



CSTP/LBR/HSIP Federal Funding Policies and Project Application Manual

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Introduction

The Ohio Department of Transportation (ODOT) has long made Federal highway funds available to the counties for local road and bridge improvements.

Rural Secondary System/Surface Transportation Program

For many years ODOT annually allocated federal Rural Secondary (RS) funds to each county for projects on the Federal-aid Rural Secondary System. The Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA) replaced this RS funding with Surface Transportation Program (STP) funding, eliminated the Federal-aid Rural Secondary System, and instead based STP funding eligibility on highway functional classification. At that time ODOT began allocating STP funds to the counties in place of the RS funds.

In 1994 ODOT turned administration of this STP funding program over to the CEAO, and began allocating the funds to the CEAO rather than to the individual counties. The CEAO designated it as the County STP (CSTP) program, and established policies and procedures for administering it as outlined herein. The CSTP funding level is currently \$14.3 million per year.

Bridge Replacement and Rehabilitation Program

ODOT began making federal Bridge Replacement and Rehabilitation (BR) funds available to counties and cities for local bridges in the early 1980's. A \$2.5 million BR programming limit was set for each county or city, and construction projects were funded first come-first served within annual statewide BR funding limits. Federal funding of PE and R/W was permitted if the cost of these phases exceeded \$100,000.

The federal Bridge Replacement and Rehabilitation Program was not substantially changed by ISTEA. Bridges longer than twenty feet on any public road are eligible for BR funding consideration, and project eligibility was based on the sufficiency rating data in the National Bridge Inventory. MAP-21 retained the bridge length requirement, but eliminated the sufficiency rating requirement. In 1997 ODOT turned administration of the county portion of this local bridge program over to the CEAO. The CEAO designated it as the County LBR (LBR) program, and established policies and procedures for administering it as outlined herein. The LBR funding level is currently \$34.4 million per year.

Highway Safety Improvement Program

Highway Safety funds had previously been a required set-aside within the federal Surface Transportation Program. With the passage of SAFETEA-LU in 2005, the Highway Safety Program became a separate program. In 2006, ODOT required that CEAO spend half of its CSTP funds on safety projects, and it was subsequently determined that the CSTP and HSIP funds would be administered by CEAO as separate programs. Thus the funding for the CSTP program was reduced to \$10.25 million, and the County HSIP program was established at \$12 million. The current HSIP funding level is \$14.3 million per year.

County Local Bridge Program (LBR)

Eligibility Criteria

To be federally eligible for BR funding a bridge can be on any public road, and it must be greater than 20 feet in length (clear span measured along highway centerline).

The requirement that the bridge must be classified as structurally deficient (SD) or functionally obsolete (FO) in the National Bridge Inventory, and have a sufficiency rating of 80 or less for rehabilitation and less than 50 for replacement was eliminated by MAP-21.

If BR funding is used on a bridge, the improvement undertaken must be sufficient that it is no longer classified as deficient according to the federal eligibility criteria. Any bridge that undergoes or has previously undergone major rehabilitation (whether accomplished with BR funding or not) is ineligible for federal BR funding for 10 years.

Funding under the County LBR program shall be limited to federally eligible bridges for which the county engineer has maintenance responsibility, including those partially or wholly within villages or incorporated areas.

County bridges from 10 to 20 feet in length are not eligible for federal BR funding, but can be submitted for funding consideration under the CSTP program. Bridges on state highway extensions within municipalities are currently ODOT's responsibility and thus are not being funded under either the LBR or CSTP program.

Program/Funding Guidelines

Each county may program eligible bridge projects up to a \$7.5 million overall federal BR funding limit for projects within any 4-year LBR program period, subject to a 6-year statewide LBR programming limit. Previously, bridges costing greater than \$2.5 million did not count against a county's \$7.5 million BR funding limit. Beginning in 2017, the first \$2.5 million of all bridge projects will count toward this limit, but any costs in excess of \$2.5 million will not be counted. The maximum LBR funding allocated to a single project will be limited to \$5 million.

The LBR funding for a project shall be limited to the estimated cost of the most practical and/or cost-effective structure for the location unless an exception is warranted due to the circumstances involved. Transportation enhancements will not normally be funded. The pre-approved cost increase policy outlined in this manual will be applicable to all LBR projects, subject to the \$5 million funding limit per project.

The combined total length of approach work eligible for federal BR funding is normally limited to 400 feet. However, additional approach work may be eligible if required to achieve normal touch down, to provide minimum transitions in accordance with AASHTO geometric standards, or to exercise reasonable design engineering due to safety or other special considerations. Approach work eligibility will be determined by the FHWA with concurrence from the respective ODOT District.

Federal Participation Guidelines

Preliminary engineering (PE) and right-of-way (R/W) will not be federally funded under the county LBR program unless the CSTP/LBR Committee determines that it is warranted. However, the CEAO environmental and right-of-way task orders, which are detailed later in this manual, can be utilized to assist with some of the tasks required in these phases. The federal participation rate for construction and construction engineering is normally 80% although some counties have Credit Bridge Program (CBP) credit or specially granted Toll Revenue Credit (TRC) available to increase the federal share. These credit financing programs are discussed later in this manual.

The CEAO made an exception to the normal 80% participation rate for all LBR projects receiving federal authorization after October 5, 2000, and advanced to bid letting before the end of FY 2005 or later if they were delayed beyond FY 2005 due to LBR funding constraints. During this period all LBR projects were funded 100% federal using TRC. While this funding policy was in effect, CBP and TRC credits previously earned by individual counties were only used to cover cost increases on previously sold credit funded bridge projects.

The CEAO has made an additional exception for the projects sold after FY 2005 and not grandfathered for 100% LBR funding. Starting in FY 2006 and ending at the close of FY 2008, the CEAO provided 90% LBR funding using TRC to cover the extra 10%. Counties having CBP or TRC credits available were permitted to use their credit to increase the participation rate to 95% federal. To simplify the financing/accounting effort, when a county sold the last bridge project for which they had credit available, that project was funded at 95% federal even if their credit balance was not sufficient to fully cover it.

Beginning in FY 2009, due to the lack of availability of additional TRC, all LBR projects were returned to an 80% federal/20% local funding share. Counties having CBP credits available are permitted to use their credit to increase the participation rate to 95% federal. When a county sells the last bridge project for which they have credit available, the project will be funded at the percentage their credit allows them to reach.

Project Development Guidelines

All LBR projects that are being administered and let in the traditional manner by ODOT must be designed and constructed in accordance with ODOT's *Location and Design Manual* criteria and *Construction and Material Specifications*.

Counties are encouraged to use the ODOT LPA project administration policy outlined in this manual and outlined in the *ODOT Locally Administered Transportation Projects Manual of Procedures* to help expedite the development and sale of projects. Under this policy, ODOT involvement in project development and construction award and administration is minimized.

LBR Program Bridge Ranking Prioritization/Approval Process

Using a bridge ranking process adopted with ODOT approval, the CEAO will annually select new bridge projects each July to maintain a 6-year LBR funding program. In May of every year, CEAO will produce a list of all the bridges in each county that are currently eligible for County LBR funding for rehabilitation or replacement. This list will be sent to each County Engineer along with a notification letter that LBR applications are currently being accepted. To be considered for funding, all applications must be received in the CEAO office by June 30th. Once all the applications are received, they will be ranked in accordance with the approved scoring system.

To guarantee funding for counties with the worst bridge conditions, up to \$10 million will be earmarked each year for eligible bridges in target counties. Target counties are those that have a deck area deficiency percentage greater than the statewide average based on a GA of 4 or less. For this purpose, CEAO will develop an updated list of these target counties based on the latest bridge inventory data.

The annual bridge approval process will involve three steps:

- 1) Bridges with a GA of 4 or less located in target counties are considered target bridges. Applications for target bridges will be selected by rank until \$10 million of LBR funding is committed. Bridges selected within this \$10 million earmark will not be subject to re-ranking against new bridge applications the following year.
- 2) To encourage additional counties to participate in the program, each county will be guaranteed to have at least one LBR project funded every four years. Thus, if a county has no LBR projects approved for funding within the three program years immediately prior to the year currently being funded, the highest-ranking bridge application from that county will automatically be approved. Bridges selected under this 4-year provision will also not be subject to re-ranking against new bridge applications the following year.
- 3) All the remaining bridge applications will be selected based on rank score until the balance of the LBR funding is used. During this step, additional target bridges may be selected for funding; however, these will not be exempt from re-ranking the next year.

All new projects selected for funding each year will be placed in the 5th or 6th program year, based on their rank score in comparison to the 5th year projects approved the previous year (except those exempted from re-ranking under the \$10 million target earmark or the 4-year provision). The goal of this re-ranking provision is to give the higher ranked (worse) bridges each year the potential to be scheduled in the 5th rather than the 6th program year, and to thus avoid this re-ranking process the following year.

Any bridge applications not approved for funding under this annual ranking process will have to be resubmitted for future funding consideration. They will be subject to future approval based on their relative rank at that time, and will not receive any priority consideration on the basis that they were previously submitted but not approved.

The bridge ranking system will also be used to determine priority whenever LBR funding availability allows projects to be advanced a year, or requires that projects be delayed a year to maintain annual fiscal balance. Whenever a project has been delayed due to fiscal constraint, it is no longer subject to further delay due to fiscal constraint, nor will it be subject to the annual re-ranking process if it has been delayed into the 5th program year.

CEAO Bridge Project Ranking Score (Maximum Points Available: 270)

Projects will be prioritized for funding based on the following criteria:

		<u>Points</u>
1. Bridge Sufficiency Rating: (Up to 100 points max)	Replacement	100 – SR
	Rehab	130 – SR

Definitions: Replacement – Replacing both the superstructure and substructure

Rehab – General maintenance activities, replacing just the superstructure or replacing the superstructure and a portion of the substructure (i.e. piers or abutments)

2. General Appraisal:	GA = 0	75
	1	75
	2	60
	3	40
	4	20
	5 or higher	0

3. County Priority: 30 points

Points are to be allocated by the County Engineer and should be denoted on the LBR application. The points can all be placed on one application or can be split in any combination between a county's applications.

4. Current Funds Programmed divided by Total County Bridge Deck Area:	\$0.00/sq. ft.	15
	\$0.01 – \$3.00/sq. ft.	10
	\$3.01 - \$10.00/sq. ft.	5
	\$10.01 or greater/sq. ft.	0

5. Overall County Deficiency: (Bridges w/GA of 4 or less) (Pick # or sq ft by whichever yields higher point value)	≥100 Bridges or ≥100,000 sq ft	25
	99≥75 Bridges or 99,999≥75,000 sq ft	20
	74≥50 Bridges or 74,999≥50,000 sq ft	15
	49≥25 Bridges or 49,999≥25,000 sq ft	10
	24≥10 Bridges or 24,999≥10,000 sq ft	5
	<10 Bridges or <10,000 sq ft	0

6. Bridge Load Limit:	5 ton or less (12.5% legal)	25
	≤ 10 ton (25% legal)	20
	≤ 15 ton (37.5% legal)	15
	≤ 20 ton (50% legal)	10
	>20 ton (50% legal)	0

Notes:

(1) If a bridge qualifies for replacement but funding is only requested for rehabilitation, the sufficiency rating score must be adjusted to reflect that the planned improvement is a rehabilitation (i.e. the SR will be subtracted from 130).

(2) Every bridge must be submitted on a separate application. If multiple bridges are selected for funding, they may then be combined into one project.

(3) Stand-alone bridge painting projects, which were previously excluded from County LBR funds, will now be accepted. However, they will be subject to the ranking process above and will be funded accordingly. Transportation enhancement activities are still normally excluded from LBR funding.

Federal/State Exchange Program

This program was developed in an effort to streamline the project development process for certain bridge projects. Starting in FY 2015, ODOT has allowed CEAO to exchange up to \$12.5 million per year of federal LBR funds for state dollars. Counties apply to CEAO to exchange their federal funds for state funds on an individual project. Once approved by CEAO, counties must request approval from ODOT. Once approved by ODOT, responsibility for project development rests with the county with minimal further involvement from ODOT.

The state funds for exchange projects can only be used for the construction phase of the project. No federal money can be used in any of the other project phases, so the CEAO task orders cannot be used.

Exchange Program Process

- County submits Request to Exchange Federal Funds for State Funds form to CEAO
 - One form must be submitted for each project
 - All projects requesting to use the exchange process must be Local-Let
- CSTP/LBR Committee will determine if the project is approved for the exchange and a letter will be sent to the County
 - Funding will stay at the same pro-rata share as the federal funding [i.e. 80% state (SAC 4C87)/20% local or 95% state (SAC 4C87)/5% local if county has credit bridge credit]
- Upon approval, the County will request a field review of the project with the respective ODOT District
 - Field Review will use the Federal/State Exchange Field Review Form
- If project meets field review form criteria, County sends Request to Exchange Letter to ODOT Central Office for approval with a copy to the ODOT District LPA Manager
- If approved by ODOT, Central Office will send an approval letter to the County with a copy to the respective ODOT District.
- County then works with the District to program the project and enter into an LPA Agreement. The field review form will be used in place of the scope document. All milestones in Ellis will be flagged as N/A except for sale, award, begin construction, and end construction.
- County performs all project development activities with local funds (or other non-federal funding source). This includes:
 - Environmental
 - County performs any environmental coordination activities required for the project in accordance with the Ohio Revised Code.
 - If the project involves in-stream work or impacts to other water resources, county obtains a 404 Nationwide Permit from the USACE
 - County submits Federal/State Funding Exchange Environmental Permit Verification to District LPA Manager
 - Right-of-Way
 - County acquires any right-of-way needed for the project in accordance with the Ohio Revised Code.
 - County submits Certification of Right of Way Control Letter 1 State Funding Exchange Program letter to District LPA Manager.
 - Design
 - County may do design work in-house or may hire a consultant for design (Quality-Based Selection process must be used for all contracts of \$50,000 or more).
 - Design will be done in accordance with AASHTO standards (there is no minimum bridge width requirement; however, the bridge cannot be functionally

- obsolete upon completion of the project)
 - Approach roadway work is typically limited to 200 feet on either side of the bridge or to reach reasonable touchdown points or as needed for vertical and horizontal roadway deficiencies related directly to the bridge.
 - Proprietary items and other items prohibited for federal funding will not be eligible for state funding under the program.
- County prepares bid package (No ODOT submittal or authorization required)
 - State prevailing wage still applies to these projects so language to that effect must be included in the bid package
 - A 5% EDGE Goal must be included
- County advertises the project for three (3) weeks and then awards the project
- County sends Award paperwork to the District LPA Manager with a request to encumber the funds. (This is the same award paperwork as for a federal local-let project.) **County must receive a copy of the encumbrance before authorizing the contractor to begin work. (If the contractor begins work prior to receipt of the encumbrance, the project will be ineligible for reimbursement.)**
- County Requests Payment of State Funds
 - State fund exchange dollars will be paid to the County on a reimbursement basis (or direct-pay to the contractor) up to the amount specified in the LPA Agreement. The County must submit to ODOT a request for payment that includes appropriate documentation for the expense (use same invoice paperwork as for a federally-funded project). A request for payment may be submitted at the completion of the project, or progress payments may be made during construction of the project.
 - Both the County Engineer and the District LPA Manager and/or Construction Monitor must sign off on invoices.
 - If the County is requesting reimbursement for Construction Engineering labor, the County must keep sufficient documentation including completed timesheets.
- Change Orders
 - Unlike a typical Local-let project, LPAs are not required to submit change orders to the District Construction Monitors for review and or concurrence in the case of those that meet the definition of “significant”.
 - While it is not necessary for project change orders to be submitted to the district, it is still the responsibility of the LPA to ensure that Exchange projects are constructed within the financial parameters of the funding cap established by the CEAO. Those that exceed that cap will be 100% local responsibility, unless an increase is approved by the CEAO.
- Final Review
 - During construction, ODOT may enter the project site, but they will not monitor construction records or material specifications.
 - Upon completion of the project, the County will notify the ODOT District. ODOT will perform a final review to ensure that the bridge project is complete and will fill out the close-out documentation.
 - In the event that a construction issue is identified, the LPA and ODOT District staff will meet in an effort to resolve the issue.
 - If the project involves an off-system bridge, ODOT will apply for and earn the credit bridge credit. The District credit bridge coordinator will complete the credit bridge paperwork as necessary.

A copy of the most up-to-date federal/state exchange process and all of the necessary applications and forms can be found on the CEAO website at the following link:

<https://associationdatabase.com/aws/CEAO/pt/sp/cstpprograms>

County Surface Transportation Program (CSTP)

Eligibility Criteria

To be eligible for federal STP funding a project must be on a road functionally classified as a Rural Major Collector or above or on a Local Road or Rural Minor Collector if that road was on the Federal-aid Rural Secondary System (FASS) as designated on January 1, 1991. In addition, safety projects and projects to improve bridges of 20 feet or greater clear span on any public road are federally eligible for STP funds. Safety projects are defined later in this manual.

In addition to the foregoing, a provision of the 1998 Transportation Equity Act for the 21st Century (TEA-21) allowed up to \$3,049,086 million of Ohio's annual STP apportionment to be used for projects (other than safety and bridges) on Rural Minor Collectors. This provision was not continued with the 2005 Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) but was later reinstated with the 2008 passage of the SAFETEA-LU Technical Corrections Act and was continued in MAP-21 and the FAST Act.

The CEAO will consider funding projects on eligible County roads that are within the Federal-aid Urban System (FAUS) boundary of an urban or urbanized area but not within corporate limits if the county has determined that Metropolitan Planning Organization (MPO) funding is not available in a practical time frame. If full federal funding is not available from an MPO, counties are encouraged to propose MPO/CEAO cost sharing arrangements to the MPO before seeking full funding from the CEAO. The CEAO has adopted other CSTP funding restrictions as indicated below.

Program/Funding Guidelines

CSTP funding is provided for safety improvements, new construction, major reconstruction, 3R projects (resurfacing, restoration and rehabilitation), bridges not eligible for LBR funding, guardrail construction and reconstruction, centerline and edge line striping, raised pavement marker projects, and sign upgrades **on county roads only**. However, the CEAO will provide funding for bridges on township roads and municipal streets for which counties are responsible, and for guardrail, pavement marking, and raised pavement markers associated with these bridges and their approaches. Transportation enhancements are not normally funded under this program.

Each county is permitted to program eligible construction projects up to a \$5 million overall CSTP funding limit for projects within any 4-year CSTP program period, subject to a 6-year statewide CSTP programming limit. CSTP funding approval will be limited to \$300,000 per county for each guardrail project, \$150,000 per county for each pavement marking project, \$75,000 per county for each raised pavement marker project, and \$50,000 per county for each sign upgrade project. The pre-approved cost increase policy outlined in this manual will be applicable to all CSTP construction projects excluding the above safety projects, but the maximum CSTP funding allocated to a single project will be limited to \$2 million.

Using a project ranking process adopted with ODOT approval, the CEAO will annually select new CSTP projects each September with the exception of the sign upgrade projects. Each July, CEAO will send out a notification letter stating that CSTP Project Applications are currently being accepted. To be considered for funding, all applications must be received in the CEAO office by August 31st. Once all the applications are received, they will be ranked in accordance with the approved scoring system. Sign upgrade project applications are accepted at the same time as the HSIP Safety Study applications and are thus due to the CEAO Office on July 31st. Instead of being placed in the sixth program year, sign upgrade projects are approved for the next fiscal year in which funding is available.

The CSTP project ranking system will also be used to determine priority when CSTP funding availability allows projects to be advanced a year or requires that projects be delayed a year to maintain annual fiscal balance. Whenever a project has been delayed due to fiscal constraint, it is no longer subject to further delay due to fiscal constraint.

Federal Participation Guidelines

Preliminary engineering (PE) and right-of-way (R/W) will not be federally funded under the county CSTP program unless the CSTP/LBR Committee determines that it is warranted. However, the CEAO environmental and right-of-way task orders, which are detailed later in this manual, can be utilized to assist with some of the tasks required in these phases. The federal participation rate will normally be 80% on CSTP construction projects and 100% on specific safety projects including guardrail, pavement marking, and raised pavement markers.

Project Development Guidelines

All CSTP projects that are being administered and let in the traditional manner by ODOT must be designed and constructed in accordance with their *Location and Design Manual* criteria and *Construction and Material Specifications*. Section 900 of the *Location and Design Manual* specifically applies to 3R projects. If a project does not meet the 3R criteria as defined therein, then all other design criteria will apply.

Counties are encouraged to use the ODOT LPA project administration policy outlined in this manual and the *ODOT Locally Administered Transportation Projects Manual of Procedures* to help expedite the development and sale of projects. Under this policy, ODOT involvement in project development and construction award and administration is minimized.

Guardrail projects are required to be done using an inventory that has been developed in accordance with the *Ohio Revised Code* and the *ODOT Roadway Design Manual*. Pavement marking projects must have a current survey or inventory which has been done in accordance with the *Ohio Manual of Uniform Traffic Control Devices*. Counties may develop joint multi-county guardrail, pavement marking, and raised pavement marker projects, but the individual county funding maximums will be applicable.

CSTP Project Ranking/Prioritization

Prior to accepting CSTP applications each year, each County will receive a CSTP priority rank. This rank is based on the current projected funding a County has in each of the CEAO programs (LBR, CSTP, and HSIP) divided by the County roadway mileage. The county with the lowest funding per mile rate is ranked 1st, and the county with the highest rate is ranked 88th. Each County must also prioritize their CSTP applications. The first priority application from each county is selected based on the county rank until all the funding is allocated. If the first priority application from each county that applied has been funded, then the second priority applications will be considered according to county rank, and so on, until the funding is allocated.

County Highway Safety Improvement Program (HSIP)

Eligibility Criteria

To be eligible for federal HSIP funding a project must correct or improve an identified hazardous road section, intersection, or bridge location or feature or address a highway safety problem. Each year in July, every County will receive a map of eligible HSIP locations within that County. Projects include but are not entirely limited to:

- Intersection safety improvement, reconfiguration, or relocation
- Pavement and shoulder widening (including addition of a passing lane to remedy an unsafe condition)
- Installation of rumble strips or another warning device, if the rumble strips or other warning devices do not adversely affect the safety or mobility of bicyclists, pedestrians, and the disabled
- Installation of a skid-resistant surface at an intersection or other location with a high frequency of accidents
- An improvement for pedestrian or bicyclist safety or safety of the disabled
- Construction of a traffic calming feature
- Elimination of a roadside obstacle
- Improvement of highway signage and pavement markings
- Installation of a priority control system for emergency vehicles at signalized intersections
- Installation of a traffic control or other warning device at a location with high accident potential
- The collection and analysis of roadway, traffic, and crash data
- Installation of guardrails, barriers, and crash attenuators
- The addition or retrofitting of structures or other measures to eliminate or reduce accidents involving vehicles and wildlife
- Construction and/or installation of signs (including fluorescent, yellow-green signs) at pedestrian-bicycle crossings and in school zones
- Construction and operational improvements on rural roads

The CEAO will consider funding projects on eligible County roads that are within the Federal-aid Urban System (FAUS) boundary of an urban or urbanized area but not within corporate limits if the county has determined that Metropolitan Planning Organization (MPO) funding is not available in a practical time frame. If full federal funding is not available from an MPO, counties are encouraged to propose MPO/CEAO cost sharing arrangements to the MPO before seeking full funding from the CEAO. The CEAO has adopted other HSIP funding restrictions as indicated below.

Program/Funding Guidelines

HSIP funding is provided for safety improvements on county roads only or at intersections where at least one of the roadways is a county road. However, the CEAO will provide funding for guardrail, pavement marking, and raised pavement markers associated with bridges and their approaches on township roads and municipal streets for which counties are responsible.

Each county is permitted to program eligible construction projects up to a \$5 million overall HSIP funding limit for projects within any 4-year HSIP program period, subject to a 6-year statewide HSIP programming limit. HSIP funding approval will be limited to \$300,000 per county for each guardrail

project, \$150,000 per county for each pavement marking project, \$75,000 per county for each raised pavement marker project, and \$50,000 for each sign upgrade project. The pre-approved cost increase policy outlined in this manual will be applicable to all HSIP construction projects excluding the above safety projects, but the maximum HSIP funding allocated to a single project will be limited to \$5 million.

Using a project ranking process adopted with ODOT approval, the CEAO will annually select new HSIP projects each September. Each July, CEAO will send out a notification letter stating that HSIP Project Applications are currently being accepted including a map of eligible project locations. To be considered for funding, all applications must be received in the CEAO office by August 31st. Once all the applications are received, they will be ranked in accordance with the approved scoring system. If not approved for HSIP funding, applications will then be included with the CSTP applications for CSTP funding consideration.

The HSIP project ranking system will also be used to determine priority when HSIP funding availability allows projects to be advanced a year or requires that projects be delayed a year to maintain annual fiscal balance. Whenever a project has been delayed due to fiscal constraint, it is no longer subject to further delay due to fiscal constraint.

Federal Participation Guidelines

Preliminary engineering (PE) and right-of-way (R/W) will not be federally funded under the county HSIP program unless the CSTP/LBR Committee determines that it is warranted. However, the CEAO environmental and right-of-way task orders, which are detailed later in this manual, can be utilized to assist with some of the tasks required in these phases. The federal participation rate will normally be 80% on HSIP construction projects and 100% on specific safety projects including guardrail, pavement marking, and raised pavement markers.

Project Development Guidelines

All HSIP projects that are being administered and let in the traditional manner by ODOT must be designed and constructed in accordance with their *Location and Design Manual* criteria and *Construction and Material Specifications*.

Counties are encouraged to use the ODOT LPA project administration policy outlined in this manual and the *ODOT Locally Administered Transportation Projects Manual of Procedures* to help expedite the development and sale of projects. Under this policy, ODOT involvement in project development and construction award and administration is minimized.

Guardrail projects are required to be done using an inventory that has been developed in accordance with the *Ohio Revised Code* and the *ODOT Roadway Design Manual*. Pavement marking projects must have a current survey or inventory which has been done in accordance with the *Ohio Manual of Uniform Traffic Control Devices*. Counties may develop joint multi-county guardrail, pavement marking, and raised pavement marker projects, but the individual county funding maximums will be applicable.

HSIP Project Ranking/Prioritization (Maximum Points Available: 100)

Projects are prioritized for funding based on the following criteria:

Safety Project Scoring Matrix											
Safety Conditions								Economic Analysis			
Crash Rate (Intersection)	Points	Crash Rate (Section)	Points	RSI	Points	EPDO Value	Points	HSIP Funding Request	Points	Rate of Return (%)	Points
>=10	20	>=10	20	>= 60,000	20	>= 250	20	< \$400,000	20	>=20	20
9 to 9.99	18	9 to 9.99	18	55000 to 60000	18	225 to 250	18	\$400,000 to \$800,000	15	18 to 20	18
8 to 8.99	16	8 to 8.99	16	50000 to 55000	16	200 to 225	16	\$800,000 to \$1,200,000	10	16 to 18	16
7 to 7.99	14	7 to 7.99	14	47500 to 50000	14	175 to 200	14	\$1,200,000 to \$1,600,000	5	14 to 16	14
6 to 6.99	12	6 to 6.99	12	45000 to 47500	12	150 to 175	12	>= \$1,600,000	0	12 to 14	12
5 to 5.99	10	5 to 5.99	10	42500 to 45000	10	125 to 150	10			10 to 12	10
4 to 4.99	8	4 to 4.99	8	40000 to 42500	8	100 to 125	8			8 to 10	8
3 to 3.99	6	3 to 3.99	6	37500 to 40000	6	75 to 100	6			6 to 8	6
2 to 2.99	4	2 to 2.99	4	35000 to 37500	4	50 to 75	4			4 to 6	4
1 to 1.99	2	1 to 1.99	2	30000 to 35000	2	25 to 50	2			2 to 4	2
0 to 0.99	0	0 to 0.99	0	0 to 30000	0	0 to 25	0			0 to 2	0

Guardrail, Pavement Marking, & Raised Pavement Marker Project Ranking/Prioritization (Maximum Points Available: 94)

Projects are prioritized for funding based on the following criteria:

Guardrail

1. FUNDING REQUEST AMOUNT (6 Points Possible)							
		Requested Funding	Points				
		\$0 to \$100,000	6				
		\$100,001 to \$200,000	3				
		\$200,001 to \$300,000	0				
				Points Awarded:	0		
2. CRASH BENEFIT ANALYSIS (88 Points Possible)							
Project Category		Category %	County Rank	Severity Factor	Effectiveness Factor^	Weighted Points Earned	Weighted Points Possible
Category 1: New Guardrail For Fixed Object Protection		0%	#N/A	#N/A	1.00	#N/A	0
Category 2: Upgrading Existing		100%	#N/A	#N/A	0.60	#N/A	88
						Total =	#N/A 88
(^Effectiveness Factor is based on a comparison of Crash Modification Factors)						Points Awarded:	#N/A

Pavement Marking

1. FUNDING REQUEST AMOUNT (6 Points Possible)

Requested Funding	Points						
\$0 to \$50,000	6						
\$50,001 to \$100,000	3						
\$100,001 to \$150,000	0						
						Points Awarded:	0

2. CRASH BENEFIT ANALYSIS (88 Points Possible)

Project Category	Category %	County Rank	Severity Factor	Effectiveness Factor^	Weighted Points Earned	Weighted Points Possible	
Category 1: Pavement Markings -	0%	#N/A	#N/A	1.00	#N/A	0	
Category 2: Pavement Markings - Edgeline Rumble Stripe	0%	#N/A	#N/A	1.20	#N/A	0	
Category 3: Pavement Markings - Upgrade	0%	#N/A	#N/A	0.60	#N/A	0	
Category 4: Pavement Markings - Upgrade Wider Markings	#VALUE!	#N/A	#N/A	0.80	#N/A	#VALUE!	
					Total =	#N/A	#VALUE!
(^Effectiveness Factor is based on a comparison of Crash Modification Factors)						Points Awarded:	#N/A

Raised Pavement Markers

1. FUNDING REQUEST AMOUNT (6 Points Possible)

Requested Funding	Points						
\$0 to \$25,000	6						
\$25,001 to \$50,000	3						
\$50,001 to \$75,000	0						
						Points Awarded:	0

2. CRASH BENEFIT ANALYSIS (88 Points Possible)

Project Category	Category %	County Rank	Severity Factor	Effectiveness Factor	Weighted Points Earned	Weighted Points Possible	
Category 1: Raised Pavement Marker - New	100%	#N/A	#N/A	1.00	#N/A	88	
					Total =	#N/A	88
(^Effectiveness Factor is based on a comparison of Crash Modification Factors)						Points Awarded:	#N/A

Safety Study Projects

In cooperation with ODOT, the CEAO annually administers certain safety study projects under the HSIP program. These safety studies will be funded at 90% federal except as noted below. This program is currently being funded at \$1,500,000 per year, but the budget can be adjusted as determined by the CSTP/LBR Committee. The project definitions, priorities, the associated codes, and current applicable funding limits are as follows:

Project Definitions

SIGN INVENTORY (SI-U/SI-R)

- Prepare a detailed inventory of existing signs
- Perform a visual inspection of sign, post and breakaway
- Log sign characteristics, including size, height, placement, etc.
- Log the sheeting and blank type of the sign
- Log the post and breakaway type
- Log any visual deficiencies (as defined by the Engineer, this log is not based on OMUTCD compliance)
- Log the number of signs mounted on the post
- Log the road, log point, side of road the sign is on, and direction of face
- Take digital photograph(s) of signs
- Shoot and log the reflectivity of legend (where applicable) and background
- Provide GIS Layer compatible with County's current GIS Software

SIGN COMPLIANCE (SC)

- Determine sign and sign placement conformance to OMUTCD including:
 - o School Zone signage
 - o Speed Zone signage (sign only not speed)
 - o Bridge Signs (one lane, narrow, end markers)
 - o Stop Ahead and Yield Sign placement
 - o Warning sign(s) too close together
 - o Low Clearance Underpass signage
 - o T & Y Intersection signage
 - o Advance Railroad Crossing signage
 - o Other situations where additional signage may be helpful or existing signage may be a hinderance
- Determine additional signs needed to bring roadway into compliance with OMUTCD (Additional signs needed that necessitate a Curve Study are waived from this compliance check)
- Check signs for compliance with OMUTCD standards including size height, placement, etc.
- Compliance Plan SHALL be signed and sealed by a Professional Engineer licensed in the State of Ohio

GUARDRAIL LOCATION INVENTORY (GI)

- Inventory Existing Guardrail
- Measure guardrail assemblies
- Provide data that is compatible with County's current software or provide software for viewing and maintaining data
- Provide GIS Layer compatible with County's current GIS software

GUARDRAIL COMPLIANCE (GC)

- Inspect Existing guardrail for compliance with ODOT Traffic Engineering Manual
- Identify Bridge Terminal Assemblies, rail anchor assemblies and main line rail type
- Provide data that is compatible with County's current software or provide software for viewing and maintaining data
- Provide GIS Layer compatible with County's current GIS software
- Compliance Plan SHALL be signed and sealed by a Professional Engineer licensed in the State of Ohio

PAVEMENT MARKING INVENTORY (PMI)

- Perform an inventory of existing pavement markings; including, stop bars, crosswalks, transition line, edge line, centerline, railroad and school markings, turn arrows, ONLY markings, channel lines, and others are determined by the Engineer
- Log all lengths of line by road log point or as determined by the Engineer
- Prepare graphic road log to use for T-Marking prior to striping
- Provide data that is compatible with County's current software or provide software for viewing and maintaining data
- Provide GIS Layer compatible with County's current GIS software

PAVEMENT MARKING COMPLIANCE PLAN (INCLUDING NO PASSING ZONES) (PMC)

- Develop a pavement parking plan based on current OMUTCD and ODOT Traffic Engineering Manual Specifications
- Establish No Passing Zones in accordance with Chapter 3B.02(or most current) of the OMUTCD and any County specific requirements
- Develop a new pavement marking plan
- Prepare graphic road log to use for T-Marking prior to striping
- Provide data that is compatible with County's current software or provide software for viewing and maintaining data
- Provide GIS Layer compatible with County's current GIS software
- Compliance Plan SHALL be signed and sealed by a Professional Engineer licensed in the State of Ohio

CURVE ADVISORY SPEED STUDY (CAS)

- Follow procedure as established in Chapter 2C (or most current) of the OMUTCD
- Determine beginning and end of every curve in relation to control point\log point data
- Log Curve related signs and assign them to their respective curve
- Determine if existing warning signs are correct and at the proper distance from the curve
- Determine corrective measures if necessary
- Provide data that is compatible with County's current software or provide software for viewing and maintaining data
- Provide GIS Layer compatible with County's current GIS software
- Study SHALL be signed and sealed by a Professional Engineer licensed in the State of Ohio

ROADSIDE HAZARD INVENTORY (RHI)

- Drive each route and locate all items that interfere with the specified *Clear Zone
 - Provide data that is compatible with County's current software or provide software for viewing and maintaining data
 - Provide GIS Layer compatible with County's current GIS software
- *The Clear Zone as defined in this inventory is the distance from edge of existing pavement 'As Established by the Engineer'

ROADSIDE HAZARD COMPLIANCE PLAN (RHC)

- Drive each route and locate all items that interfere with the specified *Clear Zone
 - Develop a plan and recommend countermeasures, including barriers, obstruction removal etc. to address identified roadside hazards within the *Clear Zone
 - Provide data that is compatible with County's current software or provide software for viewing and maintaining data
 - Provide GIS Layer compatible with County's current GIS software
 - Compliance Plan SHALL be signed and sealed by a Professional Engineer licensed in the State of Ohio
- *The Clear Zone as defined in this Compliance shall conform to Section 600 ODOT L&D Manual (or the most current section). The Clear Zone can be 'As Established by the Engineer'

SPEED ZONE STUDY (SZ) (See Note 4 in Prioritization)

- Set counters on the road to gather ADT, 85th percentile, and pace speed(s)
- Gather profile on the road showing driveways, business entrances, intersections, horizontal and vertical curves, signs, existing striping, etc.
- Acquire crash data for the latest three years for the section involved
- Take digital photos of the zone
- Data is inputted into ODOT’s formula
- County will obtain ODOT approval for the Speed Zone, if applicable
- Compliance Plan SHALL be signed and sealed by a Professional Engineer licensed in the State of Ohio

TRAFFIC SIGNAL WARRANTS (TSW)

(Consultants MUST be ODOT Pre-Qualified to perform this Study)

- Follow procedure as outlined in Chapter 4C of the OMUTCD (or most current)
- Determine if location meets any of the eight possible warrants
- Determine if the installation of the signal will improve the overall safety and/or operation of the intersection
- Determine if the control signal will seriously disrupt progressive traffic flow
- Compliance Plan SHALL be signed and sealed by a Professional Engineer licensed in the State of Ohio

INTERSECTION\CORRIDOR SAFETY STUDY (SS)

(Consultants MUST be ODOT Pre-Qualified to perform this Study)

- Follow procedure as outlined in ODOT Safety Study Guidelines
- Document history of problems or crashes at location and reason for the study
- Prepare a condition diagram
- Prepare a collision diagram
- Compile crash data
- Analyze crash data
- Take digital photos of the location
- Identify possible causes or deficiencies in the roadway through analysis of crash patterns, roadway conditions, traffic control, traffic volumes, vehicle speeds, etc.
- Recommend countermeasures, rate of return, and cost
- Compliance Plan SHALL be signed and sealed by a Professional Engineer licensed in the State of Ohio

First Priority Projects

Sign Inventory (Urban)	SI-U	\$185 per mile (control points, inventory & reflectivity)
Sign Inventory (Rural)	SI-R	\$110 per mile (control points, inventory & reflectivity)
Sign Compliance (PE Stamp Required)	SC	\$60\mi (\$30\mi when combined with sign inventory)
Guardrail Location Inventory	GI	\$75 per mile
Guardrail Compliance (PE Stamp Required)	GC	\$60\mi (\$30\mi when combined with Guardrail Location Inventory)
Pavement Marking Inventory	PMI	\$75 per mile
Pavement Marking Compliance/ No Passing Zone Study (PE Stamp Required)	PMC	\$100\mi (\$130\mi when combined with PMI) (rural) \$110\mi (\$140\mi when combined with PMI) (urban)
Curve Advisory Speed Study (PE Stamp Required)	CAS	\$100 per mile
Roadside Hazard Inventory	RHI	\$75 per mile

Roadside Hazard Compliance Plan (PE Stamp Required)	RHC	\$150\mi
Sign Upgrade	SU	\$62,500 maximum (at 80% = \$50,000 federal max)
Curve Sign Upgrade	CSU	\$45,000 maximum (at 100% federal)

Second Priority Projects

(PE Stamp Required)

Speed Zone Study	SZ	\$1,400 per location (at 90% = \$1,260 federal max)
Traffic Signal Warrants	TSW	\$1,667 per signal per location (at 90% = \$1,500 max)
Intersection\Corridor Safety Study	SS	\$12,000 max per intersection (at 90% = \$10,800 max)

Other

Software recommended for Sign Inventory, No Passing Zone, Curve Advisory Speed, Guardrail Inventory and Compliance, Roadside Hazard Inventory and Compliance Plan		\$2,500 for 1 module + \$500 per each additional module (at 90% = \$2,250 + \$450 each federal max) Overall software max of \$5,000 per County within a 10-year period
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*Urban Mileage consists of multilane (3 lane), existing speed zones and intersection turn lanes.

Note 1: Counties may pick and choose which routes to include in the above studies. However, if a route is to be included, the entire mileage of that route (or other logical termini) must be included for pricing purposes. For example, if a route includes five curves that add up to a total distance of a mile, counties would need to apply for a curve advisory speed study for the entire mileage of the route that includes the curves rather than just for one mile. (This note does not apply to the Second Priority Projects listed above.)

Note 2: Counties may only request funding for each study once in a 10-year period unless there are extenuating circumstances. Requests with extenuating circumstances will be considered on a case-by-case basis by the CSTP Committee.

Note 3: All safety studies/inventories are for county roads only with the following exceptions:

- Guardrail Location Inventory, Guardrail Compliance, Sign Inventory, Sign Compliance, and Roadside Hazard Compliance Plan studies may be performed on all county maintained bridges. Payable mileage is to be determined by multiplying the number of bridges on township roads x 0.15 added to requested County Road mileage
- Safety Studies and Traffic Signal Warrants may be performed at intersections where at least one of the roadways is a County Road
- Pavement Marking Compliance/No Passing Zone, Speed Zone, and Curve Advisory Speed Studies may be performed on Township Roads since it is the County Engineer’s responsibility to assist with these tasks. However, these studies on Township Roads are the lowest funding priority and will only be funded after all studies on County Roads are funded.

Note 4: To qualify for Speed Zone Study, ADT MUST exceed requirements in ODOT Traffic Engineering Manual 1203-2.6 Narrow and Low-Volume Rural Roads (Form 1296-1)

Note 5: Professional Engineer Certification – When applicable, the Professional Engineer responsible for the review of project requiring Engineering Certification SHALL include the following statement. This may be substituted by language approved by the Ohio PE/PS Board.

"Professional Certification. I hereby certify that these documents were prepared and/or approved by me, and that I am a duly licensed professional engineer under the laws of the State of Ohio, License No. XXXXX

Counties are required to submit applications to the CEAO for the upcoming annual program prior to July 31st each year. Once approved for funding by the CSTP/LBR Committee, the following specific sequence of events must be followed for all safety study projects before work can proceed and federal funding can be secured:

Once approved for funding by the CSTP/LBR Committee, all safety study & inventory and sign upgrade projects **must** follow the specific sequence of events listed below:

- 1) County receives funding approval letter from CEAO. CEAO sends a copy of the letter to ODOT.
- 2) County receives an electronic safety study/sign upgrade LPA agreement from ODOT via e-mail.
- 3) County electronically signs the LPA agreement and submits it back to ODOT.
- 4) County receives federal authorization from CEAO.
- 5a) For Safety Studies/Inventories: Once federal authorization is received, the county must select from the list of consultants that submitted Statements of Qualifications (SOQ's) in response to CEAO's consultant advertisement. If the total project cost is \$50,000 or more, a qualifications based selection must be used (including short-listing the consultants based on their SOQ's and then ranking the short-listed consultants using ODOT's consultant ranking form). If the project is under \$50,000, a consultant may be direct-selected.
- 5b) For Sign Upgrades: Once federal authorization is received, the county must advertise for sign vendors if the project is \$50,000 or more. If the project is less than \$50,000, county may get quotes for signs. OR, regardless of the project cost, county may purchase signs off of ODOT's contract.
- 6) **Once executed, all consultant contracts/sign vendor purchase agreements must be sent to ODOT with a request to encumber the funds. For safety studies only: If the County wishes the project to be set up as a direct-pay to the consultant, the direct-pay paperwork MUST be submitted at the same time as the signed consultant contract.** Direct-pay for sign upgrade projects is not permissible. County should also submit LPA Reimbursement information including Federal Tax ID #, Payee Name/Office, and address of payee on letterhead. All information should be sent to:
Andrea Stevenson
Administrator, Office of Local Programs
Mail Stop #3180
1980 West Broad Street
Columbus, Ohio 43223

OR e-mailed to jeffrey.shaner@dot.ohio.gov
(when submitting electronically, the PID number of the project must be referenced in the subject line of the e-mail)
- 7) ODOT will establish the encumbrance based on the contract, and will send an invoice template to the county.
- 8) County submits invoice using the invoice template provided to request reimbursement or direct-pay to the consultant. The LPA reimbursement claim should include the Invoice Template along with backup documentation of invoices paid including copies of invoices paid to date along with proof of payment to the vendor. (Please do not submit for reimbursement using any other template than the one provided for that project or else the encumbrance number will be incorrect and the payment will be delayed.)
- 9) The project must be completed by September 30th of the following year, and by November 1st of the following year the Reimbursement Claim must be submitted to ODOT.

If these events do not occur in the proper sequence, the county may not receive federal reimbursement for the safety study/sign upgrade project.

CSTP/LBR Committee

The CSTP/LBR Committee is comprised of twelve County Engineers, one from each District. Every year after the election of the CEAO Directors, each Director must appoint either him/herself or another County Engineer from his/her District to serve on the Committee.

At the CSTP/LBR Committee's first meeting of each year, a Chairman and Vice-Chairman are elected. The Committee continues to meet as necessary throughout the year to discuss program related issues.

The primary duty of the CSTP/LBR Committee is to administer the CSTP, LBR, and HSIP programs to ensure that projects are selected in accordance with applicable federal and state laws and program policies, that projects are delivered according to schedule, that the programs are delivered each year with minimal carryover, and that the programs remain fiscally balanced. After each program's funding applications are received, the Committee meets to review and approve or deny the applications according to the funding available. The Committee entertains requests for increased funding, changes in scope, or other changes on previously approved projects. The Committee also establishes and revises program policies as needed. The CEAO Program Manager is responsible to assist the Committee with all of these tasks.

CEAO Environmental and Right-of-Way Task Orders

Although CEAO does not typically provide federal funding for the PE and Right-of-Way phases of projects, two task orders were established to aid County Engineers with portions of these phases. The task orders may only be used on CEAO funded projects. The first task order is for environmental. One or more consulting firms are selected every two years to provide environmental services. The task order can be used to provide any specialized environmental tasks that may be required on a project such as ecological surveys, environmental site assessment work, asbestos surveys on bridges, historical/archaeological surveys, etc. The task order is not typically used to draft a purpose and need statement, prepare a Categorical Exclusion, or public involvement work. However, these items may be included if approved by the CSTP/LBR Committee.

The second task order is for real estate. Four consulting firms are selected every two years to provide right-of-way acquisition services. The task order can be used for acquisition services, appraisals, and appraisal reviews. The firm performing the appraisal reviews must be a different firm than the firm which prepared the appraisals. Therefore if appraisal reviews are to be included, they must be set up as a separate task order. The task orders will not pay for the cost of the actual right-of-way to be acquired.

Both the environmental and right-of-way task orders are normally funded at 80% federal. However, beginning in FY 2016, the task orders will all be funded at 100% federal utilizing Toll Revenue Credit (TRC) that ODOT has made available to CEAO.

When an environmental or right-of-way need is determined on a project, the County Engineer must contact their District LPA Manager to request use of the task order. The LPA Manager and/or Environmental coordinator or Real Estate coordinator will work with the County Engineer to determine the task order scope. The request is then forwarded to the appropriate ODOT Central Office department. Central Office will request a price quote from the task order consultant for the scope of work. This quote is reviewed by central office and if acceptable is sent to the District who then forwards it to the County Engineer for approval.

Pre-approved Project Cost Increases

LBR, CSTP, and HSIP projects will be approved for funding based on the cost estimate in the application. All project cost estimates shall be submitted in current dollars and shall include a percentage for Construction Engineering. The percentage to be included is based on the type of work and cost of the project as established by ODOT. No other “contingency” funding factors shall be included in the estimate. When funding applications are approved, the CEAO will inflate the cost estimate to the year in which funding is approved at an inflation rate of 3% per year. This cost will serve as the official estimate for the project, unless a formal funding increase is subsequently requested and approved by the CEAO CSTP/LBR Committee.

The initial project estimate in the funding application should be as accurate as possible. Counties are encouraged to review proposed projects with ODOT prior to submittal of applications to assess the scope and potential environmental and right-of-way impacts.

To accommodate reasonable cost inflation during project development or construction, the CEAO has established a schedule of pre-approved increases based on the approved project cost. At the time of project approval the pre-approved cost increase will be determined based on the following table, and the total project cost pre-approved for federal funding participation will be established. The federal maximum will then be established based on the applicable participation rate.

<u>Approved Construction Cost Estimate</u>	<u>Project Cost Increase Pre-approved for CSTP/LBR Funding Participation</u>
Less than \$200,000	50%
\$200,000 to \$299,999	\$100,000 + 25% of cost over \$200,000
\$300,000 to \$499,999	\$125,000
\$500,000 to \$874,999	\$125,000 + 20% of cost over \$500,000
\$875,000 to \$999,999	\$200,000
\$1,000,000 to \$1,666,666	\$200,000 + 15% of cost over \$1,000,000
\$1,666,667 to \$1,999,999	\$300,000
\$2,000,000 or higher	\$300,000 + 10% of cost over \$2,000,000, up to a \$5,000,000 federal maximum

As long as a project cost increase does not result from an unapproved change in the project scope, the cost eligible for LBR or CSTP funding can increase to the pre-approved maximum. If there is federal funding of PE and/or R/W on a project, the pre-approved federal maximum will be computed based on the approved cost of all phases being funded. If the cost of PE or R/W subsequently exceeds its original estimate, there will then be less funding available for the construction phase under the pre-approved federal maximum.

Final Opportunity for Cost Estimate Revisions

Changes to the original cost estimate can be made up until a project is in the third program year, and should be made whenever the cost changes significantly. When a project cost estimate changes, counties should submit a Cost Revision Request Form to the CEAO. Revised estimates that are within the current pre-approved federal maximum will be entered into the program, and CEAO will notify the respective ODOT District of the change so that Ellis can be revised accordingly. The federal maximum will not be increased since it has not been exceeded.

Cost increases that exceed the current federal maximum will be reviewed by the CSTP/LBR Committee, so it is imperative that a detailed justification for the cost increase is included on the form. Counties will be advised in writing of the committee's decision. If the increase is not approved, the federal amount in the program will only be increased to the current federal maximum. If the increase is approved, the program will be revised accordingly and a new federal maximum will be established. CEAO will notify the respective ODOT District regarding the disposition of the cost change request so that Ellis can be revised accordingly.

Each fall, the upcoming 3-year program (or 4-year program, if requested) is due to ODOT. All counties with projects in the third program year will be given one final opportunity to submit a cost estimate revision for these projects at this time. These cost estimate revisions will be due by September 30th. All requests must be submitted on the Cost Revision Request Form. Cost increases that are within the current federal maximum will be entered into the program. Cost increases that exceed the current federal maximum must include a detailed justification and will be reviewed by the CSTP/LBR Committee. New pre-approved federal maximums will be established accordingly for all approved cost increases, and will represent the final CEAO funding limit for these projects unless later cost increases are approved by the committee due to extremely unusual circumstances.

Credit Bridge Program (CBP) and Toll Revenue Credit (TRC)

Financing

Credit Bridge Program (CBP)

The Federal-aid Highway Act of 1987 introduced a new program permitting up to 80% of the cost of locally and/or state funded, non-controversial bridge replacement or rehabilitation projects located off the Federal-aid Highway System to be credited toward the non-Federal share of regular Federal-aid Bridge Replacement and Rehabilitation (BR) projects.

ODOT adopted formal procedures for establishing such credit in April, 1988, entitled *Ohio Credit Bridge Program for Bridges Off the Federal-aid System*. Under this program 47 Ohio counties undertook 283 qualifying local bridge improvement projects and earned about \$35 million of credit. Counties (and one municipality) with credit remaining may use that credit on their approved LBR projects.

Because Toll Revenue Credit was no longer available for counties to use beginning in FY 2009, ODOT reopened the Credit Bridge Program. The new Credit Bridge Policy and Standard Procedure can be found on ODOT's Office of Local Programs website.

Counties have the option of buying and selling (brokering) CBP credit. Credit is typically sold at a discount as determined by the selling county. The CEAO must be provided with supporting documentation for all credit sales so that they can be accounted for in the CBP records.

Toll Revenue Credit Program (TRC)

The 1991 Intermodal Surface Transportation Efficiency Act established a similar but much broader and more flexible Toll Revenue Credit (TRC) program. Under this program ODOT annually earns credit based on toll revenues collected and used to maintain the Ohio Turnpike. This TRC can be used in lieu of matching funds on any Federal-aid project. The credit earned was typically about \$50 million per year; however ODOT predicted that all of the TRC available to them will be fully committed by the close of FY 2008. Therefore, no projects beyond FY 2008 were permitted the use of TRC until FY 2016 when ODOT once again made TRC available for CEAO projects.

Like the CBP credit, the TRC does not provide Ohio additional federal funds, but simply allows the funds available to be used at greater than the usual 80% federal participation rate (typically at 100%). Although ODOT made this TRC available for use on local government projects, its use was at the discretion of the Program Managers for the various local funding programs. CEAO has opted only to use the TRC to increase the federal share of the CEAO task orders to 100%.

Emergency Projects

If an emergency project should arise in a county, the County Engineer will be required to obtain a State Infrastructure Bank (SIB) Loan in order to expedite the project. SIB Loans are administered by ODOT. The County Engineer will be responsible for the payment of all interest and fees associated with the loan. If the project is already in the CSTP or LBR program, the SIB Loan will be repaid using the program funds when the fiscal year arrives in which the project was scheduled for funding. If the emergency project is a new project and meets the eligibility criteria, it will be placed in the next available funding year in the CSTP or LBR program, as appropriate. Again the SIB Loan will be repaid using the appropriate program funds when that scheduled fiscal year arrives. All the appropriate programming and coordination with ODOT and, if needed, the MPO will be required.

By applying for a SIB Loan, the county assumes a risk that the CEAO may not be the program manager at the time the loan is scheduled to be repaid. CEAO will make all attempts to ensure that these loans remain in the program for repayment, but this cannot be guaranteed. Therefore, the county must be aware of the possibility of having to repay the loan with local funds.

To be considered for this emergency process, the County Engineer must submit a written request to the CSTP/LBR Committee which contains a detailed explanation of the emergency. If approved, CEAO will submit a letter of support for the project to the ODOT SIB Loan Committee.

Project Switches and Substitutions

If a County has projects in different fiscal years within the same program (CSTP, LBR, or HSIP), the County Engineer may request to switch the projects if a need to do so arises. The County Engineer may also request to substitute a new project for one that is currently in the program, but if approved, the currently programmed project will be removed from the program. The County Engineer may resubmit an application for the removed project during a future application cycle; however, it will not be given any preference over other applications.

With the request to switch or substitute projects in any of the programs, the County must submit a project schedule for the advanced or substituted project to ensure that it can be delivered within the accelerated time frame. In addition, if the cost estimate for the advanced or substituted project is lower than the project to be delayed or removed, a new federal maximum will be calculated based on the lower estimate. If the project to be advanced or substituted is the same or higher cost, the project will be kept to the pre-approved federal maximum of the project to be delayed or removed.

For LBR and HSIP projects, the project to be substituted must score equal or higher than the project to be removed. For LBR projects, the score of both bridges will be calculated based on the information in ODOT's bridge inventory at the time the request is made and will not include county priority points. For HSIP projects, the score will be calculated based on the CEAO Safety Project Criteria and will not include county priority points.

Scope Changes

Any significant change in scope, regardless of whether it increases the estimated project cost, must be reviewed and approved by the CSTP/LBR Committee. A significant change in scope is one that changes the limits of a project, causes the estimate to exceed the federal maximum as set by CEAO, changes the work type (for example, a bridge rehab to a bridge replacement), or would result in additional environmental impacts and/or right-of-way needs.

For HSIP projects, any scope changes, whether significant or non-significant, that do not directly relate to highway safety are not eligible for HSIP funds.

A County Engineer must submit a Scope Change Request Form to the CEAO Program Manager. The Program Manager will forward it to the CSTP Committee for review. If approved, CEAO will notify the County and the respective ODOT District, and then the County may proceed with the scope change.

Design Standards for CEAO Funded Projects

ODOT annually contracts with the CEAO to serve as program manager for the County CSTP, HSIP, and LBR programs. When these CEAO funded projects are administered and let to contract by ODOT under their traditional process, the design standards specified in ODOT's *Location and Design Manual* and *Bridge Design Manual* must be followed, unless design exceptions have been requested and approved under their design exception process.

Under the ODOT LPA project administration policy discussed in this manual, local public agencies have the option of administering the development, bid letting, and construction of federally funded projects provided they are not on the National Highway System. Under this policy projects can be designed in accordance with written local design standards and other requirements adopted by the local public agencies after obtaining ODOT approval.

The CEAO encourages counties to employ this process for CSTP, HSIP, and LBR funded projects as appropriate. On November 6, 1997, the CEAO Board of Directors adopted ODOT's *Location and Design Manual, Volume's 1, 2, and 3* and *Bridge Design Manual* as its preferred local design standards for such projects. The *AASHTO Green Book* guidelines shall be used as minimum design standards.

Design Exceptions

Beginning on 10/23/06, design exceptions for all CSTP, HSIP, or LBR funded projects shall be submitted to, reviewed by, and accepted or rejected by the appropriate ODOT District Planning and Engineering Administrator.

DESIGN EXCEPTION REQUESTS: Requests shall be prepared in accordance with ODOT's *Location and Design Manual* and signed by the County Engineer.

LPA Project Administration Process

On November 17, 1997, ODOT adopted Policy No. 410-001, *Development Process Policy for Local-Federal Projects*. This policy states that, to the extent both practical and feasible, ODOT shall minimize its direct involvement in the design and delivery of those highway capital improvement projects that are funded with local and Federal monies, and which do not directly involve routes comprising the National Highway System.

The objective of this policy, which has undergone several revisions and is now entitled *Development Process Policy, Locally-Administered Transportation Projects*, is to return the primary duties and responsibilities for local highway improvement projects to the local public agency (LPA) having ownership and/or maintenance purview over the facilities involved. In so doing, ODOT's intent is to allow such improvements to be designed and constructed in accordance with written design standards and other requirements adopted by that local government.

The CEAO encourages Ohio's counties to utilize the LPA project administration process available under this policy, as appropriate, in advancing the development and construction of County CSTP, HSIP, and LBR projects. As outlined in this manual, the CEAO has adopted written local design standards for such projects. Under ODOT's policy, counties may voluntarily assume the following project management tasks and/or responsibilities if qualified:

- 1) Preliminary development and National Environmental Protection Act (NEPA) documentation;
- 2) Final detail design and development of construction plans and specifications;
- 3) R/W acquisition and relocation, and utility relocation activities;
- 4) Advertising, competitive bidding, and contract award activities; and
- 5) Construction contract administration, materials testing, and inspection activities.

Each ODOT district has a designated LPA manager who assists with this process. Requests to use the LPA project administration process for a project should be directed to ODOT. The LPA manager will schedule a project initiation meeting, if determined necessary, to discuss the process, project scope and funding, and initiate ODOT's LPA Agreement. The CEAO program manager and applicable staff representative should be invited to such meetings to represent the CEAO and facilitate this process.

To assist Counties with the required NEPA documentation and R/W acquisition process, CEAO has agreed to provide CSTP funds to pay task order consultants for this work. These task orders are managed by ODOT's Office of Environmental Services and Office of Real Estate, respectively. If a county wishes to use either or both of these task orders, they must contact their respective ODOT LPA Manager. The District LPA Manager will work with the County Engineer to set up the task order contract.

All counties using the LPA process are reminded that coordination must still occur with ODOT prior to the advertising and bid-letting stage, as federal authorization must still be obtained from FHWA before advertising a project for bid. Counties are also reminded that FHWA has given ODOT ultimate authority for all CSTP, HSIP and LBR projects and ODOT should be consulted on any substantial changes that occur during construction, particularly changes that involve safety items.

State Transportation Improvement Program (STIP)

Every two years ODOT, in coordination with Ohio's local public agencies, Metropolitan Planning Agencies, and the various designated program managers, develops a *State Transportation Improvement Program* (STIP). This four-year program includes every project for which federal funding authorization for preliminary engineering (PE), right-of-way (RW), and/or construction is to be requested from the Federal Highway Administration (FHWA) during the state fiscal years covered. It must be in fiscal balance for each of the four fiscal years, and is scheduled for adoption by July 1st of every odd numbered year.

As program manager for the County STP, HSIP, and LBR funding, the CEAO coordinates with Ohio's counties in the development of these programs and with ODOT to ensure that they are included in the STIP. Formal quarterly STIP revisions are permitted, and are developed and submitted to FHWA by ODOT as determined necessary in coordination with the program managers.

In its role as program manager for the CSTP, HSIP, and LBR programs, the CEAO continually maintains 6-year programs of projects. The latest updates of these program spreadsheets can be viewed on the CEAO website at www.ceao.org. Each program contains a funding summary at the end that shows the yearly fiscal status. As projects are let to contract they are gray highlighted, and the federal cost figures are adjusted to reflect the actual amounts encumbered. As new projects are approved and project revisions are made, the programs are adjusted accordingly. The approved project costs, pre-approved cost increase amounts, and applicable federal maximums are shown for all projects in the right-hand columns in these programs.

All counties have a responsibility to review their project entries periodically and inform the CEAO if program edits are needed. It is critically important that the CEAO be advised of any project delays, so that other counties can be given the opportunity to advance projects. To satisfy the requirements of the program management contract with ODOT, counties must strive to keep all projects on schedule.

It is also important that all counties program newly approved CSTP, HSIP, and LBR projects with ODOT as soon as possible so that they will appear in their Project Development Management System (ELLIS). The STIP development process relies extensively on the use of this system, particularly for fiscal analysis, and ELLIS is used to print out Ohio's rural STIP. Projects within MPO boundaries are included in the STIP by virtue of being included in the MPO TIP. It is therefore also important for counties to coordinate with their MPOs regarding CEAO project schedule and cost changes as applicable.

Reservoir Projects

Each fall when the CEAO submits updated three-year programs to ODOT for lock down of the upcoming fiscal year, projects scheduled beyond that fiscal year will be identified that are anticipated to be ready for sale early and could be advanced and sold if funding becomes available. These “reservoir” projects can be substituted for other projects that are delayed the following fiscal year, or advanced if surplus funding otherwise becomes available. The CEAO will be given credit for meeting their upcoming fiscal year funding commitment if reservoir projects are advanced in lieu of planned projects that experience unforeseen delay.

Advancing LBR, CSTP, and HSIP Reservoir Projects

During the current fiscal year, and for the upcoming fiscal year once it has been locked down and the associated reservoir projects identified, consideration will be given to advancing reservoir projects at the end of each quarter. If a sufficient funding surplus is projected, reservoir projects filed and ready for sale at that point will be advanced to the extent funding permits. If there are more reservoir projects filed than can be funded, those from the next fiscal year will be selected in rank order. If a reservoir project is too costly to be advanced, it will be skipped in the selection process. Projects cannot be advanced without written approval from the CEAO.

If projected funding surpluses arise for later fiscal years, the highest ranked bridge projects from the following year will be advanced, provided the county and ODOT district involved both concur that the project schedule can be adjusted accordingly. Under this procedure, there may also be situations where a particular bridge cannot be advanced in rank order due to its high cost.

Funding Application Process

To apply for CSTP, HSIP, or LBR funding, the appropriate application form must be completed and submitted to the CEAO office, to the attention of the Program Manager. A copy of the application forms appear in the appendix for reference. Forms can be provided by the CEAO office, are available on the CEAO web site (www.ceao.org), or the form in the appendix can be copied.

The application should be filled out completely, and the appropriate box checked to indicate whether ODOT's standard (traditional) project administration process or the LPA process will be used. For LBR projects the structure file number and current sufficiency rating information from the National Bridge Inventory, including the General Appraisal rating, must be provided. The CEAO Program Manager should be consulted in advance if there is any question regarding the eligibility of an LBR, CSTP, or HSIP project for federal funding. If a proposed CSTP or HSIP project is within the urban/urbanized area boundary of an MPO, counties should indicate what specific attempts were made to secure whole or partial MPO funding, and the outcome.

Each ODOT District has functional classification and 1991 Federal-aid Rural Secondary (FASS) maps which can be referenced in determining CSTP eligibility. This eligibility information should be cited in the 'Project Description' section of the application. If any questions arise in that regard the Program Manager should be consulted, as there may be inconsistencies in the functional classification and FASS maps or ODOT District personnel may not be knowledgeable regarding eligibility criteria. ODOT maintains straight line mileage route description logs that rule in determining functional classification in case of map discrepancies.

In completing the cost information for construction projects, be sure to differentiate between CSTP and LBR funding if a project will include both. If the bridge approach work on an LBR project may exceed that normally eligible for BR funding, this issue should be reviewed with FHWA before applying so that the possible need for CSTP funding for approach work is known up front.

All applications will be reviewed and then presented to the CSTP/LBR Committee for consideration. Notice will be given of the committee's approval action by formal letter. Approved CSTP and HSIP projects will be scheduled in the first year that funding is available in the program, and LBR projects will be scheduled into either the 5th or 6th program year in accordance with the bridge ranking process.

At the initial project approval stage the maximum cost eligible for federal funding under the CEAO pre-approved cost increase policy will be determined, and the corresponding federal maximum will be established. When the project reaches the third program year, the county will have one final opportunity to submit a revised cost estimate for approval based on the appropriate project scope as determined during the preliminary development phase. Cost increase requests made after that stage will not typically be approved unless the county can show there were unusual and unforeseeable circumstances that caused the latest approved cost estimate to be inaccurate.

APPENDIX

CEAO Contacts

Dean C. Ringle, P.E., P.S., Executive Director
County Engineers Association of Ohio
6500 Busch Boulevard, Suite 100
Columbus, Ohio 43229

Phone: 614/221-0707
FAX: 614/221-5761
E-mail: dringle@ceao.org

Michele Risko, CSTP/LBR Program Manager
County Engineers Association of Ohio
6500 Busch Boulevard, Suite 100
Columbus, Ohio 43229

Phone: 614/221-0707
FAX: 614/221-5761
E-mail: mrisko@ceao.org

Jeff Linkous, Chairman
CSTP/LBR Committee
Clinton County Engineer
1326 Fife Avenue
Wilmington, Ohio 45177-2462

Phone: 937/382-2078
FAX: 937/382-5318
E-mail: jlinkous@clintoncountyengineer.org

Mark Zimmerman, Vice-Chairman
CSTP/LBR Committee
Seneca County Engineer
3300 S. TR 151
Tiffin, Ohio 44883-9499

Phone: 419/447-1011
FAX: 419/447-1304
E-mail: zimmerman@bright.net



LBR Funding Application

DATE:	
-------	--

Project Information: (Note – 1 bridge per LBR Application)

COUNTY-ROUTE-SECTION:	
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PID: (if available)	
---------------------	--

Project Administration:

LOCAL-LET:		ODOT-LET:	
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Funding:*

FISCAL YEAR REQUESTED:	
------------------------	--

TOTAL COST ESTIMATE:	
----------------------	--

LBR COST ESTIMATE: (80% or 95% if using CBP)	
--	--

- * 1. Submit cost estimates in current year dollars and include 10% CE for projects less than \$1 million or 7% CE for projects estimated at \$1 million or more
- 2. Requested year and Estimated Costs may differ from the actual approval by the CSTP/LBR Committee.

LBR Project Information

Rehab or Replace: _____

Structure File Number: _____

Bridge Number: _____

Bridge Length: _____

Sufficiency Rating: _____

General Appraisal: _____

County Priority Points:** _____

**30 points per County per year (can all be put on one application or can be split between County's applications)

Project Description: (Include the Roadway Name, if applicable)

County Engineer's Signature:	
Date:	



CSTP Funding Application

DATE: _____

Project Information:

COUNTY: _____

PID: (if available) _____

Project Administration:

LOCAL-LET: _____ ODOT-LET: _____

Funding:*

FISCAL YEAR REQUESTED: _____

TOTAL COST ESTIMATE: _____

80% CSTP COST ESTIMATE: (Please note that this amount may not exceed the project cap of \$2 million) _____

- * 1. Submit cost estimates in current year dollars and **DO NOT INCLUDE CE**
- 2. Requested year and Estimated Costs may differ from the actual approval by the CSTP/LBR Committee.

Roadway Information: (Attach additional sheets if necessary)

County Road No.	Begin SLM	End SLM	Functional Classification

Project Description: (Attach additional sheets if necessary)

Priority:

If submitting more than one CSTP Application, please prioritize your applications (with 1 being the highest priority):

PRIORITY _____

County Engineer's Signature: _____

Date: _____



Project Cost Revision Request Form

DATE:	
-------	--

Project Information:

COUNTY-ROUTE-SECTION:	
-----------------------	--

PID:	
------	--

Project Administration:

LOCAL-LET:		ODOT-LET:	
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Funding Source(s):

CSTP:		LBR:	
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(check both if the project has both CSTP and LBR funds)

FISCAL YEAR:	
--------------	--

CURRENT APPROVED COST ESTIMATE:	
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CURRENT FEDERAL MAXIMUM:	
--------------------------	--

REVISED CONSTRUCTION CONTRACT ESTIMATE:	
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REVISED CONSTRUCTION ENGINEERING ESTIMATE:	
--	--

Project Development: (check all that apply)

	Complete?	
	Yes	No
ENVIRONMENTAL:		
STAGE 1:		
STAGE 2:		
STAGE 3:		
TRACINGS:		
DISTRICT R/W CERT:		
PLAN PACKAGE RECEIVED IN CO:		

Reason for Cost Increase: (attach additional pages if necessary)

CSTP Committee Use Only:

Current Program Amount:		Approved:	
Current Federal Max at ___%:		Not Approved:	
Requested % Over Federal Max:			

CEAO SCOPE CHANGE REQUEST FORM

A. Project Identification

County		Route		Section	
PID					
CEAO Program			Fiscal Year		

B. Description of Requested Scope Change

C. Will the Scope Change Alter the Project Limits?

Yes		No	
-----	--	----	--

If Yes:

Original Begin SLM		Original End SLM	
Revised Begin SLM		Revised End SLM	
Total Change in Project Length			

D. Will the Scope Change Require Additional Funding?

Yes		No	
-----	--	----	--

If Yes:

Original Project Cost Estimate:	\$
CEAO Federal Max:	\$

Current Construction Contract Estimate: (Not including Construction Engineering)	\$
---	----

E. Has the Project Been Cleared for Environmental?

Yes		No	
-----	--	----	--

If Yes, Will Additional Environmental Coordination be Required?

Yes		No	
-----	--	----	--

F. Will the Scope Change Require Additional Right-of-Way or Utility Impacts?

Yes		No	
-----	--	----	--

If Yes, Please Describe:

G. Will the Scope Change Alter the Project Schedule?

Yes		No	
-----	--	----	--

If Yes:

Proposed PS&E Date:	
Proposed Sale Date:	
Proposed Award Date:	

CSTP/LBR Committee Use Only:

Can the proposed schedule be accommodated?	
Can the funding increase be accommodated?	
Proposed New Federal Max:	\$

	Approved		Not Approved
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LPA SCOPE OF SERVICES FORM

Since each ODOT District has the ability to modify the scope of services form as deemed appropriate by that District, please contact your ODOT District LPA Manager to obtain the appropriate version of the form.

ODOT District LPA Managers:

District 1: Beth Clark	(419) 999-6865	beth.clark@dot.ohio.gov
District 2: Matt Sommerfeld	(419) 373-4403	matthew.sommerfeld@dot.ohio.gov
District 3: Steve Shepherd	(419) 207-7176	steve.shepherd@dot.ohio.gov
District 4: Jeff Cutler	(330) 786-4807	jeff.cutler@dot.ohio.gov
District 5: Ben Boyer	(740) 323-5111	benjamin.boyer@dot.ohio.gov
District 6: Brian Davidson	(740) 833-8397	brian.davidson@dot.ohio.gov
District 7: Blake Simpson	(937) 497-6807	blake.simpson@dot.ohio.gov
District 8: Scott Brown	(513) 933-6706	scott.brown@dot.ohio.gov
District 9: Scott Thompson	(740) 774-8982	scott.thompson@dot.ohio.gov
District 10: Alan Craig	(740) 568-3954	alan.craig@dot.ohio.gov
District 11: Dan Lorenz	(330) 308-7875	dan.lorenz@dot.ohio.gov
District 12: Natalie Conley	(216) 584-2103	natalie.conley@dot.ohio.gov