



**Local Agency
Program FY08 Final
Report**

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Background



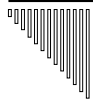
**2006 National Program
Review**

*“The Federal-Aid Highway Program has
grown significantly in size and complexity.”*



2006 National Program Review

- National review found LAP has “program weaknesses.”
 - California Division reorganized with LAP Director
 - Ca. Division began Local Agency Program Reviews
 - Phase I completed 2007
 - Phase II completed 2008
 - Final Report completed 2008



Program and Project Level Initiatives



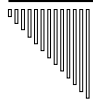
FY 07 Joint Follow-up Reviews

- Construction Contractor Payment Review
- Environmental Commitment Compliance Review
- Hazard Elimination Safety Process Review
- Quality Assurance Program Review
- Categorical Exclusion Review
- Title VI Review of a Sub-recipient



FY 08 Joint Program Reviews

- Local Public Agency Program (LPA) Review
- FIRE Review
 - Grants Financial Management Review
 - Improper Payment Information Act Review
- Section 6004 MOU Process Review
- Caltrans Bridge Program Delivery Process Review
- A/E Consultant Contracts Program Review



Joint Program Level Initiatives

- Program Analysis/Risk Assessments
 - Civil Rights
 - Construction (Lead)
 - Consultant Selection/Admin (Lead)
 - Design
 - Emergency Relief (Lead)
 - Environment (Lead)
 - Finance
 - ROW (Lead)
 - Safety
 - Systems Preservation




Project Level Initiatives

FHWA Initiatives

- High Profile Project Oversight
- Project Tracking System Implementation
- Project Authorization Requests


Joint Initiatives

- PE>10 Year Review/Approval
- Inactive Obligation Review/Approval




Final Report

What is going well



Final Report

Local Public Agencies
Top 5
Best Practices



LPA Best Practices

1. Project records are digitized and retained for ten years after project completion.
2. A Mitigation Monitoring and Reporting Record has been established to document and track mitigation recommended by the environmental document for each project.



LPA Best Practices

3. A Regional Standards Committee uses the Greenbook for reviewing and approving regional standard specifications and standard plans used by local agencies in Southern California.
4. A requirement for retaining a biologist was included in the special provisions of the boilerplate construction contract to ensure that environmental commitments were being enforced.



LPA Best Practices

5. LPA tracks contractor's payments to the subcontractors by having the contractor certify within 30 days that they have paid all subcontractors.



Final Report

District Local Assistance
Engineer
Top 4
Best Practices



DLAE Best Practices

1. One district has procedures in place to return signed copies of LPA Submittals to the local agency.
2. Five of the twelve districts use a checklist to review documentation and process requests from the LPAs.



DLAE Best Practices

3. One district has a dedicated environmental group. In another district, the environmental group has a work plan so the DLAE knows when the environmental work will be completed on projects.
4. One district performs mini-process reviews at 20% and 80% of construction completion.



Final Report


Positive Phases of Oversight

- Planning
- Environment
- Design




Final Report

Challenges



Phase I Outcomes

- Local Assistance Manuals provide good guidance
- Guidance needs updating to reflect SAFETEA-LU changes
 - Issued 3 LPP's to address these changes.
 - 2 LPP's are under development to address remainder of changes.
 - Began the "Office Bulletins" to provide "quicker" guidance.



Phase II Outcomes

- Not all LPA's follow all CT guidance, notable shortcomings for R/W & Construction.
- CT needs improved processes for LPA self certifications.
- CT needs improved oversight processes for LAP, with initial focus on A&E Contracts, R/W & Construction.
- Extensions of PE over 10 years need better justifications/documentation.



Phase II Outcomes

- Right of Way – Primarily utility relocation
- Construction – Deficiencies noted for following.
 - Field records, RE diaries, incomplete or missing
 - Pay quantities lacking proper support.
 - Records not kept in central location.



Phase II Outcomes

- A&E Contracts
 - Caltrans does not assure compliance with requirements in procurement of consultant contracts.
 - Caltrans presently updating requirements allowing LPA's to use cognizant rates for A&E consultants.



Phase II Outcomes

- ITS – FHWA delegation to CT includes the oversight and technical assistance role of the program to ultimately provide review & approval of Systems Engineering Management Program (SEMP).
 - Staffing levels need to be addressed
 - Training of staff
 - Review process for program



Where do we go from here?

7 Strategies



Strategy #1

- Ensure Caltrans oversight of the Local Assistance Program is comprehensive and ensures compliance with applicable federal laws and regulations.
 - Develop a Comprehensive Oversight Action Plan to implement necessary oversight changes to ensure substantial compliance is being achieved.
 - Plan to include documentation of current processes for oversight, verification, and quality control.
 - Joint efforts for training, mini-reviews, and partnering initiatives focused on LAP programs.

- *In progress, initial meetings held, joint team being formed.*



Strategy #2

- Improve program management through performance measures and indicators.
 - FHWA to develop a dashboard to be used for monitoring performance measure trends



Strategy #5

- Improve the Local Agency Program through joint identification of global issues and response strategies (systemic approach).
 - Conduct reviews that focus on “global issues.”
 - LAP Final Report in FY09 that gives FHWA and Caltrans a holistic perspective of the program instead of viewing the program through a stove-piped approach.




Strategy #6

- Improve training methods that are user friendly (goal = readily available and no cost) to provide outreach to more than 600+ agencies. *This is critical as CT & Local Agencies have limited staff and budgets.*
 - Web-based training
 - FHWA will focus on program implementation in FY09




Strategy #7

- Improve oversight functions under NEPA Assignment and environmental mitigation compliance, and promote initiatives to improve linking planning, NEPA and tribal consultation.
 - Environmental Commitment Compliance
 - Section 6004 & 6005 MOU
 - Nominate and submit to HQ at least one Exemplary Human Environment Initiative (EHEI) project.
 - Identify and showcase a successful Context Sensitive Solution (CSS) project in a national forum.
 - Tribal Consultation – Use web-based training to facilitate LPA understanding of tribal issues.




Summary

“The Federal-Aid Highway Program has grown significantly in size and complexity.”



Summary

- Multiple, high risk areas.
- FHWA/CT in partnership to make necessary improvements.
- Initial focus on high risk areas to effectively utilize existing resources.
 - A&E Consultant procurement & contracts
 - Right of way
 - Construction
 - Local Agency self-certification
 - ITS



Summary

- FHWA/CT planning additional process/program reviews to assess program health.
