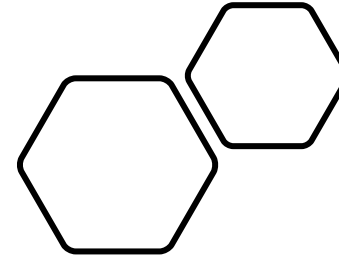


Caltrans Administered Local Projects

PM Council
03/24/2022

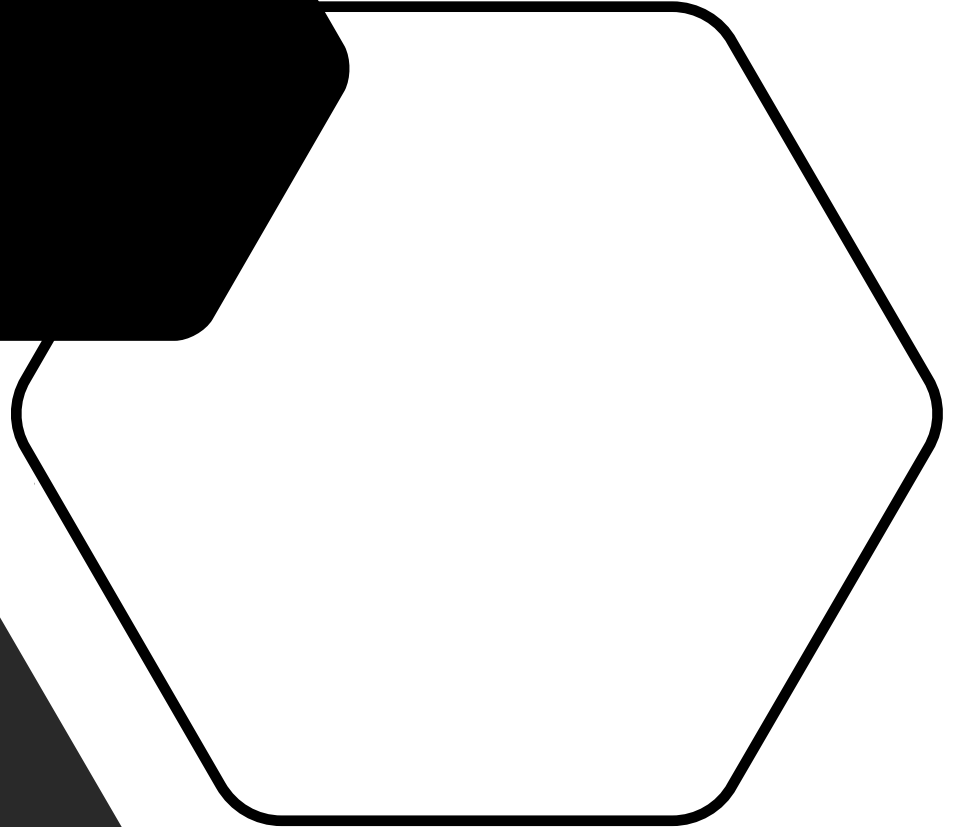
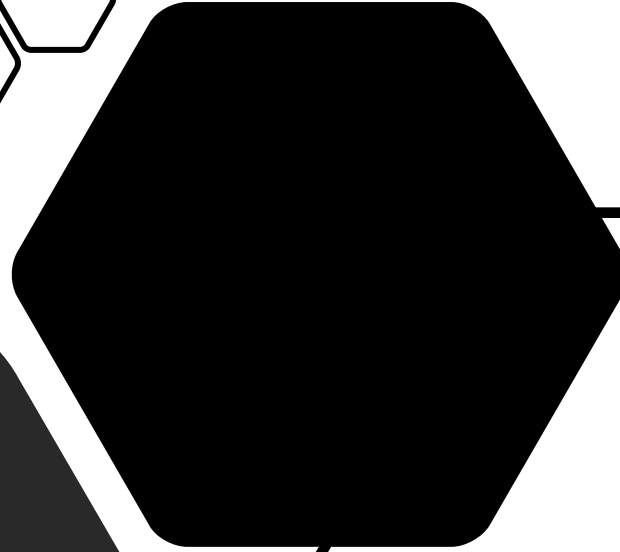
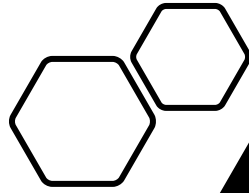


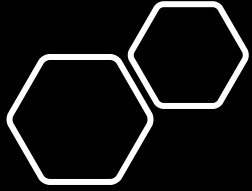
Sujaya Kalainesan
Chief, Office of Project Implementation, South
Division of Local Assistance

Felicia Haslem
Chief, Office of Project Implementation, North
Division of Local Assistance

Cathy McKeon
Chief, Office of State Programs
Division of Local Assistance

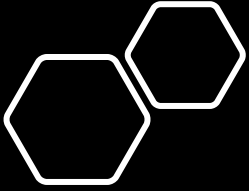
Federal Funded Local Projects





OVERVIEW

- **Project Types**
- **Authorizations/Invoicing/Agreements**
- **Revised Closeout Requirements**
- **Project End Date (PED)**
- **Project Closeout**
- **Aged Project Closeout**



Types of Projects

- **Encroachment Permit (DEER)**
- **Caltrans providing reimbursed work**
- **Caltrans administered (subvented funds)**

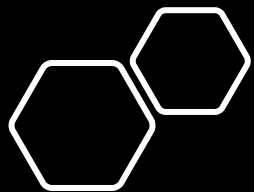
Reimbursed Work*

Authorizations	Invoices	Agreements	Closeout
Local Agency submits authorization request to District Local Assistance Engineer (DLAE)	<ul style="list-style-type: none">• Caltrans invoices local agency for reimbursed work• Local Agency invoices Caltrans through District Local Assistance	<ul style="list-style-type: none">• Cooperative Agreement• Master Agreement• Project Supplemental Agreement	<ul style="list-style-type: none">• Local agency submits final report of expenditures to DLAE

*Local agency is administering the project, has work on SHS, Caltrans providing reimbursed work

Caltrans Administered Project

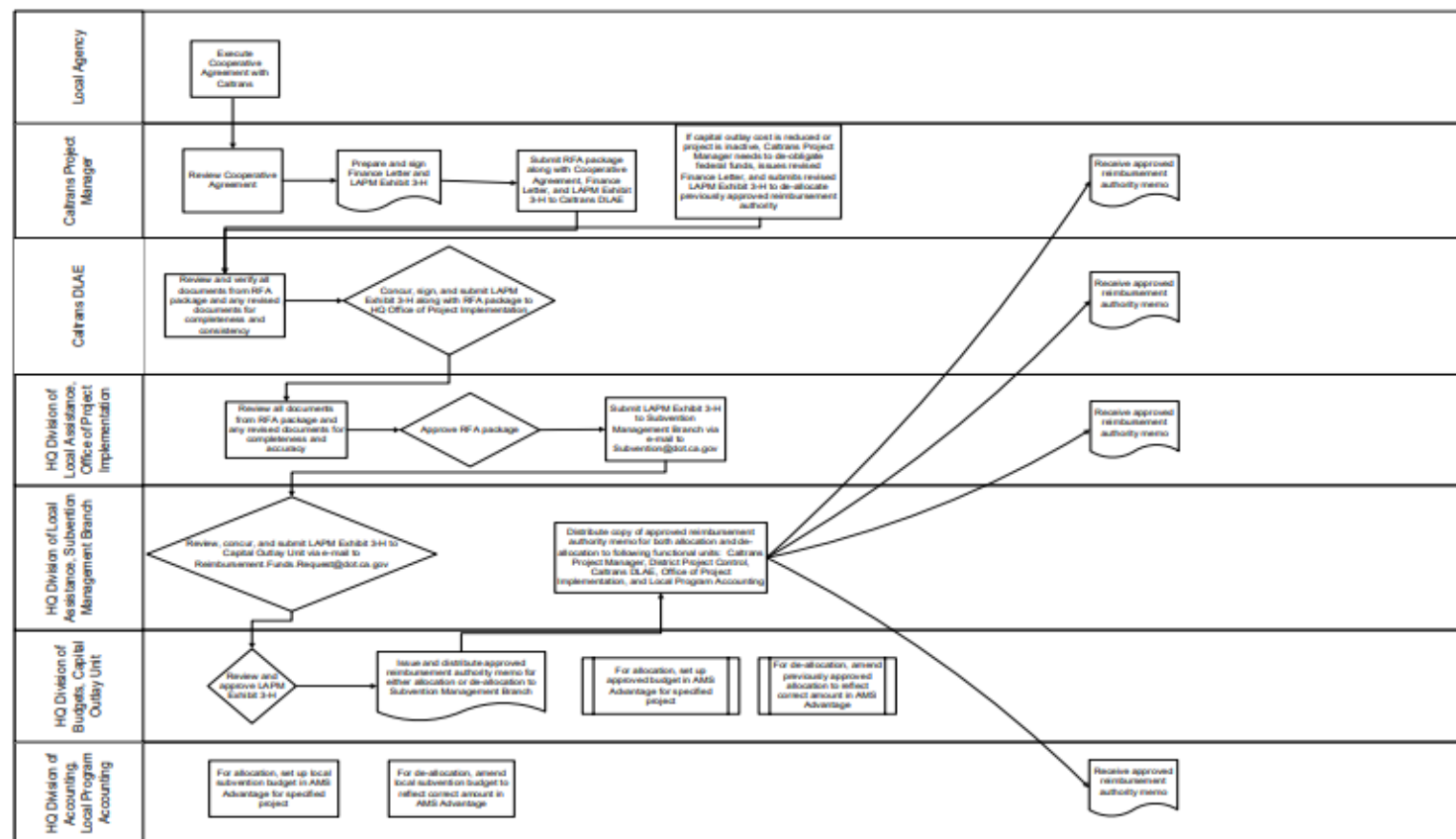
Authorizations	Invoices	Agreements	Closeout
Caltrans (PM) submits authorization/subvention allocation request to District Local Assistance Engineer (DLAE)	<ul style="list-style-type: none">• No invoicing - funds are subvented	<ul style="list-style-type: none">• Cooperative Agreement	<ul style="list-style-type: none">• Caltrans does project closeout



Caltrans Administered

Allocation – De-allocation Process

- LAPM Chapter 3
- Capital Subvention Reimbursement Allocation and DE-Allocation Process



Caltrans Administered

Local Agency

- Execute Coop with Caltrans

Project Manager

- Review coop
- Prepare and sign Finance Letter, LAPM Exhibit 3-H
- Submit RFA package (3 - A), Coop, Finance Letter, Exhibit 3-H to DLAE
- If capital outlay cost is reduced or project inactive - de-obligate federal funds, revise Finance Letter, Ex 3-H

Caltrans Administered

District Local Assistance

- Review RFA package and any revised documents for completeness
- Concur, sign, and submit LAPM Ex 3-H, RFA package to HQ Office of Project Implementation

HQ Local Assistance, Office of Implementation

- Review all documents from RFA package and any revised documents for completeness and accuracy
- Approve RFA package
- Submit LAPM Exhibit 3-H to Subvention Management (Subvention@dot.ca.gov)

Request for Capital Subvention Reimbursement Allocation/De-Allocation

EXHIBIT 3-H REQUEST FOR CAPITAL SUBVENTION REIMBURSEMENT ALLOCATION/DE-ALLOCATION

(For Projects on State Highway System with “Capital-Outlay” Costs
Funded with Local Assistance Subvention Funds and Administered by the State)

To:

Division Chief
Division of Budgets, MS 24
Attention: Capital Outlay Unit

Date:

Dist/Co/Rte:

PM:

Federal Project No:

AMS Advantage ID:

Advantage Phase:

PPNO (if applicable):

RE: Request for Capital Subvention Reimbursement Allocation/De-Allocation

Project Description:

(Scope of Work and Project Limits)

Agreement:

Local Agency:	Transportation Agency for Monterey County
Agreement Type and Number:	Cooperative Agreement, 05-385
Previously Approved Amount:	\$0.00
Current Amount Request:	\$312,584.99
Total Amount:	\$312,584.99

Program, Category of Expenditures & Fiscal Year:

Program Element Component Task:	20.20.400.200
Category of Expenditure:	HPP DEMO
Fiscal Year (FY):	21/22

Requested By:

Project Manager Name:	Mike Lew
Project Manager Signature:	Michael Lew
Date:	12/06/2021

 Digitally signed by Michael Lew
Date: 2021.11.18 08:43:51 -0800

Concurred By:

DLAE Name:	Reinie Jones
DLAE Signature:	Reinie Jones
Date:	12/10/2021

 Digitally signed by Reinie Jones
Date: 2021.12.10 09:13:28 -0800

Agency Preliminary Engineering	
State Furnished Preliminary Engineering	
Overhead at _____ %	

Capital/Acquisition

Support/Engineering

Contract Items	\$ 111,592,319.00
Supplemental Work	\$ 1,224,788.00
Contingencies	\$ 5,757,493.00
Trainees	\$ 27,200.00
Agency/State Furn. Mat.	\$ 2,303,200.00

Contract Total:	\$ 120,905,000.00
-----------------	-------------------

Agency Construction Engineering	
State Furnished Construction Engineering	
Overhead at _____ %	

State Furnished Materials Testing

Overhead at	%	Subjob
-------------	---	--------

Striping by Agency

Force Account Work by Agency

L	\$26,503,000	\$26,503,000	\$7,111,515	\$2,542,485				\$16,849,000	
L	\$5,196,000	\$4,351,000	\$3,761,000					\$1,435,000	
L	\$56,111,000	\$6,433,000			\$6,433,000	\$29,832,000	\$15,340,000	\$4,506,000	
L	\$8,733,000						2,902,000	\$5,831,000	
L	\$96,543,000	\$37,287,000	\$10,872,515	\$2,542,485	\$6,433,000	\$29,832,000	\$18,242,000	\$28,621,000	

TOTALS:

Certification

* "P" = Pro Rata, "L" = Lump Sum

Federal Participation: 38.62%

Federal Appn. Code(s): Z230, Z240, Z005

Federal Reimbursement Rate(s) for Progress Invoice:

PHASE	FED (Z230)	FED (Z240)	FED (Z005)
PE			
R/W ACQ.	26.83%	9.59%	
R/W SUPP.	86.44%		
CON			100.00%
CE			

~~I certify that this Finance Letter accurately reflects the current cost estimate for all phases of the project obligated but not fully expended.~~

Barbara McGahey

(949) 226-6840

Signature: _____

Title : Interstate 5 Widening from State Route 73 to Old Parkway - Segment 1

Project location : Interstate 5 from State Route 73 to Oso Parkway

Remarks : This request is for construction capital funding, in the amount of \$6,433,000, in federal Highway Infrastructure Program (HIP) funds for Interstate 5

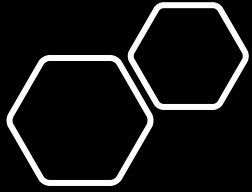
Widening from State Route 73 to Oso Parkway - Segment 1.

This project will use Statewide toll credit, in the amount of \$643,300.00, in lieu of non-federal matching funds, resulting in reimbursement rate of 100%.

OCTA related Project No. STPLN-6071(103)/Advantage ID No. 1215000019, for a portion of Construction Engineering.

Toll Credits:

Amount: \$643,300.00



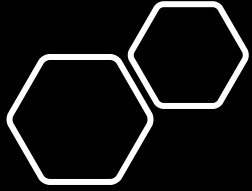
Coop - Snapshot

15. TAMC will contribute the funds listed below:

FUNDING TABLE			
Fund Source	Fund Type	Project Component	Amount
FEDERAL	Demo ^T	R/W Capital	\$312,000
Total Funds			\$312,000

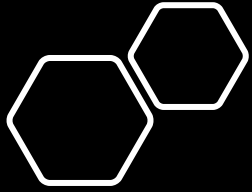
^TToll Credits applied

16. CALTRANS will draw from state and federal funds that are provided by TAMC without invoicing TAMC when CALTRANS administers those funds and CALTRANS has been allocated those funds by the CTC and whenever else possible. Otherwise invoicing and payment will occur in accordance with this AGREEMENT.



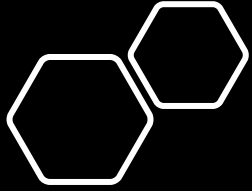
Revised Closeout Requirement

- **2 CFR 200 Revised Closeout Requirement was issued in Nov 2020**
- **Requires Federally Funded projects to**
 - **be closed out within 120 days of PED**
 - **all obligations liquidated**
- **Triggered a review of Project End Date expirations**
- **Process review identified improper payment on projects**



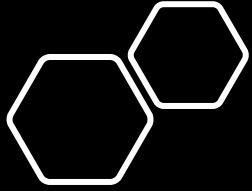
Project End Date

- **Project End Date – Marks the end of reimbursable work on a project**
- **Expenditures past the PED will not be reimbursable, funds paid need to be returned**
- **Payments for work done past the PED may be considered improper payment**
- **FHWA tracks PEDs on Projects**
- **DLA has a PED tool to help districts monitor PEDs**



PED Monitoring on State Administered Projects

- **Billing on state administered local projects don't go through Local Assistance**
- **DLA cannot stop payments past PED**
- **Results in improper payments requiring repayment**



PED Tools and Resources

- **PED Tool Posted on DLA Website, updated monthly**
- **Reminders from District Local Assistance Engineers**
- **Local Assistance Project Delivery Status Meetings**
 - **Attended by FHWA & District Local Assistance**
 - **PMs can attend if there is a need**
 - **Need a single Project Management Contact for each District**

PED Look Ahead Report

Projects with expiring Project End Dates

California COVID-19 Vaccine Survey Please take 5 minutes to complete a [COVID-19 vaccine survey](#).

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[Home](#) | [Programs](#) | [Local Assistance](#) | [Project Implementation](#) | Projects with expiring Project End Dates

Projects with expiring Project End Dates

Caltrans Division of Local Assistance (DLA), Office of Project Implementation provides guidance and support to local agencies in managing the Federal-aid projects. **The Project End Date (PED), analogous to the previously used Agreement End Date (AED), is the date that an agency estimates to identify the end of a project phase's Period of Performance (end of Federally participating work).** It is defined as the date after which no additional federally participating costs may be incurred for an authorized phase of work.

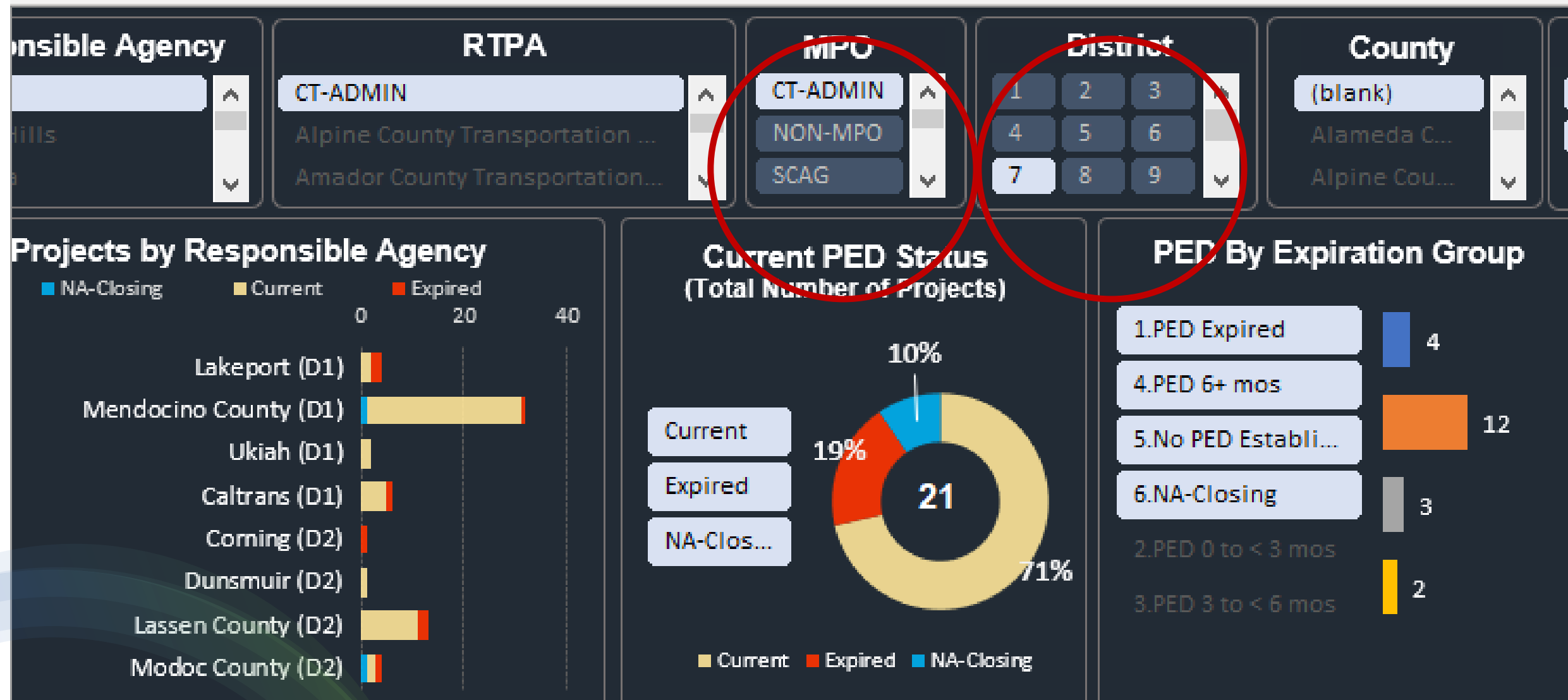
The look ahead report posted below lists projects with (i) expired PED, (ii) PED to expire within the next three months, (iii) PED to expire within the next 6 months and (iv) PED to expire in more than 6 months but with lapses in the past. The purpose of this list is to alert local agencies of expired or expiring PEDs, so they can initiate PED extension requests where necessary and/or contact DLAEs for further assistance. This list will be updated monthly.

[Project End Date Lookahead Report \(03/02/2022\) \(Excel\)](#)

[PED Q and A \(PDF\)](#)

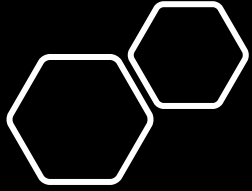
Guidance on PEDs can be found at:

Caltrans Local Assistance Procedures Manual: <https://dot.ca.gov/-/media/dot-media/programs/local-assistance/documents/lapm/ch03.pdf>



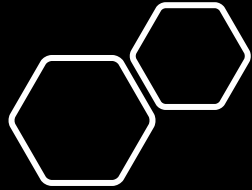
[Projects with expiring Project End Dates | Caltrans](#)

PED Look Ahead Report



Project Closeout

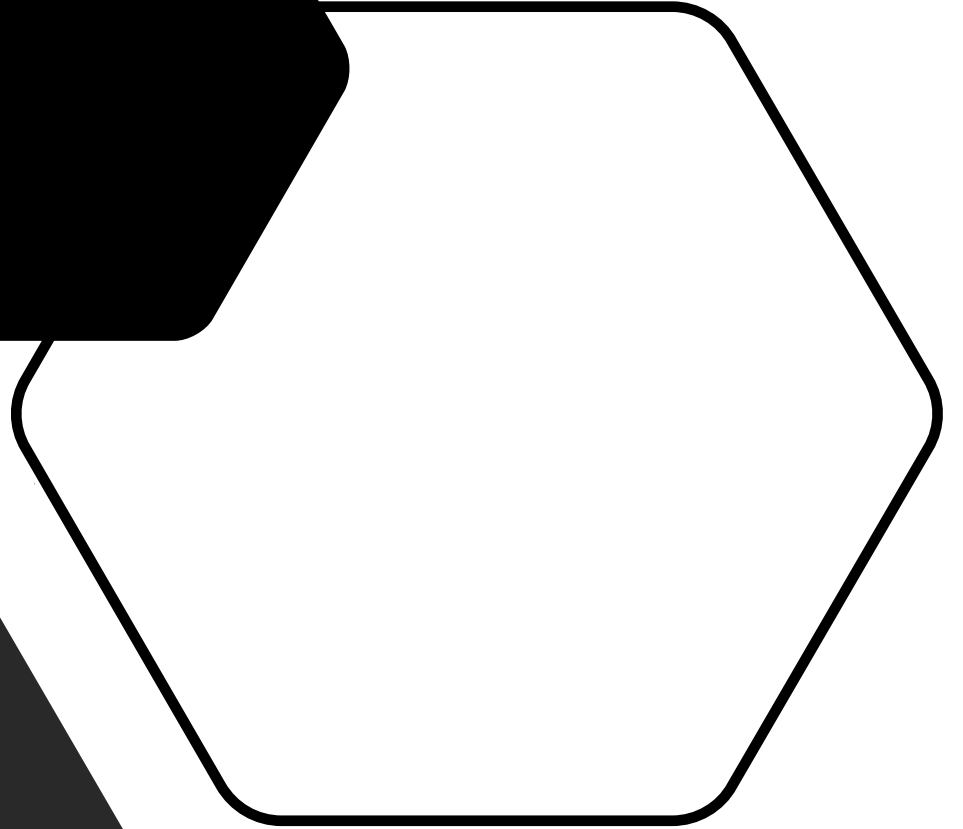
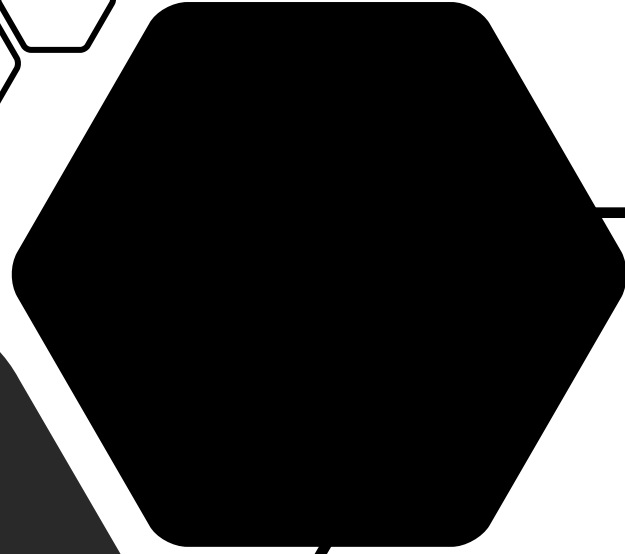
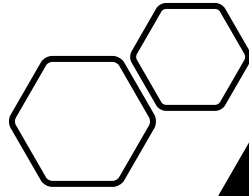
- **De-allocate any remaining funds through Dist. Local Assistance**
 - **Informs District Local Assistance of Project Closeout**
- **Follow CTPM closeout process**
- **Use FORM FA-2658, Final Voucher Request Form**
- **FHWA currently undertaking an aged project closeout effort**
 - **Several old State Administered projects on the list need closeout**

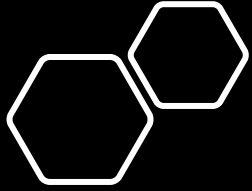


Who Does What Matrix

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 BY			
	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 <u>oversight</u> ?	<\$1M = NO >\$1M, non-complex = DEER >\$1M, complex = Yes (Std. QMAP)	Encroachment = NO, DEER = NO, Standard QMAP = Yes	Yes	Yes
Is Coop needed for <u>reimbursement</u> ?	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

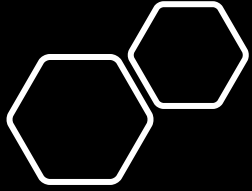
State Funded Local Projects





State Only Funded/ATP Project Coordination On SHS

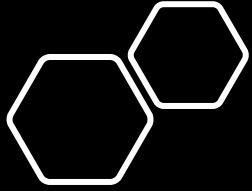
- **SB 1\STIP**
 - Projects that don't touch the SHS (off-system) are implemented by DLA
 - Projects that touch SHS (on-system) are implemented by Project Management
- **Legislative Priority Budget Projects (LPBP, commonly called earmark)**
 - Capital projects
 - Split projects
- **ATP Projects**
 - Projects greater than or equal to \$1M con funds and 50% geographically on SHS
 - Projects less than \$1M con funds or less than 50% geographically on SHS
 - Caltrans implemented ATP projects are managed by Project Management



Who Does What Matrix State Only Funded Projects on SHS

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	PROJECTS ADMINISTERED BY LOCAL AGENCY					
	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)	ATP (>0% but <50% geographically on SHS, OR <\$1M Con funds, all sources, 20.30.xxx.yyy)	SB1 (LPP, SCCP, TCEP) - (if touches SHS at all) ^C (No LA involvement)
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	LA Adv ID	N/A - processed by CTPM
Who sets up Project Number (eg, PREFIX 1234(123))	CTPM	LA for Local Agency. CTPM/DPC for QA(Oversight)	CTPM	LA, using LP2000 Project Creation process	LA	CTPM
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.	LPA	DPC
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)	LA (LA)	Capital Outlay - 2660-308-xxxx, (CTPM/DPC)
Is Coop needed for oversight	<\$1M=No; \$1M-3M= use PEER; >\$3M=Yes	<\$1M=No; \$1M-3M=use PEER; >\$3M=Yes	Yes	Yes	Yes ^F	Yes
Is Coop needed for reimbursement	No ^D	No ^D	Yes	Yes - Coop needed to encumber funds/pay invoices	No	Yes
Is Encroachment Permit needed?	Yes	Yes	Yes	Yes	Yes	Yes
Is Master Agreement needed?	No	Yes	No - CTPM uses Coop	Yes	Yes	No - CTPM uses Coop
Is Program Supplement Agreement (PSA) needed?	No	Yes	No - CTPM uses Coop	No - CTPM uses Coop	Yes	No - CTPM uses Coop
Who requests Authorization / Allocation?	N/A	Local Agency for project funding/ CTPM for QA (Oversight)	CTPM	Local Agency	Local Agency	Local Agency
Who processes Authorization / Allocation?	N/A	LA. CTPM for QA(Oversight)	CTPM	LA	LA	CTPM
Who will process the invoices?	N/A	LA/LPA	CTPM/Accounts Payable	CTPM/Accounts Payable	LA/LPA	CTPM/Accounts Payable
\$ for QA (Quality Assurance) withheld?	No	No	No	N/A	N/A	N/A
Who is responsible for proj. closeout?	CTPM/FV	LA/LPA/FV	CTPM/FV	CTPM/FV	LA/LPA/FV	CTPM/FV

C - For on SHS, if STIP/SB1 funds are used to match federal Subvention funds, CTC funds will be processed by CTPM. Other activities will be per column depending on fund source.



HQ Implementation Contacts

Sujaya Kalainesan

Office Chief

Project Implementation South
Div. of Local Assistance, Caltrans HQ

Ph: (916) 799-3336

sujaya.kalainesan@dot.ca.gov

[D5, D6, D7, D8, D9, D11 and D12](#)

Felicia Haslem

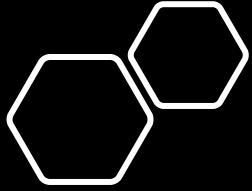
Office Chief

Project Implementation North
Div. of Local Assistance, Caltrans HQ

Ph: (916) 653 7759

felicia.haslem@dot.ca.gov

[D1, D2, D3, D4, D10](#)



State
Programs
&
Subvention
Branch

Cathy McKeon

Office Chief

Office of State Programs

Div. of Local Assistance, Caltrans HQ

Ph: (916) 926-7882

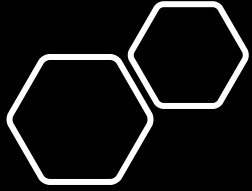
Cathy.McKeon@dot.ca.gov

**Office of Resource Management, Subvention
Branch**

Division of Local Assistance, Caltrans HQ

Ph: (916) 651-6875

subvention@dot.ca.gov



District Local Assistance & Federal Resources 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>

Questions

