

RISK ADVERTISING AND RISK VOTE GUIDANCE

October 10, 2006

Definitions:

Risk Vote: Risk Vote is a California Transportation Commission (CTC) action requested by the District Director or Local Agency to risk vote project funds (allocation) prior to the project being ready-to-list (RTL) or amended in the approved Federal State Transportation Improvement Program (FSTIP) 17 working days prior to the CTC meeting.

Risk Advertisement: Project advertised for construction prior to having all of the necessary constraints cleared to RTL the project for construction.

The Request Risk Advertising and Risk Vote form can be found on the Division of Project Management's intranet website at:
<http://pd.dot.ca.gov/pm/ProjectOffice/ProjectOffice.asp> under the Process Guidance & Directives section.

Roles:

Chief Financial Officer will have to sign off on the request form for a project seeking a risk vote. The Chief Engineer will have to sign off on the request form for a project seeking risk advertisement.

If the request is for both risk vote and risk advertisement, both the Chief Engineer and the Chief Financial Officer will have to sign off on the form.

The Office of Workload and Program Delivery in the Division of Project Management will obtain all necessary concurrence and the signatures of all Division Chiefs who are responsible for the constraints as well as obtaining the signature of the Chief Engineer.

The Division of Transportation Programming, Office of CTC Liaison (OCTCL) will obtain necessary concurrence and signature from the Chief Financial Officer.

Requirements:

To facilitate timely approvals, Districts and Local Agencies need to identify risk vote and risk advertisement as early as possible. It is recommended that the project be identified as a risk vote and/or risk advertisement at the time the request for funds is submitted.

Once the project is determined to need a risk vote and/or risk advertisement, the Request for Risk Advertising and Risk Vote form with all Division Chief's concurrences and signatures needs to be received by the Division of Transportation Programming at the

time final agenda items are due to the OCTCL. This allows time for the OCTCL to obtain the signature of the Chief Financial Officer before the agenda is submitted to CTC Staff. If the form is not received by COB on the day final agenda items are due to the OCTCL, the project will not remain on the CTC Agenda. Please see the CTC Preparation Schedule for final agenda due dates at:

<http://www.dot.ca.gov/hq/transprog/ctcliason.htm>. Click on CTC Preparation Schedule and see ***Risk Vote Forms with District Directors and Division Chief Signatures due to Chief, OCTCL. For the Calendar-Year 2006 CTC Preparation Schedule, use the dates for*** Final Agenda Items due to the OCTCL, the second to last column.

For projects seeking risk vote that requires an amendment to the FSTIP, the request for risk vote form with all of the Division Chief's concurrences and signature by the Chief Financial Officer must be received before Final Agenda Items are due to OCTCL.

For projects seeking risk advertisement, the request for risk advertising form with all Division Chief's concurrences and signature of the Chief Engineer must be received in DES Office Engineer six weeks prior to the proposed advertisement date, or the project will not be listed for advertisement. This ensures that bid documents can be finalized, reproduced and the project can be listed in the State Contracts Register.