

**GENERAL MEETING OF THE BOARD OF DIRECTORS
OF THE
CENTRAL TEXAS REGIONAL MOBILITY AUTHORITY**

RESOLUTION NO. 16-001

ACCEPT THE FINANCIAL STATEMENTS FOR DECEMBER 2015.

WHEREAS, the Central Texas Regional Mobility Authority (“Mobility Authority”) is empowered to procure such goods and services as it deems necessary to assist with its operations and to study and develop potential transportation projects, and is responsible to insure accurate financial records are maintained using sound and acceptable financial practices; and

WHEREAS, close scrutiny of the Mobility Authority’s expenditures for goods and services, including those related to project development, as well as close scrutiny of the Mobility Authority’s financial condition and records is the responsibility of the Board and its designees through procedures the Board may implement from time to time; and

WHEREAS, the Board has adopted policies and procedures intended to provide strong fiscal oversight and which authorize the Executive Director, working with the Mobility Authority’s Chief Financial Officer, to review invoices, approve disbursements, and prepare and maintain accurate financial records and reports; and

WHEREAS, the Executive Director, working with the Chief Financial Officer, has reviewed and authorized the disbursements necessary for the month of December 2015, and has caused Financial Statements to be prepared and attached to this resolution as Exhibit 1.

NOW THEREFORE, BE IT RESOLVED, that the Board of Directors accepts the Financial Statements for December 2015, attached as Exhibit 1.

Adopted by the Board of Directors of the Central Texas Regional Mobility Authority on the 27TH day of January 2016.

Submitted and reviewed by:



Geoffrey S. Petrov, General Counsel

Approved:



Ray A. Wilkerson
Chairman, Board of Directors

Exhibit 1

Financial Statements for December 2015

Central Texas Regional Mobility Authority
Income Statement
All Operating Departments

Account Name	Budget Amount FY 2016	Actual Year to Date 12/31/2015	Percent of Budget	Actual PY to Date 12/31/2014
Revenue				
Operating Revenue				
Toll Revenue-TxTag-183A	32,107,731	13,618,926	42.42%	12,993,858
Toll Revenue-HCTRA-183A	1,678,072	1,205,023	71.81%	967,280
Toll Revenue-NTTA-183A	1,425,660	1,936,303	135.82%	424,309
Toll Revenue-TxTag-Manor	8,014,417	4,546,519	56.73%	3,914,867
Toll Revenue-HCTRA Manor	1,561,572	918,726	58.83%	749,869
Toll Revenue-NTTA-Manor	392,459	287,713	73.31%	163,141
Video Tolls 183A	9,541,998	4,302,995	45.10%	3,166,493
Video Tolls Manor Expressway	4,334,167	1,719,785	39.68%	1,041,314
Fee revenue 183A	2,471,500	1,560,227	63.13%	950,734
Fee revenue Manor Expressway	885,000	783,325	88.51%	406,253
Total Operating Revenue	62,412,575	30,879,543	49.48%	24,778,119
Other Revenue				
Interest Income	250,000	166,144	66.46%	166,178
Grant Revenue	3,130,258	33,375,251	1066.21%	59,214,724
Reimbursed Expenditures	-	2,849		-
Misc Revenue	-	48,322		9,045
Total Other Revenue	3,380,258	33,592,566	993.79%	59,389,948
Total Revenue	\$ 65,792,833	\$ 64,472,109	97.99%	84,168,066

**Central Texas Regional Mobility Authority
Income Statement
All Operating Departments**

Account Name	Budget Amount FY 2016	Actual Year to Date 12/31/2015	Percent of Budget	Actual PY to Date 12/31/2014
Expenses				
Salaries and Wages				
Salary Expense-Regular	2,710,710	1,385,127	51.10%	1,185,165
Part Time Salary Expense	36,000	-	0.00%	-
Overtime Salary Expense	3,000	-	0.00%	-
Salary Reserve	40,000	-	0.00%	-
TCDRS	349,552	187,138	53.54%	156,549
FICA	109,682	48,800	44.49%	35,746
FICA MED	34,956	20,160	57.67%	17,301
Health Insurance Expense	232,154	126,614	54.54%	99,346
Life Insurance Expense	6,468	2,021	31.24%	2,232
Auto Allowance Expense	10,200	5,100	50.00%	-
Other Benefits	203,942	57,435	28.16%	93,360
Unemployment Taxes	14,400	72	0.50%	30
Total Salaries and Wages	3,751,064	1,832,466	48.85%	1,589,729

Central Texas Regional Mobility Authority
Income Statement
All Operating Departments

Account Name	Budget Amount FY 2016	Actual Year to Date 12/31/2015	Percent of Budget	Actual PY to Date 12/31/2014
Administrative				
Administrative and Office Expenses				
Accounting	7,500	6,878	91.71%	3,719
Auditing	75,000	36,247	48.33%	51,888
Human Resources	50,000	2,917	5.83%	81,189
IT Services	64,000	19,324	30.19%	28,822
Internet	1,700	3,381	198.87%	824
Software Licenses	76,100	11,817	15.53%	9,087
Cell Phones	13,600	5,578	41.01%	5,750
Local Telephone Service	13,000	5,092	39.17%	7,264
Overnight Delivery Services	850	97	11.42%	38
Local Delivery Services	900	217	24.14%	-
Copy Machine	12,000	7,531	62.76%	5,400
Repair & Maintenance-General	1,000	1,882	188.15%	842
Meeting Facilities	250	-	0.00%	-
CommunityMeeting/ Events	2,000	616	30.80%	-
Meeting Expense	15,000	2,878	19.19%	4,112
Public Notices	2,000	-	0.00%	-
Toll Tag Expense	1,700	360	21.17%	728
Parking	3,475	1,730	49.78%	1,612
Mileage Reimbursement	9,600	2,965	30.89%	2,633
Insurance Expense	180,000	59,939	33.30%	45,972
Rent Expense	525,000	261,688	49.85%	221,193
Legal Services	220,000	92,730	42.15%	86,891
Total Administrative and Office Expenses	1,274,675	523,868	41.10%	557,962
Office Supplies				
Books & Publications	5,950	297	5.00%	881
Office Supplies	12,000	8,964	74.70%	4,651
Computer Supplies	20,200	9,918	49.10%	5,884
Copy Supplies	2,200	851	38.69%	391
Other Reports-Printing	13,000	5,088	39.14%	553
Office Supplies-Printed	2,700	2,589	95.90%	760
Misc Materials & Supplies	3,000	387	12.91%	538
Postage Expense	5,850	249	4.26%	308
Total Office Supplies	64,900	28,344	43.67%	13,966

Central Texas Regional Mobility Authority
Income Statement
All Operating Departments

Account Name	Budget Amount FY 2016	Actual Year to Date 12/31/2015	Percent of Budget	Actual PY to Date 12/31/2014
Communications and Public Relations				
Graphic Design Services	50,000	18,008	36.02%	3,521
Website Maintenance	100,000	12,403	12.40%	2,865
Research Services	50,050	-	0.00%	3,562
Communications and Marketing	250,000	124,768	49.91%	53,184
Advertising Expense	225,200	94,029	41.75%	46,503
Direct Mail	10,000	380	3.80%	190
Video Production	20,000	34,229	171.14%	-
Photography	10,000	8,220	82.20%	-
Radio	10,000	-	0.00%	-
Other Public Relations	27,500	3,500	12.73%	-
Promotional Items	17,500	8,322	47.55%	1,795
Displays	5,000	-	0.00%	-
Annual Report printing	14,000	-	0.00%	-
Direct Mail Printing	11,300	-	0.00%	-
Other Communication Expenses	1,500	627	41.80%	5,349
Total Communications and Public Relations	802,050	304,484	37.96%	116,969
Employee Development				
Subscriptions	1,500	432	28.80%	922
Memberships	37,100	32,205	86.81%	3,570
Continuing Education	4,550	-	0.00%	3,520
Professional Development	12,200	123	1.00%	3,000
Other Licenses	950	430	45.26%	457
Seminars and Conferences	41,000	7,191	17.54%	19,570
Travel	88,000	37,009	42.06%	14,875
Total Employee Development	185,300	77,390	41.76%	45,915

Central Texas Regional Mobility Authority
Income Statement
All Operating Departments

Account Name	Budget Amount FY 2016	Actual Year to Date 12/31/2015	Percent of Budget	Actual PY to Date 12/31/2014
Financing and Banking Fees				
Trustee Fees	16,000	3,225	20.16%	-
Bank Fee Expense	8,000	2,879	35.99%	2,647
Continuing Disclosure	10,000	-	0.00%	9,706
Arbitrage Rebate Calculation	8,000	3,685	46.06%	7,970
Loan Fee Expense	5,000	-	0.00%	-
Rating Agency Expense	50,000	14,000	28.00%	13,500
Total Financing and Banking Fees	97,000	23,789	24.52%	33,823
Total Administrative	2,423,925	957,876	39.52%	768,635
Operations and Maintenance				
Operations and Maintenance Consulting				
General Engineering Consultant	250,000	-	0.00%	(5,718)
GEC-Trust Indenture Support	142,000	-	0.00%	-
GEC-Financial Planning Support	10,000	-	0.00%	5,436
GEC-Toll Ops Support	20,000	1,632	8.16%	1,889
GEC-Roadway Ops Support	261,000	185,010	70.89%	118,269
GEC-Technology Support	15,000	34,241	228.27%	-
GEC-Public Information Support	-	3,010		-
GEC-General Support	318,000	73,925	23.25%	61,281
General System Consultant	175,000	87,320	49.90%	52,287
Traffic and Revenue Consultant	60,000	56,590	94.32%	22,309
Total Ops and Mtce Consulting	1,251,000	441,728	35.31%	255,755
Road Operations and Maintenance				
Roadway Maintenance	1,800,000	291,241	16.18%	90,272
Landscape Maintenance	110,000	97,326	88.48%	96,777
Signal & Illumination Maint	20,000	48,204	241.02%	43,211
Maintenance Supplies-Roadway	30,000	68,433	228.11%	153
Tools & Equipment Expense	250	289	115.44%	-
Gasoline	6,000	941	15.69%	1,299
Repair & Maintenance-Vehicles	1,500	4,105	273.68%	1,862
Roadway Operations	-	521		-
Electricity - Roadways	160,000	71,369	44.61%	45,824

Central Texas Regional Mobility Authority
Income Statement
All Operating Departments

Account Name	Budget Amount FY 2016	Actual Year to Date 12/31/2015	Percent of Budget	Actual PY to Date 12/31/2014
Total Road Operations and Maintenance	2,127,750	582,430	27.37%	279,398
Toll Processing and Collection Expense				
Image Processing	4,527,740	1,009,113	22.29%	1,079,245
Tag Collection Fees	2,823,744	1,423,666	50.42%	960,023
Court Enforcement Costs	30,000	6,100	20.33%	13,955
DMV Lookup Fees	4,000	1,148	28.70%	1,605
Total Toll Processing and Collections	7,385,484	2,440,027	33.04%	2,054,828
Toll Operations Expense				
Facility maintenance	-	787		67
Generator Maintenance	10,000	2,300	23.00%	4,450
Generator Fuel	6,000	1,291	21.51%	-
Fire and Burglar Alarm	500	247	49.35%	247
Elevator Maintenance	2,800	-	0.00%	-
Refuse	800	396	49.56%	332
Pest Control	1,600	1,835	114.69%	640
Custodial	2,000	1,250	62.50%	1,581
Telecommunications	80,000	35,414	44.27%	39,570
Water	8,000	3,061	38.26%	2,233
Electricity	-	-	0.00%	10,166
Repair & Maintenance Toll Equip	500,000	299,375	59.87%	-
Law Enforcement	265,225	63,948	24.11%	124,940
ETC Maintenance Contract	1,368,000	682,650	49.90%	569,033
ETC Testing	70,000	-	0.00%	-
Total Toll Operations	2,314,925	1,092,553	47.20%	753,257
Total Operations and Maintenance	13,079,159	4,556,738	34.84%	3,343,238
Other Expenses				
Special Projects and Contingencies				
HERO	1,400,000	572,944	40.92%	500,127
Special Projects	200,000	487,047	243.52%	253,454
Other Contractual Svcs	130,000	20,078	15.44%	25,258
Contingency	165,000	10,092	6.12%	-

Central Texas Regional Mobility Authority
Income Statement
All Operating Departments

Account Name	Budget Amount FY 2016	Actual Year to Date 12/31/2015	Percent of Budget	Actual PY to Date 12/31/2014
Total Special Projects and Contingencies	1,895,000	1,090,162	57.53%	778,839
Non Cash Expenses				
Amortization Expense	275,000	191,615	69.68%	133,326
Amort Expense - Refund Savings	1,030,000	513,930	49.90%	513,930
Dep Exp- Furniture & Fixtures	5,000	368	7.36%	-
Dep Expense - Equipment	15,000	4,138	27.59%	4,361
Dep Expense - Autos & Trucks	10,000	2,176	21.76%	3,449
Dep Expense-Buildng & Toll Fac	200,000	88,557	44.28%	88,557
Dep Expense-Highways & Bridges	20,000,000	8,425,933	42.13%	8,306,542
Dep Expense-Communic Equip	250,000	98,058	39.22%	98,058
Dep Expense-Toll Equipment	3,000,000	1,376,394	45.88%	1,371,419
Dep Expense - Signs	350,000	162,947	46.56%	161,186
Dep Expense-Land Improvemts	900,000	442,467	49.16%	437,493
Depreciation Expense-Computers	28,000	8,209	29.32%	13,673
Total Non Cash Expenses	26,063,000	11,314,792	43.41%	11,131,993
Total Other Expenses	27,958,000	12,404,954	44.37%	11,910,832
Non Operating Expenses				
Non Operating Expense				
Bond issuance expense	200,000	106,754	53.38%	106,754
Interest Expense	44,660,046	20,942,835	46.89%	20,578,870
Community Initiatives	65,000	35,000	53.85%	46,000
Total Non Operating Expense	44,925,046	21,084,589	46.93%	20,731,624
Total Expenses	\$ 92,137,194	\$ 40,836,622	44.32%	\$ 38,344,058
Net Income	\$ (26,344,361)	\$ 23,635,487		\$ 45,824,008

Central Texas Regional Mobility Authority

Balance Sheet

as of 12/31/2015

as of 12/31/2014

Assets

Current Assets

Cash

Regions Operating Account	\$467,903	\$662,771
Cash In TexSTAR	681,574	680,960
Regions Payroll Account	84,025	58,413
Restricted Cash		0
Fidelity Govt MMA	596,052,519	259,609,065
Restricted Cash-TexStar	6,922,839	9,002,460
Overpayments account	122,380	65,621
Total Cash and Cash Equivalents	604,331,240	270,079,289

Accounts Receivable

Accounts Receivable	17,717	414,892
Due From TTA	296,659	233,087
Due From NTTA	375,768	282,243
Due From HCTRA	713,418	554,806
Due From TxDOT	1,862,043	2,164,132
Interest Receivable	53,646	84,430
Total Receivables	3,319,251	3,733,590

Short Term Investments

Certificates of Deposit	-	5,000,000
Agencies	17,490,591	20,807,807
Total Short Term Investments	17,490,591	25,807,807

Total Current Assets

625,141,083 299,620,687

Total Construction In Progress

218,993,088 103,743,038

Fixed Assets (Net of Depreciation)

Computers	48,373	67,852
Computer Software	1,327,495	1,051,444
Furniture and Fixtures	16,187	6,510
Equipment	(766)	4,024
Autos and Trucks	24,023	5,744,218
Buildings and Toll Facilities	5,567,103	613,689,035
Highways and Bridges	606,507,835	473,945
Communication Equipment	316,479	21,248,346
Toll Equipment	18,600,026	11,602,561
Signs	11,419,302	12,632,315
Land Improvements	11,951,340	85,152,004
Right of Way	86,838,919	180,818
Leasehold Improvements	170,842	-
Total Fixed Assets	742,787,160	751,853,073

Other Assets

Intangible Assets-Net	12,386,493	13,414,353
2005 Bond Insurance Costs	4,821,728	5,035,236
Prepaid Insurance	106,710	68,002
Total Other Assets	17,314,932	18,517,591

Total Assets

\$1,604,236,263 **\$1,173,734,389**

Central Texas Regional Mobility Authority

Balance Sheet

as of 12/31/2015

as of 12/31/2014

Liabilities

Current Liabilities

Accounts Payable	\$869,434	\$1,034,557
Construction Payable-Maha Loop	3,237,919	8,549,671
Overpayments	124,493	67,374
Interest Payable	21,581,947	19,934,474
TCDRS Payable	54,072	41,651
Medical Reimbursement Payable	2,160	-
Due to Other Entities	676,634	987,010
Other	650,000	-

Total Current Liabilities	27,196,659	30,614,737
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Long Term Liabilities

Accrued Vac & Sick Leave Payable	189,089	189,089
Total Long Term Payables	189,089	189,089

Bonds Payable

Senior Lien Revenue Bonds:		
Senior Lien Revenue Bonds 2010	113,695,345	109,959,574
Senior Lien Revenue Bonds 2011	309,088,674	308,296,065
Senior Refunding Bonds 2013	152,555,000	184,710,000
Senior Lien Revenue Bonds 2015	298,790,000	-
Senior Lien Put Bnd 2015	68,785,000	-
Sn Lien Rev Bnd Prem/Disc 2010	32,866	72,923
Sn Lien Rev Bnd Prem/Disc 2011	(3,329,183)	(3,506,558)
Sn Lien Rev Bnd Prem/Disc 2013	13,081,184	15,508,730
Sn Lien Revenue Bnd Prem 2015	23,768,611	-
Sn Lien Put Bnd Prem 2015	8,384,867	-
Total Senior Lien Revenue Bonds	984,852,363	615,040,732

Sub Lien Revenue Bonds:		
Subordinated Lien Bond 2011	70,000,000	70,000,000
Sub Refunding Bnds 2013	102,530,000	103,710,000
Sub Lien Bond 2011 Prem/Disc	(1,740,050)	(1,838,031)
Sub Refunding 2013 Prem/Disc	3,056,442	3,542,745
Tot Sub Lien Revenue Bonds	173,846,392	175,414,714

Other Obligations

TIFIA Note 2015	50,236	-
SIB Loan 2015	25,034	-
State Highway Fund Loan 2015	25,034	-
2011 Regions Draw Down Note	0	2,211,258
2013 American Bank Loan	5,300,000	5,300,000
Total Other Obligations	5,400,304	7,511,258

Total Long Term Liabilities	1,164,288,147	798,155,793
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Total Liabilities	1,191,484,806	828,770,530
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Net Assets

Contributed Capital	35,847,060	35,847,060
Net Assets Beginning	353,268,910	263,492,791
Current Year Operations	23,635,487	45,624,008
Total Net Assets	412,751,457	344,963,859

Total Liabilities and Net Assets	\$1,604,236,263	\$1,173,734,389
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Central Texas Regional Mobility Authority
Statement of Cash Flows - FY 2016
as of December 31, 2015

Cash flows from operating activities:

Receipts from toll fees	\$31,162,639
Receipts from Department of Transportation	
Receipts from other fees	51,171
Receipts from interest income	
Payments to vendors	(7,354,299)
Payments to employees	(1,830,871)
Net cash flows provided by (used in) operating activities	<u>22,028,640</u>

Cash flows from capital and related financing activities:

Proceeds from Line of Credit	-
Payments on bonds	(1,730,258)
Receipts from Department of Transportation	43,664,646
Payments on interest	351,832,551
Acquisitions of construction in progress	(89,218,390)
Net cash flows provided by capital and related financing activities	<u>304,548,550</u>

Cash flows from investing activities:

Interest income	176,201
Purchase of investments	(17,306,174)
Proceeds from sale or maturity of investments	28,222,732
Net cash flows provided by investing activities	<u>11,092,759</u>

Net increase in cash and cash equivalents	337,669,949
Cash and cash equivalents at beginning of period	<u>259,056,878</u>
Cash and cash equivalents at end of December	<u><u>\$596,726,827</u></u>

Reconciliation of change in net assets to net cash provided by operating activities:

Operating income	<u>\$10,988,221</u>
Adjustments to reconcile change in net assets to net cash provided by operating activities:	
Depreciation and amortization	10,609,247
Changes in assets and liabilities:	
Decrease in accounts receivable	334,267
(Increase) decrease in prepaid expenses and other assets	(83,580)
(Increase) in non-cash revenue (due from other agencies)	
(Decrease) increase in accounts payable	(1,290,384)
Increase (decrease) in accrued expenses	765,326
(Decrease) increase in Deferred Revenue	
(Increase) in deferred inflow of resources	705,545
Total adjustments	<u>11,040,420</u>
Net cash flows provided by operating activities	<u><u>\$22,028,640</u></u>

Reconciliation of cash and cash equivalents:

Unrestricted cash and cash equivalents	\$674,308
Restricted cash and cash equivalents	<u>596,052,519</u>
Total	<u><u>\$596,726,827</u></u>

INVESTMENTS by FUND

		Balance	
		December 31, 2015	
Renewal & Replacement Fund			TexSTAR 7,604,413.19
TexSTAR	3,109.85		CD's -
Regions Sweep	687,943.19		Regions Sweep 592,980,783.94
Agencies		691,053.04	Agencies 17,490,591.35
TxDOT Grant Fund			
TexSTAR	82,276.98		
Regions Sweep	9,453,085.02		
CD's			
Agencies		9,535,362.00	
Senior Debt Service Reserve Fund			
TexSTAR	590,623.47		
Regions Sweep	63,663,562.26		
Agencies	17,490,591.35	81,744,777.08	
Senior Debt Service Reserve 2015			
Regions Sweep	-	-	
2010 Senior Lien DSF			
Regions Sweep	1,717,828.06		
TexSTAR	-	1,717,828.06	
2011 Debt Service Acct			
Regions Sweep	8,949,572.94	8,949,572.94	
2013 Sr Debt Service Acct			
Regions Sweep	8,491,263.84	8,491,263.84	
2013 Sub Debt Service Account			
Regions Sweep	3,063,848.32	3,063,848.32	
2015 Sr Capitalized Interest			
Regions Sweep	77,192,061.01	77,192,061.01	
2015B Debt Service Account			
Regions Sweep	401,245.83	401,245.83	
2011 Sub Debt DSRF			
Regions Sweep	7,068,048.07		
CD's		7,068,048.07	
2011 Sub DSF			
Regions Sweep	2,362,914.43	2,362,914.43	
Operating Fund			
TexSTAR	681,574.26		
TexSTAR-Trustee	2,071,675.10		
Regions Sweep	-	2,753,249.36	
Revenue Fund			
Regions Sweep	2,258,118.86	2,258,118.86	
General Fund			
TexSTAR	53.78		
Regions Sweep	29,943,853.67		
Agencies		29,943,907.45	
2013 Sub Debt Service Reserve Fund			
Regions Sweep	8,461,730.10		
Agencies		8,461,730.10	
MoPac Construction Fund			
Regions Sweep	79,292,202.93	79,292,202.93	
2010 Senior Lien Construction Fund			
Regions Sweep	0.00	0.00	
2011 Sub Debt Project fund			
TexSTAR	4,175,099.75		
Agencies			
Regions Sweep	11,745,385.55	15,920,485.30	
2015B Project Account			
Regions Sweep	40,001,315.07	40,001,315.07	
2015A Project Account			
Regions Sweep	193,191,619.20	193,191,619.20	
2015 TIFIA Project Account			
Regions Sweep	182.32	182.32	
2015 State Highway Fund Project Account			
Regions Sweep	0.89	0.89	
2015 SIB Project Account			
Regions Sweep	0.89	0.89	
2011 Sr Financial Assistance Fund			
Regions Sweep	33,456,798.50	33,456,798.50	
2011 Senior Lien Project Fund			
Regions Sweep	299,135.14		
Agencies		299,135.14	
2015 Regions Bank Loan			
Regions Sweep	361.60	361.60	
45SW Trust Account Hays County			
Regions Sweep	86,711.48	86,711.48	
45SW Trust Account Travis County			
Regions Sweep	11,191,994.77	11,191,994.77	
		<u>11,191,994.77</u>	
		<u>\$ 618,075,788.48</u>	

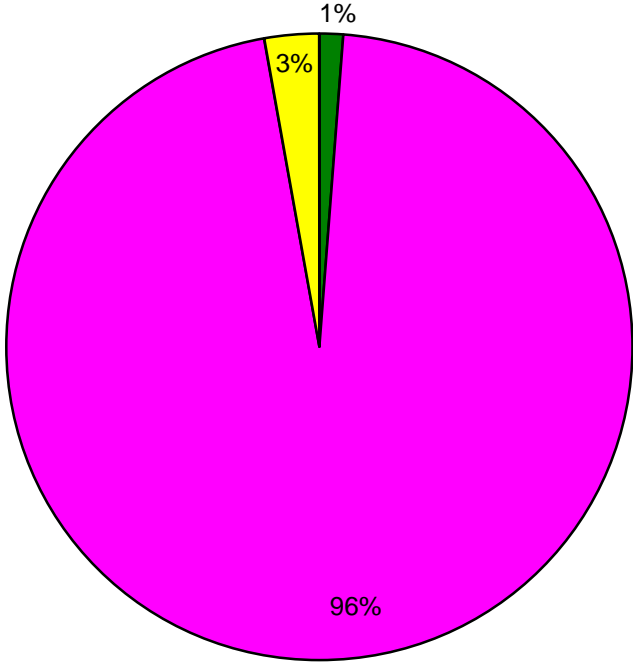
CTRMA INVESTMENT REPORT

	Month Ending 12/31/15					Rate Dec 15	
	Balance 12/1/2015	Additions	Discount Amortization	Accrued Interest	Withdrawals		Balance 12/31/2015
Amount in Trustee TexStar							
2011 Sub Lien Construction Fund	4,174,437.52			662.23		4,175,099.75	0.242%
General Fund	53.78					53.78	0.242%
Trustee Operating Fund	2,271,350.25	1,300,000.00		324.85	1,500,000.00	2,071,675.10	0.242%
Renewal and Replacement	3,109.37			0.48		3,109.85	0.242%
TxDOT Grant Fund	82,263.93			13.05		82,276.98	0.242%
Senior Lien Debt Service Reserve Fund	590,529.79			93.68		590,623.47	0.242%
	7,121,744.64	1,300,000.00		1,094.29	1,500,000.00	6,922,838.93	
Amount in TexStar Operating Fund	681,463.26	1,500,000.00		111.00	1,500,000.00	681,574.26	0.242%
Regions Sweep Money Market Fund							
Operating Fund	0.00	1,300,000.00			1,300,000.00	0.00	0.100%
45SW Trust Account Travis County	11,239,620.24			929.42	48,554.89	11,191,994.77	0.100%
45SW Trust Account Hays County	90,277.21			7.42	3,573.15	86,711.48	0.100%
2015A Project account	206,835,618.19			6,183.15	13,650,182.14	193,191,619.20	0.100%
2015B Project Account	40,000,000.00			1,315.07		40,001,315.07	0.100%
2015 State Highway Fund Project Acct	25,000.00			0.89	25,000.00	0.89	0.100%
2015 TIFIA Project Account	50,180.81			1.51	50,000.00	182.32	0.100%
2015 SIB Project Account	25,000.00			0.89	25,000.00	0.89	0.100%
2011 Sub Lien Project Acct	18,846,998.77			1,555.30	7,103,168.52	11,745,385.55	0.100%
2011 Senior Lien Project Acct	299,110.56			24.58		299,135.14	0.100%
2011 Sr Financial Assistance Fund	33,454,287.20			2,511.30		33,456,798.50	0.100%
2010 Senior DSF	1,431,538.73	286,183.43		105.90		1,717,828.06	0.100%
2011 Senior Lien Debt Service Acct	8,434,961.96	513,938.82		672.16		8,949,572.94	0.100%
2011 Sub Debt Service Fund	1,969,116.05	393,652.71		145.67		2,362,914.43	0.100%
2013 Senior Lien Debt Service Acct	7,840,435.46	650,229.17		599.21		8,491,263.84	0.100%
2013 Subordinate Debt Service Acct	2,594,895.44	468,758.87		194.01		3,063,848.32	0.100%
2015 Sr Capitalized Interest	77,189,523.27			2,537.74		77,192,061.01	0.100%
2015 Regions Bank Loan	361.59			0.01		361.60	0.100%
2015B Debt Service Acct	0.00	401,245.83		0.00		401,245.83	0.100%
TxDOT Grant Fund	9,452,308.12			776.90		9,453,085.02	0.100%
Renewal and Replacement	687,886.65			56.54		687,943.19	0.100%
Revenue Fund	1,504,423.82	6,280,135.95		180.59	5,526,621.50	2,258,118.86	0.100%
General Fund	29,293,590.89	1,160,744.70		2,696.32	513,178.24	29,943,853.67	0.100%
2011 Sub Debt Service Reserve Fund	7,067,467.18			580.89		7,068,048.07	0.100%
Senior Lien Debt Service Reserve Fund	30,423,067.59	33,237,994.15		2,500.52		63,663,562.26	0.100%
Senior Lien Debt Service Reserve 2015	33,236,901.43			1,092.72	33,237,994.15	0.00	0.100%
2013 Sub Debt Service Reserve Fund	8,461,034.67			695.43		8,461,730.10	0.100%
MoPac Managed Lane Construction Fund	86,575,891.42			7,155.31	7,290,843.80	79,292,202.93	0.100%
	617,029,497.25	44,692,883.63	0.00	32,519.45	68,774,116.39	592,980,783.94	
Amount in Fed Agencies and Treasuries							
Amortized Principal	17,492,494.02		(1,902.67)			17,490,591.35	
	17,492,494.02	0.00				17,490,591.35	
Certificates of Deposit						0.00	
Total in Pools	7,803,207.90	2,800,000.00		1,205.29	3,000,000.00	7,604,413.19	
Total in Money Market	617,029,497.25	44,692,883.63		32,519.45	68,774,116.39	592,980,783.94	
Total in Fed Agencies	17,492,494.02	0.00	(1,902.67)			17,490,591.35	
Total Invested	642,325,199.17	47,492,883.63	(1,902.67)	33,724.74	71,774,116.39	618,075,788.48	

All Investments in the portfolio are in compliance with the CTRMA's Investment policy.

William Chapman, CFO

Allocation of Funds



- Total in Pools
- Total in Money Market
- Total in Fed Agencies
- Total in CD's

Amount of investments As of December 31, 2015

Agency	CUSIP #	COST	Book Value	Market Value	Yield to Maturity	Purchased	Matures	FUND
Fannie Mae	3135G0VA8	5,003,500.00	5,000,403.85	5,000,400.00	0.0468%	1/23/2014	3/1/3016	Senior DSRF
Federal Home loan Bank	3130A4MN9	2,499,600.00	2,499,866.67	2,499,650.00	0.3650%	3/11/2015	4/6/2016	Senior DSRF
Farmer Mac	31315PV55	2,501,200.00	2,500,700.00	2,495,600.00	0.7751%	3/11/2015	2/23/2017	Senior DSRF
Federal Farm Credit	3133ECA79	4,959,250.00	4,969,437.50	4,959,600.00	1.2155%	3/11/2015	3/19/2018	Senior DSRF
Northeast Texas ISD	659155HX6	2,534,600.00	2,520,183.33	2,518,150.00	0.6010%	8/3/2015	8/1/2016	Senior DSRF
		<u>17,498,150.00</u>	<u>17,490,591.35</u>	<u>17,473,400.00</u>				

Agency	CUSIP #	COST	Cumulative Amortization	12/31/2015		Interest Income December 31, 2015		
				Book Value	Maturity Value	Accrued Interest	Amortization	Interest Earned
Fannie Mae	3135G0VA8	5,003,500.00	3,096.15	5,000,403.85	5,000,000.00	2,083.33	(134.62)	1,948.71
Federal Home loan Bank	3130A4MN9	2,499,600.00	(266.67)	2,499,866.67	2,500,000.00	729.17	33.33	762.50
Farmer Mac	31315PV55	2,501,200.00	500.00	2,500,700.00	2,500,000.00	1,666.67	(50.00)	1,616.67
Federal Farm Credit	3133ECA79	4,959,250.00	(10,187.50)	4,969,437.50	5,000,000.00	3,916.67	1,131.94	5,048.61
Northeast Texas ISD	659155HX6	2,534,600.00	14,416.67	2,520,183.33	2,500,000.00	4,166.67	(2,883.33)	1,283.34
		<u>17,498,150.00</u>	<u>7,558.65</u>	<u>17,490,591.35</u>	<u>17,500,000.00</u>	<u>12,562.51</u>	<u>(1,902.68)</u>	<u>10,659.83</u>

December 31, 2015

Certificates of Deposit Outstanding

Bank	CUSIP #	COST	Yield to Maturity	Purchased	Matures	December 31, 2015 Interest	FUND
		- =====				\$ - =====	

Travis County Escrow account

Balance		Accrued		Balance
12/1/2015	Additions	Interest	Withdrawals	12/31/2015
\$ 3,158,244.57		\$ 268.86	\$ 86,778.71	\$ 3,071,734.72



Monthly Newsletter – December 2015

Performance

As of December 31, 2015

December Averages

Current Invested Balance	\$5,077,006,074.74	Average Invested Balance	\$4,953,845,564.99
Weighted Average Maturity (1)	40 Days	Average Monthly Yield, on a simple basis	0.1868%
Weighted Average Maturity (2)	68 Days	Average Weighted Average Maturity (1)*	45 Days
Net Asset Value	0.999915	Average Weighted Average Maturity (2)*	75 Days
Total Number of Participants	797		
Management Fee on Invested Balance	0.05%*		
Interest Distributed	\$994,411.24		
Management Fee Collected	\$210,360.21		
% of Portfolio Invested Beyond 1 Year	3.45%		
Standard & Poor's Current Rating	AAAm		

Definition of Weighted Average Maturity (1) & (2)

- (1) This weighted average maturity calculation uses the SEC Rule 2a-7 definition for stated maturity for any floating rate instrument held in the portfolio to determine the weighted average maturity for the pool. This Rule specifies that a variable rate instrument to be paid in 397 calendar days or less shall be deemed to have a maturity equal to the period remaining until the next readjustment of the interest rate.
- (2) This weighted average maturity calculation uses the final maturity of any floating rate instruments held in the portfolio to calculate the weighted average maturity for the pool.

* The maximum management fee authorized for the TexSTAR Cash Reserve Fund is 12 basis points. This fee may be waived in full or in part in the discretion of the TexSTAR co-administrators at any time as provided for in the TexSTAR Information Statement.

Rates reflect historical information and are not an indication of future performance.

Change of Address

TexSTAR Participant Services will be moving effective **January 22, 2016**. After this date, please use our new address listed below when sending any correspondence to TexSTAR. In addition, please provide this new address to your auditors for any audit confirmations they may send to TexSTAR regarding your account. There will be no changes to our phone numbers, fax number or website address.

New Address:
TexSTAR Participant Services
1201 Elm Street, Suite 3500
Dallas, Texas 75270

Holiday Reminder

In observance of Martin Luther King Jr. holiday, **TexSTAR will be closed Monday, January 18, 2016**. All ACH transactions initiated on Friday, January 15th will settle on Tuesday, January 19th.

In observance of Presidents' Day, **TexSTAR will be closed Monday, February 15, 2016**. All ACH transactions initiated on Friday, February 12th will settle on Tuesday, February 16th.

Economic Commentary

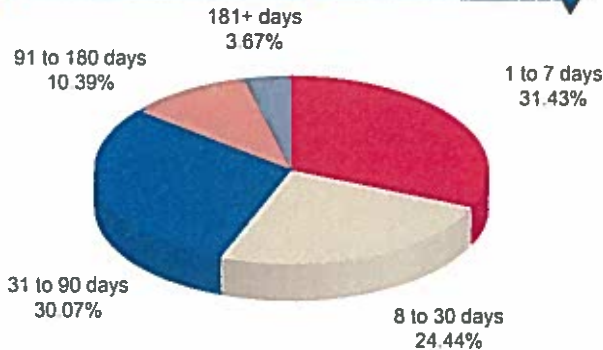
Markets entered the fourth quarter uncertain about the next move by the Federal Reserve. However as the fourth quarter got under way, U.S. labor markets showed strength, inflation stabilized and appeared to resurface in wages, and financial conditions improved, doubts began to fade as the Fed set the stage for a hike in rates at its December 16th meeting. U.S. Treasury yields moved higher as the meeting approached, leading to a muted reaction in the bond market during and after the announcement. The growing divergence between the manufacturing and service sectors remains unsustainable. The industrial side of the U.S., while small will need to stabilize in order for the economy to experience growth at or above 2.5% in 2016. The domestic service economy should remain the source of stability in the year ahead. The pace of job gains is likely to slow in 2016 as labor market slack erodes, but this should be supplemented by stronger wage gains and accelerating total income. Against the backdrop of solid income growth, elevated savings, high confidence, improved access to credit and lower energy prices, the consumer is expected to increase spending in 2016. The outlook for global growth remains a concern, particularly for China. China's expected currency devaluation will exert downward pressure on U.S. net trade. The U.S. economy is not growing at a pace that can withstand a more pronounced global slowdown. After raising rates in December for the first time since 2006, the Fed is expected to follow a gradual pace of tightening in 2016. The Fed is forecasted to raise rates three times in 2016. Only a large miss on the economic data front or some significant unforeseen event will likely deter the Fed from achieving its goal.

This information is an excerpt from an economic report dated December 2015 provided to TexSTAR by JP Morgan Asset Management, Inc., the investment manager of the TexSTAR pool.

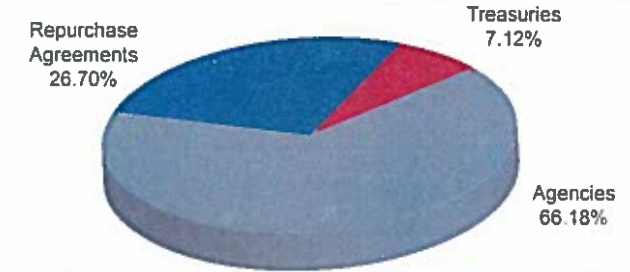
For more information about TexSTAR, please visit our web site at www.texstar.org.

Information at a Glance

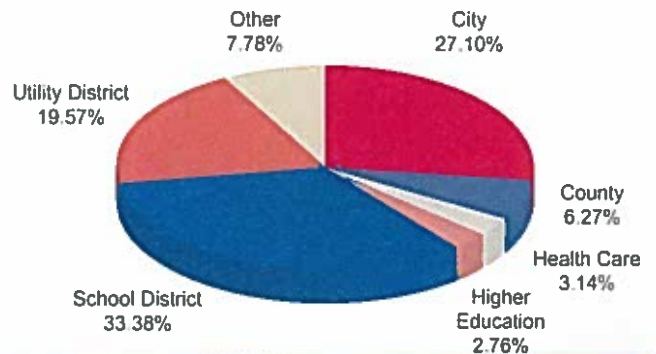
Portfolio by Type of Investment As of December 31, 2015



Distribution of Participants by Type As of December 31, 2015



Portfolio by Maturity As of December 31, 2015



Historical Program Information

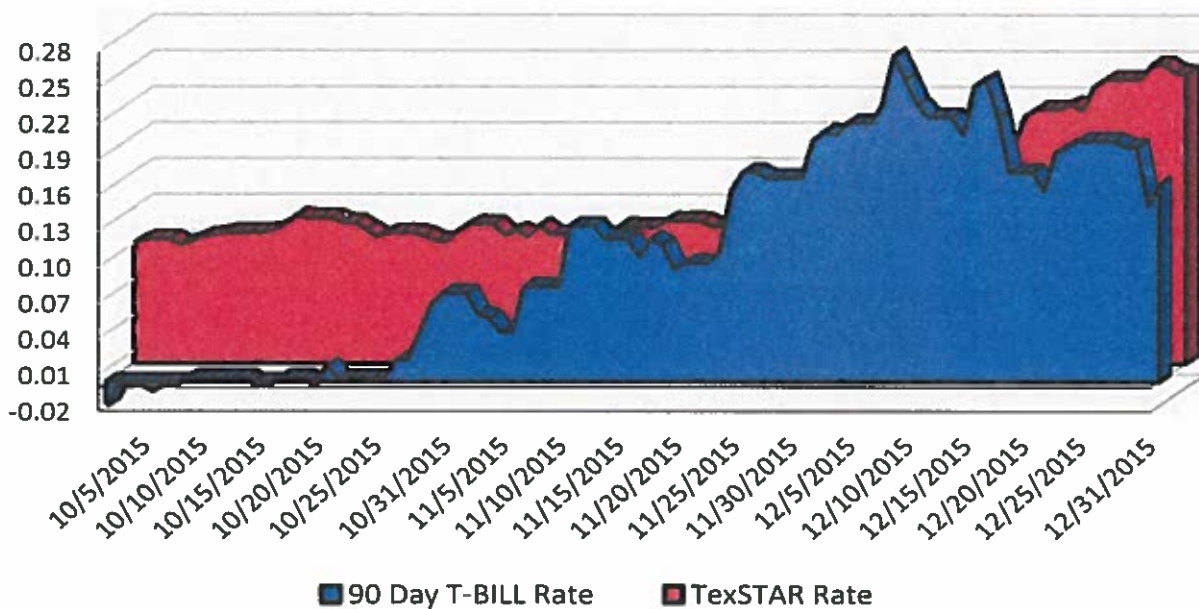
Month	Average Rate	Book Value	Market Value	Net Asset Value	WAM (1)*	WAM (2)*	Number of Participants
Dec 15	0.1868%	\$5,077,006,074.74	\$5,076,619,261.50	0.999915	45	75	797
Nov 15	0.1155%	4,985,405,721.88	4,985,138,368.79	0.999946	48	80	797
Oct 15	0.1099%	5,137,746,592.55	5,138,104,083.30	1.000066	45	72	796
Sep 15	0.0994%	5,171,964,839.33	5,172,390,234.79	1.000082	46	62	796
Aug 15	0.0823%	5,444,712,315.25	5,444,863,919.29	1.000027	47	60	796
Jul 15	0.0722%	5,191,663,669.11	5,192,008,905.67	1.000063	50	63	795
Jun 15	0.0719%	5,113,377,874.72	5,113,798,319.64	1.000082	52	68	794
May 15	0.0643%	5,481,487,398.04	5,481,958,268.19	1.000085	52	70	794
Apr 15	0.0701%	5,578,041,120.52	5,578,486,668.16	1.000079	52	74	793
Mar 15	0.0604%	5,532,363,738.20	5,532,642,521.32	1.000050	52	76	792
Feb 15	0.0548%	6,025,452,923.84	6,025,900,171.82	1.000073	49	74	792
Jan 15	0.0542%	5,795,866,262.14	5,796,287,813.37	1.000076	50	77	791

Portfolio Asset Summary as of December 31, 2015

	Book Value	Market Value
Uninvested Balance	\$ 1,445.39	\$ 1,445.39
Accrual of Interest Income	224,303.63	224,303.63
Interest and Management Fees Payable	(1,062,249.12)	(1,062,249.12)
Payable for Investment Purchased	0.00	0.00
Repurchase Agreement	1,355,792,999.76	1,355,792,999.76
Government Securities	3,722,049,575.08	3,721,662,761.84
Total	\$ 5,077,006,074.74	\$ 5,076,619,261.50

Market value of collateral supporting the Repurchase Agreements is at least 102% of the Book Value. The portfolio is managed by J.P. Morgan Chase & Co. and the assets are safekept in a separate custodial account at the Federal Reserve Bank in the name of TexSTAR. The only source of payment to the Participants are the assets of TexSTAR. There is no secondary source of payment for the pool such as insurance or guarantee. Should you require a copy of the portfolio, please contact TexSTAR Participant Services.

TexSTAR versus 90-Day Treasury Bill



This material is for information purposes only. This information does not represent an offer to buy or sell a security. The above rate information is obtained from sources that are believed to be reliable; however, its accuracy or completeness may be subject to change. The TexSTAR management fee may be waived in full or in part at the discretion of the TexSTAR co-administrators and the TexSTAR rate for the period shown reflects waiver of fees. This table represents historical investment performance/return to the customer, net of fees, and is not an indication of future performance. An investment in the security is not insured or guaranteed by the Federal Deposit Insurance Corporation or any other government agency. Although the Issuer seeks to preserve the value of an investment at \$1.00 per share, it is possible to lose money by investing in the security. Information about these and other program details are in the fund's Information Statement which should be read carefully before investing. The yield on the 90-Day Treasury Bill ("T-Bill Yield") is shown for comparative purposes only. When comparing the investment returns of the TexSTAR pool to the T-Bill Yield, you should know that the TexSTAR pool consist of allocations of specific diversified securities as detailed in the respective Information Statements. The T-Bill Yield is taken from Bloomberg Finance L.P. and represents the daily closing yield on the then current 90-day T-Bill.

Daily Summary for December 2015

Date	Mny Mkt Fund Equiv. [SEC Std.]	Daily Allocation Factor	TexSTAR Invested Balance	Market Value Per Share	WAM Days (1)*	WAM Days (2)*
12/1/2015	0.1251%	0.000003427	\$5,039,012,482.65	0.999951	46	76
12/2/2015	0.1293%	0.000003543	\$5,028,176,969.54	0.999887	47	78
12/3/2015	0.1420%	0.000003891	\$5,042,893,357.23	0.999883	47	78
12/4/2015	0.1428%	0.000003913	\$5,044,681,565.90	0.999862	45	75
12/5/2015	0.1428%	0.000003913	\$5,044,681,565.90	0.999862	45	75
12/6/2015	0.1428%	0.000003913	\$5,044,681,565.90	0.999862	45	75
12/7/2015	0.1448%	0.000003968	\$5,036,152,918.20	0.999844	44	75
12/8/2015	0.1441%	0.000003949	\$4,972,126,871.65	0.999767	44	73
12/9/2015	0.1469%	0.000004026	\$4,960,241,007.79	0.999752	44	75
12/10/2015	0.1521%	0.000004167	\$4,956,749,380.33	0.999754	46	76
12/11/2015	0.1497%	0.000004100	\$5,011,737,993.40	0.999734	44	74
12/12/2015	0.1497%	0.000004100	\$5,011,737,993.40	0.999734	44	74
12/13/2015	0.1497%	0.000004100	\$5,011,737,993.40	0.999734	44	74
12/14/2015	0.1491%	0.000004086	\$5,001,593,761.31	0.999736	44	74
12/15/2015	0.1666%	0.000004564	\$4,967,049,244.92	0.999771	46	75
12/16/2015	0.1802%	0.000004937	\$4,985,594,521.70	0.999773	47	78
12/17/2015	0.2060%	0.000005644	\$4,814,824,267.47	0.999757	48	79
12/18/2015	0.2122%	0.000005814	\$4,863,389,939.91	0.999773	46	76
12/19/2015	0.2122%	0.000005814	\$4,863,389,939.91	0.999773	46	76
12/20/2015	0.2122%	0.000005814	\$4,863,389,939.91	0.999773	46	76
12/21/2015	0.2162%	0.000005924	\$4,854,641,572.74	0.999777	46	76
12/22/2015	0.2117%	0.000005800	\$4,914,059,793.34	0.999820	44	74
12/23/2015	0.2307%	0.000006320	\$4,834,519,702.64	0.999840	46	77
12/24/2015	0.2370%	0.000006492	\$4,849,057,838.45	0.999846	44	74
12/25/2015	0.2370%	0.000006492	\$4,849,057,838.45	0.999846	44	74
12/26/2015	0.2370%	0.000006492	\$4,849,057,838.45	0.999846	44	74
12/27/2015	0.2374%	0.000006492	\$4,849,057,838.45	0.999846	44	74
12/28/2015	0.2492%	0.000006828	\$4,986,735,981.71	0.999864	42	71
12/29/2015	0.2494%	0.000006834	\$4,957,171,773.26	0.999889	42	70
12/30/2015	0.2433%	0.000006665	\$4,985,002,981.91	0.999918	44	72
12/31/2015	0.2417%	0.000006621	\$5,077,006,074.74	0.999915	40	68
Average	0.1868%	0.000005118	\$4,953,845,564.99		45	75

TexSTAR Participant Services
First Southwest Asset Company, LLC
325 North St. Paul Street, Suite 800
Dallas, Texas 75201



TexSTAR Board Members

<i>William Chapman</i>	<i>Central Texas Regional Mobility Authority</i>	<i>Governing Board President</i>
<i>Nell Lange</i>	<i>City of Frisco</i>	<i>Governing Board Vice President</i>
<i>Kenneth Huewitt</i>	<i>Houston ISD</i>	<i>Governing Board Treasurer</i>
<i>David Medanich</i>	<i>First Southwest Company</i>	<i>Governing Board Secretary</i>
<i>Joni Freeman</i>	<i>JP Morgan Chase</i>	<i>Governing Board Asst. Sec./Treas.</i>
<i>Eric Cannon</i>	<i>City of Allen</i>	<i>Advisory Board</i>
<i>Nicole Conley</i>	<i>Austin ISD</i>	<i>Advisory Board</i>
<i>Monte Mercer</i>	<i>North Central TX Council of Government</i>	<i>Advisory Board</i>
<i>Stephen Fortenberry</i>	<i>Plano ISD</i>	<i>Advisory Board</i>
<i>Becky Brooks</i>	<i>Government Resource Associates, LLC</i>	<i>Advisory Board</i>

For more information contact TexSTAR Participant Services ★ 1-800-TEX-STAR ★ www.texstar.org

FirstSouthwest 

J.P.Morgan
Asset Management

**GENERAL MEETING OF THE BOARD OF DIRECTORS
OF THE
CENTRAL TEXAS REGIONAL MOBILITY AUTHORITY**

RESOLUTION NO. 16-002

**AWARDING A CONSTRUCTION CONTRACT FOR INTERIM IMPROVEMENTS AT
THE SH-130 MANOR EXPRESSWAY INTERSECTION**

WHEREAS, by Resolution No. 15-061 dated September 30, 2015, the Board of Directors authorized the Executive Director to advertise, release bid documents, and review bids consistent with the Mobility Authority Procurement Policy for interim improvements at the SH 130 – Manor Expressway intersection.

WHEREAS, the Mobility Authority received two bids, and after review by staff the apparent low bid was found to be responsive, mathematically correct, and materially balanced; and

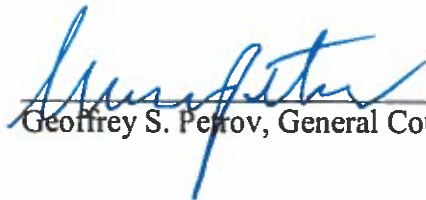
WHEREAS, the Executive Director recommends awarding a construction contract to Aaron Concrete Contractors, LP as the low bidder.

NOW, THEREFORE, BE IT RESOLVED, that the Board of Directors authorizes the Executive Director to negotiate and execute on behalf of the Mobility Authority an agreement with Aaron Concrete Contractors, LP in an amount not to exceed \$2,645,302.08.

Adopted by the Board of Directors of the Central Texas Regional Mobility Authority on the 27th day of January, 2016.

Submitted and reviewed by:

Approved:



Geoffrey S. Petrov, General Counsel



Ray A. Wilkerson
Chairman, Board of Directors

Bid Prices



Contractor	Bid Price
Aaron Concrete Contractors, LP	\$2,645,302.08
M.A. Smith Contracting Company, Inc.	\$2,799,508.40

**GENERAL MEETING OF THE BOARD OF DIRECTORS
OF THE
CENTRAL TEXAS REGIONAL MOBILITY AUTHORITY**

RESOLUTION NO. 16- 003

**CENTRAL TEXAS REGIONAL MOBILITY AUTHORITY'S SUPPORT
FOR THE CITY OF AUSTIN'S SMART CITY CHALLENGE APPLICATION**

WHEREAS, Central Texas's regional population growth is projected to double in the next 25 years, and

WHEREAS, transportation is critical to making a city and region work and region work and it directly impacts, access to employment opportunities, healthcare and education, entertainment, culture and the arts, and our quality of life, and

WHEREAS, the United States Department of Transportation (USDOT) recognizes that increasing urbanization of our nation's population will continue to put significant strain on city infrastructure and transportation networks, and

WHEREAS, the USDOT released "Beyond Traffic 2045: Trends and Choices" which outlines choices that will require cities to think differently about how we move, how we move things, how we move better, how we adapt, and how we align decisions and dollars, and

WHEREAS, USDOT issued a \$40 million Smart City Challenge to encourage cities to put forward their best and most creative ideas for innovatively addressing the challenges they are facing, and

WHEREAS, the vision of the Smart City Challenge is to demonstrate how advanced and intelligent systems (ITS) technologies and applications can be used to reduce congestion, keep travelers safe, protect the environment, respond to climate change, connect underserved communities, and support economic vitality, and

WHEREAS, the priority technology elements in the USDOT application focus on urban automation, connected vehicles and intelligent, sensor based-infrastructure, and

WHEREAS, the Smart City Challenge will provide the opportunity to highlight the role of public-private partnerships in addressing our transportation challenges, and the Vulcan Philanthropy is offering an additional \$10 million to the winning city to support infrastructure for Electric vehicles (EVs) with a primary focus on fleets and public transit, and programs that rapidly accelerate the adoption of plug-in electric vehicles, and

WHEREAS, the winning community's public transportation system will also get installation of driver assistance safety technology on every bus from Mobileye company, and

WHEREAS, in March 2016, the USDOT will select five finalist cities with the best ideas and ability to implement the ideas within a three year time frame, and

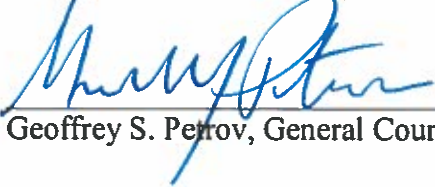
WHEREAS, the USDOT will grant each finalist city a \$100,000 stipend to complete the ideas, development of technical demonstration plans and budget plan documents for their final submission, and

WHEREAS, cost sharing or matching funds is not required for the concept development or final submission, it will be encouraged and considered beneficial for the full application if selected as one of the five city finalists, and

NOW THEREFORE, BE IT RESOLVED, that the Central Texas Regional Mobility Authority fully supports the City of Austin's application for the USDOT Smart City grant, in collaboration with our regional transportation providers, institutions, organizations and the private sector.

Adopted by the Board of Directors of the Central Texas Regional Mobility Authority on the 27th day of January 2016.

Submitted and reviewed by:



Geoffrey S. Petrov, General Counsel

Approved:



Ray A. Wilkerson
Chairman, Board of Directors



U.S. Department of Transportation

Notice of Funding Opportunity Number DTFH6116RA00002

“Beyond Traffic: The Smart City Challenge”

Issue Date: 12/7/2015

Application Due Date: 2/4/2016

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The FHWA is using www.grants.gov for issuance of this Notice of Funding Opportunity (NOFO). Applicants must register at grants.gov under NOFO Number DTFH6116RA00002 to receive notifications of updates/amendments to this NOFO. It is the Applicant's responsibility to monitor the grants.gov site for any updates/amendments to this NOFO.

Summary Information

Funding Opportunity Summary:	Up to \$40 Million in Federal Funding for a Mid-Sized City to Conduct a Smart City Demonstration
Federal Agency Name:	U.S. Department of Transportation (USDOT) Federal Highway Administration (FHWA) Office of Acquisition and Grants Management 1200 New Jersey Avenue, SE Mail Drop: E62-204 Washington DC 20590 Attn: Sarah Tarpgaard, HCFA-32
Funding Opportunity Title:	Beyond Traffic: The Smart City Challenge
Announcement Type:	This is the initial announcement of this funding opportunity. This is not a follow-on notice.
Funding Opportunity Number:	DTFH6116RA00002
Type of Award:	Cooperative Agreements
Catalog of Federal Domestic Assistance (CFDA) Number:	20.200 Highway Research & Development
Application Due Date:	Applications Due by <u>2/4/2016</u> at 3:00 pm Eastern Time by Email to SmartCityChallenge@dot.gov
Questions:	Submit Questions to: SmartCityChallenge@dot.gov

Funding Opportunity Informational Webinars

The United States Department of Transportation (USDOT) will host Informational Sessions regarding this Funding Opportunity focused on Beyond Traffic: The Smart City Challenge. Most of these sessions will be conducted in virtual forums and will focus on specific topics to help potential applicants gather additional information and ask specific questions. However, the Smart City Forum on December 15th will be hosted in-person at the U.S. Department of Transportation in Washington, DC (portions of this session will be available via webcast). Topics will range from discussing various technological strategies for advancing connected communities to specific questions regarding the application and award selection process.

Participation in any of these sessions is not mandatory in order to submit an application under this solicitation. However, we encourage potential applicants to take advantage of these opportunities to gather information regarding this specific funding opportunity.

Please note that in order to participate in any of the sessions - you must register. An email confirmation will be sent to all individuals who register. The USDOT will post all virtual session presentations at www.transportation.gov/smartcity.

Note: If necessary, the Government reserves the right to limit the number of participants from a party.

INFORMATIONAL SESSIONS: BEYOND TRAFFIC: THE SMART CITY CHALLENGE

SESSION: Virtual Webcast: The Smart City Challenge Launch with Secretary Anthony Foxx
DATE: 12/8/2015
TIME: 3:15 pm Eastern Time
LIVE STREAM: www.transportation.gov/smartcity

SESSION: In Person: Smart City Forum
DATE: 12/15/2015
TIME: 9:00 am to 4:00 pm Eastern Time
LOCATION: U.S. Department of Transportation (1200 New Jersey Ave SE, Washington, DC)
REGISTRATION: <https://www.surveymonkey.com/r/USDOTSmartCityForum>

SESSION: Virtual: Data, Architecture, and Standards
DATE: 12/16/2015
TIME: 1:00 to 2:30 pm Eastern Time
REGISTRATION: By 12/15/2015, at
<https://connectdot.connectsolutions.com/admin/show-event-catalog?folder-id=1129241109>

SESSION: Virtual: Connected Vehicles and Automation
DATE: 12/17/2015
TIME: 1:00 to 2:30 pm Eastern Time
REGISTRATION: By 12/16/2015, at
<https://connectdot.connectsolutions.com/admin/show-event-catalog?folder-id=1129241109>

SESSION: Virtual: The Sharing Economy, User-Focused Mobility, and Accessible Transportation
DATE: 12/18/2015
TIME: 1:00 to 2:30 pm Eastern Time
REGISTRATION: By 12/17/2015, at
<https://connectdot.connectsolutions.com/admin/show-event-catalog?folder-id=1129241109>

SESSION: Virtual: The Smart City Challenge Application and Selection Process
DATE: 12/21/2015
TIME: 1:00 to 2:00 pm Eastern Time
REGISTRATION: By 12/18/2015, at
<https://connectdot.connectsolutions.com/admin/show-event-catalog?folder-id=1129241109>

Note: The USDOT will also consider conducting additional virtual and/or in person workshops regarding the Beyond Traffic: The Smart City Challenge Funding Opportunity.

SECTION A – PROGRAM DESCRIPTION

The USDOT is encouraging cities to put forward their best and most creative ideas for innovatively addressing the challenges they are facing. The vision of the Smart City Challenge is to demonstrate and evaluate a holistic, integrated approach to improving surface transportation performance within a city and integrating this approach with other smart city domains such as public safety, public services, and energy. The USDOT intends for this challenge to address how emerging transportation data, technologies, and applications can be integrated with existing systems in a city to address transportation challenges. The USDOT seeks bold and innovative ideas for proposed demonstrations to effectively test, evaluate, and demonstrate the significant benefits of smart city concepts.

The USDOT will make an award of up to \$40 Million award for one mid-sized city that can demonstrate how advanced data and intelligent transportation systems (ITS) technologies and applications can be used to reduce congestion, keep travelers safe, protect the environment, respond to climate change, connect underserved communities, and support economic vitality.

The USDOT will issue two separate solicitations to carry out this challenge. This solicitation will result in selection of an estimated five Smart City Challenge Finalists who will receive funding to support concept development and planning activities. The follow-on second solicitation, which will be released in March 2015, will invite the Smart City Challenge Finalists to apply for funding to support implementation of their proposed demonstration.

This document is the first of the two solicitations. The purpose of this solicitation is to request applications from cities interested in conducting a Federally-funded Smart City Challenge in their jurisdiction. This solicitation describes the USDOT's high-level vision and goals for such a demonstration, and invites Applicants to submit their own high-level vision and goals for their proposed demonstrations.

The USDOT identified characteristics of a Smart City along with twelve vision elements – identified in the table below and defined in more detail in Section A of this funding opportunity. A successful Smart City Challenge would align with these characteristics and vision elements.

CHARACTERISTICS OF A SMART CITY

The ideal Smart City would have the following attributes:

- Population between approximately 200,000 and 850,000 people within city limits as of the 2010 Census;
- A dense urban population typical for a mid-sized American city;
- Represents a significant portion (more than 15%) of the overall population of its urbanized area using 2010 Census data;
- An existing public transportation system;
- An environment that is conducive to demonstrating proposed strategies;
- Continuity of committed leadership and capacity to carry out the demonstration throughout the period of performance;
- A commitment to integrating with the sharing economy; and
- A clear commitment to making open, machine-readable data accessible, discoverable and usable by the public to fuel entrepreneurship and innovation.

The Smart City is expected to improve safety, enhance mobility, and address climate change.

The city's vision would align with some, or all of, the USDOT's vision elements, and foster integration between elements. Vision elements for a Smart City include:

Technology Elements

- Urban automation
- Connected vehicles
- Intelligent, sensor-based infrastructure

Smart City Elements

- Architecture and standards
- Low cost, efficient, secure, and resilient Information and Communications Technology
- Smart land use

Innovative Approaches to Urban Transportation Elements

- Urban analytics
- User-focused mobility services and choices
- Urban delivery and logistics
- Strategic business models and partnering opportunities
- Smart grid, roadway electrification, and electric vehicles
- Connected, involved citizens

1. STATEMENT OF PURPOSE

Under this first solicitation, the USDOT hereby requests applications for assistance to result in awards to selected “Smart City Challenge Finalists”. The USDOT estimates selection of five Finalists to receive fixed amount cooperative agreement awards of Federal funding in the amount of \$100,000 each. The fixed amount awards will provide Federal funding for concept development and planning activities such as development of technical demonstration plans and budget plan documents, and performance of pre-implementation planning. Deliverables for these awards are described in more detail later in this document.

Under the second follow-on solicitation, the USDOT intends to solicit applications for assistance to result in one award to provide funding support for the implementation of a Smart City Challenge, in the estimated Federal funding amount of \$40 Million. The planned separate competition will be a set-aside with competition limited to Smart City Challenge Finalists selected hereunder.

The USDOT intends for the concept development \$100,000 awards to support, prepare, and enable Finalists to submit detailed applications for demonstration implementation under the separately issued the USDOT solicitation. The USDOT intends for the concept development \$100,000 awards to allow each recipient to further their own Smart City plans even if they do not receive the Smart City Challenge award. Finalists will participate in a number of planning, outreach and educational opportunities to further develop their plans.

The estimated timeline follows:

Estimated Date	Action
February 2016	Applications Due
March 2016	Selected Smart City Challenge Finalists Announced
March 2016	Awards Issued to Smart City Challenge Finalists
March 2016	The USDOT Solicits Applications from Finalists for Smart City Challenge Implementation
May 2016	Applications Due from Finalists
June 2016	Selected Smart City Challenge Implementation Awardee Announced

2. LEGISLATIVE AUTHORITY

Specific statutory authority for conducting this effort is found in the Intelligent Transportation Systems Research Program in 23 U.S.C. §516(a), which authorizes the Secretary of Transportation to "...carry out a comprehensive program of intelligent transportation system research and development, and operational tests of intelligent vehicles, intelligent infrastructure systems, and other similar activities."

Funding is authorized under §51001(a)(4) of Public Law 112-141, the Moving Ahead for Progress in the 21st Century Act (MAP-21) carry out sections 512 through 518 of 23 U.S.C.

The authority to enter into a cooperative agreement for this effort is found under 23 US Code § 502 - Surface Transportation Research, Development, and Technology, paragraph (b) (3) which states:

"(3) **cooperation, grants, and contracts.** — The Secretary may carry out research, development, and technology transfer activities related to transportation—

(A) independently;

(B) in cooperation with other Federal departments, agencies, and instrumentalities and Federal laboratories; or

(C) by making grants to, or entering into contracts and cooperative agreements with one or more of the following: the National Academy of Sciences, the American Association of State Highway and Transportation Officials, any Federal laboratory, Federal agency, State agency, authority, association, institution, for-profit or nonprofit corporation, organization, foreign country, or any other person."

3. BACKGROUND

In February of 2015, the United States Department of Transportation (USDOT) released "*Beyond Traffic 2045: Trends and Choices.*" Beyond Traffic examines the long-term and emerging trends affecting our Nation's transportation system and the implications of those trends. It describes how demographic and economic trends, as well as changes in technology, governance, and our climate are affecting how people and goods travel today, and how they could affect travel in the future. It outlines choices that will require cities to think differently about how we move, how we move things, how we move better,

how we adapt, and how we align decisions and dollars. Smart cities are emerging as a concept that can be used to address these issues starting today. The trends identified in *Beyond Traffic* have major implications for cities. Cities deliver many benefits – greater employment opportunities, greater access to healthcare and education, and greater access to entertainment, culture and the arts. As a result, people are moving to cities at an unprecedented rate. Our population is expected to grow by 70 million over the next 30 years, and most of this population growth will be concentrated in metropolitan areas or cities. Growing urbanization will continue to put significant strain on city infrastructure and transportation networks.

Transportation is critical to making a city work. Many cities see advantages in urbanization, but these cities are also saddled with concentrated growth, shrinking revenues, and increased transportation demand. Inefficiencies in our transportation system cost Americans, on average, each over 40 hours stuck in traffic each year – an annual financial cost of \$121 billion. At the same time, research indicates that cities account for 67% of all greenhouse gases (GHGs) released into the atmosphere. The transportation sector is the second-biggest source of GHG emissions, responsible for emitting 28% of GHGs into the atmosphere.

To overcome these challenges, cities must find ways to foster the emergence of technologies that have the potential to transform transportation. A number of trends in technology are taking place. How we collect and analyze data, how communications and mobile platforms evolve, and when connected and automated vehicle technologies emerge, are questions that hold the promise of making our future transportation system safer, more accessible and efficient, and more environmentally sustainable.

With Intelligent Transportation Systems (ITS) laying the groundwork for innovative transportation solutions, many cities are currently serving as laboratories for new types of transportation services. Smart cities are emerging as a next-generation approach for city management, taking the steps forward along the transportation technology continuum. Integrating ITS, connected vehicle technologies, automated vehicles, and other advanced technologies – along with new mobility concepts that leverage the sharing economy – within the context of a city provides the enhance travel experiences and make moving people and goods safer, more efficient, and more secure. By enhancing the effective management and operation of the transportation system, smart city solutions can leverage existing infrastructure investments, enhance mobility, sustainability, and livability for citizens and businesses, and greatly increase the attractiveness and competitiveness of cities and regions.

4. VISION AND GOALS OF A SMART CITY

This section describes the USDOT's vision of a successful Smart City, and the specific goals that collectively describe important elements of the planned demonstration.

The USDOT recognizes that each city has unique attributes, and each city's proposed demonstration will be tailored to their vision and goals. This section serves to present the USDOT's high-level vision and goals without making each item a requirement for award. Rather, this section is designed to provide a framework for applicants to consider in the development of a city's proposed demonstration.

Specific goals of the Smart City Challenge include:

- Identify the transportation challenges and needs of the citizen and business community and demonstrate how advanced technologies can be used to address issues in safety, mobility, and climate change, now and into the future.
- Determine which technologies, strategies, applications, and institutional arrangements demonstrate the most potential to address and mitigate, if not solve, transportation challenges identified within a city.
- Support and encourage cities to take the evolutionary and revolutionary steps to integrate advanced technologies – including connected and automated vehicle technologies – into the management and operations of the city, consistent with the USDOT vision elements.
- Demonstrate, quantify, and evaluate the impact of these advanced technologies, strategies, and applications towards improved safety, efficiency, and sustainable movement of people and goods.
- Examine the technical, policy, and institutional mechanisms needed for realizing the potential of these strategies and applications – including identifying technical and policy gaps and issues – and work with partners to address them.
- Assess reproducibility and qualify successful smart city systems and services for technology and knowledge transfer to other cities facing similar challenges.

The USDOT's vision for the Smart City Challenge is to identify an urbanized area where advanced technologies are integrated into the aspects of a city and play a critical role in helping cities and their citizens address challenges in safety, mobility, sustainability, economic vitality, and address climate change. These challenges in transportation will be met by advancements in ITS, connected and automated vehicles, to name a few. Management systems within a smart city – both within transportation and across other sectors of a city – share information and data to communicate between cities and their

citizens allowing citizens to achieve benefits by maximizing efficiencies based on the intelligent management of assets and sharing information using integrated technology solutions and use of this information by the public and industry.

The USDOT's ideal Smart City would be a mid-sized city with a population between approximately 200,000 and 850,000 people within the city (Census-designated place) limits using 2010 Census data; a dense urban population; an environment conducive to demonstrating proposed strategies; an existing public transportation system; and commitment to integrating transportation services with the sharing economy. This city (Census place) would ideally include a significant share (greater than 15%) of the population of its urbanized area. The ideal site would have continuity of committed leadership, authority, and capacity to carry out the demonstration throughout the period of performance and continue operation after the period of performance is over. The proposed site – or the geographic area of the demonstration – should generally be a separate and independent city preferably with a central business district. Cities with existing, robust advanced transportation infrastructure – including ITS equipment, an existing traffic management center (TMC), and shared use transportation options (e.g., bike share and car share) – are good candidates that have the groundwork needed for proposed demonstration sites to build upon. Cities with existing commitments to managing their data as a strategic asset and making open, machine-readable data available to the public – subject to applicable privacy, security and other safeguards – are also good candidates that have the necessary policy infrastructure to fuel entrepreneurship and innovation to improve citizens' lives, create jobs, and spur economic development.

The USDOT identifies twelve vision elements that comprise a Smart City. A successful proposal would align to some or all of the USDOT's vision elements and foster integration between the elements. Through alignment with these vision elements, the Smart City Challenge is expected to improve safety, enhance mobility, and address climate change. The vision elements reflect the strategic priorities and themes put forth in the USDOT's ITS Strategic Plan 2015-2019 (<http://www.its.dot.gov/strategicplan/>). Vision elements were derived from foundational research conducted by the ITS JPO's

EXPECTED OUTCOMES OF THE CHALLENGE

- **Improve Safety** – By using advanced technologies, including connected vehicle technologies, to reduce the number of collisions, fatalities, and injuries.
- **Enhance Mobility** – By providing real-time traveler information and emerging mobility services to improve personal mobility for all citizens.
- **Address Climate Change** – By implementing advanced technologies and policies that support a more sustainable relationship between transportation and the environment through fuel use and emissions reductions.

Connected Cities Research Program and communicated to 570 stakeholders during a free public webinar held by the ITS JPO on February 26, 2015. The USDOT vision elements build on enablers defined by the Smart Cities Council (<http://smartcitiescouncil.com/smart-cities-information-center/the-enablers>). The twelve vision elements include:

TECHNOLOGY ELEMENTS

This group of three Vision Elements includes technologies that are of the highest priority by the USDOT.

Vision Element #1: Urban Automation. Automated transportation offers tremendous possibilities for enhancing safety, mobility, accessibility, equity, and the environment. The Smart City can provide national leadership through its demonstration and assessment of automated transportation applications and systems for the movement of goods and people. There are many ways to incorporate automated transportation into a Smart City. For the purpose of illustration, some examples of automated transportation in an urban environment include:

- Self-driving vehicles coupled with smart infrastructure;
- Driver-assisted automation could reduce fuel use and congestion enabling closer spacing and narrower lanes for vehicles;
- Self-driving shuttles and other forms of fully automated vehicles could operate at low speeds enabling new mobility options for services such as first/last mile travel to local destinations and access to public transportation; and
- Fully automated trucks and buses may also be used in intermodal facilities, such as ports, depots, and maintenance facilities to improve driver and vehicle efficiencies.

The aforementioned examples are not intended to express preference for the purpose of evaluating proposals. Applicants are encouraged to propose innovative automation strategies that demonstrate safety, mobility, and/or environmental benefits in an urbanized area.

Vision Element #2: Connected Vehicles. Connected vehicles use vehicle-to-vehicle (V2V) and vehicle-to-infrastructure (V2I) communications to provide connectivity that will enable countless safety, mobility, and environmental applications. Connected vehicle technologies allow vehicles to send and receive information about their movements in the network – offering cities unprecedented opportunities to provide more responsive and efficient mobility solutions in real-time and in the long term. Data derived from connected vehicles provide insights to transportation operators helping to understand

demand and assist in predicting and responding to movements around a city. A successful Smart City may demonstrate safety, mobility, and/or environmental applications. These applications – which can increase efficiency and accessibility, enhance safety and reduce congestion – may provide more responsive mobility solutions in real-time. In deploying connected vehicle and infrastructure services, Smart Cities may seek to integrate a variety of commercially available communication technologies including cellular, satellite, Wi-Fi and others. At the same time, Dedicated Short Range Communication (DSRC) technology operating in the 5.9GHz range may be used to expand demonstrations of V2V and V2I applications based on DSRC¹. For more information on the USDOT's Connected Vehicle Research Program, visit: <http://www.its.dot.gov/research.htm>.

Vision Element #3: Intelligent, Sensor-Based Infrastructure. Smart cities contain and use a collective intelligent infrastructure that allow sensors to collect and report real-time data to inform every day transportation-related operations and performance and trends of a city. These data allow city operators to know how the city is operating and how the operation of facilities, systems, services, and information generated for the public can be enhanced. Intelligent infrastructure includes sensors that collect traffic, pedestrian, bicyclist, environmental data, and other information available throughout the city. A successful Smart City would integrate these data with existing transportation data and operations, allowing the city to improve operations of the transportation network. Additionally, these infrastructure could be used to monitor transportation assets to improve infrastructure management, reduce maintenance costs, prioritize investment decisions, and ensure a state of good repair.

INNOVATIVE APPROACHES TO URBAN TRANSPORTATION ELEMENTS

This group of six Vision Elements includes innovative approaches to urban transportation and is categorized as a high priority by the USDOT.

Vision Element #4: Urban Analytics. This vision element includes platforms for understanding and analyzing data to address complex urban challenges (e.g., personal safety and mobility, network efficiency, and environmental sustainability) and/or measure the performance of a transportation network. In a data-rich environment, cities and citizens are increasingly able to share, use, and leverage (previously unavailable) datasets to address complex urban problems or to improve current operations or capabilities. Urban analytics create value from the data that is collected from connected

¹ Specifically, IEEE P1609, 802.11p, and, SAE J2945/1 and J2735 standards

vehicles, connected citizens, and sensors throughout a city or available from the Internet using information generated by private companies. Analytics that utilize data from across various systems in a city have tremendous potential to identify new insights and unique solutions for delivering services, thereby improving outcomes. These analytics can also be used to address complex urban challenges (e.g., personal safety and mobility, network efficiency, and environmental sustainability) and/or measure the performance of a transportation network. Analytics can be used to predict future conditions and the potential benefits of implementing different operational strategies, control plans and response plans coordinated among agencies and service providers. Furthermore, analytics can be applied across sectors to create new and different applications. One example might be an application of travel demand management that also factors in environmental and energy consumption as part of the optimization – providing more context to citizens' personalized recommendations. Additionally, data analytics can also be used to understand the potential benefits of deployed solutions. To do so, transportation-related performance measures and evaluation are needed to quantify the intended and measured impact of all proposed solutions on personal safety and mobility, network efficiency, and environmental sustainability, representing the priorities of this challenge. For example, performance measurement may indicate greater access to jobs and services; reduction in congestion and delays; increase in transit, walking, or cycling; a reduction in crashes, injuries, and or fatalities; improved incident response and clearance times; and reductions in emissions.

Vision Element #5: User-Focused Mobility Services and Choices. This vision element consists of strategies, initiatives, and services that increase transportation choices and options by supporting and improving mobility for all travelers, including aging Americans and persons with disabilities. A major component includes advanced traveler information systems that provide real-time traffic, transit, parking, and other transportation-related information to travelers. Smart cities support sustainable mobility using traveler-oriented strategies that deliver innovative solutions across all transportation modes, including transit, bicycling, electric vehicles, and shared use mobility services, to improve the mobility of all travelers, including older Americans as well as people with disabilities. Shared-use transportation has grown tremendously in recent years with the increase in smartphone applications. The sharing economy and new transportation services are providing people with more options, helping to overcome barriers to the use of non-driving forms of transportation, and shifting individuals' travel choices. Advanced technology and services deployed throughout a city will allow people to adopt "car-free" and "car-light" lifestyles with dramatically less driving. For people to be willing to share assets there must be a seamless, low-friction way to do so. Mobility on Demand (MOD) is an emerging concept built on shared use approaches and a shift in mass transit. It augments public transportation and supports

the efficient movement of people. Open data and technology enable the efficient coordination, use, and management of all mobility services in the system. From the user's perspective, travel choices are simplified through open data and communications technology that provides personalized information – including traveler information, travel options, and integrated mobile payment – directly to the user. In smart cities, the integration of new technologies into the transportation system facilitates a dynamic supply of mobility services and operations by leveraging emerging mobility services, integrated transit networks and operations, real-time data, connected travelers, and cooperative ITS. The result is a more traveler-centric, transportation system-of-systems approach, providing improved mobility options to all travelers and users of the system.

Vision Element #6: Urban Delivery and Logistics. This vision element includes innovative solutions supporting efficient goods movement in ways that use data or deploy technology to create opportunities for a more efficient supply chain approach that delivers safer logistics management, improved on-time pickups and delivery, improved travel time reliability, reduced fuel consumption, and reduced labor and vehicle maintenance costs. As populations increase and urbanization continues, cities will need to identify innovative ways to effectively and efficiently move goods – including food, energy, and manufactured goods – into cities. Cities will need to investigate how innovative technology solutions may support more efficient urban goods movement. The Smart City may consider improving urban goods movements by including freight-specific information exchanges that enable dynamic travel planning to improve freight movement efficiency, including load matching and drayage operations. Additional strategies may leverage urban delivery hubs that use connected urban delivery vehicles and flexible (shared use) commercial delivery solutions. The aforementioned examples are for illustration purposes and are not intended to express preference for the purpose of evaluating proposals. Applicants are encouraged to propose innovative urban delivery strategies that demonstrate safety, mobility, and/or environmental benefits in an urbanized area.

Vision Element #7: Strategic Business Models and Partnering Opportunities.

Opportunities exist to leveraging creative strategic partnerships that draw in stakeholders – including private sector, non-profit, foundation/philanthropic, academia/University Transportation Center (UTC), and other public agencies – to advance smart city solutions. The private sector is pushing innovation, especially by creating new opportunities to partner with government. The public sector is also pushing innovation, creating new opportunities/models for governance and interagency partnerships. Successful implementation of a Smart City will likely rely on strategic partnering opportunities between public agencies and the private sector – especially for cities that have limited resources to bring to bear on the challenges they face.

Innovative partnerships among city or local government, planning organizations, the private sector, vehicle manufacturers, academia, associations, and other stakeholder groups are needed to advance smart city solutions. Through cooperation, city governments may partner with non-governmental organizations that can bring resources to the city. Applicants are encouraged to use innovation to leverage Federal resources through cost share, in-kind donations, and partnering. The USDOT encourages Applicants to make robust use of partnerships, including partnerships that significantly leverage Federal resources, work already underway, and the technical capabilities of universities and other stakeholders who provide services to public agencies. In particular, cities are encouraged to partner with a University Transportation Center (UTC) or member of a UTC consortium to leverage product and service development assets and develop the workforce (<http://www.rita.dot.gov/utc/>).

Vision Element #8: Smart Grid, Roadway Electrification, and Electric Vehicles.

This vision element includes strategies and initiatives that leverage the smart grid – a programmable and efficient energy transmission and distribution system – in an effort to support the adoption or expansion of roadway electrification, and electric vehicle deployment. As electric vehicles become more prevalent, opportunities exist for the vehicle to interact with the smart grid. Opportunities also exist for the integration of intelligent transportation systems with the smart grid and other energy distribution and charging systems. For example, smart-grid technology can enable electric vehicle-charging [grid-to-vehicle (G2V)] load to be shifted to off-peak periods, thereby flattening the daily load curve and significantly reducing both generation and network investment needs. Likewise, wireless inductive charging technologies provide opportunities to address range anxiety concerns associated with electric vehicles, allowing electric vehicles to charge their batteries wirelessly while the vehicle is stopped or in motion.

Vision Element #9: Connected, Involved Citizens. Connected citizens generate, share, and use data and information in new and useful ways. This vision element consists of strategies, local campaigns, and processes to proactively engage and inform citizens at the individual level by deploying hardware, software, and open data platforms in an effort to increase personal mobility. Advanced technologies would be used to enhance overall mobility for all citizens including people with disabilities, older adults, and young Millennials who will act as an important engine of the future economy. One example of connected, involved citizens is leveraging the use of crowdsourcing. Crowdsourced data provides communication conduits through mobile technologies to connect citizens with city operators about a myriad of topics. In a successful Smart City, citizens would provide user-generated content to cities. Another example of connected, involved citizens includes leveraging broad access to open government data providing a

platform for citizens to serve as co-creators and co-producers of new and innovative transportation services.

SMART CITY ELEMENTS

This group of Vision Elements includes three smart city elements and is categorized as a priority by the USDOT.

Vision Element #10: Architecture and Standards. This vision element emphasizes architectures – governed by rules, documentation, and standards – that may be extended to a nationwide or broader deployment. Because vehicles and travelers move broadly across regions, uniform operation that is accessible to everyone is essential for safe and efficient transportation operations. Interoperable regional ITS architectures that can be extended to a nationwide or broader deployment based on accessible, well-defined standards is needed for consistent implementations that will lead to the required uniformly accessible operation. The National ITS Architecture is a mature architecture that provides a common framework for the ITS community to plan, define, and integrate ITS solutions. The Connected Vehicle Reference Implementation (CVRIA) was developed to extend the National Architecture to include detailed information to support development of fully interoperable regional connected vehicle architectures. The CVRIA and the associated SET-IT software tool will be fully integrated into the National ITS Architecture and software toolset to support development of interoperable regional architectures including complete ITS infrastructure and connected vehicle capabilities along with interface information needed for standards selection. The USDOT envisions that the Smart City stakeholders will use the CVRIA, the National ITS Architecture, and published and under-development ITS standards to demonstrate interoperable ITS capabilities which are nationally extensible.

To the extent viable, the USDOT envisions the Smart City will define and demonstrate integration of ITS systems with other systems which comprise a smart city. As part of this effort, the nature of required interfaces to other systems should be defined to utilize existing networking or other standards when available. Where new standards are needed, these needs should be fully documented. Further, to the extent viable, these interfaces should be documented using the CVRIA system architecture tools and feedback should be provided to the USDOT to facilitate expansion of CVRIA to accommodate these additional interfaces. To support nationwide deployment of ITS infrastructure and connected vehicle technologies, the demonstration site should use existing ITS standards, architectures, and certification processes for ITS and connected vehicle based technologies whenever viable, and document those cases where such use is not viable. To provide information required to refine ITS architecture and

standards in support of nationwide deployment, the demonstration site should also document their experiences and cooperate with architecture and standards developers to improve the quality of these products based on lessons learned in deployment.

Vision Element #11: Low-Cost, Efficient, Secure, and Resilient Information and Communications Technology (ICT). This vision element includes strategies and practices that advance information and communications technology (ICT) that is affordable, adaptable, efficient, secure and resilient, including integrated telecommunications platforms, enterprise software, storage, and visualization systems. This will include ICT that contributes to one common operating platform to inform city government decision-making. ICT infrastructure, technologies, and services are a critical part of a Smart City. ICT consists of unified communications and the integration of telecommunications, computers as well as necessary enterprise software, storage, and visualization systems, which enable users to access, store, transmit, and manipulate information. The success of a Smart City depends upon affordable ICT, from both a public, and personal perspective. The ICT in a Smart City, including telecommunications and computing, needs to be resilient, secure and respectful of privacy. Resilient design includes supporting standards common technology architectures and integrative policies. If one part of the system fails or is compromised, the entire system should not collapse, and the gap in service should be bridged effectively and restored quickly.

Privacy and security play a critical role in enabling smart cities because they build trust with people. Privacy and security constitute practices that safeguard data, privacy, and physical assets. Private information relates to any data emitted, collected, or stored about individuals. A key concept in privacy analysis is Personal Identifiable Information (PII). PII is any information that can be used to distinguish or trace an individual's identity. PII is not specific to any category of information or technology; each case and associated risks must be individually examined for context and the combination of data elements that are provided or obtainable. The Smart City needs to determine the extent to which their system or systems will collect or store PII and PII-related information, and ensure that there is a legitimate need for this information to meet the goals of the system and that the data is only accessible for and used for these legitimate purposes.

To support the overall security and privacy of participants in this Challenge, the USDOT is developing a prototype security credential management system (SCMS) which will be available for use in DSRC-based communications. The SCMS will provide digitally signed certificates that can be used to ensure trusted DSRC communications between connected vehicle devices, roadside devices and the SCMS. The USDOT will provide

technical support for interfacing with the prototype SCMS, as well as tools intended to support the Smart City.

Physical security of the deployed devices and security for non-DSRC communications are not covered by the SCMS and should be addressed through other means in the demonstration. Rigorous, proven processes are needed to ensure that security mechanisms are embedded in systems and infrastructure to protect against attacks. Secure solutions must be integrated into architecture designs and security risks must be continually managed. Challenge sites are expected to use industry best practices as they relate to objects and interfaces used in their installations.

Vision Element #12: Smart Land Use. This vision element includes strategies and practices that ensure land use is optimized through a combination of planning and innovation deployments, altogether designed to lead to a better connected community that expands the range of transportation choices and access to employment, housing, education and health services. A successful Smart City ensures that land use is efficiently optimized. Urban land use concentrates growth in compact walkable urban centers to avoid sprawl. It also advocates compact, transit-oriented, walkable, bicycle-friendly land use, including neighborhood schools, complete streets, and mixed-use development with a range of housing choices. Smart land use values long-range, regional considerations of sustainability with the goals of achieving a unique sense of community and place; expanding the range of transportation, employment, and housing choices; equitably distributing the costs and benefits of development; preserving and enhancing natural and cultural resources; and promoting public health.

The following table summarizes and provides priority levels for each of the twelve Vision Elements.

Vision Element	Priority
Technology Elements	
Vision Element #1: Urban Automation	Highest Priority
Vision Element #2: Connected Vehicles	Highest Priority
Vision Element #3: Intelligent, Sensor-Based Infrastructure	Highest Priority
Innovative Approaches to Urban Transportation Elements	
Vision Element #4: Urban Analytics	High Priority
Vision Element #5: User-Focused Mobility Services and Choices	High Priority
Vision Element #6: Urban Delivery and Logistics	High Priority
Vision Element #7: Strategic Business Models and Partnering Opportunities	High Priority
Vision Element #8: Smart Grid, Roadway Electrification, and Electric Vehicles	High Priority
Vision Element #9: Connected, Involved Citizens	High Priority
Smart City Elements	
Vision Element #10: Architecture and Standards	Priority
Vision Element #11: Low-Cost, Efficient, Secure, and Resilient Information and Communications Technology	Priority
Vision Element #12: Smart Land Use	Priority

The USDOT is encouraging Applicants to consider these twelve elements in developing ideas for developing their city's vision for a Smart City. The city's vision should address real-world issues and challenges citizens and cities are facing. Specifically, Applicants should consider how emerging transportation data, technologies, and applications can be integrated with existing systems across a city, helping both cities, citizens, and businesses achieve goals for safety, mobility, sustainability, and economic vitality in an increasingly complex, interdependent and multimodal world.

5. DELIVERABLES

The selected Smart City Challenge Finalists will receive a fixed amount cooperative agreement award for Concept Development in the amount of \$100,000 that will require the following milestones/deliverables:

Deliverable	Due Date	Section 508 Compliant?
Kick-off Meeting – conduct a kickoff meeting at the USDOT.	Within two weeks after award	No
Monthly Progress Reports – submit progress reports to document technical activities performed (concept development activities, technical and budget documentation development activities, application development activities, and pre-implementation planning activities). See Monthly Progress Reports clause below.	Monthly	No
Participation in informational webinars or meetings to be conducted by USDOT personnel for Finalists.	TBD	No
Participation in Oral Presentations to USDOT representatives.	TBD	No
A three-minute video presenting the proposed demonstration.	Within 3 months after award	Yes
A final report that incorporates stakeholder inputs and documents plans to implement the vision in the future and lessons learned during the process.	Within 5 months after award	Yes

Note: Section 508 requirements are included in NOFO Section F's General Terms and Conditions available online at: <http://www.fhwa.dot.gov/aaa/generaltermsconditions.cfm>.

SECTION B – FEDERAL AWARD INFORMATION

1. FUNDING AND NUMBER OF AWARDS

The USDOT estimates making five awards for Concept Development as a result of this Notice of Funding Opportunity. Each award will be a fixed amount award in the amount of \$100,000 in Federal funding. Each awardee is designated a Smart City Challenge Finalist.

The USDOT anticipates making one award for the Smart City Challenge, which will result from a separately issued Notice of Funding Opportunity, with competition limited to Smart City Challenge Finalists. The USDOT anticipates Federal funding in the amount of up to \$40 Million to be available for the one Smart City Challenge award.

The USDOT has funding available for the five Concept Development Awards. Funds are not presently available for the Smart City Challenge Finalist Award. The Government's obligation under the awards is contingent upon the availability of appropriated funds from which payment for agreement purposes can be made. No legal liability on the part of the Government for any payment may arise until funds are made available by the Agreement Officer for this award and until the awardee receives notice of such availability, to be confirmed in writing by the Agreement Officer.

Estimated funding by year is:

FY 16:	\$15 Million
FY 17:	\$15 Million
<u>FY 18:</u>	<u>\$10 Million</u>
Total	\$40 Million

2. TYPE OF AWARD

The planned award type for the estimated five Concept Development awards is a fixed amount cooperative agreement.

The planned award type for the one planned Smart City Challenge award is a cost-reimbursable cooperative agreement.

3. PERIOD OF PERFORMANCE

The estimated period of performance for the Concept Development cooperative agreements is six months.

The estimated period of performance for the one planned Smart City Challenge award is up to four years. The USDOT expects the demonstration to be implemented and tested within three years. The fourth year is expected to be used for finalizing the evaluation of the demonstration.

4. DEGREE OF FEDERAL INVOLVEMENT

The USDOT anticipates substantial Federal involvement between it and the Concept Development awardees (“Recipients”) during the course of this project. The anticipated Federal involvement will include technical assistance, education and guidance to the Recipient.

SECTION C – ELIGIBILITY INFORMATION

1. ELIGIBLE APPLICANTS

This funding opportunity is limited to State and local governments, tribal governments, transit agencies and authorities, public toll authorities, metropolitan planning organizations, other subdivisions of a State or local government, or a multijurisdictional group applying through a single lead Applicant. Multijurisdictional group means a combination of State or local governments, metropolitan planning agencies, transit agencies, or other subdivisions of a State or local government comprised of at least 2 members, each of whom is an eligible Applicant under the terms of this paragraph.

2. COST SHARING OR MATCHING

Cost sharing or matching is NOT required for the Concept Development fixed amount awards resulting from this solicitation.

In the follow-on second solicitation for the planned Smart City Challenge award, cost sharing or matching will NOT be required but will be encouraged. If proposed, the degree of cost share and leveraging of non-federal funds will be considered beneficial to break ties among applications with equivalent ratings after evaluation against all other factors.

SECTION D – APPLICATION AND SUBMISSION INFORMATION

1. APPLICATION SUBMITTAL

The USDOT will issue two separate solicitations to carry out this challenge. This, first solicitation, will result in selection of an estimated five Smart City Challenge Finalists who will receive funding to support concept development and planning activities. The second follow-on solicitation, which will be released at a subsequent date, will invite the Smart City Challenge Finalists to apply for funding to support implementation of their proposed model deployment.

Applications for this first solicitation are due by 2/4/2016 at 3:00 pm Eastern Time by Email to SmartCityChallenge@dot.gov. Applications for this first solicitation shall reflect a high-level vision for the city's proposed deployment. A high-level vision need only include the framework and initial concepts of the Applicant's proposed model deployment. A detailed approach and a detailed budget are not required under this first solicitation. The second follow-on solicitation, which will be released at a subsequent date, will require a detailed technical and management approach to implementing the proposed model deployment, as well as a detailed budget to include cost share planned.

2. FORMAT OF APPLICATION SUBMISSION

- a) Applications must be prepared on 8½ x 11 inch paper. Foldouts must not be used.
- b) Text must be printed using a font size no less than 12 point font.
- c) Tables are permitted and text in tables and captions may be doubled spaced and may be 10 point font.
- d) Page margins must be a minimum of 1 inch top, bottom and each side.
- e) Page numbers may be located within the 1 inch margins.
- f) A Header or Footer identifying the Applicant Name may be located within the 1 inch margins.

3. CONTENT OF APPLICATION SUBMISSION

Applicants shall submit an application consisting of the following:

1. Part 1 – VISION NARRATIVE (1 file, page limit of 30 pages)
2. Part 2 – APPLICATION STANDARD FORMS AND ORGANIZATIONAL INFORMATION (1 file, no page limit)

Note: An Applicant may include, at their option, to facilitate displaying the organization of their application, a one-page cover page, and a second page to include both a Table of Contents and/or a Listing of Tables/Figures. These pages are for orienting evaluators to the contents of the application package and will not be evaluated and are not included in the page limitation.

Note: Any letters of commitment shall be included in Part 1 of the application and will not count against the 30 page limit.

Part 1 – VISION NARRATIVE

Provide a technical narrative of the Applicant's proposed vision and goals for a Smart City Challenge. The "Vision" document shall include a high-level summary of the following:

1. Define your vision for your Smart City. Describe your city's challenges and how the proposed elements of this proposed project can be used to address those challenges. The vision should define your approach for implementing and operating the demonstration project, including your program management approach.
2. Describe the population characteristics of your city and show how it aligns with the USDOT's characteristics for a Smart City, including:
 - a. Mid-size city with population between approximately 200,000 and 850,000 people in the city limits;
 - b. Dense urban population; and
 - c. Represents a significant portion (preferably more than 15%) of the population of your local urbanized area.

Note: City population and density should be based on the city's Census-designated place (CDP) population in the 2010 Decennial Census. The city's urbanized area is defined as the Census Urbanized Area (UZA) to which it was assigned during the 2010 Census. Definitions of Urbanized Area and Census-

Designated Place are provided by the US Census Bureau at: <https://www.census.gov/geo/reference/frn.html>

Your city's 2010 CDP and UZA population can be viewed using the *2010 Urban Area to Place Relationship File* at: https://www.census.gov/geo/maps-data/data/ua_rel_download.html

Your city's density should be calculated using its 2010 CDP population divided by its 2010 land area in square miles, as provided by the US Census Bureau.

3. Describe other characteristics of your city and show how it aligns with the USDOT's characteristics for a Smart City, including:
 - a. Existing public transportation system;
 - b. Environment that is conducive to demonstrating proposed strategies;
 - c. Continuity of committed leadership and capacity to carry out the demonstration throughout the period of performance;
 - d. A commitment to integrating with the sharing economy; and
 - e. A clear commitment to making open, machine-readable data accessible, discoverable and usable by the public to fuel entrepreneurship and innovation.
4. Provide an Annotated Preliminary Site Map. The map shall identify the specific geographic location being proposed for the Challenge and indicate locations related to key issues, proposed roadside technology locations, connected automated vehicle operations, and other explanatory features to support strategies that align with the USDOT vision elements. The map shall be no larger than one page (up to 11 inches by 17 inches is acceptable for this item only) when printed.
5. Describe how your holistic, integrated approach aligns to the twelve USDOT vision elements described in this solicitation. For each vision element, describe your approach including the technology solutions proposed. Illustrate how the proposed technology solutions can synergistically combine to create measurable impact while reducing costs associated with both deployment and operations.
6. Identify and rate key technical, policy, and institutional risks associated with the deployment vision and discuss plans for mitigating those risks.
7. Outline team partners, key stakeholders, and demonstration governance processes. Describe existing and future public and/or private partnerships, including university research partnerships.

8. Describe existing transportation infrastructure and system features in your city, including:
 - a. Arterial miles
 - b. Freeway miles
 - c. Transit services
 - d. Shared-use mobility services
 - e. Information and communication technology (ICT)
 - f. Intelligent Transportation Systems (ITS) including transportation management centers and field equipment
 - g. Smart Grid Infrastructure including electric vehicle charging infrastructure
9. Define the data your city currently collects. Describe how these data, along with new data to be collected and shared during the demonstration may be used by the lead agency, project partners, other agencies and stakeholders to further address city challenges. Describe how transportation data could integrate with other functions or services in a city (such as public safety, human services, transit, and public works) to improve the management and operations of the city. Likewise, describe how other data could be integrated with transportation data to improve transportation operations. Describe any existing policies and identify their sources (local executive order or policy, local ordinance or state legislation, etc.) applicable to the proposed data to be collected and shared as part of the proposed project. Submissions describing cross-cutting partnerships to advance smart city technologies, related programs and policies are encouraged, but not required. If you plan to partner with outside organizations (nonprofits, universities, corporations, etc.) you should address whether and specify how (e.g., limitation on sharing or use) data from those organizations or interests will be collected, managed, and shared across sectors or with the public, if appropriate. Identify candidate data that is expected to be shared, used, and used for other purposes by the participating project partners or with the public. Describe the terms and conditions that exist or will be established and managed in partnership agreements, data or information sharing agreements, agency specific policies and operating procedures to establish and maintain the systems and interfaces to maintain the integrity of the data and share the information identified in the proposal.
10. Describe your approach for using existing standards, architectures, and certification processes for ITS and connected vehicle based technologies and plans for documenting experiences and cooperating with architecture and standards developers to improve the quality of these products based on lessons learned in deployment.

11. Provide measurable goals and objectives for your vision and describe your approach for monitoring the impact of the demonstration on mobility, safety, efficiency, sustainability, and climate change.

Note: The selected city for the demonstration will be responsible for identifying a set of targeted performance measures that relate to the primary impact of their proposed deployment. The system deployed must be capable of generating the data needed to calculate these measures over time – that is, to show how well the system is performing with respect to these target measures. Independent evaluation will also be required to validate site system performance with respect to the targeted measures, to collect or infer contextual data that allows for the isolation and mitigation of confounding factors, and to provide supplementary evaluation with respect to a broader set of safety, environmental, mobility and public agency efficiency measures of interest to USDOT. Sites are responsible for supporting the independent evaluator’s access to the site and to site staff to conduct evaluation-related experiments, interviews, and surveys.

12. Provide evidence that establishes your capacity to take on a project of this magnitude, including executive commitment, workforce capacity, degree of infrastructure readiness, data and performance management capabilities.
13. Describe any opportunities to leverage Federal resources through cost share, in-kind donations, and partnering.

Part 2 - APPLICATION STANDARD FORMS AND ORGANIZATIONAL INFORMATION (no page limit)

Standard Forms (SF): Available Online

at <http://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1>

1. SF424

Note: Applicants may leave fields 5a, 5b, 6, 7, and 13 blank on the form.

2. SF424A

Note: Section A:

- Block 1(a): Print opportunity title listed on page 1;
- Block 1(b): Print CFDA number listed on page 1;
- Block 1(c): Print \$100,000 for Federal funds,
- Block 1(d): Leave Total Cost Share in dollars blank, and leave columns (e), (f), and (g) and rows 2, 3, and 4 blank.

3. SF424B**4. SFLLL**

Note: The form must be completed and submitted even if no lobbying to report. If no lobbying to report insert none or n/a in the relevant blocks.

Organizational Information

In addition to the forms, provide answers to the following organizational information questions in a pdf format:

- a. Identify any exceptions to the anticipated award terms and conditions as contained in Section F, Federal Award Administration Information. Identify any preexisting intellectual property that you anticipate using during award performance, and your position on its data rights during and after the award period of performance.
- b. The use of a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number is required on all applications for Federal grants or cooperative agreements. Please provide your organization's DUNS number in your budget application.
- c. A statement to indicate whether your organization has previously completed an A-133 Single Audit and, if so, the date that the last A-133 Single Audit was completed.
- d. A statement regarding Conflicts of Interest. The Applicant must disclose in writing any actual or potential personal or organizational conflict of interest in its application that describes in a concise manner all past, present or planned organizational, contractual or other interest(s), which may affect the Applicants' ability to perform the proposed project in an impartial and objective manner. Actual or potential conflicts of interest may include but are not limited to any past, present or planned contractual, financial, or other relationships, obligations, commitments or responsibilities, which may bias the Applicant or affect the Applicant's ability to perform the agreement in an impartial and objective manner. The Agreement Officer (AO) will review the statement(s) and may require additional relevant information from the Applicant. All such information, and any other relevant information known to DOT, will be used to determine whether an award to the Applicant may create an actual or potential conflict of interest. If any such conflict of interest is found to exist, the AO may (a) disqualify the Applicant, or (b) determine that it is otherwise in the best interest of the United States to contract with the Applicant and include appropriate provisions to mitigate or avoid such conflict in the agreement pursuant to 2 CFR 200.112.
- e. A statement to indicate whether a Federal or State organization has audited or reviewed the Applicant's accounting system, purchasing system, and/or property control system. If such systems have been

- reviewed, provide summary information of the audit/review results to include as applicable summary letter or agreement, date of audit/review, Federal or State point of contact for such review.
- f. Terminated Contracts - List any contract/agreement that was terminated for convenience of the Government within the past 3 years, and any contract/agreement that was terminated for default within the past 5 years. Briefly explain the circumstances in each instance.
 - g. The Applicant is directed to review Title 2 CFR §170 (http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl) dated September 14, 2010, and Appendix A thereto, and acknowledge in its application that it understands the requirement, has the necessary processes and systems in place, and is prepared to fully comply with the reporting described in the term if it receives funding resulting from this Notice. The text of Appendix A will be incorporated in the award document as a General Term and Condition as referenced under this Notice's Section F, Federal Award Administration Information.
 - h. Disclose any violations of Federal criminal law involving fraud, bribery, or gratuity violations. Failure to make required disclosures can result in any of the remedies described in 2 CFR 200.338 entitled Remedies for Noncompliance, including suspension or debarment. (See also 2 CFR Part 180 and 31 U.S.C. 3321).

4. UNIQUE ENTITY IDENTIFIER AND SYSTEM FOR AWARD (SAM)

The Applicant is required to: (i) be registered in SAM before submitting its application; (ii) provide a valid unique entity identifier in its application; and (iii) continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

The Federal awarding agency may not make a Federal award to an Applicant until the Applicant has complied with all applicable unique entity identifier and SAM requirements. If an Applicant has not fully complied with the requirements by the time the Federal awarding agency is ready to make a Federal award, the Federal awarding agency may determine that the Applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another Applicant.

5. SUBMISSION DATES AND TIMES

The application must be received by Email by the application due date/time listed on page 3 of this Notice of Funding Opportunity.

The deadline stated on page 3 is the date and time by which the agency must receive the full and completed application, including all required sections.

6. INTERGOVERNMENTAL REVIEW

An application under this Notice of Funding Opportunity is not subject to the State review under E.O. 12372.

7. FUNDING RESTRICTIONS

The USDOT will not reimburse any pre-award costs or application preparation costs under the proposed cooperative agreements.

8. USE OF INFORMATION FOR OTHER DEPARTMENTAL PURPOSES

Information collected from all applicant submissions may be used for government purposes, including to understand the range of Smart City activities planned and ongoing in cities, and to determine maturity of cities within this framework. In addition, information gathered through this Notice may be used to conduct outreach and engagement related future similar opportunities.”

SECTION E – APPLICATION REVIEW INFORMATION

1. CRITERIA FOR SELECTION OF SMART CITY CHALLENGE FINALISTS

The Government will evaluate applications on following criteria, which are of equal importance.

TECHNICAL MERIT:

- Degree that the proposed city and demonstration site align with the USDOT's Desired Characteristics, relevant to: (i) population size, (ii) population density, (iii) population share of urbanized area; (iv) an existing public transportation system, (v) environment conducive to demonstrating proposed strategies; and (vi) continuity of committed leadership and capacity to carry out the demonstration throughout the period of performance, (vii) commitment to integrating with the sharing economy; and (viii) commitment to making open, machine-readable data accessible, discoverable and usable by the public to fuel entrepreneurship and innovation.
- Demonstration of a sound, innovative, integrated, and holistic vision of the Applicant's Smart City program consistent with the USDOT's goals and twelve vision elements as defined in Section A
- Extent that the Applicant's vision and goals address issues identified in *Beyond Traffic 2045*.
- Likelihood of success in implementing the demonstration, including commitment from public and private sectors, and technical capability to perform.

2. REVIEW AND SELECTION PROCESS

The USDOT will utilize the following merit review process to evaluate applications:

A panel of agency experts will evaluate all eligible applications using the merit criteria listed above. The panel will individually evaluate the applications. The panel will then collectively assign a rating to each eligible application using the following merit ratings: Recommended, Not Recommended.

The USDOT reserves the right to use outside expertise and/or contractor support to perform application evaluation.

A panel of agency experts will conduct a risk assessment of the Applicant prior to award.

The Government will award the applications that are considered the most advantageous to the Government using the criteria cited above, and subject to the results of an Applicant risk assessment. Applications selected for possible award using the technical merit criteria cited above, will undergo the following risk assessment prior to award. The Government reserves the right to not make an award to an Applicant based on the results of the risk assessment.

The Secretary of Transportation is the official responsible for final award selections. The Government is not obligated to make any award as a result of this notice.

Risk Assessment

The Government will assess the risks posed by an Applicant before they receive an award. This Risk Assessment will include evaluation of some or all of the following items relative to the Applicant and/or sub-applicants as applicable:

- (1) Applicant's financial stability;
- (2) Applicant's quality of management systems and ability to meet the management standards prescribed in 2 CFR Part 200;
- (3) Applicant's history of performance;

Note: History of performance includes the Applicant's record in managing Federal awards, if it is a prior Recipient of Federal awards, including timeliness of compliance with applicable reporting requirements, conformance to the terms and conditions of previous Federal awards, and if applicable, the extent to which any previously awarded amounts will be expended prior to future awards. The Government will evaluate the relevant merits of the Applicant's history of performance based on its reputation and record with its current and/or former customers with respect to quality, timeliness and cost control. The history of performance will be reviewed to assure that the Applicant has relevant and successful experience and will be considered in the risk assessment. In evaluating history of performance, the Government may consider both written information provided in the application, as well as any other information available to the Government through outside sources.

(4) Applicant's audit reports and findings from audits performed on the Applicant pursuant to 2 CFR Part 200 Subpart F—Audit Requirements or the reports and findings of any other available audits;

(5) Applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities;

(6) Applicant's potential for conflict of interest if applicable; and

Note: The FHWA will review information provided by the Applicant, and any other relevant information known to DOT, to determine whether an award to the Applicant may create an actual or potential conflict of interest. If any such conflict of interest is found to exist, the AO may (a) disqualify the Applicant, or (b) determine that it is otherwise in the best interest of the United States to award to the Applicant and include appropriate provisions to mitigate or avoid such conflict in the Agreement pursuant to 2 CFR 200.112.

(7) Applicant's eligibility to receive Federal funding. Per the guidelines on government-wide suspension and debarment in 2 CFR Part 180, the Government will confirmation that the Applicant and any named sub-applicants are not debarred, suspended or otherwise excluded from or ineligible for participation in Federal programs or activities.

Pursuant to 2 CFR Part 200.205, prior to making a Federal award, the Federal awarding agency is required to review information available through any OMB-designated repositories of government-wide eligibility qualification or financial integrity information, such as Federal Awardee Performance and Integrity Information System (FAPIIS), Dun and Bradstreet, and Sam.gov. The Government's review of this information will occur as part of the risk assessment.

3. ANTICIPATED ANNOUNCEMENT AND FEDERAL AWARD DATES

The USDOT anticipates announcing the selected Smart City Challenge Finalists in March 2016.

The USDOT anticipates awarding concept development fixed priced agreement awards to selected Finalists in March 2016.

SECTION F – FEDERAL AWARD ADMINISTRATION INFORMATION

1. FEDERAL AWARD NOTICES

If your organization's application is selected for award, you will be notified and sent an award document for signature. Applicants not selected for award will be notified in writing by the USDOT.

Only the Agreement Officer (AO) can commit the USDOT. The award document, signed by the AO, is the authorizing document. Only the AO can bind the Federal Government to the expenditure of funds.

Notice that an Applicant has been selected as a Recipient does not constitute approval of the application as submitted. Before the actual award, the USDOT will enter into negotiations if necessary. If the negotiations do not result in an acceptable submittal, the USDOT reserves the right to terminate the negotiation and decline to fund the Applicant.

2. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

General terms, conditions, and governing regulations that apply to this agreement are available online at: <http://www.fhwa.dot.gov/aaa/generaltermsconditions.cfm>

The online list dated March 6, 2015 of "GENERAL TERMS AND CONDITIONS FOR ASSISTANCE AWARDS" shall apply to the resulting award.

Special terms and conditions follow. These terms will be included in the resulting award.

A. PUBLIC ACCESS TO DOCUMENTS

The Recipient agrees that the resulting deliverables/documentation submitted to the USDOT under this Agreement may be posted online for public access and/or shared by USDOT with other interested parties. The USDOT anticipates the documents cited herein may be posted on a USDOT website or other appropriate website.

B. PERSONALLY IDENTIFIABLE INFORMATION (PII)

Personally Identifiable Information (PII) as defined at CFR Part 200.79 and 2 CFR 200.82 at will not be requested unless necessary and only with prior written approval of the AO with concurrence from the Agreement Officer's Technical Representative (AOR).

C. AVAILABLE FUNDING

Currently, Federal funding in the amount of \$100,000 is obligated to the award for performance. This award is fully funded. The USDOT's liability to make payments to the Recipient is limited to those funds obligated under this Agreement as indicated herein and any subsequent amendments.

D. KEY PERSONNEL

Pursuant to 2 CFR 200.308(c)(2), the Recipient must request prior written approval from the AO for any change in Key Personnel specified in the award. The following person(s) are/have been identified as Key Personnel:

Name	Title/Position
(***) to be filled in at award (***)	

E. PROGRAM INCOME

Pursuant to 2 CFR 200.307, Program income earned during the agreement period must be added to the Federal award and used for the purposes and under the conditions of the Federal award, unless otherwise approved by the AO. Program income must not be used to offset the Federal or Recipient contribution to this project.

F. SUBAWARDS

Note: Recipients with a procurement system deemed approved and accepted by the Government or by the AO are exempt from the requirements of this clause. See 2 CFR 200.317 through 200.326.

Unless described in the application and funded in the approved award, the Recipient must obtain prior written approval from the AO for the subaward, transfer, or contracting out of any work under this award. This provision does not apply to the acquisition of supplies, material, equipment, or general support services.

The following subawards are currently approved under the Agreement:

Name
(***) to be filled in at award (***)

Approval of each subaward is contingent upon a fair and reasonable price determination, and approval by the AO for each proposed subcontractor/sub-recipient. Consent to enter into subawards will be issued through a written approval from the Agreement Officer.

G. DESIGNATION AS RESEARCH OR NON-RESEARCH AGREEMENT

This agreement is designated as: RESEARCH

H. CONFERENCE SUPPORT RESTRICTIONS

The Recipient must obtain written approval from the AOR prior to incurring any costs for conference support. See the definition of conference as contained in 2 CFR 200.432.

Food and beverage costs are not allowable conference expenses for reimbursement under this Agreement.

Note: Costs of meals are allowable as a travel per diem expense for individuals on travel status and pursuant to the Travel clause of this Agreement.

I. AGREEMENT PERFORMANCE REQUIREMENTS SUMMARY

N/A

J. DISPUTES

The parties to this Agreement will communicate with one another in good faith and in a timely and cooperative manner when raising issues under this provision. Any dispute, which for the purposes of this provision includes any disagreement or claim, between the FHWA and the Recipient concerning questions of fact or law arising from or in connection with this Agreement and whether or not involving alleged breach of this Agreement, may be raised only under this Disputes provision.

Whenever a dispute arises, the parties will attempt to resolve the issues involved by discussion and mutual agreement as soon as practical. In no event will a dispute which arose more than three months prior to the notification made under the following paragraph of this provision constitute the basis for relief under this article unless FHWA waives this requirement.

Failing resolution by mutual agreement, the aggrieved party will document the dispute by notifying the other party in writing of the relevant facts, identify unresolved issues and specify the clarification or remedy sought. Within five working days after providing written notice to the other party, the aggrieved party may, in writing, request a decision from one level above the AO. The AO will conduct a review of the matters in dispute and render a decision in writing within thirty calendar days of receipt of such written request. Any decision of the AO is final and binding unless a party will, within thirty calendar days, request further review as provided below.

Upon written request to the FHWA Director, Office of Acquisition and Grants Management or designee, made within thirty calendar days after the AO's written decision or upon unavailability of a decision within the stated time frame under the preceding paragraph, the dispute will be further reviewed. This review will be conducted by the Director, Office of Acquisition and Grants Management. Following the review, the Director, Office of Acquisition and Grants Management, will resolve the issues and notify the parties in writing. Such resolution is not subject to further administrative review and to the extent permitted by law, will be final and binding. Nothing in this Agreement is intended to prevent the parties from pursuing disputes in a United States Federal Court of competent jurisdiction.

3. REPORTING

ADDRESSES FOR SUBMITTAL OF REPORTS AND DOCUMENTS

The Recipient must submit all required reports and documents, under transmittal letter referencing the Agreement number, as follows:

Submit an **electronic copy** to the Agreement Officer at the following address: <To be filled in upon award>

Submit an **electronic copy** to the AOR at the following address: <To be filled in upon award>

MONTHLY PROGRESS REPORTS

The Recipient must submit an electronic copy of the Research Performance Progress Report (SF-RPPR), to the AOR and the Agreement Officer on or before the 30th of the month following the calendar quarter being reported. Final RPPRs are due 90 days after the end of the Agreement period of performance. The SF-RPPR content directions and budget formats are available online:

http://www.nsf.gov/bfa/dias/policy/rppr/format_ombostp.pdf

The Progress Report must include the required certification pursuant to 2 CFR 200.415.

Submit an electronic copy to the ITS JPO at the following address: ITSProjects@dot.gov.

SECTION G – FEDERAL AWARDING AGENCY CONTACTS

Address any questions to:

SmartCityChallenge@dot.gov

**GENERAL MEETING OF THE BOARD OF DIRECTORS
OF THE
CENTRAL TEXAS REGIONAL MOBILITY AUTHORITY**

RESOLUTION NO. 16-004

**AUTHORIZING EXECUTION OF A CONTRACT
TO PURCHASE CERTAIN PROPERTY IN TRAVIS COUNTY
FOR THE 290 EAST TOLL PROJECT (Parcel 14)**

WHEREAS, under the authority of Subchapter E, Chapter 370, Texas Transportation Code and other applicable law, the Central Texas Regional Mobility Authority (the "Mobility Authority") hereby finds and determines that to promote the public safety, to facilitate the safety and movement of traffic, and to preserve the financial investment of the public in its roadways and the roadways of the State of Texas, the public convenience and necessity requires acquisition of a certain 1.837 out of a 2.05 acre parent tract of real property owned by Speedy Stop Food Stores (the "Owner") that abuts US 290 East, as that property is more fully described by Exhibit 1 (the "Property"); and

WHEREAS, an independent, professional appraisal report of the Subject Property has been submitted to the Mobility Authority, and an amount has been established to be just compensation for the property rights to be acquired; and

WHEREAS, the Executive Director, through agents employed or contracted with the Mobility Authority, offered an official written offer to the Owner based on the amount determined to be just compensation, and entered into good faith negotiations with the Owners of the Property to acquire the Property; and

WHEREAS, the Owner has agreed to sell the Property, and the Executive Director recommends paying \$4,525,000 to acquire the Owner's interest in the Property.

NOW, THEREFORE, BE IT RESOLVED by the Board of Directors that the Executive Director is authorized and directed to accept the purchase price settlement offer and execute a real estate contract to acquire the Property from the Owner, and to negotiate and execute all other associated documents necessary to acquire the Owner's interest in the Property for a total acquisition price of \$4,525,000.

Adopted by the Board of Directors of the Central Texas Regional Mobility Authority on the 27th day of January 2016.

Submitted and reviewed by:



Geoffrey S. Petrov, General Counsel

Approved:

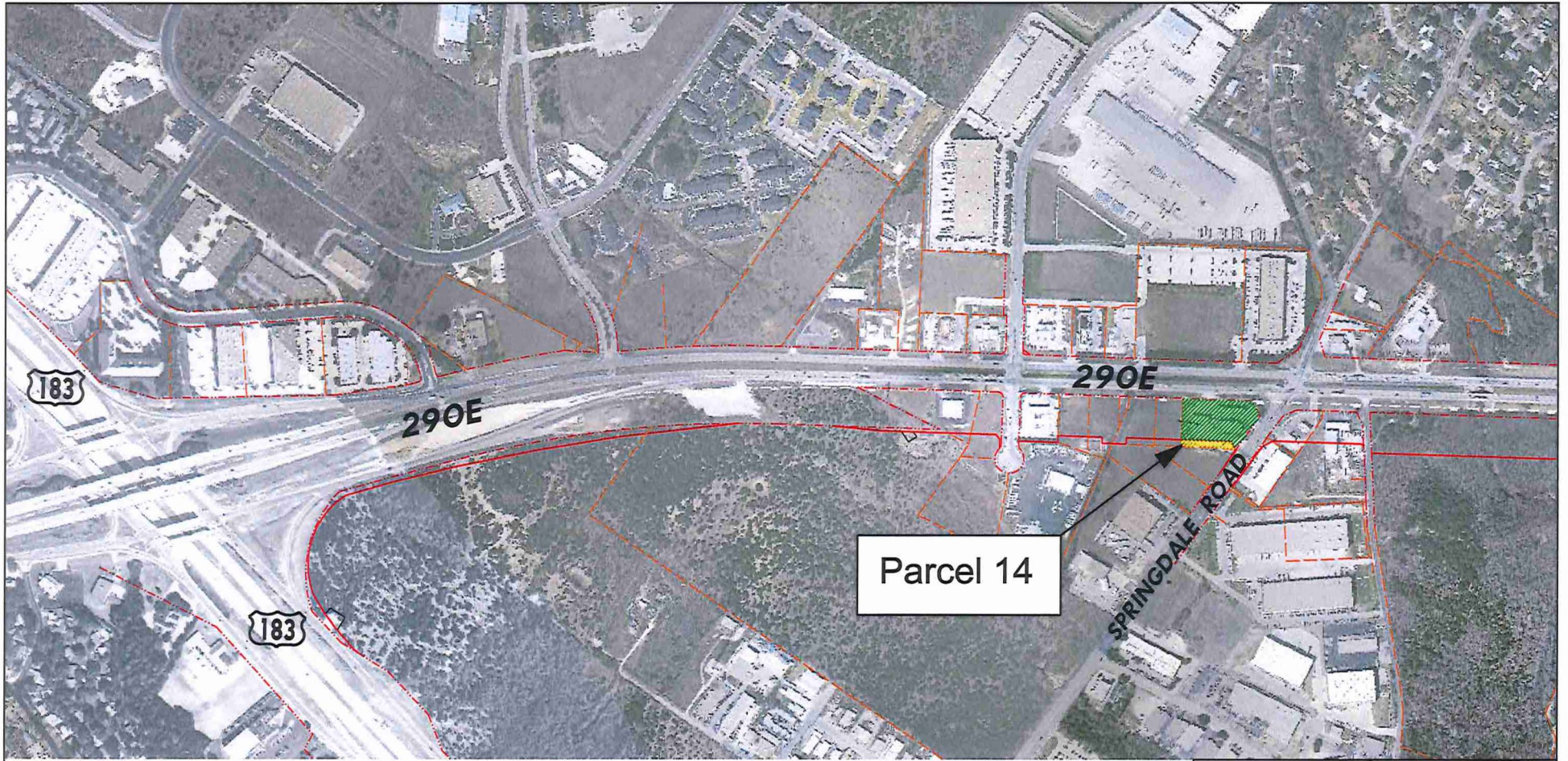


Ray A. Wilkerson
Chairman, Board of Directors



Exhibit 1

Property Description

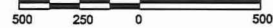
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LEGEND

-  ROW (PROPOSED)
-  ROW (EXISTING)
-  PROPERTY LINES
-  ALIGNMENT (PROPOSED)
-  ACQUISITION AREA

**PRELIMINARY
AS OF 9/02/10**



CENTRAL TEXAS
Regional Mobility Authority
© 2010

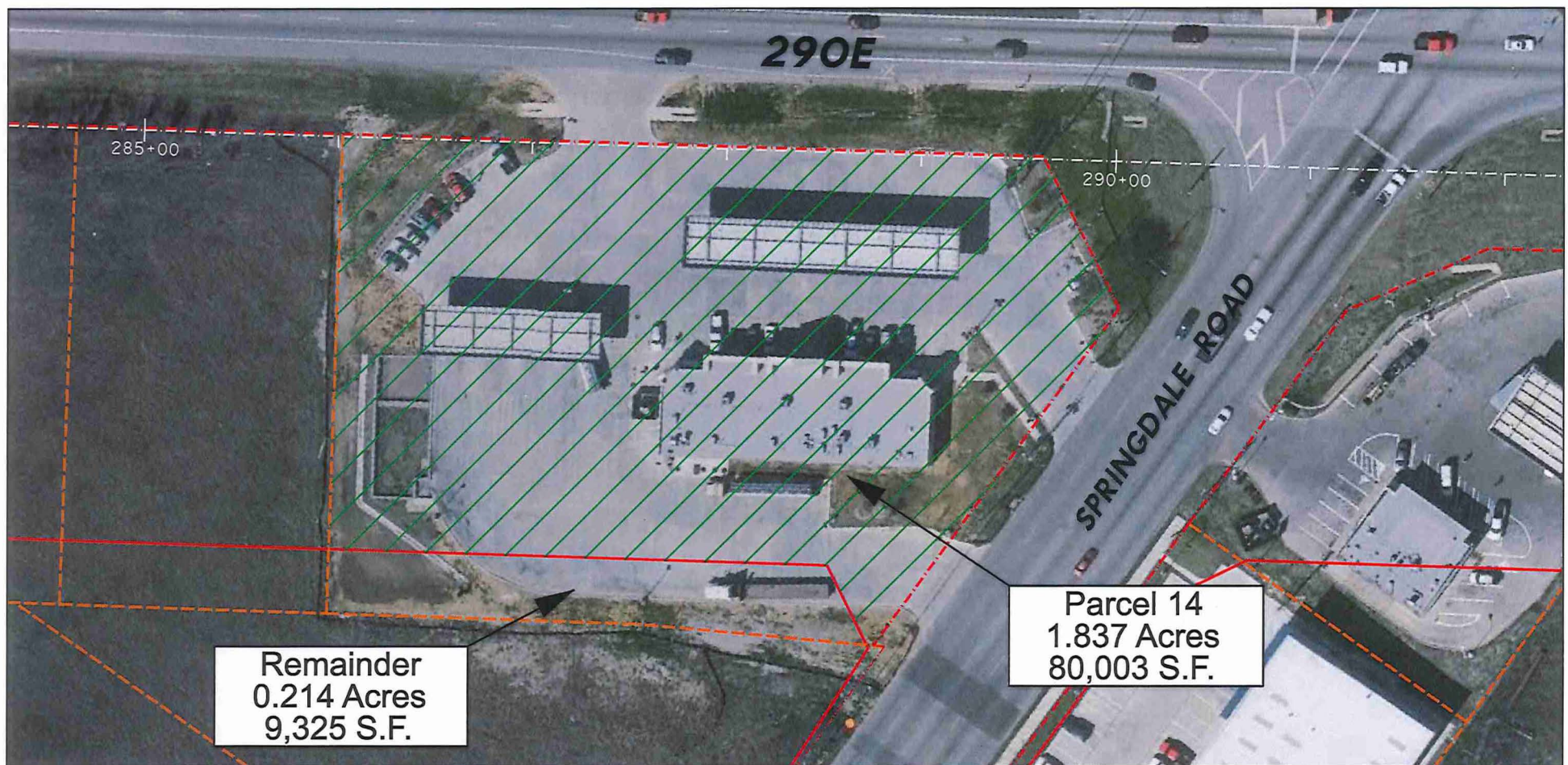
**EXISTING ROADWAYS
290E PARCEL 14
SPEEDY STOP FOOD STORES, LTD.**

Travis County, Texas

2:04:17 PM

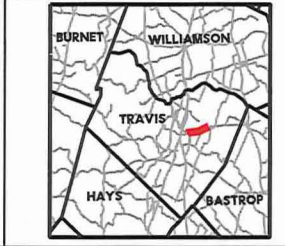
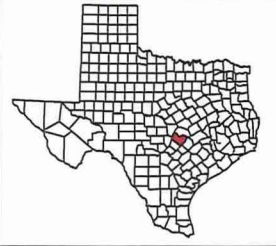
9/7/2010

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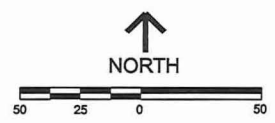
Remainder
0.214 Acres
9,325 S.F.

Parcel 14
1.837 Acres
80,003 S.F.



- LEGEND**
- ROW (PROPOSED)
 - - - ROW (EXISTING)
 - · - · - PROPERTY LINES
 - - - ALIGNMENT (PROPOSED)
 - / / / / / ACQUISITION AREA

**PRELIMINARY
AS OF 9/07/10**



IMPROVEMENTS
290E PARCEL 14
SPEEDY STOP FOOD STORES, LTD.

Travis County, Texas