

# Single Point of Contact (SPOC) Regional Workshop



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# 2019 SPOC Workshop

- **Today's Topics**
  - **Who's Who?**
  - **SPOC Role & Responsibilities**
  - **Caltrans Local Assistance**
  - **Funding Sources & Programs**
  - **Federal, State, Regional Delivery Policies**
  - **Senate Bill 1 Overview**
  - **Best Practices by Phase in Project Delivery**

# Who's Who?



Alameda County Transportation Commission

# Metropolitan Transportation Commission

- **The Metropolitan Transportation Commission (MTC) is the government agency responsible for regional transportation planning and financing in the San Francisco Bay Area.**



**METROPOLITAN  
TRANSPORTATION  
COMMISSION**

# Bay Area Transportation Agencies – What do they do?

- **Each County in the Region has a County Transportation Agency (CTA).**
- **Each CTA is responsible for development of a Congestion Management Program (CMP) or Countywide Transportation Plan (CTP)**
- **CTAs makes programming decisions for certain state and federal transportation programs and funds passed through the region (MTC)**



# Caltrans District 4 & Headquarters

- **Caltrans owns and manages the state's highway system, which includes the California Freeway and Expressway System, and is involved with public transportation systems throughout the state.**



# California Transportation Commission

- **The Commission is responsible for programming and allocating funds for the construction of highway, passenger rail, transit and active transportation improvements throughout California.**
- **The Commission also advises and assists the Secretary of the California State Transportation Agency and the Legislature in formulating and evaluating state policies and plans for California's transportation programs.**



California  
Transportation  
Commission

# What's a SPOC?

- **MTC requires every Local Public Agency (LPA) receiving funds administered by the Federal Highway Administration (FHWA) identify and maintain a staff position that serves as the “single point of contact” for the implementation of all FHWA-administered funds within that agency.**
- **The person in this position:**
  - **Must have sufficient knowledge and expertise in the federal-aid delivery process**
  - **Has the ability to work closely with FHWA, Caltrans, MTC and the respective CTA on all issues related to FHWA-funded projects**



# Requirements of a SPOC

Outlined in MTC's Resolutions 3606 and 4202

- Each agency must maintain a SPOC for all FHWA-administered projects
- Maintain a project list to keep track of major milestones
- Attend the federal-aid series held by Caltrans Local Assistance and SPOC trainings held by MTC
- Maintain staff resources necessary to deliver federal-aid projects
- Ensure the agency has the financial system in place that meets state and federal invoicing and auditing requirements
- Notify MTC and CTA of change in SPOC

# Single Point of Contact Duties

- **Serve as main contact for all project-related matters**
- **Maintain knowledge of federal delivery rules and MTC Resolution 3606**
- **Coordinate and resolve issues**
- **Ensure on-time and on-budget delivery of projects**
- **Report on project status via Annual Obligation Plan and regular updates to MTC and CTA**
- **Attend trainings/workshops/working groups**
- **Complete SPOC checklist**

# Single Point of Contact Checklist

- Download here:  
<https://mtc.ca.gov/our-work/fund-invest/federal-funding/project-delivery>

<b>Single Point of Contact (SPOC) Checklist</b>	
For agencies accessing federal transportation funds through the FHWA federal-aid process To be completed and renewed annually or whenever a new Single Point of Contact is assigned Email completed form to your CMA and MTC at <a href="mailto:SPOC-FES@bayareametro.gov">SPOC-FES@bayareametro.gov</a>	
<b>Contact Information</b>	
Agency:	
SPOC Name:	SPOC Email:
SPOC Title:	SPOC Phone:
CMA Representative:	Date:
<b>Local Public Agency Certification Review</b>	
SPOC acknowledges awareness of the following items adopted by the agency governing body in the Resolution of Local Support:	
<input type="checkbox"/> Agency will comply with the provisions and requirements of the Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised)	
<input type="checkbox"/> Agency has, and will retain the expertise, knowledge and resources necessary to deliver the FHWA-funded transportation projects.	
<input type="checkbox"/> Agency has assigned, and will maintain a SPOC for all FHWA and CTC-funded transportation projects to coordinate within and outside the agency	
<input type="checkbox"/> Agency has reviewed it's FHWA-funded projects and has adequate staffing resources to deliver and complete the PROIEC(Ts) within the schedule	
<b>Acknowledgement</b>	
SPOC acknowledges awareness of the following Agency requirements from the Regional Project-Funding Delivery Policy, MTC Resolution 3606:	
<input type="checkbox"/> To be 'regionally qualified' for regional discretionary funds, and for programming federal funds in the federal TIP, the local agency must comply with the following, in addition to any other regional, state and federal requirements:	
<ul style="list-style-type: none"> <li>● Assign and maintain a single point of contact for all FHWA-administered projects implemented by the agency.</li> <li>● Maintain a project tracking status of major delivery milestones for all programmed and active FHWA-administered projects implemented by the agency</li> <li>● Maintain all active FHWA-administered projects in good standing with respect to regional, state and federal delivery deadlines, and federal-aid requirements</li> <li>● Maintain the expertise and staff resources necessary to deliver federal-aid projects within the funding timeframe, and meet all federal-aid project requirements</li> <li>● Has demonstrated a good delivery record and delivery practices with past and current projects.</li> <li>● Have staff and/or consultant(s) on board who have delivered FHWA-administered projects within the past five years and/or attended the federal-aid process training class held by Caltrans Local Assistance within the past 5 years, and have the knowledge and expertise to deliver federal-aid projects.</li> </ul>	
<b>SPOC Certification</b>	
SPOC self-certifies the following:	
<input type="checkbox"/> SPOC has sufficient knowledge to navigate, or assist others to navigate the FHWA federal-aid process	
<input type="checkbox"/> SPOC has basic understanding of relationship between FMS/TIP/RTIP	
<input type="checkbox"/> SPOC has a Fund Management System (FMS) account	
<input type="checkbox"/> SPOC has read and understands the provisions of the Regional Project-Funding Delivery Policy, MTC Resolution 3606	
<input type="checkbox"/> SPOC will maintain and keep up to date, a spreadsheet of delivery milestones for all active FHWA-funded projects administered by the agency	
<input type="checkbox"/> SPOC will communicate FHWA and CTC-funded project delivery status, through construction award, to CMA contact at least on a quarterly basis	
<input type="checkbox"/> SPOC has ensured that current active listings in the federal TIP as of this date are correct with regards to cost, scope and schedule	
<input type="checkbox"/> SPOC will participate in a min 1/4 Partnership Working Group (LSRWG/PDWG/JoinTIPWG) meetings on an annual basis, if agency has unauthorized projects.	
<input type="checkbox"/> SPOC will maintain the Unanticipated Delays Worksheet (Coming Soon).	
<input type="checkbox"/> SPOC is aware of the November 1 RFA submittal deadline and January 31 federal obligation of funds (E-76/Authorization) delivery deadline.	
<input type="checkbox"/> SPOC has attended training or review on the SPOC training materials	
<input type="checkbox"/> SPOC has confirmed that the respective Project Manager(s) are aware of delivery milestone deadlines for FHWA-funded and/or CTC-funded projects scheduled for delivery (obligation/allocation of funds) within the current and following federal fiscal years.	
<b>I certify to the best of my knowledge the above is true:</b>	
Signature, Agency Single Point of Contact (SPOC)	Date
Signature, Agency Department Director	Date
<small>MTC Resolution 3606 and SPOC Information is located at: <a href="https://mtc.ca.gov/our-work/fund-invest/federal-funding/project-delivery">https://mtc.ca.gov/our-work/fund-invest/federal-funding/project-delivery</a></small>	

# End Part 1

# MTC Programming Overview

- **Outline**
  - **Funding Sources & Programs**
  - **Programming Requirements**
    - **Federal, State, and Regional Delivery Policies**
  - **Project Delivery Expectations**
  - **MTC's Fund Management System & the TIP**

# Funding Sources & Programs

# Funding Sources & Programs

## Federal

CMAQ

OBAG 1

OBAG 2

PCA

STP

## State

ATP

HBP

HSIP

SB1

- LPP

- LSR

- SCCP

- TCEP

STIP

## Regional

RM2

RM3

SR2T

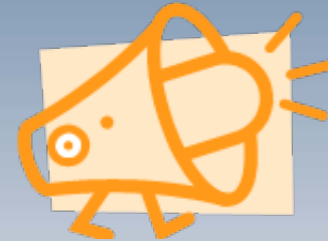
# MTC Program Guidelines & Policies

- **Typical requirements from the MTC program resolutions includes:**
  - **Complete Streets Checklist & HCD requirements**
  - **Maintaining a Single Point of Contact**
  - **Spreading program funds over several fiscal years.**
  - **Specifying eligible applicants**
  - **Specifying eligible project types**
  - **Specifying amount of funds in Priority Development Areas (PDAs)**



# Project Selection

- MTC and CTAs develop a project selection process in their counties using the guidelines developed by the Bay Area Partnership:
  - Call For Projects Announcement
  - Call For Projects Application
  - Project Selection Criteria
  - Project Selection Panels
  - Board approval for project funding
  - Public Outreach



# Programming Requirements

# Programming Requirements

- **CTAs review and approve programming to ensure compliance with requirements such as:**
  - **Regional Transportation Plan Consistency**
  - **Federal Program Requirements**
  - **Regional Delivery Guidelines requirements (attached resolution of local support, complete FMS entries, compliance with HCD requirements)**
  - **Balancing the funding drawdown between program years**
  - **Checking for other regional requirements (Complete Streets Checklist, certifications, PDA locations, etc.)**

# Project Delivery Expectations

- **Once projects have been programmed in the TIP, CTAs help local agencies deliver their projects.**
- **Since most projects use Federal-Aid, CTAs keep up with issues that affect project sponsors and assist where they can.**
- **CTAs also monitor for delivery (per MTC Resolution No. 3606) and assist sponsors with delivery in order to stay off the Caltrans “inactive list”**

# Regional Delivery Policy, “3606”

- **MTC Resolution No. 3606**
  - [http://mtc.ca.gov/sites/default/files/MTC\\_Res\\_3606.pdf](http://mtc.ca.gov/sites/default/files/MTC_Res_3606.pdf)
- **Bay Area’s Delivery Policy for federal and state funds**
- **Jointly developed by local agencies, CTAs, and MTC**
- **Goal: Ensure most benefit to Bay Area projects**
  - Delivery Deadlines to ensure money is not lost/ kept on projects
  - Ability to receive funds from other counties and other states
  - Protection from federal rescissions
- **Importance of YOU: the SPOC**

# Project Delivery Expectations & Federal Requirements

# Timely Use of Funds

## Key deadlines in year of TIP programming:

- Obligation (E-76 or FTA Transfer) deadline: **January 31**
- Obligation open for funds in any year of TIP; first-come, first-served: **February 1**
- Construction funds ***must be awarded*** within 6 months of obligation
- **Project must invoice every 6 months**
- **TIP Revisions** (1 month – 2 months, depending on change needed)

# Inactive Obligations

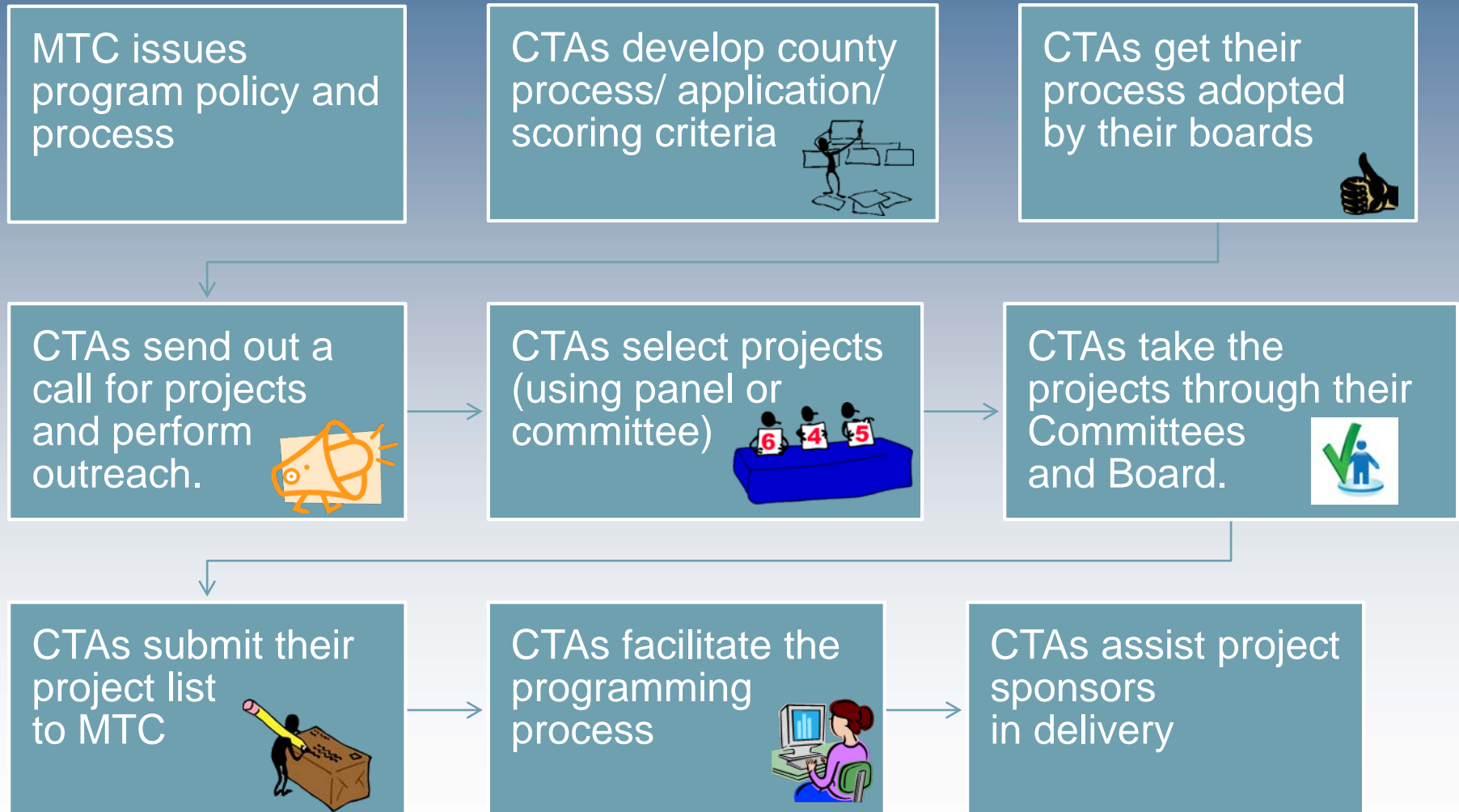
- **Federal rules mandate regular invoicing and payment at least once every 12 months**
- **Inactive obligations are subject to de-obligation by FHWA**
- **MTC Resolution 3606 – Invoice every 6 months and receive a reimbursement every 9 months**
- **Subject to restrictions on future regional discretionary (STP/CMAQ) programming of federal funds**
- **Less than 2% of obligated funds**
- **<https://dot.ca.gov/programs/local-assistance/projects/inactive-projects>**



# Timely Obligations

- FHWA conducted a program review to determine if sponsors are obligating funds too early
- California (40%) has the lowest Timely Obligations in the nation (82%)
- FHWA determined many projects don't invoice within the first 9 months after obligation
- MTC proposes changing 3606 to emphasize timely obligations to ensure regular invoicing
- Subject to STP/CMAQ project removal from Annual Obligation Plan
- Project sponsors must provide award dates

# Typical Program Cycle



# More information & Contacts

## ■ MTC Fund Management Team

- **State:** Kenneth Kao, 415-778-6768 [kkao@bayareametro.gov](mailto:kkao@bayareametro.gov)  
Karl Anderson, 415-778-6645 [kanderson@bayareametro.gov](mailto:kanderson@bayareametro.gov)
- **Federal:** Mallory Atkinson, 415-778-6793 [matkinson@bayareametro.gov](mailto:matkinson@bayareametro.gov)
- **Delivery Monitoring:** John Saelee, 415-778-6711  
[jsaelee@bayareametro.gov](mailto:jsaelee@bayareametro.gov)
- **TIP:** Adam Crenshaw, 415-778-6794 [acrenshaw@bayareametro.gov](mailto:acrenshaw@bayareametro.gov)
- **Overall:** Ross McKeown, 415-778-5242 [rmckeown@bayareametro.gov](mailto:rmckeown@bayareametro.gov)

# CTA Information & Contacts

CTA	Contacts
<b>Alameda (ACTC)</b>	Jacki Taylor: (510) 208-7413 / <a href="mailto:jtaylor@alamedactc.org">jtaylor@alamedactc.org</a> Vivek Bhat: (510) 208-7430 / <a href="mailto:vbhat@alamedactc.org">vbhat@alamedactc.org</a>
<b>Contra Costa (CCTA)</b>	Hisham Noeimi: (925) 256-4731 / <a href="mailto:hnoeimi@ccta.net">hnoeimi@ccta.net</a> Stephanie Hu: (925) 256-4740 / <a href="mailto:stephanieh@ccta.net">stephanieh@ccta.net</a>
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<b>San Francisco (SFCTA)</b>	Amber Crabbe: (415) 522-4801 / <a href="mailto:amber.crabbe@sfcta.org">amber.crabbe@sfcta.org</a> Aprile Smith: (415) 522-4837 / <a href="mailto:aprile.smith@sfcta.org">aprile.smith@sfcta.org</a>
<b>San Mateo (C/CAG)</b>	Jean Higaki: (650) 599-1462 / <a href="mailto:jhigaki@smcgov.org">jhigaki@smcgov.org</a> Jeff Lacap: (650) 599-1455 / <a href="mailto:jlacap@smcgov.org">jlacap@smcgov.org</a>
<b>Santa Clara (VTA)</b>	Amin Surani: (408) 546.7989 / <a href="mailto:amin.surani@vta.org">amin.surani@vta.org</a>
<b>Solano (STA)</b>	Anthony Adams: (707) 399-3215 / <a href="mailto:aadams@sta.ca.gov">aadams@sta.ca.gov</a>
<b>Sonoma (SCTA)</b>	Seana Gause: (707) 565-5372 / <a href="mailto:seana.gause@scta.ca.gov">seana.gause@scta.ca.gov</a>

# Questions?



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# Federal Programming and the TIP

**Adam Crenshaw**  
**Karl Anderson**

Metropolitan Transportation Commission

**SPOC Workshop**

**Caltrans – District 4**

November 4, 2019



# What is the TIP?

- 4 Year Program of Projects
- Clearinghouse of Project Information and Programming Data

# Key Milestones that Require TIP Programming

- Scheduling a Field Review
- Final Caltrans Review of Environmental Documents
- Obligation of Funding



# Planning Context of the TIP

- **TIP projects must be consistent with the Regional Transportation Plan (RTP)**
  - Description
  - Cost
  - Completion Year
- **TIP projects must be consistent with the Regional Transportation Air Quality Conformity Analysis for the RTP and the TIP**
  - Description
  - Analysis Year

# Grouped Listings

- Multiple exempt projects included in one TIP listing

# Grouped Listings – Caltrans Managed Programs

- HBP, HSIP, SHOPP
- In grouped listing for programming purposes
- Individual listings for monitoring and project-level air quality purposes

# TIP Revisions

## ➤ Administrative Modifications

- Relatively small funding changes and specific non-funding changes allowed per [http://www.dot.ca.gov/hq/transprog/federal/fedfiles/res\\_publications/rev\\_amend\\_proc.pdf](http://www.dot.ca.gov/hq/transprog/federal/fedfiles/res_publications/rev_amend_proc.pdf)
- Final approval delegated to MTC
- Shorter approval timeline

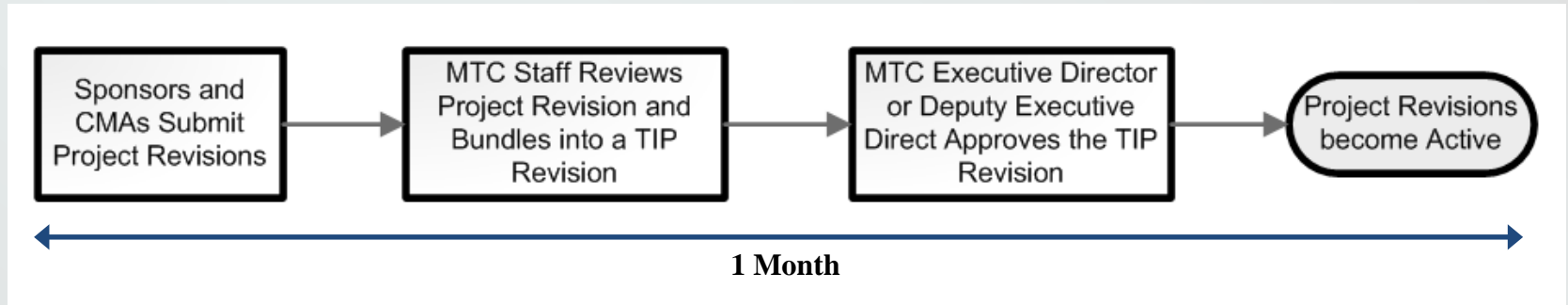
## TIP Revisions

### ➤ Amendments

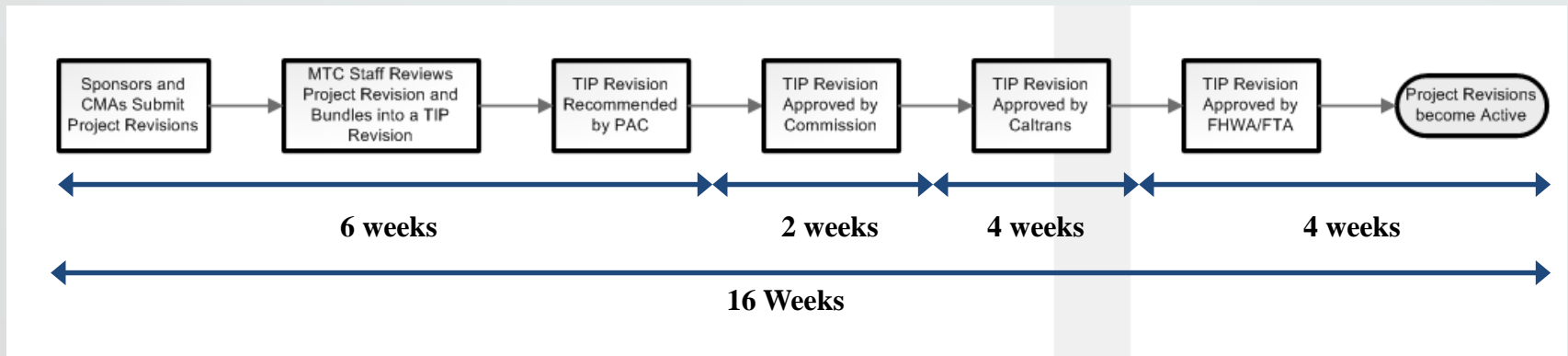
- Changes other than those allowed in administrative modifications per [http://www.dot.ca.gov/hq/transprog/federal/fedfiles/res\\_publications/rev\\_amend\\_proc.pdf](http://www.dot.ca.gov/hq/transprog/federal/fedfiles/res_publications/rev_amend_proc.pdf)
- Final approval by FHWA and FTA
- Longer approval timeline

## TIP Revisions

### ➤ For Administrative modifications



### ➤ For Amendments



# Contacts

## ➤ TIP and FMS

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# Using FMS

**Adam Crenshaw**

**Karl Anderson**

Metropolitan Transportation Commission

**SPOC Workshop**

**Caltrans – District 4**

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# Using FMS - Overview

- **FMS User Accounts**
- **TIP Revision Process**
- **FMS Universal Application (UA)**
- **Project Searches**
- **Reports**







# FMS – User Accounts

## ➤ Creating an Account

- Links to Account Creation are on the FMS Home page (<http://fms.mtc.ca.gov/fms/home.ds>) and the Log In page

### FMS Home Page

**Available Services**

-  **Project Search:** The project search area is set up for use by the general public to query transportation projects managed by MTC.
-  **TIP Project Reports:** Allows users to generate various reports showing project details.
-  **Funding Reports:** Allows users to generate various reports showing funding details.
-  **TIP Reports:** Allows users to generate various reports showing details related to the TIP.
-  **Air Quality Conformity Reports:** Allows users to generate various reports showing Air Quality Conformity related details.
-  **Universal Application:** The Universal Application is an application area set up for transit operators, CMAs and project sponsors to propose new projects or revisions to existing projects to MTC.

Note that this section requires an authenticated user profile to [login](#) to the Secure Portal. If you do not have an activated user profile, please [create one](#) before proceeding.

FMS requires that web browsers have JavaScript enabled. Furthermore, for data integrity purposes, the back button of your browser has been disabled during the usage of the FMS Application. Please view the [Browser Requirements](#) for details and supported browsers.

### FMS Log In Page

**FMS** [Log in](#)

[Project Manager](#) [Report Manager](#) [Help](#)

**Log in**  
Use this form to log in

\* Email

\* Password

\* Required fields

[Sign in](#)

Don't have an account? [Click here to create one now.](#)

[Forgot your password?](#)

- MTC Staff will review the account, assign the appropriate privileges and restrictions, and activate the account

# FMS – User Accounts

## ➤ Privileges and Restrictions

- Public Users
  - Can search for projects and view project information
- Local Road and Highway Sponsors
  - Access and edit their own projects through UA
- CMAs
  - Access and edit projects for their own county through UA and submit revisions
- Transit Operators
  - Access and edit their own projects through UA and submit revisions



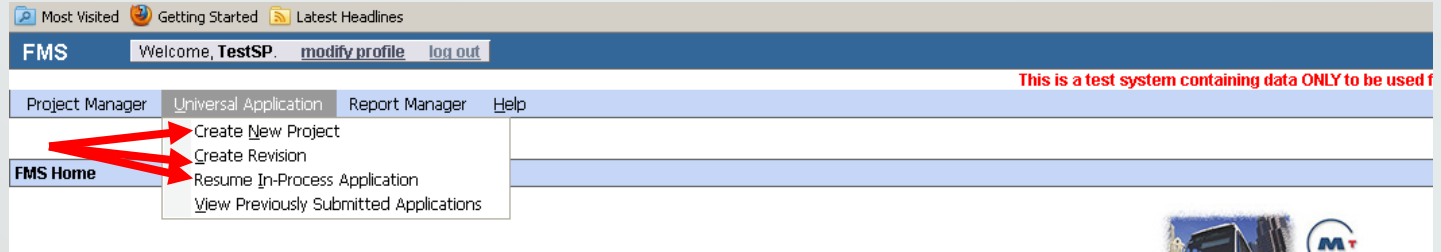
# TIP Revision Process – Lifecycle of a Project

- **New Project**
- **Revised Project**
- **Archived or Deleted Project**

# TIP Revision Process – Lifecycle of a Project Revision

## ➤ New Project Revisions

- New Projects
  - Universal Application >> Create New Project
- Revisions to Existing Projects
  - Universal Application >> Create Revision



- Revisions begin with an “In Process” status
  - They can be accessed through Universal Application >> Resume In Process Application

# TIP Revision Process – Lifecycle of a Project Revision

## ➤ Submitting a Revision

- MTC Staff reviews Project Revisions
  - Decline – Project Revision is returned to the sponsor for edits
  - Accept – Project Revision moves on to the TIP Revision stage
- Once accepted Project Revisions are bundled into a TIP Revision
  - The revision will be included in an Administrative Modification or a Formal Amendment
  - Given a TIP Revision Number (e.g. 2019-27)
  - Reviewed by MTC management and executive staff

# TIP Revision Process – Lifecycle of a Project Revision

- **Accessibility of Project Revisions by Status**
  - IN PROCESS
    - Viewable in Project Search
    - Accessible and editable in UA for users with the appropriate privileges
  - SUBMITTED and ACCEPTED
    - Viewable in Project Search but not UA
  - PROPOSED and ACTIVE
    - Viewable but not editable through Project Search and UA
    - Appropriate users may create new revisions using PROPOSED or ACTIVE versions as a base

# FMS – Universal Application

## ➤ Project Detail Tab

Project Name

Sponsor

Description of Change

Primary Program

Implementing Agency

Project Complete Flag

County

Reason for Revision

RTP ID

**General Information - Step 1 of 7** Glossary Application Assistant Contact Us

Next Save Cancel

*Project Name (Not to exceed 50 characters)	<input type="text"/>	<b>Example</b> Project name: SR 29 Rio Del Mar Intermodal Station Primary Program Being Modified: CMAQ Clear Air Program County: Niapa Sponsor: Amer Canyon Implementing Agency: Amer Canyon Reason for Revision: Take advantage of cost savings available. Programmed funds being reduced due to cost savings with the reduced funds transferred to NAP991031. Description of Change: Reduce CMAQ funds in FY 04 by \$250,000 and transfer the funds to NAP991031.
*Primary Program Being Modified	Select All	
*County	Select One	
*Sponsor	Select One	
*Implementing Agency	Select One	
*Reason for Revision (Not to exceed 255 characters)	<input type="text"/>	
*Description of Change (Not to exceed 2000 characters)	<input type="text"/>	
*Is project completed/open for traffic	Select One	
RTP Cycle	T2035 - Current RTP Cycle	
*RTP ID	Select One	
RTP Title		
RTP Project Cost	\$0	
RTP Page Number	<input type="text"/>	

\* These fields must be inputted before the application can be submitted.

Next Save Cancel





# FMS – Universal Application

## ➤ Project Description Tab

Submode

Project Type

Expanded Description

Submode Percentage

Purpose

Transportation

Problem Addressed

Transportation System

Project Description

Please select upto six Submodes. Percentages should add up to 100.

Field	Value
* Submode	Select One
* Submode Percentage	
* Submode	Select One
* Submode Percentage	
* Transportation System	Select One
* Project Type	Select One
* Purpose	Select One
* Project description (Not to exceed 255 characters)	
* Expanded Project Description (Not to exceed 2000 characters)	
* Transportation Problem to be addressed (Not to exceed 2000 characters)	

**Example**

Submode:Auto  
Submode Percentage: 90

Submode:Bicycle  
Submode Percentage: 10

Transportation System: Local Streets and Roads  
Project Type: Pavement  
Purpose: Maintenance/Rehabilitation/Replacement

Project Description: In San Ramon On Bolinger Canyon between Alcosta Blvd and First Street; Rehabilitate roadway including stripping for class 3 bike path.

Expanded Description: In San Ramon On Bolinger Canyon between Alcosta Blvd and First Streets; Rehabilitate roadway including stripping for class 3 bike path. Repairs include installing an AC overlay with ancillary work including pavement grinding, full depth asphalt repairs, adjusting utility frames and grates, and replacing pavement markings and traffic signal detection devices.

Transportation Problem to be addressed: Rehabilitation of road will enhance smooth movement of vehicles thereby reducing emissions of air pollution particles.

\* These fields must be inputted before the application can be submitted.

# FMS – Universal Application

- **Project Description Tab – Issues to be aware of**
  - **Sub-Mode**
    - Enter sub-modes in descending order of priority
  - **Purpose**
    - Expansion – Project adds capacity to the existing system
    - Maintenance, Rehab, Replacement – Project preserves existing facilities
    - Operations – Project funds the administration and operations of agencies
    - System Management/Travel Demand Management – Project promotes more efficient use of existing facilities
    - Other – Option of last resort

# FMS – Universal Application

- **Project Description Tab – Issues to be aware of**
  - **Project Description**
    - Include the name of the jurisdiction
    - Include the project limits
    - Include the description of the work being done
    - Example – City: Street A from Road 1 to Road 2: Rehabilitate roadway, replace curbs and gutters, and patch sidewalks

# FMS – Universal Application

## ➤ Location Tab

**Required Fields – State Assembly Districts, State Senate Districts, Congressional Districts**

**Optional Fields - Location, State Route, Post Miles, TIP Mapper Status Area**

Location - Step 3 of 7

Location

State Hwy Route

Post Miles From  To  (Miles)

TIP Map Status Area

Check here for Regional Projects

\*State Assembly Districts  01  02  06  07  08  11  
 12  13  14  15  16  17  
 18  19  20  21  22  23  
 24  27  28

Check here for Regional Projects

\*State Senate Districts  02  03  04  05  06  07  
 08  09  10  11  12  13  
 14  15

Check here for Regional Projects

\*Congressional Districts  01  02  03  06  07  08  
 09  10  11  12  13  14  
 15  16  17  18

**Location: Oakland**  
**Route 880**

**Example**

\* These fields must be selected before the application can be submitted.

# FMS – Universal Application

## ➤ Funding Tab

Add a New Fund Line  
Edit an Existing Fund Line

Remove funds from a project

**Funding - Step 4 of 7** Glossary

**Note:** Non-editable fund lines represent data from the active project and are only displayed for informational purposes. Only the editable fund lines will be added to the project revision. To deleted newly added fund lines simply click the link that corresponds to the fund line(s) to be deleted. For historical purposes, e users can only update a zero amount to the fund line to indicate that the Fund Source is no longer used.

**Note:** At least one funding line should be entered.

	Status	Fund Code	Phase	Appn Year	Program Year	Prog Amount	Change Amount	Fund No	Dist	EAHO	PPNO	CTC Allocation Date	CTC Allocation Amount	Prefix	Fed Proj ID	FRWA Obligation Date	FRWA Oblig Amount	FTA Grant No.	FTA Grant Date	FTA Grant Amount
	Active	OTHER LOCAL	ENV	2010	2010	1,000,000														
<a href="#">Edit</a>	Proposed	OTHER LOCAL	ENV	2010	2010	1,000,000														
	Active	OTHER LOCAL	ROW	2011	2011	600,000														
<a href="#">Edit</a>	Proposed	OTHER LOCAL	ROW	2011	2011	600,000														
	Active	OTHER LOCAL	PSE	2011	2011	1,700,000														
<a href="#">Edit</a>	Proposed	OTHER LOCAL	PSE	2011	2011	1,700,000														
	Active	OTHER LOCAL	PSE	2011	2011	1,000,000														
<a href="#">Edit</a>	Proposed	OTHER LOCAL	PSE	2011	2011	1,000,000														
	Active	OTHER LOCAL	CON	2013	2013	33,700,000														
<a href="#">Edit</a>	Proposed	OTHER LOCAL	CON	2013	2013	33,700,000														
	Active	OTHER LOCAL	CON		2013	10,000,000														
<a href="#">Edit</a>	Proposed	OTHER LOCAL	CON		2013	10,000,000														

**Total Funding by Jurisdiction**

Status	Federal	State	Regional	Local	Total Project Cost
Active				48,000,000	48,000,000
Proposed				48,000,000	48,000,000

**Total Funding by Phase**

Status	CON	CON-CT	ENV	PE	PSE	ROW	ROW-CT	Total Project Cost
Active	43,700,000		1,000,000		2,700,000	600,000		48,000,000
Proposed	43,700,000		1,000,000		2,700,000	600,000		48,000,000

**Total Funding by Fund Code**

Fund Code	Program Year	Program Amount	Program Target Amount
OTHER LOCAL	2010	1,000,000	
OTHER LOCAL	2011	3,300,000	
OTHER LOCAL	2013	43,700,000	

# FMS – Universal Application

## ➤ Funding Tab – Add New Fund Line

Fund Programming Information

*Fund Code	*Phase	Appn Year	*Prog Year	*Prog Amount	Approved Funding	Non TIP
OTHER LOCAL	FE	Select One	2011	290454	Yes	No

- Fund Code
- Common issues finding fund codes
  - Regional Measure funds are under the “Bridge Tolls” source
- Other State and Other Federal funds are options of last resort. If they must be used, include the full fund source in Reason for Revision and the Expanded Project Description

FMS | Fund Codes - Mozilla Firefox

http://jbfmstest.mtc.ca.gov/fms/selectFundCode.do

Please select filter parameters to find available fund code(s):

\*Fund source: CMAQ Authorization: Federal T4

Cycle (Use with STP/CMAQ/RIP/IIP fund sources only): Select One County (Use with RIP only): Select One

Urbanized Area (Use with FTA fund sources only): Select One

Find Available Fund codes: Clear

	Fund Code	Fund Source Code	Authorization	Cycle	Cat 1	Cat 2	Cat 3	Cat 4	Cat 5	County	Urbanized Area
select	CMAQ-T4-1-CCI	CMAQ	T4	1		CCI					
select	CMAQ-T4-1-CCI-SOL	CMAQ	T4	1		CCI	SOL				
select	CMAQ-T4-1-FPI	CMAQ	T4	1		FPI					
select	CMAQ-T4-1-RBP-CO	CMAQ	T4	1	RBP	CO					
select	CMAQ-T4-1-RO	CMAQ	T4	1		RO					
select	CMAQ-T4-1-RSI	CMAQ	T4	1		RSI					
select	CMAQ-T4-1-SR2S-CO	CMAQ	T4	1	SR2S	CO					
select	CMAQ-T4-1-SR2S-REG	CMAQ	T4	1	SR2S	REG					
select	CMAQ-T4-1-TLC-CO	CMAQ	T4	1	TLC	CO					
select	CMAQ-T4-1-TLC-REG	CMAQ	T4	1	TLC	REG					
select	CMAQ-T4-1-TLC-REG-EXCH	CMAQ	T4	1	TLC	REG		EXCH			

# FMS – Universal Application

## ➤ Funding Tab – Add New Fund Line

Fund Programming Information						
*Fund Code	*Phase	Appn Year	*Prog Year	*Prog Amount	Approved Funding	Non TIP
OTHER LOCAL	PE	Select One	2011	290454	Yes	No

### – Phase

- Most Common – PE, ROW, CON
- Other Phases
  - OTHER is for project phases that do not lead directly to construction or implementation
  - PSE and ENV for STIP and ATP funded project only
  - ROW-SUP and CON-CE are Caltrans support for Right-of-Way and Construction phases

# FMS – Universal Application

## ➤ Funding Tab – Add New Fund Line

Fund Programming Information						
*Fund Code	*Phase	Appn Year	*Prog Year	*Prog Amount	Approved Funding	Non TIP
OTHER LOCAL	PE	Select One	2011	290454	Yes	No

- **Apportionment Year**
- **Program Year**
  - Local match funds must be programmed in the same year and phase as the federal funds they are matching
- **Program Amount**
  - Use positive whole dollar amounts only
  - Do not round to thousands or millions of dollars



# FMS – Universal Application

- **Funding Tab – Editing Existing Fund Lines**
  - Same functionality as adding new fund lines
- **Funding Tab – Removing funding from a project**
  - The “Delete” link will only be displayed next to fund lines that you are allowed to delete
  - Once fund lines have been included in an approved revision you must zero out the fund line to remove the funds



# FMS – Universal Application

## ➤ Delivery Milestones Tab

Delivery Milestones - Step 5 of 7 [Glossary](#) [Application Assistant](#) [Contact Us](#)

	Document Type	Date
Project Study Report (PSR) Complete:	<input type="text" value="Select One"/>	<input type="text" value="Select a date"/> <input type="text" value="Clear the date"/>
Scheduled Circulation of Draft Environmental Document:	<input type="text" value="Select One"/>	<input type="text" value="Select a date"/> <input type="text" value="Clear the date"/>

	Month	Year
Begin Environmental Studies:	<input type="text" value="01"/>	<input type="text" value="2010"/>
End Environmental Studies:	<input type="text" value="12"/>	<input type="text" value="2011"/>
Begin Design Engineering:	<input type="text" value="12"/>	<input type="text" value="2011"/>
End Plans, Specs, and Estimates:	<input type="text" value="12"/>	<input type="text" value="2011"/>
Begin RW Certification:	<input type="text" value="12"/>	<input type="text" value="2011"/>
Advertise Construction (Ready to list):	<input type="text" value="12"/>	<input type="text" value="2013"/>
Begin Construction (Award):	<input type="text" value="04"/>	<input type="text" value="2014"/>
Project Completion:	<input type="text" value="12"/>	<input type="text" value="2015"/>



# FMS – Universal Application

## ► Screening Criteria Tab

Screening Criteria - Step 6 of 9

Glossary

- \* Is your project an Intelligent Transportation System (ITS) project or does it include ITS components? If you answer Yes, you must also answer all ITS related questions below. [More Info](#)
- Is your ITS project classified as 'low risk' or 'high risk' under FHWA/Caltrans ITS guidance? Please answer even if your project is FTA funded. [More Info](#)
- Is your project included in the Bay Area Regional ITS Architecture? [More Info](#)
- Does your ITS Project include a construction phase that is more than 10% of the cost of the project? [More Info](#)
- \* Does your project comply with MTC Resolution 3866 (Transit Coordination Implementation Plan)? [More Info](#)   
If you answered "No" or "N/A" to the above question, please explain your response.
- \* Have the needs of non-motorized travelers been considered in the design of the project and is the project consistent with Caltrans Deputy Directive 64? [More Info](#)
- \* Is non-motorized travel impeded by this project?  
If yes, has a cross-facility, non-motorized access been included in the project?
- \* Has a parallel non-motorized facility been designed to accommodate non-motorized travelers?
- \* Have you reviewed local county, and regional bike plans for roadway design consistency?
- \* Is project consistent with MTC's RTP, other regional, local plans and programs (e.g. most recently adopted Short Range Transit Plan)?   
SRTP Reference:      FY Adopted:       SRTP Page:   
List other applicable plans:
- \* Is project supported by an adequate financial plan with all sources of funding identified and has a logical cash flow?
- \* Is project well defined and well justified. It has clear project limits, intended for scope of work, and project concept?
- \* Does project meet or support the requirements of the American with Disabilities Act (ADA)?
- \* Is this project a Single Occupancy Vehicle (SOV) capacity increasing project?

\* These fields must be inputted before the application can be submitted.



# FMS – Universal Application

## ➤ Contact Information Tab

**Contacts - Step 7 of 7** [Glossary](#) [Application Assistant](#) [Contact Us](#)

Set Selected as contact for :

		First Name	Last Name	Email	Agency	Title	Phone
<input type="button" value="Sponsoring agency"/>	<input type="button" value="Remove"/>	TestSP	Crenshaw	testacrenshawsp@test.com	San Francisco Dept of Public Works	Test Sponsor Account	5108175794
<input type="button" value="Implementing agency"/>	Please select contact for Implementing from below contacts.*						
<input type="button" value="MTC contact"/>	Please select contact for MTC from below contacts.						

Use filter below to narrow your contact search:

First name  Last name   
Email  Agency

	First Name	Last Name	Email	Agency
<input type="radio"/>	TestAdminMarcella	Aranda	testadmin.aranda08@gmail.com	Test Agency
<input type="radio"/>	Test	Crenshaw	testacrenshaw@test.com	Metropolitan Transportation Commission
<input type="radio"/>	TestSP	Crenshaw	testacrenshawsp@test.com	San Francisco Dept of Public Works
<input type="radio"/>	TestPM	Crenshaw	testacrenshawpm@test.com	Metropolitan Transportation Commission
<input checked="" type="radio"/>	TestCMA	Crenshaw	testacrenshawcma@test.com	San Francisco County Transportation Authority
<input type="radio"/>	Test12	Mtc test	test12@mtc.gov	Alameda Contra Costa Transit District (AC Transit)

- Click the radio button next to the appropriate contact
- Then click the Sponsor Agency, Implementing Agency, or MTC Contact button to assign the contact

# FMS – Universal Application

## ➤ Project Documents Tab

**Project Documents - Upload Project Documents** [Glossary](#) [Application Assistant](#) [Contact Us](#)

[Previous](#) [Next](#) [Save](#) [Cancel](#)

Note that newly uploaded files will not be available for viewing or download until after you have saved the application.

**Grouped Listings**

If applicable, please upload grouped listings below.

[Browse...](#) [Upload](#)

Nothing found to display.

**Resolution of Local Support for STP/CMAQ Funds**

If applicable, please upload resolution of local support for STP/CMAQ funds below.

[Browse...](#) [Upload](#)

	Filename
<a href="#">Remove</a>	TLC Grant Resolution .pdf

**Resolution of Local Support for RTP Funds**

If applicable, please upload resolution of local support for RTP funds below.

- Do not use this tab for uploading Air Quality Conformity related documents
- Do not create a new Revision only to upload a document – Contact MTC if only an upload is needed

# FMS – Universal Application

## ➤ Air Quality Tab

**Air Quality** Glossary Application Assistant Contact Us

---

**Regional Conformity**

Air Quality Code	Air Quality Description
1 07	EXEMPT (40 CFR 93.126) - Traffic control devices and operating assistance other than signalization projects

Air Basin	Air District
San Francisco Bay Area	Bay Area AQMD

TCM	TCM Number	VOC	NOX	CO	PM10	PM2.5	CO2
		0.0	0.0	0.0	0.0	0.0	0.0

---

**Project Conformity**

**Overview:** The San Francisco Bay Area has been designated as non-attainment for the 24-hour PM2.5 standard. Beginning December 14, 2010, certain projects are required to complete a PM2.5 hot-spot analysis as part of the project-level conformity determination process. Project sponsors must engage in interagency consultation on the PM2.5 hot-spot analysis through MTC's Air Quality Conformity Task Force. The Conformity Task Force will (1) determine if a project meets the definition of a project of air quality concern and if the project requires undergoing a project-level PM2.5 hot-spot analysis, and (2) review the methods, assumptions and analysis of the PM2.5 hot-spot analysis. The EPA and either FHWA or FTA must concur with the recommendations from the Conformity Task Force. Upon completion of the interagency consultation, project sponsors must seek approval from FHWA or FTA on the PM2.5 hot-spot analysis.

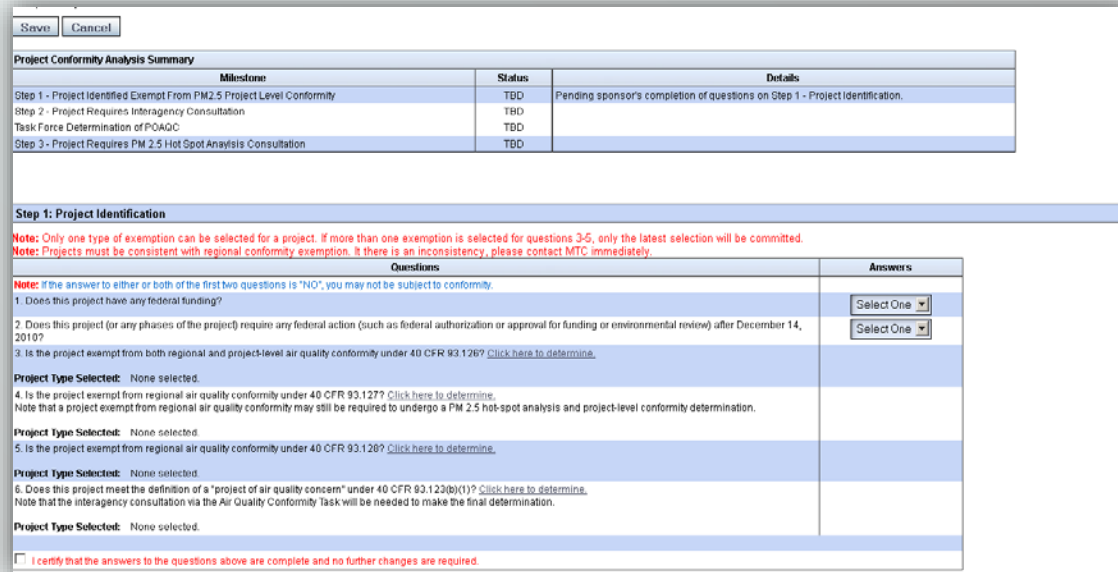
Project Conformity Analysis Summary		
Milestone	Status	Details
Step 1 - Project Identified Exempt From PM2.5 Project Level Conformity	TBD	Pending sponsor's completion of questions on Step 1 - Project Identification.
Step 2 - Project Requires Interagency Consultation	TBD	
Task Force Determination of POAOC	TBD	
Step 3 - Project Requires PM 2.5 Hot Spot Analysis Consultation	TBD	

- **Regional Conformity** – Only editable by MTC staff
- **Project Conformity** – Needs to be completed by the Project Sponsor



# FMS – Universal Application

## ➤ Air Quality Tab – Edit Project Conformity



Milestone	Status	Details
Step 1 - Project Identified Exempt From PM2.5 Project Level Conformity	TBD	Pending sponsor's completion of questions on Step 1 - Project Identification.
Step 2 - Project Requires Interagency Consultation	TBD	
Task Force Determination of POAQC	TBD	
Step 3 - Project Requires PM 2.5 Hot Spot Analysis Consultation	TBD	

**Step 1: Project Identification**

**Note:** Only one type of exemption can be selected for a project. If more than one exemption is selected for questions 3-5, only the latest selection will be committed.  
**Note:** Projects must be consistent with regional conformity exemption. If there is an inconsistency, please contact MTC immediately.

Questions	Answers
<b>Note:</b> If the answer to either or both of the first two questions is "NO", you may not be subject to conformity.	
1. Does this project have any federal funding?	Select One ▼
2. Does this project (or any phases of the project) require any federal action (such as federal authorization or approval for funding or environmental review) after December 14, 2010?	Select One ▼
3. Is the project exempt from both regional and project-level air quality conformity under 40 CFR 93.126? <a href="#">Click here to determine.</a>	
<b>Project Type Selected:</b> None selected.	
4. Is the project exempt from regional air quality conformity under 40 CFR 93.127? <a href="#">Click here to determine.</a> Note that a project exempt from regional air quality conformity may still be required to undergo a PM 2.5 hot-spot analysis and project-level conformity determination.	
<b>Project Type Selected:</b> None selected.	
5. Is the project exempt from regional air quality conformity under 40 CFR 93.126? <a href="#">Click here to determine.</a>	
<b>Project Type Selected:</b> None selected.	
6. Does this project meet the definition of a "project of air quality concern" under 40 CFR 93.123(b)(1)? <a href="#">Click here to determine.</a> Note that the interagency consultation via the Air Quality Conformity Task will be needed to make the final determination.	
<b>Project Type Selected:</b> None selected.	
<input type="checkbox"/> I certify that the answers to the questions above are complete and no further changes are required.	

- Answer Questions 1 – 6
- Click the checkbox and save the entry
- FMS or an MTC Air Quality Coordinator will notify users regarding any further actions that are needed



# FMS – Universal Application

## ➤ Review Tab

General Information - Step 1:		Edit General Information	
		Proposed Version	Active Version
TIP ID	SM-110028	SM-110028	SM-110028
Version	0	1	1
Project name	East Side Community Transit Connectivity Imprmnts	East Side Community Transit Connectivity Imprmnts	East Side Community Transit Connectivity Imprmnts
Primary Program Being Modified	Transportation for Livable Communities (TLC)	Transportation for Livable Communities (TLC)	Transportation for Livable Communities (TLC)
County	SM	SM	SM
Sponsor	San Carlos	San Carlos	San Carlos
Implementing Agency	San Carlos	San Carlos	San Carlos
Reason for Revision	This field is displayed in red because what has been entered here is different from what was entered in this field in the prior version	Project split from Grouped Listing - Transportation Enhancements - Regional TLC Program (REG090073) to create individual listing for tracking purposes.	Project split from Grouped Listing - Transportation Enhancements - Regional TLC Program (REG090073) to create individual listing for tracking purposes.
Description of Change	This field is displayed in red because what has been entered here is different from what was entered in this field in the prior version	Project split from Grouped Listing - Transportation Enhancements - Regional TLC Program (REG090073) to create individual listing for tracking purposes.	Project split from Grouped Listing - Transportation Enhancements - Regional TLC Program (REG090073) to create individual listing for tracking purposes.
Is project completed/open for traffic	No	No	No

Funding Information - Step 4:		Edit Funding																		
<small>Note: Non-editable fund lines represent data from the active project and are only displayed for informational purposes. Only the editable fund lines will be added to the project revision. To delete newly added fund lines simply click the link that corresponds to the fund line(s) to be deleted. For historical purposes, existing fund lines cannot be deleted, users can only update a zero amount to the fund line to indicate that the Fund Source is no longer used.</small>																				
Appropr. Funding	Non-ITC	Status	Fund Code	Phase	Year	Program Year	Prog Amount	Change Amount	Fund No	Dist	LARO	FWFO Date	CTC Allocation Amount	CTC Allocation Amount	Fed Prog Profit %	FHWA Obligation Date	FHWA Obligation Amount	FTA Grant No.	FTA Grant Date	FTA Grant Amount
Y	N	Active	OMAG-T4-1-TLC-REG	FE	2011	2011	425,696			04	92507%				CM	5/26/2015	01/11/2011	425,696		
Y	N	Proposed	OMAG-T4-1-TLC-REG	FE	2011	2011	425,696			04	92507%				CM	5/26/2015	01/11/2011	425,696		
Y	N	Active	OMAG-T4-1-TLC-REG	CON	2012	2012	1,795,304													
Y	N	Proposed	OMAG-T4-1-TLC-REG	CON	2012	2012	1,795,304													
Y	N	Active	OTHER LOCAL	FE	0	2011	106,424													
Y	N	Proposed	OTHER LOCAL	CON	0	2012	3,213,241	3,106,817												
Y	N	Active	OTHER LOCAL	CON	0	2012	17,629													
Y	N	Proposed	OTHER LOCAL	CON	0	2012	17,629													
Y	N	Active	PROP-1B4LSR	CON	0	2012	425,757													
Y	N	Proposed	PROP-1B4LSR	CON	0	2012	425,757													

Total Funding by Jurisdiction				
Status	Federal	State	Regional Local	Total Project Cost
Active	2,221,000	426,757	126,083	2,773,810
Proposed	2,221,000	426,757	3,230,870	5,877,627

- Side-by-side comparison of the current revision and the previous version – changes are shown in red
- Fund lines from current revision are shown as Proposed and prior versions are shown as Active
- Revisions may be saved or submitted based on privileges





# FMS – Project Searches

## ➤ Uses for Project Searches

- View project information
- Run Project Manager Reports
  - Project Listing Report – project information in the TIP as of the version selected
  - Project Authorization Report – more information than the Project Listing Report. This report should be submitted to Caltrans when requesting authorization to begin a phase
  - Project Detail Report – greatest amount of detail on a project
- Edit Project Air Quality Conformity information without creating a revision



# FMS – Contact Information

## ➤ TIP and FMS:

Adam Crenshaw

(415) 778-6794

[acrenshaw@bayareametro.gov](mailto:acrenshaw@bayareametro.gov)

Karl Anderson

(415) 778-6645

[kanderson@bayareametro.gov](mailto:kanderson@bayareametro.gov)



# Using FMS – Open Forum

- Questions
- Comments
- Suggestions

# MTC SPOC Training

Caltrans District 4 Office of Local Assistance

**Xi Zhang, Sr. Transportation Engineer**

2019.11.04

# D4 Local Assistance Personnel

Name	Position
Sylvia Fung	District Local Assistance Engineer (DLAE)
Ephrem Meharena	ER, Alameda, Santa Clara
Hin Kung	DBE, SF, San Mateo, Contra Costa
Jae-Myung Lee	HBP, Marin, Solano, Sonoma, Napa
Xi Zhang	ATP, HSIP, Santa Clara County
Louis Schuman	SB1, Golden Gate, BART
Tom Holstein	Senior Environmental Planner
Michael O'Callaghan	Right of Way Senior

Program Support	
Lisa Wolfi	Invoices, CTC Allocation/Extensions, Training Coordination, (Alameda, SF, Contra Costa, San Mateo, MTC)
Adena Ramos	Invoices, CTC Allocation/Extensions, (Sonoma, Marin, Napa, Solano, Santa Clara, Golden Gate, BART)
Jose Reyes	Field Review, E-76, Title VI, QAP, Local Agency Directory

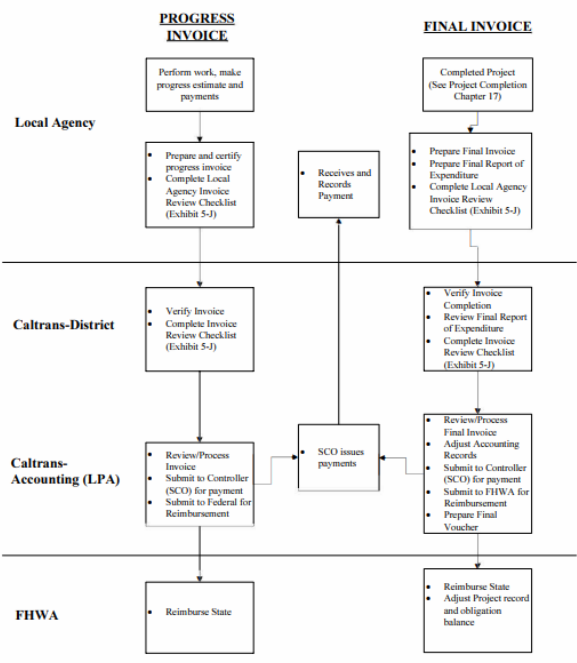


Figure 5-1: Invoice Flowchart

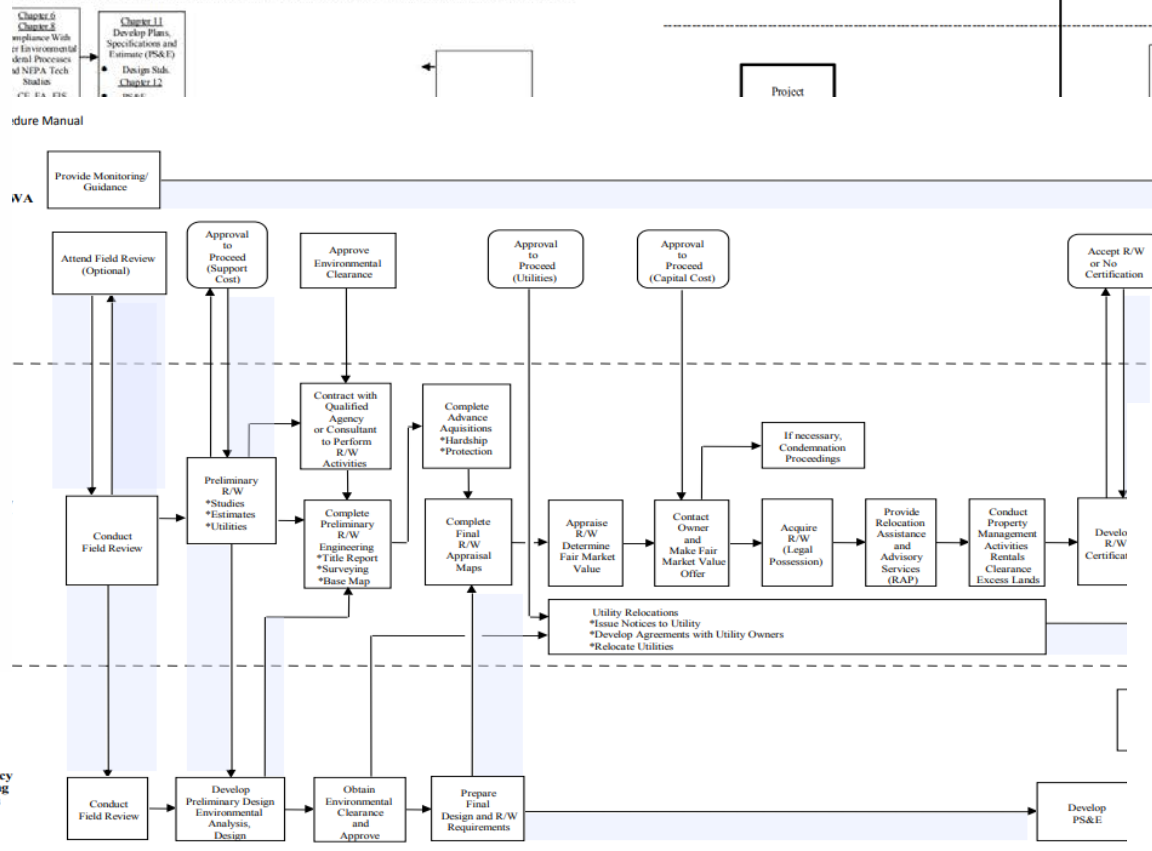


Figure 13-1: Right of Way Procedures Flowchart

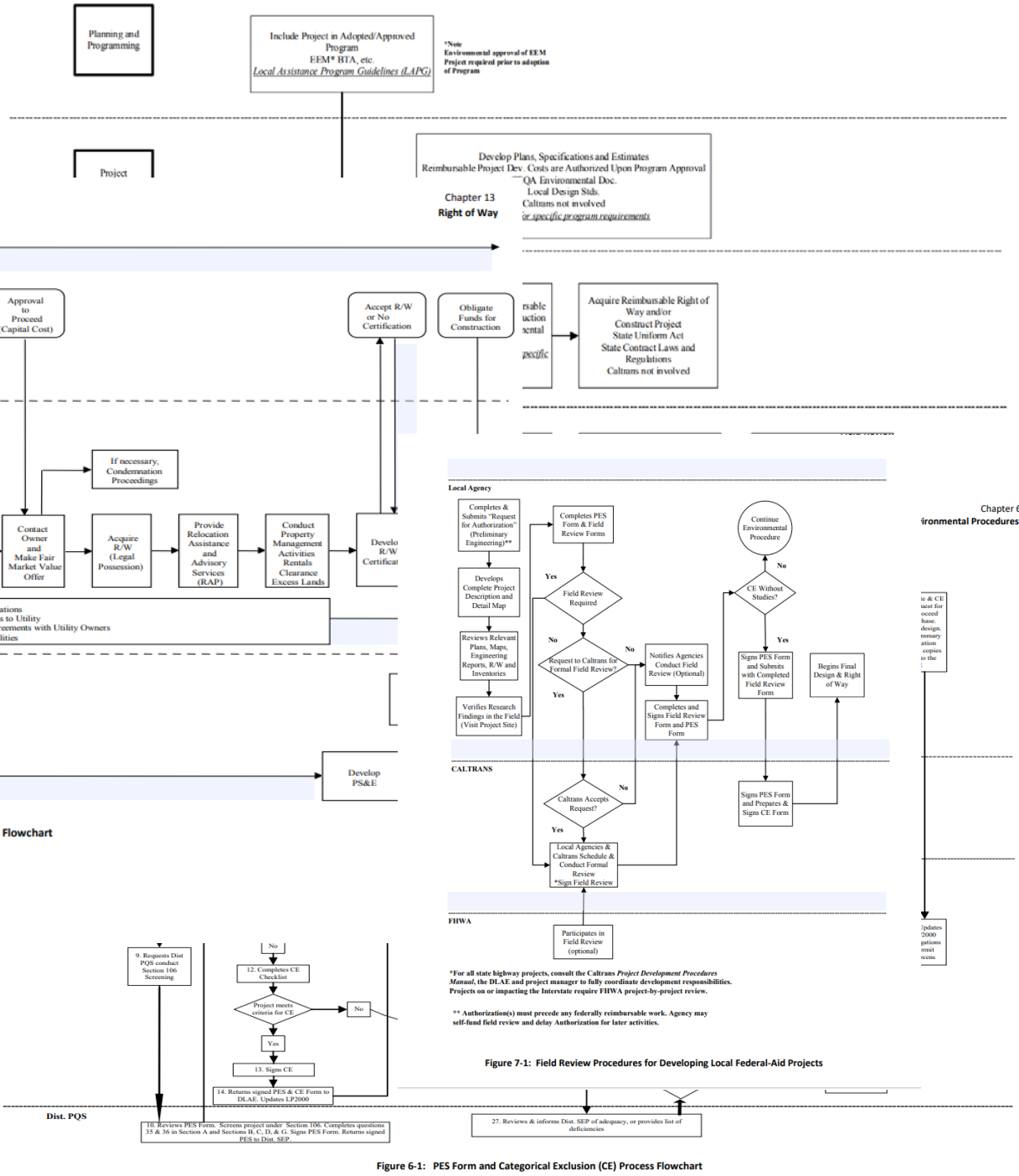
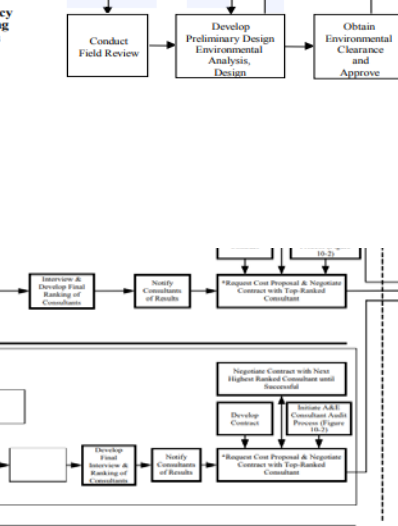
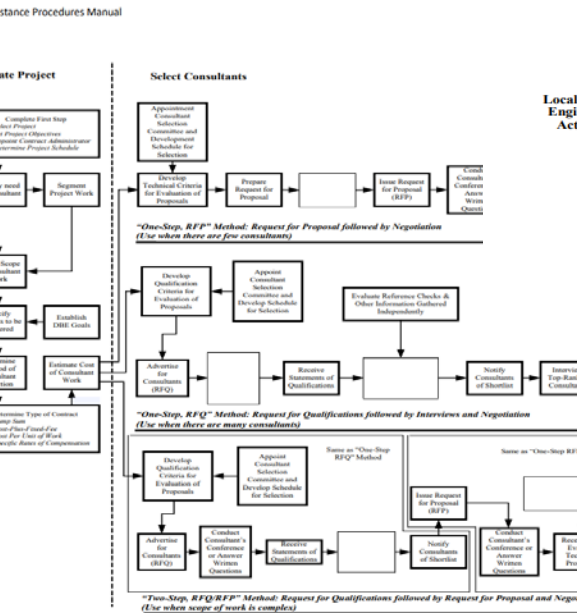


Figure 7-1: Field Review Procedures for Developing Local Federal-Aid Projects

Figure 6-1: PES Form and Categorical Exclusion (CE) Process Flowchart



16 Engineers



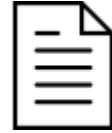
6 Env. Planners



3 Program Support



1,000+ Projects



175 E76s (2018)



1,281 Invoices (2018)



68 NEPA (2018)



74 Field Reviews (2018)



60+ Allocations (2018)



HBP  
HSIP  
ER  
ATP  
SB1



DBE  
PE > 10 Yrs  
Consultant  
Buy America  
CWA  
Reporting  
Inactive Projects

# What is Local Assistance?

- The **Caltrans Division of Local Assistance** in Sacramento and 12 District Local Assistance offices assist local agencies in negotiating through the various requirements of state and federal transportation funded programs.



# Roles and Responsibilities

- **Federal Highway Administration (FHWA)**
  - Federal agency responsible for ensuring compliance with all federal requirements on highway projects
- **Caltrans**
  - Stewardship agreements delegate many FHWA responsibilities to Caltrans for “delegated” projects

# Roles and Responsibilities

## ➤ **Caltrans District 4**

- Initial and primary contact with Local Agencies
- Advise Local Agencies on Caltrans policies/procedures
- Receive funding requests from Local Agencies, review for completeness, and coordinate the processing with HQ
- Conduct field reviews & final verification

# Roles and Responsibilities

## ➤ Local Agency

- In 1995, under the “re-engineering of Local Assistance procedures” many Title 23 responsibilities were delegated by Caltrans to local agencies.
- Primarily responsible for implementing projects:
  - ✓ Conception
  - ✓ Environmental
  - ✓ Maintenance
  - ✓ Planning
  - ✓ Design
  - ✓ Right of Way
  - ✓ Programming
  - ✓ Construction
  - ✓ Project Close Out

# Division of Local Assistance Website

- **Division of Local Assistance Website:**
  - <https://dot.ca.gov/programs/local-assistance>
- **California Local Technical Assistance Program:**
  - <http://californialtap.org/>
- **Stay Informed** (mailing list):
  - <https://dot.ca.gov/programs/local-assistance/other-important-issues/subscribe-to-dla-email-list>



# Division of Local Assistance Website

[Home](#) | [Programs](#) | [Local Assistance](#)

## Local Assistance

Caltrans' Local Assistance Program oversees more than one billion dollars annually available to over 600 cities, counties and regional agencies for the purpose of improving their transportation infrastructure or providing transportation services. This funding comes from various Federal and State programs specifically designed to assist the transportation needs of local agencies. Annually, over 1,200 new projects are authorized through the Local Assistance Program of which approximately 700 are construction projects. [Contact Local Assistance](#)

## Environmental and Other Policy Issues

- [ADA Section 504](#)
- [Consultant Selection and Procurement](#)
- [Disadvantaged Business Enterprise](#)
- [Local Environmental Issues](#)
- [Title VI](#)

## Forms

- [CTC Forms](#)
- [FormsPLUS \(under construction\)](#)
- [Local Assistance Procedures Manual \(LAPM\) Forms](#)
- [Local Assistance Program Guidelines \(LAPG\) Forms](#)

## Guidelines and Procedures

## Federal and State Programs

### Federal Programs

- [Emergency Relief Program](#)
- [Highway Bridge Program](#)
- [Highway Infrastructure program](#)
- [Highway Safety Improvement Program \(HSIP\)](#)
- [Intelligent Transportation Systems Program \(ITS\)](#)
- [Other Federal Programs \(under construction\)](#)

### State Programs

- [Active Transportation Program \(ATP\)](#)
- [Bike Program](#)
- [Safe Route To School Program \(SRTS\)](#)
- [SB1](#)
- [State Transportation Improvement Program \(STIP\)](#)

# Division of Local Assistance Website

## Guidelines and Procedures

- [Caltrans Oversight Information Notice \(COIN\)](#)
- [Division of Local Assistance Office Bulletins \(DLA-OBs\)](#)
- [Local Assistance Procedures Manual \(LAPM\)](#)
- [Local Assistance Program Guidelines \(LAPG\)](#)
- [Local Programs Procedures \(LPP\)](#)
- [Procedures for Construction Manager and General Contractor \(PDF\)](#)

## Other Important Issues

- [Local Assistance Blog](#)
- [Local Assistance Contact](#)
- [Other Links](#)
- [Subscribe to DLA Email List](#)
- [Transportation Co-op Committee](#)
- [Training](#)

- [State Transportation Improvement Program \(STIP\)](#)

## Project Implementation

- [AB 1012 Balance Reports as of \(Current Month\)](#)
- [CMAQ/RSTP Monthly Activity Reports by Region as of \(Current Month\)](#)
- [Cooperative Work Agreement \(CWA\)](#)
- [Delivery Reports of Formula OA Funds as of \(Current Month\)](#)
- [Earmark Repurposing](#)
- [Hoole's Rules](#)
- [Inactive Projects](#)
- [Local Agency Invoice Process](#)
- [Preliminary Engineering Phase Over 10 Years](#)
- [Project Implementation Support Branch \(PISB\) Help Desk Online](#)
- [Projects with expiring Project End Dates](#)

## Reports

- [Authorization and Contract Award](#)
- [E-76 Obligated List](#)
- [E-76 Waiting List](#)
- [Invoices](#)
- [Process Review](#)

# How Can SPOC Help Us?

## A Typical Scenario



**ACTION REQUIRED**

**DUE DATE**



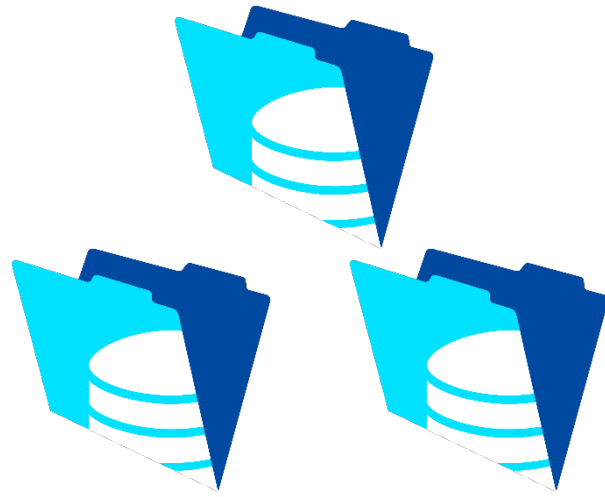


GENERAL PROJECT INFORMATION			
District	PPNO	County	Project Title
4	2330	SF	Alemaney Interchange Improvements, Pha
4	2123A	CC	Bailey Road and State Route 4 Interchang Improvement Project
4	2317	SOL	Bay Trail and Vine Trail Gap Closure
4	2190F	ALA	Be Oakland, Be Active: A Comprehensive Program
4	2190Q	ALA	Berkeley 9th Street Bicycle Boulevard Ext
4	2331	SCL	Better BikewaySJ - San Fernando Corridor
4	2190S	ALA	Castro Valley Elementary Safe Routes to S
4	2300	ALA	Central Avenue Complete Street Project
4	2140W	SM	Central Corridor Bike and Pedestrian Safe
4	2326	MRN	Central Marin Regional Pathways Gap Clo
4	2190G	ALA	City of Berkeley - Safe Routes to School In Leconte Elementary
4	2190J	ALA	City of Oakland - Lake Merritt to Bay Trail closure
4	2190L	ALA	City of Oakland Improvements for Safe Rc
4	2150D	SCL	Coyote Creek Trail - Mabury to Empire
4	2190T	ALA	Creekside Middle School Safe Routes to S
4	2302	ALA	D Street Improvement project
4	2320	ALA	Doolittle Drive Bay Trail, Martin Luther Ki

GENERAL PROJECT INFORMATION			
District	PPNO	County	Project Title
4	2325	CC	Downtown Corridors Plan Bicycle and Pedit Project
4	2190A	ALA	East Bay Greenway
4	1040A	SM	East Palo Alto Highway 101 Pedestrian anc
4	2315	SOL	East Tabor and Tolenas Safe Routes to Sch
4	2306	ALA	Emeryville Bicycle and Pedestrian Greenwr Improvement Project
4	2311	MRN	Francisco Boulevard East and Grand Aven and Bicycle Connectivity
4	2309	CC	Fred Jackson Way First Mile and Last Mile
4	2308	ALA	Fruitvale Alive Gap Closure Project
4	2319	SF	Geneva Avenue Pedestrian and Bicycle Saf Project
4	2150C	SCL	Gilroy Moves
4	2190M	ALA	High Street - Courtland Avenue - Ygnacio A Improvements for Safe Routes to School
4	2323	ALA	I-80/Gilman Interchange Bicycle/Pedestria Access Improvements
4	2305	ALA	John Muir Elementary Safe Routes to Sch
4	2023B	SF	John Yehall Chin Safe Routes To School
4	2190D	ALA	LAMMPS and Laurel, Mills, Maxwell Park a Transportation Connection
4	2303	ALA	Lewelling Boulevard Safe Routes to School
4	2140Y	SM	Linden and Spruce Avenues Traffic Calmng

GENERAL PROJECT INFORMATION			
District	PPNO	County	Project Title
4	2023G	SF	Lombard Street Vision Zero Project
4	2316	SOL	McCoy Creek Trail
4	2327	NAP	Napa County Safe Routes to School Program
4	2601	NAP	Napa Valley Vine Trail: St. Helena to Calistoga
4	2324	ALA	Oakland Safe Routes to School - Crossing to Safety
4	2310	CC	Pacheco Boulevard Sidewalk Gap Closure Phase 3
4	2321	CC	Pittsburg Active Transportation and Safe Routes Pl: (WalkBikePittsburg2035)
4	2313	SF	Powell Street Safety Project
4	2140X	SM	Redwood City 2020 Sustainable Transportation Enc Project (STEP)
4	2124A	CC	Rio Vista Elementary School Pedestrian Connection
4	2329	SM	Route 101 and Holly Street Pedestrian and Bicycle I
4	2322	ALA	Sacramento Street Complete Streets Improvement
4	2231A	SOL	Safe Routes to School Infrastructure and Non-Infra: the Cities of Benicia, Rio Vista and Vallejo
4	2190K	ALA	Safe Routes to Schools - Alameda County Unincorp
4	2122B	CC	San Francisco Bay Trail, Pinole Shores to Bay Front
4	2023D	SF	San Francisco Citywide Bicycle Wayfinding Project
4	2023F	SF	San Francisco Safe Routes to School 2017-2019 No Infrastructure Project

GENERAL PROJECT INFORMATION			
District	PPNO	County	Project Title
4	2023C	SF	San Francisco Safer Streets: Increasing Bicycling and Walking in San Francisco
4	1040B	SM	San Mateo County Safe Routes to School for Health and Wellness
4	2318	SON	SMART Pathway - Petaluma (Payran to Southpoint)
4	2304	ALA	Somerset Avenue Safe Routes to School Corridor
4	2172C	SON	Sonoma County Safe Routes to School High School Pilot Program
4	2190U	ALA	Stanton Elementary School Safe Routes to School
4	2312	NAP	State Route 29 Bicycle and Pedestrian Undercrossing Project
4	2147A	SCL	Sunnyvale Safe Routes to School Improvements
4	2146A	SCL	Sunnyvale SNAIL Neighborhood Active Transportation Connectivity Improvements
4	2190V	ALA	Telegraph Avenue Complete Street Improvements
4	2122G	CC	The Yellow Brick Road in Richmond's Iron Triangle Neighborhood
4	2023E	SF	Vision Zero Safety Investment
4	2328	SF	Vision Zero SF: Safer Intersections
4	2314	SM	Woodside Elementary School Student Pathway Project Phase III
5	2692	MON	Alvin Drive and Linwood Drive Safe Routes to School Improvements
5	2693	MON	Bardin Road Safe Routes to School Improvements
5	2599	14B	Cacique and Soledad Pedestrian and Bicycle Bridges and Corridor Improvements





### **Delivery has failed to these recipients or groups:**

Your message couldn't be delivered. The Domain Name System (DNS) reported that the recipient's domain does not exist.

Contact the recipient by some other means (by phone, for example) and ask them to tell their email admin that it appears that their domain isn't properly registered at their domain registrar. Give them the error details shown below. It's likely that the recipient's email admin is the only one who can fix this problem.

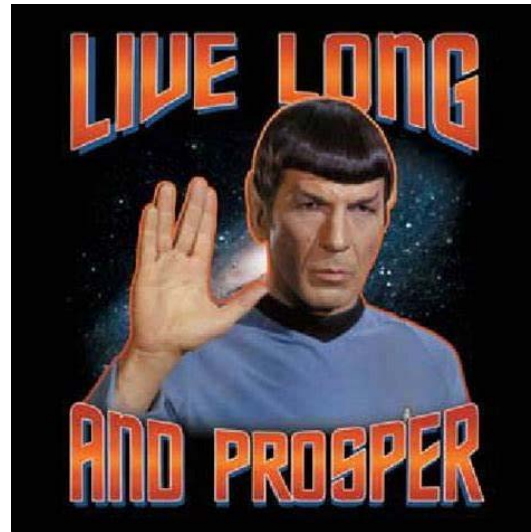
For more information and tips to fix this issue see this article: <https://go.microsoft.com/fwlink/?LinkId=389361>.

# Roles of SPOC (as needed)

- Master Agreements
- Training Coordination
- Inactive Projects
- Program Supplement Agreements (after funding obligation/allocation)
- HBP Survey (annually, due September)
- Disadvantaged Business Enterprise (DBE)
- Program Update Notifications (ER, HSIP, ATP, SB1)
- Cooperative Work Agreement (CWA) (annually, Sept. to Oct.)
- Things we don't know/who to contact

# SPOC Quality

- Know the people within your agency
- Know who is responsible for what
- Knowledgeable about federal/state aid process
- Respond within reasonable timeframe

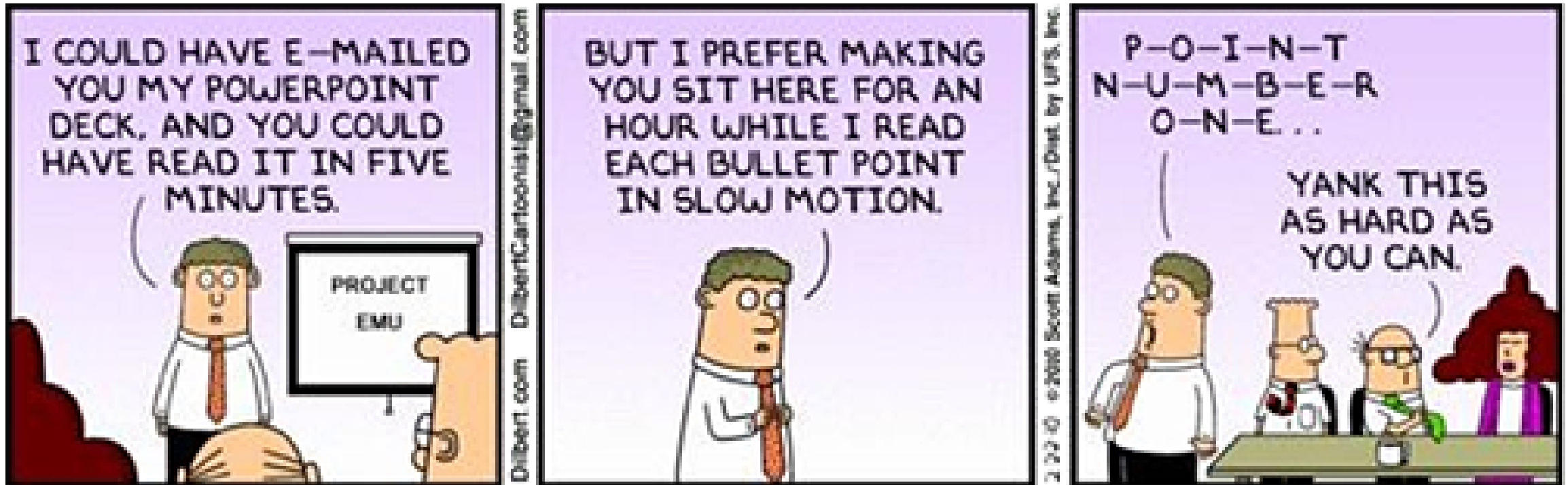


Questions?

# Rebuilding California



# Why We Wear Ties





# Road Repair and Accountability Act

Senate Bill 1, signed into law on April 28, 2017, **invests \$54 billion over the next decade** to fix roads, freeways and bridges in communities across California and puts more dollars towards transit and safety. These **funds are split equally between state and local programs.**





# SB1 Programs



## Fix It First Programs

- SHOPP - \$1.5 billion annually
- Local Streets and Roads - \$1.5 billion annually  
Caltrans does not manage this program
- Highway Maintenance- \$400 million annually

## Multi-Modal Programs

- Local Partnership Program - \$200 million annually  
HQ Local Assistance – Sharon Bertozzi
- Solutions for Congested Corridors - \$250 million annually  
HQ Programming – Leah Sheppard / Surjit Dhillon
- Trade Corridor Enhancement Program - \$300 million annually  
HQ Programming – Gretchen Chavez



# SB1 Programs



## Transit and Active Transportation

- **Active Transportation Program - \$100 million annually**  
HQ Local Assistance – Gary Gutierrez
- **Transit and Intercity Rail Capital Program - \$250 million annually**  
Division of Rail and Mass Transportation (DRMT) – Ezequiel Castro
- **State Transit Assistance Program – 280 million annually**  
CalSTA Awarded Grants / DRMT – Wendy King
- **State Rail Assistance Program - \$64.2 million annually**  
CalSTA Awarded & Allocated / DRMT – Ezequiel Castro
- **State of Good Repair - \$105 million annually**  
DRMT – Wendy King



# SB1 Programs



- Freeway Service Patrol – additional \$25 million annually
- Sustainable Communities Planning Grants - \$25 million annually
- Adaptation Planning Grants - \$20 million
- University Transportation Research - \$7 million annually
- Advanced Mitigation Program - \$30 million annually (4 years)



# SB1 Key Features



- **Created an Inspector General** position to lead the new Independent Office of Audits and Investigations to ensure proper use of transportation funds.
- **Increased the California Transportation Commission's oversight** responsibilities.
- Requires **Caltrans to implement efficiency measures** with the goal to **generate 100 million per year in savings**. Caltrans has committed to CalSTA that we will generate \$200 million per year in savings.
- Adds Sustainability Provisions. To the extent possible, cost effective, and feasible, to projects the funded by RMRA will use: Advanced Technology, Recycling, Advanced Communication Systems, Complete Streets Elements.



# Accountability



## SB 1 Requires that the Inspector General ensure:

- Department and external entities receiving state and federal funds are spending those funds efficiently, effectively, economically and in compliance with applicable state and federal requirements.
- Department programs are functioning consistent with applicable accounting standards and practices and are administered effectively, efficiently and economically.
- Department's management is accomplishing departmental priorities... making efficient, effective, and financially responsible transportation decisions.



# Accountability



## SB 1 requires the CA Transportation Commission:

- Develop guidelines for each program.
- Ensure guidelines are complete and specific criteria is used for each program.
- Adopt programs to be funded with SB 1 funds.
- Allocate program funds to projects.
- Exercise programmatic oversight for the delivery of SB 1 funded projects with regard to benefits, scope, cost, and schedule consistent with the program objectives, project applications, and executed agreements.



# Performance Outcomes



**Requires that Caltrans meet the following performance outcomes by 2027:**

- 98% or better of pavement on the state highway system in good or fair condition.
- 90% or better – level of service achieved for maintenance or potholes, spalls, and cracks.
- 90% or better of culverts in good or fair condition.
- 90% or better of the transportation management system units in good condition.
- Fix at least 500 bridges





# Accountability



## Accountability & Transparency Guidelines

Active Transportation Program Guidelines

Solutions for Congested Corridors Program Guidelines

Trade Corridors Enhancement Guidelines

Local Partnership Program Guidelines

### **SHOPP Guidelines**

- Allowable Program Elements
- Reporting Requirements
- Timely Use of Funds



# Baseline & Reporting



Program	Baseline Agreement Requirement *	Progress Report	Completion Report	Final Report
Active Transportation Program (ATP)	Total \$ $\geq$ \$25M Or RMRA $\geq$ \$10M	All	All	All
Local Partnership Program (LPP-F) Formulaic	None		All	All
Local Partnership Program (LPP-C) Competitive	Total \$ $\geq$ \$25M Or RMRA $\geq$ \$10M		All	All
Solutions for Congested Corridors (SCCP)	All	All	All	All
Trade Corridor Enhancement Program (TCEP)	All			
State Highway Operation and Protection Program (SHOPP)	Total \$ $\geq$ \$40M	Baselined	Baselined	Baselined

\* If a project initially falls below the threshold and later increases to meet the threshold requirements, a Baseline Agreement is required within 60 days of when the change is identified.

\*\* A Baseline Agreement will be amended if a project receives



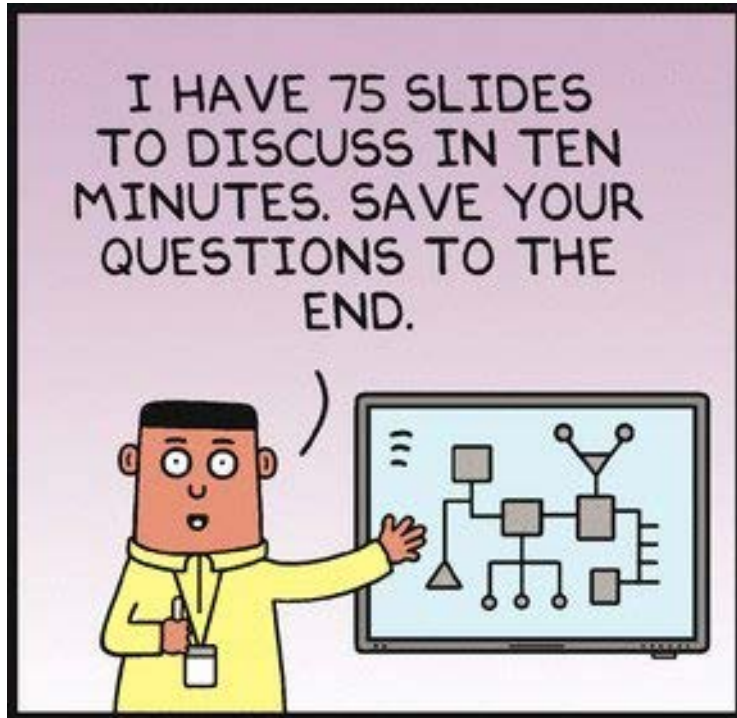
# Baseline & Reporting



Program	Funding Cycle	Funded Phases	Match	Baseline Agrmt. Requirement *	Timely Use of Funds	Prog Rpt	Comp Rpt	Final Rpt #
Active Transp. (ATP) \$100 mm	Includes four years of funding. The 2019 ATP will be FY's 19-20 through 22-23	ATP Planning ATP Education PAED, PSE, RW, Const.	No	Total \$ >= \$25M Or RMRA >= \$10M Due < 6 mos. after NOD	Alloc. to Award < 6 mos. Award to Accept < 36 mos. R/W expenditures < 2FY after alloc. FY Alloc. Extensions < 20 mos. Award Extensions < 12 mos. Completion extensions < 12 mos.	All	All	All
Local Partnership Formulaic (LPP-F) \$100 mm	Initial cycle is 17/18 and 18/19, Programmed annually in October thereafter	Any	1:1 except 50% in jurisdictions with tax/fees less than \$100k Annually. STIP Allowed as match.	None	Alloc. to Award < 6 mos. Award to Accept < 36 mos. R/W expenditures < 2FY after alloc. FY Completion extensions < 20 mos.	No	All	All
Local Partnership Competitive (LPP-C) \$100 mm	Initial program is 17/18 through 19/20. Programmed every two-years	Const.		Total \$ >= \$25M Or RMRA >= \$10M	Alloc. to Award < 6 mos. Award to Accept < 36 mos. R/W expenditures < 2FY after alloc. FY Completion extensions < 20 mos.	BL	All	All
Solutions for Congested Corridors (SCCP) \$250 mm	Initial 2018 Program is FY 17/18 through 20/21. Three years of funding in subsequent cycles (2020, 2022, etc.) by November 1 of each even-numbered year with two new years of programming capacity added to the program	Des./Build Const.	No	All	Alloc. to Award < 6 mos. Award to Accept < 36 mos. Alloc. & Award extensions < 12mos. Completion extensions < 20 mos.	All	All	All
Trade Corridor Enhance. (TCEP) \$300 mm	Nat. Hwy Freight Prgm 15/16-19/20 TCEP 17/18 – 19/20 Future Cycle duration TBD.	Any	30% non-CTC \$'s except STIP No Match for CT Sponsored	All	Expend. Extensions < 12 mos. Alloc. to Award < 6 mos. R/W expenditures < 2FY after alloc. FY Award to Accept < 36 mos. Completion extensions < 20 mos.	All	All	All
State Hwy Operation and Protection (SHOPP) \$1.5 bn	Four Year Program adopted by 4/1 in even years.	All		Total \$ >= \$40M Due within 2 mtgs after PA&ED	Beg. Expend. within 6mos. of alloc. 36mos. to complete any phase 72 mos. to complete R/W Alloc. to Award < 6 mos. Alloc.,Expend.,Award Completion extensions < 20 mos.	BL	BL	BL



# Are We Done Yet?



Dilbert.com @ScottAdamsSays



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# Progress Reporting



- Project Reporting will be in accordance with the SB 1 Accountability and Transparency Guidelines and the program specific guidelines. Caltrans will continue to require Quarterly Reporting to ensure that Caltrans continues with pro-active and accountable Program Management.
- Progress Reporting will stop after the CTC's acceptance of the Completion Report or project un-programming. Applicable to all SB 1 funded programs managed by Caltrans and subject to the Accountability and Transparency Guidelines.
- District SB 1 Coordinators & HQ Program Coordinators shall communicate changes as compared to last reporting cycle and reasons (if applicable) to the SB 1 office and their CTC counterpart.



# Progress Reporting



- High Risk projects shall be identified that may rise to level of discussion with the executive management, discussion with commissioners, and/or are political sensitive in nature.
- Program Coordinators are responsible for entering baseline agreement dates in Cal SMART once the CTC has taken action.
- Each program template is to remain unchanged. If there are recommended changes, please work with the SB1 office because the specific changes may have impacts to other program templates.



# Corrective Action Plans



- Applicable to all programs.
- Corrective action plans (CAP) shall be written in plain language available for public consumption and communicates the challenge and intended solution.
- A cross check of CTC actions against CAPs (time extensions, funds request, etc.) shall be confirmed.
- If a CAP has been resolved, it should be noted in the next reporting cycle that the issue has been resolved and further removed in a subsequent reporting cycle .



# Corrective Action Plans



Removal of a project from the CAP list could be:

- The risk has been mitigated within the approved cost, scope, schedule, and expected benefits
- Commission Action
- Criteria for Corrective Action Plan:
  - Change (decrease) in expected Benefits. CAP will not be required for increased benefits.
  - Estimate at completion trending higher than budget
  - Change in Cost (support and/or capital)
  - Change in Scope
  - Change in schedule (6+ months or a major milestone is being moved outside of approved FY)
- SHOPP only: CAPs are only applicable to projects with baselines agreements





# Completion Reporting



- High Risk projects shall be identified that may rise to level of discussion with the executive management, discussion with commissioners, and/or are political sensitive in nature.
- Program Coordinators are responsible for entering baseline agreement dates in Cal SMART once the CTC has taken action.
- Each program template is to remain unchanged. If there are recommended changes, please work with the SB1 office because the specific changes may have impacts to other program templates.



# SB1 Office



## Lead / Integrate across CTC, Divisions to Optimize Processes

1. Partnerships – External-Internal (CalSTA)
2. Data
  - a. SB1 Portal (Onramp > CT Internet > Programs > Senate Bill 1 (SB1))
  - b. Data quality/Governance
  - c. Rebuild CA (Project Web Map)
  - d. CalSMART (Progress Reporting, ePPR)
3. Program Management
  - a. Guidelines
  - b. Reporting
  - c. Benefits, Outputs & Outcomes
  - d. SB1 Programs
4. Efficiency/innovation





# Efficiencies for FY 18-19



Efficiencies		\$233.2 M
<b>Innovative Tools</b> <ul style="list-style-type: none"> <li>Acceleration of work</li> <li>Innovative Striping Contracts</li> </ul>	<ul style="list-style-type: none"> <li>CM/GC Contracts</li> <li>Advanced Mitigation Credits</li> </ul>	\$109 M
<b>New Technology</b> <ul style="list-style-type: none"> <li>Durable/Reflective Striping</li> <li>LED Lighting Retrofits</li> </ul>	<ul style="list-style-type: none"> <li>Fleet GPS</li> <li>Mobile Field Devices (Construction)</li> <li>High Performance Reflective Signs</li> </ul>	\$26.1 M
<b>Process Improvements</b> <ul style="list-style-type: none"> <li>Value Analysis</li> <li>NEPA Delegation</li> </ul>	<ul style="list-style-type: none"> <li>Value Engineering (VA)</li> <li>Lean 6 Sigma Improv.</li> </ul>	\$98.2 M



# On The Horizon



- Updated SCCP and TCEP Guidelines
- Roles and Responsibilities
  - District SB 1 Coordinators
  - RMRA Funded Programs Change Control Process
- Senior TE Position
- Rebuild CA Web Map Improvements (Data Quality)
- CalSMART Improvements (ePPR, Closeout Reporting)



# On The Horizon



Program	Draft Guidelines	Adopted Guidelines	Applications Due	Staff Recommendations	Program Adoption
Local Partnership Program (Competitive)	January 29-30, 2020*	March 25-26, 2020*	May 18, 2020	September 15, 2020	October 14-15, 2020*
Solutions for Congested Corridors	December 4-5, 2019*  Draft to Legislature December 29, 2020**	January 29-30, 2020*	June 1, 2020	September 15, 2020	October 14-15, 2020*
Trade Corridor Enhancement Program	January 29-30, 2020*	March 25-26, 2020*	June 15, 2020	September 15, 2020	October 14-15, 2020*

Disclaimer: The schedule is subject to change through the program guidelines workshop process.

\* Commission Meeting

\*\*Transmit SCCP Guidelines to the Joint Budget Committee, Senate/Assembly Transportation Committees per SHC 2396 (30 days prior to Commission adoption)

[#RebuildingCA](#)



[www.rebuildingca.ca.gov](http://www.rebuildingca.ca.gov)

## Program Requirements Summary

Program	Funding Cycle	Funded Phases	Match	Baseline Agrmt. Requirement *	Timely Use of Funds	Prog Rpt	Comp Rpt	Final Rpt #
Active Transp. (ATP) \$100 mm	Includes four years of funding. The 2019 ATP will be FY's 19-20 through 22-23	ATP Planning ATP Education PAED, PSE, RW, Const.	No	Total \$ >= \$25M Or RMRA >= \$10M Due < 6 mos. after NOD	Alloc. to Award < 6 mos. Award to Accept < 36 mos. R/W expenditures < 2FY after alloc. FY Alloc. Extensions < 20 mos. Award Extensions < 12 mos. Completion extensions < 12 mos.	All	All	All
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Trade Corridor Enhance. (TCEP) \$300 mm	Nat. Hwy Freight Prgm 15/16-19/20 TCEP 17/18 – 19/20 Future Cycle duration TBD.	Any	30% non-CTC \$'s except STIP No Match for CT Sponsored	All	Expend. Extensions < 12 mos. Alloc. to Award < 6 mos. R/W expenditures < 2FY after alloc. FY Award to Accept < 36 mos. Completion extensions < 20 mos.	All	All	All
State Hwy Operation and Protection (SHOPP) \$1.5 bn	Four Year Program adopted by 4/1 in even years.	All		Total \$ >= \$40M Due within 2 mtgs after PA&ED	Beg. Expend. within 6mos. of alloc. 36mos. to complete any phase 72 mos. to complete R/W Alloc. to Award < 6 mos. Alloc.,Expend.,Award Completion extensions < 20 mos.	BL	BL	BL

## Estimated 2020 Competitive Programs Implementation Schedules

Program	Draft Guidelines	Adopted Guidelines	Applications Due	Staff Recommendations	Program Adoption
<b>Local Partnership Program (Competitive)</b>	January 29-30, 2020*	March 25-26, 2020*	May 18, 2020	September 15, 2020	October 14-15, 2020*
<b>Solutions for Congested Corridors</b>	December 4-5, 2019* Draft to Legislature December 29, 2020**	January 29-30, 2020*	June 1, 2020	September 15, 2020	October 14-15, 2020*
<b>Trade Corridor Enhancement Program</b>	January 29-30, 2020*	March 25-26, 2020*	June 15, 2020	September 15, 2020	October 14-15, 2020*

Disclaimer: The schedule is subject to change through the program guidelines workshop process.

\* Commission Meeting

\*\*Transmit SCCP Guidelines to the Joint Budget Committee, Senate/Assembly Transportation Committees per SHC 2396 (30 days prior to Commission adoption)



## Fiscal Year 2019-20 – S.B. 1 Progress Report Schedule

### Semi-Annual Reports for ATP, SCCP, TCEP, LPP-Competitive and SHOPP

Approximate Timeline	July – Sept Q1	July – December March 2020	Jan – March Q3	January – June October 2020
30-day notice to implementing agencies	10-2-19	1-1-20	4-1-20	7-1-20
Last day of the reporting period	9-30-19	12-31-19	3-30-20	6-30-20
Project progress reports submitted via CalSMART due to Caltrans	10-31-19	1-31-20	4-30-20	7-31-20
Corrections due via CalSMART	11-7-19	2-7-20	5-7-20	8-7-20
Q1 & Q3 only – identify potential issues and check in with CTC staff	By 12-7-19		By 6-7-20	
2-week period for Program Coordinators to review project reports, meet with CTC staff, prepare program report and attachments		2-7 to 2-21-20		8-7 to 8-21-20
Internal meeting with Coordinators		2-20-20		by 8-19-20
Submit Program Report to SB1 Office		2-21-20		8-21-20
SB1 office prepares Overall Program Progress report		2-26-20		8-26-20
Submit complete report to CTC		2-28-20		8-28-20
Final review meeting with CTC Staff		3-4-20		by 9-11-20
Revise (if necessary) and Finalize Overall SB1 Program Progress Report		3-6-20		9-21 to 9-28-20
Remediate entire report		3-10-20		9-25-20
Submit SB1 Program Progress Report to CTC Liaison		3-13-20		9-28-20
Post on SB 1 Portal (10 days prior to meeting)		March 16, 2020		October 2, 2020
CTC Meeting		March 26, 2020		October 14-15, 2020

# MTC SPOC Training

Caltrans District 4 Office of Local Assistance

**Tom Holstein, Environmental Branch Chief**

Environmental Overview & Best Practices

2019.11.04

# D4 Local Assistance Environmental Team

**HUGO AHUMADA**  
Environmental Planner  
Sonoma, San Mateo, Marin

**DAN RIVAS**  
Environmental Planner  
Alameda, Napa, San Francisco, Santa Clara

**ANTARA MURSHED**  
Environmental Planner  
Alameda, Contra Costa, Solano

**JOSE REYES**  
Program Support

**KELLI ALAHAN**  
Archaeologist

**KEEVAN HARDING**  
Biologist

**HAIYAN ZHANG**  
Environmental Planner  
Headquarters

**TOM HOLSTEIN**  
Environmental Planner

# When is National Environmental Policy Act (NEPA) Approval Required ?

- For every project that has federal funding:
  - Infrastructure and Non-Infrastructure Projects
  - Regardless of which project phase has federal funding

# Starting the Process with Caltrans

- When the project is in the Federal Transportation Improvement Program, submit a **Field Review Package** including:
  - ✓ Local Agency Cover Letter requesting field review
  - ✓ Field Review Form (plus attachments)
  - ✓ Preliminary Environmental Study (PES) form (plus attachments)
  - ✓ TIP Listing
  - ✓ 2 HARD COPIES!

- Send to:

**Jose Reyes**

Office of Local Assistance

111 Grand Avenue, Mail Station 10B

P.O. Box 23660, Oakland, CA 94623-0660

[jose.reyes@dot.ca.gov](mailto:jose.reyes@dot.ca.gov)

(510) 286 5233

# NEPA Assignment Updates

## ➤ **Statewide Initiatives:**

- NEPA Process Improvements
- Risk Based Stewardship and Oversight

## ➤ **D4 Local Assistance Initiatives:**

- Using mitigation list instead of technical memoranda
- Electronic filing and submissions

# Mitigation List

- **Local Assistance Procedures Manual** (Chapter 6, Page 29):
  - 'The local agency is also responsible for developing a list of all mitigation as related to NEPA and providing it along with the technical reports and draft environmental document to the DLAE'
- **Current practice:**
  - 1) Local Agency submits technical memoranda after PES form
  - 2) Environmental Planner completes mitigation list on Page 2 of Categorical Exclusion

**DEPARTMENT OF TRANSPORTATION**

DISTRICT 4

Office of Local Assistance  
P.O. BOX 23660, MS-10B  
OAKLAND, CA 94623-0660  
PHONE (510) 286-6371  
FAX (510) 286-5229  
TTY 711  
www.dot.ca.gov



*Making Conservation  
a California Way of Life.*

25 January 2019

Deirdre Castillo  
City of Pleasant Hill  
100 Gregory Lane  
Pleasant Hill, CA 94523

STPL 5375 (034) Pleasant Hill Road Pavement Rehabilitation Project

Dear Ms. Castillo:

Our office is in receipt of the Cultural Resources assessment on the Section 106 requirements for the Pleasant Hill Road Pavement Rehabilitation Project. The Preliminary Environmental Study (PES) Form has been signed by Cultural Resources Professionally Qualified Staff. Similarly, the District Local Assistance Engineer (DLAE) and the Environmental Planner Designee have affixed their signatures to the document. The environmental scoping is therefore complete.

The following studies are required as per the PES:

- 1) Traffic Technical Memorandum
- 2) Noise Technical Memorandum (Contingent on night work)
- 3) Air Quality- MTC PM2.5 Email
- 4) Hazardous Waste Technical Memorandum (Lead based paint)
- 5) Water Quality Technical Memorandum (Best management practices during construction)
- 6) Section 4(f)- Concurrence letter from Winslow Center (Pleasant Hill Recreation and Park District)

Please prepare those studies at your earliest convenience and submit them to our office for review. An overview of the status of studies is provided on the Local Assistance website available at the following link: <http://www.dot.ca.gov/dist4/ola/>

If you have any questions regarding this letter, please feel free to contact Antara Murshed at (510) 286 5250.

Sincerely,

A handwritten signature in black ink, appearing to read "Tom Holstein".

Tom Holstein  
Senior Environmental Planner  
Office of Local Assistance



**CATEGORICAL EXEMPTION/CATEGORICAL EXCLUSION DETERMINATION FORM**

<b>04-SCI-0-Cmb</b>	<b>CML-5306(029)</b>
Dist.-Co.-Rte. (or Local Agency) P.M./P.M.	E.A/Project No. Federal-Aid Project No. (Local Project)/Project No.
<b>PROJECT DESCRIPTION: Eden Avenue Sidewalk Improvements</b>	
<p>The City of Campbell proposes to make multiple improvements on Eden Avenue between Hamilton Avenue and the northern City limits. Project work includes installing PCC sidewalk, curb, gutter, driveway aprons, and curb ramps; a pedestrian activated flashing beacon system; a new storm drain system including storm drain inlets, manholes, and piping connecting to the City of San Jose drainage system; removal and replacement of striping, pavement markings, and signs; tree removal and replacement planting; streetlight installation; adjusting survey monuments and storm manhole covers to grade; AC and PCC saw-cutting, AC milling, and conform paving. All work will take place within previously developed City ROW.</p>	
<b>CEQA COMPLIANCE</b> (for State Projects only)	
<p>Based on an examination of this proposal and supporting information, the following statements are true and exceptions do not apply (See 14 CCR 15300 et seq.):</p> <ul style="list-style-type: none"> <li>• If this project falls within exempt class 3, 4, 5, 6 or 11, it does not impact an environmental resource of hazardous or critical concern where designated, precisely mapped, and officially adopted pursuant to law.</li> <li>• There will not be a significant cumulative effect by this project and successive projects of the same type in the same place, over time.</li> <li>• There is not a reasonable possibility that the project will have a significant effect on the environment due to unusual circumstances.</li> <li>• This project does not damage a scenic resource within an officially designated state scenic highway.</li> <li>• This project is not located on a site included on any list compiled pursuant to Govt. Code § 65962.5 ("Cortese List").</li> <li>• This project does not cause a substantial adverse change in the significance of a historical resource.</li> </ul>	
<b>CALTRANS CEQA DETERMINATION</b> (Check one)	
<input checked="" type="checkbox"/> <b>Not Applicable – Caltrans is not the CEQA Lead Agency</b> <input type="checkbox"/> <b>Not Applicable – Caltrans has prepared an Initial Study or Environmental Impact Report under CEQA</b>	
<input type="checkbox"/> <b>Exempt by Statute.</b> (PRC 21080[b]; 14 CCR 15260 et seq.) Based on an examination of this proposal, supporting information, and the above statements, the project is:	
<input type="checkbox"/> <b>Categorically Exempt. Class</b> . (PRC 21084; 14 CCR 15300 et seq.)	
<input type="checkbox"/> <b>Categorically Exempt. General Rule exemption.</b> [This project does not fall within an exempt class, but it can be seen with certainty that there is no possibility that the activity may have a significant effect on the environment (CCR 15061[b][3].)]	
_____ Print Name: Senior Environmental Planner or Environmental Branch Chief	_____ Print Name: Project Manager
_____ Signature	_____ Date
_____ Signature	_____ Date
<b>NEPA COMPLIANCE</b>	
<p>In accordance with 23 CFR 771.117, and based on an examination of this proposal and supporting information, the State has determined that this project:</p> <ul style="list-style-type: none"> <li>• does not individually or cumulatively have a significant impact on the environment as defined by NEPA, and is excluded from the requirements to prepare an Environmental Assessment (EA) or Environmental Impact Statement (EIS), and</li> <li>• has considered unusual circumstances pursuant to 23 CFR 771.117(b).</li> </ul>	
<b>CALTRANS NEPA DETERMINATION</b> (Check one)	
<input checked="" type="checkbox"/> <b>23 USC 326:</b> The State has determined that this project has no significant impacts on the environment as defined by NEPA, and that there are no unusual circumstances as described in 23 CFR 771.117(b). As such, the project is categorically excluded from the requirements to prepare an EA or EIS under the National Environmental Policy Act. The State has been assigned, and hereby certifies that it has carried out the responsibility to make this determination pursuant to Chapter 3 of Title 23, United States Code, Section 326 and a Memorandum of Understanding dated May 31, 2016, executed between the FHWA and the State. The State has determined that the project is a Categorical Exclusion under: <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> <b>23 CFR 771.117(c): activity (c) (3)</b></li> <li><input type="checkbox"/> <b>23 CFR 771.117(d): activity (d) ( )</b></li> <li><input type="checkbox"/> <b>Activity ( ) listed in Appendix A of the MOU between FHWA and the State</b></li> </ul>	
<input type="checkbox"/> <b>23 USC 327:</b> Based on an examination of this proposal and supporting information, the State has determined that the project is a Categorical Exclusion under 23 USC 327. The environmental review, consultation, and any other actions required by applicable Federal environmental laws for this project are being, or have been, carried out by Caltrans pursuant to 23 USC 327 and the Memorandum of Understanding dated December 23, 2016 and executed by FHWA and Caltrans.	
_____ Print Name: Senior Environmental Planner or Environmental Branch Chief	_____ Print Name: Project Manager/DLA Engineer
_____ Signature	_____ Date
_____ Signature	_____ Date
Date of Categorical Exclusion Checklist completion: 5/24/18	
Date of ECR or equivalent : N/A	

**CATEGORICAL EXEMPTION/CATEGORICAL EXCLUSION DETERMINATION FORM**  
**Continuation Sheet**

<b>04-SCI-0-Cmb</b>			<b>CML-5306(029)</b>
Dist.-Co.-Rte. (or Local Agency)	P.M./P.M.	E.A/Project No.	Federal-Aid Project No. (Local Project)/Project No.

Continued from page 1:

**Biology**

- The City will plant a minimum of three new 24-inch box trees in the near vicinity of the removed trees.
- Construction may be scheduled to avoid the nesting season to the extent feasible (February 1<sup>st</sup> to August 31<sup>st</sup>). If construction falls within the nesting season window, preconstruction nesting bird surveys will be completed by a qualified biologist prior to tree trimming or any construction related activity no more than 14 days prior to initiation of construction activities. Surveys must include the project site, staging area, and areas within 500 feet surrounding the project site. If nesting bird activity is observed, the biologist in consultation with CDFW will determine an adequate buffer zone and other minimization measures to ensure the nest will not be disturbed by project construction.
- The City will adhere to any applicable City policies and/or regulations with respect to landscaping for public projects, and will use drought tolerant, non-invasive plant materials. Hydroseeding will not be used for erosion control during the construction of the project improvements.

**Water Quality**

- The Contractor shall conform to the City's Storm Water Pollution Control Ordinance, the provisions in Section 7-1.01G, "Water Pollution," of the SJSS, SWPPP and WPCP Preparation Manual and its addenda in effect on the day of the Notice to Contractors is dated, and BMPs for the Construction Industry to prevent contamination of the City's storm drain system.
- The Contractor shall prepare and implement a WPCP for the project duration.
- City inspectors will be on-site daily during construction to ensure WPCP storm water measures are implemented correctly.

**Traffic**

- Work hours will be limited to the hours between 8:00 am and 5:00 pm, Monday through Friday. Night or weekend work is not anticipated.
- When temporary traffic control is needed, the contractor will be required to adhere to traffic control plans reviewed and approved by the City.
- Pedestrian access will be maintained clear of debris and meet all ADA requirements throughout the work zone for the duration of the project.
- Emergency access shall be maintained throughout the construction period. No lane closures shall preclude access by emergency vehicles, including those operated by the police department, fire department, and ambulances.
- Advanced notifications will be hand delivered two weeks, two days, and the morning of driveway closures for properties temporarily rendered inaccessible during construction. Contract specifications will require that the driveways be re-opened within 72 hours of initial closure.
- Timely notification will be provided to nearby residents and the adjacent school to inform them of parking spaces rendered temporarily unavailable during construction. No permanent parking changes are proposed.
- Sharrows markings damaged or destroyed during construction will be replaced by the project.

**Equipment Staging**

- In the event that the contractor elects to use a staging area, the staging area shall:
  - Be located on an existing concrete or other paved area
  - Not be located in an environmentally or culturally sensitive area and/or impact water resources
  - Not be located in a regulatory floodway or within the base 100-year floodplain
  - Not negatively impact neighboring properties or roadways
  - Not impede the reasonable flow of traffic through or about any roadway or intersection
- Material and equipment deliveries to the site shall be limited to City designated truck routes
- Bicycle lanes and pedestrian sidewalks shall remain open during construction

# New practice starting November 1, 2019

- At the field review, the Environmental Planner will discuss the potential for using standard mitigation.
- Prior to the Categorical Exclusion, instead of submitting technical memos the Local Agency will submit one letter with all the mitigation commitments.
- Where resource impacts are more complex, studies (e.g. Cultural, Biological) or individual memos will still be required.

Caltrans D4 Local Assistance  
326 CE Standard Mitigation Commitments table

**Federal Project Number:**

**Name of Project:**

Check	Number	Mitigation
<b>Traffic</b>		
	T1.a	During construction, at least one lane in each direction will be kept open at all times.
	T1.b	During construction, through traffic will be maintained at all times (e.g. through temporary signals, flaggers).
	T2	Bicycle and pedestrian access will be maintained at all times, using short signed detours if necessary.
	T3.a	Access to properties will be maintained at all times.
	T3.b	Access to properties will be maintained at all times, apart from extremely brief periods while construction work is passing through. These exceptions will be minimized as far as reasonably practicable.
	T4	There will be advance notification of construction work to the community and stakeholders in accordance with Local Agency procedures.
	T5	A traffic management plan will be prepared for Local Agency review and approval prior to construction.
<b>Hazardous Waste</b>		
	H1.a	Yellow paint or thermoplastic is present in the project area and will be removed by the project. Since the date of installation is either unknown, or prior to 1997 (paint) or 2006 (thermoplastic), there will be sampling followed by a lead compliance plan.
	H1.b	Yellow paint or thermoplastic is present in the project area and will be removed by the project. Since the date of installation is either unknown, or prior to 1997 (paint) or 2006 (thermoplastic), Caltrans specifications 14-001 will be included within the project specifications.
	H2	The project area may contain Aerially Deposited Lead (ADL). ADL sampling followed by a lead compliance plan will be prepared and implemented
<b>Water Quality</b>		
	W1	Best Management Practices will be used to prevent construction-related debris entering drainage inlets or indirectly into any other water resources.
	W2	The Contractor will be required to prepare a SWPPP or Water Control Pollution Plan

<b>Biology</b>		
	B1	Tree removal will take place outside of nesting bird season (15 <sup>th</sup> February to 31 <sup>st</sup> August). If tree removal takes place during nesting bird season, a biologist will conduct a nesting bird survey in the 7 days prior to removal. If active nests are found, a no-work buffer surrounding the nest will be determined in consultation with CDFW. The no-work buffer will remain in place until the biologist has confirmed the young are foraging independently or the nest has failed.
	B2	Tree protection fencing will be used to protect the trees that are not to be removed during construction
<b>Section 4(f)</b>		
	4f1	During construction, access may be temporarily affected to the 4(f) resource. The Local Agency will consult with the 4(f) officials with jurisdiction prior to construction to minimize disruption.
<b>Visual Resources</b>		
	V1	Trees removed by the project will be replaced in accordance with the Local Agency ordinance
	V2	Landscaping removed by the project will be replaced similar to pre-project conditions
<b>Community</b>		
	C1	Community outreach will be undertaken during final design, and the results taken into consideration in finalizing the PS&E package
<b>Archaeology</b>		
	A1	If cultural materials are discovered during construction, work shall be halted in that area until a qualified archaeologist has assessed the potential discovery and determined the need for further action.
<b>Equipment Staging</b>		
	E1	Equipment staging will be left to the contractor. The specifications will require the following: <ul style="list-style-type: none"> <li>The staging area will be located on an existing asphalt or concrete surface area. Excavation below the asphalt or concrete will not be permitted.</li> <li>The staging area will be included in the Contractors SWPPP or WPCP</li> <li>The staging area will not be located adjacent to environmentally or culturally sensitive areas (e.g. wildlife sites, wetlands, archaeological sites)</li> <li>The staging area will not be located in a regulatory floodway or within the base floodplain (100-year)</li> <li>The staging area will not affect access to properties or roadways.</li> </ul>

**DEPARTMENT OF TRANSPORTATION**

DISTRICT 4  
Office of Local Assistance  
P.O. BOX 23660, MS-10B  
OAKLAND, CA 94623-0660  
PHONE (510) 286-6371  
FAX (510) 286-5229  
TTY 711  
www.dot.ca.gov



*Making Conservation  
a California Way of Life.*

25 January 2019

Deirdre Castillo  
City of Pleasant Hill  
100 Gregory Lane  
Pleasant Hill, CA 94523

STPL 5375 (034) Pleasant Hill Road Pavement Rehabilitation Project

Dear Ms. Castillo:

Our office is in receipt of the Cultural Resources assessment on the Section 106 requirements for the Pleasant Hill Road Pavement Rehabilitation Project. The Preliminary Environmental Study (PES) Form has been signed by Cultural Resources Professionally Qualified Staff. Similarly, the District Local Assistance Engineer (DLAE) and the Environmental Planner Designee have affixed their signatures to the document. The environmental scoping is therefore complete.

The following studies are required as per the PES:

- 1) Traffic Technical Memorandum
- 2) Noise Technical Memorandum (Contingent on night work)
- 3) Air Quality- MTC PM2.5 Email
- 4) Hazardous Waste Technical Memorandum (Lead based paint)
- 5) Water Quality Technical Memorandum (Best management practices during construction)
- 6) Section 4(f)- Concurrence letter from Winslow Center (Pleasant Hill Recreation and Park District)

Please prepare those studies at your earliest convenience and submit them to our office for review. An overview of the status of studies is provided on the Local Assistance website available at the following link: <http://www.dot.ca.gov/dist4/ola/>

If you have any questions regarding this letter, please feel free to contact Antara Murshed at (510) 286 5250.

Sincerely,

A handwritten signature in black ink, appearing to read "Tom Holstein".

Tom Holstein  
Senior Environmental Planner  
Office of Local Assistance

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*Making  
Conservation a  
California Way of Life.*

DATE

Deirdre Castillo  
City of Pleasant Hill  
100 Gregory Lane  
Pleasant Hill, CA 94523

STPL 5375 (034) Pleasant Hill Road Pavement Rehabilitation Project

Dear Ms Castillo:

Our office is in receipt of the Cultural Resources assessment on the Section 106 requirements for the Pleasant Hill Road Pavement Rehabilitation Project. The Preliminary Environmental Study (PES) Form has been signed by Cultural Resources Professionally Qualified Staff. Similarly, the District Local Assistance Engineer (DLAE) and the Environmental Planner Designee have affixed their signatures to the document. The environmental scoping is therefore complete.

Please submit the PM2.5 email provided by MTC [and confirm your right of way requirements via email].

Please submit a letter containing mitigation commitments to support the Categorical Exclusion. **Our recommended commitments are T1a, T2, T3a, T4, N1, H1a, W1, E1 4f1 (See attached).** Please note that deviation from the wording of these commitments may lead to further review of NEPA requirements.

If you have any questions regarding this letter, please feel free to contact Antara Murshed at (510) 286 5250.

Sincerely,

Tom Holstein  
Senior Environmental Planner  
Office of Local Assistance

**DEPARTMENT OF TRANSPORTATION**

**DISTRICT 4**

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*Making Conservation  
A California Way of Life.*

July 19, 2017

Mohammad Barati  
City of Oakland  
250 Frank H. Ogawa Plaza, #4314  
Oakland, CA 94612

**Your ref: STPLZ-5012 (124) Leimert Bridge Seismic Retrofit**

Dear Mr. Barati:

Our office is in receipt of the Section 106 requirements for the proposed Leimert Bridge Seismic Retrofit project. The Preliminary Environmental Study (PES) Form has been signed by Cultural Resources Professionally Qualified Staff. Similarly, the District Local Assistance Engineer (DLAE) and the Environmental Planner Designee have affixed their signatures to the document. The environmental scoping is therefore complete.

The following studies are required as per the PES:

1. Traffic – Technical Memorandum (traffic control plan, including potential detours)
2. Noise – Technical Memorandum (construction related; night work)
3. Air Quality – MTC PM2.5 conformity finding [received]
4. Hazardous Materials – Initial Site Assessment (Phase I)
5. Water Quality – Technical Memorandum (BMPs)
6. Biology – Natural Environment Study (survey and compare impacts and determinations with 2009 findings; reinitiation with USFWS/NMFS is to be determined)
7. Section 4(f): 1) Trail, 2) Park, 3) Bridge – Documentation TBD based on Section 106 study results and project footprint
8. Visual – Minor Visual Impact Assessment
9. Equipment Staging – Technical Memorandum
10. Cultural Resources – APE Map, HPSR, ASR, HRER, FOE (see attached Section 106 memo)

# NEPA: Electronic Filing and Submission

## ➤ Current Practice:

- D4 Local Assistance keeps both a paper & electronic file of all NEPA related documents
- Local Agency submits first draft of studies electronically for Caltrans review and follows up with hard copy



# NEPA: Electronic Filing and Submission

## ➤ **New practice:**

- D4 Local Assistance keeps electronic file only
- Signed Preliminary Environmental Study (PES) sent electronically only
- Local Agency submits first draft & final draft of studies electronically

# NEPA: Electronic Filing and Submission

- **Hard copies** are still required for the following:
  - ✓ Preliminary Environmental Study (PES)
  - ✓ Categorical Exclusion
  - ✓ Reports being sent to regulatory agencies (e.g. State Historic Preservation Officer, U.S. Fish and Wildlife, National Marine Fisheries Service)
  - ✓ In addition, we reserve the right to ask for hard copies of larger reports if this will assist with speedy processing

**IMMEDIATE IMPLEMENTATION**

Questions?

# MTC SPOC Training

Caltrans District 4 Office of Local Assistance

**Michael O'Callaghan, Sr. Right of Way Agent**

**Laura Hameister, Sr. Right of Way Agent**

2019.11.04

# D4 Local Assistance Right of Way

Name	Position
Julie McDaniel	Local Programs Right of Way
Michael O'Callaghan	Senior Right of Way Agent
Qin Phu	Utility Oversight – all counties
Jerome Brunstein	Alameda, Solano, Marin
Nereida Millan-Naranjo	Sonoma, Contra Costa, Napa
Latorya Young	San Francisco, San Mateo, Santa Clara

# Right of Way Opportunities

- Contract with RW experts early (other Certified agency or Consultant)
- Accurately identify RW activities
  - Temporary rights are parcels
  - Adjustment of utilities is a relocation and requires a Notice to Owner
- Take advantage of tasks that can be performed prior to NEPA clearance
- Get familiarized with certification forms (Especially 13B)

# Right of Way Pitfalls

- Project does not comply with Uniform Act and CFRs
- Consultant Selection process not followed
- Notice to Owners do not reflect 'meeting of the minds'
- Utility relocations do not comply with Buy America
- Invoices
  - Insufficient detail
  - Do not match authorized work

# Relocation Assistance and Real Property Acquisition Policies Act of 1970 (Uniform Act)

Federally-funded programs or projects which are designed to benefit the public often need to acquire private property in order to be developed - which sometimes results in the displacement of individuals from their homes, businesses, or farms. To ensure property owners and tenants are treated fairly, equitably and receive relocation assistance, the "Uniform Act" was enacted by Congress in 1970.

The "Uniform Act" provides important protections and assistance for people affected by federally-funded projects government-wide.



# R/W CERTIFICATION FORMS

## Exhibit-13A (Short form R/W Certification):

This form is used when no acquisition of R/W is required and all proposed work is within existing R/W.

# EXHIBIT 13-B RIGHT OF WAY CERTIFICATION LOCAL ASSISTANCE PROJECT (Off State Highway System)

- This form is intended for use on local assistance projects, off the State Highway System (SHS), where federal funds are used and where Right of Way (R/W) or rights in real property are required.
- This form could also be used when work required for local agency projects *is located primarily off the SHS but may also encroach onto the SHS.*

# Utility Requirements

- ▶ Notice to Owners must reflect a 'meeting of the minds'
  - ▶ Owner concurrence of plan, schedule, liability, and labor source
- ▶ Utility relocations can be performed by contractor as part of construction contract
  - ▶ Must comply with Buy America
  - ▶ Bid items must be listed on Right of Way Certification
  - ▶ Simple if existing iron/steel is being reused
    - ▶ Special Notice to Owner

# BUY AMERICA

- Applies to iron and steel + 90% by weight
- Exceptions: de minimis & small components
- NOT applicable to temporary relocations or reused components
- Triggered by either
  - Federal liability for any portion of relocation even if no money in the utility relocation or
  - When work is performed by federal contractor
  - Cannot waive reimbursement to avoid

Questions?

# MTC SPOC Training

Caltrans District 4 Office of Local Assistance

**Louis Schuman, Sr. Transportation Engineer**

Construction, DBE, Invoicing, Buy America

2019.11.04

# Local Agency Survey

➤ **CTC Allocation Improvement:**

- Due Friday, November 15<sup>th</sup>
- <https://s.surveyplanet.com/FSBK-bwh>

# Construction

## ➤ **Caltrans Oversight Engineers:**

- Moe Shakernia (ALA, CC, MRN, NAP, SOL, SON, GGB, BART)
- Siohban Saunders (SF, SM, SCL)

## ➤ **Common challenges:**

- Daily construction diaries incomplete or missing
- Quantity sheet incomplete or missing
- Construction change orders (CCOs) not properly documented, including agency's independent cost estimate



# DBE Program

- **Federally-funded projects:** DBE goals must be set by contract
- **Tracking DBE commitment:**
  - Exhibit 10-O1 & 10-O2: Consultant Proposal & Commitment
  - Exhibit 9D: Goal Setting
  - Exhibit 15G : Original DBE Commitment
  - Exhibit 17F: Final DBE Utilization
- **Submit contract goal for HQ approval:**
  - A&E > \$500K, Construction > \$2M

# Lowest Bidder

- “A **responsive bid** is one that meets all the requirements of the advertisement and proposal, while a **responsible bidder** is one who is physically organized and equipped with the financial ability to undertake and complete the contract.”
- Ensure bid submittal package is **complete & accurate.**

# Bidding Requirements

- **Bidding Irregularities:**
  - Failure to sign the bid
  - Submit non-collusion affidavit
  - Achieve DBE goals or demonstrate good faith effort, etc.
- **Contractor Qualifications:**
  - A bidder may be deemed not responsible because of past unsatisfactory performance.

# Construction Oversight

- LPA must provide a **full-time public employee** who is accountable & responsible for the project.
- Consultants need to report to that full-time public employee:
  - a) Consultant performing the construction engineering services as a resident engineer
  - b) Consultant hired as the City Engineer or Public Works Director

# Quality Assurance Program

## ➤ QAP Purpose:

To provide assurance that the materials incorporated into the construction project conform to the contract specifications and is good for 5 years.

**QUALITY ASSURANCE PROGRAM (QAP)**

---

**City of San José**  
**DEPARTMENT OF PUBLIC WORKS**

**The purpose of this program is to provide assurance that the materials incorporated into the City of San José (City) Department of Public Works and/or the Department of Transportation construction projects conform to the contract specifications.**

- This QAP shall be *updated every five years* minimum
- This QAP shall be updated if changes are made to the test methods or to the testing and sampling frequencies.
- This QAP is incomplete without Appendices A through F.

PREPARED BY: Henry Lee DATE: 8/16/2018

NAME: Henry Lee, P.E.

TITLE: Senior Civil Engineer

APPROVED BY: Matt Cano DATE: 9/4/2018

NAME: Matt Cano, P.E.

TITLE: Director of Public Works

APPROVED BY: Kevin P. O'Connor DATE: 9/5/18

NAME: Kevin P. O'Connor

TITLE: Assistant Director of DOT



# District 4 Local Assistance Invoice Coordinators

## Mailing Address

Caltrans – District 4 Office of Local Assistance  
Attn: Invoice Coordinator  
111 Grand Avenue, Mail Station 10B  
P.O. Box 23660, Oakland, CA 94623-0660

Contact	Email/Phone	Counties
Lisa Wolf	<a href="mailto:Lisa.Wolf@dot.ca.gov">Lisa.Wolf@dot.ca.gov</a> 510-622-5921	Alameda, SF, Contra Costa, San Mateo, MTC
Adena Ramos	<a href="mailto:Adena.Ramos@dot.ca.gov">Adena.Ramos@dot.ca.gov</a> 510-622-8762	Sonoma, Marin, Napa, Solano, Santa Clara, Golden Gate, BART
Jose Reyes	<a href="mailto:Jose.Reyes@dot.ca.gov">Jose.Reyes@dot.ca.gov</a> 510-286-5233	Backup

# Invoice Form: LAPM-5A

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION

**LOCAL AGENCY INVOICE**

LAPM 5-A (REV 04/2019)

04/12/2019

**SECTION 1: INVOICE**

Local Agency Name		Remittance Address			Tax ID	
Date	Caltrans District	Federal/State Project No.	Advantage Project ID	Invoice No.	Billing No.	Inactive Project
	<input type="text"/>					<input type="checkbox"/>
Project Description						

Mandatory as of October 15, 2019

# Invoicing

- **Invoice components:**
  - Section 1: Invoice
  - Section 2: Indirect cost calculation
  - Section 3: Billing Summary
  - Section 4: Checklist
- **Wet signatures & contact information**
- **Supporting documents** (i.e. Construction Pay Estimate or other submittals on checklist if not submitted previously)



# Buy America Requirements

- Permanent iron or steel materials incorporated on federal-aid transportation projects (**even if there is no federal funding in construction phase**) must meet the “Buy America” requirements of 23 Code of Federal Regulations (CFR) §635.410. (LAPM Section 12.9)
- “Buy America” applies to the entire project scope defined by **Environmental (NEPA) document**.



# Buy America Certifications

- Local agencies need to receive “Buy America” certifications **upon material delivery**.
- These certifications must be reviewed for compliance with “Buy America” requirements and any **deficiency must be resolved**.
- Federal Highway Administration (FHWA) observed that required “Buy America” certifications were **not properly filed in the project records**.



# Buy America Compliance

- While “Buy America” provisions do allow use of a small portion of foreign steel and iron materials (less than one tenth of one percent of the **total contract cost [0.1%] or \$2500**, whichever is greater), the consequences of exceeding this amount are severe.
- In these instances, the project will **either lose all federal-aid or be required to remove the foreign materials and replace with domestic materials (at local agency’s cost)** to comply with “Buy America” requirements.

Questions?