

TRANSPORTATION ENHANCEMENT PROGRAM APPLICATION PACKET

A GUIDE TO THE PREPARATION AND SUBMISSION OF
APPLICATIONS FOR ENHANCEMENT FUNDING



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1 The Transportation Enhancement Program__

The way we design and build our neighborhoods and communities directly impacts our quality of life. For many years, the transportation community has focused on interstate systems and highways that offered efficient movement of goods and services, as well as unprecedented mobility benefits for the public. Growing concerns about air quality, open space, and traffic congestion led Congress to create several programs through legislation in the 1991 Intermodal Surface Transportation Efficiency Act (ISTEA). These programs broaden the federal focus on Transportation from building highways to funding projects tied to smarter planning requirements that help ensure communities are more livable. At the center of new focus about transportation, growth, and quality of life is the Transportation Enhancement Program.

With the passage of the Transportation Equity Act for the 21st Century (TEA-21), and its successor, the Safe, Efficient, Flexible, Effective Transportation Equity Act: a Legacy for the User (SAFETELU), Congress continues to reaffirm its commitment to the original concepts established under ISTEA. Like its predecessors, the new legislation continues to provide a catalyst for stimulating activities which go beyond traditional transportation projects.

Program Administration

Transportation Enhancement projects are funded through the Surface Transportation Program (STP) and administered for the U.S. Department of Transportation by the Federal Highway Administration (FHWA). The Special Projects Branch of the Oklahoma Department of Transportation is responsible for development and administration of the Enhancement Program at the state level.

Funding

The State of Oklahoma anticipates receiving apportionments annually of 10% of the State's Federal STP funds for the Enhancement Program. The Oklahoma Transportation Commission will utilize a portion of the Transportation Enhancement fund for Enhancement Projects deemed to represent the interest of the traveling public in the State of Oklahoma.

The funds provided for under Oklahoma's Enhancement Program are on a **cost reimbursement** basis. The Transportation Enhancement Program is **not a grant program**. Projects approved for funding under the program are eligible for up to 80 % of allowable costs. These allowable costs may include the preparation of construction plans and specifications, environmental mitigation, acquisition of real property, construction, construction management, and interpretation of other activities that enhance the transportation experience. The nominating entity, or Sponsor, is responsible for the remaining cost share. **All cost overruns are the responsibility of the Project Sponsor.**

Cost incurred before Federal authorization are **not reimbursable**. Other ineligible costs are application preparation, and routine or maintenance operations.

What Is A Transportation Enhancement Activity?

A Transportation Enhancement activity can represent a stand-alone project, or be implemented as part of an ongoing Transportation project. As a requirement, all projects must be related to the Intermodal Transportation System. The required relationship must be one of **function, proximity, or impact**. For example, an independent bike path is a

functional part of the Intermodal Transportation System. The removal of outdoor advertising within sight of a highway is justified because of its **proximity**. Retrofitting an existing highway by creating a wetland to filter highway runoff would qualify based on the **impact** of water pollution from the highway. In the case of alternative transportation enhancements such as railroad depot restoration, or trail development, it is not necessary for the project to lie within or be adjacent to the highway right-of-way. Federal guidelines also provide that environmental analysis, planning, design, land acquisition and construction activities necessary for implementing a qualifying transportation enhancement project are eligible for funding

2 Eligibility ---

Sponsor Eligibility

Project proposals will be accepted from Federal and State Agencies, along with Tribal, County, and Local Governments for allocation of transportation Enhancement Funds. Non-Profit Organizations may submit applications through one of the agencies or governments listed. If the applicant is a local government or state or federal agency, then that applicant must include a resolution from the local governing council or commission supporting the project.

Project Eligibility

The Transportation Enhancement program is unique in its focus on non-traditional transportation projects. Project eligibility refers to the requirements that a project must meet in order to be considered for funding. **Eligibility criteria is different from Selection Criteria.** For project selection criteria, see pages 12-13. To be considered for funding, all projects must:

1. Be related to the Intermodal Transportation System. The required relationship must be one of "function, proximity, or impact"
2. Meet at least one of the eleven enhancement categories
3. Involve activities that are over and above normal transportation activities
4. Be open for public access in perpetuity (project must be owned by the sponsor or involve a permanent easement.)
5. Include a local match of at least 20% of the total project cost.
6. Be submitted by a local or tribal government or public agency.

All applications will be acknowledged and applicants will be advised of their application's status. Applications determined to be eligible will be distributed to the Transportation Enhancement Advisory Committee (TEAC) for evaluation. The TEAC will review and analyze candidate projects, then forward their recommendations to the Oklahoma Transportation Commission for funding consideration.

Enhancement Categories

In order for a proposal to qualify for Transportation Enhancement funds, projects must fit into one of the following Enhancement project categories.

1. Facilities For Pedestrians And Bicycles

This category includes providing facilities for bicyclists and pedestrians through a new or proposed transportation project or improving existing transportation facilities beyond what is necessary for safety. The safe accommodation of pedestrians and bicyclists should be implemented during the design, development, and construction of all Federal-Aid Transportation Projects. Because Transportation Enhancement projects under this activity must relate to transportation by function, projects that are solely recreational are not eligible for funding. The design of all facilities must be consistent with the American Association of State Highway and Transportation Officials (AASHTO) standards.

Project Examples: acquisition, development, and construction of separate bicycle and pedestrian facilities, on or off road right-of-ways, or in relation to transit facilities; construction of new sidewalks to ADA standards; widening curb lanes or re-striping to create wider curb lanes and/or bicycle lanes; paving shoulders for bicycle use; providing access to public transit; parking facilities for project use only; bicycle lockers; and

bikeways or pedestrian paths which separate these modes of travel from the motorized transportation system.

Federal Laws allows for funding participation in the preservation of abandoned rail corridors, including the conversion and use thereof for pedestrian and bicycle trails. However, this enhancement activity is restricted in Oklahoma by Executive Order, resulting in an amendment to the Transportation Commission Rules as relating to the Enhancement Program.

2. Safety and Educational Activities for Pedestrians and Bicyclist

This funding category involves education and development of resources which will magnify the public's awareness of innovative safety development in regard to pedestrians and bicyclists.

Project Examples: the development of Bicycle Manuals, Bicycle Rodeos, Helmet Programs, production of Safety Poster and Pedestrian Maps.

3. Acquisition of Scenic Easements and Scenic or Historic Sites

Projects in this category include the use of funds for purchase, donation, transfer, or trade of land that possesses significant aesthetic, natural, visual or open space values, including acquisition of lands and property listed in, or eligible for listing in the National Register of Historic Places. Contact with the State Historic Preservation Officer is necessary to confirm status. Funds may be used for planning and transaction costs including appraisals, surveys, legal costs or purchase costs.

Funds may only be used where the applicant agrees to enforce appropriate mechanisms to preserve the significant scenic and historic values.

Project Examples: acquisition of a scenic easement, scenic site or historic site that enhances the transportation experience as part of the transportation system; acquisition of a historic bridge, transportation terminal, or land around a historic site adjacent to a scenic highway.

4. Scenic or Historic Highway Program Including the Provisions of Tourist and Welcome Center Facilities

This category includes funding for the protection and enhancement of state or federally designated scenic or historical highways. Funds may be used only for projects that will protect and enhance the scenic, historical, cultural, natural and archeological integrity and visitor appreciation of an existing highway and adjacent area. Funds may also be used for the planning, design and development of new state scenic byway programs, as well as the construction and rehabilitation of Tourist and Welcome Center Facilities.

Project Examples: interpretive plaques; restoration of historic lighting standards; historic aesthetic treatment on retaining walls and guardrails; aesthetically pleasing bridge rails for use on scenic highways or in areas of high visual sensitivity. Projects that are not eligible include: construction of safety rest areas; additional lanes, construction of new scenic or historic highway; or lighting that does not have historic impact.

5. Landscaping and Other Scenic Beautification

This category includes landscape planning, design and construction of projects that enhance the aesthetic or ecological resources along highways, other transportation corridors, points of access, and lands in proximity to other Transportation Enhancement projects.

Projects which enhance the attractiveness of a transportation facility include planning, design and construction of scenic vistas and overlooks, restoration of historic landscapes, and construction of landscapes which are compatible with their surroundings. Projects which enhance the ecological balance along a transportation corridor include planning, testing and planting for restoration, or reintroduction of native plant communities and appropriate adaptive species. Activities associated with interpreting sites and providing information about the programs through which resources are preserved are also eligible for enhancement funding.

Project Examples: moving trees outside of clear zones and into more attractive, safer locations; retrofitting existing noise barriers with landscaping; replacement of a utilitarian bridge with another of appropriate architectural qualities in a setting which calls for more than a utilitarian design; roadside ecological viewing areas; development of aesthetically pleasing bridge rails; entrance/exit planting to communities; under grounding overhead utilities.

Funds should not be used for: routine, incidental or maintenance activities such as mowing; tree pruning and removal; soil stabilization; construction of noise barriers; drainage improvement; and post-construction finish work, such as replanting and re-seeding. Seeding and planting vegetation for erosion control would not constitute an eligible landscaping enhancement project.

For landscaping projects that fall within state right-of-way, it is necessary to contact /coordinate with the appropriate ODOT division office and eliminate difficulties arising from location and types of planting.

6. Historic Preservation

Historic Preservation projects should enhance the transportation system by improving the ability of the public to appreciate the historic significance of the project itself or the areas served by the project. Each project must relate to the transportation relationship requirement.

Eligible activities under this category include; identification, evaluation, documentation, acquisition, protection, management, rehabilitation, interpretation, restoration, and stabilization of any historic register district site, structure, or landscape. Such project can include any combination of these activities or may be combined with other program eligible activities. To be eligible for this category, the project must be included, or subject to inclusion, on the National Register of Historic Places. Contact with the State Historic Preservation Officer is required to confirm eligibility status.

All projects must follow historic preservation principles. Any rehabilitation or restoration work must meet the *Secretary of the Interior's Standards and Guidelines for Rehabilitation*.

7. Rehabilitation & Operation of Historic Transportation Building

Structures, Facilities Including Historic Railroad Facilities and Canals

Projects within this category should enhance the transportation system by improving the ability of the public to appreciate the historic significance of the project itself or the area to be served by the project. Projects must relate to the Intermodal transportation system by function, proximity, or impact to be eligible for funding. Proximity alone does not automatically qualify a National Register eligible property for Transportation Enhancement funds. The property must also have a definable historic transportation relationship.

Within this category are all aspects of historic preservation, including identification, evaluation, and management of any transportation related historic districts, sites, structures, objects, or landscapes; included in, or eligible for, inclusion on the National

Register of Historic Places. Contact with the State Historic Preservation Officer is necessary to confirm status.

Historic transportation buildings are buildings or related structures associated with the operation, use, construction, or maintenance of any mode of transportation, and listed in, or eligible for listing in, the National Register of Historic Places. Contact with the State Historic Preservation Officer is necessary to confirm status

Project Examples: tunnels, bridges, trestles, embankments, rails or other guide way, non-operational vehicles, canal viaducts, tow paths and locks, stations, and other man-made transportation features related to the operation, use, construction, or maintenance of any mode of transportation.

Rehabilitation is defined as the process of returning the property to a state which allows a possible contemporary use while preserving the significant historic features of that property. Operation is defined as the provision of access and service in a manner related to both the continuation of a contemporary transportation or non-transportation use consistent with the historic character of the property and open to the general public on a not-for-profit basis.

8. Control and Removal of Outdoor Advertising

Expenditures made to remove existing signs, displays, and devices shall be made according to a legal process that bases payment on an equitable appraisal. Priority should be given to the removal of outdoor advertising signs, displays, and devices on designated scenic roads or in areas where local or state laws or ordinances ban new billboards, and/or in conjunction with other transportation enhancement projects.

In using funds under this category, additional resources may be used to ensure that new outdoor advertising signs, displays, and devices are permitted only in areas actually used for commercial and industrial purposes.

9. Archaeological Planning and Research

This category includes, but is not limited to: research on sites eligible for transportation enhancement funds; experimental projects in archaeological site preservation and interpretation; planning to improve identification, evaluation, and treatment of archaeological sites; problem-oriented synthesis using data derived from (though not limited to) transportation-related archaeological projects; development of national and regional research designs to guide future surveys; data recovery and synthetic research; and projects having similar purposes carried out in partnership with other federal, state, local and tribal government agencies and non- governmental organizations.

Expenditures should be used for research or interpretation of sites associated with transportation facilities, and for excavation when applicable.

10. Environmental Mitigation to Address Water Pollution Due to Highway Runoff or to Reduce Vehicle-Caused Wildlife Mortality While Maintaining Habitat Connectivity

This category is limited to facilities and programs minimizing pollution from storm water run-off from transportation facilities that are in addition to current requirements and procedures for such mitigation.

11. Establishment of Transportation Museums

Projects within this funding category should emphasize the transportation system by providing a collection of documents and artifacts chronologizing the evolution and

significance of transportation as it relates to the Intermodal Transportation System throughout history.

The facility must (1) be a legally organized not-for-profit institution or part of a not-for-profit institution of government entity; (2) be essentially educational in nature; (3) have a formally stated mission; (4) have at least one full-time paid professional staff member who has museum knowledge and experience and is delegated authority and allocated financial resources sufficient to operate the museum effectively; (5) present regularly scheduled programs and exhibits that use and interpret objects for the public according to accepted standards; (6) have a formal and appropriate program of documentation, care, and use of collections and / or tangible objects; and (7) have a formal and appropriate program of presentations and maintenance of exhibits.

Project Examples: the establishment of a facility, restoration and improvement of an existing facility, the acquisition of documents, artifacts and equipment necessary for interpretation. The funds are not intended to reconstruct, refurbish, or rehabilitate existing museums or portions of museums, that are not for transportation purposes. Funding does not extend to projects which are independent of the Intermodal Transportation System.

The museum must be open to the public and run by a public or non-profit organization. If entry fees are charged for access to the museum, a portion of the fees must be provided for the long-term maintenance and operation of the facility.

3 Sponsor Participation_____

The financing of Transportation Enhancement Projects will follow the normal procedures that have been adopted for all Federal Highway projects by the FHWA and ODOT. These procedures include, but are not limited to, securing project authorization, consummating a project agreement, and submitting the necessary documents for finalization of projects.

Federal Funds are not available as reimbursement for any work, project advertising, or purchases performed prior to project authorization by the FHWA. Preparation of the project application is not a reimbursable expense.

Sponsor Match

Federal funds available under the Enhancement Program may be used for a maximum of eighty percent (80%) of the eligible project costs. Successful applicants must agree to provide a **minimum of twenty percent (20%)** of the total project cost. Any sponsor match above the minimum 20%, must be calculated in whole percentage increments.

Project sponsors can propose to provide any work and/or materials beyond the scope of the project proposal as a project cost reduction measure. These activities will not be eligible for matching funding, but will be given additional consideration during the application review and selection process. An example of a cost reduction measure would be expressing willingness to provide the environmental assessment, plans, specifications, and estimates necessary to begin project construction at the project sponsor's expense. This action would thereby remove the expense from the project proposal's total estimated cost and reduce the required sponsor and federal funding.

Although no minimum project funding amount is set, applicants are discouraged from submitting small requests as project administration expenses may not justify approving the proposal.

Innovative Financing Options

With the exception of donated property, in-kind services are no longer eligible for the Sponsor match portion of the project funding. In-kind services may be used to reduce the overall project cost but may not be used as part of the Sponsor match for the project.

Funding Limits

While the maximum project request may not exceed the amount available during any given award cycle, it is recommended that each proposal application not exceed five hundred thousand dollars (\$600,000) in MPO areas and three hundred thousand dollars (\$400,000) elsewhere in the state. **Any proposal requesting more than \$600,000 in the Metropolitan Planning Organization (MPO) areas or \$400,000 in other areas must contain extensive justification indicating extenuating circumstances and unusual project merit.**

Design Requirements

All project design components and cost estimates must conform to applicable design standards for the type of improvement requested (AASHTO, ODOT, applicable building codes, The Secretary of the Interior's Standards Rehabilitation of Historic Buildings, etc)

Project Maintenance Obligations

Each applicant must maintain the safety and aesthetics of the project. The Oklahoma Department of Transportation retains the right to remove a project that is not maintained

if it is located on state right-of-way. Projects involving landscaping on ODOT right-of-way will be the responsibility of the project sponsor. This responsibility will include, but is not limited to all conditions set forth in the construction contract pertaining to planting warranties, vigor of plant material, genus and species, etc., and all future maintenance as specified in the project agreement. Early coordination (prior to submittal) with the appropriate ODOT Field Division office is necessary when the proposed project occurs on ODOT right-of-way.

4 The Application Process

The Public Application Cycle for project proposals to be funded under the Transportation Enhancement Program will consist of two phases. Phase I, termed the **Pre-Application Submission, or PAS**, consists of a preliminary review of all proposals to provide applicants with a technical and eligibility review of the proposed projects. The Special Projects Branch will accept applications for the PAS review beginning June 14, 2010, and continuing through October 1, 2010. **October 1, 2010, is the deadline for all Pre-Application Submissions. No applications will be accepted after this date.**

The PAS review is mandatory. The Applicant will **submit one copy** of the application for technical review that will consist of;

1. Preliminary project eligibility determination
2. Sponsor eligibility determination
3. Organization, clarity, and accuracy of submitted materials.
4. Accuracy and validity of project budget relative to project scope.
5. Review of all necessary supporting documentation (resolutions, production schedules, MPO concurrence letter, etc.)
6. Identify any potential NEPA concerns
7. Identify any potential right-of-way or ownership issues.

The PAS review may reveal issues that require further documentation or clarification by the Project Sponsor. The Special Projects Staff may contact the applicant for additional information or clarification on outstanding issues. **Acceptance of applications through the PAS review is NOT a guarantee of Federal funding.**

Phase II is the **Final Application Submission (FAS)**. Applications that receive a PAS approval must be submitted no later than January 3, 2011. Applications that have not been submitted for a PAS review, or that are submitted after the deadline **will not be accepted.**

All FAS approved proposals will be forwarded to the Transportation Enhancement Advisory Committee (TEAC) for evaluation. After review by the TEAC, a programming request will be forwarded to the Oklahoma Transportation Commission for review and approval. Notice of all Commission approved projects will be posted on the Department website and will occur by June, 2011. The Department will contact all applicants, and successful projects will be available for funding within two months of Commission approval and scheduling review by the Special Projects Branch. **Enhancement Program funding is contingent upon Federal Authorization.**

Candidate projects can be submitted by Federal and State agencies, along with Tribal, County, and local governments with a proposal that fits one or more of the eligible Enhancement categories. Projects which are located within urbanized areas with populations of greater than 50,000 must be submitted in cooperation with the appropriate Metropolitan Planning Organizations (MPO).

Proposals originating from within an MPO area must include a resolution from the MPO stating the willingness to add the project to their current Transportation Improvement Program (TIP). Contact the associated MPO office for information on specific Enhancement Proposal submission procedure for the area. The current Oklahoma MPOs are as follows:

Oklahoma City Area

Association of Central Oklahoma Governments (ACOG)
6600 N. Harvey Place, Suite 200
Oklahoma City, OK 73116
(405)848-8961

Tulsa Area

Indian Nations Council of Oklahoma Governments (INCOG)
2 West 2nd Street, Suite 800
Tulsa, OK 74112
(918) 584-7526

Lawton Area

Lawton Metropolitan Planning Organization (LMPO)
City Hall, 4th & A Avenue
Lawton, OK 73501-4078
(580)581-3375

If you have any questions in regard to your proposed project boundaries, contact your City office, the MPO office or ODOT's Special Projects Branch.

Transportation Enhancement Advisory Committee (TEAC)

Applications will be evaluated by a committee consisting of State Agencies and organizations with a broad-based interest and expertise in areas encompassed by the enhancement program. The committee alone will evaluate and recommend projects to the Oklahoma Transportation Commission for funding.

The Transportation Commission shall have final approval for projects administered through the Transportation Enhancement program. Projects which cannot be funded during the current application cycle may be resubmitted for consideration during future officially announced application cycles.

5

Project Selection Criteria

To submit a project proposal for consideration, complete the attached application form for the category(ies) you believe are relevant to your proposal (see Eligible Enhancement Categories pages 3-7).

Priority Factors

The review and decision process will be guided by the following Priority factors (in no particular order):

Relationship

1. Projects which clearly enhance the quality or utility of existing or new transportation facilities or services.
2. Linking more than one mode of transportation.
3. Number of federal enhancement categories the proposed project encompasses
4. Conservation, Preservation, and/or Air Quality benefits with project implementation.
5. Project is part of an adopted master plan.
6. Project shows new and innovative approaches to enhancing the Transportation system.

Funding

1. Projects will be completed with the Transportation Enhancement funds requested and the matching funds pledged by the applicant. The project must not be dependent on other funding contingencies. It must represent a complete, identifiable, and useable facility or entity rather than only a component of a larger project.
2. The extent to which applicants indicate a commitment to provide extra effort or contribution above the minimum matching fund requirement.
3. Detailed, complete, and realistic project estimate and schedule.

Cost / Benefit

1. Projects which benefit a relatively large percentage of the community's, region's, or State's population.
2. Projects which enhance the State's travel and tourism efforts.
3. Projects which contribute to a wide geographical dispersion of the Transportation Enhancement Funds within the State.

Planning & Design

1. Consistency with local and regional comprehensive land use and transportation plans. Priority will be given to projects which actively advance the goals and policies contained in such plans.
2. Clear and adequate project descriptions.
3. Project schedule is detailed and realistic.

Public Recognition

1. Projects which have the support of clearly recognized public or not-for-profit organizations on national, regional, statewide, or local scope with expertise in the subject matter of the proposed project.
2. Project creates partnerships at local levels.

Other

1. Ability of sponsor to maintain project.
2. Past experience in similar projects.

Cost estimates and schedules should be as accurate and realistic as possible. The Sponsor Applicant should be aware that the amount of funds requested in the project proposal will be the total amount of federal funds obligated, should the project be approved. **All Cost overruns are the responsibility of the Project Sponsor.**

6 The Implementation Process

The regulations, requirements, and components governing to the implementation of Transportation Enhancement projects are briefly described in the following paragraphs. This portion of the application is not meant to be entirely descriptive and is provided for informational purposes only. More detailed instructions and documentation will be provided to project sponsors in conjunction with the programming of approved projects.

Property Acquisition Requirements

The acquisition of real property for the project must conform to the Federal Uniform Relocation Assistance and Real Property Acquisition Policies Act (Uniform Act), as amended, and applicable FHWA reimbursement regulations and requirements. The Sponsor is also responsible for providing verifiable documentation evidencing compliance for any real property that may have been acquired for the project, even though a sponsor is not seeking reimbursement for the acquisition. You must notify ODOT if property acquisition is required, whether the property needs to be acquired by condemnation, purchase, or donation. Property acquisition can require from nine to fifteen months to process through appropriate channels. The Sponsor should factor in this time during the project scheduling process.

Consultant Selection Process

Project sponsors who wish to use a consultant for design activity (plan preparation, archaeology, planning studies, etc.) must follow federal-aid guidelines for procuring consultant services. These guidelines ensure that a qualifications based selection process is used, without reference to fees, so that all firms are given the opportunity to compete for the contract. **The qualifications based selection process must be used in order to be reimbursed with federal enhancement funds.**

Environmental & Cultural Considerations

All projects selected for funding will be reviewed for their potential impact to the environment including biological, physical, and cultural resources. All federally funded enhancement projects must conform to the requirements of the National Environmental Policy Act (NEPA), the National Historic Preservation Act (Section 106), and the U.S. Department of Transportation (DOT) Act [Section 4(f)]. These laws ensure that the environment is both protected and enhanced. All costs for any work done prior to NEPA, Section 106, and Section 4(f) approvals **will not be reimbursed.**

NEPA is a federal law which requires that federal agencies consider natural and socioeconomic factors using a systematic interdisciplinary approach before committing to a project. Section 106 provides for the protection, rehabilitation, restoration, and reconstruction of historic sites and objects significant in American architecture, archeology, and culture. It also established the Advisory Council on Historic Preservation and established procedures to be followed if a federal action impacts significant historic sites. Section 4(f) provides special protection for publicly owned parks and recreation areas, wildlife and waterfowl refuges and significant historic sites. FHWA cannot approve a project that uses land from a Section 4(f) resource unless it demonstrates that there is no feasible and prudent alternative to the use of the resource and that all possible planning has been done to minimize harm to the property.

Project sponsors will be responsible for compiling and submitting all documentation required to secure complete NEPA approval. The Department of Transportation, at its discretion, may choose to oversee the NEPA process at the sponsor level.

Depending on the nature, scale, and location of a proposed project, applicants may be required to supply additional information, maps, or photographs to various federal and

state regulatory agencies for review. Approval by all applicable agencies will be required for the project to be funded.

Permit Requirements

The project sponsor is responsible for obtaining all required permits. These may include, but are not limited to:

- Wetlands permits (COE)
- Building construction permits
- Erosion/sediment control permits
- Storm water management permits
- Waterway construction permits
- Any required local permits

Construction Bid Process

The Sponsor must advertise and let the construction contract for the project to competitive bid in accordance with all applicable Federal and State laws. In the event that a project sponsor is unable to complete the bidding and inspection phase of the project, ODOT may agree to provide the administration. In such an instance, the services to be provided by ODOT will be defined and set forth in the project agreement and ODOT's incurred expenses will be included in the final project cost.

Construction Inspection

The project Sponsor is responsible for construction inspection. Documentation is required for all inspections. ODOT will also inspect the project at predetermined and indeterminate times during the construction process. A final inspection report will be completed and processed through ODOT. The inspection oversight will determine if the contractor is proceeding in accordance with the approved plans and will serve as a valuable source of technical assistance and guidance. Documentation of all activities involved with the project during construction are required by the project sponsor.

Reimbursement

Unless otherwise arranged and agreed to, the following procedure will be used to reimburse the sponsor for approved costs incurred during the project life;

1. The consultant/service provider/contractor bills the project sponsor.
2. The sponsor pays the entire invoice (100%).
3. The sponsor invoices ODOT for 80% of the invoice total (or the total of the invoice less the percentage match required by the sponsor - usually 20%) by using DOT form 324A and attaching an original and two copies of the signed invoice. Documentation of bids, itemized charges, detailed costs, and evidence of bills paid must also be included as supporting documentation for the sponsor's claim.
4. ODOT will reimburse the sponsor after reviewing the invoice and supporting documentation. Again, the reimbursement will be for 80% of the invoice (or the total of the invoice less the percentage match required by the sponsor - usually 20%)

Final Project Report

The Project Sponsor must provide an acceptable final project report which must include complete financial statements with matching share delineated, comparisons of beginning budgets and final disbursements, photographs, copies of press coverage, a copy of any video or multi-media information produced, and a copy of all printed materials and digital or electronic data.

Auditing Requirements

The Project Sponsor must provide a copy of an audit report covering the project which is in compliance with the provisions of the Executive Office of the President, Office of Management and Budget (OMB) Circular A-133, entitled Audits of States, Local Governments, and Non-Profit Organizations.

7 Project Schedule

Timely progression of project tasks is critical to successful implementation of any project. Delays in prosecuting the project to completion can result in inflated design and construction costs and may erode public support for the project.

The amount of time associated with normal tasks required to complete a typical Enhancement project are:

<u>Task</u>	<u>Estimated Time to Completion</u>
Execution of Project Agreement	2 months
Consultant Selection and Contract Approval	2 months
Preliminary Design (50% Complete)	3-4 months*
Final Design (Bidding Stage)	3-4 months*
Project Bidding and Award	1 month
Project Construction	4-8 months*
Final Inspection and Project Closeout	2 months
Final Audit	<u>1 month</u>
	18-24 months*

* Dependent on the type and complexity of the project

Delayed Projects

Typical Enhancement Projects should be completed within 2 years of project award. Delays related to lack of Sponsor matching funding, unavailability of right of way or easements, or unwillingness on the part of the Sponsor to proceed will be viewed as unacceptable delays in completing the project.

The Department will monitor closely the performance of individual projects. Lack of substantial progress will result in notification to the Sponsor that the project is in delayed status. **Continued failure of the Sponsor to proceed in a timely manner will result in the project funds being withdrawn.**



Definitions

Categorical Exclusion

Projects that do not individually or cumulatively result in significant environmental effects and are therefore excluded from the requirement to prepare an environmental document (Environmental Assessment or Environmental Impact Statement).

Clear Zone

The distance beyond the edge of the travel lane that should be clear of any non-traversable hazard or fixed object.

Competitive Bid

Construction projects are required to be advertised and awarded to the lowest responsible and responsive bidder through open competitive bidding.

Cultural Resources

Projects will need to be evaluated for archaeological or historical impact and demonstrate that no adverse impact will occur as a result of the project. Projects involving cultural resources must be evaluated and cleared by the State Historic Society through the State Historic Preservation Officer (SHPO).

Design Standards

Projects on the National Highway System (NHS) must be designed with AASHTO and ODOT approved standards. It is recommended that all projects follow AASHTO guidelines for design and construction.

Disadvantaged Business Enterprise (DBE) Goals

The Oklahoma Department of Transportation has an annual DBE goal which is expressed as a percentage of its total Federal-Aid contract expenditures.

Federal Highway Administration (FHWA)

Administrative branch of the United States Department of Transportation. Responsible for administering the federal-aid highway program to individual states, and working to help plan, develop, and coordinate construction of federally funded projects. The FHWA is the front-line administrator of Enhancement Project funds.

Historic Significance

A project may possess characteristics which make it eligible for or on the National Register of Historic Places.

Matching Funds

The non-Federal share of the cost of a transportation enhancement project (at least 20%) must be provided by the project sponsor.

Metropolitan Planning Organizations

MPO's are comprised of local elected officials, officials of agencies that administer or operate major modes of transportation in the designated metropolitan area, and appropriate state officials or their representatives. MPOs develop transportation plans and programs for the urbanized areas they represent. All enhancement projects in urban areas must have their respective MPOs approval. Oklahoma's MPOs include Lawton, Oklahoma City, and Tulsa.

National Environmental Policy Act (NEPA)

FHWA is responsible for assuring that the projects it funds do not have significant environmental impacts or that an environmental impact statement has been prepared for the project prior to approving project funding.

National Historic Preservation Act

FHWA is responsible for assuring that projects are in compliance with provisions of the Act (primarily Section 106) prior to project approval and funding. The Act provides for the protection, rehabilitation, restoration, and reconstruction of historic sites and objects significant in American architecture, archaeology, and culture.

OAS

Oklahoma Archeological Society.

ODOT

Oklahoma Department of Transportation.

Right-of-Way

A general term denoting land, property, or interest therein, usually a strip acquired for or devoted to highway use.

Section 106

Requires projects be designed with consideration toward the effect the proposed project may have on property that is on, or eligible for inclusion in, the National Register of Historic Places.

Section 404/Wetlands

A project may involve activities in an area which contains wetlands or waters of the United States, and may require a Section 404 permit from the U.S. Army Corps of Engineers. It is a violation of federal law to place fill in waters of the U.S. or in wetlands without the necessary permits.

Section 4(f)

Provides protection for public parks and recreation areas, wildlife and waterfowl refuges and significant historic sites on publicly owned land. It requires demonstration that there is no feasible and prudent alternative to the use of the property and that all possible planning has been done to minimize harm to the property.

Section 6(f)

A project that has a potential involvement with parks or other public lands which may have been purchased or improved using funds from the Land and Water Conservation Fund (LWCF).

Special Projects Branch

A branch of the Project Management Division of the Oklahoma Department of Transportation, charged with administering the Enhancements portion of the Federal Highway funding legislation.

Sponsor

The project sponsor must be a local government or public agency, and is responsible for meeting Federal requirements before a project may be approved and constructed. The local government or public agency is also responsible for; providing matching funds, right-of-way acquisition and utility relocation (if required), competitive bidding process, project inspection, and project auditing.

Statewide Transportation Improvement Program (STIP)

The STIP is a Federally mandated document which provides a system of transportation plans and programs developed by the state for all areas of the state. All modes of transportation must be considered in the STIP. All enhancement projects that are approved by the Oklahoma Department of Transportation must be included in the STIP.

Transportation Improvement Program (TIP)

The TIP is a priority list of projects and project segments developed by an MPO for work over a three year period. All projects proposed for the use of Federal funds within an MPO area must be incorporated into the MPO TIP.

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Application Requirements

It is extremely important that project sponsors read and understand all the information included in the application packet before completing a Transportation Enhancement Candidate Proposal. The proposal format must be closely followed and all required information must be provided to receive consideration for this program.

- Applications will be accepted beginning June 14, 2010. Pre-Application Submission deadline is October 1, 2010. Final Application Submission deadline is January 3, 2011. **No applications will be accepted after this date.**
- Ensure your project proposal meets the minimum requirements (see checklist, part II).
- Additional sheets should be attached to the back of the application and will be limited to:
 - one additional 8.5"x11" sheet for a project location map
 - one additional 8.5"x11" sheet for a detailed cost estimate
 - two additional 8.5"x11" sheets for photographs or renderings
 - resolution from governing board or council
 - three letters of support from state or local officials or groups.
 - As noted previously, project schedules and cost estimates should be as complete and accurate as possible. Should the project be approved, **the amount requested is the total amount of federal funds available for the project.**
- The TEAC will review between 150 and 200 project proposals before forwarding a recommendation to the Transportation Commission. This is a time consuming and labor intensive process. Applications which contain an inordinate amount of information will not necessarily promote your proposal. **Brevity is the key to success.**

Oklahoma Department of Transportation
APPLICATION FOR ENHANCEMENT FUNDS

PART I - APPLICANT INFORMATION

PROJECT TITLE:	
SPONSOR:	
SPONSOR CONTACT:	TITLE:
ADDRESS:	PHONE:
COUNTY:	MPO (IF APPLICABLE)
OWNER OF PROPERTY:	
<i>(The Project Sponsor must either own or have attained a permanent easement on the property in which the Federal Enhancement funds are intended. Property acquisition must occur before construction can begin.)</i>	

PART II - CHECKLIST

Each application must meet these minimum requirements or it will not be considered for funding.

Yes <input type="checkbox"/> No <input type="checkbox"/>	Does the Sponsor guarantee at least a 20% match?
Yes <input type="checkbox"/> No <input type="checkbox"/>	Will the project be open for public access in perpetuity?
Yes <input type="checkbox"/> No <input type="checkbox"/>	Is the Sponsor a State Agency, Federal Agency, Local Government (City or County), or Tribal Entity?
Yes <input type="checkbox"/> No <input type="checkbox"/>	If you are State or Federal Agency or Department, or Local Government, have you included a resolution from the Governing councils or authorities supporting the Proposal?
Yes <input type="checkbox"/> No <input type="checkbox"/>	Does your project fit one of the eleven eligible Enhancement Categories listed below? Please indicate a percentage of the total project costs for the category or categories that apply.
	Facilities for Pedestrians and Bicycles
	Safety and Educational Activities for Pedestrians and Bicycles
	Acquisition of Scenic Easements and Scenic or Historic Sites
	Scenic or Historic Highway Program including the Provisions of Tourist Information Centers
	Landscaping and other Scenic Beautification
	Historic Preservation
	Rehabilitation and Operation of Historic Transportation Buildings, Structures and Facilities, including Historic Railroad Facilities and Canals.
	Control and Removal of Outdoor Advertising
	Environmental Mitigation to address Water Pollution due to Highway Runoff, or to reduce vehicle-caused Wildlife Mortality while maintaining habitat connectivity.
	Establishment of Transportation Museums.

PART III - PROJECT LOCATION

*Provide a brief, yet specific, description of the candidate project, including title, and a location map **no larger** than 8.5 x 11" attached to the application, depicting the boundaries of the proposed project*

PROJECT LOCATION:

PART IV - PROJECT DESCRIPTION

Purpose, enhancement type, size, length, and any pertinent information regarding the project.

PROJECT DESCRIPTION

PART V - TRANSPORTATION RELATIONSHIP

Describe how the project relates to the State's Intermodal Transportation System in terms of function, proximity, or impact. If the project encompasses more than one enhancement category, explain the qualifying relationship.

TRANSPORTATION RELATIONSHIP

PART VI - PROJECT BENEFITS

Describe how the project benefits transportation efforts in the State. (Economic development, Tourism, Safety, etc.)

PROJECT BENEFITS

PART VII - FUTURE MAINTENANCE *The program requires that the Sponsor maintain the project. Describe what the maintenance requirements will be for the project, and how the Sponsor will meet these maintenance needs. If the project will be maintained by organizations other than the project Sponsor, a commitment letter must accompany the application*

PROJECT MAINTENANCE

PART VIII - PROPOSED PROJECT SCHEDULE

A proposed project schedule must reflect all phases (design, bidding, construction, inspection, closeout).

DATE	TASK	FEDERAL FUNDS
	EXECUTION OF PROJECT AGREEMENT	
	CONSULTANT SELECTION	
	PREPARATION OF CONSTRUCTION PLANS	
	COMPETITIVE BID	
	BEGIN CONSTRUCTION	
	FINAL INSPECTION	
	PROJECT CLOSEOUT	
	FINAL AUDIT	

PART IX - PROJECT COST ESTIMATE

All applications must include a detailed cost estimate in addition to the cost estimate summary below. The cost estimate must include an estimate of the percentage of the project to be dedicated to each Enhancement category; landscaping - 20%, facilities for pedestrians and bicycles - 60%, etc.

*if the project is selected the Sponsor will receive only the estimated Federal share that is listed in the application. The Sponsor will be required to match those federal funds with the percentage of funds that is listed in this application. In **NO** case will the Sponsor match be less than 20%. If the project costs exceeds the estimated cost, the Sponsor will be responsible for providing 100% of those additional costs.*

PROJECT COST ESTIMATE SUMMARY			
TASK	FEDERAL FUNDS (1)	SPONSOR FUNDS (1)	TOTAL FUNDS
DESIGN			
CONSTRUCTION			
INSPECTION / TESTING			
ACQUISITION (2)			
UTILITY RELOCATION (3)			
TOTAL PROJECT COST			
TOTAL PROJECT PERCENTAGE			

(1) Must be whole percentages of the total.

(2) All ROW acquisitions must follow applicable federal regulations.

(3) Utility relocation costs must be incidental to the project and limited to no more than 10% of the project budget.

PART X - SPONSOR MATCH

How does the Sponsor guarantee the matching portion of the project? What is the source of matching funds?

SPONSOR MATCH

By signing this application your organization (Local Government, State /Federal Agency or Department) agrees to assume all responsibility for all environmental and cultural resource impacts that this project may have and understands that this programs is subject to availability and eligibility of federal funding. A copy of a resolution from the governing council or board must be attached to the application

_____/_____
TITLE DATE

ATTEST: _____

For PAS submissions, one copy of the application should be forwarded to the Department for review at the address listed below. For final submissions, please include 14 copies of your application along with your original, all stapled in the top left corner, bound materials will not be accepted. Applications submitted, including all contents (photographs, maps, drawings, etc.), become the property of the Oklahoma Department of Transportation and will not be returned.

MAIL OR DELIVER TO:

Oklahoma Department of Transportation
Special Projects Branch
200 N.E. 21st Street
Oklahoma City, OK 73105-3204

The Special Projects Branch members are available to answer any questions you may have.

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