

Federal Safe Routes to School (SRTS) Program

Key Steps in the Federal-aid Process

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11/09

The purpose of this document is to provide a brief description of the key steps in the federal-aid transportation process. For complete, detailed information, please refer to the Caltrans Local Assistance Procedures Manual (LAPM) which contains all the federal processes, procedures, and requirements. The LAPM may be viewed at: <http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm>.

Questions should be directed to your Caltrans District Local Assistance Engineer (DLAE). For contact information go to: <http://www.dot.ca.gov/hq/LocalPrograms/dlae.htm>

Other Useful Links:

On projects involving the use of non-profit organizations/school districts, refer the flowchart entitled [“Safe Routes to School \(SRTS\) Federal-aid Transportation Projects Utilizing School Districts and Non-Profit Organizations.”](#)

The SRTS Guidelines and Application form will be updated in each grant cycle. To view them, go to the Safe Routes to School website at: www.dot.ca.gov/hq/LocalPrograms/saferoutes/srts.htm

Key Steps:

I. Notification of Award:

Once the project list is approved, letters will be sent to successful applicants from the Department of Transportation (Caltrans) and the list will be posted on the Safe Routes to School website noted above. Unsuccessful applicants will also be notified in writing.

II. Project Programming:

Caltrans HQ Transportation Programming will inform all Metropolitan Planning Organizations (MPO) to amend their Federal Transportation Improvement Programs (FTIP) to include the new SRTS project(s). This step will take from two to six months depending on the MPO's amendment cycle. Projects within rural Regional Transportation Planning Agency (RTPA) areas will be amended by HQ Transportation Programming. All amended projects will be programmed in a 4-year Federal Statewide Transportation Improvement Program (FSTIP). Once the amendment is approved by the Federal Highway Administration (FHWA),

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Transportation Programming will forward the approval notice to Division of Local Assistance (DLA) at Caltrans Headquarters.

Information on FTIP amendments is available at:

http://www.dot.ca.gov/hq/transprog/federal/ftip_amendments/tip_2009.htm

Check the above website to see if your project has been amended into the FTIP. If not, contact your District Local Assistance Engineer (DLAE) (refer to DLAE contact information under the Key Links box above) or your MPO for assistance.

III. Project Processing:

Once the project is amended into the FTIP, the next steps in sequence are:

- The awardee requests a Master Agreement (MA) from the District Local Assistance Engineer. Many local agencies already have a MA with Caltrans on file in which case they do not need another one.
- The MA is signed by the applicant and Caltrans for execution.
- The awardee submits a Request for Authorization to Proceed (E-76). This is the first step in getting funds authorized for the project from the Federal Highway Administration (FHWA).
- FHWA issues E-76 approval
- A Program Supplement Agreement (PSA) is executed between the awardee and Caltrans within 60 days of E-76 approval (reimbursable work cannot proceed until there is an executed PSA). Note: the first 2 pages of the Field Review form is required before the awardee can prepare the PSA on infrastructure (I) projects.
- The awardee submits invoices to the DLAE at least once every 6 months

The following items provide more details of key steps.

Master Agreement (MA) and Program Supplement Agreement (PSA):

If the awardee does not have a Master Agreement (MA) on file with Caltrans, the awardee should request one from the DLAE. A MA will be sent to the awardee for execution and must be returned to Caltrans to fully execute the agreement. Once the MA is executed, the awardee can submit an E-76 request. See below.

A Program Supplement Agreement (PSA) specific to each project will also be prepared by Caltrans and sent to the awardee for execution. For non-infrastructure (NI) projects, special covenants will be contained in the PSA.

Please refer to Chapter 4 (Agreements) of the LAPM:

http://www.dot.ca.gov/hq/LocalPrograms/lam/prog_p/p04agree.pdf

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Request for Authorization to Proceed (E-76):

The E-76 is a request to the Federal Highway Administration (FHWA) to authorize funds for the project.

Awardee must submit a Request for Authorization to Proceed to the DLAE (refer to website address under Key Links above for contact information) within 6 months after the project is programmed. If the E-76 is complete and accurate, the DLAE will send the E-76 request to the DLA for final processing.

For NI projects, use Exhibit 3-D (Request for Authorization to Proceed with Construction) in Chapter 3 of Local Assistance Procedures Manual (LAPM): http://www.dot.ca.gov/hq/LocalPrograms/lam/prog_p/p03proj.pdf.

Exhibits 3-A (for preliminary engineering), 3-B (for right-of-way), and 3-D (for construction), contain a check list for local agencies to verify what they are required to submit with the E-76 request.

IMPORTANT: Awardee shall not begin work until the Authorization to Proceed is issued by the DLAE.

Disadvantaged Business Enterprise (DBE) Requirements:

A DBE Program is required as shown in the check list in Exhibit 3-D. For details, refer to Chapter 9 (Civil Rights and Disadvantaged Business Enterprises) of the LAPM: http://www.dot.ca.gov/hq/LocalPrograms/lam/prog_p/p09crdbe.pdf

Exhibit 9-A (DBE Race-Neutral Implementation Agreement for Local Agencies) and Exhibit 9-B (Local Agency Annual Submittal Form) are required at the time of the E-76 request submittal if not already submitted.

If a construction contractor is used, the successful bidder must execute and return Exhibit 15-G (Local Agency Bidder – DBE Information) in Chapter 15 of the LAPM when the contract is awarded. If a consultant contractor is used, the successful bidder must execute and return Exhibit 10-O (Local Agency Bidder – DBE Information – Consultant Contracts). Exhibit 17-F (Final Report Utilization of Disadvantaged Business) in Chapter 17 of the LAPM shall be completed with the final report at the project completion for both construction and consultant contracts.

Consultant Selection Process:

For consultant selection processes, please refer to Chapter 10 of the LAPM: http://www.dot.ca.gov/hq/LocalPrograms/lam/prog_p/p10consult.pdf

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Accounting/Invoicing:

Awardees must begin invoicing their project within 6 months after federal funds have been obligated to the project. Thereafter, invoices must be submitted no less than every 6 months for reimbursement. The project must be completed – the last invoice submitted and the project closed out - within 4 federal fiscal years after the first E-76 was authorized.

A copy of the Award Package must be included with the local agency's first invoice to the DLAE.

Please Refer to Chapter 5 of the LAPM (Accounting/Invoices) at: http://www.dot.ca.gov/hq/LocalPrograms/lam/prog_p/p05accin.pdf. An invoice checklist is provided in 5.13. Sample invoices are available in the Exhibits of Chapter 5.

Contact for Assistance:

The DLAE should be the first point of contact when project-related questions arise. For contact information refer to the website address noted above in the Key Links box. For assistance on program-related questions, contact the SRTS Coordinator at Caltrans Headquarters.