SB1 Workshop

PART 6
TIMELY USE OF FUNDS

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CHIEF, OFFICE OF STATE PROGRAMS

November 2018

TIMELY USE OF FUNDS OVERVIEW
STIP – ATP – SB1
(LPP, TCEP, SCCP)
**Todays Goal?**

**Understanding:**
- Timely Use of Funds (TUF) Purpose
- Time Extension Request Process
- Submittal Timelines
- Extension Request Quality
- Delay Drivers by Phase
- Information Resources/Tools

**What Programs do TUF rules apply to?**
- State Transportation Improvement Program (STIP)
- Active Transportation Program (ATP)
- Local Partnership Program (LPP)
- Trade Corridors Enhancement Program (TCEP)
- Solutions for Congested Corridors (SCCP)
Timely Use of Funds

Established by Statute:
- For STIP, SB 45, Section 622 and Section 66 of the CTC STIP Guidelines
- ATP and SB1 Programs modeled after the STIP and have similar guidelines and TUF rules

Intention is to encourage local agencies to accurately program, monitor and deliver projects in a timely manner

What are the TUF Deadlines?
- **Allocations** - Funds must be allocated by CTC in the year programmed. (PA&ED, PS&E, RW, & CON)
- **Expenditure** - Project development-phase expenditures must occur by end of 2nd State FY following year of allocation (PA&ED, PS&E, & RW)
- **Contract Award** - Projects must be awarded within 6 months from construction allocation
- **Project Completion** - Project must be completed within 36 months of the award
Consequences of Not Receiving an Extension

Implementing Agencies that do no request an extension are at risk as follows:

- **For Allocations**: Funds lapse and particular phase will no longer be eligible for funding.
- **For Expenditures**: Only expenses incurred up to deadline are eligible for invoicing. Activities beyond deadline will no longer be eligible for reimbursement.
- **For Contract Award**: Construction funds lapse and no longer eligible for funding.
- **For Project Completion**: Only expenses occurred up to the deadline are eligible for invoicing. Activities beyond deadline will no longer be eligible for reimbursement.

### TIMELY USE OF FUNDS BY PROGRAM

<table>
<thead>
<tr>
<th>Program</th>
<th>STIP</th>
<th>LIP</th>
<th>TCFP</th>
<th>SSCP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Availability</td>
<td>No extension required</td>
<td>No extension required</td>
<td>No extension required</td>
<td>No extension required</td>
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<tr>
<td>Applicability</td>
<td>All STIP funds</td>
<td>All LIP funds</td>
<td>All TCFP funds</td>
<td>All SSCP funds</td>
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<tr>
<td>Activities</td>
<td>Project Delivery</td>
<td>Project Delivery</td>
<td>Project Delivery</td>
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<td>Authority</td>
<td>SBH</td>
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<td>Reporting Agency</td>
<td>STIP</td>
<td>LIP</td>
<td>TCFP</td>
<td>SSCP</td>
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<tr>
<td>Cost Increases</td>
<td>Yes, extension approval required</td>
<td>Yes, extension approval required</td>
<td>Yes, extension approval required</td>
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<td>Rates</td>
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<td>Expenditures must be incurred by the end of the previous fiscal year</td>
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<td>Expenditures must be incurred by the end of the previous fiscal year</td>
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<td>Projects must be completed within 50 months of the award</td>
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<td>Possible Extensions</td>
<td>CTC may approve up to 20-month extension for each of the deadlines.</td>
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<td>Number of Extensions Allowed</td>
<td>One extension per phase per type, i.e.,</td>
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<td>One extension per phase per type, i.e.,</td>
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<td>Allocation</td>
<td>Allocation</td>
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<td>STIP, LIP, TCFP, SSCP</td>
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Time Extension Request Forms

Forms
• STIP – 23B
• ATP – 22B
• SB1 – Pending

New Dynamic Time Extension Form being developed to replace 22B & 23B.

For projects with funding from multiple programs subject to TUFs, the program with the more restrictive deadline governs.

Delay Drivers - Allocations

- **PA&ED**
  - Lack of Master Agreement

- **PS&E**
  - Environmental Clearance
  - Permitting
  - Community Input
  - Technical Studies

- **R/W**
  - Environmental Clearance
    - Permitting
    - Technical Studies
    - Design

- **CON**
  - Environmental Clearance
    - Incomplete Plans & Specs
    - Right of Way Certification
What Happens When You Need A Time Extension Request?

Complete a Time Extension Request Form
  • Provide justification supporting the amount of time being requested
  • Work with District Local Assistance staff

Review, revise and check for completeness
  • Work with District Local Assistance to correct deficiencies

Local Agencies can view the agenda items prior to the CTC meeting at: http://www.dot.ca.gov/hq/transprog/ctcliaison.htm
Good Example!

Signatures

31. Local Agency Certification:

This Report for Time Extensions has been prepared in accordance with the Procedures for Administering Local Projects in the Activity Transportation Program (ATP). Let the person authorized to sign for the Local Agency - 我 - (name) - (date) - (signature) - (position)

32. Regional Transportation Planning Agency/City/County Transportation Commission Concurrence:

Concurred by: - (name) - (position) - (date)

33. Caltrans District Local Assistance Agreement Acceptance:

The information contained on the Report for Time Extensions has been prepared in accordance with the Procedures for Administering Local Projects in the Activity Transportation Program (ATP). - (name) - (date)

Adviser:
**Requesting a Time Extension**

1. **Local Agency (Implementing Agency)**
2. **Regional Agency (RTPA/MPO)**
3. **Caltrans District**
4. **Caltrans HQ**
5. **Caltrans Office of CTC Liaison**
6. **CTC**

**Who Approves The Extension?**

- Only the CTC can approve or deny time extension requests
- Local Agencies are urged to attend the CTC meeting to defend their extension requests
- Extension requests are NOT automatic nor guaranteed!
How Do You Know If Your Extension Was Approved?

- Watch the CTC Meeting live on Webcast
- Check the CTC Liaison’s website for the Action Taken Report (posted a week after meeting)
  - www.dot.ca.gov/hq/transprog/ctcliaison.htm
  - Local Assistance CTC Liaison emails to DLAEs after CTC Debriefing meetings
- HQ Program Analysts will generate an extension letter. Signed copy will be sent to local agencies via the DLAE’s.

For more information, please contact your District Local Assistance Engineer.

District 1 – Suzi Theiss, (707) 445-6399
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Visit the Caltrans Local Assistance SB1 Website at http://www.dot.ca.gov/hq/LocalPrograms/SB1/