

Chapter 1 Introduction and Overview

Contents

1.1	Purpose.....	1
1.2	Background	1
1.3	Related Manuals	1
1.4	Terms and Definitions	1
1.5	Acronyms and Description	1
1.6	LAPM Organization	2
	Federal-aid Projects	2
	State-Funded Projects.....	2
	Chapter Summaries.....	2
1.7	LAPM Updates	3

Chapter 1 Introduction and Overview

1.1 Purpose

The Local Assistance Procedures Manual (LAPM) has been prepared to aid California Local Public Agencies (LPAs) scope, organize, design, construct and maintain their public transportation facilities when they seek Federal Highway Administration (FHWA) funded federal-aid or state funding. The LAPM describes the processes, procedures, documents, authorizations, approvals and certifications, which are required in order to receive federal-aid and/or state funds for many types of local transportation projects.

1.2 Background

The LAPM is a compilation and summary of information from many sources including federal and state law, regulations, guidelines and operating practices. It reflects the procedures and practices developed over many years of providing federal-aid funding and state funding for local projects. These practices and procedures have been modified by superseding legislation which has provided the LPA with broad delegation, latitude and responsibility for developing its projects. However, under Title 23, United States Code, Caltrans is responsible for the administration of federal-aid (FHWA funded) transportation projects in California and cannot delegate this overall administrative responsibility.

1.3 Related Manuals

The LAPM is intended to be used in conjunction with the [Local Assistance Program Guidelines \(LAPG\)](#). The LAPG describes each of the federal-aid and state-aid local assistance programs and the requirements for obtaining project funding for these individual programs.

The Standard Environmental Reference (SER) provides a departmental policy and guidance on compliance with the National Environmental Policy Act (NEPA) and related federal environmental laws, executive orders, regulations, and policies. The reference is intended for statewide use by LPAs and Caltrans.

For LPA projects on the State Highway System (SHS), all applicable Caltrans manuals and guidelines must be used. These describe the process and procedures for developing state system projects. These also contain discussions of the regional and state planning and programming processes.

The LAPG provides detailed descriptions of the various state and federal programs available for financing local public transportation project.

1.4 Terms and Definitions

A glossary of terms and definitions commonly utilized in the LAPM / LAPG is posted online at: <https://dot.ca.gov/-/media/dot-media/programs/local-assistance/documents/guide/dla-glossary.pdf>

1.5 Acronyms and Description

A list of acronyms commonly utilized in the LAPM / LAPG is posted online at: <https://dot.ca.gov/-/media/dot-media/programs/local-assistance/documents/guide/dla-acronyms.pdf>

1.6 LAPM Organization

The LAPM is divided into 20 chapters. Each chapter describes a process and procedural steps important to the development of a local assistance project. Projects may not need to fulfill each process to be successfully implemented and to be eligible for federal or state funding, but each should be considered.

Federal-aid Projects

Federal-aid projects require consideration of the processes described in each chapter in this manual. For these projects, each chapter should be reviewed to determine whether the actions, activities, and decisions required are applicable to the individual project.

State-Funded Projects

Projects seeking only state funds require less oversight and review than those seeking federal-aid funds. Not all of the processes described in the chapters of this manual apply to these projects. [LAPM](#) Chapters [1](#), [2](#), [3](#), [4](#), [5](#), [10](#), and [17](#) apply in whole, or in part, to these projects. The [LAPG](#) further defines these programs.

Chapter Summaries

The chapters are generally in chronological sequence when developing a project, however, some of the procedures can be done concurrently, or must be repeated for the next phase of a project. The flow charts in the exhibits for this chapter define the general relationship between the processes. The flow charts at the beginning of most chapters further define the relationships between these processes and procedures.

Chapter 2: Roles and Responsibilities defines the roles and responsibilities for the various entities involved in developing a local assistance project.

Chapter 3: Project Authorization describes the process to obtain project authorization and fund obligation required for each phase of a federal-aid project. It also discusses the federal policy concerning funding projects at less than the full allowable federal share (underfunding) transferring funds to FTA.

Chapter 4: Agreements describes the agreements needed between the LPA and the State and between the State and FHWA to obtain reimbursement of funds.

Chapter 5: Invoicing describes the general accounting procedures necessary to receive reimbursement for work done in any phase of the project.

Chapters 6-8: Environmental Procedures, Field Review, and Public Hearings discuss the project initiation and environmental procedures needed to bring a project to the stage at which the LPA decision-makers commit the project to final design and implementation.

Chapter 9: Civil Rights and Disadvantaged Business Enterprises (DBE) describes the requirements for establishing and reporting DBE program and project goals. This process may be necessary during the initial project stage, or may not be required until a later phase.

Chapter 10: Consultant Selection describes the requirements for selecting and hiring consultants to perform project activities.

Chapters 11 & 12: Design Guidance and Plans, Specifications, & Estimate describe the design standards to be used and the Plans, Specifications and Estimate (PS&E) development necessary to bring the project to the advertising and construction stage.

Chapters 13 & 14: Right of Way and Utility Relocations describe the procedures used to acquire right of way or relocate utilities.

Chapters 15-17: Advertise and Award Project, Administer Construction Contracts, and Project Completion describe the procedures from advertising through construction administration, project completion, and completion of the final reports.

Chapter 18: Maintenance describes the ongoing maintenance responsibilities and activities needed to assure that the project remains a functional public asset, and the related inspection and reporting requirements.

Chapter 19: *Reserved for future use.*

Chapter 20: Audits and Corrective Actions describes the expectations when an audit is conducted by the Independent Office of Audits and Investigations, and details the roles and responsibilities during an audit.

1.7 LAPM Updates

The LAPM is available to LPAs at: <https://dot.ca.gov/programs/local-assistance/guidelines-and-procedures/local-assistance-procedures-manual-lapm>. As updates are made, they will be available online and the LPA will be responsible for obtaining its own printed copy if needed.

Comments and suggestions for improvement to the manual or the processes and procedures may be submitted to: DLAPublications@dot.ca.gov.