



Local Programs Procedures

LPP 07-02 Manual Update
**Subject: Additional Requirements for Requesting Funding Allocations
 and Other Technical Changes**

Reference: *Local Assistance Procedures Manual*, Chapter 3 “Project Authorization,” *Local Assistance Program Guidelines*, Chapter 23 “Local Agency STIP Projects”

Effective Date: June 29, 2007

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

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 second LPP issued in 2007; hence, it is LPP 07-02

PURPOSE

The purpose of this LPP is to make the following changes:

- Chapter 3 Changes - Revise the Exhibit 3-G of the *Local Assistance Procedures Manual* (LAPM) to better depict the correct boxes to be checked and also add explanation to box Item No.5 at the bottom of the page.
- Chapter 23 Changes - Revise Exhibits 23-N “Funding Allocations Checklist,” and Exhibit 23-O “Request for Funding Allocation Local Highway Projects” of the *Local Assistance Program Guidelines* (LAPG). A definition on project “Output/Outcome” was added on page 14 in reference to additional new requirement in the exhibits. Also, the estimated award deadline in Exhibit 23-N, Item 18 was modified to read “6 months after approval date” rather than 12 months.

BACKGROUND

Exhibits were modified to better assist the local agencies. This LPP is being prepared to inform you of the new requirement for all State Transportation Improvement Program (STIP) projects for which an allocation will be requested beginning with the July 2007 California Transportation Commission (CTC) meeting and continuing for all future STIP allocation requests.

Effective immediately, all projects requesting STIP allocations from the CTC will require a short explanation of the project Outputs and Outcomes in the “Request for Funding Allocation” form. Therefore, to accommodate the new requirements, Chapter 23-N and 23-0 exhibits were modified so that the local agencies will have the updated form in requesting allocations. The updated chapters are available at the Division of Local Assistance Home Page at:

<http://www.dot.ca.gov/hq/LocalPrograms/public.htm>



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. **Sidebars are used to indicate where revisions were made to the affected pages**
- 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

SUMMARY OF CHANGES

The pages in this LPP are to replace the pages affected by the revisions in Chapters 3 of the LAMP and Chapter 23 of the LAPG.

LAPM Item	Change
Chapter 3 Exhibit 3-G page 3-41	Revised the Federal Project Log Sheet.
LAPG Item	Change
Chapter 23 Section 23.4 (Procedures For Highway Project Allocations) page 23- 14, 15	Under “ <i>Request for Funding Allocation</i> ,” added “ <i>Output/Outcome- a short explanation of the action(s)...</i> ” as an additional information in the Request for Funding Allocation. This information will be provided by the local agencies requesting federal/state funds or state-only funding for STIP projects. Shifted last paragraph from page 14 to page 15.
Exhibit 23-N and Exhibit 23-O pages 23-77, 80, 83	Updated the exhibits to meet the new requirement from the CTC for additional information in requesting funding allocations. Under Item No. 18, the estimated award deadline was modified from 12 months to 6 six months.

EXHIBIT 3-G FEDERAL PROJECT LOG SHEET (MINIMUM REQUIREMENTS)
(For DLAE use only)

TO: AREA ENGINEER Department Of Transportation Division of Local Assistance - MS 1 1120 N Street, Sacramento, CA 95814 Mail: P.O. Box 942874 Sacramento, CA 94274-0001	Dist., Cty, Rte, Agency: _____ Fed. Aid Project No: _____ E.A. Number: _____ Date: _____
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From: _____

DLAE, District No. _____

Caltrans, Office of Local Assistance

	Prefix Chklist	FTIP/STIP Sht	FTA Grant App. *1	Field Rev. Form	Request for CSRA *2	Req. for Auth.	Req. for FTA Tran.	E-76	Finance Letter	Approved NEPA Document	Spec. Auth. Of Util. Est.	R/W Certification	PS&E Cert. & Chklist.	Preliminary Engineering Estimate	Cont. Award Chklist.	Detail Estimate	Approved DBE Submittals	R.O.E.*3	Date (HQ use only)
PRELIM. ENG.																			
Authorization	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox" value="1"/>	<input type="checkbox"/>	<input type="checkbox" value="5"/>								<input type="checkbox" value="3"/>						
Program Suppl't			<input type="checkbox"/>						<input type="checkbox"/>										
Cost Adjustment		<input type="checkbox"/>						<input type="checkbox"/>	<input type="checkbox"/>										
R/W																			
Authorization	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox" value="4"/>							<input type="checkbox" value="3"/>	
Cost Adjustment		<input type="checkbox"/>						<input type="checkbox"/>	<input type="checkbox"/>										
CONST & CE																			
Authorization	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox" value="3"/>	
Award Package*4									<input type="checkbox"/>						<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Cost Adjustment		<input type="checkbox"/>						<input type="checkbox"/>	<input type="checkbox"/>							<input type="checkbox"/>			
FTA TRANSFER	<input type="checkbox"/>	<input type="checkbox"/>					<input type="checkbox"/>		<input type="checkbox" value="2"/>										
PROJECT COMPLETION																			<input type="checkbox"/>

Legend

<input type="checkbox"/> = Required Document	<input type="checkbox" value="1"/> = The first two-sheets of field review form	<input type="checkbox" value="3"/> = Required prior for first authorization of FFY	<input type="checkbox" value="5"/> = Required for PS&E
<input style="border: 1px dashed black;" type="checkbox"/> = Required if not submitted previously or have significant change since	<input type="checkbox" value="2"/> = Only req'd if there are STIP Match \$ (Not often)	<input type="checkbox" value="4"/> = Required for Fed. Part. Util. Reloc.	

*1 FTA Grant Appl'n = Copy of grant appl'n funding info. For agencies using Sect. 5307 & 5336 procedures
 *2 Request for Subvention Reimbursement Allocation - ONLY required for State Highway System projects
 *3 Report of Expenditures; see Chapter 17, Project Completion, Local Assistance Procedure Manual
 *4 Award Package, see Chapter 15, "Advertise & Award Project", LAPM

Updated 06/29/07

Distribution: DLAE use

reimbursement will commence. The letter must identify the specific STIP project to which the AB 872 provisions will apply. **Only eligible work with costs incurred up to 12 months prior to the actual allocation date is reimbursable.** For federally-funded projects, the “Request for Authorization to Proceed Package,” described in Section 23.4.1 of this chapter, must be submitted and approved prior to the start of work in order to be eligible for reimbursement. Federal funds will be authorized, but funds will not be obligated until allocation. The Request for STIP Funding Allocation letter (explained later in these procedures) will state the actual date work for reimbursement commenced. Agencies will need to provide any required documents showing that state and federal requirements have been met. Based on the submitted information, the effective reimbursement date will be indicated in the executed program supplement agreement.

23.4 PROCEDURES FOR HIGHWAY PROJECT ALLOCATIONS

This section provides information for highway projects. General information for all project types can be found in Section 23.3 of this chapter.

23.4.1 ALLOCATION OF FUNDS

After a highway project is adopted or amended into the STIP, the next step is to submit a Request for Funding Allocation to the DLAE. However, depending on the type of project and funding, several additional actions may be required to obtain authorization to proceed and establish the date for the start of reimbursable work. (See Flow Chart 23-1, “Allocation Procedures (Highway Projects).”) These additional actions may include the following:

- The local agency submits a Request for Funding Allocation.
- The local agency submits a Request for Authorization to Proceed (for projects with federal funds).
- Caltrans and the local agency enter into an Administering Agency-State Master Agreement.
- The Commission (or Caltrans under the limited delegation authority) makes the Funding Allocation.
- Caltrans approves the local agency’s Request for Authorization to Proceed (E-76) or provides Authorization to Proceed in writing for projects with no federal funds.

Note: Caltrans does not verify the local agency’s capability to accomplish the specific project component as part of the allocation procedures. Instead, Caltrans maintains a process review program as the main method for determining if local agencies are in compliance with all applicable federal and state laws, related regulations, and procedures. If deficiencies are identified in a process review, local agencies, under sanctions imposed by Caltrans, may not be allowed to administer new projects until corrective action has been implemented. (Local agencies may appeal sanctions using the “Local Programs Dispute Resolution Process” described in Chapter 20, “Deficiencies and Sanctions,” Section 20.4 of the LAPM.)

REQUEST FOR FUNDING ALLOCATION (SEE EXHIBITS 23-N AND 23-O)

Local agencies are responsible for submitting requests for funding allocations for their projects in the adopted STIP. The requests shall be submitted to the DLAE for review and processing through Caltrans Headquarters, Division of Local Assistance (DLA) to the

Budgets Program. As long as the amount requested is equal to or less than the programmed amount and does not change the description and/or scope of the project, formal concurrence from the regional planning agency is not required. All requests to split or combine projects shall be approved by the regional planning agency. Because of the potential impact the timely use of funds provisions have on county share balances, RTPAs are responsible for monitoring the amount and timing of all fund allocation requests. Caltrans will develop a reporting system to assist in this effort.

Note: If the RTPA's governing board passes a resolution requiring their approval prior to submittal to Caltrans, the local agency shall provide written evidence of such approval on the Request for Funding Allocation.

If changes have been made that require a STIP amendment, a copy of the regional planning agency's STIP amendment request shall be attached. Information regarding STIP amendments can be found in Section 23.2 of this chapter. Caltrans will process the fund allocation requests concurrently with the CTC approval action on the STIP amendment.

Local agencies requesting federal/state funds, or state-only funding that has already been approved, shall provide the following information in the Request for Funding Allocation:

Project Identification - the STIP identification (PPNO and EA) and project number (if previously issued by Caltrans), the project name and location, and the Assembly and Senate Districts. Note: PPNOs, EAs, and project numbers are issued by Caltrans. Regional agencies are required to request PPNOs at the time of project programming. EAs and project numbers are issued by Caltrans upon project initiation.

Description of Proposed Improvement - a detailed description of the project scope from the Project Nomination Sheet. If the description has changed from the original Project Nomination Sheet, attach written concurrence from the RTPA.

Output/Outcome – an Output is an action(s) to be taken or product (i.e. adding a number of new miles of lanes) and Outcomes can be described as quantifiable benefits or results (i.e. improved travel time by a number of minutes).

Fund Allocation Summary – the total amount of funding allocation including 1) STIP programmed amounts by fiscal year; and 2) the amount of previous and current fund allocations (by project component).

State-only Funding Approval (if appropriate) – if the request is for state-only funding, identify the type of approval (i.e., identified in the adopted STIP, an approved exception, meets current state-only funding policy, etc.) See note below if state-only funding has not yet been approved.

Project Funding Plan by Fiscal Year - the type of STIP funding, identification of all other sources of funding, and any specified funding conditions. If expenditures and reimbursement will extend beyond the fiscal year of allocation, provide a schedule by fiscal year of anticipated cash flow. (If attached Project Nomination Sheet includes this detail, a separate funding summary is not required.)

Request for Additional STIP Funding – if the request exceeds the amount programmed for any component, provide information on the amount of additional funding required, county reserves available, county share advance (if county reserves are inadequate to fund the shortfall), and justification for the addition.

Status of Project – status of environmental studies, right of way certification, and estimated ready-to-advertise dates.

Estimated timely use of Funds Deadlines – the estimated deadlines for the various timely use of funds deadlines are based on the requested funding approval date (date of Commission meeting, or for delegated allocations, the date Caltrans would approve). Caltrans will identify the actual deadlines when the requested funding is approved.

Exhibit 23-N, a “Funding Allocation Checklist” is available to assist the local agency with determination of the proper form to use, approval authority, and calculation of the estimated timely use of funds deadlines. The checklist shall be completed by the local agency and attached to the request. A copy of the Project Nomination Sheet shall also be attached to the request. The local agency shall forward a copy of the funding request to the regional planning agency.

The local agency should allow 60 days from submittal of the Request for Funding Allocation to Caltrans until Commission approval. (Where all the prerequisite requirements are satisfied, Caltrans may be able to process the delegated approval of project allocations sooner. **However, all requests should be submitted in anticipation of the 60-day approval period.**)

Note: If state-only funding is needed and has not been approved, the local agency must submit the “Request for Exception to STIP State-Only Funding Policy” form, provided as Exhibit 23-F, in accordance with the requirements for exceptions to the policy (see Section 23.2.3, “State-Only Funding”).

For state-only projects with no other federal funds administered by the FHWA, the Request for Funding Allocation (including State-only Finance Letter and Funding Allocation Checklist) will serve as the basis for requesting the allocation, preparing the project agreement and setting up the project in the state accounting system. Exhibit 23-C, the “State-only Finance Letter,” provides the information needed by Caltrans to set up the project in the state accounting system.

REQUEST FOR AUTHORIZATION TO PROCEED PACKAGE

To initiate the authorization to proceed for any phase of a federally-funded highway project, the local agency must prepare a “Request for Authorization to Proceed” package. This package, along with required federal documents (Field Review Form, Finance Letter, Detail Estimate, Right of Way Certification, PS&E Checklist, Construction Administration Checklist, etc.), provides the information needed by Caltrans to formally authorize the start of each phase of reimbursable work, prepare the project agreement and set up the project in the federal and state accounting systems. Federal/state funded projects will be authorized in accordance with procedures described in the LAPM. Approval of the “Request for Authorization” by Caltrans establishes the date for the start of reimbursable work for each project component.

Normally, additional lead-time is needed to prepare the Request for Funding Allocation and prepare an agenda item for Commission action. Therefore, the funding allocation request may precede the Request for Authorization to Proceed. However, if all required information is available, both requests should be submitted at the same time.

Note: When beginning work ahead of allocation (see Section 23.3.2 of this chapter), the Request for Authorization to Proceed Package must be approved through

Caltrans prior to the start of work on federally-funded projects, regardless of the allocation request date.

MASTER AGREEMENTS

The Administering Agency-State Master Agreements for Federal-aid Projects (see Chapter 4, "Agreements," Exhibit 4-C of the LAPM) define the general terms and conditions which must be met by the local agency to receive federal-aid and state funds. Caltrans currently has Master Agreements with most agencies with candidate projects in the STIP or FTIPs. Projects implemented by agencies with no recent experience using federal-aid funds administered by the FHWA (from the STIP or other sources) will require a new Federal Master Agreement before the local agency may start reimbursable work.

A separate Master Agreement for State Funded Projects has been developed for state-only funded projects. Projects with state-only STIP funding, but also with other federal funds administered by the FHWA, will be administered under the Federal Master Agreement. Caltrans will initiate a new state-only Master Agreement when local agencies submit their first request for funding allocation for projects with no federal funding.

THE COMMISSION FUNDING ALLOCATION

All appropriate submittals noted in the sections above must be complete before Caltrans will forward the request with the funding recommendation to the Commission for approval (or approve under delegated allocation authority). Caltrans may request a copy of the PSR, or equivalent, to resolve issues regarding the project description and/or scope of the project. Incomplete submittals will be returned for correction.

FEDERAL AUTHORIZATION TO PROCEED (E-76)

For those local agencies that have a Master Agreement for Federal-aid Projects in place, Caltrans will approve the local agency Request for Authorization to Proceed (E-76) upon notification that the Commission has approved the allocation request. For agencies without a master agreement in place, an agreement will be initiated upon receipt of the initial Request for Authorization to Proceed. Under delegated allocation authority, Caltrans will approve the Request for Authorization and the allocation at the same time.

Note: For federally-funded projects programmed in the STIP where work will be started ahead of allocation pursuant to the guidelines in Section 23.3 of this chapter, Caltrans will approve the local agency Request for Authorization to Proceed prior to the allocation. Federal funds will be authorized, but will not be obligated until allocation.

START OF REIMBURSABLE WORK

Generally, the earliest date for which work may be reimbursed is the date project funds are allocated by the Commission unless the local agency has previously notified Caltrans in writing, at least two weeks prior to start of work, of its intent to start work prior to fund allocation. In that case, if the agency has complied with all other applicable statutes and regulations, the Commission's allocation will specify the date of earliest reimbursement based on the original notification date. **In no case will the earliest date of reimbursement be more than twelve months prior to the date of the Commission's allocation of funds.** Caltrans will issue an allocation letter that states the effective date

FUNDING ALLOCATION CHECKLIST LOCAL HIGHWAY PROJECTS

PPNO: _____

EA: _____

(Brief Project Description.)

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

Output/Outcome: _____

(Action taken/quantifiable benefits or results)

A 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.)

B. 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) _____ | |

Fund Allocation Summary

<u>20</u> 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	\$ _____		\$ _____	\$ _____	\$ _____

C. HIGHWAY FUNCTIONAL CLASSIFICATION
(Check appropriate box)

D. 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 |

E. 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/State (Skip to question No. 5)
- State-only

2. Is the State-only funding approved?

- Yes
- No

If yes, indicate the type of approval and then skip to question No. 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 Commission 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" (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 Commission. (Regional Transportation Planning Agency concurrence required.)

LOCAL ROAD REHABILITATION PROJECTS

5. Has the Regional Transportation Planning Agency (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.

DELEGATED ALLOCATION AUTHORITY BY CALTRANS

6. Is this Request for STIP Funding Allocation eligible for approval by Caltrans?

- Yes
- No

If "Yes", indicate type of eligibility

- Local road rehabilitation
- Project development component <\$1.5 million
- RSTP/CMAQ/TEA match reserves

Note: For local road rehabilitation projects, the RTPA must certify project is in compliance with Commission guidelines prior to Caltrans processing of requests for funding allocations. Attach copy of Certification.

7. Has the project description or scope changed from the Project Nomination Sheet?

- Yes
 No

8. Will this request cause the Total Allocation to exceed the amount programmed for any component?

- Yes
 No

9. Will this request require a funding advance?

- Yes ___ Right-of-Way ___ Construction
 No

If the answer to questions 7, 8, or 9 is “Yes”, the “Request for STIP Funding Allocation” may require approval by the California Transportation Commission. Regardless of the type of project, advance allocations must include written concurrence from the Regional Transportation Planning Agency. (Note: A Commission Resolution allows Caltrans to advance projects eligible for delegated allocation by up to two fiscal years.) Right-of-Way and Construction allocations for local grant projects other than match to federal funds or for local street and road rehabilitation projects require approval by the Commission.

ENVIRONMENTAL CLEARANCE REQUIREMENTS

10. 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.

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

- Yes
 No

If “No”, skip question 12, a NEPA Environmental Document is not required.

12. 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

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

- Yes
 No

If “Yes,” answer the following questions. If “No,” skip to #15.

Any contracts >\$250,000?

- Yes
 No

If “No”, Preaward audit not required, skip to question #15.

14. Status of the audit

- Completed (attach “Audit Disposition” letter)
 To be completed by Caltrans (“Preaward 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

15. Requested Funding Allocation Approval date _____

16. 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 Commission extends the deadline.**

17. 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 Commission extends the deadline.**

18. Is this request for Construction costs?

- Yes
- No

If “Yes”, complete the following:

Estimated award deadline for this allocation: _____ (date)

(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 Commission 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

19. Will this request require approval of an exception to the policy described in the current Commission-adopted “STIP State-Only Funding Policy?” (Question 2)

- Yes
- No

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

- Yes
- No

**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 *or* Caltrans] (*indicate approval authority per Checklist instructions*) 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 Nomination Sheet.

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 Nomination Sheet 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)
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 Commission *or* Caltrans] 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 AB 872. Eligible work with costs incurred up to 12 months before allocation will be reimbursed subject to the limitations described in Section 23.3, Chapter 23 of the *Local Assistance Program Guidelines*.)

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 _____

Signature _____ (name) _____ (phone number)
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 Nomination sheet
- Funding Allocation Checklist
- Others (as required, i.e., state-only funding exception approval, Justification for construction deadlines longer than 36 months, Preaward 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