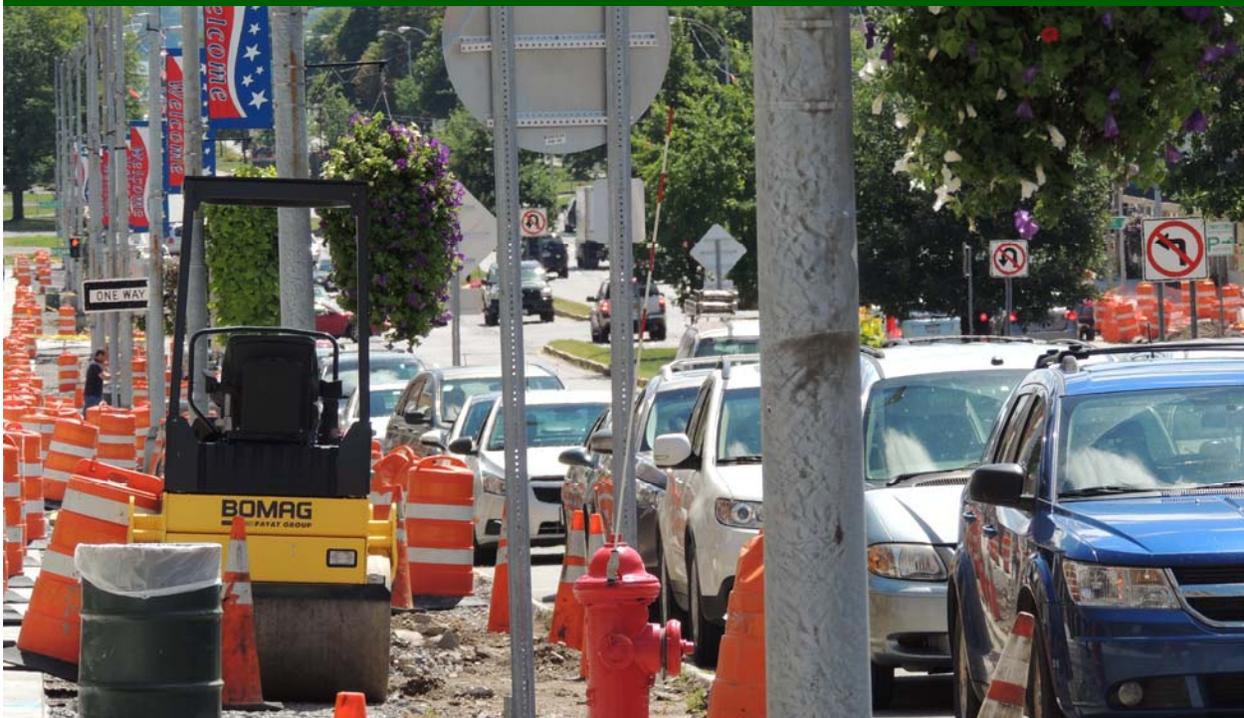


# 2020-2023 Transportation Improvement Program GUIDEBOOK



**GENESEE TRANSPORTATION COUNCIL**

September 5, 2018

**This Guidebook is a tool intended to help Project Applicants complete the TIP application. To make this Guidebook as useful and helpful as possible, GTC welcomes your feedback. Please contact Alex Kone, GTC Assistant Director, with your comments and/or suggestions.**



## Program Contacts

### 2020-2023 Transportation Improvement Program

For information on the TIP Process, completing applications, highway condition and traffic volumes, and the Regional Trails Initiative, contact:

Alex Kone                      GTC Assistant Director  
  
Phone: (585) 232-6240  
Fax:    (585) 262-3106  
E-Mail: akone@gtcmpo.org

For information on the TIP Process, completing applications, and bridge information, contact:

Joel Kleinberg                NYSDOT-Region 4 Planning and Program Management  
  
Phone: (585) 272-3459  
Fax:    (585) 427-8376  
E-Mail: Joel.Kleinberg@dot.ny.gov

For information on travel times/congestion, the *Intelligent Transportation Systems Strategic Plan for Greater Rochester*, and the Rochester-Genesee Regional ITS Architecture contact:

Joseph Bovenzi              GTC Program Manager  
  
Phone: (585) 232-6240  
Fax:    (585) 262-3106  
E-Mail: jbovenzi@gtcmpo.org

For information on *Transportation Strategies for Freight and Goods Movement in the Genesee-Finger Lakes Region* (i.e., the freight plan for the region) contact:

Alex Kone                      GTC Assistant Director  
  
Phone: (585) 232-6240  
Fax:    (585) 262-3106  
E-Mail: jstack@gtcmpo.org



# TABLE OF CONTENTS

## CHAPTER

1	INTRODUCTION	
	Preface .....	1
	What is the TIP? .....	1
	What Geographic Area Does the TIP Cover? .....	2
	What Types of Projects Should be Included in the TIP? .....	2
	Are There Guidelines for Developing Cost Estimates? .....	3
	How Soon Can a Project be Funded? .....	3
	Who Can Submit Project Proposals? .....	3
	What Agencies are Involved in TIP Development? .....	3
	How are Projects Selected for the TIP? .....	3
	How are Project Proposals Submitted for the TIP? .....	4
	Exhibit 1 – Goals and Objectives – GTC Long Range Transportation Plan .....	5
	Exhibit 2 – GTC/NYS DOT TIP Planning Region and Rochester Metropolitan Planning Area (Map) .....	7
2	TIP DEVELOPMENT PROCESS	
	Confirm TIP Development Process .....	9
	Solicit Project Proposals .....	9
	Prepare and Submit Project Proposals .....	9
	Project Evaluation .....	9
	Prepare Preliminary List of TIP Projects .....	10
	Committee Review and Recommendations of Draft TIP .....	11
	Public Involvement .....	11
	State/Federal Agency Review of Draft TIP .....	11
	Approve Final TIP .....	12
	Publish and Distribute Final TIP Document .....	12

## APPENDICES

A	Eligible Project Types by Funding Program .....	13
B	Project Evaluation Criteria .....	19
C	TIP Development Schedule .....	25
	Transportation Acronyms .....	28
	Project Application Form .....	External Link



## CHAPTER I: INTRODUCTION

Federal regulations require that the metropolitan transportation planning process include the cooperative development of the Transportation Improvement Program (TIP), a staged multi-year program of projects consistent with the Long Range Transportation Plan (LRTP). This region's TIP is developed cooperatively by a team led by the Genesee Transportation Council (GTC) staff and New York State Department of Transportation-Region 4 (NYSDOT-4) staff.

This Guidebook describes the development process for this region's 2020-2023 TIP, encompassing the federal fiscal years beginning October 1, 2019 and concluding September 30, 2023.

### Preface

On December 4, 2015, the Fixing America's Surface Transportation (FAST) Act was signed into law. The FAST Act authorized federal surface transportation programs through September 30, 2020. Consequently, the parameters for surface transportation programs are subject to change as the TIP is being developed and a new authorization is negotiated in Congress. However, given the time needed to develop the TIP, it is prudent to begin the process and make necessary adjustments along the way.

Based on FAST Act funding apportionments, recent deliberations by Congress, and NYSDOT TIP/STIP Policy Guidance from the last TIP, there will continue to be mandated emphasis on major roadways and preservation of existing pavements and bridges.

As part of the last TIP, NYSDOT revised its policy for the Marchiselli Program to guide transportation infrastructure investment decisions toward NYSDOT-approved system preservation strategies. It is anticipated that priority consideration for Marchiselli program funds will continue to be provided to municipalities that embrace these preservation strategies. Examples of Preservation Project Types are single course hot mix overlays, mill and fill, cold recycling with overlay, and element-specific work for bridges. Applicants must be prepared to deliver projects without financial assistance from the State.

NYSDOT will consider the use of Marchiselli funds for locally-sponsored projects that are beyond preservation. For these projects, the local sponsor will be required to submit additional information and project justification for review and approval/disapproval by NYSDOT.

Regardless of the decisions related to the Marchiselli Program, project sponsors are expected to deliver their projects on schedule as failure to do so directly impacts the region's ability to fully utilize available federal funds, and amounts to lost opportunities for all communities.

### What is the TIP?

The TIP identifies the timing and funding of all highway, bridge, transit, bicycle, pedestrian, and other surface transportation projects scheduled for implementation over the next four years that use federal transportation funds.

The TIP reflects the priorities and direction of the region and its state and federal partners in the transportation planning process. The TIP and the projects it contains must be consistent with the goals and objectives identified in the current LRTP for the region ([Exhibit 1](#)).

The TIP is part of this region's planning process as required by the federal government for the receipt of federal transportation funding. The federal government requires that the TIP be updated at least every four years and adopted by the Metropolitan Planning Organization (MPO) – in this region, the Genesee Transportation Council.

The TIP development process involves only projects eligible for federal aid. However, the TIP document may include, for informational purposes, non-federally funded transportation projects occurring in the TIP Area.

### What Geographic Area Does the TIP Cover?

The TIP covers the seven-county area that includes Genesee, Livingston, Monroe, Ontario, Orleans, Wayne, and Wyoming counties (i.e., the TIP Area).

Within the seven-county TIP area, GTC is responsible for programming projects in the Rochester Metropolitan Planning Area (MPA) and NYSDOT-4 is responsible for programming projects outside the MPA. The MPA includes all of Monroe County, plus the adjacent densely settled areas of Ontario, Livingston, and Wayne Counties ([Exhibit 2](#)).

GTC and NYSDOT-4 work together to coordinate the programming of all projects in the seven-county TIP area.

### What Types of Projects Should be Included in the TIP?

Federal regulations require that any transportation project within the MPA that is to be funded with U.S. Department of Transportation funds (federal transportation funding) must be included in the TIP.

The types of projects listed below are eligible for federal transportation funding. Any municipality or agency desiring federal transportation funding to advance any of the project types listed below should submit a project proposal to be considered for inclusion in the TIP. A more detailed listing of eligible projects is presented in [Appendix A](#).

- Projects on the federal aid system (e.g., road and bridge construction, reconstruction, resurfacing, restoration, rehabilitation, preventive maintenance, Intelligent Transportation Systems deployment, etc.)
- Public transportation projects (e.g., vehicle maintenance and operations, capital improvement projects, mass transit system construction, etc.)
- Projects that are not on the federal aid system but may be eligible for federal funding for other reasons (e.g., safety initiatives, bridge projects, bicycle and pedestrian facilities, Intelligent Transportation Systems deployment, etc.)
- Bridge preventive maintenance projects that address Element-Specific Bridge Work as identified in Table BSD-3 of the NYSDOT Engineering Instruction (EI 06-006) dated March 26, 2006. In addition, bridge painting and membrane replacements with asphalt

overlays will be considered for funding. Other Element-Specific *Cyclical* Bridge Work identified in Table BSD-3 of EI 06-006 will not be considered for funding.

### Are There Guidelines for Developing Project Cost Estimates?

Please contact Joel Kleinberg at NYSDOT-Region 4 (see Program Contacts page) for unit cost information for various types of projects.

### How Soon Can a Project be Funded?

The 2020-2023 TIP is an update to the current 2017-2020 TIP. Accordingly, *projects added as part of this update will likely be programmed for implementation in the last three years of the four-year program* (i.e., between October 1, 2020 and September 30, 2023).

### Who Can Submit Project Proposals?

Any county, city, town, or village in the seven-county TIP area (Genesee, Livingston, Monroe, Ontario, Orleans, Wayne, and Wyoming counties) as well as NYSDOT, the New York State Thruway Authority, and the Rochester Genesee Regional Transportation Authority (RGRTA) can submit project proposals for the TIP. Private and not-for-profit organizations can submit proposals if the project is sponsored by the local government in which the project will be located.

### What Agencies are Involved in TIP Development?

The FAST Act maintains the requirement that the MPO of an area work with the State Department of Transportation and other transportation agencies to develop the TIP. Consistent with the FAST Act, GTC and NYSDOT work as a cooperative team with other interested parties to develop and manage this region's TIP.

GTC has established a TIP Development Committee (TDC) to guide the TIP development process. The TDC is comprised of representatives from the MPA Counties (Livingston, Monroe, Ontario, and Wayne), the City of Rochester, RGRTA, and NYSDOT. The TDC also meets regularly to assist GTC and NYSDOT in maintaining the TIP between updates, including the review of substantive changes in projects that may require amending or modifying the adopted TIP.

### How are Projects Selected for the TIP?

The GTC/NYSDOT team scores all project proposals pursuant to the performance-based Project Evaluation Criteria included in [Appendix B](#). The resulting scores provide a basis for the preliminary ranking of project proposals. These preliminary rankings are reviewed and discussed by the TDC and adjustments to rankings are made as necessary to reflect overall funding considerations, geographic balance, and other factors not specifically captured by the Project Evaluation Criteria. Based on estimates of available revenue, funding is then assigned to the ranked projects in accordance with funding availability and eligibility restrictions.

A draft TIP document is developed and made available for public review and comment (including at least three public meetings) in order to solicit input on the proposed program of projects. The draft TIP, public comments, and suggested revisions (incorporating the consideration of public comments) are presented to and considered by the GTC Planning Committee. The GTC Planning Committee then sends its recommended TIP to the GTC Board for its consideration. The 2020-2023 TIP Development Schedule is presented in [Appendix C](#) and provides details on timing.

#### How are Project Proposals Submitted for the TIP?

Applicants must submit a complete application package consisting of the following:

1. **Pre-Application (Optional)** – Part 1 of the *2020-2023 Transportation Improvement Program Project Application Form* is the Pre-Application. A separate *Application Form* must be completed for each project for which federal funds are requested. This form can be saved for each project and the responses edited for the final application submission.
  - **Due: October 5, 2018**
2. **Pre-Application Review Meetings (Optional)** – The meetings are an opportunity for sponsors to discuss a preliminary review of projects' draft scope, budget, and schedule included in Part 1 of the *Application Form*. These optional meetings require completion of the Part 1.
  - **By Appointment: October 15-19, 2018**
3. **Final Application** – The final application includes both Parts 1 and 2 of the *2020-2023 Transportation Improvement Program Project Application Form*. A separate TIP Project Application Form must be completed for each new project and each existing TIP project for which additional federal funds are requested.
  - **Due: November 9, 2018**

The *Application Form* includes entries for attachments including the two required:

- a) **8 ½ x 11 black & white photocopy-ready map** illustrating project location and boundaries for each project. If the proposed project is near a municipal boundary, please show the adjacent areas to provide context for the project
- b) **Electronic Signature** by an authorized representative of the applying jurisdiction or agency. No cover letter is required.

All applications must be **submitted online**. This form can be saved for each project and the responses edited; users can print the application when complete.

**GOALS & OBJECTIVES**  
**Long Range Transportation Plan**

The current adopted *Long Range Transportation Plan for the Genesee-Finger Lakes Region 2040* identifies the following goals and objectives:

- 1. Support the economic vitality of the metropolitan area, especially by enabling global competitiveness, productivity, and efficiency**
  - A. The transportation system should support balanced community and economic development of the metropolitan area
  - B. The transportation system should be a distinguishing competitive feature of the metropolitan area relative to other areas, serving the needs of existing businesses and enhancing the region's attractiveness to new business
  
- 2. Increase the safety of the transportation system for motorized and non-motorized users**
  - A. Transportation designs, services, and education programs should enhance and protect life, health, and property
  
- 3. Increase the ability of the transportation system to support homeland security and to safeguard the personal security of all motorized and non-motorized users**
  - A. The transportation system, and its associated programs and services, should support both national and personal security initiatives
  
- 4. Increase the accessibility and mobility options available to people and freight**
  - A. The transportation system should provide the capacity, coverage, and coordination necessary to provide mobility to the region's population and commercial activities in a fashion consistent with the overall intent of Goal 1
  - B. Reasonable travel alternatives should be available to all persons in the area regardless of age, physical or mental ability, and/or income
  
- 5. Protect and enhance the natural environment, cultural heritage and community appearance, and promote energy conservation**
  - A. Transportation planning and decision making should support and reinforce local land use and development objectives
  - B. Transportation planning and decision making should recognize local priorities balanced with broader community goals
  - C. Transportation planning and decision making should strive to address issues on a corridor level, recognizing both the multi-jurisdictional component of travel and the interrelationship between transportation and non-transportation policies and investments
  - D. The transportation system should encourage the efficient use of non-renewable energy resources and the exploration of renewable alternatives

- E. Transportation planning and decision making should strive to embrace designs and processes that respect the natural environment and enhance the overall contribution of the transportation system to community livability

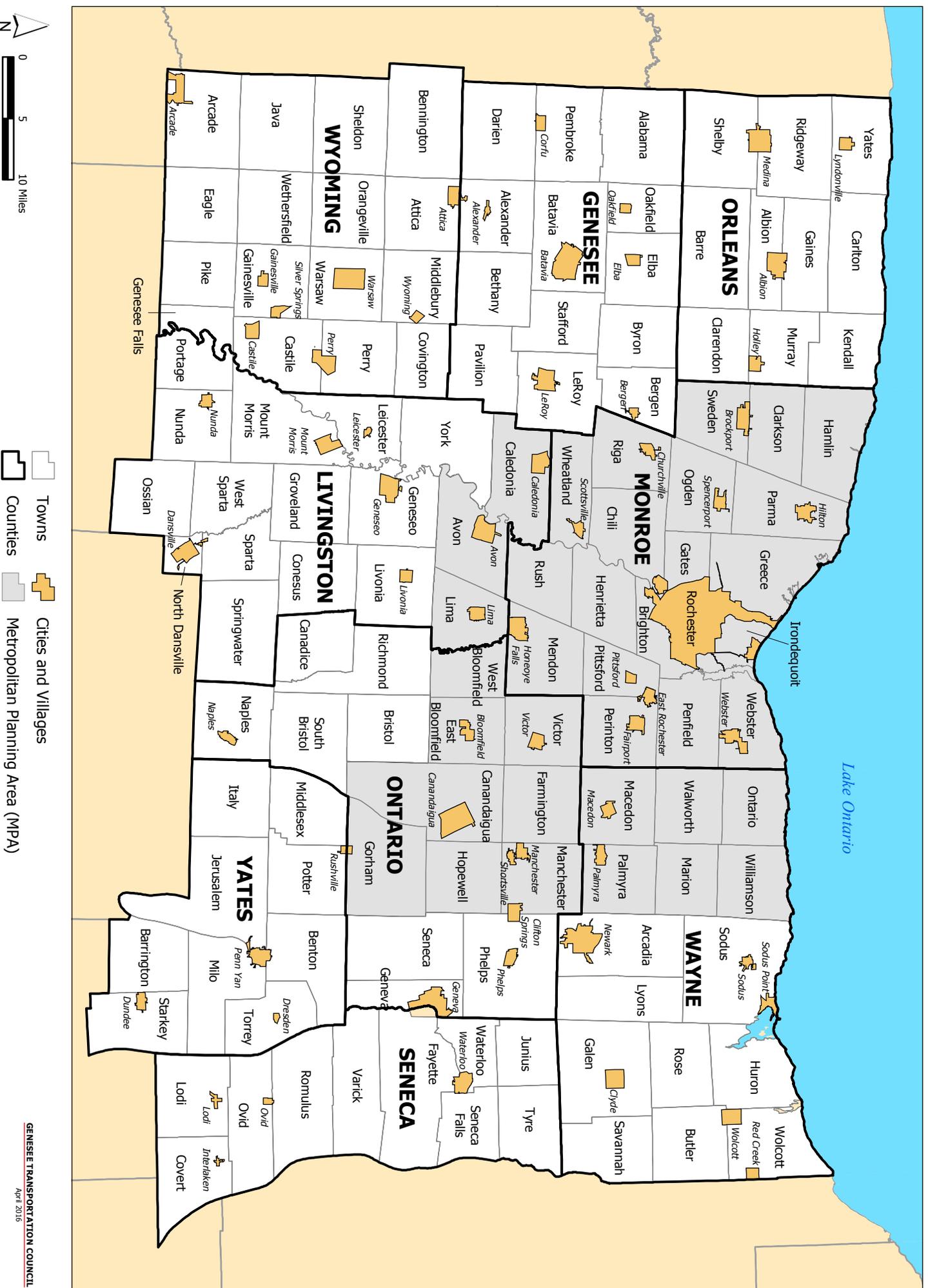
**6. Promote efficient system management and operations**

- A. The transportation system should be designed and managed in a fashion that minimizes lifetime maintenance and user costs
- B. Transportation investments should advance the Long Range Transportation Plan's goals and objectives in a fashion which maximizes benefits relative to costs
- C. Transportation and land use planning should be integrated in a fashion that optimizes the use of existing transportation and other municipal infrastructure
- D. Transportation investments should be guided by cooperative planning, design, and maintenance standards to promote system continuity and uniformity across jurisdictional boundaries

**7. Facilitate partnerships in planning, financing, and the execution of transportation initiatives**

- A. The transportation planning and decision making process should be multi-jurisdictional, fostering coordination and cooperation among local, county, state, and federal governments, concerned agencies, and the private sector
- B. The transportation planning process should be conducted in as open and visible a manner as possible, encouraging community participation and interaction between and among citizens, professional staff, and elected officials
- C. Financial and non-financial support for transportation initiatives should be provided by all levels of government and the private sector in a fashion which reflects their relative responsibilities for, and/or benefits from, the initiatives and related economic and social impacts
- D. Innovative financing/partnerships for transportation initiatives that reflect the full scope of interests impacted or served should be explored
- E. Transportation and transportation-related information resources should be developed and shared in a fashion that promotes informed public and private sector decision making
- F. Awareness should be promoted regarding the impact of individual, public, and private sector decisions on the quality of mobility and the potential impact of these decisions on others

# GTC Nine-County Planning Region & Rochester Metropolitan Planning Area





## CHAPTER 2: TIP DEVELOPMENT PROCESS

The TIP development process consists of the steps listed below. The Development Schedule for the 2020-2023 TIP is included in [Appendix C](#).

### 1. Confirm TIP Development Process (August 2018)

At the beginning of each TIP cycle, the TDC confirms the process for that cycle. The TDC considers federal and state guidance, regional transportation investment priorities, project evaluation criteria, the development schedule, and other process elements, as appropriate. Any substantive changes in the TIP Development Process are reviewed by the GTC Planning Committee and/or the GTC Board.

### 2. Solicit Project Proposals (September 2018)

The GTC/NYS DOT-4 team sends a joint "Call for Projects" email and postcard to GTC member agencies and the appropriate officials of eligible counties, municipalities, and authorities to notify these officials of the opportunity to submit project proposals. The TIP Guidebook, application, and other relevant materials are made available for download via the GTC website.

The announcement is also sent to private and not-for-profit organizations that have requested TIP notification. *These groups may submit project proposals only if a local government has formally agreed to sponsor the proposed project.*

### 3. Prepare and Submit Project Proposals (September to early-November 2018)

#### a. **TIP Applicant Workshop** (Optional) – **September 18, 2018 at 2:00 p.m.**

- Location: NYSDOT-Region 4 Office, 1530 Jefferson Road, Henrietta

The workshop will include a brief presentation, after which GTC and NYSDOT-4 staff will answer questions from prospective applicants on the TIP application process and provide any clarification regarding the information requested on the proposal forms. All interested individuals are welcome to attend this workshop.

#### b. **Pre-Application** (Optional) – **October 5, 2018**

- Online Form (Part 1)

#### c. **Pre-Application Review Meetings** (Optional) – **October 15-19, 2018**

- Location TBD
- By Appointment

#### d. **Final Application** – **November 9, 2018, 4:00 p.m.**

- Online Form (Parts 1 & 2)

Applicants have until **Friday, November 9, 2018** (approximately eight weeks) to prepare and submit project applications in accordance with instructions provided in this TIP Guidebook.

If additional assistance is needed to complete the Project Application Form(s), applicants may also contact Alex Kone or Joel Kleinberg (see Program Contacts at the beginning of this Guidebook).

#### 4. Project Evaluation (November to December 2018)

The TIP Development Process provides objective evaluation of each project application. However, the TIP **must** be limited to available funding resources, as well as balanced by project type and geographic area. Therefore, it is all but certain that not all submitted applications can or will be included in the final TIP.

All proposed TIP projects will be evaluated using the following two-step process:

##### 1. TIP Eligibility Screening

Each project must meet certain minimum requirements. The following questions will be asked of each application:

- Is the proposed project eligible for federal transportation funding?
- Is the proposed project consistent with the goals and objectives of the LRTP?

The GTC/NYS DOT-4 team will use the information provided in the project applications to complete the screening process. Once it is determined that a project meets the minimum screening requirements, the project will undergo detailed Project Evaluation.

##### 2. Project Evaluation

The GTC/NYS DOT-4 team will assess each eligible project relative to the overall and mode-specific Project Evaluation Criteria (summarized in [Appendix B](#)).

The scores that result from this assessment provide a preliminary basis for ranking project proposals within each mode (Highway, Bridge, Public Transportation, Bicycle & Pedestrian Transportation, System Management and Operations, Goods Movement, and Other). In addition, the GTC/NYS DOT-4 team determines if the applicant has reasonable cost estimates and the capacity to complete the project within the proposed schedule.

#### 5. Prepare Preliminary List of TIP Projects (early-December 2018 to mid-January 2019)

The preliminary rankings are reviewed and discussed with the TDC, and adjustments to the rankings are made as necessary to reflect overall funding considerations, mobility impacts, geographic balance, environmental justice, and other system-level issues or factors not specifically captured by the Project Evaluation Criteria.

Based on available revenue estimates, funding is assigned to the ranked projects in accordance with funding availability, eligibility restrictions (as outlined in [Appendix A](#)), and timing considerations. This is a delicate optimization process in which the GTC/NYS DOT-4 team attempts to fund as many of the highest-rated project proposals as possible within the amount of available funding.

Note that the TIP must be *financially constrained*. That is, the total amount of funds programmed for projects in the TIP for the four-year period must not exceed the projected total amount of funds available to the TIP Area for that period. The GTC/NYS DOT-4 team must ensure that the test of financial constraint is met for each of the federal transportation funding categories programmed in the TIP by Federal Fiscal Year (Oct. 1 to Sept. 30).

6. Committee Review and Recommendation of Draft TIP (mid-January to late-January 2019)

The preliminary list of TIP projects and funding assignments that emerge from the previous step constitutes the basis of the Draft TIP. The Draft TIP is presented to the TDC for their consideration and recommendation to the GTC Planning Committee. Based on TDC and GTC Planning Committee consideration and recommendations, a Draft TIP document is prepared for public review.

7. Public Involvement (mid-February to mid-March 2019)

The program of projects (i.e., list of projects) proposed to be included in the 2020-2023 TIP is made available for public review and comment. The Draft TIP, public comments, and suggested revisions based on public comments are reviewed by the GTC Planning Committee prior to recommendation to the GTC Board.

Note that the principal public review concerns at this stage are related to assuring that projects are consistent with the LRTP and address the most pressing regional needs (e.g., safety, access, mobility, etc.). Public involvement to address issues related to individual projects is most appropriately conducted by the project sponsor as the project is developed.

New projects that were not submitted by the November 9, 2018 application due date cannot be introduced or considered at this time.

If the GTC Planning Committee agrees that there is sufficient public comment to warrant a change to the proposed program of projects, a revised program of projects will be issued for a subsequent 10-day review in late-April 2019 in order to solicit public input.

8. State/Federal Agency Review of Draft TIP (mid-April to mid-May 2019)

Following the public review period and subsequent TDC and GTC Planning Committee consideration and recommendations, the GTC/NYS DOT-4 team will prepare and forward a recommended program of TIP projects for review by the appropriate State and Federal agencies, including but not limited to NYSDOT-Main Office (Albany), the Federal Highway Administration, and the Federal Transit Administration. Note, this step will be delayed if a subsequent 10-day review is conducted.

9. Approve Final TIP (May to June 2019)

Following review by state and federal agencies, the final TIP document will be presented to the GTC Planning Committee for recommendation to the GTC Board. The GTC Board is responsible for adopting the final TIP.

10. Publish and Distribute Final TIP Document (August 2019)

Following adoption by the GTC Board, GTC staff will publish the TIP electronically via the GTC website. Effective October 1, 2019, this document becomes the basis for continuous management of transportation investments in the region.

## Appendix A

### Eligible Project Types by Funding Program

Applicants are not expected to identify potential funding sources for projects. This information is included only to illustrate the various types of projects that are eligible for specific funding programs.

As noted earlier, the FAST Act extends through September 30, 2020. Continuing resolutions or a new authorization is expected prior to that date. Consequently, the parameters for surface transportation programs are subject to change while the TIP is being developed. The funding programs and respective project eligibility may change from what is presented in this Appendix. These programs and their respective eligible activities have mostly remained constant between MAP-21 and the FAST Act and most likely will be applicable for a future surface transportation reauthorization.

Project sponsors are encouraged to pursue projects using the current program eligibility with the expectation of similar eligibility requirements under new surface transportation legislation.



## National Highway Performance Program

The National Highway Performance Program (NHPP) provides support for the condition and performance of the National Highway System (NHS), for the construction of new facilities on the NHS, and to ensure that investments of Federal-aid funds in highway construction are directed to support progress toward the achievement of performance targets established in a State's asset management plan for the NHS.

Under the FAST Act, the enhanced NHS is composed of approximately 220,000 miles of rural and urban roads serving major population centers, international border crossings, intermodal transportation facilities, and major travel destinations. It includes:

- All Principal Arterials (including the Interstate System) and border crossings on those routes;
- Intermodal connectors -- highways that provide motor vehicle access between the NHS and major intermodal transportation facilities;
- STRAHNET -- the network of highways important to U.S. strategic defense; and
- STRAHNET connectors to major military installations.

The following types of projects\* are eligible for NHPP funds per 23 USC 119(d):

- a) Construction, reconstruction, resurfacing, restoration, rehabilitation, preservation, or operational improvement of segments of the NHS. The terms "Construction" and "Operational improvement" are defined in 23 U.S.C. 101(a).
- b) Construction, replacement (including replacement with fill material), rehabilitation, preservation, and protection (including scour countermeasures, seismic retrofits, impact protection measures, security countermeasures, and protection against extreme events) of bridges on the NHS.
- c) Construction, replacement (including replacement with fill material), rehabilitation, preservation, and protection (including impact protection measures, security countermeasures, and protection against extreme events) of tunnels on the NHS.
- d) Inspection and evaluation, as described in 23 U.S.C. 144, of bridges and tunnels on the NHS, and inspection and evaluation of other highway infrastructure assets on the NHS. This includes, but is not limited to, signs, retaining walls, and drainage structures.
- e) Training of bridge and tunnel inspectors, as described in 23 U.S.C. 144.
- f) Construction, rehabilitation, or replacement of existing ferry boats and ferry boat facilities, including approaches that connect road segments of the NHS. Eligible ferry approaches are described in 23 U.S.C. 129(b). Eligible ferry boats and facilities are described in 23 U.S.C. 129(c).
- g) Construction, reconstruction, resurfacing, restoration, rehabilitation, and preservation of, and operational improvements for, a Federal-aid highway not on the NHS, and construction of a transit project eligible for assistance under chapter 53 of title 49, U.S.C., if-
  - i. the highway project or transit project is in the same corridor as, and in proximity to, a fully access-controlled highway on the NHS;
  - ii. the construction or improvements will reduce delays or produce travel time savings on the fully access-controlled highway described in clause (i) and improve regional traffic flow; and

- iii. the construction or improvements are more cost-effective, as determined by benefit-cost analysis, than an improvement to the fully access-controlled highway on the NHS.
- h) Bicycle transportation and pedestrian walkways in accordance with 23 U.S.C. 217. The project or activity must be associated with an NHS facility.
- i) Highway safety improvements on the NHS. The term "Safety improvement project" is defined in 23 U.S.C. 101(a).
- j) Capital and operating costs for traffic and traveler information monitoring, management, and control facilities and programs. The project or activity must be associated with an NHS facility.
- k) Development and implementation of a State asset management plan for the NHS, including data collection, maintenance, and integration and the cost associated with obtaining, updating, and licensing software and equipment required for risk-based asset management and performance-based management.
- l) Infrastructure-based intelligent transportation systems capital improvements, including the installation of vehicle-to-infrastructure communication equipment. The project or activity must be associated with an NHS facility.
- m) Environmental restoration and pollution abatement in accordance with 23 U.S.C. 328. The project must be associated with an NHS facility.
- n) Control of noxious weeds and aquatic noxious weeds and establishment of native species in accordance with 23 U.S.C. 329. The project or activity must be associated with an NHS facility.
- o) Environmental mitigation efforts related to projects funded under this section, as described in 23 U.S.C. 119(g). The project or activity must be associated with an NHS facility.
- p) Construction of publicly owned intracity or intercity bus terminals servicing the NHS.
- q) Upon request of a State and subject to the approval of the Secretary, if Transportation Infrastructure Finance and Innovation Act (TIFIA) credit assistance is approved for an NHPP-eligible project, then the State may use NHPP funds to pay the subsidy and administrative costs associated with providing Federal credit assistance for the project. (23 U.S.C. 119(h)).
- r) Reconstruction, resurfacing, restoration, rehabilitation, or preservation of a bridge on a Federal-aid highway that is not on the NHS. To use this provision, States must ensure any obligations required under 119(f), NHS Bridge Condition requirements, are satisfied. The obligation requirements are discussed in Section F of this memorandum. (23 U.S.C. 119(i))
- s) A State may use funds apportioned under this section for projects intended to reduce the risk of failure of critical infrastructure in the State. In this subsection, the term "critical infrastructure" means, those facilities the incapacity or failure of which would have a debilitating impact on national or regional economic security, national or regional energy security, national or regional public health or safety, or any combination of those matters. This eligibility is limited to facilities that are eligible under 23 U.S.C. 119(j).
- t) Workforce development, training, and education activities under 23 U.S.C. 504(e).
- u) Preferential parking for carpools associated with an NHS facility, including the addition of electric vehicle charging stations or natural gas vehicle refueling stations, as provided for in 23 U.S.C. 137(f).

## Surface Transportation Block Grant Program

The Surface Transportation Block Grant Program (STBG) provides flexible funding that may be used by States and localities for projects to preserve and improve the conditions and performance on any Federal-aid highway, bridge and tunnel projects on any public road, pedestrian and bicycle infrastructure, and transit capital projects, including intercity bus terminals.

The following types of projects\* are eligible for STBG funds per 23 USC 133(b):

- a) Construction, as defined in 23 U.S.C. 101(a)(4), of the following:
  - i. highways, bridges, and tunnels, including designated routes of the Appalachian development highway system and local access roads under 40 U.S.C. 14501;
  - ii. ferry boats and terminal facilities eligible under 23 U.S.C. 129(c);
  - iii. transit capital projects eligible under chapter 53 of title 49, United States Code;
  - iv. infrastructure-based intelligent transportation systems capital improvements, including the installation of vehicle-to-infrastructure communication equipment;
  - v. truck parking facilities eligible under section 1401 of MAP-21 (23 U.S.C. 137 note); and
  - vi. border infrastructure projects eligible under section 1303 of SAFETEA-LU (23 U.S.C. 101 note).
- b) Operational improvements and capital and operating costs for traffic monitoring, management, and control facilities and programs. Operational improvement is defined in 23 U.S.C. 101(a)(18).
- c) Environmental measures eligible under 23 U.S.C. 119(g), 328, and 329, and transportation control measures listed in section 108(f)(1)(A) (other than clause (xvi) of that section) of the Clean Air Act (42 U.S.C. 7408(f)(1)(A)).
- d) Highway and transit safety infrastructure improvements and programs, including railway-highway grade crossings.
- e) Fringe and corridor parking facilities and programs in accordance with 23 U.S.C. 137 and carpool projects in accordance with 23 U.S.C. 146. Carpool project is defined in 23 U.S.C. 101(a)(3).
- f) Recreational trails projects eligible under 23 U.S.C. 206, pedestrian and bicycle projects in accordance with 23 U.S.C. 217 (including modifications to comply with accessibility requirements under the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.)), and the Safe Routes to School Program under section 1404 of SAFETEA-LU (23 U.S.C. 402 note).
- g) Planning, design, or construction of boulevards and other roadways largely in the right-of-way of former Interstate System routes or other divided highways.
- h) Development and implementation of a State asset management plan for the National Highway System (NHS) and a performance-based management program for other public roads.
- i) Protection (including painting, scour countermeasures, seismic retrofits, impact protection measures, security countermeasures, and protection against extreme events) for bridges (including approaches to bridges and other elevated structures) and tunnels on public roads, and inspection and evaluation of bridges and tunnels and other highway assets.

- j) Surface transportation planning programs, highway and transit research and development and technology transfer programs, and workforce development, training, and education under chapter 5 of title 23, United States Code.
- k) Surface transportation infrastructure modifications to facilitate direct intermodal interchange, transfer, and access into and out of a port terminal.
- l) Projects and strategies designed to support congestion pricing, including electronic toll collection and travel demand management strategies and programs.
- m) Upon request of a State and subject to the approval of the Secretary, if Transportation Infrastructure Finance and Innovation Act (TIFIA) credit assistance is approved for an STBG-eligible project, then the State may use STBG funds to pay the subsidy and administrative costs associated with providing Federal credit assistance for the projects. The creation and operation by a State of an office to assist in the design, implementation, and oversight of public-private partnerships eligible to receive funding under title 23 and chapter 3 of title 49, United States Code, and the payment of a stipend to unsuccessful private bidders to offset their proposal development costs, if necessary to encourage robust competition in public-private partnership procurements.
- n) Any type of project eligible under 23 U.S.C. 133 as in effect on the day before the FAST Act was enacted. Among these are:
  - i. Replacement of bridges with fill material;
  - ii. Training of bridge and tunnel inspectors;
  - iii. Application of calcium magnesium acetate, sodium acetate/formate, or other environmentally acceptable, minimally corrosive anti-icing and deicing compositions for bridges (and approaches to bridges and other elevated structures) and tunnels;
  - iv. Projects to accommodate other transportation modes continue to be eligible pursuant to 23 U.S.C. 142(c) if such accommodation does not adversely affect traffic safety;
  - v. Transit capital projects eligible for assistance under chapter 53 of title 49, United States Code, including vehicles and facilities (publicly or privately owned) that are used to provide intercity passenger bus service;
  - vi. Approach roadways to ferry terminals to accommodate other transportation modes and to provide access into and out of the ports;
  - vii. Transportation alternatives previously described in 23 U.S.C. 101(a)(29) and described in 23 U.S.C. 213;
  - viii. Projects relating to intersections having disproportionately high accident rates, high levels of congestion (as evidenced by interrupted traffic flow at the intersection and a level of service rating of "F" during peak travel hours, calculated in accordance with the Highway Capacity Manual), and are located on a Federal-aid Highway
  - ix. Construction and operational improvements for any minor collector if the minor collector and the project to be carried out are in the same corridor and in proximity to an NHS route; the construction or improvements will enhance the level of service on the NHS route and improve regional traffic flow; and the construction or improvements are more cost-effective, as determined by a benefit-cost analysis, than an improvement to the NHS route;
  - x. Workforce development, training, and education activities discussed in 23 U.S.C. 504(e);

- xi. Advanced truck stop electrification systems. Truck stop electrification system is defined in 23 U.S.C. 101(a)(32);
- xii. Installation of safety barriers and nets on bridges, hazard eliminations, projects to mitigate hazards caused by wildlife;
- xiii. Electric vehicle and natural gas vehicle infrastructure in accordance with 23 U.S.C. 137;
- xiv. Data collection, maintenance, and integration and the costs associated with obtaining, updating, and licensing software and equipment required for risk-based asset management and performance based management, and for similar activities related to the development and implementation of a performance based management program for other public roads;
- xv. Construction of any bridge in accordance with 23 U.S.C. 144(f) that replaces any low water crossing (regardless of the length of the low water crossing); any bridge that was destroyed prior to January 1, 1965; any ferry that was in existence on January 1, 1984; or any road bridge that is rendered obsolete as a result of a Corps of Engineers flood control or channelization project and is not rebuilt with funds from the Corps of Engineers. Not subject to the Location of Project requirement in 23 U.S.C. 133(c); and
- xvi. Actions in accordance with the definition and conditions in 23 U.S.C. 144(g) to preserve or reduce the impact of a project on the historic integrity of a historic bridge if the load capacity and safety features of the historic bridge are adequate to serve the intended use for the life of the historic bridge. Not subject to the Location of Project requirement in 23 U.S.C. 133(c).

## Highway Safety Improvement Program

The Highway Safety Improvement Program (HSIP) provides funding to achieve a significant reduction in traffic fatalities and serious injuries on all public roads, including non-State-owned public roads and roads on tribal lands. The HSIP requires a data-driven, strategic approach to improving highway safety on all public roads that focuses on performance. A highway safety improvement project is any strategy, activity or project on a public road that is consistent with the data-driven New York State Strategic Highway Safety Plan (NYSSHSP) and corrects or improves a hazardous road location or feature or addresses a highway safety problem.

The NYSSHSP is available for download at:

<https://www.dot.ny.gov/divisions/operating/osss/highway/strategic-plan>

- \* This is a representative but not exhaustive list of the types of projects eligible for these funding programs. Applicants are encouraged to submit proposals that best meet their needs and the GTC/NYS DOT-4 team will identify those funding programs for which proposals are eligible.

## **Appendix B**

### **Project Evaluation Criteria**



**2020-2023 Transportation Improvement Program (TIP)  
Project Evaluation Form**  
(For GTC/NYSDOT scoring team use only)

Prop #	_____
Mode	_____
Total Score	_____

**SECTION I. GENERAL PROJECT INFORMATION**

1. Project Name:
2. Applicant:
3. Implementing Agency (if different from Applicant): N/A
4. Applicant's Project Priority: \_\_\_\_\_ of \_\_\_\_\_

**SECTION II. ELIGIBILITY SCREENING AND PROPOSAL EVALUATION**

- |   |   |   |
|---|---|---|
| 1. Is Project eligible for federal aid?                             | Y | N |
| 2. Is Project consistent with LRTP Goals/FAST Act Planning Factors? | Y | N |
| 3. Is Project in the current TIP?                                   | Y | N |

**SECTION III. COMMON PROJECT EVALUATION CRITERIA**

***Safety***

- |   |   |   |   |    |    |    |
|---|---|---|---|----|----|----|
| 1. Improve the safety of the existing transportation system | 0 | 4 | 8 | 12 | 16 | 20 |
|---|---|---|---|----|----|----|

***Mobility***

- |   |   |   |   |   |   |    |
|---|---|---|---|---|---|----|
| 2. Improve the efficiency and reliability of the existing transportation system   | 0 | 2 | 4 | 6 | 8 | 10 |
| 3. Promote travel alternatives that are available to all persons regardless of age, physical or mental ability, and/or income | 0 | 2 | 4 | 6 | 8 | 10 |

***Community & Economic Development***

- |   |   |   |   |   |   |   |
|---|---|---|---|---|---|---|
| 4. Enhance the region's attractiveness to new and existing businesses                                 | 0 | 1 | 2 | 3 | 4 | 5 |
| 5. Has support from specific local, regional, or state land use, economic, housing, or other policies | 0 | 1 | 2 | 3 | 4 | 5 |
| 6. Support, enhance, or improve regional food system stability  | 0 | 1 | 2 | 3 | 4 | 5 |

***System Continuity & Optimization***

7. Support corridor-level/multi-modal solutions, especially across jurisdictional boundaries	0	2	4	6	8	10
8. Advance the recommendation(s) of a UPWP study or other transportation plan consistent with LRTP 2040	0	1	2	3	4	5
9. Improve the resiliency of the system to natural and/or man-made disruptions	0	1	2	3	4	5

***Environment***

10. Encourage the efficient use of non-renewable energy sources and/or promote renewable alternatives	0	1	2	3	4	5
11. Reduce emissions of greenhouse gases and/or criteria pollutants	0	1	2	3	4	5

***Fiscal Responsibility***

12. Minimize lifetime maintenance and user costs	0	1	2	3	4	5
13. Provide non-federal match beyond the required amount	0	1	2	3	4	5
14. Employ innovative funding/financing/partnerships that reflect the scope of interests served	0	1	2	3	4	5

**SECTION IV. MODE-SPECIFIC PROJECT EVALUATION CRITERIA**

***Highway and Bridge***

1. Facility Condition Score (see page 26)	<u>                    </u> (maximum 10 points)					
2. Incorporate transit-supportive design elements	0	1	2	3	4	5
3. Incorporate bicycle-supportive design elements	0	1	2	3	4	5
4. Incorporate pedestrian-supportive design elements	0	1	2	3	4	5
5. Incorporate goods movement-supportive design elements	0	1	2	3	4	5

***Public Transportation***

1. Contribute to operating cost efficiencies	0	2	4	6	8	10
2. Improve on-time performance	0	1	2	3	4	5
3. Maximize median transit load factors	0	1	2	3	4	5
4. Contribute to cost-effective maintenance of existing capital assets	0	1	2	3	4	5
5. Improve access to/from employment, education, services, and/or community facilities	0	1	2	3	4	5

***Bicycle and Pedestrian***

1. Decrease gaps in the core multi-use trails network or increase the amount of federal-aid roads with complete sidewalks	0	2	4	6	8	10
2. Improve access to/from employment, education, services, and/or community facilities	0	1	2	3	4	5
3. Employ required/accepted design guidance and standards	0	1	2	3	4	5
4. Contribute to cost-effective maintenance of existing bicycle/pedestrian facilities	0	1	2	3	4	5
5. Effectively connect with existing bicycle/pedestrian facilities	0	1	2	3	4	5

***System Management and Operations***

1. Reduce travel times on major roadways	0	2	4	6	8	10
2. Reduce incident clearance times	0	2	4	6	8	10
3. Increase the productivity of regional transportation agencies/providers (e.g., cost savings, time savings, etc.)	0	1	2	3	4	5
4. Support or advance existing and/or proposed ITS elements	0	1	2	3	4	5

***Goods Movement***

1. Increase efficiency for freight to keep regional costs competitive	0	2	4	6	8	10
2. Preserve and improve access to internal and external markets	0	2	4	6	8	10
3. Mitigate negative impacts to the community and environment	0	1	2	3	4	5
4. Increase regional employment in transportation-related industries	0	1	2	3	4	5

The Facility Condition Score for highway and bridge *rehabilitation and reconstruction* projects is determined by GTC and NYSDOT staff using the following matrix:

REHABILITATION/RECONSTRUCTION FACILITY CONDITION SCORE MATRIX				
Road Pavement Condition Score	Traffic Volume (Average Daily Traffic)			
	< 3,000	3,000 – 8,199	8,200 – 20,000	> 20,000
PVT < 4	7	8	9	10
PVT < 5	6	7	8	9
PVT < 6	4	5	6	7
PVT < 7	2	3	4	5
Bridge Rating				
< 3.0	7	8	9	10
3.0 – 3.49	6	7	8	9
3.5 – 4.49	4	5	6	7
4.5 – 4.99	2	3	4	5

The Facility Condition Score for highway and bridge *preventive maintenance* projects is determined by GTC and NYSDOT staff using one of the following formulas as appropriate:

Highways

$$\frac{\text{Total Project Cost}}{(\mathbf{8 - Pavement Condition}) \times \text{VMT} \times \text{Treatment Life}} = \text{Cost Effectiveness}$$

Bridges

$$\frac{\text{Total Project Cost}}{(\mathbf{7 - Bridge Element Rating}) \times \text{ADT} \times \text{Treatment Life}} = \text{Cost Effectiveness}$$

The resulting Cost Effectiveness scores will be sorted in ascending order. The difference between the highest and lowest scores will be divided by 10 to establish an increment for the Facility Condition Score. Projects in the highest increment will receive a score of 10, projects in the next highest increment will receive a score of 9, and so on with projects in the lowest increment receiving a score of 1.

## Appendix C

### TIP Development Schedule

## 2020-2023 Transportation Improvement Program Development Schedule

Activity	Date
- Issue TIP Call for Projects	September 5, 2018
- TIP Applicant Workshop	September 18, 2018
- Pre-Applications Due ( <i>Optional</i> )	October 5, 2018
- Sponsor Pre-Application Review Meetings	October 15, 2018 – October 19, 2018
- TIP Applications Due	November 9, 2018
- Staff Processing of TIP Applications (Scoring, Preliminary Ranking, etc.)	November 12, 2018 – December 7, 2018
- TDC Meeting(s) to Review Project Proposals, Develop Initial Project List, and Refine Initial Project List	December 10, 2018 – February 1, 2019
- Send TDC Recommend Project List to Planning Committee	February 6, 2019
- Planning Committee Meeting to Approve Project List for Public Review	February 14, 2019
- 30-Day Public Review	February 16, 2019 – March 22, 2019
- TIP Public Meetings (four throughout Rochester MPA)	March 4, 2019 – March 8, 2019
- TDC Consideration of Comments Received and Recommendation to the Planning Committee	March 28, 2019
- Planning Committee Meeting to Consider Comments and Recommend to the GTC Board or Determination of Need for 10-Day Public Review	April 11, 2019
- 10-Day Additional Public Review ( <i>if necessary</i> )	April 15, 2019 – April 26, 2019
- Planning Committee Meeting to Consider Additional Public Comments and Recommendation to the GTC Board ( <i>if necessary</i> )	May 9, 2019
- GTC Board Meeting to Adopt TIP	June 13, 2019

## TRANSPORTATION ACRONYMS

ADT	Annual Daily Traffic
ADA	The Americans with Disabilities Act of 1990
GTC	Genesee Transportation Council
FAST	Fixing America's Surface Transportation Act
HSIP	Highway Safety Improvement Program
ITS	Intelligent Transportation Systems
LRTP	Long Range Transportation Plan
MAP-21	Moving Ahead for Progress in the 21 <sup>st</sup> Century
MPA	Metropolitan Planning Area
MPO	Metropolitan Planning Organization
NHPP	National Highway Performance Program
NHS	National Highway System
NYSDOT	New York State Department of Transportation
NYSDOT-4	New York State Department of Transportation - Region 4
NYSSHSP	New York State Strategic Highway Safety Plan
PDF	Portable Document Format
RGRTA	Rochester Genesee Regional Transportation Authority
STBG	Surface Transportation Block Grant Program
STIP	Statewide Transportation Improvement Program
TDC	TIP Development Committee
TIP	Transportation Improvement Program
VMT	Vehicle Miles Traveled