Active Transportation Program: A Forum to Strengthen Funding Applications

The San Diego County Childhood Obesity Initiative is a program of Live Well San Diego: Healthy Works and implemented by Community Health Improvement Partners. This work supports Live Well San Diego, the County vision for a region that is Building Better Health, Living Safely, and Thriving.
California Active Transportation Program (ATP)

Background and Application Process
Background of the Program

• California Senate Bill 99 (September 2013)
• California Assembly Bill 101 (September 2013)
• California Senate Bill 1 (April 2017)
• Administered by CTC and Caltrans
Purpose & Goals

• Increase and attract active transportation users
• Provide facilities for walking and biking in urban, suburban, and rural potions of the state
• Provide connections between walking and biking facilities
• Be consistent with the SANDAG Regional Transportation Plan/Sustainable Communities Strategy
ATP Guidelines

• Developed by the CTC for each cycle of the program
• Available on the CTC ATP webpage: http://www.catc.ca.gov/programs/atp/
Local Assistance Procedure Guide (LAPG)

• Chapter 22: Active Transportation Program (ATP)
• Developed by Caltrans to administer the ATP
• Available on the Caltrans LAPG webpage:
  • http://www.dot.ca.gov/hq/Local Programs/lam/lapg.htm
Regional ATP Guidelines

• Developed by SANDAG for each cycle of the program
• Available on the SANDAG ATP webpage: www.sandag.org/atpfunding
3 Program Components

• Statewide Component (50%)
• Small Urban/Rural Component (10%)
• Regional Component (40%)
Regional Component Share
Federal & State Funding Sources and Requirements
Federal Funding

• Sources: Recreation trails, formerly Transportation Alternatives Program (TAP), and other misc. federal funds

• Projects must be federal-aid eligible.

• Compliance with:
  • Title 23 of the U.S. Code of Federal Regulations
  • Caltrans Local Assistance Procedures Manual (LAPM)
  • Caltrans Master Agreement
Federal Funding (cont.)

• Must be programmed in the SANDAG Regional Transportation Improvement Program (RTIP)

• CEQA and NEPA compliance and documentation is required

• Applicants may not proceed with the final design of a project or request "Authorization to proceed with Right-of-Way" or "Authorization to proceed with Construction" until Caltrans has signed a Categorical Exclusion, a Finding of No Significant Impact, or a Record of Decision.
State Funding

• Sources: State Highway Account, and Road Maintenance and Rehabilitation Account (RMRA or SB1)

• State-only funding requests must be submitted with the ATP application.

• Projects may be designated as state-only funded by the CTC at the time the project is programmed
Disadvantaged Communities (DAC) Requirement
DAC Definition

• Median Household Income (MHI) is less than 80% of the statewide median, based on the current census tract data from the 2012-2016 American Community Survey
• Area defined as among the most disadvantaged 25% in the state according to CalEnviroScreen 3.0 scores
• At least 75% of public school students in the project area are eligible to receive free or reduced-price meals under the National School Lunch Program
  • The project must be located within 2 miles of the schools
  • The application must demonstrate how the project benefits the school students in the project area
• SANDAG Regional Transportation Plan definition – minority, low-income, and senior populations
  • Minority: black, Hispanic, Asian American, American Indian, Alaskan Native
  • Low Income: income levels below 200% of the Federal Poverty Rate
  • Senior: anyone 75 years or older
• Native American Tribal Lands: projects located within federally recognized tribal lands (typically within the boundaries of a reservation)
DAC Qualification Requirements

• The project must:
  • Be located within or be within a reasonable proximity to the disadvantaged community served by the project
  • Have a direct connection to the disadvantaged community, or
  • Be an extension or a segment of a larger project that connects to or is directly adjacent to the disadvantaged community
Eligibility Requirements
Eligible Applicants

- Local, regional, state agencies (cities, counties, MPOs)
- Caltrans
- Transit agencies
- Natural resources or public land agencies (responsible for natural resource or public land administration)
  - State or local park or forest agencies
  - State or local fish and game or wildlife agencies
  - Department of the Interior land management agencies
  - US Forest Service
- Public schools or school districts
- Tribal governments
  - Funding is transferred through the BIA
  - CTC requires separate allocations for each phase (transfers occur after each allocation)
  - ATP reporting requirements still apply
- Private non-profit tax-exempt organizations (recreation trail projects only)
Eligible Project Types

• Infrastructure: projects for environmental, design, right-of-way, and construction of a capital project
• Non-Infrastructure: Education, encouragement, and enforcement activities
• Infrastructure Projects with Non-Infrastructure Components
• Plans: community-wide bicycle, pedestrian, safe routes to school, or active transportation plans that encompass or are predominantly located in a disadvantaged community
  • Maximum of 2% of regional funds can be used to fund plan projects
Use of Conservation Corps

• Required by ATP Guidelines for certain projects (plans are excluded)

• Considered in the application scoring process – applicants will lose points if they do not seek corps participation

• Need to reach out to both the California Conservation Corps (CCC) and the local corps (Urban Corps of San Diego) for their participation
  • Will respond within 5 days

• Corps information must be included with the application
Funding Restrictions

• ATP funds cannot supplant other committed funds and are not available to fund cost increases.

• Projects that are already fully funded or projects that are a capital improvement required as a condition for private development approval or permits are not eligible for ATP funding.
Matching/Leveraging Funds

• Are not required

• **Matching funds**: additional funds that are dedicated to the ATP project and will be used for any eligible ATP expenses

• **Leveraging funds**: additional funds the applicant can secure on behalf of the project and will be used for any project-related expenses, even if they are ineligible under the ATP
  
  • Funds cannot be from any of the CTC’s competitive funding programs (Solutions for Congested Corridors Program, Trade Corridor Enhancement Program, Local Partnership Program, or Active Transportation Program)
ATP Milestones
Results of Prior ATP Cycles

• 5 years of funding (2014-2015 through 2020-2021)
• Total funding available: $1.49B
• Statewide Component: $746M (total statewide)
  • 24 San Diego projects received funds
• Regional Component: $48.2M
  • 18 projects received funds
Cycle 4 Call for Projects
Available Funding

- 4 fiscal years:
  - 2019-2020
  - 2020-2021
  - 2021-2022
  - 2022-2023

- Total funding available: $890M
  - Statewide Component: $439.5M
  - San Diego Regional Component: $15.87M
## Important Dates - Statewide

<table>
<thead>
<tr>
<th>Event</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>CTC adoption of ATP Guidelines</td>
<td>5/16/2018</td>
</tr>
<tr>
<td>Estimated available funding released</td>
<td>5/16/2018</td>
</tr>
<tr>
<td>Statewide Call for Projects released</td>
<td>5/16/2018</td>
</tr>
<tr>
<td>ATP Workshop at Caltrans</td>
<td>6/20/2018</td>
</tr>
<tr>
<td>Application submittal deadline for Statewide Competition</td>
<td>7/31/2018</td>
</tr>
<tr>
<td>CTC staff recommendation of projects for Statewide Competition</td>
<td>12/31/2018</td>
</tr>
<tr>
<td>CTC approval of recommended projects for Statewide Competition</td>
<td>January 2019</td>
</tr>
<tr>
<td>CTC adoption of ATP Guidelines</td>
<td>5/16/2018</td>
</tr>
<tr>
<td>Estimated available funding released</td>
<td>5/16/2018</td>
</tr>
<tr>
<td>Event</td>
<td>Date</td>
</tr>
<tr>
<td>----------------------------------------------------------------------</td>
<td>---------------</td>
</tr>
<tr>
<td>Regional ATP guidelines considered by SANDAG Board of Directors</td>
<td>6/22/2018</td>
</tr>
<tr>
<td>CTC considers SANDAG Regional Guidelines for approval</td>
<td>8/15/2018</td>
</tr>
<tr>
<td>Regional Call for Projects released</td>
<td>8/17/2018</td>
</tr>
<tr>
<td>Application submittal deadline for Regional Competition</td>
<td>9/28/2018</td>
</tr>
<tr>
<td>Scoring and ranking of Regional Competition applications</td>
<td>10/8/2018-1/4/2019</td>
</tr>
<tr>
<td>TransNet Swap coordination with applicants (if applicable) for Regional Competition</td>
<td>1/7/2019-1/18/2019</td>
</tr>
<tr>
<td>SANDAG Independent Taxpayer Oversight Committee (ITOC) reviews TransNet/ATP Swap concept (if applicable)</td>
<td>2/13/2019</td>
</tr>
<tr>
<td>Deadline for Applicants to submit Resolution</td>
<td>2/1/2019</td>
</tr>
<tr>
<td>Publication of recommended ranked project list (through posting of Transportation Committee Agenda) for Regional Competition</td>
<td>2/8/2019</td>
</tr>
</tbody>
</table>
Application Requirements

• **Statewide application by 7/31/2018**
  • Available on the Caltrans ATP webpage:  
    http://www.dot.ca.gov/hq/LocalPrograms/atp/cycle-4.html

• **Regional ATP supplemental questionnaire by 9/28/2018**
  • Available on the SANDAG ATP webpage:  
    www.sandag.org/atpfunding
Statewide Application
Statewide Application
Application Submittal Instructions & Training
Statewide Submittal Requirements

• One electronic copy submitted through the electronic process (the online PDF).

• Five hard copies (one original and four copies) submitted to Caltrans Division of Local Assistance

• All projects must be submitted through the statewide component – no new projects will be considered in the regional call for projects

• Please submit an electronic copy of your application to SANDAG via Jenny Russo
  • Large submittals can be submitted via WeTransfer: https://sandag.wetransfer.com
Evaluating Statewide Applications
Statewide Evaluation Process

• Eligibility screen
• Qualitative evaluation (evaluation panel scores)
• Initial scores
• Disadvantaged communities adjustment (if needed)
• Final scores and project contingency list
Statewide Scoring Rubrics

Active Transportation Program (ATP)

The Active Transportation Program (ATP) was created by Senate Bill 99 (Chapter 359, Statutes of 2013) and Assembly Bill 101 (Chapter 354, Statutes of 2013) to encourage increased use of active modes of transportation. The ATP consolidated various transportation programs into a single program and was originally funded at about $223 million a year from a combination of state and federal funds. Most recently, Road Repair and Accountability Act of 2017 Senate Bill 1 (Chapter 20, Statutes of 2017) added approximately $100 million per year in available funds for the ATP. This will nearly double the amount of available funds for the Active Transportation Program.

2019 ATP

- **Active Transportation Cycle 4 - Call For Projects** - May 22, 2018 - Applications are due July 31, 2018

  - Final Adopted 2019 ATP Guidelines with Adopting Resolution G-18-19 - May 16, 2018
    - Large Infrastructure Project Application Scoring Rubric
    - Medium Infrastructure Project Application Scoring Rubric
    - Small Infrastructure Project Application Scoring Rubric
Statewide Scoring Rubrics

• One set for each application type:
  • Large Infrastructure
  • Medium Infrastructure
  • Small Infrastructure
  • Non-Infrastructure
  • Plan
• Use them to prepare your application!
Regional Application
Regional ATP Supplemental Questionnaire

- Non-Infrastructure Projects
  - Innovation
- Infrastructure Projects
  - Project Readiness – Completion of Major Milestones
  - Linkages to Bicycle, Pedestrian, and Transit Networks
  - Effectiveness and Comprehensiveness of Proposed Project
- Complementary Programs
  - Innovation
Evaluating Regional Applications
Regional Evaluation Process

• Eligibility screen
• Quantitative Evaluation (GIS and formula-based scores)
• Qualitative evaluation (evaluation panel scores)
• Initial ranking
• Disadvantaged communities adjustment
• Final ranking and project contingency list
Regional Evaluation Criteria

- Infrastructure Scoring Criteria
Regional Evaluation Criteria

• Non-infrastructure Scoring Criteria
The San Diego County Childhood Obesity Initiative is a program of Live Well San Diego: Healthy Works and implemented by Community Health Improvement Partners. This work supports Live Well San Diego, the County vision for a region that is Building Better Health, Living Safely, and Thriving.
Free and publicly available data tools and sources

- Sociodemographic information for your targeted area
- Data on the built environment and community conditions
- Health data
- How to show potential impact
What Type of Data Is Available?

**Demographic**
- Population Size
- Race/Ethnicity
- Poverty

**Community**
- Walkability
- Bikeability
- Access to transportation

**Health**
- Obesity
- Asthma
- Accidents/Injuries
Geographic Level

- County
- City
- ZIP code
- Subregional Area
- Census Tract
- School District / Individual School
Healthy Places Index

- [https://map.healthyplacesindex.org/](https://map.healthyplacesindex.org/)
- Geographic: County, City, Elementary school district, Census tract
- Sociodemographic: Income, Employment, Poverty, Hardship
- Community/environment: Pollution, Transit access, Traffic density
- Health: Pedestrian injuries, Physical activity, Asthma, Obesity, High blood pressure, Coronary heart disease, Diabetes
- Webinar: [https://healthyplacesindex.org/launch-webinar/](https://healthyplacesindex.org/launch-webinar/)
Healthy Places Index

The California Healthy Places Index (HPI)™

Chula Vista

Policy Action Areas are ordered by their contribution to the average HPI Score.

- Economic
- Education
- Transportation

This tract has healthier transportation conditions than just 22% of other California census tracts.

Indicator | Percentile Ranking
--- | ---
Active Commuting | 77
Automobile Access | 16.4

Social

Neighborhood

Housing

Tract: 126.00

HPI Percentile (Value): 21.5

(-0.4)

Click for more details...
Live Well San Diego Data Portal

- https://data.livewellsd.org/
- Geographic: County, Health and Human Services Agency region, Subregional Area
- 2016 San Diego County Demographic Profiles
  - Population size, Race/ethnicity, Poverty
  - Death, Emergency Department Discharge, Hospitalization
  - Pedestrian Injuries
  - Asthma
Live Well San Diego Data Access Portal

This data access portal will take you to the most recent demographic, economic, behavioral, and health data available by communities in San Diego County.

Browse all of the data in the catalogue [here](#), or explore by category below:

- Demographic Profiles
- Non-Communicable (Chronic) Disease
- Communicable Disease
- Maternal and Child Health
- Injury
- Behavioral Health
- Alzheimer's Disease and Other Dementias
- Maps, Charts, Graphs, Reports and Resources
California Department of Education

- DataQuest: [https://dq.cde.ca.gov/dataquest/](https://dq.cde.ca.gov/dataquest/)
- Demographic: County, School districts, Schools
- Sociodemographic: Race/ethnicity, Free and Reduced Price Meal eligibility
- Health Physical Fitness Test results
  - ✔️ (Body Composition includes BMI measurement)
DataQuest helps you find facts about California schools and districts.

To create a report: (1) select a Level, (2) select a Subject, and (3) click on the "Submit" button.

- What's NEW? DataQuest Change Log
- What's in DataQuest?
- QuickQuest lets you find answers fast!
- Our Parents Page is another way to find data
- Contact information for program related questions
- California School Directory
- Help on using DataQuest
- DataQuest Reporting Levels
- DataQuest Reporting Schedule
- Data Privacy
- Data Requests

1. Select Level:
   - Level: [School]

2. Select Subject:
   - Subject: [Physical Fitness Test]

3. Click Submit:
   - [Submit] [Reset]
Health Data:
AskCHIS Neighborhood Edition

- [http://askchisne.ucla.edu](http://askchisne.ucla.edu) (need to create an account)
- Geographic: County, City, ZIP code, Legislative districts
- Health: Obesity, Asthma, Heart disease, Diabetes, Physical activity, Food insecurity
- Caveat: Limited to 2012 and 2014 data
Other data sources and tools

• Sociodemographic
  ✔ SANDAG
    ▪ Data Surfer
    ▪ Geographic Boundary Viewer
  ✔ US Census Bureau
    ▪ American Fact Finder
Other data sources and tools

- Walkability and Bikeability
  - WalkScore
  - San Diego Regional Bike and Pedestrian Counters
The Health Economic Assessment Tool (HEAT) is designed to enable users without expertise in impact assessment to conduct economic assessments of the health impacts of walking or cycling.

The tool is based on the best available evidence and transparent assumptions. It is intended to be simple to use by a wide variety of professionals at both national and local levels. These include primarily transport planners, traffic engineers and special interest groups working on transport, walking, cycling or the environment.
Using HEAT To Show Potential Impact

- www.heatwalkingcycling.org
- “If x people regularly walk or cycle an amount of y, what is the economic value of the health benefits that occur as a result of the reduction in mortality due to their physical activity?”
HEAT - Examples

• What would be the value if we doubled cycling in this city?
• What would be the value if we increased modal share for walking and cycling by x%?
• What is the value of current levels of cycling/walking in my city?
• What would be the value of building this new bike path?
• What is the value of the increase in walking/cycling we have measured across our community?
Is HEAT applicable to your project?

- Population-level assessments, not individuals
- Habitual behavior, not one-day events or competitions
- Adult populations (ages 20-74 for walking, 20-64 for cycling)
- Not suitable for populations with very high average levels of cycling
- Air pollution module should not be used for environments with very high levels of air pollution
- Provides estimates of the order of magnitude, results involve uncertainty.
HEAT Example from an ATP Application

<table>
<thead>
<tr>
<th></th>
<th>Current Daily Trips</th>
<th>Current Average Trip Length</th>
<th>Estimated Daily Trips 5 Years After Construction</th>
<th>Estimated Average Trip Length</th>
</tr>
</thead>
<tbody>
<tr>
<td>Walkers</td>
<td>80</td>
<td>0.5 miles</td>
<td>350</td>
<td>1.5 miles</td>
</tr>
<tr>
<td>Cyclists</td>
<td>1*</td>
<td>1 mile</td>
<td>65</td>
<td>2 miles</td>
</tr>
</tbody>
</table>

*Currently, cyclists do not use the project area, so this figure should be 0; however, the tool will not accept a value of 0 so we used 1. Default values were used for all other settings.

Overall, the model predicts that implementing the project would lead to a decrease in average risk of mortality of 9% for walking and 2% for cycling. We analyzed the accumulation of benefits over 50 years because we expect the trail to be a popular community asset that will be used at least that long. A summary of these benefits is in the table below.

<table>
<thead>
<tr>
<th></th>
<th>Average Annual Benefit Over 50 Years</th>
<th>Accumulated Benefits Over 50 Years</th>
<th>Current Value of Accumulated Benefits (5% Discount Rate)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Walking</td>
<td>$183,000</td>
<td>$9,173,000</td>
<td>$2,896,000</td>
</tr>
<tr>
<td>Cycling</td>
<td>$9,000</td>
<td>$435,000</td>
<td>$137,000</td>
</tr>
<tr>
<td>Total</td>
<td>$192,000</td>
<td>$9,608,000</td>
<td>$3,033,000</td>
</tr>
</tbody>
</table>
Thank you!

Name
Dan Fesperman

San Diego County Childhood Obesity Initiative
Community Health Improvement Partners

858-609-7982

dfesperman@sdchip.org

www. Ourcommunityourkids.org
VISION ZERO + SAFE ROUTES TO SCHOOL

PRESENTED BY:
Kristin Haukom, MPH
SRTS PLANNING + PROGRAM SPECIALIST
alta PLANNING + DESIGN
VISION ZERO...

• A strategy to reduce fatal/severe traffic collisions to **ZERO**

• Acknowledges that traffic collision deaths/serious injuries are **PREVENTABLE** through safer street design

• Involves **E**ngineering, **E**ducation, and **E**nforcement
VISION ZERO “Hot Spots”

Source: Circulate San Diego
Vision Zero: Zero Traffic Deaths in San Diego by 2025
Safe Routes to School (SRTS) is a framework that promotes and supports safe and active forms of transportation around schools and throughout communities.

Quite simply, SRTS strategies get students and their families walking and bicycling where it is safe to do so and where it is not safe, these strategies can help make it safe.
VISION ZERO + SRTS DATA

District: Carlsbad Unified School District

Schools
Buena Vista Elementary
Jefferson Elementary
Valley Middle

Top 5 Intersections
Carlsbad Village Drive & I-5
Carlsbad Blvd & Tamarack Ave
Carlsbad Blvd & Redwood Dr
Tamarack Ave & I-5
Tamarack Ave & Adams

City of Carlsbad

Vision Zero + Safe Routes to School Analysis

INTERSECTIONS WITH THE MOST BICYCLE/PEDESTRIAN INVOLVED COLLISIONS WITHIN 0.3 MILES OF A PUBLIC SCHOOL

District: Carlsbad Unified School District

Top 5 Intersections
Carlsbad Village Drive & I-5
Carlsbad Blvd & Tamarack Ave
Carlsbad Blvd & Redwood Dr
Tamarack Ave & I-5
Tamarack Ave & Adams

Thanks to our partners:
**Next Steps**

- **Just a start.** Data meant to bring attention and tell a story.

- **Work with partners.** We all have a stake in this effort.

- **Apply for Vision Zero + SRTS Projects.** ATP (Now), Sustainable Transportation Planning (August), SANDAG (TBD).
San Diego County SRTS Coalition

2pm-3pm on Tuesday, June 26, 2018
Letter of Support

“Working to promote regional SRTS efforts, coordination, and information sharing in San Diego County.”

Sincerely,

[Signatures]
Thank You!

Kristin Haukom, MPH
kristinhaukom@altaplanning.com
What We Do

• Policy & Advocacy
• Education & Planning Programs

Mission: To create excellent mobility choices and vibrant, healthy neighborhoods.
Policy & Advocacy

- Land Use
- Housing
- Transportation
CIRCULATE SERVICES

CIRCULATE PLANNERS

Safe Routes Programs
Neighborhood Assessments
Active Transportation Planning and Programming
Marketing and Public Campaigns
Grant Writing, and Program Development
Creative Engagement
community groups
private stakeholders
Cities
Agencies
Ways we can support your application

- Grantwriting and program development
- Letters of support
- Non infrastructure programs
- AT and SRTS Plans
THANK YOU

• Questions or comments?
• Contact us:

  Catherine Thibault
  Director of Programs
  cthibault@circulatesd.org
  619-544-9255 x 300
Safe Routes to School

Improving Health, Safety and Transportation
What is the Safe Routes to School Program?

Safe Routes to School programs aim to make it:

- **Safer** for students to walk and bike to school.

- **Encourage more walking and biking** where safety is not a barrier.
RCHSD Safe Routes to School

*Our Journey to Healthier Communities*

- Rady Children’s Hospital – San Diego serves 90% of the San Diego County children
- We are committed to prevention efforts

**Pedestrian Injury:** a leading cause of unintentional death for school-aged children
Communities and organizations are taking action on behalf of San Diego children: Making Strides (2000-2018) for San Diego children.
ATP Cycle 4 – Outreach and Application Process

- COMMUNITY INTEREST / DATA COLLECTION
  
  * Public Statistics / Collision Data (SafeTREC TIMS tool: https://tims.berkeley.edu/)
  
  * Free and Reduced Priced Schools Meals data (http://www.ed-data.org/district/San-Diego/San-Diego-Unified)
  
  * CalEnvironScreen (http://www.calepa.ca.gov/EnvJustice/GHGIInvest/)
ATP Cycle 4 – Outreach and Application Process

- **FINDING A FISCAL AGENT**

  * Municipality/District (City of San Diego Engineering Department; City of San Diego Planning Department)

  * Support from Elected Officials

  * Outline Proposal / Benefits

  * Discuss Roles and Responsibilities of both partners
ATP Cycle 4 – Outreach and Application Process

- PUBLIC PARTICIPATION AND PLANNING
  * Town Council Group Meetings
  * Planning Council Group Meetings
  * School District Cluster Meetings
  * Meetings with school principals
  * Letters of Support
ATP Cycle 4 – Outreach and Application Process

RESOURCES

* National Safe Routes to School Partnership (https://www.saferoutespartnership.org/)

* California Department of Public Health – Applications Reviewers
PLANTING SEEDS FOR OUR KIDS....

THANK YOU!!!

Priscila Hegger, MPH
Rady Children’s Hospital – San Diego
Lead Coordinator
Caltrans Master Agreement
For implementing agencies
Implementing Agencies

• Agencies who are unfamiliar with administering a project through Caltrans are encouraged to partner with an experienced agency

• Implementing agencies are responsible and accountable for the use and expenditure of ATP funds

• The Master Agreement process is outlined in the Caltrans Local Assistance Procedures Manual (LAPM) under Chapter 4
Pre-Audit Process

• Must be passed before an agency can receive a Master Agreement

• Is conducted by the Caltrans Division of Audits and Investigations (A&I)

• May take from 3-6 months on average to complete

• If documentation is not provided in a timely manner or if responses are inadequate, the process may take longer.
Risk Factors

• Type of agency? How long has the agency been in business? How large is the agency?
• Staffing levels? Type of Staff? Staff Turnover?
• Has agency been audited by another state agency before? If so, when? Any adverse findings? Copy of Audit Report available?
• Is this their first Local Assistance project? Federal/State Aid dollar amounts? Other anticipated projects?
Risk Factors (cont.)

• Typically, Local Assistance does not enter into Master Agreements with private or non-profit entities.

• Non-transportation type agencies are limited to administering non-infrastructure projects and will enter into non-infrastructure Master Agreements only.
ATP Project Implementation

What to expect once your project is funded
Local Assistance Procedure Guide (LAPG)

- Chapter 22: Active Transportation Program (ATP)
- Developed by Caltrans to administer the ATP
- Available on the Caltrans LAPG webpage:
  - [http://www.dot.ca.gov/hq/Local Programs/lam/lapg.htm](http://www.dot.ca.gov/hq/Local Programs/lam/lapg.htm)
Baseline Agreements

• Are required for ATP projects with a total project cost of $25M or greater, or a total programmed amount of $10M or greater

• More information is outlined in the SB1 Accountability and Transparency Guidelines, available on the CTC website:
Baseline Agreements (cont.)

• Shall be approved by the CTC within 4 months of project adoption into the ATP program.

• If a project that initially falls below the Baseline Agreement threshold later increases to equal or exceed the threshold requirements, a Baseline Agreement will be required within 60 days of when the change is identified.
Allocation Requests

• When an agency is ready to implement a project or project phase

• Must be submitted to Caltrans District 11 at least 2 months prior to the CTC meeting

• Projects selected through the regional ATP component are required to obtain a SANDAG signature on their allocation request.

• Caltrans will review the request and determine whether or not to recommend the request to the Commission for action.
Allocation Requests

• Caltrans’ recommendation will include a determination of project readiness, the availability of appropriated funding, and the availability of all identified and committed supplementary funding.

• The Commission will not allocate funds for a non-infrastructure project or plan, or for design, right-of-way, or construction of an infrastructure project, prior to documentation of environmental clearance under CEQA.

• The Commission will not allocate funds, other than for the environmental phase, for a federally funded project prior to documentation of environmental clearance under NEPA.
Timely Use of Funds

• Once funds are allocated, agencies have 6 months to award a contract
• Right of way must be expended by the end of the second fiscal year following the fiscal year when allocated
• Construction must be completed within 3 years from contract award
Timely Use of Funds

• Implementing agency has 6 months after contract acceptance to:
  • Make the final payment to the contractor
  • Prepare the Final Report Of Expenditures (FROE)
  • Submit the final invoice to the DLAE for reimbursement

• If programmed funds are not allocated within the fiscal year, the project will be removed from the ATP and funding will be distributed to the next project on the contingency list from the most recent call for projects
Project Cost Increases

- The ATP will not fund any cost increases to a project.
- Any cost increases must be funded from other fund sources secured by the applicant.
- If there is a change in the cost estimate, the implementing agency must notify Caltrans as soon as possible. The written notification should explain the change and the plan to cover the increase.
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 active transportation benefits.

• The expanded scope must be approved by the CTC’s Executive Director prior to contract award. All other contract award savings will be returned proportionally.

• Any amount allocated for environmental may also be expended for design.
Project Cost Savings (cont.)

• An agency may expend an amount allocated for environmental, design, right of way, construction (infrastructure or non-infrastructure) for another allocated project phase, provided that the total expenditure shifted to a phase is not more than 20 percent of the amount actually allocated for either phase.

• The amount transferred by a local agency from one phase to another may be no more than 20 percent of whichever of the phases has received the smaller allocation from the CTC.
Time Extension Requests

• Use the LAPG Exhibit 22-B form
• Should be submitted electronically to timely.use.of.funds@dot.ca.gov with a copy to the DLAE and SANDAG
• The length of extension requested cannot exceed 12 months
• Projects selected through the regional ATP component are required to obtain a SANDAG signature on their time extension request before it can be processed
• For allocation of funds, the time extension must be approved by the CTC by June 30th of the year the funds are programmed otherwise the funds will lapse.
Scope Changes

• The notification to Caltrans must include the following:
  • An explanation of the proposed scope change.
  • The reason for the proposed scope change.
  • The impact the proposed scope change would have on the overall cost of the project.
  • An estimate of the impact the proposed scope change would have on the potential of the project to deliver the project benefits as compared to the benefits identified in the project application (increase or decrease in benefit) and an explanation of the methodology used to develop the estimates.
Scope Changes

• The notification to Caltrans must include the following:
  • An explanation of the proposed scope change.
  • The reason for the proposed scope change.
  • The impact the proposed scope change would have on the overall cost of the project.
  • An estimate of the impact the proposed scope change would have on the potential of the project to deliver the project benefits as compared to the benefits identified in the project application (increase or decrease in benefit) and an explanation of the methodology used to develop the estimates.
Scope Changes (cont.)

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

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

• CTC Staff will present recommendations to disapprove minor scope changes and recommendations to approve or disapprove more significant scope changes to the Commission as project amendments.

• SANDAG approval is required for allocation requests of projects with scope changes.
Funding Distribution Changes

• Agencies may request to move amounts between programmed phases (Environmental Studies and Permits (PA&ED), Plans, Specs and Estimates (PS&E), Right of Way (R/W) and Construction).

• Moving funds between phases will not increase the total programmed amount.

• The agency must show that the project is still fully funded and that the benefit of the project will remain the same or increase.

• All Funding Distribution Change requests must be considered by the CTC for approval.
Funding Distribution Changes (cont.)

• The notification to Caltrans must include:
  • A revised Project Programming Request (PPR) that outlines the proposed funding distribution change.
  • The reason for the proposed funding distribution change.
  • The impact the proposed change would have on the overall cost of the project. The project must remain fully funded.
  • A discussion of whether the funding distribution change will affect the benefit of the project as described in the project application.
Active Transportation Resource Center

- Is funded with ATP funds to support all current and potential ATP applicants
- Provides technical assistance and training resources to help agencies deliver existing and future projects and to strengthen community involvement in future projects including those in disadvantaged communities
Active Transportation Resource Center

• Available online: http://caatpresources.org
• Infrastructure resources including bicycle and pedestrian manuals, guides, and plans
• Safe routes to school resources including resources to help grow SR2S programs in the community
Project Reporting

• 3 types of reports are due:
  • Semi-Annual Progress Reporting
  • Project Completion Report
  • Final Delivery Report

• List of every ATP project and its reporting status is posted on the Caltrans ATP webpage at http://www.dot.ca.gov/hq/LocalPrograms/atp/proj_report.html

• Implementing agencies that do not submit their reports may lose their ATP funding

• All questions on reporting should be directed to Mary Hartegan (mary.hartegan@dot.ca.gov) with a copy to the DLAE
Semi-Annual Progress Reporting

• Uses the LAPG Exhibit 22-S form

• Initial Report Due: May 15th and November 15th of each year, beginning with the fiscal year of the project’s initial phase. If a time extension was approved, the reporting requirement date remains unchanged.

• Continuous Reporting: After the initial report, progress reports are required each May 15th and November 15th until the Final Delivery Report is received.

• Reports should indicate progress towards reaching allocation within the programmed year.
Project Completion Report

• Within six months of construction contract acceptance or the project becoming operable (open to the public), whichever comes sooner

• Will include the scope of the completed project, its estimated final cost, estimated duration and project benefits as compared to those included in the executed project agreements.

• The report shall describe the methodologies and assumptions used to evaluate how the project benefits were evaluated as compared to the methodologies and assumptions used in the executed project agreements.
Final Delivery Report

• Uses the LAPG Exhibit 22-T form

• Must be provided within 180 days of conclusion of all remaining project activities beyond the acceptance of the construction contact to reflect:
  • Final project expenditures
  • Any changes that occurred after submittal of the Completion Report
  • An updated evaluation of the benefits.
Invoicing

- Once funds for a project are encumbered
- Applicants are expected to invoice on a regular basis
- Failure to invoice on a regular basis will result in the project being deemed "inactive" and subject to de-obligation if proper justification is not provided.
- ATP is a reimbursement program for eligible costs incurred.
- In order for an item to be eligible for reimbursement, the item’s primary use or function must meet the ATP purpose and at least one of the ATP goals.
- The invoice process is detailed in the Local Assistance Procedures Manual, Chapter 5: Invoicing.
- Costs incurred prior to CTC allocation and Federal Highway Administration approval (i.e. Authorization to Proceed) are not eligible for reimbursement.
## Resources

<table>
<thead>
<tr>
<th>Role</th>
<th>Name</th>
<th>Email</th>
<th>Phone</th>
</tr>
</thead>
<tbody>
<tr>
<td>SANDAG ATP Coordinator</td>
<td>Jenny Russo</td>
<td><a href="mailto:jenny.russo@sandag.org">jenny.russo@sandag.org</a></td>
<td>(619) 699-7314</td>
</tr>
<tr>
<td>Caltrans District 11 ATP Coordinator</td>
<td>Bryan Ott</td>
<td><a href="mailto:bryan.ott@dot.ca.gov">bryan.ott@dot.ca.gov</a></td>
<td>(619) 220-5310</td>
</tr>
<tr>
<td>Caltrans District 11 Local Assistance Engineer (DLAE)</td>
<td>Bing Luu</td>
<td><a href="mailto:bing.luu@dot.ca.gov">bing.luu@dot.ca.gov</a></td>
<td>(619) 220-5311</td>
</tr>
<tr>
<td>SANDAG RTIP &amp; Programming Analyst</td>
<td>Sue Alpert</td>
<td><a href="mailto:sue.alpert@sandag.org">sue.alpert@sandag.org</a></td>
<td>(619) 595-5318</td>
</tr>
</tbody>
</table>
Questions?