

# LOCAL PARTNERSHIP FORMULAIC PROGRAM

## DISCUSSION DRAFT GUIDELINES

(Used at the December 12 Discussion Workshop)

Adopted (date)

Resolution G-19-XX,

**California Transportation Commission**



**CALIFORNIA TRANSPORTATION COMMISSION  
DISCUSSION DRAFT  
LOCAL PARTNERSHIP FORMULAIC PROGRAM GUIDELINES**

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Discussion Draft

## 1. Authority and Purpose

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

These guidelines describe the policy, standards, criteria, and procedures for the development, adoption and management of the Local Partnership Formulaic Program. The Commission may amend these guidelines after first giving notice of the proposed amendments and conducting at least one public hearing. The Commission will make a reasonable effort to amend the guidelines prior to a call for projects or may extend the deadline for project submission to comply with the amended guidelines.

Local Partnership Formulaic Program guidelines are developed in cooperation with the Department of Transportation (Caltrans), transportation planning agencies, county transportation commissions, local agencies and other transportation stakeholders, pursuant to Streets and Highways Code Section 2033.

## 2. Program Objectives

The primary objective Local Partnership Program is to provide funding to counties, cities, districts, and regional transportation agencies in which voters have approved fees or taxes dedicated solely to transportation improvements or that have imposed fees, including uniform developer fees, dedicated solely to transportation improvements [as defined by Government Code Section 8879.67(b)]. Consistent with SB 1, the Commission intends this program to balance the need to direct increased revenue to the state's highest transportation needs while fairly distributing the economic impact of increased funding [SB 1 Section 1(l)].

## 3. Program Schedule

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

Publish Proposed Formulaic Funding Distribution	January 15, 2020
Draft Guidelines presented to the Commission	January 29, 2020
Guidelines Hearing	March 25, 2020
Adoption of the Guidelines and Formulaic Funding Distribution Call for Projects	March 25, 2020
Applications due	<b>June 12, 2020</b>

Release staff recommendations	<b>November 12, 2020</b>
Program adoption	<b>December 2, 2020</b>

#### **4. Funding and Programming Cycle**

The Local Partnership Formulaic Program will receive XXX dollars (\$XXX,XXX,XXX) annually from the Road Maintenance and Rehabilitation Account.

The 2019 Local Partnership Formulaic Program provided \$20,000,000 of incentive funding, therefore, the capacity for the 2020 Local Partnership Program will be reduced by that amount. The funding available for the 2020 Local Partnership Formulaic Program is \$XXX,XXX,XXX.

The Local Partnership Program funds will be distributed XX% via Formulaic and XX% via Competitive.

The 2020 Local Partnership Formulaic Program will cover Fiscal Years 2020-21 through 2022-23. New cycles will be programmed every two years.

#### **5. Distribution**

Prior to each programming cycle, the Commission will establish the Formulaic distribution of funding for each eligible taxing authority rounded to the nearest whole thousand dollars, as follows:

The Commission will determine the total amount of annual revenue generated from voter-approved sales taxes, voter-approved parcel or property taxes, and voter-approved bridge tolls dedicated solely to transportation improvements according to the most recent available data reported as follows:

- Local sales tax revenues – the sum of gross revenues for the most recent four quarters as reported for each local tax by the Department of Tax and Fee Administration.
- Parcel and property tax revenues – the revenues for the most recent fiscal year, as reported to the State Controller pursuant to Government Code Section 53891.
- Toll and other revenues - the sum of revenues for the most recent fiscal year, as reported in the taxing authority’s most recent audited financial statements.
- Population - the annual population estimate for cities and counties issued by the Department of Finance in May prior to the beginning of each fiscal year.

A. The Commission will establish funding for northern California and southern California by attributing the proportional share of revenues from voter-approved sales taxes, voter-approved parcel or property taxes, and voter-approved tolls dedicated to transportation improvements and imposed in counties in northern California to the northern share; and by attributing the proportional share of revenues from voter-approved sales taxes, voter-approved parcel or property taxes, and voter-approved tolls imposed in counties located in southern California to the southern share. The determination as to whether a county is in northern or southern California shall be based on the definitions set forth in the Streets and Highways Code Section 187.

### **Southern distribution**

B. Program funds made available to the southern share will be distributed as follows:

- XX percent (XX%) based on the population of the county in which the taxing authority is located compared to the total population of southern California counties with voter-approved sales taxes dedicated solely to transportation improvements
- XX percent (XX%) based on the total amount of sales tax revenue generated by the sales tax measures dedicated solely to transportation improvements administered by the taxing authority compared to the total amount of sales tax revenue generated from voter-approved sales tax measures dedicated solely to transportation improvements in southern California.

### **Northern distribution**

C. Program funds made available to the northern share will be distributed as follows:

- Program funds generated by voter-approved **tolls** and voter-approved **parcel or property taxes** and other voter approved taxes, **excluding sales taxes**, dedicated to transportation improvements shall be distributed to the taxing authority based on the proportional share of revenues generated by the toll or tax by that entity in comparison to the total revenues generated by voter-approved sales taxes, voter-approved parcel or property taxes, and voter-approved tolls dedicated solely to transportation improvements in northern California.
- Program funds generated by voter-approved **sales taxes** dedicated solely to transportation improvements shall be distributed to the taxing authority as follows:
  - XX percent (XX%) based on the population of the county in which the taxing authority is located compared to the total population of northern California counties with voter-approved sales taxes dedicated solely to transportation improvements.
  - XX percent (XX%) based on the total amount of sales tax revenue generated by the sales tax measures dedicated solely to transportation improvements administered by the taxing authority compared to the total amount of sales tax revenue generated from voter-approved sales tax measures dedicated solely to transportation improvements in northern California.

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

Where a city has a voter-approved local sales tax and is located within a county with a voter-approved local sales tax, the Commission will adopt a countywide formulaic funding amount based on the county's population and a formulaic funding amount for the city based on the city's sales tax revenue.

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

All taxing authorities eligible for formulaic funding will receive a minimum annual amount of \$200,000. The Commission may adjust this minimum funding in future programming cycles.

Taxing authorities with new voter approved tax measures, tolls, or fees that are potentially eligible for the Local Partnership Formulaic Program, must notify the Commission three months prior to each formulaic funding distribution adoption (see Section 3).

To verify eligibility, a taxing authority must submit the following information to the Commission:

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

A cover letter signed by the Executive Director of the taxing authority should affirm the taxes, tolls, or fees are dedicated solely to transportation.

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

Taxing authorities that receive new voter approved sales tax measures, tolls, or fees **after** adoption of the formulaic funding distribution will be included at the end of the fiscal year of the effective date. A negative adjustment will be made to the formulaic funding distribution in the next programming cycle of the Local Partnership Formulaic Program.

## **6. Unprogrammed Formulaic Funding**

If the program of projects adopted by the Commission does not program the full amount of a taxing authority's formulaic funding, the balance will remain available for later program amendments supported by eligible project nominations until the end of the programming cycle. The taxing authority must submit project nominations by June of the last fiscal year in the programming cycle. Funds that remain unprogrammed at the end of the programming cycle will be redistributed in the next programming cycle.

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

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

The total amount of incentive funding will not exceed \$20 million annually. The incentive funding amount is based upon the projected annual revenue of the voter approved tax initiative.

Incentive funding amounts will be a minimum of \$200,000 and up to a maximum of \$5,000,000 for each jurisdiction. The incentive funding amount will be \$200,000 if the projected tax revenue is less than \$200,000. For jurisdictions that generate tax revenues above \$200,000, the incentive funding amount will not exceed \$5,000,000.

Should the sum of the incentive funding amounts (based on the above) exceed \$20 million in any year, incentive funding amount will be reduced proportionally while still maintaining the \$200,000 minimum funding amount. If this occurs, in the following year, the Commission may elect to provide funding equal to the reductions if incentive funding is available (that is, if the incentive funding in that following year do not exceed \$20,000,000). Amounts for the incentive funding will be made available in June of each year.

Incentive funding will be set-aside each year from the Local Partnership Program. Unused funding will be redistributed in the next programming cycle.

## **8. Matching Requirements**

Projects funded from the Local Partnership Formulaic Program will require at least a one-to-one match of private, local, federal, or state funds, except jurisdictions with a voter approved tax or fee which generates less than \$200,000 annually are only required to provide a match equal to 50% of the requested Local Partnership Formulaic Program funds.

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

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

The taxing authority must provide a project funding plan through construction that demonstrates the non-Local Partnership Formulaic Program funding in the plan (local, federal, state, private sources) is reasonably expected to be available and sufficient to complete the project.

## **9. Funding Restrictions**

A taxing authority may nominate an existing project for supplemental funding, if the project was allocated Local Partnership Formulaic Program funding in a prior programming cycle, and it meets the matching requirements for the supplemental Local Partnership Formulaic Program funding, as outlined in Section 8.

The supplemental funding may be to replace local funding already committed to the project, subject to the required one-to-one match.



## 10. Reimbursement

The Local Partnership Program is a reimbursement program for eligible costs incurred. An implementing agency may begin incurring eligible costs upon allocation, however, reimbursement is dependent upon entering into an agreement with Caltrans. Costs incurred prior to Commission allocation and, for federally funded projects, Federal Highway Administration project approval (i.e. Authorization to Proceed) are not eligible for reimbursement.

## 11. Eligible Applicants

Taxing authorities that have sought and received voter approval of taxes, tolls, or fees, which taxes or fees are dedicated solely to transportation improvements. **Taxing Authorities that have imposed fees and have not received voter approval of taxes, tolls, or fees are only eligible for the Local Partnership Competitive Program funding.**

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

These guidelines do not preclude the transfer of formula funding between taxing authorities.

Taxing authorities may agree to consolidate or transfer their formulaic funding to nominate a project in another county. A consolidation or transfer agreement between the taxing authorities will become effective for a formulaic programming cycle if the taxing authority adopts a resolution incorporating the agreement and submits it to the Commission with its project nomination.

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

The Commission expects collaboration and cooperation between the taxing authority, implementing agency, and Caltrans for all projects on the state highway system.

## 12. Eligible Projects

The Local Partnership Program eligible projects will be consistent with subdivisions (a) and (b) of Government Code Section 8879.70, and Streets and Highways Code Section 2032(a). The Commission encourages projects that align with the state's climate goals.

Eligible projects shall include all the following:

- A. Improvements to the state highway system including, but not limited to, all of the following:
  - Major rehabilitation of an existing segment that extends the useful life of the segment by at least 15 years;
  - New construction to increase capacity of a highway segment that improves mobility or reduces congestion on that segment; and

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

### **13. Eligible Components**

The program funds may be used for any capital project component (Project Approval and Environmental Documentation; Plans, Specifications, and Estimates; Right-of-Way; and Construction), however, projects must commence right-of-way acquisition or construction within 10 years of receiving pre-construction funding through the Local Partnership Program, or the implementing agency must repay the Local Partnership Program funds. Repaid funds will be redistributed in the next programming cycle.

#### **14. Screening Criteria**

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

Nominations will be screened for the following:

- Demonstrate a one-to-one funding match (as outlined in Section 8)
- Project demonstrates that all other funds for the proposed project (segment) are committed.

#### **15. Programming**

The program of projects for each fiscal year will include, for each project, the amount to be funded from the Local Partnership Formulaic Program, and the estimated total cost of the project. Project costs in the Local Partnership Formulaic Program will include costs for each of the following components: (1) Project Approval and Environmental Documentation, (2) Plans, Specifications, and Estimates, (3) Right-of-Way, and (4) Construction). The cost of each project component will be listed in the program no earlier than in the fiscal year in which the particular project component can be implemented. For Caltrans implemented projects, the cost of right-of-way support and construction support will be separated out and programmed separately from the right-of-way capital and construction capital cost.

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

#### **16. Committed Funds**

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

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

Projects programmed by the Commission in the Local Partnership Formulaic Program will not be given priority in other programs under the Commission's purview.

## **17. Adjustments**

Adjustments may be made at the time of allocation for any amount not expended from a prior component. Allocated funds may be shifted between project components to accommodate cost changes within the following limits:

- An implementing agency may expend an amount allocated for Project Approval and Environmental Documentation (PA&ED); Plans, Specifications, and Estimates (PS&E); Right-of-Way (R/W); or Construction (CON) for another project component.

Shifting of allocated fund between components will not impact formulaic funding balances. Formulaic funding balances will be based on actual amounts allocated for each component.

## **18. Amendments**

Implementing agencies shall receive the approval of all partner and taxing authorities before submitting all requests to Caltrans. Amendment requests should be submitted in a timely manner and include documentation that supports the requested change and its impact on scope, cost, schedule and benefits.

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

- 1.) An explanation of the proposed change;
- 2.) The reason for the proposed change;

A revised Project Programming Request form must be included in the notification.

Caltrans will review the proposed amendment changes and present the proposed amendment changes with Caltrans' recommendation to Commission staff for Commission's approval.

Where a project will not be ready for allocation in the current fiscal year, the implementing agency should request an extension of the allocation deadline rather than an amendment (as outlined in Section 22).

## **19. Allocations**

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

The Commission will consider the allocation of funds for a project when it receives an allocation with a recommendation from Caltrans. The recommendation will include a determination of project readiness, the availability of appropriated funding, the availability of all identified and committed supplementary funding, and the consistency with Baseline

**Agreement, if applicable.** The Commission will only consider an allocation of construction and/or construction support funds to projects that are ready to advertise.

For projects that are ready to advertise, the Commission expects Caltrans to certify that a project's plans, specifications and estimate (PS&E) are complete, environmental and right-of-way clearances are secured, and all necessary permits and agreements (including railroad construction and maintenance) are executed. Projects not ready for advertisement will not be placed on the Commission's agenda for allocation approval.

In compliance with Section 21150 of the Public Resources Code, the Commission will not allocate funds for design, right-of-way, or construction prior to documentation of environmental clearance under the California Environmental Quality Act (CEQA). As a matter of policy, the Commission will not allocate funds for design, right-of-way, or construction of a federally funded project prior to documentation of environmental clearance under the National Environmental Policy Act (NEPA).

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

Where the project is to be implemented by an agency other than the taxing authority, the allocation request must be signed by **the taxing authority and the implementing agency**.

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

The implementing agency must not award the contract for a project until the Commission has allocated the funds for the project.

## **20. Letter of No Prejudice**

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

## **21. Timely Use of Funds**

The Local Partnership Program allocations must be requested in the fiscal year of project programming and are valid for award for six months from the date of allocation unless the Commission approves an extension. When programmed funds are not allocated within the fiscal year programmed or within the time allowed by an approved extension, the project will be deleted from the Local Partnership Program and **the funds redistributed in the next programming cycle**.

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

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

The Commission may extend the deadline only once for each delivery deadline only if it finds that an unforeseen and extraordinary circumstance beyond the control of the implementing agency has occurred that justifies the extension. The extension will not exceed the period of delay directly attributed to the extraordinary circumstance.

## **22. Delivery Deadline Extensions**

The Commission may extend a deadline for allocation and award upon the request of the implementing agency. The extension will not exceed 12 months. The extension will only be granted if it is for an extraordinary circumstance beyond the control of the implementing agency.

Upon request of the implementing agency, the Commission may extend the deadline for expenditure and for project completion. The extension cannot exceed more than 20 months for project completion and 12 months for expenditure. The extension will only be granted if it is for an extraordinary circumstance.

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

## **23. Project Cost Savings**

Savings at contract award will be redistributed in the next programming cycle. ~~that regional programming target and made available for programming.~~ Contract award savings will be returned proportionally.

Savings at project completion must be returned proportionally except when a taxing authority has, after project programming, committed additional funds to the project to fund a cost increase. In such instances, savings at project completion may be returned to other fund types first, until the proportions match those at programming. Any additional savings at project completion must be returned proportionally to the taxing authority's formulaic funding balance.

## **24. Project Reporting**

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

## **25. Project Tracking Database**

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

## **26. Project Auditing**

The audit requirements are outlined in the Commission's Accountability and Transparency Guidelines.

## **27. Workforce Development Requirements and Project Signage**

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



## Appendix I – List of Eligible Taxing Authorities Receiving Formulaic Funding

(As of December 31, 2019)

<b>Eligible Taxing Authorities</b>
Alameda-Contra Costa Transit District
Alameda County Transportation Commission
Bay Area Rapid Transit District
Bay Area Toll Authority
City/County Association of Governments of San Mateo County
City of Clearlake
City of Fort Bragg
City of Orinda
City of Point Arena
City of Willits
Contra Costa Transportation Authority
Council of San Benito County Governments
Fresno County Transportation Authority
Imperial County Local Transportation Authority
Los Angeles County Metropolitan Transportation Authority
Madera County Transportation Authority
Merced County Transportation Authority
Monterey-Salinas Transit District
Napa Valley Transportation Authority
Nevada City
Orange County Transportation Authority
Riverside County Transportation Commission
Sacramento Transportation Authority
San Bernardino County Transportation Authority
San Diego County Regional Transportation Commission
San Francisco Transportation Authority
San Joaquin County Transportation Authority
San Mateo County Transportation Authority
San Mateo County Transit District
Santa Barbara County Local Transportation Authority
Santa Clara Valley Transportation Authority
Santa Cruz County Regional Transportation Commission
Santa Cruz Metropolitan Transit District
Sonoma County Transportation Authority
Sonoma-Marín Area Rail Transit District
Stanislaus County Transportation Authority
Town of Truckee
Transportation Agency for Monterey County
Transportation Authority of Marin County
Tulare County Transportation Authority
Yuba County



## Attachment 1 – Project Nominations

Project nominations and supporting documentation must be submitted to the Commission by **May 18, 2020**. Nominations will be treated in accordance with California Public Records Act requirements and information, subject to those requirements, may be publicly disclosed.

Applicants must submit two (2) hard copies of the nomination package and one (1) electronic copy. Electronic copies should be sent via e-mail to [LPP@catc.ca.gov](mailto:LPP@catc.ca.gov).

All nomination materials should be bound, addressed and delivered to:

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

Each project nomination should be limited to 35 pages, excluding information requested in appendices. Each project nomination must utilize the letter convention as specified.

### A. Cover Letter

The cover letter must be addressed to the California Transportation Commission's Executive Director and clearly identify the taxing authority or authorities. Nominations must include the signature of the Chief Executive Officer or other officer authorized by the taxing authority's governing board, authoring and approving the nomination. Jointly nominated projects must have the duly authorized signatures of both agencies. Where the project will be implemented by an agency or multiple agencies other than the taxing authority, the nomination must include the signature(s) of the Chief Executive Officer or other authorized officer(s) of the implementing agency or agencies.

Where the project is to be implemented by an agency other than the taxing authority, documentation of the agreement between the taxing authority and implementing agency must be submitted with the nomination.

### B. Fact Sheet

- A one-page fact sheet describing the project scope, cost schedule, and benefits (outputs/outcomes). The fact sheet will be posted on the Commission's website.

### C. General Information

- Project title, with a brief non-technical description of the project, total project cost and requested amount. If the project includes multiple project modes, each project mode must be described.
- Project background and a purpose and need statement.
- A concise description of the type of project, scope and anticipated benefits (outcomes and outputs) proposed for funding.
- A map (or maps) of the project location.

- A confirmation that any capacity-increasing project or a major street or highway lane realignment project was considered for reversible lanes pursuant to Streets and Highways Code Section 100.15.

#### **D. Screening Criteria**

- The Project Programming Request (PPR) form must list all funding match sources (federal, state, local, and private).
- The required performance metrics on Appendix IV to support the narrative of the project.

#### **E. Funding and Deliverability**

- A project cost estimate which includes the amount and source of all funds committed to the project and the basis for concluding that the funding is expected to be available.
- Cost estimates should be escalated to the year of proposed implementation and be approved by the Chief Executive Officer or other authorized officer of the implementing agency.
- A description of the project delivery plan, including a description of the known risks that could impact the successful implementation of the project and the response plan of the known risks. The risks considered should include, but not be limited to, risks associated with deliverability and engineering issues, and funding commitments.

## **Appendix II**

### **Project Programming Request**

Each nomination must include a Project Programming Request (PPR) form. The PPR must list federal, state, local, and private funding categories by project component and fiscal year. If the proposed project includes multiple project modes to be delivered under separate contracts, each project mode must have its own PPR. The scope, benefits, schedule and funding plan of the PPR must be consistent with the information in the nomination. The template of the PPR form may be found at: [INSERT LINK](#)

Discussion Draft

## **Appendix III**

### **Performance Metrics**

- Please fill in the table below with the requested information for your project. This information will also need to be included in the electronic Project Programming Request form that is submitted with the nomination: [INSERT LINK].
- Please refer to the Local Partnership Program Project Metrics Instructions Document which includes additional information and resources for completing this table: [INSERT LINK].
- Project metrics are expected to be provided for the scope of the project as defined in the nomination and as projected for the “Build” scenario versus the “No Build” scenario over a 20-year horizon with no other alternatives consideration required. If a horizon other than 20 years is utilized, it must be specified in the table. Current conditions may also be noted in the nomination narrative.
- These metrics cover estimated project benefits based on what is known at the time of nomination.
- Project types include: Local Road, Highway, Transit Rail, Transit Bus, and Active Transportation, metrics are reported for the project as a whole unless otherwise specified by the applicant.
- A few tools have been identified in the Local Partnership Program Project Metrics Instructions Document [LINK] including the Regional Travel Demand Model, Sub-Regional or Project-Level Models, as well as the Cal-B/C Tools which use travel model data or engineering estimates as inputs to generate project benefits. Other off-model tools, or any tool/methodology that an applicant deems professionally sufficient to complete the calculation may be used.
- The intent of these metrics is not to require a RTDM run for every project. It is anticipated that project applicants will utilize existing analyses (i.e. project level modeling conducted for the environmental analysis) and use that information coupled with additional off model tools or other simple calculations to estimate the project benefits for the nomination process.
- For each measure area please specify the horizon year, methodology, assumptions, and data source(s) used as indicated in the SB 1 Accountability and Transparency Guidelines. Columns for this information have been provided in the table.
- Modeled and observed data may be used. Modeled data used must be calibrated per federal standards.

<b>Measure</b>	<b>Indicator/Measure</b>	<b><u>Build</u></b>	<b><u>Future No Build</u></b>	<b><u>Change</u></b>	<b><u>Methodology</u></b>	<b><u>Data/Assumptions</u></b>
Congestion Reduction	Project Area, Corridor, County, or Regionwide VMT per capita <b>and</b> total VMT					
	Person Hours of Travel Time Saved					
	Daily Vehicle Hours of Delay					
	Percent Change in Non-Single Occupancy Vehicle Travel*					
	Per Capita and Total Person Hours of Delay per Year*					
Throughput	Peak Period Person Throughout by Applicable Mode*					
	Passengers per Vehicle Service Hour*					
	Bicyclist/Pedestrian Screen Line Counts*					
System Reliability	Peak Period Travel Time Reliability Index					
	Transit Service On-Time Performance					
Safety	Number of Fatalities					
	Rate of Fatalities per 100 Million VMT					
	Number of Serious Injuries					
	Number of Serious Injuries per 100 Million VMT					
	Number of Non-Motorized Fatalities and Non-Motorized Serious Injuries					
	Number or Rate of Property Damage Only and Non-Serious Injury Collisions*					
	Accident Cost Savings*					

<b>Measure</b>	<b>Indicator/Measure</b>	<b><u>Build</u></b>	<b><u>Future No Build</u></b>	<b><u>Change</u></b>	<b><u>Methodology</u></b>	<b><u>Data/Assumptions</u></b>
Economic Development	Jobs Created (Direct and Indirect)					
Air Quality & GHG	Particulate Matter (PM 2.5 PM 10)					
	Carbon Dioxide (CO <sub>2</sub> )					
	Volatile Organic Compounds (VOC)					
	Sulphur Dioxides (SO <sub>x</sub> )					
	Carbon Monoxide (CO)					
	Nitrogen Oxides (NO <sub>x</sub> )					
Accessibility	Number of Jobs Accessible by Mode					
	Access to Key Destinations by Mode					
	% of Population Defined as Low Income or Disadvantaged within ½ mile of rail station, ferry terminal, or high-frequency bus stop					
Cost Effectiveness	Cost Benefit Ratio					
System Preservation	Pavement Condition					
	Bridge Condition					

\*Indicates an optional metric

## **Appendix IV**

### **State Highway System Project Impact Assessment**

Discussion Draft

**STATE HIGHWAY SYSTEM PROJECT IMPACT ASSESSMENT**

CTC-0002 (NEW 9/2019)

**I. APPLICANT INFORMATION****1. APPLICANT****2. APPLICANT CONTACT****3. CONTACT TITLE****4. CONTACT PHONE****5. CONTACT EMAIL****II. PROJECT INFORMATION****6. PROJECT TITLE****7. % OF PROJECT AREA WITHIN STATE R/W****8. TOTAL CONSTRUCTION COST WITHIN STATE R/W****9. ANTICIPATED ENVIRONMENTAL DOCUMENT FOR:****CEQA:****NEPA:****10. CHECK ALL OF THE FOLLOWING THAT APPLY:**

- PROJECT IS NOT IN AND WILL NOT DISCHARGE INTO AN ENVIRONMENTALLY SENSITIVE AREA AND IS NOT EXPECTED TO NEED AN EIR/EIS  
 PROJECT DOES NOT REQUIRE FHWA COORDINATION OR APPROVAL  
 PROJECT DOES NOT REQUIRE R/W DEDICATION FROM CALTRANS  
 PROJECT DOES NOT REQUIRE CALTRANS STRUCTURE DESIGN APPROVAL FOR MODIFICATION TO A CALTRANS BRIDGE OR STRUCTURE.  
 PROJECT DOES NOT REQUIRE DESIGN EXCEPTIONS TO MANDATORY DESIGN STANDARDS (REF. HIGHWAY DESIGN MANUAL, DESIGN INFORMATION BULLETIN 78)  
 PROJECT DOES NOT REQUIRE ENCHROACHMENT EXCEPTIONS APPROVAL (REF. ENCHROACHMENT PERMIT MANUAL, CH. 300)

**11. DESCRIBE THE SCOPE OF WORK TO BE DONE WITHIN STATE HIGHWAY RIGHT-OF-WAY****12. EXPECTED LEVEL OF CALTRANS INVOLVEMENT:**

**Cooperative Agreement Oversight Process:** *Cooperative Agreement oversight process reviews are generally used for projects with a construction cost within the State R/W greater than \$1 Million.*

**Encroachment Permits Oversight Process:** *Office of Encroachment Permits oversight process reviews are generally used for projects with a construction cost within the State R/W of \$1 Million or less.*

**III. CALTRANS PROJECT SUPPORT**

SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

PRINT NAME: \_\_\_\_\_

**Deputy District Director Program Project Management**

The above signature indicates, based on available information:

1. Caltrans supports the project;
2. The project is consistent with Caltrans's standards;
3. Durations and start and end dates to achieve the major milestones are reasonable;
4. The funding plan is reasonable.

**IV. ATTACHMENTS**

The Project Programming Request (PPR) must be provided to Caltrans with this form. Additional information may be required by Caltrans, including, but, not limited to: (1) project level documents and (2) draft funding application(s).



## STATE HIGHWAY SYSTEM PROJECT IMPACT ASSESSMENT

CTC-0002 (NEW 9/2019)

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### INSTRUCTIONS

**Applicant must complete ALL fields in sections I and II. Write "N/A" if not applicable. Attach Project Programming Request (PPR) to the form and submit to the local Caltrans District Division of Program Project Management for review and signature. Use the following link to find the location of the correct office: <https://dot.ca.gov/caltrans-near-me>. Caltrans may require additional information before signing the completed form.**

**Applicant must attach the completed AND SIGNED form to the application.**

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1. Applicant (name of applicant agency e.g. Alameda County, Los Angeles Metropolitan Transportation Authority, etc.)
  2. Applicant Contact (name of the Project Manager, City Engineer, designee or person most knowledgeable about the project).
  3. Contact Title (e.g. Project Manager, City Engineer, etc.)
  4. Contact Phone
  5. Contact Email
  6. Project Title: Provide the complete project title. The title should be consistent with the application and all project documentation.
  7. % of project area within State R/W:  $(\text{Area within State R/W} \div \text{Total project area}) \times 100$
  8. Total construction cost of physical project elements within State R/W: Provide a separate estimate for the total construction cost (capital and support costs) of the project for only those physical elements and/or portions of elements that are on or within State R/W. This includes project elements within State airspace.
  9. Indicate the anticipated environmental document that will be required for CEQA and NEPA (ex. Negative Declaration, EIR/ EIS, etc.) Indicate NA if a NEPA document is not required.
  10. Check all that apply.
  11. Fully describe the scope of work to be performed within State Highway R/W. This includes all new or modifications to any physical assets within State R/W.
  12. Expected level of Caltrans involvement: Check one based on the amount entered for item 8.
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