Exhibit 13-A Process Flowchart – High-Risk (Formerly “Major”) ITS Projects
(FHWA Full Oversight Projects)

PLANNING PHASE

Start

Is proposed project an ITS project or has an ITS element per Local Agency field review checklist?

Yes

Local agency submits project for FTIP listing to MPO/RTPA. Opportunity for MPO/RTPA to review consistency with the RA.

No

Use regular federal-aid procedures

When satisfied, the MPO submits FTIP to Caltrans HQ for inclusion in FSTIP

Caltrans HQ submits FSTIP to FHWA for FSTIP approval.

FHWA reviews & approves FSTIP

PROJECT DEVELOPMENT PHASE

Local Agency submits PE request to DLAE including the completed Field Review Form with SERF.

DLAE forwards the Field Review & SERF to DLA Implementation who forwards to FHWA (cc to ITS Coordinator)

FHWA reviews the SERF for FHWA oversight determination and SERF approval.

FHWA notifies the DLAE via the DLA Implementation of the oversight determination & SERF approval.

DLAE submits E-76 for PE with SEMP condition to DLA Implementation who submits it to FHWA for obligation.

DLA Implementation prepares Program Supplement, includes ITS convenants

DLAE verifies FHWA obligation & issues authorization to proceed with PE

Local agency proceeds with PE. Later, submits SEMP to the DLAE for FHWA approval & NTP prior to system detailed design

DLAE forwards SEMP to DLA Implementation & ITS Coordinator for review and approval.

FHWA sends SEMP approval & NTP to DLA Implementation.

DLA Implementation verifies SEMP approval & NTP, then forwards to DLAE.

DLAE confirms environmental approval, then sends SEMP approval and NTP to local agency.

CONSTRUCTION PHASE

Local Agency submits PS&E request package to DLAE.

DLAE submits E-76 and PS&E package DLA Implementation Engineer.

DLA implementation engineer transmits E-76 to FHWA for obligation.

DLAE issues Authorization to proceed with construction.

Upon completion of project, local agency completes a Final Inspection Form 17C and submits it to DLAE.

The DLAE reviews completed project and signs off on the 17C. Beyond this point, normal federal-aid procedures for closing project.

Note:
This PE procedure requires FHWA review of the SERF, approval of the SEMP, and Notice-to-Proceed (NTP) granted. Expenditures for system detailed design, implementation, and testing prior to NTP are not eligible for FHWA reimbursement.
- FHWA Full Oversight for PE phases on all major ITS projects.
- FHWA Full Oversight for E-76 purposes.
- For simplicity, the right of way phase is not shown in this chart. If right of way is involved, refer to Chapter 13, “Right of Way,” of the LAPM for information and procedures.
- For FHWA list of criteria for full oversight projects, refer to Section 2.4 of the LAPM.