

Timelines for Cooperative Work Agreements (CWAs) Funds Subject to Lapsing June 30, 2012

Cooperative Work Agreements:

Section 16304.3 of the Government Code (GC) authorizes the Department of Finance (DOF) to extend budget authority beyond the normal appropriation period. CWAs may be requested to complete projects for a maximum of 8 years from the original year of appropriation. This will be the **only one time opportunity** to obtain the approvals from DOF. It is **very important** to provide a detailed project specific justification with timeline on why funding for the project needs to be extended. DOF will review the justifications and determine whether an extension should be approved. **There is no appeal process for the projects for which an extension is denied. Headquarters Local Assistance (HQ) will process projects with CWA requests as a top priority, whereas extending lapsing funds will be a low priority.**

Federal Funds:

Budget authority provided through the annual state budget process must be available in order for FHWA to be billed for funds obligated for projects regardless of the type of program receiving the federal funds (i.e. High Priority Projects, Discretionary, Congestion Mitigation and Air Quality, Regional Surface Transportation Program, Emergency Relief, etc.). A lapse in budget authority could result in the de-obligation of federal funds.

The timeline below provides a schedule of key dates during the CWA process. **It is the Local Agency's responsibility to meet these deadlines.**

Implementation Schedule:

September 30, 2011: HQ will upload the following information to

<http://www.dot.ca.gov/hq/LocalPrograms/CWA/cwa.htm> (bookmark this page):

1. CWA Timeline
2. CWA Spreadsheet Instructions
3. Reason for Delay Codes
4. Frequently Asked Questions (FAQ)
5. CWA eligible project list by District and Agency alpha formats

**September 30 –
October 31:**

HQ will send a notification to the RTPA Yahoo! groups that the CWA eligible project list is available on the internet along with other supporting documents. District CWA Liaisons (Liaisons) will also be in contact to follow-up with Local Agencies if they have projects that are eligible for CWA and to determine if STIP funded projects have exceeded the STIP Timely Use of Funds guidelines. For state administered projects, the Liaisons will need to coordinate with project managers.

November 1:

Local Agencies submit requests for CWAs on a project-by-project basis to the Liaisons. **Local Agencies must also notify the Liaisons of any projects where the Local Agency will not apply for a CWA. Please**

note that it is the agency's responsibility to complete projects as programmed in order to retain federal and/or state funds previously reimbursed. Otherwise, funding for future projects may be jeopardized. **If funding is not extended for your project(s), the Local Agency is responsible for completing the project(s) using the agency's own funds.** Responses to HQ must be submitted using the spreadsheet format. A pdf version with the signature of the approving board/counsel or a copy of the signed resolution must be submitted.

**November 2 -
November 30:**

Liaisons review responses and follow up with Local Agencies as necessary to clarify information or request additional information. The justification provided must adequately describe an unforeseen and extraordinary circumstance beyond the control of the agency, including a timeline of events.

December 1:

Liaisons forward CWA requests to HQ with concurrence on the justifications provided.

**December 2, 2011 -
January 27, 2012:**

HQ reviews all data submitted by the Liaisons and follows up as necessary. HQ develops summary reports with attached lists of CWA projects, and submits to DOF for approval.

January 27:

Summary reports/project lists requesting CWAs are submitted to DOF.

**January 30 -
March 30:**

DOF remits any questions to HQ. HQ will forward all inquiries to Liaisons who will contact Local Agencies as needed. Additional information or clarification must be submitted to Liaisons who will forward to HQ.

March 30:

DOF completes review of projects and indicates their decisions to approve or deny CWA requests. There is no appeal process for the projects for which an extension is denied.

April 2:

HQ forwards DOF's approval/denial decisions to the Liaisons who will notify Local Agencies. HQ will also post the approved projects to: <http://www.dot.ca.gov/hq/LocalPrograms/CWA/cwa.htm>

April 2-6: HQ updates their records with DOF's decisions on a project-by-project basis.

Other Important Dates:

**April 2, 2012
(tentative):**

Last day for Local Agencies to submit **final invoices** and **final report of expenditures for completed projects** for which the budget authority is lapsing. Completed projects are inspected by the Districts. Final Invoice and Final Report of Expenditures are promptly reviewed by the Districts and submitted to Accounting for payment.

May 1 (tentative):

Last day to submit invoices for on-going projects where the identified budget authority is lapsing. **After May 1st, the phase or project will be lapsed and Local Agencies are required to pay for project costs with other funds. If the Local Agencies cannot submit their invoices on time, it is strongly recommended that a CWA time extension is requested.**

June 1-30:

Accounting disencumbers budget authority lapsing on a project-by-project basis.

CONTACT INFORMATION

District CWA Liaisons

District	Name	E-mail	Phone
District 1	Suzanne Theiss	Suzanne_Theiss@dot.ca.gov	(707) 445-6399
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District 12	Ghazal Afrasiabi	Ghazal_Afrasiabi@dot.ca.gov	(949) 724-2124

HQ Local Assistance – Kayo Lao (916) 651-8914, Peggy Siu (916) 651-6875, or Daniel Burke (916) 654-5854

Questions regarding BTA Program – Penny Gray (916) 653-2750

District Local Assistance Engineers (Project Specific Questions)

District	Name	E-mail	Phone
District 1	Susan Theiss	Susan_Theiss@dot.ca.gov	(707) 445-6399
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