Project Programming Request Instructions

(To be used for STIP, TCRP 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. These sheets provide 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), 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 Transportation Congestion Relief Program (TCRP) funding.

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

PROJECT INFORMATION FORM

New project
For new projects to be programmed in the 2012 STIP, the PPR template is located on the OCIP website at: http://www.dot.ca.gov/hq/transprog/ocip/2012stip.htm.

Amendment (Existing Project)
To amend an existing programmed project, a PPR can be generated directly from CTIPS. This process will automatically populate the form with data from CTIPS. To quickly set up a CTIPS account, please send an e-mail to Alicia Vu (CTIPS Account Administrator) at alicia_vu@dot.ca.gov.

Date
Date the PPR was last updated (in mm/dd/yy format).

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 (also known as "EFIS Project ID" or "EFIS ID").

PPNO
"PPNO" is an identification number assigned by Caltrans District offices for all STIP and Bond 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).

TCRP No.
TCRP No. is a project identifier, which relates to the specific paragraph number in Government Code Section 14556.40, Article 5 of the TCR Act of 2000.

County
"County" is the full county name from which the Regional Transportation Improvement Program (RTIP) funds are being contributed. For projects programmed with Interregional Transportation Improvement Program (ITIP) funds, and no RTIP funds, the county in which the project is located is used. If project is located in a county other than the county contributing the RTIP funds, then the county in which the project is located would be identified in the "Location and Project Limits" section of the Fact Sheet.

Route/Corridor
"Route/Corridor" is the State Highway or intercity rail corridor on which the project is located.

Project Sponsor/Lead Agency
"Project Sponsor/Lead Agency" is the primary supporter for the project, and is usually, but not necessarily, the Regional Transportation Planning Agency (RTPA).

MPO
Metropolitan Planning Organization for project.

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.

PM Back and PM Ahead
"PM Back" is the Post Mile (PM) location on the State Highway or Intercity Rail line for the beginning project limits. "PM Ahead" is the Post Mile (PM) location on the State Highway or Intercity Rail Line for the ending project limits.

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, Legislative Description
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. 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.

The Legislative description is for TCRP projects only. If the TCRP project is a split from larger project, give location and description of the split project.

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.

Reimbursements
Select the appropriate choice from the drop down list, or leave blank if appropriate.

LONP (Letter of No Prejudice) is not currently in use (as of August 2009), but proposed legislation would allow its use on Prop 1B projects. Select "LONP" if an LONP has been approved by the CTC.

AB 3090 - Select "AB 3090" if an AB 3090 reimbursement has been approved by the CTC. See http://www.dot.ca.gov/hq/transprog/ocip/guidelines.htm for guidance.

SB 184 - Select "SB 184" if the CTC has been notified that the local agency intends to start work, or has started work, using local funding. See http://www.dot.ca.gov/hq/transprog/ocip/guidelines.htm for guidance.

Legislative Districts
"Legislative Districts" are the applicable Legislative District Number(s) in which the project is located.

Purpose and Need (Transportation problem to be addressed by project)
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.

Project Benefits
Describe the expected project benefits. Some example benefits are: delay time savings (hours) and peak period time savings (min/veh), HOV lane miles added, mixed-flow lane miles added.

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

Project Location Map
Attach a detailed map showing specific features of the project surrounding area. The size and scale of the map depends on the type of project and the project limits.

PROJECT PROGRAMMING REQUEST
Funding Information

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.

To nominate/program a new 2012 STIP project, the Funding form is available on the OCIP website at: http://www.dot.ca.gov/hq/transprog/ocip/2012stip.htm.

To amend an existing programmed project, generate a PPR directly from CTIPS. This process will automatically populate the form with data from CTIPS. To quickly set up a CTIPS account, please send an e-mail to Alicia Vu (CTIPS Account Administrator) at alicia_vu@dot.ca.gov.

Though the forms are 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' from the space-bar). Otherwise the spreadsheet formulas will not function properly, resulting in incorrect programming.

FUNDING INFORMATION

General

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 Funding Needed" 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, and rounded to thousands.

Project Development Components
"Environmental Studies and Permits (E&P)", also referred to as "Project Approval and Environmental Document (PA&ED)" and "Plans Specifications and Estimates (PS&E)" is programmed in the fiscal year during which environmental studies 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 fiscal year(s) during which Right of Way acquisition (including utility relocation) contracts will be executed. If the contracts are executed in a single year, the cost shall be programmed in that one fiscal year. The costs may be programmed in more than one fiscal year, as appropriate. 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 contract(s) will be advertised. 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 2010 STIP covers the five-year period from FY 10/11 through FY 14/15, 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 contributing funds for years beyond the five-year period of the STIP may be combined together into the "15/16+" column. Any additional funds needed, but not yet committed for the project, may also be shown for in the fiscal year 15/16+ column.

Program Code
Program Codes are used by Caltrans for the Transportation Accounting And Management System (TRAMS), 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 website: http://onramp.dot.ca.gov/hq/accounting/Coding_Manual1/

Funding Agency
The "Funding Agency" is the agency providing the local non-state contributions to the project.

Fund Source
The source of funds contributed to the project (i.e., RIP, IIP, TCRP, Prop 1B Bond-CMIA, 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 Project Programming Request.

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 13/14 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 13/14 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 13/14. 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, TCRP and Bond Amendment requests. Amendment request submittal requirements are available at the following website:
http://www.dot.ca.gov/hq/transprog/ocip/amendproc.htm.

An amendment may change the scope, cost, schedule or implementing agency of a project. In general, amendments for STIP, TCRP 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. TCRP 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 in the TCRP may be handled at the time of allocation of the component.

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 STIP Guidelines for further guidance.