

Caltrans Local Assistance

Discretionary Grant Programs Training

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Agenda

Overview: Discretionary Grant Programs

Process and Procedures

Break

Roles and Responsibilities

Executive Order 14154

Resources and Contacts



Overview: Discretionary Grant Programs (DGPs)



Definition

DISCRETIONARY GRANTS

- Federally funded initiatives
- Cater to various transportation needs
- Programs represent special funding categories
- Program funds distributed by:
 - Formula
 - Competitive / Discretionary



Programs

DISCRETIONARY GRANTS

IIJA created many new programs Each program has its own:

- Eligibility
- Selection criteria
- Reporting requirements

Program criteria and requirements established by:

- Law
- Regulation
- Administrative guidelines



Infrastructure Investment and Jobs Act (IIJA)

SUMMARY

- Transportation Act covering 2022-2026
- Provides Discretionary Grant funding for:
 - Infrastructure
 - Transportation Projects
 - Broadband and Utilities
 - Sustainability
 - Job Creation
 - Equity and Environmental Justice
- Allocates \$1.2 Trillion over five years



Where is the IIJA money going? (in billions)



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🖆 Share

made with infogram

Eligibility

DISCRETIONARY GRANTS

Eligible applicants vary based on the specific grant program and may include:



• State Agencies



⁷• Tribal Governments



Local Governments



Transit Providers





Research Institutions



• Law Enforcement Agencies



Nonprofit Organizations



- Private Entities
- others



Programs

Division of Local Assistance





Active Federal Programs Office of Federal Programs

• BIP

• CRP

• CR

- ER
- CRRSAA
- Culvert AOP
- FERP

- FLAP
- CPFCDS • FBDP
 - FBP
 - HBP
 - HIP
 - INFRA
 - ITS

- HSIP
- MPDG
- MEGA
- NSBP
- NSFLTP
- PROTECT
- RAISE
 - RCP

- RURAL
- SS4A
- RHCP
- WCPP



Federal Programs Office – Active Programs

- Bridge Investment Program (BIP)
- Carbon Reduction Program (CRP)
- Community Project Funding/Congressionally Directed Spending (CPFCDS)
- Congestion Relief Program (CR)
- Coronavirus Response and Relief Supplemental Appropriations Act (CRRSAA)
- Culvert Aquatic Organism Passage (AOP)
- Earmark Repurposing (FERP)
- Emergency Relief (ER)
- Federal Lands Access Program (FLAP)
- Ferry Boat Discretionary (FBDP)
- Ferry Boat Program (FBP)
- Highway Bridge Program (HBP)
- Highway Infrastructure Program (HIP)

- Infrastructure for Rebuilding America (INFRA)
- Intelligent Transportation Systems Program (ITS)
- Local Highway Safety Improvement Program (HSIP)
- Multimodal Project Discretionary Grant (MPDG)
- National Infrastructure Project Assistance Program (MEGA)
- National Scenic Byways Program (NSBP)
- Nationally Significant Federal Lands and Tribal Projects (NSFLTP)
- Promoting Resilient Operations for Transformative, Efficient, & Cost-saving Transportation (PROTECT)
- Rebuilding American Infrastructure with Sustainability & Equity Program (RAISE)
- Reconnecting Communities Program (Pilot) (RCP)
- Rural Surface Transportation Grant Program (RURAL)
- Safe Streets and Roads for All (SS4A)
- Section 130 Railway-Highway Crossing Program (RHCP)
- Wildlife Crossing Pilot Program (WCPP)

IIJA Discretionary Grant Deadlines

FFY of Award	Obligation Deadline	Expenditure Deadline
2022		September 30, 2030
2023	September 30, 2026	September 30, 2031
2024	September 30, 2027	September 30, 2032
2025	September 30, 2028	September 30, 2033
2026	September 30, 2029	September 30, 2034

- Most programs have **two** funding deadlines
 - Obligation deadline (all funds authorized)
 - Expenditure deadline (all funds invoiced)
- The obligation deadline dates are for most but not all IIJA Grant programs, so check the DLA web page for your program to verify.

https://dot.ca.gov/programs/local-assistance



Executive Order 14154: Unleashing American Energy

IMPACTS ON IIJA DISCRETIONARY GRANT PROGRAMS

- 90-Day Federal Pause
- Policy Review
- Impacts IIJA competitive Discretionary Grant programs
- Resulting in delays to:
 - Project Agreements
 - Project Fund Obligations



Program Applicant Eligibility

Eligible applicants vary based on the specific grant program and may include:

- State Agencies
- Tribal Governments
- Local Governments
- Transit Providers
- Universities

- Research Institutions
- Law Enforcement Agencies
- Nonprofit Organizations
- Private Entities
- others

See Notice of Funding Opportunity (NOFO) for eligibility and other project application criteria. NOFO may be found on "<u>Grants.gov</u>" federal web site.

Program Management

- Each Discretionary Grant Program has a Federal Program Manager
- The Federal Program Manager:
 - Manages program on behalf of U.S. DOT
 - Develops program guidance & procedures
 - Develops Recipient Agreement template(s)
 - Solicits and awards projects
 - Approves project scope, schedule, and cost changes
 - Reviews project Recipient Agreements
 - Gives "Ready to Sign" approval of project Recipient Agreements



Program Management and Oversight

- Initial Federal Project Management agency assigned by legislation
- U.S. DOT project administration is split between:
 - Office of Secretary of Transportation (OST)
 - Federal Highway Administration (FHWA)
- Project oversight may be transferred to another Federal Agency
 - Automatically by the Federal Program Manager
 - At request of Awardee, but need FHWA/OST approval and approval of Federal Agency receiving funds
- Tribal projects are managed by FHWA OTT, CFLHD is lead on NEPA approval
- Impacting the project oversight is the project method of reimbursement. (Awardee may choose "Direct" Recipient or Caltrans "Pass-Through".
 - Some programs require all projects to be "Direct" Recipient
 - If not mandated by Program, Awardee may choose "Direct" or "Pass-through" for project at Project Kickoff Meeting

The Awardee Choice: Method of Reimbursement

"Direct"

Recipient

"<u>Direct</u>" Recipient

- FHWA retains direct oversight of project
- Local Agency is Grant Recipient
- Local Agency is Awardee
- Process Bypasses Caltrans (almost)
- Local Agency uses DELPHI for payment
- Caltrans (CT) DLA approves NEPA
- FHWA CA-DÍV approves RW Certification

CT "Pass-Through"

- Caltrans "Pass Through"
- FHWA / CT share oversight
- Caltrans is Grant Recipient
- Local Agency is:
 - Awardee, and
 - Designated Subrecipient
- Caltrans is "Pass-Through" for the federal funding
- Caltrans also has oversight role & responsibilities
- Caltrans approves project NEPA document
- Caltrans approves project RW Certification

Program Management and Oversight

- Discretionary Grant Programs (DGPs) are managed at federal level by either the:
 - 1. Office of Secretary of Transportation
 - 2. Federal Highway Administration HQ
- With U.S. DOT approval, projects may be transferred to another:
 - Federal Agency
 - Office, within the Federal Highway Administration
- FHWA CA-DIV responsible for Project Oversight
- Caltrans assists FHWA with Oversight of Awardee elected "Pass-Through" projects



U.S. Department of Transportation Office of the Secretary of Transportation

Program Management

U.S. Department of Transportation **Federal Highway Administration** Office of Infrastructure Program Management



U.S. Department of Transportation **Federal Highway Administration** California Division

Project Oversight

Federal Project Administration

PROGRAM AND PROJECT OVERSIGHT VARIES

What agency is in Charge?

The federal agency responsible for oversight and management depends on:

- 1. Type of Grant Program
- 2. Project Scope of Work
- 3. Category of Awardee

Other factors:

- Agency resources
- Agency mission
- Agency expertise





Federal Program Management

Based on Grant Program



*The BIP Program Management is split between OST and FHWA-HQ.

Program Management

Based on Grant Program



*The BIP Program Management is split between OST and FHWA-HQ.



Example: Humboldt Bay Offshore Wind MVP

"The project will construct a modern marine terminal primarily for the transport, import, staging, preassembly, final assembly, launch, in-water construction, and long-term maintenance of floating offshore Wind Turbine Devices (WTDs). The project also includes environmental protection measures such as an eco-shoreline."



Source: MPDG Program Application for Program Humboldt Bay Offshore Wind MVP Minimum Viable Port), dated Aug. 21, 2023.

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Projects Awarded to Tribes



Awardee "Direct" Recipient





Awardee using Caltrans as "Pass-Through" for Federal Funds









Solicitation, Award, and Kickoff Meetings



Initial Project Selection and Kickoff





Initial Project Selection and Kickoff



Discretionary Grant Kickoff Meetings

- After each award cycle project announcement
- Initiated by FHWA-HQ/OST Program Manager
- Awardee invited by Federal PM
- Two Kickoff Meetings for project
 - 1. Program Nationwide Kickoff Webinar
 - 2. Project Specific Kickoff Webinar



National Award Cycle Kickoff Meeting

- Set up by the Federal Program Manager
- Available on-demand (recorded)
- Typically given with every Award Cycle
- Highlights Procedures & Requirements for specific award cycle, including:
 - Deadlines
 - Reporting Requirements
 - Performance Measures
 - Program Specific Requirements
 - Project Recipient Agreement
 - Terms and Conditions
 - Exhibits



Project Specific Kickoff Meeting

- Also initiated by the Federal Program Manager
 - Contacts Awardee
 - Should include: FHWA CA-DIV, Caltrans DLA
 Program Coordinator, DLAE
- Purpose:
 - Discuss Awardee selection of "Direct" vs. "Passthrough" for federal reimbursement
 - Discuss completion of:
 - the Recipient Agreement
 - the Designated Subrecipient Agreement, if needed
 - Process for approval of Agreement(s), obligation of funds, and project completion
 - Obligation and Expenditure Deadlines
 - NEPA approval and RW Certification
 - Contact information



Who should attend Project Kickoff Meeting?

Kickoff
Meeting
Participants

GRANT AWARDEE	ADMIN. AGENCY	REQUIRED MEETING PARTICIPANTS
Awardee	Awardee	Awardee DLAE CT HQ DLA Program Coordinator FHWA CA-DIV Area Engineer Federal Program Manager
Awardee	Caltrans	Awardee DLAE CT Project Manager (District) CT HQ DLA Program Coordinator FHWA CA-DIV Area Engineer Federal Program Manager
Caltrans	Caltrans	CT Project Manager (District) DLAE CT HQ DLA Program Coordinator FHWA CA-DIV Area Engineer Federal Program Manager
Application & Award (for Local Agency awarded & administered project)



Method of Reimbursement



The Awardee Choice: Method of Reimbursement

"Direct"

Recipient

"<u>Direct</u>" Recipient

- FHWA retains direct oversight of project
- Local Agency is Grant Recipient
- Local Agency is Awardee
- Process Bypasses Caltrans (almost)
- Local Agency uses DELPHI for payment
- Caltrans (CT) DLA approves NEPA
- FHWA CA-DÍV approves RW Certification
- Awardee works Directly with FHWA CA-DIV
- Project funds obligated via DELPHI
- Project "Recipient" Agreement required
- No Designated Subrecipient Agreement

CT "Pass-Through"

Ihrough"

Caltrans

"Pass Through"

- FHWA / CT share oversight
- Caltrans is Grant Recipient
- Local Agency is:
 - Awardee, and
 - Designated Subrecipient
- Caltrans is "Pass-Through" for the federal funding
- Caltrans also has oversight role & responsibilities
- Caltrans approves project NEPA document
- Caltrans approves project RW Certification
 Once project Agreements signed local agency
- Once project Agreements signed local agency follows regular fed-aid process (per LAPM)
 - Request for Authorizations
 - Invoicing
 - And other LAPM processes and procedures
- Project "Recipient" Agreement required and a Designated Subrecipient Agreement

Major Prerequisites: Using CT as "Pass-Through"

ELIGIBILITY

- Required Agreements:
 - Master Agreement
 - Project Recipient Agreement
 - Designated Subrecipient Agreement
 - Program Supplement Agreement
- Requires familiarity with federal aid process
 - May require additional training & DLAE
 Assistance
- Required Plans and Certifications include:
 - DBE Plan
 - ADA Plan
- For Private & non-profit entities:
 - Procedures need to be developed
 - May be d some legal questions to answer (award of public funds to non-public entity)



What if not eligible for using CT Pass-Through"?

- . Awardee may partner with another Agency that has met the prerequisite criteria.
 - Eligible Agency must have a DLA Master Agreement
 - Eligible Agency agrees to administer project
 - Award transferred to eligible Agency
 - Agency responsible for administering and delivering project

Must be approved by Federal Program Manager.



What if not eligible for using CT Pass-Through"? (continued)

2. Awardee may request project oversight and administration be transferred to another federal agency, for whom they have met the requirements.



U.S. Department of Transportation **Federal Highway Administration** Federal Lands Highway



U.S. Department of Transportation **Federal Transit Administration**



U.S. Department of the Interior Bureau of Indian Affairs



U.S. Department of Transportation Maritime Administration



U.S. Department of Transportation Federal Railroad Administration



U.S. Department of the Interior **National Park Service**

Prerequisites for "Direct" Recipient

Agreements:

- Project Recipient Agreement required
 - Agreement between FHWA and Awardee
 - Outlines project requirements and deadlines
- No Designated Subrecipient Agreement

FHWA DELPHI System

- Awardee must:
 - Use DELPHI for project funding
 - Funding obligation
 - invoicing
 - Have DELPHI trained staff

NEPA and Right-of-Way

- NEPA must be approved before RW & CON obligation (may require Caltrans NEPA approval)
- RW must be approved before CON obligation (Requires FHWA CA-DIV RW Certification)



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Prerequisites for "Direct" Recipient (continued) NEPA and Right-of-Way

Standard Process, for "Direct" Recipient projects

- Caltrans Local Assistance approves NEPA Document for:
 - LPA and most other grant Awardees, District Local Assistance approves NEPA
 - Private entities and Nonprofits, Caltrans DLA (HQ) ECO Office approves NEPA
- FHWA California-Division (CA-DIV) Certifies Right-of-Way

Exceptions, to above Standard Process

- When grant funds transfer to another federal agency or Division
 - Tribe awarded projects administered by OTT, ENV lead is CFLHD
 - Projects transferred at Federal Program Manager level
 - Examples: MARAD, FRA, OTT
 - Projects Transferred at FHWA CA-DIV Level or by request of Awardee
 - Examples: FTA, NPS, CFLHD



Two Agreements for Discretionary Grants



- 1. <u>Recipient Agreement</u> (RA)
 - Required for all projects
 - FHWA Boilerplate Two versions
 - 1. Direct Recipient Agreement boilerplate
 - Between FHWA and Awardee
 - 2. CT "Pass Through" Agreement boilerplate
 - Between FHWA and CT
- 2. <u>Designated Subrecipient Agreement</u> (DSA)
 - Required for all CT "Pass-Through" projects
 - Specific for each project
 - CT DLA drafts
 - DLA develops DSA Template

Agreement Signature Authority

RECIPIENT AGREEMENT

Local Agency Projects:

Caltrans DLA Division Chief & FHWA CA-DIV Administrator

- <u>Mixed</u> Caltrans Local Agency Projects: Caltrans DLA Division Chief & FHWA CA-DIV Administrator
- **Caltrans Only** Projects: Caltrans District Director & FHWA CA-DIV Administrator

DESIGNATED SUBRECIPIENT AGREEMENT

Local Agency Projects:

Caltrans: District Director, DLA Division Chief, & Local Agency

Mixed Caltrans – Local Agency Projects: • Caltrans: District Director, DLA Division Chief, & Local Agency



Governing Board Approval to Sign Agreements

- LPAs must have Agency Governing Board Approval to sign the Agreement(s)
- LPAs should allow time in their schedule for this, if needed
 - Time for adding item to Board agenda and public notice (if required)
 - If time constrained, may consider requesting a special Board meeting

<u>Suggestion</u>: Consider also requesting Governing Board delegation authority to sign for project (saves time with Agreement revisions)

• Private entities must have authority to sign on behalf of organization

- Draft must be reviewed by:
 - CT Division of Local Assistance (DLA) [all "Pass Through" projects]
 - Federal Program Manager, for "Ready for Signature" approval
- Circulated for Signatures by CT HQ and DLAE
 - Designated Subrecipient Agreement (DSA) and Recipient Agreement (RA) may be circulated for signature separately or together
 - DLAE coordinates the Agreement signature process in the District to acquire the signature of the Local Agency, upon request
 - CT HQ leads and coordinates the Agreement signature process in HQ for DLA Division Chief approval and sends to FHWA CA-DIV for FHWA Agreement execution
 - Executed RA returned by FHWA CA-DIV

Recipient Agreement (RA)

Recipient Agreement (RA)

- Required for all competitive Discretionary Grant projects
- Allow time in schedule for the:
 - Preparation of RA
 - Confirmation from Federal Program Manager the RA is "Ready to Sign"
 - Process to acquire approval from Awardee Governing Board for signature
 - Time to go through the actual signature process





Designated Subrecipient Agreement (DSA)

- Draft must be reviewed by:
 - CT Division of Local Assistance (DLA)
- Once signed, it is circulated for signatures by CT HQ and DLAE
 - May be circulated with Recipient Agreement (RA) or separately
 - DLAE responsible for Agreement signature process in the District and acquiring the District Director's signature
 - CT HQ leads and coordinates the Agreement signature process in HQ for DLA Division Chief signature (Execution)
 - Executed DSA is returned with executed Recipient Agreement

Agreement Revisions

- Recipient Agreement must be revised and resigned when change to:
 - Project Scope
 - Project Schedule
 - Project Cost
 - Project Contacts
- Requirement specified in Project Recipient Agreement (and Designated Subrecipient Agreement, if applicable)
- Have only a required amount of time to report change
- Recipient Agreement must be revised to include change(s) and then re-signed
- CON projects typically have multiple Recipient Agreement revisions during project
- Non-compliance may jeopardize the Discretionary Grant funding

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Designated Subrecipient Agreement (DSA)

- Required for all CT "Pass Through" projects
- Allow time in schedule for:
 - Preparation of DSA template
 - Time to acquire Governing Board
 approval
 - Time for actual signature process
- DLAE's coordinate process in District to acquire District Director's signature





NEPA Approval



NEPA Approval

- NEPA approval required:
 - For projects with CON elements
 - Includes planning projects with temporary "proof of concept" CON elements
 - Prior to beginning final design and obligating RW
 - FHWA may waive NEPA requirement for planning only projects, if no CON elements
- Caltrans approves NEPA (e.g., NEPA lead) for most Discretionary Grant projects
 - Applies to both "Direct" Recipient and "Pass-Through" Projects
 - Applies to Local Public Agencies, Private Entity Awardees, Nonprofit Organizations, etc.
 - Awardee must work with Caltrans for NEPA approval [required in project Agreement(s)]
- Exceptions to CT NEPA lead: Tribal projects, SMART projects, projects awarded to Caltrans, and projects administered by another federal agency or division.





Who Approves the NEPA Document?

When project administered by:		NEPA document approved by:	
Local Public Agency (LPA)		Caltrans District Local Assistance	
Private Entity		Environmental Compliance Office (CT-HQ)	
Tribal Project	\rightarrow	Central Federal Lands Highway Dept.	
Nonprofit		Environmental Compliance Office (CT-HQ)	
Caltrans (Awarded to Caltrans)	\rightarrow	Caltrans Environmental Office	



Right of Way Certification



Right-of-Way Certification

Right-of-Way (RW) for:

"Direct" Recipient Projects

In General



- FHWA California Division (CA-DIV) does for RW Cert. for "Direct" Recipient Projects Exceptions
- Office of Secretary of Transportation (OST) does RW Cert. on SMART projects
- Central Federal Lands Highway Division (CFLHD) does RW Cert. for Tribe awarded projects (FHWA Office of Tribal Transportation (OTT) manages program)
- For transferred projects, RW cert. handled by the receiving Federal Agency

"Pass-Through" Projects

In General

- Caltrans DLAE (District Local Assistance Office) does RW Cert. for LPA and most other Agencies
- Exceptions
- Projects Awarded to Caltrans, Caltrans District RW Office does RW Cert.
- Projects Awarded to Tribes, Office of Tribal Transportation does RW Cert.

Who's Responsible for Certifying Right-of-Way?

Program(s)	Reimb. Method	Awardee	Program Admin.	RW Cert by:
All IIJA DGPs (Discretionary Grant Programs), except SMART & SS4A; also, not Tribe projects	"Pass-Through"	Local Public Agency (LPA)	OST or FHWA-HQ	Caltrans – District Local Assistance
	"Direct"	LPA, Private Entity*, Non-Profit Org.*	OST or FHWA-HQ	FHWA CA-DIV
All IIJA DGPs	"Direct"	Tribe*	OTT	CFLHD
SMART	"Direct"	All Awardees	OST	OST
SS4A	"Direct"	All Awardees	OST	FHWA CA-DIV
All IIJA DGPs	"Direct"	Caltrans (Awarded to Caltrans)	OST or FHWA-HQ	FHWA CA-DIV

*Project Awardee may choose to use Caltrans as a "Pass-Through" for the Federal funding, however, the Awardee must have an executed Master Agreement with Caltrans Division of Local Assistance (DLA).



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Roles & Responsibilities

Traditional Awardees (Local Public Agencies)' Using Calitrans as "Pass-Through"

NOTES:

- ¹ Includes Cities, Counties, MPOs, RTPAs, and other public entities that have a Master Agreement with DLA.
- ² Assure Caltrans DLAE and CT HQ are included (invited) in the Project Kickoff meeting. Attend post-Kickoff Meeting(s), if needed.
- ³ Perform step, if applicable.

- 1. Notify DLAE of Project Award
- 2. Attend National Kickoff Meeting
- 3. Attend Project Kickoff Meeting²
- 4. Program Project in FTIP
- 5. Complete Recipient Agreement
 - Obtain "Ready for Signature" approval from Federal Project Manager (via Caltrans)
- 6. Complete Designated Subrecipient Agreement
- 7. Get Governing Board approval to sign agreements³
- 8. Sign Agreements
- 9. Submit Request for Authorization (RFA)
- 10. Receive FHWA CA-DIV Agreement Execution & funding Obligation (stay connected with DLAE)
- 11. Begin reimbursable work on authorized phase
- 12. Submit progress and other reports, as required
- 13. Follow regular fed-aid process (NEPA, RW Cert. etc.)
- 14. Obligate all funds before obligation deadline³
- 15. Invoice all funds before expenditure deadline³
- 16. Complete and closeout project
- 17. Complete any post-project reporting requirements

Roles & Responsibilities

Traditional Awardees (Local Public Agencies)¹

as "Direct" Recipient

NOTES:

- ¹ Includes Cities, Counties, MPOs, RTPAs, and other public entities that have a Master Agreement with DLA.
- ² Assure Caltrans DLAE and CT HQ are included (invited) in the Project Kickoff meeting. Attend post-Kickoff Meeting(s), if needed.
- ³ Perform step, if applicable.

- 1. Notify DLAE of Project Award
- 2. Attend National Kickoff Meeting
- 3. Attend Project Kickoff Meeting²
- 4. Program Project in FTIP
- 5. Complete Recipient Agreement
 - Obtain "Ready for Signature" Approval from Federal Project Manager (via FHWA CA-DIV)
- 6. Get Governing Board approval to sign agreements³
- 7. Sign Recipient Agreement & send to FHWA
- 8. Request Authorization via FHWA DELPHI system
- 9. Receive FHWA CA-DIV Agreement Execution & funding Obligation (stay connected with FHWA)
- 10. Begin reimbursable work on authorized phase
- 11. Submit invoices via FHWA online DELPHI system
- 12. Submit progress and other reports, as required
- 13. Follow FHWA prescribed fed-aid process via FHWA
- 14. Obligate all funds before obligation deadline³
- 15. Invoice all funds before expenditure deadline³
- 16. Complete and closeout project
- 17. Complete any post-project reporting requirements

Roles & Responsibilities

Non-Traditional Awardees (Private, Non-Profit, etc.)¹^{6.} 7.

as "Direct" Recipient

NOTES:

- ¹ Includes private entities, non-profit organizations, universities, and other public or non-public entities with no Master Agreement with DLA.
- ² Assure Caltrans DLAE and CT HQ are included (invited) in the Project Kickoff meeting. Attend post-Kickoff Meeting(s), if needed.

³ Perform step, if applicable.

- 1. Notify DLAE of Project Award
- 2. Attend National Kickoff Meeting
- 3. Attend Project Kickoff Meeting²
- 4. Program Project in FTIP
- 5. Complete Recipient Agreement
 - Obtain "Ready for Signature" Approval from Federal Project Manager (via FHWA CA-DIV)
 - Sign Recipient Agreement & send to FHWA
 - Request Authorization via FHWA DELPHI system
- 8. Receive FHWA CA-DIV Agreement Execution & funding Obligation (stay connected with FHWA)
- 9. Begin reimbursable work on authorized phase
- 10. Submit invoices via FHWA online DELPHI system
- 11. Submit progress and other reports, as required
- 12. Work with lead Agency for NEPA Approval
- 13. Work with FHWA or lead Federal Agency for RW Cert
- 14. Follow FHWA prescribed fed-aid process via FHWA
- 15. Obligate all funds before obligation deadline
- 16. Invoice all funds before expenditure deadline
- 17. Complete and closeout project
- 18. Complete any post-project reporting requirements

Non-Traditional Awardees and Caltrans "Pass-Through" for Federal Funding

Non-Traditional Awardees may select one of two reimbursement methods:

- 1. To be "Direct" Recipient, working directly with FHWA, or
- 2. To use Caltrans as "Pass Through" for federal funding

Problems with "Pass Through" for Non-Traditional Awardees

- Adds layer of oversight to project
- Requires Awardee to enter Master Agreement with Caltrans (min. 1 year)
- Possible legal issues to resolve
- Would a special Designated Subrecipient Agreement (min. 1 year)

Recommended non-traditional awardees select FHWA "Direct" Recipient method of reimbursement, if possible.

Roles & Responsibilities

Caltrans (Caltrans as Awardee)¹

as "Direct" Recipient

NOTES:

¹ For projects that are awarded to Caltrans and Caltrans will be administering the project. All Caltrans awarded projects are "Direct" Recipient Projects.

² Assure Caltrans OFR and DLA HQ are included (invited) in the Project Kickoff meeting. Attend post-Kickoff Meeting(s), if needed.
³ If applicable.

- 1. Notify OFR of Project Award
- 2. Attend National Kickoff Meeting
- 3. Attend Project Kickoff Meeting²
- 4. Program Project in FTIP
- 5. Complete Recipient Agreement
 - Obtain "Ready for Signature" Approval from Federal Project Manager (via FHWA CA-DIV)
- 6. Sign Recipient Agreement & send to FHWA
- 7. Request funding Authorization via OFR
- 8. Receive FHWA CA-DIV Agreement Execution & funding Obligation (stay connected with FHWA)
- 9. Begin reimbursable work on authorized phase
- 10. Submit invoices via Caltrans process
- 11. Submit progress and other reports, as required
- 12. Follow FHWA & CT Capital fed-aid process
- 13. Obligate all funds before obligation deadline³
- 14. Invoice all funds before expenditure deadline³
- 15. Complete and closeout project
- 16. Complete any post-project reporting requirements

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Roles & Responsibilities

DLAEs & Staff (Delegated Oversight) Projects using Caltrans as "Pass-Through"

NOTES:

Assure CT HQ and FHWA CA-DIV are invited to Project Kickoff meeting.

- 1. Attend National Kickoff Meeting
- 2. Attend Project Kickoff Meeting
- 3. Assist Awardee to track and meet project obligation and expenditure deadlines, as applicable.
- 4. Assist HQ Program Coordinator with local agency completion of Agreements, RA & DSA, if needed
- 5. Secure District Directors Signature on DSA, using District process
- 6. Send DSA to HQ Program Coordinator, once DSA is signed by District Director (and Awardee)
- 7. Process Awardee Request for Authorization (RFA)
- 8. Transmit RFA to Caltrans OPMO (HQ) via FADS
- 9. Transmit FHWA CA-DIV Agreement Execution & funding Authorization (E-76) to Awardee
- 10. Guide Awardee through regular Fed-Aid Process, per the LAPM and other DLA guidance documents.
- 11. Approve NEPA, as applicable
- 12. Approve RW Certification, as Applicable
- 13. Assist with Recipient Agreement revisions, if needed
- 14. Report to HQ Program Coordinator and FHWA any changes to RA District contact(s)
- 15. Upon completion, process Awardee project Final Report of Expenditures and Final Invoice

Roles & Responsibilities

DLAEs & Staff (Delegated Oversight) of "Direct" Recipients

NOTES:

 ¹ Assure CT HQ and FHWA CA-DIV are invited to Project Kickoff meeting.
 ² Perform step, if applicable.

- 1. Attend National Kickoff Meeting
- 2. Attend Project Kickoff Meeting¹
- 3. Provide Awardee the District contact for NEPA approval²
- 4. Approve NEPA²
- 5. Document NEPA approval per latest DLA-OFP-FIPB (HQ) program guidance²
 - a) Send HQ Program Coordinator the following:
 - Project name
 - Name of Awardee
 - Grant funding program name or acronym
 - NEPA approval date
- 6. Archive project folder upon project Final Invoice²



CALTRANS | DIVISION OF LOCAL ASSISTANCE

Executive Order 14154: Unleashing American Energy

IMPACTS ON IIJA DISCRETIONARY GRANT PROGRAMS

- 90-Day Federal Pause
- Policy Review
- Impacts IIJA competitive Discretionary Grant programs
- Resulting in delays to:
 - Project Agreements
 - Obligations



EO 14154 and Federal Grant Funding

• E.O. 14154 "pause" applies to IIJA funded Federal Competitive programs

During "pause" not processing:

- new or revised project agreements
- project obligations
- No Kickoff Meetings

Exception:

CPFCDS Program (allowing obligations)
Note:

Projects with already obligated funds may invoice federal funds for reimbursable work

Federal Formula Programs

"Business as usual"



Note: This information may change, based on the issuance of additional EOs or action by the U.S. Legislature.
EO 14154 and Federal Grant Funding

- Pause is 90 days (~April 20th; but may be extended)
- Applies to IIJA Discretionary Grant Programs (DGP)
 - All competitive IIJA DGPs
 - Includes PROTECT competitive funds
 - Includes NEVI funds
- Awardees advised to continue to move forward with projects
 - "Pause" not a reason for delay
 - No time extensions allowed for obligation deadline
 - FHWA advises LPAs to keep projects progressing



Note: This information may change, based on the issuance of additional EOs or action by the U.S. Legislature.

Not Impacted by pause



- The "Pause" does not apply to:
 - Non-IIJA Discretionary Competitive programs
 - Non-IIJA Federal Formula programs
 - IIJA Federal Formula programs
 - Emergency Relief (ER) program
 - LTCAP (i.e., PROTECT formula funds)
 - Carbon Reduction Program (CRP, formula funds)
 - Community Project Funding / Congressionally Directed Spending (CPFCDS) program
 - FHWA FTIP/FSTIP acceptance
 - Programming of projects in FTIP/FSTIP

Note: This information may change, based on the issuance of additional EOs or action by the U.S. Legislature.

Random Notes



Recipient Agreement Latest News

Discretionary Grant Programs

New Recipient Agreement template

- Combines "Direct" and "Pass-Through" into a single template
- Rolled out on ATTAIN program (first program to use combined template)
- Will require adjustments to the Caltrans Designated Subrecipient Agreement

Executive Order 14154

- Projects without an approved RA will have to wait for new template
- Unclear if already approved Agreements need to be updated (TBD)



NOTES DGPs

- Need written confirmation from Awardee for:
 - Direct Recipient or Caltrans "Pass through"
- Make sure project is programmed in FTIP
- For NEPA document and R/W Certifications to be approved by Caltrans (DLA):
 - DLAE and District Local Assistance Office will provide the ENV & RW Staff contacts
- Planning to post Project Agreement Status online (check the DLA Grant web pages)
 - Focus on Caltrans "Pass Through" Projects (initial emphasis)
 - May later include Direct Recipient projects and projects awarded to Caltrans (maybe later)
- Be very careful, all projects require competitive bid
 - Exceptions must be documented



Executive Order 14154: Unleashing American Energy

Impacted Programs









Internet Webpages



DLA Webpage

Division of Local Assistance

https://dot.ca.gov/programs/ local-assistance

- DLAE Contacts
- Federal Programs webpages
- LAPM, Office Bulletins, etc.
- ...and more!



Grants Webpage

Grants.gov https://www.grants.gov/

- Notice of Funding Opportunities (NOFOs)
 - Application Submittal Info.
 - Past and Present
 - Federal website link to Program
 - Federal Contact Info.
 - Terms & Conditions
 - Exhibits



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Informative status

Reminder: Federal agencies do not publish personal financial assistance opportunities on Grants.gov. Federal funding opportunities published on Grants.gov are for organizations and entities supporting the development and management of government-funded programs and projects. For more information about personal financial assistance benefits, please visit USA.gov.

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Search Grants	Get Started	Grant Policies	Grant-Making Agencies	Prevent Scams	Community Blog	Twitter Feed	YouTube Videos	<u>User Guide</u>	Support Center

Federal Program Webpages

U.S. DOT Grants Webpage

https://www.transportation.gov/grants



Links to program web pages, including:

- Strengthening Mobility and Revolutionizing
 Transportation (SMART) Grants Program
- Reconnecting Communities Pilot (RCP) Program
- Rebuilding American Infrastructure with Sustainability and Equity (**RAISE**) Grants
- Multimodal Project Discretionary Grant Opportunity (MPDG)
 - MEGA
 - RSTG (a.k.a. Rural)
 - INFRA

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Program

Links



Spring 2025

Bus Programs: Buses and Bus

Eacilities Competitive Grants: Low

Federal Transit

Administrati

f X 🗇 in TECHNICAL ASSISTANCE GUIDE Learn more about the State directed technical assistance View Technical Guide IJA Grants

An official website of the United States government Here's how you know

Infrastructure Investment and Jobs Act (U.S. DOT Grant Programs) https://www.transportation.gov/infrastructureinvestment-and-jobs-act

U.S. DOT Webpages

Links to program web pages, including:

- Advanced Transportation Technologies
 & Innovative Mobility Bridge Investment Program
- Carbon Reduction Program
- Charging and Fueling Infrastructure Grants
- Congestion Relief Program
- National Culvert Removal, Replacement, & Restoration Grant
- National Electric Vehicle Infrastructure Formula Program
- Nationally Significant Federal Lands and Tribal Projects
- Nationally Significant Freight & Highway Projects (INFRA)
- Promoting Resilient Operations for Transformative, Efficient, and Cost-Saving Transportation (PROTECT) -DiscretionarySafe Streets and Roads for All
- Tribal Transportation Program Tribal High Priority Projects Set-aside
- Wildlife Crossings Pilot Program

U.S. Department of	Transportation
nfrastructure Investment and obs Act ibrary of Select Programs	Infrastructu Programs
ey Notices of Funding Ipportunity	The following list is five-ye Act for the Department of
nfrastructure Investment and obs Act Grant Programs	appropriation. The <u>BIL Launchpad</u> _{ef} pro
JA-Funded Infrastructure rojects	successful awards, and es process and access the ne
OT Discretionary Grants ashboard	To view additional inform recipient, or program nam additional information an
OT Navigator dditional Resources	Prog
	Accelerated Implementa Advanced Digital Constr (Set-aside)
	Accelerated Implementa

ure Investment and Jobs Act Grant

ear totals for all grant programs authorized under the Infrastructure Investment and Jobs Transportation. This does not include programs that were authorized but are subject to

vides customized information on available funding, interactive technical support, data or ssential resources. With this platform, localities can accelerate their grant application ecessary tools to enhance their transportation infrastructure

ation and quickly sort programs funded under the law by fields like amount, eligible ne, visit <u>Build.gov</u>. Applicants for funding should consult program-specific guidance. For nd to apply, visit Grants.gov.

Program Name	<u>Category</u>	<u>Five-year Funding</u> <u>Amount</u>
Accelerated Implementation and Deployment of Advanced Digital Construction Management Systems (Set-aside)	Roads, Bridges and Major Projects	\$100,000,000
Accelerated Implementation and Deployment of Pavement Technologies (Set-aside)	Roads, Bridges and Major Projects	\$60,000,000
Advanced Transportation Technologies & Innovative Mobility	Roads, Bridges and Major Projects	\$300,000,000

Infrastructure Investment and Jobs Act **Grant Programs**

https://www.transportation.gov/infrastruct

ure-investment-and-jobs-

act/infrastructure-investment-and-jobs-

act-grant-programs

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Contact Information





Contacts - DLAEs

CT District	DLAE	Phone	Email
1	Russell Hansen	(707) 684-6991	russell.hansen@dot.ca.gov
2	Nicole Fortner	(530) 225-3074	nicole.fortner@dot.ca.gov
3	Bomasur Banzon	(530) 682-2984	bomasur.banzon@dot.ca.gov
4	Ephrem Meharena	(510) 960-0806	ephrem.meharena@dot.ca.gov
5	Reinie Jones	(805) 542-4686	reinie.jones@dot.ca.gov
6	Colleen Vidinoff	(559) 981-7312	colleen.vidinoff@dot.ca.gov
7	Steve Novotny	(213) 792-3130	steve.novotny@dot.ca.gov
8	Albert Vergel de Dios	(909) 806-3944	albert.vergel.de.dios@dot.ca.gov
9	Mark Heckman	(760) 874-8325	mark.heckman@dot.ca.gov
10	Parminder Singh	(209) 948-3689	parminder.singh@dot.ca.gov
11	Bryan Ott	(619) 985-5440	bryan.ott@dot.ca.gov
12	Jonathan Lawhead	(657) 328-6285	jonathan.lawhead@dot.ca.gov

https://dot.ca.gov/programs/local-assistance/other-important-issues/local-assistance-contacts

Caltrans Districts

https://cwwp2.dot.ca.gov/document ation/district-map-county-chart.htm

California's counties by name, abbreviation and district					
County Name	County Abbreviation	District	County Name	County Abbreviation	District
Alameda	ALA	4	Orange	ORA	12
Alpine	ALP	10	Placer	PLA	3
Amador	АМА	10	Plumas	PLU	2
Butte	BUT	3	Riverside	RIV	8
Calaveras	CAL	10	Sacramento	SAC	3
Contra Costa	СС	4	Santa Barbara	SB	5
Colusa	COL	3	San Bernardino	SBD	8
Del Norte	DN	1	San Benito	SBT	5
El Dorado	ED	3	Santa Clara	SCL	4
Fresno	FRE	6	Santa Cruz	SCR	5
Glenn	GLE	3	San Diego	SD	11
Humboldt	ним	1	San Francisco	SF	4
Imperial	IMP	11	Shasta	SHA	2
Inyo	INY	9	Sierra	SIE	3
Kern	KER	6	Siskiyou	SIS	2
Kings	KIN	6	San Joaquin	SJ	10
Los Angeles	LA	7	San Luis Obispo	SLO	5
Lake	LAK	1	San Mateo	SM	4
Lassen	LAS	2	Solano	SOL	4
Madera	MAD	6	Sonoma	SON	4
Mendocino	MEN	1	Stanislaus	STA	10
Merced	MER	10	Sutter	SUT	3
Mono	MNO	9	Tehama	TEH	2
Modoc	MOD	2	Trinity	TRI	2
Monterey	MON	5	Tulare	TUL	6
Mariposa	MPA	10	Tuolumne	TUO	10
Marin	MRN	4	Ventura	VEN	7
Napa	NAP	4	Yolo	YOL	3
Nevada	NEV	3	Yuba	YUB	3



Federal Infrastructure Programs Branch (FIPB) Contacts – Discretionary Grant Programs

Name	Programs	Phone	Email
Bob Baca	Discretionary Grants Program Manager & FLAP Program Manager	279-599-3199	bob.baca@dot.ca.gov
Bill Huang	TIGER, BUILD, RAISE (older), & INFRA (older)	279-599-4033	bill.huang@dot.ca.gov
Anmol Mishra	Congestion Relief (CR) , Tribal HBP, SS4A, & RCP (Pilot), & NAE	279-599-4996	anmol.mishra@dot.ca.gov
Dalton LaBoskey	PROTECT (competitive), NSBP, NSFLTP, MEGA, Culvert AOP, & CRRSAA	279-444-7282	dalton.laboskey@dot.ca.gov
Daniel Karavan	FBP, BIP, WCPP, RSTG (a.k.a. Rural), & SMART- CT HQ web page only	279-599-2037	daniel.karavan@dot.ca.gov
Jasdeep Sandhu	CPFCDS, FBDP, ITS, Earmarks (Pre-IIJA), RAISE (new), & INFRA (new)	279-599-3487	jasdeep.sandhu@dot.ca.gov
Seng Lo	Discretionary Grants Programs (General), ATTAIN, ATIIP, PPPP, RPP, SIRC, TTPSF, CARSI, FASTLANE, & RTEPF	916-516-4589	dalton.laboskey@dot.ca.gov

Federal Infrastructure Programs Branch (FIPB) Contacts – Emergency Relief Program

Name	Programs	Phone	Email
Bob Baca	Branch Chief	279-599-3199	bob.baca@dot.ca.gov
Bill Huang	ER Program Manager, HIP, FERP	279-599-4033	bill.huang@dot.ca.gov
Anmol Mishra	ER Program Coordinator (Dist.5,6,10), CRP Support (Apportionment & Expend. Calcs.)	279-599-4996	anmol.mishra@dot.ca.gov
Dalton LaBoskey	ER Program Coordinator (Dist.4,8,9), CRRSAA, ER Web Page	279-444-7282	dalton.laboskey@dot.ca.gov
Daniel Karavan	ER Program Coordinator (Dist.1,2,3) & the 23 CFR 667 Resiliency Requirement	279-599-2037	daniel.karavan@dot.ca.gov
Jasdeep Sandhu	ER Program Coordinator (Dist.7,11,12) & the Annual ER Time Extension Requests	279-599-3487	jasdeep.sandhu@dot.ca.gov
Seng Lo	ER Program Support, CRP Support (Apportionment & Expend. Calcs.)	916-516-4589	dalton.laboskey@dot.ca.gov

Contacts – Procedure

Questions / Submittals

• Generally, follow the Chain of Command (CoC)

Exceptions may include:

- Project RA & DSA Questions
 - For Qs, Awardee may contact the HQ Program Coordinator, with a cc: to the DLAE
- RA E-Signature Process
 - Managed by HQ Program Coordinator
 - However, the DSA follows the CoC
 - DLAE secures the District Directors signature



Questions?







Program Specific Contacts and Information



SMART Program

- Program managed by Office of Secretary of Transportation (OST)
- For SMART program, OST:
 - Projects are all "Direct" Recipient
 - OST is lead for the NEPA approval and RW Certification
 - Awardee uses DELPHI for obligation & invoicing
 - Caltrans and FHWA are entirely bypassed (no involvement)
- Awardees must contact OST directly for answers to any SMART program or project related questions.
- Answers to Frequently Asked Questions posted at: <u>http://www.transportation.gov/grants/smart/smart-</u> <u>frequently-asked-questions</u>



Madeline Zhu, Policy Advisor SMART Grant Program Office of the Assistant Secretary for Research and Technology U.S. Department of Transportation Email: <u>smart@dot.gov</u> Phone: 800-853-1351 (office line) Alt. Phone: 202-366-3282 Bus. Hours: 9:00am-5:00pm ET, M-F

SS4A Program

- Program managed by Office of Secretary of Transportation (OST)
- For SS4A program, OST:
 - Projects are all "Direct" Recipient
 - Caltrans is lead for the NEPA approval
 - FHWA CA-DIV is lead for RW Certification
 - Awardee uses DELPHI for obligation & invoicing
- Projects administered under 2 CFR 200
 - Projects entirely funded through 2 CFR 200
 - If mixed 2 CFR 200 and Title 23 funds, expect RA approval delays and extra requirements
- Answers to Frequently Asked Questions posted at: <u>http://www.transportation.gov/grants/ss4a/faqs</u>



Paul Teicher, Transportation Policy Analyst SS4A Grant Program Office of the Assistant Secretary for Research and Technology U.S. Department of Transportation Email: <u>ss4a@dot</u> Phone: 800-853-1351 (gen. office) Phone: 202-366-4114

Tribe Awarded Projects

Tribal Grant Programs

- Tribal Transportation Program Safety Fund (TTPSF)
- Nationally Significant Federal Lands and Tribal Projects (NSFLTP) Program
- Tribal High Priority Projects (Tribal HPP) Program
- And projects awarded to Tribes from other Discretionary Grant programs
- Oversight administered by Office of Tribal Transportation
- For our region NEPA lead is CFLHD
- Contacts located on web at: <u>https://highways.dot.gov/federal-lands/tribal/contact-info</u>
- Office of Tribal Transportation Mailing List Subscription (gives program notices and information):

<u>https://public.govdelivery.com/accounts/USDOTFHWA/subscriber/new?topic_id=USDOT</u> <u>FHWA_83</u>



NEVI, CFI, EVC-RAA Programs

- Alternative Fuel Infrastructure Programs
- Programs are managed by Jimmy O'Dea from the Caltrans Director's Office of Sustainability
 - NEVI program is administered by California Energy Commission (CEC)
- Contact Jimmy for more information on these programs, or if you have questions.



Jimmy O'Dea, Assistant Deputy Director, Transportation Electrification Program Manager (NEVI, CFI, EVC-RAA) Office of Sustainability Director's Office, Caltrans Email: Jimmy.ODea@dot.ca.gov Phone: (916) 708-3002

Projects Awarded to Caltrans

- Invite to Project Kickoff Meeting
 - DLA-OFP Program Coordinator
 - Caltrans Office of Federal Resources
- Notify Office of Federal Resources of Award
 - Ask about:
 - project agreement requirements
 - FTIP requirements
 - Share:
 - Project details (scope, schedule, cost, and contacts information)



Fardad Falakfarsa, Chief Office of Federal Resources Division of Budgets, Caltrans HQ Email: Fardad.Falakfarsa@dot.ca.gov Phone: (916) 654-7287 (office line)

Thank you for your time.

