



## *Local Programs Procedures*

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**LPP 07-03    Manual Update**  
**Subject:        Traffic Congestion Relief Program (TCRP)**

Reference:        *Local Procedures Program Guidelines (LAPG)*, Chapter 14 “Traffic Congestion Relief Program (TCRP)”

**Effective Date: July 27, 2007**

**Approved: Original Signed By**  
TERRY L. ABBOTT, Chief  
Division of Local Assistance

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### **WHAT IS AN LPP**

LPPs are Local Programs Procedures. These documents are used for the rapid deployment of new procedures and policies between updates of the Local Assistance manuals, guidelines and programs. They are numbered according to calendar year and order in which released. This is the third LPP issued in 2007; hence, it is LPP 07-03.

### **PURPOSE**

The purpose of this LPP is to create a new Chapter 14, Traffic Congestion Relief Program (TCRP) of the *Local Assistance Program Guidelines (LAPG)* with the processes and procedures for the Local Assistance Transportation Congestion Relief Program projects. Originally, the draft LPP for the TCRP Guidelines went out for review as Chapter 10. We are now replacing the chapter number and moving the TCRP guidelines from Chapter 10 to Chapter 14.

### **BACKGROUND**

In 2000 two bills were passed AB 2928 and SB 1662, creating the Traffic Congestion Relief Program. The TCRP guidelines were created and posted on the TCRP web page in order to process and close out their TCRP projects.

**USER FRIENDLY FEATURES**

- These new procedures are incorporated in the electronic versions of the LAPM and LAPG that are available at the Division of Local Assistance (DLA) Home page on the Internet at: <http://www.dot.ca.gov/hq/LocalPrograms/>. Under “Publications” select *Local Assistance Program Guidelines*.
- You may also purchase the Publications for Local Assistance DVD or CD, which acts as a one-stop shop for information and promotes flexible access to helpful information for local project delivery at: <http://www.dot.ca.gov/hq/LocalPrograms/lam/LApubsCD.htm>
- Additional user-friendly features were developed to make the manual easier to edit and to access on the DLA website.
- This LPP released an entire new Chapter 14. This will replace Chapter 14 in the hardcopy of the LAPG.
- To receive an electronic notification when new information is posted on the DLA website, please subscribe to the DLA list server at: <http://www.dot.ca.gov/hq/LocalPrograms/sub.htm>
- Comments and suggestions for improvement to the manual or the processes and procedures are welcome. They may be submitted to:

Department of Transportation  
Division of Local Assistance, MS 1  
Attention: Cathy Felkins  
P.O. Box 942874  
Sacramento, CA 94274-0001  
FAX (916) 654-2409  
[Cathy\\_Felkins@dot.ca.gov](mailto:Cathy_Felkins@dot.ca.gov)

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# CHAPTER 14 TRAFFIC CONGESTION RELIEF PROGRAM

## 14.1 INTRODUCTION

Assembly Bill 2928, the Traffic Congestion Relief Act (TCRA) of 2000, created the Traffic Congestion Relief Program (TCRP) and the Traffic Congestion Relief Fund (TCRF). The TCRP is a Transportation Funding measure that offers:

- \$5 billion in congestion relief for transportation system connectivity and goods movement projects.
- An additional \$1.4 billion, over 5 years for local street and road maintenance, transportation operations and State Transportation Improvement Projects (STIP).

### PROJECT ELIGIBILITY

AB 2928 was amended by Senate Bill 1662, which established a list of specific TCRP projects (location, description, and funding amount) that are entitled to a portion of the \$5 billion. TCRP funds availability is dependent on the state budget. When TCRP funds are not available, existing projects that have been allocated TCRP funds may become inactive, receive alternative funding, or have their schedules amended until funds do become available.

### MAINTENANCE FUNDING

Maintenance funds were to be allocated annually to cities and counties through the State Controller by formulation described in the legislation. Due to statewide funding uncertainties, TCRP maintenance funding is no longer available.

### WEB ADDRESS

See the TCRP website at: <http://www.dot.ca.gov/tcrp> for the statutes, program requirements, application forms, and the California Transportation Commission (CTC) guidelines.

## 14.2 TCRA EXCHANGE

### INTRODUCTION

The TCRA requires the CTC to adopt guidelines and implement an exchange program that allows the exchange of federal funds (Congestion Mitigation and Air Quality Improvement [CMAQ] and Regional Surface Transportation Program [RSTP]) for state transportation funds, based on funding availability. TCRA exchange funds availability is dependent on the state budget. Agencies interested in a funds exchange should contact District Local Assistance.

## PURPOSE

The TCRA exchange program is intended to increase program flexibility by the use of state and federal transportation funds to complete transportation improvements without compromising other funded projects or activities.

## ELIGIBILITY

When projects are submitted for funding with TCRA exchange funds:

- The project must be fully funded.
- The funds must be used for the same purpose that the federal funds being exchanged were intended.

## EXCHANGE RATIO

Regional agencies may request the exchange of state TCRF for local programs RSTP and CMAQ funds. The Agency shall provide apportionments and Obligation Authority (OA) at the same rate that the Federal Highway Administration (FHWA) distributes OA. (For definition of OA refer to Chapter 3, "Project Authorization" of the *Local Assistance Procedures Manual* [LAPM]). In exchange, state funds will be provided to the Agency at 90% of the OA exchanged.

## WEB ADDRESS

See the TCRP website at [www.dot.ca.gov/tcrp](http://www.dot.ca.gov/tcrp) for the statutes, exchange requirements, application forms, and CTC exchange guidelines.

# 14.3 TCRP ROLES AND RESPONSIBILITIES

## ROLES

### Applicant or Lead Agency

The Applicant's role is to submit a complete and correct application and follow-up paperwork jointly to the CTC and Caltrans at the addresses listed in the TCRP Guidelines appendix at: <http://www.dot.ca.gov/tcrp/guidelines/092800/app1.htm>. Follow-up paperwork may consist of allocation requests, progress reports, and proposed project amendments.

### California Transportation Commission

The CTC is tasked with establishing guidelines, approval of project applications, allocations, project amendments, scheduling and funding changes, and reporting the program status to the Legislature and the Governor.

### Caltrans-District

The District will designate a TCRP Project Coordinator (PC) or Project Manager (PM) for each TCRP project. The TCRP PC or TCRP PM should be the first point of contact for general information, project-related issues, and reimbursement billings.

TCRP projects that have a Local Agency as the applicant or lead agency will have a District Local Assistance staff assigned to the project. The District Local Assistance staff will approve all invoices and forward them to TCRP Accounting and process other project specific paperwork.

### **Caltrans-Headquarters Division of Local Assistance**

The Headquarters Division of Local Assistance will designate a TCRP PC who will work with the Local Assistance Area Engineer on issuing the project agreement to the Implementing Agency, processing allocations, and project close out.

### **Caltrans-Headquarters TCRP-Project Implementation & Delivery**

The Headquarters TCRP will send project application, allocation requests, and amendments to the CTC. It will assist the CTC in reviewing project and allocation applications, track project expenditures, project savings, and project close out. Headquarters TCRP also sends allocation letters to the Implementing Agency and to the Local Assistance TCRP PC.

### **Implementing Agency**

The Implementing Agency will carry out feasibility or environmental studies, plan preparation, acquisition of right of way, and completion of construction or procurement, as appropriate to complete the project.

## **RESPONSIBILITIES**

### **Applicant**

The Applicant is responsible for:

- Submitting all project applications.
- Securing funding commitments to complete the project.
- Concurring in decisions affecting the project purpose, scope, cost, or schedule recommended by the implementing agency.
- Making progress reports to the CTC.
- Working with the Metropolitan Planning Organization (MPO) and/or Regional Transportation Planning Agencies (RTPA) to ensure the project meets federal planning, programming, and air conformity requirements.
- Submitting amendments when changes are necessary to approved projects.

### **California Transportation Commission**

The CTC is responsible for:

- Adopting and amending program guidelines.
- Receiving, reviewing, and approving (or denying) project applications.

TCRP projects that have a Local Agency as the applicant or lead agency will have a District Local Assistance staff assigned to the project. The District Local Assistance staff will approve all invoices and forward them to TCRP Accounting and process other project specific paperwork.

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The Implementing Agency will carry out feasibility or environmental studies, plan preparation, acquisition of right of way, and completion of construction or procurement, as appropriate to complete the project.

## **RESPONSIBILITIES**

### **Applicant**

The Applicant is responsible for:

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- Securing funding commitments to complete the project.
- Concurring in decisions affecting the project purpose, scope, cost, or schedule recommended by the implementing agency.
- Making progress reports to the CTC.
- Working with the Metropolitan Planning Organization (MPO) and/or Regional Transportation Planning Agencies (RTPA) to ensure the project meets federal planning, programming, and air conformity requirements.
- Submitting amendments when changes are necessary to approved projects.

### **California Transportation Commission**

The CTC is responsible for:

- Adopting and amending program guidelines.
- Receiving, reviewing, and approving (or denying) project applications.

- Reviewing draft and final environmental documents as a responsible agency under California Environment Quality Act (CEQA).
- Directing the allocation of funds for project implementation.
- Considering and approving (or denying) amendments to applications or allocations, and minor changes to projects.
- Reporting on program implementation annually to the Legislature and Governor.

### **Caltrans District Local Assistance**

District Local Assistance is responsible for:

- Co-signing applications for projects on a state highway or intercity rail line or including interregional improvement funds.
- Reviewing applications and advising the CTC on projects where the Implementing Agency is a Local Agency.
- Working with rural agencies to ensure their projects meet planning, programming, and air conformity requirements.

### **Caltrans Headquarters Local Assistance**

Caltrans Headquarters Division of Local Assistance is responsible for:

- Preparing and executing an agreement with the Implementing Agency.
- Allocating funds as directed by the CTC.
- Administering the projects.

### **Caltrans Headquarters TCRP Project Implementation & Delivery**

Caltrans Headquarters TCRP is responsible for:

- Processing project applications to the CTC.
- Advising the CTC on project applications.
- Processing allocation letters.
- Administering the program.

### **Implementing Agency**

The Implementing Agency is responsible for:

- Carrying out feasibility or environmental studies, preparing plans, acquiring right of way, and completing construction or procurement as appropriate to complete the project.
- Ensuring the applicant, CTC, Caltrans, and the regional agency receive notice, opportunity to comment, and final environmental documents required by CEQA.

- Executing agreements with Caltrans.
- Certifying sustained level of transportation expenditures consistent with FYs 1997-98, 1998-99, and 1999-2000 during the period allocated funds are available for use.
- Requesting allocation of funds.
- Fulfilling administrative requirements including billing for reimbursement.

## 14.4 TCRP PROJECT PROCESS

### PROJECT APPLICATION

The statutes require the applicant specified in Article 5 of the TCR Act to prepare and submit to the CTC an application (see Exhibit 14-A “TCRP Project Application,” in this chapter and at: <http://www.dot.ca.gov/tcrp/application>.) for each specified project no later than July 6, 2002. For each project for which an application is received, the statutes require the CTC to notify the Governor and Legislature and seek statutory identification and approval of another project to use the funds. The CTC may reject without cause any application received after July 6, 2002; the Legislature and Governor may at any time render moot any application received after July 6, 2002, by assigning funds to other projects or purpose. The statutes describe the four phases of work as: 1) Studies, Environmental Review, and Permits, 2) Preparation of project plans and specifications, 3) Right of Way acquisition, and 4) Construction or procurement.

The statutes allow the CTC 90 days to review and act on the application. Applications to cover a partial stage of capital construction or procurement that will result in a usable portion of a project will also be acceptable. Applications should be submitted to the addresses shown in TCRP Guidelines Appendix- addresses at: <http://www.dot.ca.gov/tcrp/guidelines/092800/app1.htm>

Allocation requests for a study or initial phase of work may be submitted concurrently with the project application. See the section below on project allocation.

Statutes prohibit reimbursement of costs incurred prior to CTC approval of an application. Project costs incurred after the CTC approval, but prior to execution of the agreement, may be reimbursed retroactively.

### APPLICATION APPROVAL

CTC approval of the project application documents will include the following:

- The project scope, cost, schedule, and funding participation for all phases of work.
- Eligibility for the Implementing Agency to start reimbursable work and seek allocation of funds.
- A project schedule by phase for each fiscal year for the project.

- The spread of funds to be allocated to the project phases, the percentage rate of reimbursement of costs within project phases, and approval of any advance payments for specified phases of a project.

## **PROJECT AGREEMENTS**

Once the CTC has approved the project application, the agreement process is initiated (see Chapter 4, “Agreements,” of the LAPM). If an agency does not have a Master Agreement with Caltrans, one will be generated. Once a Master Agreement is in place a Program Supplemental Agreement (PSA) will be sent to the Implementing Agency for signature. An Agency cannot be reimbursed without a Master Agreement and PSA.

## **PROJECT ALLOCATION**

The statutes require the Implementing Agency to seek an allocation of funds from the CTC and start the first phase of work during the fiscal year scheduled. For construction or procurement phases, start of work is the awarding of a contract.

Allocations will be made in \$1,000 increments. The CTC will only allocate funds for work from an approved application. At the first allocation, the CTC will indicate how it intends to spread the funding among the phases of the project. At the time of the allocation, the CTC will also determine the percentage rate of reimbursement for each phase of work.

The CTC will process allocation requests (refer to Exhibit 14-B, “TCRP Allocation Request,” in this chapter and at: <http://www.dot.ca.gov/tcrp/allocation.doc>) during its regular meetings (the CTC generally meets every five weeks). The CTC intends to place allocation requests on its agenda whenever those requests are received at least 21 days before the meeting date unless the allocation request raises issues that will need time for examination.

The CTC delegates the approval of allocation requests to Caltrans when the allocation request matches the scope of work and the funding amount approved in the application unless the CTC directs otherwise in its approval of the application.

## **ENVIRONMENTAL DOCUMENTS**

The CTC is the responsible agency under the CEQA because it makes a discretionary decision in allocating funds to a project. Caltrans is likewise a responsible agency because it prepares and executes the terms of cooperative agreements on behalf of the state. Therefore, implementing agencies must ensure that both the CTC and Caltrans receive notices of preparation; the opportunity to review draft environmental documents and final environmental documents before allocation of funds and execution of cooperative agreements for project acquisition or construction (see Chapter 6, “Environmental Procedures,” of the LAPM).

## **REIMBURSEMENT**

The Implementing Agency will receive funds as reimbursement for billings submitted to Caltrans. The reimbursement will be at the percentage rate defined in the approved allocation.

If CTC allocated funds for the preparation of plans and specifications before completion of final environmental documents, Caltrans may reimburse the Implementing Agency for work to define project feasibility, scope, and design features in parallel with environmental studies, but may not reimburse for final design plans and specifications until after the CTC's approval of the environmental document.

The District Local Assistance staff will review, approve, and send all invoices for reimbursement to TCRP accounting for reimbursement.

### **ADVANCE PAYMENT**

The CTC may authorize one advance payment for project development work. This work includes studies, environmental review and permits, and preparation of project plans and specifications. The CTC may also authorize one advance payment, subject to demonstrated need for the implementation phases of a project including right of way acquisition, construction, or procurement. For projects that include studies only, the CTC may authorize lump sum payments for the entire scope of a project.

### **COST INCREASE AND SAVINGS**

The statutes limit the amount of funds available for allocation to a project to the amount authorized in the Act. If cost increases require additional funds to complete the project, the lead applicant Agency and Implementing Agency will be responsible for securing additional funds.

The statutes allow the Implementing Agency to use savings from any prior project phase for use on a later project phase. The applicant must concur with the use of funds, and the CTC must be notified of the savings, the reason for the savings, and how the agency intends to use the funds in later phases.

### **PROGRESS REPORTS**

The CTC must report TCRP progress annually to the Governor and Legislature. In order to assist the CTC in preparing its annual report, each lead agency will prepare project progress reports for each project (Refer to Exhibit 14-C, "TCRP Progress Report Form," in this chapter and at: <http://www.dot.ca.gov/tcrp/guidelines/092800/app4.doc>) and submit them jointly to the CTC and Caltrans TCRP. Reports shall be submitted by April 1 and October 1 of each year.

### **ANNUAL REPORT**

The statutes require the CTC to report annually to the Governor and the Legislature on the progress of TCRP projects. The annual report will address projects and project phases for which applications have not been submitted, project schedules, project delays, project failures, and cost savings.

### **AUDITS**

All funds authorized by the Act, allocated and expended, will be subject to financial and compliance audits by Caltrans Audits and Investigations. The Implementing Agency assumes responsibility to establish and maintain records of project costs, expenditures, allocations, and reimbursements in accordance with State Audit requirements.

## 14.5 PROJECT AMENDMENTS

### CHANGES TO THE PROJECT

The CTC may consider changes to a project at any time in the process. The CTC understands that external factors such as: environmental process, design considerations, right of way needs, construction contract issues, and other factors, may cause the Implementing Agency to change the project scope, cost, and schedule, and possibly project purpose. The CTC intends to allow project amendments consistent with its oversight responsibilities for the Act.

### MINOR CHANGES

The statutes allow the CTC to approve minor changes in scope, cost, or schedule of any phase of work as long the requested changes are consistent with the purpose of the approved project application. The CTC will address minor changes at the next meeting, if the request is received from the Implementing Agency at least 21 days before the meeting.

### MAJOR CHANGES

The CTC will consider requests for major changes as amendments to the project application. Major changes include:

- Change in Implementing Agency.
- Change in project purpose.
- Change in project scope and/or cost.
- Change in project financial plan that would change the proportional funding for the project.
- Change in project schedule that advances or delays future allocation dates.
- Change in allocations between project phases, or reimbursement rates, or advance payments from allocations.

The CTC expects the Implementing Agency to bring forward any proposed change of schedule for a future phase before the date the phase is scheduled to start, and may reject any amendment brought forward after the scheduled start date.

The statutes require the Implementing Agency to report in a timely manner to the CTC, if the first phase of the project cannot be completed on schedule. The report should address the cause for the delay and the probable impacts to the project. After reviewing the report, the CTC may reconsider the project application and request modifications to the project schedule and other elements of the application. If it deems appropriate, the CTC may instead postpone its reconsideration of the application until completion of the environmental phase of the project.

## CHANGES AFTER ALLOCATION

The Implementing Agency may request to move funds to a phase with costs that have an unexpected increase from a future phase. The CTC may approve a supplemental allocation up to the amount that would preserve the approved proportional reimbursement rate throughout the phase with increased costs; if the Implementing Agency can demonstrate to the CTC that sufficient funding will be available to complete the project.

## PROJECT DELAYS AND FAILURE

The statutes require the Implementing Agency to make diligent progress toward completing the project. If the CTC determines that the applicant or Implementing Agency are not pursuing the work or using the funds diligently; the CTC may rescind its allocation, leaving the unused funds in the TCRF for future use as authorized by the Act.

If the CTC determines that a project is being delayed by factors external to the control of the applicant or Implementing Agency and are not likely to be removed within a reasonable time, the CTC may rescind the unspent portion of the allocation. The CTC may reserve any unused funds and allow the applicant to submit an application for an alternative project. The CTC will determine a reasonable deadline for the submittal of the new application, which must conform to the requirements in the guidelines.

# 14.6 TCRP PROJECT CLOSE OUT PROCESS

## ROLES

### Lead Agency

The Lead Agency or its representative will be responsible for preparing the close out information.

### Caltrans District Project Coordinator (PC)

The Caltrans District PC will send the close out information to Headquarters within 60 days of the TCRP portion of the project's completion.

### Caltrans District Local Assistance

The District Local Assistance Engineer (DLAE) will perform the project final inspection, process the final close out paperwork, and submit the close out information to Headquarters TCRP and the Headquarters Local Assistance TCRP PC.

### Division of Local Assistance TCRP Coordinator

The TCRP PC will close out the project file and send all information to TCRP Accounting for archiving.

## PHASE CLOSE OUT

Whenever the TCRP funds for any phase of a project have been fully expended, or the TCRP scope of work has been completed; a phase close out is required.

**Note:** For projects that only have Phase 4 TCRP funds, use the Final Project Close out process.

## PHASE CLOSE OUT PROCESS

The Local Agency or its representative will send to the District TCRP PC:

- A signed letter of Phase Close out (Exhibit 14-D “TCRP Letter of Project Close out”).
- The TCRP Project Expenditures by Phase (Exhibit 14-E “TCRP Project Expenditures By Phase”).

The District TCRP PC will verify the information and sign the letter of Phase Close out.

The District TCRP PC will send the Phase Close out package to the HQ TCRP PC, who will send a copy to the Headquarters TCRP.

## PROJECT STATUS REPORTING

Although all TCRP funded work may be completed, the Lead Agency is required to continue reporting the status of the project to the TCRP per Government Code Chapter 4.5, Article 4, Section 14556.36 and subsequent legislation.

## TCRP COMPLETION

The TCRP close out procedure will be followed when TCRP funded work is completed on a project even when the entire project is not yet completed.

## FINAL PROJECT CLOSE OUT PROCESS

**Local Agency Final Inspection** - The Local Agency or its representative will:

1. Make a final inspection and complete items 1-10 of the Local Agency Final Inspection Form-FIF-8/97 (see Exhibit 17-C “Local Agency Final Inspection Form,” of the *Local Assistance Procedures Manual* [LAPM]).
2. Send the FIF to the District PC.

**Project Verification** - The District PC will:

1. Review the job site and verify that the project was constructed in accordance with the scope and description of the project application.
2. Complete Sections 11-13 of the FIF and ensure that Sections 1-10 have been completed.

3. The PC will keep the original and send a copy of the completed FIF to the Local Agency.

**Final Project Expenditure Report** - After the Project Verification is completed, the Local Agency will submit the following Final Project Expenditure Report to the District PC. The report will consist of:

1. Signed letter of Project/Phase Close out (Exhibit 14-D “TCRP Letter of Project Close out”) or completed FIF.
2. TCRP Project Expenditures by Phase (Exhibit 14-E “TCRP Project Expenditures By Phase”).
3. Final Invoice.

After the District PC has signed the Project Close out letter, they will:

1. Send the Final Invoice to TCRP Accounting.
2. Original FIF form will be attached to the Final Project Expenditure Report.
3. Report package is sent to the Division of Local Assistance TCRP PC.

**Final Report to the TCRP** - Upon receipt of the Final Project Expenditure Report, the District Local Assistance TCRP PC will:

1. Make a copy of the Final Report package.
2. Send the copy of the package to the HQ TCRP.
3. File the original.

## AS BUILT PLANS

See Section 17.4 “As Built Plans,” of Chapter 17 of the LAPM, for the As Built Plan requirements.

## 14.7 REFERENCES

- *Local Assistance Procedures Manual (LAPM)*
- *Local Assistance Program Guidelines (LAPG)*
- Assembly Bill 2928- the Traffic Congestion Relief Act (TCRA) of 2000
- Senate Bill 1662 of 2000
- *California Transportation Commission Guidelines for Traffic Congestion Relief Program*

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Exhibit 14-A TCRP Project Application

Section I. Application Information

- A. Specify the paragraph number, authorized dollar amount, and project description pursuant to Government Code Section 14556.40 (a) (AB 2928, Chapter 91 of the Statutes of 2000) authorizing this project:  
 Paragraph Number: \_\_\_\_\_ Amount: \$ \_\_\_\_\_ million  
 Description: \_\_\_\_\_  
 \_\_\_\_\_  
 Applicant Agency: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 \_\_\_\_\_  
 Contact Person: \_\_\_\_\_  
 Phone #: \_\_\_\_\_ FAX # \_\_\_\_\_  
 E-mail: \_\_\_\_\_
- B. Implementing Agency \_\_\_\_\_  
 Address: \_\_\_\_\_  
 \_\_\_\_\_  
 Contact Person: \_\_\_\_\_  
 Phone #: \_\_\_\_\_ FAX # \_\_\_\_\_  
 E-mail: \_\_\_\_\_
- C. Caltrans District: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 \_\_\_\_\_  
 Project Manager/Coordinator: \_\_\_\_\_  
 Phone #: \_\_\_\_\_ FAX #: \_\_\_\_\_  
 E-mail: \_\_\_\_\_
- D. Application Type:  
 \_\_\_\_\_ Study only (*Complete Sections II, IV, VI, & VIII*)  
 \_\_\_\_\_ Non-Capital Phase(s)  
 (*Complete All Sections except VII. Detail for requested phase(s), estimate, otherwise*)  
     \_\_\_\_\_ Studies, environmental review, and permits  
     \_\_\_\_\_ Preparation of project plans and specifications  
 \_\_\_\_\_ Capital Phase(s) – **Must attach required environmental documents**  
 (*Complete All Sections except VII. Detail for requested phase(s), estimate, otherwise*)  
     \_\_\_\_\_ Right of Way Acquisition  
     \_\_\_\_\_ Construction or Procurement  
 \_\_\_\_\_ Complete Project (*Complete All Sections except VII*)  
 \_\_\_\_\_ Alternative Project (*Complete All Sections*)

Section II. General Project Information

- A. Project Name: \_\_\_\_\_
- B. Project Purpose: \_\_\_\_\_  
 \_\_\_\_\_
- C. Project Location (*attach a map if applicable*): \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

- D. Project Description: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_
- E. Project Scope: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_
- F. Total Estimated Cost of Project: \_\_\_\_\_
- G. Project Start Date: \_\_\_\_\_
- H. Construction Start Date: \_\_\_\_\_
- I. Project End Date: \_\_\_\_\_

**Section III. Project Phase Information**

Phase of work	Scope	Schedule (month/year)		Cost
		Start	End	
1. Studies, environmental review, and permits				
2. Preparation of project plans and specifications				
3. Right of Way acquisition				
4. Construction or procurement				
			Total:	

**Section IV. Project Phases and TCRP Funds covered by this Application**

	Phase 1	Phase 2	Phase 3	Phase 4	Total
TCRP Funds					
Estimated Allocation Date (month/year)					

- A. The Implementing Agency requests TRCP fund allocation in the amount of \$ \_\_\_\_\_ concurrent with this Application.
- B. The Implementing Agency requests an advance payment of \$ \_\_\_\_\_.  
 Please explain and justify:  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_
- C. Implementing Agency requests the following rate of reimbursement be considered in association with the requested allocation:  
 \_\_\_\_\_ Proportionally spread across all funding sources.  
 \_\_\_\_\_ Other, please explain and justify: \_\_\_\_\_  
 \_\_\_\_\_

**Section V. Funding Information for the Total Project**

Source	Type		Phase 1	Phase 2	Phase 3	Phase 4	Total
		Committed					
		Proposed					
		Committed					
		Proposed					
		Committed					
		Proposed					
		Committed					
		Proposed					
		Committed					
		Proposed					
		Committed					
		Proposed					
		Committed					
		Proposed					
Total:		Committed					
		Proposed					
Project Totals:							

**Section VI. Additional Information**

- A. Will this project utilize Regional or Inter-Regional Transportation Improvement Program funding?  
 Yes (Application must be co-signed by Regional Planning Agency or Caltrans, whichever is applicable.)  
 No
  
- B. For projects with a Right of Way or Construction/Procurement Phase, the Lead Agency must demonstrate that it is part of, or in conformity with, the appropriate Regional Transportation Plan. Attach a copy of the relevant section(s) of the Regional Transportation Plan.
  
- C. If this project will utilize other fund sources (i.e. STIP, local measure tax, demo funds, etc.) have they been programmed or committed? Please provide a narrative, describing how they have been committed, or a strategy that the Agency will undertake to commit necessary funds.

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**Section VII. Justification for Alternative Project Application**

- A. Reasons for Alternative Project (check all that apply):  
 Significant delay caused by environmental or other factors external to the control of the lead applicant agency that is not likely to be removed within a reasonable time.  
 Sufficient funds will not become available to secure the funds specified in the Act and complete the project within a reasonable time.  
 The designated project is not in or consistent with the respective Regional Transportation Plan, and the Regional Agency will not or cannot include it.

Completion of the specified project would jeopardize the completion of other projects programmed in the State Transportation Improvement Program as of July 2000.

B. Explain items checked above in more detail.

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C. Is the alternative project within the applicant's jurisdiction?

Yes  
 No

D. Explain how the proposed project presented in this Application will relieve congestion consistent with the Act:

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**Section VIII. Signatures of Applicant Agencies**

By affixing the signature(s) below, the Agency certifies it has provided complete and accurate information necessary for the CTC to review and process this Project Application that the Agency will in good faith pursue this work for the public's benefit in a timely and diligent manner and comply with all existing and future CTC policies and rulings; and that the Regional Planning Agency or Caltrans has reviewed and approved this project.

\_\_\_\_\_  
Officer or Director of Applicant Agency

\_\_\_\_\_  
Date

\_\_\_\_\_  
Officer or Director of Implementing Agency  
(Required if different from Applicant Agency)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Officer or Director of Regional Transportation  
Planning Agency (Required for use of RTIP funding)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Deputy Director of Finance, Caltrans  
(Required for use of ITIP funding)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Caltrans District Representative  
(Required for State Highway projects)

\_\_\_\_\_  
Date

**Distribution:** Local Agency, HQ TCRP, District Local Assistance, PC/PM

Exhibit 14-B TCRP Allocation Request

**Section I. Project Information**

- A. Project Name: \_\_\_\_\_  
\_\_\_\_\_
- B. Specify the paragraph number, authorized dollar amount, and project description pursuant to Government Code Section 14556.40 (a) (AB 2928, Chapter 91 of the Statutes of 2000) authorizing this project:  
Paragraph Number: \_\_\_\_\_ Amount: \$ \_\_\_\_\_ million
- C. Has the Project changed as defined in Section 7.2 or Section 7.3 of the TCRP Guidelines?  
\_\_\_\_ Yes, as defined in Section 7.2, complete this Allocation Request form and prepare a narrative describing the nature (what and why) of the change for submittal to the CTC for approval.  
\_\_\_\_ Yes, as defined in Section 7.3, complete this Allocation Request form and indicate:  
\_\_\_\_ A narrative describing the nature (what and why) of the change is attached.  
\_\_\_\_ An Amended Application for submittal to the CTC for approval is attached.  
\_\_\_\_ No, complete the Allocation Request form.

**Section II. Approved Application Information**

- A. What was the date of approval for the TCRP Application that covers this Allocation Request? \_\_\_\_\_
- B. Is this Allocation Request for a capital phase(s) (Phase 3 or 4 as defined in the Guidelines and Application)?  
\_\_\_\_ Yes, answer the following:  
Does the Approved Application cover any capital phase(s)?  
\_\_\_\_ Yes, therefore, any required environmental documents were submitted and approved along with the Application. Complete the Allocation Request.  
\_\_\_\_ No, attach required environmental documents and complete the Allocation Request. This request will require CTC approval.  
\_\_\_\_ No, complete Allocation Request.

**Section III. Project Phases and TCRP Funds covered by this Request**

Planned: (from Application)	Phase 1	Phase 2	Phase 3	Phase 4	Total
TCRP Funds					
Estimated Allocation Date (month/year)					
<b>History:</b> (List all previously approved allocations)					
TCRP Funds					
Allocation Date (month/year)					
<b>Requested:</b> Differences, if any, should be explained					

C The Implementing Agency requests an advance payment of \$\_\_\_\_\_.

Please explain and justify.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

D. The Implementing Agency requests the following rate of reimbursement be considered in association with the requested allocation.

\_\_\_ Proportionally spread across all funding sources.

\_\_\_ Other, please explain and justify: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Section IV. Signatures of Requesting Agencies**

\_\_\_\_\_  
Officer or Director of Implementing Agency

\_\_\_\_\_  
Date

\_\_\_\_\_  
Officer or Director of Applicant Agency  
(Required if different from Implementing Agency)

\_\_\_\_\_  
Date

**Distribution:** Local Agency, CTC, MPO/RTPA, District Local Assistance

**Exhibit 14-C TCRP Progress Report Form**

A. Specify the paragraph number, authorized dollar amount, and project description pursuant to Government Code Section 14556.40 (a) (AB 2928, Chapter 91 of the Statutes of 2000) authorizing this project:

Paragraph Number: \_\_\_\_\_ Amount: \$ \_\_\_\_\_ million

Description: \_\_\_\_\_  
\_\_\_\_\_

B. Applicant Agency: \_\_\_\_\_  
Address: \_\_\_\_\_  
\_\_\_\_\_

Contact Person: \_\_\_\_\_

Phone #: \_\_\_\_\_ FAX #: \_\_\_\_\_

E-mail: \_\_\_\_\_

C. Caltrans Project Manager/Coordinator: \_\_\_\_\_

Phone #: \_\_\_\_\_ FAX #: \_\_\_\_\_

E-mail: \_\_\_\_\_

D. Submittal date of project application (actual or projected): \_\_\_\_\_  
\_\_\_\_\_

E. Proposed/Approved project cost/schedule by start and end of each phase:

Phase of Work	Scope	Schedule (month/year)		Cost
		Start	End	
Proposed/Approved				
1. Studies, environmental review, and permits				
Current/Actual				
1. Studies, environmental review, and permits				
Proposed/Approved				
2. Preparation of project plans and specifications				
Current/Actual				
2. Preparation of project plans and specifications				
Proposed/Approved				
3. Right of Way acquisition				
Current/Actual				
3. Right of Way acquisition				
Proposed/Approved				
4. Construction or procurement				
Current/Actual				
4. Construction or procurement				
Proposed/Approved TOTAL:				
Current/Actual TOTAL:				

**E Project Expenditures by Phase:**

<b>Phase</b>	1. Studies, environmental review & permits	2. Plans, Specifications and Estimate	3. Right of Way acquisition	4. Construction or procurement	Total Expenditure
<b>Expenditure</b>					

**F Percent of Work Complete by Phase:**

<b>Phase</b>	1. Studies, environmental review & permits	2. Plans, Specifications and Estimate	3. Right of Way acquisition	4. Construction or procurement	Total Percent Complete
<b>Percent Complete</b>					

**H. Synopsis of issues, which may impact project implementation/progress:**

Financial: \_\_\_\_\_  
\_\_\_\_\_

Environmental: \_\_\_\_\_  
\_\_\_\_\_

RTP Consistency: \_\_\_\_\_  
\_\_\_\_\_

Projects programmed in 2000 STIP: \_\_\_\_\_  
\_\_\_\_\_

Other: \_\_\_\_\_  
\_\_\_\_\_

**I. Signature of Applicant Agency:**

\_\_\_\_\_  
Officer or Director of Applicant Agency

\_\_\_\_\_  
Date

**Distribution:** Local Agency, HQ TCRP, CTC, PC/PM

Exhibit 14-D TCRP Letter of Project Close out

Agency Letter Head

TCRP BREF# \_\_\_\_\_

Date:

Attention: (Program Chief's name)  
Office of the Traffic Congestion Relief Program  
Department of Transportation  
1120 N Street, MS 82  
Sacramento, CA 95814

Dear (Mr./Mrs./Ms. Program Chief's name):

Submitted for your consideration is:

A. Project Expenditures by Traffic Congestion Relief Program (TCRP) phase of work (See Attachment).

**CERTIFICATION**

I hereby certify that:

To the best of my knowledge and belief, the information in this report is a true and accurate record of actual project costs incurred and paid for the prescribed phase(s) of work and these project costs conform to OMB Circular A-87; CFR 49 Part 18 and the provisions set forth in project contractual document(s) entered into with the Department of Transportation.

\_\_\_\_\_  
Title and Unit of Lead Agency Representative

\_\_\_\_\_  
Date

I have reviewed the project, product or job site and believe that the described project phase(s) were completed in accordance the CTC's approved scope and funding set forth in the project authorization document and the related project agreement(s).

\_\_\_\_\_  
District Project Coordinator

\_\_\_\_\_  
Date

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Exhibit 14-E TCRP Project Expenditures by Phase

Traffic Congestion Relief Program  
Project Expenditures by Phase  
Project Brief: \_\_\_\_\_  
Date: \_\_\_\_\_  
(Dollars in thousands)

Prepared by \_\_\_\_\_

Fund	Phase 1	Phase 2	Phase 3	Phase 4	Total Amount
<b>TCR Fund Proposed</b>	-	-	-	-	\$ -
Allocated	-	-	-	-	\$ -
Expended	-	-	-	-	\$ -
(Over)/Under Allocation	-	-	-	-	\$ -
<b>SHA Proposed</b>	-	-	-	-	\$ -
Actual Allocated	-	-	-	-	\$ -
Expended	-	-	-	-	\$ -
(Over)/Under Allocation	-	-	-	-	\$ -
<b>Type of Federal Fund Proposed</b>	-	-	-	-	\$ -
Actual Allocated	-	-	-	-	\$ -
Expended	-	-	-	-	\$ -
(Over)/Under Allocation	-	-	-	-	\$ -
<b>Measure Fund Proposed</b>	-	-	-	-	\$ -
Actual Allocated	-	-	-	-	\$ -
Expended	-	-	-	-	\$ -
(Over)/Under Allocation	-	-	-	-	\$ -
<b>Other Fund Proposed</b>	-	-	-	-	\$ -
Actual Allocated	-	-	-	-	\$ -
Expended	-	-	-	-	\$ -
(Over)/Under Allocation	-	-	-	-	\$ -
<b>Other Fund Proposed</b>	-	-	-	-	\$ -
Actual Allocated	-	-	-	-	\$ -
Expended	-	-	-	-	\$ -
(Over)/Under Allocation	-	-	-	-	\$ -
<b>Other Fund Proposed</b>	-	-	-	-	\$ -
Actual Allocated	-	-	-	-	\$ -
Expended	-	-	-	-	\$ -
(Over)/Under Allocation	-	-	-	-	\$ -
<b>Other Fund Proposed</b>	-	-	-	-	\$ -
Actual Allocated	-	-	-	-	\$ -
Expended	-	-	-	-	\$ -
(Over)/Under Allocation	-	-	-	-	\$ -
<b>Total Project (Over) / Under Allocation</b>	\$ -	\$ -	\$ -	\$ -	\$ -

Savings- TCR Fund	-	Advance- TCR Fund	-
Savings- Other Funds	-	Advance Interest Earned	-
Total Project Savings	\$ _____	Advance-Expended	_____
		Total Ad. Exp. Savings	\$ _____

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