

# CHAPTER 15

## STATE AND LOCAL TRANSPORTATION PARTNERSHIP PROGRAM (SLTPP)

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## CHAPTER 15 STATE-LOCAL TRANSPORTATION PARTNERSHIP PROGRAM (SLTPP)

### 15.1 INTRODUCTION

The State-Local Transportation Partnership Program (SLTPP) was implemented in 1989 to encourage local agencies to fund and construct transportation improvement projects both on and off the State Highway System. Although subsequent State legislation has modified the program, the legislative intent of the SLTPP remains the same--to contribute funds to eligible locally-funded transportation projects which can be made ready to construct with minimal State planning and review.

Each cycle within the program begins with application submittals on July 1 and could require a maximum of 6 years to complete. There are several critical dates for each program cycle which have been legislatively mandated to ensure timely delivery of projects (see Section 15.3 - Critical Dates and Project Withdrawal). These dates are not subject to change. Failure to comply results in severe penalties/delays and could restrict a project from participation in the program. Refer to Section 2600, Chapter 16, of the Streets and Highways Code in the 1991 Caltrans Statutes for a complete description of the SLTPP provisions.

The SLTPP is a continuous program funded from the State Highway Account at a level of approximately \$200,000,000 per fiscal year. The funding level may vary from year to year depending on the amount appropriated in the annual State Budget Act. (Cycle 5 was funded at \$200,000,000 while Cycle 6 was funded at \$100,000,000.) Local agencies nominate projects for SLTPP funding. Each cycle has a statewide list that includes all eligible projects. There is no priority-setting process. The State reimbursement ratio is based on the total eligible cost of all eligible projects in a given cycle and will vary from year to year.

A SLTPP committee has been created to oversee the program and resolve policy issues. The committee consists of representatives from cities, counties, sales tax measure counties, transit agencies and Caltrans.

### 15.2 PROJECT ELIGIBILITY

To qualify for the SLTPP, a project must be on a local road, State highway, or exclusive public mass transit guideway and must be constructed by contract. The completed project must be a usable segment that meets one of the following criteria:

- increases capacity,
- extends service to a new area, or
- extends the useful life of the roadway by ten years as an eligible rehabilitation project.

The SLTPP also emphasizes the eligibility of fund sources and timely project completion:

- the applicant is committed to pay the local share
- the project is not receiving any other State funds (see Section 15.4 'State Funds')
- the project can meet project delivery dates and be awarded within two years after the application deadline

## ELIGIBLE PROJECT COSTS

Project costs eligible for State share participation are:

Cycles 1 & 2;

- construction contract items
- contract change orders that affect eligible items (see Exhibit 15-G)
- construction engineering plus contingency items (including supplemental work) up to 10 percent of the contract item total

Cycles 3 & 4;

- construction contract items
- contract change orders that affect eligible items (see Exhibit 15-G)
- State or other agency furnished materials if paid for by local agency

Cycles 5 & Beyond;

- construction contract items.
- contract change orders that affect eligible items (see Exhibit 15-G)
- State or other agency furnished materials if paid for by local agency
- supplemental work (for a definition of supplemental work, see Section 3.3 of the Caltrans Plans, Specifications and Estimate Guide) - Supplemental work is not allowed on early reimbursement projects receiving \$300,000 or less in State funds since the early reimbursement is based on the application or bid amount and not adjusted for final costs. The initial total supplemental work included in the total contract cost is limited to the following dollar amount, whichever is greater:

Minor Projects (Under \$300,000):	10 percent (except early reimbursement)
\$300,000 - \$1 Million:	\$30,000 or 5 percent
\$1-5 Million:	\$50,000 or 3 percent
\$5-25 Million:	\$150,000 or 2 percent
Over \$25 Million:	\$500,000 or 1 percent

Project costs not eligible for State share participation are:

Cycles 1 & 2;

- preliminary engineering
- right of Way
- environmental studies
- administrative costs

Cycles 3 & 4;

- preliminary engineering
- right of Way
- environmental studies
- administrative costs
- construction engineering plus contingencies (including supplemental work)

Cycles 5 & Beyond;

- preliminary engineering
- right of way.
- environmental studies.
- administrative costs.
- construction engineering plus contingencies (not including supplemental work).
- supplemental work (only\_early reimbursement minor projects).

Eligible project costs may be revised during the 11 1/2 month period between the application deadline and the drop deadline.

## STAGED PROJECTS

A project cannot be in more than one cycle at the same time, unless it is a staged project. Staged projects must have separate applications for each stage. Each stage cannot be in more than one cycle at the same time, but multiple stages can be in a single cycle. Each construction contract(s) for each stage must be awarded by June 30, within two years after the application deadline for the cycle which includes that stage.

Only the final stage of a staged project must satisfy the project eligibility criterion of creating a usable segment. Reimbursement for previous stages is not made until the final stage has been awarded. Alternatively, reimbursement can be allowed for each stage of a project if a payback method, such as withholding gas tax subventions, can be agreed upon. If the local entity fails to deliver the final stage of a project, a payback of all reimbursements for that project is applied. If the award of any stage of a staged project occurs past the reimbursement deadline of the cycle of the project's initial stage (five years after the first stage's application deadline), that segment is not reimbursable. **This condition could penalize an applicant that prolongs staged projects beyond the six-year span of a single cycle.**

## MITIGATION

An eligible project may include environmental mitigation such as sound wall construction. However, mandated mitigation by a local entity is not eligible. For example, a lane addition required by the local entity to accommodate anticipated traffic increase caused by the developer's subdivision near the project site would be ineligible mitigation work. If the local entity-mandated mitigation is part of an otherwise eligible project, only the mandated portion of the project is considered ineligible.

## MASS TRANSIT PROJECTS

An exclusive public mass transit guideway is defined as the public right of way which limits the travel mode by slot, track, overhead power source or some other guidance system.

Eligible projects include:

- slot or track construction
- overhead power facilities
- passenger stations
- park and ride lots
- maintenance buildings (if an integral part of the guideway system)

Items not eligible are

- research, planning, and design
- acquisition of right of way and replacement housing

- maintenance
- administrative costs
- acquisition of buses or rail transit vehicles
- operating costs

Article XIX, Section 1 of the 1991 Statutes, states that revenues from motor vehicle fuel taxes may be used for public mass transit guideways. Only counties that have complied with Article XIX, Section 4 of the 1991 Statutes (i.e., have voter approval to use motor vehicle fuel taxes on mass transit guideways) may apply for SLTPP funds on mass transit guideway projects.

## DESIGN STANDARDS

Project design standards are based on project type, location and fund source.

- State and Federal standards are required for projects on the State Highway System.
- Refer to *Local Assistance Procedure Manual*, Chapter 11 “Design Standards”, if Federal funds are involved.
- Projects on local streets and roads may use local standards.
- A rehabilitation project must extend service life by at least ten years.
- The minimum allowable thickness of asphalt concrete is 0.03 meters.

## DISADVANTAGED BUSINESS ENTERPRISE (DBE) REQUIREMENTS

Applicable DBE project requirements are based on the agency administering the construction contract and fund source.

- If the project is advertised by the State, the State Disadvantaged Business Enterprise/Women's Business Enterprise (DBE/WBE) program applies.
- If the project is advertised locally, State DBE requirements do not apply. (However projects with agreements executed prior to February 10, 1993 must continue to adhere to previous policy which requires compliance with the State DBE/WBE program.)
- If Federal funds are involved, Federal DBE requirements apply.

## 15.3 PROJECT SELECTION PROCESS

### AWARD

Although a project may be awarded as early as one year before the application deadline, reimbursement can only occur after:

- appropriation of funds,
- the final reimbursement ratio is established,
- the final list of eligible projects is published, and
- the Program Supplemental Agreement is executed

The construction contract for eligible projects must be awarded by June 30, two years after application deadline. For example, a Cycle 6 project application received before the June 30, 1994 application deadline must be awarded for construction by June 30, 1996.

## APPLICATION SUBMITTAL

Any city, county, or other local entity authorized to impose taxes or fees and authorized to undertake construction projects may apply. This includes assessment districts that have authority to construct public transportation facilities. These assessment districts, formed by the local entity's formal process, levy fees for transportation equitably upon all properties in the district. There is no minimum number of developers in an assessment district.

Local agencies are to send completed applications, including the quarterly expenditure plan, to the appropriate Caltrans District Local Assistance Engineer (DLAE) for the project location. Applications for a given cycle must be received or postmarked on or before June 30 (see Exhibit 15-B.) The application must be signed by a responsible local official, certifying that the local funds source is an eligible source of funds (see Exhibit 15-C.)

## APPLICATION REVIEW

The DLAE reviews applications to verify that:

- the project increases capacity of the highway or guideway, or
- the project extends service to new areas, or
- the project extends the useful life of roadway by at least ten years on local rehabilitation projects

The DLAE also verifies that:

- the engineer's estimate included in the application is reasonable
- the applicant is aware of and capable of paying the local share
- the project is not receiving any other State funds (see Section 15.4 "State Funds")
- the local entity will complete project development work so that contracts can be awarded no later than June 30, two years following the application deadline
- the improvements to State highways are consistent with State/Federal standards and are designed to minimize long-term maintenance costs

After the DLAE determines that a candidate project is eligible, a Letter of Acceptance is sent to the local entity. Application acceptance should be completed before September 30, following the application deadline.

## CRITICAL DATES

Exhibits 15-A and 15-B contain important legislated deadlines and critical dates essential to timely processing of projects and funds through the SLTPP. Particularly important is the penalty for failure to meet the drop deadline and award deadline, discussed above.

## PROJECT WITHDRAWAL

Local agencies may withdraw a project from a given cycle, by written request, until the drop deadline, June 15, 11 1/2 months after application deadline. Projects withdrawn before the drop deadline may be resubmitted in the next cycle. Projects withdrawn after the drop deadline or those failing to meet their June 30, award deadline (two years after application deadline), must skip four cycles before reapplying. This drop penalty also applies to new projects within the dropped project's post mile limits.

To reapply, the applicant must submit a letter containing an updated cost estimate and a statement that the agency is reapplying. Caltrans will accept the previous application provided the applicant has updated the engineering estimate and the quarterly expenditure plan.

## 15.4 FUNDING SOURCES

### FEDERAL FUNDS

Local-Federal funds are those which are subvented through the State budget system as programs without a California Transportation Commission (CTC) vote on each project. Two examples are the Federal Surface Transportation Program (STP) and the Demonstration Program. Local Federal funds may be included in the project if both the Federal funds and matching funds are deducted before calculating the State share program funds (see Exhibit 15-D.) State-Federal funds, once voted by the CTC, are considered State funds in SLTPP.

### STATE FUNDS

State funds (other than SLTPP) cause a project to become ineligible for SLTPP funds unless the State-funded items of work can be separately identified and the remaining portion of work remains an eligible SLTPP project. Projects containing general cost sharing of State funds, such as a 50/50 match ratio, are not eligible because there are no costs related to contract items. A list of contract items equal to the State funds, used as general cost sharing, does not make a project eligible. An item such as a State-funded sound wall does not disqualify a project because a sound wall could be eliminated from the project and the remaining contract items would still meet the eligibility criteria for SLTPP. The intent of this procedure is to permit the State to require additional elements of work to an otherwise eligible locally funded project and to avoid disqualifying the basic project.

When State-funded elements of work are combined with an otherwise eligible locally funded SLTPP project, the following procedures are to be followed:

- Cooperative Agreement for Construction -- the SLTPP and State portions of work must be identified by separate and complete project descriptions sufficiently detailed to facilitate the segregation of quantities. For projects on the State Highway System, separate estimates segregating the SLTPP and State portions of work must be attached to the agreement.
- Submittal of PS&E -- a segregated Engineer's Estimate is to be submitted with the quantities segregated for each portion of work.

- Construction Contract Administration -- a segregation of quantities and costs must be sufficiently detailed to facilitate an accurate final breakdown of both the SLTPP and State project costs. Separate "Reports of Expenditures," containing all pertinent financial information, are required for the SLTPP and State portions of work. On change order work, the change order memorandum must identify work applicable to the SLTPP and State portions of work. (Note that change order work increasing an eligible SLTPP contract item of work may be eligible for reimbursement from the SLTPP).

Local agencies may use State funds (other than SLTPP) to fund ineligible project costs such as preliminary engineering, right of way, construction engineering, and contingencies. State RSTP Exchange and matching funds may be used to match Federal funds, in which case both the Federal and State matching funds are deducted from the otherwise eligible project costs when calculating the SLTPP reimbursement (see Exhibit 15-C.)

## **LOCAL FUNDS**

Local funds are revenues from any locally imposed tax or fee. In general, only local funds are considered reimbursable funding sources in the State-Local Transportation Partnership Program (see Exhibit 15-C.)

## **PRIVATE FUNDS**

Local agencies are allowed to use developer contributions; however, the developer contributions are considered non-reimbursable funding sources in the SLTPP and must be deducted before computing State matching amounts. In other words, developer contributions are not eligible for matching, but do not disqualify a project from participating in the SLTPP.

# **15.5 PROCEDURES FOLLOWING PROJECT AWARD**

## **FUNDS CERTIFICATION**

Following contract award, the local entity promptly provides a bid package to the DLAE, including the award amount, award date, and bid summary. In addition, the DLAE may request a copy of the executed construction contract or portions thereof. The entity also submits an updated quarterly expenditure plan to the DLAE. The District enters the award information into the SLTPP database and forwards the award information, finance letter, and updated quarterly expenditure data to Headquarters OLP. Headquarters OLP verifies the finance letters, and forwards them to Local Program Accounting (LPA). LPA establishes an expenditure authorization number upon receipt of the finance letter. LPA prepares the program supplemental agreement for OLP to submit to the local entity.

## **EXECUTION OF AGREEMENTS**

A Master Agreement is executed with each local entity covering the general requirements of the program. A separate Program Supplemental Agreement is executed for each project detailing project scope and costs. SLTPP master and program supplemental agreements are processed in the same manner as outlined in the *Local Assistance Procedures Manual*, Chapter 4 "Agreements".

## STANDARD REIMBURSEMENT FOR LOCALLY ADMINISTERED PROJECTS

During construction, the local entity may submit invoices (Exhibit 15-G) for monthly progress payments, provided they have an executed Program Supplemental Agreement. The appropriate match ratio is applied to all invoices billed against the project. Final payment of project costs is based upon total eligible costs, but will not exceed the lowest of the total eligible costs shown by the:

- application amount,
- eligible award amount, or
- final billing

A final inspection and audit is required to establish actual eligible project costs. If actual eligible costs are less than the amount the progress payments were based on, the local entity shall promptly reimburse the State.

## STANDARD REIMBURSEMENT FOR STATE ADMINISTERED PROJECTS

For State-administered projects, each monthly progress invoice to the local agency is reduced by the appropriate State match ratio.

## EARLY REIMBURSEMENT FOR LOCALLY ADMINISTERED PROJECTS

Early reimbursement procedures accelerating payments became effective November 25, 1992. Projects processed beyond final invoice on that date are ineligible for early reimbursement. Prior to reimbursement under these procedures, an applicant-certified request for early reimbursement form is required from each local agency -- not for each project (see Exhibit 15-K.)

### **Projects with More than \$300,000 in State Share Funds:**

Reimbursement procedures are identical with those shown in "Standard Reimbursement for Locally Administered Projects" above except that progress payments will provide 100 percent reimbursement of eligible incurred costs until the entire estimated State contribution has been paid. Adjustments will be made at contract completion to provide final accounting consistent with actual eligible costs.

### **Projects with \$300,000 or Less in State Share Funds:**

The local agency will invoice the State for the State's share upon contract award or funds appropriation, whichever occurs later. The State's share is established by applying the match ratio for that cycle against the eligible award amount or the eligible original application amount, whichever is less. This lump sum payment is considered a grant and is reimbursed regardless of final cost.

Notification of award amount, invoice, finance letter, and executed program supplemental agreement must be submitted before the lump sum reimbursement is made. Final inspection and accounting reconciliation will not be performed. Audits may be performed by the State on selected agencies or projects as deemed necessary.

## EARLY REIMBURSEMENT FOR STATE ADMINISTERED PROJECTS

For these projects, 100 percent of the eligible monthly incurred project costs are paid to the contractor by the State until the total State share is exhausted. Thereafter, the State invoices the local agency for 100 percent of the monthly incurred project costs.

## PROJECT COMPLETION

Final State share reimbursements must be made by Caltrans prior to June 30, five years following the application deadline. If reimbursement requests extend beyond this period, the local entity will not be reimbursed.

The following procedure apply to all projects except those under early reimbursement procedures with State share of \$300,000 or less.

Within 120 days of project completion, the local entity must send one (1) original and one (1) copy of the final Report of Expenditures (see Exhibit 15-J) and final invoice to the Caltrans DLAE. The final invoice must agree with the final Report of Expenditures. Before approving the final invoice, the DLAE performs a final inspection to ensure the project was completed in compliance with the application scope and limits. Upon verification and completion of the Final Inspection Form (Exhibit 15-I), the DLAE approves the final invoice for payment and transmits it with the original Final Inspection Form and Report of Expenditures to the LPA. Copies of final project documents are retained in the District files. The DLAE sends a copy of the Final Inspection Form to the local agency.

## FINAL AUDIT

After project completion the local agency must provide a final audit of project costs. The cost of performing a final audit is not eligible for State reimbursement. Final audits are not required for projects under early reimbursement procedures with a State share of \$300,000 or less.

The local agency may perform the final audit by one of the following methods:

- contracting with an accounting firm to do a project-specific audit.
- arranging to have the SLTPP project(s) audited concurrently with their annual single audit. Either a separate audit report or management letter is acceptable.
- using local entity staff, if they meet the American Institute of Certified Public Accountants Auditing Standard on Independence.

The final audit must state that

- reimbursement claims submitted to the State are supported by payment vouchers and canceled checks.
- charges for various eligible costs incurred by the local entity are fully supported.
- ineligible costs were not claimed as reimbursable.
- construction engineering and contingencies do not exceed 10 percent of contract items (Cycles 1 and 2 only).
- local entity match funds were from an approved source as shown on Exhibit 15-C.

The final audit must be completed and submitted to the DLAE by December 30 of the State fiscal year following project completion. The State reserves the right to conduct technical and financial audits if deemed necessary.

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**STATE-LOCAL TRANSPORTATION PARTNERSHIP PROGRAM  
CRITICAL DATES**

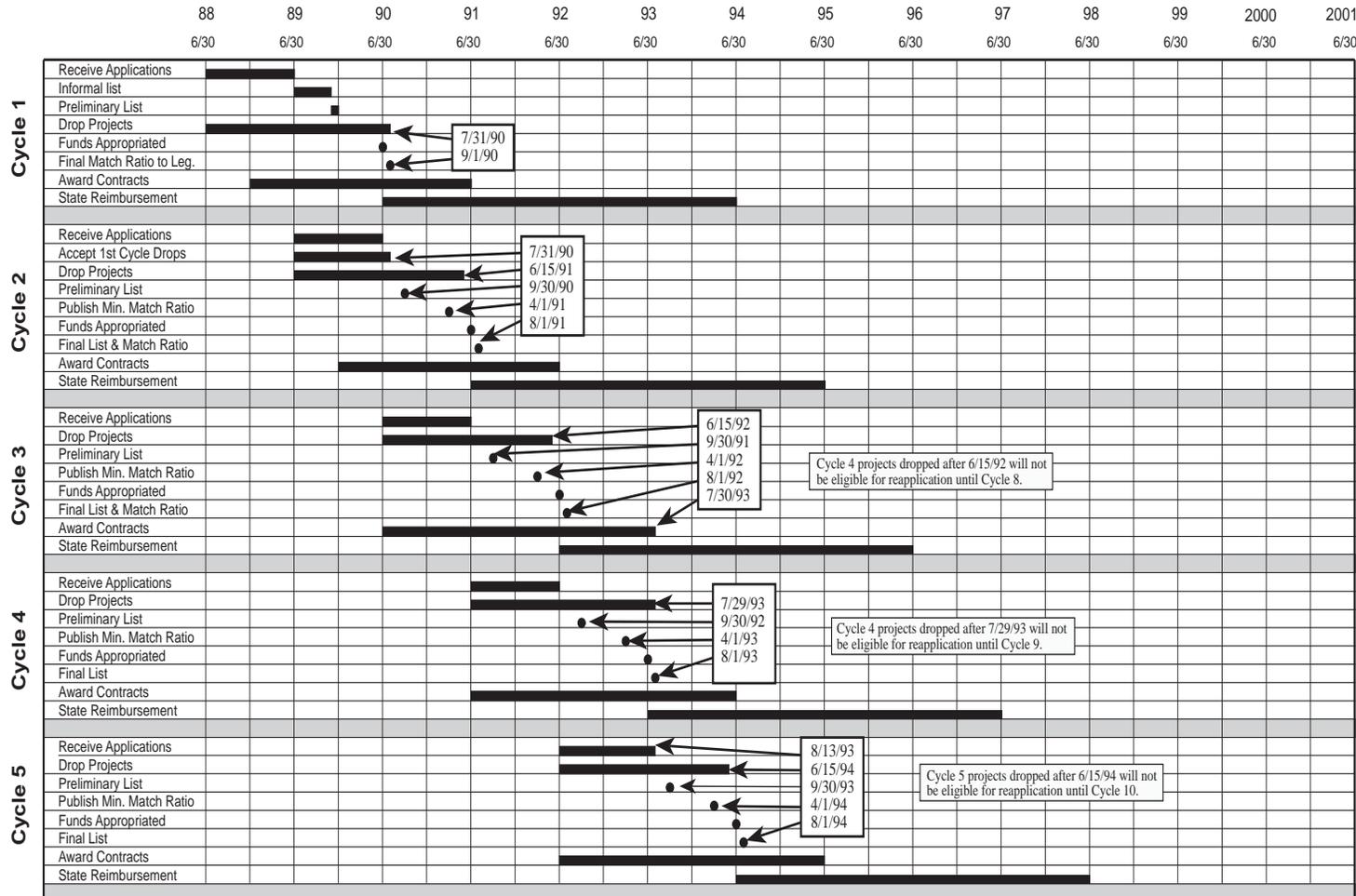
<u>DATE</u>	<u>REMARKS</u>
<b>06-30-XX*</b>	Caltrans District Local Assistance Engineer (DLAE) notifies local entities that project applications are being accepted.
<b>07-01-XX</b>	Begin receiving applications including quarterly expenditure plan. Caltrans DLAE and Headquarters provide guidance to applicants. DLAE may begin entering application information into SLTPP database. Contracts may be awarded beginning this date, but reimbursement can only occur after Legislature appropriates funds.
<b>06-30-XX +1 yr</b>	Deadline for local entity to submit applications with quarterly expenditure plans to the Caltrans DLAE (must be postmarked or hand delivered).
<b>09-15-XX +1 yr</b>	Date the DLAE transmits information and applications to Headquarters Office of Local Programs (OLP).
<b>09-30-XX +1 yr</b>	Caltrans Headquarters OLP establishes a preliminary list of eligible projects. Deadline for DLAE to provide local entities with application acceptance letter.
<b>04-01-XX +2 yrs</b>	Caltrans computes the pro rata State funds based on the proposed budget and will advise applicants of the preliminary State to local match ratio.
<b>06-15-XX +2 yrs</b>	Final date for project withdrawal from a cycle. The local entity must notify the DLAE that it can proceed with the April 1 preliminary State share and meet project delivery requirements. Projects withdrawn by written request before this date may be entered into the next cycle. Projects withdrawn after this date must skip <b>4</b> cycles before reapplying.
<b>06-30-XX +2 yrs</b>	Legislature appropriates State share funds. Upon budget enactment, Caltrans compiles an eligible project list and recomputes the State to local match ratio based on the budgeted amount.
<b>08-01-XX +2 yrs</b>	Within 30 days of budget enactment, Caltrans informs the Legislature of the final eligible project list, the final State to local match ratio based on the budget and the State share funds.
<b>06-30-XX +3 yrs</b>	Deadline for contract award. Local entities must inform the DLAE of contract status by this date or the project will be dropped from SLTPP. Projects not awarded by this date must skip <b>4</b> cycles before reapplying.
<b>06-30-XX +6 yrs</b>	Deadline for expending State funds. All unused State share funds are returned to the State.

*		<u>Cycle 2</u>	<u>Cycle 3</u>	<u>Cycle 4</u>	<u>Cycle 5</u>	<u>Cycle 6</u>	<u>Cycle 7</u>	<u>Cycle 8</u>
<b>XX</b>	=	89	90	91	92	93	94	95
<b>XX + 1 year</b>	=	90	91	92	93	94	95	96
<b>XX + 2 years</b>	=	91	92	93	94	95	96	97
<b>XX + 3 years</b>	=	92	93	94	95	96	97	98
<b>XX + 6 years</b>	=	95	96	97	98	99	00	01

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## State and Local Transportation Partnership Program Deadlines Cycles 1-5

**EXHIBIT 20-B**

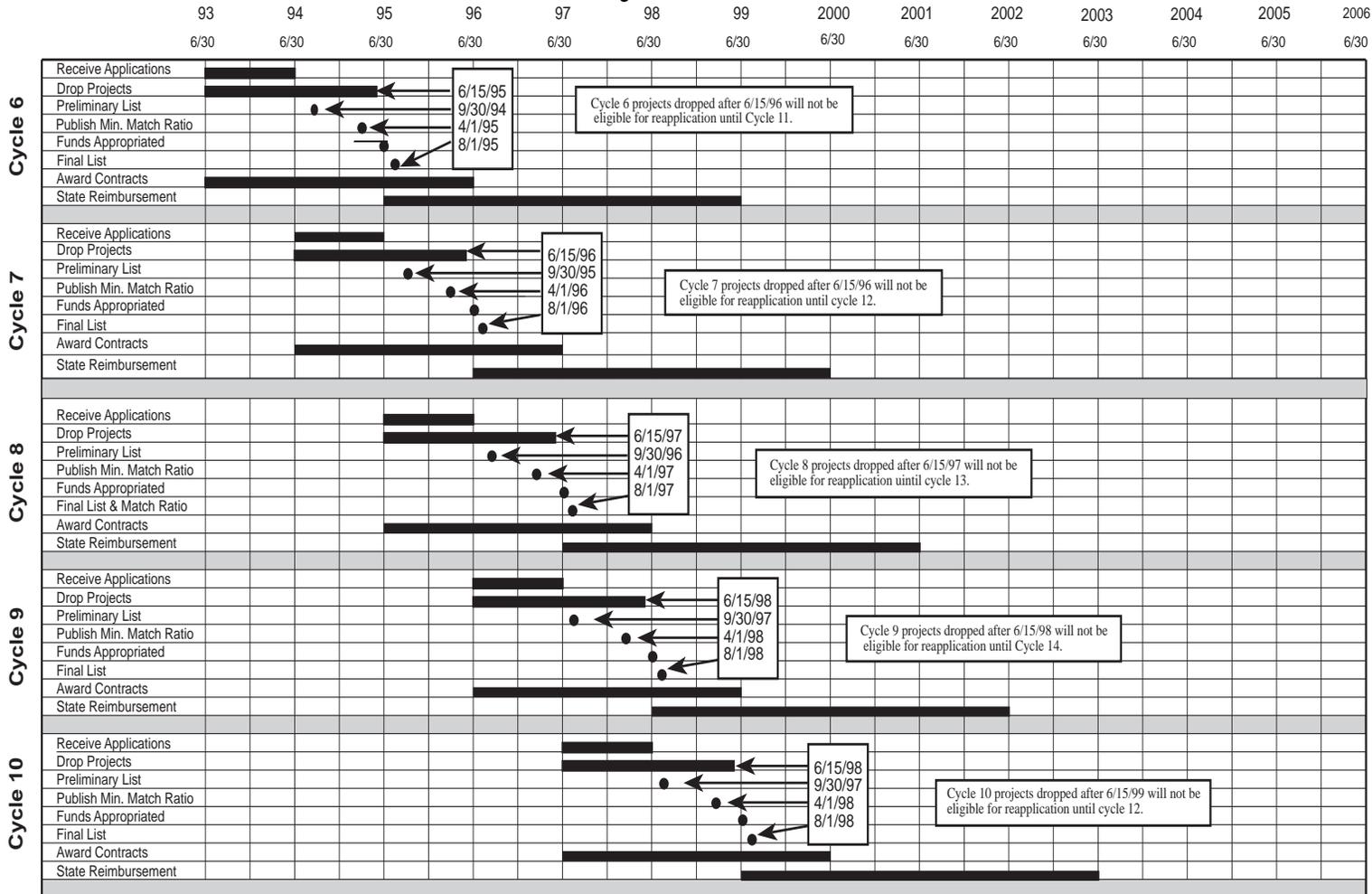


**State and Local Transportation Partnership Program (SLTPP) Deadlines:**  
Local Agencies participating in the SLTPP are accountable for meeting several critical deadlines as follows:

**Application Deadline.** Local Agencies must submit their applications (with proposed quarterly expenditure plans ) by this deadline or the projects cannot be included in the Program. Projects may be awarded prior to this deadline, however, Local Agencies assume the risk of having ineligible projects or contract items being rejected by Caltrans. Local agencies generally should not award their projects until they receive application acceptance letters from their District Local Assistance Engineer.

**Drop Deadline.** After the Minimum Match Ratio is published, but prior to the Drop Deadline, each Local Agency must submit to the Department a letter indicating their intention to award the construction contract by the Award Deadline. If the Department does not receive a letter by the Drop Deadline,

## State and Local Transportation Partnership Program Deadlines Cycles 6-10



the project will automatically be dropped. Any project dropped after the Drop Deadline will be forced to skip 4 cycles before reallocation. For example, if a Cycle 3 project is dropped after 6/15/92, Cycle 8 would be the next cycle the project (or any new project within the dropped project limits) could participate in the SLTPP. Cycle 1 and 2 projects are exempt from this drop penalty.

**Award Deadline.** Projects must be awarded by this date or they will be dropped. If the Local Agency does not inform the Department of the status of the contract by this deadline, the project will be automatically dropped from the SLTPP. The drop penalty described above will apply.

**Expenditure Deadline.** Reimbursement checks must be issued by the State no later than this deadline. Local Agencies must notify the State prior to this deadline to request an extension beyond the legal deadline. Extensions will be granted on a project by project basis.

**STATE-LOCAL TRANSPORTATION PARTNERSHIP PROGRAM  
FUND SOURCE ELIGIBILITY <sup>1</sup>**

	<b>FUND TYPE</b>	<b>SOURCE</b>	<b>SOURCE ELIGIBLE FOR REIMBURSEMENT</b>	<b>PROJECT ELIGIBLE FOR SLTPP FUNDS</b>
<b><u>STATE</u></b> <sup>2</sup>	Gas Tax - 2104	State	No	No
	Gas Tax - 2105	State	No	No
	Gas Tax - 2106	State	No	No
	Gas Tax - 2107	State	No	No
	RSTP Exchange/Match Funds	State	No	No
	Revenue Sharing	State/Federal	No	No
	Section 190	State/Federal	No	No
<b><u>FEDERAL</u></b>	Title 23 Local Federal Funds [e.g., Surface Transportation Program (STP)]	Federal	No	Yes <sup>3</sup>
	Title 23 State Federal Funds	Federal	No	No
<b><u>LOCAL</u></b>	Transportation Development Act Funds (non-Federal)	Local	Yes	Yes
	Property Taxes	Local	Yes	Yes
	US Forest Service Timber Receipts (In Lieu of Property Tax)	Local	Yes	Yes
	Assessment District	Local	Yes	Yes
	Local Bonds	Local	Yes	Yes
	Local Sales Tax (Proposition Measure)	Local	Yes	Yes
	Uniform Developer Fees	Local	Yes	Yes
	Fines and Forfeitures	Local	Yes	Yes
	Major Thoroughfares Fund	Local	Yes	Yes
<b><u>OTHER</u></b>	Developer Contribution	Private	No	Yes <sup>4</sup>
	General Fund	Varies	Yes	Yes

- Notes:
- 1) For additional information on fund source eligibility see Section 20.4 of this chapter.
  - 2) State funds make a project ineligible for participation in the SLTPP, unless the State funded items of work can be separately identified and the remaining work is an eligible SLTPP project.
  - 3) Local Federal funds may be used on an otherwise eligible SLTPP project if both the Federal funds and matching funds are deducted before calculating the State share program funds.
  - 4) Developer contributions must be deducted from otherwise eligible project costs before computing the State share program funds.

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**APPLICATION INSTRUCTIONS FOR  
STATE-LOCAL TRANSPORTATION PARTNERSHIP PROGRAM FUNDS**

**PART I: INFORMATION AND CERTIFICATION**

<b>Applicant:</b>	The name of city, county, or other qualified local entity making application.
<b>Address:</b>	Mailing address of applicant.
<b>Contact Person, Phone:</b>	Name and phone number of person available to answer questions regarding project and application.
<b>EA:</b>	Expenditure authorization number for projects on State Highway System, provided by Caltrans District.
<b>Project Planning Number:</b>	Number given to projects in State Transportation Improvement Plan (STIP), provided by Caltrans District.
<b>State Administered:</b>	Whether or not State will administer project.
<b>State Highway:</b>	Whether or not major portion of project is on a State highway.
<b>Transit Project:</b>	Whether or not project is a Transit Project; e.g., park and ride lot, parking lot for rail passenger station, etc.
<b>Staged Project:</b>	Whether or not application describes complete segment.
<b>Caltrans District:</b>	Caltrans District number in which project is located.
<b>County:</b>	County in which project is located.
<b>State Route:</b>	State highway route number.
<b>Post Mile Limits:</b>	Limits of construction in "post miles", for State highway projects only, provided by Caltrans District.
<b>Project Location/Limits:</b>	Common name for road/guideway, or name of bridge if main feature. Complete description of beginning and ending construction limits using distances and directions to permanent physical landmarks.
<b>Type of Work:</b>	Description of main features of proposed work.
<b>Source of Local Share Funds:</b>	Description of fund type being used Exhibit 15-C.
<b>Justification of Project:</b>	Explain why project qualifies (e.g., completed project will extend service to a new facility, increase capacity, or extend useful life by ten years.)

## **PART II: PROJECT COSTS**

The result of this calculation will establish the maximum amount of State share funds initially available for the project based on the total eligible costs. This amount will be adjusted downward to reflect a lower award amount or final cost, whichever is less.

The contract payments shown are only those items involved in the SLTPP project. For example, if part of the contract is being funded with local Federal funds, the Federal funds, along with their appropriate local matching funds, are not to be shown. Typical ineligible amounts to be deducted include: items of work determined to be beyond the scope of the SLTPP project such as excessive landscaping, non-roadway drainage, right of way costs, etc.

Project costs shown shall agree with the attached engineer's estimate.

## **PART III: QUARTERLY EXPENDITURE PLAN**

The quarterly expenditure plan is required to furnish funding information to the Caltrans Budgets Program. Enter the SLTPP cycle number under which the project is to be financed. Complete the State fiscal years in which local agency expenditures will occur. Enter the estimated percentages by quarter of the total local agency expenditures which are eligible for reimbursement under the SLTPP. Payment may be made under early reimbursement procedures if a request for early reimbursement form is on file with the State.

## **PART IV: LOCATION MAP**

Include an 8 1/2" x 11" photocopy of a map showing project vicinity, location, and limits.

## **PART V: TYPICAL CROSS-SECTION**

Include an 8 1/2" x 11" photocopy of the typical cross-section of project's improvement.

## **PART VI: ENGINEER'S ESTIMATE**

Include an itemized estimate of contract item costs using a format similar to Exhibit 20-J.

**APPLICATION FOR STATE-LOCAL TRANSPORTATION  
PARTNERSHIP PROGRAM FUNDS**

(APP.05)  
STATE USE ONLY  
PROJECT NO. \_\_\_\_\_

**PART I: INFORMATION AND CERTIFICATION**

Pursuant to California Streets and Highways Code, Division 3, Chapter 16, Section 2600 et seq., application for State-Local Transportation Partnership Program Funds is hereby made by:

Applicant: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Contact Person: \_\_\_\_\_ Phone: \_\_\_\_\_

Expenditure Authorization (EA): \_\_\_\_\_ Project Planning Number: \_\_\_\_\_

State Administered Project     Yes     No    State Highway     Yes     No

Transit Project     Yes     No    Staged Project     Yes     No

Caltrans District: \_\_\_\_\_

County: \_\_\_\_\_

State Route: \_\_\_\_\_ Post Mile Limits: \_\_\_\_\_ to \_\_\_\_\_

Project Location / Limits: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Type of Work: \_\_\_\_\_

\_\_\_\_\_

Source of Local Share Funds: \_\_\_\_\_

\_\_\_\_\_

Justification of Project: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**PART II: PROJECT COSTS**

- (A) Contract Payments \$ \_\_\_\_\_ A
- (B) Less Ineligible Amount (Contract Payments) \$ ( \_\_\_\_\_ ) B
- (C) Total Eligible Amount = A - B \$ \_\_\_\_\_ C
- (D) Maximum State Share = 0.5 X (C) \$ \_\_\_\_\_ D

**PART III: QUARTERLY EXPENDITURE PLAN**

SLTPP CYCLE NUMBER **X** = \_\_\_\_\_  
 (For example: for Cycle 6, **X** = 6)

Percent by Quarter of Total Eligible Local Agency Expenditures

(Do not adjust for early reimbursement procedures)

STATE F. Y.	QUARTER 1 (JUL-SEPT)	QUARTER 2 (OCT- DEC)	QUARTER 3 (JAN-MAR)	QUARTER 4 (APR-JUNE)	TOTAL
199(X-1) / 199X =					
199X / 199(X+1) =					
199(X+1) / 199(X+2) =					
199(X+2) / 199(X+3) =					

(For Example: for Cycle 6, **199(X-1) / 199X = 1995 / 1996**)

**GRAND TOTAL: 100%**

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CERTIFICATION: To the best of my knowledge and belief, the data and information provided in this application are true and correct, and I am authorized to file this application on behalf of the applicant. Applicant acknowledges that it understands, and can comply with the time limits for award of contracts and expenditure of funds.

Name and title: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Attachments: Location Map, Typical Cross-Section, Engineer's Estimate

**STATE-LOCAL TRANSPORTATION PARTNERSHIP PROGRAM  
FINANCE LETTER**

**(BEGINNING WITH CYCLE 3)**

DEPARTMENT OF TRANSPORTATION  
EXPENDITURE AUTHORIZATION FINANCING  
FOR AGENCY-ADMINISTERED PROJECTS

Date: \_\_\_\_\_  
File: \_\_\_\_\_  
Agency: \_\_\_\_\_  
Cycle: \_\_\_\_\_

To: \_\_\_\_\_  
LOCAL PROGRAMS AREA ENGINEER

Project Number: \_\_\_\_\_  
Award Date: \_\_\_\_\_

	APPLICATION ESTIMATE	AWARD AMOUNT	PARTNERSHIP FUND CALCULATION
Total Contract Items	_____	_____	
State or Locally Furnished Materials	_____	_____	(Lesser of Eligible
Less Ineligible Work	_____	_____	Contract Totals)
Eligible Contract Total	_____	_____	

Cycle: \_\_\_\_\_ Reimbursement Ratio: \_\_\_\_\_ X \_\_\_\_\_

State Share:

Eligible Contract Total - State Share = Local Funds:

If the Award Amount Total exceeds the Application Total, then Progress Invoice Billings will be reimbursed by the ratio of the Application Total to the Award Amount Total:

Progress Invoice Ratio = Application Amount Total ÷ Award Amount Total = \_\_\_\_\_

Remarks: \_\_\_\_\_  
\_\_\_\_\_

Prepared By: \_\_\_\_\_ Date Prepared: \_\_\_\_\_

Signature: \_\_\_\_\_ Date Signed: \_\_\_\_\_

Title: \_\_\_\_\_

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## STATE-LOCAL TRANSPORTATION PARTNERSHIP PROGRAM

### INVOICE INSTRUCTIONS

This procedure will be used for requesting payment on behalf of a local agency. The invoice format for the SLTPP will differ from the standard local agency-administered projects.

1. Invoices for **Cycles 1 and 2** have three columns; one for construction contract amounts, one for construction engineering/contingency amounts and a column for the combined “total” amounts. Supplemental work and locally furnished materials, if paid for by the local agency, are considered part of the contingency item and eligible for reimbursement.

For **Cycles 3 and 4**, only a total column for construction contract amounts is required. State or locally furnished materials, if paid for by the local agency, are eligible for reimbursement in these cycles. Construction engineering/contingencies and supplemental work are not eligible.

Invoices for **Cycle 5 and beyond** will have three columns, one for the construction contract amount, one for supplemental work and a combined “total” column. State or locally furnished materials, if paid for by the local agency are eligible reimbursable costs. Supplemental work is eligible for reimbursement subject to the limits given under Section 20.2(1), Eligible Project Costs. Construction engineering/contingencies are not eligible for reimbursement.

2. The “Ineligible Costs” line will include items that are not available for reimbursement. This amount is subtracted from the “Total Costs” line in order to arrive at the eligible cost-to-date subtotal.
3. The “State Share Reimbursement Ratio” is preestablished for each cycle. This percentage is applied to the total eligible costs to determine the total State share. Under early reimbursement procedures, progress payments will provide 100 percent reimbursement of eligible costs until the entire estimated State share has been paid. Under standard reimbursement procedures, the “State Share Reimbursement Ratio” percentage will be applied to all invoices billed against the project.
4. Once the eligible cost subtotal is obtained, any prior eligible costs from previous invoices are subtracted to obtain the invoice total for the current billing. Contract Change Order's affecting the costs of eligible items can be added to contract item payments to bring final payment up to but not to exceed the award amount or estimated project cost, whichever is less. For Cycles 1 & 2, excess eligible CCO's can be added to construction engineering up to a total maximum of 10 percent of the award amount or estimated project cost, whichever is less.
5. Progress invoices (Exhibit 20-H) are to be submitted directly to the Department of Transportation, Accounting Service Center, Local Programs Accounting Branch. The final invoice is to be submitted to the District Local Assistance Engineer along with the final Report of Expenditures (Exhibit 20-J).

NOTE: The 10 percent construction engineering plus contingencies applies only to the first and second cycles, and has been eliminated for the third and subsequent cycles.

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# STATE-LOCAL TRANSPORTATION PARTNERSHIP PROGRAM INVOICE

(LETTERHEAD OF LOCAL AGENCY)

**Date of Invoice**

Department of Transportation  
Accounting Service Center  
Local Program Accounting Branch  
P.O. Box 942874  
Sacramento, CA 94274-0001

**Billing Number** \_\_\_\_\_  
**Local Agency's Invoice Number** \_\_\_\_\_  
**Completion Date** \_\_\_\_\_  
**Project Number** **SB** \_\_\_\_\_  
**Cycle Number** \_\_\_\_\_  
**Project Name** \_\_\_\_\_  
**Expenditure Authorization** \_\_\_\_\_

Attention: John Peterson, Chief

Reimbursement for SLTPP funds are claimed pursuant to Local Agency-State Agreement No. \_\_\_\_\_, Program Supplement No. \_\_\_\_\_ executed on \_\_\_\_\_.

	Construction Contract Items	C.E. & Contingencies (Cycles 1 & 2 only)	Supplemental Work (Cycles 5 & Beyond)	Total
<b>Total Costs</b>	_____	_____	_____	_____
<b>State/Local Furnished Materials</b>	_____	_____	_____	_____
<b>Less Ineligible Costs</b>	_____	_____	_____	_____
<b>Eligible Costs</b>	_____	_____	_____	_____
<b>State Share Reimbursement Ratio</b>	_____	_____	_____	_____
<b>State Share Subtotal</b>	_____	_____	_____	_____
<b>Sum of Previous Invoice</b>	_____	_____	_____	_____
<b>Invoice Total</b>	_____	_____	_____	_____

I certify that the SLTPP work covered by this invoice has been completed, the costs shown in this invoice are true and correct, and the amount claimed is due and payable in accordance with the terms of the agreement.

\_\_\_\_\_  
**Local Agency Representative Name and Title**

\_\_\_\_\_  
**Approved for Payment, Local Assistance Engineer, Date**

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**STATE-LOCAL TRANSPORTATION PARTNERSHIP PROGRAM  
FINAL INSPECTION FORM**

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File: \_\_\_\_\_  
Local Agency: \_\_\_\_\_  
Cycle: \_\_\_\_\_  
Project Number: \_\_\_\_\_  
Completion Date (If known): \_\_\_\_\_

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Limits of Work as per Approved Application:

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Description of Work:

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Remarks:

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District Local Assistance Inspection made by:

Date:

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The above project was completed in accordance with the approved Program Application and in conformance with State-Local Transportation Partnership Program Guidelines.

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District Local Assistance Engineer

Date

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**STATE LOCAL TRANSPORTATION PARTNERSHIP PROGRAM  
FINAL REPORT OF EXPENDITURES**

Local Agency: \_\_\_\_\_  
 SLTPP Project Number: \_\_\_\_\_  
 Expenditure Authorization: \_\_\_\_\_

**FINAL ENGINEER’S ESTIMATE**

To be used as a basis for computation of State-Local Transportation Partnership Program (SLTPP) funds.  
 (Description and Limits of Work.)

ELIGIBLE CONTRACT ITEMS

<u>ITEM NO.</u>	<u>ITEM DESCRIPTION</u>	<u>UNIT</u>	<u>QTY</u>	<u>PRICE</u>	<u>AMOUNT</u>
-----------------	-------------------------	-------------	------------	--------------	---------------

**Subtotal:** \_\_\_\_\_

**Construction Engineering & Contingencies** (Cycles 1 & 2 only, 10% maximum): \_\_\_\_\_

**State or Locally Furnished Materials** (Beginning with Cycle 3, if paid for by Local Entity) \_\_\_\_\_

**Supplemental Work** (Beginning with Cycle 5): \_\_\_\_\_

**Eligible Project Total:** \_\_\_\_\_

INELIGIBLE CONTRACT ITEMS

<u>ITEM NO.</u>	<u>ITEM DESCRIPTION</u>	<u>UNIT</u>	<u>QTY</u>	<u>PRICE</u>	<u>AMOUNT</u>
-----------------	-------------------------	-------------	------------	--------------	---------------

**Subtotal:** \$ \_\_\_\_\_

**Construction Engineering & Contingencies** (Cycles 1 & 2 only, 10% maximum ): \$ \_\_\_\_\_

**State or Locally Furnished Materials** (Beginning with Cycle 3, if paid for by Local Entity) \$ \_\_\_\_\_

**Supplemental Work** (Beginning with Cycle 5)

**Ineligible Project Total:** \$ \_\_\_\_\_

**PROJECT TOTAL:** \$ \_\_\_\_\_

**SLTPP REPORT OF EXPENDITURES**

Local Agency: \_\_\_\_\_  
 SLTPP Project Number: \_\_\_\_\_  
 Expenditure Authorization: \_\_\_\_\_

**PROJECT SUMMARY**

	<b>Application</b>	<b>Award</b>	<b>Final</b>
Eligible Contract Items	\$ _____	\$ _____	\$ _____
Construction Engineering and Contingencies (Cycles 1 & 2 Only)	\$ _____	\$ _____	\$ _____
State or Locally Furnished Materials (Beginning with Cycle 3, if paid for by Local Entity)	\$ _____	\$ _____	\$ _____
Supplemental Work (Beginning with Cycle 5)	\$ _____	\$ _____	\$ _____
<b>Total Eligible Costs</b>	\$ _____	\$ _____	\$ _____
Ineligible Costs	\$ _____	\$ _____	\$ _____
<b>Total Project Costs</b>	\$ <u>_____</u>	\$ <u>_____</u>	\$ <u>_____</u>
SLTPP Reimbursement Percentage = _____%			
SLTPP Funds	\$ _____	\$ _____	\$ _____
Other Funds	\$ _____	\$ _____	\$ _____

**CERTIFICATION**

I hereby certify that, to the best of my knowledge and belief, the information in this Report of Expenditures is a true and accurate record of the work performed, according to SLTPP guidelines.

\_\_\_\_\_  
 Signature and Title

**REQUEST FOR EARLY REIMBURSEMENT FOR STATE-LOCAL TRANSPORTATION  
PARTNERSHIP PROGRAM PROJECTS**

**(LETTERHEAD OF LOCAL AGENCY)**

Projects have previously been reimbursed on a pro rata basis in which the State's share is disbursed as a proportional part of each billing and is not fully paid until project completion. This request allows reimbursement of the State's share as 100% of incurred costs.

Projects of greater than \$300,000 in State share funds will receive 100% reimbursement of eligible costs on monthly billings until the entire estimated State contribution has been paid. Adjustments will be made at contract completion to provide final accounting consistent with actual eligible costs.

Projects of \$300,000 or less in State share funds will be reimbursed at project award. The State's share is established by applying the appropriate match ratio to the eligible application amount or the eligible award amount, whichever is less. Reimbursement will be made upon receipt of invoice, finance letter and executed supplemental agreement.

Where currently submitted billings for locally administered projects exceed the State's share, reimbursement will be made upon receipt of a new invoice and this request. For State administered projects, the State will refund excess deposits after receipt of this request.

As a condition of this request, funds shall be retained in the local entity's transportation program, and shall be used to promptly deliver other transportation projects in its area. The local entity is responsible for ensuring these funds are used in a manner consistent with the project application.

This request applies to all active and future projects until such time as the proportional expenditure policy is reinstated.

On behalf of the agency I represent, I request reimbursement procedures in accordance with the policy in this statement.

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**Signature**  
**(Authorized Representative of the Local Entity)**

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**Date**

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