SB1 Workshop

PART 4
AGREEMENTS AND ALLOCATIONS

PRESENTED BY WINTON EMMETT
CHIEF, OFFICE OF IMPLEMENTATION NORTH

November 2018

AGREEMENTS, ALLOCATIONS, AUTHORIZATIONS
Roles & Responsibilities

Federal Highway Administration (FHWA)

Regional & Local Agencies

California Transportation Commission (CTC)

HQ Project Implementation Team

District Local Assistance Engineer (DLAE)

Local Assistance Quick Facts for California

- At any time there are about 5,000 “Active Projects” among 680 agencies
- These Active Projects represent $16 billion in total funding
- Annually
  - Originally 200 Allocations, now with SB1 we anticipate 400 Allocations per year
  - 2,000 Federal Authorizations
  - 7,000 Progress Invoices
Topics

- Local Assistance Agreements
- CTC Allocation Overview & Process
- Federal Authorization Overview & Process
- Best Practices, Heads Up, What’s Next

Local Assistance Agreements

Agreement between State & Local Agency

- **MA**: Master Agreements – Federal & State
- **PSA**: Program Supplement Agreement

Check Process
- ✓ **Agreements**: Local Assistance Procedures Manual (LAPM)

**Note**: Not all Master Agreements can be used across Local Assistance and Division of Rail & Mass Transportation. Call Patrick Olsen (916) 651-6825 for details.
What is a Master Agreement (MA)?

An agreement between a city, county, or other local public agency and the State that defines general terms and conditions. There are two types:

- Federal-aid Highway Program
- State-only Funded Projects

**MUST HAVE:**
- Project adopted into program before MA
- Executed MA prior to 1st project Allocation/Authorization

Sample MA: State Funded Project

![Sample MA: State Funded Project Image]
Sample MA: Federal-Aid Project

MA Timing

• Have MA but need update? **No Problem!**
  • HQ will send out updated MA

CHALLENGES

• New Agency, No MA:
  • Takes time! **6-12 months** - Delay project start date
  • Request initiation
  • Pre-award audit
  • Possible corrective actions from findings
  • MA & Locode processing

✓ Extensive Federal & State Requirements
MA Timing

SOLUTIONS

- Partner w/agency that has existing MA
- Be aware of MA timeframes
- Plan projects accordingly

✓ Review & know resources
  - MA Language
  - Local Assistance Procedures Manual (LAPM)
  - Local Assistance Program Guidelines (LAPG)

What is a Program Supplement Agreement (PSA)?

An Agreement between Local Agency & State, which amends the Master Agreement to describe the phases, costs, and special conditions, that apply to a specific projects.

- **One** per project
- Timing
- Contacts
Sample: PSA

Reminder: Cooperative (Coop) Agreement

- Required for projects on the State Highway System (SHS)
- Outlines Local Agency/State roles, responsibilities, and commitments
- Must be fully executed before beginning any reimbursable work or exchanging funds
- Additional SB1 Language:
  - Completion Reports
  - Accountability and Transparency Guidelines
  - Cost increases must come from non-SB1 funds
  - Project changes require CTC approval
  - Program Specific Guidelines
  - Baseline Agreements
RECAP: Agreements

MA: 1 per Agency

PSA: 1 per Project

REMEMBER...

A local agency will NOT be paid, *unless* they have a fully executed MA & PSA.
State Allocations

What are the State Funding Programs?

- Active Transportation Program (ATP)
- Local Partnership Program (LPP)
- Solutions for Congested Corridors (SCCP)
- Trade Corridors Enhancement Program (TCEP)

When Can an Agency Request an Allocation?

- After funds for project or project component are programmed in the Big 5.
- During the State Fiscal Year in which those funds are programmed.
- When ready to begin reimbursable work.
- Before awarding a contract.
- 7 weeks before the actual CTC vote takes place!!!
CTC Meeting Prep Schedule

dot.ca.gov/hq/transprog/ctcliaison.htm

2018 PREPARATION SCHEDULE
CALIFORNIA TRANSPORTATION COMMISSION (CTC) MEETINGS
AGENDA ITEMS DUE DATES
Prepared by:
CALIFORNIA DEPARTMENT OF TRANSPORTATION
CALIFORNIA DEPARTMENT OF TRANSPORTATION
http://www.dot.ca.gov/hq/transprog/ctcliaison.htm
Effective:
September 2017

<table>
<thead>
<tr>
<th>Year/Office</th>
<th>CTC</th>
<th>Local Agency</th>
<th>DLAE</th>
<th>ALA</th>
<th>CTC Liaison</th>
<th>HQ DLA</th>
<th>Final Agency Letter</th>
<th>Final Draft Letter</th>
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<tbody>
<tr>
<td>2018</td>
<td>CTC</td>
<td>Local Agency</td>
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<td>HQ DLA</td>
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<tr>
<td>Jan 31 - Feb 1 - Sacramento Area</td>
<td>Mon, Dec 4, 17</td>
<td>Mon, Dec 11, 17</td>
<td>Mon, Dec 16, 17</td>
<td>Thu, Dec 20, 17</td>
<td>Thu, Jan 4, 18</td>
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<td>March 21-22 - Los Angeles</td>
<td>Mon, Jan 22, 18</td>
<td>Mon, Jan 29, 18</td>
<td>Mon, Feb 5, 18</td>
<td>Wed, Feb 14, 18</td>
<td>Thu, Feb 22, 18</td>
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<td>May 14-17 - San Diego</td>
<td>Mon, Mar 19, 18</td>
<td>Mon, Mar 26, 18</td>
<td>Mon, Apr 2, 18</td>
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<td>Thu, Apr 18, 18</td>
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<td>June 15-26 - Sacramento Area</td>
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<td>Mon, May 7, 18</td>
<td>Mon, May 14, 18</td>
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<td>July 18-29 - San Francisco</td>
<td>Mon, June 18, 18</td>
<td>Mon, July 2, 18</td>
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<td>August 15-16 - Central Valley</td>
<td>Mon, Aug 20, 18</td>
<td>Mon, Aug 27, 18</td>
<td>Tue, Sep 4, 18</td>
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<td>September 5-6 - Riverside</td>
<td>Mon, Oct 8, 18</td>
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<td>Wed, Oct 31, 18</td>
<td>Thu, Nov 8, 18</td>
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Follow CTC Meeting schedule deadlines!!!
Allocation Submittals: E&P (aka PA&ED)

* Recently Released – New Dynamic Allocation Form
“Funding Allocation Request Data Form” at:
http://www.dot.ca.gov/hq/LocalPrograms/forms/

- Funding Allocation Checklist, Exhibit 22-N or 23-N
- Request for Allocation, Exhibit 22-O or 23-O
- Finance Letter, Exhibit 22-C, 23-C, or 3-O
- Programming Info, FTIP, CTIPS, ATP, SB1, etc.
- Project Programming Request Form and Funding Information, Exhibit 22-G or 23-G/H
- Program Specific Requirements
- Subject to Timely Use of Funds

**Federal PE phase = State E&P/PA&ED and PS&E components**

RTPA/MPO Concurrence

<table>
<thead>
<tr>
<th>Division of Local Assistance</th>
<th>Funding Allocation Request Data Form</th>
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<tr>
<td>4. REQUEST FOR ADVANCE OF FUNDING</td>
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<tr>
<td>Is this request for funding programmed in a future Fiscal Year?</td>
<td>No</td>
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<tr>
<td>Provide justification below if yes.</td>
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| 5. ESTIMATED TIMELY USE OF FUNDS DEADLINES |

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<th>6. RTPA/MPO CONCURRENCE</th>
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<tr>
<td>The RTPA must sign the “Request for Funding Allocation” form if any of the below applies:</td>
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**Allocation Submittals: PS&E and R/W**

Same as E&P, but includes:

- CEQA document type and approval date
  - Non-exempt Projects: Local Agency submits final environmental document, directly to the CTC
- NEPA document, if federalized
- *Program Specific Requirements*
- Subject to Timely Use of Funds

**Federal PE phase = State E&P/PA&ED and PS&E components**

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**Construction Allocation Submittals**

Same as PS&E and R/W, but also includes:

- Date of Right of Way Certification (State)
- Right of Way Certification (Federal)
- Engineer’s Detailed Estimate
- *Program Specific Requirements*
- Subject to Timely Use of Funds
Other Allocation Requests

• SB 184: STIP, short term, within the SFY
• AB 3090: STIP, longer term
• LONP: Letter of No Prejudice, SB1

For more information, please contact your District Local Assistance Engineer.

District 1 – Suzi Theiss, (707) 445-6399
Suzanne.Theiss@dot.ca.gov

District 2 – Ian Howatt, (530) 225-3484
Ian.Howatt@dot.ca.gov

District 3 – David Giongco, (530) 741-5450
David.Giongco@dot.ca.gov

District 4 – Sylvia Fung, (707) 445-6399
Sylvia.Fung@dot.ca.gov

District 5 – Heidi Borders, (805) 549-3111
Heidi.Borders@dot.ca.gov

District 6 – Jim Perrault, (559) 445-5417
James.Perrault@dot.ca.gov

District 7 – Segee Novotny, (213) 897-4289
Steve.Novotny@dot.ca.gov

District 8 – David Lee, (909) 806-4756
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District 9 – Forrest Becket, (760) 872-0681
Forrest.Becket@dot.ca.gov

District 10 – Parminder Singh, (209) 948-3689
Parminder.Singh@dot.ca.gov

District 11 – Bing Luu, (619) 220-5311
Bing.Luu@dot.ca.gov

District 12 – Tifini Tran, (707) 445-6399
Tifini.Tran@dot.ca.gov

Visit the Caltrans Local Assistance SB1 Website at http://www.dot.ca.gov/hq/LocalPrograms/SB1/