

CWA Spreadsheet Instructions Projects with Lapsing Funds on June 30, 2015

General Notes

Please do not make any changes to the form such as adding/deleting columns, rows, or merging cells. All information requested must be completed and submitted to the District Cooperative Work Agreement (CWA) Liaisons by **November 3, 2014**. **No late submittals will be accepted and there is no appeal process to the Department of Finance's (DOF's) decisions.** We anticipate DOF to make a decision by **March 31, 2015**.

Notes:

- **Complete all the information** requested in the unlocked columns.
- If a project number appears more than once, please provide information every time the project appears.
- If your Board/Council will not meet and cannot sign, please mark the Board/Council signature box line with "Forthcoming" and list the date the Board/Council is anticipated to sign. Please forward the Board/Council approval when available.
- The data was extracted from Caltrans' accounting system on September 4, 2014. Additional invoices may have been processed since this date.

Instructions:

1. District
2. Agency Name
3. Work Performed/Location
4. Federal Project No.
5. Project Code
6. Phase Code
7. Fund. Desc.

8. Encumbrance Amount: Total funds eligible for reimbursement on this encumbrance.

9. Reimbursed: Eligible expenditures reimbursed by Caltrans.

10. Unliquidated Balance: Encumbrance Amount less Reimbursed; these are the funds that will lapse on June 30, 2015.

11. TUF Lapse Date: This column only applies to individual allocations from the California Transportation Commission (CTC) and includes State Transportation Improvement Program (STIP), STIP Transportation Enhancements (TE), Proposition 1B Local Bridge Seismic Retrofit Account (LBSRA), and state-funded seismic retrofit encumbrances. The date in this column is the date that timely use of funds will lapse per CTC timely use of funds (TUF) Guidelines or as otherwise noted in Column 11. The local agency must have

both: CTC authority (via an extension request) and state budget authority (via the CWA request) to be eligible for reimbursement. Please consult with your District Local Assistance Engineer if you will be pursuing an extension for CTC authority.

12. Requesting CWA? (Yes/No): Choose from “Yes” or “No.” If the funds are at risk of lapsing and will not be billed by **December 31, 2014**, the Local Agency should request a CWA to extend the lapsing date. Please keep in mind the original scope of the project must be unchanged as “The work to be completed is consistent with the intent of the original appropriation...” per Section 16304.3 of the Government Code.
13. Delay Code: Enter the appropriate Delay Code number from this list:
<http://www.dot.ca.gov/hq/LocalPrograms/CWA/documents/delay-codes.pdf>
14. **Reason for Delay: Please provide detailed information explaining why these funds have not been expended.** The justification provided must adequately describe an unforeseen and extraordinary circumstance beyond the control of the agency, including a timeline of events with milestones. **It is your responsibility to convince DOF that funding will be fully expended if a CWA is approved. You may also provide an attachment that documents and/or supports your reason for delay.**
15. Obstacles to Future Completion: Responses should focus on delays that may occur due to future events/issues.
16. **Consequences if CWA not approved:** Describe what would happen if the CWA is not approved by DOF. For example, if funding is from the Highway Safety Improvement Program (HSIP), what are the safety benefits (how many accidents, injuries, etc., are estimate to be prevented from this project)?
17. Date Funding will be liquidated if CWA approved: Please indicate the month and the year. Please keep in mind that DOF cannot approve beyond the maximum extension period of 8 years for CWAs.
18. Contact Name, Number and E-mail: Please provide the contact name, phone number, and e-mail for the agency contact.

The Board or the Council must approve the extension request. The Public Works Director may sign the request if he/she has delegation authority from the Board or Council. The intent is to ensure the Board or the Council understands the potential financial responsibility based on CWA approval/denial by DOF: 1) CWA approved, funding must be reimbursed before the maximum extension period of 8 years for a CWA, and 2) CWA denied, local agency will be financially responsible to fund the remaining encumbrance balance.