

DEPARTMENT OF TRANSPORTATION

DIVISION OF LOCAL ASSISTANCE · M.S. 1

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Be energy efficient!*

January 23, 2009

To: Metropolitan Planning Organizations
Regional Transportation Planning Agencies
Local Transportation Commissions
Public Works Directors of All Cities and Counties in California

Dear Executive Director:

Subject: Potential loss of Federal Funds
Quarterly Review of Inactive Obligations – Quarter Ending December 31, 2008

The California Department of Transportation (Caltrans) has started the quarterly review process of inactive obligations for the quarter period from September 1, 2008 to December 31, 2008 as required under 23CFR 630.106 (http://www.access.gpo.gov/nara/cfr/waisidx_06/23cfr630_06.html). To prevent the potential deobligation and/or loss of unexpended federal funds, the local agencies must do the following:

1. Review the list of currently inactive obligations available on the Division of Local Assistance website at <http://www.dot.ca.gov/hq/LocalPrograms/Inactiveprojects.htm>. This list will be updated regularly as to the status of each of these projects. A summary of the inactive projects listed by local agency is enclosed for your reference.
2. Submit a complete and correct invoice for eligible expenditures to Caltrans Local Program Accounting (LPA) by **March 2, 2009**. For any invoices submitted to LPA after that date (*but before March 31, 2009*), please send an electronic copy to chris_jensen@dot.ca.gov.
3. Identify unneeded project funds and submit deobligation requests to the District Local Assistance Engineer (DLAE) by **February 23, 2009**. Process project final closeout, if applicable.
4. Submit a complete justification form (available on the website) along with all backup documentation to DLAE by **February 23, 2009** for projects that do not have eligible expenditures to be invoiced or do not have unneeded funds to be deobligated.

In addition to the procedure changes implemented for June 2008 quarterly review (see [letter dated July 31, 2008](#)), the Federal Highway Administration (FHWA) has implemented the following changes immediately:

1. FHWA will only consider justifications in the following categories:
 - right of way delay
 - environmental approval
 - litigation
 - final invoice
 - program specific issue that are related to special projects

2. After FHWA reviews all the inactive projects, FHWA will direct Caltrans to deobligate unexpended federal funds for any inactive projects that do not have a valid financial transaction, valid invoice or approved justification.
3. Caltrans shall complete the deobligation of unexpended federal funds within 90 days after the review period. For the current review period, deobligations must be completed by March 31, 2009.

Local Agencies that have an indirect cost rate proposal awaiting approval by the Caltrans' Division of Audits should continue to submit invoices for eligible direct cost until the indirect cost rate proposal is approved.

In addition to the currently inactive local projects, "Look Ahead Reports" are also available on the website. The Look Ahead Reports include projects that will become inactive by the end of March 2009 (3-Month Look Ahead Report), the end of June 2009 (6-Month Look Ahead Report), and by the end of September 2009 (9-Month Look Ahead Report), if no expenditures are billed. These reports provide an opportunity for local agencies to be proactive in preventing projects from becoming inactive and from potential loss of federal funds. Projects on the 3-Month Look Ahead Report are being monitored for financial transactions to reduce the number of projects that would become inactive for the next quarterly review.

Please work with your district and local agencies to ensure that all the inactive projects are made active by either invoicing or deobligating excess funds. Our goal is to help local agencies prevent their projects from becoming inactive. We do not want to depend on FHWA's approval of a justification to keep projects from being deobligated.

If you have any questions regarding the quarterly review process, please contact your DLAE. A list of the DLAEs is enclosed for your reference.

Sincerely,



DENIX D. ANBIAH
Chief
Division of Local Assistance

Enclosure

cc: District Local Assistance Engineers
Deputy District Directors for Local Assistance

**Summary of Inactive Projects Listed by Local Agency
Review Period - 10/1/08-12/31/08**

Responsible Agency	# of Projects	# of Obligations	Federal Funds	Unexpended Funds	% of Agency's Federal Funds Unexpended	% of Total Unexpended Funds
Alameda County	4	7	\$2,070,350.00	\$2,024,101.99	97.77%	1.36%
American Canyon	1	1	\$200,000.00	\$200,000.00	100.00%	0.13%
Arvin	1	1	\$508,527.00	\$508,527.00	100.00%	0.34%
Bakersfield	1	2	\$800,000.00	\$800,000.00	100.00%	0.54%
Bellflower	1	1	\$1,289,882.00	\$1,289,882.00	100.00%	0.87%
California City	1	1	\$169,059.00	\$19,809.82	11.72%	0.01%
Calipatria	1	2	\$667,711.00	\$14,000.00	2.10%	0.01%
Caltrans	7	11	\$35,714,991.00	\$16,656,238.76	46.64%	11.18%
Camarillo	1	1	\$93,679.00	\$93,679.00	100.00%	0.06%
Carlsbad	2	4	\$1,326,195.00	\$460,341.58	34.71%	0.31%
Carson	1	2	\$619,709.00	\$571,088.33	92.15%	0.38%
Cathedral City	1	1	\$569,000.00	\$545,906.45	95.94%	0.37%
Cerritos	1	2	\$2,315,238.00	\$80,490.03	3.48%	0.05%
Chico	1	1	\$2,288,500.00	\$2,142,778.91	93.63%	1.44%
Chula Vista	1	2	\$945,230.00	\$506,072.71	53.54%	0.34%
Clovis	1	2	\$349,165.00	\$309,765.00	88.72%	0.21%
Commerce	1	2	\$398,246.00	\$121,399.19	30.48%	0.08%
Concord	1	1	\$6,000,000.00	\$100,171.52	1.67%	0.07%
Corona	1	1	\$1,416,000.00	\$1,416,000.00	100.00%	0.95%
Council of Fresno County Governments	1	1	\$230,059.00	\$47,624.04	20.70%	0.03%
Del Norte County	1	1	\$4,995,747.00	\$112,274.93	2.25%	0.08%
El Dorado County	1	1	\$160,000.00	\$148,204.49	92.63%	0.10%
El Dorado County Transportation Commission	1	1	\$4,329,000.00	\$1,154,714.85	26.67%	0.78%
Elk Grove	1	2	\$622,456.00	\$538,000.00	86.43%	0.36%
Encinitas	1	2	\$288,400.00	\$144,200.00	50.00%	0.10%
Fairfax	2	2	\$249,000.00	\$241,687.30	97.06%	0.16%
Fairfield	1	1	\$360,000.00	\$170,537.81	47.37%	0.11%
Folsom	3	4	\$1,777,540.00	\$1,353,452.96	76.14%	0.91%
Fresno	6	11	\$3,565,850.00	\$3,308,590.64	92.79%	2.22%
Fullerton	1	1	\$946,104.00	\$501,032.60	52.96%	0.34%
Galt	1	1	\$125,000.00	\$125,000.00	100.00%	0.08%
Glendale	3	4	\$15,523,508.00	\$3,768,578.78	24.28%	2.53%
Glendora	1	1	\$184,000.00	\$18,400.00	10.00%	0.01%
Grand Terrace	1	4	\$378,895.00	\$222,071.01	58.61%	0.15%
Hermosa Beach	1	1	\$762,000.00	\$719,363.96	94.40%	0.48%
Hughson	1	2	\$219,738.00	\$219,738.00	100.00%	0.15%
Humboldt County	1	1	\$531.00	\$531.00	100.00%	0.00%
Huntington Beach	1	1	\$791,470.00	\$448,890.62	56.72%	0.30%
Inyo County	1	2	\$524,000.00	\$520,206.02	99.28%	0.35%
Irvine	1	1	\$578,251.00	\$578,251.00	100.00%	0.39%
Kern County	2	2	\$6,922,234.00	\$6,922,234.00	100.00%	4.65%
Kern County Superintendent of School	1	1	\$1,100,000.00	\$272,899.08	24.81%	0.18%
Kingsburg	1	2	\$311,898.00	\$103,168.02	33.08%	0.07%
La Mesa	1	2	\$986,570.00	\$986,570.00	100.00%	0.66%
Lake County	5	8	\$170,851.00	\$170,851.00	100.00%	0.11%

**Summary of Inactive Projects Listed by Local Agency
Review Period - 10/1/08-12/31/08**

Responsible Agency	# of Projects	# of Obligations	Federal Funds	Unexpended Funds	% of Agency's Federal Funds Unexpended	% of Total Unexpended Funds
Lake Elsinore	1	2	\$710,892.00	\$129,924.52	18.28%	0.09%
Lakeport	1	1	\$48,748.00	\$48,748.00	100.00%	0.03%
Lawndale	1	3	\$605,000.00	\$78,611.46	12.99%	0.05%
Lincoln	1	1	\$1,500,140.00	\$1,395,232.00	93.01%	0.94%
Live Oak	1	2	\$328,400.00	\$302,020.72	91.97%	0.20%
Long Beach	4	5	\$2,251,538.00	\$1,992,561.95	88.50%	1.34%
Loomis	1	2	\$77,220.00	\$69,220.00	89.64%	0.05%
Los Altos	1	1	\$448,200.00	\$448,200.00	100.00%	0.30%
Los Angeles	9	11	\$3,526,120.00	\$2,931,909.87	83.15%	1.97%
Los Angeles County	14	17	\$17,532,809.00	\$11,227,887.41	64.04%	7.54%
Los Angeles County Metropolitan Transportation Authority	1	2	\$2,901,800.00	\$2,901,800.00	100.00%	1.95%
Madera County	2	3	\$1,029,343.00	\$495,216.21	48.11%	0.33%
Martinez	1	2	\$63,000.00	\$51,991.02	82.53%	0.03%
Mendocino County	1	1	\$5,500.00	\$5,500.00	100.00%	0.00%
Mendota	1	1	\$22,500.00	\$8,080.86	35.91%	0.01%
Merced County	1	2	\$364,000.00	\$304,640.00	83.69%	0.20%
Merced County Association of Governments	1	1	\$205,200.00	\$205,195.58	100.00%	0.14%
Metropolitan Transportation Commission	1	1	\$5,300,000.00	\$249,462.69	4.71%	0.17%
Modesto	1	1	\$26,559.00	\$26,559.00	100.00%	0.02%
Monterey	1	2	\$852,000.00	\$825,058.38	96.84%	0.55%
Napa County	2	2	\$1,401,046.00	\$1,332,129.00	95.08%	0.89%
National City	1	3	\$2,000,240.00	\$1,292,000.04	64.59%	0.87%
Nevada County	1	2	\$450,962.00	\$450,962.00	100.00%	0.30%
Ojai	1	1	\$53,790.00	\$31,870.00	59.25%	0.02%
Orinda	1	2	\$119,857.00	\$119,857.00	100.00%	0.08%
Palo Alto	1	1	\$685,000.00	\$43,599.28	6.36%	0.03%
Pasadena	3	3	\$6,696,064.00	\$5,789,945.03	86.47%	3.89%
Placer County	3	6	\$4,222,000.00	\$1,436,839.46	34.03%	0.96%
Redding	2	2	\$884,333.00	\$884,333.00	100.00%	0.59%
Reedley	2	4	\$552,859.00	\$530,958.45	96.04%	0.36%
Richmond	3	3	\$1,932,700.00	\$1,285,756.00	66.53%	0.86%
Ridgecrest	1	1	\$885,300.00	\$470,193.49	53.11%	0.32%
Riverside County Transportation Commission	2	2	\$43,942,669.00	\$8,609,414.13	19.59%	5.78%
Rocklin	1	1	\$546,480.00	\$141,920.32	25.97%	0.10%
Sacramento	7	15	\$8,965,274.00	\$7,815,308.98	87.17%	5.25%
Sacramento Area Council of Governments	1	1	\$4,000,000.00	\$4,000,000.00	100.00%	2.69%
San Bernardino Association of Governments	1	2	\$4,564,764.00	\$77,834.00	1.71%	0.05%
San Bernardino County	1	1	\$1,040,000.00	\$985,644.87	94.77%	0.66%
San Diego	2	4	\$3,380,943.00	\$2,919,681.32	86.36%	1.96%
San Diego Association of Governments	1	1	\$2,724,000.00	\$1,106,856.39	40.63%	0.74%
San Diego County	1	1	\$60,000.00	\$60,000.00	100.00%	0.04%
San Fernando	1	1	\$189,000.00	\$110,001.70	58.20%	0.07%
San Francisco County	1	1	\$1,288,050.00	\$1,288,050.00	100.00%	0.86%

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Review Period - 10/1/08-12/31/08**

Responsible Agency	# of Projects	# of Obligations	Federal Funds	Unexpended Funds	% of Agency's Federal Funds Unexpended	% of Total Unexpended Funds
San Gabriel Valley Council of Governments	1	3	\$40,069,701.00	\$146,201.88	0.36%	0.10%
San Joaquin County	2	3	\$5,814,874.00	\$3,368,701.17	57.93%	2.26%
San Leandro	1	1	\$623,629.00	\$623,629.00	100.00%	0.42%
San Luis Obispo County	1	1	\$200,000.00	\$200,000.00	100.00%	0.13%
San Ramon	1	1	\$630,000.00	\$630,000.00	100.00%	0.42%
Santa Ana	1	2	\$516,990.00	\$466,830.00	90.30%	0.31%
Santa Cruz County	2	3	\$5,609,877.00	\$161,527.02	2.88%	0.11%
Santa Fe Springs	1	3	\$294,857.00	\$42,885.80	14.54%	0.03%
Shafter	1	1	\$349,000.00	\$148,168.58	42.46%	0.10%
Simi Valley	1	1	\$929,565.00	\$929,565.00	100.00%	0.62%
Sonoma County	6	9	\$3,353,350.00	\$389,172.32	11.61%	0.26%
South Pasadena	3	3	\$12,420,414.00	\$11,450,197.05	92.19%	7.69%
Stanislaus County	2	2	\$1,240,033.00	\$1,072,889.09	86.52%	0.72%
Stockton	1	4	\$5,085,491.00	\$2,850,386.04	56.05%	1.91%
Sunnyvale	1	1	\$471,870.00	\$74,423.92	15.77%	0.05%
Torrance	1	1	\$1,296,000.00	\$1,296,000.00	100.00%	0.87%
Truckee	1	2	\$75,562.00	\$75,562.00	100.00%	0.05%
Tulare County	1	1	\$36,000.00	\$21,537.44	59.83%	0.01%
United States Forest Service	4	5	\$1,346,900.00	\$1,052,194.46	78.12%	0.71%
University of California at San Francisco	1	1	\$783,000.00	\$783,000.00	100.00%	0.53%
Vernon	1	5	\$1,179,330.00	\$994,896.70	84.36%	0.67%
Victorville	2	5	\$6,805,722.00	\$6,645,722.00	97.65%	4.46%
Visalia	1	2	\$373,000.00	\$373,000.00	100.00%	0.25%
Total:	192	286	\$321,734,049.00	\$148,934,788.00	46.29%	100.00%

District Local Assistance Engineer (DLAE) Phone List

DISTRICT 01 Local Assistance

Robert B. Baca (Acting)
Phone # 707-445-6399, FAX # 707-441-2048
E-Mail Address: Bob_Baca@dot.ca.gov
Counties: Del Norte, Humboldt, Lake, Mendocino

DISTRICT 02 Local Assistance

John Pedersen
Phone # 530-225-3484, FAX # 530-225-3020
E-Mail Address: John_Pedersen@dot.ca.gov
Counties: Lassen, Modoc, Plumas, Shasta, Siskiyou, Tehama, Trinity

DISTRICT 03 Local Assistance

Ben J. Bramer
Phone # 530-741-5450, FAX # 530-741-5466
E-Mail Address: Ben_Bramer@dot.ca.gov
Counties: Butte, Colusa, El Dorado, Glenn, Nevada, Placer, Sacramento, Sierra, Sutter, Yolo, Yuba

DISTRICT 04 Local Assistance

Sylvia Fung
Phone # 510-286-5226, FAX # 510-286-5229
E-Mail Address: Sylvia_Fung@dot.ca.gov
Counties: Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Solano, Sonoma

DISTRICT 05 Local Assistance

Mike Giuliano
Phone # 805-542-4606, FAX # 805-549-3746
E-Mail Address: Mike_Giuliano@dot.ca.gov
Counties: Santa Barbara, San Benito, San Luis Obispo, Santa Cruz, Monterey

DISTRICT 06 Local Assistance

Jim Perrault
Phone # 559-445-5417, FAX # 559-445-5425
E-Mail Address: James_Perrault@dot.ca.gov
Counties: Fresno, Madera, Kings, Kern, Tulare

DISTRICT 07 Local Assistance

Kirk Cessna
Phone # 213-897-0784, FAX # 213-897-2999
E-Mail Address: Kirk_Cessna@dot.ca.gov
Counties: Los Angeles, Ventura

District Local Assistance Engineer (DLAE) Phone List

DISTRICT 08 Local Assistance

Patrick Hally

Phone # 909-383-4030, FAX # 909-383-4129

E-Mail Address: **Patrick_Hally@dot.ca.gov**

Counties: Riverside, San Bernardino

DISTRICT 09 Local Assistance

Ryan Dermody

Phone # 760-872-0681, FAX # 760-872-0744

E-Mail Address: **Ryan_Dermody@dot.ca.gov**

Counties: Inyo, Kern/Eastern, Mono

DISTRICT 10 Local Assistance

Sinaren Pheng

Phone # 209-948-3689, FAX # 209-948-3820

E-Mail Address: **Sinaren_Pheng@dot.ca.gov**

Counties: Alpine, Amador, Calaveras, Mariposa, Merced, San Joaquin, Stanislaus, Tuolumne

DISTRICT 11 Local Assistance

Erwin Gojuangco

Phone # 619-278-3756, Fax: # 619-220-5432

E-Mail Address: **Erwin_Gojuangco@dot.ca.gov**

Counties: Imperial, San Diego

DISTRICT 12 Local Assistance

Alan Williams

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E-Mail Address: **Alan_Williams@dot.ca.gov**

Counties: Orange