Electronic Funds Request Instructions

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OVERVIEW

The purpose of the Department of Transportation's (Department) Electronic Funds Request (EFR) form is to standardize and streamline the funds request process. The STIP EFR is comprised of a single form, divided into eight major sections, with supporting documentation to be attached as noted.

When is an Electronic Funds Request (EFR) Needed?

The EFR is required for all projects (non-SHOPP) on the State Highway System. Do not use the EFR form for Rail, Mass Transit, or Local Assistance projects.

SECTION 1 –Funds Request

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 requested amount must be within 20% of the programmed amount to follow this process.
- **Greater than 120%** – Applicable only to the Department's on-system projects when an initial allocation greater than 20% of the programmed amount is requested. See Appendix A-1 for instructions.

    Note: To request Supplemental Funds, use the updated form on Transportation Programming's website.

Requested CTC Meeting

This is the month of the California Transportation Commission (CTC) meeting at which the allocation is being requested. Review the CTC Preparation Calendar to determine the appropriate CTC meeting date, keeping in mind that the construction contract must be awarded within 6 months of the allocation date. The submittal deadline must be met in order for the request to be considered at the requested meeting date.

Revision

Fund 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 an EFR form, please update this field to the next largest numeric value.

Last Saved

This field is automatically updated when the file is saved and cannot be changed by the user.

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SECTION 2 – Project Identification & Location/Description

District
The Department's Districts. Acceptable values are 1 – 12.

Route
State highway or interstate route number. Use primary route number when project affects two or more routes.

Project ID
This is the 10-digit Project ID established upon implementation of E-FIS. Project ID must be established for projects that did not exist at the time of E-FIS implementation.

EA
The Department's Expenditure Authorization (EA) number.

PPNO
Project Planning (PPNO) number. All projects must have a PPNO. This number can be found in CTIPS.

County
County where project is located. Use "Various" when a project crosses two or more counties.

Post Miles
State highway route post miles.

Implementing Agency
Recipient Agency. This is the agency that will be responsible for doing the work (or overseeing the work, if contracted out). For most on-system STIP projects, this is the Department.

Project Title/Location/Description
This is the project title, 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 must be noted in the Comments section. Attach approved PCR.

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SECTION 3 – Project Financial Request & Data

This section is designed so a sponsor may request a variety of fund types (non-SHOPP) concurrently for multi-funded projects.

State Only Request

Check this box if you are requesting State-Only funds. An approved exception to the Department's Federal-aid Project Funding Guidelines must be included with the Funds Request.

Financial Contribution Only (FCO)

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

Construction to take more than 36 months

Check this box if construction is anticipated to take longer than 36 months to complete following contract award. Enter the total number of months to complete construction (not the number of months beyond 36 months).

Requested Amount – Enter the amount requested for CTC allocation for each Fund Source. Enter the fiscal year programmed for the specified component(s).

Programmed – Enter the programmed amounts, including support, as approved by the CTC. The programmed amounts can be found in CTIPS.

Final Estimate of Expenditures – Mandatory for on-system STIP projects implemented by the Department. Enter the amount estimated (previously expended plus remaining need (i.e. – Estimate at Completion or EAC)) to fully complete PA&ED, PS&E, R/W Support and R/W Capital. (For example: If the amount programmed is $100k, but the amount needed to do all the work planned is estimated to be $135k, then enter $135k. Final estimate of expenditures not included in the EFR will be cause for rejection of request and/or delay of allocation request.) For on-system STIP projects with programmed R/W Capital, the final R/W Capital Estimate must be attached. If the project has not obtained R/W Certification 1 or 2, contact the OCIP Senior Liaison in your area for guidance.

Fiscal Year – The current programmed fiscal year can be found in CTIPS. Requests for advancements must be addressed in Section 6 on the EFR form in the "Comments" section

Proposition 1B Bond Funds

Bond Account – Select the bond account for allocation from pull down menu.
- Corridor Mobility Improvement Account (CMIA)
- State Route 99 Corridor
- Public Transportation Modernization, Improvement, and Service Enhancement Account (PTMISEA)
- State/Local Partnership Program (SLPP)
- Local Bridge Seismic Retrofit Account (LBSRA)
- Traffic Light Synchronization Program (TLSP)
- Highway/Railroad Crossing Safety Account (HRCSA)
- Trade Corridors Improvement Fund (TCIF)

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TCRP Funds

If the request for TCRP funds also includes a request for an application amendment, please explain in the Additional Project Information section of the form (Section 6).

Federal Earmarks Requiring Allocation – Federal Earmarks (i.e., federal grants, TIGER, Border Infrastructure, etc.) for on-system projects in control by the Department must be allocated by the CTC.

Program Codes – choose program codes from drop-down menu.

Other Committed Funds (Contributions by others)

This section of the EFR summarizes the remaining funding for the project in order to show the full project funding plan. Add up to six fund types not listed on the form. Combine like fund types if necessary to fit within the six 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 funding as shown in CTIPS, including local funds. In the case of the Department's construction allocation request, the "Total" of all funds should be equal to the certified estimate.

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

SECTION 4 – Environmental Certification

The Funds Request is not considered a complete submittal without all necessary supporting documentation included.

CEQA/NEQA Documents

Insert the CEQA document type (CE, ND, EIR), NEPA document type (CE, FONSI, EIS), and approval/re-evaluation dates.

Future Consideration of Funding

Enter the E - Resolution number and date of CTC's approval of the final environmental document. For additional information regarding this field, see "Submission Transmittal Form for Final Environmental Documents" if an agency other than the Department is the CEQA lead agency, or "Submitting Environmental Documents to the CTC" if the Department is the CEQA lead agency.

SECTION 5 – Ability to Award within Six Months Worksheet

Ready to List (RTL) for Advertisement

- Input the actual RTL date. Do not submit this form unless your project has reached the RTL milestone.
- Input the Certified Cost Estimate Date.
- Input the Right of Way Certification number and actual Right of Way Certification date. Right of Way Certification 3 does not qualify as RTL for the purpose of a CTC

allocation. Wait until the Right of Way Cert is upgraded to at least a Cert 3W before submitting the Funds Request.

Construction contract package (PS&E) submittal to HQ OE for processing

- Enter actual or proposed date.

Federal Programming

- Check if FTIP Requirement is met – Enter amount (dollars in thousands) programmed in approved FSTIP. If FTIP requirement is not met, use the narrative section below in Section 6 to explain.
  - **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 assistance is needed in making a determination of current FTIP status, refer to the FTIP & FSTIP Agency Contacts for the best contact in your local area.

Federal Funds Authorization Request (FFAR) (E-76-Related Documents Submitted to Budgets Office of Federal Resources)

- For Standard Funds Requests, federal documentation is expected to be submitted to the Budgets Office of Federal Resources 8 weeks prior to CTC Vote as required by Office of Federal Resources (See "Federal Funds Authorization Requests for AADD Projects").
- Check the "Yes" box if the project is federally funded and an E-76 is required.
- Check the "No" box if the project is not federally funded and an E-76 is not required.
- Enter the date that all documents necessary for E-76 processing were submitted to Division of Budgets Office of Federal Resources (See "Federal Funds Authorization Requests for AADD Projects").

SECTION 6 – Additional Project Information

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 discussion of the merits of the project against other projects in conjunction with the CTC when proceeding toward project allocation.

Project Outputs/Outcomes

All Projects - Describe the outputs/outcomes of the component that will receive the allocation. Describe the major elements of the capital improvement project.

Examples:

PA&ED - Complete Project Report and Environmental Document.

PS&E - Complete Plans, Specifications and Estimate.

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Right of Way - Acquire 14 parcels.

Construction – Add one HOV and one mixed-flow lane in each direction, resulting in Daily Vehicle hours of delay savings of approximately 8,330 hours.

Check if applicable:

Split or combine at Vote - Check this box if project is combined or split at vote, i.e., split landscape or environmental mitigation project to a separate project, split from corridor, etc. (Attach Project Programming Request (PPR) and/or approved Project Change Request (PCR), as necessary). Explain in the box provided.

Allocation request is different than programmed amount - Check this box if the allocation request is different than the programmed amount. Explain in the box provided.

Comments (Other Special Considerations)

Complete if needed, i.e., request for advancements, information supporting an allocation submittal without RTL, FTIP requirement is not met, etc.

SECTION 7 – Greater than 120%

Reasons for cost Increase (be specific)

1) Provide date of previous estimate and the assumptions made which substantiate the last cost estimate (for final estimate or estimate at programming) and why these assumptions were reasonable based on conditions at the time of cost estimate.
2) Document the circumstances or conditions that were discovered after the last estimate update which caused the cost to increase and why these circumstances could not have been anticipated.
3) Explain why the new higher allocation request amount represents a value for taxpayers.
4) Attach PCR documenting what could be delivered within current budget.

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.

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Lessons learned from experience - Provide lessons learned and other significant information.

SECTION 8 – 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).

Other Approval as Required
Enter the signature, title, and agency responsible if additional approval is required. For TCRP projects, include the signature of the Officer and/or Director of the TCRP applicant agency.

Attachments
Ensure all applicable attachments are included in order for timely processing of the Funds Request.

EFR Form Transmittal Instructions
Please refer to Request for Funds Electronic Submission for Capital Outlay Allocations and Request for Funds E-mail Instructions, and email a scanned copy of the signed EFR and all applicable supporting documentation to:
STIP/TCRP/BOND Projects: STIP - Funds Request@dot.ca.gov