



Single Point of Contact (SPOC) MTC Workshop

PRESENTED BY:

Sylvia Fung

District 4 Local Assistance

September 2014



Who Are We?

Sylvia Fung

Office Chief

John Brewster

ER, HSIP, Ala and CC

Hin Kung

DBE, SF, SM, SC

Chien Wu

HBP, Mrn, Sol, Son, Napa

Xi Zhang

ATP, Napa

Ephrem Meharena

VTA i-Team

Environmental

Boris Deunert

Patricia Maurice



What is Local Assistance?

The Caltrans Division of Local Assistance in Sacramento and 12 District Local Assistance Offices assist local agencies in negotiating through the various requirements of state and federal transportation funded programs.



Roles and Responsibilities

- FHWA
 - Federal agency ultimately responsible for ensuring compliance with all federal requirements on highway projects
- CALTRANS
 - Stewardship Agreements delegates many FHWA responsibility to Caltrans for “Delegated” projects



Roles and Responsibilities

- CALTRANS DISTRICT 4
 - Initial and Primary Contact with Local Agencies
 - Advise Local Agencies on Caltrans Local Assistance Policies/Procedures
 - Receive Funding Requests from Local Agencies, Review for Completeness and transmit to HQ
 - Conduct Field Reviews, Final Verification
 - Coordinate with HQ in processing Local Agency Funding Requests



Roles & Responsibilities

- LOCAL AGENCY

- In 1995 under the “Re-engineering of Local Assistance Procedures” many Title 23 responsibilities were delegated by Caltrans to local agencies
- Primarily responsible for implementing projects
 - conception
 - environmental
 - maintenance
 - planning
 - design
 - programming
 - construction



Avoid the Dirty Dozen

1. Authorizations (E-76)

- Before starting any reimbursable work phase
- Before construction is advertised
- Before hiring consultants paid with federal \$



Avoid the Dirty Dozen

2. Environmental

- Description clear & consistent with Field Review, PES, and TIP
- Project impacts on existing setting
- Submit studies when completed
- Programmatic 106 screening process
- Agency review reports before submittal
- Use NEPA terminology



Avoid the Dirty Dozen

3. Consultants

- Pre-award audit if \geq \$3.5M
- Exhibit 10-K if \$1M & $<$ \$3.5M
- Include DBE provisions
- Open competitive selection process
- Consultant selection for City Engineer and on-calls \leq 3 years



Avoid the Dirty Dozen

4. Right of Way

- First written offer after NEPA clearance
- Follow the Uniform Act
- “Short form R/W Cert” can be misused
- Specific utility E-76 for federal funds
- Buy America requirements for utilities



Avoid the Dirty Dozen

5. Construction award

- Lowest responsive bidder
- No negotiations with bidder
- DBE Good Faith Efforts
- Send in award package within 60 days of award and PRIOR to first invoice



Avoid the Dirty Dozen

6. Non-competitive bidding

- Avoid sole source specs
- Justify force account work (PIF approval by Caltrans)
- Justify supplied materials (PIF)
- Justify proprietary products & processes (PIF)



Avoid the Dirty Dozen

7. Disadvantaged Business

- Annual DBE goals before October
- Use latest specs, prompt pay, substitutions, GFE, reports...
- Enforce contract DBE regulations



Avoid the Dirty Dozen

8. Final Design

- Final design after NEPA
- Include ADA requirements
- Design Exception by PE (off SHS)
- Include Fed Reqmts & Wages
- 10 Day Rule for federal wage updates
- Avoid proprietary items



Avoid the Dirty Dozen

9. Construction

- Adequate full-time oversight
- Enforce labor & testing specifications
- Document CCOs
- Work within project limits (NEPA & R/W Cert)
- Keep records in one location



Avoid the Dirty Dozen

10. Materials

- Submit Material Certification
- Enforce testing QAP
- Avoid Buy America violations
(Map-21 requirements)
- Justify agency-furnished materials



Avoid the Dirty Dozen

11. Final Report

- Timely submittal ~180 days
- Document any DBE substitutions
- Invoice format & backup
- Provide as-built plans for structures
- Avoid CWA deadlines for liquidation



Avoid the Dirty Dozen

12. Maintenance

- Must maintain for service life of improvement
- 3 year record retention for audits

We're Here to Help

