DLAE Roundtable with SPOCs - A Day of Mutual Understanding

Tuesday, September 30, 2014 9:30 am - 3:30 pm
Metropolitan Transportation Commission
MetroCenter – 1st Floor, Auditorium
101-8th Street, Oakland, 94607

Morning Session 9:30 am - ~ 12:00 noon

I. Self-introduction of attendees
   a. Responsibilities of a SPOC
   b. What are your priorities associated with federal aid projects
   c. What they hope to get out of this workshop

II. General overview of process from programming to implementation
   a. MTC – How they develop cycles, develop the TIP, and make TIP amendments
   b. CMAs – How they use Cycle guidelines, set up calls for projects, get projects through committees and approved by their Boards, submit to MTC, and then work with jurisdictions to program/deliver projects
   c. DLAE outlines responsibilities and hours spent on invoicing reviews, E-76 Processing, etc. What is needed in order to set up field review? Top five list of tips for getting your package through CT.

III. Ground rules for Breakout session: This is not a gripe fest. The intent is to provide mutual understanding and constructive ideas to possibly improve the process.

Break for Lunch ~12:00 noon – 1:00 pm

Afternoon Session ~1:00 pm - ~3:30 pm

IV. Breakout session: by regional DLAE and his/her represented jurisdictions
   a. Roundtable introductions (everyone should be familiar with their DLAE)
   b. SPOCs outline their local government process for advertise/award/approve:
      - What items have to go to council for approval?
      - How long does that take?
      - What kind of development review is involved in submitting a package to Caltrans?
      - How do consultant invoices get reviewed by local jurisdiction prior to CT submittal?
        Who does the review?

- Explain the percent of time they spend on these projects vs other work (e.g. building permits, storm water, waste water, solid waste, and other capital improvements).

c. Area Engineer can explain the biggest challenges in processing projects:
   - What sort of information is often missing from submittals
   - How many projects they have to process
   - What types of issues are the hardest to resolve
   - How it is up to the agencies to follow up and how much follow up is considered too much?

V. Wrap it up: Brainstorm of challenges and potential improvements.

a. How can we help each other in the era and environment of cutbacks?
   - Examples of simple corrections area engineers can make without bouncing a whole package back?
   - Discuss when it is appropriate to elevate issues or get clarification on unclear processes or how to "dig deeper" for answers without offending the other party.
   - Would it save time/ effort for everyone if CT scheduled group field reviews together similar to ARRA?
   - Checklist for first and last invoices only? Or expedited/streamlined review for proven "good" players?
   - Would posting example "model" submittals help?
   - Electronic filing of documents to prevent lost documentation and keep history. Similar to FMS document uploads?
   - Involve R/W earlier in the process to avoid last minute R/W cert issues?

VI. Would additional future workshops be helpful?

a. What would you want out of future workshops?

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(DBE, State, XCH, & FTA Programs Manager)

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(HBP Manager)

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Environmental ..... **Boris Deunert**, **Senior Env. Planner** ..... (510) 286-6371
(Environmental and Local Agency Training Manager)

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NEPA/CEQA RE-VALIDATION FORM

DIST./CO./RTE.	
PM/PM	
E.A. or Fed-Aid Project No.	
Other Project No. (specify)	
PROJECT TITLE	
ENVIRONMENTAL APPROVAL TYPE	
DATE APPROVED	
REASON FOR CONSULTATION (23 CFR 771.129)	*Check reason for consultation:* ☐ *Project proceeding to next major federal approval* ☐ *Change in scope, setting, effects, mitigation measures, requirements* ☐ *3-year timeline (EIS only)* ☐ ***NA*** *(Re-Validation for CEQA only)*
DESCRIPTION OF CHANGED CONDITIONS	*Briefly describe the changed conditions or new information on page 2. Append continuation sheet(s) as necessary. Include a revised Environmental Commitments Record (ECR) when applicable.*

NEPA CONCLUSION - VALIDITY

Based on an examination of the changed conditions and supporting information: [*Check ONE of the three statements below, regarding the validity of the original document/determination (23 CFR 771.129). If document is no longer valid, indicate whether additional public review is warranted and whether the type of environmental document will be elevated.]*

☐ **The original environmental document or CE remains valid. No further documentation will be prepared.**

☐ **The original environmental document or CE is in need of updating; further documentation has been prepared and ☐ is included on the continuation sheet(s) or ☐ is attached. With this additional documentation, the original ED or CE remains valid.**

Additional public review is warranted (23 CFR 771.111(h)(3)) Yes ☐ No ☐

☐ **The original document or CE is no longer valid.**

Additional public review is warranted (23 CFR 771.111(h)(3)) Yes ☐ No ☐

Supplemental environmental document is needed. Yes ☐ No ☐

New environmental document is needed. Yes ☐ No ☐ (If "Yes," specify type: _____)

CONCURRENCE WITH NEPA CONCLUSION

I concur with the NEPA conclusion above.

_____ _____ _____ _____

Signature: Environmental Branch Chief Date Signature: Project Manager/DLAE Date

CEQA CONCLUSION : *(Only mandated for projects on the State Highway System.)*

Based on an examination of the changed conditions and supporting information, the following conclusion has been reached regarding appropriate CEQA documentation: *(Check ONE of the five statements below, indicating whether any additional documentation will be prepared, and if so, what kind. If additional documentation is prepared, attach a copy of this signed form and any continuation sheets.)*

☐ **Original document remains valid. No further documentation is necessary.**

☐ **Only minor technical changes or additions to the previous document are necessary. An addendum has been or will be ☐ prepared and is ☐ included on the continuation sheets or ☐ will be attached. It need not be circulated for public review.** ***(CEQA Guidelines, §15164)***

☐ **Changes are substantial, but only minor additions or changes are necessary to make the previous document adequate. A Supplemental environmental document will be prepared, and it will be circulated for public review.** ***(CEQA Guidelines, §15163)***

☐ **Changes are substantial, and major revisions to the current document are necessary. A Subsequent environmental document will be prepared, and it will be circulated for public review.** ***(CEQA Guidelines, §15162)***
(Specify type of subsequent document, e.g., Subsequent FEIR:)

☐ **The CE is no longer valid. New CE is needed. Yes ☐ No ☐**

CONCURRENCE WITH CEQA CONCLUSION

I concur with the CEQA conclusion above.

_____ _____ _____ _____

Signature: Environmental Branch Chief Date Signature: Project Manager Date

CONTINUATION SHEET(S)

Address only substantial changes or substantial new information since approval of the original document and only those areas that are applicable. Use the list below as section headings as they apply to the project change(s). Use as much or as little space as needed to adequately address the project change(s) and the associated impacts, minimization, avoidance and/or mitigation measures, if any.

Changes in project design, e.g., substantial scope change; a new alternative; change in project alignment

Changes in environmental setting, e.g., new development affecting traffic or air quality;

Changes in environmental circumstances, e.g., a new law or regulation; change in the status of a listed species.

Changes to environmental impacts of the project, e.g., a new type of impact, or a change in the magnitude of an existing impact.

Changes to avoidance, minimization, and/or mitigation measures since the environmental document was approved.

Changes to environmental commitments since the environmental document was approved, e.g., the addition of new conditions in permits or approvals. When this applies, append a revised Environmental Commitments Record (ECR) as one of the Continuation Sheets.

_____ _____
Signature Date

_____
Printed Name

This letter serves as a reminder that the local agency must submit the following in order to have the PES form submittal be considered complete. Please remember that we will not review the PES form, or schedule a field review without the following being included with the PES form.

1. FWS Endangered and Threatened Species list by Quads for your area. The information for the quad info is below.
Go to the following website and pan over the square in which the project is located. The USGS Quad name will appear...
http://bard.wr.usgs.gov/getDEMSMap.html

Then go to the UFWS website and generate the species list using the Quad name
http://www.fws.gov/sacramento/ES_Species/Lists/es_species-lists_quad-finder.htm

2. A completed Visual Resource Checklist, answer (with rational for larger projects) and total score.
http://www.dot.ca.gov/hq/LandArch/via_outlines/questionaire.htm

3. Haz waste info. This can be found on the Geotracker unless your agency has your own inhouse source.
http://geotracker.waterboards.ca.gov/

4. 100 year FEMA Floodplain Map

Right of Way Local Programs - STAFF ASSIGNMENTS

LINDA EMADZADEH Office Chief (510)286-5400 – (Unit # 0852)

JULIE MCDANIEL Branch Chief (510)286-5308
(Unit # 0878)

- Alameda County (ALA)
- Marin County (MRN)
- Napa County (NAP)
- Sonoma County (SON)
- San Francisco County (SF)
- BART (All Counties)
- Qualifications, Annual Federal Aid Reporting, Cooperative Agreements (tracking)

QIN PHU Associate R/W Agent (510)622-8768

- Alameda County (ALA)
- San Francisco (SF)
- BART (All Counties)
- Cooperative Agreements (All Counties)

EMMANUAL (NOEL) SANTILLAN Associate R/W Agent (510)622-4913

- Napa County (NAP)
- Sonoma County (SON)
- Marin County (Mrn)

KRISTIN L. SCHOBER Branch Chief (510)286-5327
(Unit # 0880)

- Santa Clara County (SCl)
- San Mateo County (SM)
- Contra Costa County (CC)
- Solano County (Sol)

NEREIDA MILLAN-NARANJO Associate R/W Agent (510)286-5337

- Solano County (Sol)
- Contra Costa County (CC)

LATORYA YOUNG Associate R/W Agent (510)622-5060

- San Mateo County (SM)
- Santa Clara County (SCl)

LAURA HAMEISTER Branch Chief (510)286-5429
(Unit # 0881)

- LPA Utility Oversight (All Counties)

PRELIMINARY RIGHT OF WAY
FHWA Funded Local Assistance Projects (off-system)
(Activities that can be performed prior to Environmental Clearance)

- Surveying
- Preliminary Engineering
- Order Title Reports
- Identify property ownership and encumbrances
- Prepare Right of Way base maps
- Prepare preliminary appraisal maps
- Right of Way Consultant Selection (Requests For Proposals)
- Comparative Sales Research
- Cost Estimates for: types of properties, size & number of residential, commercials, displacements
- Develop a realistic timeline and work-plan for appraisals, acquisitions, relocations and utility relocations
- Estimate Fair Market Values, Relocation Payments, Sponsor's liability for utility relocations
- PE studies include: limits, location scope, costs, new r/w parcel list, all factors to be used in the Field Review, PES and eventually the PS&E
- Verification of existing utilities (e.g. secure as-built maps from Owners) and preparation of preliminary utility mapping
- Utility positive location (Potholing)
- Expenditures for the preparation of preliminary utility plans in support of the environmental document (e.g. sufficient detail to establish the APE)*

*Not eligible for federal reimbursement if plans are prepared by the utility owner without prior FHWA approval

CALTRANS' RIGHT OF WAY CERTIFICATION REQUIREMENTS

FHWA Funded Local Assistance Projects (off-system)

- When it is discovered that Right of Way will be required for your project, contact your R/W Liaison immediately.
- Regular Right of Way activities cannot commence until NEPA Clearance
- Local Agencies are required to follow the Local Assistance Procedural and Caltrans' Right of Way Manuals.
    - Caltrans Local Assistance Procedures Manual: http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm
    - Caltrans Right of Way Manual: http://www.dot.ca.gov/hq/row/rowman/
- Use proper Certification form, either 13-A (updated 12/30/13) or 13-B (updated 4/24/14) AND have person authorized under local resolution sign the certification
- All utilities performed by the project contractor or at project expense must comply with the provisions of Buy America. This is the case even when no federal funds are allocated to utility relocations.
- Caltrans is responsible for ensuring compliance with Federal Regulation and Departmental Policies and Procedures. In order to do this, we require supporting documentation for all Right of Way activities before the Right of Way Certification can be approved.

  Examples of supporting documentation include, but are not limited to:

    - Fully-Executed copies of the contracts, recorded deeds, dedication agreements, Resolutions of Necessity, Final Orders of Condemnation etc.
    - Railroad – Construction and Maintenance Agreements, CPUC approvals, Plan approvals
    - Utilities - Report of Investigation Package, Draft Notices to Owners and Utility Agreements, Specific Authorizations
    - Relocation Assistance Documents
    - PSE Bid items list
- Contact us early and often!