

## **FHWA CA EMERGENCY RELIEF (ER) GUIDANCE (Document #S34808)**

Information provided to assist the Engineer in their California “ER” work:

- Date of Incident(s) \_\_\_\_\_ (Predetermined by FHWA)
  - Last date for Identification of Sites for each disaster \_\_\_\_\_ (Predetermined by FHWA)
  - Last date for DAF submittal \_\_\_\_\_ (Predetermined by FHWA)
  - FHWA Emergency Relief (ER) Manual (dated August 2003)
  - FHWA/Caltrans Stewardship Guidelines (Caltrans PDPM, Chapter 2, Section 7)
  - Caltrans Local Assistance Program Guidelines - Chapter 11 (Disaster Assistance)
  - Caltrans Local Assistance Procedures Manual – Chapter 6 (Environmental Procedures)
  - Caltrans Local Assistance Program Emergency Relief Guidebook (Rev 3/2001)
  - FHWA Damage Assessment Forms (DAF) (CA Rev 10/23/2003)
  - Questions and Answers (Q’s/A’s) for Typical Situations (CA Rev 10/23/2003)
  - Referenced FHWA correspondence (e.g., #S2573)
  - California City/County Abbreviations
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**The following questions are frequently asked and should help clarify the DAF. There is the possibility of exceptions to any question given a certain situation.**

**Questions are categorized for ease of reference:**

**Funding, Environment, Bridge, Eligibility**

### **Funding**

**Q #1) What ER work is funded by FHWA and what ER work is funded by FEMA or OES?**

A ) FHWA ER funding is for those routes that are "Federal-aid highways." Routes classified as local roads and rural minor collectors are not “Federal-aid highways,” but may be eligible for other Federal funds, i.e. Federal Emergency Management Agency (FEMA) and/or State funds, i.e. Office of Emergency Services (OES). If a damaged site is NOT located on a Federal-aid highway, FEMA and/or OES funding may also be eligible. Federal-aid highways are identified on FHWA approved functional classification maps. **THE CALTRANS ENGINEER OR LOCAL AGENCY ENGINEER SHOULD VERIFY WHETHER THE HIGHWAY IS FEDERAL-AID OR NOT FEDERAL-AID BEFORE SCHEDULING A SITE REVIEW.**

**Q #2) What is the difference between Emergency Opening (EO) and Permanent Restoration (PR)?**

A ) ER funding is FHWA funding to help reestablish those transportation facilities that are Federal-aid highways and were damaged due to a “natural disaster.” It is not expected to replace an agency’s (Caltrans and/or Local) cost of heavy maintenance.

EO funding is for work that is needed for restoring essential travel, minimizing the extent of damage, or protecting the remaining facilities of a damaged transportation system. EO work is 100% reimbursable for the first 180 days, starting on the date of the incident period that FHWA has determined. FHWA will also establish a “last date for identification of sites” and a “last date for DAFs to be completed” by the recipient. Inadequate documentation for not meeting either of these dates are grounds for an ineligible determination. After the first 180 days, the EO funding falls to the regular pro-rata share for that roadways classification. Also, EO work not under physical construction within the first 180 days is normally considered to be PR work in which PR processing applies. If this happens, a DAF revision from EO to PR must be done as well as documentation of environmental clearance.

PR funding is for work that is needed to restore the facility to before "incident" condition, but is not of a critical nature, e.g. opening all through lanes. PR work is reimbursed based upon the facilities roadway classification, which is normally at an 80% OR 90% pro-rata share. If PR work is done within the first 180 days, it is still only eligible for the pro-rata share unless incidental to the total EO cost (rule-of-thumb is normally 10% or less of the EO cost). **Note: Prior authorization is needed from FHWA to proceed with any PR work unless delegated to Caltrans (See #S21252).**

**Q #3) How long are the ER funds available?**

A ) ER funds are available to use until the end of the 2nd Federal FY after the Federal FY in which the incident occurred. The FHWA interprets "construction obligation" as the signing of the FNM-76 for construction funds, not PE or R/W funds, and must occur by the end of this 2nd Federal FY or the eligibility to acquire funds lapses and they are no longer available unless a time extension is granted by the FHWA Division office. **FHWA generally gives favorable consideration to time extensions if the agency is making a diligent effort to advance the project. (See #S2832 for clarification).** Any new DAF's submitted after the incident (period), a predetermined date set between 60 and 180 days by FHWA, will be considered ineligible as the route(s) damage repair must not have been considered essential for the transportation system. **Note: Since Caltrans receives a limited amount of ER dollars, an approved DAF does not guarantee funding of the work, as it typically is first come-first served for authorizing project approval with an FNM-76.**

**Q #4) How accurate does the DAF estimate have to be?**

A ) The estimate is only an estimate. The important thing is to define the scope of work. At completion of construction, Caltrans/Local agencies will be reimbursed for the actual cost, if different than the estimate, keeping in mind the scope has not changed.

**Q #5) What warrants a revised DAF?**

A ) **ANY SCOPE CHANGE OR A COST INCREASE** for projects a) up to \$100,000 where the dollar figure increase is in excess of \$10,000 and 25%; b) between \$100,000 and up to \$1,000,000 where the dollar figure increase is in excess of 15%; c) over \$1,000,000 where the dollar figure is in excess of 10% of the original DAF. **Note: When a revised DAF is done, the revision number should also change. Changing PR to EO is not allowed without FHWA approval. These dollar figures and percentages will allow the agency to avoid any calculations for "contingency" work.**

**Q #6) Should metric or English units be used on the DAF.**

A ) Either unit may be used. The top priority of the engineer (approving official for the DAF) should be completing the DAF on site with the most accurate scope/estimate possible.

## **Environment**

**Q #7) What type of an environmental document is needed for an ER project?**

A ) NEPA applies to ER. Normally, ER projects are categorical exclusions (CE's) i.e., does not involve significant environmental impacts. For EO work only, a CE should apply and the DAF documents the environmental NEPA clearance. However, informal consultation may need to be initiated with applicable resource agencies, such as the Fish and Wildlife Service, Army Corps of Engineers, U.S. Coast Guard, Coastal Commission, park officials, Department of Interior, Advisory Counsel on Historic Preservation, State Historic

Preservation Office, etc., to obtain agreement on expedited environmental processes to address the requirements of other Federal environmental laws. PR work falls under the standard project development process for Federal-aid projects (Section 7, Section 106, Section 4(f), etc.) The DAF is **not acceptable** for PR environmental clearance as the type of environmental document required (CE, EA/FONSI, OR EIS/ROD) is determined using normal criteria. For NEPA guidance, see Caltrans Environmental Handbook (for projects on the State Highway System) OR Caltrans Local Assistance Procedures Manual, Chapter 6 and FHWA Technical Advisory 6640.8A., dated October 30, 1987. Also refer to 23 CFR 771 and the FHWA ER Manual, pg. 16. **Note: Both EO and PR projects are excluded from RTP/FTIP requirements unless they involve substantial functional, location OR capacity changes.**

**Q #8) What type of coordination with other agencies is needed and when?**

A) See #S43855, FHWA ER environmental requirements for clarification. In addition, effective for disasters declared after 10/19/98, the ER delegations are revised for Caltrans to conduct site reviews and preparation of DAFs for all local streets and roads (without a cost threshold) except for sites where:

Resurfacing is involved (exceed 50% of project cost)

Significant R/W actions are involved such as:

- relocations of residents or businesses
- partial takes which affect current use of property
- full acquisitions
- partial takes exceeding 25% of a parcel
- involvement of more than 2 parcels

Betterments are involved

Environmental document exceeds a categorical exclusion

The last criterion, “environmental document exceeds a categorical exclusion,” is for determining FHWA participation in the site review and does not delegate environmental clearance authority. FHWA will still be required to approve a Categorical Exclusion (CE) when the programmatic CE conditions do not apply. For more information regarding this issue see #S21252.

**Q #9) Are environmental mitigation measures identified by a resource or regulatory agency(s) (COE, FWS, F&G, etc.) eligible for ER funds?**

A) Yes, as with any Federal-aid program, environmental mitigation directly related to impacts resulting from eligible emergency repair work is an eligible expenditure. (See #S2573 for clarification and the FHWA ER Manual, pgs. 16-18).

**Bridge (Includes related geotechnical work)**

**Q #10) Can a damaged low water crossing be replaced with a bridge?**

A) Yes, ER funds determined eligible to replace a damaged low water crossing can be used to "supplement" the cost of a bridge to replace the crossing. However, ER funds for the entire replacement bridge would not be eligible unless a cost/benefit analysis can justify the betterment, i.e., the cost of a bridge. Consideration can be given to replacing water crossings that frequently washout with a bridge and/or betterment, but these washouts would have to be associated with Federal declared emergency(s) versus State "only" declared

emergency(s). **Note: This situation would typically apply to PR work because a route with a low water crossing is normally not on an essential route.**

**Q #11) Can a damaged bridge be replaced with a new bridge?**

A ) If the existing bridge is damaged beyond repair or if an economic analysis can justify replacement, ER funds can be used. ER participation may be prorated to the costs of a comparable facility when the proposed replacement project exceeds the cost of the new facility to current design standards and future needs (CFR 668.109(d) (FHWA ER Manual, pgs. 26 & 27). If the proposed replacement involves a betterment, such as incorporating an increased waterway opening to protect the facility from future damage, the betterment may be eligible for ER funding if it can be economically justified based on an analysis of the cost of the betterment vs. projected savings in costs to the ER program should future disasters occur (FHWA ER Manual, pgs. 27-32). If the only damage at the site is loss of the approach roadways and no damage to the structure has occurred, bridge replacement is not warranted. However, if the bridge was scheduled for replacement in the near future, (on the FTIP/FSTIP upcoming 3 year period) then ER funds “are not eligible” as other highway funds are already identified and to be used. Coordination with the Coast Guard and other agencies may be necessary. **Note: If the bridge damage was caused by in stream aggregate mining, repair costs may not qualify for ER funding. Also, any undersized drainage installed on the basis of an approved design exception by the Local Agency or Caltrans which caused damage at the site or downstream is ineligible for ER funding. (See #S3585)**

**Q #12) What type of bridge/structure damage should the FHWA Bridge Engineer be involved with when dealing with Caltrans or Locals?**

A ) In general, Caltrans or Locals structures department should segregate out bridge/structure ER sites with any major feature that is damaged on a structure so a qualified FHWA bridge representative can review the site(s). Major features for flood damage include, but are not limited to: pier and abutment scour, structure collapse (partial or complete), structural damage due to debris impact and slides. Major features for earthquake damage includes, but are not limited to: structural collapse (partial or complete), structural damage, i.e., cracks, spalls, evidence of abutment or hinge unseating, column damage, foundation movement, and abutment wall cracking. The FHWA Bridge Engineer should be contacted directly for these types of sites, review the damage, and prepare a DAF. All other types of damage can be handled by the FHWA Engineer in consultation with their FHWA Bridge Engineer if needed.

**\*Bottom line for bridge engineers involvement - there needs to be good communication between the FHWA engineer and the FHWA Bridge engineer.**

**Q #13) If it is determined that replacement of a bridge is required under the ER program, does the bridge have to be constructed to current standards (i.e. hydraulic design, lane and shoulder widths) and are these upgrades eligible for ER reimbursement?**

A ) Yes, a replacement structure should be constructed to current standards, particularly lane and shoulder widths. However, ER funds should not be used in substantial roadway realignments (beyond touchdown points), ambitious hydraulic upgrades, and so on. A REASONABLE roadway realignment (as determined by FHWA) for hydraulic design reasons should be split funded (ER plus other system funds) and justified. Additional approach fill as part of an increased waterway opening is justified, as is riprap, spur dikes and channel work (all within R/W) to protect an erodible bank. **Note: Design year for Q's**

**of culverts or structures are based upon Caltrans standard practice. Any exceptions (i.e. existing Q50, but build to Q25 or Q100) requires documentation with FHWA concurrence.**

**Q #14) Are historic structures that are replaced but still left in place eligible for ER?**

A ) No, once a structure has been replaced, it is moved to an off-system classification and no longer eligible for federal funding.

### **Eligibility**

**Q #15) What are the minimum dollar thresholds for eligibility of a site?**

A ) The general guidance is:

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

Note: The estimate should be justified by quantities that are supported by calculations. Anything under these limits should be considered heavy maintenance and ineligible (See FHWA ER Manual, pgs. 20 & 21).

**Q #16) Can costs be reimbursed for ER work before FHWA has reviewed the site and made their eligibility determination?**

A ) Maybe, as this situation would only apply for EO work. Documentation of the before, during, and after condition is essential in supporting a reimbursement request as this situation will be scrutinized. Documentation includes pictures with dates, news articles, work bills, etc. **Note: PR work requires prior authorization (approved FNM-76) before proceeding to R/W work and/or construction advertisement.**

**Q #17) What happens if work has been done under FEMA approval and now is ineligible due to identification after the closure date for eligible sites?**

A ) The DAF may be approved by FHWA if it is a Federal-aid highway as defined in Q #1. If yes, refer to A #16. In this case, PR work is also eligible with proper documentation.

**Q #18) Are damaged pavements eligible for repair?**

A ) In general, repair of roadway surfaces due to traffic damage, even if damage is aggravated by saturated subgrade conditions, or by inundation of the roadway, is not eligible for ER funds. However, there are three exceptions. (See FHWA ER Manual pgs. 11 & 12 for exceptions). Also, see the following Q/A #19.

**Q #19) Are ER funds eligible for maintenance?**

A ) ER funds are eligible for the repair of surface damage to a “designated” detour (which may lie on both Federal-aid and non-Federal-aid routes) caused by traffic that has been detoured from a damaged Federal-aid highway. A “designated” detour is the officially signed detour that highway officials have established. Routine maintenance of a detour during construction is eligible (signs, striping, CMS, temporary signals, etc.). In addition, repair of surface damage to a “designated” detour caused by traffic that has been detoured from a damaged or impassable Federal-aid highway is eligible for ER funds (See FHWA ER Manual, pgs. 10 & 11). **Note: It is important that a documented survey of the condition of the proposed “designated” detour route prior to detouring traffic on it should be helpful in determining the scope of restoration work to predisaster condition.**

**Q #20) When are betterments eligible for ER funding?**

A ) Refer to pgs. 27-32 of the FHWA ER Manual for guidance and examples. In general, betterments may be considered eligible for ER funding if the betterment can be economically justified based on an analysis of the cost of the betterment versus projected savings in costs to the ER program should future FHWA declared disasters occur.

**Q #21) Are ER funds eligible for overhead administrative expenses?**

A ) Eligible administrative charges for specific project(s) are preliminary engineering (PE) (environment/design) and/or construction engineering (CE) (Resident Engineer or inspector). Overhead costs associated with running the agency(s) overall "Program" such as City Director, Senior Engineer, office secretary, etc. are not eligible (See FHWA ER Manual, pgs. 18 & 19). Cost to prepare the DAFs are eligible. (See 23 CFR 1.11 Engineering services, pg. 8. See #S43942.) Consultant work is eligible when they "already" act on behalf of the transportation agency (State/City/County) for the applicable PE or CE costs above. **Note: The standard selection and bidding process, etc., must be followed for new consultants hired to help address the Agency's ER concerns.**

**Q #22) Should a DAF be filled out for ineligible sites?**

A ) Yes, we have run into problems later because we had no record of visiting the site and field reviewed it twice. Always include an explanation of why the site is ineligible on the DAF.

**Q #23) Is there an appeals process if there is disagreement with FHWA's eligibility call?**

A ) By the time the "Team" leaves the site, it is preferred that the DAF is signed and an eligibility call (scope of work and costs) has been made. FHWA has the final approval, however; if there is a disagreement and/or other information to be supplied, it should be so noted on the DAF. In the case of a disagreement, further consideration to a change on the DAF by FHWA could be made once additional information is supplied to FHWA by Caltrans or the Local Agency with their recommendation. **Note: Economic hardship to the agency is not a factor in determining repair eligibility.**

**Q #24) How is ER damage evaluated if a subsequent incident occurs after the closure date of the previous incident?**

A ) To minimize administration work, each incident's associated damage is to be evaluated and written up separately (See FHWA ER manual, pgs. 35 & 36 for more detail). If incident #2's repair is incidental to incident #1's repair, write a revised DAF for incident #1. If incident #2's damage is substantial, close-out incident #1's DAF (still eligible for ER funding) and write a new DAF for incident #2. **Note: If the subsequent incident is not part of a federal declared emergency, then the additional damage is not eligible for ER funds unless the original damage repair was delayed due to environmental processing.**

**Q #25) Can convict labor be used for ER?**

A ) Convict labor cannot be used in ER construction projects. (See FHWA ER Manual, pg. 60, 23 CFR 635.117, pg. 180 and the Contract Administration Core Curriculum Participant's Manual and Reference Guide 2001 for more general guidance on Use of Convict Labor, #S34828 & #S34829).

**Q #26) Is work done upstream and/or downstream of a channel under a highway facility eligible for ER funds?**

A ) Typically, work outside of the Right-of-Way (R/W) for ANY situation is ineligible. However, the FHWA ER Manual pg. 18 shows 4 conditions that must "all" be met (with documentation) before a favorable eligibility call can be made.

**Q #27) Will FHWA participate in material or equipment that is salvaged, e.g., a Bailey bridge?**

A ) Yes, the FHWA will participate in the disaster related portion of work, i.e., FHWA will participate in the pro-rated use only should the bridge be salvaged. Design life and cost of material or equipment need to be analyzed before an appropriate decision can be made.

These Q/A's are just a sample of the typical work that you will run into in evaluating and justifying ER work. The FHWA ER Manual should be frequently referred to for additional guidance. If more assistance is needed, please contact one of the FHWA ER coordinators (Scott McHenry or Nancy Bobb) in the Sacramento Division Office or one of the Caltrans ER coordinators (Jim Varney for the State side and Teresa Schmitt for the Local side).

<u>Name</u>	<u>Phone #</u>	<u>Fax #</u>	<u>Email Address</u>
Scott McHenry	(916) 498-5854	(916) 498-5008	Scott.Mchenry@fhwa.dot.gov
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Jim Varney	(916) 654-3523	(916) 657-0064	Jim_Varney@dot.ca.gov
Teresa Schmitt	(916) 653-0328	(916) 654-2409	Teresa_R_Schmitt@dot.ca.gov

Web addresses for:

- FHWA ER Manual: <http://www.fhwa.dot.gov/reports/erm/index.htm>
- FHWA CA Division office web site: <http://www.fhwa.dot.gov/cadiv/resources.htm>
- Functional Classification Maps: <http://web1.dot.ca.gov/hq/hpms/Page1.php>
- FHWA's Contract Administration Core Curriculum Participant's Manual and Reference Guide2001: <http://www.fhwa.dot.gov/infrastructure/progadmin/contracts/coretoc.htm>
- California OES website: [www.oes.ca.gov/CEPM2002.nsf/htmlmedia/pdfs.html](http://www.oes.ca.gov/CEPM2002.nsf/htmlmedia/pdfs.html)
- FEMA website: <http://www.fema.gov/>

**Referenced Documents**

- 2573 ER Eligibility Transfer Funds for Mitigation
- 2832 Clarification on Time Extensions
- 3585 Aggregate Mining in Rivers
- 16298 California City/County Abbreviations
- 21252 ER Program - Revised Delegation of Site Reviews
- 34828 23 CFR Use of Convict Labor for ER
- 34829 FHWA's Contract Administration Core Curriculum Participant's Manual and Reference Guide 2001 Related to Convict Labor
- 43855 Emergency Relief Environmental Requirements
- 43932 California Forest Highways (Federal Roads) under ERFO
- 43942 23 CFR Federal Participation in Engineering Services

In filling out the Damage Assessment Form (DAF), the following information should be completed and corresponds to the attached DAF forms (**do not use form in 1998 FHWA ER Manual**).

- 1) Identify the report number by the first, middle and last initials of the reviewer's name, followed by the Caltrans District or City or County, then the report number.

Here's the convention: XXX-XXXXXX-XXX-X

The **first set** of 3 characters are to be your initials. If you are aware of anyone working with the same applicant agencies as you and have the same initials, agree on a substitute set of initials.

The **second set** of 2 to 6 characters should be the abbreviation for the applicant agency. (See SS #S16298). The State DAFs require a CTXX format. (e.g., CT02)

The **third set** of 3 characters should be a sequential series for the report number. Use the preceding zeros for sorting purposes.

The **fourth set** of characters are the revision number and are to use the original DAF number followed by a dash and revision number (first report should be revision 0). A revised DAF supersedes all previously entered DAFs. The revision should bring forward all pertinent costs and the scope of work.

For example:

JRH-CT09-123-0 is for Jeff Holm-CT Dist.9-report no. 123

KJK-SCLCO-001-0 is for Ken Kochevar-Santa Clara Co.-report no. 1

THD-OAK-032-0 is for Tay Dam-City of Oakland-report no. 32

THD-OAK-032-1 is for Tay Dam-City of Oakland-report no. 32-revision no. 1

- 2) Include the number of sheets with the DAF.
- 3) Identify which emergency (incident) the work is related to, e.g. CA03-1 for the first declared disaster of 2003.
- 4) Write Caltrans if the State, local agency if a City or County if a County with the corresponding County, i.e. Caltrans-LA, City of Culver-LA or County of San Diego-SD.
- 5) Note date of inspection in dd/mm/yy format.
- 6) Note the name of the road/bridge the damage is located on plus the beginning and ending PM/KP to describe the location.
- 7) Identify if the route is a Federal-aid highway. Ask Caltrans and/or Local representative to verify if the route is a "Federal-aid highway." Local roads and rural minor collectors are not eligible for FHWA ER funds.
- 8) **The Caltrans and/or Local agency representative should have a FHWA approved system map available or can use the web address on previous page to get functional classification maps. Indicate the map # for reference.**
- 9) Identify if the route is a California Forest Highway (Federal Road) under ERFO.
- 10) If yes under 9), list the highway number. (See document #S43932.)
- 11) Note the Caltrans Work Order No(s).
- 12) Note data where applicable.
- 13) Identify the State/Local Route No.
- 14) Describe the damage in general terms, i.e. mudslide covering road over a 75 foot length.
- 15) Note the most current ADT. This is very important when justifying emergency opening (EO) work verses permanent restoration (PR) work.
- 16) Note picture roll and number of photos for proper identification after development.

\* Determine if the work is EO or PR and then complete a cost analysis for the damage. EO funding is for work that is needed for restoring essential travel, minimizing the extent of damage, or protecting the remaining facilities of a damaged transportation system. EO work is 100% federally funded for the first 180 days, starting on the date of the incident period that FHWA has determined. EO after 180 days, decreases to the roadway's classification pro-rata share. PR is only eligible for its roadway classification pro-rata share. (See Q #2.) **Note: Exceptions to this have been allowed by Congress in certain emergencies, e.g. Loma Preita.**

- 17) Note if the EO repair has already been completed or is to be completed and if it was done by State Forces, Local Forces or contract work. Write a general description of the work to repair the damaged facility and an estimate of the cost for that work.
- 18) Note if the PR repair is to be done by State Forces, Local Forces or contract work. Write general description of the work to restore the damaged facility and cost estimate of work.
- 19) Check what type of environmental clearance for EO is being given or is needed. **The DAF is not to be used for PR environmental clearance.** If any water is involved, having a biologist or environmental specialist accompanying the team may be useful. If further environmental study is needed, try to write a brief explanation and list the agencies, i.e. Army Corps, Fish and Wildlife Service, Forestry Service, Fish and Game and Parks involved. (See Q #7 for more detail.)
- 20) The general rule-of-thumb is 10% for preliminary engineering (PE) and 15% for construction engineering (CE). For most cases, the percentages are arrived at from "Subtotal Permanent Restoration." Anything other than 10% and 15% should be documented. (See Q #21 for definitions of preliminary and construction engineering.) For "Total Estimated Cost", add up all the eligible estimated costs for the identified EO and/or PR work with applicable PE, CE, and R/W costs.
- 21) Check the appropriate box according to the Stewardship Guidelines. See the following website: <http://www.fhwa.dot.gov/cadiv/docs/oversight.htm>
- 22) Check the appropriate box using guidelines in Q #15 for eligible costs per site/per mile.
- 23) FHWA signs and dates DAF if a Federal emergency and is not delegated to Caltrans.
- 24) Caltrans Engineer's concurrence based on the FHWA Engineer's eligibility call or Caltrans Engineers approval for FHWA Federal emergency, if delegated.
- 25) Caltrans Engineer's signature and date.
- 26) Local Agency Engineer's concurrence based on the FHWA Engineer's or Caltrans Engineer's eligibility call if applicable. If Local Agency's Engineer disagrees with the eligibility call, rebuttal should be processed through the District's Local Area Engineer. (See Q #23 for more detail).
- 27) Local Agency Engineer's signature and date if applicable.
- 28) Same as 1) and 2). Applicant should be Caltrans or the local agency.
- 29) Provide a more detailed scope and estimate of the labor, materials and equipment.
- 30) Same as 28).
- 31) Provide any sketches, pictures or narrative needed for clarification and support.
- 32) For Miscellaneous FHWA Approvals refer to the FHWA's Contract Administration Core Curriculum Participant's Manual and Reference Guide 2001 web site provided above.

\* FHWA should keep a copy of the original DAF and profile/scan accordingly into FHWA's Document Management System (DMS) with the original DAF going to the signing Caltrans party and where appropriate, a copy to the local agency. The standard abbreviation in DMS (Project document, i.e., #P) should be "ER" under the Name/Description field followed by the Disaster Number, Report Number, EO cost and/or PR cost and Total cost; e.g., ER/CA97-1/JRH-CT09-123-0/EO=\$25,000;PR=\$1,200,000,T=\$1,525,000.

U.S. Department of Transportation Federal Highway Administration - California Division Damage Assessment Form (DAF) - Title 23	Report No. <input type="text"/> - <input type="text"/> - <input type="text"/> Sheet No. 1 of <input type="text"/> [2] [1] Disaster No. CA <input type="text"/> - <input type="text"/> [3]
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Applicant <input type="text"/> [4]	County <input type="text"/>	Inspection Date (dd/mm/yy): <input type="text"/> [5]
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Location of Damage Name of Road/Bridge <input type="text"/> [6] Begin <input type="text"/> End <input type="text"/> PM	Federal-Aid Highway? <input type="checkbox"/> [7] Yes (if no, ineligible for ER) Map No. <input type="text"/> [8]
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Caltrans Work Order No(s): <input type="text"/> [11]	Forest Highway System? <input type="checkbox"/> Yes (Possible ERFO) [9]
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Road/Bridge Data    Bridge No. <input type="text"/> [12]    Type <input type="text"/> Traveled Way:        Width <input type="text"/> Type (circle one)    PCC / AC / Gravel Shoulder:            Width <input type="text"/> Type (circle one)    PCC / AC / Gravel	Hwy. No. <input type="text"/> [10] State/Local Route No. <input type="text"/> [13]
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Description of Damage: <input type="text"/> [14]	ADT (Existing) <input type="text"/> [15]
	Photos [16] Roll # <input type="text"/> Picture # <input type="text"/>

**COST ESTIMATE**

	Type of Repair	Description of Work	Summary Cost
Emergency Opening	EMERGENCY OPENING (EO) TO DATE <input type="checkbox"/> State Forces <input type="checkbox"/> Local Forces <input type="text"/> Contract	[17]	
	EMERGENCY OPENING (EO) WORK REMAINING <input type="checkbox"/> State Forces <input type="checkbox"/> Local Forces <input type="text"/> Contract	[18]	

Subtotal Emergency Opening	\$ <input type="text"/>
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Permanent Restoration	PERMANENT RESTORATION (PR) Recommended Method of Work: <input type="checkbox"/> State Forces <input type="checkbox"/> Local Forces <input type="text"/> Contract		
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<b>NOTE: PRIOR AUTHORIZATION (APPROVED FNM-76) IS REQUIRED TO PROCEED WITH PERMANENT RESTORATION</b>	Subtotal Permanent Restoration \$ <input type="text"/>
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Environmental Clearance: <input type="checkbox"/> EO    [19] Categorical Exclusion <input type="text"/> Further Environmental Study <input type="text"/> <b>NOTE: Environmental clearance for permanent restoration is conducted through normal Federal-aid project procedures.</b>	Preliminary Engineering (10% of PR)    \$ <input type="text"/> Construction Engineering (15% of PR)    \$ <input type="text"/> Right-of-Way    \$ <input type="text"/> <div style="text-align: center;">[20]</div>
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Stewardship:    [21] <input type="checkbox"/> Exempt (E) <input type="checkbox"/> FHWA Oversight (N)	TOTAL ESTIMATED COST (EO+PR+PE+CE+R/W)    \$ <input type="text"/>
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Recommendation: <input type="checkbox"/> Eligible [22] <input type="checkbox"/> Ineligible	FHWA Engineer* <input type="text"/> [23]    Date <input type="text"/>
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Concurrence: <input type="checkbox"/> Yes [24] <input type="checkbox"/> No	State Engineer <input type="text"/> [25]    Date <input type="text"/>
--	---

Concurrence: <input type="checkbox"/> Yes [26] <input type="checkbox"/> No	Local Agency Engineer <input type="text"/> [27]    Date <input type="text"/>
--	--

**Original:** Caltrans District    **Copies:** FHWA, Division of Local Assistance(local roads), Federal Resources (state hwy), HQ Major Damage Engr.(state hwy)  
 \*Write "N/A" in FHWA signature block if the project has no Federal ER funding or Federal ER funding (delegated down to the State).

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

Report No. \_\_\_\_\_  
 Sheet No. \_\_\_\_\_ of \_\_\_\_\_  
 Applicant \_\_\_\_\_  
 [28]

Quantity	Unit	Labor, Materials, and Equipment	Unit Price	Cost
		[29]		

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Report No. \_\_\_\_\_  
Sheet No. \_\_\_\_\_ of \_\_\_\_\_  
Applicant \_\_\_\_\_  
[30]

Sketches and/or Narrative

[31]

Miscellaneous FHWA Approvals [32]

Reflects available information for contracts at the time of DAF preparation. A revised DAF is not required for changes – use normal Federal-aid procedures to adjust for changes with approval (per Stewardship) based on documented justification

Describe:

U.S. Department of Transportation Federal Highway Administration - California Division Damage Assessment Form (DAF) - Title 23	Report No. <input type="text"/> - <input type="text"/> - <input type="text"/> Sheet No. 1 of _____ Disaster No. CA <input type="text"/> - <input type="text"/>
--	--

Applicant _____	County _____	Inspection Date (dd/mm/yy): _____
-----------------	--------------	-----------------------------------

Location of Damage Name of Road/Bridge _____ Begin _____ End _____ PM	Federal-Aid Highway? ___ Yes (if no, ineligible for ER)  Map No. <input type="text"/>
---	--

Caltrans Work Order No(s): _____	Forest Highway System? ___ Yes (Possible ERFO)
----------------------------------	---

Road/Bridge Data    Bridge No. _____ Type _____ Traveled Way:        Width _____ Type (circle one) <u>  PCC / AC / Gravel  </u> Shoulder:            Width _____ Type (circle one) <u>  PCC / AC / Gravel  </u>	Hwy. No. <input type="text"/> State/Local Route No. _____
---	--

Description of Damage:	ADT (Existing)
	Photos
	Roll #                      Picture #

**COST ESTIMATE**

	Type of Repair	Description of Work	Summary Cost
Emergency Opening	EMERGENCY OPENING (EO) TO DATE ___ State Forces    ___ Local Forces ___ Contract		
	EMERGENCY OPENING (EO) WORK REMAINING ___ State Forces    ___ Local Forces ___ Contract		

Subtotal Emergency Opening	\$ _____
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Permanent Restoration	PERMANENT RESTORATION (PR) Recommended Method of Work: ___ State Forces    ___ Local Forces ___ Contract		
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<b>NOTE: PRIOR AUTHORIZATION (APPROVED FNM-76) IS REQUIRED TO PROCEED WITH PERMANENT RESTORATION</b>	Subtotal Permanent Restoration	\$ _____
--	--------------------------------	----------

<u>Environmental Clearance:</u> <u>EO</u> Categorical Exclusion                            _____ Further Environmental Study                    _____ <b>NOTE: Environmental clearance for permanent restoration is conducted through normal Federal-aid project procedures.</b> Stewardship: ___ Exempt (E)                      ___ FHWA Oversight (N)	Preliminary Engineering (10% of PR)        \$ _____ Construction Engineering (15% of PR)        \$ _____ Right-of-Way                                        \$ _____  TOTAL ESTIMATED COST (EO+PR+PE+CE+R/W)                            \$ _____
Recommendation:    ___ Eligible                      ___ Ineligible	FHWA Engineer*                                      Date
Concurrence:        ___ Yes                              ___ No	State Engineer                                        Date
Concurrence:        ___ Yes                              ___ No	Local Agency Engineer                            Date

**Original:** Caltrans District    **Copies:** FHWA, Division of Local Assistance(local roads), Federal Resources (state hwy), HQ Major Damage Engr (state hwy)  
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Report No. \_\_\_\_\_  
Sheet No. \_\_\_\_\_ of \_\_\_\_\_  
Applicant \_\_\_\_\_  
\_\_\_\_\_

Quantity	Unit	Labor, Materials, and Equipment	Unit Price	Cost

Large empty rectangular area for data entry.

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Report No. \_\_\_\_\_  
Sheet No. \_\_\_\_\_ of \_\_\_\_\_  
Applicant  
\_\_\_\_\_

Sketches and/or Narrative

Miscellaneous FHWA Approvals

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Describe: