

California Department of Transportation

DIVISION OF LOCAL ASSISTANCE
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August 7, 2023

Active Transportation Program
Cycle 6 Metropolitan Planning Organization (MPO) Awardee

Dear Recipient:

Congratulations! Your project is included in the California Transportation Commission's (CTC) 2023 Active Transportation Program (ATP) Metropolitan Planning Organization (MPO) Component list of programmed projects. The links to the final adopted MPO Component can be found below:

- [MPO Component for the Metropolitan Transportation Commission](#)
- [MPO Component for Nine of Ten Large MPOs](#)

For the successful implementation of your project, please note the following:

- The agency's first step is to contact the appropriate [District Local Assistance Engineer](#) (DLAE) who can assist with the Master Agreement (if needed), allocation, and authorization processes.
- Projects must be federal-aid eligible unless the project is designated as state-only funded. Contact your DLAE, your MPO, or check Attachment C of the links to the final adopted MPO Component above to determine if your project is State or Federally funded.
- The ATP is a reimbursement program. Reimbursable work cannot commence on your project until:

| <u>STATE-ONLY FUNDED</u> | <u>FEDERALLY FUNDED</u> |
|---|---|
| <ul style="list-style-type: none"> • You have a Master Agreement • You receive an allocation from CTC | <ul style="list-style-type: none"> • You have a Master Agreement • Your project is programmed in the current Federal Statewide Transportation Improvement Program (FSTIP) |
| <ul style="list-style-type: none"> ○ It is recommended that your project be programmed in the current Federal Statewide Transportation Improvement Program (FSTIP) | <ul style="list-style-type: none"> • You receive an allocation from CTC • You receive an authorization to proceed from Federal Highway Administration (FHWA) |

Allocations for projects cannot commence until appropriate clearances are achieved. Please see [chapter 25](#) of the Local Assistance Procedures Guide (LAPG) and the following table for funding allocation requirements.

| Phase | Work allowed | Requirement prior to requesting and receiving funding (allocation) |
|---|--|---|
| Project Approval & Environmental Document (PA&ED) | <ul style="list-style-type: none"> • The National Environmental Policy Act (NEPA) and/or the California Environmental Quality Act (CEQA) clearance • Preliminary engineering | <ul style="list-style-type: none"> • Master Agreement • MPO/Regional transportation Planning Agencies (RTPA) approval if applicable* |
| Plans, Specifications and Estimates (PS&E) | <ul style="list-style-type: none"> • Formal design work | <ul style="list-style-type: none"> • Master Agreement • MPO/RTPA approval if applicable* • Environmental document certified <ul style="list-style-type: none"> ○ CEQA for state-only funded projects ○ CEQA and NEPA for federally funded projects • Baseline Agreement executed if applicable** |
| Right of Way (RW) | <ul style="list-style-type: none"> • RW mapping • Fee acquisition • Utility relocation • RW certification | <ul style="list-style-type: none"> • Master Agreement • MPO/RTPA approval if applicable* • Environmental document certified <ul style="list-style-type: none"> ○ CEQA for state-only funded projects ○ CEQA and NEPA for federally funded projects • Baseline agreement executed if applicable** |

| | | |
|---------------------------------|---|--|
| Construction (CON) | <ul style="list-style-type: none"> • Advertisement • Award • Construction Construction engineering | <ul style="list-style-type: none"> • Master Agreement • MPO/RTPA approval if applicable* • Environmental document certified <ul style="list-style-type: none"> ○ CEQA for state-only funded projects ○ CEQA and NEPA for federally funded projects • Baseline Agreement executed if applicable** • RW certified • Scope changes approved*** • Complete PS&E package • Pertinent permits and agreements executed |
| CON-Non-Infrastructure (CON-NI) | <ul style="list-style-type: none"> • Non-infrastructure (NI) or Plans | <ul style="list-style-type: none"> • Master Agreement • MPO/RTPA approval if applicable* • An approved workplan (25-R or 25-Plan) • CEQA/NEPA clearance for NI and plans |

*If the RTPA's governing board passes a resolution requiring their approval prior to submittal to Caltrans, the implementing agency must provide written evidence of such approval on the Funding Allocation Request

**Per the [Senate Bill 1 \(SB 1\) Accountability and Transparency Guidelines](#), projects with a total project cost of \$25 million or greater or a total ATP programmed amount of \$10 million or greater are required to complete a Baseline Agreement

***Scope change requests must be submitted prior to an agency requesting the allocation of construction funds, except in instances where there is contract bid cost savings (ATP guidelines, Section 28, A)

- It is the agency's responsibility to review their project scope throughout the project delivery process and confirm that ATP funding is used to fund the approved eligible scope. Please refer to section 10 "Reimbursement" of the [CTC 2023 ATP Guidelines](#). The CTC does not allow adding ATP funding to cover cost overruns.
- [Amendment Requests](#) – both scope changes and funding distribution changes are permitted, as approved in accordance with the CTC's amendment request policy, located in section 28 "Amendment Requests" of the CTC 2023 ATP Guidelines.

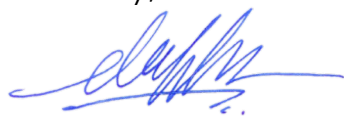
- ATP projects are subject to CTC Timely Use of Funds (TUF) Requirements. Please refer to section 31 "Timely Use of Funds (TUF)" of the CTC 2023 ATP Guidelines, chapter 25 of the LAPG, [the Caltrans ATP TUF webpage](#), and the CTC meeting preparation [schedule](#).
- Per CTC 2023 ATP Guidelines, all projects must follow the [Local Assistance Procedures Manual](#) (LAPM).
- Prior to engaging in any Architectural and Engineering (A&E) contract procurement(s), agencies should reference [LAPM chapter 10](#) and [Exhibit 10-C](#).
 - Applications that identified a partner or non-A&E consultant as performing a portion of or all work associated with the project scope must still comply with LAPM chapter 10.
- [Project Reporting](#)
 - The [SB 1 Accountability and Transparency Guidelines](#) require the implementing agency to submit quarterly project progress reports, a completion report, and a final delivery report via [CalSMART](#) upon adoption into the program.
 - Quick Build projects are NOT submitted via the CalSMART reporting system. Quick-Build Progress Reports will be submitted via an Excel reporting template.
 - Agencies that do not comply with the reporting requirements including submittal and explanation of user counts, will be reported to the CTC and required to appear before the Commission.
 - All projects, except Plan projects, require before and after counts. When conducting counts, the use of the [Interim Count Guidance](#) and the [Active Transportation Program Policy on User Counts](#) is required.
 - Agencies in need of ATP user counting equipment can borrow from the Active Transportation Resource Center (ATRC) Automated Counter Loan Program for free by contacting the [Caltrans ATRC/Non-infrastructure team inbox](#).
- [Baseline Agreements](#)
 - The SB 1 Accountability and Transparency Guidelines require projects with a total project cost of \$25 million or greater (all funds) or a total ATP programmed amount of \$10 million or greater to complete a Baseline Agreement.
 - Baseline Agreements need to be executed prior to allocation of any phase except for PA&ED (and CON-NI for combination ATP projects).
 - Current and projected user counts are required. Current user counts may not be required if the facility is new.
- Projects may be subject to Enhanced Oversight by Local Assistance staff to mitigate potential delivery risks.

- Projects with Federal Transit Administration (FTA)/Bureau of Indian Affairs (BIA) transfers must continue to meet all above conditions, in addition to the requirements of the FTA and BIA.
- Projects may be subject to an audit by the Independent Office of Audits and Investigations to evaluate the following:
 - Performance of the project
 - Whether project costs incurred and reimbursed are compliant with the following:
 - Executed project agreement and/or approved amendment(s)
 - State and Federal laws and regulations
 - Contract provisions
 - Program Guidelines
 - Consistency with project scope, schedule and benefits described in the executed project agreement and/or approved amendment(s), and approved project application.
- Caltrans manages the ATRC to provide training, resources, tools and technical assistance to ATP awardees. Please visit the ATRC website and to join the ATRC [list serve](#).

If you have any questions about your project or the ATP, please contact your DLAE or your Caltrans Headquarters (HQ) ATP Manager:

| Districts (D) or Project Type | Caltrans HQ ATP Manager | Email |
|---|-------------------------|--|
| D 1, 2, 3, 4, & 5 Infrastructure Projects | Desiree Fox | desiree.fox@dot.ca.gov |
| D 6, 9, 10, & 11 Infrastructure Projects | Cirilo Salilican | cirilo.salilican@dot.ca.gov |
| D 7, 8, & 12 Infrastructure Projects | Elijah Hall | elijah.hall@dot.ca.gov |
| Plan and NI Projects | Michael Hutnick | Michael.Hutnick@dot.ca.gov |

Sincerely,



DEE LAM
Division of Local Assistance, Chief

Enclosure

FedAid Process Flowchart

c: DLAEs, Caltrans Districts

Sujaya Kalainesan, Assistant Division Chief, Caltrans HQ

Cathy McKeon, State Programs Office Chief, Caltrans HQ

Desiree Fox, ATP Manager North, Caltrans HQ

Cirilo Salilican, ATP Manager Central, Caltrans HQ

Elijah Hall, ATP Manager South, Caltrans HQ

Michael Hutnick, ATP Manager Plans and NI (Acting), Caltrans HQ

Felicia Haslem, Project Implementation North Office Chief, Caltrans HQ

Robert Nguyen, Project Implementation South Office Chief (Acting), Caltrans HQ

Laurie Waters, Associate Deputy Director, CTC