Guidance for the DVRPC FY2019
Competitive Congestion Mitigation and Air Quality (CMAQ) Program for Pennsylvania
The Delaware Valley Regional Planning Commission is the federally designated Metropolitan Planning Organization for a diverse nine-county region in two states: Bucks, Chester, Delaware, Montgomery, and Philadelphia in Pennsylvania; and Burlington, Camden, Gloucester, and Mercer in New Jersey.

DVRPC's vision for the Greater Philadelphia Region is a prosperous, innovative, equitable, resilient, and sustainable region that increases mobility choices by investing in a safe and modern transportation system; that protects and preserves our natural resources while creating healthy communities; and that fosters greater opportunities for all.

DVRPC's mission is to achieve this vision by convening the widest array of partners to inform and facilitate data-driven decision-making. We are engaged across the region, and strive to be leaders and innovators, exploring new ideas and creating best practices.

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DVRPC is funded through a variety of funding sources including federal grants from the U.S. Department of Transportation’s Federal Highway Administration (FHWA) and Federal Transit Administration (FTA), the Pennsylvania and New Jersey departments of transportation, as well as by DVRPC’s state and local member governments. The authors, however, are solely responsible for the findings and conclusions herein, which may not represent the official views or policies of the funding agencies.
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CHAPTER 1: Introduction

1.1 What Is the Congestion Mitigation and Air Quality Improvement (CMAQ) Program?

The CMAQ Program was created under the Intermodal Surface Transportation Efficiency Act of 1991; continued under the Transportation Equity Act for the 21st Century and the Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users; and was reauthorized by the Fixing America’s Surface Transportation Act (FAST Act) in 2015. CMAQ funds have been allocated to the Pennsylvania portion of the Delaware Valley Regional Planning Commission (DVRPC) metropolitan area for projects in Pennsylvania’s five counties (Bucks, Chester, Delaware, Montgomery, and Philadelphia) that contribute to the attainment of the Clean Air Act (CAA) standards by reducing emissions from mobile sources.

The federal Fiscal Year (FY) 2019 Transportation Improvement Program (TIP) for Pennsylvania (FY19 – 22) has set aside $25 million for a Competitive CMAQ Program in DVRPC’s Pennsylvania sub-region to identify eligible projects to be authorized beginning in FY22. The TIP is a list of all capital projects for which federal or state funds are anticipated; it represents the transportation improvement priorities of the region and is required by federal law.

Under the DVRPC FY2019 Competitive CMAQ Program for Pennsylvania, project sponsors should submit applications to the DVRPC online CMAQ application system at www.dvrpc.org/cmaq by 5:00 PM on Friday, June 28, 2019. The application system’s direct link is: www.dvrpc.org/asp/cmaqApplication/login.aspx. All applicants and project sponsors MUST meet with DVRPC Project Implementation staff prior to formal submission of their applications only for bike/pedestrian projects. All other applicants MUST contact the Competitive CMAQ Program manager via the “Request Meeting” button in the application system. DVRPC staff and the Federal Highway Administration (FHWA) will review the applications for initial eligibility and general merits. Projects that withstand this screening process are then subjected to an air quality emissions analysis. To remain eligible according to federal guidelines, individual projects must result in a reduction in emissions using standardized tests.

Based on their emissions reduction potential, as well as other criteria (described in this document), candidate projects will be evaluated, selected, and presented for approval by the DVRPC Board. Upon approval, they will advance to DVRPC’s TIP and the Pennsylvania Department of Transportation (PennDOT) for inclusion in the PennDOT Statewide TIP.

The DVRPC FY2019 Competitive CMAQ Program for Pennsylvania creates a cooperative arrangement among FHWA, PennDOT, DVRPC, and project sponsors. As such, there are a number of procedures, stipulations, and limitations associated with the use of CMAQ funds. The following sections of this document explain what a prospective applicant must know about the program, how to apply for funds, and what regulations award recipients must follow to generate a successful project.
CHAPTER 2:
Applying for CMAQ Funds

2.1 How Much Funding Is Available?
A total of $25 million CMAQ funds has been set aside for projects in DVRPC’s five counties in Pennsylvania (Bucks, Chester, Delaware, Montgomery, and Philadelphia) for the competitive program beginning in federal FY22 (October 1, 2021).

2.2 Who Is Eligible to Apply for Funds?
Any public agency or incorporated private firm or non-profit entity may apply to DVRPC for CMAQ funds for their project, though there are restrictions for certain agencies and categories of projects that should be noted as seen in Section 3.2. However, there are certain restrictions that must be addressed if a private firm or non-profit entity is applying for funds. Private firms and non-profits must partner with a local public agency sponsor and have a formal agreement in place with the public agency at the time of funding award (see “Can Public–Private Partnerships (P3s) Apply?” section below). Individuals may not apply.

In all cases, the prospective applicant is required to contact the county and municipal government(s) in which the project will be implemented to inform them of the intent to apply and to coordinate the project effort. Signal timing and equipment projects, in particular, are required to coordinate their project with both the county and PennDOT District 6-0. Applicants must speak with a human being and not give a “heads-up” via voice mail or email. Applicants will be required to take note of the date and person they spoke with from the county/city. Project sponsors seeking to implement public transportation improvements, such as transit shuttle service, must contact the public transit agency that provides service in the proposed project area. Applicants applying for transit vehicles must work with PennDOT or other state agencies prior to applying for CMAQ funds, to secure an agency “champion” who is willing to shepherd the project through the federal obligation process should the project be awarded CMAQ funds. (County, regional, and state contacts are listed in Appendix C).

2.3 Can Public–Private Partnerships (P3s) Apply?
CMAQ funds may be used for projects that are cooperatively implemented under agreements between public agencies and incorporated private firms or non-profit entities. The public agency partner is responsible for applying for the CMAQ funds through DVRPC and overseeing and protecting the investment of the federal funds used in a public–private partnership project. Projects will not be eligible if they result in creating a competitive advantage of one private entity over another. Further, P3 projects must demonstrate compliance with National Environmental Policy Act, Disadvantaged Business Enterprise, and all other applicable federal laws and regulations.

Federal law requires that a legal, written agreement be in place between the public agency and private or non-profit entity before implementing any CMAQ-funded project. These agreements should clearly specify the purpose of CMAQ funding; the roles and responsibilities of the participating agencies; cost-sharing arrangements for capital investments and/or operating expenses; and how the disposition of land, facilities, and equipment will be affected should the original terms of the agreement be changed, such as by insolvency or a change in the ownership of the private entity. Although these agreements need not be finalized at the time the application is submitted, the application must include letters of intent between the parties indicating willingness to enter into such agreement, if the project is selected. Click here to learn more about how FHWA reviews P3s.
2.4 What Are Eligible Costs, and How Are Projects Funded?

The CMAQ Program is a reimbursement program for only those costs that are eligible under federal law. It is not a grant program. The sponsor does not receive grant funds upfront to start the project; rather, the sponsor is reimbursed for costs incurred after receiving federal authorization of the project and a notice to proceed. Costs incurred prior to project selection and notice to proceed will not be reimbursed. Federal funding is generally based on an 80/20 percentage cost split; that is, federal funds typically cover up to 80 percent of project costs, and a non-federal local match would cover at least 20 percent. Pre-construction activities that are required could be considered for the minimum 20 percent non-federal local match.

A sponsor agency may apply for more than one project. In this case, the sponsor agency must indicate the priority level for each project that is requesting CMAQ funds.

2.5 Funding Requirements

Due to the complexity of managing CMAQ construction projects, DVRPC requires that the minimum project request be $250,000 for construction projects and $100,000 for transit vehicle acquisitions to expand existing fleet or introduce a new transit service. CMAQ project funding requests that are 80 percent or less of the total project cost will be considered more favorably in the evaluation process. There is a soft maximum cap\(^1\) of $4 million for a single application. All awarded projects must obligate CMAQ funds by or before August 2024. Therefore, applicants are advised that completed pre-construction or pre-acquisition activities before FY24 may make the project more favorable in the evaluation process as a part of the “Project Readiness” selection criterion. Applicants are advised that an incomplete or unrealistic timeline of pre-construction or pre-acquisition activities may make the project less favorable in the evaluation process. For construction or transit vehicle acquisition projects, applicants must expend their own funds for all pre-construction (e.g., environmental clearance, engineering, design, utilities, right-of-way) or pre-acquisition (e.g., vehicle specifications, lease arrangements, etc.) activities. CMAQ funds can then be requested to fund the construction phase only, with the exception of applications submitted by PennDOT.

For non-construction projects, or “soft” projects such as marketing, incentive plans, etc., applicants must request funding with no more than 80 percent federal CMAQ funds and no less than 20 percent local matching funds for all phases of the project.

2.5.a Funding Authorization, Implementation, and Completion

Prior to initiating any project activities, the project must be approved by the DVRPC Board for inclusion in DVRPC’s TIP, a project reimbursement agreement must be executed between the sponsor and PennDOT, and federal project authorization must be received. PennDOT and/or DVRPC will provide assistance in securing these approvals. If the project sponsor decides to cancel the project or drop out of the program, the project sponsor will be required to pay back all federal funds received as of that date and to make full payment of all outstanding invoices to engineers or contractors.

2.5.b Accurate Cost Estimates Are Critical

It is essential for cost estimates to be realistic and accurate. Completion and submittal of the “Cost Breakdown” Microsoft Excel spreadsheet is required as part of the application. If, after a project is underway, it is determined that costs exceed expectations, whether due to unforeseen circumstances or simply poor estimates, applicants should not expect additional funding from the program. Instead they will have to: (a)

\(^1\) Soft cap = most projects are expected to not exceed this amount; however, higher request may be made if the need for a larger dollar amount is well documented.
bear the additional costs themselves, (b) reduce the scope of the project (with prior approval from DVRPC), or (c) break the project into sections and obtain other sources of funding for those unfunded sections. Project sponsors will be required to submit biannual progress reports, even during periods when progress includes state or local permit review or agreement processing. DVRPC reserves the right to withdraw its award from any project for lack of progress. A copy of the progress report is included in Appendix D to this guidance. FHWA also provides helpful guidelines on preparing the estimate, bid reviews and evaluation. Applicants can also use recent bid history pricing via PennDOT's Engineering and Construction Management System (ECMS) system: http://www.dot14.state.pa.us/ECMS/.

DVRPC recommends (but does not require) applicants to adjust the cost for inflation by applying a 3 percent inflation rate and use the formula, \( P_n = P \times (1+i)^n \), where:

- \( P_n \) is the total inflated estimated cost;
- \( P \) is the base/current estimated cost provided by the project sponsor;
- \( i \) is the 3 percent inflation rate;
- \( n \) is the difference between base/current year and program/authorization year; and
- \((1+i)^n\) is the inflation factor.

This formula calculates the new inflation price. For example, if the current estimated construction cost of a project is $100,000, and construction is expected to authorize funding in FY22, then $109,273 = $100,000\times(1+0.03)^3$, where:

- \( P_n \) value of $109,273 is the total inflated estimated cost;
- \( P \) value of $100,000 is the base/current estimated cost provided by the project sponsor;
- \( i \) is the 3 percent inflation rate;
- \( n \) value of 3 is the difference between base/current year (FY19) and program/authorization year (FY22); and
- \((1+i)^n\) or in this example, \((1+0.03)^3\), is the inflation factor.

As there is a 20 percent match and CMAQ funds are requested to provide for the rest of project, then use 80 percent of the total inflated estimated cost \( P_n \) for the CMAQ funds request. In this example, 80 percent of the \( P_n \) value ($109,273) is $87,418, and 20 percent of the value is $21,855.

2.5.c What if Cost Exceeds Expectations? What if Project Fails to Obligate, Implement, and/or Reach Completion? What about Project Delays?

While DVRPC, the project’s home county, and/or PennDOT will work with the project sponsor to resolve delays and ensure the project is implemented and completed in a timely manner, project sponsors must not expect additional funding from the program if any unforeseen situations below occur. Further, the following consequences may result if one of those situations occurs: (a) the sponsor must bear the additional costs; (b) the project scope must be reduced (with approval from DVRPC and PennDOT); (c) the project must break into sections and obtain other funding sources for those unfunded sections; and/or (d) the project sponsor must pay back federal CMAQ funds expended on project. DVRPC also reserves the right to withdraw the CMAQ award from any project for lack of progress.

Unforeseen situations for awarded projects may include but are not limited to the following:

- The project cost drastically exceeds the CMAQ award, whether due to unforeseen circumstances, lack of progress, or inaccurate estimates.
- The sponsor agency has poor or lack of progress and/or communication with DVRPC, and/or PennDOT from project authorization to implementation to completion.
- Activities listed in the application that requested CMAQ funds are found to differ and/or are no longer CMAQ eligible.
- Project activities proposed in the application significantly change after CMAQ funds were awarded.
- The sponsor agency decides to cancel the project or drop out of the program (before or after the project is authorized, received notice to proceed, and started implementation).
- The project encounters significant environmental or right-of-way delays that were not anticipated at the time of project award, which delays obligation to be beyond FY24.
- There is public or political controversy or opposition to the project after funding is awarded.
CHAPTER 3:

Project Eligibility

3.1 What Project Types Are Eligible?

Every project that receives CMAQ funding must result in a reduction of harmful emissions related to transportation, a reduction of congestion, and be for the public good (i.e., not benefiting one private entity over another) to meet the requirements of the CAA and its amendments. Furthermore, all federal eligibility requirements for transportation projects must be met. (See FHWA CMAQ Program Guidance (November 12, 2013) at FHWA or DVRPC CMAQ websites). DVRPC encourages applicants to view the 27-minute FHWA “CMAQ 101 Training Course” video on YouTube found on the DVRPC CMAQ web page “Resources” section. The video provides a basic introduction to the program, how CMAQ funds are distributed to states, and the types of projects eligible for the CMAQ Program.

3.1.a Eligible DVRPC Competitive CMAQ Program Project List

In addition to CMAQ requirements, certain activities are explicitly identified as either eligible or ineligible for CMAQ funding. See Section 3.2 for restrictions in this program. Listed below are types of projects and activities that are **eligible** for CMAQ funding that the DVRPC FY2019 Competitive CMAQ Program for Pennsylvania is accepting:

- Transportation Control Measures ([click here](#) to view measures identified in Section 108 of the CAA);
- extreme low-temperature cold start programs;
- congestion reduction and traffic flow improvements;
- transit improvements, such as transit vehicle acquisitions for fleet expansion or to introduce a new transit service;
- bicycle and pedestrian facilities and programs;
- bikeshare infrastructure;
- travel demand management;
- public education and outreach activities – note restrictions in Section 3.2;
- freight/intermodal;
- idle reduction;
- training;
- inspection and maintenance programs; and
- experimental pilot projects.

For those interested in funding bicycle and pedestrian facilities and programs, FHWA provides two resources below about CMAQ eligibility:

- [www.fhwa.dot.gov/environment/bicycle_pedestrian/funding/funding_opportunities.cfm](http)
- [www.fhwa.dot.gov/environment/bicycle_pedestrian/funding/faq_bikeshare.cfm](http)

Further explanation of each eligible project type and activity above is given in the [FHWA CMAQ Program Guidance (November 12, 2013)](http). This guidance and a sampling of previously funded projects through the CMAQ Program are found at [www.dvrpc.org/CMAQ/](http) and FHWA’s website at [www.fhwa.dot.gov/environment/air_quality/cmaq/policy_and_guidance](http).
3.1.b Operating Assistance
Operating assistance, which includes labor, fuel, administration, and maintenance costs, is limited to new transit service, intermodal facilities, travel demand strategies, and the incremental cost of expanding existing transit services, including traffic operation centers. For this competitive CMAQ funding round, operating assistance is limited to three years of funding with the flexibility to spread year–three funding into a fourth or fifth year. The fourth or fifth year of funding is an extension of year–three funding to allow applicants access to a larger share of the funding to initiate the project and then step that amount down to support the project as it progresses and becomes self-sustaining. Applicants must show that funding in years three and four is less than in years one and two. Operating assistance for bikesharing projects is not CMAQ eligible.

The programmatic intent of this funding limitation is to start up viable new transportation services that can demonstrate air quality benefits and eventually cover their costs. Other funding sources should supplement and ultimately replace CMAQ funds for operating assistance because these projects will eventually become part of the baseline transportation network.

There are exceptions to the operating assistance limitations for certain public education and travel demand strategy expansion projects. Learn more in Section VII. Project Eligibility Provisions of FHWA’s CMAQ 2013 Guidance and FHWA’s July 2014 Revised Interim Guidance on CMAQ Operating Assistance under MAP-21.

3.2 What Project Types Are NOT Eligible?
As a general rule, highway or transit maintenance and reconstruction projects and the construction of Single-Occupancy Vehicle capacity are not eligible activities. For example, work involving the return of a transit station into a state of good repair is not CMAQ eligible. Operating costs for bikeshare programs are also not CMAQ eligible. Also, measures that are statutorily mandated may not be funded with CMAQ funds. DVRPC, in consultation with FHWA and the Federal Transit Administration (FTA), will determine if any other activities are not eligible under the federal rules and guidelines on a case by case basis. Section VII. Project Eligibility Provisions of FHWA’s Interim Program Guidance under MAP-21 from 2013 also lists types of ineligible projects.

Due to processing delays with Buy America requirements, the DVRPC FY2019 Competitive CMAQ Program for Pennsylvania is not accepting diesel retrofit projects, advance technology vehicles (e.g., hybrid cars or sports utility vehicles, electric vehicles, compressed natural gas/ultra-low-emission vehicles), alternative fuel (e.g., clean diesel), or requests to purchase non-revenue fleet vehicles, with the exception of SEPTA applications.

The program will not accept applications from Transportation Management Associations or agencies that receive TMA Assistance and/or Mobility Assistance Program funds for Public Education and Outreach Activities. Applications for carsharing, carpooling, and/or vanpooling from any sponsor will also not be accepted as part of this competitive program. The program will not fund pre-construction activities, with the exception of PennDOT applications.

In addition, DVRPC retains the prerogative to declare a class of projects not eligible as a matter of policy, if it is determined that such use would not be in the best interest of our region. DVRPC can also deny funding to an otherwise eligible project if it is determined that such funding would provide one private firm an undue competitive advantage over another—a federal regulation that must be observed.
CHAPTER 4:
Project Selection

4.1 How Are Projects Selected?

DVRPC will screen every application for completeness and basic eligibility from the time the application is discussed at the mandatory application meeting (for bike/pedestrian projects) to after submission. After a proposed project is determined to meet the basic eligibility requirements outlined in the federal guidance, the project will be further scrutinized according to a variety of criteria established by DVRPC and the selection committee. Each eligible project will be evaluated based on its emissions reduction potential, as well as other factors, including: project readiness, sponsor capacity, level of match (e.g., local contribution), EJ and degree to which the project implements the regional DVRPC Long-Range Plan and/or County Comprehensive Plan. The project selection criteria and their relative weights are identified in this chapter, as well as in Appendix A of this document. The project selection committee will also consider distribution of projects with regard to geographic location and the desire to produce a balanced program of mixed project types. However, no matter how well a project scores in these other criteria; it cannot be selected unless the project results in reduced mobile source transportation emissions and congestion.

Following careful review and analysis, DVRPC staff will recommend selected projects to the DVRPC Board for approval. Board action will amend the projects into the region’s TIP and provide eligibility for federal funding. See Chapter 5 for the tentative schedule for when Board action could occur. The steps to be taken after the project is selected for the TIP are outlined in Chapter 6. Applicants are encouraged to view the FHWA “CMAQ 101 Training Course” video on YouTube at: https://www.youtube.com/watch?v=XKXcs0WtNHA&feature=youtu.be to learn more about what will be expected from FHWA should the project be selected.

4.1.a Emissions Analysis

All projects that pass the initial screening for eligibility will be evaluated for their effect on air quality using a standardized set of analysis tools developed for PennDOT. Evaluation results will enable the projects to be rated based on the following air quality and congestion mitigation factors: volatile organic compounds [VOC], nitrogen oxides [NOx], and fine particles [PM2.5].

DVRPC staff will perform this analysis based on information provided in the Emissions Analysis Forms that are required to be submitted with the project application. If an Emissions Analysis Form is not provided for the project type, the applicant must work with DVRPC staff to provide adequate information about the project in order to determine its emissions impact. The Emissions Analysis Forms can be downloaded from the DVRPC online CMAQ application system.

Besides a basic program requirement, and cost effectiveness, the magnitude of emissions reductions from the project is also considered as part of the project selection criteria.

In order to assist the applicant with judging the relative emissions or congestion mitigation benefits of their project, links to FHWA and U.S. Environmental Protection Agency (EPA) studies that provide estimates of the relative emissions benefits of the different project types are available at www.dvrpc.org/CMAQ.
4.1.b Basic Project Requirements
In addition to demonstrating a reduction of emissions, all applicants are expected to meet the following criteria in Section 4 of the project application form. Otherwise, the DVRPC FY2019 Competitive CMAQ Program for Pennsylvania will not consider the proposed project.

Project must be consistent with Long-Range Plan and/or County Comprehensive Plan goals.
In order to promote good planning and to encourage implementation of the Long-Range Plan for the region, as well as the county and/or local County Comprehensive Plan, proposed projects are required to be consistent with the goals of these plans. Applicants are required to identify which plan goal(s) their project will implement. The Long-Range Plan is available at www.dvrpc.org/LongRangePlan.

Project location(s) must be within a DVRPC Congested Sub-Corridor.
One of the CMAQ Program goals is to reduce congestion to better air quality. In order to promote congestion reduction in the region, projects are required to be located within a congested sub-corridor, as identified by DVRPC’s Congestion Management Process (CMP).

Applicants are required to identify which congested sub-corridor or corridors the project is located in. Applicants are encouraged to use the interactive CMP web page for corridor maps and lists of appropriate strategies to implement in those corridors via this link: www.dvrpc.org/webmaps/CMP2015.

Projects that are solely air quality improvements, and/or do not have a congestion reduction component, will not be judged on this question.

Questions regarding the CMP congested sub-corridors or the mapping tool should be directed to DVRPC CMP staff at 215-238-2865.

The project sponsor must be a public agency, even if it is a P3.
According to FHWA guidance, an eligible applicant must be a public agency or have a public agency sponsor the project. The project sponsor agency is the local unit of government that is financially responsible for working with PennDOT and DVRPC to advance a proposed project toward federal authorization. See Chapter 2 for more details regarding applicant eligibility and the requirements for P3s.

The project sponsor must agree to keep DVRPC, PennDOT, and/or the county/city informed of a project’s progress toward advancement in a timely and reasonable manner, should CMAQ funds be awarded.
After a project is selected for the award, the project should be implemented and completed in a timely manner, which requires good communication among the project sponsor, PennDOT, DVRPC staff, and/or the county/city. However, unfortunately situations may occur that may delay completion of a project. Refer to Chapter 2 for further information.

4.1.c Buy America Requirements
The CMAQ program follows Buy America criteria. Buy America differs from “Buy American”; it requires that a federally funded project with steel or iron products (including protective coatings) use steel or iron that is manufactured in the United States. Therefore, when determining the types of facilities as part of the CMAQ request, please make sure they will comply with FHWA or FTA Buy America requirements. Click here to view PennDOT’s Buy America guidance.
4.2 CMAQ Project Selection Criteria

In addition to the emissions analysis and minimum eligibility questions, projects will be evaluated using criteria that will help the selection committee choose projects that reflect programmatic and regional priorities and exhibit the likelihood of timely and successful implementation. See Appendix A for detailed information about each criterion.

A summary of the evaluation criteria is described below. A table detailing the weights, as well as the project scoring definitions, of each criterion, as well as how points are assigned, is provided in Appendix A of this document. Additional considerations will be that the program will represent a balanced mix of project types and geographic diversity of the region.

Projects are scored by using a basic formula that includes a “Weight” for each of the selection criteria and a “Score” indicating how well each project meets the selection criteria. The criteria weight will be multiplied by the project’s score for that criterion to yield a weighted score. “Points” are then assigned, based upon the “Weight.” The weighted scores are then summed to produce a total project score (maximum of 100 points). Project readiness and sponsor capacity carry the most weight (25 percent each), followed by cost effectiveness and long-term viability of emissions benefit (20 percent each) because awarded projects are required to meet the CMAQ Program goals and must be able to obligate CMAQ funds by August 2024. Finally, a score is given to an Environmental Justice (EJ) component (5 percent) and level of match that is contributed (5 percent). Please see Appendix A for the Project Selection Criteria table.

4.2.a Project Readiness (Weight: 25/100)

Project readiness refers to the likelihood that a project will be implemented in a timely fashion. The CMAQ project selection committee will view more favorably project candidates that have preliminary work or preparation completed in advance of CMAQ funding, or can successfully demonstrate that work can begin soon after the CMAQ award is approved by the DVRPC Board. Candidates with a high level of project readiness will have completed Categorical Exclusion documents and have no right-of-way concerns (completed right-of-way acquisition or all work is within the public right-of-way) for construction projects or are implementing a recommendation of an adopted plan or survey for education, transportation demand management (TDM), or outreach projects. Projects that have a high level of readiness will also have matching funding sources secured and will have identified a clear, realistic process and schedule for implementation.

Applicants should demonstrate project readiness and feasibility of implementation by providing a realistic schedule that includes milestones achieved and remaining for DVRPC and PennDOT review and approval. The project milestones are intended to identify the key steps in advancing the project toward funding authorization and, ultimately, completion. They will be unique to each project depending on the project type, complexity, and coordination required.

► All applicants should detail steps taken to advance a project in Section 10 of the application form, Questions 10.1 to 10.3.
► Construction project applicants should also complete questions in Section 10.4 of the form.
► Revenue transit vehicle purchase applicants should answer the form’s questions in Section 10.5; and
► soft project applicants (e.g., new transit service, TDM, education/outreach) should answer questions in Section 10.6 of the form.
4.2.b Sponsor Capacity (Weight: 25/100)
Sponsor capacity in Section 11 of the project application form refers to the project sponsor’s ability and commitment to deliver the project should CMAQ funding be awarded. Candidate projects should demonstrate that the sponsors have a clear commitment to own, implement, operate, and maintain the project, during and after the CMAQ funding period. Successful candidates will show the institutional capacity to manage the project and obtain the necessary permits, bids, and contracts. Sponsors with a good history of implementing federally funded projects, in which PennDOT, DVRPC, and/or the county also had a good experience in working with the sponsor are considered to have a high level of sponsor capacity.

Project sponsors should convey capacity by describing their experience successfully managing grants for similar projects, clearly defining the roles and responsibilities of each of the project partners, and demonstrating that matching funds and other sources of project funds are secured. All CMAQ applicants must complete Questions 11.1 to 11.10 in the project application form. Transit vehicle applicants should skip Question 11.10 but also answer Questions 11.11 to 11.19.

4.2.c Cost Effectiveness (Weight: 20/100)
The cost effectiveness of an air quality project is based on the amount of pollution it is expected to eliminate for each CMAQ dollar requested. DVRPC staff will calculate the cost effectiveness of the proposed project for NOx, VOC, and PM2.5 separately and add them together to get a single cost-effectiveness number. To determine cost effectiveness of NOx, for example, DVRPC staff will divide the total dollar amount requested from the DVRPC FY2019 Competitive CMAQ Program for Pennsylvania by the lifetime NOx emission reductions. Total lifetime NOx reductions are calculated by multiplying the annual NOx emission reductions by the remaining useful life, which is determined by the applicant’s replacement schedule. The same process will be completed for VOC and PM2.5. Inputs for the model will be provided by the applicant on the Emissions Analysis Forms. DVRPC requires that applicants with projects that cannot be analyzed, or do not have Emissions Analysis Forms provided, for their project type, with their application, provide sufficient information about the project so that emissions impacts can be determined.

4.2.d Long-Term Viability of Emissions Benefit (Weight: 20/100)
The value of a project for helping the region meet and maintain the air quality standards depends on whether those benefits can be sustained over time. Some projects will continue to provide air quality or emissions reduction benefits into the future; other projects will have a defined lifespan that will decrease as technologies change or equipment needs to be replaced; and a third category of projects will provide air quality benefits only as long as the project is receiving funding. Projects that can demonstrate air quality benefits for more than 10 years will receive a “high” ranking for this criterion, receiving 100 percent of the scoring for this criteria; between five and 10 years will receive a “medium” ranking, receiving 50 percent of the scoring for this criteria; and projects that cannot definitively demonstrate benefits beyond five years or have fewer than five years of benefits will receive a “low” score for this criterion, receiving 25 percent of the scoring for this criteria. Applicants should explain, as specifically as possible, the long-term outlook and lifespan of the air quality benefits of the project in Section 8 of the project application form.
Table 1: Examples of Project Life Periods for Project Evaluation

<table>
<thead>
<tr>
<th>Category</th>
<th>Project Life Expectancy (Years)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Traffic Flow Improvements</td>
<td>10-20</td>
</tr>
<tr>
<td>Shared Ride Programs – Operational</td>
<td>1-2</td>
</tr>
<tr>
<td>Shared Ride Programs Infrastructure</td>
<td>12</td>
</tr>
<tr>
<td>Travel Demand Management</td>
<td>1-2</td>
</tr>
<tr>
<td>Bicycle/Pedestrian Facilities</td>
<td>15</td>
</tr>
<tr>
<td>Transit Improvements – Operational/Amenities</td>
<td>1-2</td>
</tr>
<tr>
<td>Transit Improvements – Infrastructure</td>
<td>10-30</td>
</tr>
<tr>
<td>Technology Improvements (New Transit Vehicles)</td>
<td>4</td>
</tr>
<tr>
<td>Dust Mitigation</td>
<td>20</td>
</tr>
<tr>
<td>Freight Intermodal</td>
<td>20</td>
</tr>
<tr>
<td>Engine Retrofits</td>
<td>Varies</td>
</tr>
</tbody>
</table>

Source: Volpe National Transportation Systems Center, Congestions Mitigation and Air Quality (CMAQ) Improvement Program, Cost-Effectiveness Tables Development and Methodology, 2015

4.2.e EJ (Weight: 5/100)

The Executive Order on Environmental Justice (#12898) provides guidance for federal funding recipients and sub-recipients to prevent and/or mitigate high and adverse human health or environmental effects in their programs, policies, and activities on historically discriminated-against communities and population groups, defined as minority and low-income populations. The DVRPC FY2019 Competitive CMAQ Program for Pennsylvania project selection committee supports projects that will further EJ in the Greater Philadelphia Region by allocating points for projects that benefit census tracts with high concentrations of specific population groups. Applicants should use the DVRPC Equity Analysis tool at [http://www.dvrpc.org/webmaps/IPD](http://www.dvrpc.org/webmaps/IPD) to answer questions in Section 12 of the project application form.

DVRPC’s Equity Analysis includes nine populations that are considered under Title VI of the Civil Rights Act and other federal non-discrimination mandates. For this section, the three population groups that are considered under EJ will be used to calculate the score: low-income, racial minority, and ethnic minority. The project’s EJ score can be calculated by summing the individual score for each indicator (ranging from 0–4), resulting in an EJ score (ranging from 0–12). If the project area is across multiple tracts, choose the highest score for each of the three indicators.

The CMAQ project selection criteria considers the EJ score of a census tract that a project location may impact, as well as how the project may benefit the community. To answer this open-ended question, the applicant should consider the three EJ population groups of low-income, racial minority, and ethnic minority. The applicant can detail how the project would significantly impact the populations within or adjacent to the...
project area and how the project will mitigate any negative effects on the identified population groups. Applicants should also identify community groups or stakeholders in the project’s geographic area that the project sponsor would partner with, as well as mitigation and outreach strategies that will be included in the project scope of work. This qualitative section will be awarded up to 1 point. See Table 2 for how an application can receive up to 5 available points for EJ.

**Table 2: Project Selection Criterion—EJ**

<table>
<thead>
<tr>
<th>IPD Score for Census Tract (EJ population groups only)</th>
<th>0</th>
<th>1–3</th>
<th>4–6</th>
<th>7–9</th>
<th>10–12</th>
</tr>
</thead>
<tbody>
<tr>
<td>Points in CMAQ Application</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
</tbody>
</table>

Up to 1 point awarded for quality of response to the open-ended question about the project’s potential benefit and/or mitigation to nearby EJ communities of concern.

4.2.f Level of Match (Weight: 5/100)

Federal funding is limited to provide for every project request, so local contributions have become increasingly more important to enhance a program’s reach. A good candidate project will demonstrate local commitment to the project through innovative funding and a larger percentage of non-federal matching funds. The percentage of the total project cost represented by local contribution will be used to score the project for this criterion. A larger local contribution will result in a higher score for this criterion. The applicant should describe all preliminary work performed to prepare the project for implementation and quantify cash contributions and in-kind services dedicated to the project. Applicants should provide information for this criterion in the “Cost Breakdown” Microsoft Excel spreadsheet and Section 5 of the project application form, which are found in the DVRPC online CMAQ application system. The percentage of the total project cost represented by local contribution will be used to score the project for this criterion. A larger local contribution will result in a higher score for this criterion.

4.3 Is the Project Scalable?

Project sponsors should indicate in Section 13 of the application form if the submission is scalable in the event of partial funding availability for a project. If applicants want to be considered for partial or scaled-back funding, they should indicate on the application form which phases of the project they will prioritize to implement or what their strategies are to scale back the project scope.
CHAPTER 5: Application Submission and Instructions

5.1 Required Documents on Friday, June 28, 2019, by 5:00 PM

Applicants must upload and submit the following forms and documents to DVRPC’s online CMAQ application system by the application deadline, in order for DVRPC to consider the application complete:

- Project Application Form;
- “Cost Breakdown” Microsoft Excel Spreadsheet;
- Emissions Analysis Forms (if applicable to the proposed project);
- Letter of Commitment/Intent, Agreements, and/or Resolutions; and
- Applicants should also provide other documents (e.g., concept plans, maps, pictures, policies, etc.) that are helpful for reviewers to understand their proposed project.

Failure to submit these documents will cause the project to be dropped from further consideration in the process.

5.1.a Application Checklist

The application checklist is a simple list of the components required for a complete DVRPC FY2019 Competitive CMAQ Program for Pennsylvania application. This checklist will assist the applicant to ensure that all of the required forms and attachments are submitted with the application. This checklist is built into the CMAQ Application Portal and has its own page titled “DVRPC CMAQ Application Checklist”.

5.1.b Project Summary

The project Summary is a brief description of the applicant’s proposal. The summary will provide reviewers with a synopsis of the project proposal and will assist reviewers with screening for project and sponsor eligibility. Please limit to two to six sentences.

5.1.c Project Application Form

The project application form is over 20 pages in length and poses a series of questions to help ensure that candidate projects are CMAQ eligible, that project sponsors are eligible or have/will execute the necessary agreements for P3s, and that projects are consistent with regional and/or local plans and the DVRPC Congestion Management Process (CMP). There are also many questions to thoroughly address the project selection criteria, and not all questions will apply to every proposed project. Applicants should skip questions that are not applicable to their proposed project.

The Project Readiness section of the application form (Section 10) will assist the reviewer in knowing the types of actions that have been taken (and still need to be taken) to advance the project in preparation for federal funding. Construction projects are one of the most complex types of projects and therefore have more questions for applicants to answer in order to ensure the project can realistically be ready for funding authorization, implementation, and completion. Other project types, such as transit vehicle purchases and outreach programs, must also demonstrate a level of preparedness in order to score well under this criterion.

A key feature of the FAST Act of December 2015 is the establishment of a performance- and outcome-based program. The objective is for states and Metropolitan Planning Organizations to invest resources in projects that would collectively make progress toward the achievement of nationally set goals. Since congestion
reduction is one of the seven areas and one of the goals of the CMAQ Program, all applicants must answer if their projects will support non-SOV travel, which may include travel via carpool, van, public transportation, commuter rail, walking, bicycling, or telecommuting.

Applicants that request CMAQ funds for operating assistance must answer questions in Section 14 of the application form. These projects are limited to three years of CMAQ funding for operating assistance that can be spread up to five years. Projects that fall into this category must include a plan for continuing the service beyond the third, fourth, or fifth year of operation. Project sponsors should also be able to demonstrate a reduced need for CMAQ operating funds as a project progresses from the first year to the third year of operations, what the source of funds will be that will supplant CMAQ funding, and how the service will become self-supporting. CMAQ-eligible operating assistance is limited to new transit; commuter and intercity passenger rail services; intermodal facilities; travel demand management strategies, including traffic operation centers, inspection and maintenance programs; and the incremental cost of expanding these services. CMAQ-eligible operating assistance includes all costs of providing new transportation services, including, but not limited to, labor, fuel, administrative costs, and maintenance. Operation costs for bikesharing is not CMAQ eligible and will be not funded by this program.

Finally, project application form contents are as follows:

1. Project Sponsor and Applicant Information
2. General Project Information
3. Eligibility
4. Project Cost Estimates (make sure to upload the “Cost Breakdown” Microsoft Excel sheet by application deadline)
5. Project Match
6. Project Description
7. Emissions Benefit
8. Length of Emissions Benefit
9. Congestion in Performance-Based Planning
10. Project Readiness
11. Sponsor Capacity
12. EJ
13. Scalability
14. Operating Assistance (if applicable)
15. Documentation of Commitments

5.1.d "Cost Breakdown" Microsoft Excel Spreadsheet
Per Chapter 2, it is essential for cost estimates to be realistic and accurate. Make sure to complete and submit the “Cost Breakdown” Microsoft Excel spreadsheet as part of the application. For construction projects, the FHWA provides helpful guidelines on preparing the estimate, bid reviews and evaluation. Please also utilize PennDOT’s ECMS Recent Bid History (http://www.dot14.state.pa.us/ECMS/). DVRPC recommends (but does not require) applicants to adjust the cost for inflation.
5.1.e Emissions Analysis Forms
For most eligible project types, DVRPC has supplied the following Emissions Analysis Forms that indicate to the applicant what information is required so that DVRPC can measure the estimated emissions benefits of a given project:

1. Transit Improvements and Programs
2. Congestion Reduction and Traffic Flow Improvements
3. Bicycle or Pedestrian Improvements
4. Transportation Demand Management
5. Park-and-Ride Facility Improvements
6. Truck Idling and Other Projects

All applicants, especially those with project types where DVRPC does not provide Emissions Analysis Forms, must explain in Question 7.1 of the project application form how the project will reduce transportation-related emissions and mitigate traffic congestion. For project types that lack an Emissions Analysis Form, DVRPC staff will work with applicants to request the needed information in order to perform an emissions analysis.

Both EPA and FHWA have provided resources that can be used to compare different project types to each other with regard to emissions reductions and cost-effectiveness. These resources are very general and are provided to give the applicant a general sense of how their project will compare with other project types. Links to these documents are available at www.dvrpc.org/CMAQ.

5.1.f Letter of Commitment/Intent, Agreements, and/or Resolutions
In addition to this technical data, the applicant will also be required to submit letters of commitment/Intent, Agreements, and/or Resolutions for all matching funds, and to own, operate, and maintain the project. For multi-municipal projects, all municipalities involved must submit individual resolutions. Projects that involve multiple municipalities or entities must submit a letter from each party involved. An official who is authorized to represent the organization, such as the township manager or chief elected official must sign the letters. Failure to submit these documents will cause the project to be dropped from further consideration in the process.

5.2 Submit All Application Materials in DVRPC’s CMAQ Application System

To create a new application, first create an account in the DVRPC online CMAQ application system at www.dvrpc.org/asp/cmaqApplication/login.aspx. Enter a user name, which is an email address. The system will send the user an email confirmation with a password. The user can then return to the site with the user name and password to continue to create a new application. DVRPC recommends that applicants bookmark the link to the system. There is no limit to the number of applications that a user creates, saves, and submits.

Once a user account has been created, the user is free to log out and return to the online CMAQ application system anytime. The user can return at another time to log into the system to make revisions or finish a project application.

To create an application, or download and upload application materials, log into the system. Then click on “New Project” at the top right corner of the home page. Complete the general information fields of the “Create New CMAQ Application” page (Figure 1) and select “save” when finished. The “DVRPC CMAQ Application Checklist” (Figure 2) will then appear. The user will be able to download, complete, and upload all materials. After a user completes uploading a document, the system will automatically save the uploaded documents.
If a project application has been created, select the project application ID on the home page. The home page (after the user logs into system) will display all the applications created by user. After the application ID is selected, the “DVRPC CMAQ Application Checklist” page (Figure 2) will open. On this page, download the documents by clicking on the document titles. Complete the documents. Then upload them by using the “Upload” function for each item. Once a document is successfully uploaded, the text for the button will automatically change to “Download”. You can upload any type of file (PDF, Word, JPG, GIF, etc.). There is no limit to the size of the document.

Applicants can modify the general information provided in the system, select a project type, and update the project summary by clicking “Update” at the top right corner of the “DVRPC CMAQ Application Checklist” page (Figure 2) after the project record is created. All applications are required to meet with DVRPC Project Implementation staff per Section 5.4 below, for bike/pedestrian projects, and must request a meeting via the application site and attend the meeting as part of the application process.

When applicants are completely satisfied with their uploaded documents, and AFTER they have requested a meeting and met with DVRPC staff, click “Submit” at the top right corner of the “DVRPC CMAQ Application Checklist” page (Figure 2). The application system will then automatically lock the application record, and an automatically generated confirmation email for the submission will be sent to the applicant (user) and DVRPC. If an applicant does not receive this email, they should contact Richard Murphy, Jr. at murphy@dvrpc.org or (215) 238 – 2946. The system will automatically lock all CMAQ applications after 5:00 PM on June 28, 2019.

5.3 Request to Schedule Mandatory Meeting with DVRPC

All applicants requesting CMAQ funds for this program are required to meet with DVRPC staff at DVRPC, 190 N. Independence Mall West, 8th Floor, Philadelphia, PA 19106, or at PennDOT 6-0, 7000 Geerdes Boulevard, King of Prussia, PA 19406, before the application deadline. Location is at the discretion of the available Project Implementation Engineer. DVRPC has set aside one hour for every application and has made available April 2, 2019, till May 31, 2019, to meet with applicants to discuss their proposed projects. Request a meeting via the online application.

DVRPC understands that applicants, sponsor agencies, and DVRPC staff have limited resources, and it is important that everyone’s time be used as efficiently and productively as possible. The sponsor, not just their consultant, should attend this meeting. Therefore, the purpose of these meetings is to discuss the scope, budget, schedule, and right-of-way for construction projects. Applicants should not use these meetings to obtain preliminary project selection committee decisions on the content of the application or to raise other matters that are outside of DVRPC’s purview. DVRPC will not be providing help to complete the actual application; however, DVRPC will provide direction on the scope, budget, schedule, and the overall design development process for construction projects. It is DVRPC’s intention to remain neutral and objective in the role as program coordinator.

To request a meeting, log into the online CMAQ application system. An application must first be created in order for the user to request a meeting. In the “DVRPC CMAQ Application Checklist” web page, select the “Request Meeting” button. A request for a meeting will be sent to the program manager and they will coordinate a meeting date, time, and location for the applicant and DVRPC staff.
Figure 1: Create New CMAQ Application
**Figure 2: DVRPC CMAQ Application Checklist**

![DVRPC CMAQ Application Checklist](image)

**Figure 3: CMAQ Project Detail**

![CMAQ Project Detail](image)

<table>
<thead>
<tr>
<th>Project Title:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>County:</td>
<td></td>
</tr>
<tr>
<td>Municipality:</td>
<td></td>
</tr>
<tr>
<td>Sponsor:</td>
<td></td>
</tr>
<tr>
<td>Requested CMAQ Funds:</td>
<td></td>
</tr>
<tr>
<td>Total Project Cost:</td>
<td></td>
</tr>
<tr>
<td>Project Type:</td>
<td>Select a project type</td>
</tr>
<tr>
<td>Project Summary: (In 300 words or less, please concisely and accurately summarize your project and what CMAQ funds would provide for in the project.)</td>
<td></td>
</tr>
</tbody>
</table>
Once a meeting is scheduled, the date, time, location, and DVRPC contact will show up in the “CMAQ Project Detail” page, seen in Figure 3 above.

Prior to attending the meeting, applicants should complete the CMAQ application (as best as possible) and upload the document in the online application system at least one day prior to the scheduled meeting day. After the upload, they should “save” the application. Do not click “submit” unless it is ready for final submission. Again, after the application is "submitted," the system will not permit further changes. The applicant will make available hardcopies of the uploaded “saved” documents for the meeting, including necessary attachments, such as concept plans, maps, and estimates.

5.4 What Is the Schedule?

DVRPC allows approximately 13 weeks for applications to be completed and submitted. Following the June 28, 2019, deadline, all projects will be further screened for eligibility and assessed for their emissions reduction potential during summer 2019. Eligible projects will then be evaluated by the DVRPC CMAQ project selection committee by using a number of different factors (as described in Chapter 4). DVRPC anticipates the final approval by the DVRPC Board to occur in October 2019. DVRPC intends to notify awarded applicants within two weeks of the Board’s action. Applicants should schedule a kickoff meeting as soon as possible after receiving the award letter, must be within 60 days.

<table>
<thead>
<tr>
<th>Date</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tues. April 2, 2019</td>
<td>DVRPC begins accepting applications for eligible projects</td>
</tr>
<tr>
<td>By Fri., April 12, 2019</td>
<td>DVRPC Recorded Informational Webinar available</td>
</tr>
<tr>
<td>April 2–May 31, 2019</td>
<td>Mandatory Applicant Meetings</td>
</tr>
<tr>
<td>Fri., June 28, 2019</td>
<td>Applications Due (with accompanying documentation)</td>
</tr>
<tr>
<td>July 2019</td>
<td>Project Screening and Emissions Assessments</td>
</tr>
<tr>
<td>July 2019</td>
<td>Project Evaluation</td>
</tr>
<tr>
<td>By September 11, 2019</td>
<td>Final Project Selection</td>
</tr>
<tr>
<td>October 2019</td>
<td>Anticipated DVRPC Regional Technical Committee (October 8, 2019) and Board (October 24, 2019) Recommendation and Approval</td>
</tr>
<tr>
<td>End October/Beginning November 2019</td>
<td>DVRPC sends Award and Regrets letters</td>
</tr>
</tbody>
</table>

5.5 Helpful Resources

Besides this guidance document, DVRPC will make available a recorded informational webinar that provides general information about the program and the application process. While viewing the webinar is not mandatory, prospective applicants may find it helpful. At the time of this publication, the webinar is expected to be available on the [DVRPC CMAQ web page](#) on Friday, April 12, 2019.

Applicants are strongly encouraged to thoroughly review the [FHWA CMAQ guidance](#) before starting the application process. It provides more details regarding the eligibility requirements of the CMAQ Program.
CHAPTER 6: Managing the Project

6.1 What Assistance Is Available from DVRPC and PennDOT?

During the application and evaluation phase, DVRPC will answer all questions concerning the eligibility of a project, in consultation with FHWA and FTA. DVRPC staff will also answer questions on how to submit an application for the CMAQ Program. DVRPC will not provide direct assistance to applicants with completing their applications. It is DVRPC’s intention to remain neutral and objective in the role as program coordinator.

Once a project is selected, the development and implementation of the CMAQ project will be the primary responsibility of the project sponsor. Each project sponsor, with the assistance of the PennDOT project manager and design consultant, will establish the implementation schedule for their project; PennDOT and DVRPC staff will be available to answer questions or address concerns, but it will be up to the project sponsor to manage the project schedule.

During the implementation phase, PennDOT and DVRPC staff will provide technical assistance and guidance in the development of the CMAQ projects. In particular, PennDOT project management staff will provide assistance to the project sponsor in following all appropriate federal and state regulations to ensure that project funding is not jeopardized.

Please utilize PennDOT’s Local Project Delivery Manual (Publication 740) located at https://www.penndot.gov/Pages/default.aspx, Click on Forms, Publications & Maps

6.2 What Procedural and Regulatory Requirements Apply?

There are a number of procedural and regulatory requirements that apply to the projects implemented under the CMAQ Program. Project sponsors may not be acquainted with PennDOT, FHWA, or FTA procedures. If necessary, it is expected that project sponsors will secure professional services (consulting engineers, architects, or equipment vendors) to assist them in satisfying these requirements and advancing their projects. Applicants must comply with PennDOT “Publication 93” requirements when selecting consultant services. Remember that consultants that develop the application for the sponsor are not eligible to perform Construction Inspection services for the project.

6.2.a Typical Procedural and Regulatory Requirements

- Initiation of Project;
- Reimbursement Agreement/Notice to Proceed;
- Environmental Clearance;
- Project Engineering;
- Standards and Guidelines;
- Right-of-Way Acquisition;
- Utility Clearance;
- Permits;
- Public Utility Commission Involvement;
- Bidding;
- Construction and Implementation;
- Maintenance; and
- Cancellation of a Project.
Appendix A: **Project Selection Criteria**

**Project Selection Criteria and Weights**

<table>
<thead>
<tr>
<th>CRITERIA</th>
<th>WEIGHT</th>
<th>POINTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>PROJECT READINESS</td>
<td>25%</td>
<td>25.00</td>
</tr>
</tbody>
</table>

**High**
The project selection committee has a high degree of confidence that the sponsor can obligate funds for the proposed project within the given time period. The candidate project has a realistic schedule that includes milestones achieved and remaining for review and approval. For example, construction projects with a high level of project readiness have minimal or no environmental issues and no right-of-way concerns (or completed right-of-way). Finally, projects that have good readiness have matching funding sources secured and will have identified a clear process for implementation.

**Medium**
The project selection committee is somewhat confident that the sponsor can obligate funds for the proposed project within the given time period. The project candidate somewhat demonstrates a realistic schedule with milestones achieved and remaining for review and approval that would be improved with further guidance/assistance/follow-up from PennDOT, DVRPC, and/or County.

**Low**
The project selection committee is slightly confident that the sponsor can obligate funds for the proposed project within the given time period. The project candidate slightly demonstrates a realistic schedule with some milestones achieved and remaining for review and approval that would be improved with further guidance/assistance/follow-up from PennDOT, DVRPC, or County.

**Not Ready**
The applicant does not sufficiently demonstrate any of the above. The project selection committee is not confident that the sponsor can obligate funds for the proposed project within the given time period, even with guidance/assistance/follow-up from PennDOT, DVRPC, or County.
## Project Selection Criteria and Weights (Continued)

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Weight (Score)</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>SPONSOR CAPACITY</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>High</strong></td>
<td>25%</td>
<td>25.00</td>
</tr>
<tr>
<td>The sponsor has continuously demonstrated to be very successful in the authorization and implementation of federally funded projects, in which PennDOT, DVRPC, and/or County also had a good experience in working with the sponsor. The sponsor was generally cooperative and responsive to PennDOT, DVRPC, and/or County requests in a timely manner. The sponsor demonstrates clear commitment to implement, operate, and maintain the project, during and after the CMAQ funding period. The sponsor demonstrates adequate, if not excellent, institutional capacity to manage the project and obtain the necessary permits, bids, and contracts.</td>
<td>100%</td>
<td>25.00</td>
</tr>
<tr>
<td><strong>Medium</strong></td>
<td>50%</td>
<td>12.5</td>
</tr>
<tr>
<td>The sponsor has implemented federally funded projects, in which PennDOT, DVRPC, and/or County generally had no poor experience in working with the sponsor. The sponsor demonstrates commitment to implement, operate, and maintain the project, during and after the CMAQ funding period. The sponsor demonstrates adequate institutional capacity to manage the project and obtain the necessary permits, bids, and contracts with or without PennDOT, DVRPC, and/or County guidance. PennDOT, DVRPC, and/or County believe that the sponsor's capacity will not become an issue should the project receive a CMAQ award.</td>
<td>50%</td>
<td>12.5</td>
</tr>
<tr>
<td><strong>Low</strong></td>
<td>25%</td>
<td>6.25</td>
</tr>
<tr>
<td>The Project selection committee is not confident that the sponsor has adequate capacity and commitment to implement the project should CMAQ funding be awarded. PennDOT, DVRPC, and/or County found the sponsor, from prior experience, not cooperative or not responsive during the process of authorizing state or federally funded projects. The sponsor did not make any progress toward project authorization by failing to make the required submissions in a timely manner or was not cooperative/responsive to PennDOT or DVRPC, thus resulting in missed authorization deadlines. Or the sponsor had more than once missed authorization deadlines, was debarred from federal funds, violated the federal process, or despite guidance, did not follow/understand the federal process.</td>
<td>25%</td>
<td>6.25</td>
</tr>
</tbody>
</table>
### Project Selection Criteria and Weights (Continued)

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Weight (Score)</th>
<th>Points</th>
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</thead>
<tbody>
<tr>
<td><strong>COST EFFECTIVENESS</strong></td>
<td>20%</td>
<td>20.00</td>
</tr>
</tbody>
</table>

**High**
Projects that result in High cost effectiveness: \(\frac{\text{Amount requested in dollars}}{\text{Lifetime NO}_x \text{ emission reductions}} + \frac{\text{Amount requested in dollars}}{\text{Lifetime PM}_{2.5} \text{ emission reductions}} + \frac{\text{Amount requested in dollars}}{\text{Lifetime VOC emission reductions}}\)

Where total lifetime NO\(_x\) (or PM\(_{2.5}\) or VOC) reductions are calculated by multiplying the annual NO\(_x\) (or PM\(_{2.5}\) or VOC) emission reductions by the remaining useful life, which is determined by the applicant’s replacement schedule. Up to $99,999/ton of Pollutant Reduced

100% 20.00

**Medium-High**
Projects that result in Medium to High cost effectiveness: \(\frac{\text{Amount requested in dollars}}{\text{Lifetime NO}_x \text{ emission reductions}} + \frac{\text{Amount requested in dollars}}{\text{Lifetime PM}_{2.5} \text{ emission reductions}} + \frac{\text{Amount requested in dollars}}{\text{Lifetime VOC emission reductions}}\)

Where total lifetime NO\(_x\) (or PM\(_{2.5}\) or VOC) reductions are calculated by multiplying the annual NO\(_x\) (or PM\(_{2.5}\) or VOC) emission reductions by the remaining useful life, which is determined by the applicant’s replacement schedule. $100,000/ton of Pollutant Reduced to $499,999/ton of Pollutant Reduced

75% 15.00

**Medium**
Projects that result in Medium cost effectiveness: \(\frac{\text{Amount requested in dollars}}{\text{Lifetime NO}_x \text{ emission reductions}} + \frac{\text{Amount requested in dollars}}{\text{Lifetime PM}_{2.5} \text{ emission reductions}} + \frac{\text{Amount requested in dollars}}{\text{Lifetime VOC emission reductions}}\)

Where total lifetime NO\(_x\) (or PM\(_{2.5}\) or VOC) reductions are calculated by multiplying the annual NO\(_x\) (or PM\(_{2.5}\) or VOC) emission reductions by the remaining useful life, which is determined by the applicant’s replacement schedule. $500,000/ton of Pollutant Reduced to $1,999,999/ton of Pollutant Reduced

50% 25%

**Medium-Low**
Projects that result in Medium to Low cost effectiveness: \(\frac{\text{Amount requested in dollars}}{\text{Lifetime NO}_x \text{ emission reductions}} + \frac{\text{Amount requested in dollars}}{\text{Lifetime PM}_{2.5} \text{ emission reductions}} + \frac{\text{Amount requested in dollars}}{\text{Lifetime VOC emission reductions}}\)

Where total lifetime NO\(_x\) (or PM\(_{2.5}\) or VOC) reductions are calculated by multiplying the annual NO\(_x\) (or PM\(_{2.5}\) or VOC) emission reductions by the remaining useful life, which is determined by the applicant’s replacement schedule.

$2,000,000/ton of Pollutant Reduced and to $9,999,999/ton of Pollutant Reduced

10.00 0%

**Low**
Projects that result in Low cost effectiveness: \(\frac{\text{Amount requested in dollars}}{\text{Lifetime NO}_x \text{ emission reductions}} + \frac{\text{Amount requested in dollars}}{\text{Lifetime PM}_{2.5} \text{ emission reductions}} + \frac{\text{Amount requested in dollars}}{\text{Lifetime VOC emission reductions}}\)

Where total lifetime NO\(_x\) (or PM\(_{2.5}\) or VOC) reductions are calculated by multiplying the annual NO\(_x\) (or PM\(_{2.5}\) or VOC) emission reductions by the remaining useful life, which is determined by the applicant’s replacement schedule. $10,000,000,000/ton of Pollutant Reduced and greater

5.00 0.00
### Project Selection Criteria and Weights (Continued)

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<tr>
<th>Criteria</th>
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<tr>
<td><strong>LONG-TERM VIABILITY OF EMISSIONS BENEFIT</strong></td>
<td>20%</td>
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<tr>
<td>High</td>
<td>100%</td>
<td>20.00</td>
</tr>
<tr>
<td>Projects that provide benefits for reducing emissions, improving operations, or reducing congestion for more than 10 years.</td>
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<td></td>
</tr>
<tr>
<td>Medium</td>
<td>50%</td>
<td>10.00</td>
</tr>
<tr>
<td>Projects with five to 10 years of identifiable emissions benefit (benefit may expire as technology is replaced or equipment ages) or outreach project or transit subsidy with an identified funding source.</td>
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</tr>
<tr>
<td>Low</td>
<td>25%</td>
<td>5.00</td>
</tr>
<tr>
<td>Projects that cannot definitively demonstrate benefits beyond five years, or have fewer than five years of an identifiable emissions benefit.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Environmental Justice**

Projects that will further EJ in the Greater Philadelphia Region and can demonstrate benefits to communities of concern/population group(s) susceptible to air pollution will receive a higher score in this criterion. The higher the project location's EJ score (ranging from 0 to 12), using DVRPC’s Equity Analysis tool, the higher the score for this section. The five points for this section are allocated according to the following EJ scores: 0 EJ score is 0 points, 1–3 EJ score is 1 point, 4–6 EJ score is 2 points, 7–9 EJ score is 3 points, and 10–12 EJ score is 4 points. Up to 1 point is awarded for the open-ended question addressing potential benefits and/or mitigation.

<table>
<thead>
<tr>
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<tr>
<td><strong>LEVEL OF MATCH</strong></td>
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<tr>
<td>High: Over 75%</td>
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<td>Medium High: Between 50% and 74.9%</td>
<td>75%</td>
<td>3.75</td>
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<tr>
<td>Medium: Between 35% and 49.9%</td>
<td>50%</td>
<td>2.50</td>
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<tr>
<td>Low: Between 20.1% and 34.9%</td>
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<td>1.25</td>
</tr>
<tr>
<td>Required: 20%</td>
<td>0%</td>
<td>0</td>
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</table>

Notes: (1) The EJ score is calculated based on the project’s score for the three identified populations (low-income, racial minority, and ethnic minority) using the DVRPC Equity Analysis. The EJ score ranges from 0 to 12. However, the project selection committee will also assess the qualitative answers provided in the application form.

**A PROJECT’S MAXIMUM SCORE:**

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<th>Levels</th>
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<tbody>
<tr>
<td>High: Over 75%</td>
<td>100%</td>
<td>100</td>
</tr>
</tbody>
</table>

---

**Notes:** (1) The EJ score is calculated based on the project’s score for the three identified populations (low-income, racial minority, and ethnic minority) using the DVRPC Equity Analysis. The EJ score ranges from 0 to 12. However, the project selection committee will also assess the qualitative answers provided in the application form.
Appendix B
Appendix B: Project Implementation Procedural and Regulatory Requirements

PennDOT Design Development Process

Please utilize PennDOT’s Local Project Delivery Manual (Publication 740) located at https://www.penndot.gov/Pages/default.aspx, Click on “Forms, Pubs & Maps.”

Initiation of Project

The sponsor must initiate their project for funding authorization within 60 days of notification of project award. A project is considered to be initiated when the sponsor has contacted PennDOT to schedule a project scoping meeting.

Reimbursement Agreement

The federal highway program is a reimbursable program. It is very important that record keeping be in accordance with the “Federal Guidance for Third-Party Agreements.” Only those costs specifically associated with the implementation of the project are to be charged to the project. When there is a third-party consultant or contractor performing the work, the administrative costs of the sponsor are not eligible.

The public entity must execute a standard reimbursement agreement with PennDOT prior to proceeding with any work on the project for which they seek to be reimbursed. If the project is selected, the project sponsor will work with PennDOT staff to draft and execute the agreement. Any project costs incurred prior to the execution of a project reimbursement agreement will not be eligible for reimbursement.

Environmental Clearance

All projects involving construction will require an environmental clearance document as part of the engineering phase of work. This document may be a Categorical Exclusion, Environmental Assessment, or Environmental Impact Statement. The level of detail required will be determined by PennDOT based on the nature of the specific project. Normally, when the scope of the project is being determined, a decision will be made on the type of documentation required. It is the responsibility of the project sponsor to have the environmental document prepared.

Project Engineering

Projects must follow standard federal and state procedures for all phases of work. If project sponsors do not have a qualified professional on staff, they should acquire the services of a consultant to oversee the development and implementation of the project and ensure compliance with all state and federal requirements. The acquisition of consultant services must be in accordance with federal procedures. In the case of municipally sponsored projects, municipalities may choose to use their municipal engineers with PennDOT approval, or follow an approved consultant selection process. It is important to recognize that the design and/or construction engineers are employed by the project sponsor, not by DVRPC or PennDOT. Project sponsors MUST comply with PennDOT “Publication 93” requirements for the selection of a project consultant.
Standards and Guidelines
Standards are established to protect the health and safety of the public. All projects must be designed to meet federal and state standards. However, in some instances, traditional federal and state highway standards may not apply to a particular project. In such cases, sponsors should follow any guidance available that applies to their project with federal and state concurrence. Examples include guidelines prepared by the Rails to Trails Conservancy, the American Association of State Highway and Transportation Officials, the Secretary of Interior’s Standards for the Treatment of Historic Properties, and the Manual of Uniform Traffic Control Devices.

Right-of-Way Clearance
All right-of-way coordination must follow federal regulations and the Uniform Relocation Assistance Act. In particular, property owners must be advised that federal funding is being used to construct the project and they are entitled to fair market value for their property. 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 donations of property to the project. Proof of ownership of the right-of-way will be required for all projects prior to advertising for construction bids. For more information, click here to view FHWA’s Real Estate Acquisition Guide for Local Public Agencies. Also, utilize PennDOT “Publication 83, Local Public Agency,” documents found here: https://www.penndot.gov/Pages/default.aspx, Click on “Forms, Pubs & Maps.”

Utility Clearance
All projects involving construction must have utility clearance 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
The project sponsor is responsible for securing all necessary permits to design and implement the project. These may involve the Department of Environmental Protection, the Department of Conservation and Natural Resources, the U.S. Army Corps of Engineers, local municipal permits, etc.

Public Utility Commission Involvement
Certain projects, such as rails to trails projects or those involving railroad crossings, 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.

Bidding
For projects that require a contractor to perform physical construction, the sponsor’s professional engineer will assemble the contract proposal package. The Plans, Specifications, and Estimate (PS&E) package will be reviewed by PennDOT. Bidding will be managed by the project sponsor or the PennDOT District 6-0 Office, as agreed upon at project inception, and must follow federal procurement procedures.

Specification of proprietary or sole source items will not be permitted without the prior written approval of PennDOT.

Construction and Implementation
Project sponsors may proceed with the construction or implementation phase of the project upon receipt of written authorization to do so from PennDOT. This will ensure that all necessary approvals have been secured. Construction or implementation must be performed by an approved contractor. All material used in conjunction with the project must meet project specifications (including special provisions included in the PS&E).

**Control, Use, and Maintenance**

The project sponsor will be responsible for the continuing control, use, and maintenance of the project after completion of construction. No federal CMAQ funding will be provided for maintenance activities.

**Cancellation of a Project**

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 and for the payment of all outstanding invoices to engineers or contractors.
## Appendix C: Committee Members

### CMAQ Program Selection Committee Members

<table>
<thead>
<tr>
<th>DVRPC Pennsylvania Competitive CMAQ Program Committee Members</th>
</tr>
</thead>
</table>
| **Indicates a Voting Member of the Committee**  
**Indicates a Shared Seat and are voting members of the Committee** |
<p>| <strong>Name and Address</strong> | <strong>Phone/Fax/Email</strong> |
| <strong>DVRPC</strong> |  |
| Richard Murphy, Jr |  |
| Manager, PA Capital Programs | (215) 238-2946 – <a href="mailto:Prmurphy@dvrpc.org">Prmurphy@dvrpc.org</a> |
| Delaware Valley Regional Planning Commission |  |
| The ACP Building – 8th Floor |  |
| 190 N. Independence Mall West |  |
| Philadelphia, PA 19106-1520 |  |
| Sean Greene |  |
| Manager, Air Quality Programs | (215) 238-2860 – <a href="mailto:Psgreene@dvrpc.org">Psgreene@dvrpc.org</a> |
| Delaware Valley Regional Planning Commission |  |
| The ACP Building – 8th Floor |  |
| 190 N. Independence Mall West |  |
| Philadelphia, PA 19106-1520 |  |
| <strong>PennDOT</strong> |  |
| Jonathan Korus* |  |
| Transportation Planning Specialist 1 | (610) 205-6961 – <a href="mailto:Pjkorus@pa.gov">Pjkorus@pa.gov</a> |
| Pennsylvania Department of Transportation |  |
| District 6-0 |  |
| 7000 Geerdes Blvd. |  |
| King of Prussia, PA 19406 |  |
| James Mosca* |  |
| Transportation Planning Manager, Center for Program Development &amp; Management | (717) 787-1250 – <a href="mailto:Pjmosca@pa.gov">Pjmosca@pa.gov</a> |
| Pennsylvania Department of Transportation |  |
| 400 North Street – 6th Floor |  |
| Harrisburg, PA 17105-3365 |  |</p>
<table>
<thead>
<tr>
<th>County</th>
<th>Member Name</th>
<th>Title</th>
<th>Address</th>
<th>Phone</th>
<th>Email</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bucks County</td>
<td>Richard Brahler*</td>
<td>Director of Transportation Planning</td>
<td>Bucks County Planning Commission 1260 Almshouse Road Doylestown, PA 18901</td>
<td>(215) 345-3427 – P</td>
<td><a href="mailto:fgbrahler@buckscounty.org">fgbrahler@buckscounty.org</a></td>
</tr>
<tr>
<td>Chester County</td>
<td>Brian Styche*</td>
<td>Transportation Services Director</td>
<td>Chester County Planning Commission 601 Westtown Road – Suite 270 P.O. Box 2747 West Chester, PA 19380-0990</td>
<td>(610)344-6285 – P</td>
<td><a href="mailto:bstyche@chesco.org">bstyche@chesco.org</a></td>
</tr>
<tr>
<td>Delaware County</td>
<td>Tom Shaffer*</td>
<td>Manager, Transportation Planning</td>
<td>Delaware County Planning Department First Floor, 1055 E. Baltimore Pike Media, PA 19063</td>
<td>(610) 891-5217 – P</td>
<td><a href="mailto:shaffert@co.delaware.pa.us">shaffert@co.delaware.pa.us</a></td>
</tr>
<tr>
<td>Montgomery County</td>
<td>Matthew Edmond*</td>
<td>Section Chief - Transportation</td>
<td>Montgomery County Planning Commission Court House P.O. Box 311 Norristown, PA 19404-0311</td>
<td>(610) 278-3742 – P</td>
<td><a href="mailto:medmond@montcopa.org">medmond@montcopa.org</a></td>
</tr>
<tr>
<td>City of Philadelphia</td>
<td>Angela Dixon**</td>
<td>Director of Planning Office of Transportation, Infrastructure, and Sustainability (OTIS) City of Philadelphia 1401 John F. Kennedy Blvd. – 14th floor, Suite 1430 Philadelphia, PA 19102</td>
<td>(215) 686-8158 – P</td>
<td><a href="mailto:angela.e.dixon@phila.gov">angela.e.dixon@phila.gov</a></td>
<td></td>
</tr>
<tr>
<td></td>
<td>David Kanthor, AICP**</td>
<td>Transportation Planner</td>
<td>Philadelphia City Planning Commission 1515 Arch Street, 13th Floor Philadelphia, PA 19102</td>
<td>215.683.4643 - P</td>
<td><a href="mailto:david.kanthor@phila.gov">david.kanthor@phila.gov</a></td>
</tr>
<tr>
<td>Committee Members (con’t)</td>
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<tr>
<td><strong>Nicholas Baker</strong></td>
<td><strong>Southeastern Pennsylvania Transportation Authority</strong></td>
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<tr>
<td>Transportation Program Manager</td>
<td>Brian McFadden*</td>
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</tr>
<tr>
<td>Philadelphia Department of Streets</td>
<td>Manager, Capital Grant Development</td>
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<td>Southeastern Pennsylvania Transportation Authority</td>
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<tr>
<td>Municipal Services Bldg., Room 960</td>
<td>1234 Market Street, 9th Floor</td>
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</tr>
<tr>
<td>Philadelphia, PA 19102</td>
<td>Philadelphia, PA 19107</td>
<td></td>
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</tr>
<tr>
<td><a href="mailto:Nicholas.Baker@phila.gov">Nicholas.Baker@phila.gov</a></td>
<td>215) 580-3166 – P</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(215) 686-5544 – P</td>
<td><a href="mailto:bmcfadden@septa.org">bmcfadden@septa.org</a></td>
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<tr>
<td><strong>FHWA—Pennsylvania</strong></td>
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<tr>
<td>Jennifer Crobak</td>
<td>Barbara Holcomb*</td>
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<tr>
<td>Community Planner</td>
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<td>Camden, NJ 08101-1949</td>
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<tr>
<td>(717) 221-3440 – P</td>
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</tr>
<tr>
<td><a href="mailto:jennifer.crobak@dot.gov">jennifer.crobak@dot.gov</a></td>
<td><a href="mailto:b_holcomb@drpa.org">b_holcomb@drpa.org</a></td>
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## Appendix D: Sample Project Progress Report

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<table>
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### Approved Project Description:

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<td>Other/Permits</td>
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<td>Reimbursement Agreement</td>
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<td>Construction Inspection Contract</td>
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<td>Funding Obligation</td>
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DVRPC GUIDANCE
DVRPC FY2019 Competitive Congestion Mitigation and Air Quality (CMAQ) Program for Pennsylvania

Date Published: May 2019

Geographic Area Covered:
Bucks, Chester, Delaware, Montgomery and Philadelphia Counties

Key Words:
Air Quality, Bicycle and Pedestrian, Buy America, CMAQ, Congestion, Congestion Mitigation and Air Quality, FAST Act, FY2019 Competitive Program Guidance, Idling Reduction, TEA-21, SAFETEA-LU, MAP-21, TDM, Transit Improvements and Programs, Transportation, Transportation Demand Management, PennDOT, Pennsylvania, Private-Public Partnership, P3, Project Selection Criteria, SEPTA.

Abstract:
The FY2019 DVRPC Competitive CMAQ Program for Pennsylvania opens April 2, 2019 and will close on Friday, June 28, 2019 at 5:PM. Up to $25 million will be available for eligible project applications. CMAQ funded eligible projects includes transit, bicycle, pedestrian improvements or programs, congestion reduction and traffic flow improvements, and transportation demand management programs, among others to reduce emissions and congestion in the region. This guidance by DVRPC details the CMAQ program eligibility, requirements, and describes all required application materials. More information is available at www.dvrpc.org/cmaq.

Staff Contact:
Richard Murphy, Jr.
Manager, PA Capital Programs
(215) 238-2946
rmurphy@dvrpc.org

DVRPC, 8th Floor
190 N. Independence Mall West
Philadelphia, PA 19106-1520
(215) 592-1800
www.dvrpc.org/cmaq