



THE DIVISION OF LOCAL ASSISTANCE PROJECT IMPLEMENTATION OFFICES

ALLOCATIONS & AUTHORIZATIONS

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Roles and Responsibilities



Federal Highway
Administration



California
Transportation
Commission



HQ Project
Implementation
Team



Regional & Local
Agencies



District Local
Assistance
Engineer

Local Assistance – Quick Facts for California

- ◆ At any given time, there are about 5,000 “active projects” (of these, 4,000 are federal) among 680 agencies
- ◆ These active projects represent \$9 billion in federal funds, and \$16 billion in total funds
- ◆ Federal funds for local agencies are roughly \$1.5 billion per FFY; we process 2,000 authorizations and over 7,000 progress invoices per FFY

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Outline

- ◆ CTC Allocation Overview and Process
- ◆ Federal Authorization Overview and Process
- ◆ Allocation/Authorization Combined Processes
- ◆ Pitfalls and Challenges
- ◆ Best Practices

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State Allocations



What are the State Funding Programs?

- ◆ Senate Bill 1 (SB1)
 - Local Partnership Program (LPP)
 - Solutions for Congested Corridors (SCCP)
 - Trade Corridors Enhancement Program (TCEP)
- ◆ State Transportation Improvement Program (STIP)
- ◆ Active Transportation Program (ATP)

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SB1 Websites



Department's SB1 Information:
www.rebuildingca.ca.gov

CTC's SB1 Program and Augmented Program Info:
www.catc.ca.gov/programs/sb1/

SB1 Accountability and Transparency Guidelines:
<http://catc.ca.gov/programs/sb1/reforms/>

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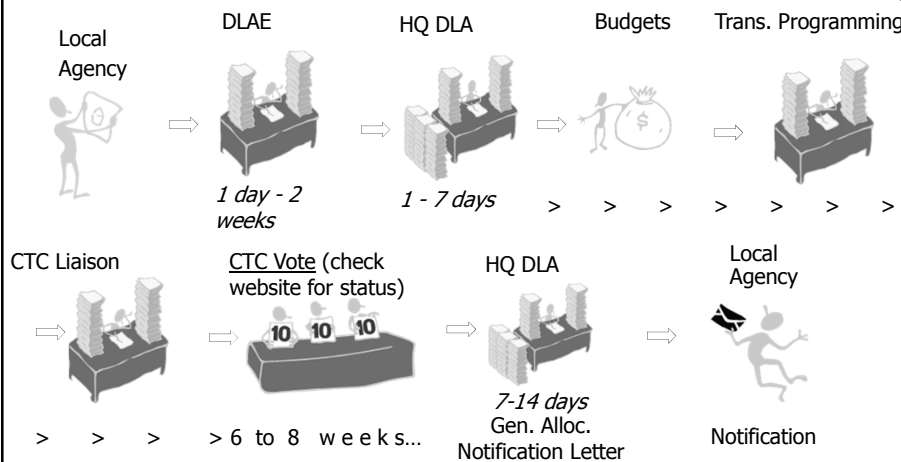
When Should an Agency Request an Allocation?



- After funds for project or project component are programmed in the STIP, ATP, SB1.
- During the State Fiscal Year in which those funds are programmed.
- When ready to begin reimbursable work.
- Before awarding a contract.
- 7 weeks before the actual CTC vote takes place!!!

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Allocation Processing Time



Follow CTC Meeting schedule deadlines!!!

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CTC Meeting Prep Schedule



2018 PREPARATION SCHEDULE
CALIFORNIA TRANSPORTATION COMMISSION (CTC) MEETINGS
AGENDA ITEM(S) DUE DATES

Prepared by:
OFFICE OF CTC LIAISON
DIVISION OF TRANSPORTATION PROGRAMMING
CALIFORNIA DEPARTMENT OF TRANSPORTATION
<http://www.dot.ca.gov/hq/transprog/ctcliaison.htm>

Effective:
September 2017

2018 California Transportation Commission (CTC) Meeting Schedule	Local Agency Submits Off System Funds Requests, Program Amendments, and Time Extensions to Caltrans Districts (and CTC Staff for Prop 116 Rail)	District Submits Off System and On System Requests to HQ Divisions	HQ Divisions Submit Final Off System and On System Requests to Budgets	Final Agenda Language Due From HQ Divisions to Office of CTC Liaison	Final Book Items Due from HQ Divisions to Office of CTC Liaison
Date and Location:	10:00 AM District & CTC	10:00 AM HQ Divisions/ Funds Request email	5:00 PM Budgets	10:00 AM CTC Liaison	10:00 AM CTC Liaison
Jan 31 - Feb 1 - Sacramento Area	Mon, Dec 4, 17	Mon, Dec 11, 17	Mon, Dec 18, '17	Thu, Dec 28, '17	Thu, Jan 4, '18
March 21-22 - Los Angeles	Mon, Jan 22, 18	Mon, Jan 29, 18	Mon, Feb 5, '18	Wed, Feb 14, '18	Thu, Feb 22, '18
May 16-17 - San Diego	Mon, Mar 19, 18	Mon, Mar 26, 18	Mon, Apr 2, '18	Wed, Apr 11, '18	Thu, Apr 19, '18
June 27-28 - Sacramento Area	Mon, Apr 30, 18	Mon, May 7, 18	Mon, May 14, '18	Wed, May 23, '18	Thu, May 31, '18
August 15-16 - San Francisco	Mon, Jun 18, 18	Mon, Jun 25, 18	Mon, Jul 2, '18	Wed, Jul 11, '18	Thu, Jul 19, '18
October 17-18 - Central Valley	Mon, Aug 20, 18	Mon, Aug 27, 18	Tue, Sep 4, '18	Wed, Sep 12, '18	Thu, Sep 20, '18
December 5-6 - Riverside	Mon, Oct 8, 18	Mon, Oct 15, 18	Mon, Oct 22, '18	Wed, Oct 31, '18	Thu, Nov 8, '18

E&P (aka PA&ED) Allocation Submittals



- Request for Allocation, Exhibit 22-O or 23-O
- Funding Allocation Checklist, Exhibit 22-N or 23-N
 - **Releasing New Allocation Request form!!**
- Finance Letter, Exhibit 22-C, 23-C, or 3-O
- Programming Info, FTIP, CTIPS, ATP, SB1, etc
- Project Programming Request Form and Funding Information, Exhibit 22-G or 23-G/H
- Subject to Timely Use of Funds

Federal PE phase = State E&P/PA&ED and PS&E components

RTPA/MPO Concurrency



Division of Local Assistance

Page 3 of 3

Funding Allocation Request Data Form

4. REQUEST FOR ADVANCE OF FUNDING

Is this request for funding programmed in a future Fiscal Year? No

Provide justification below if yes.

5. ESTIMATED TIMELY USE OF FUNDS DEADLINES

6. RTPA/MPO CONCURRENCE

The RTPA must sign the "Request for Funding Allocation" form if any of the below applies:

- Will this request change the project description, scope, exceed the amount programmed, or require an advance?
- Has the RTPA/MPO passed a resolution requiring their concurrence on all requests for funding allocations?

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PS&E and R/W Allocation Submittals



Same as E&P, but also includes:

- CEQA document type and approval date (for projects that are not exempt, local agency must submit final environmental document directly to the CTC)
- NEPA document if federalized
- Subject to Timely Use of Funds

Federal PE phase = State E&P/PA&ED and PS&E components

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Construction Allocation Submittals



Same as PS&E and R/W, but also includes:

- ♦ Date of Right of Way Certification (State)
- ♦ Right of Way Certification (Federal)
- ♦ Engineer's Detailed Estimate
- ♦ Subject to Timely Use of Funds

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Timely Use of Funds



TUF Deadlines

- ♦ Allocations - Components must be allocated in the SFY in which they are programmed.
- ♦ Expenditures – Support Phases may be expended within the allocated SFY plus 2.
- ♦ Award – Construction Allocations must be awarded within 6 months.
- ♦ Completion – Construction projects must be completed within 36 months of the Award.

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TUF – Time Extensions



- ♦ Deadlines can be extended by up to 12 or 20 months (depending on the type of funding and deadline) IF the CTC approves.
- ♦ One extension allowed per phase per type of deadline.

When? Prior to the Allocation/Expenditure/Award/Completion TUF deadline.

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TUF – Time Extensions



How?

- ♦ Use LAPG Exhibit 22-B or 23-B
- ♦ Extensions must have justifications – BE SPECIFIC!
- ♦ Local Agencies sign, RTPA/MPO's concur, and DLAE's accept
- ♦ Be prepared to Represent!

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Other Allocation Requests

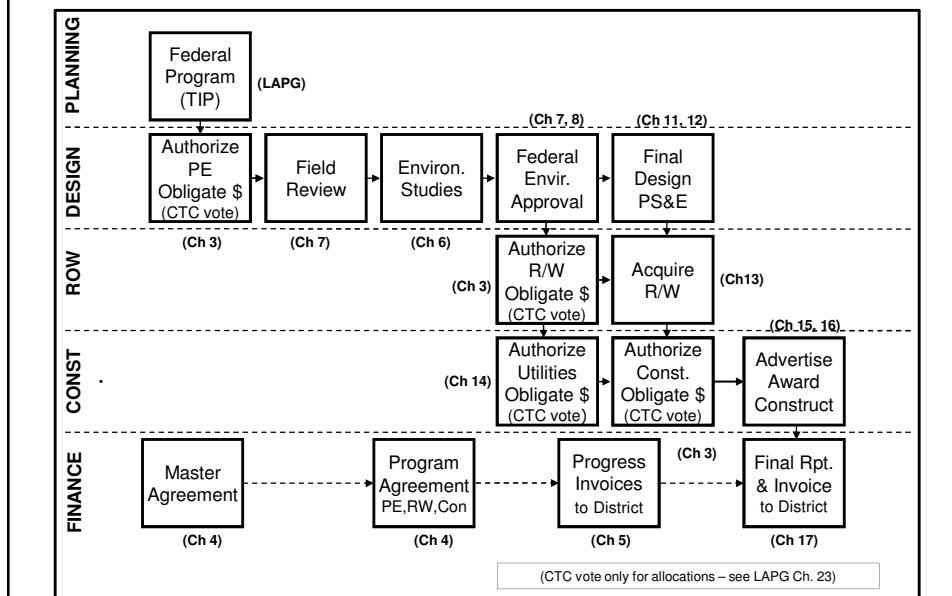


SB 184 – STIP, short term, within the SFY

AB 3090 – STIP, longer term

LONP – Letter of No Prejudice, SB1

Federal-Aid Highway Authorization Process



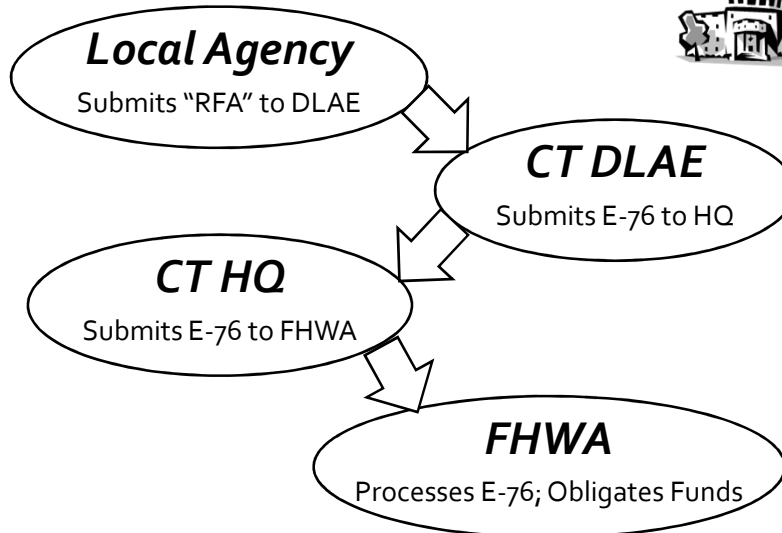
Federal Authorizations



- Authorize phase before work/advertising
- FHWA's approval to proceed with work
 - Preliminary Engineering (environmental and design)
 - Right of Way
 - Utility
 - Construction
 - Construction Engineering
 - Non-Infrastructure
- Establishes date of reimbursement

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Federal Authorizations



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PE Authorizations



- Covers preliminary engineering work associated with environmental process and final design
- Eligible reimbursement only after PE Authorization date.
- Final design can begin only after NEPA clearance
- May include preliminary R/W activities necessary to develop project alternatives

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PE Authorization Submittal



- Request For Authorization (RFA) to Proceed with Preliminary Engineering, Exhibit 3-A
- RFA Data Sheet, Exhibit 3-E
- Finance Letter, Exhibit 3-O
- Field Review Form, Exhibit 7-B
- Programming in the FTIP

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Right of Way **Authorizations**



- If federal reimbursement is sought for any phase of the project, all R/W activities must conform to federal requirements
- NEPA environmental clearance required prior to authorization
- Must be obtained prior to negotiation w/ owners
- Covers:
 - Appraisals
 - Negotiation w/ owners
 - RW Acquisition
 - Relocation Assistance

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Right of Way **Authorization Submittal**



- RFA to Proceed with Right of Way, Exhibit 3-B
- RFA to Proceed with Utility Relocation, Exhibit 3-C
- RFA Data Sheet, Exhibit 3-E
- Finance Letter, Exhibit 3-O
- Programming in the FTIP
- NEPA environmental clearance

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Construction **Authorizations**



- ♦ AUTHORIZE BEFORE YOU ADVERTISE!!!
- ♦ NEPA clearance required prior to federal authorization
- ♦ Right of Way Certification required
- ♦ CON and CE identified separately

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Construction **Authorization Submittal**



- ♦ RFA to Proceed with Construction, Exhibit 3-D
- ♦ RFA Data Sheet, Exhibit 3-E
- ♦ Finance Letter, Exhibit 3-O
- ♦ Programming in FTIP
- ♦ NEPA environmental clearance
- ♦ Right of Way Certification, Exhibit 13-A/B
- ♦ PS&E Checklist and Certification, Exhibits 12-C/D
- ♦ DBE and ADA, Exhibits 9-B and 9-C annually
- ♦ QAP within 5 years

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Advance Construction (AC)



- ◆ **Advance Construction** – A request to authorize the use of non-federal funds on projects and allowing for reimbursement when federal funds become available.

- ◆ **Benefits:**
 - ◆ Helpful for managing federal funds on large projects
 - ◆ Allows more projects to move forward faster
 - ◆ Reduces Inactivity
 - ◆ Easier than a Regional loan

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Advance Construction (AC)



- ◆ **Constraints:**
 - ◆ Locals must use own funds prior to conversion (obligation)
 - ◆ Does not count as OA Delivery

- ◆ **Programming:**
 - ◆ AC must be programmed in FTIP
 - ◆ AC conversions (obligations) must be programmed in FTIP as well

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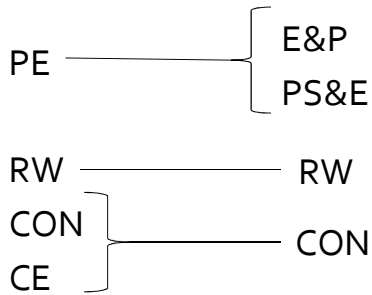


FHWA Authorization + CTC Allocation



- ◆ FHWA Authorizes Phases
- ◆ Inactivity
- ◆ PE>10
- ◆ RW>20

- ◆ CTC Allocates Components
- ◆ Timely Use of Funds (TUF)



Best Practice



Follow the Simultaneous Authorization/Allocation process already available – submit BOTH allocation and authorization requests at the same time.

<http://www.dot.ca.gov/hq/LocalPrograms/hooles-rules.html>

Less of this...

Sequential Process

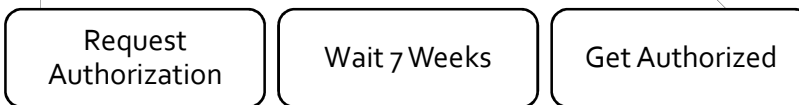


January



March

April



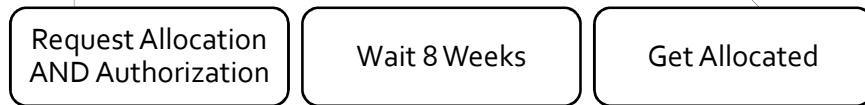
June

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Simultaneous Process

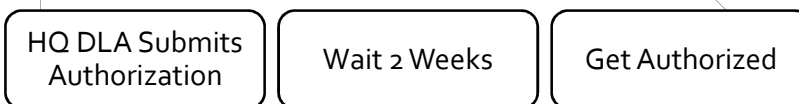


January



March

March



More of this!

April

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Allocation Pitfalls



- ◆ Must follow CTC Preparation Schedule
- ◆ Failure to submit “non-Exempt” CEQA document (and get an E-Resolution) at prior meeting
- ◆ **Sequential** processing of Allocations and Authorizations
- ◆ Incorrect Programming (FTIP/FSTIP, STIP, ATP, SB1, etc)
- ◆ Adherence to Program Guidelines, Reporting Requirements, and SB1 Accountability Guidelines

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Authorization Pitfalls



- ◆ FTIP issues
 - ◆ Not programmed
 - ◆ Not enough programmed
 - ◆ Wrong phase programmed
 - ◆ Incorrect fund type
 - ◆ Outside current FFY and no EPSP approved
 - ◆ Outside 4-year FTIP funding window
- ◆ DBE Agreements/ADA Compliance not on file
- ◆ Submittal forms not current
- ◆ Obligating only to the CON phase, no CE

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Challenges

Hard to predict cost, schedule, or number of projects – out of Local Assistance control

Handling changes in Scope

Building what you programmed

Imbalanced delivery of the Federal Program (40-50% of the program obligated in the 4Q)

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And More Challenges

Inactivity – 2% goal

Rules Keep Changing, New Programs, Reporting (SB1 Accountability Guidelines)

Meeting the CTC Meeting Preparation calendar deadlines

Political climate

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More Best Practices

Coordinate with your Local Agencies early and often! Ensure project scope/cost/schedule line up with Programming

Clarity! Denote the use of Toll Credits, PM2.5 Eligibility, Emission Benefit Calcs, etc in the FTIP/FSTIP

Encourage EARLY (in the FFY) Delivery please!
Keep up the pressure....it's working!

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Upcoming Improvements

Authorization (E-76) Process:

- ◆ Lean 6 Sigma effort to reduce CT processing time from 42 days to 14. More info: www.E76Pilot.info

Progress Invoices:

- ◆ Lean 6 Sigma effort to reduce 90% of errors, which will result in reduced timeframes to process.

Allocation Process:

- ◆ New Allocation form

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**John Hoole and Winton Emmett,
Implementation Offices**

Questions?
