Local Agency Project Implementation Overview

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Learning Objectives

- Overview of Caltrans Administered Local Agency Projects on SHS

- To introduce resources/tools to assist when encountering these projects

Local Agency Project on SHS

- Local Agency Administered

  - Caltrans provides oversight

    - Encroachment Permit/DEER

  - Local agency may request additional support from Caltrans

  - Defined through Co-Operative Agreement

  - PM may be assigned based on project complexity

  - Caltrans invoices Local Agency per Co-Op

Local Agency Project on SHS

- Caltrans Administered
  - Coop outlines Caltran's Role
  - Provides general oversight + provides support identified in Coop
  - Fund Type – Local/ **Federal Subvention**/ATP/SB1/STIP
- Federal Subvention Funds
  - Local Federal funds given to Caltrans for administering the project through the subvention reimbursement process

Federal Subvention Fund Project

- Project Set-up

- Funding Requests

- Agreements (Master, Supplemental Agreement etc.,)

- Invoices / Inactivity – invoice every 6 months

- Project End Date (PED)

- Cooperative Work Agreement (CWA) / Budget Authority Replenishment (BAR)

- Project Closeout

Federal Subvention Fund Project

- Project Set-up

  - EA for Oversight created by Caltrans Project Management (CTPM) /District Project Control

  - Adv ID in AMS created by CTPM

  - Locode – 62XX

- Funding Requests

  - Specify all funding sources (e.g., local demo funds, RSTP, CMAQ)

  - Authorizations for local funds through Local Assistance

  - Finance Letter (Federal funds and eligible items, local match)

Federal Subvention Fund Project

- Agreements (Coop, MA, PSA)

- Invoices

  - Processed by CTPM /Accounts Payable

  - Inactivity – invoice every 6 months

  - Repeat Inactive Projects – not invoiced over 24 months

- Project End Date (PED)

  - Defines the period of reimbursable work on a project

  - Depends on the Project Phase

    - PE (PAED+PS&E) - M500 + 6 months, Construction – M800

Federal Subvention Fund Project

- PED cont…

  - Two Step Process

    - Update M800

    - Request PED extension through Local Assistance (FADS submittal)

  - Use HQ PED tool to track PEDs on subvention projects

https://dot.ca.gov/-/media/dot-media/programs/local-assistance/documents/reports/2022/ped-lapse-tool-20220110.xlsm

Federal Subvention Fund Project

- CWA/BAR – by phase

  - CWA - Cooperative Work Agreement extends BA beyond 6 years

  - Add 2 more years, giving a total of 8 years of BA

  - BAR – Budget Authority Replenishment

    - One time replenishment after CWA

- Project Closeout

  - Follow CTPM closeout process

  - Inform Local Assistance of Project Closeout

  - LA will closeout in LP2000

Federal Subvention Fund Project

- Project Delivery Status Meetings

  - DLA Quarterly Project Delivery forum

  - PM can attend to get additional project support

  - Local Agency May be able to join in the future

  - Attended by Dist. & HQ Local Assistance and FHWA

WHO DOES WHAT MATRIX

Legend:
- LA = Local Assistance
- CTPM = CT Project Management
- DPC = District Project Control
- LPA = Local Programs Accounting
- CO = Capital Outlay
- COS = Capital Outlay Support
- FV = Final Voucher Unit
- OE = Office Engineers
- QMAP = Project Delivery Quality Management Assessment Process

PROJECTS ADMINISTERED B[Y]

PROJECTS ON STATE HIGHWAY SYSTEM (SHS)

	LOCAL FUNDS (Measure funds, developer fees, etc)[A]	SUBVENTION FUNDS (Using local federal funds on the SHS 20.30.xxx.yyy project)[B]	STIP(RIP) (if touches SHS at all)[C] (No LA involvement)	ATP (>=50% geographically on SHS AND >=$1M Con funds, all sources, 20.20.xxx.yyy)
What Advantage ID will Local Assistance (LA) use?	N/A	LA Adv ID	N/A - processed by CTPM	LA draft CAS using LP2000 Project Creation process
Who sets up Project Number (e.g., PREFIX 1234(123))	CTPM	LA for Local Agency. CTPM/DPC for QA(Oversight)	CTPM	LA, using LP2000 Project Creation process
Who sets up ADV ID in AMS Advantage?	N/A	LPA for LA project. DPC for QA (Oversight)	DPC	DPC - Local Assistance notifies DPC of draft CAS.
What Budget Authority (BA) will be used? (Who is responsible for securing BA?)	CO & COS (CTPM)	LA through LPA/LA Subvention (LA); COS for COS (CTPM)	CTC Vote for Capital (CTPM); COS for COS (CTPM)	Capital Outlay - 2660-308-xxxx, (CTPM/DPC)
Is Coop needed for oversight?	<$1M = NO >1$M, non-complex = DEER >$1M, complex = Yes (Std. QMAP)	Encroachment = NO, DEER =NO, Standard QMAP = Yes	Yes	Yes
Is Coop needed for reimbursement?	No[D]	No[D]	Yes	Yes - Coop needed to encumber funds/pay invoices
Is Encroachment Permit needed?	Yes	Yes	Yes	Yes
Is Master Agreement needed?	No	Yes	No - CTPM uses Coop	Yes
Is Program Supplement Agreement (PSA) needed?	No	Yes	No - CTPM uses Coop	No - CTPM uses Coop
Who requests Authorization / Allocation?	N/A	Local Agency for project funding/ CTPM for QA (Oversight)	CTPM	Local Agency
Who processes Authorization / Allocation?	N/A	LA. CTPM for QA(Oversight)	CTPM	LA
Who will process the invoices?	N/A	LA/LPA	CTPM/Accounts Payable	CTPM/Accounts Payable
$ for QA (Quality Assurance) withheld?	No	No	No	N/A
Who is responsible for proj. closeout?	CTPM/FV	LA/LPA/FV	CTPM/FV	CTPM/FV

Local Assistance Contacts

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Local Assistance Contacts

- District Local Assistance Contacts
  - DLAE Contact List
    https://dot.ca.gov/programs/local-assistance/other-important-issues/local-assistance-contacts

- Office of Federal Resources
  - AEs
  https://budgets.onramp.dot.ca.gov/er-program-contact-information

  Federal Project and Program Management | Division of Budgets (ca.gov)

Questions