



PennDOT's 2018 Transportation Alternatives Set-Aside Program Guidance and Procedures



Center for Program Development and Management
Planning and Contract Management Division
June 19, 2017

Things Project Sponsors Must Know

- **Project sponsors *must*** meet with their [Metropolitan Planning Organization \(MPO\) or Rural Planning Organization \(RPO\) staff](#) to discuss their project application.
- **Project sponsors *must*** meet with [PennDOT Engineering District staff](#) to discuss their project, PennDOT policies and regulations.
- Project sponsors that meet with their MPO/RPO (Planning Partner) and District prior to submitting an application ***will receive additional points*** during statewide application scoring.
- Project sponsors and anyone that would need to edit an application must either have an existing SharePoint account or create a new one here: <https://www.login.state.pa.us/login/Register.aspx>
- The Transportation Alternatives Set-Aside (TA Set-Aside) is not a grant program and no money is provided upfront. Applicants pay pre-construction costs on their own (design, environmental, right of way acquisition, utility). No applicant match is required.
- Projects are funded at 100% of the construction cost (including construction inspection). Project sponsors must, in most cases, pay for project design, pre-construction permits, clearances, etc.
- Projects must conform to one of the [10 categories of eligibility](#).
- Projects in areas designated as [PA Byways](#), within [DCNR Heritage Areas](#), listed on the [National Register of Historic Places](#), or affiliated with the [National Park Service](#) may be eligible under the PennDOT TA Set-Aside [Eligibility Category #4](#).
- Nonprofit organizations that oversee the administration of local transportation safety programs are now eligible project sponsors. All other non-profits remain ineligible.
- There is a minimum award of \$50,000 for construction projects. The maximum award is \$1,000,000, although higher awards can be justified for “exceptional” projects.
- Project sponsors should select consultants that have demonstrated experience in the design and timely delivery of Safe Routes to School or Transportation Alternatives Program projects.
- A minimum of \$55 million is available for the statewide funding round. Funding will vary in Large MPO areas, which are described in the [Funding section](#) on page five.
- Applications submitted during this round will also be eligible for [Federal Safe Routes to School](#) funding.
- Potential project sponsors are strongly encouraged to participate in a webinar on July 13th at 1:00 PM. [Appendix G](#) has the call-in number, pin, and visual access links.

Timeline

Milestone	Responsible Party	Date
Guidance and Applications Available on Website	Central Office	6/19/2017
Application Cycle Opens	Central Office	7/10/2017
Webinar for Potential Project Sponsors	Central Office	7/13/2017
TA Set-Aside Eligibility Form Due for Pre-Application Eligibility Determinations	Project Sponsors/Planning Partners/Districts	8/25/2017
Large MPO Guidance/Selection Processes Due	Large MPOs	9/1/2017
All Project Applications Due	Project Sponsors	9/22/2017
Project Applications Available for Review	Planning Partners/Districts	9/29/2017
All MPO/RPO/District Comments Due for All Applications	Planning Partners/Districts	1/5/2018
Large MPO Project Selections Due	Large MPOs	1/5/2018
TA Set-Aside Project Selections Complete	Central Office	1/26/2018

Background

Moving Ahead for Progress in the 21st Century (MAP-21) introduced fundamental changes to the administration of local programs, including those that previously existed as separate programs in the Safe, Accountable, Flexible, Efficient Transportation Equity Act – A Legacy for Users (SAFETEA-LU) legislation. Transportation Enhancements (TE), Safe Routes to School (SRTS), Scenic Byways (Byways) and the Recreational Trails Program (RTP) were previously consolidated into the Transportation Alternatives Program (TAP). With the exception of the RTP, which takes funding “off the top”, the current eligible activities from the SAFETEA-LU programs compete against each other for funding.

In December 2015, the Fixing America’s Surface Transportation (FAST) Act was passed, renaming the previous TAP to the Set-Aside of the Surface Transportation Block Grant Program. For clarity, the program is referred to as the Transportation Alternatives Set-Aside or TA Set-Aside.

Other than the name change, the TA Set-Aside is largely unchanged from the previous TAP. One notable change is that nonprofit organizations that oversee the administration of local transportation safety programs are now eligible project sponsors.

Federal Guidance for the Recreational Trails Program remains similar to previous iterations. For more information about the federal program, please visit FHWA’s Recreational Trails Program page: http://www.fhwa.dot.gov/environment/recreational_trails/guidance/.

In summary, the TA Set-Aside continues to provide funds to build pedestrian and bicycle facilities, improve access to public transportation, create safe routes to school, preserve historic transportation structures, provide environmental mitigation, and create trails projects that serve a transportation purpose, while promoting safety and mobility.

Federal Resources

The Federal Highway Administration (FHWA) has issued guidance on the TA Set-Aside: https://www.fhwa.dot.gov/environment/transportation_alternatives/guidance/guidance_2016.cfm.

Until 2013, the National Transportation Alternatives Clearinghouse (NTAC), under contract with FHWA, developed program guidance, interpreted eligibility, and provided project tracking support to all states. When federal funding for NTAC ended in 2013, the Rails to Trails Conservancy (RTC) agreed to maintain the archived resources, guidance and newsletters produced by NTAC. Additionally, RTC continues to track TE, TAP, and TA Set-Aside spending through annual data collection cycles. Project tracking information and annual spending reports are housed on the Transportation Alternatives Data Exchange (TrADE) site: <http://trade.railstotrails.org/index>.

PennDOT uses TrADE’s 10 Eligible TA Definitions for project eligibility: http://trade.railstotrails.org/10_definitions. These interpretations were initially provided in consultation with FHWA.

TRADE's 10 Eligible TA Definitions form the first 10 categories of eligibility that are described in the [Project Eligibility](#) section of this document. SRTS infrastructure projects are the 11th category of eligibility.

Website

A public website has been developed to provide general information and all the resources necessary for the TA Set-Aside, including Program Guidance, Applications, References, and contact information.

PennDOT's TA Set-Aside Funding Site can be accessed via this link:
<https://spportal.dot.pa.gov/Planning/AppReg/TAP/Pages/default.aspx>.

The website and application are best viewed in Internet Explorer or Edge. If you're using Google Chrome, please see the [Browser Compatibility](#) section of this document for instructions on downloading a recommended add-on that will make Chrome compatible with the application process.

Funding

Funding Breakdown

There are two general allocations of funds: statewide and by population. The statewide funds may be used on any project within the state, whereas "by population" funds must be spent in the region to which they're allocated. The funding amounts are explained below.

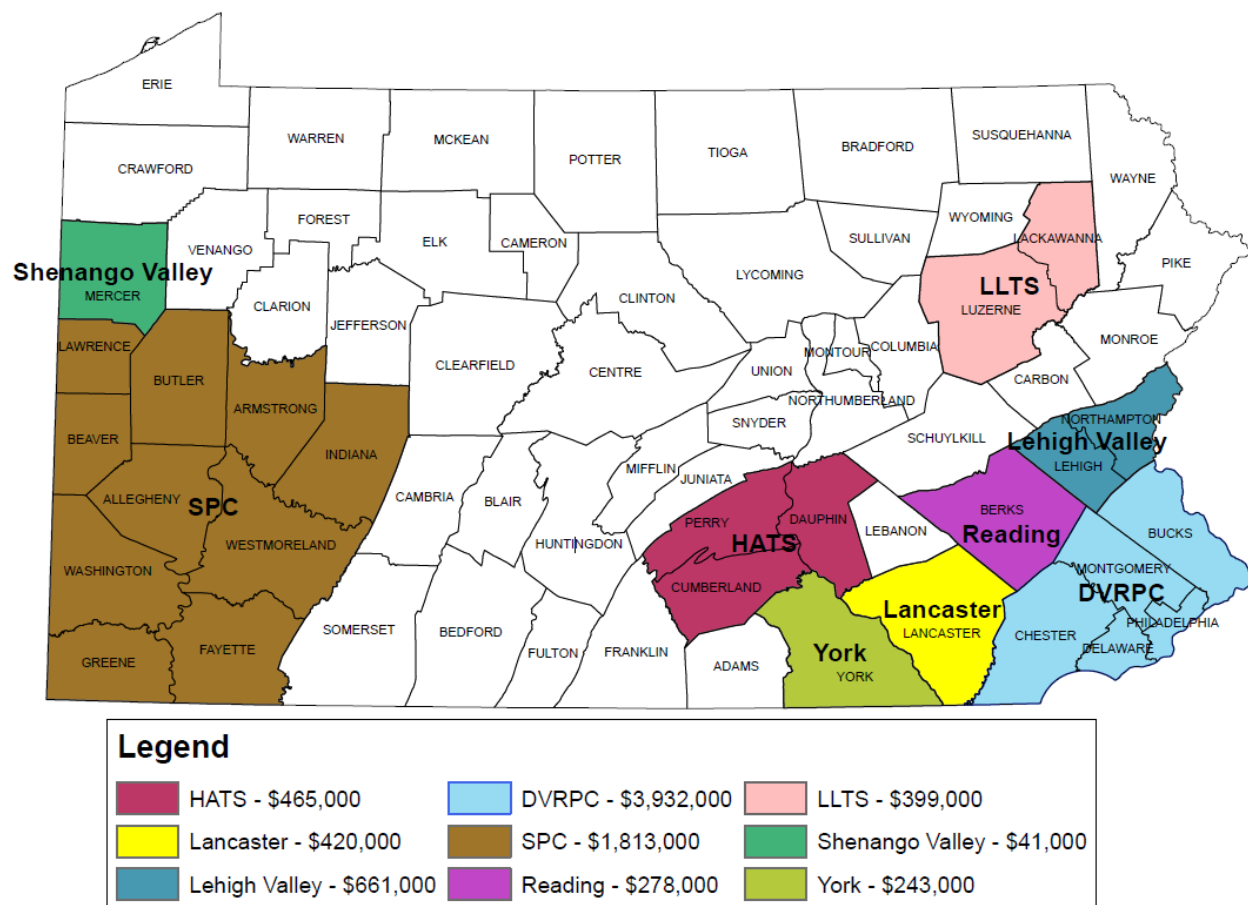
Areas >200,000 Urbanized Population (Large MPOs)

The FAST Act allocates funding directly to urbanized areas with a population greater than 200,000.

- Approximately \$8 million is anticipated to be available in Federal Fiscal Year (FFY) 2018. This amount is divided among the Large MPOs based on population. See the map on page six for exact amounts provided.
- The MPO is responsible for awarding their allocated funds to projects within their MPO boundaries through a competitive selection process.
- Check with your MPO for more information on how much funding is available during this funding round.

- Applications received from the eight Large MPO areas below will be eligible for both statewide and Large MPO funds:
 - Shenango Valley
 - SPC
 - HATS
 - Reading
 - Lehigh Valley
 - Lackawanna Luzerne
 - DVRPC
 - York

Large MPO Areas and TA Set-Aside Funds
Anticipated Funding Amounts - Federal Fiscal Year 2018



Areas <200,000 Population

The FAST Act also allocates funding to areas of less than 200,000 population.

- Approximately \$5 million is anticipated to be available in FFY 2018.
- PennDOT administers funding through a statewide competitive process.
- PennDOT's Central Office will conduct a statewide call for applications for both areas with populations of 5,001–200,000 and other areas with populations ≤ 5,000

Statewide TA Set-Aside

Additionally, the FAST Act also allocates statewide funding to PennDOT.

- Approximately \$13 million is anticipated to be available in FFY 2018.
- Funding can be used anywhere in the state.
- PennDOT's Central Office will conduct a statewide call for applications to administer this funding. This round will run concurrently with the funding allocated to areas <200,000, referenced above.
- The competitive application round for these funds would be open to eligible sponsors across the state, including sponsors located in Large MPOs areas.

Availability of Funds for 2018 Statewide Application Round

TA Set-Aside

The FAST Act provides funding for the TA Set-Aside through FFY 2020. Based on funding provided in three FFYs, PennDOT is allocating \$55 million for this statewide funding round.

Safe Routes to School

In addition to being eligible for TA Set-Aside funds, projects submitted during this application round will also be eligible for Federal Safe Routes to School (SRTS) funds. SRTS projects are defined as those that enable and encourage children, including those with disabilities, to walk and bicycle to school.

To be eligible for SRTS funds, the projects must meet the [Federal SRTS requirements](#). The amount of funds awarded will be dependent upon the number of eligible, deliverable SRTS project applications received.

Project Funding, Costs and Reimbursement of Approved Expenses

Funding and Matching Requirements

The FAST Act provides funding for the TA Set-Aside Program on an 80% federal, 20% state/local cost share basis; however, PennDOT does not require the sponsor to provide a true local match. Instead, the sponsor pays all costs for pre-construction activities (design, environmental clearance, right of way, utilities, etc.) and PennDOT provides 100% cost reimbursement for the construction phase (including construction inspection) of selected TA Set-Aside projects. ***The project sponsor may be responsible for any costs exceeding the statewide project award amount.***

Generally, Large MPOs also follow the statewide, 100% construction funding model; however, it is incumbent upon the project sponsor to read the MPO's TA Set-Aside guidance to confirm how projects are funded. Links to regional competitive selection documents are available on the [PennDOT TA Set-Aside Funding Site](#).

Project Costs

Given the effort and expense of delivering federally-funded projects, a construction value of at least \$50,000 is required for all projects applying for statewide TA Set-Aside funding. This limit does not apply to education or encouragement SRTS projects. Additionally, there is no minimum value placed on small, materials only purchases that are installed by local forces. Examples of materials only purchases have included bicycle repair stations, simple lighting projects (without trenching), and small trail improvements where all work is performed by local forces.

A “soft cap” of \$1 million will apply for all projects submitted for statewide TA Set-Aside funding. Projects with exceptional value – as described through their application – may be selected and funded above the \$1 million cap if the expense is justified. For a project to have “exceptional value”, the project should close a major transportation gap, address a significant safety concern, benefit a substantial number of users or provide another substantial benefit that justifies the cost.

Cost Reimbursement of Approved Expenses

The TA Set-Aside is not a grant program and no money is provided upfront. Approved costs for selected projects will be eligible for reimbursement only after a Federal Form D-4232 is authorized for the project; no activities or construction performed prior to this federal clearance are reimbursable. More discussion on reimbursement and 4232s can be found on page 22 in the Reimbursement section.

Non-construction Projects

While the majority of TA Set-Aside projects involve the construction of infrastructure improvements, some projects do not involve any construction, such as right-of-way acquisition (rail-trails, turnouts, and overlook projects *only*) or SRTS non-infrastructure activities.

In cases of right-of-way acquisition, the sponsor pays for all pre-acquisition activities, including development of a right-of-way plan. PennDOT will pay 100% of the right-of-way acquisition costs. While PennDOT will pay for right-of-way acquisition for certain projects (overlooks, turnouts and rail-trails only), the acquisition must be part of a larger, funded project that can go to construction within a reasonable period of time. Local, state, and or federal sources of funding should be identified for *all* project phases.

For right-of-way acquisitions, sponsors must meet these conditions:

- Provide a conceptual build out of the entire project, including:
 - Access
 - Parking
 - Logical Termini
 - Phasing
- Identify funding for the entire area to be acquired
- Obtain environmental clearance for the area to be acquired and developed

For SRTS non-infrastructure projects, the sponsor shall pay for all activity planning, coordination and development. PennDOT will fund the actual activities (such as a bicycle rodeo, educational assembly, safety outreach program, etc.) or items (e.g. crossing guard equipment) at 100%.

Project Eligibility

Project sponsors must become familiar with the 11 projects and activities that PennDOT considers eligible for funding through the TA Set-Aside.

The list below describes the 11 general project categories eligible for funding through the statewide application process. A more specific list of eligible activities appears in [Appendix A: Eligible Projects](#).

- 1. Bicycle and Pedestrian Facilities** – Bicycle and pedestrian projects allow communities to make non-motorized transportation safe, convenient, and appealing. Projects may include on-road and off-road trail facilities that serve to meet transportation needs of pedestrians, bicyclists, and users of other nonmotorized forms of transportation. These active transportation projects encourage healthful physical activity, keep air clean by decreasing reliance on fossil fuels, and enrich local economies with recreational assets.

Eligible Projects

- New or reconstructed sidewalks or walkways
- Pedestrian and bicycle signs or signals
- Lighting that primarily benefits cyclists and pedestrians ([Lighting Plan Requirements](#))
- Transportation projects that achieve ADA compliance, such as curb ramps
- New or reconstructed off-road trails that serve a transportation need, such as trails that provide connections to schools, parks, or other public places
- Crosswalks, bicycle lanes or sharrows pavement markings
- Widening or paving shoulders
- Bicycle parking facilities, such as bicycle lockers and bicycle racks (including those on buses)
- Bicycle share programs (including the purchase of bicycles)
- Shared use paths, side paths, and trails that serve a transportation purpose
- Bicycle and pedestrian bridges and underpasses
- Crossing improvements that shorten crossing distance, provide access, and/or primarily improve bicycle and pedestrian safety
- Traffic realignments, road diets, or intersection changes that improve bicycle and pedestrian access or safety
- Rails with trails projects, which are adjacent to active (not abandoned) lines

2. **Bicycle and Pedestrian Education (grades K-8 only)** – Non-infrastructure projects that educate or encourage children in kindergarten through the eighth grade to safely walk or bike to school are defined as eligible in [Section 1404\(f\)\(2\)\(A\) of SAFETEA-LU](#).

Eligible Projects

- Public awareness campaigns and outreach to press and community leaders
- Traffic education and enforcement in the vicinity of schools
- Student sessions on bicycle and pedestrian safety, health, and environment
- Funding for training, volunteers, and managers of safe routes to school programs

3. **Conversion of Abandoned Railway Corridors to Trails** – Rail-trails help to expand travel and recreational opportunities within communities. Converted rail corridors make ideal trails because of their flat grade, long length, and intact right-of-way. Rail-trails, as these types of trails are called, help to encourage physical activity and reduce air pollution.

TA Set-Aside funds can be used only for abandoned, rail banked or currently inactive rail lines; funds cannot be used to move or perform construction on active rail corridors. Funding for this category may also be used solely for purchase of railroad right-of-way or property, as long as future development of a public facility is planned.

Eligible Projects

- Construction of multi-use trails within a railroad right-of-way
- Major reconstructions of multi-use trails within a railroad right-of-way
- Developing rail-with-trail projects, where there is an adjacent line that is no longer active

- Purchasing and converting unused railroad property for reuse as a trail

4. Construction of Turnouts, Overlooks, and Viewing Areas – By developing turnouts, overlooks, and viewing areas, communities can enhance the travel experience and supply an educational element that attracts tourists to local roads that are of scenic, historic, natural, cultural, archeological, and recreational significance.

Under this category, special attention should be considered in those areas that are designated as PA Byways by PennDOT, designated Heritage Areas by the Department of Conservation and Natural Resources (DCNR), as well as those areas that are listed on the National Register of Historic Places and those areas affiliated with the National Park Service.

TA Set-Aside funds may **not** be used for the construction of visitor or welcome centers, or the staffing, operating, and maintenance associated those facilities. Marketing or promotion of such facilities is also ineligible.

Eligible Projects

- Construction of turnouts, overlooks, and viewing areas
- Interpretive signage or kiosks explaining site significance
- Right-of-way acquisition for such facilities may be considered

5. Outdoor Advertising Management — The control and removal of outdoor advertising activity allows communities to preserve the scenic character of their roads by tracking and removing illegal and non-conforming billboards. Non-conforming signs are those signs that were lawfully erected but do not now comply with the Highway Beautification Act of 1965.

Eligible Projects

- Billboard inventories, including those done with GIS/GPS
- Removal of illegal and non-conforming billboards

6. Historic Preservation and Rehab of Historic Transportation Facilities – The Historic Preservation and Rehabilitation of Historic Transportation Facilities category allows communities to rehabilitate and restore transportation facilities of historic significance. These rehabilitated facilities serve to educate the public and to provide communities with a unique sense of character that attracts tourists and generates a vibrant economic life.

Eligible projects must rehabilitate, restore or improve interpretation of a historic transportation facility. The addition of new items to the facility, such as desks, cabinets, furniture or other amenities that would improve building aesthetics or operations, are not eligible. Similarly, improvements that merely enhance operations (such as adding heating or cooling systems) are not eligible; however, in some cases, heating or cooling systems may be added, *but only when deemed necessary for preservation of the historic structure*; not for the comfort of guests or staff.

TA Set-Aside funds may not be used for the sole purpose of replicating a historic building, nor can they be used for the operation of historic sites, including transportation museums. The staffing, operating, and maintenance associated with such facilities is also ineligible.

Historic transportation facilities must be listed or eligible for listing on the National Register of Historic Places. The Pennsylvania State Historic Preservation Office (<http://www.phmc.pa.gov/Preservation/Pages/default.aspx>) can help determine which areas or structures are listed. Contact Cheryl Nagle at 717-772-4519 or chnagle@pa.gov for assistance.

Eligible Projects

- Restoration and reuse of historic buildings with strong link to transportation history
- Restoration and reuse of historic buildings for transportation related purposes
- Interpretive displays at historic sites
- Access improvements to historic sites and buildings
- Restoration of railroad depots, bus stations, and lighthouses
- Rehabilitation of rail trestles, tunnels, bridges, and canals
- Increasing building accessibility, in accordance with ADA guidelines

- 7. Vegetation Management** — Through the Vegetation Management activity, communities improve roadway safety, prevent against invasive species, and provide erosion control along transportation corridors.

Eligible Projects

- Clearing of low-hanging branches or other vegetation encroaching on a travel corridor
- Landscaping to improve sightlines or other safety considerations
- Removal of invasive species
- Planting grasses or wildflowers to manage erosion along transportation corridors

- 8. Archaeological Activities** — The Archaeological Activities category allows communities to explore the history in America with archaeological excavations and surveys in conjunction with highway construction projects.

Only projects related to the impacts of implementing a transportation project are eligible for funding under this category.

Eligible Projects

- Research, preservation planning, and interpretation
- Developing interpretive signs, exhibits, and guides
- Inventories and surveys

- 9. Stormwater Management** — Stormwater Management projects allow communities to decrease the negative impact of roads on the natural environment. Storm runoff over road surfaces carries pollutants into water, upsetting the ecological balance of local waterways and degrading water resources for humans and animal populations. Additionally, stormwater runoff may also erode soil, potentially reducing structural stability, augmenting flood events, and stripping soil from sensitive agricultural areas. Projects funded in this category seek to reduce these environmental impacts.

Eligible Projects

- Detention and sediment basins
- Stream channel stabilization
- Storm drain stenciling and river clean-ups
- Water pollution studies

- 10. Wildlife Mortality Mitigation** — Wildlife Mortality Mitigation allows communities to decrease the negative impact of roads on the natural environment. Roads can harm wildlife through habitat fragmentation and vehicle-caused wildlife mortality.

Eligible Projects

- Wetlands acquisition and restoration
- Stream channel stabilization
- Wildlife underpasses or overpasses which may include bridge extensions to provide or improve wildlife passage and wildlife habitat connectivity
- Monitoring and data collection on habitat fragmentation and vehicle-caused wildlife mortality

- 11. Safe Routes to School – Infrastructure Projects** — SRTS projects enable and encourage children, including those with disabilities, to walk and bicycle to school. Infrastructure projects must be within two miles of a Kindergarten through 8th grade school and must primarily benefit walking or biking students. Eligible infrastructure projects include, but are not limited to, the projects listed below.

Eligible Projects

- 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

Ineligible Projects

Per MAP-21, and as continued in the FAST Act, some items previously eligible under the Transportation Enhancements program are no longer eligible. Notably, formerly eligible projects such as the creation and operation of transportation museums, tourist and welcome centers are no longer eligible.

While general education programs for bicyclists and pedestrians are no longer eligible, active transportation safety and education programs for students in kindergarten through the eighth grade remain eligible. The eligibility of these programs and activities is preserved through provisions in MAP-21 (and subsequently the FAST Act) that extend eligibility [for SRTS non-infrastructure items defined in SAFETEA-LU](#).

Landscaping and scenic beautification are no longer eligible to be the focus of a project; however, landscaping may be done as a complement to, or incidental component of, any highway project, including TA Set-Aside projects. While there is a little flexibility, landscaping should generally be immediately adjacent to infrastructure improvements and reasonable in terms of expanse and cost.

Project Eligibility Determinations

Project sponsors should design projects that clearly fit into the eligible categories defined in this document. PennDOT's Center for Program Development and Management (Central Office) will make the final determination on statewide project eligibility and will disallow any project that is not clearly eligible; the onus is on the sponsor to present – through their application – how the project aligns with the guidelines for eligible project activities.

Pre-Application Eligibility Determinations

This document (including [Appendix A](#)) provides general guidance on project eligibility, but conceptual TA Set-Aside projects may occasionally fall into a “gray area”. While all projects will be reviewed for eligibility once submitted, sponsors wishing to have eligibility determined before submitting an application may submit a pre-application Eligibility Request through the [PennDOT Competitive Transportation Funding](#) site. Sponsors may submit eligibility determination requests from June 19 through August 25, 2017.

To start an eligibility determination, the sponsor must first be registered or [register for SharePoint](#). Once registered, the project sponsor may start a new request by clicking on the “Create a New Project Eligibility Request” link on the [PennDOT Competitive Transportation Funding](#) site. Once the sponsor fills out the form and selects “Submit Determination”, the form flows to the corresponding Planning Partner for comments. Once the Planning Partner provides comments and submits, the form flows to the District for additional input before being delivered to Central Office.

Central Office will perform pre-application eligibility determinations through August 25, 2017. Once submitted, Central Office will provide an eligibility determination within a week of receiving the request.

Please note: *The pre-application eligibility form is only for projects where eligibility is in question. Projects that conform to the project types listed in [Appendix A](#) of this document do not require pre-application review. Submitting an eligibility form **is not required** to submit a TA Set-Aside application.*

Large MPO Eligibility Determinations

Projects submitted within Large MPO areas (> 200,000 population) will be reviewed for eligibility by the MPO using their own guidance. While not required, an MPO may use the statewide project eligibility guidelines.

If a Large MPO cannot reach a consensus while working with their respective PennDOT District Office on a project's eligibility, they may contact Central Office for assistance.

Sponsor Eligibility

The FAST Act carries forward the eligible sponsors for the TAP in MAP-21 and adds “nonprofit entities responsible for the administration of local transportation safety programs” as eligible sponsors.

Non-profit organizations (other than the one new addition described in item #7 below), State DOTs, and MPOs/RPOs are not eligible project sponsors; however, they're encouraged to work with eligible sponsors to advance projects where there is a shared interest. Eligible TA Set-Aside project sponsors include:

1. local governments;
2. regional transportation authorities;
3. transit agencies;
4. natural resource or public land agencies, including Federal agencies;
5. school districts, local education agencies, or schools;
6. tribal governments;
7. a nonprofit entity responsible for the administration of local transportation safety programs; and
8. any other local or regional governmental entity with responsibility for oversight of transportation or recreational trails (other than a metropolitan planning organization or a State agency) that the State determines to be eligible, consistent with the goals of subsection (c) of section 213 of title 23.

To date, PennDOT has deemed entities as eligible TA Set-Aside project sponsors if they meet the criteria above and are not registered as a 501(c) organization (with the exception of item #7 above).

As State DOTs are responsible for interpreting sponsor eligibility beyond those entities clearly defined in the FAST Act, PennDOT has determined that the following entities are eligible to sponsor a TA Set-Aside project:

1. County Recreational Trails Authorities
2. County Recreational Authorities
3. Urban Redevelopment Authorities

In addition to the authorities noted above, PennDOT recognizes “municipal authorities” as eligible sponsors, but only when the authority’s establishing document specifically cites transportation or recreation as a stated purpose. Industrial development authorities, for instance, would not be eligible.

Project Sponsor Expectations and Requirements

It is incumbent upon each project sponsor to read this guidance and become familiar with the application, selection, and implementation procedures associated with the TA Set-Aside. Applying for federal funds begins a significant undertaking, which must be led by the project sponsor from start to finish. Projects that are not able to navigate the federal requirements and be ready to be advertised for construction by August 31, 2020 may be subject to forfeiture of awarded funds and project cancellation. For more information on project implementation deadlines, please see the [Project Delivery Timeline](#) section of this document.

An overview of the requirements and process for a locally-led project can be found in PennDOT Pub 740: Local Project Delivery Manual: <http://www.dot.state.pa.us/public/pubsforms/Publications/PUB%20740.pdf>. This manual describes the PennDOT local project implementation process and requirements of federally funded projects, such as those funded with the TA Set-Aside Program.

PennDOT Connects

PennDOT recognizes the profound economic and quality of life implications that transportation has on communities. To better identify the needs of communities early in the project planning process, PennDOT Connects requires the consideration of local planning studies, comprehensive plans and other local government input at the onset of project planning.

Project Sponsor Meeting Requirement

As part of the 2018 Statewide TA Set-Aside application process, the project sponsor ***must*** meet with staff from their [Planning Partner](#) and their [PennDOT District](#) to discuss the project.

To initiate the process, project sponsors should contact their [Planning Partner](#) and [PennDOT District](#) staff before developing and submitting an application. Sponsors are strongly encouraged to contact their respective Planning Partner and PennDOT District early in the process to allow adequate time to coordinate an acceptable meeting time.

PennDOT Connects Meeting Format

Generally, the meeting format should be determined on a project-by-project basis, based upon the District and Planning Partner's knowledge of the proposed project, or lack thereof. When deciding on the meeting format, the District and Planning Partner should consider their knowledge of the proposed project, including any past communications with the project sponsor. The meeting must, at a minimum, allow the District and Planning Partner to collect enough information to perform the following:

- Complete the PennDOT Connects Project Initiation Form, which can be found in [Appendix I](#)
- Determine whether the project meets the TAP eligibility criteria
- Determine whether the project can be ready for construction within two years of project award

While this is not an exhaustive list of potential meeting types, these formats are recommended:

- Pre-scoping/scoping field views
- Meetings at/near the project site (such as the sponsor's location)
- Meetings at the District's Office
- Meetings at the Planning Partner's Office

PennDOT Connects Meeting Timing and Project Scoring

It is highly preferred that project sponsors meet with their District and Planning Partner before submitting an application; in fact, ***points will be added to the project application score for coordination that occurs prior to application submission.***

Project sponsors also have the option of meeting with their PennDOT District and Planning after they submit their application. No additional points will be added to these applications. Meetings held after the application was submitted will be performed after the application period closes (September 22nd), but before projects are selected at the regional and statewide levels in late 2017 and early 2018, respectively.

Applicants failing to meet with their Planning Partner and District to discuss their project at any point during the application and scoring period will be ineligible for statewide funding.

Application Access for Districts and Planning Partners

Select District and Planning Partner staff members will be able to view project applications once they are saved in the SharePoint system, even before they are submitted. In this way, project applications can be monitored and new or unrecognized project sponsors can be contacted early in the process.

Planning Cost Estimating Report

Planning Partner and District staffs are strongly encouraged to also utilize the PennDOT Connects Planning Cost Estimating Report, which can be found in the PennDOT Connects Reports section.

Project Budget

The sponsor must present a well-defined scope of work, which lays the foundation for an accurate budget. Budget considerations are very important and an itemized list of anticipated expenses (including labor, supplies, materials and other anticipated costs) should be provided in an application attachment. The budget must be prepared and should be divided into project development phases that include preliminary engineering, final design, right-of-way, utilities and construction phases. The budget should identify all sources of funding and how each itemized activity will be funded. Estimated funding for the project that may be from sources other than TA Set-Aside should be identified, such as other federal funds (not the US DOT), state, local, donated services, in-kind services, volunteer and Youth Conservation Corps. Even though the preconstruction activities (for example - preliminary engineering and right-of-way) are not funded by program funds, a complete budget is needed to ensure that the sponsor can fund the required project phases.

Project sponsors must design their project cost estimates for the year in which the project is anticipated to be delivered, not the year that the application is submitted. Most projects selected in this application round will go to construction in calendar year 2019 or 2020, depending on the complexity of the project and the degree to which the sponsor has advanced project design. Projects that are not anticipated to be ready to advertise for construction by August 2020, should not apply during this round, as they risk project cancellation and loss of any awarded funds. See the [Project Delivery Timeline](#) and the [Project Monitoring and Project Cancellation](#) sections for more information.

Project inspection costs must be included in the total construction costs. For projects under \$1 million in total construction costs, up to 15% of the construction costs is allowed for project inspection. If a project has a construction cost of over \$1 million, up to 12% of the construction costs is allowed for the inspection cost.

Again, speaking with PennDOT Engineering District staff and other professionals familiar with PennDOT policies and regulations – such as architects, designers, engineers, contractors or other appropriate individuals that have PennDOT project experience – is highly recommended. It is also recommended that sponsors utilize PennDOT's Electronic Construction Management System (ECMS) to determine price histories for given items to develop an accurate construction estimate.

Project sponsors may be responsible for all costs overages, including those caused by inaccurate or incorrect project cost estimating.

Webinar for Potential Project Sponsors

A webinar for potential project sponsors will be held on July 13th at 1:00 PM. The call-in details follow below.

Date and Time:

July 13, 2017

1:00 PM

Audio Component:

Bridge Number: 1-717-612-4733

Toll-free: 1-855-750-1027

PIN: 069617

Visual Component:

For all Commonwealth of PA Users and Participants that can download .exe files excluding Apple Operating Systems and Mobile Devices.

URL: https://openscapewebconf1.pa.gov/client/fastclient_i_r137568EF.exe

Allows full hosting features including desktop and file sharing

For all Participants including Apple Operating Systems and Mobile Devices Web Client:

<https://openscapewebconfw1.pa.gov/joinclient.aspx?inv=r137568EF>

Allows viewing of collaboration content (shared screen) via browser

For Commonwealth of PA Users only

Audio Conference Viewer

Conference Viewer:

<https://openscapeuc2.pa.gov/tweb/portal/reg?clickToDial&ConferenceID=VG87eDJSS19UNWtQTW5kTxS3JpXgOhRWWIJcdIVA2fw%3D>

Launches Browser window and shows audio conference participants

While participation in the webinar is not required, ***it is highly recommended*** that sponsors or their designated project consultants attend.

Open Application Period and Application Submission

Funding

In anticipation of 2019 Transportation Improvement Program (TIP) development, PennDOT Central Office will initiate a statewide call for applications. PennDOT will use three years of funds from the

statewide and areas with a population less than 200,000 allocations (as described on page 7) for a total of \$55 million.

Applications submitted during this round will also eligible for Federal Safe Routes to School funding.

Application Process

PennDOT Central Office will develop several core documents, including program guidance, an application, and frequently asked questions. Additionally, MPOs and RPOs (collectively “Planning Partners”) and PennDOT Districts will be integrated into the project eligibility determination and review processes through SharePoint.

On June 19, 2017, all guidance and application materials will be available on the PennDOT TA Set-Aside Funding Site: <https://spportal.dot.pa.gov/Planning/AppReg/TAP/Pages/default.aspx>. In addition to accessing all program materials, sponsors will also be able to register for SharePoint, and begin working on an application; however, no applications may be submitted before July 10th.

Before submitting an application, sponsors must review the program guidance, become familiar with the application and initiate contact with their local PennDOT District Office and Planning Partner. This early collaboration will help the sponsor craft a project that – if selected – is more likely to be successfully delivered.

All applications must be electronically submitted through SharePoint no later than 4:00 PM on Friday, September 22, 2017. As applications submitted after this date and time are considered ineligible, it is recommended that applications are submitted in advance of this date.

Browser Compatibility

The application process utilizes a Microsoft product called InfoPath, which works best when viewed and manipulated in Internet Explorer and Microsoft Edge. However, a new Google Chrome add-on will allow full functionality of the application in that browser.

To download and install the Google Chrome extension, use the instructions found in [Appendix H](#).

Statewide TA Set-Aside Application Round Roles for PennDOT and Planning Partners

Central Office

After the application period closes on September 22, 2017, PennDOT will review all applications for eligibility. Also during this time, Central Office will provide all applications and associated attachments to the appropriate Planning Partners and Districts through SharePoint.

Large MPOs

The FAST Act provides Large MPOs with TA Set-Aside funds and the authority to administer their own competitive selection procedure. Statewide applications that are received from these regions will be distributed to the MPOs for their consideration.

Large MPOs are responsible for developing program guidance, eligibility criteria, and a project scoring and selection procedure that reflects regional priorities. Large MPOs may opt to use all or part of the competitive selection process and materials developed by PennDOT Central Office for the statewide program (discussed below).

When the competitive process and materials have been developed, the MPO must submit them to PennDOT Central Office for review, in partnership with the FHWA PA Division Office, to confirm that a required competitive process for eligible projects was used.

In summary, the MPO must submit three documents to Central Office no later than September 1, 2017:

1. The MPO's competitive selection process
 - a. Persons involved in project review, scoring and selection
 - b. A summary of the competitive selection process
 - c. A scoring matrix or weighting criteria
2. Regional program guidance
3. A list of eligible project activities

Large MPOs will have approximately three months (September 29th through January 5th) to competitively award projects up to their total TA Set-Aside regional allocation. Alternatively, an MPO may elect to award less than their total available TA Set-Aside funds and use the reserved amount to cover unanticipated costs, such as unforeseen project cost increases and/or bid overages.

Once each Large MPO has finalized their regional project selection, they will submit a list of all awarded projects to Central Office. For projects that were not selected at the regional level, the MPO is encouraged to provide rankings and comments to assist the statewide selection committee. All information should be provided in [SharePoint](#) by January 5, 2018.

Small MPOs and RPOs

Through the FAST Act, PennDOT is charged with administering a statewide competitive project selection process for all TA Set-Aside funds provided to areas with a population less than 200,000. PennDOT will combine these funds with the 50% statewide funds to administer this competitive application round.

To get the regional perspective on TA Set-Aside projects, PennDOT asks that all Planning Partners review, rank, and comment on all projects received in each planning region. Small MPOs and RPOs will have approximately three months (September 29th through January 5th) to provide ranking and comments through [SharePoint](#).

Planning Partners may use the [Statewide Project Selection Criteria](#) to evaluate projects, or they may score them based on regional priorities. A scoring matrix will be provided to all Planning Partners when applications are distributed. ***Local input at this stage is vital to identifying regionally significant, deliverable projects in each planning area.***

PennDOT requests that all rankings and comments are provided to Central Office no later than January 5, 2018.

PennDOT Districts

PennDOT asks that all Districts work with their Planning Partner(s) to rank projects. The Planning Partner will be able to provide project rankings within SharePoint.

In addition to helping their Planning Partner(s) with project review and rankings, Districts will have the opportunity to provide their own comments on all projects within their District through [SharePoint](#). The review and comment period will run from September 29th through January 5, 2018.

Statewide Selection Process

Evaluation Criteria

Projects eligible for statewide TA Set-Aside funding will be evaluated using PennDOT's Core Principles found in [Design Manual 1](#). These best practices encourage transportation investments that are tailored to important local factors, including land use, financial concerns, and the overall community context. Projects will also be scored on their ability to support [environmental justice principles](#) and enhance local or regional mobility. A full list of project selection criteria can be found in [Appendix B](#).

Statewide Selection Committee

The Statewide Selection Committee will review, score, and comment on all applications in advance of the final project selection meeting to be held in January 2018. During the meeting, projects will be selected based on a combination of reviews from the Statewide Selection Committee members, MPOs, RPOs, and Districts.

The committee will consist of at least one representative from each of the following organizations:

- PennDOT
 - Program Center
 - Policy Office
 - Bureau of Maintenance and Operations (safety)
 - Municipal Services
 - Project Delivery

- Multimodal Deputate
- Department of Conservation and Natural Resources (DCNR)
- Pennsylvania State Trails Advisory Committee Member
- Pennsylvania Department of Education
- A Pennsylvania MPO
- A Pennsylvania RPO

Areas of Emphasis

Project Readiness and Deliverability

To expedite project implementation, PennDOT will place emphasis on projects that are “justifiably deliverable” within the first two years of the 2019-2022 Transportation Improvement Program (TIP). The sponsor should prove – through their application – that their project will be ready to advertise for construction no later than August 31, 2020.

Projects with complex right-of-way, utility, environmental, public support, or other issues that would add cost or delay delivery will score lower and are less likely to be selected. If available, plans sets or other documents showing preliminary design work should be submitted with the application package.

Pedestrian and Bicyclist Safety

In an effort to reduce the number of bicycle and pedestrian injuries and fatalities, safety for non-motorized users will also be an area of emphasis. Projects that address a documented safety need and incorporate appropriate countermeasures will receive additional consideration for statewide TA Set-Aside funds. A documented safety need may come from a variety of records or studies, including

- Crash reports
- Hazardous Student Walking Routes Assessments
- Walking and Bicycling Assessments
 - SRTS Walkability Audits
(<http://pennshare.maps.arcgis.com/home/webmap/viewer.html?webmap=ccc106574b644a6d91444b55a4bf68ec>)
 - LTAP Walkable Community Reports
 - WalkWorks Walkability Assessment Reports

Statewide Project Selection Announcement and Notifications

It is anticipated that projects will be awarded in early 2018 through a statewide press release. All project sponsors will receive an email notification and hard copy letter noting their application’s selection status once awards are announced.

Project Delivery Timelines

Statewide Application Round

Projects selected during the 2018 TA Set-Aside statewide application round must have contract documents that are ready to be advertised by August 31, 2020. For projects that do not meet this deadline, PennDOT reserves the right to cancel the projects and use funds for other projects that applied to the statewide application round.

Large MPO Funding Rounds

Large MPOs are strongly encouraged to establish firm deadlines to ensure projects are delivered in a timely manner. To ensure that project sponsors are aware of the regional goals and expectations, the anticipated project delivery timeline should be included in regional TA Set-Aside Program Guidance. This timeline and notification process should be reiterated at the project kickoff meeting.

Other Regulatory Requirements

There are a number of State and Federal regulatory requirements that apply to this program. Most, if not all, of these requirements (competitive bidding, minority business participation, Davis Bacon Act, prevailing wage rates and ADA) can be unfamiliar to project sponsors. In most cases, for compliance with environmental regulations during preliminary engineering, it is expected that project sponsors will secure professional assistance (such as a consultant engineer) to assist them in satisfying these requirements and advancing their project. PennDOT District staff will be able to assist with the interpretation and application of these requirements.

In addition, sponsors must be familiar with PennDOT Pub 740 - Local Project Delivery Manual: www.dot.state.pa.us/public/pubsforms/Publications/PUB%20740.pdf.

A list of some of these requirements, as well as a brief discussion of each, follows.

Agreements and Eligible Costs

The project sponsor must execute a standard legal agreement with PennDOT prior to proceeding with any work on the project. Any project costs incurred prior to the execution of a reimbursement agreement for which federal dollars are requested will **not** be eligible for reimbursement. PennDOT will provide guidance, if requested. Interest payments made by municipalities or other project sponsors to finance any portion of the project costs are **not** reimbursable.

Reimbursement

The TA Set-Aside Program is a federal cost reimbursement program and no money is provided upfront. No reimbursement will be provided for costs incurred before a Federal Form 4232 is authorized; ***this does not occur automatically once a project is awarded.***

The Form D-4232 (commonly referred to as simply “4232”) is the mechanism by which the Federal Highway Administration (FHWA) authorizes spending of the federal funds and establishes the date of eligibility for funding project activities. PennDOT staff will prepare the necessary fiscal documents to secure the federal authorization of funding. However, this does not mean that FHWA is obligated to reimburse the sponsor if it is found that the federal laws or regulations were not followed. In this event, the project sponsor will be left to fund the project at 100 percent.

In order to receive reimbursement for approved TA Set-Aside project expenses, the sponsor will need to become a registered business partner in the Electronic Construction Management System (further explained below) and become a vendor in the SAP system.

Project Invoicing and Payments to Contractors

Once a project is authorized to advance and begins to incur costs, the project sponsor will receive periodic invoices from the contractor. The project sponsor then reviews and – if they concur with the reported expenses – approves the invoices and submits them to PennDOT. PennDOT processes the payment (usually 4-6 weeks) and provides the approved funds to the sponsor. Upon receipt of payment from PennDOT, the sponsor has up to ten days to pay the contractor. By using this process, the project sponsor does not typically have to use their own funds.

The sponsor will only be reimbursed for actual approved project expenses, up to the amount approved for the project.

Electronic Construction Management System (ECMS)

[ECMS](#) is the communication portal between PennDOT and Business Partners for conducting transportation projects. It is used from project bidding through the construction close-out process. In most cases, sponsors of TA Set-Aside projects will need to [register as a PennDOT ECMS Business Partner](#) for administration of their project.

The vast majority of local projects are bid by PennDOT in ECMS, on behalf of the project sponsor. Generally, plans are prepared according to [Publication 14M](#), *Design Manual 3, Plans Presentation*. Your designated District Project Manager will be familiar with plans preparation and how projects must be entered into ECMS.

In the rare instance that a project is not bid by PennDOT in ECMS (known as a paper let) the project sponsor must request approval in writing. A request letter must be submitted to the designated PennDOT District Project Manager at the onset of the Project Development Process. The PennDOT District Project Manager then determines eligibility and obtains approval from PennDOT Central Office.

Registering as a Business Partner

All organizations that will receive payments from the Commonwealth of Pennsylvania or that will receive grant or loan money from the Commonwealth, must have an SAP number for the payments to be processed. Project sponsors not already registered as a vendor with the Commonwealth must also [acquire a SAP vendor number](#).

Public Involvement

Early and continued public involvement in program activities will need to be sought to ensure consistency with the requirements for public involvement in the metropolitan and statewide planning regulations and with the National Environmental Policy Act (NEPA) project implementation guidelines. The applicant should contact their local transportation planning agency (MPO or RPO) for more information or to obtain a copy of their Public Participation Plan.

Generally, the public involvement activities handled through the application review and approval process by the MPO and RPO fulfills this requirement. However, the project sponsor should discuss their project locally in a public format, such as at local planning commission and/or municipal meetings.

Environmental Clearance

All projects will require an environmental clearance document as part of the preliminary engineering phase of work. The process is outlined in PennDOT Pub 10B – Part 1B: ftp://ftp.dot.state.pa.us/public/Bureaus/design/PUB10/PUB10B/Pub10B_Cover.pdf. The level of effort varies by the type of project, the anticipated impact, and the degree of public controversy. The NEPA documentation may be a Categorical Exclusion (CE), Environmental Assessment (EA), or Environmental Impact Statement (EIS). Except in unusual circumstances, most TA Set-Aside projects are usually processed as a CE under the NEPA.

Normally, at the project scoping, a decision will be made on the type of documentation required and which entity will prepare the document. The project sponsor or their consultant will be required to prepare the environmental clearance document.

There may be costs associated with obtaining environmental clearance. These costs, like all pre-construction expenses, must be borne by the project sponsor. Please discuss this with your [PennDOT District TA Set-Aside Program Coordinator](#) *prior* to submitting an application.

Consultant Selection, Project Design, and Inspection

Projects must follow standard federal/state procedures for all phases of work. Project sponsors should acquire the services of a qualified consultant to oversee the development and implementation of the project (including project inspection) and ensure compliance with all state and federal requirements. This professional is typically an engineer, although an architect or landscape architect may be appropriate, depending upon the nature and scope of the project. It is important to recognize that the

project sponsor, not PennDOT, employs the design and/or construction professionals at their own expense.

It is highly recommended that the selected consultant has experience with PennDOT specifications and has demonstrated experience in the successful delivery of TE, SRTS, PCTI, or TAP projects. Expedient, accurate design lessens the chance that the project will not meet the two year deadline for TA Set-Aside projects to advertise. Projects that are not advertised within two years are subject to cancellation.

Treatment of Projects

Projects funded through the TA Set-Aside Program must conform to 23 U.S.C. 133(i):

(c) Treatment of Projects. — Notwithstanding any other provision of law, projects funded under this section (excluding those carried out under subsection (h)(5)) shall be treated as projects on a Federal-aid highway under this chapter.

The “treatment of projects” requirement (23 U.S.C. 133(i)) means that all projects carried out using TA Set-Aside funds (except for recreational trails projects carried out under the RTP set-aside) must comply with applicable provisions in Title 23, such as project agreements, authorization to proceed prior to incurring costs, prevailing wage rates (Davis-Bacon), Buy America, competitive bidding, and other contracting requirements, regardless of whether the projects are located within the right-of-way of a Federal-aid highway.

Design and Implementation Requirements

The design requirements for TA Set-Aside projects are defined in PennDOT Pub 10 (Design Manual 1): ftp://ftp.dot.state.pa.us/public/Bureaus/design/PUB10/DM1_Series_Title_Page.pdf. Specifically, Chapters 6 and 7 address key design requirements, including NEPA requirements, preliminary and final design processes, and key procedures for obtaining right of way and utility clearances. These steps, requirements and standards ***must be followed*** by the sponsor’s project designer for the project to be funded through the TA Set-Aside.

Right-of-Way Clearance

All right-of-way acquisition must follow federal regulations, including the Uniform Act (Uniform Relocation Assistance and Real Property Acquisition Policies of 1970). In particular, property owners must be advised that federal funding is being used to implement the project, and they are entitled to fair market value for their property. The property owner has the right to be informed of this value, as determined by a qualified appraiser. In addition, if the sponsor does not have the authority to acquire property by eminent domain, the property owner must be so advised prior to any offer being made. This requirement does not preclude the voluntary donation of property to the project. Federal funds are not available for land that is already within the public domain, e.g., owned by a municipality; however, such land may be donated to the project as part of the sponsor’s investment. Right-of-way certification will be required for all projects prior to advertising for construction bids.

NOTES:

- The requirements of the Uniform Act apply to any acquisitions associated with approved TA Set-Aside projects, regardless of whether federal funds are used for the purchase or not. Please contact your PennDOT Engineering District Right-of-Way Administrator if you have any questions or need specific guidance.
- Only projects for conversion of abandoned railway corridors and scenic overlooks are eligible to use program funds for right-of-way acquisition. See the [Project Funding](#) section of this document for more details on acquisition only projects.
- More information is available in Chapter 5, Right of Way Phase, of the Local Project Delivery Manual: www.dot.state.pa.us/public/pubsforms/Publications/PUB%20740.pdf.

Utility Clearance

All projects *must have* a utility clearance form (PennDOT Form D-419) processed *prior* to the advertisement for bids. This procedure requires that the sponsor certify that all necessary arrangements have been completed for the relocation of any affected utility. PennDOT personnel will provide assistance with this process.

Permits

It will be the responsibility of the project sponsor to secure all necessary permits to design and implement the project. These may involve permits from the Pennsylvania Department of Environmental Protection, the U.S. Army Corps of Engineers, as well as County and Municipal permits. The assigned PennDOT District Project Manager and/or hired consultant will be familiar with the permits required for each project and can provide guidance, as necessary.

Public Utility Commission Involvement

Certain projects may require the involvement of the Public Utility Commission (PUC). *It will be the responsibility of the project sponsor to contact the Public Utility Commission to secure the necessary actions by that agency.* Your District Project Manager will be able to provide assistance.

Railroad Coordination

If your project involves a bridge over a railroad, a bridge that carries a railroad, a railroad grade crossing or would require acquisition or an easement on railroad property, you will need to involve the owner of the rail line early. This initial contact, which may be facilitated by your PennDOT District Project Manager in consultation with your District's Grade Crossing Engineer/Administrator, should define the proposed project scope and timeframe.

In the case of Norfolk Southern, they offer a [Public Projects Manual](#), which outlines their process for projects that go along, over, or under their rail facilities.

The PUC may also be involved if the proposed project involves facilities designed for bicycle use, including shared use paths and most rail trails.

Projects involving railroads are likely to involve additional expenses (including direct costs to the railroad for design and plan reviews). Additionally, railroad coordination often leads to delays or project cancellation. As such, if possible, it is recommended that reasonable options to avoid impacting the railroad be explored.

Projects Involving Lighting

For **any** project that includes lighting, a lighting plan will be required, which may add time and cost to your project. For more information, reference Chapter 4.9, Section H of the PennDOT Design Manual Part 1C: http://www.dot.state.pa.us/public/PubsForms/Publications/PUB%2010/Pub10C_Cover.pdf.

For guidance specific to TA Set-Aside projects, please reference “PennDOT Highway Lighting Requirements and Design Approval for TA Set-Aside Projects” document, which is found in [Appendix F](#). Your PennDOT District TA Set-Aside Program Coordinator will also be familiar with these requirements.

Bidding

For projects that require a contractor to perform physical construction or rehabilitation, the sponsor’s professional will assemble the contract proposal package. PennDOT’s Engineering District Office will review the Plans, Specifications, and Estimate (PS&E) package. The project sponsor or PennDOT will manage the bidding as agreed upon at the project kickoff meeting.

Bid Savings and Bid Overages

Each selected project has been approved for a specific scope of work and funding level, based on the information submitted by the project sponsor and approved by the Statewide Selection Committee. While each project is awarded a set amount, it is important to understand that PennDOT’s focus is to deliver awarded projects; the funding provided is not an absolute award to the project sponsor. It should not be assumed that additional work can be performed if bids come in lower than the awarded amount.

Once bid, if the lowest bid falls below the project award amount, PennDOT captures the bid savings and returns them to the TA Set-Aside Statewide Line Item. Again, delivery of the awarded project, not the dollar amount is key.

When bids exceed the design estimate, the sponsor will be asked to contribute toward the bid overage. If necessary, the District Project Manager will work with Central Office to find additional funds to leverage the project sponsor’s contribution; however, it cannot be assumed that additional funds will be available and there may be cases where the sponsor must bear all additional costs.

Construction

Project sponsor's contractor may proceed with the construction phase of the project *only upon receipt of the project sponsor's written authorization (notice to proceed)*, which ensures that all necessary approvals have been secured.

An approved contractor must perform construction. All material used in conjunction with the project must meet project specifications and special provisions included in the PS&E package.

NOTE: *Up to* 15% of the estimated construction cost can be used for project inspection. The 15% *must* be included in the Total Construction Costs. Projects with construction costs over \$1 million can use up to 12% for inspection costs.

Maintenance

The project sponsor will be responsible for all costs associated with the maintenance and operation of the project after construction. No TA Set-Aside funding will be provided for ongoing maintenance and operations costs. Failure by the sponsor to fulfill its maintenance responsibilities may result in the loss of future state and federal funds for private sponsors and the withholding of liquid fuels funds for municipal sponsors.

The sponsor may transfer project maintenance and operation to another party with concurrence from the Department. For more information, please see the Maintenance section excerpt from the TA Set-Aside Program Reimbursement Agreement in [Appendix E](#).

The sponsor may charge a fee to access a facility constructed with TA Set-Aside funds ***only*** if the proceeds from the fee are not excessive to the general public and, by agreement, are instituted for the maintenance and operation of the TA Set-Aside funded resource. Generally, this fee applies only to historic transportation facilities and, in some unique circumstances, trails.

The sponsor must establish a formalized inspection and maintenance program, to be performed by its own or contract personnel, to ensure an acceptable level of physical integrity and operation consistent with the original design standards. This maintenance program, established in accordance with standards determined to be acceptable to PennDOT, must include, but is not limited to:

- Periodic inspections
- Appropriate preventive maintenance (i.e., cleaning, lubricating, refurbishing electrical equipment, etc.)
- A systematic record-keeping system
- The means to handle notification and implementation of emergency repairs

Failure by the project sponsor to fulfill its maintenance responsibilities may result in the loss of future state and federal funds.

Progress Monitoring and Project Cancellation

One year after the kickoff meeting, a project review will be undertaken by joint staff (PennDOT Central Office, PennDOT Districts and representatives from the local MPO or RPO) to determine if significant progress has been reached on each TA Set-Aside project. The joint staff will choose the time frame and the specific milestones to be evaluated. Examples include establishment of a reimbursement agreement, plans approved, permits/clearances attained, etc.

During the review, if it is determined that insufficient progress has been made, the project sponsor will be warned in writing and provided a set amount of time (to be determined by joint staff) for the sponsor to meet specific milestones. The project sponsor must respond in writing within 30 days and reaffirm their commitment to delivering the project and to meeting the specific milestones established by joint staff. The sponsor will submit periodic reports on the project progress to confirm that the project is advancing on schedule. If the sponsor fails to advance the project and provide the required periodic documentation, the project may be cancelled.

A project sponsor may, at any time in the project development process, decide to cancel the project and drop out of the program. The project sponsor will be responsible for the reimbursement of all federal funds received as of that date, as well as for PennDOT staff costs incurred as a part of the project. The sponsor will also be responsible for payment of all outstanding invoices to all project contractors.

Anticipated Roles for PennDOT and Planning Partners

Central Office

- Create statewide guidance and policy
- Develop and maintain a website with general information for the public, including project sponsors. <https://sportal.dot.pa.gov/Planning/AppReg/TAP/Pages/default.aspx>.
- Promote the program and disseminate information to partners and the public
- Create statewide application and application guidance
- Determine project eligibility for applications competing for statewide funding
- Determine project sponsor eligibility
- Maintain a database of submitted applications and awarded projects
- Provide Large MPO project eligibility determinations *only* when
 - The MPO cannot come to a consensus on eligibility using the provided guidance and
 - The Planning Partner and District work with the project sponsor to complete an Eligibility Form on the [PennDOT's Competitive Transportation Funding](#) site.

MPOs > 200,000 Urbanized Population (Large MPOs)

- Develop Regional TA Set-Aside materials, such as
 - Program Guidance

- Project Selection Criteria
- Timeline
- Communicate funding availability to eligible sponsors
- Review and rank applications through a competitive process
- Select projects for their regional TA Set-Aside allocation
- Assure projects recommended for funding can be delivered in a timely manner by the sponsor
- Review, rank and provide comments to Central Office for all applications that were not selected locally, which will be considered for statewide TA Set-Aside dollars
- Participate in PennDOT Connects meetings with project sponsors and District

MPOs and RPOs <200,000 Population

- Communicate funding availability to eligible sponsors
- Determine regional goals or areas of focus for their funding rounds (*optional*)
- Establish project implementation milestones for regional projects (*optional*)
- Assure that projects recommended for funding can be delivered in a timely manner by the sponsor
- Review, rank and provide comments to Central Office for all applications received from their area
- Participate in PennDOT Connects meetings with project sponsors and District

PennDOT Districts

- Provide support to sponsors as they develop applications
- Work with Planning Partner(s) and sponsors to submit TA Set-Aside Eligibility Forms, as necessary
- Work with Planning Partner(s) to assess project cost, scope, deliverability
- Work with Planning Partner(s) to review, comment, and rank applications
- Work with sponsors to successfully deliver selected projects
- Participate in PennDOT Connects meeting with project sponsors and Planning Partners

Coordination with Central Office

Chris Metka will be overseeing PennDOT's TA Set-Aside and assisting with questions related to the program.

Chris Metka | TA Set-Aside Coordinator
 Pennsylvania Department of Transportation
 Center for Program Development and Management
 400 North Street, 6th Floor | Harrisburg PA 17120
 Phone: 717.787.8065 | Fax: 717.787.5247
cmetka@pa.gov

Appendix A

Eligible Projects

1. Bicycle and Pedestrian Facilities

- New or reconstructed sidewalks, walkways, or curb ramps
- Pedestrian and bicycle signs or signals
- Lighting that primarily benefits cyclists and pedestrians
- Transportation projects that achieve ADA compliance
- New or reconstructed off-road trails
- Crosswalks, bicycle lanes or sharrows pavement markings
- Wide paved shoulders
- Bicycle parking facilities, bus bicycle racks, or bicycle share programs
- Shared use paths, side paths, trails that serve a transportation purpose
- Bicycle and pedestrian bridges and underpasses
- Crossing improvements that shorten crossing distance, provide access, and/or primarily improve bicycle and pedestrian safety
- Traffic realignments or intersection changes that improve bicycle and pedestrian access or safety
- Pedestrian related transit improvements
- Road diets, when they serve to primarily benefit cyclists and pedestrians

2. Bicycle and Pedestrian Education (grades K-8 only)

- Public awareness campaigns and outreach to local media, community leaders, and/or use of social media
- Traffic education and enforcement in the vicinity of schools
- Student sessions on bicycle and pedestrian safety, health, and environment
- Funding for training, volunteers, and managers of safe routes to school programs
- Crossing guard supplies (vests, gloves, STOP paddles, cones)
- Walk to School Day activities or materials
- Presentations or assemblies on safe walking and bicycling
- Walk with a cop or similar programs involving local, regional, or state police

3. Conversion of Abandoned Railway Corridors to Trails

- Planning, designing, and constructing multi-use trails along a railroad right-of-way
- Major reconstructions of multi-use trails along a railroad right-of-way
- Developing rail-with-trail projects, where there is an adjacent line that is no longer active
- Purchasing unused railroad property when a plan exists to develop the purchased corridor

4. Construction of Turnouts, Overlooks, and Viewing Areas

- Construction of turnouts, overlooks, and viewing areas
- Interpretive signage or kiosks explaining site significance
- Right of way acquisition for such facilities may be considered

5. Outdoor Advertising Management

- Billboard inventories, including those done with GIS/GPS
- Removal of illegal and non-conforming billboards

6. Historic Preservation and Rehab of Historic Transportation Facilities

- Projects that rehabilitate, restore or improve interpretation of a historic transportation facility
- Restoration and reuse of historic buildings with strong link to transportation history
- Restoration and reuse of historic buildings for transportation related purposes
- Interpretive displays at historic sites
- Restoration of historic railroad depots, bus stations, and lighthouses
- Rehabilitation of historic rail trestles, tunnels, bridges, and canals
- Increasing accessibility to historic transportation buildings or features, in accordance with ADA guidelines
- Heating or cooling systems may be added, *but only when deemed necessary for preservation of the historic structure;*

7. Vegetation Management

- Clearing of low-hanging branches or other vegetation encroaching on a travel corridor
- Landscaping to improve sightlines or other safety considerations
- Removal of invasive species
- Planting grasses or wildflowers to manage erosion along transportation corridors
- Providing erosion control along transportation corridors

8. Archaeological Activities

- Research, preservation planning, and interpretation
- Developing interpretive signs, exhibits, and guides
- Inventories and surveys
- Archaeological excavations and surveys in conjunction with highway construction projects

9. Stormwater Management

- Detention and sediment basins
- Stream channel stabilization
- Storm drain stenciling and river clean-ups
- Water pollution studies

10. Wildlife Mortality Mitigation

- Wetlands acquisition and restoration
- Wetland banks/mitigations
- Stream channel stabilization
- Wildlife underpasses or overpasses which may include bridge extensions to provide or improve wildlife passage and wildlife habitat connectivity
- Monitoring and data collection on habitat fragmentation and vehicle-caused wildlife mortality

11. Safe Routes to School – Infrastructure Projects

- 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

Appendix B

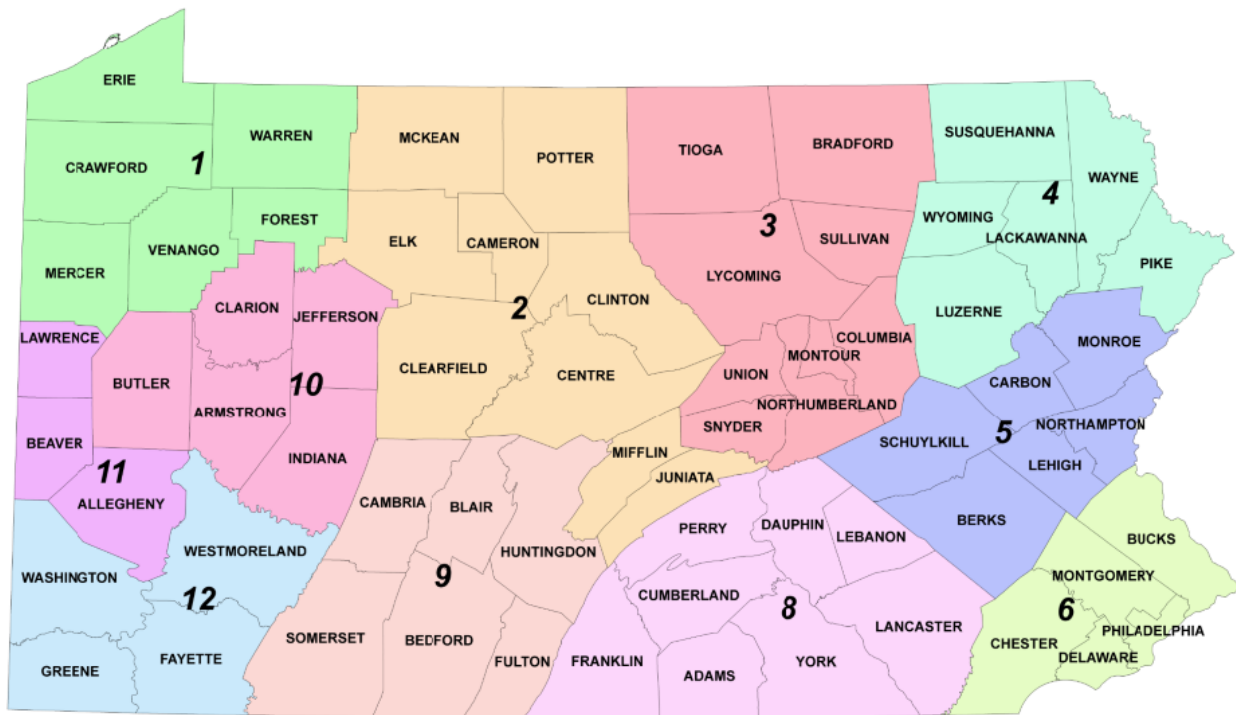
TA Set-Aside Statewide Project Selection Criteria

1. **Statewide or regional significance of project.** Will this project or activity enhance mobility? Does the project promote tourism?
2. **Integration of land use and transportation decision making.** Is this linkage strong, moderate or absent? Does the project fit the context of the area? Does the design reflect that context?
3. **Collaboration with stakeholders.** Does the proposed project demonstrate regional or multi-municipal cooperation? Aside from District and MPO/RPO, has the sponsor demonstrated coordination and collaboration with the municipality, county, general public, advocacy organizations, etc.?
4. **Safety always and maybe safety only.** Does the project address a demonstrated safety need? Is there a history of crashes or near misses, especially involving pedestrians and cyclists? Does the project propose to improve a section deemed as a Hazardous Walking Route by PennDOT?
5. **Readiness for implementation.** If the proposed project is a construction project, can it be ready for letting within two years? If it is a non-construction project/activity, can the project/activity start within one year? Does the sponsor have demonstrated experience in timely delivery of PennDOT projects? Was a preliminary plan submitted?
6. **Leverage of other projects or funding.** Does the proposed project leverage other projects or leverage funding from other state agencies, local governments, and/or community-based organizations?
7. **Consistency.** Is the proposed project consistent with and supportive of local and regional plans and initiatives? Is the project consistent with any prior studies, including Road Safety Audits, SRTS Walkability Audits, Walkable Community Reports, or WalkWorks Walkability Assessment Report?
8. **Reasonableness of cost.** Is the cost of the proposed project reasonable based on the stated scope and context of the project area? Who prepared the project cost estimate? Was the project cost estimate reviewed by the District?
9. **Teachability.** Can the proposed project provide potential best practices and related learning opportunities for municipalities and implementers on issues such as effective alternatives to motorized transportation, cost effectiveness, sound land use principles, and enhanced project delivery?

10. **Success Factor.** Is there sufficient support to see this project through to fruition? Does the sponsor have demonstrated success in delivering PennDOT projects? Is there a project champion or regional support to keep the project on track? Are design funds available now?
11. **Environmental Justice/Entitlement Communities.** Would the project address the effects on minority populations and low-income populations? If negatively impacted, how is this impact being mitigated? Would an Environmental Justice community benefit from the proposed project? How? For more information, talk with [your MPO](#) and see PennDOT's Environmental Justice Handbook: <http://www.dot.state.pa.us/public/pubsforms/Publications/Pub%20746.pdf>.

Appendix C

PennDOT Districts and TA Set-Aside Coordinators



District	Contact	Email	Phone
1	Lyndsie DeVito	ldevito@pa.gov	814-678-7174
2	Vickie Rusnak	virusnak@pa.gov	814-765-0441
3	Chris King	chriking@pa.gov	570-368-4222
3	Aaron Crist	acrist@pa.gov	570-368-4279
4	April Hannon	ahannon@pa.gov	570-963-4076
5	Scott Vottero	svottero@pa.gov	610-871-4550
6	Ryan Gallagher	rgallagher@dvrpc.org	215- 238-2881
6	Joe Banks	jbanks@dvrpc.org	215-238-2898
8	Dave Holcombe	dholcombe@pa.gov	717-783-2560
9	Chris Hull	chrhull@pa.gov	814-317-3060
10	Jason Barkey	jbarkey@pa.gov	724-357-2646
11	Victor DeFazio	vdefazio@pa.gov	412-429-5069
12	Josh Zakovitch	jzakovitch@pa.gov	724-439-7157

The map displays the following counties and their regional groupings:

- Northwest:** Crawford, Warren, McKean, Potter
- Northern Tier:** Tioga, Bradford, Susquehanna, Wayne
- North Central:** Venango, Forest, Elk, Cameron, Clearfield, Jefferson, Centre, Clinton
- Williamsport:** Lycoming, Sullivan, Wyoming, Lackawanna, Luzerne
- SVTS:** Mercer, Lawrence, Butler, Beaver, Allegheny, Washington, Greene, Fayette, Somerset, Bedford, Fulton, Adams, York
- Johnstown:** Armstrong, Indiana, Cambria, Blair, Huntingdon, Mifflin, Juniata, Perry, Dauphin, Lebanon, Berks, Lehigh, Montgomery, Delaware, Chester, Philadelphia
- SPC:** Butler, Beaver, Allegheny, Washington, Greene, Fayette, Somerset, Bedford, Fulton, Adams, York
- Harrisburg:** Union, Snyder, Northumberland, Schuylkill, Carbon, Monroe, Pike, NEPA
- Lehigh Valley:** Northampton, Lehigh, Berks, Montgomery, Delaware, Chester, Philadelphia
- Reading:** Berks, Lehigh, Montgomery, Delaware, Chester, Philadelphia
- Lancaster:** Lebanon, Berks, Lehigh, Montgomery, Delaware, Chester, Philadelphia
- DVRPC:** Lebanon, Berks, Lehigh, Montgomery, Delaware, Chester, Philadelphia

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Lehigh Valley MPO	Mike Donchez	mdonchez@lvpc.org	610-264-4544
NEPA MPO	Kate McMahon	kcmahon@nepa-alliance.org	570-655-5581
North Central PA RPO	Tom Buck	tbuck@exchange.ncentral.com	814-773-3162
Northern Tier RPO	Brian Baker	baker@northerntier.org	570-265-9103
Northwest PA RPO	Sue Smith	sues@northwestpa.org	814-677-4800
Reading MPO	Dave Berryman	dberryman@countyofberks.com	610-478-6300
Southern Alleghenies RPO	Brandon Peters	bpeters@sapdc.org	814-949-6543
SEDA-COG MPO	Steve Herman	sherman@seda-cog.org	570-524-4491
Shenango Valley MPO	Matthew Stewart	mstewart@mcrpc.com	724-981-2412
SPC MPO	Andy Waple	awaple@spcregion.org	412-391-5590
Wayne County	Chris Barrett	cbarrett@co.wayne.pa.us	570-253-5970
Williamsport MPO	Mark Murawski	mark.murawski@lyco.org	570-320-2138
York County MPO	Jeph Rebert	jrebert@ycpc.org	717-771-9870

Appendix E
TA Set-Aside Reimbursement Agreement Exhibit F:
Maintenance and Operation of Improvements

[SELECT APPLICABLE PROVISION(S) BY MARKING CHECKBOX NEXT TO SUBSECTION FOR EACH TYPE OF LOCATION AT ISSUE]

☐ **PROVISION FOR PROJECT WHERE IMPROVEMENTS ARE LOCATED OUTSIDE LOCAL OR STATE RIGHT-OF-WAY USED BY MOTOR VEHICLES**

(a) The LOCAL PROJECT SPONSOR shall operate and maintain, at its sole cost and expense, all of the completed Project improvements financed under this Agreement that fall within its jurisdiction. The LOCAL PROJECT SPONSOR shall, by contract or with its own forces, perform the maintenance described in Exhibit “E” attached to and made a part of this Agreement, to insure an acceptable level of physical integrity and operation consistent with original design standards. The LOCAL PROJECT SPONSOR certifies that it shall make available sufficient funds to provide the maintenance described in this exhibit. This provision shall not preclude the LOCAL PROJECT SPONSOR from making arrangements with other governmental bodies or instrumentalities or private parties for sharing the maintenance responsibilities. However, the LOCAL PROJECT SPONSOR shall retain primary responsibility pursuant to this subsection.

(b) Failure by the LOCAL PROJECT SPONSOR to fulfill its maintenance responsibilities may result in the loss of future state and federal funds.

(c) The LOCAL PROJECT SPONSOR shall have the right to transfer ownership and maintenance responsibilities for the improvements constructed pursuant to this Agreement, subject to prior approval by the DEPARTMENT. The DEPARTMENT shall determine the appropriate written documentation required to approve and authorize the transfer of ownership and maintenance responsibilities. The DEPARTMENT shall not unreasonably withhold its approval.

(d) The preceding requirements and authorizations shall not prevent the LOCAL PROJECT SPONSOR from imposing responsibility for maintenance of the improvements constructed pursuant to this Agreement on the abutting property owners in accordance with duly enacted ordinances or regulations, as amended or supplemented from time to time. The LOCAL PROJECT SPONSOR shall diligently and strictly enforce its ordinances or regulations with reference to the affected property owners.

☐ **PROVISION FOR PROJECT WHERE IMPROVEMENTS ARE LOCATED IN LOCAL ROADWAY RIGHT-OF-WAY THAT IS NOT UNDER THE JURISDICTION OF THE LOCAL PROJECT SPONSOR**

(a) The LOCAL PROJECT SPONSOR shall operate and maintain, at its sole cost and expense, all of the completed Project improvements financed under this Agreement that fall within its

jurisdiction. The LOCAL PROJECT SPONSOR shall, by contract or with its own forces, perform the maintenance described in Exhibit “E” attached to and made a part of this Agreement, to insure an acceptable level of physical integrity and operation consistent with original design standards. The LOCAL PROJECT SPONSOR certifies that it shall make available sufficient funds to provide the maintenance described in this exhibit. This provision shall not preclude the LOCAL PROJECT SPONSOR from making arrangements with other governmental bodies or instrumentalities or private parties for sharing the maintenance responsibilities. However, the LOCAL PROJECT SPONSOR shall retain primary responsibility pursuant to this subsection.

(b) Failure by the LOCAL PROJECT SPONSOR to fulfill its maintenance responsibilities may result in the loss of future state and federal funds.

(c) The LOCAL PROJECT SPONSOR shall have the right to transfer ownership and maintenance responsibilities for the improvements constructed pursuant to this Agreement, subject to prior approval by the DEPARTMENT. The DEPARTMENT shall determine the appropriate written documentation required to approve and authorize the transfer of ownership and maintenance responsibilities. The DEPARTMENT shall not unreasonably withhold its approval.

☐ **PROVISION FOR PROJECT WITH IMPROVEMENTS IN SPONSOR’S ROAD OR RIGHT-OF-WAY**

(a) The LOCAL PROJECT SPONSOR, at its sole cost and expense, shall operate and maintain all of the completed improvements financed under this Agreement that fall under its jurisdiction. The LOCAL PROJECT SPONSOR certifies that it shall make available sufficient funds to provide for the described maintenance program. Exhibit “F,” attached to and made a part of this Agreement, lists the minimum requirements that the LOCAL PROJECT SPONSOR must satisfy regarding the traffic engineering services to be provided as part of this maintenance program.

(b) The DEPARTMENT, in concurrence with the FHWA, when applicable, shall determine the existence of acceptable methods of operation and maintenance. These operation and maintenance services shall include, but not be limited to, the following:

- (i) periodic inspections;
- (ii) functional review of traffic operations;
- (iii) appropriate preventative maintenance, which shall include cleaning, lubrication and refurbishing of all electrical equipment;
- (iv) a systematic record-keeping system; and
- (v) a means to handle the notification and implementation of emergency repairs.

- (c) The existence of functioning maintenance and operation services shall not exempt the LOCAL PROJECT SPONSOR from complying with the provisions of the Vehicle Code (75 Pa. C.S. § 101 *et seq.*), as amended, pertaining to traffic control devices, or with applicable provisions of the State Highway Law (36 P.S. § 670-101 *et seq.*), as amended.
- (d) The LOCAL PROJECT SPONSOR and the DEPARTMENT agree that each party shall administer, enforce and maintain any statutes, regulations or ordinances within its jurisdiction necessary for the operation of the improvements. The parties further agree that the enforcement obligations relating to the regulations are governed by the statutes of the Commonwealth of Pennsylvania, and more particularly by those statutes relating to municipalities; the Vehicle Code, as amended; and the State Highway Law, as amended; as well as those ordinances, rules and regulations issued by appropriate governmental agencies in implementation of these statutes.
- (e) The LOCAL PROJECT SPONSOR acknowledges that the traffic controls and parking regulations necessary to be maintained on these improvements are shown on Exhibit “G,” attached to and made a part of this Agreement.
- (f) The LOCAL PROJECT SPONSOR acknowledges that the DEPARTMENT may disqualify the SPONSOR from future federal-aid or state participation on LOCAL PROJECT SPONSOR-maintained projects if the LOCAL PROJECT SPONSOR fails to:
 - (i) provide for the proper maintenance and operation of the completed improvements; or
 - (ii) maintain and enforce compliance with any statutes, regulations or ordinances under its jurisdiction necessary for the operation of the improvements.
- (g) The LOCAL PROJECT SPONSOR agrees that the DEPARTMENT shall withhold federal-aid or state funds, or both, until one or both of the following (as applicable) have taken place:
 - (i) the LOCAL PROJECT SPONSOR has corrected the operation and maintenance services; and
 - (ii) the LOCAL PROJECT SPONSOR has brought traffic operations on the improvements, including enforcement of statutes, regulations or ordinances, up to a level satisfactory to the DEPARTMENT.
- (h) This Agreement is without prejudice to the right of the LOCAL PROJECT SPONSOR to receive reimbursement for maintenance costs from any railroad or

party other than the DEPARTMENT, if so ordered by the PUC, where a rail-highway crossing is under the jurisdiction of the PUC.

(i) The preceding requirements shall not prevent the LOCAL PROJECT SPONSOR from imposing responsibility for maintenance of the improvements constructed pursuant to this Agreement on the abutting property owners in accordance with duly enacted ordinances or regulations, as amended or supplemented from time to time. The LOCAL PROJECT SPONSOR shall diligently and strictly enforce its ordinances or regulations with reference to the affected property owners.

☐ **PROVISION FOR PROJECT WITH IMPROVEMENTS IN DEPARTMENT'S RIGHT-OF-WAY**

- (a) The DEPARTMENT, as the entity exercising authority and jurisdiction over the roads upon which the Project is being constructed, shall operate and maintain all of the completed improvements financed with federal-aid funds as part of the state highway system, consistent with the requirements of the Vehicle Code, State Highway Law of 1945, and Commonwealth regulations. If there is any signalization, it shall be maintained and operated by the LOCAL PROJECT SPONSOR, pursuant to a traffic signal permit issued by the DEPARTMENT to the LOCAL PROJECT SPONSOR.
- (b) The preceding requirements shall not prevent the LOCAL PROJECT SPONSOR from imposing responsibility for maintenance of improvements constructed pursuant to this Agreement within DEPARTMENT right-of-way on the abutting property owners, if duly enacted municipal ordinances or regulation make abutting property owners responsible for maintenance of the type of improvement. The LOCAL PROJECT SPONSOR shall diligently and strictly enforce its ordinances or regulations with reference to the affected property owners.

Appendix F

PennDOT Highway Lighting Requirements and Design Approval for TA Set-Aside Projects

Under 23 U.S.C. 213(b) (repealed, but referred to in the FAST Act), TA Set-Aside funds may be applied to the installation of lighting for certain projects, when there is a ***clearly demonstrated safety need***. Eligible projects include “Construction, planning, and design of on-road and off-road trail facilities for pedestrians, bicyclists, and other nonmotorized forms of transportation, including sidewalks, bicycle infrastructure, pedestrian and bicycle signals, traffic calming techniques, lighting and other safety-related infrastructure, and transportation projects to achieve compliance with the Americans with Disabilities Act of 1990.”

In order to facilitate the required PennDOT Highway Lighting review and approval of TA Set-Aside projects, the following procedures apply:

A. INITIAL PREPARATION

1. Clearly identify the need for lighting based on safety.
 - a. Refer to recognized standards such as ANSI/IES RP-8-14 *Roadway Lighting*, IES DG-5-94 *Recommended Lighting for Walkways and Class 1 Bikeways*, AASHTO GL-6 *Roadway Lighting Design Guide* and IES G-1-03 *Guideline for Security Lighting for People, Property and Public Spaces*.
 - b. Cite the results of a local threat assessment, security study or CPTED analysis.
2. Prepare an overview of the proposed lighting for the project. Include project location, site plan, proposed design criteria, existing luminaire locations and parameters, proposed lighting locations and parameters and potential power source location(s).
3. Initiate any required proprietary and Bulletin 15 waivers with the District.

B. PRE-DESIGN MEETING

1. Coordinate with the District PM to contact the Highway Lighting group at RA-pdHwyLighting@pa.gov (‘PD, Highway Lighting’) or 717-772-3078 to schedule a Pre-Design meeting.
2. The purpose of this meeting, which can generally be handled as a 15-30 minute teleconference, is to review requirements and establish design parameters.
 - a. Light Loss Factor (LLF) to be applied to photometric calculations.
 - b. Minimum average maintained illuminance at end of rated life (ERL).
 - c. Maximum uniformity ratio (avg./min.)
 - d. Maximum veiling luminance (glare) ratio, if proposed lighting is adjacent to roadway or street.
 - e. For LED luminaires, the proposed ERL (to be coordinated with the municipality) and the method required to calculate the corresponding LLF to be applied to each luminaire.
3. Prepare and distribute (electronically) the Pre-Design Meeting minutes within one week of the meeting.

C. PRELIMINARY LIGHTING REPORT AND PLANS

1. Prepare and submit Preliminary Lighting report and plans to RA-pdHwyLighting@pa.gov. The purpose of the Preliminary Lighting submission is to establish pole/luminaire locations (based on photometric calculations) and the proposed power supply location.
2. The Preliminary Lighting Report for TA Set-Aside projects should include the following:
 - a. Design criteria as established by the Pre-Design Meeting.
 - b. Type, wattage, IES distribution, mounting height (above the pavement) and overhang (from edge of pavement or curb) for each proposed luminaire.
 - c. LLF as calculated for each proposed luminaire. Refer to Pub 13M (DM-2), Chapter 5.2. LLF includes both the MF (maintenance or dirt factor) and the lamp lumen depreciation (LLD).
 - i. For HPS luminaires, the MF is assumed to be 0.8 and the LLD is 0.8 for a LLF of 0.64.
 - ii. For Metal Halide (MH) luminaires, consult the Highway Lighting group.
 - iii. For LED luminaires, provide documentation for each proposed manufacturer's product for the calculation of the LLD, based on LM-79 approved methods and extrapolations of results to ERL based on TM-21. The MF is assumed to be 0.8.
 - d. Complete photometric calculations for the entire walkway or path, broken into sections as required.
 - i. Average maintained illuminance at end of rated life (ERL).
 - ii. Uniformity ratio (UR).
 - iii. Minimum fc.
 - iv. Veiling luminance ratio (if required).
 - e. Electronic copies of the .ies files from an accredited Testing Laboratory.
 - f. Proprietary and Bulletin 15 waiver requests.
 - g. Copy of the energy and maintenance agreement with the local government.
 - h. Other information as required from the pre-design meeting.
3. TA Set-Aside Preliminary Lighting plans should include the following - from Pub 10C (DM-1C) Chapter 4, page 4-35 and Pub 13M (DM-2) 5.3, page 5-5:
 - a. Legend of symbols used, scale and date. Plan scale 1"=50' or 1"=100'. Other scales may also be used as appropriate for project conditions.
 - b. For projects on or adjacent to roadway or street, shoulder and curb lines, guide rail types and setback from roadway.
 - c. Lighting pole locations by stations.
 - d. Location by station and parameters of existing lights.
 - e. Overhead and underground electrical utilities (for locating power supplies and avoiding conflicts with overhead lines).
 - f. Existing to remain and proposed new trees.
4. The Preliminary Lighting Report will be returned with comments for revision and resubmission.

5. Resubmit the Preliminary Lighting report and plans until all comments are satisfactorily addressed and approval is given by the Highway Lighting group and the District to proceed with the Final Lighting document preparation.

D. FINAL LIGHTING SUBMISSION

1. After obtaining approval of the Preliminary Lighting design, prepare Final Lighting documents per Pub 13M (DM-2) and Pub 14M (DM-3). Final design entails the development of information needed to prepare the lighting construction plans and special provisions (if required), based upon the preliminary design previously approved.
2. The Final Lighting submission shall consist of final drawings, special provisions (if required), voltage drop calculations, waivers (if not previously approved) and copies of the agreements with the local utility and the local government. There is no need to resubmit photometric calculations if the luminaire layout hasn't changed from the approved Preliminary submission. Refer to Publication 14M (DM-3), Chapter 9. Lighting drawings shall include the following:
 - a. Title Sheet (not required if Lighting is a supplement to the Construction Plans).
 - b. Index Sheet (not required if Lighting is a supplement to the Construction Plans).
 - c. Summary of Quantities Sheet (combined with other project items if Lighting is a supplement to the Construction Plans).
 - d. Tabulation of Quantities Sheet(s).
 - e. Detail Sheet(s).
 - f. Plan Sheet(s).
4. The following should be included in the Final Lighting design:
 - a. Legend of symbols used, scale and date. Plan scale 1"=50' or 1"=100'. Other scales may also be used as appropriate for project conditions.
 - b. For projects on or adjacent to roadway or street, shoulder and curb lines, guide rail types, locations and distance from edge of pavement.
 - c. Location by station of all luminaires, as established by the approved Preliminary submission.
 - d. Lighting branch circuit routing and sizes. Minimum direct burial conduit size is 2". Minimum underground cable size is AWG #8.
 - e. Voltage drop calculations for all branch circuits.
 - i. Base wire size calculations upon 3% voltage drop maximum for reactor type ballasts and 5% voltage drop maximum for auto-regulator or regulator-type ballasts.
 - f. Determination of pole arm lengths and pole setbacks.
 - g. Determination of the "C" dimensions for all conventional pole locations as shown in Publication 72M, Roadway Construction Standards. Show this dimension to the nearest 0.05 m (0.1 ft) alongside the setback distance on the tabulation of quantities sheet. Refer to Publication 14M, Design Manual, Part 3, Plans Presentation.
 - h. Size or rating of power supply components. Size breakers to 75% of rating.
 - i. Size lighting loads to include sign loads when signs are to be energized from the roadway lighting circuits.

- j. Determination of type of conventional poles required: S-Base or A-Base.
 - k. Power Supply service voltage and location. Supply voltage shall be either 120/240 V or 240/480 V, single phase, 3-wire system. Other voltages require specific approval from the Central Office, Bureau of Maintenance and Operations. Include confirmation letter from the power company as applicable.
 - l. Determination of pole foundation required as detailed in Publication 72M, Roadway Construction Standards.
 - i. Note: Pole base foundation designs which are not PennDOT standard Type FC, Type FC Modified or Type P must always be reviewed by District Bridge. Contact Central Office Bridge if there are any questions.
 - m. Details not already covered by Publication 72M, Roadway Construction Standards.
 - n. Standard and special notes and special provisions.
- Resubmit the Preliminary Lighting report and plans until all comments are satisfactorily addressed and approval is given by the Highway Lighting group.

Appendix G

Webinar for all Potential Project Sponsors

Date and Time:

Thursday July 13, 2017 at 1:00 PM

Call in Numbers for audio access:

Bridge Number: 1-717-612-4733

Toll-free: 1-855-750-1027

PIN: 069617

Web links for visual access:

For all Commonwealth of PA Users and Participants that can download .exe files excluding Apple Operating Systems and Mobile Devices.

URL: https://openscapewebconf1.pa.gov/client/fastclient_i_r137568EF.exe

Allows full hosting features including desktop and file sharing

For all Participants including Apple Operating Systems and Mobile Devices Web Client:

<https://openscapewebconfw1.pa.gov/joinclient.aspx?inv=r137568EF>

Allows viewing of collaboration content (shared screen) via browser

For Commonwealth of PA Users only

Audio Conference Viewer

Conference Viewer:

<https://openscapeuc2.pa.gov/tweb/portal/req?clickToDial&ConferenceID=VG87eDJSS19UNWtQTW5kTxs3JpXgOhRWWIJcdIVA2fw%3D>

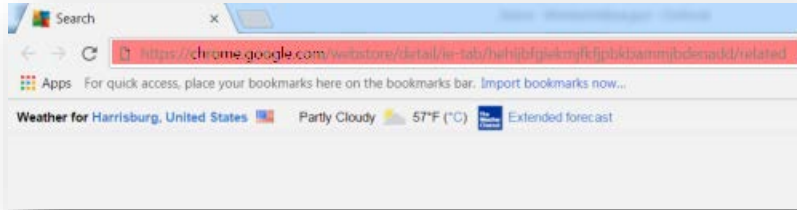
Launches Browser window and shows audio conference participants

Appendix H

Instructions for Installing Internet Explorer Extension for Google Chrome

Follow the steps below to install IE extension for Chrome.

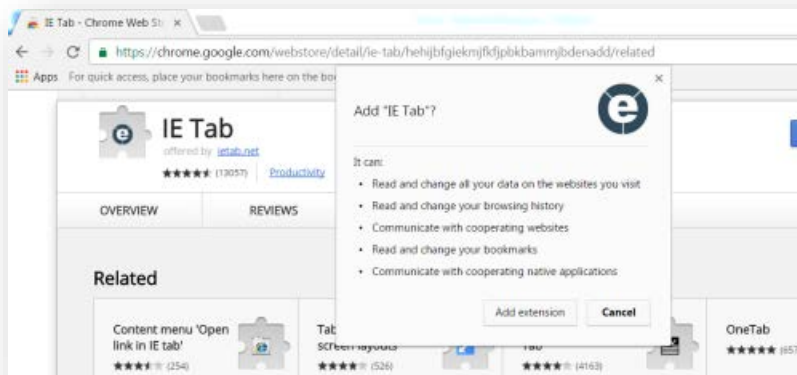
Step 1. Open Chrome and copy and paste the following link in the URL window and hit 'Enter'
<https://chrome.google.com/webstore/detail/ie-tab/hehijbfjgkcmjfkfjpbkbammjbdenadd/related>



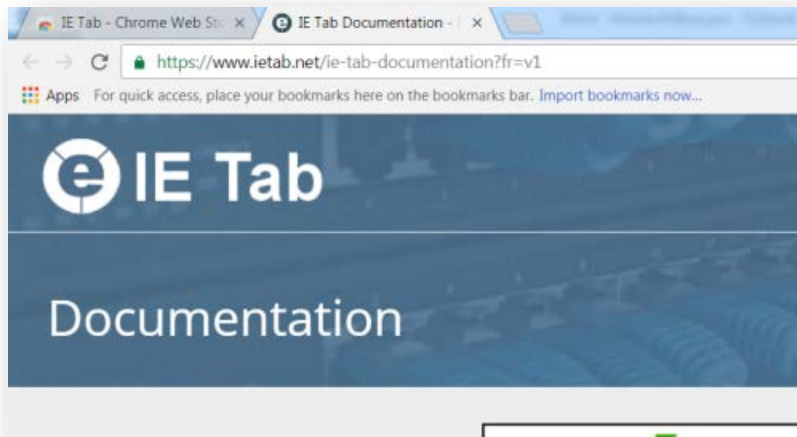
Step 2. The IE Tab dialog box will be displayed. Click the 'ADD TO CHROME' button displayed at the top right hand corner.




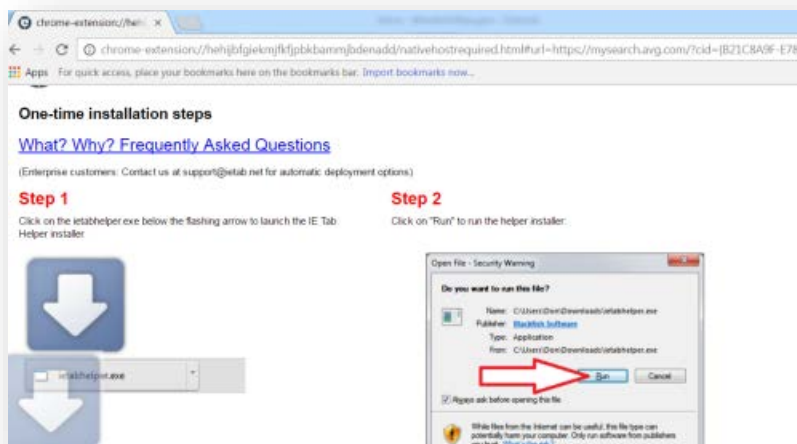
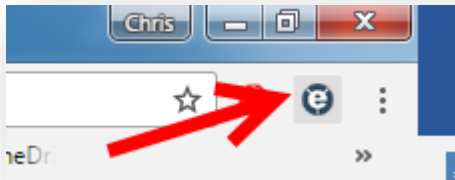
Step 3. The 'Add "IE Tab"?' dialog box will be displayed. Click the 'Add extension' button.




Step 4. When you click the 'Add extension' button, an additional tab (page) will be displayed. This tab (page) can be closed. Here is a sample of the page.



Step 5. Click the IE Tab button  located at the right end of the Chrome URL box. The following page will be displayed. Follow the two steps as shown below.

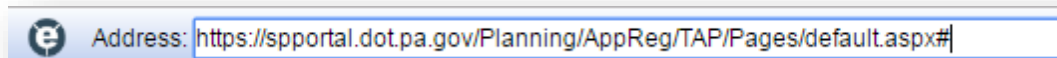


Step 6. After the installation, an 'IE extension' bar will appear at the top of your screen. If you don't see

this bar click the  icon.

Step 7. Using the IE URL window copy and paste the TA Set-Aside Site address:

<https://spportal.dot.pa.gov/Planning/AppReg/TAP/Pages/default.aspx#>. Click enter and the page, eligibility determination and application should work correctly.



Appendix I

PennDOT Connects Project Initiation Form

LPN Tracking ID #: Click here to enter text.

MPMS #: Click here to enter text.

Meeting Date: Click here to enter a date.

The Project Initiation Form should be completed in conjunction with the Level 2 Screening Form. Process Leads and/or Planners should complete the Project Initiation Form to document coordination with local planners. Please select the Level 2 Screening Form tab to identify the location, title, purpose, and need. Upon saving this information will populate onto the Project Initiation Form.

Project Name: Click here to enter text.

Will be populated from the Proposal Title information displayed in section 2.1 on the Level 2

Project Location: Click here to enter text.

Will be populated from the Location information displayed in section 2.1.a on the Level 2

Project Purpose: Click here to enter text.

Will be populated from the Purpose information displayed in section 2.1.d on the Level 2

Project Need: Click here to enter text.

Will be populated from the Need(s) information displayed in section 2.1.d on the Level 2

Short Project Description and Scope: Click here to enter text.

Will be populated from the Proposal Summary information displayed in section 2.6.j on the Level 2

Every transportation project should begin its life as a project that improves safety, mobility, and accessibility for all users: drivers, pedestrians, bicyclists, transit passengers, freight carriers, and area residents and businesses. Early scoping should ensure that the design and development process clearly documents considerations that meet as many objectives as reasonably possible, including maintenance considerations. If the decision is made to not include specific considerations in the project scope, those decisions should be documented, as well. The following sections document various considerations related to these objectives. Supportive web maps are available as a resource for those completing this form on [MPMS IQ](#).

1. Pedestrians

Dedicated pedestrian facilities should be evaluated for all highway projects. Depending on the project's context, these may include elements like a multiuse trail, sidewalk, and crosswalks with supportive elements like flashing beacons. In rural areas, a wider shoulder can serve as a very basic pedestrian path.

Pedestrian facilities to be considered (Document any maintenance considerations discussed):

- ☐ Shared roadway/wide shoulder
- ☐ Sidewalks
- ☐ Crosswalks
- ☐ Pedestrian Signalization
- ☐ Multi-use trail
- ☐ Additional element(s): [Click here to enter text.](#)

Notes:

[Click here to enter text.](#)

Pedestrian facilities will NOT be accommodated because (at least one):

- ☐ Location is greater than .25 mile from any existing pedestrian facility or public transit stop, and is not recommended for a pedestrian connection in any local, county, or regional plan.
- ☐ Location has unique site constraints, such as steep slopes.
- ☐ Safer pedestrian accommodations would drastically increase the overall anticipated project cost (in such cases, consider opportunities to ensure future pedestrian accommodations are not precluded by the design).
- ☐ Additional reasons(s) and notes: [Click here to enter text.](#)

2. Bicyclists

Bicycle mobility should be evaluated for all highway projects. Depending on the project's context, improvements may include elements like a multiuse trail, protected bicycle lane, striped bicycle lane (standard or buffered), sharrows, and supportive elements like dashed pavement markings in conflict areas and bicycle detection at traffic signals. In rural areas, a marked shoulder can serve as a very basic bicycle connection, provided it is supplemented with pavement markings in conflict areas as necessary.

Bicycle facilities to be considered (Document any maintenance considerations discussed):

- ☐ Multi-use trail
- ☐ Protected bike lane
- ☐ Striped bike lane (buffered or standard)
- ☐ Marked shoulder with supplemental pavement markings
- ☐ Additional element(s): [Click here to enter text.](#)

Notes:

[Click here to enter text.](#)

Bicycle facilities will NOT be accommodated because (at least one):

- ☐ Location is greater than .5 mile from any existing pedestrian facility or public transit stop, and is not recommended for a bicycle connection in any local, county, regional, or state plan.
- ☐ Location has unique site constraints, such as steep slopes.
- ☐ Safe bicycle accommodations would drastically increase the overall anticipated project cost (in such cases,

consider opportunities to ensure future bicycle accommodations are not precluded by the design).

☐Additional reasons(s) and notes: [Click here to enter text.](#)

3. Public Transit

Public transit needs should be evaluated for all highway projects. Depending on the project's context and the nature of area transit service (if any), these may include elements like improved bus stops, sidewalks or other pedestrian ways (see 1.) providing access to stops and stations, transit curb extensions, bus pullouts that are long enough for efficient transit operations, signal schemes that accommodate transit preferentially, or other elements.

Public transit improvements to be considered:

- ☐Improved bus stops
- ☐Sidewalks or pedestrian ways providing access to stops or stations
- ☐Transit curb extensions or bus pullouts
- ☐Other transit-preferential elements, including signal treatments
- ☐Additional element(s): [Click here to enter text.](#)

Notes:

[Click here to enter text.](#)

Public transit improvements will NOT be accommodated because (at least one):

- ☐ Location is not served by any public transit routes and no new service is identified in any public transit agency plans.
- ☐Location has unique site constraints, such as steep slopes.
- ☐Improved public transit accommodations would drastically increase the overall anticipated project cost (in such cases, consider opportunities to ensure future public transit improvements are not precluded by the design).
- ☐Additional reasons(s) and notes: [Click here to enter text.](#)

4. TSMO & ITS Enhancements

Transportation Systems Management and Operations (TSMO) and Intelligent Transportation Systems (ITS) Enhancements should be evaluated for all highway projects. Depending on the project's context and the nature of the needs (if any), this category would include elements necessary to mitigate these issues. For example, there are a wide variety of solutions to address congestion including traffic signal improvements, traffic incident management, active traffic management, and integrated corridor management.

TSMO and ITS Enhancements to be considered:

- ☐There are multiple types of emergency vehicles responding on this roadway
- ☐There is a future vision/plan of transportation operations and ITS enhancements on this roadway
- ☐This roadway is designated as an official detour route for a Limited Access facility, or is the nearest parallel route to a principal arterial or transit corridor
- ☐Traffic signals on this roadway are connected, or enhancements to connectivity are being considered
- ☐Additional element(s): [Click here to enter text.](#)

Notes:

[Click here to enter text.](#)

TSMO and ITS Enhancements will NOT be accommodated because (at least one):

- ☐ Congestion is currently not an issue within the project's limits or adjacent to its limits
- ☐ No opportunities currently exist to improve traffic signal operations
- ☐ No opportunities currently exist to connect fiber to PennDOT's TMC
- ☐ Improved accommodations would drastically increase the overall anticipated project cost (in such cases, consider opportunities to ensure TSMO and ITS Enhancements are not precluded by the design)
- ☐ Additional reasons(s) and notes: [Click here to enter text.](#)

5. Freight/Economic Activity/Manufacturing (Trucking, Rail, Ports, Pipeline)

Freight transportation needs such as those arising from truck operations should be evaluated for all highway projects. Depending on the project's context and the nature of area freight generators and operations, these may include considerations like vertical clearances, bridge weight allowances, pavement design, turning radii, intersection geometry, signage, pavement markings, highway-railroad grade crossings, designated pull/off waiting areas, alternate access, and traffic control devices.

Freight considerations:

- ☐ Freight operators currently use this roadway
- ☐ There are existing freight generators adjacent to this facility
- ☐ This project is a designated NHS intermodal freight connector and/or serves a concentration of freight generators like industrial parks.
- ☐ There is a future vision/plan for freight operations on this transportation facility.
- ☐ Additional element(s): [Click here to enter text.](#)

Notes:

[Click here to enter text.](#)

Freight improvements will NOT be accommodated because (at least one):

- ☐ Location is currently not used by any freight operators, there are no significant adjacent freight facilities, and no new operations are identified in any development or freight plans.
- ☐ Improved freight accommodations would drastically increase the overall anticipated project cost (in such cases, consider opportunities to ensure future freight improvements are not precluded by the design)
- ☐ Improved freight accommodations would pose significant conflict with other modes.
- ☐ Additional reasons(s) and notes: [Click here to enter text.](#)

6. Stormwater and Green Infrastructure

Many stormwater retention and infiltration options are available to address flooding and drainage issues within the limits of a project. These may include elements like rain gardens, vegetated bioretention areas (retention basins), vegetated swales, vegetated infiltration gardens, storm water tree trenches, permeable pavements, etc.

Stormwater and Green Infrastructure to be considered (including appropriate maintenance agreements):

- ☐ Rain garden
- ☐ Vegetation bioretention areas
- ☐ Vegetated swales
- ☐ Vegetated infiltration gardens

☐ Appropriate stormwater elements to be determined. Determination on specific elements to be made during project design

☐ Additional element(s): [Click here to enter text.](#)

Notes:

[Click here to enter text.](#)

Other improvements will NOT be accommodated because (at least one):

☐ Stormwater is currently not an issue within the project's limits or adjacent to its limits.

☐ Improved accommodations would drastically increase the overall anticipated project cost (in such cases, consider opportunities to ensure other improvements are not precluded by the design)

☐ Additional reasons(s) and notes: [Click here to enter text.](#)

7. Other (Utilities, Health, Community/Cultural Events, etc.)

Other needs should be evaluated for all highway projects. Depending on the project's context and the nature of the needs (if any), this category would include elements necessary to mitigate these issues. Utilities may be present in the area of a proposed project and there may be opportunities to incorporate them into the project or the need to move them to a new location. There may be opportunities for a project to improve public health through transportation by increasing physical activity, decreasing air and noise pollution, and increasing access to goods and services that support public health.

Other improvements to be considered and maintenance considerations have been made:

☐ Utility Relocation

☐ Public Health Improvements (increasing physical activity, decreasing air and noise pollution, increasing access to good and services that support public health)

☐ Timing of Community/Cultural Events will be considered during construction

☐ Additional element(s): [Click here to enter text.](#)

Notes:

[Click here to enter text.](#)

Other improvements will NOT be accommodated because (at least one):

☐ Utilities are currently not an issue within the project's limits or adjacent to its limits.

☐ No opportunities currently exist to improve healthy living within the project's limits or adjacent to its limits.

☐ Improved accommodations would drastically increase the overall anticipated project cost (in such cases, consider opportunities to ensure other improvements are not precluded by the design)

☐ No Community/Cultural Events currently take place within the project's limits and no known events are planned for the future

☐ Additional reasons(s) and notes: [Click here to enter text.](#)

8. Public Controversy

Anticipated substantial public controversy surrounding the project should be considered. Examples of reasons for public controversy include residential and commercial displacements, long detour routes, long construction times, and impacts to environmental, historic or community resources. Identifying potential public controversy early allows for the identification of increased public involvement measures during project scoping.

Public controversy is anticipated because:

- ☐ Likely residential and/or commercial displacements
- ☐ Long detour route/long construction time
- ☐ Business impacts
- ☐ Impacts to environmental, historic or community resources
- ☐ Other: [Click here to enter text.](#)

Notes:

[Click here to enter text.](#)

Public controversy is NOT anticipated (at least one):

- ☐ Construction impacts will be minimal
- ☐ No/minimal detour involved
- ☐ No/minimal displacements
- ☐ Additional reasons(s) and notes: [Click here to enter text.](#)

9. Source/References

Please list any source or reference documentation used in completing this form, along with any organizations or individuals that were consulted during the project analysis process. Include websites, studies, concept plans, etc. that were used to support the information on this form. Specifically identify any existing plans that include the project or the recommended additions to the project.

Sources/References Consulted:

[Click here to enter text.](#)

Organizations/Individuals Consulted:

[Click here to enter text.](#)



(Attach copies of any local or additional information. The attachments will appear in Section 2.9 on the Level 2 Screening Form)

Completed By: [Click here to enter text.](#)

Phone: [Click here to enter text.](#)

Email: [Click here to enter text.](#)

Date: [Click here to enter a date.](#)