

# LOCAL PARTNERSHIP COMPETITIVE PROGRAM

## DISCUSSION DRAFT GUIDELINES (Used for December 12 Discussion Workshop)

Adopted (date)

Resolution G-19-XX,

California Transportation Commission



**CALIFORNIA TRANSPORTATION COMMISSION  
DISCUSSION DRAFT  
LOCAL PARTNERSHIP COMPETITIVE 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 Competitive 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 Competitive 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 of the 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 Competitive Program:

Draft Guidelines presented to the Commission	January 29, 2020
Guidelines Hearing	March 25, 2020
Adoption of the Guidelines 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 Competitive Program will receive XXX dollars (\$XXX,XXX,XXX) annually from the Road Maintenance and Rehabilitation Account.

The 2018 Local Partnership Competitive Program exceeded the programming amount by \$8,833,000, therefore, the capacity for the 2020 Local Partnership Program will be reduced by that amount. The funding available for the 2020 Local Partnership Competitive Program is \$XXX,XXX,XXX.

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

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

#### 5. Distribution

The Competitive Program will be divided in two parts: one for jurisdictions with voter-approved taxes, tolls, or fees; and the second for jurisdictions with only imposed fees. The Competitive Program will be divided into these two groups based on relative tax, toll, and fee revenue of the taxing authorities. **In no case will the portion for jurisdictions with only imposed fees be less than \$5,000,000.**

#### 6. Matching Requirements

Projects funded from the Local Partnership Competitive 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 imposed fee which generates less than \$200,000 annually are only required to provide a match equal to 50% of the requested Local Partnership Competitive 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 Competitive 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 Competitive Program funding in the plan (local, federal, state, private sources) is reasonably expected to be available and sufficient to complete the project.

## 7. Funding Restrictions

Local Partnership Competitive Program will only fund the construction component of a capital project. A project will be considered for funding only if at time of adoption, the project has completed a project level environmental process in accordance with California Environmental Quality Act (CEQA) and, if the project is federalized, the National Environmental Policy Act (NEPA). An exception may be made for small projects, or smaller project modes that are part of a larger project. For these small projects, environmental must be completed within 6 months of program adoption. Funds will not be allocated to any portion of a larger project until all project modes of the project have completed the environmental process.

Projects on the state highway system and/or projects implemented by Caltrans will require a Caltrans approved Project Report.

Local Partnership Competitive Program funds shall not supplant other committed funds.

The Local Partnership Competitive Program will not participate in cost increases to the project. Any cost increases should be funded from other fund sources. The implementing agency, or agencies, must be able to absorb any cost overruns and deliver the project with no additional funding from the Local Partnership Competitive Program. For jointly nominated projects between Caltrans and the taxing authority, the Commission expects the responsibility for payment of cost increases will be negotiated and agreed to through a funding agreement between both agencies.

The Local Partnership Competitive Program will only fund projects, or segments of projects that are fully funded, have independent utility, and will be ready to start construction by December 31, 2023.

## 8. 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.

## 9. Eligible Applicants

Taxing authorities that have sought and received voter approval of taxes, tolls, or fees, or that have imposed fees, including uniform developer fees as defined by subdivision (b) of Section 8879.67 of the Government Code, which taxes or fees are dedicated solely to transportation improvements. **Taxing Authorities that have imposed fees and have not received voter approval of taxes, tolls, or fees are only eligible for the Local Partnership Competitive Program funding.**

To verify eligibility, a taxing authority that is not eligible for formulaic funds or that does not apply for formulaic funds must submit the following information with their project nomination:

A taxing authority with voter-approved taxes, tolls, or fees **must** submit the following information with their **initial** project nomination:

- 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, or taxes other than sales taxes, a copy of the relevant section of the taxing authority'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 taxing authority with imposed fees **must** submit the following information with their **initial** project nomination:

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

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

Taxing authorities are encouraged to submit information prior to submitting initial nomination.

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.

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.

## **10. 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

### **11. Delivery Methods**

The Commission supports and encourages innovative delivery methods. If a project is expected to use a delivery method besides design-bid-build, the nomination should identify it as part of the proposal. If the method is still not defined at time of nomination, it should be reported as soon as it is known.

For a project expected to use design-build method or design-sequencing procurement, the Commission will program the Local Partnership Competitive Program funds in the construction component of the project. The allocation however may be a combined amount to include design, right-of-way, and construction.

When using the Construction Manager/General Contractor (CMGC) delivery method, the project will be programmed and allocated in the same manner as design-bid-build. During the design phase, CMGC contract costs are considered environmental and/or design phase expenditures. As the project advances in the design phase, it may be desirable to separate the project into packages for efficiencies in the construction delivery. If this is the case, the project may be separated into separate delivery contracts and the Commission must be notified as soon as possible. If required, the delivery dates and the scope of work must be consistent with the approved baseline agreement. If there is a change in cost, the change will need to be identified as specified in Section 7.

### **12. Project Segmenting**

Scaling a project into segments because of its size, funding or delivery schedule may be necessary for certain projects. When segmenting a project into separate independent segments, the nomination should discuss the total project and the reasons for segmenting the project. The nomination should address how each segment of the project will be delivered and include an estimated time line for completing the overall project and each segment in the project.

The evaluation of the project will be based on the segment proposed for funding. Therefore, the nomination should: clearly identify the benefits (outputs/outcomes) for the segment proposed for funding; provide a full funding plan of the segment; and demonstrate the segment has independent utility.

### **13. Multimodal Projects / Modes / Contracts**

Project nominations may include multiple modes to be delivered in separate contracts (i.e. roadwork, rail work, bike lanes) referred to as project modes. The applicant must clearly identify the scope of work for each mode. The benefits (outputs/outcomes) that will be achieved may be described for all project modes combined in the project nomination.

If the scope of a project mode includes multiple independent contracts to achieve the benefits as proposed (i.e. rail project mode may include tracks, vehicle purchases, station improvements), the nomination must identify the scope, funding plan and schedule for

each contract (each contract should have a Project Programming Request Form), including any contracts not requesting Local Partnership Competitive Program funds. The nomination should explain the strategy for project delivery. If subsequent to program adoption, the project is divided into independent contracts, it should be reported as soon as possible. A project amendment will need to be approved by the Commission prior to allocation.

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

Nominations will receive an initial screening by the Commission for completeness and eligibility before moving to the evaluation process. A taxing authority submitting multiple project nominations must clearly prioritize its project nominations. If a project is nominated by multiple taxing authorities, the priority of the taxing authorities should be consistent.

Incomplete or ineligible nominations will not be evaluated.

Nominations will be screened for the following:

- Demonstrate a one-to-one funding match (as outlined in Section 6).
- Provide specified information for eligibility verification (as outlined in Section 9).
- Project demonstrates that negative environmental/community impacts will be avoided or mitigated.
- Project demonstrates that all other funds for the proposed project (segment) are committed.

#### **15. Project Rating Process**

All project nominations that meet the screening criteria will be evaluating and selected through a competitive process.

Each nomination will be evaluated for compliance with the objectives of the program. Each nomination will be rated using the evaluation criteria as specified in Section 16. Each evaluation criteria will be scored with a “High”, “Medium-High”, “Medium”, “Medium-Low”, or “Low”. The highest-ranking nomination will be selected for funding.

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

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

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

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

The **maximum** request for Local Partnership Competitive Program funds is \$25,000,000 per project.

A taxing authority submitting multiple project nominations must clearly prioritize its projects. The Commission may elect to only evaluate the highest priority nomination(s) submitted by each taxing authority.

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

## 16. Evaluation Criteria

A project nomination must include documentation regarding the quantitative and qualitative measures validating the project's consistency with policy objectives. Each section must be addressed, including relative data of the performance metrics.

The Commission will give higher priority to the following:

- Cost Effectiveness – Consideration will be given to those projects that provide the greatest benefit in relationship to the project costs. The Commission will consider measurable benefits using the California Life-Cycle Benefit/Cost Analysis or an alternative proposed by the applicant.
- Deliverability – Priority will be given to projects that have completed the design and right-of-way components of the project, unless the project is being delivered using Design-Build method. If using this method, the start of construction will be the basis for the evaluation.
- Leverage more committed funds per program dollar - Emphasis will be placed on projects that leverage more committed funding from private, federal, state, local or regional sources than the matching funds requirement.
- Air Quality & Greenhouse Gases – The nomination should address how the proposed project will reduce greenhouse gas emissions and criteria pollutants and advance the State's air quality and climate goals.
- Vehicle-Miles Traveled – The nomination should demonstrate how will the project minimize vehicle miles traveled while maximizing person throughput.

- Regional and Community Project Support -The nomination should demonstrate meaningful public outreach and engagement of the proposed project. (i.e., brief descriptions from public outreach events, voter approved expenditure plans that include the proposed project, Regional Transportation Plan (RTP) that include the proposed project and public outreach, and/or letters of support from community-based organizations).
- Safety – The nomination should address safety issues and concerns, including actual reported property, injury, and fatality collisions for the last 3 full years. Demonstrate how the proposed project increases safety for motorized and non-motorized users. Identify and discuss other safety measures the project will address, including health impacts.
- Regional and Local Transportation, Land Use, and Housing Goals – The nomination should explain how the project will advance transportation, land use, and housing goals within the region as identified in the region’s Regional Transportation Plan, Sustainable Communities Strategy (where applicable), Regional Housing Needs Allocation and local Housing Element Implementation<sup>1</sup>, as well as other local plans such as general plans and specific plans if applicable.
- Soundwall Projects – The nomination should demonstrate measurable noise reduction and air quality benefits within the project area.

## 17. Programming

The program of projects for each fiscal year will include, for each project, the amount to be funded from the Local Partnership Competitive Program, and the estimated total cost of the project. Project costs in the Local Partnership Competitive Program will include the construction component only. For Caltrans implemented projects, the cost of construction support will be separated out and programmed separately from the construction capital cost.

## 18. Committed/Uncommitted Funds

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

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 agreement or by funding approval.

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<sup>1</sup>For more information on resources available from the California Department of Housing and Community Development for the development and implementation of Housing Elements please visit: INSERT LINK

Uncommitted funds may only be from the following competitive programs:

- Solutions for Congested Corridors Program; and
- Trade Corridor Enhancement Program

The taxing authority must indicate its plan for securing a funding commitment, explain the risk of not securing that commitment, and its plan for securing an alternate source of funding should the commitment not be obtained. If a project with uncommitted funds is programmed, all funding commitments must be secured prior to July 1 of the year in which the project is programmed or the project will be removed from the competitive program.

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

### **19. 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 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;
- 3.) The impact the proposed change would have to the project;
- 4.) An estimate of the impact the proposed change would have on the potential of the project to deliver the project benefits as compared to the benefits identified in the project nomination (increase or decrease in benefits); and
- 5.) An explanation of the methodology used to develop the aforementioned estimate.

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

Caltrans will review the proposed amendment changes and present the proposed amendment changes with Caltrans' written analysis and recommendation to the Commission for the 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 24).

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

- Cost Changes – The Local Partnership Competitive Program will not participate in cost increases to the project.

- Any cost increases should be funded from other fund sources. If there is a change in the cost estimate, the Commission should be notified as soon as possible in writing explaining the change and the plan to cover the increase.
- Schedule Changes – Schedule changes to a project will not be considered unless a time extension was approved as specified in Section 24. For projects programmed in the last year of the Local Partnership Competitive Program, the taxing authority may request by June 1, 2020 to reprogram the project. only once with justification. The Commission may approve the request only if it finds that an unforeseen and extraordinary circumstance beyond the control of the implementing agency has occurred that justifies the change at the time the 2020 program is adopted.
- Scope Changes – The Commission will not consider changes to the scope of the project unless the change is minor and has no impact to the project benefits or the scope change increases the benefits of the project. In the case where scope changes are significant, and the project benefits are less, the Commission will evaluate the proposed changes and make a determination to continue funding the project or deleting the project from the program through a formal amendment.

## **20. Program Amendments**

The Commission may amend the adopted Local Partnership Competitive Program of Projects. Commission staff will present recommendations to approve or disapprove amendment changes to the Commission as program amendments.

## **21. 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 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 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 Competitive Program. If there is a cost increase to the project, the implementing agency must submit an updated Project Programming Request form that identifies the cost increase and the fund source that will cover the cost increase. If the fund source(s) is not identified to cover the cost increase, the project will be deleted from the Local Partnership Competitive Program.

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, construction support costs must be allocated separately from construction capital costs.

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

## **22. 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 Competitive 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.

## **23. 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.

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.

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.

## **24. 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.

## **25. Project Cost Savings**

Savings at contract award may be used to expand the scope of the project only if the expanded scope provides additional quantifiable benefits. The expanded scope must be approved by Commission staff prior to contract award. All other contract award savings will be returned proportionally and made available for redistribution in subsequent programming cycles.

Savings at project completion must be returned proportionally except when a taxing authority has, subsequent to project programming, committed additional funds to the project to fund a cost increase. In such instances, savings at project completion may be returned to other fund types first, until the proportions match those at programming. Any additional savings must be returned proportionally and made available for programming in subsequent programming cycles.

## **26. Project Reporting**

SB 1 places responsibility on the Commission to track the performance of 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.

## **27. Project Tracking Database**

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



## **28. Project Auditing**

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

## **29. 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 and/or state law, and Caltrans' manual and guidelines, including but not limited to the provisions of the California Manual on Uniform Traffic Control Devices.

Discussion Draft

## 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 authorities 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.

- o A concise description of the type of project, scope and anticipated benefits (outcomes and outputs) proposed for funding.
- o A map (or maps) of the project location.
- o Project priority (if the taxing authority is submitting multiple nominations).
- o When proposing a segment of a project, the applicant should discuss the total project and why the project is being segmented. The project must demonstrate the segment has independent utility and include a narrative of the plan to complete the improvements of the entire project. If proposing the last segment of the project, the nomination should discuss the benefits of all the other segments that have been completed and the impacts to completing the last segment. The analysis should be coordinated with other jurisdictions if the project crosses multiple jurisdictions.
- o 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**

- o The Project Programming Request (PPR) form must list all funding match sources (federal, state, local, and private).
- o Include the required documentation for eligibility verification (as outlined in Section 9).
- o A description of environmental and community impacts as identified in the environmental document. This may be demonstrated with the final environmental document. A link to the final environmental document, or the draft environmental document, must be included for all project modes.

#### **E. Evaluation Criteria**

A quantitative and qualitative analysis of the proposed project compared to the no-build environment. Each Criteria identified in Section 16 of the guidelines must be addressed.

The required performance metrics on Appendix III will support the narrative of the criteria.

#### **F. Funding and Deliverability**

- o 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.
- o Uncommitted funds may only be from those programs identified in Section 18. If uncommitted funding is proposed, the nomination must address the plan for securing a funding commitment, explain the risk of not securing that commitment, and its plan for securing an alternate source of funding.

- 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 that demonstrates the ability to absorb any cost overruns and deliver the proposed project with no additional funding from this program. For Caltrans implemented projects, Caltrans must demonstrate the plan to secure alternate source(s) to fund potential cost overruns.
- 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.

### **G. Community Impacts**

- A description of how local residents and community-based organizations were engaged in developing and supporting the project.
- A description of how the final project will address community-identified needs with a description and quantification of the benefits the project will provide for disadvantaged communities and low-income areas.
- A description of any negative impacts to a disadvantaged community and low-income community, in terms of displacement or other negative impacts, and any related mitigations.
- Include a map to identify whether or not the project is located in a disadvantaged community or low-income community using the Disadvantage and Low-income Community Maps found at:  
<https://www.arb.ca.gov/cc/capandtrade/auctionproceeds/communityinvestments.htm>

A region-specific definition of a disadvantaged community may be used.

- Describe the feedback received during the stakeholder engagement process and describe how the public participation and planning process has improved the project's overall effectiveness at meeting the purpose of the program.
- Describe how stakeholders will continue to be engaged in the implementation of project.

**H. Other.**

- The nomination should explain how the project will advance transportation, land use, and housing goals within the region as identified in the region's Regional Transportation Plan, Sustainable Communities Strategy (where applicable), Regional Housing Needs Allocation and local Housing Element Implementation<sup>2</sup>, as well as other local plans such as general plans and specific plans if applicable.

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<sup>2</sup>For more information on resources available from the California Department of Housing and Community Development for the development and implementation of Housing Elements please visit: [INSERT LINK](#)

## **Appendix I**

### **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 II**

### **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.

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 Discussion Draft  
 Local Partnership Competitive Program Guidelines

<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 Throughput 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 III**

### **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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