



DIVISION OF LOCAL ASSISTANCE **CALTRANS OVERSIGHT INFORMATION NOTICE**



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Welcome to the C O I N !

This is a Caltrans Oversight Information Notice, or "COIN" for short. These short, single-topic bulletins are intended to provide outreach information and guidance to local agencies on issues pertaining to federal-aid projects. They cover a wide variety of subjects, including discussions of findings resulting from process reviews by Caltrans and/or FHWA, changes in procedures or regulations, reminders of existing procedures or best practices, and other timely information. The goal is to ensure proper and timely delivery of federal-aid projects.

WHAT HAPPENS WHEN WORK IS PERFORMED PRIOR TO FEDERAL AUTHORIZATION

Any project utilizing federal funds must receive a Federal Authorization to Proceed for work to be federally reimbursed.

Federal Authorization to Proceed for construction must be received prior to advertising. Projects advertised for a construction contract prior to federal authorization are NOT eligible for federal reimbursement.

The project sponsor is responsible for requesting the federal Authorization to Proceed (E-76) by completing LAPM 3-A. A minimum of three (3) weeks processing time by Caltrans should be allowed.

For Preliminary Engineering (PE) authorizations, only participating work performed after the date of federal authorization is eligible for reimbursement unless At-Risk PE is utilized. Please refer to [Local Assistance Procedures Manual \(LAPM\) Chapter 3](#), Section 3.3 for more information on At-Risk PE.

The Local Public Agency (LPA) must submit an Exhibit 9-D: DBE Contract Goal Methodology in Microsoft Excel format to their District Local Assistance Engineer (DLAE) for all federal-aid contracts, including master on-call Architectural & Engineering contracts, prior to advertisement and/or with the request for authorization (RFA) package as applicable. LPAs may not advertise the contract before receiving DLAE feedback on the DBE goals.

Caltrans will only reimburse consulting costs for work performed after execution of the contract and work performed (incurred) through the end date of the contract.

For Right of Way (R/W) authorizations, only participating work performed after the date of federal authorization is eligible for reimbursement.

Utility or Railroad work should be identified on the R/W certification and included in the R/W authorization. If participating work to be done by a Utility or Railroad entity is to be federally participating under the Construction phase of work, the LPA must coordinate to ensure that work does not begin until after execution of the E-76 for construction authorization, otherwise the utility or railroad work will be ineligible for reimbursement with federal funds.

For Construction Engineering (CE) authorizations, only participating work performed after the date of federal authorization is eligible for reimbursement.