

# A G E N D A

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METRO

## **SPECIAL MEETING**

**MEETING: JOINT POLICY ADVISORY COMMITTEE ON TRANSPORTATION**

**DATE: February 28, 2008**

**TIME: 7:30 A.M.**

**PLACE: Council Chambers, Metro Regional Center**

- |                |           |   |                              |
|----------------|-----------|---|------------------------------|
| <b>7:30 AM</b> | <b>1.</b> | <b>CALL TO ORDER AND DECLARATION OF A QUORUM</b>  | <b>Rex Burkholder, Chair</b> |
| <b>7:32 AM</b> | <b>2.</b> | <b>INTRODUCTIONS</b>  | <b>Rex Burkholder, Chair</b> |
| <b>7:35 AM</b> | <b>3.</b> | <b>CITIZEN COMMUNICATIONS</b>   |                              |
| <b>7:40 AM</b> | <b>4.</b> | <b>COMMENTS FROM THE CHAIR &amp; COMMITTEE MEMBERS</b>  | <b>Rex Burkholder, Chair</b> |
| <b>7:45 AM</b> | <b>5.</b> | <b>ACTION ITEMS</b>   |                              |
|                | 5.1       | * Resolution No. 08-3916, For the Purpose of Adopting the Policy Direction and Program Objectives of the 2009 Regional Flexible Funding Allocation Process and 2010-2013 Metropolitan Transportation Improvement Program (MTIP) – <u>DISCUSSION/DIRECTION</u> | <b>Ted Leybold</b>           |
| <b>9:00 AM</b> | <b>6.</b> | <b>ADJOURN</b>  | <b>Rex Burkholder, Chair</b> |

\* Material available electronically.

\*\* Material to be emailed at a later date.

# Material provided at meeting.

All material will be available at the meeting.

*For agenda and schedule information, call Kelsey Newell at 503-797-1916. e-mail: [Newellk@metro.dst.or.us](mailto:Newellk@metro.dst.or.us)  
To check on closure or cancellations during inclement weather please call 503-797-1700.*

# DRAFT

## 2010-13 Metropolitan Transportation Improvement Program Portland Metropolitan Area Policy Report

### Introduction

**The Metropolitan Transportation Improvement Program (MTIP)** schedules the distribution of all federal and some state transportation funds in the Portland metropolitan region over a four-year period. To be eligible for the MTIP, projects or programs must be in the financially constrained list of the Regional Transportation Plan (RTP).

**MTIP funds are administered in the Portland metropolitan region by four agencies:** the Oregon Department of Transportation (ODOT), TriMet, South Metro Area Rapid Transit (SMART) and Metro. Each agency receives its own pot of funds from specific federal sources. Most of the funds administered by ODOT and the transit agencies are dedicated to investments that fall into specific categories. The funds administered by Metro are more flexible. These funds—dubbed "Regional Flexible Funds"—may be invested more broadly. Locally administered transportation funds are not programmed in the MTIP, but may be listed for informational purposes.

The table below summarizes the main federal funding sources for each agency and the types of investments they support. A graph on the back of this sheet shows the proportion of federal and state funds invested in different programs and projects as administered by these agencies. The federal funds administered by ODOT are supplemented with state transportation revenues.

Figure 1

AGENCY	FEDERAL FUND TYPE	USES
ODOT	<b>Federal Highway Administration (FHWA) Trust Fund</b>	
	<ul style="list-style-type: none"><li>• Interstate Maintenance</li><li>• Surface Transportation Program</li><li>• National Highway System (NHS)</li><li>• Bridge funds</li><li>• Safety funds</li><li>• High-Priority Projects (Congressional earmarks)</li><li>• Transportation enhancements</li></ul>	<ul style="list-style-type: none"><li>• Preservation (resurfacing) of the interstate highway system</li><li>• Highway preservation (resurfacing)</li><li>• Operations (signs, signals, traffic management)</li><li>• Highway modernization (widening)</li><li>• Modernization on NHS designated routes</li><li>• Reconstruction or preservation on NHS routes</li><li>• Operational improvements on NHS routes</li><li>• Building and maintaining state bridges</li><li>• Crash reduction and highway safety</li><li>• Special projects; highway modernization (widening)</li><li>• Highway appearance/function; historic preservation</li></ul>
TriMet/SMART	<b>Federal Transit Administration</b>	
	<ul style="list-style-type: none"><li>• New Starts/Small Starts</li></ul>	<ul style="list-style-type: none"><li>• New passenger rail or bus rapid transit</li></ul>

- Transit Formula Funds
- Rail and bus maintenance
- Special needs grants
- Urban transit support
- Refurbishing existing passenger rail systems and bus fleets
- Transit services for elderly, disabled and low-income people

#### Metro

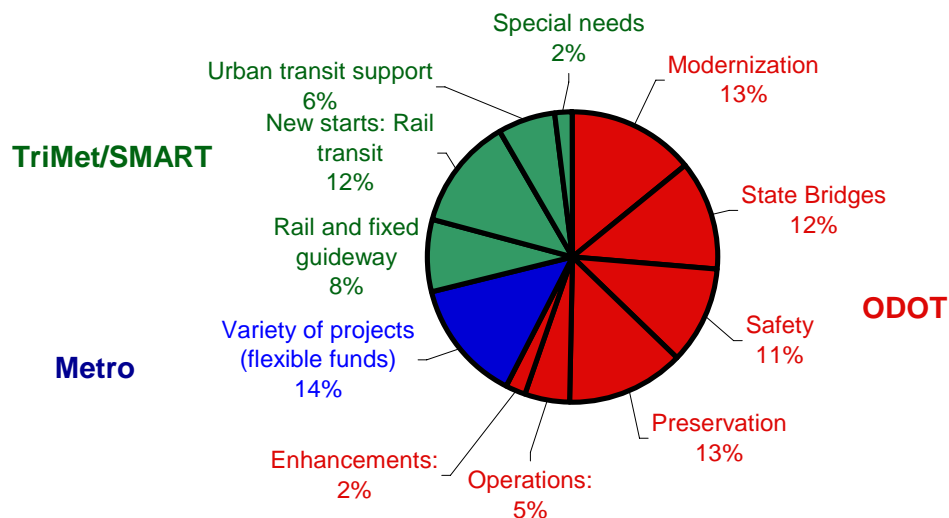
#### FHWA Trust Fund

- Congestion Mitigation/Air Quality
- Surface Transportation Program
- Projects that improve air quality
- Anything but construction of local streets

### Fund and investment distribution

The graph below shows the relative amounts and general types of federal and state transportation investments that are administered by ODOT, TriMet and Smart, and Metro. Please note that the relative proportions shown in this graph are based on recent historical averages to give a sense of how funding has generally been allocated.

Figure 2



**NOTE:** The Metro region covers urban portions of Clackamas, Multnomah and Washington Counties. ODOT funds are for all of ODOT Region 1, which covers those three counties plus Columbia and Hood River counties. The ODOT enhancement portion reflects a statewide total. ODOT funding does not include federal earmarks, Connect Oregon, OTIA, FTA-administered, or local government pass through funding.

## Regional Flexible Funds

Two federal funding programs are used to create the pool of funding known as Regional Flexible Funds that are allocated through the Metropolitan Planning Organization decision-making process. Those federal programs are Urban Surface Transportation Program (Urban STP), which can be used for any purpose other than construction of local streets, and Congestion Mitigation/Air Quality (CMAQ) that need to be used on projects that demonstrate an air quality benefit to the region.

The following draft policies are a consolidation of priorities identified by a majority of survey respondents of JPACT and Metro Council members and through consultation of MPAC, JPACT and the Metro Council for guiding the investment of regional flexible funds. See Attachment A for the complete list of RTP policies from which these policies were identified. The source of the policy priorities and how they relate to existing regional flexible fund policies are noted.

**TPAC and Metro staff recommends a two-step process for the allocation of these funds be endorsed by JPACT. The first step would be to consider an allocation (either a firm commitment or a recommendation that could be reconsidered at the end of the second step) to programs that are administered at the regional level. These include Metro Planning, High Capacity Transit system completion, the Regional Travel Options program, the Transit Oriented Development program, and the Transportation Systems Management and Operations program. The second step would be to solicit locally administered projects and program services based on cost limit targets set relative to the remaining funds available.**

**TPAC and Metro staff also recommends that further work continue on the effort to refine the current definition of regional transportation project scope and interest. That effort may lead to new regionally administered programs or new funding policies or strategies. Due to the need to develop policies and technical materials now for the upcoming allocation process, however, technical staff does not recommend linking the refinement effort to the upcoming allocation process.**

**Staff will develop an updated technical evaluation proposal with the objectives of:**

- 1. reducing the number of distinct project evaluation categories,**
- 2. consideration of eliminating modal evaluation categories in favor of policy outcome based evaluation categories, and**
- 3. developing universal measures that can compare all projects against one another for at least some policy objectives.**

**The evaluation categories and the weighted score of the quantitative topic areas will be brought back to JPACT for approval.**

## **Policies Priorities from Outreach**

The following Regional Transportation Plan policies have been identified by a majority of survey respondents of JPACT and Metro Council members and through consultation of MPAC, JPACT and the Metro Council as priorities for guiding the investment of regional flexible funds. These priorities are consolidated into a proposed set of policy guidelines in the Proposed Policies section below.

### *RTP Goal 1: Foster vibrant communities and efficient urban form*

- Prioritize transportation projects and services that address system gaps or deficiencies to improve multi-modal access in primary 2040 target areas (central city, regional centers, industrial areas and passenger and freight inter-modal facilities). (modification of existing policy - from survey results)

### *RTP Goal 2: Sustain economic competitiveness*

- Prioritize reliable movement of freight and goods on the RTP regional freight system. (new policy - from survey results)
- Prioritize addressing gaps in multi-modal access to labor markets and trade areas within or between 2040 target areas. (modification of existing policy from survey results)

### *RTP Goal 3: Expand transportation choices*

- Prioritize addressing gaps in the pedestrian, bicycle and transit networks. (new – from survey results)
- Ensure air quality Transportation Control Measures for pedestrian and bicycle improvements are met. (existing policy – reaffirmed by survey results)

### *RTP Goal 4: Emphasize efficient management of the transportation system*

- Prioritize investments in Transportation System Management and Operations (TSMO) in regional mobility corridors. (new policy – from survey results)

### *RTP Goal 5: Enhance safety and security*

- Prioritize investments in recurring safety issue areas, including gaps in the bike and pedestrian system. (new policy – from survey results)

### *RTP Goal 6: Promote environmental stewardship*

- Prioritize projects and services that lower carbon emissions. (**new policy – from MPAC consultation**)
- Reduce impervious surface coverage and storm water runoff. (**new policy - from targeted public outreach survey results**)

### *RTP Goal 7: Enhance human health*

Reduce noise, impervious surface and other transportation-related pollution impacts on residents. (**new policy - from targeted public outreach survey results**)

*RTP Goal 8: Ensure Equity*

- Prioritize investments that provide access to transportation options for people of all ages, abilities and incomes. (new policy – from survey results)

*RTP Goal 9: Ensure fiscal stewardship*

- Prioritize investments that achieve multiple objectives. (new policy - from survey results)

*Existing Regional Flexible Funding Goals*

- Select projects from throughout the region, however, consistent with federal rules, there is no sub-allocation formula or commitment to a particular distribution of funds to any sub-area of the region. (existing policy – response to survey comment)
- Prioritize projects and programs that do not have other dedicated sources of revenue available. (existing policy – reaffirmed by survey results)
- Allow use for project development and local match to support funding efforts from other sources for large projects (for example, Sellwood Bridge, light rail transit projects, I-5/Nyberg interchange) when there is strong potential to leverage other sources of discretionary funding. (existing policy – reaffirmed by survey results)

<b>JPACT – Any proposed additions or deletions of policy priority statements?</b>
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**Proposed Policies**

**Process policy objectives:**

1. Select projects from throughout the region, however, consistent with federal rules, there is no sub-allocation formula or commitment to a particular distribution of funds to any sub-area of the region.
2. Honor previous funding commitments made by JPACT and the Metro Council.
3. Address air quality requirements by ensuring air quality Transportation Control Measures for pedestrian and bicycle improvements are met and that an adequate pool of CMAQ eligible projects are available for funding. *Addition of CMAQ eligible project language suggested as clarification by Metro staff 2/22/08*
4. Achieve multiple transportation policy objectives.
5. Allow use of funding for project development and local match of large-scale projects (greater than \$10 million) that compete well in addressing policy objectives when there is a strong potential to leverage other sources of discretionary funding.

**6. Encourage the application and funding of projects that efficiently and cost effectively make use of federal funds.** *Language proposed by Metro staff in response to 2/22/08 TPAC discussion/recommendation*

**JPACT – Do you support the use of this recommended policy objective to direct technical staff to:**

- a. Evaluate and report on project-readiness of projects applying for construction funding.**
- b. Provide decision-makers with options for different levels of funding for of project development applications vs. construction applications.**
- c. Establish minimum funding amounts for each project phase (project development, PE/final design, right-of-way, construction) to reduce the percentage of funds and planning resources used for project administration.**

**Project and program services policy objectives:**

**7. Prioritize transportation projects and program services that:**

- a. retain and attract housing and jobs by addressing system gaps or deficiencies to improve multi-modal access in primary 2040 target areas (central city, regional centers, industrial areas and passenger and freight inter-modal facilities) as the highest priority, secondary areas (employment areas, town centers, main streets, station communities and corridors) as next highest priority, and other areas (inner and outer neighborhoods) as the lowest priority. *Metro Council 2/12/08 – include link to the retention/attraction of jobs and housing. MTAC 2/20/08 – recommended inclusion of 3 tiered system of land use in prioritization.*
- b. address gaps and deficiencies in the reliable movement of freight and goods on the RTP regional freight system, and transit, pedestrian and bicycle access and inter-modal connections to labor markets and trade areas within or between 2040 target areas (Primary areas are highest priority, Secondary areas are next highest priority, other areas are lowest priority). *MTAC 2/20/08 – addition of deficiencies and explanation of 2040 target areas.*
- c. provide access to transportation options for underserved populations (low income and minority populations and elderly and people with disabilities). *MTAC 2/20/08 – clarify underserved population*
- d. invest in Transportation System Management and Operations (TSMO) in regional mobility corridors.
- e. address recurring safety issues, including gaps in the bike and pedestrian system.

- f. reduce transportation-related storm-water run-off, energy consumption, carbon emissions and other pollution impacts. *Metro staff recommended language from TPAC discussion of including relevant priorities from targeted public outreach*
- g. whose project mode of program service type has no other or limited sources of transportation-related funding available. *Metro staff recommended clarification of language*

<p><b>JPACT – Any proposed edits to the Proposed Policies section?</b></p>
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### **Policy and Program Administration Implementation Tools**

Metro staff will develop a project solicitation packet and supporting material as described within each administrative tool summarized below. Metro staff will consult with TPAC on the development of these tools to implement both the policy objectives adopted by JPACT and the Metro Council and to implement administrative responsibilities for carrying out federal regulations, Regional Transportation Plan policies and efficient delivery of projects and programs.

#### **Eligibility & Screening Criteria**

Eligibility criteria are used to ensure applicant projects meet federal rules for funding eligibility (e.g. projects are in or can easily be amended into the RTP) and meet public involvement criteria. The criteria also ensure applicant agencies are addressing regional planning requirements and that projects from urban growth boundary expansion areas have completed required concept planning. Finally, these criteria will evaluate projects for their readiness to proceed into final design and engineering, right-of-way and construction or whether the project needs further project development work. (Draft goals 4 and 6)

#### **Prioritization Criteria and corresponding Technical Measures used to Evaluate Applicant Projects**

These criteria and measures are used to evaluate candidate projects and programs against the program policies as adopted by JPACT and the Metro Council. Quantitative measures balance and weight the policy objectives on a 100-point scale. Additional qualitative policy analysis is provided to describe a projects impact on policy objectives that cannot be quantified in an equitable or useful manner.

Previous criteria and measures were developed around 13 distinct modal evaluation categories and weighted the quantitative measures within each category by: 2040 land use objectives: 40 points, project modal effectiveness: 25 points, safety: 20 points, and cost-effectiveness: 15 points.



As noted in the introduction to Regional Flexible Funds, technical staff will develop a proposal of evaluation categories and corresponding weighted score of the quantitative topic areas to bring back to JPACT for approval.

Figure 3

As an example, potential programs could include: Metro Planning, Transportation System Management and Operations (TSMO) including ITS and RTO programs (Draft goals 7a – g), Transit Oriented Development (Draft goals 7a, c, d, e, g), High Capacity Transit system completion (Draft goals 7a, b, c, d).

Metro staff will consult with TPAC to develop project evaluation categories and measures to implement adopted policy direction. Examples of policy outcome based categories and quantitative measures could include:

<u>Potential project evaluation categories</u>	<u>Potential quantitative topic areas (and measures)</u>
Freight access and reliability:	Travel time reliability, 2040 land-use (use of facility by freight vehicles accessing Metro area industrial lands), Safety
Multi-modal access:	Facility importance to regional system (number/size/use of RTP modal system gaps completed), 2040 land-use, Safety
Mixed-use development:	2040 land-use (existing and forecasted jobs/housing), Safety

### Sub-Regional Application Limitations

This tool is currently used to ensure efficient program administration and to ensure a pool of CMAQ eligible projects are available from across the region. (Draft goals 3 and 6)

### Financial Match Incentives

This tool is currently used to promote the location and service function of projects towards priority 2040 land use areas (Draft goal 7a.).

### Conditions of Approval

This tool can effectively be used to achieve project design and scope objectives such as consistency with regional street design guidelines and the incorporation of Green Street features. (Draft goals 4 and 7f.)

## **Oregon Department Of Transportation (ODOT) Administered Funds**

ODOT administers many sources of federal funding for transportation purposes. These fund sources each have purposes and eligible activities as defined by federal laws and rules. The Oregon Transportation Commission (OTC) assigns these federal fund sources (along with state fund sources) to one of several ODOT Program activity areas. Assignment of federal funds to projects within an ODOT program activity area must still be consistent with federal eligibility rules.

The allocation of federal and state funding sources to ODOT program area is made after an evaluation of needs across the program areas and an assessment of funding eligibility rules. This action is taken by the OTC and is known as the establishment of funding targets.

Each ODOT program area has unique eligibility and prioritization criteria for the prioritization of projects to receive funding to be reflected in the State Transportation Improvement Program (STIP). Projects to be funded within a Metropolitan area must be defined within a Metropolitan Transportation Improvement Program (MTIP). The programming adopted within the MTIP must be adopted without change into the State Transportation Improvement Program (STIP). ODOT is represented on the Metropolitan Planning Organization (MPO) board that adopts the content of the MTIP but must also ensure that the decision process, project eligibility and prioritization criteria adopted by the OTC is followed.

This section of the policy document outlines how the MPO board will come to a recommendation on the content of the MTIP while following the direction of the OTC policies with respect to the ODOT administered funds.

### **Funding Programs**

Federal and state transportation revenues are budgeted into programs to address transportation needs of the state transportation system: Modernization, Bridge, Preservation, Operations, Safety, Enhancements and the Immediate Opportunity Fund. The Enhancement and Immediate Opportunity Fund essentially operate as a competitive application program with objectives set by the OTC. The Modernization, Bridge and Operations programs have eligibility and prioritization criteria adopted by the OTC. Those criteria are summarized in the table below and criteria details are provided in Attachment B.

**Prioritization Factors**  
**Used to Select Projects for Funding from the Pool of Eligible Projects**

<b>Development STIP</b> <b>Major projects</b>	<b>Construction STIP</b>			
	<b>Modernization projects</b>		<b>Preservation projects</b>	<b>Bridge replacement/rehabilitation projects</b>
<p>Priority shall be given to:</p> <ul style="list-style-type: none"> <li>• D-STIP project suitability (an assessment of the level of work completed to achieve the planned D-STIP milestone).</li> <li>• Projects that best support the policies of the Oregon Highway Plan.<sup>2</sup></li> <li>• Projects that have already completed one or more D-STIP milestones.</li> <li>• Projects that have funding identified for development or construction<sup>3</sup></li> <li>• Major Modernization Projects that leverage other funds and public benefits.<sup>4</sup></li> </ul>	<p>Priority shall be given to:</p> <ul style="list-style-type: none"> <li>• Project readiness (an assessment of the likelihood of a project getting to construction in the timeframe contemplated).<sup>7</sup></li> <li>• Projects that best support the policies of the Oregon Highway Plan.<sup>8</sup></li> <li>• Projects that support freight mobility.<sup>9</sup></li> <li>• Projects that leverage other funds and public benefits.<sup>10</sup></li> <li>• Class 1 and 3 projects that have completed an environmental milestone of a Record of Decision (ROD) or Finding of No Significant Impact (FONSI) (see footnote for Class 2 projects).<sup>11</sup></li> </ul>		<p>Priority shall be given to:</p> <ul style="list-style-type: none"> <li>• Project readiness (an assessment of the likelihood of a project getting to construction in the timeframe contemplated).<sup>13</sup></li> <li>• Projects that best support the policies of the Oregon Highway Plan.<sup>14</sup></li> <li>• Projects that leverage other funds and public benefits.<sup>15</sup></li> </ul>	<p>Priority shall be given to:</p> <ul style="list-style-type: none"> <li>• Projects that support the approved Bridge Options Report. (This prioritization factor is not intended to limit bridge projects to those identified in the Bridge Options Report, but to give priority to those identified in the report.)<sup>17</sup></li> <li>• Projects that best support the policies of the Oregon Highway Plan.<sup>18</sup></li> <li>• Projects that support freight mobility.<sup>19</sup></li> <li>• Project readiness (an assessment of the likelihood of a project getting to construction in the timeframe contemplated).<sup>20</sup></li> <li>• Projects that leverage other funds and public benefits.<sup>21</sup></li> </ul>

# **Project Eligibility Criteria and Prioritization Factors For the 2010-2013 Development STIP and Construction STIP** **Eligibility Criteria**

<b>Development STIP</b> <b>Major projects</b>	<b>Construction STIP*</b>		
	<b>Modernization projects</b>	<b>Preservation projects</b>	<b>Bridge replacement/rehabilitation projects</b>
<p>Development work on major projects may be eligible for funding if it:</p> <ul style="list-style-type: none"> <li>Supports the definition of "Development STIP" approved by the Oregon Transportation Commission</li> <li>Addresses an unmet transportation need in the applicable acknowledged transportation system plan(s) (TSP) or, in the absence of an applicable acknowledged TSP(s), the applicable acknowledged comprehensive plan and any applicable adopted TSP(s). or Addresses project need, mode, function and general location for a transportation need identified in an acknowledged TSP. or Is identified as a project of statewide significance or as a federal discretionary project.</li> <li>Has funding adequate to complete the identified milestone.<sup>1</sup></li> </ul>	<p>Modernization projects may be eligible for funding if they:</p> <ul style="list-style-type: none"> <li>Are consistent with the applicable acknowledged transportation system plan (TSP) or, in the absence of an applicable acknowledged TSP, the applicable acknowledged comprehensive plan and any applicable adopted TSP.<sup>5</sup></li> <li>Are consistent with the Oregon Highway Plan policy on Major Improvements (Policy 1G, Action1.G.1), where applicable.<sup>6</sup></li> </ul>	<p>Pavement Preservation projects may be eligible for funding if they:</p> <ul style="list-style-type: none"> <li>Are identified through the Pavement Management System process.<sup>12</sup></li> </ul>	<p>Bridge replacement and rehabilitation projects may be eligible for funding if they:</p> <ul style="list-style-type: none"> <li>Are identified through the Bridge Management System process.<sup>16</sup></li> <li>Are improvements or work needed to rebuild or extend the service life of existing bridges and structures (includes replacement of an existing bridge).</li> </ul>

\* To the extent that legislative action (e.g., HB 2041) applies, the criteria in the legislation will control in the event of a conflict.

**JPACT and the Metro Council request that the Oregon Highway Plan and the 2012-15 STIP eligibility and prioritization criteria be updated to reflect the new Oregon Transportation Plan, particularly the sustainability policies.**

Additional local prioritization criteria, consistent with OTC criteria may be considered.

**JPACT and the Metro Council recommend that if technical evaluation measures of the OTC criteria do not already address the following issues: leveraging of other transportation or development related investments, multi-modal impacts, community livability and sustainability impacts, that local prioritization criteria and evaluation measures are developed for consideration of project priorities.**

<b>JPACT – Any proposed modifications to these draft recommendations?</b>
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#### Modernization

The statewide funding target for Modernization program projects is further sub-allocated to the five ODOT regions of the state. Metro boundaries, which define the extent of the MTIP, is located within a portion of Region 1. ODOT Region staff work with JPACT and the Metro Council to prioritize modernization projects for funding within a portion of the Region 1 target funds, consistent with federal rules and OTC policies.

The OTC has created the policy framework in Attachment B, consistent with the Oregon Highway Plan, for the decision process to prioritize projects from the Regional Transportation Plan to receive funds.

Specific measures to implement state and local prioritization criteria will be developed to evaluate and prioritize projects for the Modernization program.

#### Bridge

The OTC has created the policy framework in Attachment B, consistent with the Oregon Highway Plan, for the decision process to prioritize projects to receive funds.

Specific consultation measures with local agencies and the TIP decision process on the scope and schedule of Bridge program projects, as generated by the Bridge management system, is administered by ODOT Region 1 staff.

#### Preservation

The OTC has created the policy framework in Attachment B, consistent with the Oregon Highway Plan, for the decision process to prioritize projects to receive funds.

Specific consultation measures with local agencies and the TIP decision process on the scope and schedule of Preservation program projects, as generated by the Pavement management system, is administered by ODOT Region 1 staff.

### Operations

Text to be provided by ODOT staff.

### Safety

The OTC has created the policy framework, consistent with the State Safety Action Plan, for the decision process to prioritize projects to receive Safety Program funds.

Specific consultation measures with local agencies and the TIP decision process on the scope and schedule of Safety program projects is administered by ODOT Region 1 staff.

## **Transit Funds**

Transit projects and programs in the region receive federal funding from several different sources. Allocation of these funds are administered through TriMet and SMART in the Metro region and coordinated through activities at their agencies and at the MPO planning and programming process.

### Congressional earmarks

Regional priorities for requests of Congressional earmarks are coordinated through JPACT and principles guiding this process are described in the next section below. TriMet and SMART request earmarks as a part of this process.

### New Starts discretionary grants

Requests for grants from the Federal Transit Administration for new high capacity transit projects such as light rail, commuter rail, streetcar or bus rapid transit are also coordinated through JPACT with planning for implementation of these projects administered through the TriMet Transit Improvement Plan.

The Federal government offers Section 5309 transit development grants through what is called the New Starts program. That program is subdivided into 1) New Starts, 2) Small Starts and 3) Very Small Starts (pending), each with a threshold for project scale and financing needs. Projects pass through a prescribed development process that incorporates NEPA. Projects are ultimately reviewed and approved for funding against a range of criteria, including a cost- effectiveness measure based on travel time savings. The process is highly competitive.

Light rail projects generally fall under the original New Starts program, but streetcar, commuter rail, bus rapid transit or a short light rail extension might also fit into the lower threshold programs. These projects are necessarily grounded in the Regional Transportation Plan, TriMet's 5- year Transit Investment Plan and the upcoming High Capacity Transit Plan. The Region secured an average of \$65 million in Federal funds annually through this program between 1992 and 2011 (projected).

The region will be undertaking a high capacity transit system plan over the course of the next 18 months whose objectives include the adoption of priorities and funding strategies for the region's high capacity transit system. This plan will be considered for adoption by JPACT and the Metro Council.

### Regional flexible fund allocations

TriMet and SMART have received awards of funding through the regional flexible fund allocation process. This includes \$9.3 million per year of regional flexible funds through the year 2015 as a contribution to the I-205/Transit Mall light rail and Wilsonville-Beaverton commuter rail projects, contributions to on-street transit improvements and to

the SMART transit center and park-and-ride facility. TriMet and SMART will continue to compete for project funding from this source in the future.

#### Operating and Maintenance grants

TriMet and SMART receive federal transit grants, such as the Section 5307 and Section 5309 federal fund programs, to be used for the purposes of transit operations, rail right-of-way maintenance and bus and rail vehicle maintenance. These funds are prioritized to service through the Transit Investment Plan, annual service planning and the annual TriMet and SMART budgets.

#### Special Needs grants (JARC, New Freedom, Elderly & Disabled programs)

The recommendation for the allocation of special needs transportation funding in the Metro region is developed by the STFAC. Their recommendation is made to the Oregon Public Transit Division of ODOT for allocation of funds. These recommendations must be consistent with the Coordinated Human Services Transportation Plan that in turn is coordinated with the Regional Transportation Plan.

The STFAC recommends the distribution of the New Freedom federal program (Section 5317 funds) for services beyond Americans with Disabilities Act requirements, Jobs Access/Reverse Commute program (Section 5316 funds) to assist low-income households with transportation services to facilitate job access, and the Elderly and Disabled program (Section 5310 funds) to provide transportation services to elderly and disabled populations.



## Federal Congressional Earmarks

Regional priorities for federal earmarks are coordinated through a voluntary process at JPACT. The priority list developed through this process is used only for the purpose of organizing the requests from the region to the Oregon Congressional delegation for each annual appropriations bill and each re-authorization bill. Staff recommended guidelines for the 2009 Appropriations requests include:

1. JPACT should establish a regional program for earmarking requests from the transit program.
2. JPACT should endorse earmarks from non-transportation appropriations bills that help further the regional transportation agenda.
3. JPACT should compile a list of requested earmarks from the federal highway bill as follows:
  - a. All earmark requests should be in the financially constrained portion of the RTP.
  - b. Requests should be limited to a dollar amount and category that is appropriate. Based upon historical experience, this means requests should generally be no greater than \$3-5 million.
  - c. Requests should be only for work that can be obligated within the timeframe of this bill, not simply requests to accumulate over multiple bills for a later date. Only ask for projects and project amounts sufficient to complete the next logical step or a finance plan to complete the phase (i.e. enough to complete PE, right-of-way or construction step). Do not allow requests that are simply a partial payment toward one of these steps.
  - d. JPACT should expect the following interests to limit their requests to one or two priorities:
    - Portland
    - Multnomah County and Cities of Multnomah County
    - Clackamas County and Cities of Clackamas
    - Washington County and Cities of Washington County
    - Port of Portland
    - ODOT
    - Metro
  - e. JPACT should structure its project requests being mindful of the Congressional districts in which they are located.

Projects awarded Congressional earmark funding need to be programmed in the Metropolitan and State Transportation Improvement Programs prior to those funds being eligible for the project.

## Attachment A

### **RTP Policies and 2008-11 MTIP Policies provides as Potential Policy Priorities for the Allocation of Regional Flexible Funds**

- 1. Program policy goals and objectives.** Do any of the policy goals and objectives in the 2035 Regional Transportation Plan, summarized below, are there any that warrant prioritization should be priorities for the receipt of Regional Flexible Funds for this funding cycle? Check those that you think should be priorities for these funds relative to the responsibility of other funding sources or agencies. Please check any you believe do.

#### **RTP Goal 1: Foster vibrant communities and efficient urban form**

- ☐ System gaps or deficiencies to improve multi-modal access in primary 2040 target areas
- ☐ Programs that reduce land dedicated to parking

#### **RTP Goal 2: Sustain economic competitiveness**

- ☐ Gaps in multi-modal access to labor markets and trade areas within or between 2040 target areas
- ☐ Intercity public transportation/inter-modal connections
- ☐ Reliable movement of freight and goods
- ☐ Access to industrial areas
- ☐ Multi-modal freight connections (at least two different modes)

#### **RTP Goal 3: Expand transportation choices**

- ☐ Gaps in bicycle, pedestrian or transit access/inter-modal connections
- ☐ Reduction in vehicle miles traveled per capita
- ☐ Access to all modes of transportation for underserved populations

#### **RTP Goal 4: Emphasize efficient management of the transportation system**

- ☐ Investments in Transportation System Management and Operations (TSMO) Concept to improve mobility, reliability and safety in regional mobility corridors
- ☐ Incentives, services and infrastructure that uses the TSMO Concept to increase awareness of travel options

#### **RTP Goal 5: Enhance safety and security**

- ☐ Investments that address recurring safety-related deficiencies on the regional mobility corridor system and gaps in the regional bicycle and pedestrian systems
- ☐ Investments that increase system monitoring, management and security to reduce crime

- ☐ Investments that increase system monitoring, management and security to address terrorism, natural disasters or hazardous material spills

**RTP Goal 6: Promote environmental stewardship**

- ☐ Improvements to fish or wildlife habitat/barrier removal that limits fish or wildlife passage in a habitat conservation area or wildlife corridor
- ☐ Reductions in transportation-related vehicle emissions
- ☐ Reduction in impervious surface coverage and stormwater runoff
- ☐ Reduction in transportation-related energy and land consumption/reliance on unstable energy sources

**RTP Goal 7: Enhance human health**

- ☐ Investments that encourage walking, bicycling
- ☐ Reductions in noise, impervious surface and other transportation-related pollution impacts on residents

**RTP Goal 8: Ensure Equity**

- ☐ Investment that benefit environmental justice communities
- ☐ Investments that provide access to transportation options for people of all ages, abilities and incomes

**RTP Goal 9: Ensure Fiscal Stewardship**

- ☐ Investments and strategies for cost-effective maintenance or preservation of existing transportation facilities and services
- ☐ Investments that achieve multiple goals and objectives
- ☐ Investments that leverage other sources of funding

**2. Funding priority:** Should Metro continue to prioritize Regional Flexible Funds for projects and programs that do not have other dedicated sources of revenue available?

**3. Ensuring compliance with state air quality plan requirements:** The region must build enough new bicycle and pedestrian facilities to meet state air quality plan requirements. (If these requirements are not met, federal funding could be redirected to meet them.) Should Metro continue to ensure that regional flexible funds are used to meet the requirement of funding bicycle and pedestrian facilities?

**4. Supporting large projects that have other potential funding sources:** Should regional flexible funds continue to be used for project development and local match to support funding efforts from other sources for large projects (for example, Sellwood Bridge, light rail transit projects, I-5/Nyberg interchange)?

## Attachment B

# Project Eligibility Criteria and Prioritization Factors Process Description and Guidance For the 2010-2013 Development STIP and Construction STIP

## I. Introduction

The Oregon Transportation Commission (OTC) approved the Project Eligibility Criteria and Prioritization Factors to assist Area Commissions on Transportation (ACTs), Metropolitan Planning Organizations (MPOs), or regional or statewide advisory groups advising the OTC on the selection of Statewide Transportation Improvement Program (STIP) projects. The document gives basic definitions and funding information and provides guidance pertaining to roles and responsibilities, project selection and documentation. More information about the ACT process, advisory committees, Oregon transportation management systems, other STIP programs and funding is available on the Internet (see Appendix A).

The OTC establishes program goals, funding levels and regional funding distribution at the start of each two-year STIP update. Those policy decisions are made separate from these eligibility criteria and prioritization factors and are not part of this document. (See Appendix B for the decision-making process.)

The OTC's decisions reflect the goals and priorities adopted in the Oregon Transportation Plan (OTP). The OTP sets forth policies that guide decisions and actions of the agency, including project and program funding decisions. The OTP's goals are:

1. Mobility and Accessibility
2. Management of the system
3. Economic Vitality
4. Sustainability
5. Safety and Security
6. Funding the Transportation System
7. Coordination, Communication, and Cooperation

These goals recognize the importance of providing an efficient, optimized, safe, secure, and well-integrated multimodal transportation system that allows for access and connectivity throughout the state to enable a diverse economy while not compromising the ability of future generations to meet their needs. These goals are implemented through the Oregon Highway Plan (OHP) and the other modal plans. This document sets forth criteria in compliance with the OHP to be utilized in the selection and prioritization of transportation projects for the D-STIP, and the C-STIP modernization, preservation, and bridge programs.

## A. Roles and Responsibilities

The OTC will make the final selections for all projects included in the STIP. The Commission will consider the advice and recommendations received from ACTs, MPOs, and regional or statewide advisory groups. ODOT will provide tools necessary to enable an ACT to carry out its responsibilities under these criteria. Geographic areas that do not have an ACT must adhere to the same standards of accountability as ACTs (*Policy on Formation and Operation of the Area Commissions on Transportation*, Section VI, Basis for Decision Making) and demonstrate to the OTC that recommendations were developed in accordance with these criteria and factors. ODOT region staff will facilitate this by preparing project summary reports that describe the

utilization of the criteria in project selection by the region, ACTs, and/or other groups. They may also utilize or include with the summary reports any other information developed for project analysis or comparison. The reports supplied by each region will be provided to the OTC with the draft STIP. In making final project selections, the OTC will ensure that ACTs, MPOs and regional or statewide advisory groups have based their considerations on the criteria and will ensure projects are distributed according to the funding allocations approved by the OTC for the 2008–2011 STIP.

In making decisions, the OTC applies both regional and statewide perspective, optimizes system effectiveness in decisions for the state system and strives to develop and operate an integrated intermodal transportation system that facilitates the safe, efficient and economic movement of people and goods. (*Policy on Formation and Operation of the Area Commissions on Transportation*, Section III. Authority)

## **B. Definitions**

STIP includes both the Development and Construction sections of the Statewide Transportation Improvement Program. The D-STIP houses projects that require more than 4 years to develop or for which construction funding needs to be obtained. Projects that can complete the development process and be ready for bid within 4 years or less may be placed directly into the C-STIP.

### Development STIP (D-STIP)

The Oregon Transportation Commission approved the following definition for the D-STIP:

*Projects approved and funded for development through specific milestones and within specific timeframes, which include the following characteristics:*

- A. Projects approved for funding through specific milestones such as National Environmental Policy Act (NEPA) design-level environmental documents, right of way acquisition, and final plans; or*
- B. Projects for which needed improvements have been identified but a final solution either has not been determined or needs further design and analysis.*

*The types of projects that tend to have one or more of the above characteristics include statewide significant projects, federal earmark or demonstration projects, modernization or major bridge replacement projects, and discretionary projects (projects eligible to receive federal discretionary funds).*

### Construction STIP (C-STIP)

The C-STIP identifies project scheduling and funding for the state's transportation preservation and capital improvement program for a four-year construction period. This program meets the requirements of the Safe, Accountable, Flexible, Efficient Transportation Equity Act – a Legacy for Users (SAFETEA-LU), the federal act that provides funds to states for transportation projects. For application of these criteria and prioritization factors, C-STIP means Modernization, Preservation and Bridge projects.

## Other STIP Programs

Other STIP programs (examples include Safety, Operations, Bicycle/Pedestrian, Transit, Congestion Mitigation/Air Quality Improvement, Transportation Enhancement, and Scenic Byways) are not addressed in this document. More information about programs funded in the STIP is available in the *Draft 2008-2011 STIP*.

## **C. Project Selection**

Eligibility Criteria and Prioritization Factors have been developed for both the Development STIP (D-STIP) and the Construction STIP (C-STIP). ACTs, MPOs and others (including participants where an ACT does not exist) shall apply both regional and statewide perspectives in making their recommendations. The Commission anticipates that most projects considered by ACTs, MPOs and regional or statewide advisory groups would be the outcomes of planning and the transportation management systems maintained by ODOT. ODOT Region staff shall assist the ACT in developing recommendations as described in the *Policy on Formation and Operation of the ACTs*, Section II. D, Role of ODOT Staff.

ACTs, MPOs and regional or statewide advisory groups should use this document as a guide when they evaluate projects for the STIP on the state highway system and for off-system projects that support implementation of the Oregon Highway Plan (OHP), in accordance with Policy 2B: off-system improvements. Projects recommended for funding in the STIP should have consistent application of the project eligibility criteria and prioritizing factors. ACTs, MPOs and regional or statewide advisory groups may use additional criteria to select and rank projects provided the criteria are consistent with the project eligibility criteria and prioritization factors adopted by the OTC. If requested, ODOT staff will provide a model to assist with project ranking. This process recognizes regional differences and is consistent with the *Policy on Formation and Operation of the Area Commissions on Transportation*, Section VI, Basis for Decision-making.

**In MPO areas designated as Transportation Management Areas (TMA)**, all projects using federal regulations title 23 (23 CFR) or Federal Transit Act funds, shall be prioritized for programming in the Transportation Improvement Program (TIP) from an approved Regional Transportation Plan by the MPO in consultation with the State and transit operators. The State, MPO and transit operators jointly program the prioritized projects. Should funding conflicts arise within a program year, projects on the NHS and projects funded under the Bridge and Interstate Maintenance programs shall be selected by the State, in cooperation with the MPO, from the approved metropolitan TIP. Other projects utilizing federal funds shall be selected by the MPO in cooperation with the State and transit operators.

**In MPO areas not designated as TMAs**, projects using federal title 23 or Federal Transit Act funds, other than Federal Lands Highways program funds, shall be selected by the State and/or the transit operator, in cooperation with the MPO, from the approved metropolitan Regional Transportation Plan.

**Outside MPO areas**, transportation projects undertaken on the NHS and projects funded under the Bridge and Interstate Maintenance programs will be selected by the State in consultation with the affected local officials. Other transportation projects undertaken with funds administered by FHWA, other than federal lands highway projects, shall be selected by the State in cooperation with the affected local officials and projects undertaken with Federal Transit

1 Act funds shall be selected by the State in cooperation with the appropriate affected local  
2 officials and transit operators.

3  
4 ACTs and MPOs should consult with each other during their STIP and MTIP development  
5 processes to achieve a coordination of projects wherever possible. Where ACT and MPO  
6 boundaries overlap, a higher level of clearly defined coordination is needed. Where this occurs,  
7 the MPO and ACT should jointly agree on a process for maintaining consistency between ACT  
8 recommendations and the MPO Plan and MTIP (*Policy on Formation and Operation of the Area*  
9 *Commissions on Transportation*, Section VII. G, Coordination).

#### 10 11 Project Eligibility Criteria

12  
13 ACTs, MPOs, or regional or statewide advisory groups advising the OTC on the selection of  
14 STIP projects for funding on the state highway system or for off-system projects that support  
15 implementation of the OHP shall apply the project eligibility criteria. The project eligibility criteria  
16 are a first screen so that additional efforts can be focused to determine which projects they will  
17 evaluate further for funding. The eligibility criteria are not listed in any particular order. Projects  
18 must satisfy these criteria, at a minimum, before they are given further consideration.

#### 19 20 Prioritization Factors

21  
22 The prioritization factors are to be used to ensure consistent consideration of the relative merits  
23 of projects by ACTs, MPOs and regional or statewide advisory groups. With the exception of  
24 project readiness which shall have greater weight, the prioritization factors are not listed in any  
25 particular order and do not have any implied weight. To provide for regional differences, ACTs,  
26 MPOs and regional or statewide advisory groups may use additional factors to rank projects  
27 provided the factors are consistent with the factors adopted by the OTC. If an ACT, MPO or  
28 regional or statewide advisory group chooses to use additional prioritization factors, they must  
29 inform those developing project proposals about the factors prior to the beginning of the project  
30 submittal period. When developing a tool to evaluate OHP policies, OHP Appendix A2 provides  
31 definitional information to facilitate shared understanding of the goals, policies and actions of the  
32 OHP policy element.

### 33 34 **D. Project Documentation**

35  
36 ACTs, MPOs and regional or statewide advisory groups making recommendations to the OTC  
37 shall document the analysis used to develop recommendations. The supporting information  
38 should include the following:

- 39  
40 1. Project description  
41 2. Project justification
- 42 ♦ Identify the planning history
  - 43 ♦ As applicable, describe information provided from the pavements or bridge
  - 44 management system. If the recommendation varies from the prioritization
  - 45 identified by the management system, describe the process used to reach that
  - 46 recommendation.
  - 47 ♦ Describe how this project supports OHP policies (Table 1).
  - 48 ♦ Provide an assessment of the likelihood of the project getting to construction in
  - 49 the timeframe contemplated
  - 50 ♦ Provide supplementary project information if the project leverages additional
  - 51 funding or community benefit

1 3. Applicable additional information

2  
3 **E. Funding**

4  
5 As required by federal regulations (23 CFR Part 450) the C-STIP is financially constrained by  
6 federal fiscal year (October-September). The Eligibility Criteria and Prioritization Factors  
7 defined in this document apply to projects that implement current revenue sources. If more  
8 funding becomes available, it will be allocated in adherence to any additional funding or  
9 selection criteria attached to those new funds.

10  
11 The STIP represents multiple funding categories and each category has limits as to how the  
12 funding can be obligated. STIP projects must meet the funding source limitations established  
13 by state or federal regulations and cannot be selected without looking at those limitations. The  
14 D-STIP will be funded with the same funding sources as the C-STIP and the total funds  
15 committed to the D-STIP may vary. Funding of the D-STIP may be impacted by several factors,  
16 including the following: OTC selection of projects of statewide importance, federal earmarks  
17 and discretionary projects, federal and state restrictions on the use of available funds, and the  
18 Regional equity distribution of Modernization funds (ORS 366.507).

19  
20 Federal discretionary projects

21  
22 Federal discretionary projects are a part of federal appropriations or transportation funding  
23 legislation. The Oregon Department of Transportation, with direction from the Oregon  
24 Transportation Commission, developed guidelines to use in deciding which projects should be  
25 submitted as earmark proposals in federal legislation for the reauthorization of transportation  
26 funding. The projects are categorized as low or medium risk and can be completed over the life  
27 of the federal transportation funding bill. ODOT follows these guidelines for earmark projects  
28 and submits them to the Oregon Congressional Delegation for consideration during the federal  
29 budget process. Local jurisdictions and proponents that pursue earmark funding for projects not  
30 submitted by ODOT or supported by the Oregon Transportation Commission (OTC) are solely  
31 responsible for the required matching funds or any shortfalls.

32  
33 The OTC recognizes that there may be unique circumstances in which proponents have been  
34 successful in obtaining federal discretionary projects that need to be placed in the STIP. These  
35 can be brought to the OTC as possible amendments to the STIP provided they meet the  
36 eligibility criteria and the match requirements as noted above.

37  
38 **II. Development STIP (D-STIP)**

39  
40 **A. Introduction to the D-STIP**

41  
42 The Oregon Transportation Commission will make the final selections for all D-STIP projects  
43 and will apply a statewide perspective to the proposed list of projects, giving highest priority to  
44 OTC approved federal discretionary projects that have funding secured through federal  
45 legislation.

46  
47 It will be important to clearly articulate the rationale and need of a D-STIP project in order to  
48 help manage expectations and potential next steps. D-STIP projects will be consistent with  
49 statewide policies and may be identified by the state management systems or in one or more  
50 planning documents. Planning documents may include system-level plans such as



1 transportation system plans, regional transportation plans, or comprehensive plans, or facility-  
2 level plans such as corridor plans, refinement plans, or interchange area management plans.  
3 Appendix B illustrates the process that leads to approval of the Final STIP and where plans fit in  
4 the process. Additionally, the OTC may choose to fund development work on projects of  
5 statewide significance in the D-STIP. The D-STIP includes projects approved and funded for  
6 development through specific milestones for planning, environmental or project development  
7 activities and within specific timeframes.

8  
9 Projects often begin in the D-STIP when they are complex projects that will take more than four  
10 years to go to construction or when the appropriate transportation solution is not yet identified.  
11 Project choices should address points obstructed by congestion, support regional and local land  
12 use plans, and assist in job development or retention.

13  
14 The following should be considered when applying the Eligibility Criteria and Prioritization  
15 Factors:

- 16  
17 ♦ A new alignment will be selected for one or several features in the refinement plan.  
18 Project specific refinement plans may be funded in the D-STIP as needed to resolve  
19 need, function, mode and general location decisions that could not be made during  
20 system plan or corridor plan development. In circumstances where these decisions  
21 have already been made, the goal of refinement planning will be to develop a  
22 specific solution or a range of solutions to the problems(s) that support the next  
23 appropriate project development step.
- 24 ♦ Rapid development is occurring in the area, making corridor preservation critical.
- 25 ♦ Issues needing resolution have a high priority and solutions are likely to be funded in  
26 the near future.
- 27 ♦ The highway segment is very sensitive environmentally, and a strategy for the whole  
28 segment needs to be approved before work on individual elements can commence.  
29 For example, addressing land use to help resolve inconsistencies with planned  
30 transportation facilities; planning for compatible land uses along state highways.
- 31 ♦ Public pressure for a sustainable decision is high.

32  
33 Selection of D-STIP projects requires application of the D-STIP definition approved by the OTC.  
34 D-STIP projects generally fall into the following three categories: federal discretionary projects  
35 (earmarks), statewide significant projects, and modernization or major bridge replacement  
36 projects.

### 37 38 Statewide significant projects

39  
40 Statewide significant projects are projects that require funding that cannot be achieved within  
41 standard STIP allocations but are viewed by the OTC as projects of statewide significance and  
42 can be selected by the OTC independent of the ACT process. Identified funds would be used to  
43 either keep existing work on very large projects current, or to support development of very large  
44 projects (for example, funding a new Environmental Impact Statement or updating an existing  
45 EIS).

### 46 47 Modernization or major bridge replacement projects

48  
49 Modernization or major bridge replacement projects are projects that have been approved and  
50 funded for development through specific milestones but that cannot be constructed within the  
51 four-year timeframe of the STIP and/or within the normal Region STIP allocations. These may

1 include shelf projects, which are high priority projects developed in anticipation of funding but  
2 that have no funding identified for construction in the current STIP. Milestones include planning,  
3 environmental and project development.

#### 4 5 D-STIP Project Completion 6

7 ODOT and the Department of Land Conservation and Development (DLCD) shall work with  
8 affected cities and counties to obtain land use approvals needed to select a specific alignment.  
9 The level of land use consistency required will depend on the environmental milestone being  
10 completed.

11  
12 Projects should remain in the D-STIP until work required to meet the National Environmental  
13 Policy Act (NEPA) is completed. NEPA classifications:

- 14  
15 ♦ Class 1: Requires draft and final environmental impact statement (EIS). An EIS is  
16 required for actions that significantly affect the environment.
- 17 ♦ Class 2: Categorical exclusion (neither an environmental assessment nor an  
18 environmental impact statement is required). These actions do not individually or  
19 cumulative have a significant environmental effect and are excluded from the  
20 requirement to prepare an environmental assessment or environmental impact  
21 statement.
- 22 ♦ Class 3: Requires environmental assessment (EA) or revised environmental  
23 assessment. The environmental impact is not clearly established. All actions that  
24 are not Class 1 or 2 fall into this classification. These actions require preparation of  
25 an EA to determine the appropriate environmental document. If it is determined that  
26 the action is likely to have a significant impact on the environment, the preparation of  
27 an EIS will be required.

28  
29 All Class 1 and 3 projects should be in the D-STIP until a final Record of Decision (ROD) or  
30 Finding of No Significant Impact (FONSI) has been completed. By programming completion of  
31 D-STIP milestones that follow a ROD or FONSI, the project delivery activity can continue  
32 through right of way acquisition, advance plans, and/or plans specifications and estimates  
33 (PS&E). The project could then be ready for inclusion in the C-STIP at the regular 2-year  
34 update. Work on right of way, advance plans or PS&E may be conducted in either the D-STIP  
35 or the C-STIP.

36  
37 Although the primary purpose of the D-STIP is to develop projects for the C-STIP, inclusion in  
38 the D-STIP does not guarantee funding for future D-STIP milestones or that a project will  
39 automatically move into the C-STIP. Funding may not be available to construct the final solution  
40 or the environmental document may identify the solution as a “No Build”.

## 41 42 **B. Development STIP**

### 43 44 **B. 1. Development STIP Eligibility Criteria Footnotes** 45

#### 46 <sup>1</sup>**D-STIP milestones**

47 D-STIP projects must have funding to complete the identified milestone; partial milestones or  
48 those with no funding will not be programmed. D-STIP milestones, while not necessarily  
49 sequential, include those listed below. Not all projects are required to complete all the  
50 milestones.

- ♦ Project specific refinement plan completion
- ♦ Project specific refinement plan adoption
- ♦ Land use consistency/Statewide Goal Compliance. (Project is included in the acknowledged comprehensive plan or transportation system plan as a planned facility, which is a facility allowed by the plan and that is expected to be constructed within the next 20 years with available financial resources. This may include land use decisions that establish need, mode, function and general location.)
- ♦ Interchange Area Management Plan or Access Management Plan
- ♦ Location Environmental Impact Statement (EIS) Record of Decision (ROD)
- ♦ Design EIS ROD
- ♦ Environmental Assessment (EA) and Finding of No Significant Impact (FONSI)
- ♦ Right of way acquisition
- ♦ Advance plans (or any other applicable project development design milestone)
- ♦ Plans, specifications and estimates (PS&E)

## **B.2. Development STIP Prioritization Factors Footnotes**

### **<sup>2</sup>D-STIP Projects that Best Support the Oregon Highway Plan Policies**

The Oregon Highway Plan is available at: <http://www.oregon.gov/ODOT/TD/TP/orhwyplan.shtml> and a summary list of OHP goals and policies is provided in Table 1. All projects should be consistent with the OHP and this prioritization factor is to help choose among these projects. Not all projects will advance all OHP policies but a project that is strongly supportive of several OHP policies may be chosen over one that offers less support or supports fewer OHP policies.

### **<sup>3</sup>Funding for D-STIP Projects**

A funding scenario should be identified through construction, though not necessarily guaranteed. Congressional high priority projects would fall into this category.

### **<sup>4</sup>Leverage and Public Benefit for D-STIP Projects**

ACTs, MPOs and regional or statewide advisory groups should evaluate how proposed projects leverage additional funding or collateral community benefits and make wise and efficient use of infrastructure and natural resources. Those making project recommendations should pursue an agenda to accomplish leverage or community benefits although specific benefits might not always be known at the D-STIP stage. Examples of leverage and public benefits for D-STIP modernization projects could include where applicable, but are not limited to the following:

- ♦ Other funding contributions, such as additional federal funds, local matching funds or provision of project right of way, private funding.
- ♦ Bundling with other infrastructure projects (provided there is no adverse affect on project readiness).
- ♦ Environmental enhancement, such as culvert replacement and improved drainage or fish passage.
- ♦ Transfer of jurisdiction to promote jurisdictional responsibility and coordination.
- ♦ Leveraging additional funds that contribute to transportation system effectiveness, system operations, and revitalization of the downtown or main street, etc.
- ♦ Direct benefits to multiple modes of travel, advancement of modal choice and intermodal activities. This would include local efforts to accommodate non-auto modal opportunities.
- ♦ Local circulation improvements that support and complement the state highway project.

- ♦ Improvements in Oregon's economy by addressing transportation challenges such as key bottlenecks or improving transportation service delivery.
- ♦ Potential for collecting toll revenues.
- ♦ Projects that implement other innovative finance techniques.
- ♦ Would facilitate public and private investment that creates or sustains jobs.

This determination must be considered within the capacity of the community on a case by case basis.

### III. Construction STIP (C-STIP)

#### A. Introduction to the C-STIP

The C-STIP contains projects scheduled for construction and is financially constrained by federal fiscal year. Application of the C-STIP Eligibility Criteria and Prioritization Factors includes Modernization, Preservation and Bridge projects. Information about other programs in the STIP may be found in the *Draft 2006-2009 STIP*.

#### B. Modernization

As stated in the *Oregon Highway Plan*, "The primary goal of modernization projects is to add capacity to the highway system in order to facilitate existing traffic and/or accommodate projected traffic growth. Modernization means capacity-adding projects including HOV lanes and off-system improvements. Projects in this category include major widening of lanes or bridges, and the addition of lanes, rest areas or entire facilities." Where a culvert is replaced with a bridge due to environmental analysis concluding that this is necessary, the project is not considered modernization.

#### B.1. Construction STIP Eligibility Criteria for Modernization Footnotes

##### <sup>5</sup>Consistency with Comprehensive Plans and Transportation System Plans (TSP)

The proposal must show that the project is consistent with the applicable adopted comprehensive plan or transportation system plan as a planned facility, including land use decisions that establish need, mode, function and general location, including goal exceptions, where required. If consistency cannot be demonstrated the project submission will describe how the inconsistency will be addressed, including changes to the project, TSP and/or comprehensive plan and when they need to be completed. In such cases, the ACT or regional or statewide advisory group may recommend that the project be included in the D-STIP, and request that Transportation Planning Rule issues be addressed.

Proposed projects from within MPOs shall be identified in fiscally constrained Regional Transportation Plans and shall meet air quality conformity requirements.

##### <sup>6</sup>Consistency with Oregon Highway Plan (OHP) Policy 1G, Action 1G.1, on Major Improvements

In order to demonstrate that a project is consistent with OHP Policy 1G, Action 1G.1, the proposal must show that the project and/or the TSP clearly addressed the prioritization criteria found in Action 1G.1 of the OHP.

Where needed to achieve consistency with the above-noted Oregon Highway Plan policy, the ACTs, MPOs, or regional or statewide advisory groups, with ODOT assistance, shall negotiate conditions for project approval with an applicant. These conditions, if not addressed as the project proceeded through the D-STIP if applicable, shall be attached to the application approved by the ACT, MPO or regional or statewide advisory group, shall be as specific as possible given the stage of development of the project, and may include the following:

- ♦ Interchange Area Management Plan or Access Management Plan,
- ♦ Highway segment designations,
- ♦ Needed local street improvements,
- ♦ Traffic management plans,

- ♦ Land use plan designations,
- ♦ Other similar conditions.

## **B.2. Construction STIP Prioritization Factors for Modernization Footnotes**

### **<sup>7</sup>Project Readiness for C-STIP Modernization Projects**

Projects that can begin construction within the timeframe of the STIP and within the timeframe expected are considered to be more ready than those that have many or complicated remaining steps. The overall judgment of a project's readiness is dependent on timeliness of construction expectations not on the number of steps to be completed.

Where applicable, the hurdles to accomplish each of the following steps must be assessed for major modernization projects that have come through the D-STIP and for which a final Record of Decision (ROD) for a design level environmental impact statement or a Finding of No Significant Impact (FONSI) has been made:

- ♦ Public involvement
- ♦ Right of way purchased
- ♦ Final construction and traffic flow management plans developed
- ♦ Additional land use requirements such as completing plans for access management, supporting local transportation system improvements and land use measures to protect the function and operation of the project.

Projects that have not gone through the D-STIP or have not completed a FONSI or ROD must also assess the following:

- ♦ Environmental requirements
- ♦ Land use requirements
- ♦ Applicability of minor improvements and alternative mode solutions

If these components are not completed at the time of the assessment of project readiness, a plan to complete them must be described to help determine whether they can be addressed and construction begun within the projected timeframe. The project budget and timeline must include execution of the plan.

### **<sup>8</sup>Modernization Projects that Best Support the Oregon Highway Plan Policies**

The Oregon Highway Plan is available at: <http://www.oregon.gov/ODOT/TD/TP/orhwyplan.shtml> and a summary list of OHP goals and policies is provided in Table 1. All projects should be consistent with the OHP and this prioritization factor is to help choose among these projects. Not all projects will advance all OHP policies but a project that is strongly supportive of several OHP policies may be chosen over one that offers less support or supports fewer OHP policies.

### **<sup>9</sup>Projects that support freight mobility**

Projects that support freight mobility are modernization projects on freight routes of statewide or regional significance, including:

- ♦ Highways on the State Highway Freight System as designated in the *Oregon Highway Plan*;
- ♦ Highways or local roads designated as National Highway System intermodal connectors;

- ♦ Other highways with a high volume or percentage of trucks or which are important for regional or interstate freight movement;
- ♦ Local freight routes designated in a regional or local transportation plan.

These projects would remove identified barriers to the safe, reliable, and efficient movement of goods and/or would support multimodal freight transportation movements.

#### <sup>10</sup>**Leverage and Public Benefit for C-STIP Modernization Projects**

ACTs, MPOs and regional or statewide advisory groups should evaluate how proposed projects leverage additional funding or collateral community benefits and make wise and efficient use of infrastructure and natural resources. Examples of leverage and public benefits for C-STIP modernization projects include:

- ♦ Other funding contributions, such as additional federal funds, local matching funds or provision of project right-of-way, private funding.
- ♦ Bundling with other infrastructure projects (provided there is no adverse affect on project readiness).
- ♦ Environmental enhancement, such as culvert replacement and improved drainage or fish passage.
- ♦ Transfer of jurisdiction to promote jurisdictional responsibility and coordination.
- ♦ Leveraging of additional funds that contribute to transportation system effectiveness, system operations, and revitalization of the downtown or main street, etc.
- ♦ Direct benefits to multiple modes of travel, advancement of modal choice and intermodal activities. This would include local efforts to accommodate non-auto modal opportunities.
- ♦ Local circulation improvements that support and complement the state highway project.
- ♦ Improvements in Oregon's economy by addressing transportation challenges such as key bottlenecks or improving transportation service delivery.
- ♦ Potential for collecting toll revenues.
- ♦ Projects that implement other innovative finance techniques.
- ♦ Would facilitate public and private investment that creates or sustains jobs

This determination must be considered within the capacity of the community on a case by case basis.

#### <sup>11</sup>**Environmental Classification**

- ♦ Class 1: Requires draft and final environmental impact statement (EIS)
- ♦ Class 2: Categorical exclusion (neither an environmental assessment nor an environmental impact statement is required)
- ♦ Class 3: Requires environmental assessment (EA) or revised environmental assessment

This prioritization factor is not intended to give Class 1 and 3 projects priority over or to exclude Class 2 projects, but to give Class 1 and 3 projects with a completed ROD or FONSI priority over Class 1 and 3 projects that require additional environmental documentation.

## **C. Preservation**

The pavement preservation projects list is developed by ODOT's Pavement Management System (PMS) and applied by the pavement management selection committees. The PMS is an

electronic data management tool used by the department to identify, prioritize and develop needed pavement preservation projects. The role of ACTs, MPOs and regional or statewide advisory groups is to review the timing of the pavement preservation projects as they relate to other local projects or issues; their comments will be considered as part of the process. It is anticipated that these groups will primarily enhance selected projects by leveraging additional funding or collateral community benefit. The interstate preservation projects are selected based on the PMS and a statewide strategy and are therefore not a part of these criteria.

## **C.1. Construction STIP Eligibility Criteria for Pavement Preservation Footnotes**

### **<sup>12</sup>Pavement Strategy**

The department has adopted a pavement preservation program designed to keep highways in the best condition at the lowest lifecycle cost, taking into account available funding. ODOT established a Pavement Strategy Committee in 1999 to address pavement preservation issues, including the development of a statewide pavement strategy for all state highways. The pavement strategy was developed using the department's Pavement Management System. The strategy assumes maintenance of existing traffic capacity; it does not provide for capacity improvements.

Using the list generated by the Pavement Management System (PMS), each Region is responsible for recommending preservation projects for inclusion in the STIP.

## **C.2. Construction STIP Prioritization Factors for Pavement Preservation Footnotes**

### **<sup>13</sup>Project Readiness for C-STIP Preservation Projects**

Projects that can begin construction within the timeframe of the STIP and within the timeframe expected are considered to be more ready than those that have many or complicated remaining steps. The overall judgment of a project's readiness is dependent on timeliness of construction expectations not on the number of steps to be completed.

### **<sup>14</sup>Preservation Projects that Best Support the Oregon Highway Plan Policies**

The Oregon Highway Plan is available at: <http://www.oregon.gov/ODOT/TD/TP/orhwyplan.shtml> and a summary list of OHP goals and policies is provided in Table 1. All projects should be consistent with the OHP and this prioritization factor is to help choose among these projects. Not all projects will advance all OHP policies but a project that is strongly supportive of several OHP policies may be chosen over one that offers less support or supports fewer OHP policies.

### **<sup>15</sup>Leverage and Public Benefit for C-STIP Preservation Projects**

ACTs, MPOs and regional or statewide advisory groups should evaluate how proposed projects leverage additional funding or collateral community benefits and make wise and efficient use of infrastructure and natural resources. Examples of leverage and public benefits for C-STIP pavement preservation projects include:

- ♦ Other funding contributions, such as additional federal funds, local matching funds or provision of project right-of-way, private funding.
- ♦ Bundling with other infrastructure projects (provided there is no adverse affect on project readiness).
- ♦ Environmental enhancement, such as culvert replacement and improved drainage or fish passage.



- ♦ Transfer of jurisdiction to promote jurisdictional responsibility and coordination.
- ♦ Leveraging of additional funds that contribute to transportation system effectiveness, system operations, and revitalization of the downtown or main street, etc.
- ♦ Direct benefits to multiple modes of travel, advancement of modal choice and intermodal activities. This would include local efforts to accommodate non-auto modal opportunities.
- ♦ Local circulation improvements that support and complement the state highway project.
- ♦ Improvements in Oregon's economy by addressing transportation challenges such as improving transportation service delivery.

#### **D. Bridge**

The process of identifying bridge projects for the STIP relies on the Bridge Management System. ODOT maintains a complete inventory of all state (and local) bridges longer than 20 feet. The aggregation of structure inventory, condition data collected on a routine basis, and appraisal data assigned according to national guidelines fulfill the requirements of the National Bridge Inventory (NBI). Data required by the National Bridge Inspection Standards (NBIS) and additional data collected by ODOT bridge inspectors provide the condition and inventory data necessary for the analysis of ODOT bridges. Applying criteria in twelve separate deficiency categories, and considering OTC and program goals and requirements, projects are selected on a statewide basis. After technical review and coordination with the Regions and the statewide Bridge Leadership Team, the State Bridge Engineer recommends a list of projects for inclusion in the STIP. The role of ACTs, MPOs and regional or statewide advisory groups is to review the timing of the bridge replacement/rehabilitation projects as they relate to other local projects or issues; their comments will be considered as part of the process. It is anticipated that these groups will primarily enhance selected projects by leveraging additional funding or collateral community benefits.

## **D.1. Construction STIP Eligibility Criteria for Bridge Footnotes**

### **<sup>16</sup>Bridge Management System**

#### **State Bridge Project Selection**

This criterion applies to bridges on the State highway system only. Through an agreement between the State and the Association of Oregon Counties (AOC) and the League of Oregon Cities (LOC), the federal Highway Bridge Program project funds are divided between the State and local agencies based on the percentages of deficient bridges. Local bridge projects are covered through a separate selection process.

State bridge projects proposed for funding will be selected based on the desire to maintain and improve transportation's role in Oregon's economy. Traditionally, modernization funding will pay for major improvements to the transportation system including the bridge work. The State Bridge Program will support OTIA, freight mobility, life safety and protection of the transportation infrastructure investment.

Focusing on the Interstate Highway and Oregon Highway Plan Freight Routes, consider bridges as candidates based on the following:

- ♦ Bridges in need of improvements that eliminate load, width or vertical restrictions or poor structural condition.
- ♦ Bridges that preserve freight corridors, detour and other lifeline routes.
- ♦ Other structural, safety and functional considerations.

## **D.2. Construction STIP Prioritization Factors for Bridge Footnotes**

### **<sup>17</sup>Bridge Options Report**

Priority will be given to projects that support the Bridge Options Report adopted by the Oregon Transportation Commission. The Bridge Options Report helped to organize the needed bridge repairs that were funded under the Oregon Transportation Investment Act III. As of December 2006, a majority of these projects are under construction or in final design in preparation for construction. By the time of the OTC's adoption of the Final 2010-2013 STIP, this program will be largely complete.

### **<sup>18</sup>Bridge Projects that Best Support the Oregon Highway Plan Policies**

The Oregon Highway Plan is available at: <http://www.oregon.gov/ODOT/TD/TP/orhwyplan.shtml> and a summary list of OHP goals and policies is provided in Table 1. All projects should be consistent with the OHP and this prioritization factor is to help choose among these projects. Not all projects will advance all OHP policies but a project that is strongly supportive of several OHP policies may be chosen over one that offers less support or supports fewer OHP policies.

### **<sup>19</sup>Projects that Support Freight Mobility**

Projects that support freight mobility are bridge replacement and rehabilitation projects on freight routes of statewide or regional significance, including:

- Highways on the State Highway Freight System as designated in the *Oregon Highway Plan*;

- Highways or local roads designated as National Highway System intermodal connectors;
- Other highways with a high volume or percentage of trucks or which are important for regional or interstate freight movement;
- Local freight routes designated in a regional or local transportation plan.

These projects would remove identified barriers to the safe, reliable, and efficient movement of goods and/or would support multimodal freight transportation movements.

#### <sup>20</sup>**Project Readiness for C-STIP Bridge Projects**

Projects that can begin construction within the timeframe of the STIP are considered to be more ready. The overall judgment of a project's readiness is dependent on timely completion of necessary pre-construction steps and not on the number of steps to be completed.

#### <sup>21</sup>**Leverage and Public Benefit for C-STIP Bridge Projects**

ACTs, MPOs and regional or statewide advisory groups should evaluate how proposed projects leverage additional funding or collateral community benefits and make wise and efficient use of infrastructure and natural resources. Examples of leverage and public benefits for C-STIP bridge replacement/rehabilitation projects include:

- ♦ Other funding contributions, such as additional federal funds, local matching funds or provision of project right-of-way, private funding.
- ♦ Bundling with other infrastructure projects (provided there is no adverse affect on project readiness).
- ♦ Environmental enhancement, such as culvert replacement and improved drainage or fish passage.
- ♦ Direct benefits to multiple modes of travel, advancement of modal choice and intermodal activities. This would include local efforts to accommodate non-auto modal opportunities.
- ♦ Improvements in Oregon's economy by addressing transportation challenges including improving service delivery.

# Oregon Highway Plan Policies

Table 1

<b>GOAL 1: SYSTEM DEFINITION</b>
POLICY 1A: STATE HIGHWAY CLASSIFICATION SYSTEM
POLICY 1B: LAND USE AND TRANSPORTATION
POLICY 1C: STATE HIGHWAY FREIGHT SYSTEM
POLICY 1D: SCENIC BYWAYS
POLICY 1E: LIFELINE ROUTES
POLICY 1F: HIGHWAY MOBILITY STANDARDS
POLICY 1G: MAJOR IMPROVEMENTS
POLICY 1H: BYPASSES
<b>GOAL 2: SYSTEM MANAGEMENT</b>
POLICY 2A: PARTNERSHIPS
POLICY 2B: OFF-SYSTEM IMPROVEMENTS
POLICY 2C: INTERJURISDICTIONAL TRANSFERS
POLICY 2D: PUBLIC INVOLVEMENT
POLICY 2E: INTELLIGENT TRANSPORTATION SYSTEMS
POLICY 2F: TRAFFIC SAFETY
POLICY 2G: RAIL AND HIGHWAY COMPATIBILITY
<b>GOAL 3: ACCESS MANAGEMENT</b>
POLICY 3A: CLASSIFICATION AND SPACING STANDARDS
POLICY 3B: MEDIANS
POLICY 3C: INTERCHANGE ACCESS MANAGEMENT AREAS
POLICY 3D: DEVIATIONS
POLICY 3E: APPEALS
<b>GOAL 4: TRAVEL ALTERNATIVES</b>
POLICY 4A: EFFICIENCY OF FREIGHT MOVEMENT
POLICY 4B: ALTERNATIVE PASSENGER MODES
POLICY 4C: HIGH-OCCUPANCY VEHICLE (HOV) FACILITIES
POLICY 4D: TRANSPORTATION DEMAND MANAGEMENT
POLICY 4E: PARK-AND-RIDE FACILITIES
<b>GOAL 5: ENVIRONMENTAL AND SCENIC RESOURCES</b>
POLICY 5A: ENVIRONMENTAL RESOURCES
POLICY 5B: SCENIC BYWAYS

## **Appendix A**

### **Key Website Addresses**

**Draft and Final STIP, Project Summary Reports:**

<http://www.oregon.gov/ODOT/HWY/STIP/index.shtml>

**STIP Users' Guide:** <http://www.oregon.gov/ODOT/TD/TP/stipGuide.shtml>

**Management Systems:** <http://intranet.odot.state.or.us/otms/>

**Bridge Options Report:**

[http://www.oregon.gov/ODOT/COMM/docs/bridge\\_options/bridge\\_options.pdf](http://www.oregon.gov/ODOT/COMM/docs/bridge_options/bridge_options.pdf)

**Policy on Formation and Operation of the ACTs:**

[http://www.oregon.gov/ODOT/COMM/act\\_main.shtml](http://www.oregon.gov/ODOT/COMM/act_main.shtml)

**Program Advisory Committees, Community Involvement:**

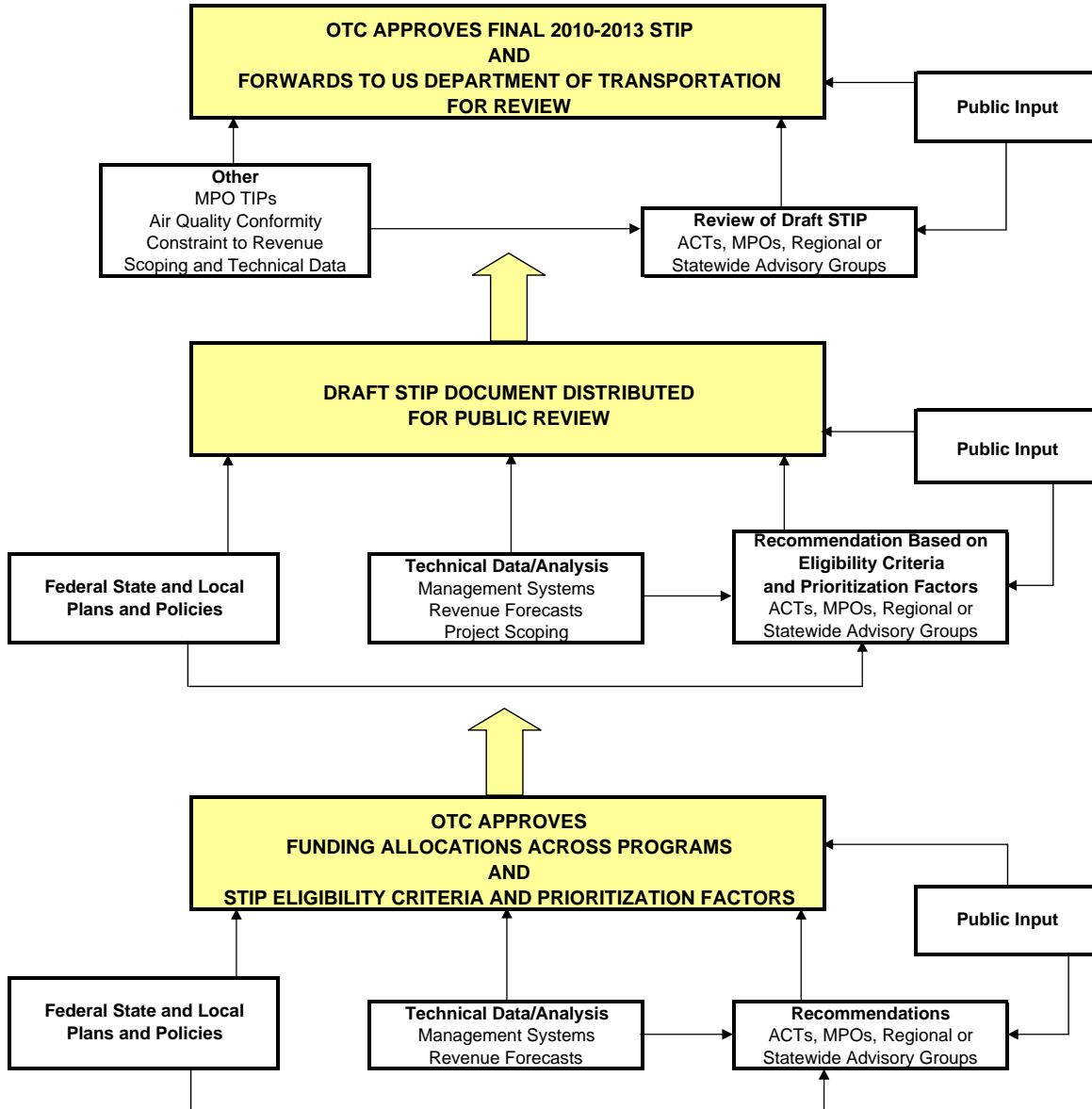
<http://www.oregon.gov/ODOT/involvement.shtml>

**OHP Web site:** <http://www.oregon.gov/ODOT/TD/TP/orhwyplan.shtml>

**OTP Web site:** <http://www.oregon.gov/ODOT/TD/TP/ortransplanupdate.shtml>

## Appendix B

### STATEWIDE TRANSPORTATION IMPROVEMENT PROGRAM DECISION PROCESS



#### KEY

ACT: Area Commission on Transportation  
MPO: Metropolitan Planning Organization  
TIP: Transportation Improvement Program