

EXHIBIT 3-A REQUEST FOR AUTHORIZATION TO PROCEED WITH PRELIMINARY ENGINEERING

(Local Agency Letterhead)

To: (DLAE Name) _____ Date: _____
 District Local Assistance Engineer FTIP/FSTIP ID: _____
 Caltrans, Office of Local Assistance Federal Project No: _____
 (District Address) EA: _____
 PPNO (For STIP Projects): _____
 Major ITS (Phase 1 or 2): _____
 Project Description: _____

Dear (DLAE Name):

In order to begin federally reimbursable preliminary engineering work for the above-referenced project, we request that you secure Federal Authorization to Proceed and obligation of funds. The federal funds requested do not exceed those provided to this agency in the federally approved Federal Transportation Improvement Program (FTIP)/Federal Statewide Transportation Improvement Program (FSTIP).

Attached are the following documents required to authorize this phase of work:

Request for Authorization Package

- Completed Request for PE Authorization Data Sheet (Exhibit 3-E)
- Copy of FTIP/FSTIP Reference
- Completed Finance Letter (Exhibit 3-O)
- For Major ITS Projects – Phase 2 Only: FHWA approved Systems Engineering Management Plan (SEMP) (Note that federal approval of the SEMP is contingent on prior federal approval of the Systems Engineering Review Form [SERF])
- Copy of Executed Cooperative Agreement (only for projects on State Highway System)
- Request for Capital Subvention Reimbursement Allocation (Exhibit 3-H) (only for projects on State Highway System)

Field Review Form (Exhibit 7-B)

- Completed Field Review Form (Exhibit 7-B), or
- A Field Review Form will be submitted within four (4) months of the Federal Authorization date, otherwise, it is understood the authorization to proceed will be canceled automatically. It is further understood that a Program Supplement Agreement will NOT be prepared until after the Field Review Form is submitted.**

Environmental Document

- Type of NEPA Document. Approval Date: _____.
- Programmatic Categorical Exclusion (PCE) Form
- Categorical Exclusion (CE) Form
- Findings of No Significant Impact (FONSI)
- Record of Decision (ROD)
- Re-evaluation
- This agency has not completed the environmental process. The NEPA Document will be submitted at a later date, prior to beginning of final design (PS&E).

Disadvantaged Business Enterprise (DBE)

- The Annual Anticipated DBE Participation Level (AADPL) for FFY _____ was approved by Caltrans on _____.
- All work for this phase of the project will be performed by local agency staff.
- For consultant contracts the Local Agency Proposer/Bidder-DBE (Consultant Contract) Information (Exhibit 10-O) will be provided immediately upon execution of the consultant contract.

Pre-Award Audit

- Completed Audit Disposition (Exhibit 10-K), or
- Audit Disposition was not completed because neither federal-aid nor state funds will be used to fund a consultant contract, or
- Pre-award audit was not performed because the consultant contract is for \$250,000 or less and does not meet the criteria outlined in Exhibit 10-K, requiring pre-award audit, or
- Audit Disposition is not being submitted at this time. It will be submitted to the DLAE prior to entering a contract with the consultant(s).

California Transportation Commission (CTC) Allocation

- A CTC allocation is not required, or
- A CTC allocation of \$ _____ (federal/state) funds for the PA/ED and/or PS&E component(s) of work was made at the _____ meeting of the CTC, or
- A CTC allocation of funds has been scheduled for the _____ meeting of the CTC. It is understood that the authorization/obligation of any federal STIP funds will not be made until after the CTC allocation.

Project Agreement and Liquidation of Funds

Upon FHWA issuance of the "Authorization to Proceed" and Agency submittal of the "Field Review" form (Exhibit 7-B) a "Program Supplement Agreement" will be prepared to encumber the federal and/or state funds for the project. This Agency understands that any federal and/or state funds encumbered for the project are typically available for disbursement for a period of seven (7) and five (5) years respectively, from the beginning of the fiscal year(s) that those funds are appropriated in the State Budget Act, unless an extension is granted by the Department of Finance. It is anticipated that this phase of work will be completed by _____ (month, year).

Invoice Submittal

This Agency understands that only relocation work performed after federal "Authorization to Proceed" (E-76) is eligible for reimbursement. Invoices for reimbursement will not be submitted until after the federal and state (if applicable) funds are encumbered via an executed "Program Supplement Agreement" and/or State approval Finance Letter. In addition, it is also understood that an invoice must be submitted at least once every six (6) months for each project phase until all funds are expended. If there are no eligible expenses, then a written explanation will be provided for that six (6) month period along with the target amount and date for the next invoice submittal.

CERTIFICATION

I certify that the facts and statements in this Request for Authorization Package are accurate and correct. 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 and California Department of Transportation relative to the above-designated project.

I understand that this Agency is responsible for all costs in excess of the federal and/or state funds obligated / encumbered as well as for all costs it incurred prior to receiving the FHWA issued "Authorization to Proceed." I further understand that all subsequent phases of the project will require a separate "Federal Authorization to Proceed."

For all ITS projects, I understand that our project shall be consistent with the Regional ITS Architecture, adhere to ITS Standards, and undergo Systems Engineering analysis. For Major ITS projects, I understand that this Agency shall not proceed with component detailed design until after FHWA approval of the SEMP and receipt of "Authorization to Proceed."

Please advise us as soon as the "Federal Authorization to Proceed" has been issued. You may direct any questions to:

(Name of Local Agency Contact) at _____ (phone number and e-mail address) .

Name

Title

Agency

Distribution: DLAE

**EXHIBIT 3-B REQUEST FOR AUTHORIZATION
TO PROCEED WITH RIGHT OF WAY**
(Local Agency Letterhead)

To: (DLAE Name) _____ Date: _____
 District Local Assistance Engineer FTIP/FSTIP ID: _____
 Caltrans, Office of Local Assistance Federal Project No: _____
 (District Address) EA: _____
 PPNO (For STIP Projects): _____
 Project Description: _____

Dear (DLAE Name):

In order to proceed with right of way phase of work for the above-referenced project, we request that you secure Federal Authorization to Proceed and obligation of funds. The federal funds requested do not exceed those provided to this agency in the federally approved Federal Transportation Improvement Program (FTIP)/Federal Statewide Transportation Improvement Program (FSTIP).

Attached are the following documents required to authorize this phase of work:

Request for Authorization Package

- Completed Request for R/W Authorization Data Sheet (Exhibit 3-E)
- Copy of FTIP/FSTIP Reference Sheet
- Completed Finance Letter (Exhibit 3-O)
- Copy of Executed Cooperative Agreement, if not previously submitted (only for projects on State Highway System)
- Request for Capital Subvention Reimbursement Authority (Exhibit 3-H) (only for projects on State Highway System)

Field Review Form (Exhibit 7-B)

- Completed Field Review Form (Exhibit 7-B), or
- The Field Review Form was submitted previously on _____.

Environmental Document

- Type of NEPA Document. Approval Date: _____.
- Programmatic Categorical Exclusion (PCE) Form
- Categorical Exclusion (CE) Form
- Findings of No Significant Impact (FONSI)
- Record of Decision (ROD))
- Re-evaluation

Disadvantaged Business Enterprise (DBE)

- The Annual Anticipated DBE Participation Level (AADPL) for FFY _____ was approved by Caltrans on _____.
- All work for this phase of the project will be performed by local agency staff.
- For consultant contracts the Local Agency Proposer/Bidder-DBE (Consultant Contract) Information (Exhibit 10-O) will be provided immediately upon execution of the consultant contract.

California Transportation Commission (CTC) Allocation

Check which of the following applies:

- A CTC allocation is not required, or
- A CTC allocation of funds for the right of way component of work was made at the _____ meeting of the CTC, or
- A CTC allocation of funds has been scheduled for the _____ meeting of the CTC. It is understood that the authorization/obligation of any federal STIP funds will not be made until after the CTC allocation.

Project Agreement and Liquidation of Funds

Upon FHWA issuance of the "Authorization to Proceed" (and agency submittal of the "Field Review" form [Exhibit 7-B] if not previously submitted), a "Program Supplement Agreement" and/or state approved "Finance Letter" will be prepared to encumber the federal and/or state funds for the project. This Agency understands that any federal and/or state funds encumbered for the project are typically available for disbursement for a period of seven (7) and five (5) years respectively, from the beginning of the fiscal year(s) that those funds are appropriated in the State Budget Act, unless, an extension is granted by the Department of Finance. It is anticipated that this phase of work will be completed by _____ (month, year).

Invoice Submittal

This Agency understands that only work performed after federal "Authorization to Proceed" (E-76) is eligible for reimbursement. Invoices for reimbursement will not be submitted until after the federal and state (if applicable) funds are encumbered via an executed "Program Supplement Agreement" and/or state approval Finance Letter. In addition, it is also understood that an invoice must be submitted at least once every six (6) months for each project phase until all funds are expended. If there are no eligible expenses, then a written explanation will be provided for that six (6) month period along with the target amount and date for the next invoice submittal.

CERTIFICATION

I certify that the facts and statements in this Request for Authorization Package are accurate and correct. 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 and California Department of Transportation relative to the above-designated project.

I understand that this Agency is responsible for all costs in excess of the federal and/or state funds obligated / encumbered as well as for all costs it incurred prior to receiving the Federal Highway Administration issued "Authorization to Proceed."

Please advise us as soon as the Authorization to Proceed has been issued. You may direct any questions to:

_____ (Name of Local Agency Contact) at _____ (phone number and e-mail address) .

Name

Title

Agency

Distribution: DLAE

EXHIBIT 3-C REQUEST FOR AUTHORIZATION TO PROCEED WITH UTILITY RELOCATION (Local Agency Letterhead)

To: (DLAE Name) District Local Assistance Engineer Caltrans, Office of Local Assistance (District Address)

Date: FTIP/FSTIP ID: Federal Project No: EA: PPNO (For STIP Projects): Project Description:

Dear (DLAE Name):

In order to proceed with Utility Relocation phase of work for the above-referenced project, we request that you secure Federal Authorization to Proceed and obligation of funds. The federal funds requested do not exceed those provided to this agency in the federally approved Federal Transportation Improvement Program (FTIP)/Federal Statewide Transportation Improvement Program (FSTIP).

Attached are the following documents required to authorize this phase of work:

Request for Authorization Package

- Completed Request for R/W Authorization Form (Exhibit 3-B)
Request for Authorization Data Sheet (Exhibit 3-E)
Copy of FTIP/FSTIP Reference Sheet
Completed Finance Letter (Exhibit 3-O)
Copy of Executed Cooperative Agreement, if not previously submitted (only for projects on State Highway System)
Request for Capitol Subvention Reimbursement Authority (Exhibit 3-H) (only for projects on State Highway System)

Field Review Form (Exhibit 7-B)

- Completed Field Review Form (Exhibit 7-B), or
The Field Review Form was submitted previously on

Environmental Document

- Type of NEPA Document. Approval Date:
Programmatic Categorical Exclusion (PCE) Form
Categorical Exclusion (CE) Form
Findings of No Significant Impact (FONSI)
Record of Decision (ROD)
Re-evaluation

Disadvantaged Business Enterprise (DBE)

- The Annual Anticipated DBE Participation Level (AADPL) for FFY was approved by Caltrans on
All work for this phase of the project will be performed by local agency staff.
For consultant contracts the Local Agency Proposer/Bidder-DBE (Consultant Contract) Information (Exhibit 10-O) will be provided immediately upon execution of the consultant contract.

Utility Relocation

- This Agency agrees to comply with 23 CFR 645.119 “Alternate Procedure” (as explained in Chapter 13, “Right of Way,” and Chapter 14, “Utility Relocations,” of the LAPM). This Alternate Procedure is provided to simplify the processing of utility relocations or adjustments under the provisions of 23 CFR 645. Under this procedure, the FHWA authorized the Department of Transportation (Caltrans) to act in relative position of the FHWA for review and approval of the arrangements, fees, estimates, plans, utility agreements, and other related matters required by such regulation as prerequisites for authorizing the utility owner to proceed with and complete the work.

It is understood that the scope of the Department’s approval authority under the Alternate Procedure includes all actions necessary to advance and complete all types of utility work under the provisions of such regulation, except Section 645.119 (B)(1) and 645.119 (b)(2). Two of such documents that need the Department’s approval are FHWA Specific Authorization and FHWA Approval of the Utility Agreement(s). See Chapter 14, “Utility Relocations,” of the LAPM for more information on the activities necessary for federal participation in utility relocations. The approval authority has been delegated to the Right of Way District Utility Coordinators.

California Transportation Commission (CTC) Allocation

Check which of the following applies:

- A CTC allocation is not required, or
- A CTC allocation of funds for the right of way component of work was made at the _____ meeting of the CTC, or
- A CTC allocation of funds has been scheduled for the _____ meeting of the CTC. It is understood that the authorization/obligation of any federal STIP funds will not be made until after the CTC allocation.

Project Agreement and Liquidation of Funds

Upon FHWA issuance of the “Authorization to Proceed” (and agency submittal of the “Field Review” form [Exhibit 7-B]), if not previously submitted), a “Program Supplement Agreement” and/or state approved “Finance Letter” will be prepared to encumber the federal and/or state funds for the project. This Agency understands that any federal and/or state funds encumbered for the project are typically available for disbursement for a period of seven (7) and five (5) years respectively, from the beginning of the fiscal year(s) that those funds are appropriated in the State Budget Act, unless an extension is granted by the Department of Finance. It is anticipated that this phase of work will be completed by _____ (month, year).

Invoice Submittal

This Agency understands that only relocation work performed after federal “Authorization to Proceed” (E-76), approval of the Specific Authorization, and appropriate Utility Agreement is eligible for reimbursement. Invoices for reimbursement will not be submitted until after the federal and state (if applicable) funds are encumbered via an executed “Program Supplement Agreement” and/or state approval Finance Letter. In addition, it is also understood that an invoice must be submitted at least once every six (6) months for each project phase until all funds are expended. If there are no eligible expenses, then a written explanation will be provided for that six (6) month period along with the target amount and date for the next invoice submittal.

CERTIFICATION

I certify that the facts and statements in this Request for Authorization Package are accurate and correct. This Agency agrees to comply with the applicable terms and conditions set forth in Title 23, U.S. Code, Highways, and policies and procedures promulgated by the Federal Highway Administration and California Department of Transportation relative to the above-designated project.

I understand that this Agency is responsible for all costs in excess of the federal and/or state funds obligated / encumbered, as well as, for all costs it incurred prior to receiving the FHWA issued Authorization to Proceed.

Please advise us as soon as the Authorization to Proceed has been issued. You may direct any questions to:

____ (Name of Local Agency Contact) _____ at _____ (phone number and e-mail address) _____ .

Name

Title

Agency

Distribution: DLAE

This page intentionally left blank

EXHIBIT 3-D REQUEST FOR AUTHORIZATION TO PROCEED WITH CONSTRUCTION

(Local Agency Letterhead)

To: (DLAE Name)
District Local Assistance Engineer
Caltrans, Office of Local Assistance
(District Address)

Date:
FTIP/FSTIP ID:
Federal Project No:
EA:
PPNO (For STIP Projects only):
Project Description:

Dear (DLAE Name):

In order to advertise, award and administer the construction contract for the above-referenced project, we request that you secure Federal Authorization to Proceed and obligation of funds. The federal funds requested do not exceed those provided to this agency in the federally approved Federal Transportation Improvement Program (FTIP)/Federal Statewide Transportation Improvement Program (FSTIP).

Attached are the following documents required to authorize this phase of work:

Request for Authorization Package

- [] Completed Request for Construction Authorization Data Sheet (Exhibit 3-E)
[] Copy of FTIP/FSTIP Reference Sheet
[] Completed Finance Letter (Exhibit 3-O)
[] Copy of Executed Cooperative Agreement (only for projects on State Highway System)
[] Request for capital Subvention Reimbursement Authority (Exhibit 3-H) (only for projects on State Highway System)

Field Review Form (Exhibit 7-B)

- [] Completed Field Review Form (Exhibit 7-B), or
[] The Field Review form previously was submitted on

Environmental Document

- [] Type of NEPA Document. Approval Date:
[] Programmatic Categorical Exclusion (PCE) Form
[] Categorical Exclusion (CE) Forms
[] Findings of No Significant Impact (FONSI)
[] Record of Decision (ROD)
[] Re-evaluation

Disadvantaged Business Enterprises

- [] The Annual Anticipated DBE Participation Level (AADPL) for FFY was approved by Caltrans on
[] All work for this phase of the project will be performed by local agency staff.
[] For construction contracts the Local Agency Proposer/Bidder-DBE (Construction Contract) Information (Exhibit 15-G) will be provided immediately upon Execution of the consultant contract.

Right of Way Certification (Exhibits 13-A or 13-B)

- [] Right of Way Certification # which was approved on
[] Right of Way Certification # was approved on and previously submitted.

PS&E Package and PS&E Certification

- [] Completed PS&E package, PS&E Certification (Exhibit 12-C), and PS&E Checklist (Exhibit 12-D), or
[] The PS&E package, PS&E Certification, and PS&E Checklist were submitted and accepted on

Local Agency Construction Contract Administration Checklist

- Local Agency Construction Contract Administration Checklist (Exhibit 15-A), or
- The Local Agency Construction Administration Checklist was submitted previously and our procedures have not changed.

California Transportation Commission (CTC) Allocation

Check which of the following applies:

- A CTC allocation is not required, or
- A CTC allocation of funds for the construction component of work was made at the _____ meeting of the CTC, or
- A CTC allocation of funds has been scheduled for the _____ meeting of the CTC. It is understood that the authorization/obligation of any federal STIP funds will not be made until after the CTC allocation.

Project Agreement and Liquidation of Funds

Upon FHWA issuance of the "Authorization to Proceed" (and agency submittal of the "Field Review" form [Exhibit 7-B], if not previously submitted), a "Program Supplement Agreement" and/or state approved "Finance Letter" will be prepared to encumber the federal and/or state funds for the project. This Agency understands that any federal and/or state funds encumbered for the project are typically available for disbursement for a period of seven (7) and five (5) years respectively, from the beginning of the fiscal year(s) that those funds are appropriated in the State Budget Act, unless an extension is granted by the Department of Finance. It is anticipated that this phase of work will be completed by (month, year)

Invoice Submittal

This Agency understands that project construction contracts advertised prior to federal authorization are NOT eligible for reimbursement. It is also understood that construction-engineering cost must be specifically included and authorized in the federal Authorization to Proceed with Construction to be eligible for reimbursement. If construction engineering (CE) is authorized after construction begins, only those construction-engineering costs incurred after the date the CE is authorized are eligible for reimbursement.

Invoices for reimbursement will not be submitted until after the federal and state (if applicable) funds are encumbered via an executed "Program Supplement Agreement" and /or state approved Finance Letter. It is understood that an invoice must be submitted at least once every six (6) months for each project phase until all funds are expended. If there are no eligible expenses then a written explanation will be provided for that six (6) month period along with the target amount and date for the next invoice submittal.

CERTIFICATION

I certify that the facts and statements in this "Request for Authorization Package" are accurate and correct. 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 and California Department of Transportation relative to the above-designated project.

I understand that upon submittal of this request and a completed "Field Review" form, the federal and/or state funds will be encumbered via a Program Supplement Agreement and /or state approved Finance Letter. This Agency will comply with the liquidation deadlines as explained in Government Code 16304.

I understand that this Agency is responsible for all costs in excess of the federal and/or state funds obligated/encumbered and all costs it incurred prior to receiving the FHWA issued "Authorization to Proceed" for this phase of the project.

Please advise us as soon as the "Authorization to Proceed" has been issued. You may direct any questions to

____ (Name of Local Agency Contact) ____ at ____ (phone number and e-mail address) ____.

NAME

Title

Agency

Distribution: DLAE

This page intentionally left blank

EXHIBIT 3-E - REQUEST FOR AUTHORIZATION TO PROCEED DATA SHEET(S)

PROJECT REFERENCE DATA

DIST-CO-RTE-AGENCY: _____ FTIP / FSTIP ID: _____
 FEDERAL PROJECT NO.: _____ PPNO (STIP): _____
 CALTRANS EA: _____ CTIPS REFER. NO.: _____
 BRIDGE NO.(s): _____

RESPONSIBLE/IMPLEMENTING AGENCY

RESPONSIBLE AGENCY: _____ IMPLEMEN. AGENCY: _____

PROJECT DESCRIPTION

PROJECT TITLE: _____
 WORK DESCRIPTION: _____

PROJECT LOCATION

PROJECT LOCATION: _____

 URBAN (IZED) AREA: _____ INDIAN RESERV. : (Y/N) _____
 CONG. DIST.S. & %'S: _____ TOLL ROAD: (Y/N) _____
 RURAL (Y/N): _____

FEDERAL AID ROUTE

FED-AID SYSTEM: (Y/N) _____ FUNTCIONAL CLASSIF. : _____
 STATE HWY: (Y/N) _____ STATE ROUTE: _____

ADMINISTERING AGENCY

LOCAL or CALTRANS (CT): _____ IF CT, PROJ. MANAGER: _____

THIS FEDERAL AUTHORIZATION REQUEST

OVERSIGHT: STATE-AUTHORIZED or FULL OVERSIGHT
 ADV. CON. (Y/N): _____ 100% SAFETY (Y/N): _____

COST SUMMARY:

<u>PHASE OF WORK</u>	<u>TOTAL</u>	<u>FED PART</u>	<u>FED 1</u>	<u>FED 2</u>	<u>STATE</u>	<u>OTHER</u>	<u>LOCAL</u>
PREV. OBLIG	_____	_____	_____	_____	_____	_____	_____
THIS REQUEST	_____	_____	_____	_____	_____	_____	_____
SUBTOTAL	_____	_____	_____	_____	_____	_____	_____
<u>PHASE OF WORK</u>	<u>TOTAL</u>	<u>FED PART</u>	<u>FED 1</u>	<u>FED 2</u>	<u>STATE</u>	<u>OTHER</u>	<u>LOCAL</u>
PREV. OBLIG	_____	_____	_____	_____	_____	_____	_____
THIS REQUEST	_____	_____	_____	_____	_____	_____	_____
SUBTOTAL	_____	_____	_____	_____	_____	_____	_____
TOTAL	_____	_____	_____	_____	_____	_____	_____

FEDERAL DEMONSTRATION PROJECT INFORMATION

PUBLIC LAW, SECTION: _____ FEDERAL DEMO ID: _____
 LEGISLATIVE PROJECT NO.: _____ ESTIM. CONST. DATE: _____
 RELATED DEMO PROJECTS: _____

FTIP / FSTIP DATA

MPO/RTPA NAME: _____ FTIP / FSTIP YEAR: _____
 FED. FUNDED PHASES: _____ SHEET OR AMD. NO.: _____
 APPROVAL DATE: _____
 FED FUND TYPES/TOTALS: _____ APPRV'D EPSP (Y or N): _____)

DISADVANTAGED BUSINESS ENTERPRISE (DBE) SUBMITTALS:

Race-Neutral Implementation Agreement CT APPROVAL DATE: _____
 DBE Annual Submittal Form:
 FED FISCAL YEAR: _____ CT APPROVAL DATE: _____

INITIAL AUTHORIZATION & ESTIMATED COMPLETION DATES

<u>PHASE OF WORK</u>	<u>INITIAL FEDERAL AUTHORIZATION DATE</u>	<u>ESTIMATED COMPLETION DATE</u>
PE	_____	_____
RW	_____	_____
CON	_____	_____

ENVIRONMENTAL DATA

NEPA DOCUMENT TYPE:
 PCE _____ Date DLAE signed PCE Form
 CE _____ Date FHWA signed CE Form
 EA / FONSI _____ Date FHWA signed the FONSI
 EIS / ROD _____ Date FHWA signed the ROD
 EIS _____ (Year and FHWA No.)
 AIR BASIN _____ (For CMAQ Program Funds)

R/W ESTIMATE

R/W ACQ PARCELS: _____ \$ _____
 RAP (FAMILY): _____ \$ _____
 (BUSINESS): _____ \$ _____
 LRH/HRDSHP: _____ \$ _____
 UTILITIES: _____ \$ _____
 SUPPORT: _____ \$ _____
 TOTAL: _____ \$ _____

UTILITY RELOCATION / ADJUSTMENTS

<u>UTILITY OWNER</u>	<u>UTILITY TYPE</u>	<u>COST TO RELOCATE</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____
TOTAL UTILITY RELOCATION COSTS		_____

DESCRIPTION OF R/W PARCELS BY TYPE OF ACQUISITION/ACTIVITY

<u># PARCELS</u>	<u>ACQUISITION TYPE AND/OR ACTIVITY</u>	<u># ACRES</u>	<u>EST. COST</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

R/W CERTIFICATION

R/W CERT. NO. _____ Date Approved by Caltrans: _____

LOCAL AGENCY COMMENTS

THIS REQUEST PREPARED BY:

NAME: _____
 TITLE: _____
 PHONE NO.: _____
 E-MAIL: _____

AGENCY CONTACT FOR PROGRAM SUPPLEMENT AGREEMENT

NAME: _____
 TITLE: _____
 E-MAIL: _____
 PHONE NO.: _____

Distribution: DLAE

EXHIBIT 3-F INSTRUCTIONS FOR REQUEST FOR AUTHORIZATION DATA SHEET(S)**General**

“Request for Authorization (RFA) Data Sheets” (Exhibit 3-E) must be submitted whenever a local agency desires federal participation in a phase of work for the project. The completed RFA data sheets provide the basic project information necessary for Caltrans and the FHWA to process a request for federal authorization. A federal “Authorization to Proceed” (E-76) must be issued prior to beginning work for which federal reimbursement is sought and before the project is advertised for construction.

Dist.–Co.–Rte–PM/Agency: Complete the District, County, Route (State Route only or 0 (zero), Post Mile limits (State Route only) or 4-digit Agency abbreviation. This group of characters is called the Project Locator.

FTIP/FSTIP ID No.: This project ID number is assigned by the Regional Transportation Planning Agency (RTPA) or Metropolitan Planning Organization (MPO) and references the project in the regional Federal Transportation Improvement Program (FTIP) and Statewide Federal State Transportation Improvement Program (FSTIP). All projects that receive federal “Authorization to Proceed” must be listed in the triennial element of the current federally approved FTIP/FSTIP. This project ID number is available at the regional RTPA/MPO website in the Caltrans CTIPS system referenced below.

FHWA requires that all federally funded phases of work be specifically listed in the federally approved FTIP/ FSTIP. Phases of work not listed must be amended into the FTIP/FSTIP via a TIP amendment prior to the authorization/obligation of federal funds.

Federal Project Number: The Federal Project Number (FPN) is the major federal project identifier and must be reported for all federal-related transactions. The last seven (7) numeric digits of the FPN are used to identify the project in both the Caltrans’ Federal Aid Data System (FADS) and the Federal Management Information System (FMIS). Typically, the alpha/numeric characters preceding the last seven numeric digits of the FPN are used to identify the federal funding program (for ongoing multi-year projects the fiscal year of programming may also be identified). For the initial project federal authorization, the Caltrans’ District Local Assistance Engineer (DLAE) or Division of Local Assistance (DLA) will assign the FPN. On subsequent authorization requests, enter the FPN previously assigned.

Project Planning Number (PPNO): For projects financed, in whole or in part, with funds from the State Transportation Improvement Program (STIP) Caltrans will assign a project PPNO. Project PPNOs are available at the Caltrans’ maintained California Transportation Improvement Program System (CTIPS) website.

Caltrans Expenditure Authorization (EA): The EA is the primary state identifier for transportation projects financed with federal and/or state funds. The first two (2) characters of the EA identify the Caltrans District number (01, 02, ... 12). The next 6 characters identify the six (6) digits of the EA (the combined eight (8) characters are referred to as the Primary EA). The suffix to the EA may contain up to five (5) characters, including an “S” or “L”. For projects funded with local assistance federal funds (including Regional Improvement Program Funds from the STIP), an “L” suffix is used at the end of the Primary EA. The Caltrans Division of Local Assistance administers local assistance federal funds. For the initial program authorization, the DLAE establishes the EA to be used. On subsequent authorization request, enter the EA previously assigned.

CTIPS Reference No.: Enter the thirteen (13)-character California Transportation Improvement Program System (CTIPS) reference number. The MPO FTIP/FSTIP project ID number may be used if a CTIPS reference number is not available. The (CTIPS) project number is assigned by Caltrans and is available at the Caltrans maintained CTIPS.

Bridge No.: This number is required for all projects that involve bridge replacement, rehabilitation or seismic retrofit work. Enter the National Bridge Inventory (NBI) structure number of the bridge(s) to be replaced, rehabilitated, or retrofitted. The NBI structure number(s) are available via the Caltrans Division of Local Assistance Highway Bridge (HBP) Website at <http://www.dot.ca.gov/hq/LocalPrograms/>

The NBI structure number format is **XXYZZZZS** where **XX** represents the two (2) digits county number (01-58); **Y** is the bridge owner; **ZZZZ** is the actual bridge number; **S** represents the suffix for the bridge.

Preliminary Engineering and Right of Way activities using HBP funds also must report NBI structure number(s).

Responsible Agency: The responsible agency is the agency receiving the federal funds and preparing the "Request for Authorization." This agency is ultimately responsible for implementation of the project. Typically, this agency will provide the required match to federal funds and maintains the completed facility. The responsible agency must enter into a project funding agreement directly with the state for project design, construction, etc., but also may enter into a separate agreement with a city, county or other entity to implement and administer the project or project phase **on their behalf.**

Implementing Agency: Name of agency implementing the project or project phase on behalf of the responsible agency. Discuss in the Local Agency Comments section of the RFA data sheets.

Project Title: Enter the project title as listed in the current federally approved FTIP/FSTIP.

Work Description: Provide a brief description of the work for which federal participation is being sought. The description of work must be consistent with the federally approved FTIP/FSTIP. Changes in project scope or limits will require prior RTPA/MPO concurrence and FTIP/FSTIP amendment. For changes in project scope or limits, a **revised "Authorization to Proceed" must be approved by FHWA.**

When planning projects are involved, identify the time period that the project covers.

Project Location: Enter a brief description for the project limits that includes a U.S., State or local route(s). The description should reference the project by municipal boundaries, county lines, intersecting highways, streams, railroad crossings, etc. If more space is needed to describe a multi-location project attach a separate listing of project limits for each project locations.

For projects located in urban areas, identify the city and relate the project to named places as space permits.

Urban Area Name: As defined in Section 101, Title 23 of the U.S.C., an urbanized area is an area having a population of 50,000 or more persons. An attributable urbanized area is an urban area having a population of 200,000 or more and eligible to receive Federal Urbanized Area funds. The following is a list of the currently recognized urbanized areas within the State:

Los Angeles-Long Beach	Santa Rosa
San Francisco-Oakland	Seaside-Monterey
San Diego	Antioch-Pittsburg
San Jose	Lancaster
Sacramento	Hesperia-Apple Valley-Victorville
San Bernardino-Riverside	Indio-Coachella
Fresno	Concord
Bakersfield	Mission Viejo
Stockton	Temecula-Murrieta
Oxnard-Ventura	Thousand Oaks
Modesto	

Indian Reservation: Indicate (Y/N) whether or not the project is located on an Indian Reservation.

Congressional Districts: Enter the congressional district(s) that are impacted by the project and the percentage of funds for each district.

Toll Road: Indicate (Y/N) if a toll road is involved. To monitor toll road projects or work performed on toll roads, enter a “Y.”

Rural Area: Defines as an area having a population of less than 50,000.

Federal-Aid System: Indicate the federal-aid system on which the project is located. Valid entries are:

- Interstate
- NHS Non-Interstate
- Other Federal-aid System
- Not on Any Federal-aid System

Functional Classification: Streets and highways are grouped into classes or systems according to the character of service they provide. If there are multiple functional classifications involved, enter the higher classification. Valid entries for functional classification are:

- Freeway and Expressway
- Principal Arterial
- Minor Arterial
- Major Collector Minor Collector
- Local
- No Functional Class

State Highway: Indicate (Y/N), whether or not the project is located within the right of way limits of an existing or proposed state highway. If so, enter the State Highway Route number (e.g., I-405).

Administering Agency (Local or Caltrans): Indicate the name of the agency administering the project. If the project is located on a state highway and Caltrans is the project administrator, enter the name of the Caltrans' Project Manager.

FHWA Oversight: Indicate whether or not this project may be “State-Authorized” or is subject to FHWA “Full-Oversight” (see Figure 2-1 FHWA Oversight, Chapter 2 of the LAPM). Projects that may be “State Authorized” include: 1) all projects off the Interstate System, 2) all projects on Interstate System with an estimated construction cost less than \$1,000,000, and 3) all Interstate 3R projects regardless of cost. Per current “Project Approval and Oversight Letters of Agreement between the Federal Highway Administration and the California Department of Transportation” certain types of projects, regardless of location and cost, may not be exempt from FHWA oversight. These include: 1) Major ITS projects (a description of major ITS projects can be found in Title 23 Code of Federal Regulations (CFR) Section 940, 2) Major projects receiving federal funds of \$500 million or more, 3) Projects of National Significance under the Transportation Infrastructure Finance Innovation Act (TIFIA) of 1998, and 4) unusual bridges and structures. Oversight roles on these special categories of projects must be negotiated and agreed to by the FHWA, Caltrans, and project sponsor prior to submittal of the Request for Authorization to Proceed.

Advance Construction Authorization: Indicate (Y/N), whether or not an Advance Construction Authorization is being requested. If so, a local agency must submit a “Request for Advance Construction Authorization” form (see Exhibit 3-I).

100% Safety Eligible: Indicate (Y/N), whether or not this project is using 100% Safety funds in accordance with Title 23 of United States Code (U.S.C.) Section 120.

Cost Summary: Identify all project-related costs through the current request. The “TOTAL” cost of work is the sum of both the total federal participating and nonfederal participating project costs. The “federal participating” cost is equal to the cost of all work eligible for federal participation. Identify the “federal funding program and dollar amount” for each phase of work. Identify the funds previously obligated as well as these funds current request. The total federal funds obligated should not exceed the funds programmed in the federally approved FTIP/FSTIP (unless

prior approval is received from appropriate MPO/RTPA), Caltrans Administered Federal Program (such as Bridge, Safety) or allocated by the FHWA (discretionary/earmarked federal funds).

Finally, enter the "LOCAL" and/or other types of federal matching funds. Identify previous obligations and the current request for each phase of work. (If more space is needed, use a separate sheet of paper.)

Public Law, Section, and Legislated Project No: Identify the Public Law, Section and Legislated Project No. identifying to DEMO project.

Federal DEMO ID: This five (5) character alphanumeric identifier is required for all Demonstration (DEMO) funded projects. The first two characters are alpha (represent name of state) and the last three (3) characters are numeric (sequential number for the state), e.g., CA015, CA016.

The federal DEMO ID is assigned by the FHWA and relates to a specific DEMO project identified in public law. The DEMO ID is listed in the allocation memo to the FHWA Division office in Sacramento from the FHWA in Washington, D.C.

(DEMO) Estimated Construction Date: Enter the estimated start date (MM/YYYY) of physical construction for the DEMO project with its appurtenant facilities. This information must be reported for all DEMO funded projects. This includes any removal, adjustment or demolition of buildings or major obstructions, and utility or railroad work that is a part of the contract for physical construction.

Related DEMO Project(s): Occasionally, a DEMO funded transportation project is funded by multiple DEMO IDs. FHWA administrative procedures require that a separate federal project numbers be established for each DEMO ID to facilitate the tracking of federal funds on a DEMO ID basis. For projects funded with multiple DEMO IDs, cross-reference any directly related FPNs.

MPO/RTPA: Enter the name of the Metropolitan Planning Organization (MPO) or Regional Transportation Planning Agency (RTPA) within which the project is located.

Federal Funded Phases: Identify the project phases of work programmed to receive federal funds in the FTIP/FSTIP.

Federal Fund Types: Identify all fund types by federal or state program (e.g. STPL, CMAQ, HBP, STIP, etc.) and amounts programmed for the project.

FTIP/FSTIP/Year and No.: Enter the federal fiscal year the FTIP/FSTIP was approved. For amendments to the FTIP/FSTIP, enter the amendment number and approval date. Federal fiscal Year 2003/2004 is identified as 03/04

Approval Date: Enter the date that the Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) approved the FTIP or FSTIP (or amendment thereto) for the work being authorized. Enter the date in a MM/DD/YY (i.e., 10/05/02) format.

Approved Expedited Project Selection Procedures (EPSP): Indicate whether or no (Yes or No) Caltrans has approved the appropriate MPO/RTPA's EPSP.

Disadvantage Business Enterprise (DBE) Submittals: Enter the Caltrans Approval date of the DBE Race-Neutral Implementation Agreement (Exhibit 9-A). Enter the Caltrans Approval date for the current FFY Local Agency DBE Annual Submittal Form (Exhibit 9-B). The Local Agency must have a completed Race-Neutral Implementation Agreement, and the current FFY Local Agency DBE Annual Submittal Form approved by Caltrans prior to the Agency's initial request for federal authorization. For this reason, the approval process for submitting an Agency's DBE Annual Submittal Form should start well in advance of the planned date of first federal authorization. The approval date should be entered in a MM/DD/YY (i.e., 09/20/06) format.

Initial Federal Authorization Dates: Enter the initial federal authorization date for each phase of work as the project progresses through the project development process. This date represents the eligibility date for the start of federally reimbursable work. For State-Authorized projects, this is the initial date that Caltrans HQ transmits the project record (E-76) for phase of work to the FHWA (Sacramento). For Full oversight projects, federally reimbursable work may be begin on the date that the FHWA (Sacramento) approves/authorizes (via electronic signature) the E-76.

Estimated Completion Date: Enter the estimated completion date for each phase of work.

Environmental Data: Identify the federal NEPA Class of Action (PCE, CE, EA or EIS) for the project by inserting a check mark next to the appropriate class and indicate the date the NEPA Determination of document was signed. For PCEs, indicate the date DLAE signed the CE/CE/PCE form. For Regular CEs, indicate the date FHWA signed the CE/CE/PCE form. For EAs, indicate the date FHWA signed the FONSI, and for EISs, indicate the date FHWA signed the ROD.

For EISs, indicate the year of the public release of the EIS and the EIS Number (assigned by FHWA).

A copy of the signed NEPA Determination or document should accompany the requests for Authorization to Proceed with Right of Way and/or Construction.

Air Basin: The name of the Air Basin is required for projects funded with federal Congestion and Air Quality Improvement Program (CMAQ) funds.

Right of Way Acquired Parcels: Report the number of right of way parcels to be acquired and the estimated cost.

Family Relocation Assistance Payments (RAP-Family): Report the total number of family relocation assistance payments to be made and the estimated costs.

Business Relocation Assistance Payments (Business): Report the total number of business relocation assistance payments to be made and the estimated costs.

Last Resort Housing/Hardship (SRH/HRDSHP): Report the total number of Last Resort Housing/Hardship payments to be made and the estimated costs.

Utilities: Report the total estimated amount of utility payments to be made. Enter the amount to the nearest dollar.

Support: Report the total estimated dollar amount of the support payments to be made. Enter the amount rounded to the nearest dollar.

Total: Sum of all the R/W estimates above.

Utility Relocations/Adjustments: Enter the name of the utility owner, type of utility, and estimated cost to relocate/adjust each utility for which federal reimbursement is being requested. The local agency must be totally obligated to pay for the utility relocation work. Refer to Chapter 14, "Utility Relocations," of the *Local Assistance Procedures Manual* (LAPM) for requirements and information related to federal participation in utility relocation work.

#Parcels: Enter the number of parcels for each type of acquisition and/or activity

Acquisition Type and/or Activity: Enter the type of acquisition (residential, business or easement, partial or full take, etc.) and/or Activity (relocation assistance, type of easement, other type of compensation, etc.)

Acres: Enter the number of acres attributable to each acquisition type and/or activity.

Estimated Cost: Enter the estimated cost attributable to each acquisition type and/or activity.

Right of Way Certification: Enter the Right of Way Certification status (1,2, or 3) as defined in 23 CFR 635.309 and Chapter 13 'Right of Way' of the LAPM and enter the date the Right of Way Certification was accepted by the Caltrans Right of Way official.

Local Agency Comments: Provide any important project information related to the current request for authorization. If more space is needed, submit the information on a separate sheet of paper.

Person Preparing Request for Authorization: Enter the name, title, e-mail address, and phone number of the person preparing the request for authorization and to whom questions may be addressed.

Contact for Program Agreement: Enter the name, title, phone number and e-mail address of the person to whom the project funding agreements should be sent for signature by the local agency.

This page intentionally left blank

EXHIBIT 3-G FEDERAL PROJECT LOG SHEET (MINIMUM REQUIREMENTS)
(For DLAE use only)

TO: _____ AREA ENGINEER Department Of Transportation Division of Local Assistance - MS 1 1120 N Street, Sacramento, CA 95814 Mail: P.O. Box 942874 Sacramento, CA 94274-0001	Dist., Cty, Rte, Agency: _____ Fed. Aid Project No: _____ E.A. Number: _____ Date: _____
---	---

From: _____

DLAE, District No. _____

Caltrans, Office of Local Assistance

	Prefix Chklist	FTIP/FTIP Sht	FTA Grant App. * ₁	Field Rev. Form	Request for CSRA * ₂	Req. for Authoriz.	Req. for FTA Tran.	E-76	Finance Letter	Approved NEPA Document	Spec. Auth. Of Util. Est.	R/W Certification	PS&E Cert. & Chklist.	Preliminary Eng'g Estimate	Cont. Aw'd Chklist.	Detail Estimate	Approved DBE Submittals	Contract Award * ₄	R.O.E. * ₃	Date (HQ use only)
PRELIM. ENG.																				
Authorization	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Program Suppl't	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cost Adjustment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
R/W																				
Authorization	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cost Adjustment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CONST & CE																				
Authorization	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Award Package	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cost Adjustment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FTA TRANSFER																				
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
AWARD PACKAGE																				
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PROJECT COMPLETION																				
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Legend: = Required Document
 = The first two-sheets of field review form
 = Required prior for first authorization of FFY
 = Req'd if not submit prev'ly or have a signifi't change since previous submittal
 = Only req'd if there are STIP Match \$ (Not often)
 = Required for Fed. Part. Util. Reloc.

*1 FTA Grant Appl'n = Copy of grant appl'n funding info. For agencies using Sect. 5307 & 5336 procedures
 *2 Request for Subvention Reimbursement Allocation - ONLY required for State Highway System projects
 *3 Final report of Expenditures; see Chapter 17, Project Completion, Local Assistance Procedure Manual
 *4 Award Package, see Chapter 15, "Advertise & Award Project", LAPM

This page intentionally left blank

EXHIBIT 3- H REQUEST FOR CAPITAL SUBVENTION REIMBURSEMENT ALLOCATION

(For Projects on the State Highway System Financed with Local Assistance Funds)

To: Division Chief, Division of Budgets, Attention: Capital Budgets Branch
Date:
Dist/Co/Rte:
PM:
FTIP/FSTIP ID:
Fed. Project No.:
EA:
PPNO:

Re: REQUEST FOR CAPITAL SUBVENTION REIMBURSEMENT ALLOCATION

PROJECT DESCRIPTION:

(Scope of work and project limits)

AGREEMENT:

Local Agency: (Local Agency Contributing Funds)
Agreement Type / Number: (e.g., Cooperative, Contribution, Program Supplement etc.)
Previously Approved Amount: (e.g., Previously Approved Subvention Funds)
Amount This Request: (e.g., Subvention Funds this Request)
Total Amount: (e.g., Total Subvention Funds)

PROGRAM, CATEGORY OF EXPENDITURES & FISCAL YEAR:

Fund Program Code: (e.g., "20.20.400". or "20.20.075" if funded from RIP)
Category of Expenditure: 121998 (always)
Fiscal Year (FY): (Current FY: Accounting, Budgets or Subvention Branch may revise if necessary)

REQUESTED BY:

Project Manager Name:
Project Manager Signature:
Project Manager Phone No:
DLAE Name:
DLAE Signature:
Date:

CONCURRED BY: Office Chief, Office of Project Delivery and Funding, Division of Local Assistance, Date:

APPROVAL: *(By Capital Outlay Unit, Division of Budgets)*

Name: _____
Title: _____
Date: _____

- 1) For State Hwy projects administered by Caltrans, the Caltrans Project Manager should complete and sign this form.
- For State Hwy projects administered by a local agency, the Caltrans DLAE should complete and sign this form.

Distribution: (1) Local Programs Accounting
(2) District XX Resource Management
(3) Division of Local Assistance, Subvention Management Branch
(4) Highway Appropriation and Management Section- Accounting
(5) DLAE

EXHIBIT 3-I REQUEST FOR LOCAL ADVANCE CONSTRUCTION AUTHORIZATION
(On Local Agency Letterhead)

To: (DLAE Name)
District Local Assistance Engineer
Caltrans, Office of Local Assistance
(District Address)

Date:
FTIP/FSTIP ID:
Federal Project No:
EA:
Project Description:

Re: Request for Advance Construction Authorization for (Project Phase) for (Project Title) at (Project Location)

Dear: (DLAE Name)

The (Name of Local Agency) requests federal Advance Construction authorization for the (Preliminary Engineering, Right of Way, Construction and/or Construction Engineering) phase(s) of work for the above referenced project.

(Indicate local agency reasons/justification for requesting Advance Construction Authorization)

The (Name of Local Agency) understands that currently there are insufficient federal transportation funds (and/or Obligational Authority (OA)) to obligate the appropriate funds for the proposed work. The (Name of Local Agency) agrees to use local funds in lieu of federal funds to finance the cost of work until such time that federal funds (and/or OA) become available for obligation and subsequent reimbursement of the federal share of work. It also is understood that federal reimbursement is not guaranteed.

The (Name of Local Agency) understands that work performed prior to federal authorization is ineligible for federal reimbursement and that advertising the construction contract prior to federal authorization will deem the construction and construction phases of work ineligible for federal funds

For questions regarding this request you may contact (Local Agency contact name and phone number).

Local Agency Representative Authorized to Commit Local Funds

Title

Distribution: (1) DLAE
(2) DLA

This page intentionally left blank

**EXHIBIT 3-J REQUEST FOR TRANSFER OF FEDERAL FUNDS TO THE FEDERAL TRANSIT
ADMINISTRATION (FTA)**

(On Local Agency Overhead)

To: (DLAE Name) _____ Date: _____
 District Local Assistance Engineer FTIP/FSTIP ID(s): _____
 CALTRANS, Office of Local Assistance Project Description(s): _____
 (District Address) _____

Dear (DLAE Name):

We have received notification of pending grant application approval for this public transit project and request that you transfer these federal funds to the Federal Transit Administration for project administration. The amount(s) requested do not exceed the funds provided to this agency in the current approved Federal Statewide Transportation Improvement Program (FSTIP).

Request for FTA Transfer Documentation

Attached is information/documentation in support of this request to transfer federal funds to the FTA:

- Pending FTA Grant Number: _____
- Copy of Approved FSTIP pages
- Copy of Grant Application (Section 5307 projects only)
- Copy of Caltrans Notification Letter (Section 5311 & 5310 projects only)
- Please transfer the following federal funds to the FTA:

<u>Fund Type</u>	<u>Programmed FSTIP Funds</u>	<u>Fiscal Year Programmed</u>	<u>Federal Funds To be transferred</u>
_____	_____	_____	_____
_____	_____	_____	_____
		Total	_____

I understand that the invoices for payment of federal funds will be processed by FTA (Section 5307), or Caltrans (Sections 5311 and 5310 – refer to *Division of Mass Transportation*, Section 5311 “Handbook and Guide,” for invoicing procedures and format)

Prior to payment of State Transportation Improvement Program (STIP) match funds: 1) California Transportation Commission (CTC) must allocate the funds, 2) Master Administering Agency– State Agreement for State Funded Projects and project specific Program Supplement Agreement (PSA) must be executed, 3) Applicant Agency must prepare and sign a project specific Finance Letter, and 4) Applicant Agency must submit evidence that payment of federal funds has been invoiced/received. Invoice procedures and format must adhere to Chapter 5, “Accounting/Invoices,” of *Local Assistance Procedures Manual* (LAPM) (available at <http://www.dot.ca.gov/hq/LocalPrograms/>). * **Please note that STIP match funds may ONLY be used for purposes eligible under Article XIX of the California State Constitution.**

Check which of following applies:

- This project does not qualify for STIP match funds.
- This project is programmed to receive STIP match funds. I have attached the completed:
 - 1) Request for STIP Fund Allocation
 - 2) Funding Allocation Checklist, and
 - 3) Finance Letter
- A request for allocation of STIP match funds will be made at a future date as permitted by Government Code Section 14529.17

CERTIFICATION

I certify that the facts and statements in this “Request for Transfer of Federal to the Federal Transit Administration” are accurate and correct. Following the transfer of funds to the FTA, this agency agrees to comply with the applicable terms and conditions set forth in Title 49, USC, Chapter 53 “Mass Transportation” and the policies and procedures promulgated the FTA relative to the above-designated project.

Signature of Local Agency Representative

Title

Date

Distribution: Local Agency

EXHIBIT 3-K ADMINISTRATIVE PROCEDURES FOR TRANSFER OF LOCAL FEDERAL-AID FUNDS TO FEDERAL TRANSIT ADMINISTRATION**1) FTA Grant Application Submittals**

- Section 5307 FTA Grant Applications for urban areas between 50,000 and 200,000 population and urbanized areas over 200,000 population are submitted by the local agency directly to the FTA (San Francisco) using FTA's "Transportation Electronic Award and Management" (TEAM) computer system. Typically, the FTA accepts only one Section 5307 grant application per local agency per federal fiscal year. All projects eligible for transfer must be included in the local agency's annual grant application.

Regional Transportation Planning Agencies (RTPAs) are responsible for planning and programming the area's Section 5311 FTA apportionments and FHWA regional funds to meet the transportation needs of the region. Each year Caltrans provides the RTPAs with an estimate of their available apportionments. Each RTPA, in coordination with their local agencies, must develop a regional "Program of Projects" (POP) to be funded by the Section 5311 Program.

Caltrans DMT begins the process in October of each year by soliciting a POP from each MPO/RTPA. Projects included in the POP must have a completed FTA Section 5311 Project Application (see Caltrans DMT's Section 5311 "Handbook and Guide," for detailed procedures) completed by the local agency. The POP and applications must be submitted to the Caltrans District Transit Representative (DTR) by December 31 of each year.

- Section 5310 Grant Program grant applications are submitted to Caltrans DMT. Again, Caltrans DMT acts as the grant applicant on behalf of the local entity and deals with FTA on all project-related matters.

2) FTA Grant Application Notification

- FTA (San Francisco) notifies the grant applicant (local agency or Caltrans) upon receipt of the FTA Grant Application and assigns a pending grant number (FTA does not formally approve the grant until after all federal funds have been transferred).
- In March of each year, Section 5311 and 5310 grant subrecipients will receive written notification from the Caltrans DMT of projects and funds approved for inclusion in the fiscal year's statewide Section 5311 or 5310 grant application.

3) Request for Transfer of Funds to FTA

- For Section 5307 projects, upon notification by FTA or of pending grant approval the local agency must submit a "Request for Transfer of Local Federal-Aid Funds to the Federal Transit Administration" (see Exhibit 3-J) and support documentation to the District Local Assistance Engineer. The request is reviewed by the District for completeness and accuracy and then is forwarded to the Caltrans Division of Local Assistance (DLA) for processing.
- For Section 5311 and 5310 projects, Caltrans DMT will forward Part II of the FTA project application to Caltrans DLA.

4) Transfer of Funds to FTA

- Caltrans DLA will prepare and submit an "FTA Transfer Letter" to FHWA (Sacramento).
- Upon concurrence by FHWA (Sacramento), Caltrans is notified and FHWA (Sacramento) forwards a memorandum to FHWA (Washington D.C.) requesting the funds be transferred to FTA (Washington D.C.).

- FHWA (Washington D.C.) transfers the highway funds and notifies FTA (Washington D.C.).
- FHWA and Caltrans adjust the appropriate apportionment balances (Note that unexpended FHWA funds transferred to FTA will remain with FTA.).
- FTA (Washington D.C.) notifies the FTA (San Francisco) of the fund transfer.
- FTA (San Francisco) will approve/award the grant once their requirements have been satisfied and notify the applicant (the most common problem for applicants is complying with the FTA's Labor Compliance regulations).

5) Agreements

- Upon FTA approval of the grant application the applicant agency (local agency or Caltrans DMT) enters into a master agreement directly with FTA (San Francisco).
- For Section 5311 and 5310 FTA transfers, Caltrans DMT enters into "Standard" agreements with the sub recipient agencies. Projects are administered in accordance with FTA procedures and the District Transit Office provides project oversight.
- If state match is provided for the transferred funds, the Caltrans DLA or DMT must enter into a Program Supplement Agreement with the local agency.

6) Local Agency Reimbursement

- For Section 5307 FTA Grant projects, the grant applicant deals with FTA on all project-related matters including federal reimbursement.
- Funds for the Section 5311 and 5310 FTA Grant Programs are included in the Caltrans DMT budget. The subrecipient submits progress invoices to the Caltrans District Transit Representative for review and approval. Caltrans will reimburse the grant recipient and then request federal reimbursement from the FTA.

EXHIBIT 3-L LOCAL ASSISTANCE PROJECT PREFIXES

Standard Federal Program Prefixes

[]	STP	Surface Transportation Program
[]	CM	Congestion Mitigation & Air Quality Improvement(CMAQ) Program
[]	BR	Bridge Replacement
[]	BH	Bridge Rehabilitation
[]	ER	Emergency Relief
[]	SR2S	Safe Routes to School (Federal)
[]	SR2S	Safe Routes to School (State)
[]	NBIS	National Bridge Inspection System

STIP Funded Programs

[]	RPSTP	STIP Regional Improvement Program (Federalized)
[]	RP	STIP Regional Improvement Program (State-only)
[]	PPMxx	STIP Funded Planning Programming and Monitoring (S/O)
[]	FSPxx	Freeway Service Patrol (S/O)

xx – Represents second year of programmed fiscal year (e.g. FY 2004/05 = 05)

Sub-Level Identifier

[]	L	Local Assistance Funds Management
[]	N	On National Highway System
[]	H	Safety, Hazard Elimination & Safety Program (HES) portion of STP
[]	G	100% Federal Funding for Safety
[]	E	STIP Programmed Transportation Enhancements/Activities (TE/TEA)
[]	ER	Regional TEA Program
[]	EC	CTC Conservation Lands TEA Program
[]	EE	CTC Statewide Transportation Enhancement (STE) Program
[]	S	On System (HBRR Program)
[]	O	Off System (HBRR Program)

Discretionary Program Prefixes

[]	BDxxx	Bridge Discretionary
[]	BDSxxx	Bridge Discretionary, Seismic
[]	IBRCxxx	Innovative Bridge Research and Construction
[]	FBDxxx	Ferry Boat Discretionary
[]	FLHxxx	Federal Lands Highways
[]	IRxxx	Indian Roads
[]	PLHxxx	Public Lands Highways
[]	CASBxxx	California Scenic Byways
[]	RTxxx	Recreational Trails
[]	TCSPxxx	Transportation Community and System Preservation, Competitive
[]	TCSExxx	Transportation Community and System Preservation, Earmarked

[]	NCPDxxx	National Corridor Planning and Deployment
[]	CBIxxx	Coordinated Border Infrastructure
[]	ITSxxx	Intelligent Transportation Systems
[]	LTAPxx	Technical Deployment, Local Technical Assistance Program
[]	VPPLxxx	Value Pricing Pilot Program
[]	HPLU	SAFETEA-LU High Priority
[]	TILU	SAFETEA-LU Transportation Improvement
[]	PRNS	SAFETEA-LU Projects of Regional and National Significance
[]	NCIIP	SAFETEA-LU National Corridors Infrastructure Improvement Program

xx – Represents second year of FFY of allocation (e.g. FY 2004/05 = 05).

xxx– Represents sub-level Identifier & 2nd year of FFY of allocation.

EXHIBIT 3-M FEDERAL HIGHWAY TRANSPORTATION PROGRAMS

<u>Federal Program</u>	Project Prefix	TEA 21	Program Fund Codes		Federal Reimb. Rate *
			STEA04	SAFETEA-LU	
Surface Transportation Program (STP)					
Urbanized Areas (>200K Population)	STPL	Q230	H230	L230	88.53%
Any Area	STPL	Q240	H240	L240	88.53%
STP, Transportation Enhancement Activities Program (TEA)					
Regional	STPLER	Q220	-	-	88.53%
Statewide Transportation Enhancements	STPLEE	Q220	-	-	88.53%
SHOPP-Managed TE	STPE	Q220	-	-	88.53%
STP, Transportation Enhancements (TE)					
STP, Programmed:					
ITIP Interrregional TE (25%)	STPE	-	-	-	-
RTIP Regional TE (75%)	RPSTPLE	-	H220	L220	88.53%
STP, Hazard Elimination Safety Program (HES)					
HES	STPLH	Q280	H280	-	90.00%
Optional Safety	STPLH	Q210	H210	-	90.00%
Safe Routes to School	STPLHSR	Q210	H210	-	90.00%
SAFETEA-LU, Highway Safety Improvement Program (HSIP)					
Highway Safety Improvement Program	HSIPL	-	-	LS30	90.00%
High Risk Rural Road Program	HRRRL	-	-	LS20	90.00%
Safe Routes to School	STPLHSR	-	-	LS30	90.00%
SAFETEA-LU, Safe Routes To School Program (SRTS)					
SR2S (non-infrastructure)	SR2SF	-	HU10	LU10	100.00%
SR2S (Infrastructure)	SR2SF	-	HU20	LU20	100.00%
SR2S (Either)	SR2SF	-	HU30	LU30	100.00%

**Congestion Mitigation & Air Quality
Program (CMAQ)**

CML	Q4000	H400	L400	88.53%
-----	-------	------	------	--------

Highway Bridge Program (HBP previously HBRR)

Bridge Replacement, Rehabilitation,
& Low Water Crossing

(65% On-System)	BRLS	Q100	H100		80.00%
(Off-System)	BRLO	Q110	H110	L110	80.00%
(20% On or Off-System)	BRLS (or O)	Q120	H120		80.00%
(On or Off-System)	BRLS (or O)		H1C0	L1C0	88.53%

HBP funds transferred to STP Program

Seismic Retrofit, Mandatory/Voluntary
Programs (ISTEA) & Non-Highway Bridges

Mandatory	STPLZ	Q240/BMG0	H240/???? **		88.53%
Voluntary	STPLV	Q240/BVK0	H240/???? **		88.53%

Seismic Retrofit, Mandatory/Voluntary
Programs (Post ISTEA)

(On System)	BRL----**	-Q100/----**	H100/----**	-	80.00%
(Off System)	BRL----**	-Q110/----**	H110/----**	-	80.00%
(On/Off System)	BRL----**	-Q120/----**	H120/----**	-	80.00%

Bridge Painting (Off Eligible Bridge List) &

PE authorized on or before 6/13/97	STPLP	Q240/----**	H240/----**		88.53%
PE authorized after 6/13/97	STPLP	Q240/----**	H240/----**		80.00%

(HBP funds transferred to STP Program)

Bridge Barrier Rail Replacement

	STPLX	Q240/BRL0	H240/----**	L240/---**	88.53%
--	-------	-----------	-------------	------------	--------

(HBP funds transferred to STP Program)

* Pedestrian Walkway and Bicycle Facilities reimbursed at 80% for all funds if authorized prior to November 28, 1995. Normal reimbursement rate for program after.

** Project Prefixes and Psuedo Codes (Local Project Accounting Sub codes) vary according to the type of work and federal funds involved. Caltrans will assign the project prefix and pseudo code with the initial federal-aid action request.

EXHIBIT 3-N FEDERAL HIGHWAY DISCRETIONARY PROGRAMS

Discretionary Programs	<u>Prefix</u>	<u>TEA21</u>	<u>STE A</u>	<u>SAFETEA-LU</u>	<u>Rate</u>
Bridge Discretionary	BDLxx	Q060	H060		80.00%
Bridge Discretionary, Seismic	BDSLxx	Q070	H070		80.00%
Innovative Bridge Research & Construction	IBRCxx	QT90	HT90		80.00%
Ferry Boat	FBDxx	Q950	H950	L950	80.00%
Forest Highways	FHLxx	4150	F150		80.00%
Public Lands Highways	PLHLxx	4140	F130		80.00%
National Scenic Byways	CASBxx	Q970	H970		80.00%
Transportation Community & System & Preservation Pilot					
Competitive	TCSPxx	92C0	-		80.00%
Earmarked	TCSExx	Q680	H680		80.00%
National Corridor Planning & Deployment	NCPDxx	Q640	H640		80.00%
Coordinated Border Infrastructure	CBILxx	Q640	H640		80.00%
Technical Deployment, Local Technical Assistance	LTAPxx	Q890	H890		80.00%
Value Pricing Pilot Program	VPPLxx	Q880	H880		80.00%
Intelligent Transportation Systems	ITSxx	QT20	HT20		0.00%
		QT40	HT40		50.00%
		QT50	HT50		50.00%
		QT60	HT60		50.00%
		QT70	HT70		50.00%
		QT80	HT80		50.00%
High Priority Projects	HP21L	Q920		????	80.00%
	HPLU				80.00%
Transportation Improvements Program	TIPL			????	????
Projects of National & Regional Significance	PNRSL			????	80.00%
National Corridor Infrastructure Imp. Program	NCIPL			????	88.53% to 100%

XX – represents second year of FFY

This page intentionally left blank

EXHIBIT 3-O SAMPLE LOCAL FEDERAL-AID PROJECT FINANCE LETTER

DEPARTMENT OF TRANSPORTATION
DIVISION OF ACCOUNTING
LOCAL PROGRAM ACCOUNTING BRANCH

Date: _____
Agency: _____
Fed Project No.: _____
EA No.: _____
PPNO.: _____
Bridge No.: _____

ATTN: _____

Work on State Highway (Y or N): ____ If yes, provide following:

Administered by State or Local? _____
Project Manager Name: _____
Accounting Program Code(s): _____
Coop or Contribution Agrmt No.: _____

	TOTAL COST OF WORK	FEDERAL PARTICIPATING COST	FEDERAL FUND TYPE (1)	FEDERAL FUND TYPE (2)	STATE MATCH FUNDS	LOCAL MATCH FUNDS	OTHER FUNDS
PRELIMINARY ENGINEERING							
Agency Preliminary Engineering							
State Furnished Preliminary Engineering							
Overhead at _____ %							
RIGHT OF WAY (R/W)							
Purchase Costs							
Relocation Assistance /Utility							
CONSTRUCTION							
Contract Items _____							
Utilities _____							
Supplemental Work _____							
Contingencies _____							
Trainees _____							
Agency/State Furn. Mat. _____							
Contract Total: _____							
CONSTRUCTION ENGINEERING							
Agency Construction Engineering							
State Furnished Construction Engineering							
Overhead at _____ %							
State Furnished Materials Testing							
Overhead at _____ % , Subjob _____							
Striping by Agency							
Force Account Work by Agency							
TOTALS:							

Federal Participation: _____
Federal Appn. Code(s): _____
Federal Reimbursement Rate(s) for Progress Invoice:

Certification

I certify that this Finance Letter accurately reflects the current cost estimate for all phases of the project obligated but not fully expended.

For questions regarding finance letter, contact:

Printed Name: _____
Telephone No.: _____

PHASE	FED (1)	FED (2)
PE		
R/W		
CON		
CE		

Signature: _____
Title: _____
Project location: _____
Remarks: _____

Distribution: (1) Original + 4 copies-Caltrans DLAE
(2) Copy-Local Agency Project File

This page intentionally left blank

EXHIBIT 3-P SAMPLE "STATE-AUTHORIZED PROJECT AUTHORIZATION"

FEDERAL AID PROGRAM

CALIFORNIA DEPARTMENT OF TRANSPORTATION

LOCATOR	08-SBD-0-SBD	PROJECT LOCATION	PREV. AUTH/AGREE DATE
PREFIX	CML	INTERSECTION OF PERSHING AND REDICK AVENUES	-----
PROJECT NO.	5033(029)		PE 08/05/02
SEQ NO	2		R/W
DIST-EA	08-924726L	TYPE OF WORK	CON
AGENCY	SAN BERNARDINO	LNG/LCNG REGIONAL REFUELING	SPR
ROUTE		FED. RR NOS	MCS
TIP DATA:		PUC CODE(S)	OTH
MPO/YEAR	SCAG	EXEMPT FROM FHWA REVIEW	APPR CODES Q400
DATE	01/02	ENV STATUS	LINE NOS 10
STIP REF:		R/W STATUS	IMPRV TYPE 15
URBANIZED	SAN BENDO-RIVER	BEGIN MP .000	FUNC. SYS N
URB/RURAL	URBAN AREA	END MP .000	

PHASE	PROJECT COST	FEDERAL COST	AC COST
PREV. OBLIGATION	154500.00	136799.00	.00
THIS REQUEST	.00	-20.00	.00
SUBTOTAL	154500.00	136779.00	.00
TOTAL	154500.00	136779.00	.00

PPNO - 08-2001017

STATE REMARKS

THIS PROJECT PROPOSES TO CONSTRUCT A REGIONAL FUELING STATION FACILITY FOR LNG/LCNG VEHICLES. THIS IS AN EXEMPT PROJECT.
REQUEST FOR THE PRELIMINARY ENVIRONMENTAL. HN
SEQUENCE #1 WAS A REQUEST FOR PRELIMINARY ENGINEERING FUNDS TO BE REIMBURSED WITH Q400 CMAQ FUNDS AT 88.53% UP TO THE FEDERAL AMOUNT SHOWN. PL
THIS IS A REQUEST TO DE-OBLIGATE PRELIMINARY ENGINEERING FUNDS EXCEEDING THE MAXIMUM REIMBURSEMENT RATIO OF 88.53% AND TO MATCH THE FINANCE LETTER AMOUNT.
REIMBURSE THE REMAINING Q400 CMAQ FUNDS AT 88.53% UP TO THE FEDERAL AMOUNT SHOWN. PL

PE

	TOTAL COST	PART COST	FEDERALFUNDS (Q400)	LOCAL FUNDS
PREL. ENGR.	\$ 154,500	\$ 154,500	\$ 136,779	\$ 17,721

AUTHORIZATION TO PROCEED WITH PRE FUNDS REDUCTION	PREPARED BY	ON 06/24/05	916-653-7349
ELECTRONIC SIGNATURE DOCUMENT TYPE MEND/MOD	REVIEWED BY	ON 06/24/05	8-453-7349
LATEST FHWA ELECTRONIC SIGNATURE	AUTHORIZED BY	ON 06/24/05	FOR CALTRANS
	SIGNED BY	ON 06/24/05	FOR FHWA
	OBLIGATED BY	ON 06/27/05	
	EXECUTED BY	ON 08/06/02	

Distribution: DLAE

This page intentionally left blank