



Expires – Upon Issuance of LPP

Authorization/Adjustment Requests

I. BACKGROUND

Prior to beginning work for which federal reimbursement will be requested, the project or project phase on which federal funds will be used must be formally authorized (approved) by the Federal Highway Administration (FHWA). Each federally funded phase of work such as Preliminary Engineering, Right of Way, and Construction, requires a separate federal authorization (commonly referred to as an “E-76”). When there are changes in scope or costs, the authorization will need to be modified (adjusted). Existing procedures require project sponsors to prepare multiple forms to initiate federal authorization and adjustment requests.

To streamline the process, the Division of Local Assistance partnered with 85 project sponsors to pilot a new request form that consolidated nine Local Assistance Procedures Manual exhibits, dynamically created fields based on the type (i.e. authorization or adjustment) and phase(s) of a request, and provided detailed instructions on how to complete this new form. In addition to reducing preparation time and errors for project sponsors, the new form reduced Caltrans’ review and processing time of requests by two weeks (over 35% improvement).

This Office Bulletin allows all project sponsors to use the new request form for federal authorization and adjustment requests and establish a date for mandatory use.

II. POLICY

The project sponsor identified in the FTIP/FSTIP must request authorization prior to proceeding with a federally funded phase of work. For phases of work where authorization has been approved, the project sponsor must communicate any changes in scope or costs (e.g., award of construction contract, completion of project). In either case, the project sponsor must prepare and submit a request package to the appropriate Caltrans District Local Assistance Office. With exception to Emergency Relief Program projects, the request package includes the Project Authorization/Adjustment Request form, LAPM-3A, and applicable supporting documents for the phase(s) of work requested for authorization or adjustment. The required supporting documents will be listed on LAPM-3A based on the phase(s) of work and other inputs on the form.

The Caltrans District Local Assistance Office must submit a Federal Project Log Sheet, LAPM Exhibit 3-G, with LP2000 Finance Letter and other applicable documents to Caltrans Headquarters Division of Local Assistance for submittal to FHWA.

If the package is incomplete and required information cannot be quickly provided to the Caltrans District Local Assistance Office, the package will be returned to the local agency for resubmittal.

III. PROCEDURE

Optional Use of LAPM-3A

Effective immediately, project sponsors may use LAPM-3A to request authorizations and adjustments for their federal-aid projects. Use is optional and project sponsors may continue using the forms and process established in Chapter 3 of the Local Assistance Procedures Manual (LAPM) to initiate request if desired.



Mandatory Use of LAPM-3A

Beginning April 1, 2019, project sponsors must use LAPM-3A to request authorizations and adjustments for their non-emergency relief federal-aid projects. Requests received using the prior forms will be returned to the project sponsor for resubmittal using LAPM-3A.

IV. APPLICABILITY/IMPACTS

Use of LAPM-3A is now available for download at the Division of Local Assistance website (www.dot.ca.gov/localassistance). After April 1, 2019, the following LAPM exhibits will no longer be accepted for requesting federal authorization and adjustment requests.

- 3-A: Request for Authorization to Proceed with Preliminary Engineering
- 3-B: Request for Authorization to Proceed with Right of Way
- 3-C: Request for Authorization to Proceed with Utility Relocation
- 3-D: Request for Authorization to Proceed with Construction
- 3-E: Request for Authorization to Proceed Data Sheets(s)
- 3-O: Local Federal-Aid Finance Letter
- 3-Q: Request for Authorization to Proceed with Non-Infrastructure
- 12-A: Preliminary Estimate of Cost
- 12-C: PS&E Certification

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