

# CHAPTER 22 ACTIVE TRANSPORTATION PROGRAM

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## EXHIBITS

Exhibits applicable to this chapter can be found at:

<https://dot.ca.gov/programs/local-assistance/forms/local-assistance-program-guidelines-forms>

[Exhibit 22-A: Award Information for ATP Projects](#)

[Exhibit 22-B: Request for Time Extension \(PDF\) or WORD](#)

[Exhibit 22-C: State Only Finance Letter](#)

[Exhibit 22-D: Request for Scope Change](#)

[Exhibit 22-E: Instructions- Request for Scope Change](#)

[Exhibit 22-F: Request for State ATP funding](#)

[Exhibit 22-G: Funding Distribution Change Request](#)

[Exhibit 22-G: Instructions-Funding Distribution Change Request](#)

Exhibits 22-H through M: Reserved for Future Use

Exhibit 22-P: Reserved for Future Use

[Exhibit 22-Plan: Plan Scope of Work](#)

Exhibit 22-Q: Reserved for Future Use

[Exhibit 22-R: Non-Infrastructure Work Plan](#)

[LAPG 22-T: Active Transportation Program Completion/Final Delivery Report](#)

[ATP Project Reporting- CalSMART](#)

[CTC Allocation Form](#)

[Project Programming Request \(PPR\)](#)

[Project Programming Request \(PPR\) Instructions](#)

## CHAPTER 22 ACTIVE TRANSPORTATION PROGRAM

### 22.1 INTRODUCTION

The Active Transportation Program (ATP), created by [Senate Bill 99 \(Chapter 359, Statutes of 2013\)](#) and [Assembly Bill 101 \(Chapter 354, Statutes of 2013\)](#), consolidated several federal and state transportation programs to focus on making California a national leader in active transportation.

The purpose of this chapter is to assist applicants and implementing agencies in the administration of ATP projects. This chapter provides procedures that supplement the *Active Transportation Program Guidelines* adopted by the California Transportation Commission (CTC) located at <http://www.catc.ca.gov/programs/atp/>. Note that Metropolitan Planning Organizations (MPOs) may have adopted guidelines that are different than those adopted by the CTC. Please contact your MPO for guidelines that are specific to your MPO's solicitation.

#### PROGRAM PURPOSE AND GOALS

ATP legislation defines the purpose as encouraging increased use of active modes of transportation, such as biking and walking and defines the goals as:

- Increase the proportion of trips accomplished by biking and walking.
- Increase safety and mobility of non-motorized users.
- Advance the active transportation efforts of regional agencies to achieve Greenhouse Gas (GHG) Reduction (GHGR) goals as established pursuant to Senate Bill 375 and Senate Bill 391.
- Enhance public health, including reduction of childhood obesity through the use of programs including, but not limited to, projects eligible for Safe Routes to School Program (SRTS) funding.
- Ensure that disadvantaged communities fully share in the benefits of the program.
- Provide a broad spectrum of projects to benefit many types of active transportation users.

### 22.2 ROLES AND RESPONSIBILITIES

The *CTC ATP Guidelines* define the roles and responsibilities of each of the following organizations:

- California Transportation Commission (CTC)
- California Department of Transportation (Caltrans)
- Metropolitan Planning Organizations (MPOs) With Large Urbanized Areas
- Regional Transportation Planning Agencies (RTPAs) Outside an MPO With Large Urbanized Areas and MPOs without Large Urbanized Areas
- Project Applicant (if awarded, becomes Implementing Agency)

See *CTC ATP Guidelines*: <http://www.catc.ca.gov/programs/atp/>

## 22.3 ELIGIBLE APPLICANTS

Eligible entities are defined by the *CTC ATP Guidelines*: <http://www.catc.ca.gov/programs/atp/>.

The applicant/implementing agency for ATP funds assumes responsibility and accountability for the use and expenditure of program funds. Applicants must comply with all of the federal and state laws, regulations, policies and procedures associated with federal and state funding.

### MASTER AGREEMENTS

Applicants **must** be able to enter into an Administering Agency-State Master Agreement (Master Agreement or MA). Refer to Chapter 4, Agreements, of the *Local Assistance Procedures Manual* (LAPM) for guidance and procedures on Master Agreements. Additional MA requirement information can be found at the Local Assistance ATP website: [http://www.dot.ca.gov/hq/LocalPrograms/atp/atp\\_info.html](http://www.dot.ca.gov/hq/LocalPrograms/atp/atp_info.html).

An applicant who does not currently hold an MA is not guaranteed to pass the pre-agreement audit and are encouraged to partner with an implementing agency that already has an MA. See “Partnering with Implementing Agencies” for additional guidance.

Tribal governments have the option of transferring funds to the Bureau of Indian Affairs (BIA) through a tri-agency agreement between the tribal government, BIA and Caltrans.

### PARTNERING WITH IMPLEMENTING AGENCIES

Eligible agencies who are unable to apply for ATP funds or who are unable to enter into a MA with the state must partner with an eligible applicant who can implement the project. This partnership will be governed by the following expectations:

- The implementing agency assumes full responsibility for delivering the project per all applicable state and federal requirements.
- The implementing agency must follow federal and state contracting requirements. **The partnering agency has no right, implied or otherwise, to receive a sole source contract from the implementing agency for the project.**
- The implementing agency will be responsible and accountable for the use and expenditure of ATP funds.

## 22.4 ELIGIBLE PROJECTS AND ELEMENTS

### ELIGIBLE PROJECTS

The ATP will fund infrastructure projects, non-infrastructure projects and plans that encourage increased use of active modes of transportation, such as biking and walking and projects that meet at least one of the program goals.

All projects eligible for programming must be selected through a competitive process and must meet one or more of the ATP program goals. See Appendix B of the *CTC ATP Guidelines* for a list of example projects.

### ELIGIBLE ELEMENTS

Per the *CTC ATP Guidelines*, for an item to be eligible for ATP reimbursement, that item’s **primary use or function must meet the ATP purpose** and at least one of the ATP goals.

## ELIGIBILITY REVIEW

In addition to the screening criteria defined in the *CTC ATP Guidelines*, Caltrans will also be screening the applications to ensure they have eligible scopes of work, which are deliverable and constructible, and are consistent with the *CTC ATP Guidelines* and this chapter. Where significant inconsistencies are found, Caltrans will document and make recommendations to the CTC relating to the removal of ineligible project costs or projects (the goal is for the removal to occur prior to final selection and programming of the Statewide and Small Urban & Rural (SU&R) ATP projects). In addition, Caltrans/CTC will present their recommendations to the corresponding MPO for their consideration and action prior to the selection and programming of their projects.

## NON-INFRASTRUCTURE PROJECTS

All non-infrastructure projects must comply with the *Non-Infrastructure Program Guidance* (<http://www.dot.ca.gov/hq/LocalPrograms/atp/2018/May/ATP-NI-Guidance180516.pdf>).

## RECREATIONAL TRAILS PROGRAM (RTP)

Trail projects that are *primarily* recreational should meet the federal requirements of the Recreational Trails Program ([http://www.fhwa.dot.gov/environment/recreational\\_trails/](http://www.fhwa.dot.gov/environment/recreational_trails/)).

Recreational Trails funding is the only type of ATP funds which non-profit organizations are eligible to apply for. The non-profit applicant must still be able to pass the pre-agreement audit or should partner with an agency that already has a Master Agreement (MA) with Caltrans.

Below is a list of projects considered **generally eligible for RTP funding only**. The following is not intended to be comprehensive; other types of projects that are not on the list may also be eligible if they further the goals of the program.

- Trailside and trailhead facilities that meet accessibility guidelines for buildings and sites
- Information kiosks and call boxes
- Benches
- Equestrian mounting ramps and hitching posts
- Rest rooms and water
- Bike racks
- Landscaping – only for the following reasons:
  - Erosion prevention
  - Trail delineation

Below is a list of projects or elements considered **ineligible for ATP and RTP funding**. The following is not intended to be comprehensive; other types of projects that are not on the list may also be ineligible.

- Trail Planning
- Habitat restoration
- Park amenities
  - Visitor centers, whole park restrooms, picnic areas or pavilions, campgrounds, arenas, etc.

- Play areas
  - Spray areas, swimming pools, marinas, etc.
- School/sports facilities
  - Running tracks, snack bars, sports fields, bleachers, parking areas, field lighting, etc.

The following elements are not eligible for RTP funding, but *are* eligible for ATP funds, provided the applicant is not a non-profit organization:

- Non-Infrastructure elements
- Work inside the public road right-of-way
- Traffic Signs
- Sidewalks

## 22.5 APPLICATION

Per the CTC guidelines, the ATP application is expected to be and will be considered a Project Study Report (PSR) equivalent. The *PSR Guidelines* are posted at <https://catc.ca.gov/programs/active-transportation-program>.

The application is the formal scoping document, which defines the ATP fundable project elements that must be adhered to during the life of the project. Caltrans will verify that the full project scope approved by the CTC is included in the final plans, specifications, and estimate as part of the Construction (CON) allocation, final payment, and project close out. See “Allocation of funds” for additional guidance.

Applicants are encouraged to apply for projects providing a transformative benefit that significantly expands the active transportation opportunities to a community or a region.

Applicants may apply for ATP funding on multiple projects. In doing so, applicants should use a new application for each project funding request if no clear nexus (e.g. connection or relationship) exists between the projects.

## 22.6 FUNDING

The ATP is funded from federal funds, State Highway Account (SHA) and Senate Bill 1 (SB1) funds.

### LEVERAGING FUNDS

The CTC encourages applicants to leverage additional non-ATP funds for their projects.

For Leveraging Requirements, See *CTC ATP Guidelines*: <http://www.catc.ca.gov/programs/atp/>

### MATCHING REQUIREMENT

While the CTC does not require a funding match for ATP; large MPOs, in administering a competitive selection process, may require a funding match for projects selected through their competitive process.

In addition; while the *CTC ATP Guidelines* do not require applicants to provide matching funds, the federal government does require California provide an 11.47% matching funds to any federal

ATP funding. For federally funded ATP projects, see Section 22.7 “Project Programming” of this chapter for information on meeting the federal match requirements.

If any agency does elect to supply matching funds to the federal ATP funding, the source of the matching funds may be any combination of local, private, or state. Federal Highway Administration (FHWA) funds, may not be used to match ATP FHWA funds. See Chapter 3 of the LAPM at: <http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm> for match types and requirements.

In the event of project cost savings, local contribution and ATP funds will be reduced proportionally. Matching funds may be proportionally adjusted before or shortly after contract award to reflect any substantive change in the bid compared to the estimated cost of the project.

### FUND TRANSFER ELIGIBILITY

ATP funds are eligible for Federal Transit Administration (FTA) and transfers provided the implementing agency agrees to comply with the following:

- Separate allocations for each phase, with the transfer occurring after each allocation.
- Information to fulfill ATP reporting requirements will still be required.
- Use of Corps will still be tracked by Caltrans on transferred projects.
- Projects will still be subject to auditing requirements of the program.

### REIMBURSEMENT

ATP is a reimbursement program for eligible costs incurred. Costs incurred prior to CTC allocation and, for federally funded projects, FHWA project approval (i.e. Authorization to Proceed), are not eligible for reimbursement. Agencies wanting to advance project delivery may request an advanced allocation from the CTC. CTC will allocate funds to projects programmed in future fiscal years, on a first-come, first-served basis.

Agencies may also request, and CTC will consider approval of a Letter of No Prejudice (LONP) to advance a project in the ATP. Approval of the LONP will allow the agency to begin work and incur eligible expenses prior to allocation. The amended *LONP Guidelines* were adopted in October 2017 and are on the CTC’s website at: <http://www.catc.ca.gov/docs/adopted-lonp-guidelines-101817.pdf>. In general, advancement requests are preferred over the LONP process.

Reimbursement may be affected if the implementing agency does not complete the project as indicted in the original application.

See Chapter 5, Invoicing, of the LAPM: <http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm>

## 22.7 PROJECT PROGRAMMING

Once the CTC has adopted a program of projects, Caltrans HQ – Division of Transportation Programming will provide the list of approved projects to MPOs. The MPOs will amend the Federal Transportation Improvement Program (FTIP) to include their projects. Caltrans, acting as the MPO for the rural Regional Transportation Planning Agencies (RTPAs), will amend the Federal Statewide Transportation Improvement Program (FSTIP) accordingly.

All projects that receive, or may receive, federal funds in any project phase, must be programmed in the FTIP. MPOs are encouraged to program all projects, including State-Only Funded (SOF) projects, to reduce the potential need for program amendments.

Once the FTIP/FSTIP is amended, applicants may proceed with implementing their project.

While the ATP program does not require matching funds - the federal funding in the ATP program does require agencies to provide an 11.47% match of non-federal funds; or agencies may use Toll Credits, in lieu of non-federal funds. Although Toll Credits do not add any funding to the project, it can be utilized by agencies to meet their non-federal funding match requirement.

Agencies and MPOs must identify the Toll Credits in the FTIP, when Toll Credits are used.

For a federally funded ATP project using Toll Credits, in lieu of the entire 11.47% match, the project should be programmed by project phase, and show 11.47% of the federal ATP funds as Toll Credits.

For a federally funded ATP project providing a non-ATP, non-federal fund contribution less than the required 11.47% match, the project should be programmed by project phase; and either show 11.47% of the federal ATP funds as Toll Credits, with the non-ATP, non-federal funds shown as non-participating; or request Caltrans meet the 11.47% match requirement with a combination of the agency's non-ATP funding and State-ATP (SHA or SB1) funding.

See Chapter 3 of the LAPM at: <http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm> for additional match types and requirements for federal funding.

## 22.8 PROJECT DELIVERY

This section provides information about the tasks for implementing an ATP project after it is amended into the FTIP/FSTIP. The tasks outlined below apply to all programmed components of an ATP project.

ATP specific CTC allocation requirements may be found in the *CTC ATP Guidelines*, located on the web at: <http://www.catc.ca.gov/programs/atp/>.

### ALLOCATION OF FUNDS

#### STATE FUNDS

The Request for Funding Allocation serves as the basis for requesting the allocation, preparing the project agreement(s) and setting up the project in the state accounting system.

The implementing agency is responsible for requesting funding allocation for their projects adopted in the ATP. To request an allocation, the following shall be submitted to the DLAE; generally 8 weeks (per the [Preparation Schedule](#)) prior to the CTC meeting requested for the allocation (per the [CTC Meeting Schedule](#)):

- *Local Assistance Program Guidelines* (LAPG), [CTC Allocation Form](#)
- LAPG Exhibit 22-R, [Non-Infrastructure Work Plan](#) (required for NI projects/components only)

Complete allocation requests will be reviewed by the DLAE and processed through Caltrans Headquarters, Division of Local Assistance to the Division of Budgets.



Once the implementing agency's allocation has been awarded by the CTC, the agency may begin work. Invoicing may begin once the Master Agreement (MA) and Program Supplemental Agreement (PSA) have been executed.

**Note: Submitting the Allocation Request and the Request for Authorization to Proceed (see below) to the district concurrently is encouraged.**

For State Only Funded (SOF) projects; the Request for Funding Allocation, including [Exhibit 22-C State Only Finance Letter](#) and [CTC Allocation Form](#), is submitted by the implementing agency to the District Local Assistance Engineer (DLAE).

Projects listed as SOF on the CTC's list of adopted ATP projects are not required to complete Exhibit 22-F Request for State ATP Funding. Implementing agency projects with phases over \$1M that are NOT listed as SOF on the CTC's list of ATP adopted projects, but wishing to request state only funding, should have completed the [Exhibit 22-F Request for State ATP Funding](#) as part of the ATP application.

### CONSTRUCTION ALLOCATION REQUESTS

In order to comply with *CTC ATP Guidelines* regarding Allocations, Caltrans expects that implementing agencies requesting construction allocation for their ATP project must first certify the project Plans, Specifications and Estimate (PS&E) package is complete and consistent with the scope of work identified in the original CTC approved project application or approved scope amendment. As part of certifying the PS&E package, it is the responsibility of the implementing agency to make sure the PS&E package is complete, adequate for its purpose, accurate, free of defects and inaccuracies, and unambiguous.

For Non-Infrastructure projects, the Work Plan is the PS&E equivalent. For Plan projects the Exhibit 22-R Plan is the PS&E equivalent.

If the scope has changed from the original CTC approved project application, the implementing agency is responsible for first certifying the appropriate approvals were obtained and the project's PS&E package is consistent with the current approved scope of work.

Although Caltrans may not be performing a full review of the PS&E package at time of construction allocation, the implementing agency is reminded all documents relating to the project are subject to review by Caltrans. For projects with state funding, all project related documents are also subject to review by the CTC; for projects with federal funding, all project related documents are also subject to review by the FHWA.

### SCOPE CHANGE AND CONSTRUCTION ALLOCATION

Projects with pending Scope Change Requests will not be considered for construction allocation until the Scope Change Request is approved, and the newly approved scope is determined to be in substantial agreement with the PS&E package.

### REQUEST FOR AUTHORIZATION (RFA) TO PROCEED – FEDERAL FUNDS

After a project with federal funding is selected and programmed in a FSTIP, the next step is to obtain authorization to receive federal funds. To initiate the authorization to proceed for any phase of a federally-funded project, the local agency must prepare a "Request for Authorization to Proceed (E-76)" package per Chapter 3, of the LAPM. This package provides the information needed by Caltrans and the FHWA to formally authorize the start of each phase of reimbursable work, prepare the project agreement(s) and set up the project in the federal and state accounting systems. Federal funded projects will be authorized in accordance with procedures described in

the LAPM. Approval of the “Request for Authorization to Proceed (E-76)” by the FHWA establishes the date for the start of reimbursable work for each project phase or component and confirms that federal funds are available in the amount requested for that project.

The local agency must prepare a “Request for Authorization” and certify the accuracy of all the data on the forms. Separate authorizations and fund obligations can be made for Project Approval & Environmental Document (PA&ED); Plans, Specifications & Estimate (PS&E); Right-of-Way (R/W); and Construction (CON), if federal funds are to be used for these phases of the project.

When the project has been authorized and obligated, the DLAE sends an “Authorization to Proceed” notification to the local agency as verification that they may begin with that phase of the project and subsequently be eligible for reimbursement. If the project cannot be authorized, the local agency will be informed and advised what corrective actions are necessary.

### **PARTNERING WITH CONSERVATION CORPS**

Implementing agencies are encouraged to partner on their ATP projects with the California Conservation Corps (CCC), a certified community conservation corps as represented by the California Association of Local Conservation Corps (CALCC), or the Tribal Corps (TC), if applicable.

When the ATP application asserts use of the CCC, CALCC, or TC on the project, the implementing agency must:

- Obtain and keep, in their project file, an itemized estimate of the proposed work received from the CCC, CALCC, or TC
- Provide a copy of the respective partnering agreement in their Request for Allocation submittal package

For projects with federal funding, direct contracting with the CCC, CALCC, or TC, without bidding, is permissible; provided the implementing agency first demonstrates cost effectiveness, per 23 CFR 635.204. Cost effectiveness may be demonstrated by submitting a Public Interest Finding (PIF) to the DLAE, using [Exhibit 12-F: Cost-Effectiveness/Public Interest Funding](#) (see LAPM, Chapter 12, Method of Construction, Force Account). DLAE approval of the PIF must be obtained by the implementing agency before construction begins.

**IMPLEMENTING AGENCIES COMMITTING TO PARTNER WITH THE CCC, CALCC, OR TC IN THEIR ATP PROJECT APPLICATION, THEN FAILING TO DO SO, WILL HAVE A PENALTY APPLIED TO THE SCORE OF THEIR FUTURE ATP APPLICATIONS.**

### **INACTIVE PROJECTS**

Caltrans Division of Local Assistance, Office of Implementation, through DLAE, provides guidance and support to Local Agencies in managing the inactive projects, and participates in the quarterly review with FHWA. (This is not to be confused with the Timely Use of Funds or T.U.F. process mentioned in section 22.15 Allocations)

Inactive project information can be found at:

<http://www.dot.ca.gov/hq/LocalPrograms/Inactiveprojects.htm>

## 22.9 PROJECT AMENDMENTS

The implementing agency is required to complete the project as programmed and as represented in the scope of work identified in the original CTC approved project application, unless a project Scope Change Request has been submitted to Caltrans for review and approved by CTC.

As mentioned earlier in Section 22.8 Project Delivery, under the Scope Change and Construction Allocation subsection, projects will not receive construction allocation until any pending Scope Change Requests for the project are resolved, and the project's PS&E package agrees with the CTC approved scope of work.

The *CTC ATP Guidelines*, section Program/Project Amendments addresses Scope Changes and Funding Distribution Changes (<http://www.catc.ca.gov/programs/atp/>).

### SCOPE CHANGES

The agency is encouraged to contact either the district ATP coordinator or their district area engineer as soon as they believe an ATP project may need a scope change. After discussing the issue with district staff there will likely be a teleconference with the HQ ATP Manager. After this discussion if a scope change is needed, the agency should read [Exhibit 22-E Instructions for a Scope Change Request](#) prior to filling out the [Exhibit 22-D Request for Project Scope Change](#) ([http://www.dot.ca.gov/hq/LocalPrograms/atp/atp\\_info.html](http://www.dot.ca.gov/hq/LocalPrograms/atp/atp_info.html)), and gathering the needed supporting documents. The Scope Change Request package should be submitted to the District ATP Coordinator, the agency's district area engineer and/or the District Local Assistance Engineer.

### FUNDING DISTRIBUTION CHANGES

The CTC ATP Guidelines state:

- The request cannot be made in the same state fiscal year in which the funds have been programmed.
- The funds that are part of the request cannot have been allocated.
- Funds programmed in construction cannot be moved out of construction.
- An agency can only request a Funding Distribution Change once during the life of the project.

Agencies should consider waiting until after the environmental review has been completed to submit a Funding Distribution Change.

The Exhibit 22-G Request for Funding Distribution Change, and any supporting documents, should be submitted to the District ATP Coordinator, the agency's district area engineer and/or the District Local Assistance Engineer.

## 22.10 TIME EXTENSIONS

Implementing agencies may submit time extension requests for allocation, contract award, expenditure, and project completion using the ATP Time Extension Request (Exhibit 22-B); following the same process used for STIP projects specified in Section 66 of the CTC 2018 STIP Guidelines. The amount of additional time an implementing agency may request for their project, is limited to what is permitted in the *CTC ATP Guidelines*

(<http://www.dot.ca.gov/hq/LocalPrograms/atp/cycle-4.html>). The CTC will evaluate extension requests per *CTC ATP Guidelines* (see <http://www.catc.ca.gov/programs/atp/>).

## 22.11 DESIGN STANDARDS

Streets and Highways Code Section 891 requires that all city, county, regional, and other local agencies responsible for the development or operation of bikeways or roadways where bicycle travel is permitted utilize all minimum safety design criteria established by Caltrans, except that an agency may utilize other minimum safety design criteria if specific conditions are met, as described in Streets and Highways Code Section 891(b). Chapter 11, Design Standards, of the LAPM describes statewide design standards, specifications, procedures, guides and references that are acceptable in the geometric, drainage, and structural design of agency projects.

## 22.12 PROJECT REPORTING

Upon acceptance into the ATP, all implementing agencies must comply with the reporting requirements found in CTC ATP Guidelines at: <http://catc.ca.gov/programs/atp/> and SB1 Accountability and Transparency Guidelines at: [http://www.catc.ca.gov/programs/sb1/reforms/docs/090418\\_Final-Amended\\_Accountability-Transparency-Guidelines.PDF](http://www.catc.ca.gov/programs/sb1/reforms/docs/090418_Final-Amended_Accountability-Transparency-Guidelines.PDF).

Refer to the Caltrans ATP Reporting webpage for the most up to date process and forms: [http://www.dot.ca.gov/hq/LocalPrograms/atp/proj\\_report.html](http://www.dot.ca.gov/hq/LocalPrograms/atp/proj_report.html).

The Submittal of Final Report of Expenditures ([Exhibit 17-M](#)) is still required, in addition to all other reporting requirements.

## 22.13 COMPLETED PROJECT VERIFICATION

For infrastructure projects, the district shall perform an onsite review upon completion of the project to verify consistency with the original application or approved scope change. Discrepancies should be noted in the agency's final report.

For non-infrastructure projects, the district shall review the non-infrastructure deliverables to verify completeness and consistency with the approved [22-R: the Non-Infrastructure Work Plan](#). A site visit or conference call with the implementing agency may be scheduled as part of project completion verification.

For plan projects, the district shall review the final plan and ensure it meets the required plan components as identified in the approved [22-Plan: Plan Scope of Work/Timeline](#). A conference call with the implementing agency may be scheduled as part of project completion verification.

## 22.14 PROJECT AUDITS

A selection of ATP projects will be audited to evaluate the performance of the project, determine whether project costs incurred and reimbursed are in compliance with the executed project agreement or approved amendments thereof; state and federal laws and regulations, contract provisions, and *CTC ATP guidelines*, and whether project deliverables (outputs) and outcomes are consistent with the project scope, schedule and benefits described in the executed project agreement or approved amendments thereof.

Prior to a new allocation of funds, Caltrans may verify that the current funded phase has been completed and accepted. Caltrans at its' option may elect to sample audit or choose to audit all projects for phase completion.

Caltrans Audits and Investigations (A&I) will conduct 3 to 6 project audits per fiscal year. Projects will be chosen for an audit either by a sample selection or whether possible risks are identified. ATP projects that are audited as part of the program requirements may also be audited by FHWA as a part of their Financial Integrity Review & Evaluation (FIRE) process.

## 22.15 PROGRAM EVALUATION

See *CTC ATP Guidelines*: <http://www.catc.ca.gov/programs/atp/>

## 22.16 DEFINITIONS

Applicant – The eligible entity applying for ATP funding. Once funding is awarded the applicant is referred to as the Implementing Agency.

Implementing Agency - The entity whose application was awarded, and is charged with the successful completion of the project

Infrastructure Projects – Engineering projects or capital improvements that will further the goals of the ATP. This typically includes the environmental, design, and construction of facilities.

Non-infrastructure Projects – Education, encouragement, and enforcement activities that further the goals of the ATP.

Plan Projects – The development of a community wide bicycle, pedestrian, Safe Routes To School, or Active Transportation Plan.

Preconstruction – All phases or components of work prior to the construction phase i.e. PA&ED, PS&E, and Right-of-Way.

Project Applicant – See Applicant

## 22.17 REFERENCES

[23 Code of Federal Regulations \(23 CFR Part 710 and 771\)](#)

[49 Code of Federal Regulations, Part 24 \(49 CFR 24\)](#)

[23 Code of Federal Regulations, 635.309\(b\)](#)

[Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 as amended \(Uniform Act\)](#)

[Title VI of the 1964 Civil Rights Act](#)

[Caltrans, Right of Way Manual](#)

[Local Assistance Procedures Manual \(LAPM\)](#)

[Local Assistance Program Guidelines \(LAPG\)](#)

[Standard Environmental Reference \(SER\)](#)

[Senate Bill No. 99 Chapter 359](#)

[Transportation Alternative Program \(TAP\) Guidance](#)

[Senate Bill 1](#)