



# **QUARTERLY REPORTS**

# Quarterly Reports

Failure to submit these reports violates the terms and conditions of the grantee's agreement with Caltrans and can lead to termination of the project(s) and relinquishment of equipment.

# Quarterly Report Due Dates

Reporting periods are based on a calendar year cycle

- 1st quarter: January 1 – March 31; report due April 1, but not later than April 30.
- 2nd quarter: April 1 – June 30; report due July 1, but not later than July 30.
- 3rd quarter: July 1 – Sept. 30; report due October 1, but not later than October 30.
- 4th quarter: October 1 – Dec. 31; report due January 1, but not later than January 30.

# Quarterly Report Page 1

## Agency vs. Vehicle Address

- Agency Address:

This may be a corporate address for some.

- Vehicle Address:

This is where the vehicle is used.

We must know where the vehicles are!

# Reporting Year and Quarter

- Type in the reporting year.
- Circle or highlight the quarter you are reporting.

# Project Description

- Capital: if a vehicle, type in year, make and model, Insert last 5 VIN numbers, Insert vehicle license number, Insert number of days used in the quarter and Insert odometer reading at the end of the last day of the quarter. For Other Equipment description of equipment (make, model), Serial Number of equipment and physical location where equipment is stored or used.

# Project Description

- **Operating:** include route number, time of operation, service area and who is being serviced.
- **Mobility Management:** describe the function or tasks, outcome and who your project is going to serve.

# Project Status

Please describe:

- Project status for the quarter
- General Comments (including progress, problems encountered etc...)
- This narrative is very important. Use additional space if needed.

# Quarterly Report Page 2 & 3

## Performance Measures

- Under the Government Performance Result Act (GPRA), FTA is required by law to “establish performance goals to define the level of performance” and to also “establish performance indicators to be used in measuring relevant outputs, service levels, and outcomes” for each of its programs.

# JARC Performance Measures

The Two Measures Established for the JARC Program are:

1. Actual or estimated number of jobs that can be accessed as a result of geographic or temporal coverage of JARC projects implemented in the current reporting year.
2. Actual or estimated number of rides (as measured by one-way trips) provided as a result of the JARC projects implemented in the current reporting year.

# New Freedom Performance Measures

The three measures established for the New Freedom Program are:

1. Increases or enhancements related to geographic coverage, service quality and/or service times that impact availability of transportation services for individuals with disabilities.
2. Additions or changes to environmental infrastructure (e.g., transportation facilities, side walks, etc), technology, and vehicles that impact availability of transportation services.
3. Actual or estimated number of rides (as measured by one-way trips) provided for individuals with disabilities.

# Notify Caltrans

- ...if your operating plan deviates from your application.
- ...of any loss, damage (accident, fire, theft, vandalism, etc.) or major repair.
- ...of any desire to change operation regarding the assignment of vehicles, routes and geographical area covered and client group served.

**VEHICLES MAY NOT LEAVE YOUR DESCRIBED  
SERVICE AREA WITHOUT CALTRANS  
APPROVAL**

# Please Include These with Your Quarterly Reports

- Dates and results of yearly vehicle and terminal safety inspections conducted by the California Highway Patrol pursuant to *California Vehicle Code, Section 34501*, if applicable.
- Provide current insurance certificate identifying that all grant vehicles are covered.

# Signatures

- Agency Representative Approving Report
- Person Preparing Report (if different)
  - ◆ We need to know how to contact the person responsible for the data.
  - ◆ We need the phone number, email and best time to reach this person for quick resolutions.
  - ◆ Don't forget to get the appropriate signatures! (electronic signatures OK)

# **Mail, fax or email your report to your HQ district contact at:**

**State of California, Department of Transportation  
Division of Mass Transportation  
P.O. Box 942874 MS 39  
Sacramento, CA 94274-0001  
FAX: (916) 654-9366**

Your Caltrans HQ contact's name, phone number and email  
is on our homepage.



# **Disadvantaged Business Enterprise (DBE) Program**

# DBE Program Overview

- Demonstrates compliance with 49 CFR 26
  - ◆ Goal is to encourage recipients of Section 5310, 5311, 5316, and 5317 funds to actively seek DBE business participation
    - ☞ Supports DBE participation on Federal DOT-assisted contracts
    - ☞ Supports equal opportunity procurements
    - ☞ Supports non-discriminatory procurement practices
    - ☞ Encourages business practices that make DBE participation a standard process.

# DBE Program Overview

## ■ Who Participates?

- ◆ Caltrans participates through our DBE Program Plan
- ◆ If you receive federal funds you are required to participate
- ◆ The program was in your grant application and introduced at our application workshop last year

## ■ When is Participation Required:

- ◆ During the procurement process
  - ☞ For all non-vehicle purchases

## ■ How to Participate:

- ◆ Read and sign the DBE Race-Neutral Implementation Agreement
- ◆ Complete the necessary forms when appropriate

# Caltrans DBE Program Plan Overview

## ■ Key Points of the Plan:

- ◆ Ensure that DBE firms can compete fairly for federally funded transportation-related projects
- ◆ identify and remove barriers to the bidding, award, and administration of U.S. DOT Federally-assisted contracts.
- ◆ increase the participation of all DBE's in the procurement of materials, equipment and supplies

The Caltrans DBE Program Plan can be found at:

[http://www.dot.ca.gov/hq/bep/documents/dbe/dbe\\_program\\_plan\\_final.pdf](http://www.dot.ca.gov/hq/bep/documents/dbe/dbe_program_plan_final.pdf)

# DBE Race-Neutral Implementation Agreement

- **Key Points of Agreement:**
  - ◆ Equal opportunity in DOT-assisted contracts
  - ◆ Ensure non-discrimination during award and performance of the contract
  - ◆ Program assists Caltrans in achieving its Overall Statewide DBE Goal
  - ◆ Quotas or set asides are not part of the DBE Program Plan
  - ◆ Ensures prompt payment to DBEs
  - ◆ Documents participation through the reporting forms



# **DBE Reporting Program**

**Awards/Commitments  
&  
Actual Payments**

# **DBE Report Form Terms**

**Awards/Commitments**

**&**

**Actual Payment**

**Awards/Commitments (Vendor Selected):**

The vendor you've selected

**Actual Payment (Vendor Payment Record):**

The vendor you paid

# DBE Reporting

- **Where To Find a Certified DBE:**
  - ◆ Caltrans Office of Civil Rights
    - ☞ <http://www.dot.ca.gov/hq/bep/>
- **When to Submit Reporting Forms:**
  - ◆ Complete the Awards/Commitments vendor form and submit with the three-bids for equipment to Caltrans
  - ◆ After bid has been awarded, complete the Actual Payments form and send to Caltrans with your invoice for reimbursement

# Tips for Filling out the DBE Forms

- Identify your DBE point of contact
- Report due date is for Caltrans use
- Identify the grant program (5310, 5311, 5316, 5317)
- Include your Standard Agreement Number
- Identify contract type
- Identify Caltrans DBE certification number

You must submit the Awards/Commitments form with your three bids

You must submit the Actual Payment form for reimbursement

# Location of Forms

- All 5316 & 5317 forms can be found on our homepage at:

<http://www.dot.ca.gov/hq/MassTrans/5316.html>

<http://www.dot.ca.gov/hq/MassTrans/5317.html>

- All DBE forms can be found at:

<http://www.dot.ca.gov/hq/MassTrans/DBE.html>

# Charter Service

Revised FTA guidance published January 14, 2008 at 49 CFR 604

- 5316 & 5317 recipients are exempt when they continue to provide service to a qualified human service organization who serve elderly, disabled and low-income persons.
- Other types of charter service must first register with FTA

# School Transportation

- Title 49 U.S.C. 5323(f) prohibits the use of FTA funds for exclusive school bus transportation for school students and school personnel.
- The implementing regulations (49 CFR part 605) does permit regular service to be modified to accommodate school students along with the general public (so called “tripper service”).

# Questions?

**Call or email your HQ contact**

Your Caltrans representative's name, phone number and email is at the bottom of our homepage next to the Caltrans district map.