



*Kern Council of Governments*

**PROJECT DELIVERY  
POLICIES & PROCEDURES**

***FINAL***

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The Kern Council of Governments is the regional planning agency as well as the technical and informational resource, and ride share administrator for the area's 11 incorporated cities and the County of Kern. Following Board direction, staff coordinates between local, state, and federal agencies to avoid overlap or duplication of programs. This intergovernmental coordination enables staff to work with many public agencies to ensure that planning and implementation of programs proceed in a coordinated manner.

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# PROJECT DELIVERY POLICIES & PROCEDURES

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# CHAPTER 1

## INTRODUCTION

### Purpose and Need

This document provides guidance to local government agencies in Kern County for obtaining transportation program funds administered by the Kern Council of Governments (KCOG). This 2012 update incorporates additional *Kern Regional Blueprint* growth management and **SB 375 Sustainable Communities Strategy (SCS)** framework concepts into the project selection process to:

- Influence local government land use policy by giving priority to transportation projects that reduce vehicle miles traveled (VMT) and/or promote livable communities or transit oriented development (TOD) as applicable;
- Leverage additional funding sources, including new funding sources, by modifying project performance measurement requirements for larger projects to allow them to better compete for state and federal discretionary funds.

These changes are summarized under the heading “What Programs Have Changed?” on the following page.

### Program Guidance Consolidation

This document combines five major funding programs into one document (Chapters 3 through 7), and includes an Implementation Procedures Overview chapter previously titled “Project Delivery Funding Policy Guidance” (Chapter 2). KCOG policies and procedures included in this document are:

- Implementation Procedures Overview - Chapter 2;
- Regional Transportation Improvement Program (RTIP) - Chapter 3;
- Regional Surface Transportation Program (RSTP) - Chapter 4;

- Congestion Mitigation and Air Quality (CMAQ) - Chapter 5;
- ACTIVE TRANSPORTATION PROGRAM (ATP) - Chapter 6; and
- Transportation Development Act (TDA) - Chapter 7.

## Grandfathered Projects

Existing RTIP projects previously funded through KCOG are considered *grandfathered* and remain subject to the policies in place when they were funded. New projects or project phases funded after the adoption of this guidance will be subject to the policies and priorities described in this document.

## What Programs Have Changed?

In response to the passage of SB 375 that requires the implementation of strategies to reduce VMT, KCOG funding programs were examined to determine which of these programs could be modified to give greater priority to projects that support the implementation of SB 375 while remaining consistent with the overall goals of the KCOG Regional Transportation Plan (RTP). The evaluation led to the recommendation to modify two of the five transportation programs included in this document: the RTIP and CMAQ programs. No changes were made to the RSTP, TE and TDA programs.

Performance measures and ranking criteria for the selection of RTIP and CMAQ projects have been changed to give priority to project that reduce VMT and emissions, and promote livability consistent with the KCOG SCS framework. Ranking criteria associated with congestion relief, safety, and sustainability were not removed from the RTIP and CMAQ ranking criteria because these outcomes are consistent with the goals of the adopted RTP. Refer to Chapters 3 and 5 for more details on the new criteria for the RTIP and CMAQ programs respectively.

The RSTP was not modified because this program is the main funding source for local agency road rehabilitation projects in Kern County. Road rehabilitation is consistent with the KCOG RTP sustainability Goal to maintain facilities in a state of good repair. The project selection process for the ATP and TDA non-motorized/transit programs emphasize reduction in VMT and improvement in connectivity.

## Consistency with the KCOG RTP and SB 375

The table on the next page summarizes the consistency between the Kern RTP goals and the performance measures/outcomes of the KCOG funding programs included in this document. The table also demonstrates that all programs include performance measures and outcomes

that give priority to projects that reduce VMT, reduce emissions and improve livability consistent with SB 375. The RTSP program is focused on supporting the important outcome to maintain existing facilities in a state of good repair.

| Funding Programs | KCOG RTP Goals          |                     |                         |                   |                    |        |                                     |                     |
|------------------|-------------------------|---------------------|-------------------------|-------------------|--------------------|--------|-------------------------------------|---------------------|
|                  | SB 375-Related Outcomes |                     |                         | Congestion Relief | Cost-Effectiveness | Safety | Sustainability/State of Good Repair | Economic Well-Being |
|                  | VMT Reduction           | Emissions Reduction | Livability <sup>1</sup> |                   |                    |        |                                     |                     |
| RTIP             | ☐                       | ☐                   | ☐                       | ☐                 | ☐                  | ☐      | ☐                                   | ☐                   |
| RSTP             |                         | ☐                   |                         |                   |                    | ☐      | ☐                                   | ☐                   |
| CMAQ             | ☐                       | ☐                   | ☐                       | ☐                 | ☐                  | ☐      |                                     | ☐                   |
| ATP              | ☐                       | ☐                   | ☐                       | ☐                 |                    | ☐      |                                     |                     |
| TDA              | ☐                       | ☐                   | ☐                       | ☐                 |                    | ☐      | ☐                                   |                     |

☐ = Performance measure included in the project ranking criteria

☐ = Outcomes derived from eligible projects

<sup>1</sup> Livability includes enhancing or reducing the average cost of user mobility through the creation of more convenient transportation options for travelers; improving existing transportation choices by enhancing points of modal connectivity, increasing the number of modes accommodated on existing assets, or reducing congestion on existing modal assets; improving travel between residential areas and commercial centers and jobs; improving accessibility and transportation services for economically disadvantaged populations, non-drivers, senior citizens, and persons with disabilities, or make goods, commodities, and services more readily available to these groups.

The table on the next page illustrates the consistency between the program outcomes from the various KCOG funding programs (listed above) with the KCOG SCS Framework Strategies.

| Outcomes from KCOG Transportation Funding Programs | KCOG SCS Framework Strategies                           |                                |                               |                                    |                          |                                    |                                   |                             |                          |                          |                          |                              |                          |                              |                          |                               |  |                            |  |
|--|---|--------------------------------|-------------------------------|------------------------------------|--------------------------|------------------------------------|-----------------------------------|-----------------------------|--------------------------|--------------------------|--------------------------|------------------------------|--------------------------|------------------------------|--------------------------|-------------------------------|--|----------------------------|--|
|  |   |                                |                               |                                    | Road                     |                                    | Transit                           |                             |                          |                          | Pricing                  |                              |                          |                              | TDM                      |                               |  |                            |  |
|  | Modify Distribution of households, population, and jobs | Rebalance the mix of land uses | Increase the level of density | Improve the pedestrian environment | Add HOV lanes            | Implement ITS / Traffic management | Add general purpose roadway lanes | Construct new transit lines | Increase transit service | Upgrade transit service  | Improve accessibility    | Develop tolls and toll roads | Implement HOT lanes      | Increase the cost of parking | Change in transit fares  | Change in auto operation cost | Promote car/vanpooling, telecommuting/teleconferencing | Promote walking and biking | Implement employer-based trip reduction strategies |
| VMT Reduction                                      | <input type="checkbox"/>                                | <input type="checkbox"/>       | <input type="checkbox"/>      | <input type="checkbox"/>           | <input type="checkbox"/> |                                    |                                   | <input type="checkbox"/>    | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>     | <input type="checkbox"/> | <input type="checkbox"/>     | <input type="checkbox"/> | <input type="checkbox"/>      | <input type="checkbox"/>                               | <input type="checkbox"/>   | <input type="checkbox"/>                           |
| Emissions Reduction                                | <input type="checkbox"/>                                | <input type="checkbox"/>       | <input type="checkbox"/>      | <input type="checkbox"/>           | <input type="checkbox"/> | <input type="checkbox"/>           | <input type="checkbox"/>          | <input type="checkbox"/>    | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>     | <input type="checkbox"/> | <input type="checkbox"/>     | <input type="checkbox"/> | <input type="checkbox"/>      | <input type="checkbox"/>                               | <input type="checkbox"/>   | <input type="checkbox"/>                           |
| Livability   | <input type="checkbox"/>                                | <input type="checkbox"/>       | <input type="checkbox"/>      | <input type="checkbox"/>           | <input type="checkbox"/> | <input type="checkbox"/>           | <input type="checkbox"/>          | <input type="checkbox"/>    | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>     | <input type="checkbox"/> | <input type="checkbox"/>     | <input type="checkbox"/> | <input type="checkbox"/>      | <input type="checkbox"/>                               | <input type="checkbox"/>   | <input type="checkbox"/>                           |
| Congestion Relief                                  | <input type="checkbox"/>                                | <input type="checkbox"/>       | <input type="checkbox"/>      | <input type="checkbox"/>           | <input type="checkbox"/> | <input type="checkbox"/>           | <input type="checkbox"/>          | <input type="checkbox"/>    | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>     | <input type="checkbox"/> | <input type="checkbox"/>     | <input type="checkbox"/> | <input type="checkbox"/>      | <input type="checkbox"/>                               | <input type="checkbox"/>   | <input type="checkbox"/>                           |
| Cost-Effectiveness                                 |   |                                |                               | <input type="checkbox"/>           | <input type="checkbox"/> | <input type="checkbox"/>           | <input type="checkbox"/>          | <input type="checkbox"/>    | <input type="checkbox"/> | <input type="checkbox"/> |                          | <input type="checkbox"/>     |                          |                              |                          | <input type="checkbox"/>      | <input type="checkbox"/>                               | <input type="checkbox"/>   |  |
| Safety   |   |                                | <input type="checkbox"/>      | <input type="checkbox"/>           | <input type="checkbox"/> | <input type="checkbox"/>           | <input type="checkbox"/>          | <input type="checkbox"/>    | <input type="checkbox"/> | <input type="checkbox"/> |                          | <input type="checkbox"/>     |                          | <input type="checkbox"/>     |                          |                               | <input type="checkbox"/>                               | <input type="checkbox"/>   |  |
| State of Good Repair                               | <input type="checkbox"/>                                | <input type="checkbox"/>       | <input type="checkbox"/>      | <input type="checkbox"/>           | <input type="checkbox"/> | <input type="checkbox"/>           | <input type="checkbox"/>          | <input type="checkbox"/>    | <input type="checkbox"/> | <input type="checkbox"/> |                          | <input type="checkbox"/>     | <input type="checkbox"/> | <input type="checkbox"/>     |                          | <input type="checkbox"/>      | <input type="checkbox"/>                               | <input type="checkbox"/>   |  |
| Economic Well-Being                                |   |                                |                               |                                    | <input type="checkbox"/> | <input type="checkbox"/>           | <input type="checkbox"/>          | <input type="checkbox"/>    | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>     | <input type="checkbox"/> | <input type="checkbox"/>     | <input type="checkbox"/> |                               |  |                            |  |

## Freight / Goods Movement

The RTIP is the primary funding source for capital improvements on the state highway system in Kern County. The new RTIP project selection ranking criteria support projects that improve truck traffic *throughput* by giving priority (higher score) to projects that improve the flow of

traffic. Eighty percent (80%) of total possible points are targeted to projects that significantly reduce congestion and increase *velocity*. RTIP project ranking criteria and performance measures that improve travel time and *reliability* of the highway system are:

- Congestion Relief (level of service),
- Safety (accident and fatality rates),
- Cost-effectiveness (congestion and safety benefits in dollars from Cal B/C model),
- Travel-Time Savings (annual average in dollars),
- Vehicle Miles Traveled reduction (annual average).

For additional information on the RTIP project ranking criteria and performance measures, see page 3-9.

## How to Use This Document

Chapter 2 presents the policies and procedures for implementing projects funded through programs described in this document except for TDA. TDA policies and procedures are described in Chapter 7. Project sponsors (project lead agencies) should become familiar with the project delivery procedures and timeframe requirements described in Chapter 2 as they apply to all projects except TDA.

Each chapter begins with a Table of Contents summarizing the content (by headings and subheadings) within each chapter.

All projects are required to have a resolution adopted by the lead agency supporting the project. A sample resolution is included in APPENDIX A.

A description of KCOG funding programs is presented in separate chapters (Chapters 3 through 7). Each chapter presents a detailed description of project eligibility and selection criteria for each respective funding program. Application forms and application instructions are included in APPENDIX B. Please note that there is a separate application form and application instructions for each funding program. Please refer to the table of contents in APPENDIX B, page B-1, to locate the appropriate application form and instructions.





# CHAPTER 2

## IMPLEMENTATION PROCEDURES OVERVIEW

|   |     |
|---|-----|
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### Background

Moving Ahead for Progress in the 21<sup>st</sup> Century Act (MAP-21), signed into law on July 6, 2012, continues both the Regional Surface Transportation Program (RSTP) and Congestion Mitigation Air Quality (CMAQ) programs with the same flexibility to fund road (including road rehabilitation), pedestrian, bicycle and transit projects. MAP-21 provides funding over a two-year period starting October 1, 2012 (FY12-13) and ending September 30, 2014 (FY 13-14). The Transportation Enhancement (TE) program has been eliminated and replaced by the new “Transportation Alternatives” program. The Transportation Alternatives program encompasses other individual programs that have also been eliminated from MAP-21 including Recreational Trails and Safe Routes to Schools.

**Federal Requirements (SAFETEA)** - STP, CMAQ, and Federal Transit Administration (FTA) funds (among other programs) must be obligated within 4 years of apportionment. Funds not obligated are lost to the state.

**State Requirements (AB-1012)** - RSTP and CMAQ funds must be obligated within 3 years of apportionment. Funds not obligated are lost to the region.

**Regional Requirements** - KCOG requires regional deadline requirements, including obligation, award and invoicing deadlines, to expedite project delivery and ensure funds are not lost to the region.

### Project Delivery Policy and Timeline

The RSTP, CMAQ and ATP programs, as well as other federal funds, are subject to regional project delivery policies. These policies are critical to ensure that the region is able to use its federally apportioned transportation funding in a timely manner. By meeting delivery targets, the region is able to maximize its use of federal funding on transportation projects. In addition, if the region is successful in meeting state mandated delivery deadlines, it may be rewarded with more transportation dollars.

State Legislation (AB-1012) established penalties for not delivering RSTP or CMAQ funded projects within certain prescribed deadlines. KCOG, working with its partners, has imposed its own deadlines to ensure funds are not lost to the region. These delivery deadlines at the federal, state and regional levels are outlined below.

KCOG has established these deadlines for funding in the RSTP and CMAQ Programs to ensure timely project delivery against state and federal funding deadlines. This policy establishes rules for enforcing project deadlines for these funds under the MAP-21 transportation authorization act. Key policy elements include:

- Obligation requests shall be submitted to Caltrans Local Assistance by February 1 of the year the funds are programmed in the Federal Transportation Improvement Program (FTIP);
- Funds shall be obligated by March 31 of the year programmed in the FTIP;
- The agency shall execute and return the Program Supplement Agreement (PSA) to Caltrans within 60 days of receiving the PSA from Caltrans;
- Once obligated, funds shall be invoiced against at least once every six months;
- For funds contracted out, a contract shall be awarded within 6 months of obligation;
- Projects shall be closed out within six months of final invoice.

Projects that do not meet these deadlines are subject to review and possible deprogramming by KCOG, or de-obligation by Caltrans/Federal Highway Administration (FHWA). There is no guarantee that funds are available once deprogrammed or de-obligated. The intent of this regional delivery policy is to ensure implementing agencies do not lose any funds because of a deadline and to provide maximum flexibility in solving potential problems in good faith. Figure 2-A on the next page summarizes the reporting procedures for implementation by KCOG staff to monitor and identify projects that fall behind schedule.

Figure 2-A: Project Delivery Timeline

| FFY Oct 1 to Sep 30   | Description of Action Required   |
|---|--|
| <b>FOR PROJECTS NOT YET APPROVED FOR E-76 IN SAME YEAR AS PROGRAMMING YEAR</b>  |  |
| <b>October 1 to January 1</b>   | Project Lead ready to submit Request for Authorization to CT Office of Local Assistance (OLA )   |
| <b>January 1 to January 31</b>  | Lead agency submits Request for Authorization to CT OLA  |
| <b>February 1 to February 30</b>  | Lead agency reports in writing to KCOG / TTAC / TPPC on revised submittal schedule   |
| <b>March 1 to March 31</b>  | Lead agency to receive authorization to proceed (E-76) from Caltrans OLA   |
| <b>March 1 to March 31</b>  | KCOG develops and submits action plan to project delivery team and KCOG Board  |
| <b>April 1 to June 30</b>   | KCOG Project Delivery Team to follow up on delivery commitments and agree on action plan for Board consideration including the acceleration of other programmed projects and replacement proposals |
| <p><i><b>Important Note:</b> Formal FTIP amendments are no longer available at predictable points in time due to air quality conformity requirements and federal financial constraint programming limitations. Project replacement solutions involving formal amendments require more time than what remains in a given federal fiscal year. Projects proposed for acceleration should rely on the “Expedited Project Selection Procedure” process, already in place, which allows for project delivery within the federal triennial element of the FTIP.</i></p> |  |
| <b>FOR PROJECTS WITH APPROVED E-76 BUT NO CONTRACT AWARDED WITHIN 90-DAY PERIOD FOLLOWING E-76</b>  |  |
| <b>No Activity for 6 mo.</b>  | Agency Letter to Caltrans Office of Local Assistance and copy to KCOG  |
| <b>No Activity for 12 mo.</b>   | Subject to Caltrans inactive Invoice Review and Action   |
| <b>No response beyond 12 mo.</b>  | Subject to FHWA de-obligation after 12 months of inactivity  |
| <b>FOR PROJECTS WITH APPROVED E-76, AWARDED, STARTED BUT NO INVOICING ACTIVITY FOR MORE THAN 6 MONTHS</b>   |  |
| <b>No Activity for 6 mo.</b>  | Lead Agency letter to Caltrans Office of Local Assistance and copy to KCOG   |
| <b>No Activity for 12 mo.</b>   | Subject to Caltrans inactive Invoice Review and Action   |
| <b>No activity beyond 12 mo.</b>  | Subject to FHWA de-obligation after 12 months of inactivity  |
| <b>FOR PROJECTS WITH APPROVED E-76, CONTRACT AWARDED, WORK COMPLETED - BUT NO FINAL REPORT</b>  |  |
| <b>No Activity for 3 mos. or more</b>   | Agency Letter to KCOG  |
| <p><i><b>Important Note:</b> The final report phase is necessary to close out the reimbursement account. Non-compliance to comply with final report deadlines may result in the state requesting full reimbursement for the obligated phase. Funding already encumbered would be lost both to the region and to the state.</i></p>  |  |
| <b>FOR PROJECTS REQUIRING CTC ALLOCATION VOTES</b>  |  |
| <p>This process must occur in same year as programmed – Projects using RIP, IIP or TE are subject to CTC allocation votes as outlined in the CTC approved STIP Guidelines. TE projects are included in this category. Procedures above should include the additional reporting to both KCOG and the CTC as specified below.</p>   |  |
| <b>No CTC vote request by March 1</b>   | Submit request for extension   |
| <b>No contract award for 6 mos.</b>   | Submit request for extension   |
| <b>POST - FTIP ADJUSTMENTS –PROJECTS WITH UNUSED PROGRAMMING OR IN NEED OF ADDITIONAL REIMBURSEMENT</b>   |  |
| <p>All post FTIP adjustments are at the discretion of the Caltrans Office of Local Assistance or Federal Transit Administration.</p>  |  |
| <p>First priority for post FTIP adjustments –The implementing agency should first try to use or manage variations in cost.</p>  |  |
| <p>Second priority for post FTIP adjustments – Notify TTAC members and project delivery staff of availability of obligation authority from an encumbered project ready for final invoicing and project closeout.</p>  |  |
| <p>All post FTIP adjustments are subject to procedural limitations set by the Caltrans Office of Local Assistance, Federal Transit Administration and the Federal Highways Administration.</p>  |  |

## Implementation Procedures

KCOG staff regularly reports to the Transportation Technical Advisory Committee (TTAC) and Transportation Planning and Policy Committee (TPPC) on an annual basis of project delivery status for all projects identified in the Federal Transportation Improvement Program. Communication of project status requires the active participation of project managers and KCOG staff on a regular basis. In order to effectively administrate this project delivery policy, there is a need to gather project delivery information on a quarterly or possibly a monthly (ongoing) basis. To that end, KCOG staff shall develop a database application that supports a checklist and date completed database for all active federal-aid projects. This database will house analysis data; deadline information for use in comparing target dates to actual dates indicated for project delivery accomplishments. Should there be ongoing issues with the advancement of a project, KCOG staff will advise the TTAC and the TPPC of the issues surrounding project delays, require additional written information on the status and commitments from the implementing agency and whether there is an opportunity to redirect programming to another project. Directing the attention of the TTAC and TPPC to projects that have fallen behind will increase lead agency accountability and improve project delivery countywide.

## General Policy

KCOG has established deadlines for funding in the RSTP, CMAQ, Active Transportation Program (ATP) and other federal-aid transportation programs to ensure timely project delivery against state and federal funding deadlines. This document establishes a regional policy for enforcing project funding deadlines and project substitutions for these state and federal funds.

Projects in each federal-aid program are chosen based on eligibility, project merit, and deliverability within the established deadlines. It is the responsibility of the implementing agency at the time of programming, to ensure that regional deadlines and provisions of the project delivery policy can be met. KCOG staff will actively monitor and report the obligation status of projects to the TTAC and TPPC. KCOG staff will monitor project delivery and report issues as they arise and make recommendations to the TTAC and TPPC as necessary.

KCOG and the implementing agency or partnering agencies may determine that circumstances may justify changes to project programming as reflected in the currently approved TIP. These revisions, or amendments, are not routine. KCOG staff reviews all amendment proposals before the KCOG Board considers any formal actions on program amendments. All changes must follow KCOG's Public Involvement Process and Federal Air Quality Procedures and Conformity Protocol. Changes must be consistent with the Regional Transportation Plan (RTP), must not adversely affect the expeditious implementation of Transportation Control Measures (TCMs),

must not negatively impact the deliverability of other projects in the regional programs, and must not affect the conformity finding in the FTIP.

In selecting projects to receive redirected funding, the KCOG Board may use existing lists of projects that did not receive funding in past programming exercises, or direct the funds to agencies with proven on-time project delivery, or could identify other projects with merit to receive the funding, or retain the funding for future programming cycles. The KCOG Board will make final decisions regarding the reprogramming of available funds based on KCOG staff recommendations, or the recommendation of the Executive Director or the recommendations of the TTAC.

### ***Project Cost Savings/Reductions in Scope/Project Failures***

From time to time projects may be completed at a lower cost than anticipated, or have a minor reduction in scope resulting in a lower project cost, or may not proceed to implementation. In such circumstances, the implementing agency shall notify KCOG and Caltrans within a timely manner, that the funds resulting from these 'project savings' will not be used. Project savings accrued prior to the established obligation deadline are available for redirection within the program of origin. Savings within the formula based programs, such as county guaranteed funding returned to counties based on a population share, shall be available for redirection by KCOG within the formula program. For all programs, the projects using the redirected savings prior to the obligation deadline must still obligate the funds within the original deadline. Project savings or unused funding realized after the obligation deadline return to KCOG. Any funds that have been obligated but remain unused will be de-obligated from the project and returned to the KCOG Board for redirection.

### ***Project Advances***

Obligations for funds advanced from future years of the FTIP will be permitted only upon the availability of surplus Obligation Authority (OA) and State Budget Authority (SBA) in a particular year, with current programmed projects that have met the delivery deadlines having priority for OA in a given year. Advanced obligations will be based on the availability of OA and will only be considered between May 1 and August 15 of each year. Obligation requests for surplus OA funds must be submitted no later than June 30; however, requests submitted by May 1<sup>st</sup> have a better chance of being obligated. Implementing agencies wishing to advance projects may instead request Advance Construction (AC) authorization from Caltrans (or pre-award authority from the FTA) to proceed with the project using local funds until OA becomes available.

### ***Specific Policy Provisions***

Projects selected to receive RSTP or CMAQ funding must have a demonstrated ability to use the funds within the established regional, state and federal deadlines. This criterion will be used for selecting projects for funding, and for placement of funding in a particular year of the FTIP. It is

the responsibility of the implementing agency to ensure the funds can be used within the established regional, state and federal deadlines and that the provisions of the regional delivery policy can be met. It is also the responsibility of the implementing agency to continuously monitor the progress of the programmed funds against regional, state and federal deadlines, and to report any potential difficulties in meeting these deadlines, (or difficulties in meeting the provisions of the regional delivery policy) to KCOG, Caltrans and partnering agencies within a timely manner, to seek solutions to potential problems well in advance of potential delivery failure or permanent loss of funding. Specific provisions of the Project Delivery Policies and Procedures are as follow:

- **Funds to be Obligated/Transferred in the Fiscal Year Programmed in the FTIP:** RSTP and CMAQ funds are to be programmed, up to the apportionment level for that fiscal year, in the FTIP within the fiscal year in which the funds are to be obligated by FHWA or transferred to FTA, similar to the programming of the State Transportation Improvement Program (STIP.) This will improve the overall management of federal OA within the region and improve the likelihood that OA and SBA will be available for projects that are programmed in a particular fiscal year.
- **Field Reviews:** Implementing agencies are required to request a field review within 6 months of KCOG's approval of the project in the FTIP for federal-aid projects receiving funding through the RSTP and CMAQ programs that are subject to AB-1012 or regional obligation deadlines. This policy also applies to federal-aid projects in the STIP. The requirement does not apply to projects for which a field review would not be applicable (such as FTA transfers, regional customer service projects and planning activities). Failure for an implementing agency to make a good-faith effort in scheduling and/or obtaining a field review from Caltrans Local Assistance within six months of programming into the FTIP may result in the funding being subject to reprogramming.
- **Complete Environmental Submittal to Caltrans 12 months prior to Obligation Deadline:** Implementing agencies are required to submit a complete environmental package to Caltrans for all projects (except those determined Programmatic Categorical Exemption as determined by Caltrans at the field review), twelve months prior to the obligation deadline for right of way or construction funds. This policy creates a more realistic time frame for projects to progress from the field review through the environmental and design process, to the right of way or construction phase. If the environmental process, as determined at the field review, will take longer than 12 months before obligation, the implementing agency is responsible for delivering the complete environmental submittal in a timely manner. Failure to comply with this provision could result in the funding being subject to reprogramming. The requirement does not apply to FTA transfers, regional customer service projects or planning activities.
- **Obligation/Submittal Deadlines:** Projects selected to receive RSTP, CMAQ and ATP funding must demonstrate their ability to obligate programmed funds by the established obligation deadline. Implementing agencies are responsible for delivering projects in the programming

year of the TIP based on their original year requested. The implementing agency is responsible for meeting benchmark delivery deadlines.

Within KCOG-administered programs, implementing agencies may adjust programming up until April 1<sup>st</sup> of the programmed year, swapping funds to a ready project in order to utilize all of the programming capacity, subject to available OA. The substituted project(s) must still obligate the funds within the original funding deadline.

RSTP, CMAQ and ATP funds programmed in the FTIP are subject to an obligation/FTA transfer deadline of June 30 of the programmed fiscal year. Implementing agencies are required to submit the complete request for obligation or FTA transfer to Caltrans Local Assistance by April 1 of the fiscal year programmed in the FTIP, and receive an obligation/FTA transfer of the funds by June 30 the fiscal year programmed in the FTIP.

**February 1 - Regional Submittal Deadline:** Complete package submittals received by February 1 of the fiscal year programmed in the FTIP will receive first priority for obligations against available OA.

**February 2 - April 30:** Projects submitted during this timeframe are subject to deprogramming. If OA is still available, these projects may receive OA if obligated by April 30. If OA is limited, these projects would compete for OA with projects advanced from the following fiscal year on a first come-first serve basis. Projects with funds to be advanced from future years must request the advance prior to April 30, in order to receive the funds within that federal fiscal year.

**April 30 - Regional Obligation Deadline:** Funds not obligated (or transferred to FTA) by April 30 of the fiscal year programmed in the FTIP will be returned to KCOG for reprogramming. No extensions of this deadline will be granted. Projects seeking advanced obligations against funds from future years, must request the advance prior to April 30, in order to receive the funds within that federal fiscal year. The obligation deadline may not be extended. The funds must be obligated by the established deadline or they will be de-programmed from the project and redirected by KCOG to a project that can use the funds in a timely manner.

### ***Encumbrance/Liquidation/Project Close-Out Deadlines***

RSTP, CMAQ and ATP funds must be encumbered by an approved State funding agreement within one state fiscal year after the fiscal year of obligation. Furthermore, the funds must be fully liquidated (expended, invoiced and reimbursed), within four state fiscal years after the fiscal year in which the funds were obligated, and the project must be accepted and closed out within five state fiscal years after the fiscal year in which the funds were obligated. The provisions listed below are required in order to ensure no funds are lost after obligation. Failure to meet these requirements will result in the potential loss of funding for reimbursement of incurred project costs.

- Funds must be encumbered within one state fiscal year following the fiscal year in which the funds were obligated (encumbrance is approval of a funding agreement with the state). This requirement does not apply to FTA transfers.
- Construction/Equipment Purchase contract must be awarded within six months following the fiscal year in which the construction funds were obligated (this requirement does not apply to FTA transfers).
- Funds must be liquidated (expended, invoiced and reimbursed) within four state fiscal years following the fiscal year in which the funds were obligated (this requirement does not apply to FTA transfers).
- Project must be accepted and closed out within six months of the last expenditure, or within five state fiscal years following the fiscal year in which the funds were obligated, whichever occurs first (this requirement does not apply to FTA transfers).
- For FTA projects, funds must be approved/awarded in an FTA Grant within one state fiscal year following the fiscal year in which the funds were transferred to FTA.

Funds that miss the encumbrance, liquidation/project close out deadlines are subject to de-obligation if not re-appropriated by the State Legislature, or extended (for one year) in a Cooperative Work Agreement (CWA) with the California Department of Finance.

### ***Inactive Projects***

Most projects can be completed well within the state's seven-year deadline for project closeout. Yet it is viewed negatively by both FHWA and the California Department of Finance for projects to remain inactive for more than 12 months. It is expected that funds for completed phases will be invoiced within a reasonable time of completion of work for the phase, and projects will be closed out within a reasonable time following project completion. Implementing agencies that have projects that have not been closed out within 6 months of final expenditure, or have projects that remain inactive for more than 12 months, regardless of federal fund source, will have future OA limited for subsequent projects, and/or have restrictions on future programming.

The intent of this regional delivery policy is to ensure implementing agencies do not lose any funds due to missing a federal or state funding deadline, while providing maximum flexibility in delivering transportation projects. KCOG has purposefully established regional deadlines in advance of state deadlines, to provide the opportunity for implementing agencies, Caltrans, other partnering agencies and KCOG to solve potential problems and bring the project back on-line in advance of losing funding due to a missed state deadline. Although the policy is limited to the RSTP and CMAQ funds managed by KCOG, the state deadlines cited apply to all federal-aid funds administered by the state. Implementing agencies should pay close attention to the deadlines of other state and federal funds on their projects so as not to miss any other applicable funding deadlines.



# CHAPTER 3

## Regional Transportation Improvement Program (RTIP)

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### Background

The purpose of this chapter is to provide guidance in the development of a program of projects for inclusion in the State Transportation Improvement Program (STIP) by way of the Regional Transportation Improvement Program (RTIP). The following time line summarizes the project development process from the Regional Transportation Plan (RTP) to the Federal Transportation Improvement Program (FTIP). The RTIP is the required state funding document developed and adopted by KCOG acting as the state appointed Regional Transportation Planning Agency. The RTIP is submitted to the California Transportation Commission (CTC) for inclusion in the STIP. Upon approval by the CTC, the program of projects in the RTIP is included in the FTIP. KCOG, acting as the federally appointed Metropolitan Planning Organization for Kern County, develops the FTIP. CTC approval of the RTIP is subject to the CTC STIP Guidelines.

Policy and procedural documentation in this report provides the necessary continuity for project development as they proceed over multiple fiscal cycles. The process is separated in

two parts, development of the RTIP document for submittal to the state, and the technical update of the program of projects not yet funded. Most of the projects submitted in the RTIP are highway capacity projects and the majority of this document consists of information related to the prioritization and delivery of these projects.

### **Air Quality Issues**

The federal Clean Air Act Amendments (CAAA) of 1990, require that transportation improvement programs conform to applicable portions of the State Implementation Plan for air quality. Section 176(c) requires that air quality be given priority in program implementation. In non-attainment and maintenance areas, the Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) must be able to find that the FTIP conforms to the adopted State Implementation Plan (SIP) and that priority has been given to timely implementation of the transportation control measures found in the SIP. The projects in the FTIP should not further exacerbate the existing air quality problems. KCOG provides a conformity determination documenting that local air planning issues and programs demonstrate transportation control measures have been identified through a legitimate planning process; that these measures have received the necessary federal, state, and local commitment to ensure implementation; and that these commitments are being maintained through identification in the RTP and the necessary programming of funds in the FTIP.

### **Development Process and Timeline**

Acting in the capacity as the federally designated Metropolitan Planning Organization and the state-designated Regional Transportation Planning Agency, KCOG shall perform several functions in deciding how funding will be allocated.

Specifically:

- KCOG shall first issue a “Call for Projects” announcement to the member agencies at the Transportation Technical Advisory Committee (TTAC) meeting and the Transportation Planning Policy Committee (TPPC) meeting. An application form and instructions giving specific information regarding what type of projects are eligible and application process information are distributed. Eligible applicants are organizations that have the ability to accept and account for federal and state funding. There is a date established as to when the applications must be returned to KCOG.
- KCOG staff shall first evaluate the applications and provide an initial ranking of projects. KCOG shall create a subcommittee of TTAC volunteers to review and comment on submitted applications and initial ranking of projects. The subcommittee shall be given the opportunity to ask questions of KCOG staff and project sponsors during the meeting to obtain clarification and discuss the merits of each application. Subcommittee members are

not allowed to rank their own agency-nominated projects.

- KCOG staff shall prepare a staff report detailing the findings of the subcommittee and suggesting the recommended course of action to the TTAC. Upon recommendation of the TTAC, the projects proposed for funding are forwarded to the TPPC. Upon the approval of the TPPC the matter is then referred to KCOG for approval. This action financially constrains new projects to available regional funding levels, and allows KCOG to program a list of financially constrained projects in transportation improvement program documents.
- Eligibility and programming of projects are subject to the adopted STIP Guidelines that are adopted biennially by the CTC. Eligibility of all projects is also subject to state and federal review.
- After the federal and state approval of the amended transportation improvement program documents, the lead agencies may request authorization to proceed with design for the project (design is an eligible expense). The draft design of the project must be reviewed by the Department of Transportation (Caltrans) and a final plan is developed incorporating the comments and suggestions resulting from the review.
- After the final design plan is approved by Caltrans, the lead agency may then request authorization to proceed for project construction. After the authorization is received, the lead agency may then proceed with construction. In most cases, the project is “cost reimbursable”, meaning that the lead agency must initially finance the project (i.e. buy supplies, pay contractors) and then submit the expenses to Caltrans for reimbursement, upon approval of expenditures.
- When the project is completed, a Notice of Completion is filed with Caltrans. The project is field checked by staff and instructions to issue final payment are issued.
- These policies and procedures may be revised, updated, or otherwise modified at the discretion of the KCOG Board of Directors and through state and federal guidance.

Because RTIP funds usually include federal funds, project sponsors must follow federal funding guidelines and environmental (NEPA and CEQA) processes. All projects must have an approved Project Study Report prior to programming.

Development of the RTIP requires careful development of project information prior to selecting candidate projects for funding. The timeline and the process summarized in Figure 3-A on the next page provides an overview of the project selection and delivery process from introducing a project into the RTP to developing cost estimates, ranking, integration into the RTP Capital Improvement Program and final nomination for actual funding in the RTIP.

The following bullets provide a summarized overview to move a project from the planning phase into the funding phase of the RTIP.

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- Develop purpose and need statements for all candidate projects. The purpose and need statement should include technical information such as accident data, level of service analysis and preliminary cost estimates. The technical data is used to prioritize projects.
- All candidate projects are then integrated into the Capital Improvement Program of the RTP. The best available data for any project should be used in estimating total costs for that project.
- Once a candidate project is incorporated into the RTP and modeled for air quality conformity analysis, that project may be nominated for funding in the RTIP. When the RTIP is approved by the state, the projects are then incorporated into the FTIP.

**Figure 3-A: RTIP Development Process**

| Phase/Benchmark                        | Start   | Finish    | Year          |
|--|---------|-----------|---------------|
| Project List Update/Call for Projects  | July    | December  | Even Year One |
| Update CIP for RTP                     | July    | December  | Even Year One |
| Data Development                       | January | May       | Even Year One |
| 30-day TTAC/TPPC Review                | October | December  | Even Year One |
| Request TTAC review/TPPC list approval | October | December  | Even Year One |
| Air Quality Analysis                   | April   | August    | Odd Year      |
| RTIP Development                       | July    | December  | Odd Year      |
| RTP Document                           | June    | July      | Odd/Even Year |
| New Candidate Projects                 | January | May       | Odd Year      |
| Draft RTIP                             | June    | September | Odd Year      |
| Final RTIP                             | October | December  | Odd Year      |
| Develop FTIP                           | January | November  | Even Year Two |

## Regional Priorities and Equity Guidance

The following shall guide the KCOG during the development of the RTIP. This policy was originally adopted by the KCOG Board of Directors on April 28, 1998, and revised on November 18, 1999, March 21, 2002, September 19, 2002, January 15, 2004, and with this update in 2012. The bullets below mainly address funding equity issues and funding in the Metropolitan Bakersfield area and the remaining county areas. Bullet F addresses the special provision for Route 46.

- A. That 60% of the Regional Improvement Program (RIP) funding be programmed for the metropolitan Bakersfield area. Projects submitted by the City of Bakersfield and Kern County would be ranked on technical criteria adopted by the Kern Council of Governments Board of Directors.
- B. That 40% of the RIP funding be allocated to transportation projects outside the metropolitan Bakersfield area. These projects would be ranked on technical criteria adopted

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by the Kern Council of Governments Board of Directors.

- C. If, during any two-year funding cycle when a project is not ready to proceed, funds may be reserved for a future RTIP funding cycle or advanced to another project, if a metropolitan Bakersfield area project is not ready to advance, the funds could be used outside the metropolitan area. If a project outside the metropolitan area is not ready to proceed, the funds may be reserved for the delayed project or advanced to a metropolitan Bakersfield area project.
- D. KCOG and its Partners should pursue funding opportunities available from the Interregional Improvement Program (IIP) and/or other funding sources to fund transportation projects identified in the RTP. Any IIP or other special funding would not count either for or against the 60/40-balance between the metropolitan Bakersfield area and the remaining areas of the county. The 60/40-balance between the metropolitan Bakersfield area and the remaining areas of the county shall be the guiding factor.
- E. The metropolitan Bakersfield area shall be defined as that area identified in the Greater Bakersfield Vision 2020 General Plan adopted January 2001, as amended, except that the northern boundary of the metropolitan Bakersfield areas shall be the future south right-of-way line of Seventh Standard Road.
- F. Special Provisions for Route 46: KCOG has recognized special circumstances associated with Route 46 from the San Luis Obispo County line to Interstate 5. This portion of Route 46 has been divided into segments by Caltrans for project approval, environmental and construction purposes. KCOG considers improvements to these segments of Route 46 a priority and the following special provisions are adopted by the KCOG Board of Directors, November 18, 1999, in recognition of that priority and the aforementioned circumstances.
  - 1. KCOG will commit one year of RIP funds, up to a maximum of \$45 million, for Route 46 from the San Luis Obispo County line to Interstate 5. Funds are to be made available to leverage IIP funds. Under no circumstances is it KCOG's intention to commit RIP funds in excess of 50% of the cost of improvements to the identified segments of Route 46.
  - 2. KCOG shall commit and make available RIP funds for Route 46, to be programmed in the RTIP/FTIP, at such time that the segments, or any portion thereof, can legally move forward, and such time that the CTC can consider and legally obligate IIP funds for the Route 46. Funds shall only be obligated in a partnership with the state and will be made available beginning with the 2002 RTIP/FTIP, provided the project is legally in a position to move forward.
  - 3. KCOG will work closely with Caltrans to complete the required Project Study Reports (PSR) for Route 46 prior to July 2000. The actual improvements to Route 46 to be

determined by the approved PSR.

4. The RIP funds committed to Route 46 will be made available by all projects in the RTIP/FTIP allowing a maximum one-year delay on all scheduled projects. (All projects would give way for one year to provide a maximum of \$45 million for Route 46).
5. In the event that unanticipated eligible funds become available for highway projects, those funds shall be used to advance projects that have been delayed.
6. No project shall be delayed if it is ready to proceed and a Route 46 project is not ready to move forward.
7. All parties agree to the revised project list, including the movement of Route 46 into a position of funding. Future additional projects will not be considered if additions to the adopted priority list jeopardize existing priority projects consistent with the provisions contained herein.
8. The funding agreements adopted by the KCOG Board of Directors in May 1998, that identify a funding program for RIP and IIP funds through the 2012 TIP funding cycle, will require amendment and be extended to provide funding through the 2014 TIP funding cycle. The amendment to this agreement is necessary to provide adequate funding for those projects currently anticipated to be implemented in the 2012 cycle to be slipped as a result of funding the Route 46 project.

## Requirements for Capital Improvement Projects

### *Project Study Reports*

According to the CTC STIP Guidelines “a new project may not be included in either an RTIP or the ITIP without a complete project study report (PSR) or, for a project that is not on a State highway, a PSR equivalent.” This requirement applies to the programming of project development components as well as to right-of-way and construction. This requirement does not apply to the programming of project planning, programming, and monitoring. A PSR is a report that meets the standards of the CTC’s PSR guidelines. For a Traffic Congestion Relief (TCR) Program project, a TCR program application is a PSR for the phases of work included in the application. For Transportation Enhancement (TE) projects, an application prepared in accordance with the CTC’s TE program guidelines is a PSR equivalent. For a transit project, the CTC’s Uniform Transit Application is a PSR equivalent. A project study report equivalent will, at a minimum, be adequate to define and justify the project scope, cost and schedule to the satisfaction of KCOG. Though a 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.

### ***Environmental Only Projects***

The following guidance should be considered when introducing “Environmental Only” projects. The goal of introducing environmental only projects into the RTIP is that the region is prepared for future funding cycles above and beyond what is normally anticipated. The danger however is to introduce too many environmental only projects that become outdated because funding is not available in future cycles to implement R/W and construction phases of those projects. Therefore, environmental only projects should be introduced when it can be reasonably demonstrated that there will be available funding in future cycles to advance the construction phase. If increases to the County Share are offered by the state highway program, existing projects may be advanced, accelerating the opportunity for new project phases to be introduced. Staff should make recommendations to the technical Committee and policy Board when introducing new “Environmental Only” projects based on an updated cash flow analysis.

### ***Completion of Environmental Process***

The CTC may program funding for project right-of-way or construction only if it finds that the sponsoring agency will complete the environmental process and can proceed with right-of-way acquisition or construction within the five-year period of the STIP. As outlined in the CTC STIP Guidelines and in compliance with Section 21150 of the Public Resources Code, KCOG may not allocate funds to local agencies for design, right-of-way, or construction prior to documentation of environmental clearance under the California Environmental Quality Act.

### ***Project Ranking***

The following guidance focuses on sources used for data collection and formula calculations. These baseline recommendations are established to promote a level ranking process. Also, by providing this technical support, the initial project development process should produce more accurate cost estimates and properly ranked projects. Accurate cost estimates are vital when there are more projects than available funding to build them. Figure 3-C on the next page presents common types of engineering data used to develop technical data in the ranking criteria.

**Figure 3-C: Data Collection Summary**

|                     | Direct Input Items   | Calculated Fields   |
|---------------------|--|---|
| VMT Reduction       | The KCOG model will be used to calculate VMT reduction.  | VMT Reduction.  |
| Emissions Reduction | The KCOG model will be used to calculate VMT reduction.  | PM <sub>10</sub> reduction or increase;<br>VOC + NO <sub>x</sub> +PM <sub>2.5</sub> +CO (precursors of CO <sub>2</sub> ) reduction or increase. |
| Livability          | Cost of user mobility (before project);<br>Cost of user mobility (after project)   | Change in the cost of user mobility;  |
| Congestion Relief   | Highway LOS (before project);<br>Highway LOS (after project);<br>Bikeway LOS (before project);<br>Bikeway LOS (after project);<br>Pedestrian LOS (before project);<br>Pedestrian LOS (after project)   | Highway LOS<br>Bikeway LOS (if applicable)<br>Pedestrian LOS (if applicable)  |
| Travel Time Savings | Data is produced from the Benefit-Cost Analysis (BCA) (see Cost-Effectiveness below)   | Travel Time Savings   |
| Safety              | Number of accidents over a 3-year period;<br>Number of fatalities over a 3-year period;<br>AADT;<br>Project length in miles  | Accident Rate (per million VMT);<br>Fatality Rate (per million VMT)   |
| Cost-Effectiveness  | Cal-B/C Model inputs:<br>AADT (Year 1);<br>AADT (Year 20);<br>Number of general purpose and HOV lanes (before project);<br>Number of general purpose and HOV lanes (after project);<br>Number of accidents over a 3-year period;<br>Number of fatalities over a 3-year period;<br>Number of injuries over a 3-year period; | BCA Ratio;<br>Vehicle Operating Cost Savings  |

## Ranking Criteria and Point System

The Project Evaluation Criteria are measures of a project’s expected performance and impacts. Projects are ranked based on these criteria. The ranking criteria summarized in Figure 3-D and Figure 3-E below comprises the evaluation criteria used in the RTIP ranking process.

**Figure 3-D: Ranking Criteria and Point System Summary**

| Screening Criteria  | YES / NO  |
|---|---|
| Is the proposed project identified in one of the following planning documents? 1) Local circulation plan, 2) Regional Transportation Plan, or 3) state planning document. | <i>The project is not eligible if the answer is no.</i> |
| General Criteria  | 100   |
| VMT Reduction*  | 5   |
| Emissions Reduction*  | 10  |
| Livability*   | 10  |
| Congestion Relief/Productivity (LOS)*   | 25  |
| Safety  | 25  |
| Cost-Effectiveness (Benefit Cost Analysis B/C Ratio)  | 20  |
| Travel Time Savings <sup>1</sup>  | 5   |
|   | <b>100 Points</b>                                       |

<sup>1</sup>Output from the Benefit Cost Analysis; \*Kern COG SCS-related metrics.

**Figure 3-E: RTIP Performance Measures and Ranking Criteria Detail**

| General Criteria   |        |
|--|--------|
| <b><u>VMT Reduction</u></b>  |        |
| The KCOG Model will be used to calculate the reduction in vehicle miles traveled (VMT) resulting from the project. |        |
| Ranking Criteria (projects are ranked relative to all other projects competing for funds)                          | Points |
| Top 1/5 <sup>th</sup> (81% - 100%)   | 5      |
| 61% - 80%  | 4      |
| 41% - 60%  | 3      |
| 21% - 40%  | 2      |
| Bottom 1/5 <sup>th</sup> (1% - 20%)  | 1      |
| No reduction   | 0      |
| <u>(continues through page 3-13)</u>   |        |

**Emissions Reduction**

The KCOG Model will be used to calculate the reduction in vehicle emissions resulting from the project (KCOG Model emission rates are consistent with CARB’s EMFAC Emission Rates).

Note: projects are ranked relative to all other projects competing for funds.

| Pollutant  | Emissions Reduction Ranking Criteria <sup>a</sup> |
|--|---|
| PM <sub>10</sub><br>(in kg/yr)                           | Top 1/5 <sup>th</sup> (81% - 100%) = 5            |
|  | 61% - 80% = 4                                     |
|  | 41% - 60% = 3                                     |
|  | 21% - 40% = 2                                     |
|  | Bottom 1/5 <sup>th</sup> (1% - 20%) = 1           |
|  | No reduction = 0                                  |
| VOC+NO <sub>x</sub> +PM <sub>2.5</sub> +CO<br>(in kg/yr) | Top 1/5 <sup>th</sup> (81% - 100%) = 5            |
|  | 61% - 80% = 4                                     |
|  | 41% - 60% = 3                                     |
|  | 21% - 40% = 2                                     |
|  | Bottom 1/5 <sup>th</sup> (1% - 20%) = 1           |
|  | No reduction = 0                                  |
|  | <b>Max Points = 10</b>                            |

<sup>a</sup> Applied equally to projects in all air basins.

<sup>b</sup> Climate change pollutant.

**Livability**

Describe whether and how the project provides the four listed benefits (provide no more than a half page response for each benefit): (1) Will enhance or reduce the average cost of user mobility through the creation of more convenient transportation options for travelers; (2) Will improve existing transportation choices by enhancing points of modal connectivity, increasing the number of modes accommodated on existing assets, or reducing congestion on existing modal assets; (3) Will improve travel between residential areas and commercial centers and jobs; (4) Will improve accessibility and transportation services for economically disadvantaged populations, non-drivers, senior citizens, and persons with disabilities, or make goods, commodities, and services more readily available to these groups.

|  | Ranking Criteria                                 | Points |
|--|--|--------|
|  | Project provides all four of the listed benefits | 10     |
|  | Project provides three of the listed benefits    | 7      |
|  | Project provides two of the listed benefits      | 4      |
|  | Project provides one of the listed benefits      | 1      |

**Congestion Relief**

Provide peak period Level of Service (LOS) for intersection(s) and/or road segments within the project limits for existing conditions (Before LOS) and estimated LOS after project completion (After LOS). If applicable, provide Bikeway and/or Pedestrian LOS. If LOS varies within the project limits, provide a weighted average. LOS should be calculated using methods consistent with the Highway Capacity Manual available at <http://www.trb.org/Main/Blurbs/164718.aspx>. Ranking criteria is summarized in the tables below.

**Chapter 3: Regional Transportation Improvement Program (RTIP)**

**Highways**

(where bicycles and pedestrians are prohibited)

Points are awarded to projects based on the change in LOS before and after project completion using the table below.

|                |   | After LOS Hwy |    |    |    |   |   |
|----------------|---|---------------|----|----|----|---|---|
|                |   | A             | B  | C  | D  | E | F |
| Before LOS Hwy | A | 0             | 0  | 0  | 0  | 0 | 0 |
|                | B | 5             | 0  | 0  | 0  | 0 | 0 |
|                | C | 10            | 5  | 0  | 0  | 0 | 0 |
|                | D | 15            | 10 | 5  | 0  | 0 | 0 |
|                | E | 20            | 15 | 10 | 5  | 0 | 0 |
|                | F | 25            | 20 | 15 | 10 | 5 | 0 |

Max Points = 25

**OR**

**Highways & Bicycle Lanes**

(when bicycles are allowed on the highway but pedestrians are prohibited)

Points are awarded to projects based on the change in LOS before and after project completion using the two tables below for highway and bikeway facilities.

|                |   | After LOS Hwy |    |    |   |   |   |
|----------------|---|---------------|----|----|---|---|---|
|                |   | A             | B  | C  | D | E | F |
| Before LOS Hwy | A | 0             | 0  | 0  | 0 | 0 | 0 |
|                | B | 4             | 0  | 0  | 0 | 0 | 0 |
|                | C | 8             | 4  | 0  | 0 | 0 | 0 |
|                | D | 12            | 8  | 4  | 0 | 0 | 0 |
|                | E | 16            | 12 | 8  | 4 | 0 | 0 |
|                | F | 20            | 16 | 12 | 8 | 4 | 0 |

Plus Bikeway LOS:

|                    |   | After LOS Bikeway |   |   |   |   |   |
|--------------------|---|-------------------|---|---|---|---|---|
|                    |   | A                 | B | C | D | E | F |
| Before LOS Bikeway | A | 0                 | 0 | 0 | 0 | 0 | 0 |
|                    | B | 1                 | 0 | 0 | 0 | 0 | 0 |
|                    | C | 2                 | 1 | 0 | 0 | 0 | 0 |
|                    | D | 3                 | 2 | 1 | 0 | 0 | 0 |
|                    | E | 4                 | 3 | 2 | 1 | 0 | 0 |
|                    | F | 5                 | 4 | 3 | 2 | 1 | 0 |

Max Points Highway LOS (20 Points) + Bikeway LOS (5 Points) = 25

OR

**Highways, Bicycle Lanes and Pedestrian Facilities**  
 (when bicycles and pedestrians are allowed on the highway)

Points are awarded to projects based on the change in LOS before and after project completion using the three tables below for highway, bikeway and pedestrian facilities respectively.

|                |   | After LOS Hwy |    |   |   |   |   |
|----------------|---|---------------|----|---|---|---|---|
|                |   | A             | B  | C | D | E | F |
| Before LOS Hwy | A | 0             | 0  | 0 | 0 | 0 | 0 |
|                | B | 3             | 0  | 0 | 0 | 0 | 0 |
|                | C | 6             | 3  | 0 | 0 | 0 | 0 |
|                | D | 9             | 6  | 3 | 0 | 0 | 0 |
|                | E | 12            | 9  | 6 | 3 | 0 | 0 |
|                | F | 15            | 12 | 9 | 6 | 3 | 0 |

Plus Bikeway LOS:

|                    |   | After LOS Bikeway |   |   |   |   |   |
|--------------------|---|-------------------|---|---|---|---|---|
|                    |   | A                 | B | C | D | E | F |
| Before LOS Bikeway | A | 0                 | 0 | 0 | 0 | 0 | 0 |
|                    | B | 1                 | 0 | 0 | 0 | 0 | 0 |
|                    | C | 2                 | 1 | 0 | 0 | 0 | 0 |
|                    | D | 3                 | 2 | 1 | 0 | 0 | 0 |
|                    | E | 4                 | 3 | 2 | 1 | 0 | 0 |
|                    | F | 5                 | 4 | 3 | 2 | 1 | 0 |

Plus Pedestrian LOS:

|                       |   | After LOS Pedestrian |   |   |   |   |   |
|-----------------------|---|----------------------|---|---|---|---|---|
|                       |   | A                    | B | C | D | E | F |
| Before LOS Pedestrian | A | 0                    | 0 | 0 | 0 | 0 | 0 |
|                       | B | 1                    | 0 | 0 | 0 | 0 | 0 |
|                       | C | 2                    | 1 | 0 | 0 | 0 | 0 |
|                       | D | 3                    | 2 | 1 | 0 | 0 | 0 |
|                       | E | 4                    | 3 | 2 | 1 | 0 | 0 |
|                       | F | 5                    | 4 | 3 | 2 | 1 | 0 |

**Max Points Highway LOS (15 Points) + Bikeway LOS (5 Points) + Pedestrian LOS (5 Points) = 25**

**Travel Time Savings**

Enter the information generated from the Benefit Cost Analysis (see Cost-Effectiveness).

| Ranking Criteria (projects are ranked relative to all other projects competing for funds) | Points |
|---|--------|
| Top 1/5 <sup>th</sup> (81% - 100%)  | 5      |
| 61% - 80%   | 4      |
| 41% - 60%   | 3      |
| 21% - 40%   | 2      |
| Bottom 1/5 <sup>th</sup> (1% - 20%)   | 1      |
| No reduction  | 0      |

**Safety**

Provide: (1) accident & fatality rates (accidents/millions of vehicle miles (MVM); fatalities/MVM) for the road segment within the project limits using three years of accident data, and (2) the statewide average accident rate for a similar facility (from Caltrans TASAS database or local agency accident database). Instructions for obtaining project accident and fatality rates are available on pages B-21 and B-22 of Appendix B. To estimate the reduction in accidents from various project improvements, refer to the Crash Reduction Factors (CRF) and report developed by the Federal Highway Administration at <http://safety.fhwa.dot.gov/tools/crf/resources/fhwasa08011/>

| Safety Ranking Criteria   | Points |
|---|--------|
| Is the existing Accident Rate higher than the average rate for a similar facility, <u>and</u> does the project reduce the Accident Rate to the average rate or lower? |        |
| If Yes  | 10     |
| If No   | 0      |
| Is the existing Fatality Rate higher than the average rate for a similar facility, <u>and</u> does the project reduce the Fatality Rate to the average rate or lower? |        |
| If Yes  | 15     |
| If No   | 0      |
| <b>Max Points = 25</b>  |        |

**Cost-Effectiveness**

Conduct a Benefit Cost Analysis (BCA) for the project using the latest version of the Caltrans Cal B/C Model available at [http://www.dot.ca.gov/hq/tpp/offices/eab/LCBC\\_Analysis\\_Model.html](http://www.dot.ca.gov/hq/tpp/offices/eab/LCBC_Analysis_Model.html)

Note: Projects are ranked based on the merits of each project.

| Ranking Criteria  | Points |
|---|--------|
| Top 1/4 <sup>th</sup> (75% - 100%)                                  | 20     |
| 50% - 74%   | 15     |
| 25% - 49%   | 10     |
| Bottom 1/4 <sup>th</sup> (1% - 24%; B/C Ratio must be at least 1.0) | 5      |
| B/C Ratio is under 1.0  | 0      |



# Chapter 4

## Regional Surface Transportation Program (RSTP)

|   |            |
|---|------------|
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| <i>Figure 4-A: RSTP Milestones for Project Submittal &amp; Approval</i> ..... | <i>4-2</i> |
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### Background

The Regional Surface Transportation Program (RSTP) was established by the Intermodal Surface Transportation Act of 1991 (1991 ISTEA, Public Law 102-240) and was continued by the Transportation Equity Act for the 21st Century (TEA-21, Public Law 105-178) and the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) under 23 U.S.C. 149. SAFETEA-LU was scheduled to expire on September 30, 2009, but was extended through September 30, 2012. On July 6, 2012, “Moving Ahead for Progress in the 21<sup>st</sup> Century Act (MAP-21)” was signed into law and continues RSTP and all previous eligible activities including road rehabilitation. MAP-21 provides funding over a two-year period starting October 1, 2012 (FY12-13) and ending September 30, 2014 (FY 13-14).

The RSTP program can be used to maintain and improve the existing transportation system, expand the system to reduce congestion, and to establish programs and projects that will assist the region in reducing mobile emissions and help meet federal air quality standards. RSTP funds are reimbursable federal aid funds, subject to all the requirements of Title 23, United States code. Eligible costs for funds under these programs include preliminary engineering, right-of-way acquisition, capital costs, and construction costs associated with an eligible activity.

Developing policies, procedures and criteria to program RSTP projects provides a consistent framework to develop projects for inclusion in the Federal Transportation Improvement Program. The federal-aid process involved in implementing transportation projects requires

substantial effort from the project lead agency in submitting required information for federal-aid reimbursement as projects are executed.

- The policies, procedures and criteria should be used to develop a regionally balanced program of projects while building consensus among member agencies throughout the process.
- Building consensus at the Transportation Technical Advisory Committee (TTAC) level is necessary before presenting a final list of proposed projects to the Transportation Planning Policy Committee (TPPC) and Kern Council of Governments (KCOG) Board for their approval.
- Approval by the TPPC is the final determination that consensus is achieved for the program of projects.

## Development Timeline

After funding allocations for RSTP are determined by Caltrans, KCOG shall initiate a “Call for Projects” to develop new projects for inclusion into the Federal Transportation Improvement Program (FTIP), either by amendment into a current FTIP or included as part of the development of a new FTIP. TTAC meets monthly to review transportation items and recommend actions to the TPPC. Figure 4-A below provides a list of events leading up to the programming of new RSTP projects in the FTIP. The schedule reflects a ten-month time span from the call for projects to inclusion in the FTIP.

**Figure 4-A: RSTP Milestones for Project Submittal & Approval**

| RSTP Milestones   |   |
|---|---|
| <b>Month 1, Year 1</b>  | RSTP Allocation estimates received from Caltrans;                           |
| <b>Month 2, Year 2</b>  | Issue a call for projects (4 months);                                       |
| <b>Month 7, Year 2</b>  | Project submittal deadline;   |
| <b>Month 8, Year 2</b>  | Evaluate and rank applicable projects;<br>Develop draft program of projects |
| <b>Month 9, Year 2</b>  | Draft program of projects is reviewed by TTAC;                              |
| <b>Month 9, Year 2</b>  | Draft program of projects is reviewed by TPPC;                              |
| <b>Month 10, Year 2</b>   | Request recommendation of approval by TTAC of Final List of Projects;       |
| <b>Month 10, Year 2</b>   | Hold public hearing and request TPPC approval on Final List of Projects.    |
| <i>Note: Additional cycles may be implemented at the discretion of KCOG staff that follows the time frame as defined above. Even year = Year 1; Odd year = Year 2</i> |   |

## Programming Guidance

The following policy guidance shall direct the programming of available RSTP funding:

- RSTP funding shall be used for eligible RSTP projects submitted by each member agency.
- Estimated RSTP funds shall be distributed based on project eligibility, and current population percentages.
- The RSTP program is not a grant or formula-driven program. Population percentages shall be used as a fair-share guidance, to assemble a program of projects for inclusion into the FTIP.
- Agencies must demonstrate the ability to process projects in a timely manner, so that funding is not lost to the Kern region due to delays or mismanagement.
- KCOG shall retain the right to redirect program funding to other agencies so as not to lose funding to the Kern region.
- A regional RSTP project may be nominated by the KCOG Board for review by the TTAC / TPPC for possible inclusion into the FTIP.

## Screening Criteria

Proposed RSTP projects must meet all of the following screening requirements, where applicable. If a proposal meets all of the applicable criteria, it is eligible for prioritization; if not, it cannot be considered for funding.

- Project must be included in a local agency-adopted resolution supporting the project.
- Project is eligible for RSTP funding as set forth in 23 USC 133(b), as amended.
- Project applicant is either a public agency, i.e. city, county, Caltrans, transit operator, transit authority, or a nonprofit agency or group with the sponsorship of a public agency.
- Successful project applicants or their sponsors must have executed a master agreement with Caltrans in order to be authorized to expend funds for reimbursement under this program. Agencies without a master agreement will either need to obtain one or the sponsorship of an agency that does have one.
- Road projects must have a functional classification of urban collector, or major rural collectors or higher.
- The project must comply with the Americans with Disabilities Act (ADA) requirements.

- The project must be consistent with the currently approved Regional Transportation Plan.
- The applicant or their sponsor must have financial capacity to complete, operate and maintain the project.
- Funds required from other sources must be reasonably expected to be available within the time frame needed to carry out the project.

## **Project Eligibility**

RSTP funds may be used on federal-aid roads classified above the level of a local road in urban areas or above a minor collector in rural areas. Listed below are eligible projects:

- Construction, reconstruction, rehabilitation, resurfacing, restoration, and operational improvements for highways and bridges;
- Capital costs for transit projects and publicly owned intracity or intercity bus terminals and facilities;
- Car pool projects, fringe and corridor parking facilities and programs; and bicycle transportation and pedestrian walkways;
- Highway and transit safety improvements and programs, hazardous elimination, projects to mitigate hazards caused by wildfire, and railway-highway grade crossings;
- Highway and transit research and development, and technology transfer programs;
- Capital and operating costs for traffic monitoring, management, and control facilities and programs;
- Surface transportation planning programs;
- Transportation enhancement (TE) projects;
- Transportation control measures (TCMs);
- Participation in wetlands mitigation efforts.

# Chapter 5

## Congestion Mitigation and Air Quality Program (CMAQ)

|   |             |
|---|-------------|
| <b>Background</b> .....   | <b>5-1</b>  |
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| Figure 5-A: CMAQ Milestones for Project Submittal & Approvals....         | 5-3         |
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### Background

The Congestion Mitigation and Air Quality (CMAQ) program was established by the Intermodal Surface Transportation Act of 1991 (1991 ISTEA, Public Law 102-240) and was continued by the Transportation Equity Act for the 21st Century (TEA-21, Public Law 105-178) and the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) under 23 U.S.C. 149. SAFETEA-LU was scheduled to expire on September 30, 2009, but was extended through September 30, 2012. On July 6, 2012, “Moving Ahead for Progress in the 21<sup>st</sup> Century Act (MAP-21)” was signed into law and continues the CMAQ program to fund projects likely to reduce air pollution. MAP-21 provides funding over a two-year period starting October 1, 2012 (FY12-13) and ending September 30, 2014 (FY 13-14).

CMAQ funding can be used to maintain and improve the existing transportation system, expand the system to reduce congestion, and to establish programs and projects that will assist the region in reducing mobile emissions and help meet federal air quality standards. CMAQ funds

are reimbursable federal aid funds, subject to the requirements of Title 23, United States code. Eligible costs for funds under these programs include preliminary engineering, right-of-way acquisition, capital costs, and construction costs associated with an eligible activity.

The purpose of developing this policy guidance, procedures and criteria to program CMAQ projects is to provide a consistent project development framework. It is used to develop a regionally balanced program of projects while building consensus among member agencies and the public throughout the planning process. Once locally approved, CMAQ projects must then be included in the Federal Transportation Improvement Program (FTIP) prior to reimbursement of federal funding. The federal-aid process to build transportation projects requires substantial effort from the lead agency to submit paperwork required to process a project once it's identified in the FTIP. Therefore, projects should be developed and incorporated into the FTIP in a timely manner so as to allow sufficient time to build them.

### Development Timeline

After funding allocations for CMAQ are determined by Caltrans, KCOG shall initiate a call for projects to develop projects for inclusion into the FTIP, either by amendment into a current FTIP or included as part of the development of a new FTIP. The Transportation Technical Advisory Committee (TTAC) meets monthly to review transportation items and recommend actions to the Transportation Planning Policy Committee (TPPC). Detailed below and in Figure 5-A on the next page is a list of events leading up to the programming of new CMAQ projects in the FTIP. The schedule reflects a 12-month time span from the call for projects to inclusion in the FTIP.

- KCOG shall first issue a "Call for Projects" announcement to the member agencies at the Transportation Technical Advisory Committee (TTAC) meeting and the Transportation Planning Policy Committee (TPPC) meeting. An application form and instructions giving specific information regarding what type of projects are eligible and application process information are distributed. Eligible applicants are organizations that have the ability to accept and account for federal funding. There is a date established as to when the applications must be returned to KCOG.
- KCOG staff shall first evaluate the applications and provide an initial ranking of projects. KCOG shall create a subcommittee of TTAC volunteers to review and comment on submitted applications and initial ranking of projects. The subcommittee shall be given the opportunity to ask questions of KCOG staff and project sponsors during the meeting for clarification and to discuss the merits of each application. TTAC members shall be invited to participate in a peer review assessment after initial review and ranking by KCOG staff to ensure consistent review and ranking of submitted CMAQ applications.
- KCOG staff shall prepare a staff report detailing the findings of the subcommittee and suggesting the recommended course of action to the TTAC. Upon recommendation of the

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TTAC, the projects proposed for funding are forwarded to the TPPC. Upon the approval of the TPPC the matter is then referred to KCOG for approval. This action financially constrains new projects to available regional funding levels, and allows KCOG to program a list of financially constrained projects in transportation improvement program documents.

- Eligibility of projects is subject to state and federal review.
- After the federal and state approval of the amended FTIP, the lead agencies may request authorization to proceed with design for the project if applicable (design is an eligible expense). Caltrans must review the draft design of the project; and a final plan is developed incorporating the comments and suggestions resulting from the review.
- After the final design plan is approved by Caltrans, the lead agency may then request authorization to proceed for project construction. After the authorization is received, the lead agency may then proceed with construction. In most cases, the project is “cost reimbursable”, meaning that the lead agency must initially finance the project (i.e. buy supplies, pay contractors) and then submit the expenses to Caltrans for reimbursement, upon approval of expenditures.
- When the project is completed, a Notice of Completion is filed with Caltrans. The project is field checked by staff and instructions to issue final payment are issued.
- These policies and procedures may be revised, updated, or otherwise modified at the discretion of the KCOG Board of Directors and through state and federal guidance.

Because CMAQ funds are federal funds, project sponsors must follow federal funding guidelines and environmental (NEPA) processes.

**Figure 5-A: CMAQ Milestones for Project Submittal & Approval**

| <b>CMAQ Milestones</b>          |   |
|---------------------------------|---|
| <b>Month 1, Year 1</b>          | CMAQ Allocation estimates received from Caltrans;   |
| <b>Month 2, Year 1</b>          | KCOG: reveals the CMAQ apportionment amount(s) available for programming new projects; establishes percentage funding targets for the CMAQ programming categories; and requests approval of the call for projects timeline through the regular committee process. |
| <b>Month 2, Year 1</b>          | Issue a call for projects (4 months);   |
| <b>Month 7, Year 1</b>          | Project submittal deadline;   |
| <b>Month 8, Year 2</b>          | Evaluate and rank applicable projects; Develop draft program of projects  |
| <b>Month 9 &amp; 10, Year 2</b> | TTAC Subcommittee shall review and comment on applications and initial rankings;  |
| <b>Month 11, Year 2</b>         | Draft program of projects is reviewed by TTAC;  |
| <b>Month 11, Year 2</b>         | Draft program of projects is reviewed by TPPC;  |
| <b>Month 12, Year 2</b>         | Request recommendation of approval by TTAC of Final List of Projects;   |
| <b>Month 12, Year 2</b>         | Request TPPC approval on Final List of Projects.  |

*Note: Additional cycles may be implemented at the discretion of Kern COG staff that follows the time frame as defined above. Even year = Year 1; Odd year = Year 2*

## Programming Guidance

The following guidance shall direct the programming of available CMAQ funding over the course of SAFETEA-LU and MAP-21. The five categories listed in Figure 5-B provide guidance on project categories that will be identified for funding. Reasonably Available Control Measures (RACM) and Best Available Control Measures (BACM) projects are eligible under any category. Category 2 will be used to implement a partnership program of projects outside the member agency circle. Projects will compete within each category separately.

**Figure 5-B: CMAQ Programming Categories**

| <b>CMAQ Programming Categories</b>  |  |
|---|--|
| <b>Category 1:</b><br>Public Transit Projects                                     | Eligible projects shall include but are not limited to rolling stock, transit shelters and signs. Projects shall be distributed by: small urban areas; regional transit; and metropolitan transit.   |
| <b>Category 2:</b><br>Alternative Fuels Vehicle Projects<br>(Partnership Program) | The cost differential of eligible projects shall include but are not limited to rolling stock; utility fleet vehicles; other maintenance utility vehicles such as delivery trucks using alternative fuel technology. An exception to this category is the replacement of diesel school buses 1988 or older with alternative fuel technology rolling stock; these projects shall be considered for up to 50% of the total cost. |
| <b>Category 3:</b><br>Fueling Stations  | Eligible projects shall include but are not limited to natural gas fueling stations or other alternative fueling facility. There shall be an emphasis on multiple-agency and public access to these facilities. A regional project nominated by an agency or group outside the Kern COG member agencies must demonstrate local consensus or support by submitting a letter of support from appropriate member agencies.        |
| <b>Category 4:</b><br>Transportation System Management Projects                   | Eligible projects (Transportation System Management Projects) shall include traffic signal interconnect projects in the metropolitan Bakersfield area; and Traffic Operation Center projects.  |
| <b>Category 5:</b><br>Discretionary Projects                                      | Eligible projects (Discretionary Projects) may include PM <sub>10</sub> reduction, non-motorized projects or safety / traffic flow projects, and freight/goods movement projects that can demonstrate an air quality benefit to the non-attainment area.   |
| <b>All Categories</b>   | All lead agencies must demonstrate the ability to process projects in a timely manner, so that funding is not lost to the Kern region due to delays or mismanagement.  |

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Air quality benefits of all projects or activities shall be quantified and documented before CMAQ funding is approved. Caltrans submits an annual report to FHWA covering all CMAQ obligations for the fiscal year ending the previous September 30. This report documents how CMAQ funds were spent and what the air quality benefits are expected to be.

## Screening Criteria

Proposed CMAQ projects must meet all of the following screening requirements, where applicable. If a proposal meets all of the applicable criteria, it is eligible for prioritization; if not, it cannot be considered for funding.

- Project must be included in a local agency-adopted resolution stating financial support for the project.
- Project is eligible for CMAQ funding as defined by the latest federal transportation authorization bill and CMAQ Guidelines.
- Project applicant is either a public agency, i.e. city, county, special district, Caltrans, transit operator, transit authority, or a non-profit agency or group with the sponsorship of a public agency.
- Successful project applicants or their sponsors must have executed a master agreement with Caltrans in order to be authorized to expend funds for reimbursement under this program. Agencies without a master agreement will either need to obtain one or the sponsorship of an agency that does have one.
- Road projects must have a functional classification of urban collector, or major rural collectors or higher.
- CMAQ projects must demonstrate a tangible benefit to air quality. CMAQ funded projects are required to quantify or qualify their benefit as part of annual reporting requirements.
- The project must comply with the Americans With Disabilities Act (ADA) requirements.
- The project must be consistent with the currently approved Regional Transportation Plan.
- The applicant or their sponsor must have financial capacity to complete, operate and maintain the project.
- Funds required from other sources must reasonably expected to be available on the time frame needed to carry out the project.

## Project Eligibility

The purpose of the CMAQ program is to fund transportation projects or programs that will contribute to attainment of national ambient air quality standards with a focus on ozone, PM<sub>10</sub>, and their precursors, and precursors of carbon dioxide (CO<sub>2</sub>): PM<sub>2.5</sub>; volatile organic compounds (VOC); nitrogen oxides (NO<sub>x</sub>); and Carbon Monoxide. The CMAQ Program Eligibility Listing has been refined to provide local governments with greater flexibility in choosing the types of projects that will provide the "greatest air quality benefits" for their regions in order to meet national goals and standard.

A state or MPO may obligate CMAQ funds apportioned to it only for a transportation project or program:

- If the DOT in consultation with the EPA determines that the project or program is likely to contribute to the attainment of a national ambient air quality standard; or
- If the project or program is included in a State Implementation Plan (SIP) that has been approved pursuant to the Clean Air Act and the project will have air quality benefits; or
- The project or program is likely to contribute to the attainment of a national ambient air quality standard, whether through reductions in vehicle miles traveled, fuel consumption, or through other factors.

### **Transportation Activities**

Transportation activities from approved state SIPs for air quality should be given highest priority for CMAQ funding. The priority of CMAQ funded projects in the FTIP will be based on their air quality benefits.

### **Transportation Control Measures**

The fundable TCMs below are included in Section 108(f)(1) of the Clean Air Act and meet the transportation conformity rule's definition of a TCM (included in approved SIP):

- Programs for improved public transit;
- Restriction of certain roads or lanes to, or construction of such roads or lanes for use by passenger buses or high occupancy vehicles;
- Employer-based transportation management plans, including incentives;
- Trip-reduction ordinances;
- Traffic flow improvement programs that achieve emission reductions;
- Fringe and transportation corridor parking facilities serving multiple occupancy vehicle programs or transit service;
- Programs to limit or restrict vehicle use in downtown areas or other areas of emission concentration particularly during periods of peak use;

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- Programs for the provision of all forms of high-occupancy, shared-ride services;
- Programs to limit portions of road surfaces or certain sections of the metropolitan area to the use of non-motorized vehicles or pedestrian use, both as to time and place;
- Programs for secure bicycle storage facilities and other facilities, including bicycle lanes, for the convenience and protection of bicyclists, in both public and private areas;
- Programs to control extended idling of vehicles;
- Programs to reduce motor vehicle emissions, consistent with title II, which are caused by extreme cold start conditions;
- Employer-sponsored programs to permit flexible work schedules;
- Programs and ordinances to facilitate non-automobile travel, provision and utilization of mass transit, and to generally reduce the need for single-occupant vehicle travel, as part of transportation planning and development efforts of a locality, including programs and ordinances applicable to new shopping centers, special events, and other centers of vehicle activity;
- Programs for new construction and major reconstructions of paths, tracks or areas solely for the use by pedestrian or other non-motorized means of transportation when economically feasible and in the public interest; and
- Programs to encourage the voluntary removal from use and the marketplace of pre-1980 model year light duty vehicles and pre-1980 model light duty trucks.

### □ ***Bicycle & Pedestrian Facilities & Programs***

Construction of bicycle and pedestrian facilities, non-construction projects related to safe bicycle use, and State bicycle/pedestrian coordinator positions for promoting and facilitating the increased use of non-motorized modes of transportation. This includes public education, promotional, and safety programs for using such facilities.

### □ ***Management and Monitoring Systems***

Developing and establishing management systems for traffic congestion, public transportation facilities and equipment, and intermodal transportation facilities and systems, where it can be demonstrated that they are likely to contribute to the attainment of a National Ambient Air Quality Standard.

### □ ***Traffic Management / Congestion Relief Strategies***

Capital and operating costs for traffic monitoring, management, and control facilities and programs, where it can be demonstrated that they are likely to contribute to the attainment of a National Ambient Air Quality Standard. In addition to traffic signal modernization projects destined to improve traffic flow within a corridor or throughout an area, CMAQ funding can also be utilized to support Intelligent Transportation Infrastructure (ITI) Traffic Management and Traveler Information Systems that may include: Regional Multi modal

Traveler Information Centers; Traffic Signal Control Systems; Freeway Management Systems; Traffic Management Systems; Incident Management Programs; and Electronic fare Payment/Toll collection Systems. CMAQ program funds may not replace existing local and State Funds used for operating cost, but are intended to augment and reinforce new efforts. Operating costs are eligible only for a period of 2 years from inception. Operating costs for these services are eligible under RSTP.

### □ **Transit Projects**

Improved public transit is an eligible TCM. Transit improvements fall under three broad types of action: system/service expansion, operational improvements, and demand/market strategies. Emission reductions vary widely depending on project specifics as well as the existence of policies and actions that promote transit use, such as transit-supportive land use controls and single-occupant auto disincentives.

- **Transit facilities** - In general, capital costs of system/service expansion are eligible. Examples include new rail systems and extensions, new roadways or reserved lanes on existing roads for exclusive bus/HOV use, and capital costs of initiating commuter rail or ferry service. Enhancements such as new stations, new vehicles/equipment, terminals, transit malls, Intermodal transfer facilities, and track and signalization improvements are also eligible. If it is a reconstruction or rehabilitation project of an existing facility, it is not eligible. Park and ride facilities related to transit systems are eligible.
- **Transit vehicles and equipment** - One-for-one vehicle replacements of the existing bus or rail fleet are eligible because other new vehicles are generally more reliable, less polluting, and make transit a more attractive option. New buses are significantly cleaner than old with respect to PM10; thus justification is strong for using CMAQ funds for replacements in PM10 non-attainment areas like Kern County.
- **Transit associated development** - This includes various types of retail and other services located in or very close to transit facilities. They offer convenience for the transit patron but are not required for the functioning of the system. In general, transit-associated development is not eligible under the CMAQ Program. Child-care centers located adjacent to a major transit stop have been proposed in the past as beneficial to air quality. The type of use could now be funded as an experimental pilot project. Such type of uses could possibly help support mandated “Welfare to Work” Programs.
- **Transit Operations** - In limited cases, operating costs for new transit service are eligible. The main criterion is that it must be for new service, which supports a discrete, new project or program having documented air quality benefits. The funds cannot be used to replace existing funding sources or to further subsidize existing operations. Operating costs are eligible only for a 3-year start-up period. Examples of eligible costs include shuttle service feeding a station; circulator service within an activity center; fixed-route

service linking activity center new transit service to a major employer in support of an employer trip reduction program; new bus service in a community that presently lacks adequate transit service; or new transit service initiated on a HOV facility. Service demonstrations will usually involve buses or vans since the service should be relatively low-cost and easily terminated if sufficient ridership is not achieved. In addition to operating assistance for new transit service, the CMAQ Guidance also allows partial short-term subsidies of transit/paratransit fares as a means of encouraging transit use. Proposals such as reduced fare programs during periods of elevated ozone levels (such as a spare the air day) and discounted transit passes targeted at specific groups or locations may now be eligible if these conditions are met.

### □ ***Planning and Project Development Activities***

Project planning or other development activities that lead directly to construction of facilities or new services and programs with air quality benefits. Such as preliminary engineering or major investment studies for transportation /air quality projects, are eligible. This includes studies for the preparation of environmental or NEPA documents and related transportation/air quality project development activities. Project development studies include planning directly related to a event that air quality monitoring is necessary to determine the air quality impacts of a proposed project, which is eligible for CMAQ funding, the costs of that monitoring are also eligible. General planning activities, such as economic or demographic studies, that do not directly propose or support a transportation/air quality project are too far removed from project development to ensure any emission reductions and are not eligible for funding. Regional or area-wide air quality monitoring is not eligible because such projects do not themselves yield air quality improvements nor do they lead directly to projects that would yield air quality benefits.

### □ ***Alternative Fuels***

In general, the conversion of individual, conventionally powered vehicles to alternative fuels is not eligible under CMAQ. However, the conversion or replacement of centrally fueled fleets to alternative fuels is eligible. The establishment of on-site fueling facilities and other infrastructure needed to fill alternative fueled vehicles are also eligible expenses. Although, if private fueling stations are reasonably accessible and convenient, then CMAQ funds may not be used. Interference with private enterprise is to be avoided and services should not be needlessly duplicated.

### □ ***Telecommuting***

The CMAQ Program allows for the establishment of telecommuting programs. Planning, technical and feasibility studies, training, coordination, and promotion are eligible activities under CMAQ. Physical establishment of telecommuting centers, computer and office equipment purchases and related activities are not eligible. Such activities are not typically transportation projects and funding them would not meet current federal requirements.

□ ***Travel Demand Management***

Travel demand management encompasses a diverse set of activities ranging from traditional car pool and vanpool programs to more innovative parking management and road pricing measures. Eligible activities include: market research and planning in support of TDM implementation; capital expenses required to implement TDM measures; operating assistance to administer and manage TDM programs for up to 3 years; as well as marketing and public education efforts to support and bolster TDM measures.

□ ***Intermodal Freight***

CMAQ funds may be used for improved intermodal freight facilities where air quality benefits can be shown. Capital improvements as well as operating assistance meeting the conditions of this guidance are eligible. In that many intermodal freight facilities included private sector businesses, several of the proposals that have been funded nation-wide have been under public-private partnerships.

□ ***Public/Private Initiatives***

SAFETEA-LU provides greater access to CMAQ funds for projects that cooperatively implemented by public/private partnerships and/or non-profit entities. Proposed projects no longer have to be under the primary control of the cooperating public agency as under ISTEA; although, it is still the responsibility of the public agency to oversee and protect the investment of the Federal funds used by the partnership. Eligible activities include the following: ownership or operation of land, facilities or other physical management or operational duties associated with a project; and any other form of privately owned vehicles and fleets using alternative fuels to the incremental vehicle cost over a conventionally-fueled vehicle. Activities that are the mandated responsibility of the private sector under the Clean Air Act, such as vapor recovery systems at gas stations, are not eligible for CMAQ funding. Implementation of employer trip reduction programs is also a private responsibility, but general program assistance to employers to help them plan and promote these programs is eligible.

□ ***PM-10 Activities***

Projects and programs that reduce transportation generated PM10 emissions are eligible for CMAQ funding. Specifically projects qualifying as “control strategies” identified in the Air District’s PM10 Attainment Plan including the following: paving shoulders, shoulder stabilization, paving or stabilizing unpaved roads, and curbing.

□ ***Outreach Activities***

Outreach activities, such as public education on transportation and air quality, advertising of transportation alternatives to Single Occupancy Vehicle (SOV) travel, and technical assistance to employers or other outreach activities for Employee Commute Option program implementation are eligible for CMAQ funding. The previous policy limiting CMAQ funding for only a two-year period has been eliminated. Now, outreach activities may be funded under the CMAQ program for an indefinite period. Outreach activities may be employed for a wide variety of transportation services. They may equally affect new and existing transit, shared ride, traffic management and control, bicycle and pedestrian, and other transportation services.

□ ***Rideshare Programs***

Rideshare services consist of carpool and vanpool programs; important activities may include computer matching of individuals seeking to vanpool and employer outreach to establish rideshare programs. New or expanded rideshare programs, such as new locations for matching services, upgrades for computer matching software, etc. continue to be eligible and may be funded for an indefinite period of time. Vanpool programs are different from carpooling programs. Implementation of a vanpool operation entails purchasing vehicles and providing a transportation service. Proposals for vanpool activities must be for new or expanded service, subject to the 3-year limitation on operation costs.

□ ***Establishing/Contracting with TMA's***

Transportation Management Associations (TMA's) are comprised of private individuals or firms who organize to address the transportation issues in their immediate locale. Such Associations are currently eligible for CMAQ funding. Eligible expenses for reimbursement are associated start-up costs for up to 3 years. CMAQ requires that the TMA's must be sponsored by a public agency, and the State is responsible for insuring that funds are appropriately used to meeting CMAQ program objectives. The TMA's may play a role in brokering transportation services to private employers--such as: coordinating rideshare programs, provided shuttle services, and developing parking management programs, etc. Applications of these programs must specify program goals and deliverables.

□ ***Inspection/Maintenance Activities***

Emission Inspection/Maintenance (I/M) programs are eligible activities under CMAQ. I/M program funds can be provided for publicly owner I/M facilities-or at privately owned stations where a "public-private partnership" is created. Start-up costs and three years of operating expenses are eligible for CMAQ funds. The establishment of "portable" I/M programs is also eligible under the CMAQ program, provided that they are public services, contribute to emission reductions and do not conflict with statutory I/M requirements.

□ **Experimental Pilot Projects/Innovative Financing**

States and local areas have long experimented with various types of transportation services, and different means of employing them in an effort to better meet the travel needs of their constituents. These “experimental” projects may not meet the precise eligibility criteria for Federal and State funding programs, but they may show promise in meeting the intended public purpose of those programs in an innovative way. The CMAQ provisions of TEA-21 allow experimentation provided that the project or program can reasonably be defined as a “transportation” project and that emission reductions can reasonably be expected “through reductions in vehicle miles traveled, fuel consumption, or through other factors.”

□ **Fare/Fee Subsidy Program**

The CMAQ Program allows funding for partial user fare or fee subsidies in order to encourage greater use of alternative travel modes (e.g. carpool, vanpool, transit, bicycling and walking). CMAQ funds can be used to subsidize fares or fees if the reduced fare/fee is offered as a component of a comprehensive, targeted program to reduce SOV use. Other components of such a program would include public information and marketing of non-SOV alternatives, parking management measures, and better coordination of existing transportation services. The intent of federal policy on this is to focus on situations where alternative transportation modes are viable, but nonetheless, heavy reliance on single-occupant vehicles exists, such as at major employment or activity centers. Examples of fare-fee subsidy programs include the following: 1) discount transit fare through a cooperative arrangement between a transit operator and a major employer; 2) subsidize empty seats during the formation of a new vanpool; 3) reduce fees for shuttle services within a defined area, such as a flat-fare taxi program; or 4) provide financial incentives for carpooling, bicycling and walking in conjunction with a demand management program. An underlying tenet of this provision is to support experimentation but always with the goal of identifying projects that are viable without the short-term funding assistance provided by the CMAQ program. Thus, the subsidy must be used in conjunction with reasonable fares or fees to allow the greatest change of holding on the “trial” users. While the fare/fee subsidy program itself is not limited in time, specific groups or locals targeted under the program must be rotated and the subsidized fare/fee must be limited to any one entity or location.

□ **Other Eligible Activities**

Innovative activities based on promising technologies and feasible approaches to improve air quality will also be considered for funding. This includes such ventures as new efforts to identify and prove the emissions of gross emitters, vanpooling programs, planning and development of parking management program, and preferential treatment for high-occupancy vehicles.

The eligible activities listed above are subject to federal interpretation and the latest CMAQ Guidance.

## Non-Eligible Projects

- General planning activities, even for conformity of implementation plan revisions, are not eligible for CMAQ funding.
- Routine maintenance projects are ineligible. Routine maintenance and rehabilitation on existing facilities maintains the existing levels of highway and transit service and, therefore, maintains existing ambient air quality levels rather than improving them.
- Funding for a project that will result in the construction of new capacity available to single-occupant vehicles unless the project consists of a high-occupancy vehicle facility available to single-occupant vehicles only at other than peak travel times.
- Planning activities/modal enhancements required for conformity findings.
- Preparation of Transportation Improvement Programs and plan development.
- Air quality monitoring systems.
- The use of funds for non-governmental partnerships on projects required under the Clean Air Act, the Energy Policy Act, or other federal laws.

## Ranking Criteria and Point System

CMAQ projects must first meet federal requirements, such as be on an eligible route, be an eligible type of project and, finally, meet air quality standards. CMAQ funds can be used for transit capital improvements, for high occupancy vehicle lanes, and to alleviate PM<sub>10</sub>. CMAQ funds may not be used for highway maintenance, transit-operating expenses or for capacity increasing lanes available to single occupancy vehicles. Having met the above standards, the KCOG criteria for selecting CMAQ projects are listed in Figure 5-F (page 5-15) and Figure 5-G (page 5-16). Please note the criteria will not apply to all project types. For example, the safety criteria will not apply to most transit projects because the scoring is based on road safety data. This difference in total possible points between project types is resolved by having projects compete separately within Programming Categories presented in Figure B on page 5-4.

The air quality maps in Figures 5-C, 5-D, and 5-E on the next two pages are included to guide applicants in determining project eligibility, and to identify the air district for each project for scoring purposes.

Figure 5-C: Air Pollution Control Districts in the Kern Region

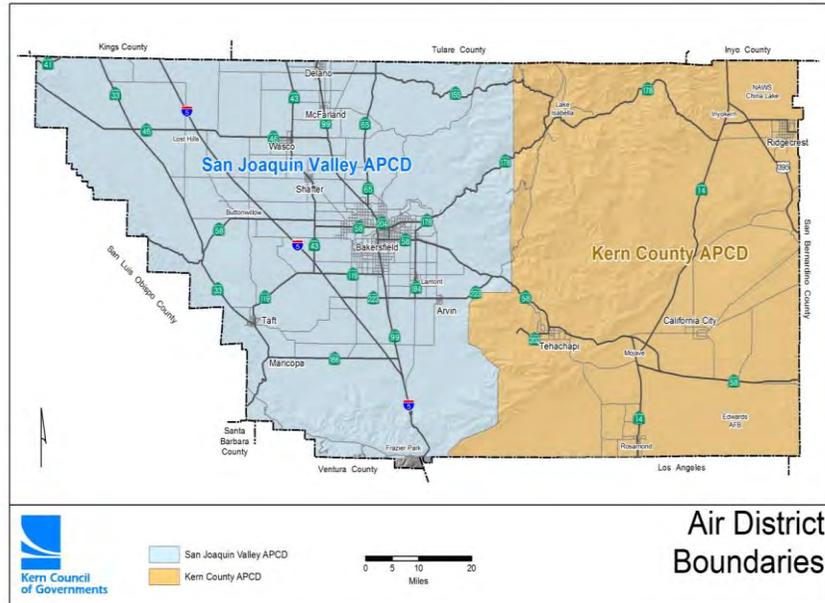


Figure 5-D: Ozone/Carbon Monoxide Planning Areas

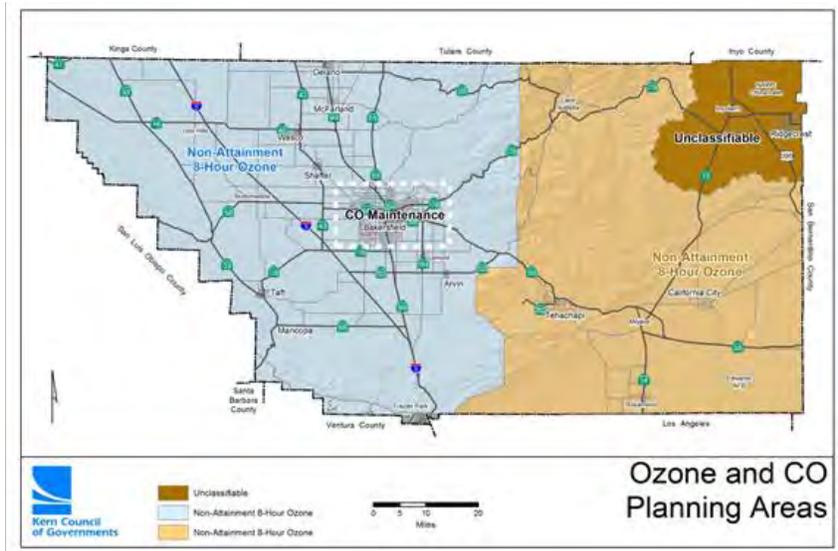


Figure 5-E: Particulate Matter Planning Areas

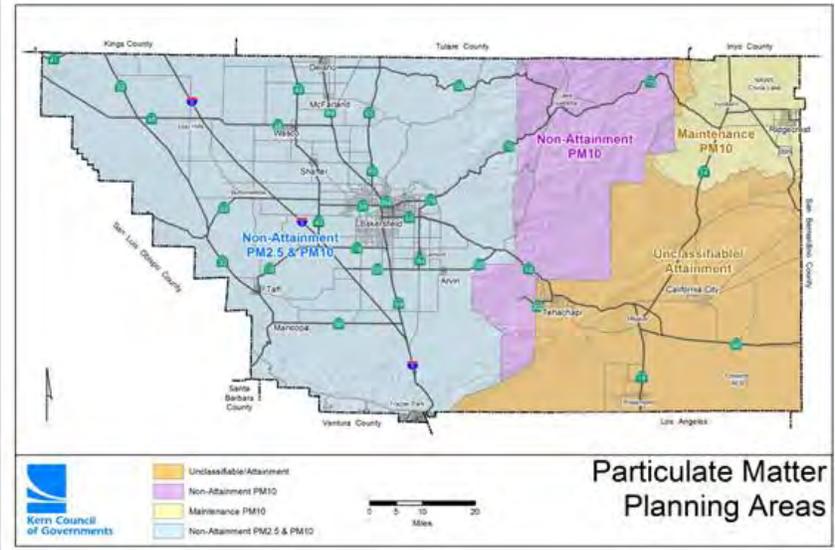


Figure 5-F: Ranking Criteria and Point System Summary

| Screening Criteria  | YES / NO  |
|---|---|
| Does the proposed project meet all of the CMAQ screening criteria listed on Page 5-5 of the KCOG Project Delivery Policies and Procedures manual? | <i>The project is not eligible if the answer is no.</i> |
| <b>General Criteria</b>   | <b>100</b>  |
| VMT Reduction*  | 15  |
| Emissions Reduction*  | 15  |
| BACM/RACM?*   | 5   |
| Livability*   | 10  |
| Congestion (LOS)*   | 25  |
| Safety  | 15  |
| Cost-Effectiveness  | 15  |
| <b>Max 100 Points</b>   |   |

Note: Projects compete separately within each of the five categories based on project type.

\*KCOG SCS framework-related metrics.

Figure 5-G: CMAQ Performance Measures and Ranking Criteria Detail

| General Criteria  |   |  |                               |  |
|---|---|--|-------------------------------|--|
| <b>VMT Reduction</b>  |   |  |                               |  |
| Estimate the reduction in vehicle miles traveled (VMT) using the program titled “Methods to Find the Cost Effectiveness of Funding Air Quality Projects”, General Methods Program (Microsoft Access), from the California Air Resources Board in Cooperation with Caltrans and CAPCOA, available at <a href="http://www.arb.ca.gov/planning/tsaq/eval/eval.htm">http://www.arb.ca.gov/planning/tsaq/eval/eval.htm</a> , or the updated version. |   |  |                               |  |
| Note: projects are ranked relative to all other projects competing for funds.   |   |  |                               |  |
| Ranking Criteria (projects are ranked relative to all other projects competing for funds)   |   |  |                               | Points                                     |
| Top 1/3 <sup>rd</sup> (68% - 100%) of projects with the highest VMT reduction   |   |  |                               | 15   |
| Middle 1/3 <sup>rd</sup> (34% - 67%) of projects with mid-range VMT reduction   |   |  |                               | 12   |
| Bottom 1/3 <sup>rd</sup> (1% - 33%) of projects with the lowest VMT reduction   |   |  |                               | 8  |
| No reduction  |   |  |                               | 0  |
| <b>Emissions Reduction</b>  |   |  |                               |  |
| Estimate the reduction in emissions using the program titled “Methods to Find the Cost Effectiveness of Funding Air Quality Projects”, General Methods Program (Microsoft Access), from the California Air Resources Board in Cooperation with Caltrans and CAPCOA, available at <a href="http://www.arb.ca.gov/planning/tsaq/eval/eval.htm">http://www.arb.ca.gov/planning/tsaq/eval/eval.htm</a> , or the updated version.                    |   |  |                               |  |
| Note: projects are ranked relative to all other projects competing for funds.   |   |  |                               |  |
| Emissions Reduction Ranking Criteria <sup>1</sup>   |   |  |                               |  |
| Pollutant (kg/yr)   | San Joaquin Valley Air Basin <sup>2</sup> | Kern River Valley Air Basin <sup>3</sup> | Mojave Air Basin <sup>4</sup> | Indian Wells Valley Air Basin <sup>5</sup> |
| <b>PM<sub>10</sub></b>  | Top 90% - 100% = 5                        | Top 90% - 100% = 5                       | Top 90% - 100% = 5            | Top 90% - 100% = 5                         |
|   | Top 80% - 89% = 4                         | Top 80% - 89% = 4                        | Top 80% - 89% = 4             | Top 80% - 89% = 4                          |
|   | Top 70% - 79% = 3                         | Top 70% - 79% = 3                        | Top 70% - 79% = 3             | Top 70% - 79% = 3                          |
|   | Top 60% - 69% = 2                         | Top 60% - 69% = 2                        | Top 60% - 69% = 2             | Top 60% - 69% = 2                          |
|   | Top 50% - 59% = 1                         | Top 50% - 59% = 1                        | Top 50% - 59% = 1             | Top 50% - 59% = 1                          |
| <b>VOC</b>  | Top 90% - 100% = 4                        | Top 90% - 100% = 4                       | Top 90% - 100% = 4            |  |
|   | Top 80% - 89% = 3                         | Top 80% - 89% = 3                        | Top 80% - 89% = 3             |  |
|   | Top 70% - 79% = 2                         | Top 70% - 79% = 2                        | Top 70% - 79% = 2             |  |
|   | Top 60% - 69% = 1                         | Top 60% - 69% = 1                        | Top 60% - 69% = 1             |  |
| <b>NO<sub>x</sub></b>   | Top 90% - 100% = 3                        | Top 90% - 100% = 3                       | Top 90% - 100% = 3            |  |
|   | Top 80% - 89% = 2                         | Top 80% - 89% = 2                        | Top 80% - 89% = 2             |  |
|   | Top 70% - 79% = 1                         | Top 70% - 79% = 1                        | Top 70% - 79% = 1             |  |
| <b>PM<sub>2.5</sub></b>   | Any reduction = 2                         |  |                               |  |
| <b>CO</b>   | Any reduction = 1 <sup>6</sup>            |  |                               |  |
|   | Max Points = 15                           | Max Points = 12                          | Max Points = 12               | Max Points = 5                             |

<sup>1</sup> Note: Project eligibility is ultimately determined by FHWA through Caltrans Local Assistance when the project sponsor submits the Request for Authorization (E-76) to Caltrans to obligate the CMAQ funds. When CMAQ guidelines under MAP-21 are available, the KCOG CMAQ project selection process will be reviewed and updated as required.

<sup>2</sup> Classified non-attainment for four pollutants (PM<sub>10</sub>, Ozone, PM<sub>2.5</sub> & CO).

<sup>3</sup> Classified non-attainment for two pollutants (PM<sub>10</sub>, Ozone).

<sup>4</sup> Classified non-attainment for one pollutant (Ozone).

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<sup>5</sup> Classified maintenance for one pollutant (PM<sub>10</sub>).

<sup>6</sup> Only applies to projects within the Bakersfield Metropolitan Area.

**Livability**

Describe whether and how the project provides the four listed benefits; provide no more than a half page response for each benefit: (1) Will enhance or reduce the average cost of user mobility through the creation of more convenient transportation options for travelers; (2) Will improve existing transportation choices by enhancing points of modal connectivity, increasing the number of modes accommodated on existing assets, or reducing congestion on existing modal assets; (3) Will improve travel between residential areas and commercial centers and jobs; (4) Will improve accessibility and transportation services for economically disadvantaged populations, non-drivers, senior citizens, and persons with disabilities, or make goods, commodities, and services more readily available to these groups.

| Ranking Criteria                                 | Points |
|--|--------|
| Project provides all four of the listed benefits | 10     |
| Project provides three of the listed benefits    | 7      |
| Project provides two of the listed benefits      | 4      |
| Project provides one of the listed benefits      | 1      |

**Congestion Relief**

Provide peak period Level of Service (LOS) for intersection(s) and/or road segments within the project limits for existing conditions (Before LOS) and estimated LOS after project completion (After LOS). If applicable, provide Bikeway and/or Pedestrian LOS. If LOS varies within the project limits, provide a weighted average. LOS should be calculated using methods consistent with the Highway Capacity Manual available at <http://www.trb.org/Main/Blurbs/164718.aspx>. Ranking criteria is summarized in the tables below.

**Highways**

(where bicycles and pedestrians are prohibited)

Points are awarded to projects based on the change in LOS before and after project completion using the table below.

|                |   | After LOS Hwy |    |    |    |   |   |
|----------------|---|---------------|----|----|----|---|---|
|                |   | A             | B  | C  | D  | E | F |
| Before LOS Hwy | A | 0             | 0  | 0  | 0  | 0 | 0 |
|                | B | 5             | 0  | 0  | 0  | 0 | 0 |
|                | C | 10            | 5  | 0  | 0  | 0 | 0 |
|                | D | 15            | 10 | 5  | 0  | 0 | 0 |
|                | E | 20            | 15 | 10 | 5  | 0 | 0 |
|                | F | 25            | 20 | 15 | 10 | 5 | 0 |

Max Points = 25

**OR**

(Next page)

**Highways & Bicycle Lanes**

(when bicycles are allowed on the highway but pedestrians are prohibited)

Points are awarded to projects based on the change in LOS before and after project completion using the two tables below for highway and bikeway facilities.

|                |   | After LOS Hwy |    |    |   |   |   |
|----------------|---|---------------|----|----|---|---|---|
|                |   | A             | B  | C  | D | E | F |
| Before LOS Hwy | A | 0             | 0  | 0  | 0 | 0 | 0 |
|                | B | 4             | 0  | 0  | 0 | 0 | 0 |
|                | C | 8             | 4  | 0  | 0 | 0 | 0 |
|                | D | 12            | 8  | 4  | 0 | 0 | 0 |
|                | E | 16            | 12 | 8  | 4 | 0 | 0 |
|                | F | 20            | 16 | 12 | 8 | 4 | 0 |

Plus Bikeway LOS:

|                    |   | After LOS Bikeway |   |   |   |   |   |
|--------------------|---|-------------------|---|---|---|---|---|
|                    |   | A                 | B | C | D | E | F |
| Before LOS Bikeway | A | 0                 | 0 | 0 | 0 | 0 | 0 |
|                    | B | 1                 | 0 | 0 | 0 | 0 | 0 |
|                    | C | 2                 | 1 | 0 | 0 | 0 | 0 |
|                    | D | 3                 | 2 | 1 | 0 | 0 | 0 |
|                    | E | 4                 | 3 | 2 | 1 | 0 | 0 |
|                    | F | 5                 | 4 | 3 | 2 | 1 | 0 |

**Max Points Highway LOS (20 Points) + Bikeway LOS (5 Points) = 25**

---

**OR**

(Next page)

**Highways, Bicycle Lanes and Pedestrian Facilities**  
 (when bicycles and pedestrians are allowed on the highway)

Points are awarded to projects based on the change in LOS before and after project completion using the three tables below for highway, bikeway and pedestrian facilities respectively.

|                |   | After LOS Hwy |    |   |   |   |   |
|----------------|---|---------------|----|---|---|---|---|
|                |   | A             | B  | C | D | E | F |
| Before LOS Hwy | A | 0             | 0  | 0 | 0 | 0 | 0 |
|                | B | 3             | 0  | 0 | 0 | 0 | 0 |
|                | C | 6             | 3  | 0 | 0 | 0 | 0 |
|                | D | 9             | 6  | 3 | 0 | 0 | 0 |
|                | E | 12            | 9  | 6 | 3 | 0 | 0 |
|                | F | 15            | 12 | 9 | 6 | 3 | 0 |

Plus Bikeway LOS:

|                    |   | After LOS Bikeway |   |   |   |   |   |
|--------------------|---|-------------------|---|---|---|---|---|
|                    |   | A                 | B | C | D | E | F |
| Before LOS Bikeway | A | 0                 | 0 | 0 | 0 | 0 | 0 |
|                    | B | 1                 | 0 | 0 | 0 | 0 | 0 |
|                    | C | 2                 | 1 | 0 | 0 | 0 | 0 |
|                    | D | 3                 | 2 | 1 | 0 | 0 | 0 |
|                    | E | 4                 | 3 | 2 | 1 | 0 | 0 |
|                    | F | 5                 | 4 | 3 | 2 | 1 | 0 |

Plus Pedestrian LOS:

|                       |   | After LOS Pedestrian |   |   |   |   |   |
|-----------------------|---|----------------------|---|---|---|---|---|
|                       |   | A                    | B | C | D | E | F |
| Before LOS Pedestrian | A | 0                    | 0 | 0 | 0 | 0 | 0 |
|                       | B | 1                    | 0 | 0 | 0 | 0 | 0 |
|                       | C | 2                    | 1 | 0 | 0 | 0 | 0 |
|                       | D | 3                    | 2 | 1 | 0 | 0 | 0 |
|                       | E | 4                    | 3 | 2 | 1 | 0 | 0 |
|                       | F | 5                    | 4 | 3 | 2 | 1 | 0 |

Max Points Highway LOS (15 Points) + Bikeway LOS (5 Points) + Pedestrian LOS (5 Points) = 25

**Safety**

Provide: (1) After project accident & fatality rates (accidents/millions of vehicle miles (MVM); fatalities/MVM) for the road segment within the project limits using three years of accident data, and (2) the statewide average accident rate for a similar facility (from Caltrans TASAS database or local agency accident database). Instructions for obtaining project accident and fatality rates are available on pages B-21 and B-22 of Appendix B.

| Safety Ranking Criteria  | Points     |
|--|------------|
| Is the existing Accident Rate higher than the average rate for a similar facility, <u>and</u> does the project reduce the Accident Rate to the average rate or lower?<br>If Yes<br>If No | <br>7<br>0 |
| Is the existing Fatality Rate higher than the average rate for a similar facility, <u>and</u> does the project reduce the Fatality Rate to the average rate or lower?<br>If Yes<br>If No | <br>8<br>0 |
| <b>Max Points = 15</b>   |            |

**Cost-Effectiveness**

Calculate cost-effectiveness using the program titled “Methods to Find the Cost Effectiveness of Funding Air Quality Projects”, General Methods Program (Microsoft Access), from the California Air Resources Board in Cooperation with Caltrans and CAPCOA, available at <http://www.arb.ca.gov/planning/tsaq/eval/eval.htm>, or the updated version.

| Ranking Criteria   | Points |
|--|--------|
| Project does not exceed the Cost-Effectiveness Threshold               | 15     |
| Project exceeds the Cost-Effectiveness Threshold by not more than 50%  | 10     |
| Project exceeds the Cost-Effectiveness Threshold by not more than 100% | 5      |

**RACM/BACM**

Is the project identified as a RACM/BACM?

| Ranking Criteria | Points |
|------------------|--------|
| Yes              | 5      |
| No               | 0      |

## **CMAQ: LOCAL COST- EFFECTIVENESS POLICY**

The following three pages present the local cost-effectiveness policy adopted by Kern COG in September 2007.

### **Summary**

The Congestion Mitigation and Air Quality (CMAQ) program provides funding for transportation projects or programs that will contribute to attainment or maintenance of the national ambient air quality standards. The CMAQ program supports two important goals of the Department of Transportation: improving air quality and relieving congestion. SAFETEA-LU strengthens these goals by establishing priority consideration for cost-effective emission reduction and congestion mitigation activities. Exhibit A provides a summary of the policy for distributing at least 20% of the CMAQ funds to projects that meet a minimum cost-effectiveness threshold for emission reduction beginning in FY 2011. This policy will focus on achieving the most cost-effective emission reductions, while maintaining flexibility to meet local needs.

### **Estimates of Available Funds**

Caltrans Programming provides apportionment estimates to all regions of the state. The FTIP is currently developed for a four-year programming cycle; with each new FTIP document, Kern COG will use the Caltrans estimate to develop the available CMAQ funds over the four-year period. Kern COG commits to dedicate at least 20% (or insert larger percentage, if appropriate) of the total funding for the four-year period of each FTIP as part of the local cost-effectiveness CMAQ policy. For example, if an agency were estimated to receive \$20 million over a four-year period, it would allocate 20%, or \$4 million, of the CMAQ program to projects that meet a minimum cost-effectiveness.

The CMAQ allocation formula is currently based on population, ozone status, and carbon monoxide status. Revisions to the formula or updates to estimates may result in changes to available funds for the Kern COG CMAQ program; such updates will also affect the funds available for the local cost-effectiveness policy. CMAQ estimates may be revised at any time due to changes from Caltrans, Federal legislation, or classification of the air quality standards in the San Joaquin Valley.

### **Timeframe**

The local cost-effectiveness CMAQ policy is scheduled to be implemented in FY 2011 because the current federally approved 2007 Federal Transportation Improvements Programs (FTIPs) have committed CMAQ funds through FY 2009 and in some cases, regional commitments through FY 2010. In addition, the current CMAQ programming assists in implementing approved local RACM (Amended 2003 PM-10 Plan) that are committed through 2010.

The San Joaquin Valley Air Basin is currently classified as a serious ozone non-attainment area with an attainment deadline of 2013. As part of the 2007 Ozone plan, the Air District is requesting an “extreme” classification, which would delay the attainment deadline until 2023. If approved and assuming no change to the current funding formula, the MPOs may continue to receive CMAQ funding through that time (2023). The local cost-effectiveness CMAQ policy may remain in effect through 2023; however, continuation of the policy will be reviewed on a regular basis per the Policy Review section below.

### **Local Allocation of Funds**

The Federal Highway Administration (FHWA) released new CMAQ guidance based on SAFETEA-LU on October 31, 2006. The new legislation and guidance clarifies project eligibility, including advanced truck stop electrification systems and the purchase of diesel retrofits. SAFETEA-LU directs States and MPOs to give priority to diesel retrofits and to use cost-effective congestion mitigation activities that provide air quality benefits. Though SAFETEA-LU establishes these investment priorities, it also retains State and local agencies’ authority in project selection, meaning that changes to local procedures are not required by SAFETEA-LU. Kern COG has previously developed procedures for allocating CMAQ funds; the local cost-effectiveness CMAQ policy will be incorporated into existing procedures. Prioritization and funding of projects will continue to be based on criteria developed by Kern COG.

### **Cost-Effectiveness Threshold**

Cost-effectiveness is a key component of providing funding to projects that improve air quality and reduce congestion. The cost-effectiveness of an air quality project is based on the amount of pollution it eliminates for each dollar spent. Policies that focus on cost-effectiveness will result in the largest emission reductions for the lowest cost. Cost-effectiveness can be based on total project costs, including capital investments and operating costs. However, for the purposes of this policy, cost-effectiveness is based on CMAQ funding dollars only.

In the state of California, the Air Resources Board (ARB) provides funding for air quality improvement projects through the Carl Moyer Program, which requires that heavy-duty vehicle projects meet a cost-effectiveness threshold. The San Joaquin Valley Air Pollution Control District (SJVAPCD) also uses cost-effectiveness thresholds for projects funded through the REMOVE II and Heavy-duty Incentive Programs. However, there is currently no minimum cost-effectiveness established for the CMAQ program, and according to recent studies, the numbers vary widely across the country and by project type.

Prior to allocation of CMAQ funds for the local cost-effectiveness policy with each FTIP, the SJV MPOs in consultation with the interagency consultation (IAC) partners will develop the minimum cost-effectiveness threshold. While other criteria may be developed at the discretion of Kern Council of Governments, all projects funded by the 20% of CMAQ dollars related to the local cost-effectiveness CMAQ policy must meet that minimum threshold.

## **Expenditure of Funds under the Local Cost-Effectiveness Policy**

Kern COG will make every effort to expend the minimum 20% funding for the cost-effective projects as soon as possible beginning in FY 2011. However, recognizing that there are additional issues related to project delivery and financial constraint, Kern COG will be allowed to meet the 20% funding over the course of the FTIP, beginning with the 2008 FTIP and each new FTIP thereafter. For example, if the four-year estimate is \$4 million in one year, or other combination of funding.

Project eligibility will continue to be based on federal CMAQ guidance. MPOs can continue to fund projects within the local jurisdictions, or contribute funding to the SJVAPCD air quality grant incentive programs to meet their cost-effectiveness threshold requirements.

## **Emissions Estimates**

CMAQ projects must demonstrate an air quality benefit, and the expected emissions reductions will continue to be estimated with the most recent methodology. As of 2007, the ARB “Methods to Find the Cost-Effectiveness of Funding Air Quality Projects” released in 2005 is the appropriate methodology. If necessary, interagency consultation will be used to reach agreement on the methodology for future estimates. Emission benefits and cost-effectiveness calculations will continue to be based on the applicable pollutants for the region, including nitrogen oxides (NO<sub>x</sub>), volatile organic compounds (VOC), particulate matter (PM) and carbon monoxide (CO).

## **Reporting Requirements**

Tracking of the CMAQ policy will be achieved through several methods. MPOs must develop annual reports for Caltrans and FHWA that specify how CMAQ funds have been spent and the expected air quality benefits. This report is due by the first day of February following the end of the previous Federal fiscal year (September 30) and covers all CMAQ obligations for that fiscal year. As has been the practice of several MPOs, a copy of the CMAQ annual report will also be submitted to the Air District for information purposes. Each MPO will also post information related to the implementation of the local cost-effectiveness CMAQ policy on its website.

## **Policy Review**

Due to changes in project costs and technology over time, the MPOs will revisit the minimum cost-effectiveness threshold, as well as policy feasibility, at least once every four years prior to FTIP development. A periodic review of the policy is necessary due to potential changes in federal transportation legislation, apportionments, and project eligibility. This policy will only affect 20% of the allocated federal CMAQ funds, and does not imply changes to other funding programs. Should future transportation legislation not include CMAQ funding, this policy will no longer be in effect.

## Example Schedule

The following is an example schedule of the policy implementation and updates. This information is only representative of the general approach and specific schedules will be developed in the future (annual reports will continue to be prepared and submitted as required).

| Example Schedule   |   |
|--------------------|---|
| <b>Summer 2008</b> | Develop cost-effectiveness threshold through interagency consultation   |
| <b>Fall 2008</b>   | Identify funding available in the 2008 FTIP related to the 20% local cost-effectiveness policy  |
| <b>Spring 2009</b> | Implement call for projects – Quantify, rank, and select CMAQ projects  |
| <b>Summer 2009</b> | Approve Amendment to 2008 FTIP  |
| <b>Summer 2011</b> | Review policy feasibility. If policy is continued, proceed with following steps. Update cost-effectiveness threshold through interagency consultation |
| <b>Fall 2011</b>   | Identify funding available in the 2012 FTIP related to the 20% local cost-effectiveness policy  |
| <b>Spring 2012</b> | Implement call for projects – Quantify, rank, and select CMAQ projects  |
| <b>Summer 2012</b> | Approve 2012 FTIP   |

# Chapter 6

## Active Transportation Program (ATP)

|  |            |
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### Background

On July 6, 2012, “Moving Ahead for Progress in the 21<sup>st</sup> Century Act (MAP-21)” was signed into law. Section 1122 of MAP-21 established the Transportation Alternatives Program (TAP), Safe Routes to School Program and Federal Lands Program. Subsequently, on September 26, 2013 the Governor of California signed legislation creating the Active Transportation Program (ATP) (Senate Bill 99, Chapter 359 and Assembly Bill 101, Chapter 354) in response to MAP-21. This legislation requires the California Transportation Commission (CTC), in consultation with an Active Transportation Program Workgroup, to develop program guidelines. CTC guidelines describe the policy, standards, criteria, and procedures for the development, adoption and management of the Active Transportation Program. The goals of the Active Transportation Program are to:

- Increase the proportion of biking and walking trips;
- Increase safety for non-motorized users;
- Increase mobility for non-motorized users;
- Advance the efforts of regional agencies to achieve greenhouse gas reduction goals;
- Enhance public health, including the reduction of childhood obesity through the use of projects eligible for Safe Routes to Schools Program funding;
- Ensure disadvantaged communities fully share in program benefits (25% of program); and
- Provide a broad spectrum of projects to benefit many types of active transportation users.

Federal TAP funds are to be used for transportation-related capital improvement projects that enhance quality-of-life, in or around transportation facilities. Projects must be over and above required mitigation and normal transportation projects, and the project must be directly related to the transportation system. The projects should have a quality-of-life benefit while providing the greatest benefit to the greatest number of people. All projects using this funding shall be included in the FTIP either by amendment or as part of the biennial update. All projects funded with TAP shall be subject to the eligibility requirements defined in Title 23 and their interpretation by state and federal agencies.

**Eligible activities** - Funds may be used for projects or activities that are related to surface transportation and described in the definition of “Transportation Alternatives.” [23 USC 101(a)(29)].

- Construction, planning, and design of on-road and off-road trail facilities for pedestrians, bicyclists, and other non-motorized forms of transportation;
- Construction, planning, and design of infrastructure-related projects and systems that will provide safe routes for non-drivers, including children, older adults, and individuals with disabilities to access daily needs;
- Conversion and use of abandoned railroad corridors for trails for pedestrians, bicyclists, or other non-motorized transportation users;
- Construction of turnouts, overlooks, and viewing areas;
- Community improvement activities, including— inventory, control, or removal of outdoor advertising;
- Historic preservation and rehabilitation of historic transportation facilities;
- Vegetation management practices in transportation rights-of-way to improve roadway safety, prevent against invasive species, and provide erosion control; and
- Archaeological activities relating to impacts from implementation of a transportation project eligible under 23 USC; and
- Any environmental mitigation activity, including pollution prevention and pollution abatement activities and mitigation to— address storm-water management, control, and water pollution prevention or abatement related to highway construction or due to highway runoff; or
- Reduce vehicle-caused wildlife mortality or to restore and maintain connectivity among terrestrial or aquatic habitats.

In addition to defined Transportation Alternatives, the following programs continue to be eligible:

- The Recreational Trails Program under 23 USC 206;
- The Safe Routes to School Program; and
- Planning, designing, or constructing boulevards and other roadways largely in the right-of-way of former Interstate System routes or other divided highways; and
- Workforce development, training, and education activities.

Careful consideration should be given to whether an activity falls within the eligibilities created under TAP. Ineligible Activities include the following:

- State or MPO administrative purposes, except for SRTS administration, and administrative costs of the State permitted for RTP set-aside funds;
- Promotional activities, except as permitted under the SRTS;
- General recreation and park facilities, playground equipment, sports fields, campgrounds, picnic areas and pavilions; and
- Routine maintenance and operations.

### State ATP Policy

The California Transportation Commission adopted guidelines for the Active Transportation Program and Caltrans has developed and implemented the information to identify, rank and select projects for funding. This information may be found at: <http://www.dot.ca.gov/hq/LocalPrograms/atp/>. Kern COG's regional process is subject to the approved guidelines set forth by the Commission.

### ATP Regional Delivery Policy

Acting in the capacity as the federally designated Metropolitan Planning Organization, Kern COG shall perform several functions, in collaboration with the CTC, to identify and deliver ATP projects. Policies and procedures set forth in this section are intended to maximize the Kern Region's opportunities to receive both state discretionary ATP funding and the Regional minimum guarantee share. The following regional policy elements are provided below are intended to compliment state policy and maximize regional funding opportunities within the ATP and other related programs.

- Because there is both a state discretionary and regional share funding component to the CTC adopted ATP policy, all member agency applications shall be submitted to the State Call for Projects before being considered for the regional share of the program.
- A regional call for projects shall not be separate from the state's adopted Call for Projects adopted timeline - applications sent to the state should also be sent to Kern COG as prescribed in the state approved guidelines.
- Adopted regional policy and procedural guidance shall be subject to the states approved policies and guidance. Regional flexibility shall be prescribed by the CTC.
- Kern COG shall reference ranking and processing criteria as approved by the CTC.
- When developing a regional program of projects, Kern COG shall consider and accept the ranking status of projects previously ranked by state officials.

- Kern COG shall integrate its development of a regional Program of Projects consistent with CTC adopted timelines for a statewide call for projects.
- For purposes of developing a regional Program of Projects, Kern COG shall form a sub-committee made of regional agencies and community stakeholders as prescribed in the adopted CTC guidelines.
- State policy supports a regional ATP contingency list. Should Kern COG choose, contingency projects not selected for funding due to financial constraint may be submitted to the Commission as information only. Should there be a need to replace a failed project already programmed, the region would notify the Commission and request an amendment to trade/replace projects. The contingency list would be developed based on previously ranked projects just below the regional funding line subject to eligibility and deliverability. The contingency list would cease with the programming of a new ATP cycle and would require a new application and review in the following new cycle.
- All applications to the state will require a Project Study Report or an equivalent. This is required by the state guidelines.

### **ATP Call for Projects and Programming Timeline**

- Kern COG shall issue a concurrent ATP Call for Projects announcement to members of the Transportation Technical Advisory Committee (TTAC) and Transportation Planning Policy Committee (TPPC) meetings in conjunction with the Caltrans ATP Call for Projects.
- Kern COG shall distribute the application form, application instructions, access to the adopted Kern COG and CTC Policy Guidelines, integrated timeline, and a clear explanation that Kern region applications require submittal to the state's process prior to consideration of regional funding.
- Applications not submitted to the Caltrans ATP Call for Projects will not be considered for regional funding. The CTC Guidelines require that all applications sent to Caltrans are to be sent to the associated regional agency.
- Kern COG shall organize a Review Committee consisting of volunteers from the TTAC, TPPC and community stakeholders as prescribed by adopted CTC ATP guidelines.
- The Review Committee will analyze applications, Caltrans comments, and regional funding available to Kern COG. The Review Committee will not re-rank applications.
- The applications forwarded to the regions by Caltrans that are recommended for funding at the regional level shall be electronically forwarded by Kern COG to the Review Committee.
- Kern COG shall establish a meeting date for the Review Committee may review and discuss the applications with others and discuss the merits of each application. Recommendations

will be made to Kern COG staff for the regional Program of Projects.

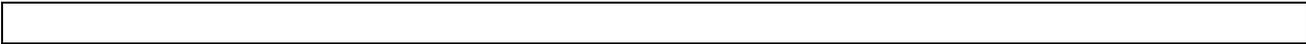
- After all applications are discussed, projects are prioritized from highest to lowest Caltrans scores. Projects are funded as allowed by CTC adopted regional ATP program levels.
- Kern COG staff shall prepare a staff report to the TTAC and TPPC presenting a proposed ATP regional Program of Projects based on the recommendations of the Review Committee.
- After regional approval, the regional ATP Program of Projects is submitted to the CTC for their approval at the prescribed time; once approved by the CTC, approved projects are incorporated into the Federal Transportation Improvement Program.
- Eligibility and programming of ATP projects are subject to adopted ATP Guidelines, state review and federal review during all phases of the advancement process.
- Kern COG ATP policies and procedures may be revised, updated, or otherwise modified at the discretion of the Kern COG Board of Directors and through state and federal updates.

Figure 6-A provides a list of events and dates leading up to the programming of new ATP projects in the FTIP. Dates are specific to the state Cycle 2 Call for Projects occurring in 2015. Additional elements are added to expand on the regional role in the process.

(Dates are subject to March 26, 2015 approval of CTC Guidelines)

**Figure 6-A: ATP Milestones for Project Application Submittal and Approval**

| <b>ATP Milestones</b>      |   |
|----------------------------|---|
| March 26, 2015             | Commission adopts Active Transportation Program Guidelines  |
| March 26, 2015             | CTC initiates Call for Projects   |
| March 26, 2015             | KCOG concurrently initiates Call for Projects – send out notification of state call for projects and its link to the regional process                 |
| June 1, 2015               | Project applications are due to Caltrans  |
| June 1, 2015               | Large MPOs submit optional guidelines to Caltrans   |
| Month of June, 2015        | KCOG Requests volunteers for Review Committee   |
| June 25, 2015              | Commission approves or rejects MPO guidelines   |
| Month of July, 2015        | KCOG distributes applications to Review Committee for their review  |
| September 15, 2015         | CTC Staff recommendation for program of projects  |
| October 22, 2015           | Commission adopts statewide program of projects   |
| October 22, 2015           | Unfunded applications forwarded to large MPOs based on location   |
| Week of September 14, 2015 | KCOG conducts Review Committee Workshop to develop regional list of projects for regional approval at October TTAC meeting and October Board meeting. |
| November 16, 2015          | Deadline for MPO project recommendations to the Commission  |
| December 10, 2015          | Commission adopts MPO selected projects   |



# Chapter 7

## Transportation Development Act (TDA)

|  |      |
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### Background

#### *Establishment of Fund*

Pursuant to California Government Code Section 29530, the Kern County Board of Supervisors has established the Local Transportation Fund and the State Transit Assistance Fund within the Kern County Treasury for the purpose of financing transportation activities in accordance with the Transportation Development Act (TDA) (PUC Section 99200 et seq.). This chapter includes guidance for eligible claimants to obtain funding under the **Pedestrian and Bikeway Program**, the **Social Service Transit Program**, **Public Transit Program**, and the **Streets and Roads Program**.

#### *Designation of Transportation Planning Agency*

Pursuant to California Government Code Section 29532, the Kern Council of Governments (KCOG) is the designated regional transportation planning agency for purposes of administering the Act within the Kern region.

#### *Promulgation of Rules and Regulations*

Pursuant to Public Utilities Code Sections 99261, 99275.5 and 99401, KCOG, acting as the transportation planning agency, shall be responsible for the promulgation of rules and

regulations governing the submission, analysis, review and approval of claims and the distribution of funds under the terms of an approved claim. Said rules and regulations shall make specific and execute the provisions of the Act and shall be subordinate thereto.

***Trust Fund Administration***

The Local Transportation Fund and State Transit Assistance Fund shall be administered in accordance with the provisions of the Act and Article VI of Kern COG's Accounting Policies.

**PROGRAM RESPONSIBILITIES**

***Kern COG shall be responsible for the following:***

- Administering the Kern TDA program in accordance with the provisions of the Act and these rules and regulations.
- Obtaining an annual estimate as it becomes available of total Local Transportation Fund revenue, for the ensuing year, from the Kern County Auditor-Controller; obtaining an annual certified population estimate for each potential claimant from the California State Department of Finance; and obtaining an annual statement of farebox revenue for each transit operator from the California State Controller.
- Developing an annual apportionment schedule based on appropriate criteria and estimates and notifying all prospective claimants of all area apportionments by March 1st of each year.
- Preparing a Regional Transportation Plan and evaluating all claims with respect to their consistency with this plan.
- Evaluating all claims for adherence to the terms of the Act and these rules and regulations.
- Conducting an annual regional public hearing to receive testimony regarding unmet transit needs within the Kern region prior to considering approval of any streets and roads claims.
- Reviewing and approving, by Council resolution, each claim or amendment thereto and the conditions of each related allocation.
- Maintaining detailed records and reports accounting for all financial activity within the program trust funds.
- Providing each claimant a quarterly statement of financial activity within the subsidiary accounts relating to their area of apportionment.
- Contracting for an annual independent financial and compliance audit of the program trust funds.

- Coordinating a program for the annual independent financial and compliance audit of all claimants and contracting for the conduct of triennial performance audits of each transit system operator.
- Reviewing and monitoring claimant's compliance with annual claims, conditions of claim approval and audit citations.
- Adjusting the claim of any claimant who is found to have administered or expended funds contrary to the conditions of approval.
- Preparation of an annual report and submission to the Secretary of Business, Transportation and Housing by October 1st of each year.

***Claimant Responsibilities***

Each claimant shall be responsible for the following:

- Administering each claim in accordance with the Act and these rules and regulations.
- Maintaining detailed financial records and reports in accordance with the Uniform System of Accounts and Records as defined by the California State Controller and governmental generally accepted accounting principles.
- Expending funds solely for the purposes cited in the Act and specifically listed in an approved claim, subject to the KCOG conditions of approval.
- Providing for the conduct of an annual independent financial and compliance audit of all TDA-funded activity and the submission of the audit report to KCOG.
- Providing access to local records, reports and documents regarding TDA-funded activities to KCOG.

**ADMINISTRATION AND REGIONAL PLANNING PROGRAMS**

***Administration Allocation***

Pursuant to PUC Section 99233.1, the KCOG Council shall annually allocate such sums as determined by the Council to be necessary for the administration of the Act and Kern COG TDA Rules and Regulations. KCOG shall request such funding as an integral part of the annual development of the Overall Work Program (OWP).

***Regional Planning Allocation***

Pursuant to PUC Sections 99262 and 99402, claims filed under Articles IV and V of these rules and regulations may include contributions to KCOG for funding the comprehensive regional planning process. KCOG shall request such funding as an integral part of the annual development of the OWP and coordinate the inclusion into each claim such sums as may be approved.

## **PEDESTRIAN AND BIKEWAY PROGRAM**

### ***Program Purpose***

Pursuant to PUC Section 99233.3, KCOG shall establish a program and make available funding to the county and cities for facilities provided for the exclusive use of pedestrians and bicycles. In addition, funds may be made available to supplement the financing of bicycle safety education programs. Claims shall be filed as stipulated by the provisions of the Article.

### ***Funding Level***

The level of program funding shall be predicated on the availability of funds as governed by the Act and approved by the Council.

### ***Eligible Claimants***

Eligible claimants under this Article shall include the County of Kern and each incorporated city within Kern County.

### ***Filing Date***

Claims under this Article shall be filed on or before July 15 of each fiscal year. A claim shall not be considered filed until all forms, documents and supporting data have been received by KCOG.

### ***Claim Form***

KCOG shall prescribe the forms on which all claims must be filed. KCOG reserves the right to alter the forms as may, from time-to-time, be required. Claimants shall be responsible for ensuring that claims forms are complete and sufficient information is provided to permit adequate evaluation based on applicable criteria (see Appendix A).

### ***Claimant Funding Limitations***

Not more than forty (40) percent of the available annual funds shall be approved for allocation to any one (1) claimant, unless all other claims filed for the same period have been fulfilled. A claimant may, however, request that funds be accumulated over a period not to exceed three (3) years if a proposed high-ranking project exceeds the 40 percent funding limitation.

### ***Project Priorities***

Claimant projects shall receive a funding priority ranking based on the following criteria:

- 1) First Priority: bicycle parking facilities and bicycle safety programs;
- 2) Second Priority: bikeway facilities; and
- 3) Third Priority: pedestrian facilities.

Projects shall also be ranked in order of priority within each of these three areas based on the criteria listed below.

***Bicycle Safety Program Criteria***

The maximum funding available to each eligible claimant each year shall be \$1,000.

***Bicycle Parking Facilities Criteria***

The following evaluative criteria shall be applied to each bicycle parking facility project listed in a claim:

- The facility must be located within a public use center, such as government buildings, parks or recreation halls.
- The total number of bicycle parking spaces funded each year shall not exceed ten (10) percent of the auto parking spaces required by local ordinance for the larger facility to be served.
- A claimant shall receive funding for no more than one (1) bicycle parking project during any fiscal year.
- Maximum Funding: Each eligible jurisdiction may claim up to \$3,000 annually. Total program funding for bicycle parking shall not exceed \$36,000 annually.

***Bikeway Facility Criteria***

The following evaluative criteria shall be applied to each bikeway facility project listed in a claim:

- A proposed Class I, II or III facility must conform to the standard specifications cited in the publication entitled Planning and Design Criteria for Bikeways in California.
- Costs associated with the preliminary project engineering shall be funded only for projects approved for construction.
- Safety factors shall be quantified as follows:
  - Number of bicycle traffic accidents within the past three (3) years:





- A project shall receive five (5) points if it will provide for barriers, medians or parkways designed to physically separate pedestrian and vehicular traffic.
- The provision of matching funds shall be quantified as follows:

| <b>Matching Funds</b> | <b>Points</b> |
|-----------------------|---------------|
| 0 – 4 %               | 5             |
| 5 – 9 %               | 10            |
| 10 – 14 %             | 15            |
| 15%                   | 20            |

***General Facility Design***

Pursuant to PUC Section 99401(b), all KCOG-funded nonmotorized transportation facilities shall comply with the general design criteria for such facilities set forth in Section 156.4 of the Streets and Highways Code.

***Claim Processing***

Claims for the funding filed pursuant to this Article shall be processed in accordance with the following procedure:

- Funding shall be allocated to a claimant without respect to area apportionments for transit and streets and roads programming.
- Funding shall be allocated and disbursed pursuant to the RTP and the priority ranking of projects developed in accordance with the application of the criteria cited herein.
- The Bicycle Steering Subcommittee, the Transportation Technical Advisory Committee and the Council shall review each claim. Claims shall be approved by KCOG Council resolution. Claim review and approval may be postponed if a representative of the claimant does not attend the meeting.
- Claims filed on or before August 1st shall be considered for approval at the regular Council meeting in September. Claims filed after August 1st shall be considered at the discretion of KCOG and based on the availability of funds. Claim review and approval may be postponed if a representative of the claimant does not attend the meeting.
- Once the annual apportioned program funding is fully allocated, claims remaining unfunded shall be deferred to the following fiscal year.

- Claimants shall file a written request to KCOG for the disbursement of allocated funds to the local treasury. This request shall certify the work is scheduled to commence upon receipt of funds. No disbursement shall be made in an amount that exceeds claimant's allocated reserve account balance.
- KCOG shall issue a disbursement instruction to the Kern County Auditor-Controller as soon as practical in response to a written claimant request certifying that work is scheduled to commence on an approved project.

***Time Limitation***

Projects approved for funding in one fiscal year shall be considered void if construction is not started by the end of the following fiscal year. Funds allocated within the Local Transportation Fund and those disbursed to a claimant's local treasury shall then be returned or refunded to the unallocated pedestrian/bikeway reserve account for reallocation during the next program funding cycle.

***Claimant Funding Limitations***

All unearned revenues (revenues in excess of approved expenditures) and interest earnings attributable to deposits of pedestrian/bikeway funds held in a claimant treasury shall be refunded to the trust fund.

**SOCIAL SERVICE TRANSIT PROGRAM**

***Designation of Consolidated Transportation Service Agency***

Pursuant to CAC Section 6680, KCOG shall designate a Consolidated Transportation Service Agency (CTSA) for the coordination, consolidation and administration of social service transit services for the elderly and handicapped

***Funding Level***

The level of program funding shall be predicated on the availability of funds as governed by the Act and approved by the Council pursuant to Accounting, Article VI, Section 3.

***Eligible Claimants***

Eligible claimants under this Article shall be those entities formally designated as a CTSA by the KCOG Council.

***Filing of Claims***

Claims filed pursuant to the provisions of this program shall be filed in the same manner as claims filed under the KCOG Public Transit Program (Article VI). A claim shall not be considered filed until all forms, documents and supporting data have been received by KCOG.

### ***Social Service Transportation Advisory Council***

Senate Bill 498 requires KCOG to establish a "Social Service Transportation Advisory Council" for the purpose of reviewing transit services for the elderly, disabled, and persons of limited means. The Council must include at least one member from each of the following categories: transit user-senior, transit user-handicapped, local provider-senior, local provider-handicapped, local provider-limited income, operator, Consolidated Transportation Service Agency (CTSA).

### ***Claim Evaluation Criteria***

Claims filed under this program shall be evaluated based upon the following criteria:

- The proposed service shall respond to a transportation need not currently being met within the claimant's service area.
- The proposed service shall, if appropriate, be integrated with existing transit services.
- The claimant has prepared an estimate of service revenues, operating costs and patronage.
- The proposed service/system is in compliance with the performance criteria, local match requirements and farebox recovery ratio, adopted by resolution of the KCOG Council.
- Each transit operator shall honor the federal Medicare identification card and California State Department of Motor Vehicle placard as sufficient identification to receive reduced fares for the elderly and disabled.
- The claim is in compliance with the criteria applicable to claims filed under the KCOG Public Transit Program (Article VI).

## **PUBLIC TRANSIT PROGRAM**

### ***Program Purpose***

Pursuant to PUC Section 99260 et. seq., KCOG shall establish a program and make funding available to eligible claimants for the support of public transit systems. Funding shall be

provided for costs associated with planning, operating and capitalizing public transit systems serving needs that are reasonable to meet.

***Funding Level and Allocations***

The level of program funding shall be predicated on the availability of funds as governed by the Act and approved by the Council. Funds provided under this program shall be allocated in accordance with and for purposes listed in PUC Articles 4, 6.5, 8(c) and 8(d).

***Eligible Claimants***

Eligible claimants under this Article shall include the County of Kern, each incorporated city within Kern County and the Golden Empire Transit District.

***Filing Date***

Claims under this Article shall be filed on or before April 1st of each fiscal year. A claim shall not be considered filed until all forms, documents and supporting data have been received by KCOG.

***Claim Form***

KCOG shall prescribe the forms on which all claims must be filed. KCOG reserves the right to alter the forms may, from time-to-time, be required. Claimants shall be responsible for ensuring that claim forms are complete and sufficient information is provided to permit evaluation based on applicable criteria.

***Claimant Funding Limitations***

Claims filed for public transit purposes shall be approved in an amount not to exceed the claimant's area apportionment or actual system net operating and capital costs (CAC Section 6634), whichever is less.

***Unmet Needs and Reasonableness***

The KCOG Council, by Resolution No. 90-04, has defined an "unmet need" and "reasonable to meet" as follows:

- Unmet Need: An unmet transit need exists if an individual of any age or physical condition is unable to transport him or herself due to deficiencies in the existing transportation system.

Excluded are: 1) those requests for minor operational improvements, and 2) those improvements funded and scheduled for implementation in the following fiscal year.

● Reasonable to Meet:

- **Operational Feasibility:** The requested improvement must be safe to operate and there must be adequate roadways for transit vehicles.
- **Duplication of Service:** The proposed service shall not duplicate other transit services.
- **Timing:** The proposed service shall be in response to an existing, rather than a future, need.

Service must meet the legally required farebox ratio (PUC Sections 99268.2, 99268.5 and CAC Sections 6633.2, 6633.5) with fares close to fare of similar service.

***Claim Evaluation Criteria***

Public transit claims shall be evaluated based on the following criteria:

- Unreasonable or arbitrary increases in executive level salaries shall not be permitted.
- Routine staffing of two or more persons in a vehicle designed to be operated by one person shall not be permitted.
- An increase in the operations budget in excess of fifteen (15) percent over the preceding year shall be substantiated by a written justification.
- Substantial increases or decreases in the scope of operations shall be substantiated by a written description and justification.
- Substantial increases or decreases in the scope of capital acquisitions shall be substantiated by a written justification.
- A minimum of fifteen (15) percent of the TDA funds claimed shall be used for capital expenditure.
- Current costs of the employee retirement plan shall be fully funded.
- Claimants administering private pension plans shall conduct periodic actuarial studies of the plan; formulate and adopt financial plans to eliminate deficits; and set aside and invest funds sufficient to provide payment of future benefits.

- Claimants administering private pension plans shall include in their annual reports and financial statements an actuarial determination of the amount of pension liability; a determination of the amount of cash set aside and invested to meet pension liabilities; a determination of the amount of any plan deficit; and a financial plan designed to eliminate any deficits.
- Excessive changes in the level of passenger fares shall not be permitted.
- Operating policies and system efficiency must be reasonable.
- All public transportation needs within the claimant's jurisdiction, which are determined reasonable to meet, shall be served.
- Full use shall be made of other available financing sources, including federal transportation grants.
- Reporting and accounting procedures adopted by the California State Secretary of Transportation and KCOG shall be followed.
- Reasonable efforts shall have been made to implement KCOG's recommended productivity improvements.
- Reasonable efforts shall have been made to implement and/or correct financial and compliance and performance audit citations.
- An operator qualifying under CA Section 6633.1(a) shall not expend TDA Article 4 funds in excess of fifty (50) percent of the cost for operations, maintenance, capital and debt service less federal grants.
- Operating costs, farebox revenue and local financial support shall be clearly identified.
- A farebox recovery ratio of ten (10) percent for social service systems, ten (10) percent for rural systems and one-fifth for urban systems shall be maintained.
- A detailed report shall be filed within 90 days after the end of the first fiscal year in which any extension of service is implemented and the associated costs are subject to exclusion from farebox recovery ratio requirements.
- Urbanized areas, as defined by the latest Bureau of the Census report, shall be used to determine required farebox recovery ratios.

- Budgeting for and accumulating TDA-funded cash reserves in a local treasury shall not be permitted.
- Budgeting of non-cash related expenses, such as depreciation and amortization, should not be permitted.

***Transit System Coordination and Transfers***

Transit system operators shall coordinate services, fares, and transfer privileges in accordance with the following procedure:

- Review the routes, schedule and fare structure of each transit system within the service area by May 1st of each year.
- Coordinate the location, timing and cost of transfers to the mutual satisfaction of each operator.
- Maintain an ongoing program to receive and respond to written and oral requests and complaints regarding transfers.
- Provide written notification to KCOG within fourteen (14) days of the receipt of a complaint.
- Resolve and respond to each complaint within thirty (30) days of receipt.
- Provide a written report on the complaint and corrective actions to KCOG within ten (10) days response to each complaint.
- The violation of coordination and transfer agreements by a transit operator shall disqualify the violator from filing a claim for TDA funding pursuant to the KCOG Public Transit Program (PUC Sections 99282-99284).

***Claim Processing***

Claims for funding filed pursuant to this Article shall be processed in accordance with the following procedure:

- Funding shall be allocated to a claimant's reserve account from the area apportionment in an amount sufficient to fully fund transit claims prior to allocation for any other purpose.
- Funding shall be allocated and disbursed pursuant to the Regional Transportation Plan, an approved claim and KCOG conditions of approval.

- The Transportation Technical Advisory Committee, the Transportation Planning Policy Committee and the KCOG Council shall review each claim. Claim review and approval may be postponed if a representative of the claimant does not attend the meetings.
- Claims filed on or before April 1st shall be considered for approval at the June Council meeting. Amendments and claims filed after April 1st shall be considered for approval as soon as practical. Claims and amendments thereto shall be approved by KCOG Council resolution.
- Disbursement of transit funds to a claimant shall be made solely in accordance with the Act, an approved claim and the conditions of approval. Funds shall be automatically disbursed by KCOG, disbursed to claimant's local treasury in a single lump sum payment once sufficient funds have been allocated. Should a claimant demonstrate that delaying payment would create a financing hardship, KCOG may approve partial payments on a monthly, quarterly or other reasonable basis. No disbursement shall be made in an amount that exceeds the claimant's allocated reserve account balance.
- KCOG may adjust any claim and the related amounts to be disbursed in accordance with the results of the annual financial and compliance audit.
- Each claimant shall maintain a separate "transit enterprise fund" to account for all financial activity related to an approved claim.
- Funds remaining unexpended in a claimant's local treasury at the close of a fiscal year shall be recognized as "deferred revenue" and carried forward to the claim for the following year.
- KCOG shall issue a disbursement instruction(s) to the Kern County Auditor-Controller as soon as practical after sufficient funds have been allocated to honor the claim in full or in accordance with an agreed-upon schedule of partial payments.

## **STREETS AND ROADS PROGRAM**

### ***Program Purpose***

Pursuant to PUC Section 99400 et. seq., KCOG shall establish a program and make funding available to eligible claimants for the support of street and road systems. Funding shall be provided for costs associated with the planning, construction and maintenance of streets and roads systems as stipulated in the California State Controller's "Guidelines Relating to Gas Tax Expenditures" (See Appendix "D").

***Funding Level and Allocations***

The level of program funding shall be predicated on the availability of funds as governed by the Act and approved by the Council. Funds provided under this program shall be allocated in accordance with and for purposes listed in PUC Article 8.

***Eligible Claimants***

Eligible claimants under this Article shall include the County of Kern and each incorporated city within Kern County.

***Filing Date***

Claims under this Article shall be filed on or before September 1st of each fiscal year. A claim shall not be considered filed until all forms, documents and supporting data have been received by KCOG.

***Claim Form***

KCOG shall prescribe the forms on which all claims must be filed. KCOG reserves the right to alter the forms as may, from time-to-time, be required. Claimants shall be responsible for ensuring that claim forms are complete and sufficient information is provided to permit adequate evaluation based on applicable criteria.

***Claimant Funding Limitations***

Claims filed for streets and roads purposes shall be approved in an amount not to exceed claimant's area apportionment less amounts claimed for public transit purposes under Article VI or actual net program costs, whichever is less.

***Public Hearings and Required Findings***

KCOG and each claimant shall annually advertise and conduct a public hearing to receive testimony regarding any and all unmet transit needs prior to the consideration or submission of a claim pursuant to this program. Following the conduct of the hearing, KCOG and each claimant's governing body shall make a finding, by resolution, that there are no unmet transit needs; or that there are no unmet transit needs that can reasonably be met; or that there are unmet transit needs that can be reasonably met. The following documents must be submitted to KCOG after each claimant's public hearing: 1) A notice of public hearing; 2) Proof of publication; 3) A resolution of the governing body; 4) A summary of all staff reports responding to written or oral requests for unmet transit service during the fiscal year; and 5) Copies of all public comments received by claimant staff.

***Claim Evaluation Criteria***

Streets and roads claims shall be evaluated based upon the following criteria:

- Proposed projects and programs shall be consistent with the Regional Transportation Plan.
- Each project shall be identified by location (street name), distance between designated reference points and type of work to be done.
- Proposed projects and programs shall comply with the requirements of the California State Controller's "Guidelines Relating to Gas Tax Expenditures".
- Adequate funding shall first be directed to financing public transit needs.
- Budgeting for and accumulating TDA-funded cash reserves in a local treasury shall not be permitted.
- Budgeting of non-cash related expenses such as depreciation and amortization should not be permitted.
- Reasonable efforts shall have been made to implement and/or correct financial and compliance audit citations.
- Projects which are not started and completed in the fiscal year covered by an approved claim shall be included in the claim for the following year and reconsidered for approval.

***Claims Processing***

Claims for funding filed pursuant to this Article shall be process in accordance with the following procedure:

- Funding shall be allocated to a claimant's reserve account from the area apportionment in an amount sufficient to fully fund transit claims prior to allocation for streets and roads purposes.
- Funding shall be allocated and disbursed pursuant to the Regional Transportation Plan, an approved claim and KCOG conditions of approval.
- The Transportation Technical Advisory Committee, the Transportation Planning Policy Committee and the KCOG Council shall review each claim. Claim review and approval may be postponed if a representative of the claimant does not attend the meetings.
- Claims filed on or before September 1st shall be considered for approval at the November Council meeting. Amendments and claims filed after September 1st shall be considered for

approval as soon as practical. Claims and amendments thereto shall be approved by KCOG Council resolution.

- Disbursement of streets and roads funds to a claimant shall be made solely in accordance with the Act, an approved claim and the conditions of approval. Disbursement of streets and roads funds to a claimant's local treasury shall be made after all area transit funds have been fully disbursed.
- KCOG may adjust any claim and the related amounts to be disbursed in accordance with the results of the annual financial and compliance audit.
- Each claimant shall maintain a separate "streets and roads special revenue fund" to account for all financial activity related to an approved claim.
- Funds remaining unexpended in a claimant's local treasury at the close of a fiscal year shall be recognized as "reserved or designated fund balance" and carried forward to the claim for the following year.
- Claimants shall file a written request to KCOG for the disbursement of allocated funds to the local treasury. This request shall certify the work is scheduled to commence upon receipt of funds. No disbursement shall be made in an amount that exceeds a claimant's allocated reserve account balance.
- KCOG shall issue a disbursement instruction to the Kern County Auditor-Controller as soon as practical in response to a written claimant request certifying that work is scheduled to commence on an approved project.

**Resolution of Local Support  
Resolution No.**

**Authorizing the filing of an application for (INSERT FUNDING PROGRAM NAME HERE) funding and committing the necessary local match and stating the assurance to complete the project**

The (INSERT APPLICANT NAME HERE) (herein referred to as APPLICANT) is submitting an application to the Kern Council of Governments (Kern COG) for (INSERT FUNDING \$ AMOUNT HERE) in funding from the (INSERT FUNDING PROGRAM NAME HERE) program for the (INSERT PROJECT TITLE(S) HERE) (herein referred to as PROJECT); and

APPLICANT has the financial capacity to complete, operate and maintain the project; and

APPLICANT will ensure that funds required from other sources will be reasonably expected to be available on the time frame needed to carry out the project; and

APPLICANT is authorized to execute and file an application for funding the PROJECT under the (INSERT FUNDING PROGRAM NAME HERE) Program; and

APPLICANT, by adopting this resolution, does hereby state that:

1. APPLICANT will provide (\$ minimum match amount) in local matching funds; and
2. APPLICANT understands that the (INSERT FUNDING PROGRAM NAME HERE) funding for the project is fixed at the approved programmed amount, and that any cost increases must be funded by the APPLICANT from other funds, and that APPLICANT does not expect any cost increases to be funded with additional (INSERT FUNDING PROGRAM NAME HERE) funding; and
3. APPLICANT understands the funding deadlines associated with these funds and will comply with the program implementation procedures described in Chapter 2 of the Kern COG Project Delivery Policies and Procedures manual; and
4. PROJECT will be implemented as described in the complete application and in this resolution and, if approved, for the amount programmed in the FTIP; and
5. APPLICANT and the PROJECT will comply with the requirements as set forth in the program; and

APPLICANT authorizes its Executive Director, General Manager, or designee to execute and file an application with Kern COG for (INSERT FUNDING PROGRAM NAME HERE) funding for the PROJECT as referenced in this resolution.

# APPLICATION FORMS & INSTRUCTIONS

|   |             |
|---|-------------|
| <b>RSTP Application Form .....</b>                              | <b>B-3</b>  |
| <b>RSTP Application Instructions .....</b>                      | <b>B-4</b>  |
| <b>CMAQ Application Form .....</b>                              | <b>B-5</b>  |
| <b>CMAQ Application Instructions .....</b>                      | <b>B-6</b>  |
| <b>ATP Application Form &amp; Instructions .....</b>            | <b>B-8</b>  |
| <b>TDA Claim Form .....</b>                                     | <b>B-15</b> |
| <b>Instructions to Obtain Accident &amp; Fatality Rates ...</b> | <b>B-21</b> |



**Regional Surface Transportation Program (RSTP) – Call for Projects  
PROJECT APPLICATION**

(1) Is the project included in a local agency-adopted resolution supporting the project? YES / NO

(2) Does the proposed project meet basic eligibility requirements? YES / NO

Functional Classification: \_\_\_\_\_

(3) Project justification. Explain project need in terms of existing infrastructure, impact for service, safety or any other issue relevant to the project. Please indicate project is reconstruction, rehabilitation or resurfacing. (Attach to application)

(4) Lead Agency: \_\_\_\_\_

(5) Project scope and work description (indicate project limits): \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

| (6)     | Funding Type | PE       | R/W      | Const.   | Total    |
|---------|--------------|----------|----------|----------|----------|
| Local   | _____        | \$ _____ | \$ _____ | \$ _____ | \$ _____ |
| Local   | _____        | \$ _____ | \$ _____ | \$ _____ | \$ _____ |
| State   | _____        | \$ _____ | \$ _____ | \$ _____ | \$ _____ |
| Federal | _____        | \$ _____ | \$ _____ | \$ _____ | \$ _____ |

(7) Programming Year by Phase: PE: \_\_\_\_\_ R/W: \_\_\_\_\_ Const: \_\_\_\_\_

(8) Rank: \_\_\_\_\_

---

|                                 |                     |
|---------------------------------|---------------------|
| Application completed by: _____ | Phone Number: _____ |
| Agency: _____                   | Fax Number: _____   |
| Date Completed: _____           | E-mail: _____       |
| Address: _____                  |                     |

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Send completed application to:  
 Kern Council of Governments - 1401 19th Street, Suite 300 - Bakersfield, CA 93301  
 Telephone - 661-861-2191 - Facsimile 661-325-8214

**Regional Surface Transportation Program (RSTP) – Call for Projects  
PROJECT APPLICATION INSTRUCTIONS**

1. Resolution requirement – All projects submitted for funding must be included in a local agency-adopted resolution where a commitment is made to fund and implement projects as described in applications. A sample resolution is presented in APPENDIX A.
2. Eligibility requirements – Chapter 4 of the Kern COG Project Delivery Policies and Procedures manual provides a series of information regarding eligible projects funded in the RSTP program. Please review those eligibility guidelines. Should there be any question about project eligibility, Kern COG staff should be consulted prior to submittal.
3. Project background and justification - A purpose and need statement for the project, no longer than one page. It's meant to provide relevant information about the need for the project, safety issues, service issues or any other information that relates the project to the agencies transportation goals.
4. Lead agency - The lead agency is the same agency that will be responsible for delivering the project. That agency will require a Master Agreement with Caltrans to participate in the federal-aid reimbursement process.
5. Project description – The project description should provide information related to the limits and length, intersection location.
6. Funding information – Funding type refers to revenue source description such as: general fund, impact fee, Transportation Development Act (TDA), etc. The funding chart is broken into local, state, and federal funding rows, by phase: PE is preliminary engineering; R/W is rights-of-way; and Const is construction. The local match requirement for RSTP funding is 11.47%. This is the minimum amount of local match required for a RSTP project. Should your agency choose to increase the local match percentage in the proposed project, indicate that in the table as well. Federal-aid funding may be matched with local and state funds.
7. Programming year – Available federal fiscal years for programming of funds will be identified with each call for projects. The federal fiscal year begins October 1 each year and ends on September 30<sup>th</sup> of the following year. It is imperative that a project be initiated and obligated during the year in which it is programmed.
8. Rank: Indicate the ranking from the lead agency list of projects.

If there are any questions about information in the form or these instructions, please contact Joseph Stramaglia or Raquel Pacheco at 661-861-2191, or [jstramaglia@kerncog.org](mailto:jstramaglia@kerncog.org) / [rpacheco@kerncog.org](mailto:rpacheco@kerncog.org).

**Congestion Mitigation and Air Quality (CMAQ) Program  
PROJECT APPLICATION**

- (1) Is the project included in a local agency-adopted resolution supporting the project? YES / NO
- (2) Does the proposed project meet basic eligibility requirements? YES / NO
- (3) Project background and justification. Explain the project in terms of the existing infrastructure, its impact for service, safety or any other issue that is relevant to the project. (Attach to application)
- (4) Lead Agency: \_\_\_\_\_
- (5) Project Description: \_\_\_\_\_
- (6)

|         | Funding Type | PE       | R/W      | Const.   | Total    |
|---------|--------------|----------|----------|----------|----------|
| Local   | _____        | \$ _____ | \$ _____ | \$ _____ | \$ _____ |
| Local   | _____        | \$ _____ | \$ _____ | \$ _____ | \$ _____ |
| State   | _____        | \$ _____ | \$ _____ | \$ _____ | \$ _____ |
| Federal | _____        | \$ _____ | \$ _____ | \$ _____ | \$ _____ |
- (7) Programming Year by Phase: PE: \_\_\_\_\_ R/W: \_\_\_\_\_ Const: \_\_\_\_\_
- (8) VMT Reduction (annual miles): \_\_\_\_\_
- (9) VOC Reduction (kg/day): \_\_\_\_\_
- (10) NOx Reduction (kg/day): \_\_\_\_\_
- (11) PM<sub>10</sub> Reduction (kg/day): \_\_\_\_\_
- (12) PM<sub>2.5</sub> Reduction (kg/day): \_\_\_\_\_
- (13) CO Reduction (kg/day): \_\_\_\_\_
- (14) Cost-Effectiveness (\$/lb): \_\_\_\_\_
- (15) Describe whether and how the project provides the four *Livability* benefits (see instructions); provide no more than a half page response for each benefit. (Attach to application)
- (16) Hwy Peak Period LOS Before Project (AM/PM average): \_\_\_\_\_
- (17) Hwy Peak period LOS After Project (AM/PM average): \_\_\_\_\_
- (18) Bikeway Peak Period LOS Before Project (AM/PM average): \_\_\_\_\_
- (19) Bikeway Peak period LOS After Project (AM/PM average): \_\_\_\_\_
- (20) Pedestrian Peak period LOS Before Project (AM/PM average): \_\_\_\_\_
- (21) Pedestrian Peak period LOS After Project (AM/PM average): \_\_\_\_\_
- (22) After project Accident Rate: \_\_\_\_\_
- (23) After project Fatality Rate: \_\_\_\_\_
- (24) Avg. Accident Rate for similar facility: \_\_\_\_\_
- (25) Avg. Fatality Rate for a similar facility: \_\_\_\_\_
- (26) Is the project identified as a RACM/BACM? YES / NO

**Congestion Mitigation and Air Quality (CMAQ) Program – Call for Projects**

**PROJECT APPLICATION INSTRUCTIONS**

1. Resolution requirement – All projects submitted for funding must be included in a local agency-adopted resolution where a commitment is made to fund and implement projects as described in applications. A sample resolution is presented in APPENDIX A.
2. Eligibility requirements – Chapter 5 of the Kern COG Project Delivery Policies and Procedures manual a series of information regarding eligible projects funded in the CMAQ program. Please review those eligibility guidelines. Should there be any question about project eligibility, Kern COG staff should be consulted prior to submittal.
3. Project background and justification - A purpose and need statement for the project, no longer than one page. It's meant to provide relevant information about the need for the project, recent history, safety issues, air quality benefits or any other information that relates the project to the agencies transportation goals, air quality commitments, etc.
4. Lead agency - The lead agency is the same agency that will be responsible for delivering the project. That agency will require a Master Agreement with Caltrans to participate in the federal-aid reimbursement process.
5. Project description – The project description should provide information related to the limits and length, intersection location, transit vehicle description in terms of passenger size and fuel/engine type, replacement stock or new service, and route/corridor service information.
6. Funding information – Funding type refers to revenue source description such as: general fund, impact fee, Transportation Development Act (TDA), etc. The funding chart is broken into local, state, and federal funding rows, by phase: PE is preliminary engineering; R/W is rights-of-way; and Const is construction. Transit projects may use the const. phase to indicate their amounts for capital costs. The Local match requirement for CMAQ funding is 11.47%. This is the minimum amount of local match required for a CMAQ project. Should your agency choose to increase the local match percentage in the proposed project, indicate that in the table as well. Federal-aid funding may be matched with local and state funds.
7. Programming year – Available federal fiscal years for programming of funds will be identified with each call for projects. The federal fiscal year begins October 1 each year and ends on September 30<sup>th</sup> of the following year. It is imperative that a project be initiated and obligated during the year in which it is programmed.
8. through 14. – Estimate Annual VMT reduced, emission reductions for PM<sub>10</sub>, PM<sub>2.5</sub>, CO, VOC, & NO<sub>x</sub>, and cost-

## APPENDIX B: APPLICATION FORMS & INSTRUCTIONS

effectiveness using the program titled “Methods to Find the Cost Effectiveness of Funding Air Quality Projects”, General Methods Program (Microsoft Access), from the California Air Resources Board in Cooperation with Caltrans and CAPCOA, available at <http://www.arb.ca.gov/planning/tsaq/eval/eval.htm>, or the updated version.

15. Describe whether and how the project provides the four listed benefits; provide no more than a half page response for each benefit. The four Livability benefits are: (1) Will enhance or reduce the average cost of user mobility through the creation of more convenient transportation options for travelers; (2) Will improve existing transportation choices by enhancing points of modal connectivity, increasing the number of modes accommodated on existing assets, or reducing congestion on existing modal assets; (3) Will improve travel between residential areas and commercial centers and jobs; (4) Will improve accessibility and transportation services for economically disadvantaged populations, non-drivers, senior citizens, and persons with disabilities, or make goods, commodities, and services more readily available to these groups.
16. through 21. – Provide peak period Level of Service (LOS) for intersection(s) and/or road segments within the project limits for existing conditions (Before LOS) and estimated LOS after project completion (After LOS). If applicable, provide Bikeway and/or Pedestrian LOS. If LOS varies within the project limits, provide a weighted average. LOS should be calculated using methods consistent with the Highway Capacity Manual available at <http://www.trb.org/Main/Blurbs/164718.aspx>.
22. through 25. – Provide: (1) the after accident & fatality rates (accidents/millions of vehicle miles (MVM); fatalities/MVM) for the road segment within the project limits using three years of accident data, and (2) the statewide average accident rate for a similar facility (from Caltrans TASAS database or local agency accident database).
26. Is the project identified as a RACM/BACM?

**APPENDIX B: APPLICATION FORMS & INSTRUCTIONS**

**Transportation Enhancement (TE) Application (PSR Equivalent)**  
**TE funds are federal funds and must follow federal funding guidelines and environmental (NEPA) processes. All projects must have an approved eligible application prior to programming in the RTIP.**

**PART ONE: GENERAL PROJECT INFORMATION**

\_\_\_\_\_RTIP TE    \_\_\_\_\_ITIP TE    Is the project within Caltrans Right of Way? Yes  No .

Are you using Recovery Act TE funds? Yes  No

Does this project partner with or commit to employ the services of a Community Conservation Corps or the California Conservation Corps?    Yes  No .

If you answered yes to the above question please list the contact information for the corps.

Corps Name: \_\_\_\_\_ Contact Name: \_\_\_\_\_ Phone number: \_\_\_\_\_

PROJECT TITLE:

|  |   |
|--|---|
| IMPLEMENTING AGENCY Administrator/person with day-to-day responsibility for implementing project (Name, title, agency, address, phone, fax, email) | (Round dollars to nearest thousands)<br><br>TE FUNDS REQUESTED            \$ _____<br><br>State Match (11.47%)            \$ _____<br><br>Local Match (if Required)        \$ _____<br><br>TOTAL TE PROJECT COST        \$ _____<br><br><input type="checkbox"/> TE is a stand-alone project.<br><input type="checkbox"/> TE is part of a larger project. |
| Person who can answer questions about this application (Name, title, phone, fax, email)  | PARTNER(S) (Name, title, agency, address, phone, fax)   |

IF TE IS AN ENHANCEMENT TO A LARGER PROJECT, DESCRIBE LARGER PROJECT (if larger project is programmed, provide PPNNo, EA, Project Title; if not currently programmed, describe the project)

Total Project Cost \$ \_\_\_\_\_

PROJECT SCOPE OF PROPOSED TRANSPORTATION ENHANCEMENT ACTIVITIES  
 (Describe the project's location, limits of work, size, etc. *Not* the justification or benefits).

## APPENDIX B: APPLICATION FORMS & INSTRUCTIONS

NEED AND PURPOSE (Describe how is project above and beyond a standard transportation project)

RELATIONSHIP (TE projects must have a relationship to surface transportation; describe relation to surface transportation)

CONFORMANCE (Describe conformance with Route Concept Report or Transportation Corridor Report and District System Management Plan - ITIP projects only)

CONTEXT SENSITIVE SOLUTIONS (Describe how project reflects Director's policy - ITIP projects only)

## APPENDIX B: APPLICATION FORMS & INSTRUCTIONS

### ALTERNATIVES CONSIDERED

WHICH OF THE 12 TE CATEGORIES DOES THE PROJECT ENCOMPASS? (May be more than one.)

<http://www.dot.ca.gov/hq/TransEnhAct/TransEnact.htm>

1.  Provision of facilities for pedestrians and bicycles
2.  Provision of safety and educational activities for pedestrians and bicyclists.
3.  Acquisition of scenic easements and scenic or historic sites (including historic battlefields).
4.  Scenic or historic highway programs (including the provision of tourist and welcome center facilities).
5.  Landscaping and other scenic beautification.
6.  Historic preservation.
7.  Rehabilitation and operation of historic transportation buildings, structures, or facilities (including historic railroad facilities and canals).
8.  Preservation of abandoned railway corridors (including the conversion and use of the corridors for pedestrian or bicycle trails).
9.  Inventory, control, and removal of outdoor advertising.
10.  Archaeological planning and research.
11.  Environmental mitigation
  - (i) To address water pollution due to highway runoff; or
  - (ii) Reduce vehicle-caused wildlife mortality while maintaining habitat connectivity.
12.  Establishment of transportation museums.

PROJECT LOCATION MAPS (Provide Location Map of project in State/Region and Area Specific Map)



**PART THREE: INFORMATION AND ASSURANCES**

**Please note the application must be signed by the TE project sponsor below for the project to be considered for funding. The information below is provided to notify all project sponsors of the criteria that shall be used in the selection of eligible TE projects.**

**For TE projects proposed for funding from American Recovery and Reinvestment Act of 2009**

Assembly Bill X3-20 added Sections 2420-2423 to the Streets and Highways Code which requires that transportation projects proposed for transportation enhancement activities using federal funds provided specifically by the American Recovery and Reinvestment Act of 2009 be programmed and allocated based on the following priorities:

- (1) In programming and allocating these funds, the department and the metropolitan planning organizations, county transportation commissions, and regional transportation agencies shall give priority to the sponsors of eligible projects that partner with, or commit to employ the services of, a Community Conservation Corps or the California Conservation Corps to construct or undertake the project, provided those projects meet the requirements of the American Recovery and Reinvestment Act of 2009.
- (2) After all eligible projects have been selected pursuant to paragraph (1), the department and the metropolitan planning organizations, county transportation commissions, and regional transportation agencies shall next give priority to projects that provide facilities for pedestrians and bicyclists, provided those projects meet the requirements of the American Recovery and Reinvestment Act of 2009.
- (3) After all eligible projects have been selected pursuant to paragraph (2), the department and the metropolitan planning organizations, county transportation commissions, and regional transportation agencies may fund any project eligible in accordance with paragraph (35) of subdivision (a) of Section 101 of Title 23 of the United States Code.

**For projects proposed for funding with all federal TE funds**

Senate Bill 286 (Chapter 373, Statutes of 2008) added Sections 2370-2374 to the Streets and Highways Code which requires the selection of all TE projects to be based on projects which partner with, or commit to employ the services of a Community Conservation Corps or the California Conservation Corps. The department, in consultation with Community Conservation Corps, the California Conservation Corps, the commission, regional transportation planning agencies, county transportation commissions or authorities, and congestion management agencies, developed the following criteria that give priority in the selection of TE projects. The information below is provided to project sponsors to assist them in understanding how projects will be selected. Regional transportation planning agencies, county transportation commissions or authorities, and congestion management agencies, when selecting candidates for transportation enhancement projects, shall utilize the selection criteria below.

The RTPAs are required to use the following criteria in prioritizing and selecting TE projects for programming in the Regional Transportation Improvement Programs (RTIP):

- (1) TE eligible projects whose sponsor is partnering with, or has agreed to employ the services of a Community Conservation Corps or the California Conservation Corps (collectively referred to as corps), shall be selected first for funding (the scope of the work performed by the corps will be identified in page 6 of the TE application);
- (2) After all TE eligible projects described in paragraph (1) have been selected for funding; the remaining eligible TE projects may be selected.

TE Project candidates that meet the following specific categories are exempt from the above selection criteria and may compete on an equal basis with all project candidates in category (1) above:

- (a) Projects that have been selected and programmed in a RTIP prior to June 25, 2009.
- (b) Projects for which no corps will partner with the sponsor or agree to provide services. A project sponsor can request this exemption only by certifying on the TE Application, with the concurrence of the California Conservation Corps and the California Association of Local Conservation Corps, which the sponsor notified both organizations about the available project, but that no corps in the state was prepared to serve as a partner or provide services.

**APPENDIX B: APPLICATION FORMS & INSTRUCTIONS**

The department, regional transportation planning agencies, county transportation commissions or authorities, or congestion management agencies shall be authorized to enter into cooperative agreements, grant agreements, or procurement contracts with Community Conservation Corps pursuant to the simplified contract requirements authorized by Section 18.36(j) of Title 49 of the Code of Federal Regulations in order to enable community conservation corps to utilize transportation enhancement project funds.

Section 2370(a) of the Streets and Highways Code is specific as to which organizations can be considered as a Community Conservation Corps or the California Conservation Corps. "Community Conservation Corps" shall have the same meaning as defined in Section 14507.5 of the Public Resources Code. Information regarding these organizations is available on the internet at:

- <http://www.consrv.ca.gov/dor/grants/Pages/lccc.aspx>
- <http://www.ccc.ca.gov/PARTNER/PARTNERS.HTM>
- [www.calcc.org](http://www.calcc.org)

For the RTPA: Conservation Corps Partner Contact use only:

A corps can participate on the following items of work: \_\_\_\_\_

Name of corps: \_\_\_\_\_ and the contact for the corps is: \_\_\_\_\_  
 \_\_\_\_\_ (Name)  
 \_\_\_\_\_ (Phone number)

This project is exempt under category (b) above. This exemption allows the project to compete on an equal basis with all other project candidates in the region. Concurred in by: \_\_\_\_\_

California Conservation Corps contact (Print Name) \_\_\_\_\_ (Signature) \_\_\_\_\_ Date \_\_\_\_\_  
 California Association of Local Conservation Corps contact (Print Name) \_\_\_\_\_ (Signature) \_\_\_\_\_ Date \_\_\_\_\_

**RTPA Conservation Corps Partner Contacts  
 For Transportation Enhancement Projects**

| AGENCY   | CCC Contact Title and Name                     | Phone Number | Email Address             |
|--|--|--------------|---------------------------|
| California Conservation Corps  | Regional Deputy for Region 2<br>Virginia Clark | 916-341-3147 | virginia.clark@ccc.ca.gov |
| California Association of Local Conservation Corps (representing the Community Conservation Corps) | Association Manager<br>Scott Dosick            | 916-285-8743 | manager@calcc.org         |

Project Implementing Agency possesses legal authority to nominate this transportation enhancement and to finance, acquire, and construct the proposed project; and by formal action (e.g., a resolution) the Implementing Agency's governing body authorizes the nomination of the transportation enhancement, including all understanding and assurances contained therein, and authorizes the person identified as the official representative of the Implementing Agency to act in connection with the nomination and to provide such additional information as may be required.

Project Implementing Agency will maintain and operate the property acquired, developed, rehabilitated, or restored for the life of the resultant facility (ies) or activity. With the approval of the California Department of Transportation, the Implementing Agency or its successors in interest in the property may transfer the responsibility to maintain and operate the property.

Project Implementing Agency will give the California Department of Transportation's representative access to and the right to examine all records, books, papers, or documents related to the transportation enhancement activity.

Project Implementing Agency will comply where applicable with provisions of the California Environmental Quality Act, the National Environmental Policy Act, the Americans with Disabilities Act, the Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation, CTC Guidelines, FHWA Transportation Enhancement Guidance and any other federal, state, and/or local laws, rules and/or regulations.

**APPENDIX B: APPLICATION FORMS & INSTRUCTIONS**

If TE funds or projects are used for other than the intended enhancement purposes as defined by federal or state regulations or guidelines, the implementing agency may be required to remit all state and federal enhancement funds back to the state. I certify that the information contained in this transportation enhancement activity application, including required attachments, is accurate and that I have read and understand the important information and agree to the assurances on this form.

Signed \_\_\_\_\_ Date \_\_\_\_\_  
(TEA Administering Agency Representative)

Printed (Name and Title) \_\_\_\_\_

Administering Agency \_\_\_\_\_

For State Projects:

Upon receiving an eligibility determination, a Project Nomination Sheet must be submitted to the District for programming.

**ARTICLE 3 PEDESTRIAN AND BICYCLE FACILITIES CLAIM FORM**

CLAIMANT INFORMATION

A. CLAIMANT

Agency: \_\_\_\_\_  
Mailing Address: \_\_\_\_\_  
Office Address: \_\_\_\_\_  
City/State/Zip: \_\_\_\_\_  
Telephone: (\_\_\_\_\_) \_\_\_\_\_ EXT. \_\_\_\_\_

B. CONTACT PERSON

Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Department: \_\_\_\_\_  
Office Address: \_\_\_\_\_  
City/State/Zip: \_\_\_\_\_  
Telephone: (\_\_\_\_\_) \_\_\_\_\_ EXT. \_\_\_\_\_

CLAIM AND ASSURANCES  
OF THE CITY/COUNTY OF \_\_\_\_\_  
For Fiscal Year 1990-91

A. CLAIM: The City/County of \_\_\_\_\_ hereby claims, subject to the approval of the Kern Council of Governments, Local Transportation Funds apportioned pursuant to California Public Utilities Code Section 99233.3 in the amount of \$ \_\_\_\_\_.

B. COMPLIANCE ASSURANCES: The City/County of \_\_\_\_\_ hereby certifies that, as a condition of receiving funds pursuant to California Public Utilities Code Section 99234, it shall ensure that:

- 1: All funds will be expended in compliance with the requirements of Public Utilities Code Section 99234, applicable California administrative regulations and Kern Council of Governments' Transportation Development Act Rules and Regulations.
2. All funds will be expended in accordance with project description(s) and budgets(s) described in this claim, attached hereto and made a part hereof, by this reference.

**APPENDIX B: APPLICATION FORMS & INSTRUCTIONS**

These assurances are given in consideration and for the purposes of obtaining funds apportioned for pedestrian and bicycle uses pursuant to Public Utilities Code, Division 10, Part 11, Chapter 4 of the State of California.

The person whose signature appears below has been authorized to provide the assurances cited above and prepare, submit and execute this claim on behalf of the city/county of \_\_\_\_\_.

By: \_\_\_\_\_  
Signature Date  
Title: \_\_\_\_\_

**C. FINANCIAL ASSURANCES:** I hereby attest to the reasonableness and accuracy of the financial information presented in this claim on behalf of the city/county of \_\_\_\_\_ and ensure that the funds will be expended in accordance with the proposed budget.

By: \_\_\_\_\_  
Signature Date  
Title: \_\_\_\_\_

**FACILITIES/ PROJECT DESCRIPTION**

**A. FACILITY/PROJECT TITLE:**

\_\_\_\_\_

**B. DESCRIPTION:** \_\_\_\_\_

\_\_\_\_\_

**C. LOCATION:** \_\_\_\_\_

\_\_\_\_\_

**D. BUDGET:**

| Category                   | Amount            |
|----------------------------|-------------------|
| Design and Engineering     | \$ _____          |
| New Construction           | \$ _____          |
| Equipment and Installation | \$ _____          |
| Other                      | \$ _____          |
| TOTAL                      | \$ _____<br>===== |



**APPENDIX B: APPLICATION FORMS & INSTRUCTIONS**

2) The most recent count of average daily traffic indicates a volume of \_\_\_\_\_ in the area served by the project. Points:

| Facility Class | Range               | Points (Circle One) |
|----------------|---------------------|---------------------|
| II & III       | less than 2,000     | 5                   |
| II & III       | 2,000-8,000         | 10                  |
| II & III       | 8,001-15,000        | 15                  |
| II & III       | greater than 15,000 | 20                  |
| I              | N/A                 | 12                  |

**C. NEED**

1) The proposed project/street corridor is within 1,320 feet of the following:

| Number | Generator Type               | Type/Points | Total |
|--------|------------------------------|-------------|-------|
| _____  | Schools                      | x 6         |       |
| _____  | Commercial Centers           | x 5         |       |
| _____  | Office/ Industrial Complexes | x 5         |       |

**D. SYSTEM CONTINUITY AND IMPROVEMENTS**

1) Does the proposed project/facility eliminate a gap(s) in the bikeway system or serve as a link between communities or systems?

|     | Points |
|-----|--------|
| YES | 10     |
| NO  | 0      |

2) Does the project/facility upgrade the system as follows:

| Description                  | Facility Class(Circle Answer) | Points |
|------------------------------|-------------------------------|--------|
| Eliminates on-street parking | III                           | 10     |
| Provides a physical barrier  | II                            | 10     |

**E. LOCAL MATCHING FUNDS**

| Percentage of <u>total costs</u> | Points <u>(Circle One)</u> |
|----------------------------------|----------------------------|
| 0 – 4 %                          | 5                          |
| 5 – 9 %                          | 10                         |
| 10 – 15 %                        | 15                         |
| > 15 %                           | 20                         |

F. TOTAL POINTS (A+B+C+D+E) = \_\_\_\_\_

PEDESTRIAN FACILITY CRITERIA

A. Project Eligibility

1) Does the project/facility represent only new sidewalks of pedestrian on or across arterial and/or collector streets and roads?

YES                      NO

B. SAFETY

1) \_\_\_\_\_ traffic accidents have occurred in the area served by the project during the past three years.

| Range       | Points (Circle One) |
|-------------|---------------------|
| 0 – 2       | 5                   |
| 3 – 5       | 10                  |
| 6 – or more | 15                  |

2) The most recent count of average daily traffic indicates a volume of \_\_\_\_\_ in the area served by the project.

| Range               | Points (Circle One) |
|---------------------|---------------------|
| less than 2,000     | 5                   |
| 2,000 – 8,000       | 10                  |
| 8,000 – 15,000      | 15                  |
| greater than 15,000 | 20                  |

C. NEED

1) The proposed project/street corridor is within 1,320 feet of the following:

| Number | Generator Type              |   | Type/Points | Total |
|--------|-----------------------------|---|-------------|-------|
| _____  | Schools                     | x | 6           | _____ |
| _____  | Commercial Centers          | x | 5           | _____ |
| _____  | Office/Industrial Complexes | x | 5           | _____ |

D. SYSTEM CONTINUITY AND IMPROVEMENTS

1) Does the proposed project/facility eliminate gap(s) in the pedestrian system or serve as a link between communities or systems?

Points:

YES                      10  
 NO                        0

2) Does the project/facility upgrade the system by adding barriers, medians or parkways designed to physically separate pedestrian and vehicular traffic?

Points:

YES            10  
NO             0

E. LOCAL MATCHING FUNDS

| Percentage of total costs | Points (Circle One) |
|---------------------------|---------------------|
| 0 – 4 %                   | 5                   |
| 5 – 9 %                   | 10                  |
| 10 – 15 %                 | 15                  |
| > 15%                     | 20                  |

F. TOTAL POINTS (A+B+C+D+E) = \_\_\_\_\_

# Instructions to Obtain Project Accident & Fatality Rates

## Example 1

Existing Facility: Conventional 2-lane undivided highway in a rural area on flat terrain with a design speed of 50 MPH.  
 ADT: 15,000

Project Description: Widen from 2 to 4 lanes (divided highway) with a design speed of 55 MPH (ADT remains at 15,000).

Step 1: Obtain accident and fatality rates for the existing facility, and the statewide average accident and fatality rates for facilities similar to the existing facility (based on 3 years of data from Caltrans (TASAS) or local database). Example 1 rates for the Existing Facility are listed below.

| Existing Facility |           |           |
|-------------------|-----------|-----------|
|                   | Acc. Rate | Fat. Rate |
| Existing Facility | 1.21      | 0.06      |
| Statewide Avg.    | 1.17      | 0.04      |

Step 2: Look up the basic average accident and fatality rates for the proposed project by utilizing the latest version of the Caltrans "Collision Data on California State Highways (road miles, travel, collisions, collision rates)" report.

08-15-00

**BASIC AVERAGE ACCIDENT RATE TABLE FOR HIGHWAYS**

| RATE GROUP | BASE RATE | + ADT FACTOR | PCT FAT | PCT INJ | PCT F+I | HIGHWAY TYPE        | TERRAIN OR ADT | DESIGN SPEED | AREA     | ACC COSTS (\$1000) |       |
|------------|-----------|--------------|---------|---------|---------|---------------------|----------------|--------------|----------|--------------------|-------|
|            |           |              |         |         |         |                     |                |              |          | F+I                | ALL   |
| H 32       | 1.95      | 0.0000       | 0.4     | 45.1    | 45.6    | UNDIVIDED 5-6 LANES |                | >45          | URBAN    | 82.3               | 39.7  |
| H 33       | 0.90      | 0.0000       | 2.9     | 43.9    | 46.8    | DIVIDED 4 LANES     | FLAT           |              | RURAL    | 314.3              | 149.2 |
| H 34       | 1.65      | 0.0000       | 1.0     | 35.5    | 36.5    | DIVIDED 4 LANES     | ROLL/MTN       |              | RURAL    | 182.1              | 69.0  |
| H 35       | 1.85      | 0.0000       | 0.7     | 43.1    | 43.8    | DIVIDED 4 LANES     |                | ≤55          | SUBURBAN | 118.9              | 54.3  |
| H 36       | 1.70      | 0.0000       | 1.8     | 40.4    | 42.2    | DIVIDED 4 LANES     |                | >55          | SUBURBAN | 213.3              | 92.3  |
| H 37       | 3.35      | 0.0000       | 0.5     | 42.3    | 42.8    | DIVIDED 4 LANES     |                | <45          | URBAN    | 92.5               | 41.9  |
| H 38       | 2.10      | 0.0000       | 0.7     | 43.8    | 44.4    | DIVIDED 4 LANES     |                | ≥45          | URBAN    | 106.7              | 49.6  |

| BASE RATE | + ADT FACTOR | PCT FAT |
|-----------|--------------|---------|
| 0.90      | 0.0000       | 2.9     |

Average Accident Rate = Base Rate + ADT Factor

ADT Factor: "0.01/" means factor divided by ADT in thousands; "0.01" means factor multiplied by ADT (\$1,000).

Average Fatality Rate = "PCT FAT" x Avg. Accident Rate

Base Rate: 0.90

ADT Factor calc.: 0.0 (0.00 x 15) = 0.0

**Avg. Accident Rate: 0.90** (0.90 + 0.0) = 0.90

**Avg. Fatality Rate: 0.026** (0.90 x 0.029) = 0.026

**APPENDIX B: APPLICATION FORMS & INSTRUCTIONS**

Example 2

Existing Facility same as Example 1, including Step 1 (existing accident rates).

Project Widen from 2 to 4 lane Expressway with a design speed of 65 MPH (ADT Description: remains at 15,000).

| 08-15-00 BASIC AVERAGE ACCIDENT RATE TABLE FOR HIGHWAYS |           |              |         |         |         |                               |                |              |          |                    |       |
|---|-----------|--------------|---------|---------|---------|-------------------------------|----------------|--------------|----------|--------------------|-------|
| RATE GROUP  | BASE RATE | + ADT FACTOR | PCT FAT | PCT INJ | PCT F+I | HIGHWAY TYPE                  | TERRAIN OR ADT | DESIGN SPEED | AREA     | ACC COSTS (\$1000) |       |
|   |           |              |         |         |         |                               |                |              |          | F+I                | ALL   |
| H 45  | 0.50      | 0.0070       | 2.6     | 42.6    | 45.2    | DIV. EXPRESSWAY 4 LNS OR MORE |                | <65          | RURAL    | 297.3              | 136.6 |
| H 46  | 0.50      | 0.0070       | 3.0     | 44.7    | 47.6    | DIV. EXPRESSWAY 4 LNS OR MORE |                | >65          | RURAL    | 318.5              | 153.7 |
| H 47  | 0.90      | 0.0170       | 1.5     | 43.2    | 44.8    | DIV. EXPRESSWAY 4 LNS OR MORE |                | <65          | SUBURBAN | 180.7              | 83.2  |
| H 48  | 0.75      | 0.0100       | 0.8     | 40.8    | 41.5    | DIV. EXPRESSWAY 4 LNS OR MORE |                | >65          | SUBURBAN | 130.7              | 56.6  |
| H 49  | 1.75      | 0.0000       | 0.5     | 40.7    | 41.2    | DIV. EXPRESSWAY 4 LNS OR MORE |                | <=55         | URBAN    | 94.0               | 41.1  |
| H 50  | 1.35      | 0.0000       | 1.3     | 44.5    | 45.9    | DIV. EXPRESSWAY 4 LNS OR MORE |                | >55          | URBAN    | 149.7              | 70.9  |

| BASE RATE | + ADT FACTOR | PCT FAT |
|-----------|--------------|---------|
| 0.50      | 0.0070       | 2.6     |

Average Accident Rate = Base Rate + ADT Factor

ADT Factor: "0.01/" means factor divided by ADT in thousands; "0.01" means factor multiplied by ADT (\$1,000).

Average Fatality Rate = "PCT FAT" x Avg. Accident Rate

Base Rate: 0.5

ADT Factor calc.: 0.105 (0.0070 x 15 ADT) = 0.105

**Avg. Accident Rate: 0.605** (0.5 + 0.105) = 0.605

**Avg. Fatality Rate: 0.016** (0.605 x 0.026) = 0.016

Example 3

Existing Facility same as Example 1, including Step 1 (existing accident rates).

Project Widen from 2 to 4 lane Freeway with a design speed of 65 MPH (ADT remains at 15,000).

| 08-15-00 BASIC AVERAGE ACCIDENT RATE TABLE FOR HIGHWAYS |           |              |         |         |         |                         |                |              |       |                    |       |
|---|-----------|--------------|---------|---------|---------|-------------------------|----------------|--------------|-------|--------------------|-------|
| RATE GROUP  | BASE RATE | + ADT FACTOR | PCT FAT | PCT INJ | PCT F+I | HIGHWAY TYPE            | TERRAIN OR ADT | DESIGN SPEED | AREA  | ACC COSTS (\$1000) |       |
|   |           |              |         |         |         |                         |                |              |       | F+I                | ALL   |
| H 51  | 0.45      | 0.5000 /     | 2.4     | 40.2    | 42.6    | FREEWAY 4 LANES OR LESS | <=15000        | <65          | RURAL | 292.8              | 127.0 |
| H 52  | 0.45      | 0.5000 /     | 4.0     | 44.9    | 48.8    | FREEWAY 4 LANES OR LESS | <=15000        | >65          | RURAL | 390.9              | 192.8 |
| H 53  | 0.45      | 0.0035       | 3.4     | 40.1    | 43.4    | FREEWAY 4 LANES OR LESS | >15000         | <65          | RURAL | 377.0              | 165.9 |
| H 54  | 0.40      | 0.0035       | 3.1     | 40.3    | 43.4    | FREEWAY 4 LANES OR LESS | >15000         | >65          | RURAL | 350.4              | 154.4 |
| H 55  | 0.25      | 0.0050       | 2.2     | 40.1    | 42.3    | FREEWAY 5-6 LANES       |                |              | RURAL | 276.2              | 119.1 |

| BASE RATE | + ADT FACTOR | PCT FAT |
|-----------|--------------|---------|
| 0.45      | 0.5000 /     | 2.4     |

Base Rate: 0.45

ADT Factor calc.: .033 (0.5000 / 15 ADT) = 0.033

**Avg. Accident Rate: 0.483** (0.45 + 0.033) = 0.483

**Avg. Fatality Rate: 0.012** (0.483 x 0.024) = 0.012