SB1 Workshop

PART 5
FEDERAL-AID HIGHWAY AUTHORIZATION PROCESS

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Federal-Aid Highway Authorization Process

(Char 3) (Char 7) (Char 6) (Char 7, 8) (Char 11, 12) (Char 13) (Char 15, 16) (Char 17)

(Char 4) (Char 4) (Char 5) (Char 3) (Char 17)

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

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

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

**PE Authorization Submittal**

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

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

Submittal: Right of Way Authorization

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

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

Construction Authorization Submittal

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

**FHWA Authorizes:**
- PE
- RW
- CON
- CE

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

Inactivity, PE>10, RW>20

Timely Use of Funds (TUF)

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**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)
Allocation “Heads Up”

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

Authorization “Heads Up”

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

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

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

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

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

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

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