

CWA Spreadsheet Instructions Projects with Funds Lapsing on June 30, 2020

General

Please do not make any changes to the form such as adding/deleting columns and rows or merging cells. All information requested must be completed and submitted to the District Cooperative Work Agreement (CWA) Liaisons by **October 18, 2019**. **Late submittals will not be accepted and there is no appeal process to the Department of Finance's (DOF's) decisions.** We anticipate DOF to make a decision by **March 31, 2020**.

Notes:

- If a project number appears more than once, please provide information every time the project appears (you may copy and paste).
- Submit the spreadsheet in **Excel** to the CWA Liaison and PDF the project manager's signature.
- The data was extracted from Caltrans' accounting system in July 2019. Additional invoices may have been processed since this time.

Instructions:

1. District
2. Agency
3. Work Performed and Location
4. Federal Project #
5. Advantage ID
6. Fund Description
7. Appropriation unit
8. Phase
9. Federal Appropriation

10. **Current Budget:** Total funds encumbered for a specific phase, fund, and fiscal year on the project.

11. **Expenditure Amount:** Eligible expenditures reimbursed by Caltrans.

12. **Unliquidated Encumbrance Balance:** Remaining balance that will lapse on June 30, 2020.

13. **CTC Timely Use of Funds (TUF) Deadline:** The date in this column indicates when timely use of funds (TUF) will lapse. The local agency must have **both:** CTC authority and state budget authority (via the CWA request) to continue to receive reimbursements.

14. **Requesting CWA? (Yes/No)**: Choose from “Yes” or “No.” If the funds are at risk of lapsing and will not be billed by **December 31, 2019**, we highly recommend the Local Agency requests a CWA to extend the lapsing date. Please keep in mind the original scope of the project must be unchanged as “The work to be completed is consistent with the intent of the original appropriation...” per Section 16304.3 of the California Government Code.
15. **Delay Code**: Enter the appropriate Delay Code number from the list applicable to the “Reason for Delay” field box.
<https://dot.ca.gov/programs/local-assistance/projects/cooperative-work-agreement-cwa>
16. **Reason for Delay**: The justification provided must adequately described an unforeseen and extraordinary circumstance beyond the control of the Local Agency that resulted in a delay. Please include the months, and/or years associated with the delay(s) and future milestones to expend this encumbrance. **Caltrans will not accept inadequate staffing issues as a delay.**
17. **Obstacles to Future Completion**: Responses must focus on potential delays that may occur due to future events/issues for this specific encumbrance.
18. **Consequences if CWA Not Approved**: Describe what would happen if the CWA is not approved by DOF. For example, if a CWA is not approved, will the Local Agency violate NEPA, will a structurally deficient or obsolete bridge affect public safety, or will continued congestion lead to poor air quality, etc.?
19. **Date Funding Expended if CWA Approved**: Indicate the month and year the Local Agency anticipates to final invoice for this funding. Please keep in mind that DOF cannot approve beyond the maximum extension period of eight years for CWAs (June 30, 2022). **April 1, 2022** is the deadline for the agency to submit the invoice to close out the encumbrance.
20. **Contact Name**: Provide Local Agency’s contact name, email address, and phone number.

The Project Manager must sign the request. The intent is to ensure the project manager understands the potential financial responsibility based on CWA approval/denial by DOF: 1) If a CWA is approved, funding must be reimbursed before the maximum extension period of eight years for a CWA, and 2) If a CWA is denied, the Local Agency will be financially responsible to fund the remaining encumbrance balance with local funds. If the encumbrance has been completed, your Local Agency must submit the final invoice for eligible expenditures and the final report of expenditures for the funds in question by April 1, 2020.