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- Exhibit A: Request for Authorization (fields empty for user entry, 4 pages)
- Exhibit B: Prefix check list
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- Exhibit E: Coding lists:
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  - Air Basin
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- Exhibit F: Example "Authorization to Proceed (E-76)"

### Blank Forms

## 1. Overview

Work is not eligible for reimbursement from federal funds until the project or project phase is formally authorized (approved) by the Federal Highway Administration (FHWA). For projects exempt from FHWA oversight and review under stewardship agreements, FHWA has delegated authorization to Caltrans. FHWA obligates the federal funds for all projects. The state "Federal-Aid Data System" (FADS) database and the "Federal Management Information System" (FMIS) are integral systems used in the process. The State must provide certain detailed information to the FMIS database in order to successfully obligate the federal funds. Obligation of funds is automatic immediately after authorization if the data is correct and if the State has remaining fund apportionment appropriate for the project and obligation authority in the federal fiscal year. The "Authorization to Proceed", a report printed from the FADS system, shows the dates of authorization and obligation along with summary data about the project.

For most state-funded local agency projects and federal TEA projects, a California Transportation Commission (CTC) vote is required to allocate funds for the specific project before right of way (R/W) is acquired or a construction contract is awarded. Before beginning preliminary engineering, the local agency should discuss the current state program rules with the District Local Assistance Engineer (DLAE). Generally, preliminary engineering does not require an individual project vote by the CTC. The State-Local Transportation Partnership Program (SLTPP) projects do not require a CTC vote.

## 2. Method

### References:

23 CFR 630.114

23 CFR 635.301 et. seq.

Local Programs Manual Volume I, Sec. 7

LPP 94-03 (ER/TIP)

LPP 94-04 (ER/R/W)

Federal-Aid Data System Instructions 06/02/93

Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA) Stewardship Agreements dated 5/12/92

### Applicability:

Applies to all Office of Local Programs (OLP) administered FHWA-funded projects.

### Guidance:

Prior to beginning reimbursable activities, all federal-aid funded highway or highway related projects must receive FHWA authorization. CTC and/or Caltrans approval must be received for State Highway Account funded projects.

### Exceptions:

For declared emergencies approved by FHWA for Emergency Relief (ER) funding, emergency repair work and preliminary engineering work may be initiated without prior authorization.

### **3. Responsibilities**

The local agency is responsible for initiating the request for authorization or for a CTC vote in a timely manner. If all the prerequisite requirements are satisfied, two weeks processing time should be allowed for federal authorization for exempt projects. Another week or more may be required for non-exempt projects that require that the FHWA review and sign the "hardcopy FNM-76." Additional time may also be required near the beginning or end of the federal fiscal year.

Preparing and scheduling a project for a CTC vote requires six weeks lead time.

Before any authorization can be initiated, all projects (except ER) must be in a federally approved FTIP/FSTIP. ER projects must be included in the FTIP/FSTIP only if they involve substantial functional, location or capacity changes.

The following projects must also be included on the eligibility lists noted:

- Grade Crossing Improvement funds - PUC-approved list
- Transportation Enhancement Activity (TEA) funds - CTC-approved list
- Flexible Congestion Relief funds - CTC-approved STIP if over \$300,000
- Highway Bridge Replacement and Rehabilitation (HBRR) funds - Caltrans-approved list
- Hazard Elimination Safety (HES) funds - Caltrans approved list
- Transportation System Management (TSM) - Caltrans approved list

The project must have completed field review forms, see Attachment 3, and a federally approved environmental document for authorization of a R/W or construction phase and an approved R/W certification for authorization of the construction phase.

The local agency must meet these conditions prior to requesting authorization.

Separate work authorizations and fund obligations are normally made for the preliminary engineering (PE), right-of-way, and construction phases if federal funds are to be used in that phase of work. Authorization/obligation within the phases is sometimes subdivided as well.

The local agency will prepare a "Request for Authorization" form and will certify the accuracy of all data on the form.

Caltrans will process the requests in a timely manner and notify the agency of the FHWA "Authorization to Proceed" as outlined below.

## 4. Federally-Funded Projects

### 4.1 Request for Authorization

To initiate a federal project authorization/obligation and add authorization/obligation for additional phases, each local agency will prepare a "Request for Authorization" form that provides the information needed by Caltrans and FHWA. Information in this format can be input directly into the FADS computer files by Caltrans. The request should be submitted directly to the appropriate Caltrans District Local Assistance Engineer (DLAE). If the form is complete, Caltrans will initiate the authorization process. The form will be returned to the local agency if there is missing data that cannot be quickly obtained by FAX, telephone or other source.

For initial authorization of a structure project, include a copy of the field review that incorporates the Major Structure Data Sheets, see Attachment3, "Field Review." A request for final design, right of way, or construction must include the field review and the FHWA-approved environmental document. A request for construction must include the above (if not previously sent); as well as the signed right-of-way/utilities certification; a finance letter; engineer's estimate; Plans, Specifications, and Estimates (PS&E) conformance certification; and PS&E package. A copy of the grant application for Federal Transit Administration (FTA) projects is requested with the initial FTA fund transfer request.

### 4.2 Processing

Upon receipt of the "Request for Authorization," District Local Assistance staff will input the data from the form directly into the electronic database. Upon completion of input, the project's electronic files are transmitted to Headquarters Office of Local Programs (OLP). Review in OLP will focus primarily on the project eligibility for the fund type(s) requested, availability of federal funding, and coding requirements.

The OLP Area Engineer electronically transmits the project to FHWA in Sacramento. If the project is exempt, this date of transmittal establishes the authorization date for that project phase. For these exempt projects, FHWA accounting staff makes a quick review and makes an electronic transmittal to the FMIS data files in Washington, DC. Entry into the FMIS files establishes the obligation of funds for the project. For non-exempt projects, a hard copy FNM-76 must be prepared for review and authorization (actual signature) by FHWA. As with exempt projects, the electronic file is used to transmit the data to Washington. Normally, exempt projects are processed more quickly than non-exempt since the FHWA reviewer is not involved in the authorization.

For a subsequent work-phase authorization the agency submits an updated "Request for Authorization". The District processes the updated FADS information in the same manner as above.

### 4.3 Authorization/Obligation

The electronic file will be monitored directly or via reports by the DLAE and OLP staff. When the DLAE determines that the project has been authorized and obligated, an "Authorization to Proceed" summary form (E-76) is printed which shows the authorized and obligated dates. This will then be sent to the local agency as verification that they may start that phase of project activity and be eligible for reimbursement by the State with

federal funds. If the project cannot be authorized and/or obligated, the local agency will be informed and advised of what corrective actions are necessary. The DLAE will also submit a copy of the E-76 to the appropriate MPO/RTPA for their information and use.

Costs incurred prior to authorization are never eligible for FHWA reimbursement (see ER exception above). See discussions for each project phase for actions that may jeopardize an entire project phase eligibility if not preceded by authorization. Eligible costs incurred after authorization may be invoiced for reimbursement after both Federal/State (PR-2) and State/Agency Program Supplemental agreements are prepared and signed. See Attachment 9, "Agreements" for discussion of these agreements.

#### **4.4 Fund Balances**

Certain funds are allocated to the MPO/RTPA by formula under state law. Through the FTIP/FSTIP process, these are distributed to local agencies for specific projects. Caltrans provides reports showing the obligation of funds summarized at the District and MPO/County level. These also showing fund balances. The reports show the individual city and county projects, but Caltrans will not report balances at a lower level than those formulated by state law.

### **5. State-Funded Projects**

Where the State is providing funds to match or supplement federal funding, the details of this funding shall be provided with the "Request for Authorization" submittal. Sufficient information and cost breakdown shall be provided to segregate the state funding. Transportation Systems Management (TSM) matching funds would specifically fall into this group.

See LPP 95-06, dated June,1995, for a specific discussion of the process changes for federalizing TSM and Flexible Congestion Relief (FCR) projects. The "Request for Authorization" shall be submitted for these projects.

For projects involving only state funding, the application and approval processes will not change from those currently in place and described for the specific state program.

- For FCR, TSM, EEM and Proposition 116 projects see:  
"Financial Guidelines for Local Agency Reimbursement"  
Adopted by CTC June 29,1991.
- For State-Local Transportation Partnership Program see:  
LPP 94-09, dated June 8, 1994

REQUEST FOR AUTHORIZATION  
AGENCY: \_\_\_\_\_

FLAG: (1)  
PROJ/AGR NO.: (2) ( )  
EA: (3)  
PREFIX: (4)  
RESP AGENCY: (5)  
EXEMPT or (6)  
CA Y N  
RTE: (7)  
PM: (8)

LOCATOR: (9)  
(DIST., CO., RTE., AGCY. ABBREV.)  
PROJ. LOCATION: (10)  
\_\_\_\_\_  
TYPE OF WORK: (11)  
\_\_\_\_\_  
THIS REQ.: (12) FOR: \_\_\_\_\_

DEMONSTRATION PROJECTS: Estimated Construction Date (12a)

FSTIP FTIP/DATA	INTERGOVERNMENTAL REVIEW	RIGHT-OF-WAY ESTIMATE	TOTAL COST
	(16)	(19)	
URBANIZED: <u>(13)</u> POP: <u>(14)</u>	EXEMPT: <u>COMMENT:</u> _____	R/W ACQ (Pcls): _____	\$ _____
MPO: _____	STATE OPR#: _____	RAP (Fmls): _____	\$ _____
YEAR <u>(15)</u>	AREA IGR #: _____	(Bus): _____	\$ _____
APP. DATE: _____		LRH/HRDSHP: _____	\$ _____
	ENVIRONMENTAL DATA		
SHEET NO. : _____	TYPE: <u>(17)</u>	UTILITIES: _____	\$ _____
TIP NO (PPNO): _____	EIS (Yr & #) _____	SUPPORT: _____	\$ _____
	APPROVED _____		
		TOTAL: _____	\$ _____

RR XING #S  
(24)  
RR-PUC #: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
RR-FED #: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

INITIAL FED AUTHORIZATION  
PE Date: \_\_\_\_\_ ENERGY: (20)% TOPICS: (21)  
RW Date: \_\_\_\_\_ R/W CERT.: (22)  
CON Date: \_\_\_\_\_ R/W CERT DATE: \_\_\_\_\_  
Prepared by: (23) PHONE: \_\_\_\_\_ DATE: \_\_\_\_\_



PROJ/AGR NO: ( ) \_\_\_\_\_ DETAIL RECORD #/#: \_\_\_\_\_

APPN: \_\_\_\_\_ LINE NUMBER: \_\_\_\_\_ URBAN/RURAL: \_\_\_\_\_ COUNTY CODE: \_\_\_\_\_

CONGRESSIONAL DISTRICTS: _____		STATISTICAL DATA			
APPN COUNT	: _____	NO OF RELOC PAY	: _____	NUMBER OF:	
WORK CLASS	: _____	WORK TYPE (1-4)	: _____	LANES	: _____
FUNCTION CLASS	: _____	SAFETY/RR	: _____	STRUCTURES	: _____
FED AID SYS	: _____	FED RES SYS	: <u>Z</u> _____	BUSES/OTHER VEHICLES	: _____
STATE SYS	: _____	CONST BY	: _____	INTERSECTIONS IMPROVED	: _____
MILES	: _____	KILOMETERS	: _____	PROJECTS	: _____
LANE MILES	: _____	LANE KILOMETERS	: _____	CROSSINGS PROTECTED	: _____
				CROSSINGS IMPROVED	: _____
	TOTAL COST	PARTICIPATING FEDERAL FUNDS COSTS			
PREV. OBLIG	: _____	_____	_____	TRF/MGT/CNTRL PROJECTS	: _____
THIS REQ	: _____	_____	_____	OPERATING PROGRAMS	: _____
TOTAL	: _____	_____	_____	PARKING SPACES	: _____

BRIDGE #'S \_\_\_\_\_

PROJ/AGR NO: ( ) \_\_\_\_\_ DETAIL RECORD #/#: \_\_\_\_\_

APPN: \_\_\_\_\_ LINE NUMBER: \_\_\_\_\_ URBAN/RURAL: \_\_\_\_\_ COUNTY CODE: \_\_\_\_\_

CONGRESSIONAL DISTRICTS: _____		STATISTICAL DATA			
APPN COUNT	: _____	NO OF RELOC PAY	: _____	NUMBER OF:	
WORK CLASS	: _____	WORK TYPE (1-4)	: _____	LANES	: _____
FUNCTION CLASS	: _____	SAFETY/RR	: _____	STRUCTURES	: _____
FED AID SYS	: _____	FED RES SYS	: <u>Z</u> _____	BUSES/OTHER VEHICLES	: _____
STATE SYS	: _____	CONST BY	: _____	INTERSECTIONS IMPROVED	: _____
MILES	: _____	KILOMETERS	: _____	PROJECTS	: _____
LANE MILES	: _____	LANE KILOMETERS	: _____	CROSSINGS PROTECTED	: _____
				CROSSINGS IMPROVED	: _____
	TOTAL COST	PARTICIPATING FEDERAL FUNDS COSTS			
PREV. OBLIG	: _____	_____	_____	TRF/MGT/CNTRL PROJECTS	: _____
THIS REQ	: _____	_____	_____	OPERATING PROGRAMS	: _____
TOTAL	: _____	_____	_____	PARKING SPACES	: _____

BRIDGE #'S \_\_\_\_\_

## REQUEST FOR AUTHORIZATION

### Verification Statement

Federal Project Number \_\_\_\_\_

Project Location \_\_\_\_\_

Type of Work \_\_\_\_\_

I declare that the facts and statements in this "Request for Authorization" of Federal funds are accurate and correct. This Agency has complied, or hereby agrees to comply, with the applicable terms and conditions set forth in (1) Title 23, U.S. Code, Highways, (2.) the Regulations issued pursuant thereto and (3) the policies and procedures promulgated by the Federal Highway Administrator relative to the above designated project. The amounts requested do not exceed the Federal funds provided to this agency in the FTIP. I understand that this Agency is responsible for costs in excess of the Federal funds to be obligated and that such obligation extends only to costs incurred by the Agency after it has received FHWA "Authorization to Proceed" with both authorization and obligation established for the project activity or phase involving such costs.

This agency plans to begin invoicing for costs:

- as incurred, (\*PE or R/W phases)
- after contract award, •  \_\_\_\_\_.

Please initiate preparation of the Supplemental Agreement and PR-2:

- upon authorization, •  Agreement checklist
- after contract award, attached

in order that payments may be made. I understand that invoice requests for payment should not be submitted until both these documents have been prepared and executed.

Signed \_\_\_\_\_

Title \_\_\_\_\_

Date \_\_\_\_\_

Agency \_\_\_\_\_

PG. \_\_ / \_\_

REQUEST FOR AUTHORIZATION

AGENCY: \_\_\_\_\_

FLAG: \_\_\_\_\_

LOCATOR: \_\_\_\_\_

PROJ/AGR NO.: \_\_\_\_\_ ( )

(DIST., CO., RTE., AGCY. ABBREV.)

EA: \_\_\_\_\_

PROJ. LOCATION: \_\_\_\_\_

PREFIX: \_\_\_\_\_

RESP AGENCY: \_\_\_\_\_

EXEMPT    or

TYPE OF WORK: \_\_\_\_\_

CA Y    N   

RTE: \_\_\_\_\_

PM: \_\_\_\_\_

THIS REQ.: \_\_\_\_\_ FOR: \_\_\_\_\_

DEMONSTRATION PROJECTS: Estimated Construction Date \_\_\_\_\_

**FSTIP  
FTIP/DATA**

**INTERGOVERNMENTAL  
REVIEW**

**RIGHT-OF-WAY  
ESTIMATE**

TOTAL COST

URBANIZED:    POP:   

EXEMPT:    COMMENT:   

R/W ACQ (Pcls):    \$   

MPO: \_\_\_\_\_

STATE OPR#: \_\_\_\_\_

RAP (Fmls):    \$   

YEAR \_\_\_\_\_

AREA IGR #: \_\_\_\_\_

(Bus):    \$   

APP. DATE: \_\_\_\_\_

LRH/HRDSHP:    \$   

**ENVIRONMENTAL DATA**

SHEET NO. : \_\_\_\_\_

TYPE: \_\_\_\_\_

UTILITIES: \$ \_\_\_\_\_

TIP NO (PPNO): \_\_\_\_\_

EIS (Yr & #) \_\_\_\_\_

SUPPORT: \$ \_\_\_\_\_

APPROVED \_\_\_\_\_

TOTAL: \$ \_\_\_\_\_

**RR XING #S**

**INITIAL FED AUTHORIZATION**

RR-PUC #: \_\_\_\_\_

PE Date: \_\_\_\_\_

ENERGY:   % TOPICS:   

\_\_\_\_\_

RW Date: \_\_\_\_\_

R/W CERT.: \_\_\_\_\_

\_\_\_\_\_

RR-FED #: \_\_\_\_\_

CON Date: \_\_\_\_\_

R/W CERT DATE: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Prepared by: \_\_\_\_\_

PHONE:    DATE:



## REQUEST FOR AUTHORIZATION

PROJ/AGR NO: ( )

DETAIL RECORD #/#: \_\_\_\_\_

APPN: LINE NUMBER: URBAN/RURAL: COUNTY CODE: \_\_\_\_\_

CONGRESSIONAL DIST: \_\_\_\_\_

STATISTICAL DATA

APPN COUNT	: _____	NO OF RELOC PAY	: _____	NUMBER OF:	
WORK CLASS	: _____	WORK TYPE (1-4)	: _____	LANES	: _____
FUNCTION CLASS	: _____	SAFETY/RR	: _____	STRUCTURES	: _____
FED AID SYS	: _____	FED RES SYS	: <u>Z</u>	BUSES/OTHER VEHICLES	: _____
STATE SYS	: _____	CONST BY	: _____	INTERSECTIONS IMPROVED	: _____
MILES	: _____	KILOMETERS	: _____	PROJECTS	: _____
LANE MILES	: _____	LANE KILOMETERS	: _____	CROSSINGS PROTECTED	: _____
				CROSSINGS IMPROVED	: _____

TOTAL COST	PARTICIPATING FEDERAL FUNDS COSTS	
------------	-----------------------------------	--

PREV. OBLIG	: _____	_____	_____	TRF/MGT/CNTRL PROJECTS	: _____
THIS REQ	: _____	_____	_____	OPERATING PROGRAMS	: _____
TOTAL	: _____	_____	_____	PARKING SPACES	: _____

BRIDGE #'S \_\_\_\_\_

PROJ/AGR NO: ( )

DETAIL RECORD #/#: \_\_\_\_\_

APPN: LINE NUMBER: URBAN/RURAL: COUNTY CODE: \_\_\_\_\_

CONGRESSIONAL DIST: \_\_\_\_\_

STATISTICAL DATA

APPN COUNT	: _____	NO OF RELOC PAY	: _____	NUMBER OF:	
WORK CLASS	: _____	WORK TYPE (1-4)	: _____	LANES	: _____
FUNCTION CLASS	: _____	SAFETY/RR	: _____	STRUCTURES	: _____
FED AID SYS	: _____	FED RES SYS	: <u>Z</u>	BUSES/OTHER VEHICLES	: _____
STATE SYS	: _____	CONST BY	: _____	INTERSECTIONS IMPROVED	: _____
MILES	: _____	KILOMETERS	: _____	PROJECTS	: _____
LANE MILES	: _____	LANE KILOMETERS	: _____	CROSSINGS PROTECTED	: _____
				CROSSINGS IMPROVED	: _____

TOTAL COST	PARTICIPATING FEDERAL FUNDS COSTS	
------------	-----------------------------------	--

PREV. OBLIG	: _____	_____	_____	TRF/MGT/CNTRL PROJECTS	: _____
THIS REQ	: _____	_____	_____	OPERATING PROGRAMS	: _____
TOTAL	: _____	_____	_____	PARKING SPACES	: _____

BRIDGE #'S \_\_\_\_\_

## REQUEST FOR AUTHORIZATION

### Verification Statement

Federal Project Number \_\_\_\_\_

Project Location \_\_\_\_\_

Type of Work \_\_\_\_\_

I declare that the facts and statements in this "Request for Authorization" of Federal funds are accurate and correct. This Agency has complied, or hereby agrees to comply, with the applicable terms and conditions set forth in (1) Title 23, U.S. Code, Highways, (2.) the Regulations issued pursuant thereto and (3) the policies and procedures promulgated by the Federal Highway Administrator relative to the above designated project. The amounts requested do not exceed the Federal funds provided to this agency in the FTIP. I understand that this Agency is responsible for costs in excess of the Federal funds to be obligated and that such obligation extends only to costs incurred by the Agency after it has received FHWA "Authorization to Proceed" with both authorization and obligation established for the project activity or phase involving such costs.

This agency plans to begin invoicing for costs:

- as incurred, (\*PE or R/W phases)
- after contract award, •  \_\_\_\_\_.

Please initiate preparation of the Supplemental Agreement and PR-2:

- upon authorization, •  Agreement checklist
- after contract award, attached

in order that payments may be made. I understand that invoice requests for payment should not be submitted until both these documents have been prepared and executed.

Signed \_\_\_\_\_

Title \_\_\_\_\_

Date \_\_\_\_\_

Agency \_\_\_\_\_

PG. \_\_ / \_\_

### Project Prefix check list

Federal Programs: Identify each fund type to be used for this project

Prefix Program

- (STP) Surface Transportation Program
- (MA) Minimum Allocation
- (DB) Donor Bonus
- (BH) Bridge Rehabilitation
- (BR) Bridge Replacement
- (CM) Congestion Mitigation & Air Quality
- (AHL) Access Hwys to Public Rec. Areas
- (ER) Emergency Relief
- (PLH) Public Lands Highway
- Demonstration Project
- Varies specify if known \_\_\_\_\_
- Other Describe \_\_\_\_\_

Sub-Programs

(Check all that Apply)

- (L) Local (Fund appropriation management)
- (S) State (State approp. management) not normally handled in OLP
- (N) On National Highway System (Currently all Principal Arterials)
- (R) Safety - Railroad
- (H) Safety - HES Program List Number \_\_\_\_\_
- (G) 100% Federal Funding (for Safety)
- (P) Bridge Painting
- (X) Bridge Rail replacement
- (Z) Seismic Retrofit - State Mandatory Pgm.
- (V) Seismic Retrofit - Voluntary Pgm.
- (E) TEA - Trans. Enhancement Activity  
Second vote request \_\_\_\_\_ or Vote date \_\_\_\_\_

Bridge (HBRR) only Sub-Programs

- (S) On System (Functional class greater than below)
- (O) Off System (Local Street/Road or Rural minor collector)

Additional State Funds involved (info only - does not affect prefix)

- TSM - Traffic System Management - Match \_\_\_ Other \_\_\_
- SLTPP - St. & Loc. Trans. Partnership Prog.
- FCR - Flexible Congestion Relief
- Other: Specify \_\_\_\_\_

The prefix provides a quick summary of the funding programs and subprograms.

**FINANCE LETTER**

DEPARTMENT OF TRANSPORTATION  
 DIVISION OF ACCOUNTING  
 LOCAL PROGRAM ACCOUNTING BRANCH

Date: \_\_\_\_\_  
 Agency: \_\_\_\_\_  
 Project No. \_\_\_\_\_  
 EA No. \_\_\_\_\_

ATTN: \_\_\_\_\_

	TOTAL COST OF WORK	TOTAL PARTIC. COST	FEDERAL FUNDS	LOCAL FUNDS	OTHER FUNDS Type: _____	OTHER FUNDS Type: _____
Agency Preliminary Engineering						
State Furnished Preliminary Engineering						
Overhead at _____%						
<b>R/W Engineering &amp; Administration Costs</b>						
R/W Purchase Costs						
Relocation Assistance (SJ 3A055)						
<b>Contract Items</b> _____						
<b>Utilities</b> _____						
<b>Supplemental Work</b> _____						
<b>Contingencies</b> _____						
<b>Trainees</b> _____						
<b>Agency Furn. Mat.</b> _____						
<b>Contract Total:</b>						
Agency Construction Engineering						
State Furn. Construction Engineering						
Overhead at _____%						
State Furnished Materials Testing						
Overhead at _____% EA No. _____						
Striping by Agency						
<b>TOTAL:</b>						

Federal Participation: \_\_\_\_\_ %  
 Reimb. Ratio: \_\_\_\_\_ %

Signature: \_\_\_\_\_

Title: \_\_\_\_\_

REMARKS: \_\_\_\_\_

LPP 95-07  
 REENGINEERING, Attachment 1. Project Authorization/Federal Fund Obligation

Exhibit C  
 Page 1

## REQUEST FOR AUTHORIZATION

### Application Instructions

#### General

A request form shall be submitted whenever a local agency desires Federal participation in a phase of work. The request will be completed to provide all necessary project information for FHWA authorization. The request must be processed by Caltrans and FHWA and an "Authorization to Proceed" (E-76) must be issued before any federally reimbursable work is initiated or for construction before the project is advertised.

Federal funds shall not participate in costs incurred prior to the date of the "Authorization to Proceed". Emergency repairs and preliminary engineering for emergency repairs or restoration are an exception to this requirement.

Coding lists provided in this LPP attachment have been abbreviated to those most commonly used for local agency projects.

**Applicant Agency:** Indicate the name of the agency preparing the request and receiving project funding. Normally, this will be the same as the Responsible Agency coded in (5) below. If not, explain in the comments.

#### **Basic project information (Header Input)**

(1) **FLAGS** - These identify possible need for special handling or review by Caltrans or FHWA. Code as appropriate.

**FTA1** - FTA transfer for vehicles

**FTA2** - FTA transfer other

**DEMO** - Project funded with Demonstration funds. Must include estimated date of construction.

**FCR** - Flexible Congestion Relief project

**TSM** - Transportation System Management project

(2) **PROJECT NO. (AGREEMENT NO.)** - For initial authorization, Caltrans DLAE/OLP will complete these federal project and agreement numbers. For resubmittals complete as shown on the previous authorization.

(3) **E.A.** - Expenditure Authorization, OLP will assign this control number. For computer input, it will consist of a 2-digit District, 6-digit EA and a suffix L. The L indicates that the Federal funds are administered by the Office of Local Programs. An S suffix would indicate that the funds are administered by the Office of Federal Resources from funds allocated from the state highway account. These are not handled by OLP. It is possible to have both types of funding one project. Usually in this case, separate federal project numbers will be assigned.

(4) **PREFIX** - For initial submittal, complete the prefix checklist. Caltrans will use this list to assign the project prefix. On resubmittals enter the assigned prefix. If other federal fund types are added to later phases complete the prefix check list and note in the comments.

- (5) RESPONSIBLE AGENCY - Insert the standard agency code assigned by OLP (LOCODE) for the Agency responsible for development of the project (i.e., CALTRANS, City of, County, etc.). The District Local Assistance Engineer can provide this code. For ISTEA projects, this locode will normally become the project number.
- (6) EXEMPT - See discussion under stewardship defining which projects are exempt from FHWA oversight. Basically, all projects a. not on the NHS, b. less than \$ 1.0 million or c. 3R (resurfacing, restoration or rehabilitation) except Interstate are exempt.

If project is exempt from FHWA review and oversight under stewardship enter E.

If the project is not exempt, indicate certification acceptance status:

CERTIFICATION ACCEPTANCE - Indicate if project is being processed under State level Certification Acceptance (CA) or not.

For a non-exempt projects:

Interstate are not CA, code as CA= N  
Others code as CA = Y

On further contract documents, place this code immediately after the project number (agreement number) as a quick means of identifying the type of FHWA involvement. e.g. STPL-4060(016)E

- (7) RTE - Enter the route(s) for projects on the state highway system.
- (8) PM - Enter the post mile(s) for projects on the state highway system.
- (9) LOCATOR (DISTRICT-CO-RTE-{PM/AGENCY}) - Complete Dist-County-Route (State Route only, default = 0)-Post Miles (St. Rte) or Agency abbreviation. (This group is called Project Locator)
- (10) PROJECT LOCATION - Enter a description of project termini. For initial programming of multi-location project use Comments or attach a separate sheet listing all locations and Federal route numbers.
- (11) TYPE OF WORK - Fully describe the work proposed (i.e., "Median Widening and channelization for left-turn lane").
- (12) THIS REQUEST - Code from table, phase or phases requested (3 digits). For projects involving transfer of funds to FTA use OTH.
- under FOR - elaborate on type of work or activity, e.g., environmental studies, contract, force account.
- Request for authorization may be for an entire phase or a specific task(s) within a phase. For projects involving transfer of funds to FTA include FTA grant number. Add notes in REMARKS if needed.
- (12a) If a DEMONSTRATION PROJECT - Enter Estimated Date of Construction: Award Month & Year MM/YY
- (13) URBANIZED AREA CODE - Fill in Federal area code for an area of 50,000 or greater.

- (14) POPULATION - Enter **1** 50,000 to 200,000  
**2** Over 200,000
- (15) FTIP/FSTIP DATA. - Insert name of MPO, Fiscal Year, Date Approved by FHWA, Sheet No., and TIP project number (PPNO) if any. If not in an MPO enter FSTIP and appropriate data for it. If in an amendment add amendment number.
- (16) IGR (INTERGOVERNMENTAL REVIEW) - Enter **Y** if Exempt or **N** Not Exempt from review. If not exempt, indicate if there were comments, enter **A** Areawide review comments or **S** State review comments.  
Enter state and/or areawide clearinghouse assigned review number.
- (17) ENVIRONMENTAL DATA - Enter code for TYPE of document prepared: **1** Environmental Impact Statement,  
**2** Categorical Exclusion, or  
**3** Finding of No Significant Impact.
- If an EIS, add year & number of Federal approval, otherwise leave blank
- Enter date of Federal Environmental Document approval.
- If approval is a Programmatic CE, use as appropriate 02/05/90 or 09/05/90. In Local/State Comments field indicate "Programmatic CE for Seismic Retrofit determination of February 5, 1990" or "Programmatic CE determination of September 5, 1990" plus Caltrans approval date.
- (18) INITIAL FEDERAL AUTHORIZATION - Fill initial authorization date. If project was previously authorized under a different Class of Federal Funds or Project Number, indicate here.
- (19) RIGHT OF WAY - Provide necessary Right-of-Way information if Federal Funds are requested for Right-of-Way. Include number and cost of parcels, families, businesses and Last Resort Housing/Hardship (i.e. 17 pcls - \$700,000). Support costs include preliminary ROW work.
- (20) ENERGY RELATED - If the project is an energy conservation activity, in whole or part, indicate the percentage of funds allocated to this activity. Public transportation, ride sharing, traffic signals/controls, and HOV facilities would be examples of this type of work. At the right of way stage make a reasonable estimate.
- (21) TOPICS - Code whether the project is a Traffic Operations Improvement Program.
- Enter **T** if a TOPICS type project and **N** if not.
- Projects would include signals or signal coordination, improved transit service, and other actions to improve traffic flow or reduce congestion.

- (22) Code ROW certification category and date of FHWA approval.  
See manual for details, briefly:

Code 1 Certification 1 - Full legal and physical possession and property vacated by occupants.

Code 2 Certification 2 - Full physical possession and property vacated by occupants.

Code 3 Certification 3 - Used on an exception basis. Physical possession not complete, but "date certain" set for accomplishment. May authorize and advertise but need upgrade to Certification 1 or 2 to open bids.

Code 4 - Code as a 4 if your Certification #1 indicates that all right of way was acquired for a previous project and there are no other right of way actions, e.g., utilities, easements, material or disposal sites, obstructions, or railroads.

The certification data must be complete to proceed with Construction authorization.

- (23) PREPARED BY - Name of preparer, Contact phone number and Date prepared.
- (24) RR CROSSING #S - Enter PUC and Federal Railroad crossing numbers if this is a crossing improvement project. Normally, these are initiated in OLP.
- (25) CMAQ AIR BASIN - For any project using Congestion Mitigation and Air Quality funds (CMAQ) identify the air basin where the project will be implemented. Enter name & code from locode list.
- (26) LOCAL AGENCY/STATE COMMENTS - For State or Local Agency use. In this space add justification or clarification information and a description of any reports submitted with request. If this is being submitted to update data but there is no funding change, clearly indicate here. This may not be processed until a funding update, depending on the significance of the change. Changes or additions in appropriation codes must be processed.
- (27) -(29) no entries

**Detail Record:** Cost Estimate and related details

Detail record information must be completed to accurately reflect the funding breakdowns for the project. A new record must be prepared for each appropriation used and for each phase change (work class) and each work type change within that appropriation. Add as many detail record sheets as needed. Generally, work type groups would be limited to major items of work, e.g. 5% roadway approach work for a project with 95% Bridge work would include all costs in the bridge work type detail record. See Attachment 8, "Construction Administration"—Detail Estimate for work groupings which require a specific detail breakout.

Bridge work is a major type needing its own detail estimate and authorization detail record.

PREFIX - PROJECT NO. -AGREEMENT # - Repeat the number or project location to tie to first page as needed.

DETAIL RECORD #: Indicate which detail record and how many. e.g. 1/3

- (30) APPROPRIATION CODE - Enter the Federal appropriation code. A list of common ISTEA programs and codes is provided. If uncertain, your MPO/RTPA or District Local Assistance Engineer may provide this for you.
- (31) LINE NUMBER - All data on this sheet is recorded by the appropriation code then the line number. See list for choices. For each appropriation code, line numbers for the remaining work breakdowns must be unique. Start with the lowest number in a sequence and sequence upward, e.g. 30, 31, 32. When changing to a new appropriation code, start again at the lowest number in a sequence.
- (32) URBAN/RURAL AREA - Check the appropriate box. Note: Urban areas are >5,000 while Urbanized areas previously used in item (13) start at 50,000.
- (33) FEDERAL COUNTY CODE - From the list enter the code.
- (34) CONGRESSIONAL DISTRICT - From the coding list enter the code only if there are multiple districts within a county. Coding between this and the county must correspond.
- (35) APPROPRIATION COUNT - Indicate the number of federal appropriation codes used to fund the project. On the major funding appropriation detail sheets, put the total number. For the other appropriation detail sheets enter 0. (FHWA records define each appropriation as a "project").
- (36) NUMBER OF RELOCATION PAYMENTS - Enter number
- (37) WORK CLASS - 1 digit code for phases of work. PE = 1, ROW = 2 & CONSTRUCTION = 3. Others are [P = Planning, R = Research (HPR/PR funded only)] and T = Transit or Training.
- (38) WORK TYPE - 4 digit code for types of work activities being funded. Must be coded from tables.
- (39) FUNCTION CLASS - This 4 digit code consists of two parts: 2 digits for the Highway Type and 2 digits for the Type of Improvement. see code tables and select appropriate type.
- (40) SAFETY/RR CODE - See Safety list for Codes and which Statistical Data block to complete.
- (41) FEDERAL AID SYSTEM - Coding for the pre-ISTEA systems. see list and select appropriate code.
- (42) FEDERAL RESERVATION SYSTEM - Coding for projects on Federal lands. Precoded as Z - not on any Federal Reservation/Park system. Correct from code list if needed.
- (43) STATE SYSTEM CODE - Coding for Local/State road system. Select code. L = Local, S = State, M = Multi-system, Z = Not on State/Local system.
- (44) CONST. BY - 1 digit code defining how (by whom) this work will be performed. C = Contract, F = Federal Hwy. Forces, L = Public Agency, R = Railroad Force Account, S = State Force Account, U = Public Utility Force Account, O = Other Force Account. Must use L or S for PE & CE.
- (45) LENGTH (MILES OR KILOMETERS) - Enter the centerline length of the project for construction phases (work class 3). If using multiple appropriations, prorate length by line number, work type and county. Do not duplicate. May report to 1/1,000. Report only miles or kilometers not both.

(46) LANE MILES/KILOMETERS - For roadway construction only, and if improvement type is 01 to 07 or 15 or 16, and if work type is A000 to K000 or YHOV, report to the nearest hundredths of a unit.

COSTS - Segregate costs by Phase and work type activity within the construction phase with separate detail records. Previous costs are those already authorized and obligated with this same project and agreement number. Participating costs are not input, but are used to define whether the project is fully federally funded. Note that construction and construction engineering costs are separate detail records.

(47) TOTAL COST - The total project cost for the phase or task(s) within phase requested at this time. Also, indicate all previously obligated funds.

(48) PARTICIPATING COSTS - Enter the costs eligible for participation in Federal reimbursement.

(49) FEDERAL FUNDS - The federal funds share of the phase(s) of work that are requested. This cannot be more than the fund reimbursement ratio times the participating costs. Always round down to the nearest dollar. If less than the standard ratio, see discussion on underfunding and discuss in COMMENTS.

(50)-(59) Statistical data. Normally enter only one of these items pre detail record. Report with work class 3 and do not duplicate count. Report with predominant work type.

(50) Number of lanes for roadway work.

(51) Number of structures for bridge work.

(52) Number of bus or transit vehicles, new or rehabilitation.

(53) - (56) see the safety code in item (40) for which to report.

(57) Number of Traffic Monitoring, Management or Control Projects, normally 1

(58) Number of Operating Programs, normally 1

(59) Number of Parking spaces Provided

(60) BRIDGE NUMBERS - Enter the Bridge Inventory Structure Number for this corresponding Work Type Code for each structure funded by this Appropriation and Improvement Type. If using more than one Appropriation or Improvement Type, repeat on that detail sheet also. Include "Major Structure Data Sheets" with submittal.

**LOCAL PROGRAMS**  
**INTERMODAL SURFACE TRANSPORTATION EFFICIENCY ACT (ISTEA)**  
**FEDERAL AID PROGRAMS & REIMBURSEMENT %**

(30)

<u>Appropriation Code</u>	<u>Project Designation</u>	<u>Class of Funds</u>	<u>Federal Reimbursement Rate **</u>
<b>Surface Transportation Program - General Activities</b>			
33C	STPL	Surface Transportation Program, Urbanized Areas, Pop. >200,000	88.53%
3AK	STPL	Surface Transportation Program Urbanized Areas, Pop. >200,000 FTA Transfer	88.53%
33S	STPLG	Surface Transportation Program Urbanized Areas, Pop. >200,000 100% Federal Particip. for Safety	100%
33D*	STPL	Surface Transportation Program, Any Area	88.53%
33T	STPLG	Surface Transportation Program, Any Area 100% for Safety	100%
3AN	STPL	Surface Transportation Program, Any Area, FTA Transfer	88.53%
<b>Minimum Allocation</b>			
34A	MAL	Minimum Allocation Any Area	88.53%
34B	MAL	Minimum Allocation, Urbanized Areas Population over 200,000	88.53%
3BC	MAL	Minimum Allocation, FTA Transfer	88.53%
<b>Donor State Bonus</b>			
35A	DBL	Donor State Bonus Any Area	88.53%
35B	DBL	Donor State Bonus Minimum, Urbanized Areas Population over 200,00	88.53%

\* Also Used in place of 33E and 3AA

\*\*Pedestrian Walkway &amp; Bicycle Facilities reimbursed at 80% for all funds

**LOCAL PROGRAMS**  
**INTERMODAL SURFACE TRANSPORTATION EFFICIENCY ACT (ISTEA)**  
**FEDERAL AID PROGRAMS & REIMBURSEMENT %**

(30)

<u>Appropriation Code</u>	<u>Project Designation</u>	<u>Class of Funds</u>	<u>Federal Reimbursement Rate **</u>
<b>STP, Transportation Enhancement Activities (TEA)</b>			
33B	STPLE	Surface Transportation Program, TEA	88.53%
33R	STPLEG	Surface Transportation Program, TEA, 100% Federal Particip. for Safety	100%
3AM	STPL	Surface Transportation Program TEA, FTA Transfer	88.53%
<b>STP, Hazard Elimination Safety Program (HES)</b>			
33P	STPLH	Surface Transportation Program, HES Program	90%
33Z	STPLHG	Surface Transportation Program HES Program, 100% Participation for Safety	100%
33A	STPLH	Surface Transportation Program, Safety (optional)	90%
33Q	STPLHG	Surface Transportation Program, Safety, 100% Federal Particip. for Safety (optional)	100%
<b>STP, Rail-Hwy. Crossing Program (RR)</b>			
33M	STPLR	Surface Transportation Program, RR Protective Devices	90%
33X	STPLRG	Surface Transportation Program RR Protective Devices, 100% Federal Participation for Safety	100%
33N	STPLR	Surface Transportation Program, RR, Elimination of Hazards	90%
33Y	STPLRG	Surface Transportation Program RR, Elimination of Hazards, 100% Federal Participation for Safety	100%

**LOCAL PROGRAMS**  
**INTERMODAL SURFACE TRANSPORTATION EFFICIENCY ACT (ISTEA)**  
**FEDERAL AID PROGRAMS & REIMBURSEMENT %**

(30)

<u>Appropriation Code</u>	<u>Project Designation</u>	<u>Class of Funds</u>	<u>Federal Reimbursement Rate **</u>
<b>Congestion Mitigation and Air Quality (CMAQ)</b>			
320	CML	Congestion Mitigation and Air Quality Improvement Program	88.53%
3AZ	CML	Congestion Mitigation and Air Quality Improvement Program FTA Transfer	88.53%
32A	CMLG	Congestion Mitigation and Air Quality Improvement Program, 100% Federal Participation for Safety	100%
<b>Bridge Replacement and Rehabilitation Program (HBRR)</b>			
114	BRL or BHL	Bridge Replacement and Rehabilitation (20% off / on System)	80%
117	BRL or BHL	Bridge Replacement and Rehabilitation (15% off System)	80%
118	BRL or BHL	Bridge Replacement and Rehabilitation (65% on System)	80%
<b>Bridge Replacement and Rehabilitation Program (using 40% HBRR funds converted to STP-33D)</b>			
33D/BMS***	STLPZ	Seismic Safety Retrofit	88.53%
33D/BVS***	STPLV	Seismic Retrofit (HBRR Voluntary Program)	88.53%
33D/BPT***	STPLP	Bridge Painting	88.53%
33D/BRP***	STPLX	Bridge Rail Replacement	88.53%
*** 33D /xxx = Local Project Accounting Subcodes			
<b>Emergency Relief</b>			
098, 083 09E, 09G	ER	Emergency Relief codes vary with disaster	100% Em. Repair in 1st 180 days otherwise Std. Rate (88.53%)

**LOCAL PROGRAMS**  
**INTERMODAL SURFACE TRANSPORTATION EFFICIENCY ACT (ISTEA)**  
**FEDERAL AID PROGRAMS & REIMBURSEMENT %**

(30)			
<u>Appropriation Code</u>	<u>Project Designation</u>	<u>Class of Funds</u>	<u>Federal Reimbursement Rate **</u>
<b>Special Programs</b>			
18E	PLH	Public Lands Highways, Fiscal Year 1992 and Subsequent Years	100%
19A	FLH	Forest Highways, Fiscal Year 1992 and Subsequent Years	100%
360	BRL	High Cost Bridge Projects Section 1103	80%
361	CRL	Congestion Relief Projects Section 1104	80%
365	RAL	Rural Access Projects Section 1106(a)	80%
366	UAL	Urban Access and Urban Mobility Projects Section 1106(b)	80%
367	DIL	Innovative Projects Section 1107	80%
368	PIL	Priority Intermodal Projects Section 1108	80%

For pre ISTEA appropriation codes, newly added codes, or codes used for the State Highway program, consult your District Local Assistance Engineer

**LOCAL PROGRAMS**  
**INTERMODAL SURFACE TRANSPORTATION EFFICIENCY ACT (ISTEA)**  
**FEDERAL AID PROGRAMS & REIMBURSEMENT %**

(30)

<b>Appropriation Code</b>	<b>Project Designation</b>	<b>Class of Funds</b>	<b>Federal Reimbursement Rate **</b>
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**ADVANCE CONSTRUCTION**

OAD	ACCM	Congestion Mitigation and Air Quality Improvement	88.53%
OAE		High Cost Bridge Projects, Section 1103 (f)	80%
OAF		Congestion Relief Projects, Section 1104 (f)	80%
OAH		High Priority Corridors on National Highway System, Section 1105	80%
OAK		Rural Access Projects, Section 1106 (a) (5)	80%
OAL		Urban Access and Mobility Projects Section 1106 (b) (6)	80%
OAM		Innovative Projects, Section 1107 (f)	80%
OAN		Priority Intermodal Projects, Section 1108 (f)	80%
OAU		STP, TEA	
OBK		STP	

(12) THIS REQUEST: 3 digit code

<b>CODE</b>	<b>USED FOR</b>
PRE	Preliminary Engineering.
R/W	Right-Of-Way.
CON	Construction.
ALL	Requesting All Three (3) Of Above.
P/R	Preliminary Engineering And Right-Of-Way.
P/C	Preliminary Engineering And Construction.
OTH	Other.

(13) URBANIZED AREA CODES: 3 digit code

<b>CODE</b>	<b>URBANIZED AREA</b>	<b>CODE</b>	<b>URBANIZED AREA</b>
ØØ2	Los Angeles-Long Beach	298	Chico
ØØ6	San Francisco-Oakland	299	Fairfield
Ø23	San Diego	3ØØ	Hemet
Ø32	San Jose	3Ø1	Lancaster
Ø42	Sacramento	3Ø2	Napa
Ø48	San Bernardino-Riverside	3Ø3	Palm Springs
Ø8Ø	Fresno	3Ø4	Redding
Ø91	Pomona-Ontario	3Ø5	Santa Maria
117	Bakersfield	3Ø6	Visalia
119	Stockton	3Ø7	Yuba City
187	Santa Barbara	38Ø	Merced
224	Oxnard-Ventura, Thousand Oaks	381	Davis
229	Salinas	391	Hesperia-Apple Valley, Victorville
234	Modesto	396	Indio-Coachella
235	Santa Rosa	4ØØ	Lodi
236	Seaside-Monterey	4Ø2	Lompoc
237	Simi Valley	41Ø	San Luis Obispo
257	Antioch-Pittsburg	417	Vacaville
258	Santa Cruz	419	Watsonville
287	Yuma (AZ)		

(25) AIR BASIN CODES

<b>CODE</b>	<b>AIR BASIN</b>
6098	South Coast
6099	Southeast Desert
6100	San Diego
6101	Ventura
6102	San Joaquin Valley
6103	Sacramento Metropolitan
6104	San Francisco-Bay Area
6105	Santa Barbara
6106	Monterey Bay

(31) LINE NUMBER

<b>LINE NUMBER</b>	<b>DESIGNATED CLASSIFICATION</b>
Ø1-Ø9	Planning and Research HPR/PR, PL.
1Ø-19	Preliminary Engineering.
2Ø-29	Right-Of-Way - all phases: acquisition, acquisition of scenic strips, utility work handled as Right-Of-Way.
3Ø-69	Construction including post construction and maintenance.
7Ø-88	Additional line numbers available to supplement Ø1, 1Ø, 2Ø and 3Ø series.
89	To report the increased Federal Share (5%) for projects using innovative technologies. Pre approved use only.
9Ø-99	Additional line numbers available to supplement Ø1, 1Ø, 2Ø and 3Ø series.

## (33) FEDERAL COUNTY CODES

ØØØ	State-wide, e.g., HPR	Ø57	Nevada
999	Various - State-wide, e.g., signing project	Ø59	Orange
ØØ1	Alameda	Ø61	Placer
ØØ3	Alpine	Ø63	Plumas
ØØ5	Amador	Ø65	Riverside
ØØ7	Butte	Ø67	Sacramento
ØØ9	Calaveras	Ø69	San Benito
Ø11	Colusa	Ø71	San Bernardino
Ø13	Contra Costa	Ø73	San Diego
Ø15	Del Norte	Ø75	San Francisco
Ø17	El Dorado	Ø77	San Joaquin
Ø19	Fresno	Ø79	San Luis Obispo
Ø21	Glenn	Ø81	San Mateo
Ø23	Humboldt	Ø83	Santa Barbara
Ø25	Imperial	Ø85	Santa Clara
Ø27	Inyo	Ø87	Santa Cruz
Ø29	Kern	Ø89	Shasta
Ø31	Kings	Ø91	Sierra
Ø33	Lake	Ø93	Siskiyou
Ø35	Lassen	Ø95	Solano
Ø37	Los Angeles	Ø97	Sonoma
Ø39	Madera	Ø99	Stanislaus
Ø41	Marin	1Ø1	Sutter
Ø43	Mariposa	1Ø3	Tehama
Ø45	Mendocino	1Ø5	Trinity
Ø47	Merced	1Ø7	Tulare
Ø49	Modoc	1Ø9	Tuolumne
Ø51	Mono	111	Ventura
Ø53	Monterey	113	Yolo
Ø55	Napa	115	Yuba

## (34) CONGRESSIONAL DISTRICTS

Use only if the county is a multi-congressional district county, enter the congressional district(s) that are impacted by the project. Zero (Ø) fill a congressional district number less than 1Ø (i.e., Ø2, Ø3,...,Ø9). Enter data starting in the first multi-entry field. Not required for 000 & 999-STATEWIDE codes.

Following is a list of multi-congressional district counties with the congressional districts included within the county:

<b>COUNTY(Co. Code)</b>	<b>CONGRESSIONAL DISTRICTS</b>
Alameda (ØØ1)	Ø9, 1Ø, 13
Butte (007)	02, 03
Contra Costa (Ø13)	Ø7, 10
Fresno (Ø19)	18, 19, 20
Kern (Ø29)	20, 21
Los Angeles (Ø37)	24, 25, 26, 27, 28, 29, 3Ø, 31, 32, 33, 34, 35, 36, 37, 38, 39, 41
Madera (039)	18, 19
Orange (Ø59)	39, 41, 45, 46, 47, 48
Riverside (Ø65)	43, 44, 48
Sacramento (Ø67)	Ø3, Ø4, 05, 11
San Bernardino (Ø71)	40, 41, 42
San Diego (Ø73)	48, 49, 50, 51, 52
San Francisco (Ø75)	Ø8, 12
San Joaquin (Ø77)	11, 18
San Mateo (Ø81)	12, 14
Santa Barbara (083)	22, 23
Santa Clara (Ø85)	13, 14, 15, 16
Santa Cruz (087)	15, 17
Solano (Ø95)	01, 03, 07
Sonoma (097)	01, 06
Tulare (107)	19, 20, 21
Ventura (111)	23, 24

(38) WORK TYPE CODE :

This is a four (4) space field used to code the type of work associated with the line number.

The Following work type codes are classified as **Miscellaneous Work Type** codes:

CENG, FTAX, GMKR, INSP, IVHS, MAIN, PCON, PENG, PLAN, R/WS, RESH, ROWA, SFTY, UPLN and all Y\*\*\* codes. The first digit in the Y\*\*\* codes is alpha and the rest are numeric.

Following is a list of the codes with their work type:

<b>CODE</b>	<b>WORK TYPE</b>
CENG	CONSTRUCTION ENGINEERING
FTAX	FUEL TAX COMPLIANCE
GMKR	GEODETIC MARKERS
INSP	BRIDGE INVENTORY, INSPECTION, CLASSIFICATION SPECIAL PROJECTS
IVHS	INTELLIGENCE VEHICLE HIGHWAY SYSTEM
MAIN	MAINTENANCE
PCON	POST CONSTRUCTION
PENG	PRELIMINARY ENGINEERING
PLAN	PLANNING (HPR, PR RND PL FUNDS)
R/WS	ACQUISITION OF SCENIC STRIPS OUTSIDE OF ROW
RESH	RESEARCH (HPR, PR RND PL FUNDS)
ROWA	RIGHT OF WAY
SFTY	SAFETY RELATED WORK
UPLN	URBANIZED PLANNING
YHOV	HIGH OCCUPANCY VEHICLE LANES

<b>CODE</b>	<b>WORK TYPE</b>
Y000	MISCELLANEOUS (WASHINGTON OFFICE APPROVAL FOR USE)
Y002	TRAFFIC SIGNS
Y003	LANDSCAPING (PLANTING AND RELATED WORK)
Y004	ALL CLEARING (see Y103 for SIGNS, ETC.)
Y005	PLANTING OF NATIVE WILD FLOWERS
Y007	MINOR STRUCTURE (STORM SEWER, CULVERT, SNOW SHED, ETC.)
Y008	CHANNELIZATION OF TRAFFIC
Y009	SLOPE STABILIZATION/SLIDE PROTECTION
Y010	COAL ASH
Y021	SAFETY REST AREAS, SCENIC OVERLOOKS & TURNOUTS
Y022	COMFORT AND CONVENIENCE FACILITIES & RESTAREAS
Y023	SCREENING UNSIGHTLY AREAS
Y024	RECREATION-FACILITY
Y025	FRINGE PARKING
Y026	CARPPOOL FACILITY (HOV)
Y028	VANPOOL REQUISITION
Y030	HIGHWAY LIGHTING
Y031	TRAFFIC SIGNALS
Y032	FRWY TRAFFIC SURVEILLANCE AND CONTROL SYSTEMS
Y033	COMPUTERIZED TRAFFIC SIGNAL SYSTEM
Y034	MOTORIST AID SYSTEM
Y035	HIGHWAY INFORMATION
Y036	COMPUTERIZED MATCHING PROGRAM
Y037	OPERATION & MAINTENANCE OF TR. MGT. SYSETMS
Y041	SPECIAL RELOCATIONS (RIVERS, CHANNELS, ETC.)
Y050	FRONTAGE ROAD
Y051	INDEPENDENT PEDESTRIAN WALKWAYS
Y052	INDEPENDENT BICYCLE FACILITIES
Y060	UTILITY ADJUSTMENT
Y063	ACQUISITION OF SCENIC EASEMENTS & SITES
Y064	ACQUISITION OF HISTORIC SITES
Y065	SCENIC HIGHWAY OR BYWAY PROGRAMS

<b>CODE</b>	<b>WORK TYPE</b>
Y066	HISTORIC HIGHWAY PROGRAMS
Y067	HISTORIC PRESERVATION
Y068	REHABILITATION & OPERATION OF HISTORIC TRANSPORTATION FACILITIES
Y069	PRESERVATION OF ABANDONED RAILWAY CORRIDORS
Y070	ARCHAEOLOGICAL SALVAGE
Y071	PALEONTOLOGICAL SALVAGE
Y072	HISTORICAL, ARCHAEOLOGICAL OR SCIENTIFIC SITE
Y073	IDENTIFICATION, EVALUATION, PLANNING, RESEARCH OF HISTORIC OR ARCHAEOLOGICAL RESOURCES
Y077	WETLANDS MITIGATION & ENHANCEMENT
Y080	TRAINING (CONSTRUCTION CONTRACTS)
Y081	TRAINING (NHI)
Y102	FENCING
Y103	OUTDOOR ADVERTISING CONTROL/ACQ./REMOVAL
Y105	INTERPRETIVE FACILITIES
Y108	TRANSIT PASSENGER FACILITIES
Y109	TRUCK LOADING FACILITY
Y110	MCSAP (DEVELOPMENT CODE)
Y111	MCSAP (ENFORCEMENT PROGRAM)
Y112	CDL (DEVELOPMENTAL)
Y113	CDL (TESTING OPERATORS)
Y200	BUS PURCHASES
Y205	PURCHASE OF ROLLING STOCK (FIXED RAIL)
Y210	ADMINISTRATIVE EXPENSES
Y215	OPERATING EXPENSES (NET)
Y219	FERRY BOATS
Y220	NOISE ABATEMENT
Y222	TRUCK SCALES, FIXED
Y223	TRUCK SCALES, PORTABLE
Y224	AUTO RESTRICTED ZONE
Y225	TERMINAL AND TRANSFER FACILITIES
YHOV	HIGH OCCUPANCY VEHICLE LANES (repeated)

The following work type codes are classified as **Roadway and Surface Work Type** codes:

A000, B000, C000, D000, E000, F000, G000, H000, I000, J000 and K000. The first digit is alpha and the rest are numeric zero's (0).

Following is a list of the codes with their work type:

<b>CODE</b>	<b>WORK TYPE</b>
A000	PRIMITIVE
B000	UNIMPROVED
C000	GRADED & DRAINED EARTH
D000	SOIL SURFACE
E000	GRAVEL OR STONE
F000	BITUMINOUS SURFACE TREATMENT
G000	MIXED BITUMINOUS
H000	BITUMINOUS PENETRATION
I000	BITUMINOUS CONCRETE
J000	PORTLAND CEMENT CONCRETE
K000	ALL OTHERS

Bridge Codes on next page.

The following work type codes are classified as **Bridge Work Type** codes: X--- The first digit (code X) indicates bridge class. The first digit is alpha and the rest are numeric.

**CODE WORK TYPE**

	The second digit indicates nature of structure.
X0--	HIGHWAY OVER WATERWAY
X1--	HIGHWAY OVER RAILROAD
X2--	HIGHWAY OVER HIGHWAY
X3--	HIGHWAY OVER WATERWAY AND RAILROAD
X4--	HIGHWAY OVER WATERWAY AND HIGHWAY
X5--	HIGHWAY OVER RAILROAD AND HIGHWAY
X6--	HIGHWAY UNDER RAILROAD
X7--	HIGHWAY UNDER HIGHWAY
X8--	HIGHWAY UNDER RAILROAD AND HIGHWAY
X9--	OTHER COMBINATION, INCLUDING HIGHWAY OVER WATERWAY, RR AND HIGHWAY; ALSO 3- AND 4- LEVEL GRADE SEPARATIONS AND MISCELLANEOUS

<b>CODE</b>	<b>WORK TYPE</b>	<b>CODE</b>	<b>WORK TYPE</b>
	The third digit identifies the material of principal supporting members of the span.		The fourth digit identifies type of span (identifies type if bridge comprises 2 or more span types).
X-0-	TIMBER	X--0	SLAB
X-1-	MASONRY	X--1	GIRDER
X-2-	CONCRETE, NOT PRESTRESSED	X--2	TRUSS (EXCEPT CANTILEVER)
X-3-	STEEL	X--3	RIGID FRAME
X-4-	STEEL AND CONCRETE	X--4	ARCH
X-5-	TIMBER AND STEEL	X--5	CANTILEVER TRUSS
X-6-	TIMBER AND CONCRETE	X--6	MOVABLE
X-7-	COMPOSITE STEEL AND CONCRETE	X--7	SUSPENSION
X-8-	CONCRETE, PRESTRESSED	X--8	BOX CULVERT (BRIDGE LENGTH)
X-9-	ALUMINUM	X999	HIGHWAY TUNNEL

Thus, work type code X015 would be a highway over waterway bridge using masonry as the principal supporting member of the span and using a cantilever truss for the type of span.

(39) Function Class [Highway Type + Improvement Type]

<u>CODE</u>	<u>TYPE OF HIGHWAY</u>	<u>CODE</u>	<u>TYPE OF HIGHWAY</u>
DC	Divided/Collector (Major)	FL	Freeway/Local
DL	Divided/Local	FM	Freeway/Minor Arterial
DM	Divided/Minor Arterial	FP	Freeway/Principal Arterial
DP	Divided/Principal Arterial	FR	Freeway/Collector (Minor)
DR	Divided/Collector (Minor)	NR	(Not Required)
EC	Expressway/Collector (Major)	UC	Undivided/Collector (Major)
EL	Expressway/Local	UL	Undivided/Local
EM	Expressway/Minor	UM	Undivided/Minor Arterial
EP	Expressway/Principal Arterial	UP	Undivided/Principal Arterial
ER	Expressway/Collector (Minor)	UR	Undivided/Collector Minor
FC	Freeway/Collector (Major)		

Type of Improvement codes:

<u>CODE</u>	<u>TYPE OF IMPROVEMENT</u>	<u>CODE</u>	<u>TYPE OF IMPROVEMENT</u>
Ø1	New Route	Ø9	Bridge Replacement
Ø2	Relocation	1Ø	Bridge Rehabilitation
Ø3	Reconstruction (see 15 & 16)	11	Minor Bridge Work
Ø4	Major Widening	12	Safety/Traffic/TSM
Ø5	Minor Widening	13	Environment Related
Ø6	Restoration and Rehabilitation	14	Bridge Program Special Actions
Ø7	Resurfacing	15	Reconstruction -Added Full Lane Capacity
Ø8	New Bridge	16	Reconstruction -No Added Full Lane Cap.

## (40) SAFETY CODES

use only with appropriation codes: 33A, 33M, 33N, 33P, 33Q, 33X,  
33Y, 33Z

HAZARD ELIMINATION	CODE	NUMBER OF
INTERSECTION IMPROVEMENT		1A Intersections
		Improved
ROADSIDE IMPROVEMENT		1B Projects
INSTALLATION OF TRAFFIC SIGNS	1C	Projects
PAVEMENT MARKING		1D Projects
INSTALLATION OF HIGHWAY LIGHTS	1E	Projects
TRAFFIC CONTROL SIGNALIZATION	1F	Projects
ROADWAY/STRUCTURE IMPROVEMENT		2A Projects/Structures
COMMUTER CARPOOLING/VANPOOLING		3A Projects
CONCRETE BARRIER AND TREATMENTS		3B Projects
BREAKDOWN UTILITY POLES		3C Projects
PRIORITY CONTROL SYSTEM		3D Projects
INSTALLATION OF GUARDRAIL		3J Projects
INSTALLATION OF IMPACT		
ATTENUATORS		3N Projects
OTHER SAFETY APPURTENANCES		4A Projects
<u>RAIL-WAY CROSSINGS</u>		
RAIL-HWY XING PROTECTIVE DEVICE		5A Crossings Protected
RAIL-HWY XING IMPROVEMENT		5B Crossings Improved/ Eliminated

(41) FEDERAL-AID SYSTEM CODE

This two (2) space (must be completed) field is used to enter the Federal-Aid System Code. Following is a list of the codes.

<b>CODE</b>	<b>TYPE OF SYSTEM</b>
I	On the Interstate System
J	On Interstate System, Section 139, additions
K	I-System - Section 103(e)(2) additions
M	Multi-system such as HPR, PR, HPS or Geodetic Markers
P	On the Primary System including extensions
S	On the Secondary System
U	On the Urban System
Z	Not on any Federal-Aid System

(42) FEDERAL RESERVATION SYSTEM CODE

This two (2) space (must be completed) field is used to enter the Federal Reservation System Code. Following is a list of the codes. Default is Z; change if needed.

<b>CODE</b>	<b>TYPE OF SYSTEM</b>
D	Public Lands Development Road
E	On Public Lands but not a Public Land Development Road
F	On Forest Highway System
I	Indian Reservation Road
J	On Indian Reservation and not Indian Reservation Road
M	Multi-system such as HPR, PR, HPS
N	Parkway
P	Park Road
Q	On National Park System Lands but not on a Park Road or Parkway
S	On National Forest System Lands but not a Forest Development Road
T	On Forest roads and trails
Z	Not on any Federal Reservation System or National Park

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**EXAMPLE - EXEMPT PROJECT**

AUTHORIZATION TO PROCEED

FEDERAL AID PROGRAM HBRR		CALIFORNIA DEPARTMENT OF TRANSPORTATION	
PROJ LOCATOR 11-SD-0-PTR			
PREFIX	BRLO	PROJECT LOCATION	
PROJECT NO	4060(016)	WILSON CK @ BORDER CANAL,42C-WD40	PREV. AUTHORIZATION
SEQ NO	1		-----
DIST-EA	11-999999L	TYPE OF WORK	PE
AGENCY	PETER	BRIDGE REPLACEMENT	R/W
ROUTE		FED. RR NOS	CON
TIP DATA:		PUC CODE(S)	
MPO/YEAR	SANDAG	EXEMPT FROM FHWA REVIEW	APPR CODES 118
DATE	94/95	ENV STATUS CAT. EXCL. 03/02/94	LINE NOS 30 31
SHEET	207	R/W STATUS 4 09/24/94	WORK CLASS 3
URBANIZED	SAN DIEGO	POPULATION OVER 200,000	FUNC. CL. UR09
URB/RURAL	URBAN AREA	BRIDGE NOS 42C-WD40	

PHASE	PROJECT COST	FEDERAL COST
-----	-----	-----
PREV. OBLIGATION	0	0
CON THIS REQUEST	200,000	160,000
SUBTOTAL	200,000	160,000
-----	-----	-----
TOTAL	200,000	160,000

STATE REMARKS

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 PE on this project was authorized under project No.BRM-F998(001)

AUTHORIZATION TO PROCEED WITH CON	PREPARED BY	K. BROWN	ON 01/23/95 (619) 421 9898
CONTRACT	REVIEWED BY	J.B. SMITH	ON 01/24/95 (916) 421 9899
	AUTHORIZED BY	J.B. SMITH	ON 01/24/95
	OBLIGATED BY	A DERECHA	ON 01/25/95