

# 2016 TCC ACTION PLAN for federally funded projects

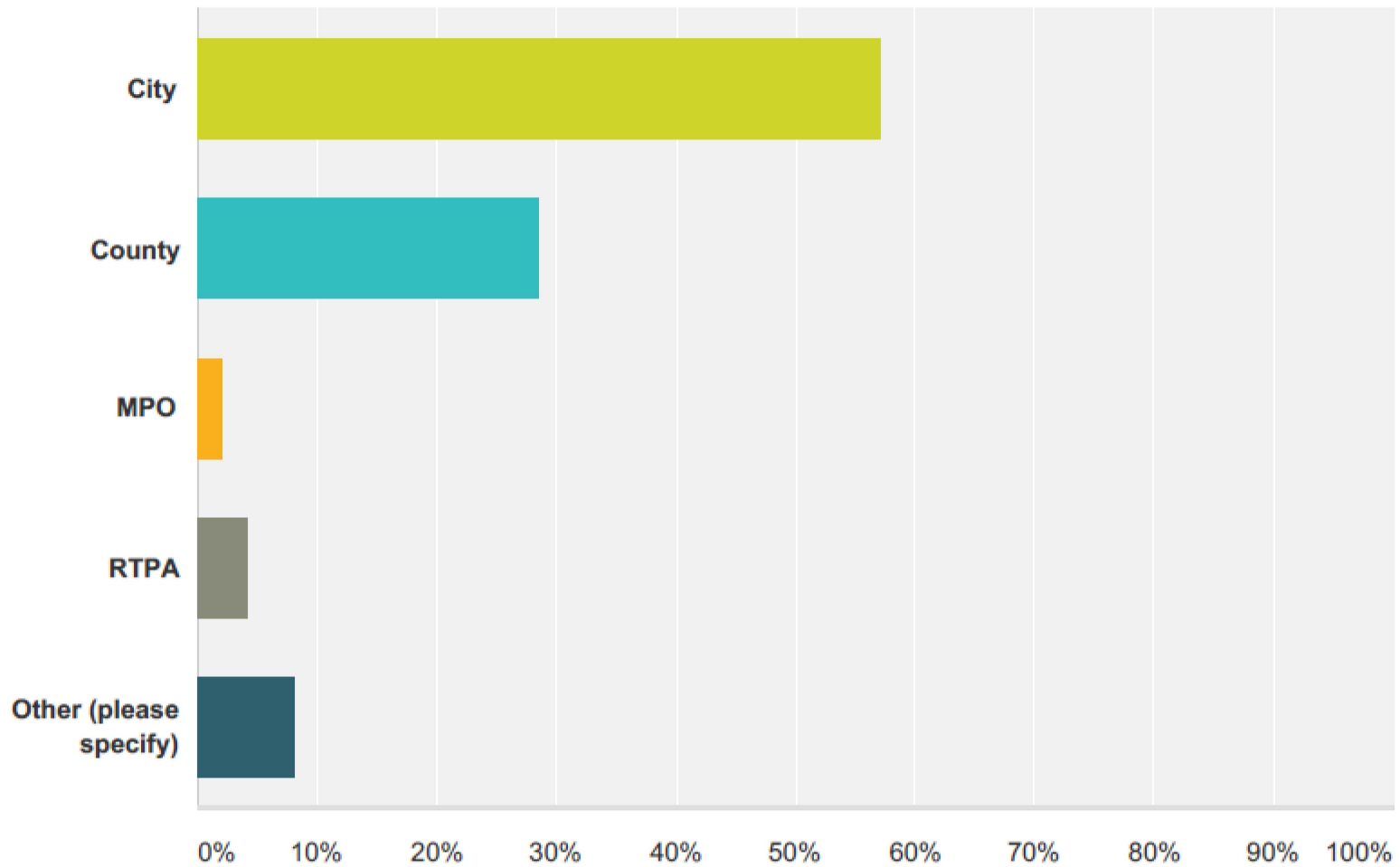
Ray Zhang, Chief, Caltrans Local Assistance

Richard Tippett, Director, Trinity Co. Department of  
Transportation

Robert Newman, Director, City of Santa Clarita

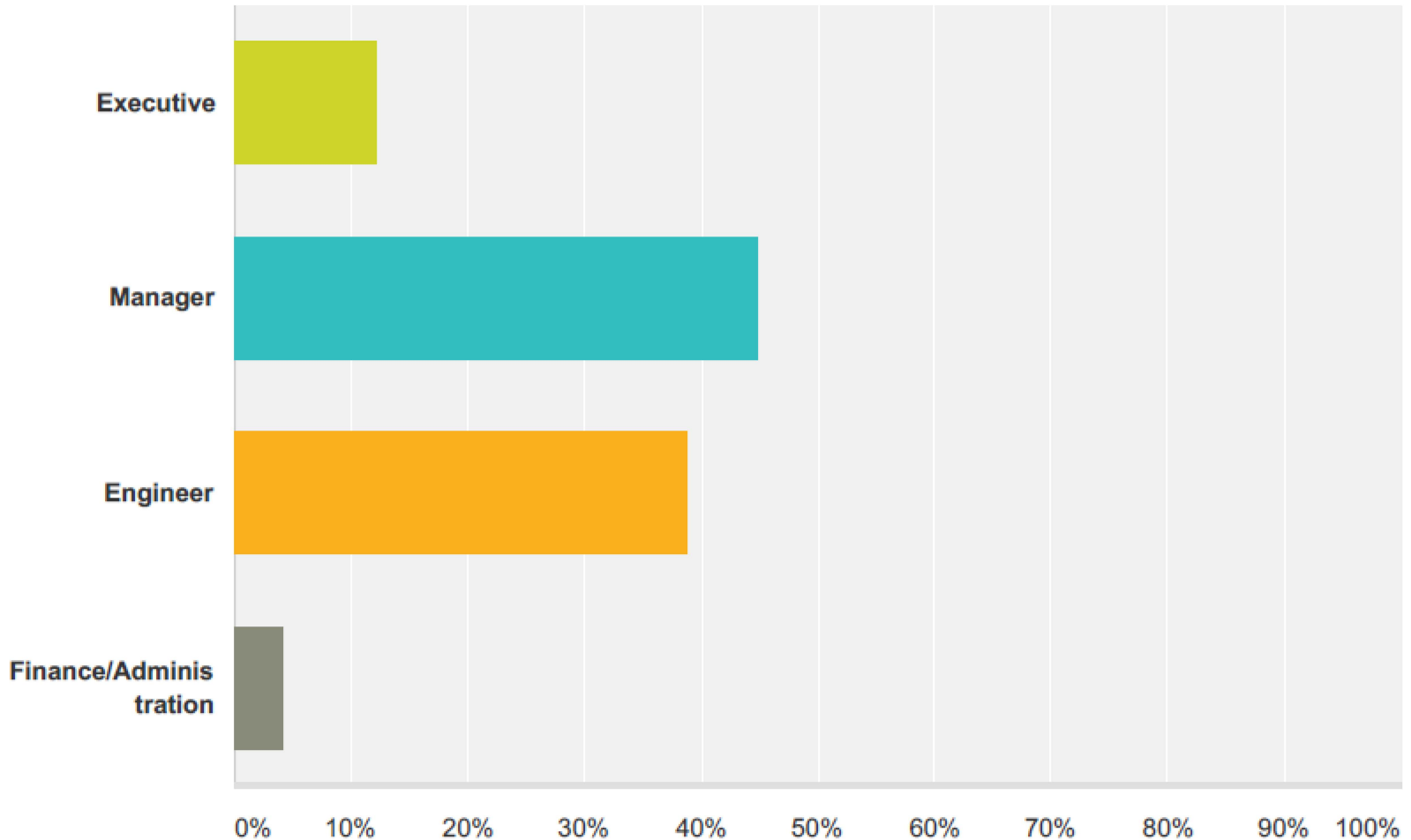
# Q1 What type of agency do you represent?

Answered: 49 Skipped: 0



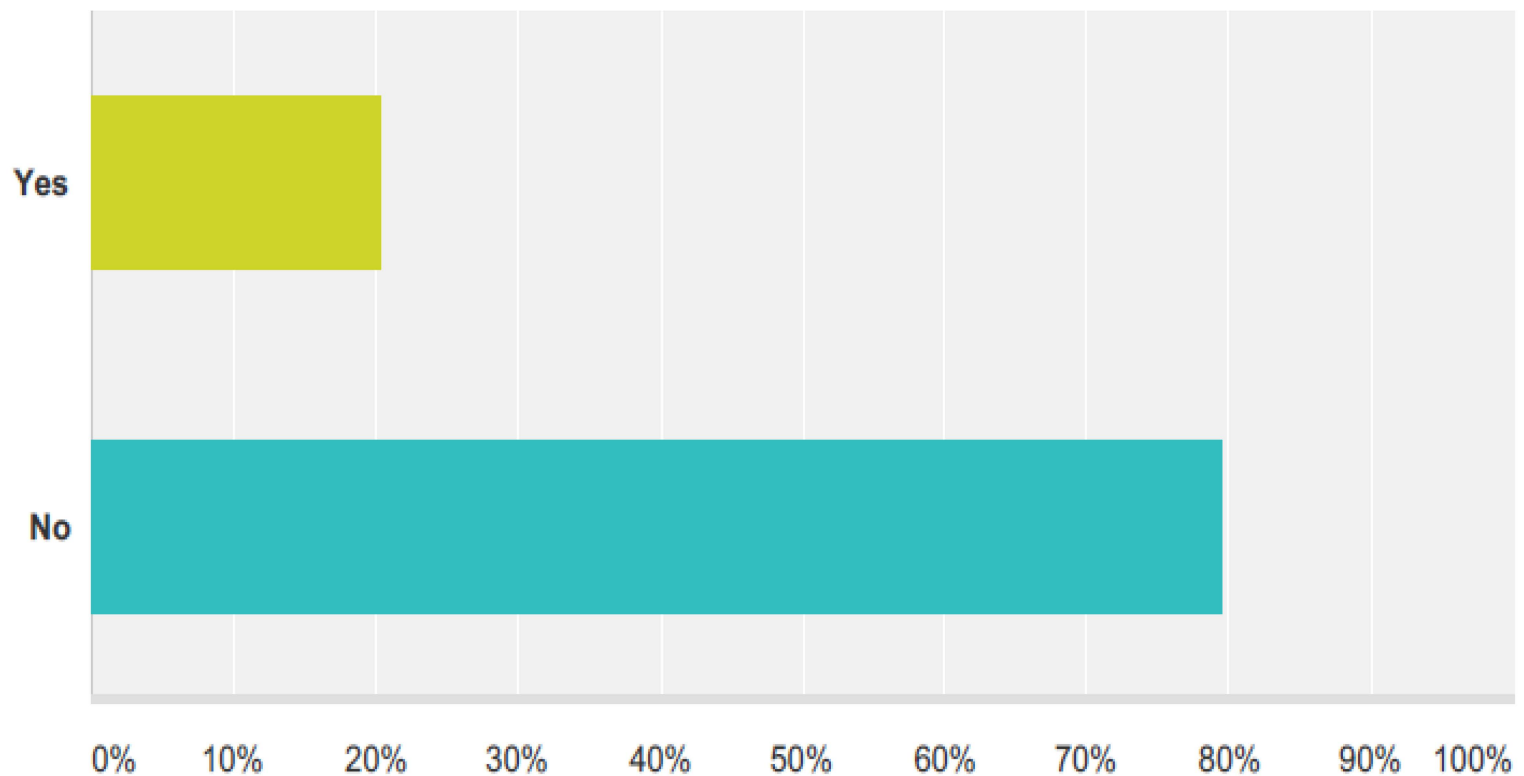
### Q3 What is your position level? Please choose from dropdown menu.

Answered: 49 Skipped: 0



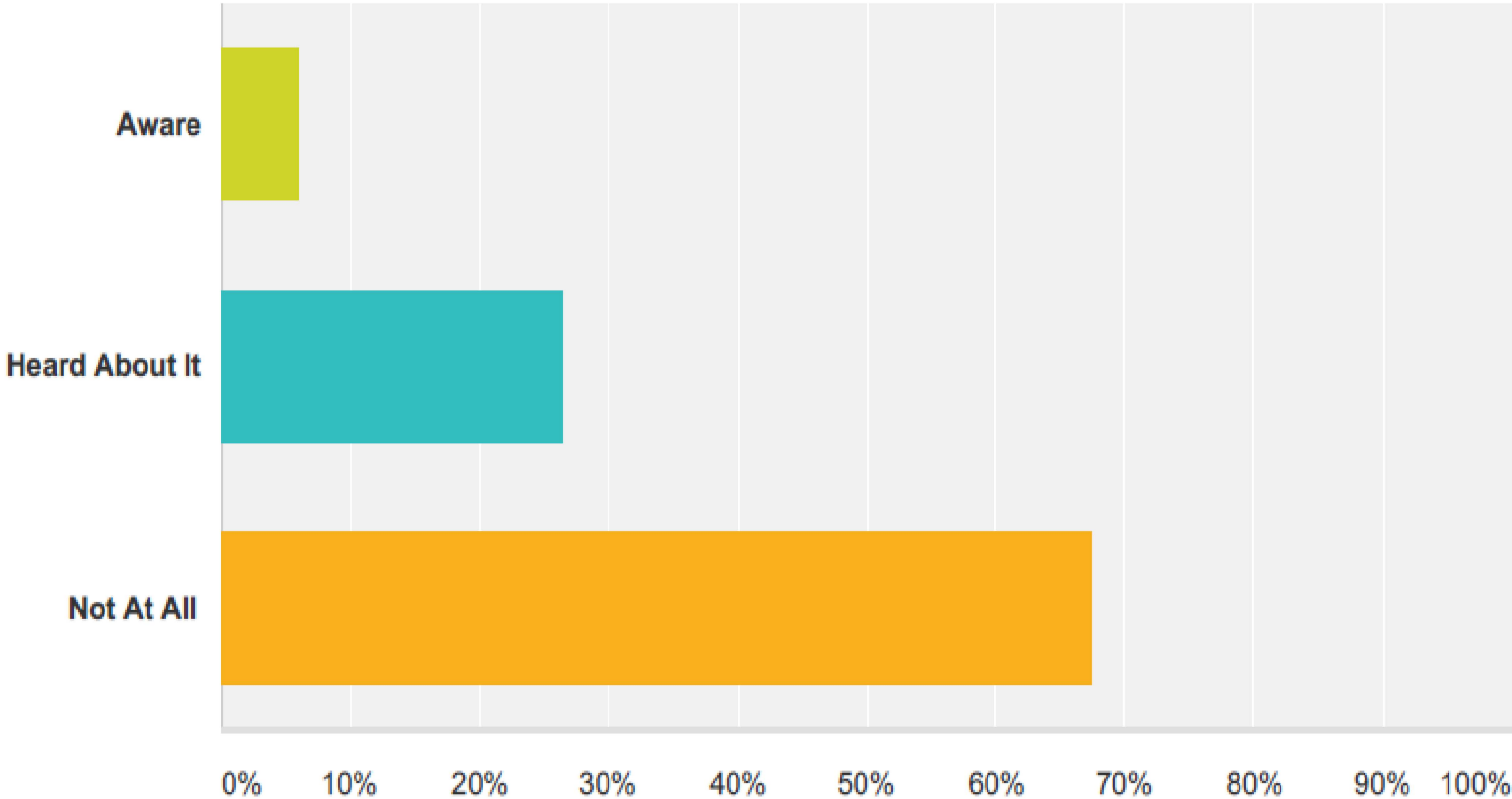
## Q4 Were you aware of the 2013 Spring Conference TCC session and action ideas?

Answered: 49 Skipped: 0



# Q5 How aware were you of the resolutions Caltrans presented?

Answered: 49 Skipped: 0



# Target Areas in Federal Funding

- Funding
- Environmental
- Design
- Right of Way
- Construction

# Funding

	<b>Strongly Agree</b>	<b>Agree</b>	<b>Unaware</b>	<b>Disagree</b>	<b>Strongly Disagree</b>
Fillable PDF Forms for LAPM Forms available on Caltrans website make it easier to complete forms.	<b>14.29%</b> 7	<b>46.94%</b> 23	<b>16.33%</b> 8	<b>16.33%</b> 8	<b>6.12%</b> 3
Caltrans Local Assistance Blog (LAB) and Caltrans Oversight Information Notices (COIN) make it easier to keep up with policy and procedure changes.	<b>10.20%</b> 5	<b>63.27%</b> 31	<b>22.45%</b> 11	<b>4.08%</b> 2	<b>0.00%</b> 0
E-76 review and approval status online on the Local Assistance website makes it easier to track requests submitted to Caltrans.	<b>8.16%</b> 4	<b>38.78%</b> 19	<b>51.02%</b> 25	<b>0.00%</b> 0	<b>2.04%</b> 1

# Funding Comments

- Excellent improvement, however some forms have formatting issues.
- While the formatting (cell size) sometimes presents issues, the PDF's are much easier to use than the old WORD docs.
- These are helpful to know when there is a change.
- This is a nice tool. However, it needs to be better designed so that there is not repetitive information on the waiting and obligated lists.



# Environmental

	<b>Strongly Agree</b>	<b>Agree</b>	<b>Unaware</b>	<b>Disagree</b>	<b>Strongly Disagree</b>
Caltrans staff is available to provide general guidance and assistance on NEPA prior to FTIP programming.	<b>16.33%</b> 8	<b>46.94%</b> 23	<b>28.57%</b> 14	<b>6.12%</b> 3	<b>2.04%</b> 1
Training improved, resulting in less iterations of Preliminary Environmental Study (PES) reviews.	<b>6.12%</b> 3	<b>34.69%</b> 17	<b>48.98%</b> 24	<b>8.16%</b> 4	<b>2.04%</b> 1
Revised Visual Impact Assessment (VIA) Checklist minimizes Visual Impact Assessment (VIA) for small and simple projects, such as safety projects.	<b>8.16%</b> 4	<b>26.53%</b> 13	<b>57.14%</b> 28	<b>6.12%</b> 3	<b>2.04%</b> 1

# Environmental Comments

- NEPA has gotten a lot harder for locals. Cultural resources is killing project delivery. Harder to predict cost and time with cultural resources.
- PES forms typically take several months to even get initial review/comments back on the bridge projects only to hear of minor info/items needed.
- The PES still needs to be more intuitive and better directions provided for its completion. This needs to be performed at a programmatic level rather than a local level.

# Design

	<b>Strongly Agree</b>	<b>Agree</b>	<b>Unaware</b>	<b>Disagree</b>	<b>Strongly Disagree</b>
Removal of PE/CE funding cap from Caltrans Local Assistance policies makes it easier to justify higher initial project PE/CE costs.	<b>14.29%</b> 7	<b>30.61%</b> 15	<b>44.90%</b> 22	<b>10.20%</b> 5	<b>0.00%</b> 0
Improved Guidance on DBE/Goal-setting Methodology & Good Faith Effort make it easier to comply with DBE requirements.	<b>14.58%</b> 7	<b>50.00%</b> 24	<b>20.83%</b> 10	<b>4.17%</b> 2	<b>10.42%</b> 5

# Design Comments

- Please resend the policies to the locals. District Local Assistance Engineer's office is unaware of this.
- This is very helpful, since the cap was a problem on almost all of our projects.
- Was unaware until this survey came out.
- Excellent improvements here with trainings and website updates.
- More frequent hands on training is desired.

# Right of Way

	<b>Strongly Agree</b>	<b>Agree</b>	<b>Unaware</b>	<b>Disagree</b>	<b>Strongly Disagree</b>
Caltrans new policy on Utility Manhole Cover Adjustments makes it easier to receive federal reimbursement.	<b>4.08%</b> 2	<b>16.33%</b> 8	<b>67.35%</b> 33	<b>10.20%</b> 5	<b>2.04%</b> 1
Improved training and guidance makes it easier to understand what work can be performed pre-NEPA approval.	<b>2.04%</b> 1	<b>28.57%</b> 14	<b>57.14%</b> 28	<b>8.16%</b> 4	<b>4.08%</b> 2
Statewide master franchise utility agreements make utility work easier.	<b>2.04%</b> 1	<b>16.33%</b> 8	<b>75.51%</b> 37	<b>4.08%</b> 2	<b>2.04%</b> 1

# Right of Way Comments

- Exhibit 13-A is helpful, however we understand separate and additional approval remains for reimbursement for manhole cover adjustments.
- We continue to have our utility relocation work unfunded without extensive paperwork. this is especially true fro small projects with simple manhole or meter relocations.
- The LAPM is not updated to allow liability determination to occur prior to NEPA.
- Request specifics of how its easier be sent out/gone over at conference.

# Construction

	<b>Strongly Agree</b>	<b>Agree</b>	<b>Unaware</b>	<b>Disagree</b>	<b>Strongly Disagree</b>
Caltrans new policy on Pro-rata/Lump-sum method for establishing federal share makes easier to change reimbursement ratio at project completion.	<b>10.42%</b> 5	<b>20.83%</b> 10	<b>52.08%</b> 25	<b>16.67%</b> 8	<b>0.00%</b> 0
DBE standard specs are now available.	<b>6.38%</b> 3	<b>42.55%</b> 20	<b>51.06%</b> 24	<b>0.00%</b> 0	<b>0.00%</b> 0

# Construction Comments

- Too easy to lock in rates with pro-rata. Under old rules appeared much easier to change ratios and true up at close out.
- Still confusing not sure what method is best usually leave up to DLAE to make recommendation.



# Flushing out the problems

- Was a problem identified, or was it complaining?
- Sometimes there is already a solution, but the respondent doesn't like the answer.
- Did the issue address something specific to that agency, or was it an issue seen with others?
- Did the agency's process or knowledge create the situation?
- Can this be resolved without legislative involvement?
- Would the solution be reasonable?

# Funding

- Coordinating HBP survey with FTIP inclusion is challenging.
- "Shut-down" of submitting RFA's the last quarter of the federal fiscal year is a challenge.
- Lots of comments about too many updates to form and changes in policy.
- Find changing the reimbursement ratio a challenge.
- Closeout package not getting processed in time which cause funds to lapse, hurdles/hoops to jump through just to obtain an FPN #
- Getting projects funded in the appropriate year is challenging: RTPA and CT coordination.

# Funding (Continued)

- The Funding authorization process is lengthy and inconsistent between sources. Small project options should be considered to streamline the process and get more projects completed.
- Instant On-Line status with an overall status, reimbursements, reports due, submittal deadlines, etc. Accurate instant on-line status reports would be great. All located in one spot would be good.
- HBP Bridge List moving project funding out of the 4 year FTIP. Makes things difficult when juggling local budgets, staffing, and looming fund revision dates
- Requirement to go back to prepare a Project Report when the project involves state funding and happens to go above the \$1 million limit.

# Environmental

- Review time
- Staff turnover & staff change
- New requirements over time
- Don't always accept each other's clearances.
- Conflicting responses between different reviewers, and between Local Assistance and HQ.
- Caltrans should adopt USFWS's BA format
- Agency engineers consistently underestimate the schedule and budget required for environmental work. They should be working with environmental staff during initial project development and have them prepare realistic schedule and budget.

# Environmental (Continued)

- It is difficult to determine R/W requirements during PE for mitigation areas, required by permitting. Arch and RWQCB continue to be challenging to project delivery.
- Revised and Re-issued PES forms after an original Caltrans signature and approval
- Excessive analysis required for non impacts (such as sign placement or overlays).
- Lack of reciprocity for NEPA clearance on multimodal projects combined at construction means a large effort to segregate all future costs on the project will be required.
- Flood Studies for sign post installation.

# Design

- Caltrans Design Oversight for on-system projects.
- 25% PE cap should be more flexible. There should be certain projects, such as small projects below a certain dollar amount, where no justification is required to exceed the cap.
- 15% CE cap should also be more flexible. Environmental monitoring requirements should be considered as well as distance from the office to the site, and the size of the project.
- A&I requirements, consultant invoicing requirements are too stringent and inflexible. Audits and Investigations requirements conflict with our Agency's standard contracting practices.

# Design (Continued)

- A&I's Indirect Cost Rate accounting requirements are too difficult for consultants, especially small firms and DBEs.
- Safe Harbor application is even harder to fill out than the full blown Form 10K. Safe Harbor is not helping small firms and DBEs.
- PIF document were not upheld (DEVELOP)
- Long bridge approach justification process is not clearly defined as to when that process needs to happen.