SB1 Workshop

PART 5
FEDERAL AID HIGHWAY AUTHORIZATION PROCESS

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Federal-Aid Highway Authorization Process

(CTC vote only for allocations – see LAPG Ch. 23)
Federal Authorizations

- Authorize before work/advertising
- FHWA’s approval to proceed with work
  - Preliminary Engineering (environmental & design)
  - Right of Way
  - Utility
  - Construction
  - Construction Engineering
  - Non-Infrastructure
- Establishes date of reimbursement

Local Agency
Submit “RFA” to DLAE

CT DLAЕ
Submit E-76 to HQ

CT HQ
Submit E-76 to FHWA

FHWA
Processes E-76; Obligates Funds
**PE Authorizations**

- Covers preliminary engineering work associated with environmental process and final design
- Eligible reimbursement only after PE Authorization date.
- Final design can begin *only after* NEPA clearance
- May include preliminary R/W activities necessary to develop project alternatives

**PE Authorization Submittal**

- Request For Authorization (RFA) to Proceed with Preliminary Engineering, Exhibit 3-A
- RFA Data Sheet, Exhibit 3-E
- Finance Letter, Exhibit 3-O
- Field Review Form, Exhibit 7-B
- Programming in the FTIP
Right of Way Authorizations

- Federal reimbursement, any phase, all R/W must conform to federal requirements
- NEPA environmental clearance **required** prior to authorization
- Must be obtained prior to negotiation w/ owners
- Covers:
  - Appraisals
  - Negotiation w/ owners
  - RW Acquisition
  - Relocation Assistance

Submittal: Right of Way Authorization

- RFA to Proceed with Right of Way, Exhibit 3-B
- RFA to Proceed with Utility Relocation, Exhibit 3-C
- RFA Data Sheet, Exhibit 3-E
- Finance Letter, Exhibit 3-O
- Programming in the FTIP
- NEPA environmental clearance
Construction Authorizations

- AUTHORIZE BEFORE YOU ADVERTISE!!!
- NEPA clearance required prior to federal authorization
- Right of Way Certification required
- CON and CE identified separately

Construction Authorization Submittal

- RFA to Proceed with Construction, Exhibit 3-D
- RFA Data Sheet, Exhibit 3-E
- Finance Letter, Exhibit 3-O
- Programming in FTIP
- NEPA environmental clearance
- Right of Way Certification, Exhibit 13-A/B
- PS&E Checklist and Certification, Exhibits 12-C/D
- DBE and ADA, Exhibits 9-B and 9-C annually
- QAP within 5 years
FHWA Authorization + CTC Allocation

FHWA Authorizes:  
- PE
- RW
- CON
- CE

CTC Allocates:  
- E&P (PA&ED)
- PS&E
- RW
- CON

Inactivity, PE>10, RW>20  Timely Use of Funds (TUF)

Best Practices

Follow the Simultaneous Authorization/Allocation process; submit BOTH Allocation & Authorization requests at the same time.

www.dot.ca.gov/hq/LocalPrograms/hooles-rules.html
Allocation “Heads Up”

• Follow CTC Preparation Schedule
• Submit “non-Exempt” CEQA document (and get an E-Resolution) at prior meeting
• Use *Simultaneous* processing of Allocations and Authorizations rather than *Sequential*
• Verify SB1 Programming; Scope Check
• Adherence to Program Guidelines, Reporting Requirements, and SB1 Accountability Guidelines

Authorization “Heads Up”

• Verify Federal Programming
• DBE Agreements/ADA Compliance/QAP’s on file
• Obligate CON and CE phases
Upcoming Improvements

New Dynamic Allocation Form: Done!
  - http://www.dot.ca.gov/hq/LocalPrograms/forms/

Authorization (E-76) Process:
Lean 6 Sigma effort to reduce CT processing time from 42 days to 14.

Progress Invoices:
Lean 6 Sigma effort to reduce 90% of errors.

PSA:
Lean 6 Sigma effort to reduce PSA processing time.

For more information, please contact your District Local Assistance Engineer.

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Visit the Caltrans Local Assistance SB1 Website at
http://www.dot.ca.gov/hq/LocalPrograms/SB1/