The Department of Transportation
Electronic Funds Request Forms

ELECTRONIC FUNDS REQUEST 1
Overview 1
SECTION 1 – PROJECT PROCESSING INFORMATION 1
Request Type 1
Requested CTC Meeting 1
Revision Number 1
Last Saved 1
SECTION 2 – PROJECT IDENTIFICATION & LOCATION/DESCRIPTION 2
District 2
County 2
Route 2
Post Miles 2
Implementing Agency 2
EA 2
PPNO 2
TCRP Number 2
Program Location/Description 2
SECTION 3 – PROJECT FINANCIAL REQUEST & DATA 2
Common to all Funds 3
SHOPP & SHOPP Minor Funds 3
Program Code - For use with SHOPP funds requests only. 3
STIP Funds 3
Infrastructure Bond Funds 3
TCRP Funds 3
Other Committed Funds 3
SECTION 4 – ADDITIONAL PROJECT INFORMATION 4
Check all that apply: 4
SECTION 5 - ABILITY TO AWARD WITHIN SIX MONTHS WORKSHEET 4
Is the Project Ready to List for Advertisement? 4
Certified Construction Cost Estimate (For Projects greater than $5 million) 5
SECTION 6 - SYNOPSIS WORKSHEET 5
SECTION 7 – APPROVAL SIGNATURES 5

The Department of Transportation
Electronic Funds Request Forms

Project Manager 5
District Director or SFP 5
District Construction Deputy (Supplemental Vote Only) 5
Officer/Director Implementing Agency (TCRP) 5
Officer/Director Applicant Agency (TCRP) 5
Other Approval as Required 5
EFR Transmittal Instructions 6
STIP/TCRP/BOND Projects: 6
SHOPP & SHOPP Minor Projects: 6
GREATER THAN 120% JUSTIFICATION FORM (ATTACHMENT 1) 6
Reason for Increase 6
Options 6
SUPPLEMENTAL VOTE JUSTIFICATION FORM (ATTACHMENT 1) 6
Funding Status 7
Reason for Increase 7
Options 7
APPENDIX A - PROCEDURES FOR REQUESTING FUNDS FOR STIP AND SHOPP MAJOR PROJECTS (GREATER THAN 120'S) .....
APPENDIX B - PROCEDURES FOR REQUESTING SUPPLEMENTAL FUNDS FOR STIP AND SHOPP PROJECTS WHICH EXCEED THE G-12 AUTHORITY .....

Electronic Funds Request

OVERVIEW

The purpose of the Department of Transportation's (Department) Electronic Funds Request (EFR) form is to standardize and streamline the funds request process. Generally, the EFR will be comprised of a single form, divided into seven major sections, with supporting documentation to be attached as noted in Section 4 of these instructions.

When is this EFR form needed? – For all of the Department's implemented work. Do not use the EFR for Rail, Mass Transit, or Local Assistance State Transportation Improvement Program fund requests at this time. However, all Traffic Congestion Relief Program (TCRP) requests, regardless of mode, must use the EFR form.

For more information, contacts and procedures refer to the following links:

- July 20, 2006 Memorandum from Norma Ortega re: Request for Funds Electronic Submission for Capital Outlay Allocations
- August 2006 Request for Funds E-mail Instructions (Memorandum attachment)

SECTION 1 – Project Processing Information

Request Type

Designates the character of the request and associated processing requirements.
Select one of the following:

- **Standard** – This is the most common selection. The request for funds must be within 20% of the programmed amount to follow this process.
- **Greater than 120%** – Applicable only to the Department's on-system projects that are requesting an initial allocation greater than 20% of the programmed amount. Extra justification and paperwork is required. For more information see Appendix A in the instructions. See Attachment 1 on the EFR form to prepare Greater than 120% justification.
- **Supplemental Vote** – Applicable to the Department's on-system projects that have already received an initial (standard) allocation, but have exceeded G-12 capacity. Substantial paperwork and justification is required. For more information see Appendix B in the instructions. See Attachment 1 on the EFR form to prepare the Supplemental Vote request justification.
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Requested CTC Meeting

This is the date of the California Transportation Commission (CTC) meeting that the allocation is being requested. Review the CTC Preparation Calendar, located on the Division of Transportation Programming (Programming) website, and associated lead times to arrive at the appropriate CTC meeting date since the contract must be awarded within 6 months of the requested allocation date. The proper submittal deadline must be met in order for the request to be considered at the requested meeting date.

Revision Number

Funds Requests are to be submitted only after all requirements are met. However, in the event there is a compelling business related need to re-submit a Funds Request, please update this field to the next largest value.

Last Saved

Not a user modifiable field. This field is automatically updated when the file is saved.

SECTION 2 – Project Identification & Location/Description

District
The Department's districts. Acceptable values are 1 – 12 and 75.

County
County name where project is located. Use "Various" when a project cross's two or more counties.

Route
State highway or interstate route number. Use primary route number when project affects two or more routes. Leave blank if not a state highway system project.

Post Miles
State highway route post miles. Leave blank if not a state highway system project.

Implementing Agency
Recipient Agency. This is the agency that is going to be responsible for doing the work. For State Highway Operation and Protection Program (SHOPP) and most on-system STIP work this is the Department.

EA
The Department's Expenditure Authorization (EA) number. Leave blank if not a state highway system project.

PPNO
Project Planning (PPNO) number. STIP or SHOPP projects must have a PPNO. This number can be obtained by reviewing CTIPS.

TCRP Number
For use with Traffic Congestion Relief Program (TCRP) project funds requests. Review the TCRP Project list for further information.

Program Location/Description
This is the project location and scope of work as it is currently programmed in CTIPS. The description entered here should be the same as found in CTIPS. Even if the scope is changed, please refer to the scope as is currently programmed. Changes to scope are noted below.

SECTION 3 – Project Financial Request and Data

This section is designed so a sponsor may apply for all fund types concurrently for multi-funded projects.

State Only – Check this box if you are requesting State-Only funds. Also, attach the Approved State Only Exception request memo. Per the 2006 STIP Guidelines, funding for STIP projects will come from non-federal sources (with the exception of Transportation Enhancement projects).

FCO – Financial Contribution Only. Check this box if the allocation of the funds is being transferred to another agency. The project manager is responsible for preparing the federal documentation.

Con to take more than 36 Months – Check this box if construction is anticipated to take longer than 36 months to complete following award. List estimated number of months.

Common to all Funds

Requested – Amount requested for CTC allocation.

Programmed – The programmed (or committed for TCRP) amount is the amount of funding currently programmed (STIP, SHOPP, etc.) on the project by the CTC. The programmed amounts for STIP or SHOPP funds can be found in CTIPS. This is not the allotted amount for a SHOPP project.

Fiscal Year – Enter the fiscal year programmed for the specified component(s).The current programmed fiscal year can be found in CTIPS. Requests for advancements must be address in Section 6 on the EFR form in the "Comments" section.

SHOPP & SHOPP Minor Funds

Program Code - For use with SHOPP funds requests only, select the SHOPP program code in the drop down box that is appropriate for the project.

Final Expenditures – Only applicable to the Department's on-system projects. Enter the amount estimated to fully complete the component. For example: If the amount programmed (budgeted) is $100, but the amount needed to do all the work planned is estimated to be $135, then enter $135 here. Do not enter the difference between the programmed amount and estimated amount. This is the final estimated amount to fully complete the component including support costs.

STIP Funds

Final Estimate of Expenditures – Mandatory for on-system projects implemented by the Department. Enter the amount estimated to fully complete the component. For example: If the amount programmed (budgeted) is $100, but the amount needed to do all the work planned is estimated to be $135, then enter $135 here. Do not enter the difference between the programmed amount and estimated amount. This is the final estimated amount to fully complete the component.

Infrastructure Bond Funds

Bond Account – Select the Infrastructure bond account for allocation from pull down menu on form.

- Corridor Mobility Improvement Account (CMIA)
- State Route 99 Corridor
- Ports Infrastructure, Security & Air Quality
- State/Local Partnership Program Account
- Transit System Safety, Security & Disaster Response Account
- Local Bridge Seismic Retrofit
- Highway/Railroad Crossing Safety Account

TCRP Funds

If the request for TCRP funds also includes a request for an application amendment, please check the appropriate box in the Supporting Documentation section of the form.

Other Committed Funds

This part of the financial request section is to input complete the full funding plan for the project. Add in up to five fund types not listed on the form. Combine like fund types if necessary to fit within the five available lines. For example: if the project has several types of federal demo funds programmed from several federal bills, just merge them together and

call it demo. The purpose is to end up with a bottom line total per component that reflects the total funded level. In the case of the Department's construction allocation request, the "Total" of all funds line should be equal to the certified estimate.

Enter the name of the non-state fund and enter the amounts committed for each of the four project components.

SECTION 4 – Additional Project Information

The Funds Request is not considered a complete submittal without all necessary supporting documentation. Standard forms have been developed as attachments to the funds request to facilitate its processing.

Check all that apply:

Split or combine at Vote – Project Split at Vote, i.e., landscape, etc. (Attach Project Program Request for STIP project or other description of change.)

Concurrent TCRP/CMIA Amendment – Select to notify that there is a TCRP/CMIA Amendment submitted.

Authority to Advertise District Delegated (AADD) - Check this box if the project is being processed to award under this mechanism.

SECTION 5 - Ability to Award within Six Months Worksheet

Is the Project Ready to List for Advertisement?

- Check the "Yes" box if a Ready-to-List (RTL) date has been assigned by the headquarters Office Engineer. Enter the date.
- FTIP Requirement is met – Enter amount (dollars in thousands) programmed in approved FSTIP.
    - **Federal Transportation Improvement Program (FTIP) Requirement** – All federally funded and regionally significant projects are required to be listed in an approved MPO FTIP, or in the non-MPO rural FSTIP. Projects listed in an approved FTIP are expected to be current regarding scope, schedule, and cost. Please note whether the project is listed in a current FTIP (or non-MPO FSTIP) and whether the project is consistent with FHWA/FTA requirements for these documents. Attach a printed copy from the current MPO FTIP project listing to the funds request to verify consistency. If the project is part of a group listed project such as SHOPP projects, attach back up list of projects for the FTIP listing that shows the project as part of the listing.
    - If assistance is needed in making a determination of current FTIP status, refer to the on-line FTIP & FSTIP Agency Contacts document located on the programming federal project website for the best contact in your local area.
    - As noted above, SHOPP projects are not always shown as a specific project in a given FTIP. Often a SHOPP project is part of a group listing.
    - FTIP Requirement will be met – Enter amount (dollars in thousands) programmed in approved FSTIP.
- If you do not have a RTL date, then check the "No" box and enter the date the project is expected to get RTL. Use the narrative section below in "Comments" in Section 6 of the EFR form to add information supporting an allocation submittal without a RTL.

- Risk Vote. Check if this will be a risk vote request. Attach appropriate risk vote paperwork to the funds request.

Certified Construction Cost Estimate (For Projects greater than $5 million)

- **Within timeframe per policy.** Per policy, construction estimates must be updated and certified within specified timeframes. Check this box if this is the case for the project.
- **Will be certified.** If the construction cost estimate is not yet certified, check this box and enter the target date for certification.
- **Certified Cost Estimate Amount.** This is the certified cost estimate. This figure should be the same as the total construction amount (sum of all funds) on the primary funds request form.

SECTION 6 - Synopsis Worksheet

The purpose of this section is to capture information regarding the current disposition of the project in greater detail. While some of this information is captured at time of programming, some of it is not. This information is important for discussions of the merits of the project against other projects and with the CTC when proceeding towards project allocation.

- Type of Work – Describe major elements of Capital Improvement Project
- Outputs/Outcomes – Required by the CTC
- Need for Project
- Proposed Improvement
- Reason for Change - State Reason why if vote request is different from Programmed Amount
- Comments – Other special considerations if needed.

SECTION 7 – Approval Signatures

Project Manager

This is the person responsible for the day-to-day management and delivery of the project. Print name and sign as instructed.

District Director or SFP

Enter the signature of the Department's District Director or, if delegated, the District Single Focal Point (SFP).

District Construction Deputy (Supplemental Construction Vote Only)

Enter the signature of the Department's District Construction Deputy for the supplemental vote request only. Leave blank if not a Supplemental Request.

Officer/Director Implementing Agency (TCRP)

Enter the signature of the Officer and/or Director of the agency responsible for implementing the project.

Officer/Director Applicant Agency (TCRP)

Enter the signature of the Officer and/or Director of the TCRP applicant agency.

Other Approval as Required

Enter the signature, title and agency responsible if additional approval is required.

EFR Transmittal Instructions
Instructions to submit the EFR form are located on Programming's website. Please refer to the July 20, 2006 Memorandum from Norma Ortega re: Request for Funds Electronic Submission for Capital Outlay Allocations and August 2006 Request for Funds E-mail Instructions (Memorandum attachment) to email a scanned copy of this signed approved EFR form and all applicable supporting documentation as follows for:

STIP/TCRP/BOND Projects:

Email electronic package to STIP - Funds Request@dot.ca.gov

SHOPP & SHOPP Minor Projects:

Email electronic package to SHOPP - Funds Request@dot.ca.gov

Greater Than 120% Justification Form (Attachment 1)

Complete the following basic project identification information at the top of the Greater Than 120% Justification Form (Attachment 1):

Reason for Increase

1. Provide the assumption made which substantiate the last estimate (for final estimate or estimate at Programming) and why these assumptions were reasonable based on conditions at the time of estimate.
2. Document the circumstances or conditions that were discovered after the last estimate which caused the cost to increase and why these circumstances could not have been anticipated.
3. Explain why the new higher vote requests amount represents a value for taxpayers.

Options
Provide a minimum of two options, similar to the following:

Option A: Approve this request, for $X, XXX to allow this project to be advertised.

Option B: Deny this request and direct The Department to adjust the project to remain within the programmed amount. The Department has considered this option and determined that reducing the scope of work on this project, and executing another project to complete the deleted work later, would result in greater costs and more disruption to the traveling public.

For more information see Appendix A.

Supplemental Vote Justification Form (Attachment 1)

A supplemental vote is an allocation of funds for a project component that has already received its initial allocation and has exceeded G-12 authority. Reasons behind a supplemental allocation may be:

- Unexpected discovery of site conditions that introduced complexity and costs to the project.
- To settle contractor claims or other legal claims outside the scope of the project contingency and/or G-12 capacity.

Reasons leading to the increased project costs found to be within control of the Implementing Agency may cause rejection of the request. For projects implemented by the Department, the District Director is normally required to be present and available to the CTC to answer any project related questions that may come up. For other projects, it's recommended that the Project Manager and the Executive Director of the Implementing Agency, or someone else in comparable responsible authority, be available to the CTC to support the request.

Complete the following basic project identification information at the top of the Supplemental Vote Justification Form (Attachment 1):

Funding Status

Provide funding history. Below is an example for supplemental funds to award a project:

> *$X,XXX was programmed for this project in the 2004 State Transportation Improvement Program (STIP) for construction in FY 2005-06. The project was allocated $X,XXX on July 14, 2005. The project was advertised and bid results were opened on September 27, 2005.There were five bidders and the lowest bid was $X,XXX which was X.XX% over the Engineer's Estimate. The amount needed to award, based on the lowest responsible bidder is $X,XXX. This request for supplemental funds, results in an overall increase of XX.X% over the vote amount for this project. Funds available through G-12 authority is $X,XXX*.

Provide information about any other fund sources; their cost increase sharing plans or other availability to assist with the project need for additional funding.

Reason for Increase

1. Provide the assumption made and the changes that have caused the cost to increase. Explain why the original assumption was considered reasonable at the time.
2. Explain why the supplemental vote requests amount represents a value for taxpayers.

Options

Include a minimum of two options, similar to the following:

Option A: Approve this request for supplemental funds, as presented above, for $X, XXX to allow this project to be awarded.

Option B: Deny this request, direct the Department to revise the project to remain within the allocated amount and re-advertise the project. The Department has considered this option and determined that reducing the scope of work on this project, and executing another project to complete the deleted work later, would result in greater costs and more disruption to the traveling public.

Option C: Deny this request, direct the Department to reject all bids; retain current scope of project and re-advertise. The Department has considered this option and determined that due to winter night time temperatures and work windows based on traffic demand, there is no guarantee of having adequate number of bidders or lower price bids in the future and this option would delay the project.

For more information see Appendix B.

Procedures for Requesting Funds for STIP and SHOPP Major Projects that Exceed the Programmed Amount by 20% (Greater than 120's)

Once a PS&E for a STIP or SHOPP Major project has been submitted to Headquarters Office Engineer and has achieved RTL status, it can be presented to the California Transportation Commission (Commission) for an allocation (vote) at one of its regularly scheduled Commission meetings (approximately every 6 weeks). The mechanism for requesting an allocation is by submitting a funds request. If the amount of the request is less than 120% of the programmed amount, the request is submitted to Headquarters Division of Budgets with a copy to the Headquarters STIP or SHOPP Offices. The project will follow the normal allocation procedure. If a request for funds is prepared for a programmed STIP or SHOPP project and the total amount of the request exceeds 120% of the programmed amount, a different procedure is triggered. Unlike a request for funds that falls below 120% of the programmed amount, requests that exceed 120% of the programmed amount require additional justification and are processed separately. These requests are to be submitted to the Division of Budgets with a copy to the Headquarters STIP and SHOPP offices (whichever is appropriate) along with a copy to the Office of CTC Liaison (Attn: Lyle Stockton). The request for funds for projects that exceed 20% of their programmed amount are commonly referred to as "Greater then 120's" or "120's". When submitting a request for funds for a "Greater than 120", a "Request for funds (Greater than 120%)" will be prepared. The request itself is very similar to a normal request but "Greater than 120's" require back up information. Along with the request, a justification form (Attachment 1 of the funds request form) is required that provides detailed information and justification for the increase, including any supporting documentation.

In order for a "Greater than 120" to be presented to the Commission, the request must be submitted by the cut off date for that particular Commission meeting. If it is not received by the cut off date, it will be considered for the subsequent Commission meeting. Once the request is submitted with appropriate documentation, it is processed by the Office of CTC Liaison for review and consideration by the established Supplemental Executive Committee in Headquarters at the Supplemental and Greater than 120% Meeting. This committee reviews the request and either concurs, denies, or requests additional information. The Districts may be requested to attend, either in person or via teleconference, the Headquarters Supplemental and Greater Than 120% Meetings. Generally, these meeting are held 10 days after the previous Commission meeting. If the Supplemental Executive Committee concurs with the request, a Book Item will be prepared by the Office of CTC Liaison and included on the agenda to be considered at the next Commission meeting. If the request is denied, it will not be brought forward to the Commission meeting. If additional information is needed, the project will be identified as not proceeding to the CTC Meeting, until the information is received. The additional information will need to be provided no later than the close of business the day after the committee meeting. Following the committee meeting, an email will be sent communicating the outcome of the requests.

Requesting funds for less than or equal to 120% of the programmed amount

- Submit a standard funds request.
- No detailed explanation needed for the additional amount.
- Should be based on updated Engineers Estimate.
- For STIP projects, additional amount counts against IIP and RIP shares.
- For SHOPP Projects the additional amount counts against the SHOPP budget.
- Programmed amount is revised.

Requesting funds for greater than 120% of the programmed amount

- Funds request explaining the request is for an allocation greater than 120% of the programmed amount. Included with the funds request is the justification form that explains in detail the reason for the cost increase. Also, a location map needs to be attached.
- Should be based on updated Engineers Estimate.
- For STIP projects, additional amount counts against IIP and RIP shares.
- For SHOPP Projects the additional amount counts against the SHOPP budget.
- Programmed amount is revised.

Procedures for Requesting Supplemental Funds for STIP and SHOPP Projects Which Exceed the G-12 Authority

Once a STIP or SHOPP Major project has received an allocation (vote) from the California Transportation Commission (Commission), the only way to make an adjustment to the voted amount is through the delegated authority allowed by Resolution G-12 (see G-12 Resolution) or through requesting Supplemental funds, which requires Commission approval. Resolution G-12, delegates to the Department, the authority to make adjustments (increases) to the original Commission allocation up to a specific amount. For major STIP and SHOPP projects the maximum amount of the increase under the delegated authority is (10% of the original allocation + $200,000). (See G-12 resolution for detail). Any adjustment within the G-12 authority must be requested through Headquarters Division of Budgets. If at any time after the original allocation, an adjustment, when combined with any prior adjustments, exceeds the limits set forth by G-12, the delegated authority no longer exists and a request for Supplemental Funds is required. If Supplemental Funds are required then a justification form (Attachment 1 of funds request form) is required. The form describes why supplemental funds are being requested and will be one of the following "Re-advertise", "Award", "Construction", or "Close out".

In order for a Request for Supplemental Funds to be presented to the Commission, the request must be submitted by the cut off date (see CTC liaison website for dates) for that particular commission meeting to Division of Budgets, with a copy to CTC Liaison office (Attn: Lyle Stockton) and to the STIP Office or SHOPP Office. If the request is not received by the cut off date, it will be considered for the subsequent Commission meeting. Once the request is submitted with appropriate documentation, it is processed by CTC Liaison for review by a Supplemental Executive committee in Headquarters at the Supplemental and Greater than 120% Meeting. This committee reviews the request and either approves, denies or requests additional information. The Districts may be requested to attend, either in person or via teleconference, the Headquarters Supplemental and Greater Than 120% Meetings. Generally these meeting are held 10 days after the last Commission meeting. The meeting schedule is available on the CTC Liaison web site. If the Supplemental Executive Committee approves the request, a Book Item will be prepared by CTC Liaison and included on the agenda to be considered at the next Commission meeting. If the request is denied, it will not be brought forward to the Commission meeting. If additional information is needed, the project will be identified as not proceeding to the CTC Meeting, until the information is received. Following the committee meeting, an email will be sent communicating the outcome of the requests.

Below is a table identifying the documentation that should accompany a Supplemental Funds Request:

Reason for Request	Funds Request	Justification Form	Previous G-12 Documentation	Bid Summary	Bid analysis
Re-advertise	X	X		X	X
Award	X	X	X	X	X
Construction	X	X	X		
Close-out	X	X	X		