

# **CALTRANS LOCAL AGENCY MINIMUM QUALIFICATIONS QUESTIONNAIRE**

## **Part I: Local Agency Identification**

### 1. Local Agency information

Agency Name: \_\_\_\_\_  
Agency Mailing Address: \_\_\_\_\_  
Attention Person (if any) and Title: \_\_\_\_\_  
Agency Phone Number: \_\_\_\_\_  
Local Agency Single Point of Contact:  
- Name: \_\_\_\_\_  
- Title: \_\_\_\_\_  
- Email Address: \_\_\_\_\_  
Local Agency Secondary Point of Contact:  
- Name: \_\_\_\_\_  
- Title: \_\_\_\_\_  
- Email Address: \_\_\_\_\_  
Caltrans District: \_\_\_\_\_  
County Name: \_\_\_\_\_  
State Assembly District No: \_\_\_\_\_  
State Senate District No: \_\_\_\_\_  
Congressional District No: \_\_\_\_\_  
DUNS No (<http://dnb.com/us/>) : \_\_\_\_\_  
Regional Transportation Planning Agency (RTPA) (if applicable): \_\_\_\_\_  
[Metropolitan Planning Organization \(MPO\)](#) (if applicable): \_\_\_\_\_  
Urban Area (if applicable): \_\_\_\_\_  
Air Basin: \_\_\_\_\_

### **District Local Assistance Engineer (DLAE) information**

Requested by: \_\_\_\_\_  
DLAE has completed steps 2 and 3 of request instructions per Locode procedure posted here (<https://dot.ca.gov/-/media/dot-media/programs/local-assistance/documents/rules/locode-ma-request-procedures-final-combined.pdf>) yes / no  
DLAE Signature (concurrence with request): \_\_\_\_\_  
Date: \_\_\_\_\_  
Address: \_\_\_\_\_  
Phone No.: \_\_\_\_\_  
E-Mail Address: \_\_\_\_\_

### 2. Who is the full time public employee in responsible charge for the project (may be same as single point of contact)

The public employee's responsibilities shall include:

- (i) *Administering inherently governmental activities including, but not limited to, contract negotiation, contract payment, and evaluation of compliance, performance, and quality of services provided by consultant;*
- (ii) *Being familiar with the contract requirements, scope of services to be performed, and products to be produced by the consultant;*

- (iii) *Being familiar with the qualifications and responsibilities of the consultant's staff and evaluating any requested changes in key personnel;*
- (iv) *Scheduling and attending progress and project review meetings, commensurate with the magnitude, complexity, and type of work, to ensure the work is progressing in accordance with established scope of work and schedule milestones;*
- (v) *Ensuring consultant costs billed are allowable in accordance with the Federal cost principles and consistent with the contract terms as well as the acceptability and progress of the consultant's work;*
- (vi) *Evaluating and participating in decisions for contract modifications; and*
- (vii) *Documenting contract monitoring activities and maintaining supporting contract records, as specified in 2 CFR 200.333.*

*As such, this individual must be employed directly by the local agency who is the direct recipient of Federal or State funds. A consulting firm that is on retainer as the City Engineer or a project specific consultant (serving as the Project Manager, Construction Resident Engineer or other role) may not fill the role as the "Local Agency Employee in Responsible Charge". The regulation is silent about engineering credentials. Thus, the Local Agency Employee in Responsible Charge need not be an Engineer.*

- Name: \_\_\_\_\_
- Title: \_\_\_\_\_
- Project Role: \_\_\_\_\_
- Phone No.: \_\_\_\_\_
- Fax No.: \_\_\_\_\_
- E-Mail Address: \_\_\_\_\_
- U.S. Mail address: \_\_\_\_\_

**Part II: Pilot Project Identification**

2. What is the **Project Name**?

- a. Is the project programmed in an approved State or MPO **Federal Transportation Improvement Program (FTIP)**?
- b. If so, state which one and attach a copy of the **FTIP programming sheet** on which it appears.
- c. Please provide a project **location map**.
- d. Please provide a project overview that includes:
  - i. **Description/scope detail**
  - ii. Identification of **sensitive areas/issues** and how they will be addressed, i.e. cultural, permits, safety, biological, etc.
- e. Is the project located on the **National Highway System (NHS)**?
- f. Please provide **project budget** detail.

g. Please provide **delivery schedule/timeline**.

3. Is the Pilot Project **non-infrastructure** or **infrastructure**?
  - a. Does the Local Agency plan on delivering any future infrastructure projects?
    - i. Yes
    - ii. No
    - iii. Perhaps
4. Is the LPA able to commit sufficient staff, expertise, and **financial resources to administer the project** through its completion? Identify resources as applicable.
5. Are project personnel familiar with the administration of Federal/State funded projects? If so, please attach brief summaries of their **experience** (see Part IV: Documentation Submittals Checklist Requirements).
6. Please indicate the type of **training** that you and your personnel have completed relevant to Federal/State project administration, and when that training occurred (some of these classes may include the **Federal Aid Series**, the **Resident Engineer Academy**, **A&E Consultant Selection training**, **DBE training**, etc.). Also, please list the training classes you are planning to attend and whether you are already registered for them.
7. Please provide an **organization chart** that clearly reflects a chain of project authority and project responsibilities relevant to the requested work activities.
8. Does the LPA have access to the **Caltrans Local Assistance Procedures Manual(LAPM)/Local Assistance Program Guidelines(LAPG)**? Is it available to all units and agencies involved in the program? Please indicate where you would go to keep apprised of LAPM/LAPG updates?
9. Pilot project plans must be reviewed by Caltrans District Local Assistance at **30%, 60%, 90% and 100% development** stages. (The LPA must have Caltrans approval documentation on file.)

Who on the Agency staff will obtain approval? Name: \_\_\_\_\_

10. **Changes in project scope** (at any stage of the project) need approval from Caltrans (and possibly the Federal Highway Administration (FHWA) and the California Transportation Commission (CTC)) prior to being finalized. Please acknowledge this requirement and indicate who will obtain approval.

\_\_\_\_\_ Please initial acknowledgement  
Name: \_\_\_\_\_

11. Please acknowledge that federal/state procedures will be met for **soliciting, selecting and contracting for consultant and/or contractor services in accordance to the LAPM Chapter 10**.

\_\_\_\_\_ Please initial acknowledgement.

12. Please acknowledge that **costs incurred prior** to California Transportation Commission (CTC) allocation (as applicable), and/or Federal Highway Administration (FHWA) authorization (as applicable), are not reimbursable.

\_\_\_\_\_ Please initial acknowledgement.

13. Please acknowledge that after the Pilot Project has been completed, a **compliance review** will be conducted by Caltrans to assess the local agency's project delivery performance, and that the LPA is required to fully cooperate in the review and complete any and all corrective actions that may be required as a result of this review before being allowed to administer any future projects.

\_\_\_\_\_ Please initial acknowledgement.

14. **Record Keeping:** Please acknowledge that after the Pilot Project has been completed, all records must be retained 3 years from FHWA's final project reimbursement. Said records must also be made available upon request.

\_\_\_\_\_ Please initial acknowledgement.

### **Part III: Candidate LPA Qualifications & Personnel**

15. **Contract Authority:** Who has clear authority in your agency to enter into program/project agreements with Caltrans? (For instance: mayor, county engineer, or other designated local official.

Name: \_\_\_\_\_

Title: \_\_\_\_\_

(Please be aware that a Local Agency-State Master Agreement (MA) is necessary for the utilization of Federal and State funding. Additionally, a project specific agreement will be required for each individual project to allow agency invoices to be paid.

16. **Person in Responsible Charge:** Who is the full-time public employee in responsible charge of the project? (For instance, it may be the point of contact or Project Manager; it is often a professional engineer.)

Name: \_\_\_\_\_

Title: \_\_\_\_\_

a. For infrastructure projects, is the LPA public employee that is in direct responsibility over the project a **registered professional engineer**?

i. IF YES: Is the professional engineer, identified above, **registered in the State of California** and able to perform in accordance with California Business and Professions Code 6700-6799 and 23 CFR 625.2 and 625.3?

ii. IF NO: How does the agency plan to **access a professional engineer, registered in the State of California**?

iii. If **consultants** are utilized, how will they be selected (attach agency's procurement procedures)

17. **Financial Capability and Resources:** Please be advised that part of the Caltrans Local Agency Minimum Qualifications evaluation process includes the agency undergoing a **pre-award audit** of

its financial management system. This audit is performed by Caltrans Independent Office of Audits & Investigations (IOAI). In light of this:

- a. What do you anticipate, based on cash management, is the **largest project your agency could administer**?
- b. **Indirect Cost Rate (ICR)** - Do you have one (HUD approved or other?) and when was it last approved?
- c. **Procurement Procedures** – Please have your agency’s procurement procedures available for review by the IOAI and DLA Office of Guidance and Oversight (OGO) which show in detail the procedures how your agency will procure:
  - i. Architectural & Engineering (A&E) consultants
  - ii. Non-A&E services
  - iii. Construction contracts (for infrastructure projects)
  - iv. Other goods and services

18. **Right-of-Way (ROW)/Land Acquisition (for infrastructure projects)**: Who will be responsible for the following ROW activities (if applicable) and identify their approved levels of certification?

- a. Appraisal of subject property. NAME: \_\_\_\_\_
- b. Negotiations. NAME: \_\_\_\_\_
- c. ROW clearances. NAME: \_\_\_\_\_

#### **Part IV: Documentation Submittals Checklist**

Checklist of items to be included in submittal:

- a. Minimum Qualifications Questionnaire (This Form).
- b. Current MPO Federal Transportation Improvement Program (FTIP) page highlighting the project (from Part II).
- c. Project location map (from Part II).
- d. Detailed Pilot project scope (from Part II).
- e. Detailed Pilot project budget (from Part II).
- f. Detailed Pilot project schedule (from Part II)
- g. Summary of personnel experience with project administration (from Part II).
- h. Project administration organization chart (from Part II).
- i. Procedures for identifying, accumulating and reporting all costs (Part III).
- j. Procurement procedures (as applicable) (from Part III).
- k. Description of consultant selection procedures as approved by Caltrans DLA office (from Part III).
- l. Résumés of key staff (from Part II).

#### **Part V: Local Agency Assurances**

- Any work performed before the project is authorized/allocated is not eligible for reimbursement; therefore, no costs will be incurred prior to authorization/allocation.
- Project development activities for infrastructure projects will be conducted under the direct supervision of a registered professional engineer within the State of California.

- It is understood that if the project is located on a roadway that is designated as part of the National Highway System (NHS), then a) this must be indicated as such in Part I of the above form, and b) there are NHS requirements that must be followed (as noted throughout the Local Assistance Procedures Manual).
- It is understood that, at any stage of the project, prior approval is required when making any changes in the project scope or location, and that such changes need to be fully justified.
- It is understood that when completed, the project must remain open to the public and maintained in a good state of repair.
- Local Agency procurement procedures will be followed throughout all stages of the project including the procurement of design and environmental consultant services and construction contracting.
- Local Agency understands that Caltrans Division of Local Assistance will require its cooperation in the execution of a provisional Local Agency-State Master Agreement pertinent to the project's development, funding, and maintenance. This Master Agreement will need to be executed prior to the agency submitting a Request for Authorization/Allocation for any phase of development.
- The environmental, utility, and right-of-way processes will follow procedures outlined in Caltrans Local Assistance Procedures Manual (LAPM) and the Local Assistance Program Guidelines (LAPG) and will be completed prior to bid advertisement.
- It is understood that if the preliminary engineering phase (design) includes federal funds and not constructed within 10 years, the agency will repay the federal portion of the design costs. (23 CFR 112(2)).

**Part VI: Signatures**

The \_\_\_\_\_ (Local Agency name) \_\_\_\_\_ requests consideration to administer the (Jurisdiction) Pilot Project specified in this questionnaire. Information is provided as requested for evaluation purposes. We understand that Caltrans' approval of \_\_\_\_\_ (Local Agency name) to administer these activities does not constitute authorization/allocation of funds. When the project is ready for agency to begin project development activities, agency will send a Request for Authorization/Allocation (RFA) package, including the required documents shown in the LAPM, to Caltrans for processing. After reviewing this RFA for completeness and accuracy, Caltrans will submit the request and supporting documents to FHWA and/or CTC for its approval of funds. FHWA's and/or CTC's approval of funds is when the agency is permitted to incur eligible reimbursable costs.

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(Local Agency Signature Authority and Title) \_\_\_\_\_ Date \_\_\_\_\_

- Submit Questionnaire to the appropriate Caltrans District Local Assistance Engineer office.
- Agency procurement procedures must be approved by Caltrans Division of Local Assistance Office of Guidance and Oversight prior to authorization/allocation of any funds.

**For use by Caltrans**

Comments by Caltrans District Local Assistance Engineer –

This application reviewed by

DLAE: \_\_\_\_\_

Date: \_\_\_\_\_

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Comments by Caltrans Division of Local Assistance

This application reviewed by

DLA Office of Implementation: NAME \_\_\_\_\_

Date: \_\_\_\_\_

Authority to administer project applied for: Concur                      Do Not Concur

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Approve

Disapprove

Caltrans Representative: Name and Title – \_\_\_\_\_

Chief, Office of Project Implementation

Date: \_\_\_\_\_