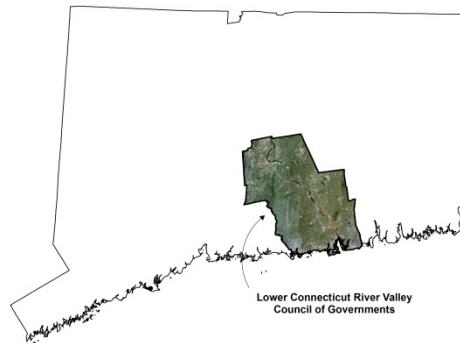


# **LOWER CONNECTICUT RIVER VALLEY COUNCIL OF GOVERNMENTS**

## **LOTCIP Project Selection Process & Project Rating Criteria**



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## **I. Project Selection and Funding Process**

### **Introduction**

The Local Transportation Capital Improvement Program (LOTICIP) is a state program that provides state funding in lieu of federal transportation funds (STP-U) which that have been traditionally programed on local road projects. The use of state funds for these types of projects eliminates the federal Title 23 requirements tied to using the federal transportation funds, making it easier for municipalities to make capital improvements related to the transportation system.

### **Total Funding**

State LOTICIP funding is allocated to regions according to a federal distribution formula based on the population of urbanized areas. This is the same formula previously used under the STP-Urban program. The LCRVCOG region makes up 4.1% of Connecticut's urban population. The LOTICIP program provides for \$45,000,000 in funding for FY 2014 and 2015. Therefore the region received \$1,800,000 per year for a total of \$3,600,000

The June 2015 state budget was to allocate \$74,000,000 for FY 2016 and FY 2017. This would have increased the region's sub-allocation to approximately \$3,000,000 per year for a total of \$6,000,000. The State Bond Commission has currently allocated \$45,000,000 for FY 2016 with an additional \$29,000,000 legislated for FY 2016 to be made available as needed.

In future years CTDOT will provide the regions with funding estimates based on their capital budget request which will be confirmed based on the adopted budget, and funding is not available until allocated by the State Bond Commission. It is recommended that the COG Board "over program" these funds to assure that the available funding is utilized within the region in a timely manner.

### **Funding Responsibility**

The project design and engineering phase costs are not eligible for LOTICIP funding and are the responsibility of the municipality. Rights of way phase cost may be either funded with 100% municipal funds or 100% LOTICIP funds depending on the circumstances. The construction phase utilizes 100% LOTICIP funding.

### **Project Eligibility**

LOTICIP projects should address regional transportation priorities through capital improvement projects similar to STP-Urban program it replaces and therefore must meet the same requirements. A region may allocate 15% of their annual LOTICIP funds (or \$500,000) to pavement preservation, pavement rehabilitation, and stand-alone sidewalk projects. Transportation enhancement / alternatives projects are also eligible within reasonable limits. Projects must have a minimum construction cost of \$300,000. Planning studies may be eligible for LOTICIP funding provided they meet CTDOT's current Planning Study Process.

**Regional Projects**

LCRVCOG is seeking to use LOTCIP funding for traditional transportation roadway capital improvement projects that will improve the physical condition of the regional roadway network or correct existing traffic problems relating to roadway congestion, safety, and geometry. Non-capital improvement projects, may also be considered by the COG/MPO Board, but may be funded under other specific programs after further review.

**Eligible Applicants**

Eligible applicants include all LCRVCOG member municipalities. Requests from other organizations must be made through a member municipality.

**Eligible Roadways**

Projects on urban roadways classified as collectors or higher are eligible. These roads are mapped in Appendix A. Projects on state highways are eligible but may also be funded under the STP-Urban program if deemed a priority by CTDOT. Projects outside the urban boundary classified as a major collector or higher are eligible since the LCRVCOG is considered an urban region.

**Project Size and Cost**

The proposed projects must at a minimum, have a total project cost of \$300,000 and it is expected that the majority of proposed projects will range between \$1,000,000 and \$2,000,000. Administrative costs associated with projects under \$300,000 are prohibitive, whereas large projects consume a disproportionate share of funds. Large projects take a disproportionate share of program funds; therefore projects utilizing greater than \$3,000,000 of LOTCIP funding will not be approved.

Per CTDOT guidelines, if there is a significant change in scope or 20% or greater increase in cost municipalities are required to submit justification to CTDOT through the COG.

**Project Solicitation**

Projects will be solicited by the LCRVCOG based on available funding levels relation to the obligated funding schedule. The obligation schedule is an active document where approved projects may move within fiscal years or obtain funding from other program sources. As a result of this ongoing process, projects will be reviewed and solicited on an ongoing basis to assure the over programming of funding in an effort utilize all available dollars.

**Project Rating and Approval Process**

Proposed projects will be reviewed by COG staff for eligibility and completion using the approved rating system. Additional information, such as traffic data collection and field reviews may be performed by staff.

Staff will rank all eligible projects in order of highest rated to lowest rated. Based on the project rankings, staff will prepare a list of projects that consists of; projects that can be funded within the total funding award limit under LOTCIP, and projects that fall beyond the funding limit and could potentially be funded by other programs or under future LOTCIP solicitations.

The list of ranked projects that can be funded shall be submitted to the LCRVCOG MPO Board for its consideration and approval. The list shall then be submitted to CTDOT for consideration and approval. The list of projects that cannot be funded shall be submitted to the LCRVCOG MPO Board for future consideration and identification of alternative federal or state funding programs. Once approved, the municipality will be informed by CTDOT of the project's funding commitment, at which time the municipality may begin the design phase.

#### **CTDOT Quarterly Reporting Requirements**

Municipalities with projects active in the design and construction phases will be required to submit quarterly updates to the LCRVCOG. Updates should be provided by September 1<sup>st</sup>, December 1<sup>st</sup>, March 1<sup>st</sup>, and June 1<sup>st</sup>. Updates will include information needed for LCRVCOG staff to compile and submit to CTDOT the Regional Quarterly Status Report appearing in the CTDOT LOTCIP guidelines.

An expenditure summary form also needs to be completed by municipalities that made eligible expenditures during the state fiscal year. The intention is that the form be filled out by the municipality's independent auditor as part of their annual audit.

#### **CHRO Contractor Compliance Requirements**

Effective October 1, 2015 contractors selected for public works projects using state funds must comply with CT General Statutes §§ 4a-60, 4a-60a, 4a-60g, and 46a-68b through 46a-68f, inclusive, as amended by June 2015 Special Session Public Act 15-5. An Affirmative Action Plan must be filed with and approved by the Commission on Human Rights and Opportunities prior to the commencement of construction.

State law requires a minimum of twenty-five (25%) percent of the state-funded portion of the contract for award to subcontractors holding current certification from the Connecticut Department of Administrative Services ("DAS") under the provisions of CT General Statutes § 4a-60g, as amended (25% of the work with DAS certified Small and Minority owned businesses and 25% of that work with DAS certified Minority, Women and/or Disabled owned businesses). The contractor must demonstrate good faith effort to meet the 25% set-aside goals.

#### **Project Schedule**

Projects should not take greater than thirty-six months from commitment to fund to authorization to advertise.

#### **Project Submission**

Municipalities can submit no more than two proposals in a given solicitation period.

## II. Project Rating Criteria

All capital improvement projects submitted under the LOTCIP program will be evaluated based on the following criteria. Using the project rating criteria noted in this section will help to maintain consistency in the rating process. It is the responsibility of the applicant to provide a description and explanation of how they meet any of these criteria. Staff will review each application and determine the number of points warranted for the benefits described by the applicant. It should be noted however, that much of the rating process is based on qualitative judgments and no single set of criterion can be used to assess all the potential types of projects that may be submitted.

- 1) Regional Significance (10 points)
- 2) Traffic Volumes/Transit Ridership (15 points)
- 3) Traffic Improvements (15 points)
- 4) Structural Improvements (15 points)
- 5) Environmental Importance / Impact (10 points)
- 6) Complete Streets (10 points)
- 7) History (5 points)
- 8) Project Readiness (5 points)

### 1. Regional Significance

Regional significance measures the scale at which the project benefits the region and improves the movement of persons and goods within it. Projects are rated to indicate whether the proposed benefits are received on a statewide level, regional level, multi-town level, town level, or sub-town level. Additional points are awarded to projects that support transit oriented development based on distance transit from the nearest point of the project, as well as connection with bicycles and pedestrian and other TOD initiatives within the project area. Additional points are given to projects that will enhance the economic development of the region.

#### Overall transportation benefits

Statewide benefits	5 points
Regional benefits	4 points
Multi-town benefits	3 points
Town benefits	2 points
Sub-town benefits	1 point

#### TOD benefits

Half mile from transit	1 point
Quarter mile from transit	2 points
Connections with other modes	1 point

#### Economic benefits

Enhance economic development	2 points
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## 2. Traffic Volume/Transit Ridership

Traffic volume and transit ridership measures the number of persons that will directly benefit from the proposed project or improvement. Traffic volume should be compared using current average daily traffic (ADT) volumes performed by LCRVCOG or the towns when the projects are submitted. If this data is unavailable, then CTDOT counts taken closest to the proposed project locations during the most recent year should be used. Transit ridership should be compared using ridership per day. Projects are rated to favor those with higher traffic flows or transit ridership.

Traffic Volume		Transit Ridership	
ADT greater than 5,500	10 points	R/D greater than 200	5 points
ADT 4,000 to 5,499	8 points	R/D 150 to 199	4 points
ADT 2,500 to 3,999	6 points	R/D 150 to 149	3 points
ADT 1,000 to 2,499	4 points	R/D 50 to 100	2 points
ADT less than 999	2 points	R/D less than 49	1 points

## 3. Traffic Improvements

Traffic operational improvement ratings measure the extent that a proposed project or improvement will correct or lessen the severity a traffic problem. One point is given for each "yes" answer to each of the three following questions for a maximum total of five points.

- 1) Improve traffic flow - Will the project reduce congestion (travel time and delay, etc.)? Indicate degree of improvements – 5 points.
- 2) Improve geometry - Will the project improve the existing geometry (lessen curve radii, increase sightline, decrease number of curb cuts, etc.)? Indicate degree of improvements – 5 points.
- 3) Improve safety - Will the project improve traffic safety (lessen vehicular crashes and run offs, etc.)? – Indicate degree of improvements – 5 points.

## 4. Structural Improvements

Structural improvement ratings measure the extent that a proposed project or improvement will correct or lessen the severity physical structural problem of a roadway, bridge, or culvert. Towns should provide any available ratings such as a pavement condition index from their pavement management system or state ratings on bridges. Structures with the highest structural deficiency rating will be assigned higher priority.

Pavement condition	
Failing (base rehabilitation)	5 points
Poor (structural improvement)	4 points
Fair (preventative maintenance)	3 points
Good (routine maintenance)	2 points
Excellent (do nothing)	1 point

### Drainage system

Five points – One to five points are awarded if the project remedies problems relating to surface or sub-surface drainage systems deficiencies, such as icing or ponding on roadways or water in

the roadway base depending on severity of the problem and degree which the problem will be reduced.

#### Bridges and culverts

Five points – One to five additional points are awarded project remedies problems relating to bridge condition deficiencies or hydraulic capacity, such as deck or super structure repairs, or flooding adequacy depending on severity of the problem and degree which the problem will be reduced.

### **5. Environmental/Environmental Justice**

One principal of Environmental Justice (EJ) is to avoid, minimize, or mitigate disproportionately high and adverse human health and environmental, social, and economic impacts on minority and low income populations. The EJ process investigates the relationship between the proposed project and minority and low income populations. Projects will be reviewed in a local context in relation to minority and low income populations so as not to skew the ranking using regional data. Projects will be awarded up to seven points if the projects benefits low income and/or minority neighborhoods.

Green infrastructure includes the implementation of new technologies and methodologies that help reduce environmental impacts associated with transportation. It includes ways to reduce storm water runoff and associated pollutants, promote the use of recycled materials, bring natural elements into streets, reduce “heat island” effects, and improve the access and accommodations for pedestrians and bicycles. Examples include; permeable pavement, bioswales, bioretention cells, vegetative filter strips, reclaimed or recycled pavements, and in-place reclaiming of existing pavements, etc.

#### EJ

One to seven points based on benefits/burdens to EJ communities.

#### Green infrastructure

One to three points based on implementation of green infrastructure.

### **6. Complete Streets**

Complete Streets policies aid planners and engineers in designing and operating the entire right of way to enable safe access for all users, regardless of age, ability, or mode of transportation. This means that transportation projects will make the street network better and safer for drivers, transit users, pedestrians, and bicyclists making the community better place to live.

#### Bicycle supportive projects

One to three points is provided to projects that improve the safety and mobility if bicyclists or helps to achieve the goals of the regional bicycle and pedestrian plan.

#### Pedestrian supportive projects

One to three points is provided to projects that improve the safety and mobility of pedestrians or helps to achieve the goals of the regional bicycle and pedestrian plan.



#### School zone projects

One point is provided to projects that address vehicular, bicycle, or pedestrian safety in school zones.

#### Traffic calming

One to three points is provided to projects incorporating traffic calming improvements such as reduced lane width, streetscape elements and other measures as appropriate.

### **7. Project Record**

Projects will be awarded one to five points if they are based on recommendation in a state, regional, or local plan. These may include bicycle and pedestrian plans, long range transportation plans, capital infrastructure plans, safety plans, corridor studies, economic studies, plans of conservation and development, etc.

### **8. Project Readiness**

Project readiness is a measure of the current status of the project.

#### Finances

One to two points may be awarded to a project that leverage other sources of financing in relation to LOTCIP funds such as supplementing other funds to fully fund a project.

#### Current status

One to two points may be awarded to projects from municipalities that have not previously been awarded of LOTCIP job or does not have a current project between the “commitment to fund” and “authorization to bid” stages of the LOTCIP process.

#### Design

One point may be awarded to projects that are ready to enter the final design phase of the process.

### **9. Non-capital improvement projects**

The majority of LOTCIP projects will be capital improvement projects. COG’s may allocate the greater of 15% or \$500,000 to pavement preservation/pavement rehabilitation, exclusive sidewalk projects or planning studies.

Pavement preservation/rehabilitation projects will be evaluated on the criteria listed above minus the traffic improvement criteria (heading 3).

Sidewalk projects will be evaluated based on criteria headings five through eight with a focus on complete streets.

Planning studies will be evaluated based on CTDOT’s current planning study process and study screening application.

## **Appendix A Eligible Roadway Maps**

The following links show functional classification maps by municipality. Roads must be classified as an urban collector or rural major collector to be eligible.

<http://www.ct.gov/dot/cwp/view.asp?a=3532&q=553996>

<http://www.ct.gov/dot/lib/dot/documents/dpolicy/policymaps/fcl/pdf/fclpdf.pdf>

**Appendix B**  
**CTDOT LOTCIP Guidelines**

The following link is the current CTDOT LOTCIP Guidelines.

[http://www.ct.gov/dot/lib/dot/documents/dhighwaydesign/LOTCIP\\_guidelines\\_20131104.pdf](http://www.ct.gov/dot/lib/dot/documents/dhighwaydesign/LOTCIP_guidelines_20131104.pdf)

**Appendix C**  
**CTDOT Bicycle and Pedestrian Needs Assessment Form**

The following link is the CTDOT Bicycle and Pedestrian Travel Needs Assessment Form.

[http://www.ct.gov/dot/lib/dot/bicycle\\_pedestrian\\_needs\\_assessment\\_version\\_2.0\\_\(7-3-2013\).pdf](http://www.ct.gov/dot/lib/dot/bicycle_pedestrian_needs_assessment_version_2.0_(7-3-2013).pdf)

**Appendix D**  
**CTDOT Cost Estimating Guidelines**

The following link is shows the CTDOT 2016 Cost Estimating Guidelines.

[http://www.ct.gov/dot/lib/dot/documents/aec/cost\\_estimating\\_guidelines.pdf](http://www.ct.gov/dot/lib/dot/documents/aec/cost_estimating_guidelines.pdf)

**Appendix E**  
**Additional LOTCIP Information**

The following link is for the CTDOT Office of Engineering's LOTCIP webpage. This page provides additional information such as Public Act 13-239, final design submission forms, and reporting and expenditure forms.

<http://www.ct.gov/dot/cwp/view.asp?a=2303&Q=536574>