Single Point of Contact (SPOC) Regional Workshop

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Karl Anderson
John Saelee

November 4, 2019
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?

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.
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.
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
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

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<td>STIP</td>
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</table>
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
- 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**

1. **MTC issues program policy and process**
2. **CTAs develop county process/application/scoring criteria**
3. **CTAs get their process adopted by their boards**
4. **CTAs send out a call for projects and perform outreach.**
5. **CTAs select projects (using panel or committee)**
6. **CTAs take the projects through their Committees and Board.**
7. **CTAs submit their project list to MTC**
8. **CTAs facilitate the programming process**
9. **CTAs assist project sponsors in delivery**
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

<table>
<thead>
<tr>
<th>CTA</th>
<th>Contacts</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alameda (ACTC)</td>
<td>Jacki Taylor: (510) 208-7413 / <a href="mailto:jtaylor@alamedactc.org">jtaylor@alamedactc.org</a></td>
</tr>
<tr>
<td></td>
<td>Vivek Bhat: (510) 208-7430 / <a href="mailto:vbhat@alamedactc.org">vbhat@alamedactc.org</a></td>
</tr>
<tr>
<td>Contra Costa (CCTA)</td>
<td>Hisham Noeimi: (925) 256-4731 / <a href="mailto:hnoeimi@ccta.net">hnoeimi@ccta.net</a></td>
</tr>
<tr>
<td></td>
<td>Stephanie Hu: (925) 256-4740 / <a href="mailto:stephanieh@ccta.net">stephanieh@ccta.net</a></td>
</tr>
<tr>
<td>Marin (TAM)</td>
<td>David Chan: (415) 226-0821 / <a href="mailto:dchan@tam.ca.gov">dchan@tam.ca.gov</a></td>
</tr>
<tr>
<td>Napa (NVTA)</td>
<td>Alberto Esqueda: (707) 259-5976 / aesquedanvta.ca.gov</td>
</tr>
<tr>
<td></td>
<td>Danielle Schmitz: (707) 259-5968 / <a href="mailto:dschmitz@nvta.ca.gov">dschmitz@nvta.ca.gov</a></td>
</tr>
<tr>
<td>San Francisco (SFCTA)</td>
<td>Amber Crabbe: (415) 522-4801 / <a href="mailto:amber.crabbe@sfcta.org">amber.crabbe@sfcta.org</a></td>
</tr>
<tr>
<td></td>
<td>Aprile Smith: (415) 522-4837 / <a href="mailto:aprile.smith@sfcta.org">aprile.smith@sfcta.org</a></td>
</tr>
<tr>
<td>San Mateo (C/CAG)</td>
<td>Jean Higaki: (650) 599-1462 / <a href="mailto:jhigaki@smcgov.org">jhigaki@smcgov.org</a></td>
</tr>
<tr>
<td></td>
<td>Jeff Lacap: (650) 599-1455 / <a href="mailto:jlacap@smcgov.org">jlacap@smcgov.org</a></td>
</tr>
<tr>
<td>Santa Clara (VTA)</td>
<td>Amin Surani: (408) 546.7989 / <a href="mailto:amin.surani@vta.org">amin.surani@vta.org</a></td>
</tr>
<tr>
<td>Solano (STA)</td>
<td>Anthony Adams: (707) 399-3215 / <a href="mailto:aadams@sta.ca.gov">aadams@sta.ca.gov</a></td>
</tr>
<tr>
<td>Sonoma (SCTA)</td>
<td>Seana Gause: (707) 565-5372 / <a href="mailto:seana.gause@scta.ca.gov">seana.gause@scta.ca.gov</a></td>
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Questions?
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
  - Final approval delegated to MTC
  - Shorter approval timeline
TIP Revisions

 Amendments

- Changes other than those allowed in administrative modifications per

- Final approval by FHWA and FTA

- Longer approval timeline
Federal Programming and the TIP

TIP Revisions

- **For Administrative modifications**
  - Sponsors and CMAs Submit Project Revisions
  - MTC Staff Reviews Project Revision and Bundles into a TIP Revision
  - MTC Executive Director or Deputy Executive Direct Approves the TIP Revision
  - Project Revisions become Active
  - 1 Month

- **For Amendments**
  - Sponsors and CMAs Submit Project Revisions
  - MTC Staff Reviews Project Revision and Bundles into a TIP Revision
  - TIP Revision Recommended by PAC
  - TIP Revision Approved by Commission
  - TIP Revision Approved by Caltrans
  - TIP Revision Approved by FHWA/FTA
  - Project Revisions become Active
  - 16 Weeks
Federal Programming and the TIP

Contacts

- **TIP and FMS**
  - Adam Crenshaw
    - (415) 778-6794
    - acrenshaw@bayareametro.gov
  - Karl Anderson
    - (415) 778-6645
    - kanderson@bayareametro.gov
Using FMS

Adam Crenshaw
Karl Anderson
Metropolitan Transportation Commission

SPOC Workshop
Caltrans - District 4
November 4, 2019
Using FMS - Overview

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

- 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
- Primary Program
- County
- Sponsor
- Implementing Agency
- Description of Change
- Reason for Revision
- Project Complete Flag
- RTP ID
### FMS - Universal Application

#### Project Description Tab

<table>
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<tr>
<th>Submode</th>
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<th>Expanded Description</th>
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<tbody>
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<td>Transportation System</td>
<td>Project Description</td>
<td>Problem Addressed</td>
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</table>
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

*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
FMS – Universal Application

- Funding Tab - Add New Fund Line
  - **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 - Universal Application

Funding Tab - Add New Fund Line

- **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**

- **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

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<tr>
<td>Project Study Report (PSR) Complete:</td>
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<td>Scheduled Circulation of Draft Environmental</td>
<td>Select a date</td>
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<td>Document:</td>
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Previous | Next | Save | Cancel
### FMS - Universal Application

#### Screening Criteria Tab

- 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
  - No

- 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
  - Select One

- Does your project include the Bay Area Regional ITS Architecture? More Info
  - Yes

- Does your project comply with MTC Resolution 3886 (Transit Coordination Implementation Plan)? More Info
  - Yes

- 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
  - Yes

- Is non-motorized travel impacted by this project?
  - No

- Has a parallel non-motorized facility been designed to accommodate non-motorized travelers?
  - No

- Have you reviewed local county, and regional bike plans for roadway design consistency?
  - No

- Is project consistent with MTC’s RTP, other regional, local plans and programs (e.g., most recently adopted Short Range Transit Plan)?
  - Yes

- Is project supported by an adequate financial plan with all sources of funding identified and has a logical cash flow?
  - Yes

- Is project well defined and well justified. It has clear project limits, intended for scope of work, and project concept?
  - Yes

- Does project meet or support the requirements of the American with Disabilities Act (ADA)?
  - Yes

- Is this project a Single Occupancy Vehicle (SOV) capacity increasing project?
  - No

* These fields must be inputted before the application can be submitted.
FMS - Universal Application

Contact Information Tab

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

- 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

- 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
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
  
  Karl Anderson
  - (415) 778-6645
  - 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

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

## Program Support

<table>
<thead>
<tr>
<th>Name</th>
<th>Invoices, CTC Allocation/Extensions, Training Coordination, (Alameda, SF, Contra Costa, San Mateo, MTC)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lisa Wolfl</td>
<td>Invoices, CTC Allocation/Extensions, (Sonoma, Marin, Napa, Solano, Santa Clara, Golden Gate, BART)</td>
</tr>
<tr>
<td>Jose Reyes</td>
<td>Field Review, E-76, Title VI, QAP, Local Agency Directory</td>
</tr>
</tbody>
</table>
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
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)

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 QA Funds as of (Current Month)
- Farmak 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

Other Important Issues

- Local Assistance Blog
- Local Assistance Contact
- Other Links
- Subscribe to DLA Email List
- Transportation Co-op Committee
- Training

Reports

- Authorization and Contract Award
- E-78 Obligated List
- E-76 Waiting List
- Invoices
- Process Review
How Can SPOC Help Us?

A Typical Scenario
<table>
<thead>
<tr>
<th>District</th>
<th>PPNO</th>
<th>County</th>
<th>Project Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>2330</td>
<td>SF</td>
<td>Alemany Interchange Improvements, Pico Boulevard and State Route 4 Interchange Improvement Project</td>
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<tr>
<td>4</td>
<td>2322A</td>
<td>CC</td>
<td>Coyote Creek Trail</td>
</tr>
<tr>
<td>4</td>
<td>2317</td>
<td>SOL</td>
<td>Bay Trail and Vine Trail Gap Closure</td>
</tr>
<tr>
<td>4</td>
<td>2106</td>
<td>ALA</td>
<td>Be Goalset, Be Active: A Comprehensive Program</td>
</tr>
<tr>
<td>4</td>
<td>21400</td>
<td>ALA</td>
<td>Berkeley 9th Street Bicycle Boulevard Extension</td>
</tr>
<tr>
<td>4</td>
<td>2331</td>
<td>SOL</td>
<td>Better Bikeway-SI - San Fernando Corridor</td>
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<tr>
<td>4</td>
<td>2105</td>
<td>ALA</td>
<td>Castro Valley Elementary Safe Routes to School</td>
</tr>
<tr>
<td>4</td>
<td>2300</td>
<td>ALA</td>
<td>Central Avenue Complete Street Project</td>
</tr>
<tr>
<td>4</td>
<td>2160W</td>
<td>SM</td>
<td>Central Corridor Bike and Pedestrian Safe</td>
</tr>
<tr>
<td>4</td>
<td>2326</td>
<td>MPN</td>
<td>Central Marin Regional Pathway Gap Clo (Bike)</td>
</tr>
<tr>
<td>4</td>
<td>2309</td>
<td>ALA</td>
<td>City of Berkeley - Safe Routes to School in LeConte Elementary</td>
</tr>
<tr>
<td>4</td>
<td>2390</td>
<td>ALA</td>
<td>City of Oakland - Lake Merritt to Bay Trail Closure</td>
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<tr>
<td>4</td>
<td>2390L</td>
<td>ALA</td>
<td>City of Oakland Improvements for Safe N Streets</td>
</tr>
<tr>
<td>4</td>
<td>21550</td>
<td>SOL</td>
<td>Coyote Creek Trail - Mabury to Empire</td>
</tr>
<tr>
<td>4</td>
<td>2150T</td>
<td>ALA</td>
<td>Creekside Middle School Safe Routes to School</td>
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<tr>
<td>4</td>
<td>2332</td>
<td>ALA</td>
<td>D Street Improvement Project</td>
</tr>
<tr>
<td>4</td>
<td>2320</td>
<td>ALA</td>
<td>Dockettle Drive Bay Trail, Martin Luther King</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>District</th>
<th>PPNO</th>
<th>County</th>
<th>Project Title</th>
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</thead>
<tbody>
<tr>
<td>4</td>
<td>2025G</td>
<td>SF</td>
<td>Downtown Corridors Plan Bicycle and Pedestrian Safety</td>
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<td>4</td>
<td>2100A</td>
<td>ALA</td>
<td>East Bay Greenway</td>
</tr>
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<td>4</td>
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<td>SM</td>
<td>East Palo Alto Highway 20l Pedestrian Access Improvements</td>
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<td>4</td>
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<td>East Tabor and Toland's Safe Routes to School</td>
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<tr>
<td>4</td>
<td>2306</td>
<td>ALA</td>
<td>Evergreen Drive and Pedestrian Greenway Improvement Project</td>
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<td>4</td>
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<td>MPN</td>
<td>Francisco Boulevard West and Grand Aven and Bicycle Connectivity</td>
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<tr>
<td>4</td>
<td>2309</td>
<td>CC</td>
<td>Fred Jackson Way First Mile and Last Mile</td>
</tr>
<tr>
<td>4</td>
<td>2308</td>
<td>ALA</td>
<td>Freshwater Ave Gap Closure Project</td>
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<td>SF</td>
<td>Geneva Avenue Pedestrian and Bicycle Safety Project</td>
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<tr>
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<td>SOL</td>
<td>SCL Geyo MLowess</td>
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<tr>
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<td>ALA</td>
<td>City of Berkeley - Safe Routes to School in LeConte Elementary</td>
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<tr>
<td>4</td>
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<td>ALA</td>
<td>L-20/Glimmich Street Corridor Bicycle Pedestrian Access Improvements</td>
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<td>John Muir Elementary Safe Routes to School</td>
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<tr>
<td>4</td>
<td>2023B</td>
<td>SF</td>
<td>John Muir Elementary Safe Routes to School</td>
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<tr>
<td>4</td>
<td>2150O</td>
<td>SOL</td>
<td>LAMMPS and Laurel, Mills, Maxwell Park Transportation Connection</td>
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<tr>
<td>4</td>
<td>2150T</td>
<td>ALA</td>
<td>Creekside Middle School Safe Routes to School</td>
</tr>
<tr>
<td>4</td>
<td>2303</td>
<td>ALA</td>
<td>Leaning Boulevard Safe Routes to School</td>
</tr>
<tr>
<td>4</td>
<td>2140Y</td>
<td>SM</td>
<td>Linda and Stone avenues Traffic Galma</td>
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<td>4</td>
<td>20203</td>
<td>SF</td>
<td>San Francisco Safe Routes to School 2017-2018 No Infrastructure Project</td>
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<table>
<thead>
<tr>
<th>District</th>
<th>PPNO</th>
<th>County</th>
<th>Project Title</th>
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</thead>
<tbody>
<tr>
<td>4</td>
<td>2021G</td>
<td>SF</td>
<td>San Francisco Safer Streets: Increasing Bicycling and Walking in San Francisco</td>
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<tr>
<td>4</td>
<td>2104B</td>
<td>SM</td>
<td>San Mateo County Safe Routes to School for Health and Wellness</td>
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<td>4</td>
<td>2313</td>
<td>SON</td>
<td>SMART Pathway - Petuluma (Payton to Southpoint)</td>
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<td>4</td>
<td>2304</td>
<td>ALA</td>
<td>Somerset Ave Street Safe Routes to School Corridor</td>
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<td>4</td>
<td>2172C</td>
<td>SON</td>
<td>Sonoma County Safe Routes to School High School Pilot Program</td>
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<td>4</td>
<td>2190U</td>
<td>ALA</td>
<td>Stanton Elementary School Safe Routes to School</td>
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<tr>
<td>4</td>
<td>2312</td>
<td>NAP</td>
<td>State Route 29 Bicycle and Pedestrian Undercrossing Project</td>
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<td>2147A</td>
<td>SOL</td>
<td>Sunnyvale Safe Routes to School Improvements</td>
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<td>4</td>
<td>2146A</td>
<td>SCL</td>
<td>Sunnyvale SANT Neighborhood Active Transportation Connectivity Improvements</td>
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<tr>
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<td>2190V</td>
<td>ALA</td>
<td>Telegraph Avenue Complete Street Improvements</td>
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<td>2122G</td>
<td>ALA</td>
<td>The Yellow Brick Road in Richmond's Iron Triangle Neighborhood</td>
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<tr>
<td>4</td>
<td>2023E</td>
<td>SF</td>
<td>Vision Zero Safety Investment</td>
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<td>4</td>
<td>2314</td>
<td>SM</td>
<td>Woodsdale Elementary School Student Pathway Project Phase III</td>
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<td>2692</td>
<td>MON</td>
<td>Alvin Drive and Little Drive Safe Routes to School Improvements</td>
</tr>
<tr>
<td>5</td>
<td>2693</td>
<td>MON</td>
<td>Bardin Road Safe Routes to School Improvements</td>
</tr>
<tr>
<td>5</td>
<td>2590</td>
<td>SF</td>
<td>Cadence and Solanaud Pedestrian and Bicycle Bridges and Corridor Improvements</td>
</tr>
</tbody>
</table>
for 2 weeks, good luck!
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?
Why We Wear Ties

I COULD HAVE E-MAILED YOU MY POWERPOINT DECK, AND YOU COULD HAVE READ IT IN FIVE MINUTES.

BUT I PREFER MAKING YOU SIT HERE FOR AN HOUR WHILE I READ EACH BULLET POINT IN SLOW MOTION.

POINT-NU-M-B-E-R ONE...

YANK THIS AS HARD AS YOU CAN.
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
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)
• 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.
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.
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.
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

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

* 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
<table>
<thead>
<tr>
<th>Program</th>
<th>Funding Cycle</th>
<th>Funded Phases</th>
<th>Match</th>
<th>Baseline Agrmt. Requirement *</th>
<th>Timely Use of Funds</th>
<th>Prog Rpt</th>
<th>Comp Rpt</th>
<th>Final Rpt</th>
</tr>
</thead>
<tbody>
<tr>
<td>Active Transp. (ATP) $100 mm</td>
<td>Includes four years of funding. The 2019 ATP will be FY’s 19-20 through 22-23</td>
<td>ATP Planning ATP Education PAED, PSE, RW, Const.</td>
<td>No</td>
<td>Total $ &gt;= $25M Or RMRA &gt;= $10M Due &lt; 6 mos. after NOD</td>
<td>Alloc. to Award &lt; 6 mos. Award to Accept &lt; 36 mos. R/W expenditures &lt; 2FY after alloc. FY Alloc. Extensions &lt; 20 mos. Award Extensions &lt; 12 mos. Completion extensions &lt; 12 mos.</td>
<td>All</td>
<td>All</td>
<td>All</td>
</tr>
<tr>
<td>Local Partnership Formulaic (UP-F) $100 mm</td>
<td>Initial cycle is 17/18 and 18/19, Programmed annually in October thereafter</td>
<td>Any</td>
<td>1:1 except 50% in jurisdictions with tax/fees less than $100k Annually STIP Allowed as match.</td>
<td>None</td>
<td>Alloc. to Award &lt; 6 mos. Award to Accept &lt; 36 mos. R/W expenditures &lt; 2FY after alloc. FY Completion extensions &lt; 20 mos.</td>
<td>No</td>
<td>All</td>
<td>All</td>
</tr>
<tr>
<td>Local Partnership Competitive (UP-C) $100 mm</td>
<td>Initial program is 17/18 through 19/20. Programmed every two-years</td>
<td>Const.</td>
<td>Total $ &gt;= $25M Or RMRA &gt;= $10M</td>
<td>Alloc. to Award &lt; 6 mos. Award to Accept &lt; 36 mos. R/W expenditures &lt; 2FY after alloc. FY Completion extensions &lt; 20 mos.</td>
<td>BL</td>
<td>All</td>
<td>All</td>
<td></td>
</tr>
<tr>
<td>Solutions for Congested Corridors (SCCP) $250 mm</td>
<td>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</td>
<td>Det./Build Const.</td>
<td>No</td>
<td>All</td>
<td>Alloc. to Award &lt; 6 mos. Award to Accept &lt; 36 mos. Alloc. &amp; Award extensions &lt; 12mos. Completion extensions &lt; 20 mos.</td>
<td>All</td>
<td>All</td>
<td>All</td>
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<tr>
<td>Trade Corridor Enhance. (TCEP) $300 mm</td>
<td>Nat. Hwy Freight Prgm 15/16-19/20 TCEP 17/18 – 19/20 Future Cycle duration TBD.</td>
<td>Any</td>
<td>30% non-CTC $’s except STIP No Match for CT Sponsored</td>
<td>All</td>
<td>Alloc. to Award &lt; 6 mos. R/W expenditures &lt; 2FY after alloc. FY Award to Accept &lt; 36 mos. Completion extensions &lt; 20 mos.</td>
<td>All</td>
<td>All</td>
<td>All</td>
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<tr>
<td>State Hwy Operation and Protection (SHOPP) $1.5 bn</td>
<td>Four Year Program adopted by 4/1 in even years.</td>
<td>All</td>
<td>Total $ &gt;= $40M Due within 2 mtgs after PA&amp;ED</td>
<td>Beg. Expend. within 6mos. of alloc. 36mos. to complete any phase 72 mos. to complete R/W Alloc. to Award &lt; 6 mos. Alloc. Expend. Award Completion extensions &lt; 20 mos.</td>
<td>BL</td>
<td>BL</td>
<td>BL</td>
<td></td>
</tr>
</tbody>
</table>
I HAVE 75 SLIDES TO DISCUSS IN TEN MINUTES. SAVE YOUR QUESTIONS TO THE END.

SIT DOWN AND NEVER TALK TO ME AGAIN AS LONG AS YOU LIVE.

HOW'D THE CEO PRESENTATION GO?

IT WAS 75 SLIDES TOO LONG.
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.
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.
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

<table>
<thead>
<tr>
<th>Efficiencies</th>
<th>$233.2 M</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Innovative Tools</strong></td>
<td>$109 M</td>
</tr>
<tr>
<td>• Acceleration of work</td>
<td></td>
</tr>
<tr>
<td>• Innovative Striping Contracts</td>
<td></td>
</tr>
<tr>
<td><strong>New Technology</strong></td>
<td>$26.1 M</td>
</tr>
<tr>
<td>• Durable/Reflective Striping</td>
<td></td>
</tr>
<tr>
<td>• LED Lighting Retrofits</td>
<td></td>
</tr>
<tr>
<td><strong>Process Improvements</strong></td>
<td>$98.2 M</td>
</tr>
<tr>
<td>• Value Analysis</td>
<td></td>
</tr>
<tr>
<td>• NEPA Delegation</td>
<td></td>
</tr>
<tr>
<td>• CM/GC Contracts</td>
<td></td>
</tr>
<tr>
<td>• Advanced Mitigation Credits</td>
<td></td>
</tr>
<tr>
<td>• Fleet GPS</td>
<td></td>
</tr>
<tr>
<td>• Mobile Field Devices (Construction)</td>
<td></td>
</tr>
<tr>
<td>• High Performance Reflective Signs</td>
<td></td>
</tr>
<tr>
<td>• Value Engineering (VA)</td>
<td></td>
</tr>
<tr>
<td>• Lean 6 Sigma Improv.</td>
<td></td>
</tr>
</tbody>
</table>
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

<table>
<thead>
<tr>
<th>Program</th>
<th>Draft Guidelines</th>
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<tr>
<td>Solutions for Congested Corridors</td>
<td>December 4-5, 2019*</td>
<td>January 29-30, 2020*</td>
<td>June 1, 2020</td>
<td>September 15, 2020</td>
<td>October 14-15, 2020*</td>
</tr>
<tr>
<td>Draft to Legislature December 29, 2020**</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**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)**
<table>
<thead>
<tr>
<th>Program</th>
<th>Funding Cycle</th>
<th>Funded Phases</th>
<th>Match</th>
<th>Baseline Agrmt. Requirement *</th>
<th>Timely Use of Funds</th>
<th>Prog Rpt</th>
<th>Comp Rpt</th>
<th>Final Rpt</th>
</tr>
</thead>
<tbody>
<tr>
<td>Active Transp. (ATP) $100 mm</td>
<td>Includes four years of funding. The 2019 ATP will be FY’s 19-20 through 22-23</td>
<td>ATP Planning ATP Education PAED, PSE, RW, Const.</td>
<td>No</td>
<td>Total $ &gt;= $25M Or RMRA &gt;= $10M Due &lt; 6 mos. after NOD</td>
<td>Alloc. to Award &lt; 6 mos. Award to Accept &lt; 36 mos. R/W expenditures &lt; 2FY after alloc. FY Alloc. Extensions &lt; 20 mos. Award Extensions &lt; 12 mos. Completion extensions &lt; 12 mos.</td>
<td>All</td>
<td>All</td>
<td>All</td>
</tr>
<tr>
<td>Local Partnership Formulaic (LPP-F) $100 mm</td>
<td>Initial cycle is 17/18 and 18/19, Programmed annually in October thereafter</td>
<td>Any</td>
<td>1:1 except 50% in jurisdictions with tax/fees less than $100k Annually STIP Allowed as match.</td>
<td>Total $ &gt;= $25M Or RMRA &gt;= $10M</td>
<td>Alloc. to Award &lt; 6 mos. Award to Accept &lt; 36 mos. R/W expenditures &lt; 2FY after alloc. FY Completion extensions &lt; 20 mos.</td>
<td>No</td>
<td>All</td>
<td>All</td>
</tr>
<tr>
<td>Local Partnership Competitive (LPP-C) $100 mm</td>
<td>Initial program is 17/18 through 19/20. Programmed every two-years</td>
<td>Const.</td>
<td>No</td>
<td>All</td>
<td>Alloc. to Award &lt; 6 mos. Award to Accept &lt; 36 mos. R/W expenditures &lt; 2FY after alloc. FY Completion extensions &lt; 20 mos.</td>
<td>BL</td>
<td>All</td>
<td>All</td>
</tr>
<tr>
<td>Solutions for Congested Corridors (SCCP) $250 mm</td>
<td>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</td>
<td>Des./Build Const.</td>
<td>No</td>
<td>All</td>
<td>Alloc. to Award &lt; 6 mos. Award to Accept &lt; 36 mos. Alloc. &amp; Award extensions &lt; 12mos. Completion extensions &lt; 20 mos.</td>
<td>All</td>
<td>All</td>
<td>All</td>
</tr>
<tr>
<td>Trade Corridor Enhance. (TCEP) $300 mm</td>
<td>Nat. Hwy Freight Prgm 15/16-19/20 TCEP 17/18 – 19/20 Future Cycle duration TBD.</td>
<td>Any</td>
<td>30% non-CTC $’s except STIP No Match for CT Sponsored</td>
<td>All</td>
<td>Expend. Extensions &lt; 12 mos. Alloc. to Award &lt; 6 mos. R/W expenditures &lt; 2FY after alloc. FY Award to Accept &lt; 36 mos. Completion extensions &lt; 20 mos.</td>
<td>All</td>
<td>All</td>
<td>All</td>
</tr>
<tr>
<td>State Hwy Operation and Protection (SHOPP) $1.5 bn</td>
<td>Four Year Program adopted by 4/1 in even years.</td>
<td>All</td>
<td>Total $ &gt;= $40M Due within 2 mtgs after PA&amp;ED</td>
<td>Beg. Expend. within 6mos. of alloc. 36mos. to complete any phase 72 mos. to complete R/W Alloc. to Award &lt; 6 mos. Alloc..Expend..Award Completion extensions &lt; 20 mos.</td>
<td>BL</td>
<td>BL</td>
<td>BL</td>
<td></td>
</tr>
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</table>
**Estimated 2020 Competitive Programs Implementation Schedules**

<table>
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<tr>
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* 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

<table>
<thead>
<tr>
<th>Approximate Timeline</th>
<th>July – Sept Q1</th>
<th>July – December March 2020</th>
<th>Jan – March Q3</th>
<th>January – June October 2020</th>
</tr>
</thead>
<tbody>
<tr>
<td>30-day notice to implementing agencies</td>
<td>10-2-19</td>
<td>1-1-20</td>
<td>4-1-20</td>
<td>7-1-20</td>
</tr>
<tr>
<td>Last day of the reporting period</td>
<td>9-30-19</td>
<td>12-31-19</td>
<td>3-30-20</td>
<td>6-30-20</td>
</tr>
<tr>
<td>Project progress reports submitted via CalSMART due to Caltrans</td>
<td>10-31-19</td>
<td>1-31-20</td>
<td>4-30-20</td>
<td>7-31-20</td>
</tr>
<tr>
<td>Corrections due via CalSMART</td>
<td>11-7-19</td>
<td>2-7-20</td>
<td>5-7-20</td>
<td>8-7-20</td>
</tr>
<tr>
<td>Q1 &amp; Q3 only – identify potential issues and check in with CTC staff</td>
<td>By 12-7-19</td>
<td>By 6-7-20</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2-week period for Program Coordinators to review project reports, meet with CTC staff, prepare program report and attachments</td>
<td>2-7 to 2-21-20</td>
<td>8-7 to 8-21-20</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Internal meeting with Coordinators</td>
<td>2-20-20</td>
<td>by 8-19-20</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Submit Program Report to SB1 Office</td>
<td>2-21-20</td>
<td>8-21-20</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SB1 office prepares Overall Program Progress report</td>
<td>2-26-20</td>
<td>8-26-20</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Submit complete report to CTC</td>
<td>2-28-20</td>
<td>8-28-20</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Final review meeting with CTC Staff</td>
<td>3-4-20</td>
<td>by 9-11-20</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Revise (if necessary) and Finalize Overall SB1 Program Progress Report</td>
<td>3-6-20</td>
<td>9-21 to 9-28-20</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Remediate entire report</td>
<td>3-10-20</td>
<td>9-25-20</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Submit SB1 Program Progress Report to CTC Liaison</td>
<td>3-13-20</td>
<td>9-28-20</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Post on SB 1 Portal (10 days prior to meeting)</td>
<td>March 16, 2020</td>
<td>October 2, 2020</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CTC Meeting</td>
<td>March 26, 2020</td>
<td>October 14-15, 2020</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
D4 Local Assistance
Environmental Team

HUGO AHUMADA
Environmental Planner
Sonoma, San Mateo, Marin

ANTARA MURSHED
Environmental Planner
Alameda, Contra Costa, Solano

JOSÉ REYES
Program Support

KELLI ALAHAN
Archaeologist

KEEVAN HARDING
Biologist

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

HAI YAN 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
  (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
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 Emission
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/lda/

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

Sincerely,

Tom Holstein
Senior Environmental Planner
Office of Local Assistance
CATEGORICAL EXEMPTION/CATEGORICAL EXCLUSION DETERMINATION FORM

04-SCH-0-Carb CML-5506(029)
Site: Carpooling/Bus Local Agency: P.O. M. AD/Project No.: Federal Aid Project No. (Local Projects/Project No.:

PROJECT DESCRIPTION: Eden Avenue Sidewalk Improvements

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 sidewalks, 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.

CEQA COMPLIANCE
(For State Projects only)

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.]
- If this project take within exempt class 3, 4, 5, 6 or 11, it does not impact an environmental resource of hazardous or critical concern where designated, properly mapped, and officially adopted pursuant to law.
- There will be no significant cumulative effect by this project and successive projects of the same type in the same place, over time.
- There is no reasonable possibility that the project will have a significant effect on the environment due to unusual circumstances.
- This project does not damage a scenic resource within an officially designated scenic highway.
- This project is not located on a site included on any list compiled pursuant to Goec, Code § 65362.2 ("Correlative List").
- This project does not cause a substantial adverse change in the significance of a historical resource.

CALTRANS CEQA DETERMINATION (Check one)
- Not Applicable – Caltrans is not the CEQA Lead Agency
- Exempt by Statute, (PRC 21086: 14 CCR 15300 et seq.)
- Categorically Exempt, Class C, (PRC 21084: 14 CCR 15300 at seq.)
- Categorically Exempt, General Rule exemption. (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: Sue/Environmental Planner or
Environmental Branch Chief
Signature Date

Print Name: Project Manager
Signature Date

NEPA COMPLIANCE

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:
- 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 has considered unusual circumstances pursuant to 23 CFR 771.117(b).

CALTRANS NEPA DETERMINATION (Check one)
- 23 USC 337: 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 has carried out the responsibility to make this determination pursuant to Chapter 5 of Title 23, United States Code, Section 205 and a Memorandum of Understanding dated May 31, 2014, executed between the FHWA and the State. The State has determined that the project is a Categorically Exclusion under:
  - 23 CFR 771.117(c) activity (e)
  - 23 CFR 771.117(d) activity (e)
- Activity listed in Appendix A of the MOU between FHWA and the State

23 USC 337: Based on an examination of this proposal and supporting information, the State has determined that the project is a Categorically Exclusion under 23 USC 337. The environmental review, consultation, and any other actions required by applicable Federal environmental laws for this proposal are being, or have been, carried out by Caltrans pursuant to 23 USC 337 and the Memorandum of Understanding dated December 23, 2016 executed between FHWA and Caltrans.

Tom Holstein
Print Name: Senior Environmental Planner or
Environmental Branch Chief
Date of Categorical Exclusion Checklist completion: 5/24/18
Signature

Hin P. Kung
Print Name: Project Manager/GSA Engineer
Signature

Date of ECR or equivalent: N/A
CATEGORICAL EXEMPTION/CATEGORICAL EXCLUSION DETERMINATION FORM
Continuation Sheet

04-SCI-0-Cmb CML-5306(029)
Res.-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 1st to August 31st). 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.
**Check Number** | **Mitigation**
--- | ---
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.

**Hazardous Waste**
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.

**Water Quality**
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.

---

**Biology**
B1 | Tree removal will take place outside of nesting bird season (15th February to 31st 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.

**Section 4(f)**
4f1 | During construction, access may to 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.

**Visual Resources**
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.

**Community**
C1 | Community outreach will be undertaken during final design, and the results taken into consideration in finalizing the PS&E package.

**Archaeology**
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.

**Equipment Staging**
E1 | Equipment staging will be left to the contractor. The specifications will require the following:
   - The staging area will be located on an existing asphalt or concrete surface area. Excavation below the asphalt or concrete will not be permitted.
   - The staging area will be included in the Contractors SWPPP or WPCP
   - The staging area will not be located adjacent to environmentally or culturally sensitive areas (e.g. wildlife sites, wetlands, archaeological sites)
   - The staging area will not be located in a regulatory floodway or within the base floodplain (100-year)
   - The staging area will not affect access to properties or roadways.
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

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6) Section 4(f) Concurrency 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/d124/daa/

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

Sincerely,

[Signature]

Tom Holstein
Senior Environmental Planner
Office of Local Assistance
DATE

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

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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, H1, H1a, W1, E1 4H1 [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
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
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

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
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<tbody>
<tr>
<td>Julie McDaniel</td>
<td>Local Programs Right of Way</td>
</tr>
<tr>
<td>Michael O’Callaghan</td>
<td>Senior Right of Way Agent</td>
</tr>
<tr>
<td>Qin Phu</td>
<td>Utility Oversight – all counties</td>
</tr>
<tr>
<td>Jerome Brunstein</td>
<td>Alameda, Solano, Marin</td>
</tr>
<tr>
<td>Nereida Millan-Naranjo</td>
<td>Sonoma, Contra Costa, Napa</td>
</tr>
<tr>
<td>Latorya Young</td>
<td>San Francisco, San Mateo, Santa Clara</td>
</tr>
</tbody>
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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.
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.
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\textsuperscript{th}
  - [https://s.surveyplanet.com/FSBK-bwh](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.
## District 4 Local Assistance
### Invoice Coordinators

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

### 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
<table>
<thead>
<tr>
<th>Section 1: Invoice</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Local Agency Name</strong></td>
</tr>
<tr>
<td>Date</td>
</tr>
<tr>
<td>Project Description</td>
</tr>
</tbody>
</table>

**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?