\_2019.html](https://www.sco.ca.gov/ard_payments_transit_2019.html)

**At the time of preparing this form the January 2019 allocation estimates were available. Note, we will update your allocation amounts once the SCO publishes the August allocation estimates.**

\*SGR allocation estimate letter dated January 31st:

[https://www.sco.ca.gov/Files-ARD-Payments/Transit/statetransitassistanceestimate\\_sgr\\_1920\\_january19.pdf](https://www.sco.ca.gov/Files-ARD-Payments/Transit/statetransitassistanceestimate_sgr_1920_january19.pdf)

\*\*STA allocation estimate letter dated January 31st:

[https://www.sco.ca.gov/Files-ARD-Payments/Transit/statetransitassistanceestimate\\_1920\\_january19.pdf](https://www.sco.ca.gov/Files-ARD-Payments/Transit/statetransitassistanceestimate_1920_january19.pdf)









# Lake Transit Authority

Lisa Davey-Bates, Executive Director

Administration  
525 S. Main Street, Ste. G  
Ukiah, CA 95482  
(707) 263-7868

Operations  
P.O. Box 698  
Lower Lake, CA 95457  
(707) 994-3384

August 2, 2021

Lisa Davey-Bates  
Executive Director  
Lake Area Planning Council  
525 S. Main St., Ste. G  
Ukiah, CA 95482

Subject: LTF Reserve Fund Claim

Dear Ms. Davey-Bates,

Lake Transit Authority (LTA) respectfully requests a temporary capital allocation in the amount of \$360,464 from the Lake Area Planning Council (APC) Local Transportation Fund (LTF) Reserve account. These funds would be used for cash-flow purposes to pay for three recently purchased buses using FTA 5339 funds. The reimbursement process for the FTA 5339 program takes approximately 60 days and once LTA receives the funds, they will be returned to the LTF Reserve account.

Approximately eighty percent of funds available to LTA for the purchase of replacement buses is received in arrears, creating a cash-flow issue similar to that of the operations budget that was discussed at the board meeting in February 2020. LTA considers this to be an unusual circumstance, making this an eligible request under the Reserve Fund policy.

Without this temporary allocation, LTA will be unable to pay the invoices for three new buses in a timely manner. I would be happy to discuss this further with you or the Lake APC Board. Please don't hesitate to let me know if you need any further information.

Sincerely,

James Sookne, Program Manager



## LAKE COUNTY/CITY AREA PLANNING COUNCIL STAFF REPORT

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**TITLE:** Meetings Attended by APC Staff

**DATE PREPARED:** August 3, 2021

**MEETING DATE:** August 11, 2021

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**SUBMITTED BY:** Lisa Davey-Bates, Executive Director

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**BACKGROUND:**

Since our last Lake County/City Area Planning Council (APC) meeting packet, Administration and Planning staff has attended (or will have attended) the following statewide and local meetings on behalf of APC:

1. Lake APC Meeting 6/2/21  
Teleconference/Zoom  
(Davey-Bates, Barrett, Pedrotti, Sookne, Speka, Casey, Parker)
2. SR53 Corridor Local Circulation Study Project w/Caltrans 6/7/21  
Teleconference/Zoom  
(Davey-Bates, Pedrotti, Casey)
3. Streetlight Data Overview 6/8/21  
Webinar  
(Davey-Bates, Barrett, Speka)
4. APC – Planning Coordination Meeting 6/8/21  
Teleconference/Zoom  
(All)
5. SR53 Corridor Local Circulation Study Project 6/9/21  
Teleconference /Zoom  
(Davey-Bates, Pedrotti, Casey)
6. District 1 – 2022 ITIP Discussion 6/9/21  
Teleconference/Zoom  
(Davey-Bates, Barrett)
7. Kiwanis – Presentation Regional Transportation Planning (RTP) 6/9/21  
Teleconference/Zoom  
(Speka)
8. Regional Early Action Planning (REAP) Meeting 6/9/21  
Teleconference/Zoom  
(Sookne, Speka)
9. California Transportation Federal Affairs Working Group 6/10/21  
Webinar  
(Davey-Bates, Barrett)
10. California Transportation Federal Affairs Working Group 6/10/21  
Zoom  
(Davey-Bates)

- |  |              |
|--|--------------|
| 11. MATH – Presentation Regional Transportation Planning (RTP)<br>Teleconference/Zoom<br>(Davey-Bates, Speka)                      | 6/10/21      |
| 12. Local Roads Safety Plan (LRSP) – TAG Meeting<br>Teleconference /Zoom<br>(Casey)  | 6/10/21      |
| 13. APC – Planning Coordination Meeting<br>Teleconference/Zoom<br>(All)  | 6/15/21      |
| 14. COVID – Travel Behavior<br>Webinar<br>(Casey)  | 6/17/21      |
| 15. APC – Planning Coordination Meeting<br>Teleconference/Zoom<br>(All)  | 6/22/21      |
| 16. RTPA Meeting<br>Webinar<br>(Davey-Bates, Barrett)  | 6/22/21      |
| 17. SR53 Corridor Local Circulation Study Project<br>Teleconference /Zoom<br>(Davey-Bates, Pedrotti, Casey)                        | 6/23/21      |
| 18. California Transportation Commission (CTC)<br>Webinar/ Sacramento<br>(Davey-Bates, Barrett)                                    | 6/23 – 24/21 |
| 19. SR53 Corridor Local Circulation Study Project Direction w/Consultant<br>Teleconference /Zoom<br>(Davey-Bates, Pedrotti, Casey) | 6/25/21      |
| 20. COG Director Association of California (CDAC) Meeting<br>Teleconference/Zoom<br>(Davey-Bates, Barrett)                         | 6/29/21      |
| 21. SR53 Corridor Local Circulation Study Project Corridor Concepts<br>Teleconference /Zoom<br>(Davey-Bates, Pedrotti, Casey)      | 6/30/21      |
| 22. SR53 Strategizing w/Caltrans<br>Teleconference<br>(Davey-Bates)  | 6/30/21      |

23. Caltrans D1 – Lake 29 Funding Discussion 7/2/21  
WebEx  
(Davey-Bates)
24. Caltrans Active Transportation (CAT) Plan Tag Meeting 7/6/21  
Teleconference/Zoom  
(Davey-Bates)
25. California Transportation Federal Affairs Working Group 7/8/21  
Teleconference/Zoom  
(Davey-Bates, Barrett)
26. Wildfire Evacuation Planning Grant Debrief 7/9/21  
Teleconference/Zoom  
(Davey-Bates, Speka)
27. Regional Transportation Planning (RTP) Check-In 7/13/21  
Teleconference/Zoom  
(Davey-Bates, Barrett, Sookne, Speka)
28. Regional Early Action Planning (REAP) Meeting 7/14/21  
Teleconference/Zoom  
(Sookne, Speka)
29. Caltrans D1 – Lake 29 Debrief 7/14/21  
Teleconference/Zoom  
(Davey-Bates)
30. Caltrans D1 – TDP Planning Grant Meeting 7/15/21  
Teleconference/Zoom  
(Davey-Bates, Pedrotti, Sookne, Speka)
31. RTP Presentation – Clearlake 7/15/21  
Teleconference/Zoom  
(Davey-Bates, Speka)
32. Rural Counties Task Force (RCTF) Meeting 7/16/21  
Teleconference/Zoom  
(Barrett)
33. Lucerne – Presentation Regional Transportation Planning (RTP) 7/16/21  
Teleconference/Zoom  
(Casey)
34. STIP Workshop 7/19/21  
Webinar  
(Casey)

- |   |         |
|---|---------|
| 35. SR53 Corridor Local Circulation Study Project<br>Teleconference /Zoom<br>(Davey-Bates, Casey)                               | 7/21/21 |
| 36. APC – Planning Coordination Meeting<br>Teleconference/Zoom<br>(All)   | 7/27/21 |
| 37. Lake County BOS – Presentation Regional Transportation Planning (RTP)<br>Teleconference/Zoom<br>(Davey-Bates, Speka, Casey) | 7/27/21 |
| 38. Regional Transportation Planning (RTP) w/Caltrans<br>Teleconference/Zoom<br>(Speka)   | 8/2/21  |
| 39. APC – Planning Coordination Meeting<br>Teleconference/Zoom<br>(All)   | 8/3/21  |
| 40. SR53 Corridor Local Circulation Study Project<br>Teleconference /Zoom<br>(Davey-Bates, Casey, Pedrotti)                     | 8/4/21  |
| 41. STIP Planning Meeting<br>Zoom<br>(Davey-Bates, Barrett, Casey)  | 8/4/21  |
| 42. Regional Transportation Planning (RTP) Check-In<br>Teleconference/Zoom<br>(Davey-Bates, Barrett, Sookne, Speka)             | 8/10/21 |
| 43. APC – Planning Coordination Meeting<br>Teleconference/Zoom<br>(All)   | 8/10/21 |

I will provide information to Board members regarding the outcome of any of these meetings as requested.

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**ACTION REQUIRED:** None.

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**ALTERNATIVES:** None identified.

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**RECOMMENDATION:** None. This is for your information only.



## LAKE COUNTY/CITY AREA PLANNING COUNCIL STAFF REPORT

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**TITLE:** Update on Various Grant Programs

**DATE PREPARED:** August 3, 2021

**MEETING DATE:** August 11, 2021

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**SUBMITTED BY:** John Speka, Senior Transportation Planner

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**BACKGROUND:** Below is a summary of current grant projects staff will be monitoring in the coming months.

**New Sustainable Transportation Planning Grants** – On June 22<sup>nd</sup>, Lake APC staff received an award notice for a Sustainable Transportation Planning Grant to update the 2015 Transit Development Plan (TDP). The TDP assists staff in identifying mobility improvements for transit dependent area residents and visitors. Aside from traditional fixed-route service improvements, the updated Plan will also look at less traditional options such as the potential for micro-transit and on-demand services, particularly for transit dependent users struggling with the regular fixed route options. The grant award is in the amount of \$103,580, with a local match of \$13,420, to complete the \$117,000 project.

A second application to fund a “Wildfire Evacuation and Preparedness Plan” for the region was not successful. The intention of this project was to provide a regional reference document to help ensure seamless coordination between agencies with respect to transportation and evacuation services, including OES, LTA and other potential providers. This is still believed to be an important study given the wildfire history of the County over the last several years and staff plans on resubmitting a revised version of the application for this year’s upcoming cycle.

**Federal Lands Access Program (FLAP)** – As noted at past APC meetings, staff had also assisted the City of Lakeport with an application to the Federal Lands Access Program (FLAP) for improvements to Martin Street as access through the City to Cow Mountain recreation facilities. That request is for \$2.13 million and award notifications won’t be made until Fall 2021.

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**ACTION REQUIRED:** For information and discussion purposes only.

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**ALTERNATIVES:** None

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**RECOMMENDATION:** None





## LAKE COUNTY/CITY AREA PLANNING COUNCIL STAFF REPORT

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**TITLE:** Draft 2022 Regional Transportation Improvement Program  
STIP Fund Estimate

**DATE PREPARED:** 8/4/2021  
**MEETING DATE:** 8/11/2021

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**SUBMITTED BY:** Danielle Casey, Project Coordinator

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**BACKGROUND:**

Each odd-numbered year we consider the programming of projects that are to be included in the State Transportation Improvement Program (STIP) that goes into effect July 1 of the following year. We do this by developing our Regional Transportation Improvement Program (RTIP) which programs our Regional Improvement Program (RIP) shares of funding as identified by the California Transportation Commission (CTC) in the Fund Estimate (FE).

The CTC has released the Draft Fund Estimate for 2022, the FE is expected to be approved by the CTC at the August 18-19, 2021 meeting. The Draft FE identifies a STIP programming target through FY 2026/27 of \$1,830,000. Of the \$1,830,000, \$137,000 are programmed for Planning, Programming and Monitoring leaving \$1,693,000 available for new or existing projects.

Funding distributions in the 2022 Regional Transportation Improvement Program will be reviewed and decided on by the TAC in the upcoming months. The final version of the RTIP will be presented to the APC Board for action by December.

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**ACTION REQUIRED:** For information and discussion purposes only.

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**ALTERNATIVES:** None

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**RECOMMENDATION:** None



## LAKE COUNTY/CITY AREA PLANNING COUNCIL STAFF REPORT

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**TITLE:** Regional Transportation Plan/Active Transportation Plan Update Process and Community Engagement      **DATE PREPARED:** August 3, 2021  
**MEETING DATE:** August 11, 2021

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**SUBMITTED BY:** John Speka, Senior Transportation Planner

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**BACKGROUND:** The Regional Transportation Plan (RTP) is a long-term planning document covering a 20-year time span. Required as part of the Transportation Development Act (TDA), it is intended to promote a safe and efficient transportation system for the movement of people and goods throughout the region. The primary purpose of the plan is to identify transportation needs and priority projects in all modes of transportation including streets, highways, bicycle and pedestrian facilities, aviation and transit. Updated every four years, the RTP covers present and future transportation needs, deficiencies and constraints, as well as providing estimates of available funding for future transportation projects in the region.

The Active Transportation Plan is more specific in that it focuses on non-motorized modes of transportation, such as biking and walking. By identifying and prioritizing “active transportation” projects in the region, the Plan helps to strengthen applications for funding through the state-level Active Transportation Program. An original Lake County Active Transportation Plan was adopted by the Lake APC in 2016, as a stand-alone document. It was also, however, incorporated into the 2017 update of the Regional Transportation Plan, serving as the Plan’s “non-motorized element” at that time. It will play the same role for this and subsequent updates of the RTP.

Public outreach and participation are important components of the update process. Previous RTPs were prepared after gathering input through in-person community workshops held at various locations throughout the County. This year, due to the ongoing pandemic, community engagement will be conducted virtually through a social engagement platform called Social Pinpoint. The site developed for the update process (<https://lakeapc.mysocialpinpoint.com/>) is interactive and allows for comments to be made on “pinnable” maps at specific locations of the public’s choosing. It also contains surveys and budget exercises in which participants can provide further information or project type preferences. Press releases, emails and flyers were distributed to advertise the site. An informational PowerPoint presentation has also been posted on YouTube to provide an overview of the process which can be viewed here- <https://www.youtube.com/watch?v=sIvcyvhgMqQ>.

To date, staff has made presentations to different community organizations, tribes, and local officials explaining the RTP/ATP process and its need for public input. These have included presentations to Lake County tribes at a quarterly meeting with Caltrans earlier in the year, the Lake County Kiwanis, the Middletown Area Town Hall (MATH), Lucerne Area Town Hall, the City Council of Clearlake, the Lake County Board of Supervisors, and a planned presentation to the Lakeport City Council later this month.

Lake APC staff continues to gather information and data for the individual elements and will be incorporating comments from local and state agencies along with those received from the public into a draft document, which is expected to come before the Board for final comment and adoption by November.

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**ACTION REQUIRED:** For information and discussion purposes only.

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**ALTERNATIVES:** None

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**RECOMMENDATION:** None



## LAKE COUNTY/CITY AREA PLANNING COUNCIL STAFF REPORT

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**TITLE:** Strategic Partnerships Planning Grant Update  
SR53 Corridor Local Circulation Study Project

**DATE PREPARED:** 8/4/2021  
**MEETING DATE:** 8/11/2021

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**SUBMITTED BY:** Danielle Casey, Project Coordinator

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**UPDATE:**

The SR53 Corridor Local Circulation Study conducted by TJKM is still in process. Due to project delays caused by the Coronavirus pandemic, the original contract schedule was modified in the middle of 2020, but was still projected to reach completion in June 2021. In May 2021, APC Staff spoke with TJKM project manager, Ruta Jariwala regarding the projected schedule. Both APC Staff and Ms. Jariwala agreed to extend the contract because of additional delays that have occurred in late 2020 and early 2021. Over the past few months many discussions have taken place regarding the scope of the project, and the new schedule to be implemented in the contract extension.

At the time of this writing, APC Staff is waiting for a new schedule from TJKM and Quincy in order to extend the contract. APC Staff will share the new schedule in future staff reports.

Grant funds for this project expire June 2022.

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**ACTION REQUIRED:** For information and discussion purposes only.

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**ALTERNATIVES:** None

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**RECOMMENDATION:** None



## LAKE COUNTY/CITY AREA PLANNING COUNCIL STAFF REPORT

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**TITLE:** Local Road Safety Plan Update

**DATE PREPARED:** 8/4/2021

**MEETING DATE:** 8/11/2021

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**SUBMITTED BY:** Danielle Casey, Project Coordinator

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**UPDATE:**

The Local Road Safety Plan for the Cities of Clearlake and Lakeport are being developed by Headway Transportation, LLC. Studies are proceeding on schedule. At the time of this writing, Headway is preparing for the third Stakeholder Working Group meeting which is expected to meet later this month.

The Stakeholder Working Group is comprised of Headway Staff, APC Staff, Caltrans, Lake Transit Authority (LTA), City of Clearlake Staff, Clearlake Police Department, City of Lakeport Staff and Lakeport Police Department. If additional meetings are needed those will be scheduled in the future.

Local Road Safety Plans are expected to be complete by April 2022, in time for HSIP Applications – which will require the LRSP's to be eligible for funding.

The total amount of money available for the LRSP is \$80,000 for Lakeport and \$50,000 for Clearlake.

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**ACTION REQUIRED:** For information and discussion purposes only.

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**ALTERNATIVES:** None

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**RECOMMENDATION:** None



## LAKE COUNTY/CITY AREA PLANNING COUNCIL STAFF REPORT

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**TITLE:** Innovative Concept Submittals

**DATE PREPARED:** August 3, 2021

**MEETING DATE:** August 11, 2021

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**SUBMITTED BY:** Lisa Davey-Bates, Executive Director

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**BACKGROUND:**

In preparation for potential federal funding proposed in the Biden Administration's American Jobs Plan, Caltrans initiated a call for proposals for innovative Concepts that align with statewide priorities, articulated in the 2050 California Transportation Plan (CTP), Climate Action Plan for Transportation Infrastructure (CAPTI), and Caltrans Strategic Plan.

The call for "Innovative Concepts" was an opportunity for California to identify future transportation investments that align with statewide priorities. Attached to this staff report you will find the Innovative Concepts Fact Sheet as well as all three proposals that were submitted by staff:

- Development and construction of the Bridge Arbor Bikeway
- A pilot project providing ferry service on Clear Lake
- Installation of electric charging stations and new electric buses

There was a very quick turn around requirement for the proposals, therefore staff reviewed potential projects that would fit within the constructs of this potential funding opportunity and submitted to Caltrans on July 23, 2021.

Whether submitted concepts are selected for further development or not, Caltrans will follow up with all concept applicants.

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**ACTION REQUIRED:** None.

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**ALTERNATIVES:** None identified.

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**RECOMMENDATION:** None. This is for your information only.

## CALL FOR INNOVATIVE CONCEPTS

### INTRODUCTION

The Biden Administration's, American Jobs Plan is proposing a "once in a generation" investment in our national infrastructure, and California's transportation system could be one of the greatest beneficiaries of new federal funds. California needs to be prepared to lead and guide these investments.

To meet that challenge, we need to develop a new pipeline of projects that infuses creative and innovative ideas. The call for Innovative Concepts is aimed at restarting conversations with our partners about the possibilities that California wants to achieve. Innovative Concepts will help kickstart different kinds of solutions that can be used to benefit all of California's communities.

In preparation for potential federal funding proposed in the Biden Administration's American Jobs Plan, Caltrans HQ is seeking proposals for innovative concepts that will align with statewide priorities, articulated in both the Climate Action Plan for Transportation Infrastructure (CAPTI) Investment Framework and the California Transportation Plan 2050 (CTP):

"CalSTA will implement the Executive Orders within the existing framework and goals set forward in the California Transportation Plan (CTP) 2050. The California Transportation Plan is the state's broad vision for the future of the transportation system in California, with a focus on advancing equity and climate priorities by expanding travel options for all Californians." – Draft CAPTI

This call for innovative concept proposals from Caltrans Districts, Metropolitan Planning Organizations (MPOs), Regional Transportation Planning Agencies (RTPAs), and local/regional transit agencies is intended to lead to a new pipeline of potential implementable projects, demonstration projects, pioneering processes, and pilot programs. Caltrans districts are highly encouraged to coordinate with their partners to develop truly innovative concepts that are aligned with statewide priorities (Figure 1).

Proposals will be evaluated by Caltrans HQ Innovative Concepts Workgroup. This workgroup will review to confirm alignment with statewide priorities and provide support to the applicants in advancing the most transformative proposals by providing guidance, support, and if feasible, resources to implement proposal ideas.

FIGURE 1 STATEWIDE PRIORITIES

CALSTA PRIORITIES	CALTRANS STRATEGIC PLAN	CALTRANS PRIORITIES	STATEWIDE PLANS
<ul style="list-style-type: none"> <li>•Climate Action Plan for Transportation Infrastructure (CAPTI)                             <ul style="list-style-type: none"> <li>•EO N-19-19</li> <li>•EO N-79-20</li> </ul> </li> <li>•Sustainable Freight                             <ul style="list-style-type: none"> <li>•EO B-32-15</li> </ul> </li> <li>•Broadband                             <ul style="list-style-type: none"> <li>•EO 73-20</li> </ul> </li> <li>•Race and Equity                             <ul style="list-style-type: none"> <li>•CalSTA Statement on Racial Equity, Justice and Inclusion in Transportation</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>•Safety first.</li> <li>•Cultivate excellence.</li> <li>•Enhance and connect the multimodal transportation network.</li> <li>•Strengthen stewardship and drive efficiency.</li> <li>•Lead climate action.</li> <li>•Advance equity and livability in all communities.</li> <li>•Caltrans Equity Statement</li> </ul>	<ul style="list-style-type: none"> <li>•Safety</li> <li>•Modality</li> <li>•Innovation</li> <li>•Efficiencies</li> <li>•Partnerships/Stakeholder Engagement</li> </ul>	<ul style="list-style-type: none"> <li>•California Transportation Plan 2050</li> <li>•California Interregional Transportation Strategic Plan</li> <li>•California Freight Mobility Plan</li> <li>•California State Rail Plan</li> <li>•California Aviation System Plan</li> <li>•Statewide Transit Strategic Plan</li> <li>•California State Bicycle and Pederstian Plan</li> </ul>

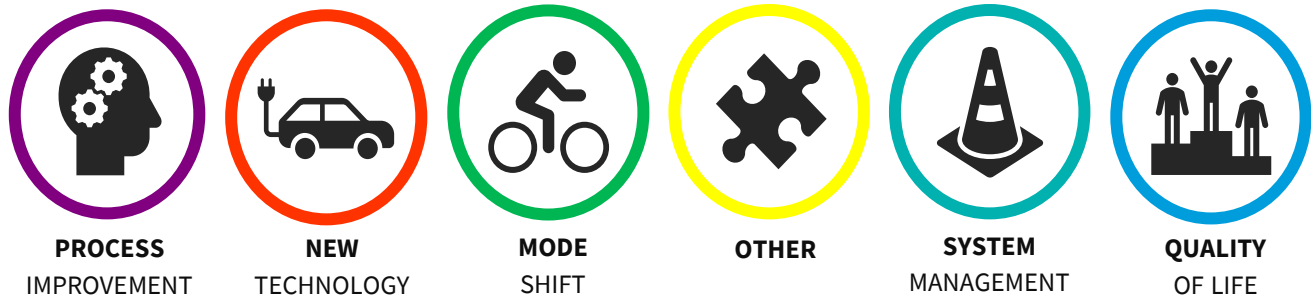
Considering the CAPTI, CTP 2050, and the Strategic Plan (SP) goals and recommendations – as a guiding principle for concept ideas, strong proposals should continue to bridge gaps and align planning policy.

### HQ INNOVATIVE CONCEPTS WORKGROUP

Caltrans Division of Transportation Planning (DOTP) under the direction of the Deputy of Planning and Modal Programs, Jeanie Ward-Waller, will take the lead in developing the diverse HQ Workgroup consisting of DOTP; Division of Rail and Mass Transit; Traffic Operations; Division of Research, Innovation, and System Information; Programming; Sustainability; and Caltrans Office of Race and Equity. The HQ Workgroup will lead in the development of a process framework, concept evaluation, the discussion surrounding the promotion of proposals, and working with applicants on an implementation path.

Project proposal topics will be cataloged by theme to streamline the management review process (figure 2):

FIGURE 2 PROPOSAL THEMES\*



\*THEMES ARE SUBJECT TO CHANGE

## CONCEPT CRITERIA

When developing project proposals, specify how you would define your transportation solution. Would you categorize your idea as a study, pilot project, or implementable project? Perhaps your idea is something different altogether. Your innovative solution should have an objective beyond a needs-based approach.

Consider building on topics that support the following:

- Providing seamless, affordable, multimodal travel options in all contexts (rural & urban) to all users
- Support investment in Zero Emission Vehicle (ZEV) infrastructure
- Developing a zero-emission freight transportation system
- Advancing social and racial equity
- Make safety improvements to reduce fatalities and severe injuries of all users towards zero
- Reduce Vehicle Miles Traveled (VMT) and passenger vehicle travel
- Provide alternatives to highway capacity expansion
- Assess physical climate risk
- Promote compact infill development
- Protect natural and working lands from conversion to more intensified uses

## TIMELINE

\*TIMELINE SUBJECT TO CHANGE

April 23 - Formed and held first meeting with HQ divisions to develop scope of call for concepts.

May 14 - Kick off with the Planning District Deputy Directors to introduce the topic and invite proposals.

May 27 – Held two-hour statewide workshop with the districts.

July 16 – Proposals due to HQ from districts and partners.



TBD - HQ will review proposals and work with districts on a path to implementation.

### POTENTIAL TOPIC IDEAS

- State highway bus only lanes
- Transformative active transportation projects on a regional scale
- Micro-transit and vanpool opportunities
- ZEV bus charging
- Highways to Boulevards
- Pricing Implementation
- Extend previous pilot projects such as e-highway (catenary), inland shipping, etc.
- New proposals for transit efficiencies, freight efficiencies, international border, micro mobility
- California Sustainable Freight Action Plan initiatives such as green short line rails, tugboats, alternate fuels

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Thank you for submitting your Innovative Concepts proposal. A copy of your completed proposal has been included below for your records.

For questions, comments, and or concerns please contact:  
[Ryan.Carrillo-Kovach@dot.ca.gov](mailto:Ryan.Carrillo-Kovach@dot.ca.gov)

## Innovative Concepts Proposal

**Submission Date** 07/23/2021

**First Name** Lisa

**Last Name** Davey-Bates

**Contact Email** [ldaveybates@dbcteam.net](mailto:ldaveybates@dbcteam.net)

**Agency Type** Partner

**Partner Agency** Lake Area Planning Council

**Innovative Concept Solution** The Bridge Arbor Bikeway is a project that will transform Lake County, as it will provide a safe and pleasurable route for commuters wishing to leave their car at home and hop on a bike to commute to and from work. It will also provide a facility for recreational purposes for those that enjoy being outdoors. There are currently no facilities like this in Lake County. There is a growing interest in bicycling and walking for commuting, for recreation, and for other trip purposes. Currently this activity occurs on highspeed roadways, such as State Route 29 and State Route 20. Both safety and efficiency can be impaired because of the mixture of motorized and non-motorized modes of travel. Construction of bikeways or pedestrian walkways can promote safety, active lifestyles, and recreational opportunities while enhancing capacity.

This project consists of the development and construction of both Class 1 and Class 3 bikeways between the Nice-Lucerne Cutoff at Westlake Drive and extends to the Bridge Arbor North/State Route 20 intersection at the Town of Upper Lake. The total project length is approximately 3.4 miles.

At the southerly end of the project (Segment 1), two existing County Maintained Roads (Westlake Drive, Bridge Arbor Road) will require only minor improvements such as “Bike Route” and/or “Share the Road” sign installations. Minor shoulder improvements and new pavement markings may also be included in this segment.

Segment 2 begins at Bridge 14C-19 (Closed due to structural deficiencies) and extends north along Bridge Arbor Road approximately .34 miles. This segment is currently paved with asphalt, but was closed to vehicular traffic because of vandalism and illegal dumping at the Bridge Arbor Fishing Access Area.

Segment 3 will provide for the construction of a pre-engineered pedestrian and bicycle bridge spanning Middle Creek approximately 300-feet south of the confluence of Scotts Creek and Middle Creek. The Railspan bridge will likely be constructed in four segments and connect Bridge Arbor Road with an existing levee parallel to Middle Creek. All of the piers supporting the bridge will be constructed beyond the limits of the existing creek channel.

Segment 4 will include construction of the bikeway along the creek side of the existing levee between the pedestrian/bicycle bridge and Bridge Arbor North, a distance of approximately .72 miles. This segment will be improved to a Class I bikeway standard with an asphalt or chip seal surface. Fencing along the toe of the levee will be required to restrict access to the top of the levee.

Segment 5 is an existing paved County Maintained road (Bridge Arbor North) and extends from the existing levee to State Route 20 directly across from Main Street, Upper Lake. Improvements to this segment will be minimal and will include “Share the Road” and/or “Bike Route” signs to designate this segment as a Class III bike route.

**Innovative  
Concept  
Summary**

This project would create the mode shift that will help improve quality of life in the disadvantaged communities of Lake County. This bicycle and pedestrian path would create an additional method for system users to commute to the county seat of Lakeport. There are few pedestrian or active transportation projects in Lake County because large swaths of land throughout the county are privately owned and cities and towns in Lake County are spread apart. The rural nature of the county means that most citizens use private motorized vehicles or transit to move about. This path would provide a

mode shift which would decrease vehicular traffic on Highways 20 and 29 and provide a safe path for bicyclists and pedestrians. Lake County is already a great place for bicycles, as evidenced by the popular “pedal around the puddle” event, where participation seems to grow each year. Its physical beauty, relatively mild climate and abundance of wildlife, makes Lake County ideal for bicycle transportation. This project will attract both residents and visitors to live, work and play.

**Links**

**Excluding costs, are there potential known barriers to your concepts delivery?**

No

**Concept Scope Criteria**

Deliverable Project

**Process in place**

No

**Concept Theme**

Mode Shift

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Ryan.Carrillo-Kovach@dot.ca.gov

## Innovative Concepts Proposal

**Submission Date** 07/23/2021  
**First Name** Lisa  
**Last Name** Davey-Bates  
**Contact Email** ldaveybates@dbcteam.net  
**Agency Type** Partner  
**Partner Agency** Lake Transit Authority

**Innovative Concept Solution** In collaboration with its transportation partners, the Lake Transit Authority proposes to establish a waterborne transportation service on Clear Lake, in Lake County, California. Clear Lake is the largest natural freshwater lake within the state, with 68 square miles of surface area. It is the oldest lake in North America and is 19 by 8 miles at its widest point. The lake presents transportation challenges because of its size and geographical location. That said, Clear Lake is a wonderful resource to Lake County and could provide a new mode of transportation that would be beneficial for commuters, and recreational purposes.

Clear Lake has been identified as an impaired water body under the Clean Water Act, indicating that it does not comply with applicable water quality standards. As such, taking measures to reduce the number of pollutants flowing into the lake by reducing the amount of vehicular traffic on the road network would be beneficial to the lake's health and vitality.

Demographically, Lake County has some of the lowest income levels in the State, and highest percentages of elderly and disabled populations. Many residents are dependent upon public transit, and often times do not own a vehicle. The majority of the County's population reside along the shoreline.

Clearlake and Lakeport are the two population centers, and account for approximately 32% of the total population.

For decades, the County has been considering opportunities for utilizing waterborne transportation in Lake County. In 1986, a study was conducted to determine the feasibility of implementing a ferry system on Clear Lake which would reduce demand on the state highway system and complement intercity transit service.

Lake Transit Authority operates intercity bus route service from Clearlake to Lakeport Monday – Saturday, from approximately 6:00am to 9:30pm. Dial-A-Ride service is also available in both cities during the same days and hours as the local bus routes. These services would often serve as last-mile transportation options that would meld nicely with the new ferry service.

State Route 20 is a 23-mile long segment along the north shore of Clear Lake and was designated a Pedestrian Safety Corridor in 2007 through a collaborative effort between Caltrans, CHP, and local business and restaurants. The proposed waterborne transportation service would provide mode-shift opportunities, thereby reducing vehicular traffic along the north shore of Lake County, providing a safer corridor for pedestrian and bicycle use.

Further preliminary planning would be conducted to investigate environmental concerns, vessel options and operational factors such as ferry service areas, hours of operation, revenue projections and costs of service.

This innovative and new waterborne transportation option would provide a long-term transportation solution that is aligned with California’s goal of providing a safe, resilient, and universally accessible transportation system that supports vibrant communities, advances racial and economic justice, and improves public and environmental health.

**Innovative  
Concept  
Summary**

Lake Transit Authority proposes to implement a new ferry service to improve the quality of life for users of the transportation system in Lake County. Clear Lake is a natural resource that could improve system management, create the opportunity for mode shift to improve access to destinations, improve transportation options within disadvantaged communities, and protect and enhance Lake County’s historic and natural resources.

**Links**

**Excluding costs, are there potential known barriers to your concepts delivery?**

No

<b>Concept Scope Criteria</b>	Pilot Project
<b>Process in place</b>	Not Applicable
<b>Concept Theme</b>	System Management

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Ryan.Carrillo-Kovach@dot.ca.gov

## Innovative Concepts Proposal

**Submission Date** 07/23/2021  
**First Name** Lisa  
**Last Name** Davey-Bates  
**Contact Email** ldaveybates@dbcteam.net  
**Agency Type** Partner  
**Partner Agency** Lake Transit Authority

**Innovative Concept Solution** In coordination with their transportation partners, Lake Transit Authority (LTA) proposes to install DC Fast Chargers at their operations and maintenance facility in Lower Lake and at the corporate yard of one of their partners in the City of Lakeport, in which both locations are in economically disadvantaged areas of rural Lake County. As part of the project, LTA will procure electric buses to replace fossil-fuel powered buses currently used on local and most intercity routes. The addition of fast chargers to the corporate yard will also help that agency electrify their fleet.

This project will complement LTA's new transit center in Clearlake and help LTA achieve the goal of being a clean, carbon neutral transit system. The addition of electric buses and charging infrastructure will allow LTA to deploy zero-emission buses (ZEBs) on local routes in Clearlake and Lakeport as well as the intercity routes between the two cities. Through the deployment of zero-emission technologies, LTA will provide the following benefits across the Lake County region:

- Reduce GHG emissions in transit-dependent and disadvantaged communities
- Save energy and reduce dependency on fossil fuels



- Help expand the zero-emission vehicle industry to bring new jobs to the local communities
- Provide additional societal benefits by encouraging improved mobility and connectivity with zero-emission transportation modes and reduced growth in vehicle miles traveled (VMT)

This project is also consistent with the following:

- CalSTA priorities EOs N-19-19 and N-79-20
- Innovative Clean Transit (ICT) regulations
- Caltrans Strategic Plan
  - Enhance and connect the multimodal transportation network
  - Advance equity and livability in all communities
- Caltrans priorities
  - Modality
  - Efficiencies
  - Partnerships/Stakeholder Engagement
- Transit and Overarching Goals and Policies of the Regional Transportation Plan for Lake County

**Innovative Concept Summary**

The installation of DC fast chargers and procurement of electric buses will enable Lake Transit Authority to deploy zero-emission buses on most routes within the transit system; helping LTA achieve the goal of being a clean, carbon neutral transit system. This project will also reduce GHG emissions in transit-dependent and disadvantaged communities, reduce LTA's dependency on fossil fuels, help increase the workforce, and encourage improved mobility and connectivity with zero-emission transportation modes and reduced VMT.

**Links**

**Excluding costs, are there potential known barriers to your concepts delivery?**

No

**Concept Scope Criteria**

Deliverable Project

**Process in place**

Yes

**Concept Theme**

System Management

# *Information*

# *Packet*

# ACTIVE TRANSPORTATION PLAN 2021



## AT A GLANCE



### LOCATION

The Plan covers all state highways in Del Norte, Humboldt, Lake, and Mendocino Counties



### PUBLIC ENGAGEMENT

468 people identified 1,464 walking or bicycling needs



### SCHEDULE

8/16: Draft Plan posted  
9/3: Comments due  
10/31: Final Plan posted



### MORE INFORMATION

[www.catplan.org/district-1](http://www.catplan.org/district-1)



### QUESTIONS

Alexis Kelso  
[alexis.kelso@dot.ca.gov](mailto:alexis.kelso@dot.ca.gov)  
707-498-0536



## WHAT IS THE DISTRICT 1 ACTIVE TRANSPORTATION PLAN?

The District 1 Active Transportation Plan is part of a comprehensive effort to identify locations with bicycle and pedestrian needs in each Caltrans district across California. This Plan identifies challenges to people's ability to walk, cycle, and reach transit on the state highway system in Del Norte, Humboldt, Lake, and Mendocino Counties.

## WHAT'S INSIDE THE PLAN?

The Plan identifies pedestrian and cyclist needs on and across the state highway system and prioritizes highway segments and crossings to inform future investments. The Plan's main output is a list and map of location-based needs and prioritized highway segments.

The Plan also includes information on statewide context, public engagement, walking and cycling in District 1 today, and next steps.

## HOW CAN I REVIEW THE PLAN AND PROVIDE COMMENTS?

The Plan has two elements--a Summary Report and a Story Map. The Summary Report provides an overview of the planning process and some key context and findings. The Story Map provides an opportunity to view and interact with a series of maps that highlight the pedestrian and bicycling issues, needs, and opportunities described in the Summary Report.

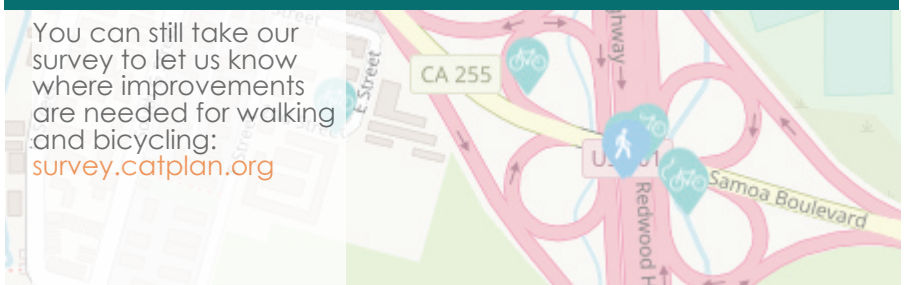
Access the  
Summary Report and Story Map at  
[www.catplan.org/district-1](http://www.catplan.org/district-1)  
Links will be posted by August 16, 2021.

Submit comments to Alexis Kelso by  
September 3, 2021  
by email ([alexis.kelso@dot.ca.gov](mailto:alexis.kelso@dot.ca.gov))  
or phone (707-498-0536).



## I KNOW A LOCATION THAT NEEDS IMPROVEMENT!

You can still take our survey to let us know where improvements are needed for walking and bicycling:  
[survey.catplan.org](http://survey.catplan.org)





# TRANSPORTATION FUNDING IN CALIFORNIA 2020

California Department of Transportation | Division of Transportation Planning | Transportation Economics Branch



### *Disclaimer*

This guide provides an overview of transportation funding sources and apportionments to entities and programs. The information stated in this document should not be used for accounting purposes, as some figures are drawn from sources with varying accounting practices. Any stated financial figures are subject to change. The latest version of this document can be viewed online at <https://dot.ca.gov/programs/transportation-planning/economics-data-management/transportation-economics/transportation-funding-in-ca>

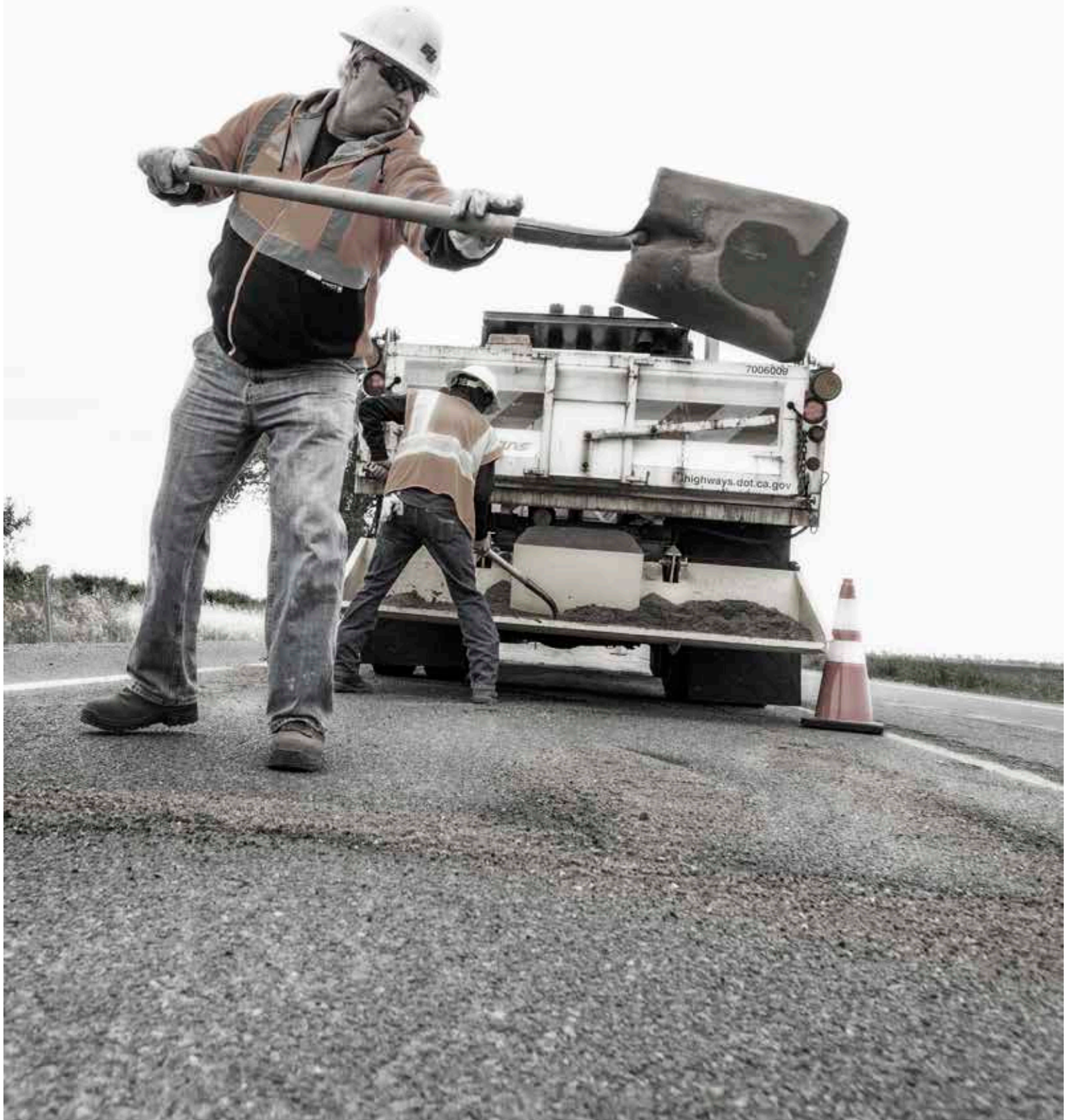
# TRANSPORTATION FUNDING IN CALIFORNIA 2020



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Division of Transportation Planning | Office of Transportation Economics





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# AN OVERVIEW OF THE TRANSPORTATION SYSTEM

California’s transportation network consists of streets, highways, railways, airports, seaports, bicycle routes, and pedestrian pathways. This network provides people and businesses the ability to access destinations and move goods, services, and information throughout the State. Construction, operation, and maintenance responsibilities are shared amongst State, regional, tribal and local governments. Moreover, funding for these activities comes from federal, State, and local taxes, fees and assessments, private investments and tribal investments. This collaborative effort results in a well-integrated transportation network that provides mobility for 40 million people, while helping California sustain its position as the world’s fifth largest economy.

## ■ The State Highway System and Local Roadways and Streets

Over 27 million licensed drivers in California travel hundreds of billions of miles, annually, on public roads throughout the State. The California Department of Transportation (Caltrans) is responsible for approximately 52,265 lane miles of interstate freeways and State routes known as the State Highway System (SHS). Caltrans also inspects hundreds of public and special use airports and heliports (Chart 17) and maintains over 13,000 state-owned bridges (Chart 19).

Metropolitan planning organizations (MPOs) and regional transportation planning agencies (RTPAs) are responsible for planning, coordinating, and financing local transportation projects. Regional agencies and local governments operate and maintain approximately 329,500 lane miles of public roads and streets.

## ■ Public Transit

Over 400 transit operators serve more than 1.2 billion passenger trips (2019) in California annually. These operators provide services such as fixed-route buses, dial-a-ride programs, local and express commuter services, ferry, and paratransit. Local governments, regional agencies, tribal governments, and federal and State agencies operate or finance public bus or rail services (Charts 12 and 13). Commuter rail services such as Metrolink, Caltrain, and heavy rail systems like BART operate in large urban areas, servicing daily commuters and interregional travelers. In addition, local and regional transit agencies operate six light rail systems, providing regional service for daily

commuters. Caltrans funds three intercity routes—the Pacific Surfliner, the San Joaquin, and the Capitol Corridor. These three routes are managed by local joint power authorities.

## California Roadways

	SHS	Local
Lane-Miles	52,265	329,500
Total Annual Vehicle Miles of Travel (billion)	192	154
Percent Annual Vehicle Miles of Travel	55%	45%

2018 California Public Road Data, Statistical Information derived from the Highway Performance Monitoring System (HPMS)

## ■ Other Modal Services

State, regional, local, tribal, and private entities operate and maintain airports, seaports, railways, ferry terminals, bicycle routes, and pedestrian pathways. These modes provide Californians options to travel long or short distances. California’s economy relies on the network to move people and goods through the air, water, rail, or roadway. In 2019, California exported \$173 billion in goods to 229 foreign economies. Top foreign economies included Mexico, Canada, China, Japan, and South Korea.

# THE TRANSPORTATION SYSTEM'S DECISION MAKERS

Federal, State, regional, local, and tribal government entities guide and fund the transportation network through coordination, planning, construction, operation, and maintenance activities.

## ■ Federal Level

The President and Congress enhance the nation's transportation network by creating national policies and allocating funds to states. This effort is carried forward through the Fixing America's Surface Transportation (FAST) Act (2015) authorization and various funding programs such as the Better Utilizing Investments to Leverage Development (BUILD) (formerly known as the Transportation Investment Generating Economic Recovery (TIGER)), the Infrastructure for Rebuilding America (INFRA) (formerly known as the Fostering Advancements in Shipping and Transportation for the Long-term Achievement of National Efficiencies (FASTLANE)), and the Surface Transportation Block Grant Program (formerly known as the Transportation Alternatives Program). The FAST Act is set to expire on September 30, 2020. The United States Department of Transportation (U.S. DOT) implements and enforces regulations and allocates funds to state, regional, tribal, and local agencies. The U.S. DOT is comprised of agencies that are responsible for specific transportation themes such as highways, transit, aviation, safety, and other emphasis areas. Caltrans partners with the Federal Highway Administration (FHWA), the Federal Transit Administration (FTA), the Federal Railroad Administration (FRA), and other federal agencies.

## ■ State Level

At the State level, transportation is a coordinated effort amongst the California State Legislature, California State Transportation Agency (CalSTA), California Transportation Commission (CTC), and Caltrans.

### *California State Legislature*

The Legislature signifies its transportation initiatives and spending priorities by establishing policies and financial resources through State statutes such as the Revenue and Taxation Code, the Streets and Highways Code, and the Government Code. The Governor and Legislature appropriate funds for the transportation network through the annual budget. The Legislature has the authority to designate transportation resources statutorily. For more information visit: <http://leginfo.legislature.ca.gov>.

### *California State Transportation Agency*

CalSTA's mission is to "develop and coordinate the policies and programs of the State's transportation entities to achieve the State's mobility, safety and air quality objectives from its transportation system." CalSTA oversees the Board of Pilot Commissioners, California Highway Patrol, CTC, Caltrans, Department of Motor Vehicles, New Motor Vehicle Board, High-Speed Rail Authority, and the Office of Traffic Safety. For more information visit: [www.calsta.ca.gov](http://www.calsta.ca.gov).

### *California Transportation Commission*

CTC consists of 11 appointed voting members and two non-voting ex-officio members. The Governor appoints nine members, and the Senate Rules Committee and the Speaker of the Assembly each appoint one member. CTC's responsibilities include 1) programing and allocating State and federal funds for the construction of various modes such as highway, passenger rail and transit improvements throughout California, 2) advising and assisting the Secretary of Transportation and the California State Legislature regarding policies, plans, and programs pertaining to transportation, and 3) aiding in the development of State and federal legislation and adopting policies to implement enacted laws. For more information visit: [www.catc.ca.gov](http://www.catc.ca.gov).

### *Caltrans*

Caltrans plans, designs, constructs, and maintains the SHS to account for motor vehicles, transit and active transportation modes. This effort involves nominating interregional capital improvement projects to the CTC for construction. Caltrans also collaborates and partners with public and private entities such as the federal, State, regional, tribal governments, and Amtrak to advance the transportation network. For more information visit: [www.dot.ca.gov](http://www.dot.ca.gov).

## ■ Tribal Governments

There are 109 federally recognized tribes, and many non-recognized tribes, located within the State that have transportation needs. Tribal governments establish plans and policies that are used to prioritize projects through tribal transportation improvement plans, making them eligible for federal funding (Chart 24). Tribes often leverage funding by collaborating with the State, regional, or local planning agencies on projects of mutual interest through their planning processes, and long-range transportation planning documents.

## ■ Regional Level

The MPOs, RTPAs, and local governments maintain public streets and roads and allocate resources to the SHS. These entities collaborate with federal and State agencies to meet transportation mandates and implement the objectives of policymakers on behalf of the public.

### *Metropolitan and Regional Planning Organizations*

Under federal law (Title 23 United States Code Section 134), there are 18 MPOs in California with populations greater than 50,000 people. In addition, California has designated 26 RTPAs with populations less than 50,000 people (CA Government Code Section 29532 et. seq.). These regional agencies are responsible for planning, coordinating, and administering federal, State, and local funds that enhance their region's multimodal transportation network. Each agency is responsible for developing an overall work program (an annual document), a regional transportation plan (a 20-year planning and programming document), and a regional transportation improvement program (a 5-year financial document) that is included in Caltrans' State Transportation Improvement Program. For more information visit: <https://dot.ca.gov/programs/transportation-planning/regional-planning/federal-state-planning-program>.

### *Local Government Level*

California has 482 incorporated cities and 58 counties; each local government has authority over its roads, streets, and land-uses within its jurisdictional boundary. Local governments and transit operators nominate transportation projects for funding to their metropolitan or regional transportation planning organizations. County transportation authorities are responsible for developing expenditure plans for self-imposed, voter-approved, local sales tax measures.





# TRANSPORTATION FUNDING SOURCES

California’s transportation network receives funding from federal, State, local, and tribal governments, and private revenue sources (Chart 1). Federal, State, and local revenues are collected through: 1) user fees and taxes, 2) property access charges, and 3) subsidies. Regional and local governments provide half of California’s transportation funding, whereas, the federal and State governments each provide roughly a quarter of the remaining amount. Caltrans’ Division of Budgets reports that the State’s motor vehicle fees and taxes, alone, will generate approximately

\$17.6 billion (Estimate is prior to COVID-19) in transportation revenues for Fiscal Year (FY) 2020-21 (Chart F, 2020-21 California Transportation Financing Package). The passage of the Road Repair and Accountability Act (2017), also known as California Senate Bill (SB) 1, is expected to provide California over \$5 billion in additional transportation funding annually by increasing motor (gasoline and diesel) fuel tax rates and creating new fee mechanisms. SB 1 will adjust for inflation starting 2020.

## Transportation Funding Sources

<b>User Taxes and Fees</b>	<ul style="list-style-type: none"> <li>» Federal and State gasoline or diesel taxes</li> <li>» Vehicle weight fees (debt service)</li> <li>» Tolls</li> <li>» Transportation Improvement Fee</li> <li>» Zero-Emission Vehicle Registration Road Improvement Fee</li> <li>» Other various fees</li> </ul>
<b>Property Related Charges</b>	<ul style="list-style-type: none"> <li>» Property taxes</li> <li>» Benefit assessment districts</li> <li>» Developer fees</li> </ul>
<b>Subsidies</b>	<ul style="list-style-type: none"> <li>» Sales taxes</li> <li>» General Funds provided by federal, State, and local governments</li> <li>» Externalized Costs</li> </ul>

Source: The Santa Clara Valley Transportation Authority: Introduction to Transportation Funding

## ■ Federal Funds

### *Federal Fuel Excise Tax*

The Internal Revenue Service collects this tax—18.4¢/gallon gasoline and 24.4¢/gallon diesel fuel—and deposits it into the Highway Trust Fund (HTF).

- Approximately 85 percent of the HTF account goes into the Highway Account. FHWA appropriates funding to each state for specific purposes (Chart 22).
- The remaining 15 percent of the HTF account goes into the Transit Account. The FTA allocates this funding to regional agencies and local transit providers in each state for specific transit purposes (Chart 23).
- California receives most of its federal tax contributions through the Federal Obligation Authority (OA).

For more information visit: [www.fhwa.dot.gov/policy/olsp/fundingfederalaid](http://www.fhwa.dot.gov/policy/olsp/fundingfederalaid).

## ■ State Funds

### State Fuel Excise Tax

Beginning July 1, 2020, state fuel excise taxes are subject to annual inflation rate adjustments. The inflation adjusted rates for FY 2020-21 are 50.5¢/gallon on gasoline and 38.5¢/gallon on diesel fuel. State Fuel Excise Tax revenues (Chart 2) are shared between the State Highway Account (SHA) and the Road Maintenance & Rehabilitation Account (RMRA), and local entities, according to a statutory formula (Chart 4), while also backfilling the truck weight fee revenue.

Under Article XIX of the California Constitution, revenues raised from taxes and fees must be spent on transportation improvement efforts. In addition, SB 1 mandates implementation of cost savings and accountability practices such as streamlining the environmental process, identifying specific performance measures, and improving transportation investment reporting accuracy.

The excise tax on gasoline is comprised of two taxes:

- For FY 2020-21, the inflation adjusted base gasoline excise tax is 32¢/gallon. This rate will be adjusted annually for inflation. Of the total 32¢/gallon, 19.2¢ is split as follows: cities and counties receive approximately 36 percent of this revenue, while the remaining 64 percent goes to the SHA. The remaining 12.8¢ is deposited directly into the RMRA (Chart 2).
- The incremental excise tax (formerly known as the price-based excise tax) for FY 2020-21 is 18.5¢/gallon. This rate will be adjusted annually for inflation. This revenue is first used to backfill weight fees. Any remaining funds are allocated among local roadways (44 percent), new construction projects (STIP, 44 percent), and highway maintenance and rehabilitation (SHOPP, 12 percent).

For FY 2020-21, the State's diesel excise tax is 38.5¢/gallon (Chart 3). This rate will be adjusted annually for inflation. Pursuant to SB 1, the diesel sales tax was increased by 4 percent on November 1, 2017.

The State also collects excise taxes on general aviation and aircraft jet fuel (Chart 17).

<sup>1</sup> [www.cdtfa.ca.gov/formspubs/1504.pdf](http://www.cdtfa.ca.gov/formspubs/1504.pdf)

### Vehicle Taxes and Fees

SB 1 created two new transportation funding mechanisms—the transportation improvement fee and the zero-emission vehicle registration fee:

- The Transportation Improvement Fee (TIF) charges vehicle owners an annual fee based on the current market value of a vehicle—for calendar year 2020, the TIF ranges from \$27 to \$188—at the same time vehicle registration fees are due. This fee is used to fund transportation related purposes and is adjusted annually for inflation on January 1, every year based on the California Consumer Price Index (Chart 3).
- The Zero-Emission Vehicle Registration Fee, effective July 1, 2020, charges electric vehicle owners an annual flat \$100 fee that will be adjusted for inflation starting on January 1, 2021. This fee only applies to electric vehicles with the model year 2020 and newer. Fees will be transferred to the RMRA for various transportation related purposes (Chart 3).

### State Sales Tax

The California Department of Tax and Fee Administration (formerly the California Board of Equalization) collects state sales taxes on gasoline, aircraft jet, and diesel fuels. A bulk of the sales tax on gasoline was eliminated on July 1, 2010, but a collection of 2.25 percent remains. Revenues generated from the sales tax on gasoline are allocated for non-transportation related purposes.

A sales tax rate of 7.25 percent applies to aircraft jet fuels and is utilized for aviation and airport needs. The state sales tax on diesel fuel is 13 percent and allocated for public transportation and transit purposes. About 10.5 percent of these tax revenues<sup>1</sup> apply to public transportation funding, which is specifically apportioned out for the following purposes (Chart 7):

- 4.75 percent base sales tax is given to the State and local transit agencies through the Public Transportation Account (PTA) for State Transit Assistance (STA). This account provides revenue for State and local transit purposes as outlined in the Transportation Development Act (TDA).
- 0.5 percent (SB 1 created) is dedicated to the State Rail Assistance Program. This program provides funding to intercity and commuter rail

agencies for operation and capital purposes.

- 5.25 (1.75 percent incremental sales tax and 3.5 percent SB 1 sales tax increase) percent is dedicated to the STA program for local transit operation and capital purposes.

### *Truck Weight Fees*

The State collects commercial vehicle fees based on weight, generating over \$1 billion a year. The California Department of Motor Vehicles (DMV) calculates weight fees based on the gross weight of commercial vehicles. These fees are deposited into the SHA and then transferred to the Transportation Debt Service Fund to pay for transportation bond debt (Chart 6).

### *Proposition 1B Bonds*

The Highway Safety, Traffic Reduction, Air Quality, and Port Security Bond Act of 2006 (Proposition 1B) authorized the State to sell \$19.9 billion in general obligation bonds for transportation projects. This Act provides California funding for congestion relief, goods movement facilitation, air quality improvement, and safety and security enhancements to improve the transportation network (Chart 9).

### *Motor Vehicle License and Other Fees*

The State collects vehicle license, registration, and driver license fees. These revenues are allocated to the California Highway Patrol (CHP) and DMV for traffic law enforcement and regulations (Chart 21). For more information on California's transportation funding structure visit: <https://catc.ca.gov/reports-resources/annual-reports>.

## ■ Local and Other Funds

Various local funding sources provide additional revenues for numerous transportation purposes.

### *Local Sales Tax Measures (Self-Help Counties)*

Counties can adopt a sales tax increase for transportation programs. The passage of a local sales tax measure requires 2/3 of local voter approval, generally lasting 20 to 30 years (Chart 11).

TRANSPORTATION FUNDING IN CALIFORNIA 2020

- Twenty-five counties have implemented sales tax measures for their transportation needs
- Four transit authorities have approved permanent local tax measures

### *TDA of 1971*

This act is funded by the Local Transportation Fund (LTF) and the STA fund. Revenues for the LTF are generated from a 0.25 percent general statewide sales tax for local transportation purposes. STA funds are derived from the statewide sales tax on diesel fuel (Charts 7 and 8).

### *Transit Fares*

Provided approximately \$1.8 billion<sup>2</sup> (2016) for local transit systems in California.

### *Local General Funds and Other Local Funds*

Includes property taxes, developer fees, street assessments, bonds, fines, and forfeitures (Chart 10).

## ■ California Senate Bill 1 — The Road Repair and Accountability Act of 2017

As mentioned, in addition to the excise tax increases (Chart 2), the Legislature created two new fees that generate additional revenues for California's transportation system (Chart 3). The first of which is the Transportation Improvement Fee that became effective January 1, 2018. For 2020, this additional registration fee ranges from \$27 to \$188 and is based on a vehicle's market value (Chart 3). The second fee is the Zero-Emission Vehicle Road Improvement Fee, which requires zero-emission vehicle owners to pay \$100 annually per vehicle beginning with the 2020 model year (Chart 3).

Aside from established transportation revenue mechanisms, current practices may need to be revised in the future because of emerging innovations such as alternative energy vehicles. As more people turn to electric vehicles, fuel tax revenues will decrease over time and impact the transportation network.

<sup>2</sup> <https://bythenumbers.sco.ca.gov/Raw-Data/Transit-Operators-Raw-Data-for-Fiscal-Years-2003-2/ez7u-5dub>





### *California Road Charge Pilot Program*

As required by Senate Bill (SB) 1077 (DeSaulnier, 2014), the State assessed the potential for mileage-based revenue collection, as an alternative to the motor fuel tax system, to preserve and maintain road and highway infrastructure. A strategy such as a road charge may be necessary given the expected reduction in fuel excise revenue as vehicles become more fuel efficient.

The CTC assembled a 15-member Road Charge Technical Advisory Committee (TAC) to develop recommendations for the design of a Road Charge Pilot Program. This nine-month pilot had more than 5,000 vehicles participate and recorded over 37 million miles driven, through six different reporting methods (manual to high technology options). In December of 2017, California State Transportation Agency (CalSTA) submitted its findings from this effort to the Legislature, the CTC, and the TAC. This effort proved that a road charge revenue mechanism can be functional, but further research is needed to determine if it can be implemented given ever-changing technology, innovation, and adoption feasibility. For additional information on the pilot program and

ongoing research efforts, visit:

<https://dot.ca.gov/programs/road-charge/faqs>.

# FEDERAL AND STATE TRANSPORTATION PROGRAMMING

Federal and State governments allocate revenue by programming funds for policy initiatives.

## ■ Federal Programming

Congress authorizes the federal government to spend its transportation revenue on programs that support public policy interests for a given amount of time—typically a five- to six-year period. An authorization sets the maximum amount of funding that can be appropriated to such programs each fiscal year (FY). Congress reviews appropriation bills to allocate funding for all federal agencies, departments, and programs annually, providing the legal authority for federal agencies to spend money during the upcoming FY on administered programs. The federal government can only allocate up to the maximum amount identified in the authorization for the upcoming year. FHWA and FTA are the main recipients of federal transportation funding; funds are allocated to each state based on various program requirements.

### *Current Federal Authorization: Fixing America's Surface Transportation (FAST) Act*

President Barack Obama signed into law the FAST Act on December 4, 2015, allocating \$305 billion for transportation purposes over a five-year span (Federal FY 2016-2020). The FAST Act focuses on improving the nation's surface transportation infrastructure and enhancing the safety of this network. In addition, the passage of the FAST Act resulted in several changes to programs that FHWA and FTA administer (Charts 22 and 23). The U.S. House of Representatives passed the Investing in a New Vision for the Environment and Surface Transportation (INVEST) in America Act, to replace

the FAST Act that will sunset on September 30, 2020. However, the Senate has not yet released their version of the bill to replace the FAST Act. For additional information visit: <https://www.transportation.gov/fastact/>.

## ■ State Programming

Similar to federal programming, the Legislature dictates how State revenues are spent on the transportation network. The Legislature appropriates State funding for specific purposes each year.

### *State Transportation Improvement Program (STIP):*

The STIP funds new construction projects that add capacity to the transportation network. STIP consists of two components, Caltrans' Interregional Transportation Improvement Program (ITIP) and regional transportation planning agencies' Regional Transportation Improvement Program (RTIP). STIP funding is a mix of State, federal, and local taxes and fees (Chart 5).

### *State Highway Operation and Protection Program (SHOPP)*

This program provides funds for pavement rehabilitation, operation, and safety improvements on State highways and bridges.

### *Local Assistance Program*

Caltrans administers more than a billion annually in federal and State funding to over 600 cities, counties, and regional agencies. The program provides entities

with the opportunity to improve their transportation infrastructure or provide additional services.

**Public Transportation Account (PTA) according to Transportation Development Act (TDA)**

The PTA primarily supports the STA, intercity rail, and transit capital improvements. The STA program disburses funding to transportation entities based on a formula that is dependent on an area’s population and transit operator revenues. These entities then redistribute funding to transit operators within their region for purposes such as operating assistance, capital acquisition and improvement, and transit services (Chart 8).

**Proposition 1B: Transportation Bonds**

As mentioned previously, Proposition 1B projects focus on improving State highways and local roads, transit networks, passenger rail, freight mobility, and air quality. In partnership with the CTC, Caltrans is responsible for administering most of the Proposition

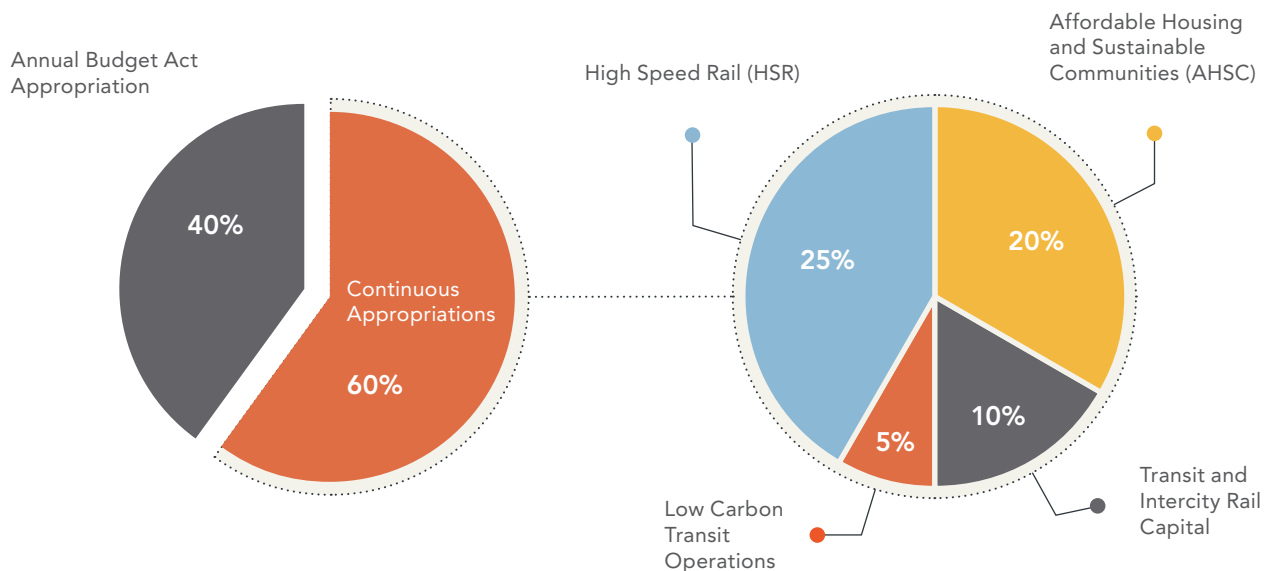
1B funds. Roughly 98 percent of Proposition 1B funding has been extended. Proposition 1B funds are used for the following purposes: SHOPP, Trade Corridors Improvement Fund program, State Route 99, intercity passenger rail, local transit, and seismic retrofitting of local bridges and overpasses (Chart 9). For more information visit:

[www.bondaccountability.dot.ca.gov/bondacc](http://www.bondaccountability.dot.ca.gov/bondacc).

**Cap-and-Trade**

Assembly Bill (AB) 32 (Pavley and Nunez, 2006) requires the reduction of greenhouse gas (GHG) emissions to 1990 levels by 2020. The California Air Resources Board (ARB) adopted “cap-and-trade” to meet this goal. This market mechanism policy places a “cap” on entities responsible for 85 percent of the State’s GHG emissions. As part of the cap-and-trade program, ARB conducts quarterly auctions and sells emission allowances that generate billions of dollars in State revenue over multiple years. Proceeds from these auctions are deposited into the Greenhouse Gas Reduction Fund.

**SB 862: Cap-and-Trade Revenue Allocation**



Source: CA Air Resources Board (2017). CA Climate Investments Using Cap-and-Trade Auction Proceeds.



SB 862 (Pavley, 2014) appropriates revenue from the Greenhouse Gas Reduction Fund for three purposes. One of the purposes tied to transportation is the Sustainable Communities and Clean Transportation investment category. This appropriation dedicates 60 percent of cap-and-trade revenue as continuous appropriations for High Speed Rail (HSR) (Chart 15), Affordable Housing and Sustainable Communities, Transit and Intercity Rail Capital Program, and Low Carbon Transit Operations Program (Charts 14 and 15). The remaining 40 percent of funds is available for the Legislature to direct toward future objectives through annual budget act appropriation (Cap-and-Trade Revenue Allocation chart, p.18).

The creation of a carbon market also allows businesses that emit less than their allowance, the ability to sell them to others in a secondary market. Businesses that need extra allowances to make up for their shortfall to reduce GHGs can purchase them from entities that do not use their entire allotment. Businesses face steep fines if their allotment is exceeded. Business sectors that purchase allowances generally include heavy industrial, electricity and natural gas producers (stationary sources) and transportation services (mobile

sources). Governor Jerry Brown extended the cap-and-trade to December 2030 through AB 398 (2017).

#### *Active Transportation Program (ATP)*

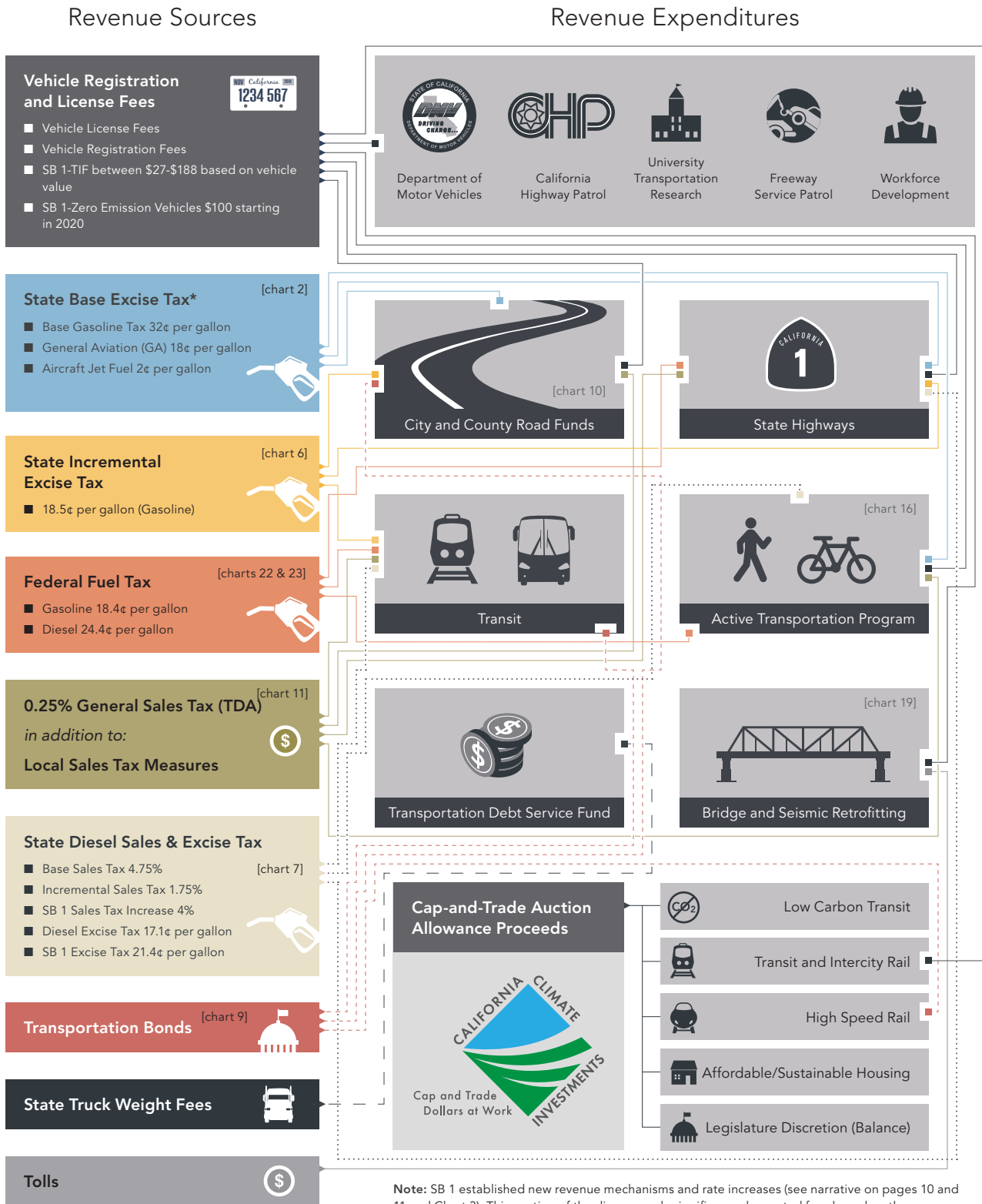
In response to the federal Surface Transportation Block Grant Program, the State's ATP was created on September 26, 2013, with the passage of California SB 99 (Chapter 359, Statutes of 2013), and California AB 101 (Chapter 354, Statutes of 2013). Millions of federal and State dollars are allocated to the ATP each year (Chart 16). This program funds safe routes to school, pedestrian, bicycle, and trail projects. Furthermore, at least 25 percent of the program's funding must be provided for disadvantaged communities (Chart 16). The CTC is responsible for adopting guidelines and programming projects, while Caltrans is responsible for administering the program. For more information visit: <https://catc.ca.gov/programs/active-transportation-program>.



# TRANSPORTATION FUNDING CHARTS



# A SIMPLIFIED OVERVIEW OF FY 2020-21 TRANSPORTATION FUNDING: CHART 1

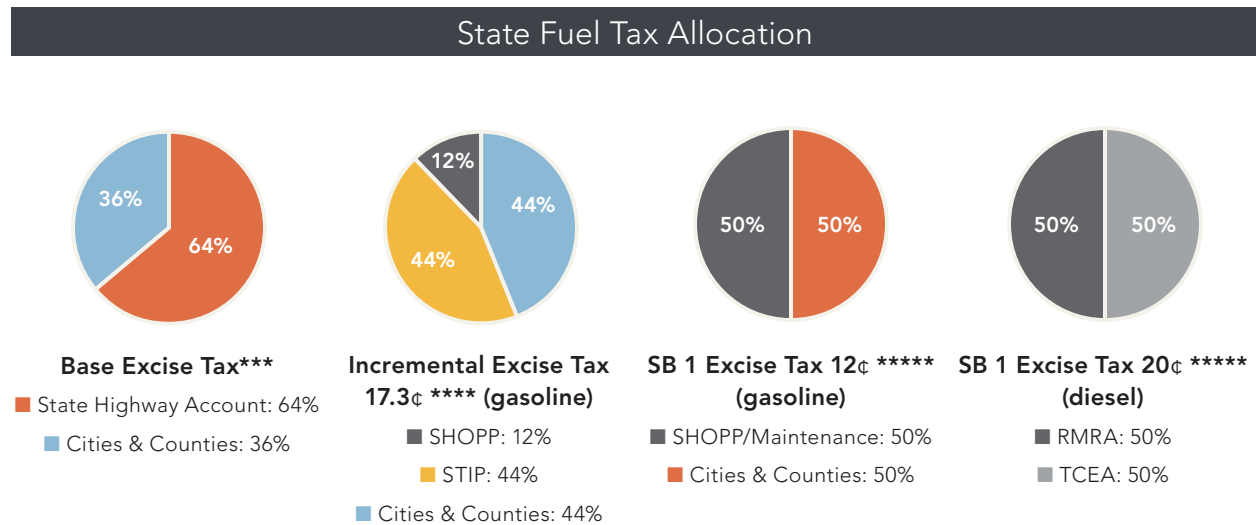
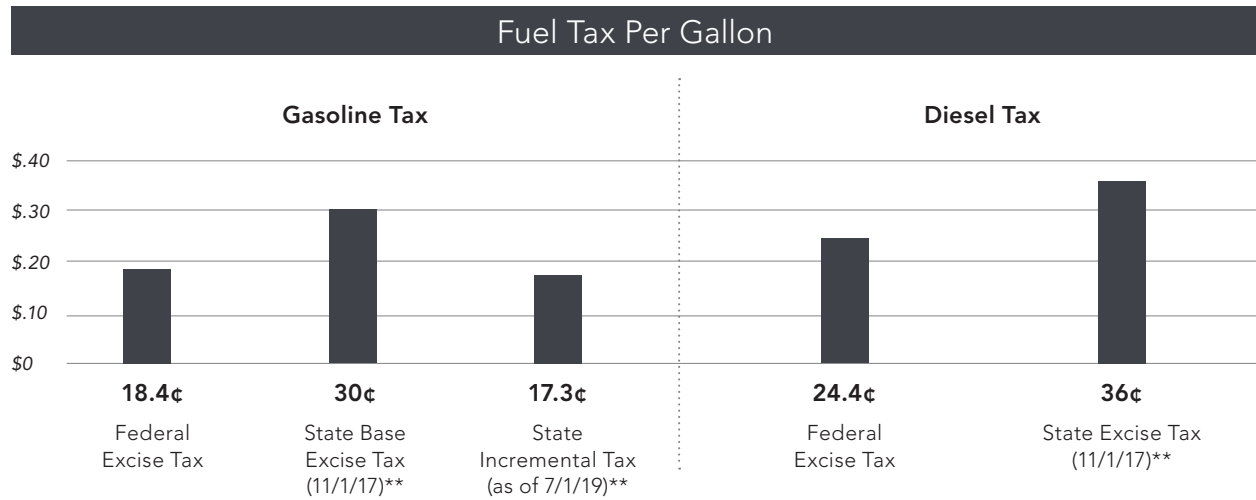


**Note:** SB 1 established new revenue mechanisms and rate increases (see narrative on pages 10 and 11 and Chart 3). This portion of the diagram only signifies newly created fees based on the passage of SB 1 (2017). Revenues from these fees are allocated to state entities and programs.

\* State base excise tax also pays for Refunds and Transfers Account as well as Aeronautics Account.

# FUEL EXCISE TAX: CHART 2\*

(Revenue & Taxation Code, §7360 & 7361.1)



\* Does not include CPI adjustments.

\*\* Tax rates identified reflect established SB 1 (2017) increases. The gasoline and diesel fuel excise taxes will be adjusted for inflation starting July 1, 2020. SB 1 also increased the sales tax rate for diesel fuel, see Chart 6.

\*\*\* The 64/36 split only applies to California's excise tax on motor fuels: 1) 18¢ of the 30¢ State Excise Tax on gasoline and 2) 16¢ of the 36¢ excise tax on diesel.

\*\*\*\* The Fuel Tax Swap was first enacted in 2010 (Assembly Bill (AB) x8-6 and Senate Bill (SB) 70). The Fuel Tax Swap eliminated the sales tax on gasoline and replaced it with the price-based excise tax. Due to conflicts created by the passage of Propositions 22 and 26 by voters, the Legislature reenacted the Fuel Tax Swap through AB 105 (2011). The Fuel Tax Swap eliminated the sales tax on gasoline and replaced it with the price-based excise tax. The California Board of Equalization (BOE) was required to adjust this rate annually. The passage of AB 105 (2011) also authorized the redirection of weight fees from the SHA to the General Fund to pay off obligation bond debt service for specified voter-approved transportation bonds. This chart only reflects funding based on the incremental portion of the excise tax. A large portion of the incremental excise tax goes to SHA to backfill diverted weight fees. After that the resources are allocated to SHOPP, STIP and Local Streets and Roads.

\*\*\*\*\* Specific to the RMRA, after funding for specific transportation programs, revenue will be allocated equally between state and local transportation purposes. See Chart 3 or Chart 4 for more information.

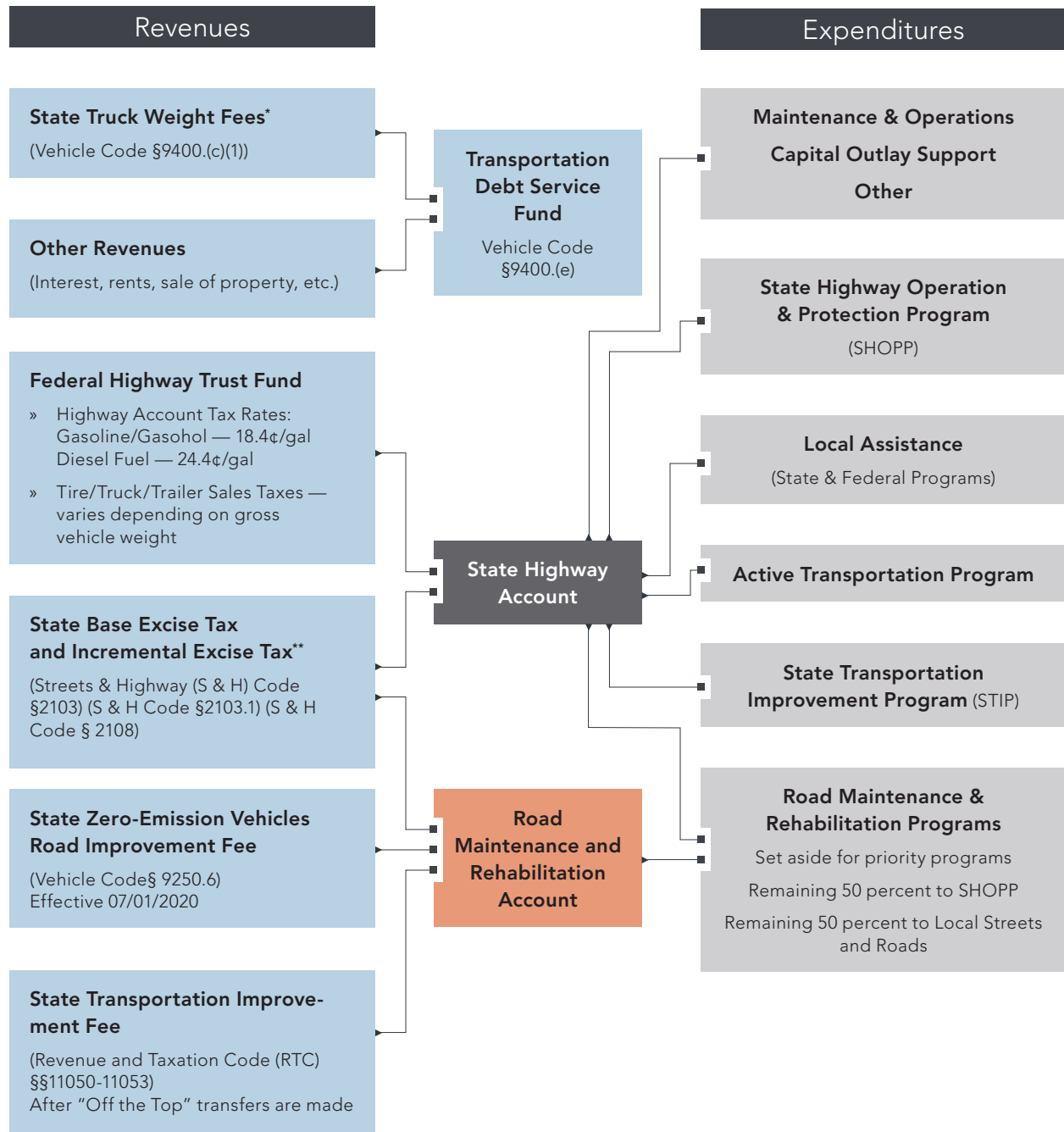
## OVERVIEW OF SENATE BILL 1 (2017): CHART 3\*



\* Projected amounts were prior to impacts of COVID-19 pandemic.



# STATE AND FEDERAL HIGHWAY FUNDING: CHART 4

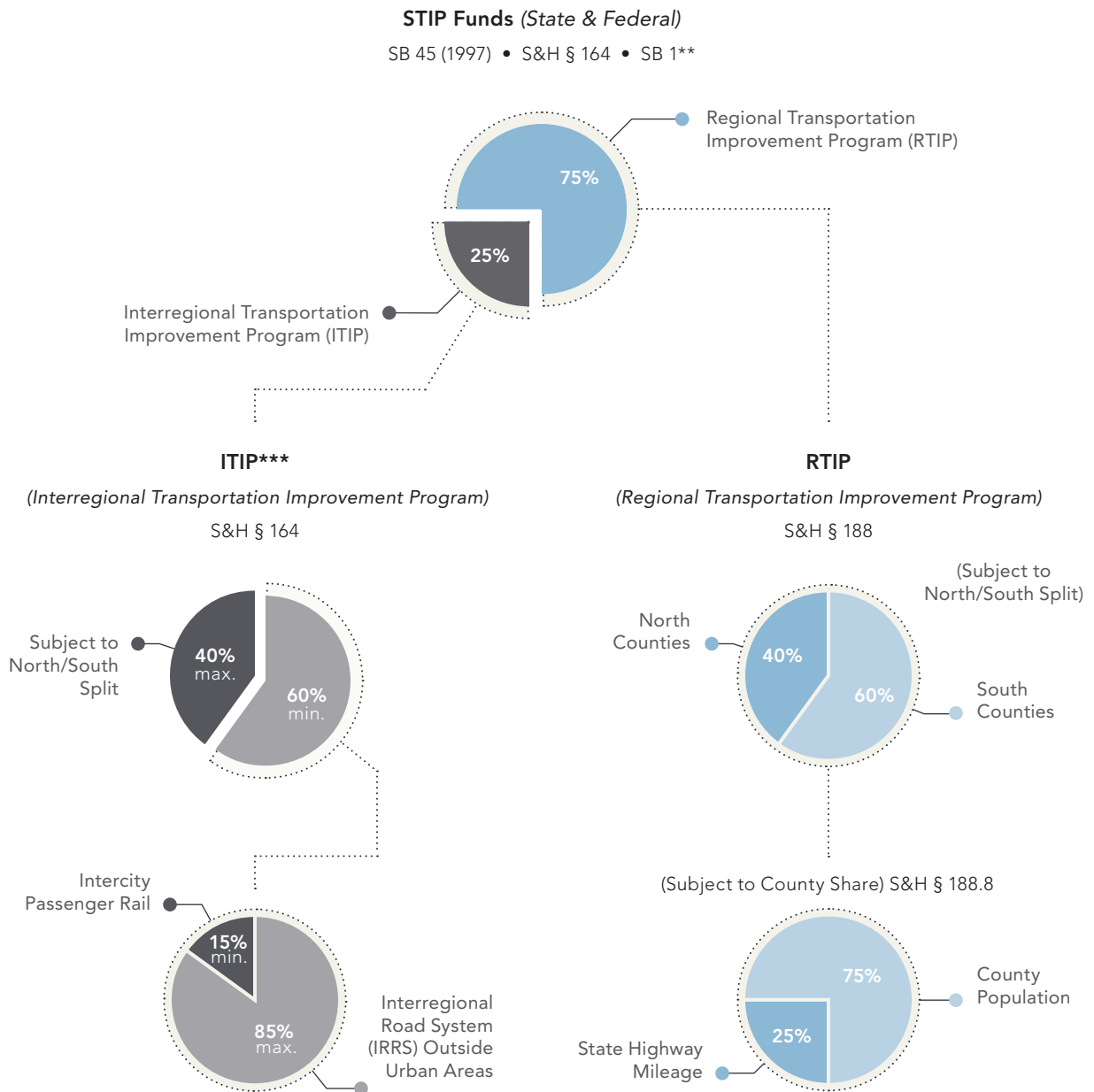


\* Assembly Bill 105 (Fuel Tax Swap) directs revenues from the Truck Weight Fees to pay transportation bond debt service and loans to the General Fund.

\*\* The Fuel Tax Swap was originally enacted in 2010 as ABX8 6/SB 70 and re-enacted in 2011 through AB 105 in response to Propositions 22 and 26 (2010). The Road Maintenance and Rehabilitation Act of 2017 (SB 1) replaces the price-based excise tax with an incremental excise tax of 17.3¢ per gallon rate on July 1, 2019.

# STIP FUNDING DISTRIBUTION: CHART 5

## State/Region, North & South Splits\*, and County Shares



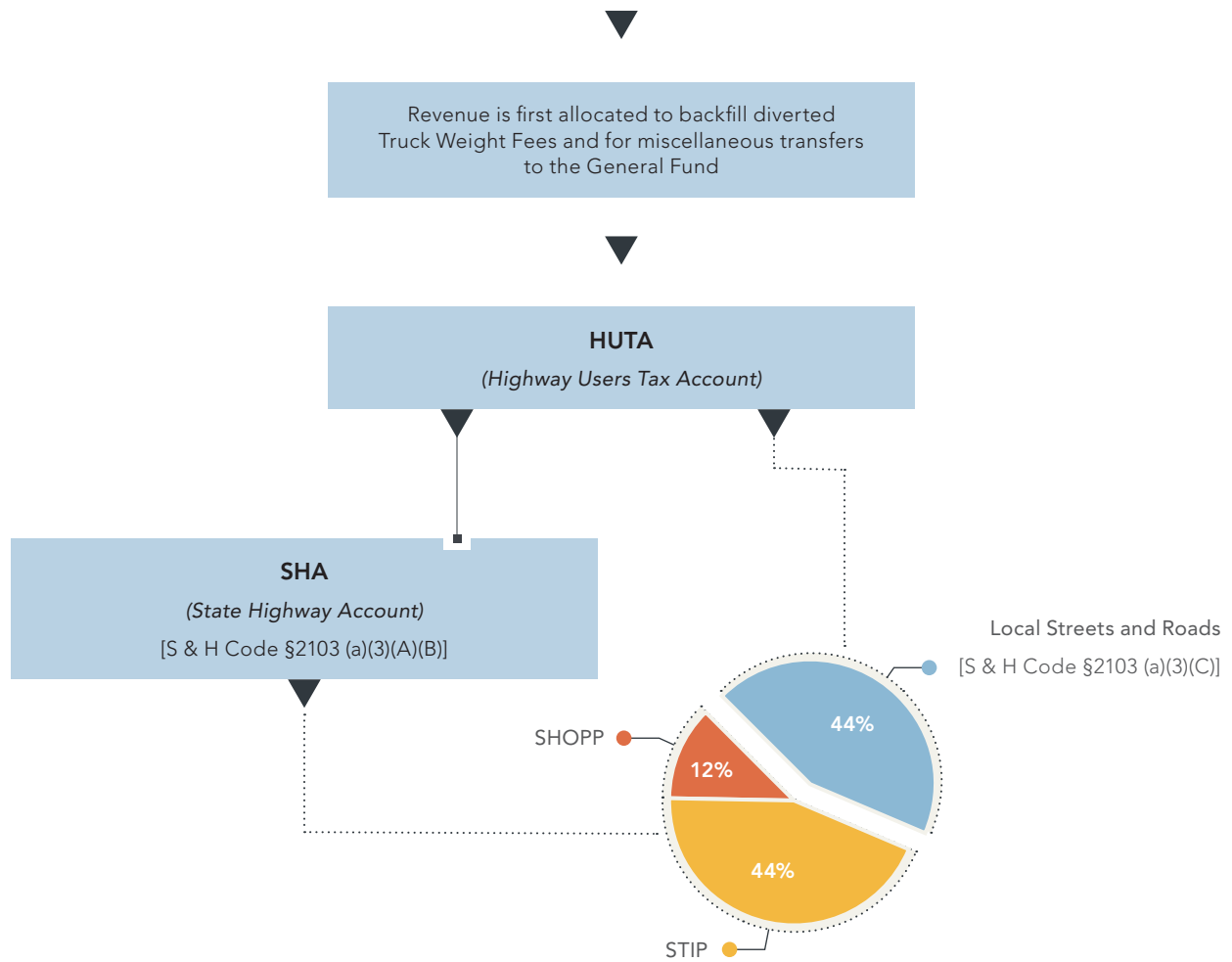
\* The "split" is in reference to SB 45 (1997). It is geographically defined as: 60 percent of funds are allocated to 13 southern counties, while the remainder is allocated to the remaining 45 northern counties. For more information, visit [https://lao.ca.gov/2000/051100\\_cal\\_travels/051100\\_cal\\_travels\\_decisions.html](https://lao.ca.gov/2000/051100_cal_travels/051100_cal_travels_decisions.html)

\*\* SB 1 provides stable funding to the State Transportation Improvement Program over the next 10 years. For more information, visit [https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill\\_id=201720180SB1](https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180SB1)

\*\*\* For more information on the ITIP, visit <https://dot.ca.gov/programs/transportation-programming/office-of-capital-improvement-programming-ocip>

# INCREMENTAL EXCISE TAX: CHART 6

## Incremental Excise Tax\* (Fiscal Year 2020-21)

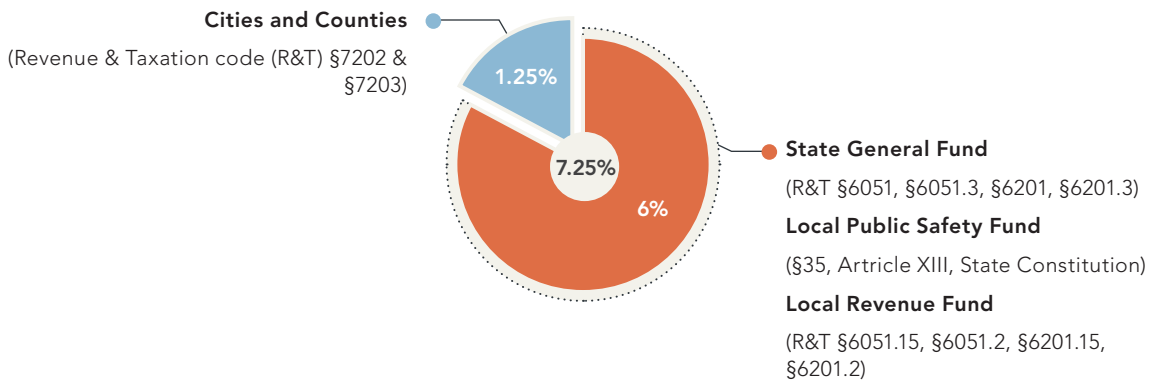


\* The passage of SB 1 eliminates the fuel tax swap revenue neutrality adjustment made by the BOE. This rate will be fixed at 17.3¢/gal. effective 7/1/19 and adjusted for inflation every year after by the California Department of Tax and Fee Administration.

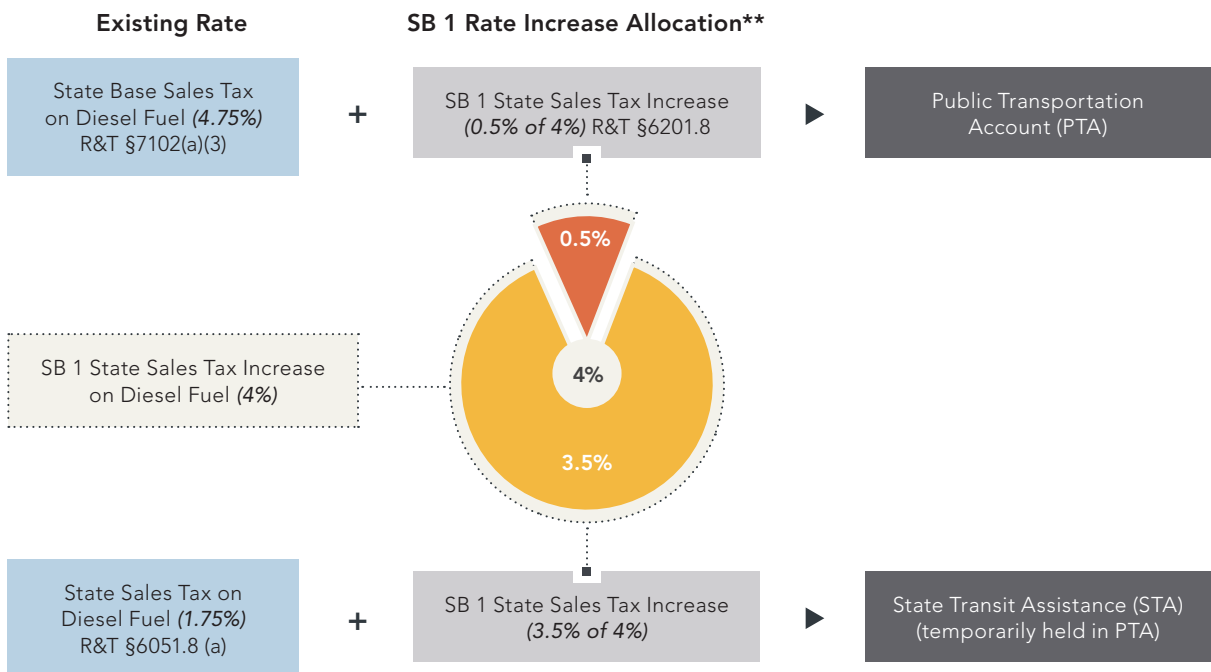
The allocation structure of AB 105 (2011) will remain in place. Truck weight fee revenues from the SHA can still be used to pay down transportation debt services and loans in the Transportation Debt Service Fund.

# STATE SALES AND USE TAX RATE: CHART 7

## California Statewide Base Sales and Use Tax (7.25%)\*



## Statewide Diesel Fuel Sales Tax Rate Allocation



\* In addition to State and local taxes the counties, cities and towns in California may impose one or more district taxes which range from 0.1% to 1%.

\*\* SB 1 increased the sales tax on diesel fuel by 4% on 11/1/17. PTA receives 0.5% and STA receives 3.5% of this SB 1 rate increase. Total Diesel Sales Tax rates is 13% as of 11/1/2017.

# PUBLIC TRANSPORTATION ACCOUNT REVENUES (PTA): CHART 8



## PROPOSITION 1B: CHART 9

### Highway Safety, Traffic Reduction, Air Quality, and Port Security Bond Act of 2006

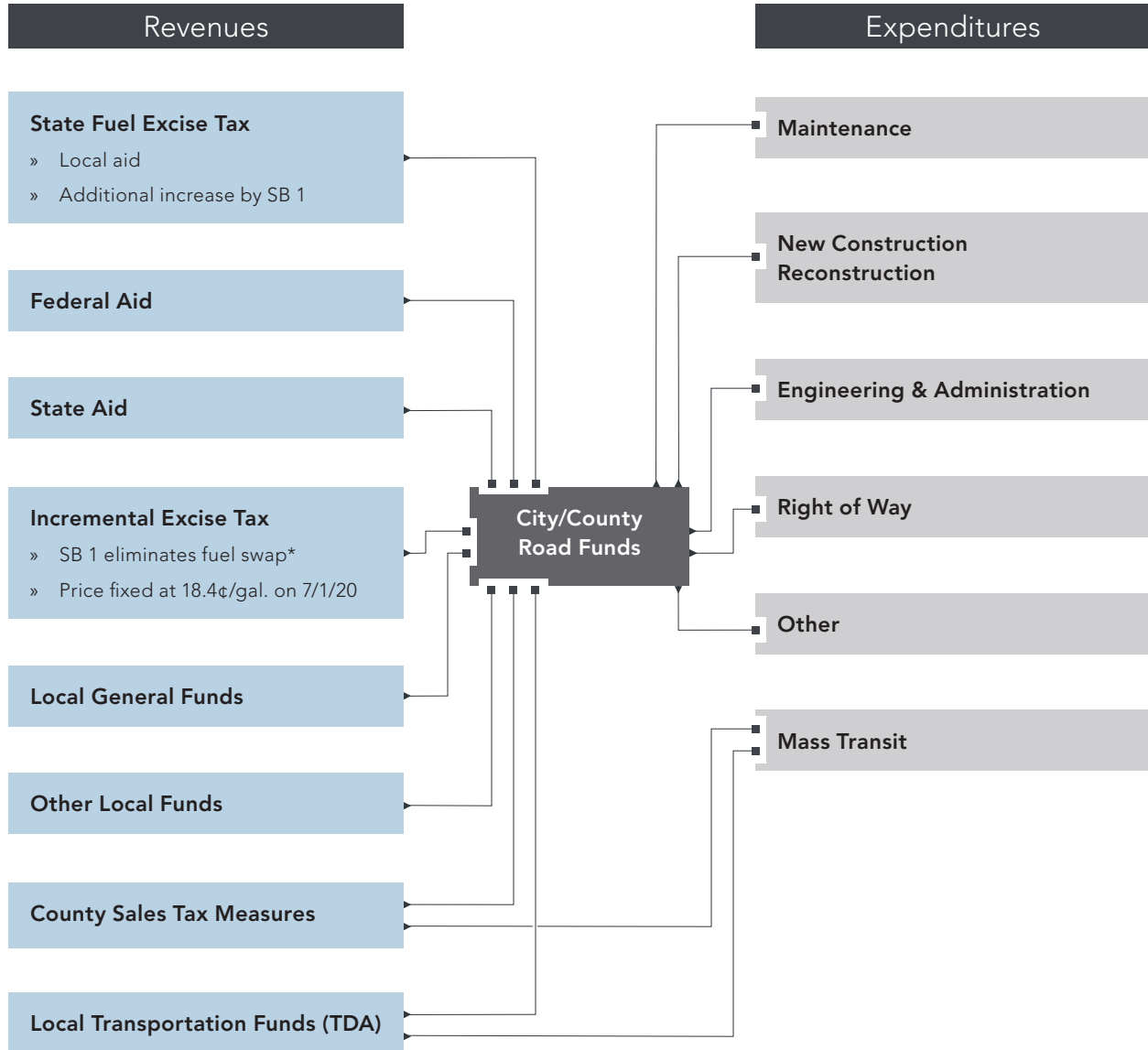
(Authorizes \$19.9 Billion in General Obligation Bonds)

Account/Program	Available (Billions)	Committed (Billions)	Allocation Plan
Corridor Mobility Improvement Account (CMIA)	\$4.50	\$4.50	<ul style="list-style-type: none"> <li>■ Performance improvements on highly congested travel corridors</li> <li>■ Projects are nominated by Caltrans &amp; MPOs/RTPAs</li> <li>■ CTC develops guidelines and approves projects</li> </ul>
Public Transp. Modernization, Improvement & Service Enhancement and Intercity Rail Improvement	\$4.00	\$4.00	<ul style="list-style-type: none"> <li>■ Public Transportation Projects</li> <li>■ Intercity Rail Improvements (\$400M)</li> <li>■ Funds allocated by formula to local agencies</li> </ul>
California Ports Infrastructure, Security, and Air Quality Improvement	\$3.10	\$3.10	<ul style="list-style-type: none"> <li>■ Multimodal improvements along federal trade corridors (\$2B)</li> <li>■ Freight emission reductions along trade corridors (\$1B ARB)</li> <li>■ Grants for port, harbor, ferry terminals security (\$100M)</li> </ul>
STIP Funding Augmentation	\$2.00	\$2.00	<ul style="list-style-type: none"> <li>■ Deposited in Transportation Facilities Account</li> </ul>
Local Streets and Road Improvement, Congestion Relief, and Traffic Safety	\$2.00	\$2.00	<ul style="list-style-type: none"> <li>■ Allocated by Legislature</li> </ul>
State Route 99 Improvements	\$1.00	\$0.99	<ul style="list-style-type: none"> <li>■ Corridor's safety, operational enhancements, rehabilitation or capacity improvements</li> </ul>
State-Local Partnership Program	\$1.00	\$1.00	<ul style="list-style-type: none"> <li>■ State matching funds for local projects (5-year program)</li> </ul>
Transit System Safety, Security, and Disaster Response	\$1.00	\$0.93	<ul style="list-style-type: none"> <li>■ Allocated by Legislature</li> </ul>
Highway Safety, Rehabilitation, and Preservation	\$0.75	\$0.75	<ul style="list-style-type: none"> <li>■ Augments SHOPP funding</li> <li>■ Includes \$250M for traffic light synchronization projects</li> </ul>
Highway-Railroad Crossing Safety	\$0.25	\$0.25	<ul style="list-style-type: none"> <li>■ High-priority grade separation and railroad crossings</li> </ul>
School Bus Retrofit & Replacement	\$0.20	\$0.20	<ul style="list-style-type: none"> <li>■ Reduction of air pollution &amp; child exposure to diesel exhaust</li> </ul>
Local Bridge Seismic Retrofit	\$0.13	\$0.13	<ul style="list-style-type: none"> <li>■ Provides the 11.5% required match for the federal Highway Bridge Replacement and Repair funds</li> </ul>

For more information visit [www.bondaccountability.dot.ca.gov/bondacc](http://www.bondaccountability.dot.ca.gov/bondacc)

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# LOCAL STREET AND ROAD FUNDING: CHART 10



Revenues and expenditures reported in the State Controller, Annual Reports of Financial Transactions:

- » Streets and Roads
- » Transit Operators
- » Transportation Planning Agencies

\* See Road Repair and Accountability Act of 2017 (SB 1)

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# COUNTY TRANSPORTATION SALES TAX MEASURES: CHART 11

## Permanent 0.5% Sales Tax Transit Districts

<b>BART (S.F., Alameda, and Contra Costa)</b>	<b>San Mateo</b>	<b>Santa Clara</b>	<b>Santa Cruz</b>
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### "Self-Help" (Temporary 0.5% Taxes)

<b>County</b>	<b>Duration</b>	<b>Estimated 2020 Revenues (in millions)</b>
Alameda	2015-2045	\$374
Contra Costa	1989-2034	\$96
Fresno	1987-2027	\$85
Imperial	1990-2050	\$14
Los Angeles (1%)	Permanent	\$1,762
Los Angeles (Measure R, 0.5%)	2009-2039	\$881
Los Angeles (Measure M, 0.5%)	2017–Indefinite	\$881
Madera	1990-2027	\$10
Marin*	2005-2025	\$30
Merced	2017-2047	\$17
Monterey (.375%)	2017-2047	\$29
Napa	2018-2043	\$20
Orange	1991-2041	\$369
Riverside	1989-2039	\$205
Sacramento	1989-2039	\$138
San Benito**	2019-2049	\$9
San Bernardino	1990-2040	\$220
San Diego	1988-2048	\$324
San Francisco	1990-2034	\$115
San Joaquin	1991-2041	\$70
San Mateo (Measure A, SamTrans)	1989-2033	\$94
San Mateo (Measure W, .5%, San Mateo County Transit District)***	2019-2049	\$94
Santa Barbara	1990-2040	\$40
Santa Clara	1996-2036	\$257
Santa Clara (VTA 0.125%)	2013-2043 (Est.)	\$64
Santa Clara (VTA-Measure B, 0.5%)	2017-2047	\$257
Santa Cruz	2017-2047	\$21
Sonoma (0.25%)	2005-2025	\$30
Sonoma-Marin (SMART 0.25%)	2009-2029	\$45
Stanislaus	2017-2042	\$51
Tulare	2007-2037	\$41
<b>Total Estimated 2020 Revenue</b>		<b>\$6,643</b>

Article XIII B of the State Constitution provides the authority and requirements for the imposition of local sales tax measures subject to voter approval.

\* Renewal of retail transaction of use (sales) tax. Original one-half cent tax passed in 2004 will expire in 2025. In November 2018, voters renewed this tax for another 30 years.

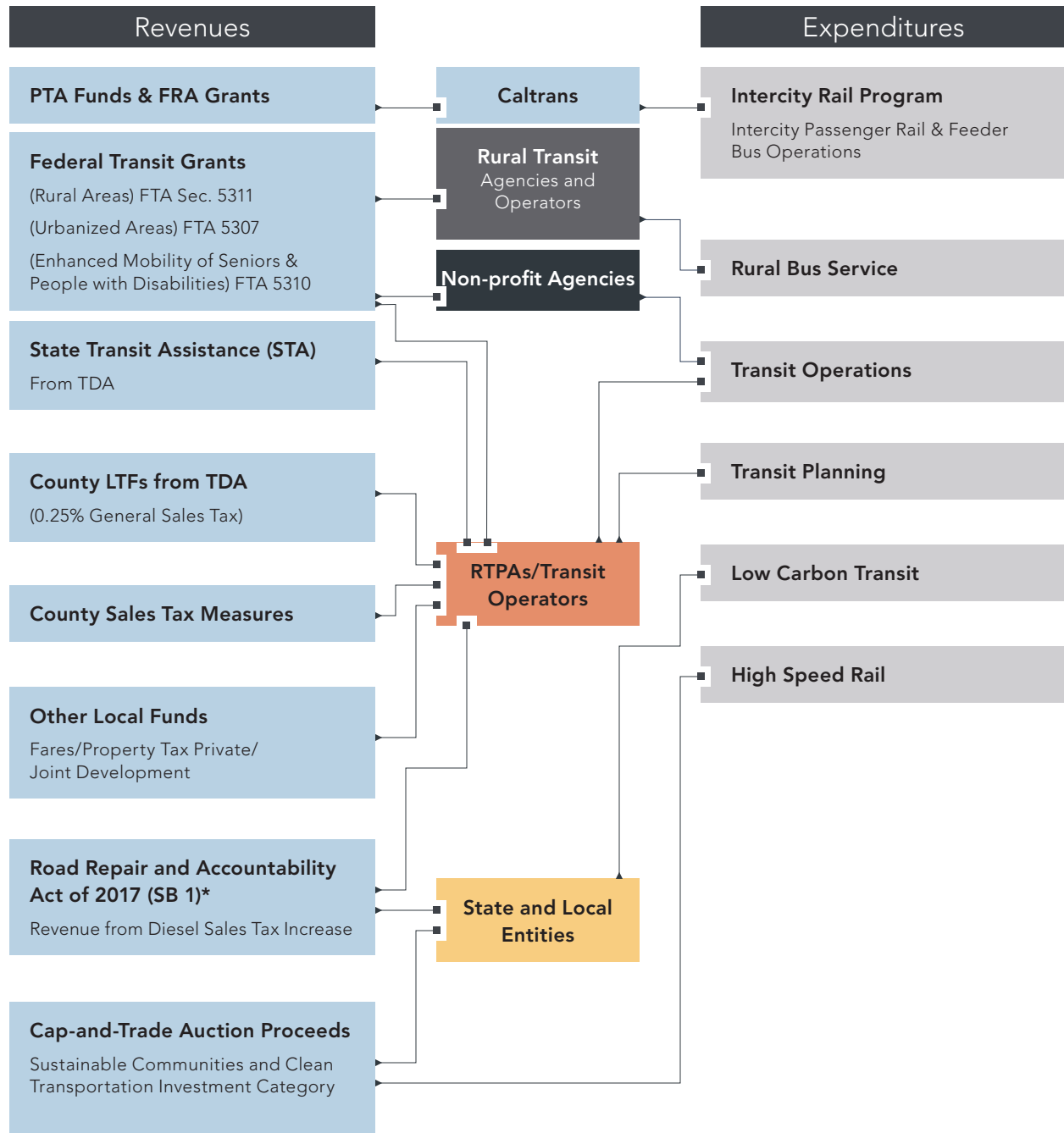
\*\* Transportation sales tax approved by voters in November 2018. The measure authorizes the county to increase sales tax by 1% with revenue dedicated to road transportation, increasing the total sales tax to 7.25%.

\*\*\* Voters passed a one-half cent sales tax increase in November 2018 to reduce traffic congestion and improve public transportation.

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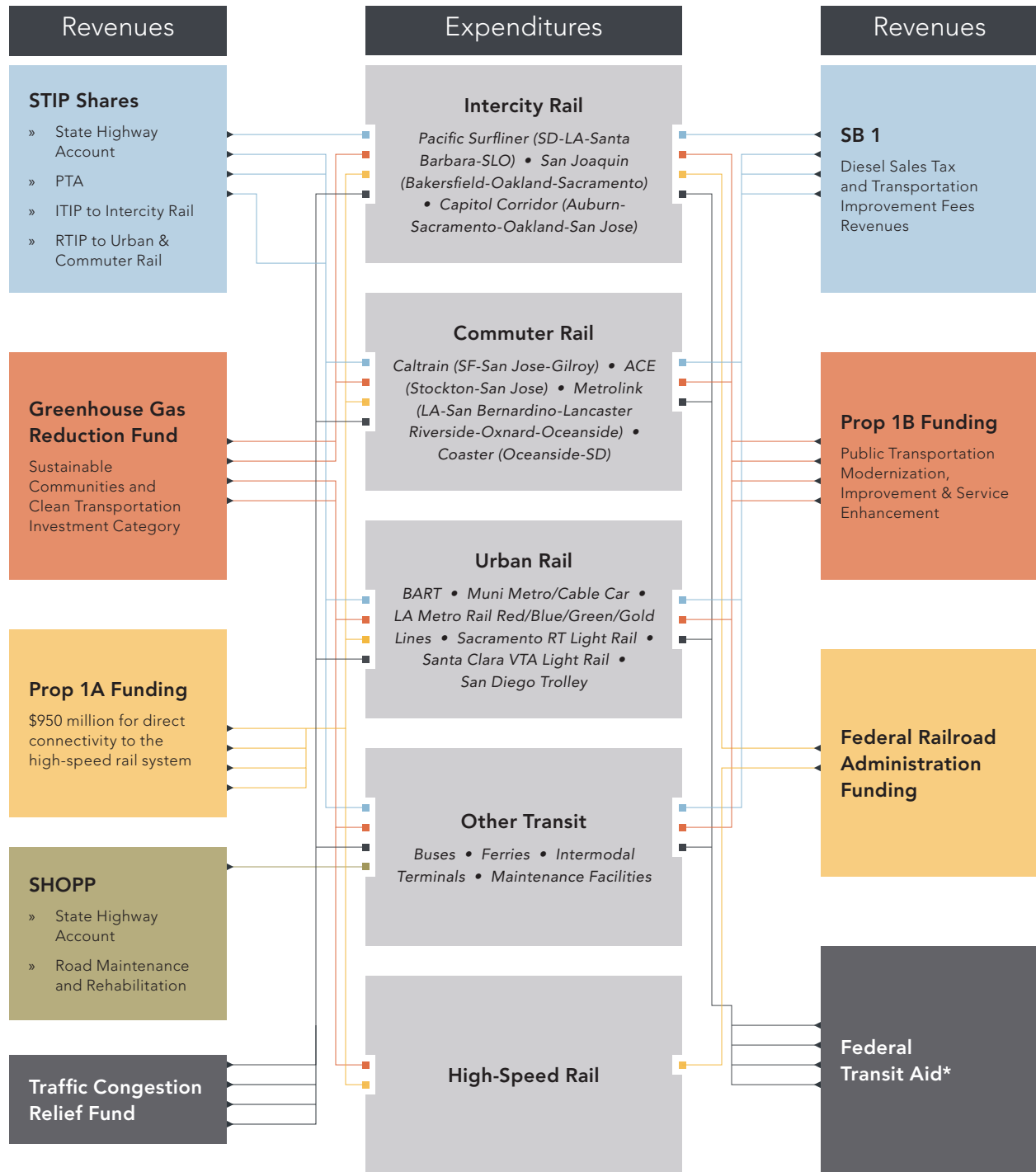


# TRANSIT AND RAIL OPERATIONS FUNDING: CHART 12



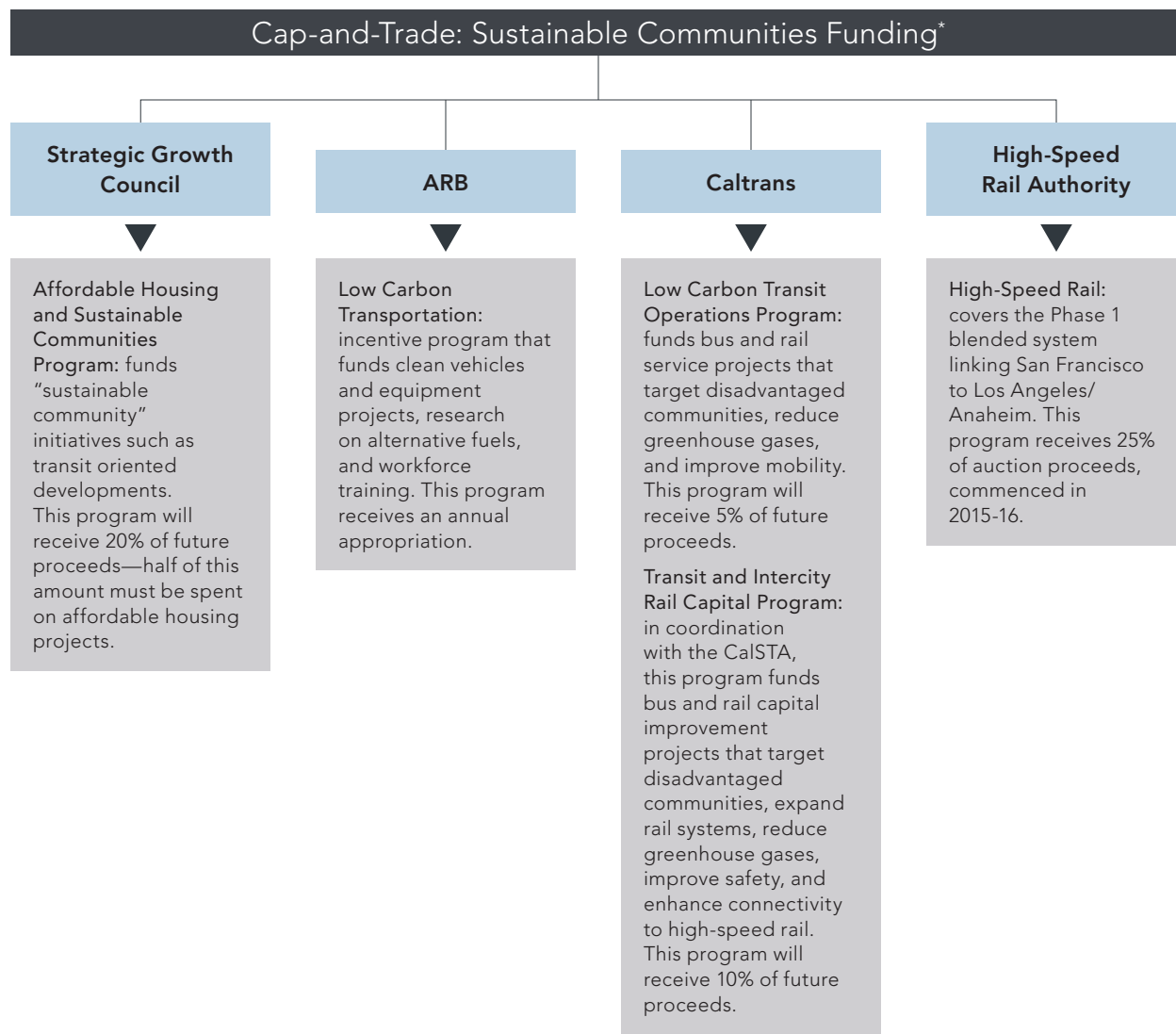
\* See Rebuilding California website at <http://rebuildingca.ca.gov/transit.html>

# TRANSIT AND RAIL CAPITAL FUNDING: CHART 13



\* In addition, Section 104(d)(2) of Federal Highway Act (Title 23 US Code) provides funding for railway/highway crossing hazard elimination in existing and potential high-speed rail corridors.

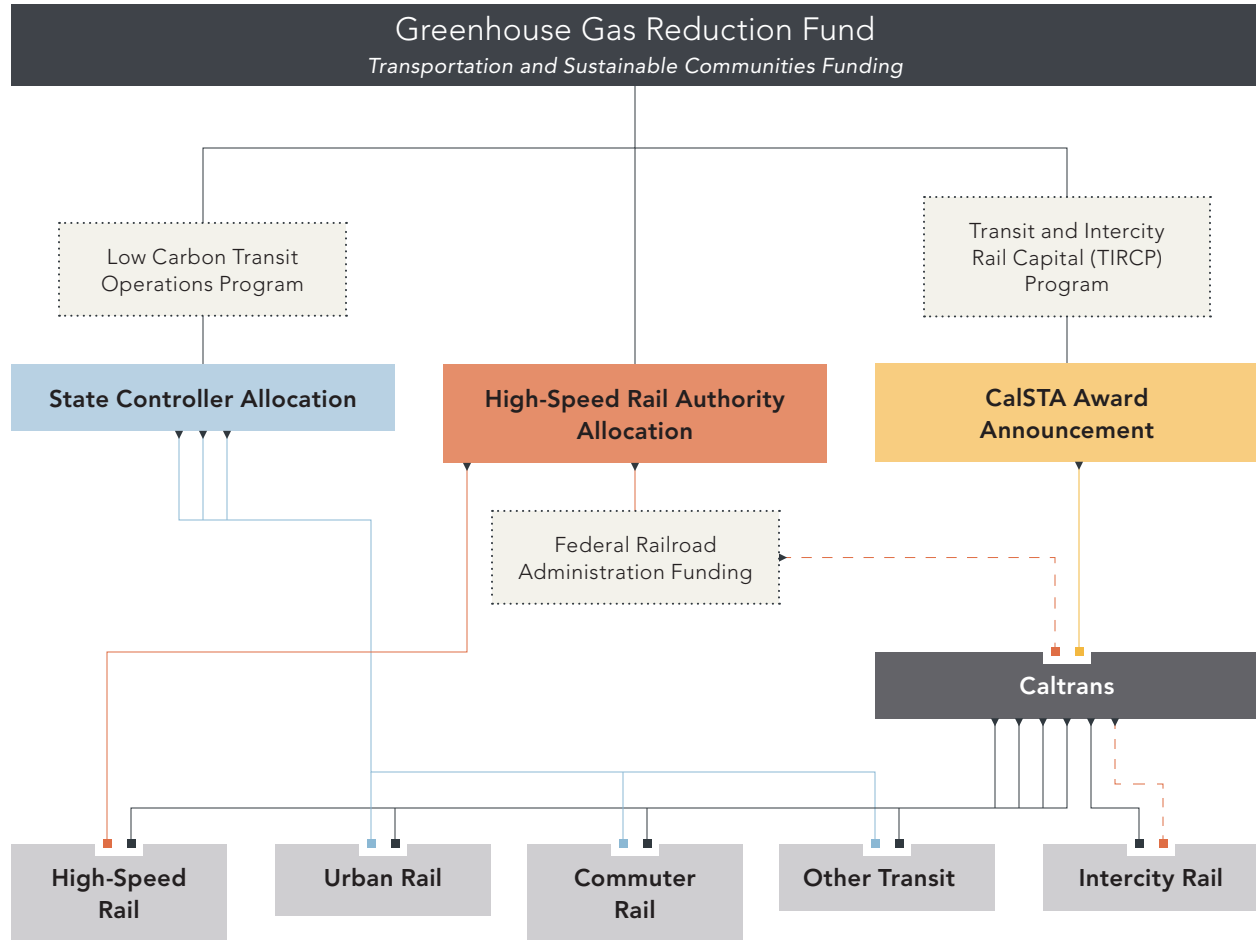
# CAP-AND-TRADE: SUSTAINABLE COMMUNITIES FUNDING PROGRAMS: CHART 14



\* The enactment of AB 32, the California Global Warming Solutions Act of 2006, requires the California Air Resources Board to establish a regulatory market-based program. Since 2013, this program sets a “cap” or limit on the amount of greenhouse gas emissions that electric and large industrial plants can produce. Effective January 1, 2015, fuel distributors and suppliers were subjected to the “cap.” The “cap” limitation is approximately reduced by 3% per year to reach the state’s 2020 greenhouse gas reduction target. The California Legislature and Governor appropriate the collected auction proceeds, known as the Greenhouse Gas Reduction Fund (GGRF), to State agencies for designated purposes. These appropriations are classified by three categories: 1) Transportation and Sustainable Communities Funding, 2) Clean Energy and Energy Efficiency Funding, and 3) Natural Resources and Waste Diversion. This chart only illustrates the Transportation and Sustainable Communities Funding. In addition, the remaining 40% is available for appropriation by state Legislature. Cap-and-Trade program was extended to 2030 on July 25, 2017 (AB 398, Chapter 135).

Please visit the California Air Resources Board’s website for more information at <http://www.arb.ca.gov/cc/capandtrade/auctionproceeds/ggrfprogrampage.htm#Transportation>

# CAP-AND-TRADE AND HIGH-SPEED RAIL FUNDING: CHART 15



# ACTIVE TRANSPORTATION PROGRAM: CHART 16

## Revenue Sources\*

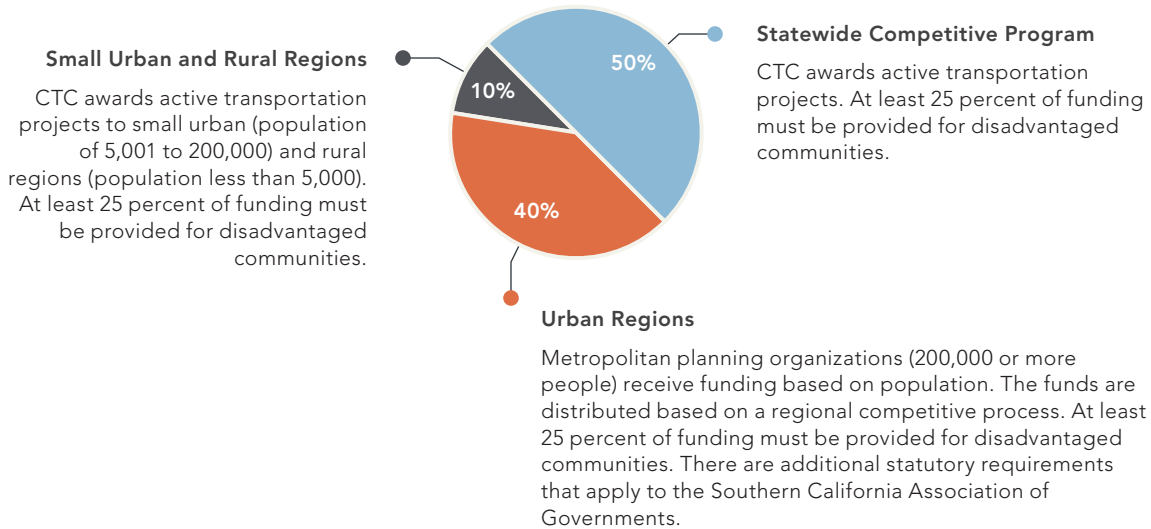
- State Resources**
- » State Highway Account
  - » Road Maintenance and Rehabilitation Account (SB 1)\*\*

- Federal Resources**
- » Federal Highway Account of the Highway Trust Fund
  - » Surface Transportation Block Grant
  - » Highway Safety Improvement Program
  - » Transportation Recreational Trails (non-motorized percentage appropriated to ATP and remaining to Department of Parks and Recreation)
  - » Other Federal Aid

### Active Transportation Program\*\*\*

SB 99, Chapter 359 (2013) and AB 101, Chapter 354 (2013)

*Funds non-infrastructure and infrastructure projects that encourage people to use active transportation modes.*

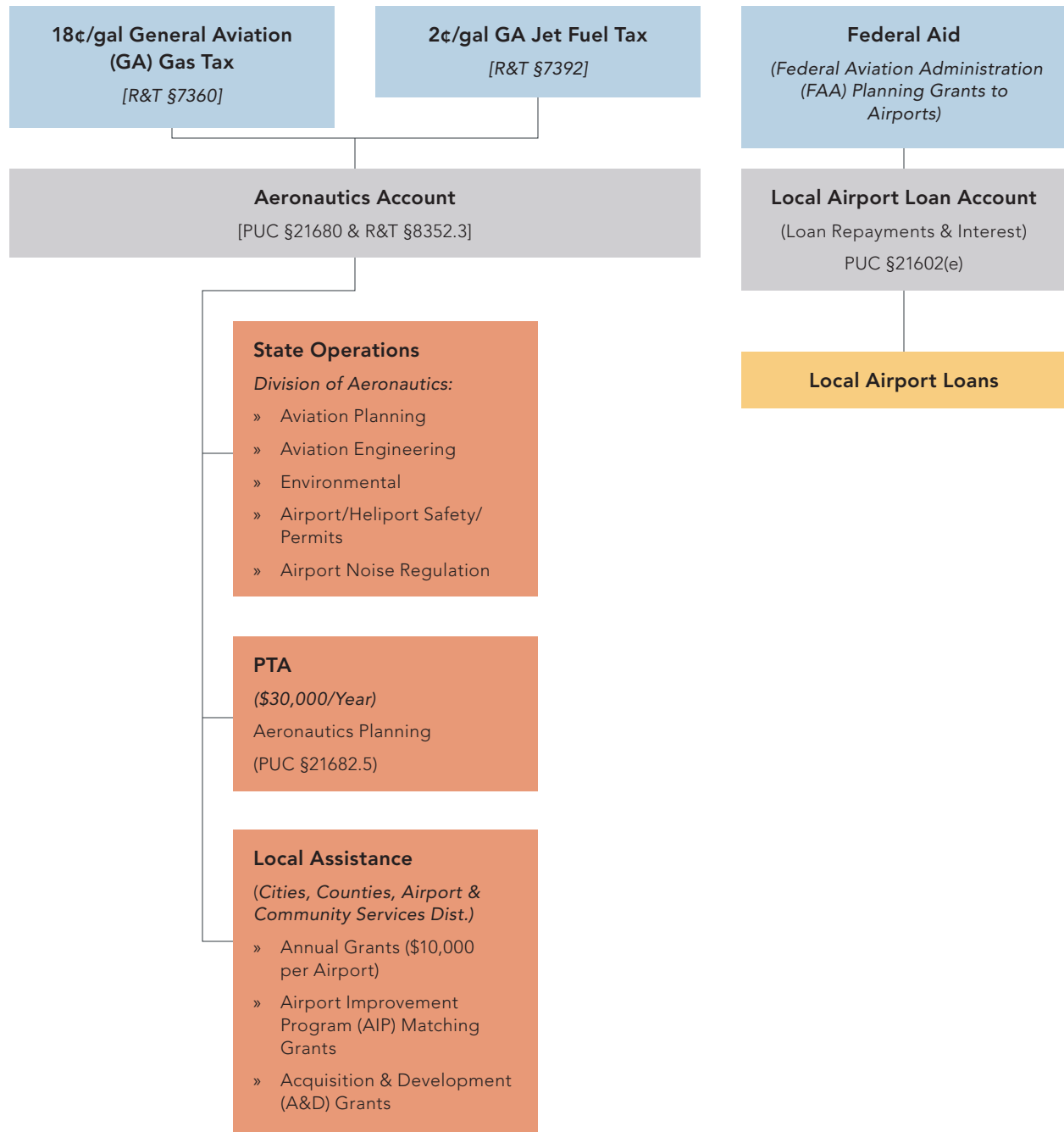


\* Caltrans Active Transportation Program. Retrieved from <https://dot.ca.gov/programs/local-assistance/fed-and-state-programs/active-transportation-program>

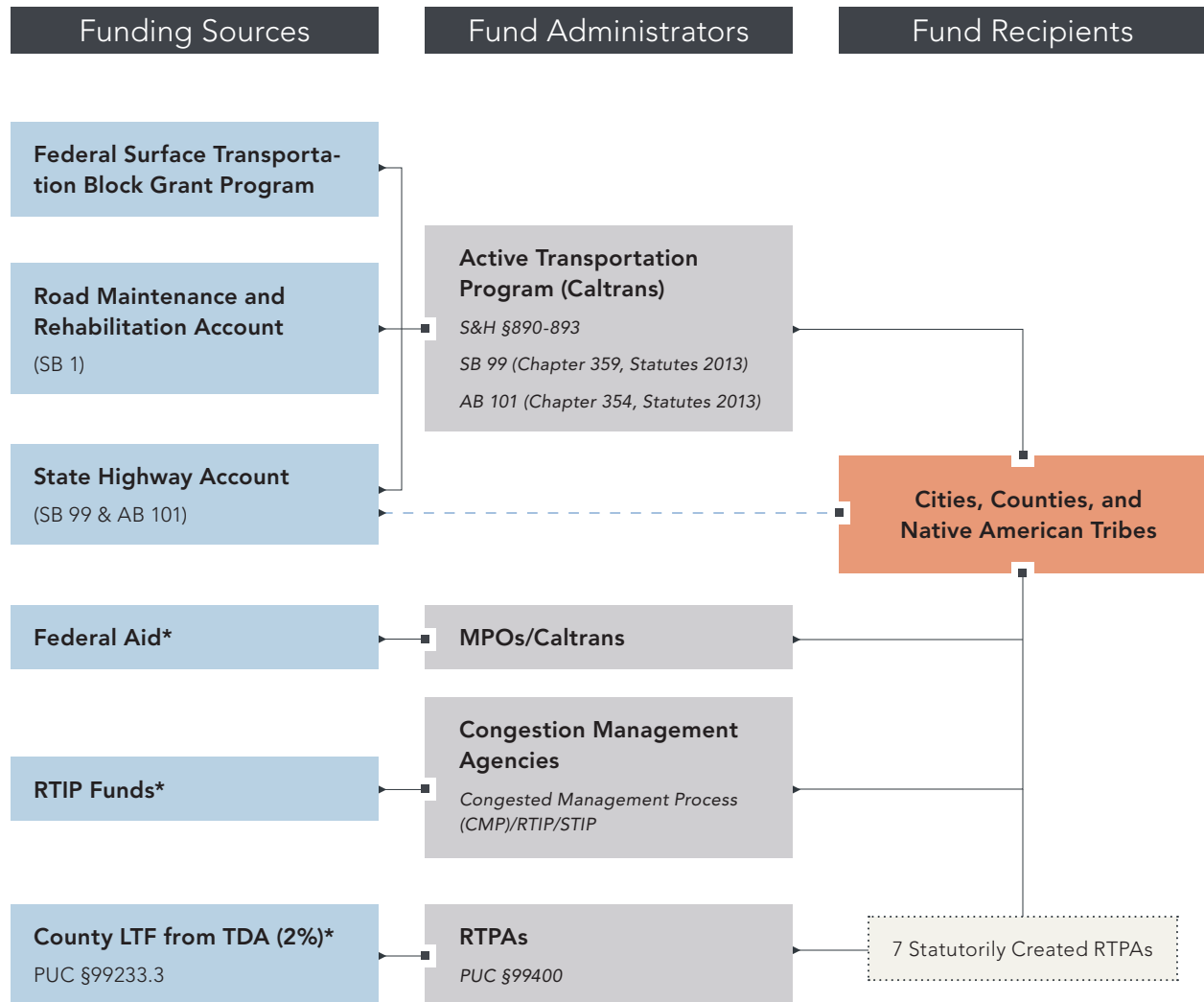
\*\* See Road Repair & Accountability Act of 2017, Chapter 5, Sec. 36, Chapter 2, sub 20329 9a)

\*\*\* California Transportation Commission. 2018. Active Transportation Program Guidelines. Retrieved from <https://catc.ca.gov/programs/active-transportation-program>

# STATE GENERAL AVIATION FUNDING: CHART 17



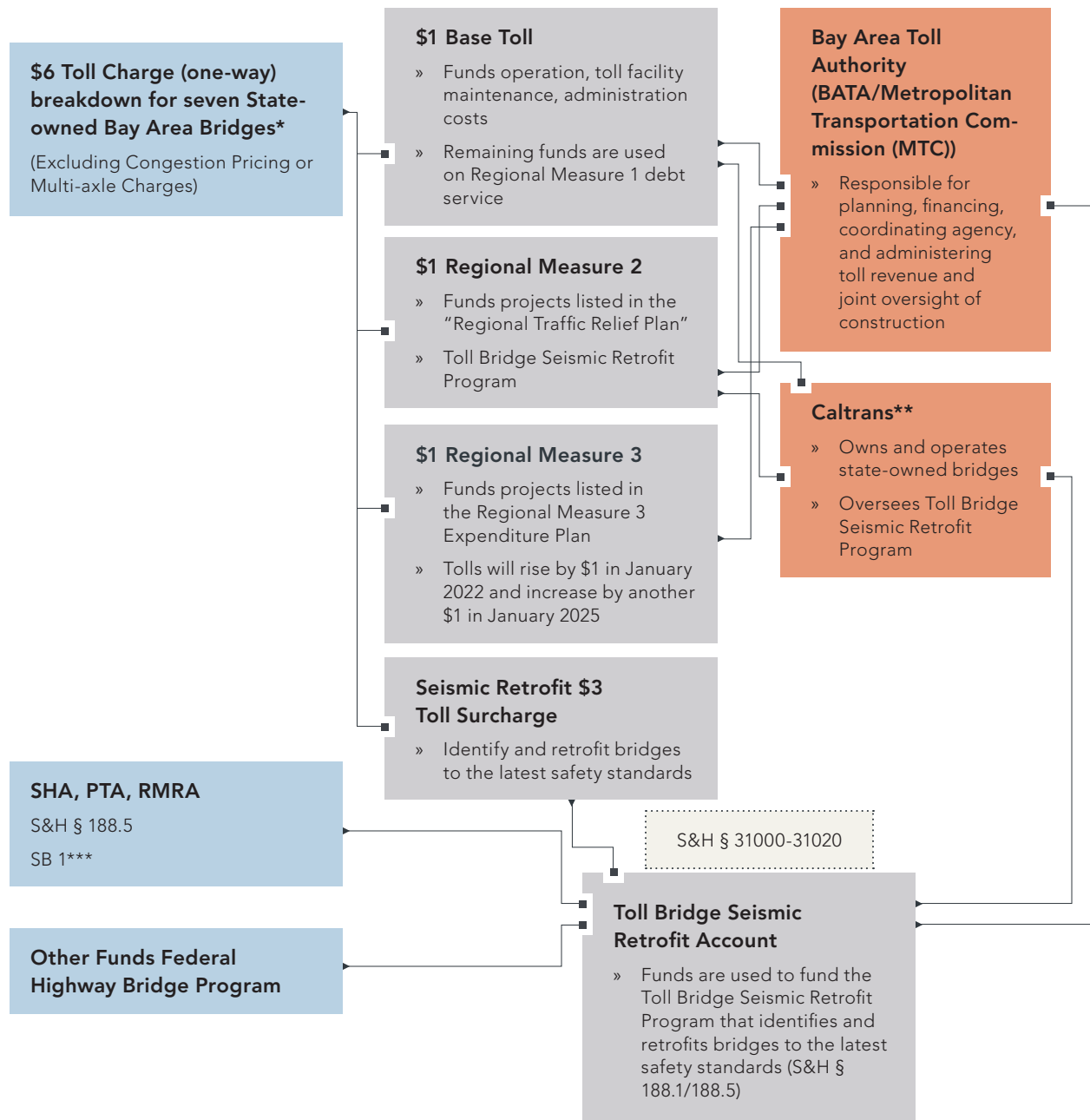
# NON-MOTORIZED TRANSPORTATION FUNDING: CHART 18



\* Bicycle/pedestrian projects are eligible for funding from federal programs: Surface Transportation Block Grant Program/Transportation Enhancement Activities, Better Utilizing Investments to Leverage Development Transportation Discretionary Grants, Associated Transit Improvement, Congestion Mitigation and Air Quality Improvement Program, Highway Safety Improvement Program, National Highway Performance Program/National Highway System, Surface Transportation Program, Recreational Trails Program, Safe Routes to School, Federal Lands Highway & Bridge programs, etc.

The State's Environmental Enhancement Mitigation program and county sales tax measures also provide funding for non-motorized transportation projects.

# STATE TOLL BRIDGE & SEISMIC RETROFIT FUNDING: CHART 19



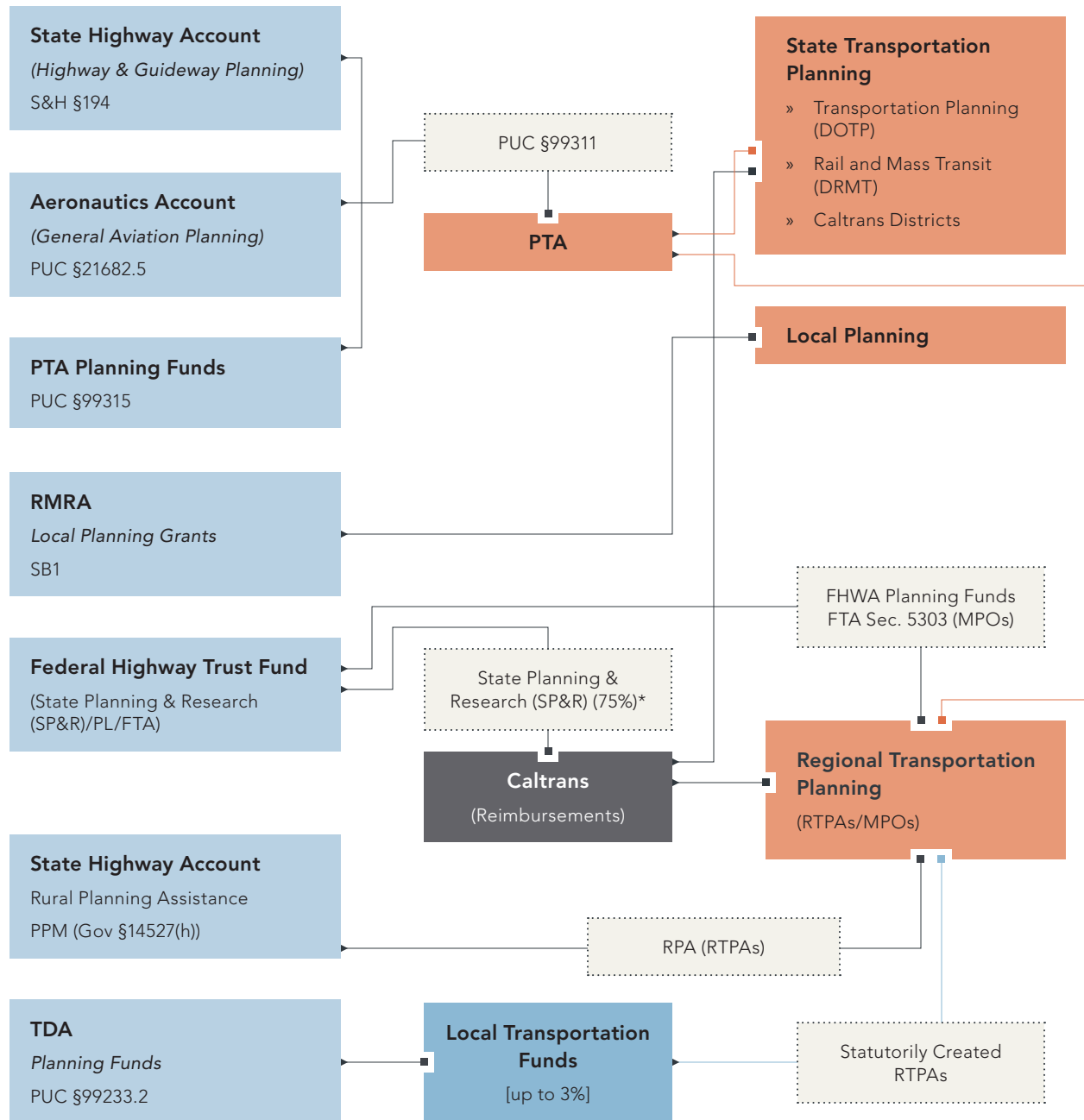
\* San Francisco-Oakland weekday off-peak hours toll is \$5.

\*\* Caltrans collects tolls and is responsible for the maintenance and capital improvements on all state-owned toll bridges (reimbursed by BATA). Assembly Bill 144 (Chapter 71, 2005) provided additional funding of \$3.6 billion from BATA for the Toll Bridge Seismic Retrofit Program.

\*\*\* SB1 provides additional funding for bridges and culverts repair and maintenance under Road Maintenance and Rehabilitation Account.

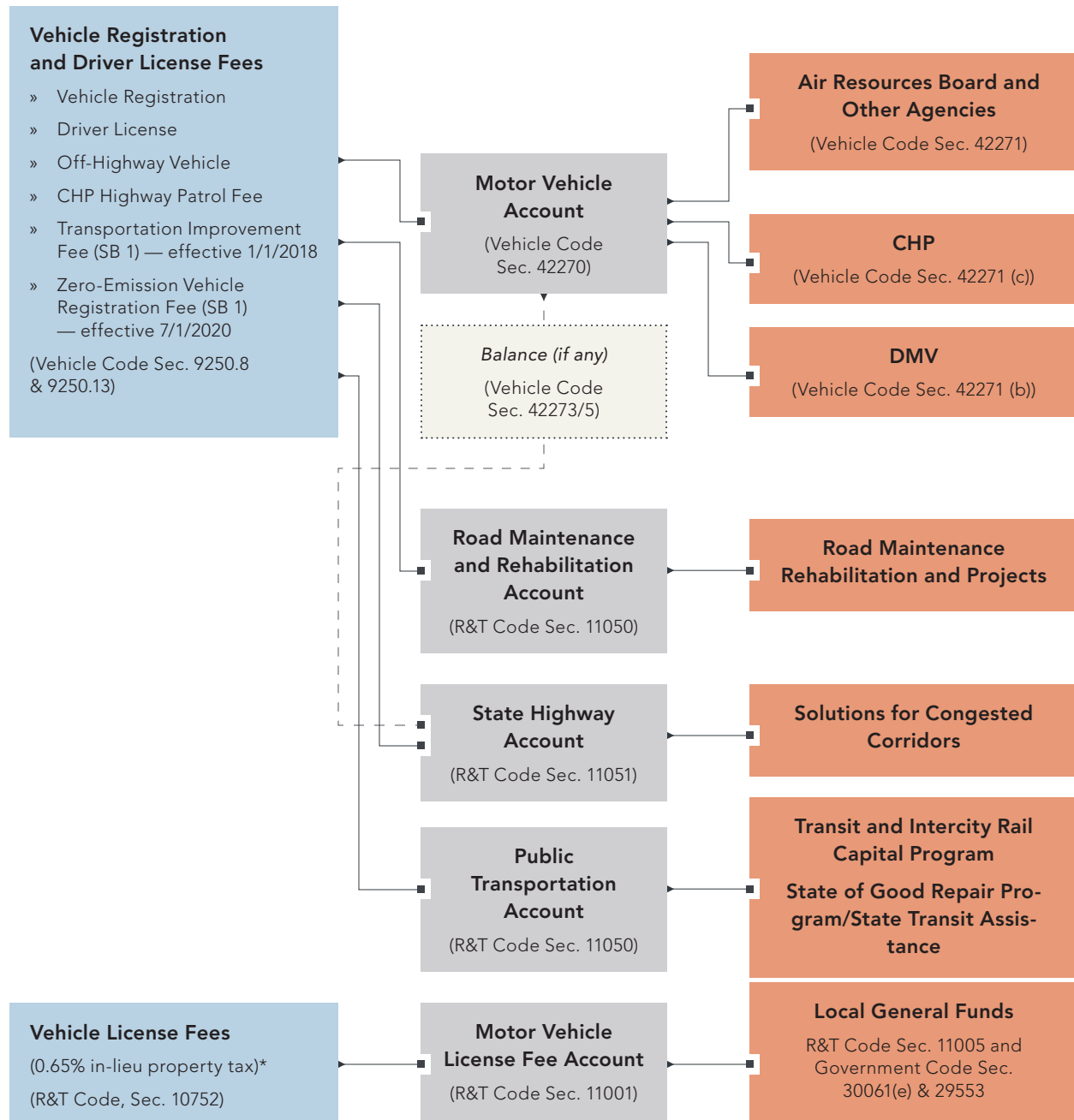


# TRANSPORTATION PLANNING FUNDS: CHART 20



\* The remaining 25% of the SP&R funds are used for research.

# MOTOR VEHICLE FEES: CHART 21



\* In 1998, the Legislature began a series of reductions as stated in Chapter 322, Statutes of 1998 (Cardoza, AB 2797)— 2% vehicle license fee decreased to 0.65% — that became effective in January of 2005.

## FEDERAL-AID HIGHWAY PROGRAMS: CHART 22

### Fixing America’s Surface Transportation Act (FAST Act) Federal Fiscal Year 2016-2020

Program	Description/Provisions
<b>National Highway Performance Program</b>	Provides support for the condition and performance of the National Highway System (NHS), for the construction of new facilities on the NHS, and to ensure that investments of Federal-aid funds in highway construction are directed to support progress toward the achievement of performance targets established in a State's asset management plan for the NHS.
<b>Surface Transportation Block Grant Program</b>	Promotes flexibility in State and local transportation decisions and provides flexible funding to best address State and local transportation needs.
<b>Highway Safety Improvement Program (HSIP)</b>	Aims to achieve a significant reduction in traffic fatalities and serious injuries on all public roads, including non-State-owned public roads and roads on tribal lands. The HSIP requires a data-driven, strategic approach to improving highway safety on all public roads that focuses on performance.
<b>Railway-Highway Crossings Program</b>	Provides funds for safety improvements to reduce the number of fatalities, injuries, and crashes at public railway-highway grade crossings.
<b>Congestion Mitigation &amp; Air Quality (CMAQ)</b>	Provides a flexible funding source to State and local governments for transportation projects and programs to help meet the requirements of the Clean Air Act. Funding is available to reduce congestion and improve air quality for areas that do not meet the National Ambient Air Quality Standards for ozone, carbon monoxide, or particulate matter (nonattainment areas) and for former nonattainment areas that are now in compliance (maintenance areas).
<b>Metropolitan Planning (PL) Funds</b>	Establishes a cooperative, continuous, and comprehensive framework for making transportation investment decisions in metropolitan areas. Program oversight is a joint Federal Highway Administration/Federal Transit Administration responsibility.
<b>Technology and Innovation Deployment Program</b>	Funds efforts to accelerate the implementation and delivery of new innovations and technologies that result from highway research and development to benefit all aspects of highway transportation.
<b>National Highway Freight Program</b>	<p>Aims to improve the efficient movement of freight on the National Highway Freight Network (NHFN) and support several goals, including;</p> <ul style="list-style-type: none"> <li>■ investing in infrastructure and operational improvements that strengthen economic competitiveness, reduce congestion, reduce the cost of freight transportation, improve reliability, and increase productivity;</li> <li>■ improving the safety, security, efficiency, and resiliency of freight transportation in rural and urban areas;</li> <li>■ improving the state of good repair of the NHFN;</li> <li>■ using innovation and advanced technology to improve NHFN safety, efficiency, and reliability;</li> <li>■ improving the efficiency and productivity of the NHFN;</li> <li>■ improving State flexibility to support multi-State corridor planning and address highway freight connectivity; and</li> <li>■ reducing the environmental impacts of freight movement on the NHFN. [23 U.S.C. 167 (a), (b)]</li> </ul>

For more details: [www.fhwa.dot.gov/fastact/estfy20162020auth.pdf](http://www.fhwa.dot.gov/fastact/estfy20162020auth.pdf)

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## FEDERAL-AID TRANSIT PROGRAMS: CHART 23

### Fixing America’s Surface Transportation Act (FAST Act)

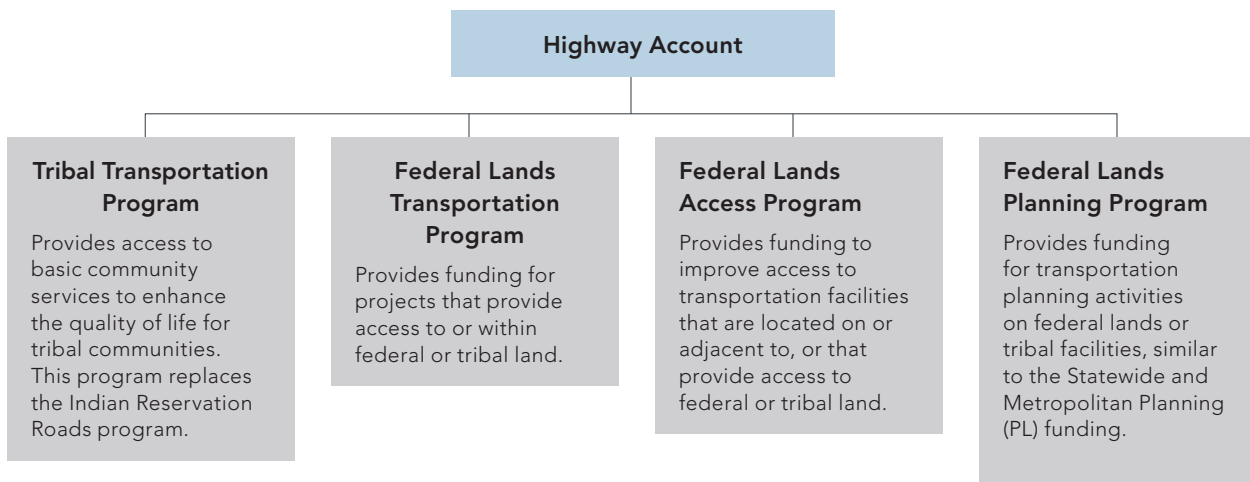
Program	Description/Provisions
<b>Sections 5303, 5304, 5305</b> (Metropolitan & Statewide and Nonmetropolitan Planning)	Provides funding and procedural requirements for multimodal transportation planning in metropolitan areas through a cooperative, continuous, and comprehensive planning process. The result of this process includes long and short-range planning and programming of transportation investment priorities.
<b>Section 5307</b> (Urbanized Area Formula Grants)	Provides funding to public transit systems in Urbanized Areas (UZA) for public transportation capital, planning, job access and reverse commute projects, as well as operating expenses in certain circumstances.
<b>Section 5309</b> (Fixed Guideway Capital Investment Grants)	Provides grants for new and expanded rail, bus rapid transit, and ferry systems that reflect local priorities to improve transportation options in key corridors.
<b>Section 5310</b> (Enhanced Mobility of Seniors and Individuals with Disabilities)	Provides funding to meet the transportation needs of older adults and people with disabilities. Funds are apportioned based on each state’s share for these two groups. States and designated recipients are direct recipients while private nonprofit organizations, states or local government authorities, and operators of public transportation are eligible subrecipients. Eligible activities include accessible buses and vans, related equipment, mobility management and operating assistance funds. Former 5317 New Freedom projects are eligible for 5310 funding.
<b>Section 5311</b> (Rural Transit and Intercity Bus)	Provides formula grants for capital and operating services for rural public transportation systems located in areas with a population less than 50,000. In addition, FTA Section 5311(b) (3) provides funding to assist in the design and implementation of training and technical assistance projects and other support services to meet the needs of transit operators in non-urbanized areas. Section 5311(c) provides federally recognized tribes with funding for capital, operating, planning, and administrative expenses for public transit projects that meet the growing needs of rural tribal communities. Under 5311(f) each state must spend no less than 15 percent of its annual apportionment for the development and support of intercity bus transportation. Projects that were once eligible for the Job Access and Reverse Commute Program (Section 5316) qualify for this program.
<b>Section 5337</b> (State of Good Repair)	Funds are dedicated to repairing and upgrading the nation’s rail transit systems along with high-intensity motor bus systems that use high-occupancy vehicle lanes, including bus rapid transit (BRT).
<b>Section 5329(e)</b> (State Safety Oversight Program)	Provides funding to oversee the safety of public transportation as it pertains to heavy rail, light rail, buses, ferries, and streetcars.
<b>Section 5339</b> (Bus and Bus Facilities & Low and No Emission Bus Program)	Provides capital funding to replace, rehabilitate and purchase buses and related equipment and to construct bus-related facilities. Provides funding through a competitive process to States and transit agencies to purchase or lease low or no emission transit buses and related equipment, or to lease, construct, or rehabilitate facilities to support low or no emission transit buses.
<b>Section 5312</b> (Mobility on Demand (MOD) & Public Transportation Innovation)	Funds projects that promote innovative business models and products to deliver high quality, seamless and equitable mobility options for all travelers.

For more details: [www.transit.dot.gov/grants](http://www.transit.dot.gov/grants)

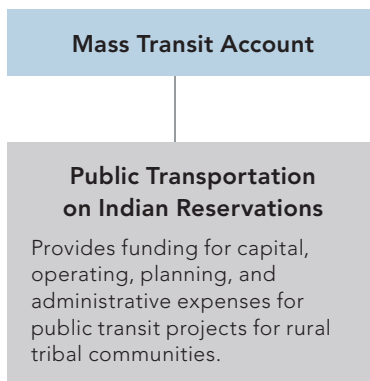
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## TRIBAL GOVERNMENT TRANSPORTATION FUNDING: CHART 24

### Federal Highway Administration Programs



### Federal Transit Administration Programs



**Note:** While all federally recognized tribes can participate in the Tribal Transportation Program (TTP), only those with a tribal transportation plan and a transportation improvement plan are eligible to receive TTP funds.

For more information on FHWA programs visit <https://www.fhwa.dot.gov/fastact/factsheets/tribaltransportationfs.cfm>

For more information on the FTA program visit <https://www.transit.dot.gov/tribal-transit>

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