



Project Schedule Planning

Project Planning | Caltrans Local Assistance | Robert Y Wong, Region Chief

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How to Schedule Project Discussion Points

- Program Funding and Planning
- Allocation Requests to CTC
- Project Delivery Rules of the Game
- What Happens if Things Don't Go as Planned
- State-only Funding/Federal Funding Requirements
- Choosing Between Fiscal Years
- How Long Does it Take to Deliver Each Phase of a Project ??
- Project Schedule and Cost Estimating
- Schedule Preparation



ATP Program...

Program Purpose and Goals overview

- Increase: Biking; Walking; Safety and Mobility for Nonmotorized Users
- Reduce Green House Gas and Enhance Public Health
- Disadvantage Communities Fully Share the Benefit
- Provide a Broad Spectrum of Projects to Benefit Many Types of Users

Source References

- [ATP Purpose & Goals Flowchart \(PDF\)](#)
- [ATP Fact Sheet \(PDF\)](#)
- CTC – ATP website: <https://catc.ca.gov/programs/active-transportation-program>



Plan Ahead for Delivery ahead of Schedule

BEST STEPS

- Capture funding opportunities
- Invest in community planning and engagement

PLANNING GRANTS

- CALTRANS PLANNING GRANT [Sustainable Transportation Planning Grants](#)

ACTIVE TRANSPORTATION FUNDING

- SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT MOBILE SOURCE AIR POLLUTION REDUCTION REVIEW COMMITTEE (MSRC) GRANTS
- OFFICE OF TRAFFIC AND SAFETY (OTS) GRANTS
- STRATEGIC GROWTH COUNCIL [Strategic Growth Council, California](#)



Plan Ahead for Delivery ahead of Schedule

MORE SUPPORTIVE PLANS

ACTIVE TRANSPORTATION PLANS

- [Caltrans Active Transportation Plans](#)
- [Toward An Active California - State Bike and Walk Plan](#)
- Bike Master Plan
- Complete Streets Plan
- [Strategic Highway Safety Plan \(SHSP\) Implementation Plan](#)
- [Public Participation Plan](#)



ATP Program Tentative Schedule

- Application Deadline **June 15, 2020**
- Commission Adopts Statewide and Small Urban and Rural Portion of the Program **December 2-3, 2020**
- Commission Adopts MPO Selected Projects **May 2021**



ATP Cycle 5 Program Years

- Cycle 5 will have 4 program years
- 2021-22, 2022-23, 2023-24, and 2024-5
- Enough for a simple project, but may be challenging for a large, complex project.
 - Consider applying for PA/ED and PSE only for projects over \$7 million total costs with extensive ROW needs, railroad or Army Corps of Engineers, etc. involvement.



ATP Allocation Request

Use the Preparation Schedule to Plan

- Meeting Schedule and Deadlines are Similar each Year
- When is the next CTC Meeting? See “CTC Meeting Calendar Dates”
- When is my allocation request deadline? See “CTC Meeting Preparation Schedule” and add one week for Metro review
- Is my allocation request on the CTC meeting agenda? See “Estimated Timed Agenda”
- Can I watch the CTC Meeting without attending? See “Live Webcasts of the CTC Meetings”

[Office of CTC Liaison's Webpage](#)



What's Involved in an Allocation Request

Demonstrating completion of previous phase(s)

- PA&ED, PS&E, Right of Way, Construction
- Supporting Documents
- Allocation submittal and Obligation RFA federal funded

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- <https://dot.ca.gov/programs/local-assistance/allocations>
 - How do I complete the allocation form?
 - Caltrans Allocation Process
 - Required Documents by Phase



What Can Hold up an Allocation Request

- Project applications found to not meet PSR equivalency
- Operation and Maintenance Agreements with Railroads or other Cities
- Baseline Agreements
 - Required for projects with total cost of \$25 Million or total ATP programmed fund over \$10 Million.
 - Required prior to all allocations except PA/ED
 - CTC approves baseline agreements within 4 months after project adopted into ATP.
 - If project not yet environmentally cleared, baseline agreement approved within six months after Lead Agency files NOE or NOD per CEQA.
 - Delays to baseline agreement have consequences – delayed allocation or project deletion.



Project Delivery Rules of the Game

Timely Use of Funds – Allocation

- Each allocation must be requested in the FY the Phase is programmed
- Construction Allocation is valid for six months to award
- Covid-19 is valid for twelve months with justification
- Programmed funds not allocated within the FY or within the time extension approval, project will be deleted from ATP.



What Happens if Things Don't Go as Planned

Project Delivery Deadline Extensions

- There are separate deadlines for Allocations, Contract Award, Expenditures and Project Completion, and for each phase.
- But only one extension for each of the above
- Submit request to Caltrans prior to the deadline to be extended
- Caltrans will review and analyze the proposed extension request and recommend to Commission for Action.
- ATP – maximum extension is 12 months, or 20 if there are Extraordinary Circumstances regarding allocation only.



What if Things Don't Go as Planned...more

Funding Distribution Changes - moving funds between phases

- May request to move fund amounts between PA&ED, PS&E, Right of Way, and Construction
- Cannot move funds out of Construction
- Cannot request if the program year the funds are in has already started
- A funding distribution change can ONLY be requested once during the LIFE of the project – after environmental is complete
- Schedule changes moving funding between years will not be considered



What if Things Really Don't Go as Planned

Scope Changes – a lengthy and uncertain process

- Caltrans can recommend minor scope change; if CTC staff approves, CTC approves as part of allocation request
- if CTC staff denies, can resubmit as major scope change
- CTC staff unlikely to recommend if rescope project will have reduced benefits



State-only Funding

State-only Funded projects are faster to deliver

- No e-76 (obligation) required
- Procurement requirements are simpler
- CEQA simpler than NEPA
- ROW Self-Certification



State-only Funding...more

- Smaller Projects
- NI and Plan Projects
- All Quick – Build Project will be designated for State only Funding
- MPO has discretion for State-Only Funding recommendation



State-only Funding...more

State-only Funding is Harder to Come by

- Projects must be Federal-Aid Eligible unless designated as “State Only Funded” at the time of Programming.
- Projects awarded as part of Statewide competitions with capital construction cost values of \$1,000,000 must maintain federal eligibility.
- Local Agencies may request State only Funding at time of application but it is not guaranteed.
- MPO can designate projects for State only funding; Metro generally recommends SCAG follow federal aid policy as well.
- All Programmed Quick-Build Projects will be designated for State only Funding

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- [State-Only Funded Matrix \(PDF\)](#)



Federal Funding Requirements

What takes time to prepare?

- Procurement for Architects and Engineers
- Right of Way Certification

Right-of-Way Certification Requirements

- [Local Programs](#)
- [LAPM Chapter 13: Right of Way](#)

Consultant Service

- [Consultant Selection and Procurement](#)
- [Local Assistance Procedures Manual, Chapter 10, Consultant Selection \(PDF\)](#)



Federal Funding Requirements

- Contract Requirements

- Office of Business Economic Opportunity

- Caltrans California Unified Certification Program (UCP) DBE Database

- Title VI

- LAPM Chapter 9 – Civil Rights and DBE

- LAPM Chapter 12 – Plans, Specifications, & Estimates

- Caltrans Oversight Information Notice (COIN)

Failure to comply with federal requirements may result in the repayment of ATP funds to the State.



Federal Funding Resources

- Consult with your Local Assistance Area Engineer
- Visit District Local Assistance office for consultation
- Participate in Area / Regional Workshop and Training
- Request Local Assistance Area Engineer visit

➤ Prior Caltrans Local Assistance and Metro Workshops.

<https://www.metro.net/projects/funding/>

Posted under Past Events.

➤ Recorded Invoice Training

<https://youtu.be/l59bjXsCZ2E>



Choosing between Fiscal Years

With ATP it's OK to err on the side of a later year

- Tools to get started earlier than program year
 - Advance Allocation – CTC allocates project one or more years early
 - Letter of No Prejudice (LONP) - CTC approval allows the agency to begin work and incur eligible expenses prior to allocation.
- HSIP also generally facilitates early obligation



Project Cost Estimation

Cost Estimates

- Compare with recent similar project cost and schedule

Programming

- Project using Design-Build or Design-Sequencing Contract Method, Construction Phase may include costs for Design and Right of Way.
- No Cost increases will be funded.



Project Cost Estimation

Compare Latest Market with own institution cost and calendar

Compare to similar funded Plan; NI or Infrastructure applications

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- [Bicycle and Pedestrian Planning — Alta Planning + Design](#)
 - [1 How does a Transportation Project Begin?](#)
 - [Guide to Estimating Environmental Costs - Transportation.org](#)
 - [ENGINEER'S ESTIMATE MANUAL - Federal Highway ...](#)
 - [Cost Analysis of Bicycle Facilities - Active Living Research](#)



6. SCHEDULE PREPARATION

ATP Project Development & Delivery Timeline

4 Year Programming Period

Up to 4 Years

3 to 12+ Months

Project Approval &
Environmental
Document (PA&ED)

- Environmental Clearance
- Permits –
Regulation
Agencies

6 to 12+ Months

Plans, Specifications, &
Estimates (PS&E)

- 30/60/90%
Develop
- Engineering
Estimate

6 to 18+ Months

Right of Way (ROW)
Utility

- Relocation
- ROW
- Acquisition
- Eminent
Domain

6+ Months

Construction (CON)

- Up to three
years to build

These phases can happen concurrently

6. SCHEDULE PREPARATION

GENERAL LESSONS LEARNED

- Community Engagement and Buy-Off
 - Affected neighborhoods
 - Affected businesses
 - Community groups
- Alignment with other funding sources (for example, local funds, STIP)
- Alignment with school years for NI projects
- Consultant procurement (for environmental, design, ROW)

Community Engagement Meeting

Thursday, 7 pm Come
give feedback about
the City's Active
Transportation
project!

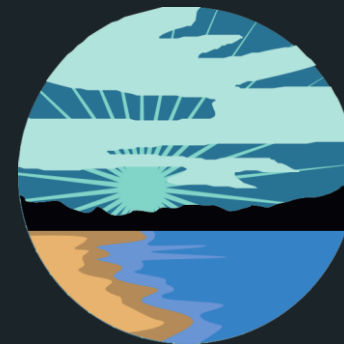
We're excited
for your
feedback!



6. SCHEDULE PREPARATION

LESSONS LEARNED - PA&ED

- PA&ED (Project Approval and Environmental Documents)
 - Not enough time allotted for technical studies
 - Cultural
 - Biological
 - Historical
 - Not enough time allotted for regulatory clearances. Examples:
 - Army Corps of Engineers
 - Department of Fish and Wildlife
 - Water Resources Control Board
 - California Coastal Commission
 - Etc.



6. SCHEDULE PREPARATION

LESSONS LEARNED - PS&E & ROW

- PS&E (Plans, Specifications, and Estimate)
 - Underestimating the complexity of the project
 - Coordination with projects in the vicinity
 - Drainage considerations
- ROW (Right of Way)
 - Railroad involvement and coordination (estimate how long and multiply by 2)
 - Overlooked utility relocation efforts
 - Overlooked ROW acquisition
 - Temporary Construction Easements
 - Encroachment Permits (projects encroaching on state ROW)
 - Drainage



6. SCHEDULE PREPARATION

PREPARING FOR ALLOCATIONS

- CTC meetings occur 7 times per year
- Agencies need to submit their allocation requests 60 days prior to the upcoming CTC meeting



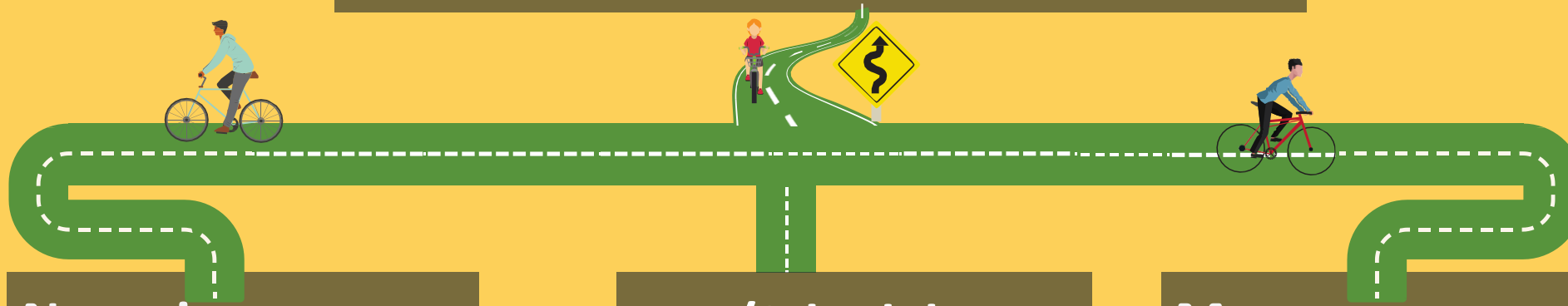
As of: August 2019					
2020 California Transportation Commission (CTC) Meeting Schedule	Local Agency Submits Off System Funds Requests, Program Amendments, and Time Extensions to Caltrans Districts	District Submits Off System and On System Requests to HQ Divisions	HQ Divisions Submit Final Off System and On System Requests to Budgets	Final Agenda Language Due From HQ Divisions to Office of CTC Liaison	Final Book Items Due from HQ Divisions to Office of CTC Liaison
Date and Location:	10:00 AM District & CTC	10:00 AM HQ Divisions	5:00 PM Budgets	10:00 AM CTC Liaison	10:00 AM CTC Liaison
Jan 29-30 - Sacramento Area	Mon, Dec 2, '19	Mon, Dec 9, '19	Fri, Dec 13, '19	Fri, Dec 20, '19	Tue, Dec 24, '19
Mar 25-26 - Santa Barbara	Mon, Jan 27, '20	Mon, Feb 3, '20	Mon, Feb 10, '20	Wed, Feb 19, '20	Thu, Feb 20, '20
May 13-14 - San Diego	Mon, Mar 16, '20	Mon, Mar 23, '20	Mon, Mar 30, '20	Wed, Apr 8, '20	Thu, Apr 9, '20
June 24-25 - Sacramento Area	Mon, Apr 27, '20	Mon, May 4, '20	Mon, May 11, '20	Wed, May 20, '20	Thu, May 21, '20
Aug 12-13 - Oakland	Mon, Jun 15, '20	Mon, Jun 22, '20	Mon, Jun 29, '20	Wed, Jul 8, '20	Thu, Jul 9, '20
Oct 14-15 - Central Valley	Mon, Aug 17, '20	Mon, Aug 24, '20	Mon, Aug 31, '20	Wed, Sep 9, '20	Thu, Sep 10, '20
Dec 2-3 - Riverside	Mon, Oct 5, '20	Mon, Oct 12, '20	Mon, Oct 19, '20	Wed, Oct 28, '20	Thu, Oct 29, '20

* No Scheduled Meeting in: February, April, July, September and November
Moved due to Holiday Moved due to Holiday

<https://dot.ca.gov/-/media/dot-media/programs/transportation-programming/documents/2020-ctc-external-prep-schedule-a11y.pdf>

THE 3 MUST MATCH

FOR A COMPLETE APPLICATION



Narrative

- Application Questions
- General Information

Cost/Schedule

- Project Programming Request (PPR)
- Schedule
- Outputs

Maps

- Engineer's Checklist
- Attachments

PSR
EQUIVALENCY

Note: The scope in the application at the time of programming is the approved scope

HSIP Delivery

- RFA PE 9 mos
- RFA CON 36 mos
- RFA CON greater than 5 yrs- funds removed
- EPSP
- August re-distribution- late June or early July
- Submit RFA's asap or must wait until FFY 20/21
- Invoice every 6 months or less
- before/after photos.