

**2021 Mid-Cycle State Transportation Improvement Program
Guidelines
Policies and Procedures Specific to the Coronavirus Response and
Relief Supplemental Appropriations Act of 2021**

Resolution: G-21-42

The California Transportation Commission (Commission) intends to develop and adopt a 2021 Mid-Cycle State Transportation Improvement Program (STIP) in response to the Coronavirus Response and Relief Supplemental Appropriations Act of 2021 (COVID Relief Funds). The following policies and procedures address the particular circumstances of the 2021 Mid-Cycle STIP.

- Schedule. The following schedule lists the major milestones for the development and adoption of the 2021 Mid-Cycle STIP:

Draft Guidelines/Workshop	March 9, 2021
Draft Guidelines Presented to the Commission	March 24, 2021
Commission adopts Share Distribution	March 24, 2021
List of projects to receive COVID Relief Funds due to the Commission	April 23, 2021
Commission adopts 2021 Mid-Cycle STIP Guidelines	May 12-13, 2021
Projects to receive COVID Relief Funds are presented to the Commission for Notice	May 12-13, 2021
Commission adopts the 2021 Mid-Cycle STIP approving the projects that will receive COVID Relief Funds	June 23-24, 2021
- Subsequent adoption. The Commission may consider programming additional projects in Fiscal Year 2022-23 and beyond at the August 2021 and October 2021 Commission meetings, with the notice at the June and August Commission meetings, respectively. No Mid-Cycle STIP Amendments will be considered after October 2021.
- Funding Distribution. The Commission will distribute \$243,152,859 (26.7 percent of the COVID Relief Funds) through the 2021 Mid-Cycle STIP. The Regional Improvement Program will receive \$182,364,644 (75 percent) and the Interregional Improvement Program will receive \$60,788,215 (25 percent) of the COVID Relief Funds to be programmed and allocated through the STIP.
- Regional Share Targets. Regional share targets were calculated based on the amount identified above for the Regional Improvement Program using the STIP share distribution formula, not considering existing balances or overprogramming. These are the target shares for each region. There are no minimums or maximums calculated for these shares. All funds programmed and allocated will be rounded to the nearest thousand.

2021 Mid-Cycle State Transportation Improvement Program Policies and Procedures Specific

- Over programming. Regions and Caltrans may program the 2021 Mid-Cycle STIP share targets regardless of overprogramming in the 2020 STIP.
- Planning Programming and Monitoring (PPM). PPM was calculated based on 5 percent of the 2021 Mid-Cycle regional share targets. Regions will have the option to program PPM up to the 5 percent limitation identified.
- State-Only Funding Exchange. Regions with a share target amount of \$3 million or less may request state-only funding at the time of programming, except in urbanized areas with populations over 200,000 as identified in the Federal Highway Administration apportionment notice dated January 15, 2021. A project that is required to be federalized or that has previously received federal funding is not eligible for state-only funding. Projects programmed with state-only funds are subject to Article 19 restrictions.
- Programming Options. Regions and Caltrans may choose one or a combination of the following programming options:
 1. Propose New Projects – An agency may choose to program new projects up to their total target amount. For each new project nominated for funding in the 2021 Mid-Cycle STIP, regions and Caltrans shall submit an electronic Project Programming Request (ePPR), identifying the scope, cost, and schedule. Nominations of new projects for programming must be approved by the relevant regional agency board prior to allocation by the Commission. For projects to be programmed in Fiscal Year (FY) 2021-22, the ePPRs must be submitted electronically to the Commission by April 23, 2021. The ePPR is located at <https://calsmart.dot.ca.gov/>.
 2. Supplanting of Funds – An agency may supplant local funds with COVID Relief funds on an existing STIP project:
 - Projects programmed in current FY (2020-21) – May be done at time of vote, with notification and an ePPR provided to Commission staff showing the funding change.
 - Project programmed in FY 2021-22 and beyond– Same requirement as a new project.
 3. Augment Projects - An agency may program additional funding to a currently programmed project to address project cost increases or to add scope. Programming requirements are the same for project augmentations as for new project(s) as noted above.
 4. Advance Projects - An agency may propose to advance projects that are currently programmed in FY 2022-23 and beyond in the STIP. Advancing more than the regional share target amount will only be recommended if advancing the regular STIP funding portion is possible through the normal STIP advance process.
 5. Delay Programming until the 2022 STIP – Unprogrammed shares will be accounted for in the 2022 STIP Fund Estimate. No action is required. Although funding is available for obligation through September 2024, an agency may delay programming their target shares by no later than June 2024.

2021 Mid-Cycle State Transportation Improvement Program Policies and Procedures Specific

6. SHOPP-Eligible Projects - Caltrans may program projects in the STIP that are eligible for the State Highway Operations and Protection Program (SHOPP) if timely delivery through the SHOPP is not possible due to funding limitations. Programming requirements are the same for SHOPP eligible projects as for new project(s), as noted above.
- Allocation Deadline. In order to ensure that no federal funds are lost to the state by the September 2024 deadline, projects programmed with these funds must receive an allocation by June 2024. If a project does not receive an allocation by this date, the project will lapse, and the shares will not return to the region. The state may use these lapsed funds to recommend a project for programming and allocating.
 - STIP Guidelines. The STIP guidelines shall apply to the management of projects that are amended into the STIP through this cycle.
 - Submittals. All requests for the use of COVID Relief funding must be submitted in electronic format and should include the following:
 1. Letter addressed to Mitch Weiss, Executive Director, signed by the Region's Executive Director
 2. List of proposed funding (below is an example)
 - Add Project, Lincoln Avenue Interchange Project (PPNO 1234), \$3.25 million, CON phase, FY 2021-22
 - Replace local funding, HOV Extension Project (PPNO 4567), \$10 million, R/W phase, FY 2021-22
 - Increase funding, SR 65 Improvements Project (PPNO7890), \$2 million, PS&E phase, FY 2021-22
 3. ePPR for each of the proposed projects
 - Submit all requests to the following email Addresses: Teresa.Favila@catc.ca.gov, Kacey.Ruggiero@catc.ca.gov and Rambabu.Bavirisetty@dot.ca.gov