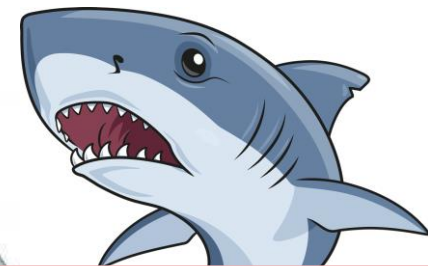


Caltrans Metro Project Delivery Workshop – July 27th, 2023

Agenda

1. Introductions - Steve Novotny
2. FTIP Update and Demo – Wellvin Carpio, Metro
3. Clean CA Invoicing – Tammi Altamirano, Caltrans
4. ATP Project Implementation: Tools and Pitfalls – Justin Tsang, Metro
5. ATP Quick Builds – Hannah Brunelle, SCAG
6. Grants Management Training – Daniel Burke/Teresa McWilliam, Caltrans
7. Training Opportunities – Robert Wong, Caltrans
8. Allocation Finance Letters and Hot Topics - Peter Anderson Caltrans HQ
9. Closing – Patricia Chen, Metro



Please save Communityrelations@metro.net to your safe sender's list.

FEDERAL TRANSPORTATION IMPROVEMENT PROGRAM (FTIP)

July 27, 2023

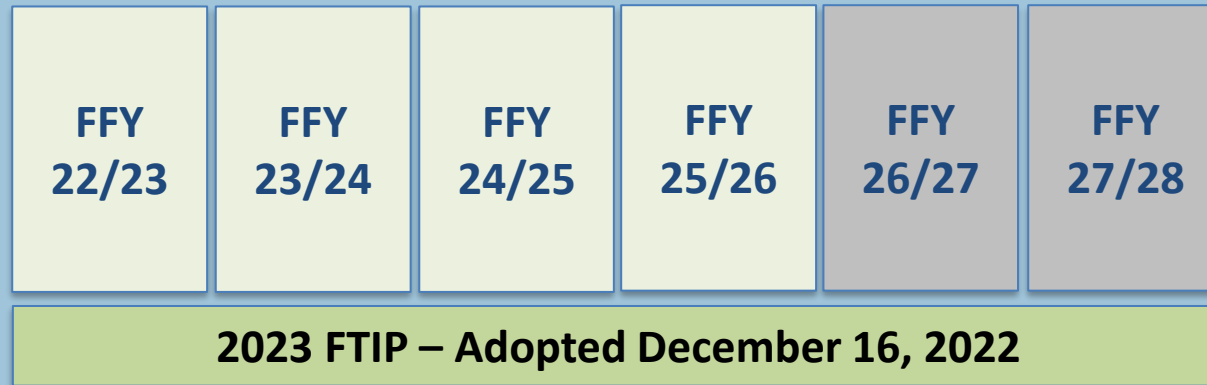



Transportation Improvement Program

- Federally required programming document covering a four-year period
- Adopted biennially
- List near term transportation projects & programs



Transportation Improvement Program



-  Financially Constraint
-  Information Only



Why Include Projects in the FTIP?

- Receive environmental approval and permits
- Obtain FTA and FHWA grant approval (discretionary formula)
 - Obligate funds
 - Pre-award authority
- Implement studies and projects
- Achieve on-time project delivery
- Get reimbursed for eligible expenses



2023 FTIP Amendment Criteria

	ADMINISTRATIVE	FORMAL
CRITERIA	Existing projects	New projects
	Minor changes	Major changes
	Cost Increase <50%	Cost Increase >50% or in specific phase
	Cost Increase <\$20 million	Cost Increase >=\$20 million
	Funding Source/Year changes	Scope changes
	Lead agency change	Project cancellation
	Cost decrease without deleting phase	Adding/Deleting phase
		Moving prior funds to quad years
		Change project completion Date
Approving Agencies	Metro, SCAG (approx. 30 days)	Metro, SCAG, Caltrans, FTA/FHWA (approx. 90 days)



ProgramMetro Log-In

- How to access ProgramMetro?
 - Register account
 - Users must be verified by their supervisors through Verification Letter
 - Verification Letter template can be obtained from Metro staff via email
 - Access granted after approval of Verification Letter


<https://programmetro.ecointeractive.com/secure2/login>




Submitting New Projects

2023 Amendments

Amend TIP ?

11 In Progress 

10 In Denied by CTC 



TIP

- Amend/modify Project In TIP
- Create New Project**
- Carry Over Project



Submitting New Projects

TIP

Project updates or additions must be associated with an open TIP Action for review/approval.

Choose an open TIP Action below to track the updates or additions you will be entering:

- [21-50] Project Mod Placeholder of new LA County MIP Projects, TCM Substitutions, and Others - LA County (METRO)
- [23-15] Administrative Administrative Modification #23-15. Due July 18, 2023. Updates include minor changes and/or total project cost
- [23-16] Administrative Administrative Modification #23-16. Due August 22, 2023. Updates include minor changes and/or total project cost
- [23-17] Formal Formal Amendment #23-17. Due August 29, 2023. Updates are for major changes and/or total project cost



Submitting New Projects

ADDING A NEW PROJECT
 IF APPLICABLE, PLEASE FILL OUT PERFORMANCE MEASURES PRIOR TO SUBMITTING

Administrative Area

ADOPTION/AMENDMENT: 23-05 FORMAL 2023 | CTC: LA County (METRO) | GROUP PROJ: No | GROUP NAME: | CONFORMITY CATEGORY: | TIP ID: |

SCAG MODELING #: | CAP INC: | REGN SIG: | MODE NO: | MODELING: | IS LOCKED?: | TCM COMMITTED EXCEPTION: | CFP: | RTP REVIEW: | STUDY ONLY: | ES FUND CATEGORY: | DISTRICT ID: 07

CMAQ Air Quality Benefits

CMAQ PROJECT TYPE: | CMAQ PROJECT DESCRIPTION: |

QUALITATIVE QUANTITATIVE

OUTREACH ACTIVITY?: | INCLUDES TRANSIT OPERATING ASSISTANCE?: | CONGESTION REDUCTION PROJECT?: |

Project Alternative IDS - For multiple ids, add commas following each ID

FED AUTH #: | PPNO: | HBRR: |

EA NUMBER: | MEASURE R #: | CFP ID: |

SCAG RTP ID: | FTA GRANT NUM: | CALTRANS ID: |

Measure M: | SB1: | JOB KEY ID: |

CTIPS ID: | Parent ID: | Fed Demo ID: |

N/A: |

PRIMARY CONTACT: | PHONE (10-DIGIT): | EMAIL: |

Project Information

PROJECT TITLE Spell Check: |

PROJECT DESCRIPTION - GUIDELINES Spell Check: |

LEAD AGENCY: | COUNTY: Los Angeles | CFP MODE: |

PRIMARY PROGRAM CODE: | SECONDARY PROGRAM CODE: | [Add Tertiary Program Code]

FEDERAL UZA: | SUB-REGION: | POLITICAL DISTRICT - STATE SENATE POLITICAL DISTRICT - STATE ASSEMBLY POLITICAL DISTRICT - US HOUSE: |

SYSTEM: |

Environmental Information

AIR BASIN - MAP: | ENVIRONMENTAL DOCUMENT: | ENV DOC COMPLETION DATE: |

Programming Information (\$000)

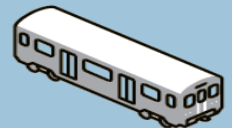
FFY: 22/23 | FUND TYPE: CITY - City Funds

	PE	ROW	CON	TOTAL
FFY 22/23	\$1,000	\$0	\$0	\$1,000
CITY - City Funds	\$1,000	\$0	\$0	\$1,000
GRAND TOTAL	\$1,000	\$0	\$0	\$1,000

ESTIMATED TOTAL PROJECT COST IS EQUAL TO TOTAL PROGRAMMED \$

Fill out project information

Program funds between FFY23 to FFY26

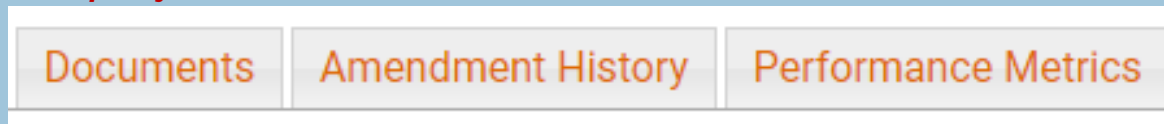


Submitting New Projects

PROJECT INFORMATION

- Provide short project TITLE
- Provide concise project SCOPE in 'Project Description' field (*limited to 500 characters with spaces*)
- Provide accurate project limits and attach location map(s)
- Ensure "Program Code" is accurate (*FTIP Guidelines p. 98, 104-114*)
- **Upload documents/maps in the Documents tab that justify all funds programmed (Funding awards, Board Reports, etc.)**
- **Fill out Performance Metrics tab**

Note: Documents and Performance Metrics tabs will appear after project is SAVED.



**Electric bus chargers and electric bus purchases must be submitted as separate projects.*



Submitting New Projects

PROGRAMMING INFORMATION

- Funds programmed in 2023 FTIP are from FY 2022/23 to FY 2025/26
- Project phases and amount must match the support document
- **Programming values are in thousands, not actual amount**
- Make sure to program matching funds, including Toll Credits/TDC *
- The last programming year cannot be after completion date

* *Toll Credits/Transportation Development Credits*

- *Allows federal funds to be used up to 100% total project cost*
- *Not an actual source of funding (not cash)*
- *FHWA projects: Toll Credits (TC)*
- *FTA projects: Transportation Development Credits (TDC)*
- **Can no longer be programmed as match in new FTIP projects**



Common Missing Items

- Incomplete project description
- Fund source backup documentation
- Local match
- Programming beyond completion date
- Performance Metrics



Submitting New Projects

- Select “SAVE” to save progress in the ‘IN PROGRESS’ folder and allows for uploading of documents and completing other info at later time
- Select “SUBMIT FOR REVIEW” after all info is complete and ready for Metro’s review. Project is then moved to ‘PENDING’ folder

Programming Information (\$000) Funding History

FFY	FUND TYPE	PE	ROW	CON	TOTAL
22/23	CITY - City Funds	\$100			\$100
					\$0
FFY 22/23		\$100	\$0	\$0	\$100
CITY - City Funds		\$100	\$0	\$0	\$100
GRAND TOTAL		\$100	\$0	\$0	\$100

ESTIMATED TOTAL PROJECT COST IS EQUAL TO TOTAL PROGRAMMED \$

Schedule Information

HAS IMPLEMENTATION STATUS CHANGED? PROJECT COMPLETION DATE CURRENT IMPLEMENTATION STATUS LAST UPDATED

	SCHEDULED START		ACTUAL START		SCHEDULED COMPLETION		ACTUAL COMPLETION	
	MONTH	YEAR	MONTH	YEAR	MONTH	YEAR	MONTH	YEAR
PA&E	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
PS&E	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
ROW	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
CON	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Do you have an E-76 (or an approved grant) for the design/engineering phase of the project?

Do you have an E-76 (or an approved grant) for the right-of-way phase of the project?

Do you have an E-76 (or an approved grant) for the construction phase of the project?

Change Reason

[SEE HISTORICAL COMMENTS]

GENERAL COMMENTS - GUIDANCE - (Please comment on the status of the project and provide the reason for any changes to the project description, funding information and schedule made above.)

[SEE HISTORICAL COMMENTS]

MODELING COMMENTS - (If the project scope has been changed, the project was delayed or advanced or the total projects cost has changed, provide a reason for the changes. If there is no significant change made above note that there is 'no significant change made')

[SEE HISTORICAL COMMENTS]

TCM COMMENTS - (If the project scope has been changed, the project was delayed or advanced or the total projects cost has changed, provide a reason for the changes. If there is no significant change made above note that there is 'no significant change made')

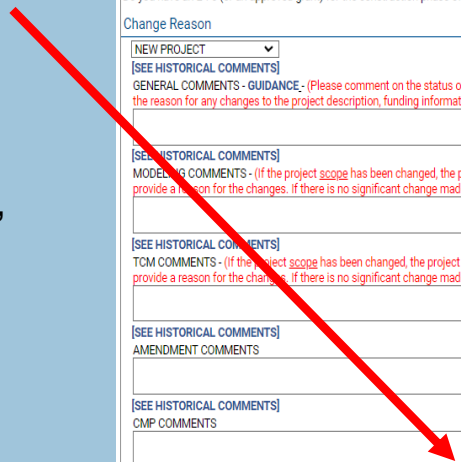
[SEE HISTORICAL COMMENTS]

AMENDMENT COMMENTS

[SEE HISTORICAL COMMENTS]

CMP COMMENTS

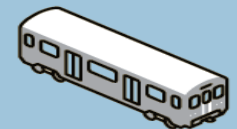
CONTACT METRO EMAIL: PROGRAMMETROHELP@ECOINTERACTIVE.COM



2023 FTIP Amendment Schedule

Amendment #	Amendment Type	Due to METRO	Estimated Approval
23-13	Administrative Modification	CLOSED	SCAG: Aug 2023
23-14	Formal Amendment	CLOSED	FHWA & FTA: Oct 2023
23-26	2024 RTP/SCS Consistency Amendment (23-98)	CLOSED	FHWA & FTA: Apr 2024
23-15	Administrative Modification	CLOSED	SCAG: Sep 2023
23-16	Administrative Modification	8/22/23	SCAG: Oct 2023
23-17	Formal Amendment	8/29/23	FHWA & FTA: Dec 2023

FTIP Amendment schedule can also be found in ProgramMetro, under “News and Reference Materials”



2025 FTIP Adoption & Summer Workshops

**Deadline for 2025 FTIP Adoption
Project Submission: Friday, October 27, 2023**

Day	Date	Time	Meeting Method
Thursday	8/10/23	10:30 AM to 12 NOON	TEAMS
Thursday	8/17/23	10:30 AM to 12 NOON	TEAMS
Tuesday	9/5/23	10:30 AM to 12 NOON	TEAMS
Tuesday	9/12/23	10:30 AM to 12 NOON	TEAMS

Informational workshops for a step-by-step guide to navigating ProgramMetro and submitting projects for the upcoming 2025 FTIP Adoption



Metro Contacts and Reference Links

NAME	TITLE	PHONE	EMAIL
Ashad Hamideh	Senior Director	(213) 922-5539	HamidehA@metro.net
Nancy Marroquin	Senior Manager	(213) 418-3086	MarroquinN@metro.net
Michael Richmai	Senior Manager	(213) 922-2558	RichmaiM@metro.net
Wellvin Carpio	Transp. Associate II	(213) 547-4374	CarpioW@metro.net

2023 FTIP GUIDELINES:

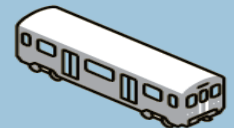
<https://scag.ca.gov/sites/main/files/file-attachments/proposed-f2023-ftip-guidelines.pdf>

STATUS OF 2023 FTIP AMENDMENTS:

<https://scag.ca.gov/2023-status-amendments-approvals>

E-76 OBLIGATED LIST:

<https://dot.ca.gov/programs/local-assistance/reports/e-76-obligated>



Clean California Local Grant Program

GENERAL INVOICING INSTRUCTIONS

TAMMI ALTAMIRANO
CLEAN CALIFORNIA LOCAL GRANT MANAGER
DIVISION OF LOCAL ASSISTANCE
DISTRICT 7
TAMMI.ALTAMIRANO@DOT.CA.GOV
(213)266-3601





Quick Reference Guide

Local Assistance Procedure Manual, Chapter 5 Invoicing

<https://dot.ca.gov/programs/local-assistance/guidelines-and-procedures/local-assistance-procedures-manual-lapm>

Local Assistance Procedure Manual, Forms

<https://dot.ca.gov/programs/local-assistance/forms/local-assistance-procedures-manual-forms>

Clean California Guidelines

<https://cleancalifornia.dot.ca.gov/local-grants/local-grant-program>

Steve Novotny – Steve.Novotny@dot.ca.gov

Dale Benson – Dale.Benson@dot.ca.gov



AGENDA

1. PROCESS AND PROCEDURES
2. COMPLETE INVOICE PACKAGE
3. RGA/ NOTICE TO PROCEED
4. INVOICE SUBMITTAL



PROCESS AND PROCEDURES

1. LAPM, CHAPTER 5
2. TIMELY SUBMITTAL
3. ADVANCE PAYMENT
4. PAYEE DATA RECORDS FORM (STD 204)
5. ELECTRONIC FUNDS TRANSFER FORM (FA-2656)



COMPLETE INVOICE PACKAGE

1. INVOICE FORM LAPM₅A
2. CCLGP INVOICE SUBMITTAL CHECKLISTS
3. BILLING SUMMARY
4. SUPPORT DOCUMENTATION
5. AWARD INFORMATION FORM
6. IDCR ACCEPTANCE LETTER



RGANTP

1. COMMENCEMENT OF WORK
2. AUTHORIZED FUNDS
3. REIMBURSEMENT RATIO
4. INVOICE GUIDANCE



INVOICE SUBMITTAL

1. FREQUENCY
2. OVERVIEW
3. HOW TO SUBMIT
4. REIMBURSEMENT
5. FINAL INVOICE



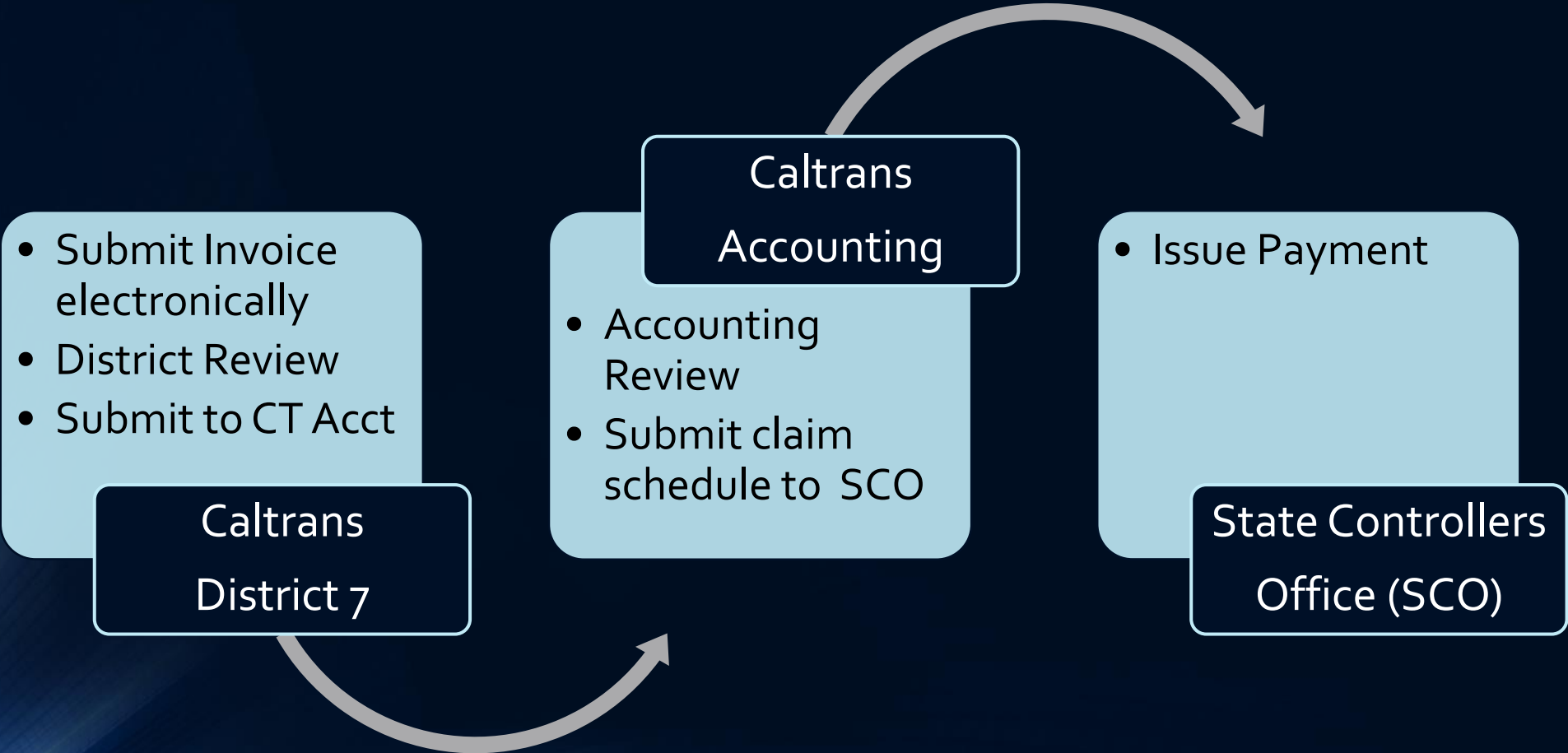
INVOICE CONTENT PER RGA

G. INVOICES SHALL INCLUDE THE FOLLOWING INFORMATION:

- 1) NAMES OF THE **AGENCY** PERSONNEL PERFORMING WORK
- 2) DATES AND TIMES OF PROJECT WORK
- 3) LOCATIONS OF PROJECT WORK
- 4) ITEMIZED COSTS AS SET FORTH IN **ATTACHMENT III**, INCLUDING IDENTIFICATION OF EACH EMPLOYEE, CONTRACTOR OR SUBCONTRACTOR STAFF WHO PROVIDED SERVICES DURING THE PERIOD OF THE INVOICE, THE NUMBER OF HOURS AND HOURLY RATES FOR EACH EMPLOYEE, CONTRACTOR, SUB-RECIPIENT OR SUBCONTRACTOR STAFF MEMBER, AUTHORIZED TRAVEL EXPENSES WITH RECEIPTS, RECEIPTS FOR AUTHORIZED MATERIALS OR SUPPLIES, AND CONTRACTOR, SUBRECIPIENT AND SUBCONTRACTOR INVOICES.
- 5) **AGENCY** SHALL SUBMIT WRITTEN PROGRESS REPORTS WITH EACH SET OF INVOICES TO ALLOW **CALTRANS** CONTRACT MANAGER TO DETERMINE IF **AGENCY** IS PERFORMING TO EXPECTATIONS, IS ON SCHEDULE, IS WITHIN FUNDING COST LIMITATIONS, TO COMMUNICATE INTERIM FINDINGS, AND TO AFFORD OCCASIONS FOR AIRING DIFFICULTIES RESPECTING SPECIAL PROBLEMS ENCOUNTERED SO THAT REMEDIES CAN BE DEVELOPED.



Invoice Review, Approval and Reimbursement





Thank you!

Remove Litter • Create Jobs •
Beautify California

ATP PROJECT IMPLEMENTATION: TOOLS AND PITFALLS

July 27, 2023



WHY ARE THEY IMPORTANT TO GET RIGHT?

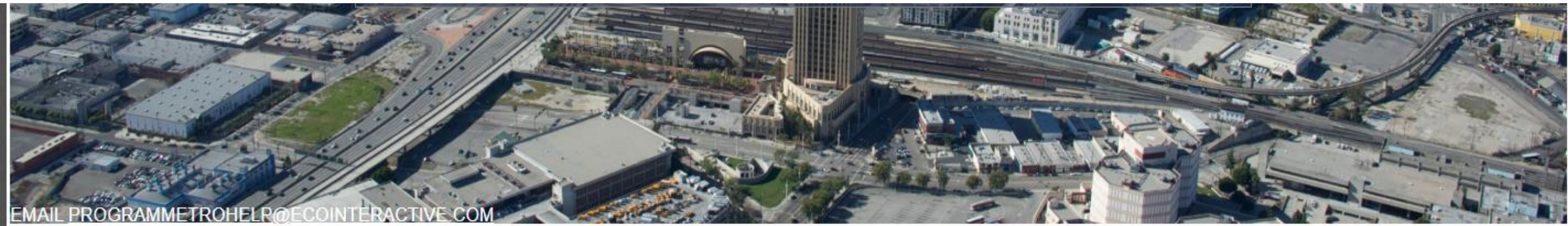
- Meet Project Study Report Equivalent requirements
- Avoid scope changes
- Keep ATP grant
- Deliver the project



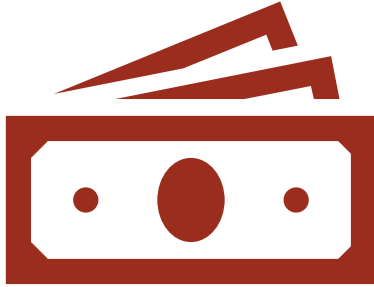
Welcome To ProgramMetro!

1. FTIP PROGRAMMING

- Pitfalls
 - Forgetting to program in the FTIP/ProgramMetro
 - Programming funds in the wrong years
 - Including local match when necessary (toll credits unavailable)
- Guidance
 - LAPG Ch. 25, Section 25.4.2



PROGRAMMING VS. SCHEDULING



Programming

A project's (approved) request for funding by phase of work, amount, and fiscal year



Scheduling

A project's actual or expected start/end dates for different milestones

2. TIMELY USE OF FUNDS

- Pitfalls
 - Not allocating funds within the FY of programming
 - Note expending project development funds within 2 FYs of allocation
 - Not awarding a contract within 6 months of CON allocation
 - Not completing construction within 36 months of contract award
- Guidance
 - ATP Guidelines, Section 9.31
 - LAPG Ch. 25, Section 25.5.1



2. TIMELY USE OF FUNDS (CONT.)

- Rules for project components
 - Allocations: Must occur in the FY programmed and must be approved by the Commission by June 30th of FY of programming. Must be approved by CTC prior to deadline.
 - Expenditure: Must be expended by end of 2nd state FY from allocation. Expenditure time extension requests must be received by Caltrans prior to deadline.
 - Award: After construction allocation, projects must be awarded within 6-months. Time extension requests must be received by Caltrans prior to the deadline.
 - Completion: Construction activities must be completed within 36 months of award. Completion time extension request must be received by Caltrans prior to the deadline.

Maximum Extension Time
Allocations 20 months per phase (PAED, PS&E, R/W/ CON, CON-NI)
Expenditure 12 months per phase (PAED, PS&E, R/W)
Award 12 months per phase (PAED, PS&E, R/W)
Completion 12 months per phase (CON, CON-NI)

3. SCOPE CHANGES

- Pitfalls
 - Omitting project elements from originally approved project scope
 - Adding/changing project elements
 - Changing project location
 -without getting approval first
- Guidance
 - ATP Guidelines, Section 7.28
 - LAPG Ch. 25, Section 25.5.3
 - Exhibit 22-D



4. ALLOCATION AND AUTHORIZATION TO PROCEED

- Pitfalls

- Beginning reimbursable work prior to CTC allocation and/or Caltrans/FHWA authorization to proceed
- Incorrect timing of allocation and/or obligation requests

- Guidance

- ATP Guidelines, Section 8 and 11.33
- LAPG Ch. 25, Section 25.5.1 and 25.5.3
- LAPM Ch. 3

- Tools

- Form for Funding Distribution Change

**2023 PREPARATION SCHEDULE
CALIFORNIA TRANSPORTATION COMMISSION (CTC) MEETINGS
AGENDA ITEM(S) DUE DATES**

Prepared by:
OFFICE OF CTC LIAISON
DIVISION OF FINANCIAL PROGRAMMING
CALIFORNIA DEPARTMENT OF TRANSPORTATION

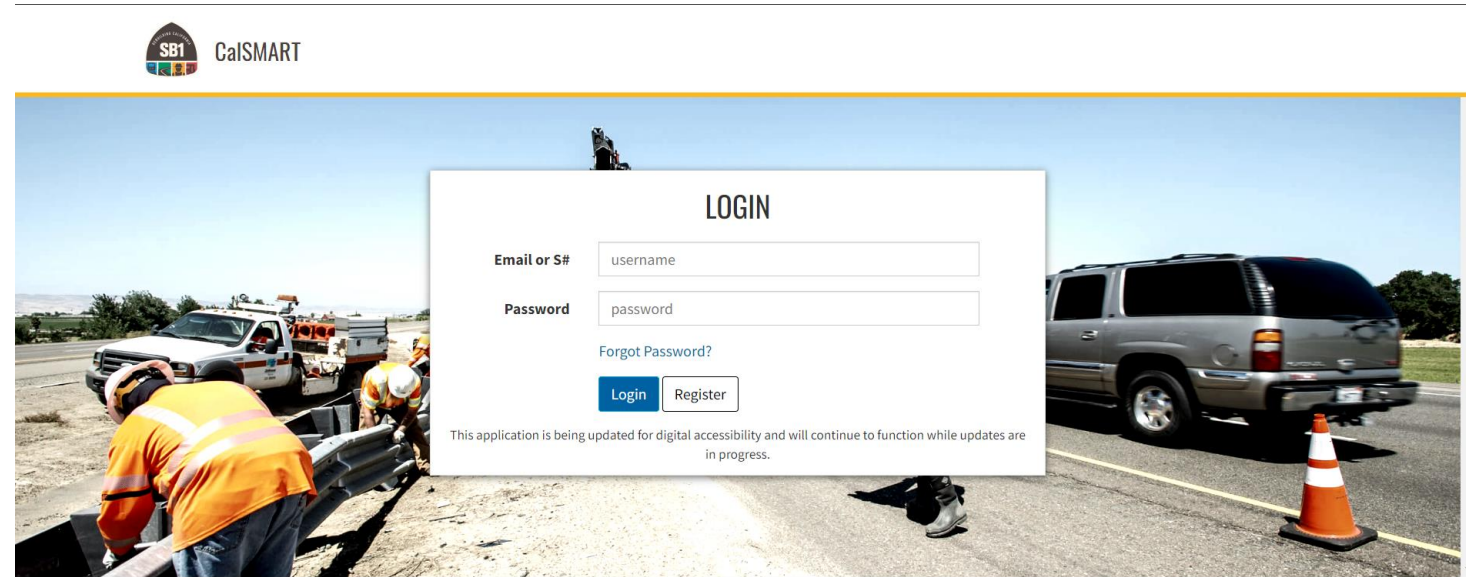
As of:
July 2022

2023 California Transportation Commission (CTC) Meeting Schedule	Local Agency Submits Off System Funds Requests, Program Amendments, and Time Extensions to Caltrans Districts	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	5:00 PM Email to HQ Budgets	10:00AM Email to CTC Liaison	10:00 AM Email to CTC Liaison Email: CTC.Liaison@dot.ca.gov
Jan 25-26 - Sacramento	Mon, Nov 28, '22	Mon, Dec 5, '22	Mon, Dec 12, '22	Wed, Dec 21, '22	Thu, Dec 22, '22
Mar 22-23 - Los Angeles	Mon, Jan 23, '23	Mon, Jan 30, '23	Mon, Feb 6, '23	Wed, Feb 15, '23	Thu, Feb 16, '23
May 17-18 - Bay Area	Mon, Mar 20, '23	Mon, Mar 27, '23	Mon, Apr 3, '23	Wed, Apr 12, '23	Thu, Apr 13, '23
June 28-29 - Sacramento	Mon, May 1, '23	Mon, May 8, '23	Mon, May 15, '23	Wed, May 24, '23	Thu, May 25, '23
Aug 16-17 - San Diego	Mon, Jun 19, '23	Mon, Jun 26, '23	Mon, Jul 3, '23	Wed, Jul 12, '23	Thu, Jul 13, '23
Oct 18-19 - Central Valley	Mon, Aug 21, '23	Mon, Aug 28, '23	Tue, Sep 5, '23	Wed, Sep 13, '23	Thu, Sep 14, '23
Dec 6-7 - Riverside	Mon, Oct 9, '23	Mon, Oct 16, '23	Mon, Oct 23, '23	Wed, Nov 1, '23	Thu, Nov 2, '23

*No Scheduled Meeting in: February, April, July, September and November

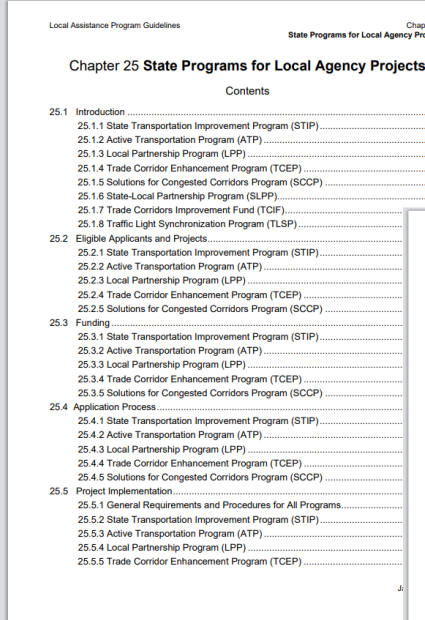
5. PROJECT REPORTING

- Pitfalls
 - Not submitting progress reports through CalSMART
 - Not submitting completion report within 6 months of construction completion
 - Not submitting final delivery report within 180 days of project completion or prior to expiration of project agreement
- Guidance
 - ATP Guidelines, Section 9.38
 - LAPG Ch. 25, Section 25.5.1 and 25.5.3
 - LAPM Ch.5.2



HOW CAN YOU AVOID MAKING THESE PITFALLS

- Become familiar with:
 - CTC's ATP Guidelines
 - Caltrans' Local Assistance Program Guidelines, Chapter 25
 - Caltrans' Local Assistance Procedures Manual
- When in doubt, contact:
 - District 7 Local Assistance Engineer
 - District 7 ATP Coordinator: Dale Benson
 - Metro: Justin Tsang (ATP Allocation/Time Extension Requests), Shelly Quan (all ATP matters)

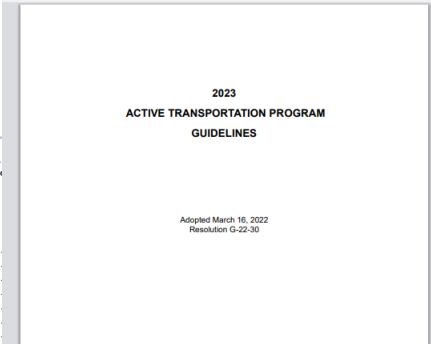


Local Assistance Program Guidelines Chapter 25 State Programs for Local Agency Projects

Chapter 25 State Programs for Local Agency Projects

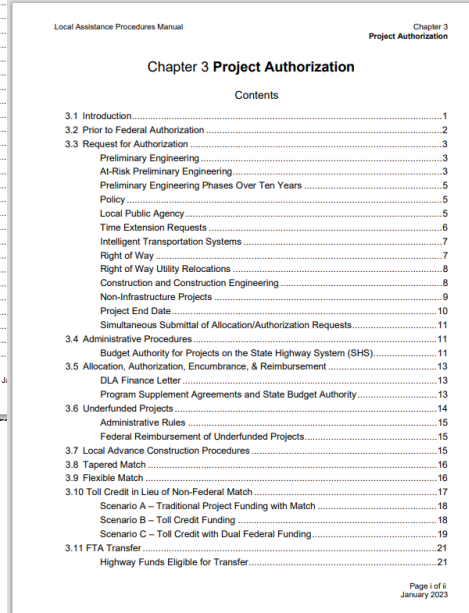
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25.1 Introduction	25.1.1 State Transportation Improvement Program (STIP)
	25.1.2 Active Transportation Program (ATP)
	25.1.3 Local Partnership Program (LPP)
	25.1.4 Trade Corridor Enhancement Program (TCEP)
	25.1.5 Solutions for Congested Corridors Program (SCCP)
	25.1.6 State-Local Partnership Program (SLPP)
	25.1.7 Trade Corridors Improvement Fund (TCIF)
	25.1.8 Traffic Light Synchronization Program (TLSP)
25.2 Eligible Applicants and Projects	25.2.1 State Transportation Improvement Program (STIP)
	25.2.2 Active Transportation Program (ATP)
	25.2.3 Local Partnership Program (LPP)
	25.2.4 Trade Corridor Enhancement Program (TCEP)
	25.2.5 Solutions for Congested Corridors Program (SCCP)
25.3 Funding	25.3.1 State Transportation Improvement Program (STIP)
	25.3.2 Active Transportation Program (ATP)
	25.3.3 Local Partnership Program (LPP)
	25.3.4 Trade Corridor Enhancement Program (TCEP)
	25.3.5 Solutions for Congested Corridors Program (SCCP)
25.4 Application Process	25.4.1 State Transportation Improvement Program (STIP)
	25.4.2 Active Transportation Program (ATP)
	25.4.3 Local Partnership Program (LPP)
	25.4.4 Trade Corridor Enhancement Program (TCEP)
	25.4.5 Solutions for Congested Corridors Program (SCCP)
25.5 Project Implementation	25.5.1 General Requirements and Procedures for All Programs
	25.5.2 State Transportation Improvement Program (STIP)
	25.5.3 Active Transportation Program (ATP)
	25.5.4 Local Partnership Program (LPP)
	25.5.5 Trade Corridor Enhancement Program (TCEP)



2023
ACTIVE TRANSPORTATION PROGRAM
GUIDELINES

Adopted March 16, 2022
Resolution G-22-30



Local Assistance Procedures Manual Chapter 3 Project Authorization

Chapter 3 Project Authorization

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January 2023

CONTACT
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Terence Cheung (213) 266-3566	Lawndale Palmdale	Santa Clarita South Gate
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CONTACT
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- ROBERT
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Area Engineer	LPAs			Area Engineer	LPAs	
Morris Zarbi (213) 266-3620	VCTC City of Ventura Ventura County Oxnard	Port Hueneme Harbor District Ojai Santa Paula GC Transit		Smita Parikh (213) 265-0275	Glendale La Canada Flintridge Lomita Montebello	Commerce FTA transfer Signal Hill Rolling Hills Avalon
	Oxnard Harbor District	Access Service		Irene Dong (213) 310-2945	Burbank	Paramount PFIP
Maria Katingdig (213) 266-3620	Simi Valley Thousand Oaks Moorpark Fillmore Caltrans LA Metro	PPM FTA transfer Camarillo Port Hueneme Gardena Malibu			Beverly Hills West Hollywood Bell Gardens Commerce Signal Hill PPM Calabasas	Torrance Montebello Agoura Hills Bell Culver City San Fernando SS4A Westlake Village
Allen Wang (213) 310-2948	Inglewood Cudahy Access Service	Palos Verdes Estate CCLGP evaluation team Avalon, Bell, Lomita, Hidden Hills			Lakewood Maywood	Hidden Hills FTA Transfer

CONTACT
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	El Monte Monrovia Monterey Park Pasadena	South El Monte South Pasadena Temple City SCAG Rosemead		Baldwin Park	La Verne		
				Claremont Covina Diamond Bar Glendora	Pomona San Dimas Walnut West Covina		
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Srikanth Gopinath (213) 266-3559	City of Los Angeles and all earmark programs			Covina	San Dimas		
				Irwindale	AQMD		
				Claremont	Pomona		

CONTACTS
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LOCAL
ASSISTANCE
ENGINEER
(DLAE)
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NOVOTNY

District Local Assistance Engineer (DLAE)			
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Area Engineer	LPAs		Area Engineer
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ATP CONTACTS

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Local Assistance Engineer:
See handout

Caltrans ATP Coordinator:
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(213) 266-3552

Metro:

Justin Tsang (Allocation/Time Extensions)
tsangj@metro.net



Quick Build Projects

July 2023

Hannah Brunelle, SCAG

WWW.SCAG.CA.GOV

Topics and Goals for Today

Learn the basics of a quick build project

Learn about SCAG's role

Share current and future projects

Discuss challenges and lessons learned

Think about strategies to integrate into your work

Icebreaker

Favorite summer activity

Please respond in the chat





POLL QUESTIONS

What is a Quick Build?

- California Transportation Commission definition:
 - ***“interim capital improvement project”***

**A pilot project using low-cost,
flexible materials**



Source: Move Culver City website

What is a Quick Build?



Demonstration Projects



Quick Builds

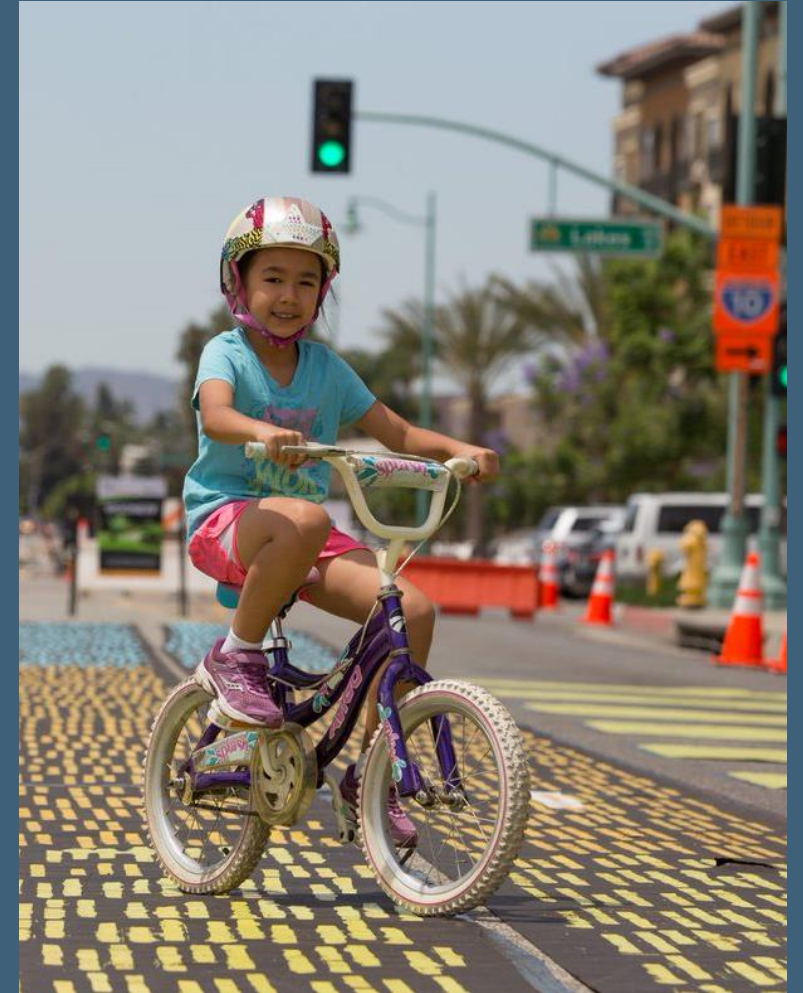


Small Infrastructure



What is SCAG's Role?

- SCAG is not an implementing agency
- SCAG provides technical assistance
 - Contract administration
 - Community Engagement (Go Human Kit of Parts)
- SCAG provides grant funds for Quick Build Implementation



What is SCAG's Experience?

- SCAG's Past Experience:
 - Beverly Hills, Hermosa Beach, Ojai
- SCAG's Current Experience:
 - Calexico, Glendale, Pasadena, El Monte, Long Beach
- SCAG's Future Experience:
 - Santa Monica, Pomona, Los Angeles



What have we learned?

Quick Builds are often not quick

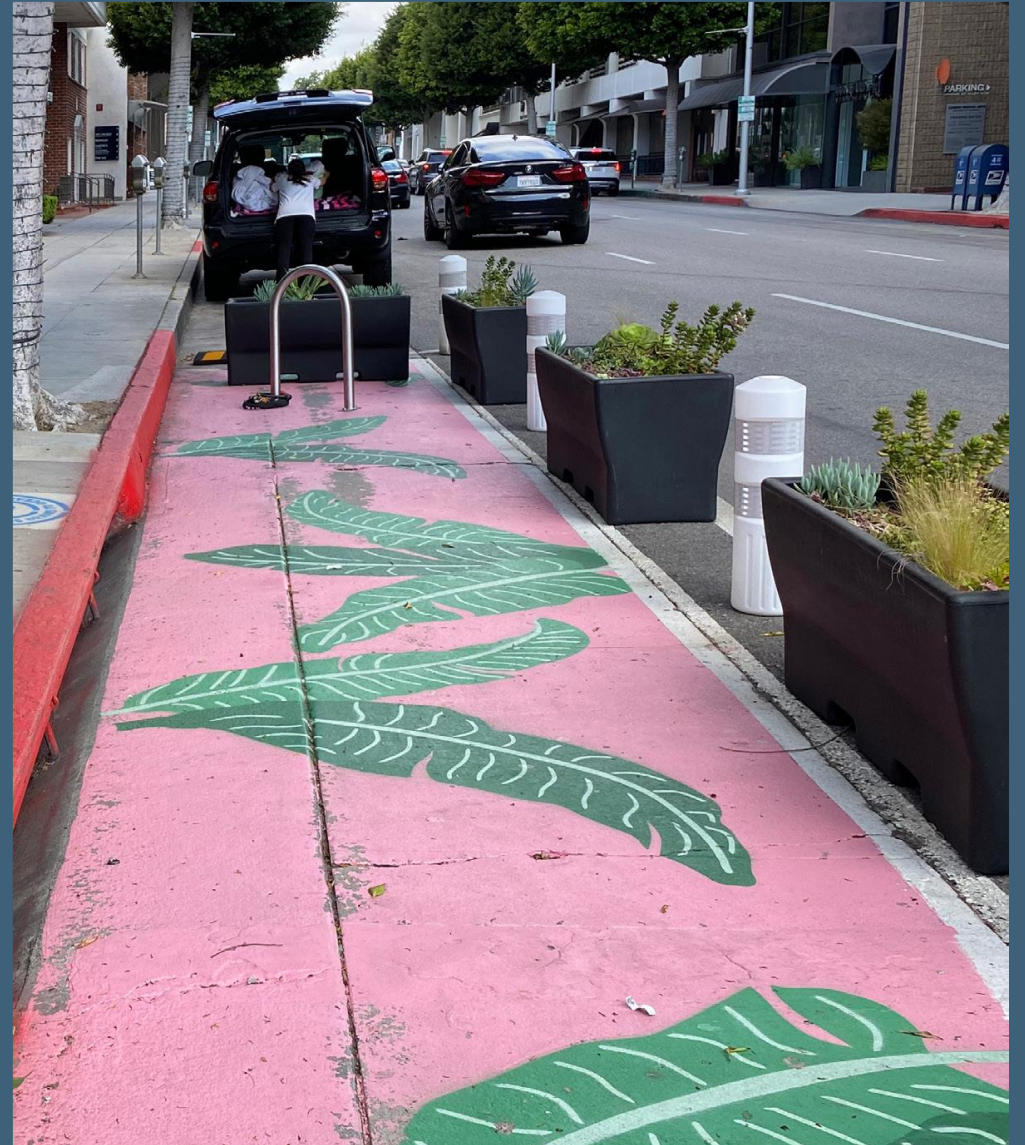
- Administrative Processes:
 - Allocation
 - Procurement
 - Bidding
- This is an iterative learning process



What have we learned?

Materials Matter

- Beverly Hills:
 - Paint peeled quickly, became unsightly
 - City removed the quick build
 - Bidding can be slow
- This is the value of quick builds; they can be removed if necessary.

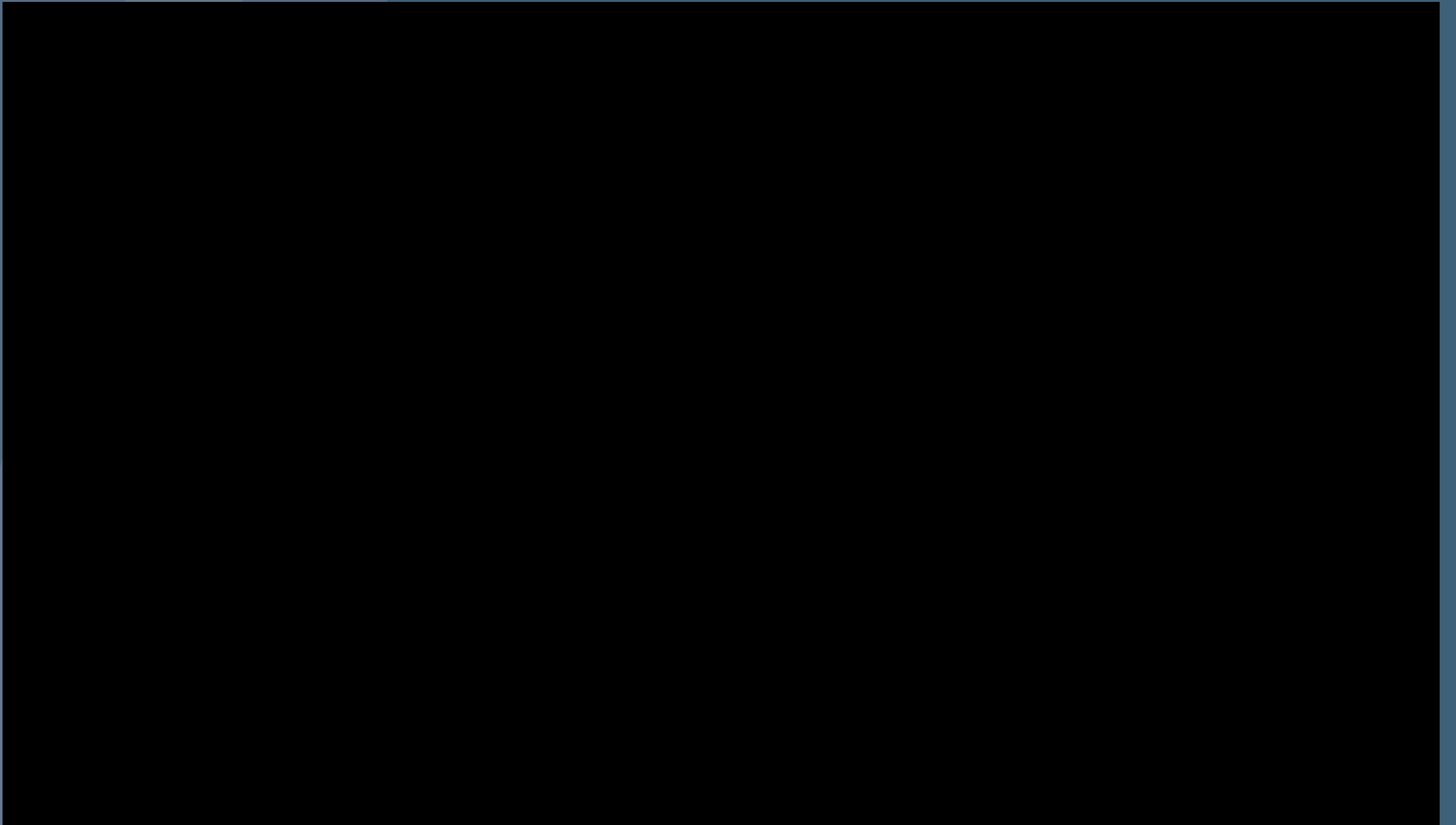


What have we learned?

Materials & Design Matters

- Ojai:
 - Replaced low-profile planters with taller delineators and more signage
 - After a year of testing the protected bike lane, plans to move forward with a Class I bike lane
- Materials and design can be adjusted before permanent construction.





What have we learned?

Engagement is Critical

- Calexico:
 - Closed promenade project
 - Merchants were concerned about street closure
 - Project became controversial
- Ojai
 - Project became controversial
 - Added additional engagement
- **Continued engagement throughout the process is crucial**



Rockwood Avenue merchants have recently complained to city officials that the street's closure has prompted decreased customer traffic and sales. | CAMILO GARCIA JR. PHOTO

Home > Featured Stories

IN FEATURED STORIES LOCAL NEWS

Council Puts Brakes on Promenade Project

Rockwood Ave. Merchants Express Opposition to Project

Calexico Promenade Project



Calexico Promenade Project Pre-Project Conditions



Calexico Promenade Project



Calexico Promenade Project



Summary of Challenges & Lessons Learned

- Administrative processes
- Schedules
- Community engagement
- Varied community responses
- Local agency staffing and contracting processes
- Setting expectations
- *And more...*

Reflections

**What are
your key
takeaways?**

**How do you
plan to
integrate into
your work?**

**Anything you
were hoping
to learn that
wasn't
covered?**



THANK YOU!

For more information, please visit:

Hannah Brunelle, Brunelle@scag.ca.gov

DIVISION OF LOCAL ASSISTANCE

Grant Management Quick Reference Guide

Daniel Burke

Program Reviews & Outreach Branch (PRO)

daniel.burke@dot.ca.gov

Local Assistance Website: <https://dot.ca.gov/programs/local-assistance>

Local Assistance Training: <https://dot.ca.gov/programs/local-assistance/training>



Division of Local Assistance
California Department of Transportation



DIVISION OF LOCAL ASSISTANCE

Grant Management Quick Reference Guide

Teresa McWilliam
Active Transportation Program
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Active Transportation Program Website: <https://dot.ca.gov/programs/local-assistance/fed-and-state-programs/active-transportation-program>



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This Presentation

- Sneak preview of [Chapter 2 Grant Management of the Quick Reference Guide](#) (GM QRG)
 - Full presentation on September 7 & September 21
 - Registration coming soon to a localassistanceblog.com near you
- This presentation only covers very high-risk areas
 - Common Audit Findings



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2.2: Responsibilities

- Develop procedures for grant management



- Review the [Senate Bill 1 Accountability and Transparency Guidelines](#) for:
 - Active Transportation Program
 - Local Partnership Program
 - Solutions for Congested Corridor Program
 - Trade Corridor Enhancement Program



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2.3: Development of Grant Procedures

- Grant procedures should include, but not be limited to:
 - Reviewing the guidelines
 - Understanding and **scheduling** deliverables
 - Tracking and reconciling expenditures
 - Developing scope amendment process – Who, how and what
 - Items provided in-kind
 - Change orders ([Section 16.10 Local Assistance Procedures Manual](#))
 - Progress payments and billings – When are they due?



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2.3: Cont'd Grant Procedures

- Grant procedures should also cover the closeout to include, but not be limited to:
 - Tracking and reporting on benefits and outcomes
 - Final, Completion and Supplemental Delivery Reports
 - Final Report of Expenditures (Closeout)
- The benefits of procedures are less work, reliable accounting and financials, compliance, and mitigating future audit risk



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Estimating Benefits/Outcomes

- Benefits/Outcomes in Baseline or Application will be measured after contract acceptance:
 - Are realistic
 - Make sure estimates may be remeasured
- Significant variations and reasonings must be provided after contract acceptance



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Bike and Ped Counts

- The Active Transportation Program (ATP) is currently following the “Interim Count Methodology Guidance for ATP”
 - The Methodology Guidance is planned to be finalized as part of an ATP contract
<https://dot.ca.gov/-/media/dot-media/programs/local-assistance/documents/ob/2019/ob19-02-attachment.pdf>
 - Counts are required for all ATP sub-categories except for Transportation Plan projects
 - For Combo Projects- Infrastructure (IF) & Non-Infrastructure (NI): counts are required for both IF & NI



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ATP Bike and Ped Counts Cont'd

- All counts should be conducted no more than 6 months before the Construction phase begins and at least 6 months after it is completed (Pre and Post-Construction).
- The Interim ATP Count Methodology describes how many count locations are required and more
- The count data is entered in to the [CaIS MART](#) reporting tool



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ATP Bike and Ped Counts Finale

- IF the Post-construction counts are lower than the Pre-construction counts, please explain why in the dialog box
- ATP has a counter equipment loan program and may be reached at ATP-NI@dot.ca.gov
- The loan program will be taken over by UC Davis, once the contract is finalized.



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2.9 Program Reporting

- **Stress:** Benefits and outcomes in the completion report, and final and supplemental delivery reports must reconcile and use similar metrics to baseline or project programming request
 - Did the project achieve expected benefits and outcomes?
 - If not, what went wrong?



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2.9 Cont'd: Program Reporting

- Within six months of contract acceptance or open to the public, a Completion Report must be submitted to CalSMART:
 - The scope of the completed project
 - Its estimated final cost
 - Estimated schedule (i.e. other items remaining)
 - Project benefits/outcomes as compared to those included in the executed project and Baseline Agreement
 - Explanations for significant differences between the actual project benefits/outcomes and the Baseline Agreement estimates



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2.9 Final Delivery Reports

- Final Delivery Report submitted for Senate Bill 1 and Active Transportation Program projects to reflect all expenditures after completion report
- Due within 180 days from end of project completion
 - Final report of expenditures
 - Changes after submittal of completion report
 - Updated evaluation of benefits and outcomes



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Congratulations, Any Questions?



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California Department of Transportation**



Caltrans District 7 - Los Angeles and Ventura County
Office of Local Assistance
Office Chief – Steve Novotny

Robert Y Wong
LA and Ventura Area Supervisor
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213.269.1798
July 27, 2023

Local Assistance Trainings and Updates

Trainings, Updates and Highlight

A. *Local Assistance Trainings & Resources*

B. *Notice of Funding Opportunities & Resources*

C. *Local Assistance Program Updates*

D. *Local Assistance Project Implementation Updates*

Poll Questions

- When is the 2028 Summer Olympics Opening in Los Angeles?

July 14, 2028

July 30, 2028

- When should you request October, 2023 CTC meeting action request to District?

August 21, 2023

October 9, 2023

- Do you subscribe to the websites below?

Division of Local Assistance Yes/No

Active Transportation Resource Center (ATRC) Yes/No

Federal Highway Administration (FHWA) Yes/No

Poll Questions

- When is the 2028 Summer Olympics Opening in Los Angeles?

July 14, 2028 Correct Answer

July 30, 2028

- When should you request October, 2023 CTC meeting action request to District?

August 21, 2023 Correct Answer

October 9, 2023

- Do you subscribe to the websites below?

Division of Local Assistance Yes/No

Active Transportation Resource Center (ATRC) Yes/No

Federal Highway Administration (FHWA) Yes/No

A. Local Assistance Training and Resources

1. LA Metro Drop Box – Quarterly Workshops from April 2019 to present
<https://www.dropbox.com/sh/23kbx6dqofq4jrp/AACA5Yhev2S8yuciUbv31nFZa?dl=0>

2. Subscribe to Training and Resource website:
Local Assistance Training and Resources
<https://dot.ca.gov/programs/local-assistance/training>
Active Transportation Resource Center <https://caatpresources.org/>
Local Assistance Blog <https://www.localassistanceblog.com/>
Local Technical Assistance Program (LTAP) <https://caltap.org/>
Cooperative Training Assistance Program (CTAP) <https://ca-ctap.org/>

A. Local Assistance Training and Resources

3. Caltrans Training Partners

CSULB CSU Long Beach, Center for International Trade and Transportation (CITT)

<https://www.cpace.csulb.edu/center-for-international-trade-and-transportation>

Berkeley Tech Transfer

<https://www.techtransfer.berkeley.edu/home>

Sacramento State, College of Continuing Education (CCE)

<https://cce.csus.edu/>

4. Training Resource Highlights

Training Resources

1. LA Metro Drop Box

Quarterly Workshops contain presentations April 4, 2019 to Present.

Topics:

- FTIP Programming cycles
- FTIP Administrative or Formal Amendments
- Implementation procedures
- Environmental requirement for NEPA
- Right of Way qualification, review, and approval
- E76 submittals
- Allocation submittals
- Invoicing
- Many others topics

Training Resources

2. **Subscribe to Training Resource website:**

Active Transportation Resource Center

ATP Program information

Training and Workshops

Classroom and Online Training

Past Symposiums

Training Resources

ATP Resources

Infrastructure design

Non-Infrastructure planning and implementation

ATP – TIMS Tools (Crash data)

Active Transportation Counts

ATP Street Story Tool

ATP Benefit-Cost Tool

Active Transportation Messenger

Covid-19 Information & Resources

Training Resource

Technical Assistance

Automated Counter Loan Program

ATP Disadvantaged Communities TAP

Non-Infrastructure On-Call Technical Assistance

Training Resource

Local Assistance Blog

FHWA NOFO for Wildlife

Tribal Transportation Facility Bridge Program NOPR

FHWA NOFO for Safe Streets & Roads for All (SS4A)

Clean California Local Grant Program Cycle 2 (CCLGP)

Training Resource

Local Technical Assistance Program (LTAP)

Multimodal & Active Transport

Pavement Design, Construction and Management

Planning, Policy & Funding

Regulatory & Compliance

Traffic Engineering, Signal and Safety

Work Zone Safety & Traffic Control

Training Resource

Cooperative Training Assistance Program (CTAP)

Traffic Engineering and Operation

Traffic Signals

Traffic Control and work Zone safety

Infrastructure Design

Pavement Design and Maintenance

Planning, Funding, and Environment

Project Development, Management, and Compliance

Key requirements for Federal-Aid Projects

Role and Responsibilities of Resident Engineers

3. Caltrans Training Partners

- CSULB (LTAP)
- CSUSAC (CTAP)
- UC Berkeley (Tech Transfer)

Other Entities:

FHWA

NHI

APWA

ASCE

NTI

AASHTO

4. *Training Resource Highlight*

Upcoming Highlighted Webinar Training

Sept 6-7 Pavement Life Cycle Cost Analysis: The Basics (LTAP)

Sept 11 Complete Streets Planning and Design (Tech Transfer)

Sept 18 Bikeway Facility and Master Planning (Tech Transfer)

Nov 13 California MUTCD Overview and Updates (Tech Transfer)

Past Training *Recordings* (CTAP) Update for fall soon.

<https://ca-ctap.org/?pid=1611>

Civil Rights; At-Risk PE; Federal Aid Series; Mini Roundabout; Real Property CFR Compliance with ROW; Title VI; Section/Title II ADA Program; Local Assistance Day Statewide; ER; LEP.

4. Training Resource Highlight

- FHWA Bicycle and Pedestrian Program

https://www.fhwa.dot.gov/environment/bicycle_pedestrian/guidance/

- Bicycle and Pedestrian Guidance

https://www.pedbikeinfo.org/pdf/Webinar_FHWA_071323_Resources.pdf

- Environmental Review Toolkit

<https://www.environment.fhwa.dot.gov>

- Proven Safety Countermeasures

<https://highways.dot.gov/safety/proven-safety-countermeasures>

- Bicycle & Pedestrian Planning, Program & Project Development Guidance

https://www.pedbikeinfo.org/webinars/webinar_details.cfm?id=126

4. Training Resource Highlight

- Bikeway Selection Guide

https://safety.fhwa.dot.gov/ped/tools_solve/docs/fhwasa18077.pdf

- Equity in Roadway Safety

<https://highways.dot.gov/safety/zero-deaths/equity-roadway-safety>

- Complete Street

<https://highways.dot.gov/complete-streets>

B. *Notice of Funding Opportunities & Resource*

1. Notice of Funding Opportunities (NOFO)

<https://www.transportation.gov/rural/funding-opportunities>

<https://www.transportation.gov/bipartisan-infrastructure-law/key-notices-funding-opportunity>

2. Governor's Office of Planning and Research

<https://opr.ca.gov/>

3. Strategic Growth Council

<https://sgc.ca.gov/>

- 4.. Clean California Local Grant Program (CCLGP)

<https://preview-cleancalifornia.dot.ca.gov/local-grants/local-grant-program>

5. Highlights Notice of funding opportunities (NOFO) and Resource

Funding Resource

1. Notice of Funding Opportunities (NOFO)

Active and Upcoming Opportunities

Office of the Secretary (OST)

FAA, FHWA, FMCSA, FRA, FTA, NHTSA, MARAD

Funding Resource

2. Governor's Office of Planning and Research

CEQA & Federal Grants

Planning & Land Use

Climate Resilience

Economic Development

Long Range Research

Funding Resource

3. Strategic Growth Council

Promote sustainability, health and equity across the State

Transformative Climate Communities Program (TCC)

Affordable Housing and Sustainable Communities (AHSC)

Sustainable Agricultural Lands Conservation (SALC)

Health and Equity (HEP)

Community Assistance for Climate Equity

Community Resilience Centers

Climate Change Research Program

Tribal Programs and Projects

Funding Resource

4.. Clean California Local Grant Program (CCLGP)

<https://preview-cleancalifornia.dot.ca.gov/local-grants/local-grant-program>

Posted Past Recorded Workshops

Application Deadline April 28, 2013 5:00pm

Award announcement Aug/Sept 2023

Completion June 30, 2026.

5. *Highlight Notice of Funding Opportunities & Resource*

- Multimodal Project Discretionary Grant program(MPDG)

<https://www.transportation.gov/grants/mpdg-program>

Closes August 21, 2023.

- Reconnecting Communities and Neighborhoods Program

<https://www.transportation.gov/grants/rcnprogram>

Closes September 28, 2023

- Rural and Tribal Assistance Pilot Program

<https://www.transportation.gov/buildamerica/RuralandTribalGrants>

Opens August 14, 2023

5. *Highlight Notice of Funding Opportunities & Resource*

- Raise Discretionary Grant Award Announcement

<https://www.transportation.gov/RAISEgrants>

- Discretionary Grants Dashboard

<https://www.transportation.gov/grants/dashboard>

- Electric Bicycle Resources

https://www.fhwa.dot.gov/environment/bicycle_pedestrian/resources/e-bikes/

C. Local Assistance Program Updates

1. District Program Coordinators

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HBP

Vitavat Buranabul Vitavat.Buranabul@dot.ca.gov 213.266.3569
DBE

Joann Eustache Joann.Eustache@dot.ca.gov 213.266.3564
Training Coordinator

2. Federal Programs

- Carbon Reduction Program (CRP)
- Coronavirus Response and Relief Supplemental Appropriations Act (CRRSSA)
- Community Project Funding/Congressionally Directed Spending (CPFCDS)
- Earmark repurposing
- Emergency (ER)
- Federal Lands Access Program (FLAP)
- Ferry Boat Discretionary
- Highway Bridge Program
- Highway Infrastructure Program (HIP)
- Intelligent Transportation Systems Program (ITS)
- Local Highway Safety Improvement Program (HSIP)
- Multimodal Project Discretionary Grant (MPDG)

Federal Program

- Promoting Resilient Operations for Transformative, Efficient, & Cost-saving Transportation (PROTECT)
- Safe Streets and Roads for All (SS4A)
- Sec 130 Railroad-Highway Grade Crossing Hazards Elimination Program
- Strengthening Mobility and Revolutionizing Transportation (SMART) Grants
- Reconnecting Community: Highways to Boulevards (RC)

3. State Programs

- Active Transportation Program (ATP)
- Bike Program
- Clean CA Local Grant Program (CCLGP)
- Port and Freight Infrastructure Program
- Priority Legislative Budget Project (PLBP) Program
- Reconnecting Communities (Cycle 2): Highways to Boulevards (RC:H2B)
- Safe Route To School Program (SRTS)
- SB1
- State Transportation Improvement Program (STIP)
- Local Transportation Climate Adaption Program (LTCAP)

4. Local Assistance Program Highlight

Federal Program

- Carbon Reduction Program (CRP)

SCAG developing guidelines over the summer. A call for projects will be done in the fall once guidelines are finalized.

- Emergency Relief (ER)

Initial Damage Assessment due 14 days following disaster event

Damage Assessment Form(DAF)due within three months following disaster event

DAF due by July 31, 2023 for CA23-1 DAF due by Aug 30, 2023 for CA23-3

4. Local Assistance Program Highlight

State Program

- Active Transportation Program

Statewide, Small urban & Rural, Quick-Build program adopted December 7, 2022.

Commission adopts MPO selected projects June 28, 2023.

4. Local Assistance Program Highlight

State Program

- Reconnect Communities Cycle 2: Highway to Blvd (RC:H2B)

<https://dot.ca.gov/programs/local-assistance/fed-and-state-programs/rc-h2b>

Application Deadline September 20, 2023

Award Notification Late 2023/Early 2024

- **Local Transportation Climate Adaption Program (LTCAP)**

<https://catc.ca.gov/programs/local-transportation-climate-adaptation-program>

Approval of Final Program Guidelines May 18, 2023 by CTC

Call for Projects May 18, 2023

Project Nominations and Supporting Document due July 31, 2023.

Staff Recommendation – Fall 2023

Program of Projects Adoption – Fall/Winter 2023

D. Project Implementation Update

1. Implementation FFY 2022-23 Tentative Deadline

De-obligation June 30, 2023

FTA Transfers July 19, 2023

E-76 Deadlines July 23 to District; August 20 to HQs

August Re-Distribution (AR) June 25, 2023 deliverable E76 in FADS

2. RTPA Obligation Plan

RTPA obligation Plan submitted to HQs for managing OA

Submit and E76 approval date commitment

Project Implementation

3. Allocation

<https://dot.ca.gov/programs/local-assistance/allocations>

CTC action requests

Local Assistance HQs Allocation Request

State Only Funds

Legislative Program

Fund Transfer Agreement

Project Implementation

4. E76 request readiness

QAP

Right of Way Pre-qualification

Environmental Clearance

Environmental Re-validation

Right of Way Certification

Permits

Cooperative Agreement

RTL

Others

5. Completed Submittal Package

Submittal match Approved FTIP

Included all required document

Engage with your Area Engineer asap for all required processing

6. Highlight of Project Implementation Update

- Oct 18-19 CTC meeting – action requests due to District by August 21, 2023.
- 2024 CTC meeting calendar (Adopted June 28, 2023)
- E76 request no longer accepted for this FFY.
- FMIS reopen beginning of October, 2023 for processing E76 requests and for projects unable to be obligated this FFY.

6. Highlight of Project Implementation Update

- FTIP Amendment and update
- April 1, 2024 RTPAs (LAMETRO/VCTC) OA Management Plan (Obligation Plan due to Caltrans Local Assistance HQs)

DIVISION OF LOCAL ASSISTANCE
Office of Project Management Oversight

CTC Allocation Finance Letters and Other Hot Topics

July 27, 2023



Division of Local Assistance
California Department of Transportation



Topics

- Allocation Finance Letters
 - State – LAPG 25-C
 - Federal – LAPG 25-H
 - Federal – LAPM 3-A
- Shifting Allocated Funds
- Toll Credits
- Pro-Rata v Lump Sum



**Division of Local Assistance
California Department of Transportation**



Acronyms

- LAPG – Local Assistance Program Guidelines
- LAPM – Local Assistance Procedures Manual
- DLAE – District Local Assistance Engineer
- CTC – California Transportation Commission



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California Department of Transportation**



Fund Allocation Required Documents

Request for Allocation Funds (CTC)/Required Documents for Submittal

#	Documentation	PA&ED	PS&E R/W	Construction (CON)	CON-NI
1	CTC Allocation Form (For MPO/RTPA awarded projects)	×	×	×	×
2	LAPG Exhibit 25-C: State-Only Finance Letter (State-Only Funded Projects) LAPM 3-A: Project Authorization/Adjustment Request (Federal Funded Projects)	×	×	×	×
3	Copy of CTC Programming Action or CTIPS showing programming of funds	×	×	×	×
4*	CEQA and NEPA (federally funded)		×	×	×
5	R/W Certification			×	
6**	Plansheet Package (11X17 Plansheets, Cross- sections and Engineer's Estimate)			×	
7	Approved NI Workplan or Plan Scope of Work				×

Fund Allocation Required Documents

Request for Allocation Funds (CTC)/Required Documents for Submittal

#	Documentation	PA&ED	PS&E R/W	Construction (CON)	CON-NI
1	CTC Allocation Form (For MPO/RTPA awarded projects)	×	×	×	×
2	LAPG Exhibit 25-C: State-Only Finance Letter (State-Only Funded Projects) LAPM 3-A: Project Authorization/Adjustment Request (Federal Funded Projects)	×	×	×	×
3	Copy of CTC Programming Action or CTIPS showing programming of funds	×	×	×	×
4*	CEQA and NEPA (federally funded)		×	×	×
5	R/W Certification			×	
6**	Plansheet Package (11X17 Plansheets, Cross- sections and Engineer's Estimate)			×	
7	Approved NI Workplan or Plan Scope of Work				×

Exhibit 25-C: State-Only Finance Letter

DEPARTMENT OF TRANSPORTATION
ACCOUNTING SERVICE CENTER
LOCAL PROGRAM ACCOUNTING BRANCH

Date: _____
Agency: _____
Project No.: _____
Advantage ID.: _____
PPNO: _____

Attention.: _____

	P/L	TOTAL COST	PARTICIPATING COST	STATE-ONLY FUNDS	LOCAL FUNDS	OTHER FUNDS	OTHER FUNDS
Environmental & Permits							
Plans, Specs, & Estimate							
Right of Way							
Construction							
Contract Items _____							
Suppl. Work _____							
Contingencies _____							
Contingencies _____							
Agency Furn. Mat. _____							
Constr. Engineering _____							
Force Acct. Amt. _____							
Construction Total _____							
TOTALS:							

ALLOCATION BY:

CTC _____

Date: _____

Questions regarding this finance letter should be directed to:

Signature: _____ Printed name: _____

Title: _____ Telephone number: _____

REMARKS: _____

LAPG 25-H

Local Assistance Program Guidelines

Exhibit 25-H
State/Federal Finance Letter

State / Federal Finance Letter

DEPARTMENT OF TRANSPORTATION
ACCOUNTING SERVICE CENTER
LOCAL PROGRAM ACCOUNTING BRANCH

Date: _____
Agency: _____
Project No.: _____
EA No.: _____

Attention.: _____

	TOTAL COST OF WORK	TOTAL PARTICIPATING COST	FEDERAL FUNDS (Fed-aid code: _____)	LOCAL FUNDS	OTHER FUNDS Type:	OTHER FUNDS Type:
Agency Preliminary Engineering						
State Furnished Preliminary Engineering Overhead at _____%						
R/W Engineering & Administration Costs						
R/W Purchase Costs						
Relocation Assistance (SJ 3A055)						
Contract Items _____						
Utilities _____						
Contingencies _____						
Trainees _____						
Agency Furn. Mat. _____						
Contract Total _____						
Agency Construction Engineering						
State Furn. Construction Engineering Overhead at _____%						
State Furnished Materials Testing Overhead at _____% EA No. _____						
Force Account (Day Labor) - striping, etc.						
TOTAL:						

Federal Participation: _____%

Signature: _____ Printed name: _____

Reimbursement Ratio: _____%

Title: _____ Telephone number: _____

REMARKS:

Simultaneous Allocations and Authorizations

- Review both for completeness, accuracy, and consistency
- After Allocation, the Authorization Request is submitted to FHWA immediately
 - Minimize any Timely Use of Funds impacts



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Exhibit 25-C: State-Only Finance Letter

DEPARTMENT OF TRANSPORTATION
ACCOUNTING SERVICE CENTER
LOCAL PROGRAM ACCOUNTING BRANCH

Date: _____
Agency: _____
Project No.: _____
Advantage ID.: _____
PPNO: _____

Attention.: _____

P/L	TOTAL COST	PARTICIPATING COST	STATE-ONLY FUNDS	LOCAL FUNDS	OTHER FUNDS	OTHER FUNDS
Environmental & Permits						
Plans, Specs, & Estimate						
Right of Way						
Construction						
Contract Items _____						
Suppl. Work _____						
Contingencies _____						
Contingencies _____						
Agency Furn. Mat. _____						
Constr. Engineering _____						
Force Acct. Amt. _____						
Construction Total _____						
TOTALS:						

ALLOCATION BY:

CTC _____
Date: _____

Questions regarding this finance letter should be directed to:

Signature: _____ Printed name: _____
Title: _____ Telephone number: _____

REMARKS: _____

Exhibit 25-C: State-Only Finance Letter

DEPARTMENT OF TRANSPORTATION
ACCOUNTING SERVICE CENTER
LOCAL PROGRAM ACCOUNTING BRANCH

Attention: _____

Environmental & Permits

Plans, Specs, & Estimate

Right of Way

Construction

Contract Items

Suppl. Work

Contingencies

Contingencies

Agency Furn. Mat.

Constr. Engineering

Force Acct. Amt.

Construction Total

Date: **July 27, 2023**

Agency: **City of XXX**

Project No.: **ATPL-1234(012)**

Advantage ID.: **0012345678**

PPNO: **6789**

TOTALS:

ALLOCATION BY:

CTC _____

Date: _____

Questions regarding this finance letter should be directed to:

Signature: _____ Printed name: _____

Title: _____ Telephone number: _____

REMARKS:

Exhibit 25-C: State-Only Finance Letter

DEPARTMENT OF TRANSPORTATION
ACCOUNTING SERVICE CENTER
LOCAL PROGRAM ACCOUNTING BRANCH

Date: **July 27, 2023**
Agency: **City of XXX**
Project No.: **ATPL-1234(012)**
Advantage ID.: **0012345678**
PPNO: **6789**

Attention.: **DLAE**

	P/L	TOTAL COST	PARTICIPATING COST	STATE-ONLY FUNDS	LOCAL FUNDS	OTHER FUNDS	OTHER FUNDS
Environmental & Permits		\$72,000	\$72,000	\$67,000	\$5,000		
Plans, Specs, & Estimate							
Right of Way							
Construction							
Contract Items _____							
Suppl. Work _____							
Contingencies _____							
Contingencies _____							
Agency Furn. Mat. _____							
Constr. Engineering _____							
Force Acct. Amt. _____							
Construction Total _____							
TOTALS:							

ALLOCATION BY:

CTC _____

Date: _____

Signature: _____ Printed name: _____

Title: _____ Telephone number: _____

REMARKS: _____

Exhibit 25-C: State-Only Finance Letter

DEPARTMENT OF TRANSPORTATION
ACCOUNTING SERVICE CENTER
LOCAL PROGRAM ACCOUNTING BRANCH

Date: **July 27, 2023**
Agency: **City of XXX**
Project No.: **1234(012)**
Advantage ID.: **0012345678**
PPNO: **6789**

Attention.: **DLAE**

	P/L	TOTAL COST	PARTICIPATING COST	STATE-ONLY FUNDS	LOCAL FUNDS	OTHER FUNDS	OTHER FUNDS
Environmental & Permits		\$72,000	\$72,000	\$67,000	\$5,000		
Plans, Specs, & Estimate		\$225,000	\$225,000	\$210,000	\$15,000		
Right of Way		\$50,000	\$50,000	\$40,000	\$10,000		
Construction							
Contract Items							
Suppl. Work							
Contingencies							
Contingencies							
Agency Furn. Mat.							
Constr. Engineering							
Force Acct. Amt.							
Construction Total							
TOTALS:		\$347,000	\$347,000	\$317,000	\$30,000		

ALLOCATION BY:

CTC _____

Date: _____

REMARKS:

Questions regarding this finance letter should be directed to:

Signature: _____ Printed name: _____

Title: _____ Telephone number: _____

Exhibit 25-C: State-Only Finance Letter

DEPARTMENT OF TRANSPORTATION
ACCOUNTING SERVICE CENTER
LOCAL PROGRAM ACCOUNTING BRANCH

Date: **July 27, 2023**
Agency: **City of XXX**
Project No.: **1234(012)**
Advantage ID.: **0012345678**
PPNO: **6789**

Attention.: **DLAE**

	P/L	TOTAL COST	PARTICIPATING COST	STATE-ONLY FUNDS	LOCAL FUNDS	OTHER FUNDS	OTHER FUNDS
Environmental & Permits		\$72,000	\$72,000	\$67,000	\$5,000		
Plans, Specs, & Estimate		\$225,000	\$225,000	\$210,000	\$15,000		
Right of Way		\$50,000	\$50,000	\$40,000	\$10,000		
Construction							
Contract Items		\$975,000					
Suppl. Work							
Contingencies							
Contingencies		\$97,500					
Agency Perm. Mat.							
Constr. Engineering		\$150,000					
Fees/Asst. Amt.							
Construction Total		\$1,222,500	\$1,222,500	\$950,000	\$272,500		
TOTALS:		\$1,569,500	\$1,569,500	\$1,267,000	\$302,500		

ALLOCATION BY:

CTC _____

Date: _____

Signature: _____ Printed name: _____

Title: _____ Telephone number: _____

REMARKS: **CE: \$150,000 total; \$100,000 State, \$50,000 Local**

Federal Projects

Print Request

Instructions

Reset Form

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION

Local Assistance Procedures Manual

PROJECT AUTHORIZATION/ADJUSTMENT REQUEST

Page 1 of 2

LAPM 3-A (REV 01/2022)

Date	Federal Project Number	Agency	Caltrans District	04	Congressional District	
Project Contact	Title	Email	Phone			
Project Title					<input type="checkbox"/> HBP	
Project Location						
Description of Work						
Functional Classification	<input type="checkbox"/> Located on SHS	CRS Map No.	ITS Risk	Project Oversight	Estimated Phase Completion Date	PED
Authorization	<input type="checkbox"/> PE <input type="checkbox"/> R/W <input type="checkbox"/> CON <input checked="" type="checkbox"/> CE <input type="checkbox"/> NI			<input type="checkbox"/> Advance Construction <input type="checkbox"/> CTC Allocation Required	Federal Amount Requested	0.00
Adjustment	<input type="checkbox"/> PE <input type="checkbox"/> R/W <input type="checkbox"/> CON <input type="checkbox"/> CE <input type="checkbox"/> NI					
Invoking Section 1440 of the FAST ACT? (aka At-Risk PE)?						

PROJECT FUNDING

Previously Authorized Phase(s) PE R/W CON CE NI

Federal Projects

Authorization PE R/W CON CE NI Advance Construction CTC Allocation Required Federal Amount Requested **\$75,000.00**

Adjustment PE R/W CON CE NI Advance Construction CTC Allocation Required Federal Amount Requested **\$75,000.00**

Invoking Section 1440 of the FAST ACT? (aka At-Risk PE)?

PROJECT FUNDING

Previously Authorized Phase(s) PE R/W CON CE NI

	Federal Fund Type	Project Cost	Federal Participating Cost	Federal Funds	State Match Funds	Local Match Funds	Other Funds	Reimb. Rate	P/L
<input checked="" type="checkbox"/> PE	ATP	\$90,000.00	\$90,000.00	\$75,000.00		\$15,000.00		83.33	
<input type="checkbox"/> TC	PE subtotals	\$90,000.00	\$90,000.00	\$75,000.00	\$0.00	\$15,000.00	\$0.00		
Total Project Cost		\$90,000.00	\$90,000.00	\$75,000.00	\$0.00	\$15,000.00	\$0.00		

$$\text{Reimbursement ratio} = \frac{\text{Federal Funds}}{\text{Federal Participating Cost}} = \frac{\$75,000}{\$90,000} = 88.33\%$$

State Finance Letters

Questions?



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Shifting Allocated Funds

- Funds may only be shifted between allocated phases
- Timely Use of Funds applies to the original allocation
- Funds may be shifted between Project Development (PA&ED and PS&E) up to the amount allocated for each component
- Funds may be shifted between Project Development, Right of Way, and Construction
 - Limited to 20% of whichever component has the smaller allocation from the CTC



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Shifting Allocated Funds

- For State Funded projects, Implementing Agency must complete a revised finance letter (LAPG 25-C) and submit to DLAE
- For Federal Projects, the LAPM 3-A must be submitted to the DLAE.
 - If shifting between, PA&ED and PS&E, the LAPG 25-H may be submitted



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Toll Credits

- Established by Federal Regulations
- Not an actual source of funding,
 - Does not generate any additional federal funding
- Use on any or all phases
- Must be identified in the FTIP
- Project must be fully funded at 100% federally participating
 - Federal Reimbursement rate = 100%



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Toll Credits

FTIP ID	LEAD AGENCY	COUNTY	CONFORM CATEGORY	AIR BASIN	PROJECT COST	RTP ID	SYSTEM
LATP16S006	Los Angeles A, City of	Los Angeles	TCM Committed	SCAB	\$5,000	101008	Local
PRIMARY PROGRAM CODE	PROJECT LIMITS			MODELING	FTIP AMENDMENT		
NCN27 - PEDESTRIAN FACILITIES-NEW	From Jesse St to 4th St			NO	23-00		

DESCRIPTION

Boyle Heights Pedestrian Linkages. Pedestrian infrastructure improvements including sidewalk repairs, 3,400 linear feet of new sidewalk, and installation of pedestrian lighting, continental crosswalks, and curb ramps to improve connectivity within community and to 6th Street Viaduct Replacement Project. Utilizing Toll Credits.

PHASE	FUND SOURCE	PRIOR	22/23	23/24	24/25	25/26	26/27	27/28	FUTURE	TOTAL
PE	ATP - Active Transportation Program	\$0	\$893	\$0	\$0	\$0	\$0	\$0	\$0	\$893
CON	ATP - Active Transportation Program	\$0	\$0	\$4,107	\$0	\$0	\$0	\$0	\$0	\$4,107
TOTAL	TOTAL	\$0	\$893	\$4,107	\$0	\$0	\$0	\$0	\$0	\$5,000



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Toll Credits

Authorization	<input checked="" type="checkbox"/> PE	<input type="checkbox"/> RW	<input type="checkbox"/> CON	<input type="checkbox"/> CE	<input type="checkbox"/> NI	<input type="checkbox"/> Advance Construction	<input type="checkbox"/> CTC Allocation Required	Federal Amount Requested	\$893,000.00
Adjustment	<input type="checkbox"/> PE	<input type="checkbox"/> RW	<input type="checkbox"/> CON	<input type="checkbox"/> CE	<input type="checkbox"/> NI				

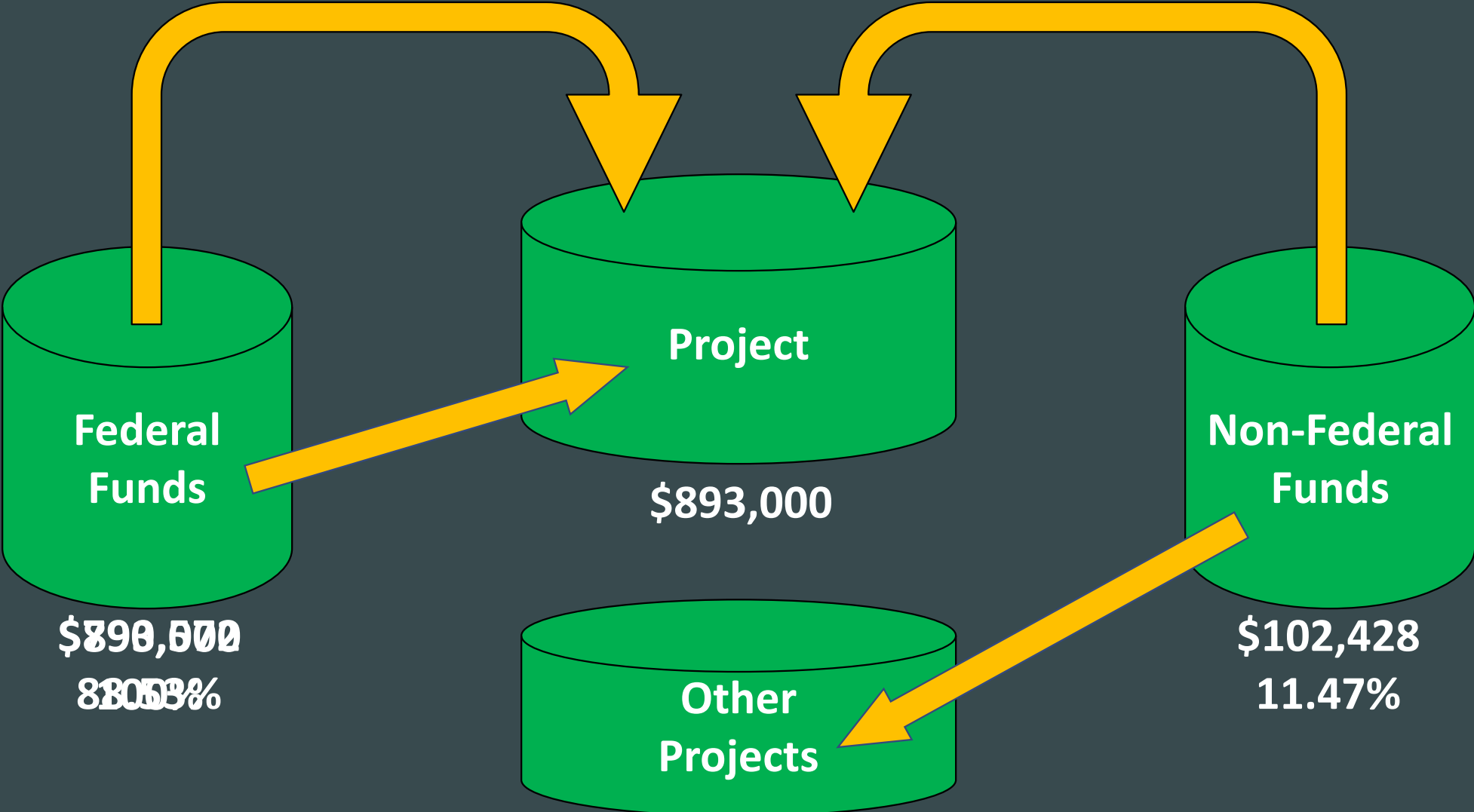
Invoking Section 1440 of the FAST ACT? (aka At-Risk PE)?

PROJECT FUNDING

Previously Authorized Phase(s) PE RW CON CE NI

	Federal Fund Type	Project Cost	Federal Participating Cost	Federal Funds	State Match Funds	Local Match Funds	Other Funds	Reimb. Rate	P/L
PE	ATP	\$893,000.00	\$893,000.00	\$893,000.00				100.00	L
<input checked="" type="checkbox"/> TC	PE subtotals	\$893,000.00	\$893,000.00	\$893,000.00	\$0.00	\$0.00	\$0.00		
Total Project Cost		\$893,000.00	\$893,000.00	\$893,000.00	\$0.00	\$0.00	\$0.00		

Toll Credits



Pro-Rata v Lump-Sum

- Pro-Rata: Federal Share = specific percentage
- Lump Sum: Federal Share = specific \$ amount
- Established at the time of project agreement (authorization)
- May vary by phase
- Construction may be adjusted before or shortly after contract award



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Pro-Rata v Lump-Sum

- Rule of Thumb:
 - Projects funded at the maximum reimbursement ratio – use Pro Rata or Lump Sum
 - Underfunded projects – use Lump Sum

Never use Pro-Rata for Underfunded Projects!!!



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Pro-Rata

\$75,000 Federal
\$90,000 Part Cost
83.33%

Cost increase

\$75,000 Federal
\$102,000 Part Cost
73.53%

\$10,000 Federal
\$12,000 Part Cost
83.33%

\$85,000 Federal
\$102,000 Part Cost
83.33%

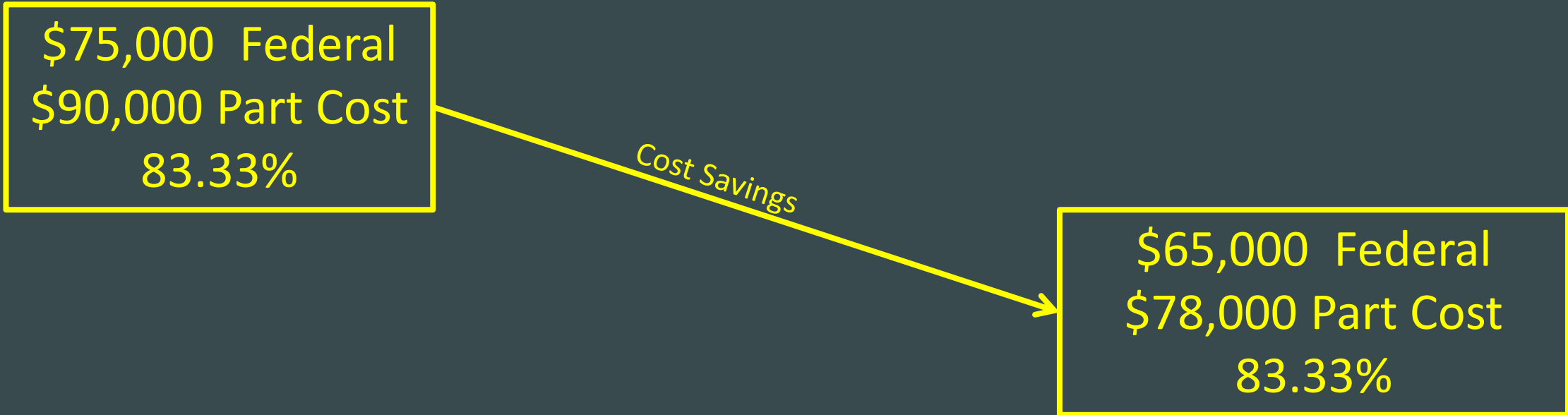


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Pro-Rata



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Lump Sum

\$75,000 Federal
\$90,000 Part Cost
83.33%

Cost increase

\$75,000 Federal
\$102,000 Part Cost
73.53%

\$10,623 Federal
\$12,000 Part Cost
88.53%

\$85,623 Federal
\$102,000 Part Cost
83.94%

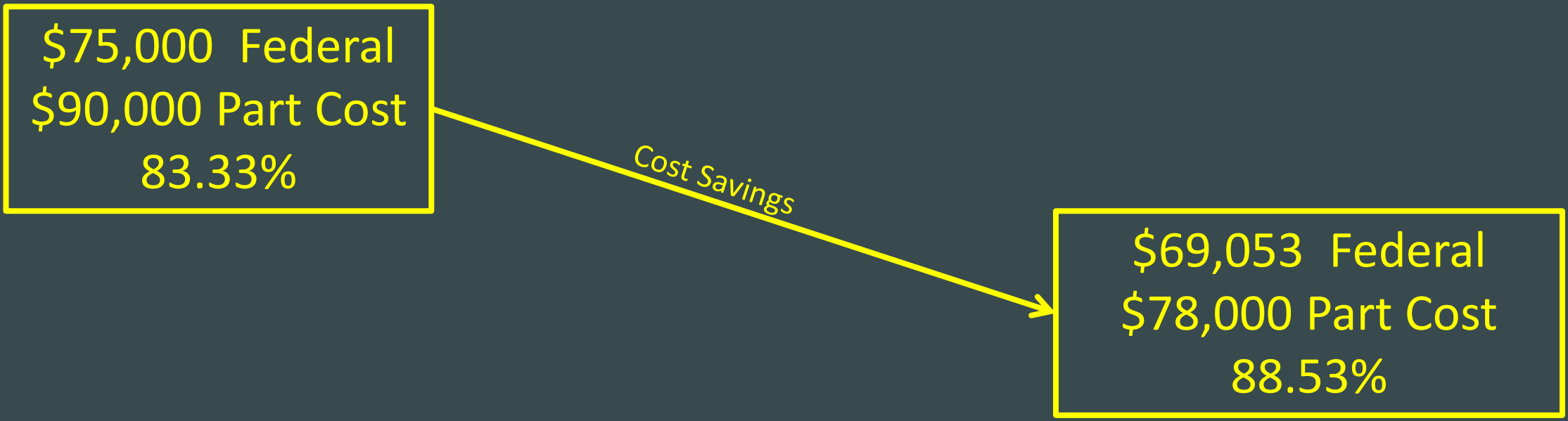


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Lump Sum



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Pro-Rata v Lump Sum Comparison

Cost Increases

	Original Cost	<u>Cost Increase</u> Pro-Rata	<u>Cost Increase</u> Lump Sum	PR v LS Comparison
Total Cost	\$90,000	\$102,000	\$102,000	\$0
Federal Share	\$75,000	\$85,000	\$85,623	\$623
Non-Federal	\$15,000	\$17,000	\$16,377	(\$623)
Reimb %	83.33%	83.33%	83.94%	0.61%



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Pro-Rata v Lump Sum Comparison

Cost Decreases

	Original Cost	<u>Cost Decrease</u> Pro-Rata	Lump Sum Share	PR v LS Comparison
Total Cost	\$90,000	\$78,000	\$78,000	\$0
Federal Share	\$75,000	\$65,000	\$69,053	\$4,053
Non-Federal	\$15,000	\$13,000	\$8,947	(\$4,053)
Reimb %	83.33%	83.33%	88.53%	5.20%



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Resources

DLA Web Site: <https://dot.ca.gov/programs/local-assistance>

LAPM

Chapter 3 – Project Authorizations – Toll Credits

Chapter 5 – Invoicing – Pro-Rata v Lump Sum

LAPG

Chapter 25 – State Programs for Local Agency Projects



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California Department of Transportation**



Resources

Local Assistance Training

<https://dot.ca.gov/programs/local-assistance/training>

CTAP – Training Recording

<https://ca-ctap.org/?pid=1611>



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Pro Rata v Lump Sum

Questions?



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Thank You

Please save Communityrelations@metro.net to your safe sender's list.

