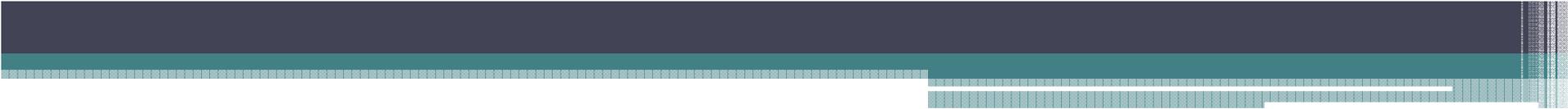




The Successful Applicant Workshop - FTA 5316 & 5317

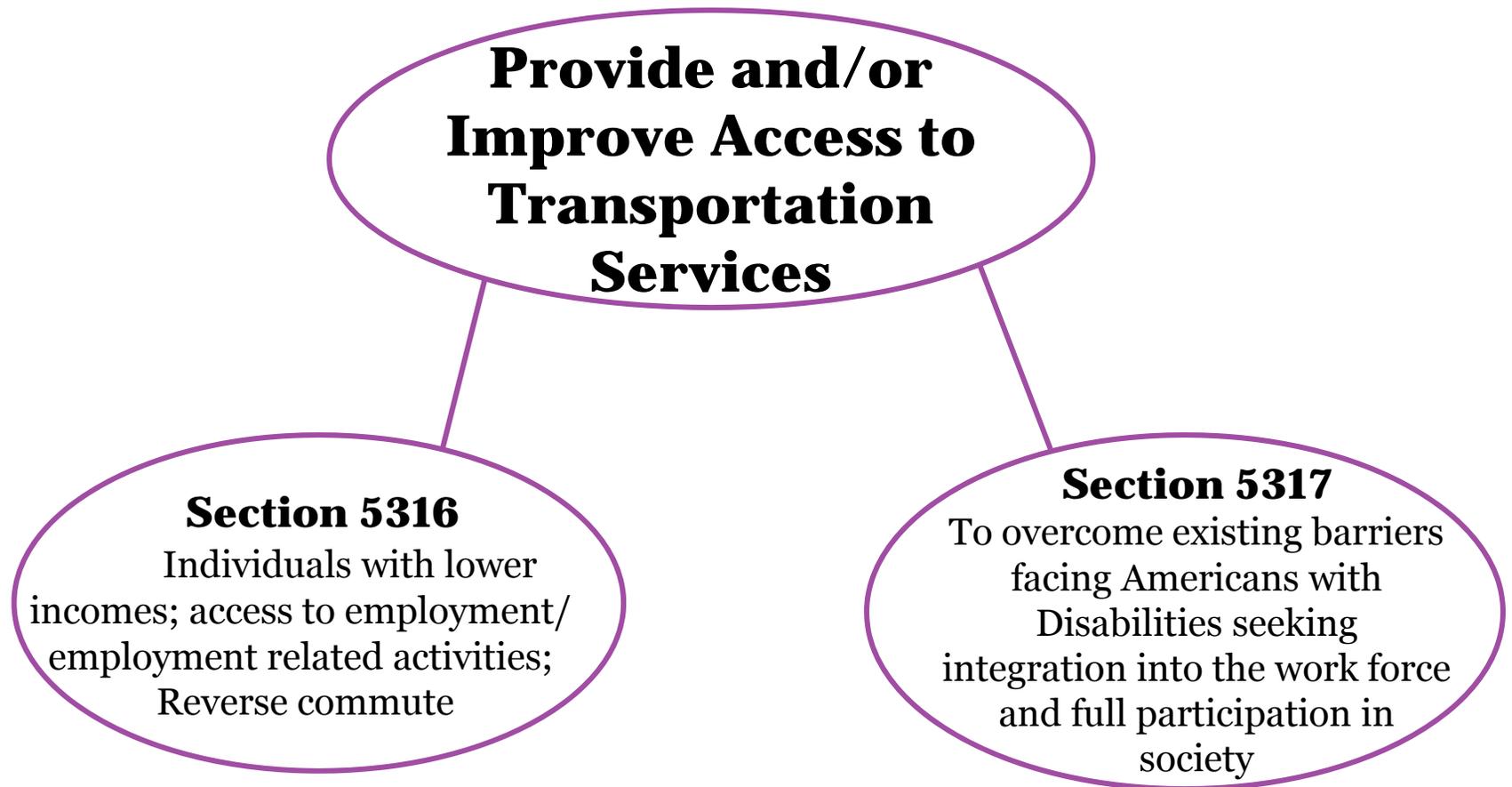
Federal Transit Grants Programs
Division of Mass Transportation
California Department of
Transportation

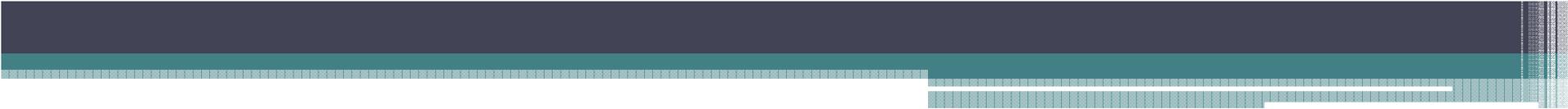


Federal Transit Administration (FTA) Transit Grant Programs

- FTA Section 5316
Job Access Reverse Commute (JARC)
- FTA Section 5317
New Freedom (NF)

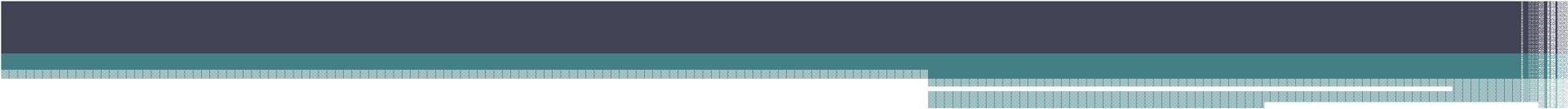
Program Objectives





Eligible Activities (Projects)

- Capital
- Mobility Management
- Operating

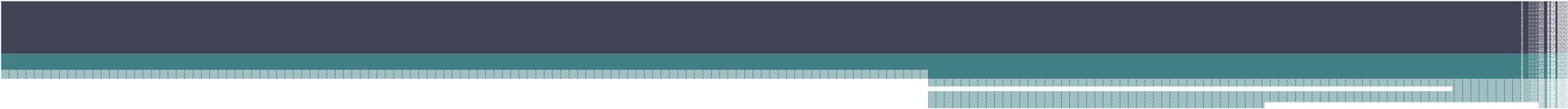


Eligible Requirements

Section 5317 (New Freedom) Only

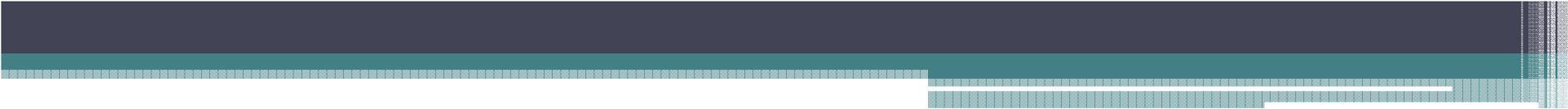
- New* **OR** expanded fixed route service
- New* **OR** expanded demand response service beyond those required by ADA

*New – Service implemented after August 10, 2005



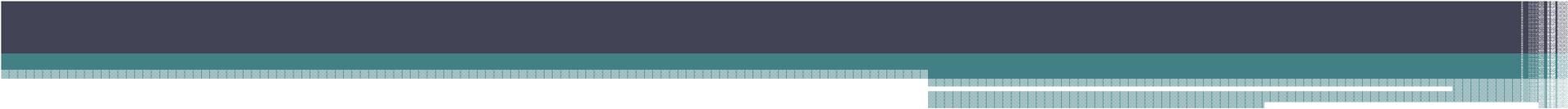
Eligible Recipients

- Tribal Governments
- Local Governments
- Social Services Agencies
- Non-Profit Organizations – 501(c)(3)
- Operators of Public Transit Services – Public of Private



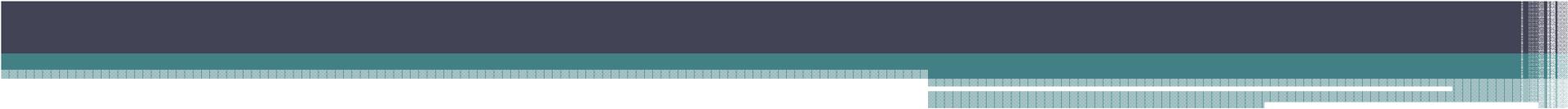
Matching Requirement

- Capital/ Mobility Management –
 - 20% Local Match – Toll Credits
 - 80% Federal Share
- Operating Assistance
 - 50% Local Match – Toll Credits
 - 50% Federal Share



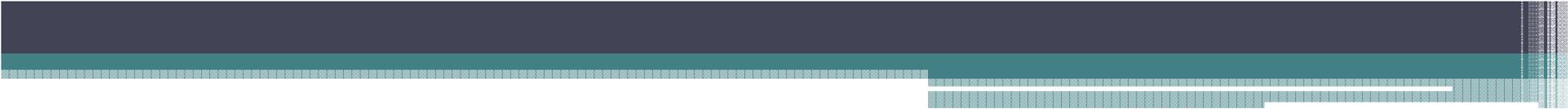
Application Process Overview

- Call for Projects
- Applicant and RTPA Workshops
- Scoring and Rankings
- Project Selection
- FTA Grant Approval
- Standard Agreements
- Project Procurement and Completion



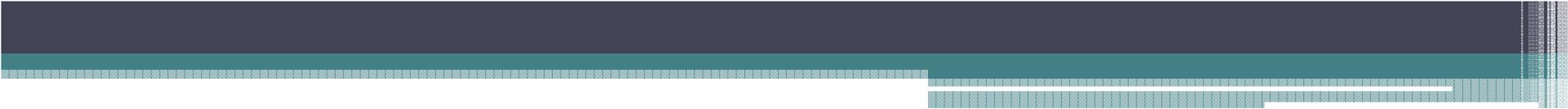
MAP-21

- The FTA 5316 and 5317 Programs have been eliminated in MAP-21
- JARC and New Freedom Projects will be eligible projects in FTA 5310 and 5311 Programs in MAP-21
- The specifics for the future 5310 and 5311 cycles will be outlined in the upcoming circulars



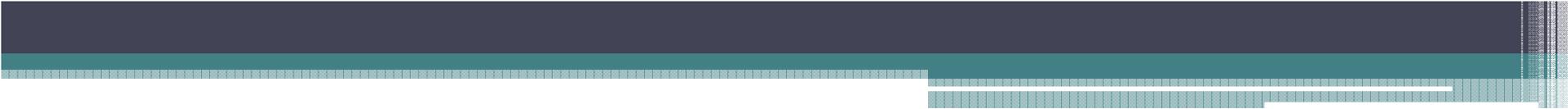
FTA 5316 and 5317 Future Funding

- JARC and New Freedom Cycle 7 will be announced soon
- It will allocate the remaining Federal Fiscal Year 2012 funds which will include toll credits
- Savings from older cycles will also be allocated to projects, but will not include toll credits



Program Requirements

JARC and New Freedom Programs

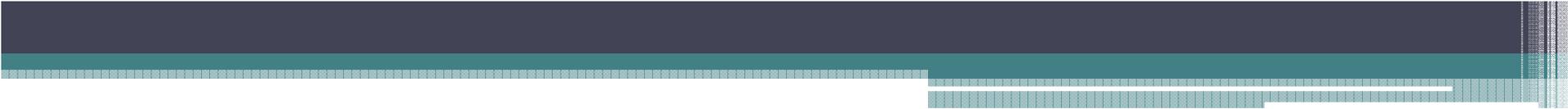


Milestone Program Reporting

- Under the Government Performance Results Act (GPRA), FTA established performance goals and performance measures
- The information in the quarterly reports is used to evaluate program output and service levels
- Failure to comply with the reporting requirements violates the terms and conditions of the funding agreement with Caltrans

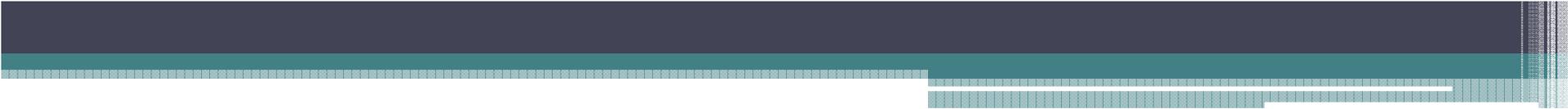
Semi-Annual/ Annual Report Schedule

Mobility Management & Capital Projects (Vehicles, Other Equipment, & Transit Improvements)	
Time Period	Due Date
October 1 – March 31	April 30
April 1 – September 30	October 31
Operating Projects	
Time Period	Due Date
October 1 – September 30	October 31



Milestone Progress Report

- Agency Name
- Agency and Vehicle Address – Vehicle Location
- Reporting Year and Quarter
- Caltrans must know where the vehicles are located



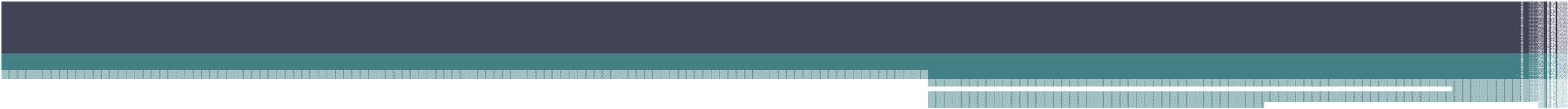
Milestone Progress Report

- Project Type
- Project Description
- Standard Agreement Number
- Project Completion Date
- Project and Grant Expenditures to Date

Milestone Progress Report *continued*

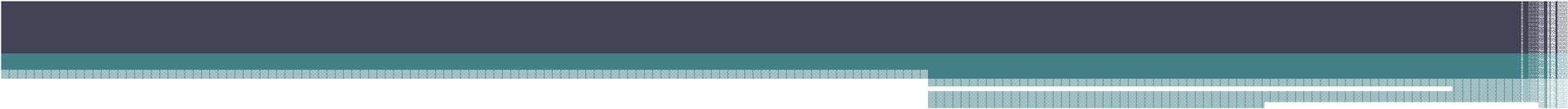
- Project Status
- Performance Measures
 - Capital – Transit Improvements
 - Capital – Vehicles
 - Capital – Other Equipment

<i>Department of Transportation</i>	<i>Division of Mass Transportation JARC/NF Program</i>																				
FTA Grant Program __ 5316 or __ 5317 (Check One) MILESTONE PROGRESS REPORT																					
<i>Prepared for each 1st or 2nd half Semi-Annually (cumulative) and are DUE NO LATER than April 30; and October 30</i>																					
Agency Name:	Reporting Year:																				
Agency Address:																					
Vehicle Address: (only if different)	Standard Agreement No.																				
Agency Contact Person:																					
Agency Contact Person Telephone Number:	Project Completion Date:																				
Project Type: (Operating, Mobility Management, Capital)	Report for Half Ending: (circle or highlight one):																				
	<table style="font-size: small; border: none;"> <tr> <td style="text-align: center;"><u>Capital</u></td> <td style="text-align: center;"><u>Capital</u></td> <td style="text-align: center;"><u>Operating – Annual</u></td> </tr> <tr> <td style="text-align: center;">1st Half</td> <td style="text-align: center;">2nd Half</td> <td style="text-align: center;">10/1 – 9/30</td> </tr> <tr> <td style="text-align: center;">10/1 – 3/30</td> <td style="text-align: center;">4/1 – 9/30</td> <td></td> </tr> </table>	<u>Capital</u>	<u>Capital</u>	<u>Operating – Annual</u>	1 st Half	2 nd Half	10/1 – 9/30	10/1 – 3/30	4/1 – 9/30												
<u>Capital</u>	<u>Capital</u>	<u>Operating – Annual</u>																			
1 st Half	2 nd Half	10/1 – 9/30																			
10/1 – 3/30	4/1 – 9/30																				
Project Description:																					
<table border="1" style="width: 100%; border-collapse: collapse; font-size: x-small;"> <thead> <tr> <th style="width: 25%;"></th> <th style="width: 15%;">Grant Funds</th> <th style="width: 15%;">Local Match</th> <th style="width: 25%;">Estimated % of Project Completed to Date</th> <th style="width: 20%;">% of Total Amount Expended to Date</th> </tr> </thead> <tbody> <tr> <td>Total Authorized</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Funds Expended to Date</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Balance Available</td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>			Grant Funds	Local Match	Estimated % of Project Completed to Date	% of Total Amount Expended to Date	Total Authorized					Funds Expended to Date					Balance Available				
	Grant Funds	Local Match	Estimated % of Project Completed to Date	% of Total Amount Expended to Date																	
Total Authorized																					
Funds Expended to Date																					
Balance Available																					
A. Please provide the project status/general comments below: (progress, problems encountered, etc.) (use additional page if needed)																					
<p><i>Caltrans-Mass Transportation – DUE NO LATER than 30 days after end of reporting period.</i></p> <p><i>Page 1</i> <i>Revised 4/24/12</i></p>																					



Annual Performance Report

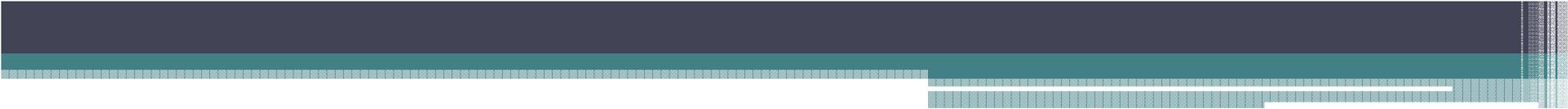
- FFY report will be required for FTA funded services operated between October 1, through September 30.
- The format has not been identified by FTA and we are expecting information in 2013
- This report will be due in May.



Annual Report - 5316 (JARC)

Performance Measures

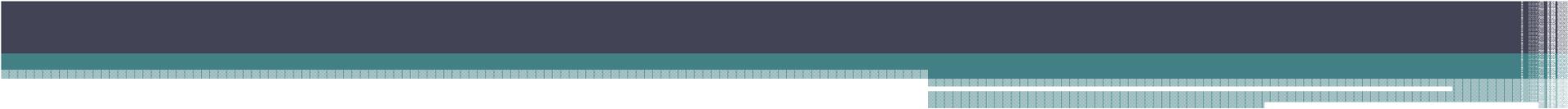
- Actual or estimated number of jobs that can be accessed as a result of geographic or temporal coverage of JARC projects implemented in the current reporting year
- Actual or estimated number of rides (as measured by one-way trips) provided as a result of the JARC projects implemented in the current reporting year



Annual Report - 5317 (New Freedom)

Performance Measures

- Increases or enhancements related to geographic coverage, service quality and/or service times that impact availability of transportation services for individuals with disabilities.
- Additions or changes to environmental infrastructure (e.g., building accessible paths or curbcuts: improving signage)
- Actual or estimated number of rides provided for individuals with disabilities (as measured by one-way trips)



Vehicle and Other Equipment Inspections & Agency Monitoring

JARC and New Freedom Programs

Vehicle Inspections

- Frequency
 - Caltrans typically inspects once every three years
 - Additionally, California Highway Patrol may inspects vehicles **AND** the agency annually when vehicles have 10 or more seating positions (including driver)
- Inspection – Exterior
- Flooring Condition
- Safety Equipment
- Condition of the Tie Downs
- Seat Belt and Wheelchair Restraints
- CHP Annual Inspection



INSPECTION REPORT

Date: _____ FROM PG2- accepted / requires recheck

Circle type report: Complete Partial Date of Follow-up: _____

Ship to name: _____ PO #: _____ Stock #: _____

VIN #: _____ Mileage: _____

Chassis OEM: Ford, Chevy, _____ Final Manufacturer: _____ Body #: _____

Year of Chassis: _____ of cyl. _____ Fuel Type: _____ Bus Type: _____ Dealer/location: _____

Comply with Specification _____ Area of Inspection of Vehicle _____ Comments _____

DOCUMENTATION

Yes/No Final stage label matches OEM info label

Yes/No Copy of PO. This option matches PO

Yes/No Copy of incomplete vehicle data sheet from OEM if not labeled by OEM on Vehicle

Yes/No Copies of Alignment passover (with before and after readings and VIN) and weight slip

Yes/No Inspector calculated ability of vehicle to carry maximum passenger load with fuel tank full and not exceed GVWR

Yes/No Required literature, instructional disc., Warranty statement included in delivery package

UNDER HOOD AREA

Yes/No Cal. Emissions label

Yes/No Engine oil level ok (needs less than 1/2 quart added)

Yes/No Battery, cables, wiring (routing secure/welded/chaffing)

Yes/No Labeling oil, coolant capacity / A/C refrigerant / lubricant / belt (if different from OEM)

Yes/No Added Equipment installed properly (routing, etc.)

Yes/No Other _____

BODY ISSUES

Yes/No All locks work normal

Yes/No Battery tray function, battery type, circuit breakers, wiring in Box area

Yes/No Fit and Finish OK No body damage

Yes/No Washshield OK

Yes/No Mirrors

Yes/No All exterior lights

Yes/No All doors function normal

Yes/No Fuel type and Hoses shut off (Hester-NA on Mirrus) labels

Yes/No Other _____

INTERIOR ISSUES

Yes/No Fit and Finish OK

Yes/No Flooring

Yes/No Seats, including type/function from armrests/gab handles/spacing/truck filler

Yes/No Aisle walk-in/Seat belts

Yes/No Wheel chair shoulder restraints, and Location

Yes/No Exit windows, function, signage and accessibility

Yes/No Electrical panel, wires secure, no chaff issues

Yes/No Under dash and engine cover wiring, and hoses (routing, chaffing)

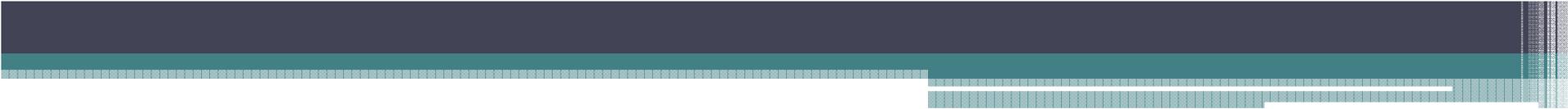
Yes/No/NA Tilted switch of Brake pedal (wiring posted up, secure)

Yes/No No wiring in Park to Brake pedal travel area

Yes/No Safety Equipment installed

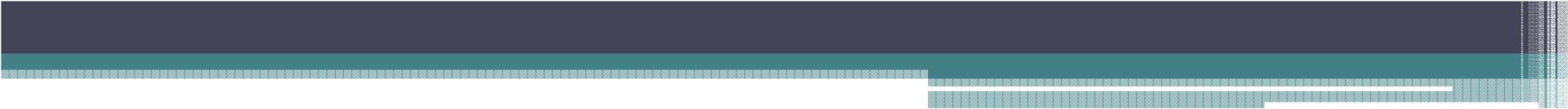
Yes/No Lift and interlock functions

REV. 5/13/2010 Caltrans Division of Mass Transportation



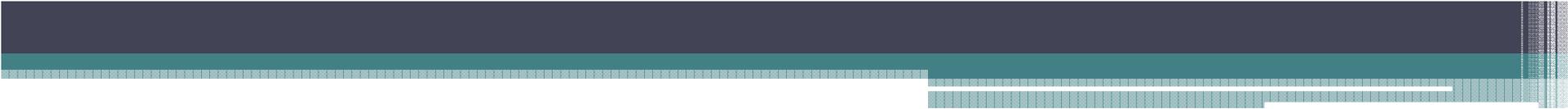
Other Equipment and Facility Inspection

- Inventory Verification
- Visual Inspection for Condition of Project
- In Operation



Agency Monitoring

- Type of Service Provided
- Service Area
- Type of Clientele
- Normal Hours of Operation
- Idle Time
- Memorandum of Understanding (MOU)
- Coordination of Vehicles
- Records Maintained
- ADA Service Provision Requirements



Federal Reporting Requirements

- Annual Certifications & Assurances
- Authorizing Resolutions

General Certifications and Assurances

FEDERAL FISCAL YEAR 2012 CERTIFICATIONS AND ASSURANCES FOR FEDERAL
TRANSIT ADMINISTRATION ASSISTANCE PROGRAMS
CALIFORNIA DEPARTMENT OF TRANSPORTATION
DIVISION OF MASS TRANSPORTATION

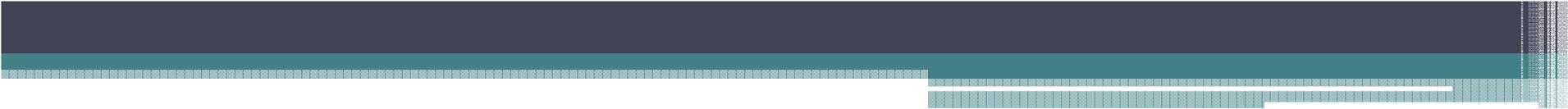
The California Department of Transportation is the Applicant (Designated Recipient) for Federal Transit Administration funds, and has agreed to the Certifications and Assurances thereby. All Subrecipients must also agree and comply with applicable provisions of the Categories below.

Name of Subrecipient:

The Subrecipient agrees to comply with applicable provisions of Groups 01 – 18
OR

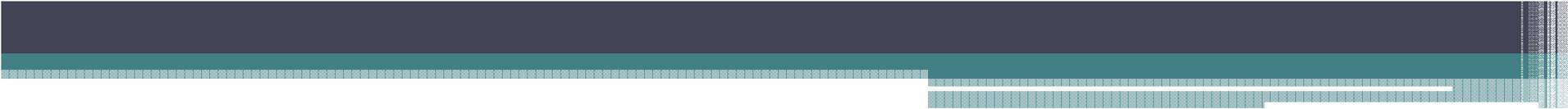
The Subrecipient agrees to comply with applicable provisions of the Groups it has selected:

Group	Description	
01.	Assurances Required For Each Applicant.	_____
02.	Lobbying.	_____
03.	Procurement Compliance.	_____
04.	Protections for Private Providers of Public Transportation.	_____
05.	Public Hearing.	_____
06.	Acquisition of Rolling Stock for Use in Revenue Service.	_____
07.	Acquisition of Capital Assets by Lease.	_____
08.	Bus Testing.	_____
09.	Charter Service Agreement.	_____
10.	School Transportation Agreement.	_____
11.	Demand Responsive Service.	_____
12.	Alcohol Misuse and Prohibited Drug Use.	_____
13.	Interest and Other Financing Costs.	_____
14.	Intelligent Transportation Systems.	_____
15.	Elderly Individuals and Individuals with Disabilities Formula Program and Pilot Program.	_____
16.	Nonurbanized Area Formula Program for States.	_____
17.	Job Access and Reverse Commute (JARC) Program.	_____
18.	New Freedom Program.	_____



Authoring Resolutions

- Passed and adopted by Sub-recipient's commission or board at a regular meeting
- Designate authority to execute and file all applications, certification of assurances, contracts or agreements on behalf of Sub-recipient
- Designate authority to submit and approve requests for reimbursement of funds for grant projects

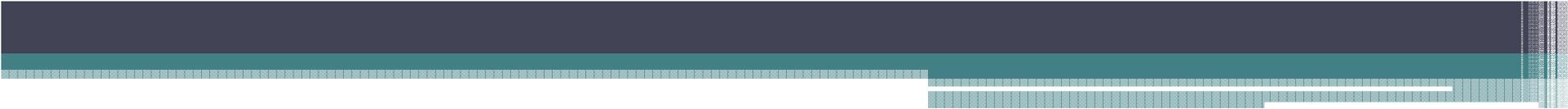


State of California Standard Agreements

JARC and New Freedom Programs

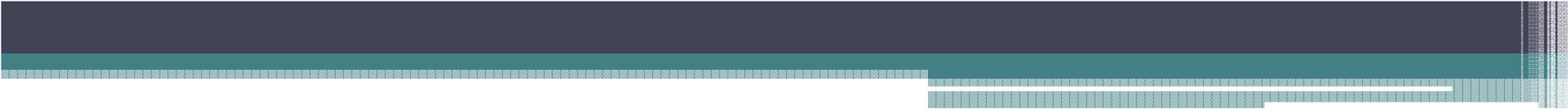
Standard Agreement

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION		Lock Data on Form
STANDARD AGREEMENT		
DOT-213 (REV 06/2009)		
AGREEMENT NUMBER	AMENDMENT NUMBER	
1. This Agreement is entered into between the State Agency and the Contractor named below.		
STATE AGENCY'S NAME Department of Transportation, Division of Mass Transportation, Elderly and Disabled Specialized Transit		
CONTRACTOR'S NAME		
2. The term of this Agreement is: June 15, 2009 through (END DATE - USEFUL LIFE OF VEHICLE + 2 yrs OR 5 yrs IF EQUIPMENT ONLY)		
3. The parties agree to comply with the terms and conditions of the following exhibits which are by this reference made a part of the Agreement.		
Exhibit A - Scope of Work		page(s)
Exhibit B - Budget Detail and Payment Provisions		page(s)
Exhibit C - General Terms and Conditions		page(s)
Exhibit D - Special Terms and Conditions (Attached hereto as part of this agreement)		page(s)
Exhibit E - Additional Provisions	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	page(s)
IN WITNESS WHEREOF, this agreement has been executed by the parties hereto.		
CONTRACTOR		
Contractor's Name (If other than an individual, state whether a corporation, partnership, etc.)		California Department of Transportation use only
BY (Authorized Signature)	DATE SIGNED	
PRINTED NAME AND TITLE OF PERSON SIGNING		
ADDRESS		
STATE OF CALIFORNIA		
AGENCY NAME Department of Transportation, Elderly and Disabled Specialized Transit		
BY (Authorized Signature)	DATE SIGNED	
PRINTED NAME AND TITLE OF PERSON SIGNING Cindy Charvetas, Branch Chief		
ADDRESS 1120 N. St., MS 39, Sacramento, CA 95814		
AMOUNT ENCUMBERED BY THIS DOCUMENT	PROGRAM/CATEGORY (CODE AND TITLE)	FUND TITLE
	Transportation	Federal Trust
PRIOR AMOUNT ENCUMBERED FOR THIS CONTRACT	OPTIONAL USES	
	Fed. Cat. No. 20.513 SA 648XXX-10	
TOTAL AMOUNT ENCUMBERED TO DATE	ITEM	CHAPTER
	2660-608-0055	268
	2660-102-0890(2)	2008
	64-824-432004 Special match [+ any add'l]	2008-2009
	64-824-432005 3G052YB0001 Federal	
I hereby certify upon my own personal knowledge that budgeted funds available for the period and purpose of the expenditure stated above.		S.R. NO.
SIGNATURE OF ACCOUNTING OFFICER		DATE SIGNED
ADA Notice For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 664-6410 or TDD (916) 664-3888 or write Records and Forms Management, 1120 N Street, MS-93, Sacramento, CA 95814.		



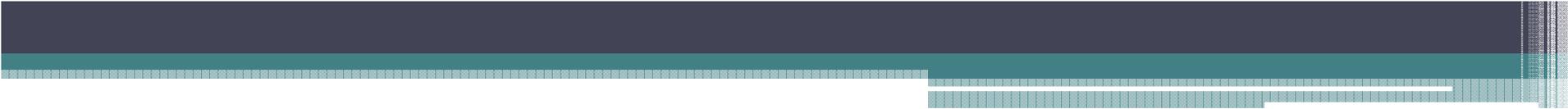
Standard Agreement Exhibits

- **Exhibit A**
 - Scope of work including project description
 - Project type: Capital, Operating or Mobility Management
 - Funding amount
- **Exhibit B**
 - Invoicing and Payments
 - Budget Contingency Clause
 - Prompt Payment Clause



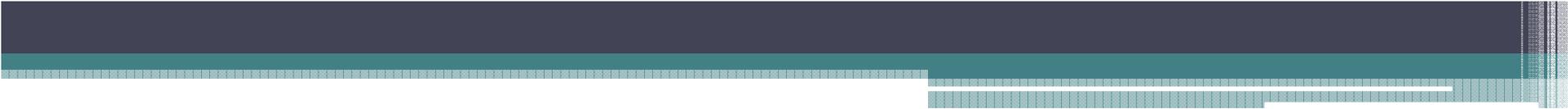
Standard Agreement Exhibits *cont.*

- Exhibit C
 - General Terms and Conditions for All Federal Grant Programs
- Exhibit D
 - Special Terms and Conditions
- Exhibit E – Mobility Management Only
 - Cost Worksheet
 - Mobility Management Implementation Plan



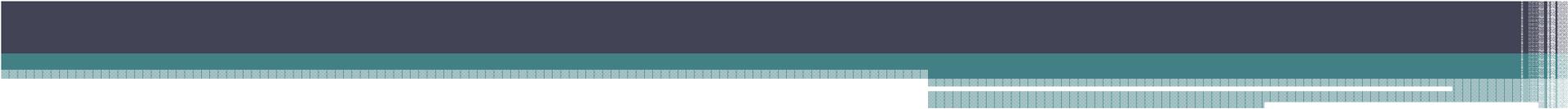
Project Performance

- Equipment, Maintenance, and Inspection
- Insurance
- Equipment Ownership and Relinquishment
- Satisfactory Progress



Relation of Parties

- Third party contracts and sub-agreements affected
- No State obligations to third parties
- State approval of all subcontracts



Reimbursement Process

EXHIBIT B-Budget Details and Payment Provisions

- Two Invoicing Forms :
 - Invoice Checklist
 - Request for Reimbursement Form

Located at:

<http://www.dot.ca.gov/hq/MassTrans/>

Reimbursement Process *continued*

- Your agency will need to submit the following items to Caltrans:
 - Invoice Checklist
 - Guide and procedures of what to submit



Department of Transportation (Caltrans)
Division of Mass Transportation (DMT)
Office of Federal Transit Grants Program

Request for Reimbursement Procedures and Invoice Supporting Documents

General Instructions

1. All Requests for Reimbursement (RFR) must have the original invoice and three (3) copies on agency letterhead and signed by the same signatory as on the Standard Agreement. If this is not possible, the signatory of the Standard Agreement must delegate the authority by submitting a letter to Caltrans DMT designating the new signatory by name and title.
2. RFR must include the date, invoice number, Standard Agreement number, total project costs to date, and federal reimbursement amount requested not to exceed the grant amount.
3. All project costs must be documented and comply with the executed Standard Agreement. Federal reimbursement costs must comply with OMB A-87 and CFR 225.

Required Supporting Documents per Project Type:

Operating Assistance

- If applicable, include a copy of the Caltrans DMT approved Third Party Service Agreement Contract (first invoice only).
- For third party contracts, submit the invoice for the same period as the reimbursement request. Original invoice from the vendor must show invoice number, date, and vehicle/maintenance costs description (unit price, discount (if any), sales tax, freight/shipping charges, and total for each product or service).
- All third party costs must be clearly defined for the services provided (i.e., dates of service, service miles, service hours, hourly rates, and title/classification). All work performed must be consistent with the Caltrans DMT approved Third Party Service Agreement Contract.
- For internal agency staff projects, please provide a Spreadsheet showing the time worked, hourly rate for labor, title/classification, and all work performed for the period. Summary must include all expenses and revenues for the period claimed.
- Disadvantaged Business Enterprise (DBE) Actual Payment form (third party contracts only) available at <http://www.dot.ca.gov/hq/MassTrans/DBE.html>
- Proof of payment made to vendor or copy of the method of payment. Cancelled check or Bank statement showing check number and "paid in full" or Agency's accounting record showing the transactions.

Vehicles

- Post-Delivery Audit Certification for Buy America requirements (Local procurement).
- Post-Delivery Inspection Certification from qualified vehicle inspector (Local procurement).
- Certification of Acceptance by your agency.
- Copy of invoice from the vendor/contractor with name, address, and telephone number clearly identified.
- Copy of the Caltrans DMT approved Purchase Order(s) showing Caltrans as Lien Holder
- Vehicle Identification Number(s).
- Spreadsheet showing the time worked/hourly rate for labor, title/classification, task performed, etc. (Local procurement).

Caltrans Page 1 of 3 Division of Mass Transportation

Reimbursement Process *continued*

- Request for Reimbursement Form
 - The reimbursement template cover sheet with the wet ink signatures
 - Back up documentation to support your reimbursement request
 - Back up documentation can be emailed

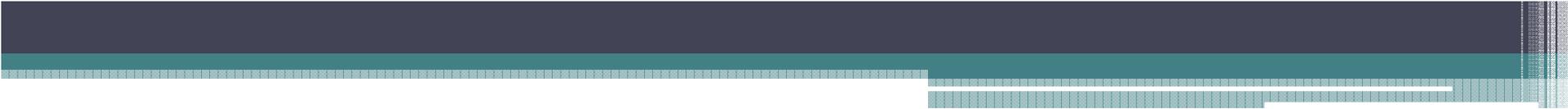
DEPARTMENT OF TRANSPORTATION, DIVISION OF MASS TRANSPORTATION
OFFICE OF FEDERAL TRANSIT PROGRAM
OPERATING ASSISTANCE REQUEST FOR REIMBURSEMENT

STANDARD AGREEMENT# XXXXXXXX	DISTRICT XX	TYPE OF FUNDS (S1L, S1B, etc.) XXXX
NAME OF SUBRECIPIENT ABC ENTERPRISE		DUNS# XXXXXXXXXX
BUSINESS ADDRESS 1234 ABC STREET SACRAMENTO CA 95765		CCR# XXXX
SUBRECIPIENT CONTACT JANET PRICE	PHONE 707-123-4567	EMAIL ADDRESS JANET_PRICE@YAHOO.COM
PARTIAL PAYMENT (CIRCLE) 1ST 2ND 3RD 4TH FINAL		REQUESTED INVOICE PERIOD XXXXXX - XXXXXX
AWARD \$ -		
AMOUNT REIMBURSED TO DATE \$ -		
REQUESTED INVOICE AMOUNT \$ -		
REMAINING BALANCE \$ -		
Local Match for Entire Project Total Project Cost for Entire Project		

SIGNATURE OF SUBRECIPIENT'S REPRESENTATIVE _____ DATE: _____
PRINT NAME/TITLE _____

REQUIRED SUPPORTING DOCUMENTATION
If applicable, include a copy of the Caltrans DMT approved Third Party Service Agreement Contract (first invoice only). If previously submitted, please indicate the date of submission. (*Third party contract is required for the goods or services procured as a result of formal procurement process, i.e. operating assistance services, maintenance services, consulting services, etc.)
For third party contracts, submit the copy of the vendor invoice for the same period as the reimbursement request. (The vendor invoice can be used electronically via email.) Copy of the original invoice from the vendor must show invoice number, date, and costs description (unit price, discount (if any), sales tax, freight/shipping charges, and total for each product or service. All work performed must be consistent with the Caltrans DMT approved Third Party Service Agreement Contract.
For internal agency staff projects, please provide a spreadsheet showing the time worked, hourly rate for labor, title/classification, and all work performed for the period. Summary must include all expenses and revenues for the period claimed. (See Operating Assistance Expense Calculation Sheet.)
*Back-sourced Business Information (BBI) Actual Payment Form (third party contracts only) available at <http://www.dot.ca.gov/hq/MS&T/mst/DHE.html>
Proof of payment made to vendor or copy of the method of payment. (Cancelled check or Bank statement showing check number and "paid in full" or Agency's Accounting Record showing the transactions.)

For JARC and NF projects only, please answer the following questions:
1. Is this project on schedule as originally stated in the grant application? ___ Yes ___ No
If not, please explain: _____
2. Will the project be completed within the timeframe specified in the standard agreement? ___ Yes ___ No
If not, please explain: _____
3. Is your agency meeting the performance objectives as originally stated in the grant application? ___ Yes ___ No
If not, please explain: _____



Procurement

JARC and New Freedom Programs

Federal Requirements

- **49 CFR Part 18 – Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments**
- **49 CFR Part 19 – Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations**

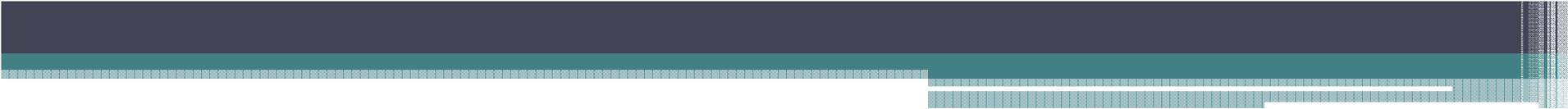


Full and Open Competition

WHY?

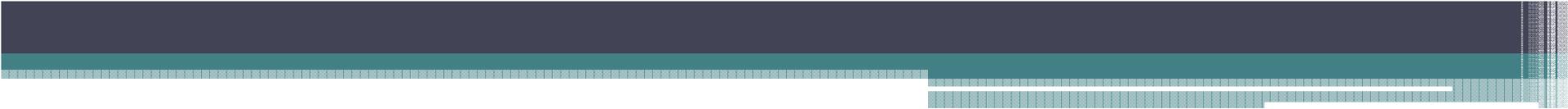
- ✓ Best Quality at Lowest Reasonable Cost
- ✓ Safeguarding Public's Interest
- ✓ Equal Opportunity for Public Business





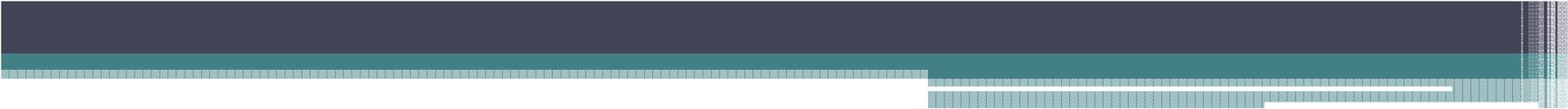
Procurement Threshold and Procedures

- ✓ Micro Purchase – Under \$3,000
- ✓ Small Purchase - More than \$3,000 but under \$100,000
- ✓ Document, Document, Document



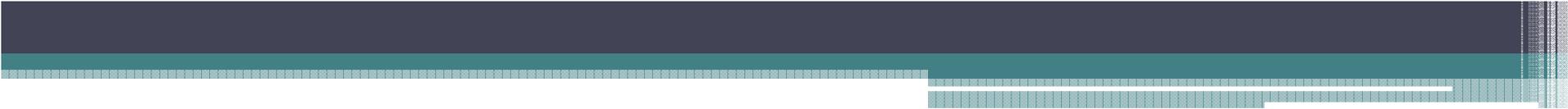
Methods of Procurement

- ✓ Invitation for Bid (IFB)
- ✓ Request for Proposal (RFP)
- ✓ Piggyback
- ✓ State Vehicle Contracts – Small, Medium, and Large Accessible Vehicle
- ✓ CalACT/MBTA – Minivans to Large Bus



What do we need from you?

- ✓ Procurement Schedule
- ✓ Bid Document
- ✓ Price Analysis
- ✓ Proposed Bid Award



Piggybacking

What do we need from you?

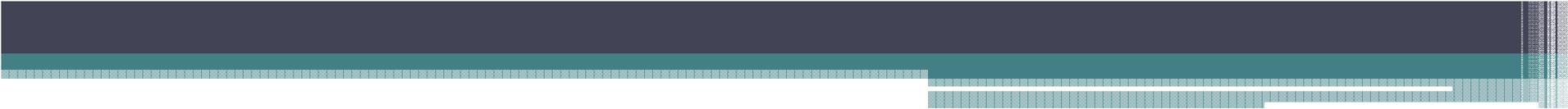
- ✓ Follow the Piggybacking Checklist
- ✓ Approval to Piggyback from Primary Agency
- ✓ Final Contract
- ✓ Solicitation Document & all Addendums
- ✓ Certifications & Assurances
- ✓ Awarding Agency's Selection Analysis

Required Contract Clauses

1. Fly America
2. Buy America
3. Charter Bus & School Bus
4. Cargo Preference
5. Seismic Safety
6. Energy Conservation
7. Clean Water
8. Bus Testing
9. Pre-Award & Post Delivery Audit
10. Lobbying
11. Access to Records and Reports
12. Federal Changes
13. Bonding
14. Clean Air
16. Fly America
17. Davis-Bacon & Copeland Anti-Kickback Act
18. Contract Work Hours & Safety Standards
19. No Government Obligation to 3rd Party
20. Program Fraud & Fraudulent Statement
21. Termination
22. Government-wide Debarment
24. Civil Rights
25. Breaches & Dispute Resolution
26. Patent & Rights in Data
27. Transit Employee Protective Agreements
28. Disadvantaged Business Enterprise (DBE)
30. Incorporation of FTA Terms
31. Drug & Alcohol Testing

FTA Procurement Resources

- ✓ FTA Circular 4220.1F – Third Party Contracting Guidance
- ✓ FTA Best Practices Procurement Manual
http://www.fta.dot.gov/grants/13054_6037.html
- ✓ FTA Third Party Procurement FAQs
http://www.fta.dot.gov/grants/13054_6039.html
- ✓ Federal Acquisition Regulation (FAR)
<https://www.acquisition.gov/far/>
- ✓ Caltrans Procurement Website
<http://www.dot.ca.gov/hq/MassTrans/Procurement-Mgmt.html>



Intelligent Transportation Systems

Must comply with National ITS Architecture

- Computer hardware
- Software
- Electronic fare payment system (smart farebox)
- Global Positioning System (GPS)
- Automatic Vehicle Locator (AVL)
- Computer-aided dispatching, or vehicle maintenance systems

FCC - Narrowband Migration

Effective January 1, 2013

All land mobile radio systems operating in the 150-512 MHz radio bands must cease operating using 25 kHz efficiency technology.

- Begin to operate on 12.5 kHz (11.25 kHz occupied bandwidth) or narrower channels, or
- Employ a technology that achieves the narrowband equivalent of one channel per 12.5 kHz of channel bandwidth (voice) or 4800 bits per second per 6.25 kHz (data)
- <http://transition.fcc.gov/pshs/public-safety-spectrum/narrowbanding.html>

Caltrans Procurement Resource



Helen Louie

Helen_Louie@dot.ca.gov

(916) 654-6990

Frank Nevitt – Procurement Review

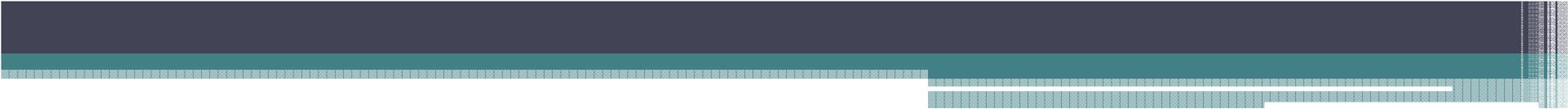
Frank_Nevitt@dot.ca.gov

(916)654-9495

Robert Jackson - Bus Procurement

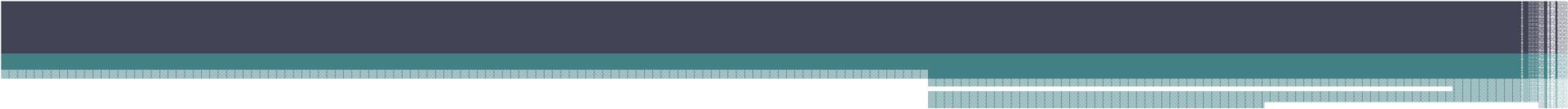
Robert_Jackson@dot.ca.gov

(916) 654-8631



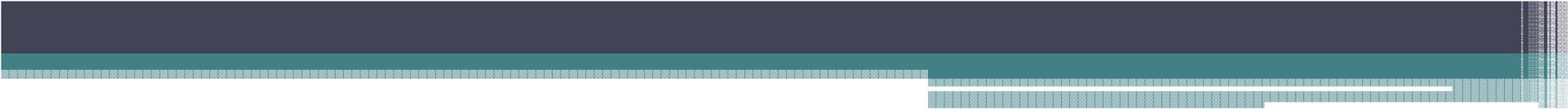
Disadvantaged Business Enterprises (DBE)

JARC and New Freedom Programs



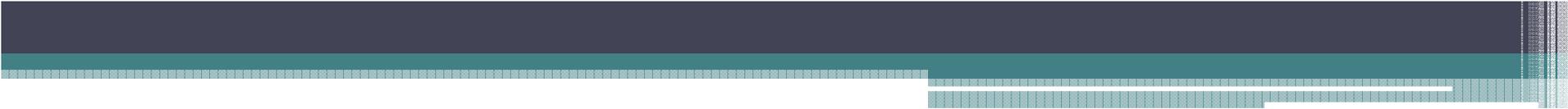
Caltrans DBE Program Applicability

- DBE requirements apply to all Sub-recipients with contracting opportunities or “third-party” contracts for goods and/or services
- Sub-recipients with operating assistance and non-vehicle capital projects (with contracting opportunities) must meet all requirements of Caltrans DBE program as they pertain to local agencies
- DBE requirements for vehicle projects are satisfied by the vehicle manufacturer and are not passed on to the Sub-recipient



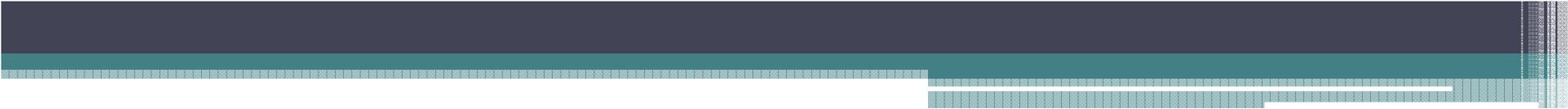
DBE Program Plan

- Sub-recipients shall adhere to the Caltrans DBE Program Plan (2007) - www.dot.ca.gov/hq/bep/dbe_program.htm



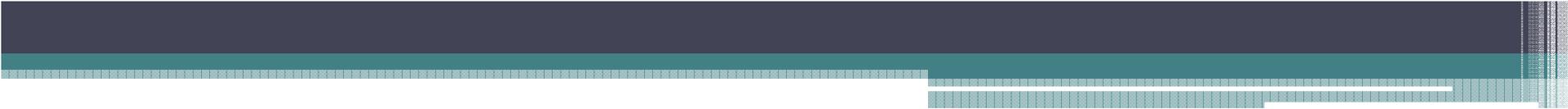
DBE Program Plan *continued*

- Key Points of the DBE Program Plan
 - Ensure DBE firms can compete fairly for federally funded transportation-related projects
 - Identify and remove barriers to the bidding, award, and administration of U.S. DOT Federally-assisted contracts
 - Increase the participation of all small business and DBE's in the procurement of materials, equipment and supplies



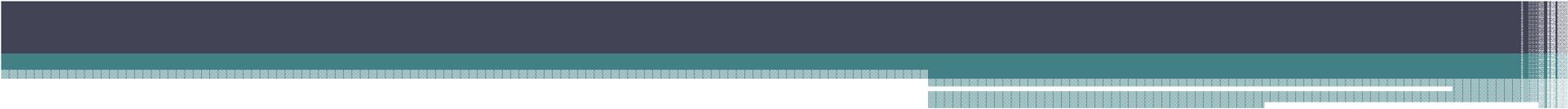
Implementation of the DBE Plan

- For all FTA non-vehicle capital projects, Caltrans' overall goal is currently 4% race neutral



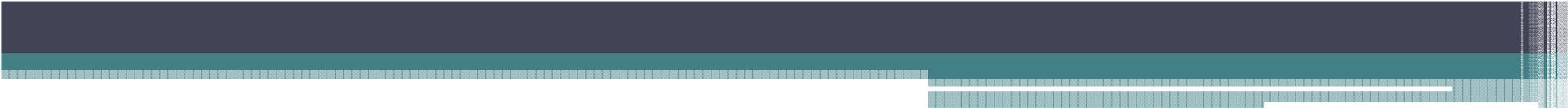
DBE Race Neutral Implementation Agreement

- All Sub-recipients must submit a DBE Race-Neutral Implementation Agreement
- If the agreement was already submitted to DMT, there is no need to resubmit again unless there is a change in the designated liaison



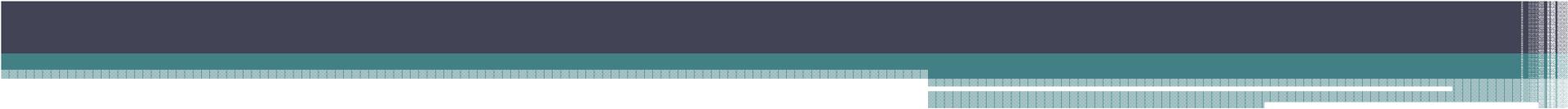
DBE Liaison Officer

- Sub-recipients must designate a DBE Liaison Officer (DBELO), to be responsible for developing, implementing, and monitoring the DBE Program Plan
- DBELO ensures that the Sub-recipient is fully and properly advised concerning DBE Program Plan matters



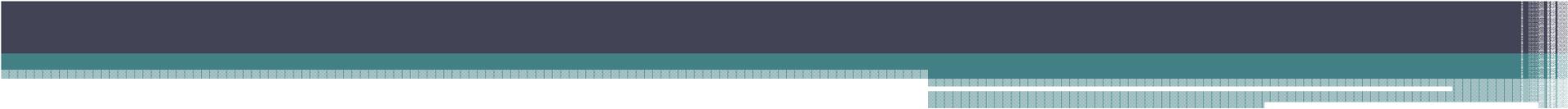
DBE Liaison Officer *continued*

- Duties and Responsibilities Include:
 - Gather and report statistical data
 - Review third party contracts and purchase requisitions for program compliance
 - Ensure timely bid notices and requests for proposals
 - Analyze DBE participation and identify ways to encourage small business participation



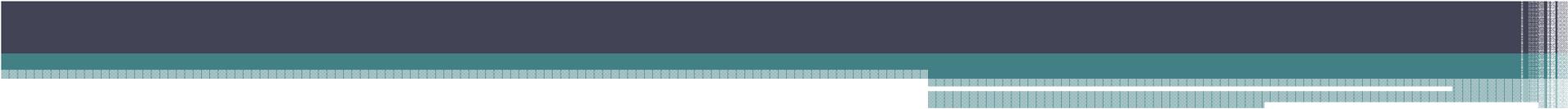
DBE Liaison Officer *continued*

- Participate in pre-bid meetings
- Act as an advisory to CEO/Governing Board on DBE matters and DBE race-neutral issues
- Provide all small businesses and DBE's with information and recommend sources to assist in preparing bids
- Plan and participate in DBE training sessions
- Provide outreach to all small businesses including DBEs and community organizations to fully advise them of contracting opportunities



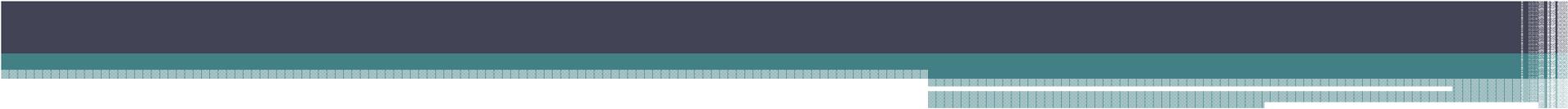
Required Contract Clauses

- Non-Discrimination Clause
 - 49 CFR Part 26.13
- Prompt Payment Procedures to Subcontractors
 - 49 CFR Part 26.29



Bidders List

- Sub-recipients will create and maintain a bidder's list consisting of information about all DBE and non-DBE firms that bid or quote on all Federal Aid Contracts



Sub-recipient DBE Reporting

- DBE Program Awards/ Commitments Form
 - Sub-recipient will submit bidder DBE information to DMT representative at Contract Award

Disadvantaged Business Enterprise Program Reporting Form

Awards/Commitments (Vendor Selected)

All subrecipients of the Federal Transit Administration Federally-funded Caltrans Division of Mass Transportation administered programs under Sections 5310, 5311, ARRA 5311, 5316 and 5317 must report ALL DBE contracting opportunities.

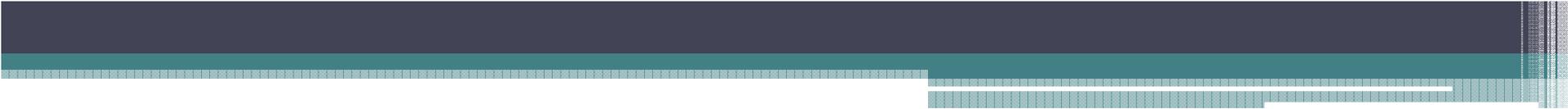
A. Subrecipient: _____

B. DBE Liaison Officer Name and Phone #: _____

C. Date: _____

D. Report due **April 15** for the period October 1 to March 31 Report due **October 15** for the period April 1 to September 30

E. Identify Grant Program Section (5310, 5311, ARRA 5311, 5316, 5317)	F. Caltrans Agreement Number	G. Caltrans Agreement Amount	H. Contractor/ Subcontractor/ Vendor	I. Type of Contract	J. DBE Y/N	K. If yes, Identify Ethnicity & Gender	L. DBE Cert Number http://www.dot.ca.gov/hq/bep/find_certified.htm	M. Contract/ Subcontract Amount (Federal Share Only)	N. Local Share (All Other Funds)
				Sub-Total Number of Yes DBE's			Sub-Total Amount of Yes DBE's		
				Sub-Total Number of No DBE's			Sub-Total Amount of No DBE's		
				GRAND TOTAL	0		GRAND TOTAL	\$0.00	\$0.00



Sub-recipient DBE Reporting

- DBE Program Actual Payments Form
 - Sub-recipients will submit Actual Payments Form with all requests for reimbursement to the DMT district representative

Disadvantaged Business Enterprise Program Reporting Form

Actual Payments (Vendor Payment Record)

All subrecipients of the Federal Transit Administration Federally-funded Caltrans Division of Mass Transportation administered programs under Sections 5310, 5311, ARRA 5311, 5316 and 5317 must report ALL DBE contracting opportunities.

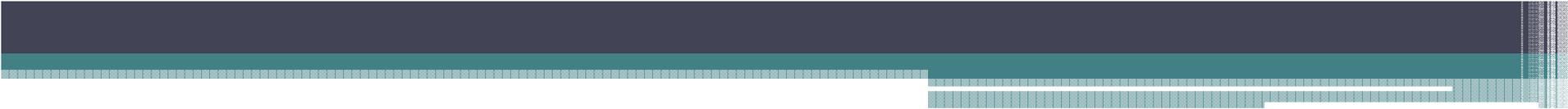
A. Subrecipient: _____

B. DBE Liaison Officer Name and Phone #: _____

C. Date: _____

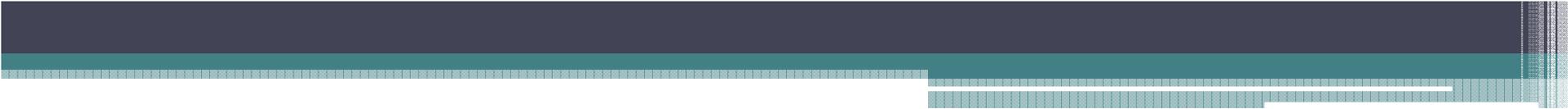
D. Report due **April 15** for the period October 1 to March 31 Report due **October 15** for the period April 1 to September 30

E. Identify Grant Program Section (5310, 5311, ARRA 5311, 5316, 5317)	F. Caltrans Agreement Number	G. Caltrans Agreement Amount	H. Contractor/ Subcontractor/Vendor	I. Type of Contract	J. DBE Y/N	K. If yes, Identify Ethnicity & Gender	L. DBE Cert Number http://www.dot.ca.gov/hq/bep/find_certified.htm	M. Contract/ Subcontract Amount (Federal Share Only)	N. Local Share (All Other Funds)
				Sub-Total Number of Yes DBE's			Sub-Total Amount of Yes DBE's		
				Sub-Total Number of No DBE's			Sub-Total Amount of No DBE's		
				GRAND TOTAL	0		GRAND TOTAL	\$0.00	\$0.00



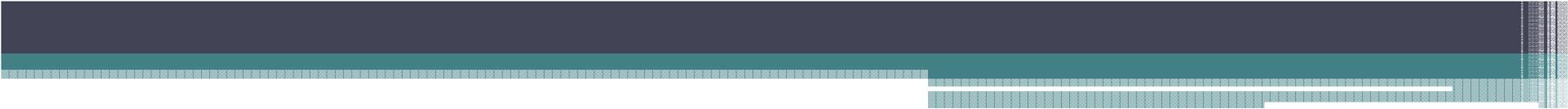
Caltrans Semi-Annual Reporting

- DBE Semi-Annual Reporting Form – Caltrans Will Report to FTA:
 - For the period of October 1st – March 31st
 - For the period of April 1st – September 30th



Location of DBE Forms

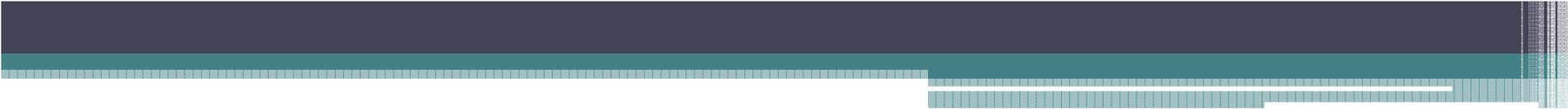
- DMT DBE webpage:
www.dot.ca.gov/hq/MassTrans/DBE.html



Where to Find a Certified DBE Contractor

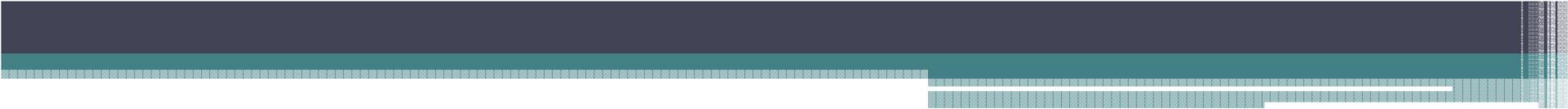
- Caltrans Office of Business & Economic Opportunity (OBEO):

www.dot.ca.gov/hq/bep/find_certified.htm



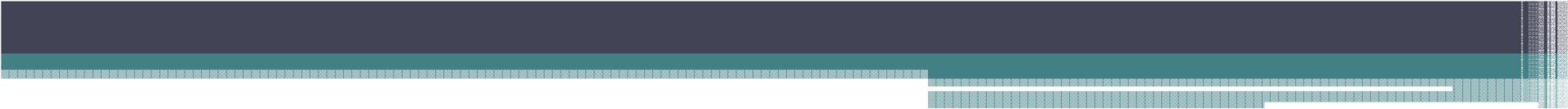
Title VI of the Civil Rights Act

JARC and New Freedom Programs



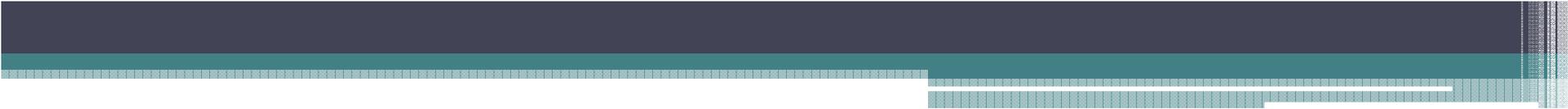
Title VI of the Civil Rights Act

- **Caltrans Must Ensure:**
 - No person in the State of California shall be (on the grounds of race, color, or national origin) be excluded from participation in, or be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance
 - Sub-recipients are also responsible for ensuring Title VI compliance of each third party contractor at any tier of the project



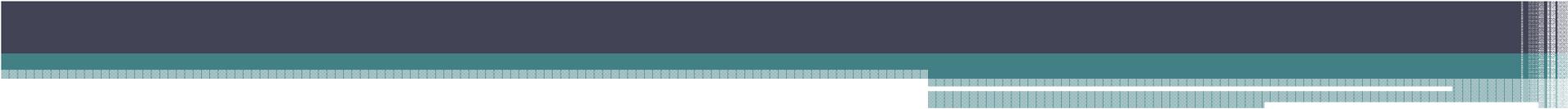
Title VI Requirements

- Sub-recipients are required to provide (per FTA Circular 4702.1B):
 - Annual Certification and Assurance
 - Prepare and Submit a Title VI Program
 - Develop and Implement Title VI Complaint Procedures
 - Maintain Record of Investigations, Complaints, Lawsuits
 - http://fta.dot.gov/legislation_law/12349_14792.html



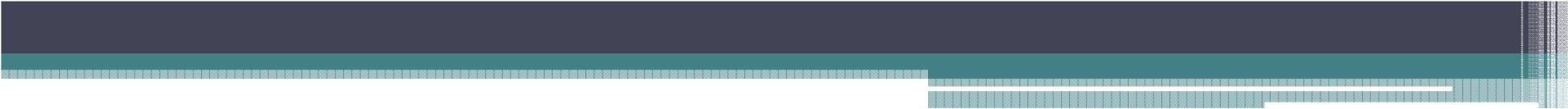
Title VI Requirements *continued*

- Access for Limited English Proficiency (LEP) Persons:
 - Either a copy of the agency's LEP plan for providing access to meaningful activities and programs, or a copy of the agency's alternative framework for providing access to activities and programs



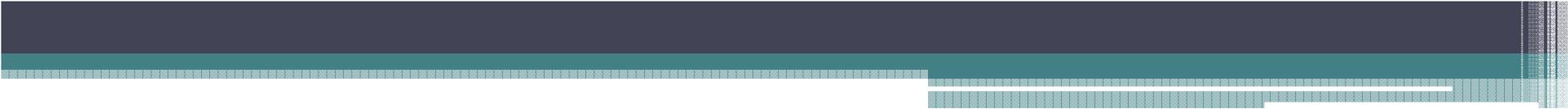
Title VI Requirements *continued*

- Notify Beneficiaries of Protection
 - Sub-recipients must provide information to the public regarding their Title VI obligations and apprise the public of the protections against discrimination afforded to them by Title VI
 - Sub-recipients who provide transit service shall disseminate this information to the public through measures including but not be limited to a posting on the agency's website, headquarters, transit shelters and vehicles.



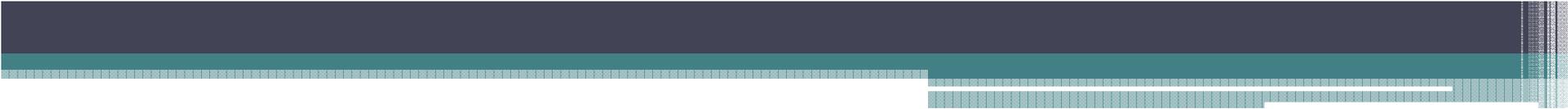
The Americans with Disabilities Act (ADA) of 1990

JARC and New Freedom Programs



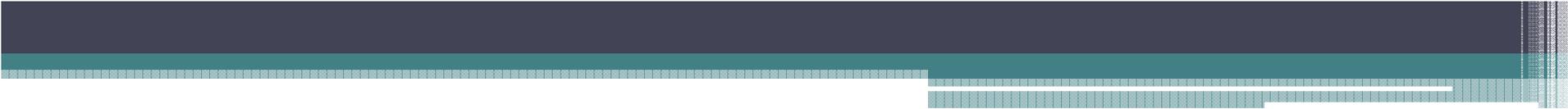
Americans with Disabilities Act (ADA) of 1990

- The ADA guarantees equal opportunity for individuals with disabilities in public accommodations, employment, transportation, state and local government services, and telecommunications



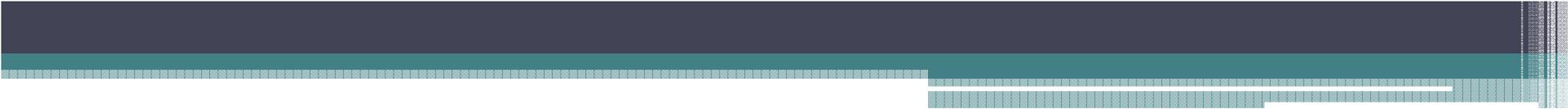
ADA Requirements

- Prohibits discrimination in all programs, activities, and services of public entities
- Applies to all state and local governments, their departments and agencies, and any other instrumentalities or special purpose districts of state or local government
- Includes public and private entities that provide public transportation



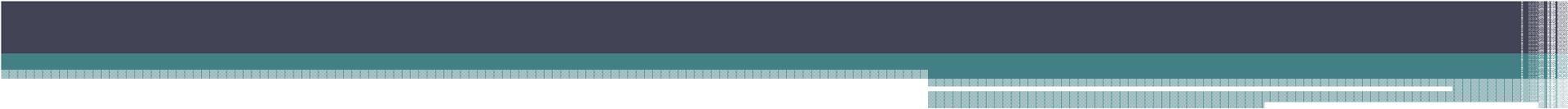
ADA Requirements *continued*

- ADA Requirements Apply to All Projects
 - Construction of Transit Facilities
 - Procurement of Vehicles
 - ADA Operating Projects
 - Procurement of Other Equipment



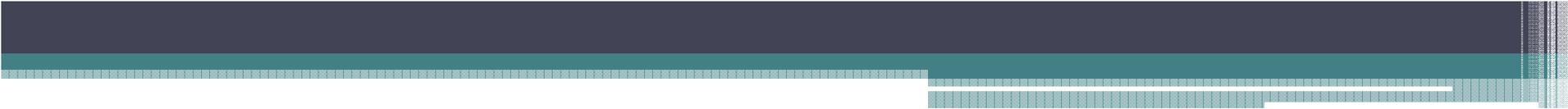
Contact Information

- **Michael Lange**
FTA Compliance and 5307 Manager
916-657-3946
michael_lange@dot.ca.gov

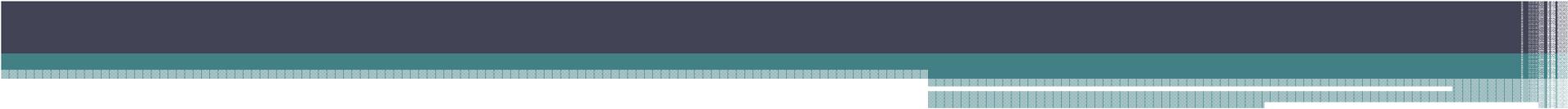


Contact Information

- Scott Sauer
Branch Chief, Section 5316 and 5317
JARC and New Freedom Programs
916-657-3863
scott_sauer@dot.ca.gov
- Amar Cid (Districts 1, 2, 3) 916-651-6114
- Lorraine Cozad (Districts 4, 6, 8, 10) 916-657-4679
- Lynn Ly (Districts 5, 7, 9, 11, 12) 916-654-8411



Questions?



Thank you!!!