ATP NEXT STEPS WORKSHOP

QUESTIONS AND ANSWERS

AUGUST 26, 2021

1. **Question: To clarify, is NI Plan approval required prior to NI allocation?**
   Answer: Yes, that is correct. It is due prior to allocation for our review at atp-ni@dot.ca.gov

2. **Question: For CON-NI allocation requests, do CEQA (for State and federal funded) and NEPA (for federal funded) need to be completed prior to submitting the allocation request?**
   Answer: Yes. for federally funded projects, the agency will fill out the PES-NI form. For state-only funded projects, the agency should have a procedure in place. We only need a recorded CEQA doc.

3. **Question: Can you please send a link to the federal appropriation codes?**
   The local agency is not required to determine the specific federal appropriation code.
   Answer: This is identified by the district and sometimes by HQ depending on obligation authority. The finance letter has the federal codes.

4. **Question: Construction costs have increased significantly, is there a reason why we can't request additional funds for an ATP project?**
   Answer: Currently, CTC's ATP guidelines do not allow for an upward adjustment. This means any cost increases will need to be covered other funding sources. ATP is a very competitive program and all funds will be used to program projects, with no remaining funds.

5. **Question: Can you confirm, that the six-month contract award deadline only applies to CON, and not pre-construction phases? For example, if agencies will be hiring a consultant for PA&ED or PS&E activities?**
   Answer: Yes, only applies to CON and CON-NI

6. **Question: If our agency has a CalSMART account, do we report all projects in that one account, or do we need separate CalSMART accounts for each project?**
   Answer: The accounts are set up by Agency. In short, one account may access all reports under the Agency, but your Agency may have several accounts and have each staff report for just their project. If there are changes in the project manager on a project, please notify Caltrans at atpprogressreporting@dot.ca.gov.

7. **Question: There are multiple due dates listed for the Completion Report. Is the due date whichever of those items occurs first?**
   Answer:
   1. *Standalone infrastructure projects: Completion reports are due within 6 months of construction contract acceptance or the project becomes operable, whichever comes sooner. They are due within CalSMART.*
   2. *Standalone non-infrastructure (NI) projects: Completion reports are due within 6 months of consultant contract acceptance or all NI activities (w/o using a consultant) are complete, whichever comes sooner. They are due within CalSMART.*
   3. *Combination infrastructure and NI projects: Completion reports are due within 6 months of either #1 or #2 is completed last. For example, if your project includes infrastructure activities first, follow #2 and if your project includes NI activities first, follow #1.*

8. **Question: Can the baseline agreement and allocation request be agendized at the same CTC meeting?**
   Answer: Yes.

9. **Question: How do the final report requirements apply to projects funded only through PA&ED?**
   Answer: Pre-CON phase funded projects require a completion report to include the anticipated CON schedule and the final delivery report is due upon actual completion of construction with before and after actual user counts using the interim count guidance.

10. **Question: If our project is constructing new facilities where none currently exist, are we exempt from the before-count requirement?**
    Answer: You would indicate that the current count is zero.

11. **Question: Under 'Fund Allocation Request', is there a reason why we can't click on two allocation requests? I have PE and RW in the same year?**
Answer: ATP does not program "PE". Your project will be either "PAED" and/or "PSE". They both have deliverables. If you want to submit for two phases, you probably have to submit two allocation requests. PS&E and RW can be requested and allocated concurrently on one form, but both phases require environmental certification. Please work with your District ATP coordinator for further assistance.

12. **Question: When I was filling out Ex25A for CON-NI allocation, I could not generate the letter at the end if I enter the allocation value under CON-NI. I'm wondering if it is a glitch in the form or am I supposed to enter value under CON for the CON-NI project?**
Answer: There was a glitch in the form that should be fixed now. There are other pending improvements being made to the form as well. Please work with your District ATP coordinator.

13. **Question: In our grant application we applied for funds for the PA&ED phase for NEPA. However, we were awarded state-only funds, can we reallocate PA&ED funds to other phases? if so, what are the timeline and process?**
Answer: Yes. However, you may want to spend the programmed funds for your CEQA, but if you don't need the funds for CEQA or you have savings from PA/ED phase, you can spend all or remaining PA&ED programmed funds in the PSE phase. Please refer to the ATP guidelines section 36 for project cost savings.

14. **Question: If our agency received "Regional ATP" funds, are those funds considered state or federal?**
Answer: Regional ATP means that your MPO selected your project. A regional ATP or MPO selected ATP project may be State, federal, or both. Please contact your District ATP coordinator for programming-specific questions.

15. **Question: On slide 14, it says the award package and copy of the consultant agreement must be submitted within 60 days of the award date- should this be submitted to the DLAE? What if we don't have a consultant agreement yet?**
Answer: To the DLAE or your District Area Engineer. Once the CON or CON-NI phase is awarded, you'll have 60 days to submit the award package. As for the A&E Consultant selection, it does not

have 60-day requirement. But you will need to follow the Qualification Based Selection requirements to select your A&E consultants. Refer to LAPM Ch-10 for more details.

16. **Question: Is there a way to request extensions for multiple phases simultaneously rather than one at a time? (aka CON, PAED, etc)?**
    Answer: Typically, CTC will only extend allocation deadlines at the end of the programmed state fiscal year, or just prior to approaching deadlines for other activities (such as expenditure, award, or construction completion). They will not extend future deadlines. It is also possible to extend different activities for different phases at the same meeting if the deadlines are approaching (ie. Extending deadlines for expenditure for PS&E and allocation for CON at the same meeting).

17. **Question: Can we get a current FAQ for reporting?**
    Answer: Yes, we are working on an FAQ now. It will be posted here:
    https://dot.ca.gov/programs/local-assistance/fed-and-state-programs/active-transportation-program/general-and-technical-information

18. **Question: Since the completion reports are only available during the open periods for progress reporting, what happens if the 6 months fall within the time frame we can't submit?**
    Answer: Reporting periods are open every 3 months so it shouldn't be a problem for an agency to meet the 6-month requirement.

19. **Question: For Non-infrastructure projects, student tallies are feasible in lieu of counts, correct?**
    Answer: Yes, that is correct. Reference the [Interim Count Guidance] for more information.

20. **Question: For quarterly reporting, what happens if you miss the deadline?**
    Answer: If reporting deadlines are missed, the Department places the agency/project on a project watch list and reports it to the Commission to decide if consequences are necessary. This is why is so important to always have an updated reporting contact for each agency or project.

21. **Question: Can you clarify this: So, let's say we get approval to start in January 2022, but we start our pre-counts in March 2022, so then if we end all projects in December 2024, then we can't do our post counts until March 2025? (After the grant has ended?)**
Answer: Yes

22. **Question: Who is the best person to contact in regards to ATP Final Reporting?**
Answer: atpfinalreporting@dot.ca.gov

23. **Question: Do we need to submit Completion Reports and Final Delivery Reports (25-T) both in CalSMART and the actual form to the ATPFinalReporting email?**
Answer: Yes. 25-T will be shortened too much less info is required. 25-T will only require information that cannot be reported in CalSMART. For example, corps usage and count information.

24. **Question: Are pre-project counts required 6 months prior to construction? Are we permitted to take counts earlier than six months prior to construction?**
Answer: They are required WITHIN 6 months of construction. Please refer to the ATP Project Reporting webpage for more information and reach out to your District if you have any questions.

25. **Question: Has funding for the Cycle 5 Augmentation been approved?**
Answer: The Cycle 5 Augmentation is cancelled.

26. **Question: When do we submit the first progress report?**
Answer: As soon as a project is approved and programmed by the California Transportation Commission a progress report is required the following reporting period. For example, if a project is approved in April, a report is due in August to cover the quarter of April through June.

27. **Question: Do we report before we receive the official allocation, or only after the allocation?**
Answer: The agencies must submit their quarterly progress reports to CalSMART after having been awarded the project, even if their funds have not been authorized.

28. **Question: Is there a CEQA subject-matter expert to help with NI question(s)?**
Answer: CEQA is handled by the agency. The only document CTC requires is a copy of the Recorded agency's CEQA determination. If you have additional questions, please reach out to your DLAE or ATP Coordinator to assist with implementation details of your project.

29. **Question: What is the master agreement?**
Answer: An agreement between a city, county, or other local public agency and the State (Caltrans) defining the general terms and conditions which must be met to receive federal-aid or state funds. It's a legal document that needs to be reviewed and fully executed by the agency. That is a requirement prior to any entity in receiving state or federal funds.

30. **Question: Can you provide a list of personnel from the ATP program to assist local agencies administrating these projects, preferably by each phase, PA&ED, PS&E, R/W, Con, and NI?**
*Answer**:** Your first point of contact should be your district [DLAE or ATP coordinator.]*

31. **Question: Are E-76 required for state-only funded projects?**
*Answer**:** No. Only projects with federal funds*

32. **Question: Is it mandatory to reach out for MPO (i.e. SCAG) approval (letter of approval) for any requests including Time extension requests or allocation requests? We were told that this task was somewhat of an "informal" task and that this task would be eliminated soon.**
Answer: It depends on your MPO and if the project was MPO selected. Typically, MPOs would like to see and sign Time extensions and some sign allocation requests.

33. **Question: Is the Master Agreement project-specific? How do I initiate one? Who to contact to initiate it?**
*Answer**:** No. It is agency or entity-specific. There is a formal process an entity would have to go through which includes illustrating certain abilities in regards to project management and finance. Please contact your district DLAE for further information. It is also suggested that if an entity does not have a fully executed master agreement it partner up with an entity that does and has experience in project implementation.*

34. **Question: Is there an orientation-like webinar for just NI projects? It would be beneficial to weed out processes that do not need to occur.**
Answer: Yes, you can see the recording here: https://caatpresources.org/index.cfm1588 If you have any remaining questions, please reach out to your district coordinator or DLAE or ATP-NI@dot.ca.gov

35. **Question: Can we view a quarterly report in Cal smart now/before our project starts? Will these reports change during our project period?**

    Answer: Progress reports can only be started/edited during an open reporting period. You may view past submitted reports at any time.

    Submitted reports can be reviewed at any time. Reporting is required upon adoption into the program no matter when the project is programmed to start. CalSMART report format may change due to CTC requirements but the report content entered by the agency should change as the budget, scope, schedule or benefits change.

36. **Question: In Cal smart, in the milestones tab. Under Planned Completion Dates for PA&D, ROW Cert, Ready to List, Begin construction, end Construction, end project. Are those hard deadlines? My project may miss those projected dates by a few months. Should a time extension be requested if those dates are missed?**

    Answer: These are not hard deadlines, but you are expected to meet those milestones. If you cannot meet those milestones, explain why in the 'Corrective Action Plan' section of the report. Time Extensions should be requested for any ATP funded phases in which you cannot the timely use of funds deadline.

37. **Question: Is there a tab to add the Bike/Ped counts in the completion/final reports in CalSMart?**

Answer: CalSMART does not currently have this capability. Until this capability is added, we are asking that Agencies submit supplemental information as stated in the ATP Reporting webpage.

Completion reports require projected counts and final delivery reports require actual counts and must be done the same days of the year and with the same methodology as the before counts.

38. **Question: In CalSMART, at times the expenditures for planned/additional do not add up to the programmed amounts, can this be due to a glitch?**

Answer: During progress reporting, expenditures may be off because the invoices submitted may not have been processed at the local accounting level. The requirement for actual expenditures to match planned expenditures once a milestone is complete will be removed from CalSMART. ATP also does not track local contribution anywhere, thus Agency must manually enter those dollars under 'Planned Additional Local'.

35. **Question: If the PA&ED phase is complete and has money left over/balance, can the balance be used in the PS&E phase?**
Answer: Yes. Please refer to section 36. Project cost savings of the CTC cycle 5 guidelines

36. **Question: When completing the Funding & Expenditures tab in CalSmart, I followed our application, however, there was not construction support a request for funding so this was included in the construction phase. Do we now have request to move ATP funding to construction support? Included in the construction phase. Do we now have a request to move ATP funding to construction support?**
Answer: Generally speaking, separated CE cost is for Caltrans administered projects to use only. For locally administered projects, CE should be included in CON, and this requires the cost estimate in application contains a bid item called "construction support" or similar:
    - *If the project is SOF, no need to separate CE from CON, the local agency needs to submit invoice(s) within the allowed time frame determined by TUF, and typically for CON phase is 36 months counted from the contract award date.*
    - *If the project is federalized, the local agency needs to meet both state (such as TUF) and federal requirements. Due to the federal requirements on invoicing, and per the Master Agreement, the local agency needs to submit the first invoice within 180 days, and separating CE from CON can help the local agency to better meet this requirement. The cost of "construction support" bid item can be used as CE cost on E-76 / FL.*