

# Request for a Cooperative Agreement (RCA) Form

*NOTE: The purpose of the RCA form is to assist the District and the Local Partner with the development of the agreement terms and conditions. Once the RCA form is sufficiently filled out, an initial draft Co-op can be produced by the District. Though the terms and conditions of an agreement can easily be documented, objections usually occur over specific language used in the Co-op. To assure that the terms and conditions are portrayed properly, and to expose any discrepancy in language, the initial draft Co-op will be submitted to the Local Partner for review and simultaneously be circulated for review within the District (not HQ). Only after the initial draft Co-op has been returned to the District from the Local Agency with comments (if any), is the RCA considered complete and the Co-op database can be updated with an "actual" RCA date.*

Date prepared: \_\_\_\_\_ Prepared by: \_\_\_\_\_

## Project Information

District Co-op Agreement Number: \_\_\_\_\_

District:\_\_\_\_\_ County:\_\_\_\_\_ Route:\_\_\_\_\_ Post Mile:\_\_\_\_\_

EA (Expenditure Authorization): \_\_\_\_\_

Agreement Type:

- Amendment to a Previous Agreement
- Project Development Agreement (*select all phases that apply below*)
  - PID
  - PA&ED
  - PS&E
  - R/W Capital
  - R/W Support \*
  - Construction
- Mitigation Agreement (Use Mitigation RCA form)
- Contribution Agreement
- Relinquishment Agreement
- Betterment / Improvement Agreement

\* If R/W Support is selected, and State funds are being contributed for use in R/W Support, the work must be done by CALTRANS. The Local Agency can spend R/W Capital dollars. Check with R/W for additional clarification.

## CALTRANS Information

Contact Name \_\_\_\_\_ Job Title \_\_\_\_\_

Street Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP Code \_\_\_\_\_

Office Phone ( \_\_\_\_ ) \_\_\_\_\_ Mobile Phone ( \_\_\_\_ ) \_\_\_\_\_

Fax *optional* ( \_\_\_\_ ) \_\_\_\_\_ Email Address \_\_\_\_\_

*Who will sign this Agreement for the District?*

Name \_\_\_\_\_ Title \_\_\_\_\_

*Who is the District Budget Manager (certification of funds)?*

Name \_\_\_\_\_ Title: \_\_\_\_\_

## Local Agency Information

Is there more than one Local Agency involved?    Yes     No

*(If yes, complete the below information for each Local Agency and attach to this RCA.)*

Official Name \_\_\_\_\_  
AKA \_\_\_\_\_  
Contact Name \_\_\_\_\_ Job Title \_\_\_\_\_  
Street Address \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_ ZIP Code \_\_\_\_\_  
Office Phone ( \_\_\_\_ ) \_\_\_\_\_ Mobile Phone ( \_\_\_\_ ) \_\_\_\_\_  
Fax *optional* ( \_\_\_\_ ) \_\_\_\_\_ Email Address \_\_\_\_\_

Billing contact information *(only fill out if different from above)*:

Contact Name/Department \_\_\_\_\_  
Street Address \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_ ZIP Code \_\_\_\_\_  
Office Phone ( \_\_\_\_ ) \_\_\_\_\_ Email Address \_\_\_\_\_

*Who will approve this Agreement for Local Agency?*

Name \_\_\_\_\_ Title \_\_\_\_\_

*Who will witness or attest on behalf of the Local Agency?*

Name \_\_\_\_\_ Title \_\_\_\_\_

*Attorney for Local Agency?*

Name \_\_\_\_\_ Title \_\_\_\_\_

## Agreement Information

**Project description:** Even if this agreement is only for part of a phase of work, please describe the PROJECT that is/was (proposed) to be built.

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**Deliverables completed:**

Completed by (CALTRANS or Local Agency)?

(Check all that apply)

- Project Initiation Document \_\_\_\_\_
- Project Report \_\_\_\_\_
- Environmental Document \_\_\_\_\_
- Plans, Specifications and Estimate \_\_\_\_\_
- Right of Way Certification \_\_\_\_\_
- Other (explain below) \_\_\_\_\_

**Previous cooperative agreements for this PROJECT:** (agreement numbers and phase):

Coop No.: \_\_\_\_\_ Phase: \_\_\_\_\_  
 Coop No.: \_\_\_\_\_ Phase: \_\_\_\_\_  
 Coop No.: \_\_\_\_\_ Phase: \_\_\_\_\_

**What is going to be exchanged under this agreement?**

(Check all that apply)

- Effort (IQA or reimbursable activities both require Effort to be selected)
- R/W Capital Funding
- R/W Support Funding \*
- Construction Capital Funding
- Construction Support Funding
- Property (land)\*\*
- Material (raw material or improvements)\*\*
- Other

\* If R/W Support is selected, and there is State dollars in R/W Support, then the work must be done by CALTRANS. The Local Agency can spend R/W Capital dollars. Check with R/W for additional clarification.

\*\* Clearly describe intent and need in the "Special Arrangement" section (page 9 of 9)

**Responsibilities**

**Sponsor(s)** – The party responsible for fully funding all commitments under this agreement. (If more than one Sponsor, indicate the percent distribution. The total sum must equal 100% ).

- Caltrans \_\_\_\_\_ %
- Local Agency \_\_\_\_\_ %

**Implementing Agency** – The party responsible for managing the scope, cost, and schedule of this agreement. (Select only one for each phase)

	Caltrans	Local Agency
PID	<input type="checkbox"/>	<input type="checkbox"/>
PA&ED	<input type="checkbox"/>	<input type="checkbox"/>
PS&E	<input type="checkbox"/>	<input type="checkbox"/>
R/W	<input type="checkbox"/>	<input type="checkbox"/>
CON	<input type="checkbox"/>	<input type="checkbox"/>

**Environmental and Permits**

**PA&ED** – *Select one party per lead responsibility.*

	Caltrans	Local Agency	FHWA	FTA
* CEQA Lead	<input type="checkbox"/>	<input type="checkbox"/>		
NEPA Lead	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
NEPA Implementing Agency	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>

\* If Local Agency is selected as CEQA lead, a delegation letter from the District Director must be issued.

**Resource Agency Permits** – *Select only the permits that apply.*

- U.S. Army Corps of Engineers 404.....
- Regional Water Quality Control Board 401.....
- Regional Water Quality Control Board  
(State Waste Discharge Requirements (PC)).....
- Waste Discharge (NPDES).....
- U.S. Fish and Wildlife Service (Section 10 FESA)
- U.S. Fish and Wildlife Service (Section 7 FESA)....
- U.S. Fish and Wildlife Service (Section 7 BO).....
- NOAA/NMFS (EFH).....
- NOAA/NMFS (Section 7 FESA).....
- NOAA/NMFS (Section 7 BO).....
- U.S. Coast Guard Permit.....
- Coastal Development Permit.....
- Local Agency Concurrence/Permit.....
- Department of Fish and Game 1602.....
- Department of Fish and Game 2080.1 .....
- Department of Fish and Game 2080(B) .....
- Air Quality Permit.....
- Other Permits \_\_\_\_\_

**Maintenance**

Describe the maintenance arrangement required as a result of the project:

- Partners will amend an existing maintenance agreement.....
- An existing maintenance agreement exists and will NOT require amendment.....
- Partners will execute a new maintenance agreement .....
- Caltrans will assume full responsibility for maintenance after work is complete..... \*

\* Typically the case when partner is a Transportation Authority

Describe any special maintenance arrangements that need to be documented:

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**Scope Summary / Delegation of Activities**

***What*** work is being done in this agreement, and ***Who*** is doing it?

*If any of the activities below are shared, check all the appropriate parties and define the arrangement in the Notes section on the next page.*

	WBS Code	Project Delivery Workplan Standards Activity Description	Who is doing the work?			
			Caltrans	Local Agency 1	Local Agency 2	N/A
Environmental (PA&ED)	2.160	PERFORM PRELIMINARY ENGINEERING STUDIES AND DRAFT PROJECT REPORT				
	2.165	PERFORM ENVIRONMENTAL STUDIES AND PREPARE DRAFT ENVIRONMENTAL DOCUMENT				
	2.175	CIRCULATE DRAFT ENVIRONMENTAL DOCUMENT AND SELECT PREFERRED PROJECT ALTERNATIVE IDENTIFICATION				
	2.180	PREPARE AND APPROVE PROJECT REPORT AND FINAL ENVIRONMENTAL DOCUMENT				
	2.205	OBTAIN PERMITS, AGREEMENTS, AND ROUTE ADOPTIONS				
Design (PS&E)	3.185	PREPARE BASE MAPS AND PLAN SHEETS				
	3.215	STRUCTURES GENERAL PLANS AND PRELIMINARY DESIGN DATA				
	3.230	PREPARE DRAFT PS&E				
	3.235	MITIGATE ENVIRONMENTAL IMPACTS AND CLEAN UP HAZARDOUS WASTE				
	3.240	DRAFT STRUCTURES PS&E				
	3.250	PREPARE FINAL STRUCTURES PS&E PACKAGE				
	3.255	CIRCULATE, REVIEW AND PREPARE FINAL DISTRICT PS&E PACKAGE				
	3.260	CONTRACT BID DOCUMENTS READY TO LIST				
Right of Way (R/W)	4.195	RIGHT OF WAY PROPERTY MANAGEMENT AND EXCESS LAND				
	4.200	UTILITY RELOCATION				
	4.220	PERFORM RIGHT OF WAY ENGINEERING				
	4.225	OBTAIN RIGHT OF WAY INTERESTS FOR PROJECT RIGHT OF WAY CERTIFICATION*				
	4.245	POST RIGHT OF WAY CERTIFICATION WORK*				
	4.300	PERFORM FINAL RIGHT OF WAY ENGINEERING ACTIVITIES				

	WBS Code	Project Delivery Workplan Standards Activity Description	Who is doing the work?			
			Caltrans	Local Agency 1	Local Agency 2	N/A
<b>Construction</b>	3.265	AWARDED AND APPROVED CONSTRUCTION CONTRACT				
	5.270	CONSTRUCTION ENGINEERING AND GENERAL CONTRACT ADMINISTRATION**				
	5.285	CONTRACT CHANGE ORDER ADMINISTRATION				
	5.290	RESOLVE CONTRACT CLAIMS				
	5.295	ACCEPT CONTRACT, PREPARE FINAL CONSTRUCTION ESTIMATE AND FINAL REPORT				

\*If Local Agency intends to hear Resolution of Necessity (RONs) on the local level (as opposed to having the CTC hear the RONs), District must obtain a delegation letter from the Division Chief of Right of Way that acknowledges the Local Agency will hear Resolutions of Necessity on the local level.

\*\* If Local Agency is selected to perform source inspection (WBS 5.270.35.25), Local Agency must seek an exception from Caltrans METS before an encroachment permit will be issued.

Identify and described any activities that will be shared:

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**Scheduling**

Describe any special schedule conditions or restraints that need to be documented:

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**Funding Information**

<b>Fund Type</b>	<b>Fund Source</b>	<b>PID</b>	<b>PA&amp;ED</b>	<b>PS&amp;E</b>	<b>R/W Capital</b>	<b>* R/W Support</b>	<b>CON Capital</b>	<b>CON Support</b>	<b>Total</b>
<i>match:_(type)_</i>									
Tax Measure	Local								
Local Funds	Local								
STIP/RIP	State								
STIP/IIP	State								
SHOPP	State								
Minor A Funds	State								
Minor B Funds	State								
TCRP	State								
Bond-CMIA	State								
ARRA Local	Federal								
ARRA State	Federal								
CMAQ	Federal								
<i>match:_____</i>									
DEMO-HPP	Federal								
<i>match:_____</i>									
RSTP	Federal								
<i>match:_____</i>									
STIP/TEA	State								
<i>match:_____</i>									
TE	Federal								
<i>match:_____</i>									
Other:	Local								
Other:	Local								
Other:	State								
Other:	State								
Other:	Federal								
<i>match:_____</i>									
<b>Total</b>									

NOTE: Funding should correspond with all phases that are selected for this agreement.

\* If R/W Support is selected, and there is State dollars in R/W Support, then the work must be done by CALTRANS. The Local Agency can spend R/W Capital dollars. Check with R/W for additional clarification.

**Estimated Completion Date:** \_\_\_\_\_

**Billing Arrangements**

Does Local Partner have EFT privileges: YES  NO

NOTE: All funds will be spent proportionally. To spend funds sequentially, District must receive an exception from Division Chief of Budgets.

Identify the type of billing arrangement for each phase (*attach additional sheet if necessary*)

Phase: \_\_\_\_\_

Lump Sum Payment\*:

Single Payment

Installments  \$\_\_\_\_\_ per month for \_\_\_\_\_ months.

\*Lump Sum payments and advances are highly restricted by HQ Accounting. Verify with HQ Accounting that Lump Sum and advances are appropriate for this agreement prior to committing on this RCA.

Actual Expenditures\*\*:

Deposit for Support \$\_\_\_\_\_

Deposit for Captial \$\_\_\_\_\_

\*\*Actual Expenditures means that one or both partners will bill as the work is being performed.

Phase: \_\_\_\_\_

Lump Sum Payment:

Single Payment

Installments  \$\_\_\_\_\_ per month for \_\_\_\_\_ months.

Actual Expenditures:

Deposit for Support \$\_\_\_\_\_

Deposit for Captial \$\_\_\_\_\_

Phase: \_\_\_\_\_

Lump Sum Payment:

Single Payment

Installments  \$\_\_\_\_\_ per month for \_\_\_\_\_ months.

Actual Expenditures:

Deposit for Support \$\_\_\_\_\_

Deposit for Captial \$\_\_\_\_\_

Phase: \_\_\_\_\_

Lump Sum Payment:

Single Payment

Installments  \$\_\_\_\_\_ per month for \_\_\_\_\_ months.

Actual Expenditures:

Deposit for Support \$\_\_\_\_\_

Deposit for Captial \$\_\_\_\_\_

**Additional questions, comments, concerns and commitments**

Is there landscaping involved in the project? Yes  No  N/A

Is State Furnished Materials necessary? Yes  No  N/A

If yes, who is paying for the State Furnished Materials?:

CALTRANS

Local Partner

Project Cost

Is a TMP/COZEEP needed? Yes  No  N/A

Are there traffic signals? Yes  No  N/A

Special Arrangements; describe any special arrangements that need to be documented:

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**Non-Standard Language**

Is any non-standard language or proposed modifications to policy being advanced?

Yes  No

If yes,

Does the District Functional Unit concur with the proposed modification/change?\*

Yes  No

Has the District Functional Unit contacted the corresponding HQ Functional Unit and received approval for use of non-standard language?\*

Yes  No

\*All proposed changes to standard language must be concurred by the District Functional Unit and approved by the corresponding HQ Functional Unit to be fully adopted into a Co-op. Otherwise an exception needs to be obtained, or the arrangement needs to be changed.

List any and all standard language that the District/Local Agency is seeking to have modified: *(use additional sheets if necessary)*.

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