

CALTRANS DIVISION OF LOCAL ASSISTANCE



10/22/2019

STATE-ONLY FUNDED MATRIX

What is the State-Only Funded (SOF) Matrix?

The SOF matrix was designed to clarify the roles and responsibilities when implementing State-only funded projects. Caltrans Deputy Directive 44, the Stewardship and Oversight Agreement between Caltrans and FHWA, CTC Guidelines, and SB1 funding all require oversight of State and federal funding. The SOF matrix provides direction to local agencies, the districts, and HQ on who-does-what and when for SOF projects.

What is the Purpose of the SOF Matrix?

Agencies and DLA personnel can easily follow and understand the SOF matrix. The strategic layout and succinct information on the SOF matrix allows all users to quickly and easily understand the SOF requirements.

The SOF matrix summarizes the guidance for delivering and overseeing SOF projects since our Local Assistance Procedures Manual (LAPM) primarily focuses on federal requirements. DLA strives to streamline our processes which includes providing as much direction as possible with minimal burden to agencies.

What is the Impact of the SOF Matrix?

The SOF matrix is designed to streamline the SOF process saving time and effort in advancing these projects to completion.

State-Only Funds Project Matrix

	Topic	Information Submitted to CT		Action by CT	Mandate/Best Practices	References
		DLAE	HQ	File, Review, or Approve		
Pre-Allocation	Reimbursement before allocation	Yes	Yes	File, Review	STIP: They could exercise SB184 with prior notice to the CTC and get reimbursed later, or they would not be able to reimburse costs prior to allocation ATP/SB1: Letter of No Prejudice (LONP) goes to CTC for approval	STIP Guidelines, SB184 utilization ATP Guidelines SB1 Guidelines
	A&E Consultants	No	Yes	File	CA Government Code 4525-4529.5	LAPM Ch. 10 (Consultant Selection). See 10.2
Allocation	CTC Allocation	Yes	Yes	File, Review, Recommend	CA Government Code Statutes of 1977 Ch. 1106	LAPG Ch. 22 (ATP) and 23 (Local Agency STIP Projects) & CTC Allocation Form
Post-Allocations	PS&E Scope Verification Pilot	Yes	No	File	Senate Bill 1 Pilot and PS&E requirements on ATP projects where the PS&E scope is verified.	LAPM Ch. 12 (PS&E) and Exhibit 12-D: PS&E Checklist
	ADA	No	No	None	CA Gov. Codes 4450 and 4454(b)(a). Division of State Architect will review and approve ATP Safe Routes to School Projects only.	See COIN 19-02 (Plans, Specifications And Estimate, Division Of State Architect (DSA) Review).
	CEQA Date	Yes	Yes	File	CEQA Statute, Section 21082 CEQA Implementing Regulation, Section 15022(a), CEQA documents are not reviewed	LAPG CTC Allocation Form (e-resolution) http://www.catc.ca.gov/programs/environmental
	R/W Clearance Date	Yes	Yes	File	CA Government Codes 14556.13	LAPG CTC Allocation Form. R/W Cert is self-certified by the implementing agency.
	Invoicing	Yes	Local Programs Accounting	Approve		LAPM Ch. 5 (Invoicing)
	Force Account	No	No	None	CA PCC 22030-22045	
	Timely Use of Funds	Yes	Yes	File, Review, Recommend	STIP Guidelines and CTC Guidelines	LAPG Ch. 23 (Local Agency STIP Projects) & CTC Allocation Form
	Projects getting federalized midstream (including Fed to State)	Yes	Yes	Approve	Any amount of federal funds on a project makes the project federalized. If a project switches unexpectedly from State-only to federalized, then all work stops and NEPA and right-of-way have to be brought into compliance before proceeding. Programmed to include the FTIP. It is best to federalize a project at the beginning if there is a chance of federal funds to be included later.	See COIN 19-01 (Project Delivery Requirements: Federal Funding vs. Non-Federal Funding By Project Phase).
Awarding with only 1 bidder (sole source)	No	No	None	CA Govt. Code 4527		
Close - Out	Final Inspection	Yes	Yes	Approve	LAPM Ch. 17 (Project Completion) Exhibit 17-H: Cover Letter and Final Report of Expenditures Checklist (PE Only), Exhibit 17-M: Final Project Expenditure Report	