

VIRGINIA DEPARTMENT OF TRANSPORTATION

Transportation Alternatives Program Guide

August 2013



High Bridge Trail

Contents

Program Background

- Program History..... 1
- Mission of the Transportation Alternatives Program..... 1
- Reimbursable Program..... 1

Program Structure

- Funding 2
- Eligible Activities 2
- Eligible Sponsors 4
- Eligible Costs 5
- Ineligible Costs 6
- Local Match 6
- In-Kind Match..... 7
- Project Sponsor Responsibilities..... 8

Application Process

- Call for Applications..... 10
- Application Prerequisites 10
- Application Submittal 10
- Project Scope 11
- Project Selection 12
- Project Approval 13

Project Implementation

- Federal Standards..... 14
- Project Administration Agreement 14
- Project Development/Progress..... 15
 - Quarterly Project Status Report 15
- Reimbursement 16
- Project Close-Out..... 19

Glossary 20

Appendices

- Appendix A – Eligibility Guidelines
- Appendix B – CTB Selection Policy
- Appendix C – Project Development: Differences with TA / TE Projects
- Appendix D – Project Development Check List
- Appendix E – De-allocation Process
- Appendix F – Quarterly Project Status Report
- Appendix G – Reimbursement Forms
- Appendix H – LAP Form C-5

Program Background

Program History

The Transportation Alternatives Program (TAP) was authorized in the most recent federal transportation bill – Moving Ahead for Progress in the 21st Century, also known as MAP-21. This legislation was signed into law on July 6, 2012. The Transportation Alternatives Program redefines the former Transportation Enhancement (TE) Program and consolidates these eligibilities with the Safe Routes to School and Recreational Trails program eligibilities.

The former Transportation Enhancement Program was originally authorized in the Inter-modal Surface Transportation Efficiency Act of 1991 (ISTEA) and continued through two successive laws: TEA-21 and SAFETEA-LU. The Transportation Alternatives Program builds upon the legacy of the TE program by expanding travel choices, strengthening the local economy, improving the quality of life, and protecting the environment.

Mission of the Transportation Alternatives Program

The program is intended to help local sponsors fund community based projects that expand travel choices and enhance the transportation experience by improving the cultural, historical and environmental aspects of the transportation infrastructure. The program does not fund traditional roadway projects or provide maintenance for these facilities. Instead it focuses on providing for pedestrian and bicycle facilities, community improvements and mitigating the negative impacts of the highway system.

Reimbursable Program

TAP is part of the Federal-aid Highway program. It is not a grant program and funds are only available on a reimbursement basis. This means the project sponsor must first incur project expenses and then request reimbursement. It is therefore important to plan ahead and have the necessary funding available to pay for services and materials until the appropriate documentation can be submitted and processed for reimbursement.

Program Structure

Funding

Each State's Transportation Alternatives Program funding includes: the ten (10) Transportation Alternatives (TA) eligibilities; the Safe Routes to School (SRTS) eligibilities; the "Boulevard" eligibilities; and the Recreational Trails Program (RTP). MAP-21 clearly outlines how these funds are to be distributed. First, there is a sub-apportionment for the Recreational Trails Program which is taken off the top of the State's total TAP funding allocation. Of the remaining balance, MAP-21 states that 50% can be allocated anywhere in the state, but the other 50% must be allocated based on population as set forth in the federal legislation. The divisions for the population-based sub-allocations are:

- Urbanized areas of the State with a population over 200,000 – also known as a Transportation Management Area (TMA)
- Areas of the State with a population less than 200,000 but greater than 5,000
- Areas of the State with a population less than 5,000

Virginia has four (4) Transportation Management Areas which are made up of all, or part, of six (6) Metropolitan Planning Organizations (MPOs). These TMAs include: all of the Northern Virginia MPO (COG) and parts of the Hampton Roads (HRTPO), Richmond, Tri-Cities, Fredericksburg (FAMPO) and Roanoke MPOs.

Note that the Recreational Trails Program is the only specified program set-aside; all other eligibilities including TA and SRTS must compete for the remaining TAP funding.

Eligible Activities

MAP-21 identifies four (4) categories of eligibilities for the Transportation Alternatives Program:

- Transportation Alternatives
- Safe Routes to School
- Recreational Trails
- Boulevards in former Interstate System Routes

In Virginia, the Transportation Alternatives Program administered by the Virginia Department of Transportation (VDOT) will focus on the Transportation Alternatives and Safe Routes to School eligibilities. To be considered for this funding, a project must relate to surface transportation and qualify under one or more of the TA or SRTS activities.

Transportation Alternatives Eligibilities

Below are the ten (10) qualifying TA activities (see Appendix A for further details):

1. Construction of on-road and off-road trail facilities for pedestrians, bicycles and other non-motorized transportation users
2. Construction of infrastructure related projects and systems that will provide safe routes for non-drivers to access daily needs
3. Conversion and use of abandoned railroad corridors for pedestrians, bicycles and other non-motorized transportation users
4. Construction of turnouts, overlooks and viewing areas
5. Inventory, control or removal of outdoor advertising
6. Historic preservation and rehabilitation of historic transportation facilities
7. Vegetation management practices in transportation rights-of-way
8. Archeological activities relating to impacts from implementation of a transportation project
9. Environmental mitigation activities to decrease the negative impacts of roads on the natural environment due to highway run-off and water pollution
10. Wildlife mortality mitigation activities to decrease the negative impacts of roads on wildlife and habitat connectivity

Safe Routes to School Eligibilities

The SRTS activities include both infrastructure and non-infrastructure improvements intended to enable and encourage children K – 8th grade to safely walk and bicycle to school.

These activities include:

1. Infrastructure related projects including their planning, design and construction
 - Sidewalk improvements
 - Traffic calming and speed reduction improvements
 - Pedestrian and bicycle crossing improvements
 - On-street bicycle facilities
 - Off-street bicycle and pedestrian facilities
 - Secure bicycle parking facilities
 - Traffic diversion improvements in the vicinity of schools

2. Non-infrastructure related projects including promotion and safety education
 - Public awareness campaigns and outreach
 - Traffic education and enforcement in the vicinity of school
 - Student sessions on bicycle and pedestrian safety, health, and environment
 - Funding for training, volunteers and managers of safe routes to school programs

Recreational Trails

The Recreational Trails Program is administered by the Virginia Department of Conservation and Recreation (DCR); a separate state agency. Any request for funding under this program and its eligibilities should be directed to DCR.

Boulevards

MAP-21 established a fourth eligibility for the TA program defined as: planning, designing or constructing boulevards and other roadways largely in the right of way of former interstate system routes or other divided highways. Eligibility under this category has not been fully defined and any projects within this category should be submitted far enough in advance to allow for an eligibility review by FHWA.

Eligible Sponsors

MAP-21 allows the following entities to apply for Transportation Alternatives funding:

- **Local governments**
 - This includes City, Town and County entities
- **Regional transportation authorities**
 - For example the Northern VA Transportation Authority and the Hampton Roads Transportation Authority (a political subdivision of the Commonwealth)
- **Transit agencies**
 - For example WMATA (Washington Metropolitan Area Transit Authority); RMA (Richmond Metropolitan Authority) and GRTC (Greater Richmond Transit Company)
- **Natural resource or public land agencies**
 - This would include the Department of Conservation & Recreation (DCR), the Department of Historic Resources (DHR) and land agencies including the National Park Service (NPS), Bureau of Land Management (BLM) and US Forest Service (USFS)
- **School districts, local educational agencies or schools**
 - To include K-8 as well as high schools and universities (public and private)

- **Tribal governments**
 - This includes federally recognized tribes only
- **Any other local or regional governmental entity with responsibility for oversight of transportation or recreational trails (other than an MPO or state DOT)**
 - This would include PDCs and regional park authorities

Note that non-profit organizations are no longer eligible applicants under the provisions of MAP-21. Non-profit groups may still partner with eligible entities, but cannot be direct recipients of program funds or “own” professional service or construction contracts. The only exception would be for applicants of SRTS projects that otherwise qualify as an eligible sponsor – for example, a non-profit private school.

Eligible Costs

Only certain costs are eligible for reimbursement through the Transportation Alternatives Program. Federal obligation (also known as authorization) and execution of a VDOT project administration agreement mark the beginning of project costs which are eligible for reimbursement. Although time and money may have already been spent developing a project, a project administration agreement and federal authorization must be secured before costs are eligible for reimbursement. Any costs incurred prior to execution of these two documents cannot be reimbursed.

Following full execution of a project administration agreement and receipt of the required federal authorization (PE, RW, or CN), many project specific costs are eligible for reimbursement:

- 1) Preliminary and final engineering / design work including environmental coordination, cost estimates, construction plans and architectural work are eligible for reimbursement after approval to proceed is received from the Department.
- 2) Utility relocations necessary for project construction and property acquisition are eligible project expenses. Note that only the property specifically required for the project is eligible for reimbursement. For example, if 5 acres of property are purchased for construction of a trailhead facility, yet only 2 acres are specifically needed for the trailhead and parking, only the cost associated with the 2 acres is considered to be an eligible project cost.
- 3) Construction work including the required construction engineering / inspection and materials testing would also be eligible costs for a TA project.

NOTE: Work cannot begin on the next phase of project development – preliminary engineering (PE); Right of Way (RW); or Construction (CN) until this specific federal authorization is secured. A separate federal authorization is required for each phase of project development. Please refer to the Locally Administered Projects (LAP) Manual for a more detailed description of the development phases and the activities that occur during each phase.

Ineligible Costs

The TA program only allows reimbursement of eligible expenditures. Sometimes even costs that appear to be eligible may not be reimbursable because proper procedures were not followed or required approvals were not received before the costs were incurred. This would include project costs incurred prior to execution of the project administration agreement and / or receipt of the appropriate federal authorization.

Other costs are not eligible for reimbursement at any time. These include but are not limited to:

- Expenses associated with the preparation and submission of a project application
- Preliminary project development costs including feasibility studies, master plans and conceptual design work (these should be completed prior to applying for TA funding)
- Utility costs not necessitated by the project
- Property acquisition beyond that required for the project
- Overhead and operating costs associated with the project including general administrative costs, loan interest, purchase of office furnishings / supplies, office equipment / computers, software or construction equipment
- Costs associated with attending workshops
- Routine and / or incidental maintenance costs
- Staffing and / or operating costs

Costs incurred that were not procured or obtained in accordance with applicable federal / state guidelines would also not be eligible for reimbursement.

Local Match

Federal Transportation Alternatives funding can reimburse up to a maximum 80% of eligible project costs. A local match contribution of 20% or more is required to pay for the remaining project costs. Costs utilized to meet the local match requirement must be eligible project costs that would otherwise be eligible for reimbursement. This means that the costs must have been incurred after execution of the project administration agreement and receipt of federal authorization. In cases where construction costs are being utilized for match, the costs must meet the aforementioned requirements as well as having been incurred after the environmental document was approved.

It is important to understand that the local match requirement is not 20% of the federal allocation, but 20% of the total eligible costs, or 20% above the federal allocation requested. To calculate the match based on the total eligible project cost, follow this example:

Example 1: Total eligible project cost = \$125,000
Maximum Federal Allocation = \$125,000 x 0.80 = \$100,000
Match Required = \$125,000 x 0.20 = \$25,000

To calculate the match based on the total federal allocation, divide the federal allocation by 0.80, the result will be the total “eligible costs”. Multiply the total eligible cost amount by 0.20 and the result will be the required 20% local match. To calculate the match based on the federal allocation, follow this example:

Example 2: Federal Allocation = \$100,000
Total eligible project costs = $\$100,000 \div 0.80 = \$125,000$
Match Required = \$125,000 - \$100,000 = \$25,000

However, in many cases the full amount requested is not awarded. To calculate the match based on a reduced federal allocation, follow this example:

Example 3: Federal Allocation Awarded = \$50,000
Total eligible project costs = $\$50,000 \div 0.80 = \$62,500$
Match Required = \$62,500 - \$50,000 = \$12,500

The match requirement can be met using local, state or in some cases, other federal funds. This includes other grant funds – for example, community block grants (CDBG) – or donations. As a general rule however, sponsors cannot use federal or state transportation funds, including state Revenue Sharing or Recreational Access funds, as match to federal Transportation Alternatives funding. Transportation funds – both state and federal – may be used on TA projects to pay “excess” project costs as described below, but they cannot be used to fulfill the local match requirement. The one exception to this is federal Recreational Trail funds. As set forth in SAFETEA-LU, these federal funds can be used to match federal TA or TE funding.

If the Commonwealth Transportation Board (CTB) does not award a full 80% of the project costs, or if elements of the project are deemed to be ineligible costs, the “excess” costs are 100% the responsibility of the sponsor. These “excess” project costs can be paid for with: local cash funds, other grant funds, transportation funds, private / corporate cash donations, or any combination thereof. If other grant funds or transportation funds are used to pay these “excess” project costs, the funds may be from both federal and non-federal sources. Remember, this is for expenses above and beyond the federal and local match requirement.

In-Kind Match

In lieu of cash, the local match requirement can also be fulfilled through the use of in-kind match. These are eligible project costs that are 1) paid for by the sponsor and not submitted for reimbursement or 2) donated to the project from an outside source. With the TA program, we will continue to allow the use of in-kind contributions to make up the local match portion of project costs. However, it is important that any proposal for using in-kind match be well documented and approved in advance. In addition – for all new funding requests from this point forward – the costs that will be accepted as in-kind match will be limited. It will also be required that any proposed in-kind match be identified and when possible, documented on the funding application.

Allowable in-kind match costs will include:

- Professional services to include design, legal fees, construction engineering, inspection and materials testing
- Land purchased or donated for use on the project – limited to that land specifically required for the project. This would also include structures such as train stations and rail trestles.
- Materials donated for use on the project including such items as benches and landscaping
- Construction costs incurred as part of the project and located within the documented project limits as long as the work is performed after the environmental document has been approved

If you plan to use in-kind contributions in lieu of cash for the required 20% match, this will need to be detailed in your application. It is important to note that while in-kind match must be identified in the application, you should not accept any in-kind services or donations prior to execution of the project administration agreement and federal obligation of funds. The only exception to this would be the donation of land or buildings.

Projects approved under the prior Transportation Enhancement program will also be required to follow these guidelines on future applications, however, any prior commitment for the use of in-kind match will be honored as long as eligible costs can be identified and adequately documented.

If you have questions concerning the eligibility of in-kind match, you may contact your VDOT LAD program manager.

Project Sponsor Responsibilities

This is a locally administered, federal-aid transportation project. The Department will provide oversight on behalf of the Federal Highway Administration (FHWA), but the Department will not be responsible for the administration of the project. The sponsor is responsible for project development, quality assurance, daily project management and construction of the project, even if these services or activities are outsourced. All potential sponsors are encouraged to review the VDOT Local Assistance webpage for guidance and additional information including the LAP Manual and other available resources.

If the project is on VDOT right-of-way, the sponsor will be responsible for securing a land-use permit from the Department prior to any construction beginning.

All TA projects outside VDOT right-of-way, especially historic structures and shared-use paths, will be maintained by the sponsor. With these non-traditional projects, it should be assumed that the sponsor is responsible for future maintenance and upkeep of the project unless other arrangements are made with the Department. Although standard items located within VDOT right of way are normally maintained by VDOT (curb and gutter, sidewalks, etc), the sponsor should consult with the local VDOT office to confirm that VDOT will continue to maintain these items if modified by the sponsor as part of the TA project. Note that the Department does not

typically maintain non-standard features, such as brick paver sidewalks and / or crosswalks. If these are part of the proposed project, future maintenance of these improvements should be discussed with the local VDOT office before an application is submitted.

As the sub-recipient of federal transportation funds and the manager of a federal-aid project, the sponsor must adhere to all applicable federal and state regulations and guidelines. They are also responsible for maintaining all project records – both financial and project development – in accordance with federal record retention guidelines. This documentation will be critical in satisfying the federal audit requirements. Maintaining project cost records and reimbursement records is the sponsor's responsibility; it is not the responsibility of the Department. Project records should be maintained a minimum of three (3) years after the FHWA has final vouchered the federal Transportation Alternatives / Enhancement project.

Application Process

Call for Applications

The call for applications is made annually with applications due in the fall. All applications for Transportation Alternatives funding are to be submitted to the Virginia Department of Transportation – Local Assistance Division, Richmond Central Office location. This includes applications submitted for consideration by MPOs in the Transportation Management Areas (TMAs). If a TMA makes a decision to solicit applications separately, that information will be posted on the VDOT Local Assistance Division webpage. Our current application deadline is November 1 and if uncertain, the webpage is a good resource to confirm the current schedule.

Application Prerequisites

Prior to submitting an application, the sponsor must hold a public information meeting notifying the community of an application for federal funding. Any preliminary studies or conceptual designs should be available for review and there should be a public comment period to allow for comments or questions. The meeting should be publicly advertised following local procedures – newspaper, local website, community information board, etc. A copy of the public advertisement must be included in the application for funding. If applications for the same project are submitted in multiple years, a new public information meeting will not be required for each submission.

In addition to a public information meeting, the sponsor will be required to submit a resolution in support of the project. This resolution must include a commitment to provide the 20% match and provide for future maintenance and upkeep of the completed project. A copy of the resolution must be included in the application for funding. If applications for the same project are submitted in multiple years, a new resolution will be required for each submission due to the increased match commitment.

If the proposed project is located in a Metropolitan Planning Organization (MPO), then a resolution of support or letter of endorsement from the local MPO is also required. This is a requirement for all MPOs regardless of whether or not they are in a TMA. The one exception is the Metropolitan Washington Council of Governments (COG); they have historically waived the requirement of an MPO endorsement and will continue that practice with the TA program. A copy of this resolution / letter must be included in the application for funding. If applications for the same project are submitted in multiple years, a new MPO resolution will be required for each submission due to the possibility of additional funding.

Application Submittal

All applications must be received or postmarked by the application due date. As stated earlier, all applications – even those for consideration by TMAs – should be submitted to VDOT’s Local Assistance Division office in Richmond.

It is important that each application clearly identifies the proposed project scope, location and specific improvements to be made. Realize that the individuals scoring the application may not be familiar with the area and the needs to be met by the proposed project. To assist those evaluating the project, it is strongly recommended that the application include a detailed location map, pictures and narrative that clearly explains the proposed improvements and how they will enhance the existing transportation network. Before submitting, make sure to review the application carefully to ensure that all required attachments have been included.

Applications should be limited to a maximum request of \$1,000,000 per project, per application cycle. In accordance with program policy, the TA funding is distributed among the CTB members and the Secretary of Transportation. Note that if a CTB member elects to fund a project, they are required to award a minimum 50% of the federal funds requested. Historically the average federal allocation awarded per application is \$250,000. If the project's funding needs are significant, it is strongly recommended that the sponsor secure other funding sources in order to lower the amount of TA funds requested.

Project Scope

Keep in mind that a project must have a well defined scope that can be designed and under construction within four (4) years of the project's initial funding allocation. Note that additional allocations do not automatically extend this time limit. If the proposed project is large and / or more complex, it is recommended that additional funding sources be secured in order to complete the project with less of a TA commitment.

There have been multiple instances with the former Transportation Enhancement (TE) program where sponsors of larger, multi-phased projects collected or "banked" funds for future phases. This approach left federal funds sitting unspent while additional funds were being applied for. The FHWA requires that these federal funds be expended in a timely fashion and monitors the expenditure of funds quarterly through what is known as the FIRE report. This report quickly identifies projects that are not showing activity and not expending funds. If your TA project is on this report, FHWA will consider de-obligating the federal funds which could ultimately lead to losing your project funding.

To ensure we are establishing projects that can expend the federal funds within the four (4) year time limit; we are encouraging a narrower project scope. A sponsor can continue to plan for a larger, multi-phased project – for example, a three mile trail or multiple blocks of streetscape improvements – but each "project" must be set up in smaller, manageable pieces that can be funded in one or two funding cycles. Funds for a second "piece" or phase of the project can be applied for, but not until the first phase is under construction or has demonstrated substantial progress. The next phase will then become a new "project" with a new project administration agreement and a new four (4) year time limit. This is a different approach from how the former TE program was administered. Note that moving a project through project development in a timely fashion and completing prior phases are evaluated when scoring a new application. Successfully moving a project through to construction demonstrates the ability to administer a federal-aid project which will be evaluated and will also help a project score better.

Note that it is acceptable to request funding to design the whole project – multiple phases of a larger project – in the initial project application, but that funding needed for future construction phases will not be considered until the first project is under construction, or has demonstrated substantial progress. Completing design for the whole project at one time provides consistency to the design as well as efficiency in planning for future phases. Understand however, that due to the limited amount of TA funding available and the distribution requirements brought about by MAP-21, there is no guarantee that future construction phases will be funded. This is why it is critical to establish “logical” termini. For pedestrian and bicycle facilities, logical termini usually represent a roadway intersection; connection with another facility; or delivery to a destination such as the entrance to a park. Having logical beginning and ending termini creates “independent” utility or a usable facility even if the project does not continue or expand into future phases.

Project Selection

All applications will be reviewed by VDOT staff to ensure they comply with initial screening criteria including:

- project meets program eligibility and has an eligible sponsor
- application includes an adequate project budget and match documentation (if applicable)
- project has an acceptable scope and appropriate termini
- public information meeting and sponsor’s resolution are attached including an MPO endorsement if applicable

If the Department is unsure whether a project meets federal TA or SRTS program eligibility criteria, the application will be submitted to the Virginia Division of FHWA for an eligibility determination.

After the initial screening process, the Department will forward copies of the TMA applications to the respective MPOs for review. All eligible application will then be reviewed and scored by VDOT staff based on specific scoring criteria. Projects will be evaluated based on several criteria including:

- Project Funding
- Project Concept
- How the Project Improves the Existing Transportation Network
- Sponsor’s Experience Administering a Federal-Aid Project
- Project’s Readiness to Proceed

For existing projects, scoring will also include the project’s current status and the progress being made through project development.

In early spring, a listing of all eligible projects along with their scores will be presented to the TMAs and the Commonwealth Transportation Board (CTB) for consideration. Keep in mind

that MAP-21 requires the TMAs to make project selections in their respective urban areas while the CTB will make their selections in accordance with the current CTB policy – see Appendix B.

Project Approval

Tentative project selections are generally announced in spring. As a rule, the selections are included with the Department's Six-year Improvement Program public hearings in April / May. The final selections are then formally accepted by the Commonwealth Transportation Board at their June meeting. The Department strives to have all tentative selections – including TMA selections – by the hearing dates, but due to the individual MPO timelines, they may not always be available. If unable to get all TMA selections in time for the June CTB meeting, the appropriate MPO will be responsible for holding a public hearing prior to submitting selections to the Department. The missing TMA selections will then be formally approved by the CTB at a meeting prior to October 1 – the beginning of the federal fiscal year.

Project Implementation

Federal Standards

The Transportation Alternatives program is a federally funded transportation program. As such, project sponsors must ensure compliance not only with state, but with federal rules and regulations. Some of the basic federal regulations include:

- Americans with Disabilities Act (ADA)
- National Environmental Policy Act (NEPA)
- Cultural Resources - Section 106 of the National Historic Preservation Act
- Davis-Bacon Wage Rates
- Disadvantaged Business Enterprises (DBE)
- Uniform Relocation Property Assistance and Real Property Acquisition Policies Act
- Brooks Act
- Environmental Justice
- Title VI of the Civil Rights Act of 1964

If you are dealing with an historic property, you will be required to adhere to the Secretary of the Interior's Standards for the Treatment of Historic Properties. Any adverse effect on cultural resources will jeopardize federal funding and must be resolved to the satisfaction of the State Historic Preservation Officer (SHPO).

In addition to the above regulations, the sponsor must be familiar with state and federal procurement requirements. Because this is "transportation" funding, you must also be knowledgeable of AASHTO and VDOT design standards.

Project Administration Agreement

In Virginia, federal Transportation Alternatives funds are awarded by the Commonwealth Transportation Board (CTB) in May / June of each year in conjunction with the Department's Six-Year Improvement Program (SYIP). Once final allocations are announced and the Statewide Transportation Improvement Program (STIP) has been finalized, the Department will forward a Project Administration Agreement to the Project Sponsor for review and signature. Keep in mind that the Federal fiscal year does not begin until October 1 even though project awards are announced in June. The Project Agreement will then need to be signed by both parties before funds become available for reimbursement.

In addition to the required signatures on the Project Agreement and its Appendix A, the Project Sponsor must also include documentation of signatory authority for the local official signing the agreement. There must be documented evidence demonstrating that the official has "authority" to enter into an administration agreement with the Department. Signatory authority can be in the form of a local resolution authorizing an official to sign agreements, or it may be a local code reference stating that the official, because of his/her position has authority to execute agreements on behalf of the locality. Agreements will not be executed by the Department without this documentation.

Once the Agreement has been signed by the locality and returned, the Department's Local Assistance Division (LAD) will secure the required federal Preliminary Engineering (PE) authorization. At this point, the Department of Transportation Commissioner will execute the agreement and the Sponsor will be notified in writing to proceed with preliminary engineering (PE) activities.

Project Development / Progress

Project development steps will be detailed in the LAP manual. Those aspects of project development that are unique to Transportation Alternatives / Enhancement projects are outlined in Appendix C of this guide. In addition, a checklist is included as Appendix D to help guide the project development process.

All projects selected for funding should be initiated as soon as reasonably possible once funding is available. Time will begin on October 1 which is the first day of the federal fiscal year. Each project is expected to proceed to construction within four (4) years from the project's first allocation. Project development begins with execution of the project administration agreement and securing the federal PE authorization. It continues through environmental coordination, approval of the NEPA document, design / engineering, right-of way phase, and final plan review.

It is important to realize that projects not meeting established time frames for spending funds or advancing through project development can be subject to de-obligation of federal funds which can slow progress or de-allocation of funds wherein the federal funds are removed from the project permanently. Details of the de-allocation process are included in Appendix E.

A project may be considered delinquent and subject to de-allocation of funds if the following milestones are not met:

- Execution of project administration agreement – within 1 year of first allocation
- Preliminary design complete / 50% plan review – within 2 years of allocation
- Right-of-Way acquisition / final plan review – within 3 years of allocation
- Under construction – within 4 years of allocation

Every project is different and every project encounters its own obstacles, this is understood. But to meet the established four year timeframe for construction, it is important that every project continue to actively pursue each stage of project development. Department personnel – most importantly the District Coordinator – will be there to assist sponsors through development. For further details regarding specific project development requirements, see the Locally Administered Projects (LAP) Manual which can be found on-line at VDOT's Local Assistance Division webpage.

Quarterly Project Status Report

As previously stated, the Project Sponsor has four (4) years to get the project under construction. To assist in monitoring this effort, the Department has developed a Quarterly Project Status

Report for tracking progress through the development milestones. Submission of this form is mandatory in order that we can better assess the current status of these locally administered projects. Use of this form should be discussed with the VDOT District Coordinator at the project coordination, or kick-off meeting.

The Quarterly Project Status Report form can be found on-line at VDOT's Local Assistance Division webpage. The report is due quarterly in January, April, July, and October of each year. The report should identify the critical milestones accomplished to date, as well as, any delays or difficulties encountered. For your reference, a copy of the form has been included in Appendix F of this guide.

Reimbursement

Reimbursements for TA projects should be at no less than 90 day intervals and can be requested up to once monthly following the steps below:

- Design consultant and / or construction contractor bills the sponsor
- Project sponsor pays the invoice(s)
- Project sponsor submits a request for reimbursement to the VDOT District Coordinator along with copies of the invoice(s) and evidence of payment
- VDOT District Coordinator reviews the request for completeness and forwards it to the VDOT LAD Program Manager for approval and processing
- Once the reimbursement is reviewed for eligibility and any applicable VDOT charges assessed, the VDOT LAD Program Manager sends the request to VDOT's Central Office Fiscal Division for processing.
- VDOT Fiscal Division then processes the payment authorizing reimbursement to the sponsor within 30 days of receipt of a complete submission.

The same process should be followed when the sponsor is performing work in-house and wants to be reimbursed. In this case, the sponsor should prepare an itemized breakdown of costs incurred and submit it along with supportive documentation, to the VDOT District Coordinator requesting reimbursement. Reimbursement for in-house expenses must be directly related to project management and include employee names, hours, hourly rates; a simple description of work performed; and receipts for any non-salaried direct costs (consultants, printing, postage, advertising, etc).

When submitting a reimbursement request, only submit costs that have been incurred. Costs cannot be reimbursed until an invoice has been paid. This is why it is so important to have cash on-hand to keep a project going until the first couple of reimbursement requests can get processed and paid.

On each reimbursement request, summarize the eligible project costs; breaking them down as much as possible in order to identify exactly what is being reimbursed. If there are ineligible costs included on an invoice, these must be clearly identified as ineligible, and the costs deducted from the reimbursement request. For example, while tearing up the roadway to install new sidewalks and paver crosswalks, the sponsor may decide to replace an outdated water main. For

the sake of efficiency, these improvements can be included in the plans and performed by the same construction contractor, but they cannot be reimbursed. In this case, when the contractor's invoice is submitted to VDOT for reimbursement, the water main work / items must be clearly identified and the costs deducted from the reimbursement amount. Note that these costs cannot be used as match since they are not eligible for reimbursement.

If a reimbursement request includes expenditures on multiple developmental phases, it is important that the costs associated with each phase (PE, RW and CN) be kept separately and clearly identified. For example, all preliminary engineering costs should be summarized and kept separate from the construction costs. This is important because the federal authorization secured for preliminary engineering is based on the estimated costs for those expenses and FHWA will only reimburse up to the estimated amount for that phase.

This guide includes a sample Reimbursement Request and Reimbursement Summary sheet (Appendix G) that may be used by sponsors when requesting reimbursement. Use of these forms however, is not mandatory. When submitted, each request should have the appropriate support documentation for expenses incurred, including copies of invoices, receipts, timesheets, etc.; and evidence of payment including canceled checks or financial system printouts.

As a general rule, the sponsor will be reimbursed 80% of the eligible project costs incurred. The exception would be if in-kind is being used to fulfill the local match amount. If this is the case, it must be clearly noted on the reimbursement request. In order not to delay reimbursement and to allow sufficient time for an eligibility determination, all in-kind match should be submitted to the VDOT LAD Program Manager as soon as it becomes available and not held until the reimbursement request is submitted.

Match documentation may include receipts for materials that were purchased or services provided; it may include an appraisal or sale document for land and / or buildings (an historic depot, etc.) donated or purchased. Ideally, in-kind match documentation should be submitted separately to the LAD Program Manager prior to the submission of any reimbursement requests. As in-kind match is accumulated throughout project development – additional materials are donated, etc – this documentation should be collected and periodically submitted to the LAD Program Manager for review and approval. The value of match on file will be increased as new documentation is submitted; and as reimbursements are made, the match required will be deducted or “drawn” down from this amount. If sufficient in-kind match is not on file at the time an invoice has been received, you will be reimbursed at 80% until proper documentation is provided.

Although the sponsor is administering the project, VDOT is required by FHWA to provide oversight for all federal-aid projects. As part of this oversight, VDOT staff will perform certain activities related to the project. This may include general project coordination; preparation and / or approval of the environmental document; plan review; evaluation of property appraisals; and construction inspection / oversight. Because these are locally initiated projects, the Department does not have funding budgeted to cover project expenditures and must therefore seek reimbursement from the sponsor's federal allocation. Eighty percent of the Department's cost will be deducted directly from the project's federal allocation and the remaining 20% will be deducted from the sponsor's reimbursement payment. As such, the sponsor may not collect the

full federal share of the approved allocation. It is therefore strongly recommended that any anticipated VDOT charges be included in the project budget and thereby included in the federal amount requested when applying for Transportation Alternatives funding.

The amount of VDOT charges actually assessed can be affected by several factors: the complexity of the proposed project; whether or not the project is within VDOT right-of-way; and the sponsor's experience and available resources. The VDOT District Coordinator will be better able to estimate VDOT costs based on information provided by the sponsor at the coordination or kick-off meeting.

Below are several examples to demonstrate how the different reimbursement scenarios would work.

Example 1: Project Sponsor has \$100,000 in consultant invoices for engineering services. No in-kind match is being used and reimbursement is requested at the regular 80% reimbursement rate. No VDOT charges are assessed.

Local expenditures	\$100,000
Federal reimbursement	\$ 80,000
Local match in cash	\$ 20,000

Example 2: Project Sponsor has \$100,000 in consultant invoices for design services to restore an historic depot. The local Railroad donated the depot valued at \$65,000 to the Sponsor. This will be used as in-kind match and the Sponsor is requesting 100% reimbursement of the design invoices. No VDOT charges are assessed.

Local expenditures / invoices	\$100,000
Local expenditures / donated depot	\$ 25,000
Total local expenditures	\$125,000
Federal reimbursement	\$100,000
Local in-kind match used	\$ 25,000

In cases where in-kind match is used, the amount of documented project expenditures (invoices submitted) will be increased by the required match amount to allow 100% reimbursement of the expenses being requested for reimbursement. In-kind match required based on \$100,000 in invoices is calculated as follows:

$$\begin{aligned} \$100,000 \div 0.80 &= \$125,000 \text{ total expenditures} \\ \$125,000 \times 0.20 &= \$ 25,000 \text{ match required} \end{aligned}$$

Total land value	\$65,000
Land value used	\$25,000
Match still available	\$40,000

Example 3: Project Sponsor has \$100,000 in consultant invoices for engineering services. No in-kind match is being used and reimbursement is requested at the regular 80% reimbursement rate. VDOT charges of \$5,000 for plan review are assessed on this reimbursement. Remember that 20% of the VDOT charges will be deducted from the locality’s reimbursement and 80% will be deducted directly from the federal allocation. In this example, the Sponsor has a \$400,000 federal allocation for the project.

Local expenditures	\$100,000
Federal reimbursement	\$ 80,000
Less: 20% match for VDOT charges	\$ 1,000
Reimbursement received by locality	\$ 79,000

The federal allocation is affected as follows:

Federal TA allocation	\$400,000
Less: Federal reimbursement to date	\$ 80,000
Less: Federal share of VDOT charges	\$ 4,000
Federal TA allocation left	\$316,000

Project Close-Out

Once a project has been completed – this may mean that the eligible project scope has been achieved or it may mean that all federal funds have been expended and work on the project continues – the project must be closed or “final vouchered” with FHWA.

The close-out process begins with the sponsor submitting a LAP Form C-5 (Reporting Starting and Completion of Projects – see Appendix H) to the VDOT District Coordinator after final acceptance of the project. This signals the completion of a project or project phase and should be submitted for each project UPC. This will begin the Department’s financial close-out of the project including a review of project charges, reconciliation of financial records and any final adjustments needed to the federal reimbursement amount. Note that VDOT actually reimburses the sponsor and in turn, requests reimbursement from FHWA. At project close-out, the Department may need to make modifications to the existing federal authorizations (PE, RW and CN) based on actual project expenditures, to ensure accurate billing between FHWA and VDOT. If there are remaining unspent federal funds, these will be de-obligated and re-allocated to other active TA projects.

Once the financial records have been reviewed and found to be satisfactory, the Department will request that FHWA close or “final voucher” the project. Note that the sponsor is required to keep all project records including design, right-of-way and construction documents for a minimum of three (3) years after FHWA has final vouchered the project. This includes but is not limited to: selection and procurement process, contracts, invoices, plans and plan comments, diaries, materials testing / reports, change orders, etc.

GLOSSARY

Allocation – Commonwealth Transportation Board placement of program funds to a project.

Appendix A – attachment included in Project Agreement that outlines the specific funding limits, match requirements for each type of fund, project cost estimates, time limit for expending funds, and any items identified as ineligible for reimbursement.

Apportionment – federal funds budgeted for MAP-21 programs.

Authorization – approval required before reimbursable expenses can be incurred. Specific documents are required in order to request federal approval to proceed to a new phase – preliminary engineering, right of way, or advertisement. Any expenses incurred prior to receiving the appropriate federal authorization will not be eligible for reimbursement.

Boulevard – walkable, low-speed (35 mph or less) divided arterial thoroughfare in urban environments designed to carry both through and local traffic, pedestrians and bicyclists.

Brooks Act – federal act that requires a hiring agency to select consultant services for engineering and design upon a qualifications-based selection process. A qualification based selection does not allow for price to be used as a factor in the selection process.

Commonwealth Transportation Board (CTB) – the Board is made up of 17 members appointed by the Governor and approved by the General Assembly. The Board is charged with selection of Transportation Alternatives (TA) projects and the allocation of TA funds based on applications received. The Code of Virginia also requires that the Board approve the award of any construction contract (including TA projects) over \$2 million. The Department's Commissioner has been authorized to approve all contracts for less than \$2 million. The Board generally meets on the third Wednesday of each month.

Coordination Meeting – it is recommended that once a project receives funding and a Project Agreement is executed, that a “kick-off” meeting be scheduled with the local VDOT District Coordinator and other staff members to discuss the scope of the project and define the roles and expectations of each party. It will also allow the Sponsor to ask questions and identify the next steps needed to proceed with project development.

Cultural Resources – Section 106 – in accordance with Section 106 of the National Historic Preservation Act, federal agencies are required to take into account the effect of their undertaking on properties included in, or eligible for inclusion in, the National Register of Historic Places. The applicant is responsible for identifying and evaluating historic properties. In Virginia, the Department of Historic Resources (VDHR) is responsible for assisting in the determination of effects on historic properties.

Davis-Bacon Wage Rates – federal statute requiring the payment of minimum wages, including fringe benefits, to laborers and mechanics engaged in construction activity under contracts entered into, or financed by, agencies of the United States or the District of Columbia. Wages

are based on determinations by the Secretary of Labor of the wage rates and fringe benefits prevailing for the corresponding classes of laborers and mechanics employed on similar projects in the local areas where such work is to be performed.

Design Standards – projects must be designed in accordance with American Association of State Highway and Transportation Officials (AASHTO) and/or state approved standards. It is permissible for plans to be prepared in accordance with the Sponsor’s standards and format, provided these meet or exceed VDOT standards.

Disadvantaged Business Enterprise (DBE) – a small business owned and controlled by socially and economically disadvantaged individuals. To be eligible as DBE credit the firm must be VDOT certified.

District Coordinator – VDOT employee chosen in each of the nine highway districts to coordinate the district TA projects. The coordinator will assist local Project Sponsors with project development questions, coordinate required reviews, and provide guidance regarding state and federal guidelines.

Eligible Costs – those expenditures that can be reimbursed through the TA program. These include design and engineering, acquisition of property, construction, and construction engineering. To be eligible for reimbursement, proper federal authorization is required before the costs are incurred.

Environmental Document – umbrella document that provides evidence of compliance with a number of different environmental laws and regulations. Final design activities, property acquisition, purchase of construction materials, or project construction cannot proceed until the environmental documentation has been approved by FHWA.

Environmental Justice – The Environmental Justice requirement is a result of Executive Order 12898, issued in 1994, which focused attention on the environmental and human health conditions in minority and low-income communities. Per the executive order, each federal agency (and all recipients of federal funds) “shall make achieving environmental justice part of its mission by identifying and addressing, as appropriate, any disproportionately high and adverse human health or environmental effects of its programs, policies, and activities on minority and low-income populations.”

FHWA – Federal Highway Administration – branch of the U. S. Department of Transportation. The Transportation Alternatives program is a federal program administered by the Department. The FHWA must authorize each phase of project development before the Sponsor moves forward. They also provide program guidelines regarding eligibility and reimbursement.

Final Acceptance – acceptance of all contract work after completion and final inspection. If the final inspection discloses any work, in whole or in part, to be incomplete or unacceptable, the Contractor shall immediately correct the deficiency. Upon completion of the corrective work, another inspection shall be made.

FIRE – quarterly federal audit report that identifies projects that are not incurring costs within set timeframes and are subject to de-obligation.

Form LAP C-5 – VDOT form recording the beginning and ending dates of construction activity on a project, modified for use on locally administered projects.

In-eligible costs – those expenditures that cannot be reimbursed through the TA program. These are generally activities that do not qualify as one of the eligible TA activities set forth in the federal legislation. Because they are ineligible for reimbursement, these costs cannot be used to fulfill the local match requirement.

In-Kind Match – eligible services and/or materials donated to the project. Contributions can include design services, land, materials, and construction engineering services. The value of in-kind contributions should be documented and can be used to meet the 20% local match requirement. This may include Project Sponsor expenditures that are not submitted for reimbursement.

LAD Program Manager – VDOT Central Office, Local Assistance Division employee assigned to manage the Transportation Alternatives program. This position will act as a liaison with the Federal Highway Administration on program eligibility and compliance issues. The manager will focus more on overall program policy and training rather than day-to-day project management.

Land-Use Permit – VDOT permit required prior to beginning work within Department right-of-way.

Local Assistance Division – Division within VDOT Central Office charged with management of the federal Transportation Alternatives Program. Local Assistance staff will act as liaison with the FHWA throughout TA project development. The Division also manages other local programs including: First Cities, Revenue Sharing, Recreational Access, Economic Development Access, Airport Access, Rural Rustic Roads, and Federal Lands Access.

Locally Administered Projects (LAP) Manual – a separate manual developed by the VDOT Local Assistance Division to provide guidance to local governments administering and constructing transportation projects.

MAP 21 – is the current transportation bill “Moving Ahead for Progress in the 21st Century”. This two-year transportation bill, signed into law on July 6, 2012, established the Transportation Alternatives Program (TAP) which combined several programs including many of the prior Transportation Enhancement (TE) activities, the Recreational Trails Program (RTP) and the Safe Routes to School (SRTS) Program.

Match Requirement – the TA Program requires that the Project Sponsor provide a minimum 20% match to the total federal allocation granted to a project. This non-federal share may consist of cash, materials, services or the value of donated property. For in-kind services or

donations to be counted towards the match requirement, they must be expenses that would otherwise be eligible for reimbursement. The Sponsor is ultimately responsible for all project costs over the federal allocation; it is therefore critical that all project expenditures be closely monitored.

Metropolitan Planning Organization (MPO) – regional organizations that are comprised of local elected officials, appropriate agency officials and state officials or their representatives. MPOs are responsible for the development of transportation plans and programs for the urbanized area they represent. All TA projects require that the local MPO be notified of a Sponsor’s intent to file a TA application with VDOT. If the project is selected to receive TA funds, the MPO must approve its addition to their local Transportation Improvement Program (TIP) prior to federal funds being available.

National Environmental Policy Act (NEPA) – enacted in 1969, requires that any activity or project receiving federal funding or other federal approvals (including transportation enhancement projects) undergo an analysis of potential impacts to the environment. Under NEPA, FHWA works closely with other federal agencies and state, local, and tribal governments; public and private organizations; and the public to understand a project’s impact on the human and natural environment. This process involves striking a delicate balance among many different factors – mobility needs economic prosperity, health and environmental protection, community and neighborhood preservation, and quality of life for present and future generations.

Obligation – the placement of federal funds on a particular project by FHWA.

Phase – every project is broken down into separate developmental phases in which different activities occur. These phases include Preliminary Engineering, Right of Way, Advertisement and Construction. The Project Sponsor must receive written authorization from the VDOT District Coordinator prior to beginning a new phase.

Preliminary Engineering (PE) – first phase of project development including environmental coordination, related engineering studies, design, and public involvement.

Project Administration Agreement – written Agreement between VDOT and the Project Sponsor stating each party’s responsibility in managing the project. The Agreement includes an Appendix A which identifies the maximum amount of federal funds available to the project, the time limit for expending the funds, and any items that have been identified as ineligible for reimbursement.

Project Manager – party responsible for daily administration of a project. This may be the Project Sponsor, or consultant firm acting on behalf of the Sponsor.

Project Records – this includes but is not limited to all financial records, invoices, contracts, procurement documents including RFP, selection criteria and evaluations, design and right-of-way documentation, as well as all construction records including the project diaries, materials documentation, invoices, test reports, change orders, and claims.

Project Sponsor – the entity that is ultimately responsible for administration of the TA project. This is the party that enters into and signs the Project Agreement with VDOT. The Project Sponsor is responsible for ensuring that all state and federal requirements are fulfilled including environmental documentation and local match.

Public Information Meeting – an advertised public meeting to present transportation proposals and provide the opportunity for public comment. A public meeting must be held for all TA projects prior to submittal of an application. Requirements for the initial public meeting should follow guidelines or procedures as established by the local government.

Quarterly Project Status Report – a report summarizing the critical milestones for project development. The report is mandatory and should be submitted to the VDOT District Coordinator quarterly in January, April, July, and October of each year. It should reflect progress being made through project development and construction including identification of any delays / problems encountered.

Right of Way (RW) – preliminary phase of project development involving the acquisition of property and the relocation of utilities.

Secretary of the Interior Standards – required design and restoration standards for properties either on or eligible for the National Register of Historic Places.

Signatory Authority – this is required by the Attorney General’s Office to document that the local official signing the Project Agreement is “authorized” to enter into agreements on behalf of the locality.

Six-Year Improvement Program (SYIP) – the Department’s plan for project development and construction advertisement over the next six (6) fiscal years. This program is updated and approved by the Commonwealth Transportation Board each year in June.

Statewide Transportation Improvement Program (STIP) – a federally mandated document that lists the transportation projects and programs to be federally funded statewide. All transportation systems and facilities, including TA projects, must be included. Projects must be included in the STIP before federal authorization can be requested.

Title VI of the Civil Rights Act of 1964 – prohibits discrimination based upon race, color or national origin.

Transportation Improvement Program (TIP) – a transportation program developed by the MPOs listing federally participating projects to be funded over the next 3 years. All projects that will use Federal funds, including TA projects, must be included in the TIP.

Transportation Management Area (TMA) – an urbanized area with a population exceeding 200,000 people.

Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970

(Uniform Act) – procedures and requirements in the acquisition of real property and relocation of persons and businesses for federally funded projects. TA projects must adhere to requirements of the Uniform Act.

VDOT – Virginia Department of Transportation – the state highway agency. The Department is made up of nine (9) highway Districts. The Central Office, located in Richmond, houses the policy Divisions – Local Assistance, Scheduling & Contract, Programming, and Environmental, which ultimately provide approval and authorization for the separate phases of each TA project.

VDOT Charges – these are expenses incurred by the Department for staff time devoted to project oversight activities including but not limited to: environmental assistance and/or document preparation, appraisal review, plan review, civil rights reviews and construction inspection. Other oversight may be provided / required based on the project.

Appendix A

Transportation Alternatives Eligibilities

Activity	Eligible	Not Eligible
<p><u>Activity #1:</u></p> <p>Construction, planning and design of on-road and off-road trail facilities for pedestrians, bicyclists and other non-motorized forms of transportation</p>	<ul style="list-style-type: none"> • Trails on and off road • New sidewalks • Rehabilitating existing sidewalks to comply with ADA standards and to improve pedestrian access • Other ADA pedestrian improvements including curb ramps and truncated domes • Bicycle lanes • Bicycle parking and bus racks • Bicycle and pedestrian bridges and underpasses • Rails-with-Trails • Equestrian trails when built along with a shared use path 	<ul style="list-style-type: none"> • Sidewalk repair, drainage improvements or other maintenance activities • Circular trails / sidewalks • Facilities located wholly on one site or property that do not provide a connection to existing trails or sidewalks outside the site or property • Trails for equestrian use only • Recreational facilities • Any non-ADA compliant trail / sidewalk facility • Way-finding signage / program as a stand-alone project • Preliminary work including feasibility / location studies and master plans
<p><u>Activity #2:</u></p> <p>Construction, planning and design of infrastructure-related projects and systems that will provide safe routes for non-drivers including children, older adults and individuals with disabilities to access daily needs</p>	<ul style="list-style-type: none"> • Pedestrian and bicycle signals and crosswalks • Pedestrian lighting and other safety-related infrastructure • Safe connections to public transportation 	<ul style="list-style-type: none"> • Bicycle and pedestrian safety / educational programs (see SRTS eligibilities for K-8) • Lighting fixtures intended for aesthetic purposes only (instances where adequate lighting already exists) • Roadway lighting
<p><u>Activity #3:</u></p> <p>Conversion and use of abandoned railroad corridors for trails for pedestrians, bicyclists or other non-motorized transportation users</p>	<ul style="list-style-type: none"> • Rails-to-Trails facilities 	<ul style="list-style-type: none"> • Projects solely to preserve abandoned railroad right of way • Trail facilities for motorized vehicles (ATVs, dirt bikes, snowmobiles, etc) • Maintenance and/or upkeep of trails (including the purchase of equipment)

<p><u>Activity #4:</u></p> <p>Construction of turnouts, overlooks and viewing areas</p>	<ul style="list-style-type: none"> • Turnouts, overlooks and viewing areas that interpret a scenic or historic site 	<ul style="list-style-type: none"> • Interpretation and other amenities installed without construction of a turnout, overlook or viewing area • Safety rest areas • Visitor / welcome centers • Farmers markets, entertainment pavilions, etc. • Staffing, operating or maintenance costs of the pull off • Marketing and promotional activities
<p><u>Activity #5:</u></p> <p>Inventory, control or removal of outdoor advertising</p>	<ul style="list-style-type: none"> • Billboard inventories including those done with GIS/GPS • Removal of illegal and non-conforming billboards (non-conforming signs are those lawfully erected but that no longer comply with the Highway Beautification Act of 1965) 	<ul style="list-style-type: none"> • Administration or operating expenses involved in State outdoor advertising program activities.
<p><u>Activity #6:</u></p> <p>Historic preservation and rehabilitation of historic transportation facilities</p>	<ul style="list-style-type: none"> • Rehabilitation and /or restoration of historic transportation facilities including: train depots, rail trestles, bridges, lighthouses, bus terminals, tunnels, canals, locks and tow paths • Properties previously owned and operated by the railroad (example - railway offices and station master's house) • Historic toll facilities 	<ul style="list-style-type: none"> • Historic buildings that are not part of the historic transportation <u>infrastructure</u> (for example: inns and taverns, gas stations and carriage houses) • Projects that do not intend to comply with Secretary of the Interior Standards for Restoration and Rehabilitation • Improvements that will not maintain the historic integrity of the structure • Operation of historic transportation facilities • Spaces not open / accessible to the public • Spaces used in for-profit enterprises • Constructing a replica of an historic transportation facility • Construction of new rail /

		<p>passenger stations</p> <ul style="list-style-type: none"> • Transportation infrastructure not related to surface transportation (i.e. air and space travel)
<p><u>Activity #7:</u></p> <p>Vegetation management practices in transportation rights of way</p>	<ul style="list-style-type: none"> • Vegetation to improve transportation safety (could include removal of vegetation to improve sight distance) • Removal / management of invasive species • Planting of grasses or wildflowers to manage / prevent erosion along transportation corridors 	<ul style="list-style-type: none"> • Landscaping as scenic beautification / stand-alone landscaping project • Landscaping off transportation rights of way • Gateway signage
<p><u>Activity #8:</u></p> <p>Archaeological activities relating to impacts from implementation of a transportation project</p>	<ul style="list-style-type: none"> • Archeological excavations and surveys related to a transportation project • Archeological activities required as part of a MAP-21 eligible project • Interpretation and display of artifacts discovered as part of a transportation project 	<ul style="list-style-type: none"> • Archeological activities not related to a transportation project eligible under federal Title 23
<p><u>Activity #9:</u></p> <p>Environmental mitigation activities to decrease the negative impacts of roads on the natural environment</p>	<ul style="list-style-type: none"> • Stormwater management activities related to highway run-off that address water pollution and improve the ecological balance of local streams and rivers • Detention and sediment basins • Stream channel stabilization • Storm drain stenciling and river / stream clean-ups 	<ul style="list-style-type: none"> • Drainage improvements related to poor maintenance • Stormwater management activities not related to highway run-off and water pollution
<p><u>Activity #10:</u></p> <p>Wildlife mortality mitigation activities to decrease the negative impacts of roads on the natural environment</p>	<ul style="list-style-type: none"> • Wetlands acquisition and restoration • Wildlife underpasses and overpasses to improve wildlife passage and habitat connectivity • Improvements to decrease vehicle-caused wildlife mortality 	<ul style="list-style-type: none"> • Projects not related to the negative impacts of highway construction

Transportation Alternatives Program (TAP) funding cannot participate in the maintenance or upkeep of facilities nor can it be used to fund operating or staffing costs. All facilities constructed or improved with TA funds must be open and accessible to the public and cannot be for-profit enterprises.

The Transportation Alternatives Program as defined in MAP-21 **eliminated** three of the activities previously eligible under the SAFETEA-LU Transportation Enhancement (TE) program:

- Acquisition of Scenic Easements and Scenic or Historic Sites
- Historic Preservation **
- Transportation Museums

Other TE activities were **modified** in the new legislation:

Bicycle and Pedestrian Safety and Educational Activities – under TAP these activities are no longer eligible under TA, but are still eligible for audiences K – 8th grade as part of the Safe Routes to School (SRTS) eligibilities (non-infrastructure).

Scenic or Historic Highway Programs including Tourist and Welcome Centers – under TAP this activity is limited to the construction of turnouts, overlooks and viewing areas. Eliminated are the tourist and welcome centers that were previously eligible as well as the promotional and marketing activities (signage, brochures, and websites) for historic driving tours like the Civil War Trails and Road to Revolution.

Landscaping and Scenic Beautification – under TAP this activity was re-defined as “vegetation management” narrowing the geographic scope of landscaping to along “transportation right of way” and changing the focus from beautification to vegetation management. Relocating overhead utilities was a popular “beautification” activity formerly eligible under this activity that was eliminated by definition.

Rehabilitation and Operation of Historic Transportation Buildings, Structures or Facilities – under TAP the “operation” of historic transportation facilities such as the Erie Canal was eliminated but preservation and rehabilitation of these facilities are still eligible activities.

** Under TAP the only historic preservation activities eligible are limited to transportation infrastructure as defined in Activity #6. Historic preservation or rehabilitation of non-transportation facilities such as historic mills, courthouses, inns and taverns, was eliminated even if the structures have a strong transportation link or future transportation use.

Appendix B



COMMONWEALTH of VIRGINIA

Commonwealth Transportation Board

Sean T. Connaughton
Chairman

1401 East Broad Street
Richmond, Virginia 23219

(804) 786-2701
Fax: (804) 225-2940

Agenda item # 2

**RESOLUTION
OF THE
COMMONWEALTH TRANSPORTATION BOARD**

July 17, 2013

MOTION

**Made By: Mr. Layne Seconded By: Mr. Sterling
Action: Motion Carried, Unanimously**

**Title: Policy for Selection of Transportation Alternatives Projects and Process for
Transportation Enhancement/Transportation Alternatives Program De-allocation, Project
Transfer, and Inactive Projects**

WHEREAS, the federal Moving Ahead for Progress in the 21st Century Act (MAP-21) provides for a statewide Transportation Alternatives Program, using federal transportation funds and state or local matching funds; and

WHEREAS, from federal funds appropriated to the Transportation Alternatives (TA) program the Commonwealth Transportation Board (Board) shall approve the selection of projects on an annual basis and in accordance with §33.1-12(5) of the Code of Virginia and MAP-21; and

WHEREAS, the Board has expressed a desire to establish a selection policy in order to conform with MAP-21 required policies and to ensure timely allocation of Transportation Alternatives funds; and

WHEREAS, after reviewing the proposed policy changes, the Board believes the policy for selection of Transportation Alternatives project should be adopted as set forth below; and

WHEREAS, in association with the changes under MAP-21 relating to funding for the projects eligible under the Transportation Alternatives Program, it is necessary to adopt a replacement for the current “Enhancement Program De-allocation, Project Transfer and Inactive Project Process” in order to ensure that funding for Transportation Alternatives Projects is utilized within certain timeframes.

NOW, THEREFORE BE IT RESOLVED, the Commonwealth Transportation Board hereby rescinds its previous Interim Policy for Selection of Transportation Alternatives Projects adopted on October 17, 2012 and adopts the following policy and criteria governing the selection of Transportation Alternatives Program projects:

1. As required by MAP-21 the MPOs representing urbanized areas with populations greater than 200,000 (the Transportation Management Areas) will select Transportation Alternatives projects in their areas up to the amount of funding provided them in MAP-21.
2. The Secretary and CTB At-Large members will select Transportation Alternatives projects with the funds made available for population areas less than 200,000, up to the amount provided in MAP-21 for that requirement.
3. Statewide Transportation Alternative funds (remaining 50% of allocation and available for use anywhere in the state) will be apportioned equally among the District CTB members up to total amount of \$9M. The District members will select eligible Transportation Alternatives projects with these funds.
4. If the statewide funds mentioned in item 3 above exceed \$9M, the Secretary and CTB At-Large members will collectively select projects that address statewide funding gaps or needs up to the amount of the additional funding.
5. All projects selected must be under construction within four (4) years of the project’s first allocations availability, unless that time is extended for a documented reason.
6. All projects selected by the Board shall receive not less than 50% of the amount of Transportation Alternative program funds requested in the application. In addition, all projects selected by the Board will be fully funded to the requested Transportation Alternatives Program amount, if that amount is \$200,000 or less and such amount is all that is required to complete the project.
7. Once various project selections have been made in accordance with the foregoing process, the project list will be presented to the full Board for its consideration and approval.

NOW THEREFORE, BE IT FURTHER RESOLVED, the Board approves the Transportation Enhancement/Transportation Alternatives Program De-allocation, Project Transfer, and Inactive Project Process dated June 26, 2013 and attached hereto to guide the Department’s efforts in ensuring that funds for Transportation Alternatives Projects are utilized within the established timeframes and hereby rescinds the Enhancement Program De-allocation, Project Transfer and Inactive Project Process previously approved by the Board on December 8, 2010.

#####

Appendix C

Project Development – What’s Unique

The Locally Administered Projects (LAP) Manual provides sponsors managing locally administered projects the requirements and guidelines for project development. The LAP Manual should be the primary guide for project development process requirements. **This summary is provided only to point out some of the project development requirements that are unique to the Transportation Alternatives / Enhancement Program.** Because these non-traditional projects, although similar, are often less complex and have unique program features that differ from traditional roadway construction projects, there may be slight differences throughout project development. Any specific guidance here takes precedence over the recommended process in the LAP Manual since the intent is to streamline processes whenever possible.

Preliminary Engineering Phase

Request to Administer (RtA)

Roadway projects in the Department’s six-year program require a locality to submit a “Request to Administer” or RtA requesting to administer a VDOT project. Since Transportation Alternatives / Enhancement projects are directly solicited from localities and public agencies, they do not require an RtA. By submitting an application for a Transportation Alternatives / Enhancement project; you are automatically assuming responsibility for development of that project.

Kick-Off Meeting and Quarterly Progress Report

The project sponsor largely controls the schedule on these locally administered projects and therefore needs to take the initiative to ensure VDOT is kept up to date on the project’s status throughout development. It is strongly recommended that the Project Sponsor schedule a coordination meeting or “kick-off” with the VDOT District Coordinator before beginning any preliminary engineering (PE) activities. This meeting will help further define the scope of the project and outline the key requirements for project development. It will also identify the roles and expectations of each party and outline a tentative schedule of critical activities or project milestones. Discussion at the meeting may also offer insight into any possible ineligible project costs and whether in-kind match has been approved for the project. Since project activities are being discussed, this would also be an opportunity for VDOT to provide the project sponsor with an estimate of VDOT charges for their reviews and assistance.

A sponsor's regular submittal of Quarterly Project Status Reports will also help ensure VDOT is kept updated on the project's status – see requirements for submission of this form discussed earlier in this guide.

Environmental Document

Because most Enhancement projects are smaller and less complex, they will in many cases qualify for the basic level of NEPA / environmental document – either a Blanket Categorical Exclusion (BCE) or a Programmatic Categorical Exclusion (PCE). In rare instances, they may require the higher level Categorical Exclusion (CE).

In 2008, the Department instituted a policy wherein VDOT District Environmental staff would prepare the environmental document for these locally administered projects initiated in 2008 and later. This means that for any “new” project awarded federal Transportation Enhancement / Alternatives funds for the first time in June 2008 or later, VDOT will provide the basic coordination and required NEPA document. Note that this is considered part of VDOT's oversight and as such, is an eligible project charge. For older projects – those awarded funding prior to 2008 – it will still be the sponsor's responsibility to perform the research and coordinate with the required agencies to complete the NEPA document. For detailed guidance on project sponsors preparing environmental documents and obtaining environmental clearances, visit VDOT's webpage: http://www.virginiadot.org/business/environmental_requirementsTEP.asp

The sponsor must realize that on these “newer” projects, the Department is only performing the basic coordination and preparing the required NEPA document. There may be cases requiring the sponsor to provide some additional coordination or investigation in order to obtain the necessary final environmental clearances and required permits. For example, the sponsor may be directed to conduct additional environmental studies by the regulatory agencies such as limited archaeological surveys, or wetland findings / delineations. The sponsor is responsible for completing this work (above the basic coordination) or for obtaining qualified professionals to perform the work.

It should also be noted that in cases where VDOT prepares the environmental document, the sponsor is still responsible for obtaining any required permits and for complying with, and / or enforcing any environmental commitments identified in the NEPA document.

Public Hearings

The public information meeting / hearing held by the sponsor prior to submitting an application for funds, fulfills the initial federal “public participation” requirement for Transportation Alternatives / Enhancement projects. We strongly encourage however that the sponsor include public participation throughout the project development process.

Most Transportation Alternatives / Enhancement projects will not require a formal public hearing during the design phase. It is a good idea however, to hold a Public Hearing or post a

Willingness when 1) the acquisition of private property is planned; 2) the project has changed from what was presented at the initial public meeting; 3) a Categorical Exclusion (CE) NEPA document is required; or 4) concerns have been expressed by the community. Local procedures and guidelines should be followed for all public hearings.

Plan Review

The LAP Manual generally requires three (3) plan reviews for roadway projects; usually at the 30 / 60 / 90 percent stage. In an effort to streamline the process for Transportation Enhancement / Alternatives projects, preliminary plans should only require two reviews – one at approximately 50% complete and then a final review when the plans are at 90 – 100% complete. This can be further discussed with the VDOT District Coordinator at the kick-off meeting, but generally, the 50% review will ensure plans are being prepared in accordance with the appropriate standards and enough detail is being provided. It will also provide an opportunity to review for any possible conflicts between the proposed work and any current or future, VDOT improvements. It may also help in identifying any ineligible project costs. Then a final review will ensure the plans are ready for construction advertisement; and again provide an opportunity to identify any possible ineligible items.

In cases where the project involves construction or rehabilitation of a building, VDOT will rely on the locality's building official to provide a code compliance review and issue any required building permits. Certification of this review will be required at the PS&E stage.

The Department does not review building plans except in cases where the structure will be on State-owned property. If however, the building plans include site improvements such as parking lots, walkways, lighting or landscaping, VDOT will require a plan review for the site improvements. For historic structures, or structures within an historic district, the building plans must also be reviewed by the Virginia Department of Historic Resources (VDHR). If VDHR determines that the proposed improvements will have an adverse effect on cultural resources, additional coordination and possible modification to the plans will be required to ensure federal reimbursement. Note that VDHR will review not only direct impacts to the building, but will also review for any “visual” impacts within an historic district.

Ineligible Items

Unlike traditional roadway projects, Transportation Alternatives / Enhancement projects must constantly be reviewed for program eligibility. This is especially critical during design when the scope and design elements may be evolving. Note that the overall project may qualify for program funding, but that does not mean that every project “element” is eligible for reimbursement. For example, utility upgrades such as replacing a waterline or repaving the roadway may make sense to include while installing streetscape improvements; or adding tennis courts, barbeque grills and boat launches may make for nice amenities to a trail project, but they are not eligible for reimbursement. Ineligible items if included in the final construction plans and bid document must be clearly marked as ineligible and / or being paid for by others. The

amount paid to the contractor for these items must also be deducted from the reimbursement request.

Environmental Commitments

There may be environmental commitments that must be incorporated into final design plans. This may include adding notes to the plans regarding seasonal construction limitations due to endangered species or delineating certain areas that must be avoided altogether during construction. Commitments may also involve a requirement to submit final plans to the Virginia Department of Historic Resources (VDHR) for additional review and / or plan revisions needed to avoid a possible adverse effect determination. Be sure to verify that all commitments have been addressed as needed.

Title Sheet Signatures

All trail, roadside, and bridge plans must be reviewed by the Department; however Transportation Alternatives / Enhancement projects do not require Department signatures on the title sheet. When plans are submitted for review, the title sheet should include the project name, state / federal project numbers, local signature boxes, and a professional engineer's seal. It should also specify the standards and specifications under which the project is to be constructed; but they should not be submitted for VDOT signature.

Bid Document Preparation

If the project is funded with "old" Transportation Enhancement program funds (ISTEA, TEA-21 or SAFETEA-LU) as opposed to new MAP-21 funds, there is a possibility of using state procurement and small purchase procedures for projects estimated at less than \$50,000. This will eliminate the need for a traditional bid proposal / document. Check with your VDOT District Coordinator if you think your project may qualify. Note that MAP-21 legislation eliminated the option of utilizing state procurement rules for "new" projects funded totally with MAP-21 funds.

Right of Way Phase

Ideally, Transportation Alternatives / Enhancement projects should have R/W secured or commitments in place prior to applying for funding; however right of way acquisition is an eligible project cost. All federal requirements as outlined in the LAP Manual must be followed for right of way activities. For right of way acquisition, this includes an approved environmental document and federal RW authorization prior to acquisition and / or negotiation with property owners.

Condemnation

Since this is considered a “community friendly” program, condemnation or the use of eminent domain, is not a course of action recommended by VDOT for use on Transportation Alternatives / Enhancement projects. As such, the costs associated with these actions are not typically eligible for reimbursement.

Right of Way Certification

All projects will require Right of Way Certification prior to requesting a federal construction authorization. Note that due to the continuing maintenance requirements for these projects, sponsors may be required to secure permanent easements (as opposed to temporary rights of entry or construction easements) to ensure proper upkeep in perpetuity of the completed facility.

Advertisement and Construction Phase

Authorization to Advertise

A federal authorization to advertise for construction is required prior to advertisement or solicitation of price quotes, on all federal-aid projects. Sometimes however, Transportation Alternatives / Enhancement projects may only involve the purchase of materials. For a streetscape or trail project, this may be the purchase of benches or landscaping that town employees will install; for restoration of a depot, this may be the purchase of paint or drywall and screws that volunteers will use to complete the interior restoration. Note that purchasing materials is still considered a construction activity. As such, no price quotes can be solicited or material purchased – if you expect reimbursement for these items – until a federal authorization has been obtained. To secure federal authorization for the purchase of materials, the following should be submitted to the VDOT District Coordinator:

- 1) Bid Form / Solicitation – this should provide a list of the required materials including the estimated quantities and pay units of each (LF, EA, TON, etc.). This form is essentially the “shopping list” and will be used later to obtain quotes from vendors.
- 2) Specifications, plans, and/or drawings as applicable
- 3) Cost estimate (separate from the bid form / solicitation)
- 4) Copy of approved environmental document

Also contact the VDOT District Coordinator if the estimated construction cost for your Transportation Enhancement project is less than \$50,000; state procurement policy may allow for some procedures to be simplified on smaller construction projects like gateway signs and kiosks. As noted earlier however, the MAP-21 legislation eliminates this opportunity on newer Transportation Alternatives projects.

Additional Work / Change Orders

Any proposed change order meeting the criteria outlined in Chapter 13.3.3 of the LAP Manual should be submitted to the Department for review prior to execution. In addition, for Transportation Alternatives / Enhancement projects, if the project involves restoration of an historic structure or improvements being made within an historic district, all change orders should be submitted to the Virginia Department of Historic Resources (VDHR) for review and comment prior to execution.

Additional work included in change orders may or may not be eligible for reimbursement. Questions regarding eligibility should be discussed with the VDOT District Coordinator. If sufficient federal funds are not available, or the additional work is deemed ineligible, the sponsor is responsible for 100% of these costs. Copies of all approved change orders should be forwarded to the VDOT District Coordinator with a second copy sent to the VDOT LAD Program Manager for reference at the time of reimbursement.

Reimbursement Requests

This is a federal reimbursement program requiring proper documentation of eligible project costs. Reimbursement requests can be submitted as frequently as once a month, but should be submitted at a minimum of once every 90 days. Invoices and evidence of payment are required for all reimbursement requests. Requests should be submitted to the VDOT District Coordinator unless otherwise agreed upon with the VDOT LAD Program Manager.

As noted earlier, if any ineligible items are included in the reimbursement, these items should be clearly identified and the amount deducted from the request. Note that if any previously unidentified item is determined to be ineligible for reimbursement, or if proper procedures were not followed, the item(s) will be deducted from the sponsor's reimbursement.

VDOT Charges

Note that the Department is required by the Federal Highway Administration (FHWA) to provide oversight on these locally administered projects. The actual cost to the Department for providing this oversight will be charged to the project. For Transportation Alternatives / Enhancement projects, that means that 80% of the VDOT charges will be deducted directly from the federal allocation and the remaining 20% will be deducted from the sponsor's reimbursement request.

Appendix D

Project Development Checklist

The LAP Manual is the official guidance document for project development activities but this checklist provides a handy reference to get your project through the critical steps

Project Agreement

- Commonwealth Transportation Board (CTB) approved project selections
- Project Agreement received from VDOT
- Agreement signed and returned to VDOT LAD Program Manager
- Written authorization to proceed with preliminary engineering activities received from VDOT along with executed copy of the Agreement

Preliminary Engineering

- Coordination, or kick-off, meeting scheduled with VDOT District Coordinator
- Environmental coordination with VDOT District Environmental Staff
- Proposed RFP for professional services submitted to VDOT District Coordinator for Civil Rights review prior to advertisement
- Approval to advertise RFP received from VDOT
- Proposed contract and fee proposal for professional services submitted to VDOT District Coordinator for pre-award audit (if applicable)
- Audit of professional services contract completed by VDOT and comments received
- Contract for professional services awarded by Project Sponsor
- Approved environmental document received from VDOT
- Plan design underway
- Public Hearing held or a “Notice of Willingness” posted if required



Remember – Do not proceed with any property acquisition, materials purchase, or work that you want reimbursement for until you receive written authorization to proceed with the applicable phase of work (R/W or construction)!

Right of Way

- Coordination with VDOT Regional Right of Way Manager to get list of certified appraisers
- Appraisal(s) secured and submitted to VDOT District Coordinator for review
- Approved appraisal; a copy of the plat/plans; and the approved environmental document sent to VDOT District Coordinator requesting Right of Way authorization
- Written authorization to proceed with property acquisition received from VDOT
- Utility plans, cost estimate, and approved environmental document sent to VDOT District Coordinator requesting authorization for utility work
- Written authorization to proceed with utilities received from VDOT

Plan Design and Bid Document Preparation

- ❑ Preliminary plans submitted to VDOT District Coordinator for review at approximately 50% complete
- ❑ Comments received from VDOT
- ❑ Preliminary plans revised to include VDOT recommendations
- ❑ Bid document prepared including all applicable specifications and federal provisions
- ❑ Engineer's Estimate prepared
- ❑ Right of Way information submitted to VDOT Regional Right-of-Way Manager with a request for right of way certification
- ❑ Preliminary bid package including plans, bid document and estimate submitted to VDOT District Coordinator for review and comment **** this should be submitted a minimum of 90 days prior to the planned advertisement date ****
- ❑ Comments received from VDOT
- ❑ Plans and bid document revised to include VDOT recommendations
- ❑ Final plans, bid document, and estimate submitted to VDOT District Coordinator requesting advertisement authorization
- ❑ Written authorization to proceed with project advertisement received from VDO

Advertisement and Construction

- ❑ Project publicly advertised for a minimum of 3 weeks
- ❑ Bids received and read publicly
- ❑ Bids reviewed and verified for accuracy; low bidder identified
- ❑ Bid information, including bid summary and letter of recommendation from Project Sponsor submitted to VDOT District Coordinator requesting approval to award
- ❑ Recommendation for contract award approved by Department
- ❑ Written authorization to proceed with execution of contract received from VDOT
- ❑ Construction contract awarded to low bidder
- ❑ Pre-construction meeting scheduled
- ❑ Construction begins and Form C-5 issued
- ❑ Project records kept daily
- ❑ Coordination with VDOT Construction staff as necessary
- ❑ Change Orders submitted to Department for review (as necessary)
- ❑ Final inspection scheduled with VDOT Construction staff
- ❑ Construction complete and Form C-5 issued

A completed Project Status Report is due quarterly in January, April, July and October of each year once the Project Agreement has been executed. This form should be submitted to the VDOT District Coordinator with a copy sent to the VDOT Local Assistance Division (LAD) Program Manager.

Appendix E

Transportation Enhancement/Transportation Alternatives Program De-allocation, Project Transfer, and Inactive Project Process

Identification of Projects Subject to De-allocation:

- Project is subject to de-allocation if not under construction within 4 years from the date federal funding is available for the project's first allocation. Funding availability is defined as the beginning date of federal fiscal year.
- Project is subject to de-allocation if the initial project agreement is not executed within 12 months of presentation to the project sponsor.
- Project is subject to de-allocation if no funds are reimbursed within 24 months of initial funding availability or if the project fails to progress through project development

Process for De-allocation:

- Local Assistance Division (LAD) Program Staff will request by letter, the status along with an action plan for completion (to include a timetable for project development) for any projects subject to de-allocation. The letter will request a response within 45 days.
- Projects acknowledged by the project sponsor as complete or needing to be cancelled will be closed and any remaining allocations transferred to the District Balance Entry account for re-allocation.
- Project sponsors that do not respond to the 45 day letter will receive a follow-up letter stating that the project has been closed-out and any remaining allocation balance will be transferred to the District balance entry account and made available to the District CTB member for re-allocation to active projects.
- Projects that provide a request for an extension of time and timetable for project development will be reviewed by LAD Program staff. If the proposed timetable for project development is acceptable, a new deadline will be established. If unacceptable, the project will be discussed with the District CTB member to determine if de-allocation is necessary.
- The District CTB members will be advised when de-allocated funds become available and those de-allocated amounts will be re-allocated within the same district to existing active projects or placed in the District balance entry account.
- Pre MAP-21 de-allocated funds can be re-allocated to old Transportation Enhancement projects that are not currently eligible under MAP-21.

Project Transfers

Project sponsors may request that allocated funding be transferred to another existing project within the same locality or administered by the same project sponsor. Such transfer requests must be made in writing. These transfers will be made in coordination with the District CTB representative.

In order to advance project development and/or project completion, project sponsors, VDOT staff or CTB members may request that funding be transferred to a project in another locality within the same district. These transfers will be made in coordination with the appropriate District CTB member.

Process for transfer:

- LAD Program Staff reviews project allocations, expenditures, and pending VDOT charges to determine amount available for transfer (in coordination with Programming Division)
- The District CTB member is consulted for concurrence with the request.
- If the District CTB member concurs, the project funding is transferred.
- A letter is sent to the project sponsor indicating whether the funding transfer has been approved or denied. Project agreements are modified as necessary and transmitted with the approval letter.

Additionally, as projects are completed and a final voucher is processed through FHWA, any remaining funds will be transferred to the District Balance Entry account for re-allocation by the District CTB member.

Inactive Project Review

- LAD Program Staff will initiate a final voucher for all completed or cancelled projects
- The District Project Coordinator will review all projects on a quarterly basis to determine if regular billing is taking place. The District Project Coordinator will contact the project sponsor to request prompt billing if no billing has taken place over the past 12 months (1st contact can be informal – letter/email, 2nd contact to be formal letter).
- LAD Program Staff will emphasize the importance of timely billing in program workshops, project meetings, and other program guidance.
- Projects that remain inactive will be subject to de-allocation.

Appendix F

**TRANSPORTATION ALTERNATIVES / ENHANCEMENT PROGRAM
QUARTERLY PROJECT STATUS REPORT**

Project Name:
Project Number:
Sponsor:

Month:
Year:

Current Project Phase: (Check each activity that applies)

PE Consultant Acquisition

- Not Applicable
- RFP Advertised
- Consultant Selected
- Pre-Award audit complete

Construction Authorization

- Requested authorization from VDOT
- Authorization received

Design

- Preparing Plans
- 50% Plans submitted to VDOT for review
- 100% Plans submitted to VDOT for review
- Bid document submitted to VDOT for review

Contractor Acquisition

- Project advertised
- Recommended award to VDOT
- Construction contract awarded

Environmental

- Preparing NEPA Document
- NEPA document approved

Construction

- Project under construction

Right-of-Way

- Requested authorization from VDOT
- RW acquisition complete
- Utility relocation complete
- RW certification received

Project Completed

- Requested final inspection by VDOT

Provide a brief description of progress made since last report:

Explain any delays experienced and efforts made to correct:

Describe anticipated work efforts over the next three (3) months:

Completed by:
Title:

Complete the form quarterly and submit to VDOT District Coordinator in January, April, July and October

cc: Local Assistance Division – TA/TE Program Manager

Appendix G

SAMPLE REIMBURSEMENT REQUEST
(Must be submitted on Sponsor's letterhead)

Date_____

VDOT District Coordinator (Name)
Virginia Department of Transportation
VDOT District Office Address
City, State Zip

RE: Reimbursement Request for [project name]

Dear VDOT District Coordinator (Name):

This is to request reimbursement for the eligible costs incurred on the above referenced Alternatives / Enhancement project. Invoices / supporting documents and evidence of payment have been attached for your review.

PROJECT NUMBER:

UPC NUMBER:

REIMBURSEMENT REQUEST NUMBER:

LOCAL MATCH PROVIDED: CASH or IN-KIND (Circle one)

	CURRENT EXPENDITURES
1. EXPENDITURES (100%)	\$ _____
2. LESS LOCAL SHARE (20%)	\$ _____
3. REIMBURSEMENT (80%) (*)	\$ _____

(*) If using in-kind match, this should equal the invoice amount being requested for reimbursement and "EXPENDITURES" should include the additional match costs.

I certify that the enclosed invoices have been paid and the referenced expenditures have not been previously submitted for reimbursement.

Signature (Local Official)

Title

Date

Attachments

REIMBURSEMENT REQUEST SUMMARY

SPONSOR NAME: _____

PROJECT NAME: _____

PROJECT NUMBER: _____

REIMBURSEMENT REQUEST NUMBER: _____

Preliminary Engineering Current Expenditures	Right of Way/Utilities Current Expenditures	Construction Current Expenditures
---	--	---

Consultant Invoice(s)			
Property / Acquisition			
Utility Relocation			
Contractor Invoice(s) and/or Materials Invoices			
Administrative Salaries			
Miscellaneous Administrative Costs (brief description)			
TOTAL			

Include cumulative dollar amount for each applicable category / activity and attach individual invoices and supporting documents.

CURRENT IN-KIND MATCH
 (Use if you are submitting NEW match ONLY)

SPONSOR NAME: _____

PROJECT NAME: _____

PROJECT NUMBER: _____

Previous Match Submitted to Date	Additional Match Submitted this Invoice *NEW*
-------------------------------------	---

Land / Property Value		
Professional Services		
Donated Materials		
Construction Costs		
Other		
TOTAL		

Include dollar amount for each applicable category / activity and attach supporting invoices / documentation for any *new* match submitted.

**COMMONWEALTH OF VIRGINIA
DEPARTMENT OF TRANSPORTATION
REPORTING STARTING AND COMPLETION OF PROJECTS
LOCALLY ADMINISTERED PROJECTS**

State Project No.	UPC	Federal Project No.
Locality/Local Sponsor		Local Project No.

Contractor: _____

Project Description / Phase:

	DATE STARTED	DATE COMPLETED
Contract Work	_____	_____
Local Forces	_____	_____
Utilities	_____	_____

This project / phase is complete. All work has been inspected and deemed acceptable by the Locality or Project Sponsor for Enhancement projects. It is certified that work was completed in accordance with approved plans and specifications.

- This work was completed within VDOT right of way; land-use permit is on file.
- This work was completed outside VDOT right of way.

A final inspection was performed on _____ (date). _____ (name) of VDOT was in attendance.

Unless noted below, the project termini were not altered during construction.

REMARKS OR EXPLANATIONS:

_____	_____
Local Official Signature	Printed Name

Title

Local Acceptance Date

Once completed, a copy should be provided to the VDOT Project Coordinator for further distribution within VDOT.

Received By: _____ **Date:** _____

VDOT Project Coordinator Signature