

California Department of Transportation

# **DIVISION OF MASS TRANSPORTATION**

## **STATE TRANSIT PROGRAM GUIDELINES**



2010

**DEPARTMENT OF TRANSPORTATION**

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**Flex your  
power!**  
*Be energy efficient!*

To: Headquarters Division of Mass Transportation and Caltrans District Staff

The Caltrans State Transit Program Guidelines are designed to assist the Department of Transportation (Caltrans) and local agency staff in managing the timely delivery of state funded local transit projects. Transit is a vital component of California's overall transportation system. More than 1.1 billion of the total transit passenger trips are taken annually within this state, and these trips result in significant economic, mobility, and environmental benefits. Major trends within transportation will include increased transportation partnerships, system demands, and changing demographics. In this light, California's vision for mass transportation must be focused to meet the needs of local agencies and the traveling public.

These guidelines attempt to provide a step by step transit funding process. They also give an overview of Caltrans' Division of Mass Transportation roles and responsibilities to assist local agencies in the delivery of transit projects. Transit web site information is also provided for new planning staff and local fund recipients. These guidelines are not intended to eliminate the need for asking questions, searching for additional information, or interacting with your colleagues; but rather; they should be used as a quick reference guide that will assist you in providing more timely and efficient service to our customers and stakeholders.

Sincerely,

JANE PEREZ  
Chief (Interim)  
Division of Mass Transportation

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# Chapter 1

## INTRODUCTION

The Division of Mass Transportation (DMT) is pleased to introduce the 2010 State Transit Program Guidelines. Its purpose is to provide guidance to local transit agencies, regional planning agencies and staff in the administration of state funded transit projects.

DMT supports the development of a multi-modal transportation system that increases mobility and access choice for California's citizens and visitors. Our primary responsibility is the administration of state and federal funding programs that provide for capital improvement projects and operating assistance. This is accomplished by 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 disadvantaged areas.

We are here to assist our customers. A copy of our most recent organization chart and contact list can be found at: <http://www.dot.ca.gov/hq/MassTrans/DMTContact.htm>.

An electronic copy of this publication can also 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). This document is meant to be a living document that grows as we grow. We encourage those that use it to bring forward ideas, comments and corrections.

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 2

### OVERVIEW OF PROGRAMS

The following is a brief description for each of the six state grant programs within DMT's responsibilities. The DMT along with district staff, provide technical assistance to local agencies responsible for public transportation services that include bus services, demand-responsive accessible services for the elderly and disabled, rural transit services, commuter and urban rail services, and waterborne ferry operations.

#### 2.1 State Transportation Improvement Program

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 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.dot.ca.gov/hq/transprog/ocip/guidelines.htm>.

#### 2.2 Traffic Congestion Relief Program

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).

### **2.3 Proposition 116 Clean Air and Transportation Improvement Act**

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 waterborne 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).

### **2.4 Prop 1B State-Local Partnership Program**

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 SLPP guidelines and supporting documents can be found at:

<http://www.catc.ca.gov/programs/SLPP.htm>.

## **2.5 Prop 1B Public Transportation Modernization, Improvement, and Service Enhancement Account**

The Public Transportation Modernization, Improvement, and Service Enhancement Account (PTMISEA) was approved by the voters as part of Proposition 1B as well. It authorizes \$3.6 billion dollars to be made available to transit operators over a ten-year period. Funds in this account are appropriated annually by the Legislature to the State Controllers Office (SCO) for allocation in accordance with Public Utilities Code formula distributions: 50 percent allocated using formula in Section 99314 (determined by fare box revenues) and 50 percent using formula in Section 99313 (determined by population). In Fiscal Year (FY) 2007-08, Caltrans Division of Mass Transportation (DMT) was identified as the administering agency. For more information please visit our website at:

<http://www.dot.ca.gov/hq/MassTrans/Proposition-1B.html>.

## **2.6 Prop 1A High-Speed Train Urban and Commuter Rail Program**

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 3

### PROJECT PROGRAMMING

This chapter discusses the programming process for each of the six state transit programs administered by the DMT. For further information, please refer to the flow chart at the end of this chapter.

#### 3.1 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).

#### 3.2 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. The complete process for submitting environmental documents to the CTC can be found at: <http://www.catc.ca.gov/index.htm>.

#### 3.3 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.

### **3.4 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.

### **3.5 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.

### **3.6 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 will not program or allocate SLPP funding to match local funding for preconstruction work. 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>.

### **3.7 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).

### **3.8 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>.

### **3.9 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>.

### **3.10 Public Transportation Modernization, Improvement, and Service Enhancement Account Programming of Projects**

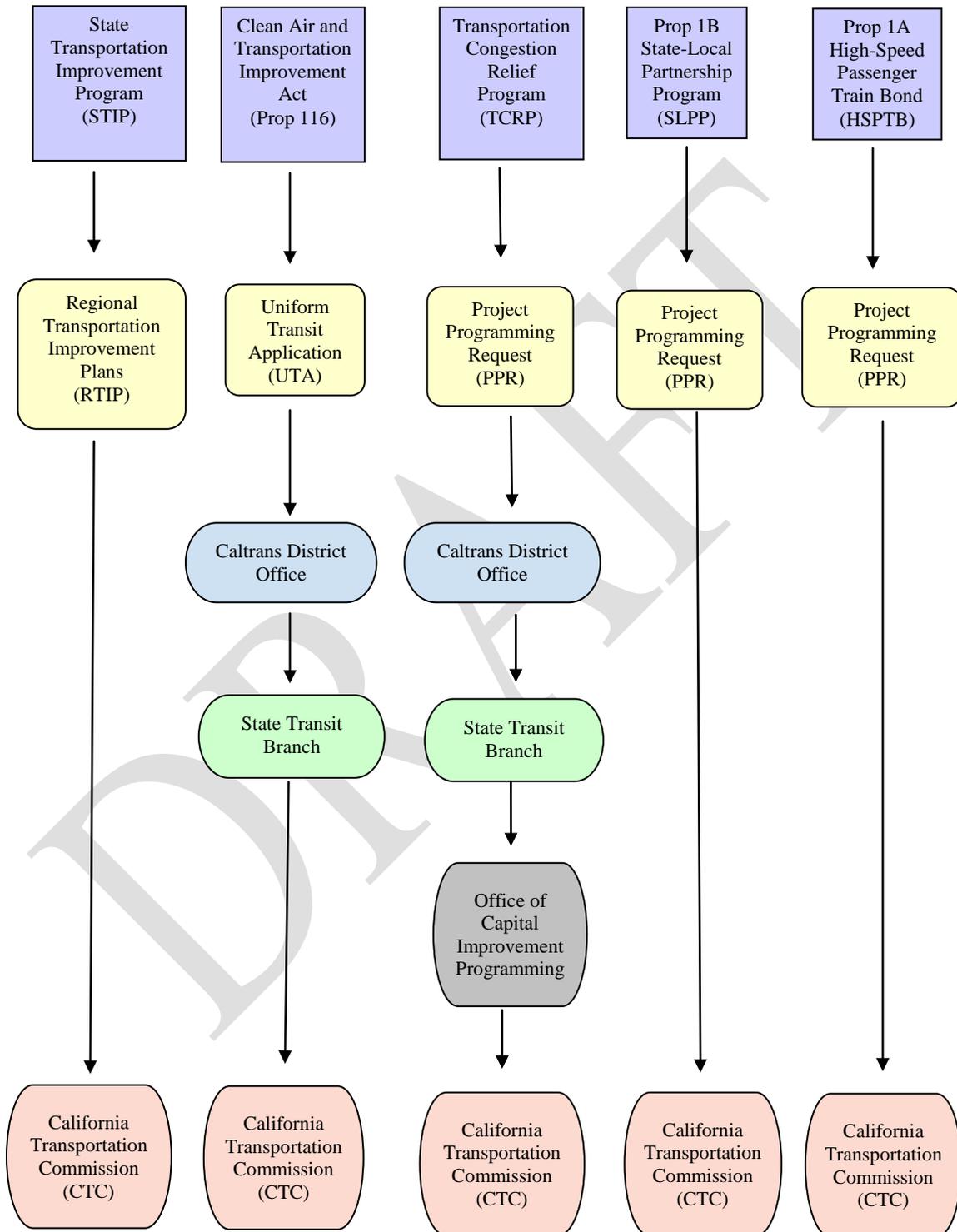
The PTMISEA does not program projects in the same sense as the other five state transit funding programs. Each year, the SCO releases a schedule of project sponsors eligible to receive an allocation, and calculates the amount of funds each is available to receive, based on the budget appropriation. Agencies are able to submit allocation requests for any eligible project up to the amount of their appropriation. Projects must be in the sponsor's most recently adopted short-range transit plan or certified by a board endorsement, but do not need to be programmed with the PTMISEA, prior to requesting an allocation.

However, effective with fiscal year 2009-10, the SCO notified all eligible project sponsors of their share of the remaining funds for the life of the bond. Project sponsors are now required to submit a plan of projects, called the PTMISEA Program Expenditure Plan (Attachment L),

listing how they intend to use their remaining funds before they are eligible to receive an allocation from FY 2009-10 or later. Agencies are only asked to submit the project name, funding amount, and year they intend to use the funds on the plan submitted to DMT. They are able to amend the plan. The PTMISEA Program Expenditure Plan worksheet can be found at: <http://www.dot.ca.gov/hq/MassTrans/Docs-Pdfs/Prop%201B/expenditure.plan.worksheet.xls>.

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# PROJECT PROGRAMMING PROCESS



## Chapter 4

### 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.

#### 4.1 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).

#### **4.2 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 programs 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.

#### **4.3 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>.

#### **4.4 PTMISEA Allocation Requests**

PTMISEA allocation requests do not require CTC approval. Eligible project sponsors should submit a PTMISEA Allocation Requests form (Attachment J) directly to the DMT PTMISEA branch. The allocation package should contain a signed cover page, a complete PTMISEA Project Description and Allocation Request form, the Total Project Cost and Funding Plan, and evidence that the project is included in the agency's short range transit plan. Additional information can be found at: <http://www.dot.ca.gov/hq/MassTrans/Docs-Pdfs/Prop%201B/allocation.request.guide.doc>.

#### **4.5 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.

#### **4.6 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. PTMISEA project amendments require a Corrective Action Plan (CAP) (Attachment K). All other 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>. The PTMISEA CAP form can be found at:

<http://www.dot.ca.gov/hq/MassTrans/Docs-Pdfs/Prop%2011B/corrective.action.plan.xls>.

#### **4.7 Time Extension Requests**

PTMISEA time extensions are processed with a CAP. All other funding source 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/>.

#### **4.8 Letters of No Prejudice**

Letter of No Prejudice (LONP) allow for an agency to expend their own 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 under each program.

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:

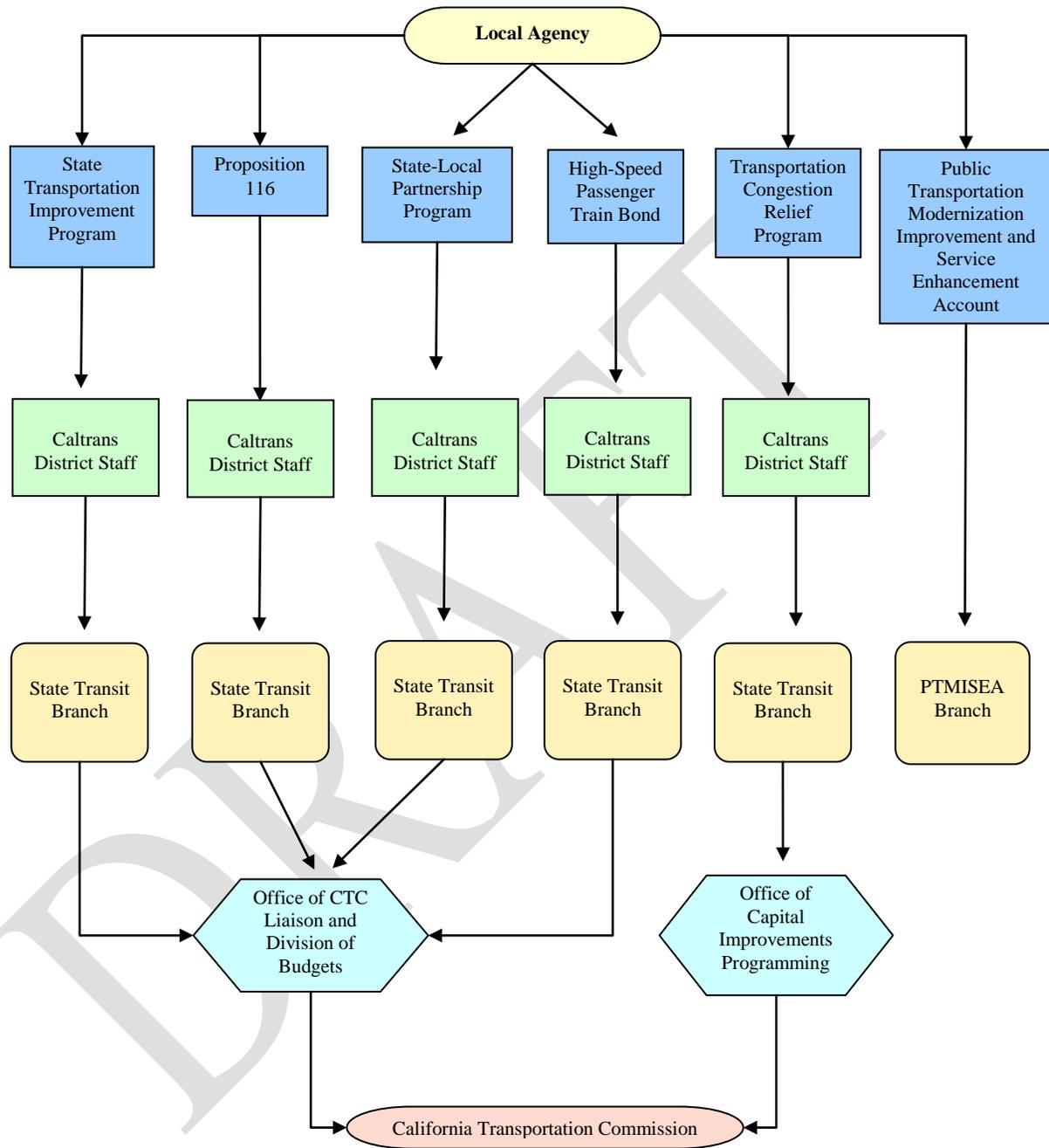
- A signed agency letter.
- Project Overall Funding Plan.
- Project Financial Plan.
- Project Schedule.

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

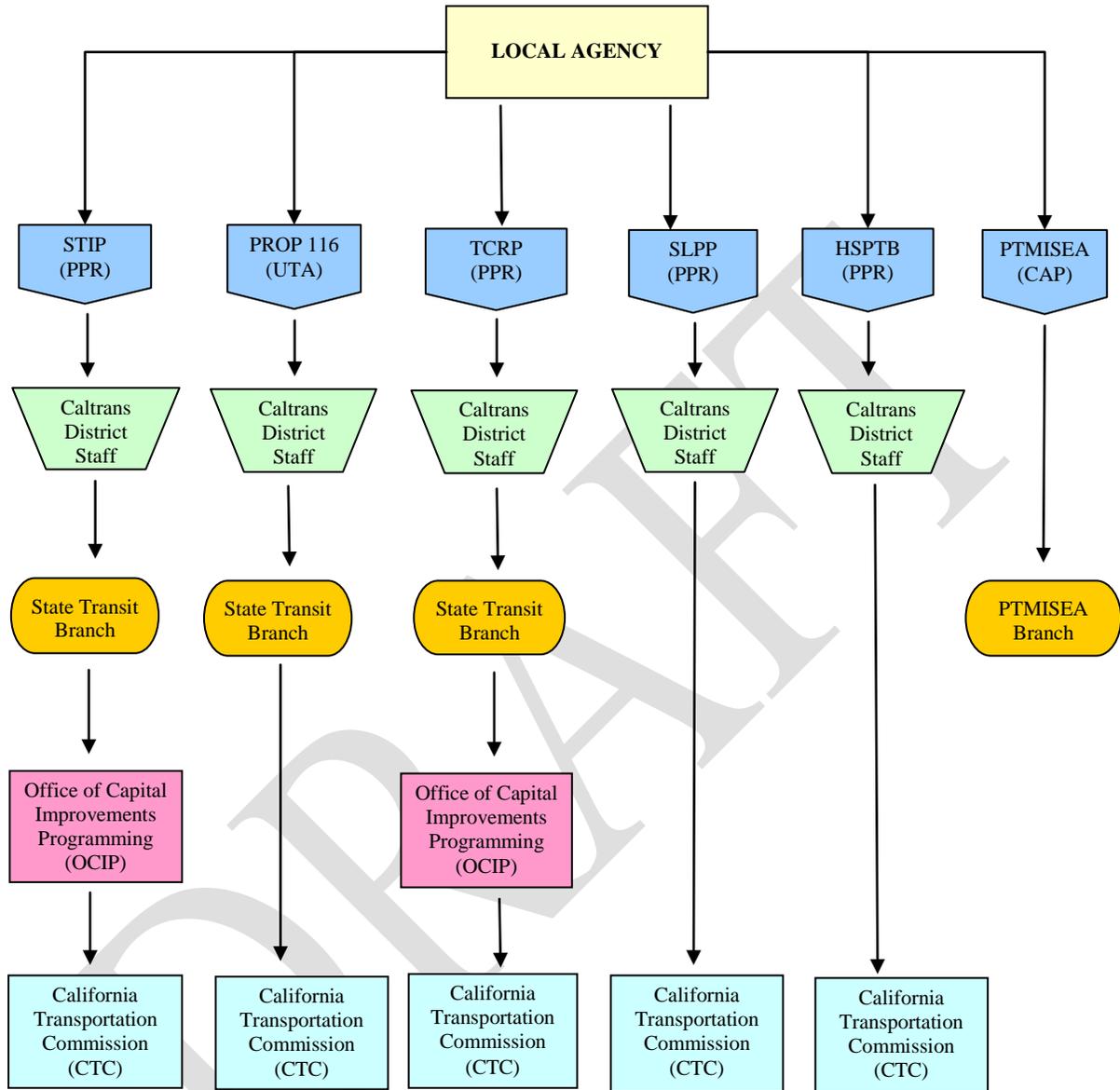
expedited with a pink route slip through the DMT Chief and the Deputy Director, Planning and Modal Programs.

DRAFT

# ALLOCATION REQUEST PROCESS



# AMENDMENT REQUEST PROCESS



## Chapter 5

### 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.

#### 5.1 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.

## **5.2 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.

## **5.3 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 are not approved, the Program Manager may request a preaward 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>.

## **5.4 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.

## **5.5 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.

## **5.6 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).

## **5.7 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 6

### 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. Projects funded solely with PTMISEA funds do not require a MA or PS.

#### 6.1 Master Agreement

The MA for State funded transit projects is a contract 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 contract. 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 contract 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

#### 6.2 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 contract 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 contract 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 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)

### **6.3 Program Supplement**

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).

#### **6.4 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 signing the documents. For those agreements 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 project action is approved at a CTC monthly meeting, 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 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. 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 7

### 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 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.

With the exception of PTMISEA funded projects, 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 assigned HQ PTMISEA analyst is responsible for following the PTMISEA funded projects. 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.

#### 7.1 Quarterly Review

There are two types of quarterly reviews that will satisfy the terms set forth by the MA 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)

## **7.2 PTMISEA Semi-Annual Progress Reports**

PTMISEA funded projects do not require quarterly reviews, but per the Governor's Executive Order S-02-07 and Government Code Section 8879.50(f)(1), project sponsors are required to report semi-annually on the activities and progress made on their funded projects to the Caltrans to ensure the projects and activities funded from bond proceeds are being executed in a timely fashion, within the scope and cost approved at the time of allocation, and are achieving the intended purposes.

A Financial Progress Report (Attachment N) with an updated Itemized Expenditure Table (Attachment O) and an Outcome Progress Report (Attachment P) should be submitted by the project sponsor to DMT 45 days after the end of the fiscal year (June 30) and 45 days after the end of the calendar year (December 31). For more information and forms please see the Semi-Annual Progress report section of the website:

<http://www.dot.ca.gov/hq/MassTrans/Proposition-1B.html>.

## **7.3 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.

This process does not apply to PTMISEA funded projects.

## **7.4 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 are for engineering, R/W and construction-related work. Indirect costs are expenditures that an agency incurs for administration work that is directly related to the 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. Please note PTMISEA funds cannot be used for environmental phases.

**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.

## **7.5 Ineligible Costs**

It is the responsibility of the district contract manager to review invoice(s) 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/Amendment.
- Expenditures not consistent with the approved SOW.
- Incurred expenses for a different project or phase.
- Relocation expenses (unless specifically mentioned in the SOW).
- Charges for food served at a meeting.
- Charges for fines imposed by other agencies.
- Double billing for items.
- Costs for opening ceremonies of a project.
- Non-scope items such as art, ornamental items etc. (applies to station projects).

## **7.6 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. With the exception of PTMISEA funded projects, 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 PS. 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 contractors. Contract records must be retained by the local agency for a minimum period of three years from the date of final payment.

When a PTMISEA funded project is complete, the project sponsor must notify the DMT. The sponsor is required to submit a Final Project Report (Attachment M) six months after the project is complete and an additional outcome report 12 months after completion. Each sponsor must provide evidence of project completion such as a photo of the completed project. These forms can be found at: <http://www.dot.ca.gov/hq/MassTrans/Proposition-1B.html>.

## **7.7 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 or 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. However, we strongly recommend that you refer to the applicable program guidelines in which your project was administered.

## Chapter 8

### PREAWARD EVALUATION

The need for a preaward 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 State funds for a transit project. Preaward evaluations are performed by Caltrans A&I and include a risk assessment of an agency's accounting financial management system. A preaward evaluation of a local agency is not required every time funds are being requested; however, it is mandated whenever State funds are being requested for the first time. The HQ program manager requests a preaward evaluation as soon as it is known that a local agency will be entering into a MA 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 preaward evaluations.

#### 8.1 Requesting a Preaward Evaluation

Preaward 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 Preaward 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 preaward audit is needed based on the following factors:

- Allocation amount
- Caltrans prior history with recipient
- Preaward 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 preaward audit is required, an auditor will be assigned at that time. On the other hand, if a preaward evaluation is not required, a waiver will be granted signifying that the preaward 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 preaward evaluation at that particular time. Caltrans maintains the right and authority to perform a interim and post audits at a later date if it finds that either or both are warranted.

#### 8.2 Preaward 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:
  - a. Accounting charts that include indirect and direct general ledger accounts.
  - b. Segregation of costs by contract, category of cost, and milestones (if applicable).
  - c. Proper recording of indirect and direct costs.
  - d. Consistent accounting treatment of costs in recording and reporting.
  - e. Ability to trace from invoices submitted to Caltrans to job cost records and original, approved source documents.
  - f. 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 preaward 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/>.

### **8.3 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 preaward 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.

### **8.4 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.

## **8.5 PTMISEA TDA Audit Requirements**

Agencies receiving PMTISEA funds are required to submit a copy of their Transit Development Act (TDA) Audit to DMT. This audit needs to include verification of the receipt and appropriate expenditure of PTMISEA bond funds. It is due to the DMT 180 days after the end of the fiscal year. For more information on TDA audits, codes and regulations please refer to <http://www.dot.ca.gov/hq/MassTrans/Docs-Pdfs/TDA11-17-2009B.pdf>. The TDA audit examination will review the following:

Required documents (per TDA Statues and California Codes and Regulations) prepared by the Caltrans Auditor:

- Independent Auditor's Report
- Balance Sheets
- Statement of Expenditures and Changes in Fund Balance
- Notes to Financial Statements
- Compliance Report

Verification required to be submitted to Caltrans:

- Verification of receipt of PTMISEA funds
- Verification of appropriate expenditure of PTIMSEA funds

## 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**

DRAFT

**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>PAVED</b>																
State Funds: PTA	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
State-Admin Federal:	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
Other State Funds:	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
Local Funds:	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
Locally-Admin Federal:	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
Other Local Funds:	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
<b>Subtotal PAVED</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/Plumb/Retest</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>	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$





Continued - Attachment E

### Allocation Request CHECKLIST for CTC Agenda Item

Recipient Agency: \_\_\_\_\_  
Project Title: \_\_\_\_\_

Allocation Amount: \_\_\_\_\_  
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. **If Exempt, provide applicable Section:** \_\_\_\_\_
- N/A** Hazardous Waste Indemnification, if applicable
- N/A** Right-of-Way Approval Letter, if applicable
- N/A** Completed and Signed Bond Questionnaire, if applicable

1) Type of funding:

- SHA (11.47%) / STP (88.53%)
- SLPP
- HSPTB
- Prop 116
- PTA
- 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 \_\_\_\_\_

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 118 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>
------------------------------	----------------	--------------------------------	------------------

**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.

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

**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 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 07/28/06

# 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 106	CATIA 116	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 188043, Suite ASF  
 Sacramento, CA 95816-8043  
 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		IF NO, PLEASE EXPLAIN	
WERE ALL OF THE FUNDING SHARE PROVIDED? <input type="checkbox"/> YES <input type="checkbox"/> NO		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

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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: \_\_\_\_\_

**Public Transportation Modernization, Improvement and  
Service Enhancement Program (PTMISEA)  
PROJECT DESCRIPTION AND ALLOCATION REQUEST**

	Regional Entity:
Project Lead*:	County:
Project Title:	

I certify the scope, cost, schedule, and benefits as identified in the attached Project Description and Allocation Request (Request) and attachments are true and accurate and demonstrate a fully funded operable project. I understand the Request is subject to any additional restrictions, limitations or conditions that may be enacted by the State Legislature, including the State's budgetary process, which may effect the amount of bond proceeds received by the project sponsor now and in the future. Project sponsors may need to consider alternative funding sources if bond proceeds are not available. In the event the project cannot be completed as originally scoped, scheduled and estimated, or the project is terminated prior to completion, project sponsor shall, at its own expense, ensure that the project is in a safe and operable condition for the public. I understand this project will be monitored by the California Department of Transportation – Division of Mass Transportation.

---

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

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

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

Date: \_\_\_\_\_

\*If this project includes funding from more than one project sponsor, the project sponsor above becomes the "recipient agency" and the additional contributing project sponsor(s) must also sign and state the amount and type of PTMISEA funds (GC Section 8879.55(a)(2) and/or Section 8879.55(a)(3)) contribution. Sign below or **attach a separate officially signed letter providing that information.**

---

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

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

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

Date: \_\_\_\_\_ Amount: \_\_\_\_\_

**PTMISEA PROJECT DESCRIPTION  
AND ALLOCATION REQUEST**

	7/8	8/9	9/10
Request Amount per GC 8879.55(a)(2)/PUC 99313:	\$ _____	\$ _____	\$ _____
Request Amount per GC 8879.55(a)(3)/PUC 99314:	\$ _____	\$ _____	\$ _____
<b>Total Project Allocation Request:</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
Project Title:	_____		
Project Location/Address:	_____		

Table 1: Project Lead/Recipient Agency Information		
Project Lead/ Recipient Agency: _____	<i>Legislative District Numbers</i>	
Contact: _____	Assembly: _____	
Contact Phone #: _____	Senate: _____	
Email Address: _____	Amount: _____	Congressional: _____
Address: _____	\$ _____	Fund Type: _____
_____	\$ _____	_____

Table 2: Contributing PTMISEA-Eligible Project Sponsor Information		
PTMISEA Contributors: _____	Amount:	Fund Type:
Contact: _____	\$ _____	_____
Contact Phone #: _____	\$ _____	_____
Email Address: _____		
Address: _____		
Other PTMISEA Contributors ( Attach sheet with contact info)	Amount:	Fund Type:
_____	\$ _____	_____
_____	\$ _____	_____
_____	\$ _____	_____
<b>TOTAL</b>	<b>\$0</b>	_____

(\*Contributing project sponsors attach signed letters of verification as to amount and eligibility or sign cover page)

Table 3: Project Category	
Check only 1 box that best fits the description of the project being funded.	
<input type="checkbox"/> Rehabilitation, Safety or Modernization Improvement	<input type="checkbox"/> Bus Rapid Transit
<input type="checkbox"/> Capital Service Enhancement or Expansion	<input type="checkbox"/> Rolling Stock Procurement:
<input type="checkbox"/> New Capital Project	___ Expansion
	___ Rehabilitation
	___ Replacement

Table 4: Project Summary	
a) Describe the project (or minimum operable segment) for which you are applying for funds. Attach additional sheets if necessary. If the application is for the purchase of vehicles or rolling stock, please include information on number of vehicles, size, passenger count, accessibility, and fuel type: Write here:	
b) Useful Life of the Project: _____ years	

Table 5: Description of Major Benefits/Outcomes	
a) Please check appropriate Benefit/Outcome:	
<input type="checkbox"/> Increase Ridership	by _____ %
<input type="checkbox"/> Reduce Operating/Maintenance Cost	by _____ %
<input type="checkbox"/> Reduce Emissions	by _____ %
<input type="checkbox"/> Increase System Reliability	by _____ %
b) Please summarize and describe any other benefits:	

Table 6: Project Schedule	
	Date
Begin Project Approval & Environmental Document Phase	
CEQA/ Environmental Compliance	
End Project Approval & Environmental Document Phase	
Begin Plans, Specifications & Estimates Phase	
End Plans, Specifications & Estimates Phase	
Begin Right of Way Phase	
End Right of Way Phase	
Begin Construction Phase (Contract Award)	
End Construction Phase (Contract Acceptance)	
Begin Vehicle/Equipment Order (Contract Award)	
End Vehicle/Equipment Order (Contract Acceptance)	
Begin Closeout Phase	
End Closeout Phase	

Table 7: Tax Compliance Information	
Is it reasonably anticipated that any money will be derived at any point in the future as a result of the project that will be paid to the State?	<input type="checkbox"/> YES <input type="checkbox"/> NO
If yes, please describe the source of the money and provide an estimate of the amount:	Estimate: \$ _____

Attachment J

Public Transportation Modernization, Improvement, and Service Enhancement Account  
Total Project Cost and Funding Plan

Shaded fields are automatically calculated. Please do not fill these fields.

Proposed Total Project Cost								Project Total
Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13	
PA&ED	0	0	0	0	0	0	0	0
PS&E	0	0	0	0	0	0	0	0
R/W	0	0	0	0	0	0	0	0
CON	0	0	0	0	0	0	0	0
Vehicle/Equip Purch	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0
<b>TOTAL</b>	<b>0</b>							

Public Transportation Modernization, Improvement, and Service Enhancement Account (PTMISEA)								
Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Other								0
<b>TOTAL</b>	<b>0</b>							

Funding Source: PTMISEA INTEREST								
Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Other								0
<b>TOTAL</b>	<b>0</b>							

Funding Source:								
Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Other								0
<b>TOTAL</b>	<b>0</b>							

Funding Source:								
Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Other								0
<b>TOTAL</b>	<b>0</b>							

Funding Source:								
Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Other								0
<b>TOTAL</b>	<b>0</b>							

Funding Source:								
-----------------	--	--	--	--	--	--	--	--

Attachment J

Public Transportation Modernization, Improvement, and Service Enhancement Account								
Total Project Cost and Funding Plan								
Shaded fields are automatically calculated. Please do not fill these fields.								
Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Other								0
<b>TOTAL</b>	<b>0</b>							
<b>Funding Source:</b>								
Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Other								0
<b>TOTAL</b>	<b>0</b>							
<b>Funding Source:</b>								
Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Other								0
<b>TOTAL</b>	<b>0</b>							
<b>Funding Source:</b>								
Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Other								0
<b>TOTAL</b>	<b>0</b>							
<b>Funding Source:</b>								
Component	Prior	07/08	08/09	09/10	10/11	11/12	12/13	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Other								0
<b>TOTAL</b>	<b>0</b>							



Public Transportation Modernization, Improvement & Service Enhancement Program (PTMISEA)  
Project Description and Allocation Request  
Corrective Action Plan

Fiscal Year :  
PTMISEA Cycle :  
Project Sponsor :  
Contributing PTMISEA Sponsor :

	Original	Revised
<b><u>Project Scope</u></b>		
<b><u>Funding</u></b>		
99313 :		
99314 :		
PTMISEA Interest :		
<b>Other Funds :</b>		
Federal :		
State :		
Local :		
<b><u>Schedule Date</u></b>		
Begin Environmental :		
End Environmental :		
Begin Design :		
End Design :		
Begin Right of Way :		
End Right of Way :		
Begin Construction :		
End Construction :		
Begin Vehicle/Equipment Order :		
End Vehicle/Equipment Order :		
Begin Closeout Phase :		
End Closeout Phase :		

Justification for Change :

**Signature(s)**

Sponsor Recipient

Date

Contributing PTMISEA Sponsor

Date

Note: The same authority that signed the Allocation Request must sign here.





Public Transportation Modernization, Improvement & Service Enhancement Program (PTMISEA)

**Final Project Report**

*Per G.C. 8879.50 (f)(2) "Within six months of the project becoming operable the recipient agency shall provide a report to the administrative agency . . ." Please provide the following information:*

Fiscal Year :  
 PTMISEA Cycle :  
 Project Sponsor :  
 Contributing PTMISEA Sponsor :  
 Project Name :

	Original Application	Final Project
<b>Project Scope</b>		
<b>Funding</b>	<b>Original Approved Project Cost</b>	<b>Final Project Cost</b>
99313 :		
99314 :		
PTMISEA Interest :		
<b>Other Funds</b>		
Federal :		
State :		
Local :		
<b>Total Project Cost :</b>	<b>\$0</b>	<b>\$0</b>
<b>Schedule Date</b>	<b>Original Project Schedule</b>	<b>Final Project Schedule</b>
Begin Environmental :		
End Environmental :		
Begin Design :		
End Design :		
Begin Right of Way :		
End Right of Way :		
Begin Construction :		
End Construction :		
Begin Vehicle/Equipment Order :		
End Vehicle/Equipment Order :		
Begin Closeout Phase :		
End Closeout Phase :		
	<b>Anticipated Performance Outcome</b>	<b>Actual Performance Outcome</b>
<b>Performance Outcomes Description/Improvement Percentages :</b>		

**Signature:**

\_\_\_\_\_  
 Name and Title

\_\_\_\_\_  
 Date

**Note: The same authority that signed the Allocation Request must sign here.**

**Attachment N**

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION

**Division of Mass Transportation**

**Public Transportation Modernization, Improvement, and  
Service Enhancement Account (PTMISEA)**



**Financial Progress Report**

Regional Entity	Transit Operator	Project Sponsor	Project Name
GC Section 8879.50(f)(1) requires the project sponsor to report semi-annually on the activities and progress made on the project to the Department to ensure the projects and activities funded from bond proceeds are being executed in a timely fashion, within the scope and cost approved at the time of allocation, and are achieving the intended purposes.			
<b>BRIEF PROJECT DESCRIPTION:</b>			

**1. IDENTIFY ANY CONTRACTS INITIATED THAT WILL EXPEND PTMISEA FUNDS ON THIS PROJECT:**

Contract #:

Vendor Name:

Start Date:

End Date:

Dollar Amount:

1a) If no contracts have been initiated please explain:

**2. INTEREST EARNED TO DATE ON PTMISEA FUNDS, FOR THIS PROJECT:**

Amount Awarded:

Interest Rate:

Interest Earned:

**3. COMPLETION STATUS:**

Overall Project Percent Complete: \_\_\_\_\_%

Date (anticipated completion date): \_\_\_\_\_

**4. BEGINNING BALANCE, ITEMIZED EXPENDITURES, AND ENDING BALANCE:**

Itemize Expenditures on Attachment A.1.3

PERSON PREPARING THIS REPORT (please type or print)	PHONE:	DATE:
APPROVAL AUTHORITY* (signature)	TYPED NAME AND PHONE NUMBER	
Date:		

\*Note: The same authority that signed the Allocation Request must sign here.

Effective (09/08)



**Attachment P**  
 STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION  
 Division of Mass Transportation  
 Public Transportation Modernization, Improvement, and  
 Service Enhancement Account (PTMISEA)  
 Outcome Progress Report



Regional Entity	Transit Operator	Project Sponsor	Project Name

GC Section 8879.50(f)(1) requires the project sponsor to report semi-annually on the activities and progress made on the project to the Department to ensure the projects and activities funded from bond proceeds are being executed in a timely fashion, within the scope and cost approved at the time of allocation, and are achieving the intended purposes.

**BRIEF PROJECT DESCRIPTION:**

**1) BRIEFLY SUMMARIZE THE STATUS OF THE PROJECT:**

a) Description of what has been completed as described in the scope of the original project allocation request:

b) List any vehicles/equipment received (i.e., ordered 10 buses, have received 3):

**2) BRIEFLY DESCRIBE THE STATUS OF THE PROJECT'S BENEFITS/OUTCOMES:**

State the progress of the Benefits/Outcomes as they pertain to the scope of this project (include data for measurable outcomes: number of new routes, rail miles, BRT miles, facilities constructed, increased ridership, reduced congestion/greenhouse gases, number of vehicles purchased/rehabilitated/ replaced):

Please include the current overall Measurable Benefit as a Percent.

**3) STATE WHAT STILL NEEDS TO BE COMPLETED BEFORE PROJECT CLOSEOUT:**

**4) LIST THE COMPLETION STATUS OF THE MILESTONES THAT PERTAIN TO THIS PROJECT:**

Phase:	Percent Complete:
Project Approval & Environmental Document (PA & ED)	%
Plan Specification & Estimates (PS & E)	%
Right of Way	%
Construction	%
Vehicle/ Equipment Purchase	%
Closeout	%

Effective (09/08)