



Expires – Upon Issuance of LPP

Highway Bridge Programming FTIP Procedures

I. BACKGROUND

Chapter 6, Highway Bridge Program, Local Assistance Program Guidelines, defines eligibility requirements and high level programming instructions. These procedures provide additional detail for compliance with the Federal Transportation Improvement Program (FTIP) regulations implemented under the federal Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy For Users (SAFETEA-LU). This Office Bulletin also addresses programming priorities for California's ongoing bridge seismic retrofit program.

Detailed information on the general FTIP process can be found on the Department's Division of Transportation Programming web site:

<http://www.dot.ca.gov/hq/transprog/>

II. POLICY

Department and California Transportation Commission (CTC) policy is to maximize the use of federal Highway Bridge Program (HBP) funds. CTC Resolution LBS1B-G-0708 establishes the Proposition 1B Seismic Program as the top priority for programming HBP funds.

It is CTC's intent that the Department also program funds for the bridge inspection program and critical safety non-seismic projects. Bridges with serious structural deficiencies are also a top priority for funding.

The statewide program list will be prioritized based on a ranking policy in compliance with federal regulations and developed in cooperation with the Local Assistance Highway Bridge Program Advisory Committee.

The HBP will be programmed consistent with the delivery schedule for Proposition 1B seismic projects provided by local agencies constrained by available federal funds.

These procedures will provide a basis for fully utilizing HBP funds and obtaining the policy goals of the HBP through the federal transportation programming process.

III. PROGRAMMING TOOLS TO ADVANCE PROJECTS

Expedited Project Selection Procedures (EPSP) allow any project programmed in the 4 year element of the FTIP to be advanced (obligated/authorized) provided Obligational Authority (OA) and apportionment are available to fund the project and programming capacity is made available in the year of obligation of funds. For the local assistance federal HBP, EPSP is managed by the Office of Bridge and Safety Programs (OBSP).

Post-programming changes are changes to phases of work that have already been authorized/obligated and require additional funds. No pre-approved FTIP amendment is required to obligate additional funds for a post-programming change provided there is no scope change to the project. Post programming changes must be reflected in future FTIP amendments



to ensure that the FTIP always reflects total project costs and is financially constrained. Post programming changes are subject to approval of the OBSP.

1) Expedited Project Selection Procedures (EPSP) and Post Programming Policy:

- a. Due to limited federal funds, funds programmed in the current year of the FTIP will be reserved specifically for the projects in the current year of the FTIP. These funds will be held in reserve until March 30th of any given year.
- b. Effective October 1st of every year, EPSP and post programming changes will be suspended for all projects, unless otherwise approved by the OBSP. Exceptions will be granted provided there will be no impact to the delivery of current year programmed projects. The Department will try to hold back a reserve of unprogrammed capacity each year to fund CCOs, cost overruns, and other mid-phase cost increases to help ensure smooth project development activities.

2) Advancing non Proposition 1B Seismic Projects (other HBP projects)

- a. “Advancing” means obligating funds on a project where the funds are not programmed in the current year of the FTIP.
- b. If there is schedule slippage or savings in current year programmed projects, and no Proposition 1B Seismic projects can be advanced to use current year funds, the Department will make HBP funds available to other HBP funded bridge projects programmed in future years within the 4 year element of the FTIP.
- c. The priority for programming federal HBP funds will be based on having a complete request for authorization package in the possession of the Caltrans District Local Assistance Engineer (DLAE), the type of work, the deficiencies with the bridge, and having approved scopes of work.

IV. IMPLEMENTATION

- 1) At the beginning of every FTIP cycle, the FTIP (all years) will be programmed to reflect the most current cost and schedule data for the Proposition 1B Seismic projects. Safety non-seismic bridge projects may also be programmed based upon the Department’s project ranking policy. Financially constrained program lists can be found on the Local Assistance web site:

<http://www.dot.ca.gov/hq/LocalPrograms/programInformation.htm>

Note that these program lists are not the FTIP. These lists are input for the Metropolitan Planning Organizations (MPOs) used to program the FTIP.

- 2) The DLAEs shall date stamp every seismic and non-seismic Request for Authorization (RFA) (all phases) when the DLAE determines the package is complete and ready to obligate. The DLAE shall update the FileMaker HBP programming database with the revised funds and schedule in the current year of the FTIP. The date stamp shall be keyed into the FileMaker HBP programming database when funds cannot be obligated due to problems including but not limited to scope issues, delays in modifying the FTIP, or if the



- project phase is programmed in a future year. The DLAEs should not transmit the RFA for obligation until scope and FTIP issues are resolved.
- 3) Post programming changes for construction phase for HBP or seismic projects must be elevated to OBSP for funding approval as soon as the DLAE has reviewed the Request for Authorization (RFA) package for completeness. The Exhibit 6D, justification for cost increase, must be provided. The DLAE must sign the Exhibit 6D recommending approval (normal procedures).
 - 4) Beginning in January of every year and completed on February 15th of every year:
 - a) The OBSP will review the quarterly status updates that local agencies are required to maintain through the LA-ODIS database. This review will flag which seismic projects in the current year cannot be delivered and which seismic projects can be advanced.
 - b) The DLAEs will review projects programmed in the current year to evaluate if the project phases programmed can potentially be delivered. DLAEs, depending on staff resources, may need to coordinate with Local Agencies to ensure request for authorization packages are being developed.
 - c) The DLAEs will maintain the “ready to advertise” or “nearly ready to advertise” flags in the HBP FileMaker database. These flags impact a project’s prioritization and must be maintained by the DLAE.
 - d) The OBSP will select the projects ready to obligate for inclusion into the FTIP, if needed, or for funding projects advanced under EPSP or post programming changes.
 - 5) Revised program lists may be released to the Metropolitan Planning Organizations (MPOs) on March 30th of every year to ensure all current year federal funds are obligated. These lists would advance projects outside the 4 year element of the FTIP so the projects could be obligated by September 30th of the current year, provided OA and apportionment are available at that time.
 - 6) After March 30th of every year, EPSP and post-programming procedures will be implemented for all projects funded in the 4 year element of the FTIP until federal apportionment or OA is exhausted. Some reserves may be held if there were delays in processing FTIP amendments based on the previous October program lists. The OBSP will review this situation on a case by case basis.
 - 7) Starting in July of each year, the DLAEs will survey their local agencies for next year’s needs. The surveys will be provided by the OBSP to the DLAEs. The FileMaker database must be updated by DLAEs by the end of September. The Office of Bridge and Safety Programs will release new statewide program lists to the MPOs for inclusion into the FTIP by the end of October of each year.



V. SUMMARY OF PROCESS

Start	End	Responsible Party	Comments
Oct. 1st.	March 30th	OBSP	EPSP, Post-Programming changes suspended, unless approved by OBSP.
Jan. 1st.	Feb. 15th	OBSP	Review LA-ODIS for project slippage/advancement
Jan. 1st.	Feb. 15th	DLAE	DLAEs review current year programmed projects, reprogram funds in FileMaker database as needed.
Feb. 15th	March 30th	OBSP	OBSP determines if new statewide program lists need to be developed and released to regions.
March 30th	Sept. 30th	OBSP	EPSP, Post-programming changes enabled. Funds obligated until balances are zero. Statewide program lists should be sent to MPOs if needed.
July 1st.	Sept. 30th	DLAE	DLAEs survey local agencies for next year's needs and update HBP database. OBSP provides DLAE with survey forms.
Oct. 1st.	Oct. 30th	OBSP	New program lists developed and released to MPOs to amend their FTIPs.

VI. APPLICABILITY/IMPACTS

This Office Bulletin applies to local assistance bridge projects funded through the federal Highway Bridge Program (23USC144) as authorized by Streets and Highways Code 2400 – 2414, 179 – 179.3.

This policy/procedure is subject to annual review and recommendation of the Local Assistance Highway Bridge Program Advisory Committee. Members include the Department (Chair), representatives from the League of California Cities, the California State Association of Counties, the California Association of Council of Governments, California Transportation Commission staff, and Federal Highway Administration.

Recommended: Original Signed by Eric Bost on 1/19/2010
Eric Bost, PE, Statewide HBP Coordinator Date

Approved: Original Signed by Yin-Ping Li on 1/19/2010
Yin-Ping Li, PE Date
Chief, Office of Bridge and Safety Programs

Attachments: None.