

A General Guide for Implementing State-funded Safe Routes to School Projects Effective July 13, 2009

The Department released the 8th Cycle of the Safe Routes to School (SR2S) Program in July, 2009. This 8th Cycle included \$24.25M in funds from the 2008/2009 FY and \$24.25M anticipated in the 2009/2010 FY. The Program Plan contained 106 projects totaling \$48.5M of reimbursement funds.

All SR2S projects will be reimbursed at 90% (maximum). The maximum amount of state funds that can be initially allocated to a project is \$900,000. A local match of 10% (minimum) is required.

In addition to the applicable provisions of the Local Assistance Procedures Manual (LAPM) and the Local Assistance Program Guidelines, local agencies that request funding allocations for a state-funded SR2S project after March 10, 2008 will generally follow these implementation steps:

1. The local agency requests the District Local Assistance Engineer (DLAE) for assignment of a project number and Expenditure Authorization (EA) number. State-funded SR2S projects will use "SR2SL" as a project prefix and be assigned a single-phase EA.
2. The local agency submits an allocation request letter and a finance letter to the DLAE. In all cases, the allocation request should equal the entire reimbursable cost of the project and include all phases of the project. See Attachment II - Request for SR2S Funding Allocation and Attachment III - Finance Letter.
3. The DLAE reviews the allocation request and finance letter and if they are correct and complete, forwards the documents to the Caltrans Headquarters Area Engineer for allocation.
4. The HQ Area Engineer sends an allocation letter to the local agency. The allocation letter will serve as the authorizing document for the local agency to start reimbursable work. A copy of the allocation letter and finance letter will be distributed to the DLAE, the SR2S HQ Program Coordinator and the Division of Accounting. **Note: Any work performed prior to the effective date of the allocation letter is not eligible for reimbursement.**
5. Shortly thereafter, the HQ Area Engineer prepares a Program Supplement Agreement (PSA) and sends it to the local agency for execution. If a local agency does not have a "State-only Funds Master Agreement" on file with Caltrans, one will need to be executed in conjunction with the PSA.
6. The total amount of funds to be encumbered by the PSA shall not exceed the amount of funds programmed in the SR2S Program plan. Additional funds shall not be allocated or encumbered without the written approval from the HQ SR2S Coordinator.
7. The local agency obtains all required environmental clearances and right-of-way certifications. The local agency must also comply with any required reviews of Americans with Disabilities (ADA) facilities through the Division of State Architect.
8. The local agency advertises and awards the construction contract for the project.

FINANCE LETTER

DEPARTMENT OF TRANSPORTATION
 DIVISION OF ACCOUNTING
 LOCAL PROGRAM ACCOUNTING BRANCH

STATE-ONLY FUNDED

Date: _____
 Agency: _____
 Project No. _____
 EA No. _____
 Program SR2SL

ATTN: _____

		Total Cost	Participating Costs	State Funds	Local Funds	Other Funds
Agency Preliminary Engineering						
Right of Way						
Contract Items	\$					
Utilities	\$					
Supplemental Work	\$					
Contingencies	\$					
Agency Furnished Matls.	\$					
Construction Engin.	\$					
Construction Total		\$0				
Public Education/Outreach/Enforcement						
Force Account by Agency						
TOTALS		\$0	\$0	\$0	\$0	\$0

Allocation by DLA
 Reimbursement Ratio: 90% (max.) for SR2S

Signature _____
 Title _____

Contact: _____

Remarks: _____

9. Once the construction contract is awarded, the local agency may start submitting invoices for expenses incurred on the project. The Construction Contract Award Information for SR2S Projects (see Attachment I) must be included with the first invoice submitted.
10. All costs incurred by the local agency will be reimbursed in arrears.
11. If local agency intends to claim reimbursement for Indirect Costs, they must comply with Section 5.4, LAPM, prior to submitting first invoice.
12. When the project is completed, the local agency prepares and submits the Final Report documents to the DLAE, consisting of the Final Invoice (Exhibit 5-C, LAPM, Sample Invoice) and the Final Report of Expenditures (Exhibit 17-M, LAPM, Project Completion).
13. The DLAE reviews and verifies that the project was completed in accordance with the scope and description of the project application document. The DLAE submits the final invoice to Local Programs Accounting for processing.
14. Local Programs Accounting closes out the project.

Attachment I: Construction Contract Award Information

Attachment II: Funding Allocation Request Letter

Attachment III: Finance Letter

CONSTRUCTION CONTRACT AWARD INFORMATION
FOR SR2S PROJECTS

Date: _____

To: _____
District Local Assistance Engineer
Caltrans, Division of Local Assistance

EA: _____

Project No.: SR2SL- _____

Responsible Agency: _____

Project Description: _____

Date Funding was Allocated: _____

Date Project received CEQA Clearance: _____

Date Project was Advertised: _____

Award Date: _____

Award Amount: _____

Estimated Date of Completion: _____

REQUEST FOR SR2S FUNDING ALLOCATION

Local Agency Letterhead

To: (DLAE Name)
District Local Assistance Engineer
Caltrans, Office of Local Assistance
(District Address)

Date : _____
Project No.: _____
EA: _____
(Brief Project Description)
(Location)
(County)

Dear (DLAE Name):

We request that Caltrans allocate (total reimbursable cost of project) of State funding for this SR2S project. Note: The amount of state funds requested should equal, but not exceed, the amount of funds that were originally programmed for the project. This amount can be found on the SR2S web site at www.dot.ca.gov/hq/LocalPrograms/saferoutes/sr2s.htm

Project Description:

(Enter description of project location and scope)

Local Agency Certification:

I certify that the information provided is accurate and correct. I understand that if the required information has not been provided, this form will be returned and the funding allocation may be delayed. Please advise us as soon as the fund allocation has been approved. You may direct any questions to _____ at _____ (name)

(phone number)

Signature _____ Title: _____ Date: _____

Caltrans District Local Assistance Engineer Acceptance:

I have reviewed the information submitted on this Request for SR2S Funding Allocation and find it complete and accurate.

Signature _____ Date: _____
(Title)

Attachments:

- Project Application
- Finance Letter

Distribution: (1) Original + 1 copy to DLAE