



PennDOT's 2016 Transportation Alternatives Program Guidance and Procedures



Center for Program Development and Management
Planning and Contract Management Division
October 30, 2015

Things Project Sponsors Must Know

- TAP is not a grant program and no money is provided upfront. Applicants pay pre-construction costs on their own (design, environmental, right of way acquisition, utility). No applicant match is required.
- The TAP program funds the construction phase of eligible projects at 100%.
- Project must conform to one of the [10 categories of eligibility](#).
- There is a minimum award of \$50,000 for construction projects. The maximum award is \$1,000,000, although higher awards can be justified for “exceptional” projects.
- The application cycle opens November 2, 2015 and closes at 4:00 PM on January 8, 2016.
- Project sponsors should select consultants that have demonstrated experience in the design and timely delivery of Transportation Enhancements, Safe Routes to School, or Transportation Alternatives Program projects.
- ***It is highly recommended*** that project sponsors talk with their [Metropolitan Planning Organization \(MPO\) or Rural Planning Organization \(RPO\) staff](#) to discuss their project before submitting an application.
- ***It is highly recommended*** that project sponsors speak with [PennDOT Engineering District staff](#) and other professionals familiar with PennDOT policies and regulations.
- Approximately \$9 million is available for the statewide funding round, although more may be available if additional funding is provided. Funding will vary in Large MPO areas. Page five defines which MPOs are participating in this call for applications.
- A webinar for all potential project sponsors will be held on November 16, 2015 at 1:00 PM. [Appendix G](#) has the call in number, pin, and visual access links.

Milestone	Date
Application Cycle Opens - Guidance and Applications Available on Website	11/2/2015
Last Day Pre-Application Eligibility Determinations Accepted	12/4/2015
All Project Applications Due	1/8/2016
TAP Project Selections Complete	5/30/2016

Background

Moving Ahead for Progress in the 21st Century (MAP-21) introduced fundamental changes to the administration of local programs, including those that previously existed as separate programs in the Safe, Accountable, Flexible, Efficient Transportation Equity Act – A Legacy for Users (SAFETEA-LU) legislation. Transportation Enhancements (TE), Safe Routes to School (SRTS), Scenic Byways (Byways) and the Recreational Trails Program (RTP) are now consolidated into the Transportation Alternatives Program (TAP). With the exception of the RTP, which takes funding “off the top”, the current eligible activities from the SAFETEA-LU programs compete against each other for funding.

TAP projects build pedestrian and bicycle facilities, improve access to public transportation, create safe routes to school, preserve historic transportation structures, provide environmental mitigation, create trails projects that serve a transportation purpose, while promoting safety and mobility.

To provide for the continuation of recreational trails projects, MAP-21 requires each State to set aside a portion of its TAP funds for projects relating to recreational trails under 23 USC 206. In Pennsylvania, the program will continue to be administered by the Department of Conservation and Natural Resources (DCNR): http://www.dcnr.state.pa.us/cs/groups/public/documents/document/d_001241.pdf.

Federal Guidance for the Recreational Trails Program remains relatively unchanged. For more information about the federal program, please visit FHWA’s Recreational Trails Program page: http://www.fhwa.dot.gov/environment/recreational_trails/guidance/

Aside from some nuances, the TAP closely resembles TE; however, there are several changes and new program requirements associated with TAP, including

- State DOTs, MPOs, and nonprofits are no longer eligible sponsors; however, nonprofits can partner with eligible entities on TAP projects. All other sponsors eligible under SAFETEA-LU remain eligible under TAP.
- Some funding categories, such as scenic beautification, education for non-SRTS projects, and transportation museums, have been eliminated
- Funds **must** be awarded through a competitive application process
- Urbanized areas with a population of greater than 200,00 now receive TAP funding, which they are tasked with awarding through a competitive process

Federal Guidance

On March 6, 2014, the Federal Highway Administration (FHWA) released their latest update to the TAP Final Guidance: <http://www.fhwa.dot.gov/map21/guidance/guidetap.cfm>. This guidance supersedes all prior guidance.

Until 2013, the National Transportation Alternatives Clearinghouse (NTAC), under contract with FHWA, developed program guidance, eligibility interpretation, and project tracking support to all states. When federal funding for NTAC ended in 2013, the Rails to Trails Conservancy (RTC) agreed to maintain the archived resources, guidance and newsletters produced by NTAC. Additionally, RTC continues to track TE and TAP spending through annual data collection, which is housed on the Transportation Alternatives Data Exchange (TrADE) site: <http://trade.railstotrails.org/index>.

While FHWA no longer maintains a contract with NTAC and has backed away from their guidance and definitions of eligible projects, PennDOT still uses their established definitions for project eligibility: http://trade.railstotrails.org/10_definitions. Based on these interpretations, PennDOT's project categories and eligibility are described starting on page 5 of this document.

Funding

Program and Funding Status

Currently, the TAP is funded through October 29, 2015. Accordingly, PennDOT will make available the remaining balance of TAP funds through FFY 2015, which is ***approximately \$9 million***.

Should additional funding and authority to administer funds be provided to PennDOT through subsequent extensions of MAP-21 or a new transportation bill, additional funds may be made available.

MAP-21 subdivides half of the funding to areas based on population. The other 50% of funds can be used anywhere in the state. The three funding amounts provided to various areas are explained below.

Given the uncertainty of program funding moving forward, the funding for the TAP described below reflects the amounts provided in Federal Fiscal Year (FFY) 2015.

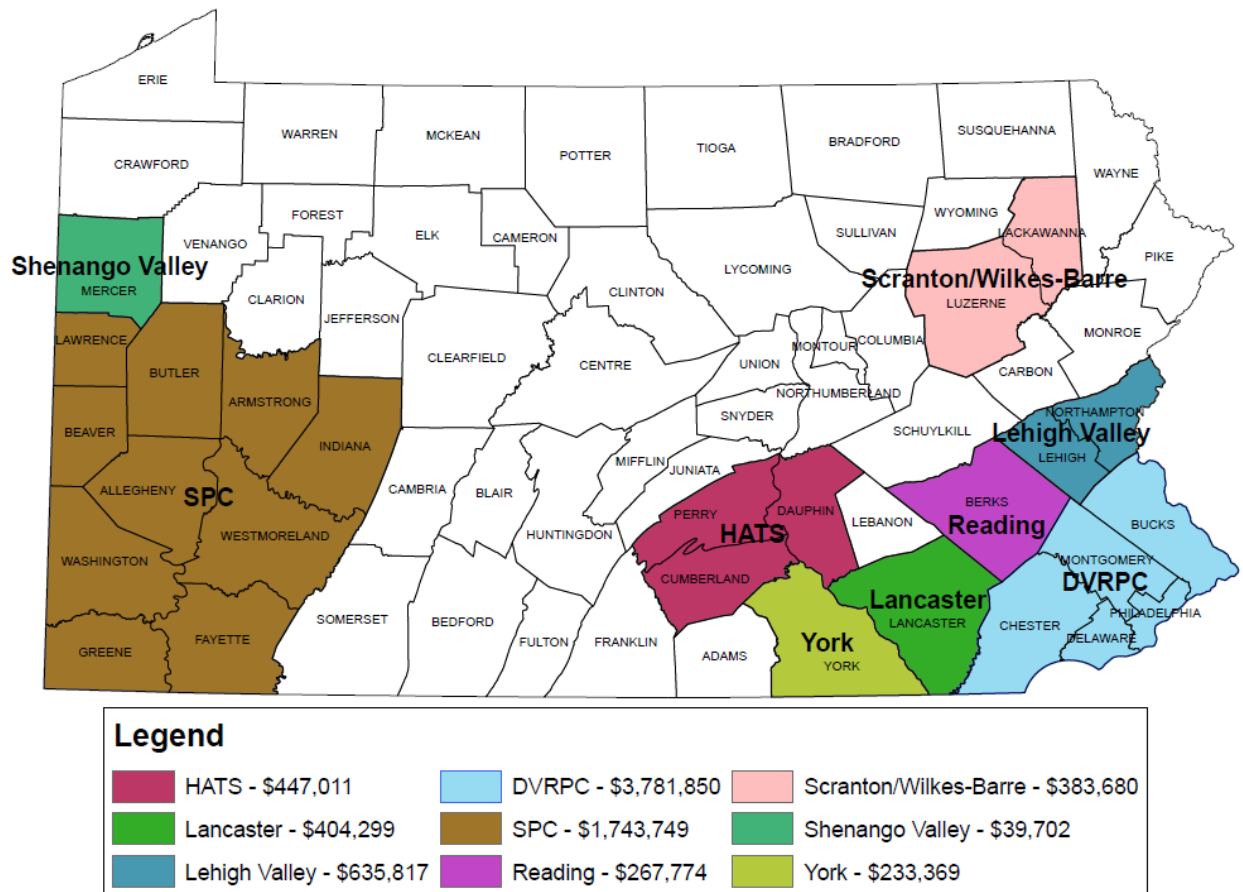
Areas >200,000 Population (Large MPOs)

MAP-21 allocates funding to urbanized areas with a population greater than 200,000 (large MPOs).

- Approximately \$8 million was made available in Federal Fiscal Year (FFY) 2015. This amount is divided among the large MPOs based on population. See the map on page five for exact amounts provided.

- The MPO is responsible for awarding their allocated funds to projects within their MPO boundaries through a competitive selection process.
- Check with your MPO for more information on how much funding is available during this funding round.
- Applications received from the six Large MPO areas will be eligible for both statewide and Large MPO Funds:
 - Shenango Valley
 - HATS
 - Reading
 - Lehigh Valley
 - Scranton/Wilkes-Barre
 - DVRPC

Large MPO Areas TAP Funds – FFY 2015



Areas <200,000 Population

MAP-21 also allocates funding to areas of less than 200,000 population.

- Approximately \$5 million was made available in FFY 2015.
- State DOT (PennDOT) administers funding through a statewide competitive process.
- PennDOT's Central Office will conduct a statewide call for applications for both areas with populations of 5,001–200,000 and other areas with populations ≤ 5,000

Statewide TAP Funding

Additionally, MAP-21 also allocates funding that can be spent anywhere in the state.

- Approximately \$13 million was made available in FFY 2015.
- Funding can be used anywhere in the state (“any area funds”).
- PennDOT's Central Office will conduct a statewide call for applications from all Planning Regions to administer this funding. This round will run concurrently with the funding allocated to areas <200,000.
- The competitive application round for these funds would be open to eligible sponsors across the state, including sponsors located in large MPOs areas.

Project Eligibility

Planning Partners, Districts, and potential project sponsors must become familiar with the 10 projects and activities that PennDOT considers eligible for funding through the TAP.

The list below describes the 10 general project categories eligible for funding through the statewide application process. A more specific list of eligible activities appears in [Appendix A: Eligible Projects](#).

- 1. Bicycle and Pedestrian Facilities** – This category includes projects that allow communities to develop projects that make non-motorized transport safe, convenient, and appealing. Projects may include on-road and off-road trail facilities that serve to meet transportation needs of pedestrians, bicyclists, and users of other nonmotorized forms of transportation. These projects encourage healthful physical activity, keep air clean by decreasing reliance on fossil fuels, and enrich local economies with recreational assets.

Eligible Projects

- New or reconstructed sidewalks or walkways
- Pedestrian and bicycle signs or signals
- Lighting that primarily benefits cyclists and pedestrians ([Lighting Plan Requirements](#))
- Transportation projects that achieve ADA compliance, such as curb ramps

- New or reconstructed off-road trails that serve a transportation need, such as trails that provide connections to schools, parks, or other public places
- Crosswalks, bicycle lanes or sharrow pavement markings
- Widening or paving shoulders
- Bicycle parking facilities, such as bicycle lockers and bicycle racks (including those on buses)
- Bicycle share programs (including the purchase of bicycles)
- Shared use paths, side paths, and trails that serve a transportation purpose
- Bicycle and pedestrian bridges and underpasses
- Crossing improvements that shorten crossing distance, provide access, and/or primarily improve bicycle and pedestrian safety
- Traffic realignments, road diets, or intersection changes that improve bicycle and pedestrian access or safety
- Rails with trails projects, which are adjacent to active (not abandoned) lines

2. **Bicycle and Pedestrian Education (grades K-8 only)** – Noninfrastructure projects that benefit students in kindergarten through the eighth grade are also eligible. Projects and activities that educate children to safely walk or bike to school or encourage them to do so are defined as eligible in Section 1404(f)(2)(A) of SAFETEA-LU.

Eligible Projects

- Public awareness campaigns and outreach to press and community leaders
- Traffic education and enforcement in the vicinity of schools
- Student sessions on bicycle and pedestrian safety, health, and environment
- Funding for training, volunteers, and managers of safe routes to school program

3. **Conversion of Abandoned Railway Corridors to Trails** – Rail-trails help to expand travel and recreational opportunities within communities. Converted rail corridors make ideal trails because of their flat grade, long length, and intact right-of-way. Rail-trails, as these types of trails are called, help to encourage physical activity and reduce air pollution.

TAP funds can be used only for abandoned, rail banked or currently inactive rail lines; funds cannot be used to move or perform construction on active rail corridors. Funding for this category may also be used solely for purchase of railroad right-of-way or property, as long as future development of a public facility is planned.

Eligible Projects

- Construction of multi-use trails within a railroad right-of-way
- Major reconstructions of multi-use trails within a railroad right-of-way
- Developing rail-with-trail projects, where there is an adjacent line that is no longer active
- Purchasing and converting unused railroad property for reuse as a trail

4. **Construction of Turnouts, Overlooks, and Viewing Areas** – By developing turnouts, overlooks, and viewing areas, communities can enhance the travel experience and supply an educational element

that attracts tourists to local roads that are of scenic, historic, natural, cultural, archeological, and recreational significance.

TAP funds may **not** be used for the construction of visitor or welcome centers, or the staffing, operating, and maintenance associated those facilities. Marketing or promotion of such facilities is also ineligible.

Under this category, special attention should be considered in those areas that are designated as PA Byways by PennDOT, designated Heritage Areas by the Department of Conservation and Natural Resources (DCNR), as well as those areas that are listed on the National Register of Historic Places and those areas affiliated with the National Park Service.

Eligible Projects

- Construction of turnouts, overlooks, and viewing areas
- Interpretive signage or kiosks explaining site significance
- Right of way acquisition for such facilities may be considered

- 5. Outdoor Advertising Management** — The control and removal of outdoor advertising activity allows communities to preserve the scenic character of their roads by tracking and removing illegal and non-conforming billboards. Non-conforming signs are those signs that were lawfully erected but do not now comply with the Highway Beautification Act of 1965.

Eligible Projects

- Billboard inventories, including those done with GIS/GPS
- Removal of illegal and non-conforming billboards

- 6. Historic Preservation and Rehab of Historic Transportation Facilities** – The Historic Preservation and Rehabilitation of Historic Transportation Facilities category allows communities to rehabilitate and restore transportation facilities of historic significance. These rehabilitated facilities serve to educate the public and to provide communities with a unique sense of character that attracts tourists and generates a vibrant economic life.

Eligible projects must rehabilitate, restore or improve interpretation of a historic transportation facility. The addition of new items to the facility, such as desks, cabinets, furniture or other amenities that would improve building aesthetics or operations, are not eligible. Similarly, improvements that merely enhance operations (such as adding heating or cooling systems) are not eligible; however, in some cases, heating or cooling systems may be added, *but only when deemed necessary for preservation of the historic structure*; not for the comfort of guests or staff.

TAP funds may not be used for the sole purpose of replicating a historic building, nor can they be used for the operation of historic sites, including transportation museums. The staffing, operating, and maintenance associated with such facilities is also ineligible.

Historic transportation facilities must be listed or eligible for listing on the National Register of Historic Places. The Pennsylvania Historical & Museum Commission's Bureau of Historic Preservation (www.phmc.state.pa.us/bhp) can help determine which areas or structures are listed. Contact Cheryl Nagle at 717 772-4519 or chnagle@pa.gov for assistance.

Eligible Projects

- Restoration and reuse of historic buildings with strong link to transportation history
- Restoration and reuse of historic buildings for transportation related purposes
- Interpretive displays at historic sites
- Access improvements to historic sites and buildings
- Restoration of railroad depots, bus stations, and lighthouses
- Rehabilitation of rail trestles, tunnels, bridges, and canals
- Increasing building accessibility, in accordance with ADA guidelines

- 7. Vegetation Management** — Through the Vegetation Management activity, communities improve roadway safety, prevent against invasive species, and provide erosion control along transportation corridors.

Eligible Projects

- Clearing of low-hanging branches or other vegetation encroaching on a travel corridor
- Landscaping to improve sightlines or other safety considerations
- Removal of invasive species
- Planting grasses or wildflowers to manage erosion along transportation corridors

- 8. Archaeological Activities** — The Archaeological Activities category allows communities to explore the history in America with archaeological excavations and surveys in conjunction with highway construction projects.

Only projects related to the impacts of implementing a transportation project are eligible for funding under this category.

Eligible Projects

- Research, preservation planning, and interpretation
- Developing interpretive signs, exhibits, and guides
- Inventories and surveys

- 9. Stormwater Management** — Stormwater Management projects allow communities to decrease the negative impact of roads on the natural environment. Storm runoff over road surfaces carries pollutants into water, upsetting the ecological balance of local waterways and degrading water resources for humans and animal populations. Additionally, stormwater runoff may also erode soil, potentially reducing structural stability, augmenting flood events, and stripping soil from sensitive agricultural areas. Projects funded in this category seek to reduce these environmental impacts.

Eligible Projects

- Detention and sediment basins
- Stream channel stabilization
- Storm drain stenciling and river clean-ups
- Water pollution studies

- 10. Wildlife Mortality Mitigation** — Wildlife Mortality Mitigation allows communities to decrease the negative impact of roads on the natural environment. Roads can harm wildlife through habitat fragmentation and vehicle-caused wildlife mortality.

Eligible Projects

- Wetlands acquisition and restoration
- Stream channel stabilization
- Wildlife underpasses or overpasses which may include bridge extensions to provide or improve wildlife passage and wildlife habitat connectivity
- Monitoring and data collection on habitat fragmentation and vehicle-caused wildlife mortality

Ineligible Projects

Per MAP-21, and as described above, eligible activities have changed from those in Transportation Enhancements. Notably, formerly eligible items and activities such as transportation museums and general education programs for bicyclists and pedestrians are no longer eligible. Bicycle and pedestrian education programs for students in kindergarten through the eighth grade remain eligible, through provisions in MAP-21 to extend eligibility for SRTS items and activities defined in SAFETEA-LU. Landscaping and scenic beautification are no longer eligible to be the focus of a project; however, landscaping may be done as a complement to, or incidental component of, any highway project, including TAP projects. While there is a little flexibility, landscaping should generally be immediately adjacent to infrastructure improvements and reasonable in terms of expanse and cost.

Project Eligibility Determinations

Project sponsors should design projects that clearly fit into the eligible categories defined in this document. PennDOT's Center for Program Development and Management (CPDM) will make the final determination on statewide project eligibility and will disallow any project that is not clearly eligible; the onus is on the sponsor to present – through their application – how the project aligns with the guidelines for eligible project activities.

Pre-Application Eligibility Determinations

This document (including [Appendix A](#)) provides general guidance on project eligibility, but conceptual TAP projects may occasionally fall into a “gray area” and will require an eligibility determination. While all projects will be reviewed for eligibility once submitted, sponsors wishing to have eligibility determined before submitting an application may submit a pre-application Eligibility Request through the [PennDOT Competitive Transportation Funding](#) site. Once registered, the project sponsor will select “Add new item” underneath TAP Eligibility Requests. Once the sponsor fills out the form and selects “Submit Determination”, the determination form flows to the corresponding Planning Partner then District for additional input before being delivered to Central Office.

Central Office will perform pre-application eligibility determinations through December 4, 2015. Once submitted, Central Office will provide an eligibility determination within a week of receiving the request.

Please note: *The pre-application eligibility form is only for projects where eligibility is in question. Projects that conform to the project types listed in [Appendix A](#) of this document do not require pre-application review.*

Project sponsors may access the TAP Eligibility Determination on the PennDOT Competitive Transportation Funding site: <https://sportal.dot.pa.gov/Planning/AppReg/Pages/SiteUser.aspx>. First time users will be automatically redirected to the signup page first. Once the project sponsor submits this form, it will flow to their Planning Partner, to the District, and then to Central Office.

Large MPO Eligibility Determinations

Projects submitted within large MPO areas (> 200,000 population) will be reviewed for eligibility by the MPO using their own guidance. Alternatively, the MPO may use statewide project eligibility guidelines.

If a large MPO cannot reach a consensus while working with their respective PennDOT District Office on a particular project’s eligibility, they may contact Central Office for assistance.

Sponsor Eligibility

MAP-21 not only changed which project activities are eligible, it established new guidelines for which entities may sponsor a TAP project. Non-profit organizations, State DOTs, and MPOs/RPOs are no longer eligible project sponsors; however, they’re encouraged to work with eligible sponsors to advance projects where there is a shared interest. In MAP-21, eligible TAP sponsors include:

1. local governments;
2. regional transportation authorities;
3. transit agencies;
4. natural resource or public land agencies, including Federal agencies;
5. school districts, local education agencies, or schools;

6. tribal governments; and
7. any other local or regional governmental entity with responsibility for oversight of transportation or recreational trails (other than a metropolitan planning organization or a State agency) that the State determines to be eligible, consistent with the goals of subsection (c) of section 213 of title 23.

To date, PennDOT has deemed entities as eligible TAP project sponsors if they meet the criteria above and are not registered as a 501(c) organization.

As state DOTs are responsible for interpreting sponsor eligibility beyond those entities clearly defined in MAP-21, PennDOT has determined that the following entities are eligible to sponsor a TAP project:

1. County Recreational Trails Authorities
2. County Recreational Authorities
3. Urban Redevelopment Authorities

In addition to the authorities noted above, PennDOT recognizes “municipal authorities” as eligible sponsors, but only when the authority’s establishing document specifically cites transportation or recreation as a stated purpose. Industrial development authorities, for instance, would not be eligible.

Project Sponsor Expectations and Requirements

It is incumbent upon each project sponsor to read this guidance and become familiar with the application, selection, and implementation procedures associated with the TAP. Applying for federal funds begins a significant undertaking, which must be led by the project sponsor from start to finish. Projects that are not able to navigate the federal requirements within two years of award will be subject to forfeiture of awarded funds and project cancellation. For more information on project implementation deadlines, please see the [Delivery Schedule](#) section of this document.

An overview of the requirements and process for a locally-led project can be found in PennDOT Pub 740: Local Project Delivery Manual: <http://www.dot.state.pa.us/public/pubsforms/Publications/PUB%20740.pdf>. This manual describes the PennDOT local project implementation process and requirements of federally funded projects, such as those funded with TAP.

Most importantly, project sponsors are strongly encouraged to coordinate with their respective Planning Partner and PennDOT District Office in the development of projects before application submission; this is where successful partnerships and projects begin, so foster this relationship early on. [District TAP Contacts](#) and [Planning Partner TAP Contacts](#) are found at the end of this document.

FFY 2016 TAP Application Collection and Distribution

In anticipation of 2017 Transportation Improvement Program (TIP) development, CPDM will initiate one statewide call for applications for all available TAP funds, including funds allocated to areas <200,000 population and “any area” funds.

Much like past statewide calls for applications, PennDOT Central Office will develop several core documents, including program guidance, an application, application instructions, and frequently asked questions. Beginning on November 2, 2015, all documents will be available on the PennDOT’s Competitive Transportation Funding site:

<https://spportal.dot.pa.gov/Planning/AppReg/Pages/SiteUser.aspx>.

Open Application Period and Application Submission

Beginning on November 2, 2015, sponsors will have approximately two months to access application materials and submit an application along with any supporting documents. Prior to application submission, sponsors are encouraged to work with their local PennDOT District Office and Planning Partner to ensure that the project is eligible, deliverable, and cost effective.

All applications must be electronically submitted through the PennDOT Competitive Transportation Funding site: <https://spportal.dot.pa.gov/Planning/AppReg/Pages/SiteUser.aspx>. All application and attachments must be received no later than 4:00 PM on Friday, January 8, 2016. As late applications are not considered, it is recommended that you do not wait until the last minute to submit your application.

Statewide TAP Project Review Process

Large MPOs

As MAP-21 provides large MPOs (>200,000 population) with TAP funds and the authority to administer their own competitive selection procedure, applications received from these regions will be distributed to the MPOs for their consideration.

Large MPOs are responsible for developing program guidance, eligibility criteria, and a project scoring and selection procedure that reflects regional priorities. Alternatively, a large MPO may opt to use the competitive selection process and materials developed by CPDM for the statewide program (discussed below).

When the competitive process and materials have been developed, the MPO must submit them to CPDM for review, in partnership with FHWA, to confirm that a required competitive process for eligible projects was used.

In summary, the MPO must submit three documents to Central Office no later than November 25, 2015:

1. The MPO's competitive selection process
 - a. Persons involved in project review, scoring and selection
 - b. A summary of the process
 - c. A scoring matrix or weighting criteria
2. Regional program guidance
3. A list of eligible project activities

Once project eligibility is reviewed by Central Office (January 11th – 15th), large MPOs will have three months (January 15th through April 15th) to competitively award projects up to their total TAP regional allocation. Alternatively, an MPO may elect to award less than their total available TAP funds and use the reserved amount to cover unanticipated costs, such as unforeseen project cost increases.

Once each large MPO has finalized their regional project selection, they will submit a list of all awarded projects to Central Office. For projects that were not selected at the regional level, the MPO is encouraged to provide rankings and comments for all projects to assist the statewide selection committee.

Small MPOs and RPOs

Through the TAP, PennDOT is charged with administering a statewide competitive project selection process for all areas with a population less than 200,000. PennDOT will combine these funds with the 50% "any areas" funds to administer this competitive application round.

After the application period closes on January 8, 2016 PennDOT will review all applications for eligibility and then ensure that all applications (and any associated attachments) received from each region are provided to the appropriate Planning Partner through SharePoint. It is anticipated that all applications will be available to Districts and Planning Partners no later than January 15th.

To get the regional perspective on TAP projects, PennDOT asks that all Districts work with their Planning Partners to review, rank, and comment on all projects received in each planning region. Planning Partners may use the [Statewide Project Selection Criteria](#) to review projects, or they may score them based on regional priorities. A scoring matrix will be provided to all Planning Partners when applications are distributed. ***Local input at this stage is vital to identifying regionally significant, deliverable projects in each planning area.***

PennDOT requests that all rankings and comments are provided to Central Office no later than April 1, 2016.

Statewide Selection Process

To score projects received from across the state, PennDOT will utilize its sound land use/transportation planning principles, which encourage transportation investments that are tailored to important local factors, including land use, financial concerns, and the overall community context. Projects will also be

scored on their ability to support environmental justice principles (<ftp://ftp.dot.state.pa.us/public/pubsforms/Publications/PUB%20737%20Exec.pdf>) and enhance local or regional mobility.

To expedite project implementation, PennDOT will place emphasis on projects that are “justifiably deliverable” within the first two years of the 2017-2020 Transportation Improvement Program (TIP) timeframe, meaning projects that will be ready for construction no later than September 30, 2018. Projects with complex right-of-way, utility, environmental, public support, or other issues that would add cost or delay delivery will score lower and are less likely to be selected. If available, plans sets or other documents showing preliminary design work should be submitted with the application package.

In an effort to reduce the number of bicycle and pedestrian injuries and fatalities, safety will also be an area of emphasis. Projects that address a documented safety need and incorporate appropriate countermeasures will receive additional consideration for statewide TAP funds. A documented safety need may come from a variety of records or studies, including

- Crash reports
- Hazardous Student Walking Routes Assessments
- Walking and Bicycling Assessments
 - Walkable Communities Program
 - SRTS Walkability Studies

Given the effort and expense of delivering federally-funded projects, a construction value of at least \$50,000 is required for all projects applying for statewide TAP funding. This limit does not apply to small, materials only purchases that are installed by local forces. Examples could include bicycle repair stations, simple lighting projects (without trenching), and small trail improvements where all work is performed by local forces.

Additionally, a “soft cap” of \$1 million will apply for all projects selected through the statewide call for applications. A “soft cap” means that projects with a construction value over \$1 million must be of exceptional value and describe – through their application – why additional project expense is justified. “Exceptional value” may describe a project that closes a major transportation gap, addresses a significant safety concern or benefits a substantial amount of users.

In addition to deliverability and cost, the projects will also be scored on additional criteria, which can be found [Appendix B](#). Using these scoring criteria, a statewide project selection committee will review, score, and provide comments on all projects received from across the state, including those not selected in large MPOs. The committee will consist of representation from at least the following:

- PennDOT
 - Program Center
 - Policy Office
 - Bureau of Maintenance and Operations (safety)
 - Municipal Services
 - Project Development Engineer

- Bike Ped Coordinator
- Department of Conservation and Natural Resources (DCNR)
- Pennsylvania State Trails Advisory Committee Member
- Pennsylvania Department of Education
- A member from an MPO
- A member from an RPO

After the open application period closes on January 8, 2016, all selection committee members will provide project application scores and comments in advance of the final project selection meeting to be held in April 2016.

Project Funding

The TAP is funded on an 80% federal, 20% state/local cost share basis. As in past TE and TAP rounds, the applicant pays the costs for all pre-construction (design, environmental, right of way, utility) activities, with all construction and construction inspection activities paid from the federal share up to the amount approved for the project. ***The project sponsor is responsible for any costs exceeding the project application award amount.***

The TAP is not a grant program and no money is provided upfront. Approved costs will be reimbursed only after a Federal Form D-4232 is authorized for the project; no activities or construction performed prior to this federal clearance are reimbursable. The 4232 is discussed in greater detail on page 17 in the Reimbursement section.

Once a project is authorized to advance and begins to incur costs, the project sponsor will receive periodic invoices from the contractor that was selected (through a PennDOT approved process) to construct the project. The project sponsor then reviews and approves these invoices before submitting them to PennDOT for payment. PennDOT processes the payment and provides payment to the sponsor, who in turn pays the contractor. The sponsor will only be reimbursed for actual approved project expenses, up to the amount approved for the project.

Non-construction Projects

Some projects do not involve any construction, such as right-of-way acquisition (rail-trails, turnouts, and overlook projects *only*) or SRTS noninfrastructure activities. For right-of-way acquisitions, sponsors must meet these conditions:

- Provide a conceptual build out of the entire project, including:
 - Access
 - Parking
 - Logical Termini

- Phasing
- Identify funding for the entire area to be acquired
- Obtain environmental clearance for the area to be acquired and developed

In cases of right of way acquisition, the sponsor pays for all pre-acquisition activities, including development of a right of way plan. PennDOT will pay 100% of the right of way acquisition costs. While PennDOT will pay for right of way acquisition for certain projects (overlooks, turnouts and rail-trails only), the acquisition must be part of a larger, funded project that can go to construction within a reasonable period of time. Local, state, and or federal sources of funding should be identified for *all* project phases.

For SRTS noninfrastructure projects, the sponsor shall pay for all activity planning, coordination and development. PennDOT will fund the actual activities (such as a bicycle rodeo, equipment, educational assembly, safety outreach program, etc.) or items (e.g. crossing guard equipment) at 100%.

Website

A public website has been developed to provide general information and all the resources necessary for the TAP program, including Program Guidance, Applications, References, and contact information. The website is accessed from the Center for Program Development and Management's Competitive Transportation Funding site: <https://sportal.dot.pa.gov/Planning/AppReg/Pages/default.aspx>.

Delivery Schedule

Statewide Application Round

Projects selected during the 2016 TAP statewide application round must have contract documents that are ready to be advertised by September 30, 2018. For projects that do not meet this deadline, PennDOT reserves the right to cancel the projects and use funds for other projects that applied to the statewide application round.

Large MPO Funding Rounds

Large MPOs are strongly encouraged to establish firm deadlines to ensure projects are delivered in a timely manner. To ensure that project sponsors are aware of the regional goals and expectations, the anticipated project delivery timeline should be included in regional TAP Program Guidance. This timeline and notification process should be reiterated at the project kickoff meeting.

Expediting Project Delivery

Since project implementation involves the sponsor, PennDOT District Office, and MPO/RPO, it is important that all three partners are on board with the implementation process and project delivery schedule.

To keep projects moving and keep funds flowing to local programs, it is strongly recommended that the regional partners select projects that can be delivered within a few months of project award. Selecting marginal or questionable projects can make project implementation difficult and prevent funds from being used on “ready-to-go” projects.

Timeline

Milestone	Responsible Party	Date
Guidance and Applications Available on Website	Central Office	11/2/2015
Application Cycle Opens	Central Office	11/2/2015
Large MPO Selection Materials Due	Large MPOs	11/25/2015
TAP Eligibility Form Due for Pre-Application Eligibility Determinations	Project Sponsor/Planning Partner/District	12/4/2015
All Project Applications Due	Project Sponsors	1/8/2016
Anticipated Availability of Program Applications and Attachments for Review	Project Sponsors/Districts	1/15/2016
All MPO/RPO Comments Due for All Applications	Planning Partners/Districts	4/1/2016
Large MPO Project Selections Due	Large MPOs	4/15/2016
TAP Project Selections Complete	Central Office	5/30/2016

Other Regulatory Requirements

There are a number of State and Federal regulatory requirements that apply to this program. Most, if not all, of these requirements (competitive bidding, minority business participation, Davis Bacon Act, prevailing wage rates and Americans with Disabilities Act) can be unfamiliar to project sponsors. In most cases, for compliance with environmental regulations during preliminary engineering, it is expected that project sponsors will secure professional assistance (consulting engineers, landscape architects) to assist them in satisfying these requirements and advancing their project. PennDOT District staff should be contacted to assist with the interpretation and application of these requirements.

In addition, sponsors must be familiar with PennDOT Pub 740 - Local Project Delivery Manual: <ftp://ftp.dot.state.pa.us/public/pubsforms/Publications/PUB%20740.pdf>.

A list of some of these requirements, as well as a brief discussion of each, follows.

Agreements and Eligible Costs

The project sponsor must execute a standard legal agreement with PennDOT prior to proceeding with any work on the project. Any project costs incurred prior to the execution of a reimbursement agreement for which federal dollars are requested will **not** be eligible for reimbursement. PennDOT will provide guidance, if requested. Interest payments made by municipalities or other project sponsors to finance any portion of the project costs are **not** reimbursable.

Budget

The sponsor must present a well-defined scope of work, which lays the foundation for an accurate budget. Budget considerations are very important and an itemized list of anticipated expenses (including labor, supplies, materials and other anticipated costs) should be provided in an application attachment. The budget must be prepared and should be divided into project development phases that include environmental clearance, right-of-way, and construction phases. The budget should identify all sources of funding and how each itemized activity will be funded. Estimated funding for the project that may be from sources other than TAP should be identified, such as other federal funds (not the US DOT), state, local, donated services, in-kind services, volunteer and Youth Conservation Corps. Even though the preconstruction activities (for example - preliminary engineering and right-of-way) are not funded by program funds, a complete budget is needed to ensure that the applicant can fund the required project phases.

Project sponsors must design their project cost estimates for the year in which the project is anticipated to be delivered, not the year that the application is submitted.

Project inspection costs must be included in the total construction costs. For projects under \$1 million in total construction costs, 15% is typically added for project inspection. If a project has a construction cost of over \$1 million, 12% is more typically assumed for the inspection cost.

As sponsors develop their estimated budget, ***it is highly recommended*** that they talk with PennDOT Engineering District staff and other professionals familiar with PennDOT policies and regulations, such as architects, designers, engineers, contractors or other appropriate individuals that have PennDOT project experience. ***Project sponsors are responsible for all costs overages, including those caused by inaccurate or incorrect project cost estimating.***

Linking Planning and NEPA (LPN) Process

As compliance with the National Environmental Policy Act (NEPA) is a requirement for all federally-funded projects, PennDOT developed the LPN system to help identify known environmental and cultural resources in close proximity to proposed project locations during the planning phase. The LPN process is an electronic, collaborative system that captures input from local shareholders, including municipal, planning region, and PennDOT District staff. This collaboration also teases out transportation problems, land use and other contextual issues associated with the proposed project, which may affect project cost, schedule and scope.

Use of the LPN system ***is required for all projects*** that are adopted onto each planning region's TIP – a point which was reiterated in [September 8, 2015 letter from PennDOT Secretary Leslie Richards](#). While not a requirement of application for TAP funds, it is highly recommended that project sponsors contact their [MPO or RPO TAP Coordinators](#) to learn more about the LPN process.

Planning Partner and District staffs are strongly encouraged to utilize the LPN Planning Cost Estimating Report, which can be found in the LPN screening form system.

Reimbursement

The TAP is a federal cost reimbursement program and no money is provided upfront. No reimbursement will be provided for costs incurred before a Federal Form 4232 is authorized; ***this does not occur automatically once a project is awarded.***

The Form D-4232 (commonly referred to as simply “4232”) is the mechanism by which the Federal Highway Administration (FHWA) authorizes spending of the federal funds and establishes the date of eligibility for funding project activities. PennDOT staff will prepare the necessary fiscal documents to secure the federal authorization of funding. However, this does not mean that FHWA is obligated to reimburse the sponsor if it is found that the federal laws or regulations were not followed. In this event, the project sponsor will be left to fund the project at 100 percent.

PennDOT utilizes a “certified invoice” process whereby project sponsors, upon receipt of invoices for project activities, certify their accuracy and immediately forward them to PennDOT. PennDOT will then initiate a procedure to pay the sponsor. Upon receipt of a check from PennDOT (usually 4-6 weeks), the sponsor pays the contractor within ten days after getting reimbursed from PennDOT. By using this process, the project sponsor does not have to use its own funds.

In order to receive reimbursement for approved TAP project expenses, the sponsor will need to become a registered business partner in the Electronic Construction Management System and become a vendor in the SAP system.

Electronic Construction Management System (ECMS)

[ECMS](#) is an internet-based computer system used to manage the design and construction of PennDOT projects. The Local Project Sponsor is required to register as a PennDOT Engineering and Construction Management System (ECMS) [Business Partner](#). Any organization that has a business relationship with PennDOT related to Construction Contracts or Consultant Agreements is required to register as a business partner.

If not registered as a vendor with the Commonwealth, the Local Project Sponsor must acquire a vendor SAP number ([Commonwealth of PA Vendor Registration](#)). Any organization that will receive payments from the Commonwealth of Pennsylvania or that will receive grant or loan money from the Commonwealth, must have an SAP number for the payments to be processed.

The vast majority of local projects are bid by PennDOT in ECMS, on behalf of the Local Project Sponsor. Generally, plans are prepared according to [Publication 14M, Design Manual 3, Plans Presentation](#). It is important for Local Project Sponsors to seek assistance from the designated [District Project Manager](#) regarding the use of ECMS.

In the rare instance that a project is not bid by PennDOT in ECMS (known as a paper let) the Local Project Sponsor must request approval in writing. A request letter must be submitted to the designated PennDOT District Project Manager at the onset of the Project Development Process. The PennDOT District Project Manager then determines eligibility and obtains approval from PennDOT Central Office.

Public Involvement

Early and continued public involvement in program activities will need to be sought to ensure consistency with the requirements for public involvement in the metropolitan and statewide planning regulations and with the National Environmental Policy Act (NEPA) project implementation guidelines. The applicant should contact their local transportation planning agency (MPO or RPO) for more information or to obtain a copy of their Public Participation Plan. Generally, the public involvement activities handled through the application review and approval process by the MPO and RPO fulfills this requirement. However, the project sponsor should discuss their project locally in a public format, such as at local planning commission and/or municipal meetings.

Environmental Clearance

All projects will require an environmental clearance document as part of the preliminary engineering phase of work. The process is outlined in PennDOT Pub 10B – Part 1B: ftp://ftp.dot.state.pa.us/public/Bureaus/design/PUB10/PUB10B/Pub10B_Cover.pdf. The level of effort varies by the type of project, the anticipated impact and the degree of public controversy. The NEPA documentation may be a Categorical Exclusion (CE), Environmental Assessment (EA), or Environmental Impact Statement (EIS). Except in unusual circumstances, most TAP projects are usually processed as a CE under the NEPA. Preparation of the document can be a cooperative venture: Normally, at the project

scoping, a decision will be made on the type of documentation required and which entity will prepare the document. The project sponsor or their consultant will be required to prepare the environmental clearance document.

There may be costs associated with obtaining environmental clearance. These costs, like all pre-construction expenses, must be borne by the project sponsor. Please discuss this with your PennDOT Engineering District TAP Program Coordinator PRIOR to submitting an application. District TAP Coordinators are listed in [Appendix C](#).

Consultant Selection, Project Design, & Inspection

Projects must follow standard federal/state procedures for all phases of work. Project sponsors should acquire the services of a qualified consultant to oversee the development and implementation of the project (including project inspection) and ensure compliance with all state and federal requirements. This professional is typically an engineer, although an architect or landscape architect may be appropriate, depending upon the nature and scope of the project. It is important to recognize that the project sponsor, not PennDOT, employs the design and/or construction professionals.

It is highly recommended that the selected consultant has experience with PennDOT specifications and has demonstrated experience in the successful delivery of TE, SRTS, PCTI, or TAP projects. Expedient, accurate design lessens the chance that the project will not meet the two year deadline for TAP projects to advertise. Projects that are not advertised within two years are subject to cancellation.

Treatment of Projects

Projects funded through the TAP must conform to 23 U.S.C. Section 213(c):

(c) Treatment of Projects.—Notwithstanding any other provision of law, projects funded under this section (excluding those carried out under subsection (f)) shall be treated as projects on a Federal-aid highway under this chapter.

The “treatment of projects” requirement (23 U.S.C. 213(c)) means that all projects carried out using TAP funds (except for recreational trails projects carried out under the RTP set-aside) must comply with applicable provisions in Title 23, such as project agreements, authorization to proceed prior to incurring costs, prevailing wage rates (Davis-Bacon), Buy America, competitive bidding, and other contracting requirements, regardless of whether the projects are located within the right-of-way of a Federal-aid highway.

Subsection 213(f) refers to the Recreational Trails Program (RTP) set-aside. Subsection (c) does not apply to projects funded under the RTP set-aside, but applies to any other recreational trail project using TAP funds.

Design and Implementation Requirements

The design requirements for TAP projects are defined in PennDOT Pub 10 (Design Manual 1): ftp://ftp.dot.state.pa.us/public/Bureaus/design/PUB10/DM1_Series_Title_Page.pdf. Specifically, Chapters 6 and 7 address key design requirements, including NEPA requirements, preliminary and final design processes, and key procedures for obtaining right of way and utility clearances. These steps, requirements and standards ***must be followed*** by the sponsor's project designer for the project to be funded through the TAP.

Right-of-Way Clearance

All right-of-way acquisition must follow federal regulations, including the Uniform Act (Uniform Relocation Assistance and Real Property Acquisition Policies of 1970). In particular, property owners must be advised that federal funding is being used to implement the project, and they are entitled to fair market value for their property. The property owner must be informed of this value, as determined by a qualified appraiser. In addition, if the sponsor does not have the authority to acquire property by eminent domain, the property owner must be so advised prior to any offer being made. This requirement does not preclude the voluntary donation of property to the project. Federal funds are not available for land that is already within the public domain, e.g., owned by a municipality; however, such land may be donated to the project as part of the sponsor's investment. Right-of-way certification will be required for all projects prior to advertising for construction bids.

NOTES:

- The requirements of the Uniform Act apply to any acquisitions associated with approved TAP projects, regardless of whether federal funds are used for the purchase or not. Please contact your PennDOT Engineering District Right-of-Way Administrator if you have any questions or need specific guidance.
- Only projects for conversion of abandoned railway corridors and scenic overlooks are eligible to use program funds for right-of-way acquisition. See the [Project Funding](#) section of this document for more details on acquisition only projects.
- More information is available in Chapter 5, Right of Way Phase, of the Local Project Delivery Manual: <ftp://ftp.dot.state.pa.us/public/pubsforms/Publications/PUB%20740.pdf>.

Utility Clearance

All projects ***must have*** a utility clearance form (PennDOT Form D-419) processed *prior* to the advertisement for bids. This procedure requires that the sponsor certify that all necessary arrangements have been completed for the relocation of any affected utility. PennDOT personnel will provide assistance with this process.

Permits

It will be the responsibility of the project sponsor to secure all necessary permits to design and implement the project. These may involve permits from the Pennsylvania Department of Environmental Protection, the U.S. Army Corps of Engineers, as well as local municipal permits. The assigned PennDOT District Project Manager will be familiar with the permits required for each project and can provide guidance, as necessary.

Public Utility Commission Involvement

Certain projects may require the involvement of the Public Utility Commission. *It will be the responsibility of the project sponsor to contact the Public Utility Commission to secure the necessary actions by that agency.*

Lighting

For **any** project that includes lighting, a lighting plan will be required, which may add time and cost to your project. For more information, reference Chapter 4.9, Section H of the PennDOT Design Manual Part 1C: ftp://ftp.dot.state.pa.us/public/Bureaus/design/PUB10/PUB10C/Pub10C_Cover.pdf.

For guidance specific to TAP projects, please reference “PennDOT Highway Lighting Requirements and Design Approval for TAP Projects” document, which is found in [Appendix F](#). Your PennDOT District TAP Coordinator will also be familiar with these requirements.

Bidding

For projects that require a contractor to perform physical construction or rehabilitation, the sponsor’s professional will assemble the contract proposal package. PennDOT’s Engineering District Office will review the Plans, Specifications, and Estimate (PS&E) package. The project sponsor or PennDOT will manage the bidding as agreed upon at the project kickoff meeting.

Construction

Project sponsors may proceed with the construction phase of the project only upon receipt of PennDOT’s written authorization (notice to proceed), which ensures that all necessary approvals have been secured. An approved contractor must perform construction. All material used in conjunction with the project must meet project specifications and special provisions included in the Plans, Specifications, and Estimate package.

NOTE: 15% of the estimated construction cost is used for project inspection. The 15% *must* be included in the Total Construction Costs.

Cost Increases/Changes in Scope of Work

Each programmed project has been approved for a specific scope of work and funding level based on the information submitted by the project sponsor. When preparing a project scope and cost estimate, all project materials and labor costs should reflect anticipated year of construction. It should not be assumed that cost increases can be covered with state or federal funds. There may be cases where the sponsor must bear any unforeseen project cost increases.

Maintenance

The project sponsor will be responsible for all costs associated with the maintenance and operation of the project after construction. No TAP funding will be provided for ongoing maintenance and operations costs. Failure by the sponsor to fulfill its maintenance responsibilities may result in the loss of future state and federal funds for private sponsors and the withholding of liquid fuels funds for municipal sponsors. The transfer of project maintenance and operation can be transferred to another party with concurrence by the Department. For more information, please see the Maintenance Exhibit from the TAP Reimbursement agreement in [Appendix E](#).

The sponsor may charge a fee to access a facility construction with TAP funds **only** if the proceeds from the fee are not excessive to the general public and, by agreement, are instituted for the maintenance and operation of the TAP funded resource. Generally, this fee applies only to historic transportation facilities and, in some unique circumstances, trails.

The sponsor must establish a formalized inspection and maintenance program, to be performed by its own or contract personnel, to ensure an acceptable level of physical integrity and operation consistent with the original design standards. This maintenance program, established in accordance with standards determined to be acceptable to PennDOT, must include, but is not limited to:

- Periodic inspections
- Appropriate preventive maintenance (i.e., cleaning, lubricating, refurbishing electrical equipment, etc.)
- A systematic record-keeping system
- The means to handle notification and implementation of emergency repairs

Failure by the project sponsor to fulfill its maintenance responsibilities may result in the loss of future state and federal funds.

Progress Monitoring and Project Cancellation

One year after the kickoff meeting, a project review will be undertaken by joint staff (PennDOT CPDM, PennDOT Districts and representatives from the local MPO or RPO) to determine if significant progress has been reached on each TAP project. The joint staff will choose the time frame and the specific milestones to be evaluated. Examples include reimbursement agreement, plans approved, etc.

During the review, if it is determined that insufficient progress has been made, the applicant will be warned in writing that more time (joint staff decision) will be allowed. If no progress occurs, the project may be removed from the program. When a decision to warn the applicant is reached, the CPDM will notify the applicant within 30 days of such a decision. The applicant must respond in writing within 30 days. Milestone dates for estimated project completion will be included in the application. The applicant will submit periodic reports on the project process with the frequency of these reports to be determined by joint staffs.

A project sponsor may, at any time in the project development process, decide to cancel the project and drop out of the program. The project sponsor will be responsible for the reimbursement of all federal funds received as of that date, as well as for PennDOT staff costs incurred as a part of the project. The sponsor will also be responsible for payment of all outstanding invoices to all project contractors.

Anticipated Roles

Central Office

- Create statewide guidance and policy, and share with MPOs and RPOs
- Develop and maintain a website with general information for the public, including project sponsors. <https://sportal.dot.pa.gov/Planning/AppReg/Pages/SiteUser.aspx>
- Promote the program and disseminate information to partners and the public
- Create statewide application and application guidance
- Determine project eligibility for applications competing for statewide funding
- Determine project sponsor eligibility
- Maintain a database of submitted applications and awarded projects
- Provide large MPO project eligibility determinations *only* when
 - The MPO cannot come to a consensus on eligibility using the provided guidance and
 - The Planning Partner and District work with the project sponsor to complete an Eligibility Form on the [TAP Competitive Transportation Funding](#) site.

MPOs > 200,000 Population

- Develop Regional TAP materials, such as
 - Program Guidance
 - Project Selection Criteria
 - Timeline
- Communicate funding availability to eligible sponsors
- Review and rank applications through a competitive process
- Select projects up to their regional TAP allocation
- Assure projects recommended for funding can be delivered in a timely manner by the sponsor
- Review, rank and provide comments to Central Office for all applications that were not selected locally, which will be considered for statewide TAP dollars

MPOs and RPOs <200,000 population

- Communicate funding availability to eligible sponsors
- Determine regional goals or areas of focus for their funding rounds (*optional*)
- Establish project implementation milestones for regional projects (*optional*)
- Assure that projects recommended for funding can be delivered in a timely manner by the sponsor
- Review, rank and provide comments to Central Office for all applications received from their area

Districts

- Provide support to sponsors as they develop applications
- Work with Planning Partner(s) and sponsors to submit TAP Eligibility Forms, as necessary
- Work with Planning Partner(s) to assess project cost, scope, deliverability
- Work with Planning Partner(s) to review, comment, and rank applications
- Work with sponsors to successfully deliver selected projects

Coordination with Central Office

Chris Metka will be overseeing PennDOT's TAP and assisting with questions related to the program.

Chris Metka | Transportation Alternatives Coordinator
Pennsylvania Department of Transportation
Center for Program Development and Management
400 North Street, 6th Floor | Harrisburg PA 17120
Phone: 717.787.8065 | Fax: 717.787.5247
cmetka@pa.gov

Appendix A

Eligible Projects

1. Bicycle and Pedestrian Facilities

- New or reconstructed sidewalks, walkways, or curb ramps
- Pedestrian and bicycle signs or signals
- Lighting that primarily benefits cyclists and pedestrians
- Transportation projects that achieve ADA compliance
- New or reconstructed off-road trails
- Crosswalks, bicycle lanes or sharrow pavement markings
- Wide paved shoulders
- Bicycle parking facilities, bus bicycle racks, or bicycle share programs
- Shared use paths, side paths, trails that serve a transportation purpose
- Bicycle and pedestrian bridges and underpasses
- Crossing improvements that shorten crossing distance, provide access, and/or primarily improve bicycle and pedestrian safety
- Traffic realignments or intersection changes that improve bicycle and pedestrian access or safety
- Pedestrian related transit improvements
- Road diets, when they serve to primarily benefit cyclists and pedestrians

2. Bicycle and Pedestrian Education (grades K-8 only)

- Public awareness campaigns and outreach to local media, community leaders, and/or use of social media
- Traffic education and enforcement in the vicinity of schools
- Student sessions on bicycle and pedestrian safety, health, and environment
- Funding for training, volunteers, and managers of safe routes to school programs
- Crossing guard supplies (vests, gloves, STOP paddles, cones)
- Walk to School Day activities or materials
- Presentations or assemblies on safe walking and bicycling
- Walk with a cop or similar programs involving local, regional, or state police

3. Conversion of Abandoned Railway Corridors to Trails

- Planning, designing, and constructing multi-use trails along a railroad right-of-way
- Major reconstructions of multi-use trails along a railroad right-of-way
- Developing rail-with-trail projects, where there is an adjacent line that is no longer active
- Purchasing unused railroad property when a plan exists to develop the purchased corridor

4. Construction of Turnouts, Overlooks, and Viewing Areas

- Construction of turnouts, overlooks, and viewing areas
- Interpretive signage or kiosks explaining site significance
- Right of way acquisition for such facilities may be considered

5. Outdoor Advertising Management

- Billboard inventories, including those done with GIS/GPS
- Removal of illegal and non-conforming billboards

6. Historic Preservation and Rehab of Historic Transportation Facilities

- Projects that rehabilitate, restore or improve interpretation of a historic transportation facility
- Restoration and reuse of historic buildings with strong link to transportation history
- Restoration and reuse of historic buildings for transportation related purposes
- Interpretive displays at historic sites
- Restoration of historic railroad depots, bus stations, and lighthouses
- Rehabilitation of historic rail trestles, tunnels, bridges, and canals
- Increasing accessibility to historic transportation buildings or features, in accordance with ADA guidelines
- Heating or cooling systems may be added, *but only when deemed necessary for preservation of the historic structure;*

7. Vegetation Management

- Clearing of low-hanging branches or other vegetation encroaching on a travel corridor
- Landscaping to improve sightlines or other safety considerations
- Removal of invasive species
- Planting grasses or wildflowers to manage erosion along transportation corridors
- Providing erosion control along transportation corridors

8. Archaeological Activities

- Research, preservation planning, and interpretation
- Developing interpretive signs, exhibits, and guides
- Inventories and surveys
- Archaeological excavations and surveys in conjunction with highway construction projects

9. Stormwater Management

- Detention and sediment basins
- Stream channel stabilization
- Storm drain stenciling and river clean-ups
- Water pollution studies

10. Wildlife Mortality Mitigation

- Wetlands acquisition and restoration
- Wetland banks/mitigations
- Stream channel stabilization
- Wildlife underpasses or overpasses which may include bridge extensions to provide or improve wildlife passage and wildlife habitat connectivity
- Monitoring and data collection on habitat fragmentation and vehicle-caused wildlife mortality

Appendix B

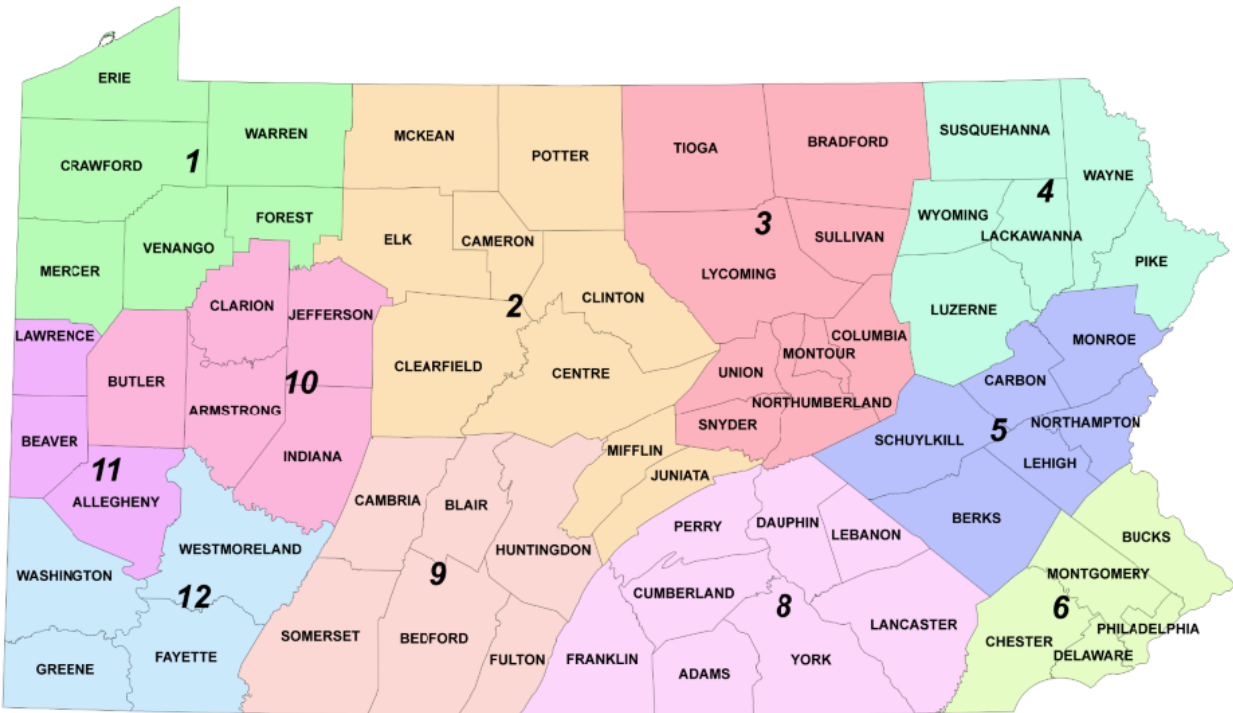
TAP Statewide Project Selection Criteria

1. **Statewide or regional significance of project.** Will this project or activity enhance mobility? Does the project promote tourism?
2. **Integration of land use and transportation decision making.** Is this linkage strong, moderate or absent? Develop local governments as strong land use partners. Understand the context; plan and design within the context.
3. **Collaboration with stakeholders.** Does the proposed project demonstrate regional or multi-municipal cooperation? Develop local governments as strong land use partners.
4. **Safety always and maybe safety only.** Does the project address a demonstrated safety need? Is there a history of crashes or near misses, especially involving pedestrians and cyclists? Does the project propose to improve a section deemed as a Hazardous Walking Route by PennDOT?
5. **Readiness for implementation.** If the proposed project is a construction project, can it be ready for letting within two years? If it is a non-construction project/activity, can the project/activity start within one year? Does the sponsor have demonstrated experience in timely delivery of PennDOT projects? Was a preliminary plan submitted?
6. **Leverage of other projects or funding.** Does the proposed project leverage other projects or leverage funding from other state agencies, local governments, and/or community-based organizations?
7. **Consistency.** Is the proposed project consistent with and supportive of local and regional plans and initiatives?
8. **Reasonableness of cost.** Is the cost of the proposed project reasonable based on the stated scope and context of the project area? Who prepared the project cost estimate? Was the project cost estimate reviewed by the District?
9. **Teachability.** Can the proposed project provide potential best practices and related learning opportunities for municipalities and implementers on issues such as effective alternatives to motorized transportation, cost effectiveness, sound land use principles, and enhanced project delivery?
10. **Success Factor.** Is there sufficient support to see this project through to fruition? Does the sponsor have demonstrated success in delivering PennDOT projects? Is there a project champion or regional support to keep the project on track? Are design funds available now?

11. Environmental Justice/Entitlement Communities. Would the project address the effects on minority populations and low-income populations? If negatively impacted, how is this impact being mitigated? Would an Environmental Justice community benefit from the proposed project? How? For more information, talk with [your MPO](#) and see PennDOT's Environmental Justice Handbook: <ftp://ftp.dot.state.pa.us/public/pubsforms/Publications/PUB%20737%20Exec.pdf>.

Appendix C

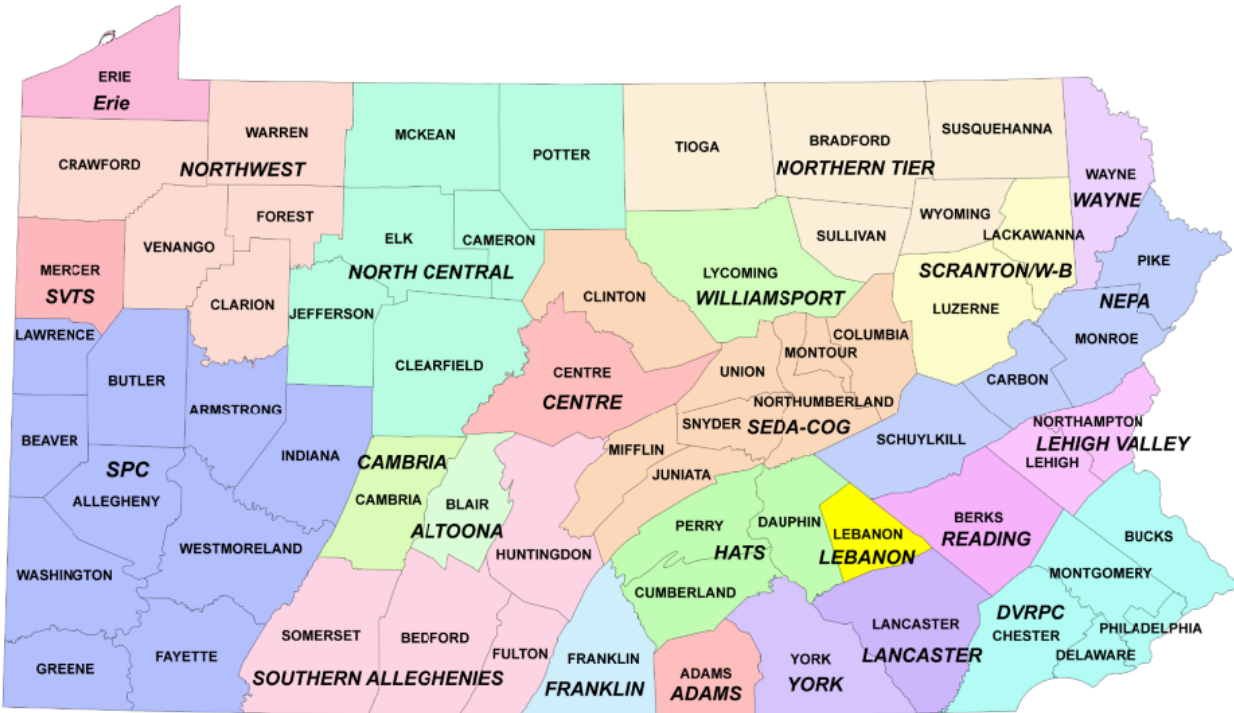
PennDOT Districts and TAP Coordinators



District	Contact	Email	Phone
1	Lyndsie DeVito	ldevito@pa.gov	814-678-7174
2	Vickie Rusnak	virusnak@pa.gov	814-765-0441
3	Chris King	chriking@pa.gov	570-368-4222
4	April Hannon	ahannon@pa.gov	570-963-4076
5	Kevin Milnes	kmilnes@pa.gov	610-871-4550
6	Ryan Gallagher	rgallagher@dvrpc.org	215- 238-2881
8	Dave Holcombe	dholcombe@pa.gov	717-783-2560
9	Charles Dean	cdean@pa.gov	814-696-6851
10	Jason Barkey	jbarkey@pa.gov	724-357-2646
11	Bob Slagel	rslagel@pa.gov	412-429-4926
12	Josh Zakovitch	jzakovitch@pa.gov	724-439-7157

Appendix D

MPO and RPO TAP Coordinators



Planning Organization	Contact	Email	Phone
Adams County MPO	Andy Merkel	amerkel@adamscounty.us	717-337-9824
Altoona MPO	Wes Burket	wlbpcpc@atlanticbbs.net	814-940-5980
Centre County MPO	Trish Meek	tmeek@crcog.net	814-231-3050
DVRPC MPO	Ryan Gallagher	rgallagher@dvrpc.org	215-238-2881
DVRPC MPO	Joe Banks	jbanks@dvrpc.org	215-238-2898
Erie County MPO	John Morgan	jmorgan@eriecountygov.org	814-451-6012
Franklin County MPO	Emily Grant	emgrant@co.franklin.pa.us	717-261-3855
HATS MPO	Andrew Bomberger	abomberger@tcrpc-pa.org	717-234-2639
Johnstown MPO	Chris Allison	callison@co.cambria.pa.us	814-472-2108
Lancaster County MPO	Lauri Ahlskog	ahlskogl@co.lancaster.pa.us	717-299-8333
Lebanon County MPO	Jonathan Fitzkee	jfitzkee@lebcnty.org	717-228-4444
Lehigh Valley MPO	Mike Donchez	msd@lvpc.org	610-264-4544
NEPA MPO	Kate McMahon	kcmcmahon@nepa-alliance.org	570-655-5581
North Central PA RPO	Tom Buck	tbuck@exchange.ncentral.com	814-773-3162
Northern Tier RPO	Brian Baker	baker@northerntier.org	570-265-9103
Northwest PA RPO	Sue Smith	sues@northwestpa.org	814-677-4800

Reading MPO	Matt McGough	mmcgough@countyofberks.com	610-478-6300
Southern Alleghenies RPO	Greg Garthe	ggarthe@sapdc.org	814-949-6543
Scranton/Wilkes-Barre MPO	Steve Pitoniak	pitoniaks@lackawannacounty.org	570-963-6400
SEDA-COG MPO	Steve Herman	sherman@seda-cog.org	570-524-4491
Shenango Valley MPO	Matthew Stewart	mstewart@mcrpc.com	724-981-2412
SPC MPO	Andy Waple	awaple@spcregion.org	412-391-5590
Wayne County	Chris Barrett	cbarrett@co.wayne.pa.us	570-253-5970
Williamsport MPO	Mark Murawski	mark.murawski@lyco.org	570-320-2138
York County MPO	Jeph Rebert	jrebert@ycpc.org	717-771-9870

Appendix E
TAP Reimbursement Agreement Exhibit Q:
Guidelines to Preparing Municipal Method of Maintenance Operations and Services

1. The MUNICIPALITY must provide for the proper maintenance of all completed project(s) under its jurisdiction. To comply with this federal requirement, the MUNICIPALITY shall establish or maintain a functional traffic engineering unit throughout the design life of all project(s).
2. A functional traffic engineering unit consists of, at a minimum:
 - (a) A competent and qualified traffic engineer; and
 - (b) A maintenance staff with at least one licensed electrician skilled in the operation and repair of traffic signal equipment.
3. To be considered capable of effectively maintaining completed project(s), the municipal maintenance staff must be provided with the proper equipment and materials necessary, at a minimum, to:
 - (a) Repair and replace worn out or damaged signal equipment;
 - (b) Install new and replace damaged or obsolete traffic signs; and
 - (c) Install or replace paint and thermoplastic pavement markings.
4. The MUNICIPALITY should evaluate its present and proposed organizational charts to determine if the MUNICIPALITY is capable of providing a functional traffic engineering unit within their government. Guidelines for considering the inclusion of a functional traffic engineering unit have been published by the Institute of Traffic Engineers (“ITE”), and should be reviewed by MUNICIPALITY in evaluating their organizational chart. The ITE guidelines make reference to the Model Traffic Ordinance (Uniform Vehicle Code and Model Traffic Ordinance, published by the National Committee on Uniform Traffic Laws and Ordinances) as being the best method of providing the legal basis for establishing a traffic engineering function.
5. If the MUNICIPALITY is unwilling or unable to provide the traffic engineering function from within its organization, the MUNICIPALITY has the option of contracting with an outside agent or agency for the required traffic engineering expertise and maintenance.
6. Functional Traffic Engineering Unit Method.
 - (a) In preparing to comply with this Exhibit, the MUNICIPALITY must select one of the following methods for providing a functional traffic engineering unit:
 - (i) Municipal Traffic Engineer and Municipal Maintenance Staff.

- (ii) Contractual Traffic Engineer and Municipal Maintenance Staff.
- (iii) Contractual Traffic Engineer and Contractual Maintenance Staff.
- (iv) Municipal Traffic Engineer and Contractual Maintenance Staff.
- (b) Depending on which method is chosen, the guidelines for the functional traffic engineering unit shall include, but not be limited to, the following:
 - (i) Municipal Traffic Engineer:
 - (1) A brief description of educational background and work experience including the length of employment as Municipal Traffic Engineer;
 - (2) A description of duties assigned and powers delegated to the Municipal Traffic Engineer under municipal ordinance; and
 - (3) A municipal organizational chart showing the Traffic Engineer's position in the hierarchy of municipal government.
 - (ii) Municipal Maintenance Staff:
 - (1) The number of employees permanently assigned to this function and the number which may be assigned on a temporary basis;
 - (2) A brief description of the organization of the staff, including the length of time that it has been in existence; and
 - (3) A clear demonstration of the maintenance staff's ability to properly maintain and repair traffic signal equipment.
 - (iii) Contractual Traffic Engineer:
 - (1) The MUNICIPALITY's assurance that the Contractual Traffic Engineer hired is qualified and competent in all aspects of traffic engineering; and
 - (2) It will not be necessary to include the name and professional background of the individual or organization.
 - (iv) Contractual Maintenance Staff:
 - (1) A brief description of the organization to be hired, including a history of its experience in this field; and

The MUNICIPALITY's assurance that the organization is capable of properly maintaining and repairing traffic signal equipment and that it has adequate staff available in case of emergency

Appendix F

PennDOT Highway Lighting Requirements and Design Approval for TAP Projects

Under 23 U.S.C. 213(b), TAP funds may be applied to the installation of lighting for certain projects, when there is a **clearly demonstrated safety need**. Eligible projects include “on-road and off-road trail facilities for pedestrians, bicyclists, and other non-motorized forms of transportation.”

In order to facilitate the required PennDOT Highway Lighting review and approval of TAP projects, the following procedures apply:

A. INITIAL PREPARATION

1. Clearly identify the need for lighting based on safety.
 - a. Refer to recognized standards such as ANSI/IES RP-8-14 *Roadway Lighting*, IES DG-5-94 *Recommended Lighting for Walkways and Class 1 Bikeways*, AASHTO GL-6 *Roadway Lighting Design Guide* and IES G-1-03 *Guideline for Security Lighting for People, Property and Public Spaces*.
 - b. Cite the results of a local threat assessment, security study or CPTED analysis.
2. Prepare an overview of the proposed lighting for the project. Include project location, site plan, proposed design criteria, existing luminaire locations and parameters, proposed lighting locations and parameters and potential power source location(s).
3. Initiate any required proprietary and Bulletin 15 waivers with the District.

B. PRE-DESIGN MEETING

1. Coordinate with the District PM to contact the Highway Lighting group at RA-pdHwyLighting@pa.gov (‘PD, Highway Lighting’) or 717-772-3078 to schedule a Pre-Design meeting.
2. The purpose of this meeting, which can generally be handled as a 15-30 minute teleconference, is to review requirements and establish design parameters.
 - a. Light Loss Factor (LLF) to be applied to photometric calculations.
 - b. Minimum average maintained illuminance at end of rated life (ERL).
 - c. Maximum uniformity ratio (avg./min.)
 - d. Maximum veiling luminance (glare) ratio, if proposed lighting is adjacent to roadway or street.
 - e. For LED luminaires, the proposed ERL (to be coordinated with the municipality) and the method required to calculate the corresponding LLF to be applied to each luminaire.
3. Prepare and distribute (electronically) the Pre-Design Meeting minutes within one week of the meeting.

C. PRELIMINARY LIGHTING REPORT AND PLANS

1. Prepare and submit Preliminary Lighting report and plans to RA-pdHwyLighting@pa.gov. The purpose of the Preliminary Lighting submission is to

- establish pole/luminaire locations (based on photometric calculations) and the proposed power supply location.
2. The Preliminary Lighting Report for TAP projects should include the following:
 - a. Design criteria as established by the Pre-Design Meeting.
 - b. Type, wattage, IES distribution, mounting height (above the pavement) and overhang (from edge of pavement or curb) for each proposed luminaire.
 - c. LLF as calculated for each proposed luminaire. Refer to Pub 13M (DM-2), Chapter 5.2. LLF includes both the MF (maintenance or dirt factor) and the lamp lumen depreciation (LLD).
 - i. For HPS luminaires, the MF is assumed to be 0.8 and the LLD is 0.8 for a LLF of 0.64.
 - ii. For Metal Halide (MH) luminaires, consult the Highway Lighting group.
 - iii. For LED luminaires, provide documentation for each proposed manufacturer's product for the calculation of the LLD, based on LM-79 approved methods and extrapolations of results to ERL based on TM-21. The MF is assumed to be 0.8.
 - d. Complete photometric calculations for the entire walkway or path, broken into sections as required.
 - i. Average maintained illuminance at end of rated life (ERL).
 - ii. Uniformity ratio (UR).
 - iii. Minimum fc.
 - iv. Veiling luminance ratio (if required).
 - e. Electronic copies of the .ies files from an accredited Testing Laboratory.
 - f. Proprietary and Bulletin 15 waiver requests.
 - g. Copy of the energy and maintenance agreement with the local government.
 - h. Other information as required from the pre-design meeting.
 3. TAP Preliminary Lighting plans should include the following - from Pub 10C (DM-1C) Chapter 4, page 4-35 and Pub 13M (DM-2) 5.3, page 5-5:
 - a. Legend of symbols used, scale and date. Plan scale 1"=50' or 1"=100'. Other scales may also be used as appropriate for project conditions.
 - b. For projects on or adjacent to roadway or street, shoulder and curb lines, guide rail types and setback from roadway.
 - c. Lighting pole locations by stations.
 - d. Location by station and parameters of existing lights.
 - e. Overhead and underground electrical utilities (for locating power supplies and avoiding conflicts with overhead lines).
 - f. Existing to remain and proposed new trees.
 4. The Preliminary Lighting Report will be returned with comments for revision and resubmission.
 5. Resubmit the Preliminary Lighting report and plans until all comments are satisfactorily addressed and approval is given by the Highway Lighting group and the District to proceed with the Final Lighting document preparation.

D. FINAL LIGHTING SUBMISSION

1. After obtaining approval of the Preliminary Lighting design, prepare Final Lighting documents per Pub 13M (DM-2) and Pub 14M (DM-3). Final design entails the development of information needed to prepare the lighting construction plans and special provisions (if required), based upon the preliminary design previously approved.
2. The Final Lighting submission shall consist of final drawings, special provisions (if required), voltage drop calculations, waivers (if not previously approved) and copies of the agreements with the local utility and the local government. There is no need to resubmit photometric calculations if the luminaire layout hasn't changed from the approved Preliminary submission. Refer to Publication 14M (DM-3), Chapter 9.
Lighting drawings shall include the following:
 - a. Title Sheet (not required if Lighting is a supplement to the Construction Plans).
 - b. Index Sheet (not required if Lighting is a supplement to the Construction Plans).
 - c. Summary of Quantities Sheet (combined with other project items if Lighting is a supplement to the Construction Plans).
 - d. Tabulation of Quantities Sheet(s).
 - e. Detail Sheet(s).
 - f. Plan Sheet(s).
4. The following should be included in the Final Lighting design:
 - a. Legend of symbols used, scale and date. Plan scale 1"=50' or 1"=100'. Other scales may also be used as appropriate for project conditions.
 - b. For projects on or adjacent to roadway or street, shoulder and curb lines, guide rail types, locations and distance from edge of pavement.
 - c. Location by station of all luminaires, as established by the approved Preliminary submission.
 - d. Lighting branch circuit routing and sizes. Minimum direct burial conduit size is 2". Minimum underground cable size is AWG #8.
 - e. Voltage drop calculations for all branch circuits.
 - i. Base wire size calculations upon 3% voltage drop maximum for reactor type ballasts and 5% voltage drop maximum for auto-regulator or regulator-type ballasts.
 - f. Determination of pole arm lengths and pole setbacks.
 - g. Determination of the "C" dimensions for all conventional pole locations as shown in Publication 72M, Roadway Construction Standards. Show this dimension to the nearest 0.05 m (0.1 ft) alongside the setback distance on the tabulation of quantities sheet. Refer to Publication 14M, Design Manual, Part 3, Plans Presentation.
 - h. Size or rating of power supply components. Size breakers to 75% of rating.
 - i. Size lighting loads to include sign loads when signs are to be energized from the roadway lighting circuits.
 - j. Determination of type of conventional poles required: S-Base or A-Base.
 - k. Power Supply service voltage and location. Supply voltage shall be either 120/240 V or 240/480 V, single phase, 3-wire system. Other voltages require specific

approval from the Central Office, Bureau of Maintenance and Operations. Include confirmation letter from the power company as applicable.

- l. Determination of pole foundation required as detailed in Publication 72M, Roadway Construction Standards.
 - i. Note: Pole base foundation designs which are not PennDOT standard Type FC, Type FC Modified or Type P must always be reviewed by District Bridge. Contact Central Office Bridge if there are any questions.
- m. Details not already covered by Publication 72M, Roadway Construction Standards.
- n. Standard and special notes and special provisions.

Resubmit the Preliminary Lighting report and plans until all comments are satisfactorily addressed and approval is given by the Highway Lighting group.

Appendix G

Webinar for all Potential Project Sponsors

Call in Numbers for audio access:

Bridge Number: 717-612-4733

Toll-free: 855-750-1027

PIN: 687717

Web links for visual access:

For all Commonwealth of PA Users and Participants that can download .exe files excluding Apple Operating Systems and Mobile Devices.

URL: https://openscapewebconf2.pa.gov/client/fastclient_i_r258353EB.exe

Allows full hosting features including desktop and file sharing

For all Participants including Apple Operating Systems and Mobile Devices Web Client:

<https://openscapewebconfw2.pa.gov/joinclient.aspx?inv=r258353EB>

Allows viewing of collaboration content (shared screen) via browser

For Commonwealth of PA Users only

Conference Viewer:

<https://openscapeuc2.pa.gov/tweb/portal/req?clickToDial&ConferenceID=SThOUXw5a29Wb3RndEFIdwTd4I9jGDEI3%2BWe3%2BMqbBk%3D>

Launches Browser window and shows audio conference participants



COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF TRANSPORTATION
HARRISBURG, PENNSYLVANIA 17101-1900

OFFICE OF
SECRETARY OF TRANSPORTATION

September 8, 2015

Planning Partners and District Executives:

As we proceed with the development of 2017 Transportation Improvement Programs (TIP) and the 2017 Statewide Transportation Improvement Program (STIP), we need to ensure that we are following the Linking Planning and NEPA (LPN) process when adding a new project to a TIP. The LPN process is outlined in Design Manual Part 1 (DM-1) Series, *Transportation Program Development and Project Delivery Process*.

As part of our engagement with the LPN process, the Pennsylvania Department of Transportation (PennDOT) is placing a renewed focus on collaborations with our Planning Partners to leverage stakeholders' varied areas of expertise gained from their experiences in local government, planning regions, and districts. By working together, we will be able to better clarify the details unique to individual candidate project locations prior to developing project scopes and cost estimates.

Specific areas for collaboration should include, but are not necessarily limited to:

- Safety issues/concerns
- Bicycle/pedestrian accommodations
- Transit/multi-modal considerations
- Presence of/impacts from (current/future) freight-generating land uses
- Planned development
- Consistency with current and/or proposed zoning
- Existence of regional planning studies
- Other proposed transportation improvements
- Impacts on the natural, cultural, or social environment
- Right-of-way considerations
- Anticipated public opinion
- Community or cultural events in the candidate project area

The LPN System is intended to document issues identified during early collaboration, including: transportation problems, environmental resources, land use, and other contextual issues. Collaboration must occur prior to development of a project cost estimate and scope.

Intended outcomes include more exact scopes of work and schedules, which in turn will increase budget accuracy. The information documented in the LPN System is carried forward into the scoping and environmental review processes, thereby avoiding a reduplication of efforts.

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As in the past, any new projects proposed to be added to the 2017 STIP/TIPs must follow the LPN collaborative approach, and be documented through the LPN System screening form process. For those who have not yet started the LPN collaboration process for the 2017 TIP update, we strongly recommend starting the process now. Based on the 2017 TIP development schedule, the LPN collaboration, including completion of screening forms, should be completed by December 31, 2015, or risk possibly not being programmed on a 2017 TIP.

In the spirit of this collaborative process, we recommend and encourage MPOs/RPOs to share this guidance with their respective County and Local Planners who are integral to the LPN collaboration. Involvement of local planning entities will help ensure the successful integration of transportation, land use, and environmental factors to support building better communities.

If you have any questions, please contact Brian D. Hare, P.E. at bhare@pa.gov or 717.783.9359.

Sincerely,



Leslie S. Richards
Secretary of Transportation

cc: Leo Bagley, Special Assistant to the Secretary
Jim Ritzman, P.E., Deputy Secretary for Planning
Scott Christie, P.E., Deputy Secretary for Highway Administration
Assistant Directors MPOs/RPOs
Larry Shifflet, Director, Center for Program Development and Management
District Planning and Program Managers
District ADE-Design
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