

CHAPTER 1 INTRODUCTION/OVERVIEW

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CHAPTER 1 INTRODUCTION/OVERVIEW

1.1 PURPOSE

The purpose of the *Local Assistance Program Guidelines* (LAPG) is to provide local project sponsors with a complete description of the federal and state programs available for financing local public transportation-related facilities. Each program is discussed in detail in the following chapters and addresses such topics as: project eligibility, project selection process, funding levels, key decision-makers, significant dates, relevant statutory references and related publications.

With the 1997 State enactment of Senate Bill 45 (SB 45), the enactment of the 1998 federal “Transportation Equity Act for the 21st Century” (TEA-21), superseded by the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), new programs and increased funding levels have become available for local transportation projects.

Exhibit 1-A State & Federal Programs Available for Local Transportation Projects, illustrates the various federal and state programs available for financing local transportation projects and the typical annual funding level for each of the programs. Note that state program funding levels are subject to inclusion in the annual state budget approved by the Governor.

Exhibit 1-B, Local Assistance Programs, lists the various federal and state programs available for financing local transportation projects and includes a brief discussion of the programs and the eligible uses of the funds.

1.2 BACKGROUND

On September 12, 1997, the Governor signed SB 45, making substantial changes in the State’s transportation programming process.

SB 45 was enacted with the following basic objectives:

(SB 45 amended, added, and repealed sections 14523-55 and 65071-86 of the Governmental Code, 99310-18 of the Public Utilities Code, and 163-7, 188, 199 and 2600-02 of the Streets and Highways Code.)

- Preserve the basic planning and programming process, avoid legislative budgeting of projects, while changing the State Transportation Improvement Program (STIP) from a project delivery document to a resource management document.
- Transfer transportation decision-making responsibility to those who are closest to the problem.
- Eliminate artificial constraints and barriers to programming.
- Place state highways, local roads and transit projects on equal footing for access to support costs.
- Recognize the Caltrans role as owner-operator of the State Highway System (SHS), while removing Caltrans from lead responsibility for resolving urban congestion problems created largely by local decisions.
- Provide incentives for regional accountability for the timely use of funds.
- Retain the California Transportation Commission (CTC) role as guardian of state capital dollars, with responsibility for determining how best to manage those dollars in a wise and cost-effective manner.

In June 9, 1998, the President signed TEA-21 authorizing highway, highway safety, and other surface transportation programs for the next six years, which significantly increased federal funding

authorizations for state and local highways, and mass transportation. Federal funds allocated to California and available for state, local, and mass transportation projects were increased to approximately \$2.5 billion annually.

SAFETEA-LU signed into law by President George W. Bush on August 10, 2005, guaranteed funding for highways, highway safety, and public transportation totaling to \$244.1 billion for the five-year period 2005-2009. SAFETEA-LU promotes more efficient and effective federal surface transportation programs by focusing on transportation issues of national significance, while giving state and local transportation decision-makers more flexibility for solving transportation problems in the communities.

The types of projects and activities now eligible for federal funding provide state and local governments with unprecedented flexibility in developing a mix of highway, transit and other alternatives to address statewide, regional and local transportation needs.

The CTC intends to carry out these objectives through its guidelines, stressing accountability and flexibility.

1.3 ROLES OF THE LOCAL AND REGIONAL AGENCIES

Cities, counties, Metropolitan Planning Organizations (MPOs), Regional Transportation Planning Agencies (RTPAs), and other authorities work independently as well as with Caltrans in the development of long and short-range improvement plans. The role of local communities in the design of transportation improvement programs and selection of projects has continued to expand through the enactment of ISTEA, TEA-21, SB 45, and SAFETEA-LU. Transportation planning begins at the city and county level with the inclusion in their “General Plan” of a transportation (circulation) element. One key in local decisions is land use. The transportation elements developed in a local General Plan are incorporated along with air, water, congestion and environmental concerns into planning and programming documents developed by RTPAs and Metropolitan Planning Organizations (MPOs). Exhibit 1-C, MPO RTPA Map, is a map showing the location of MPOs and RTPAs in the state.

Transportation planning begins at the city and county level with the inclusion of a transportation element in a local “General Plan.” The transportation elements developed in a General Plan are incorporated along with other concerns into planning and programming documents that RTPAs and MPOs develop.

The CTC is responsible for the programming and allocating of funds for the construction of highway, passenger rail and transit improvements throughout California. The CTC also advises and assists the Secretary of Business, Transportation and Housing Agency and the Legislature in formulating and evaluating state policies and plans for California’s transportation programs. The Commission is also an active participant in the initiation and development of State and federal legislation that seeks to secure financial stability for the State’s transportation needs.

Various local agency specialty plans (e.g. air, water, land use, and congestion) influence and are incorporated (as needed) into the Regional Transportation Plan (RTP). An RTP is a 20-year transportation plan that describes policies, strategies, needs and goals. An RTP presents the local area’s vision for local multimodal transportation systems. RTPs are required by state and federal law. Caltrans cooperates in the development of the regional documents by providing expertise and information. RTPs must be consistent with Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) planning regulations. These regulations impose conditions for receiving federal-aid funds that require each urbanized area to have a continuing, comprehensive and coordinated transportation planning process that results in RTPs and Federal Transportation Improvement Programs (FTIP) consistent with planned development of the area.

Key documents in transportation planning and programming are defined below. Also shown are an outline of roles and a flowchart overview of the planning and programming process. For more details, go to the Transportation Programming Web site at: www.dot.ca.gov/hq/transprog/ and also refer to Chapter 23, “Local Agency State Transportation Improvement Program (STIP) Projects,” of the Local Assistance Program Guidelines (LAPG).

RTIP: The Regional Transportation Improvement Program (RTIP) is the RTPA’s share of the state STIP and must be consistent with the RTP. Updated every two years, the RTIP is a five-year program identifying projects based on funding availability from the STIP fund estimate. Upon adoption by the RTPA, the RTIP is submitted to Caltrans for approval and incorporation into the STIP.

STIP: The State Transportation Improvement Program (STIP) is a five-year capital improvement program of transportation projects, on and off the State Highway System (SHS), with a 2-year project list amendment, funded with revenues from the State Highway Account (SHA) as well as other funding sources.

FTIP: Each of California’s 18 MPOs prepares a Federal Transportation Improvement Programs (FTIP) that includes a four-year priority list of highway and transit projects that are federally funded or are of regional significance. FTIPs also include federally funded capital improvements to the regions’ transit systems along with associated federal operating assistance programs.

FSTIP: Prepared by Caltrans in cooperation with the MPOs and RTPAs, the Federal Statewide Transportation Improvement Program (FSTIP) is a four-year statewide intermodal transportation program that contains all projects in California that are federally funded or regionally significant.

Local — Cities, Counties & Other Agencies:

- Cities and counties set land-use policy and nominate transportation projects for funding by the RTPA.
- Transit agencies, such as Bay Area Rapid Transit (BART) and Los Angeles County Metropolitan Transportation Agency (LACMTA), nominate projects for funding and deliver transportation services and improvements.
- Environmental agencies at the local, State, and federal level review transportation projects and issue permits to ensure transportation improvements comply with environmental law.

Regional — Metropolitan Planning Organization (MPO)

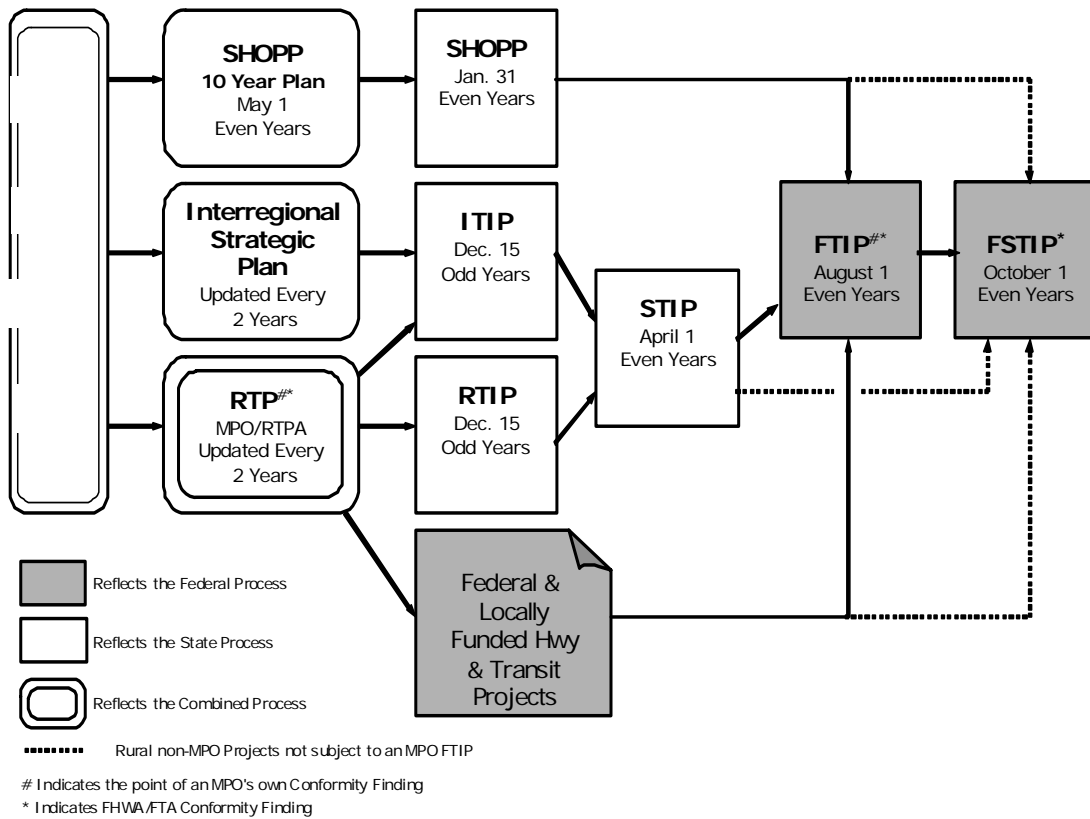
- Currently there are 18 MPOs in California.
- Prepares the 20-year RTP and selects projects.
- The Governor designates an MPO in every urbanized area with a population over 50,000 as defined by US Census.
- Federally required planning bodies, typically, the same as an urban region’s RTPA.

Regional — Regional Transportation Planning Agency (RTPA)

- Includes 48 agencies formed by special legislation, council/association of governments, and local transportation commissions.
- Administers State funds and allocates federal and local funds to projects.
- Selects projects for the Regional Transportation Improvement Program (RTIP) in the STIP.

PROCESS FLOWCHART

FEDERAL/STATE PLANNING & PROGRAMMING PROCESS



Transportation Programming
September 2000

For more information, go to Transportation Programming Web site at: www.dot.ca.gov/hq/transprog/

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1.4 FEDERAL PROGRAMS

The three major funding categories for local assistance projects are: the National Highway System (NHS), the Surface Transportation Program (STP) and the Congestion Mitigation and Air Quality Improvement Program (CMAQ).

NHS funds, typically restricted to projects located on the NHS, are programmed for local projects through the STIP. See Exhibit 3-A, California Local Routes on the National Highway System, of this manual for a complete listing of local routes on the NHS.

STP funds may be used on any public road except those functionally classified as local roads or rural minor collectors. These roads are collectively referred to as federal-aid roads (or highways). The exception to the functional classification criteria is that bridge, safety, carpool related, and bicycle/pedestrian projects may be located on any road. SAFETEA-LU allows a portion of the STP funds for rural areas to be used on rural minor collectors (see Chapter 4, “Surface Transportation Program (STP),” of this manual).

The CMAQ program provides a flexible funding source for transportation projects and programs that help meet the requirements of the Clean Air Act. Eligible activities include transit improvements, travel demand management strategies, traffic flow improvements, and fleet conversions to cleaner fuels, among others. Funding is available for areas that do not meet the National Ambient Air Quality Standards (non-attainment area), as well as former non-attainment areas that are now in compliance (maintenance areas) (see Chapter 5, “Congestion Mitigation and Air Quality (CMAQ),” of this manual).

Other funding categories for local assistance projects are described below.

The Highway Bridge Program (HBP) provides federal funds for bridgework on and off federal-aid highways. The purpose of this program is to help fund major reconstruction and replacement bridge projects. (see Chapter 6, “Highway Bridge Replacement and Rehabilitation (HBRR),” of this manual).

Ten percent of the STP apportionment authorized by SAFETEA-LU is reserved for Safety Programs: Highway Safety Improvement Program (HSIP) (see Chapter 9, “Highway Safety Improvement Program (HSIP)” and Chapter 24, “Federal Safe Routes to School,” of this manual).

Another ten percent of the STP apportionment is reserved for Transportation Enhancements (TE). This reservation is used for projects directly related to surface transportation that are over and above normal and mitigation work, and are within the twelve categories in federal statute (see Chapter 8, “Transportation Enhancements (TE),” of this manual).

Emergency Relief funds are used for the reconstruction of roads, streets, and bridges on federal-aid highways that are damaged by floods, earthquakes, hurricanes or other catastrophes. These funds become available when the damage is extensive and an emergency is formally declared by the Governor and approved by the Federal Highway Administration (FHWA) (see Chapter 11, “Disaster Assistance,” of this manual).

Minor federal programs, including the Public Lands Highways (PLH), Scenic Byways, High Priority Projects (name changed under TEA-21 from Demonstration projects), and Intelligent Transportation System (ITS) programs are discussed in Chapter 12, “Other Federal Programs,” of this manual.

1.5 STATE PROGRAMS

SB 45 terminated three state funded local assistance programs:

- State & Local Transportation Partnership Program (SLTPP or Partnership Program)
- Flexible Congestion Relief (FCR)
- Traffic System Management Program (TSM)

State funds that were available for local agencies under SLTPP, FCR and TSM are now available for local agencies under the STIP program. Also, old state STIP funds and new TEA-21 funds allocated to the state are available for local agencies. Locally sponsored transportation projects receiving STIP funding may receive either state funds, or federal funds with a state funded match.

Article XIX of the California Constitution permits the use of state revenues in the SHA only for state highways, local roads and fixed guide way facilities. This means, for example, that rail rolling stock and buses may be funded only from the federal revenues in the SHA. For such projects, the nonfederal match will have to be provided from a non-STIP source (see Chapter 23, “Local Agency STIP Projects,” of this manual).

Other state programs available for locally sponsored transportation projects include:

- Environmental Enhancement and Mitigation Program
- Bicycle Transportation Account

The Optional Exchange program provides for qualifying RTPAs and counties to exchange their annual apportionment of Regional Surface Transportation Program (RSTP) funds and regional TE funds for state cash. The State Match program provides state funds to match federal RSTP funds. Exchange and Match funds are not tied to federal requirements, but instead must comply with Article XIX of the State Constitution (see Chapter 8, “Transportation Enhancements” and Chapter 18, “Optional Federal Exchange and State Match Programs,” of this manual).

The Grade Separation Program provides state funds for the: 1) construction, reconstruction and alteration of grade separations to eliminate proposed or existing grade crossings, and 2) the removal or relocation of highways or railroad tracks to eliminate grade crossings (see Chapter 19, “Grade Separation,” of this manual).

The Environmental Enhancement and Mitigation (EEM) program provides state funds for the transportation project to mitigate the environmental impacts of new or modified public transportation projects above and beyond that required by the environmental document (see Chapter 20, “Environmental Enhancement and Mitigation (EEM),” of this manual).

The Bicycle Transportation Account (BTA) provides funds to cities and counties for projects that improve safety and convenience for bicycle commuters (see Chapter 21, “Bicycle Transportation Account,” of this manual).

The Safe Routes to Schools (SR2S) program provides funds to local governmental agencies based on the results of a statewide competition that requires submission of proposals for funding and rates those proposals on all of the following factors:

1. Demonstrated needs of the applicant.
2. Potential for reducing child injuries and fatalities.
3. Potential for encouraging increased walking and bicycling among students.
4. Identification of safety hazards.

5. Identification of current and potential walking and bicycling routes to school.
6. Consultation and support for projects by school-based associations, local traffic engineers, local elected officials, law enforcement agencies, and school officials.

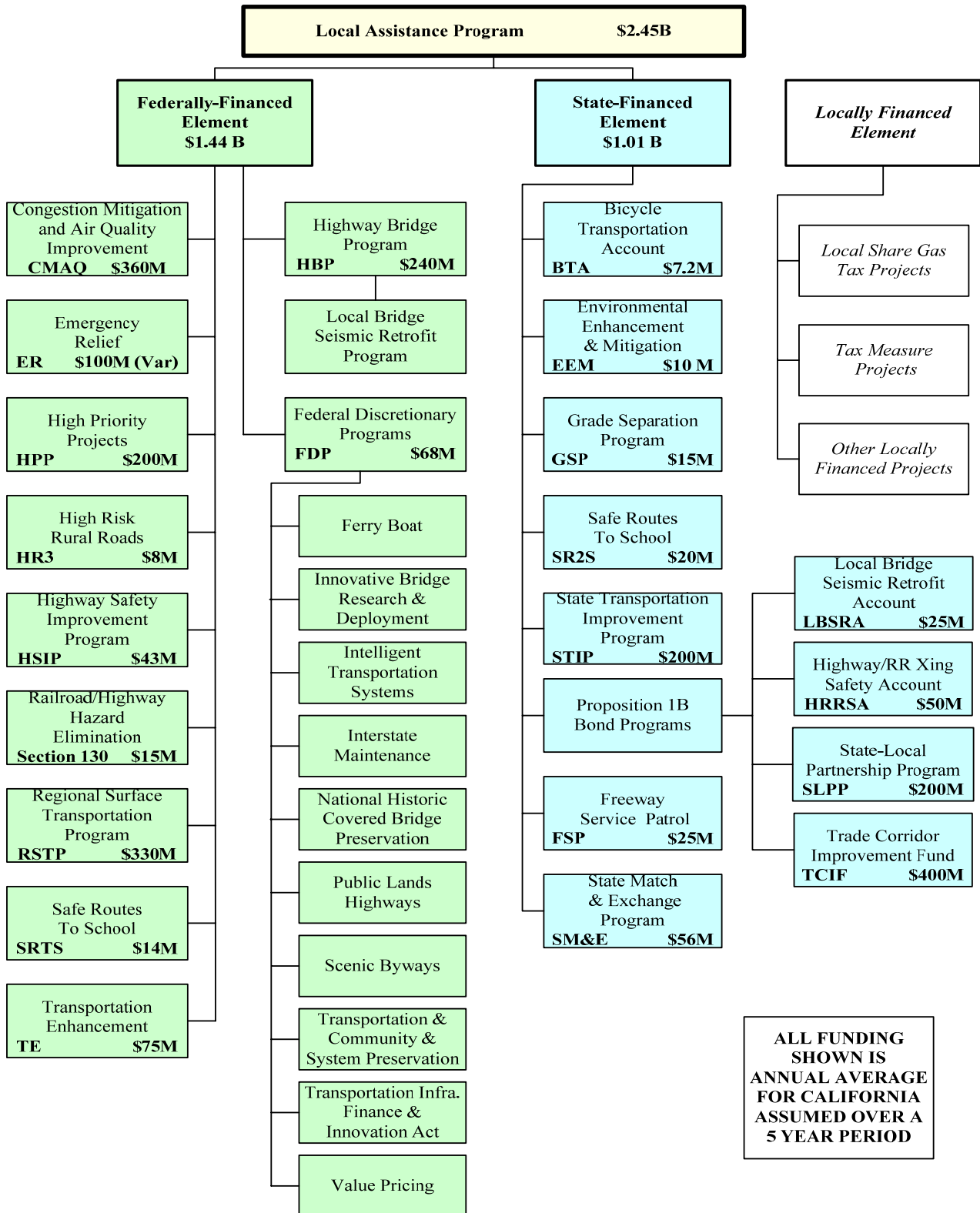
(See Chapter 24, “Federal Safe Routes to School,” of this manual.)

For further information about both federal and state programs contact the District Local Assistance Engineer (DLAE) for your area shown in Exhibit 1-D Caltrans District Local Assistance Offices.

1.6 REFERENCES

- “A Summary – Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU)” FHWA August 25, 2005”-
- California Transportation Commission – “2006 STIP Guides,”
- “Statutes Relating to the Programming and Funding of Transportation Projects,” May 2006 State of California, Department of Transportation, Division of Transportation Programming
- SAFETEA-LU Web site: <http://www.fhwa.dot.gov/safetealu/index.htm>

EXHIBIT 1-A STATE & FEDERAL PROGRAMS AVAILABLE FOR LOCAL TRANSPORTATION PROJECTS



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EXHIBIT 1-B LOCAL ASSISTANCE PROGRAMS

Chapter	Federally-Financed Program	Eligible Uses of Funds
5	Congestion Mitigation and Air Quality (CMAQ) Improvement	Projects which contribute to the attainment or maintenance of the National Ambient Clean Air Quality Standards under the provisions of the Federal Clean Air Act.
6	Highway Bridge Program (HBP)	Funds to improve the condition of highway bridges through replacement, rehabilitation, and systematic preventative maintenance.
7	Local Bridge Seismic Retrofit Program	Bridges must be on the Caltrans candidate seismic list.
8	Transportation Enhancements (TE)	Funds transportation-related capital improvement projects that enhance quality-of-life, in or around transportation facilities.
9	Highway Safety Improvement Program (HSIP)	Project must be on any public road, publicly owned bicycle, pedestrian pathway, or trail. Projects must identify a specific safety problem that can be corrected or be improved substantially.
10	High Risk Rural Roads (HR3) Program	Project to correct or improve hazardous roadway locations or features to reduce the frequency and severity of accidents on rural roads. Project must be located on a rural major collector, a rural minor collector, or rural local road.
11	Emergency Relief (formerly Disaster Assistance)	Intended to aid states and local highway agencies in paying unusually heavy expenses of repairing serious damage to federal-aid highways resulting from natural disasters or catastrophic failures.
24	Safe Routes To School (SRTS)	Eligible projects fall under the category of infrastructure (capital improvements), or non-infrastructure (education, encouragement, enforcement). Infrastructure project must be located within a two mile radius of a grade school or middle school.
12	High Priority Projects (HPP)	Project is specially established and funded by Congress through federal law. The designated funding can only be used for projects as described in the law.
4	Regional Surface Transportation Program	Funds highway projects; bridges (including construction, reconstruction, seismic retrofit and painting); transit capital improvements; carpool, parking, bicycle and pedestrian facilities; safety improvements and hazard elimination; research; traffic management systems; advanced truck stop electrification

4	Cont.... Regional Surface Transportation Program	systems; projects relating to intersections that have disproportionately high accident rates, have high congestions, and are located on federal highway; environmental restoration and pollution abatement on 4R projects (expenditures for this activity may not exceed 20 percent of the total costs of the project); surface transportation planning; transportation enhancement activities and control measures; and wetland and other environmental mitigation.
12	Federal Discretionary Programs	Funds for highway, transit, and rail discretionary programs available to California applicants authorized by various sections of SAFETEA-LU. Funding for these programs vary, some are formula driven and others are nationally competitive. Funds are distributed over the five-year life of SAFETEA-LU.
	a) Ferry Boat	Constructions of ferry boats and ferry terminal facilities which are publicly owned, majority publicly owned or publicly operated.
	b) Innovative Bridge Research & Deployment	Funds for states and local agencies to incorporate innovative materials and materials technologies in their bridge projects.
	c) Intelligent Transportation System	Funds for ITS integration and deployment projects; funding and projects are congressionally designated.
	d) Interstate Maintenance	For resurfacing, restoring, rehabilitating and reconstructing, including adding travel lanes on designated portions of Interstate System routes.
	d) National Historic Covered Bridge Preservation	Funds for states in their efforts to rehabilitate, repair, or preserve the Nation’s historic covered bridges.
	e) Public Lands Highways	Funds for transportation projects eligible for assistance under Title 23 that are within, adjacent to, or provide access to the areas served by federal public lands highways.
	f) Scenic Byways	Funds for eligible scenic byways projects along all-American Roads or designated scenic byways and for the planning, design and development of State Scenic Byway programs.
	g) Transportation & Community & System Preservation	Funds for researching relationships between transportation, community preservation and the environment; funds projects to address transportation efficiency and community system preservation.
	h) Transportation Infrastructure. Finance & Innovation Act	Provides loans, lines-of-credit, and loan guarantees to certain surface transportation projects of national or regional significance.

	i) Value Pricing	Funds for value pricing projects – both pre-implementation and implementation projects to promote economic efficiency in the use of highways and support congestion reduction, air quality, energy conservation and transit productivity.
Chapter	State-Financed Program	Eligible Uses of Funds
19	Grade Separation Program	Funds portion of high priority grade separation projects. Public agencies which own roadways that cross railroad tracks are eligible. Railroad companies are also eligible applicants under certain conditions.
20	Environmental Enhancement & Mitigation	To mitigate the environmental impacts of new or modified public transportation facilities beyond the mitigation level required by the project's environmental document.
21	Bicycle Transportation Account	Funds for city and county projects that improve safety and convenience for bicycle commuters.
23	State Transportation Improvement Program	Multi-year capital improvement program resource management document to assist the state and local entities plan and implement transportation improvements and to utilize resources in a cost-effective manner.
24	Safe Routes To School (SR2S)	Projects must be located on any state highway or on any local road to correct identified safety hazard or problem on a route that students use for trips to and from school.
	Proposition 1B Bond Programs	Proposition 1B enacts the Highway Safety, Traffic Reduction Air Quality, and Port Security Bond Act of 2006 to authorize \$19.925 billion of State general obligation bonds for specified purposes.

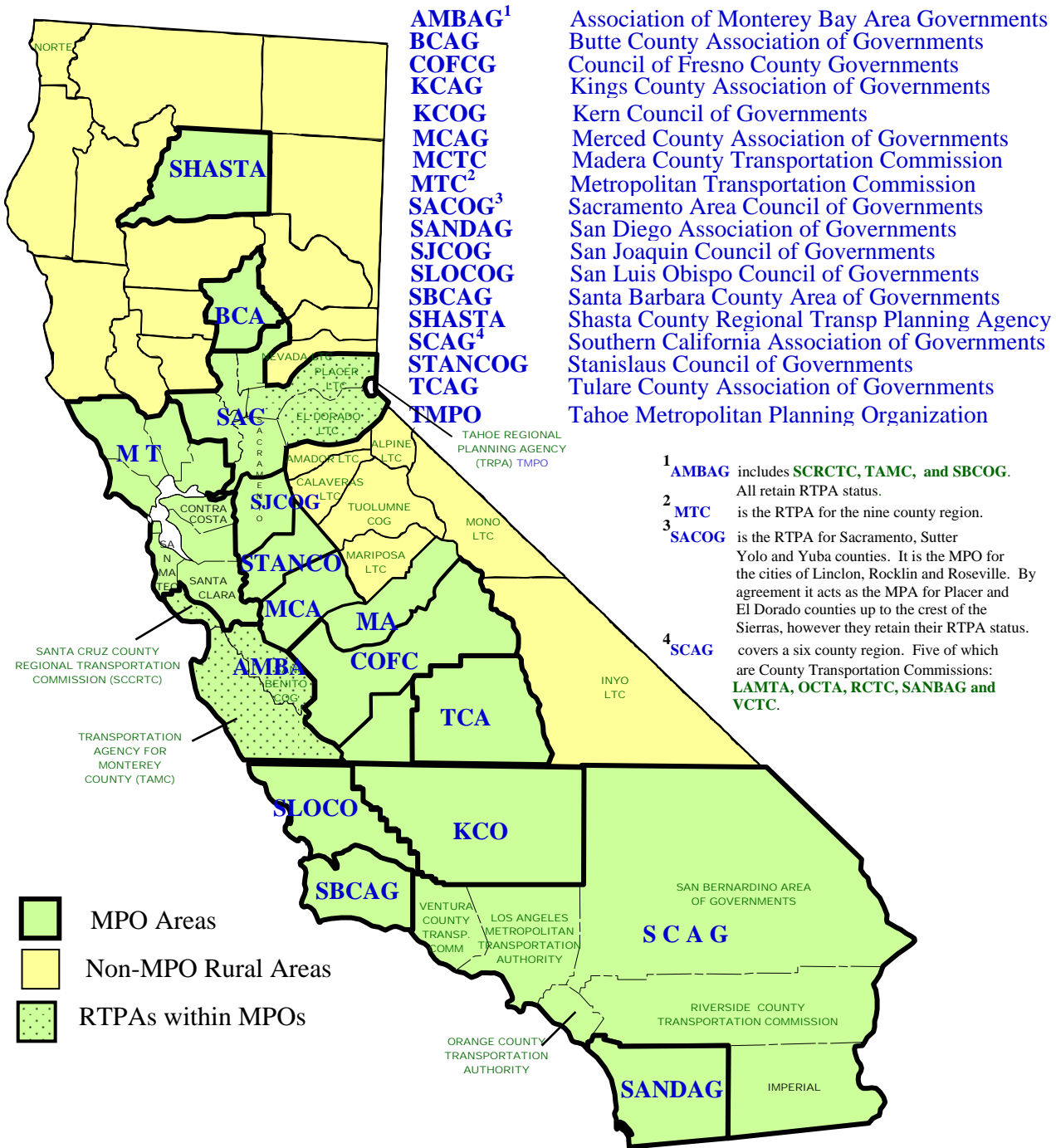
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CALIFORNIA

METROPOLITAN PLANNING ORGANIZATIONS (MPOs)

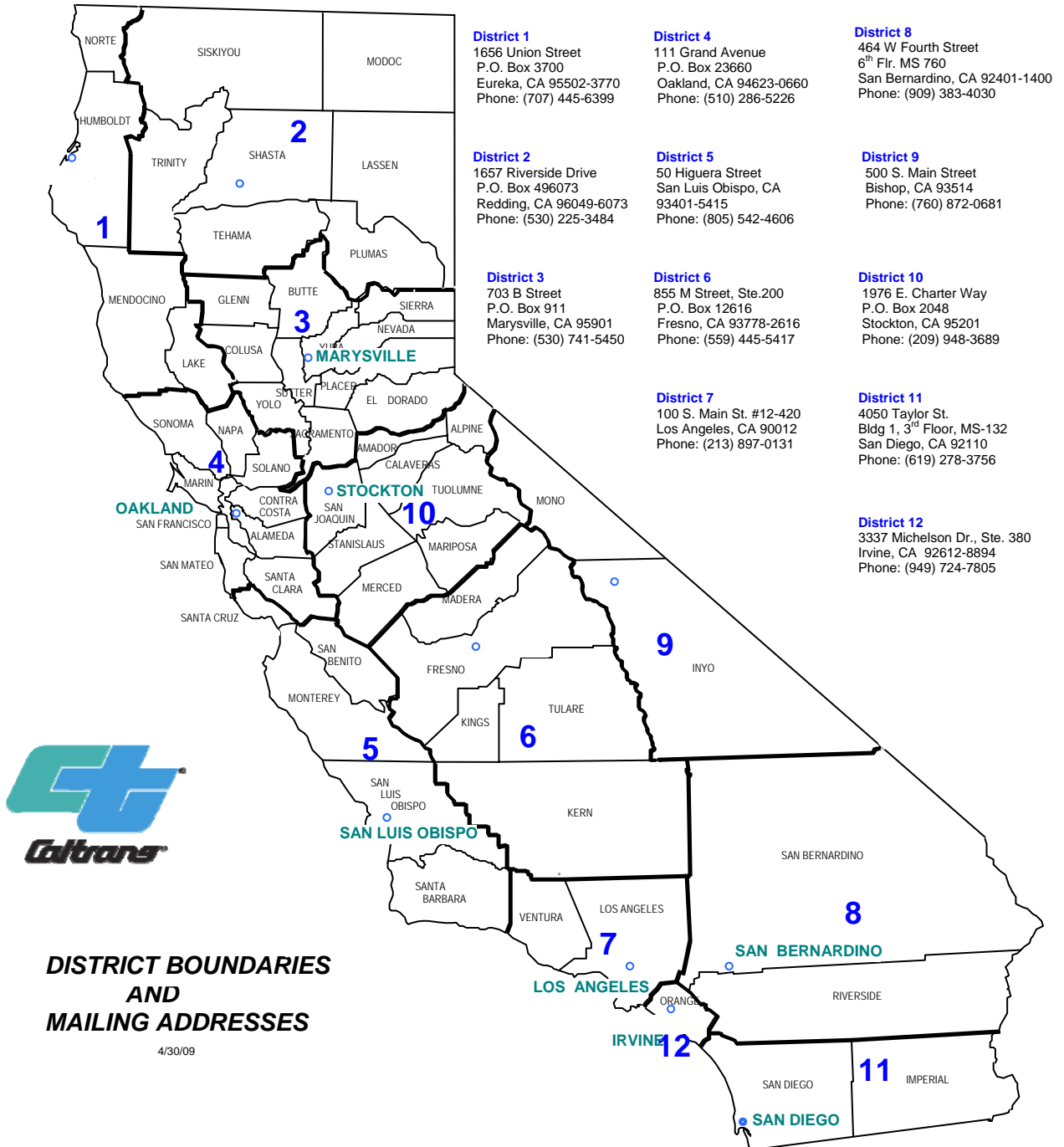
and

Regional Transportation Planning Agencies (RTPAs)



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CALTRANS DISTRICT LOCAL ASSISTANCE



**DISTRICT BOUNDARIES
AND
MAILING ADDRESSES**

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