

**EXHIBIT 3-D REQUEST FOR AUTHORIZATION TO PROCEED WITH CONSTRUCTION***[Place this form on Local Agency Letterhead]*

To: \_\_\_\_\_ Date: \_\_\_\_\_

District Local Assistance Engineer FTIP/FSTIP ID: \_\_\_\_\_

Caltrans, Office of Local Assistance Federal Project No: \_\_\_\_\_

Project ID/Advantage ID: \_\_\_\_\_

PPNO (For STIP Projects only): \_\_\_\_\_

Project Description: \_\_\_\_\_

Dear \_\_\_\_\_

In order to advertise, award and administer the construction contract for the above-referenced project, we request that you secure Federal “*Authorization to Proceed*” (E-76) and Obligation of funds. The federal funds requested will not exceed those provided to this agency in the federally approved Federal Transportation Improvement Program (FTIP)/Federal Statewide Transportation Improvement Program (FSTIP).

Attached are the following documents required to authorize this phase of work:

Request for Authorization Package

- ☐ Completed Exhibit 3-E *Request for Authorization to Proceed with Data Sheet(s)*
- ☐ Copy of FTIP/FSTIP Reference Sheet
- ☐ Completed Exhibit 3-O *Sample Local Federal-aid Project Finance Letter*
- ☐ Copy of Executed Cooperative Agreement (only for projects on State Highway System)
- ☐ Exhibit 3-H *Request for Capital Subvention Reimbursement Allocation* (only for projects on State Highway System with Capital-Outlay” cost funded with local assistance subvention funds and administered by the state)

Agreement End Date (AED)

The project AED must be identified on Exhibit 3-O *Sample Local Federal-aid Project Finance Letter*. Check which of the following applies:

- ☐ The AED will be established with this submittal. Date: \_\_\_\_\_
- ☐ No revision to the AED is requested with this submittal.
- ☐ A revised AED is requested with this Submittal. Date: \_\_\_\_\_

Toll Credit Usage

- ☐ This project will use Toll Credit. It is fully funded.
- ☐ This project will NOT use Toll Credit.

Field Review Form (Exhibit 7-B)

- ☐ Completed Exhibit 7-B *Field Review Form*, or  
☐ The Exhibit 7-B previously was submitted on \_\_\_\_\_.

Environmental Requirements

- ☐ Type of NEPA Document. Approval Date: \_\_\_\_\_.  
☐ Categorical Exclusion (CE) Forms  
☐ Findings of No Significant Impact (FONSI)  
☐ Record of Decision (ROD)  
☐ Revalidation. Approval Date: \_\_\_\_\_.

Disadvantaged Business Enterprise (DBE) Contract Goal Methodology Form (Exhibit 9-D)

- ☐ Completed Exhibit 9-D *DBE Contract Goal Methodology* and the DBE goal is \_\_\_\_\_.  
☐ The DBE goal is 0% because there are no subcontracting opportunities for DBE participation. Documentation verifying this determination is attached to this exhibit, on file with the local agency and has been approved by the DLAE.  
☐ There is no goal because it is an emergency project, a “nonprofit,” uses force account, or other. A Cost-Effectiveness Determination (Exhibit 12-F) is attached.

A&E Consultant Contracts

- ☐ Consultant contract(s) already executed.

Acceptance date of Exhibit 10-C by Caltrans	Name of Consultant

- ☐ Consultant contract will be procured after authorization. Exhibit 10-C will be sent to Caltrans for acceptance **prior to contract award**.  
☐ Work is being done by Local Agency staff.  
☐ Not applicable. Explain: \_\_\_\_\_

Right of Way Certification (Exhibit 13-A or 13-B)

Right of Way Certification # \_\_\_\_\_ which was approved on \_\_\_\_\_ is:

- ☐ Attached, or  
☐ Previously submitted.

Utility Relocations performed and reimbursed under the Construction phase

- ☐ Not Applicable  
☐ This Agency agrees to comply with 23 CFR 645.119 “Alternate Procedure” (as explained in Chapter 13, “*Right of Way*”, and Chapter 14, “*Utility Relocation*” of the LAPM). This alternate procedure is provided

to simplify the processing of Utility Relocations or adjustments under the provisions of 23 CFR 645. Under this procedure, the Federal Highway Administration (FHWA) authorized the California Department of Transportation (Caltrans) to act in relative position of the FHWA for review and approval of the arrangements, fees, estimates, plans, utility agreements, and other related matters required by such regulation as prerequisites for authorizing the utility owner to proceed with and complete the work.

It is understood that the scope of Caltrans approval authority under the Alternate Procedure includes all actions necessary to advance and complete all types of utility work under the provisions of such regulation, except Section 645.119 (b)(1) and 645.119 (b)(2). Two such documents requiring the Department's approval are FHWA Specific Authorization and FHWA Approval of the Utility Agreement (Exhibit 14-C). See Chapter 14, "Utility Relocation", of the LAPM for more information on the activities necessary for federal participation in Utility Relocations. Approval authority has been delegated to the District Right of Way Utility Coordinators.

#### PS&E Package and PS&E Certification

- ☐ Completed PS&E package including Exhibit 12-C *PS&E Certification*, and Exhibit 12-D *PS&E Checklist*, or
- ☐ The PS&E package including Exhibit 12-C *PS&E Certification*, and Exhibit 12-D *PS&E Checklist* submitted and accepted on \_\_\_\_\_

#### Local Agency Construction Contract Administration Checklist

- ☐ Exhibit 15-A *Local Agency Construction Contract Administration Checklist*, or
- ☐ The *Local Agency Construction Contract Administration Checklist* was submitted previously and our procedures have not changed.

#### California Transportation Commission (CTC) Allocation

Check which of the following applies:

- ☐ A CTC allocation is not required, or
- ☐ A CTC allocation of funds for the construction component of work was made at the \_\_\_\_\_ meeting of the CTC, or
- ☐ A CTC allocation of funds has been scheduled for the \_\_\_\_\_ meeting of the CTC. It is understood that the authorization/obligation of any federal STIP funds will not be made until after the CTC allocation.

#### Project Agreement and Liquidation of Funds

Upon issuance of Authorization to Proceed (E-76) by the Federal Highway Administration (FHWA), a Program Supplement Agreement (PSA) and state approved project Finance Letter will be prepared to encumber the federal and/or state funds for the project. This Agency understands that any federal and/or state funds encumbered for the project are available for reimbursement until the applicable fund reversion date(s) shown on the state approved project Finance Letter (unless an extension is granted by the Department of Finance).

#### Invoice Submittal

This Agency understands that project construction contracts advertised prior to federal authorization are NOT eligible for reimbursement. It is also understood that Construction Engineering (CE) cost must be specifically included and authorized in the federal Authorization to Proceed with Construction to be eligible for reimbursement. If CE is authorized after construction begins, only those CE costs incurred after the date the CE is authorized are eligible for reimbursement.

Invoices for reimbursement will not be submitted until after the federal and state (if applicable) funds are encumbered via an executed “*Program Supplement Agreement*” and/or state approved “*Finance Letter*”, and the DLAE has received the Construction contract award package. It is understood that an invoice must be submitted at least once every six months for each project phase until all funds are expended.

#### CERTIFICATION

I certify that the facts and statements in this “*Request for Authorization Package*” are accurate and correct. This Agency agrees to comply with the applicable terms and conditions set forth in Title 23, U.S. Code, Highways, and the policies and procedures promulgated by the Federal Highway Administration and the California Department of Transportation (Caltrans) relative to the above-designated project.

I understand that upon submittal of this request and a completed Exhibit 7-B “*Field Review Form*”, the federal and/or state funds will be encumbered via a “*Program Supplement Agreement*” and /or state approved “*Finance Letter*”. This Agency will comply with the liquidation deadlines as explained in Government Code 16304.

I understand that this Agency is responsible for all costs in excess of the federal and/or state funds obligated/encumbered and all costs it incurred prior to receiving the FHWA issued “*Authorization to Proceed*” (E-76) for this phase of the project.

Please advise us as soon as the “*Authorization to Proceed*” has been issued. You may direct any questions to:

\_\_\_\_\_ at \_\_\_\_\_

\_\_\_\_\_  
*Signature of Full-time Local Agency Employee in Responsible Charge*

\_\_\_\_\_  
*Print Name*

\_\_\_\_\_  
*Title*

\_\_\_\_\_  
*Agency*

Distribution: DLAE