



# SB1 Workshop

Online Webinar

November 13, 2018

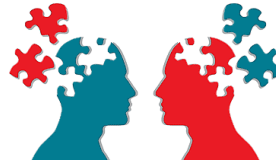


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## Today's Goals

### Understanding:


- SB1
  - Background
  - Delivery
- CTC SB1 Accountability and Transparency Guidelines
  - Front-end Accountability
  - In-progress Accountability
  - Program Reporting
  - Follow-up Accountability
  - Consequences of Non-compliance
- Allocations, Authorizations, and Agreements
- Timely Use of Funds
- Additional Resources




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# BACKGROUND



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## Accountability and Transparency

**Senate Bill No. 1**

CHAPTER 5


An act to amend Section 14526.5 of, to add Sections 14033, 14110, 14526.7, 14556.41, and 16321 to, to add Chapter 5 (commencing with Section 14460) to Part 5 of Division 3 of Title 2 of, to repeal Sections 63048.66, 63048.67, 63048.7, 63048.75, 63048.8, and 63048.85 of, and to repeal and add Section 63048.65 of, the Government Code, to add Section 43021 to the Health and Safety Code, to amend Section 99312.1 of, and to add Sections 99312.3, 99312.4, and 99314.9 to, the Public Utilities Code, to amend Sections 6051.8, 6201.8, 7360, 8352.4, 8352.5, 8352.6, and 60050 of, to add Sections 7361.2, 7653.2, 60050.2, and 60201.4 to, and to add Chapter 6 (commencing with Section 11050) to Part 5 of Division 2 of, the Revenue and Taxation Code, to amend Sections 2104, 2105, 2106, and 2107 of, to add Sections 2103.1 and 2192.4 to, to add Article 2.5 (commencing with Section 800) to Chapter 4 of Division 1 of, and to add Chapter 2 (commencing with Section 2030) and Chapter 8.5 (commencing with Section 2390) to Division 3 of, the Streets and Highways Code, and to amend Section 4156 of, and to add Sections 6000.15 and 9230.6 to, the Vehicle Code, relating to transportation, making an appropriation therefor, and declaring the urgency thereof, to take effect immediately.

[ Approved by Governor April 28, 2017. Filed with Secretary of State April 28, 2017. ]


LEGISLATIVE COUNSEL'S DIGEST

SB 1, Beall. Transportation funding.


(1) Existing law provides various sources of funding for transportation purposes, including funding for the state highway system and the local street and road system. These funding sources include, among others, fuel excise taxes, commercial vehicle weight fees, local transactions and use taxes, and Federal funds. Existing law imposes certain registration fees on vehicles, with revenues from these fees deposited in the Motor Vehicle Account and used to fund the Department of Motor Vehicles and the Department of the California Highway Patrol. Existing law provides for the monthly transfer of excess balances in the Motor Vehicle Account to the




### April 28, 2017, Governor Brown signed the Road Repair and Accountability Act of 2017 (SB-1)




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PROGRAM OVERVIEW




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### Programs We Will Address Today

-  Active Transportation Program (ATP)
-  Local Partnership Program (LPP)
-  Solutions for Congested Corridors Program (SCCP)
-  Trade Corridors Enhancement Program (TCEP)

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## Program Overviews

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### Active Transportation Program

- Funds active transportation projects that encourage increased use of active modes of transportation
  - Bicycle facilities
  - Pedestrian facilities
  - Education/Encouragement/Enforcement/Programs
  - Plans

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## Program Overviews (cont.)

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### Active Transportation Program

- \$100M/year in SB1 funding plus \$120M in other funding
- Approx. 700 projects programmed to date
- Cycle 4 projects to be programmed in January 2019/June 2019
- Baseline Agreement required for total project cost over \$25M total or over \$10M in ATP funds
- No match required

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## Program Overviews (cont.)

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### Local Partnership Program (LPP)

- Provides local and regional transportation agencies that have passed sales tax measures, developer fees, or other imposed transportation fees with a continuous appropriation of \$200 million annually to fund road maintenance and rehabilitation, sound walls, and other transportation improvement projects.

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## Program Overviews (cont.)

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### Local Partnership Program (LPP) Formula

- \$100M/year in SB1 funding
- 66 projects programmed for FY 17/18 & 18/19
- 33 Local, 16 On-system & 17 Mass Trans
- FY 19/20 projects will be programmed in October 2018
- Agencies can program LPP Formula projects throughout the year
- Funds can be used for any phase
- Must be matched 1:1
- **Baseline Agreements are not required**

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## Program Overviews (cont.)

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### Local Partnership Program (LPP) **Competitive**

- \$100M/year in SB1 funding
- 27 projects programmed in May 2018 for FY 17/18 thru 19/20
- 14 Local, 9 On-system & 4 Mass Trans
- CTC will program every 2 years starting FY 20/21 & 21/22
- Funds can only be used for construction phase
- Must be matched 1:1
- Baseline Agreement required for total projects cost over \$25M total or over \$10M in LPP funds

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## Program Overviews (cont.)

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### Solutions for Congested Corridors Program (SCCP)

- Provides funding to achieve a balanced set of transportation, environmental, and community access improvements to reduce congestion throughout the state

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## Program Overviews (cont.)

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### Solutions for Congested Corridors Program (SCCP)

- \$250M/year
- 9 projects programmed in May 2018 for FY 17/18, 18/19, 19/20 & 20/21
- 3 of these projects have locally administered components
- CTC will program 3 years of projects starting 2020
- Funds can only be used for construction phase
- No match required
- Must be in multimodal corridor plan
- **All projects require Baseline Agreement**

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## Program Overviews (cont.)

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### Trade Corridor Enhancement Program (TCEP)

- Provides funding for projects which more efficiently enhance the movement of goods along corridors that have a high freight volume.

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## Program Overviews (cont.)



### Trade Corridor Enhancement Program (TCEP)

- \$300M/year
- 28 projects programmed in May 2018 for FY 17/18, 18/19 & 19/20
- 3 Local
- 40% dedicated to Caltrans
- 60% for Identified Corridors
- Funds can be used for any phase
- Local projects must be matched 30%
- Caltrans projects don't require match
- All projects require Baseline Agreement

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# CALIFORNIA TRANSPORTATION COMMISSION SB1 ACCOUNTABILITY AND TRANSPARENCY GUIDELINES





## Applicability

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Applies to:

- Active Transportation Program (ATP)
- Local Partnership Program (LPP)
- Solutions for Congested Corridors Program (SCCP)
- Trade Corridors Enhancement Program (TCEP)
- State Highway Operations and Protection Program (SHOPP)

Note: Local Streets and Roads Program (LSRP) requirements can be found at: <http://catc.ca.gov/programs/sb1/l srp/>



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## Applicability (cont.)

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- Intended to supplement the CTC program guidelines
  - In the event of conflict, SB1 Accountability and Transparency Guidelines govern
- May be amended any time subject to CTC action
- CTC is authorized to program and allocate funding
- Caltrans provides administrative oversight
  - Ensures CTC guidelines are followed
    - Other actions
      - Programming
      - Allocations
      - Reporting



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## Purpose

- Communicate the CTC’s expectations
- To allow for transparent and effective decisions, timely delivery of improvements and benefits
- Emphasize project accountability
- Exercise programmatic oversight for project delivery consistency with program objectives, project application and agreements
  - Benefits
  - Scope
  - Cost
  - Schedule



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## SB1 Accountability and Transparency Components

### Front-End Accountability

- Baseline Agreements

### In-Progress Accountability

- Ongoing program monitoring and review
- Program or project amendments
- Allocation of funds

### Program Reporting

- Progress report
- Annual report

### Follow-up Accountability

- Completion reports
- Final delivery reports
- Audits of project expenditures and outcomes

### Consequences for Noncompliance



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# FRONT-END ACCOUNTABILITY



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## What is a Baseline Agreement?

- Sets forth the agreed upon expected benefits, project scope, schedule and cost of the project
- Approved at regular CTC meetings
- Identifies the agency responsible for delivering the project
- Establishes a foundation for monitoring and reporting



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## What is a Baseline Agreement? (cont.)

Local Agency agrees to:

- Secure funds for any additional costs of the project
- Report requested program and project status to Caltrans
  - On quarterly basis up to July 2019
  - On semi-annual basis after July 2019
- Submit Completion Report and Final Delivery Report in timely manner
- Retain Project Records for four years from project closeout
- Make project records available for review to the Commission, or their representative

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## When is a Baseline Agreement Required?

### SB1 Accountability and Transparency Guidelines

#### Baseline Agreement and Reporting Matrix

SB 1 Program	Baseline Agreement Requirement *	Progress Report	Completion Report	Final Delivery Report
Active Transportation Program (ATP)	Only for projects with: Total project cost: \$25 million or greater or Total programmed: \$10 million or greater	All Projects	All Projects	All Projects
Local Partnership Program (LPP) <i>formulaic</i>	None	None	All Projects	All Projects
Local Partnership Program (LPP) <i>competitive</i>	Only for projects with: Total project cost: \$25 million or greater or Total programmed: \$10 million or greater	All Projects	All Projects	All Projects
Solutions for congested Corridors Program (SCCP)	All Projects	All Projects	All Projects	All Projects
Trade Corridor Enhancement Program (TCEP)	All Projects	All Projects	All Projects	All Projects

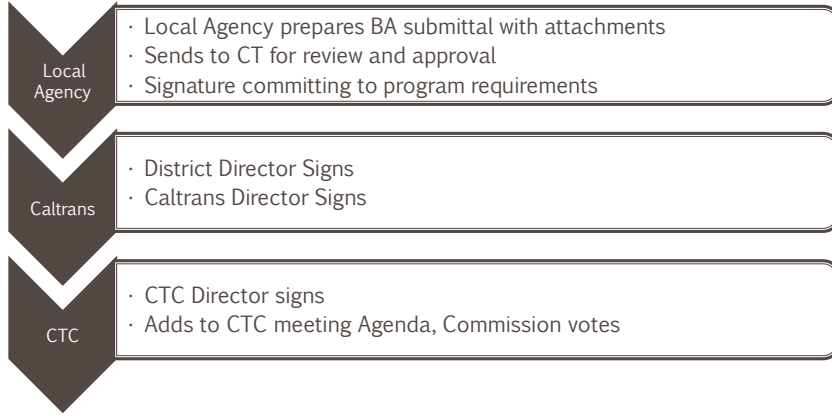
\* If a project that initially falls below the aforementioned thresholds later increases to equal or exceed the threshold requirements, a Baseline Agreement will be required within 60 days of when the change is identified.

\* A Baseline Agreement will be amended, if a project receives additional SB 1 Program Funds in a subsequent programming cycle, if there is a change in responsible parties, or at the discretion of the Commission.

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## Baseline Agreement Approval Process



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## Baseline Agreement Deadlines

- Due at first CTC meeting within 6 months after certification of the Final Environmental Impact Report, Negative Declaration, Mitigated Negative Declaration, or Notice of Exemption.
- If project funding exceeds the baseline agreement threshold anytime after approval, it is due within 60 days of when the change was identified

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## What happens if I do not meet the BA requirements by the deadline?

“The Commission may delete a project for which no Baseline Agreement is executed. The Commission will not consider approval of a project allocation, except for the environmental project component, without an approved Baseline Agreement.”

CTC SB 1 Accountability and Transparency Guidelines, amended May 2018, p. 4



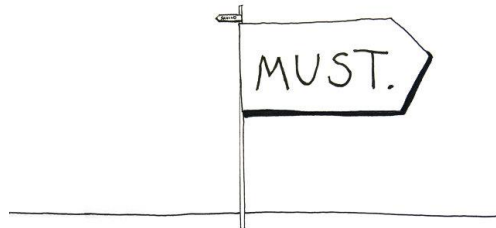
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## Baseline Agreement Amendments

Your Baseline Agreement must be amended if:

- Project receives additional funds in subsequent programming cycle
- Scope change is approved
- There is a change in responsible parties
- At the discretion of the Commission



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# IN-PROGRESS ACCOUNTABILITY



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## Ongoing Program Monitoring and Review

- Implementing agencies manage scope, cost, and schedule consistent with guidelines and agreements
- CTC staff shall receive routine program and project progress reports from Caltrans
- CTC staff may schedule routine status meetings with implementing agency
- CTC staff will perform routine assessments of project progress
- Commission staff will place projects unable to maintain cost and schedule on a **watch list**



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## Ongoing Program Monitoring and Review (cont.)

During course of the project, the following will be monitored:

- Satisfactory progress toward project completion
- Retention of financial records that document all expenditures
- Accurate and timely reports and reimbursement requests
- Timely and complete responses to any communication and request by the CTC/Caltrans



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## Program and Project Amendments

### ATP only

- Scope Changes
  - When the scope changes in any way from original approved project application
  - Must contact DLAE and make formal request
  - Local Assistance Program Guidelines (LAPG) Exhibit 22-D "Request for Scope Change Form"



[http://www.dot.ca.gov/hq/LocalPrograms/atp/atp\\_info.html](http://www.dot.ca.gov/hq/LocalPrograms/atp/atp_info.html)

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## Program and Project Amendments (cont.)

### ATP only (cont.)



- Scope Changes (cont.)
  - The notification to Caltrans must include the following.
    - An explanation of the proposed scope change
    - The reason for the proposed scope change
    - The impact the proposed scope change would have on the overall cost of the project
    - An estimate of the impact the proposed scope change would have on the potential of the project to deliver the project benefits as compared to the benefits identified in the project application (increase or decrease in benefit)
    - An estimate of the impact the proposed scope change would have on the potential of the project to increase the safety of pedestrians and bicyclists as compared to the benefits identified in the project application (increase or decrease in benefit);
    - An explanation of the methodology used to develop the aforementioned estimates
    - For projects programmed in the Metropolitan Planning Organization (MPO) component, evidence of MPO approval and the MPO rationale for their approval

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## Program and Project Amendments (cont.)

### ATP only (cont.)



- Scope Changes (cont.)
  - Caltrans Review Process
    - Caltrans' written analysis and recommendation to the Commission for the Commission's approval
      - Minor Scope Change
        - little or no impact to project benefits or increase in benefits of the project
        - Presented to Commission as part of project allocation request if approved by CTC staff
        - Presented to Commission as a project amendment if CTC staff recommends to disapprove
      - Major Scope Change
        - More significant scope change with potential impact to projects benefits
        - Presented to Commission as project amendment by CTC staff with recommendation to approval or disapprove

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## Program and Project Amendments (cont.)

### **ATP only** (cont.)



- Funding Distribution Changes
  - The agency must show that the project is still fully funded
  - The benefit of the project will remain the same or increase.
  - Must be considered by the Commission for approval.
  - Restrictions
    - The request cannot be made in the same state fiscal year in which the funds have been programmed.
    - The funds that are part of the request cannot have been allocated.
    - Funds programmed in construction cannot be moved out of construction.
    - An agency can only request a Funding Distribution Change once during the life of the project.

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## Program and Project Amendments (cont.)

### **ATP only** (cont.)



- Funding Distribution Changes (cont.)
  - The notification to Caltrans must include:
    - A revised Project Programming Request (PPR) that outlines the proposed Funding Distribution Change.
    - The reason for the proposed Funding Distribution Change.
    - The impact the proposed change would have on the overall cost of the project.
    - The project must remain fully funded.
    - A discussion of whether the Funding Distribution Change will affect the benefit of the project as described in the project application.
  - Agencies should consider waiting until after the environmental review has been completed to submit a Funding Distribution Change.

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## Program and Project Amendments (cont.)

### LPP/SCCP/TCEP



- Scope Changes
  - if the change is minor
  - has no impact to the project benefits or the scope change increases the benefits of the project.
- Cost Changes
  - Any cost increases should be funded from other fund sources
- Schedule Changes
  - Schedule changes to a project will not be considered unless a time extension was approved as specified in Section 26.
  - For projects programmed in the last year of the Program, the implementing agency may request to reprogram the project
    - only once with justification
    - unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the change.

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## Program and Project Amendments (cont.)

### LPP/SCCP/TCEP (cont.)



- Project amendments requested by implementing agencies shall receive the approval of all partners and funding entities before presentation to the Commission.
- Amendment requests should be submitted in a timely manner to Caltrans and include documentation that supports the requested change and its impact on the scope, cost, schedule and benefits.

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## Program and Project Amendments (cont.)

### LPP/SCCP/TCEP (cont.)



- Implementing agencies must notify Caltrans in writing of proposed project amendments including
  - Explanation of the proposed change
  - The reason for the proposed change
  - The impact the proposed change would have to the project
  - An estimate of the impact the proposed change would have on the potential of the project to deliver the project benefits as compared to the benefits identified in the project application (increase or decrease in benefits)
  - Explanation of the methodology used to develop the aforementioned estimate.
  - A revised Project Programming Request form must be included in the notification.

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## Program and Project Amendments (cont.)

### LPP/SCCP/TCEP (cont.)



- Caltrans will review the proposed amendment change and forward the proposed amendment change with Caltrans' written analysis and recommendation to the Commission for the Commission's approval
- Commission staff may also request that the Project Review Committee review and make a recommendation on amendment requests.

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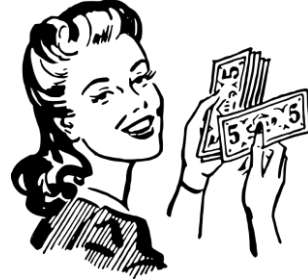


## Allocation of Funds

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Commission will allocate funds when the implementing agency requests an allocation.

Allocation requests will be considered on CTC regular agenda.



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## PROGRAM REPORTING

**WORK IN PROGRESS**

## Project Progress Reports

- ✓ All ATP projects
- ✓ All SCCP/TCEP
- ✓ All LPP competitive
- ✓ LPP-Formula Projects are not subject to the Progress Report requirement
- ✓ Quarterly through June 2019 then semi-annual
- ✓ First report presented by Caltrans at October 2018 CTC meeting

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**WORK IN PROGRESS**

## Project Progress Reports (see attachments)

- General Project Information

STATE OF CALIFORNIA CALIFORNIA TRANSPORTATION COMMISSION PROJECT PROGRESS REPORT – SB1 ACCOUNTABILITY AND TRANSPARENCY (Rev. date 8/14/2018)		<b>SB 1 Funded Projects</b> Please send completed Progress Report excel file to the SB1 Progress Reports mailbox at: sb1.progress.reports@dot.ca.gov	
<i>California Transportation Commission (Commission) SB1 Accountability and Transparency Guidelines Resolution GSIB-G-0708-01. As required by the Guidelines and the project baseline agreement, the implementing agency must submit regular and timely reports on the activities and progress made toward implementation of the project, including but not limited to, the current cost, schedule, scope, and expected benefits as compared to the cost, schedule, scope, and expected benefits approved under the baseline agreement.</i>			
<b>GENERAL PROJECT INFORMATION</b>			
<b>Period of Reporting:</b>		Begin Date: (mm/dd/yyyy)	End Date: (mm/dd/yyyy)
Applicant / Nominating Agency:		LoCode:	0000
Applicant / Nominating Agency:		LoCode:	0000
Applicant / Nominating Agency:		LoCode:	0000
Project Contact:		Email:	Phone:
Project Title:			
Implementing Agency:	PA&ED		
	PS&E		
	R/W		
	CON		
District:	EA:	PPNO:	EFIS:
County:	Route:	PM Bk:	PM Ahd:
County:	Route:	PM Bk:	PM Ahd:
County:	Route:	PM Bk:	PM Ahd:

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**WORK IN PROGRESS**

## Project Progress Reports (cont.)

- Approved Project Description
- Approved Project Scope
- Approved Project Benefits

<b>APPROVED PROJECT DESCRIPTION</b>
<b>APPROVED PROJECT SCOPE</b>
<b>APPROVED PROJECT BENEFITS (include Outputs and Outcomes on next page)</b>

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**WORK IN PROGRESS**

## Project Progress Reports (cont.)

- Project Baseline Agreement/Environmental Document

PROJECT BASELINE AGREEMENT / ENVIRONMENTAL DOCUMENT (mm/dd/yyyy)					
Baseline Agreement	Environmental Document: (select from dropdown)		Planned Completion Date	% Complete	Actual Completion Date
<input type="checkbox"/> Not Required	CEQA:	NEPA:			
Approval Date:	NEPA:	NEPA:			

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**WORK IN PROGRESS**

## Project Progress Reports (cont.)

- Project Milestones

PROJECT MILESTONES (mm/dd/yyyy)											
Phase	Approved Completion Schedule	Planned Completion Date	% Complete (Last Period)	% Complete (This Period)	Actual Completion Date	Contract Award Date	Approved Extensions (in months)			Completion Report Submittal Date	Final Delivery Report Submittal Date
							Contract Award	Allocation of Funds	Expenditure Completion		
PA&ED											
PS&E											
R/W											
CON											

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**WORK IN PROGRESS**

## Project Progress Reports (cont.)

- Project Funding

PROJECT FUNDING (\$1,000s)											
Phase	Approved Project Funding	SB-1 Program Funding						Other Funding (State)	Other Funding (Federal)	Other Funding (Local)	
		SHOPP	LPP-Comp	LPP-Form	SCCP	TCEP	ATP				
PA&ED											
PS&E											
R/W											
CON											
TOTAL	0	0	0	0	0	0	0	0	0	0	

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**WORK IN PROGRESS**

## Project Progress Reports (cont.)

- Project Expenditures

PROJECT EXPENDITURES (\$1,000s)											
Phase	SB-1 Program Funding Expenditure						Other Expenditure (State)	Other Expenditure (Federal)	Other Expenditure (Local)	Total Expenditure (all funds)	Planned Expenditure @ Completion
	SHOPP	LPP-Comp	LPP-Form	SCCP	TCEP	ATP					
PA&ED										0	
PS&E										0	
R/W										0	
CON										0	
<b>TOTAL</b>	0	0	0	0	0	0	0	0	0	0	0

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**WORK IN PROGRESS**

## Project Progress Reports (cont.)

- Project Outputs

PROJECT OUTPUTS / OUTCOMES				
Outputs/Outcomes	Unit	Outputs/Outcomes	Unit	
Bicycle lane/ sidewalk feet				

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**WORK IN PROGRESS**

## Project Progress Reports (cont.)

- Summary of Project Status

SUMMARY OF PROJECT STATUS	
Briefly describe the activities and progress made toward implementation of the project:	
Expected accomplishments/ milestone next period:	
<small>Is there a change in the project cost, schedule, scope, and/or expected benefits? If so, provide a summary describing the reason for the change AND attach a new Project Programming Request (PPR) form with the changes highlighted and describe below the corrective action plan, if necessary, to manage any risk to the implementation of the project as programmed.</small>	

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**WORK IN PROGRESS**

## Project Progress Reports (cont.)

- Corrective Action Plan
- Prepared by:

CORRECTIVE ACTION PLAN		
<small>*If no change from the last Progress Report, indicate "No Change".</small>		
*Cost:		
*Schedule:		
*Scope:		
*Expected Benefits:		
<small>Does the Corrective Action Plan require a time extension? If so, when do you anticipate submitting the request?</small> <input type="text"/> <input type="text"/> (mm/SS/yyyy)		
<small>Does the Corrective Action Plan require a Project Amendment? If so, when do you anticipate submitting the request?</small> <input type="text"/> <input type="text"/> (mm/SS/yyyy)		
<small>I certify that the information contained in the report is correct and consistent with the CTC SB-1 Accountability Guidelines and the project application or approved Baseline Agreement for the project</small>		
PREPARED BY:	DATE:	PHONE:
<small>Please send completed Progress Report excel file to the SB1 Progress Reports mailbox at: sb1.progress.reports@dot.ca.gov</small>		

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## ATP Project Progress Report Review

WORK IN  
PROGRESS

Same information as LPP/SCCP/TCEP Project Process Report except:

1. State only funded, federally funded or a combination of the two
2. Scope change information
3. E-76 approval date (federally or partial federally funded projects)
4. Projects with non-infrastructure components include a CON-NI phase
5. Contract Award Deadline
6. A section for NI progress

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## Annual Reports

CTC will provide an annual report to the Legislature of its activities relative to the administration of SB1


- Discussion of any significant issues
- May recommend legislative proposals for program improvement




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# FOLLOW-UP ACCOUNTABILITY




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## Completion Reports *☑ DONE!*

- ✓ All projects
- ✓ Within six months of construction contract acceptance or the project becoming operable (open to the public), whichever comes sooner, the Department shall provide a Completion Report to the Commission
  - scope of the completed project
  - estimated final cost
  - estimated duration
  - project benefits as compared to those included in the executed project agreements
    - methodologies and assumptions used to evaluate how the project benefits were evaluated as compared to the methodologies and assumptions used in the executed project agreements
- ✓ Delays in reporting are not acceptable due to plant establishment or ongoing environmental mitigation monitoring

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## Final Delivery Reports

- ✓ All projects
- ✓ Within 180 days of conclusion of all remaining project activities
  - Final project expenditures
  - Changes that occurred after submittal of the Completion Report
    - Plant establishment
    - Extended environmental mitigation
    - Final cost
  - Updated evaluation of the benefits/outcomes



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## Audits of Project Expenditures and Outcomes

CTC expects audits conducted on representative sample of projects to:

- Determine whether projects costs incurred and reimbursed comply with the project agreements
- Determine whether project deliverables and outcomes are reasonable in comparison with project cost, schedule, and benefits described in the project agreements

Additional audits may be requested by CTC during the implementation phases of the project



Inspector General will ensure that funds are spent efficiently, effectively, economically and in compliance with applicable state and federal requirements

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## Consequences of Non-Compliance

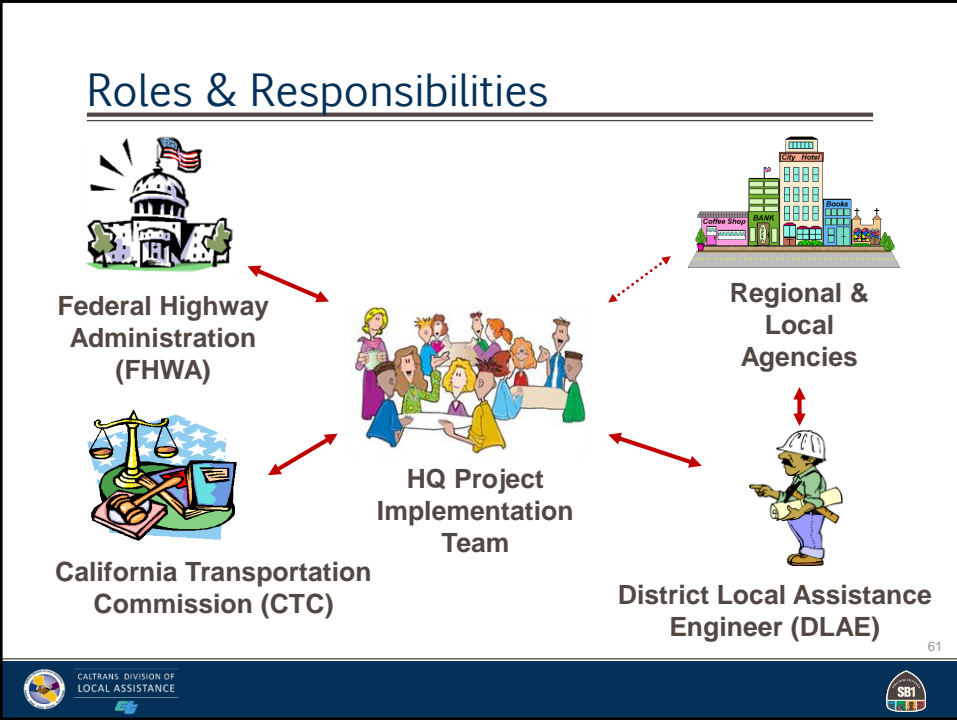
Implementing Agencies that do not meet the accountability requirements may be placed on a watch list and:

- Caltrans will recommend appropriate actions to the CTC including:
  - Written warning to the Implementing Agency identifying deficiencies, necessary remedies, and deadlines for corrections
  - Implementing Agencies appearance before the Commission to explain how they will resolve non-compliant issues
  - For most egregious situations, while in non-compliance, an Implementing Agency may:
    - Be deemed ineligible for future allocations or programming actions
    - Not be fully reimbursed on invoices
    - Other as recommended by Caltrans



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AGREEMENTS, ALLOCATIONS,  
AUTHORIZATIONS



- ## Local Assistance Quick Facts for California
- At any time there are about 5,000 “Active Projects” among 680 agencies
  - These Active Projects represent \$16 billion in total funding
  - Annually
    - Originally 200 Allocations, now with SB1 we anticipate 400 Allocations per year
    - 2,000 Federal Authorizations
    - 7,000 Progress Invoices
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## Topics

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- Local Assistance Agreements
- CTC Allocation Overview & Process
- Federal Authorization Overview & Process
- Best Practices, Heads Up, What's Next

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## Local Assistance Agreements

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Agreement between State & Local Agency

- MA: Master Agreements – Federal & State
- PSA: Program Supplement Agreement

Check Process

✓ **Agreements:** Local Assistance Procedures Manual (LAPM)

**Note:** Not all Master Agreements can be used across Local Assistance and Division of Rail & Mass Transportation. Call Patrick Olsen (916) 651-6825 for details.

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## What is a Master Agreement (MA)?

An agreement between a city, county, or other local public agency and the State that defines general terms and conditions. There are two types:

- Federal-aid Highway Program
- State-only Funded Projects

**MUST HAVE:**

- ✓ Project adopted into program before MA
- ✓ Executed MA prior to 1<sup>st</sup> project Allocation/Authorization

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## Sample MA: State Funded Project

**MASTER AGREEMENT**

**ADMINISTERING AGENCY - STATE AGREEMENT  
FOR  
STATE FUNDED PROJECTS**

District 05  
Agreement No. 000087  
**City of Pacific Grove**  
Administering Agency

THIS AGREEMENT, made effective this 13th day of May, 2002, is by and between the City of Pacific Grove, hereinafter referred to as 'ADMINISTERING AGENCY,' and the State of California, acting by and through its Department of Transportation, hereinafter referred to as 'STATE.'

WITNESSETH

WHEREAS, the Legislature of the State of California has enacted legislation by which certain State funds are made available for use on local transportation facilities; and

WHEREAS, ADMINISTERING AGENCY has applied to the California Transportation Commission (CTC) and/or STATE for funding from the STATE Transportation Improvement Program (STIP), or other programs, as defined in the *Local Assistance Program Guidelines* for use on local transportation facilities as local administered PROJECT(s), hereinafter referred to as "PROJECT"; and

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## Sample MA: Federal-Aid Project

**MASTER AGREEMENT**  
ADMINISTERING AGENCY-STATE AGREEMENT FOR  
FEDERAL-AID PROJECTS

UNFORMED COPY

08 City of La Quinta

District Administering Agency

Agreement No. 08-5433R

This AGREEMENT, is entered into effective this 31<sup>ST</sup> day of OCTOBER, 2006, by and between the City of La Quinta, hereinafter referred to as "ADMINISTERING AGENCY," and the State of California, acting by and through its Department of Transportation (Caltrans), hereinafter referred to as "STATE, and together referred to as "PARTIES" or individually as a "PARTY."

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## MA Timing

- Have MA but need update? **No Problem!**
  - HQ will send out updated MA

### CHALLENGES

- New Agency, No MA:
  - Takes time! **6-12 months** - *Delay project start date*
  - Request initiation
  - Pre-award audit
  - Possible corrective actions from findings
  - MA & Locode processing



- ✓ Extensive Federal & State Requirements

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## MA Timing

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### SOLUTIONS

- Partner w/agency that has existing MA
- Be aware of MA timeframes
- Plan projects accordingly
  
- ✓ Review & know resources
  - MA Language
  - Local Assistance Procedures Manual (LAPM)
  - Local Assistance Program Guidelines (LAPG)



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## What is a Program Supplement Agreement (PSA)?

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An Agreement between Local Agency & State, which amends the Master Agreement to describe the phases, costs, and special conditions, that apply to a specific projects.

- One per project
- Timing
- Contacts

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# Sample: PSA

PROGRAM SUPPLEMENT NO. N137  
to  
ADMINISTERING AGENCY-STATE AGREEMENT  
FOR FEDERAL-AID PROJECTS NO 07-5652R

Adv Project ID: 0713000245      Date: June 21, 2013  
Location: 07-VEN-G-CR  
Project Number: STPL-5652(165)  
E.A. Number:  
Locode: 5952

This Program Supplement hereby adopts and incorporates the Administering Agency-State Agreement for Federal Aid which was entered into between the Administering Agency and the State on 03/08/07 and is subject to all the terms and conditions thereof. This Program Supplement is executed in accordance with Article 1 of the aforementioned Master Agreement under authority of Resolution No. 412 approved by the Administering Agency on 02/04/2007 (See copy attached).

The Administering Agency further stipulates that as a condition to the payment by the State of any funds derived from sources noted below obligated to this PROJECT, the Administering Agency accepts and will comply with the special covenants or remarks set forth on the following pages.

**PROJECT LOCATION:**  
Intersection of Rice Ave. and Wooley rd.

**TYPE OF WORK:** Traffic signal replacement, installation of pavement markers and type D detector loops for bike detec      **LENGTH:** 0.0(MILES)

Estimated Cost	Federal Funds		Matching Funds		
	L23R		LOCAL		OTHER
\$189,750.00		\$167,985.00	\$21,765.00		\$0.00

COUNTY OF VENTURA      STATE OF CALIFORNIA  
By: *[Signature]*      Department of Transportation  
Title: *DIRECTOR, TRANSPORTATION*      By: *[Signature]*  
Chief, Office of Project Implementation  
Division of Local Assistance

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## Reminder: Cooperative (Coop) Agreement

- Required for projects on the State Highway System (SHS)
- Outlines Local Agency/State roles, responsibilities, and commitments
- Must be fully executed before beginning any reimbursable work or exchanging funds
- **Additional SB1 Language:**
  - Completion Reports
  - Accountability and Transparency Guidelines
  - Cost increases must come from non-SB1 funds
  - Project changes require CTC approval
  - Program Specific Guidelines
  - Baseline Agreements

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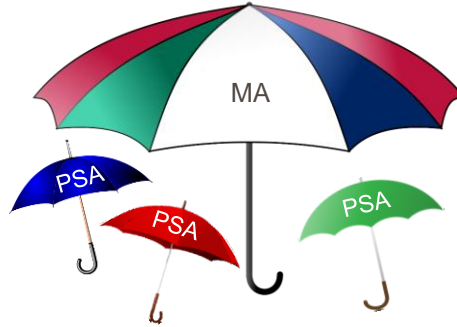


## RECAP: Agreements

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MA: **1** per Agency

PSA: **1** per Project



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## REMEMBER...

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A local agency will **NOT** be paid, *unless* they have a **fully executed** MA & PSA.







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## State Allocations



### What are the State Funding Programs?

-  Active Transportation Program (ATP)
-  Local Partnership Program (LPP)
-  Solutions for Congested Corridors (SCCP)
-  Trade Corridors Enhancement Program (TCEP)

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## When Can an Agency Request an Allocation?



- After funds for project or project component are programmed in the Big 5.
- During the State Fiscal Year in which those funds are programmed.
- When ready to begin reimbursable work.
- Before awarding a contract.
- 7 weeks before the actual CTC vote takes place!!!

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# CTC Meeting Prep Schedule



[dot.ca.gov/hq/transprog/ctcliainson.htm](http://dot.ca.gov/hq/transprog/ctcliainson.htm)

2018 PREPARATION SCHEDULE  
 CALIFORNIA TRANSPORTATION COMMISSION (CTC) MEETINGS  
 AGENDA ITEM(S) DUE DATES

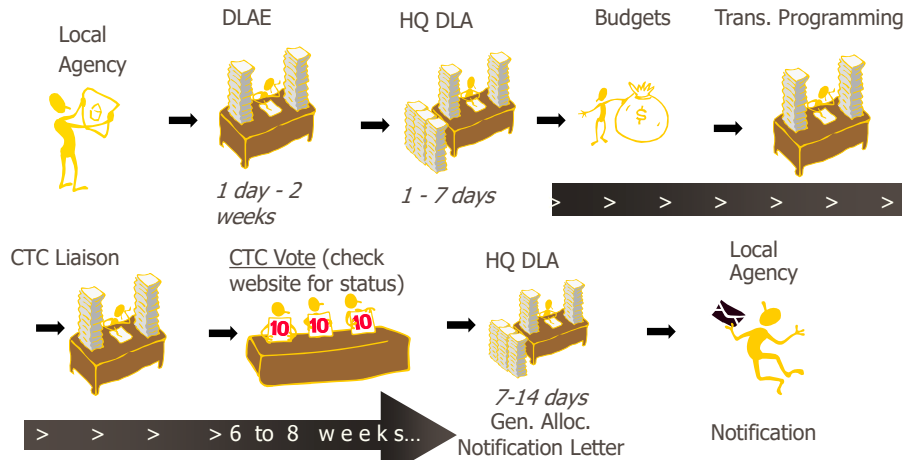
Prepared by:  
 OFFICE OF CTC LIAISON  
 DIVISION OF TRANSPORTATION PROGRAMMING  
 CALIFORNIA DEPARTMENT OF TRANSPORTATION  
<http://www.dot.ca.gov/hq/transprog/ctcliainson.htm>  
 Effective:  
 September 2017

2018 California Transportation Commission (CTC) Meeting Schedule	Local Agency Submits Off System Funds Requests, Program Amendments, and Time Extensions to Caltrans Districts (and CTC Staff for Prop 116 Rail)	District Submits Off System and On System Requests to HQ Divisions	HQ Divisions Submit Final Off System and On System Requests to Budgets	Final Agenda Language Due From HQ Divisions to Office of CTC Liaison	Final Book Items Due from HQ Divisions to Office of CTC Liaison
Date and Location:	10:00 AM District & CTC	10:00 AM HQ Divisions/ Funds Request email	5:00 PM Budgets	10:00 AM CTC Liaison	10:00 AM CTC Liaison
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# Allocation Processing Time



**Follow CTC Meeting schedule deadlines!!!**

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# Allocation Submittals: E&P (aka PA&ED)



\* Recently Released – New Dynamic Allocation Form  
“Funding Allocation Request Data Form” at:  
<http://www.dot.ca.gov/hq/LocalPrograms/forms/>

- Funding Allocation Checklist, Exhibit 22-N or 23-N
- Request for Allocation, Exhibit 22-O or 23-O
- Finance Letter, Exhibit 22-C, 23-C, or 3-O
- Programming Info, FTIP, CTIPS, ATP, SB1, etc.
- Project Programming Request Form and Funding Information, Exhibit 22-G or 23-G/H
- *Program Specific Requirements*
- Subject to Timely Use of Funds

\*\*Federal PE phase = State E&P/PA&ED and PS&E components\*\*

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# RTPA/MPO Concurrence



Division of Local Assistance	Page 3 of 3	Funding Allocation Request Data Form
<b>4. REQUEST FOR ADVANCE OF FUNDING</b>		
Is this request for funding programmed in a future Fiscal Year? <input type="text" value="No"/>		
Provide justification below if yes.		
<input type="text"/>		
<b>5. ESTIMATED TIMELY USE OF FUNDS DEADLINES</b>		
<b>6. RTPA/MPO CONCURRENCE</b>		
The RTPA must sign the “Request for Funding Allocation” form if any of the below applies:		
<input type="checkbox"/> Will this request change the project description, scope, exceed the amount programmed, or require an advance?		
<input type="checkbox"/> Has the RTPA/MPO passed a resolution requiring their concurrence on all requests for funding allocations?		

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## Allocation Submittals: PS&E and R/W



Same as E&P, but includes:

- CEQA document type and approval date
  - Non-exempt Projects: Local Agency submits final environmental document, directly to the CTC
- NEPA document, if federalized
- *Program Specific Requirements*
- Subject to Timely Use of Funds

\*\*Federal PE phase = State E&P/PA&ED and PS&E components\*\*

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## Construction Allocation Submittals



Same as PS&E and R/W, but also includes:

- Date of Right of Way Certification (State)
- Right of Way Certification (Federal)
- Engineer's Detailed Estimate
- *Program Specific Requirements*
- Subject to Timely Use of Funds

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## Other Allocation Requests

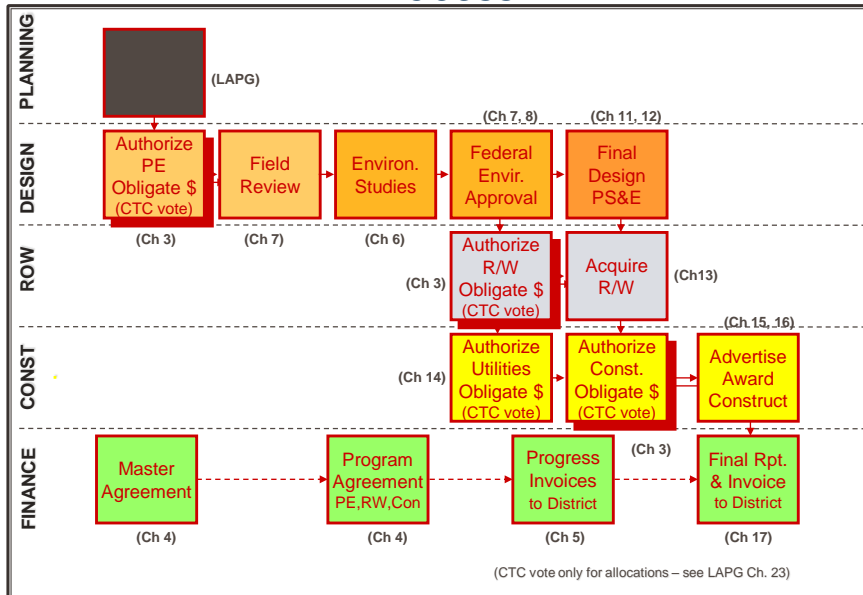


- SB 184: STIP, short term, within the SFY
- AB 3090: STIP, longer term
- LONP: Letter of No Prejudice, SB1

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## Federal-Aid Highway Authorization Process



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## Federal Authorizations

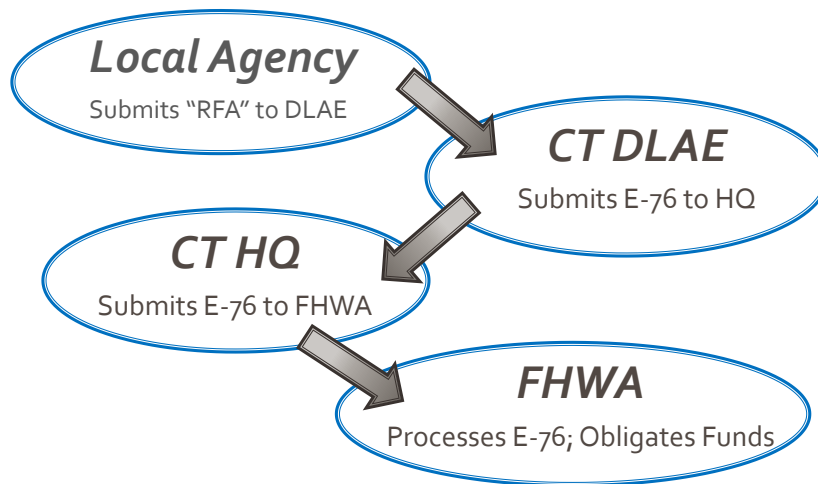


- Authorize before work/advertising
- FHWA's approval to proceed with work
  - Preliminary Engineering (environmental & design)
  - Right of Way
  - Utility
  - Construction
  - Construction Engineering
  - Non-Infrastructure
- Establishes date of reimbursement

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## Federal Authorizations



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## PE Authorizations



- Covers preliminary engineering work associated with environmental process and final design
- Eligible reimbursement only after PE Authorization date.
- Final design can begin *only after* NEPA clearance
- May include preliminary R/W activities necessary to develop project alternatives

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## PE Authorization Submittal



- Request For Authorization (RFA) to Proceed with Preliminary Engineering, Exhibit 3-A
- RFA Data Sheet, Exhibit 3-E
- Finance Letter, Exhibit 3-O
- Field Review Form, Exhibit 7-B
- Programming in the FTIP

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## Right of Way Authorizations



- Federal reimbursement, any phase, all R/W must conform to federal requirements
- NEPA environmental clearance **required** prior to authorization
- Must be obtained prior to negotiation w/ owners
- Covers:
  - Appraisals
  - Negotiation w/ owners
  - RW Acquisition
  - Relocation Assistance

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## Submittal: Right of Way Authorization



- RFA to Proceed with Right of Way, Exhibit 3-B
- RFA to Proceed with Utility Relocation, Exhibit 3-C
- RFA Data Sheet, Exhibit 3-E
- Finance Letter, Exhibit 3-O
- Programming in the FTIP
- NEPA environmental clearance

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## Construction Authorizations



- AUTHORIZE BEFORE YOU ADVERTISE!!!
- NEPA clearance required prior to federal authorization
- Right of Way Certification required
- CON and CE identified separately

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## Construction Authorization Submittal



- RFA to Proceed with Construction, Exhibit 3-D
- RFA Data Sheet, Exhibit 3-E
- Finance Letter, Exhibit 3-O
- Programming in FTIP
- NEPA environmental clearance
- Right of Way Certification, Exhibit 13-A/B
- PS&E Checklist and Certification, Exhibits 12-C/D
- DBE and ADA, Exhibits 9-B and 9-C annually
- QAP within 5 years

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# FHWA Authorization + CTC Allocation



FHWA Authorizes:

CTC Allocates:

PE

E&P (PA&ED)

PS&E

RW

RW

CON

CON

CE

Inactivity, PE>10, RW>20

Timely Use of Funds (TUF)

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## Best Practices



Follow the Simultaneous Authorization/Allocation process; submit BOTH Allocation & Authorization requests at the same time.

[www.dot.ca.gov/hq/LocalPrograms/hooles-rules.html](http://www.dot.ca.gov/hq/LocalPrograms/hooles-rules.html)

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## Allocation “Heads Up”



- Follow CTC Preparation Schedule
- Submit “non-Exempt” CEQA document (and get an E-Resolution) at prior meeting
- Use *Simultaneous* processing of Allocations and Authorizations rather than *Sequential*
- Verify SB1 Programming; Scope Check
- Adherence to Program Guidelines, Reporting Requirements, and SB1 Accountability Guidelines

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## Authorization “Heads Up”



- Verify Federal Programming
- DBE Agreements/ADA Compliance/QAP’s on file
- Obligate CON **and** CE phases

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## Upcoming Improvements

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New Dynamic Allocation Form: **Done!**

- <http://www.dot.ca.gov/hq/LocalPrograms/forms/>

**Authorization (E-76) Process:**

Lean 6 Sigma effort to reduce CT processing time from 42 days to 14.

**Progress Invoices:**

Lean 6 Sigma effort to reduce 90% of errors.

**PSA:**

Lean 6 Sigma effort to reduce PSA processing time.

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## TIMELY USE OF FUNDS OVERVIEW STIP – ATP – SB1 (LPP, TCEP, SCCP)



## Today's Goal?

### Understanding:

- Timely Use of Funds (TUF) Purpose
- Time Extension Request Process
- Submittal Timelines
- Extension Request Quality
- Delay Drivers by Phase
- Information Resources/Tools

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CALTRANS DIVISION OF  
LOCAL ASSISTANCE

## What Programs do TUF rules apply to?

- State Transportation Improvement Program (STIP)
- Active Transportation Program (ATP)
- Local Partnership Program (LPP)
- Trade Corridors Enhancement Program (TCEP)
- Solutions for Congested Corridors (SCCP)

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LOCAL ASSISTANCE

## Timely Use of Funds

Established by Statute:

- For STIP, SB 45, Section 622 and Section 66 of the CTC STIP Guidelines
- ATP and SB1 Programs modeled after the STIP and have similar guidelines and TUF rules

Intention is to encourage local agencies to accurately program, monitor and deliver projects in a timely manner



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CALTRANS DIVISION OF  
LOCAL ASSISTANCE



## What are the TUF Deadlines?



- **Allocations** - Funds must be allocated by CTC in the year programmed. (PA&ED, PS&E, RW, & CON)
- **Expenditure** - Project development-phase expenditures must occur by end of 2nd State FY following year of allocation (PA&ED, PS&E, & RW)
- **Contract Award** - Projects must be awarded within 6 months from construction allocation
- **Project Completion** - Project must be completed within 36 months of the award

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CALTRANS DIVISION OF  
LOCAL ASSISTANCE



# Consequences of Not Receiving an Extension

Implementing Agencies that do not request an extension are at risk as follows:

- For Allocations: Funds lapse and particular phase will no longer be eligible for funding.
- For Expenditures: Only expenses incurred up to deadline are eligible for invoicing. Activities beyond deadline will no longer be eligible for reimbursement.
- For Contract Award: Construction funds lapse and no longer eligible for funding.
- For Project Completion: Only expenses occurred up to the deadline are eligible for invoicing. Activities beyond deadline will no longer be eligible for reimbursement.

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CALTRANS DIVISION OF LOCAL ASSISTANCE



TIMELY USE OF FUNDS BY PROGRAM

Program	STIP Timely Use of Funds	ATP Timely Use of Funds	LPP Timely Use of Funds	TCEP Timely Use of Funds	SCCP Timely Use of Funds
<b>Applicability</b>	All STIP funds (Federal \$ and/or State\$)	All ATP funds (Federalized \$ and/or State\$)	All LPP funds (Federalized \$ and/or State\$)	All TCEP funds (Federalized \$ and/or State\$)	All SCCP funds (Federalized \$ and/or State\$)
<b>Applicability level</b>	Each project phase	Each project phase	Each project phase	Each project phase	Con Phase only
<b>Emphasis</b>	Project Delivery	Project Delivery	Project Delivery	Project Delivery	Con Phase only
<b>Authority</b>	SB45 of 1997	SB99 / AB101 / SB1	SB1	SB1	SB1
<b>Enforcing Agency</b>	CTC	CTC	CTC	CTC	CTC
<b>Cost Increases</b>	Yes, Commission approval required.	Not from ATP \$\$, Caltrans must be notified.	Not from LPP \$\$, Commission must be notified.	Not from TCEP \$\$, Caltrans must be notified.	Not from SCCP \$\$, Commission must be notified.
<b>Rules</b>	Funds must be allocated by CTC in the year programmed.  Project development-phase expenditures must occur by end of 2 <sup>nd</sup> FY following allocation date.  Projects must be awarded within 6 months from construction allocation.  Project must be completed within 36 months of the award.	Funds must be allocated by CTC in the year programmed.  Project development-phase expenditures must occur by end of 2 <sup>nd</sup> FY following allocation date.  Projects must be awarded within 6 months from construction allocation.  Project must be completed within 36 months of the award.	Funds must be allocated by CTC in the year programmed.  Project development-phase expenditures must occur by end of 2 <sup>nd</sup> FY following allocation date.  Projects must be awarded within 6 months from construction allocation.  Project must be completed within 36 months of the award.	Funds must be allocated by CTC in the year programmed.  Project development-phase expenditures must occur by end of 2 <sup>nd</sup> FY following allocation date.  Projects must be awarded within 6 months from construction allocation.  Project must be completed within 36 months of the award.	Funds must be allocated by CTC in the year programmed.  Projects must be awarded within 6 months from construction allocation.  Project must be completed within 36 months of the award.
<b>Possible Extensions</b>	CTC may approve up to 20-month extension for each of the deadlines.	CTC may approve up to 12-month extension for each of the deadlines, except <u>Allocations</u> .  <u>Allocations</u> can be requested up to 20-months.	CTC may approve up to 12-month extension for each of the deadlines, except <u>Project Completion</u> .  <u>Project Completions</u> can be requested up to 20-months.	CTC may approve up to 12-month extension for each of the deadlines, except <u>Project Completion</u> .  <u>Project Completions</u> can be requested up to 20-months.	CTC may approve up to a 12-month extension for CON Allocation and Contract Award.  <u>Project Completion</u> can be requested up to 20-months.
<b>Number of Extensions Allowed</b>	One extension per phase per type, i.e., ALLOCATION • PAERD, PSAE, R,W, CON EXPENDITURE • PAERD, PSAE, R,W AWARD • CON COMPLETION • CON	One extension per phase per type, i.e., ALLOCATION • PAERD, PSAE, R,W, CON EXPENDITURE • PAERD, PSAE, R,W AWARD • CON COMPLETION • CON	One extension per phase per type, i.e., ALLOCATION • PAERD, PSAE, R,W, CON EXPENDITURE • PAERD, PSAE, R,W AWARD • CON COMPLETION • CON	One extension per phase per type, i.e., ALLOCATION • PAERD, PSAE, R,W, CON EXPENDITURE • PAERD, PSAE, R,W AWARD • CON COMPLETION • CON	One extension per phase per type, i.e., ALLOCATION • CON AWARD • CON COMPLETION • CON

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CALTRANS DIVISION OF LOCAL ASSISTANCE



## Time Extension Request Forms

### Forms

- STIP – 23B
- ATP – 22B
- SB1 – Pending

New Dynamic Time Extension Form being developed to replace 22B & 23B.

*For projects with funding from multiple programs subject to TUFs, the program with the more restrictive deadline governs.*

Local Assistance Program Guidelines Request for Time Extension (LOCAL ATP PROJECTS) EXHIBIT 22-B

**EXHIBIT 22-B REQUEST FOR TIME EXTENSION (LOCAL ATP PROJECTS)**  
 (To Be Filled on Local Agency Letterhead)

To: (DLAE Name) \_\_\_\_\_ Date: \_\_\_\_\_  
 District Local Assistance Engineer PPD#: \_\_\_\_\_  
 Caltrans, Office of Local Assistance PROJECT #: \_\_\_\_\_  
 (District Address) Project ID: \_\_\_\_\_

(Brief Project Description, Location, County, Assembly District, Senate District) \_\_\_\_\_

Dear (DLAE Name):

We request that the California Transportation Commission (CTC) approve a request for a time extension for this project.

A. Project description:  
 (Give description of project, location and scope from Project Programming Request. Include programmatic funding level by phase)

B. Project element for which extension requested: (check appropriate box)

Allocation\*  Expenditure  Award  Completion (contract acceptance)

C. Phase (component) of project: (check appropriate box or boxes)

Environmental Studies & Permits  Plans, Specs. & Estimate  Right of Way  Construction\*

D. Allocation and deadline summary

Allocation Due By Phase (if applicable)	Allocated Amount By Phase (if applicable)	Original Deadline	Number of Months of Extension Requested	Extended Deadline

Exhibit 22-B May 30, 2012  
 Page 11

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## Delay Drivers - Allocations

- |  |   |
|--|---|
| <ul style="list-style-type: none"> <li>▪ <b>PA&amp;ED</b> <ul style="list-style-type: none"> <li>• Lack of Master Agreement</li> </ul> </li> </ul>   | <ul style="list-style-type: none"> <li>▪ <b>R/W</b> <ul style="list-style-type: none"> <li>• Environmental Clearance                             <ul style="list-style-type: none"> <li>– Permitting</li> <li>– Technical Studies</li> <li>– Design</li> </ul> </li> </ul> </li> </ul>          |
| <ul style="list-style-type: none"> <li>▪ <b>PS&amp;E</b> <ul style="list-style-type: none"> <li>• Environmental Clearance                             <ul style="list-style-type: none"> <li>– Permitting</li> <li>– Community Input</li> <li>– Technical Studies</li> </ul> </li> </ul> </li> </ul> | <ul style="list-style-type: none"> <li>▪ <b>CON</b> <ul style="list-style-type: none"> <li>• Environmental Clearance                             <ul style="list-style-type: none"> <li>– Incomplete Plans &amp; Specs</li> <li>– Right of Way Certification</li> </ul> </li> </ul> </li> </ul> |

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# Time Extensions also follow the CTC Meeting Prep Schedule

[dot.ca.gov/hq/transprog/ctcliainson.htm](http://dot.ca.gov/hq/transprog/ctcliainson.htm)

2018 PREPARATION SCHEDULE  
CALIFORNIA TRANSPORTATION COMMISSION (CTC) MEETINGS  
AGENDA ITEM(S) DUE DATES

Prepared by:  
OFFICE OF CTC LIAISON  
DIVISION OF TRANSPORTATION PROGRAMMING  
CALIFORNIA DEPARTMENT OF TRANSPORTATION  
<http://www.dot.ca.gov/hq/transprog/ctcliainson.htm>

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## What Happens When You Need A Time Extension Request?

Complete a Time Extension Request Form

- Provide justification supporting the amount of time being requested
- Work with District Local Assistance staff

Review, revise and check for completeness

- Work with District Local Assistance to correct deficiencies

Local Agencies can view the agenda items prior to the CTC meeting at: <http://www.dot.ca.gov/hq/transprog/ctcliainson.htm>

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# Good Example!



### E. Reason for project delay

The construction funds for project ATPL-5006 (800) are currently programmed for FY 2015-16. The City has not yet obtained the required National Environmental Policy Act (NEPA) Clearance for this project and as such, is requesting a 12 month construction allocation extension. This extension is necessary to provide the necessary time to obtain the necessary environmental clearance, and subsequently enable the City to finalize all design plans and process the Right of Way Certification (both of which are dependent on final NEPA clearances), in order to process CTC construction allocation paperwork.

#### Background

On April 23, 2015, the City submitted the Preliminary Environmental Studies (PES) form to Caltrans, with a recommended Categorical Exclusion without Technical Studies determination. Caltrans did not agree with our recommended determination and as such, on October 28, 2015, required the City submit the following technical studies:

1. Air quality report for a Conformity Finding (23 USC 328 CE)
2. Air quality report for PM10/PM2.5 Interagency Consultation
3. Section 4(f) Historic Properties
4. Cultural Resources Studies including : APE Map, HPS/RVHRER

The City has already complied with the Air Quality requirements identified in items # 1 and #2 above.

The City and its consultant (AECOM) have been in constant communication with Caltrans' environmental planning group for the past 7 months to address all outstanding issues associated with items #3 and #4 above. The City and Caltrans have recently agreed to the following target dates to ensure timely completion of these studies:

- Reports at 75% completion by 2/12/16 (Completed)
- 8 properties being evaluated; exempted over 40 properties; AECOM can send over to Caltrans the completed property matrix for preliminary approval (Completed)
- AECOM to submit reports to City by 2/26/16 (Completed)
- City to review and submit comments back 2/26/16 (Completed)
- AECOM to submit to Caltrans by 3/1/16 (Completed)
- Caltrans comments on reports by 4/1/16 (30 days) (Completed)
- AECOM to re-submit by 4/8/16 (Submitted on 4/15/16)
- Caltrans approves final draft reports on 4/15/16 (Completed)
- AECOM to submit 5 signed hard copies of report, each with a CD of the PDF copy by 4/25/16 (completed)
- Caltrans send reports to SHPO for concurrence on evaluations 4/29/16
- SHPO review 30 days - 5/29/16 (further SHPO review requirements uncertain until concurrence is received) (in progress)
- As SHPO reviews the reports, AECOM to prepare Finding of Effect (FOE), pending verification from Caltrans if an FOE is required, by 5/15/16
- Caltrans to review FOE and provide comments to AECOM by 6/15/16
- AECOM revises FOE to address Caltrans comments and re-submits to Caltrans by 6/30/16
- Caltrans accepts FOE and AECOM submits hard copies to Caltrans - 7/5/16
- Caltrans submits approved FOE to SHPO (maximum 30-day SHPO review) by 7/6/16
- Final SHPO Clearance of FOE by 8/31/16

The City had originally anticipated moving into the Final Design Phase of the project in July 2015, or immediately upon issuance of the Environmental Clearance. Due to the additional technical studies required, and a revised target date of approximately end of August 2016 (assuming SHPO concurs and approves the reports and FOE in a timely manner), we are hereby requesting a 12 month extension to June 30, 2017 to allow for the completion of PA/ED, PSE and Right of Way, and obtain allocation of construction funds.

# Signatures

### H. Local Agency Certification:

This Request for Time Extension has been prepared in accordance with the *Procedures for Administering Local Projects in the Active Transportation Program (ATP)*. I certify that the information provided in the document is accurate and correct. I understand that if the required information has not been provided this form will be returned and the request may be delayed. Please advise us as soon as the time extension has been approved. You may direct any questions to \_\_\_\_\_ at \_\_\_\_\_

(name) (phone number)

Signature \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

Agency/Commission: \_\_\_\_\_

### I. Regional Transportation Planning Agency/County Transportation Commission Concurrence:

Concurred

Signature \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

Agency/CTC \_\_\_\_\_

### J. Caltrans District Local Assistance Engineer Acceptance:

I have reviewed the information submitted on the Request for Time Extension and agree it is complete and has been prepared in accordance with the *Procedures for Administering Local Projects in the Active Transportation Program (ATP)*.

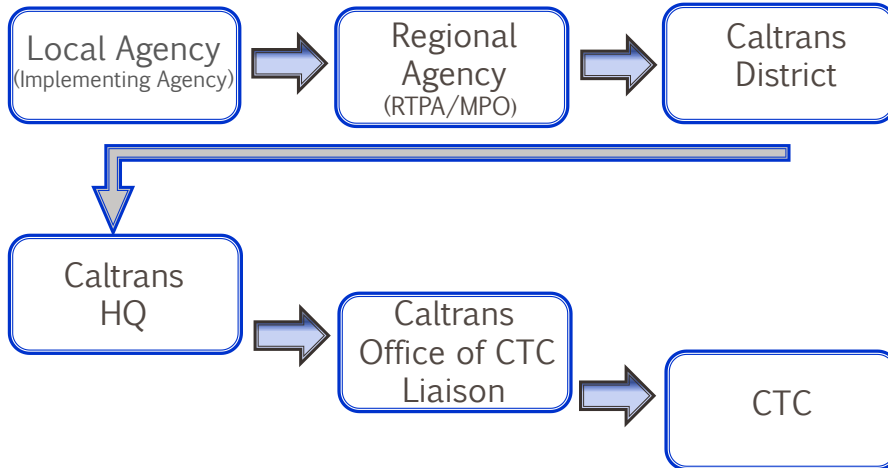
Signature \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

Phone Number \_\_\_\_\_

Attachments: \_\_\_\_\_



## Requesting a Time Extension



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## Who Approves The Extension?

- Only the CTC can approve or deny time extension requests
- Local Agencies are urged to attend the CTC meeting to defend their extension requests
- Extension requests are NOT automatic nor guaranteed!



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## How Do You Know If Your Extension Was Approved?

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- Watch the CTC Meeting live on Webcast
- Check the CTC Liaison’s website for the Action Taken Report (posted a week after meeting)
  - [www.dot.ca.gov/hq/transprog/ctcliaison.htm](http://www.dot.ca.gov/hq/transprog/ctcliaison.htm) **Action Taken Report**
  - Local Assistance CTC Liaison emails to DLAEs after CTC Debriefing meetings
- HQ Program Analysts will generate an extension letter. Signed copy will be sent to local agencies via the DLAE’s.

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## RESOURCES



# Division of Rail & Mass Transportation Contacts

## LPP & SCCP

- Scott Kingsbury [scott.kingsbury@dot.ca.gov](mailto:scott.kingsbury@dot.ca.gov)
- Arthur Murray [arthur.murray@dot.ca.gov](mailto:arthur.murray@dot.ca.gov)

## TCEP

- Carlos Ruiz [Carlos.Ruiz@dot.ca.gov](mailto:Carlos.Ruiz@dot.ca.gov)

## SB 1 Guidelines/General Information

- Patrick Olsen [Patrick.Olsen@dot.ca.gov](mailto:Patrick.Olsen@dot.ca.gov)

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 A banner for the ATRC (Active Transportation Resource Center). It features the Caltrans logo on the left and the ATRC logo (a stylized person walking and a bicycle) in the center. Below the logo, the text reads: "The ATRC's mission is to provide resources, technical assistance, and training to transportation partners across California to increase opportunity for the success of active transportation projects." At the bottom, it says "Visit our website and join our mailing list at <http://caatpresources.org>". The background of the banner shows silhouettes of a person walking, a child with a backpack, and a person riding a bicycle, all set against a large, faint bicycle wheel graphic.

The ATRC is Funded by the Active Transportation Program and administered by Caltrans

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## What Does the ATRC offer?

### Training

- Provides **Classroom Training** on bicycle and/or pedestrian design
- Provides **Webinar Training** on various non-infrastructure topics

### Technical Assistance

- Provides **Technical Assistance** through individual support and workshops to encourage ATP participation (*Infrastructure and Non-Infrastructure*)

### Resources

- Provides **Tools** for agencies to inform and support active transportation projects
- Provides **Resources** to use for various active transportation project types
- **Website and List Serve** for active transportation communication and information

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## Classroom Training (all offered free of charge)

- Bicycle Transportation: An Introduction to Planning and Design

Past Training	Upcoming Training
Marysville - March 14, 2018	Santa Maria - September 5
Redding - May 8, 2018	Los Angeles - October 30
Stockton - May 22, 2018	San Bernardino - November 1
Oakland - June 12, 2018	San Diego - November 6, 2018

- Pedestrian and Bicycle Safety and Design Training (FHWA Instructors)
  - Designing for Ped Safety 101 and 201
  - Designing for Bicyclist Safety 101
  - Complete Streets Implementation
  - And more
- Register or Request Training Online at: <http://caatpresources.org>

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## Webinar Training (all offered free of charge)

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- Monthly Non-Infrastructure Webinars

### Past Webinar Topics Include:

ATP CY 4: The Role of Local Health Departments (Teleconference)
Safe Routes for Older Adults
Early ATP Achievements (I and NI)
Volunteer Recruitment and Engagement
How MPO's are Supporting NI (Teleconference)
Safe Routes to School Evaluation and Best Practices
Walking School Bus Implementation

- Stay tuned for upcoming webinars!
- Webinars are archived for viewing at any time at:  
<http://caatpresources.org>

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## Technical Assistance

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### Non-Infrastructure (NI) Focused Workshops:

- To bring together key stakeholders and present NI basics and strategies to prepare an NI program.

### Non-Infrastructure On-call Assistance

- Contact: [ATSP@cdph.ca.gov](mailto:ATSP@cdph.ca.gov)

### ATP Application and Project Assistance Flash Training

- Short recorded training modules that will help applicants/awardees navigate various aspects of the ATP process.

### ATP Project Technical Assistance

- Assistance for disadvantaged or low-income communities in preparing competitive, community-driven applications for future rounds of ATP.
  - Workshop Training
  - Individualized project training and assistance

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## Tools

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### ATP Maps and Summary Data Tool (*Ped/Bike Collision Heat Maps*)

- New tool on the Transportation Injury Mapping System (TIMS)
- Helps agencies identify areas with the highest safety needs
- Applicants asked to use tool for the Safety Question on the ATP application
- <https://tims.berkeley.edu/tools/atp/>

### Statewide Pedestrian and Bicycle Count Database

(*Spring 2019-Spring 2022*)

- Develop statewide pedestrian and bicycle count methodology and guidance
- Create a statewide bicycle and pedestrian count database as a clearinghouse for local agencies to upload and analyze actual bicycle and pedestrian counts (manual and automated)

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## Resources

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Manuals, Guides, and Templates available on ATRC website, such as:

- Guides to Creating Safe Routes to Schools Programs
- Information on Safe Routes to School Basics
- Customizable NI logos, flyers, and punch card templates
- Links to FHWA programs, Caltrans Manuals, and NACTO Guidance
- ATRC Quarterly Newsletters
- Project success stories

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# SB1 Workshop

October 2018



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