

2005-06 & 2006-07

# Air Quality Funding Program

Guidelines and  
Request for Applications



RELEASE DATE September 16, 2005

APPLICATIONS DUE November 1, 2005

**Sacramento Area  
Council of  
Governments**

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# Application Guidelines

**Release Date:** September 16, 2005

**Applications Due:** November 1, 2005

This document contains information about the Sacramento Area Council of Government's Air Quality Funding Program for federal fiscal years 2005/06 and 2006/07. The program grants funds to local government agencies and their partners to fund effective transportation-related air quality projects that will help the region reach air quality attainment. Grant cycles are approximately every two years.

This document provides background and instructions for submitting an application.

## Section 1

...contains the Guidelines for the Air Quality Funding Program. The Sacramento Area Council of Governments adopted these guidelines on September 15, 2005

## Section 2

...contains the Application Instructions for the 2005/06-2006/07 funding cycle.



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**Sacramento Area Council of Governments**  
**2005/06-2006/07**  
**AIR QUALITY FUNDING PROGRAM**  
  
**GUIDELINES**  
**and**  
**APPLICATION INSTRUCTIONS**

This document contains information about the Sacramento Area Council of Government's Air Quality Funding Program for federal fiscal years 2005/06 and 2006/07. The program grants funds to local government agencies and their partners to fund effective transportation-related air quality projects that will help the region reach air quality attainment. Grants cycles are approximately every two years.

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**Section 1**

**GUIDELINES FOR  
SACRAMENTO AREA COUNCIL OF GOVERNMENTS  
AIR QUALITY FUNDING PROGRAM**

Adopted by the SACOG Board of Directors September 15, 2005

**INTRODUCTION**

In July 2002, the Sacramento Area Council of Governments (SACOG) adopted the *Metropolitan Transportation Plan for 2025* (the MTP for 2025). This 23-year, \$22 billion plan for the region included four federally-funded programs to be used for regional transportation and related priorities that implement the goals of the Plan (Appendix A). The four programs, with 23-year funding amounts are:

- Air Quality \$180 million
- Bicycle and Pedestrian \$350 million
- Transportation Demand Management \$ 44 million
- Community Design \$500 million

When the MTP for 2025 was adopted, it was the intent of SACOG to continue these four regional funding programs into the foreseeable future in each successive MTP. Since the adoption of the MTP for 2025, SACOG has adopted several other MTPs, and the funding programs have been continued. Currently, the MTP 2027 is the plan that is operable in the SACOG Region.

These guidelines pertain only to the Air Quality Funding Program. The other three programs each have a separate set of guidelines that are consistent with these, and the intent is to coordinate the selection of projects in all four programs with a joint recommendation for funding presented to the SACOG Board of Directors.

Public agencies will periodically be given the opportunity to apply for programs on a schedule that will be published before each funding round. The timing of funding rounds is dependent on the availability of the federal funding, and can't always be predicted far in advance.

SACOG is committed to using this funding for projects and programs in all parts of the region. For the Air Quality Program a fair and equitable share of the funding for these programs combined with other SACOG-controlled regional funds, will be the goal for each public jurisdiction over the long term. For Placer and El Dorado Counties, a different situation applies,

due to Memoranda of Understanding between the Placer County Transportation Planning Agency and SACOG and the El Dorado Transportation Commission and SACOG that govern the use of federal funds in those counties. Please refer to Appendix C for an explanation of how federally-funded projects are approved in those counties.

SACOG is also committed to following federal guidance on environmental justice. The goal of environmental justice is to ensure that when transportation decisions are made, low-income and minority communities have a full opportunity to participate in the decision-making, and that they receive an equitable distribution of benefits and not a disproportionate share of burdens. Each project or service seeking funds from SACOG's regional funding programs will be evaluated for environmental justice. The grant application process will include explicit questions on environmental justice for project applicants to answer.

## **FUNDING**

Financial support for these programs will come primarily from Federal funding sources expected to be available to the region. The SACOG Board of Directors will approve the amounts allocated to each program before the start of the project selection process, according to long-term Metropolitan Transportation Plan and the agency's more immediate priorities.

Most of the projects selected for these programs must qualify for the three federal funding sources available to SACOG.<sup>2</sup> In most cases, a local funding match requirement of 11.47% of the total project cost applies. Federal funding requirements from TEA-21 are found in Appendix D, and the recently-approved reauthorization (TEA-LU) is expected to use the same or similar requirements. When SACOG is able to obtain other sources of funding for the programs, different requirements may apply. In most cases, the minimum project size SACOG will consider is \$150,000.

## **APPLICATION PROCESS**

SACOG will issue a call for applications when federal funding opportunities arise, typically once every two to three years. Public agencies (cities, counties, and other public agencies) are the eligible applicants for these federal funds. Each time funds are made available, the call for applications will be made through SACOG's newsletter, webpage, advisory committee meetings, and letters to public works and planning departments, transportation agencies, transit agencies, transportation management associations, and other organizations. An application, timeline, and these guidelines will be made available at that time.

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<sup>2</sup> These sources are currently the Surface Transportation Program (STP), the Congestion Management and Air Quality Program (CMAQ), and Transportation Enhancements (TE).

## **PROJECT SELECTION PROCESS**

[The following process applies to Sacramento, Yolo, Yuba, and Sutter Counties, but not to Placer and El Dorado Counties.]

Applications for Air Quality projects in Sacramento and Yolo Counties must be presented as information to the countywide transportation agency in those counties. Because there are no countywide transportation agencies in Yuba and Sutter Counties, this step is not necessary. The Air Quality Working Group and a Grant Overview Committee, formed from existing SACOG committees and staffed by SACOG, will make recommendations to the Board of Directors, through the appropriate Board Committee, on project selection. After SACOG staff screen project applications for eligibility, Working Group and Grant Overview Committee members will be responsible for reading applications and making recommendations for projects to be funded. Appendix E provides more detail on the process and the membership of these committees.

SACOG reserves the right to fund less than the amount reserved for each funding program in a given funding cycle, as well as to fund projects in a program other than the one for which it was submitted.

## **IMPLEMENTATION**

After SACOG has awarded a grant, project sponsors will be asked to follow or be aware of these requirements:

- Follow all federal funding requirements listed in Appendix D.
- Follow all federal environmental justice directives.
- Assure SACOG that the projects meet the requirements of the Americans with Disabilities Act.
- Follow SACOG's "Use It or Lose It" policy for obligating and spending the grant funds. The policy requires project sponsors to schedule fund obligation and project implementation in the *Metropolitan Transportation Improvement Program* and to honor that schedule.
- A local non-federal match of at least 11.47% of the total cost of a project is required for projects receiving federal funding in the Sacramento region, with a few exceptions that are detailed under the individual program guidelines. This does not include "in kind"

match, but must be funding that is dedicated to eligible features within the project and included in its overall cost.

- For capital projects, federal funds may be used for Preliminary Engineering (which includes environmental work and design) as well as for right-of-way and construction. When a project is ready for implementation, the project sponsor requests an authorization from Caltrans. When the project is authorized, the sponsor can incur expenses that will then be reimbursed from the grant. A project sponsor submits invoices for the entire cost incurred, and will be reimbursed at 88.53% (the total cost minus local match).
- SACOG encourages project sponsors to seek other sources of funding that may be available, including Community Development Block Grants or other federal HUD funds (although for the most part, federal funds from other programs cannot be used as match).

## **FUNDING PROGRAM GOALS, ELIGIBLE PROJECT TYPES, AND PROJECT EVALUATION**

### **Background and Program Goal**

The SACOG region currently holds a non-attainment status for ozone under federal air quality laws. Because the region must meet stringent federal air quality in the *upcoming Rate of Progress State Implementation Plan for Air Quality*, (or SIP) SACOG will place highest priority on the selection of cost-effective transportation projects that contribute the most to reaching attainment.

When there is a new SIP based on the eight-hour standard, expected in 2007, this air quality funding program could be used to directly implement the mobile-source measures in that plan.

### **Eligible Project Types**

The Air Quality Program will fully or partially fund projects in the following categories, first applying screening criteria to qualify potential projects. The project must meet all of the screening criteria.

- A. **Projects that provide real, permanent<sup>4</sup> and quantifiable on-roads emissions reductions for the region.** Examples are gross-polluting vehicle replacement programs, bus demonstration projects, and alternative-fuel buses.

#### **Screening Criteria**

- The project results in claimable emissions reductions.

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<sup>4</sup> The definition of “permanent” used by the Environmental Protection Agency is “that the emission reduction occurs throughout the life of the measure, and for as long as it is relied upon in the State Implementation Plan.”

## **B. Air quality improvement plans**

For example, State and Federal air quality plans.

### Screening Criteria

- Funding of the appropriate type is available for this purpose.
- Air quality planning activities proposed are related to analysis and assessment of control measures for on-road vehicle emissions or emissions from road construction vehicles.
- There is inadequate funding from other sources to prepare legally required air quality plans by mandated deadlines.

## **C. Public awareness and educational campaigns**

An example would be the Spare the Air campaign

### Screening Criteria

- The program has an established track record in this region or in another region or offers the potential of significantly contributing to a reduction in emissions.
- The program is eligible for credit under the Environmental Protection Agency's Economic Incentive Program.

## **Project Evaluation**

Projects will be evaluated using the criteria shown below with other appropriate criteria that may be added.

### **For all projects**

- Air quality benefits
- Project costs (see Note 1)
- Project lifecycle costs (see Note 1)
- Air quality cost effectiveness (see Notes 1 and 2)
- Length of time to implement and see results
- Air quality impacts of not funding project or plan
- Added priority (see Note 3)
- Other policy considerations

### **For plans**

- The relevance and significance of the planning activities to the region's submission of a legally valid and technically sound air quality plan in compliance with Federal laws.

### **For buses**

- Projected ridership and average trip length

- For bus replacements, the potential impacts of not replacing the buses (such as function of the transit system and regional network, ridership, and shifts from or to driving or other modes of transportation).

**Notes**

1. The definition of “cost” is that part of the total cost of the project intended to be funded with this program. There is an 11.47% local match required for using these funds, but additional match funding can be applied.
2. Evaluation of benefits and cost-effectiveness require the use of Air Resources Board or Environmental Protection Agency methodologies. In the absence of an ARB or EPA accepted methodology, SACOG will rely on methodologies recommended by the Air Districts of the region.
3. Added priority is given to projects that
  - are time critical for meeting state or federal air quality mandates.
  - in addition to reducing ozone precursors also reduce particulate matter.

**APPENDIX A.**  
**GOALS OF THE METROPOLITAN TRANSPORTATION PLAN FOR 2025**  
*Plan adopted by the SACOG Board of Directors in July 2002*

1. Overarching Goal: Quality of Life: Develop a fully integrated, multi-modal transportation system to serve as a catalyst to enhance the quality of life enjoyed by the current and future residents of the Sacramento region.
2. Access and Mobility: Improve access to goods, jobs, services, housing, and other destinations; provide mobility for people and goods throughout the region, in a safe, affordable, efficient and convenient manner.
3. Air Quality: Develop a transportation system and related strategies that contribute to achieving healthy air in the region.
4. Travel Choices: Provide affordable, convenient, safe, and integrated travel choices.
5. Economic Vitality: Enhance the economic vitality of our region by efficiently and effectively connecting people to jobs, goods, and services, and by moving goods within our region and beyond with an integrated multi-modal freight system.
6. Equity: pursue a transportation system that addresses the needs of all people in all parts of the region and assure that impacts of transportation projects don't adversely affect particular communities disproportionately.
7. Transportation and Land Use: Influence land use policies to improve access to jobs, services and housing to everyone in the region by using market forces and the regulatory process.
8. Funding and Revenue: In order to adequately fund the Plan, develop appropriate, innovative, equitable, and stable funding sources (both short- and long-term) and identify cost-reduction measures.
9. Health and Safety: Improve the health of our residents by developing systems that would encourage walking and biking, and improve the safety and security of people on all modes in all areas.
10. Environmental Sustainability: Develop the transportation system to promote and enhance environmental quality for present and future generations.

**APPENDIX B.  
SCHEDULE FOR  
AIR QUALITY FUNDING PROGRAM**

July 2005	Regional Planning Partnership reviews revised Air Quality Funding Program Guidelines and makes a recommendation to the Board of Directors.
Aug.–Sept. 2005	SACOG staff develops the application packet.
Sept. 15, 2005	Board of Directors approves revised Guidelines.
Sept. 16, 2005	Call for projects.
Nov. 1, 2005	Project applications due
Early Nov. 2005	Working Group meets and makes project selection recommendations
Nov. 18, 2005	Grant Overview Committee meets and makes recommendations for funding to the SACOG Board of Directors
Dec. 15, 2005	The SACOG Board approves the release of recommended projects for a 30-day period of public review.
Jan. 19, 2006	The SACOG Board holds a public hearing, approves the projects and amends the <i>Metropolitan Transportation Improvement Program</i> (MTIP) to include them.

**APPENDIX C.  
THE APPLICATION AND FUNDING PROCESS  
IN PLACER AND EL DORADO COUNTIES**

This process considers the Memoranda of Understanding (MOUs) and related resolutions approved by SACOG, the Placer County Transportation Planning Agency (PCTPA), and the El Dorado County Transportation Commission (EDCTC) that govern interagency relationships.

In summary, PCTPA and EDCTC are able to choose their own projects for which to use federal transportation funding, separate from the process used at SACOG for choosing projects in Sacramento, Yolo, Sutter, and Yuba Counties. If the selected projects in Placer and El Dorado Counties meet the criteria for SACOG's funding programs, they will be added to the overall list of projects for that funding program. If not they will still be programmed, but not counted toward the regional funding program goals established in the Metropolitan Transportation Plan. (See example at end of this appendix).

For each round of federal funding (Urban RSTP and CMAQ), approximately every two to three years, state law calls for PCTPA, EDCTC, and SACOG to each receive a separate allocation, with SACOG (as Metropolitan Planning Organization) responsible to program this funding.

In the Metropolitan Transportation Plan (MTP), SACOG has established four special funding programs (Community Design, Air Quality, Bicycle and Pedestrian, and Transportation Demand Management) that use a portion of these federal funds.

In each federal funding cycle, SACOG, EDCTC, and PCTPA agree to follow this process:

1. SACOG advises PCTPA and EDCTC of their combined fair shares of Urban RSTP and CMAQ together with a statement of MTP objectives for that funding cycle. PCTPA and EDCTC agree to seriously consider SACOG's priorities as they decide which programs to forward for programming. They encourage their cities, counties and transit operators, as they have in the past, to propose projects that address SACOG's priorities and meet criteria established in the guidelines approved by the SACOG Board for each of the four regional funding programs. They will also include SACOG staff on advisory committees reviewing the project proposals and use the PLACE<sup>3</sup>S software to help evaluate Community Design proposals.
2. The SACOG Board approves an amount of federal funding to allocate for each of the four funding programs, for Sacramento, Yolo, Yuba, and Sutter Counties. If the federal funding authorization to the region is greater or less than the original estimates, PCTPA, EDCTC, and SACOG will either receive more or less federal funding on a fair share basis, and as a consequence the amounts allocated to the four regional programs may be changed.

3. Some of projects and programs funded by SACOG through the funding programs are regional in nature, for example the Regional Rideshare Program. SACOG will consult with PCTPA and EDCTC about fair share support of these regionwide programs before the three agencies select projects for programming.
4. In the Bicycle/Pedestrian, Air Quality, and Community Design Funding Programs, SACOG solicits project proposals from qualified project sponsors within Sacramento, Yolo, Yuba, and Sutter Counties. For each of these three competitive programs, a working group of SACOG's planning partners from the four counties analyzes, evaluates, and ranks the proposals based on their technical merit. A separate Grants Program Review Committee then reviews the recommendations from all working groups and makes a final recommendation to the Board of Directors that takes into account regional balance.
5. At the same time, PCTPA and EDCTC also conduct an evaluation and ranking process to select federally funded projects. After approval by their Boards of Directors, these lists are forwarded to SACOG for programming. It is expected that at least some of these projects will meet the goals and criteria for the regional funding programs. SACOG staff will evaluate these projects for whether they fit the programs, and will make a recommendation to the SACOG Board about whether to include them in the list of projects under the four funding programs or program them outside of the four programs.
6. If there are a greater number of highly recommended projects than there is funding available in a program, SACOG staff may seek to reduce the amount programmed to some or all projects, or may request a higher allocation for that funding program. The increase would mean a decrease in another funding program or would replace other regional priorities for federal programming.

Example of Funding for El Dorado or Placer County Project: As an example of how a project might be designated as a Community Design project from Placer County, it would work as follows. Placer County develops a project proposal that conforms to SACOG's Community Design Guidelines and submits it to the Placer County Transportation Planning Agency. PCTPA's Board approves the project for federal CMAQ funding under PCTPA's allocation. The project is forwarded to SACOG and screened by staff for whether it meets the goals and criteria of the Community Design Program. If it does, it is added to the list of projects in that program.

## **APPENDIX D. FEDERAL FUNDING REQUIREMENTS**

The following federal funding requirements are derived from the State's Transportation Enhancement Activities (STE) funding program guidelines. Items "a" and "b" apply only to STE funds, but "c" through "l" apply to all federal funds, including STE. The SACOG regional funding programs can be funded from any of the types of federal funds that SACOG receives.

- a. Direct relationship to the transportation system: STE projects must be directly related to the surface transportation system. This relationship may be one of function, proximity or impact. For example, a bikeway or historic rail station still in service is a functional component of the transportation system; landscaping or restoration of a historic site alongside the highway can be related by proximity (the proximity relationship will not be eligible if tenuous or contrived); and archaeology planning or water pollution control alongside an existing highway affect the impact of the transportation system or the environment.
- b. Over and above normal work: Enhancement funds must build projects that would be over and above normal transportation work. STE projects cannot be used for mitigation specified in environmental documents, permit requirements from federal, state or local agencies for other transportation work, maintenance activities such as repaving bike lanes or repainting historic buildings on a normal life cycle schedule, and other requirements such as retrofit of drainage facilities to meet current clean water standards or retrofit of existing sidewalks for compliance with requirements of the Americans with Disabilities Act.
- c. Public benefit and access: STE projects use public funds, must provide benefit to the general public, and generally must provide for public access, except in certain cases where access might be inappropriate, such as wildlife corridors or water pollution control facilities. Improvements to private property and commercial tenant facilities are not eligible.
- d. Right of way acquisition: Any property needed for right of way for STE projects must be acquired from willing sellers, since a finding of public necessity for eminent domain cannot be made for work "over and above normal work." Whenever federal funds are used in any phase of a project, acquisition of real property for the project becomes subject to the provisions of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 as amended, no matter if carried out by federal, state or local agencies or by private parties. Properties to be acquired must be appraised, and an offer made to purchase at full-appraised value, although the sale may be completed for an option value or another value different from appraised value by mutual agreement. Any tenants displaced because of the project are entitled to relocation assistance benefits under the Act (funded within the project), but willing sellers are not. Improvements for tenant or commercial activities such as snack bars or retain businesses are not eligible.

- e. Historic restoration: Projects funded with federal transportation funds must comply with Section 106 of the National Historic Preservation Act, pertaining to evaluation and preservation of historic and archaeological resources. For historic property projects, all restoration work must be done in compliance with the Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation, the Secretary of the Interior's Standards for Treatment of Historic Properties, or the State Historic Building Code. Work must be managed under the direction of professionals meeting the standards published in the Code of Federal Regulations, 36 CFR, Part 61, which define minimum education and experience required to perform eligible historic preservation activities; in some cases, additional areas or levels of expertise may be needed depending on the complexity of the task and the nature of the historic properties involved. Rehabilitation work to return a property to a state that allows contemporary use while preserving the significant historic features of that property will usually be eligible. Preservation work to repair deferred maintenance that should have been done, as a condition of a prior historic preservation agreement is not eligible. Construction of replicas of historic structures or buildings is not eligible. Work related to Native American archaeological sites typically requires extra consultation with interested tribes, may require that Native Americans control the disposition of certain artifacts, and may require artifact displays to show alternative interpretations.
  
- f. Environmental studies and review: All STE projects are subject to the requirements of both the National Environmental Policy Act (NEPA) of 1969 and the California Environmental Quality Act (CEQA) of 1970. For NEPA, the project sponsor must make a good faith effort to study, assess and disclose environmental impacts that could be expected from the project and consult with interested federal agencies; and for CEQA, the project must mitigate any significant adverse impacts to the extent feasible. Experienced agencies can meet both the federal and state environmental requirements using a single joint process. The level of effort varies by the type of project, the amount of impacts and the degree of public controversy. While some projects may be able to use a Categorical Exemption/Categorical Exclusion, and most others will require no more than a Finding of No Significant Impact/Negative Declaration (which may include mitigation of impacts), a few STE projects will require a full Environmental Impact Statement/Environmental Impact Report, particularly those where significant public controversy arises, with all of the required agency consultation and public reviews.
  
- g. Parks: Since STE projects must have a direct relationship to transportation, park improvements such as park benches, park landscaping and recreational trails are not eligible, although the same scope of project might be eligible in a streetscape setting. STE projects that may provide an ancillary recreational experience or may be located on parkland can be eligible as bicycle or pedestrian facilities if the projects also provide through access from one point to another. Section 4(f) of the Department of Transportation Act of 1966 applies to projects funded with federal enhancement funds, even though it is an odd fit with the enhancements program; it prohibits building a project

on land in a publicly owned park, recreation area, wildlife or waterfowl refuge, or significant historic site unless the applicant can demonstrate that there is no prudent and feasible alternative to the use of park property, and can minimize damage to the park property from the transportation use. The state expects Section 4(f) should be waived for most enhancements projects, but does not have the power to ensure this.

- h. Permits: Depending on the nature of the project, STE projects may require permits or clearance from a wide range of federal and state agencies with environmental responsibilities, covering at least water quality, floodplain encroachment, wetlands protection, endangered species (both federal and state listed) and habitat protection, and historic or archaeological resources. In particular, wetlands protection and floodplain encroachment require a no-practicable-alternative finding. The list of interested agencies usually includes, but is not limited to, the U.S. Army Corps of Engineers, the U.S. Fish & Wildlife Service (or National Marine Fisheries Service), California Department of Fish & Game, California Coastal Commission, State Historic Preservation Office, and Advisory Council on Historic preservation. The most common applicable federal legal requirements can be found in:

1. Section 404 of the Clean Water Act of 1977,
2. Executive order 11990, "protection of Wetlands," May 24, 1977,
3. Executive Order 11991, "Floodplain Management," May 24, 1977,
4. Section 7 of the Endangered Species Act of 1973, and
5. Section 106 of the National Historic Act of 1966.

Many STE projects will end up involving no permits, but that must be determined project-by-project through studies and consultation.

- i. Transportation project requirements: STE projects are transportation projects and, thus, must meet any applicable federal or state standards for transportation projects. For example, bicycle facilities generally must meet federal and state standards for width, grade and signing; state highway landscaping must comply with state landscaping policies on Nation Highway System routes; and removal of nonconforming billboards must follow federal and state procedures, including local ordinances to control subsequent outdoor advertising in the area. Projects sharing or crossing railroad rights of way must have railroad agreements, which can be time-consuming to negotiate and get approved. Walkways and buildings must include handicapped access (Americans with Disabilities Act (ADA)). Agencies unfamiliar with the requirements and costs of constructing to the design standards required for federal-aid projects should consult in advance with their Caltrans District Local Assistance Engineer.
- j. Other federal contract requirements: STE projects use federal funds and so must comply with various federal contracting requirements, which apply if consultants are to be used for environmental or design studies, to right of way activities (including utility work) done under contract, and for the project construction contract. The most ubiquitous of these requirements include competitive bidding, pre-award audits, minority business participation (DBE/WBE), and prevailing wage rates (Davis-Bacon Act).

- k. Regional Transportation Plan, Federal TIP and air quality conformity. All projects using federal transportation funds must be consistent with the regional transportation plan covering that area; if the plan is not specific enough to list every small project, the project must be consistent with the general policy direction and priorities of the plan and not inconsistent with any of its provisions. All projects using federal transportation funds must also be added to the Federal Transportation Improvement Program (TIP), a document describing the slate of projects approved for federal funding by the Federal Highway Administration (FHWA). In urban areas, the designated metropolitan planning organization is responsible for drawing up the regional transportation plan and Federal TIP, and amending it when necessary; in rural counties, Caltrans has that responsibility. The agency responsible for the Federal TIP must also assess the air quality implications of the whole slate of projects and make a finding that total pollutant emissions from all projects collectively do not exceed federal clean air standards; that finding must be reassessed each time a Federal TIP is amended, which can be an arduous process in areas far out of compliance with the clean air standards. While STE projects by themselves rarely would have any significant effect on air quality, Federal TIP amendments often contain a package of projects, including some highway projects that will force a time-consuming re-evaluation of clean air impacts. In the end, FHWA must approve the Federal TIP (and any amendments), and the U.S. Environmental Protection Agency (EPA) must approve the findings of air quality conformity before funds can be released for the project. Some regions reserve enhancement funds in a lump sum and, thus, can avoid the need to amend their Federal TIP each time projects are selected; others have not done this.
  
- l. Maintenance Agreement: The project applicant must guarantee that the STE project will be maintained for the normal project life cycle, by the sponsoring agency or via contract with a third party, as a condition of receiving federal enhancement funds. The Caltrans' master agreement typically will hold the applicant liable up to the amount of federal funding if maintenance is not kept up. The project applicant should understand that the use of federal enhancement funds for a project brings all of these federal and state requirements that may apply to bear on the entire project, not necessarily just the part funded by enhancement funds (unless the project consists of distinct and separable phases done as separate projects by separate contracts). The project applicant should build into the project application enough funding to deal with these many requirements and build into the project schedule enough time to carry out the work, most of which must be completed before project construction can be started.

## **APPENDIX E. PROJECT SELECTION PROCESS**

Project applicants (sponsors) may be any agency or organization that holds a master agreement with Caltrans to administer federal transportation funds. For projects within the jurisdictions of Sacramento County, project proposals must be presented as information to the Board of the Sacramento Transportation Authority, and for Yolo County jurisdictions, to the Yolo County Transportation District Board. For Sutter and Yuba Counties, there are no countywide transportation agencies, so this step is not needed. For Placer and El Dorado Counties, a separate process is used (see Appendix C).

### Steps in the Process

1. Project sponsors fill out application and submit to SACOG.
2. Applications are presented as information to countywide transportation agency Boards by the application deadline. For projects in Yuba and Sutter Counties, this step is unnecessary.
3. SACOG staff reviews the applications and screens them for eligibility. Ineligible applications are discarded, based on ineligibility for federal funds, lack of funding of the appropriate type, or on the program guidelines.
4. SACOG staff forwards the applications to the Air Quality Working Group (see below for the composition of the Working Group).
5. The Air Quality Working Group scores and ranks the applications, according to its own process, but does not discard any applications. Working Group members will not vote on applications from their own organizations.
6. SACOG staff reviews the ranking recommendations of all funding program working groups and makes its own ranking recommendations. These staff recommendations will take into consideration the availability and requirements of appropriate funding sources and will balance the ranking of projects based on geographic location. These ranking recommendations will then be communicated back to each of the working groups.
7. The SACOG staff recommendations are discussed by the Grant Programs Overview Committee (see below for the composition of this committee). This committee reviews working group recommendations for three funding programs – Bicycle and Pedestrian, Air Quality, and Community Design – at the same time.
8. The Grant Programs Overview Committee makes recommendations that are provided as information to the Regional Planning Partnership and then are made to the SACOG Board of Directors. If the Grant Programs Overview Committee recommendations are different

from the SACOG staff recommendations, then both sets of recommendations are made to the SACOG Board of Directors.

Membership of the Air Quality Working Group

A SACOG staff member will staff each meeting. The group will select a Chairperson.

<b>Expertise</b>	<b>Appointed by</b>	<b>Number</b>
Air Quality	Air Districts	5 Air Pollution Control Officers of the 5 Air Districts
Regional	SACOG	1 (Executive Director or designee)
<b>TOTAL</b>		<b>6</b>

Membership of the Grant Programs Overview Committee

All members must also be a member of a working group and represent diverse geography. SACOG will staff each meeting and the group will choose a chairperson.

<b>Appointed by</b>	<b>Number</b>
Planners Committee	3
Regional Planning Partnership	4
Bike/Ped Advisory Committee	2
TDM Task Force	2
Transit Coordinating Committee	2
Air Districts	2
<b>TOTAL</b>	<b>15</b>

## **Section 2: APPLICATION INSTRUCTIONS**

This section directly addresses the requirements for applying for an Air Quality Funding Program grant. Please read the instructions in this section with the background information from the Guidelines in Section 1 when considering and preparing your grant application.

### **PROGRAM MANAGER**

Please direct any questions regarding the Bicycle and Pedestrian Funding Program or the application process to the SACOG Program Manager:

Nancy Kays, Senior Planner  
Sacramento Area Council of Governments  
1415 L Street, Suite 300  
Sacramento, CA 95814  
phone (916) 340-6223  
fax (916) 321-9551  
email [nkays@sacog.org](mailto:nkays@sacog.org)

To save time and effort, please contact the Program Manager before you have submitted the application to insure that the project you seek funding for is eligible for federal funds.

### **APPLICATION FORMAT AND CONTENTS**

Applications are required to stay within the prescribed format so that there is uniformity for the Air Quality Working Group to review.

#### **Format**

The overall application format requirements are:

- All narrative text shall have at least 1 inch margins on all sides, and use no less than 11 point font size. Footers and headers are exempt from margin and font size requirements.
- Narrative pages may only be written on 8.5" x 11" paper. Graphics, photos and maps may be printed only on 8.5"x11" or 11"x17" paper; either size counts only as one page.
- Divider pages are allowed if they are made of colored paper that can be recycled. These do not count toward the page limits. Please do not insert plastic or non-recycleable tabs on the divider page. The divider page may show section titles; no other narrative or graphic content is allowed.

- Please do NOT include a separate cover, comb-binding or any plastic materials; stapling or clipping the document will suffice; the signed letter from the primary applicant described below shall serve as the cover for the application. One blank white sheet of paper may serve as the back page.
- Submit 1 original signed application and 8 copies of each application. E-mailed applications are not acceptable.
- Submit 1 compact disc with a .pdf of the application, including support materials. Scanned images are acceptable in the .pdf file.

### **Application Contents**

Applications must contain the following elements with page limits as listed:

<b>Max Pages</b>	<b>Content Element</b>	<b>Content Description</b>
2	Cover memo	Signed cover memo on letterhead of lead applicant jurisdiction by chief elected official of governing body or designated individual by that official. Memo acknowledges that the application is officially authorized by the jurisdiction, provides an official name of the project, and identifies the contact person and contact information on behalf of the applicant. Any other contents are optional. Please address cover letter to the SACOG Program Manager listed above.
1	Project Summary Table	Summary description of grant application using similar format that shown below.
16 total pages combined with maps/graphics/photos (see below)	Narrative Project Description	Written description of project – applicant may choose format, structure and any content. This is where you will describe the project, how grant funds would be spent, the commitments in place for the project and/or related projects, how it meets the screening and ranking criteria in the Guidelines, and any information the applicant believes will best describe why this project should be awarded a grant. This section should also include quantitative information that will allow the Working Group to compare the air quality benefits of this application to other applications (see section on Project Evaluation in the Guidelines). Page total is combined limit with maps/graphics/photos described below.
16 total pages	Project	Maps or graphics illustrating the project, if needed.

combined with narrative project description (see above)	Maps/Graphics/Photos	Applicant may choose any graphic medium but page sizes are restricted to either 8.5"x11" or 11"x17". These pages may be interspersed with the pages from the narrative project description above.
20	Related Materials	Any additional information that will provide support for the application. Examples may be key pages from an adopted plan that includes the grant project or subject area, or excerpts from evaluation reports of similar projects.
1	Environmental justice	Include your response to the following: What kind of outreach to the community and to other stakeholders do you plan to undertake? Will low-income or minority members of the community be given an opportunity to fully participate in this outreach? Evaluate the benefits and burdens of this project with regard to low income and minority members of the community.
No limit	Letters of support or commitment	Any letters of endorsement or commitment from key stakeholders (e.g., private developers who have financially committed to building project(s) adjacent or near project site, neighborhood groups in support of the project, etc.)

### **One Page Project Summary Table**

Please fill out the contents of this table for your application. This is the one page summary description as explained in the table above; please insert it after the cover letter. You do not need to replicate this exact format, but the table must fit on one page.

Project Title	Official name of project
Lead Applicant (project sponsor)	Lead organization of grant application
Lead Person and contact information	Name of lead person for all grant-related communications with job title, address, email, phone number and fax number. This is the only person SACOG will communicate with on an official basis regarding the grant application.
Partner Organizations	Names of other organizations affiliated with project
Grant type:	A, B, or C (see Guidelines)
Bicycle and Pedestrian Funds Requested	Amount of money requested from Air Quality Funding Program
Overall Total Project Costs	Total estimated amount for project from all funding sources
Local Match and other funds	Local match must be at least 11.47% of requested amount above; also list other funding amounts from other sources if

	full grant amount is awarded.
Minimum Amount to Conduct Project	If not awarded the full requested amount above, what is the minimum amount needed to do the project? This may mean a reduced scope of work, which would be negotiated between applicant and SACOG before award is granted. Please note that if the selection process determines this project should receive funds for less than the stated minimum amount, no award will be given to this project.
Project Description (not to exceed 125 words)	Summary description of project that may include what is the project, its need, its location, and how the grant funds will be used. This summary will be used repeatedly when summarizing all the application descriptions to the SACOG Board of Directors. Not to exceed 125 words.

### CHECKLIST OF APPLICATION REQUIREMENTS

- ❑ Eligibility: Potential applicants should check with the SACOG Program Manager regarding the eligibility of their project or their eligibility as an applicant (project sponsor) for federal transportation funding.
- ❑ Program Schedule: Review the program schedule in the Guidelines for important dates.
- ❑ Application contents: Review pages for all needed elements, including cover memo, one page summary, narrative project description, graphics, related materials, and support letters. Review the section of the Guidelines on Project Evaluation and check that the application contains the information necessary to screen, rank, and evaluate the application for air quality benefits.
- ❑ Implementation Requirements: Review the Implementation section in the Guidelines and evaluate your ability to meet all federal and SACOG requirements, including providing local matching funds of at least 11.47% of the total project cost and following SACOG's "Use it or Lose It" policy.
- ❑ Countywide Transportation Agency Review: For projects in Sacramento and Yolo Counties, provide the Boards of Directors or either the Sacramento Transportation Authority or the Yolo County Transportation District with information on the proposal before the November 1 application deadline.
- ❑ Submittal Deadline: Please submit one signed original and 8 copies of the grant application by no later than 4:00 p.m. Tuesday, November 1, 2005 to Nancy Kays, Senior Planner, Sacramento Area Council of Governments, 1415 L Street, Suite 300, Sacramento, CA 95814. E-mailed applications are not acceptable. This deadline will be strictly enforced.

- PDF File Submittal: Also, please submit one compact disc with a .pdf file of all the application contents. Scanned materials into the pdf file are acceptable, such as maps, graphics, related materials and letters of endorsement. The compact disc is due the same time as the applications, but applicants are automatically granted a 24 hour extension if the 9 copies of the application have been received by SACOG by the November 1, 4:00 p.m. timeline.

## **POST-SUBMITTAL MATERIALS**

SACOG reserves the right to contact applicants during the project selection process and request up to one written e-mail page to clarify questions the Air Quality Working Group or the Grant Programs Overview Committee may have. Applicants are not required to respond to these questions. Applicants will be given five calendar days to submit their responses via e-mail from the time they are contacted by the Program Manager. If no response is provided, the selection committees will make their own assumptions regarding the questions.

# Acknowledgments

## SACOG MISSION

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

## EXECUTIVE STAFF

Mike McKeever  
*Executive Director*

Peter Hathaway  
*Deputy Executive Director,  
Planning and Project Delivery*

Kenneth Hough  
*Director of Planning*

Karen Wilcox  
*Director of Finance*

Gordon Garry  
*Director of Research  
and Analysis*

## PROJECT STAFF

Nancy Kays  
*Senior Planner*

## SUPPORT STAFF

Rebecca Thornton Sloan  
*Communications*

Kent Giacomozzi  
*Graphic Design*

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## CONTACT INFORMATION

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