



Local Programs Procedures

LPP 01-09 Manual Update
Subject: Release of Local Assistance Program Guidelines, Chapter 23

Effective Date: November 13, 2001

Approved: _____

Original Signed By

TERRY L. ABBOTT , Chief
Division of Local Assistance



User-Friendly Features:

These new procedures are incorporated in the electronic version of the *Local Assistance Program Guidelines* (LAPG). The LAPG can be found on the Division of Local Assistance Home Page on the Internet at: www.dot.ca.gov/hq/LocalPrograms/. Once there, click on “publications” and then click on “Local Assistance Program Guidelines.”

PURPOSE

The purpose of this Local Programs Procedures (LPP) is to release and disseminate Chapter 23, “Local Agency State Transportation Improvement Projects” of the LAPG.

BACKGROUND

Chapter 23 is a new chapter in the LAPG and covers the administration of local grant projects programmed in the State Transportation Improvement Program (STIP). The chapter consolidates the STIP guidelines along with memos and policies from Caltrans and the California Transportation Commission into a comprehensive resource.

Following distribution of Chapter 23, training about the STIP will be offered starting this fall. Contact your District Local Assistance training coordinator for more information.

CHAPTER 23 LOCAL AGENCY STATE TRANSPORTATION IMPROVEMENT PROGRAM PROJECTS

CONTENTS

Section	Subject	Page Number
23.1	PURPOSE	23-1
23.2	IMPACT OF SB 45 ON LOCAL GRANT PROCEDURES	23-1
23.2.1	Timely Use of Funds	23-2
	Allocation	23-2
	Project Development and Right of Way	23-2
	Construction and Equipment Purchases	23-2
	Commission Time Extension	23-3
	Invoices	23-3
	Project Schedule Changes	23-4
	Use It or Lose It	23-4
23.2.2	County Share Balances and Adjustments	23-4
	No Adjustment for Under Expenditure of Allocated Funds	23-4
	Shifting Allocated Funds Between Project Components	23-4
23.2.3	State-Only Funding	23-5
23.2.4	Programming	23-6
	Project Study Report (PSR) or Equivalent	23-6
	Project Nomination Sheets (Fact & Funding Sheets)	23-6
	Regional Transportation Improvement Program (RTIP)	23-6
	State Transportation Improvement Program (STIP)	23-7
	STIP Amendments	23-7
	Federal Transportation Improvement Program (Federal TIP)	23-8
	Programming Project Components Independently	23-8
	Eligibility of Local Road Rehabilitation Projects	23-8
23.3	PROCEDURES FOR LOCALLY ADMINISTERED PROJECTS	23-9
23.3.1	Allocation of Funds	23-9
	All Projects	23-9
	Caltrans' Delegated Allocation Authority for Project Development Components	23-10
	Caltrans' Delegated Allocation Authority for Local Street and Road Pavement Rehabilitation and Projects	23-10
	Caltrans' Delegated Allocation Authority for Planning, Programming, & Monitoring Funds	23-11
	Caltrans' Delegated Allocation Authority for RSTP/CMAQ/Regional TEA Match Reserves	23-11
	Caltrans' Delegated Allocation Authority for Rideshare Projects	23-11
	Caltrans' Delegated Allocation Approval Documentation	23-11
23.3.2	Starting Work Before Allocation of Funds	23-11
	Procedures to Start Work Ahead of Allocation	23-12

CONTENTS - CONTINUED

Section	Subject	Page Number
23.4	PROCEDURES FOR HIGHWAY PROJECT ALLOCATIONS	23-13
23.4.1	Allocation of Funds	23-13
	Request for Funding Allocation	23-13
	Request for Authorization to Proceed Package	23-15
	Master Agreements	23-16
	The Commission Funding Allocation	23-16
	Federal Authorization to Proceed (E-76)	23-16
	Start of Reimbursable Work	23-16
23.4.2	Reimbursement	23-17
	Appropriation of Funds in the Budget Act	23-17
	Project Agreement	23-17
	Consultant Preaward Audit Requirements	23-17
	Progress Invoices	23-18
	Shifting Allocated Funds Between Project Components	23-18
23.4.3	Project Completion	23-18
	Report of Expenditures/Project Close-Out Report	23-18
	Caltrans' Verification	23-19
	Audit Requirements	23-19
23.4.4	Additional Guidance on Highway Projects	23-19
23.5	PLANNING, PROGRAMMING, AND MONITORING (PPM) FUNDS	23-20
23.6	RSTP/CMAQ/REGIONAL TEA MATCH RESERVES	23-20
23.7	RIDESHARE PROJECTS	23-21
23.8	REPORTING REQUIREMENTS	23-21
23.8.1	Assembly Bill 872	23-21
23.8.2	Delegated Allocations	23-22
23.9	REFERENCES	23-22

FLOW CHARTS

Chart	Subject	Page Number
23-1	ALLOCATION PROCEDURES (HIGHWAY PROJECTS)	23-23
23-2	REIMBURSEMENT AND PROJECT COMPLETION	23-25

EXHIBITS

Exhibit	Description	Page Number
23-A	AWARD INFORMATION FOR STIP PROJECTS	23-27
23-B	REQUEST FOR TIME EXTENSION (LOCAL HIGHWAY PROJECTS)	23-29
23-C	STATE-ONLY FINANCE LETTER (LOCAL HIGHWAY PROJECTS)	23-33

EXHIBITS – CONTINUED

Exhibit	Description	Page Number
23-D	STATE/FEDERAL FINANCE LETTER	23-35
23-E	CTC STATE ONLY FUNDING POLICY	23-37
23-F	REQUEST FOR EXCEPTION TO STIP STATE-ONLY FUNDING POLICY	23-39
23-G	STIP PROJECT NOMINATION FACT SHEET	23-41
23-H	STIP PROJECT NOMINATION FUNDING SHEET	23-43
23-I	STIP PROJECT NOMINATION FACT/FUNDING SHEET INSTRUCTIONS	23-49
23-J	PROJECT STUDY REPORT GUIDELINES	23-63
23-K	LOCAL ROAD REHABILITATION PROJECT CERTIFICATION	23-71
23-L	PAVEMENT MANAGEMENT SYSTEM (PMS) CERTIFICATION	23-73
23-M	NOTICE OF AB 872 PROJECT START FOR LOCAL STIP PROJECTS	23-75
23-N	FUNDING ALLOCATION CHECKLIST (LOCAL HIGHWAY PROJECTS)	23-77
23-O	REQUEST FOR FUNDING ALLOCATION (LOCAL HIGHWAY PROJECTS)	23-83

This page intentionally left blank

CHAPTER 23 LOCAL AGENCY STATE TRANSPORTATION IMPROVEMENT PROGRAM (STIP) PROJECTS

23.1 PURPOSE

Senate Bill 45 (SB 45), Chapter 622, Statutes of 1997, made major changes in the state's transportation programming process. The purpose of this chapter is to assist responsible local agencies, regional planning agencies, the California Transportation Commission (CTC/Commission), and Caltrans in the administration of local grant projects (all non-Caltrans roadway projects) programmed in the State Transportation Improvement Program (STIP). This chapter also addresses the Planning, Programming, and Monitoring (PPM) funds, Regional Surface Transportation Program (RSTP)/Congestion Mitigation and Air Quality (CMAQ)/Regional Transportation Enhancement Activities (TEA) match reserves, and Rideshare projects. This chapter contains procedures that replace the April 1, 1999 *Procedures for Administering Local Grant Projects in the State Transportation Improvement Program (STIP)*.

Roadway projects programmed in the STIP that are 100 percent state funded and are off the state highway system will be developed according to the design standards of Chapter 11 of the *Local Assistance Procedures Manual (LAPM)*. These projects may be treated as federal-aid funded for the purpose of selecting the appropriate design standard.

Highway projects on the state highway system receiving state transportation funds and implemented by local agencies will be developed in accordance with Caltrans' *Project Development Procedures Manual*. The specific implementation procedures for each project will be spelled out in a cooperative agreement, or for projects with construction cost of \$1,000,000 or less in state transportation funds, in the conditions of a Caltrans encroachment permit.

23.2 IMPACT OF SB 45 ON LOCAL GRANT PROCEDURES

The CTC *STIP Guidelines*, adopted by the Commission on July 12, 2001, describe programming procedures relative to the fund estimate and the project selection process. The CTC *STIP Guidelines* may be accessed from the Internet at: www.dot.ca.gov/hq/transprog/stip/0701AdoptedSTIPGuidelines.pdf. SB 45 enacted provisions regarding the timely use of funds for projects adopted into the STIP. For local grant projects, no adjustment will be made to the county share balance after the allocation for any amount not expended by the local agency. Also, time limits are applied to the allocation of funds programmed in the STIP. These procedures address the impact that the timely use-of-funds provision has on county share balances.

After a project is programmed in the STIP, three major steps in the administration of local grant projects are impacted by SB 45—fund allocation, project reimbursement, and project completion. Of these three steps, SB 45 had the most impact on the fund allocation process. Local entities, regional planning agencies, the Commission, and Caltrans all play an important role in this step. Procedures for project reimbursement and project completion have not been changed except for the time limits placed on reimbursements in the liquidation of the encumbered funds. Project implementation procedures (including environmental, right of way acquisition, design standards, preparation of plans, specifications and estimates, and construction) were not changed by SB 45.

23.2.1 TIMELY USE OF FUNDS

The timely use of funds provisions enacted by SB 45 are intended to encourage local and regional agencies to accurately program, monitor and deliver projects in a timely manner. More accurate programming and delivery of projects enables the CTC to manage transportation funding more effectively. The information below is also included as Section 65 of the CTC *STIP Guidelines*. Keep in mind that the same rules apply for both allocations made by the CTC and allocations delegated to Caltrans.

There are several deadlines that must be met:

- Allocation – project components must be allocated in the year in which they are programmed.
- Expenditure – project expenditures must occur by the end of the 2nd fiscal year following allocation.
- Award – construction contracts must be awarded within 12 months of the construction allocation. Please notify Caltrans districts when construction contracts are awarded.
- Completion – full project completion must occur within three years of the construction award date.

ALLOCATION

Funds that are programmed for all components of local grant projects or for Caltrans construction costs are available for allocation only until the end of the fiscal year identified in the STIP. Whenever programmed funds are not allocated within this deadline, the project programming will be deleted from the STIP. The Commission will not make the funds immediately available to the county share or interregional share for reprogramming. The Commission will, however, adjust the share balance to restore the funds in the next county share period.

PROJECT DEVELOPMENT AND RIGHT OF WAY

Funds allocated for local project development (environmental studies and permits, plans specifications and estimates) or right of way costs must be expended by the end of the second fiscal year following the fiscal year in which the funds were allocated. For local grant projects, the local agency must invoice Caltrans for these costs no later than 180 days after the fiscal year in which the final expenditure occurred.

CONSTRUCTION AND EQUIPMENT PURCHASES

Funds allocated for construction or for purchase of equipment must be encumbered by the award of a contract within 12 months of the date of the allocation of funds. From the date of award of the contract, the local agency or Caltrans has up to 36 months to complete (accept) the contract. At the time of fund allocation the Commission may extend the deadline for completion of work (or purchase of equipment) and the liquidation of funds if necessary to accommodate the proposed expenditure plan for the project. For local grant projects, the local agency has 180 days after contract acceptance to make the final payment to the contractor or vendor, prepare the final Report of Expenditure, and submit the final

invoice to Caltrans for reimbursement. Project completion is defined as when all work identified in the project agreement (program supplemental agreement) has been successfully completed and accepted by the officer or body constituting the awarding authority of the local agency.

Caltrans will provide monthly reports to the Commission on projects that have not been awarded within six months of the date of the Commission's allocation. Agencies should keep the District Local Assistance Engineer (DLAE) informed of contract advertisement and are required to inform them immediately upon award of contract. A standardized form has been developed for submittal of award data (see Exhibit 23-A, "Award Information for STIP Projects").

COMMISSION TIME EXTENSION

The Commission may grant a one-time extension to each of the deadlines specified above if it finds that an unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the extension. The extension will not exceed the period of delay directly attributed to the extraordinary circumstance and will in no event be for more than 20 months.

All requests for project delivery deadline extensions should be submitted directly to the appropriate Caltrans district at least 60 days prior to the CTC meeting before the specific deadline for which the particular extension is requested (e.g., 60 days prior to the June CTC meeting to request the extension of allocation deadlines). A copy should also be sent to the Headquarters' Division of Local Assistance STIP Coordinator at the following address:

Department of Transportation
Division of Local Assistance
STIP Coordinator, Office of Resource Management
P.O. Box 942874, MS 1
Sacramento, CA 94274-0001

The extension request shall describe the specific circumstance that justifies the extension and identify the delay directly attributable to that circumstance. A time extension request form (see Exhibit 23-B, "Request for Time Extension") has been developed for use by local agencies seeking extensions. Caltrans will review extension requests and forward them to the Commission for action. Extension requests do not require a 30-day notice period prior to being included in the Commission agenda.

Requests for time extensions are the responsibility of the implementing local agencies. Requests must be approved by the regional planning agency responsible for the programming of the project prior to submittal to Caltrans. Time extensions must be submitted separately from amendment requests.

INVOICES

Section 65 of the CTC *STIP Guidelines* also stipulates the requirements for timely submittal of invoices. The local agency must invoice Caltrans for project development and right of way costs no later than 180 days after the end of the last eligible fiscal year of expenditure. For construction costs, the local agency has 180 days after project completion to make the final payment to the contractor and prepare the final Report of

Expenditures and final invoice, and submit to Caltrans for verification and payment. These requirements are also referenced in the Local Agency-State Agreement. Extension of the deadline for submittal of the final invoice may be approved by Caltrans to accommodate the settlement of contract claims. For further information regarding invoice processing refer to Chapter 5, "Accounting/Invoices," of the LAPM.

PROJECT SCHEDULE CHANGES

Accurate schedules and strict compliance with the timely use of funds deadlines are essential to ensure that Caltrans has the legal authority to reimburse the local agency for eligible expenditures. If a local agency must significantly amend its schedule for a project component after funds have been allocated, it will be responsible for promptly notifying Caltrans of the changes, even if the schedule remains within the timely use of funds deadlines. This is especially critical when delays change the amount of funds required in a fiscal year. Failure to advise Caltrans of such changes could jeopardize the federal/state funds available for the project.

USE IT OR LOSE IT

If the STIP project involves RSTP, CMAQ, or Regional TEA funding, "use it or lose it" fund rules apply to the apportioned federal funds. Guidelines for these fund rules can be found on the Local Assistance website at: www.dot.ca.gov/hq/LocalPrograms.

23.2.2 COUNTY SHARE BALANCES AND ADJUSTMENTS

NO ADJUSTMENT FOR UNDER EXPENDITURE OF ALLOCATED FUNDS

For the purposes of share balances, the amounts counted for local agency STIP projects will be the amounts actually allocated by the Commission. No adjustment will be made after the allocation vote for any amount not expended by the local agency. However, at the time of allocation request, a local agency can request a transfer of the funds to another project phase subject to the limitations described below.

SHIFTING ALLOCATED FUNDS BETWEEN PROJECT COMPONENTS

In order to provide a degree of flexibility to local agencies in administering projects, **allocated funds** may be shifted between project components without Commission action to accommodate cost changes within the following limits:

- Funds may be shifted between the two project development components (environmental studies and permits, and preparation of plans, specifications, and estimates) up to the amount of allocation for each component.
- Funds may be shifted between project development, right of way, and construction, limited to within 20 percent of the amount programmed for each component or the amount allocated for each component if the amount allocated is less than the amount programmed.

To take advantage of shifting allocated funds, a local agency must complete a revised Finance Letter and submit it to the Caltrans' DLAE for review (see Exhibits 23-C and 23-D for the Finance Letter formats). The Finance Letter will then be forwarded to HQ Local Assistance, Office of Project Implementation, which will process a fund transfer letter and forward both to Local Program Accounting. The local agency will receive the

original fund transfer letter acknowledging that the transfer has taken place.

Shifting of allocated funds between project components will not impact county share balances. County share balances will be based on the amounts allocated for each component.

23.2.3 STATE-ONLY FUNDING

The Commission will assume that all projects will meet federal requirements unless state-only (non-federal) funding has been approved. Resolution G-01-26, passed by the Commission on August 23, 2001, established the "CTC State-Only Funding Policy" (see Exhibit 23-E). The Commission will review the state-only funding policy annually based on the balance in the State Highway Account. For the latest information, check the STIP page of Transportation Programming website at: www.dot.ca.gov/hq/transprog.

In accordance with the "CTC State-Only Funding Policy," currently programmed STIP projects that have been previously approved for state-only funds are still approved.

Future requests for programming new projects within the following categories shall be given priority for state-only funding, pending review by the Department and confirmation to the Commission that sufficient funds are available.

- Projects with a total cost of \$750,000 or less
- Planning, Programming, and Monitoring activities
- Regional Rideshare and Traffic Demand Management activities
- Match for local federal funds

The Commission has not made a commitment for state-only funding for other projects. They have, however, indicated priority will be given for that funding at time of allocation if state-only funds are available. Project sponsors must follow the request for exceptions to federal funding as outlined in the Commission's "CTC State-Only Funding Policy."

To request an exception to the "CTC State-Only Funding Policy" (a request for state-only funding), the following information is required:

- A description of the project, specifically what work is being accomplished.
- Key timelines, including the beginning and ending dates of the project, proposed advertising date, contract and construction award dates.
- A detailed funding description of all elements of the project. This requires outlining all the funding sources for each phase of the project, when the funds are needed and a cash-flow projection.
- A reason why federal funds should not be used on the project.
- Regional agency concurrence with the request, if being requested by someone else.

The format provided in Exhibit 23-F, "Request for Exception to STIP State-Only Funding Policy," should be used to request exceptions to the policy. Requests should be submitted to Caltrans' district liaisons who will forward them to the appropriate program for review and submittal to Caltrans' Budgets. Projects proposed for state-only funding are subject to Caltrans' recommendation prior to the Commission approval.

23.2.4 PROGRAMMING

Several actions must take place during the programming of the STIP to establish the scope, estimated cost, and schedule of local grant projects. (See Flow Charts 23-1, "Allocation Procedures (Highway Projects)" and 23-2, "Reimbursement and Project Completion.")

- The local agency completes a Project Study Report (PSR) or equivalent.
- The local agency completes and submits Project Nomination (Fact & Funding) Sheets to the regional planning agency (see Exhibits 23-G, 23-H, and 23-I).
- The regional planning agency adopts the project in the Regional Transportation Improvement Program (RTIP).
- The Commission adopts the project into the STIP.

These actions are described in the CTC *STIP Guidelines* and summarized below.

PROJECT STUDY REPORT (PSR) OR EQUIVALENT

A new project may not be included in an RTIP without a complete PSR, or for local grant projects off the state highway system, a PSR equivalent. This requirement applies to the programming of project development components as well as the right of way and construction components. This requirement does not apply to the programming of project planning, programming, and monitoring or to the STIP match of RSTP/CMAQ/Regional TEA funds. A PSR is a report that meets the standards of the Commission's PSR guidelines (see Exhibit 23-J, "Project Study Report Guidelines"). The PSR guidelines are subject to change. Updates are posted on the Transportation Programming website STIP page at: www.dot.ca.gov/hq/transprog.

Further guidance can be found in Caltrans' *Project Development Procedures Manual* or Project Development Procedures Manual Bulletins on the Division of Design website at: www.dot.ca.gov/hq/oppd. In addition, a draft PSR format for rehabilitation projects is provided on the Local Assistance website at: www.dot.ca.gov/hq/LocalPrograms.

PROJECT NOMINATION SHEETS (FACT & FUNDING SHEETS)

The local agency must submit a Project Nomination Sheet to the regional planning agency for each new project nominated in an RTIP. This includes the basic project information regarding the scope, cost and schedule displayed as shown in the Appendix to the CTC *STIP Guidelines*. This is the key document used as the basis to start the allocation process for STIP highway projects. It shall be submitted with the Request for Funding Allocation, as described below. See Exhibit 23-G for the "STIP Project Nomination Fact Sheet," and Exhibit 23-H for the "STIP Project Nomination Funding Sheet." CTC *STIP Guidelines* and instructions on how the STIP Nomination Fact/Funding Sheets should be prepared are provided as Exhibit 23-I, "STIP Project Nomination Fact/Funding Sheet Instructions."

REGIONAL TRANSPORTATION IMPROVEMENT PROGRAM (RTIP)

Based on Project Nomination Sheets submitted by local agencies, each regional planning agency adopts and submits an RTIP containing programming proposals from the county shares to the Commission for adoption. In addition to project nominations, a region, in its RTIP, may also propose to leave all or part of its county share unprogrammed, thus

reserving that amount to build up a larger share for a higher cost project or otherwise to program projects in the county at a later time. Section 23 of the CTC *STIP Guidelines* addresses these reserves.

In addition to reserving county shares, agencies may elect to consolidate their county shares through pooling agreements or other methods as outlined in Section 28 of the CTC *STIP Guidelines*.

Reservations, advances, and pooling are methods to provide programming flexibility to planning agencies in developing their RTIPs.

STATE TRANSPORTATION IMPROVEMENT PROGRAM (STIP)

Upon finding that the RTIP is consistent with the CTC *STIP Guidelines* and is a cost-effective expenditure of state funds, the Commission adopts the RTIP projects nominated from the county shares into the STIP. Although the PSR or equivalent is not submitted with the RTIP, the Commission or its staff may request copies to document project costs or deliverability.

STIP AMENDMENTS

The Commission may amend the STIP at the request of the regional planning agency that originally nominated the local grant project(s). (See Section 67 "STIP Amendments" in the CTC *STIP Guidelines*.) An amendment may change the scope, cost or program year of any STIP project, with the following exceptions:

- An amendment may not delete or change the program year of the funding for any project component after the beginning of the fiscal year for which it is programmed; or
- An amendment may not change the programming of any funds after they have been allocated.

Local agencies should be aware that the Commission will amend the STIP only after providing at least 30 days notice prior to the amendment.

All regional requests for STIP amendments shall be submitted directly to the appropriate Caltrans district office at least eight weeks prior to each CTC meeting. Caltrans will review proposed amendments and forward them to the Commission for notice and action. A complete request should include, but is not limited to, the following:

- A letter from the implementing/responsible agency clearly identifying the need for the programming change, assurances of full funding for the project and/or an explanation of future funding needs, if applicable. Include a summary of the proposed change and a detailed background of the project.
- Concurrence letters for the regional transportation planning agency (RTPA), if Regional Improvement Program (RIP) funds are involved, and letters of concurrence from the local agencies for projects that have a local contribution.
- A completed "STIP Project Nomination Fact Sheet" (Exhibit 23-G), including the Planning Programming Number (PPNO), and location map(s).
- A completed "STIP Project Nomination Funding Sheet" (Exhibit 23-H).
- If local or non-STIP funds are involved in the project, please clearly identify the funding source. Examples of non-STIP funding sources include RSTP, CMAQ, Regional TEA, Highway Bridge Replacement and Rehabilitation (HBRR), Federal

Transit Administration (FTA), Federal Demonstration/High Priority, Measure/Proposition funds, etc.

FEDERAL TRANSPORTATION IMPROVEMENT PROGRAM (FEDERAL TIP)

All projects in the STIP will be federal/state funded unless state-only funding has been approved for the project. Before the local agency's Request for Authorization to Proceed or Allocation Request can be approved, projects with any federal funding (STIP or local federal-aid) must be included in the Federal TIP (or Federal Statewide Transportation Improvement Program in rural areas) approved by the Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA). For Metropolitan Planning Organizations (MPOs) recognized by FHWA, the MPO is responsible for preparation of their Federal TIP and the processing of any amendments required by adoption of the STIP. For all new projects that fall outside an MPO's boundary/jurisdiction and require federal funding, Caltrans will process a Federal TIP amendment upon adoption of the STIP.

PROGRAMMING PROJECT COMPONENTS INDEPENDENTLY

Project components may be programmed independently. For example, a project may be programmed for environmental work only without being programmed for plans, specifications, and estimates (design). A project may be programmed for design without being programmed for right-of-way or construction. A project may be programmed for right-of-way without being programmed for construction. The project components will only be programmed if the Commission finds that the component itself is fully funded, either from STIP funds or from other committed funds.

ELIGIBILITY OF LOCAL ROAD REHABILITATION PROJECTS

The CTC *STIP Guidelines* define eligible projects on local road and transit systems to include rehabilitation work, but to exclude maintenance. The guidelines have indicated the Commission's intent that local road pavement rehabilitation projects be held to the same standard applied to the use of regionally-programmed federal funds (RSTP), even if the projects will be funded without federal funds.

Current federal standards for RSTP projects are described in Chapter 4, "Surface Transportation Program" of this manual and Chapter 11, "Design Standards," of the LAPM. Eligible rehabilitation work includes improvement of local roads through resurfacing, restoration, or rehabilitation (3R). This work is generally regarded as heavy, non-routine maintenance designed to achieve a ten-year service life. Eligible 3R work includes:

- Placing additional asphalt concrete over a structurally-sound highway or bridge that needs treatment to extend its useful service life (keeping in mind added deadload or lower bridge rail heights when adding asphalt concrete on bridge decks)
- Restoration of a road, structure, or collateral facility (drainage, retaining wall, etc.) to the condition existing after original construction
- Upgrading guardrail or widening shoulders

Projects that provide less than a ten-year life are considered Preventive Maintenance. Eligible strategies include, but are not limited to, roadway activities such as joint and shoulder rehabilitation, heater re-mix, seal coats, and corrective grinding of portland cement concrete pavement. These activities are also eligible provided that:

- The local agency certifies that it has a Pavement Management System (PMS).
- The decision process used by the city or county to determine project strategies was based on the established PMS.
- The PMS determined the project strategy to be cost effective and have a service life of five years or more.
- The work does not degrade any existing safety or geometric aspects of the facility.

Routine maintenance, such as spot application projects (pot hole repairs - other than removal and replacement of localized failures in areas to be resurfaced, cleaning drainage ditches and culverts, etc.), is not eligible.

Each local road rehabilitation project proposed for funding from the STIP is subject to verification at the time of allocation that the project meets the standard for rehabilitation and does not include ineligible maintenance costs. To ensure that local road rehabilitation projects meet Commission guidelines, the RTPAs must certify compliance prior to Caltrans processing requests for funding allocations. Exhibit 23-K, "Local Road Rehabilitation Project Certification," is to be used for this purpose. RTPAs may use this exhibit or equivalent. Also provided is Exhibit 23-L, "Pavement Management System (PMS) Certification," for those agencies requesting funding for projects with less than a ten-year service life.

23.3 PROCEDURES FOR LOCALLY ADMINISTERED PROJECTS

Generally, there are four types of locally administered projects: highway; planning; programming and monitoring; match reserves, and rideshare. This section provides information for all projects. Additional information on the individual project types can be found in Sections 23.4 through 23.7 of this chapter.

23.3.1 ALLOCATION OF FUNDS

ALL PROJECTS

Agencies must submit their requests for allocation to the Caltrans district at least eight weeks prior to each CTC meeting, regardless of whether the request may be approved under the delegated allocation authorities outlined below. The Commission will consider allocation of funds for a project or project component when it receives an allocation request and recommendation from Caltrans. Caltrans' recommendation will include a determination of the availability of funding and a recommendation on the source of funding. The recommendation on the source of funding shall include the amounts by fund account, as well as the fund type (state or federal) within the account including the type of federal funds. The Commission will approve the allocation only if the funds are available and are necessary to implement the project as programmed in the STIP. Allocations for final PS&E will be made only after documentation of environmental clearance under the California Environmental Quality Act (CEQA). Allocation for right of way acquisition or construction will be made only after documentation of required environmental clearance for the project (CEQA and NEPA, if appropriate). All fund allocations are subject to the timely use of funds provisions as described above. Generally, allocations must be received prior to the start of reimbursable work. See Section 23.3.2 of this chapter for exceptions to this rule.

All allocations shall be rounded to the nearest \$1000. The Commission will consider making an allocation which exceeds the amount programmed in the STIP if a region has adequate reserves in the STIP or if the Commission finds it can approve an advance to the county share from STIP reserves. The regional planning agency responsible for programming the project shall approve requests for all allocations which exceed the amount programmed. The RTPA may also request the Commission to amend the STIP to increase the programmed amount. (See Section 23.2.4, "Programming," "STIP Amendments.") Programmed funds not allocated are subject to the timely use of funds provision described above.

If a project, or project component, is ready for implementation earlier than the fiscal year that it is programmed in the STIP, the implementing agency may request an allocation in advance of the programmed year. The Commission has delegated authority to Caltrans to allocate advanced projects in specific circumstances as outlined below. The Commission and Caltrans will consider making allocations in advance of the programmed year based on making a finding that the allocation will not delay availability of funding for other projects programmed in earlier years than the project to be advanced and with the approval of the responsible regional agency if county share funds are to be advanced.

A local agency may request to allocate a portion of the programmed amount. If a local agency elects to receive only a portion of the amount programmed for a project, the remainder will automatically return to the unprogrammed county share, unless the local agency and region clearly identify the balance or portion of the balance that is to remain programmed for a later allocation for the same project. Additional information on county share balances can be found in Section 23.2.2 of this chapter and in the *CTC STIP Guidelines*.

CALTRANS' DELEGATED ALLOCATION AUTHORITY FOR PROJECT DEVELOPMENT COMPONENTS

To keep the number of routine, ministerial commission allocation requests to a minimum and to streamline and shorten the allocation process, the Commission has delegated limited allocation authority to Caltrans. Under this delegation, Caltrans may approve allocations to project development components of local grant projects programmed in the STIP. The original resolutions for delegation have been revised to allow Caltrans to make allocations, with the approval of the responsible regional agency, for projects which are delivered up to two years earlier than the year programmed in the STIP. The delegated authority has the following limits:

- Project development components (environmental studies and PS&E) programmed for \$1.5 million or less (each component).
- Requests for funding allocations equal to or less than the programmed amount.
- Request for funding allocations for which the description and/or scope of the project has not changed.
- Projects provided with federal/state funding unless the project meets the Commission's adopted state-only funding policy.

CALTRANS' DELEGATED ALLOCATION AUTHORITY FOR LOCAL STREET AND ROAD PAVEMENT REHABILITATION PROJECTS

The Commission has delegated authority to Caltrans for allocation of funds to local street and road pavement rehabilitation projects. This delegation excludes requests for

allocations greater than the programmed amount, or for projects that have a change in scope which must still be forwarded for Commission allocation. Caltrans may also make allocations, with the approval of the responsible regional agency, for projects which are delivered up to two years earlier than the year programmed in the STIP.

Projects that involve the addition of a lane, major realignment or major upgrading of geometric standards are considered reconstruction, not rehabilitation. However, rehabilitation projects may include selective improvements to highway geometry and other roadway features, including safety appurtenances, and still be considered to be eligible for this delegation.

CALTRANS' DELEGATED ALLOCATION AUTHORITY FOR PLANNING, PROGRAMMING AND MONITORING FUNDS

The Commission has delegated authority to Caltrans for allocation of funds for planning, programming and monitoring activities. Caltrans may also make allocations, with the approval of the responsible regional agency, for projects which are delivered up to two years earlier than the year programmed in the STIP. Further guidelines for PPM funds can be found in Section 23.5 of this chapter.

CALTRANS' DELEGATED ALLOCATION AUTHORITY FOR RSTP/CMAQ/REGIONAL TEA MATCH RESERVES

The Commission has delegated authority to Caltrans for allocation of RSTP/CMAQ/Regional TEA Match Reserves. Caltrans may also make allocations, with the approval of the responsible regional agency, for projects which are delivered up to two years earlier than the year programmed in the STIP. Further guidelines for RSTP/CMAQ/Regional TEA Match Reserve projects can be found in Section 23.6 of this chapter.

CALTRANS' DELEGATED ALLOCATION AUTHORITY FOR RIDESHARE PROJECTS

The Commission has delegated authority to Caltrans for allocation of funds to rideshare projects. Caltrans may also make allocations, with the approval of the responsible regional agency, for projects which are delivered up to two years earlier than the year programmed in the STIP. Further guidelines for rideshare projects can be found in Section 23.7 of this chapter.

CALTRANS' DELEGATED ALLOCATION APPROVAL DOCUMENTATION

Caltrans will approve Requests for Funding Allocation without further Commission action as long as the requests are within the limitations of the delegated authority. Copies of Caltrans' allocation approval documentation will be provided to the responsible RTPA. Caltrans will also provide the Commission with reports on the allocations made under delegation.

23.3.2 STARTING WORK BEFORE ALLOCATION OF FUNDS

Government Code Section 14529.17 permits a local agency to expend its own funds for a STIP project, in advance of the Commission's approval of a project allocation, and to be reimbursed for the expenditures subsequent to the Commission's approval of the allocation. However, the statute does not require the Commission to approve an allocation

it would not otherwise approve. The local entity must comply with all legal requirements for the project and any project expenditures, including federal and state environmental laws. Expenditures for projects programmed for federal funding still require advance approval of the federal obligation for the project (FNM-76). It is important that any local agency intending to take advantage of the reimbursement provisions of Section 14529.17 understand its obligations and the risk that is inherently involved.

Only those expenditures made by or under contract to a local agency for a project that was and is programmed in the STIP are eligible for reimbursement allocations by the Commission. Project expenditures must be in accordance with the STIP at the time of expenditure and at the time of allocation.

At the local agency's discretion, work may begin on any project component that is programmed in the STIP up to 12 months ahead of the STIP allocation. The local agency will be reimbursed by the state subject to annual appropriation by the Legislature and if all the following conditions are met:

- The CTC makes an allocation for, and there is a fully executed program supplement agreement for, the project.
- Expenditures made by the local agency are eligible for reimbursement in accordance with state and federal laws and procedures. In the event that expenditures made by the local agency are determined to be ineligible, the state has no requirement to reimburse those expenditures.
- The local agency complies with all legal requirements for the project, including, but not limited to, authorization by the federal government, if required, and the requirements of the California Environmental Quality Act (Division 13, Section 21000) of the Public Resources Code.

The Commission will approve reimbursement allocations only if it finds that there was no legal impediment to a Commission allocation, other than lack of state budget authority, at the time of expenditure. However, even the inclusion of a project in the STIP, the availability of state budget authority, and the lack of specific legal impediment do not require the Commission to approve an allocation where the Commission finds that the allocation is not an effective use of state funds, is inconsistent with the Commission's guidelines or policies, or is inconsistent with state or regional plans.

Failure to comply with the aforementioned conditions will render the subject project component and any subsequent components ineligible for reimbursement. Upon execution of the program supplement agreement, the Commission may delay reimbursement if programming or cash-management issues prevent immediate repayment following an allocation.

Allocations made under AB 872 are subject to the timely use of funds deadlines described in Section 23.2 of this chapter.

PROCEDURES TO START WORK AHEAD OF ALLOCATION

A local agency wanting to start work on a project component ahead of allocation in conformance with AB 872 must submit, at least two weeks before starting reimbursable work, a notification letter to the Caltrans DLAE and a copy of the letter to their regional planning agency (see Exhibit 23-M, "Notice of AB 872 Project Start for Local STIP Projects"). This letter must state the approximate date the proposed work for

reimbursement will commence. The letter must identify the specific STIP project to which the AB 872 provisions will apply. **Only eligible work with costs incurred up to 12 months prior to the actual allocation date is reimbursable.** For federally-funded projects, the "Request for Authorization to Proceed Package," described in Section 23.4.1 of this chapter, must be submitted and approved prior to the start of work in order to be eligible for reimbursement. Federal funds will be authorized, but funds will not be obligated until allocation. The Request for STIP Funding Allocation letter (explained later in these procedures) will state the actual date work for reimbursement commenced. Agencies will need to provide any required documents showing that state and federal requirements have been met. Based on the submitted information, the effective reimbursement date will be indicated in the executed program supplement agreement.

23.4 PROCEDURES FOR HIGHWAY PROJECT ALLOCATIONS

This section provides information for highway projects. General information for all project types can be found in Section 23.3 of this chapter.

23.4.1 ALLOCATION OF FUNDS

After a highway project is adopted or amended into the STIP, the next step is to submit a Request for Funding Allocation to the DLAE. However, depending on the type of project and funding, several additional actions may be required to obtain authorization to proceed and establish the date for the start of reimbursable work. (See Flow Chart 23-1, "Allocation Procedures (Highway Projects).") These additional actions may include the following:

- The local agency submits a Request for Funding Allocation.
- The local agency submits a Request for Authorization to Proceed (for projects with federal funds).
- Caltrans and the local agency enter into an Administering Agency-State Master Agreement.
- The Commission (or Caltrans under the limited delegation authority) makes the Funding Allocation.
- Caltrans approves the local agency's Request for Authorization to Proceed (E-76) or provides Authorization to Proceed in writing for projects with no federal funds.

Note: Caltrans does not verify the local agency's capability to accomplish the specific project component as part of the allocation procedures. Instead, Caltrans maintains a process review program as the main method for determining if local agencies are in compliance with all applicable federal and state laws, related regulations, and procedures. If deficiencies are identified in a process review, local agencies, under sanctions imposed by Caltrans, may not be allowed to administer new projects until corrective action has been implemented. (Local agencies may appeal sanctions using the "Local Programs Dispute Resolution Process" described in Chapter 20, "Deficiencies and Sanctions," Section 20.4 of the LAPM.)

REQUEST FOR FUNDING ALLOCATION (SEE EXHIBITS 23-N AND 23-O)

Local agencies are responsible for submitting requests for funding allocations for their projects in the adopted STIP. The requests shall be submitted to the DLAE for review and processing through Caltrans' Headquarters, Division of Local Assistance (DLA) to the

Budgets Program. As long as the amount requested is equal to or less than the programmed amount and does not change the description and/or scope of the project, formal concurrence from the regional planning agency is not required. All requests to split or combine projects shall be approved by the regional planning agency. Because of the potential impact the timely use of funds provisions have on county share balances, RTPAs are responsible for monitoring the amount and timing of all fund allocation requests. Caltrans will develop a reporting system to assist in this effort.

Note: If the RTPA's governing board passes a resolution requiring their approval prior to submittal to Caltrans, the local agency shall provide written evidence of such approval on the Request for Funding Allocation.

If changes have been made that require a STIP amendment, a copy of the regional planning agency's STIP amendment request shall be attached. Information regarding STIP amendments can be found in Section 23.2 of this chapter. Caltrans will process the fund allocation requests concurrently with the CTC approval action on the STIP amendment.

Local agencies requesting federal/state funds, or state-only funding that has already been approved, shall provide the following information in the Request for Funding Allocation:

Project Identification - the STIP identification (PPNO and EA) and project number (if previously issued by Caltrans), the project name and location, and the Assembly and Senate Districts. Note: PPNOs, EAs, and project numbers are issued by Caltrans. Regional agencies are required to request PPNOs at the time of project programming. EAs and project numbers are issued by Caltrans upon project initiation.

Description of Proposed Improvement - a detailed description of the project scope from the Project Nomination Sheet. If the description has changed from the original Project Nomination Sheet, attach written concurrence from the RTPA.

Fund Allocation Summary - the total amount of funding allocation including 1) STIP programmed amounts by fiscal year; and 2) the amount of previous and current fund allocations (by project component).

State-only Funding Approval (if appropriate) - if the request is for state-only funding, identify the type of approval (i.e., identified in the adopted STIP, an approved exception, meets current state-only funding policy, etc.) See note below if state-only funding has not yet been approved.

Project Funding Plan by Fiscal Year - the type of STIP funding, identification of all other sources of funding, and any specified funding conditions. If expenditures and reimbursement will extend beyond the fiscal year of allocation, provide a schedule by fiscal year of anticipated cash flow. (If attached Project Nomination Sheet includes this detail, a separate funding summary is not required.)

Request for Additional STIP Funding - if the request exceeds the amount programmed for any component, provide information on the amount of additional funding required, county reserves available, county share advance (if county reserves are inadequate to fund the shortfall), and justification for the addition.

Status of Project - status of environmental studies, right of way certification, and

estimated ready-to-advertise dates.

Estimated Timely Use of Funds Deadlines – the estimated deadlines for the various timely use of funds deadlines are based on the requested funding approval date (date of Commission meeting; or for delegated allocations, the date Caltrans would approve). Caltrans will identify the actual deadlines when the requested funding is approved.

Exhibit 23-N, a “Funding Allocation Checklist” is available to assist the local agency with determination of the proper form to use, approval authority, and calculation of the estimated timely use of funds deadlines. The checklist shall be completed by the local agency and attached to the request. A copy of the Project Nomination Sheet shall also be attached to the request. The local agency shall forward a copy of the funding request to the regional planning agency.

The local agency should allow 60 days from submittal of the Request for Funding Allocation to Caltrans until Commission approval. (Where all the prerequisite requirements are satisfied, Caltrans may be able to process the delegated approval of project allocations sooner. **However, all requests should be submitted in anticipation of the 60-day approval period.**)

Note: If state-only funding is needed and has not been approved, the local agency must submit the “Request for Exception to STIP State-Only Funding Policy” form, provided as Exhibit 23-F, in accordance with the requirements for exceptions to the policy (see Section 23.2.3, “State-Only Funding”).

For state-only projects with no other federal funds administered by the FHWA, the Request for Funding Allocation (including State-only Finance Letter and Funding Allocation Checklist) will serve as the basis for requesting the allocation, preparing the project agreement and setting up the project in the state accounting system. Exhibit 23-C, the “State-only Finance Letter,” provides the information needed by Caltrans to set up the project in the state accounting system.

REQUEST FOR AUTHORIZATION TO PROCEED PACKAGE

To initiate the authorization to proceed for any phase of a federally-funded highway project, the local agency must prepare a “Request for Authorization to Proceed” package. This package, along with required federal documents (Field Review Form, Finance Letter, Detail Estimate, Right of Way Certification, PS&E Checklist, Construction Administration Checklist, etc.), provides the information needed by Caltrans to formally authorize the start of each phase of reimbursable work, prepare the project agreement and set up the project in the federal and state accounting systems. Federal/state funded projects will be authorized in accordance with procedures described in the LAPM. Approval of the “Request for Authorization” by Caltrans establishes the date for the start of reimbursable work for each project component.

Normally, additional lead-time is needed to prepare the Request for Funding Allocation and prepare an agenda item for Commission action. Therefore, the funding allocation request may precede the Request for Authorization to Proceed. However, if all required information is available, both requests should be submitted at the same time.

Note: When beginning work ahead of allocation (see Section 23.3.2 of this chapter), the Request for Authorization to Proceed Package must be approved through

Caltrans prior to the start of work on federally-funded projects, regardless of the allocation request date.

MASTER AGREEMENTS

The Administering Agency-State Master Agreements for Federal-aid Projects (see Chapter 4, "Agreements," Exhibit 4-C of the LAPM) define the general terms and conditions which must be met by the local agency to receive federal-aid and state funds. Caltrans currently has Master Agreements with most agencies with candidate projects in the STIP or FTIPs. Projects implemented by agencies with no recent experience using federal-aid funds administered by the FHWA (from the STIP or other sources) will require a new Federal Master Agreement before the local agency may start reimbursable work.

A separate Master Agreement for State-Funded Projects has been developed for state-only funded projects. Projects with state-only STIP funding, but also with other federal funds administered by the FHWA, will be administered under the Federal Master Agreement. Caltrans will initiate a new state-only Master Agreement when local agencies submit their first request for funding allocation for projects with no federal funding.

THE COMMISSION FUNDING ALLOCATION

All appropriate submittals noted in the sections above must be complete before Caltrans will forward the request with the funding recommendation to the Commission for approval (or approve under delegated allocation authority). Caltrans may request a copy of the PSR, or equivalent, to resolve issues regarding the project description and/or scope of the project. Incomplete submittals will be returned for correction.

FEDERAL AUTHORIZATION TO PROCEED (E-76)

For those local agencies that have a Master Agreement for Federal-aid Projects in place, Caltrans will approve the local agency Request for Authorization to Proceed (E-76) upon notification that the Commission has approved the allocation request. For agencies without a master agreement in place, an agreement will be initiated upon receipt of the initial Request for Authorization to Proceed. Under delegated allocation authority, Caltrans will approve the Request for Authorization and the allocation at the same time.

Note: For federally-funded projects programmed in the STIP where work will be started ahead of allocation pursuant to the guidelines in Section 23.3 of this chapter, Caltrans will approve the local agency Request for Authorization to Proceed prior to the allocation. Federal funds will be authorized, but will not be obligated until allocation.

START OF REIMBURSABLE WORK

Generally, the earliest date for which work may be reimbursed is the date project funds are allocated by the Commission unless the local agency has previously notified Caltrans in writing, at least two weeks prior to start of work, of its intent to start work prior to fund allocation. In that case, if the agency has complied with all other applicable statutes and regulations, the Commission's allocation will specify the date of earliest reimbursement based on the original notification date. **In no case will the earliest date of reimbursement be more than twelve months prior to the date of the Commission's allocation of funds.** Caltrans will issue an allocation letter that states the effective date

for the start of reimbursement for the particular project component. If federal funds are included in the allocation, the earliest date of reimbursement will not be earlier than the date of approval of the Federal Authorization to Proceed (E-76). For each reimbursable work phase, an E-76 is required for all federal-aid projects, including those projects where work begins prior to STIP fund allocation (see Section 23.3.2 of this chapter).

Note: Beginning work prior to allocation does not protect funds subject to the timely use of funds rules described in Section 23.2.1 of this chapter. Work performed prior to the adoption of the project or project component in the STIP is not eligible for reimbursement.

Execution of the program supplement agreement will be deemed a contractual obligation by the state for the payment of the state share of the project for eligible costs incurred after the effective date. Actual reimbursement for the eligible cost of work cannot occur in advance of entering into the program supplement agreement and, for federal projects, execution of the E-76 document.

23.4.2 REIMBURSEMENT

After the Commission allocates the funds and the start of reimbursable work has been authorized with an effective date, the following actions must be completed before the local agency can actually be reimbursed for the work:

- Appropriation of funds in the Budget Act
- Project specific agreement(s) is/are prepared and executed
- Local agency submits progress invoices

A summary of these procedures is listed below.

APPROPRIATION OF FUNDS IN THE BUDGET ACT

Funds for the Regional Improvement Program must be appropriated by the Legislature in the Budget Act before they may be encumbered.

PROJECT AGREEMENT

A project specific agreement (Program Supplement to the Administering Agency-State Master Agreement for highway projects) must be executed by both parties to encumber funds for a project in the state accounting system and to allow payments to be made to the local agency. Caltrans will prepare the Program Supplement and submit it to the local agency for signature upon notification that the Commission has allocated the funds (and Caltrans has approved the Request for Authorization to Proceed for federal projects).

CONSULTANT PREAWARD AUDIT REQUIREMENTS

Preaward audits are required for all engineering and design related service contracts (and subcontracts) of more than \$250,000 financed with state or federal-aid funds. Preaward audits for contracts under \$250,000 may be required under certain conditions. See Chapter 10, "Consultant Selection," of the LAPM for further details. The objective of the audit is to:

1. Determine if the consultant agreement specifically provides for the following:

- Three year record retention period and right to audit.
 - Method of payment.
 - Reference to cost principles set forth in 48 Code of Federal Regulations (CFR) Chapter 1, Part 31 for allowability of individual items of cost; 49 CFR, Part 18 for administrative procedures; and the federal Office of Management and Budget's (OMB) Circular A-110, which are administrative procedures for nonprofit subrecipients. The OMB Circular is available on the Internet at: www.whitehouse.gov/OMB/Circulars/.
2. Determine if the consultant's cost proposal contains a breakdown of the estimate for performing the work, and that the proposed costs are reasonable in relation to actual historical costs and estimating procedures.
 3. Determine if the consultant's cost accounting system is capable of accumulating reasonable, allocable, and allowable costs.

Procedures for administering the audit are described in Chapter 10, "Consultant Selection," of the LAPM.

PROGRESS INVOICES

The local agency will be reimbursed for eligible participating costs in arrears upon submittal of progress invoices to Caltrans for expenditures actually made. The local agency must invoice Caltrans for reimbursement in accordance with the timely use of funds deadlines described above. Invoices shall be submitted no more frequently than monthly to minimize the administrative costs to the state and local agency. Progress Invoices will be submitted to Caltrans at Headquarters' Division of Accounting at the following address:

Department of Transportation
Division of Accounting, MS 33
Local Program Accounting Branch
P.O. Box 942874
Sacramento, CA 94274-0001

Invoices shall follow the sample format found in Chapter 5, "Accounting/Invoices," of the LAPM.

SHIFTING ALLOCATED FUNDS BETWEEN PROJECT COMPONENTS

As mentioned under "Share Balances and Adjustments" in Section 23.2, local agencies will be required to submit a request to their DLAE to shift any funds and follow it up with a revised Finance Letter (see Exhibits 23-C and 23-D) to Caltrans for approval. Local agencies are responsible for ensuring that funds are available in the appropriate project component before submitting invoices to Caltrans.

23.4.3 PROJECT COMPLETION

REPORT OF EXPENDITURES/PROJECT CLOSE-OUT REPORT

Upon acceptance of a completed project and final payment to the contractor, the local agency is responsible for preparing and submitting final report documents to Caltrans' DLAE, including the final invoice and final inspection form, which collectively constitute

a Report of Expenditures or Project Close-Out Report (see Chapter 17, "Project Completion," of the LAPM). The reports provide key information required to initiate timely project closure and payment. The reports should describe any change to the project and the reason for such change, when compared to the original scoping document. The reports and the final invoice will be submitted to the Caltrans DLAE by the deadlines indicated above in Section 23.2.

CALTRANS' VERIFICATION

Caltrans will review the completed project and verify that it was completed in accordance with the scope and description of the project authorization documents before processing the final invoice. The agency is responsible for maintaining written source document records that identify agency costs and project development payments made to consultants, vendors and contractors. Contract records must be retained by the local agency for a minimum period of three years from the date of final payment.

AUDIT REQUIREMENTS

Local agencies receiving federal funds are subject to the audit requirements of the federal OMB Circular A-133, available on the Internet at: www.whitehouse.gov/OMB/Circulars/. A single audit is required if an agency receives more than \$300,000 annually in federal funds from all sources. Local agency expenditures for all local assistance programs are also subject to financial and compliance audits by the State Controller's Office and Caltrans' Audits and Investigations. Normally, individual project audits are not necessary if the expenditures for a project are covered by a single audit report accepted by the appropriate federal agency.

23.4.4 ADDITIONAL GUIDANCE ON HIGHWAY PROJECTS

The preceding sections provided a brief summary of Reimbursement and Project Completion procedures for local highway projects. (Flow Chart 23-2, "Reimbursement and Project Completion," shows the process from the appropriation of funds in the budget to payment of the final invoice.) For a more detailed explanation of all the various procedures required to administer federal and state funded local highway transportation projects, see the LAPM. These procedures are based on the concepts of eliminating multiple reviews and delegating most project responsibilities and accountability to the administering agencies. Caltrans no longer approves local right-of-way certifications and PS&E packages. Instead, the local agency self-certifies right of way and PS&E.

Federal program efficiencies, beginning with the enactment of ISTEA and continuing with TEA-21, allow delegation for most federal-aid project activities but do not apply to the National Environmental Policy Act (NEPA). Because Caltrans is considered by the FHWA to be the applicant for all local grant projects with any federal funding administered by the FHWA, Caltrans reviews and processes locally prepared NEPA and other federally required environmental documents.

Local grant projects must also meet the requirements of the California Environmental Quality Act (CEQA). The local agency is the lead agency under CEQA and provides CEQA approvals and clearances. Caltrans is only involved in the review of local agency CEQA documents which impact a state route through the Intergovernmental Review (IGR) planning process.

23.5 PLANNING, PROGRAMMING, AND MONITORING (PPM) FUNDS

This section provides information for PPM funds. General information for all project types can be found in Sections 23.3 of this chapter.

Section 14527 of the Government Code, and the *CTC STIP Guidelines*, allow the programming by a region of an amount for project planning, programming and monitoring by the transportation planning agency. Programming of these funds comes from county shares and can be programmed for each year of the STIP. To streamline the allocation process for these funds, the Commission has delegated allocation authority to Caltrans as described above. To simplify the process further, all agencies will receive state-only funding for eligible PPM activities. Caltrans has prepared standard agreements for the distribution of these funds which allow lump sum "up front" payments to all agencies that programmed \$300,000 or less per fiscal year. Agencies receiving over \$300,000 per fiscal year will be paid on a reimbursed basis. Each agency is required to prepare a PPM plan to be included as part of the standard agreement.

Planning agencies shall request allocations and agreements for the upcoming year as they near completion of PPM expenditures for the current year. Caltrans will provide the Commission with monthly reports on the allocations made under the delegation. Because of the impact that the timely use of funds provisions have on county share balances, copies of allocation approval documentation will be provided to the responsible RTPA.

23.6 RSTP/CMAQ/REGIONAL TEA MATCH RESERVES

This section provides information for match reserves. General information for all project types can be found in Sections 23.3 of this chapter.

The *CTC STIP Guidelines* allow the programming by a region of a reserve of state funds in the STIP to provide matching funds for federal RSTP, CMAQ, and Regional TEA funds. These state-only funds are programmed from the regions' county shares for each year of the STIP. The reserve of state matching funds are available for any eligible federal RSTP and CMAQ projects and permissible under Article XIX of the California Constitution. The match amount must also be less than or equal to the required minimum state-match of federal participating costs, except when rounded to the nearest thousand.

To streamline the process and relieve the Commission of numerous, routine allocations, Caltrans has been delegated authority to allocate STIP funds from the RSTP/CMAQ/Regional TEA match reserves to local agencies as described above. Prior to allocating these funds, regions must identify specific projects to be matched from the reserve programmed, including an indication of the responsible agency, and specific project match limits. The project identification can be made by submitting a specific list of projects or through regional agency sign-off on all match reserve allocation requests. Caltrans will then work directly with the local agencies to administer the reserves. As long as the local agency's request for funding allocation is equal to or less than the amount identified by the RTPA for the project, Caltrans will approve the request without further Commission or planning agency action.

Caltrans will prepare and approve an allocation document each time match funds are approved for a project and forward copies to the appropriate regional planning agency.

Caltrans will provide the Commission with monthly reports on the allocations made under this delegation. Because of the impact that the timely use of funds provisions have on county share balances, copies of allocation approval documentation will be provided to the responsible RTPA. The RTPAs will be responsible for monitoring the allocation of the reserves each year to ensure that all reserves programmed have been allocated before the end of the fiscal year.

23.7 RIDESHARE PROJECTS

This section provides information for rideshare projects. General information for all project types can be found in Sections 23.3 of this chapter.

The CTC *STIP Guidelines* allow the programming of non-capital expenditures for transportation demand management projects that are a cost-effective substitute for capital expenditures.

To streamline the process and provide a continuous flow of funds for eligible expenditures, Caltrans has been delegated responsibility for the allocation of STIP funds for these rideshare projects as described above. State-only funding will be provided for all projects to allow the same simplified process for all rideshare projects. As long as the local agency's request for funding allocation is equal to or less than the programmed amount for each rideshare project, Caltrans will approve the request without further Commission action. Because of the impact that the timely use of funds provisions have on county share balances, copies of allocation approval documentation will be provided to the responsible RTPA.

The program supplement agreements allow lump sum "up front" payments for amounts of \$300,000 or less per fiscal year. Agreements for over \$300,000 per year will provide for payments on a reimbursed basis. Upon receipt of a request for a fund allocation from the project sponsor, Caltrans will prepare the program supplement agreement and submit it to the local agency for execution. Project sponsors will request allocations and agreements for the following year as they near completion of expenditures for the current cycle of agreements. Caltrans will also provide the Commission with monthly reports on the allocations made under the delegation.

23.8 REPORTING REQUIREMENTS

23.8.1 ASSEMBLY BILL 872

AB 872 requires Caltrans to report to the Legislature starting July 1, 2000, and annually thereafter, on STIP-programmed projects where reimbursable work began prior to allocation. The report will include information about the projects implemented under provisions of AB 872 (outlined in Section 23.3.2 of this chapter). Specifically, the report will indicate agreement processing times for each project and provide detailed reasons for all projects for which an agreement was not executed within the 90-day period provided in statute. A description of any actions taken by Caltrans during the prior fiscal year to streamline, expedite, and simplify the Department's process for executing the specified agreements to transfer funds is also required.

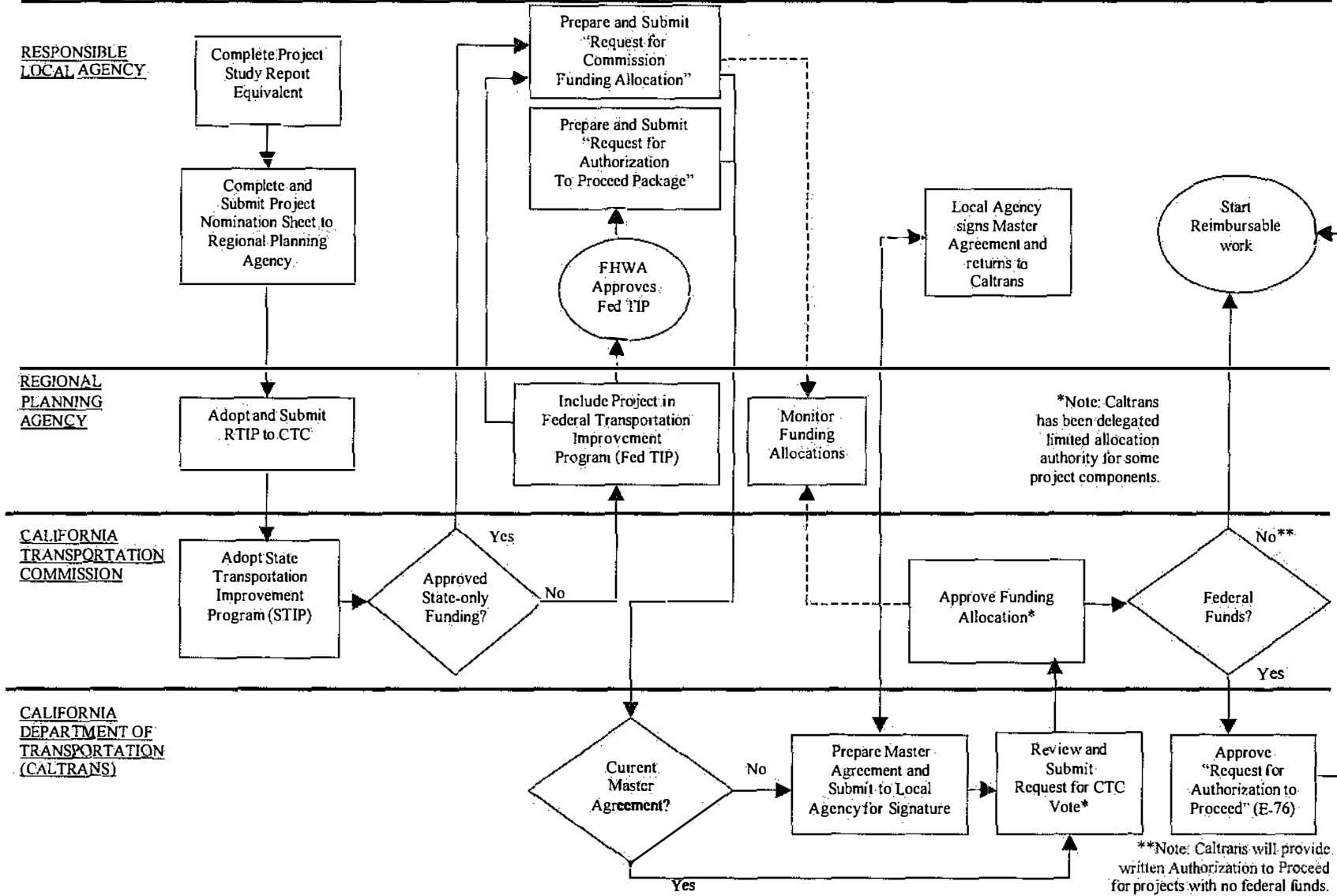
23.8.2 DELEGATED ALLOCATIONS

As noted previously in this chapter, delegated allocations will be reported to the Commission on a monthly basis.

23.9 REFERENCES

- OMB Circular A-110 and OMB Circular A-133
- CTC *STIP Guidelines*, dated July 12, 2001
- CTC Guidelines for Preparation of Project Study Reports
- Project Study Report (Local Rehabilitation) Guidelines for 1998 STIP Projects off the State Highway System*
- Caltrans *Project Development Procedures Manual*, Appendix L – Preparation Guidelines for Project Study Report
- Guidelines for Allocating, Auditing, and Monitoring of Local Assistance Projects*

ALLOCATION PROCEDURES
(HIGHWAY PROJECTS)



This page intentionally left blank

This page intentionally left blank

AWARD INFORMATION FOR STIP PROJECTS

Date: _____

To: _____
District Local Assistance Engineer
Caltrans, Division of Local Assistance

PPNO: _____

EA: _____

Project No.: e e e e

Project Description: e e e e e e e e e e

Date Project was Allocated: _____

Date Project was Advertised: _____

Award Date: _____

Award Amount: _____

Award Amount: _____
(STIP Portion only, if different from above)

Estimated Date of Completion: _____

This page intentionally left blank

**REQUEST FOR TIME EXTENSION
LOCAL HIGHWAY PROJECTS**

Local Agency Letterhead

To: (DLAE Name)
District Local Assistance Engineer
Caltrans, Office of Local Assistance
(District Address)

Date: _____
PPNO: _____
PROJECT #: _____
EA: _____
(Brief Project Description)
(Location)
(County)
Assembly District: c _____
Senate District: _____

Dear (DLAE Name)

We request that the California Transportation Commission approve a request for a time extension for this project.

A. Project description:

(Enter description of project, location and scope from Project Nomination Sheet. Include programmed funding level by phase)

B. Project element for which extension requested: (check appropriate box)

Allocation* Expenditure Award Completion
(contract acceptance)

C. Phase (component) of project: (check appropriate box or boxes)

Environmental Studies & Permits Plans, Specs. & Estimate Right of Way of Construction*

D. Allocation and deadline summary

Allocation Date By Phase (if applicable)	Allocated Amount By Phase (if applicable)	Original Deadline	Number of Months of Extension Requested	Extended Deadline

E. Reason for project delay

Indicate the reason for the project delivery delay. Please be concise. Specify the length of time the project will be delayed. The length of extension requested cannot exceed 20 months and must be directly attributed to the reason for delay specified.

* Per Section 66 of the CTC STIP Guidelines, "For each request to extend the deadline to allocate construction funds, the agency requesting the extension should submit, in conjunction with the request, a project construction STIP history. The request should also identify any cost increase related to the delay and how the increase would be funded. The STIP

history should note the original inclusion of project construction in the STIP and each project construction STIP amendment, including, for each, the amendment date, the dollar amount programmed for construction, and the scheduled year of construction delivery. It is the Commission's intent to review this history when considering a construction allocation extension request."

F. Status of project milestones/revised project milestones

1) Completion of Environmental Document:

CEQA - Describe document type and date (original milestone date and revised date).

NEPA - Describe document type and date (original milestone date and revised date).

2) Right of Way Certification:

Indicate the date right of way was certified (or will be certified) for the project (original milestone date and revised date).

3) Construction:

Indicate the date the project will be ready to advertise or was advertised (original milestone date and revised date).

G. Timely Use of Funds

We request that the Commission approve this request at the _____ meeting, or by _____.

H. Local Agency Certification:

This Request for Time Extension has been prepared in accordance with the *Procedures for Administering Local Grant Projects in the State Transportation Improvement Program (STIP)*. I certify that the information provided in the document is accurate and correct. I understand that if the required information has not been provided this form will be returned and the request may be delayed. Please advise us as soon as the time extension has been approved. You may direct any questions to

_____ at _____
(name) (phone number)

Signature _____ Title: _____ Date: _____

Agency/Commission: _____

I. Regional Transportation Planning Agency/County Transportation Commission Concurrence:

Concurred

Signature _____ Title: _____ Date: _____

Agency/Commission: _____

J. Caltrans District Local Assistance Engineer Acceptance:

I have reviewed the information submitted on the Request for Time Extension and agree it is complete and has been prepared in accordance with the *Procedures for Administering Local Grant Projects in the State Transportation Improvement Program*.

Signature _____ Title: _____ Date: _____

Attachments:

Distribution: (1) Original to DLAE (2) copy to Division of Local Assistance, STIP Coordinator (3) copy to Regional Planning Agency/County Transportation Commission

REQUEST FOR TIME EXTENSION INSTRUCTIONS

This request for extension is initiated by the implementing agency, and prepared on their letterhead as a letter addressed to the District Local Assistance Engineer (DLAE). Requests must be received by the DLAE and the Division of Local Assistance STIP Coordinator (P.O. Box 942874, MS-1, Sacramento, CA 94274-0001) at least 60 days prior to the deadline for which the extension is being requested, but not later than 60 days prior to the date of the CTC meeting where the request will be considered/voted.

Date: Date of request preparation.

PPNO: Provide STIP project identifier. (Project programming number)

Project # and EA: These numbers will be available if the project has been allocated.

Brief Description: Provide a brief description of the project.

Location: Provide location of project.

County: County where project is located.

Assembly District: Enter appropriate district number.

Senate District: Enter appropriate district number.

Address: Send letter to District Local Assistance Engineer assigned to this project.

A. Project Description: Use the original description of the project location and scope from the Project Nomination Sheet. Include amount programmed for the project, broken out by phase.

B. Project element: Check one box to indicate which element of the project needs to be extended. **A separate form is required for each project element.** Allocation time extension requests must be submitted separately from expenditure extension requests, etc.

C. Phase (component) of project: Check one box to indicate which phase of the project needs to be extended. Multiple phases can be checked on the same form if the request is for the same project element (extension type). For example, if the request is for an allocation time extension and an agency is requesting the extension for both the PS&E and R/W phases, one form can be used.

D. Allocation and deadline summary:

Allocation date by phase (if applicable): Actual allocation dates by phase for all phases the request refers to.

Allocated amount by phase (if applicable): Actual allocated amount by phase for all phases the request refers to.

Original deadline: Indicate date that was originally set as the timely use of funds deadline.

Number of months of Extension Requested: Indicate in number of months of time requested for the extension.

Extended Deadline: Provide the proposed new deadline, with extension incorporated.

E. Reason for project delay: In order to grant an extension, the CTC must find that “unforeseen and extraordinary circumstances beyond the control of the responsible agency have occurred which would justify the extension”. The extension will not exceed the period of delay directly attributed to the extraordinary circumstance and will in no event be for more than 20 months. This is where you need to have a clear description of the circumstances delaying the project that leaves no question to the CTC that the circumstances are “unforeseen and extraordinary” and directly relates the number of months of the extension to the delay. The reason should be clear and concise.

* Per Section 66 of the CTC STIP Guidelines, "For each request to extend the deadline to allocate construction funds, the agency requesting the extension should submit, in conjunction with the request, a project construction STIP history. The request should also identify any cost increase related to the delay and how the increase would be funded. The STIP history should note the original inclusion of project construction in the STIP and each project construction STIP amendment, including, for each, the amendment date, the dollar amount programmed for construction, and the scheduled year of construction delivery. It is the Commission's intent to review this history when considering a construction allocation extension request."

- F. Status of project milestones/revised project milestones:** Provide information about the original milestone dates and the revised dates for Environmental Documents (CEQA and NEPA), Right of Way Certification, and Construction.
- G. Timely Use of Funds:** Provide which meeting your request should be heard or set a date that you need the approval. Refer to the CTC calendar posted on the web to determine the appropriate date, and keep in mind that Caltrans will need sixty days lead time to process the request prior to the CTC meeting.
- H. Local Agency Certification:** Provide information on whom is the responsible party to contact with questions regarding this project and obtain signature of approving official.
- I. Regional Transportation Planning Agency (RTPA)/Metropolitan Planning Organization (MPO)/County Transportation Commission (CTC) concurrence:** Obtain concurrence/approval from appropriate lead agency. Requests will not be processed without review and approval of the responsible RTPA/MPO/CTC official.
- J. Caltrans District Local Assistance Engineer Acceptance:** After reviewing the request for extension, the DLAE will sign off and forward the request to headquarters' (Local Assistance Office of Resource Management, Attention: STIP Coordinator) for processing to the CTC for vote.

STATE-ONLY FINANCE LETTER

DEPARTMENT OF TRANSPORTATION
DIVISION OF ACCOUNTING
LOCAL PROGRAM ACCOUNTING BRANCH

Attention: _____

Date: _____
Agency: _____
Project No.: _____
EA No.: _____
PPNO: _____

	TOTAL COST	PART. COST	STIP STATE-ONLY FUNDS	LOCAL FUNDS	OTHER FUNDS	OTHER FUNDS
Environmental & Permits						
Plans, Specs. & Estimate						
Rights of Way						
Construction						
Contract Items						
Suppl. Work						
Contingencies						
Agency Furn. Mat.						
Constr. Engh.						
Force Acct. Amt.						
Construction Total						
TOTAL						

ALLOCATION BY: _____
CTC DLA
Date _____

Signature: _____
Title: _____
For questions on finance letter, contact:
Printed Name: _____
Telephone No.: _____

REMARKS: _____

This page intentionally left blank

STATE/FEDERAL FINANCE LETTER

DEPARTMENT OF TRANSPORTATION
ACCOUNTING SERVICE CENTER
LOCAL PROGRAM ACCOUNTING BRANCH

Date: _____
Agency: _____
Project No.: _____
EA No.: _____

Attention: _____

	TOTAL COST OF WORK	TOTAL PARTICIPATING COST	FEDERAL FUNDS (FedAid code: _____)	LOCAL FUNDS	OTHER FUNDS Type:	OTHER FUNDS Type:
Agency Preliminary Engineering						
State Furnished Preliminary Engineering						
Overhead at _____ %						
R/W Engineering & Administration Costs						
R/W Purchase Costs						
Relocation Assistance (SJ 3A055)						
Contract Items _____						
Utilities _____						
Contingencies _____						
Trainees _____						
Agency Furn. Mat. _____						
Contract Total _____						
Agency Construction Engineering						
State Furn. Construction Engineering						
Overhead at e e %						
State Furnished Materials Testing						
Overhead at e e % EA No. _____						
Force Account (Day Labor) - striping, etc.						
TOTAL:						

Federal Participation: e _____ %

Reimbursement Ratio: e e %

REMARKS:

Signature: _____

Title: _____

Questions regarding this finance letter should be directed to:

Printed name: _____

Telephone number: e e e e e e

This page intentionally left blank



CALIFORNIA TRANSPORTATION COMMISSION
STIP State-Only Funding Policy

Resolution G-01-26

- 1.1 WHEREAS, the Commission's adoption of the 2000 STIP in December 2000 included a State only funding policy generally giving blanket approval for local projects under \$750,000 and, until March 2001, for all local road rehabilitation projects regardless of cost, and providing for approval of other projects on an exception basis, and
- 1.2 WHEREAS on March 28, 2001, the Commission approved the Department's request to extend the State Only Funding Policy for currently programmed STIP projects.
- 1.3 WHEREAS, the Commission's approval included an exception to the current policy and requires that any new request for State only funding, regardless of project cost, will need to submit an exception and approval for State only funding to the Department.
- 1.4 WHEREAS, the Commission indicated that the approval is an interim policy measure, and that future availability of state only funds and the State only funding policy will be reevaluated as part of the 2002 Fund Estimate.
- 1.5 WHEREAS on August 23, 2001, the Commission approved Resolution G-01-25 adopting the 2002 STIP Fund Estimate; and
- 1.6 WHEREAS, the Commission approved the allocation of State only funding for new projects which generally gives blanket approval for local projects under \$750,000, subject to the availability of funds,
- 2.1 NOW THEREFORE BE IT RESOLVED, that currently programmed STIP projects, which have been previously approved for state-only funds are still approved.
- 2.2 BE IT FURTHER RESOLVED, that future requests for programming new projects within the following categories shall be given priority for state-only funding, pending review by the Department and confirmation to the Commission that sufficient funds are available.
 - Projects with a total cost of \$750,000 or less;
 - Planning, programming and monitoring activities;
 - Regional ride share and traffic demand management activities;
 - Match for local Federal funds.

- 2.3 BE IT FURTHER RESOLVED, that all other new projects programmed in the STIP, which are not in one of these categories, are required to be federalized. Exceptions to this requirement may be approved pending a review and approval of the project need for state-only funding and verification that sufficient funds are available.
- 2.4 BE IT FURTHER RESOLVED, that project exception requests for state-only funding shall be included in the submittal to the Commission of the 2002 Regional or Interregional Transportation Improvement Programs. These requests will be forwarded to the Department for review of the Region's justification on the appropriateness, benefit to accelerated delivery, and reduction in cost for individual projects, and, the availability of state-only funds. The Department shall offer technical advise to facilitate the use of federal funds in those instances when the Department does not recommend the designation of state-only funding at the time of programming. Regional agencies requesting state-only funding shall do so with the understanding that changes in the availability of state-only funding may necessitate shelving a project cleared for state only funding until such time as state-only funds become available, or federalizing the project.
- 2.5 BE IT FURTHER RESOLVED, that state-only funding approval for projects will be confirmed as part of the STIP adoption.
- 2.6 THEREFORE BE IT FURTHER RESOLVED, that the Department shall monitor the use and availability of state-only funds, report to the Commission annually in July on its findings with recommendations as necessary for modification of the policy.

**REQUEST FOR EXCEPTION TO
STIP STATE-ONLY FUNDING POLICY
(REQUEST FOR STATE-ONLY FUNDS)**

Local Agency Letterhead

To: Caltrans District Office – Programming Liaison
(address)

Date:

Subject: Request for Exception to STIP State-Only Funding Policy

The City/County of (local agency name) hereby requests an exception to the STIP Project Funding Policy. State-only funds are requested for the following project:

PROJECT DESCRIPTION (specifically describe what work is being accomplished, include PPNO)

JUSTIFICATION:

- A. Type of Work
- B. Need for Project/Proposed Improvements
- C. Status of Project
 - 1. Beginning and Ending Dates of the Project
 - 2. Environmental Clearance Status
 - 3. R/W Clearance Status (if currently R/W certified as #3, when will the certification be upgraded to a #1 or #2?)
 - 4. Status of Construction
 - a) Proposed Advertising Date
 - b) Proposed Contract and Construction Award Dates
- D. Total Project Funding Plan by Fiscal Year (list all funding sources & anticipated fund usage by year – include all phases)
- E. State specific reasons for requesting State-Only fund and why Federal funds should not be used on the project.
- F. Allocation (if requesting allocation concurrent with exception request)
 - 1. Amount of Allocation Request
 - 2. Is this a partial allocation request? Yes No
 - 3. If this is a partial allocation, what will be the total cost of the project? When will the additional allocation be needed?
 - 4. Is the project identified as State-Only in the adopted programming document? Yes No

REGIONAL AGENCY CONCURRENCE

(Name of Regional Agency) concurs with this request for an exception to the Project Funding Policy.

(Signature of Regional Agency Representative)

Signature of Local Agency Representative

This page intentionally left blank

STATE TRANSPORTATION IMPROVEMENT PROGRAM (STIP)
Project Nomination Fact Sheet (Page A-2)

Project Information					Fact Sheet Date:
County	CT District	PPNO *	EA *	Region/MPO ID *	Implementing Agency
Project Title:					
<small>* NOTE: PPNO and EA assigned by Caltrans. Region/MPO ID assigned by RTA/MPO</small>					
Project Location Maps-- Location Map of Project in State/Region, and Area Specific Map					
<small>Ver. 05/11/05/07</small>					

**2002 STIP
STATE TRANSPORTATION IMPROVEMENT PROGRAM
Project Nomination Funding Sheet (Page B-1)**
(dollars in thousands and escalated)

County	CT District	PPNO *	EA *	Region/MPOTIP ID *	Order: Implementing Agency
Project Title:					

* NOTE: PPNO and EA assigned by Caltrans. Region/MPOTIP ID assigned by RTP/AMP/O

Proposed Total Project Cost										09/10 and Beyond	Project Total
Component	Prior	02/03	03/04	04/05	05/06	06/07	07/08	08/09			
E&P (PA&ED)											
PS&E											
R/W SUP (CT) *											
CON SUP (CT) *											
R/W											
CON											
TOTAL											

Existing RTIP Funds								RTIP Program Code: **	Comments:
Component	Prior	02/03	03/04	04/05	05/06	06/07	Total		
E&P (PA&ED)									
PS&E									
R/W SUP (CT) *									
CON SUP (CT) *									
R/W									
CON									
TOTAL									

Proposed RTIP Funds								RTIP Program Code: **	Comments:
Component	Prior	02/03	03/04	04/05	05/06	06/07	Total		
E&P (PA&ED)									
PS&E									
R/W SUP (CT) *									
CON SUP (CT) *									
R/W									
CON									
TOTAL									

* NOTE: R/W SUP and CON SUP to be used only for projects implemented by Caltrans - See Section 47 & 50 of CTC adopted STIP Guidelines. ** Program Code provided by Caltrans

Existing ITIP Funds								ITIP Program Code: **	Comments:
Component	Prior	02/03	03/04	04/05	05/06	06/07	Total		
E&P (PA&ED)									
PS&E									
R/W SUP (CT) *									
CON SUP (CT) *									
R/W									
CON									
TOTAL									

Proposed ITIP Funds								ITIP Program Code: **	Comments:
Component	Prior	02/03	03/04	04/05	05/06	06/07	Total		
E&P (PA&ED)									
PS&E									
R/W SUP (CT) *									
CON SUP (CT) *									
R/W									
CON									
TOTAL									

* NOTE: R/W SUP and CON SUP to be used only for projects implemented by Caltrans - See Section 47 & 50 of CTC adopted STIP Guidelines. ** Program Code provided by Caltrans

Existing 'Grandfathered STIP' Funds								GF Program Code: **	Comments:
Component	Prior	02/03	03/04	04/05	05/06	06/07	Total		
E&P (PA&ED)									
PS&E									
R/W SUP (CT) *									
CON SUP (CT) *									
R/W									
CON									
TOTAL									

Proposed 'Grandfathered STIP' Funds								GF Program Code: **	Comments:
Component	Prior	02/03	03/04	04/05	05/06	06/07	Total		
E&P (PA&ED)									
PS&E									
R/W SUP (CT) *									
CON SUP (CT) *									
R/W									
CON									
TOTAL									

The CTC STIP Guidelines and a template of the STIP fund sheet are available at: <http://www.dot.ca.gov/hq/transprog/stip.htm>

Reformatted Version 10/11/01

**2002 STIP
STATE TRANSPORTATION IMPROVEMENT PROGRAM
Project Nomination Funding Sheet (Page B-2)**

Date:

County	CT District	PPNO	EA	Region/MP/OTIP ID	Implementing Agency
Project Title:					

Existing Non-STIP Funding - Contributor 1								Comments	
Component	Prior	02/03	03/04	04/05	05/06	06/07+	Total	Agency:	Fund Type:
E&P (PA&ED)									
PS&E									
R/W SUP (CT) *									
CON SUP (CT) *									
R/W									
CON									
TOTAL									

Proposed Non-STIP Funding - Contributor 1								Agency:	
Component	Prior	02/03	03/04	04/05	05/06	06/07+	Total	Fund Type:	
E&P (PA&ED)									
PS&E									
R/W SUP (CT) *									
CON SUP (CT) *									
R/W									
CON									
TOTAL									

* NOTE: R/W SUP and CON SUP to be used only for projects implemented by Caltrans - See Section 47 & 50 of CTC adopted STIP Guidelines.

Existing Non-STIP Funding - Contributor 2								Agency:	
Component	Prior	02/03	03/04	04/05	05/06	06/07+	Total	Fund Type:	
E&P (PA&ED)									
PS&E									
R/W SUP (CT) *									
CON SUP (CT) *									
R/W									
CON									
TOTAL									

Proposed Non-STIP Funding - Contributor 2								Agency:	
Component	Prior	02/03	03/04	04/05	05/06	06/07+	Total	Fund Type:	
E&P (PA&ED)									
PS&E									
R/W SUP (CT) *									
CON SUP (CT) *									
R/W									
CON									
TOTAL									

* NOTE: R/W SUP and CON SUP to be used only for projects implemented by Caltrans - See Section 47 & 50 of CTC adopted STIP Guidelines.

Existing Non-STIP Funding - Contributor 3								Agency:	
Component	Prior	02/03	03/04	04/05	05/06	06/07+	Total	Fund Type:	
E&P (PA&ED)									
PS&E									
R/W SUP (CT) *									
CON SUP (CT) *									
R/W									
CON									
TOTAL									

Proposed Non-STIP Funding - Contributor 3								Agency:	
Component	Prior	02/03	03/04	04/05	05/06	06/07+	Total	Fund Type:	
E&P (PA&ED)									
PS&E									
R/W SUP (CT) *									
CON SUP (CT) *									
R/W									
CON									
TOTAL									

Additional Funding Needs (funding needs not yet committed)										
Component	Prior	02/03	03/04	04/05	05/06	06/07	07/08	08/09	09/10 and Beyond	Total
E&P (PA&ED)										
PS&E										
R/W SUP (CT) *										
CON SUP (CT) *										
R/W										
CON										
TOTAL										

The CTC STIP Guidelines and a template of the STIP fund sheet are available at: <http://www.dot.ca.gov/hq/transprog/stip.htm>

Reformatted Version RMB-08/11/01

**2002 STIP
STATE TRANSPORTATION IMPROVEMENT PROGRAM
Project Nomination Funding Sheet (Page B-3)**
(dollars in thousands and escalated)

Date:

County	CT District	FPNO	EA	Region/MPO/TIP ID	Implementing Agency
Project Title:					

Comments

Existing Non-STIP Funding - Contributor 4								Agency:
Component	Prior	02/03	03/04	04/05	05/06	06/07+	Total	Fund Type:
E&P (PA&ED)								
PS&E								
R/W SUP (CT) *								
CON SUP (CT) *								
R/W								
CON								
TOTAL								

Proposed Non-STIP Funding - Contributor 4								Agency:
Component	Prior	02/03	03/04	04/05	05/06	06/07+	Total	Fund Type:
E&P (PA&ED)								
PS&E								
R/W SUP (CT) *								
CON SUP (CT) *								
R/W								
CON								
TOTAL								

* NOTE: R/W SUP and CON SUP to be used only for projects implemented by Caltrans - See Section 47 & 50 of CTC adopted STIP Guidelines.

Existing Non-STIP Funding - Contributor 5								Agency:
Component	Prior	02/03	03/04	04/05	05/06	06/07+	Total	Fund Type:
E&P (PA&ED)								
PS&E								
R/W SUP (CT) *								
CON SUP (CT) *								
R/W								
CON								
TOTAL								

Proposed Non-STIP Funding - Contributor 5								Agency:
Component	Prior	02/03	03/04	04/05	05/06	06/07+	Total	Fund Type:
E&P (PA&ED)								
PS&E								
R/W SUP (CT) *								
CON SUP (CT) *								
R/W								
CON								
TOTAL								

* NOTE: R/W SUP and CON SUP to be used only for projects implemented by Caltrans - See Section 47 & 50 of CTC adopted STIP Guidelines.

Existing Non-STIP Funding - Contributor 6								Agency:
Component	Prior	02/03	03/04	04/05	05/06	06/07+	Total	Fund Type:
E&P (PA&ED)								
PS&E								
R/W SUP (CT) *								
CON SUP (CT) *								
R/W								
CON								
TOTAL								

Proposed Non-STIP Funding - Contributor 6								Agency:
Component	Prior	02/03	03/04	04/05	05/06	06/07+	Total	Fund Type:
E&P (PA&ED)								
PS&E								
R/W SUP (CT) *								
CON SUP (CT) *								
R/W								
CON								
TOTAL								

* NOTE: Each Non-STIP Contributing Agency and Fund Type must be identified separately. Use additional sheets for additional Non-STIP fund sources.

COMMENTS:

The CTC STIP Guidelines and a template of the STIP fund sheet are available at: <http://www.dot.ca.gov/hq/transprog/stip.htm>

Reformatted Version KMS-08/11/01

**2002 STIP
STATE TRANSPORTATION IMPROVEMENT PROGRAM
Project Nomination Funding Sheet (Page B-4)**
(dollars in thousands and escalated)

Date: _____

County	CT District	PPNO	EA	Region/MPO/TIP ID	Implementing Agency
Project Title: _____					

Existing Non-STIP Funding - Contributor 7								Agency:
Component	Prior	02/03	03/04	04/05	05/06	06/07+	Total	Fund Type:
E&P (PA&E)								
PS&E								
R/W SUP (CT) *								
CON SUP (CT) *								
R/W								
CON								
TOTAL								

Proposed Non-STIP Funding - Contributor 7								Agency:
Component	Prior	02/03	03/04	04/05	05/06	06/07+	Total	Fund Type:
E&P (PA&E)								
PS&E								
R/W SUP (CT) *								
CON SUP (CT) *								
R/W								
CON								
TOTAL								

* NOTE: R/W SUP and CON SUP to be used only for projects implemented by Caltrans - See Section 47 & 50 of CTC adopted STIP Guidelines.

Existing Non-STIP Funding - Contributor 8								Agency:
Component	Prior	02/03	03/04	04/05	05/06	06/07+	Total	Fund Type:
E&P (PA&E)								
PS&E								
R/W SUP (CT) *								
CON SUP (CT) *								
R/W								
CON								
TOTAL								

Proposed Non-STIP Funding - Contributor 8								Agency:
Component	Prior	02/03	03/04	04/05	05/06	06/07+	Total	Fund Type:
E&P (PA&E)								
PS&E								
R/W SUP (CT) *								
CON SUP (CT) *								
R/W								
CON								
TOTAL								

* NOTE: R/W SUP and CON SUP to be used only for projects implemented by Caltrans - See Section 47 & 50 of CTC adopted STIP Guidelines.

Existing Non-STIP Funding - Contributor 9								Agency:
Component	Prior	02/03	03/04	04/05	05/06	06/07+	Total	Fund Type:
E&P (PA&E)								
PS&E								
R/W SUP (CT) *								
CON SUP (CT) *								
R/W								
CON								
TOTAL								

Proposed Non-STIP Funding - Contributor 9								Agency:
Component	Prior	02/03	03/04	04/05	05/06	06/07+	Total	Fund Type:
E&P (PA&E)								
PS&E								
R/W SUP (CT) *								
CON SUP (CT) *								
R/W								
CON								
TOTAL								

* NOTE: Each Non-STIP Contributing Agency and Fund Type must be identified separately. Use additional sheets for additional Non-STIP fund sources.

COMMENTS:

The CTC STIP Guidelines and a complete of this STIP fund sheet are available at: <http://www.dot.ca.gov/hq/transprog/stip.htm>

Reformatted Version KMS-08/11/01

**2002 STIP
STATE TRANSPORTATION IMPROVEMENT PROGRAM
Project Nomination Funding Sheet (Page B-5)**
(dollars in thousands and excelsior)

Date:

County	CT District	PPNO	EA	Region/MPQ/TP ID	Implementing Agency
Project Title:					

Existing Non-STIP Funding - Contributor 10								Agency:	Comments
Component	Prior	02/03	03/04	04/05	05/06	06/07+	Total	Fund Type:	
E&P (PA&ED)									
PS&E									
R/W SUP (CT) *									
CON SUP (CT) *									
R/W									
CON									
TOTAL									

Proposed Non-STIP Funding - Contributor 10								Agency:
Component	Prior	02/03	03/04	04/05	05/06	06/07+	Total	Fund Type:
E&P (PA&ED)								
PS&E								
R/W SUP (CT) *								
CON SUP (CT) *								
R/W								
CON								
TOTAL								

* NOTE: R/W SUP and CON SUP to be used only for projects implemented by Caltrans - See Section 47 & 50 of CTC adopted STIP Guidelines.

Existing Non-STIP Funding - Contributor 11								Agency:	Comments
Component	Prior	02/03	03/04	04/05	05/06	06/07+	Total	Fund Type:	
E&P (PA&ED)									
PS&E									
R/W SUP (CT) *									
CON SUP (CT) *									
R/W									
CON									
TOTAL									

Proposed Non-STIP Funding - Contributor 11								Agency:
Component	Prior	02/03	03/04	04/05	05/06	06/07+	Total	Fund Type:
E&P (PA&ED)								
PS&E								
R/W SUP (CT) *								
CON SUP (CT) *								
R/W								
CON								
TOTAL								

* NOTE: R/W SUP and CON SUP to be used only for projects implemented by Caltrans - See Section 47 & 50 of CTC adopted STIP Guidelines.

Existing Non-STIP Funding - Contributor 12								Agency:	Comments
Component	Prior	02/03	03/04	04/05	05/06	06/07+	Total	Fund Type:	
E&P (PA&ED)									
PS&E									
R/W SUP (CT) *									
CON SUP (CT) *									
R/W									
CON									
TOTAL									

Proposed Non-STIP Funding - Contributor 12								Agency:
Component	Prior	02/03	03/04	04/05	05/06	06/07+	Total	Fund Type:
E&P (PA&ED)								
PS&E								
R/W SUP (CT) *								
CON SUP (CT) *								
R/W								
CON								
TOTAL								

* NOTE: Each Non-STIP Contributing Agency and Fund Type must be identified separately. Use additional sheets for additional Non-STIP fund sources

COMMENTS:

This page intentionally left blank

STIP
STATE TRANSPORTATION IMPROVEMENT PROGRAM
Project Nomination Fact Sheet
Instructions

GENERAL

Section 45 "Project Fact Sheets" of the California Transportation Commission (CTC) amended State Transportation Improvement Program (STIP) Guidelines requires STIP Fact/Funding Sheets be prepared whenever a project is added to the STIP, or whenever there is a change to a STIP project in conjunction with a STIP Amendment. These sheets provide the information necessary to properly program, or amend a project in the STIP in accordance with State statutes and CTC policies. The Fact Sheet is prepared by the responsible agency implementing and delivering the project, with assistance from the Regional Transportation Planning Agency (RTPA), Caltrans District Office or Headquarters (HQ) Transportation Programming, as appropriate. All information is to be provided by the responsible/implementing agency unless otherwise noted.

The Fact Sheet is to be limited to two pages. The first page is the project information, with information provided in as brief a format as possible. The second page is for location maps.

The CTC STIP Guidelines should have been read and fully understood prior to preparation of the Fact/Funding Sheets. The Guidelines and templates of the Fact/Funding Sheets are located at: <http://www.dot.ca.gov/hq/transprog/stip.htm>.

Whenever a group of projects is to be submitted at the same time, it is encouraged to provide a summary sheet listing the appropriate Project Identifiers, brief project description and the funding information (See Attachment "Project Summary Listing"). This is to ensure that all nominations are accounted for when a large number of projects are submitted simultaneously.

STIP AMENDMENT VS NOMINATION SHEET

The Fact Sheet, together with the Funding Sheet, and cover letter from the Regional Transportation Planning Agency (RTPA), or Caltrans District Office constitute a complete submittal for new project nominations in the RTIP and ITIP. However, whenever an existing STIP project is amended, the Fact Sheet and Funding Sheet serve as attachments to the STIP Amendment Request Letter. The STIP Amendment Request Letter provides a brief Summary of the requested CTC action, a Background describing the history of the project, and an Explanation which outlines the existing project programming, the requested change in programming, and the resulting programming as it is being proposed for the STIP. The Letter should also include any other pertinent information necessary to provide the CTC with a clear understanding of the proposed amendment. If the implementing agency, rather than the RTPA, is submitting the STIP Amendment request, then a concurrence letter from the RTPA must be attached.

PROJECT INFORMATION

Project information provides the basic information necessary to identify the project for planning, programming and monitoring purposes. This information is used for project identification, reporting and tracking purposes.

Fact Sheet Date

"Fact Sheet Date" is the date the Fact Sheet was first prepared or later modified. It is the most recent Fact Sheet revision date.

The Fact Sheet Date must be entered whenever a Fact Sheet is first prepared and updated whenever the sheet is revised. The date is used to distinguish the most recent nomination sheet from previous submittals to ensure the project is programmed with the most current information submitted. Incorrect

dates, or omission of a date can result in incorrect project programming, resulting in the need for a later STIP amendment to correct the project date.

County

"County" is the full county name from which the Regional Transportation Improvement Program (RTIP) funds are being contributed. For projects programmed with Interregional Transportation Improvement Program (ITIP) funds, and no RTIP funds, the county in which the project is located is used.

The county is needed to properly adjust Regional Shares. If the project is located in a county other than the county contributing the RTIP funds, then the county in which the project is located would be identified in the "Location and Project Limits" section of the Fact Sheet. Since the Interregional Transportation Improvement Program (ITIP) is a Statewide program, projects funded with ITIP funds as the only STIP contributing funds will display the county in which the project is located.

Sometimes it may be necessary to "split" a project at a county line whenever there is joint partnership of funding, placing the respective county share in the appropriate county. This requires multiple Fact Sheets for each of the contributing counties. These will be considered on a case by case basis, with assistance from Caltrans HQ Transportation Programming.

Caltrans District

"Caltrans District" is the district in which the project is located.

The Caltrans District is needed for project identification purposes. A map showing the Caltrans Districts is located at: <http://www.dot.ca.gov/distmap.htm>

PPNO

"PPNO" is an identification number assigned by Caltrans for all STIP projects.

The PPNO is used by the CTC to uniquely identify and track a STIP project. The responsible agency preparing the Fact Sheet should contact the appropriate Caltrans District office to assign a PPNO prior to submission of a Project Fact Sheet. The PPNO is a four-digit number unique to each District. A fifth alphanumeric character may be added as a suffix for the PPNO whenever projects are split or receive partial allocations.

Caltrans HQ Transportation Programming assigns PPNOs for Intercity Rail projects administered by the Caltrans Intercity Rail Program and programmed through the Interregional Transportation Improvement Program (ITIP).

Fact and Funding Sheets must be submitted with a PPNO, even for new projects.

EA

"Expenditure Authorization (EA)" is a unique number assigned by Caltrans for all projects.

The EA is used by Caltrans to identify and track expenditures for a specific project. For Caltrans projects, as well as Mass Transportation and Intercity Rail projects, the EA is assigned by Caltrans at the time of programming. For Local Assistance (including TEA) projects, the EA is assigned generally at the time of allocation.

For Intercity Rail Projects, and projects on the State Highway System, whether implemented by Caltrans or another agency, the Fact Sheet must be submitted with an EA. Fact Sheets for Mass Transportation projects may be submitted without an EA, but must be assigned by Caltrans prior to CTC action. Fact sheets for Local Assistance projects (local streets and roads projects implemented by a local agency off the State Highway System) may be submitted without an EA.

Region/MPO/TIP ID

"Region/MPO/TIP ID" is the unique project identification number assigned by the RTPA. Within regions represented by a Metropolitan Planning Organization (MPO) the number is the MPO ID or federal Transportation Improvement Program (TIP) ID.

The Region/MPO/TIP ID is used to relate the project with regional documents, which often use unique identifiers other than the PPNO or EA. All STIP projects that are within an MPO, and are to receive federal funds, must be included in a federal Transportation Improvement Program (TIP). To help track and monitor the inclusion of STIP projects in the federal TIP, it is encouraged that all STIP projects are assigned a TIP ID prior to submittal of a STIP Fact Sheet.

Rural / Urbanized

"Rural (R), Urbanized (U)", is the appropriate urbanized designation in which the project is located.

This designation is necessary for tracking purposes of all STIP projects, and is to be completed by the implementing/responsible agency. This is particularly important for MTP projects, a portion of which must be programmed based on rural and urbanized designations. For purposes of the Fact Sheet, "Urbanized" refers to an urbanized area with a population greater than 50,000, according to the latest federal census information, and is input in the fact sheet as an 'U'. "Rural" refers to all other areas outside an "urbanized" area of 50,000 population, and is input into the Fact Sheet as an 'R'.

Route/Corridor

"Route/Corridor" is the State Highway or intercity rail corridor on which the project is located.

The Route/Corridor is used for project location and reporting purposes, and is required for all projects on the State Highway System and all Intercity Rail projects. Transit agencies may identify a specific corridor or extension, if they so desire, but are not required to do so.

PM/KP Back and PM/KP Ahead

"PM/KP Back" is the PostMile (PM) and KiloPost (KP) location on the State Highway or Intercity Rail line for the beginning project limits. "PM/KP Ahead" is the PostMile (PM) and KiloPost (KP) location on the State Highway or Intercity Rail Line for the ending project limits.

The PM/KP Back and Ahead are required for locating projects on the State Highway System as well as for Intercity Rail Projects. Projects on the State Highway system must identify both the PostMile (PM) and KiloPost (KP) locations (with appropriate prefixes). Intercity Rail projects need only identify the PostMile Limits.

Legislative Districts

"Legislative Districts" are the applicable Legislative District Number(s) in which the project is located.

"Senate District" is the State Senate District Number(s) in which the project is located. "Assembly" is the State Assembly District Number(s). "Congressional" is the House of Representatives District Number(s) in which the project is located. The Legislative Districts are used for reporting project programming and allocation information to the appropriate Legislative office.

Project Sponsor

"Project Sponsor" is the primary supporter for the project, and is usually, but not necessarily, the implementing agency.

The Project Sponsor is usually the same as the Responsible Agency/Implementing Agency for the project. The project sponsor may differ when one agency is responsible for delivering the project, and

another agency is providing the majority of the funding (i.e., when Caltrans constructs a project on the State Highway System, using primarily local Measure funds).

Implementing Agency

"Implementing Agency" is the agency responsible for delivering the project within cost, scope and schedule.

The Implementing or Responsible Agency is the agency responsible for delivering the project within cost, scope and schedule, and is also the agency to receive the allocation of funds as programmed in the STIP. The identification of the Implementing/Responsible Agency determines how project components are programmed in the STIP, and therefore must be properly identified. Whenever Caltrans is identified as the Implementing/Responsible Agency, Right of Way Support and Construction Support will be programmed separately from Right of Way Capital and Construction Capital. For all other Implementing/Responsible Agencies, Right of Way Support and Construction Support are programmed together with the Right of Way Capital and Construction Capital components.

Project Title

"Project Title" is a concise statement of the Project Description

The Project Title is used to identify and describe the project in the shortest possible term that can be understood by the various project proponents. It is used to relate the project back to local and regional planning documents as well as the federal TIP.

LOCATION AND PROJECT LIMITS

The "Location and Project Limits" section is a very brief description of the project location. The location should start with a listing of the cities or communities in which the project is located followed by the cross streets or other distinguishing features that identify the beginning and ending project limits as appropriate. Long-Distance Rail projects should include a listing of the counties in which the project is located followed by the cities or communities or other distinguishing features that identify the beginning and ending project limits. For rural projects, the nearest community should be identified along with the beginning and ending limits.

DESCRIPTION AND SCOPE OF WORK

The "Description and Scope of Work" section is a very brief description of the project. Generally the description should be two lines or less, but more complex projects, with several different activities, may require more. When the STIP funding is just a part of an overall larger project, the description should include both the overall project scope of work, followed by a break out of the project segment or activities to be completed with the STIP funding identified in the Fact Sheet.

TRANSPORTATION PROBLEM TO BE ADDRESSED AND PROJECT BENEFITS

The "Transportation Problem to be Addressed by Project and Description of Project Benefits" section is a brief explanation of the need for the project and the expected benefits derived from the project. This section provides an overview of the purpose of the project and helps justify the funding.

TOTAL PROJECT COMPONENT COSTS

The "Total Project Component Costs" section provides a summary of the project funding as identified in the Fund Sheet. Funding is listed by component, and summarized by existing funding, funding changes (either new funding, an increase in funding, or a decrease in funding) and any future uncommitted funding needs. The "RW SUP" and "CON SUP" components are used only for projects implemented by Caltrans. For all

other Implementing Agencies, Right of Way Support and Construction Support are programmed together with the Right of Way Capital and Construction Capital components respectively.

The Fiscal Year is the State Fiscal year, starting July 1, in which funds are first programmed for that component. If the funding is programmed in multiple years for a component, the fiscal year displayed is the first year, and the amount shown is the total of all the fiscal years wherein funding is intended to be programmed. The Fiscal Year is displayed in a "yy/yy" format to avoid inconsistent use of fiscal year dates. The dollar amount should be escalated as appropriate, and displayed in thousands. Negative amounts (funding decreases) are shown within parentheses ().

A project receiving STIP funds for a smaller distinct useable segment of an overall larger project displays only the funds contributing to the distinct useable segment of the overall larger project. If STIP funds are used in such a manner that the funds are not a distinct useable segment, then funding for the entire overall project must be displayed.

It may be necessary to complete the STIP Nomination Fund Sheet prior to entering data into the "Total Project Component Costs" section.

Prior and Existing Funding

The "Prior and Existing Funding" columns display any prior and existing funding as programmed in the most recent STIP, including any subsequent amendments. The "STIP" column includes RTIP, ITIP and "Grandfathered STIP" funding, while the "Other" column includes all other existing non-STIP funding contributions to the project. Since new STIP funds cannot be added as "Grandfathered", any decrease in "Grandfathered" STIP funds are displayed in the "Prior and Existing Funding" column, rather than the "Change in Funding" Column. If the "Grandfathered" STIP funds are to be decreased, a note under the "Special Funding Conditions or Terms" indicating this fact is necessary.

Change in Funding

The "Change in Funding" columns display any increases/additions or decreases (subtractions) to STIP and Other funding as a result of the programming request. A new project being added to the STIP would display all the funding in the "Change in Funding" column. A project receiving a funding increase would show only the amount being added. A project receiving a funding decrease would show only the amount being (subtracted).

The "STIP" column displays changes to RTIP and ITIP funding separately, with funding decreases shown within parentheses (). If the request is for a schedule change with no change in funding amount, the new programmed fiscal year would be shown with \$0 for the change in funding. Since new STIP funds cannot be added as "Grandfathered", any decrease in "Grandfathered" STIP funds are displayed in the "Prior and Existing Funding" column, rather than the "Change in Funding" Column.

The "Other" column displays funding changes to Non-STIP funding, with funding decreases shown within parentheses (). If changes are proposed for more than one Non-STIP funding source for a project, this column will indicate the cumulative change proposed. In such cases, the proposed change for individual Non-STIP funding sources will be described separately in the Funding Sheet.

Except for new projects, the "RTIP", "ITIP", and "Other" columns may not necessarily equal the "RTIP", "ITIP" and "Other" funding as shown in the Funding Sheet, since the Funding Sheet displays "before" and "after" program amounts, while the Fact Sheet "Change in Funding" columns display the proposed "change" in funding. The TCRP funds need to be shown under "Non-STIP" funds.

Additional Need

The "Additional Need" column displays any additional funding needed for the project that has not yet been committed. An explanation of this additional funding is to be provided in the "Expected Source(s)" of

STIP Fact/Funding Sheet Instructions

23-Aug-2006

Additional Funding section. The "Additional Need" column must equal amount of the "Additional Funding Needs" total identified at the bottom of the second page of the Funding Sheet

Total

The "Total" is the sum of each of the components across the various columns. All amounts should add (or subtract out) so that the amounts shown in the "Prior and Existing", "Change in Funding" and the "Additional Need" columns add up to the amount in the "Total" column. The "Total" column must equal the "Project Total" in the "Proposed Total Project Cost" total at the top of the first page of the Funding Sheet.

EXPECTED SOURCE(S) OF ADDITIONAL FUNDING

The "Expected Source(s) of Additional Funding Necessary to Complete Project" section is a brief explanation of the anticipated timing and source(s) of amounts shown in the "Additional Need" column of the "Total Project Component Costs" section. Since only fully-funded components can be programmed in the STIP, it is important that this explanation include a justification of why and how the amount programmed constitutes a distinct useable segment. Generally earlier components (such as Project Development) must be fully funded prior to programming later components (such as Construction).

For projects with an "Environmental Only" PSR, a notation of such is to be included in this section.

SPECIAL FUNDING CONDITIONS

The "Special Funding Conditions or Terms" section is a brief explanation of any special funding circumstances such as RTIP/ITIP partnering, special treatment of federal Demo, RSTP, and CMAQ funds and State-only or federal-only funding designations, etc. Requesting a special funding designation in the Fact Sheet does not guarantee the project will receive the special funding. An Exception Request, as appropriate, must still be approved by Caltrans HQ Budgets prior to allocation of any special funding. It is preferred that an exception request be submitted to Caltrans Budgets concurrently with the programming action so that special funding may be approved at the time of programming.

FTA Grant Type

The "FTA Grant Type" indicates the type of FTA Grant (5307, 5309, 5310, 5311, and 5336, etc.) and is applicable only for transit projects to be funded in part from a Federal Transit Administration (FTA) Grant. Section 26 "Federalizing Transit Projects" of the CTC adopted STIP Guidelines should be read prior to providing this information.

FTA App. Date

The "FTA Application Date" is the proposed timing of the FTA grant application, and is applicable only for transit projects to be funded in part from a Federal Transit Administration (FTA) Grant. Section 26 "Federalizing Transit Projects" of the CTC adopted STIP Guidelines should be read prior to providing this information.

FTA Grantee

The "FTA Grantee" is the name of the agency receiving the FTA grant funding, and is applicable only for transit projects to be funded in part from a Federal Transit Administration (FTA) Grant. Section 26 "Federalizing Transit Projects" of the CTC adopted STIP Guidelines should be read prior to providing this information.

PROJECT MILESTONES

The "Project Milestones" section displays the proposed schedule or actual completion of two project milestones.

STIP Fact/Funding Sheet Instructions

23-Aug-2000

Project Study Report (PSR) Complete

"Project Study Report (PSR) Complete" is the date (month, day and year, input in mm/dd/yy format) the PSR, or PSR equivalent, was completed. If the PSR is for Environmental Only, then a notation is made in the "Expected Source(s) of Additional Funding Necessary to Complete Project" section.

Scheduled Circulation of Draft Environmental Document

"Scheduled Circulation of Draft Environmental Document" is the date (month and year, input in mm/yy format) that the draft environmental document was, or is scheduled to be circulated. The type of document (EIR, Neg Dec, CE, etc.) is also to be displayed.

PROJECT MANAGER

The "Project Manager" section identifies the individual responsible for delivering the project within cost, scope and schedule, and serves as the single point of contact for the project should questions regarding project delivery arise.

PROJECT LOCATION MAPS

Page 2 of the Fact Sheet contains the location maps. There should be at least two maps, one showing a Statewide or Regional perspective of the project location, and a second, more detailed map showing specific features of the project surrounding area. The size and scale of the maps depends on the type of project and the project limits.

It is encouraged that maps be scaled to fit the page, and imported electronically into the document, so that a complete Fact Sheet may be transmitted and received electronically.

CTC STIP GUIDELINES

The CTC STIP Guidelines should have been read and fully understood prior to preparation of the Fact/Funding Sheets. The Guidelines and templates of the Fact/Funding Sheets are located at: <http://www.dot.ca.gov/hq/transport/stip.htm>.

STIP
STATE TRANSPORTATION IMPROVEMENT PROGRAM
Project Nomination Funding Sheet
Instructions

GENERAL

The Funding Sheet provides a detailed view of the proposed project programming, as compared to the funding summary provided in the Fact Sheet. The Funding Sheet distinctly identifies the various sources of funding that may be involved in a project. It delineates the programming breakdown for each funding source, and for each component within the funding source.

The Funding Sheet is available for download at <http://www.dot.ca.gov/hq/transport/stip.htm> in two different formats, one designed for the 2000 STIP project nomination and the other for amending the existing 1998 STIP projects. Though the sheets are formatted to suit a majority of situations that may arise in nominating/amending projects, it may be required to update them periodically for formatting purposes. Therefore, it is strongly recommended to download a new copy of the Fact Sheet and Funding Sheet every time their use is warranted. After adoption of the 2000 STIP, the 1998 STIP project format will be removed from the web site. The input cells in the Funding Sheet are password protected to prevent accidental deletion of formatting and the embedded formulas.

A project receiving STIP funds for a smaller distinct useable segment of an overall larger project displays only the funds contributing to the distinct useable segment. If STIP funds are used in such a manner that the funds are not a distinct useable segment, then funding for the entire overall project must be displayed. Often, funding for larger projects may be split into smaller distinct useable segments or activities for programming and construction/contract award purposes. Caution must be used in displaying the various fund sources for these types of projects so that funding is not double counted in the STIP.

Information entered in the Funding Sheet tables must be numbers only (no alpha characters, and no blanks or 'spaces' from the space-bar). Otherwise the spreadsheet formulas will not function properly, resulting in incorrect programming.

PROJECT INFORMATION

The project information such as County, Caltrans (CT) District, PPNO, Region/MPO ID, Implementing Agency and Project Title must match exactly the information provided on the Fact Sheet. Refer to the Fact Sheet instructions for details on these items. The project description information entered on the top of the first sheet will automatically be carried over to subsequent pages of the Funding Sheet.

Date

"Date" is the date the Funding Sheet was first prepared or later modified. It is the most recent Funding Sheet revision date and should match the date of the Fact Sheet.

The Date must be entered whenever a Funding Sheet is first prepared and updated whenever the sheet is revised. The date is used to distinguish the most recent nomination sheet from previous submittals to ensure the project is programmed with the most current information submitted. Incorrect dates, or omission of a date can result in incorrect project programming, resulting in the need for a later STIP amendment to correct the project date.

The date only needs to be entered on the first sheet of the Funding Sheet. The date is automatically carried over to subsequent pages of the Funding Sheet.

FUNDING INFORMATION**Components**

"Environmental Studies and Permits (E&P)", also referred to as "Project Approval and Environmental Document (PA&ED)" for Caltrans projects, is programmed in the fiscal year during which environmental studies will begin. For Caltrans projects the costs are programmed in one fiscal year. For local agency projects these costs may be listed in more than one fiscal year, as appropriate. Refer to Section 50(a) "Program Year for Cost Components" of the CTC STIP guidelines for further information.

"Plans Specifications and Estimates (PS&E)" is programmed in the fiscal year during which these activities will begin. For Caltrans projects the costs are programmed in one fiscal year. For local agency projects these costs may be listed in more than one fiscal year, as appropriate. Refer to Section 50(a) "Program Year for Cost Components" of the CTC STIP guidelines for further information.

"Right of Way (R/W)", including Caltrans "Right of Way Support (R/W SUP)", is programmed in the fiscal year(s) during which Right of Way acquisition (including utility relocation) contracts will be executed. If the contracts are executed in a single year, the cost shall be programmed in that one fiscal year. The costs may be programmed in more than one fiscal year, as appropriate. Refer to Section 50(b) "Program Year for Cost Components" of the CTC STIP Guidelines for further information. For Caltrans projects, STIP amendments for R/W Capital and R/W Support are only permitted in conjunction with the Annual Right of Way Plan. Refer to Section 67 "STIP Amendments" of the CTC STIP Guidelines.

"Right of Way Support (R/W SUP)" is used only for projects implemented by Caltrans. For all other implementing agencies, Right of Way Support costs are included in the Right of Way Capital component.

"Construction (CON)", including Caltrans "Construction Support (CON SUP)", is programmed in the fiscal year during which the construction contract(s) will be advertised. All construction costs that are associated with a single construction contract should be listed in one fiscal year. If a project will have multiple contracts to be advertised in different fiscal years, then the construction costs (including Caltrans support costs) may be programmed in multiple years. Regardless of the length of time over which the construction costs will be paid, the costs need to be programmed in the year in which the contract will be advertised.

"Construction Support (CON SUP)" is used only for projects implemented by Caltrans. For all other implementing agencies, Construction Support costs are included in the Construction Capital component.

All components must be fully funded. Generally the earlier components, such as project development, must be fully funded prior to programming later components such as construction.

In accordance with Section 47 "Program Year for Cost Components" of the CTC STIP Guidelines, all programmed component amounts must be escalated, and rounded to thousands.

Fiscal Years

Funding for each component is programmed according to appropriate fiscal year. The cost of each project component will be listed in the STIP no earlier than in the State fiscal year in which the particular project component can be delivered. Since the 2000 STIP covers a four-year period (FY 00/01 through FY 03/04) RTIP, ITIP and Grandfathered STIP funds may only be programmed in this four-year period. Any programming of STIP funds beyond the four-year period of the STIP must remain in the unprogrammed balance for programming in a later STIP cycle. Committed Non-STIP contributing funds for years beyond the four-year period of the STIP may be combined together into the "04/05+" column.

Any additional funds needed, but not yet committed for the project, may be shown for fiscal years FY 00/01 through FY 07/08 and beyond.

State statutes and Commission policies, such as the requirement that environmental clearance must be obtained prior to an allocation of funds for Right of Way acquisition or Construction, and, the Commission's Timely Use of Funds policy which prohibits STIP amendments to change the program year of funding for any component programmed in the current fiscal year or earlier, have direct impacts to project programming. These and other Commission policies as outlined in the Guidelines should be fully considered to ensure programming in the appropriate fiscal year(s). Therefore, the CTC STIP Guidelines should have been read and fully understood prior to preparation of the Funding Sheet, with particular attention to sections 43 "Project Descriptions" through 67 "STIP Amendments". Programming of STIP funds should be made only after reading these sections.

Program Code

"Program Code" is a number assigned by Caltrans to categorize different types of STIP projects funded through the RTIP, ITIP, "Grandfathered" STIP, federal Demo, STP and CMAQ programs.

The Program Code is used by Caltrans for the Transportation Accounting And Management System (TRAMS), to allow STIP projects to be categorized for program and project tracking purposes. The codes are to be assigned by the Caltrans District Offices. Fact Sheets may be submitted without a Program Code, but must be entered by Caltrans prior to CTC action. A list of the "FY 99/00 SHOPP/STIP/Toll Bridge Program Codes" is available at: <http://www.dot.ca.gov/hq/transport/stip.htm>

Funding Agency

The "Agency" is the agency providing the funding for the particular source of contributing funds. It is used only for Non-STIP funding contributions to identify the agency providing the non-STIP funds for the project.

Fund Type

The "Fund Type" is the type of funds contributed to the project. It is used to identify Non-STIP funding contributions to the project.

For federal TEA-21 High Priority projects, the project identification number shall be provided.

Within regions represented by a Metropolitan Planning Organization (MPO) the terminology used to describe the Fund Type should be the same as that used in the federal Transportation Improvement Program (TIP).

Comments

The "Comments" box is available to include any pertinent information regarding the funding. For example the fund source may be more fully described, or if funds are being reduced for a particular component, the reason for the reduction should be noted.

If the Funding Sheet is used to propose an amendment to an existing project, any information included in the comments box does not relieve the agency preparing the sheet from providing a STIP Amendment Request Letter with a detailed Summary, Background, Explanation and other pertinent information to support the proposed programming change.

Totals

The "Total" figures are formulas that automatically display the sum of funding, for each component over different fiscal years. The Total fields are protected so that the formulas are not accidentally corrupted.

FUNDING TABLES

To properly program a project in the STIP, three basic funding tables must be completed. The Existing Funding Tables show the funds as currently programmed. For new project funding nominations these funds would be \$0. The Proposed Funding tables show how the existing funds will be programmed following the proposed changes. That is, the proposed funding tables are the resultant funding status after the Commission action. The Additional Funding Table shows any additional funding needs to complete the project yet have not been committed to the project. The Proposed Funding Tables, along with the Additional Funding Needs Table, provide the Total funding picture for the cost, and are summed up in the Total Project Cost table.

EXISTING FUNDING

The Existing Funding Tables display the existing programmed funds from the Regional Transportation Improvement Program (RTIP), Interregional Transportation Improvement Program (ITIP), 'Grandfathered' STIP, and Non-STIP Contributions already programmed for the project. As such, these tables are almost exclusively used for amending existing projects.

The RTIP, ITIP and 'Grandfathered STIP' funding entered in these tables shall accurately reflect the current funding status of the project as displayed in the latest "Report of STIP Balances - County and Interregional Shares" as modified by any subsequent amendments. The Share Balances Report is available on the Internet at: <http://www.dot.ca.gov/hq/transprog/stip.htm>

The "Existing Non-STIP Funding Contributions" Tables display the existing committed non-STIP funding for the project. For each non-STIP funding contribution, the agency that proposes to commit the funds and the source from where the agency proposes the funding, need to be identified. If there are more than one source of non-STIP funds involved for a project, each of the fund sources must be identified in a separate table.

A full description of the non-STIP funding contributions must be provided to enable accurate display of the funding in the statewide database. Contributors 4, through 12 are available on the third, through fifth page of the Funding Sheet, if needed. If more than three Contributors are identified, the print area of the Excel Spreadsheet must be resized to include the additional contributors.

Any changes to the existing funding must be explained briefly in the Comments box. If the Funding Sheet is submitted as an attachment to a STIP Amendment Request, then the information included in the comments box does not relieve the agency preparing the sheet from providing a STIP Amendment Request Letter with a detailed Summary, Background, Explanation and other pertinent information to support the proposed amendment request.

If a component has funds programmed in a prior STIP fiscal year, the funds for that component will be entered in the "Prior" column.

If funding for a given fund source is being proposed for the first time, then the proposed funding is displayed in the Proposed Funds Table, and \$0 is entered in the Existing Funding Table under the corresponding components and fiscal years as the funds are being proposed. This is to help confirm that the funding is being added for the first time for this project.

Conversely, if existing funding for a given fund source is proposed to be completely deleted, then the existing funding is displayed in the Existing Funds Table, and \$0 is entered in the Proposed Funding Table under the corresponding components and fiscal years as currently programmed. This is to help confirm that the funding is being deleted in its entirety.

The total cost of the "Existing RTIP Funds", "Existing ITIP Funds", and "Existing Grandfathered STIP Funds" Tables is the total "STIP" amount displayed in the "Prior and Existing Funding" column of the "Total Project Component Costs" Section of the Fact Sheet. The total cost of the "Existing Non-STIP Funding Contributors" Table is the total "Other" amount displayed in the "Prior and Existing Funding" Column in "Total Project Component Costs" Section of the Fact Sheet. The TCRP funds need to be shown under "Non-STIP" funds

PROPOSED FUNDING

The Proposed Funding Tables display the proposed programmed funds from the Regional Transportation Improvement Program (RTIP), Interregional Transportation Improvement Program (ITIP), "Grandfathered" STIP, and Non-STIP Contributions proposed for the project. As such, these tables reflect the proposed funding of new project nominations, or in the case of amendments, the revised funding composition of the project, following approval of the proposed amendment by the Commission.

This table displays the proposed funding for the project for the given fund source. It identifies the total funds for each component of the project after the proposed nomination/amendment is approved. It is the summation of the funding shown on the "Existing Funds" table and the increase/decrease that is being requested. For example, if a project had \$100,000 programmed in the current RTIP for PS&E in the FY 00/01 and \$50,000 is to be added to this component in the same year, the "Existing RTIP Funds" column will show \$100,000 for PS&E under 00/01 and the "Proposed RTIP Funds" column will show \$150,000 (sum of the existing \$100,000 and the \$50,000 increase requested) for PS&E under FY 00/01. Funds removed from an existing component will be handled in a similar manner. If no change is being proposed to any of the information in the "Existing Funds" table, the information in the "Proposed Funds" table shall be exactly the same as in the "Existing Funds" table.

It is important to note the requirements of "Full and Partial Funding" in section 15 "Programming Project Components Sequentially" of the Commission adopted guidelines. This section allows a project to be programmed sequentially. That is, a project may be programmed for project development without being programmed for right-of-way or construction. However, a later component such as construction or right-of-way cannot be programmed without the project development or preliminary engineering being programmed, unless these components are not needed for the type of project involved. In such case, this fact shall be specified under the "comments". Note that the Commission will program a project component only if it finds that the component itself is fully funded, either from STIP funds or from other committed funds.

Note that the amount of any proposed Grandfathered STIP funds shall not be greater than the corresponding existing Grandfathered STIP funds. As such, use of the "Proposed Grandfathered STIP Funds" table is limited to such actions as to move the existing funding to a later fiscal year or to reduce the existing funding.

Note that changes to committed non-STIP contributing funds, or proposals of new non-STIP funding contributions, require a copy of the resolution or ordinance approving each proposal adopted by the agency with discretionary authority over the funds. For Federal discretionary funds, the commitment may be by Federal approval of a full funding grant agreement or by grant approval. The TCRP funds need to be shown under "Non-STIP" funds

If funding for a given fund source is being proposed for the first time, then the proposed funding is displayed in the Proposed Funds Table, and \$0 is entered in the Existing Funding Table under the corresponding components and fiscal years as the funds are being proposed. This is to help confirm that the funding is being added for the first time for this project.

Conversely, if existing funding for a given fund source is proposed to be completely deleted, then the existing funding is displayed in the Existing Funds Table, and \$0 is entered in the Proposed Funding

Table under the corresponding components and fiscal years as currently programmed. This is to help confirm that the funding is being deleted in its entirety.

PROPOSED TOTAL PROJECT COST

The "Proposed Total Project Cost" Table at the top of page one of the Funding Sheet provides an overview of the total funding proposed for each component of the project. All the information in this table is calculated automatically by summing up the values in the tables for "Proposed RTIP Funds", "Proposed ITIP Funds", "Proposed Grandfathered STIP Funds", "Proposed Non-STIP Contributors", and "Additional Funding Needs". For a new project that is being nominated for the RTIP or ITIP, the "Proposed Total Project Cost" table displays the total cost of the new project. When this sheet is used to amend an existing project, this table displays the revised total funding composition of the project, should the proposed amendment be approved by the Commission.

The amounts in the total column of this table equal the amounts in the "Total" column of the "Total Project Component Costs" Section of the Fact Sheet.

For new project Nominations, the component amounts in the total column of this table equal the sum of the amounts in the "Change in Funding" columns of the "Total Project Component Costs" Section of the Fact Sheet.

For STIP Amendments, the component amounts in the total column of this table may or may not equal the information provided under the "Change in Funding" columns of the "Total Project Component Costs" Section of the Fact Sheet. The reason for this is that the "Change in Funding" columns display only the actual change for each component whereas the proposed Total Project Cost table reflects the funding status of each component after the changes are approved.

ADDITIONAL FUNDING NEEDS

The "Additional Funding Needs" table displays the additional funding needs that have been identified for the project but have not yet been committed.

Note that components must be fully funded. If earlier components are shown to have additional funding needs that are not yet committed, the later components cannot be programmed into the STIP even if the later ones are fully funded.

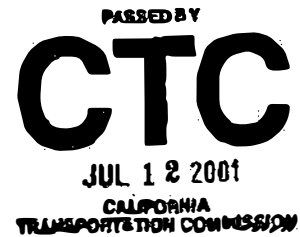
Amounts entered into the "Additional Funding Needs" table are included by formula in the "Proposed Total Project Cost" table at the top of page one of the Funding Sheet.

The component amounts in the total column of this table equal the amounts in the "Total" column of the "Total Project Component Costs" Section of the Fact Sheet.

CTC STIP GUIDELINES

The CTC STIP Guidelines should have been read and fully understood prior to preparation of the Fact/Funding Sheets. The Guidelines and templates of the Fact/Funding Sheets are located at <http://www.dot.ca.gov/hq/transportation.htm>

This page intentionally left blank



CALIFORNIA TRANSPORTATION COMMISSION
Adoption of PSR Guidelines

Resolution G-99-33
Replacing Resolution G-99-30

- 1.1 WHEREAS in accordance with section 65086.5(d) of the Government Code, the California Department of Transportation (Department), in consultation with cities, counties, regional transportation planning agencies, and county transportation commissions, prepared Project Study Report (PSR) Guidelines adopted by the Commission on September 12, 1991, and
- 1.2 WHEREAS the Guidelines require updating because of changes in regulations, policies, and statutes as a result of Senate Bill (SB) 45, and
- 1.3 WHEREAS the Department submitted revised Guidelines to the Commission on July 14, 1999, and
- 1.4 WHEREAS the proposed PSR Guidelines provide the policy, standards, and criteria the Commission expects that agencies will use in the development of PSRs, and
- 1.5 WHEREAS in accordance with section 65086.5(d) of the Government Code, the Commission is required to adopt the PSR Guidelines, and
- 1.6 WHEREAS Chapter 783 of the Statutes of 1999 (AB 1012, Torlakson) has been enacted and requires guidelines for an expedited process through which projects may comply with the requirement that a PSR be prepared in order for a project to be considered for programming in the STIP, and
- 1.7 WHEREAS the proposed PSR Guidelines meet the intent of the provisions for an expedited process as required in AB 1012.
- 2.1 NOW THEREFORE BE IT RESOLVED the California Transportation Commission does hereby adopt the PSR Guidelines as proposed, and
- 2.2 BE IT FURTHER RESOLVED the adopted PSR Guidelines shall supersede the PSR Guidelines adopted by the Commission on September 12, 1991.
- 2.3 BE IT FURTHER RESOLVED that Caltrans will report to the Commission on a monthly basis the number of PSRs that have been approved by the Department and the number of appeals that have been made to the Chief Engineer. The report will include a listing of the specific projects that have been appealed. Upon receipt of the report, the Commission may include, on a future meeting agenda, an item to discuss an appealed PSR.

GUIDELINES FOR THE PREPARATION OF PROJECT STUDY REPORTS

I. Introduction

On September 12, 1991, the California Transportation Commission adopted guidelines for the preparation of Project Study Reports (PSR) pursuant to Chapter 715, Statutes of 1990 (AB 2038). The purpose of the guidelines was to assure a consistent approach in the preparation of PSRs regardless of who prepared the document.

Chapter 622 of the Statutes of 1997 (SB 45, Kopp - STIP Reform) was enacted on January 1, 1998 and has modified programming responsibilities for the State Transportation Improvement Program (STIP). Additionally, Chapter 783 of the Statutes of 1999 (AB 1012, Torialson) was enacted on October 10, 1999 and provides provisions for an expedited process for projects to meet the requirement that a project study report be prepared to be considered for STIP programming. These guidelines have been prepared to be consistent with these legislation and it supersedes the September 12, 1991 guidelines.

II. Applicability

These guidelines shall apply to all projects proposed for STIP programming through the Regional Transportation Improvement Program (RTIP) or the Interregional Transportation Improvement Program (ITIP). Its purpose is to assure a consistent and uniform approach in the preparation of Project Study Reports and project study report equivalents once a decision has been made to prepare this report. The decision to prepare a Project Study Report is a cooperative effort between the Caltrans Districts and their respective regional transportation planning agencies or county transportation commissions.

Additionally, some regional transportation planning agencies or county transportation commissions may use the SB 45 Planning Memorandum of Understanding (MOU) to provide a framework under which the Caltrans Districts and regional transportation planning agencies or county transportation commissions will cooperatively work together and communicate throughout the planning process and through completion of the Project Study Report, while other regional transportation planning agencies or county transportation commissions may already have established ongoing procedures for cooperatively working together in developing Project Study Reports.

III. Definition

Project Study Reports and project study report equivalents are engineering reports whose purpose is to document agreement on the scope, schedule, and estimated cost of a project so that the project can be considered for inclusion in a future programming document such as the STIP. (PSRs are also used by Caltrans for certain project candidates for the State Highway Operation and Protection Program (SHOPP) and the Toll Bridge Program and for certain locally funded projects on the State highway system.)

Project Study Reports are prepared for State highway projects. The format of a PSR and its content are outlined in Caltrans Project Development Procedures Manual. Project study report equivalents are prepared for projects not on the State highway system. A project study report equivalent contains the same information required in a PSR, but need not be in the same format as a PSR.

IV. Existing Law

Under State law (Government Code section 14529(e)), the State Transportation Improvement Program (STIP) is limited to projects submitted or recommended through the Caltrans Interregional Transportation Improvement Program (ITIP) or a region's Regional Transportation Improvement Program (RTIP). The law further provides that neither the ITIP nor and RTIP may include a project without a Project Study Report or project study report equivalent (Government Code sections 14526(b) and 14527(g)).

Chapter 622 of the Statutes of 1997 (SB 45, Kopp) provided the framework to allow environmental and design support components to be programmed in the STIP prior to the programming of right-of-way and construction capital components. Chapter 783 of the Statutes of 1999 (AB 1012, Turlakson) has further emphasized the need and use of the PSR (Project Development Support) to facilitate the expeditious programming of projects while meeting the requirements of completing a project study report for STIP programming considerations. These guidelines provide the use of Project Study Reports to program the project development support components. The PSR (Project Development Support) is the appropriate document for programming these support components.

Permanent STIP Guidelines have been adopted by the Commission to assist Caltrans and the regions in the development of the future STIP and to provide further guidance on the implementation of SB 45.

V. Preparation and Review

For projects on the State highway system, it is expected that during the development of a project and the preparation of the Project Study Report, there is open and continuous communication between Caltrans, the sponsoring agency (if applicable), and the regional transportation planning agency/county transportation commission.

Caltrans will work cooperatively with the sponsoring local agency and regional transportation planning agency/county transportation commission to determine the appropriate programming strategy for the project. The Project Study Report (Project Development Support) shall be used to facilitate the programming of support costs to complete the environmental process and/or the design phase of a project.

Caltrans will prepare and approve Project Study Reports on the State highway system or will review and approve Project Study Reports prepared by local agencies for projects proposed on the State highway system pursuant to Government Code section 65086.5(c). By statute, Caltrans is required to review and provide comments within 60 days of the PSR submittal by the local agency. Upon submittal of the revised PSR by the local agency, Caltrans is required to complete its review within 30 days. This process is repeated until the PSR is approved.

For projects not on the State highway system, project study report equivalents will be prepared by the local agency having jurisdiction on the local street or road. Project study report equivalents for these projects do not require review and approval by Caltrans unless the proposed project impacts the State right-of-way or facility. If there is an impact, Caltrans review will only be on the portion of the State right-of-way or facility that is impacted.

VI. Approval Authority

Caltrans or local agencies are responsible for approving projects proposed on State highways or local streets and roads within their respective jurisdictions. Specifically:

1. Caltrans will approve all Project Study Reports for projects on the State highway system.
2. The appropriate city or county will approve all project study report equivalents for projects that are on a local street or road within its respective jurisdiction.

Unless they are the lead agency for a project, regional transportation planning agencies and county transportation commissions do not approve Project Study Reports or project study report equivalents. Regional transportation planning agencies and county transportation commissions may, at their option, retain approval authority for project study report equivalents prepared for projects off the State highway system. However, prior to programming a project in the RTIP, regional transportation planning agencies and county transportation commissions are responsible to verify that a Project Study Report or project study report equivalent has been prepared and that the information contained within is sufficient for programming purposes.

The PSR or project study report equivalent is not required to be submitted with the RTIP or ITIP. However, the Commission or its staff may request copies of a project's report to document the project's cost or deliverability.

VII. Executive Review Committee

An Executive Review Committee will be established in each District to ensure that the project scope, cost, and schedule address transportation needs and provide optimal traffic operations and safety for those who travel and work on the state highway system. Either Caltrans, the sponsoring local agency, or regional transportation planning agency/county transportation commission may request that a project be reviewed by the District Executive Review Committee. The Committee will assess whether the scope, cost and schedule have been adequately identified and addressed in the Project Study Report.

The members of the Committee shall include the District Division Chief for Design, the District Division Chief for Planning, the District Division Chief for Program/Project Management, a regional transportation planning agency/county transportation commission representative, and a local agency representative. The regional transportation planning agency/county transportation commission representative and the local agency representative shall be independent of the proposed project and will be appointed by the District Director. The Executive Review Committee will make a final recommendation to the District Director.

In the event that issues cannot be resolved through this Committee, a final appeal may be made to the Deputy Director for Project Development (Chief Engineer) for final consideration.

Caltrans will report on a monthly basis to the Commission the number of PSRs that have been approved by the Department and the number of appeals that have been made to the Chief Engineer. The report will include a listing of the specific projects that have been appealed. Upon receipt of the report, the Commission may include, on a future meeting agenda, an item to discuss an appealed PSR.

VIII. Intent

The California Transportation Commission intends that Project Study Reports and project study report equivalents will be prepared to the quality and breadth of examination necessary to define the scope, schedule, and cost estimate of a project. The Commission intends that the process and requirements for PSRs and project study report equivalents be as simple, timely, and workable as practical, given that they must be prepared at the front end of the project development process, before in-depth environmental evaluation and detailed design. They must provide a sound basis for commitment of future state funding and project delivery. A PSR or project study report equivalent also provides a key opportunity to achieve consensus on project scope, schedule, and proposed cost. The Commission also intends that PSRs and project study report equivalents will not forestall or preclude the programming of a project. Use of the Project Study Report (Project Development Support) will enable the programming of the project development support components to allow engineering and environmental studies to proceed to evaluate the merits and feasibility of alternatives before a preferred alternative is selected for the programming of right-of-way and construction on capital costs.

IX. Report Standards

The Project Study Report or project study report equivalent shall be prepared under the direction of a California registered Civil Engineer. The document will be stamped and signed as such.

A Caltrans Project Manager will be assigned to every capital outlay project on the State highway system, including projects sponsored by a local agency. The Project Manager is the single focal point for the project, is responsible for obtaining consensus on project scope, cost and schedule, and is responsible for the delivery of a quality project on time and within budget. The Project Manager is responsible for all project development activities from project initiation through closeout of the construction contract. Similarly, for projects not on the State highway system, the responsible local agency will assign a Project Manager or will designate the person most knowledgeable about the project, who shall be responsible for answering all project-related questions from Caltrans or the Commission.

The PSR or project study report equivalent shall include, at a minimum, the following information as appropriate to address the specific project:

- Need and purpose for the project
- Background and project history
- Discussion and analysis of the alternatives (including project costs) that satisfy project need and purpose. The discussion of alternatives should include a Minimum Project Alternative. Project costs shall be summarized in the project components as follows:
 1. Completion of all permits and environmental studies
 2. Preparation of plans, specifications, and estimates
 3. Acquisition of right-of-way
 4. Construction and construction management and engineering, including surveys and inspection

For projects on the State highway system, project component No. 3 and No. 4 shall be further distinguished as follows:

- 3a. Right-of-way capital
 - 3b. Acquisition of right-of-way (support/soft costs)
 - 4a. Construction capital
 - 4b. Construction management and engineering, including surveys and inspection
- System planning, including coordination and consistency with statewide, regional, and local planning
 - Inventory of environmental resources, identification of potential environmental issues and anticipated environmental processing type. Potential mitigation requirements and associated costs should also be identified.
 - Description of potential hazardous materials/waste problems and potential mitigation or avoidance. Associated costs should also be identified.
 - Identification of the potential or proposed sources of funding, project funding eligibility (e.g., "Federal aid eligible"); discussion of proposed implementation, and the tentative delivery schedule of the significant milestones. Significant milestones include:
 - Start Environmental Studies
 - Draft Environmental Document
 - Final Environmental Document
 - Begin Design Engineering
 - Completion of Plans, Specifications, and Estimates
 - Start Right-of-Way Acquisition
 - Right-of-Way Certification
 - Ready to Advertise
 - Start Construction (Contract Award)
 - Project Completion
 - Identification of the potential programming and funding of the project
 - Appropriate supporting attachments (i.e., maps, advance planning studies, cost estimate sheets, etc.)
 - Project Nomination Fact Sheet as described in the STIP Guidelines shall be included as an attachment. Template for this Fact Sheet may be found on the Internet at: <http://www.dot.ca.gov/hq/transprog/stip.htm>.

X. Cost Estimates

The Project Study Report (and equivalent) cost estimate is to be based on preliminary-level engineering, but needs to be to the level of detail that, when considering the project for programming, will provide a reasonable approximation of the funding and staff resources that will be needed to deliver the project within the proposed schedule as outlined in the report.

Project costs shall be summarized in the project components identified above in "Report Standards". Although a Project Study Report or project study report equivalent may focus on the project components proposed for programming (i.e., "completion of all permits and environmental studies"), a preliminary cost estimate for all project components must be included in the PSR or PSR equivalent. This will enable the regional transportation planning agencies, county transportation commissions, Caltrans, and the Commission to evaluate future program needs for construction compared to anticipated future program capacity.

In preparing the capital cost estimates, the degree of effort and detail for each study is expected to vary depending on the complexity and sensitivity of the issues. A cost breakdown for each of the major elements (i.e., roadway, structures, utility relocation, right-of-way acquisition, etc.) of the project must be provided. A contingency factor to cover unanticipated items of work or cost increases may be applied. Generally, a factor of 25% is acceptable. However, a higher or lower percentage may be used, if justified. In addition, the accuracy of cost estimates is usually less for PSRs which involve project development support (also known as "PSR (Project Development Support)") than it is for standard PSRs or PSR equivalents.

XI. Documents Meeting Report Standards

Although regional transportation planning agencies and county transportation commissions who are responsible for the programming of projects in the RTIP may, at their option, adopt additional standards, policies and procedures for projects off the State highway system, the use of the following documents meets the above-mentioned report standards:

1. Project Study Report and Project Study Report (Project Development Support) as outlined in Caltrans Project Development Procedures Manual (PDPM). This is the standard for all projects proposed on the State highway system regardless of who prepares the document or is the project sponsor. Caltrans may in the future make changes to the PDPM which are technical in nature. Technical changes to the PDPM which relate to project study reports will be shared with Commission staff. Changes to policy require adoption by the Commission.

For retrofit noise barrier projects, the Noise Barrier Scope Summary Report (NBSSR) outlined in Caltrans Project Development Procedures Manual is an appropriate document.

The Caltrans Project Development Procedures Manual can be found on the Internet at: <http://www.dot.ca.gov/hq/oppd/>.

2. Preliminary Environmental Study (PES) form and the Field Review Form

as described in Caltrans Local Assistance Procedures Manual (LAPM). This is the standard for all projects proposed off the State highway system and is equivalent to the Project Study Report. Agencies may also, at their option, adopt Caltrans' Project Study Report for use on projects that are not on the State highway system. Caltrans may in the future make changes to the LAPM which are technical in nature. Technical changes to the LAPM which relate to project study report equivalents will be shared with Commission staff. Changes to policy require adoption by the Commission.

The Caltrans Local Assistance Procedures Manual can be found on the Internet at: <http://www.dot.ca.gov/hq/LocalPrograms/>.

3. Project Study Report (Local Rehabilitation). This document is an appropriate document for pavement rehabilitation projects proposed off the State highway system and can be used by agencies at their option. This PSR format was transmitted to all Regional Transportation Planning Agencies and County Transportation Commissions in a letter dated December 8, 1998 from Mr. Robert L. Buckley, Program Manager, Design and Local Programs. It can also be found on the Internet at: <http://www.dot.ca.gov/hq/LocalPrograms/>.
4. Uniform Transit Application. The Commission's Uniform Transit Application is the appropriate document for transit projects.
5. TEA Application. An application prepared in accordance with the Commission's Transportation Enhancement Activities (TEA) program guidelines is the appropriate document for TEA projects.

**LOCAL ROAD REHABILITATION
PROJECT CERTIFICATION**

Local Agency Letterhead

To: (Regional Transportation Planning Agency)
(Address)

Date:

The City/County of _____ submits the following local road rehabilitation project for certification that the project is in compliance with California Transportation Commission guidelines.

Project Description: _____

Street/Road	From ----- to -----	Local Road Facility (Pavement, drainage structure, bridge, cut slope, embankment, etc.)	PPNO	Rehabilitation Strategy (Resurfacing, chip seal, seal coat, restoration of existing facility, etc.)	Service Life (Years)

The project listed above meets the following standards:

- The type of work is eligible for local road rehabilitation, and excludes routine maintenance work, as described in Section II-D-9, "Eligibility of Rehabilitation Projects" of the *Procedures for Administering Local Agency Grant projects in the State Transportation Improvement Program*.
- For pavement rehabilitation, the estimated number of years the work will extend the service life of the facility is documented in a PSR or equivalent signed by a registered civil engineer.
- Pavement rehabilitation strategies with less than 10 years service life have been determined by a Pavement Management System (PMS) to be cost effective and have a service life of 5 years or more. (Attach PMS certification if appropriate.)
- The work does not degrade any existing safety or geometric aspect of the facility.

City/County Signature _____ Title: _____

Regional Transportation Planning Agency/County Transportation Commission Certification:

The _____ (Regional Transportation Planning Agency/County Transportation Commission) certifies the projects listed above meet California Transportation Commission guidelines.

Signature _____ Title _____ Date: _____

This page intentionally left blank

**PAVEMENT MANAGEMENT SYSTEM (PMS)
CERTIFICATION**

STATE TRANSPORTATION IMPROVEMENT PROJECTS

Local Agency Letterhead

To: (Regional Transportation Planning Agency/County Transportation Commission)
(Address)

Date :
PPNO:c
Project Description :

The City/County of _____ certifies that it has a Pavement Management System (PMS) and the project meets the criteria described in Section 23.2 of this chapter. A system must be in place to meet standards for pavement rehabilitation projects programmed in the STIP.

The system was developed by _____ and contains, at a minimum, the following elements :

- Inventory of all existing pavements under the City/County jurisdiction.
Centerline miles: _____
Total lane miles (or equivalent units) _____
The last update of the inventory was completed _____, 20__
- Identification of sections of pavement needing rehabilitation
Total lane miles (or equivalent units) _____
- Estimate of the cost to rehabilitate deficient sections \$ _____
- A procedure to identify rehabilitation strategies that are cost effective
(Briefly describe it on an attached sheet.)

You may direct any questions regarding the system to _____ at _____
(name) (phone number)

Signature _____ Title: _____

This page intentionally left blank

This page intentionally left blank

PPNO: c c c c
EA: c c c c

(Brief Project Desc.)

Reimbursable work was started prior to this request for allocation.

FUNDING ALLOCATION CHECKLIST

LOCAL HIGHWAY PROJECTS

B. This checklist is to be completed by the local agency and attached to the Request for Funding Allocation. (Not required for PPM and Rideshare Projects.)

C. Type of Project

- | | |
|--|---|
| <input type="checkbox"/> New Highway Facility
<input type="checkbox"/> Widen Existing Facility
<input type="checkbox"/> Pedestrian and bicycle facilities
<input type="checkbox"/> Soundwalls
<input type="checkbox"/> Grade separation
<input type="checkbox"/> Internodal facilities
<input type="checkbox"/> Other (describe) <u> c c c c c c c c c c c c </u> | <input type="checkbox"/> Storm Damage Repair
<input type="checkbox"/> Local Road Rehabilitation
<input type="checkbox"/> Reconstruction (See Section III.A.3 of Procedures for definition) (describe) _____
<input type="checkbox"/> Transportation system management
<input type="checkbox"/> Safety |
|--|---|

Fund Allocation Summary

20 <u> </u> STIP (as amended) Regional Improvement Program			Fund Allocation		
Project Component	Amount	Fiscal Year	Previous	This Request	Total
Environmental Studies & Permits	\$ _____	/ _____	\$ _____	\$ _____	\$ _____
Plans, Specifications & Estimate	\$ _____	/ _____	\$ _____	\$ _____	\$ _____
Right of Way	\$ _____	/ _____	\$ _____	\$ _____	\$ _____
Construction	\$ _____	/ _____	\$ _____	\$ _____	\$ _____
Total	\$ _____		\$ _____	\$ _____	\$ _____

D. HIGHWAY FUNCTIONAL CLASSIFICATION
(Check appropriate box)

E. Eligible for Federal-aid

- | | |
|--|--|
| <input type="checkbox"/> Urban Principal Arterial
<input type="checkbox"/> Urban Minor Arterial
<input type="checkbox"/> Urban Collector | <input type="checkbox"/> Rural Principal Arterial
<input type="checkbox"/> Rural Minor Arterial
<input type="checkbox"/> Rural Major Collector |
|--|--|

Ineligible for Federal-aid

- | | |
|--------------------------------------|--|
| <input type="checkbox"/> Urban Local | <input type="checkbox"/> Rural Minor Collector
<input type="checkbox"/> Rural Local |
|--------------------------------------|--|

STATE-ONLY FUNDING APPROVAL

1. Indicate type of funding

- Federal/State (Skip to question No. 5)
- State-only

2. Is the State-only funding approved?

- Yes
- No

If yes, indicate the type of approval and then skip to question No. 5

- Project included in an approved projects list (attach approved projects list)
 - 1998 STIP Projects Flagged for State-Only
 - Grandfathered Projects – '96 STIP
 - Projects Granted SOF
- Capital project under \$750,000 (total amount programmed for all components in the STIP)
- State funds used to match federal funds
- Granted state-only funding exception by Caltrans after publication of the current approved projects list (attached copy of approval)

3. Is this a local road rehabilitation project equal to or greater than \$750,000 identified in the 1998 STIP Augmentation?

- Yes
- No

In accordance with Commission policy, state-only funding was to be provided for all rehabilitation projects identified in the 1998 STIP Augmentation, regardless of cost. However, this was not a commitment that state-only funding would be available at the time of allocation. If the answer to this question is "Yes", attach specific reasons why federal funds should not be used on the project at this time. See the current "STIP State-Only Funding Policy" (www.dot.ca.gov/hq/transprog) for evaluation criteria Caltrans will consider before approving this request.

4. If the answers to questions 2 and 3 are both "No", complete the Checklist and submit the "Request for Exception to STIP State-Only Funding Policy" form, for approval by the Commission. (Regional Transportation Planning Agency concurrence required.)

LOCAL ROAD REHABILITATION PROJECTS

5. Has the Regional Transportation Planning Agency (RTPA) certified that the project meets the standard for rehabilitation?

- Yes
- No

If "Yes", attach copy of Local Road Rehabilitation Project Certification and skip to next section.
If "No", this Request for Funding Allocation will not be processed until the Certification is provided.

DELEGATED ALLOCATION AUTHORITY BY CALTRANS

6. Is this Request for STIP Funding Allocation eligible for approval by Caltrans?

- Yes
- No

If "Yes", indicate type of eligibility

- Local road rehabilitation
- Project development component < \$1.5 million
- RSTP/CMAQ/TEA match reserves

Note: For local road rehabilitation projects, the RTPA must certify project is in compliance with Commission guidelines prior to Caltrans processing of requests for funding allocations. Attach copy of Certification.

7. Has the project description or scope changed from the Project Nomination Sheet?

- Yes
 No

8. Will this request cause the Total Allocation to exceed the amount programmed for any component?

- Yes
 No

9. Will this request require a funding advance?

- Yes c Right-of-Way Construction
 No

If the answer to questions 7, 8, or 9 is "Yes", the "Request for STIP Funding Allocation" may require approval by the California Transportation Commission. Regardless of the type of project, advance allocations must include written concurrence from the Regional Transportation Planning Agency. (Note: A Commission Resolution allows Caltrans to advance projects eligible for delegated allocation by up to two fiscal years.) Right-of-Way and Construction allocations for local grant projects other than match to federal funds or for local street and road rehabilitation projects require approval by the Commission.

ENVIRONMENTAL CLEARANCE REQUIREMENTS

10. Is this request limited to funding for the Environmental Studies component?

- Yes
 No

If "No", a completed CEQA Environmental Document is required.

For certain types of projects that do not result in either direct or indirect change in the physical environment, a formal CEQA document may not be needed. An example of this type of project is installing bicycle racks on buses. Consult Caltrans Environmental office for interpretations.

11. Is this request for a project with any federal funds (STIP or non-STIP)?

- Yes
 No

If "No", skip question 12, a NEPA Environmental Document is not required.

12. Is this request for Right of Way or Construction funding?

- Yes
 No

If "Yes", a completed NEPA Environmental Document is required.

CONSULTANT CONTRACT PREAWARD AUDIT REQUIREMENTS

13. Will consultants perform any portion of the work on the requested component?

- Yes
 No

If "Yes," answer the following questions. If "No," skip to #15.

Any contracts >\$250,000?

- Yes
 No

If "No", Preaward audit not required, skip to question #15.

14. Status of the audit

- Completed (attach "Audit Disposition" letter)
 To be completed by Caltrans ("Preaward Audit Request Letter" must be sent to DLAE).
 To be completed by local agency or hired Certified Public Accountant at a later date. Submit "Audit Disposition" letter to the DLAE prior to entering into a contract with the consultant(s).

ESTIMATED TIMELY USE OF FUNDS DEADLINES

15. Requested Funding Allocation Approval date _____

16. Is this request for Project Development costs (Environmental Studies or PS&E)?

- Yes
- No

If "Yes", complete the following:

Estimated expenditure deadline for this project development allocation: _____
(Enter June 30th of the end of the second fiscal year after the requested approval date.) Expenditures after this date will not be reimbursed and no adjustment will be made to the county share balance for the under-expenditure unless the Commission extends the deadline.

17. Is this request for Right of way costs?

- Yes
- No

If "Yes", complete the following:

Estimated expenditure deadline for this right of way allocation: c _ c _ c _____

(Enter June 30th of the end of the second fiscal year after the requested approval date.) Expenditures after this date will not be reimbursed and no adjustment will be made to the county share balance for the under-expenditure unless the Commission extends the deadline.

18. Is this request for Construction costs?

- Yes
- No

If "Yes", complete the following:

Estimated award deadline for this allocation: _____ (date)

(Enter the date that is 12 months after the date of the requested approval date.) If the project is not awarded by this date, the funding will be rescinded with no adjustment to county shares unless the Commission extends the deadline.

Based on the requested funding approval date shown above, we estimate that we will award a contract for this project on c _ c _____ (enter date) and complete the contract on _____ c (enter date).

Estimated expenditure deadline for this construction allocation c _ c _ c _____ (Enter the date that is 36 months after the estimated award date shown above.) If it is estimated the contract will not be completed and accepted by this date, attach justification for the extra time required to complete the contract.

REGIONAL TRANSPORTATION PLANNING AGENCY CONCURRENCE

19. Will this request require approval of an exception to the policy described in the current Commission-adopted "STIP State-Only Funding Policy?" (Question 2)

- Yes
- No

20. Will this request change the project description, scope, exceed the amount programmed, or require an advance? (Questions 7, 8 and 9)

- Yes
- No

21. Has the Regional Transportation Planning Agency passed a resolution requiring their concurrence on all requests for STIP funding allocations?
- Yes
 - No

If the answer to question 19, 20, or 21 is "Yes", the RTPA must sign the "Request for Funding Allocation" form.

Prepared by _____ Date _____ Phone No. _____

Title _____

This page intentionally left blank

F. Status of Project

1) Completion of Environmental Document:

CEQA - Describe document type and date. (Required for all components except environmental studies)
NEPA - Describe document type and date. (Required for Right of Way and Construction, if applicable)

2) Right of Way Certification:

If this request is for Federal Construction funding, indicate the date right of way has been certified (or will be certified) for the project.

3) Construction

If this request is for Construction funding, whether project is ready to advertise (or the date the project will be ready to advertise.)

G. Timely Use of Funds

We request that [the Commission *or* Caltrans] allocate these funds [at the _____ meeting *or* by _____.] (use appropriate wording per Checklist instructions)

(Indicate the actual date that work on the project component commenced, if work on this component started prior to allocation as allowed by the provisions of AB 872. Eligible work with costs incurred up to 12 months before allocation will be reimbursed subject to the limitations described in Section 23.3, Chapter 23 of the *Local Assistance Program Guidelines*.)

H. Local Agency Certification:

This Request for Funding allocation has been prepared in accordance with the *Procedures for Administering Local Grant Projects in the State Transportation Improvement Program (STIP)*. I certify that the information provided in the attached checklist is accurate and correct. I understand that if the required information has not been provided this form will be returned and the funding allocation may be delayed. Please advise us as soon as the fund allocation has been approved. You may direct any questions to _____ at _____

Signature _____ (name) _____ (phone number)
Title: _____ Date: _____

I. Regional Transportation Planning Agency/County Transportation Commission Concurrence:
(See attached Request for Funding Allocation Checklist for requirements.)

Concurred

Signature _____ (Title) _____ (Agency/Commission) Date: _____

J. Caltrans District Local Assistance Engineer Acceptance:

I have reviewed the information submitted on the Request for Funding and agree it is complete and has been prepared in accordance with the procedures outlined in Chapter 23 of the *Local Assistance Program Guidelines*.

Signature _____ (Title) _____ Date: _____

Attachments:

- Project Nomination sheet
- Funding Allocation Checklist
- Others (as required, i.e., state only funding exception approval, Justification for construction deadlines longer than 36 months, Preaward Audit Request, Audit Disposition letter, State-only Finance Letter, Local Road Rehabilitation Project Certification, etc.)

Distribution: (1) Original+ 1 copy to DLAE (2) copy to Regional Planning Agency/County Transportation Commission