

Memorandum

*Flex your power!
Be energy efficient!*

To: DISTRICT LOCAL ASSISTANCE ENGINEERS
Districts 01-12

Date: October 8, 2013

From: JOHN HOOLE 
Chief, Office of Project Implementation - South
Division of Local Assistance

Subject: Local Agency Requests to the Division of Engineering Services

Chapter 16 of the Local Assistance Procedures Manual (LAPM) includes procedures for local agencies to request source inspection services to be performed by the Caltrans Division of Engineering Services (DES), Office of Materials Engineering & Testing Services & Geotechnical Services (METS/GS) on a reimbursed basis. Requests to DES to provide other types of reimbursed services such as Skid Testing, Gamma-Gamma Logging (GGL) and Profilograph appear to be increasing in number. Based on a process initially formulated and used in Caltrans District 3 for requesting these types of DES services, this memo provides recommended steps to be taken including DES offices to contact. For source inspection requests, the procedures currently in place in Chapter 16 remain in effect until further notice. This memorandum (to be posted in the near future under "Publications" on the DLA internet homepage) may be superseded by future Local Programs Procedures (LPP) Chapter 16 updates.

1. If a local agency is unable, and if qualified consultants are unavailable, to perform services that the Caltrans Division of Engineering Services (DES) provides, a local agency may request that DES perform those services for them on a reimbursed basis. In these instances, prior to a request for Construction authorization having been submitted, a local agency must submit to the District Local Assistance Engineer (DLAE) a completed LAPM Exhibit 16-V, or equivalent (whether the actual 16-V or an equivalent form is submitted, the information required in the Exh 16-V fields must be provided for the particular type of DES service requested).
2. After reviewing the request for completeness and accuracy, the DLAE will contact the appropriate DES office to provide the request information and to ascertain whether DES will be available to do the work.
3. DLAE will then notify local agency of whether DES has indicated they will be able to do the work, and if so, DLAE will provide the local agency with DES contact information along with the current Capital Outlay Support Overhead (OH) rate to be applied (explained further in step "5."). DLAE may contact the Division of Accounting – Office of Receivables, Systems & Administration – Accounts Receivables Branch to verify the current approved OH rate.

4. Local agency to work with DES and agree to the estimated cost of work, scope of work to be performed, anticipated scheduling, provide additional information about the work to be performed as needed, etc.
5. Local agency's associated Request for Authorization to proceed (RFA) with the Construction Phase of work may be submitted to DLAE. The agreed upon estimated costs for the DES work to be performed shall be included in the RFA finance letter submittal (see sample portion of Finance Letter below). DLAE to confirm with DES the amount shown for DES Services.

FED				
	TOTAL	PARTIC	FEDERAL	LOCAL
	COST	COST	FUNDS	FUNDS
State Furnished Testing Services	\$10,000.00	\$10,000.00	\$8,853.00	\$1,147.00
Overhead at 72.15%	\$7,215.00	\$7,215.00	\$6,387.00	\$828.00
TOTAL	\$17,215.00	\$17,215.00	\$15,240.00	\$1,975.00
For questions on finance letter, contact:				
Signature: _____	Printed Name: Jane Doe			
Title: _____	Telephone: (###) ###-####			
Notes: The above shows a sample portion of a project funding scenario with a hypothetical estimated Total cost of DES work of \$10,000 and fully funded at a reimbursement rate of 88.53%. Fiscal Year 2013/14 Capital Support Overhead Rate of 72.15% shown.				

As indicated in the sample above, overhead costs for Capital Outlay Support must be included.

6. DLAE will coordinate with District Project Control Officer (PCO) to set up an Advantage Id (Adv Id) for DES to charge to (separate from the Local Assistance Project Advantage Id). DLAE will provide PCO with a copy of the Master Agreement (MA) for Federal-aid projects, Local Assistance Project Adv Id, Federal Project Number and a copy of project Finance Letter. From an agreement standpoint, ARTICLE IV - FISCAL PROVISIONS of the standard MA includes:
"14. ADMINISTERING AGENCY will reimburse STATE FOR STATE's share of costs for work performed by STATE at the request of ADMINISTERING AGENCY. STATE's costs shall include overhead assessments in accordance with section 8755.1 of the State Administrative Manual."

7. PCO will assign a separate Project Id for the testing services and will:
 - set up the project Id as "N" phase.
 - use the Sub Account field in the CAS to cross reference the two project Advantage Ids.
 - assign a funding profile, with the local agency as the Customer and an R appropriation unit "R", use the appropriate "20.10." PEC/PECT and input the MA number under Letter of Credit (Master Agreement provided by local assistance).
 - provide a copy of MA number and Finance Letter to help actuate the Budget Authority being assigned for the testing. Attach Finance Letter to the CAS prior to submittal.
8. For cross-referencing, in the LP2000 Finance Letter Remarks Section, DLAE will note the Adv Id to be used for DES charging. DLAE to transmit Construction Authorization E76 to HQ.
9. In correlation with the E76 having been executed, DLAE to verify that the Adv Id is available and open for DES charges. DLAE to contact DES and Local Agency to notify parties of the respective charging/Accounting information. This will be DES's approval to proceed.
10. DES to perform work.
11. DES to notify DLAE upon all of their work having been completed, to confirm that all time sheets have been approved and that no additional charges will be needed.
12. DLAE to notify the Division of Accounting, Office of Receivables, Systems and Administration – Accounts Receivables Branch that an Accounts Receivable (AR) may now be sent to Local Agency.
13. After Local Agency has paid the AR (DES charges plus OH costs), Local Agency to submit invoice to DLAE through the normal process to get reimbursed for Federal Participating DES work costs under the Local Assistance Federal Project Number/Adv Id. DLAE to verify that AR has been processed by Accounting prior to processing Local Agency invoice.

If there are questions, please contact your DLA Area Engineer.

DES Offices to Contact

Skid Testing

METS/GS - Office of Roadway Materials Testing
SkidTesting.Request@dot.ca.gov

Gamma-Gamma Logging (GGL)

METS/GS – Office of Geotechnical Support

Profilograph

Structure Construction

Source Inspection (refer to LAPM Ch 16 for procedure)

METS/GS - Office of Roadway Materials Testing

- c: DLA Area Engineers
- DLA Office Chiefs
- Al Vasquez, DES – METS/GS
- Douglas Brittsan, DES – METS/GS
- William Brook, DES - Structure Construction
- Mark Spaulding, Division of Accounting, Office of Receivables, Systems “& Admin.
- Grace Kong, Division of Accounting, Office of Project Accounting