Everything you need to know about the funding allocation request data form.
**WHAT AM I LOOKING FOR?**

- The funding allocation form is a smart pdf that can be found on the Caltrans Local Assistance Website. You will fill out this form to generate your funding allocation request. You can also find it by searching for "CTC Forms" on the Caltrans website.

- This form is used to request allocation for state projects with state and/or federal dollars. The

- This slideshow is an example of a state project requesting State-only funding. To request Federal funding, the process is similar, but will require different documents to complete the allocation request.
# STATE-ONLY FUNDED PROJECT REQUIREMENTS

<table>
<thead>
<tr>
<th>Phase</th>
<th>Allocation Request Form</th>
<th>Agency(^1) Finance Letter</th>
<th>Programming Document</th>
<th>CEQA(^2)</th>
<th>NEPA(^3)</th>
<th>R/W(^4) Certification</th>
</tr>
</thead>
<tbody>
<tr>
<td>E&amp;P</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>N/A</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PS&amp;E</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>RW</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>CON</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>N/A</td>
<td>N/A</td>
<td>X</td>
</tr>
<tr>
<td>CON-NI</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
</tr>
</tbody>
</table>

2. CEQA CE approval date is required. Local Assistance does not require a copy unless requested.
   a. If CEQA is not a CE, an E-Resolution will be required for the allocation.
3. NEPA is not required for State only funded projects unless otherwise requested.
4. The Agency will prepare a R/W Certification for state-only funded allocation. A copy is not required but may be requested.
# Federally Funded Project Requirements (That Require Allocation Request)

<table>
<thead>
<tr>
<th>Phase</th>
<th>Allocation Request Form</th>
<th>Agency Finance Letter</th>
<th>Programming Document</th>
<th>CEQA(^2)</th>
<th>NEPA(^3)</th>
<th>R/W(^4) Certification</th>
</tr>
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<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td>N/A</td>
</tr>
<tr>
<td>PS&amp;E</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td>N/A</td>
<td>X</td>
</tr>
<tr>
<td>RW</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>CON</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>CON-NI</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td>N/A</td>
<td>N/A</td>
</tr>
</tbody>
</table>

1. Federal Finance Letter Exhibit=3-O or State/Fed Finance Letter = 23-D
2. NEPA CE approval date is required. Local Assistance does not require a copy unless requested.
3. CEQA is not required for federally funded projects unless otherwise requested.
4. The Agency will request a R/W Certification for federally funded allocation from Caltrans.
5. Note: ATP requires approved scope/documents prior to request. Please refer to your next steps letter for more information.
6. Note: Additional documents may be needed depending on program (ie, Rehab Cert, PPR, PMS Cert, etc.)
Resources to help filling out page one of the Funding Allocation Request Data Form (for Local Projects). This guidance will walk you through the State-only, off system, Local project request form.
Funding Allocation Request Data Form
(for Local Projects)

This data form is to be completed by the local agency. Once the information has been provided, a Request for Funding Allocation will be generated automatically. The yellow highlighted fields and the fields with red boxes are required for the dynamic form to work properly.

CTC Meeting Date for Requested funding allocation:

View CTC Meeting Schedule

1. CTC meeting dates are listed on the link adjacent to the cell.
2. Under “Coming Up…” select “Preparation Schedule(PDF)”
3. The drop down menu let’s the user to select “Today”
4. The drop down menu allows the user to select your respective agency. If your agency is not listed, you can type it in.
5. Enter the county the requesting agency resides in.
6. If you do not know your Caltrans District, info can be found at: https://dot.ca.gov/caltrans-near-me
This data form is to be completed by the local agency. Once the information has been provided, a Request for Funding Allocation will be generated automatically. The yellow highlighted fields and the fields with red boxes are required for the dynamic form to work properly.

**CTC Meeting Date for Requested funding allocation:**

**Today's Date:**

**Agency:**

Select from the drop-down list (a City or a County); Enter agency name if not a City or a County.

**County:**

**Caltrans District:**

**Federal Project Number:**

*1234 (567)*

**PPNO:**

*(1234 or 5678A)*

**Advantage Project ID:**

*(1234567890)*

**Assembly District:**

**Senate District:**

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### HOW DO I FILL OUT PAGE 1? (CONTINUED)

6. Federal Project Number is assigned at the District, typically, at the first request. If you do not have it, the DLAE can provide it.

7. PPNO is assigned prior to programming. Typically, can be found on the programming document, but can be requested from MPO or DLAE.

8. The Advantage ID is generated at the District. It will typically take 24 hours to generate after the request.

9. State Assembly Website:
   - [http://www.legislature.ca.gov/assemblydistricts.html](http://www.legislature.ca.gov/assemblydistricts.html)

10. State Senate Website:
    - [https://sdmg.senate.ca.gov/2015senatedistricts](https://sdmg.senate.ca.gov/2015senatedistricts)
1. Project Location should be identical to that of the programming document and application, or any other official correspondence.

2. Project Description should be identical to that of the programming document and application, or any other official correspondence.

3. Output/Outcome should be a quantified goal of the project.

4. Funding Program is important to know since next steps and deadlines are associated with their program.
Output/Outcome (Action taken/quantifiable benefits or results) (be brief - max 180 characters):

1. FUNDING PROGRAM

This funding request is for (must check one):

- ☑ STIP - State Transportation Improvement Program

Type of this STIP project (Check one):

- Infrastructure
- STIP PPM (Planning, Programming, and Monitoring)
- STIP Rideshare

- ATP - Active Transportation Program
- LPP - Local Partnership Program
- SCCP - Solutions for Congested Corridors Program
- TCEP - Trade Corridor Enhancement Program
- TCIF - Trade Corridor Improvement Fund

Form last updated 10/17/19

15. Chapter 23 of the Local Assistance Procedure Guidelines (LAPG) will have information regarding STIP including PPM, Rideshare and Infrastructure projects.

16. Infrastructure projects are those that construct physical assets in the construction phase. Section 23.3 of the LAPG has general information for STIP Projects.

17. STIP PPM eligible activities are discussed in Chapter 23.5 of the LAPG.

18. Section 23.7 of the LAPG discuss Rideshare Projects and requirements.
1. FUNDING PROGRAM

This funding request is for (must check one):

☐ STIP - State Transportation Improvement Program
☐ ATP - Active Transportation Program

Type of this ATP project (Check one):

☐ Infrastructure (IF)
☐ Non-Infrastructure (NI)
☐ Combined IF & NI

☐ LPP - Local Partnership Program
☐ SCCP - Solutions for Congested Corridors Program
☐ TCEP - Trade Corridor Enhancement Program
☐ TCIF - Trade Corridor Improvement Fund

NOTE: IF or NI or Combined are identified on the “Next steps” letter or from MPO. An official list is posted after CTC project list acceptance. You will need two different project numbers, but will have similar PPNO’s.

Form last updated 10/17/19

19. Chapter 22 of the Local Assistance Procedure Guidelines (LAPG) will have information regarding the ATP program including IF and NI projects: https://dot.ca.gov/-/media/dot-media/programs/local-assistance/documents/lapg/g22.pdf

20. ATP projects must follow CTC ATP Guidelines prior to requesting allocation: https://catc.ca.gov/programs/active-transportation-program


22. For combined projects, you will always identify the project as combined even if you request the funding at different times.
1. FUNDING PROGRAM

This funding request is for (must check one):

- [ ] STIP - State Transportation Improvement Program
- [ ] ATP - Active Transportation Program
- [ ] LPP - Local Partnership Program
- [ ] SCCP - Solutions for Congested Corridors Program
- [ ] TCEP - Trade Corridor Enhancement Program
- [ ] TCIF - Trade Corridor Improvement Fund

Form last updated 10/17/19

Note: Senate Bill 1, the Road Repair and Accountability Act of 2017, was signed into law on April 28, 2017. This legislative package invests $54 billion over the next decade to fix roads, freeways and bridges in communities across California and puts more dollars toward transit and safety. These funds will be split equally between state and local investments. Contact SB 1 (https://dot.ca.gov/programs/sb1)
HOW DO I FILL OUT PAGE 2?

Resources to help filling out page two of the Funding Allocation Request Data Form (for Local Projects)
2. PROGRAMMED FUNDS

1) Enter the amounts of programmed funds by Fiscal Year:

<table>
<thead>
<tr>
<th>Component</th>
<th>Programmed Amount</th>
<th>Fiscal Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>ES&amp;P/ PA&amp;ED/ PE*</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Plans, Specifications &amp; Estimate (PS&amp;E)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Right of Way (RW)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Construction (CON)</td>
<td>$500,000</td>
<td>2019/20</td>
</tr>
<tr>
<td>Total</td>
<td>$500,000</td>
<td></td>
</tr>
</tbody>
</table>

*Environmental Studies & Permits (ES&P) / Project Approval & Environmental Document (PA&ED) / Preliminary Engineering (PE)

2) Total Project Funding Plan by Fiscal Year

List all OTHER funding sources not provided in the above table and their anticipated fund usage by year. If there are any funding conditions, describe type of conditions, i.e., proportional split of funds across all components, STIP/ATP/SB 1 funds first, etc. (If attached Project Programming Request includes this detail and it is still current, it is not necessary to repeat the information here.)

Note: This information can be taken from the next steps letter, CTIPs page, or found on your program’s website. MPO and/or you DLAЕ can help you identify funds and years they are programmed in.
3. FUND ALLOCATION REQUEST

1) Allocation phase(s): Check at least one (only PS&E and RW may be requested at the same time)
This allocation request is for (Corresponding cell(s) in Column “This Request” in the below table will be activated after selection):

- ES&P/PA&ED/PE □
- PS&E □
- RW □
- CON □

2) Amount(s) to Be Requested - Enter the amount(s) of funds of this request and of the previous allocations:

<table>
<thead>
<tr>
<th>Component</th>
<th>Previous</th>
<th>This Request</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>ES&amp;P/PA&amp;ED/PE*</td>
<td>$0</td>
<td></td>
<td>$0</td>
</tr>
<tr>
<td>Plans, Specifications &amp; Estimate (PS&amp;E)</td>
<td>$0</td>
<td></td>
<td>$0</td>
</tr>
<tr>
<td>Right of Way (RW)</td>
<td>$0</td>
<td></td>
<td>$0</td>
</tr>
<tr>
<td>Construction (CON)</td>
<td>$0</td>
<td></td>
<td>$0</td>
</tr>
<tr>
<td>Total</td>
<td>$0</td>
<td>$29</td>
<td>$0</td>
</tr>
</tbody>
</table>

*Environmental Studies & Permits (ES&P) / Project Approval & Environmental Document (PA&ED) / Preliminary Engineering (PE)

3) Indicate type of funding to be requested (One must be checked):

- Federal/State □
- Federal-only □
- State-only □

"Federal/State" or "Federal-only" may be checked only if the answer to Question 3) in the last section ("Does this project have ANY federal funds?") is "Yes".

Form last updated 10/17/19

HOW DO I FILL OUT PAGE 2? (CONTINUED)

28. Allocation phase is to identify the phase you are requesting the allocation for.

29. When you select the phase, it will highlight where you should type in the amount requested for your allocation. You should also type in the amounts previously allocated if applicable.

30. Type of funding being requested should be reflected consistently throughout the request form.
3) Does this project have ANY federal funds (from the program to be requested or any other funding sources)?

If yes, federal regulations, e.g. NEPA, etc., apply to all phases of this project.

31. This question may appear under item, “2. Programmed Funds”. The drop down menu will allow you to answer yes or no. Please refer to your programming document, ‘Next steps’ letter or ask your MPO or District Engineer for info if you are not sure. This question is to ensure the Environmental requirement is accurate.
Since Page 3 depends on answers from page one and two, we will select ATP, CON, Infrastructure, State-only funding to show the information required for this request.
<table>
<thead>
<tr>
<th>Is the State-only funding approved by the Program Manager?</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Yes</td>
</tr>
<tr>
<td>☐ No  This project is not eligible for State-only funds.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>4. REQUEST FOR ADVANCE OF FUNDING</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is this request for funding programmed in a future Fiscal Year?</td>
</tr>
<tr>
<td>Provide justification below if yes.</td>
</tr>
</tbody>
</table>

**Note:** For this example, we are selected ATP, CON, Infrastructure, State-only funding to show the information required for this request. Not requesting advance of funding.

**HOW DO I FILL OUT PAGE 3?**

32. I imagine this means HQ Program Manager. If so, the guidance will say, “You can answer this question using your ‘Next Steps’ Letter that will identify the funding type for your listed project.”

33. This question is to identify if the requestor is seeking to accelerate their project. If you are requesting in your programmed year, the answer is “No”.
5. ESTIMATED TIMELY USE OF FUNDS DEADLINES

This request is for Construction costs. The estimated award deadline for this allocation is: 07/03/1900
(6 months after the requested approval date)

If the project is not awarded by this date, the funding will be rescinded with no adjustment to county shares (for STIP projects) unless the CTC extends the deadline.

Based on the requested funding approval date shown above, we estimate that we will award the contract on:

Estimated expenditure deadline for this construction allocation is:
(36 months after the estimated award date shown above)

We estimate that the contract will be completed and the project be accepted by:

Based on the above, check one of the below two boxes:

☐ The project will be completed (accepted) within 36 months after the award date.
☐ The project will NOT be completed (accepted) within 36 months after the award date.

Number of additional months required:

Attach justification for the extra time required to complete the contract.

6. RTPA/MPO CONCURRENCE

The RTPA must sign the Funding Allocation Request Letter 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 ATP funding allocations?

Note: For this example, we are selected ATP, CON, Infrastructure, State-only funding to show the information required for this request. Not requesting advance of funding. No extension nor MPO Concurrence needed.
Since Page 4 depends on answers from prior pages, we will select ATP, CON, Infrastructure, State-only funding, not requesting an advance nor requiring MPO Concurrence.
**STATUS OF PROJECT**

**Environmental Clearance Requirements**

This allocation request must meet the CEQA requirements.

- [ ] The final CEQA determination is a categorical exemption (CE)  
  CE Approval Date: ____________

- [ ] The final CEQA determination is NOT a CE. Has the Local Agency submitted the final CEQA environmental documentation to CTC?
  ____________

Local agency needs to submit environmental documentation to support CEQA determination to: CTC, 1120 N Street, MS 52, Sacramento, CA 95814. This is required to obtain subsequent allocation approval by CTC. Note: Notice of Preparation (NOP) and Draft Environmental Impact Report (DEIR) should be forwarded to the CTC to allow the CTC to provide comments in its role as a responsible agency – see CEQA Lead Agency Responsibilities letter dated 4/20/2009 from Division of Local Assistance.

Please provide Resolution E# (E-XXXX)  
Document Type: ______  
Date: ____________

This can be obtained from the CTC “Action Taken Report” at https://dot.ca.gov/programs/transportation-programming/office-of-ctc-liaison-octcl.

**Right of Way Clearance Requirements**

This request is for Construction. Please provide date of Right of Way Clearance. If Right of Way clearance has not been obtained, this project is not ready for Construction funding allocation.

Date of RW Clearance: ____________

Note: For this example, we are selected ATP, CON, Infrastructure, State-only funding to show the information required for this request. Not requesting advance of funding. No extension nor MPO Concurrence needed.
Right of Way Clearance Requirements

This request is for Construction. Please provide date of Right of Way Clearance. If Right of Way clearance has not been obtained, this project is not ready for Construction funding allocation.

Date of RW Clearance: 

<table>
<thead>
<tr>
<th>ATP Infrastructure - Plans and Estimate Certification</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Implementing Agency hereby certifies that the PS&amp;E package is complete, accurate, unambiguous, and adequate for its purpose. Furthermore, the implementing Agency certifies that the project scope of work for which this construction allocation is being requested is consistent with the scope of work identified in the original CTC approved project application and/or CTC approved scope amendment(s).</td>
</tr>
</tbody>
</table>

Date the Plans and Estimates were certified for consistency with project scope: 

ATP - Interim Count Guidance

The Implementing Agency acknowledges the Interim Count Methodology Guidance for the Active Transportation Program, and that pre-construction user counts are required within six months of the start of construction.

<table>
<thead>
<tr>
<th>Readiness of Construction Advertisement</th>
</tr>
</thead>
<tbody>
<tr>
<td>This is an allocation request for Construction. Is the project ready to advertise?</td>
</tr>
<tr>
<td>□ Yes</td>
</tr>
<tr>
<td>□ No. Please provide the date the project will be ready to advertise:</td>
</tr>
</tbody>
</table>

Note: For this example, we are selected ATP, CON, Infrastructure, State-only funding to show the information required for this request. Not requesting advance of funding. No extension nor MPO Concurrence needed.
Now that you have completed the Allocation request for with complete and accurate information, what do you do?
Click to Generate Allocation Request

45. You will click on the “Click to Generate Allocation Request”. This will do one of two things:
   • Generate an Allocation request.
   • Prompt you of errors.

46. Generate an error notice. The button, “go to 1st error” will take you to the question that needs to be corrected.

47. Once you generate the Allocation Request, the pages will be added to the end of the PDF (i.e. pages 6 and 7, etc.). All signature blocks must be signed by the appropriate parties for the allocation request to move forward.
Final step:
Send you signed Allocation Request Data form with supporting documents to your DLAE to initiate your request.

Note: If you would like to be notified when your allocation request reaches predetermined milestones, please provide a contact name and email with your submittal to your DLAE.

CTC Votes on Allocation Request
RESOURCES

- Environmental Management:
  - [https://dot.ca.gov/programs/environmental-analysis/environmental-management](https://dot.ca.gov/programs/environmental-analysis/environmental-management)

- Caltrans Allocation Resources:
  - [https://dot.ca.gov/programs/local-assistance/allocations](https://dot.ca.gov/programs/local-assistance/allocations)

- CTC Forms:
  - [https://dot.ca.gov/programs/local-assistance/forms/ctc-forms](https://dot.ca.gov/programs/local-assistance/forms/ctc-forms)

- CRS Maps:
  - [https://caltrans.maps.arcgis.com/apps/webappviewer/index.html?id=026e830c914c495797c969a3e5668538](https://caltrans.maps.arcgis.com/apps/webappviewer/index.html?id=026e830c914c495797c969a3e5668538)

- Guidelines and Procedures:
  - [https://dot.ca.gov/programs/local-assistance/guidelines-and-procedures](https://dot.ca.gov/programs/local-assistance/guidelines-and-procedures)