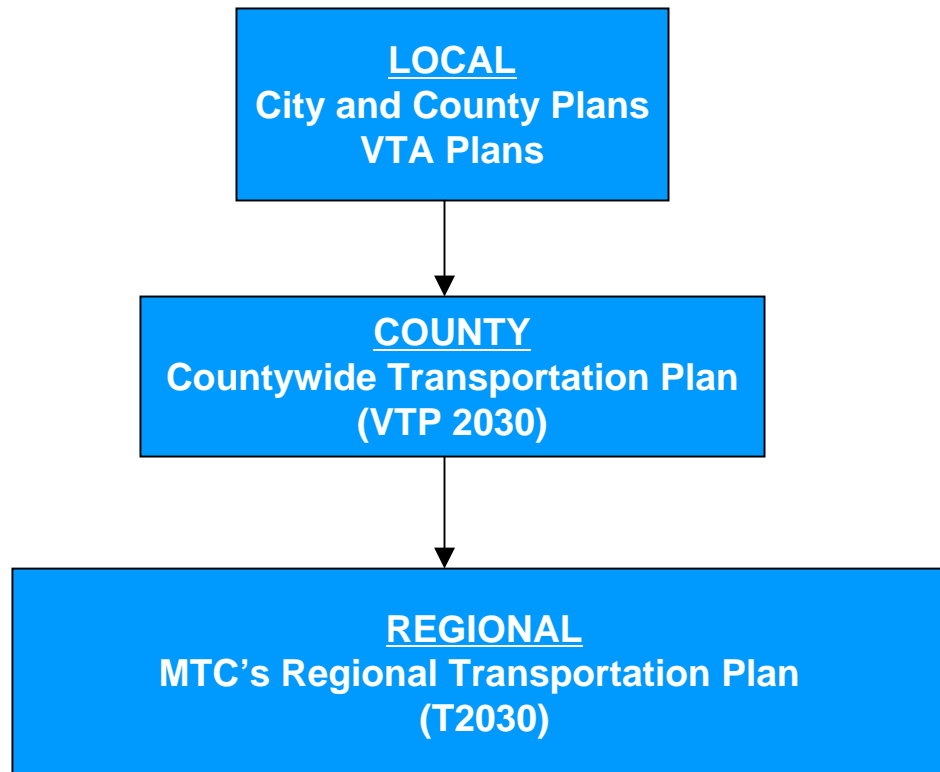


# Planning Process

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## Planning Documents



# Major Funding Sources

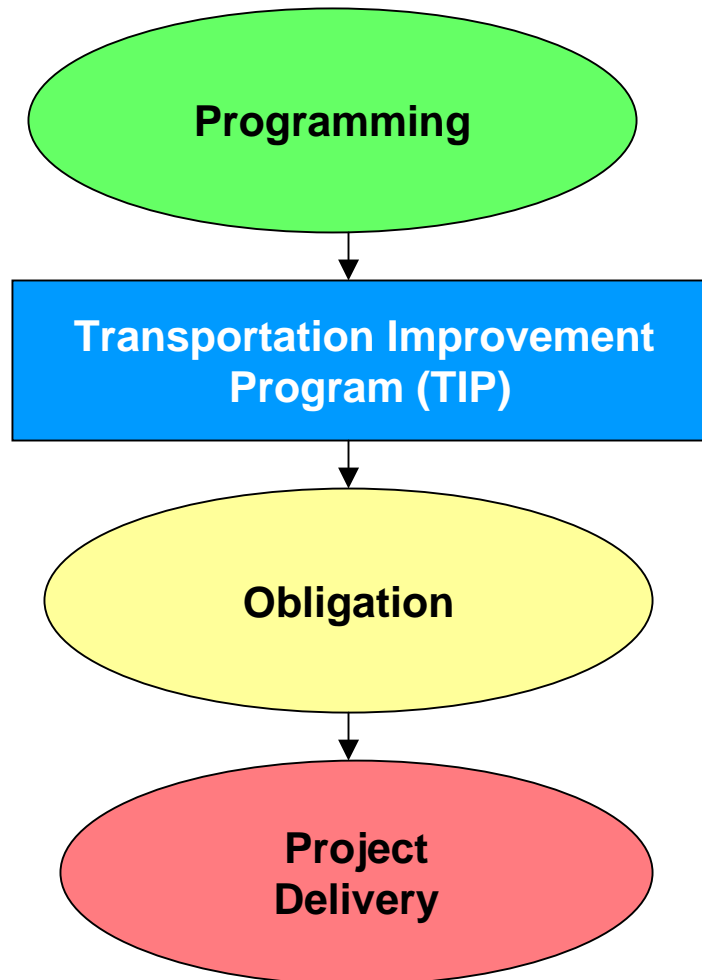
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- **State Transportation Improvement Program (STIP)**
- **Surface Transportation Program (STP)**
- **Congestion Mitigation & Air Quality (CMAQ)**
- **Transportation Enhancements (TE)**
- **Jobs Access and Reverse Commute (JARC)**



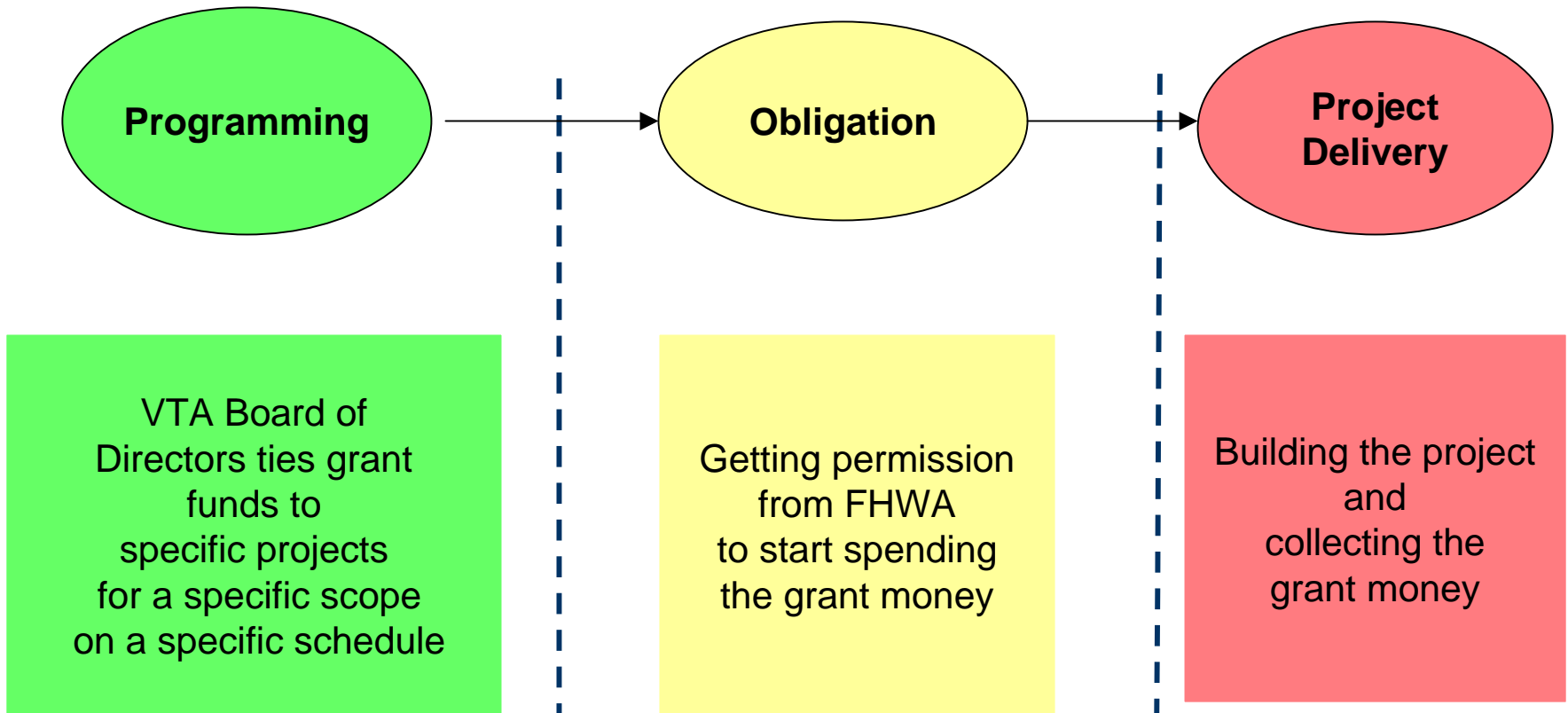
# Programming and Project Delivery Process

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# Programming and Project Delivery Process

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# How Projects Get Grants

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## Programming

Step 1: VTA Board of Directors adopts project scoring criteria

Step 2: VTA issues Programming Call-for-Projects

Step 3: Project Sponsors submit applications



# How Projects Get Grants

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## Programming

Step 4: Scoring committee evaluates projects

Step 5: VTA Advisory Committees  
(TAC, PAC, CAC, BPAC) review  
and recommend project rankings  
and grant amounts

Step 6: VTA Board approves grants



# How Projects Get Grants

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## Programming

Step 7: VTA staff transmits project and grant information to MTC

Step 8: MTC adds projects to the TIP



# How Project Sponsors Claim Their Money

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## Obligation

Step 1: Sponsor completes Disadvantaged Business Enterprise (DBE) plan

Step 2: Sponsor requests Caltrans Local Assistance to perform Field Review

Step 3: Sponsor develops & submits request for Federal “Authorization to Proceed” (E-76) to Caltrans Local Assistance

Note: Environmental, Design, Right-of-Way and Construction each require a separate E-76



# Building the Projects

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## Project Delivery

- Step 1: Sponsor signs agreement with Caltrans Local Assistance
- Step 2: Sponsor starts project (incurs reimbursable costs)
- Step 3: Sponsor invoices Caltrans for reimbursement of costs



# Building the Projects

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## Project Delivery

Step 4: Project Sponsor completes project

Step 5: Project Sponsor closes out grant

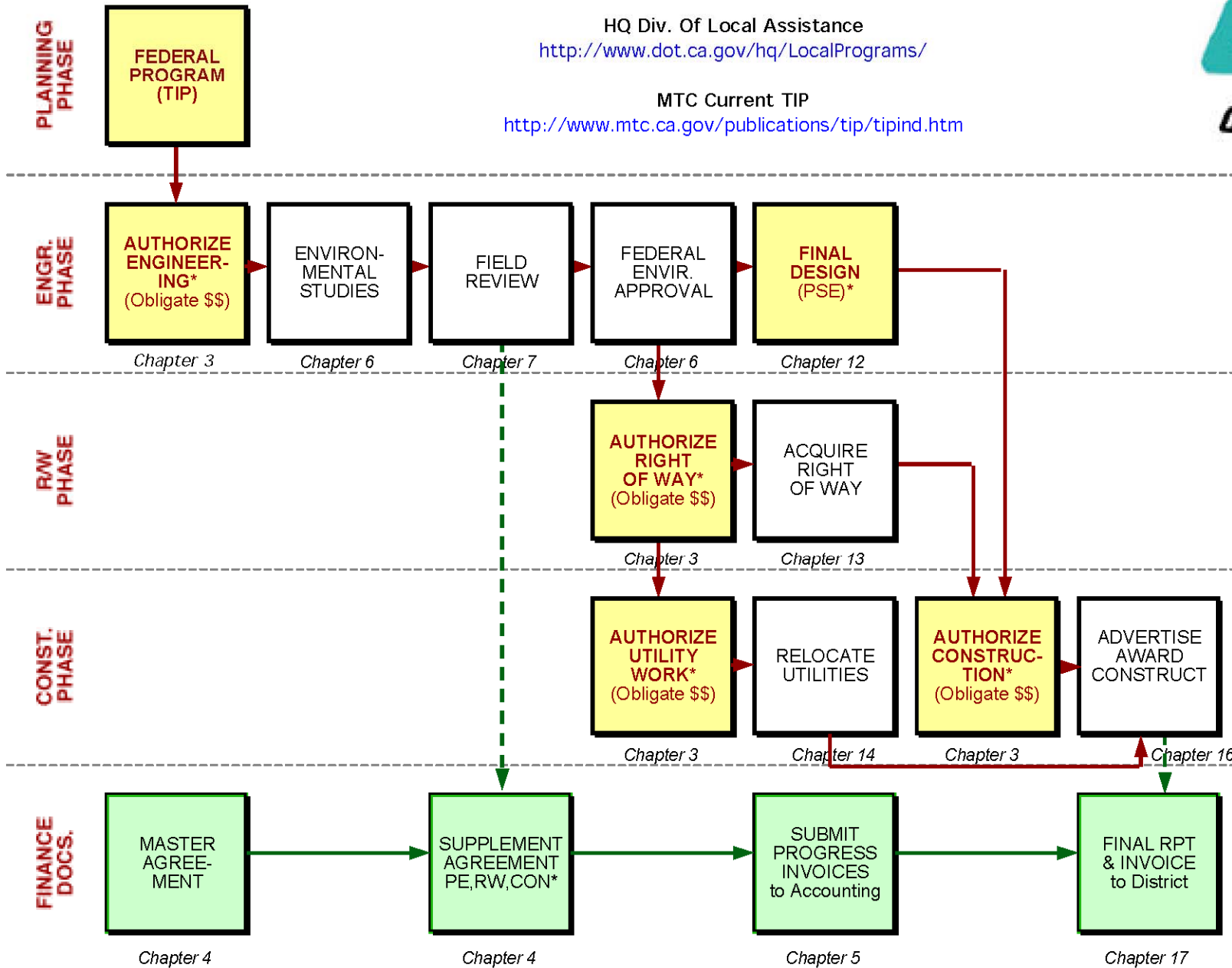


# THE FEDERAL-AID PROCESS



HQ Div. Of Local Assistance  
<http://www.dot.ca.gov/hq/LocalPrograms/>

MTC Current TIP  
<http://www.mtc.ca.gov/publications/tip/tipind.htm>



- Agencies are responsible for:
- Initiate steps
  - Mstr. Agmt.
  - Field Review
  - NEPA Studies
  - DBE program
  - Consult. Agmt.
  - Acquire RW
  - Prepare PSE
  - OK Design Stds.
  - Certify RW
  - Certify PSE
  - Advertise/Award
  - Admin. Const.
  - QAP program
  - Project Agmt.
  - Send invoices
  - Resolve claims
  - Final report
  - Maintenance

- Nonprofit Agency must have:
- Legal charter
  - Bd. of Directors
  - Adequate staff
  - Adequate finance
  - Otherwise, partner with another agency.

\*ALTHORIZATIONS & AGREEMENTS NEEDED ONLY FOR REIMBURSABLE WORK PHASE

# VTA's Project Monitoring Program

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## Use-It-Or-Lose-It Deadlines

- Project Sponsor must request Field Review within 12 months of approval in the TIP
- Project Sponsor must complete environmental submittal to Caltrans 1 year before obligation deadline
- Project Sponsor must have DBE program approved by January 1 of Federal Fiscal year in which funds are programmed



# VTA's Project Monitoring Program

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## More Use-It-Or-Lose-It Deadlines

- Sponsor should request obligation (E-76) by March 1 and must receive E76 by May 31 of year in which funds are programmed
- Construction projects must award a contract within 9 months of obligation
- Sponsors must execute project funding agreement with Caltrans within 6 months of obligation



# VTA's Project Monitoring Program

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## Even More Use-It-Or-Lose-It Deadlines

- Sponsors must invoice Caltrans at least once every 6 months
- Funds must be liquidated within 5 state fiscal years after obligation
- Project sponsor must close out grant within 6 months of final invoice



# VTA's Project Monitoring Program

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- VTA staff monitors project status
- VTA staff assists project sponsors as needed
- VTA Staff updates Quarterly Project Monitoring Report



# VTA Quarterly Project Monitoring Report



## Programmed Projects Quarterly Monitoring Report January - March 2006

Sponsor:		City of San Jose		Project Title:		San Jose Class 2 Bicycle Lanes			
3 of 15	Project No	Project Description	Project Phase	Funds (\$000)	Schedule			Comments	
	Fund Source				Programmed Year	Current			
						Start	End		
Local \$14 TFCA \$32		This project will implement 6.5 miles of Class 2 bicycle lanes on San Fernando St., Almaden Blvd., Woz Way, 4th St., and 11th St.	Planning	\$0		07/03	10/04	Construction ended December 2005. Project has submitted TFCA Final Report.	
			PE/ENV	\$0		07/03	10/04		
			Right of Way	\$0					
			Design	\$0		07/03	6/05		
Manager Name		John Brazil	Construction	\$46	03/04	08/05	10/05	Funds Expire	12/31/2005 (TFCA)
Phone/Fax		(408) 277-4838	Total	\$46				Last Updated	3/13/2006
E-Mail		john.brazil@sanjoseca.gov							

Sponsor:		City of San Jose		Project Title:		San Jose Signal Re-timing			
4 of 15	Project No	Project Description	Project Phase	Funds (\$000)	Schedule			Comments	
	Fund Source				Programmed Year	Current			
						Start	End		
Local \$71 TFCA \$283		Design and implement coordinated "time-of-day" signal timing plans for 84 signalized intersections along 10 arterial corridors within the City of San Jose.	Planning	\$0				Project is completed with TFCA Final Report submitted.	
			PE/ENV	\$0					
			Right of Way	\$0					
			Design	\$0					
Manager Name		Lily Lim-Tsao	Construction	\$354	03/04	03/04	Completed	Funds Expire	Completed
Phone/Fax		(408) 277-2549	Total	\$354				Last Updated	3/13/2006
E-Mail		lily.lim-tsao@sanjoseca.gov							

