

SIMPLE PROJECTS GUIDEBOOK

Federal – Aid Procedure for Simple Projects



STATE OF CALIFORNIA
Department of Transportation
Division of Local Assistance
Office of Procedures Development

June 2002

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**California Department of Transportation
Division of Local Assistance
Attn: ADA Coordinator
1120 N Street, Room 2400, Mail Station 1
Sacramento, CA 95814**

**(916) 653-9251 Voice
CRS: 1-800-735-2929**

DEPARTMENT OF TRANSPORTATION

DIVISION OF LOCAL ASSISTANCE, MS 1
1120 N STREET
P. O. BOX 942874
SACRAMENTO, CA 94274-0001
PHONE (916) 653-1776
FAX (916) 654-3048



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June 2002

Representatives of California Local Government:

This guidebook is designed to assist local agencies through the federal-aid process of smaller, less complex projects. The *Local Assistance Procedures Manual* (LAPM) explains in detail all the requirements of the federal-aid process for any type of project. The *Local Assistance Procedures Guidelines* (LAPG) provides guidelines and instructions for various programs available for financing local public transportation projects. This guidebook is not a replacement but should be used in conjunction with the LAPM and LAPG. As a result of the streamlining efforts of Assembly Bill 1012, this guidebook was written from the collective efforts of several local agencies and the California Department of Transportation, Division of Local Assistance, Headquarters and Districts 4 and 10.

For additional information or assistance, please contact your District Local Assistance Engineer listed on page 9 of this guidebook.

Sincerely,

TERRY L. ABBOTT
Chief
Division of Local Assistance

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Purpose

This guidebook is prepared to assist the local agencies in meeting the requirements for a simple federal-aid project as defined below. The *Local Assistance Procedures Manual* (LAPM) explains in detail all the requirements of the federal-aid process for any type of project. Moreover, the *Local Assistance Procedures Guidelines* (LAPG) provides information for the various programs available for financing local public transportation projects.

The procedures explained in this guidebook apply only to those projects that meet the conditions found in the Definition section below. The procedure presented here is not new, but is only a condensed version of the LAPM. The LAPM supersedes this booklet if there is a conflict. Instructions for completing the forms discussed in this booklet can be found in the LAPM. If additional assistance is needed, the District Local Assistance Engineer (DLAE) should be contacted.

Definition

Experience has shown that a simple project generally 1) does not have any right-of-way involvement and 2) has a Programmatic Categorical Exclusion or Categorical Exclusion environmental determination. However, for the purposes of this guidebook, the definition of a “simple project” must meet all the conditions delineated below:

- **The project is entirely within the local agency’s right-of-way. No new right-of-way, permits or easements are needed. Therefore, the project does not have a right-of-way phase or utility relocation phase involved.**
- **The project meets the requirements for “Programmatic Categorical Exclusions (or) Categorical Exclusions” (see LAPM Exhibit 6-K).**
- The project is NOT a State Transportation Improvement Program (STIP) project nor does it have a STIP component, i.e., STIP match.
- If consultants are used, they should be selected based on procedures outlined in Chapter 10 of the LAPM. Consultant contracts in excess of \$250,000 require a pre-award audit.
- The project is not on the National Highway System (NHS) or the State Highway System.
- The Quality Assurance Program, Disadvantaged Business Enterprise (DBE) Program and Goals are in effect.

Steps Involved

1. Program the project in the Federal Transportation Improvement Program (FTIP)/Federal Statewide Transportation Improvement Program (FSTIP)
 2. Request for Authorization to Proceed with Preliminary Engineering (PE)
 3. Field Review and Preliminary Environmental Study (PES)
-

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4. Execute Master Agreement and/or Program Supplement Agreement
 5. Completion and approval of Technical Studies (if needed)
 6. National Environmental Policy Act (NEPA) clearance
 7. Request for Authorization for Construction
 8. Submit award information
 9. Progress invoicing
 10. Final invoice (Report of Final Expenditures)

Step 1:
Program the Project

The project must be included in the Federal Highway Administration (FHWA)/Federal Transit Administration (FTA) approved FTIP/FSTIP. For most of the simple non-capacity enhancing projects, the Metropolitan Planning Organization (MPO) or Regional Transportation Planning Agency (RTPA) can program the projects in the FTIP as a lump sum rather than project by project. (For information regarding which projects qualify as lump sum, see the Division of Programming's web page at <http://www.dot.ca.gov/hq/transprog/fedpgm.htm>). If the MPO or RTPA has included this project in the lump sum programming, no further action is needed in this step. If not, the local agency needs to work with the MPO or RTPA to program the project in the FTIP.

Transportation Enhancement Activities (TEA) program projects must have the eligibility checked by California Department of Transportation (Caltrans) prior to the authorizing of federal funds. This is accomplished by submitting the project's TEA application form to the Caltrans TEA coordinator for review and acceptance. Projects from the Highway Bridge Replacement and Rehabilitation (HBRR) program, Hazard Elimination Safety (HES) program, or the Safe Routes to School (SR2S) program must be included in the current Statewide Program List prior to the authorizing of federal funds. (For more information, see the LAPG regarding the various federal-aid programs.)

The local agency cannot proceed to Step 2 without completing Step 1.

Step 2:
Request for Authorization to Proceed with PE

Some local agencies prefer to complete the PE phase with local funds. If this is the case, it is recommended that the local agency complete Step 2 for a nominal amount, e.g., \$1.00. If all the programmed funds are not used during the construction phase, this will enable the local agency to request that the remaining funds be used to reimburse the PE phase. Those local agencies who do not want future reimbursement for PE, can skip Steps 2 and 4 and do Steps 3 and 5. Otherwise, the following documents should be completed and sent to the DLAE.

1. Request for Authorization to Proceed with PE: LAPM Exhibit 3-A
2. Project Prefix Checklist: LAPM Exhibit 3-E
3. Finance Letter: LAPM Exhibit 3-F
4. Request for Authorization - Data Sheets: LAPM Exhibit 3-G
5. Copy of FSTIP sheet showing the project
6. Field Review Form: LAPM Exhibit 7-B (Required for HBRR and

-
- Seismic Safety Retrofit programs. Optional for other programs.)
7. Local Agency Agreement Checklist: LAPM Exhibit 4-A

Note: Steps 2 and 3 may be done concurrently. However, if the local agency wishes reimbursement for Step 3, Step 2 needs to be completed before proceeding to Step 3.

Step 3:
Field Review and PES

At the request of the local agency, the DLAE may participate and assist in the coordination of the Field Review. The following documents shall be completed and sent to the DLAE after the Field Review:

1. Complete Field Review Form: LAPM Exhibit 7-B (if not submitted previously under Step 2)
2. Roadway Data: LAPM Exhibit 7-C
3. Field Review Attendance Roster: LAPM Exhibit 7-G
4. PES Form: LAPM Exhibit 6-A

FHWA and/or Caltrans will review and sign the PES form and return a copy to the local agency.

Step 4:
Execute Master Agreement
and/or Program Supplement
Agreement

Upon receipt of the documents, one original and one copy of the Program Supplemental Agreement and Master Agreement (if needed) will be prepared and sent to the local agency. The local agency executes the agreements and returns both originals to the Division of Local Assistance, Office of Project Implementation in Sacramento along with the Governing Board's resolution authorizing the person to sign the agreement. Many local agencies have passed a blanket resolution authorizing a person to sign all local assistance agreements. Such a resolution can reduce a significant amount of work and time for the local agency. If the local agency already has a blanket resolution, a copy of this resolution shall be attached to the agreements. The Office of Project Implementation can then execute the agreements and send one original back to the local agency for their records. Progress invoices for PE may be submitted anytime after the execution of this agreement. (See Step 9.)

Step 5:
Completion of Technical
Studies

If no "Technical Studies" are required, skip to Step 6. Otherwise, the local agency will complete the Technical Studies as noted in the PES form and submit it to Caltrans for approval. Depending on the results of the studies, either Caltrans or FHWA will make the final environmental determination. Caltrans will notify the local agency once the studies have been signed and approved by Caltrans or FHWA. (See LAPM Chapter 6.)

Step 6:
NEPA Clearance

The Programmatic Categorical Exclusion or Categorical Exclusion shall be signed by Caltrans prior to beginning final design. The following form should be completed and submitted to Caltrans for approval.

-
1. Programmatic Categorical Exclusion or Categorical Exclusion Determination Form: LAPM Exhibit 6-J

Step 7:

Request for Authorization to Proceed with Construction

The following documents need to be completed and submitted to the DLAE. **The project shall not be advertised until the construction phase is authorized and the local agency receives the “Authorization to Proceed with Construction.”**

1. Project Prefix Checklist: LAPM Exhibit 3-E (If not submitted previously)
2. Finance Letter: LAPM Exhibit 3-F
3. Request for Authorization - Data Sheets: LAPM Exhibit 3-G
4. “No Right of Way Certification”: LAPM Exhibit 13-A
5. Completed PS&E Package
6. PS&E Certification: LAPM Exhibit 12-C
7. PS&E Checklist: LAPM Exhibit 12-D
(DBE project goal, with race-neutral and race-conscious portions identified separately.)
8. Local Agency Construction Contract Administration Checklist: Exhibit 15-A (if not already on file with the DLAE)
9. Local Agency Agreement Checklist: LAPM Exhibit 4-A (If not previously submitted. Agreements will be prepared and executed per Step 4.)
10. Request for Authorization to Proceed with Construction: LAPM Exhibit 3-C

Step 8:

Submit Award Information

Immediately after the project is awarded, the local agency shall submit the following documents to the DLAE. Progress invoices for the construction phase will be rejected if this step is not completed.

1. Local Agency Contract Award Checklist: LAPM Exhibit 15-L with attachments
2. Detail Estimate: LAPM Exhibit 15-M
3. Finance Letter: LAPM Exhibit 15-N
4. Resident Engineer’s Construction Contract Administration Checklist: LAPM Exhibit 15-B
5. Local Agency Bidder-DBE-Information: LAPM Exhibit 15-G

Step 9:
Progress Invoice

Follow the format of LAPM Exhibit 5-A to prepare the progress invoice.
All progress invoices are submitted to:

Department of Transportation, Division of Accounting
Local Program Accounting Branch, Mail Stop 33
P.O. Box 942874
Sacramento, CA 94274-0001

A second copy of the award information (Step 8, Items 1-5) shall be submitted with the first progress invoice for Construction Phase.

Step 10:
Final Invoice
(Report of Expenditures)

The local agency completes the following documents and sends them to the DLAE along with the final invoice.

1. Cover Letter: LAPM Exhibit 17-A
2. Report of Expenditures Checklist: LAPM Exhibit 17-A
3. Local Agency Final Inspection Form: LAPM Exhibit 17-C
4. Final Invoice: LAPM Exhibit 17-D
5. Change Order Summary: LAPM Exhibit 17-E
6. Final Report – Utilization of DBE: LAPM Exhibit 17-F
7. Materials Certificate: LAPM Exhibit 17-G
8. DBE Certification Status Change: LAPM Exhibit 17-O (if needed)
9. Final Detail Estimate: LAPM Exhibit 15-M

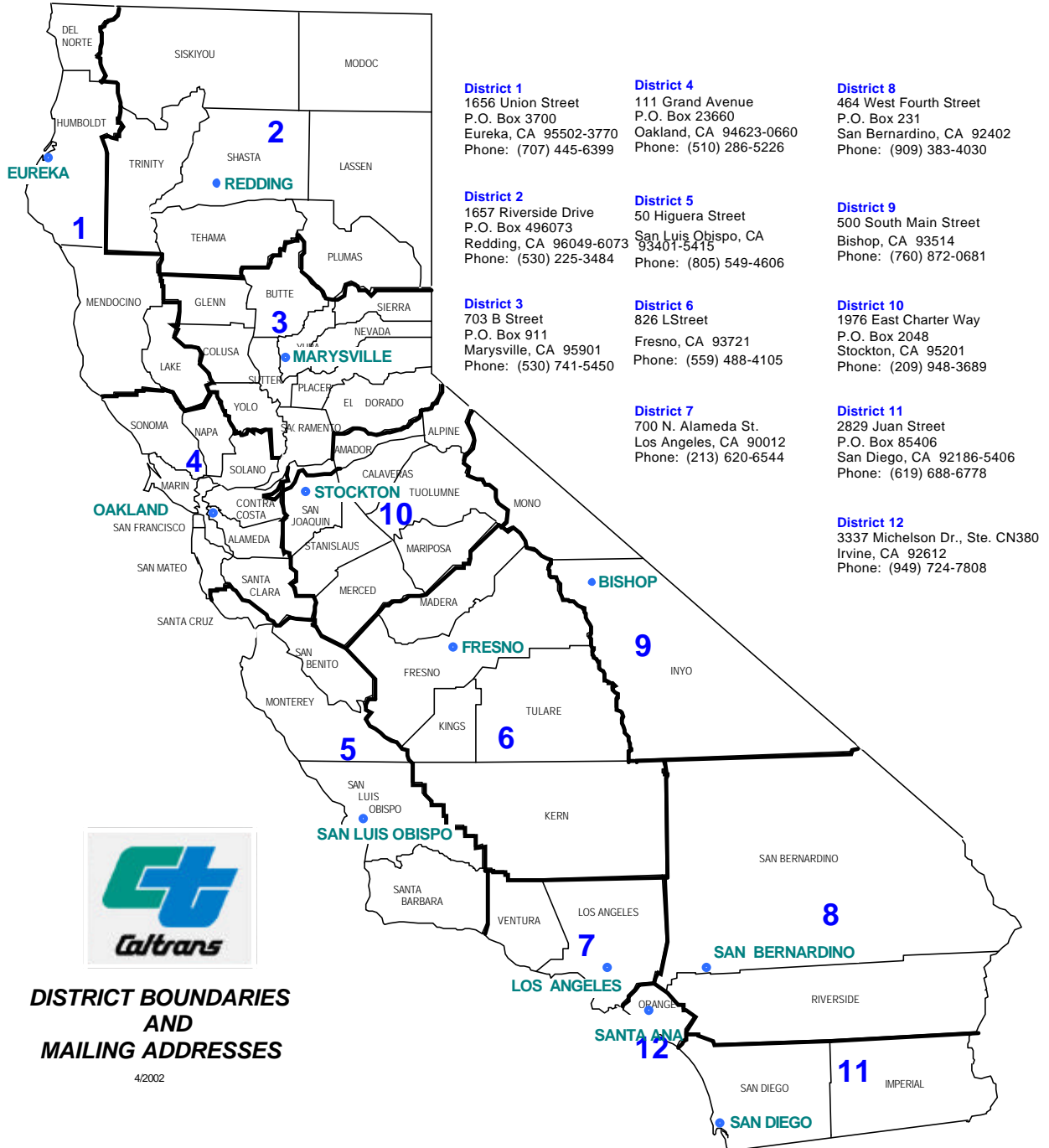
Note: Additional documents may be needed depending upon the project type. (See LAPM Chapter 17.)

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Attachment A DISTRICT MAP – DISTRICT LOCAL ASSISTANCE ENGINEERS

STATE OF CALIFORNIA
Business, Transportation and Housing Agency
Department of Transportation

District Local Assistance Engineers

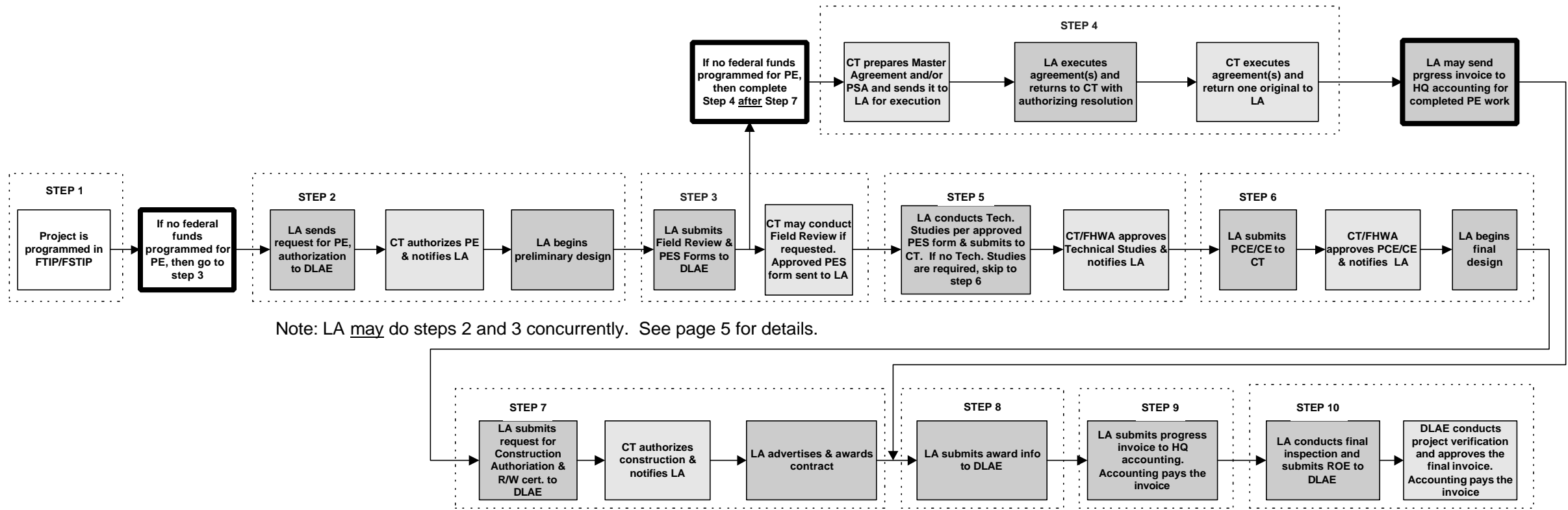


**DISTRICT BOUNDARIES
AND
MAILING ADDRESSES**

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Federal - Aid Procedure for Simple Projects



LEGEND	
PE	Preliminary Engineering
PES	Preliminary Environmental Study
PSA	Program Supplement Agreement
LA	Local Agency
CT	Caltrans
DLAE	District Local Assistance Engineer
CE	Categorical Exclusion
PCE	Programmatic Categorical Exclusion
ROE	Report of Expenditures
	Action by Local Agency
	Action by Caltrans/FHWA
	Instruction Note

OFFICE OF PROJECT IMPLEMENTATION
DIVISION OF LOCAL ASSISTANCE
CALIFORNIA DEPARTMENT OF TRANSPORTATION

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We believe that QUALITY is a continuous process.
If you notice any errors or omissions,
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