



Federal Aid Series

Day 1: Getting Started

Day 2: Environmental

Day 3: Right of Way

Day 4: Project Development

Day 5: Construction

Instructors

Peter Anderson,
Caltrans HQ

Suzanne Theiss,
DLAE, District 1



Getting Your Federal-Aid Project Started



- Housekeeping
 - Bathrooms
 - Refreshments
 - Questions as time permits
 - Cell phones OFF
 - Sign-in sheets
- Course Material
 - Slides
 - Exhibits
 - Quizzes
 - Handouts/Acronyms
- Schedule
 - 8:00 AM - 4:00 PM
 - 15-minute breaks
 - Lunch (11:45 – 12:45)



Course Objectives



At the end of this training, participants will:

- Understand the overall Federal-aid process
 - Funding
 - Programming
 - Authorizations
 - Reimbursement
- Know where to find resources
- Become familiar with Local Assistance forms



Introductions



Name & agency

Federal projects

Expectations



RESOURCES



DLA Website



INDEX

Consultants
DBE
Earmark Repurpose
E-76 Status
Environmental
Manual Forms
Inactive Projects
Blog
Contacts
PE>10
P & P
Program Info
Reports
Title VI
Training

Caltrans

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[Home](#) | [Programs](#) | Local Assistance

Local Assistance

Caltrans' Local Assistance Program oversees more than one billion dollars annually available to over 600 cities, counties and regional agencies for the purpose of improving their transportation infrastructure or providing transportation services. This funding comes from various Federal and State programs specifically designed to assist the transportation needs of local agencies. Annually, over 1,200 new projects are authorized through the Local Assistance Program of which approximately 700 are construction projects. [Contact Local Assistance](#)

Environmental and Other Policy Issues

- [ADA Section 504](#)
- [Consultant Selection and Procurement](#)
- [Disadvantaged Business Enterprise](#)
- [Local Environmental Issues](#)
- [Title VI](#)

Forms

- [CTC Forms](#)
- [FormsPLUS \(under construction\)](#)
- [Local Assistance Procedures Manual \(LAPM\) Forms](#)
- [Local Assistance Program Guidelines \(LAPG\) Forms](#)

Guidelines and Procedures

- [Caltrans Oversight Information Notice \(COIN\)](#)
- [Division of Local Assistance Office Bulletins \(DLA-OBs\)](#)
- [Local Assistance Procedures Manual \(LAPM\)](#)
- [Local Assistance Program Guidelines \(LAPG\)](#)
- [Local Programs Procedures \(LPP\)](#)
- [Procedures for Construction Manager and General Contractor \(PDF\)](#)

Other Important Issues

- [Local Assistance Blog](#)
- [Local Assistance Contact](#)
- [Other Links](#)

Federal and State Programs

Federal Programs

- [Emergency Relief Program](#)
- [Highway Bridge Program](#)
- [Highway Infrastructure program](#)
- [Highway Safety Improvement Program \(HSIP\)](#)
- [Intelligent Transportation Systems Program \(ITS\)](#)
- [Other Federal Programs \(under construction\)](#)

State Programs

- [Active Transportation Program \(ATP\)](#)
- [Bike Program](#)
- [Safe Route To School Program \(SRTS\)](#)
- [SB1](#)
- [State Transportation Improvement Program \(STIP\)](#)

Project Implementation

- [AB 1012 Balance Reports as of \(Current Month\)](#)
- [CMAQ/RSTP Monthly Activity Reports by Region as of \(Current Month\)](#)
- [Cooperative Work Agreement \(CWA\)](#)
- [Delivery Reports of Formula OA Funds as of \(Current Month\)](#)
- [Earmark Repurposing](#)
- [Hoole's Rules](#)
- [Inactive Projects](#)
- [Local Agency Invoice Process](#)
- [Preliminary Engineering Phase Over 10 Years](#)
- [Project Implementation Support Branch \(PISB\) Help Desk Online](#)

DLA Office
\$1.2B annually

Notification
Sign Up

Announcements

www.dot.ca.gov/programs/local-assistance/



Interim Changes & Policy Updates



Guidelines and Procedures

- [Caltrans Oversight Information Notice \(COIN\)](#)
- [Division of Local Assistance Office Bulletins \(DLA-OBs\)](#)
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- [Local Assistance Program Guidelines \(LAPG\)](#)
- [Local Programs Procedures \(LPP\)](#)
- [Procedures for Construction Manager and General Contractor \(PDF\)](#)

- [Office Bulletins \(DLA-OBs\)](#)
- [Caltrans Oversight Information Notice \(COIN\)](#)



LAPM & LAPG



LOCAL ASSISTANCE PROCEDURES MANUAL

State of California
Department of Transportation
Division of Local Assistance



Caltrans provides a safe, sustainable, integrated and efficient transportation system to enhance California's economy and livability



STATE OF CALIFORNIA
Department of Transportation
Division of Local Assistance



LOCAL ASSISTANCE PROGRAM GUIDELINES

□

Processing Procedures for
Implementing Federal and/or
State Funded Local Public
Transportation Projects





LAPM Content



LOCAL ASSISTANCE PROCEDURES MANUAL

State of California
Department of Transportation
Division of Local Assistance



Caltrans provides a safe, sustainable, integrated and efficient transportation system to enhance California's economy and livability



Local Assistance Procedures Manual

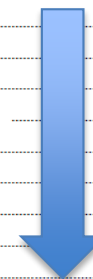
Table of Contents

Local Assistance Procedures Manual

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3 PROJECT AUTHORIZATION	3
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Plan




Develop




Build

Documents & Forms



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- [Disadvantaged Business Enterprise](#)
- [Local Environmental Issues](#)
- [Title VI](#)

Forms

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- [Highway Safety Improvement Program \(HSIP\)](#)
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- [SB1](#)
- [State Transportation Improvement Program \(STIP\)](#)

Project Implementation

- [AB 1012 Balance Reports as of \(Current Month\)](#)
- [CMAQ/RSTP Monthly Activity Reports by Region as of \(Current Month\)](#)



Other Websites


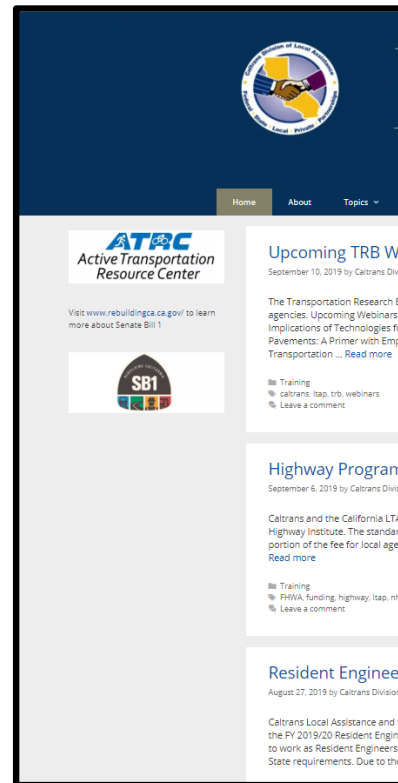
- Caltrans Web Server:
www.dot.ca.gov
- Caltrans Manuals:
www.dot.ca.gov/manuals
- FHWA Home Page:
www.fhwa.dot.gov/
- Federal Aid Essentials for Local Public Agencies:
www.fhwa.dot.gov/federal-aidessentials/index.cfm
- Planning Agencies' FTIPS:
www.dot.ca.gov/programs/transportation-programming/office-of-federal-programming-data-management-ofpdm

Email Updates - The LAB



SUBSCRIBE AND STAY INFORMED

- Local Assistance Blog (LAB)
- DLA Email List
- California LTAP Center



Subscribe to the Caltrans Local Assistance Email list to receive updates to this blog and news related to the federal-aid process and our publications.

Enter first name

Enter last name

Enter your email

District (1 - 12, HQ, Other)

powered by MailMunch

www.localassistanceblog.com



FUNDING BASICS & ELIGIBILITY

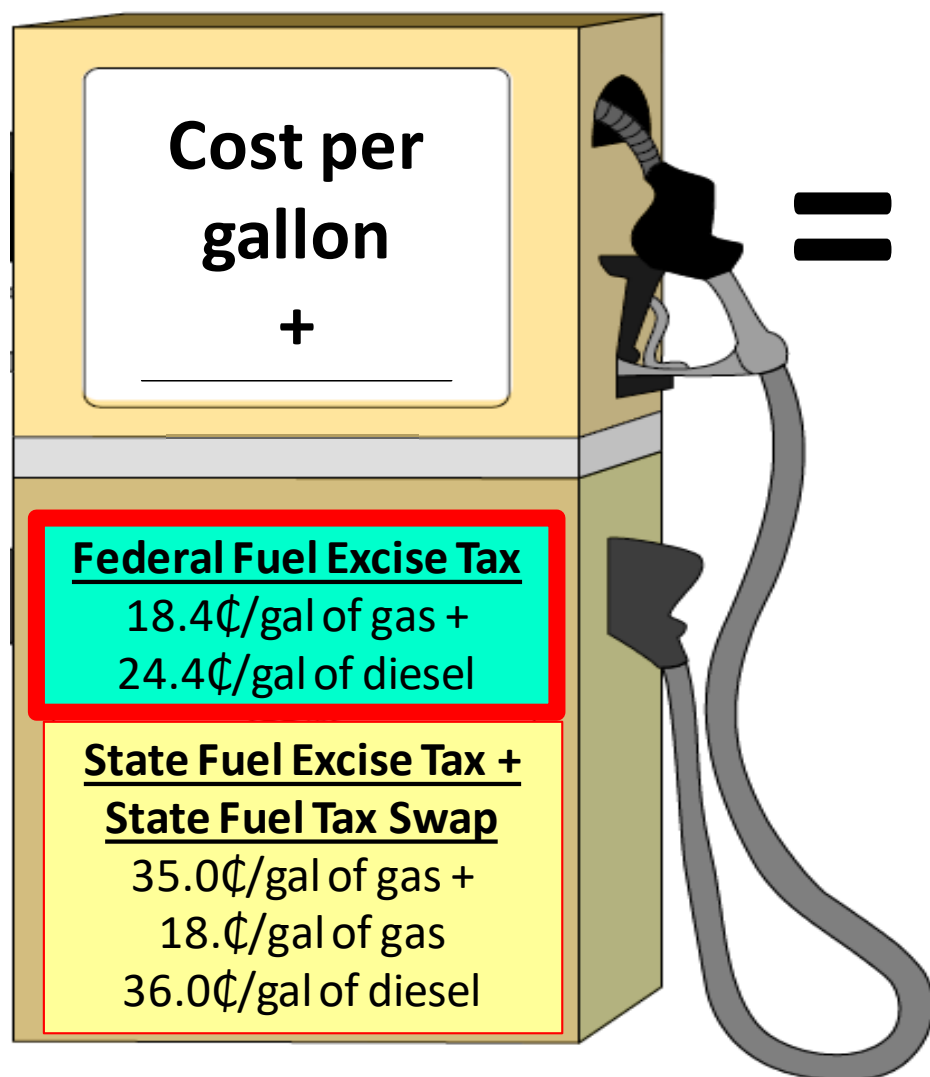


Funding Basics & Eligibility



- Funding
- Laws, Rules, & Regulations
- Roles & Responsibilities
- Reimbursement Process
- Matching Requirements
- Agreements
- Functional Classification
- Authorizations

Gallon of Gasoline



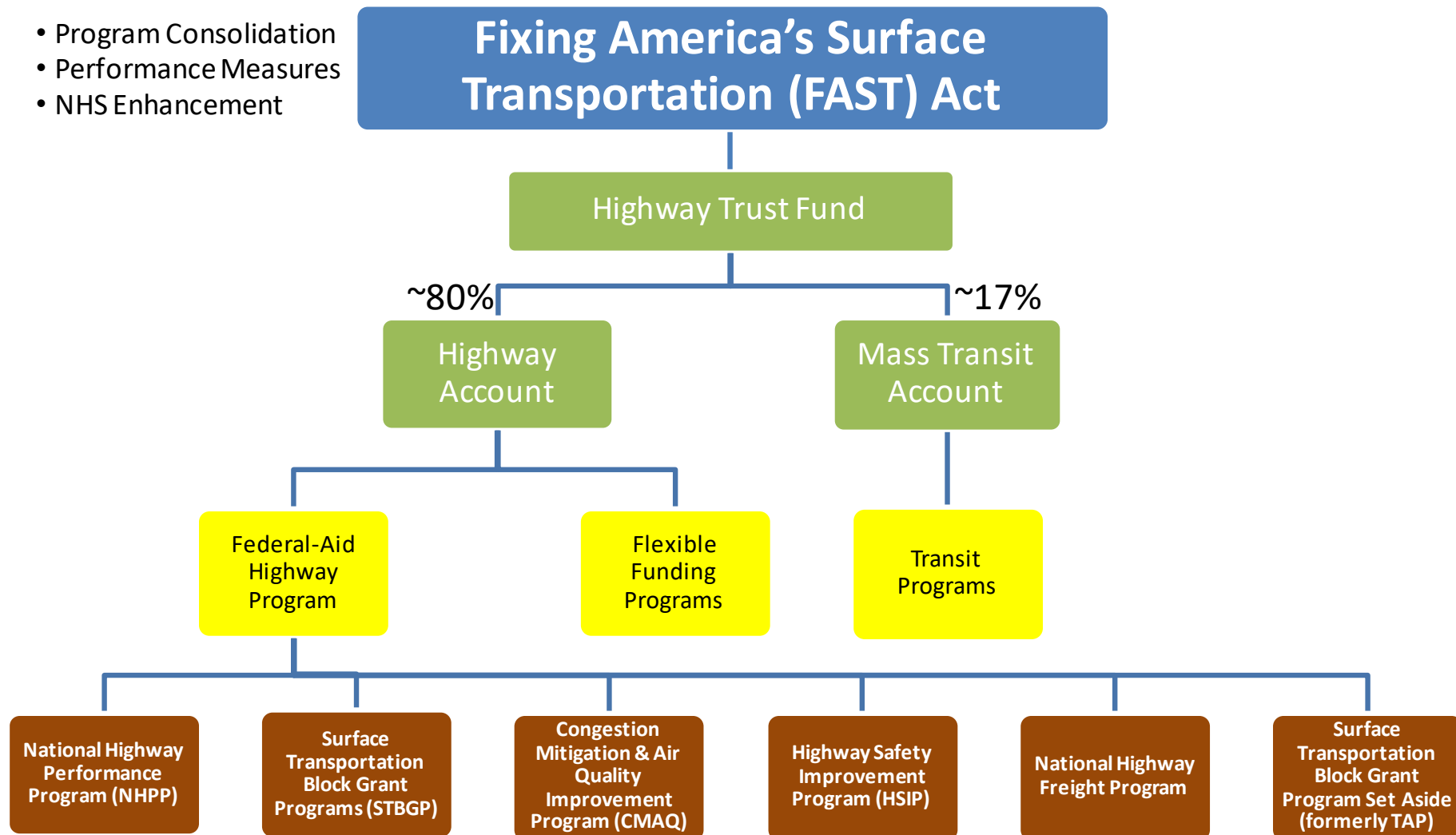
U.S. Highway Trust Fund



Distribution of Federal Gas Tax under FAST Act

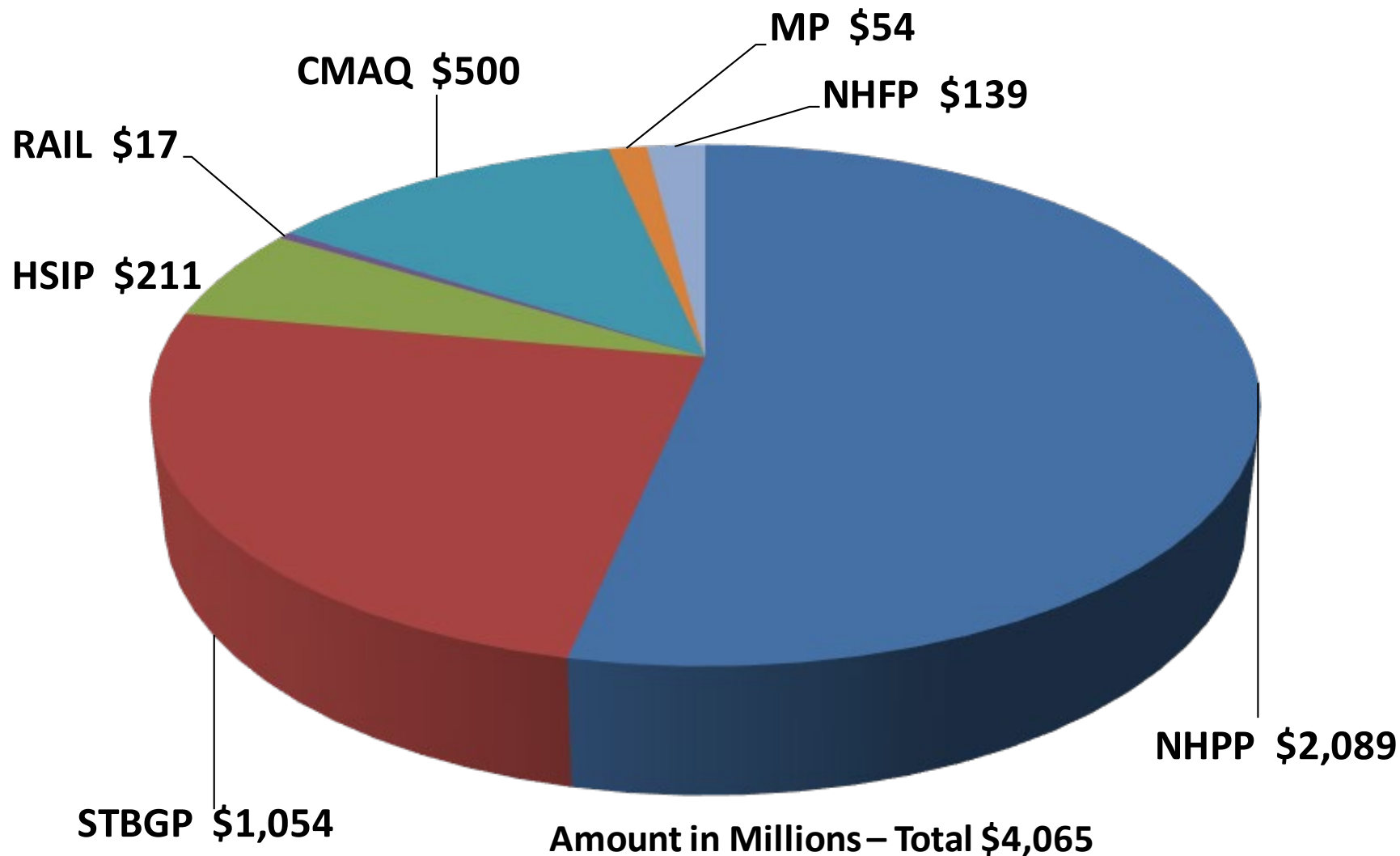


- Program Consolidation
- Performance Measures
- NHS Enhancement





California Federal-Aid Highway Program under FAST Act

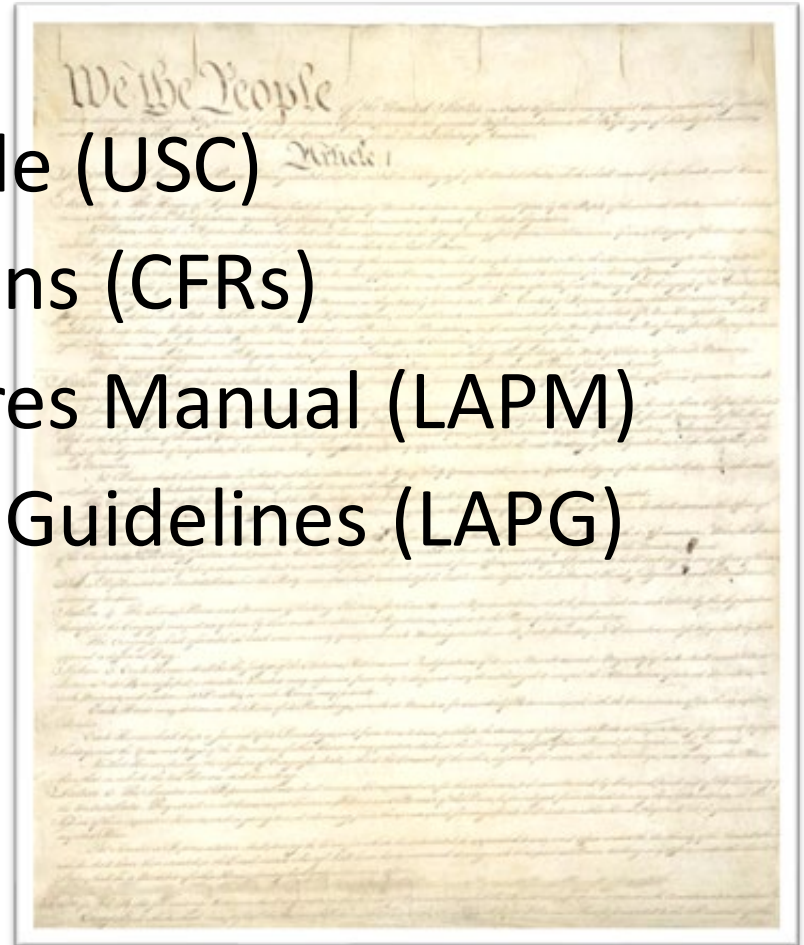
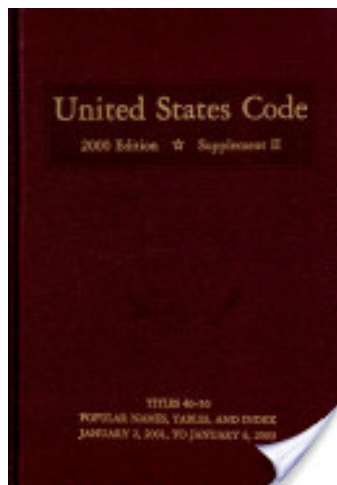




Laws, Rules, & Regulations



- FAST Act
- Title 23 United States Code (USC)
- Code of Federal Regulations (CFRs)
- Local Assistance Procedures Manual (LAPM)
- Local Assistance Program Guidelines (LAPG)

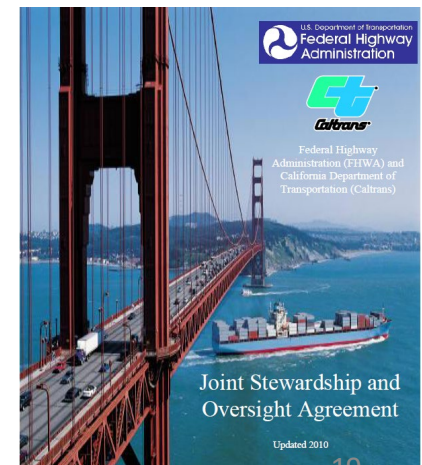
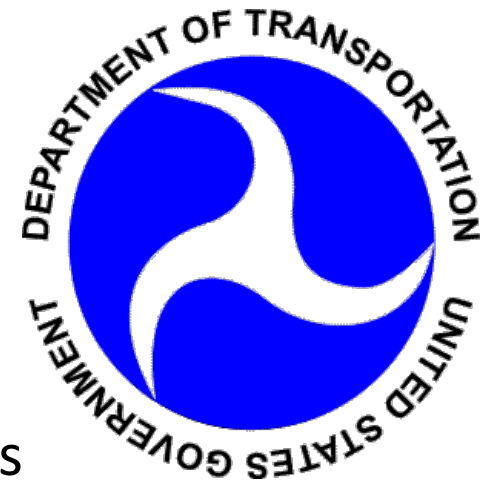




Roles & Responsibilities (FHWA)



- General oversight
 - Project agreements
 - Obligate funds
 - Reimbursement vouchers
 - Interstate access & design exceptions
 - Buy America waivers
 - Innovative contracting practices (design-build)
 - Authorization of high-profile projects/PODI
 - Oversight reviews



Roles & Responsibilities (Caltrans)



- Program management & project oversight
 - Policies & procedures
 - Program delivery & monitoring
 - Process E-76, agreements, & payments
 - Field & environmental reviews
 - DBE & EEO Compliance
 - Training
 - NEPA approval
 - Construction oversight
 - Serves as MPO for Rural Counties



www.dot.ca.gov/-/media/dot-media/programs/local-assistance/documents/LAPM/ch02.pdf



Roles & Responsibilities (Local Agency)



- Project Implementation
 - Nominate projects to FSTIP
 - Apply for grants
 - Prepare RFA request
 - Host field review
 - Comply with DBE requirements
 - A&E audit conformity
 - Hire consultants
 - NEPA technical studies for approval, permits
 - Prepare PS&E
 - Right of Way clearance
 - Quality Assurance Program
 - Advertise, award, & administer contracts
 - Maintain improvement
 - Single audit report



Roles & Responsibilities (Others)



California Transportation Commission (CTC)

- Program and allocation STIP, SB1, & ATP funds
 - New projects & amendments
 - Manage statewide spending plan

MPO / RTPA

- Regional project applications
- Program projects in FTIP
- Monitor progress & deadlines

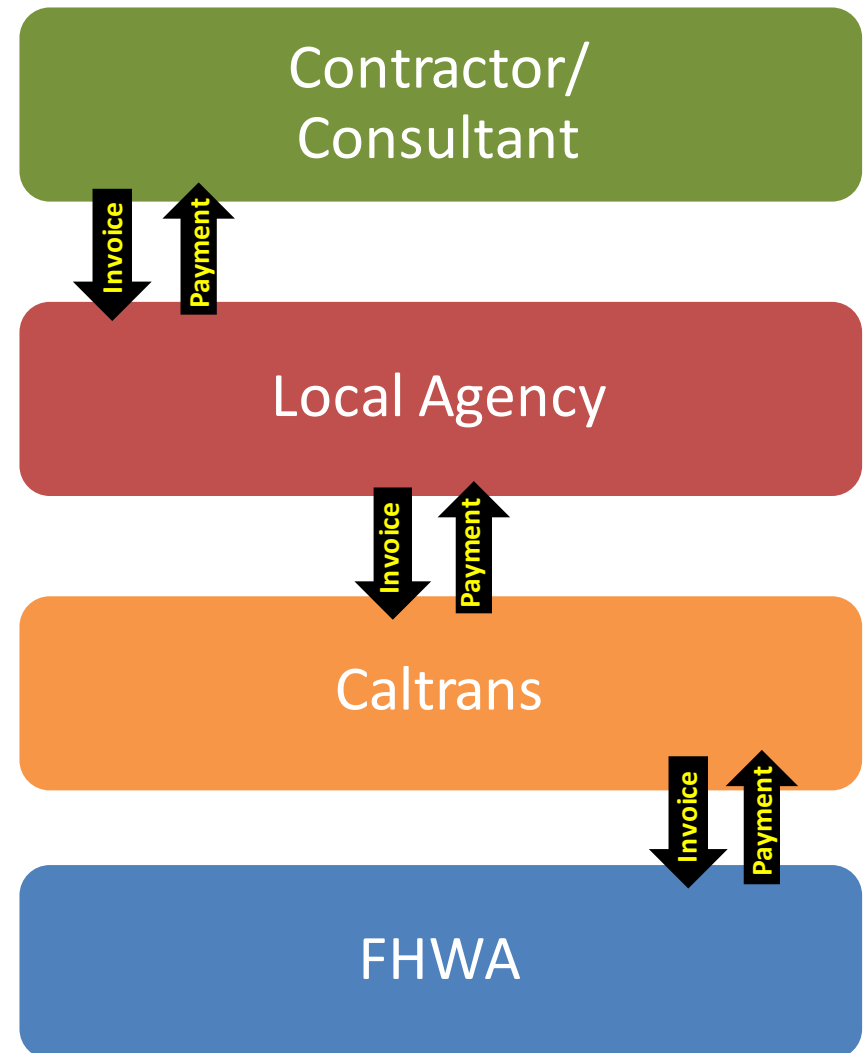




Reimbursement Program



- Contractor/consultant performs work
- Local agency pays contractor
- Local agency requests reimbursement from Caltrans
- Caltrans reimburses local agency from State Highway Account
- Caltrans requests reimbursement from FHWA



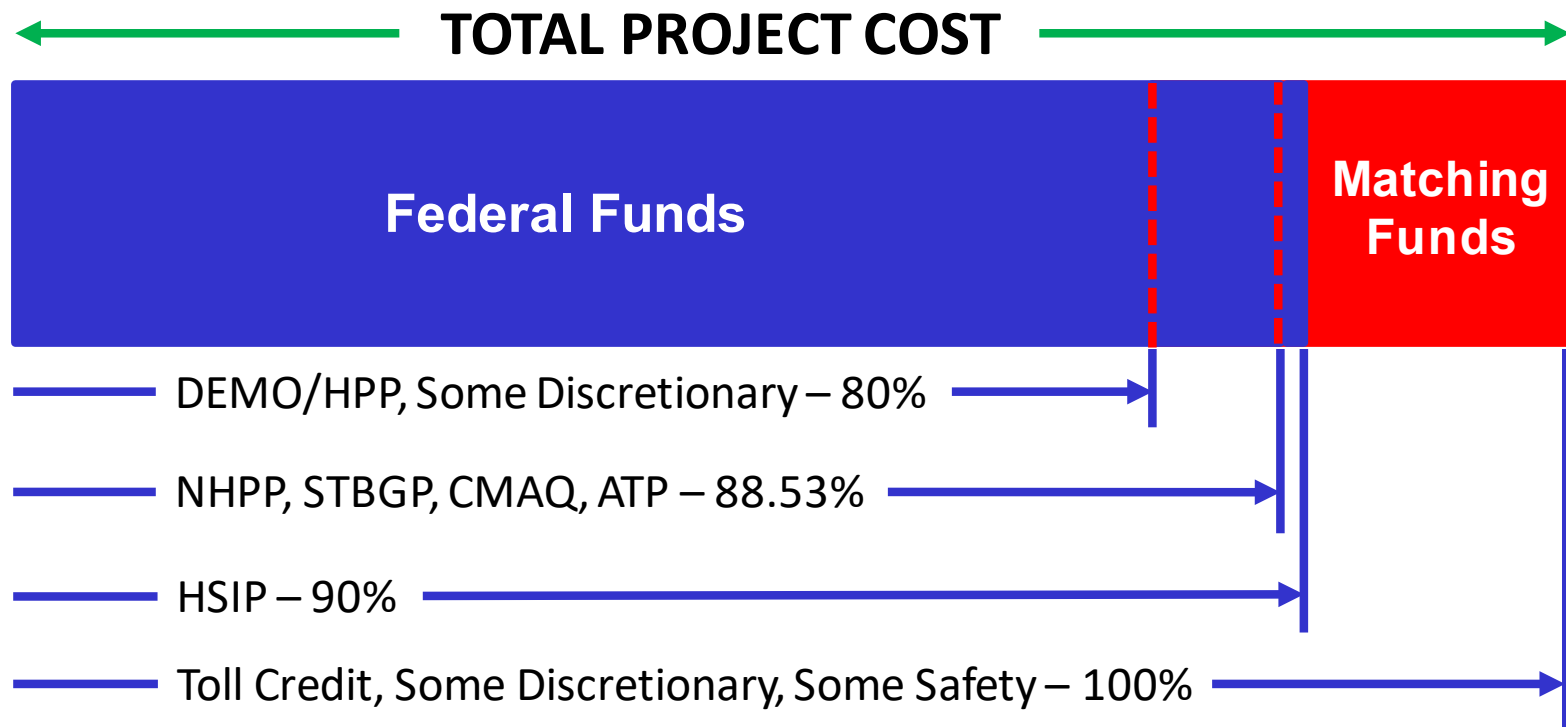


Matching Requirements



Local agency to provide non-federal matching funds to pay for projects (23 USC 120)

www.fhwa.dot.gov/fastact/factsheets/federalsharefs.cfm





Agreements



- Responsibilities
- Reimbursement
- Essential agreements
 - Master Agreement
 - One per agency
 - General conditions for all projects
 - Program Supplement Agreement
 - Location, work & cost specific for each project
 - E-76 Authorization/Agreement
 - Between Caltrans & FHWA

NO AGREEMENT = NO REIMBURSEMENT



Master Agreement



MASTER AGREEMENT
ADMINISTERING AGENCY-STATE AGREEMENT FOR
FEDERAL-AID PROJECTS

04 Santa Clara Valley Transportation Authority

District Administering Agency

Agreement No. 04-6264F15

This AGREEMENT, is entered into effective this _____ day of _____, 20____, by and between Santa Clara Valley Transportation Authority, hereinafter referred to as "ADMINISTERING AGENCY," and the State of California, acting by and through its Department of Transportation (Caltrans), hereinafter referred to as "STATE", and together referred to as "PARTIES" or individually as a "PARTY."

RECITALS:

1. WHEREAS, the Congress of the United States has enacted the Intermodal Surface Transportation Efficiency Act (ISTEA) of 1991 and subsequent Transportation Authorization Bills to fund transportation programs; and

2. WHEREAS, the Legislature of the State of California has enacted legislation by which certain federal-aid funds may be made available for use on local transportation related projects of public entities qualified to act as recipients of these federal-aid funds in accordance with the intent of federal law; and

3. WHEREAS, before federal funds will be made available for a specific program project, ADMINISTERING AGENCY and STATE are required to enter into an agreement to establish terms and conditions applicable to the ADMINISTERING AGENCY when receiving federal funds for a designated PROJECT facility and to the subsequent operation and maintenance of that completed facility.

NOW, THEREFORE, the PARTIES agree as follows:

- Between Local Agency & State
- LAPM procedures
- E-76 procedures
- Accounting requirements
- Retain records 3 years
- Timely use of funds
- Consultants OK
- Maintenance

Program Supplement Agreement



PROGRAM SUPPLEMENT NO. F025 to ADMINISTERING AGENCY-STATE AGREEMENT FOR FEDERAL-AID PROJECTS NO 04-6264F15	Adv Project ID 0416000391 Date: December 14, 2016 Location: 04-SCL-0-VTA Project Number: STPL-6264(075) E.A. Number: Locode: 6264
---	---

This Program Supplement hereby adopts and incorporates the Administering Agency-State Agreement for Federal Aid which was entered into between the Administering Agency and the State on 11/18/16 and is subject to all the terms and conditions thereof. This Program Supplement is executed in accordance with Article I of the aforementioned Master Agreement under authority of Resolution No. _____ approved by the Administering Agency on _____ (See copy attached).

The Administering Agency further stipulates that as a condition to the payment by the State of any funds derived from sources noted below obligated to this PROJECT, the Administering Agency accepts and will comply with the special covenants or remarks set forth on the following pages.

PROJECT LOCATION:
Santa Clara County Various Agencies:
Great Streets: Tasman Drive Complete Street Corridor Study

TYPE OF WORK: Traffic Related - Other **LENGTH:** 0.0(MILES)

Estimated Cost	Federal Funds		Matching Funds	
	Z230	Other	LOCAL	OTHER
\$1,128,000.00	\$998,280.00		\$129,720.00	\$0.00

SANTA CLARA VALLEY TRANSPORTATION AUTHORITY
By _____
Title _____
Date _____
Attest _____

STATE OF CALIFORNIA
Department of Transportation
By _____
Chief, Office of Project Implementation
Division of Local Assistance
Date _____

I hereby certify upon my personal knowledge that budgeted funds are available for this encumbrance:

Accounting Officer: _____ **Date:** _____ **\$998,280.00**

Program Supplement 04-6264F15-F025-ISTEA

- Between Local Agency & State
- Supplements the Master Agreement
- Follow LAPM procedures
- E-76 and Finance Letter will control any cost increase
- Accounting encumbrance information
 - Federal-aid project number
 - Appropriation codes
 - Project description
 - Estimated costs



E-76 Authorization/Agreement



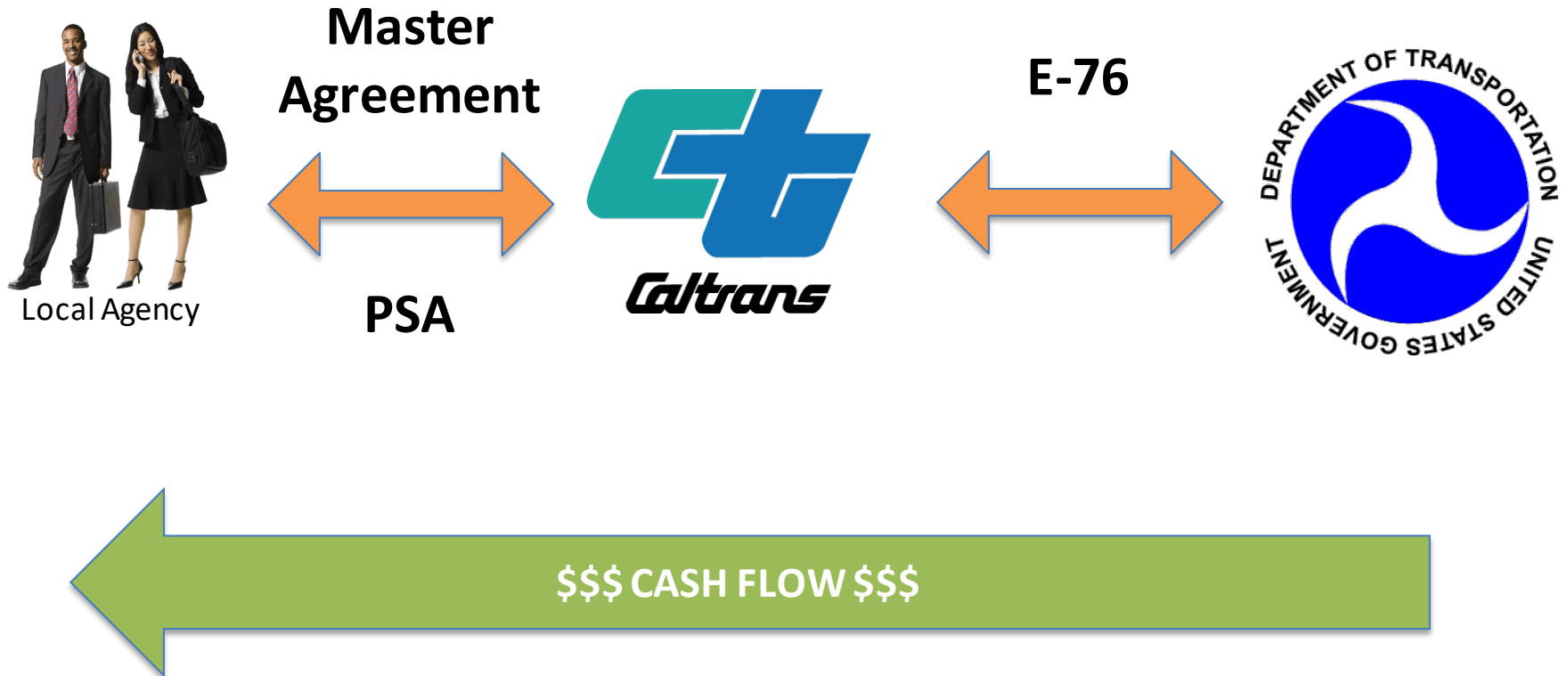
FEDERAL AID PROGRAM		AMENDMENT MODIFICATION SUMMARY - (E-76)				CALIFORNIA DEPARTMENT OF TRANSPORTATION	
DLA LOCATOR: 08-RIV-0-MORV		PROJECT LOCATION:				PREV AUTH / AGREE DATES:	
PREFIX: ATPL		VARIOUS LOCATIONS THROUGHOUT THE CITY OF MORENO VALLEY				PE: 2016-09-15 00:00:00.0	
PROJECT NO: 5441(064)		TYPE OF WORK:				R/W: 2016-09-15 00:00:00.0	
SEQ NO: 2		MINOR STREET WIDENING FOR CURB, GUTTER, SIDEWALK GAP CLOSURES,				CON:	
STATE PROJ NO: 0815000036L-N		FED RR NO'S:				SPR:	
AGENCY: MORENO VALLEY		PUC CODES:				MCS:	
ROUTE:		PROJ OVERSIGHT: ASSUMED/LOCAL ADMIN				OTH:	
DISASTER NO:		ENV STATUS / DT: DELEG TO STATE USC 326/SEC 6004 02/12/2016					
TIP DATA		RW STATUS / DT: 1 06/16/2017					
MPO: SCAG		INV RTE:					
FSTIP YR: 17/18		BEG MP:					
STIP REF: 209-4000-4215		END MP:					
FSTIP ID NO: RIV140849							
BRIDGE NO:							
PROG CODE	LINE NO	IMPV TYPE	FUNC SYS	URBAN AREA	URB/RURAL	DEMO ID	
M301	11	15					
M301	20	16					
Z301	30	28					
Z301	31	17					
FUNDING SUMMARY							
PHASE		PROJECT COST		FEDERAL COST		AC COST	
PE	PREV. OBLIGATION	\$89,000.00		\$89,000.00		\$0.00	
	THIS REQUEST	\$0.00		\$0.00		\$0.00	
	SUBTOTAL	\$89,000.00		\$89,000.00		\$0.00	
R/W	PREV. OBLIGATION	\$71,000.00		\$71,000.00		\$0.00	
	THIS REQUEST	\$0.00		\$0.00		\$0.00	
	SUBTOTAL	\$71,000.00		\$71,000.00		\$0.00	
CON	PREV. OBLIGATION	\$0.00		\$0.00		\$0.00	
	THIS REQUEST	\$1,469,000.00		\$1,469,000.00		\$0.00	
	SUBTOTAL	\$1,469,000.00		\$1,469,000.00		\$0.00	
OTH	PREV. OBLIGATION	\$0.00		\$0.00		\$0.00	
	THIS REQUEST	\$0.00		\$0.00		\$0.00	
	SUBTOTAL	\$0.00		\$0.00		\$0.00	
TOTAL:		\$1,629,000.00		\$1,629,000.00		\$0.00	
STATE REMARKS							

PREPARED IN FADS BY: DIKE, CHIGOZIE	ON 2017-11-03 806-4709
REVIEWED IN FADS BY: LOUIE, PATRICK	ON 2017-11-03 653-7349
SUBMITTED IN FADS BY: LOUIE, PATRICK	ON 2017-11-03 FOR CALTRANS
PROCESSED IN FADS BY: FOGLE, JERILYNN	ON 2017-11-07 FOR FHWA
E-76 AUTHORIZED DATE IN FMIS BY: JIYOUNG AHN	ON 2017-11-09 15:48:58.0

AUTHORIZE BEFORE YOU ADVERTISE



Project Agreements





Functional Classification



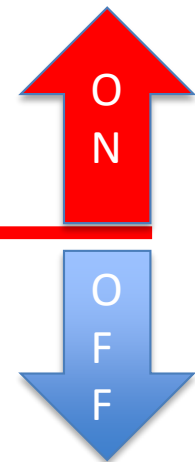
ON Federal-Aid System

- Interstate and Other Freeways
- Expressways
- Arterials, Major Collectors

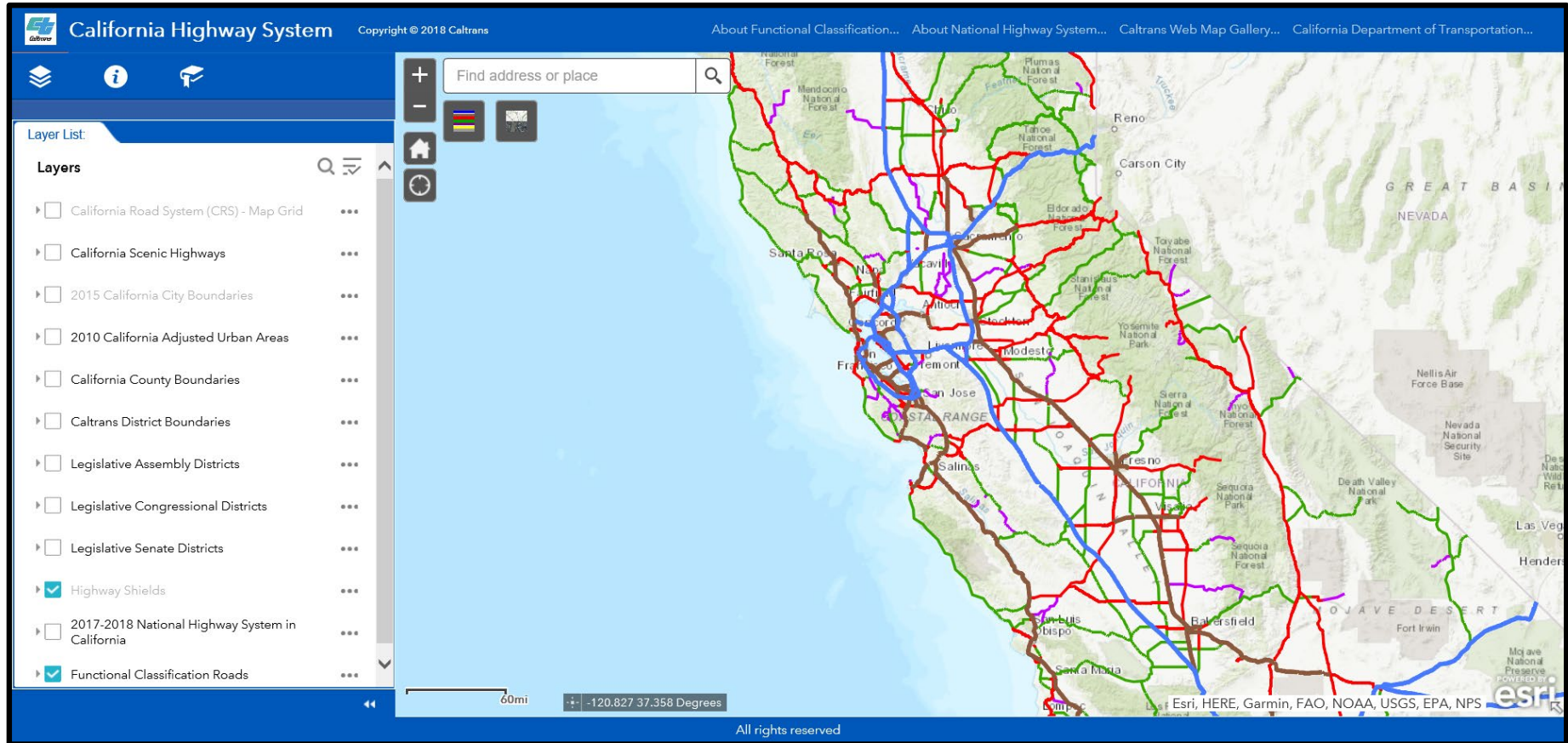
OFF Federal-Aid System

- Minor Collectors
- Local Streets and Roads

Functional Classification
Interstate
Other Freeway/Expressways
Other Principal Arterials
Minor Arterials
Major Collectors
Minor Collectors
Local



California Highway System Maps



Research, Innovation and System Information – Web Site



Caltrans

Travel Work with Caltrans Programs Caltrans Near Me Search

Research, Innovation and System Information

The Division of Research, Innovation and System Information (DRISI) advances California's transportation system, develops comprehensive transportation solutions, and creates and distributes transportation-related knowledge and information. We continuously work to turn innovative ideas into sustainable solutions that address a wide range of transportation challenges.

The purpose of DRISI is to provide solutions and knowledge that improve California's transportation system. DRISI's purpose and goals reflect the vital function the division performs in support of [Caltrans' mission](#) to provide a safe, sustainable, integrated, and efficient transportation system to enhance California's economy and livability.

We build and leverage our mission-critical skills and knowledge and organize staff and resources to deliver the highest quality transportation research and system information solutions to

Our Services

- [California Road System \(CRS\) Maps](#)
- [Call For Submissions](#)
- [Geospatial Information Systems \(GIS\) Data Library](#)
- [Transportation Research](#)

Website: <https://dot.ca.gov/programs/research-innovation-system-information>



California Highway System Maps



The screenshot shows the 'California Highway System' web application. On the left is a 'Layer List' with various map layers, including 'California Road System (CRS) - Map Grid', 'California Scenic Highways', '2015 California City Boundaries', '2010 California Adjusted Urban Areas', 'California County Boundaries', 'Caltrans District Boundaries', 'Legislative Assembly Districts', 'Legislative Congressional Districts', 'Legislative Senate Districts', 'Highway Shields' (checked), '2017-2018 National Highway System in California', and 'Functional Classification Roads' (checked). The main map area displays a map of California with various road systems overlaid. A modal dialog box is open in the center, featuring the Caltrans logo and the following text:

Copyright © 2019 Caltrans

Title: California Highway System

Description: The *California Highway Systems* map displays authoritative, statewide road system information along California's highways, including Functional Classification roadways and the National Highway System.

Purpose of this map: To display elements of California's statewide road system.

Layers presented: Functional Classification roadways; National Highway System; California Scenic Highways; Caltrans District; California Legislative and Urban Area Boundaries; Highway Shields; California Road System Map Grid.

Disclaimer:

This application is being updated for digital accessibility and will continue to function while updates are in progress.

The maps and data are made available to the public solely for informational purposes.

☒ I agree to the above terms and conditions

OK

At the bottom of the map, there is a scale bar for 60 miles and a coordinate tool that says 'Move mouse to get coordinates'. The footer of the application states 'All rights reserved'.

California Highway System Maps



Layer List

Layers

☐ California Road System

☐ California Scenic Highway

☐ 2015 California City Boundaries

☐ 2010 California Adjusted County Boundaries

☐ California County Boundaries

☐ Caltrans District Boundaries

☐ Legislative Assembly Districts

☐ Legislative Congressional Districts

☐ Legislative Senate Districts

☒ Highway Shields

☐ 2017-2018 National Highway System in California

☒ Functional Classification Roads

Functional Classification Values:

Interstate

Other Fwy or Expwy

Other Principal Arterial

Minor Arterial

Major Collector

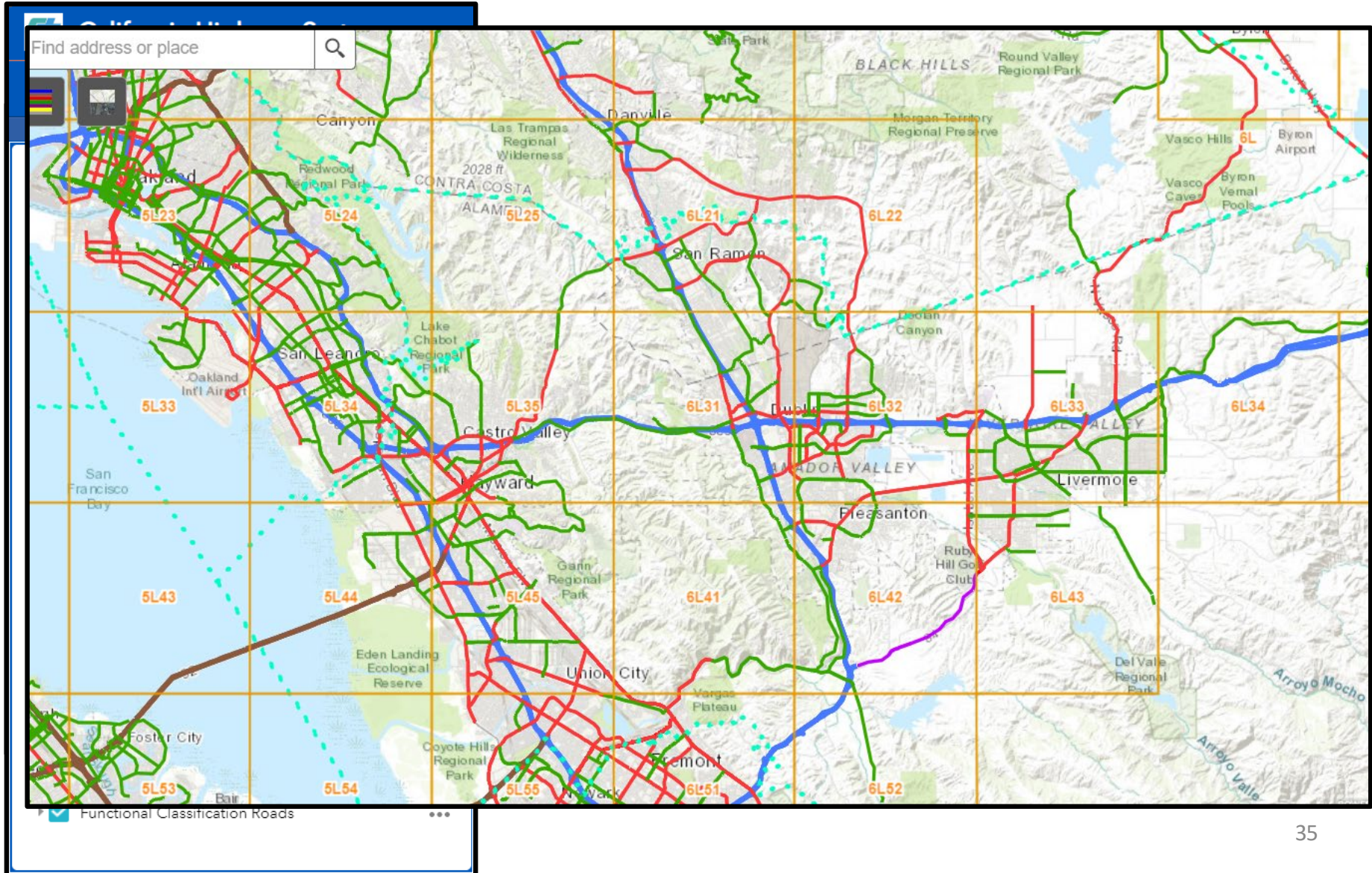
Minor Collector

Local

out Functional Classification... About National Highway System... Caltrans Web Map Gallery... California Department of Transportation...

All rights reserved

California Highway System Maps





Authorizations

- Authorize phase before work/advertising
- FHWA's approval to proceed with work
 - Preliminary Engineering (environmental and design)
 - Right of Way
 - Right of Way Utility Relocation
 - Construction
 - Construction Engineering
 - Non-Infrastructure
- Establishes date of reimbursement
- Do not authorize too soon or too late

Quiz



- Where would you check to find the most current policy and procedures changes?
Caltrans DLA Web Site
- Who initiates the RFA? **Local Agency**
- T or F All projects require a non-federal match. **False**
- What web site is the primary source for determining road classifications?
California Road System (CRS) Maps
- What phases of work require FHWA approval to proceed?
Preliminary Engineering, Right of Way, Right of Way Utility Relocations, Construction, and Construction Engineering



PROJECT FUNDING/ SELECTION



How Do I Get My Project Funded?



- Is it adopted into the long range Regional Transportation Plan (RTP)?
- Who should I contact for funding?
 - **Bridge, Safety, ATP, Discretionary => Caltrans**
 - **STBGP, CMAQ, STIP, ATP => MPO/RTPA**
- What is the Functional Classification?
- Is it on or off the Federal-aid system?



Selection By State



Bridge, Safety, ATP

- Caltrans issues Survey or Call for Projects
- Local agency submits applications for funding to Caltrans
- Caltrans reviews, verifies, and evaluates applications and then ranks them
- Caltrans provides approved project list to MPO/RTPA for programming into FTIP



Selection By MPO/RTPA



STBGP, CMAQ, STIP, ATP

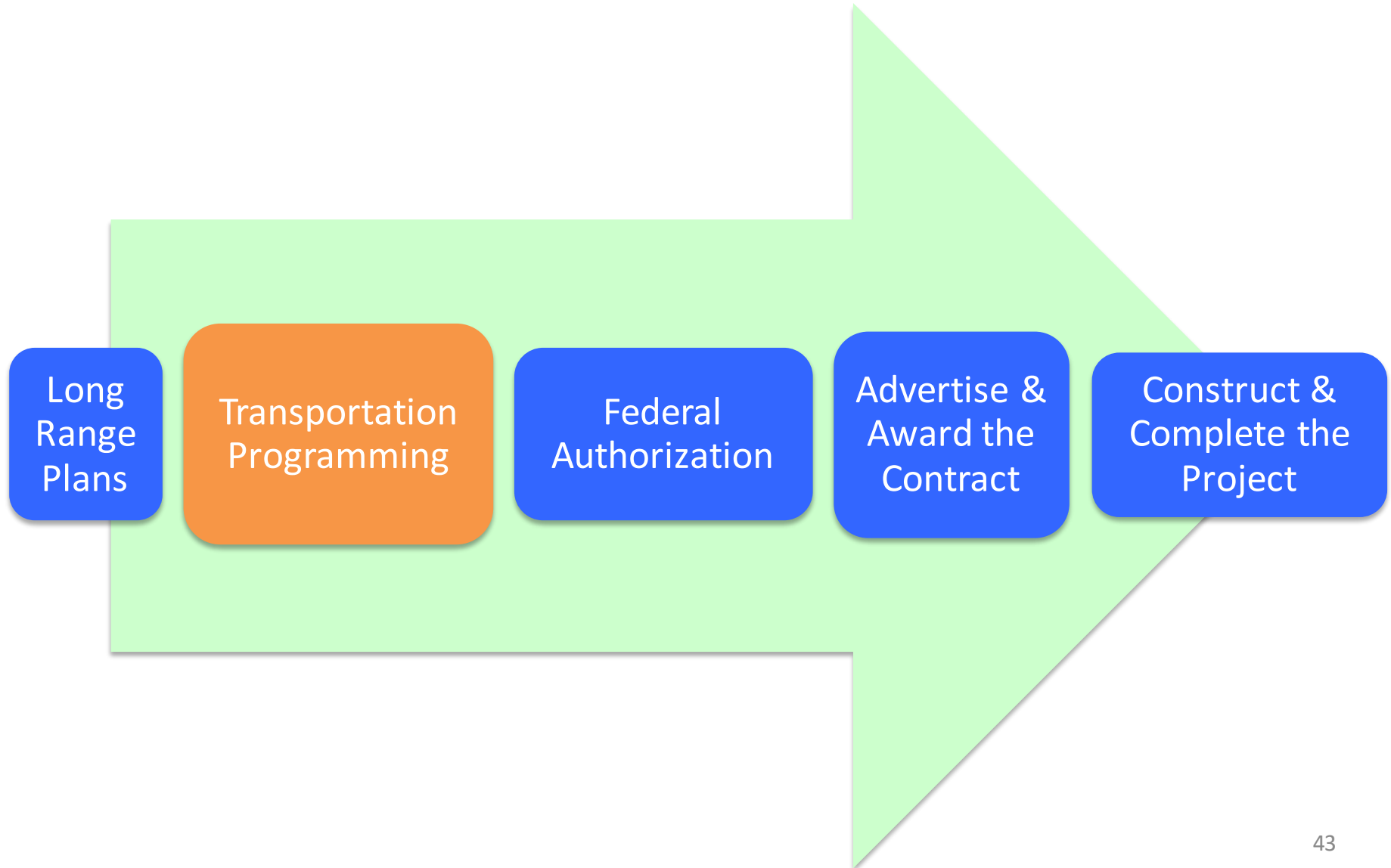
- MPO/RTPA issues Call for Projects
- Local agency submits applications for funding to MPO/RTPA for inclusion into FTIP
- MPO/RTPA programs project into FTIP



PROGRAMMING

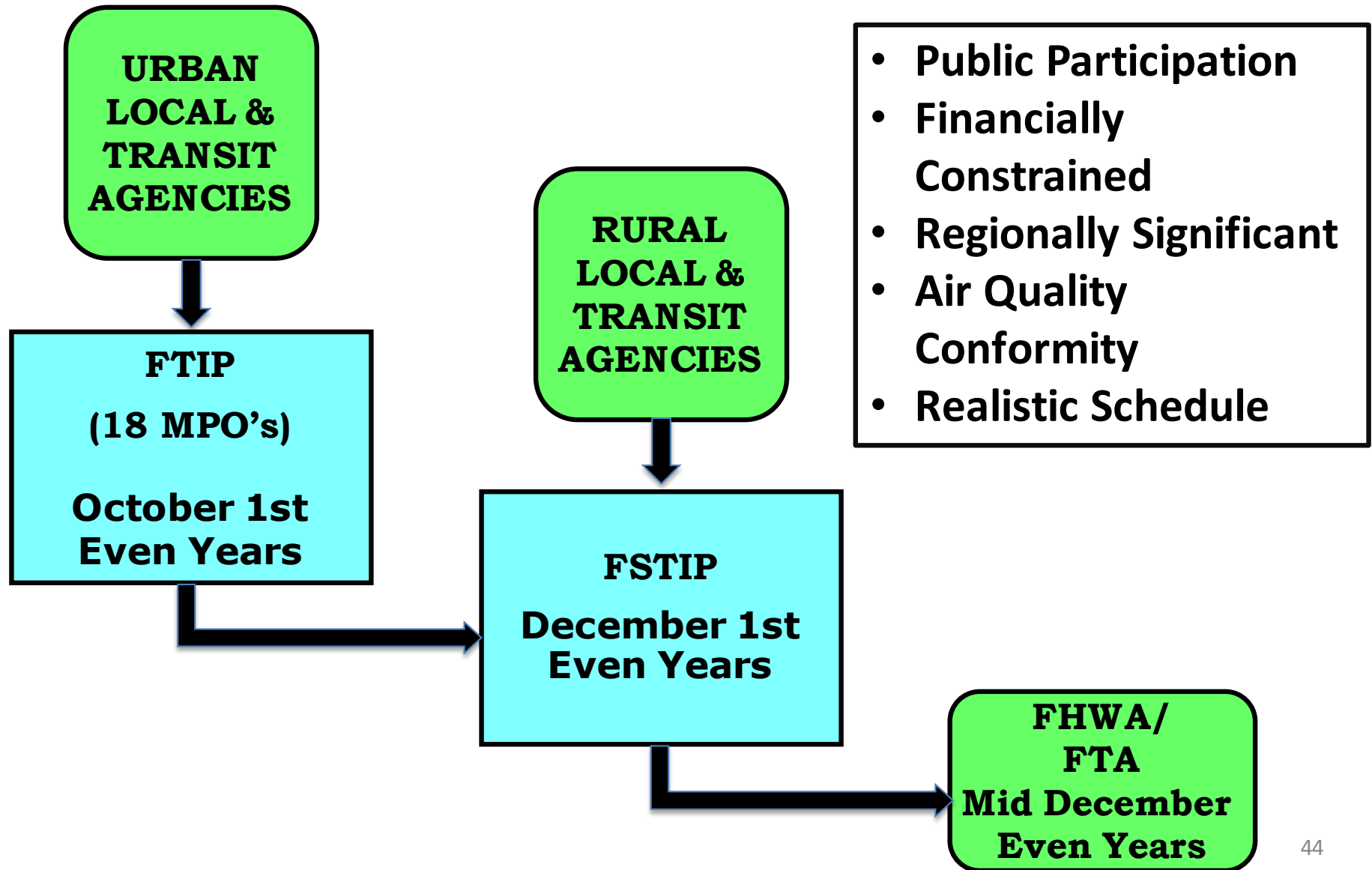


Transportation Programming

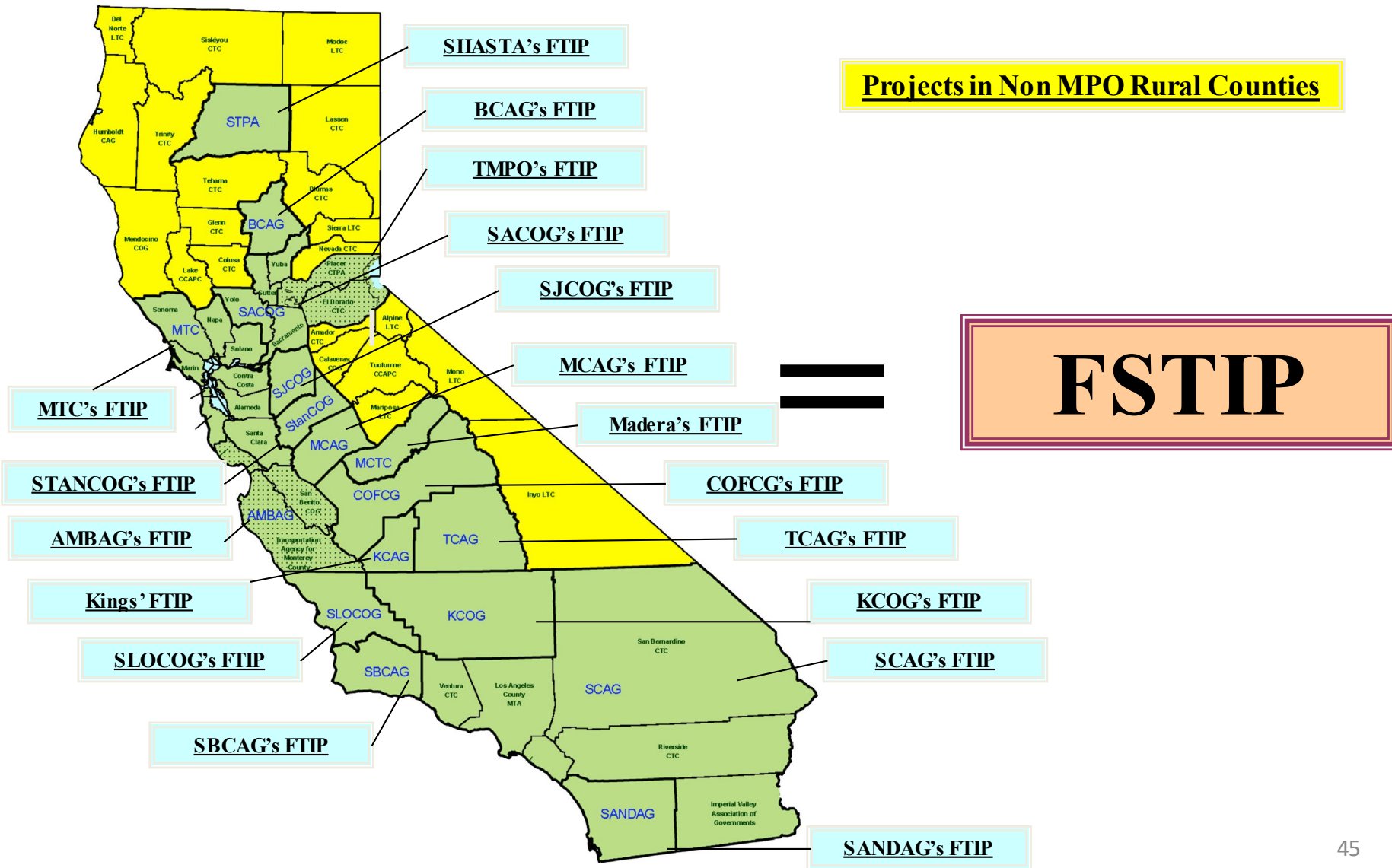




Programming Process



FTIP / FSTIP



FTIP Example



2019 Federal Transportation Improvement Program San Luis Obispo Region (in \$000s)

San Luis Obispo County

MPO ID: 22300000836 PPNO: N/A EA#: N/A

Description

RTIP #: 18-00 (Ver3)

TITLE: SR 227 Operational Improvements: Los Ranchos Rd.

DESCRIPTION: In San Luis Obispo County, on 227 at Los Ranchos Rd., construct operational and multimodal improvements. Emission reduction totals = ROG 1.15 kg/day, CO 1.07 kg/day, NOx 0.6 kg/day, PM2.5 0.5 kg/day Total 2.9kg/day

Fund Type

Fund Year and Amount

Phase

CHANGES: Carry over from 16-15

	TOTAL	PRIOR	18/19	19/20	20/21	21/22	Beyond	PE	RW	CON
CMAQ - Congestion Mitigation	\$4,787	\$1,067			\$2,379	\$1,341		\$1,067		\$3,720
Local Funds AC	\$1,341				\$1,341					\$1,341
RSTP-RSHA	\$593	\$110			\$483			\$110		\$483
TOTAL	\$6,721	\$1,177			\$4,203	\$1,341		\$1,177		\$5,544

COMMENTS: Total Project Cost is \$5,380,000. FY21 Local Funds \$1,340,662 used as AC for FY22 CMAQ \$1,340,662 which will be used as EPSP in FY21. Alternatively, SLOCOG addressing CMAQ apportionment with sister MPO to exchange Local A/C. FY21 Local Funds - Local AC to be swapped out for EPSP or a loan agreement with a sister MPO.



Individual Project Listing vs. Grouped Projects



- Individually Listed Projects
 - Programming phase(s) of a single project under one entry in the FTIP/FSTIP
- Grouped Projects
 - Projects grouped under a specified work function, work type, and/or geographical area
 - Projects must be exempt from air quality conformity requirements
 - Project phases are programmed under Construction
 - Must have a detailed backup list of projects



Programming Changes



Formal Amendments

- Major changes to cost, scope, and schedule
- Adding or deleting a project/phase (except PE)
- Demonstrate financial constraint
- Requires public participation
- Federal approval
- Months

Administrative Modifications

- Minor changes to cost (40% or \$10M), project description, and limits
- Swapping funds (different color or type)
- State approves or delegates to MPO
- Days or weeks



Programming Options



- Post programming
- Expedited Project Selection Procedures (EPSP)
 - Projects may be advanced or delayed within the FSTIP period without the need for an amendment
 - Financial constraint still applies

MPO ID: 206-0000-0429 PPNO: N/A EA#: N/A Capacity Status: NCI RTIP#: 19-00										
TITLE: D St. Road Rehabilitation										
DESCRIPTION: D St, from E. North Ave to E. College Ave: Pavement Rehabilitation										
CHANGE REASON: New project input										
	TOTAL	PRIOR	2018/2019	2019/2020	2020/2021	2021/2022	BEYOND	PE	RW	CON
STBGP	\$513		\$45		\$468			\$45		\$468
Local Funds	\$91		\$17		\$74			\$17		\$74
Total	\$604		\$62		\$542			\$62		\$542



Programming Resources

- MPO and FTIP/FSTIP:

www.dot.ca.gov/programs/transportation-programming/office-of-federal-programming-data-management-ofpdm

- Federal and State Programs:

www.dot.ca.gov/programs/local-assistance/fed-and-state-programs

Quiz



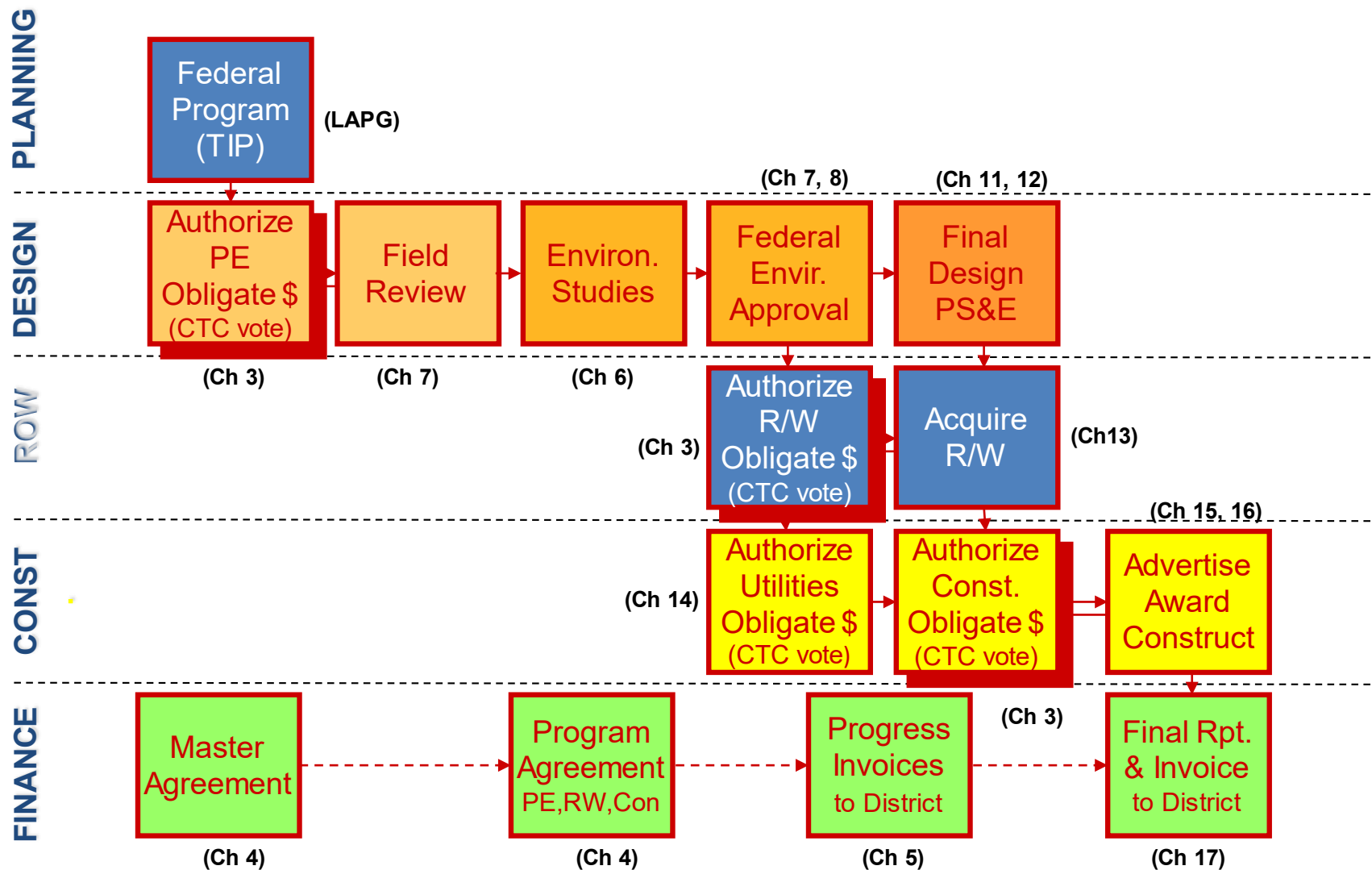
- What document requires approval by both FHWA and FTA? **FSTIP**
- T or F A project must be included in the FSTIP before federal funds can be authorized for any activity. **True**
- What are the two types of programming changes?
Formal Amendment and Administrative Modification
 - T or F A formal amendment only requires approval by the MPO and Caltrans. **False, FHWA approval required**
 - T or F An administrative modification may be delegated to the MPO for approval? **True**
- What are five main pieces of information you're looking for in an FTIP listing? **Description, Fund Type, Fund Amount, Fiscal Year, and Phase**



AUTHORIZATIONS



Project Authorization Process





Project Authorization



- Authorization to Proceed (E-76)
 - Before starting reimbursable work
 - Each project phase – PE, ROW, CON
 - PE must move to ROW or CON in 10 years or repay funds
 - Must have approved LAPM 9-A/9-B (DBE) & 9-C (ADA) on file
 - Must have an executed Master Agreement
- Prepared by agency
- Cover letter and data sheets
- Include attachments for each phase

AUTHORIZE BEFORE YOU ADVERTISE



RFA Packages



The following items are to be submitted with the LAPM 3-A [(✓=required, ●=required if applicable)]. This list does not represent all documents required to be in the agency's project files. The District Local Assistance Engineer may request additional documents for authorization/adjustment.

Form	Document	PE	ROW	CON	NI
LAPM 3-A	Project Authorization/Adjustment Request	✓	✓	✓	✓
	FTIP	✓	✓	✓	✓
LAPM 6-F/6-G	NEPA		✓	✓	✓
LAPM 13-A/B	Right of Way Certification			✓	
LAPM 12-F	Cost Effective/Public Interest Finding	●	●	●	●
	PS&E Package			✓	
LAPM 12-D	PS&E Checklist			✓	
LAPM 9-D	DBE Contract Goal Methodology	●	●	✓	●
LAPM 7-B	Field Review Form	●	●	●	●

E-76 Authorization/Agreement



AMENDMENT MODIFICATION SUMMARY - (E-76)

CALIFORNIA DEPARTMENT OF TRANSPORTATION

FEDERAL AID PROGRAM

DLA LOCATOR: 08-RIV-0-MORV
 PREFIX: ATPL
 PROJECT NO: 5441(064)
 SEQ NO: 2
 STATE PROJ NO: 0815000036L-N
 AGENCY: MORENO VALLEY
 ROUTE:
 DISASTER NO:
 TIP DATA
 MPO: SCAG
 FSTIP YR: 17/18
 STIP REF: 209-4000-4215
 FSTIP ID NO: RIV140849

PROJECT LOCATION:
 VARIOUS LOCATIONS THROUGHOUT THE CITY OF MORENO VALLEY
 TYPE OF WORK:
 MINOR STREET WIDENING FOR CURB, GUTTER, SIDEWALK GAP CLOSURES,
 FED RR NO'S:
 PUC CODES:
 PROJ OVERSIGHT: ASSUMED/LOCAL ADMIN
 ENV STATUS / DT: DELEG TO STATE USC 326/SEC 6004 02/12/2016
 RW STATUS / DT: 1 06/16/2017
 INV RTE:
 BEG MP:
 END MP:

PREV AUTH / AGREE DATES:
 PE: 2016-09-15 00:00:00.0
 R/W: 2016-09-15 00:00:00.0
 CON:
 SPR:
 MCS:
 OTH:

BRIDGE NO:

PROG CODE	LINE NO	IMPV TYPE	FUNC SYS	URBAN AREA	URB/RURAL	DEMO ID
M301	11	15				
M301	20	16				
Z301	30	28				
Z301	31	17				

FUNDING SUMMARY

PHASE	PROJECT COST	FEDERAL COST	AC COST
PE			
PREV. OBLIGATION	\$89,000.00	\$89,000.00	\$0.00
THIS REQUEST	\$0.00	\$0.00	\$0.00
SUBTOTAL	\$89,000.00	\$89,000.00	\$0.00
R/W			
PREV. OBLIGATION	\$71,000.00	\$71,000.00	\$0.00
THIS REQUEST	\$0.00	\$0.00	\$0.00
SUBTOTAL	\$71,000.00	\$71,000.00	\$0.00
CON			
PREV. OBLIGATION	\$0.00	\$0.00	\$0.00
THIS REQUEST	\$1,469,000.00	\$1,469,000.00	\$0.00
SUBTOTAL	\$1,469,000.00	\$1,469,000.00	\$0.00
OTH			
PREV. OBLIGATION	\$0.00	\$0.00	\$0.00
THIS REQUEST	\$0.00	\$0.00	\$0.00
SUBTOTAL	\$0.00	\$0.00	\$0.00
TOTAL:	\$1,629,000.00	\$1,629,000.00	\$0.00

STATE REMARKS

PREPARED IN FADS BY: DIKE, CHIGOZIE
 REVIEWED IN FADS BY: LOUIE, PATRICK
 SUBMITTED IN FADS BY: LOUIE, PATRICK
 PROCESSED IN FADS BY: FOGLE, JERILYNN
 E-76 AUTHORIZED DATE IN FMIS BY: JIYOUNG AHN

ON 2017-11-03 806-4709
 ON 2017-11-03 653-7349
 ON 2017-11-03 FOR CALTRANS
 ON 2017-11-07 FOR FHWA
 ON 2017-11-09 15:48:58.0



PE AUTHORIZATION EXERCISE



Exercise Scenario



Project Description

Your agency has programmed a federally funded project in the FTIP for the PE and CON phases to rehabilitate D Street from E. North Avenue to E. College Avenue.



Project Location



RFA Packages



The following items are to be submitted with the LAPM 3-A [(✓=required, ●=required if applicable)]. This list does not represent all documents required to be in the agency's project files. The District Local Assistance Engineer may request additional documents for authorization/adjustment.

Form	Document	PE	ROW	CON	NI
LAPM 3-A	Project Authorization/Adjustment Request	✓	✓	✓	✓
	FTIP	✓	✓	✓	✓
LAPM 6-F/6-G	NEPA		✓	✓	✓
LAPM 13-A/B	Right of Way Certification			✓	
LAPM 12-F	Cost Effective/Public Interest Finding	●	●	●	●
	PS&E Package			✓	
LAPM 12-D	PS&E Checklist			✓	
LAPM 9-D	DBE Contract Goal Methodology	●	●	✓	●
LAPM 7-B	Field Review Form	●	●	●	●



Exercise Scenario

- Assigned federally-funded road rehab project
- Programmed in FTIP (PE & CON)
- Provided documents for PE RFA exercise
 - LAPM 7-B (Field Review Form)
 - FTIP
 - Functional Classification Map
- Complete RFA (LAPM 3-A) as a group

Field Review (LAPM 7-B)



Local Assistance Procedures Manual

Exhibit 7-B
Field Review Form

Reset Form

EXHIBIT 7-B FIELD REVIEW FORM

Please complete information required in the shaded boxes

Local Agency	City/County of XXX	Field Review Date	10/19/2018
Project Number	STPL-7002(086)	Locator (Dst/Co/Rte/PM)	XX-YY-0
Project Name	D Street Rehabilitation	Bridge No.(s)	

1. PROJECT LIMITS (see attached list for various locations)

On D Street from E. North Avenue to E. College Avenue

Net Length (miles)	0.5	On NHS?	Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
--------------------	-----	---------	-----	--------------------------	----	-------------------------------------

2. WORK DESCRIPTION

Pavement Rehabilitation

ITS project or ITS element
(Signal, electronics,
communication and
information processing
will be ITS projects)

Yes ☐ No ☒

If yes, choose: High-Risk (formerly "Major") ITS ☐ Low-Risk (formerly "Minor") ITS ☐ Exempt ITS ☐

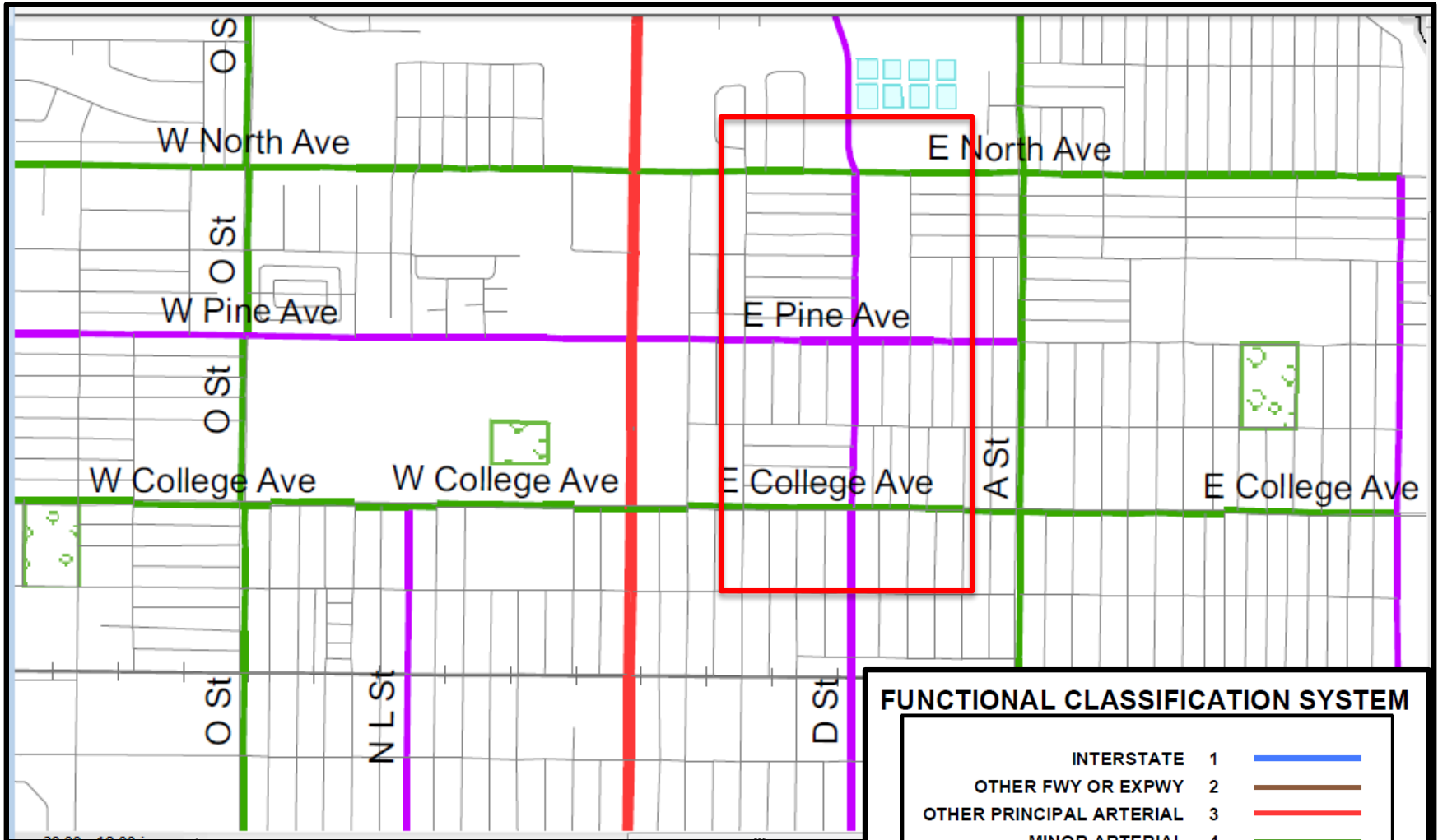


Field Review (LAPM 7-B)



3. FUNCTIONAL CLASSIFICATION				
On the Federal-aid System		Off the Federal-aid System		
<input type="checkbox"/>	Principal Arterial – Freeway or Expressway	<input type="checkbox"/>	Rural Minor Collector	
<input type="checkbox"/>	Other Principal Arterial	<input type="checkbox"/>	Local	
<input type="checkbox"/>	Minor Arterial	<input type="checkbox"/>	Bike/ Ped paths not on existing road	
<input type="checkbox"/>	Major Collector			
<input type="checkbox"/>	Urban Minor Collector			
4. STEWARDSHIP CATEGORY		Is a Project of Division Interest (PoDI) project?		
		Yes	<input type="checkbox"/>	No <input type="checkbox"/>
5. CALTRANS ENCROACHMENT PERMIT		Is it required?		
		Yes	<input type="checkbox"/>	No <input type="checkbox"/>
6. STATE ONLY FUNDS		Is State-Only Funded?		
		Yes	<input type="checkbox"/>	No <input type="checkbox"/>

CRS Map



FUNCTIONAL CLASSIFICATION SYSTEM

INTERSTATE	1	
OTHER FWY OR EXPWY	2	
OTHER PRINCIPAL ARTERIAL	3	
MINOR ARTERIAL	4	
MAJOR COLLECTOR	5	
MINOR COLLECTOR	6	
LOCAL	7	



Field Review (LAPM 7-B)



3. FUNCTIONAL CLASSIFICATION							
On the Federal-aid System		Off the Federal-aid System					
<input type="checkbox"/>	Principal Arterial – Freeway or Expressway	<input type="checkbox"/>	Rural Minor Collector				
<input type="checkbox"/>	Other Principal Arterial	<input type="checkbox"/>	Local				
<input type="checkbox"/>	Minor Arterial	<input type="checkbox"/>	Bike/ Ped paths not on existing road				
<input checked="" type="checkbox"/>	Major Collector						
<input type="checkbox"/>	Urban Minor Collector						
4. STEWARDSHIP CATEGORY		Is a Project of Division Interest (PoDI) project?					
		Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>		
5. CALTRANS ENCROACHMENT PERMIT		Is it required?		Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
6. STATE ONLY FUNDS		Is State-Only Funded?		Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>

Field Review (LAPM 7-B)



Local Assistance Procedures Manual

Exhibit 7-B
Field Review Form

7. COST ESTIMATE BREAKDOWN							
(Including Structures)			(\$1,000'S)	Federal Participation			
PE	Environmental Process		27.00	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
	Design		35.00	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
	ITS System Manager or Integrator			Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
CONST	Const. Contract		451.00	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
	Const. Engineering		91.00	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
R/W	Preliminary R/W Work			Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
	Acquisition			Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
	No. of Parcels			Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
	Easements			Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
	Right of Entry			Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
	RAP (No. Families)			Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
	RAP (No. Bus)			Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
	Utilities (Exclude if included in contract items)			Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
TOTAL COST			604.00				
7a. Value Engineering Analysis Required?				Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
(Yes, if total project costs are \$50M or more on the NHS, or \$40M or more for bridges on the NHS)							

Field Review (LAPM 7-B)



8. PROJECT ADMINISTRATION

		Agency	Consultant	State
PE	Environmental Process	✓		
	Design	✓		
	System Manager/Integrator			
R/W	All Work			
CONST ENGR	Contract	✓		
CONSTRUCTION	Contract		✓	
MAINTENANCE		✓		

9. SCHEDULES

Proposed Advertisement Date: 3/11/21

Other Critical Dates

10. PROJECT MANAGER'S CONCURRENCE

Local Entity Representative:

Date

Signature:

Phone

Title:

Date of Field Review:

(If not performed please attached justification to this form)

Field Review (LAPM 7-B)



Local Assistance Procedures Manual

Exhibit 7-B Field Review Form

Caltrans (District) Representative: (Attendance required if project is on NHS)	Date
Signature:	Phone
Title:	
FHWA Representative:	Date
Signature:	Phone
Title:	

11. LIST OF ATTACHMENTS (Including all appropriate attachments if field review is required. See the "[]" Notation for minimum required attachments for non-NHS projects.)

<input type="checkbox"/>	Field Review Attendance Roster or Caltrans Roster
<input type="checkbox"/>	Vicinity Map (Required for Construction Type Projects)

IF APPLICABLE (Complete as required depending on type of work involved)

<input type="checkbox"/>	Roadway Data Sheets [Req'd for Roadway projects]		
<input type="checkbox"/>	Typical Roadway Geometric Section(s) [Req'd for Roadway projects]		
<input type="checkbox"/>	Major Structure Data Sheet [Req'd for HBP]	<input type="checkbox"/>	Signal Diagram
<input type="checkbox"/>	Railroad Grade Crossing Data Sheet	<input type="checkbox"/>	Collision Diagram
<input type="checkbox"/>	Sketch of Each Proposed Alternate Improvement	<input type="checkbox"/>	CMAQ/RSTP State STIP Match
<input type="checkbox"/>	Existing Federal, State and Local ADA deficiencies not included on other Attachments		
<input type="checkbox"/>	System Engineering Review Form (SERF) Req'd for High-Risk (formerly "Major") and Low-Risk (formerly "Minor") ITS projects		

12. FIELD REVIEW NOTES

- A. MINUTES OF FIELD REVIEWS (See Attachment)
- B. ISSUES OR UNUSUAL ASPECTS OF PROJECT (See Attachment)



Programming (FTIP)



MPO ID: 206-0000-0429 PPNO: N/A EA#: N/A Capacity Status: NCI RTIP#: 19-00

TITLE: D St. Road Rehabilitation

DESCRIPTION: D St, from E. North Ave to E. College Ave: Pavement Rehabilitation

CHANGE REASON: New project input

	TOTAL	PRIOR	2018/2019	2019/2020	2020/2021	2021/2022	BEYOND	PE	RW	CON
STBGP	\$513		\$45		\$468			\$45		\$468
Local Funds	\$91		\$17		\$74			\$17		\$74
Total	\$604		\$62		\$542			\$62		\$542

RFA for PE (LAPM 3-A)

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STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION

PROJECT AUTHORIZATION/ADJUSTMENT REQUEST

LAPM-3A (NEW 11/2018)

3.2.9

Date 02/04/2019 <small>February, 2019</small>	Federal Project Number STPL-7002(086)	Agency City/County of XXX	Caltrans District 05	Congressional District 24
<div><div>Sun Mon Tue Wed Thu Fri Sat</div><div>27 28 29 30 31 1 2</div><div>Chris</div><div>10 11 12 13 14 15 16</div><div>17 18 19 20 21 22 23</div><div>24 25 26 27 28 1 2</div><div>D Street Rehabilitation</div><div>Today: 12/10/2018</div></div>	Title Project Manager	Email Chris@City.US	Phone (231) 563-8978	<div>18</div> <div>20</div> <div>24</div> <div>MULT</div>
Project Location On D Street from E. North Ave to E. College Ave.				
Description of Work Pavement Rehabilitation				
Functional Classification ▼	<input type="checkbox"/> Located on SHS	CRS Map No.	ITS Risk ▼	Project Oversight ▼
Freeway or Expressway	R/W <input type="checkbox"/> CON <input type="checkbox"/> CE <input type="checkbox"/> NI			Advance Construction <input type="checkbox"/>
Principal Arterial	R/W <input type="checkbox"/> CON <input type="checkbox"/> CE <input type="checkbox"/> NI			CTC Allocation Required <input type="checkbox"/>
Minor Arterial				Federal Amount Requested 0.00
Major Collector				
Urban Minor Collector				
Rural Minor Collector				
Local				
Other				



RFA for PE (LAPM 3-A)

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STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION

PROJECT AUTHORIZATION/ADJUSTMENT REQUEST

LAPM-3A (NEW 11/2018)

3.2.9

Date 02/04/2019	Federal Project Number STPL-7002(086)	Agency City/County of XXX	Caltrans District 05	Congressional District 24
Project Contact Chris	Title Project Manager	Email Chris@City.US	Phone (123) 456-7890	
Project Title D Street Rehabilitation				<input type="checkbox"/> HBP
Project Location On D Street from E. North Ave to E. College Ave.				
Description of Work Pavement Rehabilitation				
Functional Classification Major Collector	<input type="checkbox"/> Located on SHS	CRS Map No. 9T51	ITS Risk N/A	Project Oversight Locally Administered
Authorization <input type="checkbox"/> PE Adjustment <input type="checkbox"/> PE	<input type="checkbox"/> R/W <input type="checkbox"/> R/W	<input type="checkbox"/> CON <input type="checkbox"/> CON	<input type="checkbox"/> CE <input type="checkbox"/> CE	Estimated Completion Date AED 0.00

Exempt
High
Low
N/A

Locally Administered
State Administered
PODI - Locally Administered
PODI - State Administered



Project End Date (PED)



- Agreement End Date (AED)= Project End Date
- Period of Performance
 - Starts with initial federal authorization.
 - Ends with the PED
 - No reimbursable costs may be incurred after PED
 - PED will be established with initial authorization
 - PED is to be updated with subsequent authorizations



Project End Date (PED)



- Completion of PE and R/W is estimated as the anticipated advertising date.
- Completion of Construction is estimated as board/council acceptance of construction contract completion.
- PED is establish by adding 12 months to the Local agency's estimated date of completing the authorized phase of work.



Project End Date



Project End Date

Construction Fiscal Year	2020/2021	
Estimated Advertisement Date	3/11/2021	(Estimated Completion Date)
Project End Date (PED)	3/11/2022	

RFA for PE (LAPM 3-A)

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STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION

PROJECT AUTHORIZATION/ADJUSTMENT REQUEST

LAPM-3A (NEW 11/2018)

3.2.9

Date 02/04/2019	Federal Project Number STPL-7002(086)	Agency City/County of XXX	Caltrans District 05	Congressional District 24
Project Contact Chris		Title Project Manager	Email Chris@City.US	Phone (123) 456-7890
Project Title D Street Rehabilitation				<input type="checkbox"/> HBP
Project Location On D Street from E. North Ave to E. College Ave.				
Description of Work Pavement Rehabilitation				
Functional Classification Major Collector	<input type="checkbox"/> Located on SHS	CRS Map No. 9T51	ITS Risk N/A	Project Oversight Locally Administered
Authorization <input checked="" type="checkbox"/> PE	<input type="checkbox"/> R/W	<input type="checkbox"/> CON	<input type="checkbox"/> CE	<input type="checkbox"/> NI
Adjustment <input type="checkbox"/> PE	<input type="checkbox"/> R/W	<input type="checkbox"/> CON	<input type="checkbox"/> CE	<input type="checkbox"/> NI
Advance Construction <input type="checkbox"/>				CTC Allocation Required <input type="checkbox"/>
Estimated Completion Date March, 2021				AED 03/11/2022
0.00				

Sun	Mon	Tue	Wed	Thu	Fri	Sat
28	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31	1	2	3
4	5	6	7	8	9	10
Today: 12/10/2018						

PE Authorization (LAPM 3-A)



Warning: JavaScript Window -

P for Pro Lata or or L for Lump Sum.

OK

Authorization	<input checked="" type="checkbox"/> PE	<input type="checkbox"/> R/W	<input type="checkbox"/> CON	<input type="checkbox"/> CE	<input type="checkbox"/> NI	<input type="checkbox"/> Advance Construction	<input type="checkbox"/> CTC Allocation Required	Federal Amount Requested	\$45,000
Adjustment	<input type="checkbox"/> PE	<input type="checkbox"/> R/W	<input type="checkbox"/> CON	<input type="checkbox"/> CE	<input type="checkbox"/> NI				

PROJECT FUNDING

Previously Authorized Phase(s) ☐

	Federal Fund Type	Proj	her Funds	Reimb. Rate	P/L
PE	STBGP			72.58	L
<input type="checkbox"/> TC			\$0.00		
To			\$0.00		
			\$62,000	\$0.00	\$45,000
			\$0.00	\$0.00	\$17,000
			\$0.00		

ATP
CMAQ
DEMO
HBP
HSIP
STBGP
STIP

$$\text{Reimbursement Rate} = \frac{\text{Federal Fund Amount}}{\text{Federal Participating Cost}} = \frac{\$45,000}{\$62,000} = 72.58\%$$



PE Authorization (LAPM 3-A)

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STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION

Page 2 of 2

PROJECT AUTHORIZATION/ADJUSTMENT REQUEST

LAPM-3A (NEW 11/2018)

Date
02/04/2019Federal Project Number
STPL-7002(086)**PILOT****REQUIRED SUPPORTING DOCUMENTS**

Include the following items with this form [(✓ = required, ● = required if applicable)]. *This list does not represent all documents required to be in the agency's project files. The District Local Assistance Engineer may request additional documents for authorization/adjustment.*

Project Document	PE
FTIP Document (Include CMAQ Emissions Benefits Calculations, Back-up List and EPSP Approval if applicable)	✓
Cost-Effectiveness/Public Interest Finding (LAPM Exhibit 12-F)	●
DBE Contract Goal Methodology (LAPM Exhibit 9-D)	●



PE Authorization (LAPM 3-A)



RESPONSIBLE CHARGE CERTIFICATION

I certify that the information provided in this request is accurate and correct. Any changes to the project scope, cost, or schedule will be communicated to the District Local Assistance Engineer. 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 (FHWA) and California Department of Transportation relative to the above-designated project.

I understand that this Agency is responsible for all costs incurred prior to receiving authorization to proceed. In addition, this Agency will be responsible for all costs in excess of the federal and/or state funds encumbered to complete the above-designated project.

Signature of Full-Time Agency Employee in Responsible Charge

Date

Print Name

Title

REMARKS

--



Authorization Fatal Flaws

- Incorrect FTIP information or not programmed
 - Not enough programmed
 - Wrong fund type
 - Wrong phase programmed
 - Wrong FFY and no EPSP approved
 - Outside 4-year FTIP funding window
- DBE Agreements (LAPM 9-A & 9-B) not on file
- ADA Compliance (LAPM 9-C)
- Not current forms



ENVIRONMENTAL & FIELD REVIEW



Environmental Procedures



- Planning activity
- Evaluate natural & human setting
- Public input from hearings & meetings
- Required by laws – NEPA & CEQA
- CEQA – Local approves
- NEPA – Caltrans approves





Preliminary Environmental Studies (PES) Form



- Examines project effects on the environment
- Considers project alternatives (only EA and EIS)
- Determines needed studies to evaluate impacts
- Determine probable document

CE or EA or EIS?

PES Form (LAPM 6-A)



Chapter 6 Environmental Procedures		Local Assistance Procedures Manual																																																																																																					
EXHIBIT 6-A PRELIMINARY ENVIRONMENTAL STUDY (PES)		Exhibit 6-A Preliminary Environmental Study (PES) Form																																																																																																					
Federal Project No.: _____ Final Design: _____ <small>(Federal Program Prefix-Project No., Agreement No.) (Expre)</small>		<input type="checkbox"/> Regional map <input type="checkbox"/> Project location map <input type="checkbox"/> Project footprint map (existing/proposed right of way) <input type="checkbox"/> Engineering drawings (existing and proposed cross sections), if available <input type="checkbox"/> Borrow/disposal site location map, if applicable <small>(Note: all maps (except project location map and regional maps) should be consistent with the project description (minimum scale: 1" = 200').)</small> <input type="checkbox"/> Notes to support the conclusions of this checklist/project description continuation page (attached)																																																																																																					
To: _____ From: _____ <small>(District Local Assistance Engineer) (Local Agency)</small> _____ <small>(District) (Project Manager's Name and)</small> _____ <small>(Address) (Address)</small> _____ <small>(Email Address) (Email Address)</small>		Examine the project for potential effects on the environment, direct or indirect and answer the following questions. The "construction area," as specified below, includes all areas of ground disturbance associated with the project, including staging and stockpiling areas and temporary access roads. Each answer must be briefly documented on the "Notes" pages at the end of the PES Form.																																																																																																					
Is this Project "ON" the State Highway System? <input type="checkbox"/> Yes <input type="checkbox"/> No IF YES, STOP HERE and contact the District Local As regarding the completion of other environmental docume		A. Potential Environmental Effects																																																																																																					
Federal State Transportation Improvement Program (FSTIP) http://www.dot.ca.gov/hq/transprog/fedpgm.htm ; <small>(Currently Adopted Plan Date)</small> <small>(Page No)</small> http://www.dot.ca.gov/hq/transprog/oftmp.htm		<table border="1"><thead><tr><th></th><th>Yes</th><th>To Be Determined</th><th>No</th></tr></thead><tbody><tr><td colspan="4">General</td></tr><tr><td>1. Will the project require future construction to fully utilize the design capabilities included in the proposed project?</td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input checked="" type="checkbox"/></td></tr><tr><td>2. Will the project generate public controversy?</td><td><input type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input type="checkbox"/></td></tr><tr><td colspan="4">Noise</td></tr><tr><td>3. 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OB 13-02		Page 6-74																																																																																																					



Environmental Process – Timing



Environmental approval before final design, right of way, and construction (approximate only):

- Categorical Exclusion with studies – six months to 2 years
- EA/FONSI – 2 to 3 years
- Section 106 cultural/historical process – 1 month to 2 years
- EIS – 3 to 4 years

Avoid delay - start today



Field Review



- Brief project report with focus on federal regulations
- Field Review Form is required for E-76 requests (at least the first three pages)
- Formal vs. Informal field review
- Required formal review
 - Emergency Relief (DAF)
 - Significant NHS projects
 - > \$10M or
 - Involves unusual structures
 - Involves multiple agencies
 - Other complicating factors





Field Review Form (LAPM 7-B)



Local Assistance Procedures Manual

Exhibit 7-B
Field Review Form

EXHIBIT 7-B FIELD REVIEW FORM

Local Agency:	City/County of XXX	Field Review Date:	10/31/2016
Project Number:	STPL-7002(086)	Locator (Dst/Co/Rte/PM/Agncy):	XX-XXX-0-XX
Project Name:	D Street Road Rehabilitation	Bridge No.(s):	N/A

1. PROJECT LIMITS (see attached list for various locations):

On D Street from E. North Ave to E. College Ave

Net Length (miles):

2. WORK DESCRIPTION:

Pavement Rehab

ITS project or ITS element:	Yes:	No:	X	
If yes, choose: High-Risk (formerly "Major") ITS		Low-Risk (formerly "Minor") ITS:		Exempt ITS: 85

Quiz



- What must you do before you advertise?
Authorize
- T or F – Toll Credits need to be identified in the FTIP. **True**
- T or F - NEPA approval is equivalent to CEQA approval. **False**
- T or F - All Federal regulations must be followed in all phases of work even if there is federal funding only in one phase. **True....but...**
- No reimbursable costs may be incurred after this date. **Project End Date (PED)**



RIGHT OF WAY & UTILITIES



Right of Way Authorization



- Preliminary ROW
 - Preliminary ROW reimbursed under **E-76 for PE**
 - ROW planning studies and preliminary appraisals
- ROW Acquisitions and Utilities
 - Programmed and reimbursed under **E-76 for ROW** (after NEPA approval)
 - Appraisal and acquisition functions
 - Before first written offer
- Funding Eligibility
 - FTIP must match the E-76 request



Right of Way Certifications



Type	Description
Cert #1	Agency has legal & physical possession
Cert #2	Agency has physical possession & date for legal possession
Cert #3	Agency has no legal or physical possession, but has realistic dates (Caltrans HQ ROW approval)
Cert #3W	Same as Cert #3, but a “work around” area will not be cleared before construction begins (Caltrans HQ ROW approval)

NOTE: A Cert #3 must be elevated to a Cert #2 before bid opening



Right of Way Certification Forms



LAPM 13-A Short Form

- No ROW required
- Off State Highway System
- No ROW acquisition
- No relocations, no railroad
- No utilities
 - Other than cover adjustments

LAPM 13-B Long Form

- ROW required
- Off State Highway System
- ROW action necessary
 - Easements
 - Rights of entry
 - Acquisition



Utility Facilities – Liability



- Utility relocation costs are eligible only if necessary for construction & agency is legally responsible for costs
- Identify utility conflicts early in design
- Refer to Caltrans Right of Way Manual if on SHS

www.dot.ca.gov/programs/right-of-way/right-of-way-manual/complete-2019-manual

E-76 if agency is liable for cost



Utility Facilities - Authorization



- Utility Procedures
 - Map utilities & conflicts, develop plan, determine liability, notify owner, list utilities, relocate, manage work (LAPM 14-H)
- Federal Reimbursement
 - E-76 for utility relocation work [under ROW, but maybe CON (LAPM 14.2)]
 - Specific Authorization (LAPM 14-C)
 - Utility agreement approved by District Utility Coordinator
 - Provisions for non-federal utility activity
- Special Authorizations
 - Unforeseen work encountered during construction
 - Written submittal (LAPM 14-A) or
 - Verbal authorization given by District Utility Coordinator



Quiz



- What critical step must be completed before the ROW phase can be authorized? **NEPA approval**
- T or F A R/W Cert 3 must be elevated to a Cert 2 before Advertisement. **False, before bid opening**
- T or F The cost of utility relocations is reimbursable if it's necessary for the project and if the agency is liable to pay the cost. **True**
- T or F The 13-A can be used when land needs to be acquired for the project. **False**
- T or F Manhole cover adjustments are not a utility relocation. **False**



PLANS, SPECIFICATIONS & ESTIMATE (PS&E)



PS&E Requirement



- FHWA requires construction through competitive bids, and PS&E fulfills the requirement
 - **Legal:** Agreement between agency and contractor
 - **Obligations:** Fulfills federal obligations
 - **Checklist:** Identifies where specs are found
 - **Certification:** Agency certifies that PS&E meets federal requirements



- Local Assistance Procedures Manual

EXHIBIT 15-C
PS&E Certification

PS&E CERTIFICATION

Local Agency Letterhead

To: *(District Local Assistance Engineer's name)* *(Federal Number)*
 District Local Assistance Engineer *(Project Description)*
 Caltrans, Office of Local Assistance
(District Address)

Dear *(District Local Assistance Engineer's name)*:

With submission of the attached PS&E CHECKLIST for the above subject project, I hereby certify that the project was designed and prepared for advertisement in accordance with the *Local Assistance Procedures Manual* produced by the California Department of Transportation (Caltrans).

I understand Caltrans may not be performing a review of this PS&E at this time but that all documents relating to this project are subject to review by the Federal Highway Administration (FHWA) and/or Caltrans in order to verify this PS&E certification. I also understand if deficiencies are found in subsequent review the following actions will be considered:

 - Where minor deficiencies are found, PS&E certification for future projects may be conditioned or not accepted until the deficiencies are corrected.
 - Where deficiencies are of such magnitude as to create doubt that the policies and objectives of Title 23 of the United States Code (or other applicable federal and State laws) will not be accomplished by the project, federal funding may be withdrawn.

(Signature, Title)

(Local Agency)

Professional Registration Number: _____

Expiration Date: _____

Attachment

Standard Plans & Specifications



- State Standard
 - May be used on local streets
 - Required on State Highway
- Local jobs
 - State Standard or
 - APWA “Greenbook” or
 - Locally approved Standard



dot.ca.gov/programs/engineering-services/manuals



Engineer's Estimate



- Participating/Non-participating work
- Contract items
- Agency-furnished materials (need Public Interest Finding (PIF – LAPM 12-F) per 23 CFR 635.407)
- Contingencies
- Construction engineering
- Force Account work (need PIF)
- Proprietary/sole source items (need PIF)



Final Design & Construction Methods



- Final Design
 - NEPA approval date must be prior to final design (by at least one day), or project is ineligible for federal funds
- Construction Methods
 - **Contract:** required method with competitive bids
 - **Force Account:** PIF to justify time and materials with no PS&E or competitive bidding



PS&E Package



- Accompanies PS&E for E-76 construction requests
- Contents includes:
 - PS&E Certification (LAPM 12-D)
 - PS&E documents
 - Engineer's cost estimate
 - PS&E Checklist
 - Reviewed and signed by Caltrans

CONTRACT NO. 11-298604
The special provisions contained herein have been prepared by or under the direction of the following Registered Persons.

HIGHWAY
Donald F. Martinez
REGISTERED CIVIL ENGINEER

ELECTRICAL (HIGHWAY)
David C. Boushady
REGISTERED CIVIL ENGINEER

LANDSCAPE
LICENSED LANDSCAPE ARCHITECT

REPRODUCTION AUTHORIZATION
11-298604-1
DIST-00-000-000
11-298604-1-11.1/12.4

PRELIMINARY ESTIMATE OF COST
DATE 10 08 12
PAGE 2

ITEM	ITEM DESCRIPTION	QUANTITY	PRICE	AMOUNT
13 130101	TEMPORARY CHAIN CURB AND RAIL	SA	100.00	10,000.00
14 150001	REMOVE TRUCK	LF	10.00	1,000.00
15 150002	REMOVE METAL BEAM GRASS RAILING	LF	5.00	50,000.00
16 150011	REMOVE RASPBERRY TRAFFIC BARRIER	LF	40.00	24,000.00
17 150012	REMOVE ASPHALT CONCRETE DECK	LF	10.00	20,000.00
18 150013	ADJUST FRAME AND GRATE TO GRADE	SA	2.00	2,000.00
19 150014	COLD PLANT ASPHALT CONCRETE PAVEMENT	ASPH	10.00	70,000.00
20 150015	REMOVE CONCRETE (MICROCONCRETE) (CY)	CY	100.00	10,000.00
21 150016	REMOVE CHAIN CURB AND RAIL	SA	2.00	1,000.00
22 160011	CLEANING AND GRUBBING	1000 SQM	12,000.00	12,000.00
23 160012	ROADWAY RECONSTRUCTION	CY	100.00	11,000.00
24 160013	ROADWAY RECONSTRUCTION (TYPE 5-2) (ANNUALLY REPAIRED ROAD)	CY	100.00	10,000.00
25 160014	LAND COMPLIANCE PLAN	1000 SQM	5,000.00	5,000.00
26 160015	ROADWAY PLANTING	1000 SQM	20,000.00	20,000.00
27 160016	PLANT REINFORCEMENT WORK	1000 SQM	20,000.00	20,000.00
28 160017	MAINTAIN EXISTING IRRIGATION FACILITIES	1000 SQM	10,000.00	10,000.00
29 160018	IRRIGATION SYSTEM	1000 SQM	20,000.00	20,000.00



Quiz



- T or F For all federal-aid projects, FHWA Form-1273 must be physically incorporated into each executed contract and subcontract?
True - Absolutely
- T or F Contractors must pay the higher of either the minimum federal wage rates or state prevailing wage rates. **True**
- T or F A non-collusion certification is required from all bidders. **True**



CONSTRUCTION AUTHORIZATION EXERCISE

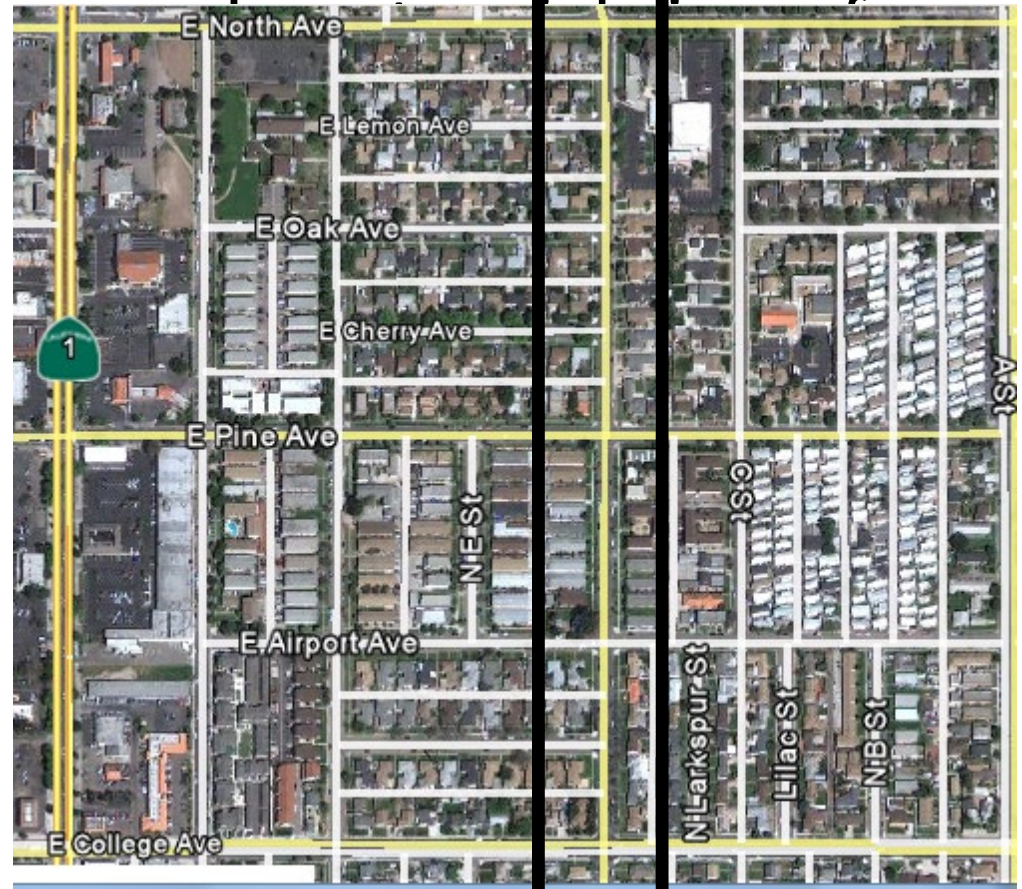


Exercise Scenario



Project Description

Your agency has programmed a federally funded project in the FTIP for the PE and CON phases to rehabilitate D Street from E. North Avenue to E. College Avenue.



Project Location



RFA Packages



The following items are to be submitted with the LAPM 3-A [(✓=required, ●=required if applicable)]. This list does not represent all documents required to be in the agency's project files. The District Local Assistance Engineer may request additional documents for authorization/adjustment.

Form	Document	PE	ROW	CON	NI
LAPM 3-A	Project Authorization/Adjustment Request	✓	✓	✓	✓
	FTIP	✓	✓	✓	✓
LAPM 6-F/6-G	NEPA		✓	✓	✓
LAPM 13-A/B	Right of Way Certification			✓	
LAPM 12-F	Cost Effective/Public Interest Finding	●	●	●	●
	PS&E Package			✓	
LAPM 12-D	PS&E Checklist			✓	
LAPM 9-D	DBE Contract Goal Methodology	●	●	✓	●
LAPM 7-B	Field Review Form	●	●	●	●



Exercise Scenario

- Provided documents for Construction Authorization
 - FSTIP
 - NEPA
 - LAPM 13-A (Right of Way Certification)
 - LAPM 7-B (Field Review Form)
 - LAPM 12-D (PS&E Checklist)
 - LAPM 15-A (Local Agency Construction Checklist)
- Complete RFA (LAPM 3-A) as a group



Programming (FTIP)



MPO ID: 206-0000-0429 PPNO: N/A EA#: N/A Capacity Status: NCI RTIP#: 19-00

TITLE: D St. Road Rehabilitation

DESCRIPTION: D St, from E. North Ave to E. College Ave: Pavement Rehabilitation

CHANGE REASON: New project input

	TOTAL	PRIOR	2018/2019	2019/2020	2020/2021	2021/2022	BEYOND	PE	RW	CON
STBGP	\$513		\$45		\$468			\$45		\$468
Local Funds	\$91		\$17		\$74			\$17		\$74
Total	\$604		\$62		\$542			\$62		\$542



NEPA



CATEGORICAL EXEMPTION/CATEGORICAL EXCLUSION DETERMINATION FORM

XX-XXX-0-XX

STPL-7002(086)

Dist./Co./Rte. (or Local Agency) P.M./P.M. E.A./Project No. Federal Aid Project No. (Local Project)/Project No.

NEPA COMPLIANCE

In accordance with 23 CFR 771.117, and based on an examination of this proposal and supporting information, the State has determined that this project:

- does not individually or cumulatively have a significant impact on the environment as defined by NEPA, and is excluded from the requirements to prepare an Environmental Assessment (EA) or Environmental Impact Statement (EIS), and
- has considered unusual circumstances pursuant to 23 CFR 771.117(b).

CALTRANS NEPA DETERMINATION (Check one)

- ☒ **23 USC 326:** The State has determined that this project has no significant impacts on the environment as defined by NEPA, and that there are no unusual circumstances as described in 23 CFR 771.117(b). As such, the project is categorically excluded from the requirements to prepare an EA or EIS under the National Environmental Policy Act. The State has been assigned, and hereby certifies that it has carried out the responsibility to make this determination pursuant to Chapter 3 of Title 23, United States Code, Section 326 and a Memorandum of Understanding dated May 31, 2016, executed between the FHWA and the State. The State has determined that the project is a Categorical Exclusion under:

☒ **23 CFR 771.117(c): activity (c)(26)**

☐ **23 CFR 771.117(d): activity (d)(___)**

☐ **Activity ___ listed in Appendix A of the MOU between FHWA and the State**

- ☐ **23 USC 327:** Based on an examination of this proposal and supporting information, the State has determined that the project is a Categorical Exclusion under 23 USC 327. The environmental review, consultation, and any other actions required by applicable Federal environmental laws for this project are being, or have been, carried out by Caltrans pursuant to 23 USC 327 and the Memorandum of Understanding dated December 23, 2016 and executed by FHWA and Caltrans.

Environmental Chief

Print Name: Senior Environmental Planner or
Environmental Branch Chief

Signed

Signature

10/30/2018

Date

DLAE

Print Name: Project Manager/DLA Engineer

Signed

Signature

10/31/2018

Date

ROW Cert (LAPM 13-A)



EXHIBIT 13-A SHORT FORM RIGHT OF WAY CERTIFICATION LOCAL ASSISTANCE PROJECT

City/County of XXX

NAME OF THE LOCAL PUBLIC AGENCY

NOTE:

This form is intended for projects that do NOT require R/W acquisition, relocation assistance, have NO railroad involvement, and the **ONLY Utility Relocation** involvement is limited to utility cover adjustments.

For each item below, except Item 5, select the ONE option most suitable to your project. If the chosen option directs you to use Exhibit 13-B, please stop. This Short Form is not applicable to your project.

STPL-7002(086)

Project ID

On D St from E. North Ave to E. College Ave

Project Location

Pavement Rehabilitation

General Description

provisions. If this box is checked, please use Exhibit 13-B.

3. MATERIAL SITE(S)

☒ None required.

☐ Material site(s) required. If this box is checked, please use Exhibit 13-B.



ROW Cert (LAPM 13-A)



5. STATUS OF REQUIRED UTILITY RELOCATION (Check all that apply)

- ☐ No relocation required, therefore Buy America requirements do not apply. Existing utilities located within project limits are shown on Project Plan.
- ☐ Project is not covered by NEPA document; therefore, Buy America requirements do not apply.
- ☐ Utility Agreements are not required on this project; therefore, Buy America requirements do not apply.
- ☒ Utility involvement is limited to adjusting UTILITY COVERS (manhole cover, water valve cover, and box lids) to grade and said work is compliant with all terms and conditions under MAP-21 including Buy America requirements. **If this box is checked, please complete page 5 of this form entitled “Utility Cover Adjustment Summary” and provide a copy of the Specific Authorization if federally participating.**
- ☐ All utility work (other than the adjustment of utility covers) has been completed. **If this box is checked, please use Exhibit 13-B.**
- ☐ All utility work (other than the adjustment of utility covers) will be completed by a stated date prior to award of the contract. **If this box is checked, please use Exhibit 13-B.**
- ☐ All necessary arrangements have been made for the completion of all remaining utility work (other than the adjustment of utility covers) required to be coordinated with project construction. Arrangements have been made with the owners of all utility encroachments which will remain within the right of way of the project so that adequate control of the right of way will be achieved. **If this box is checked, please use Exhibit 13-B.**
- ☐ Utility facilities (other than the adjustment of utility covers) will be relocated by the Project’s Contractor under bid items. **If this box is checked, please use Exhibit 13-B.**



12. INDEMNIFICATION BY LOCAL AGENCY

ROW Cert (LAPM 13-A)



This Local Public Agency agrees to indemnify, defend, and hold harmless the Department of Transportation (Caltrans) from any and all liabilities which may result in the event the right of way for this project is not clear as certified. LPA shall pay from its own non-matching funds, any costs which arise out of delays to the construction of the project because utility facilities have not been removed or relocated, or because rights of way have not been made available to LPA for the orderly performance of the project work.

LOCAL PUBLIC AGENCY

Project ID: STPL-7002(086)

Authorized Resolution No.:

Dated:

By: Authorized Sponsoring Agency Staff

Title: _____

Date: 12/17/2018

CALTRANS ACCEPTANCE

The undersigned Caltrans Official has reviewed this Right of Way Certification as to form and content. Based on the review of the documents submitted, the Certificate is accepted on behalf of the local public agency. It remains the sole responsibility of the local public agency to ensure compliance with the Uniform Act.

Accepted as to form and content:

By: Caltrans Right of Way

Title: _____

Date: 12/18/2018

By: _____

Title: _____

Date: 12/17/2018

By: _____

Title: _____

Date: 12/18/2018

ROW Cert (LAPM 13-A)



Local Assistance Procedures Manual

EXHIBIT 13-A

Short Form Right of Way Certification Local Assistance Project

b) UTILITY COVER ADJUSTMENTS WILL BE PERFORMED BY PROJECT CONTRACTOR

Bid Item #	Notice # & Notice Date	Utility Agreement Date	Owner	Liability % Owner/LPA	Type of Facility	Federal Participation Yes (Y)* No (N)
3	###	###	City	100/100	Manhole Cover	Yes
4	###	###	Gas Company	100/0	Gas Valve Cover	NO

*Include copy of Specific Authorization

c) FEDERAL PARTICIPATION

<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	The adjustments comply with the 23 CFR 645.119 and the R/W Utility Relocation process in Chapter 14 of the Local Assistance Procedures Manual (LAPM)
<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	These adjustments are required as the direct result of the proposed construction activities and the local agency is legally liable to pay for the adjustment
<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Adjustments specified for Federal participation have received FHWA Specific Authorization (Exhibit 14-C, LAPM) approval? If “no”, not federally participating.



FHWA Specific Authorization/Approval of Utility Agreement (LAPM 14-C)



OWNER'S NAME:	City/County of XXX		
PROJECT DESCRIPTION	Pavement Rehabilitation on D Street from E. North Ave to E. College Ave		
NOTICE NUMBER:	#####	UA NUMBER:	
E-76 ALT PROC APPROVED:		PROJECT ID or EA:	
STATUS			
CERTIFICATION			
DATE:	12/17/2018	RELOCATION COST ESTIMATE:	\$ 10,000
DESCRIPTION OF RELOCATION WORK:	Adjust manholes to grade		
REMARKS:	<p><input checked="" type="checkbox"/> THE UTILITY RELOCATION WORK AUTHORIZED COMPLIES WITH THE PROCEDURES IN 23 CFR 645.</p> <p><input type="checkbox"/> THE UTILITY AGREEMENT APPROVED COMPLIES WITH THE PROCEDURES IN 23 CFR 645.</p> <p><input type="checkbox"/> THE PROPOSED ADJUSTMENT OF UTILITY FACILITIES TO BE PERFORMED BY THE LOCAL AGENCY'S HIGHWAY CONTRACTOR IS APPROVED. PAYMENT FOR THE UTILITY ADJUSTMENT WILL BE VOUCHERED THROUGH THE CONSTRUCTION PHASE. THEREFORE, THE AUTHORIZATION DATE FOR THIS WORK WILL BE THE DATE THAT FHWA APPROVES THE CONSTRUCTION PROJECT.</p>		
EFFECTIVE DATE:	12/18/2018	BY:	Caltran Utility Coordinator (District Right of Way Utility Coordinator)

CON/CE AUTHORIZATION (LAPM 3-A)



STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION	
PROJECT AUTHORIZATION (LAPM-3A) (NEW 11/2018)	
Date	Federal Project Number
02/04/2019	STPL-7002(086)
Project Contact	
Chris	
Project Title	
D Street Rehabilitation	
Project Location	
On D Street from E. North	
Description of Work	
Pavement Rehabilitation	
Functional Classification	
Major Collector	
Authorization	<input type="checkbox"/> PE
Adjustment	<input type="checkbox"/> PE
<input type="checkbox"/> RW	<input type="checkbox"/> CON
<input type="checkbox"/> CE	<input type="checkbox"/> NT

Project End Date (PED)

- Established by adding 12 months to the Local **Agency's** estimated date of completing the authorized phase of work.
- Completion of Construction is estimated as board/council acceptance of construction contract completion.

Project End Date (PED)	
Anticipated Award Date	6/1/2020
Number of Working Days	180
Anticipated Contract Acceptance Date	6/1/2021
Project End Date	6/1/2022

Reset Form

Page 1 of 2

3.29

Congressional District 24

Phone (123) 456-7890

☐ HBP

Completion Date AED 06/01/2021 06/01/2022

Amount 0.00

CON/CE AUTHORIZATION (LAPM 3-A)



Authorization	<input type="checkbox"/> PE	<input type="checkbox"/> R/W	<input checked="" type="checkbox"/> CON	<input checked="" type="checkbox"/> CE	<input type="checkbox"/> NI	<input type="checkbox"/> Advance Construction	<input type="checkbox"/> CTC Allocation Required	Federal Amount Requested	0.00
Adjustment	<input type="checkbox"/> PE	<input type="checkbox"/> R/W	<input type="checkbox"/> CON	<input type="checkbox"/> CE	<input type="checkbox"/> NI				

PROJECT FUNDING

Previously Authorized Phase(s) ☒ PE ☐ R/W ☐ CON ☐ CE ☐ NI

	Federal Fund Type	Project Cost	Federal Participating Cost	Federal Funds	State Match Funds	Local Match Funds	Other Funds	Reimb. Rate	P/L
CON	<input type="text" value="CON"/>	\$0.00						N/A	
<input type="checkbox"/> TC									
<input type="checkbox"/> FA									
	CON subtotals	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00		
CE	<input type="text" value="CE"/>	\$0.00						N/A	
<input type="checkbox"/> TC									
<input type="checkbox"/> SF									
	CE subtotals	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00		
	Total Project Cost	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00		

CON/CE AUTHORIZATION (LAPM 3-A)



PROJECT FUNDING

Previously Authorized Phase(s) ☒ PE ☐ R/W ☐ CON ☐ CE ☐ NI

	Federal Fund Type	Project Cost	Federal Participating Cost	Federal Funds	State Match Funds	Local Match Funds	Other Funds	Reimb. Rate	P/L
PE	PREVIOUS AUTHORIZATIONS	\$62,000	\$62,000	\$45,000		\$17,000		72.58	
<input type="checkbox"/> TC	PE subtotals	\$62,000	\$62,000	\$45,000	\$0.00	\$17,000	\$0.00		
CON		\$0.00						N/A	
<input type="checkbox"/> TC	CON subtotals	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00		
<input type="checkbox"/> FA									
CE		\$0.00						N/A	
<input type="checkbox"/> TC	CE subtotals	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00		
<input type="checkbox"/> SF									
Total Project Cost		\$62,000	\$62,000	\$45,000	\$0.00	\$17,000	\$0.00		

COST ESTIMATE

Detail your project costs with the cost estimate template(s) created on the following pages (applicable templates are created based on the phases selected for authorization and/or adjustment).

If the cost estimate template(s) created cannot be used or a different format is preferred (e.g., Excel spreadsheet), indicate which phase(s) other documentation will be submitted to support your authorization and/or adjustment request:

Any existing inputs and calculations on cost estimate templates will be cleared when selected.

☒ Construction/Construction Engineering

CON/CE AUTHORIZATION (LAPM 3-A)

[Print Request](#)[Instructions](#)[Reset Form](#)

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION

Page 2 of 3

PROJECT AUTHORIZATION/ADJUSTMENT REQUEST

LAPM-3A (NEW 11/2018)

Date

Federal Project Number

CONSTRUCTION COST ESTIMATE ☐ *Multiple Federal Fund Types*☐ Agency Furnished Materials ☐ Trainees ☐ Force Account
☐ Supplemental Work ☐ State Furnished CE ☐ Other

Item #	Item Description	Unit	Qty	Unit Price	Item Cost	Participating Amount	Non-Participating Amount
1	Asphalt Concrete	Ton	1,900	\$100	\$190,000	\$190,000	
Contract Items Subtotal					\$190,000	\$190,000	\$0.00
Contingencies Subtotal 0 %					\$0.00	\$0.00	\$0.00
Construction (CON) Subtotal					\$190,000	\$190,000	\$0.00
Construction Engineering (CE) Subtotal 0 %					\$0.00	\$0.00	\$0.00
TOTAL AMOUNT FOR CONSTRUCTION PHASE					\$190,000	\$190,000	\$0.00

CON/CE AUTHORIZATION (LAPM 3-A)



Item #	Item Description	Unit	Qty	Unit Price	Item Cost	Participating Amount	Non-Participating Amount	
1	Asphalt Concrete	Ton	1,900	\$100.00	\$190,000.00	\$190,000.00		+
2	Thermoplastic Striping	LF	20,000	\$5.00	\$100,000.00	\$100,000.00		+
3	Adjust Manhole Cover	EA	10	\$1,000.00	\$10,000.00	\$10,000.00		+
4	Adjust Gas Valve Cover	EA	10	\$1,000.00	\$10,000.00		\$10,000.00	+
5	Construction Signs	LS	1	\$5,000.00	\$5,000.00	\$5,000.00		+
6	Sidewalk Repair	LS	1	\$95,000.00	\$95,000.00	\$95,000.00		+
Contract Items Subtotal					\$410,000.00	\$400,000.00	\$10,000.00	
Contingencies Subtotal 10%					\$41,000	\$41,000	\$41,000	
Construction (CON) Subtotal					\$451,000	\$440,000	\$1,000	
Construction Engineering (CE) Subtotal 20%					\$90,200	\$88,000	\$2,200	
TOTAL AMOUNT FOR CONSTRUCTION PHASE					\$541,200	\$528,000	\$13,200	

CON/CE AUTHORIZATION (LAPM 3-A)



PROJECT FUNDING

Previously Authorized Phase(s) ☒ PE ☐ R/W ☐ CON ☐ CE ☐ NI

	Federal Fund Type	P	Warning: JavaScript Window -	er Funds	Reimb. Rate	P/L
PE	PREVIOUS AUTHORIZATIONS		\$62,000 for \$62,000 for \$62,000 \$62,000	\$62,000	72.58	
<input type="checkbox"/> TC	PE subtotals		\$62,000 \$62,000 \$62,000 \$62,000	\$62,000		
CON	STBGP		\$451,000 \$440,000 \$389,532 \$50,468	\$11,000	88.53	P
<input type="checkbox"/> TC	ATP		\$451,000 \$440,000 \$389,532	\$11,000		
<input type="checkbox"/> FA	CMAO					
CE	STBGP		\$90,200 \$88,000 \$77,906 \$10,094	\$2,200	88.53	P
<input type="checkbox"/> TC	HBP		\$90,200 \$88,000 \$77,906 \$10,094	\$2,200		
<input type="checkbox"/> SF	HSIP					
T	STBGP		\$603,200 \$590,000 \$512,438 \$77,562	\$13,200		
	STB					

$$\text{Reimbursement Rate} = \frac{\text{Federal Fund Amount}}{\text{Federal Participating Cost}} = \frac{\$77,906}{\$88,000} = 88.53\%$$

$$\text{Reimbursement Rate} = \frac{\text{Federal Fund Amount}}{\text{Federal Participating Cost}} = \frac{\$77,906}{\$440,000} = 88.53\%$$

Construction Engineering (CE) Subtotal 20%	\$90,200.00	\$88,000.00	\$2,200.00
TOTAL AMOUNT FOR CONSTRUCTION PHASE	\$541,200.00	\$528,000.00	\$13,200.00

CON/CE AUTHORIZATION (LAPM 3-A)



Authorization	<input type="checkbox"/> PE	<input type="checkbox"/> R/W	<input checked="" type="checkbox"/> CON	<input checked="" type="checkbox"/> CE	<input type="checkbox"/> NI	<input type="checkbox"/> Advance Construction	<input type="checkbox"/> CTC Allocation Required	Federal Amount Requested \$467,438.00
Adjustment	<input type="checkbox"/> PE	<input type="checkbox"/> R/W	<input type="checkbox"/> CON	<input type="checkbox"/> CE	<input type="checkbox"/> NI			

PROJECT FUNDING

Previously Authorized Phase(s) ☒ PE ☐ R/W ☐ CON ☐ CE ☐ NI

	Federal Fund Type	Project Cost	Parti	Local Match Funds	Other Funds	Reimb. Rate	P/L
PE	PREVIOUS AUTHORIZATIONS	\$62,000.00	\$62,000.00	\$45,000.00	\$17,000.00	72.58	

RTIP#: 19-00

DESCRIPTION: D St, from E. North Ave to E. College Ave: Pavement Rehabilitation

CHANGE REASON: New project input

	TOTAL	PRIOR	2018/2019	2019/2020	2020/2021	2021/2022	BEYOND	PE	RW	CON
STBGP	\$513		\$45		\$468			\$45		\$468
Local Funds	\$91		\$17		\$74			\$17		\$74
Total	\$604		\$62		\$542			\$62		\$542



PS&E Checklist (LAPM 12-D)



I. HIGHWAY SYSTEM AND FUNCTIONAL CLASSIFICATION (Check applicable box)

A. National Highway System

☐

On the National Highway System (NHS)

☒

Off the NHS

B. Functional Classification (Check as many as appropriate)

II. PROJECT SCOPE OF WORK (Check applicable box)

☒

PS&E is consistent with the scope of work identified in a scoping document or application.

☐

PS&E is consistent with the scope of work that was revised during a later phase of development and appropriate approvals were obtained.

III.

III. TYPE OF CONSTRUCTION (Check applicable box)

IV. METHOD OF CONSTRUCTION

A. Contracting Method (Check appropriate box)

☒

Competitive bidding

☐

Other than competitive bidding. (If the contracting method is other than competitive bidding, check the appropriate box below).

☐

The project is "Delegated" (subject to minimal FHWA oversight). A Public Interest Finding has been submitted to the DLAE for approval and filed in the contract records justifying the method.

☐

The project is "High Profile" (subject to a higher degree of FHWA oversight). A Public Interest Finding justifying the method has been submitted and approved by Caltrans and FHWA.

B. Force Account (Day Labor) (Check appropriate box)

☐

The entire work will be constructed by contract as indicated above.

☐

Some work (incidental to the main purpose of the project) will be constructed by Force Account.



PS&E Checklist (LAPM 12-D)



Local Assistance Procedures Manual	Exhibit 12-D PS&E Checklist
<div><input type="checkbox"/> A Public Interest Finding approved by the DLAE is on file in the contract records justifying the work.</div> <div><input type="checkbox"/> The entire project will be constructed by Force Account (Day Labor). (If the entire project will be constructed by Force Account check the appropriate box below).</div> <div><input type="checkbox"/> The project is "Delegated" (subject to minimal FHWA oversight). A Public Interest Finding has been submitted to the DLAE for approval and filed in the contract records justifying the method.</div> <div><input type="checkbox"/> The project is "High Profile" (subject to a higher degree of FHWA oversight). A Public</div>	
V. ENVIRONMENTAL ANALYSIS (Check box if requirement is met)	
VI. VALUE ENGINEERING ANALYSIS (VA) (NHS projects only - Check appropriate box) <div><input type="checkbox"/> VA has been performed on this project and a copy of the analysis has been submitted to the DLAE for forwarding to the Caltrans District Value Analysis Coordinator.</div>	
VII. GEOMETRIC DESIGN STANDARDS (Complete this section only if project changes existing geometrics) <div><input type="checkbox"/> Current Caltrans Design Standards (on State Highway System)</div>	
VIII. BRIDGE DESIGN PROCEDURES <div><input type="checkbox"/> All bridges have been designed in accordance with the current edition of the Caltrans Bridge Design Specifications Manual and the latest California Amendments to the AASHTO LRFD Bridge Design</div>	
IX. STANDARD PLANS <div><div><input type="checkbox"/> Current Caltrans <i>Standard Plans</i></div><div><input type="checkbox"/> <i>Standard Plans for Public Works Construction</i></div><div><input checked="" type="checkbox"/> Local Approved Standard Plans: 10/01/2016 Date signed (on behalf of the local agency) by a person in responsible charge and who is a registered professional engineer licensed to practice in the State of California.</div></div>	
<div>Page 2 of 7</div>	



PS&E Checklist (LAPM 12-D)



Local Assistance Procedures Manual

Exhibit 12-D
PS&E Checklist

X. PROJECT PLANS AND SPECIFICATIONS

- ☒ Cover sheet of plans and specifications signed and stamped on behalf of the local agency by the person in responsible charge, and who is a registered professional engineer licensed to practice in the State of California.
- ☒ Traffic Control Plans or reference to Standard Plan and Signs/Striping Plans included. (Note:

X. PROJECT PLANS AND SPECIFICATIONS

- ☒ Cover sheet of plans and specifications signed and stamped on behalf of the local agency by the person in responsible charge, and who is a registered professional engineer licensed to practice in the State of California.
- ☒ Traffic Control Plans or reference to Standard Plan and Signs/Striping Plans included. (Note: Additionally, Traffic Management Plans are required to be on file for all reconstruction, rehabilitation, and other projects [including projects on the State Highway System not funded by the State], if significant traffic delays are anticipated and as a result from project activities).
- ☒ Erosion Control Plan.
- ☒ Americans with Disabilities Act (ADA) is being fully complied with including *Federal ADA Standards for Accessible Guidelines for Buildings and Facilities (ADAAG)*, Title 24 of the California Code of

XI. STANDARD SPECIFICATIONS USED

- ☐ Current Caltrans *Standard Specifications and Standard Special Provisions*
- ☐ *Standard Specifications for Public Works Construction (Green Book)*
- ☒ Locally Approved Standard Specifications

- ☒ 10. Prompt Payment of Funds withheld from Subcontractors or equivalent provisions are included..... ##
- ☒ 11. FHWA Form 1273 - An unmodified copy of FHWA Form 1273 *Required Contract Provisions: Federal-aid Construction Contracts* (1273 Revised May 1, 2012) has been physically incorporated into the executed contract..... ##
- ☐ All sections of the FHWA Form 1273 apply to this project



Local Agency Construction Contract Administration Checklist (LAPM 15-A)



I ADVERTISE AND AWARD PROJECT

A. Project Advertisement

- ☒ Projects are not advertised until the Authorization to Proceed (E-76) for the

B. Contract Bid Opening

- ☒ All bids are opened publicly and read aloud either item-by-item, or by total amount. If a bid is not read, the bidder is to be identified and the reason for not reading the bid announced (15.5 "Contract Bid Opening")

The following documents will be completed and retained in the project files.

- ☒ For federal-aid projects, a list of bidders and total amount bid with an item-by-item breakdown (Exhibit 15-D, "Sample Bid Tabulation Summary Sheet") of the three

C. Contract Award

- ☒ Contracts are awarded on the basis of the lowest responsive bid from a responsible bidder (15.6 "Contract Award").
- ☒ For all NHS projects, a bid analysis will be performed (15.6 "Contract Award").
- ☒ No negotiations with contractor occurred prior to award (not allowed).



Local Agency Construction Contract Administration Checklist (LAPM 15-A)



EXHIBIT 15-A

Local Agency Construction Contract Administration Checklist

Local Assistance Procedures Manual

The following documents will be forwarded to the Caltrans District Local Assistance Engineer immediately after award of the contract:

- ☒ Contract Award Checklist (Exhibit 15-L)
- ☒ Detail Estimate (Exhibit 15-M)
- ☒ One copy of the Local Agency Bidder DBE Commitment (Construction Contracts) (Exhibit 15-G)
- ☒ Finance Letter (Exhibit 3-O)
- ☒ Resident Engineer Construction Administration Checklist (Exhibit 15-B)

D. Subcontracting

- ☒ For all federal-aid transportation projects, at least 30% of the contract work is to be performed by the prime contractor (see Chapter 16, Section 16.6 "Subcontractors")

Local agency's person in "Responsible Charge"

(date)

Distribution: (1) Original Local Agency Project File
(2) One copy - DLAE

Page: 2 of 2
January 2016



Authorization Fatal Flaws

- Incorrect FTIP information or not programmed
 - Not enough programmed
 - Wrong fund type
 - Wrong phase programmed
 - Wrong FFY and no EPSP approved
 - Outside 4-year FTIP funding window
- DBE Agreements (LAPM 9-A & 9-B) not on file
- ADA Compliance (LAPM 9-C)
- Not current forms
- Missing/Inaccurate PED



Authorization Fatal Flaws



- QAP not on file or current (5-year life)
- Estimate doesn't match F/L or Programming
- Estimate not segregated
- Incomplete PS&E Checklist
- NEPA description doesn't match FTIP or PS&E
- NEPA not current/needs re-validation
- ROW Cert missing info/doesn't match Estimate



ADVERTISE, AWARD, CONSTRUCT AND MAINTAIN



Project Advertisement



- Before Agency Advertises:
 - Caltrans approval of NEPA and acceptance of ROW Cert
 - Caltrans receives certified PS&E package
 - FHWA authorized E-76
- Contract bid opening:
 - Public forum for announcing bids
 - No late bids accepted after established date and time
 - No negotiation with contractors before contract award



Contract Award



- **AWARD** to the lowest responsive & responsible bidder
 - **Responsive bid**: Meets all advertising requirements (bid bonds, signatures, complete, addenda, non-collusion, DBE forms, etc.)
 - **Responsible bidder**: Physically organized & financially capable to undertake & complete contract
- **VERIFY** sufficient funds are authorized (E-76) prior to award
- **SUBMIT** award package within 60 days & before first invoice



Award Package



- Contract Award Checklist – LAPM 15-L
 - Bid Opening results, award package
- Detail Estimate – LAPM 3-A
 - Actual quantity & bid prices, contingencies & CE
 - Actual PE & RW costs
 - Summary of participating & non-participation costs
 - Distributed by PE, RW, CON, CE, testing, other costs
- Resident Engineer's Checklist – LAPM 15-B
 - RE is aware of Federal construction & environmental mitigation requirements
- Bidder DBE Information Sheet – LAPM 15-G



Construction Administration



- **DOCUMENT, DOCUMENT, DOCUMENT!**
- Standardized filing system
 - LAPM Chapter 16
 - Caltrans Construction Manual
- Prepare to be audited
- Makes for easier close-out and fewer claims
- Emphasize the need for pre-construction conference and partnering



Project Close Out



- All paperwork must be finalized and approved by the DLAE
- **Final Report of Expenditures** serves to document completion of construction, environmental mitigation measures, and acceptance of project by the local agency (*Records retention clock starts after final payment is received from Caltrans.*)
- FHWA must issue a final voucher
- Local Agency must maintain completed projects for inspections by Caltrans staff



Final Report of Expenditures



Document	Exhibit
Cover Letter & Checklist	17-A
Final Inspection Form	17-C
Final Invoice	17-D
Final Detail Estimate/Summary	15-M
Change Order Summary	17-E
Final DBE Report	17-F
DBE Certification of Status Change	17-O
Materials Certificate	17-G
Materials Used (Form 47) for NHS Projects	
Final Report for Bridge	
Final Report for ROW	17-K
Cover Letter and Final Report of Expenditure Checklist (PE Only)	17-H



Maintenance Requirements



- Title 23 USC – Caltrans reviews maintenance
- Agency responsible for maintenance by agreement
- DLAE monitors maintenance annually
 - Checklist (LAPM 18-A)
 - Agency notified of any corrective actions
 - State may correct if agency fails to respond & costs deducted from future gas tax
- Caltrans Structures inspects local bridges every 2 years



Deficiencies & Sanctions



- **Deficiencies** – Errors may lead to loss of funds depending on severity and circumstance
 - Procedural Deficiencies: Agency practices found unacceptable with required LAPM standards
 - Major Deficiencies: Process error that violates Federal or State law and must be corrected to prevent loss of funds
 - **Unrecoverable Deficiencies (Federal Ineligibility Notification – FIN):** Major deficiency that violates Title 23 policies & cannot be corrected
- **Sanctions** – Major and unrecoverable deficiencies require corrective action



Deficiencies & Sanctions

- **Corrections** – Local Agency must implement an Action Plan to correct
- **Results** – LAPM procedures may be modified to encourage quality control and careful planning
- **Dispute Resolution** – Agency can appeal. Dispute resolution process listed in LAPM Chapter 20

The “Dirty Dozen”



Quiz



- T or F A responsive bid is one that meets most of the requirements of the advertisement. **False**
- T or F Negotiation with bidders prior to award is not allowed unless it's for the public good. **False**
- T or F Agencies must submit award documents to the DLAE immediately after contract award. **True**
- T or F Agencies are responsible to maintain federally funded projects for their normal service life. **True**
- T or F All local bridges, whether or not constructed with federal funds, are inspected by Caltrans every five years. **False**



ACCOUNTING/ INVOICES



Requirements for Reimbursement



- Master Agreement
- Program Supplement Agreement
- E-76
- Finance Letter
- Award Package
- Indirect Cost Rate Acceptance Letter

Finance Letter Example



DEPARTMENT OF TRANSPORTATION
DIVISION OF ACCOUNTING
LOCAL PROGRAM ACCOUNTING BRANCH

FINANCE LETTER

Date: 09/18/2018
D_CO_RT: 04-SM-0-BURL
Project No: CML-5171(021)
Adv Project Id: 0414000321
Agreement End Date: 06/01/2020

EA No:

Attention: City of Burlingame

FINANCE ITEMS	PRO RATA OR LUMP SUM	TOTAL COST OF WORK	FEDERAL PART. COST	FED. REIMB %	FEDERAL Z003	LOCAL
Contract Items: \$1,389,398						
Contingencies: \$139,602						
Total: \$1,529,000						
Construction	Lump Sum	\$1,529,000.00	\$1,529,000.00	64.49%	\$986,000.00	\$543,000.00
Totals:		\$1,529,000.00	\$1,529,000.00	0.00%	\$986,000.00	\$543,000.00

Participation Ratio: 100.00%

This Finance Letter was created based on specific financial information provided by the responsible local agency. The following encumbrance history is prepared by Local Assistance Accounting Office and is provided here for local agency's information and action.

Signature:

Title: HQ Sr Area Engineer

For questions regarding finance letter, contact:

Printed Name : Peter B. Anderson

Telephone No: (916) 653-8431

Remarks:

ACCOUNTING INFORMATION								CML-5171(021)	Cooperative Work Agreement	
ADV. PROJECT ID	APPROP. UNIT	STATE PROG.	FED/STATE	ENCUMBRANCE AMOUNT	APPROP YEAR	EXPENDITURE AMOUNT	ENCUMBRANCE BALANCE	REVERSION DATE	APPROVED AMOUNT	EXPIRATION DATE
0414000321	474005	2030010820	F	\$986,000.00	1617	\$938,056.86	\$47,943.14	06/30/22		



Invoice Preparation



STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION
LOCAL AGENCY INVOICE
LAPM 5-A (REV 04/2019)

Instructions Reset Form Print Invoice

SECTION 1: INVOICE

Local Agency Name Remittance Address Tax ID

Date Caltrans District Federal/State Project No. Advantage Project ID Invoice No. Billing No. Inactive Project

Project Description

Fund Type(s): ☒ Federal ☐ State Authorized Phase(s): ☒ PE ☐ R/W ☐ R/W Util ☐ CE ☐ CON ☐ FA ☐ R/W Eng ☐ R/W Acq

	Preliminary Engineering	Total
Federal Appropriation Code		
Participating Cost (E-76 Auth. Date) From:		
Participating Cost To:		
Total Indirect Cost to Date:	\$ 0.00	\$ 0.00
Total Direct Cost to Date:	\$ 0.00	\$ 0.00
Total Cost to Date:	\$ 0.00	\$ 0.00
Less: Non-Participating Cost	\$ 0.00	\$ 0.00
: Other	\$ 0.00	\$ 0.00
: Other	\$ 0.00	\$ 0.00
: Other	\$ 0.00	\$ 0.00
Total Participating Cost to Date:	\$ 0.00	\$ 0.00
Less: Participating Cost not Reimbursed (Local Funds)	\$ 0.00	\$ 0.00
Total Participating Costs:	\$ 0.00	\$ 0.00
Federal Reimbursement Ratio:		
Reimbursable Amount to Date:	\$ 0.00	\$ 0.00
Less: Cumulative Amount Paid on All Previous Invoices	\$ 0.00	\$ 0.00
Reimbursable Participating Costs:	\$ 0.00	\$ 0.00
Less: State Withheld Retention	\$ 0.00	\$ 0.00
: Amount Exceeding Authorized Fund	\$ 0.00	\$ 0.00
: Other	\$ 0.00	\$ 0.00
Amount of This Claim:	\$ 0.00	\$ 0.00
TOTAL INVOICE AMOUNT:	\$ 0.00	\$ 0.00

Refer to your Finance Letter

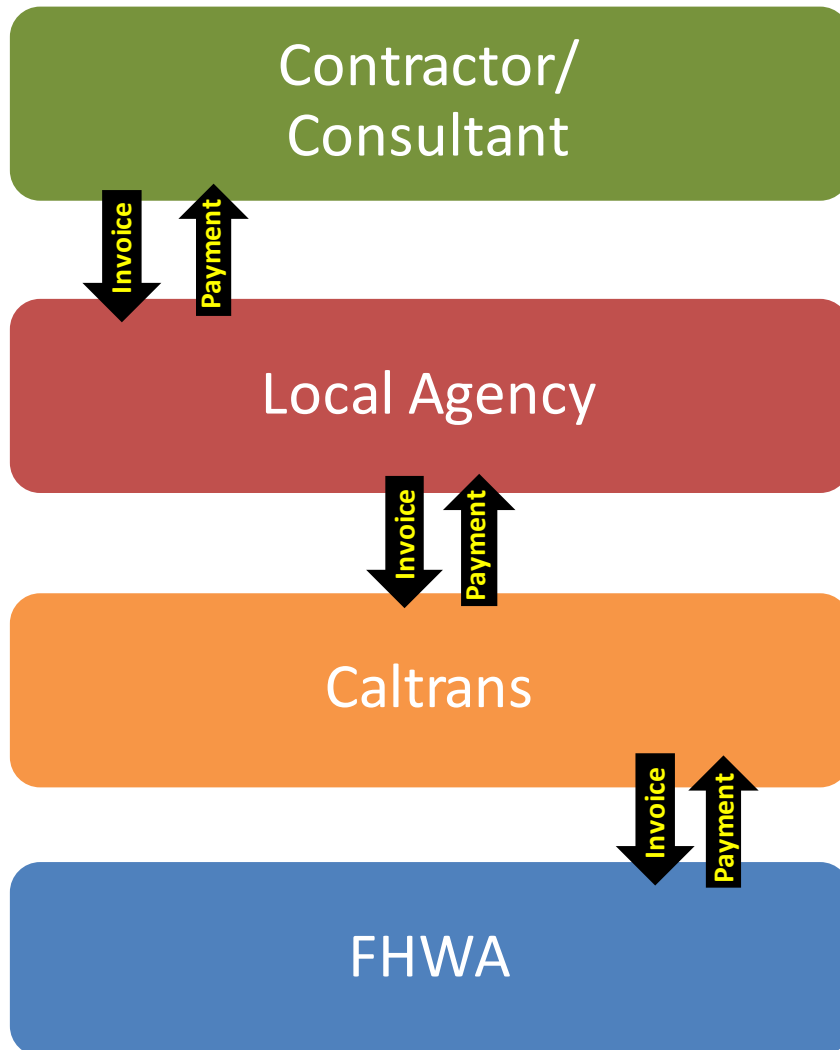
Authorized Federal Fund Amount	\$ 0.00	\$ 0.00
Less: Cumulative Amount Paid on All Previous Invoices	\$ 0.00	\$ 0.00
Funds Remaining Prior to this Claim	\$ 0.00	\$ 0.00

ADA Notice For individuals with sensory disabilities, this document is available in alternate formats. For alternate format information, contact the Forms Management Unit at (916) 445-1233, TTY 711, or write to Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

- LAPM Chapter 5
- Invoice Checklist and Summary (LAPM 5-A)
- Required format
- Bill by phase of work
- Supporting documents
- Final Invoice



Invoice Process



Reimbursement Program

- Invoice + Checklist + Billing Summary
 - Original + 2 copies
- DLA invoicing policy
 - At least once every 6 months
 - Max. once per month
- 60-day processing time
 - District: 20 days
 - LPA: 25 days
 - SCO: 15 days
- Retention
 - 2% or \$40,000, whichever is greater

Dispute Letter



STATE OF CALIFORNIA—BUSINESS TRANSPORTATION AND HOUSING AGENCY

EDMUND G. BROWN JR., Governor

DEPARTMENT OF TRANSPORTATION

DISTRICT 3
703 B STREET
P. O. BOX 911
MARTYSVILLE, CA 95901-0911
PHONE (530) 741-5450
FAX (530) 741-5466



*Flex your power!
Be energy efficient!*

September 8, 2011

Whatser Name, City Engineer
City of Nowhere
111 Street
Some City, CA 62521

Reference:
Location 03-SAC-0-CR
Project # CML-5924(021)
Invoice No. 1121
Invoice Date 8/22/11
Invoice Amt \$30,600.21

The attached invoice(s) is/are being returned for the following reason(s) as indicated below (X).

- ☐ Local Agency/State Agreement not executed
- ☐ Insufficient fund on Preliminary Engineering
- ☐ Incorrect format of invoice per Local Assistance Procedures Manual, Chapter 5
[http://www.dot.ca.gov/hq/Local Programs/lam/lapm.htm](http://www.dot.ca.gov/hq/Local%20Programs/lam/lapm.htm)
- ☐ Invoice reflects phase of work not authorized per Local Agency agreement
- ☐ Award Package required for Construction & Construction Engineering phase per LPP 01-06
- ☐ Final invoice with Final report and Final inspection form must be submitted to District Engineer for approval, prior to payment, per LPP 95-07 Chapter 17

☒ Redate invoice. Send in 1 original invoice with back up documentation & 2 copies of invoice

☒ Other:

1. Appropriation code is L40E.
2. PSA execution date is 7/14/2010.
3. Reimbursement ratio for PE phase is 87.5%.

If you have any questions, please contact Felicia Haslem at (530) 741-4156.

John Hoole
DLAE, Branch Chief Local Assistance

"Caltrans improves mobility across California"

Why are invoices rejected?

- Format
- Program supplement
- Phase of work
- Insufficient authority
- Indirect costs
- Reimbursement rate
- Award Package



Inactive Projects



- Unexpended balance & no invoice for 6 months. If no invoice for 12 months, FHWA may deobligate.
 - Obligation of future phases may be delayed.
- Inactive Project List (posted on DLA site)
dot.ca.gov/programs/local-assistance/projects/inactive-project.htm
 - Agency action
 - INVOICE, INVOICE, INVOICE!!!!
 - Cancel/Close out project
- HQ DLA reports inactivity to FHWA on a quarterly basis.



Final Invoice



- Included with Final Report
- Final Invoice and Estimate/Summary must match
- Due within 180 days of project completion

Document	LAPM
Cover Letter & Checklist	17-A
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Materials Certificate	17-G



Key Points

- LAPM Chapter 5
- District resource
- Reimbursement program
- Format is important
- **INVOICE, INVOICE, INVOICE!**

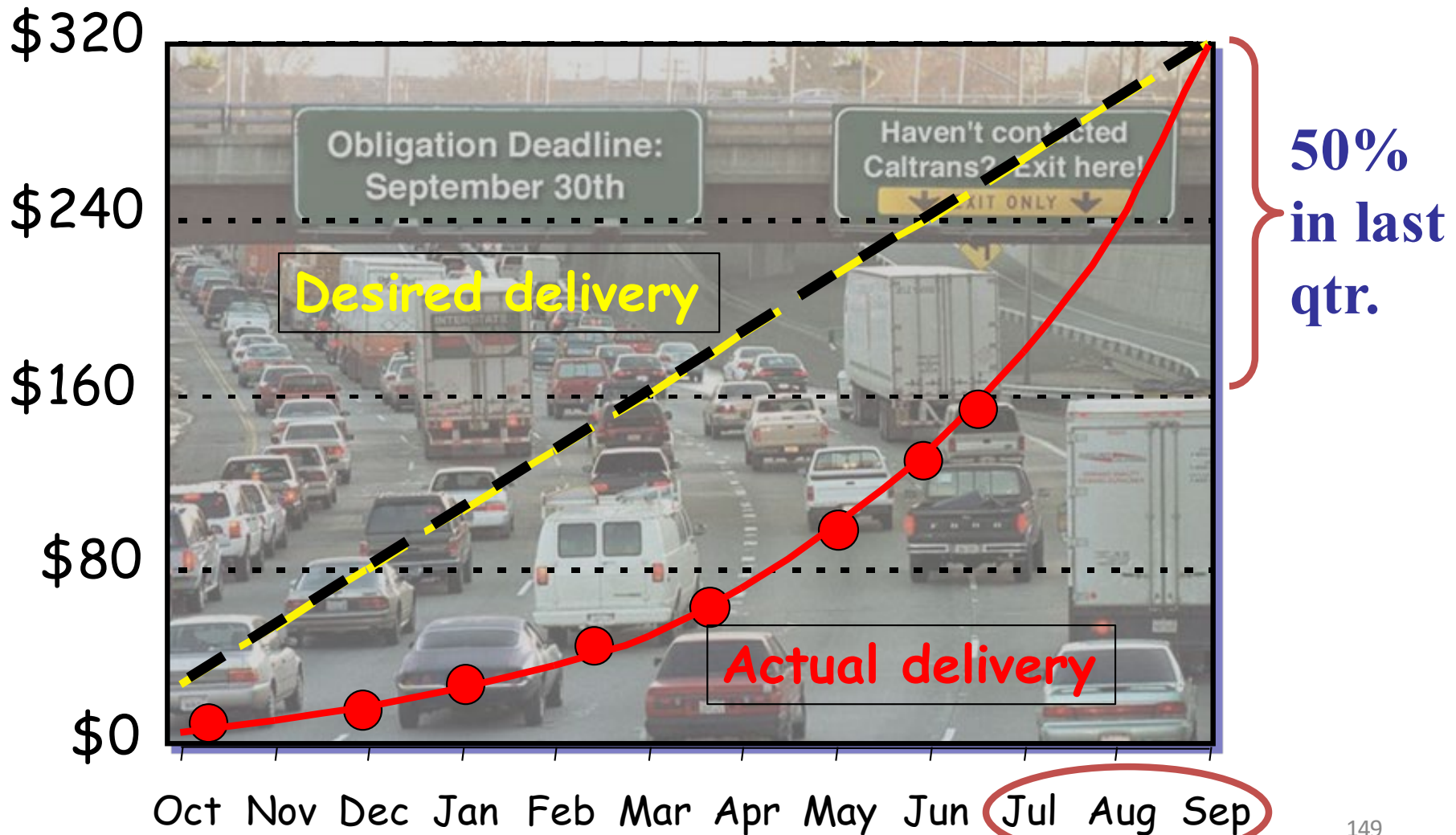
Quiz



- All reimbursable work must be claimed within 180 days of project completion.
- What agreement(s) is required for reimbursement?
Master Agreement and Program Supplement
- T or F Costs incurred prior to the authorization date are eligible for FHWA reimbursement. **False**



OA Delivery...





Wrap-up & Review

Objectives

Expectations

Evaluations

CEU Administration