



SANTA CRUZ COUNTY REGIONAL TRANSPORTATION COMMISSION

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MEMORANDUM

Date: July 30, 2021
To: Transportation Project Sponsors
From: Rachel Moriconi, Senior Transportation Planner
Subject: **CALL FOR PROJECTS – 2021 Consolidated Regional Transportation Grants**

Project sponsors are hereby invited to submit applications to the Santa Cruz County Regional Transportation Commission (RTC) requesting funding for transportation projects and programs in Santa Cruz County.

Deadline: Applications are due by **4:00 p.m. on October 5, 2021**. Complete application packages must be submitted electronically to rmoriconi@sccrtc.org by the deadline in order to be considered for funding. *Hard copies are not required.*

Available Funds: This is a consolidated call for projects for approximately \$11 million anticipated to be available from the region's formula shares of funds from several state and federal programs. These include the following:

- Surface Transportation Block Grant Program (STBG)/Regional Surface Transportation Program Exchange (RSTPX): Approximately \$3.5 million, available as soon as December 2021.
- State Transportation Improvement Program (STIP): Approximately \$4 million, with most funds anticipated to be available in FY25/26 and FY26/27;
- Federal Highway Infrastructure Program (HIP): Approximately \$500,000, available as soon as February 2022 to June 2024.
- Coronavirus Response and Relief Supplemental Appropriations Act of 2021 (CRRSAA) STIP: Approximately \$1.3 million. Funds available March 2022 to June 2024; and
- CRRSAA-STBG: Approximately \$1.2 million. Funds may be available as soon as February 2022 to June 2024.

Required Application Package Contents: In order for an application to be considered complete, the following documents must be submitted:

1. Project Programming Request (Excel document – includes multiple tabs)
 - a. Project Information
 - b. Project Benefits/Evaluation Criteria
 - c. Capital Projects:
 - i. Schedule, Cost and Funding Summary
 - ii. Engineers estimate
 - d. Non-infrastructure projects/programs: Detailed task, cost, schedule
 - e. Certification and Assurances
2. Detailed project description/scope (created by applicant)
3. Map, photos, and any other supporting materials (created by applicant)
4. For Roadway Preservation Projects – supplemental materials (MSWord document)

The information included in the application packet is needed for evaluation and programming purposes. Electronic copies of application materials are available by emailing rmoriconi@sccrtc.org and will be online at: <http://sccrtc.org/funding-planning/project-funding/>.

Eligible Projects: Funds are available for transportation projects and programs in Santa Cruz

County. Eligible projects include a wide range of public street/road and highway, local roadway reconstruction/rehabilitation, bicycle, pedestrian, transit, transportation system management, transportation demand management and other projects summarized in [Attachment 1](#) and set forth in federal and/or state guidelines for each funding source. Ongoing, general roadway and transit operations and maintenance are not eligible for STIP, CRRSAA-STIP, or STBG/RSTPX funds.

Eligible Applicants: Cities, the County of Santa Cruz, SCCRTC, Caltrans, Santa Cruz Metropolitan Transit District (METRO), University of California at Santa Cruz (UCSC) and other governmental agencies with a master agreement with Caltrans are eligible recipients of these funds. Non-governmental and other entities interested in applying for funds are required to have a public agency sponsor (with a Master Agreement with Caltrans) that will be responsible for ensuring state and federal accounting and implementation requirements are met.

Project Evaluation: Projects will be evaluated based on a range of criteria and project benefits ([Attachment 2](#)). Applicants should clearly and succinctly articulate the benefits of their project, demonstrating how their project advances *Santa Cruz County Regional Transportation Plan*, state, and/or federal goals, policies, performance metrics, and targets related to **safety, infrastructure condition, system performance/reliability, access for all, and/or health and equity**. **Some projects may address only one or two of these measures, and are not required to address all of them.**

Type of Funds for Approved Projects: Staff will work with projects sponsors and the Interagency Technical Advisory Committee (ITAC) to determine the most appropriate funding source ("color of funds") for each project that is recommended and approved for funds, taking into consideration funding source-specific eligibility criteria, project schedules and potential delivery risks, size, and other factors. Staff will try to focus funds which have more requirements (such as federal and STIP funds) to fewer projects that can more easily navigate such requirements. Staff will work with project sponsors to coordinate and expedite use of funds.

Project Implementation: Approved projects will be subject to California and Federal requirements, as may be applicable to each source. These include, but are not necessarily limited to:

- Caltrans' [Local Assistance Program Guidelines \(LAPG\)](#) and [Local Assistance Procedures Manual \(LAPM\)](#)
- California Transportation Commission (CTC) Guidelines (STIP, CRRSAA-STIP, CRRSAA-STBG)
- Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) guidelines
- Other state or federal requirements, as may be applicable.

Workshop: An optional workshop to review and respond to questions on the application will be held by [zoom](#) on **September 1 at 10:00am**.

Applicants are encouraged, but not required, to attend. Applicants are also encouraged to have their preliminary draft application completed before the workshop and to submit questions in advance of the workshop to rmoriconi@sccrtc.org. An FAQ will be posted online and periodically updated.

Matching Funds: In order to maximize funding options for each project, applicants should include an 11.47% non-federal match or in-kind donations for each project.

Timeline:

July 30, 2021

September 1 - 10:00am

October 5 - 4:00pm

Call for Projects issued

Application Workshop #2 by Zoom

Applications due to rmoriconi@sccrtc.org

November 2021
December 2, 2021
March 23/24, 2022

RTC advisory committees review/recommend projects
Public hearing and RTC approval of projects
California Transportation Commission (CTC) action on STIP
funds

Contact: For any questions about this application or to request additional information, please contact Rachel Moriconi at rmoriconi@sccrtc.org or 831-460-3203.

Background: *The Santa Cruz County Regional Transportation Commission (RTC), in its capacity as the state-designated Regional Transportation Planning Agency (RTPA) is responsible for selecting projects to receive certain federal and state funds. Approved projects will be programmed in the RTC's Regional Transportation Improvement Program (RTIP) and/or RTC budget, as appropriate. Projects approved for STIP and CRRSAA funding by the RTC are subject to concurrence and allocation from the California Transportation Commission (CTC). Projects approved for federal funds or considered capacity increasing or regionally significant will also be programmed in AMBAG's Metropolitan Transportation Improvement Program (MTIP).*

Attachments:

1. Discretionary Fund Descriptions
2. Evaluation Criteria
3. Application
4. Roadway Preservation Projects (only required for roadway repair, rehab, preservation projects)
 - Rehabilitation: "Local Road Rehabilitation Project Certification"
 - Preventive Maintenance: "Pavement Management System (PMS) Certification"

Discretionary Fund Descriptions

Santa Cruz County Regional Transportation Commission (RTC)

Surface Transportation Block Grant Program/Regional Surface Transportation Program Exchange (STBG/RSTPX)

Background: The STBG program (sometimes referred to as RSTP and STP) is established through the federal transportation act, with criteria set by FHWA and Caltrans Local Assistance guidance, and RTC Rules and Regulations. As a smaller county in California, the state usually allows RTC to exchange the federal STBG funds for state RSTPX. Earlier this year, following a performance audit of several regional agencies, FHWA informed regions that they are not allowed to sub-allocate the funds by formula to certain agencies or modes and that a performance-based evaluation should be used to select projects to receive these and other funds.

RTC-discretionary share: Approximately \$3.5 million. *The County of Santa Cruz receives an additional \$224,813 of the region's share directly.*

Eligible applicants: Governmental entities implementing eligible activities, including RTC, Caltrans, cities, counties, UCSC, METRO, Cabrillo, and non-profits with a master agreement with Caltrans or with a public agency sponsor – such as Community Bridges, Ecology Action, Bike Santa Cruz County, Community Traffic Safety Coalition, etc.

Eligible Projects and Activities:

General: Funds must be used for projects as defined in Article XIX--Motor Vehicle Revenues of the California State Constitution or in Sections 133(b) and 133(c) of Title 23-Highways of the United States Code (U.S.C.). Only direct project-related costs are eligible. Local agency overhead and other non-direct charges are ineligible.

1. **Location of Projects** (23 U.S.C. 133(c)): STBG projects may not be undertaken on a road functionally classified as a local road or a rural minor collector unless the road was on a Federal-aid highway system on January 1, 1991, except-
 - (1) For a bridge or tunnel project (other than the construction of a new bridge or tunnel at a new location) not on federal-aid highways;
 - (2) For a project described in 23 U.S.C. 133(b)(4)-(11) and described below under "Eligible Activities" (b)(4) through (11);
 - (3) For transportation alternatives projects described in 23 U.S.C. 101(a)(29) before enactment of the FAST Act (these are described in 23 U.S.C. 133(h) and in separate TA Set-Aside guidance.); and
 - (4) As approved by the Secretary of the U.S. Department of Transportation (DOT).
2. **Eligible Activities** (23 U.S.C. 133(b)): Subject to the location of projects requirements in paragraph (a), the following eligible activities are listed in 23 U.S.C. 133(b):
 - (1) Construction: Construction, as defined in 23 U.S.C. 101(a)(4)¹, of the following:

¹ Construction, as defined in 23 U.S.C. 101(a)(4).—The term "construction" means the supervising, inspecting, actual building, and incurrence of all costs incidental to the construction or reconstruction of a highway or any project eligible for assistance under this title, including bond costs and other costs relating to the issuance in accordance with section 122 of bonds or other debt financing instruments and costs incurred by the State in performing Federal-aid project related audits that directly benefit the Federal-aid highway program. Such term includes—

(A) preliminary engineering, engineering, and design-related services directly relating to the construction of a highway project, including engineering, design, project development and management, construction project management and inspection, surveying, mapping (including the establishment of temporary and permanent geodetic control in accordance with specifications of the National Oceanic and Atmospheric Administration), and architectural-related services;

(B) reconstruction, resurfacing, restoration, rehabilitation, and preservation;

(C) acquisition of rights-of-way;

- i. Highways, bridges, and tunnels, including roads under 40 U.S.C. 14501;
 - iii. Transit capital projects eligible under chapter 53 of title 49, United States Code;
 - iv. Infrastructure-based intelligent transportation systems capital improvements, including the installation of vehicle-to-infrastructure communication equipment;
 - v. Truck parking facilities eligible under Section 1401 of MAP-21 (23 U.S.C. 137 note); and
- (2) TDM/TSM Operations: Operational improvements and capital and operating costs for traffic monitoring, management, and control facilities and programs. Operational improvement is defined in 23 U.S.C. 101(a)(18).
- (3) Environmental Measures eligible under 23 U.S.C. 119(g), 328, and 329, and transportation control measures listed in Section 108(f)(1)(A) (other than clause (xvi) of that section) of the Clean Air Act (42 U.S.C. 7408(f)(1)(A)).
- (4) Safety Projects: Highway and transit safety infrastructure improvements and programs, including railway-highway grade crossings.
- (5) Parking and Carpool Projects: Fringe and corridor parking facilities and programs in accordance with 23 U.S.C. 137 and carpool projects in accordance with 23 U.S.C. 146. Carpool project is defined in 23 U.S.C. 101(a)(3).
- (6) Bike, Pedestrian, Trail Projects: Recreational trails projects eligible under 23 U.S.C. 206, pedestrian and bicycle projects in accordance with 23 U.S.C. 217 (including modifications to comply with accessibility requirements under the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.)), and the Safe Routes to School Program under Section 1404 of SAFETEA-LU (23 U.S.C. 402 note).
- (7) Boulevard Development: Planning, design, or construction of boulevards and other roadways largely in the right-of-way of former Interstate System routes or other divided highways.
- (8) State Planning: Development and implementation of a State asset management plan for the National Highway System (NHS) and a performance-based management program for other public roads.
- (9) Bridge Preservation: Protection (including painting, scour countermeasures, seismic retrofits, impact protection measures, security countermeasures, and protection against extreme events) for bridges (including approaches to bridges and other elevated structures) and tunnels on public roads, and inspection and evaluation of bridges and tunnels and other highway assets.
- (10) Planning, Research and Development: Surface transportation planning programs, highway and transit research and development and technology transfer programs, and workforce development, training, and education under chapter 5 of title 23, United States Code.
- (11) Intermodal Infrastructure: Surface transportation infrastructure modifications to facilitate direct intermodal interchange, transfer, and access into and out of a port terminal.
- (12) Congestion Pricing and TDM: Projects and strategies designed to support congestion pricing, including electronic toll collection and travel demand management strategies and programs.
- (15) Other Projects: Any type of project eligible under 23 U.S.C. 133 as in effect on the day before the FAST Act was enacted. Among these are:
- i. Bridge Replacement: Replacement of bridges with fill material;
 - ii. Bridge Inspector Training: Training of bridge and tunnel inspectors;

(D) relocation assistance, acquisition of replacement housing sites, and acquisition and rehabilitation, relocation, and construction of replacement housing;

(E) elimination of hazards of railway-highway grade crossings;

(F) elimination of roadside hazards;

(G) improvements that directly facilitate and control traffic flow, such as grade separation of intersections, widening of lanes, channelization of traffic, traffic control systems, and passenger loading and unloading areas; and

(H) capital improvements that directly facilitate an effective vehicle weight enforcement program, such as scales (fixed and portable), scale pits, scale installation, and scale houses.

- iii. Bridge Treatments: Application of calcium magnesium acetate, sodium acetate/formate, or other environmentally acceptable, minimally corrosive anti-icing and deicing compositions for bridges (and approaches to bridges and other elevated structures) and tunnels;
- iv. Projects to accommodate other transportation modes continue to be eligible pursuant to 23 U.S.C. 142(c) if such accommodation does not adversely affect traffic safety;
- v. Transit capital projects eligible for assistance under chapter 53 of title 49 United States Code (most FTA transit programs), including vehicles and facilities (publicly or privately owned) that are used to provide intercity passenger bus service;
- vi. Ferry Terminal Access: Approach roadways to ferry terminals to accommodate other transportation modes and to provide access into and out of the ports;
- vii. Transportation alternatives previously described in 23 U.S.C. 101(a)(29) and described in 23 U.S.C. 213; [*includes carrying out non-infrastructure-related activities related to safe bicycle use under 23 U.S.C. 133(b)(6), 217(a), and Sec. 1404(f) of SAFETEA-LU*]
- viii. Intersection Safety/Congestion: Projects relating to intersections having disproportionately high accident rates, high levels of congestion (as evidenced by interrupted traffic flow at the intersection and a level of service rating of "F" during peak travel hours, calculated in accordance with the Highway Capacity Manual), and are located on a Federal-aid highway;
- ix. Construction and operational improvements for any minor collector if the minor collector and the project to be carried out are in the same corridor and in proximity to an NHS route; the construction or improvements will enhance the level of service on the NHS route and improve regional traffic flow; and the construction or improvements are more cost-effective, as determined by a benefit-cost analysis, than an improvement to the NHS route;
- x. Workforce development, training, and education activities discussed in 23 U.S.C. 504(e);
- xi. Advanced truck stop electrification systems. Truck stop electrification system is defined in 23 U.S.C. 101(a)(32);
- xii. Installation of safety barriers and nets on bridges, hazard eliminations, projects to mitigate hazards caused by wildlife;
- xiii. Electric vehicle and natural gas vehicle infrastructure in accordance with 23 U.S.C. 137;
- xiv. Asset Management: Data collection, maintenance, and integration and the costs associated with obtaining, updating, and licensing software and equipment required for risk-based asset management and performance based management, and for similar activities related to the development and implementation of a performance based management program for other public roads;
- xv. Construction of any bridge in accordance with 23 U.S.C. 144(f) that replaces any low water crossing (regardless of the length of the low water crossing); any bridge that was destroyed prior to January 1, 1965; any ferry that was in existence on January 1, 1984; or any road bridge that is rendered obsolete as a result of a Corps of Engineers flood control or channelization project and is not rebuilt with funds from the Corps of Engineers. Not subject to the Location of Project requirement in 23 U.S.C. 133(c); and
- xvi. Historic Preservation: Actions in accordance with the definition and conditions in 23 U.S.C. 144(g) to preserve or reduce the impact of a project on the historic integrity of a historic bridge if the load capacity and safety features of the historic bridge are adequate to serve the intended use for the life of the historic bridge. Not subject to the Location of Project requirement in 23 U.S.C. 133(c).

1. **Applicability of Planning Requirements (23 U.S.C. 133(d)(5))**: Projects must be identified in the Transportation Improvement Program (TIP) and be consistent with the Long-Range Statewide Transportation Plan and the Metropolitan/Regional Transportation Plan(s). Programming and expenditure of funds for projects shall be consistent with 23 U.S.C. 134 and 135.

STBG projects for eligible planning purposes must be reflected in the statewide SPR work program or Metropolitan Unified Planning Work Program. Further, these projects must be in the STIP/TIP unless the State DOT or MPO agree that they may be excluded. (23 CFR 420.119(e))

2. **Applicability of 23 U.S.C. 217(i) for Bicycle Projects:** 23 U.S.C. 217(i) requires that bicycle facilities “be principally for transportation, rather than recreation, purposes.” However, 23 U.S.C. 133(b)(6) and 133(h) list “recreational trails projects” as eligible activities under STBG. Therefore, the requirement in 23 U.S.C. 217(i) does not apply to recreational trails projects (including for bicycle use) using STBG funds. Section 217(i) continues to apply to bicycle facilities other than trail-related projects, and Section 217(i) continues to apply to bicycle facilities using other Federal-aid highway program funds (e.g., NHPP, Highway Safety Improvement Program, and Congestion Mitigation and Air Quality Improvement Program). The transportation requirement under Section 217(i) is applicable only to bicycle projects; it does not apply to any other trail use or transportation mode.

Per Caltrans RSTPX Guidelines:

RSTPX funds are available for projects and to entities authorized under Article XIX of the California State Constitution and Section 182.6(d)(1) of the Streets and Highways Code.

Not eligible: Only direct project related costs are eligible. Local agency overhead and other non-direct charges are ineligible for STBG and RSTPX. Ongoing maintenance and operations are also ineligible.

Match: 11.47% non-federal

State Transportation Improvement Program (STIP) – State & federal funds

Background: Since approval of Senate Bill 45 in 1997, regions have received 75% of STIP funds by formula for projects approved by the Regional Transportation Planning Agency (RTPA) – RTC in Santa Cruz County. Criteria for use of the funds and final approval and allocation of funds is set by the California Transportation Commission (CTC). The CTC is expected to finalize *2022 STIP Guidelines on August 18, 2021*. Prior to 1998, the CTC focused most of the funds on state highway and interregional rail projects.

RTC-Discretionary Share: Estimated \$4 million in the 2022 STIP, with most of the new programming “capacity” in FY25/26-26/27. Available fund amounts have varied significantly over the years depending on the state Fund Estimate and allocation capacity which is impacted by state and federal legislation, CTC priorities, Caltrans SHOPP program costs, state bond debt service repayment methods, fuel consumption and gas tax revenues. The RTC’s shares are currently fully programmed through FY24/25.

Eligible applicants: Governmental entities implementing eligible activities, including RTC, Caltrans, cities, counties, METRO.

Eligible Projects:

- Projects that meet eligibility requirements for funds from the State Highway Account, in accordance with Article XIX of the California Constitution can receive STIP funds.
- Capital projects (including project development costs). These projects generally may include, but are not limited to, improving State highways, local roads, public transit (including buses), intercity rail, pedestrian and bicycle facilities, grade separations, transportation system management, transportation demand management, soundwalls, intermodal facilities, and safety.
 - Rail rolling stock and buses may be funded only from the Federal revenues.
- Non-capital costs for transportation system management or transportation demand management may be included where the regional agency finds the project to be a cost-effective substitute for capital expenditures.

- RTC project planning, programming, and monitoring (5%): this includes preparation of the RTIP, RTP, coordination with Caltrans on highway projects, etc.
- **Not eligible:** Road and transit maintenance

Timing: RTC proposals are due to CTC by 12/15/21. Funds are available through June 30, 2027 and are subject to strict use-or-lose schedule deadlines.

Highway Infrastructure Program (HIP) - Federal Funding

Background: Since 2018, federal omnibus/appropriations bills have provided CA additional funds apportioned for highway and bridge projects.

RTC-Discretionary Share: \$505,000 available for programming. It is uncertain if this program will continue with FAST Act Reauthorization.

Eligible activities: Only construction, right-of-way, and design of highways, bridges and tunnels on the federal-aid system per 23 USC 133 (b)(1)(A). (See STBG above). *Not eligible: Rural minor collectors or local access, transportation alternatives (bike/ped), ferries, transit, or transportation planning and studies.*

Match: 13.5% non-federal match required

Timing: \$278,500 must be obligated by September 30, 2023 and the balance by September 30, 2024, or the funds lapse. Obligation requests should be submitted to Caltrans Local Assistance by June 2024 in order to ensure funds are not lost to the region.

Coronavirus Response and Relief Supplemental Appropriations Act of 2021 (CRRSAA)

Background: In December 2020 Congress enacted the Coronavirus Response and Relief Supplemental Appropriations Act of 2021 (CRRSAA). CRRSAA included \$14 billion for distribution by the Federal Transit Administration (with Santa Cruz Metropolitan Transit District receiving about \$13.5 million) and \$10 billion for distribution by the Federal Highway Administration (FHWA), which included \$912 million to California which the California Transportation Commission (CTC) decided to distribute 60% to state programs (SHOPP and ITIP) and 40% to projects selected by regional agencies, including RTC. The CTC decided to program half the regional funds through the CRRSAA-STBG program and half through the mid-cycle STIP (CRRSAA-STIP). If there is sufficient state budget capacity, Caltrans and the CTC will “exchange” our region’s federal CRRSAA for state-only funds, though they will still be subject to CTC reporting and allocation requirements.

RTC-Discretionary Share:

- CRRSAA-STBG: \$1,266,000
- CRRSAA-STIP: \$1,291,000

Eligible activities: STBG-eligible activities (see above); STIP-eligible activities (see above); and 5% of CRRSAA-STIP (\$64,500) for RTC planning, programming, and monitoring (PPM). Activities eligible for CRRSAA-STBG funds, but ineligible for CRRSAA-STIP include: routine maintenance; operations; personnel; salaries; contracts; debt service payments; and availability payments. Assuming Caltrans and the CTC will allow the region’s federal funds to be exchanged for state funds, funds are also subject to Article 19 restrictions.

Timing: Projects must receive an allocation from the CTC and be obligated by the end of June 2024; all pre-construction and allocation request paperwork must be completed by March 2024.

Reporting: Project sponsors will be required to utilize the CalSMART database and submit regular reports on use of these funds, based on CTC, Caltrans and FHWA guidance.

Evaluation Criteria for RTC 2021 Consolidated Call for Projects

State and federal regulations require state departments of transportation (Caltrans), regions (RTC and AMBAG), and transit agencies to establish and advance projects that meet performance targets. A performance-based approach to transportation planning and programming aims to ensure the most efficient investment of transportation funds, support improved decision-making and increase accountability and transparency. These include measures identified in the *Regional Transportation Plan (RTP)*, *Metropolitan Transportation Plan (MTP)*, *California Transportation Asset Management Plan (TAMP)*, federal MAP-21 and FAST Act, State Transportation Improvement Program (STIP) Guidelines, and other state and local plans.

The following summarizes federal, state, and regional performance measures, goals, and/or targets being used to evaluate projects for the RTC's 2021 Consolidated Call for Projects for STBG/RSTPX, STIP, HIP, and CRRSAA funds. It also includes examples of the types of information that could be included in the application to demonstrate how a project is addressing each. Some projects may address only one or two of these, and are not required to address all of them.

1. **Safety:** Reduce transportation related fatalities and injuries and maximize safety for all transportation users (reduce collisions; eliminate hazards)
 - History of collisions in area and description of how proposed safety measure will reduce collisions or address potential hazards
 - Demonstrated countermeasure to reduce collisions, especially fatalities or injuries
 - Reduce speeding; reduce the potential for conflict between bicyclists, pedestrians and vehicles; and/or improve safety, especially for more vulnerable users and transportation disadvantaged (low income, seniors, people living with disabilities, minorities, youth)
 - Reduce major mechanical failures for transit vehicles
 - Address perceived safety or security issues to encourage increased transit ridership, biking, or walking (e.g. add lighting at bus stops)
 - Fill gaps in bicycle or pedestrian network in an area
 - Eliminate hazards, such as trees in roadways, dips in roads; improve drainage
 - Improve access to/for emergency services and emergency evacuation routes

2. **System Preservation/Infrastructure Condition:** Maintain and improve the condition of existing transportation facilities and assets.

- Number of transportation infrastructure maintained, including roadway pavement, bridges, sidewalks, bicycle facilities, transit vehicles and facilities, etc. (e.g., miles of roadways, number of bridges or buses, etc.)
 - Increase percentage of facilities in good condition
 - Reduce percentage of facilities in poor condition
 - Reduce percentage of transit vehicles that have met or exceeded their useful life benchmark
 - Extend useful life of a transportation facility or program
 - Maintain facilities in a state of good repair
 - Sustainable pavement practices
3. **System Performance:** Improve the efficiency of the surface transportation system; improve the national freight network, strengthen the ability of rural communities to access national and international trade markets, support regional economic development; reduce congestion; enhance the performance of the transportation system while protecting and enhancing the natural environment.
- Reduce emissions, air pollution, greenhouse gas emissions, and/or fuel consumption
 - Reduce number of miles driven (vehicle miles traveled): Reduce number or distance of trips; reduce percent of single-occupancy vehicle travel; shift automobile travel to alternative modes and increase the percentage of trips made using active transportation options, including bicycling, walking, transit or carpool; reduce need for travel
 - Improve reliability and efficiency of the multimodal transportation system: reduce variability in travel times, especially during peak travel periods day-to-day and for transit
 - Reduce delay, especially during peak-hours; reduce annual hours of excessive delay per capita
 - Reduce transit travel times
 - Link multiple jurisdictions – e.g., arterials linking cities and unincorporated towns/population centers
 - Improve freight and goods movement efficiency: Increase freight throughput on existing facilities or services
4. **Access for all:** Expand multi-modal travel options/choices, especially to and within key destinations for all users
- Address transportation needs of people with limited mobility
 - Increase walking (add new sidewalks, crosswalks, minimize obstacles)
 - Increase bicycling (add bicycle lanes/paths, fill gaps in network, add bicycle box at intersection)
 - Increase public transit access or quality of transit rider experience
 - Fills gap in complete streets network and increase network connectivity by closing gaps in the bike, sidewalk, and transit networks. Indicate if there are no alternate routes.
 - Provide education and encouragement

5. **Health and Equity:** Enhance healthy, safe access to key destinations for transportation-disadvantaged populations.
- Improve public health: Target health issues such as obesity, physical inactivity, asthma or other health issues
 - Reduce disparities in safety and access for people who are transportation disadvantaged due to age, income, disability, language or minority status.
 - Information showing project serves transportation disadvantaged populations and avoids substantial burdens on a disadvantaged community: project location, destinations served, demographic information showing project serves low income.¹

Additional Considerations in Project Evaluation:

- A. **RTP Consistency:** If projects are included in the 2040 or Draft 2045 Regional Transportation Plan (RTP) Project List, which implements the SB375-mandated Sustainable Communities Strategy (SCS)
- RTP project number
- B. **Consistency with Complete Streets** guidelines and policies, including the [Monterey Bay Area Completes Streets Guidebook](#) and/or the California Complete Streets Act (AB1358-2008)
- Consideration of possible complete streets components appropriate for different street types
 - Integration of complete streets elements into road projects
- C. **Consistency with other plans, such as:**
- Active Transportation Plan, Complete Streets Plan, Bike Plans
 - Transit asset management, Public Transportation Agency Safety Plan (PTASP) and other transit plans
 - General Plans
 - Capital Improvement Programs
 - Unmet Transit Needs
 - Vision Zero/zero traffic fatalities plans
 - Unified Corridor Investment Study (UCS)
 - Local Roadway Safety Plan

¹ Sources for identifying priority population and disadvantaged communities may include, but are not limited to:

- Santa Cruz County 2040 Regional Transportation Plan (RTP) definition: Census tracts where greater than 65% of the total population is non-white; census tracts where greater than 65% of households are low income; OR census tracts where greater than 20% of households are in poverty.
- CalEnviroScreen: <https://oehha.ca.gov/calenviroscreen/report/calenviroscreen-30>
- SB-535/AB-1550 maps: <https://webmaps.arb.ca.gov/PriorityPopulations/> (click "OK" on ARB website to view map)
- Median Household Income: https://data.census.gov/cedsci/?intcmp=aff_cedsci_banner
- National School Lunch Program eligibility – at least 75% of public-school students in the project area are eligible to receive free or reduced-price meals: <http://www.cde.ca.gov/ds/sd/sd/filessp.asp>
- California Healthy Places Index score under 50: <https://healthyplacesindex.org/map/>

- D. **Public engagement:** Provide early and ongoing opportunities for meaningful public participation for all users
- Information on how the project was identified a priority
 - Outreach that has already occurred
 - Participation from diverse members of the public and transportation disadvantaged communities in project planning
 - Outreach will occur during project planning and/or implementation (e.g., outreach to stakeholder groups, advisory committees, other jurisdictions/agencies, transit, environmental groups, seniors, etc.; surveys, open houses)
- E. **Scale of Benefits:** Number of people benefiting from project. Number of anticipated users of a facility, service or program (e.g., number of cars, transit riders, bicyclists and/or pedestrians). Data to support these estimates may include:
- Current use of facilities/services (e.g., traffic volumes, transit ridership, bicycle and pedestrian counts if available, etc.)
 - Work plan for a program and targeted number of people to use program
 - Destinations served by a project (e.g., employment centers, transit center, retail/commercial area, visitor destination)
 - Modeling information for future use, if available
- F. **Potential Risks:** Minimize risk to project implementation.
- **Funding:** Demonstrate project would be fully funded and identify other funding that has been secured; identify funding available if there are unanticipated cost increases; are there financing options to advance
 - **Schedule:** What are the potential risks to the project schedule? How confident are you in the schedule?
 - **Deliverability:** Ability of agency to complete project; performance on past grants; timing of other projects (ability to consolidate/piggy back, even if one project might otherwise be constructed several years later) - Ex. timed utility upgrades, new development, etc.
 - **Environmental Risks:** Describe risks associated with current and future environmental conditions such as climate change, extreme weather, and seismic activity
 - **Other:** Possible financial, operational/asset risks, strategic/organizational compliance, political, other risks

SCCRTC- 2021 Consolidated Funding Cycle (RSTPX, STIP, HIP, & CRRSAA)

APPLICATION/PROJECT PROGRAMMING REQUEST

A. Project Information

Applicant/Implementing Agency		Public Agency Sponsor (if different)	
Project Title			
Title			
Brief Description/Scope of Work (attach extra pages to fully describe scope)			
Location, Limits, Length (attach map(s)/photos on separate tab)			
Roadway Functional Classification: (if applicable)			
Summary of Project Benefits, Purpose and Need			
Funds requested	\$0	Total Project Cost	\$0
Estimated # of Daily User			
Was project previously programmed for funds by RTC?		Y/N	
RTIP ID			
Project Cost by Mode (list approximate percentage of total project costs)			
Mode	% of Total Cost		
Pavement Preservation (rehab, overlay, etc.)			
Road-Auto serving (not rehab)			
Bicycle			
Pedestrian			
Transit			
Transportation System Management (TSM)			
Transportation Demand Management (TDM)			
Other:			
	0%		
Priority	Project is priority #	of	applications submitted
Contact Name	Phone	E-mail Address	

B. Project Benefits/Evaluation Criteria

Information in this section will be used to evaluate projects. The RTC is required to consider how well projects advance regional, state and federal goals, policies, performance metrics and targets, including how projects will contribute towards implementation of the long-range transportation plan (Regional Transportation Plan) and other state and federal regulations including the California Complete Streets Act of 2008, SB375, the Federal FAST Act.

See Attachment 2 of the call for projects for examples of type of information to demonstrate benefits.

Project Title:	Title
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Generally, what are the benefits of this project?

(ex. goal/purpose/benefit of project; problem to be addressed; importance to the community)

	Benefit Category <i>(see Attachment 2 of Call for Projects for additional information and supporting data)</i>	How does this project address any of the following? <i>Projects are not expected to address all of these; if not applicable or not a primary purpose, write "N/A".</i>
1	Safety (reduce fatal or injury collisions)	
2	System preservation (maintain existing transportation infrastructure, service, or program)	
3	System Performance	
3a	Reduce emissions and/or vehicle miles traveled	
3b	Improve travel times, travel time reliability; reduce delay	
3d	Improve freight or goods movement efficiency	
4	Increase Access for All (Expand multi-modal travel options/choices, especially to and within key destinations for all users)	
5	Health and Equity - Enhance health, safe access to key destination for transportation-disadvantaged populations	
5a	Improve public health or promote healthy communities, provide outreach to targeted users/health issues	
5b	Serve people who are transportation disadvantaged due to age, income, ability or language or other challenges	

Additional Considerations in Project Evaluation:

A.	RTP Consistency: If project is included in the 2040 or Draft 2045 Regional Transportation Plan (RTP) Project List, list RTP Project Number	
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B.	Consistency with Complete Streets guidelines and policies: Describe how is project consistent with guidelines, integrates complete streets elements	
C.	Consistency with other plans. What other plans is this project listed in, if any?	
D.	Public engagement: How was this project determined to be a priority? What outreach will occur during implementation?	
E.	Scale of Benefits- How many users are expected to use the facility, service or program? What is the source of this estimate?	
F.	Potential Risks (and plans to mitigate them)	
F1	Funding - Is this project fully funded?	
	How will potential cost increases be funded?	
F2	Schedule: Describe any potential delays to schedule	
F3	Deliverability: Describe why your agency is capable of delivering this project. (sufficient staff, project management, performance in past)	
F4	Environmental: Describe any potential environmental issues, mitigations, risks associated with current and future environmental conditions (climate change, extreme weather, seismic)	
F5	Other: Describe any other potential risks and plans to mitigate risks	

C.i. Capital Projects: Schedule, Cost and Funding Summary

Non-infrastructure projects/programs - see NI tab

Project Title:	Title
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Project Schedule/Milestone		Date
Project Cost Estimates/Scope Developed		
Begin Environmental (PA&ED) Phase		
Circulate Draft Environmental Document	Document Type	
Draft Project Report		
End Environmental Phase (PA&ED Milestone)		
Begin Design (PS&E) Phase		
End Design Phase (Ready to List for Advertisement Milestone)		
Begin Right of Way Phase		
End Right of Way Phase (Right of Way Certification Milestone)		
Begin Construction Phase (Contract Award Milestone)		
End Construction Phase (Construction Contract Acceptance Milestone)		
Begin Closeout Phase		
End Closeout Phase (Closeout Report)		

Project Cost Summary/Funding Information								
Total Project Cost (\$1,000s) - AUTO FILLS (do not enter numbers here)								
Component	Prior	21-22	22-23	23-24	24-25	25-26	26-27	Total
E&P (PA&ED)	0	0	0	0	0	0	0	0
PS&E	0	0	0	0	0	0	0	0
R/W SUP (CT)	0	0	0	0	0	0	0	0
CON SUP (CT)	0	0	0	0	0	0	0	0
R/W	0	0	0	0	0	0	0	0
CON	0	0	0	0	0	0	0	0
TOTAL	0							

Fund No. 1:	NEW FUNDS REQUESTED FROM RTC								SCCRTC is expected to consider proposals for new RTC Discretionary funds at its December 2021 meeting
Fiscal Year									
Component	Prior	21-22	22-23	23-24	24-25	25-26	26-27	Total	
E&P (PA&ED)									0
PS&E									0
R/W SUP (CT)									0
CON SUP (CT)									0
R/W									0
CON									0
TOTAL	0	0	0	0	0	0	0	0	0

Fund No. 2:	Component								note funding status here
Component									
Component	Prior	21-22	22-23	23-24	24-25	25-26	26-27	Total	
E&P (PA&ED)									0
PS&E									0
R/W SUP (CT)									0
CON SUP (CT)									0
R/W									0
CON									0
TOTAL	0	0	0	0	0	0	0	0	0

Secured? Yes/No; Risks to funds?

Fund No. 3:									<i>note funding status here</i>
Component									
Component	Prior	21-22	22-23	23-24	24-25	25-26	26-27	Total	
E&P (PA&ED)								0	
PS&E								0	
R/W SUP (CT)								0	
CON SUP (CT)								0	
R/W								0	
CON								0	
TOTAL	0	0	0	0	0	0	0	0	

Fund No. 4:									<i>note funding status here</i>
Component									
Component	Prior	21-22	22-23	23-24	24-25	25-26	26-27	Total	
E&P (PA&ED)								0	
PS&E								0	
R/W SUP (CT)								0	
CON SUP (CT)								0	
R/W								0	
CON								0	
TOTAL	0	0	0	0	0	0	0	0	

Fund No. 5:									<i>note funding status here</i>
Component									
Component	Prior	21-22	22-23	23-24	24-25	25-26	26-27	Total	
E&P (PA&ED)								0	
PS&E								0	
R/W SUP (CT)								0	
CON SUP (CT)								0	
R/W								0	
CON								0	
TOTAL	0	0	0	0	0	0	0	0	

Fund No. 6:									<i>note funding status here</i>
Component									
Component	Prior	21-22	22-23	23-24	24-25	25-26	26-27	Total	
E&P (PA&ED)								0	
PS&E								0	
R/W SUP (CT)								0	
CON SUP (CT)								0	
R/W								0	
CON								0	
TOTAL	0	0	0	0	0	0	0	0	

Fund No. 7:									<i>note funding status here</i>
Component									
Component	Prior	21-22	22-23	23-24	24-25	25-26	26-27	Total	
E&P (PA&ED)								0	
PS&E								0	
R/W SUP (CT)								0	
CON SUP (CT)								0	
R/W								0	
CON								0	
TOTAL	0	0	0	0	0	0	0	0	

Fund No. 8:									<i>note funding status here</i>
Component									
Component	Prior	21-22	22-23	23-24	24-25	25-26	26-27	Total	
E&P (PA&ED)								0	
PS&E								0	
R/W SUP (CT)								0	
CON SUP (CT)								0	
R/W								0	
CON								0	
TOTAL	0	0	0	0	0	0	0	0	

Fund No. 9:									<i>note funding status here</i>
Component									
Component	Prior	21-22	22-23	23-24	24-25	25-26	26-27	Total	
E&P (PA&ED)								0	
PS&E								0	
R/W SUP (CT)								0	
CON SUP (CT)								0	
R/W								0	
CON								0	
TOTAL	0	0	0	0	0	0	0	0	

Fund No. 10:									<i>note funding status here</i>
Component									
Component	Prior	21-22	22-23	23-24	24-25	25-26	26-27	Total	
E&P (PA&ED)								0	
PS&E								0	
R/W SUP (CT)								0	
CON SUP (CT)								0	
R/W								0	
CON								0	
TOTAL	0	0	0	0	0	0	0	0	

Fund No. 11:									<i>note funding status here</i>
Component									
Component	Prior	21-22	22-23	23-24	24-25	25-26	26-27	Total	
E&P (PA&ED)								0	
PS&E								0	
R/W SUP (CT)								0	
CON SUP (CT)								0	
R/W								0	
CON								0	
TOTAL	0	0	0	0	0	0	0	0	

C.ii. Detailed Cost Estimate - Capital Projects

(Replace with categories/format appropriate to your project. Shown below are examples only.)

Project Title:	Title				
Item No.	Engineer's Estimate				
1	Environmental Studies and Permits				\$0
2	Plans, Specifications, and Estimate				\$0
RIGHT OF WAY					
3	Right of Way Acquisition				\$0
4	Right of Way Support				\$0
5	Utility Relocation (exclude if included in construction)				\$0
TOTAL RIGHT OF WAY COMPONENT COST					\$0
CONSTRUCTION (update items to match actual items for project)					
	Item Description	Quantity	Units	Unit Cost	Total
6	Pavement Structural Section Work				
7	AC Overlay				\$0
8	Other AC				\$0
9	Remove & replace localized failed areas				\$0
10	Base materials				\$0
11	Shoulder backing				\$0
12	Other structural section work (Identify)				\$0
13	Hardware Upgrades				\$0
14	Guardrail				\$0
15	Signals and lighting				\$0
16	Other (describe)				\$0
17	Bridge Upgrades				\$0
18	Grading				\$0
19	Drainage Rehabilitation				\$0
20	Utility Relocation				\$0
21	Traffic Control				\$0
22	Traffic stripes, pavement markers and markings				\$0
23	Environmental or potential hazardous materials/waste removal, mitigation, or avoidance				\$0
24	Other (Identify: e.g., Mobilization Cost, Force Account, day labor, etc.,)				\$0
25					\$0
26	Construction Support, management and engineering				\$0
27	Surveys				\$0
28	Inspection				\$0
SUBTOTAL CONSTRUCTION ITEMS					\$0
CONTINGENCY 5.0%					\$0
TOTAL CONSTRUCTION COST					\$0
Escalation Rate Used:					%
Total Cost					0

E. Certification and Assurances - After reading each item, initial and sign to certify your agency agrees to each.

Project Title:

INITIALS

As authorized representative for my agency, I hereby certify that the information contained in this application, including required attachments, is accurate and hereby certify the following:

- 1 The project implementing agency possesses legal authority to nominate projects and to finance, acquire, construct, and/or implement the proposed project;
- 2 This project is among the highest priorities for this agency;
- 3 The proposed transportation investments have received the full review and vetting required by law; Such investments are an appropriate use of taxpayer dollars. The agency shall adhere to principles and policies that ensure government oversight and management of the contracting process to ensure
- 4 taxpayer funds are spent wisely; contracts are not wasteful, inefficient, or subject to misuse; unnecessary no-bid and cost-plus contracts are avoided; and contracts are awarded according to the best interests of California taxpayers;
- 5 The agency will maintain and operate the property acquired, developed, rehabilitated, or restored for the life of the resultant facility(ies) or activity. I understand that with the approval of the California Department of Transportation, the Administering Agency or its successors in interest in the property may transfer the responsibility to maintain and operate the property;
- 6 If these new funds are used to replace funds previously committed to this project, the agency will maintain its effort with regard to redirecting those funds to similar transportation projects;
- 7 The agency will give RTC and California Department of Transportation’s representative access to and the right to examine all records, books, papers, or documents related to the project;
- 8 Work on the project shall commence within a reasonable time after receipt of notification that funds have been approved, allocated or obligated, as applicable, and that the project will be carried to completion with reasonable diligence;
- 9 The agency will comply where applicable with provisions of the California Environmental Quality Act, the National Environmental Policy Act, the Americans with Disabilities Act, the Secretary of the Interior’s Standards and Guidelines for Archaeology and Historic Preservation, and any other federal, state, and/or local laws, rules and/or regulations; and
- 10 The agency shall comply with all reporting requirements outlined by FHWA, FTA, RTC, Caltrans, the California Transportation Commission (CTC) or state statute, as applicable;
- 11 The agency will commit the funds necessary to ensure this project is fully funded.

Implementing Agency Representative:

Signed _____ Date _____
 Printed (Name and Title) Enter Name/Title
 Implementing Agency Enter Implementing Agency Name

Project Sponsor – if different

Signed _____ Date _____
 Printed (Name and Title) Enter Name/Title
 Sponsor Agency Enter Sponsoring Agency Name

Roadway Preservation Project Certifications

Applicants seeking STIP or STBG/RSTPX funds for roadway preservation are required to complete the attachments on the follow pages. Below (this first page) includes information from state manuals and guidelines regarding eligible work.

CERTIFICATION

Each local pavement preservation project proposed for STBG/RSTPX or STIP funds is subject to verification that the project meets the standard for rehabilitation or preventative maintenance and does not include ineligible maintenance costs.

- "Local Road Rehabilitation Project Certification," (Exhibit 25-K) is to be used to ensure that local road rehabilitation projects meet state guidelines.
- "Pavement Management System (PMS) Certification" (Exhibit 4b/25-L) is to be used for projects with less than a ten-year service life ("preventative maintenance")

HEAVY, NON-ROUTINE MAINTENANCE

Chapter 11, "Design Standards," of the Caltrans Local Assistance Procedures Manual (LAPM) provides standards for eligible roadway preservation work. Eligible work includes resurfacing, restoration, or rehabilitation (3R) of local roads. This work is generally regarded as heavy, non-routine maintenance designed to achieve a ten-year service life.

Eligible 3R work includes:

- Placing additional asphalt concrete over a structurally sound highway or bridge that needs treatment to extend its useful service life (keeping in mind added dead load or lower bridge rail heights when adding asphalt concrete on bridge decks)
- Restoration of a road, structure, or collateral facility (drainage, retaining wall, etc.) to the condition existing after original construction
- Upgrading guardrail or widening shoulders Projects that provide less than a ten-year life are considered Preventive Maintenance.

Eligible strategies include, but are not limited to, activities such as joint and shoulder rehabilitation, heater re-mix, seal coats, and corrective grinding of Portland cement concrete pavement.

PREVENTIVE MAINTENANCE activities are also eligible provided that:

- The local agency certifies that it has a Pavement Management System (PMS). (*See Local Assistance Program Guidelines (LAPG) Exhibit 4-A/25-k, "PMS Certification"*)
- The decision process used by the city or county to determine project strategies was based on the established PMS. *Items to be covered and noted in the Roadway Data Remarks of the Field Review. See Chapter 7, "Field Review" in the Local Assistance Procedures Manual.*
- The PMS determined the project strategy to be cost-effective and have a service life of five years or more. *Items to be covered and noted in the Roadway Data Remarks of the Field Review. See Chapter 7, "Field Review" in the LAPM.*
- The work does not degrade any existing safety or geometric aspects of the facility.
- The project is not for spot application. Spot application projects are considered to be normal maintenance and therefore not eligible.

NOT ELIGIBLE: Routine maintenance, such as spot application projects (pothole repairs - other than removal and replacement of localized failures in areas to be resurfaced, cleaning drainage ditches and culverts, etc.), is **not** eligible for STIP and STBG/RSTPX (however may be eligible for CRRSAA-STBG funds in 2021).

LAPG Exhibit 25-K: Local Road Rehabilitation Project Certification

[To be placed on Local Agency Letterhead]

Date:

To: **SCCRTC**
 1523 Pacific Ave, Santa Cruz, CA, 95060
 c/o rmoriconi@scrtc.org

The City/County of [] submits the following local road rehabilitation project for certification that the project is in compliance with California Transportation Commission guidelines.

Project Description:

<u>Street/Road</u>	From ----- to -----	<u>Local Road Facility</u> (Pavement, drainage structure, bridge, cut slope, embankment, etc.)	PPNO	<u>Rehabilitation Strategy</u> (Resurfacing, chip seal, seal coat, restoration of existing facility, etc.)	<u>Service Life (Years)</u>

The project listed above meets the following standards:

- The type of work is eligible for local road rehabilitation, and excludes routine maintenance work, as described in Section II-D-9: “Eligibility of Rehabilitation Projects” of the Procedures for Administering Local Agency Grant Projects in the State Transportation Improvement Program.
- For pavement rehabilitation, the estimated number of years the work will extend the service life of the facility is documented in a PSR or equivalent signed by a registered civil engineer.
- Pavement rehabilitation strategies with less than 10 year service life have been determined by a Pavement Management System (PMS) to be cost-effective and have a service life of 5 years or more. (Attach PMS certification if appropriate).
- The work does not degrade any existing safety or geometric aspect of the facility.

City /County Signature: _____ Title: _____

Regional Transportation Planning Agency/County Transportation Commission Certification

The [Regional Transportation Planning Agency/County Transportation Commission] certifies the projects listed above meet California Transportation Commission guidelines.

Signature: _____ Title: _____ Date: _____

LAPG Exhibit 25-L: Pavement Management System (PMS) Certification

[To be placed on Local Agency Letterhead]

Date:

To: SCCRTC, 1523 Pacific Ave, Santa Cruz, CA, 95060
c/o rmoriconi@sccrtc.org

PPNO: TBD

Project Description:

The City/County of [] certifies that it has a Pavement Management System (PMS) and the project meets the criteria described in this chapter. A system must be in place to meet standards for pavement rehabilitation projects programmed in the STIP.

The system was developed by [] and contains, at a minimum, the following elements:

- Inventory of all existing pavements under the City/County jurisdiction.
Centerline miles:
Total lane miles (or equivalent units):
The last update of the inventory was completed:
- Identification of sections of pavement needing rehabilitation
Total lane miles (or equivalent units):
- Estimate of the cost to rehabilitate deficient sections: \$
- A procedure to identify rehabilitation strategies that are cost effective (briefly describe it on an attached sheet).

You may direct any questions regarding the system to (Name) at (Phone No.).

Signature _____ Title: _____