



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

May 19, 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

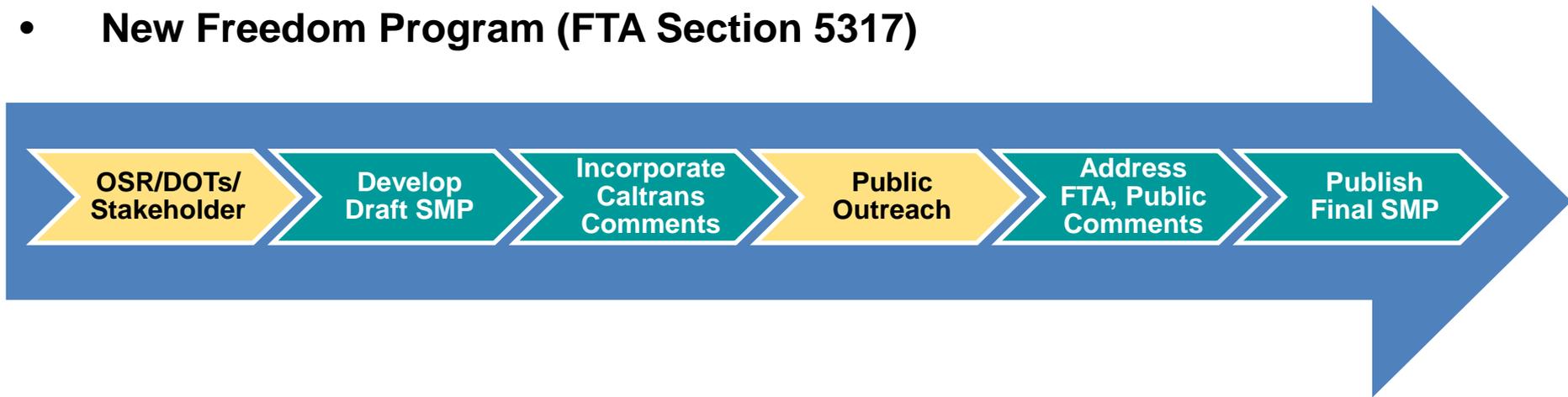
#	Topic	Speakers
1	Introductions	Bennie Lee Kimberly Gayle
2	FTA's Perspective	Audrey Bredehoft
3	Project Overview	Walter Butcher
4	Program 5310 with Open Discussions	Kimberly Gayle Walter Butcher
5	Program 5316/5317 with Open Discussions	Helen Louie Walter Butcher
6	Wrap-Up	Kimberly Gayle Walter Butcher



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 12th @ 2:30pm

- Updates to the 5310, 5311, 5316, & 5317 SMPs (Caltrans only)

Advisory Committee Meeting 2: May 19th @ 10am

- Updates to the 5310, 5316, & 5317 SMPs – **TODAY**

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

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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 in May]					
4	Task 4: Draft Updated State Management Plan and Recommendations Memorandum	5/16/2011	6/15/2011	[Blue bar in May]					
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 in July]					
7	Task 7: Assist in Addressing FTA Comments	8/22/2011	9/6/2011	[Blue bar in August]					

FTA State Management Review (SMR) Findings Summary



Issue	FTA Finding	FTA's Assessment of Caltrans Action Plan
Program Management	<i>State Management Plan (SMP) out of date/incomplete</i>	FINDING REMAINS OPEN
Program Management	<i>Lacking force account plan/justification</i>	Finding resolved
Program Management	<i>Inadequate oversight system</i>	Finding resolved
Program Management	<i>Insufficient Resources</i>	Finding resolved
Grant Administration	<i>Late/incomplete program status reports / Milestone Progress Reports (MPRs). Incorrect Federal Financial Reports (FFR) reporting.</i>	Finding resolved Caltrans advised to provide more detail in its descriptions and explanations of project status
Selection and Eligibility	<i>Insufficient monitoring of rural/urban cost allocation</i>	Finding resolved
Satisfactory Continuing Control	<i>Inadequate control of Section 5311 facilities / equipments and could not provide a comprehensive list of all Section 5311 FTA-funded facilities.</i>	FINDING REMAINS OPEN FTA advised Caltrans to track capital projects in the database that have been funded since the enactment of SAFETEA-LU. Project scheduled for completion by December 31, 2011.
Financial Management	<i>Insufficient tracking of grant balances Single audit submissions deficient</i>	Finding resolved
Disadvantage Business (DBE)	<i>Goal not submitted - FY 2010 DBE goal not submitted to FTA</i>	Finding resolved FTA Civil rights Office accepted Caltrans FY 2010 Goal and Methodology and stated it was in full compliance.
Title VI	<i>Program does not comply with circular - Caltrans had not developed a Title VI Program that conforms to all of the requirements of FTA Circular 4702.1A.</i>	Caltrans submitted the revised Title VI Plan in April 2011. Finding is now closed.
Drug-Free Workplace	<i>Policy lacking all required elements</i>	Finding resolved
Intelligent Transportation Systems (ITS) Architecture	<i>Projects not included in Regional ITS Architecture - Several funded projects were not a part of a locally approved Regional ITS Architecture as required by FTA</i>	FINDING REMAINS OPEN Project is scheduled for completion by December 31, 2011.
American Recovery and Reinvestment Act (ARRA)	<i>Insufficient resources - Caltrans could not document that it had implemented similar projects in its grants in the past three years and that it had sufficient technical capacity and resources to ensure implementation.</i>	Finding resolved

Caltrans FTA Findings Action Plan, 04/2011



Review Area	Finding	Deficiency	Corrective Action	Response Due	Caltrans Action Plan	Status
Program Management	Deficient	SMP Out of date/ Incomplete	Caltrans must submit to the FTA Region IX Office a final State Management Plan for its Section 5311 program that includes all the required areas and reflects the public comment process.	March 16, 2011 Extended to September 30, 2011	Caltrans developed a Request for Offer (RFO) and selected a contractor/consultant to update and complete the Division of Mass Transportation's 5310, 5311, and the JARC/NF 5316/5317 Grant Program State Management Plans (SMPs). These SMPs will include all the required areas and will also include the public comment process. This RFO was released in January 2011; final submissions were received in February 2011. A vendor was selected and the contract request was delivered to DGS on 3/15/11. DGS approved the Purchase Order on 04/13/11, and it was fully executed on 04/14/11. A kick-off meeting was held on April 28, 2011 with Cambria Solutions to review project scope and deliverables. The contract completion date will be September 30, 2011.	In Progress

Caltrans FTA Findings Action Plan, 04/2011



Review Area	Finding	Deficiency	Corrective Action	Response Due	Caltrans Action Plan	Status
Satisfactory Continuing Control	Deficient	Inadequate control of real property. Inadequate control of equipment.	Caltrans must submit to the FTA Region IX Office a comprehensive list of all facilities funded with Section 5311 funds and a timetable to update its Section 5311 equipment Records.	March 16, 2011	<p>The Inventory Control RFO and proposal package were approved by the Department of General Services (DGS), and the RFO/Purchase Order Contract was awarded to System Metrics Group, Inc. (SMG) on December 27, 2010.</p> <p>DMT met with SMG on March 14, 2011, to review updated draft deliverable of inventory control spreadsheet for all transit grant programs (5310/5311/5316/5317). Additional updates and audit of inventory information will continue between Caltrans and SMG. A follow-up meeting with SMG is scheduled the week of May 9th, 2011 to review deliverables.</p> <p>As part of the Inventory Control project, SMG will develop monitoring procedures that will maintain a current inventory of FTA funded equipment and real property.</p> <p>The target completion date for the Inventory Control project was July, 2011, but due to contract approval delays, this contract will be extended through September 2011.</p>	In Progress
				Extended to December 31, 2011		In Progress
						In Progress

Caltrans FTA Findings Action Plan, 04/2011



Review Area	Finding	Deficiency	Corrective Action	Response Due	Caltrans Action Plan	Status
ITS Architecture	Deficient	Projects not included in Regional ITS Architecture	Caltrans must submit to the FTA Region IX Office documentation that its subrecipients' ITS projects are included in a Regional ITS Architecture	March 16, 2011 December 31, 2011	Caltrans has developed an ITS form for subrecipient agencies to sign, certifying that ITS projects are included in the Regional ITS Architecture Plan.	Completed
					Caltrans has recently revised their 5311 grant application to include the ITS Plan certification form, beginning in the next funding cycle for FY 2011. The Sections 5316 and 5317 branch requires the completion of ITS compliance plan for all IT and ITS related equipment purchases.	Completed
					Caltrans is collecting and reviewing ITS-related equipment information and following up on ITS plans with 5311 program subrecipients. Target completion date is September 2011.	In Progress
					The Request for Offer (RFO) for the ITS Rural/Non-Urban Transit Statewide Plan project was released to 12 potential bidders. Evaluation and scoring was completed, and documents were submitted to Caltrans Division of Procurements and Contracts (DPAC) on April 15 to be submitted to DGS for approval and award of the contract. The DMT is working with DPAC to modify documents, and is still awaiting DPAC and DGS approvals before notifying the selected contractor. The anticipated contract award date of 4/13/11 and the anticipated contract start date of 4/20/11 have been delayed.	In Progress
					The target completion date of this project is September 30, 2011.	

5310 Goal: Elderly Individuals and Individuals with Disabilities Program



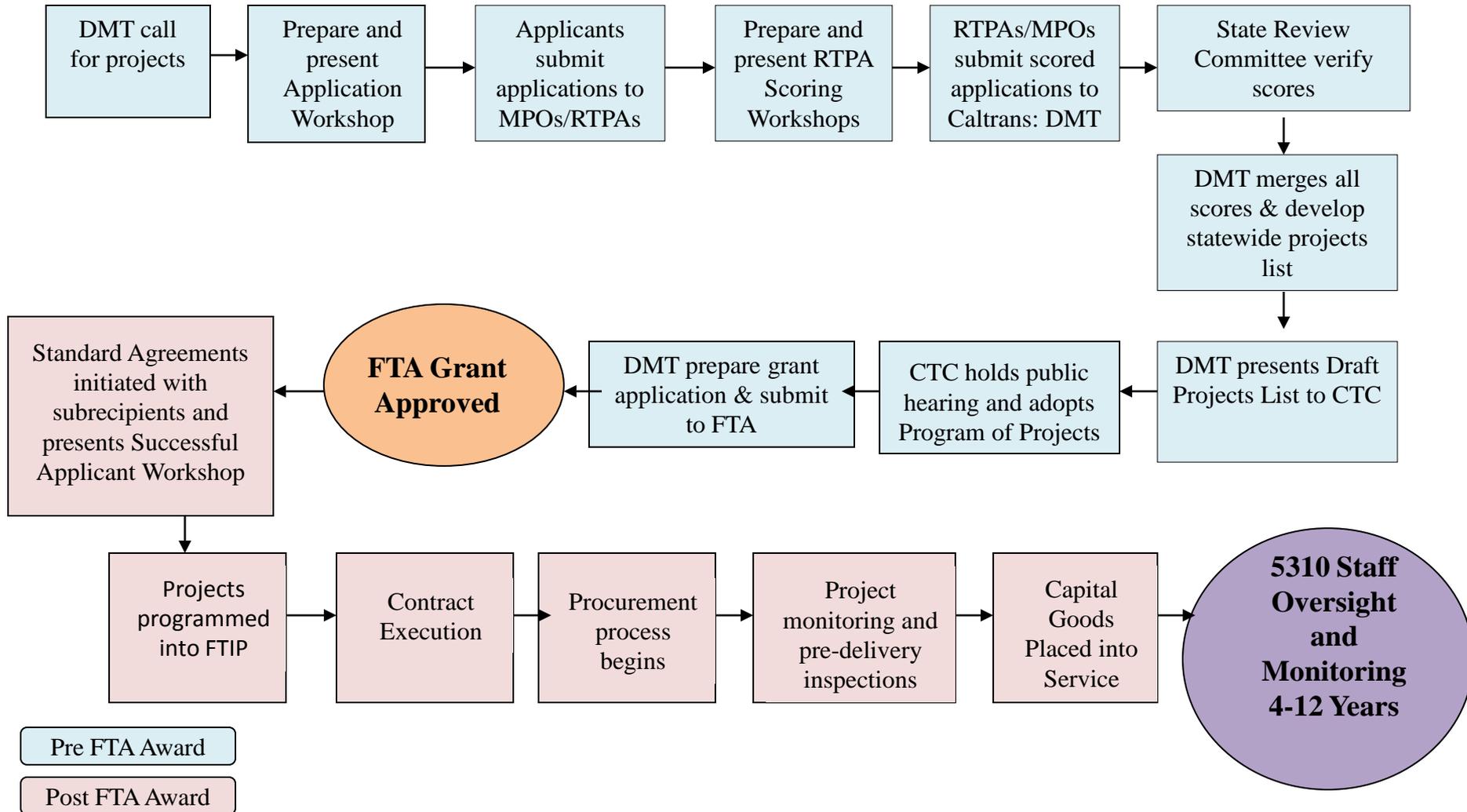
To improve mobility for elderly individuals and individuals with disabilities throughout the country.

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.



FTA Section 5310 Grants Process





5310 - OPEN DISCUSSION



1. What are your current practices for the 5310 Program?
2. Do you have any suggested improvements to the 5310 Program?
3. Are there any issues you can foresee with the new changes to the SMP?
4. What processes can be improved between Caltrans and Agencies in regards to the 5310 Program?



5316/5317 Program Goals

5316 Job Access & Reverse Commute (JARC) Program

Goal: 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.

5317 New Freedom Program Goal: To provide additional tools to overcome existing barriers facing Americans with disabilities seeking integration into the work force and full participation in society.

Caltrans 5316/5317 Procedural Changes



5316/5317 Specific Changes

Small Urban Projects:

1. Project Selection by MOU Participants (MPO/RTPA)
2. Transfer process to Section 5307

Eligible Capital Projects:

1. Align with Section 5310
2. Vehicles and Equipment Purchases Only

Cross Cutting Changes

- ITS Policy & Procedures
- Amendment Policy and Procedures
- Request for Reimbursement Policy and Procedures
- Procurement Procedures
 1. Local Procurement (RFP; RFQ; IFB)
 2. Piggybacking
 3. Non-competitive Bid
 4. Vehicle Procurement
 5. Services Procurement – price determination
 6. Protest Procedures
- Cost Allocation Policy and Procedures
 1. Segregation of cost between urban and rural
 2. Indirect Cost Allocation Plan (ICAP)
- Capital Assets Management Policy and Procedures
 1. Retention of lien on title
 2. FCC Narrow banding
 3. Maintenance Plan
 4. Inventory Control
 5. Vehicle Transfer
 6. Vehicle and Equipment Disposition



5316/5317 - OPEN DISCUSSION



1. What are your current practices for the 5316/5317 Programs?
2. Do you have any suggested improvements to the 5316/5317 Program?
3. Are there any issues you can foresee with the new changes to the SMP?
4. What processes can be improved between Caltrans and Agencies in regards to the 5316/5317 Programs?



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Questions / Comments

