TIMELY USE OF FUNDS OVERVIEW

STIP – ATP – SB1
(LPP, TCEP, SCCP)
Todays Goal?

Understanding:
• Timely Use of Funds (TUF) Purpose
• Time Extension Request Process
• Submittal Timelines
• Extension Request Quality
• Delay Drivers by Phase
• Information Resources/Tools

What Programs do TUF rules apply to?
• State Transportation Improvement Program (STIP)
• Active Transportation Program (ATP)
• Local Partnership Program (LPP)
• Trade Corridors Enhancement Program (TCEP)
• Solutions for Congested Corridors (SCCP)
Timely Use of Funds

Established by Statute:
- For STIP, SB 45, Section 622 and Section 66 of the CTC STIP Guidelines
- ATP and SB1 Programs modeled after the STIP and have similar guidelines and TUF rules

Intention is to encourage local agencies to accurately program, monitor and deliver projects in a timely manner

What are the TUF Deadlines?
- **Allocations** - Funds must be allocated by CTC in the year programmed. (PA&ED, PS&E, RW, & CON)
- **Expenditure** - Project development-phase expenditures must occur by end of 2nd State FY following year of allocation (PA&ED, PS&E, & RW)
- **Contract Award** - Projects must be awarded within 6 months from construction allocation
- **Project Completion** - Project must be completed within 36 months of the award
Consequences of Not Receiving an Extension

Implementing Agencies that do no request an extension are at risk as follows:

- **For Allocations:** Funds lapse and particular phase will no longer be eligible for funding.
- **For Expenditures:** Only expenses incurred up to deadline are eligible for invoicing. Activities beyond deadline will no longer be eligible for reimbursement.
- **For Contract Award:** Construction funds lapse and no longer eligible for funding.
- **For Project Completion:** Only expenses occurred up to the deadline are eligible for invoicing. Activities beyond deadline will no longer be eligible for reimbursement.
Time Extension Request Forms

Forms
• STIP – 23B
• ATP – 22B
• SB1 – Pending

New Dynamic Time Extension Form being developed to replace 22B & 23B.

For projects with funding from multiple programs subject to TUFs, the program with the more restrictive deadline governs.

Delay Drivers - Allocations

- **PA&ED**
  - Lack of Master Agreement

- **PS&E**
  - Environmental Clearance
    - Permitting
    - Community Input
    - Technical Studies

- **R/W**
  - Environmental Clearance
    - Permitting
    - Technical Studies
    - Design

- **CON**
  - Environmental Clearance
    - Incomplete Plans & Specs
    - Right of Way Certification
Time Extensions also follow the CTC Meeting Prep Schedule

dot.ca.gov/hq/transprog/ctcliaison.htm

What Happens When You Need A Time Extension Request?

Complete a Time Extension Request Form
  - Provide justification supporting the amount of time being requested
  - Work with District Local Assistance staff

Review, revise and check for completeness
  - Work with District Local Assistance to correct deficiencies

Local Agencies can view the agenda items prior to the CTC meeting at: http://www.dot.ca.gov/hq/transprog/ctcliaison.htm
Good Example!

Signatures

3. Local Agency Certification:

This Report for Train Emergencies has been prepared in accordance with the Procedures for Administrating Local Projects in the Access to Transportation Program (LTP). The LTP is to be administered by the LTP Coordinator to ensure that the report is accurate and complete. This information is intended to be the final report in the project. The report may be revised at any time to ensure that it is complete.

Report Date: 

Agency:

4. Train Emergency Plan Approval

The report is approved by the

Date:

Dispenser:

5. California Division of Local Assistance Approval

The information contained in this Report for Train Emergencies is true and complete and has been prepared in accordance with the Procedures for Administrating Local Projects in the Access to Transportation Program (LTP).

Date:

Dispenser:

Agency/CDC:

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**Requesting a Time Extension**

1. Local Agency (Implementing Agency)
2. Regional Agency (RTPA/MPO)
3. Caltrans District
4. Caltrans HQ
5. Caltrans Office of CTC Liaison
6. CTC

**Who Approves The Extension?**

- Only the CTC can approve or deny time extension requests
- Local Agencies are urged to attend the CTC meeting to defend their extension requests
- Extension requests are NOT automatic nor guaranteed!
How Do You Know If Your Extension Was Approved?

- Watch the CTC Meeting live on Webcast
- Check the CTC Liaison’s website for the Action Taken Report (posted a week after meeting)
  - [www.dot.ca.gov/hq/transprog/ctcliaison.htm](http://www.dot.ca.gov/hq/transprog/ctcliaison.htm)
  - Local Assistance CTC Liaison emails to DLAEs after CTC Debriefing meetings
- HQ Program Analysts will generate an extension letter. Signed copy will be sent to local agencies via the DLAE’s.

For more information, please contact your District Local Assistance Engineer.

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Visit the Caltrans Local Assistance SB1 Website at [http://www.dot.ca.gov/hq/LocalPrograms/SB1/](http://www.dot.ca.gov/hq/LocalPrograms/SB1/)