












































### EO ONLY RFA SUBMITTAL PACKAGE





































<sup>1</sup> Only if work not entirely within local agency RW or if there are utility issues.

-  Req'd, if not yet submitted
-  Local Agency Submittal
-  District DLAE Submittal

Required Document(s)	Emergency Opening Preliminary Engineering	Emergency Opening Right of Way	Emergency Opening Construction	EO Only Project Closeout
E-76/FADS Submittal				
First Approved DAF				
Latest Approved DAF				
Finance Letter (Exh. 3-O)				
Finance Letter (LP-2000)				
NEPA Doc. & Revalidation				
RFA Data Sheets (Exh. 3-E) <sup>1</sup>				
RW Certification <sup>1</sup>				
Auth to Reloc Util (Exh. 14-C)				
Detailed Estimate (Exh 15-M)				
Any Special Justif &/or Analys				
Final Rept of Exp (Exh 17-A)				
Final Inspect (Exh 17-C)				

### PR ONLY RFA SUBMITTAL PACKAGE

-  Req'd, if not yet submitted
-  Local Agency Submittal
-  District DLAE Submittal

Required Document(s)	Permanent Repairs Engineering	Permanent Repairs Right of Way	Permanent Repairs Construction	EO + PR or PR Only Project Closeout
E-76/FADS Submittal				
First Approved DAF				
Latest Approved DAF				
Finance Letter (Exh. 3-O)				
Finance Letter (LP-2000)				
NEPA Doc. & Revalidation				
RFA Data Sheets (Exh. 3-E)				
RW Certification				
Auth to Reloc Util (Exh. 14-C)				
Detailed Estimate (Exh 15-M)				
Any Special Justif &/or Analys				
Final Rept of Exp (Exh 17-A)				
Final Inspect (Exh 17-C)				



# Debris Removal on Federal-Aid Highways

Until recently, the Federal Highway Administration (FHWA) had the primary authority to remove debris on Federal-aid highways under its Emergency Relief (ER) Program, including in the event of major disasters and emergencies declared by the President under Sections 401 and 501, respectively, of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended (Stafford Act). The Federal Emergency Management Agency's (FEMA) Public Assistance Program was able to assist with additional debris removal activities that were otherwise eligible for PA funding but not covered by the ER Program.

The Moving Ahead for Progress in the 21<sup>st</sup> Century Act (MAP-21), signed into law July 6, 2012, (Public Law 112-141), amended the statutory authorization for the FHWA ER Program. Section 1107 of the law states in part:

- (3) Debris Removal – The costs of debris removal shall be an eligible expense under this section only for:
  - (A) an event not declared a major disaster or emergency by the President under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.); or
  - (B) an event declared a major disaster or emergency by the President under the Act if the debris removal is not eligible for assistance under section 403, 407, or 502 of that Act (42 U.S.C 5170b, 5173, 5192).

This change went into effect October 1, 2012. For major disasters and emergencies declared under the Stafford Act on or after this date, the FHWA ER Program will not provide assistance for debris removal on Federal-aid highways in jurisdictions designated for FEMA PA. Debris removal on Federal-aid highways in these areas will be eligible for FEMA PA Program funding, pursuant to established eligibility requirements (44 CFR Part 206).

This change applies to debris removal and does not affect any other categories of PA work. Permanent work on Federal-aid highways is not eligible for PA funding (44 CFR 206.226(a)). Debris removal funded by FEMA must meet the eligibility, procurement and documentation requirements established in the Stafford Act, 44 CFR Part 206, 2 CFR Part 200 and the FEMA Public Assistance Program and Policy Guidance.



- Include a line item for “Debris Removal on Federal-aid Highways” on your List of Projects (LOP).
- Record location, type and quantity of debris.
- Consider participating in FEMA’s Alternative Procedures Pilot Program for Debris Removal






# Debris Removal on Federal-Aid Highways

Four scenarios regarding debris removal eligibility following a natural disaster or catastrophic event may include, but are not limited to:

1. The event is declared to be an emergency by the Governor, but there is no Presidential declaration of a major disaster under the Stafford Act. The Secretary concurs with the Governor's emergency declaration. If the Secretary concurs with the Governor's emergency declaration, ER funds may participate in debris removal on eligible sites on Federal-aid highways in the same manner as before MAP-21. ER funds will only be available in those counties included in the Governor's emergency declaration and any amendments for the same event.
2. The event is declared to be an emergency or a major disaster by the President under the Stafford Act and debris removal is eligible for assistance under sections 403, 407, or 502 of the Act. There may or may not be a Governor's emergency declaration. FEMA will fund debris removal on affected highways, including Federal-aid highways, in accordance with FEMA's Public Assistance Program. FHWA will not participate in debris removal costs, including any excess costs not covered by FEMA.
3. The event is declared to be an emergency or major disaster by the President, but FEMA has determined that debris removal is not eligible for its assistance. The ER funds can participate in debris removal costs on eligible sites on Federal-aid highways for sites that FEMA has determined to be ineligible under its program. FHWA division offices should request documentation of FEMA's determination that the debris removal is not eligible under the Stafford Act. Care should be taken to ensure that the reason for FEMA's decision of ineligibility is not also a reason for ER ineligibility.
4. The event is declared to be an emergency or major disaster by the President and debris removal is eligible for assistance from FEMA. There is also a Governor's emergency declaration. However, the Governor's declaration covers more counties than the President's declaration. The Secretary has concurred with the Governor's declaration. ER may participate in debris removal costs on eligible sites on Federal-aid highways in the same manner as before MAP21 for those sites subject to the Governor's declaration but not the President's declaration.

When Stafford Act funds are used for debris removal, the requirements of 44 CFR 206.224 will apply. These requirements are elaborated further in the FEMA Public Assistance Policy Digest. When Title 23 funds are used for debris removal, the requirements of 23 CFR 668 will apply. These requirements are elaborated further in the Emergency Relief Manual.

## Additional Resources

-  FEMA Public Assistance Program and Policy Guide, January 2016
-  44 CFR Part 206
-  2 CFR Part 200

## Web Sites

<http://www.caloes.ca.gov/cal-oes-divisions/recovery/public-assistance>

<https://www.fema.gov/public-assistance-policy-and-guidance>

<https://www.fhwa.dot.gov/map21>

<https://www.fema.gov/alternative-procedures>

<http://www.fhwa.dot.gov/reports/erm/>



Want more information on debris management?

Contact:  
**Marcia Sully**  
Disaster Debris Coordinator  
Desk: 916.845.8170  
Cell: 916.616.7840  
[Marcia.Sully@caloes.ca.gov](mailto:Marcia.Sully@caloes.ca.gov)

# **DAMAGE ASSESSMENT FORM (DAF)**

---

## **INSTRUCTION SHEET**



# DAF- Damage Assessment Form

<http://www.dot.ca.gov/hq/LocalPrograms/erp/documents/daf-cover3-14-E2-2014-03-11.pdf>

Damage Assessment Form or DAF- One must be filled out for each damaged site.

(Federal-Aid Eligible)

Photos of damage prior to repair are REQUIRED

Minimum damage estimate is \$5,000

U.S. Department of Transportation Federal Highway Administration- California Division- Title 23 Damage Assessment Form (DAF)		DAF No. _____ - _____ - 000 - 00
Sheet # 1 of _____		Federal Project # EO ER - _____ ( )
Disaster No. CA 1 _____ - 1 PR ER - _____ ( )		
Applicant _____		County _____ Congressional districts _____
Location of Damage: _____		Incident Date (mm/dd/yyyy) _____ Inspection _____
Name of Road/Bridge: _____		Federal-aid Highway? _____ Y for yes, if no, ineligible for ER funds
PM Begin: _____ PM Length: _____		Map No _____
PM End: _____ (in feet)		Functional Classification Type: _____
Road/Bridge Data:	Bridge No _____ Type: _____	Route # _____
Traveled Way: Width _____ Type: PCC <input type="checkbox"/> AC <input type="checkbox"/> Gravel <input type="checkbox"/>		Forest Hwy? Y/N <input type="checkbox"/> Interstate? Y/N <input type="checkbox"/>
Shoulder: Width _____ Type: PCC <input type="checkbox"/> AC <input type="checkbox"/> Gravel <input type="checkbox"/>		Existing ADT: _____
Description of Damage: _____		

COST ESTIMATE					
Emergency Opening (EO)	Type of Repair	Description of Work	Cost Summary		
	EO- AGENCY FORCES CT Work Order #(s): _____ EA(s): _____			PE	
CE					
EO- CONTRACT EO EA(s): _____			Construction		
			PE		
			CE		
			Construction		
NOTE: Environmental documentation for EO is required. It is generally started after work has begun.			R/W		
			Subtotal Emergency Opening	\$0	
Permanent Restoration (PR)	PR- CONSTRUCTION FA requires an approved PIF				
	<input type="checkbox"/> Contract <input type="checkbox"/> FA				
	PR EAs _____			PE	
				CE	
				Construction	
				R/W	
NOTE: PRIOR AUTHORIZATION (APPROVED E-76) IS REQUIRED TO PROCEED WITH PERMANENT RESTORATION R/W & CONSTRUCTION			R/W		
NOTE: Environmental clearance for permanent restoration is conducted through normal Federal-aid procedures			Subtotal Permanent Restoration	\$0	
Eligible	Signature	Date	PE Total	\$0	
<input type="checkbox"/> Yes <input type="checkbox"/> No	Local Agency (if applicable):		CE Total	\$0	
<input type="checkbox"/> Yes <input type="checkbox"/> No	Caltrans:		R/W Total	\$0	
<input type="checkbox"/> Yes <input type="checkbox"/> No	FHWA*:		Construction Total	\$0	
TOTAL ESTIMATE				\$0	

Agency sig. Name (print): \_\_\_\_\_ FHWA Sig. Name (print): \_\_\_\_\_  
 CT signature Name (print): \_\_\_\_\_ DAF Prepared by (print): \_\_\_\_\_

Original: Caltrans District Copies: FHWA, Division of Local Assistance(local roads), Federal Resources (state hwy), HQ Major Damage Engineer (state hwy)  
 \*Write "NA" in FHWA signature block if the project has no Federal ER funding or Federal ER funding delegated to the State.  
 FHWA Signature: REQUIRED for all Federal Funded State and Local Agency projects. Reminder: This DAF must be accompanied by photos of the damage.

U.S. Department of Transportation  
Federal Highway Administration-  
California Division- Title 23  
Damage Assessment Form (DAF)

DAF No. [1] - [1] - 0 [4] - [1]  
Sheet # 1 of [2] Federal Project # EO ER - [3] ( )  
Disaster No. CA 1 [4] - 1 PR ER - [3] ( )

Applicant [5]		County [6]		Incident Date (mm/dd/yyyy) [7]		Inspection [8]	
Location of Damage:		Per Site [9] or [9] Per Mile		Federal-aid Highway? [10]			
Name of Road/Bridge: [9]				Y for yes, if no, ineligible for ER funds <input type="checkbox"/>			
PM Begin: [9]		PM Length: [9]		Map No [10]			
PM End: [9]		(in feet)		Functional Classification Type: [12]			
Road/Bridge Data:		Bridge No [11]		Type: [11]		Route # [12]	
Traveled Way:		Width [13]		Type: PCC <input type="checkbox"/> AC <input type="checkbox"/> Gravel <input type="checkbox"/>		Forest Hwy? Y/N <input type="checkbox"/> Interstate? Y/N <input type="checkbox"/>	
Shoulder:		Width [13]		Type: PCC <input type="checkbox"/> AC <input type="checkbox"/> Gravel <input type="checkbox"/>		Existing ADT: [13]	
Description of Damage:							

**COST ESTIMATE**

Emergency Opening (EO)	Type of Repair	Description of Work	Cost Summary		
	EO- AGENCY FORCES CT Work Order #(s): [14]	[15]	[15]	PE	[15]
EA(s): _____			CE		
			Construction		
EO- CONTRACT	[14]	[15]	PE	[16]	
EO EA(s): _____			CE	[16]	
			Construction		
<b>NOTE: Environmental documentation for EO is required. It is generally started after work has begun.</b>			R/W	[17]	
[18]		Subtotal Emergency Opening		\$0	
Permanent Restoration (PR)	PR- CONSTRUCTION FA requires an approved PIF	[20]	PE	[20]	
	[19] Contract [19] FA		CE	[20]	
	PR EAs [21]		Construction	[20]	
<b>NOTE: PRIOR AUTHORIZATION (APPROVED E-76) IS REQUIRED TO PROCEED WITH PERMANENT RESTORATION R/W &amp; CONSTRUCTION</b>			R/W	[20]	
<b>NOTE: Environmental clearance for permanent restoration is conducted through normal Federal-aid procedures</b>			Subtotal Permanent Restoration	\$0	
Eligible		Signature	Date	PE Total	\$0
<input type="checkbox"/> Yes <input type="checkbox"/> No	Local Agency (if applicable): [22]			CE Total	\$0
<input type="checkbox"/> Yes <input type="checkbox"/> No	Caltrans: [23]			R/W Total	\$0
<input type="checkbox"/> Yes <input type="checkbox"/> No	FHWA*: [24]			Construction Total	\$0
<b>TOTAL ESTIMATE</b>					<b>\$0</b>

Agency sig. Name (print): [25] FHWA Sig. Name (print): [25]  
CT signature Name (print): [25] DAF Prepared by (print): [25]

Original: Caltrans District Copies: FHWA, Division of Local Assistance(local roads), Federal Resources (state hwy), HQ Major Damage Engineer (state hwy)  
\*Write "N/A" in FHWA signature block if the project has no Federal ER funding or Federal ER funding delegated to the State.  
FHWA Signature: REQUIRED for all Federal Funded State and Local Agency projects. Reminder: This DAF must be accompanied by photos of the damage.





U.S. Department of Transportation  
Federal Highway Administration  
California Division  
Damage Assessment Form (DAF)  
Title 23, Federal-Aid Highways

DAF No.           [28]            
Sheet No.                            of  
Applicant                           

Photos, Sketches and/or Narrative

*(This area is currently blank for photos, sketches, or narrative.)*

## **Damage Assessment Form Instructions**

The scope of work eligible for ER funds is established on the DAF. After the DAF is completed and signed, the Caltrans District representative is responsible for assuring that copies of the DAF are distributed as indicated at the bottom of the DAF and that the DAF data is entered into the FADS 3.0 database.

A **revised DAF** must be prepared if significant deviations from the prior approved DAF scope are proposed or if a significant quantity change is made. Generally, a significant quantity change is considered when:

- DAF amount is \$100,000 or less and the change is greater than \$10,000 and 25%.
- DAF amount is between \$100,000 and \$1,000,000 and the change is greater than 15%.
- DAF amount is greater than \$1,000,000 and the change is greater than 10%.

Revised DAF requests will be reviewed 2 months. The revised DAF paperwork should be submitted to the ER coordinator 2 weeks prior to the review meeting.

[1] DAF Number: The Damage Assessment Form (DAF) Report number uses the format:

AAA-BBBBBB-123-1.

FHWA and the Department have agreed to standardize the Damage Assessment Form Report Number format as follows:

### **For State ER Projects:**

- The first 3 spaces (“AAA”) are for the FHWA Engineer’s first, middle and last initials (or something similar). All 3 spaces must be filled in using alpha characters only. The letter “O” should be avoided if possible. No empty spaces!
- The next 6 spaces (“BBBBBB”) are used to indicate the agency (abbreviated) which is administering the ER project at the damaged site. Not all spaces are required to be filled in. However, no empty spaces are permitted between characters. For State Highway sites, enter CT followed by the district number as CT01, CT02, and so on.
- The next 3 spaces (“123”) are used to designate the actual report number for a given agency. All 3 spaces must be filled in with numeric characters only. The entry for the first report for an agency will be “001”. The next report for a different site will be “002”, and so on.
- The last single space entry is to show the report revision number. The initial report must show a “0” (zero) in this space. If major changes are made to the existing Report, fill out a revised report with the new information and change this entry from “0” to “1”.
- The following is an example of the first revision to the eighteenth DAF report for a State Highway site in District 2: **ABC-CT02\_\_-018-1** (State Hwy. DAF).

### **Local Agency Projects:**

## Damage Assessment Form Instructions

- The first 3 spaces (“AAA”) are for the FHWA Engineer’s first, middle and last initials (or something similar). If the FHWA Engineer does not attend the site visit for a local agency site, enter the initials of the Department District Local Assistance Engineer who attended. All 3 spaces must be filled in using alpha characters only. The letter “O” should be avoided if possible. No empty spaces!
- The next 6 spaces (“BBBBBB”) are used to indicate the agency (abbreviated) which is administering the ER project at the damaged site. Not all spaces are required to be filled in. Start on the left and work to the right, no empty spaces between characters. If an agency doesn’t know their abbreviation, district staff can look it up in LP2000. On the first page in the Route box. Counties use their standard abbreviation followed by CO. i.e. YUBCO is Yuba County and CND is Concord.
- The next 3 spaces (“123”) are used to designate the actual report number for a given agency. All 3 spaces must be filled in with numeric characters only. The entry for the first report for an agency will be “001”. The next report for a different site will be “002”, and so on.
- The last single space entry is to show the report revision number. The initial report must show a “0” (zero) in this space. If major changes are made to the existing Report, fill out a revised report with the new information and change this entry from “0” to “1”.
- The following is an example of the third DAF report for a local site in the County of Yuba: **CBA-YUBCO\_-003-0** (Local Agency DAF).

[2] Sheet number: Fill in total number of sheets.

[3] Project #s: Enter the seven digit Federal Project number (if known). The following is an example entry: 4321(004) for Emergency Opening (EO) and/or Permanent Restoration (PR). You may not have the project numbers by the time the DAF needs to be submitted to FHWA, these can be filled in later

[4] Disaster No.: Enter the 3-digit Federal Disaster Number (required). The disaster number is CA for California, then the Federal Fiscal Year followed by the event number, starting with 1. The following is an example entry: CA15-6.

[5] Applicant: Caltrans if State administered, or the name of the City, County or other local agency if locally administered.

[6] County or Congressional District: The name of the county or congressional district where the damage is located.

[7] Incident Date: Usually mentioned in the Governor’s Proclamation. It may be the date the damage occurred, or was first discovered.

[8] Inspection Date: The date that FHWA or Caltrans (local agency sites) visited the damage site. If there was more than one group inspection, it is best to document both dates in the justification area [30]

## Damage Assessment Form Instructions

[9] Location of Damage: For damage to be eligible for FHWA funding, the repair estimate must be greater than one of the following criteria:

	State	County	City
Per site	\$5,000	\$5,000	\$5,000
Per mile	\$15,000	\$9,000	\$5,000

Check "Per Site" or "Per Mile", name of road or bridge. Begin and end PM (if known) or closest intersection.

[10] Federal-aid Highway, map number, and Classification: Go to the CSR maps at [http://www.dot.ca.gov/hq/tsip/hseb/crs\\_maps/](http://www.dot.ca.gov/hq/tsip/hseb/crs_maps/) to determine if the route is a Fed-aid route. Local Roads and Rural Minor Collectors (grey or yellow) are not eligible for FHWA ER funds. Fill in the number from the lower right hand corner of the map, and write in the road classification.

[11] Road/Bridge Data: Fill in bridge # if applicable, traveled way and shoulder widths and material.

[12] Identify State/Local Route Number and Average Daily Traffic (ADT), and indicate if it is a Forest Highway, or Interstate: ADT is important when justifying EO work versus PR work.

[13] Description of Damage: Use general terms describing dimensions, and cause of damage, i.e. mudslide covering 75 feet of road, due to winter storms.

Emergency Opening (EO) versus Permanent Retoration (PR)- EO funding is for work that is needed for either 1)restoring essential travel, 2) minimizing the extent of damage, or 3) protecting the remaining facilities, ONLY.

[14] EO Types of repair: EO repairs may be made by agency forces, Forces Account contracts or regular contracts, or any combination of the above.

EO EA(s): Fill in once the project's EA(s) have been determined. The EA probably will not be known at the time of the field review or FHWA submittal.

[15] Description of EO Work and Summary Cost: Write a general description of the work needed to repair the damaged facility and an estimate of the cost for that work.

[16] EO PE and CE: EO PE and CE expenses must be justified in the Description of Work. If the PE estimate exceeds **10% of the EO construction cost, it needs a justification. If the CE exceeds 15% of the EO construction it needs a justification** in area [30] of the DAF.

[17] EO R/W: Fill any the estimated EO Right-of-way acquisition expenses. ER will only fund R/W acquisitions if the following 4 conditions are met:

- Directly related to the protection of the highway
- Not eligible for funds from another agency
- No other agency has responsibility
- Applicant agrees to accept all future maintenance

## Damage Assessment Form

### Instructions

Costs for permits and easements should be included in construction costs.

[18] EO Environmental Info: Mark CE or CE with Further Studies. The DAF is NOT the EO environmental document. An EO environmental certification will have to be processed.

[19] PR Type of Repair: PR work must follow federal contract requirements.

[20] Description of PR work and Summary Cost: Write a general description of the work needed to repair the damaged facility and an estimate of the cost for that work. If the PE estimate exceeds **10% of the EO construction cost, it needs a justification. If the CE exceeds 15% of the EO construction it needs a justification** in area [30] of the DAF. PR Right-of-way acquisition expenses. ER will only fund R/W acquisitions if the following 4 conditions are met:

Directly related to the protection of the highway

Not eligible for funds from another agency

No other agency has responsibility

Applicant agrees to accept all future maintenance

Costs for permits and easements should be included in construction costs.

[21] PREA(s): Fill in once the project's EA(s) have been determined. The EA probably will not be known at the time of the field review or FHWA submittal (Capital Projects).

[22] Eligibility and Local Agency signature and Date: If the applicant is a local agency, the agency will mark eligible and sign and date. For local sites that are less than \$5,000- mark the DAF as Ineligible, get a State Engineer signature, and submit the DAFs to CAL OES for 75% reimbursement.

[23] Eligibility and State Engineer and Date: The State engineer marks Eligible or Ineligible, signs and dates the DAF.

[24] Eligibility and FHWA Engineer and Date: The FHWA engineer marks Eligible or Ineligible, signs and dates the DAF.

[25] State Engineer & FHWA Engineer: Print the name of the signatures above  
DAF prepared By: Print the name of the person preparing the DAF.

[26] Page 2: You may provide you own spread sheet of calculations, in lieu of this page. Put the DAF # and page # in the upper right hand corner. Provide sketches and any narrative needed for clarification or support. If your PE and/or CE costs might be considered high- write in an explanation for the discrepancy. For local agency projects, do not send invoices, timesheets or Plans as part of the DAF.

[27] Justifications/Comments: Use this area to explain high PE and/or CE costs, additional site visit dates, and any other topics.

If you do not use this page, save a tree and do not send it as part of the DAF.

## Damage Assessment Form Instructions

[28] Page 3: For photos or additional sketches. **Photos are required with any DAF.**  
You may provide your own sheet, in lieu of this page. Put the DAF# and page # in  
the upper right hand corner.

If you do not use this page, save a tree and do not send it as part of the DAF.