

**Timelines for Cooperative Work Agreements (CWAs)  
Funds Subject to Lapse on June 30, 2013**

**Cooperative Work Agreements:**

Section 16304.3 of the Government Code (GC) authorizes the Department of Finance (DOF) to extend budget authority for a maximum of 8 years from the original year of appropriation. It is **very important** to provide justification that includes a timeline with milestones in order to convince DOF to approve the extension. **Remember there is no appeal process for any encumbrances that are denied a CWA by DOF.**

**Federal Funds:**

Budget authority provided through the annual state budget process must be available in order for FHWA to be billed for funds obligated, regardless to the type of federal program (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 28, 2012:** 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

**October 1 –  
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.

**November 1:**

Local Agencies must submit requests for CWAs on an individual encumbrance basis to the Liaisons. **If an encumbrance will not be expended by December 31, 2012, we recommend the Local Agency to apply for a CWA. 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 Local 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 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 event with milestones.
- December 3:** Liaisons forward CWA requests to HQ with concurrence on the justifications provided.
- December 4, 2012- January 25, 2013:** HQ reviews all data submitted by the Liaisons and follows up as necessary. HQ develops summary reports with attached lists of CWA encumbrances, and submits to DOF for approval.
- January 28:** Summary reports/encumbrance lists requesting CWAs are submitted to DOF.
- February 1 – March 29:** 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.
- About March 29:** DOF completes review of encumbrances and indicates their decisions to approve or deny CWA requests. There is no appeal process for the encumbrances for which an extension is denied.
- April 1:** HQ forwards DOF's approval/denial decisions to the Liaisons who will notify Local Agencies. HQ will also post the approved encumbrances to: <http://www.dot.ca.gov/hq/LocalPrograms/CWA/cwa.htm>
- April 2-5:** HQ updates their records with DOF's decisions on an individual encumbrance basis.

**Other Important Dates:**

- April 1,2013 (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. 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 encumbrances where the identified budget authority is lapsing. **After May 1<sup>st</sup>, the phase or encumbrance will be lapsed and Local Agencies are required to pay for costs with other funds. If the Local Agencies cannot expend the encumbrance by December 31, 2012, 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

**Headquarters Local Assistance – Kayo Lao (916) 651-8914, Intania Alcoran (916) 653-5546, or Peggy Siu (916) 651-6875**

### District CWA Liaisons

<b>District</b>	<b>Name</b>	<b>E-mail</b>	<b>Phone</b>
District 1	Suzanne Theiss	Suzanne_Theiss@dot.ca.gov	(707) 445-6399
District 2	Freda Londen	Freda_Londen@dot.ca.gov	(530) 229-0532
District 3	James P. Day	James_P_Day@dot.ca.gov	(530) 741-5116
District 4	Hin Kung	Hin_Kung@dot.ca.gov	(510) 622-5930
District 5	Darleen Panico	Darleen_J_Panico@dot.ca.gov	(805) 542-4651
District 6	Susan Kawate	Susan_Kawate@dot.ca.gov	(559) 445-5914
District 7	Vijay Kopparam	Vijay_Kopparam@dot.ca.gov	(213) 897-2946
District 8	Sean Yeung	Sean_Yeung@dot.ca.gov	(909) 383-4030
District 9	Sardar Khan	Sardar_Khan@dot.ca.gov	(760) 873-4862
District 10	Nabil Hasan	Nabil_Hasan@dot.ca.gov	(209) 948-7786
District 11	Debora Ledesma-Ribera	Debora_Ledesma-Ribera@dot.ca.gov	(619) 278-3766
District 12	Ghazal Afrasiabi	Ghazal_Afrasiabi@dot.ca.gov	(949) 724-2124

### District Local Assistance Engineers (Project Specific Questions)

<b>District</b>	<b>Name</b>	<b>E-mail</b>	<b>Phone</b>
District 1	Suzanne Theiss	Suzanne_Theiss@dot.ca.gov	(707) 445-6399
District 2	Ian Howat	Ian_Howat@dot.ca.gov	(530) 225-3484
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District 4	Sylvia Fung	Sylvia_Fung@dot.ca.gov	(510) 286-5226
District 5	Garin Schneider	Garin_Schneider@dot.ca.gov	(805) 542-4606
District 6	James Perrault	James_Perrault@dot.ca.gov	(559) 445-5417
District 7	David Sosa	David_Sosa@dot.ca.gov	(213) 897-0409
District 8	Savat Khamphou	Savat_Khamphou@dot.ca.gov	(909) 383-7131
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District 11	Erwin Gojuangco	Erwin_Gojuangco@dot.ca.gov	(619) 278-3756
District 12	Jim Kaufman	Jim_Kaufman@dot.ca.gov	(949) 756-7805

Questions regarding Bond Program contact Curt Davis at (916) 653-4221 or Curt\_Davis@dot.ca.gov

**Bond CWA Liasons**

<b>Program</b>	<b>Name</b>	<b>E-mail</b>	<b>Phone</b>
Corridor Mobility Improvement Account (CMIA)	Doris Alkebulan	Doris_M_Alkebulan@dot.ca.gov	(916) 651-6894
Highway Railroad Crossing Safety Account (HRCSA)	Bambi Jake	Bambi_Jake@dot.ca.gov	(916) 654-6945
Local Bridge Seismic Retrofit Account (LBSRA)	Reza Fereshtehnejad	Reza_Fereshtehnejad@dot.ca.gov	(916) 651-6876
Traffic Light Synchronization Program (TLSP)	Antonio Cano	Antonio_Cano@dot.ca.gov	(916) 651-9328