

**FUNDING ALLOCATION CHECKLIST
(LOCAL STIP PROJECTS)**PPNO: _____
EA: _____

(Brief Project Description.)

☐ Reimbursable work was started
prior to this request for allocation.

Output/Outcome: _____

(Action taken/quantifiable benefits or results)

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.)

TYPE OF PROJECT

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

Fund Allocation Summary

20 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	\$ _____		\$ _____	\$ _____	\$ _____

HIGHWAY FUNCTIONAL CLASSIFICATION

(Check appropriate box)

A Eligible for Federal-aid

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

B 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/Local (Skip to question #5)
 - ☐ Federal/State (Skip to question #5)
 - ☐ State-only

2. Is the State-only funding approved?

- ☐ Yes
- ☐ No

If “Yes,” indicate the type of approval and then skip to question #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 CTC 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” (<http://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 CTC. (Regional Transportation Planning Agency concurrence required.)

LOCAL ROAD REHABILITATION PROJECTS

5. Has the 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.

ENVIRONMENTAL CLEARANCE REQUIREMENTS

6. 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.

7. Is final CEQA determination a categorical exemption (CE)?

- ☐ Yes
☐ No

If “Yes,” skip to question #9.

If “No,” go to question #8.

8. Did local agency submit final CEQA environmental documentation to CTC?

- ☐ Yes
☐ No

If “Yes,” please provide Resolution E#: _____. This can be obtained from the CTC “Action Taken Report” at <http://www.dot.ca.gov/hq/transprog/ctcliaison.htm>.

If “No,” 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.)

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

- ☐ Yes
☐ No

If “No,” skip question 10, a NEPA Environmental Document is not required.

10. 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

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

- ☐ Yes
☐ No

If “Yes,” answer the following questions. If “No,” skip to question #13.

Any contracts \geq \$1 million?

- ☐ Yes
☐ No

If “No,” Pre-award audit not required, skip to question #13.

12. Status of the audit

- ☐ Completed (attach “Audit Disposition” letter)
☐ To be completed by Caltrans (“Pre-award 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

13. Requested Funding Allocation Approval date _____

14. 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 CTC extends the deadline.**

15. Is this request for Right of Way costs?

- ☐ Yes
☐ No

If “Yes,” complete the following:

Estimated expenditure deadline for this right of way 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 CTC extends the deadline.**

16. Is this request for Construction costs?

- ☐ Yes
☐ No

If “Yes,” complete the following:

Estimated award deadline for this allocation: _____

(Enter the date that is 6 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 CTC extends the deadline.**

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

Estimated expenditure deadline for this construction allocation _____ (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

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

- ☐ Yes
☐ No

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

- ☐ Yes
☐ No

19. Has the RTPA passed a resolution requiring their concurrence on all requests for STIP funding allocations?

- ☐ Yes
☐ No

If the answer to question 17, 18, or 19 is "Yes," the RTPA must sign the "Request for Funding Allocation" form.

Prepared by: _____ Date: _____ Phone No. _____

Title: _____

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