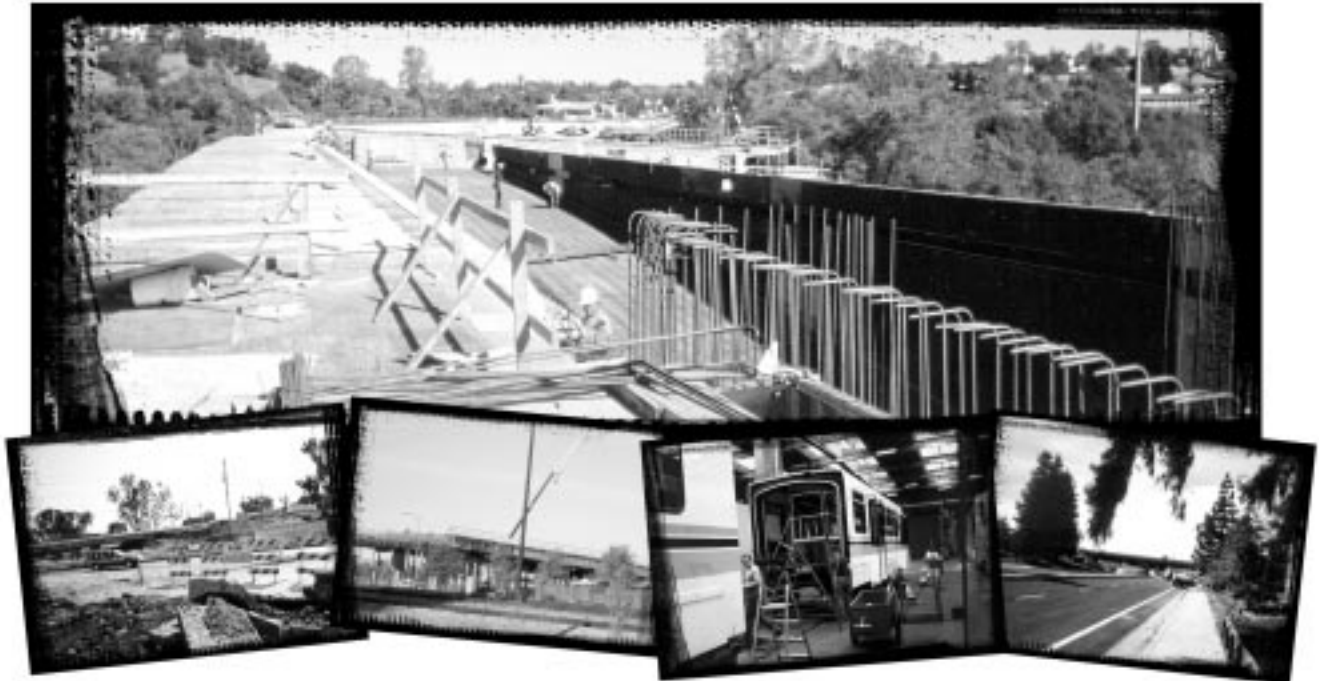


# Transportation Funding Handbook



July 1999



3000 S Street, Suite 300  
Sacramento, CA 95816

## ***Our Mission:***

***Delivering transportation projects, providing public information  
and serving as a dynamic forum for regional planning and  
collaboration in the greater Sacramento Metropolitan Area.***

The Sacramento Area Council of Governments (SACOG) is an association of local governments formed by four counties and fifteen cities. SACOG serves the entire Counties of Sacramento, Sutter, Yolo and Yuba and the Cities of Lincoln, Rocklin and Roseville in Placer County.

SACOG is governed by a Board of Directors composed of County Supervisors or City Councilpersons, appointed by the member jurisdictions. The Board is advised by several policy and technical committees. A full time staff is employed to implement Council policies and work programs as well as coordinate the efforts of consultants who are retained to augment the staff's efforts.

SACOG serves as an advisory agency to local government on matters of interjurisdictional concern, and has developed a comprehensive planning program in transportation and has been designated to fulfill mandates in airport land use planning, housing, air quality and water quality.

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**Please note:**

When viewing Tables One and Two on screen you may want to use the “zoom” feature within the Acrobat Reader.

If you are printing the document the tables need to be printed on 11 x 17 inch paper.

If you have any difficulty printing or viewing the document and you would like a hard copy mailed to you, please contact Jim Regan-Vienop, [jreganvienop@sacog.org](mailto:jreganvienop@sacog.org) or (916) 457-2264 .

Please provide your name and mailing address. A copy will be mailed to you free of charge.

# Transportation Funding Handbook

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# Chapter 1: Getting Started

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## ■ Purpose and Need for Handbook

Getting a transportation related project funded is a complex, often confusing, process. There are a myriad of funds available, including federal, state, and local sources. Projects often require multiple-year funding commitments, and relatively few are funded by a single revenue source. Most sources have their own eligibility and application processes. To move a project towards construction, project proponents and policy makers must shape comprehensive funding packages based on this puzzling array of programs and funds. Interested citizens often feel left out of the process of planning, especially the funding aspects of local transportation projects.

This handbook has been compiled to present important basic information about surface transportation funding processes in a simple, easily-accessible, visual way. That is, the emphasis is placed on providing information about funding sources for street, highway, transit, bike, and pedestrian type projects rather than airport or port projects.

## ■ Goal of Handbook

This handbook has three main objectives. The first is to help interested individuals, project proponents, transportation professionals, and decision makers quickly identify funding sources for which their project may be eligible. Second, this handbook aims to provide the user with important **basic** information about the who, what, when, and how of the funding program. Finally, the handbook provides the reader with important information on who to contact or where to go to find more specific information on a given funding program.

## ■ Using the Guide

Chapter 2 of this guide presents two reference tables which the reader can use to locate the type of project they are interested in promoting and quickly find funding sources which may fund those types of projects. Table 1 lists funding sources across the top of the page (column headings) with project types listed down the side of the page (rows). By scanning down the project column to the desired project type and then following the row across the columns the reader can quickly determine which funding sources could potentially fund a given type of project.

After noting which funds may be appropriate for a particular type of project, the reader can then use Table 2 to get some basic information about that funding source. Table 2 presents the same funding sources as Table 1. Those funding sources are listed down the first column. The remaining columns present basic information about the various funding sources. By finding the appropriate funding source and then reading across the columns, the reader will be presented with some of the basic goals, restrictions, and other pertinent data of the program. Information included in the columns includes data on which agencies/groups may be eligible for the funding, who decides which projects get funded, what transportation plans (if any) the project must be included in to be eligible for funding, federal/state matching funds requirements, and important calendar considerations. Finally, there is additional information pointing the reader to supplemental references and agencies which may be contacted for detailed program information.

Finally, in Chapter 3, there is a description of basic transportation funding and “programming.” This material is intended to help the reader understand the relationship between the transportation funding process and transportation planning processes, as well as figuring out how to get their project into the transportation funding system.

## Chapter 2: Finding a Funding Program

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Chapter 2 is intended to help the reader quickly identify potential funding sources for projects which need funding. However, the information presented in the Chapter 2 tables below is **not comprehensive**. The information in the Chapter 2 tables is **summarized** and intended to make finding common potential funding sources for your particular project easier.

### ■ Identifying Potential Funding Sources

Table 1 lists project categories and types along with many of the various funding programs. This matrix allows the reader to quickly identify those funding programs which may have a particular project type as an eligible activity. The reader, after finding a potential funding source in Table 1, will need to research more fully the goals and restrictions of that particular program before applying for funds.

There are many additional funding sources available which are not included in the two tables (see Appendix A for a listing of many of these other funding sources). Generally, the programs listed in Appendix A are small, limited in scope, or non/under-funded. Many of the funding programs listed in Appendix A do provide resources for projects related to transportation systems. They may not, however, fund infrastructure or transit needs, apply in the SACOG region, or have Congressional appropriations (e.g. many of the highway safety programs, the Appalachian Development Highway System, or the Light Density Rail Line Program). The reader should contact SACOG directly for more information about those programs.

In the tables, similar project types or programs are sometimes combined. While this may be confusing in some respects (Why can't I find a funding program I know is out there? Aren't maintenance and operations different activities?), it allows these tables to be more user friendly in other ways. In addition, there are important reasons to combine some of these items. First and foremost is the desire to keep this handbook short enough that it does not intimidate the lay reader. The goal is to provide sufficient information for the reader to find the right agencies and resources for looking up more specific information.

Many of the funding programs have similar, but divergent language in their eligibility requirements. Table 1 would be much larger, and probably less user-friendly if all possible project types were listed. Lumping has occurred where it seems to make some sense. For example, one set of guidelines might specify that the funding program can pay the cost of engineering work while another set of guidelines might specify design work as being eligible for funding. Engineering and design are often used interchangeably and it would be difficult to make distinctions in this "simplified" table. These categories therefore have been lumped together.

Similarly, both maintenance and operations have often been treated as on-going costs, with both ineligible for funding in many programs. In some cases, maintenance and operations have been lumped in Table 1 since the two activities are essentially indistinguishable in many

funding programs. Funding for transit systems however has changed with the Transportation Equity Act for the 21<sup>st</sup> Century. The act separated preventative maintenance and operations and made preventative maintenance an eligible activity in some programs.

Table 1 lists transit maintenance but not transit operations. Transit operations are mostly funded through a couple of major programs; State Transit Assistance, Local Transportation Funds, and passenger fares. Maintenance, on the other hand, is now eligible for funding through many other programs which is reflected in the table.

### ■ Program Information

Table 2 is meant to serve as a starting point for additional research. Program descriptions in Table 2 are abbreviated so that the information could be presented in an easy to use format. Not all restrictions and program objectives are listed which is why the “additional references” and “contacts” are included in the tables. Transportation funding, as noted earlier, is complex. A program that may appear on the surface to be an excellent potential source of funds for your project may turn out to have restrictions not listed in this handbook that make your project ineligible or unlikely to be funded.

Table 2 lists reference documents and contacts where more complete information may be found. Rather than provide a list of specific people in the agencies to contact the information is kept slightly more generic. Agencies and agency program offices, where known, are

listed. Fewer revisions will need to be made because agency personnel have changed. Changes to the handbook should come with changes in the major funding programs, with changes in guiding legislation, and/or additions or sunseting of major funding sources.

The last two columns of Table 2 provide the reader with data about where to turn for more detailed information than this handbook can provide about the programs. The “additional resources” listed are generally program specific guidelines—they generally provide extensive detail about how the programs work, what limitations are imposed, and what processes must be followed to get a project funded. The reader should read those guidelines and work with the appropriate agency personnel to fully understand the program requirements before applying for funds.

Please note that Table 1 does not include a listing of projects which could potentially be funded by local sources. Table 2, however, does have general descriptions of the common types of funding programs implemented at the local level. Table 1 omits the local project/funding source section because of the great variety of different funding sources local jurisdictions can use and the diverse limitations the different jurisdictions can impose on the use of those funds.

The Sacramento Transportation Authority, in cooperation with SACOG, is preparing a companion guide to this handbook which will be available later this year. This companion guide will describe specific transportation funding programs in Sacramento County.

**Table 1. Project Eligibility by Funding Source**

FEDERAL FUNDING SOURCES <sup>1</sup>		TEA21 - Primary Programs					TEA21 - Discretionary Programs							Federal Transit Act					
Project Category	Project Type	Regional Surface Transportation Program	Congestion Mitigation & Air Quality Improvement Program (CMAQ)	Transportation Enhancement Activities (TEA)	Emergency Relief	Highway Bridge Program	Access to Jobs & Reverse Commute Program	Transportation & Community & System Preservation Pilot Program	Hazard Elimination Safety Program	Public Lands Highways Fund	National Scenic Byways	Innovative Surface Transportation Financing Methods	Transportation Infrastructure Finance & Innovation (Loans)	Intelligent Transportation Systems	Section 5307 Urbanized Area Formula Grants	Section 5308 Clean Fuels Program	Section 5309 Capitol Investment Grants & Loans	Section 5310 Grants & Loans for Special Needs of Elderly Individuals with Disabilities	Section 5311 Formula Grants for Other than Urbanized Areas
Planning/Project Development	Engineering/Design	x	x	x	x	x			x	x	x	x	x	x	x				x
	Environmental Studies	x	x	x	x	x			x	x	x	x	x	x	x				x
	Planning Activities	x		x					x	x	x	x	x	x	x				x
Bicycle	Capital Improvements	x	x	x	x				x	x	x		x						
	Education/Training	x	x										x						
	Facilities Maintenance/Operation	x											x						
Pedestrian	Pedestrian Facilities (e.g. walkways, ADA)	x	x	x				x	x	x	x	x							
Bridge	Rehabilitation/ Repair/Restoration	x		x	x	x			x	x	x		x						
	Replacement	x			x	x			x	x	x		x						
	Seismic Retrofit	x				x			x	x			x						
Public Transit	Transit, Capital Improvement	x	x				x			x			x	x	x	x	x	x	x
	Transit, New Service	x	x				x						x			x			
	Transit, Oriented Design Projects	x	x					x					x						
	Transit, Maintenance/Operations <sup>2</sup>	x	x				x						x	x				x	x
	Transit, Rehabilitation	x	x				x						x		x	x	x	x	x
	Transit, Vehicles	x	x				x						x		x	x	x	x	x
	Transit, Enhancements	x	x	x				x					x		x				x
Fixed Guideway	Urban - Capital Improvement	x	x	x									x	x				x	x
	Urban - Maintenance/Operations <sup>2</sup>	x					x							x				x	x
	Urban - Vehicles	x	x				x						x					x	x
	Commuter - Capital Improvement	x	x				x						x	x					x
	Commuter - Maintenance/Operations <sup>2</sup>	x												x					x
	Commuter - Vehicles	x	x										x						x
	Intercity - Capital Improvement	x	x										x						x
	Intercity - Maintenance/Operations <sup>2</sup>	x												x					x
	Intercity - Vehicles	x	x										x						x
	Rail Rights-of-Way Acquisition	x	x	x									x		x				
Roads/ Highways	High Occupancy Vehicle/Toll Lanes	x	x									x	x	x					x
	Interchange, Construction	x											x						
	Interchange, Modification	x	x								x	x	x						
	Intersection Improvements	x	x					x	x	x		x	x						
	Landscaping	x		x									x						
	Rights-of-way Acquisition	x	x	x									x						
	Road Maintenance (local or highway)													x					
	Road, New Construction	x								x			x						
	Road, Rehabilitation/Reconstruction	x							x	x	x	x	x						
	Road, Widening	x							x	x	x	x	x						
	Signalization	x	x						x	x			x	x					
	Soundwalls	x											x						
	Traffic, Calming Measures	x	x						x	x			x						
	Traffic, Demand Management	x	x					x				x	x	x					
	Traffic, System Management	x	x						x	x			x	x					
Intelligent Transportation Systems	Capital Projects	x	x										x	x	x	x	x	x	x
	Maintenance/Operations	x	x										x	x					
Other	Energy Conservation (fuel)	x	x										x						
	Environmental Mitigation	x	x										x						
	Intermodal Freight Facilities	x	x										x						
	Rail, Crossings (e.g. Grade Separations)	x											x						
	Research/Studies													x					x
	Safety (highway, rail, transit, bike, pedestrian)	x		x									x			x			
	Transportation Enhancements	x		x									x						
Transportation Systems Operational Improvements	x	x										x	x						
<b>Projects Not Otherwise Listed (See Program Details)</b>	x	x	x	x	x	x	x		x	x	x	x	x	x	x				x

**Table 1. Project Eligibility by Funding Source**

STATE FUNDING SOURCES <sup>1</sup>		Public Transportation Account		State Highway Account					Other State Sources				
Project Category	Project Type	State Transit Assistance-Population Based (25%); Revenue Based (25%)	State Transit Programs-e.g. Intercity Rail and Feeder Bus Funds (50%)	State Transportation Improvement Program		Other Programs			Bicycle (lane) Transportation Account	Local Transportation Funds	Petroleum Violation Escrow Account	State Gas Tax Subvention (City & County Road Funds)	State Passenger Rail Bonds
				Regional Improvement Program	Interregional Improvement Program	Environmental Enhancement & Mitigation Program	State Highway Operations & Protection Program	State Transportation Enhancement Program					
Planning/Project Development	Engineering/Design	x	x	x	x	x	x	x	x	x	x	x	x
	Environmental Studies	x	x	x	x	x	x	x	x	x	x	x	x
	Planning Activities	x	x					x	x		x		
Bicycle	Capital Improvements		x	x	x	x		x	x		x		x
	Education/Training		x					x	x				
	Facilities Maintenance/Operation		x			x		x	x		x		
Pedestrian	Pedestrian Facilities (e.g. walkways, ADA)		x	x		x			x		x		
Bridge	Rehabilitation/ Repair/Restoration			x	x			x	x		x		
	Replacement			x	x			x	x		x		
	Seismic Retrofit							x	x		x		
Public Transit	Transit, Capital Improvement	x	x	x	x				x	x	x		
	Transit, New Service	x							x		x		
	Transit, Oriented Design Projects	x							x				
	Transit, Maintenance/Operation <sup>2</sup>	x	x						x				
	Transit, Rehabilitation	x	x	x				x	x		x		
	Transit, Vehicles	x		x					x		x		
	Transit, Enhancements	x		x					x				
Fixed Guideway	Urban - Capital Improvement	x	x	x					x	x	x	x	x
	Urban - Maintenance/Operations <sup>2</sup>	x	x						x				
	Urban - Vehicles	x	x	x					x		x		
	Commuter - Capital Improvement		x	x	x				x	x	x	x	x
	Commuter - Maintenance/Operations <sup>2</sup>		x						x				
	Commuter - Vehicles		x	x	x				x		x		
	Intercity - Capital Improvement		x	x	x				x	x			x
	Intercity - Maintenance/Operations <sup>2</sup>		x						x				
	Intercity - Vehicles		x						x				
	Rail Right-of-Way Acquisition	x	x		x				x			x	
Roads/ Highways	High Occupancy Vehicle/Toll Lanes			x	x						x	x	
	Interchange, Construction			x	x					x		x	
	Interchange, Modification			x	x			x	x		x		
	Intersection Improvements			x	x			x	x		x		
	Landscaping			x	x	x		x	x		x		
	Rights-of-way Acquisition			x	x			x	x		x		
	Road Maintenance (local or highway)								x		x		
	Road, New Construction			x	x				x		x		
	Road, Rehabilitation/Reconstruction			x	x			x	x		x		
	Road, Widening			x	x				x		x		
	Signalization			x					x		x		
	Soundwalls			x	x				x		x		
	Traffic, Calming Measures			x					x		x		
	Traffic, Demand Management			x					x		x		
	Traffic, System Management			x					x		x		
	Intelligent Transportation Systems	Capital Projects			x	x						x	
Maintenance/Operations											x		
Other	Energy Conservation (fuel)								x		x		
	Environmental Mitigation			x	x	x			x		x		
	Intermodal Freight Facilities			x					x				
	Rail, Crossings (e.g. Grade Separations)	x	x	x	x				x				
	Research/Studies										x		
	Safety (highway, rail, transit, bike, pedestrian)		x					x	x			x	
	Transportation Enhancements			x					x				
	Transportation Systems Operational Improvements			x	x				x			x	
<b>Projects Not Otherwise Listed (See Program Details)</b>	x	x	x	x	x			x	x	x	x		

Notes: <sup>1</sup> Each of the listed programs has specific goals and objectives. The reader needs to be aware of the restrictions imposed as part of achieving those goals. There is no guarantee that a mark in one of the columns means a given type of project will receive funding from a particular program. Many of these projects may only be conditionally or partially eligible for funding under these programs. Every effort has been made to ensure the accuracy of this table; however, there may be projects which are eligible for funding in a given program for which no mark has been included in the appropriate column of this table. Such unintentional omissions will be fixed in subsequent drafts as they are discovered. Table 2 summarizes the program goals, which will help the reader identify some of the likely restrictions or limitations on the program. It also gives supplemental, basic information and then points the reader to additional, primary resources where program details, including specific restrictions and limitations, can be found. <sup>2</sup> Transit and rail operations are eligible activities in the State Transit Assistance and Local Transportation Funds, as are transit operations in the Access to Jobs Programs. Marks otherwise refer to maintenance being the eligible activity.

**Table 2. Program Information**

<b>FEDERAL FUNDING PROGRAMS</b>	<b>Approximate Annual Funding Level<sup>1</sup></b>	<b>Program Summary</b>	<b>Who Can Claim the Money</b>	<b>Who Decides Which Projects Get Funded?</b>	<b>Maximum Federal Share</b>	<b>Applicable Programming Documents</b>	<b>Important Calendar Considerations</b>	<b>Who to Contact for Additional</b>	<b>Additional References</b>
Regional Surface Transportation Program (RSTP)	In SACOG region \$22M	The Surface Transportation Program provides flexible funding that may be used by States and localities for projects on any Federal-aid highway, including the National Highway System, bridge projects on any public road, transit capital projects, and intracity and intercity bus terminals and facilities – essentially all but local roads in urban areas. A portion of funds reserved for rural areas may be spent on rural minor collectors. Activities eligible under the CMAQ and TEA programs (see below) are also eligible.	Cities, counties, and other local governments; transit operators; Caltrans; federal agencies	SACOG; local governments	88.53%	Must be derived from the Metropolitan Transportation Plan (MTP), is included in a Metropolitan Transportation Improvement Program (MTIP)	Phase II expected in Fiscal Year 2000/2001	SACOG for RSTP and County Transportation Advisory Committees	FHWA Discretionary Programs, Program Information Guidance Sheets; SACOG's Instructions for Applications
Congestion Mitigation and Air Quality Improvement Program (CMAQ)	In SACOG region \$23M	The primary purpose of the Congestion Mitigation and Air Quality Improvement Program is to fund projects and programs which reduce transportation related emissions in air quality nonattainment and maintenance areas.	Cities, counties, and other local governments; transit operators; Caltrans	SACOG; local governments and agencies	88.53%	Federal Transportation Improvement Program; MTIP/FSTIP	Phase II expected in Fiscal Year 2000/2001	SACOG and County Transportation Advisory Committees	FHWA Discretionary Programs, Program Information Guidance Sheets; SACOG's Instructions for Applicants
Transportation Enhancement Activities (TEA)	In SACOG region \$3M	Transportation Enhancements are transportation-related activities that are designed to strengthen the cultural, aesthetic, and environmental aspects of the Nation's intermodal transportation system. The transportation enhancements program provides for the implementation of a variety of transportation and must be above and beyond normal project requirements.	Cities, counties, and other local governments; transit operators; Caltrans; or be sponsored by one of the	SACOG and County Congestion Management Agencies (CTC for statewide projects)	88.53%	RTIP; MTIP/FSTIP	Phase II expected in Fiscal Year 2000/2001	SACOG and County Transportation Advisory Committees (CTC for statewide projects)	FHWA's TEA-21 Key Information; Caltrans' TEA Program Guidelines for statewide projects; SACOG application background packet
Emergency Relief	Discretionary, normally \$100M/state programmed as placeholder	The Emergency Relief program provides funds for the repair or reconstruction of Federal-aid highways and roads which have suffered serious damage as a result of natural disasters or catastrophic failures from an external cause.	Cities, counties, and other local governments; Caltrans	President, Governor, Caltrans, FHWA, Local agencies	80 to 100%	Depends on a Federal declaration as a disaster area	Annual funding	Caltrans - District 3; Office of Local Assistance	Caltrans' Local Assistance Program Guidelines: Chapter 11
Highway Bridge Program	In SACOG region \$12M	The Highway Bridge Program provides funds to assist the States in their programs to replace or rehabilitate deficient highway bridges and to seismic retrofit bridges located on any public road.	Cities, counties, and other local governments; Caltrans; or be sponsored by one of above	Caltrans	88.53%	MTIP/FSTIP	Annual solicitations accepted by Caltrans	Caltrans - District 3; Office of Local Assistance	Caltrans' Local Assistance Program Guidelines: Chapter 6
Access to Jobs and Reverse Commute Programs	Discretionary, varies annually - \$150M	The Access to Jobs Program provides competitive grants to local governments and non-profit organizations to develop transportation services to connect welfare recipients and low-income persons to employment and support services. A Reverse Commute project relates to the development of transportation services designed to transport residents of urban areas, urbanized areas, and areas other than urbanized areas to suburban employment opportunities.	Cities, counties, and other local governments; metropolitan planning organizations; transit operators; and non-profit organizations	FTA	50%	MTIP/FSTIP	Annual grant process; Applications due August/September	Federal Transit Administration; Caltrans; SACOG	Caltrans application; FTA Federal Register Notice of 11/6/98
Transportation and Community and System Preservation Pilot Program	Discretionary, varies annually - \$25M authorized for nationally competitive program	The Transportation and Community and System Preservation Pilot Program provides funding for a comprehensive initiative including planning grants, implementation grants, and research to investigate and address the relationships between transportation and community and system preservation and to identify private sector-based initiatives.	State and local governments; and agencies; metropolitan planning organizations	U.S. Department of Transportation; FHWA	100%	MTIP/FSTIP	Annual grant process; Applications due to FHWA by June/July	FHWA - Division Office, Federal Transit Administration, US Environmental Protection Agency	FHWA Application Instructions; FHWA Discretionary Programs, Program Information Guidance Sheets
Public Lands Highways Fund	Statewide \$6M	The Public Lands Highways Program provides funding for a coordinated program of public roads and transit facilities serving Federal and Indian lands. Allows Public Lands Highways Funds and/or appropriated Federal land management agency funds to be used for State/local share for Federal-Aid Highway funded projects (Interstate Maintenance, National Highway System, Surface Transportation Program, Congestion Mitigation and Air Quality Improvement Program).	Local governments; Caltrans; select federal agencies	Caltrans, FHWA, USDA Forest Service, local agencies	100%	MTIP and FSTIP	Annual funding cycle - applications due in May to Caltrans	Caltrans, USDA Forest Service	Caltrans' Local Assistance Program Guidelines: Chapter 12; FHWA Discretionary Programs,
National Scenic Byways	Discretionary, varies annually - \$24M authorized for nationally competitive program	The National Scenic Byways Program provides for the designation by the Secretary of Transportation of roads that have outstanding scenic, historic, cultural, natural, recreational, and archaeological qualities as All-American Roads or National Scenic Byways. The program also provides discretionary grants for scenic byway projects on an All-American Roads, a National Scenic Byway, or a State-designated scenic byway and for planning, designing, and developing State scenic byway programs.	Local governments through the State	FHWA	80% (May be up to 100% if a federal agency, such as the USDA Forest Service contributes)	MTIP/FSTIP	Annual funding cycle-FHWA solicits project applications in Feb/March	FHWA, California Division	FHWA Discretionary Programs, Program Information Guidance Sheets; TEA21 legislative language: Section 1219
Innovative Surface Transportation Financing Methods— Value Pricing Pilot Program and Interstate System Reconstruction and Rehabilitation Pilot Program	Discretionary, varies annually - \$11M authorized for nationally competitive program	The objective of the Value Pricing program is to encourage implementation and evaluation of Value Pricing pilot projects in order to promote economic efficiency in the use of highways and support congestion reduction, air quality, energy conservation, and transit productivity goals. The Interstate System Reconstruction and Rehabilitation Pilot Program allows the Secretary of Transportation to select three different states for testing of a pilot program whereby tolls may be collected on the interstate system.	State, regional, and local governments; public tolling authorities	U.S. Department of Transportation; FHWA	88.53%	MTIP/FSTIP	Pilot programs; contact FHWA for application procedures and deadlines	FHWA	FHWA Discretionary Programs, Program Information Guidance Sheets

**Table 2. Program Information**

<b>FEDERAL FUNDING PROGRAMS (CONT)</b>	<b>Approximate Annual Funding Level<sup>1</sup></b>	<b>Program Summary</b>	<b>Who Can Claim the Money</b>	<b>Who Decides Which Projects Get Funded?</b>	<b>Maximum Federal Share</b>	<b>Applicable Programming Documents</b>	<b>Important Calendar Considerations</b>	<b>Who to Contact for Additional</b>	<b>Additional References</b>
Transportation Infrastructure Finance and Innovation (Loans and Lines of Credit)	\$80M authorized nationally	The Transportation Infrastructure Finance and Innovation Act of 1998 (TIFIA) provides Federal credit assistance to major transportation investments of critical national importance, such as intermodal facilities, expansion of multi-State highway trade corridors, and other investments with regional and national benefits. Program can be used for any Surface Transportation Program eligible projects. The TIFIA credit program is designed to fill market gaps and leverage substantial private co-investment by providing supplemental and subordinate capital.	State and local governments	FHWA, FTA, Federal Rail Administration	33% total project cost	MTIP/FSTIP	Annual application process	FHWA	FHWA Discretionary Programs, Program Information Guidance Sheets
Hazard Elimination Safety Program	Discretionary, varies annually - \$0.3M in SACOG region	The Hazard Elimination Program provides Federal funds for highway safety improvement projects on all Federal-aid systems. The Transportation Equity Act for the 21st Century amended the Hazard Elimination Program to allow States to survey and correct hazards to motorists, bicyclists and pedestrians.	Cities, counties, and other local governments	Caltrans	Maximum project cost is \$500,000. Federal share can be 90% for standard safety projects (STP reimbursement rate) although some safety projects may be 100% reimbursable.	Hazard Elimination Safety Program of projects; MTIP/FSTIP	HES program of projects on 3 year cycle; updated annually	Caltrans - District 3; Office of Local Assistance	Caltrans' Local Assistance Program Guidelines: Chapter 9
Intelligent Transportation Systems	Discretionary, varies annually - \$215M authorized for nationally competitive programs	The Intelligent Transportation Systems (ITS) program provides for the research, development, and operational testing of ITS aimed at solving congestion and safety problems, improving operating efficiencies in transit and commercial vehicles, and reducing the environmental impact of growing travel demand. Proven technologies that are technically feasible and highly cost effective will be deployed nationwide as a component of the surface transportation systems of the United States.	Universities; local governments	U.S. Department of Transportation; ITS America Federal Advisory Committee	80 to 100%	air quality State Implementation Plans; MTIP/FSTIP	Annual funding cycle - FHWA solicits project applications in April/May	FHWA	FHWA Discretionary Programs, Program Information Guidance Sheets
Section 5307 - Urbanized Area Formula Grants	In SACOG region \$12M	The Urbanized Area Formula Grants Program provides transit capital and operating assistance to urbanized areas with populations of more than 50,000.	Public transit operators.	Sacramento Regional Transit District; Caltrans for areas	80%, unless for vehicle related equipment needed to comply with ADA or Clean Air Act Amendments (90%)	MTIP/FSTIP	Annual funding cycle of formula grants	Transit operators; Caltrans - District 3; SACOG	FTA Circular 9030.1C
Section 5308 - Clean Fuels Program	In SACOG region \$0.5M	To assist transit operators in the purchase of low-emissions buses and related equipment, construction of alternative-fuel fueling facilities, modification of garage facilities to accommodate clean-fuel vehicles, and assist in the utilization of alternative fuels.	Public transit operators.	FTA	80%	MTIP/FSTIP	Annual funding cycle of formula grants	FTA - Region IX	FTA Circular 9300.1A; FHWA's TEA-21 Key Information
Section 5309 - Capital Investment Grants and Loans for Fixed Guideway Modernization Projects, Buses, and New Transit Starts	In SACOG region \$27M	The renamed Capital Investment Grants and Loans Program (formerly Discretionary Grants) will continue providing transit capital assistance for new fixed guideway systems and extensions to existing fixed guideway systems (New Starts), fixed guideway modernization, and bus related facilities.	Public transit operators.	Congress, Sacramento Regional Transit District	80%, unless for vehicle related equipment needed to comply with ADA or Clean Air Act Amendments (90%)	MTIP/STIP/SIP	Annual funding	Transit operators; SACOG; FTA	FTA Circular 9300.1
Section 5310 - Grants and Loans for Special Needs of Elderly Individuals and Individuals with Disabilities	In SACOG region \$0.5M	The Formula Grants for Special Needs of Elderly Individuals and Individuals with Disabilities provides transit capital assistance, through the States, to organizations that provide specialized transportation services to elderly persons and to persons with disabilities.	Nonprofit agencies, approved	CTC, SACOG	80%, unless for vehicle related equipment needed to comply with ADA or Clean Air Act Amendments (90%)	MTP/FSTIP	Annual grant process	FTA; SACOG	FTA Circular 9070.1E
Section 5311 - Formula Grants for Other than Urbanized Areas	In SACOG region \$0.5M	Formula Grants for Other than Urbanized Areas provides transit capital and operating assistance, through the States, to nonurbanized areas (less than 50,000 in population).	Cities, counties, and other local governments; American Indian tribes; nonprofit agencies.	SACOG	80%, unless for vehicle related equipment needed to comply with ADA or Clean Air Act Amendments (90%)	Estimated Program of Projects; MTIP/FSTIP	Annual funding	FTA; SACOG	FTA Circular 9040.1E

**Table 2. Program Information**

STATE FUNDING PROGRAMS	Approximate Annual Funding Level <sup>1</sup>	Program Summary	Who Can Claim Money	Who Decides Which Projects Get Funded?	Applicable Programming Documents	Important Calendar Considerations	Who to Contact for Additional Information	Additional References
Regional Improvement Program	In SACOG region \$37M	A program to fund regional capital improvement projects. Of the State Transportation Improvement Program, 75% of the funds come to the regional improvement program with regional agencies choosing the projects. SACOG nominates projects for funding to the California Transportation Commission in their Regional Improvement Program.	Cities and counties; transit operators; Caltrans	SACOG, county transportation advisory committees	Must be included in a project study report, major investment study, or equivalent; RTIP/STIP/MTIP/FSTIP	STIP 4 year programming document. Updates on 2 year cycle	SACOG	CTC's 1999 STIP guidelines; Caltrans' <i>Procedures for Administering Local Grant Projects in the STIP</i> ; SACOG application back-ground packet
Interregional Improvement Program (IIP)	In SACOG region \$37M	Program promotes projects that facilitate the interregional movement of people and goods. Must be consistent with the Regional Improvement Program. Of the State Transportation Improvement Program, 25% comes to the Interregional Improvement Program (IIP). The IIP has two main components: at least 15% of the funds must go for intercity rail improvements and highway projects outside urbanized areas, with at least 2.25% of these funds (15% of the 15%) used for intercity rail projects. The remaining 10% in the IIP is for intercity rail and interregional road projects anywhere in the state, including urbanized areas. Caltrans nominates projects for funding to the California Transportation Commission in their Interregional Improvement Program.	Caltrans (RTPAs can suggest projects)	Caltrans; CTC	Must be included in a project study report, major investment study, or equivalent; ITIP/MTIP/FSTIP	STIP 4 year programming document. Updates on 2 year cycle	Caltrans - District 3	CTC's 1999 STIP guidelines
State Transportation Enhancement Activities	Statewide \$7M for Caltrans to allocate, \$8.5M for Resources Agency to allocate	Transportation Enhancements are transportation-related activities that are designed to strengthen the cultural, aesthetic, and environmental aspects of the Nation's intermodal transportation system. The transportation enhancements program provides for the implementation of a variety of non-traditional projects. Projects must be directly linked to surface transportation and must be above and beyond normal project requirements.	Cities, counties, and local agencies; transit operators; Caltrans	Caltrans, Resources Agency	MTIP/FSTIP	Caltrans on biennial SHOPP programming cycle (see below), applications due in March; Resources Agency using different process	SACOG; Caltrans-District 3	Caltrans' <i>Transportation Enhancement Activities Guidelines for the Caltrans Share</i>
State Transit Assistance	In SACOG region \$3.3M	Under the Public Transportation Account (PTA), this fund assists cities and counties pay for mass transit. The population portion of the Public Transportation Account makes up 25% of the available funds and is distributed based on the relative share of the statewide population. The revenue portion of the PTA is based on the local transit agency's fare collections and accounts for an additional 25% of the PTA.	Transit operators	RTPAs and transit operators	MTIP/FSTIP	Annual appropriation from the State Legislature with SACOG approving apportionment findings	SACOG	Caltrans' <i>Transportation Development Act, Statutes and California Codes of Regulations</i> , 1999 edition
State Transit Programs - Intercity Rail and Feeder Bus Funds	Varies annually depending on Gas Tax spillovers into Public Transportation	The remainder of the Public Transportation Account (PTA) funds available (50%) are apportioned to Caltrans to assist statewide mass transportation objectives. Intercity rail operating funds are programmed in the State budget process. Capital funding is part of Caltrans' Interregional Improvement Program in the State Transportation Improvement Program process.	Transit operators operators	Caltrans and transit	MTIP/FSTIP process; STIP 4 year	Governor's budget yearly operators	Caltrans; transit	Caltrans' <i>Statutes Related to Programming and Funding of Projects-SB 45 edition; and Transportation Funding in California</i> , 1999 edition
Local Transportation Fund	In SACOG region \$49M	The Transit Development Act provides for a 1/4 cent portion of the state retail sales tax to be apportioned back to each county of origin for use in fulfilling public transit capital and operating needs which are reasonable to meet." If there are unmet transit needs requiring funding, the money must be spent meeting those needs. If there are no unmet needs the funds may be used for other transportation needs.	Cities, counties, and other local governments	SACOG	N/A	Annual funding cycle	SACOG	Caltrans' <i>Transportation Development Act, Statutes and California Codes of Regulations</i> , 1999 edition
Environmental Enhancement and Mitigation Program	Statewide \$10M; Resource Agency grants generally limited to \$0.35M	The program promotes environmental enhancement and mitigation projects which are directly or indirectly related to the environmental impact of modifying existing transportation facilities, or for the design, construction or expansion of new transportation facilities. The project must be over and above the required mitigation for the related transportation facility. There are three general areas of eligibility; highway landscape and urban forestry, resource lands, and roadside recreation.	Local, state, and federal agencies; nonprofit organizations	California State Resources Agency and CTC	CTC review of Resource Agency list and approval of annual program	Annual funding cycle, Legislative sunset in FY 2000/2001	Caltrans - District 3; Office of Local Assistance; State Resources Agency	Caltrans' Local Assistance Program Guidelines; Chapter 20; CTC Resolution G-98-28
State Highway Operations and Protection	In SACOG region \$23M	Includes projects designed to maintain the safety and integrity of the state highway system. Most of the projects are for pavement rehabilitation, bridge rehabilitation, and traffic safety improvements. Other projects may include such things as operational improvements (e.g. traffic signalization) and roadside rest areas. It does not include projects to add through lanes to increase capacity.	Caltrans	Caltrans, CTC	SHOPP programming document	The SHOPP is a 4-year biennial document prepared by Caltrans. It is prepared concurrently with the STIP. It is due no later than January 31 of even-numbered years.	Caltrans - District 3	Caltrans' Project Procedures Planning Manual; Chapter 4
State Gas Tax Subvention (City and County Road Fund)	In SACOG region \$48M	The State directly grants a portion of the state fuel tax to cities and counties for construction, improvement, and/or maintenance of public streets and roads. Has two components, competitive and non-competitive grants.	Cities, counties, and other local governments	Cities, counties, and other local governments	N/A	Annual funding cycle	State Controller's Office - Local Government	CA State Controller's Office - Guidelines Relating to GasTax Expenditures

**Table 2. Program Information**

STATE FUNDING PROGRAMS (CONT)	Approximate Annual Funding Level <sup>1</sup>	Program Summary	Who Can Claim Money	Who Decides Which Projects Get Funded?	Applicable Programming Documents	Important Calendar Considerations	Who to Contact for Additional Information	Additional References
State Passenger Rail Bonds bond measure(s)	All funds already programmed Improvement Program	Funds to construct intercity, commuter, and urban rail transit projects. and must be used by July 1, 2000.	Transit operators;	Funds earmarked in bond measure(s)	State Transportation Improvement Program	All funds already programmed and must be used by July 1, 2000. If not used they <b>MIGHT</b> become available.	SACOG, Caltrans-District 3; Office of Local Assistance	California Streets and Highways Code Section 2701.05-2701.08
Petroleum Violation Escrow Account	Varies, depends on California	Court ordered refunds to the State for price overcharges on crude oil and refined petroleum products during a period of price control regulations. Projects must save or reduce energy, they must provide restitution to the public within a reasonable time, and must supplement, not supplant, those funds already available for the proposed project.	Cities and counties; Caltrans; transit operators	California Legislature	N/A	Annual funding	Caltrans - District 3; Office of Local Assistance	Caltrans' Local Assistance Program Guidelines: Chapter 22
Bicycle Transportation Account	Statewide \$1M	The Bicycle Transportation Account funds city and county projects that improve safety and convenience for bicycle commuters.	Cities and counties with approved bicycle plans	Caltrans	Bicycle Transportation Plan	Annual funding cycle - applications due Oct - Dec	Caltrans - District 3; Office of Local Assistance	Caltrans' Local Assistance Program Guidelines: Chapter 21

**Table 2. Program Information**

LOCAL FUNDING PROGRAMS	Approximate Annual Funding Level in SACOG Region	Program Summary	Who Can Claim the Money	Who Decides Which Projects Get Funded?	Applicable Programming Documents	Important Calendar Considerations	Who to Contact for Additional Information	Additional References
Development Fees	Varies by jurisdiction	A fee imposed by a local jurisdiction on new residential, commercial, and industrial construction and on reconstruction which adds square footage. Development fee revenues help fund roadway and transit capital improvements necessitated by the development of property. They cannot be used for roadway and transit maintenance and operating expenses. These fees may be charged concurrently with other impact assessment fees.	Cities and Counties	Cities and Counties	Varies by Jurisdiction		City and County Public Works Departments	Varies by Jurisdiction
Special Financing Districts		Financing districts are created in order to assess affected property owners for the cost of public improvements which will benefit their properties. The districts are primarily located in designated urban expansion areas. Individual property assessments are based on zoning designation and acreage. Much of the revenue may be held in reserve until sufficient development occurs to justify implementation of the planned improvements.	Cities and Counties	Cities and Counties			City and County Public Works Departments	
Community Service Areas		Community service areas can provide funding for installation, operation, and maintenance of street and safety lighting in urbanized portions of the unincorporated area. Revenues are collected each year from a surcharge on utility billings.	Cities and Counties	Cities and Counties			City and County Public Works Departments	
Local Sales Taxes		Local jurisdictions pass sales tax measures to fund specific programs such as transportation infrastructure. For example, in 1988, Sacramento County voters approved Measure A, a 1/2-cent Countywide increment to the statewide retail sales tax to fund local transportation and air quality improvements. Measure A created the Sacramento Transportation Authority which administers the transportation improvement program. The sales tax proceeds are allocated to specific projects proposed by local jurisdictions each year according to the formula set forth in the Measure A Transportation Expenditure Agreement.	Cities and Counties	Cities and Counties			Sacramento Transportation Authority	
Transit Passenger Fares		Passenger fares are used to partially offset the cost of transit operations. Operating costs are also partially funded through other Federal and State funding programs.	Transit Operators	Transit Operators			Transit Operators	
DMV Surcharges		Various local and regional programs are funded through surcharges on motor vehicle registrations at the DMV. The Sacramento Abandoned Vehicle Service Authority provides funding to local jurisdictions for the abatement of abandoned vehicles on public and private property. Many motorists also pay a vehicle registration surcharge to the Capitol Valley Regional Service Authority for Freeways and Expressways (SAFE) for implementation and operation of safety call boxes on state highways. Similarly, vehicle surcharge revenues are used to fund efforts to enhance the use of clean motor fuels and reduce vehicle mileage. A portion of those funds are provided to fleet operators for the purchase, conversion, or operation of low-emission vehicles.	Cities, Counties, Air Quality Management Districts, Special Authorities, private companies, individual, and organizations	Cities, Counties, Air Quality Management Districts, Special Authorities			Air Quality Management Districts; SACOG; Sacramento Transportation Authority	

**Abbreviations:**

ADA = Americans With Disabilities Act

CMAQ = Congestion Mitigation and Air Quality Improvement Program

CTC = California Transportation Commission

FHWA = Federal Highway Administration

FSTIP = Federal Statewide Transportation Improvement Program

FTA = Federal Transit Authority

IIP = Interregional Improvement Program

ITIP = Interregional Transportation Improvement Program

ITS = Intelligent Transportation Systems

MTIP = Metropolitan Transportation Improvement Program

N/A = Not applicable

PTA = Public Transportation Account

RTIP = Regional Transportation Improvement Program

RTPA = Regional Transportation Planning Agency

SACOG = Sacramento Area Council of Governments

STIP = State Transportation Improvement Program

STP = Surface Transportation Program

TIFIA = Transportation Infrastructure Finance and Innovation

USDA = U.S. Department of Agriculture

<sup>1</sup>Figures given are meant to show the relative size of the funding program. The numbers reflect neither specific past no estimated future funding levels.

## Chapter 3: Planning, Programming, Funding and Implementation

Chapter 3 provides an overview of local, regional, and state transportation planning, programming and funding processes and documents. There are no specific federal planning or programming documents, because the use of federal monies are “planned” and “programmed” in particular regional and state documents. There are, however, federally mandated programming documents which sometimes bear a name with “federal” in it. Most funding sources require that a project be “programmed” before monies can be allocated to it, and that it be contained in the regional transportation plan before it can be programmed.

A note of caution here, programming is sometimes mistakenly used synonymously with planning. A transportation plan consists of a comprehensive evaluation of probable future transportation problems, and sets forth policies and an overall strategy for addressing them. Transportation plans may cover more than twenty years, while programs are generally shorter-range commitments for implementation of the plan. At the local level transportation plans may be called by a variety of names including capital improvement plans, short- and long- range transit plans and general plan circulation elements.

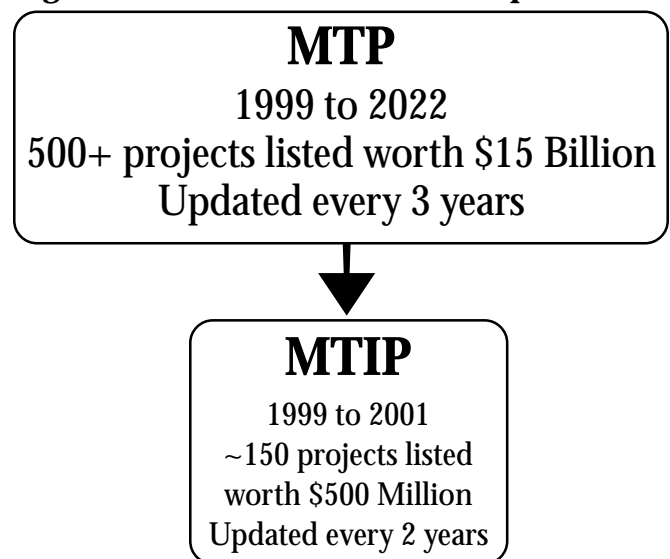
### ■ Metropolitan Transportation Plan

SACOG calls its transportation plan the Metropolitan Transportation Plan (MTP). The MTP is a long-range plan, updated every three years, based on projections of growth and travel demand coupled with financial projections. The plan lists hundreds of locally and regionally important projects for which funding should be sought. It helps guide short-term funding decisions made in the transportation improvement programs (discussed below) in two ways — first, by the requirement that projects must be consistent with the MTP to be eligible for funding through the programming process, and second, by virtue of the fact that the MTP lists many likely candidate projects for funding in the upcoming state and federal funding cycles. Implementation of the long-range MTP is carried out gradually through shorter-term decisions made on which particular projects should receive state or federal funds, in periodic funding or programming cycles. The MTP also helps establish priorities by indicating the years in which individual projects are scheduled to occur; for

example a project scheduled for the year 2000 is considered higher priority than a project scheduled for 2015.

In adopting the Metropolitan Transportation Plan, the region is not only agreeing on transportation system needs for the next 20 years or more, but also is setting the stage for the short-term strategy for implementing the plan. Figure 1 shows the relationship of the MTP to the Metropolitan Transportation Improvement Program (MTIP) discussed below.

**Figure 1. MTP/MTIP Relationship**



### ■ Programming and Funding

So what exactly is programming? In the transportation field, programming is the means of linking projects to funding. It is the intermediate stage between planning and implementation. Once a project is conceived, it needs to get funded in order to move towards completion. The transportation programming process identifies which, how, and when planned transportation projects are to be funded during a specified period of time. In other words, dollars are committed to projects. Programming commits funds to projects so that they can proceed to design and implementation.

Programming documents may cover from one to six years depending on the specific funding sources. This means that a project sponsor needs to be aware of the opportunities available to compete for funding in the various programming cycles. If a project sponsor

misses the deadline for a given programming cycle they may have to wait up to two years for that programming document to be updated. This adds time, and probably cost, to what may be an important project. Nevertheless, the purpose of such programming requirements is to ensure that proposed projects are fully integrated into a comprehensive transportation improvement strategy and that adequate funds are available to facilitate the project.

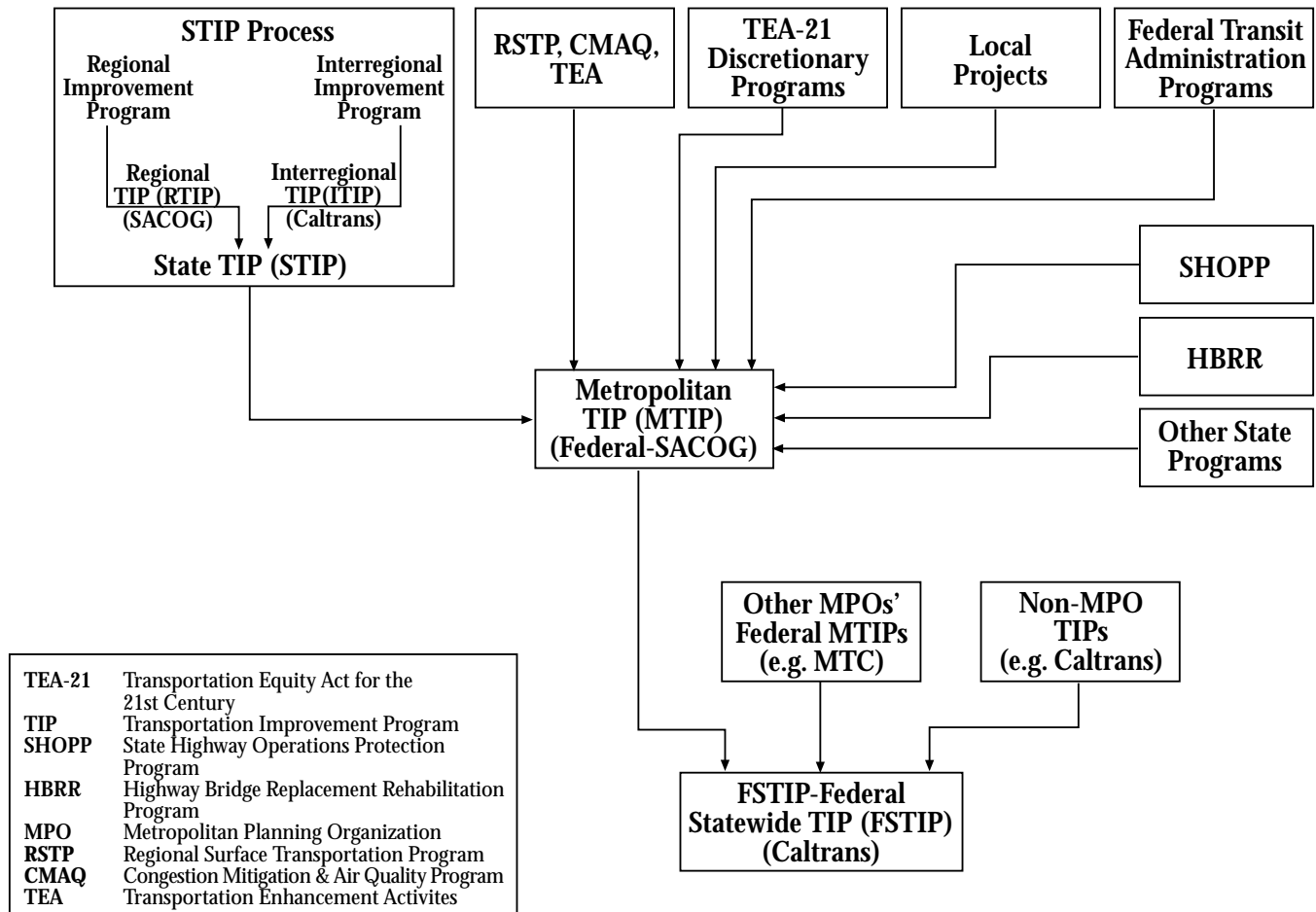
### ■ Regional and State Transportation Programming Documents

The federal government requires all regionally significant projects and programs carried out by recipients of federal transportation funding to be included in a document called the federal Transportation Improvement Program (federal TIP); SACOG refers to this document as the Metropolitan Transportation Im-

provement Program or MTIP. Caltrans consolidates these federal TIPs from all over the state into a Federal Statewide TIP (FSTIP) which is submitted to the U.S. Department of Transportation for approval. SACOG prepares the MTIP every two years with the assistance of local governments, transit operators and Caltrans. It covers a three-year period.

A variety of funding programs using federal, state or local funds are outlined in this handbook. Each of these are briefly outlined in the tables in Chapter Two. Once a project has succeeded in receiving a commitment of funds from one of these funding programs through the application process, it generally must be included in both the MTIP and FSTIP in order to be eligible for federal funding or federal permits. These MTIP and FSTIP programs are discussed below. Figure 2 displays a flow chart of the basic funding programs and programming documents, and their relationship to one another.

**Figure 2. Funding and Programming Processes**



## ■ Metropolitan Transportation Improvement Program (MTIP)

Federal regulations require SACOG, as the Metropolitan Planning Organization (MPO) for the six-county Sacramento Metropolitan Air Quality Non-Attainment Area (see Map 1), to prepare a Transportation Improvement Program every other year covering three federal fiscal years. This document, which SACOG calls the Metropolitan Transportation Improvement Program (MTIP), identifies all transportation-related projects with funding commitments that could potentially affect vehicle-related emissions in the region, or that require federal funding or approval. SACOG incorporates the State Transportation Improvement Program as part of the basic information used in developing the MTIP (see Figure 2).

Identification in the MTIP assures state and federal decision makers that a project is consistent with the region's long-range transportation plan (Metropolitan Transportation Plan) and with the region's overall strategy for improving air quality. As part of this process, SACOG performs a comprehensive modeling analysis which shows that the MTIP conforms with the vehicle emissions reduction strategy set forth in the State Implementation Plan for air quality. The MTIP is submitted to Caltrans by August 1 of even-numbered years, and, after approval by Caltrans, to the Federal Highway Administration and Federal Transit Administration by October 1. The document and any subsequent amendments must be approved by the Federal Highway Administration and/or Federal Transit Administration before any of the listed projects can receive federal funding.

Together then the MTP and the MTIP form a two-step plan and implementation process.

## ■ The Federal Statewide Transportation Improvement Program (FSTIP)

Caltrans prepares the statewide equivalent of the MTIP called the Federal Statewide Transportation Improvement Program (FSTIP). In a nutshell, the FSTIP is a statewide funding document, incorporating all the regional MTIPs and all federally-funded projects in the small-urban and rural regions of the state.

## ■ Local Programming Documents

There are many local transportation planning and programming documents in the SACOG region. Local jurisdictions develop these documents to implement their own plans and capital expenditure strategies. These documents include the County of Sacramento Transportation Improvement Plan, the City of Sacramento Transportation Programming Guide, Regional Transit's Capital Improvement Program, and the Measure A Countywide Transportation Expenditure Plan.

Local programming documents focus on the needs of a local jurisdiction or transit agency, and are often local prerequisites for local, regional, state and federal funding.

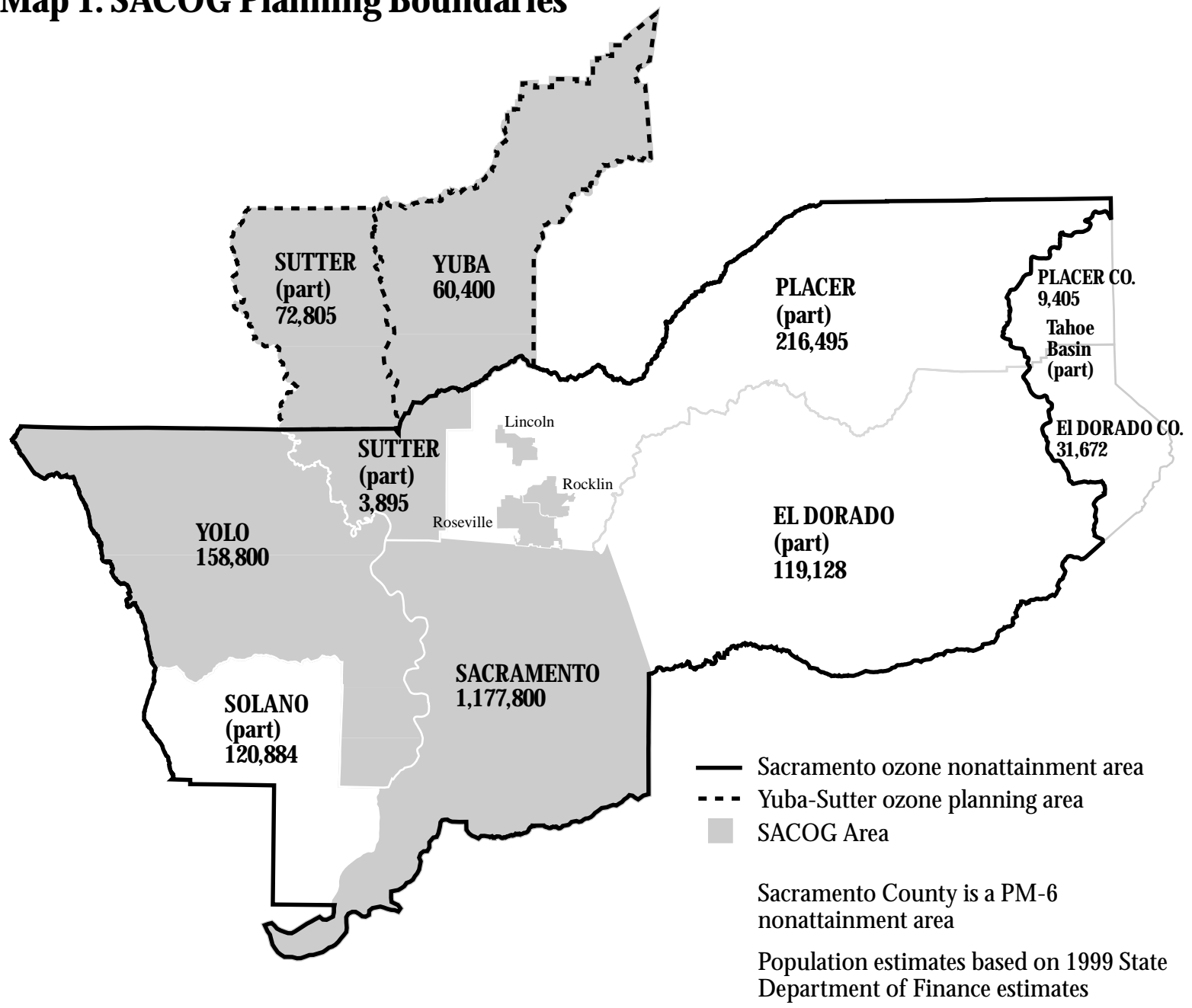
## ■ MTP and MTIP Cycles

Local jurisdictions and agencies, SACOG, Caltrans, and federal agencies carry out the long-range MTP by using available resources to implement the projects and programs listed in the MTIP (the short-term funding document). Every two years a new MTIP is adopted to continue the execution of the long-range MTP. Typically, the long-range MTP itself is revised every three years. Through this repetition of the long-term planning process and short-term programming process, the region gradually implements its long-range transportation and air quality plans.

SACOG staff coordinate the updates of the MTP and the MTIP to ensure that we maintain our eligibility for federal funds. Major MTIP updates are accompanied with an amendment of the MTP. These actions are necessary to ensure that SACOG prepares and maintains the necessary air-quality conformity findings for both the MTP and MTIP, a basic requirement for maintaining federal eligibility for our transportation programs and projects. SACOG staff coordinate quarterly amendments to the MTIP for project changes that do not require additional air-quality conformity analyses; these exempt-project MTIP amendments generally will not require formal MTP amendments.

When SACOG staff embarks upon an update of the MTP or MTIP, we ask project sponsors (generally local agencies and Caltrans) for information on the current status of project implementation, such as funding

# Map 1. SACOG Planning Boundaries



sources and expected start dates for various phases of project delivery (such as preliminary engineering, right-of-way acquisition, and construction for MTIP purposes), and expected project completion dates (for both MTP and MTIP purposes). Based on the information provided by project sponsors, SACOG staff ensure that the project is listed appropriately in both the MTP and the MTIP and that the necessary analyses are conducted.

### ■ Allocation and Timely Use of Funds

Programming is normally followed by an allocation phase. Allocation by an agency controlling funds allows a project sponsor to proceed with spending money on the project with a guarantee of reimbursement by the funding agency. Construction projects are generally

allocated funds on an incremental (or phased) basis for environmental, engineering, right-of-way acquisition, and construction. Operating, equipment acquisition and planning projects usually receive only one allocation. An allocation by Caltrans and/or the California Transportation Commission is an action that allows programmed projects to incur costs for later reimbursement.

Since many funds have “use it or lose it” provisions, project sponsors must be able to put that money under contract (obligate it) within the required time or risk losing the money. Larger projects often have several sources of funds which means the project sponsor must carefully monitor and comply with requirements of all the funding sources.

## Chapter 4: Additional Reference Materials

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In addition, thanks are due to the helpful people at the Sacramento Transportation Authority, Sacramento Regional Transit, Caltrans, and various county Departments of Public Works who have reviewed and commented on drafts of the handbook.

### ■ Federal Highway Administration

The Federal Highway Administration (FHWA) maintains a website with general information about a lot of the programs discussed in this handbook, especially the Transportation Equity Act for the 21<sup>st</sup> Century programs. Most of these programs are covered by their Key Information Fact Sheets (also available in paper format from the FHWA) which are currently available on line at [www.fhwa.dot.gov/tea21/index.htm](http://www.fhwa.dot.gov/tea21/index.htm).

The FHWA also maintains detailed Program Information guidance sheets, including guidance on eligibility, selection criteria, submission requirements, application forms, etc. These sheets are currently available at or in hardcopy directly from the FHWA.

### ■ Federal Transit Administration

Similarly, the Federal Transit Administration (FTA) has various program “circulars” which detail the FTA’s grant application processes. Some of these circulars can currently be accessed at [www.fta.dot.gov/fta/library/admin/checklist/circulars.htm](http://www.fta.dot.gov/fta/library/admin/checklist/circulars.htm). They can also be obtained directly from the FTA.

### ■ California Department of Transportation (Caltrans)

Caltrans, Office of Local Programs also maintains many useful sources of information about transportation funding programs. Their web address is [www.dot.ca.gov/hq/LocalPrograms/](http://www.dot.ca.gov/hq/LocalPrograms/) and currently includes links to their local assistance program guidelines.

Caltrans has recently updated their publication *Transportation Funding in California* (1999 Edition- Office of Transportation Economics, Transportation Planning Program) which provides a graphic display of the state transportation funding system. The charts in this document trace the funding pathways from collection point to spending programs. Again, these resources are also available in hard copy directly from the agency.

### ■ Other Sources

The Sacramento Area Council of Governments (SACOG) also maintains some of its documents on the electronic, world wide web. See the SACOG webpage at [www.sacog.org](http://www.sacog.org). Included are some transportation programming documents. In addition, SACOG maintains application packets, program guidelines, and other similar documents with detailed information about the various funding sources which come through the agency. All of these reference materials are available in paper copy directly from the SACOG office.

Many cities, counties, agencies, and transit operators also maintain informational websites and program guidance materials. These governmental bodies and agencies can be contacted directly for pertinent information.

SACOG’s *Regional Directory of Local Government Agencies* provides many of the addresses and phone numbers for agencies listed in this handbook. The directory can be found on the web at [www.sacog.org/regdir/intro.htm](http://www.sacog.org/regdir/intro.htm). Alternately, SACOG can be reached at:

916.457.2264

3000 S Street, Suite 300 • Sacramento, CA 95816.7058

for a copy of the directory or for additional information about the funding programs.

### ■ Acknowledgments

Much of the material in this handbook is based on other sources. Two particularly helpful sources included the Sacramento Transportation Authority’s soon to be updated funding handbook and the Metropolitan Transportation Commission’s recent *Moving Costs*. Other important sources of information included the Federal Highway Administration’s Key Information Fact Sheets (both the in the publication and on their website) and Caltrans’s Office of Local Programs webpage. All provided easily-accessible, understandable information during the process of compiling this handbook.

## Acronyms

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ADA = Americans With Disabilities Act

CMAQ = Congestion Mitigation and Air Quality Improvement Program

CTC = California Transportation Commission

FHWA = Federal Highway Administration

FSTIP = Federal Statewide Transportation Improvement Plan

FTA = Federal Transit Administration (also Federal Transit Act)

HBRR = Highway Bridge Replacement and Rehabilitation Program

IIP = Interregional Improvement Program

ITIP = Interregional Transportation Improvement Program

ITS = Intelligent Transportation Systems

MPO = Metropolitan Planning Organization

MTIP=Metropolitan Transportation Improvement Program

MTP = Metropolitan Transportation Plan

PTA = Public Transportation Account

RIP = Regional Improvement Program

RTIP = Regional Transportation Improvement Program

RTP = Regional Transportation Plan

RTPA = Regional Transportation Planning Agency

RSTP = Regional Surface Transportation Program

SACOG = Sacramento Area Council of Governments

SHOPP = State Highway Operations and Protection Plan

STIP = State Transportation Improvement Program

STP = Surface Transportation Program

TEA = Transportation Enhancement Activity

TEA21 = Transportation Equity Act for the 21<sup>st</sup> Century

TIFIA = Transportation Infrastructure Finance and Innovation

USDA = U.S. Department of Agriculture

Note: An expanded and more detailed glossary of transportation related acronyms is available from SACOG. This glossary is also available on SACOG's website at [www.sacog.org/glossary/](http://www.sacog.org/glossary/)

## Appendix A: Additional Funding Programs

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The following programs are not listed in the Chapter 2 tables. Contact SACOG for information about these targeted, small, and/or non/under funded programs. In some cases, programs listed below are components of other funding programs.

National Highway System/Interstate Maintenance Programs

Seismic Bridge Retrofit

National Corridor Planning and Development and Coordinated Border Infrastructure Program

Construction of Ferry Boats and Ferry Terminal Facilities

Magnetic Levitation Transportation Technology Deployment Program

University Transportation Research

Light Density Rail Line Pilot Program

National Historic Covered Bridge Preservation Program

Transit Research

High Priority/Demonstration Projects

Welfare to Work Governor's Discretionary Funds

Consolidated Toll Bridge Funds

State General Fund

Innovative Bridge Research and Construction

Transportation and Community and System Preservation Pilot Program

Woodrow Wilson Memorial Bridge

Appalachian Development Highway System

Alaska Railroad

Railroad Rehabilitation and Improvement Financing

High Speed Rail Development

Many of the TEA 21 Safety Programs: Recreational Boating Safety, Strengthening Safety Enforcement and New Approaches to Compliance, Motor Carrier Safety Assistance Program, Information Systems, Automobile Safety and Information, National Driver Register, Railway-Highway Crossings-Behavioral, Highway Safety Research and Development, State Highway Safety Data Improvement Incentive Grants, State and Community Grants, Seat Belt and Occupant Protection Programs, Alcohol Programs

See SACOG's *Regional Aviation System Plan* (July 1998 - SACOG-98-004), Financial Element, for information on the following air transportation programs.

Airport Improvement Program (Federal, formula and discretionary grants)

Airport Loan Program (State, revenue generating or matching funds loans)

Airport Grants Program (State, annual grant program, acquisition and development: aeronautics program, matching Federal Aviation Administration grants)

# **Sacramento Area Council of Governments**

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Project Staff  
Gary Keill, Senior Planner (Project Manager)  
Jim Regan-Vienop, Transportation Planner (Author)

Support Staff  
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