

# Division of Local Assistance (DLA) Glossary

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## Numerical

### A

<b>Action</b>	A highway or transit project proposed for FHWA funding. It also includes activities such as joint and multiple use permits, changes in access control, etc., which may or may not involve a commitment of federal funds.
<b>Administering Agency</b>	The state or a city, county, other public agency, or nonprofit organizations, that plan, design, advertise, opens bids, award and administer the contract. They are frequently referred to as Local Public Agencies (LPAs).
<b>Advance Construction (AC)</b>	Advance Construction is a project authorization technique that allows the Federal Highway Administration (FHWA) to authorize a project without obligating federal funds. FHWA is required to fully obligate the federal share of a federal-aid project at the time it executes a project agreement. Under an AC authorization, FHWA approves a project as being eligible for federal funding but does not commit to funding the project. As such, the project must meet all federal requirements except for the requirement to obligate funds. Projects authorized under Advance Construction procedures will not receive federal reimbursement until federal funds become available and are obligated on a subsequent sequence.
<b>Affected Environment</b>	The physical features, land, area, or areas to be influenced, or impacted, by an alternative alignment under consideration. This term also includes various social and environmental factors and conditions pertinent to an area.
<b>Allocation</b>	An administrative distribution of funds.
<b>Alteration</b>	An alteration, as applicable to the Americans with Disabilities Act (ADA), is a change to a roadway made by, on behalf of, or for the use of a public accommodation or commercial roadway that affects or could affect the usability of the roadway, or part thereof. Alterations include, but are not limited to, remodeling, renovation, rehabilitation, reconstruction, historic restoration, and changes or rearrangement of the structural parts or elements.
<b>Alternative</b>	One of a number of specific transportation improvement proposals, alignments, options, design choices, etc., in a defined study area. For a transportation project, alternatives to be studied normally include the no-action alternative, an upgrading of the existing roadway alternative, new transportation routes and locations, transportation systems management strategies, multi-modal alternatives, if warranted, and any combinations of the above.
<b>Apportionment</b>	A statutorily prescribed division or assignment of funds. An apportionment is based on prescribed formulas in the law and consists of dividing authorized obligational authority for a specific program among the states.
<b>Appropriation Period</b>	The six (6) years starting on July 1 of the appropriation year through June 30 of the reversion year that an encumbrance is eligible for reimbursement.
<b>Appropriation Year</b>	The state budget year (July 1 to June 30) that Legislature has approved for enactment and Caltrans Local Programs Accounting (CLPA) has authority to encumber funds.
<b>Area of Potential Effect (APE)</b>	A term used in Section 106 (Cultural Resource studies) to describe the area in which historic resources may be affected by a federal undertaking.
<b>At-Risk PE</b>	Preliminary Engineering (PE) costs incurred prior to authorization and authorized for reimbursement under Section 1440 of the FAST Act.
<b>Authorization to Proceed</b>	Federal project funding eligibility approval for a particular phase of work by the Federal Highway Administration (FHWA).
<b>Avoidance Alternative</b>	A general term used to refer to any alignment proposal, which has been either developed, modified, shifted, or downsized to specifically avoid impacting one or more resources.
<b>Award</b>	The Local Public Agency (LPA) approves award of the contract to the lowest responsible and responsive bidder.

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## B

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**Bid Rigging** A conspiracy to disrupt or circumvent the competitive environment by establishing a competitive advantage for certain bidders.

## C

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**California Division Office (CADO)** The Federal Highway Administration (FHWA) state Division Office. The Division Offices are local field offices that provide leadership, guidance, and direction to State Departments of Transportation in the project development and delivery of transportation projects. Working collaboratively with State partners, FHWA Division Offices ensure that the nation's roads, bridges and tunnels are safe and continue to support economic growth and environmental sustainability:  
<https://www.fhwa.dot.gov/about/field.cfm>.

**California Environmental Quality Act (CEQA)** State environmental law requiring State and LPAs to consider the environmental impacts of their decisions when approving public and private projects. LPAs are the CEQA lead agency for local agency transportation projects off the SHS, but Caltrans is the CEQA lead agency for local agency transportation projects on the SHS unless otherwise delegated.

**Categorical Exclusion (CE)** One of three (3) Classes of Action which prescribes the level of documentation required in the NEPA process. The CEs are Class II Actions, which do not individually or cumulatively have a significant effect on the environment; therefore, neither an EA, nor an EIS is required. Under NEPA Delegation, there are two means of categorically excluding a project: 1) Section 6004 Categorical Exclusions and 2) Section 6005 Categorical Exclusions.

- 6004 Categorical Exclusions: On June 7, 2007, Caltrans and FHWA entered into an MOU pursuant to Section 6004 of the Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU). Section 6004 MOU assigns to Caltrans authority and responsibility for CE determinations under the 23 CFR 771.117(c) list and 23 CFR 771.117(d) list, plus those activities specifically listed in Appendix A – Assigned Categories of Activities of the MOU.
- 6005 Categorical Exclusions: On June 22, 2007, Caltrans and FHWA entered into an MOU pursuant to Section 6005 of SAFETEA-LU. Under Section 6005 MOU, Caltrans assumes responsibility for CE determinations for projects that are not on the c or d list or the Appendix A list, but for which a CE classification is appropriate under 23 CFR 771.117 A and B. Under Section 6005 MOU, Caltrans was also assigned and assumed, the USDOT Secretary's responsibilities for environmental review, interagency consultation, and other regulatory compliance-related action pertaining to the review or approval of CEs.

**Categorical Exemption/Categorical Exclusion Form** Joint state/local form used to document the applicable MOU under which the CE determination has been made.

**Construction (CON)/Construction Engineering (CE)** This phase includes the work of project advertising through construction, preparation of as-built plans, final estimates, and payments. It includes all of the post-award activities necessary for the contracting agency to inspect, manage, and oversee the construction of a federal-aid construction project. This phase must be authorized prior to advertising, and CE must be separately identified in this authorization. Note: CE can include the cost of advertising and award preparation, but only after the phase has been authorized.

**Construction Contract Specifications** The directions, provisions, and requirements contained in the contract documents for a specific construction project. Included are various proposal conditions, contract administration provisions, required construction methods, and technical requirements for materials.

**Construction Phase** The phase of the transportation project development process that involves the physical act of building by a contractor the proposed project to all plans and specifications developed during final design.

**Consultant** A private individual, corporation, or other business organization that may be selected to provide architectural, engineering, environmental, or other related technical services for an LPA project.

**Consultant in a Management Support Role** Management support role means performing engineering management services or other services acting on the contracting agency's behalf, which are subject to review and oversight by agency officials, such as a program or project administration role typically performed by the contracting agency and necessary to fulfill the duties imposed by Title 23 of the United States Code, other federal and state laws, and applicable regulations.

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<b>Contingencies</b>	An amount of funds usually a small percentage of the detail estimate, set aside for unforeseen items or quantities of work not specified in the contract documents, but required to complete the project. The percentage used for contingencies varies depending on the type and scope of work. Usually ten (10) percent but may be exceeded (with justification) if there is a large amount of supplemental, but contingencies should always be at least five (5) percent.
<b>Contract Administration</b>	Includes advertising, opening bids, award, and execution of the contract; control of work and material; and making payments to the contractor.
<b>Contract Execution</b>	Both the LPA and contractor have signed the contract.
<b>Contractor</b>	The person or persons, firm, partnership, corporation, or combination thereof, who have entered into a contract with the administering agency, as party or parties of the second part of his/her or their legal representatives.
<b>Controlling Criteria</b>	The specific minimum criteria and controls contained in the design standards for highway projects that are considered of primary importance for safety. Deviations from these controlling criteria require design decision approval (see <a href="#">LAPM Chapter 11: Design Guidance</a> ).
<b>Cost Effectiveness/Public Interest Finding</b>	A written document outlining the basis for a proposed deviation from a standard procedure as required in Title 23 of the Code of Federal Regulations (CFR). The finding contains supporting documentation such as cost/benefit analysis, product compatibility, etc., and includes reasons that the proposed deviation is considered to be cost-effective or for the public's best interest.
<b>Cumulative Impact</b>	Cumulative impact is the impact on the environment, which results from the incremental impact of the action when added to other past, present, and reasonably foreseeable future actions regardless of what agency (federal or non-federal) or person undertakes such other actions. Cumulative impacts can result from individually minor but collectively significant actions taking place over a period of time.
<b>D</b>	
<b>Delegated Project</b>	A project under 23 USC 106(c) Assumption by States of Responsibilities of the Secretary (formerly State Authorized) in which Caltrans has authority for all aspects of the project except those activities which may not be delegated by federal law (requiring FHWA approval). Prior to September 2007 these projects were referred to as State-Authorized projects defined by set criteria (rather than risk) such as non-Interstate 3R projects, Interstate construction projects under \$1 million, non-NHS projects, etc. Over 99% of Local Assistance projects are delegated in which Caltrans or the local agency has approval authority for most project level activities.
<b>Department of Transportation</b>	Department of Transportation of the State of California, as created by law; also referred to as the Department, State or Caltrans.
<b>Design Decision</b>	A documented decision to use alternative highway design elements in place of applicable design guidance. Documented alternative decisions to the applicable highway design guidance are documented and retained in project files.
<b>Design Standards</b>	The established standards, specifications, procedures, guides and references listed herein that are acceptable for application in the geometric and structural design of federal-aid projects (see <a href="#">LAPM Chapter 11: Design Guidance</a> ).
<b>Direct Effects</b>	Effects caused by a given action and occurring at the same time and place; changes in noise levels, fill discharges in wetlands, and changes in visual conditions are some examples of direct effects.
<b>Disadvantaged Business Enterprise (DBE)</b>	A for-profit small business concern that is at least 51 percent owned and controlled by one or more socially and economically disadvantaged individuals. One or more such individuals must also control the management and daily business operations. These individuals must be citizens (or lawfully admitted permanent residents) of the United States and (1) any individual who a federal-aid recipient finds to be a socially and economically disadvantaged individual per 49 CFR 26 on a case-by-case basis, or (2) who are either Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Subcontinent Asian Americans (persons whose origin are from India, Pakistan, Bangladesh, Bhutan, Maldives Islands, Nepal or Sri Lanka), Women, or any other group found to be socially and economically disadvantaged as determined by the Small Business Administration (see 49 CFR 26).
<b>District</b>	A subdivision of the Department organized to administer the affairs for a specific geographical area and for the Local Public Agencies (LPAs) in that area: <a href="https://dot.ca.gov/caltrans-near-me">https://dot.ca.gov/caltrans-near-me</a> .
<b>Division of Local Assistance (DLA)</b>	The office in Caltrans headquarters that is responsible for administering, managing, and implementing the federal-aid highway and state local assistance programs.

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### District Local Assistance Engineer (DLAE)

The individual in each district responsible for providing services and assistance to the Local Public Agencies (LPAs).

## E

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<b>E-76</b>	Federal-aid program form titled Authorization to Proceed. It provides federal authorization to begin reimbursable work for a specific phase of work.
<b>Early Coordination</b>	Communication undertaken near the beginning of the transportation project development process to exchange information and work cooperatively with agencies and the public in an effort to determine the type and scope of studies, the level of analysis, and related study requirements.
<b>Effects</b>	Includes: (a) Direct effects that are caused by the action and occur at the same time and place, (b) Indirect effects that are caused by the action and are later in time or farther removed in distance, but are still reasonably foreseeable. The terms effect and impact are synonymous under NEPA. Effects include ecological, aesthetic, historic, cultural, economic, social, or health, whether direct, indirect or cumulative.
<b>Encumber</b>	To set aside a state budget allocation for future expense.
<b>Encumbrance</b>	The commitment of funds based on an agreement that permits Caltrans to reimburse eligible costs for an approved phase of a project.
<b>Environment</b>	The complex of social, natural, and cultural condition, which are present in the physical surroundings.
<b>Environmental Assessment (EA)</b>	One of three (3) Classes of Action which prescribes the level of documentation required in the NEPA process. EAs are Class III Actions in which the significance of the environmental impact is not clearly established. All actions that are not Class I (EISs) or Class II (CEs) are Class III. Class III Actions require the preparation of an EA to determine the appropriate environmental document required.
<b>Environmental Impact Statement (EIS)</b>	One of three (3) NEPA Classes of Action which prescribes the level of documentation required in the NEPA process. EISs are Class I Actions. These are actions that significantly affect the environment and for which an EIS must be prepared. Examples of Class I Actions include a highway project of four (4) or more lanes on a new location, and new construction or extension of a separate roadway not located within an existing highway facility, etc.

## F

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<b>Federal-aid</b>	Refers to federal funds provided for the development of surface transportation and administered by the FHWA. Generally, these funds are derived from multi-year surface transportation acts, Title I Federal-aid Highways and other Titles. It also includes FHWA administered funds from previous acts frequently titled Highway Acts.
<b>Federal Fiscal Year (FFY)</b>	The accounting period for the federal budget. The Federal Fiscal Year (FFY) is from October 1 until September 30. The FFY is designated by the calendar year in which it ends. For example, FFY 06 runs from October 1, 2005, until September 30, 2006.
<b>Federal Highway Administration (FHWA)</b>	The federal agency responsible for administering the Federal-aid Highway Program.
<b>Field Review</b>	A general term to describe a site visit for the purpose of gathering or verifying data, defining scopes of work, performing analyses, and making decisions for specific projects.
<b>Final Design Phase</b>	The phase of the transportation project development process, which involves the preparation of detailed, working drawings, as well as specifications and estimates for approved transportation projects.
<b>Final Invoice</b>	Invoice listing final cost incurred for a particular phase of the project, i.e., Preliminary Engineering, Construction Engineering, Right of Way, or Construction. The District Local Assistance Engineer (DLAE) is required to verify project completion and approve payment before forwarding the final invoice to Caltrans Local Programs Accounting (CLPA).
<b>Finance Letter</b>	A document required by Caltrans Local Programs Accounting and submitted by the administering agency to Caltrans with information required as backup for the federal-aid/state project agreement.

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## **Finding of No Significant Impact (FONSI)**

A document by a federal agency that briefly presents the reasons why an action will not have a significant effect on the environment and for which an environmental impact statement, therefore, will not be prepared.

## **Federal Statewide Transportation Improvement Program (FSTIP)**

Federal Statewide Transportation Improvement Program, a four (4)-year list of all state and local transportation projects proposed for federal surface transportation funding with the state. This is developed by Caltrans with cooperation of the Metropolitan Planning Organizations (MPOs) and in consultation with the local non-urbanized government. The FSTIP includes the FTIPs, which are incorporated by reference and other rural federally funded projects. The FSTIP, including incorporated FTIPs, is only valid for use after FHWA/FTA approval.

## **Federal Transportation Improvement Program (FTIP)**

Federal Transportation Improvement Program, a four (4)-year list of all transportation projects proposed for federal surface transportation funding within the planning area of one of the 18 Metropolitan Planning Organizations (MPOs) in the State. These are only valid for reference when incorporated into the FSTIP and approved by FHWA/FTA.

**Federal Transit Administration (FTA)** The federal agency responsible for administering the Federal Transit Program.

## **Fully Funded**

As related to the NEPA document, projects must be fully funded and shown in the applicable FTIP/RTP before Caltrans can approve the related NEPA document. Partial funding of a project may get their Preliminary Engineering (PE) started but the environmental NEPA document is not approvable without the total funding.

## **G**

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## **H**

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## **I**

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### **Impacts**

A term to describe the positive or negative effects upon the natural or human environment as a result of a specific project or projects.

### **Independent Utility**

The ability of a transportation improvement to be usable and be a reasonable expenditure even if no additional transportation improvements in the area are made.

### **Indirect Effects**

Effects caused by a given action, occurring later in time, or farther removed in distance, but which are reasonably foreseeable. Induced changes to land use patterns, population density or growth rate are examples.

### **Invoice**

A detailed list of expenditures that an administering agency requests reimbursement for with federal funds, pursuant to the Local Agency-State Agreement (see [LAPM Chapter 5: Invoicing](#)).

## **J**

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## **K**

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## L

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<b>Level-of-Service (LOS)</b>	Also known as Traffic Service. LOS is a qualitative measure describing operational conditions within a traffic stream. LOS is based on service measures such as speed and travel time, freedom to maneuver, traffic interruptions, comfort and convenience. LOS is also affected by conditions such as number of access points, lane width, number of lanes, and percentage of large vehicles. Six (6) levels of service are defined by letter designations from A to F with LOS A representing the best operating conditions, and LOS F the worst.
<b>Local Agency – State Agreement</b>	Agreement between the State and LPA (see <a href="#">LAPM Chapter 4: Agreements</a> for more detail). Generally refers to the Master Agreement and all supplemental agreements (Program Supplements) to the Master Agreements. These agreements are required for the State to provide reimbursement to the LPA for all federal-aid projects.
<b>Local Assistance Procedures Manual (LAPM)</b>	The Local Assistance Procedures Manual describes the processes, procedures, documents, authorization, approvals and certifications which are required in order to receive federal-aid and/or state funds for many types of local transportation projects.
<b>Local Assistance Program Guidelines (LAPG)</b>	The Local Assistance Program Guidelines manual provides local project sponsors with a complete description of the federal and state programs available for financing local public transportation related facilities.
<b>Local Assistance Project</b>	A local surface transportation project funded with federal and/or state funds for the operation, maintenance, and acquisition or development of facilities or land, provided the local entity retains ownership after completion of the project.
<b>Local Programs Procedures (LPP)</b>	Documents used for deployment of new procedures and policies between annual updates of Local Assistance manual, guidelines and programs. Each procedure is numbered according to calendar year and order in which released.
<b>Local Public Agency (LPA)</b>	A California City, county, tribal government or other local public agency. In many instances this term is used loosely to include nonprofit organizations.
<b>Locode</b>	Numeric identifier for each local agency or administering agency (assigned by the Division of Local Assistance).

## M

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<b>Major Project</b>	As described in 23 U.S.C. 106(h), a project that receives Title 23 federal financial assistance for construction which has an estimated total cost of \$500 million or more. FHWA also has the discretion to designate a project with a total cost of less than \$500 million as a Major Project.
<b>Metropolitan Planning Organization (MPO)</b>	Federally mandated regional organizations responsible for comprehensive transportation planning and programming in urbanized areas. Work products include the Transportation Plan, the Transportation Improvement Program, and the Unified Planning Work Program.
<b>Mini-Major Project</b>	As described in 23 U.S.C. 106(i), a project that receives Title 23 federal financial assistance for construction and has a total project cost greater than \$100 million but less than \$500 million and the project is not otherwise classified as a Major Project. 23 U.S.C. 106(i) refers to these as "Other Projects." This term is used in California for these "Other [High Cost] Projects."
<b>Mitigation Measures</b>	Specific design commitments made during the environmental evaluation and study process, which serve to moderate or lessen impacts deriving from the proposed action. In accordance with CEQ, mitigation includes avoidance, minimization, rectification, reduction, and compensation.

## N

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<b>National Environmental Policy Act (NEPA)</b>	Federal environmental law requiring federal agencies to consider the environmental impacts of their actions, evaluate least damaging alternatives, and ensure decisions are made in the public's best interest based on a balanced consideration of the need for safe and efficient transportation.
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<b>National Highway System (NHS)</b>	A specially designated highway system established by the Intermodal Surface Transportation and Efficiency Act of 1991 and adopted by the United States Congress. "Enhanced NHS" refers to the roads expanded or enhanced by MAP-21; Section 1104 of MAP-21 added to the NHS those roads that were at the time functionally classified as principal arterials, but not yet part of the NHS.
<b>No Action</b>	An alternative that is used as the basis to measure the impacts and benefits of the preferred alternative(s) in an Environmental Assessment or EIS. The No Action alternative consists of the existing conditions on the roadway, plus any safety or maintenance improvements, which have been identified in the Caltrans five (5)-Year Transportation Improvement Program.
<b>No-Build Alternative</b>	Normally includes short-term, minor restoration types of activities (e.g., safety and maintenance improvements) that maintain continuing operation of an existing facility. The no-build alternative serves as a baseline for the comparison of other alternatives.
<b>Notice of Intent (NOI)</b>	A notice published in the Federal Register that an EIS will be prepared and considered. The notice must briefly describe the proposed action and possible alternatives, describe the agency's proposed scoping process including whether, when, and where any scoping meetings will be held, and state the name and address of a person within the agency who can answer questions about the proposed action and the EIS.
<b>Notice to Proceed</b>	The LPA informs the contractor that they may begin construction.

## O

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<b>Obligation</b>	The federal government's legal commitment (promise) to pay or reimburse the states or other entities for the federal share of a project's eligible costs.
<b>Obligation Authority (OA)</b>	Total amount of federal funds that may be obligated in a FFY.
<b>Overall Work Plan (OWP)</b>	The OWP is the MPO/RTPA's transportation planning structure/plan for the state fiscal year, July 1 through June 30.

## P

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<b>Permit</b>	Written permission given by a governmental agency to take certain action during specific steps of the transportation project development process. Permits may include permission for any construction, excavation, depositing of material, or other work in navigable waters (Corps of Engineers), permission required for the discharge of dredged, or fill material into waters of the United States (Corps of Engineers), and permission to construct bridges, causeways, and drawbridges in navigable waters (U.S. Coast Guard). A permit may also refer to certain other clearances or certifications such as a clearance from the Federal Aviation Administration for proposed highway construction in the vicinity of public use and military airports, and water quality certifications for the licensing of an action that would result in a discharge into regulated waters. These approvals, plus certain others relating to solid waste management, underground storage tanks, coastal zone areas, etc., involve approvals and documentation commonly referred to as permits.
<b>Phase</b>	For the purposes of federal-aid authorization, the development of a project is broken into stages or phases: Preliminary Engineering, Right of Way and Construction. Each of these phases must be individually authorized, usually at different times in the development of a project.
<b>Preliminary Engineering (PE)</b>	This phase includes all project initiation and development activities undertaken after its inclusion in the approved FSTIP through the completion of PS&E. It may include preliminary Right of Way engineering and investigations necessary to complete the NEPA document.
<b>Prequalification</b>	AASHTO defines prequalification as a means of predetermining job experience and work capacity and to identify individuals and organizations from which the agency may accept a bid. AASHTO also has encouraged the use of prequalification procedures in its 1981 Suggested Guidelines for Strengthening Bidding and Contract Procedures. Prequalification should not be used to restrict or discourage other responsible bidders from submitting bids.
<b>Preventive Maintenance</b>	Roadway activities that include but are not limited to joint and shoulder rehabilitation, heater re-mix, seal coats, corrective grinding of Portland Cement Concrete (PCC) pavement, and restoration of drainage systems.
<b>Progress Invoice</b>	Periodic billing invoice by local/regional agencies for reimbursement of costs on on-going contracts.
<b>Project Development</b>	The overall process of advancing a transportation project from concept to implementation. Project development typically encompasses environmental and engineering tasks including planning, location, preliminary design, final design, and construction.

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<b>Project End Date (PED)</b>	The PED is defined as the date after which no additional costs may be incurred for a project. The PED is calculated by adding twelve (12) months to the estimated date of completing work for the phase of work requesting authorization.
<b>Project Need</b>	A detailed explanation of the specific transportation problems or deficiencies, which have generated the search for improvements. It should refer to technical information, as necessary, such as measures of traffic efficiency, or demand (origin-destination patterns, modal links, queue lengths, motorist delays, level of service, etc.), and other goals (economic development, safety improvement, legislative directives, etc.). Much of this information should be generated by the transportation planning process at a very early stage. The explanation of need should be a problem statement discussion, not a solution oriented discussion.
<b>Project Purpose</b>	A broad statement of the overall intended objective to be achieved by a proposed transportation facility. Normally, the purpose can be defined in just a few sentences. For instance, it may address expanded capacity in a given transportation corridor to facilitate the safe and efficient movement of people and goods, or improved access to a given area or community.
<b>Public Hearing</b>	A meeting designed to afford the public the fullest opportunity to express opinions on a transportation project. A verbatim record (transcript) of the proceedings is made part of the project record.
<b>Public Involvement</b>	These activities, which present information to the public, seek public comments and serve to ensure consideration of public opinion.
<b>Public Meeting</b>	An announced meeting conducted by transportation officials designed to facilitate participation in the decision-making process, and to assist the public in gaining an informed view of a proposed project at any level of the transportation project development process. Also, such a gathering may be referred to as a public information meeting.

## Q

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## R

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<b>Record of Decision (ROD)</b>	The ROD documents the Secretary of Transportation's decision to approve the Preferred Alternative as described in the Environmental Impact Statement (EIS).
<b>Record Retention</b>	Project records must be kept for at least 3 years after FHWA's final payment of the final voucher per 2 CFR 200.333.
<b>Report of Expenditures</b>	Collectively refers to the following report documents but not limited to: Federal-Aid Final Invoice, Change Order Summary, Final-Report Utilization Disadvantage Business Enterprise (DBE) and First-Tier Subcontractors, Materials Certificate. See <a href="#">LAPM Chapter 17: Project Completion</a> .
<b>Resident Engineer (RE)</b>	A qualified engineer who is empowered to administer the construction contract. Pursuant to California professional engineering licensing requirements, the resident engineer may be unlicensed provided their work is performed under the review of a licensed engineer.
<b>Responsible Charge</b>	A full time, public employee of the local agency qualified to ensure that the work delivered under contract is complete, accurate, and consistent with the terms, conditions, and specifications of the contract must be in responsible charge of each contract or project. The regulation is silent about engineering credentials. Thus, the person in "responsible charge" of local agency administered projects need not be an engineer. This requirement applies even when consultants are providing construction engineering services. Ref: 8-4-2011 FHWA Memo Responsible Charge.
<b>Reversion Date</b>	The last day that Caltrans may legally reimburse an encumbrance per state statute.
<b>Right of Way (R/W)</b>	This phase includes the work necessary to appraise and acquire project right of way, relocate individuals or businesses, and revise or relocate utilities.



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## S

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<b>Streets and Highways Code (S&amp;H)</b>	California Streets and Highways Code, this code contains many of the laws governing funding and development of local streets and roads projects.
<b>Scope</b>	Scope consists of the range of actions, alternatives, and impacts to be considered in a NEPA document.
<b>Scope of Work (SOW)</b>	A detailed description of tasks is prepared in advance of engineering and environmental work to explicitly define the contents of studies.
<b>Section 4(f)</b>	Section 4(f) of the U.S. Department of Transportation Act of 1966 permits the use of land for a federally-funded transportation project from a significant publicly owned park, recreation area, wildlife or waterfowl refuge, or historic site when it has been determined that: (1) there are no feasible and prudent alternatives to such use, and (2) the project includes all possible planning to minimize harm to the property.
<b>Significant Impacts</b>	Any number of social, environmental, or economic effects, or influences which may be brought about as a result of the implementation of a transportation improvement. Significant impacts may include effects, which are direct, secondary, or cumulative. The term significant is used and interpreted by the FHWA in determining which type of NEPA document is appropriate. Categorical exclusions are those actions which do not involve significant effects. Environmental Impact Statement (EIS) projects in most cases can and do involve significant impacts.
<b>Significantly</b>	As used in NEPA requires consideration of both context and intensity. Context means that the significance of an action must be analyzed in several contexts such as society as a whole (human, national), the affected region, the affected interests, and the locality. Intensity refers to the severity of the impact.
<b>Specifications</b>	The directions, provisions, and requirements contained in the contract documents for a specific construction project. Included are various proposal conditions, contract administration provisions, required construction methods, and technical requirements for materials.
<b>Standard Plans</b>	A collection of plan details developed for use as a reference for construction contract documents. Included are standard abbreviations, symbols, design notes, design conditions and data, construction details, specifications, layouts, and measurement and payment details.
<b>Standard Specifications</b>	A published document that contains commonly used specifications developed for use as a reference for construction contract documents. Note: In this manual, current <a href="#">Caltrans Standard Specifications</a> is understood to mean Caltrans Standard Specifications inclusive of all current revisions, amendments, and standard special provisions, unless otherwise stated.
<b>State Budget Authority</b>	The state budget year and its period of reimbursement that is assigned to a particular state or federal encumbrance. State budget authority must be applied to all state and federal funds that are passed-through Caltrans to be eligible for reimbursement.
<b>State Funds</b>	As used in this manual, includes the state funds provided to local agencies for specific transportation projects and programs administered by the DLA. State funds are currently provided for the following projects: Bicycle Transportation Account, Proposition 116 Bicycle Program, Environmental Enhancement and Mitigation (EEM), Federal Apportionment Exchange, State Match programs, Proposition 1B Bond Program, and State Transportation Improvement Program. The LAPG further defines these programs.
<b>Stewardship Agreement</b>	A signed agreement between the FHWA and Caltrans defining the extent to which Caltrans and FHWA have project approval and oversight responsibilities.
<b>State Transportation Improvement Program (STIP)</b>	A five (5)-year list of projects proposed in RTIPs and the Proposed STIP that are approved and adopted by the California Transportation Commission (CTC).
<b>Study Area</b>	An identified amount of land or topography, selected, and defined at the outset of engineering, or environmental evaluations, which are sufficiently adequate in size to fully identify, analyze, document impacts and effects for proposed projects within its boundaries.
<b>Supplemental Work</b>	Work that is anticipated but because of its uncertainty, cannot be included as a contract item e.g., additional staking, utility work, etc. If supplemental work is determined to be needed, a change order is required to include it in the contract. This work should normally be part of the contingencies.
<b>Surety</b>	A security against loss or damage or for the fulfillment of contract obligation, bond.

# Division of Local Assistance (DLA) Glossary

## # [A](#) [B](#) [C](#) [D](#) [E](#) [F](#) [G](#) [H](#) [I](#) [J](#) [K](#) [L](#) [M](#) [N](#) [O](#) [P](#) [Q](#) [R](#) [S](#) [T](#) [U](#) [V](#) [W](#) [X](#) [Y](#) [Z](#)

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## T

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### Transportation Project Development Process

An interactive, multi-phase series of activities typically spanning a period of years which involve comprehensive planning, prioritization, detailed engineering and environmental studies, and agency and public involvement which lead to the selection, design, and construction of identified transportation improvements.

- 23 USC -The section (Title 23) of the United States Code containing laws relating to highways.
- 23 CFR -The section (Title 23) of the Code of Federal Regulations containing regulations (general and permanent rules published in the Federal Register) relating to highways. Not included are regulations based on Civil Rights requirements in Title 49, the Uniform Relocation Assistance and Real Property Policies, and other federal laws and regulations.

## U

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## V

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### Value Engineering Analysis (VA)

The systematic application of recognized techniques by a multi-disciplined team to identify the function of a product or service, establish a worth for that function, generate alternatives through the use of creative thinking, and provide the needed functions to accomplish the original purpose of the project, reliably, and at the lowest life-cycle cost without sacrificing safety, necessary quality, and environmental attributes of the project.

## W

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## X

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## Y

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## Z

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