



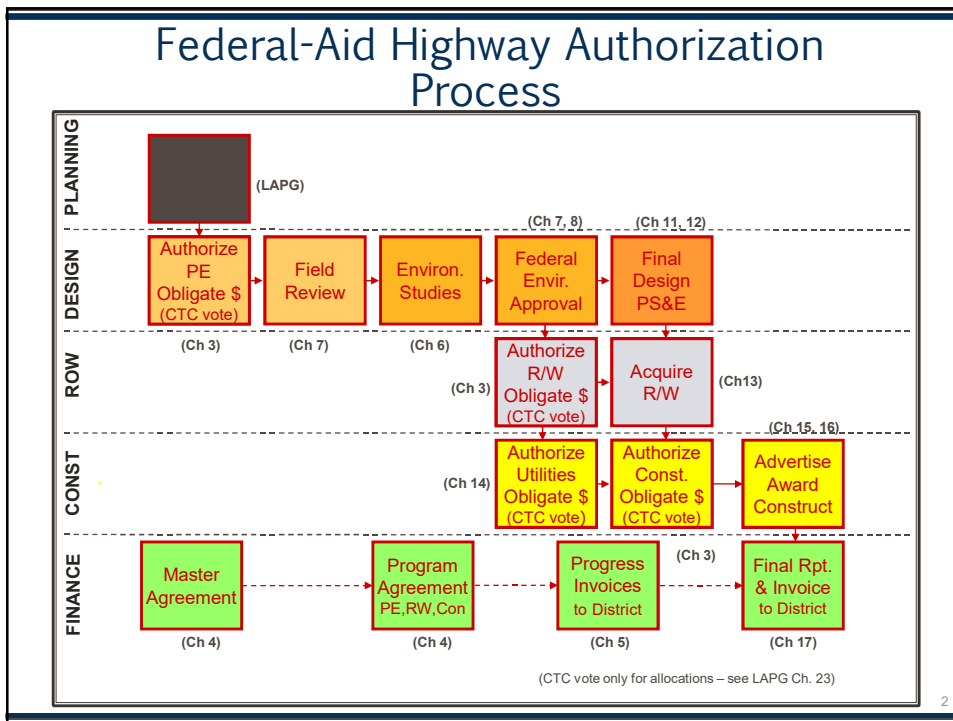
SB1
 RebuildingCA.ca.gov
 #RebuildingCA

SB1 Workshop

PART 5
 FEDERAL AID HIGHWAY AUTHORIZATION PROCESS

PRESENTED BY JOHN HOOLE
 CHIEF, OFFICE OF IMPLEMENTATION SOUTH

November 2018

Federal Authorizations

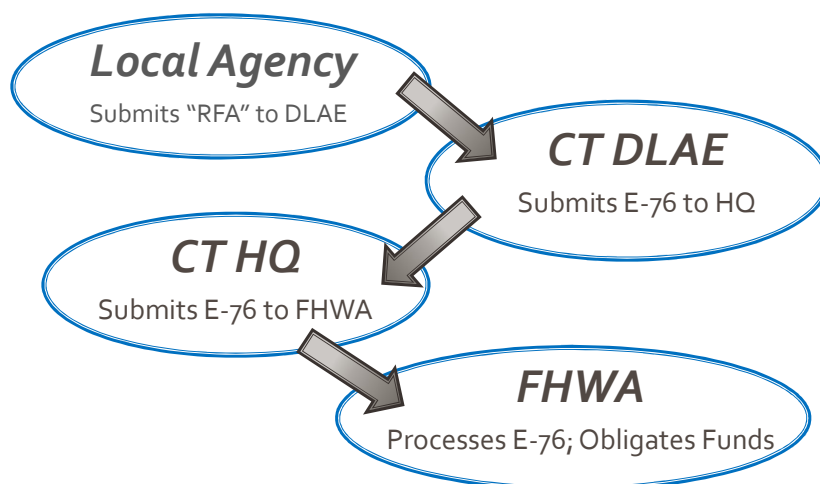


- Authorize before work/advertising
- FHWA's approval to proceed with work
 - Preliminary Engineering (environmental & design)
 - Right of Way
 - Utility
 - Construction
 - Construction Engineering
 - Non-Infrastructure
- Establishes date of reimbursement

3



Federal Authorizations



4



PE Authorizations



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

5

CALTRANS DIVISION OF
LOCAL ASSISTANCE

PE Authorization Submittal



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

6

CALTRANS DIVISION OF
LOCAL ASSISTANCE

Right of Way Authorizations



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

7



Submittal: Right of Way Authorization



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

8



Construction Authorizations



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

9



Construction Authorization Submittal





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

10





FHWA Authorization + CTC Allocation




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

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



CALTRANS DIVISION OF LOCAL ASSISTANCE

Best Practices



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

www.dot.ca.gov/hq/LocalPrograms/hooles-rules.html

CALTRANS DIVISION OF LOCAL ASSISTANCE

Allocation “Heads Up”



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

13



Authorization “Heads Up”



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

14



Upcoming Improvements

New Dynamic Allocation Form: **Done!**

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

Authorization (E-76) Process:

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

Progress Invoices:

Lean 6 Sigma effort to reduce 90% of errors.

PSA:

Lean 6 Sigma effort to reduce PSA processing time.

15



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

District 1 – Suzi Theiss, (707) 445-6399
Suzanne.Theiss@dot.ca.gov

District 2 – Ian Howatt, (530) 225-3484
Ian.Howatt@dot.ca.gov

District 3 – David Giongco, (530) 741-5450
David.Giongco@dot.ca.gov

District 4 – Sylvia Fung, (707) 445-6399
Sylvia.Fung@dot.ca.gov

District 5 – Heidi Borders, (805) 549-3111
Heidi.Borders@dot.ca.gov

District 6 – Jim Perrault, (559) 445-5417
James.Perrault@dot.ca.gov

District 7 – Steve Novotny, (213) 897-4289
Steve.Novotny@dot.ca.gov

District 8 – David Lee, (909) 806-4756
David.Lee@dot.ca.gov

District 9 – Forest Becket, (760) 872-0681
Forest.Becket@dot.ca.gov

District 10 – Parminder Singh, (209) 948-3689
Parminder.Singh@dot.ca.gov

District 11 – Bing Luu, (619) 220-5311
Bing.Luu@dot.ca.gov

District 12 – Tifini Tran, (707) 445-6399
Tifini.Tran@dot.ca.gov

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

