

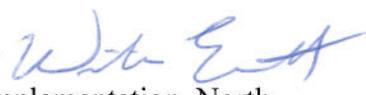
Memorandum

*Serious drought.
Help save water!*

To: DISTRICT LOCAL ASSISTANCE ENGINEERS
Districts 01-12

Date: July 7, 2016

File:

From: WINTON B. EMMETT 
Chief, Office of Project Implementation–North
Division of Local Assistance

Subject: **LOCAL ASSISTANCE PROCEDURE FOR SIMULTANEOUS PROCESSING OF
ALLOCATION/AUTHORIZATION REQUESTS**

This Local Assistance Office Memorandum establishes and documents the procedure that allows local agencies the option of submitting California Transportation Commission (CTC) Allocation requests and Federal Authorization requests simultaneously for any project component.

Background

Projects programmed with federal funds requiring project specific CTC allocations (such as those in the State Transportation Improvement Program (STIP) and the Active Transportation Program (ATP)) also require federal authorization to proceed before commencing with reimbursable work. Previously, when processing CTC Allocation requests for these projects that involve federal funds, the California Department of Transportation's (Caltrans) procedures did not allow for advanced or simultaneous processing of the required federal Requests for Authorization. This, in turn, led to instances of longer processing times, delayed/missed deadlines, and other procedural errors.

In an effort to minimize and ultimately eliminate these delays, we are formalizing and documenting the following procedure that will provide local agencies the option of submitting CTC Allocation requests and Federal Authorization requests simultaneously to Caltrans for any project component.

Procedure for Simultaneous Submittal of Allocation/Authorization Requests

Local Agency

For any given STIP or ATP project component for which federal funds are programmed, when requesting a CTC allocation of these funds, local agencies will now have the option to simultaneously:

- Submit a complete and accurate package for CTC Allocation to the District Local Assistance Engineer (DLAE).
- Submit a complete and accurate package for a federal Request for Authorization (RFA) to the DLAE.

The District Local Assistance Engineer (DLAE)

- The DLAE reviews both Allocation and Authorization requests for completeness and accuracy.
- If both Allocation and Authorization requests (including the E-76) are complete and accurate, the DLAE may submit them both to the HQ Office of Implementation simultaneously within CTC's published Preparation Schedule, and with a note on the E-76 FADS FUNDSUM Screen Status Comment field: "On Hold for CTC Allocation."
- If only the Allocation request is complete and accurate, the DLAE submits it to the HQ Office of Implementation within the CTC's published Preparation Schedule.
- When the Authorization request (including the E-76) is complete and accurate, the DLAE submits it to the HQ Office of Implementation, and notes in FADS FUNDSUM Screen Status Comment field: "On Hold for CTC Allocation."

HQ DLA Office of Implementation

- Upon receipt of the Allocation request, the HQ Office of Implementation will review and process it as usual and according to the CTC's published Preparation Schedule.
- Upon receipt of the RFA (E-76), the HQ Office of Implementation will review and process it as usual, yet will transmit it to FHWA only after the CTC allocates the funds for the project and posts the Actions Taken Report on its website. The HQ Office of Implementation will monitor these E-76s as the corresponding allocation requests make their way through the allocation process.
- If CTC does not allocate the funds for the project, the HQ Office of Implementation will return the E-76 to the DLAE. The DLAE will resubmit the E-76 back to the HQ Office of Implementation at a future date coinciding with CTC allocation.

Optional SB184 Simultaneous Allocation/Authorization Procedure
(STIP Only, ATP not eligible)

The SB 184 procedure described in LAPG Ch. 23 and Section 64A of the CTC Adopted STIP Guidelines gives a regional or local agency the option of starting work on a STIP project in advance of the CTC Allocation. For agencies choosing to use this procedure, the following items apply:

- The SB184 process, as described in the STIP Guidelines, must be followed.
- Funds must be programmed and authorized as Advanced Construction (AC). If not programmed as AC in the FTIP, the agency must complete that step first before the RFA can be processed.
- The agency simultaneously submits requests as described above.

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- The regional or local agency must submit a project allocation request that includes notice of the agency's intent to expend its own funds for the project prior to the allocation approval.
- STIP guidelines apply.

Benefits:

We hope to foster the following benefits by creating this procedure:

- Help agencies meet the Timely Use of Funds (TUF) requirements.
- Promote timely project delivery by combining the review of allocations and authorization submittals of federalized CTC allocated projects.
- Encourage earlier screening to help reduce potential project delays and, therefore, the need for time extensions.

Thank you for your help with implementing this optional procedure as we continue to strive toward more efficient project delivery.

cc: Ray (Rihui) Zhang, Chief, Division of Local Assistance
OCs, Division of Local Assistance