

AWARD INFORMATION FOR STIP PROJECTS

Date: _____

To: District Local Assistance Engineer
Caltrans, Division of Local Assistance

PPNO: _____

EA: _____

Project No.: _____

Project Description: _____

Date Project was Allocated: _____

Date Project was Advertised: _____

Award Date: _____

Award Amount: _____

Award Amount: _____
(STIP Portion only, if different from above)

Estimated Date of Completion: _____

Name of Contractor: _____

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EXHIBIT 23-B REQUEST FOR TIME EXTENSION (LOCAL STIP PROJECTS)**[To Be Placed on Local Agency Letterhead]**

To: (DLAE Name)
District Local Assistance Engineer
Caltrans, Office of Local Assistance
(District Address)

Date : _____
PPNO: _____
PROJECT #: _____
Project ID or EA No.: _____
(Brief Project Description)
(Location)
(County)
Assembly District: _____
Senate District: _____

Dear (DLAE Name):

We request that the California Transportation Commission (CTC) approve a request for a time extension for this project.

A. Project description:

(Enter description of project, location and scope from Project Programming Request. Include programmed funding level by phase)

B. Project element for which extension requested: (check appropriate box)

☐ Allocation* ☐ Expenditure ☐ Award ☐ Completion
(contract acceptance)

C. Phase (component) of project: (check appropriate box or boxes)

☐ Environmental
Studies &
Permits ☐ Plans, Specs. &
Estimate ☐ Right of
Way ☐ Construction*

D. Allocation and deadline summary

Allocation Date By Phase (if applicable)	Allocated Amount By Phase (if applicable)	Original Deadline	Number of Months of Extension Requested	Extended Deadline

E. Reason for project delay

Indicate the reason for the project delivery delay. Please be concise. Specify the length of time the project will be delayed. Include a timeline to justify and support the number of requested extension months. **The length of extension requested cannot exceed 20 months and must be directly attributed to the reason for delay specified.**

* Per Section 66 of the CTC *STIP Guidelines*, “For each request to extend the deadline to allocate construction funds, the agency requesting the extension should submit, in conjunction with the request, a project construction STIP history. The request should also identify any cost increase related to the delay and how the increase would be funded. The STIP history should note the original inclusion of project construction in the STIP and each project construction STIP amendment, including, for each, the amendment date, the dollar amount programmed for construction, and the scheduled year of construction delivery. It is the CTC’s intent to review this history when considering a construction allocation extension request.”

F. Status of project milestones/revised project milestones

1) Completion of Environmental Document:

CEQA - Describe document type and date (original milestone date and revised date).

NEPA - Describe document type and date (original milestone date and revised date).

2) Right of Way Certification:

Indicate the date right of way was certified (or will be certified) for the project (original milestone date and revised date).

3) Construction:

Indicate the date the project will be ready to advertise or was advertised (original milestone date and revised date).

G. Timely Use of Funds

We request that the CTC approve this request at the _____ meeting, *or* by _____.

H. Local Agency Certification:

This Request for Time Extension has been prepared in accordance with the *Procedures for Administering Local Grant Projects in the State Transportation Improvement Program (STIP)*. I certify that the information provided in the document is accurate and correct. I understand that if the required information has not been provided this form will be returned and the request may be delayed. Please advise us as soon as the time extension has been approved. You may direct any questions to

_____ at _____
(name) (phone number)

Signature _____ Title: _____ Date: _____

Agency/Commission: _____

I. Regional Transportation Planning Agency/County Transportation Commission Concurrence:

Concurred

Signature _____ Title: _____ Date: _____

Agency/CTC _____

J. Caltrans District Local Assistance Engineer Acceptance:

I have reviewed the information submitted on the Request for Time Extension and agree it is complete and has been prepared in accordance with the *Procedures for Administering Local Grant Projects in the State Transportation Improvement Program*.

Signature _____ Title: _____ Date: _____

Attachments:

Distribution: (1) Original -DLAE (2) Copy- Division of Local Assistance, STIP Coordinator
(3) Copy - RTPA/County Transportation Commission

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REQUEST FOR TIME EXTENSION INSTRUCTIONS

This request for extension 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 and the Division of Local Assistance STIP Coordinator (P.O. Box 942874, MS-1, Sacramento, CA 94274-0001) at least 60 days prior to the deadline for which the extension is being requested, but not later than 60 days prior to the date of the CTC meeting where the request will be considered/voted.

Date: Date of request preparation.

PPNO: Provide STIP project identifier. (Project programming number)

Project # and EA: These numbers will be available if the project has been allocated.

Brief Description: Provide a brief description of the project.

Location: Provide location of project.

County: County where project is located.

Assembly District: Enter appropriate district number.

Senate District: Enter appropriate district number.

Address: Send letter to District Local Assistance Engineer assigned to this project.

A. Project Description: Use the original description of the project location and scope from the Project Programming Request. Include amount programmed for the project, broken out by phase.

B. Project element: Check one box to indicate which element of the project needs to be extended. **A separate form is required for each project element.** Allocation time extension requests must be submitted separately from expenditure extension requests, etc.

C. Phase (component) of project: Check one box to indicate which phase of the project needs to be extended. Multiple phases can be checked on the same form if the request is for the same project element (extension type). For example, if the request is for an allocation time extension and an agency is requesting the extension for both the PS&E and R/W phases, one form can be used.

D. Allocation and deadline summary:

Allocation date by phase (if applicable): Actual allocation dates **by phase** for all phases the request refers to.

Allocated amount by phase (if applicable): Actual allocated amount **by phase** for all phases the request refers to.

Original deadline: Indicate date that was originally set as the timely use of funds deadline.

Number of months of Extension Requested: Indicate in number of months of time requested for the extension.

Extended Deadline: Provide the proposed new deadline, with extension incorporated.

E. Reason for project delay: In order to grant an extension, the CTC must find that “unforeseen and extraordinary circumstances beyond the control of the responsible agency have occurred, which would justify the extension.” The extension will not exceed the period of delay directly attributed to the extraordinary circumstance and will in no event be for more than 20 months. This is where you need to have a clear description of the circumstances delaying the project that leaves no question to the CTC that the circumstances are “unforeseen and extraordinary” and directly relates the number of months of the extension to the delay. The reason should be clear and concise.

A timeline is required in order to help support the reason for delay. Provide information about the next steps that need to be taken in order to meet the extended deadline and show how long it will take to complete each step. A timeline helps to show the CTC that the number of requested months of extension are justified.

* Per Section 66 of the CTC *STIP Guidelines*, “For each request to extend the deadline to allocate construction funds, the agency requesting the extension should submit, in conjunction with the request, a project construction STIP history. The request should also identify any cost increase related to the delay and how the increase would be funded. The STIP history should note the original inclusion of project construction in the STIP and each project construction STIP amendment, including, for each, the amendment date, the dollar amount programmed for construction, and the scheduled year of construction delivery. It is the CTC’s intent to review this history when considering a construction allocation extension request.”

- F. Status of project milestones/revised project milestones:** Provide information about the original milestone dates and the revised dates for Environmental Documents (CEQA and NEPA), Right of Way Certification, and Construction.
- G. Timely Use of Funds:** Provide which meeting your request should be heard or set a date that you need the approval. Refer to the CTC calendar posted on the web to determine the appropriate date, and keep in mind that Caltrans will need sixty days lead time to process the request prior to the CTC meeting.
- H. Local Agency Certification:** Provide information on who is the responsible party to contact with questions regarding this project and obtain signature of approving official.
- I. Regional Transportation Planning Agency (RTPA)/Metropolitan Planning Organization (MPO)/County Transportation Commission concurrence:** Obtain concurrence/approval from appropriate lead agency. Requests will not be processed without review and approval of the responsible RTPA/MPO/County Transportation Commission official.
- J. Caltrans District Local Assistance Engineer Acceptance:** After reviewing the request for extension, the DLAE will sign off and forward the request to headquarters (Local Assistance Office of Resource Management, Attention: STIP Coordinator) for processing to the CTC for vote.

EXHIBIT 23-C STATE-ONLY FINANCE LETTER

DEPARTMENT OF TRANSPORTATION
ACCOUNTING SERVICE CENTER
LOCAL PROGRAM ACCOUNTING BRANCH

Attention.: _____

Date: _____
Agency: _____
Project No.: _____
EA No.: _____
PPNO: _____

	P/L	TOTAL COST	PARTICIPATING COST	STIP STATE-ONLY FUNDS	LOCAL FUNDS	OTHER FUNDS	OTHER FUNDS
Environmental & Permits							
Plans, Specs, & Estimate							
Right of Way							
Construction							
Contract Items							
Suppl. Work							
Contingencies							
Contingencies							
Agency Furn. Mat.							
Constr. Engineering							
Force Acct. Amt.							
Construction Total							
TOTALS:							

Questions regarding this finance letter should be directed to:

ALLOCATION BY: _____ Signature: _____ Printed name: _____
CTC DLA

Date: _____ Title: _____ Telephone number: _____

REMARKS: _____

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STATE/FEDERAL FINANCE LETTER

DEPARTMENT OF TRANSPORTATION
ACCOUNTING SERVICE CENTER
LOCAL PROGRAM ACCOUNTING BRANCHDate: _____
Agency: _____
Project No.: _____
EA No.: _____

Attention.: _____

	TOTAL COST OF WORK	TOTAL PARTICIPATING COST	FEDERAL FUNDS (Fed-aid code:_____)	LOCAL FUNDS	OTHER FUNDS Type:	OTHER FUNDS Type:
Agency Preliminary Engineering						
State Furnished Preliminary Engineering						
Overhead at _____%						
R/W Engineering & Administration Costs						
R/W Purchase Costs						
Relocation Assistance (SJ 3A055)						
Contract Items _____						
Utilities _____						
Contingencies _____						
Trainees _____						
Agency Furn. Mat. _____						
Contract Total _____						
Agency Construction Engineering						
State Furn. Construction Engineering						
Overhead at _____%						
State Furnished Materials Testing						
Overhead at _____% EA No. _____						
Force Account (Day Labor) - striping, etc.						
TOTAL:						

Federal Participation: _____%

Signature: _____

Questions regarding this finance letter should be directed to:

Printed name: _____

Reimbursement. Ratio: _____%

Title: _____

Telephone number: _____

REMARKS:

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**CALIFORNIA TRANSPORTATION COMMISSION
STIP State-Only Funding Policy**

Resolution G-01-26

- 1.1 WHEREAS, the Commission's adoption of the 2000 STIP in December 2000 included a State only funding policy generally giving blanket approval for local projects under \$750,000 and, until March 2001, for all local road rehabilitation projects regardless of cost, and providing for approval of other projects on an exception basis, and
- 1.2 WHEREAS on March 28, 2001, the Commission approved the Department's request to extend the State Only Funding Policy for currently programmed STIP projects.
- 1.3 WHEREAS, the Commission's approval included an exception to the current policy and requires that any new request for State only funding, regardless of project cost, will need to submit an exception and approval for State only funding to the Department.
- 1.4 WHEREAS, the Commission indicated that the approval is an interim policy measure, and that future availability of state only funds and the State only funding policy will be reevaluated as part of the 2002 Fund Estimate.
- 1.5 WHEREAS on August 23, 2001, the Commission approved Resolution G-01-25 adopting the 2002 STIP Fund Estimate; and
- 1.6 WHEREAS, the Commission approved the allocation of State only funding for new projects which generally gives blanket approval for local projects under \$750,000, subject to the availability of funds,
- 2.1 NOW THEREFORE BE IT RESOLVED, that currently programmed STIP projects, which have been previously approved for state-only funds are still approved.
- 2.2 BE IT FURTHER RESOLVED, that future requests for programming new projects within the following categories shall be given priority for state-only funding, pending review by the Department and confirmation to the Commission that sufficient funds are available.
 - Projects with a total cost of \$750,000 or less;
 - Planning, programming and monitoring activities;
 - Regional rideshare and traffic demand management activities;
 - Match for local Federal funds.

- 2.3** BE IT FURTHER RESOLVED, that all other new projects programmed in the STIP, which are not in one of these categories, are required to be federalized. Exceptions to this requirement may be approved pending a review and approval of the project need for state-only funding and verification that sufficient funds are available.
- 2.4** BE IT FURTHER RESOLVED, that project exception requests for state-only funding shall be included in the submittal to the Commission of the 2002 Regional or Interregional Transportation Improvement Programs. These requests will be forwarded to the Department for review of the Region's justification on the appropriateness, benefit to accelerated delivery, and reduction in cost for individual projects; and, the availability of state-only funds. The Department shall offer technical advice to facilitate the use of federal funds in those instances when the Department does not recommend the designation of state-only funding at the time of programming. Regional agencies requesting state-only funding shall do so with the understanding that changes in the availability of state-only funding may necessitate shelving a project cleared for state only funding until such time as state-only funds become available, or federalizing the project.
- 2.5** BE IT FURTHER RESOLVED, that state-only funding approval for projects will be confirmed as part of the STIP adoption.
- 2.6** THEREFORE BE IT FURTHER RESOLVED, that the Department shall monitor the use and availability of state-only funds, report to the Commission annually in July on its findings with recommendations as necessary for modification of the policy.

**REQUEST FOR EXCEPTION TO
STIP STATE-ONLY FUNDING POLICY**

Local Agency Letterhead

To: Caltrans District Office – Programming Liaison
(Address)

Date: _____

Subject: Request for Exception to STIP State-Only Funding Policy

The City/County of (local agency name) hereby requests an exception to the STIP Project Funding Policy. State-only funds are requested for the following project:

PROJECT DESCRIPTION (specifically describe what work is being accomplished, include PPNO)

JUSTIFICATION:

- A. Type of Work
- B. Need for Project/Proposed Improvements
- C. Status of Project
 - 1. Beginning and Ending Dates of the Project
 - 2. Environmental Clearance Status
 - 3. R/W Clearance Status (if currently R/W certified as #3, when will the certification be upgraded to a #1 or #2?)
 - 4. Status of Construction
 - a) Proposed Advertising Date
 - b) Proposed Contract and Construction Award Dates
- D. Total Project Funding Plan by Fiscal Year (list all funding sources & anticipated fund usage by year – include all phases)
- E. State specific reasons for requesting State-Only fund and why Federal funds should not be used on the project.
- F. Allocation (if requesting allocation concurrent with exception request)
 - 1. Amount of Allocation Request
 - 2. Is this a partial allocation request? Yes No
 - 3. If this is a partial allocation, what will be the total cost of the project? When will the additional allocation be needed?
 - 4. Is the project identified as State-Only in the adopted programming document? Yes No

REGIONAL AGENCY CONCURRENCE:

(Name of Regional Agency) concurs with this request for an exception to the Project Funding Policy.

(Signature of Regional Agency Representative)

(Signature of Local Agency Representative)

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION
PROJECT PROGRAMMING REQUEST
DTP-0001 (REV. 3/08)

General Instructions

<input checked="" type="checkbox"/> New Project		<input type="checkbox"/> Amendment (Existing Project)		Date:	
Caltrans District	EA	PPNO	MPO ID	TCRP No.	
County	Route/Corridor	Project Sponsor/Lead Agency	MPO	Element	
Project Title					
PM Bk	PM Ahd	Project Mgr/Contact	Phone	E-mail Address	
Location, Project Limits, Description, Scope of Work, Legislative Description					
Component	Implementing Agency	AB 3090	Letter of No Prejudice		
PA&ED		<input type="checkbox"/>	<input type="checkbox"/>		
PS&E		<input type="checkbox"/>	<input type="checkbox"/>		
Right of Way		<input type="checkbox"/>	<input type="checkbox"/>		
Construction		<input type="checkbox"/>	<input type="checkbox"/>		
Legislative Districts					
Assembly:		Senate:			
Congressional:					
Purpose and Need					
Project Benefits					
Project Milestone					Date
Project Study Report Approved					
Begin Environmental (PA&ED) Phase					
Circulate Draft Environmental Document				Document Type	N/A
Draft Project Report					
End Environmental Phase (PA&ED Milestone)					
Begin Design (PS&E) Phase					
End Design Phase (Ready to List for Advertisement Milestone)					
Begin Right of Way Phase					
End Right of Way Phase (Right of Way Certification Milestone)					
Begin Construction Phase (Contract Award Milestone)					
End Construction Phase (Construction Contract Acceptance Milestone)					
Begin Closeout Phase					
End Closeout Phase (Closeout Report)					

ADA Notice

For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

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STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION
PROJECT PROGRAMMING REQUEST
DTP-0031 (REV. 3/08)

Date:

County	CT District	PPNO	ICRP Project No.	EA
Project Title:				

Existing Total Project Cost									Implementing Agency
Component	Prior	08/09	09/10	10/11	11/12	12/13	13/14+	Total	
EAP (PA&ED)									
PS&E									
R/W SUP (CT)									
CON SUP (CT)									
R/W									
CON									
TOTAL									
Proposed Total Project Cost									Implementing Agency
Component	Prior	08/09	09/10	10/11	11/12	12/13	13/14+	Total	
EAP (PA&ED)									
PS&E									
R/W SUP (CT)									
CON SUP (CT)									
R/W									
CON									
TOTAL									

Fund No. 1:	Existing Funding									Program Code
Component	Prior	08/09	09/10	10/11	11/12	12/13	13/14+	Total	Funding Agency	
E&P (PA&ED)										
PS&E										
R/W SUP (CT)										
CON SUP (CT)										
R/W										
CON										
TOTAL										
Proposed Funding									Notes	
Component	Prior	08/09	09/10	10/11	11/12	12/13	13/14+	Total		
E&P (PA&ED)										
PS&E										
R/W SUP (CT)										
CON SUP (CT)										
R/W										
CON										
TOTAL										

Fund No. 2:	Existing Funding									Program Code
Component	Prior	08/09	09/10	10/11	11/12	12/13	13/14+	Total	Funding Agency	
E&P (PA&ED)										
PS&E										
R/W SUP (CT)										
CON SUP (CT)										
R/W										
CON										
TOTAL										
Proposed Funding									Notes	
Component	Prior	08/09	09/10	10/11	11/12	12/13	13/14+	Total		
E&P (PA&ED)										
PS&E										
R/W SUP (CT)										
CON SUP (CT)										
R/W										
CON										
TOTAL										

1 of 5

NOTE: THIS FORM CAN BE DOWNLOADED AT:<http://www.dot.ca.gov/hq/transprog/ocip/2012stip.htm>

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Project Programming Request Instructions

GENERAL INSTRUCTIONS

The California Transportation Commission (CTC) State Transportation Improvement Program (STIP) Guidelines requires a Project Programming Request (PPR) be prepared whenever a project is added to the STIP, or whenever there is a proposed change to a project in conjunction with an Amendment request. These sheets provide the information necessary to properly program or amend a project in the STIP in accordance with State statutes and CTC policies. PPR's are prepared by the Project Sponsor or implementing agency, with assistance from the Regional Transportation Planning Agency (RTPA), Caltrans District Office or Headquarters (HQ) Transportation Programming, as appropriate.

In addition to STIP funded projects, PPR forms are to be used for projects with Corridor Mobility Improvement Account (CMIA) Bond, State Route 99 Improvement Bond, Trade Corridor Improvement Fund (TCIF), and/or Transportation Congestion Relief Program (TCRP) funding.

The CTC STIP, Bond and TCRP Guidelines are located at:

<http://www.dot.ca.gov/hq/transprog/ocip/guidelines.htm>

PROJECT INFORMATION FORM

New project

For new projects to be programmed, the PPR template is located at:

<http://www.dot.ca.gov/hq/transprog/ocip/2010stipdev.htm>.

Amendment (Existing Project)

To amend an existing programmed project, a PPR can be generated directly from CTIPS. This process will automatically populate the form with data from CTIPS. To quickly set up a CTIPS account, please send an e-mail to the CTIPS Account Administrator., HQ Division of Transportation Programming,

Date

Date the PPR was last updated (in mm/dd/yy format).

Caltrans District

"Caltrans District" is the district in which the project is located.

EA

"Expenditure Authorization (EA)" is a unique, 5-digit number assigned by Caltrans for all on-system projects.

PPNO

"PPNO" is an identification number assigned by Caltrans District offices for all STIP and Bond projects. Caltrans HQ Transportation Programming assigns PPNOs for intercity Rail projects administered by the Caltrans Intercity Rail Program and programmed through the Interregional Transportation Improvement Program (ITIP).

TCRP No.

TCRP No. is a project identifier, which relates to the specific paragraph number in Government Code Section 14556.40, Article 5 of the TCR Act of 2000.

County

“County” is the full county name from which the Regional Transportation Improvement Program (RTIP) funds are being contributed. For projects programmed with Interregional Transportation Improvement Program (ITIP) funds, and no RTIP funds, the county in which the project is located is used. If project is located in a county other than the county contributing the RTIP funds, then the county in which the project is located would be identified in the “Location and Project Limits” section of the Fact Sheet.

Route/Corridor

“Route/Corridor” is the State Highway or intercity rail corridor on which the project is located.

Project Sponsor/Lead Agency

“Project Sponsor/Lead Agency” is the primary supporter for the project, and is usually, but not necessarily, the Regional Transportation Planning Agency (RTPA).

MPO

Metropolitan Planning Organization for project.

Element

“Capital Outlay (CO) (All On-system), Local Assistance (LA), Mass Transportation (MT), Intercity Rail (RAIL)”, are the appropriate designations based on the type of project.

Project Title

“Project Title” is a concise statement of the Project Description.

PM Back and PM Ahead

“PM Back” is the Post Mile (PM) location on the State Highway or Intercity Rail line for the beginning project limits. “PM Ahead” is the Post Mile (PM) location on the State Highway or Intercity Rail Line for the ending project limits.

Project Manager/Contact, phone & e-mail

The “Project Manager” section identifies the individual responsible for delivering the project within cost, scope and schedule.

Location, Project Limits, Description, Scope of work, Legislative Description

The “Location and Project Limits” is a brief description of the project location. The location should start with a listing of the cities or communities in which the project is located followed by the cross streets or other distinguishing features that identify the beginning and ending project limits as appropriate. Long-distance Rail projects should include a listing of the counties in which the project is located followed by the cities or communities or other distinguishing features that identify the beginning and ending project limits. For rural projects, the nearest community should be identified along with the beginning and ending limits. The Description and Scope of Work is a brief description of the elements of work. Generally the description should be two lines or less, but more complex projects, with several different activities, may require more.

The Legislative description is for TCRP projects only. If the TCRP project is a split from larger project, give location and description of the split project.

Implementing Agency

“Implementing Agency” is the recipient of the funds allocated by the CTC and the agency responsible for delivering the project within cost, scope and schedule.

The identification of the Implementing Agency determines how project components are programmed, and therefore must be properly identified. Whenever Caltrans is identified as the Implementing Agency, Right of Way Support and Construction Support will be programmed separately from Right of Way Capital and Construction Capital. For Implementing Agencies other than Caltrans, Right of Way Support and Construction Support are programmed together with the Right of Way Capital and Construction Capital components.

Reimbursements

Select the appropriate choice from the drop down list, or leave blank if appropriate.

LONP (Letter of No Prejudice) is not currently in use (as of August 2009), but proposed legislation would allow its use on Prop 1B projects. Select "LONP" if an LONP has been approved by the CTC.

AB 3090 - Select "AB 3090" if an AB 3090 reimbursement has been approved by the CTC. See <http://www.dot.ca.gov/hq/transprog/ocip/guidelines.htm> for guidance.

SB 184 - Select "SB 184" if the CTC has been notified that the local agency intends to start work, or has started work, using local funding. See <http://www.dot.ca.gov/hq/transprog/ocip/guidelines.htm> for guidance.

Legislative Districts

"Legislative Districts" are the applicable Legislative District Number(s) in which the project is located.

Purpose and Need (Transportation problem to be addressed by project)

Provide brief purpose and explanation of the need for the project. This section provides an overview of the purpose of the project and helps justify the funding.

Project Benefits

Describe the expected project benefits. Some example benefits are: delay time savings (hours) and peak period time savings (min/veh), HOV lane miles added, mixed-flow lane miles added.

Project Milestones

Enter the proposed schedule or actual completion of various project milestones. Any project milestone revision to projects funded with Prop 1B Bond must be addressed on the Amendment Information form.

Project Location Map

Attach a detailed map showing specific features of the project surrounding area. The size and scale of the map depends on the type of project and the project limits.

PROJECT PROGRAMMING REQUEST

Funding Information

GENERAL

The Funding portion of the Project Programming Request provides a detailed view of the proposed or amended project programming. This form distinctly identifies the various sources of funding that may be involved in a project. It delineates the programming breakdown for each funding source, and for each component within the funding source.

To nominate/program a new project, the Funding form is available for download at <http://www.dot.ca.gov/hq/transprog/ocip/2010stipdev.htm>.

To amend an existing programmed project, generate a PPR directly from CTIPS. This process will automatically populate the form with data from CTIPS. To quickly set up a CTIPS account, please send an e-mail to the CTIPS Account Administrator, HQ Division of Transportation Programming

Though the forms are formatted to suit a majority of situations that may arise in nominating/amending projects, PPRs are updated periodically for formatting purposes. Therefore, it is strongly recommended to download a new copy of the PPR every time their use is warranted.

A project receiving funds for a smaller distinct useable segment of an overall larger project displays only the funds contributing to the distinct useable segment. If funds are used in such a manner that the funds are not a distinct useable segment, then funding for the entire overall project must be displayed. Often, funding for larger projects may be split into smaller distinct useable segments or activities for programming and construction/contract award purposes. Caution must be used in displaying the various fund sources for these types of projects so that funding is not double counted when programmed.

Information entered in the proposed funding fields must be numbers only (no alpha characters, and no 'blanks' or 'spaces' from the space-bar). Otherwise the spreadsheet formulas will not function properly, resulting in incorrect programming.

FUNDING INFORMATION

General

All components proposed for programming **must** be fully funded. Generally the earlier components, such as project development, must be fully funded prior to programming later components such as construction. Future funding needs can be shown under a "Future Funding Needed" category.

For additional guidance on programming project components, see "Programming Project Components Sequentially" of the STIP guidelines.

In accordance with the CTC STIP Guidelines, all programmed component amounts must be escalated, and rounded to thousands.

Project Development Components

“Environmental Studies and Permits (E&P),” also referred to as “Project Approval and Environmental Document (PA&ED)” and “Plans Specifications and Estimates (PS&E)” is programmed in the fiscal year during which environmental studies will begin. Refer to “Program Year for Cost Components” of the CTC STIP guidelines for further information on programming Project Development components.

R/W Components

“Right of Way (R/W),” including Caltrans “Right of Way Support (R/W SUP),” is programmed in the fiscal year(s) during which Right of Way acquisition (including utility relocation) contracts will be executed. If the contracts are executed in a single year, the cost shall be programmed in that one fiscal year. The costs may be programmed in more than one fiscal year, as appropriate. Refer to “Program Year for Cost Components” of the CTC STIP Guidelines for further information. For Caltrans projects, STIP amendments for R/W Capital and R/W Support are only permitted in conjunction with the Annual Right of Way Plan. Refer to “STIP Amendments” of the CTC STIP Guidelines.

“Right of Way Support (R/W SUP)” is used only for projects implemented by Caltrans. For all other implementing agencies, Right of Way Support costs are included in the Right of Way Capital component.

Construction Components

“Construction (CON),” including Caltrans “Construction Support (CON SUP),” is programmed in the fiscal year during which the construction contract(s) will be advertised. All construction costs that are associated with a single construction contract should be listed in one fiscal year. If a project will have multiple contracts to be advertised in different fiscal years, then the construction costs (including Caltrans support costs) may be programmed in multiple years. In this case, a PPR must be completed for each segment.

“Construction Support (CON SUP)” is used only for projects implemented by Caltrans. For all other implementing agencies, Construction Support costs are included in the Construction Capital component.

Fiscal Years

Funding for each component is programmed according to appropriate fiscal year. The cost of each project component will be listed in the STIP no earlier than in the State fiscal year in which the particular project component can be delivered. Since the 2010 STIP covers the five-year period from FY 10/11 through FY 14/15, STIP funding may only be programmed in this five-year period. Any programming of STIP funds beyond the five-year period of the STIP must remain in the unprogrammed balance for programming in a future STIP cycle. Committed Non-STIP contributing funds for years beyond the five-year period of the STIP may be combined together into the “15/16+” column. Any additional funds needed, but not yet committed for the project, may also be shown for in the fiscal year 15/16+ column.

Program Code

Program Codes are used by Caltrans for the Transportation Accounting and Management System (TRAMS), to allow projects to be categorized for program and project tracking purposes. The codes are normally assigned by the Caltrans District Offices and are available at the following web site:

http://onramp.dot.ca.gov/hq/accounting/Coding_Manual1/

Funding Agency

The “Funding Agency” is the agency providing the local non-state contributions to the project.

Fund Source

The source of funds contributed to the project (i.e., RIP, IIP, TCRP, Prop 1B Bond-CMIA, RSTP, CMAQ, Local Measure, etc.)

Notes

The “Notes” field is available to include any pertinent information regarding the funding. For example the fund source may be more fully described, or if funds are being reduced for a particular component, the reason for the reduction should be noted.

FUNDING TABLES**EXISTING FUNDING (This is a protected field)**

The Existing Funding tables are generated directly from CTIPs and display current programming for the project. Any changes to existing funding must be explained using the Amendment form of the Project Programming Request.

PROPOSED FUNDING (This is an editable field)

The Proposed Funding tables display the proposed programming of funds for a new project or for a change to an existing project. The proposed funding is the summation of the existing funds and the increase/decrease that is being requested. For example, if a project has \$100,000 programmed in the current RTIP for PS&E in FY 10/11 and \$50,000 is proposed to be added to this component in the same year, the “Existing Funding” column will show \$100,000 for PS&E under 10/11 and the “Proposed RTIP Funds” column will show \$150,000 (sum of the existing \$100,000 and the \$50,000 increase requested) for PS&E under FY 10/11. Funding removed from an existing component is handled in a similar manner. If no change is being proposed to any of the information in the “Existing Funding” table, the information in the “Proposed Funding” table shall be exactly the same as in the “Existing Funding” table.

Please note the requirements of “Full and Partial Funding” in “Programming Project Components Sequentially” of the STIP guidelines.

PROPOSED TOTAL PROJECT COST (The contents in this table are calculated automatically)

The “Proposed Total Project Cost” table at the top of the funding information page provides an overview of the total funding proposed for each component of the project. All the information in this table is calculated automatically by summing up the values in the various fund source tables.

AMENDMENT INFORMATION**General**

This form must be completed for STIP, TCRP and Bond Amendment requests. Amendment request submittal requirements are available at the following web site:

<http://www.dot.ca.gov/hq/transprog/ocip/2010stipdev.htm>.

An amendment may change the scope, cost, schedule or implementing agency of a project. In general, amendments for STIP, TCRP and Prop 1B Bond projects will be treated the same. However, there are some differences:

- Projects programmed in the STIP require at least 30 days public notice before the CTC will approve an amendment. TCRP and Prop 1B Bond project amendments may be approved at the same CTC meeting presented to the CTC. If a project is programmed using multiple funding sources, including STIP, the amendment request will be handled in the same manner as a STIP amendment.
- The CTC will not amend a project programmed in the STIP to delete or change the program year of the funding for any project component after the beginning of the fiscal year for which it is programmed.
- Amendments to projects programmed in the TCRP may be handled at the time of allocation of the component.

Project Background

Provide detailed background of the project, including project programming and amendment history.

Programming Change Requested

Provide a detailed description of the proposed programming action. Enough information should be provided in order to clearly explain the programming change to the CTC.

Reason for Proposed Change

Explain need for programming action and why it is needed now.

- For STIP projects, can this programming action wait until the next STIP Cycle?
- For Caltrans implemented projects, attach an approved Program Change Request (PCR).
- For TCRP projects, can this amendment wait until allocation of the component?

If Proposed change will delay one or more components, clearly explain reason for delay, cost increase related to delay, and how cost increase will be funded

For STIP projects, an amendment that would delay the year of construction, the agency requesting the amendment should submit a project construction history. It is the CTC's intent to review this history when considering an amendment that would delay the year of construction. See the STIP Guidelines for further guidance.

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CALIFORNIA TRANSPORTATION COMMISSION
Adoption of PSR Guidelines**Resolution G-99-33**
Replacing Resolution G-99-30

- 1.1 WHEREAS in accordance with section 65086.5(d) of the Government Code, the California Department of Transportation (Department), in consultation with cities, counties, regional transportation planning agencies, and County Transportation Commissions, prepared Project Study Report (PSR) Guidelines adopted by the Commission on September 12, 1991, and
- 1.2 WHEREAS the Guidelines require updating because of changes in regulations, policies, and statutes as a result of Senate Bill (SB) 45, and
- 1.3 WHEREAS the Department submitted revised Guidelines to the Commission on July 14, 1999, and
- 1.4 WHEREAS the proposed PSR Guidelines provide the policy, standards, and criteria the Commission expects that agencies will use in the development of PSRs, and
- 1.5 WHEREAS in accordance with section 65086.5(d) of the Government Code, the Commission is required to adopt the PSR Guidelines, and
- 1.6 WHEREAS Chapter 783 of the Statutes of 1999 (AB 1012, Torlakson) has been enacted and requires guidelines for an expedited process through which projects may comply with the requirement that a PSR be prepared in order for a project to be considered for programming in the STIP, and
- 1.7 WHEREAS the proposed PSR Guidelines meet the intent of the provisions for an expedited process as required in AB 1012.
- 2.1 NOW THEREFORE BE IT RESOLVED the California Transportation Commission does hereby adopt the PSR Guidelines as proposed, and
- 2.2 BE IT FURTHER RESOLVED the adopted PSR Guidelines shall supersede the PSR Guidelines adopted by the Commission on September 12, 1991.
- 2.3 BE IT FURTHER RESOLVED that Caltrans will report to the Commission on a monthly basis the number of PSRs that have been approved by the Department and the number of appeals that have been made to the Chief Engineer. The report will include a listing of the specific projects that have been appealed. Upon receipt of the report, the Commission may include, on a future meeting agenda, an item to discuss an appealed PSR.

**Guidelines
For The Preparation
Of
Project Study Reports**

I. Introduction

On September 12, 1991, the California Transportation Commission(CTC) adopted guidelines for the preparation of Project Study Reports (PSR) pursuant to Chapter 715, Statutes of 1990 (AB 2038).The purpose of the guidelines was to assure a consistent approach in the preparation of PSRs regardless of who prepared the document.

Chapter 662 of the Statutes of 1997 (SB 45, Koop – STIP Reform) was enacted on January 1, 1998, and has modified programming responsibilities for the State Transportation Improvement Program (STIP). Additionally, Chapter 783 of the Statutes of 1999 (AB 1012 Torlakson) was enacted on October 10, 1999, and provides provisions for an expedited process for projects to meet the requirement that a project study report be prepared to be considered for STIP programming. These guidelines have been prepared to be consistent with these legislation and supersedes the September 12, 1991, guidelines.

II. Applicability

These guidelines shall apply to all projects proposed for STIP programming through the Regional Transportation Improvement Program (RTIP) or the Interregional Transportation Improve Program (ITIP). Its purpose is to assure a consistent and uniform approach in the preparation of PSR and project study report equivalents once a decision has been made to prepare this report. The decision to prepare a PSR is a cooperative effort between the Caltrans Districts and their respective Regional Transportation Planning Agencies or County Transportation Commissions.

Additionally, some Regional Transportation Planning Agencies (RTPAs) or County Transportation Commissions may use the SB 45 Planning Memorandum of Understanding (MOU) to provide a framework under which the Caltrans Districts and Regional Transportation Planning Agencies or County Transportation Commissions will cooperatively work together and communicate throughout the planning process and through completion of the PSR, while other RTPAs or County Transportation Commissions may already have established ongoing procedures for cooperatively working together in developing PSR.

III. Definition

PSR and project study report equivalents are engineering reports whose purpose is to document agreement on the scope, schedule, and estimated cost of a project so that the project can be considered for inclusion in a future programming document such as the STIP. (PSRs are also used by Caltrans for certain project candidates for the State Highway Operation and Protection Program (SHOPP) and the Toll Bridge Program and for certain locally funded projects on the State highway system.)

PSRs are prepared for State highway projects. The format of a PSR and its content are outlined in *Caltrans Project Development Procedures Manual*. Project study report equivalents are prepared for projects not on the State highway system. A PSR equivalent contains the same information required in a PSR, but need not be in the same format as a PSR.

IV. Existing Law

Under State law (Government Code section 14529(e)), the State Transportation Improvement Program (STIP) is limited to projects submitted or recommended through the Caltrans Interregional Transportation Improvement Program (ITIP) or a region's Regional Transportation Improvement Program (RTIP). The law further provides that neither the ITIP nor and RTIP may include a project without a Project Study Report or project study report equivalent (Government Code sections 14526(b) and 14527 (g)).

Chapter 622 of the Statutes of 1997 (SB 45, Kopp) provided the framework to allow environmental and design support components to be programmed in the STIP prior to the programming of right of way and construction capital components. Chapter 783 of the Statutes of 1999 (AB 1012, Torlakson) has further emphasized the need and use of the PSR (Project Development Support) to facilitate the expeditious programming of projects while meeting the requirements of completing a PSR for STIP programming considerations. These guidelines provide the use of PSRs to program the project development support components. The PSR (Project Development Support) is the appropriate document for programming these support components.

Permanent *STIP Guidelines* have been adopted by the CTC to assist Caltrans and the regions in the development of the future STIP and to provide further guidance on the implementation of SB 45.

V. Preparation and Review

For projects on the State highway system, it is expected that during the development of a project and the preparation of the PSR, there is open and continuous communication between Caltrans, the sponsoring agency (if applicable), and the RTPA/County Transportation Commission.

Caltrans will work cooperatively with the sponsoring local agency and RTPA/County Transportation Commission to determine the appropriate programming strategy for the project. The PSR (Project Development Support) shall be used to facilitate the programming of support costs to complete the environmental process and/ or the design phase of a project.

Guidelines for the Preparation of PSRs

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Caltrans will prepare and approve PSRs on the State highway system or will review and approve PSRs prepared by local agencies for project proposed on the State highway system pursuant to Government Code section 65086.5(c). By statute, Caltrans is required to review and provide comments within 60 days of the PSR submittal by the local agency. Upon submittal of the revised PSR by the local agency, Caltrans is required to complete its review within 30 days. This process is repeated until the PSR is approved.

For projects not on the State highway system, PSR equivalents will be prepared by the local agency having jurisdiction on the local street or road. PSR equivalents for these projects do not require review and approval by Caltrans unless the proposed project impacts the State right of way or facility. If there is an impact, Caltrans review will only be on the portion of the State right of way or facility that is impacted.

VI. Approval Authority

Caltrans or local agencies are responsible for approving projects proposed on State highways or local streets and roads within their respective jurisdictions. Specifically:

1. Caltrans will approve all PSR for projects on State highway system.
2. The appropriate city or county will approve all project study report equivalents for projects that are on a local street or road within its respective jurisdiction.

Unless they are the lead agency for a project, Regional Transportation Planning Agencies and County Transportation Commissions do not approve PSRs or project study report equivalents. Regional Transportation Planning Agencies and County Transportation Commissions may, at their option, retain approval authority for project study report equivalents prepared for projects off the State highway system. However, prior to programming a project in the RTIP, Regional Transportation Planning Agencies and County Transportation Commissions are responsible to verify that a PSR or project study report equivalent has been prepared and that the information contained within is sufficient for programming purposes.

The PSR or project study report equivalent is not required to be submitted with the RTIP or ITIP. However, the CTC or its staff may request copies of a project's report to document the project's cost or deliverability.

VII. Executive Review Committee

An Executive Review Committee will be established in each District to ensure that the project scope, cost, and schedule address transportation needs and provide optimal traffic operations and safety for those who travel and work on the State highway system. Either Caltrans, the sponsoring local agency, or Regional Transportation Planning Agency/County Transportation Commission may request that a project be reviewed by the District Executive Review Committee. The Committee will assess whether the scope, cost and schedule have been adequately identified and addressed in the PSR..

Guidelines for the Preparation of PSRs

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The members of the Committee shall include the District Division Chief for Design, the District Division Chief for Planning, the District Division Chief for Program/Project Management, a Regional Transportation Planning Agency/County Transportation Commission representative, and a local agency representative. The RTPA/County Transportation Commission representative and the local agency representative shall be independent of the proposed project and will be appointed by the District Director. The Executive Review Committee will make a final recommendation to the District Director.

In the event that issues cannot be resolved through this Committee, a final appeal may be made to the Deputy Director for Project Development (Chief Engineer) for final consideration.

Caltrans will report on a monthly basis to the CTC the number of PSRs that have been approved by the Department and the number of appeals that have been made to the Chief Engineer. The report will include a listing of the specific projects that have been appealed. Upon receipt of the report, the CTC may include, on a future meeting agenda, an item to discuss an appealed PSR.

VIII. Intent

The CTC intends that Project Study Reports and Project study report equivalents will be prepared to the quality and breadth of examination necessary to define the scope, schedule, and cost estimate of a project. The CTC intends that the process and requirements for PSRs and project study report equivalents be as simple, timely, and workable as practical, given that they must be prepared at the front end of the project development process, before in-depth environmental evaluation and detailed design. They must provide a sound basis for commitment of future state funding and project delivery. A PSR or project study report equivalent also provides a key opportunity to achieve consensus on project scope, schedule, and proposed cost. The CTC also intends that PSRs and project study report equivalents will not forestall or preclude the programming of a project. Use of the PSR (Project Development Support) will enable the programming of the project development support components to allow engineering and environmental studies to proceed to evaluate the merits and feasibility of alternatives before a preferred alternative is selected for the programming of right of way and construction capital costs.

IX. Report Standards

The PSR or project study report equivalent shall be prepared under the direction of a California registered Civil Engineer. The document will be stamped and signed as such.

A Caltrans Project Manager will be assigned to every capital outlay project on the State highway system, including projects sponsored by a local agency. The Project Manager is the single focal point for the project, is responsible for obtaining consensus on project scope, cost and schedule, and is responsible for the delivery of a quality project on time and within budget. The Project Manager is responsible for all project development activities from project initiation through closeout of the construction contract. Similarly, for projects not on the State highway system, the responsible local agency will assign a Project Manager or will designate the person most knowledgeable about the

project, who shall be responsible for answering all project-related questions from Caltrans or the CTC.

Guidelines for the Preparation of PSRs

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The PSR or project study report equivalent shall include, at a minimum, the following information as appropriate to address the specific project:

- Need and purpose for the project
- Background and project history
- Discussion and analysis of the alternatives (including project costs) that satisfy project need and purpose. The discussion of alternatives should include a Minimum Project Alternative. Project costs shall be summarized in the project components as follows:
 1. Completion of all permits and environmental studies
 2. Preparation of plans, specifications, and estimates
 3. Acquisitions of right of way
 4. Construction and construction management and engineering, including surveys and inspection

For projects on the State highway system, project component No.3 and No. 4 shall be further distinguished as follows:

- 3a. Right of way capital
 - 3b. Acquisition of right of way (support/soft costs)
 - 4a. Construction capital
 - 4b. Construction management and engineering, including surveys and inspection.
- System planning, including coordination and consistency with statewide, regional, and local planning
 - Inventory of environmental resources, identification of potential environmental issues and anticipated environmental processing type. Potential mitigation requirements and associated costs should also be identified.
 - Description of potential hazardous materials/waste problems and potential mitigation or avoidance. Associated costs should also be identified.
 - Identification of the potential or proposed sources of funding, project funding eligibility (e.g., “Federal aid eligible”), discussion of proposed implementation, and the tentative delivery schedule of the significant milestones. Significant milestones include:
 - Start Environmental Studies
 - Draft Environmental Document
 - Final Environmental Document
 - Begin Design Engineering
 - Completion of Plans, Specifications, and Estimates
 - Start Right of Way Acquisition
 - Right of Way Certification
 - Ready to Advertise
 - Start Construction (Contract Award)
 - Project Completion
 - Identification of the potential Programming and funding of the project

- Appropriate supporting attachments (i.e., maps, advance planning studies, cost estimate sheets, etc.)
- Project Nomination Fact Sheet as described in the *STIP Guidelines* shall be included as an attachment. Template for this Fact Sheet may be found on the Internet at: <http://www.dot.ca.gov/hq/transprog/stip.htm>.

Guidelines for the Preparation of PSRs

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X. Cost Estimates

The PSR (and equivalent) cost estimate is to be based on preliminary-level engineering, but needs be to the level of detail that, when considering the project for programming, will provide a reasonable approximation of the funding and staff resources that will be needed to deliver the project within the proposed schedule as outlined in the report.

Project costs shall be summarized in the project components identified above in “Report Standards”. Although a PSR or project study report equivalent may focus on the project components proposed for programming (i.e., “completion of all permits and environmental studies”), a preliminary cost estimate for all project components must be included in the PSR or project study report equivalent. This will enable the RTPAs, County Transportation Commissions, Caltrans, and the CTC to evaluate future program needs for construction compared to anticipated future program capacity.

In preparing the capital cost estimates, the degree of effort and detail for each study is expected to vary depending on the complexity and sensitivity of the issues. A cost breakdown for each of the major elements (i.e., roadway, structures, utility relocation, right of way acquisition, etc.) of the project must be provided. A contingency factor to cover unanticipated items of work or cost increases may be applied. Generally, a factor of 25% is acceptable. However, a higher or lower percentage may be used, if justified. In addition, the accuracy of cost estimates is usually less for PSRs which involve project development support (also known as “PSR (Project Development Support)”) than it is for standard PSRs or project study report equivalents.

XI. Documents Meeting Report Standards

Although Regional Transportation Planning Agencies and County Transportation Commissions who are responsible for the programming of projects in the RTIP may, at their option, adopt additional standards, policies and procedures for projects off the State highway system, the use of the following documents meet the above-mentioned report standards:

1. Project Study Report and Project Study Report (Project Development Support) as outlined in Caltrans *Project Development Procedures Manual* (PDPM). This is the standard for all project proposed on the State highway system regardless of who prepares the document or is the project sponsor. Caltrans may in the future make changes to the PDPM which are technical in nature. Technical changes to the PDPM which relate to PSR will be shared with CTC staff. Changes to policy require adoption by the CTC

For retrofit noise barrier projects, the Noise Barrier Scope Summary Report (NBSSR) outlined in Caltrans *Project Development Procedures Manual* is an appropriate document.

The Caltrans *Project Development Procedures Manual* can be found on the Internet at: <http://www.dot.ca.gov/hq/oppd/>.

2. Preliminary Environmental Study (PES) form and the Field Review Form

Guidelines for the Preparation of PSRs

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as described in Caltrans *Local Assistance Procedures Manual* (LAPM). This is the standard for all projects proposed off the State highway system and is equivalent to the PSR. Agencies may also, at their option, adopt Caltrans' Project Study Report for use on projects that are not on the State highway system. Caltrans may in the future make changes to the LAPM which are technical in nature. Technical changes to the LAPM, which relate to project study report equivalents will be shared with CTC staff. Changes to policy require adoption by the CTC.

The Caltrans *Local Assistance Procedures Manual* can be found on the Internet at: <http://www.dot.ca.gov/hq/LocalPrograms/>.

3. Project Study Report (Local Rehabilitation). This document is an appropriate document for pavement rehabilitation projects proposed off the State highway system and can be used by agencies at their option. This PSR format was transmitted to all Regional Transportation Planning Agencies and County Transportation Commissions in a letter dated December 8, 1998, from Mr. Robert L. Buckley, Program Manager, Design and Local Programs.
4. Uniform Transit Application. The Commission's Uniform Transit Application is the appropriate document for transit projects.
5. TEA Application. An application prepared in accordance with the Commission's Transportation Enhancement Activities (TEA) program guidelines is the appropriate document for TEA projects.

**LOCAL ROAD REHABILITATION
PROJECT CERTIFICATION****Local Agency Letterhead**To: (Regional Transportation Planning Agency)
(Address)

Date : _____

The City/County of _____ submits the following local road rehabilitation project for certification that the project is in compliance with California Transportation Commission guidelines.

Project

Description: _____

Street/Road	From ----- to -----	<u>Local Road Facility</u> (Pavement, drainage structure, bridge, cut slope, embankment, etc.)	PPNO	<u>Rehabilitation Strategy</u> (Resurfacing, chip seal, seal coat, restoration of existing facility, etc.)	<u>Service Life</u> (Years)

The project listed above meets the following standards:

- The type of work is eligible for local road rehabilitation, and excludes routine maintenance work, as described in Section II-D-9, "Eligibility of Rehabilitation Projects" of the *Procedures for Administering Local Agency Grant projects in the State Transportation Improvement Program*.
- For pavement rehabilitation, the estimated number of years the work will extend the service life of the facility is documented in a PSR or equivalent signed by a registered civil engineer.
- Pavement rehabilitation strategies with less than 10 years service life have been determined by a Pavement Management System (PMS) to be cost-effective and have a service life of 5 years or more. (Attach PMS certification if appropriate.)
- The work does not degrade any existing safety or geometric aspect of the facility.

City/County Signature: _____ Title: _____

Regional Transportation Planning Agency/County Transportation Commission Certification:

The _____ (Regional Transportation Planning Agency/County Transportation Commission) certifies the projects listed above meet California Transportation Commission guidelines.

Signature: _____ Title: _____ Date: _____

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**PAVEMENT MANAGEMENT SYSTEM (PMS)
CERTIFICATION****STATE TRANSPORTATION IMPROVEMENT PROJECTS****Local Agency Letterhead**

To: (Regional Transportation Planning Agency/County Transportation Commission)
(Address)

Date :
PPNO: _____
Project Description:

The City/County of _____ certifies that it has a Pavement Management System (PMS) and the project meets the criteria described in Section 23.2 of this chapter. A system must be in place to meet standards for pavement rehabilitation projects programmed in the STIP.

The system was developed by _____ and contains, at a minimum, the following elements:

- Inventory of all existing pavements under the City/County jurisdiction.
Centerline miles _____
Total lane miles (or equivalent units) _____
The last update of the inventory was completed _____, 20__
- Identification of sections of pavement needing rehabilitation
Total lane miles (or equivalent units) _____
- Estimate of the cost to rehabilitate deficient sections \$ _____
- A procedure to identify rehabilitation strategies that are cost effective
(Briefly describe it on an attached sheet.)

You may direct any questions regarding the system to _____ at _____.
(Name) (Phone No.)

Signature _____ Title: _____

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NOTICE OF SB 184 PROJECT START FOR LOCAL STIP PROJECTS
This notice shall also include a request for funding allocation (Exhibit 23-O)

Local Agency Letterhead

To: Caltrans District Local Assistance Engineer
(address)
California Transportation Commission Executive Director
(address)

Date: _____

Subject: SB 184 Notification of the Start of Reimbursable Work Prior to Allocation

The (local agency name) hereby notifies the California Department of Transportation and the California Transportation Commission of its intent to expend its own funds prior to allocation for the following project:

PROJECT PROGRAMMING NUMBER (PPNO): _____

PROJECT PHASE(S), PROGRAMMED AMOUNT(S), AND PROGRAM YEARS INCLUDED IN THIS NOTIFICATION

PROJECT DESCRIPTION

The proposed date for reimbursed work to commence is: _____

Choose one of the following two paragraphs:

- ☐ Federal funds are involved for this project. The “Request for Authorization to Proceed” package is included as an attachment to this notification (or was submitted to the district on _____, or will be submitted to the district by _____).
- ☐ State-only funds are approved for this project pursuant to the current “Project Funding Policy” (or: pursuant to an exception granted on _____).

In beginning reimbursable work prior to allocation, (local agency name) understands that reimbursements will be made by the State, subject to annual appropriation by the Legislature, if all the following conditions are met:

- The California Transportation Commission (CTC) makes an allocation for, and Caltrans executes a program supplement agreement for the project.
- Expenditures made by the local agency are eligible for reimbursement in accordance with state and federal laws and procedures. In the event that expenditures made by the local agency are determined to be ineligible, the State has no obligation to reimburse those expenditures.
- The local agency complies with all legal requirements for the project, including, but not limited to, authorization by the federal government, if required, and the requirements of the California Environmental Quality Act (Division 13, Section 21000) of the Public Resources Code.
- Prior to the time of first expenditure, the regional or local entity shall request an allocation for the project, which shall include a notice to the Commission of its intent to expend its own funds.

Signature of Local Agency Representative

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**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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REQUEST FOR FUNDING ALLOCATION

LOCAL HIGHWAY PROJECTS

Local Agency Letterhead

To: (DLAE Name)
District Local Assistance Engineer
Caltrans, Office of Local Assistance
(District Address)

Date: _____

PPNO: _____

EA: _____

(Brief Project Description)

(Location)

(County)

Assembly District: _____

Senate District: _____

Dear (DLAE Name)

We request that the California Transportation Commission allocate (total dollar amount of this request) of Regional Improvement Program or Interregional Improvement Program funding for this project.

Project Description:

Enter description of project location and scope from Project Programming Request.

Output/Outcome:

Enter action(s) to be taken and quantifiable benefits or results.

A. Fund Allocation Summary

<u>Project Component</u>	Fund Allocation
	(This Request)
Environmental Studies & Permits	\$ _____
Plans, Specifications & Estimate	\$ _____
Right of Way	\$ _____
Construction	\$ _____
Total	\$ _____

B. Total Project Funding Plan by Fiscal Year

List all funding sources and 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 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.)

C. Type of STIP Funding

Indicate type of STIP funding required. (Federal/State or State-only)

D. Request for Additional STIP Funding

If this request exceeds the amount programmed for any component, provide justification and the following information:

Additional funding required \$ _____

County reserves available \$ _____

County share advance required \$ _____ (If county reserves are inadequate to fund the shortfall)

E. Request for Advance of STIP Funding

If this request for funding is for STIP funding programmed in a future Fiscal Year, provide justification.

F. Status of Project

1) Completion of Environmental Document:

CEQA - Describe document type and date. (Required for all components except environmental studies)

- if the document type is ND, MND, or EIR, provide E Resolution #: E - __ - __

If the project is not exempt from CEQA, all CEQA environmental submittals shall be coordinated directly with the CTC. The lead agency ensures that the necessary environmental documents are brought forward to the CTC for action prior to allocation of funds to receive an E Resolution number.

NEPA - Describe document type and date. (Required for Right of Way and Construction, if applicable)

2) Right of Way Certification:

If this request is for Federal Construction funding, indicate the date right of way has been certified (or will be certified) for the project.

3) Construction

If this request is for Construction funding, whether project is ready to advertise (or the date the project will be ready to advertise.)

G. Timely Use of Funds

We request that the CTC allocate these funds [at the _____ meeting or by]
(use appropriate wording per Checklist instructions)

(Indicate the actual date that work on the project component commenced, if work on this component started prior to allocation as allowed by the provisions of Government Code 14529.17, as amended by SB 184. Eligible work will be reimbursed subject to the limitations described in Government Code 14529.17)

H. Local Agency Certification:

This Request for Funding allocation has been prepared in accordance with the *Procedures for Administering Local Grant Projects in the State Transportation Improvement Program (STIP)*. I certify that the information provided in the attached checklist is accurate and correct. I understand that if the required information has not been provided this form will be returned and the funding allocation may be delayed. Please advise us as soon as the fund allocation has been approved. You may direct any questions to

_____ at (Name)

(Phone No.)
Signature: _____ Title: _____ Date: _____

I. Regional Transportation Planning Agency/County Transportation Commission Concurrence:
(See attached Request for Funding Allocation Checklist for requirements.)

Concurred:

Signature: _____ Date: _____
(Title) (Agency/Commission)

J. Caltrans District Local Assistance Engineer Acceptance:

I have reviewed the information submitted on the Request for Funding and agree it is complete and has been prepared in accordance with the procedures outlined in Chapter 23 of the *Local Assistance Program Guidelines*.

Signature: _____ Date: _____
(Title)

Attachments:

- Project Programming Request
- Funding Allocation Checklist
- For Transportation Enhancement (TE) projects, attach the DLA approved TE application
- Others (as required, i.e., State-only funding exception approval, Justification for construction deadlines longer than 36 months, Pre-award Audit Request, Audit Disposition letter, State-only Finance Letter, Local Road Rehabilitation Project Certification, etc.)

Distribution: (1) Original + 1 copy to DLAE
(2)Copy to Regional Planning Agency/County Transportation Commission

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