

FUNDING AUTHORIZATION

What is Funding Authorization?

Authorization from FHWA is the approval to move forward with the phase of work requested. Authorization is required prior to incurring any costs that are reimbursable. Each phase of funding authorization has different deliverables as outlined below.

FUNDING AUTHORIZATION PHASE	DELIVERABLES	WHAT CANNOT OCCUR PRIOR TO AUTHORIZATION?
PRELIMINARY ENGINEERING (PE)	<ul style="list-style-type: none"> Executed Agreement Estimate of PE Costs 	Solicitation of PEFs
RIGHT OF WAY/UTILITY RELOCATION (ROW)	<ul style="list-style-type: none"> Executed Agreement Signed Categorical Exclusion Approved ROW Plans Estimate of ROW Costs and/or Utility Relocation Costs 	Acquisition of ROW or Utility Relocation
CONSTRUCTION (CON)	<ul style="list-style-type: none"> Executed Agreement Signed Environmental Document ROW/Utility/RR Certification Approved Plans and Contract Proposal Estimate of Construction Costs 	Advertisement of Construction Contracts

For more information on these Deliverables, please refer to the appropriate section of the HANDBOOK

How Do I Request Funding Authorization?

When your LPMO Project Manager determines that you have provided the deliverables listed above and all items have been approved, then LPMO will send an e-mail that will allow you to submit a CHANGE REQUEST for funding authorization.

How Long does Funding Authorization Take?

Once LPMO receives a funding authorization request and approves it, the request goes through several internal steps and then is submitted to FHWA for review and approval. The entire process usually takes anywhere from 2 – 4 weeks.

Are There Any Exceptions to these Requirements?

PRELIMINARY ENGINEERING

For Projects where an LGA is using an on-call contract, then solicitation and execution of a Master Agreement may occur prior to receiving PE authorization; however, the PE funds should be authorized before the LGA assigns a task order and enters into a cost agreement with the PEF. See *Professional Services – On-Call Contracts* for more information.

RIGHT OF WAY

An LGA may acquire ROW Services under the PEF solicitation. In addition, some work that may be needed in order to develop an estimate of ROW costs may occur under the PE phase.

CONSTRUCTION

An LGA may advertise, select, and negotiate a contract for CEI/Contract Administration Services prior to receiving Construction Authorization; however, the LGA should not execute a contract with the selected firm until the funds are authorized.

What Else Should I Know?

- Funding must be authorized in the Federal Fiscal Year in which they are programmed. For example, funds programmed in FFY 2019 must be authorized between October 1, 2018 and September 30, 2019.
- If funds cannot be authorized in the programmed year, then a Schedule Change must be submitted – contact your Division Project Manager if this needs to occur.
- Once funds are authorized, the clock starts with FHWA. If no reimbursement requests are received after authorization, then the project is determined inactive and funding may be deobligated.
- You must receive notification, in writing, when funds are authorized, and you can proceed on that phase of work. Do not initiate any work until the authorization letter is received.

PROCESS

Submitting a NEW CHANGE REQUEST

1. Log into EBS Portal and Local Projects



**Enterprise
Business
Services**

User *

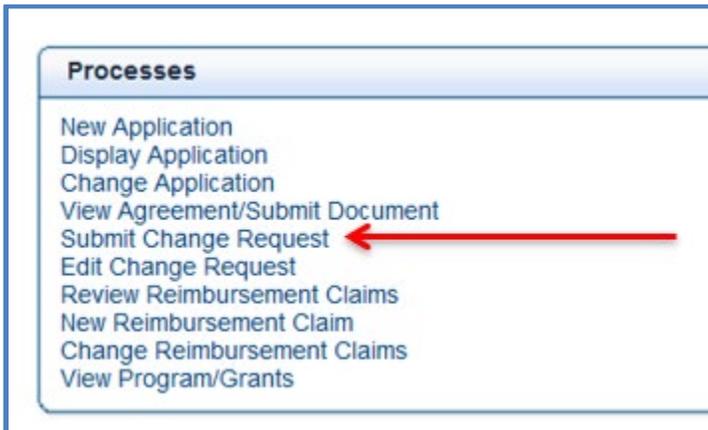
Password *

Passwords are case sensitive

[Login Help](#) * [Browser Support](#)



2. From your Main Menu, select "Submit Change Request"



3. Find the Project that you are submitting a CHANGE REQUEST for by entering your TIP Number and clicking Search:

Search: Change Request Form Back

Search Criteria Hide Search Fields

TIP number is

Maximum Number of Results:

Result List Print Export Refresh

Agreement ID	Agreement Description	TIP number	Change Request Form
No result found			

- Select the Change Request form from the correct project:

Result List			
Agreement ID	Agreement Description	TIP number	Change Request Form
2000006230	Side Walk	SH2001	LPMO - Change Request
2000006231	SAP-2010	TIP-01	LPMO - Change Request
2000006232	Sidewalk	TIP-01	LPMO - Change Request

- The CHANGE REQUEST form will be pre-populated with information related to the person logging in and also the Project:

NORTH CAROLINA DEPARTMENT OF TRANSPORTATION
Local Program Management Office
AGREEMENT CHANGE REQUEST

PROGRAM ID	LPMO_PY2014
DESCRIPTION	LPMO Program
AGREEMENT	2000006230 - Side Walk
SUB-RECIPIENT	CITY OF GREENSBORO
SUBMITTED BY	Craig McKinney
TIP	SH2001
DIVISION	07
FA PROJECT	
TOTAL AVAILABLE FUNDING	\$20,000.00

- For a CHANGE REQUEST where you are requesting authorization of funds, please select "Request for Fund Authorization/Transfer" in the Reason box:

REASON/PURPOSE	Request for Fund Authorization/Transfer
REASON FOR CHANGE:	<div style="border: 1px solid black; padding: 2px;"> Choose One Request for Fund Authorization/Transfer Request for Supplement Agreement </div>

In the Table, you will enter in the TOTAL AMOUNT REQUESTED and the NON-FEDERAL MATCH AMOUNT. The FEDERAL AMOUNT will automatically calculate. In this example:

TOTAL AMOUNT REQUESTED:

Total Estimate of Costs for the Phase is 100% or \$14,100,000

NON-FEDERAL MATCH AMOUNT:

The Amount of the costs that the LGA is providing is 20% per the agreement, or \$2,820,000

FEDERAL AMOUNT:

The Federal Amount is 80% per the agreement, or \$11,280,000

CODE	WBS	EXPENSE DESCRIPTION	START DATE (MM/DD/YYYY)	APPROVED BUDGET	AUTHORIZED TO DATE	TOTAL AMOUNT REQUESTED	NON FEDERAL MATCH AMOUNT	FEDERAL AMOUNT	PROPOSED AMOUNT
L003	50427.3.1	CON – Construction	08/29/2017	\$0		\$14,100,000	\$2,820,000	\$11,280,000	\$11,280,000
TOTAL EXPENSES					\$0	\$14,100,000	\$2,820,000	\$11,280,000	\$11,280,000

7. Once the table has been completed, you have the options to:

- CHECK your entries to make sure all the fields have been completed,
- SAVE your form, in case you need to get more information and are not ready to submit, or
- SUBMIT your form for processing

SUB-RECIPIENT AUTHORIZING SIGNATURE

I have read and accepted the terms and conditions for funding and all the information and attachments supplied in this application are true to the best of my knowledge.

Name:

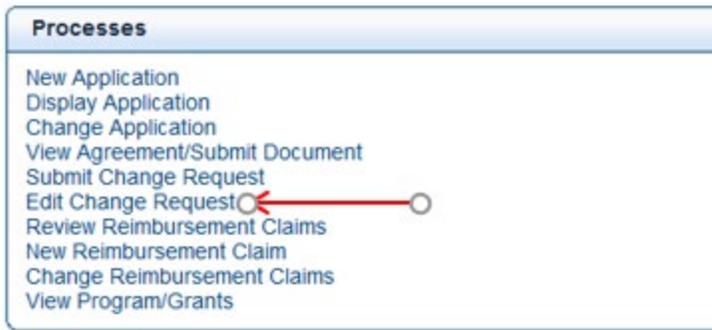
Date:

8. SUBMIT Form – a new dialog box will open that will enable you to attach documents. For each phase of work requested, please attach the estimate of costs to the Change Request.

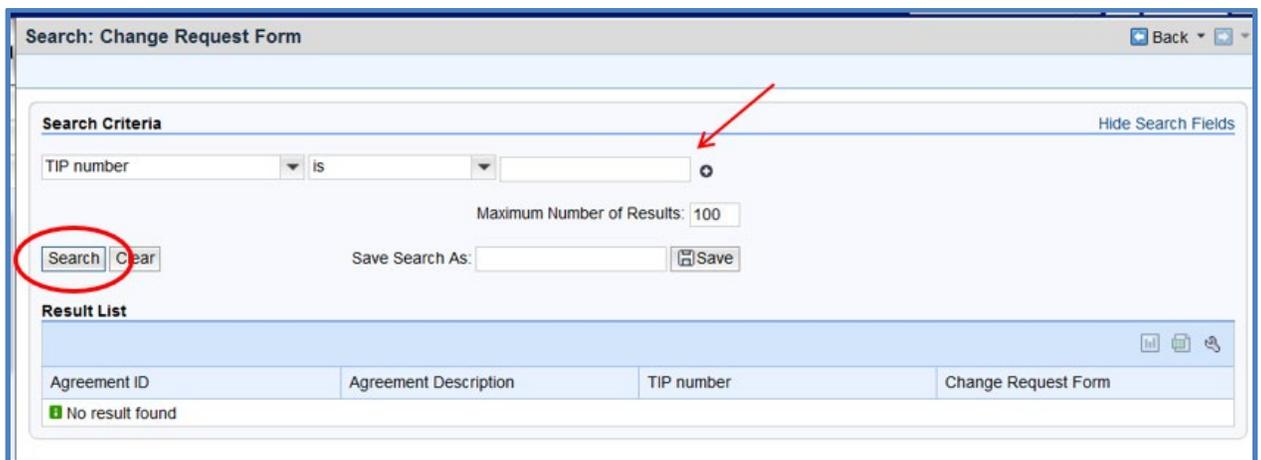
Submitting a REVISED CHANGE REQUEST

If the LPMO returns the Change Request for corrections, you will receive an e-mail with corrections that need to be made. Please complete the following steps:

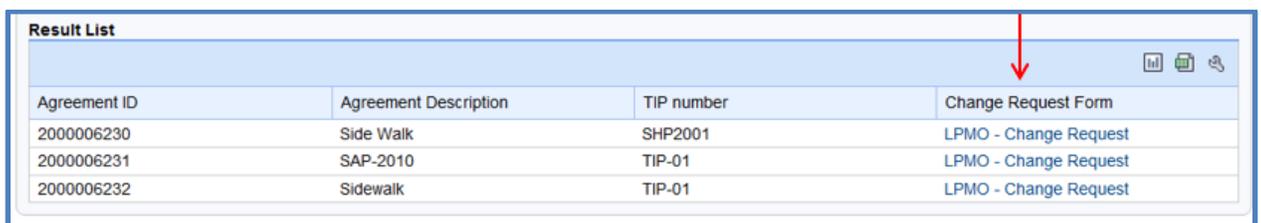
1. From your Main Menu, select “EDIT CHANGE REQUEST”:



2. Find the Project for which you need to make changes to the Change Request:



3. Select the Change Request form from the correct project:

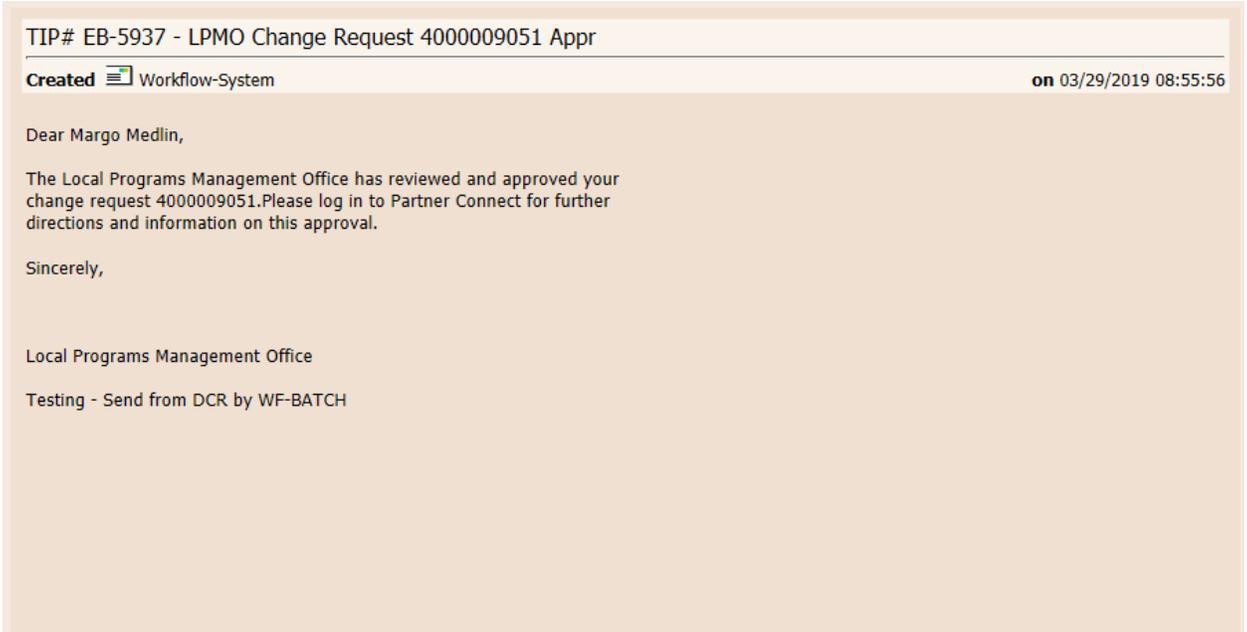


4. Open the Form and make Changes as requested in the e-mail.

5. At the bottom, select "Submit" to initiate the workflow and attach any documents.

Approval of CHANGE REQUEST

1. When the CHANGE REQUEST has gone through the Final Approval step, you will receive an e-mail from the LPMO e-mail address:



2. To view the Documents or Letter associated with this CHANGE REQUEST, log into the EBS Portal and Local Projects:



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Services**

User *

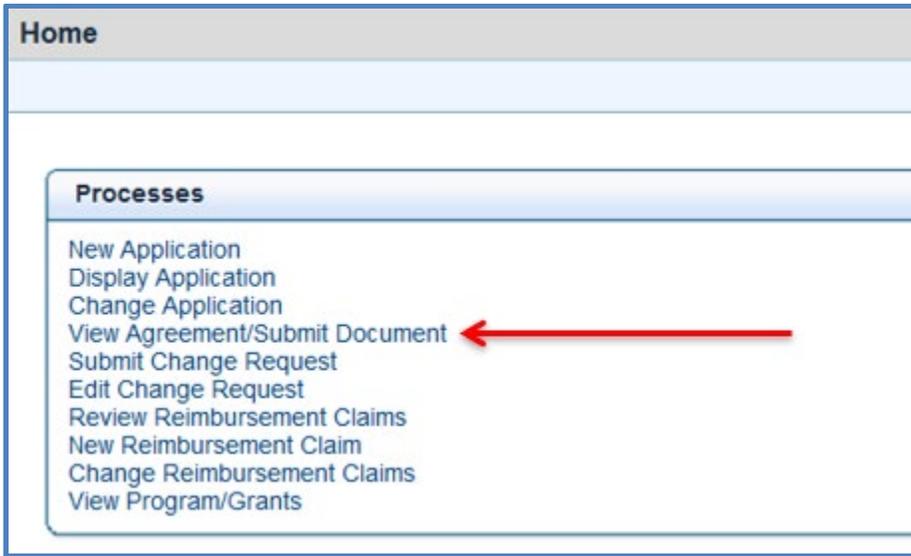
Password *

Passwords are case sensitive

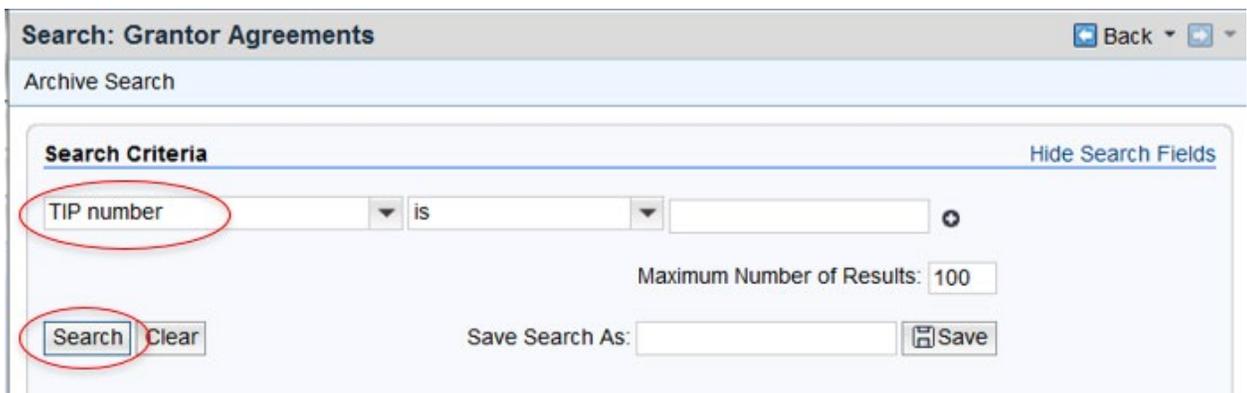
[Login Help](#) * [Browser Support](#)



3. Go to “View Agreements/Submit Documents”



4. Find your Project and Open the Agreement.



5. Scroll down to Transaction History and look for the Change Requests



- All change requests begin with a “4”
- Change Requests for Funding Authorization that have been approved show status “Contract Management Approved”

6. Click on the approved Change Request to see attached letters:

Transaction History	
Transaction ID	Status
4000006385	Contract Management Approved

Letters will be attached to the Change Request.

Attachments  Attachment  URL  With Template Advanced	
Description	Name
C-5603F - Letter	PE - Notice to Proceed
C-5603F - Letter	PE Funding Authorization

Return to the Main Agreement page to see date of funding authorization:

WBS Element	Expense Type	Eligible for Funding	Start Date	T	Authorized Amount
43713.1.6	PE – Preliminary Engineering	<input checked="" type="checkbox"/>	04/17/2019	0.	96,800.00