

Policies and Procedures



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AMATS P&P No. 1 General policies / requirements

- A. The Transportation Improvement Program (TIP) shall be fiscally constrained. The funding allocation to AMATS for the National and Non-National Highway System is determined by the State of Alaska. In the case of the National Highway System the State of Alaska and Governor will continue to provide and determine the funding level of the National Highway System within AMATS boundary. The State of Alaska adopted regulations that determine a percentage of the federal transportation program funds for Alaska that are sent to Anchorage. The priorities for the projects for which the funding is programmed shall rest with the AMATS Policy Committee.
- B. The TIP shall program funds for a minimum of four-years. Years shown beyond the first four are for illustrative purposes only to estimate project rough cost and delivery. The out years of the TIP shall serve as the program for priorities in the event projects in the current year are not deliverable or can not be obligated for federal funds.
- C. A New TIP or one that requires a major amendment shall be available for public review for a minimum of 30-days.
- D. The existing policy contained in the AMATS Operating Agreement and Municipal ordinance on Assembly review of the TIP will continue in force.
- E. Each January, on or around the 15th, the AMATS Policy Committee will forward the latest TIP to the Legislature for information purposes. The Legislature uses this information to prepare the State's capital budget for inclusion of the federal program and the State's General Fund match.
- F. Nominations for projects may be received at any time for the TIP, however projects will be scored and ranked only during the development of a new TIP
- G. The Policy Committee may place a new project in the TIP, after the TIP has been developed. Placement of the new project may be at the discretion of the Policy Committee or the Policy Committee may request the new project be scored for placement. If not directed specifically by the Policy Committee, new projects added to the TIP, after a TIP has been developed, will be the next highest ranked project from the appropriate Needs List.
- H. Scoring criteria will only be modified and used prior to the development of a new TIP. Subsequent refinement to scoring criteria will be approved and used in the next TIP cycle. New Projects added to the TIP by the Policy Committee that require scoring, shall use the same scoring criteria as the other projects within that TIP.
- I. The TIP development process is used to satisfy the public participation and Program of Projects (POP) requirements of Section 5307 of Urbanized Area Formula Program (49 U.S.C. 5307). The POP as presented is the proposed program of projects and will also be the final program of projects unless amended.

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- J. All AMATS advisory committees, including but not limited to the Technical Advisory Committee, the Bicycle and Pedestrian Committee, and the AMATS Air Quality Advisory Group shall be a public forum and provide advisory comments and recommendations to other AMATS bodies on transportation related issues relevant to the AMATS MTP, TIP, UPWP and other related plans. The AMATS Policy Committee is the final decision making body for AMATS.

AMATS P&P No. 2 Definitions

Project Definitions: The purpose of these definitions is to provide structure, direction and commitment to projects in the beginning, limit scope-creep and, to the best of AMATS abilities, maintain cost and project delivery.

- A. **New Road Connections** are: the complete construction of all aspects of developing a new road link. These projects will consider all aspects of necessary road construction to include but not limited to environmental, design, ROW, construction of the road prism, trails, transit, sidewalks, utilities, lighting, landscaping, drainage and necessary civil work to complete the project. An example of this type of project is C Street between Dimond and O'Malley/Minnesota.
- B. **Road Reconstruction** is: the full or partial reconstruction of a road. Typically these projects expand the capacity of the existing system. Improvements may include the road base/sub/grade, right-of way acquisition and or utility relocation. Like new connections, these projects shall consider lighting, trails, transit, landscaping and number of lanes. These require full public process in review and development. These types of projects are typical of ADOT&PF's 4R projects, or a road upgrade in the Municipality's Design Criteria manual. A recent example of this type of project would be the reconstruction of Dowling Road between Old Seward Highway and Lake Otis.
- C. **Road Rehabilitation** is: an improvement to preserve and extend the service life, improves safety, and generally does not add additional lane capacity. These are implemented by ADOT&PF as 3R projects in their Pre-Construction Manual or by the Municipality as a Rehabilitation as defined in its Design Criteria Manual. American with Disabilities Act (ADA) improvements at the curb must be included. The following items should be defined prior to project authorization:
- a. Should new/ rehabilitation of existing trail or sidewalks be included?
 - b. Should the rehabilitation or upgrades of existing traffic signals and associated work be included?
 - c. Should right-of-way needs at intersections for turn-lanes be included?
 - d. Should rehabilitation of existing transit stops be included?
 - e. Should Utility relocation be included?

Examples of these types of projects include the Old Glenn Highway; rural section, DeArmon Road; Westwind to 140th, Fireweed Lane; Spenard to Seward Highway, Spenard Road; Fireweed to Minnesota.

- D. **Pavement Replacement Program:** Should be limited to curb to curb pavement replacement by milling the top 2-4 inches and replacing it with new hot mix asphalt. ADA improvements are/must be included in the design study report for these projects but should be limited to the pavement. No trail, sidewalk, landscaping, transit, drainage, lighting, traffic signal, utility, sub-base or work outside the

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curbs will be completed using these project funds. Safety issues associated with pavement replacement projects must be considered in this program or in the HSIP program.

Should the opportunity to coordinate other construction work using other funding be available, then the effort should be made to do so. These projects are to be implemented without an extensive environmental or design effort. A typical cross section of the existing road, and a categorical checklist type environmental process should be completed. Public process is limited to notification of a repaving. Projects within the Pavement Replacement Program will be ranked according to a Pavement Management Evaluation System. A Scope change requires removal, ranking and scoring.

- E. **Transportation Enhancements** are: to improve the transportation system beyond what is normally done for roadway reconstruction or rehabilitation projects. Trails, sidewalks, and landscaping are not considered enhancements when being constructed as part of the road during reconstruction or rehabilitation. Any cost associated during the road construction are not considered or counted against any Enhancement percentage or allocation AMATS develops. Projects eligible for Enhancements are provisions of facilities for pedestrian and bicycles; acquisition of scenic easements or historic sites, landscaping and other scenic beautification, provision of safety and educational activities for pedestrians and bicyclists, scenic or historic highway programs (including the provision of tourist and welcome center facilities), landscaping and other scenic beautification, historic preservation, rehabilitation and operation of historic transportation buildings, structures, or facilities (including historic railroad facilities and canals), preservation of abandoned railway corridors (including the conversion and use thereof for pedestrian or bicycle trails), control and removal of outdoor advertising, archaeological planning and research, environmental mitigation to address water pollution due to highway runoff or reduce vehicle-caused wildlife mortality while maintaining habitat connectivity, and establishment of transportation museums.
- F. **HSIP**. Highway Safety Improvement Program. A federally funded program to construct safety improvements at roadway locations with an existing identifiable accident pattern that have cost effective engineering solutions.
- G. **Grandfathered Projects** are: those projects where the lead federal agency (FHWA or FTA) has approved entrance into final design, which occurs after the completion and approval of the environmental document. This applies to roadway, CMAQ, and TE projects as appropriate.
- H. **SIP-Mandated Projects and Programs (CMAQ)**. Projects and programs that *directly* implement air quality control measures committed to in the State Implementation Plan (SIP). “Proactively” implemented SIP contingency measures will be included in this category if the SIP includes a commitment to implement them during the time period covered by the TIP. Projects that simply support or enhance SIP measures are not included in this category.
- I. **Studies and Plans (CMAQ)**. Proposals that are not intended to provide a direct or immediate air quality or congestion mitigation benefit. These include studies to provide insight into how to best solve an air quality problem and plans laying out strategies for improving air quality or reducing congestion.
- J. **Programs (CMAQ)**. Multi-year, sustainable programs that depend on consistent funding to be effective. Programs must be eligible to receive more than 3 years of operating assistance under federal CMAQ guidance to be included in this category.
- K. **Projects (CMAQ)**. One-time projects and short term operating programs not eligible for more than

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three years of CMAQ funding.

- L. **4R project.** Project consists of the reconstruction, resurfacing, restoration, and rehabilitation of an existing roadway on the same alignment or modified alignment. The principle objective of 4R projects is to restore the structural integrity of the existing roadway, thereby extending the service life of the facility. Reconstruction projects must be built to the same design standards as if it were a new road and hence there is much less flexibility than in a project that is classified by the FHWA as a 3R. In addition, the safety and capacity of the facility should be enhanced if required. Typically these projects expand the capacity of the existing system.
- M. **3R project.** Project consists of the resurfacing, restoration, and rehabilitation of an existing roadway on the same alignment or modified alignment. The principle objective of 3R projects is to restore the structural integrity of the existing roadway, thereby extending the service life of the facility. In addition, the safety and capacity of the facility should be enhanced if required.
- N. **1R project.** Project consists of curb to curb pavement replacement. ADA improvements must be included in these projects, and safety issues should be addressed either here, or in the HSIP program.
- O. **Trail Rehabilitation Program.** Projects consisting of surface replacement or repair of existing trails. Safety issues must be considered with these projects.

AMATS P&P No. 3 TIP Funding Allocations

Program Allocations / Percentages for:

- A. **Complete Streets** = 35-50% of the total AMATS allocation averaged over the four years.
- B. **Pavement Replacement** = 15-20% of the total AMATS allocation averaged over the four years.
 - a. Motorized Pavement Replacement – 50%
 - b. Active Transportation Pavement Replacement – 50%
- C. **Active Transportation** = 15-30% of the total AMATS allocation averaged over the four years.
- D. **STBG funding for CMAQ eligible projects** = 10-15% of the total AMATS allocation above the CMAQ allocation averaged over the four years, then sub-allocated to:
- E. **Plans and Studies** = 5-10% of the total AMATS allocation averaged over the four years.

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AMATS P&P No. 4 Transportation Improvement Programs Format and Development

- A Roadway Table:
- a. Grandfathered projects will be listed at the top of the roadway table. Projects that are grandfathered will carry the same order from their original TIP. Grandfathered projects will not have a rank and will not be scored.
 - b. The Pavement Replacement Program will be listed after the grandfathered projects in the roadway table and will not have a rank and will not be scored. If a project scope changes, then the project must be removed from the program, ranked and scored and placed within the TIP or Needs List accordingly.
 - c. All other items listed in the Roadway Table, except as provided by (a), (b) above will be ranked and scored.
 - d. The Roadway Table may include other items besides specific road projects that benefit the road network.
- B Enhancement Table:
- a. Grandfathered projects will be listed at the top of the enhancement table. Projects that are grandfathered will carry the same order from their original TIP. Grandfathered projects will not have a rank and will not be scored.
 - b. The Trail Rehabilitation Program will be listed after the grandfathered projects in the enhancement table and will not have a rank and will not be scored.
 - c. All other items listed in the Enhancement Table, except as provided by (a), (b) above will be ranked and scored.
 - d. The Enhancement Table may include other items besides specific enhancement projects that benefit the trail network. (Example; Pedestrian Coordinator, etc.)
- C CMAQ Table
- a. The CMAQ Table will consist of Four Categories.
 - i. SIP-Mandated Projects and Programs. Items in this category do not get ranked and scored.
 - ii. Studies and Plans. Items in this category do not get ranked and scored.
 - iii. Programs. Programs will be ranked and scored amongst other nominations in this category.
 - iv. Projects. Projects will be scored and ranked amongst other nominations in this category.

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AMATS P&P No. 4 Transportation Improvement Programs Format and Development (continued)

D Scoring:

- a. **Roadway projects** will be scored using the latest AMATS Policy Committee approved Roadway ranking criteria. AMATS shall allocate Road Project funding for all publicly owned roadways, regardless of ownership (MOA or State) and regardless of classification (National Highway System or Non-National Highway System) based on the ranking and scoring using the same objective criteria. When allocating funding to the National Highway System as part of the Statewide Transportation Improvement Program, ADOT&PF will consider the proposed NHS scoring and ranking, and ADOT&PF will continue to establish the funding for NHS projects in cooperation with AMATS in accordance with USC title 23 Section 134 (i)(4)(B).
 - i. The Road Project Scoring Group will include; representatives from MOA Traffic, Project Management & Engineering, Public Transportation and Planning Department, and ADOT&PF Preconstruction Engineering and ADOT&PF Planning.
 - ii. In addition, a member to the AMATS Citizen Advisory Committee (MOA's Planning & Zoning Commission) selected by their Chair, will be invited to participate. A representative from the Federation of Community Councils, selected by the FCC, and a representative of the AMATS Freight Advisory Committee will be invited to participate in the scoring process. Note: the individual representing the FCC will not be allowed to rank and score projects within their respective council.
 - iii. Invited members' (P&Z, FAC and FCC representatives) participation is not required for valid scoring and their voting is for advisory purposes only.

- b. **Transportation Enhancement Projects** be scored using the latest AMATS Policy Committee approved Enhancement ranking criteria. All publicly owned facilities that meet the definition and intent of eligible transportation enhancements will be ranked and scored using the same objective criteria.
 - i. The Enhancement Scoring Group will include: representatives from MOA Traffic, Project Management & Engineering (Trails Coordinator) and Planning Department, and ADOT&PF Preconstruction Engineering and ADOT&PF Planning. Consultation with MOA's Parks and Recreation Department and if necessary with AK State Parks on projects requiring their maintenance and/or operational commitments will be done.
 - ii. In addition a representative from the Federation of Community Councils, selected by the FCC, will be invited to participate in the scoring process.
 - iii. Invited members' (FCC representatives) participation is not required for valid scoring and their voting is for advisory purposes only.

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AMATS P&P No. 4 Transportation Improvement Programs Format and Development (continued)

- c. **Congestion Mitigation & Air Quality** scoring will use the latest AMATS Policy Committee approved CMAQ ranking criteria.
 - i. The CMAQ Scoring Group will include: representatives from AMATS to include representatives from MOA Public Transportation and Health & Human Services Department, and ADEC's Air Quality Division and ADOT.
 - ii. In addition a representative from the Federation of Community Councils, selected by the FCC, will be invited to participate in the scoring process as well as a representative from the AMATS Citizen Air Quality Advisory Committee (AAQAC).
 - iii. Invited members' (FCC and AAQAC representatives) participation is not required for valid scoring and their voting is for advisory purposes only.

E Illustrating Earmarks. Earmarks are federally funded projects that are direct appropriations to particular capital projects. The source of the Earmark requests are from a variety of sources and typically not known to AMATS until they appear in an appropriation bill. As a federal requirement that all federally funded transportation improvements be illustrated in the TIP, the following will apply for an earmark:

- a. The project will be illustrated in a separate table within the TIP for information and administrative approval so that they may proceed.
- b. It will be the responsibility of the source of the earmark to notify AMATS of such earmarks and to identify the source of local match.

AMATS P&P No. 5 Trigger Events

AMATS approval is required when projects or the program as a whole require adjustments with Scope Changes, Deliverability or Cost Estimate Revisions as outlined below.

Definitions

- **Project Scope Changes**
Scope changes are anything outside of the original scope of work as defined during the nomination and ranking process, excluding those things necessary to deliver the project as originally scoped. Examples of scope change: project expansion, change in termini, HSIP or Repave Project becomes full Reconstruction, etc.
- **Project Deliverability Concerns**
Due to ROW/Utility concerns or other unforeseen issues a project's ability to obligate is delayed or estimated to push back beyond ability to obligate current year funding.
Deadlines:
 - **March 1** Projects delivered to DOT & PF for current year construction
 - **July 1** Project delivery to DOT & PF for obligation of current year funds
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August 1 Project status report to TAC & PC

August 15 PC decisions to balance program based on changes needed

- Cost Estimate Revisions

Project needs additional funding to complete a phase in order to move into the next phase of development. Examples of situations that may require additional funding are unforeseen environmental, design, public involvement, survey/mapping, ROW/Utilities costs, or unforeseen issues in the field. Latest engineer's construction estimates may change because of these changes in previous phases or from the need to increase or upgrade materials during late design phases.

PC Approval Required

- Quarterly reports will be presented to the Policy Committee that compares the programmed project funds, as approved in the TIP, with the latest projected estimate of need.

Based on the latest estimate,

- 1st Quarter Federal Fiscal Year (FFY) the program will be balanced within 15% of the total Non-NHS program
- 2nd Quarter FFY the program will be balanced within 10% of the total Non-NHS program
- 3rd Quarter FFY the program will be balanced within 5% of the total Non-NHS program
- 4th Quarter FFY the Non-NHS will be balanced

Policy Committee will approve

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- All project scope changes or cost estimate revisions that increase funding for any phase (previously obligated phases, current year phases or future year phases) by more than
 - \$500,000 or
 - 50% of specific project phases, whichever is less

Recommendation by the TAC

- On any delay in delivery in a current year or any future phase as stated below so the PC can make decisions on balancing the AMATS program.

TAC Approval Required

Technical Advisory Committee will approve

- All project scope changes or cost estimate revisions that increase funding for any phase (previously obligated phases, current year phases or future year phases) by more than
 - \$250,000 and less than \$500,000 or
 - 25% of specific project phases, whichever is less.

Recommendations to the PC

- On delays in delivery in current year or any future phase so the PC can make decisions on balancing the AMATS program.

Recommendations from Staff to the TAC

- On delays in delivery as indicated below.

- *Informational report to Policy Committee*

Staff Approval

Staff will approve

- All project scope changes or cost estimate revisions that increase funding for any phases (previously obligated phases, current year phases or future year phases) that are less than
 - \$250,000 or
 - 10% of specific project phases, whichever is less.

Recommendation to the TAC

- On delays in delivery in current year or delays in delivery of any phase so TAC can make recommendations to the PC to balance the AMATS program.

- *Informational report to Technical Advisory Committee*

Other Considerations

- Construction: Projects already under construction that have unexpected cost increases will move forward, with discretion in change orders, as long as the change is due to totally unforeseen circumstances such as poor soil, drainage or utility conflicts, and is not due to a Change of Scope. *Informational report will be made to the TAC and the PC.*

- Project schedules will change due to unforeseen circumstances not related to funding increases. Changes in or delays in deliverability due to these unforeseen circumstances (such as utility agreement conflicts or ROW acquisition/condemnation) will be brought to the attention of the Policy Committee after reporting to the TAC.

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AMATS P&P No. 6

Use of Standardized Socioeconomic Data for Transportation Modeling

- A. The AMATS TAC shall adopt standardized household/employment forecasts and sub-area allocations for use in modeling all transportation plans, programs and regionally significant projects that require approval by AMATS.
- a. Every four years, and at least two years prior to the required submission date of an MTP, AMATS shall prepare and adopt a report outlining household/employment forecasts and sub-area (TAZ) allocations to be used for transportation modeling of the MTP, subsequent TIPs and regionally significant projects included therein. The first report shall be prepared no later than June 1, 2014.
 1. The report shall document and discuss the sources of data used to prepare regional household and employment forecasts for areas within the geographic areas included in the AMATS transportation model. The report shall also explain the methods and assumptions used to generate the sub-area allocations from the aggregate regional data.
 2. The report shall provide household and employment projections and sub-area allocations at intervals not exceeding 10 years from the base year (the year that the transportation model was last validated) through the horizon year of the MTP. The report should include the methodology to be used for interpolating household and employment forecasts for intervening years.
 3. AMATS shall make all reasonable efforts to make available all data resources on the AMATS website, provided that such disclosure is consistent with applicable law, including laws related to privacy.
 - b. The AMATS TAC shall coordinate with the Mat Su Borough, AK DOT&PF, and other entities with an expressed interest in regional transportation modeling when it develops standardized household/employment forecasts and sub-area allocations. If AMATS adopts or incorporates travel demand data from a consultant or other entities, then the outputs must meet FHWA validation report requirements. Consultants and other entities should refer to the procedures listed in the AMATS travel model application checklist (to be developed) for further guidance. AMATS' goal is to develop a single socioeconomic forecast that serves regional transportation modeling needs in the Anchorage/Mat Su region.
- B. The AMATS TAC may amend the standardized forecast and allocations upon the receipt of new or improved data, assumptions and/or forecasting methodology.
- a. Any entity seeking to deviate from the standardized forecast or sub-area allocation shall propose an amendment to the TAC for approval. The proposal shall document the change proposed and the rationale for the change. The TAC shall make a determination on whether to accept the proposed amendment.
 - b. The AMATS TAC shall notify the Mat Su Borough, AK DOT&PF, and other entities with an expressed interest in regional transportation modeling of the proposed change and seek and consider their comments.
 - c. Once adopted by the AMATS TAC, the amended forecast and allocations shall serve as the standard for future transportation modeling.