



**Caltrans**

# **Division of Mass Transportation Updates to the 5310, 5311, 5316, & 5317 State Management Plans (SMPs)**

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*May 12, 2011*

*Phone Etiquette: Please put your phone on mute.  
Un-mute it to ask a question or provide comments*



# Cambria Solutions Project Team



- **Walter Butcher, PMP, Project Manager** – Certified Project Management Professional (PMP), 17 years of consulting experience, program and policy analysis, business process, financial, and systems analysis. Managed the Caltrans Strategic Planning and Performance Measures Project for two years and the Strategic Highway Safety and Implementation Plan.
- **Robert (Bob) Highfill, QA/FTA Expert** – Licensed Professional Engineer, 35 years of experience in program and contracts management, heavy-duty vehicle design, vehicle maintenance and manufacturing, including 25 years in transit vehicle and systems design and procurement. Managed transit vehicle procurement, overhaul and maintenance facilities projects. Oversaw over \$900 million in programs for transit vehicles and related maintenance and operations facilities for: light rail vehicles, intercity and commuter passenger rail cars, signaling and automatic train control systems, diesel, alternative fueled, hybrid and trolley buses as well as streetcars.
- **John Hogan, FTA Expert** – Forty years of experience in operational planning for rapid transit, light rail, and railroad projects, as well as, bus facilities. Experienced in all facets of operations management, vehicle procurement, bus and rail fare collection equipment procurement, New Starts construction, maintaining operations while extending service or rehabilitating infrastructure. For 13 years he has been working as a Federal Transit Administration (FTA) PM Oversight Consultant (PMOC).
- **Charles (Casey) Skinner, Senior Consultant** – Consultant for nearly four years, program and policy analysis, strategic plan development, business process analysis and documentation, asset management, data governance and data business planning, requirements gathering, project implementation, and procurement assistance. More than 18 years experience working within the public sector, including 17 years at the California Department of Transportation (Caltrans).
- **Jessica Isom, Consultant** – Six years of experience with management and IT consulting services for numerous state agencies and several divisions within Caltrans. Developed requirements for a grants management database.



# Agenda

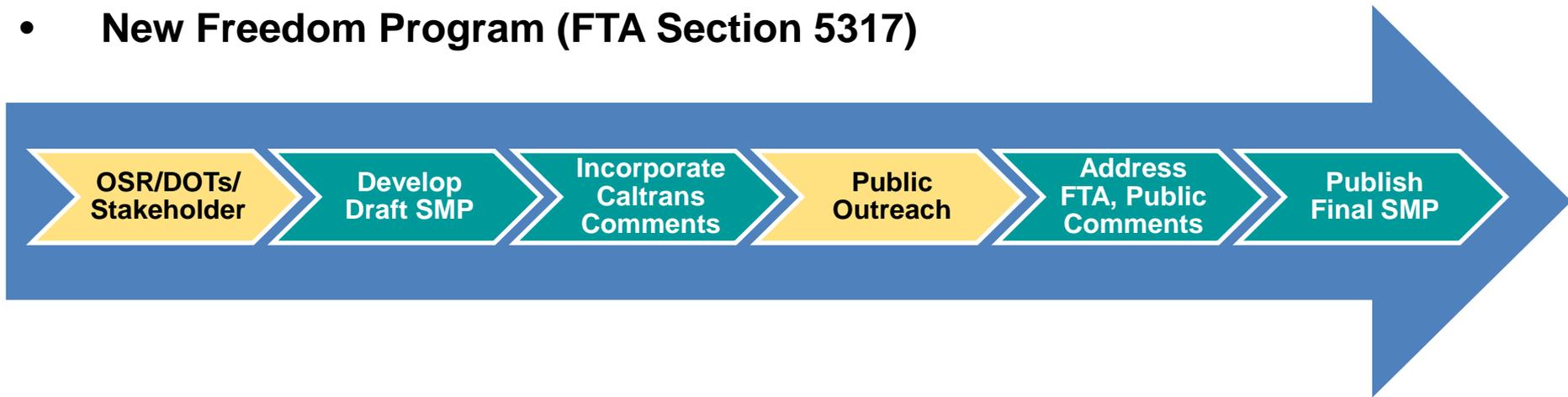
#	Topic	Speakers
1	Introductions	Bennie Lee Kimberly Gayle Jane Perez Jila Priebe
2	Project Overview	Walter Butcher
3	FTA Circulars and Recent Changes to Programs 5311, 5310, 5316, & 5317	James Ogbonna Kimberly Gayle Stephanie Watts Chuck Gunter Michael Lange
4	District Observations	Walter Butcher
5	Advisory Committee (Stakeholder) Meetings	Walter Butcher
6	Wrap-Up	Kimberly Gayle Walter Butcher



# Project Objectives & Tasks

Caltrans has identified the need for updating the State Management Plans for the following Federal Transit Administration's (FTA) grant programs:

- **Elderly Individuals and Individuals with Disabilities Program (FTA Section 5310)**
- **Non-Urbanized Area Formula Program, Intercity Bus Program, and Rural Transit Assistance Program (RTAP) (FTA Section 5311)\***
- **Job Access & Reverse Commute (JARC) Program (FTA Section 5316)**
- **New Freedom Program (FTA Section 5317)**





# Advisory Committee Meetings

## Advisory Committee Meeting 1: May 12<sup>th</sup> @ 2:30pm

- Updates to the 5310, 5311, 5316, & 5317 SMPs (Internal) – *TODAY*

## Advisory Committee Meeting 2: May 19<sup>th</sup> @ 10am

- Updates to the 5310, 5316, & 5317 SMPs

## Advisory Committee Meeting 3: May 19<sup>th</sup> @1pm

- Updates to the 5311 RTAP & Intercity Bus Programs (5311.f)

## Advisory Committee Meeting 4: May 26<sup>th</sup> @ 10am

- Updates to the 5311 Grants Administration and Program Management Sections

## Advisory Committee Meeting 5: May 26<sup>th</sup> @ 1pm

- Updates to the Procurement Sections for the 5310, 5311, 5316 & 5317 Programs



# Public Outreach

According to the FTA Circulars:

- “The State shall provide an opportunity for review by stakeholders when it develops a new *[state management]* plan or significantly revises an existing plan.”
- “When the State proposes significant revisions to the SMP it should give an opportunity to comment at the minimum to potential subrecipients of assistance, potential service providers, other State agencies and representatives of other funding sources, and any relevant State associations and professional organizations.”
  - Public Outreach is a FTA requirement
  - Caltrans approach will be based on best practices
  - Opportunity to influence SMP content
  - Public Outreach scheduled for July
  - Date, time and place will be announced



# Project Timeline



ID	Task Name	Start	Finish	2011					
				Apr	May	Jun	Jul	Aug	Sep
1	Task 1: Project Management	4/15/2011	9/30/2011	[Blue bar spanning from April to September]					
2	Task 2: Identify and Analyze Changes to Oversight Requirements (OSR)	4/15/2011	5/5/2011	[Blue bar in April]					
3	Task 3: Document Review and Public Comment Research	4/28/2011	5/31/11	[Blue bar spanning from late April to late May]					
4	Task 4: Draft Updated State Management Plan and Recommendations Memorandum	5/16/2011	6/15/2011	[Blue bar spanning from mid-May to mid-June]					
5	Task 5: Final State Management Plan	6/16/2011	7/7/2011	[Blue bar in June]					
6	Task 6: Assist Caltrans in Public Outreach	7/8/2011	8/19/2011	[Blue bar spanning from late July to late August]					
7	Task 7: Assist in Addressing FTA Comments	8/22/2011	9/6/2011	[Blue bar in late August]					

# 5311 Goals: Non-Urbanized Area Formula Program, Intercity Bus & RTAP



1. Enhance the access of people in non-urbanized areas to health care, shopping, education, employment, public services, and recreation;
2. Assist in the maintenance, development, improvement, and use of public transportation systems in non-urbanized areas;
3. Encourage and facilitate the most efficient use of all transportation funds used to provide passenger transportation in non-urbanized areas through the coordination of programs and services;
4. Assist in the development and support of intercity bus transportation; and
5. Provide for the participation of private transportation providers in non-urbanized areas.



# 5310 Goal: Elderly Individuals and Individuals with Disabilities Program



*To improve mobility for elderly individuals and individuals with disabilities throughout the country.*

Toward this goal, FTA provides financial assistance for transportation services planned, designed, and carried out to meet the special transportation needs of elderly individuals and individuals with disabilities in all areas—urbanized, small urban, and rural.

The program requires coordination with other Federally-assisted programs and services in order to make the most efficient use of Federal resources.



# 5316 Goal: Job Access & Reverse Commute (JARC) Program



***To improve access to transportation services to employment and employment related activities for welfare recipients and eligible low-income individuals and to transport residents of urbanized areas and non-urbanized areas to suburban employment opportunities.***

Toward this goal, FTA provides financial assistance for transportation services planned, designed, and carried out to meet the transportation needs of eligible low-income individuals, and of reverse commuters regardless of income.





# 5317 Goal: New Freedom Program

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***To provide additional tools to overcome existing barriers facing Americans with disabilities seeking integration into the work force and full participation in society.***



The New Freedom formula grant program seeks to reduce barriers to transportation services and expand the transportation mobility options available to people with disabilities beyond the requirements of the American Disabilities Act (ADA) of 1990.



# Summary of Program Changes

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1. Construction / Real Estate Acquisition
  - a. Environmental Process
  - b. PS&E Process
  - c. Encroachment Permit Process
2. Force Account Policy & Procedures
3. ITS Policy & Procedures
  - a. Radio Narrow Banding (FCC Requirement, 01/12)
4. Amendment Policy and Procedures
5. Request for Reimbursement Policy & Procedures



# Summary of Program Changes

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## 6. Procurement Procedures

- a. Process for RFP/RFQ/IFB
- b. Process for Piggyback
- c. Process for Sole Source Justifications
- d. Process for Vehicle Procurement
- e. Agency's Protest Procedures/The State's Appeal Process
- f. Description of the basis of the third party contract price, ensuring invoicing rate matches what the contract allows

## 7. Cost Allocation Policy & Procedures

- a. For sub-recipients who receive both urban and rural funding
- b. Indirect Cost Allocation Plan Requirements



# Summary of Program Changes

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8. FTA Funded Asset Management Policy/Procedures
  - a. Retention of lien on titles
  - b. Maintenance Plan
  - c. Inventory Control
  - d. Transfer Process
  - e. Disposition Process
9. Consequences for Non-Compliance
10. Planning and Coordination Policy/Procedures
11. CMAQ Funds Transfer Process
12. 5311(f) Continued Funding Process
13. Civil Rights Requirements



# District Observations

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- What are your current practices?
- Do you have any suggested improvements to the SMP?
- Are there any Third Party Contracting Improvements?
- How intensive should the Caltrans review be for agency RFPs with multiple funding sources?



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# Questions / Comments

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