

Automated Red Light Enforcement Program



Guidance Document

May 2017

INDEX

<u>Chapter 1</u>: Program Overview.....	1
<u>Chapter 2</u>: Application Process	9
<u>Chapter 3</u>: Selection Process	13
<u>Chapter 4</u>: District Application Review.....	16
<u>Chapter 5</u>: District Project Management	17
<u>Chapter 6</u>: Offer and Grant Acceptance	19
<u>Chapter 7</u>: Municipal Project Management.....	22
<u>Chapter 8</u>: Post Award Conditions and Requirements.....	24
<u>Chapter 9</u>: Program Center and Fiscal Management Documentation	27

Chapter 1

Program Overview

A. Program Background

The Automated Red Light Enforcement (ARLE) program was established by Pennsylvania state legislation enacted in 2002. Its intent is to improve safety by reducing vehicle crashes and injuries due to red-light-running at signalized intersections. ARLE has been implemented at 30 intersections in the City of Philadelphia and three intersections in Abington Township, Montgomery County.

The ARLE system is a technological tool to help police by automatically monitoring signalized intersections for red-light-running violators on a 24/7 basis. This improves safety and allows law enforcement officers to focus resources on other critical police functions. ARLE cameras use still and video images to detect vehicles that travel through a signalized intersection when the traffic signal is in the steady red phase. The recorded traffic violation is then validated by appropriate enforcement officials, the vehicle owner identified, and a citation issued to the owner by mail.

The ARLE Funding Program is a state-administered competitive grant program established in 2010. It uses net revenue from ARLE-levied fines to fund highway safety projects statewide. The net revenue, i.e., excess revenue after a municipality's ARLE program administration, operations, and equipment expenses have been satisfied, is placed in a restricted Motor License Fund (MLF) account to fund eligible transportation projects. The ARLE program's primary purpose is to improve safety, not to generate revenue—a misconception held by many.

B. Program Overview

The automated red light enforcement program requirements are indicated in 75 Pa.C.S. §3116 (Automated red light enforcement systems in first class cities) and §3117 (Automated red light enforcement systems in certain municipalities). The ARLE Funding Program is 100% state funded (Appropriation 244) using additional revenue in a restricted motor license account that has been generated from Automated Red Light Enforcement Systems. Only approved ARLE Funding Program projects should be contained within Appropriation 244.

The purpose of this policy is to provide opportunities for ARLE transportation enhancement grants through revenues generated by the automated red light enforcement program, to improve safety and reduce congestion. This program is not the same as the Department's existing transportation enhancement grants initiative. The automated red light enforcement systems program intends to reduce the number and type of violations and crashes at the implementation locations, but will also use revenues generated through the program to provide additional benefits to highway users through the implementation of the ARLE Funding Program.

The policies and procedures in this guidance are intended to supplement existing requirements. Nothing in the policies or procedures shall affect the regulatory requirements. The policies and procedures herein are not a regulation or an adjudication; there is no intention on the part of the Department of Transportation

Automated Red Light Enforcement Program Guidance Document

(Department) to give the provisions of these policies and procedures that weight or deference. This document establishes the framework within which the Department will exercise its administrative discretion in the implementation of the ARLE Funding Program. The Department reserves the discretion to deviate from this policy if circumstances warrant.

The ARLE Funding Program is administered by the Pennsylvania Department of Transportation's Center for Program Development and Management and the Bureau of Maintenance and Operations. Currently the Philadelphia Parking Authority, the City of Philadelphia's system administrator provides the Pennsylvania Department of Transportation with quarterly deposits of revenue generated by automated red light enforcement violations into a restricted Motor License Fund account. The Philadelphia Parking Authority deducts all operation and maintenance costs prior to depositing the remaining revenues into a restricted Motor License Fund account. Soon additional revenues will become available due to additional intersections being enforced similarly in other municipalities. The balance of revenues generated in the restricted Motor License Fund account is eligible for use as part of the ARLE Funding Program. The Department will post yearly revenues available for the ARLE Funding Program into the Pennsylvania Bulletin each spring prior to the submission of applications. An eligible sponsor can submit an application or applications within acceptable parameters. No matching funds are required for eligibility in the ARLE Grant Program. Eligible projects are evaluated, a grant is offered and accepted, and the Department will reimburse the sponsor within 60 days from receipt of the quarterly status report. The Department requires that the awarded sponsor shall keep proper records throughout the projects life.

This policy outlines the procedures, guidelines, and requirements needed for the Department to administer the ARLE Funding Program and provides the grant sponsor an understanding of the ARLE Funding Program procedures. The use of dotGrants will not be permitted at this time.

Automated Red Light Enforcement Program Guidance Document

C. Definitions

The following words and terms, when used in this policy, have the following meanings, unless the context clearly indicated otherwise:

ARLE – Automated red light enforcement

Automated red light enforcement system – A vehicle sensor installed to work in conjunction with a traffic-control signal which automatically produces one or more recorded images of a vehicle at the time the vehicle is used or operated in a manner which is a violation under 75 Pa.C.S. § 3112(a)(3) (relating to traffic-control signals). [75 Pa.C.S. § 3116]

Department – The Department of Transportation of the Commonwealth [75 Pa.C.S. § 102]

Grant – An offer of funding assistance from the Department to a sponsor for a project governed by this policy. [67 Pa. Code §233.2]

Highway –

1. The entire width between the boundary lines of every way publicly maintained when any part thereof is open to the use of the public for purposes of vehicular travel.
2. The term includes a roadway open to the use of the public for vehicular travel on grounds of a college or university, public or private school, or public or historic park. [75 Pa.C.S. § 102]

Local authorities – County, municipal, and other local boards or bodies having authority to enact laws relating to traffic. [75 Pa.C.S. § 102]

Official traffic-control devices – Signs, signals, markings, and devices consistent with 75 Pa.C.S. (relating to Vehicle Code) placed or erected by authority of a public body or official having jurisdiction, for the purpose of regulating, warning, or guiding traffic. [75 Pa.C.S. § 102]

Sponsor – A local authority, Metropolitan Planning Organization, Rural Planning Organization, county planning organization, or Commonwealth agency applying for, or receiving, a transportation enhancement grant under this chapter. [67 Pa. Code §233.2]

Traffic – Pedestrians, ridden or herded animals, vehicles, streetcars, and other conveyances, whether singly or together, using any highway for purposes of travel. [75 Pa.C.S. § 102]

Traffic-control signal – A device, whether manually, electrically, or mechanically operated, by which traffic is alternately directed to stop and permitted to proceed. [75 Pa.C.S. § 102]

Automated Red Light Enforcement Program Guidance Document

D. Sponsors Eligible for Grants

A sponsor shall submit a grant application for eligibility in the ARLE Funding Program. Sponsors, as defined in 67 Pa. Code §233.2 (Definitions), may include the following:

1. Local authorities (counties, municipalities, and other local boards or bodies having authority to enact laws relating to traffic
2. Metropolitan Planning Organizations (MPOs)
3. Rural Planning Organizations (RPOs)
4. County planning organizations
5. Commonwealth agencies

E. Eligible Projects

The types of eligible projects are very wide-ranging when considering highway safety or mobility. It is the intent of the ARLE Funding Program to fund worthwhile projects that can be completed at a relatively low cost. Examples of such enhancement projects include, but are not limited to, the following:

1. Improvements to traffic-control signals already equipped with automated red light enforcement systems or proposed to be equipped with automated red light enforcement systems.
2. Removal of unwarranted traffic-control signals.
3. Retiming of existing traffic-control signals.
4. Upgrading, modernization, or improvements to traffic-control signals.
5. The interconnection and coordination of traffic-control signals to improve mobility.
6. The installation of a traffic-control signal system or the expansion of an existing system to improve mobility.
7. Revisions to traffic-control signal operational modes to improve safety or mobility. Examples include conversion to actuated, traffic responsive, or traffic adaptive modes of operation.
8. Improvements to traffic-control signals or other official traffic-control devices to reduce energy consumption. Examples include the conversion of traffic-control signal or pedestrian signal indications to Department-approved, light emitting diode (LED) modules or the installation of Department-approved, solar-assisted official traffic-control devices.
9. The installation of new or improved detection systems for traffic-control signals.
10. Upgrading, modernization, or safety improvements to traffic-control signals having railroad preemption.
11. Roadway capacity upgrades such as auxiliary turning lanes.
12. Roadway or intersection signing and pavement restriping projects which will either increase capacity or improve safety.
13. Local Technical Assistance Program (LTAP) Local Safe Roads Communities Program and implementation of recommendations.
14. LTAP Walkable Communities Program and implementation of recommendations.
15. School zone designation through striping, signing, or signal improvements.
16. Pedestrian safety improvements at signalized intersections such as countdown timers, easily accessible and quick response pushbuttons, crosswalk striping, and pedestrian signing.
17. Pedestrian mobility improvements, particularly projects with a combination of eligible features.

Automated Red Light Enforcement Program Guidance Document

18. Centerline rumble strips.
19. New guiderail or replacement of damaged/substandard guiderail.
20. Transition guiderail for exposed bridge parapet ends.
21. Removal of roadside fixed objects and/or clearing of vegetation for sight distance improvements.
22. Improvements to correct drop-off issues along local roadways.
23. Minor drainage improvements to improve safety.
24. New regulatory or warning signs that meet the minimum retro-reflectivity requirements.
25. Radii improvements at intersections.
26. Roadway delineators, either along the outside edge of the roadway, or to prevent turning movements at driveways or intersections.
27. Other projects which, in the discretion of the Department, should be considered.

The Department's intent is to award grants to projects that will be fully funded at the execution of the grant agreement date. All matching funds, if provided, shall be made available at the time of the application to complete the project. Design projects will only be considered if the sponsor provides a resolution passed by the sponsor's board indicating the obligation to complete the construction of the project. Proof of the available funding must be submitted with the application.

F. Ineligible Projects

All projects may be considered for the ARLE Funding Program, with the exception of transportation impact studies and highway improvements that are the responsibility of a privately funded applicant for a Department Highway Occupancy Permit. Inclusive projects that are not in line with the intent of this grant program will also be considered ineligible (e.g. large highway improvement projects such as new roads, bridges, interchanges, decorative street appurtenances, standard preventive or response maintenance, etc.).

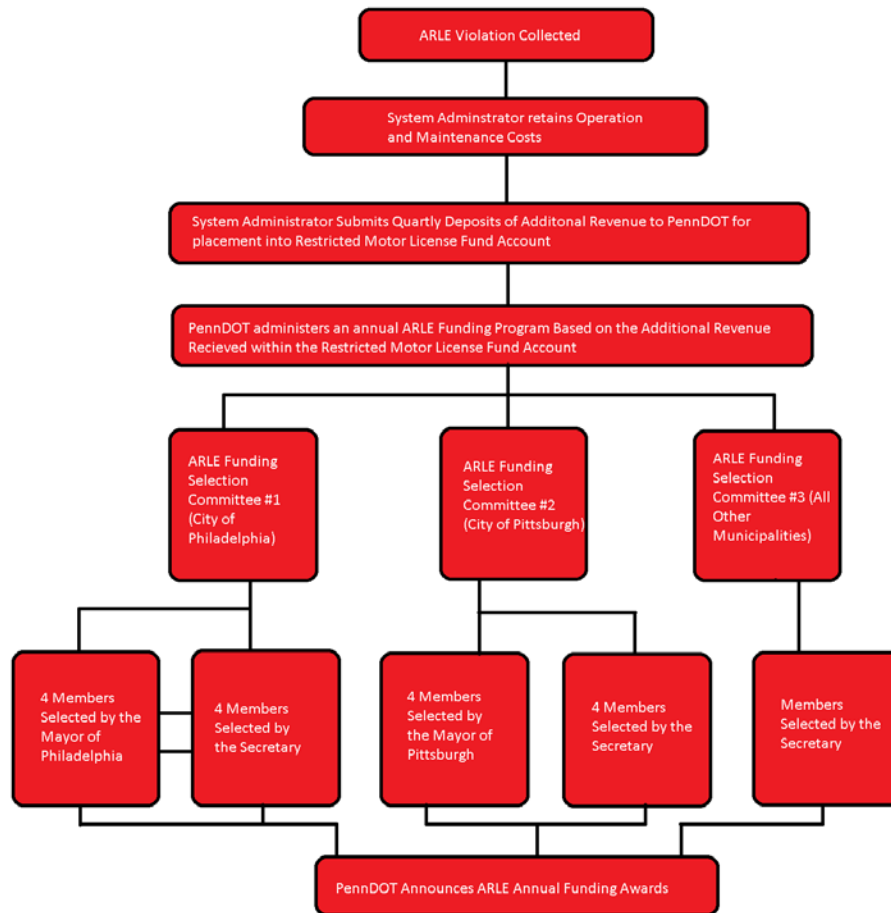
G. Limits of Funding

No matching funds are required as part of the ARLE Funding Program. However, ARLE Funding will be considered based on the available yearly revenues deposited in the restricted Motor License Fund account. The available funding for the ARLE Funding Program is solely based on revenues deposited into the restricted Motor License Fund account.

Currently, the City of Philadelphia's system administrator, the Philadelphia Parking Authority provides the Pennsylvania Department of Transportation with quarterly deposits (March 1st, June 1st, September 1st, and December 1st) into a restricted Motor License Fund account. The Philadelphia Parking Authority deducts operation and maintenance costs prior to depositing the remaining revenues into this restricted Motor License Fund. The balance of revenues generated by the automated red light enforcement program is eligible for use as part of the ARLE Funding Program. The Department will post the revenues available for the ARLE Funding Program in the Pennsylvania Bulletin each April prior to the submission of applications. This is true for any additional municipality net processed from ARLE installation fines.

Refer to the following overview of the functions of ARLE stake holders:

Automated Red Light Enforcement Program Guidance Document



H. Responsibilities

Department of Transportation

The Department of Transportation will be responsible for:

1. Advertising and administering the grant program
2. Collecting the applications each year in accordance with this policy
3. Reviewing the submitted applications
4. Selecting the approved grantees
5. Notifying all applying sponsors of the results of the selection process
6. Preparing a Reimbursement Agreement for each awarded grant and provide it to the approved sponsor
7. Entering into the Agreement with the sponsor
8. Providing reimbursement payments to the sponsor based on the provisions provided in the Reimbursement Agreement and Quarterly Status reports
9. Establish and support District project managers who will oversee the project in compliance with this established policy
10. Ensuring compliance with the terms of the Reimbursement Agreement through auditing and checking of records as defined in this policy

Automated Red Light Enforcement Program Guidance Document

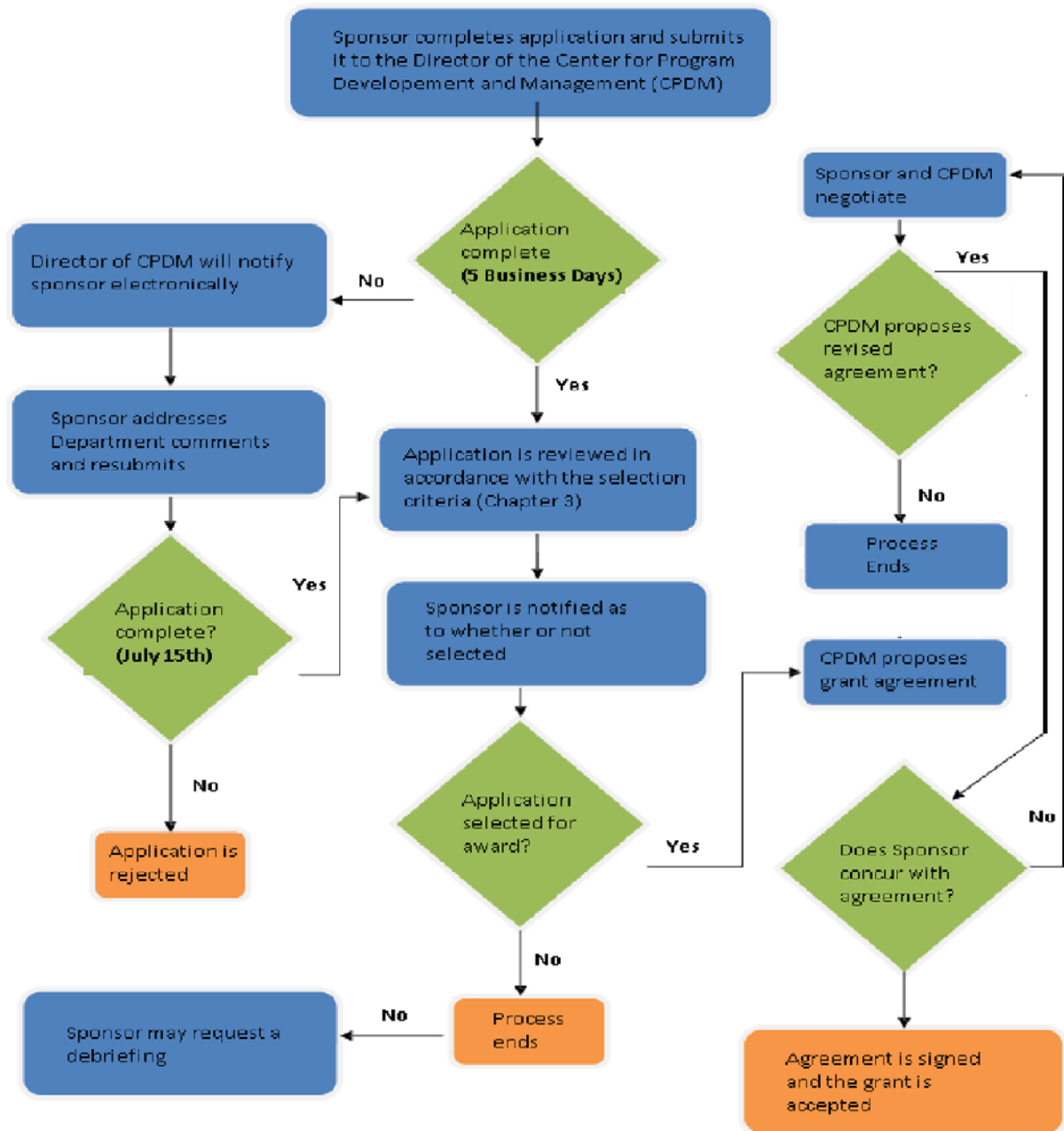
11. Provide verification that the work being invoiced is accurate
12. Returning any unused grant funds to the restricted account once each project has been completed.

Sponsors

Sponsors will be responsible for:

1. Completing the required application form
2. Providing the information required as outlined in this policy
3. Sending in timely status reports as indicated in this policy to receive payment as outlined in the Reimbursement Agreement
4. Submitting the information to the Department within the timeframe specified in this policy
5. Entering into a Reimbursement Agreement with the Department if awarded the grant
6. Faithfully execute the Agreement in accordance with its terms

**ARLE Transportation Enhancement
Grant Process Overview**



Automated Red Light Enforcement Program Guidance Document

Chapter 2 Application Process

A. Application Submission

A sponsor submits an electronic and written request, along with the Application Form contained in **Appendix A** to:

Director, Center for Program Development and Management
Pennsylvania Department of Transportation
Attention: Transportation Enhancement Grants from Automated Red Light Enforcement System Revenues
Commonwealth Keystone Building, 400 North Street, 6th Floor
Harrisburg, PA 17120-0064
Email: RA-PDSIGNALFUNDING@pa.gov

The application must be prepared in accordance with the instructions contained in this policy and utilizing the Automated Red Light Enforcement Transportation Grant **Application Form (TE-156)** and instructions contained in **Appendix A**. Supplemental information in support of the application may be included as an attachment to the application form. The Automated Red Light Enforcement Transportation Grant Application Form (**TE-156**) must be completed in its entirety, for the application to be evaluated by the Department.

Many of the below requirements can be met if the sponsor has had a report developed by Pennsylvania's Local Technical Assistance Program (LTAP) on an area within their jurisdiction. The LTAP report should be an attachment to the ARLE application.

B. Minimum Application Requirements

As indicated in 67 Pa. Code §233.5(c) (Application procedure), the following information should be provided with the Automated Red Light Enforcement Transportation Grant **Application Form (TE-156)** in **Appendix A**. Also a municipal resolution in concurrence of the application should be included with the submission.

1. **Project Description.** Provide a general description of the project and the objectives that are desired to be achieved. Include the following information:
 - a. How the project is proposed to be managed
 - b. A project schedule
 - c. The proposed method for procuring the project
 - d. How the project will be inspected
 - e. A maintenance plan

2. **Project Location.** Provide the following:
 - a. Location map
 - b. Beginning and end points of the project
 - c. Associated counties, municipalities, routes, segments, and offsets
 - d. General description of location and surrounding area
 - e. Roadway type/classification and length of project in miles
 - f. Annual Average Daily Traffic (AADT)
 - g. Existing roadway geometry (number of lanes, lane widths, etc.)
 - h. Roadway posted speed limits

Automated Red Light Enforcement Program Guidance Document

- i. Adjoining land uses
 - j. Number/location of signalized intersections
3. **Official Traffic-Control Device Description.** For projects involving official traffic-control devices, briefly describe the existing devices. If traffic-control devices exist, provide an existing permit plan along with the proposed and/or approved revisions to the official traffic-control device if the approved revision is available at the time of the application.
4. **Project Justification.** Outline why this project is being nominated for this grant program and the benefits that would be obtained. Explain the project need in detail by providing a history of the existing problem, what steps, if any, have been previously taken to remedy the problem, and what benefits the sponsor expects to receive from the project. Provide a qualitative explanation of the proposed benefits and, if possible, the supporting data. Provide a detailed crash evaluation covering a minimum of the last five years with data available from PennDOT. The detailed crash evaluation should include a collision diagram (if available). Include a discussion about public perception of the proposed project based on previous hearings and/or meetings conducted (meeting minutes, press clippings, etc.).
5. **Potential Improvements and Cost.** Provide a description of the potential improvements, and their associated costs. Estimated costs should be as detailed and accurate as possible, and include all aspects of the project for which the grant is being submitted (design, construction, etc.). The Department's intent is to award grants to projects that will be fully funded at the execution of the grant agreement date. All matching funds shall be made available at the time of the application to complete the project. Design projects will only be considered if the sponsor provides an official resolution indicating the obligation to complete the construction of the project. Proof of the available funding must be submitted with the application.
6. **Schedule.** Provide a detailed project schedule. Indicate whether it can be completed in one year or will it be a multi-year project. Include all steps that may be needed from preliminary studies and conceptual designs through the project's final inspection. Include all approvals, review times, coordination with other municipalities, etc.
7. **Other Programmed Projects.** Describe other transportation improvement projects that are in the vicinity of the proposed project and have been programmed on the Regional Transportation Improvement Program or municipal projects (include location, time frame, cost, etc.).
8. **Anticipated Development.** Describe known major developments and/or projects that are anticipated within the next 10 years in the vicinity of the proposed project.
9. **Professional Engineer.** Identify the professional engineer or consulting engineering firm which will provide engineering services for the project. If this information is not available at the time of application it must be provided to the Department upon confirmation of retaining the firm. Include the method proposed for selection of engineering firms.
10. **Contact Person.** Provide the name, mailing address, telephone number, and e-mail address of the

Automated Red Light Enforcement Program Guidance Document

contact person for the sponsor. It is important that the sponsor provide a contact person with decision-making authority so the project may move forward expeditiously if selected.

11. Other Information.

The sponsor should provide other pertinent information that the sponsor believes may justify the project, or that is requested by the Department. This information should be one additional summarized page, as an attachment to the sponsor's application form.

a. *Maintenance Plan*

The sponsor shall provide a description of how the proposed improvement will be properly maintained in accordance with Department guidelines such as Publication 191, Guidelines for the Maintenance and Operation of Traffic Signals. Also, include documentation of past maintenance programs in the municipality.

C. Deadline for Applications

Applications for the ARLE Funding Program will be considered on an annual basis. Completed applications will be evaluated in the ARLE Grant Program for that year. **Completed applications shall be submitted electronically and followed by a hard copy. Completed applications will only be collected beginning on June 1 of each year through the close of business on June 30 of that year.** If the June 30 deadline occurs on a weekend or legal holiday when the Commonwealth's offices are closed, the deadline will be extended to the close of the next business day.

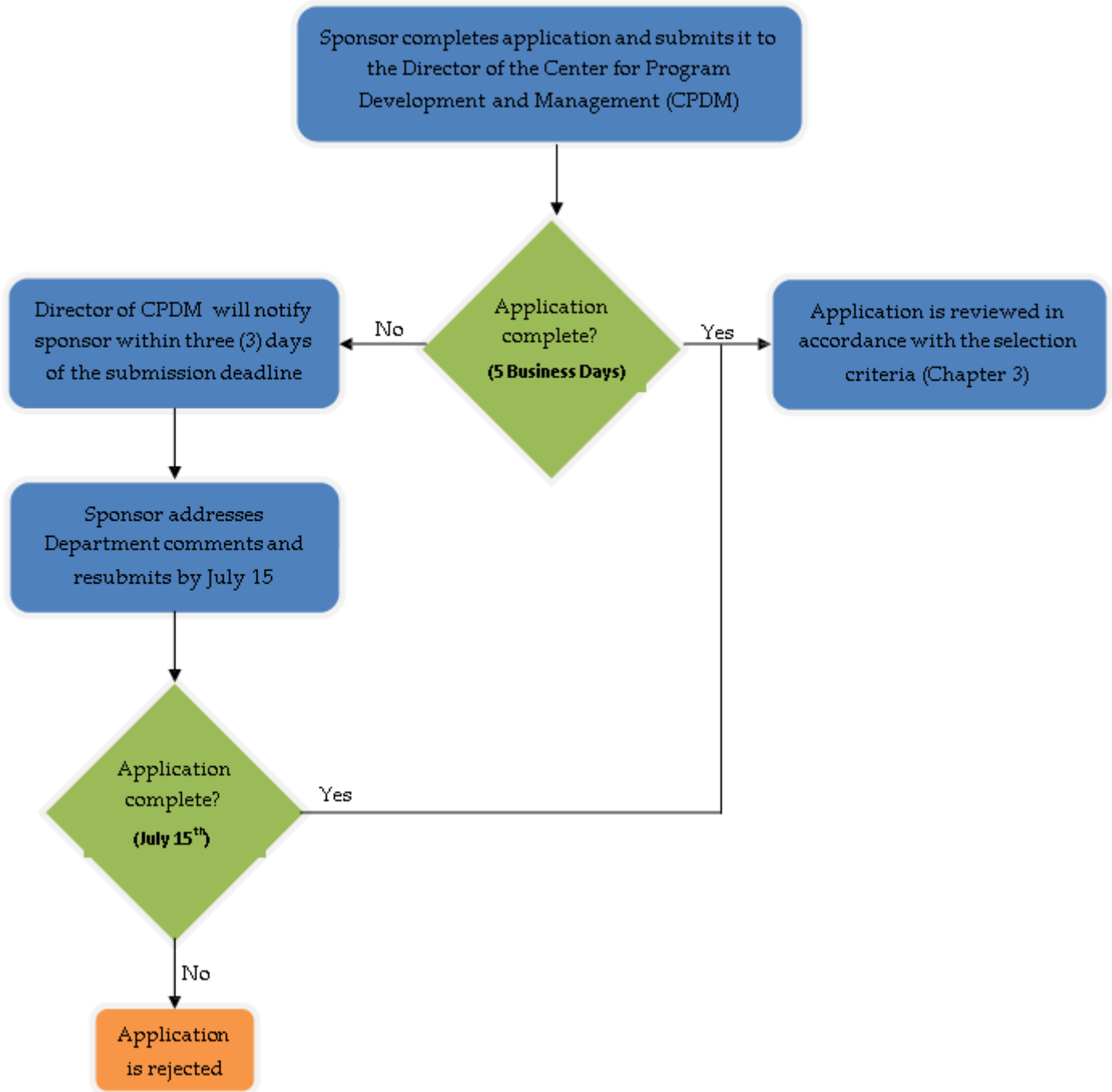
The Department will consider incomplete applications if they are made complete by July 15th. Any applications not made complete by July 15th will not be evaluated for the ARLE Funding Program for that year. If the Department deems an application incomplete, the sponsor will be notified electronically within three business days from the submission deadline.

D. Public Records

The Department will adhere to the provisions provided in 67 Pa. Code §233.7 (Public records). All applications for a transportation enhancement grant will be considered a public record at the time of filing, and will be made available for inspection. The Pennsylvania Right-to-Know Law, 65 P.S. §§ 67.101—3104, will apply to the Reimbursement Agreement. Therefore, it is subject to, and the Grantee shall comply with, the clause entitled Grant Provisions – Right to Know Law 8-K-1580 that will be made a part of the Reimbursement Agreement.

Automated Red Light Enforcement Program
Guidance Document

**ARLE Funding Program
Basic Application Process**



Automated Red Light Enforcement Program Guidance Document

Chapter 3 Selection Process

A. General

Following the closing date for receipt of applications, eligible projects with completed applications will be considered for funding in the ARLE Funding Program during that year. Completed applications for eligible projects will be considered within the parameters established in Chapter 2, Section C (Deadline for Applications).

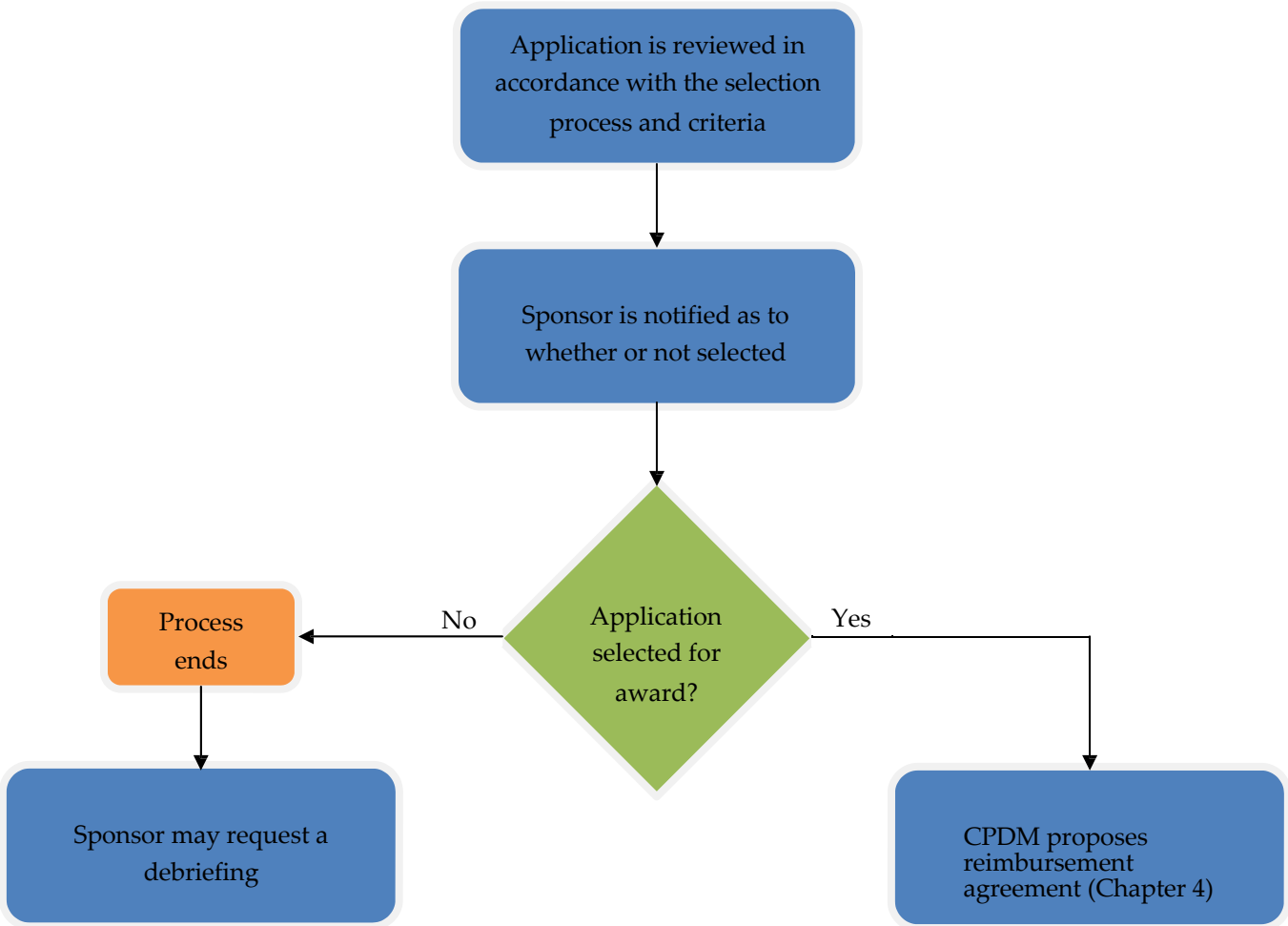
B. Grant Selection Process

Upon completion of the Application Process, the Director of the Center for Program Development and Management and the Director of the Bureau of Highway Safety and Traffic Engineering, will establish an ARLE Funding Program review team to review and rank the applications with respect to applicable criteria for project funding, available funds, current priorities for traffic safety and mobility, and other factors. Typically, the expected timeline with exception to the initial selection process, will be as follows:

April 1-30	Pennsylvania Bulletin Announcement
June 1	Receipt of applications begins
June 15	ARLE Funding Program review team is established
June 30	Receipt of applications ends
July 15	Revised applications due
July 16	ARLE Funding Program review team begins evaluation of the applications
August 1	ARLE Funding Program review team sends ranking recommendations to Project Management Committee
August 15	Ranking of applications is complete
September 1	Notifications of award or denial sent via certified Mail

Automated Red Light Enforcement Program
Guidance Document

**ARLE Funding Program
Selection Process**



Automated Red Light Enforcement Program Guidance Document

C. Selection Criteria

The selection criteria that may be considered along with the application requirements indicated in Chapter 2 (Application Process) include the following:

Grant Selection Criteria Description	Grant Selection Evaluation Questions
1. Project Benefits & Effectiveness	How does the project improve safety, enhance mobility, reduce congestion, and reduce greenhouse gases? (Higher score for the more benefits)
2. Project Cost	Is the request within the scope of available funds? Is the project cost effective?
3. Local and Regional Impact	How does this project support the regional transportation system? (Higher score for smart transportation)
4. Cost Sharing	Are there matching funds from other resources? (Higher score for matching funds)
5. Other Criteria	<ul style="list-style-type: none"> • What is your previous ARLE award completion status? • How will your proposed project consider all modes of travel? • Where is your project located on PennDOT's High Crash List? • What is the expected HSM Crash Reduction Factor?
6. Maintenance & Operations	Does Applicant's past and current Operations and Maintenance performance meet the Department's expectations?
7. Evaluation by Others	Does the proposed project meet goals and priorities of the District and Planning Partner?

For each project, the ARLE Funding Program review team will rank each application based upon the merits of the project for each criterion above. The Department will utilize a scoring sheet for use in ranking the applications provided in **Appendix B**. The scoring sheet will weigh the ARLE Funding Program selection criteria based on project funding, available funds, current priorities for traffic safety and mobility, and other factors. These weighed factors should be clearly indicated in a spring announcement in the Pennsylvania Bulletin. Further, the Department has discretion to modify the selection criteria if priorities exist by notifying each sponsor that has completed an ARLE Funding Program application for that year. Final selection recommendations are provided for submission and evaluation by the Program Management Committee (PMC). PMC will provide the appropriate authorization to move forward with Chapter 5 (District Project Management).

Debriefing Procedures

At the request of a sponsor the Department will conduct a debriefing with a sponsor whose application has been denied. If the sponsor would like to request a debriefing, please notify the Director of the Center for Program Development and Management at:

Center for Program Development and Management
 Pennsylvania Department of Transportation
Attention: DEBRIEFING REQUEST – ARLE Funding Program
 Commonwealth Keystone Building, 400 North Street, 6th Floor
 Harrisburg, PA 17120-0064

Automated Red Light Enforcement Program Guidance Document

Chapter 4 District Application Review

District personnel will be requested to provide input within their geographic area and provide input relating to local and regional priorities and consistency with local planning efforts.

Recommended selection criteria include the following:

1. Anticipated benefits: traffic safety improvement, mobility enhancement and delay reduction, energy saving, and greenhouse gas reductions.
2. Anticipated regional impact: Is it a multi-municipal application and/or will the likely impact extend beyond the limits of a single municipality.
3. Anticipated cost effectiveness
4. Anticipated ability of the applicant to complete the proposed work and provide an acceptable degree of long-term maintenance
5. Consistency with local and regional long-range transportation plans or related documents
6. Critical nature of the corridor within the region
7. Input from the applicant as to relative priority if multiple submissions are made by a single municipality
8. Other localized factors, as appropriate

Districts will be asked to review and identify all applications as high, medium, or low priority. Further ranking of first, second, third priority and so forth is requested for municipalities submitting more than one application

Automated Red Light Enforcement Program Guidance Document

Chapter 5 District Project Management

The following chapter provides Engineering District specific guidance regarding the ARLE Funding Program administration. The contents of this chapter in addition to chapters 5 and 6 should be used when administering the ARLE Funding Program.

PennDOT Role in Project Development

The development and implementation of ARLE Funding Program projects will be the primary responsibility of each project sponsor. Each project sponsor will secure the appropriate professional assistance in advancing their project (a Professional Engineer, Landscape Architect, or Architect, depending on the nature of the project) and will establish the implementation schedule for their project. PennDOT staff will be available to provide procedural guidance and to assure that the sponsor secure the appropriate approvals (such as environmental, right-of-way and utility clearances). All Department policies and standards should be followed as part of the ARLE Funding Program project.

The project sponsor of a selected project will submit periodic invoices to the appropriate Engineering District from service provided while working on the ARLE Funding Program selected project. The sponsor reviews and approves the invoices and then submits them to the appropriate PennDOT Engineering District for payment. The appropriate PennDOT Engineering District will then reimburse the sponsor for the approved invoice. The project sponsor is responsible for compensating the service provider.

Program Development and Management

All projects as part of the ARLE Funding Program are 100% state funded (Appropriation 244) that are based on additional revenue dedicated in a separate restricted motor license account. Upon receiving approval from PMC regarding the selected projects, the Bureau of Maintenance and Operations and Center for Program Development and Management will request contact information from each District Executive regarding the staff that will oversee each of the ARLE Funding Program applications. Once an appropriate Engineering District representative or project managers are identified, Central Office will conduct a conference call with all appropriate Engineering Districts to discuss the next steps. A MPMS number must be established to monitor and track each ARLE Funding Program project. As an ARLE Funding Program Project is completed, the encumbrance should be reduced to the actual project cost so a commitment is no longer on the books for this project. All projects should be tracked through SAP (WBS element) which is no different than any other 100% state funded project. All projects costing over \$100,000 need to be included on the Transportation Improvement Program (TIP). The Program Center will work with the Engineering District Planning staff to place the projects onto the TIP. The appropriate Engineering District may determine the most appropriate method of execution of an ARLE Funding Project as indicated below:

- Projects that are within the descretion of liquid fuels type project, may use Publication 9, Chapter 449 (Appendix D). All invoices must be sent to the Comptrollers's Office for local reimbursement.
- Projects can be processed through the ECMS system
- Projects can follow the procedures identified in Publication 93

Additional ARLE program guidance has been included within the following link: [P:\penndot\shared\Automated Red Light Enforcement \(ARLE\) Funding Program](P:\penndot\shared\Automated Red Light Enforcement (ARLE) Funding Program)

Automated Red Light Enforcement Program Guidance Document

Cost Increases/Changes in Scope of Work

Each ARLE Funding Program application has been approved for a specific scope of work and level of funding based on the information submitted by the project sponsor in their application. All changes in scope of work **MUST** have the written approval of PennDOT Engineering District **PRIOR** to proceeding with the work. The PennDOT Engineering District should notify the Bureau of Maintenance and Operations and the Center for Program Development and Management if a scope of work is modified. **ANY ACTIVITIES UNDERTAKEN THAT ARE NOT IN COMPLIANCE WITH THE ABOVE WILL NOT BE ELIGIBLE FOR REIMBURSEMENT.** Currently, **THERE IS NO FUNDING AVAILABLE TO COVER COST INCREASES; PROJECTS WILL ONLY BE FUNDED UP TO THE AMOUNT ORIGINALLY APPROVED.** Sponsors will be responsible for any and all cost increases.

The scope of work can be changed from what was originally stated in the ARLE Funding Program application; however, this change **MUST** occur **PRIOR** to executing the reimbursement agreement. The sponsor **MUST** forward a letter to the files documenting the change and the PennDOT Engineering District **MUST** agree with the change. **NO ADDITIONAL FUNDING WILL BE AWARDED.** If the PennDOT Engineering District does not agree to the proposed change, the project award will be nullified.

Reimbursement Agreement

A standard reimbursement agreement has been developed between the Department and the project sponsor. This document specifies all terms and conditions with which the project sponsor **MUST** comply to receive ARLE Funding Program funds. The PennDOT District will obtain the necessary signatures on the agreement and submit it to the PennDOT Central Office, Office of Chief Counsel for execution and all fiscal and legal approvals. The ARLE Funding Program reimbursement agreement should not exceed three years from execution. A one-time extension of this 3 year limitation will be considered by the Department.

If a project sponsor is requesting reimbursement for a local project, the reimbursement agreement must be executed prior to commencing any phase of the project (e.g., preliminary engineering, final design, right-of-way acquisition, grade crossing coordination, utility relocation, construction activities) that is funded with ARLE Funding Program funds. This agreement is required to document the conditions for payment of work completed on the project. The PennDOT District Office will prepare the local project reimbursement agreement for the approved ARLE Funding Project.

Any costs incurred **PRIOR** to the execution of the agreement for which ARLE Funding Program funds are requested will **NOT** be eligible for reimbursement. Interest and administrative costs incurred by project sponsors prior to the execution of the agreement will not be reimbursed.

Project Kick-off Meeting and Field View

A project kick-off meeting and field view are suggested for the larger ARLE Funding Program projects. The appropriate Engineering District manager will determine if a project kick-off meeting and field view are necessary. The purpose of the kick-off meeting is for the project team to meet and begin to focus on the specific elements of what will be achieved from the start to the completion of the project. The meeting should be conducted within sixty (60) days after being notified of the ARLE Funding Program approval. The purposes of the scoping field view are to have all stakeholders and the project sponsor view the project and the project area to determine important project issues, and the level of documentation that will be needed in order to determine if there may be additional issues with the ARLE Funding Program project.

Automated Red Light Enforcement Program Guidance Document

Chapter 6 Offer and Grant Acceptance

A. Issuance of Grant Offers

The Department will, in writing, notify each sponsor who has submitted an application whether or not they will receive a grant offer. A sponsor whose application has been denied can request a briefing from the Department. If awarded, the grant will be provided as a reimbursement to the sponsor once confirmation and verification work completed is within the parameters of the Reimbursement Agreement. The sponsor will be responsible for procuring the engineering services and bidding the project for construction in accordance with Pennsylvania law. The Department will provide a project manager who will ensure the day-to-day operations of the project is within the parameters of this policy and the Reimbursement Agreement.

B. Reimbursement Agreement and Conditions

The Reimbursement Agreement will describe any specific grant conditions, and include those conditions in the accompanying grant offer. The Department may or may not fully fund the entire cost of the project. The Reimbursement Agreement will specify the total amount to be funded under the grant offer, the scope of the project, and the items of work to be included. The Department may also require sponsors, as part of the Reimbursement Agreement, to conduct before-and-after studies to determine project effectiveness. The grantee must be willing to abide by this requirement in the Reimbursement Agreement; however, re-evaluation of the Reimbursement Agreement may be considered at the Department's discretion if requested by the grantee.

Unless otherwise restricted by 75 Pa.C.S. §3116 the Department has discretion in the selection of projects and determination of funding levels, priorities, critical project selection criteria, project phasing, project design and specifications, and performance criteria. In the consideration of an application and its terms, the Department may determine that a proposed project should be amended to accommodate available funding, applicable traffic design criteria, anticipated use, or to better accommodate potential user needs. The Department may, therefore offer a grant for a project whose cost, specifications, terms, or scope has been modified by the Department. In the event that the Department confers with a sponsor to amend a proposed project, the sponsor should understand that consultation and amendment does not insure that an offer will be made.

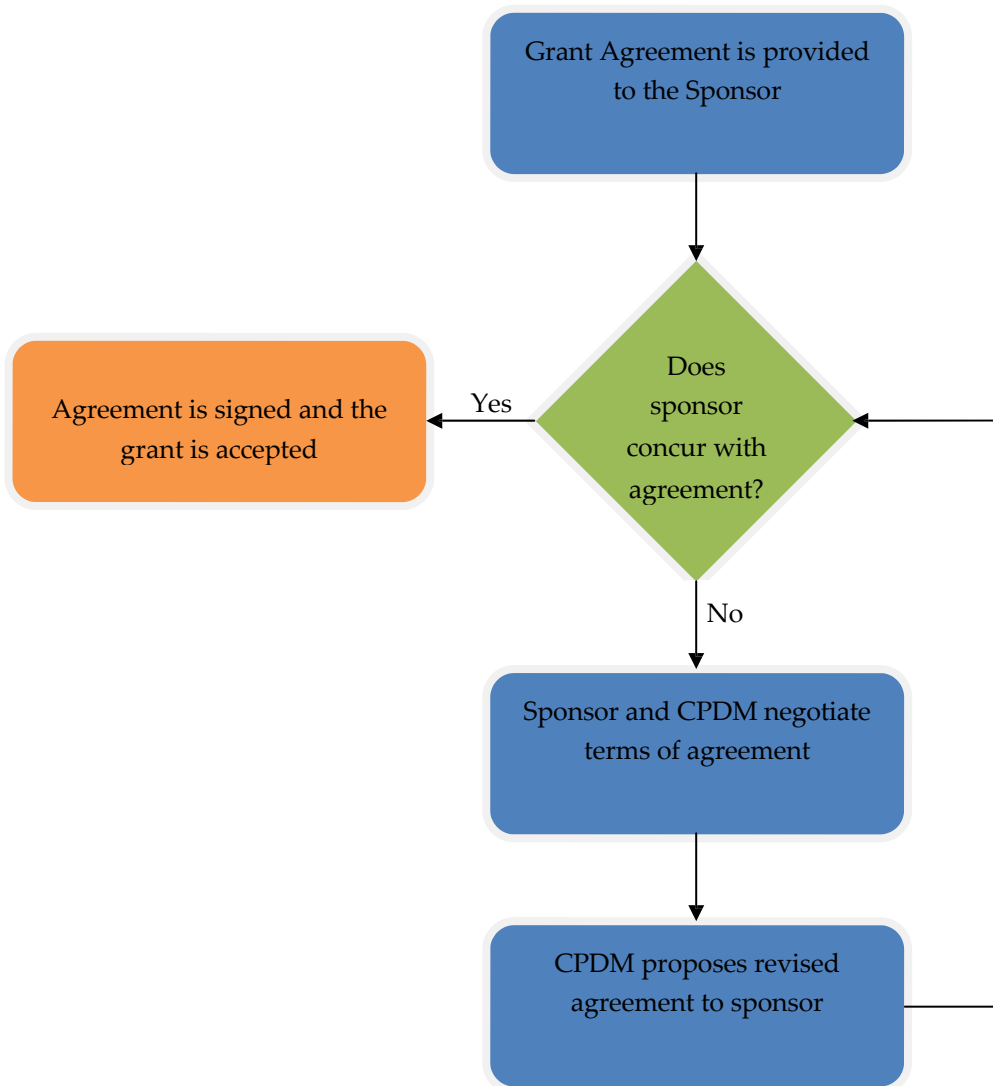
The sponsor will agree that the grant amount, original or as amended by the Department, will be the maximum amount provided for the project. If project costs exceed the final grant amount the sponsor will be obligated for funding the shortfall and complete the project.

Automated Red Light Enforcement Program Guidance Document

C. Grant Acceptance

A sponsor who has received a grant offer shall, in 30 days, either indicate electronically or by certified mail its acceptance of the offer and provide original signatures of the Reimbursement Agreement, or the sponsor shall notify the Director of the Center for Program Development and Management of its intention to negotiate the agreement with the Department. No work shall be performed until the Reimbursement Agreement between the Department and the sponsor has been fully executed. Work performed prior to the execution of the Reimbursement Agreement will not be reimbursed. Acceptance of the offer is not binding on the sponsor until execution of the Reimbursement Agreement between the Department and sponsor. Failure of a sponsor to either indicate acceptance of the terms of the offer, or to indicate its intention to negotiate, within the 30-day response period, will be considered as rejection of the offer and withdrawal of the application. The Department will issue a letter to the sponsor indicating that the application has been considered withdrawn and no longer eligible for the ARLE Grant Program.

ARLE Transportation Enhancement Grant Offer and Grant Acceptance



Chapter 7

Municipal Project Management

The municipality(ies) is responsible for providing a municipal employee or consultant with approval authority to manage the project development phases from design through construction, as applicable, for all ARLE projects. The local sponsor for an ARLE project must coordinate with the designated Engineering District manager from project inception to completion to ensure all laws and regulations are properly adhered to in order to avoid jeopardizing eligibility or unwanted delay for the project. As a local-led project the municipality(ies) should refer to PennDOT's Publication 740, *Local Project Delivery Manual*. Publication 740 provides guidance for the implementation of a local project from project inception to finalization. The publication serves as a reference to local project sponsors, project managers, and other stakeholders on required and recommended processes for delivering local projects using federal and/or state funding.

The municipality(ies) is also responsible for securing a qualified consultant, if desired. If consultant services are to be provided for the design phase of the project, specific procedures outlines in Chapter 3 of Publication must be followed regarding the selection and approval of the consultant (including the use of municipal engineers) for any portion of the project, including design services, construction inspection and/or right-of-way acquisition services. The Engineering District will provide guidance to the sponsor related to consultant selection. Municipalities are encouraged to utilize firms or individuals that have previous PennDOT experience. Different standards and approaches for procuring professional services may be considered and the municipality(ies) should indicate their selected method in the application. The accepted methods available to the municipality(ies) include:

- **Consultant Services for Liquid Fuels Type Projects** – Projects that are within the discretion of a liquid fuels type project, may use Publication 9, Chapter 449 (Appendix D). Municipalities should follow their respective municipal code for procurement of services. All invoices must be sent to the Comptrollers' Office for local reimbursement.
- **Consultant Services for Non-Liquid Fuels Type Projects** – Municipalities can follow the procedures identifies in the PennDOT Local Project Delivery Manual, Publication 740, or use PennDOT's Engineering and Construction Management System (ECMS)

ARLE projects that meet the eligibility for Liquid Fuels projects should refer to PennDOT Publication 9, *Policies and Procedures for the Administration of the County Liquid Fuels Tax and the Liquid Fuels Tax Act 655* (for Municipalities). If using this method the project sponsor must contact their PennDOT District Municipal Services Representative to ensure project eligibility and to obtain the necessary MS 329 approvals. Municipalities should refer to the appropriate consultant/professional services procurement procedures within the respective municipal code for the municipality(ies) in which the project(s) are located.

Municipalities in coordination with the Engineering District may also elect to execute and manage the project through ECMS. Municipalities must register or be an existing ECMS Business Partner. Municipalities should follow Chapter 3 of Publication 740. The Project Reimbursement Agreement will detail specific project requirements, reimbursement procedures and available project funding. Municipalities must follow the procedures outlined in Section 3.8 or Publication 740 to enter an Engineering or Third Party Agreement for work performed by qualified consultant/professional services.

Automated Red Light Enforcement Program Guidance Document

For ARLE projects that require construction management and/or construction inspection services provided by consultant, the municipality(ies) must designate an individual who will be in “responsible charge” and in full control of the construction phase of the project. This individual must be a full-time employee/official on staff with the Local Project Sponsor and responsible for managing the project and acting as the Municipality(ies)’s official contact with the Department. More information regarding “responsible charge” is provided in Chapter 3 of Publication 740.

Chapter 8 Post Award Conditions and Requirements

A. Standards, Methods, Techniques, Designs, and Special Conditions

All projects must be designed and constructed in accordance with Department standards and criteria including but not limited to: Publication 9, Publication 46, Publication 93, Publication 111M, Publication 148, Publication 149, Publication 212, Publication 213, Publication 236M, and Publication 408. The Department reserves the right to specify or make determinations as to the standards, methods, techniques, designs, and dimensional criteria acceptable in projects funded by the ARLE Grant Program. Design and construction of an approved project are subject to the review and approval of the Department, including costs, materials, plans, specifications, design and operational details.

Failure to meet special conditions, performance criteria, or specifications may result in the withdrawal of the transportation grant, disqualification from future consideration for a transportation enhancement grant, or declaration of a sponsor to be in default of the Reimbursement Agreement.

B. Progress Reports

The sponsor shall provide quarterly status reports to the District representative. Quarterly status reports are due within two weeks from the end of the quarter. End quarter dates are September 30th, December 31st, March 31st, and June 30th of each fiscal year. The report shall contain the following information:

1. An estimated completion percentage of the project construction
2. The current estimated completion date and project costs
3. An analysis of the project budget relative to schedule and percent complete

C. Audit and Record Keeping

The sponsor receiving a transportation enhancement grant shall keep records as the Department may prescribe. The records will include, **but are not limited to**, the following:

1. The amount and disposition by the sponsor of grant proceeds
2. The total cost of the project with which the transportation enhancement grant is given or used
3. The amount and nature of that portion of the cost of the project supplied by other sources
4. Records that will facilitate effective audits

The Department will have access, for the purpose of audit and examination, to books, documents, papers, and records of the sponsor that are pertinent to the transportation enhancement grant. This includes progress audits during the project. A sponsor is required to establish and maintain an adequate accounting record for the project, which will permit the Department to determine the allowable costs incurred for the project. A sponsor shall maintain effective control over, and accountability for, all funds, property, and assets, shall safeguard assets, and shall assure that they are used solely for authorized purposes.

A sponsor shall establish procedures to minimize the time elapsing between the transfer of funds from the Department and the disbursement by the sponsor whenever funds are advanced by the Department. If this elapsed time exceeds the standards required under this grant program, the Department may require the

Automated Red Light Enforcement Program Guidance Document

return of interest on payments made. In any contract related to this grant, the sponsor shall include a clause which allows the Department access to the sponsor's contractor's records for purposes of accounting and audit.

D. Retention of Records

A sponsor shall retain, for a minimum of seven years after the date of submission of the final Department payment, documentary evidence, such as invoices, cost estimates, and negotiation documents related to any item of project cost, including, but not limited to, the following:

1. Vendors' invoices
2. Applicable purchase orders
3. Receiving reports
4. Inventory records
5. Method of pricing
6. Returns
7. Catalog cuts
8. Plans
9. Inspection reports
10. Final inspection report showing acceptance of the project
11. Record of disposition or correction of unsatisfactory work
12. Reimbursement Agreement
13. Copy of the application and all attachments

Also to be retained for seven years is evidence of payments for items of project costs, including, but not limited to vouchers, cancelled checks, or warrants and receipts of cash payments. If audit findings have not been resolved, records shall be kept until the findings have been resolved.

E. Inspection

The sponsor with its own forces or by contract shall provide staff to inspect and supervise all construction work in accordance with the approved plans and specifications, including, but not limited to, the Publication 408 Specifications, and to assure that all work is in accordance with the Federal-Aid Policy Guide, Chapter I, Subchapter G, Part 635, entitled "Construction and Maintenance."

The Department, an agency of the Commonwealth, or both, or person designated or authorized by the Department, has the absolute right to inspect, without notice, the project sites, proposed project sites, records, and construction materials related to a project funded by a transportation enhancement grant from automated red light enforcement system revenues. An inspection ordered by the Department or conducted under its authority may include, but not necessarily be limited to, the following:

1. Reproduction and examination of records
2. The taking of samples applicable to evaluation or project quality control
3. The assessment of any factor relevant to a project, application, or contracts and terms related to the process for transportation enhancement grants from automated red light enforcement revenues

A sponsor's denial of access to records, failure to produce records, or obstruction with an inspection may result in withdrawal of the transportation enhancement grant and disqualification from future consideration for a transportation enhancement grant.

Municipalities can inspect their own work for projects on 100% local roadways. For work on state highways, PennDOT shall charge the sponsor for its inspection costs. Personnel assigned inspection duties should charge on their timesheet the WBS established for inspection costs for the Project. PennDOT project administration costs are non-reimbursable, including design project management.

Automated Red Light Enforcement Program Guidance Document

Final Inspection

The sponsor with its own forces or by contract shall provide staff to inspect and supervise the final inspection in compliance with the approved plans and specifications, including, but not limited to, the Publication 408 Specifications, and to assure that all work is in accordance with the Federal-Aid Policy Guide, Chapter I, Subchapter G, Part 635, entitled “Construction and Maintenance.”

F. Payment Procedures

Unless otherwise specified by the Department the following general procedures are to be used for funds from a transportation enhancement grant:

1. Prior to disbursement of funds, the Department reserves the right to conduct inspections or testing or to review and audit records or accounts, to validate, to the Department’s satisfaction, that disbursement of funds is warranted.
2. A sponsor, having received payment or partial payment or reimbursement under a transportation enhancement grant, shall make payments within 30 days from receipt of funds to vendors and contractors for services and materials properly invoiced under the project.
3. A sponsor shall forward requests for payment to the Department on forms provided, or in a manner specified by the Department. A request must include submission of actual cost documentation, consisting of approved contract estimates of work in place, approved invoices, or other evidence of incurred costs, satisfactory to the Department. The final 10 percent of the total payment will not be paid by the sponsor until final inspection and approval of the project by the Department.
4. Payment requests shall be limited to monthly submissions.

G. Liability; Forfeiture of Funds; Repayment

If a sponsor fails to comply with the terms of an ARLE Transportation Enhancement Grant, the sponsor shall immediately reimburse the Department for the amount which a demand is made by the Department. A person aggrieved by a decision of the Department related to liability, forfeiture of funds, or repayment may appeal under 67 PA. Code Chapter 233, Section 233.16.

H. Waiver

The Department may waive requirements to submit specific maps, reports, plans, information, or data normally required for a grant application. The waivers may be granted only after written request to the Director of the Bureau of Maintenance and Operations, and formal written response to the sponsor by the Director prior to submission of the completed application to the Bureau.

The Department may also develop modified or special projects procedures for grant applications pertaining to Department-specified projects funded by transportation enhancement grants.

Automated Red Light Enforcement Program Guidance Document

Chapter 9 Program Center and Fiscal Management Documentation

All projects under the ARLE Funding Program are to be assigned a Multimodal Project Management System (MPMS) number for expenditure tracking purposes. The Program Center is responsible for creating a separate MPMS number for each project. All projects estimated over \$100,000 will be included on the Transportation Improvement Program (TIP). The Program Center will work with District Planning staff and Planning Partners to include ARLE Projects on the TIP.

Upon completion the encumbrance should be modified to equal the actual project cost. These projects are to be closed through SAP (WBS element) in the same manner as any other 100% state funded project. Any excess funds will be returned to the ARLE Funding Program.

A. Project Coding

As previously indicated, appropriation 244 (specifically 60244) is a restricted revenue account that was established to hold the automated red light enforcement fines remitted. The law states that PennDOT is required to use this money for a “Transportation Enhancement Program.” Funding applications are received and reviewed each year by the ARLE Selection Committees appointed by the Secretary and Mayors of Philadelphia and Pittsburgh. WBS elements will be set up using the District org and the appropriate coding information below:

Account Coding	ARLE Statewide Funding Program
Cost Center	County org code
Fund Center	6024400003
GL (State)	66004000
GL (Federal)	66003000
WBS	Created by District

- The WBS element should be established as follows: **P-AAAAAFYpRLE-XXXX-003**
 - “**P**” – indicates WBS was created in MPMS. This character will not be entered in MPMS; it is added in the interface with SAP.
 - “**AAAAA**” – State route or municipal identifier; use leading zeros
 - “**FY**” – State Fiscal Year in which the grant was awarded. The FY will take the last character of the SR field in a WBS element and spill over into the single digit of the sub-project number.

Automated Red Light Enforcement Program Guidance Document

- “p” – phase code per normal, accepted PennDOT WBS conventions. If multiple phases are contemplated by the project use the phase code associated with the most costly phase:
 - 3 – PE
 - 4 – final design
 - 7 – construction
 - 8 – maintenance
 - 9 - miscellaneous
- “RLE” – Denotes an ARLE project. “RLE” will encompass the section fields of the WBS.
- “XXXX” – Indicates county organization number.
- “003” – Is the program code for the ARLE Funding Program. Program code 003 is associated with approp 60244.

B. Program Management

1. The District Executive shall make the determination of which staff should manage the projects. A recommendation is as follows:
 - **Municipal Services** – small projects, including data collection, studies, sign and signal equipment installation and work that the municipality can construct themselves
 - **Traffic** – Traffic signal retiming and other eligible projects
 - **Design** – larger intersection improvement projects on state routes
2. All Project Managers should review all ARLE materials located at www.dot.state.pa.us/signals. All project managers should populate the ARLE Funding project management spreadsheet (P:\penndot shared\Automated Red Light Enforcement (ARLE) Funding Program\ARLE Project Managers.xls). The field definitions are as follows:
 - **MPMS#** - number used as identifier in MPMS
 - **District Project Manager** – assigned by District Executive
 - **Procurement Method** – type of procurement procedure (Liquid Fuels Procedures, etc.).
 - **Correspondence with Municipality** – note via letter, e-mail or phone call
 - **Reimbursement Agreement status** – in process, out for review, completed, etc.
 - **Reimbursement Agreement Execution Date** – provide the executed reimbursement agreement date; leave blank until executed.
 - **Reimbursement Agreement Expiration Date** – 3 years following the execution date unless a time extension supplement has been processed.
 - **ARLE Reimbursement Agreement Amount** – amount on the reimbursement agreement.
 - **Amount Reimbursed to Date** – the amount currently reimbursed to the municipality.
 - **% Complete** – current level of project completion.
 - **Other Information** – scope modifications, unique circumstances, etc.
3. All invoices will be submitted and process through the method recommended by the Engineering District. For Liquid Fuels-like projects that municipal services staff can manage and for ease of project delivery, follow Appendix D, Chapter 449 of Publication 9.

Automated Red Light Enforcement Program Guidance Document

4. Unlike the Liquid Fuels program, invoices must be sent to the Comptroller's office for local reimbursement: PO Box 69183, Harrisburg, Pa 17106-9183.
5. If the project is not able to be delivered due to an underestimate by the municipality(ies), the District Executive has the authority to change the scope of work in coordination with the project municipality(ies). The BOMO Director must be notified of any project scope modifications. No extra funds will be available for cost overruns.
6. Proprietary item approval requests shall be submitted to the appropriate Central Office Bureau Director.
7. The appropriate ADA policies must be incorporated into all projects. All applicants have been notified that all Department policies and procedures need to be followed.
8. The Reimbursement Agreement is the municipality's permit; an additional HOP is not needed for work along state routes.