

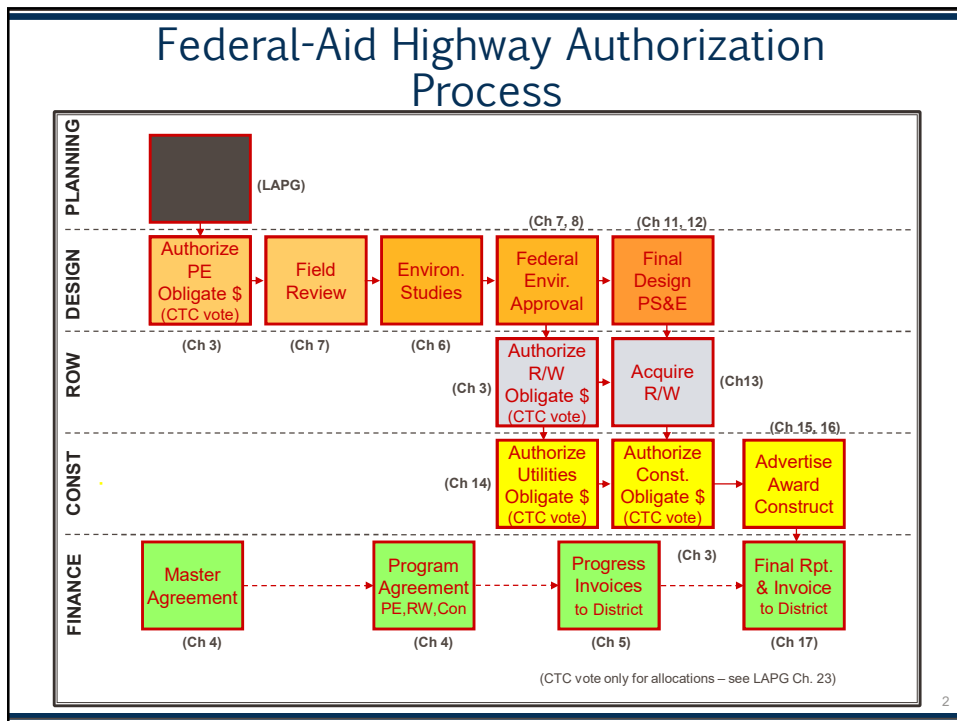


  
 RebuildingCA.ca.gov  
 #RebuildingCA

## SB1 Workshop

PART 5  
 FEDERAL-AID HIGHWAY AUTHORIZATION PROCESS  
 PRESENTED BY JOHN HOOLE  
 CHIEF, OFFICE OF IMPLEMENTATION SOUTH  
 November 2018





## Federal Authorizations

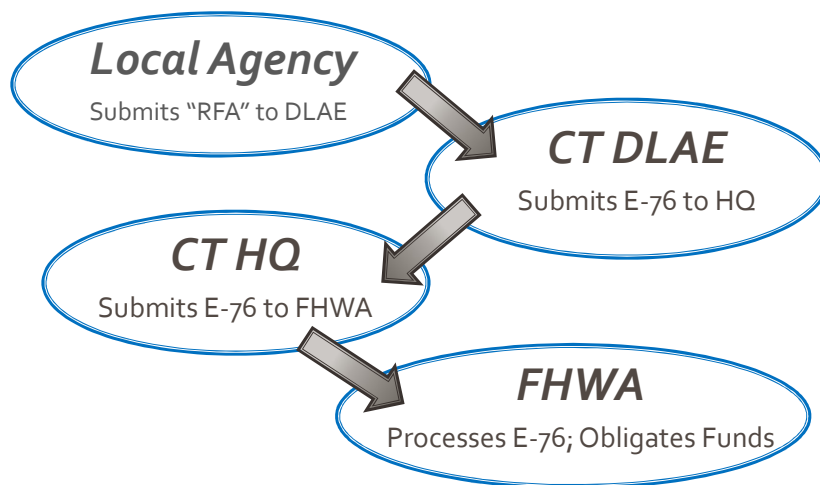


- Authorize before work/advertising
- FHWA’s approval to proceed with work
  - Preliminary Engineering (environmental & design)
  - Right of Way
  - Utility
  - Construction
  - Construction Engineering
  - Non-Infrastructure
- Establishes date of reimbursement

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## Federal Authorizations



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## PE Authorizations



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

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## PE Authorization Submittal



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

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## Right of Way Authorizations



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

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## Submittal: Right of Way Authorization



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

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## Construction Authorizations



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

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## Construction Authorization Submittal





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

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## FHWA Authorization + CTC Allocation




<u>FHWA Authorizes:</u>	<u>CTC Allocates:</u>
PE	E&P (PA&ED)
RW	PS&E
CON	RW
CE	CON

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



CALTRANS DIVISION OF LOCAL ASSISTANCE

## Best Practices



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

[www.dot.ca.gov/hq/LocalPrograms/hooles-rules.html](http://www.dot.ca.gov/hq/LocalPrograms/hooles-rules.html)

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## Allocation “Heads Up”



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

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## Authorization “Heads Up”



- Verify Federal Programming
- DBE Agreements/ADA Compliance/QAP's on file
- Obligate CON **and** CE phases

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## Upcoming Improvements

### New Dynamic Allocation Form: **Done!**

- <http://www.dot.ca.gov/hq/LocalPrograms/forms/>

### Authorization (E-76) Process:

Lean 6 Sigma effort to reduce CT processing time from 42 days to 14.

### Progress Invoices:

Lean 6 Sigma effort to reduce 90% of errors.

### PSA:

Lean 6 Sigma effort to reduce PSA processing time.

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

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

