

California Department of Transportation  
DIVISION OF MASS TRANSPORTATION  
State Transit Programs Branch

# State Transit Programs and Transportation Development Act Program Desk Procedures Manual



2013

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## INTRODUCTION

The purpose of this 2013 Desk Procedures Manual is to provide guidance to new and existing Caltrans staff for five State Transit Programs, and for the Transportation Development Act Program, in the Division of Mass Transportation (DMT). The manual provides an overview of the programs, clarifies the procedures for administering these programs, while promoting consistency in monitoring the projects funded under the specific programs.

- The manual is intended to be a living document that will be updated as needed. We invite input from Caltrans staff in the development of this manual and for any updates.

This branch is primarily responsible for the administration of state funded programs that provide for capital improvement projects and operating assistance. The result of funding these types of projects helps to accomplish the following:

- Encouraging and stimulating the development of transit as a part of the interregional and regional transportation system in order to make mass transportation the preferred travel option.
- Supporting the mitigating improvements necessary to free congestion on highways and local streets and roads through mass transportation alternatives so that all people, goods, and services have mobility options.
- Providing financial and management assistance statewide towards increased availability, efficiency and effectiveness of transit.
- Developing strategic interagency partnerships to meet the increasing demand for better travel options.
- Providing funding assistance for transit services that support the elderly, persons with disabilities, and rural or economically disadvantage areas.

An electronic copy of this publication can also be found on the DMT at [http://www.dot.ca.gov/hq/MassTrans/state\\_grants.html](http://www.dot.ca.gov/hq/MassTrans/state_grants.html).

The California Department of Transportation (Caltrans) sponsors many different state and federal transportation funding programs. If you are interested in learning about these programs we suggest visiting the following website:

[http://www.dot.ca.gov/hq/LocalPrograms/lam/Transportation\\_Funding\\_Guidebook.pdf](http://www.dot.ca.gov/hq/LocalPrograms/lam/Transportation_Funding_Guidebook.pdf).

# **Chapter 1**

## **OVERVIEW OF STATE TRANSIT PROGRAMS**

The Division of Mass Transportation's (DMT) primary responsibility is the administration of State and Federal Grant Programs that provide funding for operating assistance and capital improvement projects. Both DMT and Caltrans districts staff provide technical assistance to agencies responsible for public transportation services. Our products help agencies to purchase buses, rolling stock, support rural and urban transit systems, support commuter and urban rail services and waterborne ferry operations, and implement demand-responsive services accessible to the elderly, disabled and lower income.

DMT responsibilities are carried out through two offices – the Office of Federal Transit Grants, and the Office of Transit Programs, which both support the development of a multi-modal transportation system.

This Desk Procedures Manual is for the State Transit Programs Branch, which administers State-funding improvement programs for transit, ferry, and rail projects. Programs managed by this office include the following: the Mass Transportation components of the State Transportation Improvement Program (STIP), State-Local Partnership Bond Program (SLPP), Proposition 116 Bond Program, Proposition 1A Commuter and Urban Rail High-Speed Train Connectivity and Traffic Congestion Relief Program (TCRP).

- Our core responsibilities include the management of capital project programming and funding actions according to the California Transportation Commission (CTC) program criteria and guidelines, preparation and execution of Master Agreements and Program Supplements, and providing direction and oversight to district staff for project management and delivery of transit projects. The State Transit Programs Branch also oversees the Transportation Development Act (TDA) allocation criteria and assists recipients of these funds.

### **1.1 State Transportation Improvement Program (STIP)**

The State Transportation Improvement Program (STIP) is a five-year capital improvement program adopted by the California Transportation Commission (CTC) every two years. The STIP assists the State and local entities to plan and implement transportation improvements and utilize resources in a cost-effective, efficient, and responsible manner. All STIP projects must be capital projects (including project development costs) needed to improve the transportation system. Projects generally include but are not limited to, improving state highways, local roads, public transit (including bus procurements), intercity rail, pedestrian and bicycle facilities, grade separations, transportation system management, transportation demand management, sound

walls, intermodal facilities, safety, and environmental enhancement and mitigation, (including transportation enhancement projects).

Under Senate Bill 45, STIP funding is split in two ways, 25 percent to Interregional Transportation Improvement Program (ITIP) projects nominated by Caltrans and 75 percent to regional transportation planning agencies for Regional Transportation Improvement Program (RTIP) projects. County shares are available solely for projects nominated by regions in their regional TIPs. The Caltrans ITIP will nominate only projects for the interregional share. Complete STIP guidelines can be found at: <http://www.catc.ca.gov/>.

## **1.2 Traffic Congestion Relief Program (TCRP)**

The two enabling pieces of legislation that created the Traffic Congestion Relief Program (TCRP) were Assembly Bill (AB) 2928 (Torlakson, Chapter 91, Statutes of 2000) and Senate Bill (SB) 1662 (Burton, Chapter 656, Statutes of 2000).

Through the TCRP, more than \$5.3 billion in funding was identified for specific projects that sought to relieve traffic congestion, provide for the safe and efficient movement of goods, and provide intermodal connectivity of transportation systems throughout California. Approximately \$2.6 billion was designed to fund over 50 local transit projects. The funding for each project is specifically identified in the SB 1662 bill language. Complete TCRP guidelines can be found at: <http://www.dot.ca.gov/hq/transprog/ocip/guidelines.htm> and [http://www.dot.ca.gov/hq/MassTrans/state\\_grants.html](http://www.dot.ca.gov/hq/MassTrans/state_grants.html).

## **1.3 Proposition 116 Clean Air and Transportation Improvement Act (Prop 116)**

In June 1990, voters approved the Proposition 116, the Clean Air and Transportation Improvement Act (CATIA). The CATIA provided \$1.99 billion in general obligation bonds to finance the acquisition, construction and improvement of rail, transit, bicycle, and water-borne ferry projects. The intent of the CATIA program was to reduce traffic congestion and air pollution as well as provide better transportation options for all Californians through feasible, cost-effective capital projects. The CATIA designated the CTC to oversee the following four programs and the appropriated amounts for each:

- Rail \$1.850 billion
- Non-urban County Transit \$73 million
- Waterborne Ferry \$30 million
- Competitive Bicycle \$20 million

Additional information about the CATIA of 1990 can be found at:  
[http://www.dot.ca.gov/hq/MassTrans/state\\_grants.html](http://www.dot.ca.gov/hq/MassTrans/state_grants.html)

#### **1.4 Prop 1B State-Local Partnership Program (SLPP)**

On November 7, 2006, Proposition 1B, the Highway Safety, Traffic Reduction, Air Quality, and Port Security Bond Act was approved. Proposition 1B is a comprehensive transportation bond investment package designed to help advance important goals and policies. These include: protecting the environment and public health, conserving energy, reducing congestion, providing alternative mobility, and access choices for California. Under Proposition 1B, \$1 billion was authorized for the State-Local Partnership Program (SLPP), upon appropriation by the Legislature, for allocation by the CTC over a five-year period, to eligible transportation projects nominated by transportation agencies. The program is split into two sub-groups – a formula program to match local sales tax, property tax and/or bridge tolls (95 percent) and a competitive program to match local uniform developer fees (5 percent).

In accordance with Section 8879.73 of the Government Code, the CTC will select projects nominated by eligible agencies for the competitive grant program. No single competitive grant may exceed \$1 million. The CTC will consider approval of a competitive grant only when the request meets the requirements of the statute and the project has a commitment of the required local match and any supplementary funding needed for full funding. Complete SLLP guidelines and supporting documents can be found at: <http://www.catc.ca.gov/programs/SLPP.htm>.

#### **1.5 Prop 1A High-Speed Train Urban and Commuter Rail Program (Prop 1A)**

The Safe, Reliable High-Speed Passenger Train Bond Act was approved by the voters as Proposition 1A on November 4, 2008. It authorized the CTC upon appropriation by the Legislature, to allocate funds for capital improvements to intercity rail lines, commuter rail lines, and urban rail systems. Projects that demonstrate direct connectivity to the high-speed train system and its facilities, or that are part of the construction of the high-speed train system as set forth in the Streets and Highways Code, Division 3, Chapter 20, Section 2704.04, subdivision (b) or that provide capacity enhancements and safety improvements will be considered. Section 2704.095 requires the CTC to program and allocate the net proceeds received from the sale of \$950 million in bonds authorized under Proposition 1A for the High-Speed Passenger Train Bond (HSPTB) program. Additional information can be found at: <http://www.catc.ca.gov/>.

## **Chapter 2**

### **PROJECT PROGRAMMING**

This chapter discusses the programming process for five state transit programs administered by the DMT. (Note: The PTMISEA Program is a State Transit Program that is not covered in this particular Desk Procedures Manual. If you want to learn about the PTMISEA program, please check with the PTMISEA Branch Chief.) Please refer to the flow chart at the end of this chapter for additional information.

#### **2.1 Project Study Report**

Any new project seeking inclusion in either the RTIP or ITIP should have a completed Project Study Report (PSR) or a PSR equivalent. For transit projects, a Uniform Transit Application (UTA) is the PSR equivalent. A UTA will, at the minimum, be adequate to define and justify the project scope, cost and schedule to the approval of the regional agency. This requirement applies to the programming of project development components as well as to right of way (R/W) and construction. The UTA does not need to be submitted with the RTIP or ITIP when programming in the STIP. However, CTC staff may request copies of a UTA to document the project's cost and deliverability. A UTA is also used for programming of projects and funds for Proposition 116 transit projects. A template for a UTA can be found at:

[http://www.dot.ca.gov/hq/MassTrans/state\\_grants.html](http://www.dot.ca.gov/hq/MassTrans/state_grants.html).

#### **2.2 Environmental Requirements**

In compliance with Section 21150 of the Public Resources Code, the CTC may not allocate funds to local transit agencies for design, R/W, or construction prior to environmental clearance under the California Environmental Quality Act (CEQA) which can be found at:

<http://ceres.ca.gov/ceqa/guidelines/>. The CTC may program funding for project R/W or construction if it determines that the sponsoring agency will complete the environmental process and can proceed with the R/W acquisition or construction within the five-year period of the STIP. Before a project allocation request can be added to a CTC monthly meeting agenda, an E-Resolution or Categorical Exemption (CE) must be attained by the lead agency and approved by CTC staff. In any request that does not include an E-Resolution or CE, will not go forward for a CTC vote. The complete process for submitting environmental documents to the CTC can be found at: <http://www.catc.ca.gov/index.htm>.

#### **2.3 Caltrans/Regional Consultations**

An important step in the development of the RTIPs and ITIP is the consultation period between the Regional and Metropolitan Transportation Planning Agencies (RTPA/MPO) and Caltrans. In part, Caltrans will advise regional agencies of projects that may be or are likely to be included in

the ITIP. This collaboration allows the regional agencies to consider and advise Caltrans regarding the potential impact of the ITIP in the programming of projects in the RTIP. Transit agencies are encouraged to engage in continuous, collaborative and comprehensive consultation with their RTPA/MPO and their local Caltrans district planning office. The ultimate goal is to select the best possible modal alternative early in the planning process.

## **2.4 Regional Transportation Improvement Programs (RTIPs)**

After consultation with Caltrans district planning staff, each regional agency must adopt and submit its own RTIP no later than December 15 of each odd numbered year for consideration of project programming in the STIP. Each RTIP should include and identify the following points:

- Programming proposals from the county's share(s), consistent with the STIP fund estimate. These proposals may include new projects or changes to prior STIP projects.
- Programming proposals from the county Advance Project Development Element share.
- Request to advance a future county share for a larger project, if any.
- Any project recommendations for the interregional share.

Each RTIP should be based on the regional transportation plan and a region-wide assessment of transportation needs and deficiencies.

## **2.5 Commission Adoption/Action**

If an RTIP is approved and accepted by the CTC, it will include those approved projects in the next adoption of the STIP. The CTC will include all RTIP projects nominated from the county share for the four-year share period that end during the current STIP. However, the CTC may also reject an RTIP in its entirety if it determines the following the factors:

- RTIP not consistent with the STIP guidelines
- Insufficient funds to implement the RTIP
- Conflicts with other RTIPs or with the ITIP
- Project is not an approved Corridor Management Plan or is not included in a separate listing in the approved RTIP as provided by Government Code 65082
- RTIP is not a cost-effective expenditure of state funds

A decision not to program any of the proposed projects does not constitute or require a rejection of the RTIP. Any portion of the county share for the four-year period that is not programmed in the current STIP will remain available for programming within the same period in the subsequent STIP.

## **2.6 SLPP Programming of Projects**

As stated in Chapter 2, the SLPP is split into two sub-groups – a formula program to match local sales tax, property tax and/or bridge tolls (95 percent), and a competitive program to match local uniform developer fees (5 percent). The CTC is required to adopt an annual program of projects by October of each fiscal year. Projects under the formula-based program will consist of nominated projects submitted by eligible applicants and approved by the CTC for programming. Projects under the competitive grant program will be selected by the CTC for programming as well. The CTC will only consider competitive projects for which complete nominations are received in the CTC office by the deadline stated in their guidance. Any SLPP funds that are not programmed in any specific fiscal year will remain available for programming in future years. Each eligible applicant must submit its nomination of projects using the standard Project Program Request (PPR) form. A PPR should include and identify the following:

- Amount of SLPP funds being requested.
- A project description, including the cost and scope and the project benefits.
- A description of the project's current status, including current phase of delivery, and project schedule for completion of construction or acquisition.
- A description of how the project would support transportation and land use regional planning goals.
- Amount and source of matching funds.

For additional information about the SLPP can be found at:  
<http://www.catc.ca.gov/programs/SLPP.htm>.

## **2.7 Proposition 116 Programming of Projects**

The programming of projects under the Proposition 116 program requires an agency to submit a Uniform Transit Application (UTA) to the CTC and the State Transit Branch (STB) for review. A complete UTA should be accompanied by an agency letter formally requesting programming of funds under the appropriate Public Utilities Code, a complete Bond Questionnaire form (Attachment A), and a concurrent letter from the regional planning agency. The CTC staff will review the application and provide a recommendation to the CTC at a monthly meeting. A copy of the UTA as well as instructions and applicable forms can be found at:  
[http://www.dot.ca.gov/hq/MassTrans/state\\_grants.html](http://www.dot.ca.gov/hq/MassTrans/state_grants.html).

## **2.8 TCRP Programming of Projects**

Programming of TCRP transit projects are handled by the agency project manager, district contract manager, STB and the Office of Capital Improvement Program (OCIP). The agency

project managers of local TCRP transit projects identified under existing statute are required to submit a PPR form including supporting documentation. This information is sent to the District Contract Manager for review. Following district review, requests should be forward to the Office of STB for an additional review period. Once the request has been thoroughly vetted, it will be forward to OCIP for consideration for programming action by the CTC at a monthly meeting. Programming of TCRP projects will only come from a selected list set-forth under SB 1662 chaptered in FY 2000-2001. A complete programming request should include the following:

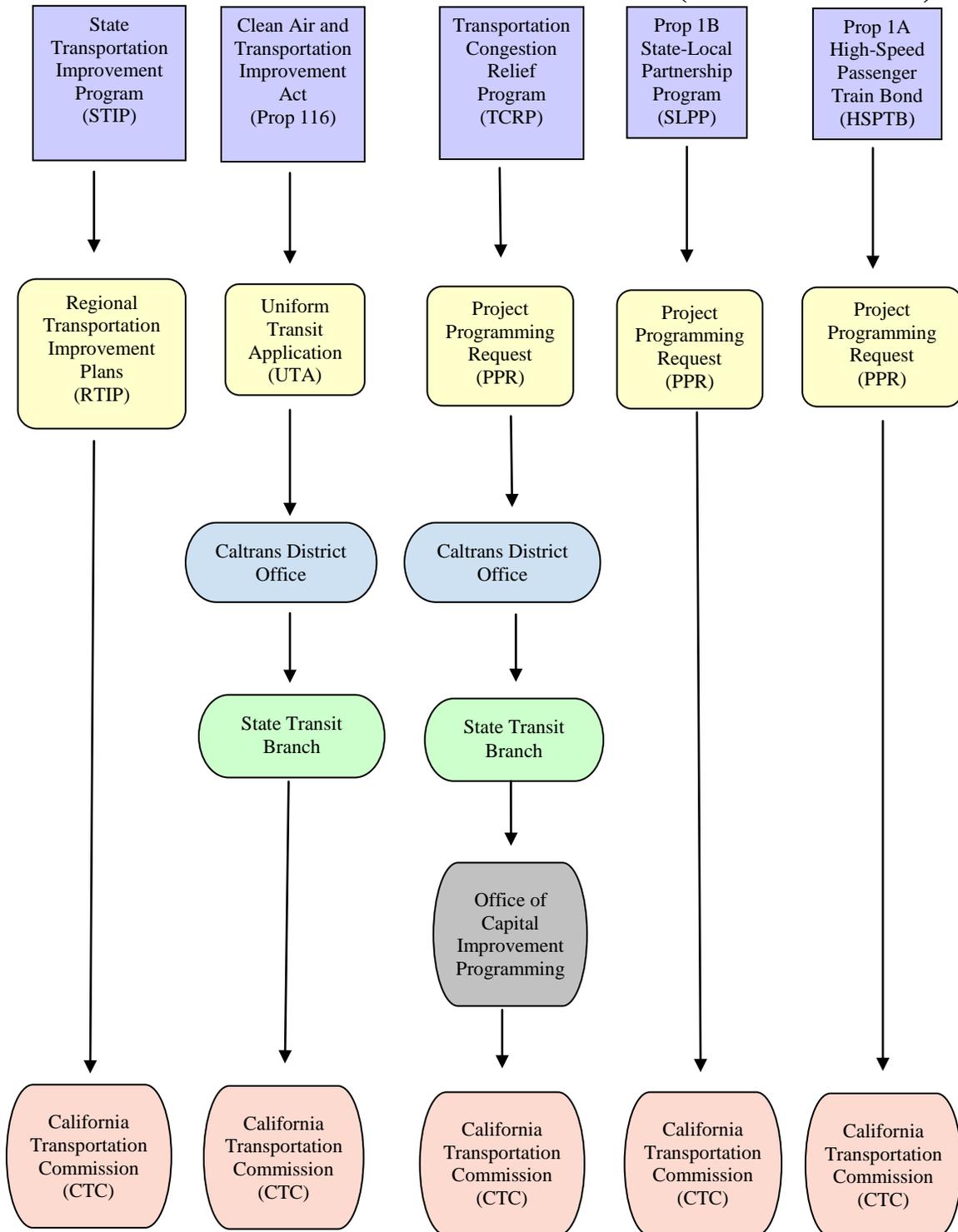
- Complete PPR form
- Agency letter
- Environmental documents, if applicable
- Financial supporting documents, if applicable

More information about the TCRP can be found at:  
<http://www.dot.ca.gov/hq/transprog/ocip/guidelines.htm>.

## **2.9 High-Speed Train Urban/ Commuter Rail Connectivity Programming of Projects**

The CTC will adopt the Commuter and Urban Rail Program by programming a total of \$760 million which will be divided among eligible applicants using a formula distribution that will incorporate track miles, vehicle miles and passenger trips. The CTC will program only projects that can demonstrate a fully funded project using a combination of HSPTB program and other committed funding. The CTC will review and approve each programming request on case-by-case basis. It will consider funds as committed when the applicant has demonstrated commitment of non-HSPTB funds through an approved ordinance or resolution by its governing board or commission. Each project application must meet the criteria set forth in Section 2704.095 (c) through (j) of the Streets and Highway Code. Priority will be given to those projects that demonstrate a direct connectivity to the high-speed train system. HSPTB guidelines can be found at: <http://www.catc.ca.gov/index.htm>.

## PROJECT PROGRAMMING PROCESS (FLOWCHART)



## **Chapter 3**

### **ALLOCATION REQUESTS, AMENDMENTS AND TIME EXTENSIONS**

Under Government Code Section 14085, Caltrans has been given the responsibility to ensure that all requests are consistent with the CTC policies and guidelines. Specific detailed information must be provided to Caltrans district staff by the agency project manager in order to make an accurate and appropriate recommendation. This chapter discusses the different types of requests as well as the process for submittal of allocation requests, time extensions and programming amendments.

#### **3.1 Allocation Requests**

Excluding the TCRP and PTMISEA, the STIP, Proposition 116, SLPP, and HSPTB allocation requests are administered the same. When an eligible local agency is ready to proceed with a project that has been previously programmed by the CTC, an “Allocation of Funds Request Package”, will be submitted to the appropriate Caltrans district transit representative. The district contract manager will then review the request and prepare a package that includes the Allocation and Checklist form (Attachment E). A district recommendation in the form of a written memo or letter expressing the support or non-support for the allocation request must also be included as part of the request package. It is the responsibility of the district contract manager to ensure that each request contains all the necessary information before it is forwarded to Headquarters (HQ). An allocation request should contain the following items:

- Allocation and Checklist form
- Signed agency letter
- Project description
- Scope of Work (SOW)
- Overall funding plan (Attachment B)
- Project financial plan (Attachment C)
- Project development schedule (Attachment D)
- Description of project outputs and outcomes
- Environmental documents, if applicable (if exempt include section)
- R/W approval letter, if applicable
- Complete and signed Bond Questionnaire (only applicable to bond projects)
- District recommendation

Allocation requests pertaining to R/W should also include:

- The number of parcels being purchased under the current request
- Name(s) of current owner(s)

- Current use of land
- An estimate of the cost for non-operating rail R/W under \$2 million
- Appraisal for non-operating rail R/W over \$2 million
- A signed Hazardous Waste Indemnification resolution

A copy of the Allocation and Checklist form as well as complete guidelines for the Caltrans R/W process for rail projects can be found at: [http://www.dot.ca.gov/hq/MassTrans/state\\_grants.html](http://www.dot.ca.gov/hq/MassTrans/state_grants.html).

### **3.2 Project Identification Number**

As part of the new Enterprise Resource Planning Financial InfraStructure (E-FIS) accounting management system implementation, project allocation requests under the STIP, Proposition 116, SLPP, and HSPTB program must now include Project Identification Numbers (Project ID). A Project ID consists of a ten digit numerical number unique to the project. The Project ID functions similar to an EA, where a project can be tracked by using the Project ID. The Project ID will be generated by HQ staff at the DMT and will involve completing a Cost Accounting Set up (CAS) document in the Account Management System (AMS) at the time of allocation request submittal. Project ID's will then be forwarded to the Division of Budgets as part of the allocation request, a CTC vote box will then be created and included in that month's CTC agenda items.

### **3.3 TCRP Allocation Requests**

TCRP allocation requests require CTC approval. They should be processed through the district contract manager, headquarters program manager, and finally OCIP. Local recipients that wish to request an allocation under this program should submit a PPR along with an agency letter and supporting documents to the district contract manager. Allocation requests follow the same process as programming request. Once a request is considered acceptable for inclusion in the meeting agenda, the OCIP will prepare a resolution book item, which will be forwarded to the CTC for appropriate action. Additional information can be found at: <http://www.dot.ca.gov/hq/transprog/ocip.htm>.

### **3.4 Caltrans Review Period**

An eligible applicant of State funds for the STIP, Proposition 116, SLLP, and HSTPB programs should submit an allocation request to the district contract manager in a timely manner. The district contract manager is responsible to ensure that all requirements and provisions have been met by the applicant. Once the district contract manager completes its review, an Allocation Page and the Checklist form (Attachment E), should be forwarded to the state transit branch at

HQ for a second level review period. Both the district contract manager and the HQ program manager should be cognizant of CTC deadlines and allow ample time for processing of allocation requests. The CTC Preparation Calendar Schedule for submittal deadlines can be found by visiting the following web link: <http://www.dot.ca.gov/hq/transprog/ctcliaison.htm>.

Upon receiving a complete allocation request, the headquarters program manager will work with the district contract manager to clarify any misunderstandings or potential project risks. Additional information may be exchanged between the local agency, contract manager and HQ program manager, if necessary. This second level review period is important for it allows an opportunity to make any final corrections before submittal. Our ultimate goal is to assist the recipient in submitting a request that is accurate and detailed. The request will then be forwarded to the Caltrans Division of Budgets and to the Office of California Transportation Commission Liaison (OCTCL) for inclusion in the CTC monthly preliminary agenda.

### **3.5 Programming Amendments/Approvals**

An amendment should be requested and be used to change or update the project scope, cost, schedule, or program year of projects. All funding sources require, at a minimum, an amendment request containing the following:

- Complete PPR (except for Prop 116)
- Concurrent letter(s) from the appropriate lead agency and regional planning agency
- Updated financial plan and project schedule information

Please refer to the Amendment Request Process flow chart located at the end of this chapter which illustrates the process for each program. Additional information and submittal forms can be found by visiting the OCIP website at: <http://www.dot.ca.gov/hq/transprog/ocip.htm>.

### **3.6 Time Extension Requests**

Time extension requests require a completion of a time extension checklist form. There are four different types of time extension requests:

- Allocation Deadline (only for STIP projects).
- Third Party Contract Award Deadline.
- Project Completion Deadline.
- Project Reimbursement Deadline.

The agency letter officially requesting a time extension must contain the following information:

- Length of delay (specify amount of time needed no more than 20 months allowed)

- Reason for delay (specifically explain contributing factors)
- Steps taken to resolve the delay
- Updated project schedule
- Updated financial plan (reflect current draw down schedule)
- Percentage of project completed
- New delivery date

Upon reviewing the time extension request, the district contract manager will provide a recommendation along with the request package and forward to HQ for further review. It is the responsibility of the HQ program manager to fully review the request and ask for any additional information or clarification prior to submittal to the OCTCL. In addition, the HQ program manager is also responsible for completing the resolution book item to be included in the CTC meeting agenda. The book item will be prepared by the HQ program manager in accordance with CTC guidelines and policies. Once complete, it will be routed for approval through the DMT Chief and the Deputy Director Planning and Modal Programs. Complete copies of the forms can be found at: <http://onramp.dot.ca.gov/hq/transprog/>.

### **3.7 Letter of No Prejudice**

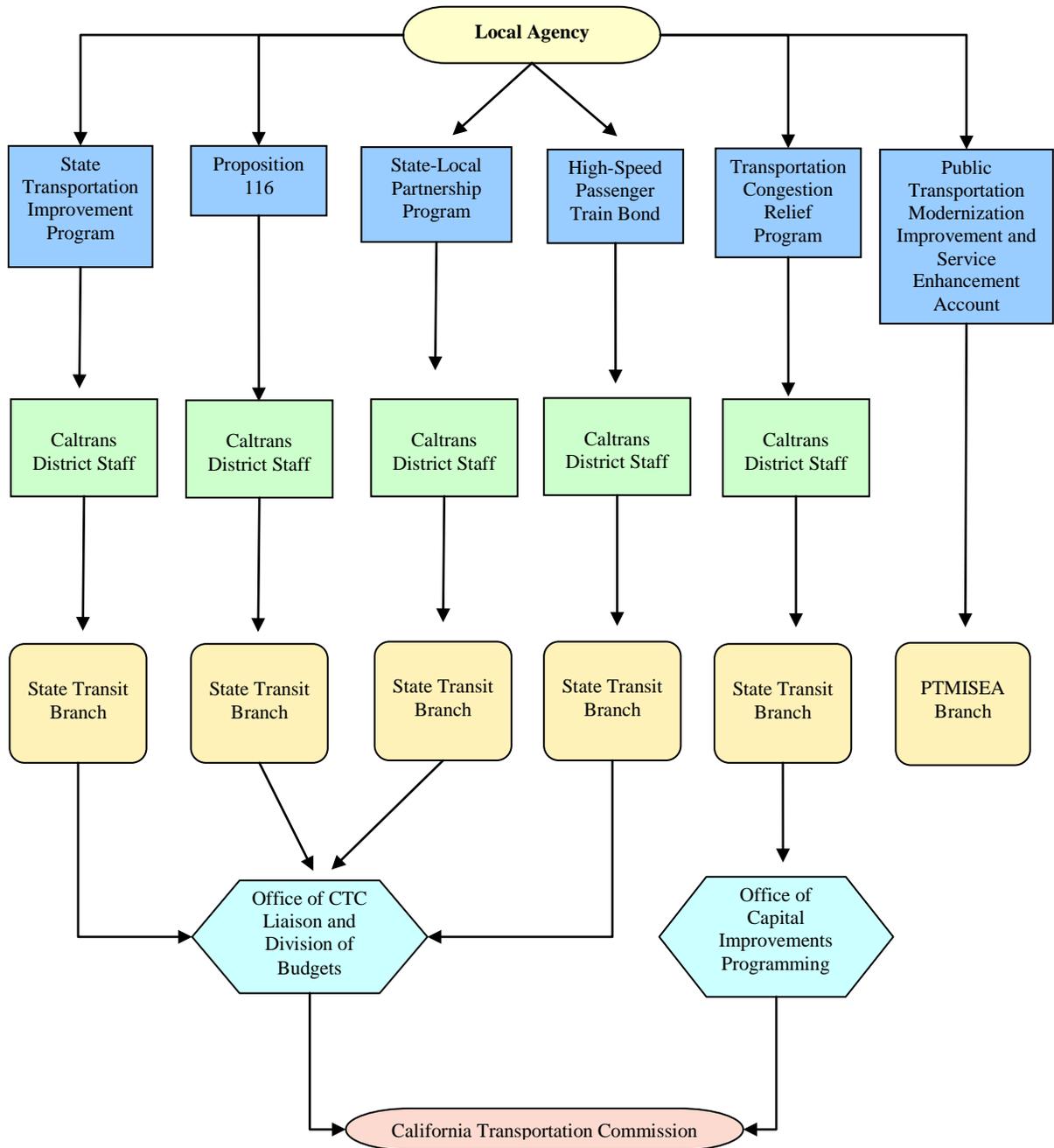
Letter of No Prejudice (LONP) allow for an agency to expend their local funds for any component of the transportation project and seek reimbursement at a later date. However, reimbursement of expended local funds is highly dependent on future availability of funding.

A LONP request under the Proposition 1A and 1B programs will be considered by the CTC on a case-by-case basis. Eligible agencies are required to provide the following documents with their LONP request:

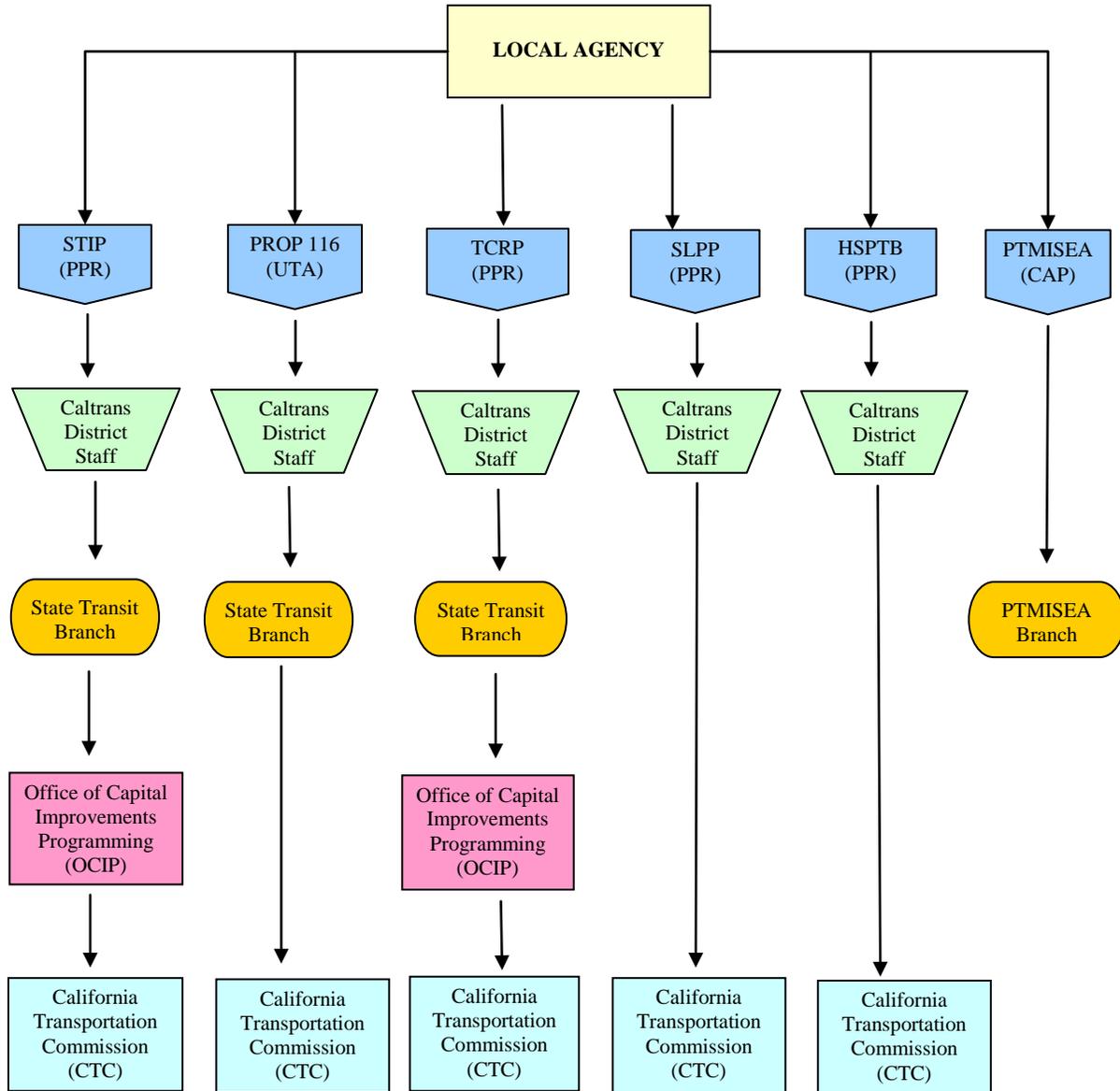
- Signed Agency Letter.
- Project Overall Funding Plan.
- Project Financial Plan.
- Project Schedule.

LONP request should be submitted to the appropriate district transit staff. Upon review by district staff, the request will then be forwarded to the STB for further processing. Agenda language will be provided and a book item resolution will be prepared by the STB and expedited with a pink route slip through the DMT Chief and the Deputy Director, Planning and Modal Programs.

## ALLOCATION REQUEST PROCESS (FLOWCHART)



## AMENDMENT REQUEST PROCESS (FLOWCHART)



## **Chapter 4**

### **SENATE BILL 580 REVIEW PROCESS**

California Government Code Sections 14085 – 14088 requires Caltrans to assess the ability of a local, regional or state agency to effectively manage a specific project while meeting all State and federal laws and regulations. The requirement of Government Code Section 14085 apply to all phases of guideway project development and implementation including, “project planning, design, R/W, construction, acquisition, or improvement of exclusive public mass transit guideway (and their related fixed facilities, power systems, passenger facilities, vehicles and equipment).” Included within this review is an assessment of the recipient’s ability to carry out the project as planned in a timely and cost-effective manner.

A public agency responsible for developing a guideway project must submit the following items to Caltrans for review and approval prior to the implementation of any guideway project or project phase financed in its entirety or in part with state or federal funds:

- An overall project financing plan and overall project development schedule, and
- The policies, procedures, and performance standards for such matters as the project’s management control system, public hearings, location studies, preliminary engineering investigations, and environmental impact studies; plans, specifications, cost estimates; acquisition of R/W and other related real properties; relocation assistance; contract provisions, bidding and awards, change orders, payments, audits, contractor claims; material and equipment testing.

Although an approval may be for the complete development of a project, approvals are ordinarily given for the receipt of funds from specific State allocations or multi-year funding commitments and for the receipt of funds from specific federal grant program formula funds, or multi-year full funding agreements. An approval may also be limited by project stage (e.g., for design but not for construction) or by geographical segment or other unit work.

The SB 580 Review begins with the pre-allocation process. The SB 580 Review is only one component of the project funding process.

#### **4.1 Split Level Review Process**

The SB 580 Review process is divided into two phases: the “Agency Certification” and the “Project Certification.” This split-level review can avoid the need for repetitive in-depth reviews of the recipient’s overall policies, procedures, and performance standards for each allocation. The Agency and Project Certifications can be done simultaneously, if the recipient is ready to submit all the SB 580 Review information at one time. Both phases of the review are approved

prior to the allocation of funds to a recipient and prior to completion of a Master Agreement and Program Supplement which will be discussed in the next chapter. There are many activities and requirements that must be accomplished by potential recipients, Caltrans, and the CTC in order to provide State funds for the projects in a timely manner.

## **4.2 Caltrans Review Methods**

There are two methods for evaluating a recipient for a SB 580 Review. The first and most common method is a detailed review of the recipient's policies, procedures and performance standards - project management plan, project development schedule, and overall financial plan.

The alternative method is to review the recipient's past experience. If the recipient has recently and successfully completed a comparable project of similar size and scope that involved an environmental analysis, then this demonstrates that they have the necessary policies procedures and performance standards in place. The recipient should provide a written statement and a copy of the current project development schedule of the comparable project to the district contract manager to verify their experience and approval. The district contract manager sends a copy of the approval to the headquarters program manager. Approval of the recipient's experience will be accepted in lieu of the SB 580 Review.

## **4.3 Agency Certification**

The agency certification is a one-time review of a potential recipient's policies, procedures, and performance standards. This review can be done well in advance of the project certification to save time during the allocation approval process. The agency certification consists of the following components:

- Management Control Standards requirements:

Organization Plan – a chart that reflects the reporting relationship between the board of directors (or governing board for public agencies), the executive officer, project manager, and subordinates. The organizational chart should show the accounting, auditing, and other administrative areas involved with the project.

Staffing Plan – a list of a recipient's job classification involved in the project and a description of responsibilities for each classification.

Accounting and Reporting Procedures – HQ program management will contact Caltrans Audits and Investigations (A&I) staff for approval of the recipient's accounting and cash management procedure to determine whether the recipient complies with guidelines established by the SCO,

and Federal cost principles as described in 48 CFR, Federal Acquisition Regulations System, Chapter 1, Part 31.

Audits and Investigations staff should also verify whether the recipient has the following:  
An accounting system capable of accounting for all project costs; the capability to report costs; the ability to track costs at a level sufficient to control the project; the ability to track contract costs separately; a method of distributing indirect costs to the project.

Internal Management Controls – the quality of a recipient’s internal management controls is a strong indicator of whether the recipient is likely to succeed.

Third Party Contract Audit Procedures – the recipient’s procedures for auditing third parties (subcontractors and supplies) to ensure the funds are being spent appropriately during the construction phase of the project.

If any of the Accounting and Reporting Procedures is not approved, the Program Manager may request a pre-award audit/evaluation be conducted by Caltrans A&I.

- Environmental Analysis includes:

Policies for public hearings and public participation, location studies, preliminary engineering and economic investigations, and environmental impact studies are required by either State or federal laws, depending upon whether federal funds are involved. Recipients are required to comply with National Environmental Policy Act (NEPA) for federally funded projects. For State funded projects, recipients are required to comply with the CEQA. In addition, recipients must comply with the Public Meetings Act for both State and federally funded projects, and the following:

- Requirements for Plans, Specifications and Estimates include:

Procedures for approving, plans specifications and estimates; and they should have a method for developing cost estimates.

- Requirements for Property Acquisition and Relocation Assistance include:

Approval of the Caltrans Right of Way Program, or use of the services of an agency that has been prequalified by Caltrans to carry out R/W activities. The Right of Way program also approves agencies on a project-by-project basis to carry out right of way activities, and sometimes will certify an agency for only a portion of the activities. Current policies require that an appraisal must be conducted before the CTC will allocate funding. The headquarters Right of Way Program is responsible for ensuring that the recipient is either certified by Headquarters

Right of Way to do right of way acquisition, or will work with the recipient from the outset to negotiate R/W acquisition.

The HQ Right of Way Program should contact the R/W Asset Manager to ensure the recipient is approved to carry out R/W activities and find out exactly what activities they are approved for.

Guidelines for Caltrans R/W Review Process for Rail Projects can be found on line at:  
[http://www.dot.ca.gov/hq/MassTrans/state\\_grants.html](http://www.dot.ca.gov/hq/MassTrans/state_grants.html).

- Contract administration requires:

The recipient should have policies and procedures for all aspects of contract administration. Please see Federal Rules and Regulations, “49 CFR, Part 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to state and local governments.”

For more information about 49 CFR, Part 18 please go to:

<http://www.dot.gov/ost/m60/grant/49cfr18.htm>.

#### **4.4 Project Certification**

The project certification process consists of a project-specific review of the financial plan, development schedule, and project management plan. The project certification can be for the total project, a phase of the project, or for a single allocation request. Caltrans prefers that the recipient apply for project certification for the entire project at one time if possible. The following points explain the purpose of a project-specific review process for an entire project:

- Overall Project Financial Plan – the primary purpose of the overall project financial plan is to provide an assessment of whether the potential recipient has secured sufficient funds to deliver the proposed project. The SB 580 Review should provide an assessment of a project’s expected cost, estimated by the recipient and an evaluation of the certainty of the project revenues. The project financial plan should include a detailed breakdown of projected annual revenues by all sources of capital funds that will be used to finance the total project cost. This information should be broken out by prior, current, and future expenditures for the entire project. The financial plan may be stated in either constant dollars or escalated dollars. If it is stated in escalated dollars, the reasons for selecting the particular escalation or inflation rate for revenues and costs should be stated.
- Overall Project Development Schedule – the primary purpose of the review of the overall project schedule is to assess the reasonableness of the recipient’s estimated project completion date.
- Project Management Plan - the primary purpose of the review of the project management plan is to obtain a detailed explanation for how the recipient will control the project schedule

and project costs. It is an assessment of the recipient's staff capability, staffing levels and management organization. It allows Caltrans to determine if sufficient local oversight of the project will be in place to effectively manage, monitor and deliver the proposed project.

#### **4.5 Final Approval of Agency and Project Certifications**

After Caltrans staff conducts the policies, procedures, and performance standards analysis, overall project financial plan, overall project development schedule, and the project management plan, HQ staff prepares a written recommendation for the STB chief. Upon approval, the headquarters program manager prepares a letter to the recipient. This letter serves as official notification to the district contract manager and agency project manager of approval or disapproval by Caltrans. The decision will be based on the policies, procedures and performance standards, overall financial plan, schedule of development, and project management capabilities of the agency and their proposed project.

#### **4.6 SB 580 Waivers**

Government Code Section 14088 states, "For emergency conditions and for those minor improvement projects which are not interrelated to proposed projects of greater scope, the director may waive any or all of the requirements of Section 14085 when such action is in the public interest."

- A. Waiver requested by recipient – a potential recipient may request a waiver by writing a letter on their agency letter head to the HQ program manager in the DMT. The letter should include a brief description of the project, the project cost, and the circumstances justifying a waiver.
- B. Waiver originated by Caltrans – Caltrans may waive some or all of the requirements of the SB 580 Review if the project funding application and other information available clearly indicate that a waiver is warranted. A minor improvement project, for purposes of a waiver, includes any guide way project that is not related to the development or construction of either a new guide way system or an extension of an existing guide way system. Caltrans will consider the following factors when determining whether to waive SB 580 requirements:
  - Overall project size and degree of complexity.
  - Past experience of the recipient and its present staff in managing projects of a similar type and complexity.

- The degree to which project implementation depends on funding that may not become available (e.g., federal discretionary funds that have not been committed or revenues from a sales tax that has not yet been enacted).

#### **4.7 Feasibility Studies**

Waivers may or may not be approved for feasibility studies depending upon: the scope of work and dollar amount involved, whether the study will be part of a larger project, whether the recipient already has an approved agency certification, and whether the recipient is experienced in the type of work being proposed. A waiver will most likely be approved if the recipient has extensive experience in the type of work being proposed, the recipient has an approved agency certification, and if the scope of work and dollar amounts involved is insignificant. Waivers will not be approved for feasibility studies under any other circumstances.

## **Chapter 5**

### **MASTER AGREEMENT AND PROGRAM SUPPLEMENT**

Beginning on February 2, 2001, the Division of Procurement and Contracts (DPAC) delegated authority to the DMT, to execute Master Agreements (MA) and Program Supplements (PS) with local government agencies (cities, counties, metropolitan planning agencies, regional transportation planning agencies, and transit operators) for State funded transit projects. These two documents have replaced the Fund Transfer Agreement formally used by the STB program.

#### **5.1 Master Agreement**

The MA for State funded transit projects is an agreement between Caltrans and the local recipient requesting State funding. It contains the legal, contract-related language specific to the individual recipient and covers all transit-related applications throughout the ten-year term of the agreement. Caltrans or the local recipient have the option of modifying the terms and provisions based on the specific needs of each individual recipient. However, the terms of the agreement must not exceed the ten year term. Any amendments to the agreement must be approved by Caltrans Headquarters Divisions of Legal, DMT, DPAC, and Accounting. MAs will only apply to local recipients that receive State funds for transit projects from the following funding sources:

- Clean Air and Transportation Improvement Act of 1990 (Prop 116)
- Public Transportation Account (PTA)
- Transportation Investment Fund (TIF)
- State Highway Account (SHA)
- Traffic Congestion Relief Fund (TCR)
- State-Local Partnership Program (SLPP)
- High-Speed Train Commuter and Urban Rail Connectivity Bond (HSPTB)
- General Fund
- Other State Funding Sources

#### **5.2 Process for Executing Master Agreements**

The MA should be executed prior to or concurrent with an agency's first allocation request. Once an agency has determined that it will request State transit funding, the agency should contact the appropriate district transit representative and notify them of their timeline for submitting an allocation request. The district transit representative will then assign a district contract manager who will determine if the agency needs to enter into a new or amend an existing MA with DMT. If it is determined that a new MA is needed the district contract manager will provide the following information to the HQ program manager:

- Recipient name

- Project title
- Effective date of agreement
- Name and title of authorizing officer

Soon after receiving this information, the headquarters program manager should submit an email request to DPAC for a new or amended MA agreement number. The email request should contain the following information:

- Charge District Number
- Anticipated Funding Source
- Beginning Date
- Ending Date
- Recipient Agency
- HQ Contract Manager
- Source Unit
- Phone/Fax Numbers

The HQ program manager will include all the information provided by the district contract manager once DPAC has provided a new or amended MA agreement number. The HQ program manager will then electronically forward a copy of the MA to the district contract manager for execution. The district contract manager will work with the recipient to get the MA approved and signed. Six wet-ink (blue ink preferred) copies signed by the designated recipient representative are required. In addition, the recipient must also provide one signed, wet-ink copy of a recipient's Board Resolution inserted as Attachment II. A sample of the MA and a board resolution can be attained by going to: [http://www.dot.ca.gov/hq/MassTrans/state\\_grants.html](http://www.dot.ca.gov/hq/MassTrans/state_grants.html). Once the headquarters contract manager receives the six signed MA copies, signatures from the State Transit Branch Chief and Legal will then be attained. The six fully executed copies will then be distributed as follows:

- 1 Copy – Local Agency Recipient
- 1 Copy – District Contract Manager
- 1 Copy – HQ Contract Manager (MS 39)
- 1 Copy – Division of Contracts and Procurement (MS 65)
- 2 Copies – Accounting (MS 33)

### **5.3 Program Supplement (PS)**

The PS is the project specific legal document that is executed following a CTC programming or allocation action of State funded transit projects. It is considered to be a sub-contract to the MA and includes all the project information needed to encumber project funding. Any CTC action

causing a project related change subsequent to the execution of the initial PS will require a PS amendment. When completing a PS or PS amendment, the following information should be included:

- Project description, scope and schedule.
- Detailed costs and funding sources.
- Signatures of recipient representative and Caltrans District Deputy Director of Planning.
- Complete Certification of Funds Page (see web link below in section 6.4 for an example).

#### **5.4 Process for Executing Program Supplements**

The estimated timeframe for completing a PS or PS amendment varies. Much of the variance is usually attributed to an agency's expediency in reviewing and signing the contract. For those contracts that require a special condition as set forth by the CTC or Caltrans, the Caltrans Division of Legal must approve the language on the Special Conditions page - Attachment V of the PS prior to fully executing the agreement. For a PS sample please see (Attachment F) or go to: [http://www.dot.ca.gov/hq/MassTrans/state\\_grants.html](http://www.dot.ca.gov/hq/MassTrans/state_grants.html).

The responsibility for initiating and executing a PS or PS amendment is shared between the agency project manager and the district contract manager. Once a CTC project action is approved, the district contract manager will prepare a PS or PS amendment. The district contract manager is responsible for gathering all the required documentation previously described under section 6.3 of these guidelines. Once the PS has been prepared, the district contract manager will forward five copies to the agency project manager for signatures and approval by the agency's designated authorizing officer. The agency project manager will return all five wet-ink signed copies back to the district contract manager for further processing. The district contract manager will then gather signatures from the District Deputy Planning Director and forward all five copies to the HQ program manager for fund certification and encumbrance with the exception of Prop 116 funded projects. A PS or PS amendment that pertains to Prop 116 funds must be forwarded to Accounting (MS 33) for fund certification and encumbrance. Upon fund certification, all five copies will be distributed as follows:

- 1 Copy – District Contract Manager
- 1 Copy – Agency Contract Manager
- 1 Copy – State Transit Branch (MS 39)
- 2 Copies – Accounting (MS 33)

## **Chapter 6**

### **PROJECT MANAGEMENT**

It is the CTC's intent that Caltrans, in consultation with regional agencies, develop and implement a process to monitor and track local transit projects starting with the allocation of funds through project completion. The process facilitates local agency accountability and allows for timely reporting to the CTC and Caltrans on the status of projects, expenditures, and reimbursements.

It is the responsibility of the district contract manager to follow the project's progression and ensure that all guidelines and contract terms are met within the scope and limitations of the program. The district contract manager, with assistance from the HQ program manager, should be able to provide guidance and answer questions for the local agency project manager whenever necessary.

#### **6.1 Quarterly Review**

There are two types of quarterly reviews that will satisfy the terms set forth by the Master Agreement under Section 2 Audits and Reports:

1. Quarterly Report – A formal agency document that provides an update on the progress of all transit projects funded with State funds. The report must include changes to the project(s) as well as updated financial documents. Agencies that choose not to hold quarterly review meetings are required to at the very least, provide this type of report to the district contract manager. A copy of the quarterly report will be forwarded to the HQ program manager following each quarterly review period.
2. Quarterly Meeting – A documented discussion of progress made on all State funded transit projects. Any concerns, changes or problems encountered will be noted in writing and, if necessary, approved, by the district contract manager or HQ program manager. CTC approval may also be necessary if changes to the project scope are needed. The local agency project manager should make the following available at each quarterly meeting:
  - Project Management Plan
  - Revised Financial Plan (if applicable)
  - Revised cash drawdown schedule (if applicable)
  - Expenditures to date
  - Revised Project Development Schedule (if applicable)

## 6.2 Invoicing

An executed MA and PS must be in place prior to the district contract manager's approval of an invoice requesting reimbursement of previously allocated State transit funds. Local agencies eligible to receive State transit funding are restricted in submitting Project Progress Payment Invoices (Attachment G) not more frequently than once a month. Invoices should be submitted on a local agency letterhead and should contain the following information:

- Contract identification numbers, local agency/State agreement.
- Project number.
- Local agency Internal Revenue Service tax identification number.
- Invoice number.
- Reimbursement ratio.
- Cost breakdown by phase work.
- Review of activities being billed to determine consistency with approved SOW.
- Check for arithmetic accuracy and duplication of work.

## 6.3 Eligible (Direct/Indirect) Costs

Incurred costs paid for by the recipient will only be reimbursed for work that is consistent with the approved scope of work.

All costs related to a transportation project are generally eligible for funding. Costs are usually identified under two types - direct and indirect. Direct costs apply to engineering, R/W and construction-related work. Indirect costs are expenditures that an agency incurs for administration work that is directly related to the transit project.

- The following direct costs are generally eligible for reimbursement:

Project Development: Environmental studies, preliminary surveys and reports, laboratory work, soil investigations, preparation of plans, designs, specifications, advertising for bids and awards, project development, oversight, and contract administration.

Right of Way: Costs associated with real property acquisition including relocation assistance payments, property demolition and clearance, certification, utility relocation costs and R/W staff support.

Construction: Work performed through the construction contract and contract change orders, as well as state or local agency furnished materials and equipment.

- The following indirect costs are eligible for reimbursement:

Agency Management: Personal service costs for unit, bureau, division, departmental, administrative, supervisory, and executive staff.

Support Units: Personal service costs including clerical support, housekeeping, operating expenses, and equipment costs for work on the project which has not been included as part of the direct costs.

#### **6.4 Ineligible Costs**

It is the responsibility of the district contract manager to review invoices and determine whether an activity/expense claimed on an invoice is eligible for payment by the State. The following list includes ineligible costs:

- General program administrative costs of the agency.
- Any work done prior to CTC approval.
- Expenditures that exceed the approved allocated amount.
- Expenditures that occurred past the period of availability set forth in the Program Supplement or Amendment.
- Expenditures not consistent with the approved Scope of Work.
- Incurred expenses for a different project or phase.
- Relocation expenses (unless specifically mentioned in the Scope of Work).
- Charges for food served at a meeting.
- Charges for fines imposed by other agencies.
- Double billing for items or work activities.
- Costs for opening ceremonies of a project.
- Non-scope items such as art, ornamental items etc. (applies to station projects).

#### **6.5 Project Closeout Report/Final Invoice Process**

The local agency project manager is responsible for implementation and administration of the project and technical control of the work consistent with CTC policies, procedures and performance standards. A local agency is required to submit a completed and signed request for Project Close-Out Report (Attachment H) to the district contract manager within 30 days of the project's completion. This report provides key information required to initiate timely project closure and final payment. The district contract manager has the overall authority and responsibility for project monitoring, final inspections and project closeout procedures.

Upon receiving the closeout request, the district contract manager will verify that the project has been completed in accordance with the scope and description of the project authorization documents. The district contract manager will make arrangements for final inspections and approval of final payment. Inspection of the project by the district contract manager will be to

ensure that contracted-related work complies with and conforms to the approved SOW. It is also to identify any deviations from the original approved project Program Supplement. The following describes the steps in the project closeout process:

1. Upon receiving a request for Project Close-Out Report form from a local agency, the district contract manager must check the items listed on Section I for accuracy and correctness.
2. The local agency project manager must make available to the district contract manager all requested documented information related to the project.
3. The district contract manager shall perform a final inspection prior to completing Section II of the Close-Out Report. This ensures that the project is completed satisfactorily and as planned. Final inspection should be completed within 30 days of receiving a request.
4. The district contract manager should document that the project financial plan resulted in the stated original shared contribution (percentages) identified within the MA/PS signed by the local agency. Other State, local and federal funds identified in the project's financial plan to develop the project should also be scrutinized for MA/PS compliance.
5. The district contract manager will complete Section II and confirm that the project was completed as programmed and in accordance with the SOW and overall financial plan.

The agency project manager is responsible for maintaining documented project records that identify agency costs and project payments made to consultants, vendors and 3<sup>rd</sup> party contractors. Contract records must be retained by the local agency for a minimum period of three years from the date of final payment.

## **6.6 Project Cost Savings**

The policy for handling cost savings depends strictly on the fund source and program. For STIP projects, any savings from a project component are considered to be unexpended funds and will be rescinded back to the appropriate fund account. The CTC will not adjust the county shares for any unexpended balance after an allocation has been approved. Local recipients are permitted to expand the scope of a project if there are cost savings. However, scope expansions must conform to eligible uses identified under the program fund source. They must also be able to display a nexus between the original project and the new proposed work. For the rest of the programs, agencies are allowed to use their project savings for any other eligible project.

## **Chapter 7**

### **PREAWARD EVALUATION**

The need for a pre-award evaluation will be determined between the HQ program manager and the Division of Audits and Investigations (A&I). A decision must occur prior to a local agency receiving a reimbursement of State funds for a transit project. Pre-award evaluations are performed by Caltrans A&I and include a risk assessment of an agency's accounting financial management system. A pre-award evaluation of a local agency is not required every time funds are being requested; however, it is required whenever State funds are being requested for the first time. The HQ program manager requests a pre-award evaluation as soon as it is known that a local agency will be entering into a Master Agreement with the State. The MA should not be executed until the audit status of the agency can be determined. The remainder of this chapter describes the process for pre-award evaluations.

#### **7.1 Requesting a Pre-award Evaluation**

Pre-award evaluation requests should come from the HQ program manager as soon as a contract number is received from DPAC. The HQ program manager will request a risk assessment determination by submitting a Pre-award Evaluation Request form (Attachment I) and a draft of the MA to A&I. The A&I will review the request and make a determination on whether a pre-award audit is needed based on the following factors:

- Allocation amount
- Caltrans prior history with recipient
- Pre-award evaluation complete within last two years

Following A&I's review period, the initial request will be sent back to the HQ program manager with a notification of A&I's decision. If the A&I determines that a pre-award audit is required, an auditor will be assigned at that time. On the other hand, if a pre-award evaluation is not required, a waiver will be granted signifying that the pre-award requirement has been met. However, this does mean that the agency is free from having to go through an audit in the future; it simply means that the A&I found no reason to do a pre-award evaluation at that particular time. Caltrans maintains the right and authority to perform an interim and/or post audit at a later date if it finds that either or both are warranted.

#### **7.2 Pre-award Audit**

If an audit is required, the assigned auditor will contact the local agency and schedule a field visit to evaluate the recipients accounting management system. It is the sole responsibility of the

local recipient to comply and provide all required documentation to the auditor so that an accurate report can be produced. The quicker an audit can be completed the quicker the execution of the MA can occur. The auditor will ensure that the recipient's accounting system meets the following criteria:

- The ability to record and report financial data in accordance with generally accepted accounting principles.
- A system of record keeping to ensure that costs billed to Caltrans are:
  - a. Supported by adequate documentation
  - b. In compliance with the terms and applicable federal and state regulations
- A system of record keeping that includes:
  - a. General ledger
  - b. Job cost ledger
  - c. Labor distributions
  - d. Time records
  - e. Subsidiary journals
  - f. Chart of accounts
  - g. Financial statements
- Ability to accumulate and segregate reasonable, allocable and allowable costs such as:
  - Accounting charts that include indirect and direct general ledger accounts.
  - Segregation of costs by contract, category of cost, and milestones (if applicable).
  - Proper recording of indirect and direct costs.
  - Consistent accounting treatment of costs in recording and reporting.
  - Ability to trace from invoices submitted to Caltrans to job cost records and original, approved source documents.
  - Ability to reconcile job cost records to the accounting records.
- Compliance with cost principles described in the Code of Federal Regulations 48, Federal Acquisition Regulations System (FAR), Chapter 1, Part 31.
- Procedures to monitor and adjust projected overhead rates to actual rates.
- Controls to ensure that written approval is obtained prior to any changes to the contract.
- Procedures to retain accounting records and source documentation as required by the terms of the contract.

- A system of internal control, which provides reasonable assurance that assets are protected for; financials, reliable records and statements; and that errors and irregularities will be promptly discovered, reported, and corrected. Elements of a system of internal control should include:
  - a. Separation of duties for proper protection of assets.
  - b. Limited access to assets to only authorized personnel.
  - c. Authorization and record keeping procedures which provide effective accounting control over assets, liabilities, revenues, and expenditures.
  - d. A system of practice to be followed in the performance of duties and functions.
  - e. Personnel with skills and training commensurate with their responsibilities.
  - f. A system of internal review.

Upon completion of the pre-award audit, an audit report will be prepared by the assigned auditor. Audit findings as well as audits recommendations will be included and should be taken into account by district contract manager. The HQ program manager and the district contract manager use this report to determine if any follow-up audits should be requested.

For specific information on audit criteria, please see the Code of Federal Regulations 48, Federal Acquisition Regulations System Chapter 1, Part 31 at: <https://www.acquisition.gov/far/>.

### **7.3 Interim Audit**

Interim audits are performed on an as needed basis and can be requested either by the contract administrator or Caltrans management. Normally, an interim audit will be scheduled during the progression of a project or when minor deficiencies were noted during the initial pre-award evaluation. An audit manager may choose to initiate an interim audit of a multi-year contract to ensure that expenses reimbursed to date are allowable. Results from an interim audit will be reflected in an audit report and should be taken into consideration by the district contract manager and HQ program manager prior to approving any payment invoices.

### **7.4 Post Audit**

Post audits are routinely performed once a project has been complete. This type of audit is carried-out to determine whether the project costs claimed are allowable, allocable, reasonable, and in compliance with federal and State laws and regulations, as well as the fiscal provisions stipulated in the contract. A post audit examination will review the following:

- Applicable laws and regulations.
- Contract requirements.
- Recipient's internal control system.

- Accounting records.
- Other auditing procedures.

It is the responsibility of the local recipient to provide the Caltrans auditor with all the necessary documentation required to complete a post audit review. Unallowable or unsupported costs are usually the result of deficiencies in a recipient's accounting management system. Any expenses found to be unallowable or unsupported during or after a completion of a post audit, will require reimbursement of funds back to Caltrans. Any disputes arising from a post audit review will be reviewed by the Audit Review Committee (ARC). Information explaining the ARC process will be included as an attachment in the post audit report.

## **Chapter 8**

### **FEDERALIZATION OF STIP PROJECTS**

#### **Transfer Process for Transit Projects Programmed in the State Transportation Improvement Program**

The Department of Transportation's (Caltrans) funding policy requires that all capital transit projects programmed in the State Transportation Improvement Program (STIP) that are eligible for federal participation must follow the federal process to ensure maximum return of federal dollars to California. Further, as stated in the California Transportation Commission's (CTC) STIP Guidelines, Section 26, Resolution G-11-08, approved August 10, 2011:

*“In accordance with Federal statutes and regulations, federal highway funds programmed for transit projects must be transferred from the Federal Highway Administration (FHWA) to the Federal Transit Administration (FTA) for administration when the project or project component is ready to be implemented. In order to facilitate the transfer and timely use of funds, the Commission encourages the implementing agency or fund applicant to submit grant applications to FTA requesting a grant number and tentative approval of project eligibility prior to requesting Commission allocation of funds.”*

The local agency must identify early on in the process, prior to the request for allocation by the CTC, the appropriate FTA grant program in which to transfer the funds. The three FTA grant programs in which funds can be transferred are the Urbanized Area Formula Program (Section 5307), the Elderly and Disabled Specialized Transit Program (Section 5310) and the Rural Transit Program (Section 5311). Each FTA grant program has specific submission dates and application requirements that must be met prior to the transfer of funds. The project must be included in an approved Federal Transportation Improvement Program (FTIP), or subsequent amendment. The FTA should be contacted regarding requirements for the Section 5307 Program; the Caltrans Office of Elderly and Disabled Specialized Transit Program is to be contacted regarding the Section 5310 Program; and the Caltrans Office of Rural Transit Program (Section 5311) (see Attachment B for appropriate contacts). Once funds are transferred to the FTA by the FHWA, all FTA requirements are applicable to the transferred funds. *All STIP guidelines apply until the allocation is approved by the CTC.* It is very important that transfers are requested in a timely manner by the local agency to ensure that federal programming can occur following the project's allocation approval by the CTC. If the Federal Budget is not signed by October 1, the programming of these transferred funds by the FTA may be delayed until the Federal Budget is enacted. The CTC may extend the timely use of funds deadline for transfers to the FTA no more than one time if it finds that an unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the extension. The extension will not exceed the period directly attributed to the extraordinary circumstance and will in no event be for more than 20 months.

## **Transfer Process for STIP Transit Projects**

### **FTA Section 5307 Formula Program**

The transfer of STIP programmed funds to the Section 5307 Program is processed as follows:

#### **STEP 1: Request Section 5307 Grant from the FTA**

- A grant application is submitted by the local agency through the FTA's Transportation Electronic Award and Management (TEAM) system to the FTA (San Francisco).
- The FTA (San Francisco) reviews the grant application to ensure project eligibility.
- The FTA (San Francisco) assigns a FTA grant number and tentatively approves it contingent upon federal-aid highway funds being transferred from the FHWA to the FTA.

#### **STEP 2: Submission of allocation request for CTC action**

- The local agency submits a CTC allocation request to the appropriate Caltrans District Office (usually to the Transit Representative) that includes the assigned FTA grant number and the FTIP number.
- The District Transit Representative forwards the allocation request to the Headquarters DMT Office of State Transit Grants requesting that the allocation be placed on the CTC agenda for a financial vote.

#### **STEP 3: Approval of allocation request and transfer of funds**

- Upon the adoption by the CTC, the Office of State Transit Grants Branch provides a copy of the "Action Taken Report" and the Financial Vote List to the Caltrans Budgets Program Federal Resources Office, and notifies the District Transit Representative of this action.
- The Federal Resources Office submits a letter to the FHWA (Sacramento) requesting the transfer of funds to the FTA.
- The FHWA (Sacramento) sends a memorandum to the FHWA (Washington D.C.) requesting a fund transfer to the FTA (Washington D.C.). The FTA (Washington D.C.) notifies the FTA (San Francisco) when the funds are transferred. The FTA (San Francisco) will approve the grant once the grant requirements have been satisfied by the local agency.

#### **STEP 4: Agreement Development/Reimbursement**

- The local agency enters into an agreement directly with the FTA (San Francisco) for the transferred (federal) funds.
- Reimbursement of the Federal Section 5307 funds is provided directly by the FTA to the local agency in accordance with their agreement.
- For State funding, the Office of State Transit Grants, or the Caltrans District Office if appropriate, prepares a Master Agreement between Caltrans and the local agency.
- Reimbursement of the State funds is requested by the local agency through the District Transit Representative in accordance with the Master Agreement / Program Supplement.

#### **Transfer Process for STIP Transit Projects**

##### **FTA Section 5310 Grant Formula Program (Elderly and Disabled)**

The federalization of STIP programmed funds to the Section 5310 program is requested by the local agency directly to Caltrans. Eligible grant recipients include non-profit organizations, and public agencies under certain circumstances, that provide transportation services primarily to elderly persons and persons with disabilities. Section 5310 grants are processed annually. Contact the Caltrans Office of Elderly and Disabled Specialized Transit Program for the schedule of grant submission. *The DMT Office of Elderly and Disabled Specialized Transit Program processes the grant application on behalf of the local agency and is the direct recipient of these grant funds.*

#### **STEP 1: Request transfer of funds from the FHWA to the FTA**

- A letter from the RTPA/MPO requesting the transfer of funds, along with a board approved resolution, a copy of the RTIP, and a Section 5310 grant application completed by the fund recipient is forwarded to the Office of Elderly and Disabled Specialized Transit Program.
- The Office of Elderly and Disabled Specialized Transit Program reviews the completed grant application to verify applicant and project eligibility.
- The Office of Elderly and Disabled Specialized Transit Program provides the fund recipient a FTA grant number in which the project will be programmed and tentatively approves the transfer request contingent upon federal-aid highway funds being transferred from the FHWA to the FTA.

**STEP 2:** Submission of allocation request for CTC action

- The local agency submits a CTC allocation request to the appropriate District Transit Representative that includes the assigned FTA grant number and the FTIP number.
- The District Transit Representative forwards the allocation request to Office of State Transit Grants requesting that the allocation be placed on the CTC agenda for a financial vote.

**STEP 3:** Approval of allocation request and transfer of funds

- Upon the adoption by the CTC, the Office of State Transit Grants provides a copy of the “Action Taken Report” and the Financial Vote List to the Caltrans Budgets Program Federal Resources Office, and notifies the Office of Elderly and Disabled Specialized Transit Program of this action.
- The Federal Resources Office submits a letter to the FHWA (Sacramento) requesting the transfer of funds to the FTA.
- The FHWA (Sacramento) sends a memorandum to the FHWA (Washington D.C.) requesting a fund transfer to the FTA (Washington D.C.). The FTA (Washington D.C.) notifies the FTA (San Francisco) when the funds are transferred. The FTA (San Francisco) notifies the Office of Elderly and Disabled Specialized Transit Program of grant approval.

**STEP 4:** Agreement development

- The Office of Elderly and Disabled Specialized Transit Program enters into a Standard Agreement between Caltrans and the local agency for the transferred funds.
- For State funding, the Office of State Transit Grants, or the Caltrans District Office if appropriate, prepares a Master Agreement between Caltrans and the local agency.

**STEP 5:** Reimbursement

- Reimbursement of the Federal Section 5310 funds is provided directly by the Office of Elderly and Disabled Specialized Transit Program in accordance with the Standard Agreement.
- If there is a State match, reimbursement is requested by the local agency through the District Transit Representative in accordance with the Fund Transfer Agreement.

### **FTA Section 5311 Rural Transit Program (Rural areas with less than 50,000 population)**

The federalization of STIP programmed funds to the Section 5311 program is requested by the local agency directly to Caltrans. Section 5311 grants are processed annually. Contact the Caltrans Office of Rural Transit Program for the schedule of grant submission. *The Caltrans Mass Transportation Program Office of Rural Transit Program processes the grant application on behalf of the local agency and is the direct recipient of these grant funds.*

#### **STEP 1: Request to transfer funds from FHWA to FTA**

- A letter from the local agency requesting the transfer of funds, along with a Program of Projects, RTPA/MPO board approved resolution, a copy of the approved FTIP, and a Section 5311 grant application is forwarded to the District Transit Representative.
- The District Transit Representative forwards the request documentation to the Office of Rural Transit Program
- The Office of Rural Transit Program provides the District Transit Representative with a FTA grant number in which the project will be programmed and tentatively approves the transfer request contingent upon federal-aid highway funds being transferred from the FHWA to the FTA.
- The District Transit Representative forwards this information to the local agency.

#### **STEP 2: Submission of allocation request for CTC action**

- The local agency submits a CTC allocation request to the appropriate District Transit Representative that includes the assigned FTA grant number and the FTIP number.
- The District Transit Representative forwards the allocation request to the Office of State Transit Grants requesting that the allocation be placed on the CTC agenda for a financial vote.

#### **STEP 3: Approval of allocation request and transfer of funds**

- Upon the adoption by the CTC, the Office of State Transit Grants provides a copy of the “Action Taken Report” and Financial Vote List to Caltrans Budgets Program Federal Resources Office, and notifies the Office of Rural Transit Program of this action.

- The Federal Resources Office submits a letter to the FHWA (Sacramento) requesting the transfer of funds to the FTA.
- The FHWA (Sacramento) sends a memorandum to the FHWA (Washington D.C.) requesting a fund transfer to the FTA (Washington D.C.). The FTA (Washington D.C.) notifies the FTA (San Francisco) when the funds are transferred. The FTA (San Francisco) notifies the Office of Rural Transit Program of the transfer of funds. *Funds are not available to subgrantee until the grant between Caltrans and the FTA is approved, and the standard agreement is fully executed between Caltrans and the local agency recipient.*

**STEP 4: Agreement development**

- The Office of Rural Transit Program enters into a Standard Agreement between Caltrans and the local agency for the transferred funds after the grant approval is received from the FTA.
- For State funding, the Office of State Transit Grants, or the Caltrans District Office if appropriate, prepares a Master Agreement between Caltrans and the local agency.
- Funds are available for expenditure after grant approval by the FTA and the full execution of the standard agreement between the subgrantee and the Office of Rural Transit Program

**STEP 5: Reimbursement**

- Reimbursement of the Federal Section 5311 funds is provided by Caltrans in accordance with the Standard Agreement.
- If there is a State match, reimbursement is requested by the local agency through the District Transit Representative in accordance with the Master Agreement.

**FEDERAL TRANSIT ADMINISTRATION**

201 Mission Street  
 San Francisco, CA 94105-1926  
 (415) 744-3133

*Division of Mass Transportation (MS-39)*

Office of Rural Transit Program (916) 651-6116  
 Office of State Transit Grants (916) 657-3876  
 Office of Elderly and Disabled Specialized Transit Program (916) 657-4068

## **Chapter 9**

### **ADVANTAGE ACCOUNTING SYSTEM**

The Advantage Accounting System and State Funded Mass Transportation Projects

#### ***Background of the Advantage System:***

In June 2010, the Department instituted a new financial management system called AMS Advantage, which has significantly changed the way we process a Mass Transportation State Transit project.

#### ***Documents used for setting up and maintaining a State funded Mass Transportation project in Advantage:***

These are the different documents required to complete the set up of a State Transit project and defines the roles and responsibilities for completing these documents.

**CAS** (which stands for Cost Accounting Set up document): The CAS is prompted by the normal submission process of an Allocation Request submitted by the District to Headquarters DMT. The CAS document is generated by Headquarters - State Transit Grants through Advantage. Once the CAS document has been submitted successfully, the project has been created. The CAS Document # is often referred to as the Project ID number.

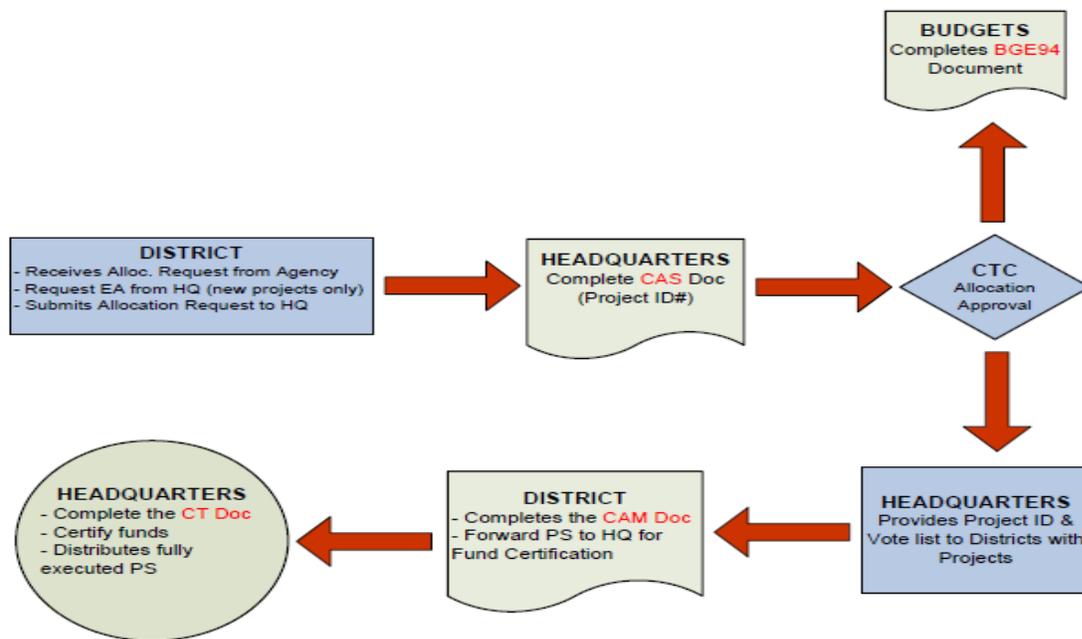
**BGE94** (which is the Project Budget document under Budget Structure 94): Within a week following a CTC Commission vote, the Division of Budgets completes the BGE94 document in Advantage using the Budget information in the vote list for projects that were approved by the Commission.

**CAM** (Cost Accounting Modification): Generated to modify the CAS document. The CAM document adds the Funding profile and Funding line information for the project. District Project Control has the task of completing the CAM document.

**CT** (or Contract Document): The document is generated by Headquarters (State Transit Grants), once we receive a fully signed Program Supplement. The CT document establishes the Program Supplement in the Advantage system.

**Revised CTC Vote List:** The revised CTC vote list contains the Budget Funding year as well as the Program and Element used for the project. It is important to use the Revised Vote list as the Budget Year used may change during the CTC meeting or directly afterwards. **The Program Code for our projects always starts with 30.10.**

# Advantage Funding Request Process



**GRAPHIC BY JENNIFER LOUIE**

### ***Detailed Steps to Follow to Set Up the State Funded Mass Transportation Project***

Staff in the Division of Mass Transportation worked with staff in the Divisions of Accounting and Budgets to formulate a process on how State funded transit projects should be set up in the new accounting system. The following procedure, which outlines roles and responsibilities, was setup after these discussions and was approved by staff in the Divisions of MT, Budgets, and Accounting.

#### **Prior to the CTC meeting:**

1. District Transit Rep (DTR) sends completed allocation request to HQ Division of Mass Transportation.
2. Division of Mass Transportation assigns EAs (for 1<sup>st</sup> project allocation) and completes the Header, Major Project, Project, and Project Phase (as phase S) on a **CAS** document in the Advantage system, establishing project IDs for the MODAL project. After submitting the CAS document, DMT staff updates the log located at:

X:\XCHANGE:\State Transit Grants Branch\Lisa Laforet-Favilla\Advantage\

#### **Note:**

**For Prop 116 Funds only, HQ Accounting** (currently Mark Currier), completes the CAS/CAM, BGE 94, CT, certifies funds, and pays invoices for Prop 116 projects. When the allocation request is received, contact Mark and provide him the project information so that he can do the CAS for the project.

#### **After the CTC meeting:**

3. Division of Budgets completes the **BGE94** for Transit projects approved at the CTC meeting.
4. Division of Mass Transportation sends email to DTRs giving them the project IDs, EAs and link to **revised CTC vote list** for approved projects to use in completing Program Supplements.
5. DTR provides project information (EA, project ID, and revised CTC vote list) to District Project Control.
6. District Project Control completes the project CAM as **S phase** to add funding and budget information, using the CTC vote list to determine funding and Budget Year. Per Accounting,

"please make sure that the same funding information on the BGE94 is what the district will enter on the funding line(s) on the CAM. District Project Control needs to do the budget on the CAM which is the budget 40 (which should be the same amount on BG94). Please note that the BGE94 does not have task/subtask information which is the Category of Expenditures (COE) in TRAMS. This is needed on the CAM document, on the funding line."

7. The DTR should look at the **revised CTC vote list** to see what funding year and coding information should be used for the project. The DTR uses page code FPI2 in AMS Advantage to find the funding profile number for a project by entering the project ID number. Then, the funding profile number is entered on page code FPRFLST to verify that a funding profile is in the system and correct for the project prior to sending a signed Program Supplement to HQ Mass Transportation.

8. **After verifying the funding profile entered by District Project Control is correct**, HQ Mass Transportation completes the CT document, has it approved, and distributes copies of the fully executed Program Supplement to Accounting and the DTRs.

Update, June 2012—Information if the original CTC allocation is revised downwards:

District 5 Project 0512000062 had a revised allocation at the October 2011 CTC meeting. The allocation was reduced from \$427,400 to \$427,000. We contacted the Division of Budgets to adjust the BGE94 which they had originally completed after the CTC vote. However, we were informed by Local Program Accounting staff that a CAM document still needed to be completed as the BQ40LV2 was showing \$400 unobligated. We contacted District Project Control who completed the CAM document to reflect the correct allocation amount and clear the unobligated amount that had shown on the BQ40LV2 screen.

If a project allocation is revised after the Division of Budgets does the BGE94 and District Project Control completes the CAM for the original amount, then both Division of Budgets needs to be contacted (to revise the BGE94) as well as District Project Control (to complete a CAM to decrease the budget 40 on the project.)

**Points to Remember:**

1. For District Transit Projects: HQ Division of Budgets will complete the BGE94 document, not the District Project Control office.
2. Per Accounting, we should be setting up all of our District Transit projects as a single phase (S) in the Advantage system.

Above are the steps and responsible parties for District transit projects **that are not funded by Prop 116. HQ Accounting** (currently Mark Carrier) completes the CAS/CAM, BGE 94, CT, certifies funds, and pays invoices for Prop 116 projects.

## How to Complete the CAS document

- 1) Login to Advantage
- 2) Enter “CAS” for Page Code on upper right and press “Go”

MS ADVANTAGE (200)

LAFORÉT-FAVILLA My Workspace

Page Code: CAS Go

### Worklist

Select Worklist: USA LAFORÉT-FAVILLA

Level:

Code:

Dept:

ID:

Browse Clear

Level	Code	Dist	ID	Comments	Creator ID	Submitter ID	Date	Reason	Message
First	Prev	Next	Last	Approve	Hold	Take Task	Return Task	Refresh	

Menu

- 3) At the “Document Catalog Page, enter the following:
  - a) **3740** for Unit. 3740 is the current 4 digit Unit Number for State Transit Grants
  - b) **2660** for Dept. This is the Department Code for Caltrans.
  - c) **XX** for ID where XX stands for the 2 digit District Number where the project is located. For instance, for Dist 5 projects, enter 05 in the ID field. Click Create.

### Document Catalog

Create

Document Identifier

Code: CAS Unit: 3740

Dept: 2660 ID: 05

User Information

Document State

Browse Clear

Action Menu

Open Validate Submit Copy

Code	Dept	Unit	ID	Comments	Version	Function	Phase	Status	Date	User ID	Amount	Active
First	Prev	Next	Last									

Menu

- 4) When the “Other Options” area populates, check the Auto Numbering Box and select Create below the Other Options area and above the word Menu.

**Document Catalog**

Search

Document Identifier

Code : CAS Unit : 3740

Dept : 2660 ID : 05

Other Options

Auto Numbering :

Create Template :

[Create](#)  
[Menu](#)

- 5) Complete the Header as follows:
- Enter the official description of the project in the Document Name Area
  - Leave all other fields blank and click Save

Welcome, LISA LAFORET-FAVILLA My Workspace

CAS 2660 0513000094 1

**Document View**

- Header
- General Information
- Extended Description
- Document Information
- Major Project
- Project
- Project Phase
- Project Period
- Funding Profile
- Funding Priority
- Funding Line
- Internal Buyer Funding Line
- Funding Profile Inference
- Budget
- Created Documents
- Document Comments
- Document Attachments
- Document History
- Document Reference
- Future Triggering
- Forms

CAS - 2660- 0513000094- 1- New- Draft

General Information

Document Name : Create S phase project for Bus Stop Improvements

Record Date :

Fiscal Year :

Period :

Document Description :

Extended Description

Extended Description :

6) Complete the Major Project section as follows:

- a) Select **Major Project** on the Secondary Navigation panel (the far left side of the screen)
- b) Select **2660** from the picklist for the Department field
- c) Select **Modal** from the picklist for the Major Project field and click Save

CAS - 2660- 0513000094- 1- New- Draft

Action Menu

Department	Major Project	Name	Active	Effective From	Effective To	Reimb Status
✓ 2660	MODAL	Mass transit, Rail and Aeronautics Projects	Yes			Allowed for Reimbursement

First Prev Go To Next Last



▼ General Information

*Department: 2660	Effective From: <input type="text"/>
Department of Transportation	Effective To: <input type="text"/>
*Major Project: MODAL	Active: <input checked="" type="checkbox"/>
*Name: Mass transit, Rail and Aer	Budgeting: <input checked="" type="checkbox"/>
*Short Name: Mass,Rail, Aero	Reimb Status: Allowed for Reimbursement

- ▢ General Options
- ▢ Rollups
- ▢ Description/Contact
- ▢ Highway Project
- ▢ Overhead

Top

Save Undo Print Validate Submit Close

..

7) Complete the Project section as follows after selecting Project in the Secondary Navigation Panel:

- a) Click **Insert New Line** near the top of the page
- b) Copy and past the project ID number shown at the top of the screen into the Project field.
- c) Enter the official project name in the name field
- d) Enter the Dist EA assigned in the Short Name field
- e) Enter today's date in the Billing Agreement Date field
- f) Enter the 2 digit Dist # where the project is located in the Project Category field.
- g) Enter DTR name, phone #, project description and PPNO in Description field
- h) Enter County from the picklist and 0.0000 for both Start and End for Mile Post.
- i) Click Save.

The screenshot displays a software interface for project management. On the left is a vertical navigation menu with the following items: Project (highlighted), General Information, Rollups, Description/Contact, Highway Project, Fixed Asset Information, Project Phase, Project Period, Funding Profile, Funding Line, Internal Buyer Funding Line, Funding Profile Inference, Budget, Created Documents, Document Comments, Document Attachments, Document History, Document Reference, Future Triggering, and Forms.

The main content area is titled 'Project' and contains several sections:

- General Information:** Includes fields for Department, Effective From, Effective To, \*Project (0513000094), \*Name (Bus Stop Improvements), Billing Agreement Date (1/24/2013), \*Short Name (05-T999TA), Active (checked), Major Project, Budgeting (checked), Sub Account, Reimb Status (Allowed for Reimbursement), Site Location, Reimb Eligible (checked), and Reclass Exclusion (unchecked).
- Rollups:** Includes fields for Project Class, Project Category (05), Project Type, and Project Group.
- Description/Contact:** Includes a Contact field and a Description field containing: Mark McCumsey (805) 549-3963, Bus Stop Improvements, and PPNO 9999.
- Highway Project:** Includes fields for Project Agreement Number, Secondary Road Plan, Federal Aid Project Number, Building Number, County (5936), Parcel Number, Mile Post Start (0.0000), Corridor, Mile Post End (0.0000), and Board Entity.

At the top of the main content area, there is a header bar with columns: Department, Project, Name, Major Project, Active, Effective From, Effective To, Billing Agreement Date, and Reimb Eligible. Below this bar are buttons for 'Insert New Line' and 'Insert Copied Line'.

8) Complete the **Project Phase** section as follows after selecting Project Phase in the Secondary Navigation Panel:

a. Select **S** for single phase from the picklist in the Phase field

b. **Enter today's date** by selecting it from the calendar for the Billing Agreement Date field

c. **Uncheck the Reimb Eligible** Box as this is not a Federally reimbursed project. Click Save.

CAS 2660 0513000094 1  
Document View CAS - 2660- 0513000094- 1- New- Draft

Department	Phase	Phase Short Name	Project	Project Short Name	Billing Agreement Date	Active	Reimb Eligible	Reimb Status
2660	S	SinglePhase	0513000094	05-T999TA	01/24/2013	Yes	No	Allowed for Reimbursement

Insert New Line Insert Copied Line

First Prev Go To Next L  
Project 1: 0513000094

▼ General Information

Department: 2660 Effective From Date:

Phase: S Effective To Date:

\*Phase Short Name: SinglePhase Billing Agreement Date: 01/24/2013

Project: 0513000094 Active:

Project Short Name: 05-T999TA Reclass Exclusion:

Sub Account:  Reimb Eligible:

Site Location:  Reimb Status: Allowed for Reimbursement

► Description Contact

► Highway Project

► Fixed Asset Information

Top

Save Undo Print Validate Submit Close

9) Click **Validate** and check for errors at the top of the screen. After any errors are cleared, click Submit at the bottom of the screen and wait to see that the document submission was successful.

10) Go to the Project log to enter the project information for this project. The log is located at:

**X:\XCHANGE\State Transit Grants Branch\Advantage\Log of Project IDs and EAs**

**Reviewing the Revised CTC Vote List:**

After the CTC meeting, the revised vote list is available at the CTC Liaison website located at: <http://www.dot.ca.gov/hq/transprog/ctcliason.htm>

**2.5 Highway Financial Matters**

Project # Allocation Amount Recipient RTPA/CTC District-County	Project Title Location Project Description	Program/Year Phase Prgm'd Amount • Project ID • Adv Phase • EA	Budget Year Item # Fund Type Program Code	Amount by Fund Type
<b>2.5g.(10b) Proposition 1B – Locally Administered SLPP Transit Projects</b>		<b>Resolution SLP1B-A-1112-14</b>		
1 \$20,268,000  San Diego Association of Governments SANDAG 11-San Diego	<b>Blue Line Station Rehabilitation.</b> Reconstruct stations along the entire corridor with high platforms from the 12 <sup>th</sup> and Imperial Transfer Station to San Ysidro, including ADA upgrade access, rail and bus shelter replacement/additions, fiber optic communications and message signage installation and increased parking.  (CEQA –SE, 15275(a).)  (Concurrent Programming Amending under Resolution SLP1B-P-1112-06; January 2012)  (Contributions from other sources: \$55,033,000.)  <u>Outcome/Output:</u> Reduce wait times and improve overall on-time system performance. Increase parking capacity and improve access to stations.	SLPP/11-12 CONST \$20,268,000 • 1112000094 • S • R308GA	■ 2011-12 ■ 104-6060 ■ SLPP ■ 30.10.724.000	■ \$20,268,000

**District Project Control needs to be provided with the following information from the Revised CTC Vote List in order to complete the CAM:**

<b>Project ID</b>	<b>Budget Item #</b>
<b>Advantage Phase</b>	<b>Fund Type</b>
<b>EA</b>	<b>Program Code</b>
<b>Budget Year</b>	<b>Allocation Amount</b>

**Note:**

**Our projects are considered “Subvention”, so District Project Control should also be told to use 2200 for the Task field and 0000 for the Sub Task field. These fields are derived from the Category of Expenditure (COE) values.**

**The COE is found in the Accounting Coding Manual, Volume 1 found at:**

**[http://onramp.dot.ca.gov/hq/accounting/Coding\\_Manual1/Tables/Ch08\\_Table1-3.htm](http://onramp.dot.ca.gov/hq/accounting/Coding_Manual1/Tables/Ch08_Table1-3.htm)**

## Verifying the Budget 94 Has Been Entered by HQ Budgets Division:

The Division of Budgets usually enters the project Budget within several working days following the CTC meeting. To check to see if the Division of Budgets has entered the project Budget from the recent CTC meeting, enter BQ94LV3 in the Page Code field and click “Go”

https://www.ctpass.dot.ca.gov/ - AMS Advantage - Windows Internet Explorer

AMS ADVANTAGE (201)

Welcome, LISA R LAFORET-FAVILLA

Home Personalize Help Accessibility Logout

Workspace

Page Code: BQ94LV3 Go

Financial - Production

Message Center

Search

History

Favorites

Administration

INSTANCE - Financial

InfoAdvantage

### Worklist

Select Worklist: LISA R LAFORET-FAVILLA

Level: [v]

Code: [x]

Dept: [ ]

ID: [ ]

Route Clear

[Level] [Code] [Dept] [ID] [Comments] [Creator ID] [Submitter ID] [Date] [Reason] [Message]

First Prev Next Last Approve Revert Take Task Return Task Refresh

Menu Recall

Which yields this screen:

https://www.ctpass.dot.ca.gov/ - AMS Advantage - Windows Internet Explorer

AMS ADVANTAGE (201)

Welcome, LISA R LAFORET-FAVILLA

Home Personalize Help Accessibility Logout

Workspace

Page Code: BQ94LV3 Go

### Project Budget: Level 3

Menu Back Quick Search

Department Project Phase Fund Appr Category Appr Unit PEC PECT Name Current Budget Encumbered Actual Expenses Unobligated

First Prev Next Last

Department: [ ] Appr Category: [ ]

Project: [ ] Appr Unit: [ ]

Phase: [ ] PEC: [ ]

Fund: [ ] PECT: [ ]

Ok Clear Cancel

Actual Expenses: [ ]

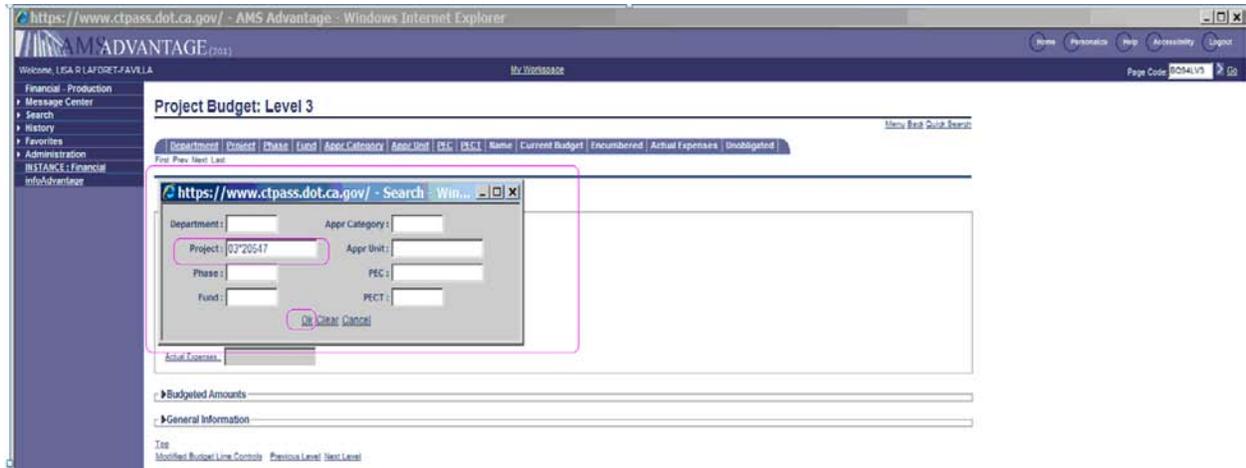
Budgeted Amounts

General Information

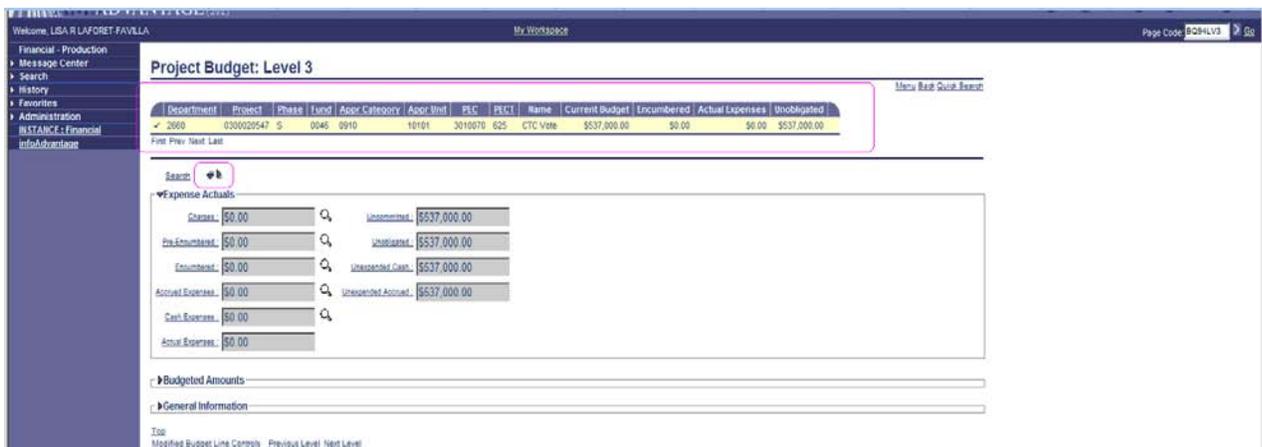
Go

Modified Budget Line Control Previous Level Next Level

Enter the project ID # on the popup screen and click “Ok” at bottom of the popup:



Which yields this screen:



We can see that the Division of Budgets has taken action (completing a BGE94) following the CTC meeting as the funding voted on the project appears on the right of the screen. You can expand the Budget area to see more information including the Adopted Budget by clicking on the arrow to the left of Budgeted Amounts or the character next to the word "Search" which expands all areas on the screen.

The screenshot displays the 'Project Budget: Level 3' page in the AMS Advantage system. The browser address bar shows the URL: <https://www.ctpass.dot.ca.gov/> - AMS Advantage - Windows Internet Explorer. The user is identified as LISA R LAFORET-FAVILLA. The page features a table with the following data:

Department	Project	Phase	Fund	Appr. Category	Appr. Unit	PEC	PECT	Name	Current Budget	Encumbered	Actual Expenses	Unobligated
✓ 2660	0300020547	S	0046	0910	10101	3010070	625	CTC Vote	\$537,000.00	\$0.00	\$0.00	\$537,000.00

Below the table, there are two main expandable sections:

- Expense Actuals:** This section is currently collapsed. It contains several rows with values of \$0.00 and \$537,000.00, including categories like Uncommitted, Unobligated, Unexpended Cash, and Unexpended Accrued.
- Budgeted Amounts:** This section is currently expanded and highlighted with a pink box. It shows:
  - Adopted: \$537,000.00
  - Current Budget: \$537,000.00
  - Allocated: \$0.00
  - Budget Balance: \$0.00
  - Amendments: \$0.00
  - Transfer Out: \$0.00
  - Original Budget: \$537,000.00
  - Transfer In: \$0.00

At the bottom of the page, there is a 'General Information' section and a 'Top' link. The footer includes 'Modified Budget Line Controls' and 'Previous Level Next Level'.

**Verifying the Funding Profile Entered by District Project Control:**

After the Budget is entered, the DTR should contact their District Project Control (DPC) staff to do the CAM document to add the project’s funding information. The DTR should provide District Project Control staff with the **Revised Vote List** found at the Division of Transportation Programming, Office of the CTC Liaison website located at:

<http://www.dot.ca.gov/hq/transprog/ctcliason.htm>

Please make sure that DPC understands that the CAM is for a single (S) phase Modal project, regardless of what phase was voted for at the CTC meeting (CON, R/W, etc.).

To check that the funding profile has been entered according to the CTC vote, the DTR/and or DMT State Grants staff should do the following:

1. Have the Revised Vote list available so that the coding on the Funding Profile entered by the District can be verified against the Revised Vote List.
2. Use page FPI2 to find the funding profile number based on the project ID # entered. For this example, we will use **Project ID #0513000049** voted at the December 2012 meeting. The vote list is shown below:

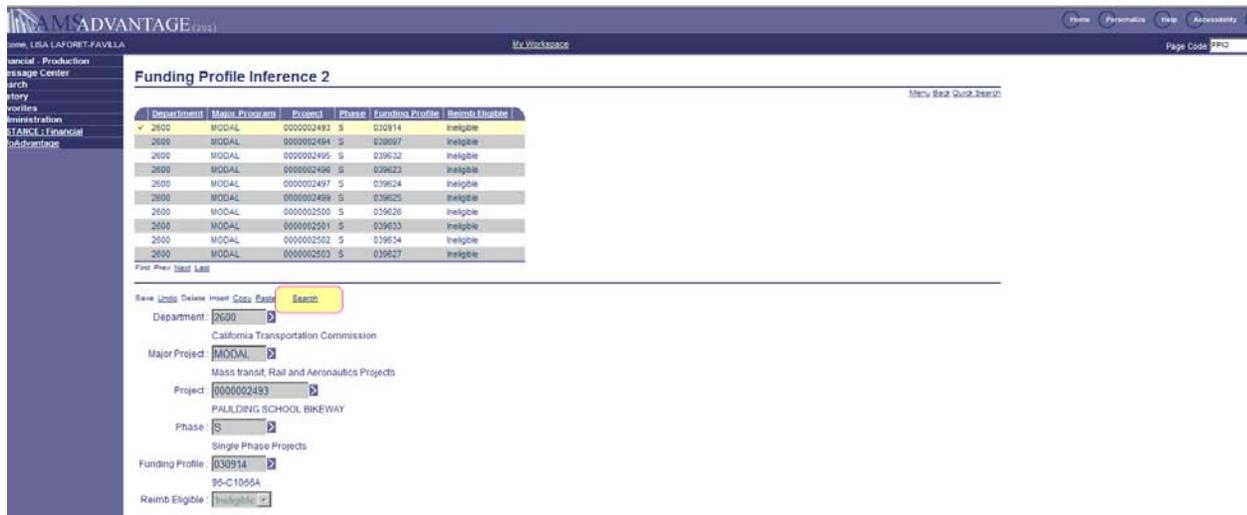
**CTC Financial Vote List** December 5-6, 2012  
**2.6 Mass Transportation Financial Matters**

Project # Allocation Amount Recipient RTPA/CTC District-County	Project Title Project Description	Dist-PPNO Program / Year Programmed: Phase Prgm'd Amount Project ID Adv Phase EA	Budget Year Item # Fund Type Program Code	Amount by Fund Type
<b>2.6a. Locally Administered STIP Transit Projects</b> <span style="float: right;"><b>Resolution MFP-12-04</b></span>				
1 \$50,440,000 Santa Clara Valley Transportation Authority San Francisco Bay Area Rapid Transit District MTC 04-Santa Clara	<b>Warm Springs to Berryessa Extension.</b> Extend BART from Warm Springs Station to future Berryessa Station in San Jose, including expanded capacity for maintenance and warehouse activities for the future BART fleet.  (Future Consideration of Funding - Resolution E-11-58; August 2011)  (Contributions from other sources: \$64,260,000.)  <u>Outcome/Output:</u> Construct BART extension for expanded service and provide expanded capacity for maintenance and warehouse activities for the future BART fleet.	04-2147D RIP/12-13 CONST \$50,440,000 0412000568 S R312TA	2012-13 101-0890 FTF 30.10.070.625	\$50,440,000
2 \$5,350,000 Santa Cruz County Regional Transportation Commission SCCRTC 05-Santa Cruz	<b>Santa Cruz Branch Line Improvements.</b> In Santa Cruz County, from Davenport to Watsonville Junction. Improve the Santa Cruz Branch Line to continue existing freight and recreational rail service and facilitate implementation of new recreational rail passenger service.  (Future Consideration of Funding - Resolution E-09-105; December 2009.)  (An 18-month time extension for allocation of FY 2010-11 funds programmed for CONST was approved and expires December 31, 2012.)	05-0932 RIP/10-11 CONST \$5,350,000 0513000049 S R127TE	2011-12 101-0046 PTA 30.10.070.625	\$5,350,000

Log on to Advantage and enter FPI2 as the page code and hit Enter



At the next screen, locate the Search link and click on it



When the popup appears on the screen, enter the project ID number and press Ok

## Funding Profile Inference 2

Department	Major Program	Project	Phase	Funding Profile	Reimb Eligible
✓ 2600	MODAL	0000002493	S	030914	Ineligible
2600	MODAL	0000002494	S	038897	Ineligible

https://www.ctpass.dot.ca.gov/ - Search - Wi... - [Close] [Maximize] [Refresh]

Department :  > Phase :  >

Major Project :  > Funding Profile :  >

Project :  > Reimb Eligible :  >

[Ok](#) [Clear](#) [Cancel](#)

Save [Undo](#) [Delete](#) [Insert](#) [Copy](#) [Paste](#) [Search](#)

Department :  >  
California Transportation Commission

Major Project :  >  
Mass transit, Rail and Aeronautics Projects

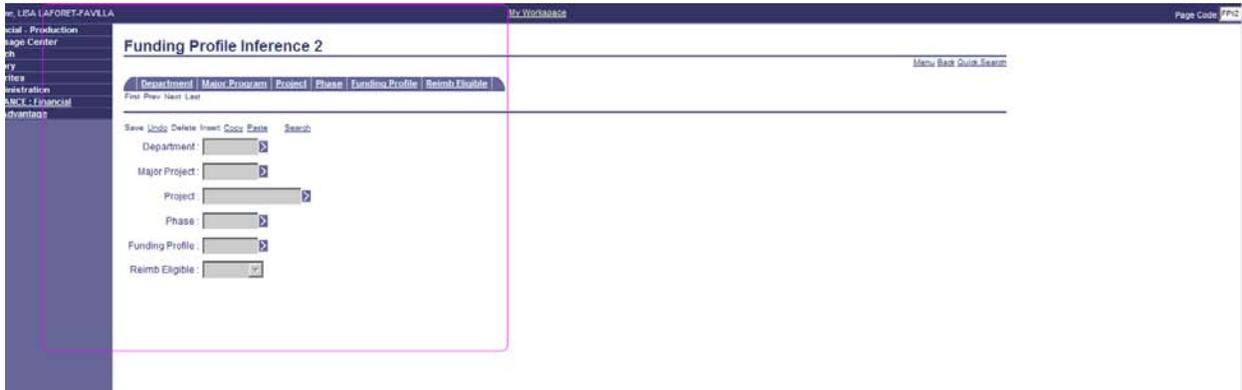
Project :  >  
PAULDING SCHOOL BIKEWAY

Phase :  >  
Single Phase Projects

Funding Profile :  >  
96-C1066A

Reimb Eligible :  >

From the screen below, we can see that no information appears on the screen. This means that a funding profile has either not been entered, or the CAM that included the funding profile was entered, but not yet approved by HQ Project Control in Accounting. If this screen appears, the DTR should contact their District Project Control staff to inquire on the status of the funding profile.



**Above: Example of a project without an approved funding profile in Advantage**

The example below is for checking on the funding profile for project ID #0512000225

**CTC Financial Vote List**

June 27-28, 2012

**2.6 Mass Transportation Financial Matters**

Project #	Allocation Amount	Recipient RTPA/CTC District-County	Project Title Project Description	Dist-PPNO Program / Year Programmed: Phase Prgm'd Amount Project ID Adv Phase EA	Budget Year Item # Fund Type Program Code	Amount by Fund Type
<b>2.6a.(1a) Locally Administered STIP Transit Projects</b>			<b>Resolution MFP-11-15</b>			
1	\$250,000	San Benito County Local Transportation Authority <u>San Benito COG</u> 05-San Benito	<b>Replacement Vehicles.</b> Countywide in San Benito County. Acquisition of one 37-foot, 36-passenger, diesel powered with three wheelchair tie-down bus, one 16-foot, 5 passenger, gasoline powered with one wheelchair tie-down minivan and one Type II, 21-foot, 14-passenger, gasoline powered with two wheelchair tie-down bus.  <u>Outcome/Output:</u> Decrease single occupancy vehicle trips and replace aging vehicle from fleet.	05-1969 RIP/11-12 CONST \$250,000 0512000225 S T196TB	2010-11 101-0046 PTA 30.10.070.626	\$250,000

Again, log onto Advantage and use page code FPI2 to search for the funding profile by using the project ID number. Locate the Search link and click on it.

ADVANTAGE (202) Home Personalize Help Accessibility Logo  
FAVILLA My Workspace Page Code: FPI2

### Funding Profile Inference 2

Menu Back Quick Search

Department	Major Program	Project	Phase	Funding Profile	Reimb Eligible
✓ 2600	MODAL	0000002493	S	030914	Ineligible
2600	MODAL	0000002494	S	038687	Ineligible
2600	MODAL	0000002495	S	039632	Ineligible
2600	MODAL	0000002496	S	039623	Ineligible
2600	MODAL	0000002497	S	039624	Ineligible
2600	MODAL	0000002499	S	039625	Ineligible
2600	MODAL	0000002500	S	039626	Ineligible
2600	MODAL	0000002501	S	039633	Ineligible
2600	MODAL	0000002502	S	039634	Ineligible
2600	MODAL	0000002503	S	039627	Ineligible

First Prev Next Last

Save Undo Delete Insert Copy Paste Search

Department: 2600  
California Transportation Commission

Major Project: MODAL  
Mass transit, Rail and Aeronautics Projects

Project: 0000002493  
PAULDING SCHOOL BIKEWAY

Phase: S  
Single Phase Projects

Funding Profile: 030914  
96-C1066A

Reimb Eligible: Ineligible

Enter the project ID number, 0512000225 in the project field and press Ok.

ADVANTAGE (202) Home Personalize Help Accessibility Logo  
Welcome, LISA LAFORET-FAVILLA My Workspace Page Code: FPI2

### Funding Profile Inference 2

Menu Back Quick Search

Department	Major Program	Project	Phase	Funding Profile	Reimb Eligible
✓ 2600	MODAL	0000002493	S	030914	Ineligible

Department: [ ] Phase: [ ]

Major Project: [ ] Funding Profile: [ ]

Project: 0512000225 Reimb Eligible: [ ]

OK CLEAR Cancel

Save Undo Delete Insert Copy Paste Search

Department: 2600  
California Transportation Commission

Major Project: MODAL  
Mass transit, Rail and Aeronautics Projects

Project: 0000002493  
PAULDING SCHOOL BIKEWAY

Phase: S  
Single Phase Projects

Funding Profile: 030914  
96-C1066A

Reimb Eligible: Ineligible

Project information appears on the screen, including the funding profile number, L00952, as shown below:

### Funding Profile Inference 2

Department	Major Program	Project	Phase	Funding Profile	Reimb Eligible
✓ 2660	MODAL	0512000225	S	L00952	Ineligible

First Prev Next Last

Save Undo Delete Insert Copy Paste Search

Department : 2660

Department of Transportation

Major Project : MODAL

Mass transit, Rail and Aeronautics Projects

Project : 0512000225

Replacement Vehicles

Phase : S

Single Phase Projects

Funding Profile : L00952

05-T196TB Ineligible

Reimb Eligible : Ineligible

Copy the funding profile number, and enter page code FPRFLST to view the information in the funding profile. Click Go after entering FPRFLST in the page code field, then paste the funding profile information in the Funding Profile field. Then, click Browse.

### Funding Profile Select

Browse Clear

Department :

Major Project :

Funding Profile : L00952

Department	Major Project	Funding Profile	Funding Profile Name	Effective From	Effective To	Active
✓ 2600	MODAL	030914	96-C1066A			Yes
2600	MODAL	030915	96-C1246A			Yes
2600	MODAL	038696	96-C1066A			No
2600	MODAL	038697	96-C1246A			Yes
2600	MODAL	039623	96-R1276B			Yes
2600	MODAL	039624	96-R1316A			Yes
2600	MODAL	039625	96-R1506A			Yes
2600	MODAL	039626	96-R1706A			Yes
2600	MODAL	039627	96-R2306A			Yes
2600	MODAL	039628	96-R5356A			Yes

Copy First Prev Next Last

View Funding Profile

Add Funding Profile

The screen below provides information about the project. Click on the View Funding Profile field to view the funding profile information which has been entered.

## Funding Profile Select

[Browse](#) [Clear](#)

Department :

Major Project :

Funding Profile :

Department	Major Project	Funding Profile	Funding Profile Name	Effective From	Effective To	Active
✓ 2660	MODAL	L00952	05-T196TB Ineligible			Yes

[Copy](#) [First](#) [Prev](#) [Next](#) [Last](#)

[View Funding Profile](#)

[Add Funding Profile](#)

At this screen, select the Funding Line in the Secondary Navigation panel on the left side of the screen to view more information on the funding information entered.

Welcome, LISA LAFORET-FAVILLA [My Workspace](#)

**Funding Profile**

**Funding Profile Summary**  
[Save](#) [Undo](#) [Delete](#) [Insert](#) [Copy](#) [Paste](#) [Search](#) [First](#) [Prev](#) [Next](#) [Last](#) [Refresh](#)

**General Information**

\*Department :  Active :

\*Major Project :  Budgeting :

Mass transit, Rail and Aeronautics Projects Mjr Prog From :  
Mjr Prog To :

\*Funding Profile :

\*Funding Profile Name :  Description :

Effective From :

Effective To :

**Reimbursement Options**

[Top](#)  
[Funding Profile Select](#)

After clicking on the Funding Line, you will see the screen below. Expand the Front-End Split sections by clicking on the arrow in front of it.

## Funding Profile

### Funding Line Summary

Department	Major Project	Funding Profile	Funding Priority	Funding Line	Federal Appropriation No.	Reimb %	Tot Buyer Line %	CMA Method	Customer ID
✓ 2660	MODAL	L00952	10	1		100.00%	0.00%	None	CALTRANS

First Prev Next Last

### Details

Save Undo Delete Insert Copy Paste

#### General Information

Department : 2660  
Major Project : MODAL  
Funding Profile : L00952  
Funding Priority : 10  
Funding Line : 1

#### Reimbursement Options

#### Reimbursement

#### Front-End Split

#### Funding Identification

Top

Funding Profile Select

***It is important to carefully examine the funding information found in the Front-End Split section, checking it against the CTC voted information.***

### CTC vote list items:

**Budget Year:** The CTC Vote List shows that Budget Year **2010-11** should be used with the project.

**Budget Item:** The Budget Item # per the Vote list is **101-0046**.

**Program Code:** The Program Code voted was **30.10.070.626**.

### Front-End Split Information:

**Fund:** The field correctly shows the fund as **0046**.

**Appropriation Unit:** This correctly reflects the last two digits of the Fiscal year (11) + the first 3 digits of the Budget Item (101), for a value of **11101**.

**PEC and PECT:** **3010070 and 626**. These match the Program Code on the Vote list.

**Task and Sub Task:** These correctly show our task and sub task of **2200 and 0000** which are for Subvention and are derived from the Category of Expenditure (COE) found in the Accounting Coding Manual, Volume 1.

## Funding Profile

### Funding Line Summary

Department	Major Project	Funding Profile	Funding Priority	Funding Line	Federal Appropriation No.	Reimb %	Tot Buyer Line %	CMA Method	Customer ID
✓ 2660	MODAL	L00952	10	1		100.00%	0.00%	None	CALTRANS

First Prev Next Last

### Details

Save Undo Delete Insert Copy Paste

#### General Information

Department : 2660  
 Major Project : MODAL  
 Funding Profile : L00952  
 Funding Priority : 10  
 Funding Line : 1

#### Reimbursement Options

#### Reimbursement

#### Front-End Split

Fund : 0046	Reporting :
Sub Fund :	Sub Reporting :
Unit :	Dept Object :
Sub Unit :	Task : 2200
Appr Unit : 11101	Sub Task : 0000
PEC : 3010070	
PECT : 626	

#### Funding Identification

Top  
[Funding Profile Select](#)

## Comparing the funding profile for the project in the Advantage System (above) to the CTC vote list shown below

### CTC Financial Vote List

June 27-28, 2012

#### 2.6 Mass Transportation Financial Matters

Project # Allocation Amount Recipient RTPA/CTC District-County	Project Title Project Description	Dist-PPNO Program / Year Programmed: Phase Prgm'd Amount Project ID Adv Phase EA	Budget Year Item # Fund Type Program Code	Amount by Fund Type
<b>2.6a.(1a) Locally Administered STIP Transit Projects</b>				
<b>Resolution MFP-11-15</b>				
1 \$250,000 San Benito County Local Transportation Authority San Benito COG 05-San Benito	<b>Replacement Vehicles.</b> Countywide in San Benito County. Acquisition of one 37-foot, 36-passenger, diesel powered with three wheelchair tie-down bus, one 16-foot, 5 passenger, gasoline powered with one wheelchair tie-down minivan and one Type II, 21-foot, 14-passenger, gasoline powered with two wheelchair tie-down bus.  <u>Outcome/Output:</u> Decrease single occupancy vehicle trips and replace aging vehicle from fleet.	05-1969 RIP/11-12 CONST \$250,000 0512000225 S T196TB	2010-11 101-0046 PTA 30.10.070.62p	\$250,000

**If the information on the funding profile does NOT match the CTC vote list, DMT staff and the DTR need to work with District Project Control staff to correct the information prior to DMT staff keying the CT document.**

## Verifying the Vendor in the Advantage System and Completing the CT:

After the funding profile for the project has been found and verified as correct in the Advantage system, it is then time to key the CT document to encumber the funds for the project and make possible the payment of invoices submitted to Caltrans by the local agency. The trigger to key the CT document is receipt in DMT of the five copies of the Program Supplements signed by the local agency and the Deputy District Director.

Prior to keying the CT document, the Funding Profile should be checked against the CTC Vote list as described above.

After the Funding Profile has been verified, the vendor (the local agency) should be checked in the system to make sure that the vendor exists and is active.

Take these steps to verify the vendor is in the system and active:

Log on to Advantage and use page Code VCUST and press Enter

Enter the local agency's name, or partial name, surrounded by asterisks, as shown and press Ok:

### Vendor/Customer

Vendor/Customer Legal Name Vendor Active Status Customer Active Status  
First Prev Next Last

https://www.ctpass.dot.ca.gov/ - Search - Windows Internet Expl...  
Legal Name : \*SAN BENITO COUNTY L Last Name :  
Alias/DBA : Vendor Active Status :  
Vendor/Customer : Customer Active Status :  
Taxpayer ID Number : VSS Registered :  
Ok Clear Cancel

Customer Active Status :  
Inventory Customer :  
Customer Approval Status : Active From :  
Location Name : Active To :  
First Name : Department :  
Middle Name : Unit :  
Last Name :  
Company Name :

## Vendor/Customer

Vendor/Customer	Legal Name	Vendor Active Status	Customer Active Status
✓ VC0000020543	SAN BENITO COUNTY LOCAL TRANSPORTATION AUTHORITY	Active	N/A

First Prev Next Last

---

Save Undo Delete Insert Copy Paste Search

▼General Info

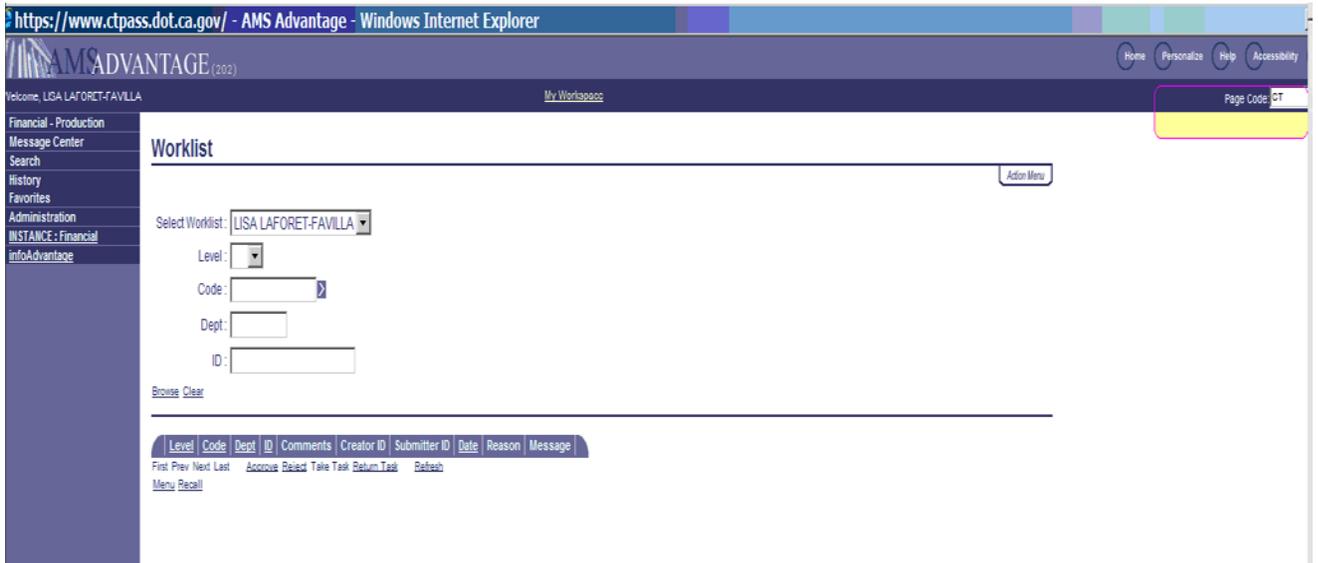
Vendor/Customer:	VC0000020543	Restrict Use by Department:	<input type="checkbox"/>
Legal Name:	SAN BENITO COUNTY LOCAL TRANSPORTATION AUTHORITY	Miscellaneous Account:	<input type="checkbox"/>
Alias/DBA:		Internal Account:	<input type="checkbox"/>
Vendor Active Status:	Active	Third Party Only:	<input type="checkbox"/>
Vendor Approval Status:	Complete	Third Party Vendor:	<input type="checkbox"/>
Customer Active Status:	N/A	Third Party Customer:	<input type="checkbox"/>
Customer Approval Status:	N/A	Inventory Customer:	<input type="checkbox"/>
Location Name:		Active From:	07/01/1950
First Name:		Active To:	
Middle Name:		Department:	
Last Name:		Unit:	
Company Name:	SAN BENITO COUNTY LOCAL TRANSPORTATION AUTHORITY		

Verify that the address shown in the system is correct. If there are several addresses in the system, contact the DTR to ask him to verify with the local agency the correct address, the one to which reimbursements should be sent. If the local agency is not active or not listed in the system, contact the Vendor Maintenance staff at Caltrans Accounting.

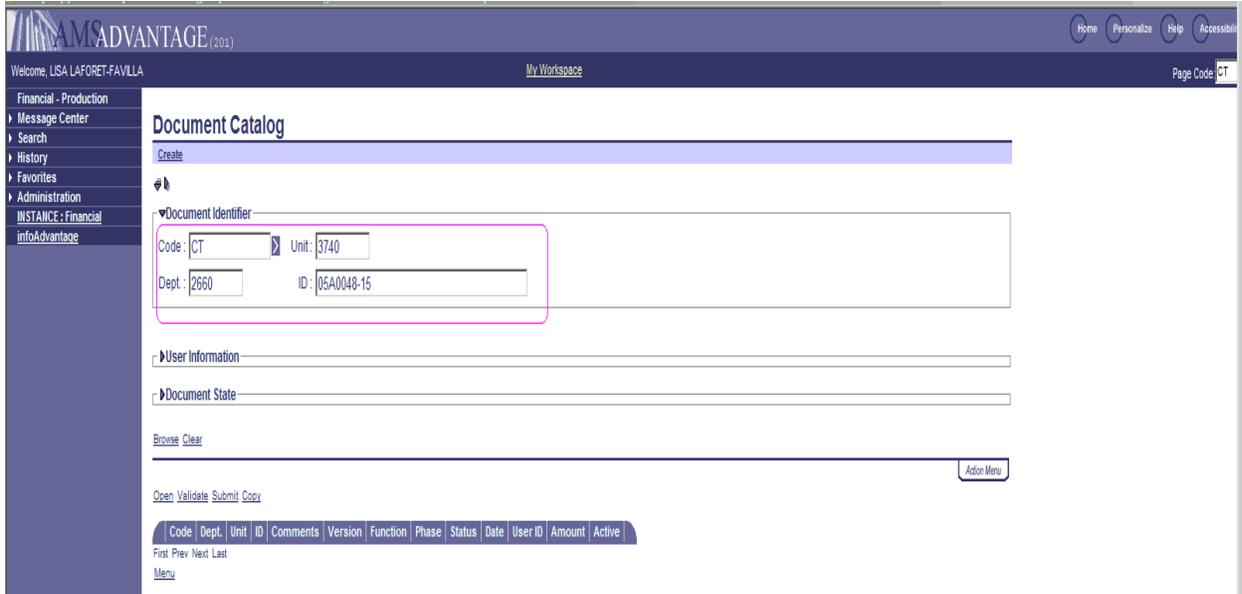
### Entering the CT document:

When both the funding profile and vendor information have been verified as correct, it is time to enter the CT document which is based on the program supplement. This is accomplished by first logging into the Advantage system.

After logging onto Advantage, enter Page Code CT and press Enter to navigate to the CT page.



Enter the Dept. Number (2660), Unit (3740), and ID, which is the PS Number. **For this example, we are using a fictitious PS Number, 05A0048-15 with the Santa Cruz Metropolitan Transit District in Dist 5.** After entering this information, click Create located near the top of the screen under Document Catalog.



At this next screen, select Create as we do **not** want to use Auto Numbering as we want to use the Program Supplement number as the CT ID number.

Welcome, LISA LAFORET-FAVILLA My Workspace

Financial - Production  
▶ Message Center  
▶ Search  
▶ History  
▶ Favorites  
▶ Administration  
INSTANCE : Financial  
infoAdvantage

### Document Catalog

Search

▼ Document Identifier

Code :  Unit :   
Dept :  ID :

▼ Other Options

Auto Numbering :   
Create Template :

**Create**  
Menu

For the CT document, we enter information on the following Advantage CT screens: Header, Vendor, Commodity, and Accounting. Following is the Header Screen which appears after clicking Create on the previous screen. On the Header screen, we expand the Sections by clicking directly below the Header to enter the following:

**Document Name:** Enter the actual name of the project.

**Document Description:** Enter the EA assigned to the project.

**Procurement Type ID:** Use the pick list to select 13 which is for Non-DPAC Mass Transit contract.

**Cited Authority:** Use the pick list to select the correct cited authority based on what funding is being used for the project. The example reflects Prop 1B—SLPP funding.

**Requestor ID:** enter your s number using a lower case s.

After these fields have been completed, click Save on the bottom of the screen.

CT - 2660- 05A0048-15- 1- New- Draft

Document View  
Header  
General Information  
Reference  
Contact  
Modification  
Extended Description  
Default Shipping/Billing  
Reporting  
Document Information  
Vendor  
Business Type  
Sub Vendor  
Accounting Distribution  
Terms and Conditions  
Special Instructions  
Commodity  
Commodity T & C  
Accounting  
Posting  
Supporting Documents  
Document Comments  
Document Attachments  
Document History  
Document Reference  
Future Triqgering  
Forms

Load T and C Ship/Bill To Lines  
Load Accounting Profile

Header

General Information

Document Name : CNG Conversion Project

Record Date :

Budget FY :

Fiscal Year :

Period :

Document Description : 05-T492GA

Actual Amount : \$2,000,000.00  
Closed Amount : \$0.00  
Closed Date :   
Open Amount : \$2,000,000.00

PCard ID :   
PCard Exp :   
Procurement Folder : 2414807  
Procurement Type : Non-DPAC Mass Transit Contract  
Procurement Type ID : 13  
Cited Authority : GC 8879.70(2) & (3)  
SLPP State funded Mass Transportation projects  
Accounting Profile :   
Terms Template :   
Confirmation Order :   
Default Form :   
Last Print Date :   
Total of Header Attachments : 0  
Total of All Attachments : 0

Reference

Allow Partial Receipts : Yes  
Agreement Code :   
Agreement Dept :   
Agreement ID :   
Agreement Vendor Line : 1  
Board Award :   
Board Award Date :

Old Doc Code :   
Old Doc Dept :   
Old Doc ID :   
New Doc Code :   
New Doc Dept :   
New Doc ID :

Ref Amount : \$0.00  
Ref Liquidated : \$0.00

Contact

Issuer ID : s124137  
Team ID :   
Buyer :   
LISA LAFORET-FAVILLA  
(916) 654-9871  
lisa.laforet-favilla@dot.ca.gov  
Requestor ID : s124137

Click on the Vendor section on the left side of the screen (Secondary Navigation Panel) to enter the vendor information. Enter the Vendor number here that you looked up previously and then tab to the Address Code field. Select the correct address from the pick list for Address Code. Then, click Save at the bottom of the screen.

CT 2660 05A0048-15-1

**Document View** CT - 2660-05A0048-15-1- New- Draft Action Menu

Lead, T and C Ship/Bill To Lines

Vendor Line	Vendor Customer	Legal Name	Line Amount	Modified
1	VC0000018704		\$0.00	false

First Prev Go To Next Last

**Vendor**

Vendor Customer: VC0000018704 Vendor Contact ID:

Legal Name:  Vendor Contact Name:

Alias/DBA:  Vendor Contact Phone:

Address Code: AD002 Vendor Contact Phone Ext.:

Vendor Preference Level:  Vendor Contact Email:

Web Address http://:  Secondary Reason:

Modified: false

**Discount**

Top

Menu View Assembly Request

Select Commodity from the Secondary Navigation panel. Click Insert New Line near the top of the screen to allow entry into the necessary fields. Enter the following on the Commodity screen:

**Commodity:** Always enter ONT (this stands for Other Non-Taxable)

**Line Type:** Always enter Service

**Contract Amount:** Enter the dollar amount of the CTC allocation

**Service From:** Enter the date of the CTC allocation

**Service To:** Enter the ending date based on the termination date on the Program Supplement.

**Extended Description:** Enter the DTR contact information, the PPNO, CTC Resolution date and phase for which the allocation was received.

After these fields have been completed, click Save on the bottom of the screen.

CT 2660 05A0048-15 1 CT - 2660-05A0048-15-1- New- Draft

Document View

Header

Vendor

Business Type

Sub Vendor

Accounting Distribution

Terms and Conditions

Special Instructions

Commodity

General Information

Reference

Shipping/Billing

Specification

Matching

Retainage

Tolerance

Discount

Commodity T & C

Accounting

Posting

Supporting Documents

Document Comments

Document Attachments

Document History

Document Reference

Future Triggering

Forms

Load T and C Ship/Bill To Lines

Line	CL Description	Line Amount	Modified
1	Other Non-Taxable	\$2,000,000.00	false

Insert New Line Insert Copied Line

Load T and C Ship/Bill From Header

Recalculate Accounting Line Amount

General Information

CL Description: Other Non-Taxable

Warehouse:

Commodity: ONT

Stock Item Suffix:

Other Non-Taxable

Supplier Part Number:

Line Type: Service

Quantity: 0.00000

Unit:

Unit Price: \$0.00

Discounted Unit Price: \$0.00

List Price: \$0.00

Contract Amount: \$2,000,000.00

Service From: 12/06/2012

Service To: 06/06/2013

Accounting Profile:

Accounting Template:

Tax Profile:

Recycled Content:

T & C Template:

Fixed Asset:

Lock Order Specs:

Lock Catalog List Price:

Allow Promotional Pricing:

Vendor Preference Level: 99

Inactive Line:

Commodity Specs:

Extended Description

Dist Contact: Mark McCumsey  
(805) 549-3963  
PPNO: 05-0999  
CTC Res Date: 12/6/12 for CON

Non-Reserved Funding Open Amount Total: \$2,000,000.00

Item Sub Total: \$2,000,000.00

Tax Amount: \$0.00

Line Amount: \$2,000,000.00

Closed Amount: \$0.00

Open Amount: \$2,000,000.00

Closed Quantity: 0.00000

Open Quantity: 0.00000

Closed Contract Amt: \$0.00

Open Contract Amount: \$2,000,000.00

Referenced Line Amount: \$0.00

Modified: false

Number of Attachments: 0

Select Accounting on the Secondary Navigation panel on the left side of the screen. Click Insert New Line near the top of the screen to allow entry into the necessary fields. Enter the following on the Accounting screen after clicking on the Expand All icon directly above General Information near the top of the screen in order to see all fields needing entries:

**Event Type:** C401 (for Project Encumbrance).

**Budget FY:** Enter the Budget FY as voted by the CTC. Example: If the project was using FY 2010-11 funds, then 2011 would be entered per the example below. If FY 2011-12 funds were being used, then 2012 would be entered for Budget FY.

**Fund:** Always use 0048 which is the office revolving fund. The CAM document completed by District Project Control has the correct fund, 0046, for example.

**Department:** Always use 2660 which denotes Caltrans.

**Unit:** Always use 3740 which is DMT State Grants. This ensures that the CT will be routed to supervisors in DMT for approval.

**Object:** Always use 049.

**Project:** Enter the Project ID number which was previously established and voted by the CTC.

**Phase:** Always enter S as we have been instructed by Accounting to use S (single phase).

After these fields have been completed, click Save on the bottom of the screen.

The screenshot shows a software interface for creating a new line item. The interface includes a sidebar menu on the left, a table at the top, and several sections for entering data: General Information, Reference, Fund Accounting, and Detail Accounting. Fields for Event Type, Budget FY, Fund, Department, Unit, Object, Project, and Phase are highlighted with yellow boxes.

Line	Line Amount	Line Closed Amount	Line Open Amount	Modified
0		\$0.00		false

**General Information**

Event Type: C401 Budget FY: 2011

Accounting Template: Fiscal Year: Period: Freight %: Modified: false

Line Description: Line Amount: Number of Attachments: 0 Line Closed Amount: \$0.00 Line Closed Date: Line Open Amount: Reserved Funding: Refereced Line Amount: \$0.00

**Reference**

Ref Code: Ref Vendor Line: Ref Dept: Ref Commodity Line: Ref ID: Ref Accounting Line: Ref Type:

**Fund Accounting**

Fund: 0048 Object: 049 OBSA: Sub Fund: Sub Object: Sub OBSA: Department: 2660 Revenue: Dept Object: Unit: 3740 Sub Revenue: Dept Revenue: Sub Unit: BSA: Appr Unit: Sub BSA:

**Detail Accounting**

Location: Reporting: Major Project: Sub Location: Sub Reporting: Project: 0513000999 Activity: Task: Phase: S Sub Activity: Sub Task: Project Period:

**When all information has been entered on the CT, go back into each section into which you entered information (Header, Vendor, Commodity, and Accounting) to verify that what you entered is correct.** Then, click Validate near the bottom of the screen. If there are no errors needing action, click Submit near the bottom of the page, sending the CT into the approval process. Give all 5 copies of the CT to the two supervisors in DMT who will be approving it. Currently, these are Nancy Young, SSMI in the Administrative Unit as the first level approval and then to the Chief of State Transit Grants, Kathleen McClafin, the Sr. Transportation Planner. They approve the CT document in Advantage, and the Chief of State Transit Grants signs all copies of the Program Supplement.

### **RESOURCES**

Advantage and info Advantage Support Center Website:

<http://onramp.dot.ca.gov/hq/finance/advantage/>

Office of the CTC Liaison to check project information and Vote Lists:

<http://www.dot.ca.gov/hq/transprog/ctcliaison.htm>

## **Chapter 10**

### **OVERVIEW – THE TRANSPORTATION DEVELOPMENT ACT (TDA)**

The Mills-Alquist-Deddeh Act (SB 325) was enacted by the California Legislature to improve existing public transportation services and encourage regional transportation coordination. Known as the Transportation Development Act (TDA) of 1971, this law provides funding to be allocated to transit and non-transit related purposes that comply with regional transportation plans.

#### Statute References:

Public Utilities Code (PUC), Division 10, Part 11, Chapter 4, Articles 1-9  
California Code of Regulations (CCR), Title 21, Division 3:  
Subchapter 2, Articles 1-7 and  
Subchapter 2.5, Articles 1-5

#### **10.1 Calculation and Distribution of TDA funds:**

The **Local Transportation Fund (LTF)**: The State Board of Equalization, based on sales tax collected in each county, returns a ¼ cent of general retail sales tax revenues to each county's LTF. Each county then apportions the LTF funds within the county based on population.

The **State Transit Assistance (STA)**: The STA funds are appropriated by the Legislature to the State Controller's Office. That Office then allocates the tax revenue, by formula, to planning agencies and other selected agencies. Statute requires that 50% of STA funds be allocated according to population and 50% be allocated according to operator revenues from the prior fiscal year.

#### **10.2 Uses of TDA funds**

The TDA funds a wide variety of transportation programs, including planning and program activities, pedestrian and bicycle facilities, community transit services, public transportation, and bus and rail projects. **Providing certain conditions are met, counties with a population under 500,000 (according to the 1970 federal census) may also use the LTF for local streets and roads, construction and maintenance.**

**NOTE:** Unlike the LTF, STA funds can only be used for transportation planning and mass transportation purposes. STA funds cannot be used for streets and roads.

### **10.3 Apportionment Restriction of LTF Funds**

#### *PUC Sec 99232*

For counties with a population of 500,000 or more, as determined by the 1970 federal decennial census, but excluding counties with more than 4,500 miles of maintained county roads as of 1970, the amount representing the apportionments of the areas of all operators shall be available solely for claims for Section 99234 purposes and for Article 4 (commencing with Section 99260) and Article 4.5 (commencing with Section 99275) purposes, and any of those moneys not allocated in any year shall be available for those claims in subsequent years.

Counties as of 1970 **with a population of 500,000 or more as of 1970 are:** Alameda, Contra Costa, Los Angeles, Orange, Sacramento, San Bernardino, San Diego, San Francisco, San Mateo, and Santa Clara.

### **10.4 Public Participation in TDA**

Public participation is a key component of TDA. Public meetings are held to discuss transportation needs and listen to concerns voiced by the public. Regional planning agencies are required to establish Social Service Transportation Advisory Councils (SSTAC), comprised of the transit-dependent, including disabled, elderly and low-income representatives. SSTAC members work with local agencies in developing transit unmet needs criteria, which are used in making project approval decisions.

### **10.5 TDA Audits**

To ensure program compliance, fiscal and performance audits are conducted. Fiscal audits are conducted annually, and include transit operator's expense-to-revenue ratio, known as farebox recovery. Performance audits are conducted every three years and include performance measures that verify the efficiency and effectiveness of planning agencies and transit operators. Both fiscal and performance audits are conducted by entities designated by the transportation planning agency (other than itself), a county transportation commission, or an operator.

## 10.6 Roles and Responsibilities of Caltrans Staff in TDA

- Review/Approve Unmet Transit Needs Documentation. (PUC Sec 99401.6)
- Amend California Codes & Regulations to maintain consistency with statutes. (PUC Sec 99241)
- Review of Performance Audits for Transportation Planning Agencies (PUC Sec 99246(c))
- Review/Approve formulas to modify Fare Box ratio for Blended (Urban & Rural) Service (PUC Sec 99270.1)
- Review Schedule of Performance Audits on Operators (PUC Sec 99248). (Each planning agency must send us a schedule).
- Ensure TDA implemented according to TDA Law (PUC Sec 99315 (c))
- Maintain the TDA Guidebook and arrange for necessary statutory changes to reflect passage of recent legislation.

## 10.7 Review/Approve Unmet Transit Needs Documentation - Public Hearings/Unmet Transit Needs Documentation

The TDA law requires that transportation-planning agencies ensure the establishment and implementation of a citizen's participation process for each county or counties. This process must include two elements.

**One:** under section 99238, each transportation-planning agency shall provide for the establishment of a social services transportation advisory council (SSTAC). The SSTAC must have individuals representing the elderly, handicapped, and persons of limited means, and annually identifies transit needs within their jurisdiction.

**Two:** under section 99238.5, provisions must be made for at least one public hearing annually for the jurisdiction represented by the SSTAC. These meetings provide opportunities for obtaining public feedback on public transportation needs.

There is an additional process stipulated in the TDA called unmet transit needs process. In addition to the requirement of holding at least one public meeting annually and establishing an SSTAC committee, this process requires a resolution from the county board of supervisors adopting the unmet needs findings from the public hearings as well as approving of the definitions of 'Unmet Needs' and 'Reasonable to Meet. Documentation showing proof of the hearing notice as well as proof of publication is also required. This additional process is only required if there is any consideration of the use of TDA funds for anything other than transit needs, like Article 8 streets & roads. This is covered in section 99401.5 and 99401.6.

### **10.8 Review and Certification of Unmet Needs Documentation**

- Review the listing of the California counties (X:\XCHANGE\State Transit Grants Branch\TDA\Unmet Transit Needs) and determine if they are current in their submittal of the unmet needs documentation as stated in PUC Section 99401.6. - Contact the Planning Agencies if they are delinquent and find out where they are at in their unmet needs process.
- When a package is received, review all the documentation within the package to make sure all the elements stated in PUC Section 99401.6 have been provided. If all the necessary elements are present, a letter of certification can be provided. If the documentation is incomplete, call the RTPA and let them know what is needed to complete the package. If the documentation reveals an issue of non-compliance with the TDA law, that will need to be stated in the letter of certification. The template of the certification letters for each county is located at X:\XCHANGE\State Transit Grants Branch\TDA\UnmetTransit Needs. These letters just need to be modified from the previous year. Make sure the executive director stated on last year's letter is current, as well as the district contact person (to be cc'd) for that county.

Also prepare and fill out the checklist in DMT's x drive:

X:\XCHANGE\State Transit Grants Branch\TDA\UnmetTransit Needs.

- Submit your modified certification letter to DMT's admin staff and they will craft your modified letter as a formal letter. Admin staff will then give you the final version of the letter to be reviewed/approved by yourself and your supervisor. After this approval, the folder is returned to admin staff where it will be mailed out and a copy of the letter returned to you.
- Attach the certification letter and the filled-out checklist and attach it to the unmet needs documentation package.

### **10.9 Amend California Codes & Regulations to maintain consistency with statutes**

- The CCR must be amended when State Statutes are passed which impact TDA. There are several steps to amend the CCR. These steps include:
- Phase I: Publishing a 45-day notice period of the proposed change. This is accomplished by completing the following documents:
- Craft an Issue Memorandum from the Chief, Division of Mass Transportation to the Director. The template for the issue memo is found on the Caltrans Onramp. The issue memo provides the details of the change and includes two attachments: Proposed Amendments to the California Code of Regulations AND The Notice of proposed Rulemaking.

- After 45-day notice period has expired, prepare a package that includes an issue memo and a CTC route slip. You can get this route slip from the CTC liaison office. Besides the issue memo & the CTC route slip, the package includes the “Notice of Proposed Rulemaking”, “Initial Statement of Reasons”, a copy of the “Text of Proposed Amendments”, and a STD 400 (Notice Publication/Regulations Submission).

The following process then ensues:

- The package must be reviewed by the Division Chief, the Deputy Director and the Director.
- The CTC route slip must be initialed by the Division Chief, the Deputy Director & the Director. The Director must also sign the issue memo & the STD 400.
- After Departmental approval, a book item is prepared for submittal to the CTC liaison to be processed & placed on the agenda for the next CTC meeting.
- The Book Item is accompanied by the regulation package, a resolution, and the initialed pink CTC route slip.
- In the first CTC meeting, the proposed amendments are put on the ‘Notice’ list. In the next meeting, the proposed amendments are put on the consent calendar.
- With the approval of the CTC, the regulation package is ready for Phase II.

#### Phase II - External Approval, Amendment(s) Adopted

Total Package will now include a completed STD 399 (Fiscal and Economic Impact Statement) which is sent to the Agency Secretary (BTH) for their approval through the following process:

- Another issue memo must be written for the Director, accompanied with the Amendment Package that includes a completed STD 399.
- The Director must sign the issue memo before it can be sent to Agency. DMT then prepares a package with the Department’s Legal Office to be submitted to the Office of Administrative Law (OAL).
  - Package includes the signed STA 400, Notice of proposed Rulemaking, Text of Proposed Regulations, Initial Statement of Reasons, and the signed STD 399.
  - Caltrans Legal reviews package for content & verbiage. If the requested amendment(s) are not substantive, Caltrans legal can submit the package to the OAL

as “changes with no regulatory effect. If the changes are substantive, then DMT, under the direction of Caltrans Legal, must complete a binder with table of contents to submit to the OAL. There must be two copies made of the binder.

- Package sent to Director for approval.
- With proper review & signatures, Legal prepares the proper paperwork and submits package to OAL.
- OAL conducts its own 45-day review/comment period.
- After review period a booklet is prepared by DMT to be reviewed by Legal and then submitted to the OAL. If the amendment(s) are non-substantive only a simple package prepared by Caltrans legal is submitted to the OAL.
- With booklet (or package) approved a notice is sent to DMT & Secretary of State stating the CCR has been officially amended.

#### **10.10 Review of Performance Audits for Transportation Planning Agencies**

Caltrans (Director) has been designated the responsibility to review the performance audit of the transportation planning agency per PUC Section 99246(c). The follow is the process Caltrans’ staff in the Division of Mass Transportation (DMT) does to review the performance (triennial) audit.

**Step 1:** Upon receipt of an agencies performance audit, there are three areas that need to be reviewed. The first is to make sure a table that lists the various statutory and regulatory requirements is in the audit. The auditor must state whether or not the Planning Agency is in compliance of each section. Our responsibility is to ensure this information is in the audit, not whether we agree with the auditor’s assessment.

The sections that the auditor needs to determine compliance or non-compliance is listed in the Performance Audit Guidebook starting on page 89.

**Step 2:** Next, review the auditor’s listings of recommendations from the previous audits and see if the Planning Agency has or has not become compliant with previous recommendations. Review also the current recommendations within the audit. Open the spreadsheet “Triennial Performance Audit Log” (X:\XCHANGE\State Transit Grants Branch\TDA\Triennial Performance Audit). Note the tabs at the bottom of the spreadsheet and click on the county you are reviewing. Make the necessary edits to update the previous audit and the current audit with the past and current recommendations. Also update the information of the county you just reviewed by clicking the first tab “Performance Audit Log. This keeps track of all the counties to confirm that they are up-to-date in submitting their performance audit.

**Step 3:** You do not need to respond by correspondence to the Planning Agency whose triennial audit you just reviewed. Just save your updated spreadsheet and file the actual audit in the appropriate file between pillars 4S & 5S.

Please note the only performance audit DMT needs to review is the performance audit of the Transportation Planning Agency, not the performance audit of the operators. TDA law does require each Planning Agency to submit a letter showing a schedule of when each operator within the Planning Agency's jurisdiction will be audited. (PUC Section 99248).

### **10.11 Review/Approve formulas to modify Fare Box ratio for Blended (Urban & Rural) Service (PUC Sec 99270.1 & CCR Sec 6645)**

RTPAs are required to submit their “rules and regulations to the Department (DMT) for approval” when the RTPA creates a formula to revise the fare box ratio for an operator that services both a rural and urban area. The new, blended, fare box ratio cannot go into effect until approval from the Department is received.

After review of the RTPAs “rules & regulations” DMT writes a letter to the Executive Director of the RTPA approving the new fare box ratio. There is no template letter for this. Just craft your own but put it through the same process as the unmet needs letter... submit to admin. They re-type as a formal letter, your supervisor will sign the letter, which gets sent out. Maintain a copy for our files. Currently, the copy can be filed in the appropriate folder between pillars 4S & 5S in DMT.

### **10.12 Review Schedule of Performance Audits on Operators**

There is no action/response needed by DMT staff when the RTPAs submit their schedules of performance audits to be performed for the fiscal year(s). TDA law requires per PUC Section 99248 and CCR Section 6664.5. We keep a spreadsheet that tracks compliance of this requirement located at: (X:\XCHANGE\State Transit Grants Branch\TDA\Triennial Performance Audit). Please see the last column of the spreadsheet. When we get their schedules of performance audits, we note it on the spreadsheet, confirming their planning agencies’ compliance.

### **10.13 Ensure TDA Implementation according to TDA Law**

There are two ways DMT staff does this. First is simply review the various documents that transit agencies must submit to the Department (DMT) required by the TDA law. These include the Performance Audit of the RTPA, the Unmet Needs documentation required in PUC Section 99401.6, and the schedule of audits for transit operators.

The other way is when various external partners call DMT asking for clarification of the TDA law. This provides an excellent opportunity to help transit agencies and operators, while also ensuring recipients of TDA funding are properly implementing the TDA law.

### **10.14 Maintain the TDA Guidebook and arrange for necessary statutory changes to reflect passage of recent legislation.**

There are two main sections that get most of the attention in the TDA Guidebook as far as changes and updating. They are the Public Utilities Code (PUC) sections and the California Codes of Regulations (CCR). The process to changing one is different than changing the other. With the PUC sections there are two ways. One is beyond the control or purview of the

Department. This is when a government or transit agency promotes legislation that adds to or amends existing law that has consequential impacts in their funding, operations, or processes. DMT needs to be aware of any proposed legislation that impacts the TDA law. If the legislation passes, then the PUC section of the TDA Guidebook will probably need revising. A copy of the chaptered legislation needs to be obtained (get the link to Official California Legislative Information) and the word by word verbiage needs to be transposed into the TDA Guidebook. The second way to amend the PUC of the TDA involves DMT staff submitting the request to Legislative Affairs. Contact Martha Ragas in Leg Affairs and she will walk us through the process. These changes are non-substantive and eventually are put within an omnibus bill and passed along with other non-substantive legislative change request that are included in the same omnibus bill. The changes and amending of the CCR are covered in the section “Amend California Codes of Regulations to maintain consistency with statutes”.

### 10.15 Responding to Yearly Inquiry by State Department of Education

**Background:** Each year, the State Department of Education, School Fiscal Services Division, sends a letter to the State Transit Grant Office. This letter, per CA Education Code 39807.5, requires the State Superintendent of Public Instruction to determine the maximum amount of fees that parents or guardians may be charged for pupil transportation between home and school.

Processing by State Transit Grants: After receiving the letter from the Department of Education, State Transit Grants staff does the following:

- Use the most current version of the SCO publication, State of California, Transit Operators and Non-Transit Claimants Annual Report published by SCO to obtain reference figures. **Note:** These figures are shown in 1,000s.
- Use Figures 12, 5, and 15 to make calculations which will be reported to the Dept of Education.
- Calculate the figures with the following formulas:
  - Determine the statewide average nonsubsidized cost **per mile** of public transit system:
  - Total Operating Expenses (Figure 12) – federal grants (shown in the Transit Operating Revenue, Fig 5)
  - Total Vehicle Miles (Figure 15)

For FY 2008-09, the calculations would be:  $\$7,107,424,000 - \$676,356,000 = \$6,431,068,000$   
 $\frac{\$6,431,068,000}{560,016,000} = \$11.48$  cost per mile

Determine statewide average nonsubsidized cost of a **passenger trip** on a public transit system:

Total Operating Expenses (Figure 12) – federal grants (shown in the Transit Operating Revenue, Fig 5) Total Passengers (Figure 15); For FY 2008-09, the calculations would be:  
 $\frac{\$6,431,068,000}{1,459,822,000} = \$4.41$  per passenger trip

## **ACRONYMS**

**AMS** – Account Management System

**ARC** – Audit Review Committee

**Caltrans** – California Department of Transportation

**CAM** – Cost Accounting Modification

**CAP** – Corrective Action Plan

**CAS** – Cost Accounting Set Up

**CATIA** – Clean Air and Transportation Improvement Act (Proposition 116)

**CEQA** – California Environmental Quality Act

**CTC** – California Transportation Commission

**DMT** – Division of Mass Transportation

**E-FIS** – Enterprise Resource Planning Financial InfraStructure

**EA** – Expenditure Authorization

**HSPTB** – High-Speed Passenger Train Bond

**IIP** – Interregional Improvement Program

**ITIP** – Interregional Transportation Improvement Program

**LONP** – Letter of No Prejudice

**NEPA** – National Environmental Policy Act

**OCIP** – Office of Capital Improvements Programming

**OCTCL** – Office of California Transportation Commission Liaison

**PPR** – Project Programming Request

**PS&E** – Plans, Specifications, and Estimates

**PSR** – Project Study Report

**PTMISEA** – Public Transportation Modernization, Improvement, and Service Enhancement Account

**RIP** – Regional Improvement Program

**RTIP** – Regional Transportation Improvement Program

**RTP** – Regional Transportation Plan

**RTPA** – Regional Transportation Planning Agency

**SCO** – State Controller’s Office

**SLPP** – State-Local Partnership Program

**SOW** – Scope of Work

**STB** – State Transit Branch

**STIP** – State Transportation Improvement Program

**TCRP** – Transportation Congestion Relief Program

**TDA** – Transit Development ACT

## ATTACHMENTS

### Attachment A

#### TAX COMPLIANCE QUESTIONNAIRE FOR PROPOSITION 116 BOND FUNDS

RECIPIENT AGENCY:  _____  _____	MAILING ADDRESS:  STREET _____  CITY/STATE _____  ZIP CODE _____
CONTACT PERSON: NAME _____ PHONE ( ) _____ TITLE _____ FAX ( ) _____	
CALIFORNIA TRANSPORTATION COMMISSION (CTC) BOND FUND ALLOCATION:	
CTC RESOLUTION NO.# _____  DATE: _____  AMOUNT: _____	FUND SOURCE _____(PROP 108 OR 116)  PROJECT APPLICATION (PA) APPROVAL PA No # _____

PROJECTS COVERED BY THIS QUESTIONNAIRE:

	<u>CONSTRUCTION</u>	<u>RIGHT OF WAY</u>	<u>OTHER</u>
1. -----	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. -----	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. -----	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. -----	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. -----	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Note: The Tax Compliance Questionnaire will be returned if it contains unanswered question, missing information, or is unsigned.

## OVERALL FUNDING PLAN

**Attachment B**

**PROJECT:** \_\_\_\_\_

**AGENCY:** \_\_\_\_\_

Fund Source	PRIOR	FY 10-11	FY 11-12	FY 12-13	FY 13-14	FY 14-15	TOTAL
<b>State</b>	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Public Transportation Account (PTA)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Prop 116	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Transportation Investment Fund (TIF)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Prop 1B	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Prop 1A	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Other:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
<b>Subtotal - State Funds</b>	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
<b>Local</b>	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Local Funds	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CMAQ	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Regional STP	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Regional TEA	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
FTA Section 5307	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
FTA Section 5309	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Demo (HPP)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Other:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
<b>Subtotal - Local Funds</b>	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
<b>TOTAL PROJECT FUNDING</b>	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

(rev. 05/03/10)

**PROJECT FINANCIAL PLAN  
(Cash Flow of Expenditures)**

Attachment C

Project:

PROJECT PHASE	Prior Alloc	Current Request	FY 10/11				FY 11/12				FY 12/13				Future Requests	Project Total
			Quart. 1	Quart. 2	Quart. 3	Quart. 4	Quart. 1	Quart. 2	Quart. 3	Quart. 4	Quart. 1	Quart. 2	Quart. 3	Quart. 4		
<b>PS&amp;ED</b>																
State Funds: PTA	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
State-Admin Federal:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Other State Funds:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Local Funds:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Locally-Admin Federal:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Other Local Funds:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
<b>Subtotal PS&amp;ED</b>	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
<b>PS&amp;E - Final Design</b>																
State Funds: PTA	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
State-Admin Federal:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Other State Funds:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Local Funds:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Locally-Admin Federal:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Other Local Funds:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
<b>Subtotal PS&amp;E - Final Design</b>	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
<b>RW</b>																
State Funds: PTA	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
State-Admin Federal:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Other State Funds:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Local Funds:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Locally-Admin Federal:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Other Local Funds:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
<b>Subtotal RW</b>	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
<b>CON</b>																
State Funds: PTA	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
State-Admin Federal:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Other State Funds:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Local Funds:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Locally-Admin Federal:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Other Local Funds:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
<b>Subtotal CON</b>	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
<b>Vehicles/Purch/Equip</b>																
State Funds: PTA	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
State-Admin Federal:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Other State Funds:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Local Funds:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Locally-Admin Federal:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Other Local Funds:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
<b>Subtotal Vehicles</b>	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
<b>Project Summary</b>																
State Funds: PTA	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
State-Admin Federal:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Other State Funds:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Local Funds:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Locally-Admin Federal:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Other Local Funds:	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
<b>Project Total</b>	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

Notes: FY - July through June/30

(in \$MM)





Continued - Attachment E

### Allocation Request CHECKLIST for CTC Agenda Item

Recipient Agency: \_\_\_\_\_

Allocation Amount: \_\_\_\_\_

Project Title: \_\_\_\_\_

PPNO Number(s): \_\_\_\_\_

CTC Meeting Date: \_\_\_\_\_

Allocation Request Packages should include:

- Allocation Summary Sheet
- STIP Page or Project Approval (PA) Resolution
- Letter of Request from the Recipient Agency
- Project Description
- Scope of Work
- Project Financial Plan
- Overall Funding Plan
- Project Schedule
- Environmental Documents, if applicable.
- Hazardous Waste Indemnification, if applicable
- Right-of-Way Approval Letter, if applicable
- Completed and Signed Bond Questionnaire, if applicable

If Exempt, provide applicable Section: \_\_\_\_\_

1) Type of funding:

- |                                |  |
|--------------------------------|--|
| <input type="checkbox"/> TIF   | <input type="checkbox"/> Prop 116              |
| <input type="checkbox"/> SLPP  | <input checked="" type="checkbox"/> PTA        |
| <input type="checkbox"/> HSPTB | <input type="checkbox"/> Other (Specify) _____ |

2) Is the current Project Description consistent with the CTC-approved Project Description?  
(If "NO", attach NEW and note differences.)

- Yes
- No \_\_\_\_\_

3) Is the current Scope of Work consistent with the CTC-approved Scope of Work? (If "NO", attach NEW and note differences.)

- Yes
- No \_\_\_\_\_

4) Is the current Financial Plan consistent with the CTC-approved Financial Plan? (If "NO", attach NEW and note differences.)

- Yes
- No \_\_\_\_\_

**Continued – Attachment E**

5) Is the current Overall Funding Plan consistent with the CTC-approved Overall Funding Plan?  
*(If "NO", attach NEW and note differences.)*

Yes  
 No \_\_\_\_\_

6) Is the current Project Schedule consistent with the CTC-approved Project Schedule?  
*(If "NO", attach NEW and note differences.)*

Yes  
 No \_\_\_\_\_

7) Is there a concurrent STIP Amendment, or for Prop 116 projects, a concurrent PA Amendment?  
*(If "YES", attach a COPY or note that concurrent request has been submitted with this allocation. Include new PPNO #.)*

Yes  
 No \_\_\_\_\_

8) Are State funds being used for Right-of-Way? Or is Right-of-Way being used as a local match? *(If "YES", have the documents been submitted to HQ R/W for review? Include the date submitted to R/W.)*

Yes  
 No \_\_\_\_\_

9) If allocation is for vehicle purchase, is there a group purchase? *(If "YES", with whom? If "NO", why not?)*

Yes **N/A**  
 No \_\_\_\_\_

10) Will this allocation require a consultant contract greater than \$250,000 for engineering or design-related work?

Yes  
 No

If "YES", preaward audit is required. What is the status of the preaward audit? (Choose one.)

- NOT required and WHY: \_\_\_\_\_
- To be completed by Caltrans *(Attach copy of "Preaward Audit Request Letter" submitted to HQ Audits via District.)*
- To be completed by Recipient Agency *(Attach copy of "Audit Disposition" letter.)*

**Attachment F**

Agency Name  
Program Supplement No.

**STATE OF CALIFORNIA  
DEPARTMENT OF TRANSPORTATION  
DIVISION OF MASS TRANSPORTATION**

**PROGRAM SUPPLEMENT/AMENDMENT  
STATE FUNDED TRANSIT PROJECTS**

<b>MASTER AGREEMENT NO.:</b>	<b>64A0XXX</b>	<b>PROGRAM SUPPLEMENT NO.:</b>	<b>XXA0XX-XX</b>
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**PROVISION SECTION**

This PROGRAM SUPPLEMENT hereby incorporates all of the provisions contained in MASTER AGREEMENT No. 64A0XXX, entered into between STATE and RECIPIENT on (Date), and is subject to all the terms and conditions thereof. This PROGRAM SUPPLEMENT is adopted in accordance with ARTICLE I of the aforementioned MASTER AGREEMENT under authority of Resolution (Insert Number) approved by RECIPIENT on (Inset Date). The RECIPIENT further stipulates that, as a condition to the reimbursement of State funds obligated to this PROJECT, it accepts and will comply with the covenants, obligations, terms and conditions set forth in said MASTER AGREEMENT and on the following page(s) of this PROGRAM SUPPLEMENT.

CTC RESOLUTION	RESOLUTION DATE	FISCAL YEAR	FUND	AMOUNT	EA	PHASE	3 <sup>RD</sup> PARTY CONTRACT	TERMINATION DATE

**PROJECT TITLE:**

**PROJECT SUMMARY:**

**REQUIRED SIGNATURES**

<p><b>Recipient:</b> _____ <b>AGENCY</b></p> <p><b>Signed By:</b> _____</p> <p><b>Name:</b> _____</p> <p><b>Title:</b> _____</p> <p><b>Date:</b> _____</p>	<p><b>State Dept.:</b> _____ <b>STATE OF CALIFORNIA</b> <b>Department of Transportation</b></p> <p><b>Signed By:</b> _____</p> <p><b>Name:</b> _____</p> <p><b>Title:</b> <b>Deputy Director, Division of Planning</b></p> <p><b>Date:</b> _____</p>
--	--

**DISTRIBUTION LIST**

- Caltrans Headquarters Accounting (2)
- Caltrans District (1)
- Recipient (1)
- Caltrans Mass Transportation (1)

**LIST OF ATTACHMENTS INCLUDED**

- I. Scope of Work
- II. CTC Resolutions
- III. Certification of Funds
- IV. 3<sup>rd</sup> Party Agreement
- V. Special Conditions

**Attachment F**

Agency Name  
Program Supplement No.

**ATTACHMENT I**

*Scope of Work*

*(Scope of Work includes the CTC-approved Project Description, Project Schedule, Overall Funding Plan and Project Financial Plan for the total project.)*

**Project Description**

(See attached documents)

**Project Overall Funding Plan**

(See attached documents)

**Project Financial Plan**

(See attached documents)

**Project Schedule**

(See attached documents)

**Attachment F**

Agency Name  
Program Supplement No.

**ATTACHMENT II**

*CTC Resolutions*

**Attachment F**

Agency Name  
Program Supplement No.

**ATTACHMENT III**

*Certification of Funds*

Name of Recipient:  
Name of Project:  
CTC Resolution Numbers:  
Date of Resolution:  
Allocation Amount:  
Fund Source:  
Date of Third Party Contract Award:  
Period of Availability:

SOURCE DIST-UNIT	CHARGE DIST-UNIT	EXP AUTH NO.	OBJECT	ALLOCATION AMOUNT	LED	FY	ENCUMBRANCE DOCUMENT NO.	PPNO
			7049					
I hereby certify upon my own personal knowledge that budgeted funds are available for the period and purpose of the expenditure Stated above.					Signature of Accounting Officer			Date
ITEM	CHAPTER	STATUTES	FISCAL YEAR					
2660-XXX-XXX								

*Revised 07/25/06*

# Attachment G

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION  
**PROJECT PROGRESS PAYMENT INVOICE**  
 DOR-0005 (REV 2/1993)

SHADED AREAS TO BE COMPLETED BY DEPT. OF TRANSPORTATION HEADQUARTERS ACCOUNTING OFFICE ONLY

**SECTION I**

CONTRACT NUMBER	E.A. NUMBER	SJ	FED. EXP. #
PROJECT TITLE			INVOICE #
NAME OF RECIPIENT		PROGRESS PAY	FINAL PAY
BUSINESS ADDRESS		PAYMENT PERIOD	
% IF LOCAL MATCH			

DISTRICT	TPDA	SHA	PRBF 108	CATIA 118	OTHER PLEASE SPECIFY
SOURCE OF ALLOCATION					
ALLOCATION RESOLUTION NUMBER					
AMOUNT ALLOCATED					
REIM. TO DATE					
BALANCE OF ALLOCATION					

**SECTION II - Cost breakdown required**

1. Alternatives Analyses/Planning Study	\$	\$	\$	\$	\$
2. Preliminary Engineering	\$	\$	\$	\$	\$
3. Environmental Assessments	\$	\$	\$	\$	\$
4. Final / Engineering Design	\$	\$	\$	\$	\$
5. Construction / Project Management	\$	\$	\$	\$	\$
6. Materials and Equipment Acquisitions	\$	\$	\$	\$	\$
7. Right of Way Acquisition	\$	\$	\$	\$	\$
8. Rolling Stock Acquisition	\$	\$	\$	\$	\$
9. Total Expenses Incurred: (1-8)	\$	\$	\$	\$	\$
10. Max. Reimb. Requested By This Voucher	\$	\$	\$	\$	\$
11. Adjustments:	\$	\$	\$	\$	\$
12. NET AMOUNT DUE:	\$	\$	\$	\$	\$

*I certify the charges for work billed are proper and that project progress is commensurate with cash disbursements being claimed on Line 10 above.*

REPRESENTATIVE OF RECIPIENTS SIGNATURE	DATE
PRINT NAME/TITLE	BUSINESS PHONE

*I have reviewed the disbursements and the progress of the work on the project specified above and recommend payment in the amount on Line 10 (if Line 12 is less than Line 10, the reduction will be documented in a letter).*

REPRESENTATIVE OF RECIPIENTS SIGNATURE	DATE
PRINT NAME/TITLE	BUSINESS PHONE

**MAIL INVOICE TO:** California Department of Transportation  
 Accounting Service Center - Office of Financial Accounting and Analysis  
 P.O. Box 185043, Suite A5F  
 Sacramento, CA 95818-8043  
 Fax No.: (916)227-8787

**ADA Notice**  
 For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

*I certify that funds have been allocated for this project and that there is a sufficient balance in this allocation to cover the reimbursement in line No. 10/12.*

DEPT. OF TRANSPORTATION H.Q. ACCOUNTING OFFICER SIGNATURE	DATE
PRINT NAME	BUSINESS PHONE

White - Division of Accounting  
 PM 91 1270 M

Yellow - Division of Rail

Pink - Local Agency

Goldenrod - District Project Administrator

# Attachment H

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION

## PROJECT CLOSE OUT REPORT/ REQUEST FOR FINAL PAYMENT

DOR-0039 (REV. 6/1994)

FTA NUMBER

Lock Data on Form

### Section - I (For Local Agency Use Only)

CONTRACT AGENCY NAME	PROJECT COMPLETION DATE
BUSINESS ADDRESS	
PROJECT	
PROJECT LOCATION	
PROJECT DESCRIPTION	
COMMENTS	

*The above named project has been completed in accordance with the agreement, and I am requesting that the project be closed out.*

PRINT NAME OF PROJECT MANAGER	TITLE
SIGNATURE	BUSINESS PHONE
	DATE

### Section - II (For Departmental Use Only)

DISTRICT NO.	DATE RECEIVED	EA #		
FINAL INSPECTION DATE	PROJECT COMPLETION DATE	RESOLUTION # IN THIS CONTRACT - METHOD OF PAYMENT (Warrant, EFT: 10 days)		
FINAL PAYMENT				
\$				
FUND SOURCE (In Millions)				
<input type="checkbox"/> STATE \$			<input type="checkbox"/> LOCAL \$	<input type="checkbox"/> FED \$
WAS THE ORIGINAL PROJECT DESCRIPTION OR SCOPE OF WORK AMENDED? <input type="checkbox"/> YES <input type="checkbox"/> NO  IF YES, WHAT WAS THE ORIGINAL AMOUNT? \$  WHAT WAS THE AMOUNT AFTER AMENDED, IF ANY \$				
DID THE CONTRACTOR COMPLETE ALL REQUIREMENTS BASED ON THE SCOPE OF WORK? <input type="checkbox"/> YES <input type="checkbox"/> NO  WERE ALL OF THE FUNDING SHARE PROVIDED? <input type="checkbox"/> YES <input type="checkbox"/> NO	IF NO, PLEASE EXPLAIN  IF NO, EXPLAIN			
COMMENTS				

*I certify that the above project has been completed in accordance with the agreement, and I am recommending release of final payment of this project.*

EMPLOYEE TO BE CONTACTED REGARDING FINAL CLOSE OUT INSPECTION

PRINT NAME OF PROJECT ADMINISTRATOR	TITLE
SIGNATURE OF PROJECT ADMINISTRATOR	BUSINESS PHONE
	DATE

**ADA Notice** For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-85, Sacramento, CA 95814.

COPY DISTRIBUTION: White - District    Pink - Local/Project Agency    Canary - DOR/DMT    Green - DOR (Accounting)    Blue - DOR (Audit)  
Goldenrod - DOR (Budgets)

## Memorandum

To: Ezequiel Castro  
(916) 654-8012  
Fax: (916) 654-9366

Date:

From: **DEPARTMENT OF TRANSPORTATION**  
Audits and Investigations

Subject: Preaward Evaluation Request

We have reviewed your request for a preaward evaluation for:

Recipient:  
Project Description: **Master Agreement**  
Allocation Request Amount: **\$0**  
Master Agreement No.:

Based on our review we have determined the following:

**Preaward Evaluation Not Required.**

Comments if any: \_\_\_\_\_

**Preaward Evaluation Required.**

Any questions concerning the preaward evaluation should be referred to the following auditor.

Auditor Assigned: \_\_\_\_\_

Auditor Phone No.: \_\_\_\_\_

Comments if any: \_\_\_\_\_

Authorized by: \_\_\_\_\_

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