Summary of Changes for the
APPLICATION INSTRUCTIONS & GUIDANCE

List of Changes:

Original Page #	Topic	Description of Change	Initials
2	Electronic Application Submittal	Updated the Submittal Process Steps	EA 6/28
2 – 3	Electronic Email Confirmation	Submit Button and Email Confirmation	EA 7/25

APPLICATION INSTRUCTIONS & GUIDANCE

FOR

ACTIVE TRANSPORTATION PROGRAM (ATP)

CYCLE 4 APPLICATIONS

These instructions are expected to be used on a step-by-step basis for the preparation of ATP Cycle 4 Applications. Failure to follow these instructions may result in incomplete applications, which could result in a loss of points, ineligible project elements, and/or disqualification.

APPLICATION INSTRUCTIONS & GUIDANCE

GENERAL INSTRUCTIONS

<table>
<tr><td>
<p align="center">**NO EXCEPTIONS**</p>

Final Filing Date:

   Electronic Applications must be submitted July 31, 2018 by 11:59 PM.
     and
   Hard copies must be postmarked July 31, 2018.

ONLY Applications with on-time submittals of <u>Electronic and Hard copies</u> will be scored and evaluated!
All applications submitted after this date will not be scored.
</td></tr>
</table>

QUESTIONS CONCERNING THE APPLICATION

If there are questions on how to fill out the application, please contact your Caltrans Local Assistance
ATP Coordinator or District Local Assistance Engineer (DLAE). A list of the DLAEs is available at:
http://www.dot.ca.gov/hq/LocalPrograms/dlae.htm

SUBMISSION REQUIREMENTS

1. **Electronic Submittal:**

   The new ATP Application includes an automated submittal process for submitting the electronic
   application. When the applicant has completed their application, click the "Check App"
   button. The applicant will be notified if there are any blank fields that are required or if any of
   the data entered has formatting issues. Once the applicant corrects any issues, the "Check App"
   button will change to a "Submit" button. Hit the "Submit" button and the electronic version will
   be submitted.

   Applicants must ensure all application data is accurate and final. <u>As a precaution, the applicant
   should save a copy of the form prior to submitting.</u> Once the form has been submitted the
   "Submit" button will turn into a "Resubmit" button. **The applicant should save this version in
   their filing system as the official/final application.**

   The automated submittal process includes the following elements:
   a. Hit the "Check App" button located at the top of the "Application Index Page" (page 2).
   b. The form will functionality check that all required application data and formatting are
      contained in the application, including data fields, check boxes, and attachments.
   c. The applicant will be notified if there are any blank fields that are required or if there are
      any formatting issues.
   d. After the applicant corrects any issues, hit the "Check App" button again.
   e. Repeat this process until all issues have been corrected.
   f. If there are no further issues, the "Check App" button will change to a "Submit" button.
   g. The applicant should "save" the file, prior to hitting the "Submit" button.
   h. Hit the "Submit" button and the application form will automatically save the application and
      all corresponding attachments to the online database.
   i. Once the form has been submitted the "Submit" button will turn into a "Resubmit" button.
      The applicant should save this version in their filing system as the official/final application.

j. As part of this process, you will get an email confirmation that your application has been submitted. *(NOTE: The Implementing Agency's "Contact Person's Email Address" will be used).* The email you receive will <u>not</u> contain a PDF copy of the final application. The application you saved after hitting the "Submit" button should be kept as the official/final application.

2. **Hard-Copy Submittal to Caltrans:**
    Submit five (5) hard copies (one original and four copies): All copies shall be securely bound, e.g. spiral or comb bound (no clips, clamps, ringed binders, or rubber bands).
    a. The original application must be marked "ORIGINAL COPY". All documents contained in the original application package must have original signatures.
    b. The four copies of the application may contain photocopies of the original package (so long as the maps, photographs and other detailed exhibits are in color and/or high resolution that <u>clearly depict all relevant information.</u>)
    c. The hard copies of each application must be submitted using the following format:
        o   **Applicant-created Cover Sheets are NOT allowed:** The pre-formatted, auto-generated cover sheet must be the visible cover of the submitted application. Applications shall not include a specialty cover sheet. *This requirement is intended to assist with application consistency, reviewing and filing.*
        o   **The use of TABS are required:** All applications must provide separation "tabs" in the hard copies of the applications to identify the beginning location of each of the application sections (with attachments as they occur throughout the application) and <u>each</u> separate attachment under Part C "Application Attachments". Additional tabs are allowed.
        o   **Placement of Attachments:** Attachments are to be inserted in the hard copy following the page that they were referenced on, except for the attachments in Part C "Application Attachments", which are to be attached at the back of the application in the order shown.
        o   **Paper Size and formatting:** In general, the hard copies of the applications are to be on 8 ½" x 11" paper, single-sided. Attachments are not required to be 8 ½" x 11". If attachments are larger than a standard page, they must be folded to 8 ½" x 11".
    ❖ APPLICATIONS SHALL BE MAILED TO CALTRANS AT THE FOLLOWING ADDRESS:

        CALTRANS
        Division of Local Assistance
        1120 N Street, MS 1
        Attn: Office of State Programs
        Sacramento, CA 95814

3. **To Regional Transportation Planning Agency (RTPA) or County Transportation Commission:**
    a. The California Transportation Commission (CTC) – Guidelines for ATP require that the applicant submit an additional application copy to the Regional Transportation Planning Agency (RTPA) or County Transportation Commission and to the Metropolitan Planning Organization (MPO) within which the project is located by the final filing date. (The CA MPO & RTPA contact list can be found at www.dot.ca.gov/transplanning/orp/index.html) The copy may be hard copy or electronic – check with your regional agency and/or county commission for their preference.

READ THIS BEFORE STARTING YOUR APPLICATION

Prior to filling out the application, applicants are expected to review the information and guidance provided on the CTC and Caltrans ATP websites at:

- CTC Website: http://www.catc.ca.gov/programs/atp/

- Caltrans Website: http://www.dot.ca.gov/hq/LocalPrograms/atp/index.html

There is one PDF application form that will be used for the different ATP project types. In *Part A3: Project Type,* there is a field where the applicant is asked to select the project type. Based on the project type selected, the form will be modified to reflect the selected project type.

The project types are:
- Plan
- Non-Infrastructure
- Small Infrastructure* (Total project cost under $1.5M)
- Medium Infrastructure* (Total project cost from $1.5M to $7M)
- Large Infrastructure* (Total project cost greater than $7M)

* Non-Infrastructure components can be included in any Infrastructure project.

Applicants must download the application form (PDF "fillable" form) from the Division of Local Assistance ATP website at: http://www.dot.ca.gov/hq/LocalPrograms/atp/cycle-4.html. Applicants must prepare their electronic and hard-copy applications as defined in these instructions above.

Applicants are expected to download and save the application form to their local-computer and/or flash drive. Once this is done, they may open, edit and save this file as needed. Applicants can work on the file 'off-line', but some of the applications (i.e., drop-down menus and submissions) will not work without the applicant's computer being connected to the internet.

> **The application form must be completed on a computer with Adobe Acrobat 11 Reader or DC.** Adobe Reader 11 and DC are available for free download.

Adobe Reader DC is recommended. Adobe Reader 11 and DC can be downloaded for free at: https://get.adobe.com/reader/

NOTE: Adobe Acrobat Pro DC **is not** recommended because it didn't work in Cycle 3.

In order for the application form's functionality to work properly, the security settings on the applicant's computer may need to be adjusted.   If there are prompts indicating security issues with the application file, applicants will need to turn off the "Enhanced Security" features under 'Preferences', applicants will need to 'trust' the document and resave the document.

Applicants are encouraged to read the entire Application Instructions (this document) and CTC ATP Guidelines before attempting to prepare and submit the application. **Applicants are expected to utilize and follow these instructions in a step-by-step process as they complete their application(s).** Completing an application without adhering to these instructions may result in an incomplete application or an application with fatal flaws that will be excluded from the evaluation and selection process. If an applicant has questions relating to their application, they should seek assistance from their Caltrans DLAE before submitting their application.

PART A: GENERAL APPLICATION AND PROJECT INFORMATION (A1-A7)

NAVIGATING THE APPLICATION:

Cover Sheet: The first page in the application form is the "Cover Sheet" for the application. This page in NOT editable. All data shown on this page will be auto-populated from information the applicant enters throughout the application.

Any grey shaded box is not editable-   PROJECT APPLICATION NO.:

The second page of the application starts with the Application Index Page. In the upper right-hand corner of each page of the application there is an **Index Page** button which can be clicked at any time to navigate back to the index page, then from the index page, navigate directly to another part or page of the application.

ATTACHMENTS:

Throughout the application there are fields to attach documentation. Unless otherwise noted, these documents must be attached in PDF format (When available and appropriate, use Adobe Acrobat to first save-as "Reduced Size PDF. . ."). If the attachment is made up from multiple documents, the documents must be combined into a single PDF document, then attached.

PART A1: APPLICANT INFORMATION

IMPLEMENTING AGENCY:

The **Implementing Agency** must enter into a Master Agreement (MA) with Caltrans and will be responsible for all requirements under the MA, including but not limited to, the use and expenditure of the program funds, delivery of the project within all pertinent Federal and State funding requirements, and future operational and maintenance needs. An Implementing Agency can be a city, county, tribal government, public health department, transit agency, school district, natural resources agency, public lands agency, Metropolitan Planning Organization (MPO), or Regional Transit Planning Agency (RTPA).

NOTE: **Private non-profit tax exempt organizations** may only apply for eligible Recreational Trails Projects that facilitate trail linkages or connectivity to non-motorized corridors, and conversion of abandoned railroad corridors trails. The project must benefit the general public and not only a private entity.

Throughout the ATP application and application instructions, "Applicant" may be used to refer to the "Implementing Agency."

The application form includes a Drop-Down Menu List of Implementing Agencies. The list has been populated with all Cities and Counties and all agencies who have previously applied for ATP funding.

To see the list, click on the arrow ⬇ on the right side of the field, type in the first letter of your agency's name then scroll down to your agency and click. Example: Alameda is the City of Alameda.

If your agency name does not show up on the existing list you may add it to the list. **Do not** start your agency's name with 'City of' or 'County of'.

Enter the name, address, and contact information for the Implementing Agency.

Applicants have the opportunity to customize the application cover sheet with a unique image. Interested applicants may attach their image just after the contact person's information.

MASTER AGREEMENTS (MAs):

The application must confirm if the Implementing Agency currently has a MA and if so, must include the Federal and/or State MA number.

Successful applicants must be able to meet the requirements of, and enter into a Master Agreement (MA) with Caltrans, if their application is awarded funding. Caltrans encourages applicants to submit their applications through Implementing Agencies with existing approved MAs. Agencies that do not currently have a MA with Caltrans must be able to enter into an MA with Caltrans prior to funds allocation.

For more information on the requirements to enter into a Master Agreement with Caltrans visit the links listed below:

General policies and procedures are discussed in the Caltrans Local Assistance Procedures Manual (LAPM) Chapter 4 at: http://www.dot.ca.gov/hq/LocalPrograms/lam/LAPM/ch04.pdf.   A sample Master Agreement is also located at this site.

Information concerning the auditing and accounting requirements can be found at: http://www.dot.ca.gov/hq/audits/documents/auditbrochure.pdf

ATRC Flash Training: http://caatpresources.org/index.cfm?pid=1419

For those agencies that are not familiar with the local Federal Aid process, Caltrans strongly encourages seeking an "Implementing Agency" such as a City, County, Regional Transportation Planning Agency (RTPA) or Metropolitan Planning Organization (MPO) to act as the applicant for their application. These agencies should note: The MA approval process can take 6 to 12 months to complete and there is no guarantee the agency will meet the requirements necessary for the State to enter into a MA with the agency. Delays can result in a failure to meet the CTC Allocation timeline requirements and the loss of ATP funding.

☐ Click 'Yes' if your agency has a Federal or State Master Agreement with Caltrans. Enter Federal and/or State MA number(s).
☐ Click 'No' if your agency does not have either a State or Federal Master Agreement with Caltrans.

PROJECT PARTNERING AGENCY:

Eligible applicants that are unable to apply for Active Transportation Program funds or that are unable to enter into a Master Agreement with the State must partner with an eligible applicant that can implement the project. **In addition, eligible applicants that are unfamiliar with the requirements to administer a Federal-Aid Highway Program project are encouraged to partner with an eligible applicant that can implement the project.** *(NOTE: For these projects, if the Partnering Agency does not accept responsibility for the operation and maintenance of the completed projects, they are not expected to sign the application (Attachment A) or provide contact information in this section of the application.)*

If an eligible applicant, other than the Implementing Agency, agrees to assume responsibility for the ongoing operations and maintenance of the facility, <u>documentation of the agreement (e.g., letter of intent) must be submitted with the project application,</u> and a copy of the Memorandum of Understanding or Interagency Agreement between the parties must be submitted with the first request for allocation. *(NOTE: For these projects, the Partnering Agency who <u>accepts</u> responsibility for the operation and maintenance of the completed projects must sign the application (Attachment A) and provide contact information in this section of the application.)*

This partnering role <u>is not required</u> for ATP projects/applications and no points will be allocated on the basis of projects identifying a Project Partnering Agency.

The "Partnering Agency" **will not** enter into a Master Agreement with Caltrans and **will not** be financially and contractually responsible. Only the Implementing Agency is required to enter into a Master Agreement with Caltrans and becomes financially and contractually responsible.

Entities listed in the application as "Partnering Agencies" shall have no implied tie to the ATP funding and are still required to meet all competitive bidding requirements. These entities shall not expect that being a Partnering Agency entitles them to qualify for being part of a Public Interest Finding (PIF) for a sole source contract for future work under the application.

If there is a Partnering Agency for the project, as defined above, enter the name, address and contact information for the Partnering Agency.

- ☐ Click 'Yes' if the project will have a Project Partnering Agency. Enter the name, address and contact information for the Project Partnering Agency.

  - Attach a "letter of intent" or other Partnering Agency documentation.

- ☐ Click 'No' if your project will not have a Project Partnering Agency.

PART A2: GENERAL PROJECT INFORMATION

PROJECT NAME, DESCRIPTION, AND OTHER GENERAL INFORMATION:

Project Name: Enter a brief project name. (Max of 10 words)
  If funded, this name will be used in the CTC project listing.
  Good Example: Grand Avenue Bike Route Improvements, Lakeside
  Bad Example: Bike Route Improvements

Project / Application Number: If your agency is only submitting one application, enter the number 1. If your agency is submitting more than one application, enter consecutive project numbers. Start with number 1 for the first application that you are submitting, number 2 for the second application, and so on.

Summary of Project Scope: Enter a brief summary of the project scope (Max 300 words)
  The Summary of the Project Scope is intended to provide a clear and concise explanation of the elements of the proposed project that are expected to benefit active transportation users.

FTIP Project Description: Enter a brief project description (Max of 180 characters)
  The project description should convey the types of work and/or the major elements that are proposed – without going into details like construction quantities. If the application is an infrastructure project that is only requesting pre-construction (PA&ED, PS&E and/or ROW)

funds, this must be stated in the Project Description. If funded, this description will be used in the FSTIP programming document.

> *Example: "Install Rectangular Rapid Flashing Beacons, pavement markings and signing" or "PS&E and ROW funding for the eventual construction of curb, gutter, sidewalk, and curb ramps"*

Project Location: Enter a brief project location (Max 180 characters)
The project location should convey the road names, intersection cross street names, and/or geographical references of where the project is located – without defining the limits of work in terms of "feet" offsets. For projects with multiple locations, it may be appropriate to list each location or simply state, "Various locations . . ." If funded, this location will be used in the FSTIP programming document.

> *Example: "On Elm St. between Oak Ave. and Cherry Blvd." or "The intersection of Elm St. with Oak Ave." or "Various locations along Oak Ave" or "Various locations throughout the County."*

- Attach the project/program/plan location map (this map will auto populate to the map attachment in Part C). At a minimum, it needs to include/show:
  - North Arrow
  - Label all relevant street names and highway route numbers
  - Project boundaries in relation to the applicants overall jurisdictional boundary.

Project Coordinates: Enter the Project Coordinates (in decimal format)
All applications are required to include one set of GPS latitude and longitude coordinates for the approximate central location of the project. These coordinates are expected to be used on a statewide basis (i.e. a statewide heat-map showing number of projects). *For further assistance search online for "Get the coordinates of a location"*. The numbers should be entered in decimal degrees.   Negative latitude numbers mean "South" and negative longitude numbers mean "West". Example: the coordinates of the State Capital are 38.576572°N, -121.493411°W

Congressional, State Senate and State Assembly District(s): Enter the Congressional District(s), State Senate District(s) and State Assembly District(s) that your project will be located in.
For reporting purposes, all applications are required to include each of the Congressional, State Senate and State Assembly Districts where the project work is taking place. If more than three districts are impacted, only list the three where the majority of the work will occur.

Caltrans District: Use the drop down menu to select the Caltrans district in which the project will occur.
If more than one district is impacted, select the district where the majority of the work will occur. See (http://www.dot.ca.gov/hq/tsip/gis/datalibrary/Maps/CT_Districts_Region.pdf) to determine which district your project is in.

County: Use the drop down menu to select the county in which the project will occur.
Select the county in which the project will occur. If the project covers multiple counties, select the county where the majority of the work will occur.

MPO/RTPA: Use the drop down menu to select the MPO/RTPA in which the project will occur.
Input the MPO (Metropolitan Planning Organization) that will be involved with the programming of the project in the FTIP. Input "Caltrans" for Small Urban and Rural projects. For information

about MPOs, visit http://www.dot.ca.gov/hq/transprog/federal/mpo_ftip_links.htm. For non-MPO rural areas Caltrans is the MPO.

RTPA: Use the drop down menu to select the RTPA in which the project will occur.

Urbanized Zone Area (UZA) Population: Use the drop down menu to select the population size of the community in which the project will occur.

Past Projects:

☐   Click 'Yes' if within the last 10 years, there has been any previous State or Federal ATP, TE, SRTS, SR2S, BTA, HSIP, or other pedestrian/bike funding awards for project(s) that are adjacent to or overlap the limits of the project.

> Enter the number of projects, press enter. Enter the Project # (i.e. Federal Project #, PPNO, or other Caltrans unique project identifier), Funding Type, Funding Amount ($1,000s), Project Type, and Select the Type of overlap/connection from the drop down menu.

☐   Click 'No' if within the last 10 years, there has not been any previous State or Federal ATP, SRTS, SR2S, BTA or other pedestrian/bike funding awards for project(s) that are adjacent to or overlap the limits of the project.

PART A3: PROJECT TYPE

PROJECT TYPE:

The ATP encompasses four distinct project types: Infrastructure (I), Non-Infrastructure (NI), Combination (I/NI), and Plans. These projects types are defined in the CTC 2019 Active Transportation Program Guidelines (CTC Guidelines). The CTC Guidelines can be found at: http://www.catc.ca.gov/programs/atp/

> Use the drop down menu to select Plan, Non-Infrastructure (NI), Infrastructure (I) (small, medium or large), or Combination (I/NI) (small, medium or large).

> **NOTE:** The Project type selected will determine the narrative questions in Part B and other parts of the application. Selecting the correct project type here is a critical step. If you change the project type after you've answered subsequent questions, you may lose that data.

> Applicants must also document all of the existing plans they have previously approved relating to active modes of transportation. This information is required for all applications. **(Check all that apply):**

>> ☐   Bicycle Plan,
>> ☐   Pedestrian Plan,
>> ☐   Safe Routes to School Plan, and/or
>> ☐   Active Transportation Plan.

PROJECT SUB-TYPE: (check all Project Sub-Types that apply):

All Projects: Projects need to define the 'rough approximation' for the percentage of the **project-costs** that is Bicycle Transportation focused and Pedestrian Transportation focused – with the total percentage equaling 100%.   Projects where all elements of the scope ONLY benefit one mode

(either bicycle or pedestrian) of transportation should mark the appropriate box. Projects with elements of the scope that benefit both bicycle and pedestrian modes of transportation should mark both boxes.

☐ **Bicycle Transportation box** if the project will benefit bicycling.

☐ **Pedestrian Transportation box** if the project will be benefiting pedestrians.
   NOTE: For projects benefitting both bicycles and pedestrians, once the applicant enters the percentage (%) for bicycle box, the pedestrian percentage will automatically calculate.

All Projects: In addition to estimating the percentage of the project benefiting bicycles vs. pedestrians, document whether the project is to be considered a Safe Routes to School or Trails (Multi-use and Recreational) project.

Safe Routes to School Projects: For a project to qualify for Safe Routes to School designation, the project must directly increase safety and convenience for public school students to walk and/or bike to school.

☐ Click on the Safe Routes to School box if your project is a Safe Routes to School Project.

   Enter the number of schools the project will impact/serve, and press enter.

   Enter all of the following for each school:

   • School Information: enter the Full School name(s) and Address(s) for the school(s) that will benefit from the project.

   • School District Information: enter the School District Name(s) and School District Address(s) for the schools.

   • School type drop down menu:
     o In the first drop down menu, select the lowest grade the school offers (K through 12+),
     o Then in the next drop down box, select the highest grade that the school offers

   • The 'distance' from school should be inputted in terms of 'miles' to the nearest tenth.
     o As stated in the application form, the distance requirement does not apply to all project types.

   • Total Student enrollment

   • Total number of students that currently walk or bike to school

   • Approximate number of students living along route proposed for improvement

   • Projected number of students that will walk/bike to school after the project

   • Percentage of students eligible for free or reduced meals program

   • Attach
     A. a map which shows: 1) the Student enrollment area, 2) the locations and limits of the proposed project improvements,
     B. the contact information/person, and a short statement of support and affirming that the school(s) benefited by this application, is not on a school closure list, combined with the signature of the school official.

Trails (Recreational and Multi-Purpose Trails): (Only trails projects should fill out this section.) Trails Projects constructing multi-purpose trails are generally eligible in the Active Transportation Program. (See the CTC guidelines for more information.) If the applicant believes all or part of their project meets the federal requirements of the Recreational Trails Program they are encouraged to seek a determination from the California Department of Parks and Recreation on the eligibility of their project to complete for this funding. This is optional,

but recommended because some trails projects may compete better under this additional funding program. The federal requirements can be found at:
     http://www.fhwa.dot.gov/environment/recreational_trails/

NOTE: Recreational Trails funded projects are the only ATP project type that <u>Non-Profit agencies</u> may apply for as an Implementing Agency.   For Non-Profit's to submit an application as the Implementing Agency, the project must be 100% eligible for Recreational Trails funding.

Applicants intending to pursue "Recreational Trails Program funding" must submit the information noted below to the California Department of Parks and Recreation prior to the ATP application submissions deadline. *(Note: The Department's response does not have to be included in the application.)*   The following information must be included in the submittal:

- ❖ Project Name, Project Scope, Location Map, Cost Estimate, & Photos

The submittal must be addressed to:

     To: California Department of Parks and Recreation
         Attention: Richard Rendón
         Office of Grants and Local Services
         1416 9th Street
         Sacramento, CA 95814

☐   Click on the Trails (Multi-use and Recreational) box if your project is eligible for this funding.

Do you feel a portion of your project is eligible for Recreational Trail funding-
- ☐   Select 'Yes' or 'No'

  - If Yes, estimate the total project cost that are eligible for Recreational Trail funding
  - If Yes, estimate the percentage of the total project costs that serve "transportation" uses?

PART A4: PROJECT DETAILS

For overall program management purposes, all projects are being asked to quickly estimate the active transportation improvements/components that are included in the project. The estimations must be consistent with the plan sheet, cost estimates, and/or 22-R (NI Work Plan) included in the application. When quantifying the amount of Active Transportation improvements proposed by the project, do not double-count the improvements that benefit both Bicyclists and Pedestrians (i.e. new RRFB/Signal should only show as a Pedestrian or Bicycle Improvement).

For infrastructure projects, check all the box(s) that apply and fill in all the applicable quantities:
- ☐   Bicycle Improvements
- ☐   Pedestrian Improvements
- ☐   Multi-use Trail Improvements
- ☐   Vehicular-Roadway Traffic-Calming Improvements

For combo (I/NI) projects and non-infrastructure (NI) only projects, check the *Non-Infrastructure Components* box (which populates a form onto the next page) and fill in all the applicable quantities:
- ☐   Non-Infrastructure Components

For Plan projects, check the *Plan Type* box and indicate which type of plan you are applying for.

☐   Plan Type (only intended for Plans)

RIGHT OF WAY (R/W) IMPACTS: (Check all that apply)

To help the agency and program managers assess the deliverability of the proposed projects, all projects are required to document the level of R/W impacts expected to complete the implementation of the project.

☐   Project is 100% within the Implementing Agency's R/W: This should only be checked if no R/W, easements, and/or utility impacts are expected.

- If this box is checked, no other R/W boxes should be checked.

☐   Project will likely require R/W and/or easements from private owners or will require utility relocations from utility companies outside that implementing agency's control.

- It is possible for this box to be checked in addition to the boxes for R/W impacts connected to Caltrans or other governmental/Railroad agencies.
- To ensure the project can be delivered within the proposed schedule, the project schedule is expected to reflect the necessary time to complete the federal R/W process.

☐   Project will likely encroach on Caltrans R/W (state highway right-of-way)

- It is possible for this box to be checked in addition to the boxes for R/W impacts connected to private owners, utility companies or governmental/Railroad agencies.
- Projects that are likely to impact Caltrans R/W require a Caltrans R/W Impact Checklist to be reviewed by Caltrans and attached to the application.
- The Caltrans R/W Impact Checklist can be found at:
  http://www.dot.ca.gov/hq/LocalPrograms/atp/cycle-4.html

☐   Project will likely require R/W easements, encroachment and/or approval involving Governmental, Environmental, or Railroad owner's property

- It is possible for this box to be checked in addition to the boxes for R/W impacts connected to private owners, utility companies or Caltrans.
- Attach a letter of support or neutrality for each separate agency. Combine all letters in one pdf attachment.
- The letter and/or signature does not imply approval of the project, but merely acknowledges that the agency is aware of the proposed project, and that, upon initial review, the project appears to be acceptable.

PART A5: PROJECT SCHEDULE

PROJECT STATUS and EXPECTED DELIVERY SCHEDULE:

This section of the application documents the current delivery phase of a project and the applicant's proposed schedule for the project, including proposed CTC allocation dates.

The Agency is responsible for including all standard project delivery timeframes for the development and completion of the project, including but not limited to: Program Supplemental Agreement, CTC Allocations, FHWA E76 Approvals, and Caltrans processing of delivery documentation and approvals, consultant selection, environmental studies, right-of-way coordination & certification.   Agencies not familiar with the federal and state delivery requirements are strongly encouraged to review the appropriate chapters of the Local Assistance Procedures Manual (LAPM) at http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm and contact their Caltrans DLAE for assistance.

When completing the expected delivery schedule remember the following special instructions:

o   Per CTC Guidelines, project applications must be submitted with the expectation of receiving federal funding. Projects must be federal-aid eligible unless the project is designated as "State Only Funded" at the time of programming. Therefore, a federally funded project schedule needs to have two additional months added in to account for the extra time needed for federal project delivery requirements and approvals between each CTC allocation and FHWA Authorization. (Here is a link to the CTC Allocation Preparation 2018 calendar http://dot.ca.gov/hq/transprog/ctcliaison/Schedules/2018_Calendar/InterNET_2018_Sept2 017.pdf) It is the applicant's responsibility to ensure their schedule properly accounts for other federally required items, including: federal contracting requirements; federal environmental requirements (NEPA); and federal right-of-way condemnation process.

o   If the "Implementing Agency" designated in the beginning of this application does not have an existing federal Master Agreement (MA) with Caltrans, this schedule must include the additional 9 to 12 months needed to execute the MA prior to their first CTC allocation.

o   All Infrastructure projects require an environmental certification and right-of-way certification. The efforts may be minimal and ATP funding might not be requested for this phase of work, but the time and milestone need to be accounted for in the schedule.

o   All CTC Allocation dates need to fall within the available ATP programming years for this call for projects, which are: 19/20, 20/21, 21/22 and 22/23, i.e., July 1, 2019 through June 30, 2023.

Based on the "Project Type" selected earlier in the application, the standard project Milestones/Phases will appear and the applicants are expected to provide the past or expected schedule information (i.e., NI and Plan projects will only see NI/Plan Construction Phase). For all project phases, applicants are expected to address the following:

Will **Cycle 4** ATP funds be used in this phase of the project?

☐   Select: 'Yes' or 'No'

If 'Yes' is selected, enter the Proposed Date of the CTC allocation.
The application form has date-constraints based on the funding years for Cycle 4 and ties to prior delivery phases. *(i.e. A PA&ED allocation cannot occur earlier than July 1, 2019)*

If 'Yes' is selected, enter the Start Date for activities to be funded with the CTC allocation.
The application form has date-constraints that force this date to be after the estimated "Notice to Proceed with Federally Reimbursable ATP Work"

If 'No' is selected, enter the Start Date for activities to be funded with non-ATP funds.
The application form has no date-constraints for these start dates as they could have already happened prior to the application submittal or they could be happening after the completion of the Cycle 4 funded activities.

For 'Yes' and 'No": enter the time to complete the activities.

Applications showing the PA&ED, PS&E, and/or R/W phase already completed must attach key signature pages from the appropriate documents to prove all required approvals/deliverables are already complete.   These documents must include project descriptions covering the full ATP project scope of work.

Proposed Date for "Before" and "After" Counts (As required by the CTC and Caltrans guidelines)

> Enter the Expected Date for "Before" and "After" counts. These dates must be consistent with the project schedule shown in the application.

PART A6: PROJECT FUNDING

Per the ATP Guidelines, the minimum request for ATP funds is $250,000. This minimum does not apply to non-infrastructure projects, Safe Routes to Schools projects, Recreational Trail projects, or Plans.

Funding amounts in these sections of the application are expected to be for all phases of the project and are to be shown in thousands of dollars.

For infrastructure projects, the applicant must ensure they are following the LAPM relating to the maximum Preliminary Engineering and Construction Engineering levels in relation to the total construction costs (25% and 15% respectively).

The applicant **MUST** complete the Engineer's Estimate (Attachment F) prior to filling in the funding table. The information highlighted in yellow will be needed to fill in the Project Funding table.

	Cost $	ATP Eligible Costs	Non-participating Costs		
Construction Item Contingencies (% of Construction Items): 10.00%	$71,650	$70,182	$1,468		
Total (Construction Items & Contingencies) cost:	$788,150	$772,006	$16,144		
Project Delivery Costs:					
Type of Project Cost	Cost $	ATP Eligible Costs	Non-participation Costs		
Preliminary Engineering (PE)					
Environmental Studies and Permits(PA&ED):	$ 50,000	$48,976	$1,024		
Plans, Specifications and Estimates (PS&E):	$ 100,000	$97,952	$2,048	"PE" costs / "CON" costs	
Total PE:	$ 150,000	$146,928	$3,072	19%	25% Max
Right of Way (RW)					
Right of Way Engineering:	$ 10,000	$9,795	$205		
Acquisitions and Utilities:	$				
Total RW:	$ 10,000	$9,795	$205		
Construction Engineering (CE)				"CE" costs / "CON" costs	
Construction Engineering (CE):	$ 105,000	$102,849	$2,151	13%	15% Max
Total Project Delivery:	$265,000	$259,572	$5,428		
Total Construction Costs:	$893,150	$874,856	$18,294		
		ATP Eligible Costs	Non-participating Costs		
Total Project Cost:	$1,053,150	$1,031,579	$21,571		

Application Part 6: Project Funding
(1,000s)

The Project Funding table cannot be completed until a project type has been selected in

Project Phase	Total Project Costs	Total ATP Funding	ATP Allocation Year *	Total Non-ATP Funding **	Non-Participating Funding	"Prior" ATP Funding	Leveraging Funding	Future Local Identified Funding
PA&ED	50	43	19/20	7	1	-	6	-
PS&E	100	86	19/20	14	2	-	12	-
R/W	10	10	19/20	-	-	-	-	-
CON	893	773	20/21	120	18	-	102	-
NI-CON/ PLAN	-	-		-	-	-	-	-
TOTAL	1,053	912		141	21	-	120	-

Based on the "Project Type" selected earlier in the application, applicants will be expected to enter project funding information for each of the standard project delivery phases associated with the selected Project Type.   For each project phases, applicants are expected to address the following: (Note: All funding information is entered in $1,000s)

Total Project Costs: This must represent the total funding required to complete all activities and improvements of all phases of the project.   This amount is expected to include all funding types connected to the project which are required to deliver the project as presented in the application.

Total ATP Funding: Applicants are required to document the ATP **Cycle 4** funding needed for each phase of their project.

Total Non-ATP Funding: The application form automatically calculates this value. For each phase, applicants must enter all the various types of non-ATP Cycle 4 funding, which must equal the value automatically calculated for Non-ATP funding.

Non-participating Funding for ATP: These are local funds required to complete the ineligible elements of the overall project – as defined in Caltrans ATP guidelines.

"Prior" ATP Funding: These are ATP funds that have been previously been awarded to the project during previous ATP funding cycles.   This funding must not be mixed with the ATP funding being requested for Cycle 4.

Local funds leveraging (and potentially matching) the ATP funds: Per CTC Guidelines, local matching funds are not required for any ATP Cycle 4 projects, but local leveraging funds are encouraged. For local funding to be considered leveraging, it must be for ATP eligible activities and costs. *(i.e. Local funding going towards the costs of roadway widening and roadway paving for motorized users cannot be considered leveraging funds)*.

Future Local identified Funding: Applicants must identify and include all funding necessary to fully construct the entire project presented in the application. If funding for the Construction Phase (and any others as appropriate) is not known at the time of the application submittal, the applicant must show these future costs/funds as "Future Local Identified Funding".   Applicants can apply for ATP funding in the future, but they must have an alternative funding sources available if they are not successful in future ATP funding cycles.

ATP FUNDING TYPE REQUESTED:

Per the CTC Guidelines, All ATP projects must be eligible to receive federal funding. ATP projects may receive federal funding or State funding for all or part of the project.   This section of the application provides the applicant the opportunity to explain why they believe their project (if funded) requires a specific type(s) of ATP funding or document why they believe their project is a good candidate to receive a specific type of funding.

All applicants requesting State Only Funding must attach an "Exhibit 22-F." Exhibit 22-F can be found on the Caltrans ATP website with the application attachments for Cycle 4.

All applicants requesting special funding must briefly explain their reason(s) in 250 characters or less.   If they feel a longer explanation is needed, they can attach their explanation.

ATP Project Programming Request (PPR):

The application form automatically generates the project's PPR based on the Project Schedule, Project Funding, and General Project information provided in the application.

ATP recommends using the calendar feature for entering dates. If you enter a date in the box, and the box highlights yellow, this means the format is not correct (if you use the calendar it will automatically use the correct format). When you click the submit button the system will require the applicant to go back and fix all yellow boxes, prior to a successful submit.

Construction Project Delivery Phase:

Will ATP funds be used in this phase of the project?   ☒ Yes ☐ No

Proposed CTC "CON Allocation" Date: 11/19/2020

Notice to Proceed with Federally Reimbursable ATP Work: 1/18/2021

The Part 5: Project Schedule's "Expected or Past Start Date for (PA&ED, PS&E, ROW and/or CON) activities" field will auto fill into corresponding PPR Project Milestone- Proposed date field for each phase (PA&ED, PS&E, ROW and CON).

Application Part 5: Project Schedule

PA&ED Project Delivery Phase:

Will ATP funds be used in this phase of the project?   ☒ Yes ☐ No

Proposed CTC "PA&ED Allocation" Date: 7/1/2019

Notice to Proceed with Federally Reimbursable ATP Work: 8/30/2019

Expected or Past Start Date for PA&ED activities: 9/2/2019

Time to complete the separate CEQA & NEPA studies/approvals: 12 months *(See note #2, above)*

Expected or Past Completion Date for the PA&ED Phase: 8/27/2020

The yellow highlighted dates below will auto fill from the field indicated with the orange oval above. The dates that are not highlighted are optional, but should be filled in if the Existing or Proposed date is known.

The Environmental document type (green oval) must be selected from the drop down menu. The options are: CE (Categorical Exemption), ND (Negative Declaration), EIR (Environmental Impact Report), CE/CE (Categorical Exemption/Categorical Exclusion), ND/CE (Negative Declaration/ Categorical Exclusion), ND/FONSI (Negative Declaration/ Finding of No Significant Impact), EIR/FONSI (Environmental Impact Report/ Finding of No Significant Impact) and EIR/EIS (Environmental Impact Report/ Environmental Impact Statement).

Category	Outputs/Outcomes	Unit	Total
Intercity Rail/Mass trans	Operational Improvements	Each	1

ADA Improvements: Y ☐ N ☑   Bike/Ped Improvements: Y ☐ N ☑   Reversible Lane Analysis: Y ☐ N ☑
Inc. Sustainable Communities Strategy Goals: Y ☑ N ☐   Reduces Greenhouse Gas Emissions: Y ☑ N ☐

Project Milestone	Existing	Proposed
Project Study Report Approved	04/01/2014	
Begin Environmental (PA&ED) Phase		09/02/2019 10
Circulate Draft Environmental Document (Document Type)		
Draft Project Report		
End Environmental Phase (PA&ED Milestone)		08/27/2020 11
Begin Design (PS&E) Phase		03/01/2021 12
End Design Phase (Ready to List for Advertisement Milestone)		02/19/2023
Begin Right of Way Phase		03/01/2021
End Right of Way Phase (Right of Way Certification Milestone)		02/19/2023
Begin Construction Phase		08/18/2023
End Construction Phase		11/9/2024 17
Begin Closeout Phase		11/10/2024
End Closeout Phase (Closeout Report)		05/10/2025

The PPR is not complete until the applicant enters in the Non-ATP funding information on the second page of the PPR. This information has been taken from the Application Part 6: Project Funding information.

Application Part 6: Project Funding
(1,000s)

Project Phase	Total Project Costs	Total ATP Funding	ATP Allocation Year *	Total Non-ATP Funding**	Non-Participating Funding	"Prior" ATP Funding	Leveraging Funding	Future Local Identified Funding
PA&ED	50	-		50	-	-	50	-
PS&E	100	86	19/20	14	2	-	12	-
R/W	10	10	19/20	-	-	-	-	-
CON	893	773	20/21	120	18	-	102	-
NI-CON/PLAN	-	-		-	-	-	-	-
TOTAL	1,053	889		184	20	-	164	-

The ATP Funds Infrastructure table will show 43 (drop the 1,000 on funding in this chart) for PA&ED funds in 19/20. Since thre are 7 in Non-ATP funds the Total Project Cost Notes comment box will be shaded yellow with a comment regarding the Non-ATP funds.

Notes:

The cells highlighted in yellow do not match the funding table. The Local Funding values on the 2nd page of the PPR (or in the funding table) need to be adjusted until these values match.

Funding Information:									Notes:
DO NOT FILL IN ANY SHADED AREAS									
Proposed Total Project Cost ($1,000s)									The cells highlighted in yellow do not
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	match the funding table. The Local
E&P (PA&ED)	0	0	0	0	0	0	0	0	Funding values on the 2nd page of the
PS&E	0	0	0	0	86	0	0	86	PPR (or in the funding table) need to be
R/W	0	0	0	0	10	0	0	10	adjusted until these values match.
CON	0	0	0	0	0	893	0	893	
TOTAL	0	0	0	0	96	893	0	989	

ATP Funds	Infrastructure Cycle 3								Program Code
Proposed Funding Allocation ($1,000s)									20.30.720
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	Funding Agency
E&P(PA&ED)	0	0	0	0	0	0	0	0	Caltrans
PS&E	0	0	0	0	86	0	0	86	Notes:
R/W	0	0	0	0	10	0	0	10	
CON	0	0	0	0	0	893	0	893	
TOTAL	0	0	0	0	96	893	0	989	

In order to remove the error note, the applicant must go the Non-ATP funding tables and enter the funding amount in the corresponding box. For PA&ED the total amount (50) was needed in 19/20. This amount will be funded with In-kind services (PA&ED work will be performed by the agency with local funds. Not reimbursed by ATP).

Summary of Non-ATP Funding
The Non-ATP funding shown on this page must match the values in the Project Funding table.

Fund No. 2:									Program Code
Proposed Funding Allocation ($1,000s)									
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	Funding Agency
E&P(PA&ED)	0	0	0	0	50	0	0	50	LAMTA
PS&E	0	0	0	0	0	0	0	0	Notes:
R/W	0	0	0	0	0	0	0	0	In-Kind work performed by agency staff
CON	0	0	0	0	0	0	0	0	
TOTAL	0	0	0	0	50	0	0	50	

The 14 for PS&E was split 10 from Gas Tax and 4 from Measure R funds.

Fund No. 3:									Program Code
Proposed Funding Allocation ($1,000s)									
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	Funding Agency
E&P(PA&ED)	0	0	0	0	0	0	0	0	LAMTA
PS&E	0	0	0	0	10	0	0	10	Notes:
R/W	0	0	0	0	0	0	0	0	Gas Tax
CON	0	0	0	0	0	0	0	0	
TOTAL	0	0	0	0	10	0	0	10	

Fund No. 4:									Program Code
Proposed Funding Allocation ($1,000s)									
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	Funding Agency
E&P(PA&ED)	0	0	0	0	0	0	0	0	LAMTA
PS&E	0	0	0	0	4	0	0	4	Notes:
R/W	0	0	0	0	0	0	0	0	Measure R funds
CON	0	0	0	0	0	0	0	0	
TOTAL	0	0	0	0	4	0	0	4	

Once the entire funding picture is entered correctly, the Notes box will be blank with a white background.

Funding Information:									Notes:
DO NOT FILL IN ANY SHADED AREAS									
Proposed Total Project Cost ($1,000s)									
Component	Prior	16/17	17/18	18/19	19/20	20/21	21/22+	Total	
E&P (PA&ED)	0	0	0	0	50	0	0	50	
PS&E	0	0	0	0	100	0	0	100	
R/W	0	0	0	0	10	0	0	10	
CON	0	0	0	0	0	893	0	893	
TOTAL	0	0	0	0	160	893	0	1,053	

Applicants must review all the information shown in the PPR and confirm that it matches their expectations and commitment for the project. Once the project is programmed with ATP funding, the project phases with ATP funding will not be awarded additional ATP funding in the future and the implementing agency will be expected to fund all cost increases with non-ATP funding.

PART A7: SCREENING CRITERIA

The CTC Guidelines for the ATP require applications to meet certain screening criteria. These criteria and corresponding questions are presented in this section of the application and must be completed by the applicant. Failure to answer these criteria/questions may result in the application being disqualified.

PART B: NARRATIVE QUESTIONS

GENERAL GUIDANCE

It is the applicant's responsibility to ensure all information included in each part of the application is fully consistent with the corresponding sections in the other parts. Failure to provide consistent data may result in a lower score/ranking, a lower level of ATP funding, or disqualification.

Applicants are expected to give special attention to the following overall instructions and guidance as they complete this part of the application:

1. Applicants are encouraged to answer the questions as concisely as possible.

2. Combined Infrastructure (I) and Non-Infrastructure (NI) projects: For I projects with NI components, the answers to each of the questions/sub-questions should clearly document the I & NI components of the projects.

3. If applicants desire to provide additional supporting maps, photographs, and excerpts from relevant documents/reports they can be included as Additional Attachments in Part C as needed. Each attachment should be clearly referenced in the narrative answers. Full copies of supporting documents and reports should not be included. Provide only the relevant page(s) of larger documents and highlight/underline the applicable information.

4. Applicants shall ensure their representation of their proposed project's purpose, goals, improvements, and/or impacts are reasonable and probable.

5. The answers to the Narrative Questions must be consistent with and fully support the project's scope, cost, and schedule as shown project plans, estimate and PPR.

APPLICATION NARRATIVE QUESTIONS

The CTC Guidelines establish general topic/questions and corresponding points. The questions and sub-questions presented in this section of the application must be completed by the applicant. The following instructions outline how to properly enter data into a few of the application questions. These instructions are intended to clarify various data entry needs or expectations.

The project type selected in Part 3A, will result in a set of narrative questions specific for that project type. Since question numbers will vary depending on the project type, the following instructions are organized by topic area. Not all topics may apply to all project types.

The scoring rubrics for each project type will be made available to applicants in a separate document prepared by the CTC. Applicants are advised to reference the scoring rubrics while preparing their narrative questions.

DISADVANTAGED COMMUNITIES (Question 1)

B. Identification of Disadvantaged Community (0 points)
Select the option that best shows the community's disadvantaged status.
- **Median Household income (MHI)**- MHI less than $51,026 is disadvantaged
- **CalEnviroScreen**- CalEnviroScreen score greater than 39.34 is disadvantaged
- **Free or Reduced Priced School Meals (FRPM)**- At least 75% of public school students in the project area are eligible to receive FRPM, to be considered disadvantaged.
- **Other**

If **Median Household income** is selected the following table will pop-up:

Census Tract/Block Group/Pace #	Population	MHI	
			+

Instructions for determining the Census Tract/Block Group/Place # can be found on the ATP webpage: http://www.dot.ca.gov/hq/LocalPrograms/atp/cycle-4.html.

- MHI information **must be shown** for each of the census areas that the project is located in and also any tracts that the application claims benefits from the project.
- To add additional rows to the table click on the '+' at the end of the MHI column

If **CalEnviroScreen** is selected the following table will pop-up:

Census Tract/Block Group/Pace #	Population	CalEnviroScreen Score %	
			+

Instructions for determining the Census Tract/Block Group/Place # can be found on the ATP webpage: http://www.dot.ca.gov/hq/LocalPrograms/atp/cycle-4.html.

The CalEnviroScreen score information can be found in the SB535 list of Disadvantaged Communities at: http://www.calepa.ca.gov/EnvJustice/GHGInvest/

- CalEnviroScreen information **must be shown** for each of the census areas that the project is located in and also any tracts that the application claims benefits from the project.
- To add additional rows to the table click on the '+' at the end of the CalEnviroScreen column

If **FRPM** are selected the following table will pop-up:

School Name	School Enrollment	% of Students Eligible for FRPM

The **FRPM** option can only be used if Safe Routes to School was selected in application Part 3 Project Sub-Type. This table is auto populated from the information entered in Part 3 Project Sub-Type.

Total student enrollment:	600
Total # of students that currently walk or bike to school:	200
Approximate # of students living along route proposed for improvement:	75
Projected # of students that will walk/bike to school after the project:	250
Percentage of students eligible for free or reduced meal programs**	88 %

School Name	School Enrollment	% of Students Eligible for FRPM
Test 1 Middle School	600	88

POTENTIAL FOR INCREASING WALKING AND BICYCLING - STATEMENT OF NEED/ADDRESSING THE NEED (Question 2, except for Plan applications)

Number of Users/Counts/Count Methodology
- The "# of users" must be shown in terms of **users/day** and should represent the estimation of total number of users/day **for the entire project limits**.
- The counts must not be more than 3 years old from the time the applications are due. This means the range of acceptable dates for Cycle 4 is between 7/31/15 to 7/31/18.
- For Cycle 4, applicants are still allowed to use their own count methodology for:
  - Determining how many counts are needed to estimate the users/day for the entire project limits
  - Conducting the actual counts
  - Determining an appropriate calculations for converting the actual counts to the final estimate of users/day for the entire project limits
- The applicant's count methodology must be well documented in the application and the applicant must be able to reproduce the same count methodology when they have to conduct the required "after counts" – per the CTC and Caltrans guidelines.

The **Safe Routes to School projects and Programs** table is auto populated from application Part 3 Project Sub-Type.

POTENTIAL FOR REDUCING PEDESTRIAN AND BICYCLIST FATALITIES AND INJURIES (Question 3, except for Plan applications)

All applicants must fill out the Crash Data Table located in A.3 of this question, even if the values are zero. The application shall only include data for crashes that the project can reasonably expect to mitigate. In order to get the data for this table the applicant can choose to follow A.1: TIMS ATP Tool (recommended), and/or A.2: collision data and/or safety data in another format.

A.1: For applications using the TIMS ATP tool:

To use the TIMS ATP Tool, visit: https://tims.berkeley.edu/e The applicant must register for an account and log in. In the menu bar at the top of the page, click on **Tools**, then click on the **ATP**

Maps and Summary Data Tool.   First time users are encouraged to View the ATRC "Flash Trainings" on the new TIMS ATP Tool located at: http://caatpresources.org/index.cfm?pid=1419) In addition, users can also select the **Help** button in the upper right hand corner of the Tool and follow the step-by-step instructions.

Clarifications on the Tool's outputs that must be attached to the application:

"a. Collision Heat-map of the area surrounding the project limits" refers to the two heat maps created in the print/output file titled "County/City Heat Map" and "Community Heat Map". Both must be attached.

"b. Project Area Collision Map" refers to the map showing the project limits and all the specific locations for the past collisions.

"c. Collision Summaries and collision lists/reports" refers to the summaries and lists automatically created in the print/output file as well as the summaries and tables that have to be printed separately from other tabs within the TIMS suite of tools.

"d. For a combined I/NI project": The application states that the applicant may attach NI related heat-maps, etc. in Attachment J.   Applicant can also include the "NI" related maps and summaries in their main TIMS ATP Tool attachment after the pages for the "I" elements of the project.

Combine the various maps/summaries: All of the above maps, lists and summaries must be combined into one crash-data related PDF file.

A.2: Applicants that do not have the collision data and/or prefer to provide additional safety data in a different format can provide it in this sub-question along with an explanation of the methodology.

A.3: Enter the numbers in the table gathered from the maps/summaries produced by the either A.1 and/or A.2. Include how many years of collision data were used in the space provided above the table. Based on the numbers you enter, the Totals and the Average Per Year will auto-calculate.

Applicants are expected to provide details references to the maps/summaries in their responses to the narrative questions in this section.

CONTEXT SENSITIVE and INNOVATIVE PROJECT/ROGRAM ELEMENTS: (Question # varies based on application type)

Context Sensitive Definitions:

- A way to create the best fit between people, communities, and transportation (Smart Mobility Framework, Caltrans)

- Context Sensitive Solutions use innovative and inclusive approaches that integrate and balance community, aesthetic, historic, and environmental values with transportation safety, maintenance, and performance goals. Context sensitive solutions are reached through a collaborative, interdisciplinary approach involving all stakeholders (Directors Policy 22, Caltrans)

Innovative Definition - featuring new methods; advanced and original (Google Dictionary)

LEVERAGING OF NON-ATP FUNDS: (Question # varies based on application type)

The leveraging and matching amounts shown on this page are auto filled from Part 6 "Project Funding" of the application.

Points received for leveraging funding will not be shown in the application. Points will be determined from the scoring rubrics.

SCOPE AND PLAN CONSISTANCY (Infrastructure applications only)

Applicants are not expected to provide any additional information relating to this application question. The evaluation process will be conducted separately during the application review and selection process.

USE OF CORPS: (Question # varies based on application type)

Tribal Corps coordination is only applicable if the Implementing Agency is a Tribal Government. Tribes that do not have a Corps must still coordinate with the CCC and CalCC. All projects off tribal lands must coordinate with either the California Conservation Corps.

APPLICANT'S PERFORMANCE OF PAST ATP FUNDED PROJECTS: (Question # varies based on application type)

Applicants are not expected to provide any information relating to this application question. It is included in the application as a reminder to applicants that this process will be conducted separately by Caltrans during the application review and selection process.

PART C: APPLICATION ATTACHMENTS

The attachment names and order must be maintained for all applications as shown in Part C Application Attachments of the Application form and in these instructions. Depending on the Project Type (I, NI, I/NI or Plan) the attachments that don't apply will be blocked.

Many of the required attachments in Part C Application Attachments must follow Caltrans' documents and formats. These include, but may not be limited to: The Signature Page, Engineer's Checklist, Engineer's Estimate, and NI Workplan (Form 22-R). These forms/documents can be found on the ATP website at: http://www.dot.ca.gov/hq/LocalPrograms/atp/cycle-4.html

Page numbers are not required for attachments; but either page numbers or the attachment letter should be provided in the footer of all attachments. For convenience, clear hand-written numbers/letters are acceptable.

If an attachment is not "required" and it is more than 10 pages, do not attach it to the application. Make it available via a link, place it on the electronic submittal, or place only the relevant pages (10 maximum) in the application attachment.

The maps, photographs and other detailed exhibits must be in color and/or a high enough resolution to clearly depict all relevant information.

ATTACHMENT A: APPLICATION SIGNATURE PAGE (Required for all applications)

Applicants must use Caltrans template at http://www.dot.ca.gov/hq/LocalPrograms/atp/cycle-4.html

Per the CTC Guidelines: "A project application must include the signature of the Chief Executive Officer or other officer authorized by the applicant's governing board. Where the project is to be implemented by an agency other than the applicant, documentation of the agreement between the project applicant and implementing agency must be submitted with the project application."

Some applications will require multiple approving signatures prior to submittal of the application to Caltrans. Read each signature statement carefully and obtain all required signatures for your project application. *Failure to obtain signatures from all required parties prior to application submittal to Caltrans will cause your application to be rejected as incomplete.*

> **For all Projects:** The Chief Executive Officer, Public Works Director, or other officer authorized by the governing board for the Implementing agency must affirm that they are authorized by their governing board with the authority to commit the agency's resources and funds and that the statements contained in this application package are true and complete to the best of their knowledge.

> **For Infrastructure Projects:** For these projects, the agency officer signing the application must also affirm that they are the manager of the public right-of-way facilities (responsible for their maintenance and operation) or they have authority over this position.

> **For projects where the Implementing Agency will not be the agency responsible for operation of maintenance of the proposed project improvements:** For these projects, the agency officer signing the application must affirm that their agency is committed to partner with the "Implementing Agency" and agrees to assume the responsibility for the ongoing operations and maintenance of the facility upon completion by the implementing agency and they intend to document such agreement per the CTC guidelines. The undersigned also affirms that they are the Chief Executive Officer or other officer authorized by their governing board with the authority to commit the Agency's resources and funds. They are also affirming that the statements contained in this application package are true and complete to the best of their knowledge.

ATTACHMENT B: ENGINEERS CHECKLIST (Infrastructure and Combo Projects Only)

Applicants must use Caltrans template at http://www.dot.ca.gov/hq/LocalPrograms/atp/cycle-4.html.

The Engineer's Checklist is to be used by the engineer in "responsible charge" of the preparation of this ATP application to ensure all of the primary elements of the application are included as necessary to meet the CTC's requirements for a PSR-Equivalent document (per CTC's ATP Guidelines and CTC's Adoption of PSR Guidelines - Resolution G-99-33) and to ensure the application is free of critical errors and omissions; allowing the application to be accurately ranked in the statewide ATP selection process. Resolution G-99-33 is available at the following link:
> http://www.dot.ca.gov/hq/LocalPrograms/lam/forms/acrobat/LAPG23J.pdf

ATTACHMENT C: PROJECT LOCATION MAP (Required for all applications)

This attachment will automatically populate with the map attached in Part A2, Project Location. The application reviewers and the Program Managers must be able to quickly pinpoint the project's location in the California and local community. This map needs to show where the project/program/plan is located within the agency's overall jurisdiction. At a minimum, it needs to include/show:

- o North Arrow
- o Label all relevant street names and highway route numbers
- o Project location in relationship to the applicants overall jurisdictional boundary.

ATTACHMENT D: PROJECT MAP/PLANS SHOWING EXISTING AND PROPOSED CONTIDTIONS (Required for Infrastructure and Combo Projects. Optional for NI and Plan projects)

Preliminary Plans or scaled aerial maps are required for all Infrastructure projects. These plans/maps need to show the limits of the proposed improvements and sufficient detail to show that the proposed improvements are technically feasible using generally accepted design standards.

The application reviewers must be able to confirm whether the proposed improvements fall within the Implementing Agency's existing right-of-way or if they require new right-of-way acquisition. If the project encroaches on Caltrans', Railroad, or other agencies' right-of-way, include a copy of an email or letter of support from the owner.

As part of a PSR-Equivalent document, these maps/plans are not intended to represent 60% plans or final plans, but at a minimum they need to include the following:

- o North Arrow and Scale
- o High resolution and/or color - as needed to convey project details
- o Layout sheet(s) or scaled aerial photo(s) depicting the complete length of the project & improvements. The scale must allow for a visual depiction of all of the primary project elements, including their intended final widths.
- o Typical cross-section(s) showing changes to vehicular lane widths, active transportation facilities widths, right-of-way widths, new facilities, etc. These cross sections must be to scale and must include each of the controlling locations.
- o Label relevant street names and highway route numbers.
- o Label right-of-way lines – as appropriate. At the PSR-Equivalent level, these lines can be approximated on aerial photos by physical features. Projects that have no reasonable expectation of encroaching past the Implementing Agency's right-of-way do not need to show these lines.
- o Plans/maps should be no larger than 11" x 17", and must be folded to 8 ½" x 11"
- o Final Plans (Title, Layout Plans, Cross-sections and only other sheets as needed to document the general scope of the project) are ONLY expected for projects being presented in the application as "Shovel Ready."

ATTACHMENT E: PHOTOS OF EXISTING CONDITIONS (Required for all applications)

All applications must include pictures showing the existing conditions, including a general representation of the project area, safety issues, barriers, public outreach, etc. that are identified in the narrative answers. Extra photos can be included in this attachment.

At a minimum, the overall application photos need to include:

- o one or more photos of the existing project location(s)
- o one or more photos for each of the major types of existing safety, barriers or other active transportation related issues within the project limits and presented in the application.
- o high resolution and/or color - as needed to convey project details

    o <u>Label all photos</u> with details on the specific locations/hazards/needs being depicted

Non-Infrastructure and Plan project photos are only recommended to be included as they relate to the project elements, activities and deliverables as presented in the narrative questions.

<u>ATTACHMENT F: PROJECT ESTIMATE</u> (Required for Infrastructure and Combo Projects Only)

Project estimates are required for ALL infrastructure projects and must define the project's overall costs. The project estimate must allow application evaluators to easily review how the total costs are split, including but not limited to: project delivery (soft) cost, construction cost, eligible item costs, and ineligible costs (non-participating).

<u>Infrastructure Projects:</u>

Applicants **must** use Caltrans' cost estimate template for estimating the cost of construction items and the overall project costs. If they chose to use another form(s) to estimate these costs, they must ensure they convey the same level of detail and overall scope of information.   The Caltrans' template can be found at: http://www.dot.ca.gov/hq/LocalPrograms/atp/cycle-4.html

Instructions for completing the estimate, including the details required for ATP applications, are included in the Caltrans template.

The detailed <u>Engineer's Estimate</u> must meet the following expectations:
- Identify all items that the ATP will be funding; broken down by bid items and unit cost. *Lump Sum may only be used per industry standards.*
- Construction contingency can be used - as appropriate at the level expected for a PSR-Equivalent.
- Estimate must be true and accurate – as appropriate at the level expected for a PSR-Equivalent.
- If appropriate, designate which items (or percentage of items) the applicant expects to be completed by the Corps. This information must be consistent with the applicant's answers to Narrative Question number 8.
- Designate any non-participating items (or percentage of items) that are being included on the project.

<u>ATTACHMENT G: NON-INFRASTRUCTURE WORK PLAN (EXHIBIT 22-R)</u> (Non-Infrastructure and Combo Projects Only)

Non-infrastructure applications must include a non-infrastructure Work Plan (Exhibit 22-R) with distinct <u>tasks and deliverables</u> that define the scope and cost of the project. The NI Work Plan must allow application evaluators to easily review the tasks, activities, and deliverables included in the program as well as the program costs, including but not limited to: staff time, direct program costs, and ineligible costs (non-participating). The program details in the NI Work Plan allow applications to be considered PSR Equivalents and define the scope deliverables the Agency is committing to if their application receives funded.

<u>Non-Infrastructure Projects:</u>

Applicants **must** use the NI Work Plan (Exhibit 22-R) template, which can be found on the ATP website at: http://www.dot.ca.gov/hq/LocalPrograms/atp/cycle-4.html

Instructions for completing the Work Plan are included on the template. Applicants may also view the ATRC Flash Training at: http://caatpresources.org/index.cfm?pid=1419

The <u>NI Work Plan</u> must meet the following expectations:
- o Applicants must refer and adhere to the ATP NI Guidance "ATP NI Program Expenditure Eligibility and Cost Guidance" found at: http://www.dot.ca.gov/hq/LocalPrograms/atp/cycle-4.html
- o The NI Work Plan should be consistent with the other parts of the application.

This NI Work Plan is a critical element of NI applications as it defines the scope, cost and schedule, and deliverables.

ATTACHMENT H: PLAN COST ESTIMATE (EXHIBIT 22-PLAN) (Plan Projects Only)

Plan applications must include a Plan Scope of Work (Exhibit 22-Plan) with distinct <u>tasks</u> that define the major elements of the work necessary to complete the "Plan" as required in the CTC Guidelines and as defined in this application. The estimate must define the scope, cost, and deliverables the Agency is committing to complete if their application receives funding. This is needed to meet the CTC's expectation that ATP applications are to be considered PSR Equivalents.

Plan Projects:

Applicants **must** use the Plan Scope of Work (Exhibit 22-PLAN) template, which can be found on the ATP website at: http://www.dot.ca.gov/hq/LocalPrograms/atp/cycle-4.html

Instructions for completing the Scope of Work are included on the template.

The <u>Plan Scope of Work</u> must meet the following expectations:
- o An active transportation plan **must include, but is not limited to**, the components listed in Appendix A of the CTC guidelines or explain why the component is not applicable.
- o <u>Plan deliverables may contain rough estimates, but not detailed estimates or construction plan sheets.</u>
- o Plan Scope of Work should be consistent with the other parts of the application.

ATTACHMENT I: LETTERS OF SUPPORT

ONLY LETTERS OF SUPPORT ATTACHED TO THE APPLICATION WILL BE CONSIDERED. Letters of support must **not** be mailed directly to Caltrans or the CTC. Maximum to 10 Letters of Support.

All projects are encouraged to provide letters of support.

ATTACHMENT J: STATE FUNDING (EXHIBIT 22-F)

Applicants requesting special funding that want to provide additional justification, over what is allowed in the form's text box, have the opportunity to attach their explanation here and include a reference to this attachment in the box provided in form. ***This form is required if State-only funds are being requested.*** The Commission will determine projects with State funds at time of program adoption. For those not designated state-only at time of program adoption, the department will have discretion in recommending allocation.

ATTACHMENT K: ADDITIONAL ATTACHMENTS

Additional attachments should be organized in a way that allows application reviewers to easily identify and review the information. All additional attachments must be scanned into one document.

The following list represents some of the additional application attachments that are required, recommended, or optional, based on the type of project and its individual project elements.

- Additional School data: For projects impacting more than one school, appropriate school details for each school need to be attached. ***(Required when applicable)***

- If an entity other than the Implementing Agency is going to assume responsibility for the operation and maintenance of the facility, provide documentation of the partnering maintenance agreement. ***(Required when applicable)*** Must have at least a letter of intent attached to the application and a copy of the Memorandum of Understanding or Interagency Agreement between the parties must be submitted with the request for allocation.

- Warrant studies: ***(Required when applicable)*** Required when the project includes an improvement that requires an engineering study to warrant the installation of certain traffic control devices (e.g. traffic signals). When applications include traffic control features like these, it is the applicants' responsibility to ensure all requirements of the latest California MUTCD are met. Failure to include required warrants completed per California MUTCD will result in the project or project elements being disqualified.

- If applicable, portions of a plan or report that support the proposed project. i.e., illustrating barriers, safety concerns and other ATP project elements within the project limits. (Copy of cover page and pages with the relevant text highlighted/underlined).