



San Gabriel Valley Council of Governments

AGENDA AND NOTICE OF THE MEETING OF THE SGVCOG PUBLIC WORKS TECHNICAL ADVISORY COMMITTEE Monday, November 20, 2017 – 12:00 PM

2017/2018 OFFICERS

Chair: Rene Guerrero

Vice Chair: David Liu

Immediate Past Chair:
Phil Doudar

Voting Members:

Arcadia

Azusa

Claremont

Diamond Bar

El Monte

Irwindale

Monrovia

Pasadena

Pomona

San Dimas

Temple City

West Covina

LA County DPW

Thank you for participating in today's meeting. The Public Works Technical Advisory Committee encourages public participation and invites you to comment on agenda items.

MEETINGS: *Regular Meetings of the Public Works Technical Advisory Committee are held on the third Monday of each month at 12 PM at the Upper San Gabriel Valley Municipal Water District-602 E. Huntington Dr., Suite B, Monrovia, CA 91016.* The Public Works Technical Advisory Committee agenda packet is available at the San Gabriel Valley Council of Government's (SGVCOG) Office, 1000 South Fremont Avenue, Suite 10210, Alhambra, CA, and on the website, www.sgvkog.org. Copies are available via email upon request (sgv@sgvkog.org). Documents distributed to a majority of the Committee after the posting will be available for review in the SGVCOG office and on the SGVCOG website. Your attendance at this public meeting may result in the recording of your voice.

CITIZEN PARTICIPATION: Your participation is welcomed and invited at all Public Works Technical Advisory Committee meetings. Time is reserved at each meeting for those who wish to address the Board. SGVCOG requests that persons addressing the Committee refrain from making personal, slanderous, profane, or disruptive remarks.

TO ADDRESS THE PUBLIC WORKS TECHNICAL ADVISORY COMMITTEE: At a regular meeting, the public may comment on any matter within the jurisdiction of the Committee during the public comment period and may also comment on any agenda item at the time it is discussed. At a special meeting, the public may only comment on items that are on the agenda. Members of the public wishing to speak are asked to complete a comment card or simply rise to be recognized when the Chair asks for public comments to speak. We ask that members of the public state their name for the record and keep their remarks brief. If several persons wish to address the Committee on a single item, the Chair may impose a time limit on individual remarks at the beginning of discussion. **The Public Works Technical Advisory Committee may not discuss or vote on items not on the agenda.**

AGENDA ITEMS: The Agenda contains the regular order of business of the Public Works Technical Advisory Committee. Items on the Agenda have generally been reviewed and investigated by the staff in advance of the meeting so that the Committee can be fully informed about a matter before making its decision.

CONSENT CALENDAR: Items listed on the Consent Calendar are considered to be routine and will be acted upon by one motion. There will be no separate discussion on these items unless a Committee member or citizen so requests. In this event, the item will be removed from the Consent Calendar and considered after the Consent Calendar. If you would like an item on the Consent Calendar discussed, simply tell Staff or a member of the Public Works Technical Advisory Committee.



In compliance with the Americans with Disabilities Act, if you need special assistance to participate in this meeting, please contact the SGVCOG office at (626) 457-1800. Notification 48 hours prior to the meeting will enable the SGVCOG to make reasonable arrangement to ensure accessibility to this meeting.



PRELIMINARY BUSINESS

1. Call to Order
2. Pledge of Allegiance
3. Roll Call
4. Public Comment (*If necessary, the Chair may place reasonable time limits on all public comments*)

CONSENT CALENDAR (*It is anticipated that the Committee may take action on the following matters*)

5. Review Public Works TAC Meeting Minutes: 10/16/2017 -- Page 1
Recommended Action: Review and approve.

PRESENTATIONS

6. Whittier Narrows Dam Safety: Presentation by Ms. Kathy Anderson and Mr. Joe Goldstein, U.S. Army Corps of Engineers -- Page 5
Recommended Action: For information.
7. Metro Measure M Sub-Regional Program Funds: Presentation by Mark Christoffels, Chief Executive Officer, ACE -- Page 13
Recommended Action: Discuss and provide direction to staff.

ACTION ITEMS (*It is anticipated that the Committee may take action on the following matters*)

UPDATE ITEMS

8. ACE/COG Integration
Recommended Action: For information.

INFORMATION ITEMS

9. Staff Report: SB 1 – California Transportation Commission’s 2018 Local Partnership Program
Recommended Action: For information.-- Page 17
10. Staff Report: Active Transportation Program (ATP) Cycle 4 – 2019 ATP -- Page 43
Recommended Action: For information.

DISCUSSION ITEMS

EXECUTIVE DIRECTOR’S COMMENTS

ANNOUNCEMENTS

- No Public Works TAC Meeting in December. Next Public Works TAC Meeting will be on January, 15, 2018

ADJOURN



SGVCOG Public Works TAC Meeting Minutes

Date: October 16, 2017

Time: 12:00 P.M.

Location: Upper San Gabriel Valley Municipal Water District
602 E. Huntington Dr., Suite B, Monrovia, CA 91016

PRELIMINARY BUSINESS

1. Call to Order. The meeting was called to order at 12:05 p.m.
2. Pledge of Allegiance. D. Liu led the TAC in the Pledge of Allegiance.
3. Roll Call

Public Works TAC Members Present

P. Wray, Arcadia
C. Curiel, Azusa
D. Liu, Diamond Bar
J. Wu, El Monte
D. Co, Irwindale
A. Tachiki, Monrovia
B. Janka, Pasadena
K. Patel, S. Garwick, San Dimas
R. Salas, South El Monte
M. Forbes, Temple City
C. Consunji, West Covina
Y. Sim, L. Grindle, J. Lu, LACDPW

Public Works TAC Members Absent

Claremont
Pomona

Guests

A. Sweet, S. Hoplar Glendora	S. Ariannia, V. Sedagat, Geo-Advantec, Inc.
R. Casillas, South Pasadena	J. Martinez, NCE
F. Alamolhoda, LAE Associates	M. Christoffels, ACE
S. Ahmad, SA Associates	G. Jaquez, MNS Engineers
S. Forster, Infrastructure Engineers	J. Yang, LA County
E. Pan, LA Metro	T. Choe, System Metrics Group

SGVCOG Staff

E. Wolf
P. Duyshart

4. Public Comment.

Eric Wolf & Peter Duyshart: E. Wolf, Senior Management Analyst for the San Gabriel Valley Council of Governments (SGVCOG), announced that Peter Duyshart, who is currently an Intern for the SGVCOG, will be taking over the staffing duties for the Public Works TAC over the course of the next month, and will fully take over these responsibilities by the end of November 2017. P. Duyshart then briefly introduced himself to the Public Works TAC Members who were present.

P. Duyshart also announced the Building Energy Efficiency Competition (BEEC), an energy benchmarking competition which the SGVCOG is administering. P. Duyshart pointed out the benefits of benchmarking, and also brought to the attention of City Public Works staff that the SGVCOG will be reaching out soon to request certain specific building specification data.

CONSENT CALENDAR

- 5. Review Public Works TAC Meeting Minutes: 9/18/2017
There was a motion to approve the minutes (M/S: C. Consunji/K. Patel).

[Motion Passed]

Ayes	Arcadia, Azusa, Diamond Bar, El Monte, Irwindale, Monrovia, Pasadena, San Dimas, South El Monte, Temple City, West Covina, LACDPW
Noes	
Abstain	
Absent	Claremont, Pomona

PRESENTATIONS

- 6. *LA County Metro’s “Measure Up” Project: Presentation by Eva Pan of LA County Metro and Tom Choe of System Metrics Group*

E. Pan began the presentation by providing the purpose and description of “Measure Up;” this project is a countywide baseline conditions analysis which is meant to evaluate the performance of arterials throughout LA County. A key benefit of having access to this analytical tool is this data provides Cities with the ability to make data-driven decisions, rather than just observational ones. E. Pan then turned the presentation over to T. Choe. T. Choe first identified the eight (8) performance measures which were selected; these measures were agreed upon by local and regional agencies throughout LA County. T. Choe then went over the data collection process, and pointed out how this is the largest ever data collection for an arterial analysis project, as there are 2 TB of data to extrapolate.

T. Choe then went through live demos of how to use, understand, and navigate through the “Measure Up” tool. The tool itself consists of two incredibly large Excel spreadsheet files. This performance measure tool includes data on measures such as: mobility, reliability, free-flow speed, vehicles per hour, travel time, vehicle-hours of delay, and travel demand. In addition, this countywide tool shows how the arterials of each of the nine (9) sub-regions of the County stack up against each other comparatively. For example, the SGV is 6th in “Total Delay Daily,” and the SGV is also far below the countywide average in delay per mile. However, the SGV has the 2nd highest arterial demand.

E. Pan then concluded the presentation by briefly discussing a pilot project that LA Metro is in the initial stages of developing. This pilot project is related to the Measure Up arterial analysis, and the project’s purpose is to complement the Measure Up spreadsheet tool, and could possibly include an interactive arterial map. E. Pan also announced that the SGV region has been selected for this pilot project.

After E. Pan concluded her presentation, M. Christoffels of ACE added that the data provided by this performance measure tool can help prove a point when trying to make decisions for arterial or compete streets projects. He also pointed out that the tool’s detailed, quantitative data is free for SGV member-Cities to use.

Vice Chair D. Liu asked about safety and sustainability measurements as they relate to the Measure Up tool. He also asked about County CMP data.

ACTION ITEMS *(It is anticipated that the Committee may take action on the following matters)*

UPDATE ITEMS

7. ACE/COG Integration

E. Wolf reviewed the ACE/COG working groups that have been formed to discuss issues such as integrating personnel systems and working out a process for project selection and approval. He also announced that the Governing Board has created an ad hoc group to work with the transition team (SGVCOG staff). In addition, E. Wolf said that JPA draft changes have been made, and the Governing Board will review these draft changes, as well as new bylaws, this Thursday. Changes to bylaws include: new terms of office, ACE Board transitioning to the Capital Projects and Construction Committee, and what authorities this new aforementioned committee will have. SGVCOG member-Cities' City Councils and Legal Counsels will have to approve these bylaw changes. E. Wolf also let City staff members know that the COG is available to brief City Councils.

8. SGVCOG General Assembly, Oct 25, 2017

E. Wolf reviewed the agenda and speaker line up for the Assembly. He also encouraged City staff members to attend the General Assembly. M. Christoffels quickly talked about the content of the afternoon session that he will moderate.

INFORMATION ITEMS

J. Martinez announced that APWA Southern California will have a luncheon regarding the Gerald Desmond Bridge Replacement Project. This luncheon will be on November 2, 2017.

D. Liu also briefly made an announcement regarding SB 1 funding.

DISCUSSION ITEMS

EXECUTIVE DIRECTOR'S COMMENTS

ANNOUNCEMENTS

A guest announced that a SB 1 Partnership Forum at a Caltrans district office is going to be held the very next day, Tuesday, October 17th.

ADJOURN

The meeting adjourned at 1:26 p.m.

DAM SAFETY PROGRAM USACE LOS ANGELES DISTRICT

San Gabriel Valley Council of Governments
Public Works TAC Meeting

November 20, 2017

Presented by:

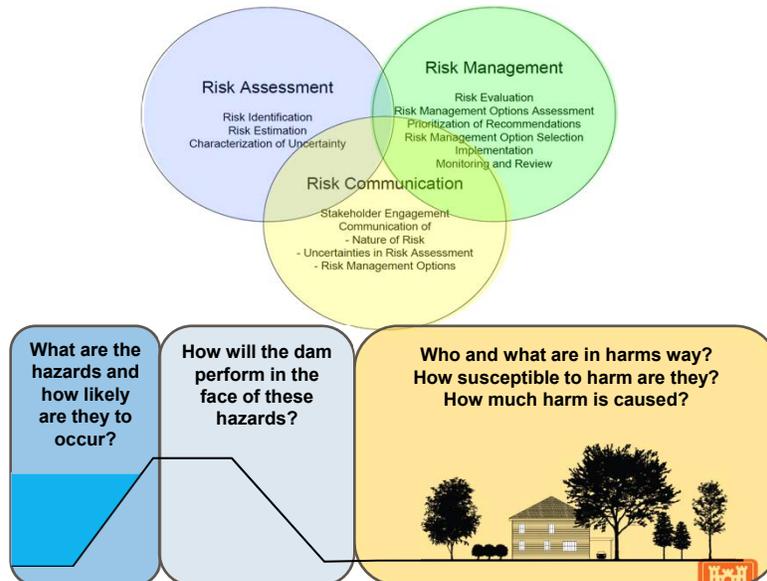
Joe Goldstein, P.E.

DSPM, Dam & Levee Safety

"The views, opinions and findings contained in this report are those of the authors(s) and should not be construed as an official Department of the Army position, policy or decision, unless so designated by other official documentation."



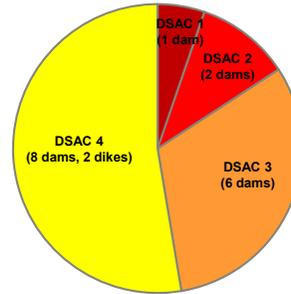
DAM SAFETY PROGRAM



DAM SAFETY ACTION CLASSIFICATION (DSAC)

Urgency of Action Dam Safety Action Class (DSAC)		Characteristics/ Actions
1	Very High	Critically near failure or Extreme high risk. Take immediate action. Communicate findings, IRRMs, EAP, heightened monitoring and evaluation, expedite investigations.
2	High	Failure initiation foreseen or very high risk. Communicate findings, IRRMs, EAP, heightened monitoring, Confirm classification, high priority for investigations and evaluations.
3	Moderate	Moderate to high risk. Communicate findings, IRRMs, EAP, heightened monitoring and evaluation.
4	Low	Low risk. Communicate findings. Conduct elevated monitoring and evaluation.
5	Normal	Very low risk. Incremental risk considered tolerable. Continue routine dam safety activities and normal operations, maintenance, monitoring, and evaluation.

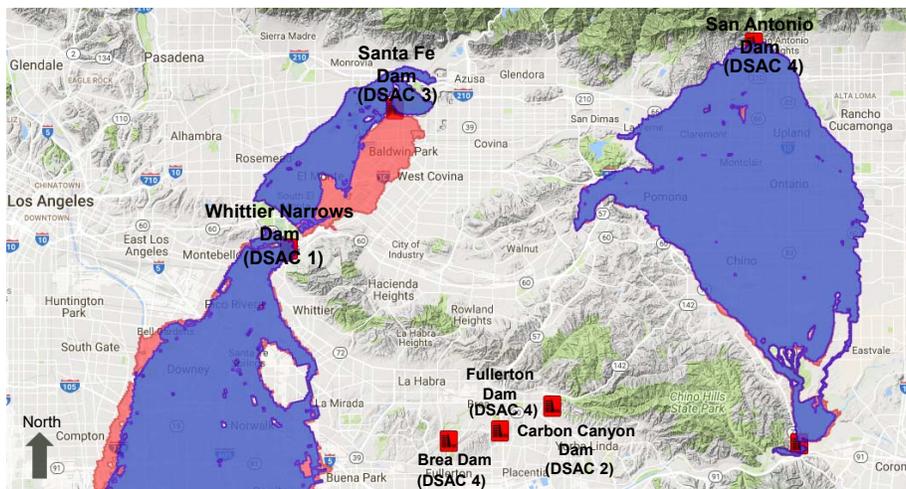
Los Angeles District



3



POTENTIAL INUNDATION AREAS



4



POINTS OF CONTACT

Gary Lee, P.E.
Dam Safety Officer
213-452-3629

Gary.J.Lee@usace.army.mil

Kristen Bedolla, P.E., G.E.
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Kristen.K.Bedolla@usace.army.mil

Joe Goldstein, P.E.
DSPM, Dam & Levee Safety
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Joseph.S.Goldstein@usace.army.mil

Los Angeles District
www.spl.usace.army.mil/

National Inventory of Dams
<http://nid.usace.army.mil/>



5



WHITTIER NARROWS DAM SAFETY MODIFICATION STUDY

San Gabriel Valley Council of Governments
Public Works TAC Meeting

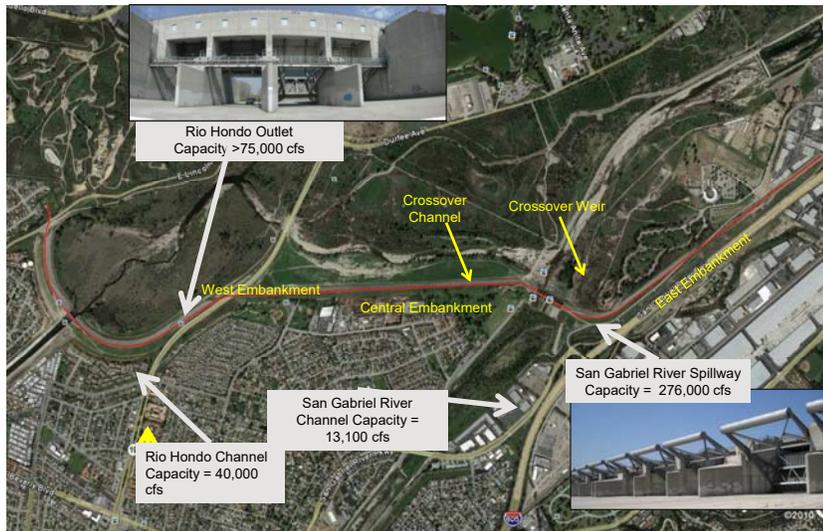
November 20, 2017

Presented by:
Kathleen Anderson
Civil Works Project Manager

"The views, opinions and findings contained in this report are those of the authors(s) and should not be construed as an official Department of the Army position, policy or decision, unless so designated by other official documentation."



WHITTIER NARROWS DAM OVERVIEW



7



What is a Dam Safety Modification Study?

A comprehensive evaluation of a USACE-owned dam to determine compliance to safety criteria.

- Probability of failure
- Life safety risk

A DSMS is similar to but different from feasibility studies. Key differences:

- Evaluates existing Corps projects
- Not cost-shared
- Considers economics, but focuses on the risk of life loss

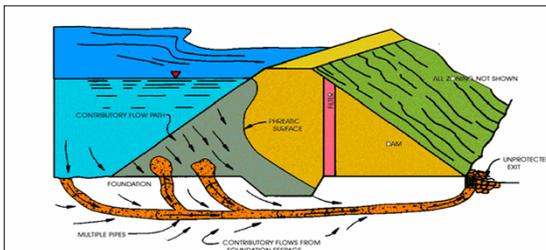
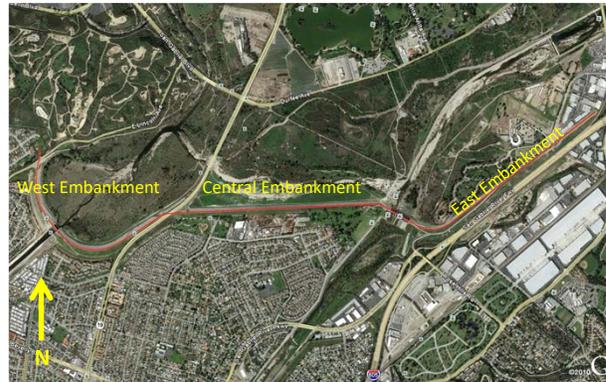
8

Safety Issues at Whittier Narrows Dam

The dam could fail through:

1. Spillway gates system failures
2. "Piping" under the dam
3. Overtopping

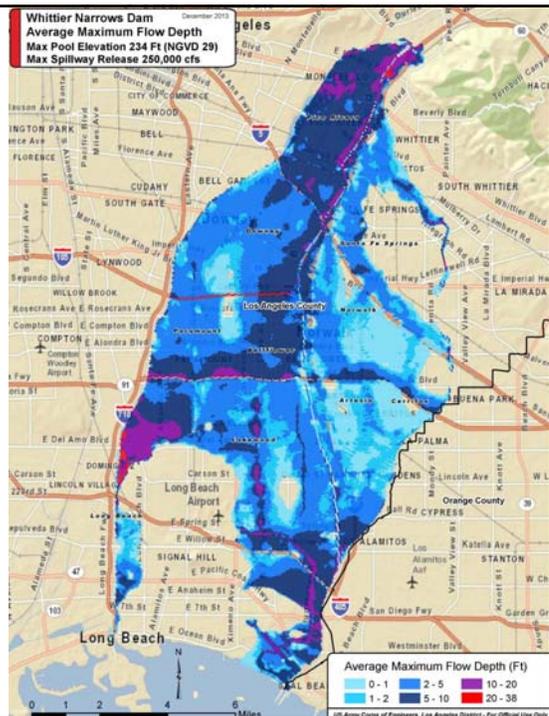
As a consequence of these issues, the dam is one of USACE's highest priorities (DSAC1)



9

High Risks Even Without Dam Breach

- Communities downstream are at extremely high risk even without dam failure
- Rare storms can produce more runoff than the dam can control.
- At roughly a 200-year event, the spillway on the San Gabriel River will begin to operate automatically and begin discharges that will be greater than the channel can hold, flooding Pico Rivera.
- The spillway can discharge 20 times the channel capacity. The flooding depths shown at right (the depths in PR range from 5 to 20 feet) are for an event that has less than a 1 in 1,000 chance of occurring any given year.



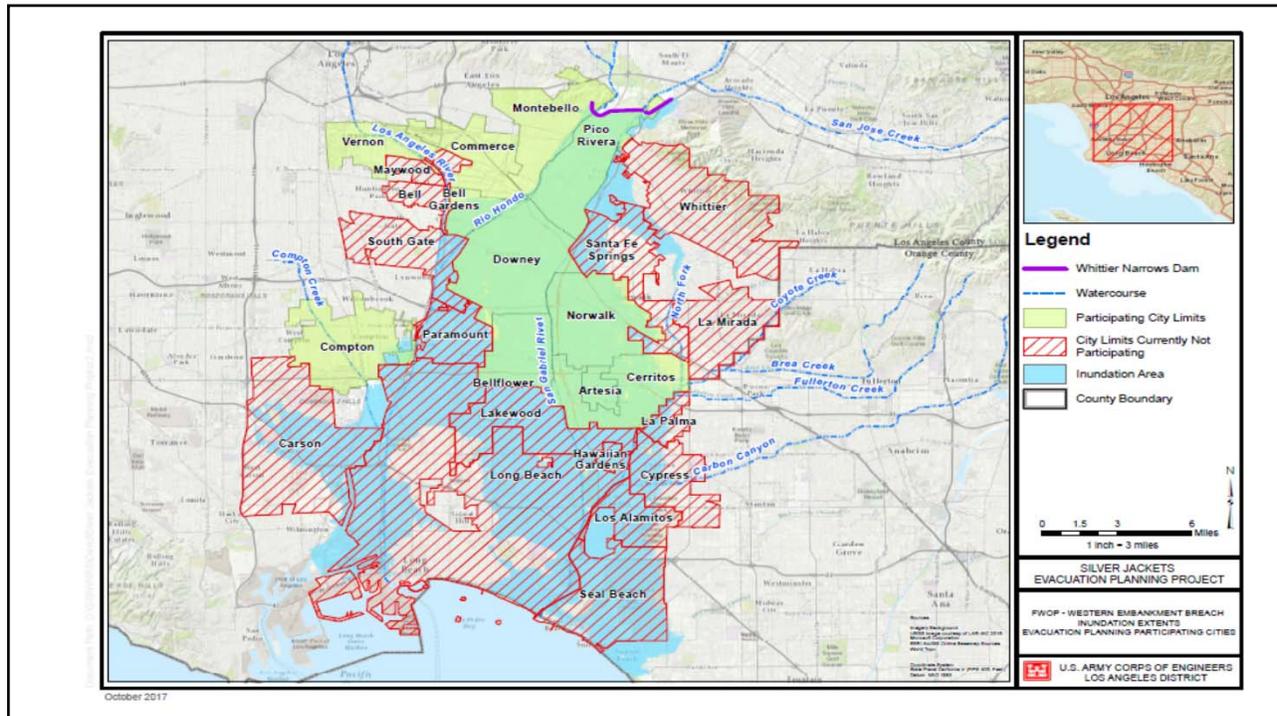
Case Study: Hurricane Harvey

- USACE Addicks and Barker Dams – DSAC 1 dams in the Houston metropolitan area
- Dumped upwards of 50 inches of rainfall (avg. annual rainfall for LA is about 15 inches)
- Estimated to be about a 1000-yr flood event
- After rainfall subsided, USACE had to make significant releases in order to prevent the dams from overtopping
- Residents downstream who were spared from the storm, were flooded by the dam releases.
- Nearly 70% of the homes that were flooded did not have flood insurance



Ongoing Efforts by USACE

- USACE has interim risk reduction measures in place to reduce the risk of gate malfunction. A more robust solution will be installed prior to November 2018.
- Other IRRMs: Remote Monitoring, Inspection and Monitoring, Pre-Positioning of Materials, Emergency Action Plan Update
- Through the modification study, USACE is currently developing and evaluating plans to reduce risk. These plans include elements to address all of the failure modes. Note that these plans will not eliminate dam-related risk. The affected communities need to be prepared.
- A Silver Jackets project is ongoing with the City of Pico Rivera and another will be starting soon with other downstream cities. The goal of these projects is to assist the cities in preparing flood-specific evacuation plans.
- NEPA documentation is being prepared as part of the modification study and will make the draft report available for review this coming summer.
- Construction is tentatively scheduled for FY 2021



REPORT

DATE: November 20, 2017

TO: Public Works TAC

FROM: Marisa Creter, Interim Executive Director

VIA: Mark Christoffels, CEO, ACE Construction Authority

RE: MEASURE M SUBREGIONAL FUNDS; INITIAL FIVE-YEAR PROGRAMMING PLAN

RECOMMENDED ACTION

Discuss and provide input and direction to staff regarding initial project selection for each of the presented five-year program plans.

BACKGROUND

In June, the Metro Board of Directors adopted the Measure M guidelines establishing a process by which subregional funds under Measure M will be programmed by the subregional entities, including the SGVCOG, through the development of five-year subregional fund programming plans. In accordance with these guidelines, five-year project specific programming plans will have to be submitted to the Metro Board of Directors for adoption, which will subsequently guide the flow of funding to various specific projects that fall within each program. Last month staff received from Metro the projected initial five-year cash flow for each subregional fund in the San Gabriel Valley subregion. The funds that would be available for programming are referenced in Table 1.

Program	Sub-region	Funding Dates	FY 2017 FY 2018	FY 2018 FY 2019	FY 2019 FY 2020	FY 2020 FY 2021	FY 2021 FY 2022	5-Year Total	40-Year Fund Total	5-Year Percentage of Total
Active Transportation Prog. (Including Greenway Proj.)	sg	FY 2018-57	\$ 2.30	\$ 2.40	\$ 2.40	\$ 2.50	\$ 2.60	\$ 12.20	\$ 231.00	5.28%
Bus System Improvement Program	sg	FY 2018-57	\$ 0.60	\$ 0.60	\$ 0.60	\$ 0.60	\$ 0.60	\$ 3.00	\$ 55.00	5.45%
First/Last Mile and Complete Streets	sg	FY 2018-57	\$ 2.00	\$ 2.00	\$ 2.10	\$ 2.10	\$ 2.20	\$ 10.40	\$ 198.00	5.25%
Highway Demand Based Prog. (HOV Ext. & Connect.)	sg	FY 2018-57	\$ 2.30	\$ 2.40	\$ 2.40	\$ 2.50	\$ 2.60	\$ 12.20	\$ 231.00	5.28%
Goods Movement (Improvements & RR Xing Elim.)	sg	FY 2048-57							\$ 33.00	0.00%
Highway Efficiency Program	sg	FY 2048-57							\$ 534.00	0.00%
ITS-Technology Program (Advanced Signal Tech.)	sg	FY 2048-57							\$ 66.00	0.00%
San Gabriel Valley MY Subregion Total								\$ 37.8	\$ 1,348.00	2.80%
Gold Line Foothill Extension to Claremont	sg	FY 2019-25			?	?	?		\$ 1,019.00	
SR-71 Gap	sg	FY 2022-26							\$ 248.00	
SR-57/60	sg	FY 2025-31							\$ 205.00	
Gold Line Eastside Extension	sg	FY 2029-35							\$ 543.00	
I-605/10 Interchange	sg	FY 2043-47							\$ 126.00	
SR-60/605 Interchange	sg	FY 2043-47							\$ 130.00	
Major Projects San Gabriel Valley Total									\$ 2,271.00	
Overall Total									\$ 3,619.00	

Table 1.
Measure M Multi-Year Subregional Program 5-Year Cashflows (\$ in millions).

The cash flow table indicates that for the first five years, the amount of funding available for the subregional programs designated to receive funds in the early years is minimal (roughly 2.8% of the total designated for the 40-year programming period). Staff is assuming that funds are limited for the subregional programs because a significant amount of the early revenues will be allocated to the Foothill Gold Line Extension though the exact amounts are unknown and shown as “?” in the table.

Reviewing the subregional program project lists that were included in the base study for the regions (the adopted Mobility Matrix), it is apparent that the \$12 million to be allocated in the first five years under the Highway Demand Based Program, which is primarily HOV extensions and connections, is insufficient to initiate any projects. In addition, the \$3 million to be allocated under the Bus System Improvement Program, which is primarily for infrastructure improvements related to the express bus system, is also insufficient to initiate any projects.

Rather than have these funds remain in the these subregional programs as accumulated cash with no prospect for expenditures during that period, staff is recommending that these funds be “loaned” to the First/Last Mile and Complete Streets Program and the Active Transportation Program to accelerate projects within the programs. In addition, the SGVCOG earlier this year had issued a Letter of No Prejudice to advance \$5.2 million in Measure M funds to fully fund the Lemon Ave Ramps at the 60 freeway that are currently under construction, and staff is recommending that a portion of the funds available in the Highway Demand Based Program be “loaned” to the Highway Efficiency Program to cover these costs. These “loaned” funds would then be reimbursed when sufficient funding is available to initiate projects under the Highway Demand Based Program and the Bus System Improvement Program.

Based on the above, staff is recommending that \$5.2 million from the Highway Demand Based Program be “loaned” to the Highway Efficiency Program to cover the current Lemon LONP, which is a project that will ultimately get funded under the Highway Efficiency Program. The remainder of the Highway Demand Based Program would be “loaned” to the First and Last Mile Program. \$2.5 million of the Bus System Improvement Programs would be “loaned” to the Active Transportation Program, with \$500,000 to remain in the Bus System Improvement Program to fund specific project planning and conceptual design work. Table 2 shows the funding by program based on the recommended loans between programs:

REPORT

Program	Sub-region	Funding Dates	FY 2017 FY 2018	FY 2018 FY 2019	FY 2019 FY 2020	FY 2020 FY 2021	FY 2021 FY 2022	5-Year Total	40-Year Fund Total	5-Year Percentage of Total
Active Transportation Prog. (Including Greenway Proj.)	sg	FY 2018-57	\$ 2.40	\$ 3.00	\$ 3.00	\$ 3.10	\$ 3.20	\$ 14.70	\$ 231.00	6.36%
Bus System Improvement Program	sg	FY 2018-57	\$ 0.50	\$ -	\$ -	\$ -	\$ -	\$ 0.50	\$ 55.00	0.91%
First/Last Mile and Complete Streets	sg	FY 2018-57	\$ 2.00	\$ 2.00	\$ 4.00	\$ 4.60	\$ 4.80	\$ 17.40	\$ 198.00	8.79%
Highway Demand Based Prog. (HOV Ext. & Connect.)	sg	FY 2018-57	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 231.00	0.00%
Goods Movement (Improvements & RR Xing Elim.)	sg	FY 2048-57						\$ -	\$ 33.00	0.00%
Highway Efficiency Program	sg	FY 2048-57	\$ 2.30	\$ 2.40	\$ 0.50			\$ 5.20	\$ 534.00	0.97%
ITS-Technology Program (Advanced Signal Tech.)	sg	FY 2048-57						\$ -	\$ 66.00	0.00%
San Gabriel Valley MY Subregion Total								\$ 37.80	\$ 1,348.00	2.80%
Gold Line Foothill Extension to Claremont	sg	FY 2019-25			?	?	?		\$ 1,019.00	
SR-71 Gap	sg	FY 2022-26							\$ 248.00	
SR-57/60	sg	FY 2025-31							\$ 205.00	
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Major Projects San Gabriel Valley Total									\$ 2,271.00	
Overall Total									\$ 3,619.00	

Table 2.

Proposed Measure M Multi-Year Subregional Program 5-Year (\$ in millions).

NEXT STEPS

Mark Christoffels will present this item at the November 16 Transportation Committee meeting. Based on direction from the Transportation Committee, this item will then be presented to the Public Works Technical Advisory Committee (TAC) on November 20 and to the Planning Directors TAC on November 30. This item is to be presented to both TACs for concurrence and initial project selection for each of the five-year program plans. After input from the TACs, the recommended project specific five-year plans will be brought back to the Transportation Committee for final review before being forwarded to the Governing Board for approval.

Prepared by: 
 Mark Christoffels
 Chief Executive Officer, ACE

Approved by: 
 Marisa Creter
 Interim Executive Director

DATE: November 20, 2017
TO: Public Works TAC
FROM: Marisa Creter, Interim Executive Director
RE: **CTC 2018 LOCAL PARTNERSHIP PROGRAM**

RECOMMENDED ACTION

For information and discussion only.

BACKGROUND:

On April 28, 2017, Governor Jerry Brown approved the Road Repair and Accountability Act of 2017, SB 1, and signed it into law. This piece of legislation created the Road Maintenance and Rehabilitation Program (RMRP), which provides significant new transportation funding via increased revenues for projects throughout the State of California.

One of the significant sub-programs of the Road Maintenance and Rehabilitation Program is the Local Partnership Program. SB 1 appropriates \$200,000,000 of the RMRP funds annually to the Local Partnership Program; these funds are to be allocated and allotted annually by the California Transportation Commission (CTC).

The objective of the Local Partnership Program is to reward agencies, such as counties, cities, districts, and regional transportation agencies, in which voters have approved fees, taxes, or tolls which are entirely dedicated to transportation improvement projects or that have enacted fees which are solely dedicated to transportation. The Local Partnership Program provides an opportunity for local agencies which have enacted imposed fees to have access to possible matching funds for specific transportation projects, and could be an important financial resource for any eligible agency.

The Local Partnership Program consists of two main grant programs, which are briefly summarized below:

1.) Formulaic Program

- Eligibility for the Formulaic Program is restricted only to jurisdictions and agencies which have instituted voter-approved taxes, toll, or fees which are dedicated solely to transportation.
- Voter Approval Information for qualifying voter-approved taxes was due to the CTC on *October 27, 2017* for the upcoming programming cycle.
- Projects Applications for this program are due on *December 15, 2017*.
- The programming cycle for the Formulaic Program will cover 2017-18 and 2018-19, and then will be programmed annually after the initial cycle is complete.

2.) **Competitive Program**

- Eligibility for the Competitive Program is not as stringent as that of the Formulaic Program; jurisdictions which only have imposed fees, but not voter-approved fees, taxes, or tolls, are eligible for Competitive Grant funding, if the imposed fees are dedicated solely to transportation.
 - Jurisdictions which have voter-approved taxes or fees are also eligible for the Competitive Program funds.
- Applications for the Competitive Program are due on *January 30, 2018*.
- The programming cycle for the Competitive Program will cover 2017-18 through 2019-20, and then will be programmed every two years after the initial cycle is complete.

During the initial programming cycle, program funds will be distributed equally between the two programs: 50% to the Formulaic Program and 50% to the Competitive Program. In addition, it is anticipated that 10% of the Competitive Program’s funding will be allocated for agencies which have imposed fees.

The California Transportation Commission has also set aside funding for a separate one-time incentive grant. The purpose of this grant is to incentivize and reward jurisdictions and agencies which pursue, seek, and receive voter approval of new or renewed sales tax measures, tolls, or fees.

Since the deadline to submit Voter Approval Information for the Formulaic Program has already passed, and a vast majority of San Gabriel Valley Cities do not have voter-approved taxes, fees, or tolls which are solely dedicated to transportation, the Competitive Program is the grant program which local agencies should focus on and apply for, if eligible.

There are some notable and key provisions, guidelines, and requirements for the program that Cities should be aware of when considering applying for and pursuing 2018 Local Partnership Program competitive grant funding:

1.) Matching Requirements:

- Projects which are funded through the Local Partnership Program will require at least a one-to-one match of private, local, state, or federal funds. The exception to this rule is for jurisdictions which have a voter-approved tax or fee which generates less than \$100,000 annually, in which case only a 50% match is required by the jurisdiction.
- In addition, matching funds must be spent concurrently and proportionally to the Local Partnership Program funds. Costs which are sustained before allocation of funds will not be counted towards the match.

2.) Funding Restrictions:

- Competitive Grant Program funds are not available to fund cost increases.

3.) One-Time Incentive Grant:

- The California Transportation Commission, in an effort to incentivize agencies and jurisdictions to pursue future sales tax and other revenue measures for transportation, is offering one-time incentive grants for cities which attempt to seek voter-approved sales tax measures, tolls, or fees. These revenue measures satisfy the requirements for this incentive grant if they are new or renewed revenue measures.
- The total amount of incentive grants awarded will not exceed \$20,000,000 per year.
- Incentive grant will be \$100,000 if the projected revenue of the new or renewed revenue measure is less than \$100,000
- Incentive grant will not exceed \$5,000,000 if a jurisdiction's new or renewed revenue measure generates more than \$100,000.

4.) Eligible Projects: The following project types are eligible for funding through the Local Partnership Program:

- a) Improvements to the state highway system.
- b) Improvements to transit facilities.
- c) The acquisition, retrofit, or rehabilitation of rolling stock, buses, or other transit equipment.
- d) Improvements to the local road system.
- e) Improvements to bicycle or pedestrian safety or mobility with an extended useful life.
- f) Improvements to mitigate the environmental impact of a new transportation infrastructure on a locality's or region's air quality or water quality.
- g) Road maintenance and rehabilitation.

5.) Competitive Program Evaluation Criteria:

- Projects that are most cost-effective
- Projects that can commence construction or implementation earlier.
- Projects that leverage more committed funds per program dollar.
- Projects that can demonstrate quantifiable air quality improvements.
- Projects which prioritize and quicken the implementation of the sustainable communities strategy.

6.) Project Selection Process:

- To ensure more equitable competition, the CTC will compare projects based on the population of jurisdictions. As a result, the CTC has designated five (5) population categories, along with the minimum monetary request for grant funding for each category:
 - Category I (population \geq 1,500,000): \$5,000,000
 - Category II (population 700,000 to 1,499,999): \$3,000,000
 - Category III: (population 300,000 to 699,999): \$2,000,000
 - Category IV: (population 100,000 to 299,999): \$1,000,000
 - Category V: (population $<$ 100,000): No minimum requirement
- All projects must be included in an adopted regional transportation plan.

7.) Application Process and Requirements:

- Applicants should submit two hard copies of the application package and one electronic copy.

- Caltrans is working on developing an online application for the Local Partnership Program, and will notify agencies when this application is live.
- Each grant application must include:
 - A cover letter, with the signature of the Chief Executive Officer.
 - An explanation of the project's proposed benefits.
 - Confirmation that any capacity-increasing project or major street or highway lane realignment was considered for reversible lanes pursuant to Streets and Highways Code Section 100.15.
 - Project Programming Request Form
 - Each project nomination for the *Competitive Grant Program* also must include:
 - i. A description and quantification of the benefits that the project will provide for disadvantaged communities.
 - ii. A description of community and regional support for the project.
 - iii. For uncommitted funds, the taxing authority must indicate its plan for securing a funding commitment.
 - iv. A description that demonstrates the taxing authority's ability to absorb any cost overruns.
 - v. A description of the project delivery plan.
 - vi. The project priority (if an agency is applying for funding for multiple projects)

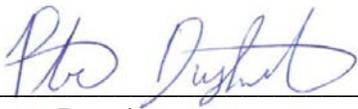
While many member agencies of the SGVCOG will not qualify for the Local Partnership Program as a singular entity, there is the potential for Cities to maybe obtain grant funding by working with the Los Angeles County Metropolitan Transportation Authority (Metro). Metro satisfies the eligibility requirements for both the Formulaic Program and the Competitive Program, since it levies and administers Measure M, the countywide sales tax measure for transportation that LA County voters approved in November 2016. SGVCOG staff has reached out to Metro to inquire whether Metro is allocating any Local Partnership Program grant funds that it might acquire to local municipal or unincorporated county projects. If there is any potential that Metro is looking to collaborate with Cities on transportation or transit improvement projects, then reaching out to Metro would certainly be a viable option for Cities. If staff receives any pertinent answers to this inquiry, then it will update members of the Public Works TAC accordingly.

The CTC point of contact for the Local Partnership Program is Jose Oseguera (Assistant Deputy Director). He can be reached at (916) 653-2094 or at jose.oseguera@dot.ca.gov.

Please refer to Attachment A for the complete Final Guidelines for the 2018 Local Partnership Program, including rules pertaining to Programming, Committed/Uncommitted Funds, Project Amendment Requests, Allocations, and Project Delivery.

RECOMMENDATION

Staff is presenting this item for information only.

Prepared by: 
Peter Duyshart
Project Assistant

Approved by: 
Marisa Creter
Interim Executive Director

ATTACHMENTS:

Attachment A – California Transportation Commission: 2018 Local Partnership Program:
Final Guidelines -- Page 22

2018 LOCAL PARTNERSHIP PROGRAM GUIDELINES

October 18, 2017

California Transportation Commission



**CALIFORNIA TRANSPORTATION COMMISSION
2018
LOCAL PARTNERSHIP PROGRAM GUIDELINES**

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Introduction

1. Background

The Road Repair and Accountability Act of 2017 (Senate Bill [SB] 1, Chapter 5, Statutes of 2017) created the Local Partnership Program and continuously appropriates two hundred million dollars (\$200,000,000) annually to be allocated by the California Transportation Commission (Commission) to local or regional transportation agencies that have sought and received voter approval of taxes or that have imposed fees, which taxes or fees are dedicated solely for transportation improvements. The Local Partnership Program was subsequently amended by Assembly Bill (AB) 115 (Chapter 20, Statutes of 2017) and AB 135 (Committee on Budget, Chapter 255, Statutes of 2017).

These guidelines, modeled after the Commission's Proposition 1B State-Local Partnership Guidelines for Fiscal Year 2010-11, describe the policy, standards, criteria, and procedures for the development, adoption and management of the 2018 Local Partnership Program. Pursuant to Streets and Highways Code Section 2033, these guidelines were developed in cooperation with the California Department of Transportation (Caltrans), transportation planning agencies, county transportation commissions, local agencies and other transportation stakeholders.

The Commission may amend these guidelines after first giving notice of the proposed amendments and conducting at least one public hearing. The Commission will make a reasonable effort to amend the guidelines prior to a call for projects or may extend the deadline for project submission in order to comply with the amended guidelines.

2. Program Objectives

The objective of the Local Partnership Program is to reward counties, cities, districts, and regional transportation agencies in which voters have approved fees or taxes solely dedicated to transportation improvements or that have enacted fees solely dedicated to transportation [based on Government Code Section 8879.66(b)(1)]. Consistent with the intent behind SB 1, the Commission intends this program to balance the need to direct increased revenue to the state's highest transportation needs while fairly distributing the economic impact of increased funding [SB 1 section 1(l)].

3. Program Schedule

The following schedule lists the major milestones for the development and adoption of the 2018 Local Partnership Program:

Draft Guidelines Presented to the Commission	August 16, 2017
Commission Adoption of Guidelines	October 18-19, 2017
Call for Project Applications	October 20, 2017

Formulaic Program:

Agencies Submit Voter Approval Information	October 27, 2017
Publish Proposed Distribution of Shares	November 13, 2017
Commission Adopts Formulaic Distribution of Shares	December 6-7, 2017
Projects Applications Due	December 15, 2017
Release Staff Recommendations	January 10, 2018
Commission Adopts Program	January 31, 2018

Competitive Program:

Applications Due (postmark date)	January 30, 2018
Release Staff Recommendations	April 25, 2018
Commission Adopts Program	May 16, 2018

Future cycles of the formulaic program will include adoption of formulaic shares each August and program adoption each December. Future competitive programs will be adopted biennially.

Funding

4. Source

The Local Partnership Program will receive two hundred million dollars (\$200,000,000) annually from the Road Maintenance and Rehabilitation Account.

5. Programming Cycle

For the Formulaic Program, the initial cycle will cover 2017-18 and 2018-19, and will be programmed annually after the first cycle is complete.

For the Competitive Program, the initial program cycle will cover 2017-18 through 2019-20. Future cycles will be programmed every two-years.

6. Distribution

In the initial programming cycle, 2017-18 through 2019-20, program funds will be distributed 50% via formula and 50% via a competitive program. The methodologies for distribution of funds will be revisited in the subsequent programming cycle.

Formulaic Program:

Jurisdictions with voter approved taxes, tolls, and fees will be eligible for a formulaic distribution of funds if the taxes, tolls, or fees are dedicated solely to transportation. The initial cycle of the formulaic program will cover 2017-18 and 2018-19, with annual programming cycles thereafter.

At the beginning of each programming cycle, the Commission will adopt the funding share for each eligible taxing authority, rounded to the nearest whole thousand dollars, as follows:

- A. The Commission will establish a northern California and southern California share by attributing the proportional share of revenues from voter-approved sales taxes, voter-approved parcel or property taxes, and voter-approved tolls dedicated to transportation improvements and imposed in counties in northern California to the northern share, and by attributing the proportional share of revenues from voter-approved sales taxes, voter-approved parcel or property taxes, and voter-approved tolls imposed in counties located in southern California to the southern share. The determination of whether a county is located in northern or southern California shall be based on the definitions set forth in Section 187 of the Streets and Highways Code.
- B. Program funds made available to the southern share will be distributed as follows:
 - Program funds generated by voter-approved tolls, voter-approved parcel or property taxes, and other voter approved taxes, excluding sales taxes, dedicated to transportation improvements shall be distributed to the taxing authority based on the proportional share of revenues generated by the toll or tax by that entity in comparison to the total revenues generated by voter-approved sales taxes, voter-approved parcel or property taxes, and voter-approved bridge tolls dedicated to transportation improvements in southern California.
 - Program funds generated by voter-approved sales taxes dedicated to transportation improvements shall be distributed to the taxing authority in proportion to the population of the county in which the entity is located compared to the total population of southern California counties with voter-approved sales taxes dedicated to transportation improvements.
- C. Program funds made available to the northern share will be distributed as follows:
 - Program funds generated by voter-approved tolls, voter-approved parcel or property taxes, and other voter approved taxes, excluding sales taxes, dedicated to transportation improvements shall be distributed to the taxing authority based on the proportional share of revenues generated by the toll or tax by that entity in comparison to the total revenues generated by voter-approved sales taxes, voter-approved parcel or property taxes, and voter-approved tolls dedicated to transportation improvements in northern California.
 - Program funds generated by voter-approved sales taxes dedicated to transportation improvements shall be distributed to the taxing authority proportion to the population of the county in which the entity is located compared to the total population of the northern California counties with voter-approved sales taxes dedicated to transportation improvements.

All jurisdictions eligible for a formulaic funding share will receive a minimum annual share of \$100,000. The Commission may adjust this minimum funding share in subsequent programming cycles.

In establishing funding shares, the Commission will use the most current data available as follows:

- For local sales tax revenues, the sum of gross revenues for the most recent four quarters as reported for each local tax by the Board of Equalization.

- For parcel and property tax revenues, the revenues for the most recent fiscal year, as reported to the State Controller pursuant to Government Code Section 53891.
- For toll and other revenues, the sum of revenues for the most recent fiscal year, as reported in the agency's most recent audited financial statements.
- For population, the annual population estimate for cities and counties issued by the Department of Finance in May prior to the beginning of each fiscal year.

To verify eligibility, an agency must submit the following information by October 27, 2017:

- Ballot information.
- A copy of the ordinance or resolution seeking voter approval of the tax, toll, or fee.
- Election results (Official Statement of Votes Cast).
- For tolls, fees, and taxes other than sales taxes, a copy of the relevant section of the jurisdiction's most recent audited financial statements indicating the revenue generated by the tax, toll, or fee, including posting location on the internet and information about how the revenues are reported to the state.

The Commission will determine a funding share for each eligible taxing authority with a voter-approved tax or toll that was approved prior to the adoption of the funding shares and will be collected during the fiscal year.

Where a city has a voter-approved local sales tax and is located within a county without a countywide sales tax, the Commission will adopt a funding share for the city based on the city's population and the city's sales tax revenue. Where a city has a voter-approved local sales tax and is located within a county with a voter-approved local sales tax, the Commission will adopt a single countywide funding share based on the population for the county and both the city and county's sales tax revenue.

Where there are multiple eligible taxing authorities with a voter-approved local sales tax within a county with a countywide sales tax, the Commission will adopt funding shares for each taxing authority based on the relative tax rates of each voter-approved sales tax.

If the program of projects adopted by the Commission does not program the full amount of a taxing authority's formulaic funding share, the balance will remain available for later program amendments supported by eligible project nominations. A balance not programmed in one programming cycle will carry over and be available in the following programming cycle. Funds that remain unprogrammed for two programming cycles will be redistributed (as described in this section) in the subsequent programming cycle.

Competitive Grant Program:

Jurisdictions with voter approved taxes, tolls, and fees, or with imposed fees, will be eligible for the competitive grant program if the taxes, tolls, or fees are dedicated solely to transportation. The initial programming cycle will cover 2017-18 through 2019-20. The Competitive Grant Program will revert to a two-year program after the first cycle is complete.

The Competitive Grant Program will be divided in two parts: one for jurisdictions with voter-approved taxes, tolls, or fees; and the second for jurisdictions with only imposed fees. The Competitive Grant Program will be divided into these two groups based on the relative tax, toll,

and fee revenue of the taxing authorities. **In no case will the portion for jurisdictions with only imposed fees be less than \$5,000,000.**

To verify eligibility, an agency that is not eligible for formulaic funds or that does not apply for formulaic funds must submit the following information with their project application:

- A copy of the ordinance or resolution seeking to impose the fee.
- A copy of the relevant section of the jurisdiction's most recent audited financial statements indicating the revenue generated by the imposed fee, including posting location on the internet and information about how the revenues are reported to the state.

7. Incentive for New and Renewed Sales Tax Measures, Tolls, or Fees

To recognize new or renewed voter approved self-help efforts and to incentivize jurisdictions to pursue future sales tax measures, tolls, or fees, a one-time incentive grant will be provided to jurisdictions that seek and receive voter approval of new or renewed sales tax measures, tolls, or fees, if those tax measures, tolls, or fees have a minimum period of ten-years, are solely dedicated to transportation, and for sales taxes are equal to or greater than one quarter cent.

The total amount of incentive grants awarded will not exceed \$20,000,000 annually. The incentive grant amount will be based upon the projected annual revenue of the voter approved tax initiative (based on the voter approved tax rate and the sum of gross revenues for the most recent four quarters as reported by the Board of Equalization). If the projected revenue is less than \$100,000, the incentive grant amount will be \$100,000. For jurisdictions that generate tax revenues above \$100,000, the incentive grant amount will not exceed \$5,000,000. Should the sum of the incentive amounts (based on the above) exceed \$20,000,000 in any year, each incentive amount will be reduced proportionally while still maintaining the \$100,000 minimum grant amount. If this occurs, in the following year, the Commission may elect to provide grants equal to the reductions if incentive grant funding is available (that is, if the incentive grants in that following year do not exceed \$20,000,000).

Amounts for the incentive grants will be included in the formulaic shares adopted in August of each year. Funding for the incentive grants will be deducted from the subsequent round of Competitive Grant Program funding.

8. Matching Requirements

Projects funded from the Local Partnership Program will require at least a one-to-one match of private, local, federal, or state funds except jurisdictions with a voter approved tax or fee which generates less than \$100,000 annually need only provide a match equal to 50% of the requested Local Partnership Program funds.

For the purpose of calculating the required match, the Commission will, except for State Transportation Improvement Program funding, only consider funds that are not allocated by the Commission on a project specific basis.

The matching funds must be expended concurrently and proportionally to the Local Partnership Program funds. Costs incurred prior to allocation will not be counted towards match.

The implementing agency must provide a project funding plan through construction that demonstrates the supplemental funding in the plan (local, federal, state, private sources) is reasonably expected to be available and sufficient to complete the project.

9. Funding Restrictions

Competitive Grant Program funds and funds in the initial cycle of the Formulaic Program shall not supplant other committed funds and are not available to fund cost increases except as noted below.

In the Formulaic Program, a project nomination may be for supplemental funding of a project that was allocated Formulaic Program funding in a prior year, provided that the supplemental Formulaic Program funding and the match for that supplemental funding will not be expended until after the allocation of the supplemental funding. The supplemental Formulaic Program funding may be to replace local funding already committed to the project, subject to the required one-to-one match.

These guidelines do not preclude the transfer of formulaic funding shares between agencies.

10. Reimbursement

The Local Partnership Program is a reimbursement program for eligible costs incurred. Costs incurred prior to Commission allocation and, for federally funded projects, Federal Highway Administration project approval (i.e. Authorization to Proceed) are not eligible for reimbursement.

Eligibility

11. Eligible Applicants

Eligible applicants are the taxing authorities that have sought and received voter approval of taxes, tolls, or fees, or that have imposed fees, including uniform developer fees as defined by subdivision (b) of Section 8879.67 of the Government Code, which taxes or fees are dedicated solely to transportation improvements. Taxing Authorities that have imposed fees and have not received voter approval of taxes, tolls, or fees are only eligible for the competitive grant program.

A nomination may identify an entity other than the applicant to be the project implementing agency. The implementing agency assumes responsibility and accountability for the use and expenditure of program funds.

Applicants and implementing agencies must comply with all relevant federal and state laws, regulations, policies, and procedures.

12. Eligible Projects

The Local Partnership Program eligible projects will be consistent with Government Code Section 8879.70 [A through F below] and Streets and Highways Code Section 2032(a) [G through I below]. Eligible projects shall include all of the following:

A. Improvements to the state highway system including, but not limited to, all of the following:

- Major rehabilitation of an existing segment that extends the useful life of the segment by at least 15 years;
 - New construction to increase capacity of a highway segment that improves mobility or reduces congestion on that segment; and
 - Safety or operational improvements on a highway segment that are intended to reduce accidents and fatalities or improve traffic flow on that segment.
- B. Improvements to transit facilities, including guideways, that expand transit services, increase transit ridership, improve transit safety, enhance access or convenience of the traveling public, or otherwise provide or facilitate a viable alternative to driving.
- C. The acquisition, retrofit, or rehabilitation of rolling stock, buses, or other transit equipment, including, but not limited to maintenance facilities, transit stations, transit guideways, passenger shelters, and fare collection equipment with a useful life of at least 10 years. The acquisition of vans, buses, and other equipment necessary for the provision of transit services for seniors and people with disabilities by transit and other local agencies is an eligible project under this paragraph.
- D. Improvements to the local road system, including, but not limited to, the following:
- Major roadway rehabilitation, resurfacing, or reconstruction that extends its useful life by at least 15 years;
 - New construction and facilities to increase capacity, improve mobility, or enhance safety; and
 - Safety or operational improvements that are intended to reduce accidents and fatalities or improve traffic flow on that segment.
- E. Improvements to bicycle or pedestrian safety or mobility with an extended useful life.
- F. Improvements to mitigate the environmental impact of new transportation infrastructure on a locality's or region's air quality or water quality, commonly known as "urban runoff," including management practices for capturing or treating urban runoff.
- G. For purposes of the Local Partnership Program, a separate phase or stage of construction for an eligible project may include mitigation of the project's environmental impacts, including, but not limited to, sound walls, landscaping, wetlands or habitat restoration or creation, replacement plantings, and drainage facilities.
- H. Sound walls for a freeway that was built prior to 1987 without sound walls and with or without high occupancy vehicle lanes if the completion of the sound walls has been deferred due to lack of available funding for at least 20 years and a noise barrier scope summary report has been completed within the last 20 years.
- I. Road maintenance and rehabilitation.
- J. Other transportation improvement projects.

13. Eligible Components

The Commission will only program the construction component of a project in the Competitive Grant Program, except for those projects expected to be delivered using the design-build method, where a portion of the funds may be in design.

For the Formulaic Program, funds may be used for any component of a project, however, projects must commence right-of-way acquisition or construction within 10 years of receiving pre-construction funding through the Local Partnership Program, or the implementing agency must repay the Local Partnership Program funds. Repaid funds will be made available for redistribution (see Section 5 above) in the subsequent programming cycle.

Project Selection Process

14. Screening Criteria

Nominations will receive an initial screening by the Commission for completeness and eligibility, before moving to the evaluation process. Incomplete or ineligible applications may not be evaluated. An agency submitting multiple project applications must clearly prioritize its projects. All projects must be included in an adopted regional transportation plan and, if applicable, consistent with an approved Sustainable Communities Strategy.

Formulaic Program

The Commission will include in the annual program of projects each project nominated by an eligible applicant for a formulaic funding share provided that the Commission finds that the nomination meets the requirements of statute and Commission guidelines, and that the project has a commitment of the required match.

15. Project Rating Process

Competitive Grant Program:

To ensure a more equitable competition, the Commission will compare projects based on the population of jurisdiction(s) across which the tax or fee is applied. In most cases, this will be a county or city. For voter-approved tolls, the population will be the sum of the population of the jurisdictions that voted on the toll. The following population categories will be used:

- Category I: $\geq 1,500,000$
- Category II: 700,000 to 1,499,999
- Category III: 300,000 to 699,999
- Category IV: 100,000 to 299,999
- Category V: $<100,000$

To maximize the effectiveness of program funds, the minimum request for Competitive Grant Program funds that will be considered is indicated below based on the aforementioned population totals:

- Category I (population $\geq 1,500,000$): \$5,000,000
- Category II (population 700,000 to 1,499,999): \$3,000,000
- Category III (population 300,000 to 699,999): \$2,000,000
- Category IV (population 100,000 to 299,999): \$1,000,000
- Category V (population $<100,000$): No minimum requirement.

An agency applying for multiple competitive grants must prioritize its applications. The Commission may elect to only evaluate the highest priority application(s) submitted by each agency.

In approving grants for inclusion in the program of projects, the Commission will give consideration to geographic balance over multiple programming cycles.

16. Competitive Program Evaluation Criteria

The Commission will give higher priority to the following:

- Projects that are more cost-effective.
- Projects that can commence construction or implementation earlier.
- Projects that leverage more committed funds per program dollar.
- Projects that can demonstrate quantifiable air quality improvements, including a significant reduction in vehicle-miles traveled.
- Projects that can demonstrate regional and community project support.
- Within a Metropolitan Planning Organization, projects that further the implementation of the sustainable communities strategy.

17. Project Nominations

Project nominations and supporting documentation must be submitted to the Commission by the deadlines in Section 3. Nominations will be treated in accordance with California Public Records Act requirements and information, subject to those requirements, may be publicly disclosed.

The Commission will post basic project application information on its website prior to adopting the final program of projects. After projects are selected for programming, the Commission will post the status of all project applications to its website.

Applicants should submit two hard copies of the application package and one electronic copy. All application materials should be bound, addressed, and delivered to:

Susan Bransen, Executive Director
California Transportation Commission
1120 N Street, MS-52
P.O. Box 942873
Sacramento, CA 95814

Caltrans is working to develop an online application for this program. This online application may not be completed in time for use in the initial application cycle. The Commission will notify potential applicants through its website and through the RTPA Group when the online application is available.

Each project application should be limited to 25 pages (excluding the Project Programming Request form) and must include:

- A. A cover letter, with signature of the Chief Executive Officer or other officer authorized by the taxing authority's governing board, authorizing and approving the application. Where

the project is to be implemented by an agency other than the taxing authority, documentation of the agreement between the taxing authority and the implementing agency must be submitted with the application and include the signature of the Chief Executive Officer or other authorized officer of the implementing agency.

- B. A confirmation that any capacity-increasing project or a major street or highway lane realignment project was considered for reversible lanes pursuant to Streets and Highways Code Section 100.15.
- C. An explanation of the project and its proposed benefits, including the following:
 - i. Project title, which should be a brief non-technical description of the project type, scope, and location, and a map (or maps) of the project location denoting the project site.
 - ii. The amount of Local Partnership Program funds requested.
 - iii. The amount and source of matching funds. Each nomination must list each federal, state, local, and private funding source by project component and fiscal year.
 - iv. Project background and a purpose and need statement.
 - v. A concise description of the project scope and anticipated benefits (outcomes and outputs) proposed for funding.
 - vi. A description of the project's current status, including the current phase of delivery, and the schedule for the completion of the project.
 - vii. A project cost estimate which includes the amount and source of all funds committed to the project and the basis for concluding that the funding is expected to be available. If uncommitted funding is identified, the requirements as outlined in Section 16 must be included. Cost estimates should be escalated to the year of proposed implementation and be approved by the Chief Executive Officer or other authorized officer of the implementing agency.
 - viii. Each taxing authority should provide documentation that the expected benefits of the proposed project justify its costs, recognizing that some costs and benefits can be difficult to quantify. Each application should include analysis utilizing the appropriate module or modules of Caltrans' Life-Cycle Benefit-Cost Analysis Model 6.0. This model can be found at: http://www.dot.ca.gov/hq/tpp/offices/eab/LCBC_Analysis_Model.html. If another model is more applicable the application should describe why and also provide the analysis based on the alternate model.
 - ix. A description of how the project is consistent with transportation, land use and housing planning goals within the region. For projects within a region with a currently adopted California Air Resources Board approved Sustainable Communities Strategy (SCS), the eligible taxing authority will discuss how their project is consistent with the SCS. This will include a quantitative and/or qualitative assessment of how the project will facilitate implementation of the SCS and support achieving the region's greenhouse gas emission reduction targets.
 - x. A description of the greenhouse gas impacts and the community impacts of the project and how those impacts are mitigated to a less than significant level. This should include a quantification of the effects of the project on diesel

particulate (PM 10 and PM 2.5), nitrogen oxides, greenhouse gases and other pollutant emissions using the Caltrans' Life-Cycle Benefit-Cost Analysis Model 6.0. (Cal B/C), the SB 1 Intermodal Tool, or the SB 1 Other Projects Tool. Report emissions saved in both tons and dollars. The SB 1 Intermodal Tool and the SB 1 Other Projects Tool are currently under development. These tools will be provided by December 15th by Caltrans at:
http://www.dot.ca.gov/hq/tpp/offices/eab/LCBC_Analysis_Model.html.

D. Each application must include a Project Programming Request Form. Each Project Programming Request Form must list federal, state, local, and private funding categories by project component and fiscal year. An excel template of this form may be found at <http://www.dot.ca.gov/hq/transprog/ocip.htm>. Caltrans is working to develop a web-based Project Programming Request Form and expects to make this available by November 1, 2017. The Commission will notify potential applicants through its website and through the RTPA Group when the web-based form is available.

E. Each project nomination for the Competitive Grant Program shall also include:

- i. A description and quantification of the benefits the project will provide for disadvantaged communities and low-income area(s). Include a map to identify whether or not the project is located in a disadvantaged community or low-income community using the Disadvantage and Low-income Community Maps found at:
<https://www.arb.ca.gov/cc/capandtrade/auctionproceeds/communityinvestments.htm>.
An applicant may also use a region specific definition of a disadvantaged community.
- ii. A description of the community and regional support for the project.
- iii. For uncommitted funds, the taxing authority must indicate its plan for securing a funding commitment; explain the risk of not securing that commitment, and its plan for securing an alternate source of funding should the commitment not be obtained. If a project with uncommitted funds is programmed, all funding commitments must be secured prior to July 1 of the year in which the project is programmed or it will be removed from the program.
- iv. A description that demonstrates the taxing authority's ability to absorb any cost overruns and deliver the proposed project with no additional funding from the Competitive Grant Program.
- v. A description of the project delivery plan, including a description of the known risks that could impact the successful implementation of the project and the response plan of the known risks. The risks considered should include, but not be limited to, risks associated with deliverability and engineering issues, community involvement, and funding commitments.
- vi. The project priority (if agency is submitting multiple applications).

Programming

The program of projects for each fiscal year will include, for each project, the amount to be funded from the Local Partnership Program, and the estimated total cost of the project. Project costs in the Local Partnership Program will include costs for each of the following components: (1) permits and environmental studies; (2) plans, specifications, and estimates; (3) right-of-way; and (4)

construction. The cost of each project component will be listed in the program no earlier than in the fiscal year in which the particular project component can be implemented. For Caltrans implemented projects, the cost of right-of-way support and construction support will be separated out and programmed separately from the right-of-way capital and construction capital cost.

Formulaic Program

The Commission's program of projects shall not include projects that exceed a taxing authority's formula funding share.

18. Committed/Uncommitted Funds

The Commission will program and allocate funding to projects in whole thousands of dollars and will include a project only if it is fully funded from a combination of Local Partnership Program funds and other committed funds and, for the Competitive Grant Program, uncommitted funds as described below. In the Formulaic Program, the Commission will program and allocate funding to a project only if it is fully funded from a combination of Local Partnership Program and other committed funding.

Uncommitted funds may only be from the following competitive programs: Active Transportation Program, Solutions for Congested Corridors Program, Trade Corridor Enhancement Program, or the Transit and Intercity Rail Capital Program. The taxing authority must indicate its plan for securing a funding commitment, explain the risk of not securing that commitment, and its plan for securing an alternate source of funding should the commitment not be obtained. If a project with uncommitted funds is programmed, all funding commitments must be secured prior to July 1 of the year in which the project is programmed or the project will be removed from the program. Projects programmed by the Commission in the Local Partnership Program will not be given priority in other programs under the Commission's purview.

The Commission will regard funds as committed when they are programmed by the Commission or when the agency with discretionary authority over the funds has made its commitment to the project by ordinance or resolution. For federal formula funds, including Regional Surface Transportation, Congestion Mitigation and Air Quality, and federal formula transit funds, the commitment may be by federal Transportation Improvement Program adoption. For federal discretionary funds, the commitment may be by federal approval of a full funding grant agreement or by grant approval.

Project Amendments

19. Amendment Requests

Competitive Grant Program:

Project amendments will be considered for the Competitive Grant Program as follows:

- Scope Changes – The Commission will not consider changes to the scope of the project unless the change is minor and has no impact to the project benefits or the scope change increases the benefits of the project.
- Cost Changes – The Competitive Grant Program will not participate in any cost increases to the project. Any cost increases should be funded from other fund sources. If there is a change in the cost estimate, the Commission should be notified in writing as soon as

possible. The written notification should explain the change and the plan to cover the increase.

- **Schedule Changes** – Schedule changes to a project will not be considered unless a time extension was approved as specified in Section 19. For projects programmed in the last year of the Local Partnership Program, the implementing agency may request to reprogram the project only once with justification.

Project amendments requested by implementing agencies shall receive the approval of all partner and funding entities before presentation to the Commission. Amendment requests should be submitted in a timely manner and include documentation that supports the requested change and its impact on the scope, cost, schedule and benefits.

Caltrans shall coordinate all amendment requests and utilize the Project Programming Request to help document the change. Implementing agencies must notify Caltrans in writing of proposed project amendments. This notification must include an explanation of the proposed change, the reason for the proposed change, the impact the proposed change would have to the project, and an estimate of the impact the proposed change would have on the potential of the project to deliver the project benefits as compared to the benefits identified in the project application (increase or decrease in benefits) and an explanation of the methodology used to develop the aforementioned estimate. A revised Project Programming Request Form must be included in the notification.

Caltrans will review the proposed amendment change and forward the proposed amendment change with Caltrans' written analysis and recommendation to the Commission for the Commission's approval.

Commission staff will present recommended changes deemed by staff to be minor changes, such as those with little or no impact to project benefits or which increase the benefits of the project, to the Commission as a part of the project allocation request. Staff will present all other amendment changes to the Commission as project amendments.

Formulaic Program:

In the initial programming cycle, the Formulaic Program may not be used to fund cost increases of ongoing projects.

Allocations

20. Allocation Requests

When an agency is ready to implement a project or project component, the agency will submit an allocation request to Caltrans. The typical time required from receipt of the request to Commission allocation is 60 days.

Caltrans will review the request and determine whether or not to recommend the request to the Commission for action. The Commission will consider the allocation of funds for a project when it receives an allocation with a recommendation from Caltrans. The recommendation will include a determination of project readiness, the availability of appropriated funding, and the availability of all identified and committed supplementary funding. When Caltrans develops its construction allocation recommendation, the Commission expects Caltrans to certify that a project's plans, specifications and estimate are complete, environmental and right-of-way clearances are

secured, and all necessary permits and agreements (including railroad construction and maintenance) are executed.

In compliance with Section 21150 of the Public Resources Code, the Commission will not allocate funds for design, right-of-way, or construction prior to documentation of environmental clearance under the California Environmental Quality Act. As a matter of policy, the Commission will not allocate funds for design, right-of-way, or construction of a federally funded project prior to documentation of environmental clearance under the National Environmental Policy Act (NEPA). Exceptions to this policy may be made in instances where federal law allows for the acquisition of right-of-way prior to completion of NEPA review.

The Commission will approve the allocation if the funds are available and the allocation is necessary to implement the project as included in the adopted Local Partnership Program. If there are insufficient program funds to approve an allocation, the Commission may delay the allocation of funds to a project.

Allocations must be requested in the fiscal year of project programming. Agencies should not request Commission allocations unless prepared to award contracts related to the allocation within six months. Whenever programmed funds are not allocated within the fiscal year programmed or within the time allowed by an approved allocation extension, the project will be deleted from the Local Partnership Program and the funds will be made available for redistribution (see Section 5 above) in the subsequent programming cycle.

Where the project is to be implemented by an agency other than the taxing authority, the allocation request must include a copy of the Memorandum of Understanding or Interagency Agreement between the taxing authority and implementing agency.

When Caltrans is the implementing agency, right-of-way support and construction support costs must be allocated separately from right-of-way capital and construction capital costs.

Project Delivery

21. Letter of No Prejudice

The Commission will consider approval of a Letter of No Prejudice (LONP) to advance a project programmed in the Local Partnership Program. Approval of the LONP will allow the agency to begin work and incur eligible expenses prior to allocation. The Amended LONP Guidelines were adopted in October 2017 and are on the Commission's website.

22. Timely Use of Funds

Local Partnership Program allocations must be requested in the fiscal year of project programming. Construction allocations are valid for award for six months from the date of allocation unless the Commission approves an extension. Any funds for which a contract has not been awarded within six months or prior to the expiration of an extension to the period of allocation, will be deallocated and be made available for redistribution (see Section 5 above) in the subsequent programming cycle.

The Commission may extend a deadline only once for allocation only if it finds that an unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the extension. The extension will not exceed twelve months.

Funds allocated for project development or right-of-way costs must be expended by the end of the second fiscal year following the fiscal year in which the funds were allocated. The implementing agency must invoice Caltrans for these costs no later than 180 days after the fiscal year in which the final expenditure occurred.

The Commission may extend a deadline only once for contract award and only if it finds that an unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the extension. The extension will not exceed twelve months.

After award of the contract, the implementing agency has up to 36 months to complete (accept) the contract. At the time of fund allocation, the Commission may extend the deadline for completion of work and the liquidation of funds if necessary to accommodate the proposed expenditure plan for the project.

The Commission may extend the deadlines for expenditures for project development or right-of-way, or for contract completion no more than one time, only if it finds that an unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the extension. The extension will not exceed the period of delay directly attributed to the extraordinary circumstance and cannot exceed more than 20 months for project completion and 12 months for expenditure.

Except for the allocation of funds, the request to extend the deadline for any of the above must be received by Caltrans prior to the expiration date. For allocation of funds, the time extension must be approved by the Commission by June 30th of the year the funds are programmed; otherwise the funds will lapse as specified in this section.

Where a project component will not be ready for allocation as programmed in the current fiscal year, the implementing agency should request an extension of the allocation deadline rather than a project amendment.

For the Formulaic Program, funds may be used for any component of a project, however, projects must commence right-of-way acquisition or construction within 10 years of receiving pre-construction funding through the Local Partnership Program, or the implementing agency must repay the Local Partnership Program funds. Repaid funds will be made available for redistribution (see Section 5 above) in the subsequent programming cycle.

23. Delivery Deadline Extensions

The Commission may extend a delivery deadline, as described in Section 19, upon the request of the implementing agency. No deadline may be extended more than once. However, there are separate deadlines for allocations, contract award, expenditures, and project completion. Each project component has its own deadlines. The Commission may consider the extension for each of the deadlines separately.

All requests for project delivery deadline extensions shall be submitted directly to Caltrans for processing. The extension request should describe the specific circumstance that justifies the

extension and identify the delay directly attributable to the circumstance. Caltrans will review and prepare a written analysis of the proposed extension requests and forward the written analysis and recommendation to the Commission for action.

24. Project Inactivity

Once funds for a project are encumbered, project applicants are expected to invoice on a regular basis (for federal funds, see 23 CFR 630.106 and the Caltrans' Inactive Obligation Policy). Failure to do so will result in the project being deemed "inactive" and subject to de-obligation and deallocation if proper justification is not provided.

25. Project Cost Savings

Project cost savings generated by a project in the Formulaic Program will be returned to that regional programming target.

Savings at contract award may be used to expand the scope of the project only if the expanded scope provides additional quantifiable benefits. The expanded scope must be approved by the Commission's Executive Director prior to contract award. All other contract award savings will be returned proportionally.

Savings at project completion must be returned proportionally except when an agency has, subsequent to project programming, committed additional funds to the project to fund a cost increase. In such instances, savings at project completion may be returned to other fund types first, until the proportions match those at programming. Any additional savings at project completion must be returned proportionally.

26. Project Reporting

SB 1 places responsibility on the Commission to track the performance and report to the public how well funding recipients are delivering projects receiving Local Partnership Program funds. Additional reporting requirements will be outlined in the Commission's upcoming Accountability and Transparency Guidelines.

Caltrans, in cooperation with the implementing agencies, will report to the Commission on a semi-annual basis. The reports will include information on the activities and progress made toward implementation of the project, including those project activities taking place prior to an allocation and the commitment status of supplemental funding identified at the time of programming. The reports will at a minimum include:

- A summary describing the overall progress of the project since the initial programming action.
- Expenditures to date for all project phase costs, segregated by fund.
- A summary of milestones achieved during the prior year and milestones expected to be reached in the coming year.
- Identify any changes to the scope, cost, schedule, and benefits of the project.

Within one year of the project becoming operable, a final delivery report must be submitted. The implementing agency must provide the following information to Caltrans for inclusion in the final delivery report to the Commission:

- The scope of the completed project as compared to the programmed project.
- Before and after photos documenting the project.
- The final costs, by component and fund type, as compared to the approved project budget at allocation and baseline agreement if applicable.
- Project duration as compared to the project schedule in the project application.
- Performance deliverables (outputs and outcomes) derived from the project as compared to those described when the decision was made to fund the project. This should include an explanation of the methodology used to quantify and qualify the benefits.
- For the purpose of this section, a project becomes operable when the construction contract is accepted or acquired equipment is received.

The purpose of the reports is to ensure that the project achieves the objectives of the program, is executed in a timely fashion, is within the scope and budget identified when the decision was made to fund the project and is on track to deliver the expected benefits.

27. Project Tracking Database

Caltrans is responsible for developing, upgrading and maintaining an electronic database record of the adopted Local Partnership Program and Commission actions. The database will include project specific information, including project description, location, cost, scope, schedule, expected benefits, and progress of the project and a map. The project information from the database will be accessible through Caltrans' website.

28. Project Auditing

Caltrans must audit, in accordance with Generally Accepted Government Auditing Standards, a representative sample of the Local Partnership Program projects. The scope of these audits will be performed to determine whether:

- Project costs incurred and reimbursed are in compliance with the Commission's Local Partnership Program Guidelines, the Commission's Accountability Guidelines, contract provisions, and state and federal laws and regulations.
- Project deliverables (outputs) and outcomes are consistent with the project scope, schedule, and benefits described in the project nomination used to program the project.

A report on the projects audited, their findings and status of any corrective action must be submitted to the Commission by October 1 of each year.

29. Workforce Development Requirements and Project Signage

Pursuant to Streets and Highways Code Section 2038, by July 1, 2023, agencies receiving Road Maintenance and Rehabilitation Account funds will need to describe how projects will address participation and investment in new or existing pre-apprenticeship training programs that focus on outreach to women, minority participants, underrepresented subgroups, formerly incarcerated

individuals, and local residents to access employment opportunities. Therefore, this information should be included in the semi-annual reports submitted to Caltrans.

Additionally, the implementing agency must, for all projects, include signage stating that the project was made possible by SB 1 – The Road Repair and Accountability Act of 2017. The signage should be in compliance with applicable federal or state law, and Caltrans' manual and guidelines, including but not limited to the provisions of the California Manual on Uniform Traffic Control Devices.

REPORT

DATE: November 20, 2017
TO: Public Works TAC
FROM: Marisa Creter, Interim Executive Director
RE: **2019 ACTIVE TRANSPORTATION PROGRAM – CYCLE 4**

RECOMMENDED ACTION

For information only.

BACKGROUND:

Please refer to Attachment A for a PowerPoint Presentation which includes information about the 2019 Active Transportation Program. More specifically, this presentation contains information about this program's goals, application, selection, and delivery schedule, funding distribution, matching requirements, project types, and examples of eligible projects.

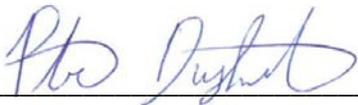
Please refer to Attachment B for the complete Discussion Draft Guidelines for the 2019 ATP – Cycle 4.

Please refer to Attachment C for the timeline and requirements for Metro's ATP Grant Assistance Opportunity.

Please refer to Attachment D for a complete list of required information for participation in Metro's ATP Grant Assistance Opportunity.

RECOMMENDATION

Staff is presenting this item for information only.

Prepared by: 
Peter Duyshart
Project Assistant

Approved by: 
Marisa Creter
Interim Executive Director

ATTACHMENTS:

Attachment A – PowerPoint Presentation which includes an overview of the current Draft Guidelines for the 2019 ATP -- Page 45

Attachment B – Full CTC Discussion Draft of the 2019 ATP Guidelines -- Page 52

Attachment C – Memo: LA Metro Active Transportation Program Grant Assistance Opportunity --Page 82

Attachment D – Metro ATP Grant Assistance Information Requirements -- Page 84



2019 ACTIVE TRANSPORTATION PLAN (ATP) CYCLE 4

Applications due June 8, 2018



Program Background

- Active Transportation Program (ATP) was created by SB 99 and AB 101 in 2013
- SB 1 also specifies that \$100,000,000 of revenues from the Road Maintenance and Rehabilitation Account will be made available annually to the ATP.
- Grant objective: The purpose of these pieces of legislation was to promote and encourage increased use of active modes of transportation.
- The guidelines for the 4th Cycle are currently being developed by the CTC, with input from government agencies and active transportation stakeholders.

Program Overview and Goals



- Increase the proportion of trips accomplished by biking and walking.
- Increase the safety and mobility of non-motorized users.
- Advance active transportation efforts of regional agencies to achieve statewide greenhouse gas reduction goals.
- Ensure that disadvantaged communities can fully share in the benefits of the ATP.
- Enable a plethora of beneficial active transportation projects to be constructed.
- Enhance public health through programs and projects eligible for programs such as the Safe Routes to School Program.

Program Schedule



- **2019-20, 2020-21, 2021-22, and 2022-23:** The programming period for the 2019 ATP will be for these State fiscal years.
- **January 31, 2018:** Final Guidelines for the 4th program of projects must be adopted by this date. The draft guidelines are still being edited at this time.
- **March 21-22, 2018:** CTC is due to adopt the Final ATP Guidelines.
- **March 26, 2018:** Call for Projects / Opening of the 2019 ATP Application.
- **June 8, 2018:** Project applications are due to Caltrans.

Program Schedule



- Each Active Transportation Program programming cycle will include four (4) years of funding.
- First two years of funding will consist of \$100 million annually from the Road Maintenance and Rehabilitation Account (RMRA).
- Second two years of funding will consist of about \$123 million annually from other ATP funds.

Program Funding Distribution



- 40% to Metropolitan Planning Organizations (MPO) in urban areas with populations greater than 200,000.
- 10% to small urban and rural areas with populations of 200,000 or less.
- 50% to projects competitively award by the Commission on a statewide basis.
- **25% of the funds dedicated to each project-type or region-type must benefit disadvantaged communities (DACs).**
- \$4 million per year from the RMRA to the California Conservation Corps (CCC) for community conservation corps projects.
- The minimum request for ATP funds must be at least \$250,000.

Program Matching Requirements



- Matching funds are not required.
- However, the CTC encourages the leveraging of additional funds for a project.
- The applicant must provide a project funding plan through construction that proves that supplemental funding in the plan is expected to be available and satisfactory.
- **Projects that are considered to be large or medium infrastructure must be federal-aid eligible.**

Program Project Types



LARGE	MEDIUM	SMALL
Infrastructure only	Infrastructure only	Infrastructure only
Infrastructure/Non-infrastructure	Infrastructure/Non-infrastructure	Infrastructure/Non-infrastructure
Total project cost > \$5 million (subject to change)	Total project cost between \$1.5 million and \$5 million (subject to change)	Non-infrastructure only
		Plan
		Total project cost < \$1.5 million (subject to change)

Eligible Applicants



- Local, Regional, or State agencies (includes Cities and Counties)
- Caltrans
- Transit Agencies
- Natural Resources or Public Land Agencies
- Public schools or school districts
- Tribal governments

- There are also opportunities for applicants to apply for grant funding and then partner with an implementing agency.

Examples of Eligible Projects



- Development of new bikeways and walkways that improve mobility.
- Improvements to existing bikeways and walkways.
- Installation of traffic control devices to improve the safety of pedestrians and bicyclists.
- *Safe Routes to School* projects.
- Safe routes to transit projects.
- Secure bicycle parking for the benefit of the public.
- Establishment or expansion of a bike share program.
- Development of a community-wide bike, pedestrian, safe routes to schools, or active transportation plan in a disadvantaged community.
- Education programs to increase bicycling and walking.
- Bicycle-carrying facilities on public transit.
- Recreational trails and trailheads, including trail linkage projects.

Project Screening and Scoring Criteria



Project Applications will be screened for the following:

- Consistency with an adopted regional transportation plan.
- Supplanting funds.
- Eligibility of projects (Infrastructure, Plans, Non-infrastructure)

Scoring Criteria:

- **Still to be determined and finalized.**

2019 ATP Cycle 4 Workshop



- Discussion Draft Guidelines Review
- Stakeholder Input
 - *Disadvantaged Communities (DACs) funding requirements.*
 - *Definitions of Disadvantaged Communities.*
 - *Concerns regarding the “timely use of funds” requirement.*
 - *Debate over whether a set aside is necessary for “Large Network Projects.”*
 - *Debates regarding project scoring*
 - Connectivity, Prior ATP funding awards

Learn More



- Next local 2019 ATP Workshop (tentative): **December 7, 2017 – San Bernardino.**
- California Transportation Commission staff contact for ATP: **Laurie Waters, Associate Deputy Director.**
 - (916) 651-6145
 - laurie.waters@catc.ca.gov

2019
ACTIVE TRANSPORTATION PROGRAM
GUIDELINES
Discussion Draft

October~~May~~, 2017



**CALIFORNIA TRANSPORTATION COMMISSION
2019 ATP GUIDELINES
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Introduction

1. Background

The Active Transportation Program (ATP) was created by Senate Bill 99 (Chapter 359, Statutes of 2013) and Assembly Bill 101 (Chapter 354, Statutes of 2013) to encourage increased use of active modes of transportation, such as biking and walking.

[Senate Bill 1 \(Chapter 2031\) stipulates that \\$100,000,000 of revenues from the Road Maintenance and Rehabilitation Account will be available annually to the ATP.](#)

These guidelines describe the policy, standards, criteria, and procedures for the development, adoption and management of the ATP. The guidelines were developed in consultation with the Workgroup. The workgroup includes representatives from Caltrans, other government agencies, and active transportation stakeholder organizations with expertise in pedestrian and bicycle issues, including Safe Routes to School programs.

The Commission may amend the ATP guidelines after conducting at least one public hearing. The Commission must make a reasonable effort to amend the guidelines prior to a call for projects or may extend the deadline for project submission in order to comply with the amended guidelines.

2. Program Goals

Pursuant to statute, the goals of the Active Transportation Program are to:

- Increase the proportion of trips accomplished by biking and walking.
- Increase the safety and mobility of non-motorized users.
- Advance the active transportation efforts of regional agencies to achieve greenhouse gas reduction goals as established pursuant to Senate Bill 375 (Chapter 728, Statutes of 2008) and Senate Bill 391 (Chapter 585, Statutes of 2009).
- Enhance public health, including reduction of childhood obesity through the use of programs including, but not limited to, projects eligible for Safe Routes to School Program funding.
- Ensure that disadvantaged communities fully share in the benefits of the program.
- Provide a broad spectrum of projects to benefit many types of active transportation users.

3. Program Schedule and Funding Years

The guidelines for the ~~third~~fourth program of projects must be adopted by ~~March 17~~January, 2018~~6~~.

New programming capacity for the 20197 ATP will be for state fiscal years 2019-201~~9~~-202~~0~~1~~-~~2021-2022-23.

Each programs must be adopted not later than April 1 of each odd-numbered year; however, the Commission may alternatively elect to adopt a program annually.

The following schedule lists the major milestones for the development and adoption of the 2019~~17~~ ATP:

Draft ATP Guidelines and Application presented to Commission	January 31 ^{20-21,} 2018 ^{6*}
Commission hearing and adoption of ATP Guidelines	March 21-22 ^{17,} 2018 ^{6*}
Commission adopts ATP Fund Estimate	March 21-22, 2018*
Call for projects	March 26 ^{April 15,} 2018 ⁶
Commission adopts ATP Fund Estimate	May 18, 2016*
Large MPOs submit optional guidelines to Commission	April 9 ^{June 1,} 2018 6
Project applications to Caltrans (postmark date)	May 30, June 15, 2018 ⁹ 6
Commission approves or rejects MPO guidelines	May 16-17 June 29- 30, 2018 6*
Staff recommendation for statewide and small urban and rural portions of the program	October 30 ^{28,} 2018 6
Commission adopts statewide and small urban and rural portions of the program	December 5-6 ^{7-8,} 2018 ^{8*}
Projects not programmed distributed to large MPOs based on location	December 5-6 ^{7-8,} 2018 ⁶
Deadline for MPO project programming recommendations to the Commission	January 27 ^{8,} 2017 ²⁰¹⁹
Commission adopts MPO selected projects	March 2017 ²⁰¹⁹

*Dates coincide with the Commission’s adopted 2018~~6~~ CTC meeting calendar.

Funding

4. Source

The Active Transportation Program is funded from various federal and state funds appropriated in the annual Budget Act. These are:

- 100% of the federal Transportation Alternative Program funds, except for federal Recreation Trail Program funds appropriated to the Department of Parks and Recreation.
- \$21 million of federal Highway Safety Improvement Program funds or other federal funds.
- State Highway Account funds.
- [Road Maintenance and Rehabilitation Account](#)

In addition to furthering the goals of this program, all Active Transportation Program projects must meet eligibility requirements specific to at least one Active Transportation Program funding source.

5. Programming Cycle

Each Active Transportation Program programming cycle will include four years of funding. The first two years of funding in each cycle will consist of the \$96 million per year from the Road Maintenance and Rehabilitation Account (RMRA). The latter two years of funding in each cycle will consist of the approximately \$123 million per year of other Active Transportation Program funds (SHA, STBG, and other federal funds).

The 2019 Active Transportation Program will cover fiscal years 2019-20 through 2022-23. It is the intent of the Commission to adopt a multi-year program of projects covering state fiscal years 2019-20 through 2022-23.

5.6. Distribution

State and federal law segregate the Active Transportation Program into multiple, overlapping components. The Active Transportation Program Fund Estimate must indicate the funds available for each of the program components. Consistent with these requirements, the Active Transportation Program funds must be distributed as follows:

- Forty percent to Metropolitan Planning Organizations (MPO) in urban areas with populations greater than 200,000.

These funds must be distributed based on total MPO population. The funds programmed and allocated under this paragraph must be selected through a competitive process by the MPOs in accordance with these guidelines.

Projects selected by MPOs may be in large urban, small urban, or rural areas.

A minimum of 25% of the funds distributed to each MPO must benefit disadvantaged communities.

The following statutory requirements apply specifically to the Southern California Association of Governments (SCAG)

- SCAG must consult with county transportation commissions, the Commission, and Caltrans in the development of competitive project selection criteria.
- The criteria used by SCAG should include consideration of geographic equity, consistent with program objectives.
- SCAG must place priority on projects that are consistent with plans adopted by local and regional governments within the county where the project is located.
- SCAG must obtain concurrence from the county transportation commissions.
- Ten percent to small urban and rural areas with populations of 200,000 or less, with projects competitively awarded by the Commission to projects in those regions. Federal law segregates the Transportation Alternative Program into separate small urban and rural competitions based upon their relative share of the state population. Small Urban areas are those with populations of 5,001 to 200,000. Rural areas are those with populations of 5,000 or less.

A minimum of 25% of the funds in the Small Urban and Rural programs must benefit disadvantaged communities.

Projects within the boundaries of an MPO with an urban area with a population of greater than 200,000 are not eligible for funding in the Small Urban or Rural programs.

- Fifty percent to projects competitively awarded by the Commission on a statewide basis.

A minimum of 25% of the funds in the statewide competitive program must benefit disadvantaged communities.

- \$4 million per year from the Road Maintenance and Rehabilitation Account to the California Conservation Corps for active transportation projects to be developed and implemented by the California Conservation Corps and certified community conservation corps. Not less than 50 percent of these funds shall be in the form of grants to certified local community conservation corps, as defined in Section 14507.5 of the Public Resources Code.

6.7. Matching Requirements

Although the Commission encourages the leveraging of additional funds for a project, matching funds are not required. ~~If an agency chooses to provide match funds, those funds cannot be expended prior to the Commission allocation of Active Transportation Program funds in the same project phase (permits and environmental studies; plans, specifications, and estimates; right-of-way; and construction).~~ Matching funds must be expended concurrently and proportionally to the Active Transportation Program funds. Costs incurred prior to allocation will not be counted towards match. The Matching funds may be adjusted before or shortly after contract award to reflect any substantive change in the bid compared to the estimated cost of the project.

The applicant must provide a project funding plan through construction that demonstrates the supplemental funding in the plan (local, federal, state, private sources) is reasonably expected to be available and sufficient to complete the project.

Large MPOs, in administering a competitive selection process, may require a funding match for projects selected through their competitive process. Applicants from within a large MPO should be aware that the match requirements may differ between the MPO and statewide competitive programs.

7.8. Funding for Active Transportation Plans

Funding from the Active Transportation Program may be used to fund the development of community-wide active transportation plans within or, for area-wide plans, encompassing disadvantaged communities, including bike, pedestrian, safe routes to schools, or comprehensive active transportation plans. A list of the components that must be included in an active transportation plan can be found in Section 13, subsection E. (This will be moved to an appendix)

The Commission intends to set aside up to 2% of the funds in the statewide competitive component and in the small urban and rural component for funding active transportation plans in

predominantly disadvantaged communities. A large MPO, in administering its portion of the program, may make up to 2% of its funding available for active transportation plans in disadvantaged communities within the MPO boundaries.

The first priority for the funding of plans will be for cities, counties, county transportation commissions, regional transportation planning agencies, MPOs, school districts, or transit districts that have neither a bicycle plan, a pedestrian plan, a safe routes to schools plan, nor a comprehensive active transportation plan. The second priority for the funding of plans will be for cities, counties, county transportation commissions, regional transportation planning agencies, or MPOs that have a bicycle plan or a pedestrian plan but not both. The lowest priority for funding of plans will be for updates of active transportation plans older than 5 years.

Applications for plans may not be combined with applications for infrastructure or other non-infrastructure projects.

9. Funding Restrictions

Active Transportation Program funds shall not supplant other committed funds are not available to fund cost increases.

A project that is already fully funded or is a capital improvement to that is required as a condition for private development approval or permits is not eligible for funding from the Active Transportation Program.

Any single applicant cannot submit more than XX applications per cycle.

8-10.Reimbursement

The Active Transportation Program is a reimbursement program for eligible costs incurred. Reimbursement is requested through the invoice process detailed in Chapter 5, Accounting/Invoices, Local Assistance Procedures Manual. Costs incurred prior to Commission allocation and, for federally funded projects, Federal Highway Administration project approval (i.e. Authorization to Proceed) are not eligible for reimbursement.

Eligibility

9-11. Eligible Applicants

The applicant and/or implementing agency for Active Transportation Program funds assumes responsibility and accountability for the use and expenditure of program funds. Applicants and/or implementing agencies must be able to comply with all the federal and state laws, regulations, policies and procedures required to enter into a Local Administering Agency-State Master Agreement (Master Agreement). Refer to Chapter 4, Agreements, of the Local Assistance Procedures Manual for guidance and procedures on Master Agreements. The following entities, within the State of California, are eligible to apply for Active Transportation Program funds:

- Local, Regional or State Agencies- Examples include city, county, MPO*, and Regional Transportation Planning Agency.
- Caltrans*

- Transit Agencies - Any agency responsible for public transportation that is eligible for funds under the Federal Transit Administration.
- Natural Resources or Public Land Agencies - Federal, Tribal, State, or local agency responsible for natural resources or public land administration. Examples include:
 - State or local park or forest agencies
 - State or local fish and game or wildlife agencies
 - Department of the Interior Land Management Agencies
 - U.S. Forest Service
- Public schools or School districts.
- Tribal Governments - Federally-recognized Native American Tribes.
- Private nonprofit tax-exempt organizations may apply for projects eligible for Recreational Trail Program funds recreational trails and trailheads, park projects that facilitate trail linkages or connectivity to non-motorized corridors, and conversion of abandoned railroad corridors to trails. Projects must benefit the general public, and not only a private entity.
- Any other entity with responsibility for oversight of transportation or recreational trails that the Commission determines to be eligible.

For funding awarded to a tribal government, a fund transfer to the Bureau of Indian Affairs (BIA) may be necessary. A tribal government may also partner with another eligible entity to apply if desired.

** Caltrans and MPOs, except for MPOs that are also regional transportation planning agencies, are not eligible project applicants for the federal Transportation Alternative Program funds appropriated to the Active Transportation Program. Therefore, funding awarded to projects submitted directly by Caltrans and MPOs are limited to other Active Transportation Program funds. Caltrans and MPOs may partner with an eligible entity to expand funding opportunities.*

10.12. Partnering With Implementing Agencies

Eligible applicants that are unable to apply for Active Transportation Program funds or that are unable to enter into a Master Agreement with the State must partner with an eligible applicant that can implement the project. In addition, eligible applicants that are unfamiliar with the requirements to administer a Federal-Aid Highway Program project are encouraged to partner with an eligible applicant that can implement the project. If another entity agrees to be the implementing agency and assume responsibility for the ongoing operations and maintenance of the facility, documentation of the agreement (e.g., letter of intent) must be submitted with the project application, and a copy of the Memorandum of Understanding or Interagency Agreement between the parties must be submitted with the first request for allocation.

The implementing agency will be responsible and accountable for the use and expenditure of program funds.

11.13. Eligible Projects

All projects must be selected through a competitive process and must meet one or more of the program goals. Because some of the ~~majority of~~ funds in the Active Transportation Program are

federal funds, projects that are considered large or medium infrastructure must be federal-aid eligible.

- Infrastructure Projects: Capital improvements that will further the goals of this program. This typically includes the environmental, design, right-of-way, and construction phases of a capital (facilities) project. A new infrastructure project will not be programmed without a complete project study report (PSR) or PSR equivalent. The application will be considered a PSR equivalent if it defines and justifies the project scope, cost and schedule. Though the PSR or equivalent may focus on the project components proposed for programming, it must provide at least a preliminary estimate of costs for all components. PSR guidelines are posted on the Commission's website: <http://www.catc.ca.gov/programs/ATP.htm>.

~~A capital improvement that is required as a condition for private development approval or permits is not eligible for funding from the Active Transportation Program.~~

- Plans: The development of a community wide bicycle, pedestrian, safe routes to school, or active transportation plan in a disadvantaged community.
- Non-infrastructure Projects: Education, encouragement, and enforcement activities that further the goals of this program. The Commission intends to focus funding for non-infrastructure on start-up projects. A project is considered to be a start-up when no program currently exists. Start-up projects must demonstrate how the program is sustainable after ATP funding is exhausted. ATP funds cannot fund ongoing program operations. Non-infrastructure projects are not limited to those benefiting school students. Program expansions or new components of existing programs are eligible for ATP funds as long as the applicant can demonstrate that the existing program will be continued with non-ATP funds.
- Infrastructure projects with non-infrastructure components.

Example Projects

Below is a list of projects considered generally eligible for Active Transportation Program funding. This list is not intended to be comprehensive; other types of projects that are not on this list may also be eligible if they further the goals of the program. Components of an otherwise eligible project may not be eligible. For information on ineligible components, see the Department's Local Assistance/ATP website.

- Development of new bikeways and walkways that improve mobility, access, or safety for non-motorized users.
- Improvements to existing bikeways and walkways, which improve mobility, access, or safety for non-motorized users.
 - Elimination of hazardous conditions on existing bikeways and walkways.
 - Preventative maintenance of bikeways and walkways with the primary goal of improving the active transportation operations/usability extending the service life of the facility.
- Installation of traffic control devices to improve the safety of pedestrians and bicyclists.
- Safe Routes to School projects that improve the safety of children walking and bicycling to school, in accordance with Section 1404 of Public Law 109-59.
- Safe routes to transit projects, which will encourage transit by improving biking and walking routes to mass transportation facilities and school bus stops.
- Secure bicycle parking at employment centers, park and ride lots, rail and transit stations, and ferry docks and landings for the benefit of the public.
- Bicycle-carrying facilities on public transit, including rail and ferries.
- Establishment or expansion of a bike share program.
- Recreational trails and trailheads, park projects that facilitate trail linkages or connectivity to non-motorized corridors, and conversion of abandoned railroad corridors to trails.
- Development of a community wide bike, pedestrian, safe routes to schools, or active transportation plan in a disadvantaged community.
- Education programs to increase bicycling and walking, and other non-infrastructure investments that demonstrate effectiveness in increasing active transportation. Components may include but are not limited to:
 - Development and implementation of bike-to-work or walk-to-work school day/month programs.
 - Conducting bicycle and/or pedestrian counts, walkability and/or bikeability assessments or audits, or pedestrian and/or bicycle safety analysis.
 - Conducting pedestrian and bicycle safety education programs.
 - Development and publishing of community walking and biking maps, including school route/travel plans.
 - Development and implementation of walking school bus or bike train programs.
 - Components of open streets events directly linked to the promotion of a new infrastructure project or designed to promote walking and biking on a daily basis.

- Targeted enforcement activities around high pedestrian and/or bicycle injury and/or fatality locations (intersections or corridors). These activities cannot be general traffic enforcement but must be tied to improving pedestrian and bicyclist safety.
- School crossing guard training.
- School bicycle clinics.
- Development and implementation of programs and tools that maximize use of available and emerging technologies to implement the goals of the Active Transportation Program.

12.14. Minimum Request for Funds

In order to maximize the effectiveness of program funds and to encourage the aggregation of small projects into one larger comprehensive project, the minimum request for Active Transportation Program funds that will be considered is \$250,000. This minimum does not apply to non-infrastructure projects, Safe Routes to Schools projects, Recreational Trail projects, and plans.

MPOs, in administering a competitive selection process, may use a different minimum funding size. Use of a minimum project size greater than \$500,000 must be approved by the Commission prior to an MPO's call for projects.

13.15. Project Type Requirements

The Active Transportation Program, as conceived in SB 99, only specifies one funding distribution requirement beyond the funding split between the three program components. That is for at least 25% of funds must benefit disadvantaged communities in each of the program components. However the Active Transportation Program includes many other project categories that must meet certain requirements. Below is an explanation of the requirements specific to those project categories.

As discussed in the Funding Distribution section (above), State and Federal law segregate the Active Transportation Program into multiple, overlapping components. Below is an explanation of the requirements specific to these components.

A. Disadvantaged Communities

For a project to contribute toward the Disadvantaged Communities funding requirement, the project must clearly demonstrate, with verifiable information, a direct, meaningful, and assured benefit to a disadvantaged community. To count as providing a benefit, a project must fulfill an important need of low-income people in a way that provides a significant benefit and targets its benefits primarily to low-income people while avoiding substantial burdens on a disadvantaged community.

For a project to qualify as directly benefiting a disadvantaged community, the project must be located within or in reasonable proximity and have a direct connection, to the disadvantaged community served by the project; or the project must be an extension or a segment of a larger project that connects to or directly adjacent to that disadvantaged community. It is incumbent upon the applicant to clearly articulate how the project benefits the disadvantaged community; there is no presumption of benefit, even for projects located within a disadvantaged community. To qualify as a disadvantaged community the community served by the project must meet at least one of the following criteria:

- The Median Household Income (Table ID B19013) is less than 80% of the statewide median based on the most current Census Tract (ID 140) level data from the 2010-2014 American Community Survey (<\$49,191). Communities with a population less than 15,000 may use data at the Census Block Group (ID 150) level. Unincorporated communities may use data at the Census Place (ID 160) level. Data is available at:
<http://factfinder2.census.gov/faces/nav/jsf/pages/index.xhtml>
- An area identified as among the most disadvantaged 25% in the state according to the CalEPA and based on the California Communities Environmental Health Screening Tool ~~3.02-0~~ (CalEnviroScreen ~~3.02-0~~) scores (score must be greater than or equal to 36.62). This list can be found at the following link under SB 535 List of Disadvantaged Communities:
<http://www.calepa.ca.gov/EnvJustice/GHGInvest/>
- At least 75% of public school students in the project area are eligible to receive free or reduced-price meals under the National School Lunch Program. Data is available at <http://www.cde.ca.gov/ds/sd/sd/files/sp.asp>. Applicants using this measure must indicate how the project benefits the school students in the project area. Project must be located within two miles of the school(s) represented by this criteria.
- Other:
 - If a project applicant believes a project benefits a disadvantaged community but the project does not meet the aforementioned criteria due to a lack of accurate Census data or CalEnviroScreen data that represents a small neighborhood or unincorporated area, the applicant must submit for consideration a quantitative assessment, to demonstrate that the community's median household income is at or below 80% of that state median household income.
 - ~~○ Regional definitions of disadvantaged communities as adopted in a Regional Transportation Plan (RTP) by an MPO or RTPA per obligations with Title VI of the Federal Civil Rights Act of 1964, such as "environmental justice communities" or "communities of concern," may be used in lieu of the options identified above.~~
 - Projects located within Federally Recognized Tribal Lands (typically within the boundaries of a Reservation or Rancheria).

MPOs, in administering a competitive selection process, may use different criteria for determining which projects benefit Disadvantaged Communities if the criteria are approved by the Commission prior to an MPO's call for projects.

B. Large Project, Infrastructure only or Infrastructure/Non-infrastructure

Projects with a total project cost of greater than \$5 million will be considered a Large Project and must use the Large Project application. Any project requesting over \$10M in ATP funding will required an onsite field review with Caltrans and CTC staff.

C. Medium Project, Infrastructure only or Infrastructure/Non-infrastructure

Projects with a total project cost between \$1.5 million to \$5 million will be considered a Medium Project and must use the Medium Project application.

D. Small Project, Infrastructure only or Infrastructure/Non-infrastructure

Projects with a total project cost less than \$1.5 million will be considered a Small Project and must use the Small Project application.

E. Small Project, Non-infrastructure Only

F. Small Project, Plan

G. Safe Routes to School Projects

For a project to qualify for Safe Routes to School designation, the project must directly increase safety and convenience for public school students to walk and/or bike to school. Safe Routes to Schools infrastructure projects must be located within two miles of a public school or within the vicinity of a public school bus stop and the students must be the intended beneficiaries of the project. Other than traffic education and enforcement activities, non-infrastructure projects do not have a location restriction.

H. Recreational Trails Projects

Trail projects that are primarily recreational should meet the federal requirements of the Recreational Trails Program as such projects may not be eligible for funding from other sources (http://www.fhwa.dot.gov/environment/recreational_trails/).

I. Active Transportation Resource Center

Typical Active Transportation Resource Center roles include:

- Providing technical assistance and training resources to help agencies deliver existing and future projects and to strengthen community involvement in future projects including those in disadvantaged communities.
- Assisting with program evaluation.

The Commission intends to fund a state technical assistance center by programming funds to the Department, who will administer contracts to support all current and potential Active Transportation Program applicants.

J. Active Transportation Plan for Disadvantaged Communities

Move this to a “Guidance for Plans” addendum A city, county, county transportation commission, regional transportation planning agency, MPO, school district, or transit district may prepare an active transportation plan (bicycle, pedestrian, safe-routes-to-school, or comprehensive). An

active transportation plan prepared by a city or county may be integrated into the circulation element of its general plan or a separate plan which is compliant or will be brought into compliance with the Complete Streets Act, Assembly Bill 1358 (Chapter 657, Statutes of 2008). An active transportation plan must include, but not be limited to, the following components or explain why the component is not applicable:

- The estimated number of existing bicycle trips and pedestrian trips in the plan area, both in absolute numbers and as a percentage of all trips, and the estimated increase in the number of bicycle trips and pedestrian trips resulting from implementation of the plan.
- The number and location of collisions, serious injuries, and fatalities suffered by bicyclists and pedestrians in the plan area, both in absolute numbers and as a percentage of all collisions and injuries, and a goal for collision, serious injury, and fatality reduction after implementation of the plan.
- A map and description of existing and proposed land use and settlement patterns which must include, but not be limited to, locations of residential neighborhoods, schools, shopping centers, public buildings, major employment centers, and other destinations.
- A map and description of existing and proposed bicycle transportation facilities, including a description of bicycle facilities that serve public and private schools and, if appropriate, a description of how the five Es (Education, Encouragement, Enforcement, Engineering, and Evaluation) will be used to increase rates of bicycling to school.
- A map and description of existing and proposed end-of-trip bicycle parking facilities.
- A description of existing and proposed policies related to bicycle parking in public locations, private parking garages and parking lots and in new commercial and residential developments.
- A map and description of existing and proposed bicycle transport and parking facilities for connections with and use of other transportation modes. These must include, but not be limited to, bicycle parking facilities at transit stops, rail and transit terminals, ferry docks and landings, park and ride lots, and provisions for transporting bicyclists and bicycles on transit or rail vehicles or ferry vessels.
- A map and description of existing and proposed pedestrian facilities, including those at major transit hubs and those that serve public and private schools and, if appropriate, a description of how the five Es (Education, Encouragement, Enforcement, Engineering, and Evaluation) will be used to increase rates of walking to school. Major transit hubs must include, but are not limited to, rail and transit terminals, and ferry docks and landings.
- A description of proposed signage providing wayfinding along bicycle and pedestrian networks to designated destinations.
- A description of the policies and procedures for maintaining existing and proposed bicycle and pedestrian facilities, including, but not limited to, the maintenance of smooth pavement, ADA level surfaces, freedom from encroaching vegetation, maintenance of traffic control devices including striping and other pavement markings, and lighting.
- A description of bicycle and pedestrian safety, education, and encouragement programs conducted in the area included within the plan, efforts by the law enforcement agency having primary traffic law enforcement responsibility in the area to enforce provisions of the law impacting bicycle and pedestrian safety, and the resulting effect on collisions involving bicyclists and pedestrians.

- A description of the extent of community involvement in development of the plan, including disadvantaged and underserved communities.
- A description of how the active transportation plan has been coordinated with neighboring jurisdictions, including school districts within the plan area, and is consistent with other local or regional transportation, air quality, or energy conservation plans, including, but not limited to, general plans and a Sustainable Community Strategy in a Regional Transportation Plan.
- A description of the projects and programs proposed in the plan and a listing of their priorities for implementation, including the methodology for project prioritization and a proposed timeline for implementation.
- A description of past expenditures for bicycle and pedestrian facilities and programs, and future financial needs for projects and programs that improve safety and convenience for bicyclists and pedestrians in the plan area. Include anticipated revenue sources and potential grant funding for bicycle and pedestrian uses.
- A description of steps necessary to implement the plan and the reporting process that will be used to keep the adopting agency and community informed of the progress being made in implementing the plan.
- A resolution showing adoption of the plan by the city, county or district. If the active transportation plan was prepared by a county transportation commission, regional transportation planning agency, MPO, school district or transit district, the plan should indicate the support via resolution of the city(s) or county(s) in which the proposed facilities would be located.

A city, county, school district, or transit district that has prepared an active transportation plan may submit the plan to the county transportation commission or transportation planning agency for approval. The city, county, school district, or transit district may submit an approved plan to Caltrans in connection with an application for funds for active transportation facilities which will implement the plan.

~~Additional information related to active transportation plans can be found in the sections on Funding for Active Transportation Plans and Scoring Criteria.~~

Project Selection Process

14.16. Project Application

ATP project applications will be available at: www.dot.ca.gov/hq/LocalPrograms/atp/index.html.

There will be five different applications available for applicants to complete depending on the project type and size. It is incumbent on the applicant to complete the application appropriate for their project. The four application types are:

- [Large Project, Infrastructure only or Infrastructure/Non-infrastructure](#)
- [Medium Project, Infrastructure only or Infrastructure/Non-infrastructure](#)
- [Small Project, Infrastructure](#)
- [Small Project, Non-infrastructure](#)
- [Small Project, Plan](#)

A project application must include the signature of the Chief Executive Officer or other officer authorized by the applicant's governing board. Where the project is to be implemented by an agency other than the applicant, documentation of the agreement between the project applicant and implementing agency must be submitted with the project application. A project application must also include documentation of all other funds committed to the projects.

Information on how to submit project application will be posted at: www.dot.ca.gov/hq/LocalPrograms/atp/index.html and www.catc.ca.gov/programs/ATP.htm prior to the call for projects.

A copy of the project application must also be sent to the Regional Transportation Planning Agency or County Transportation Commission within which the project is located and to the MPO (a contact list can be found at www.dot.ca.gov/hq/tpp/offices/orip/). The copy may be hard copy or electronic – check with your regional agency or county commission for their preference.

15.17. Sequential Project Selection

All project applications, except for applications submitted through an optional MPO supplemental call for projects, must be submitted to Caltrans for consideration in the statewide competition. ~~The Commission will consider approval of a competitive grant only when it finds that the grant request meets the requirements of statute and that the project has a commitment of any supplementary funding needed for a full funding plan.~~

Projects not selected for programming in the statewide competition must be considered in the large MPO run competitions or the state run Small Urban and Rural competitions.

~~A large urban MPO may elect to have a supplemental MPO specific call for projects. The projects received in this call must be considered along with those not selected through the statewide competition.~~

16.18. MPO Competitive Project Selection

As stated above, projects not selected for programming in the statewide competition must be considered by the MPOs in administering a competitive selection process.

An MPO choosing to use the same project selection criteria and weighting, minimum project size, match requirement, and definition of disadvantaged communities as used by the Commission for the statewide competition may delegate its project selection to the Commission. An MPO delegating its project selection to the Commission may not conduct a supplemental call for projects.

An MPO, with Commission approval, may use a different project selection criteria or weighting, minimum project size, match requirement, and/or definition of disadvantaged communities for its competitive selection process. Use of a minimum project size of \$500,000 or less, or of a different match requirement than in the statewide competitive program does not require prior Commission approval. An MPO may also elect to have a supplemental MPO specific call for projects. The projects received in this call must be considered along with those not selected through the statewide competition.

In administering a competitive selection process, an MPO must use a multidisciplinary advisory group to assist in evaluating project applications. The Commission will provide a checklist to the MPOs that includes what the MPO ~~Following its competitive selection process, an MPO~~ must submit with its programming recommendations to the Commission ~~along with the following:~~

- Project applications that were not submitted through the statewide program
- List of the members of its multidisciplinary advisory group
- Description of unbiased project selection methodology
- Program spreadsheet with the following elements
 - All projects evaluated
 - Projects recommended with total project cost, request amount, fiscal years, phases, state only funding requests, amount benefiting disadvantaged communities
 - Project type designations such as Non-infrastructure, Safe Routes to School, etc.
- Board resolution approving program of projects
- Updated Project Programming Requests (PPRs)

17.19. Screening Criteria

Nominations will receive an initial screening by the Commission for completeness and eligibility, before moving to the evaluation process. Incomplete or ineligible applications may not be evaluated.

Before evaluation, project applications will be screened for the following:

- Consistency with an adopted regional transportation plan.
- Use of appropriate application.

- **Supplanting Funds:** A project that is already fully funded will not be considered for funding in the Active Transportation Program. ATP funds cannot be used to supplant other committed funds.
- **Eligibility of project:** Project must be one of the four types of projects listed in Section 11 of these guidelines.

18.20. Scoring Criteria

Proposed projects will be scored and ranked on the basis of applicant responses to the [below project type](#) criteria [below](#). Project programming recommendations may not be based strictly on the rating criteria given the various components of the Active Transportation Program and requirements of the various fund sources.

To Be Determined

[Small Project – Plan](#)

[Small Project – Non-infrastructure](#)

[Small Project – Instructure and Infrastructure/Non-infrastructure](#)

[Medium Project – Instructure and Infrastructure/Non-infrastructure](#)

[Large Project – Infrastructure and Infrastructure/Non-infrastructure](#)

19.21. Project Selection between Project Applications with the Same Score

If two or more projects applications receive the same score that is the funding cut-off score, the following criteria will be used to determine which project(s) will be funded:

- Construction ready infrastructure projects
- Highest score on Question 1
- Highest score on Question 2

20.22. Project Evaluation Committee

Commission staff will form a multidisciplinary Project Evaluation Committee to assist in evaluating project applications. In forming the Project Evaluation Committee, staff will seek participants with expertise in bicycling and pedestrian transportation, including Safe Routes to Schools type projects, and in projects benefiting disadvantaged communities, and will seek geographically balanced representation from state agencies, large MPOs, regional transportation planning agencies, local jurisdictions in small urban and rural areas, and non-governmental organizations. Priority for participation in the evaluation committee will be given to those who do not represent a project applicant, or will not benefit from projects submitted by others. The Commission will consider approval of a competitive grant only when it finds that the grant request meets the requirements of statute and that the project has a commitment of any supplementary funding needed for a full funding plan.

In reviewing and selecting projects to be funded with federal Recreational Trail program funds, the Commission and/or Caltrans staff will collaborate with the Department of Parks and Recreation to evaluate proposed projects.

MPOs, in administering a competitive selection process, must use a multidisciplinary advisory group, similar to the aforementioned Project Evaluation Committee, to assist in evaluating project applications.

Programming

23. Program of Projects

Following at least one public hearing, the Commission will adopt a program of projects for the Active Transportation Program, by April 1 of each odd numbered year. The Active Transportation Program must be developed consistent with the fund estimate and the amount programmed by fiscal year must not exceed the amount identified in the fund estimate.

The program of projects for each fiscal year will include, for each project, the amount to be funded from the Active Transportation Program, and the estimated total cost of the project. In the case of a large project delivered in segments, include the total cost of the segment for which ATP funds are requested. Project costs in the Active Transportation Program will include costs for each of the following components: (1) permits and environmental studies; (2) plans, specifications, and estimates; (3) right-of-way; and (4) construction. The cost of each project component will be listed in the Active Transportation Program no earlier than in the fiscal year in which the particular project component can be implemented.

24. Committed/Uncommitted Funds

The Commission will program and allocate funding to projects in whole thousands of dollars and will include a project only if it is fully funded from a combination of Active Transportation Program funds and other committed funds and uncommitted funds.

Uncommitted funds may only be from the following ~~competitive~~ programs: ~~Solutions for Congested Corridors Program~~, Local Partnership Program and the State Transportation Improvement Program, ~~Transit and Intercity Rail Capital Program~~, or ~~2017 and 2018 INFRA Grant~~. The applicant must indicate its plan for securing a funding commitment; explain the risk of not securing that commitment, and its plan for securing an alternate source of funding should the commitment not be obtained. If a project with uncommitted funds is programmed, all funding commitments must be secured prior to July 1 of the year in which the project is programmed or the project will be removed from the program.

Projects programmed by the Commission in the Active Transportation Program will not be given priority in other programs under the Commission's purview.

The Commission will program and allocate funding to projects in whole thousands of dollars and will include a project only if it is fully funded from a combination of Active Transportation Program and other committed funding. The Commission will regard funds as committed when they are programmed by the Commission or when the agency with discretionary authority over the funds has made its commitment to the project by ordinance or resolution. For federal formula funds, including Surface Transportation Program, Congestion Mitigation and Air Quality Improvement Program, and federal formula transit funds, the commitment may be by Federal approval of the Federal Statewide Transportation Improvement Program. For federal discretionary funds, the commitment may be by federal approval of a full funding grant agreement or by grant approval.

The Commission will only ~~When~~ proposing to fund only preconstruction components for a project if the project is at the funding cut-off for an MPO in their MPO component and there are not enough available funds to fund the full project. ~~;~~In this case, the applicant must demonstrate the means by which it intends to fund the construction of a useable segment, consistent with the regional transportation plan.

If the program of projects adopted by the Commission does not program the full capacity identified in the fund estimate for a given fiscal year, the balance will remain available to advance programmed projects. Subject to the availability of federal funds, a balance not programmed in one fiscal year will carry over and be available for projects in the following fiscal year.

The intent of the Commission is to consolidate the allocation of federal funds to as few projects as practicable. Therefore, the smallest projects may be designated, at the time of programming, for state-only funding.

25. Contingency List

The Commission may identify a contingency list of project to be amended into the program in the event a programmed project has returned award savings or is deleted from the program. This contingency list will be in effect only until the adoption of the next programming cycle.

Program/Project Amendments

26. Amendment Requests

Project amendments will be considered for the Active Transportation Program as follows:

- Scope Changes – The Commission may consider changes to the scope of the project only as described below.
- Cost Changes – The Active Transportation Program will not participate in any cost increases to the project. If there is a change in the cost estimate, the implementing agency must notify Caltrans as described below.

- Schedule Changes – Schedule changes to a project will not be considered unless a time extension was approved as specified in Section XX.

Project amendments requested by implementing agencies shall receive the approval of all partner and funding entities before presentation to the Commission. Amendment requests should be submitted in a timely manner and include documentation that supports the requested change and its impact on the scope, cost, schedule and benefits.

Caltrans shall coordinate all amendment requests and utilize the Project Programming Request to help document the change. Implementing agencies must notify Caltrans in writing of proposed project scope changes. This notification must include the following:

- An explanation of the proposed scope change.
- The reason for the proposed scope change.
- The impact the proposed scope change would have on the overall cost of the project.
- An estimate of the impact the proposed scope change would have on the potential of the project to deliver the project benefits as compared to the benefits identified in the project application (increase or decrease in benefit) and an explanation of the methodology used to develop the aforementioned estimates.

Caltrans will review the proposed scope change and forward the proposed scope change with Caltrans' written analysis and recommendation to the Commission for the Commission's approval.

Commission staff may also request that the Project Review Committee review and make a recommendation on amendment requests.

Commission staff will present recommended scope changes deemed by staff to be minor changes, such as those with little or no impact to project benefits or which increase the benefits of the project, to the Commission as a part of the project allocation request. Staff will present recommendations to disapprove minor scope changes and recommendations to approve or disapprove more significant scope changes to the Commission as project amendments.

Allocations

When an agency is ready to implement a project or project component, the agency will submit an allocation request to Caltrans. The typical time required, after receipt of the request, to complete Caltrans review and recommendation and Commission allocation is 60 days.

Caltrans will review the request and determine whether or not to recommend the request to the Commission for action. The Commission will consider the allocation of funds for a project when it receives an allocation with a recommendation from Caltrans. The recommendation will include a determination of project readiness, the availability of appropriated funding, and the availability of all identified and committed supplementary funding. When Caltrans develops its construction allocation recommendation, the Commission expects Caltrans to certify that a project's plans specifications and estimate are complete, environmental and right-of-way clearances are secured, and all necessary permits and agreements are executed.

In compliance with Section 21150 of the Public Resources Code, the Commission will not allocate funds for a non-infrastructure project or plan, or for design, right-of-way, or construction of an infrastructure project, prior to documentation of environmental clearance under the California Environmental Quality Act. As a matter of policy, the Commission will not allocate funds, other

than for the environmental phase, for a federally funded project prior to documentation of environmental clearance under the National Environmental Policy Act. Exceptions to this policy may be made in instances where federal law allows for the acquisition of right-of-way prior to completion of National Environmental Policy Act review.

Where the project is to be implemented by an agency other than the applicant, the allocation request must include a copy of the Memorandum of Understanding or Interagency Agreement between the project applicant and implementing agency.

The Commission will approve the allocation if the funds are available and the allocation is necessary to implement the project as included in the adopted Active Transportation Program. If there are insufficient program funds to approve an allocation, the Commission may delay the allocation of funds to a project.

In order to ensure the timely use of all program funds, the Commission will, in the last quarter of the fiscal year, allocate funds to projects programmed in a future fiscal year on a first-come, first served basis. If there are insufficient funds, the Commission may delay the allocation of funds to a project until the next fiscal year without requiring an extension. Should requests for allocations exceed available capacity, the Commission will give priority to projects programmed in the current-year.

Allocation requests for a project in the MPO selected portion of the program must include a recommendation by the MPO.

~~If an implementing agency requests an allocation of funds in an amount that is less than the amount programmed, the balance of the programmed amount may be allocated to a programmed project advanced from a future fiscal year.~~

~~Any amount allocated for environmental may also be expended for design. In addition, a local agency may expend an amount allocated for environmental, design, right of way, or construction for another allocated project component, provided that the total expenditure shifted to a component in this way is not more than 20 percent of the amount actually allocated for either component. This means that the amount transferred by a local agency from one component to another may be no more than 20 percent of whichever of the components has received the smaller allocation from the Commission.~~

Any scope changes must be presented to Caltrans for consideration prior to allocation. Caltrans will make a recommendation of approval to the Commission for final approval. Scope changes that result in a decrease of active transportation benefits may result in removal from the program.

27. FTA Transfers

Project Delivery

28. Letter of No Prejudice

The Commission will consider approval of a Letter of No Prejudice (LONP) to advance a project programmed in the Active Transportation Program. Approval of the LONP will allow the agency to begin work and incur eligible expenses prior to allocation. The Amended LONP Guidelines were adopted in October 2017 and are on the Commission's website.

29. Timely Use of Funds

Active Transportation Program allocations must be requested in the fiscal year of project programming, and construction allocations are valid for award for six months from the date of allocation unless the Commission approves an extension.

The Commission may extend the deadline only once for allocation and only if it finds that an unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the extension. The extension will not exceed the period of delay directly attributed to the extraordinary circumstance and cannot exceed twelve months. ~~If extraordinary issues exist that require a longer extension, the implementer may request up to 20 months for allocation only.~~ Extension requests for a project in the MPO selected portion of the program must include a recommendation by the MPO, consistent with the preceding requirements.

Funds allocated for project development or right-of-way costs must be expended by the end of the second fiscal year following the fiscal year in which the funds were allocated. The implementing agency must invoice Caltrans for these costs no later than 180 days after the fiscal year in which the final expenditure occurred.

The Commission may extend the deadline only once for contract award and only if it finds that an unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the extension. The extension will not exceed the period of delay directly attributed to the extraordinary circumstance and cannot exceed twelve months.

After award of the contract, the implementing agency has up to 36 months to complete (accept) the contract. At the time of fund allocation, the Commission may extend the deadline for completion of work and the liquidation of funds if necessary to accommodate the proposed expenditure plan for the project.

The Commission may extend the deadlines for expenditures for project development or right-of-way, or for contract completion no more than one time, only if it finds that an unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the extension. The extension will not exceed the period of delay directly attributed to the extraordinary circumstance and cannot exceed more than 12 months for project completion and 12 months for expenditure.

Except for the allocation of funds, the request to extend the deadline for any of the above must be received by Caltrans prior to the expiration date. For allocation of funds, the time extension must be approved by the Commission by June 30th of the year the funds are programmed; otherwise the funds will lapse as specified in this section.

Where a project component will not be ready for allocation as programmed in the current fiscal year, the implementing agency should request an extension of the allocation deadline rather than a project amendment.

Projects must commence right-of-way acquisition or actual construction with-in 10 years of receiving pre-construction funding through the Active Transportation Program, or the implementing agency must repay the Active Transportation Program funds. Repaid funds will be made available for redistribution in the subsequent programming cycle.

If there are insufficient funds, the Commission may delay the allocation of funds to a project until the next fiscal year without requiring an extension.

The implementing agency must enter into a cooperative agreement with Caltrans and, if the project is federally funded, obligate the federal funds within six months.

It is incumbent upon the implementing agency to develop accurate project cost estimates. If the amount of a contract award is less than the amount allocated, or if the final cost of a component is less than the amount allocated, the savings generated will not be available for future programming.

Caltrans will track the delivery of Active Transportation Program projects and submit to the Commission a semiannual report showing the delivery of each project phase.

30. Delivery Deadline Extensions

The Commission may extend a delivery deadline, as described in Section XX, upon the request of the implementing agency. No deadline may be extended more than once. However, there are separate deadlines for allocations, contract award, expenditures, and project completion. Each project component has its own deadlines. The Commission may consider the extension for each of the deadlines separately.

All requests for project delivery deadline extensions shall be submitted directly to Caltrans for processing prior to the expiration date. The extension request should describe the specific circumstance that justifies the extension and identify the delay directly attributable to the circumstance. Caltrans will review and prepare a written analysis of the proposed extension requests and forward the written analysis and recommendation to the Commission for action.

21.31. Federal Requirements

Unless programmed for state-only funding, project applicants must comply with the provisions of Title 23 of the U.S. Code of Federal Regulations and with the processes and procedures contained in the Caltrans Local Assistance Procedures Manual and the Master Agreement with Caltrans. Below are examples of federal requirements that must be met when administering Active Transportation Program projects.

- National Environmental Policy Act (NEPA) compliance and documentation is required on all projects. Refer to Chapter 6, Environmental Procedures, of the Local Assistance Procedures Manual for guidance and procedures on complying with NEPA and other federal environmentally related laws.

- Project applicants may not proceed with the final design of a project or request "Authorization to proceed with Right-of-Way" or "Authorization to proceed with Construction" until Caltrans has signed a Categorical Exclusion, a Finding of No Significant Impact, or a Record of Decision. Failure to follow this requirement will make the project ineligible for federal reimbursement.
- If the project requires the purchase of right of way (the acquisition of real property), the provisions of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 apply. For more information, refer to Chapter 13, Right of Way, of the Local Assistance Procedures Manual.
- If the project applicant requires the consultation services of including, but not limited to, architects, landscape architects, land surveyors, or engineers, the procedures in the Chapter 10, Consultant Selection, of the Local Assistance Procedures Manual must be followed. The naming of a Partner in the application does not negate this requirement.
- Contract documents are required to incorporate applicable federal requirements such as Davis Bacon wage rates, competitive bidding, Disadvantaged Business Enterprises/Equal Employment Opportunity provisions, etc. For more information, refer to Chapter 9, Civil Rights and Disadvantaged Business Enterprises, and Chapter 12, Plans, Specifications & Estimate, of the Local Assistance Procedures Manual
- Failure to comply with federal requirements may result in the repayment to the State of Active Transportation Program funds.

22.32. Design Standards

Streets and Highways Code Section 891 requires that all city, county, regional, and other local agencies responsible for the development or operation of bikeways or roadways where bicycle travel is permitted utilize all minimum safety design criteria established by Caltrans, except that an agency may utilize other minimum safety design criteria if specific conditions are met, as described in Streets and Highways Code Section 891(b). *Chapter 11, Design Standards, of the Caltrans Local Assistance Procedures Manual describes statewide design standards, specifications, procedures, guides, and references that are acceptable in the geometric, drainage, and structural design of Local Assistance projects.*

For capital projects off the state highway system, the project applicant will be responsible for the ongoing operations and maintenance of the facility. If another entity agrees to assume responsibility for the ongoing operations and maintenance of the facility, documentation of the agreement must be submitted with the project application, and a copy of the Memorandum of Understanding or Interagency Agreement between the parties must be submitted with the request for allocation.

All facilities constructed using Active Transportation Program funds cannot revert to a non-Active Transportation Program use for a minimum of 20 years or its actual useful life as documented in the project application, whichever is less, without approval of the Commission.

23.33. Project Inactivity

Once funds for a project are encumbered, project applicants are expected to invoice on a regular basis (for federal funds, see 23 CFR 630.106 and the Caltrans' Inactive Obligation Policy). Failure to do so will result in the project being deemed "inactive" and subject to de-obligation if proper justification is not provided.

34. Project Cost Savings

Savings at contract award may be used to expand the scope of the project only if the expanded scope provides additional quantifiable benefits. The expanded scope must be approved by the Commission's Executive Director prior to contract award. All other contract award savings will be returned proportionally.

Savings at project completion must be returned proportionally except when an agency has, subsequent to project programming, committed additional funds to the project to fund a cost increase. In such instances, savings at project completion may be returned to other fund types first, until the proportions match those at programming. Any additional savings at project completion must be returned proportionally.

Any amount allocated for environmental may also be expended for design. In addition, a local agency may expend an amount allocated for environmental, design, right of way, or construction for another allocated project component, provided that the total expenditure shifted to a component in this way is not more than 20 percent of the amount actually allocated for either component. This means that the amount transferred by a local agency from one component to another may be no more than 20 percent of whichever of the components has received the smaller allocation from the Commission.

If an implementing agency requests an allocation of funds in an amount that is less than the amount programmed, the balance of the programmed amount may be allocated to a programmed project advanced from a future fiscal year. Project savings, including savings from projects programmed in the MPO component, will return to the overall ATP and be available to a programmed project advanced from a future fiscal year.

24.35. Project Reporting

As a condition of the project allocation, the Commission requires the implementing agency to submit semi-annual reports on the activities and progress made toward implementation of the project and a final delivery report. An agency implementing a project in the MPO selected portion of the program must also submit copies of its semi-annual reports and of its final delivery report to the MPO. The purpose of the reports is to ensure that the project is executed in a timely fashion and is within the scope and budget identified when the decision was made to fund the project.

Within one year of the project becoming operable, the implementing agency must provide the following information to Caltrans to be included in a final delivery report to the Commission which includes:

- The scope of the completed project as compared to the programmed project.
- Before and after photos documenting the project.
- The final costs as compared to the approved project budget.
- Its duration as compared to the project schedule in the project application.

- Performance outcomes derived from the project as compared to those described in the project application. This should include before and after pedestrian and/or bicycle counts, and an explanation of the methodology for conducting counts.
- Actual use of the California Conservation Corps or qualified community conservation corps as compared to the use described in the project application.

Please note that the final delivery report required by this section is in addition to the aforementioned Final Report of Expenditures.

For the purpose of this section, a project becomes operable when the construction contract is accepted or acquired equipment is received, or in the case of non-infrastructure activities, when the activities are complete.

Caltrans must audit a selection of Active Transportation Program projects to evaluate the performance of the project, determine whether project costs incurred and reimbursed are in compliance with the executed project agreement or approved amendments thereof; state and federal laws and regulations; contract provisions; and Commission guidelines, and whether project deliverables (outputs) and outcomes are consistent with the project scope, schedule and benefits described in the executed project agreement or approved amendments thereof. A report on the projects audited must be submitted to the Commission annually.

Roles And Responsibilities

25-36. California Transportation Commission (Commission)

The Commission responsibilities include:

- Adopt guidelines, policies, and application for the Active Transportation Program.
- Adopt Active Transportation Program Fund Estimate.
- Evaluate, score and rank projects, including forming and facilitating the Project Evaluation Committee.
- In consultation with Regional Agencies and Caltrans, recommend and adopt a program of projects, including:
 - The statewide component of the Active Transportation Program,
 - The small urban & rural component of the Active Transportation Program, and
 - The MPO selected component of the program based on the recommendations of the MPOs.
 - Ensure that at least 25% of the funds benefit disadvantaged communities.
- For the small urban & rural component, maintain a contingency list of projects to be amended into the program in the event a programmed project is delivered for less or fails, approve and recommend such amendments for Commission approval. This contingency list will be provided to the Commission and will be in effect only until the adoption of the next statewide program.
- Post recommendations and final adopted list of approved projects on the Commission's website.

- Allocate funds to projects.
- Evaluate and report to the legislature.

26-37. California Department of Transportation (Caltrans)

Caltrans has the primary responsibility for the administration of the adopted Active Transportation Program. Responsibilities include:

- Provide statewide program and procedural guidance (i.e. provide project evaluation of materials and instructions), conduct outreach through various networks such as, but not limited to, the Active Transportation Program website, and at conferences, meetings, or workgroups.
- Provide program training.
- Solicit project applications for the program.
- Perform eligibility and deliverability reviews of Active Transportation Program projects and inform the Commission of any identified issues as they arise.
- Assist as needed in functions such as facilitating project evaluation teams and evaluating applications.
- Notify successful applicants of their next steps after each call for projects.
- Recommend project allocations (including funding type) to the Commission.
- Track and report on project implementation, including project completion.
- Perform audits of selected projects in accordance with generally accepted government auditing standards.
- Serve as the main point of contact in project implementation, including administering the contract(s) for the Active Transportation Resource Center.

27-38. Metropolitan Planning Organizations (MPOs) With Large Urbanized Areas

MPOs with large urbanized areas are responsible for overseeing a competitive project selection process in accordance with these guidelines. The responsibilities include:

- Ensure that at least 25% of the funds in each MPO benefit disadvantaged communities.
- If using different project selection criteria or weighting, minimum project size greater than \$500,000, match requirement, or definition of disadvantaged communities for its competitive selection process, the MPO must obtain Commission approval prior to the MPO's call for projects.
- If electing to have a supplemental MPO specific call for projects, the projects within the MPO boundaries that were not selected through the statewide competition must be considered along with those received in the supplemental call for projects. An MPO must notify the Commission of their intent to have a supplemental call no later than the application deadline.
- In administering a competitive selection process, an MPO must use a multidisciplinary advisory group to assist in evaluating project applications.
- In administering a competitive selection process, an MPO must explain how the projects recommended for programming by the MPO include a broad spectrum of projects to

benefit pedestrians and bicyclists. The explanation must include a discussion of how the recommended projects benefit students walking and cycling to school.

- An MPO choosing to use the same project selection criteria and weighting, minimum project size, match requirement, and definition of disadvantaged communities as used by the Commission for the statewide competition may delegate its project selection to the Commission. An MPO delegating its project selection to the Commission must notify the Commission by the application deadline, and may not conduct a supplemental call for projects.
- If electing to have a contingency list of projects to be amended into the program in the event a programmed project is delivered for less or fails, approve and recommend such amendments for Commission approval. This contingency list will be provided to the Commission and will be in effect only until the adoption of the next statewide program.
- Recommend allocation requests for a project in the MPO selected portion of the program.
- Determine which projects to advance and make that recommendation to the Commission in consultation with Commission staff and Caltrans.
- Submit an annual assessment of its portion of the program in terms of its effectiveness in achieving the goals of the Active Transportation Program.

In addition, the following statutory requirements apply specifically to the Southern California Association of Governments (SCAG):

- SCAG must consult with county transportation commissions, the Commission, and Caltrans in the development of competitive project selection criteria. The criteria should include consideration of geographic equity, consistent with program objectives.
- SCAG must place priority on projects that are consistent with plans adopted by local and regional governments within the county where the project is located.
- SCAG must obtain concurrence from the county transportation commissions.

28-39. Regional Transportation Planning Agencies (RTPAs) Outside an MPO with Large Urbanized Areas and MPOs without Large Urbanized Areas

These Regional Transportation Planning Agencies and MPOs (outside the nine large MPOs) may make recommendations or provide input to the Commission regarding the projects within their boundaries that are applying for Active Transportation Program funding.

29-40. Project Applicant

Project applicants nominate Active Transportation Program projects for funding consideration. If awarded Active Transportation Program funding for a submitted project, the project applicant (or partnering implementing agency if applicable) has contractual responsibility for carrying out the project to completion and complying with reporting requirements in accordance with federal, state, and local laws and regulations, and these guidelines.

For infrastructure projects off the state highway system, the project applicant will be responsible for the ongoing operations and maintenance of the facility. If another entity agrees to assume responsibility for the ongoing operations and maintenance of the facility, documentation of the agreement must be submitted with the project application, and a copy of the Memorandum of

Understanding or Interagency Agreement between the parties must be submitted with the request for allocation.

41. Project Signage

Pursuant to Streets and Highways Code Section 2038, by July 1, 2023, agencies receiving Road Maintenance and Rehabilitation Account funds will need to describe how projects will address participation and investment in new or existing pre-apprenticeship training programs that focus on outreach to women, minority participants, underrepresented subgroups, formerly incarcerated individuals, and local residents to access employment opportunities. Therefore, this information should be included in the semi-annual reports submitted to Caltrans.

The implementing agency must, for all projects, include signage stating that the project was made possible by SB 1 – The Road Repair and Accountability Act of 2017. The signage should be in compliance with applicable federal or state law, and Caltrans' manual and guidelines, including but not limited to the provisions of the California Manual on Uniform Traffic Control Devices.

Note: Is there a need to specify which projects are RMRA funded.

Program Evaluation

The Active Transportation Program will be evaluated for its effectiveness in increasing the use of active modes of transportation in California. Applicants that receive funding for a project must collect and submit data to Caltrans as described in the "Project Reporting" section.

The Commission will include in its annual report to the Legislature a discussion on the effectiveness of the program in terms of planned and achieved improvement in mobility and safety and timely use of funds, and will include a summary of its activities relative to the administration of the Active Transportation Program including:

- Projects programmed,
- Projects allocated,
- Projects completed to date by project type,
- Projects completed to date by geographic distribution,
- Projects completed to date by benefit to disadvantaged communities, and
- Projects completed to date with the California Conservation Corps or qualified community conservation corps.



Metro

November 7, 2017

To: Distribution

From: Therese McMillan
Chief Planning Officer

Subject: Metro Active Transportation Program Grant Assistance Opportunity

The application for Cycle 4 of the State Active Transportation Program (ATP) is anticipated to be released in March 2018. Metro is continuing to provide grant assistance to advance Metro Board-adopted priorities that best align with ATP priorities and criteria. The Metro Board approved a priorities framework (see Board Report [here](#)) which updates the previous grant assistance policy. The approved changes prioritize projects which assist in implementing Metro active transportation plans and policies, with focus on First/Last Mile. There is continued assistance for successful Call for Projects on a voluntary basis as described in Attachment A.

On April 28th, 2017, Governor Brown signed Senate Bill 1, the Road Repair and Accountability Act of 2017 (SB 1). SB 1 provides an additional \$100 million annually for the ATP. Because of the increased funding opportunity, Metro is expanding its grant assistance efforts. Assistance may be available for up to 35 ATP projects. Should interest exceed grant assistance capacity, priority will be given to project sponsors who can demonstrate resource or technical limitations that would hinder submission of complete and competitive ATP applications. Grant assistance is limited to projects with a need for ATP funds of \$1 million or greater in order to ensure a significant return on investment.

In order to select projects with the best fit with Metro and ATP objectives, Metro invites agencies to complete a Letter of Interest (LOI) by December 14, 2017. Agencies must use the LOI form provided in Attachment B.

Timeline and Requirements of Applicants

Key grant assistance deadlines are presented below.

November 7, 2017	Metro releases LOI solicitation
December 14, 2017	Deadline for LOI submittal to Metro
January 11, 2018	Metro notifies selected project sponsors
February 1, 2018*	Deadline for project sponsors to provide Attachment C materials to Metro and consultants
February 8 to March 22, 2018	Consultants and project sponsors meet
March 26, 2018	ATP Cycle 4 Call for Projects

*Should any project sponsors fail to submit materials by this deadline, their slots may be offered to other sponsors with high-ranking LOIs.

The ATP application process is rigorous, and requires a significant commitment of local jurisdiction effort, even with the assistance of a consultant. Selected project sponsors are expected to provide the materials listed in Attachment C, meet to discuss the project, provide additional materials as necessary, review and comment on two application drafts, and sign the application (including engineer review, stamp, and multiple initials).

Should you have any questions, please contact Shelly Quan at quans@metro.net or (213) 922-3075.

Attachments

Attachment A – Voluntary Call for Projects Grant Assistance

Attachment B – Metro ATP Grant Assistance Letter of Interest Form

Attachment C – Application Information Requirements

Metro Grant ATP Grant Assistance Information Requirements

Upon notification of selection for grant assistance, the project sponsor must provide items 1-5 and, if available, items 6-12 to Metro and our grant assistance consultant by February 1, 2018. All items should be provided in original document format if available.

Should any project sponsors fail to submit materials by this deadline, their slots may be offered to other sponsors with high-ranking LOIs.

Please note that items 13-14 will be required during the application process if not provided earlier.

Required prior to application process:

1. Detailed engineer's cost estimate
2. List of public agencies involved with the project planning, and a summary of engagement activities with other agencies
3. Documentation of public engagement/outreach activities associated with this project
4. Description of the alternatives considered in selecting the project
5. If project has previously been submitted through other similar grant programs, provide the project files for the original application and subsequent project work

If available prior to application process:

6. Photos of existing conditions
7. GIS files related to the project
8. Bicycle/pedestrian counts for the project area
9. Ridership/user projections
10. Conceptual plans or renderings of the project
11. Preliminary plans and maps
12. Web links, electronic copies, or hard copies of approved plans, technical studies, master plans or environmental studies related to or referencing the project

Required during application process if not already provided:

13. For infrastructure projects, project layout plans and/or maps that show:
 - a. Changes to existing motorized/non-motorized lane and shoulder widths
 - b. Agency's right-of-way (ROW) lines when permanent or temporary ROW impacts are possible
 - c. Caltrans', Railroad, and all other government agency ROW lines as appropriate
14. For infrastructure projects, existing and proposed cross sections that show and dimension changes in lane widths, right-of-way lines, side slopes, etc.