

PENNDOT'S 2021

Transportation Alternatives Set-Aside Program

GUIDANCE AND PROCEDURES



Center for Program Development and Management
Planning and Contract Management Division

JUNE 2021

Things Project Sponsors Must Know

- Project sponsors must have a [PDAuth account](#) to access the TA Set-Aside application.
- Project sponsors must submit a Pre-Application by August 16, 2021 at 4:00 PM.
- Project sponsors must submit a Final Application by October 15, 2021 at 4:00 PM.

Project sponsors must meet with [PennDOT Engineering District staff](#) to discuss their project, PennDOT policies and regulations. Corresponding staff from the sponsor's [Metropolitan Planning Organization \(MPO\) or Rural Planning Organization \(RPO\)](#) must also be invited to participate in this meeting.

The Transportation Alternatives Set-Aside (TA Set-Aside) is not a grant program and no money is provided upfront. Project sponsors pay pre-construction costs on their own (design, environmental, right-of-way acquisition, utility). No sponsor match is required.

Projects are funded at 100% of the construction cost (including construction inspection) up to the amount awarded.

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 nonprofits 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 on a case-by-case basis 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 in Pennsylvania.

A minimum of \$10 million is available for the statewide funding round. Funding will vary in Large MPO areas, which are described in the [Funding section](#).

MPOs and RPOs are collectively known as "Planning Partners".

Potential project sponsors are strongly encouraged to participate in a webinar on June 23, 2021 at 1:00 PM. The call-in number, pin, and visual access links are found in the [Webinar for Potential Project Sponsors](#) section.

Timeline

Milestone	Responsible Party	Date
Guidance and Applications Available on Website	Central Office	6/9/2021
Webinar for Project Sponsors	Central Office	6/23/2021
Application Cycle Opens	Central Office	6/28/2021
Optional TA Set-Aside Eligibility Determinations Due	Project Sponsors	8/16/2021
Large MPO Guidance/Selection Processes Due	Large MPOs	8/16/2021
Last Day to submit Pre-Applications to Districts by 4:00 PM	Project Sponsors	8/16/2021
All Project Applications Due by 4:00 PM	Project Sponsors	10/15/2021
Project Applications Available for Review	Planning Partners/Districts	10/25/2021
All Planning Partner/District Comments Due for All Applications	Planning Partners/Districts	1/7/2022
Large MPO Project Selections Due	Large MPOs	1/7/2022
Statewide Project Selection Committee Meets	Central Office	January 2022

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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 is managed by the Pennsylvania Department of Conservation and Natural Resources (DCNR), many of the previously eligible activities from the SAFETEA-LU programs are now funded under the TA Set-Aside program.

In 2015, the Fixing America's Surface Transportation (FAST) Act was passed, renaming the previous TAP to a 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; however, most nonprofit organizations remain ineligible. Please see the [Sponsor Eligibility](#) section of this guidance for more information.

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: https://www.fhwa.dot.gov/environment/recreational_trails/guidance/. More information on DCNR's grant programs is available here: <https://brcgrants.dcnr.pa.gov/>.

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

Federal Resources

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

Transportation Alternatives Data Exchange (TrADE) – 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 TrADE site: <http://trade.railstotrails.org/index>.

TrADE's 10 Eligible TA Definitions - PennDOT uses TrADE's 10 Eligible TA Definitions (<https://www.railstotrails.org/policy/trade/basics/>) to form the 10 categories of eligibility that are described in the [Project Eligibility](#) section of this document. These interpretations were initially provided in consultation with FHWA.

Website

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

PennDOT's TA Set-Aside Funding Site can be accessed via this link:
[Transportation Alternatives Set-Aside \(penndot.gov\)](#)

The application is best viewed in **Google Chrome** although **Microsoft Edge** can also be used. Internet Explorer is not supported.

TA Set-Aside Funding Overview

Federal Transportation Bill (FAST Act) Status

The FAST Act, which has provided funding for the TA Set-Aside since December 2015, expired September 30, 2020 but was extended until September 30, 2021 with a continuing resolution. While it is possible that the FAST Act will be extended or a new bill will be enacted on October 1st, there's no assurance that the TA Set-Aside will continue or that more funding will be available after that date. Funds made available to PennDOT through the bill prior to that date will still be available for use after September 30, 2021.

The funding breakdown below describes how the funding is currently allocated; again, subject to change beyond September 30, 2021.

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 MPO/RPO region to which they're allocated.

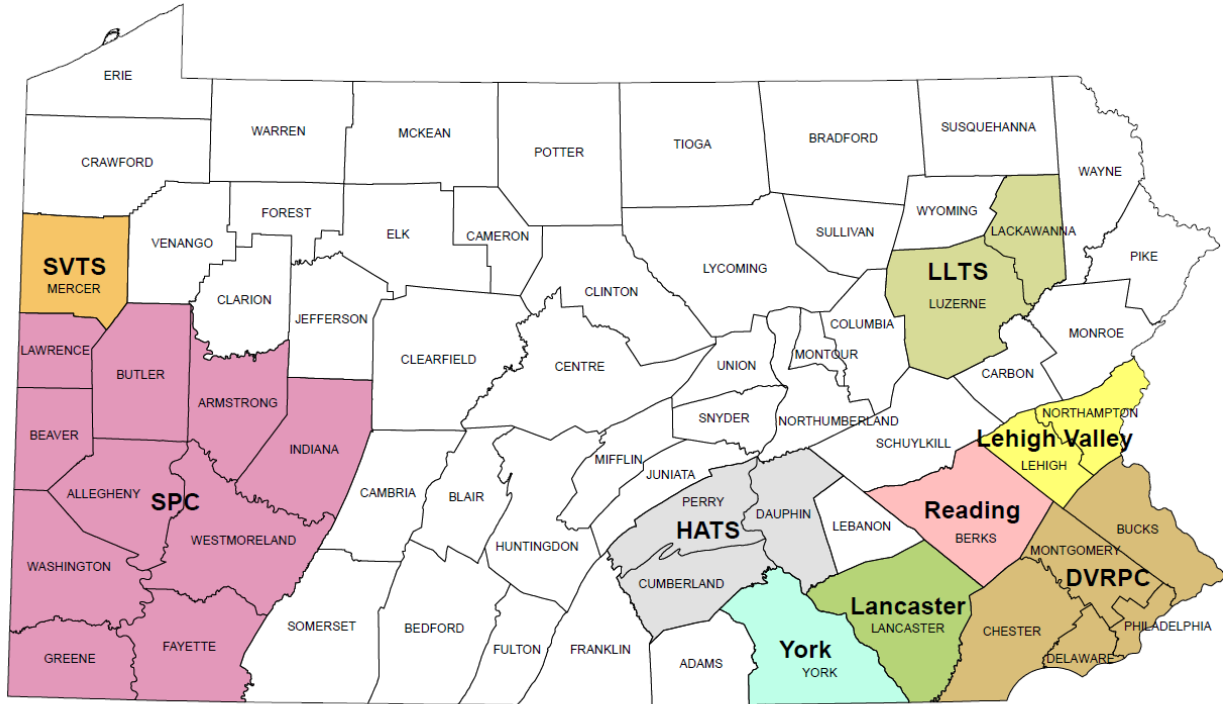
Areas >200,000 Urbanized Population (Large MPOs)










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

- Approximately \$8 million per year has been allocated to the Large MPOs, based on population (see the map on page eight).
- Each MPO is responsible for awarding their allocated funds to projects within their MPO boundaries through a competitive selection process.
- Check with the [MPO](#) for more information on how much funding is available during this funding round.

- Applications received from the following six Large MPO* areas will be eligible for both statewide and Large MPO funds. Only one application will be submitted by the sponsor and it will be reviewed by both the Large MPO and the Statewide Project Selection Committee. If the project is not awarded funds by the Large MPO it will then be considered for statewide funds.
 - Harrisburg Area Transportation Study (HATS)
 - Reading
 - Delaware Valley Regional Planning Commission (DVRPC)
 - Southwestern Pennsylvania Commission (SPC)
 - Shenango Valley (SVTS)
 - York

Large MPO Areas and TA Set-Aside Funds Funding Amounts - Federal Fiscal Year 2021



 HATS - \$464,700	 DVRPC - \$3,931,510	 LLTS - \$398,863
 Lancaster - \$420,298	 SPC - \$1,812,755	 SVTS - \$41,273
 Lehigh Valley - \$660,978	 Reading - \$278,370	 York - \$242,605

***Note: Lehigh Valley, Lackawanna Luzerne (LLTS), and Lancaster MPOs are not participating in the concurrent round. Projects submitted from these regions will still be eligible for statewide funds.**

Areas ≤ 200,000 Population

The FAST Act provides funding to areas of less than or equal to 200,000 population.

- Approximately \$5 million per year has been allocated to Areas ≤ 200,000.
- 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 areas with populations of 5,000 or less.

Statewide TA Set-Aside

Additionally, the FAST Act provides statewide funding to PennDOT.

- Approximately \$13 million per year has been allocated to Any Area of the State (Statewide).
- Funds can be awarded to projects anywhere in Pennsylvania.
- 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 less than or equal to 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 Statewide Funds for the 2021 Application Round

Approximately \$18 million is available for award through the statewide round. However, should more funding for the TA Set-Aside (or the next iteration of the program) be available beyond September 30th, additional funds may be awarded to applications received during this round.

Availability of Large MPO Funds for the 2021 Application Round

As discussed above, applications received from the HATS, Reading, DVRPC, SPC, SVTS, and York MPO regions will be eligible for both Statewide and Large MPO funds. For more information on Large MPO funding availability, additional requirements, and program guidance, please reach out to [the MPO staff](#).

Project Funding, Cost and Reimbursement of Approved Expenses

Funding and Matching Requirements

The FAST Act provides funding for the TA Set-Aside 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 must pay 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 individual MPO's TA Set-Aside guidance to confirm how projects are funded. Links to regional competitive selection documents are available on the [Transportation Alternatives Set-Aside \(penndot.gov\)](https://www.penndot.gov/transportation-alternatives-set-aside) website.

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, material 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. On a case-by-case basis, projects with exceptional value – as described in the application and supporting documentation – may be selected and funded up to a total cost of \$3 million 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 outstanding 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 (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 in the [Reimbursement](#) section.

Non-construction Projects

While most TA Set-Aside projects involve the construction of infrastructure improvements, some projects do not involve any construction, such as right-of-way acquisition or SRTS non-infrastructure activities.

Right-of-Way Acquisition Only Projects

In some circumstances, and as described below, TA Set-Aside funds can be used just for the acquisition of project right-of-way.

The following projects are eligible for right-of-way acquisition only:

- Turnouts
- Scenic Overlooks
- Viewing Areas
- Abandoned Railroad Corridors

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

- Provide a conceptual build out of the entire project in the area to be acquired, including:
 - Access
 - Parking
 - Independent Utility and Logical Termini (rational end points for a transportation improvement)
 - Phasing
- Identify the sources and amount of construction funding for the entire area to be acquired as well as a projected timeline for construction
- Obtain environmental clearance for the area to be acquired and developed

For right-of-way acquisition only projects, the sponsor pays for all pre-acquisition activities, including development of a right-of-way plan. In turn, PennDOT will pay 100% of the right-of-way acquisition costs, should the project be selected.

Other TA Set-Aside projects may require right-of-way. If acquisition is part of a larger project, the project must be fiscally constrained and the next project phase must be programmed on the STIP/TIP prior to National Environmental Policy Act (NEPA) approval. Local, state, and/or federal sources of funding for construction should be identified for all project phases.

SRTS Non-Infrastructure Activities

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, encouragement or safety items) at 100%.

Project Eligibility

Project sponsors must become familiar with the 10 project and activity types that PennDOT considers eligible for funding through the TA Set-Aside, which are described below. Please note, this guidance provides a general framework of eligible types of projects and activities, but individual project eligibility will be considered on a case-by-case basis.

- 1. *Bicycle and Pedestrian Facilities*** – Bicycle and pedestrian projects allow communities to make non-motorized transportation safe, convenient, accessible, and appealing. Projects may include on-road and off-road trail facilities that serve to meet the transportation needs of pedestrians, bicyclists, and users of other nonmotorized forms of transportation. Trails solely for recreational purposes will be considered on a case-by-case basis. 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
 - Traffic calming and speed reduction improvements
 - Pedestrian and bicycle crossing improvements that shorten crossing distance, provide access, and/or primarily improve bicycle and pedestrian safety
 - Pedestrian and bicycle signs or signals
 - On road bicycle facilities, such as bicycle lanes or sharrows
 - Lighting that primarily benefits cyclists and pedestrians (see [Lighting Plan Requirements](#) in Appendix H)
 - Transportation projects that achieve ADA compliance and increase accessibility, 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
 - Crosswalk additions or enhancements
 - 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
 - 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
 - Safe Routes to School construction projects that align with the projects above
- 2. *Bicycle and Pedestrian Education (grades K-8 only)*** – 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](#).

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 for a city, school district, or region.

- 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. See [the Non-Construction Projects](#) section.

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 consideration should be given in those areas that are designated as PA Byways by PennDOT, designated Heritage Areas by the 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 with 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 turnouts, overlooks, and viewing areas 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 ([Section 131 of Title 23](#)).

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 surface 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. 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 Elizabeth Rairigh at 717-705-4035 or erairigh@pa.gov for assistance.

Structures and facilities include tunnels, bridges, trestles, embankments, rails or other guide ways, non-operational rolling stock, canal viaducts, tow paths and locks, stations, and other man-made surface transportation.

Eligible Projects

- Restoration and reuse of historic buildings with a strong link to transportation history
- Restoration and reuse of historic buildings for transportation related purposes
- Interpretive displays at historic transportation related sites
- Access improvements to historic transportation related 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
- Heating or cooling systems *only when deemed necessary for preservation of the historic structure*; not for the comfort of guests or staff.

Ineligible Projects

- The addition of new items to the facility, such as desks, cabinets, furniture or other amenities that would improve building aesthetics or operations
- Improvements that merely enhance operations (such as adding heating or cooling systems)
- Using funds for the sole purpose of replicating a historic building

- Operation (including staffing) of historic sites, welcome centers or transportation museums
- Maintenance of historic transportation facilities

7. *Vegetation Management* — Through the Vegetation Management activity, communities improve roadway safety, prevent occurrence of 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.

Stormwater projects must address stormwater management, control, and water pollution prevention or abatement related to highway construction or due to highway runoff.

As such, stormwater projects must serve both a transportation and environmental purpose.

Eligible Projects

- Detention and sediment basins for collection of highway runoff or that may be necessary due to highway construction
- Stream channel stabilization associated with highway runoff or that may be necessary due to highway construction

- Storm drain stenciling and river clean-ups associated with highway runoff or that may be necessary due to highway construction
- Water pollution studies associated with highway runoff or that may be necessary due to highway construction

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

Ineligible Projects – 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 expense and cost.

Determination of Project Eligibility

Project sponsors should design projects that clearly fit into the eligible categories as defined above. 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.

Eligibility Determinations

This document 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, some sponsors may wish to have project eligibility determined before submitting an application.

To submit an eligibility determination, the sponsor must compose an email to RA-pdTASA@pa.gov and provide an overview of the proposed project activities and describe how they align with an eligible project category (or categories). Supporting attachments should be provided, if applicable. Eligibility determinations will be accepted through August 16th.

Please note: *The eligibility determinations are only for projects where eligibility is in question. Projects that conform to the project types listed above do not require eligibility review. Submitting an eligibility determination **is not required** to submit a TA Set-Aside application.*

Large MPO Eligibility Determinations

Projects submitted within Large MPO areas (>200,000 urbanized 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. Sponsors should contact their [MPO](#) for more information.

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.

Nonprofit organizations (other than the one new addition described in item #7 below), State DOTs, MPOs, and RPOs *remain ineligible to be 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
8. any other local or regional governmental entity with responsibility for oversight of transportation or recreational trails (other than a metropolitan/rural 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)(3) 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
4. Transportation Management Associations (TMAs)
5. Universities and Colleges (public and private – improvements must be in public right-of-way)

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 meet the federal requirements and be ready to be advertised for construction by August 31, 2023 may be subject to forfeiture of awarded funds and project cancellation. For more information on project implementation deadlines, please see the [Project Delivery Timelines](#) 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.

Please note: *Hyperlinks in this guidance that link to PennDOT publications, documents and resources may only open correctly in Microsoft Edge browsers.*

Application Submission

TA Set-Aside Application

On June 9, 2021 all guidance and application materials will be available on the PennDOT TA Set-Aside Site: [Transportation Alternatives Set-Aside \(penndot.gov\)](https://www.penndot.gov/transportation-alternatives-set-aside). A new TA Set-Aside Application system was developed for 2021. Sponsors will be required to register in the new system prior to beginning their application. Detailed registration and application instructions are located in Appendix [A](#) and [B](#).

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.

The 2021 TA Set-Aside application was designed to complement the existing PennDOT Connects process and to utilize the environmental screening tools already developed for PennDOT projects. Project sponsors must now submit a Pre-Application and meet with their PennDOT District and Planning Partner before completing and submitting a Final Application.

Pre-Application

The Pre-Application, which must be submitted through the application system by August 16, 2021, will collect project sponsor information, project details, and the proposed project alignment/location, which will be used for screening of the project. Submission of this Pre-Application will initiate a workflow to the corresponding PennDOT District. Upon receiving and reviewing this Pre-Application, PennDOT District staff will schedule a meeting with the project sponsor and Planning Partner to discuss the project.

Sponsors are strongly encouraged to submit a Pre-Application to their [PennDOT District](#) early in the process to allow adequate time to coordinate an acceptable meeting time. Additionally, ***all initial Pre-Applications must be submitted no later than August 16, 2021 to be considered.***

Pre-Application Meeting

The goal of a Pre-Application meeting is to complete a preliminary review of the proposed project to evaluate eligibility, scope of work and cost estimate, and to determine the feasibility of completion within the required timeframe. At the District's discretion, a PennDOT Connects meeting may also be held in conjunction with the Pre-Application meeting to conduct community collaboration early in the project planning process. This will be determined on a project-by-project basis, based upon the District and Planning Partner's knowledge of the proposed project and any past communication with the project sponsor. The Pre-Application meeting must, at a minimum, allow the District and Planning Partner to collect enough information to perform the following:

- Determine whether the project meets the TAP eligibility criteria
- Determine whether the project can be advertised for construction by August 31, 2023
- Complete the PennDOT Connects Project Initiation Form (PIF), which can be found in [Appendix C](#) or downloaded from PennDOT's Municipal Services website, if required by the PennDOT District

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
- Telephone calls or virtual meetings using Skype, Teams, Zoom, WebEx, etc.

Post Pre-Application Meeting Actions

Once a meeting is held with the PennDOT District and the Planning Partner, the PennDOT District will review the Pre-Application and then submit it back to the project sponsor to continue to work on their Final Application.

Final Application

Once the Pre-Application has been submitted back to the project sponsor by the PennDOT District, the project sponsor can make any revisions necessary to address District or Planning Partner comments received during the Pre-Application meeting regarding the project information provided on the application. The project sponsor should then sign and submit their application.

Applications must be submitted no later than October 15th by 4:00 PM.

Eligibility Review

After the application period closes, PennDOT Central Office will review all applications for eligibility. Should more details about the proposed project be necessary for determining eligibility, PennDOT Central Office will reach out to the project sponsor for additional information.

Project Budget

The sponsor must present a well-defined scope of work that lays the foundation for an accurate budget.

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.

A detailed 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.

Pre-Construction Costs

The project sponsor is responsible for funding all pre-construction activities; PennDOT will not fund pre-construction activities with TA Set-Aside funds. Funding for pre-construction phases may come from any combination of other federal, state, local, or private funds. The project sponsor should also list any donated, in-kind, and volunteer services, including those from the Youth Conservation Corps. Even though the preconstruction activities are not funded by TA Set-Aside funds, a detailed budget is needed to ensure that the sponsor can fund and deliver the required project phases.

*While right-of-way costs are an *ineligible* use of TA Set-Aside funds for most projects, there is an exception for some acquisition-only projects. See the Project Eligibility section of the TA Set-Aside Program Guidance for more information.

Project Construction Cost Estimate – Bid Items

For the construction phase, the project sponsor must develop and attach to the project application a detailed construction cost estimate that includes the following:

- ECMS Item numbers (optional)
- Bid Item Description/Name
- Quantity
- Unit of Measure
- Unit Price
- Item Total Cost

Example:

ECMS Item No.	Item Description	Quantity	Unit	Unit Cost	Item Cost
0608-0000	Mobilization	1	L.S.	\$27,000.00	\$27,000.00
0686-0001	Construction Surveying	1	L.S.	\$8,000.00	\$8,000.00
0901-0001	Maintenance and Protection of Traffic	1	L.S.	\$15,000.00	\$15,000.00
0849-0010	Rock Construction Entrance	2	EA	\$3,500.00	\$7,000.00
0866-0005	Heavy Duty Silt Barrier Fence	100	L.F.	\$11.00	\$1,100.00
0867-0012	Compost Filter Sock, 18" Diameter	200	L.F.	\$10.00	\$2,000.00
0201-0001	Clearing and Grubbing	1	L.S.	\$5,000.00	\$5,000.00
0627-3020	Temporary Barrier, Test Level 3, $l=2'$	120	L.F.	\$70.00	\$8,400.00

Project Construction Cost Estimate – Inflationary and Other Costs

Construction Inspection Costs

Construction 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.

Contingency Costs

Project sponsors may add up to 10% to the cost of the construction phase of the project (not the inspection phase) to account for unforeseen expenses.

Inflationary Costs

For the purposes of cost estimating, it is recommended that project sponsors consider inflationary costs. Project sponsors must design their project cost estimates for the year in which the project is anticipated to be constructed, not the year that the application is submitted. Most projects selected in this application round will go to construction in calendar year 2023 or 2024, depending on the complexity of the project and the degree to which the sponsor has advanced project design. An inflation rate of 3% per year is acceptable.

The following costs may be added to the total construction cost:

- Up to two years of inflation at 3% per year
- Contingency costs may be included, but may not exceed 10%
- Construction Inspection (15% for projects < \$1 million, 12% for project ≥ \$1 million)

Based on the project, and in consultation with the consultant and PennDOT District, the estimate may also need to contain allowances for the items below:

- Administration/PennDOT Costs
- Maintenance and Protection of Traffic
- Erosion and Sedimentation Control
- Inspector's Field Office, Equipment Package, and Microcomputer
- Mobilization
- Stormwater
- Drainage
- Pre-Construction Schedule
- Construction Surveying
- Internal Facilitation

It is also important to note that PennDOT pre-qualified contractors will be required, and that Davis Bacon wage rates will apply. These factors will increase project costs above that of a typical municipally funded project.

Cost Estimating Resources

In addition to working with the consultant and PennDOT District personnel, please reference [PennDOT Pub 352 - Estimating Manual](#) which will provide more detailed information about creating a cost estimate.

Project sponsors may be responsible for all cost 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 June 23 at 1:00 PM. The call-in details follow below.

Date and Time:

June 23, 2021
1:00 PM

Visual Component:

Those with Microsoft Teams on their desktop, laptop, tablet or phone may join the meeting by clicking the "Click here to join the meeting" link below. If you do not have the software, you'll be prompted to download it.

It is highly recommended that users test this link prior to the meeting to see if they have the necessary software/app.

Microsoft Teams meeting

Join on your computer or mobile app

[Click here to join the meeting](#)

Audio Component:

For those without visual access or would just like to listen over their phone or computer may use the number below.

Toll number:

+1 267-332-8737

498499750# (Dial-in Number)

Conference ID: 498 499 750#

[Find a local number](#) | [Reset PIN](#)

[Learn More](#) | [Meeting options](#)

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

Large MPO Application Materials

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.

The MPO must submit three documents to Central Office no later than August 16, 2021:

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

TA Set-Aside Review

To get the regional perspective on TA Set-Aside projects, PennDOT asks that all Planning Partners and Districts review and comment on all projects received in each planning region.

Review Period

The review and comment period will span from October 25, 2021 to January 7, 2022. During this time, PennDOT Planning Partners and Districts will be able to access all submitted applications and associated attachments in their areas of responsibility.

The review roles are further defined below.

Planning Partners

Small MPOs and all RPOs

Small MPOs and RPOs may use the [Statewide Project Selection Criteria](#) to evaluate projects, or they may score them based on regional priorities. Planning Partners are also encouraged to provide a 1 to 5 star ranking for all projects in their planning region.

All comments, rankings and PennDOT Connects meeting details should be entered into the Planning Partner Reviews section of the application system.

Large MPOs

Large MPOs may utilize their existing and/or anticipated TA Set-Aside funds to competitively award projects in their planning region. Large MPOs may use the [Statewide Project Selection Criteria](#) to evaluate projects, or they may score them based on regional priorities.

Alternatively, an MPO may elect not to award TA Set-Aside funds and instead maintain a reserve amount to cover unanticipated costs, such as unforeseen project cost increases and/or bid overages.

Once each Large MPO has finalized their regional project selections, they will submit a list of all awarded projects and the funding amounts to Central Office.

For projects that were not selected at the regional level, Large MPOs are encouraged to provide rankings, comments and PennDOT Connects meeting details for all projects in the Planning Partner Reviews section of the application system.

PennDOT Districts

PennDOT asks that all Districts work with their Planning Partner(s) to rank projects. Additionally, Districts will have the opportunity to provide their own comments on all projects within their District through the District Reviews section of the application system.

Statewide Selection Process

Evaluation Criteria

Projects eligible for statewide TA Set-Aside funding will be evaluated using criteria created from 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, improve safety](#), enhance local or regional mobility, and be delivered expeditiously. A full list of project selection criteria can be found in [Appendix D](#).

Statewide Project Selection Committee

The Statewide Project Selection Committee will review, score, and comment on all applications in advance of the final project selection meeting to be held in January 2022. During the meeting, projects will be selected based on a combination of reviews from the Statewide Project 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 Health
- Two Pennsylvania MPOs
- A Pennsylvania RPO

Areas of Emphasis

Project Readiness and Deliverability

To expedite project implementation, PennDOT will place emphasis on projects that are “justifiably deliverable” by August 31, 2023. The sponsor should prove – through their application – that their project will be ready to advertise for construction no later than August 31, 2023. If available, plans sets or other documents showing preliminary design work should be submitted with the application package.

Projects with complex right-of-way, utility, environmental, or other issues that would add cost or delay delivery will score lower and are less likely to be selected.

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 or crash clusters. The Crash Query Tool may be helpful:
<https://crashinfo.penndot.gov/PCIT/queryTool.html#>
- Hazardous Student Walking Routes Assessments:
<http://pennshare.maps.arcgis.com/apps/webappviewer/index.html?id=6d6bea0d5ee347dea1390bc5c44a17c4>
- Walking and Bicycling Assessments
 - SRTS Walkability Audits:
<http://pennshare.maps.arcgis.com/apps/Directions/index.html?appid=2edd1e12c4dd4fe483e653dc32f106f5>
 - LTAP Walkable Community Reports
 - WalkWorks Walkability Assessment Reports
- Long Range Transportation Plan (LRTP), regional Bike/Ped Plan, or Road Safety Audit (RSA). Sponsors can consult with their Planning Partner to see if the safety need was included in these documents.

Statewide Project Selection Announcement and Notifications

It is anticipated that projects will be awarded in early 2022 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 2021 TA Set-Aside statewide application round must have contract documents that are ready to be advertised by August 31, 2023. Projects that are not anticipated to be ready to advertise for construction by then should not apply during this round. 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.

More information is available in the [Progress Monitoring and Project Cancellation](#) section.

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 several 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.

Reimbursement

The TA Set-Aside is a federal cost reimbursement program, and no money is provided upfront. The project sponsor must execute a standard legal reimbursement 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. In most cases, reimbursement agreements are executed through PennDOT's Reimbursement Agreement System or RAS. For sponsors who are already a Business Partner in PennDOT's Engineering and Construction Management System or ECMS (further explained below) a RAS user role will need to be set up under the Business Partner Account. For sponsors who do not have access to ECMS, that step will need to be completed first. PennDOT District staff can provide further direction on this if needed.

To receive reimbursement for approved TA Set-Aside project expenses, the sponsor will need to become a registered business partner in the Engineering and Construction Management System and become a vendor in the SAP system. Both actions are described below.

Once the project moves closer to advertisement for construction a Federal Form 4232 will be authorized. 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.

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. For projects bid in PennDOT's Engineering and Construction Management System these steps occur within the system. 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. A standard special provision should be used in the bid package to indicate to the contractor that this is the payment process being used.

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

Engineering and 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*. The 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 Vendor (SAP Vendor Number)

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: [http://www.dot.state.pa.us/public/PubsForms/Publications/PUB%2010/Pub%2010B/November%](http://www.dot.state.pa.us/public/PubsForms/Publications/PUB%2010/Pub%2010B/November%2010)

[202015.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 designated PennDOT District Project Manager will provide direction on this but be advised that the project sponsor or their consultant may 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 Coordinator](#) *prior* to applying.

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, TAP, or TA Set-Aside projects. Expedient, accurate design lessens the chance that the project will not meet the August 31, 2023 deadline for TA Set-Aside projects to advertise. Projects that are not advertised by August 31, 2023 are subject to cancellation, however; time extensions can be considered on a case-by-case basis.

Treatment of Projects

Projects funded through the TA Set-Aside 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):

<http://www.dot.state.pa.us/public/PubsForms/Publications/PUB%2010/Pub%2010/March%2020>

[18%20Change%20No.%201.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 the PennDOT Engineering District Right-of-Way Administrator with any questions or if specific guidance is required.
- 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. In some cases, PennDOT's Utility Relocation Management System (URMS) will be used. 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.* The District Project Manager will be able to provide assistance.

Railroad Coordination

If the 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, the owner of the rail line will need to be involved early. This initial contact, which may be facilitated by the PennDOT District Project Manager in consultation with the 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, plan reviews, and flagging during construction). 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 the 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/Pub%2010C/September%202018%20Change%20No%202.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 H](#). The PennDOT District TA Set-Aside Coordinator will also be familiar with these requirements.

Bidding

For projects that require a contractor to perform physical construction or rehabilitation, the sponsor's project designer 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 Project 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 issuance of notice to proceed* which ensures that all necessary approvals have been secured. Notice to proceed will be given electronically for projects bid in ECMS. In the case of approved paper lets, written authorization (notice to proceed) will be given by the project sponsor.

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 PennDOT. For more information, please see the Maintenance section excerpt from the TA Set-Aside Reimbursement Agreement in [Appendix G](#).

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, Planning Partners) 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 via letter or email 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 within 30 days and reaffirm their commitment to delivering the project and to meeting the specific milestones established in the warning communication.

If the sponsor agrees to the delivery conditions and timelines, they will be required to provide periodic progress updates to confirm that the project is advancing on schedule. Should the sponsor fail to advance the project according to the agreed upon schedule, 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.

Summary of 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://www.penndot.gov/ProjectAndPrograms/Planning/Pages/Transportation-Alternatives-Program.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 submit an eligibility determination request email to RA-pdTASA@pa.gov

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 and assistance to sponsors as they develop applications
- Work with Planning Partner(s) and sponsors to submit an eligibility determination request email to RA-pdTASA@pa.gov as needed
- 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

Any questions related to the TA Set-Aside program can be directed to:

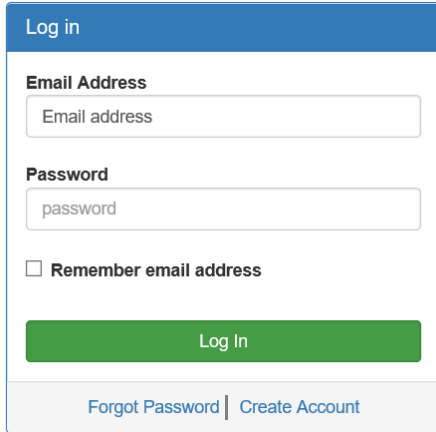
Email: RA-pdTASA@pa.gov

Phone: 717-775-3276

Appendix A

Registering for Access to TA Set-Aside Application System

New TA Set-Aside application system users can request access by going to <https://gis.penndot.gov/pdauth/login> and logging into an existing PDAuth account if they have one (CONNECTS users should already have a PDAuth account) or selecting Create Account if they don't have one already.

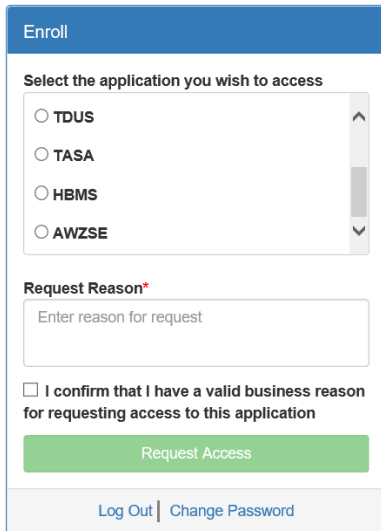


The screenshot shows a 'Log in' form with a blue header. It contains two input fields: 'Email Address' with the placeholder text 'Email address' and 'Password' with the placeholder text 'password'. Below the password field is a checkbox labeled 'Remember email address'. A green 'Log In' button is positioned below the checkbox. At the bottom of the form, there are two links: 'Forgot Password' and 'Create Account'.

Once logged in, the user can then choose “Request access to an application.”

Request access to an application

The user will then be taken to a new screen where they can select the application system they wish to access. Select TASA from the list. Enter a Request Reason. Check off the box confirming there is a valid business reason to request access. Hit the Request Access button.



The screenshot shows an 'Enroll' form with a blue header. It features a section titled 'Select the application you wish to access' with a list of radio buttons: TDUS, TASA, HBMS, and AWZSE. Below this is a 'Request Reason*' field with the placeholder text 'Enter reason for request'. A checkbox is located below the text 'I confirm that I have a valid business reason for requesting access to this application'. A green 'Request Access' button is at the bottom. At the very bottom of the form, there are two links: 'Log Out' and 'Change Password'.

Once the request is approved by the application administrator, the user will receive an email notifying them of the approval.

Upon approval the user can then log into the TA Set-Aside application system using their PDAuth login.

Passwords do expire every few months, and the user will receive an email when it's time to change the password. The email will include instructions on how to change the password.

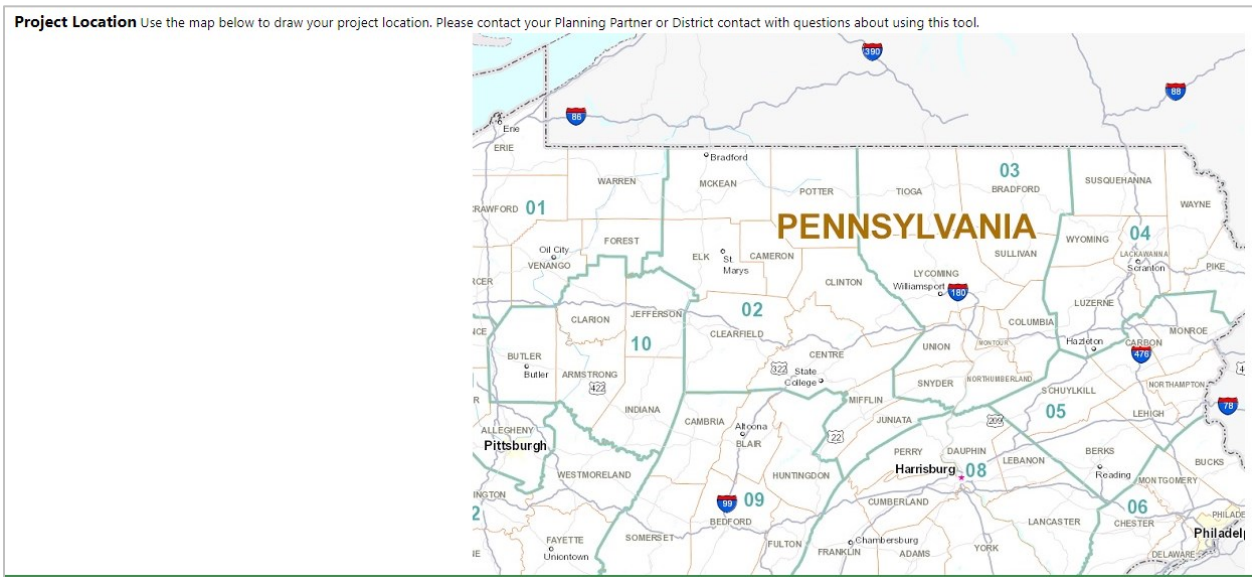
Appendix B

TA Set-Aside Application System Instructions

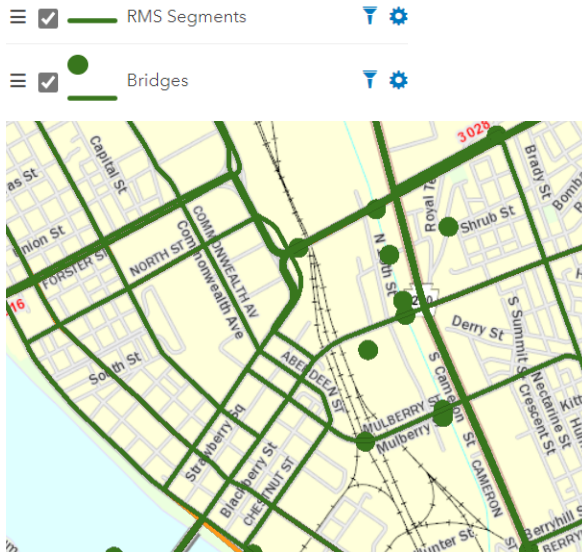
Browser Compatibility - The application process utilizes a Microsoft product called InfoPath, which works best when viewed and manipulated in **Google Chrome** or **Microsoft Edge**. Internet Explorer is not recommended.

1. Click Create New Item at top left of screen.
2. A new window will appear and allow you to Select Item Type (Create New 2021 Application).
3. Enter the project title and click OK.
4. Fill out Overview information which includes Sponsor Information, Project Description and Project Location. Clicking (+) opens menu items and (-) will minimize. Please be sure all items are opened to review required information. Red (*) asterisk indicates mandatory fields required for application submittal. Black (*) asterisk indicates fields that will be auto populated by the application system. The application will auto save and can be closed and returned to at any time. To locate a previously started application click My Assignments.
5. Create a Proposal Area Map

The PennDOT TA Set-Aside application allows users to define a project area by using a mapping selection tool named *Proposal Area Designer*. *The Proposal Area Designer* is accessed by clicking on the map under the **Project Location** portion of the application. For reasons that are later described in this document, it is important to create a map that represents the proposed project as accurately as possible.

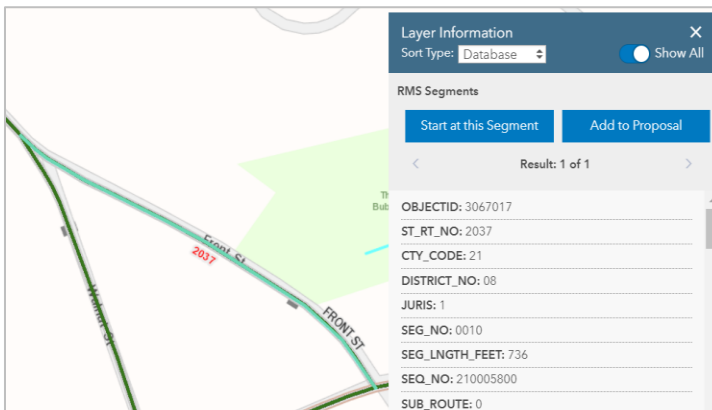


Clicking the map within the application creates a new separate tab, titled *Proposal Area Designer*. In this tab, you will be able to add your project area to the map which will become part of the application. The map is then scored based on the environmental layers included on the map. The state road and state and local bridge layers are visible at larger scales. They will appear when zoomed to a specific location.



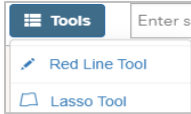
Selecting Project Area

The mapping includes state roads and state bridges by default. They can be added to your project area through the **Layer Information** box or the **Lasso Tool**. To add a road or bridge using the **Layer Information** box, click on a route segment or bridge on the map. The selection will be highlighted, and a **Layer Information** box popup will appear on the screen.

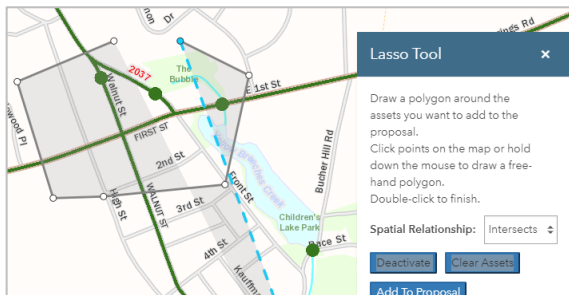


Select **Add to Proposal** and then click the **X** to close the layer information box. The selected feature changes to red. Multiple roadway segments may be added to the project area by

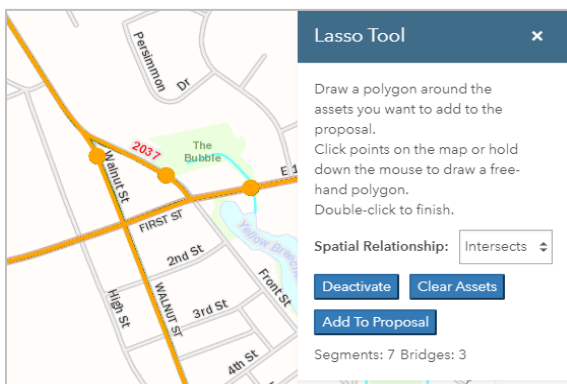
selecting beginning and ending segments. First, click on a road and click **Start at this Segment** in the **Layer Information** box. Next, click on another section of the same road. Then, click **End at this Segment** in the **Layer Information** box. Both sections you selected, plus sections in between, will be highlighted in red.



The **Lasso Tool**, located in drop-down under the **Tools** button in the top ribbon (upper-right of screen), creates a project area by drawing a polygon (lasso). **The Lasso Tool can only be used when your project area is on a state road or state or local bridge.** The Spatial Relationship selection has two options, **Intersects** or **Contains**. **Intersects** causes any features that are touching or inside the lasso to be highlighted. **Contains** highlights only features that are completely within the lasso. To make a lasso, hold down the left mouse button and draw a shape on the screen. A lasso may also be drawn by repeating the actions of clicking the left mouse button to add a vertex (point), and then dragging the mouse to create a line. Double clicking the left mouse button will complete the drawing.



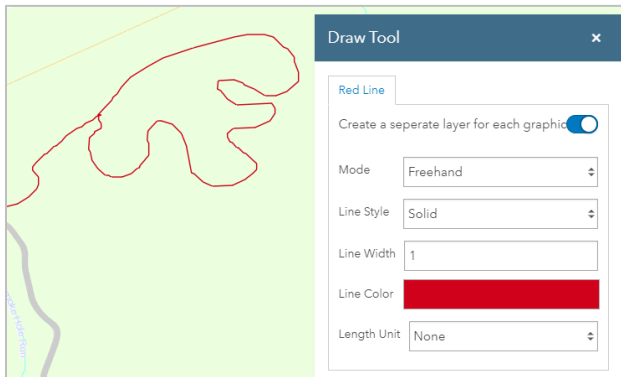
When the polygon is completed the selected roads/bridges will be orange.



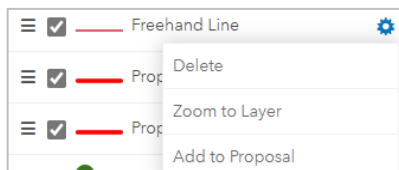
Click **Add To Proposal** and the roads/bridges will turn red. The **Lasso Tool** may be turned on and off with **Deactivate** and assets may be cleared before they are added to the project area with **Clear Assets**.

Creating Custom Features

Projects that do not include state roads or bridges, such as trails, will need to be created by the user. To add these types of features to the project area using the **Red Line Tool**, in the **Tools** dropdown, is the most straightforward option. In the tools pop-up, there are options to draw by **Click**, **Freehand** or **Hybrid** methods. Some trial and error will likely be required to determine the best drawing option. Double clicking the left mouse button will complete the line. See **Removing Features** below to delete excess lines.



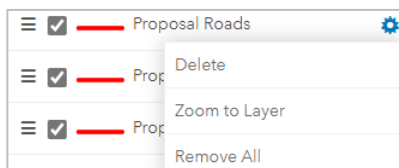
When the drawing is complete, the new line layer will be visible in the contents pane. The line feature may be added to Proposed Red Lines Layer by clicking the gear icon next to the line layer and selecting **Add to Proposal**.



Removing Features

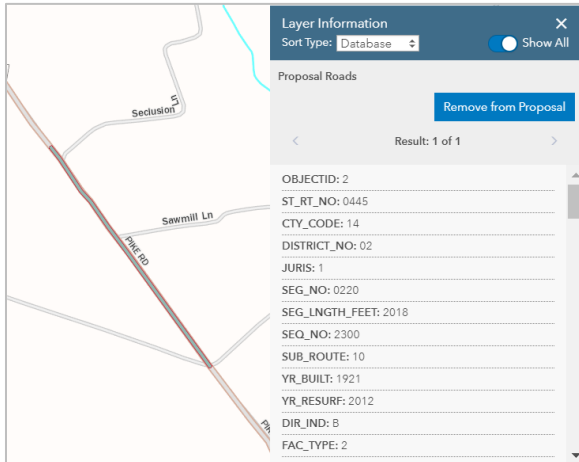
Proposed features may be removed from the map several different ways. The

Clear Proposal Features button, in the center of the top ribbon, will clear all proposed features from the map. Clicking on the **gear** icon by the layer in the contents pane and selecting **Remove**




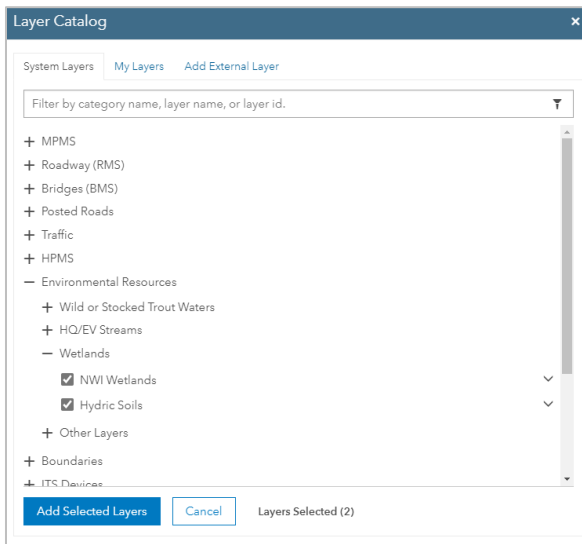
All works in the same manner as the as the **Clear Proposal Features** button. Be careful not to select **Delete**. It will delete the layer from the contents pane. The layers can only be restored by refreshing the application which will cause the loss of all other additions.


Individual features may be removed by clicking on the feature and selecting **Remove from Proposal** in the popup.





Adding Layers (Optional)

The *Proposal Area Designer* has several default layers in the contents pane that may be used as references or added to **Proposal Features**. Additional layers may be added with the  button in the top ribbon but this step is not required. The headings can be expanded and layers may be turned on and off with the check boxes and clicking Add Selected Layers.



As previously stated, It is advisable **not to delete layers** until desired mapping is completed. Refreshing  the page will restore the default layers, but **user created layers will be lost**.

Saving and Scoring

The next step is saving and scoring the map. The project area is scored based on potential environmental concerns. Selecting  on the top ribbon initiates the scoring process. A series of green and blue boxes will appear in the upper-right corner. This indicates scoring is in process and when the process is completed. To view the scores, click  button on the top ribbon.

Scores									
Asset Count: 1									
By Asset		By Category							
	Type	Cty	Route	Seg Bgn	Off Bgn	Seg End	Off End	BrKey	Score
+	RMS	22	0443	0160	0000	0000	0000		10

The scores are categorized by asset or category. Clicking the + next to an asset, opens the score descriptions for each layer. The layers may be added to the map for reference.

Closing Proposal Area Designer

Once the project is saved and scored the *Proposal Area Designer* tab in the browser can be closed or you can toggle to return to the application tab.


- The fields below the map should automatically populate except for the Project Location Description. If the fields are not populated, click the refresh button next to the website address.




- Fill in further details for the Project Location Description.
- Scores will be present under the Environmental section.

Environmental


Please describe the actions necessary to further investigate the potential impact and any planned mitigation efforts.

Potential impacts to wild or stocked trout streams score* 


0

Potential for impacts to High Quality/EV Streams?* 

8

Potential for impacts to wetlands?* 

10



Potential temporary or permanent impacts (use) to resources protected under Section 4(f)?* 

1

If scores are not present, click the refresh button again. The higher the score the more likely the resource may be present or impacted. Click on the black comment cloud to add additional information regarding those resources.

A score will not be entered for **Potential impacts to federally proposed, candidate or listed threatened and endangered species** as this information is only available through the [Pennsylvania Natural Heritage Program](#). If this information is known, click the black comment cloud and enter a comment. If the information is not known, leave this section blank.

9. Fill out the Conceptual Engineering, General Criteria and Area of Emphasis sections. The General Criteria and Area of Emphasis sections have point values associated with them and will be used by the Selection Committee to score the application.
10. Attach the Construction Cost Estimate by clicking on the paper clip. This is a required attachment.

Project Construction Cost Estimate  

11. Fill out the Project Phase Costs Estimate section. Provide Local Estimated Costs for all Pre-Construction phases and indicate Funding Source(s). Calculate Pre-Construction Total which includes Preliminary Engineering, Final Design, Right-of-Way and Utilities.
12. Enter the amount of TA Set-Aside funds requested in the Construction section. It is a requirement to add a percentage for Construction Inspection based on the Construction

estimate. It is recommended that a Contingency and Inflation factor also be added. Calculate the Construction Total.

13. Attach any pertinent attachments to support the application. The only required attachment is the Cost Estimate.
14. In the Terms & Conditions section enter appropriate information if a Connect Meeting was held. If a Connect Meeting was not held, hold off on this section as it will be completed in future steps.
15. The next step is submitting the application to the District for a Pre-Application review. After submission, a meeting will be held with PennDOT and the Planning Partner to review the pre-application. Do not sign the application. At the bottom of the page, click on the Assignments box.

Instructions The following items are required: <ul style="list-style-type: none">• Complete Application form but DO NOT SIGN APPLICATION.• Submit UNSIGNED Pre-Application to District for assistance.• Generate Connects Proposal.• District initiates coordination/meeting.• District approves/concurs/requests revisions.• Applicant finalizes application, SIGNS APPLICATION and submits.	Assignments Users and Roles assigned to complete this task. <input type="text" value="Laura a. Montgomery"/> Action (Workflow) <input type="text" value="Create Connects Proposal"/> <input type="button" value="Submit"/>
--	---

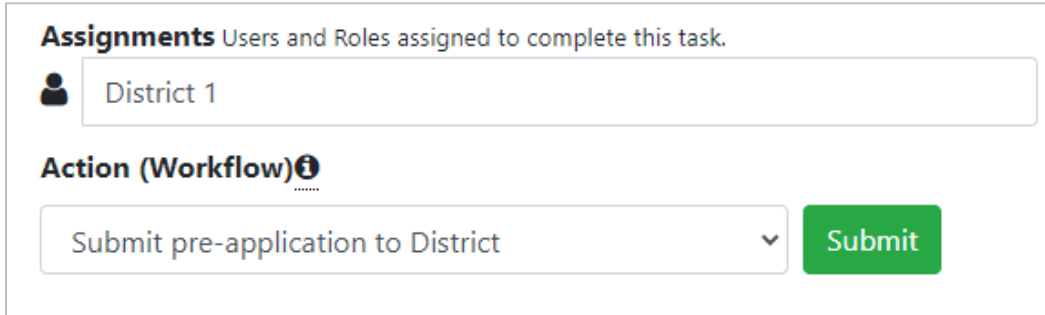
A separate box will open to add participant. Select the District where the project is located from the available list and click the > arrow. If your name is in the Selected box, select it and click the < arrow to remove it. Click save.

Add Participant ×


Participant List: Roles Users

Available	<input type="button" value=">"/> <input type="button" value="<"/>	Selected
<input type="text" value="District 10"/> <input type="text" value="District 12"/> <input type="text" value="District 3"/> <input type="text" value="District 5"/> <input type="text" value="District 7"/> <input type="text" value="District 8"/>		<input type="text" value="District 8"/>


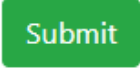
16. Click the Action (Workflow) drop down at the bottom of the screen and select Submit pre-application to District and click submit. This will send the pre-application to the TA Set-Aside Coordinator at the appropriate PennDOT District Office for review.



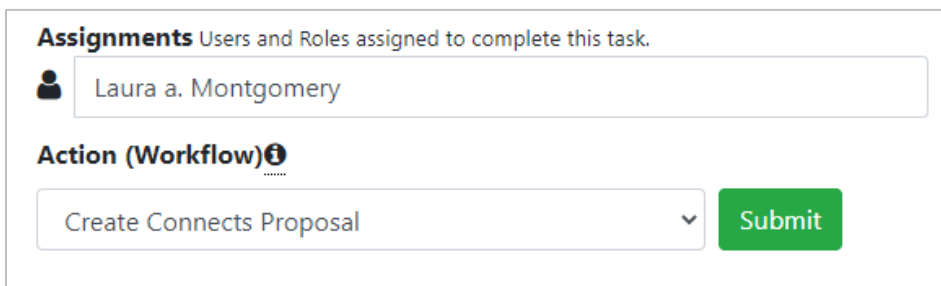
Assignments Users and Roles assigned to complete this task.

 District 1


Action (Workflow) ⓘ

Submit pre-application to District  


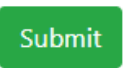
17. The District TA Set-Aside Coordinator will set up a meeting with the applicant and the Planning Partner to discuss the proposed project in more detail.
18. The District may add information to the application or adjust the project location map at this time. The applicant cannot edit the application once it has been submitted to the District. The District will note in the application if the meeting also served as a PennDOT Connects meeting and include the date within the Terms & Conditions section of the application.
19. Once the revisions are complete, the District will close out this review step and return the application to the applicant. The applicant will receive an email notifying them that the application has been returned.
20. Click the link in the email notification or login to the TA Set-Aside application. Click the My Assignments at the top and click on your application. Make any additional edits to the application based on the coordination with the District TA Set-Aside Coordinator. Add any additional information to the application that resulted from the meeting.
21. Click the Action (Workflow) drop down at the bottom of the screen, click Create Connects Proposal and click submit. This will generate a proposal for the project within the PennDOT Connects system.



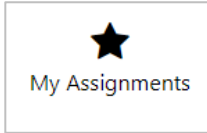
Assignments Users and Roles assigned to complete this task.

 Laura a. Montgomery

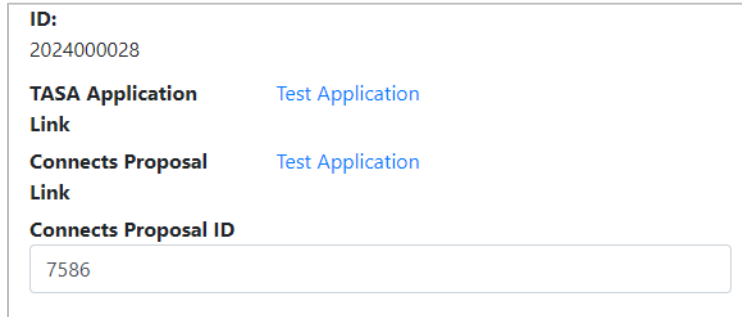
Action (Workflow) ⓘ

Create Connects Proposal  

22. Once the Connects Proposal is generated it will refresh to the main TA Set-Aside Application page. Click on My Assignments at the top and click on the application title.



The application will open. At the bottom of the screen there will be a blue link for the Connects Proposal. A Connects Proposal ID will also be generated.

A screenshot of a web application interface showing details for a Connects Proposal. It includes an ID field with the value 2024000028, a TASA Application Link labeled "Test Application", a Connects Proposal Link labeled "Test Application", and a Connects Proposal ID field with the value 7586.

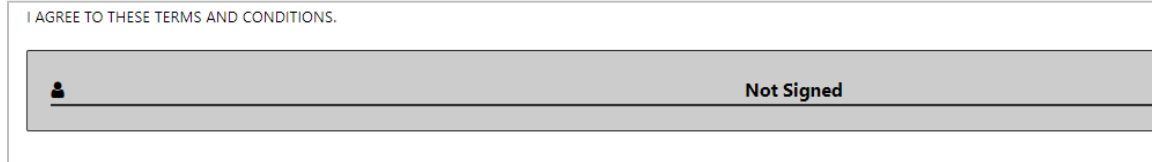
ID:
2024000028

TASA Application Link Test Application

Connects Proposal Link Test Application

Connects Proposal ID
7586

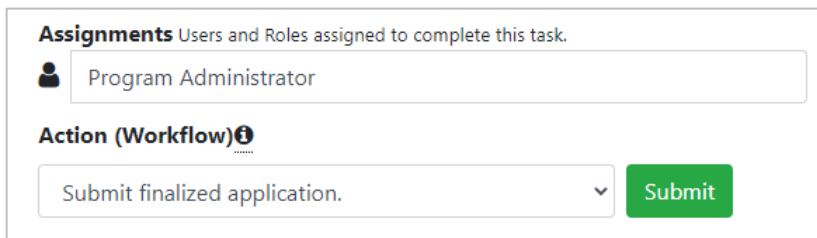
23. Once the application is finalized, read the terms and conditions, and click the gray signature block at the bottom of the application. Enter the email address and password that you use to log into the TA Set-Aside application system and click Sign Form. **The application cannot be modified once it is signed.**

A screenshot of a signature block. At the top, it says "I AGREE TO THESE TERMS AND CONDITIONS." Below this is a gray horizontal bar with a person icon on the left and the text "Not Signed" on the right.

I AGREE TO THESE TERMS AND CONDITIONS.

Not Signed

24. Submit final application. At the bottom of the page click the Assignments box. A separate box will open to add participant. Select the Program Administrator from the available list and click the > arrow. If your name is in the Selected box, select it and click the < arrow to remove it. Click save.
25. Under Action (Workflow) at the bottom of the screen select Submit finalized application from the drop down and click submit. This officially submits the application to PennDOT.

A screenshot of the "Assignments" and "Action (Workflow)" sections. The "Assignments" section shows "Users and Roles assigned to complete this task." with a list containing "Program Administrator". The "Action (Workflow)" section has a dropdown menu set to "Submit finalized application." and a green "Submit" button.

Assignments Users and Roles assigned to complete this task.

Program Administrator

Action (Workflow)

Submit finalized application. Submit

Appendix C

PennDOT Connects Project Initiation Form

MEETING INFORMATION

Meeting Date

Meeting Location

Attendees

LOCATION INFORMATION

Project Name

--

Location Description

--

Map



Counties

Municipalities

PROPOSAL INFORMATION

Proposal Purpose

--

Proposal Need

--

Proposal Scope

--

Project Length

Anticipated Construction Year

--	--

PAVEMENT INFORMATION

Existing Pavement Width: 0

Existing Bridge Width: 0

Existing Shoulder Width: 0

Proposed Pavement Width

--

Proposed Bridge Width

--

Proposed Shoulder Width

--

Existing ROW

--

Crash History

--

Proposed Traffic Control

--

PEDESTRIANS

Are there any pedestrian facilities or issues not mentioned in the scope of work that should be considered as part of this project? Some facilities will require a maintenance agreement before they are fully incorporated into the project, if warranted. An example would be a sidewalk maintenance agreement, where the responsibility of snow removal and future replacement is assumed by the municipality.

Pedestrian facilities WILL BE considered and maintenance obligations have been explained.

- Yes
- No

Applicable if Yes:

Shared roadway walk-able shoulder

Sidewalks

Crosswalks

Raised Crosswalks

Pedestrian Signalization

Multi-use trail

Additional element(s)

Applicable if No:

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.

Safe 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 Reason(s)

The Municipality is willing to execute sidewalk or other required maintenance agreement (if applicable).

- Yes
- No

Have pedestrian facilities or needs been addressed in any local planning document (i.e. local comprehensive plan, corridor study, bicycle/pedestrian plan, etc)? If so, please list name of plan and year completed:

Is municipality agreeable to contribute funds?

Additional Notes (include location of potential accommodations if applicable)

BICYCLISTS

Are there any other bicycle facilities or issues not mentioned in the scope of work that should be considered as part of this project? Some facilities will require a maintenance or other agreement before they are fully incorporated into the project if warranted. An example would be a Trail Crossing Agreement.

Bicycle facilities WILL BE considered and maintenance obligations have been explained.

- Yes
- No

Applicable if Yes:

- Multi-use trail
- Protected bike lane
- Striped bike lane (buffered or standard)
- Marked shoulder with supplemental pavement markings
- Share the Road Signage
- Additional element(s)

Applicable if No:

- Location is greater than .25 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 reason(s)

The Municipality is willing to execute required maintenance or other agreement (if applicable)

- Yes
- No

Have bicycle facilities or needs been addressed in any local planning document (i.e. local comprehensive plan, corridor study, bicycle/pedestrian plan, etc)? If so, please list name Of plan and year completed:

Additional Notes (include location of potential accomodations if applicable)

PUBLIC TRANSIT

Is the location served by public transit routes or services? Are there other transit needs not mentioned in the scope of work that should be considered as part of this project? These may include elements like improved bus stops, sidewalks or other pedestrianways providing safe access to stops and stations, transit curb extensions, bus pullouts that are long enough for efficient transit operations, signal schemes that accommodate transit preferentially, etc. Some facilities may require a maintenance agreement before they are fully incorporated into the project, if warranted.

Public transit improvements WILL BE considered and maintenance obligations have been explained.

- Yes
- No

Applicable if Yes:

- Improve bus stops
- Sidewalks or pedestrianways providing access to stops or stations
- Transit curb extensions or bus pullouts
- Other transit-preferential elements, including signal treatments
- Additional element(s)

Applicable if No:

- 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 reason(s)

The Municipality is willing to execute required maintenance or other agreement (if applicable)

- Yes
- No

Have public transit facilities or needs been addressed in any local planning document (i.e. local comprehensive plan, corridor study, bicycle/pedestrian plan, public transit plan, etc)? If so, please list name of plan and year completed:

Additional Notes (include location of potential accommodations if applicable)

CONGESTION

Is congestion an issue within or adjacent to the project limits? Is there congestion during certain times of day? Do vehicles have trouble making turns or getting through intersections? Is the roadway designated as an official detour route, or is it an important parallel facility to a major corridor? Are there connected traffic signals along this corridor, or are there any plans to enhance signal connectivity? Some facilities may require a maintenance or other agreement before they are fully incorporated into the project, if warranted.

Congestion improvements WILL BE considered and maintenance obligation have been explained.

- Yes
- No

Applicable if Yes:

Applicable if No:

Congestion is an issue at peak rush hours.

Congestion is currently not an issue within the project's limits of adjacent to its limits.

Vehicles have trouble making turns or getting through intersections.

No opportunities currently exist to improve traffic signal operations.

This roadway is designated as an official detour route, or is an important parallel facility to an arterial or transit corridor.

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)

Traffic signals on this roadway are connected, or enhancements to connectivity are being considered.

Additional reason(s)

Additional element(s)

The Municipality is willing to execute required maintenance or other agreement (if applicable)

- Yes
- No

Have congestion or ITS/TSMO needs been addressed in any local planning document (i.e. local comprehensive plan, corridor study, bicycle/pedestrian plan, public transit plan, etc)? If so, please list name of plan and year completed:

Additional Notes (include location of potential accommodations if applicable)

FREIGHT/ECONOMIC ACTIVITY/MANUFACTURING (Truck, Rail, Ports, Pipeline)

Are the project limits or adjacent area currently used by freight operators, are there any significant freight generating facilities, or are any new operations identified in any development or freight plans? Should any freight improvements be considered on a project, such as 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. Some facilities may require a maintenance or other agreement before they are fully incorporated into the project, if warranted.

Freight improvements WILL BE considered and maintenance obligations have been explained:

- Yes
- No

Applicable if Yes:

- 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 for freight operations on this transportation facility
- Additional element(s)

Applicable if No:

- 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 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 reason(s)

The Municipality is willing to execute required maintenance or other agreement (if applicable)

- Yes
- No

Have freight needs been addressed in any local planning document (i.e. local comprehensive plan, corridor study, freight management plan, economic development plan, etc)? If so, please list name of plan and year completed:

Additional Notes (include location of potential accommodations if applicable)

STORMWATER AND GREEN INFRASTRUCTURE

Is stormwater an issue within the project limits? 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. Some facilities may require a maintenance or other agreement before they are fully incorporated into the project, if warranted. A determination of appropriate stormwater elements will be made during project design.

Specific stormwater or green infrastructure improvements WILL BE considered and a determination on appropriate elements will be made during project design. The municipality would like the following element(s) considered:

- Yes
- No

Applicable if Yes:

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

- Rain garden

- Vegetation bio-retention areas

- Vegetated swales

- Vegetated Infiltration gardens

- Additional element(s)

Applicable if No:

- 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 reason(s)

The Municipality is willing to execute required maintenance or other agreement (if applicable)

- Yes
- No

Have stormwater or green infrastructure needs been addressed in any local planning document (i.e. local comprehensive plan, corridor study, stormwater management plan, etc)? If so, please list name of plan and year completed:

Additional Notes (include location of potential accommodations if applicable)

SAFETY

Are there any known safety issues or concerns?

Have transportation safety needs been addressed in any local planning document (i.e. local comprehensive plan, corridor study, bicycle/pedestrian plan, safety audit, etc)? If so, please list name of plan and year completed:

Additional Notes (include location of potential accommodations if applicable)

PUBLIC CONTROVERSY

Is there any anticipated substantial public controversy surrounding the project? 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 expected

- Yes
- No

Applicable if Yes:

- Likely residential and/or commercial displacements
- Long detour route/long construction time
- Business impacts
- Impacts to environmental, historic, or community resources
- Other:

Applicable if No:

- Construction impacts will be minimal
- No/minimal detour involved
- No/minimal displacements
- Additional Reason(s):

Additional Notes:

OTHER PLANNED INFRASTRUCTURE OR DEVELOPMENT

Are there Other known planned future infrastructure or development projects within or adjacent to the project limits that could impact the project or project schedule? Examples could include a planned water/sewer replacement project, a planned business or residential development, planned trail construction projects, etc.

Anticipated future infrastructure or develop

- Yes
- No

- Gas, Sewer or Water infrastructure replacement or installation.
- New Business/Industrial park development or expansion of existing park.
- New residential development or expansion of existing development.
- Other:

Additional Notes:

OTHER (Utility, Health, Community/Culture Events, etc.)

Are there any other issues to consider that have not already been discussed? Is there an opportunity to incorporate nearby utilities into the project or is there a need to move them to a new location? Could the project 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? Are there an known community/cultural events that may be impacted by construction (farmers markets, parades, festivals, fairs, etc)?

Other improvements considered

- Yes
- No

Applicable if Yes:

- Utility relocation
- Public health improvements
- Timing of Community/Cultural events will be considered during construction
- Additional element(s)

Applicable if No:

- Utilities are currently not an issue within the projects 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 Overa ll 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 or are impacted by the project and no known events are planned for the future

Additional reason(s)

Additional Notes (including locations/dates/contacts of cultural events if applicable):

ADDITIONAL DISCUSSION ITEMS

Please document any additional items discussed that are relevant to the project. Please also discuss the anticipated project delivery schedule/process and any additional outreach that may be expected.

SOURCES/REFERENCES

Are there any other individuals or organizations that should be contacted for additional information on any of the items that were discussed? Are there any plans or documentation not already already discussed that may be helpfull in gathering additional contextual information about the project area?

Sources/References:

Organizations/Individuals:

--	--

SUMMARY

Comments and Notes:

Follow-Up Items

Completed By

Reviewed By:

Form must be signed on website

Appendix D

TA Set-Aside Statewide Project Selection Criteria

General Criteria

Network connectivity Describe how the project will preserve, connect, or expand the active transportation network. Describe any statewide or regional significance. Does the project fill a significant active transportation gap? Is the project location identified or supported in a regional or local Bike and Pedestrian Plan? (5 points)

Consistency with land use, community context and planning Describe how the project fits into the local transportation, community, land use, and environmental context. Is the project consistent with and supportive of or recommended on local and regional plans and initiatives? To what degree has the MPO/RPO contributed to this project's planning? Is it listed on the region's Long Range Transportation Plan? (5 points)

Collaboration with stakeholders Describe how the project demonstrates regional or multi-municipal cooperation. Describe any public involvement in the project development process, including input from those along the project's proposed alignment. (5 points)

Leveraging of other projects or funds Beyond the funds for project design, describe how the project leverages funding from other sources, including federal agencies, state agencies, local governments, and/or community-based organizations. Could the project be combined or let with another? (5 points)

Cost estimating Describe how the cost estimate was prepared, including any templates, tools, or past bids that were used. Was the ECMS Bid Item History used (See [PennDOT Pub 352 - Estimating Manual](#) Chapter 6.4). Does the preparer have experience developing PennDOT project cost estimates? (5 points)

Project value Describe how the project cost and scope match the identified needs. What unique elements warrant this project's consideration for statewide TA Set-Aside funding? (5 points)

Economic impact Describe how the project promotes tourism or economic impact. (5 points)

Teachability Describe any best practices and related learning opportunities related to alternatives to motorized transportation, cost effectiveness, unique designs, and enhanced project delivery? (5 points)

Areas of Emphasis

Safety always and maybe safety only Describe how the project would mitigate a known safety need. Cite examples or reports. Is there a history of crashes or near misses involving pedestrians or cyclists? Does the project propose to improve a section deemed as a Hazardous Walking Route by PennDOT (See <https://pennshare.maps.arcgis.com/apps/webappviewer/index.html?id=6d6bea0d5ee347dea13>)

[90bc5c44a17c4](#))? Does the project address an issue identified through a Road Safety Audit (RSA)? (10 points)

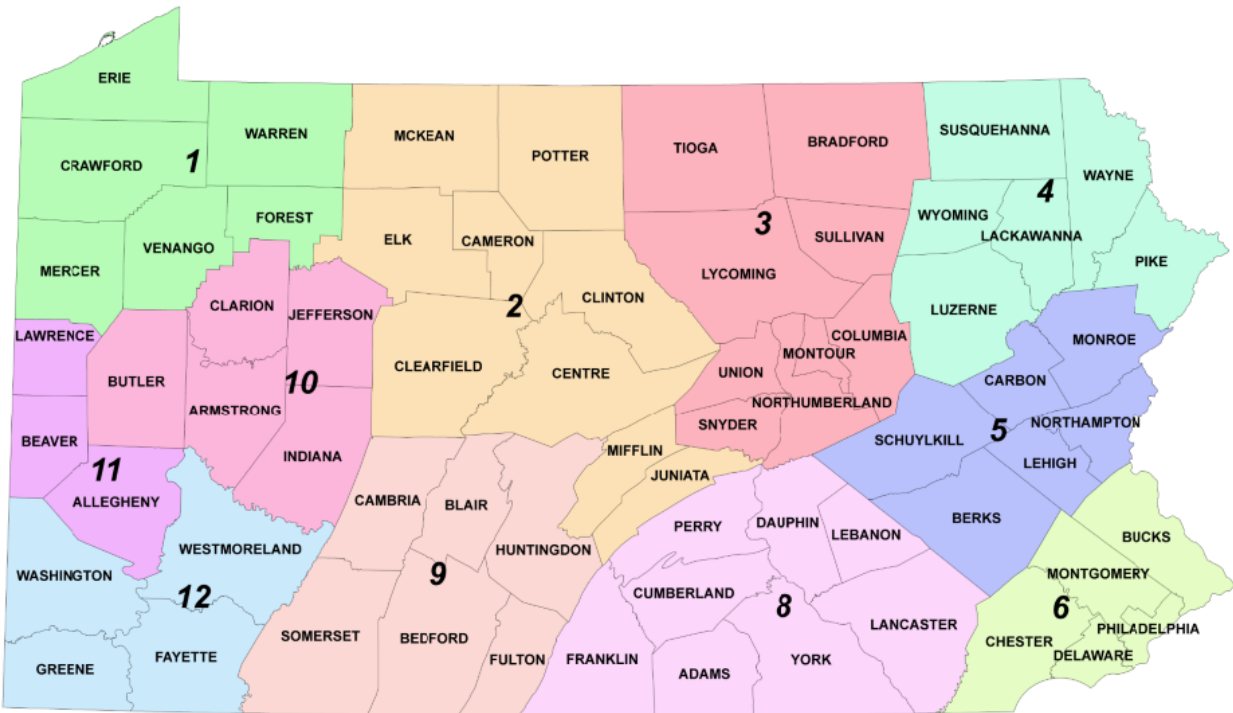
Project delivery Describe any demonstrated experience in timely delivery of PennDOT projects your organization or consultant possesses. Has a preliminary plan been prepared? If a design consultant has been selected, please note them. Does the project utilize existing ROW or will ROW be required during construction? Railroad or utility coordination required? (10 points)

PennDOT Connects environmental screening Based on the environmental screening, does the project have the potential to impact environmental, historical, or cultural resources? If so, what mitigation efforts or steps to protect resources identified in the environmental screening section are discussed in the comments? (10 points)

Environmental justice *Based on 2020 Census Data for each MPO/RPO* (See <https://pennshare.maps.arcgis.com/apps/View/index.html?appid=5d492f77b5e44f4f82de5b425a7f4568> or [PennDOT Pub 746 – Project Level Environmental Justice Guidance](#)). What percentage of the population in the block group where the project is located is minority? How will the project provide transportation benefits to minority populations in the immediate vicinity? (5) What percentage of the population in the block group where the project is located is low income? How will the provide transportation benefits to low-income populations in the immediate vicinity? (5) (10 points)

Appendix E

PennDOT Districts and TA Set-Aside Coordinators



District	Contact	Email	Phone
1	Lyndsie DeVito	ldevito@pa.gov	814-678-7174
2	Mark Schultz	markschult@pa.gov	814-765-0442
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	Nathan Walker	natwalker@pa.gov	717-783-0166
9	Chris Hull	chrhull@pa.gov	814-317-3060
10	Charles Keilman	chakeilman@pa.gov	724-357-2526
11	Rob Miskanic	rmiskanic@pa.gov	412-429-4822
12	Josh Theakston	jtheakston@pa.gov	724-437-3147

Planning Organization	Contact	Email	Phone	Website
Adams County MPO	Andy Merkel	amerkel@adamscounty.us	717-337-9824	https://www.gettysburgpa.gov/adams-county-transportation-planning-organization-actpo
Adam County MPO	Laura Neiderer	lnneiderer@adamscounty.us	717-337-9824	https://www.gettysburgpa.gov/adams-county-transportation-planning-organization-actpo
Altoona MPO	Wes Burket	wburket@blairplanning.org	814-693-2080	https://www.blairplanning.org/transportation-program
Centre County MPO	Trish Meek	tmeek@crcog.net	814-231-3050	https://www.crcog.net/ccmpo
DVRPC MPO	Ryan Gallagher	rgallagher@dvrpc.org	215-238-2881	https://www.dvrpc.org/tap/pa
DVRPC MPO	Joe Banks	jbanks@dvrpc.org	215-238-2898	https://www.dvrpc.org/tap/pa
Erie County MPO	Emily Aloiz	ealoiz@eriecountypa.gov	814-451-7325	https://eriecountypa.gov/departments/planning-and-community-development/programs/metropolitan-planning-organization/
Franklin County MPO	Gabrielle Ratliff	garatliff@co.franklin.pa.us	717-261-3855	https://franklincountypa.gov/index.php?section=planning_fcmpo
HATS MPO	Andrew Bomberger	abomberger@tcrpc-pa.org	717-234-2639	https://www.tcrpc-pa.org/hats/
Johnstown MPO	Chris Allison	callison@co.cambria.pa.us	814-472-2108	https://cambriaplanning.org/transportation-planning/
Lackawanna Luzerne MPO (Lackawanna County)	Steve Pitoniak	pitoniaks@lackawannacounty.org	570-963-6400	https://www.lltsmpo.com/

Planning Organization	Contact	Email	Phone	Website
Lackawanna Luzerne MPO (Luzerne County)	Christopher Chapman	christopher.chapman@luzernecounty.org	570-825-1564	https://www.lltsmpo.com/
Lancaster County MPO	Lauri Ahlskog	ahlskogl@co.lancaster.pa.us	717-299-8333	https://www.lancompo.org/
Lebanon County MPO	Jonathan Fitzkee	jfitzkee@lebcnty.org	717-228-4444	http://www.lebcounty.org/depts/Planning/Pages/MPO.aspx
Lehigh Valley MPO	Michael Hanes	mhanes@lvpc.org	610-264-4544	https://www.lvpc.org/transportation.html
NEPA MPO	Kate McMahon	kmcmahon@nepa-alliance.org	570-655-5581	http://nepa-alliance.org/transportation/nepa-metropolitan-planning-organization-mpo/
North Central PA RPO	Amy Kessler	amy@ncentral.com	814-773-3162	http://rpo.ncentral.com/
Northern Tier RPO	Brian Baker	baker@northerntier.org	570-265-9103	https://www.northerntier.org/
Northwest PA RPO	Travis Siegel	traviss@northwestpa.org	814-677-4800	https://www.northwestpa.org/transportation/
Reading MPO	Devon Hain	dhain@countyofberks.com	610-478-6300	https://www.co.berks.pa.us/Dept/Planning/Pages/Transportation_Links.aspx
Southern Alleghenies RPO	Brandon Peters	bpeters@sapdc.org	814-949-6543	https://sapdc.org/
SEDA-COG MPO	Steve Herman	sherman@seda-cog.org	570-524-4491	https://seda-cog.org/departments/transportation/seda-cog-metropolitan-planning-organization/

Planning Organization	Contact	Email	Phone	Website
Shenango Valley MPO	Matthew Stewart	mstewart@mcrpc.com	724-981-2412	https://mcrpc.com/shenango-valley-area-transportation-study-mpo/
Shenango Valley MPO	Brian Barnhizer	bbarnhizer@mcrpc.com	724-981-2412	https://mcrpc.com/shenango-valley-area-transportation-study-mpo/
SPC MPO	Ryan Gordon	rgordon@spcregion.org	412-391-5590	https://www.spcregion.org/
Wayne County	Chris Barrett	cbarrett@co.wayne.pa.us	570-253-5970	https://waynecountypa.gov/635/Planning-Commission
Williamsport MPO	Scott Williams	SWilliams@lyco.org	570-320-2138	http://www.lyco.org/WATS-MPO
York County MPO	Chris Caba	ccaba@ycpc.org	717-771-9870	https://www.ycpc.org/157/York-Area-Metropolitan-Planning-Organiza
York County MPO	Jeph Rebert	jrebert@ycpc.org	717-771-9870	https://www.ycpc.org/157/York-Area-Metropolitan-Planning-Organiza

Appendix G

TA Set-Aside Reimbursement Agreement Paragraph 17: 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) **Local Project Sponsor's Responsibilities.** The Local Project Sponsor shall operate and maintain, at its sole cost and expense, all 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 F 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 to Maintain.** Failure by the Local Project Sponsor to fulfill its maintenance responsibilities may result in the loss of future state and federal funds.

(c) **Transfer of Ownership and Maintenance Responsibilities.** 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) **Ordinances or Regulations.** 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) **Local Project Sponsor's Responsibilities.** 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 F attached to 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 to Maintain.** Failure by the Local Project Sponsor to fulfill its maintenance responsibilities may result in the loss of future state and federal funds.

(c) **Transfer of Ownership and Maintenance Responsibilities.** 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 LOCAL PROJECT SPONSOR'S ROAD OR RIGHT-OF-WAY

(a) **Local Project Sponsor's Responsibilities.** The Local Project Sponsor, at its sole cost and expense, shall operate and maintain all 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 G, which is attached to this Agreement, lists the minimum requirements that the Local Project Sponsor (referred to as the "Municipality" in this exhibit) must satisfy regarding the traffic engineering services to be provided as part of this maintenance program.

(b) **Methods of Operation and Maintenance.** 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) **Traffic Control Devices.** 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) **Statutes, Regulations or Ordinances.** 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 acknowledge 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) **Traffic Controls and Parking Regulations.** Upon completion of the Project improvements, the Local Project Sponsor shall continue to maintain and enforce within the Project limits existing traffic controls and parking regulations that need to remain in place; and it shall impose within the Project limits any required new traffic controls and parking regulations, subject to the approval of the Department where appropriate. The Local Project Sponsor shall adopt any resolutions or enact any ordinances necessary to accomplish the imposition, maintenance and enforcement of these controls and regulations.

(f) **Disqualification.** The Department may disqualify the Local Project 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) **Withholding Funds.** 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) **Reimbursement from Third Parties.** 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) **Ordinances or Regulations.** 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) **Responsibilities.** 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) **Ordinances or Regulations.** 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 regulations 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 H

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.