

# Agenda

**March 15, 2011**  
**10:30 am – 12:30 pm**

MTC  
 101 Eighth Street  
 Oakland, CA 94607  
 Contact: Sri Srinivasan  
 (510) 817-5793

**Telephone Number: (712) 432-1438**  
**Participant Access Code: 932832#**

**Meeting called by:** Muhaned Aljabiry  
**Facilitator:** Abhijit Bagde  
**Recorder:** Bruce Abanathie

**Agenda Topics**

Item	Description	Time	Presenter
1	Agenda	10:30	Abhijit Bagde
2	Ground Rules	10:35	Abhijit Bagde
3	Approval of 1/25/2011 meeting minutes	10:40	Abhijit Bagde
4	<b>Announcements and updates:</b>	10:45	All
5	<b>Follow-Up Items from last meeting:</b> <ul style="list-style-type: none"> <li>• Sri Srinivasan will send out a template to MPOs to report CMAQ FTA transfer information in order to review the transfer process for improvements</li> <li>• MPOs to review the information for toll credit program for PL and FTA 5303 funds and send any comments to the Regional Planning Office by 1/31/2011</li> <li>• MPOs need to inform Michael Lange (CT – Division of Mass Transportation) regarding their proposed use toll credits for FTA 5307 funds by 1/28/11</li> <li>• Kimberly Gayle, CT – Division of Mass Transportation, to send FTA 5310 program workshop schedule to Abhijit Bagde for distribution to CFPG group – Item completed</li> <li>• FHWA to check with its Resource Center regarding training opportunities on Innovative Finance – In progress</li> </ul>	10:55	Abhijit Bagde
6	Governor's delegation to CT Director for approving FTIP amendments	11:05	Muhaned Aljabiry
7	Financial Summary Template – Update (Handout No. 1)	11:10	Kang Tang
8	Grouped project Listings – Project Titles (Handout No. 2)	11:25	Lima Huy
9	Format for the project listings for state managed programs	11:30	Abhijit Bagde
10	Division of Mass Transportation (DMT): <ul style="list-style-type: none"> <li>• DMT Update</li> <li>• FTA Section 5310</li> </ul>	11:35	Kimberly Gayle/Michael Lange
11	Highway Safety Improvement Program (HSIP) (Handout No. 3)	11:50	Randy Ronning
12	CMAQ Annual Report for FFY 2009/10	12:10	Lima Huy

13	<ul style="list-style-type: none"> <li>• Follow-Up Items</li> <li>• Open Forum</li> <li>• Future Agenda Items</li> </ul>	12:15	All
14	<p><b>Future meeting dates and locations:</b></p> <p>April 26, 2011 - SACOG, Sacramento (10:30 am – 12:30 pm)</p> <p>June 7, 2011 - Caltrans, Sacramento (10:30 am – 12:30 pm)</p>	12:20	All

## California Federal Programming Group (CFPG)

Minutes for March 15, 2011:

### 1. Agenda:

Abhijit Bagde (Caltrans HQ Programming), reviewed the agenda and no changes to the agenda were requested

Handouts were emailed to the group prior to the meeting and will be addressed during the agenda item that they relate to.

### 2. Ground Rules:

- Since there are phone participants, everyone who speaks should state his/her name and agency.
  - Keep comments as brief as possible.
  - Stick to the current agenda item. Additional items not in the agenda will be added to the end and will be discussed if time permits.
  - Turn off cell phones and limit interruptions.
  - This is a forum to hear everyone's concerns, comments and suggestions. Please make sure your voice is heard.
  - Facilitator to ask before moving on to the next item if anyone on the phone has any additional comments on the item, then pause for a few seconds.
  - Respond to follow-up items and meeting notices by the deadlines.
  - Except for follow-up items, the minutes will include discussions that take place during the meeting only. If you do not want what you say during the meeting included in the minutes, state "off the record."
  - **When not speaking, phone participants to keep their phones on mute if possible.**
  - **Do not place conference call on hold. Please hang up and redial if you must take another call.**
  - Meeting minutes to be distributed to the group with 10 days after the meeting.
- Bolded items were emphasized by Abhijit.**

### 3. Minutes of the Last Meeting:

The minutes of the January 25, 2011 meeting were provided via email prior to the meeting and there were no comments or changes requested – approved

### 4. Announcements and Updates: Unless otherwise noted, Abhijit Bagde (Caltrans HQ Programming) addressed these subjects.

Sri Srinivasan (MTC) reintroduced Adam Crenshaw, who is currently an intern at MTC but, they are hoping he will take on the duties of the STIP management position advertised by MTC to assist Sri in the development and management of the FTIP. Sri promised she was not going anywhere!

Muhaned Aljabiry (Caltrans HQ Programming) reintroduced new staff members: Kang Tang, who will eventually be assigned some MPOs, but is currently managing the financial reports, apportionments, and developing the revised financial summary template; Lilibeth Green, who will be assuming the duties of Penny Gray for the Rural non-MPO Regions; and Sadegh Yazdi (on a rotation for nine months from the CTC Liaison Office) will be

working with Dennis temporarily to gain experience in FTIP amendments, and will be assigned MPOs at a later date.

Muhaned stated that staff assignment revisions would be sent out to the regions in about a month after an assignment of MPOs was made for Kang and Sadegh.

Melissa Garza (FresnoCOG) announced the posted position for Fresno for a Transportation Planner. Information about the position is available on the Fresno website.

## 5. Follow-up Items from the Last Meeting

- a. Sri Srinivasan (MTC) will send out a template to MPOs to report CMAQ FTA transfer information in order to review the transfer process for improvements

Sri reported that she has received some feedback, but is *going to re-send the information request to the MPOs* to receive more data. Sri gave a restatement of the issue that is being reviewed; Caltrans Div. of Mass Transportation (DMT) provided a flow chart of the transfer process for tracking flex fund transfers from FHWA to FTA. Sri is collecting information to establish a database that will show where the delays in the process are occurring.

Jermaine Hannon (FHWA) wanted to know the significance of the occurrence of the delays being investigated. Sri does not have an exact number of occurrences, but will get that information as the data is collected.

Jose-Luis (SACOG) noted the lack of data regarding the funds received from FTA. Sri noted that this information has not been received and that the funding information is from FY 09-10 and that she is looking for data for prior FYs to fill the data. Sri also noted the delay caused by the labor union review of the transfer request.

Sam Kaur (SJCOCG) discussed the Dept of Labor (DOL) review and the ability to do the review concurrently with the transfer request process.

Kimberly Gayle (Caltrans DMT) concurred with Sam's explanation and outlined the review process as follows:

- If it is a 5311 Program request, the region sends the request through the District LA and HQ LA concurrently, HQ-LA notifies DMT that a transfer request has been initiated and the transit agency then sends an application to DMT.
- If the request is for an urban (5307) transfer request the MPO must assure that the CMAQ and/or RSTP funds are programmed in the FTIP, then the transit agency can request a grant number from FTA in order to start the DOL review process. The transit agency then sends the transfer request (RFA) to District and HQ LA, who forwards the request to the CA Division of FHWA. The request is then sent to Washington D.C. FHWA offices for the transfer review/approval process. The funds are transferred through the Treasury Department to FTA. Once this is complete FTA notifies the transit agency that they can apply for the grant.
- Delays occasionally occur in the FHWA review process and/or the DOL review with both fund transfer processes.

Sam noted another delay in the process has to do with the Federal Register posting. FTA is willing to accept the funds, but FHWA will not transfer the funds until FTA has the full Federal Register for the entire year, and for the last three years the full year federal register has not been on time. Kimberly stated that she has discussed this with FTA and that they

are both confused by this restriction because there is nothing in writing that this is required. This is a particular problem because we are on a continuing resolution and have only 5/12s of the year's apportionments in the federal register.

Terry Lewis (MCAG) stated that they were having similar issues with processing.

Sri reiterated that these examples show how necessary this data collection is, and that she will send out the spreadsheets at the end of the meeting and ask that all regions submit all available information in order to give the most complete picture of the transfer process.

Muhaned asked if the MPOs had all of the information that is requested on the spreadsheet. SRI stated that the MPOs should have the information or should be able to get the information from their transit providers, Caltrans, FHWA, or FTA.

Jermaine restated the request for the significance of this issue, both frequency and fund impact. Sri stated that the volume is not what is significant; the correction of the process is what is important in order to obligate all available funds. Jermaine wants to know how many happen every year and where the problems are occurring. Jermaine received several replies from the CFPG attendees on the significance. Jermaine stated he will assist in gathering FHWA available information.

Kimberly stated that if he could resolve the resistance to transfer funds based on the federal register apportionment notice that would be a great help. Jermaine asked for an email describing the problem and *Sam stated that she would send Jermaine an email describing the federal register problem (with c to Sri, Kimberly, and Bruce).*

Jermaine and Sri discussed the "conference letter" process (similar to the FHWA advanced construction process), there is also an FTA pre-award authority provided by the federal register, but this requires the federal register publishing of the appropriation.

- b.** MPOs to review the information for toll credit program for PL and FTA 5303 funds and send any comments to the Regional Planning Office by 1/31/2011

Item completed (see January minutes for background). Jermaine noted that there were some MPOs documenting the toll credits incorrectly in their OWPs. FHWA has developed a spreadsheet addressing the way to correctly apply and report the used of toll credits. The information should be coming put shortly.

Bruce Abanathie (KCAG) asked if the information would be sent out as a blanket document or as comments to the OWP review. Bruce requested that the information be provided proactively rather than after the review. *Jermaine stated that he would send the information out through Abhijit.*

- c.** MPOs need to inform Michael Lange (CT – Division of Mass Transportation) regarding their proposed use toll credits for FTA 5307 funds by 1/28/11

See item #10 below.

- d.** Kimberly Gayle, CT – Division of Mass Transportation, to send FTA 5310 program workshop schedule to Abhijit Bagde for distribution to CFPG group – Item completed

Information sent 1/25/11.

- e.** FHWA to check with its Resource Center regarding training opportunities on Innovative Finance – In progress

Still a work in progress, dependent on federal budget availability.

**f. Statewide OA Management Policy – added after January meeting**

Abhijit sent the current OA Management Policy to the group by request of a CFPG member after the last CFPG Meeting.

Bruce Abanathie (KCAG) noted that this policy is under review. The regional agencies' representation to the committee was selected through the RTPA group (by the Moderator). Bruce stated that the composition of the regional agencies on the committee is narrow, and only represents the self-help counties. He also stated that the composition of the selections was addressed with the moderator prior to the selections and concerns about the composition were addressed with a representative of Local Assistance after the representatives were made known. Bruce stated that neither was recognized and the needs and concerns of the smaller MPOs are not represented on the committee. If the results of the committee (a revised policy) do not meet the needs of all of the MPOs they will be challenged.

Terry Lewis (MCAG) asked if this group would be addressing the representation problem. Muhaned stated that this was an RTPA group issue, but that he would talk with Local Assistance about it.

Susan Harrington (Caltrans Local Assistance) stated that she was the Chair of the OA committee and that the selections of the regional agencies were made by Kenneth Kao, Moderator of the RTPA Group. Susan stated that, since DLA did not have any input into the selections, any questions about the regional agency representation should be addressed with him. Muhaned asked Susan (although this is an RTPA issue) if the CFPG would have any input if this is a concern of the smaller MPOs. Susan stated that it rests with the RTPA and that the list of representatives was given to her and that, as the chair, she did not even have any input into the selections. Susan also noted that she was not aware of the attempt to address the issue with Local Assistance.

Bruce stated that the problem lies in the way the appointments were made and in the fact that a representative of DLA refused to address the issue of providing representation of smaller MPOs, but Bruce also assured Susan (and the group) that she was not the person responsible for either action.

**6. Governor's delegation to CT Director for approving FTIP amendments**

Muhaned discussed the requirement and background of the Governor's Delegation. According to federal regulations, the governor's office is tasked with approving the FSTIP and all amendments to it. As a matter of policy Caltrans seeks the Governor's Delegation to accomplish this approval in order to move the process through more effectively. Each time the state gets a new governor we are required to update the delegation. This was accomplished earlier this month (3/1/11). Amendments awaiting approval at the time that the delegation was finally received were approved and forwarded to FHWA/FTA for Federal approval, all amendments received after that date will be processed normally.

**7. Financial Summary Template – Update (Handout No. 1)**

Kang Tang (Caltrans HQ Programming) described the background of the financial summary (constraint) tables and the effort to update the tables to make them functional for all MPOs. The programming office established a committee of volunteers to review and

comment on changes to be made to the template. When the committee finishes the modifications, the template will be brought before the CFPG group and training will be conducted for the MPOs to make sure that everyone is using the template in the same manner.

Sri (MTC) stated that one of the things requested was a fund dictionary and did not see that provided. Lima Huy (Caltrans HQ Programming) stated that the information is imbedded and available by clicking on the fund title. Additionally a word document will be made available with the same information.

Jose-Luis asked about the adoption process; whether the whole group would be approving the documents or if the committee was the approving group. Muhaned stated that the committee was diverse enough and represented the MPOs effectively enough that they could adequately create and adopt the financial template within the committee.

Abhijit stated that, in the interim, MPOs shall continue to use the existing template when preparing financial summaries for amendments.

## **8. Grouped project Listings – Project Titles (Handout No. 2)**

Lima (Caltrans HQ Programming) stated that the programming office has noted that the MPOs are still not using the preapproved group project listing titles. They are requesting that the MPOs please use the preapproved titles.

Sam and Bruce noted that the titles are too long for the title box in CTIPS and requested that the titles be truncated for more effective use. Abhijit and Sri suggested that the title be shortened by use of such terms as “GL” for grouped project listing. Discussion then led to the possibility of starting the grouped title in the project title box in CTIPS and completing it in the project description box immediately below. *Abhijit will develop and distribute some form of short cut instructions for entering the grouped project listing titles in CTIPS.* The Programming office will also modify the information on their website to help people understand the grouped project listing entry formatting.

## **9. Format for the project listings for state managed programs**

Abhijit discussed the background of this item and how the programming and amendment information is provided to the MPOs. Abhijit stated that all future state managed listing will supersede prior listings.

Jose-Luis requested a notation on the revision lists that states that the project has been updated (e.g. revised). Abhijit stated that the changed projects on the list will be highlighted.

Sri requested clear and concise funding information, particularly when money is moved from year to year. Sri also noted that the state managed funds do not address other fund sources when they send out the project listings (e.g. non-safety federal funds attributed to a safety project) they only address the funds that they manage. Sri also noted that MPOs prefer project lists in Excel format rather than a .pdf.

## **10. Division of Mass Transportation (DMT):**

### **a. DMT Update**

Kimberly Gayle (DMT) stated that on the subject of toll credits, DMT has submitted a request for OCTA as the test agency because they have a fund of toll credits separate from

the statewide (\$5.7b). They have also sent a letter to FTA requesting authorization to use toll credits for the state managed transit funding (5311). They have not made a request for the 5307 program because they are still attempting to get a list of projects to specify what projects will use the credits. DMT will submit a request based on the current list of projects submitted by MPOs.

Patricia Chen (MTA) asked if she had a project list from MTA or from LA County. Kimberly stated that they were working with SCAG to acquire the list for LA County. Herman (MTA) stated that MTA had sent the information to SCAG, but they are not sure where the information is at SCAG. Kurt (SCAG) stated that they would work with LA County providers to get a list.

Patricia also stated that MTA is in favor of the use of toll credits from flex funds as well. Kimberly stated that they are partnering with SACOG to develop a data base, with the CFPG group to develop the list, and would be happy to work with MTA to develop a policy (procedure) to apply the credits to flex funds.

*Kimberly will forward the current list to Abhijit for distribution to the CFPG group so that regions can see whether they still need to submit a list of projects.*

#### **b. FTA Section 5310**

Kimberly noted that the current year program will be a first in two ways; first, it is the first program to implement toll credit matching and secondly, it will be programming for two years instead of one. Applications were sent to RTPAs March 4, and required to be returned by May 5, 2011.

### **11. Highway Safety Improvement Program (HSIP) (Handout No. 3)**

Randy Ronning (HQ Local Assistance) explained the handouts starting with the funding breakdown. Randy then discussed the HSIP schedule. Randy noted that they had front-loaded the HSIP programming to fill the FTIP in the early years. There was some discussion about the distribution of funds as opposed to apportionments.

Bruce asked about advancing projects to the FY 10-11, Randy stated that any programmed HSIP project can be advanced using EPSP to any other year within the FTIP.

Sam asked for clarification between apportionment and OA when the program is talking about "capacity". Randy stated that the bar charts showed apportionment that they could program against and that they used statewide OA to deliver the projects.

Sri asked about tracking of project delivery, Randy stated that the bar charts are color coded indicating capacity, programming, and obligations. As long as they do not obligate more than their capacity they can manage the "program" rather than the "projects".

Muhaned asked about moving projects within the cycles of the FTIP. Randy stated that they will update the project lists for the next FSTIP update.

Jermaine again asked for clarification about the term "capacity". Randy stated that it is "apportionment".

Jose-Luis asked for clarification about the funding split. Randy stated that the "local" apportionment is that amount that goes to the cities and counties.

Yin Ping stated that there is no set aside of OA for safety projects and that these projects follow the state OA management policy and OA is first come first serve after May 1.

Ross Mc Keown (MTC) stated that the May 1<sup>st</sup> deadline is a problem because the district cannot process the RFAs prior to that date. Sam asked for clarification for the backlog of processing. Ross stated that it was volume of workload.

To complete the presentation, Randy discussed the handout delineating the time requirements for obligating a safety project. Randy also noted that any EPSP requests can be done by email, that requests on letterhead are not required.

Muhaned and Abhijit addressed consistency between the information provided by DLA and Programming. Abhijit will work with Randy in setting up a link from the programming page to the DLA HSIP page

## **12. CMAQ Annual Report for FFY 2009/10**

Lima Huy (Caltrans HQ Programming) stated that the state had completed the annual CMAQ report and that it had been uploaded into the federal database (UPAC). Lima then talked about next year's report. Lima noted that although it is not necessary to state AQ data for deobligations, it is necessary to note whether the deobligation is a partial deobligation for cost savings or if the project was canceled. UPAC does ask for cancelled project information. Caltrans also requests that when quantifiable results are available that they be used rather than qualitative results.

Ross (MTC) noted that the MPOs do not process deobligations, and are not provided the information on canceled projects or the reason why a de-obligation is made. Caltrans Local Assistance would know the reason for the de-obligation when it is processed.

Mike (StanCOG) stated that they went to the District Local Assistance to get help in getting the information.

Several MPOs discussed the problems in acquiring the information for deobligations and the moving of funds from phase to phase. There was no solution to the problem, but Muhaned stated that the expectation does fall on the MPO. Muhaned will approach the subject with DLA to see if there is a reasonable way to acquire the deobligations information.

Jermaine also offered to address the issue with federal finance to see if the information is available through them and can be provided to the MPOs or Caltrans.

Ross also requested clear procedures and instruction in completing the report for next year.

Jose-Luis stated that this is a different report than prior years and requested that Caltrans try to locate the prior formatted information.

## **13.**

### **a. Follow-Up Items**

*Sri (MTC) will send the information request on flex fund transfers to FTA to the MPOs again to receive more data*

*Sam (SJCOG) will send Jermaine an email describing the federal register problem (with c to Sri, Kimberly, and Bruce).*

*Jermaine (FHWA) will send a letter regarding the accurate reflection of toll credits for federal planning funds in OWPs to the MPOs through Abhijit.*

*Abhijit will develop and distribute an updated version of the grouped project listing with instructions for entering the grouped project listing titles in CTIPS. Programming Office will also update the website listing of the descriptions with a cut and paste option.*

*Kimberly (DMT) will forward the current FTA 5307 list to Abhijit for distribution to the CFPG group so that regions can see whether they still need to submit a list of projects for toll credit use.*

Programming will contact DLA about acquiring de-obligated project information.

### **b. Open Forum**

Sri wants a discussion about the FTIP schedule to start as early as possible and Sri would like to discuss the fiscal constraint, the template, and reporting RSTP and CMAQ together for OA purposes at a future meeting.

**c. Future Agenda Items**

Due to limited time, please forward any agenda item requests to Abhijit at the Programming Office.

**14. Future meeting dates and locations:**

April 26, 2011 - SACOG, Sacramento (10:30 am – 12:30 pm)

June 7, 2011 - Caltrans, Sacramento (10:30 am – 12:30 pm)

## **Handout No. 2: Handout for Item No. 8**

Programming Grouped Project Listings in Air Quality Non-Attainment or Maintenance Areas

Background:

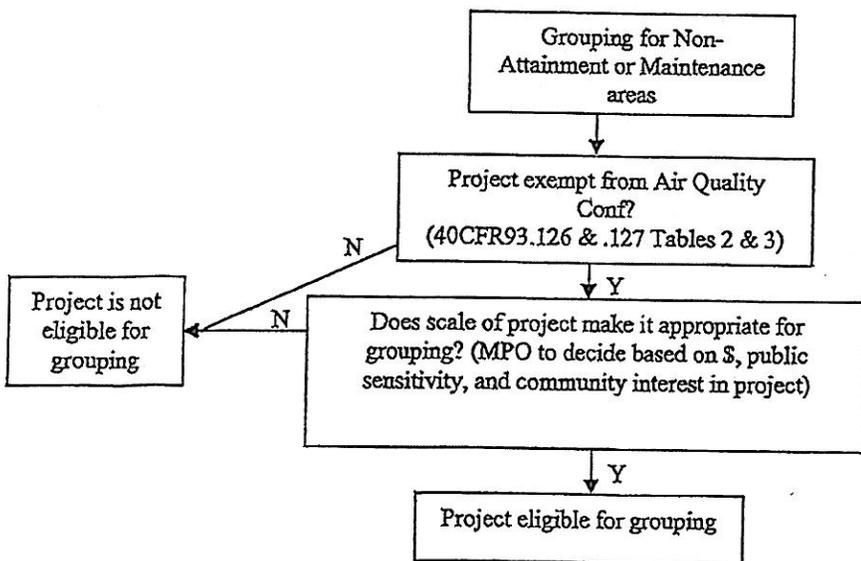
Title 23, Code of Federal Regulations (CFR), Section 450.216 (j) allows projects that are not considered to be of appropriate scale for individual identification in the Federal Transportation Improvement Program (FTIP) to be grouped by function, work type or geographic region using appropriate classifications using the applicable classifications under 23 CFR 771.117(c) and (d) and/or 40 CFR part 93.

MPOs may find grouping projects to offer some advantages and flexibility when amending projects in the FTIP/FSTIP. New projects can be added to an existing grouped project listing through administrative modifications in accordance with the Amendment and Administrative Modification Guidelines. For non-Federal Transit Administration (FTA) funded projects, the detailed project lists may be revised without the need for amendments or administrative modifications if the revisions do not result in changes to the total grouped project costs. However, MPOs must update the detailed project lists to reflect the revision, and furnish them to the respective FTIP/FSTIP Coordinators at Caltrans, Federal Highway Administration (FHWA) and FTA along with a cover letter.

These guidelines are for programming grouped project listings for Metropolitan Planning Organization (MPO) and the rural-nonMPO areas that are classified as either air quality non-attainment or maintenance. The grouped project listings must be consistent with the "Exempt Project" classification contained in the Environmental Protection Agency's (EPA) Transportation Conformity Regulation (40CFR part 93). It is the MPO's responsibility to determine the eligibility of projects to be included in grouped project listings. If verification/confirmation is needed, an MPO shall consult with their planning coordinators from FHWA and Caltrans Federal Programming Office to confirm their findings.

Programming Guidelines:

1. Use the flow chart below to determine if a project is eligible for grouping. Projects ineligible for grouping must be programmed individually in the FTIP/FSTIP.



2. The description of the grouped project listings shall include appropriate "Exempt Project" classification per 40 CFR Part 93.126 and 93.127. See "Attachment A" for the "Pre-approved List of Grouped Project Listings". If the proposed grouped project listing is different from the ones listed in Attachment A, the MPO shall contact their planning coordinators from Caltrans Federal Programming Office, FHWA or FTA prior to programming the new grouped project listing in its FTIP.
3. Projects may be further grouped by grantee/agency or by geographic area provided the grouped listing is consistent with the project listings per Attachment A. Note that projects can not be grouped by a particular fund type or funding program in the FTIP.
4. Detailed project listing (back-up listing) for a grouped project that is programmed or amended in an FTIP, must be included with the transmittal package to Caltrans. The detailed listings shall contain individual project information with sufficient description to accurately identify scope, implementing agency, location, limits of the project (if any), program year and the total cost. See "Attachment B" for the format of the detailed project listing. Total cost of the projects (including funding for all project phases) from the detailed project listing shall be programmed under the "Construction" phase in the FTIP.
5. Projects funded from the Federal Transit Administration (FTA) can be grouped as long as the detailed project list is readily available to the Federal Transit Administration and the public. The detailed project list must be included by MPO in FTIP/ FTIP Amendment when it is circulated for public review.
6. Projects with multiple FTA UZAs and with multiple FTA fund types can be grouped as long as the grouped projects meet the requirements of No. 5 above.
7. For MPO areas classified as air quality attainment (areas that are not classified as "maintenance"), projects that can be classified as "Categorical Exclusion (CE)" per 23 CFR 771.117 (c) and (d) can be grouped together by CE classifications.

**Attachments:**

Attachment A: Pre-approved list of grouped project listings

Attachment B: Detailed project listings format

**Attachment A**  
**Pre-approved Grouped Project Listings**

Sl. No.	Grouped Projects Listing Name	Project Description
1	Grouped Projects for Bridge Rehabilitation and Reconstruction - SHOPP Program	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 categories - Widening narrow pavements or reconstructing bridges (no additional travel lanes).
2	Grouped Projects for Safety Improvements - SHOPP Collision Reduction Program	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Railroad/highway crossing, Safer non-Federal-aid system roads, Shoulder improvements, traffic control devices and operating assistance other than signalization projects, Intersection signalization projects at individual intersections, Pavement marking demonstration, Truck climbing lanes outside the urbanized area, Lighting improvements, Emergency truck pullovers
3	Grouped Projects for Safety Improvements - SHOPP Mandates Program	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Railroad/highway crossing, Safer non-Federal-aid system roads, Shoulder improvements, traffic control devices and operating assistance other than signalization projects, Intersection signalization projects at individual intersections, Pavement marking demonstration, Truck climbing lanes outside the urbanized area, Lighting improvements, Emergency truck pullovers
4	Grouped Projects for Emergency Repair - SHOPP Emergency Response Program	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 categories - Repair damage caused by natural disasters, civil unrest, or terrorist acts. This applies to damages that do not qualify for Federal Emergency Relief funds or to damages that qualify for federal Emergency Relief funds but extend beyond the Federally declared disaster period
5	Grouped Projects for Safety Improvements - SHOPP Mobility Program	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Railroad/highway crossing, Safer non-Federal-aid system roads, Shoulder improvements, traffic control devices and operating assistance other than signalization projects, Intersection signalization projects at individual intersections, Pavement marking demonstration, Truck climbing lanes outside the urbanized area, Lighting improvements, Emergency truck pullovers
6	Grouped Projects for Shoulder Improvements - SHOPP Roadside Preservation Program	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 categories - Fencing, Safety roadside rest areas
7	Grouped Projects for Pavement resurfacing and/or rehabilitation - SHOPP Roadway Preservation Program	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 categories - Pavement resurfacing and/or rehabilitation, Emergency relief (23 U.S.C. 125), Widening narrow pavements or reconstructing bridges (no additional travel lanes)
8	Grouped Projects for Bridge Rehabilitation and Reconstruction - HBP Program	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 categories - Widening narrow pavements or reconstructing bridges (no additional travel lanes).
9	Grouped Projects for Safety Improvements	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Railroad/highway crossing, Safer non-Federal-aid system roads, Shoulder improvements, traffic control devices and operating assistance other than signalization projects, Intersection signalization projects at individual intersections, Pavement marking demonstration, Truck climbing lanes outside the urbanized area, Lighting improvements, Emergency truck pullovers
a	Grouped Projects for Safety Improvements - Safe Routes to School Program (SRTS)	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Railroad/highway crossing, Safer non-Federal-aid system roads, Shoulder improvements, traffic control devices and operating assistance other than signalization projects, Intersection signalization projects at individual intersections, Pavement marking demonstration, Truck climbing lanes outside the urbanized area, Lighting improvements, Emergency truck pullovers
b	Grouped Projects for Safety Improvements - Safe Routes to School Program (SR2S State Program)	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Railroad/highway crossing, Safer non-Federal-aid system roads, Shoulder improvements, traffic control devices and operating assistance other than signalization projects, Intersection signalization projects at individual intersections, Pavement marking demonstration, Truck climbing lanes outside the urbanized area, Lighting improvements, Emergency truck pullovers
10	Grouped Projects for Safety Improvements - HSIP Program	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Railroad/highway crossing, Safer non-Federal-aid system roads, Shoulder improvements, traffic control devices and operating assistance other than signalization projects, Intersection signalization projects at individual intersections, Pavement marking demonstration, Truck climbing lanes outside the urbanized area, Lighting improvements, Emergency truck pullovers
11	Grouped Projects for Railroad/highway crossing	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 categories - Railroad/highway crossing
12	Grouped Projects for Safety Improvements on High Risk Rural Roads - HRRR program	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Safer non-Federal-aid system roads
13	Grouped Projects for Hazard Elimination Program	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 categories - Hazard Elimination Program
14	Grouped Projects for Safer non-Federal-aid system roads	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Safer non-Federal-aid system roads
15	Grouped Projects for Shoulder Improvements	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Shoulder improvements
a	Grouped Projects for Shoulder Improvements on the State Highway System	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Shoulder improvements
b	Grouped Projects for Shoulder Improvements on the Local Roads System	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Shoulder improvements

**Attachment A**  
**Pre-approved Grouped Project Listings**

Sl. No.	Grouped Projects Listing Name	Project Description
	c Grouped Projects for Shoulder Improvements in xxx County/City	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Shoulder improvements
16	Grouped Projects for Increasing Sight Distance	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Increasing Sight Distance
	a Grouped Projects for Increasing Sight Distance on the State Highway System	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Increasing Sight Distance
	b Grouped Projects for Increasing Sight Distance on the Local Roads System	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Increasing Sight Distance
	c Grouped Projects for Increasing Sight Distance in xxx County/City	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Increasing Sight Distance
17	Grouped Projects for Pavement resurfacing and/or rehabilitation	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Pavement resurfacing and/or rehabilitation
	a Grouped Projects for Pavement resurfacing and/or rehabilitation on the State Highway System	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Pavement resurfacing and/or rehabilitation
	b Grouped Projects for Pavement resurfacing and/or rehabilitation on the State Highway System - Highway Maintenance	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Pavement resurfacing and/or rehabilitation
	c Grouped Projects for Pavement resurfacing and/or rehabilitation on the Local Roads System	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Pavement resurfacing and/or rehabilitation
	d Grouped Projects for Pavement resurfacing and/or rehabilitation in xxx County/City	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Pavement resurfacing and/or rehabilitation
	e Grouped Projects for Pavement resurfacing and/or rehabilitation - ARRA or XXXX funded	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Pavement resurfacing and/or rehabilitation
	f Grouped Projects for Pavement resurfacing and/or rehabilitation - AC overlays	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Pavement resurfacing and/or rehabilitation
18	Grouped Projects for Pavement marking demonstration	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Pavement marking demonstration.
19	Grouped Projects for Emergency truck pullovers	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Emergency truck pullovers.
20	Grouped Projects for Widening narrow pavements or reconstructing bridges (no additional travel lanes)	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Non Capacity widening narrow pavements or reconstructing bridges (no additional travel lanes).
	a Grouped Projects for Non Capacity widening (no additional travel lanes)	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Non Capacity widening narrow pavements or reconstructing bridges (no additional travel lanes).
21	Grouped Projects for Truck climbing lanes	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Truck climbing lanes outside the urbanized area
22	Grouped Projects for Skid treatments	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Skid treatments
23	Grouped Projects for Safety roadside rest areas	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Safety roadside rest areas
24	Grouped Projects for Railroad/highway crossing warning devices	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Railroad/highway crossing warning devices
25	Grouped Projects for Traffic control devices and operating assistance other than signalization	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Traffic control devices and operating assistance other than signalization project
	a Grouped Projects for Traffic control devices and operating assistance	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Traffic control devices and operating assistance other than signalization project
	b Grouped Projects for Traffic control devices	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Traffic control devices and operating assistance other than signalization project
26	Grouped Projects for Increasing Sight Distance	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Increasing Sight Distance
27	Grouped Projects for Fencing	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Fencing
28	Grouped Projects for Lighting improvements	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Lighting improvements

**Attachment A**  
**Pre-approved Grouped Project Listings**

Sl. No.	Grouped Projects Listing Name	Project Description
29	Grouped Projects for Ride-sharing and van-pooling	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Continuation of ride-sharing and van-pooling promotion activities at current levels
30	Grouped Projects for Bicycle and pedestrian facilities	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Bicycle and pedestrian facilities (both motorized and Non-motorized)
a	Grouped Projects for Bicycle facilities	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Bicycle and pedestrian facilities (both motorized and Non-motorized)
b	Grouped Projects for Pedestrian facilities	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Bicycle and pedestrian facilities (both motorized and Non-motorized)
c	Grouped Projects for Bicycle and pedestrian facilities funded with xxxx	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Bicycle and pedestrian facilities (both motorized and Non-motorized)
d	Grouped Projects for Bicycle and pedestrian facilities in xxxx County/City	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Bicycle and pedestrian facilities (both motorized and Non-motorized)
e	Grouped Projects for Bicycle and pedestrian facilities - Motorized	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Bicycle and pedestrian facilities (both motorized and Non-motorized)
f	Grouped Projects for Bicycle and pedestrian facilities - Non - Motorized	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Bicycle and pedestrian facilities (both motorized and Non-motorized)
31	Grouped Projects for Noise attenuation	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Noise attenuation.
33	Grouped Projects for Safety Improvements - Projects that correct, improve, or eliminate a hazardous location or feature.	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Projects that correct, improve, or eliminate a hazardous location or feature.
34	Grouped Projects for Safety Improvements - Safer non-Federal-aid system roads	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Safer non-Federal-aid system roads
35	Grouped Projects for Safety Improvements - Safer roads - Inclusive of federal aid and non-federal aid roads	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Railroad/highway crossing, Safer non-Federal-aid system roads, Shoulder improvements, traffic control devices and operating assistance other than signalization projects, Intersection signalization projects at individual intersections, Pavement marking demonstration, Truck climbing lanes outside the urbanized area, Lighting improvements, Emergency truck pullovers
37	Grouped Projects for Directional and informational signs	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Directional and informational signs.
a	Grouped Projects for Directional and informational signs funded with xxxx	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Directional and informational signs.
b	Grouped Projects for Directional and informational signs in xxxx County/City	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Directional and informational signs.
c	Grouped Projects for Directional and informational signs on the federal aid system	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Directional and informational signs.
d	Grouped Projects for Directional and informational signs on the non-federal aid system	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Directional and informational signs.
38	Grouped Projects for Sign removal	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Sign removal
39	Grouped Projects for Plantings, landscaping, etc.	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Plantings, landscaping, etc.
40	Grouped Projects for Acquisition of scenic easements	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Acquisition of scenic easements
41	Grouped Projects for Emergency or hardship advance land acquisitions	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Emergency or hardship advance land acquisitions (23 CFR 710.503).
42	Grouped Projects for Engineering	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Engineering to assess social, economic, and environmental effects of the proposed action or alternatives to that action; non-capacity increasing
43	Grouped Projects for Planning activities	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Planning activities conducted pursuant to titles 23 and 49 U.S.C.
44	Grouped Projects for Grants for training and research programs	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Grants for training and research programs
45	Grouped Projects for Planning and technical studies	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Planning and technical studies

**Attachment A**  
**Pre-approved Grouped Project Listings**

Sl. No.	Grouped Projects Listing Name	Project Description
46	Grouped Projects for Activities that do not lead to construction	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Specific activities which do not involve or lead directly to construction, such as: Planning and technical studies, Grants for training and research programs, Planning activities conducted pursuant to titles 23 and 49 U.S.C, Federal-aid systems revisions, Engineering to assess social, economic, and environmental effects of the proposed action or alternatives to that action, Noise attenuation, Emergency or hardship advance land acquisitions (23 CFR 710.503), Acquisition of scenic easements, Plantings, landscaping, etc., Sign removal, Directional and informational signs, Transportation enhancement activities (except rehabilitation and operation of historic transportation buildings, structures, or facilities), Repair of damage caused by natural disasters, civil unrest, or terrorist acts, except projects involving substantial functional, locational or capacity changes.
47	Grouped Projects for Transportation enhancement activities	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Transportation enhancement activities (except rehabilitation and operation of historic transportation buildings, structures, or facilities)
48	Grouped Projects for Emergency Repair	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Repair of damage caused by natural disasters, civil unrest, or terrorist acts, except projects involving substantial functional, locational or capacity changes.
49	Grouped Projects for Rehabilitation or reconstruction of track structures, track, and trackbed in existing rights-of-way	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Rehabilitation or reconstruction of track structures, track, and trackbed in existing rights-of-way.( non-capacity Increasing)
50	Grouped Projects for Reconstruction or renovation of transit buildings and structures	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Reconstruction or renovation of transit buildings and structures (e.g., rail or bus buildings, storage and maintenance facilities, stations, terminals, and ancillary structures).( non-capacity Increasing)
51	Grouped Projects for Construction of small passenger shelters and information kiosks	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Construction of small passenger shelters and information kiosks
52	Grouped Projects for Construction or renovation of power, signal, and communications systems	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Construction or renovation of power, signal, and communications systems
53	Grouped Projects for Purchase of operating equipment for vehicles	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Purchase of operating equipment for vehicles (e.g., radios, fareboxes, lifts, etc.)
54	Grouped Projects for Purchase of office, shop, and operating equipment for existing facilities	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Purchase of office, shop, and operating equipment for existing facilities
55	Grouped Projects for Rehabilitation of transit vehicles	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Rehabilitation of transit vehicles (In PM10and PM2.5nonattainment or maintenance areas, such projects are exempt only if they are in compliance with control measures in the applicable implementation plan)
56	Grouped Projects for Purchase of support vehicles	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Purchase of support vehicles
57	Grouped Projects for Operating assistance to transit agencies	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Operating assistance to transit agencies
58	Grouped Projects for Purchase of new buses and rail cars to replace existing vehicles or for minor expansions of the fleet. (Minor changes include changing the number of transit vehicles purchased by 25% or less, and changes to the fuel type of transit vehicles. MPO needs to take the change through an interagency consultation to confirm that the change in scope is minor)	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Purchase of new buses and rail cars to replace existing vehicles or for minor expansions of the fleet
59	Grouped Projects for Safety Improvements, Shoulder Improvements, Pavement resurfacing and/or rehabilitation - Minor Program	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Railroad/highway crossing, Safer non-Federal-aid system roads, Shoulder improvements, traffic control devices and operating assistance other than signalization projects, Intersection signalization projects at individual intersections, Pavement marking demonstration, Truck climbing lanes outside the urbanized area, Lighting improvements, Emergency truck pullovers, Pavement resurfacing and/or rehabilitation, Emergency relief (23 U.S.C. 125), Widening narrow pavements or reconstructing bridges (no additional travel lanes)

**Attachment A**  
**Pre-approved Grouped Project Listings**

Sl. No.	Grouped Projects Listing Name	Project Description
<p>The projects included under following grouped project listings may be exempt from regional emissions analysis. Note that the local effects of the project on CO and PM concentrations must be considered to determine if a hot-spot analysis may be required prior to making a project level conformity determination.</p>		
60	Grouped Projects for Intersection Channelization	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Table 3 categories - Intersection Channelization Projects.
61	Grouped Projects for Intersection Signalization	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Table 3 categories - Intersection Signalization Projects
62	Grouped Projects for Interchange Reconfiguration	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Table 3 categories - Interchange Reconfiguration Projects
63	Grouped Projects for Changes in Vertical and Horizontal Alignment	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Table 3 categories - Changes in Vertical and Horizontal Alignment Projects
64	Grouped Projects for Truck Size and Weight Inspection Stations	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Table 3 categories - Truck Size and Weight Inspection Stations
65	Grouped Projects for Bus Terminals and Transfer Points	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Table 3 categories - Bus Terminals and Transfer Points

**Note: All Grouped listings must be accompanied by detailed back-up listings.**



## **Handout No. 3: Handout for Item No. 11**

# Highway Safety Improvement Program Overview

## HSIP Funding:

By State Law: Federal Safety Funds must be shared equally between state highways and local roadways. Example of 2009/10 Safety Funds Split:

	<u>STATE</u>	<u>LOCAL</u>
Rail-Hwy Crossings:	\$7.8M	\$7.8M
High Risk Rural Roads:		\$8.9M
Highway Safety Improvement Program:	<u>\$66.8M</u>	<u>\$58.9M</u>
Totals:	\$74.6M	\$74.6M

## Eligible Applicants:

Cities and Counties (exceptions reviewed case-by-case)

## HSIP Schedule for Project Solicitation:

Most recent call for HSIP Cycle 4 projects made on Sept. 8, 2010.  
HSIP Cycle 4 Approved Project List released on February 24, 2011.

179 Projects; \$74.6 M

List of Approved Projects at:

[http://www.dot.ca.gov/hq/LocalPrograms/HSIP/prev\\_cycle\\_results.htm](http://www.dot.ca.gov/hq/LocalPrograms/HSIP/prev_cycle_results.htm)

## HSIP Programming:

[http://www.dot.ca.gov/hq/transprog/federal/fedfiles/variou pgms/hsip\\_pgm/hsip\\_program.htm](http://www.dot.ca.gov/hq/transprog/federal/fedfiles/variou pgms/hsip_pgm/hsip_program.htm)

The screenshot shows a Windows Internet Explorer browser window displaying the Caltrans website. The address bar shows the URL: [http://www.dot.ca.gov/hq/transprog/federal/fedfiles/variou pgms/hsip\\_pgm/hsip\\_program.htm](http://www.dot.ca.gov/hq/transprog/federal/fedfiles/variou pgms/hsip_pgm/hsip_program.htm). The page content includes a navigation menu with links for Home, Travel, Business, Engineering, News, Maps, Jobs, About Caltrans, and Contact Us. The main heading is "Office Of Federal Transportation Management Program (OFTMP)" and "Various State and Federal Programs". A section titled "HIGHWAY SAFETY IMPROVEMENT PROGRAM (HSIP)" lists the following links:

- Project List for FYs 2011/12-2013/14 (03/02/11)
- Transmittal Note (03/02/11)
- Project List for FYs 2010/11-2012/13 (04/21/10)
- Transmittal Note (04/21/10)

March 16, 2011

# Highway Safety Improvement Program Overview

[http://www.dot.ca.gov/hq/LocalPrograms/HSIP/FTIP\\_Info.html](http://www.dot.ca.gov/hq/LocalPrograms/HSIP/FTIP_Info.html)

Caltrans > Business > Local Assistance > Programs > HSIP > FTIP Information & Links

## FTIP Information and Links

All federally-funded projects must be included in an FHWA-approved Federal Transportation Improvement Program.

The FTIP is managed by the Metropolitan Planning Organization (MPO) or Regional Transportation Planning Agency (RTPA) Ref.

- [MPO and RTPA Locations](#) [pdf] (map)
- [MPO and RTPA Contact Information](#) [pdf]
- [MPO FTIP Web Sites](#) (listing each MPO's FTIP)

Below are the Back-Up lists for each program. Note: Just because a project is shown in this Back-Up list doesn't mean that it has been included in the MPO's FTIP. It is the responsibility of each MPO to ensure that these projects are included in its FTIP prior to a local agency requesting authorization to proceed with any phase of the project.

Program	2011 FTIP Back-Up Lists	2011 FTIP Amendments Back-Up Lists
Highway Safety Improvement Program (HSIP)	<a href="#">2011 FTIP HSIP Update</a> [xls]	<a href="#">Cycle 4 HSIP Amendment</a> [xls]
High Risk Rural Road Program (HR3)	<a href="#">2011 FTIP HR3 Update</a> [xls]	
Federal Safe Routes to School Program (SRTS)	<a href="#">2011 FTIP SRTS Update</a> [xls]	

Back to [HSIP](#), [HR3](#), or [SRTS](#) program page.

This page last updated on March 2, 2011.

## Review HSIP Programming Bar Charts

### Delivery Requirements – See Handout

Cycle 4 projects that are approved will have specific project delivery requirements:

- Request ATP with PE within 6 months of FTIP approval
- Request ATP with CON within 30 months of FTIP approval
- Close-out project within 54 months of FTIP approval

Caltrans won't accept applications for Cycle 5, (or future cycles) from agencies that fail to meet any of these delivery requirements until delivery milestones are completed.

### EPSP – See Handout:

The following steps outline how Caltrans, local agencies, and MPOs can use the EPSP to ensure that 'requests for authorization' for safety projects are approved in a timely manner:

1. When a local agency wants to submit a Request for Authorization (RFA) to proceed with a project that is not programmed in the currently-active fiscal

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## Highway Safety Improvement Program Overview

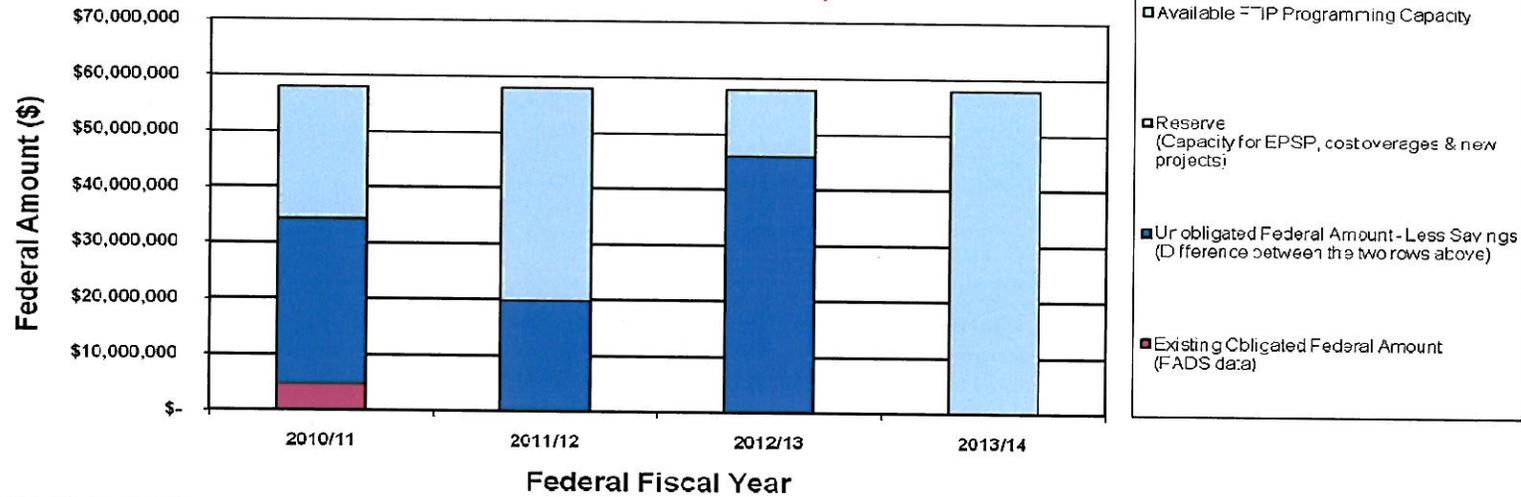
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- year of the FSTIP, the agency first needs to request approval from the Caltrans District Local Assistance Engineer (DLAE) to use EPSP and advance the project to the current program year.
2. The DLAE will review the EPSP request and the project's readiness for authorization. If the DLAE determines that the project is ready for authorization, he/she will forward the EPSP request to the HQ Safety Program Manager for review and approval.
  3. The HQ Safety Program Manager will evaluate the financial capacity of the FSTIP for the current program year. If sufficient capacity exists, he/she will notify the DLAE that the EPSP request has been approved. The DLAE will then inform the local agency and HQ will notify the affected MPO.
  4. After the local agency has received notification from the DLAE that their EPSP request was approved, the local agency can complete and submit the RFA to the DLAE. The local agency must indicate that EPSP has been approved on Exhibit 3E - Request for Authorization to Proceed Data Sheet(s) of the Local Assistance Procedures Manual.

Note: All correspondence relating to using the EPSP can be processed with emails. Formal agency letters with letterheads are not necessary.

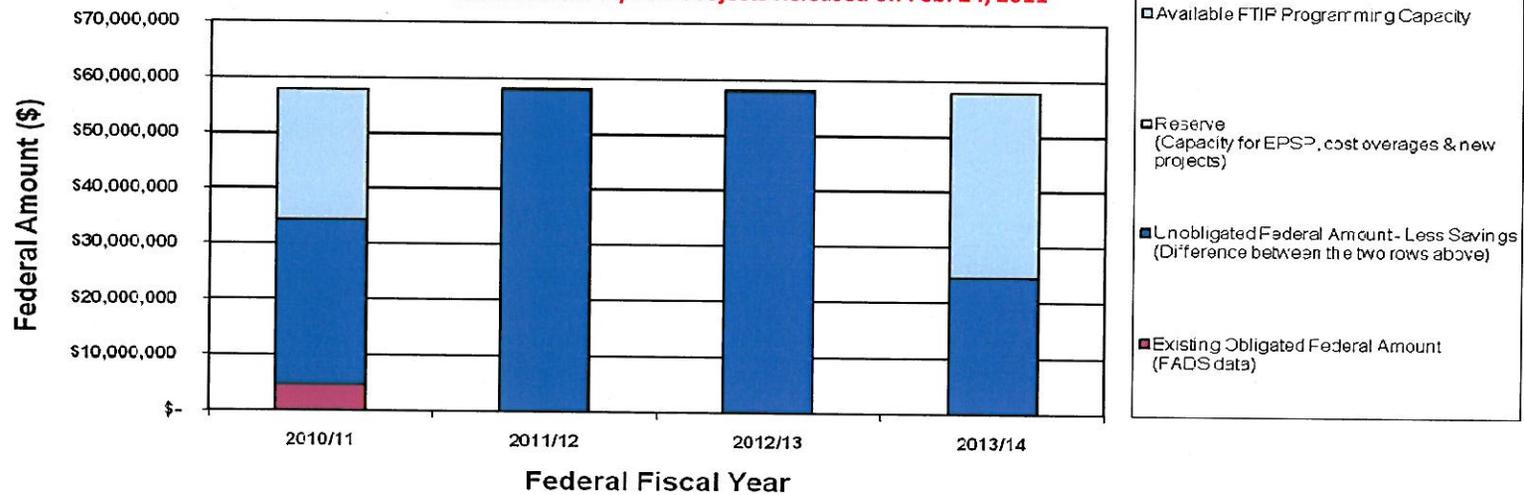
## 2011 FTIP Programming (HSIP Program)

As of 12-15-2011 FTIP Update



## 2011 FTIP Programming (HSIP Program)

Includes HSIP Cycle 4 Projects Released on Feb. 24, 2011



## **Project Delivery Requirements for Local Safety Programs**

### **Background**

#### **Need for Clear, Consistent, and Enforceable Delivery Requirements**

1. The past delivery requirements have varied from cycle to cycle and have varied from program to program for the three local safety programs: Highway Safety Improvement Program (HSIP), High Risk Rural Roads (HR3), and Federal Safe Routes to School Program (SRTS).
2. Previous delivery requirements for the local safety programs stated that if projects do not meet delivery requirements, the project's funding could be de-obligated and/or the project would be dropped from the program. However, these policies were not enforced since they did not promote expedited delivery of the most critical safety projects.
3. Past delivery data showed that it was typical for a project to take close to a year to obtain approval to proceed with Preliminary Engineering (PE) and almost two years to close-out the project once construction was complete.
4. To date, overall project delivery of local safety projects has been poor and the actual delivery schedules for most safety projects have not met the original schedules proposed by the agencies in their application forms.
5. The poor delivery of safety program projects has resulted in the following:
  - a. In 2006, the Federal Highway Administration (FHWA) requested that Caltrans search for ways to improve project delivery and participate in the preparation of the "FHWA 2006 Annual Risk Analysis Report".
  - b. Obligation rates of federal safety funds remained well below apportionment levels.
  - c. In 2009, FHWA again requested that Caltrans search for ways to improve the delivery and participate as a 2009 FHWA Focus State for local safety programs.
  - d. Safety projects that are not delivered in a timely manner have to be carried over into subsequent Federal Transportation Improvement Programs (FTIP) thereby reducing financial programming capacity for new projects. If the delivery does not improve in the future, the lack of FTIP programming capacity may require Caltrans to delay making future calls-for-projects.

#### **Major Steps in the Preparation of the New Safety Program Delivery Requirements**

1. In October 2009, the Caltrans, Division of Local Assistance, Office of Bridge and Safety Programs (OBSP) created a webpage for "Safety Program Delivery Status Reports" at: [http://www.dot.ca.gov/hq/LocalPrograms/HSIP/delivery\\_status.htm](http://www.dot.ca.gov/hq/LocalPrograms/HSIP/delivery_status.htm)
2. In January 2010, OBSP implemented new delivery requirements in conjunction with the notification of successful HSIP Cycle 3 projects.
3. In March 2010, OBSP worked with a committee of State, Federal, and Local Agency representatives to finalize revised delivery requirements for all Cycle 1 and Cycle 2 safety projects in the HSIP, HRRR, and SRTS programs. These delivery requirements are consistent with the requirements for HSIP Cycle 3 projects. The final delivery requirements are discussed below.

4. In April 2010, OBSP updated the "Safety Program Delivery Status Reports" webpage to include the new delivery requirements for all projects and updated the status reports to reflect the new delivery requirements.

## **New Safety Program Delivery Requirements**

### **Requirement Details**

The key delivery requirements for new safety projects are as follows:

The three milestones and corresponding delivery deadlines are:

1. Request for Authorization to Proceed with PE within 6 months after the project is amended into the FTIP.
  - a. For agencies that will not request Authorization to Proceed with PE because they are using their own work force or using other funds for that phase, the agency will only be held to requesting Construction Authorization within 30 months after the project is amended into the FTIP.
  - b. For agencies that retain consultants for any PE work will be provided an additional six (6) months of PE time. This will extend the CON Auth and Close-Out Milestone dates by 6 months.
2. Request Authorization to Proceed with Construction within 30 months (2 ½ years) after the project is amended into the FTIP.
3. Complete construction and close-out the project within 54 months (4 ½ years) after the project is amended into the FTIP.

OBSP staff will track the delivery of the local safety projects and prepare a quarterly report showing the delivery performance of each project. Projects that are on or ahead of schedule will be identified with a green checkmark and/or green diamond. Projects that are behind schedule will be identified with a red flag. Flags will be removed in later reports after the agency has completed the milestone. If an agency has an active safety project with a red flag in the latest quarterly report released during a future 'call for projects' cycle, Caltrans will not accept applications from that agency for the program that includes the flag. Example: If an agency has a flagged SRTS project, it would be prevented from submitting an SRTS application. This flagged SRTS project would not prevent the agency from submitting an application for a HR3 or HSIP project.

For a proposed project involving lengthy delivery elements, (i.e. right-of-way acquisition or environmental permits from outside or regulatory agencies), Caltrans recommends agencies consider alternatives to reduce the risk that they will miss the delivery requirements and be excluded from future funding until after the project is completed. Some possible alternatives include:

1. Completing all or part of the PE Phase before requesting safety funding.
2. Down-scoping the project to avoid the environmental, right-of-way or other project components that can cause the project to miss the delivery milestones.

Caltrans Division of Local Assistance

- a. Down-scoping the project does not necessarily reduce the net safety benefits of a given project. There may be alternative countermeasures that can be applied to a location which will result in an equal or larger benefit-to-cost ratio.
- 3. Selecting a different project altogether that can be delivered on an expedited schedule.

It is understood that many local agencies may not be able to fully fund the PE Phase of a critical, complex, and lengthy safety project. For this reason, Caltrans will rate those types of projects similarly to other projects and leave the decision up to the local agency to seek safety funding with the understanding that there is a high risk that their project will miss the delivery requirements, be flagged, and the agency will be excluded from future funding under that program until after the project is completed.

**Applying the New Safety Program Delivery Requirements to Past Projects**

Agencies for all past successful safety projects, including Cycles 1 and 2 of the HSIP, HR3 and SRTS programs were not apprised of these Delivery Requirements at the time they proposed the project for funding; therefore, Caltrans has established slightly different requirements for these projects.

All projects will be granted the full duration of the delivery phase that they were in as of March 31, 2010. For example, a project without PE authorization will be given a full 6 months from March 31, 2010 to obtain PE authorization, even if the project is a Cycle 1 project that was originally approved in the FTIP in 2007. This project would also have an additional 24 months to obtain Construction Authorization and 24 months to close-out the project.

The following table shows the actual new delivery deadlines for Cycle 1 and Cycle 2 safety projects:

<b>Current Status of Project</b>	<b>Authorize PE by:</b>	<b>Authorize CON by:</b>	<b>Close-out Project by:</b>
<b>No Phase Authorized</b>	Sept. 30, 2010	Sept. 30, 2012	Sept. 30, 2014
<b>PE Authorized</b>		Mar. 31, 2012	Mar. 31, 2014
<b>CON Authorized</b>			Mar. 31, 2012

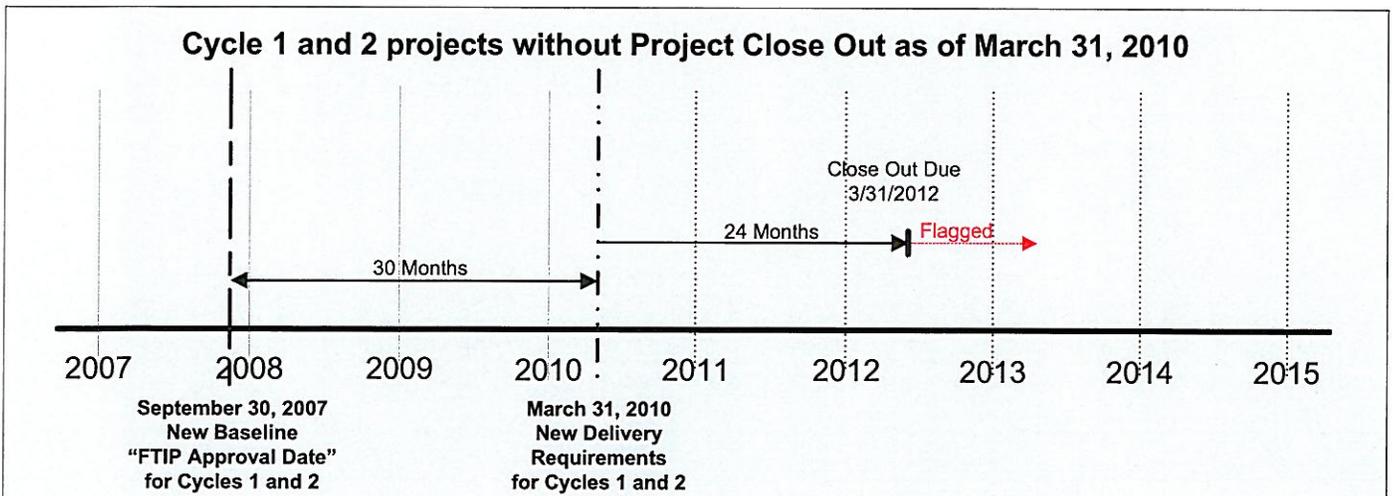
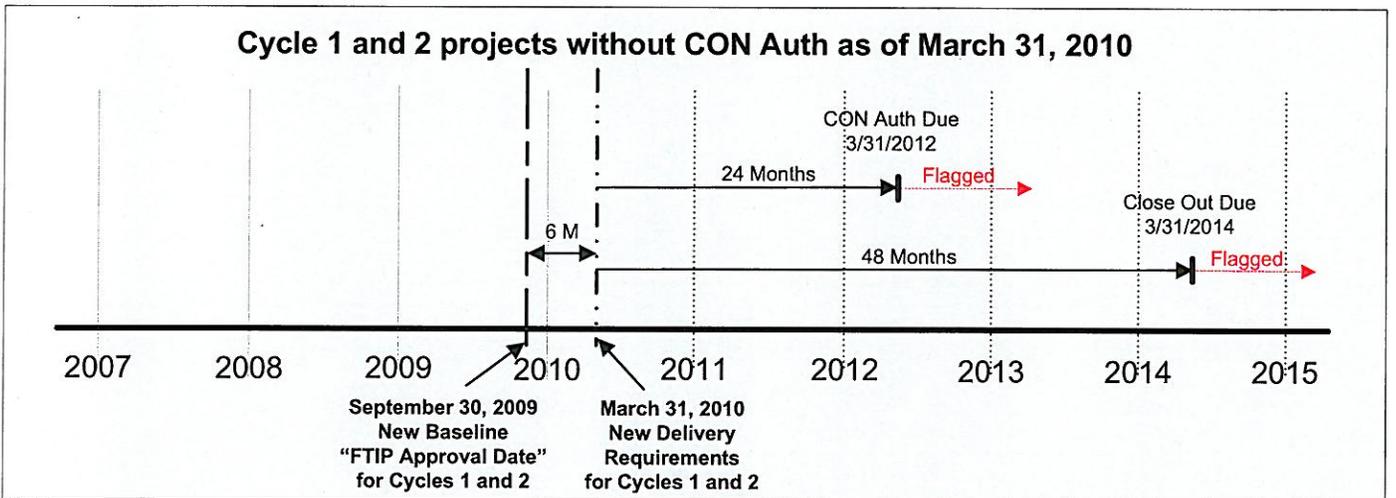
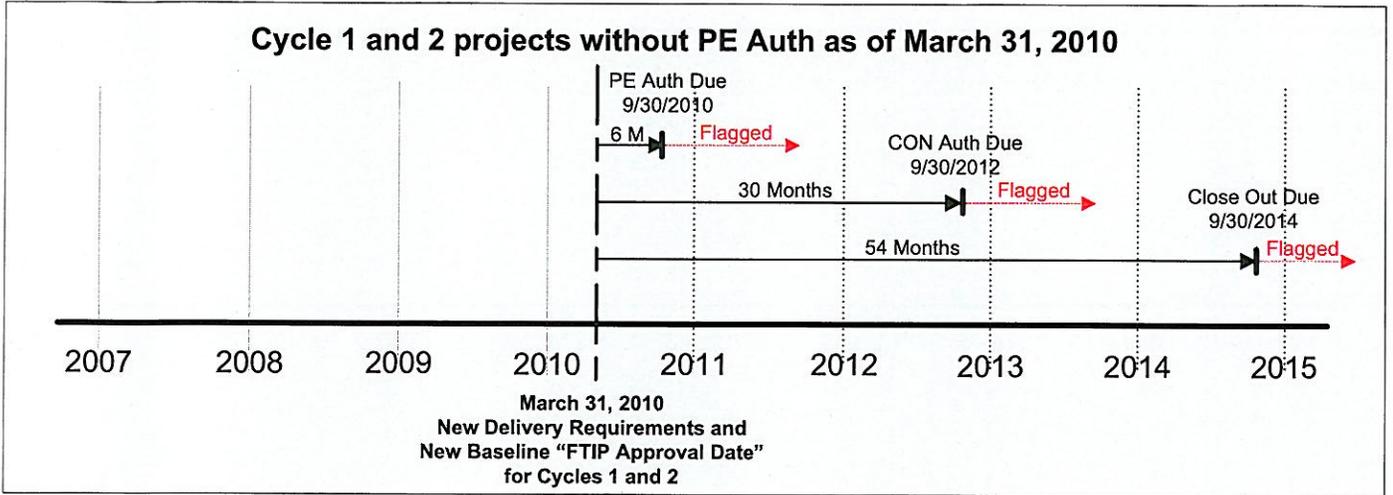
After notification of these new delivery requirements for Cycle 1 and 2 projects, agencies will be given one month to review the project status and if necessary, to provide a revised delivery schedule with justification for extending the time frames shown above.

**Diagrams for the New Safety Program Delivery Requirements**

The following diagrams visually illustrate the new delivery requirements. They show the differences between the delivery requirements for future safety projects and past Cycle 1 and Cycle 2 safety projects. The key difference is that future project delivery milestones will be based on their actual FTIP Approval Date from FHWA, while past project delivery milestones for Cycle 1 and Cycle 2 projects will be based on a baseline FTIP Approval Date that varies based upon the status of the project as of March 31, 2010.

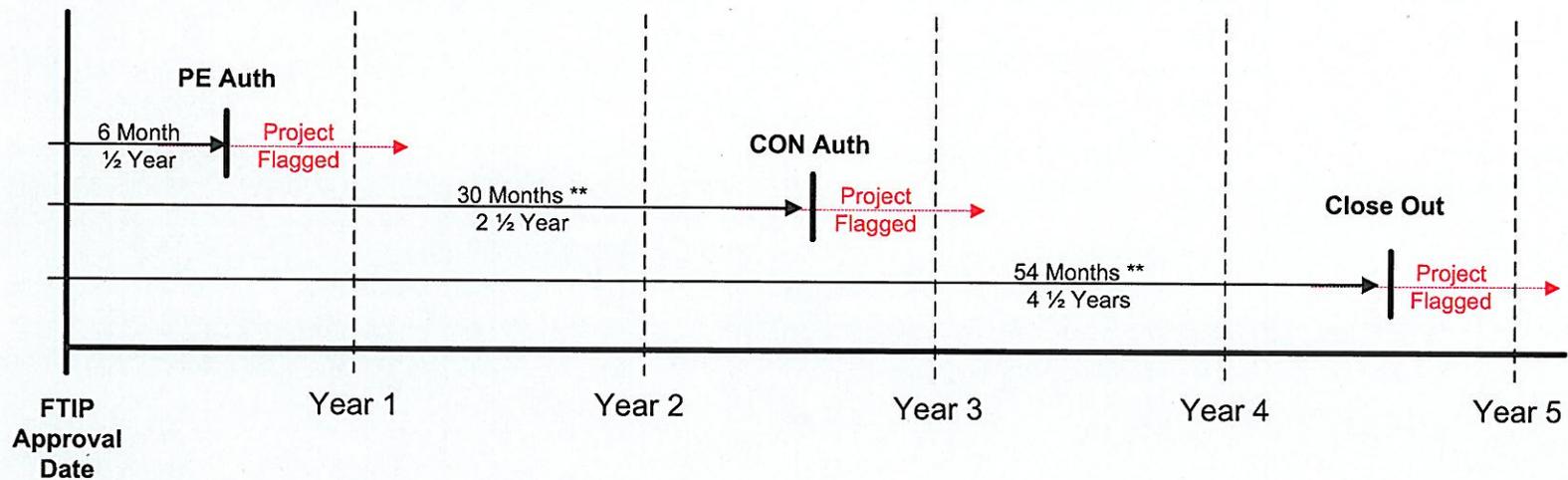
# DLA Safety Programs Delivery Requirements (Cycles 1 and 2 only)

(Cycle 1 and 2 projects will have to meet these delivery dates, unless they formally request and justify a time extension.)



## DLA Safety Programs Delivery Requirements (Future Cycles \*)

(Durations are standard for all projects, while actual dates will be unique for each project)



\* Includes HSIP, HR3, and SRTS Infrastructure Projects

\*\* Agencies that retain consultants for any PE work will be provided an additional six (6) months of PE time. This will extend the CON Auth and Close Out Milestone dates by 6 months