

The instructions below originally accompanied a 1992 memo on the importance of using the correct project identifiers. They were re-affirmed in 1993 and continue to be updated throughout the years. This exhibit serves as a historical document to expand our understanding of the use of EAs/Project IDs.

## **PROJECT IDENTIFICATION IN ADVANTAGE AND PRSM**

### **A. THE IMPORTANCE OF USING CORRECT PROJECT IDENTIFIERS:**

All major projects have two distinct identifiers. These are the Planning and Programming Number (PPNO) and the Expenditure Authorization (EA)/Project Identifier (Project ID). All projects to be voted by the CTC require a PPNO. The PPNO is referenced in the programming database CTIPS, in the various programming documents, and in PRSM, but does not appear in Advantage. The EA/Project ID is an internal Department number and it appears in Advantage, the programming documents and databases, and PRSM.

Some of the functions of the project identifiers include:

#### **1. Unique Identification of Each Project:**

Both the PPNO and the EA/Project ID appear in the programming documents such as the State Transportation Improvement Plan (STIP) and the State Highway Operation and Protection Program (SHOPP). In some cases, the legislature has mandated that funds be allocated for the construction of specific projects. These projects are identified by their PPNO in Sections 14555.1 to 14555.57 of the Government Code.

The programming documents include only those projects which have some State funding. In addition to these documents, the Department semi-annually provides a list of 100 percent locally funded projects on the State Highway System to the California Transportation Commission (CTC). Both the PPNO and the EA/Project ID appear on this list.

All the projects in programming documents and the list of 100 percent locally funded projects, plus other approved major projects, are included in the annual Project Delivery Schedules. Both the PPNO and the EA/Project ID appear in the Project Delivery Schedules.

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## **2. Tracking Costs:**

Good management practices require that proper records be kept of all departmental costs. The key to the Department's project cost tracking system is the EA/Project ID. If EA/Project IDs are not charged correctly, it is not possible to properly manage project costs.

The Department is required to submit an annual report to the legislature that provides details of the costs incurred on the projects in the various programming documents. To prepare this report it is necessary that costs be traceable, through the project identifiers, to specific projects in the programming documents. Use of improper project identifiers will produce erroneous information, could result in costs that cannot be identified to appropriate projects, and/or require extraordinary manual efforts to attempt to identify these costs to the appropriate project.

## **3. Budgeting:**

Project identifiers are used by the Division of Budgets in the Department's Capital Budget and Capital Support Budget processes. Appropriations of capital funds for programmed projects must be related (by PPNO/EA) to the various programming documents (STIP and SHOPP) which authorized the appropriations. The Department's capital outlay support budget process begins with projecting workload using PRSM. To calculate future resource needs, Districts utilize risk-based estimating practices which take into consideration historical costs for similar projects. For District projections to be accurate, it is essential that all project related costs are properly charged to the phases associated with that project. If project identifiers are incorrect, project charges could be under reported and the Department would not receive adequate resources in future years.

## **B. THE CORRECT USE OF THE PROJECT NUMBER (PPNO):**

The PPNO is the principal programming project identification necessary for tracking projects through the programming process.

A PPNO has four numeric characters and could include a fifth alpha character.

The first four characters of the PPNO comprise the Base Number. There are 10,000 possible base numbers for each District, from 0000 to 9999.

The fifth character of the PPNO can either be blank or it can be an alphabetic character (A through Z excluding "Y" \*). The alphabetic character designates the project segment.

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\* NOTE: PPNOs with an Alpha “Y” appended are landscaping projects split off from the parent project.

The following procedures shall be used when combining and splitting projects:

**1. Split Projects:**

When a project is split into two or more smaller projects, each resulting project shall be treated as a segment of the original project.

EXAMPLE: Parent project has PPNO 2346. The project is split into three smaller projects, resulting in new PPNOs 2346, 2346A, and 2346B.

**2. Combined Projects:**

When two or more projects are combined, the combined project shall retain the PPNO of the project with the highest estimated cost.

**C. THE CORRECT USE OF THE EXPENDITURE AUTHORIZATION (EA):**

An EA has six characters. For multi-phase EAs, the six characters are arranged as follows:

XXXX	X	X
Four characters	Fifth character	Sixth character
Basic Serial Number	Segment Code	Phase Code
First character is in range 0 - 4		Possibilities are K, 0, 1, 2, 3, 4, and 9 (*SEE BELOW)

Additional information about EAs/Project IDs can be found in the [Project ID Guide](#) (internal Caltrans link), *Section 17-References*.

The first four characters of a multi-phase EA comprise the Basic Serial Number. There are 5,000 possible numbers for each District, from 0000 to 4999. The four-character Basic Serial Number is assigned by the District, before work is started on the Project Study Report or the “K” phase. **An EA shall be assigned and its Project ID established in Advantage, before any work is done on a project.** The Basic Serial Number is retained for the entire life of the project, including all phases of work.

If 5,000 EA numbers are insufficient, a District may ask Headquarters Project Control to permit alphabetic characters in the second character. This would add approximately 10,000 possible serial numbers, from 0A00 to 4Y99, excluding numbers with B, D, I, O and Z in the second character. The letters B, D, I, O, and Z should not be used because they are easily confused with the numerals 0, 1, 2, and 8.

When projects are segmented, the fifth character identifies the project segment. For example, the first portion of a route would be segment "1", the ninth would be "9". EA Number 244351 would record design costs on the fifth segment of the project with Serial Number 2443. If all nine segment numbers have been assigned, the number of segments may be expanded by using alphabetic characters. A project could thus have as many as twenty-six segments (excluding the letters B, D, I, O, U, V, W, X, Y, and Z). The letters U, V, W, X, and Y are reserved for combined projects.

The sixth character identifies the functional phase. The various phases are:

- K – Project Study Report
- 0 – Project Report/Environmental Document
- 1 – Design
- 2 – R/W – Operations (Support)
- 3 – Construction Engineering (Support)
- 4 – Major Contract Capital Outlay (Construction)
- 9 – R/W – Capital Outlay (Normal)

### **1. Split Projects:**

When a project is split into two or more smaller projects, each resulting project shall be treated as a segment of the original project.

EXAMPLE: Parent project has EA 24430K. Environmental effort (Phase 0) is charged to EA 244300 and design (Phase 1) is begun under EA 244301. Then the project is split into three smaller projects. The new EAs would be 244311, 244321, and 244331.

The reason for not keeping the original EA (244301) is to separate the costs incurred both before and after the split. New R/W estimates may need to be completed to correctly separate project costs.

### **2. Combined Projects:**

When two or more projects are combined, the EA/Project ID of the project with the highest estimated cost shall have a "U" substituted for the fifth character as the new EA/Project ID and used in Advantage and PRSM. Subsequent combinations should use V, W, X, and Y in the fifth character of the EA.

EXAMPLE: Phase "0" work on EAs 244000 and 245500 has been completed. EA 245500 is the project with the highest estimated cost. The projects are to be designed as a single large project, so the design EA would be 2455U1.

If this project is later split into three smaller projects which are different from the original two projects, the EAs would be 245511, 245521 and 245531. If the original two projects are re-established, the EAs would be 244001 and 245501.

A subsequent combination of EAs 245521 with 354321 would have an EA of 2455V1, if 245521 is the project with the highest estimated cost.

When a project is combined **only** for construction purposes, R/W should continue to charge the parent EAs/Project IDs.

**NOTE:** "**Larger project**" means the project with the highest estimated cost. This means that "**Minor B**" projects will be combined into "**Minor A**" projects and "**Minor A**" projects will be combined into "**Major**" projects and **NOT** the other way around.

**ADDITIONAL POINTS TO NOTE ABOUT THE USE OF EAs/PROJECT IDS ARE:**

**1. Coordinating between PRSM and Advantage:**

Projects should be entered into the PRSM database at the earliest opportunity. District Project Control or Resource Management will check PRSM before establishing Project IDs in Advantage to ensure compatibility between Advantage and the PRSM database.

**2. Establishing EAs/Project IDs with Appropriate Phase:**

Expenditures should be charged against an EA/Project ID with the phase coding that matches the work that is being accomplished.

**3. Use of the Advantage Crosswalk to Obtain EA/Project ID:**

To obtain the proper EA associated with a Project ID, and vice versa, use the [Advantage Project ID Crosswalk](#) (internal Caltrans link). Select the appropriate Charge District first, and then you can enter either the 5-digit EA or 10-digit Project ID to determine the associated project code.

**PROJECT IDENTIFICATION IN ADVANTAGE AND PRSM  
(Cont.)**

Advantage Project ID vs. District EA Conversion

ALL	▼	Select Charge District
ALL	▼	Major Program
All	▼	EFIS Phase Start with
		EA5 {Partial value is OK}
		Project ID {Partial value is OK}
		<input type="button" value="Search"/>
		<input type="button" value="Reset"/>