

Welcome to the Caltrans/Metro Local Delivery Workshop

June 8, 2021

9:30AM – 11:30AM

Please put your name and
organization in the chat to
introduce yourselves.



Metro

Housekeeping Rules

- We will be recording this workshop and the link will be available and sent to participants after the workshop.
- You will automatically be placed on mute.
- There will be a Q&A after every presentation. If you have a question, you may:
 - Type your question into the chat box
 - Raise your hand
- Presentation materials are posted in the chat box.
- At the end of the workshop, there will be a survey – we appreciate your feedback!



We're glad you're here!

Welcome from Steve Novotny, Caltrans and Patricia Chen, LA Metro





ACTIVE TRANSPORTATION PROGRAM UPDATES

Shelly Quan, LA Metro

BACKGROUND

- State ATP funds projects that increase biking and walking
- 4 cycles completed to date – Cycle 5 is underway
- To date, LA County projects awarded \$581 million (28% of all ATP funds)

LA County Application Trends

Cycle	Applied	Awarded	Success Rate	Avg. Request	Avg. Award
1	119	53	45%	\$2,365	\$2,131
2	90	39	43%	\$2,604	\$2,616
3	75	48	64%	\$2,619	\$2,479
4	86	16	19%	\$6,051	\$8,573
5*	64	14	22%	\$5,412	\$9,097
Total	434	170	39%	\$3,810	\$4,979

**Includes pending awards from MPO Component*

ANTICIPATED AUGMENTATION

- [CTC Proposal](#): \$2 billion for augmentation and pilot program for bicycle highway and active transportation networks
- [Governor's May Revision](#) to Budget: \$500 million for active transportation
- [Legislature's Version](#) of Budget: \$3 billion for transportation infrastructure, including active transportation projects
- Various advocacy organizations' [proposal](#)

CYCLE 5 UPDATES

- MPO Component to be adopted June 23
- LA County award is slated for \$47.5 million to 4 projects

TIPS FOR CYCLE 5 GRANT RECIPIENTS

- Confirm federal or State ATP funds
- Program projects in the FTIP
- Refer to Next Steps letter
- Refer to guidelines:
 - CTC's 2021 ATP Guidelines
 - Caltrans' Local Assistance Program Guidelines, Ch. 22

RESOURCES FOR ATP CYCLE 6

- Safe Routes Partnership ATP Cycle 6 Technical Assistance
 - Four communities/agencies will be selected
 - Applications accepted on rolling basis through June 30, 2021
 - Apply [here](#)
- Metro ATP Grant Assistance Program
 - Policy updated and adopted in Fall 2021
 - Applications accepted in Winter 2021

CONTACT

Shelly Quan

Senior Transportation Planner

quans@metro.net

THANK YOU!
QUESTIONS?

Caltrans District 7 Local Assistance Project Delivery Update



Robert Y Wong PE, PMP, AVS

Office of Local Assistance

Division of Planning and Local Assistance

<https://dot.ca.gov/programs>

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

Robert.Y.Wong@dot.ca.gov

Agenda

- Stay Connected
- Training Information
- Flash Alerts
- Timely Use of Funds
- Monitor Funding Deadlines
- Open Discussion
- Next steps



Stay Connected

Resource

- Local Assistance Area Engineer
- Subscribe to Local Assistance Blog
- Subscribe to DLA email list
- Subscribe to LTAP email list
- Subscribe to ATRC email list



Training Information

- Local Technical Training Program (LTAP)

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



- Active Transportation Resource Center (ATRC)

<https://caatpresources.org>

Flash Alert

- Inactive Project

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

- PE 10

<https://dot.ca.gov/programs/local-assistance/projects/preliminary-engineering-phase-over-10-years>

- Project End Date

<https://dot.ca.gov/programs/local-assistance/projects/projects-with-expiring-end-dates>



Flash Alert

FY/FFY Obligation and Allocation Request

- FTIP Amendment <https://scag.ca.gov/federal-transportation-improvement-program>
- RFA Submittal - Allocate before obligate; April 1st Obligation Plan
End FFY- District July 15; New FFY – District Beg. October 7 to 15
- CTC Allocation Request
<https://dot.ca.gov/programs/local-assistance/allocations>
- HIP FFY 17-18 Funds Expiring- Must be obligated by September 30, 2021
- HSIP Cycle 10 – PE allocation by 12/31/2021



TIMELY USE OF FUNDS

- CTC Program Guideline

[2021 CTC ATP Guidelines \(PDF\)](#)

[Caltrans ATP NI Guidance \(PDF\) Updated \(03/23/20\)](#)



- Local Assistance Guideline

[HSIP Delivery Requirements and Status of Approved Projects | Caltrans](#)

[SB 1 Workshop for Local Agencies – Local Assistance Blog](#)

Monitor Funding Deadlines

Project Approval Documents

- PSA Expenditure Deadline
- E76 Reversion Date; PED
- CWA Extension deadline

<https://dot.ca.gov/programs/local-assistance/projects/cooperative-work-agreement-cwa>

- PE10 PE<8; PE>10



Open Discussion Future Topics

Local Assistance Programs

- Implementation
- Program

CTC Programs

- ATP
- SB1

Supplemental Programs from others sponsors

- Bike, Ped, Safety, Climate Change, Sustainability, Natural Disaster



Next Step

- Engage and focus in specific topics
- Weekly, Monthly updates, by FY or FFY processing timeline
- Future Strategic planning group/committee
- HSIP, HBP, ATP...Advisory updates.
- Open to suggestions

Useful References

LTAP registration <https://californiatap.org/index.cfm?pid=1077>

2021 ATP guidelines

<https://catc.ca.gov/-/media/ctc-media/documents/programs/atp/workshops/cycle-5/2020325-adopted-2021-atp-guidelines-a11y.pdf>

Senate Bill 1 (SB1) Workshop Webinar

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

Hoole's Rules

<https://dot.ca.gov/programs/local-assistance/projects/holes-rules>

[Simultaneous Processing of Allocation/Authorization Requests](#)

[Procedures to Request Locode/Master Agreement\(s\) \(03/16/2016\)](#)

Past CT- Metro Workshops

<https://www.metro.net/projects/funding/>



Next stop: access to opportunity.

Metro TOC Grant Writing Assistance Program
Local Assistance Workshop, June 8, 2021
Elizabeth Carvajal, Jane Roberts



Metro TOC Grant Writing Assistance Program

1. Background
2. GWA Program and Eligibility
 - a. TOC Activities
 - b. Applicants
 - c. Equity Prioritization
 - d. Evaluation Criteria
3. Application Process

BACKGROUND



Background: Meeting the Moment

Mobility Transformation:

- Measure M (2016)

Board Direction and Vision:

- Vision 2028 Strategic Plan (2018)
- TOC Policy (2018)
- Equity Platform (2018)

Need/Urgency of core riders:

- Affordable Housing, COVID-19, & Community Stabilization Crisis

TOC Policy Goals

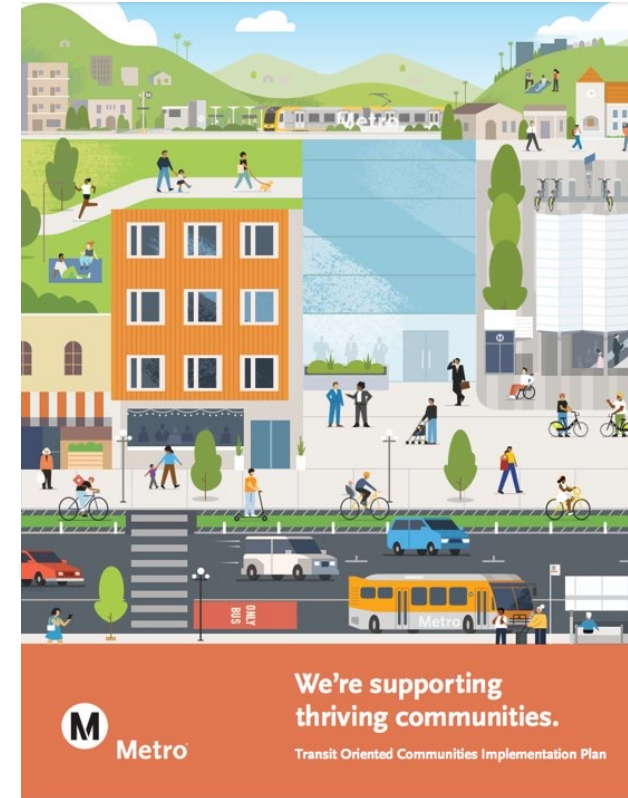
- *Increase transportation ridership and choice*
- *Stabilize and enhance communities surrounding transit*
- *Engage organizations, jurisdictions, and the public*
- *Distribute transit benefits to all*
- *Capture value created by transit*

Background: TOC Implementation Plan

Metro's TOC Policy and Implementation Plan outlines how we will lead and support partners to ensure that our investments equitably benefit communities where we operate.

Organized by four Initiatives:

1. *TOC Corridor Baseline Assessments*
Continually
2. Improve LA Metro TOC Programs
3. Enhance Metro's Internal Coordination
4. Strengthen coordination and collaboration





GRANT WRITING ASSISTANCE & ELIGIBILITY

Metro TOC Grant Writing Assistance Program

Grant Writing Assistance (GWA)

Metro will make grant writers available to Los Angeles County municipalities that seek to implement TOC activities in their communities, prioritizing equity.

Planning Studies and Capital Improvement Projects are both eligible for the GWA program.



Eligible TOC Activities



- Affordable Housing
- Community Stabilization
- Regional Housing Needs Assessment (RHNA), with TOC focus
- Active Transportation*
- First/Last Mile
- Measure M Metro Active Transport (MAT)
- Transit to Parks

Eligible Applicants: Dependent on Activity

Activity	Distance from Major Transit Stop	Eligible Applicants
Affordable Housing, Community Stabilization, Active Transportation*	½ Mile	LA County Jurisdictions
Measure M Metro Active Transit (MAT) <i>(For further support of MAT recipients)</i>	N/A*	LA County Jurisdictions, Caltrans, State & Federal agencies, transit agencies, and JPAs (if sponsored)
First/Last Mile	½ (Walk) – 3 (Wheel/Roll Mode) Miles	LA County Jurisdictions

Eligible Applicants: Dependent on Activity

Activity	Distance from Major Transit Stop	Eligible Applicants
Regional Housing Needs Assessment (RHNA), with a TOC Focus	½ mile	LA County Jurisdictions
Transit to Parks	Countywide*	LA County Jurisdictions, transit agencies, nonprofit organizations (<i>if eligible for Transit to Parks- related grant</i>)

Major Transit Stops

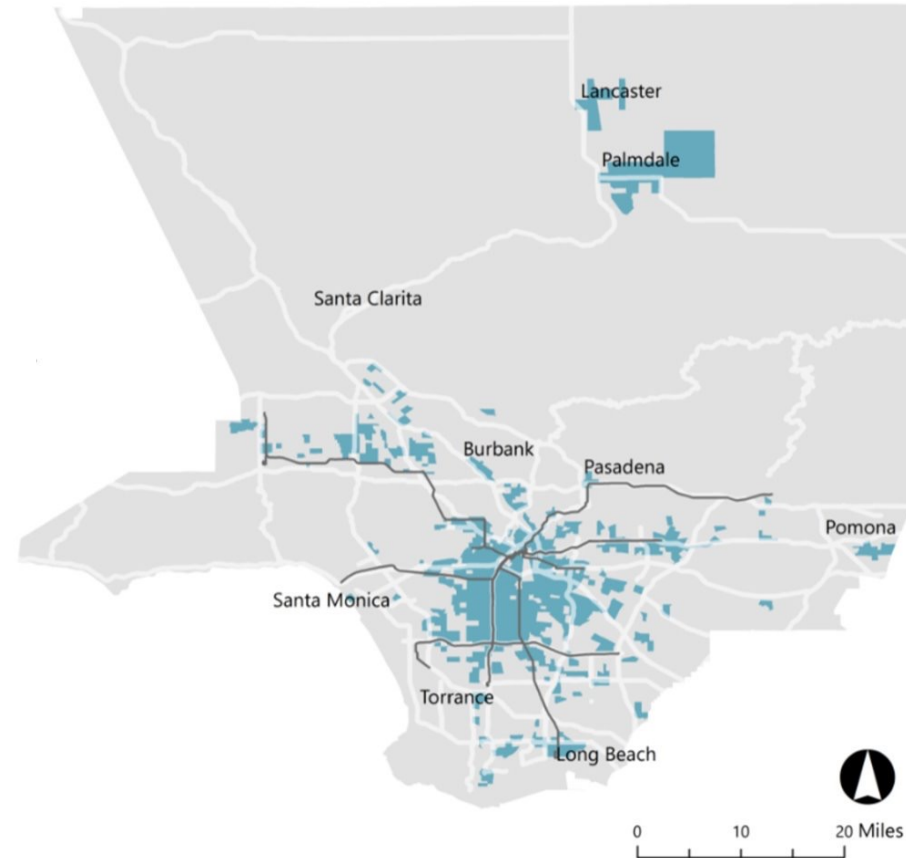


- Existing Rail/Bus Rapid Transit (BRT) station
- Ferry terminal served by either bus or rail transit service
- Intersection of two or more major bus routes with 15-minute headway or less during AM/PM peak
- Fixed guideway station (with environmental clearance)

Equity Prioritization

Metro calls on Program Recipients to incorporate **equity as a process and an outcome.**

Metro will prioritize program in EFCs and other high-need communities, based on socio-economic factors.



Metro Equity Focus Communities (EFC) Map

Evaluation Criteria



1. TOC Policy Goal Alignment
2. Equity Focus Communities
3. TOC Corridor Baseline Implementation or TOC Activity
4. Equity as an Outcome
5. Staffing Commitment/Demonstrated Past Performance
6. Equity as a Process
7. Transit Corridor Timing

A blue-tinted photograph of a train on an elevated track. The train is moving towards the viewer, and the destination sign above the front window displays "LOS ANGELES". The train is white with blue accents. The track is supported by a concrete wall. The background shows some blurred vegetation in the foreground and a clear sky. The text "APPLICATION PROCESS" is overlaid in white, bold, sans-serif font in the center of the image.

APPLICATION PROCESS

Applying for Grant Writing Assistance

1. Access Metro TOC Grant Writing Assistance (GWA) Program Homepage
2. Review Program Guidelines to assess eligible activities, projects and requirements
3. Download and complete the Grant Writing Assistance application
4. Submit completed application to Metro staff at tocimplementation@metro.net at least 8 – 12 weeks before the grant application is due

Complete form linked in the chat for
Grant Writing Assistance program announcements

For more information or questions on the Grant
Writing Assistance Program contact Metro staff at:

tocimplementation@metro.net

Questions?



OVERVIEW OF PROJECT DELIVERY

June 8, 2021

Mazen Dabboussi, Area Engineer

OFFICE OF LOCAL ASSISTANCE

District 7 – Los Angeles and Ventura

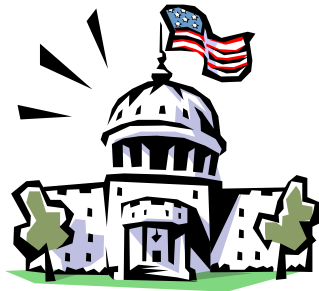
Office of Local Assistance

Local Assistance Offices assist local agencies in utilizing all available state and federal transportation funds in accordance with state or federal transportation statutes and regulations.

Overview of Project Delivery

- Roles and Responsibilities
- FTIP
- Federal vs State Projects
- ATP Time Extension
- ATP Allocation & Timely Use of Funds (TUF)
- Federal Authorization
- Agreements
- Advertise and Award
- Additional Federal Funds Request
- Invoicing & Reporting
- Project Completion

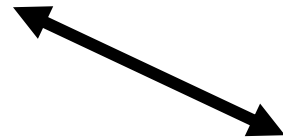
Roles and Responsibilities



Federal Highway
Administration



California
Transportation
Commission



HQ Project
Implementation Team



Regional & Local
Agencies



District Local
Assistance Engineer



Roles and Responsibilities

LOCAL AGENCY

- ❖ Initiates and submits “Request for Authorization” package to the DLAE.
- ❖ Primarily responsible for implementing projects
- ❖ Conception, environmental, invoicing, planning, design, construction, programming, award, project completion

DISTRICT (DLAE)

- ❖ Initial and Primary Contact with Local Agencies
- ❖ Advise Local Agencies on Caltrans Local Assistance Policies/Procedures
- ❖ Receive Funding Requests from Local Agencies, Review for Completeness and transmit to HQ
- ❖ Conduct Field Reviews and Final Inspections
- ❖ Coordinate with HQ in processing Local Agency Funding Requests

Roles and Responsibilities

HQ Implementation

- ❖ Federal Authorizations
- ❖ Preparing/Executing Agreements
- ❖ Interacting w/ other HQ units on behalf of District & local agencies
- ❖ Advice on policy interpretation & implementation procedures

FHWA

- ❖ Federal agency ultimately responsible for ensuring compliance with all federal requirements on highway projects

FTIP/FSTIP

- FTIP is a 4-year document updated every 2 years
 - Includes Federally Funded and Regionally Significant projects
 - Prepared by the MPO
- FSTIP is a 4-year documents updated every 2 years
 - Prepared by Caltrans
 - (2021 FTIP is the current one)

FTIP/FSTIP (cont.)

- Before a project can receive Federal Authorization (E-76) to proceed or before Federal Funds can be committed to a project, the project must be approved in the FTIP/FSTIP
- Individually Listed Projects - One Entry
- Grouped Projects (Lump Sum)

Federal vs. State Projects

Federal

- Must be Programmed (usually) in the FTIP
- Allocation if ATP Project
- E-76/Obligation/ Authorization package
- Environmental
 - ❖ CEQA
 - ❖ NEPA
- ROW- Certification required prior to CON Funding Request

State

- Was Programmed when the project was adopted
- Allocation only
- State-only finance letter
- Environmental
 - ❖ CEQA
- ROW- Agency self certifies

State/ATP Allocations

Active Transportation Program (ATP)

- Infrastructure Projects (IF), Non-infrastructure Projects (NI), Combined IF and NI
- Project sponsor must submit Allocation Request Form to Caltrans at least (2) Months before CTC Meeting.
- Project sponsor must receive Metro concurrence before sending Allocation Request Form to Caltrans
- Project Sponsor must receive Allocation vote from CTC for each phase (Please refer to CTC Schedule for deadlines).

State/ATP Timely Use of Funds (TUF)

- Funds must be allocated by CTC in the year programmed unless Time Extension is granted.
- PA&ED and PS&E phases expenditures must occur by end of 2nd FY following Allocation Date.
- Construction must be completed within 36 Months of the Project's Award Date.
- For ATP Projects, Timely Use of Funds Dates will supersede the Reversion Dates that are shown on the approved LP2000 Finance Letter.



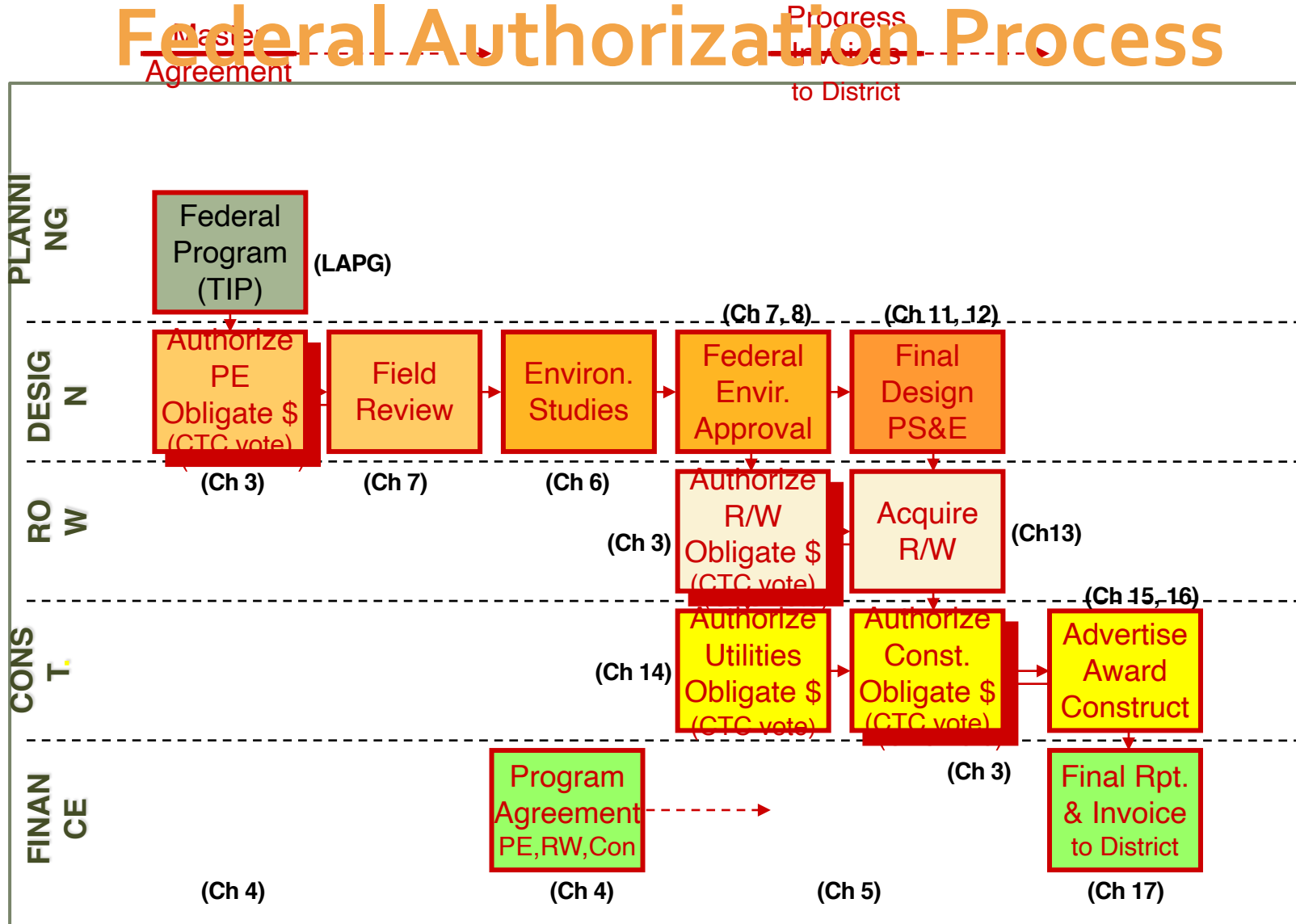
State/ATP Time Extension

- Extension requests must have valid reason (s):
 - Unforeseeable and beyond the control of project sponsor
 - Community feedback impacting design
 - Unexpected Utility Relocation
 - Further studies needed for Environmental process
 - Impact of the unprecedented COVID 19 virus
- The Agency must timely submit Time Extension request Exhibit 22-B to the Area Engineer
- May only request Extension once for each phase (12 Months)
- Four Elements of Time Extension: Allocation, Expenditures, Award, and Project Completion (Contract Acceptance)

POLL

How many months after CON allocation does the Local Agency have to award the contract?

Federal Authorization Process



(CTC vote only for allocations – see LAPG Ch. 23)

Federal Authorization

Sequence of Authorization Procedures:

- Local agency:
 - Submits “Request for Authorization” (RFA) which must include the new Exhibit LAPM 3-A (Project Authorization / Adjustment)
- District Area Engineer:
 - Assigns project number
 - Creates E-76 and transmits to HQ Implementation
 - Send backup documents
- HQ Implementation:
 - Reviews E-76 for accuracy, completeness, provides electronic signature and transmits to FHWA with backup document
- FHWA:
 - Review backup documents, Authorizes / Obligates Federal Funds and transmits E-76 to FHWA HQ in DC for final approval

Federal PE Authorization

PE Authorization

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

Federal RW Authorization

Right of Way Authorization

- If federal reimbursement is sought for any phase of the project, all R/W activities must conform to federal requirements.
- NEPA environmental clearance required prior to R/W authorization.
- Must be obtained prior to negotiation w/ owners
- Covers:
 - Appraisals
 - RW Acquisition
 - RW Support
 - Relocation Assistance

Federal CON Authorization

Construction Authorization

- Required PRIOR to advertising construction contract
- NEPA clearance required prior to federal authorization
- Right of Way Certification required



POLL

True or false: Final design should be completed before environmental clearance.

Agreements

Master Agreement

- Federal-aid
- State-only

Program Supplement Agreement (PSA)

- Location, work & cost specific for each project
- Between Caltrans and Project Sponsor

FADS or E-76 Authorization/Agreement

- Between Caltrans and FHWA

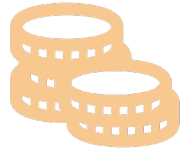
POLL

The Program Supplement Agreement (PSA) is an agreement between two parties, who are the parties?

Advertise and Award

- Advertisement period should be for a minimum of 3 weeks
- Usually, the Construction contract is awarded to the lowest responsible bidder
- Project sponsor should submit a complete Award Package to Caltrans within 30 days of project's Award Date
- Project Sponsor should review the DBE Goal and make sure all the proper documents are placed in the project's file
 - ◆ If the DBE Goal is not met, then an Evaluation of Good Faith Effort should be performed by the Agency

Additional Federal Funds Request



- Justification Letter with a detailed explanation why additional funding is being requested
- Revised Finance Letter (Exhibit 3-O of LAPM)
- Revised Detail Estimate (Exhibit 15-M of LAPM)
- Change Order Summary (Exhibit 17-E of LAPM)
- Concurrence Letter or email from MPO stating the changes will not affect their MPO financial constraint
- The additional Federal Fund Request is done using Post Programming

Invoicing

- Federal-aid Program is a reimbursement program
 - Local agency first pays contractor, then seeks federal reimbursement
- Requirements for Reimbursement
 - Master Agreement
 - Program Supplement Agreement
 - E-76
 - Finance Letter
 - Award Package (for Construction)
 - Indirect Cost Rate Acceptance Letter (if applicable)

Invoicing (Cont.)

- Invoices
 - Submit directly to DLAE w/ backup documents
 - Submit at least every six Months to avoid the inactive list
 - Construction invoices can not be reimbursed until Award Package is submitted and processed
 - DLAE forwards to LPA
 - LPA forwards to SCO and FHWA
 - SCO reimburses local agency

Reporting

- Final Report of Expenditures (FROE) and Final invoice due SIX (6) months after Contract Completion and Acceptance (CCA).

- Project Reporting

Semi-Annual or Quarterly Report to DLAE

Final Delivery Report in additional to FROE close out package (SSARP)

- Project Evaluation & Audits

(Additional Reporting or Documents may be needed depending upon the project type).

Project Completion (Final Report of Expenditures)

- Cover Letter and Report of Expenditures Checklist (Exhibit 17-A of LAPM)
- Final Inspection Form (Exhibit 17-C of LAPM)
- Final Invoice (Exhibit 17-D of LAPM)
- Final Detail Estimate (Exhibit 15-M of LAPM)
- Final Detail Estimate Summary (Exhibit 15-M)
- Change Order Summary (Exhibit 17-E of LAPM)



Project Completion (Final Report of Expenditures) Cont.

Include statement of liquidated damages and/or contractor claims, if there is any.

- Date of Completion
- Liquidated Damages and Contractor's Claim (LAPM, Chapter 16)
- Final Report on Utilization of DBE (Exhibit 17-F of LAPM)
- Material Certificate (Exhibit 17-G of LAPM)
- Cover Letter and FROE Checklist (PE Only) Exhibit 17-H, if applicable
- Cover Letter and Report of Completion of Structures on Local Street and Roads, if applicable (Exhibit 17-I/J of LAPM)
- ◆ Completion of Right of Way Expenditures Report (Exhibit 17-K of LAPM)
- ◆ DBE Certification Status Change (Exhibit 17-O of LAPM)

Contact

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Thank you for joining us!

- There will be a short survey linked in the chat box – we appreciate your feedback!
 - Next workshop: October 2021
- 