
EXHIBIT 22-G REQUEST FOR FUNDING DISTRIBUTION CHANGE INSTRUCTION

REQUEST FOR FUNDING DISTRIBUTION CHANGE INSTRUCTIONS

Do not include with these instructions with your funding distribution submittal

This Funding Distribution Change Request Form is intended to support the California Transportation Commission (CTC) *Final Adopted 2019 ATP Guidelines*, Section 28. Amendment Requests adopted on May 16, 2018. The policy states:

“Project amendments requested by implementing agencies shall receive the approval of all partner and funding entities before submittal to the Commission. Amendment requests should be submitted in a timely manner and include documentation that supports the requested change and its impact on the scope, cost, schedule and benefits.

Caltrans shall coordinate all amendment requests and utilize the Project Programming Request form to help document the change. Implementing agencies must notify Caltrans in writing of proposed project amendments.

Schedule changes to a project will not be considered unless a time extension was approved as specified in Section 31. ATP will not participate in any cost increases to the project. Any cost increases should be funded from other fund sources. If there is a change in the cost estimate, the implementing agency must notify Caltrans as soon as possible. The written notification should explain the change and the plan to cover the increase.”

This form 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 or their staff. Once the district staff has reviewed the document, they will submit it to the appropriate ATP Program Manager. The Program Manager will submit the funding distribution change to the CTC and either the CTC staff or the CTC Commissioners will approve or deny the request.

This form and instructions have been prepared to further define the process and documentation needed as part of the Implementing Agency’s funding distribution change submittals. These instructions outline both the “Required documentation” for Caltrans and Commission staff to analyze and make their final recommendations based on the need and benefits of the proposed funding distribution change, and the “Funding Distribution Change process” that Implementing Agencies should follow/expect as they submit their request.

Required Documentation:

ATP Funding Distribution Change Requests are to be prepared by the Implementing Agency responsible for delivering the project as defined in the original application submitted. When the agency is not able to deliver a project that was approved as part of the competitive selection process, it becomes the agency’s responsibility to fully document both the need for the proposed funding change and if the change will have an impact on the project’s benefit to active transportation users. The following is an outline for agencies to follow to ensure their request directly answers each question included in the CTC’s adopted policy and provides the necessary supporting documentation for Caltrans and Commission staff to analyze the request and make final recommendations.

Date: Date of request submittal.

Address: Send the request package to the District Local Assistance Engineer (DLAE) assigned to this project.

PPNO: (Project Programming Number). A 4-digit number, possibly followed by an A or a B. (if available)

Federal Project #: These numbers will be available if the project has received one or more allocations. (if available)

ATP ID #: Unique number found on the adopted ATP project list

Current Project Name, Description and Limits: As approved and adopted by the CTC as identified in the application or subsequent approved scope change. For federally funded projects the description and limits must match the current FTIP/FSTIP.

Funding Distribution Eligibility Questions:

Select “Yes” or “No” for each of the questions A through D. If your response is Yes for any of these questions, then the request is not eligible.

Project Funding Chart

Original \$- Enter the Original funding amount for each phase

Proposed \$- Enter the Proposed funding amount for each phase

Change (\$) - either enter the amount the funding to being proposed to change, or “No Change” if there is no proposed change for that phase.

1. An explanation of the reason for the proposed funding distribution change;

- Explain which phases funds are being removed from, which phases the funds are being moved to and what affect this change will have on each phase and the entire project.

2. The impact the proposed change would have on the overall cost of the project. The project must remain fully funded.

- The overall cost includes:
 - ATP and Non-ATP funded elements of the overall project
 - All project delivery phases, including: PA&ED, PS&E, R/W, CON, and/or CON-NI
- The information provided must include documentation on:
 - The current overall project costs based on the originally approved project scope
 - The impact the proposed project cost change will have on the overall cost of the project
 - How the project is remaining fully funded.

3. Discuss whether the Funding Distribution Change will affect the benefit of the project as described in the project application.

- The agency is responsible to ensure the methodologies used to estimate the impacts directly support the methodologies included in the original application. The request should summarize how the original application portrayed the walking and biking needs and benefits and how they may be impacted by the funding change.

4. For projects programmed in the Metropolitan Planning Organization (MPO) component, evidence of MPO approval and the MPO rationale for their approval.

- For projects programmed in the Statewide or Small Urban and Rural components, agencies can simply include “N/A – Project funded in the _____ component” for this question.
- For projects programmed in the MPO component of the ATP, agencies must work directly with their MPO to document both the MPO’s approval and the rationale for their approval.

Required revisions to the Project's Description and/or Limits: As needed, provide your proposed Project Description/Limits to account for your proposed project scope change defined above. If the current Project Description/Limits can remain unchanged, insert "N/A". For Federally Funded Projects, also address the "Proposed changes to the FTIP/FSTIP Description" and "Proposed changes to the FTIP/FSTIP Limits". **If the Project Description and/or Limits are changing due to this request, maps and plans need to be included with the request.**

Project Delivery Status: All requests for funding distribution changes must provide an update on the Project Delivery Status for all CTC allocation milestones. Insert "N/A" for all allocation milestones that do not apply to the project. In addition to providing milestone dates, agencies need to provide short explanations that stress the impacts of the proposed funding change. Explanation for milestone changes should only be provided for the milestones that have changed from the milestones approved in the original application.

Local Agency Certification: Provide information on who the responsible party to contact with questions regarding this project and obtain signature of approving official.

Attachments:

Revised PPR- A revised Project Programming Request (PPR) is required. The PPR form and instructions can be found at <https://dot.ca.gov/programs/transportation-programming/office-of-capital-improvement-programming-ocip>

Maps and Plans- If the funding change request also impacts the project description or limits of the project, Maps and plans must be attached which clearly show the proposed changes.

Note: This document can not be used to request a scope change or an increase in ATP funds.

Funding Distribution Change Process:

ATP Funding Distribution Change Requests are to be prepared by the Implementing Agency and submitted for approval through the following process. This also outlines the expected process for how requests will be evaluated by Caltrans and CTC staff.

- A. When the implementing agency first realizes that they may need/want to amend the approved funding for the project, they need to begin assessing and documenting the decisions necessary for completing the CTC funding change process.**
 - Agencies need to keep in mind that because the ATP selects projects for funding through a competitive process, CTC and Caltrans expect agencies to maintain the project's originally approved scope to the maximum extent possible.
 - Agencies are expected to consider adding project delivery resources and/or local funding as necessary to maintain the original scope.
- B. Once the agency confirms they want to pursue a funding distribution change, they are encouraged to work with their Caltrans District Local Assistance Engineer (DLAE) and staff.**
 - As a first step in the process, agencies are encouraged to seek the District's support for their funding change concept.
 - District Local Assistance staff can help the agency with the supporting documents. A revised Project Programming Request (PPR) is required as part of the funding distribution request.
- C. After the implementing agency confirms they want to pursue funding distribution change approval, and have answered "No" to questions A through D; then they are ready to prepare their ATP Funding Change Request**
 - The request must include all of the "Required Documentation" as defined above in this Guide.
 - The request must be submitted to the DLAE for evaluation, and submittal to Caltrans Headquarters.

- D. Caltrans District staff will evaluate the agency’s funding distribution change request and submit their findings to Caltrans Headquarters ATP Program Manager**
- Staff will confirm the agency prepared and submitted their request as set forth in this Guide and the CTC’s adopted policy.
 - Staff will work with the agency to provide additional details and/or modify the nature of their request as needed to meet the overall expectations and to improve the request’s chances for an eventual CTC-approval through an expedited process.
- E. Caltrans Headquarters ATP Program Manager will review and confirm the district’s initial analysis and recommendations and forward the agency’s request to CTC staff**
- The program manager will coordinate with the district as necessary to finalize “Caltrans’ written analysis and recommendations to the Commission.”
 - Caltrans’ submittal to the Commission will include:
 - The agency’s formal submittal to Caltrans, including all supporting documentation,
 - Caltrans written analysis of the agency’s propose scope change,
- F. CTC Staff will evaluate the overall scope change request submittal from Caltrans**
- Once CTC staff receives the submittal from Caltrans, if there aren’t any issues or concerns with the request, it will be heard at the next available CTC meeting.