

Project Programming Request Instructions

**(Programming Fact & Funding sheets
For Programming new and amending existing
STIP, SB 1 ie. (TCEP), (SCCP), (LPP) and Prop 1B Bond Projects)**

**Caltrans
Transportation Programming**

Project Programming Request Instructions

GENERAL INSTRUCTIONS

The California Transportation Commission (CTC) State Transportation Improvement Program (STIP) Guidelines requires a Project Programming Request (PPR) be prepared whenever a project is added to the STIP, or whenever there is a proposed change to a project in conjunction with an Amendment request. The PPR provides the information necessary to properly program or amend a project in the STIP in accordance with State statutes and CTC policies. PPR's are prepared by the Project Sponsor or implementing agency, with assistance from the Regional Transportation Planning Agency (RTPA), Metropolitan Planning Organization (MPO), Caltrans District Office or Headquarters (HQ) Transportation Programming, as appropriate.

In addition to STIP funded projects, PPR forms are to be used for projects with Corridor Mobility Improvement Account (CMIA), State Route 99 Bond, Trade Corridor Improvement Fund (TCIF), and/or Senate Bill (SB1) funded programs.

The CTC STIP, Bond and SB1 Guidelines are located on the Office of Capital Improvement Programming (OCIP) website at the following link: <http://www.dot.ca.gov/hq/transprog/ocip.htm>

PROJECT INFORMATION FORM

New project

For new projects to be programmed in the upcoming STIP cycle, the PPR template is located under the STIP Resources Page sub-heading "Guidelines & Resources"

Amendment (Existing Project)

To amend an existing programmed project, a PPR can be generated directly from CTIPS. This process will automatically populate the PPR with data from CTIPS. To quickly set up a CTIPS account, please send an e-mail to (CTIPS Account Administrator) under the CTIPS Contact page at the following link: <http://www.dot.ca.gov/hq/transprog/newctips.html>

Date

Date the PPR was last updated (in mm/dd/yy format). This field is automatically changed every time the file is saved.

District

"District" is the Caltrans district in which the project is located.

EA

"Expenditure Authorization (EA)" is a unique, 5-digit number assigned by Caltrans.

Project ID

"Project ID" is a unique 10-digit number assigned by Caltrans.

PPNO

"PPNO" is an identification number assigned by Caltrans District offices for all STIP and Bond and SB1 projects. Caltrans HQ Transportation Programming assigns PPNOs for intercity Rail projects administered by the Caltrans Intercity Rail Program and programmed through the Interregional Transportation Improvement Program (ITIP). All projects voted by the CTC require a PPNO.

Alternate Project ID

Select the main funding program and add associated project identification number if different from PPNO.

County

"County" is the 3-character County abbreviation for the county in which the project is located. If the project is located in more than one county, input other counties on rows below. If the project is located in more than three counties, select "VAR".

Route/Corridor

"Route/Corridor" is the State Highway or intercity rail corridor on which the project is located. If the project is located on more than one route, input other routes on rows below. If the projects is on more than three route, input "VAR".

PM Back and PM Ahead

"PM Back" is the Post Mile (PM) location, including prefix, on the State Highway or Intercity Rail line for the beginning project limits. "PM Ahead" is the Post Mile (PM) location, including prefix, on the State Highway or Intercity Rail Line for the ending project limits. If the project is located at various locations along a route, input "VAR".

Project Sponsor/Lead Agency (Applicant)

"Project Sponsor/Lead Agency" is the primary supporter for the project, and is usually, but not necessarily, Caltrans, the RTPA or MPO.

MPO

Metropolitan Planning Organization for project, if applicable.

Element

Capital Outlay (all on-system projects), Local Assistance, Mass Transit, and Rail (Intercity Rail), are the appropriate designations based on the type of project.

Project Title

"Project Title" is a concise statement of the Project Description.

Project Manager/Contact, Phone & E-mail

The "Project Manager" section identifies the individual responsible for delivering the project within cost, scope and schedule.

Location, Project Limits, Description, Scope of Work

The "***Location and Project Limits***" is a brief description of the project location. The location should start with a listing of the cities or communities in which the project is located followed by the cross streets or other distinguishing features that identify the beginning and ending project limits as appropriate. Long-distance Rail projects should include a listing of the counties in which the project is located followed by the cities or communities or other distinguishing features that identify the beginning and ending project limits. For rural projects, the nearest community should be identified along with the beginning and ending limits.

Project description should be in the following format (the underlined text represents variables):

- "*In (or Near) city or town, on road, from start location to end location. Construct (or Install) item of work."*
- If the city has the same name as a county (such as Fresno, Sacramento, Los Angeles, etc.), say "In the city of city".
- Don't mention the route if the road is a state highway.

The ***Description and Scope of Work*** is a brief description of the elements of work. Generally the description should be two lines or less, but more complex projects, with several different activities, may require more. A more detailed list of the scope will be included in the Outputs/Outcomes section. If additional space is needed, continue the location, project limits, description and scope of work on page 2.

Implementing Agency

“Implementing Agency” is the recipient of the funds allocated by the Commission and the agency responsible for delivering the project within cost, scope and schedule.

The identification of the Implementing Agency determines how project components are programmed, and therefore must be properly identified. Whenever Caltrans is identified as the Implementing Agency, Right of Way Support and Construction Support will be programmed separately from Right of Way Capital and Construction Capital. For Implementing Agencies other than Caltrans, Right of Way Support and Construction Support are programmed together with the Right of Way Capital and Construction Capital components.

Assembly, Senate and Congressional Districts

This information must be included at time of programming.

Project Benefits

Describe the expected project benefits not included in the **Outputs/Outcomes** section of the PPR. For STIP projects, see Section 19 Paragraph D of the STIP guidelines. For SB1 projects see additional SB1 guidance.

Purpose and Need

Provide brief purpose and explanation of the need for the project. This section provides an overview of the purpose of the project and helps justify the funding. If additional space is needed, continue the Purpose and Need on page 2.

Outputs/Outcomes

Choose a **Category**, ie. Highway Road construction or Local Road and then select the appropriate **Outputs/Outcomes** from the pull down menu. You must then select the **unit** and **quantity** for each. Please add to Page 2 if needed. If the desired Output/Outcome is not listed, you may type it in the blank field as needed.

Check boxes

Select (Y) for Yes or (N) for No if the project includes any of the following;

“**ADA Improvements**” Project includes Americans with Disability Act Improvements.

“**Bike and Ped Improvements**” Project includes Bike and or Pedestrian Improvements. See Outputs/Outcomes to quantify

“**Reversible Lane Analysis**” For projects not already programmed and the project qualifies as a capacity-increasing, or a major street or highway lane realignment project, this analysis must be done.

“**Supports Sustainable Communities Strategy (SCS) Goals**” box if the project supports Sustainable Communities Strategy goals as identified in the Regional Transportation Plan in accordance with SB 375. Identify the SCS goals supported by the project on page 2.

“**Reduces Greenhouse Gas Emissions**” box if the project reduces greenhouse gas emissions. Quantify the greenhouse gas reductions in the Project Benefits section or on page 2. If the project includes ADA improvements or bicycle/pedestrian improvements, check the appropriate boxes.

Project Milestones

Enter the proposed schedule or actual completion of various project milestones. Any project milestone revision to projects funded with Prop 1B Bond funds must be addressed on the Amendment Information form.

PROJECT PROGRAMMING REQUEST Funding Information

FUNDING INFORMATION FORM

General

The Funding portion of the Project Programming Request provides a detailed view of the proposed or amended project programming. This form distinctly identifies the various sources of funding that may be involved in a project. It delineates the programming breakdown for each funding source, and for each component within the funding source.

Though the PPR is formatted to suit a majority of situations that may arise in nominating/amending projects, PPRs are updated periodically for formatting purposes. Therefore, it is strongly recommended to download a new copy of the PPR every time their use is warranted.

A project receiving funds for a smaller distinct useable segment of an overall larger project displays only the funds contributing to the distinct useable segment. If funds are used in such a manner that the funds are not a distinct useable segment, then funding for the entire overall project must be displayed. Often, funding for larger projects may be split into smaller distinct useable segments or activities for programming and construction/contract award purposes. Caution must be used in displaying the various fund sources for these types of projects so that funding is not double counted when programmed.

Information entered in the proposed funding fields must be numbers only (no alpha characters, and no 'blanks' or 'spaces'). Otherwise the spreadsheet formulas will not function properly, resulting in incorrect programming.

All components proposed for programming **must** be fully funded. Generally the earlier components, such as project development, must be fully funded prior to programming later components such as construction. Future funding needs can be shown under a "Future Need" category.

For additional guidance on programming project components, see "Programming Project Components Sequentially" of the STIP guidelines.

In accordance with the CTC STIP Guidelines, all programmed component amounts must be escalated to the appropriate fiscal year, and rounded to thousands.

Project Development Components

"Environmental Studies and Permits (E&P)", also referred to as "Project Approval and Environmental Document (PA&ED)", is programmed in the fiscal year during which environmental studies will begin. "Plans Specifications and Estimates (PS&E)" is programmed in the fiscal year during which design will begin. Refer to "Program Year for Cost Components" of the CTC STIP guidelines for further information on programming Project Development components.

Right of Way Components

"Right of Way (R/W)", including Caltrans "Right of Way Support (R/W SUP)", is programmed in the first fiscal year(s) during which Right of Way acquisition (including utility relocation) contracts will be executed. Refer to "Program Year for Cost Components" of the CTC STIP Guidelines for further information. For Caltrans projects, STIP amendments for R/W Capital and R/W Support are only permitted in conjunction with the Annual Right of Way Plan. Refer to "STIP Amendments" of the CTC STIP Guidelines.

"Right of Way Support (R/W SUP)" is used only for projects implemented by Caltrans. For all other implementing agencies, Right of Way Support costs are included in the Right of Way Capital component.

Construction Components

“Construction (CON)”, including Caltrans “Construction Support (CON SUP)”, is programmed in the fiscal year during which the construction allocation will be approved by the CTC. All construction costs that are associated with a single construction contract should be listed in one fiscal year. If a project will have multiple contracts to be advertised in different fiscal years, then the construction costs (including Caltrans support costs) may be programmed in multiple years. In this case, a PPR must be completed for each segment.

“Construction Support (CON SUP)” is used only for projects implemented by Caltrans. For all other implementing agencies, Construction Support costs are included in the Construction Capital component.

Fiscal Years

Funding for each component is programmed according to appropriate fiscal year. The cost of each project component will be listed in the STIP no earlier than in the State fiscal year in which the particular project component can be delivered. Since the **2018 STIP** covers the five-year period from **FY 18/19** through **FY 22/23**, STIP funding may only be programmed in this five-year period. Any programming of STIP funds beyond the five-year period of the STIP must remain in the unprogrammed balance for programming in a future STIP cycle. Committed non-STIP funds for years beyond the five-year period of the STIP may be combined together into the “**23/24+**” column. Any additional funds needed, but not yet committed for the project, may also be shown for in the fiscal year “**23/24+**” column.

Program Code

Program Codes are used by Caltrans to allow projects to be categorized for program and project tracking purposes. The codes are normally assigned by the Caltrans District Offices and are available at the following locations: Appendix J of the OCIP Desktop procedures manual or by visiting [Chapter 4](#) of the accounting manual located on their website at; <http://accounting.onramp.dot.ca.gov/coding-manual-volume-1>

Funding Agency

The “Funding Agency” is the agency providing the local (non-state) funding contributions to the project.

Fund Source

The source of funds contributed to the project (i.e., RIP, IIP, [SB 1- TCEP, SCC, LPP, ATP] , Prop 1B Bond, RSTP, CMAQ, Local Measure, etc.)

Notes

The “Notes” field is available to include any pertinent information regarding the funding. For example the fund source may be more fully described, or if funds are being reduced for a particular component, the reason for the reduction should be noted.

FUNDING TABLES

EXISTING FUNDING (This is a Protected field)

The Existing Funding tables are generated directly from CTIPS and display current programming for the project. Any changes to existing funding must be explained using the Amendment form of the PPR.

PROPOSED FUNDING (This is an editable field)

The Proposed Funding tables display the proposed programming of funds for a new project or for a change to an existing project. The proposed funding is the summation of the existing funds and the increase/decrease that is being requested. For example, if a project has \$100,000 programmed in the current STIP for PS&E in FY 15/16 and \$50,000 is proposed to be added to this component in the same year, the "Existing Funding" column will show \$100,000 for PS&E under 15/16 and the "Proposed RTIP Funds" column will show \$150,000 (sum of the existing \$100,000 and the \$50,000 increase requested) for PS&E under FY 15/16. Funding removed from an existing component is handled in a similar manner. If no change is being proposed to any of the information in the "Existing Funding" table, the information in the "Proposed Funding" table shall be exactly the same as in the "Existing Funding" table.

Please note the requirements of "Full and Partial Funding" in "Programming Project Components Sequentially" of the STIP guidelines.

PROPOSED TOTAL PROJECT COST (The contents in this table are calculated automatically)

The "Proposed Total Project Cost" table at the top of the funding information page provides an overview of the total funding proposed for each component of the project. All the information in this table is calculated automatically by summing up the values in the various fund source tables.

AMENDMENT INFORMATION

General

This form must be completed for STIP, SB1 and Bond Amendment requests. Amendment request submittal requirements are available at the following website:

http://www.dot.ca.gov/hq/transprog/ocip/stip/amend_submission_procedures.pdf.

An amendment may change the scope, cost, schedule or implementing agency of a project. In general, amendments for STIP, SB1 and Prop 1B Bond projects will be treated the same. However, there are some differences:

- Projects programmed in the STIP require at least 30 days public notice before the Commission will approve an amendment. SB1 and Prop 1B Bond project amendments may be approved at the same CTC meeting presented to the Commission. If a project is programmed using multiple funding sources, including STIP, the amendment request will be handled in the same manner as a STIP amendment.
- The Commission will not amend a project programmed in the STIP to delete or change the program year of the funding for any project component after the beginning of the fiscal year for which it is programmed.
- Amendments to projects programmed under SB1, please see the specific SB1 program guidelines for limitations.

Project Background

Provide detailed background of the project, including project programming and amendment history.

Programming Change Requested

Provide a detailed description of the proposed programming action. Enough information should be provided in order to clearly explain the programming change to the Commission.

Reason for Proposed Change

Explain need for programming action and why it is needed now.

- For STIP projects, can this programming action wait until the next STIP Cycle?
- For Caltrans implemented projects, attach an approved Program Change Request (PCR).
- For TCRP projects, can this amendment wait until allocation of the component?

If Proposed change will delay one or more components, clearly explain reason for delay, cost increase related to delay, and how cost increase will be funded

For STIP projects, an amendment that would delay the year of construction, the agency requesting the amendment should submit a project construction history. It is the Commission's intent to review this history when considering an amendment that would delay the year of construction. See the "Delivery Deadline Extensions" section in the STIP Guidelines for further guidance.