

*Central Minnesota
Area Transportation
Partnership*

Central Minnesota Area Transportation Partnership

Operations AND Policy Manual

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A Partnership with a Vested Interest in Central Minnesota Transportation

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INTRODUCTION

The Central Minnesota Area Transportation Partnership (Partnership) was formed in 1993 following passage of landmark federal surface transportation legislation in 1991 requiring states to emphasize greater planning, multi-modal decision making, and local and public involvement in the development of transportation plans and programs. The Minnesota Department of Transportation (MnDOT) established Area Transportation Partnerships (ATP) in response to this new legislation as a way of providing a sub-state geographic focus on transportation decisions that involve the programming of federal highway funding included in the Minnesota State Transportation Improvement Program (STIP).

This Operations and Policy Manual provides policies and guidance to assist the Partnership in its overall governance and operations. One of the primary roles of the Partnership is to annually develop a draft Area Transportation Improvement Program (ATIP). The ATIP is an integrated list of state and local priorities seeking federal transportation funding covering a minimum four-year period recommended for inclusion in the STIP. The Partnership is responsible for assisting MnDOT District 3 in managing its ATIP after the STIP has been approved by federal transportation authorities. Program management involves the establishment and enactment of policies and procedures to ensure the orderly delivering and development of projects in the program.

The objectives of this manual are to:

1. Provide information regarding Minnesota Department of Transportation's (MnDOT) statewide transportation investment process.
2. Identify Partnership's membership, roles, and responsibilities.
3. Establish consistent policies and procedures for soliciting, ranking, and selecting projects seeking federal transportation funds.
4. Set a framework for the equitable distribution of federal funds for local projects.
5. Identify policies and procedures to managing projects in the Partnership's ATIP after they have been programmed in the STIP.

While this manual attempts to standardize many recurring activities by establishing specific policies and procedures, there may be instances where the Partnership is required to act independently from the guidance prescribed herein. In these cases, the Partnership should conduct its affairs, make decisions, and act in a manner consistent with the purpose and intent of these policies as well as any other state and federal guidance or requirements governing the programming of federal transportation projects.



BACKGROUND

State Transportation Improvement Program and Federal Surface Transportation Bill

The current federal surface transportation bill coupled with previous bills has created a new and dynamic focus for transportation planning and programming for the Nation. As legislatively required, each state must produce a State Transportation Improvement Program (STIP) document. The STIP is a comprehensive four-year schedule of planned transportation projects eligible for federal transportation funding. It is fiscally constrained based on the funding that each State can reasonably expect to be available for the life of the document.

The STIP must include capital and most non-capital transportation projects proposed for funding under Title 23 (Highway) and Title 49 (Transit) of the U.S. Code. It must also contain all regionally significant transportation projects that require action by the Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA). For informational purposes, the STIP should include all regionally significant projects proposed to be funded with other federal and/or non-federal funds.

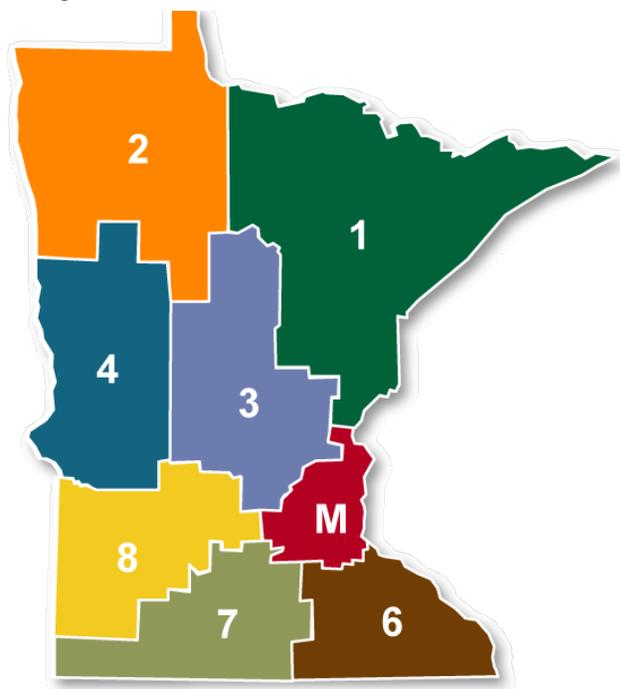
Surface transportation legislation requires states and metropolitan areas to emphasize public involvement in developing transportation plans and programs. Since many investment decisions included in the STIP have potentially far-reaching effects, surface transportation legislation requires planning processes to consider such factors as land-use and the overall social, economic, energy, and environmental effects of transportation decisions. Additionally, these planning activities provide input into the programming process, so there must also be reasonable opportunities for public comment in the development of the STIP.

Area Transportation Partnerships

Minnesota has established a decentralized investment process relying upon the input and recommendations of eight Area Transportation Partnerships (ATPs) throughout the state. ATPs bring together the transportation recommendations of MnDOT and other transportation partners into an integrated list of transportation investments called the Draft ATIP. ATIPs are prepared annually by each ATP and cover a minimum four-year time frame.

ATPs consider the transportation priorities of the Regional Development Commissions (RDC), Metropolitan Planning Organizations (MPO) and the MnDOT Districts in preparing their Draft ATIPs. Once developed, the Draft ATIPs are recommended by the ATPs to their respective MnDOT Transportation District Engineer for inclusion in the Draft STIP.

Figure 1 - ATP Boundaries



ATP, RDC, and MPO Boundaries

Figure 3 shows the regional planning organizations in ATP-3. The ATP-3 area is represented by two active RDCs in Regions 5 and 7E, one MPO in the St. Cloud metropolitan area, and a special policy board that was established in Region 7W:

- Region 5 – Region 5 Development Commission
- Region 7E – East Central Regional Development Commission
- St. Cloud metropolitan area – St. Cloud Area Planning Organization
- Region 7W – Region 7W Transportation Policy Board

Region 7W was originally represented by an RDC, but this organization was inactivated in 1982 by special action taken by the area at that time. In 2000, the Region 7W Transportation Policy Board (TPB) was created by Joint Powers Agreement that was duly executed by the County Boards of Benton, Sherburne, Stearns, and Wright Counties. The TPB's charge is to conduct transportation planning and programming responsibilities and advocacy for the region while at the same time supporting the activities of the Partnership in a similar way as the three other regional planning organizations in ATP-3's programming area.

Figure 3 – ATP 3, MPO, RDC's



CENTRAL MINNESOTA AREA TRANSPORTATION PARTNERSHIP

General

Sound planning and public involvement provide the basis for good transportation decisions. Planning processes must appropriately involve special interests, citizens, non-traditional partners, professionals, and regional and local governments. The products derived from these processes become the foundation for project selection. A group that respects these processes can best accomplish priority setting, involving tradeoffs between competing needs within an ATP's programming area.



Membership

The success of the ATP rests with its membership. Persons serving on the ATP should have broad, multi-modal, and multi-jurisdictional perspectives regarding transportation issues.

Members should be familiar with and/or involved in planning processes impacting the areas and constituencies they represent. Membership should include representation from MnDOT, RDCs, MPOs, cities, counties, and tribal governments. Other transportation stakeholders may also be represented as determined by the individual ATPs.

The Partnership in ATP-3 consists of 18 voting and six non-voting members. **Table 1** illustrates a breakout of this membership by functional group and the number of members appointed to serve in each of the groupings. Each functional group represented are responsible for managing their individual appointments on the Partnership.

Table 1 – ATP-3 Membership

Voting Members (18)	
MnDOT District 3	2
Region 5 Development Commission (Region 5)	2
East Central Regional Development Commission (Region 7E)	2
Region 7W Transportation Policy Board (Region 7W)	2
St. Cloud Area Planning Organization	2
County Engineer - northern half of District 3	1
County Engineer - southern half of District 3	1
City Engineer - northern half of District 3	1
City Engineer - southern half of District 3	1
Leech Lake Band	1
Mille Lacs Band	1
Rural Transit	1
St. Cloud Metro Bus	1
Non-Voting Members (6)	
MnDOT District 3 Staff - ATP Facilitator	3
RDC 5 Staff	1
RDC 7E Staff	1
Tribal Nation Advisor	1

Terms and Appointments

New members serving on ATP-3 are appointed by their respective functional group to serve a two-year term initially. Following this initial appointment, members can continue to serve additional terms at the discretion of the functional group appointing them, and there is no limit on the number of terms a member may serve.

The appointing functional group is required to review their appointment(s) at least every two years from the date of the member's appointment or reappointment. The appointing functional group may elect to reappoint the current member or appoint a new member to serve on the Partnership. In instances where a currently serving member elects to terminate their membership before their term on the Partnership would otherwise expire, the member should contact their respective functional group as early as possible to notify them of their decision so a new appointment can be made.

Functional groups may appoint an alternate member to serve as a proxy for a primary member in the event the primary member is unable to attend one of the scheduled Partnership meetings. Alternatively, the functional group may establish a process for assigning an alternate member or proxy to represent the functional group when the primary member is unable to attend a meeting. It is up to each functional group to determine how alternate members or proxies are identified.

Listed below are membership considerations that selected functional groups should take into account as they appoint members to the Partnership:

- The Region 5 Development Commission, East Central Regional Development Commission, Region 7W Transportation Policy Board, and St. Cloud Area Planning Organization are responsible for appointing two voting members to serve on the Partnership. At least one of the appointed members must be an elected official.
- The two RDCs and the St. Cloud Area Planning Organization is authorized one member from their staff to serve as a non-voting member on the Partnership unless one of the members from their staff has already been appointed to serve as a voting member on the Partnership to represent the region.
- Similar to the other regions, the Region 7W Transportation Policy Board is authorized one non-voting member to serve on the Partnership. A MnDOT District 3 staff person shall fulfill this role since the District serves as "Staff" to the Region 7W Transportation Policy Board in the execution of its duties and responsibilities.
- The District 3 County Engineers' Group is responsible for appointing two county engineers to serve on the Partnership: one to represent the north half and the other to represent the south half of the Partnership's programming area.
- The MnDOT District 3 City Engineers' Group is responsible for appointing two city engineers to serve on the Partnership to represent State Aid cities over 5,000 population: one to represent the north half and the other to represent the south half of the Partnership's programming area.
- MnDOT District 3 voting members should include one person appointed to represent the state trunk highway construction program and the other person appointed to represent local road and bridge projects.

Functional groups should submit their selections in writing to the ATP-3 Staff Facilitator following appointment or reappointment.

Officers

The Partnership shall elect a Chair from its membership to preside over its meetings and represent the body at various functions. A simple majority vote of the voting members present shall determine the Chair. The Partnership shall determine selection of the Chair at the final meeting of the annual ATIP development process cycle, usually occurring in June. The Chair's term shall be a period of two years and shall commence at the next scheduled meeting of the Partnership following selection, usually in September or October.

The Partnership shall elect a Vice Chair from its membership. The Vice Chair shall preside over meetings and represent the body at various functions in the Chair's absence. Selection of the Vice Chair shall be determined in the same manner and during the same time frame as the Chair unless otherwise directed herein. The Vice Chair's term shall be a period of two years and shall commence at the next scheduled meeting of the Partnership following selection.

In the event the Partnership's Chair must vacate their office prior to the expiration of their term, the Vice Chair shall automatically be appointed as the Interim Chair to serve out the remainder of the vacating Chair's term. The Partnership shall then take action to elect an Interim Vice Chair by a simple majority vote of the voting members present to serve out the remainder of the previously elected Vice Chair's term.

In a similar way, if the Partnership's Vice Chair must vacate their office prior to the expiration of their term, the Partnership shall elect an Interim Vice Chair from its membership by simple majority vote of the voting members present. The Interim Vice Chair will perform the duties of this position for the remainder of their predecessor's term.

If both the Partnership's Chair and its Vice Chair must vacate their office at the same time before their respective terms have expired, the Partnership shall take separate action to first elect an Interim Chair and then next a Vice Chair to serve out the remainder of each officer's service term. A separate nomination for each position will be held. The ATP-3 Staff Facilitator will preside over the nominations. Selection for both of these positions will be by a simple majority vote of the voting members present.

Roles and Responsibilities

The primary role of the Partnership is focused on the development of the Draft ATIP within the ATP-3 area. This involves establishing and maintaining a process for soliciting and selecting candidate projects to include in the Draft ATIP. An important aspect in soliciting and selecting projects for the Draft ATIP involves developing relevant criteria and application materials and processes to aid the Partnership in the screening, evaluation, and ranking of projects.

Another role of the Partnership is to manage the administration and implementation of its ATIP following approval of the STIP. The Partnership manages the program by developing and enacting various policies and procedures to govern such things as changes in project scope or cost estimates that may result in modifications or amendments to the STIP. Policies are also adopted to manage increases or reductions in federal or state funding that have been targeted to ATP-3.



The voting members on the Partnership play an important role in establishing and approving policies and procedures for the development and management of the ATIP. They attend regular and special meetings of the Partnership and serve on various committees of the Partnership. Non-voting members also play a critical role in advising the voting membership on transportation planning and programming related matters. Non-voting members are allowed to attend the Partnership's regular and special meetings and can serve on various committees, as needed. Non-voting members carry-out many of the day-to-day program development functions of the Partnership that need to occur between meetings.

Attendance

The Partnership encourages maximum member attendance and participation at its meetings. The Chair shall take roll call at the beginning of each meeting. The Chair shall alert the Partnership of members who have two or more absences within a one-year period. The Partnership may take appropriate action to encourage attendance that may include verbal or written notices to the functional group appointing the absentee member.

When a voting member is unable to attend a meeting for any reason, it is their responsibility to notify the ATP-3 Staff Facilitator prior to the meeting of this fact. Voting members unable to attend a meeting may send an alternate member to represent them in their absence as provided in the Terms and Appointments section above. Alternate members, when needed, shall have all of the rights and privileges of the voting member they are substituting.

Non-voting members are encouraged to attend regular meetings of the Partnership. Non-voting members shall be identified during roll call and their name plates shall be distinct from the voting membership to reflect their status.



Voting

Voting members shall be entitled to one vote as to any matter submitted to the Partnership for decision. Voting shall be by voice and/or show of hands, except that any member, including the Chair, may orally request a roll call vote. As to all votes, the names of members abstaining and numerical results of roll call votes, if taken, shall be recorded in the minutes of the meeting. Voting by proxy is permitted through the use of an alternate member. If both the primary voting member and the alternate member are absent from the meeting, the other delegate representative for that functional group, if more than one, shall not be entitled to cast a vote for the absent member. Non-voting members shall not be entitled to vote unless they have been designated as an alternate or proxy for an absent voting member.

Committees

The Partnership may establish committees to advise and provide support in the execution of its duties and responsibilities. Committees are typically established to serve in an advisory capacity unless otherwise directed by the Partnership. Committees may be formed on a permanent basis as "standing committees" or on temporary basis as "ad hoc committees."

Clearly defining the purpose, roles, responsibilities, and expected deliverables are important considerations in the establishment of a new committee. Committee activities may include conducting investment program

reviews, aiding the Partnership in its project solicitation and selection responsibilities, and/or studying particular issues and concerns of importance to the Partnership.

Committee membership may vary depending upon the committee's purpose and function. When determining the size and make-up on its various committees, preference should first be given toward selecting members from the Partnership's voting and non-voting membership. The Partnership may also look outside of its membership to appoint individuals who possess special affiliation with a group or knowledge of a particular topic when it deems necessary.

The Partnership should ensure prospective appointees possess expertise in the subject area, contribute to healthy and diverse viewpoints, and reflect the interests of the groups they are representing. Membership decisions should contribute toward successful dialogue and outcomes necessary toward achieving the committee's charge.

There are three standing committees assisting the Partnership in its affairs. They include:

- 1) ATIP Development Committee
- 2) Transportation Alternatives Program Committee
- 3) District 3 Public Transit Providers Committee

ATIP Development Committee

The ATIP Development Committee is established to develop and recommend the Draft ATIP document to the Partnership for its approval on an annual basis. This Committee is responsible for merging the transportation priorities of the regions and MnDOT District 3 into an integrated list of projects, called the Draft ATIP; and then, presenting its recommendation to the Partnership for review and approval. The ATIP Development Committee may also be requested to study, advise, and make recommendations to the Partnership on other matters relating to the development and management of the ATIP. The ATIP Development Committee will work to ensure all of its products are prepared in a consistent, fair, and technical manner.

Membership on the ATIP Development Committee shall consist of the following members:

- MnDOT District 3 State Aid Engineer.
- One engineer representative from each of the four regions to be selected from the ATP's voting membership.
 - If an engineer representative from the Partnership's voting membership is not available, a representative may be appointed by the region from its regional transportation advisory committee.
- One person representing transit to be selected from the Partnership's voting membership.
- One representative from MnDOT's District 3 Planning & Programming Unit to serve as committee chair/facilitator.
- One person representing the area's tribal nations to be selected from the Partnership's voting membership.
- One planner from each region to be selected from the Partnership's voting or non-voting membership, as applicable.

Transportation Alternatives Program (TAP) Committee

The purpose of the TAP Committee is to assist the Partnership in the annual solicitation and selection of projects eligible for federal TAP funding. Among its responsibilities, the TAP Committee develops and updates application materials and project selection criteria that ensures consistency with the Partnership's policies and priorities, as well as applicable federal and statewide program objectives.

The TAP Committee is responsible for conducting a formalized review and evaluation of TAP candidate projects sufficient to recommend a rank-ordered list to the Partnership's ATIP Development Committee for inclusion in the Draft ATIP. The TAP Committee shall consider the regional significance of TAP candidate projects in its review and evaluation process.

Membership on the TAP Committee shall consist of the following members:

ATP internal membership (required):

- MnDOT District 3 State Aid Engineer.
- One engineer representative from each of the four regions to be selected from the Partnership's voting membership.
 - If an engineer representative from the Partnership's voting membership is not available, a representative may be appointed by the region from its regional transportation advisory committee.
- One representative from MnDOT's District 3 Planning & Programming Unit to serve as committee chair/facilitator.
- One person representing the area's tribal nations selected from the Partnership's voting membership.
- One planner from each region to be selected from the Partnership's voting or non-voting membership, as applicable.

Additional external membership (recommended):

- One representative from the Minnesota Department of Natural Resources
- One person representing School Boards (Local).
- One person representing Parks and Recreation (Local).
- Other representation deemed necessary by the Partnership.

Other MnDOT District 3 staff may be added as necessary to support and facilitate the activities of the TAP Subcommittee but will not be considered part of the official membership.

District 3 Public Transit Providers Committee

The purpose of the District 3 Public Transit Committee is to identify and evaluate transit vehicle capital requests to be recommended for consideration in the Partnership's Draft ATIP.

This Committee is presently inactive as funding for transit vehicle capital requests is fully being provided centrally by the MnDOT Office of Transit and Active Transportation (OTAT). In the event it is determined that there is a lack of sufficient funding from OTAT to fund the critical transit needs in District 3/ATP-3, the Partnership stands ready to reactivate the Committee.



Upon its reactivation, the Committee will work with OTAT to identify a list of candidate projects seeking federal transportation funding from ATP-3. The Committee will review each request in the list on the basis of need using a life cycle analysis methodology to develop a rank-ordered listing of projects to submit to the RDCs, the St. Cloud APO, and Region 7W for review and consideration for funding. In turn, these organizations will consider the Committee's recommendations as they develop their individual regional prioritized list of local transportation projects seeking federal funds for their respective areas.

Membership on the District 3 Public Transit Committee consists of one representative from each rural and small urban transit system provider in the Partnership's programming area. OTAT program management staff representing District 3 transit providers will also be included in the Committee's membership and will be responsible for assembling the meeting content and facilitating the meetings. Each person assigned to serve on the Committee is a voting member. Planning staff from the area's regional planning organizations may also attend, as needed.

Note, transit capital and operating assistance to be funded by the Federal Transit Administration are not required to be reviewed by this Committee. Determination of this funding will be made by OTAT.

TRANSPORTATION INVESTMENT PROCESS

General

The Partnership employs a decentralized approach in implementing its transportation investment process and framework. The Region 7W Transportation Policy Board, Region 5 Development Commission, East Central Regional Development Commission, and St. Cloud APO all play a key role in the Partnership's activities. These organizations serve as logical forums for addressing transportation matters and coordinating local and regional planning. They are also well-positioned to evaluate how specific transportation issues impact their regions and quality of life. Above all, they are valuable toward ensuring the projects being considered for federal transportation funding reflect the priorities of the areas they serve. Since each region has their own designated policy board consisting of locally elected officials and other special interests, reliance on regional planning organizations in the Partnership's transportation investment decision making process contributes to greater local and regional buy-in and accountability.



Transportation Funding and Programs

Minnesota's transportation investment process responds to new federal transportation regulations requiring states to maintain a performance-based transportation planning process and demonstrate progress toward meeting established performance targets through their transportation investments.

MnDOT's commitment to performance-based outcomes is emphasized throughout the Department and is firmly established in its planning processes. The planning documents highlighted below demonstrate this

commitment and illustrate how MnDOT's vision, transportation policies, and capital investment decisions are interrelated and intertwined through its planning and programming processes.

- Minnesota GO that articulates a 50-year statewide vision for transportation.
- Minnesota Statewide Multimodal Transportation Plan, a policy plan containing objectives and strategies to inform the development of other MnDOT plans.
- Minnesota 20-Year State Highway Investment Plan that represents MnDOT's capital investment priorities for the state highway system over the next 20-years.
- MnDOT's 10-Year Capital Highway Investment Plan (CHIP) that provides a summary of the department's committed projects for years 1-4 and planned investments for years 5-10.

MnDOT's goal of meeting its statewide transportation objectives, as documented in these plans, serves as the foundation for the Department's strategy in distributing funds to the MnDOT District Offices and ATPs. Accordingly, MnDOT has structured its present funding distribution methodology around five primary investment categories, which are detailed below. These investment categories have been established to ensure attainment of federal and state transportation goals, while ensuring sufficient investment in other local transportation needs.

STATEWIDE PERFORMANCE PROGRAM (SPP)

SPP consists of federal funding provided under the National Highway Performance Program (NHPP) intended for use on the National Highway System (NHS) including the required state/local matching funds. Funding under the NHPP may be used on any route designated on the NHS. The NHS includes Interstates, most U.S. highways, and other routes functionally classified as a principal arterial. MnDOT has over 97 percent of the statewide mileage included on the NHS. The remaining 3 percent of the NHS is on the local system. MnDOT has established the SPP to ensure progress in meeting federal performance requirements for pavement, bridge, safety, and congestion on the NHS system. Selection of projects for the SPP involves collaboration between the MnDOT district offices, specialty offices, and the central office. Typical projects include rehabilitation and replacement fixes for existing pavement, bridges, and roadside infrastructure.

DISTRICT RISK MANAGEMENT PROGRAM (DRMP)

DRMP consists of federal funding from the Surface Transportation Block Grant Program – Statewide funding and additional State trunk highway funds targeted to the districts. DRMP funding distribution is based on a formula that takes into account each district's share of non-principal arterial bridge needs (30 percent) and pavement needs (30 percent), number of miles of non-principal arterials (24 percent), and population (16 percent). Project selections are evaluated statewide through a collaborative process to ensure each district is balancing district-level risks while making progress toward achieving statewide investment goals. The DRMP focuses on pavement, bridge, and roadside infrastructure on lower-volume roads; and is responsible for funding the majority of safety and mobility projects proposed by the districts.

AREA TRANSPORTATION PARTNERSHIP (ATP) MANAGED PROGRAM

The ATP Managed Program consists of federal funding provided under the STP Urban, STP Small Urban, and STP Rural population programs. As the name implies, it includes funding from these STP program sources that can be used by the ATPs to address local transportation needs qualifying for federal reimbursement in the areas served by the different programs comprising the ATP Managed Program. Distribution of funds to the ATPs is accomplished based on the following factors:

- 50% - Distributed by ATP population consistent with the most recent census, distributed by the definitions for rural, small urban, and urban as defined by federal transportation planning regulations.
- 50% - Distributed by the average of the ATPs' county and municipal state aid needs as calculated by MnDOT's State Aid for Local Transportation process.

ATPs are responsible for project solicitation and selection of projects to be funded under the ATP Managed Program.

TRANSPORTATION ALTERNATIVES PROGRAM (TAP)

The TAP is a new federal program that streamlines and restructures several previous programs. Previous federal programs such as such as Transportation Enhancements, Safe Routes to School (SRTS), National Scenic Byways, and several other discretionary programs now fall under the new TAP umbrella.

TAP is administered jointly between the MnDOT Central Office and the ATPs as part of a competitive application process. Applicants interested in applying to the TAP must first complete a Letter of Intent (LOI) to determine their eligibility and readiness to apply. ATPs send out full applications to applicants who have completed the LOI, meet the basic eligibility requirements, and successfully demonstrate potential to receive federal TAP funding. ATPs are responsible for evaluating each of the applications they receive, and select from those the ones that they wish to recommend for funding. Most ATPs have established special committees to assist in this process.

TAP funding is distributed to the ATPs by population through the following categories:

- TAP-Statewide
- TAP-Urban
- TAP-Small Urban
- TAP Rural

Since ATP-3 does not have an MPO area with 200,000 or greater population, it does not receive an allocation of TAP-Urban funds under the formula.

HIGHWAY SAFETY IMPROVEMENT PROGRAM (HSIP)

The HSIP is a federally funded safety program. The object of this program is to identify, implement and evaluate cost effective construction safety projects. This program is administered centrally by the MnDOT Office of Traffic Safety and Technology (OTST). OTST solicits MnDOT districts and local jurisdictions (e.g., cities and counties) for qualifying safety projects eligible under HSIP. Typically these include projects that have been identified and recommended in the safety plans prepared by the local agencies and MnDOT and are consistent with the critical emphasis areas and strategies communicated in Minnesota's Strategic Highway Safety Plan. Activities selected for HSIP funding are generally lower cost, high return on investment strategies designed to reduce the most serious types of crashes. Funding to each ATP is determined by its share of serious and fatal crashes on the state and local system.

Regional Federal Funding Targets and Sub-Targets

Regional federal funding targets provided by MnDOT are an important planning tool to assist ATP's in developing their fiscally-constrained Draft ATIPs. Targets are an estimate of the amount of funding a District or ATP can receive for a given year. It is important to note that target funding levels may vary from year-to-year in the STIP and beyond. MnDOT uses different methodological approaches in distributing funding to the ATPs and the MnDOT Districts. The five previously identified primary investment categories are each calculated using a different formula and set of criteria.

Each year, MnDOT's Office of Transportation System Management (OTSM and sometimes mentioned in this manual as "Central Office") updates the STIP funding guidance. This guidance contains the estimated federal highway aid and state trunk highway funding available for developing the Draft STIP. The funding guidance is broken out by each major investment category with the amounts targeted to each ATP.

ATPs and the MnDOT Districts apply the targeted federal and state funds in the STIP guidance to help them identify the transportation investments to recommend in their fiscally-constrained Draft ATIPs. Projects funded with State-Aid funds distributed to counties and municipalities over 5,000 populations are not required to be included in the STIP unless these funds are needed to match federal transportation funds being requested for projects programmed in the STIP.

In June 1999 starting with the fiscal year 2003 local solicitation, the Partnership established a methodology for sub-targeting the local federal funds targeted to ATP-3 to the four regions. The regional sub-targets provided a place to start for setting priorities in the development of each region's TIP.

The measures and factors that went into the Partnership's original distribution formula shown in **Table 2** mirrored with some variation those that MnDOT used in distributing federal funding to the ATPs. This methodology was based on system size (bridge area, federal aid lane miles, and buses) and system use (vehicle mile traveled, heavy commercial vehicle miles traveled, and future population) factors.

Table 2 – Target Formula

Measure	Factors	Weight
50% System size	Bridge	13%
	Federal Aid Lane Miles	31%
	Buses	6%
50% Usage	Present	
	Vehicle Miles Traveled	21%
	Heavy Commercial Vehicle Miles Traveled	4%
	Future	
	2025 Population	25%

Table 3 – Regional Federal Funding Sub-Targets

Region	Target %
Region 5	32.65%
Region 7E	13.82%
Region 7W	33.00%
St. Cloud Metro	20.53%
Total	100%

Table 3 reports the regional federal funding sub-target percentages that were generated from the Partnerships original distribution formula. Even though MnDOT uses a different methodology today for distributing federal funds to the ATPs, the Partnership has elected to continue using the previously agreed upon percentages in distributing its federal Surface Transportation Block Grant Program (STBGP) funds targeted to ATP-3 to the regions under MnDOT's ATP Managed Program. The Partnership reserves the right to make changes to this formula as it determines necessary. However, any future change to the formula should not impact projects or funding levels already programmed in an approved STIP and should go into effect starting with the new (4th) year of the Draft ATIP or beyond as set forth by the Partnership.

Transportation Investment Goals

The state's transportation investment process starts with its 50-year vision for transportation contained in Minnesota GO. The vision is supported by eight principles that are used to guide future policy and investment decisions within MnDOT. MnDOT's 20-year Statewide Multimodal Transportation Plan applied Minnesota GO's guiding principles to develop objectives and strategies to inform the development of MnDOT's Statewide Highway Investment Plan (MnSHIP) and other statewide plans and studies.

MnDOT districts apply the investment direction set forth in MnSHIP, plus any additional guidance provided by the MnDOT Central Office, in annually updating their draft Area TIPs and 10-year Capital Highway Investment Plans (CHIP). Development of the individual district 10-year CHIPs are important in the identification and programming of future SPP and DRMP projects to be listed in the STIP. Similarly locally and regionally-prepared transportation plans and capital improvement programs are useful in programming funds under the ATP Managed Program for locally-sponsored projects.

The Partnership may elect to develop its own investment goals that more closely reflects the transportation needs of the area. If the ATP elects to do so, it should derive these goals from a comprehensive planning process that considers the use of federal and state performance measures and is characterized by substantial public involvement.

MnDOT District 3 Involvement

MnDOT District 3 staff provides support to the Partnership to assist it in its day-to-day operations. Some of the specific duties performed by District staff in support of the Partnership include (illustrative only):

- Preparing agendas, mailings, and minutes pertaining to Partnership meetings.
- Producing and presenting necessary information and materials to assist the Partnership in conducting its operations.
- Working with the RDCs, APO, Region 7W, and the Partnership to help in candidate project solicitation and selection associated with ATIP development.
- Participating in and facilitating meetings to assist the Partnership and its committees in performing their duties.
- Managing revisions to cost estimates; increases, surpluses, and reductions in state or federal funding.
- Processing modifications and amendments to the STIP for both local and state projects.

The Partnership has enacted various policies and procedures contained in this manual to assist MnDOT District 3 with these activities.

Regional Planning Partners Involvement

Regional planning partners (a.k.a. regions) supporting the Partnership include the Region 5 Development Commission, East Central Development Commission, Region 7W Transportation Policy Board, and the St. Cloud Area Planning Organization. These entities play an integral role in the Partnership's annual ATIP development process. They provide insight to the Partnership concerning the social, economic, and environmental issues facing their regions that contributes to enhanced transportation decisions. They also serve as a clearinghouse for determining regional transportation priorities by involving counties, cities, transit, and other transportation interests in their decision-making processes.

REGIONAL DEVELOPMENT COMMISSIONS

The two RDCs receive planning grants from MnDOT to develop and implement an annual transportation planning work program. RDCs include staff time in their work programs to support the activities of the Partnership. The balance of their work programs is dedicated toward conducting other regional transportation planning and studies and providing technical assistance to the local governmental units they serve. Products from implementing their work programs, such as regional long-range transportation plans, provide the basis for setting transportation priorities in the regions. Each RDC is supported by a transportation advisory committee that advises and makes recommendations to the policy makers on the Commission on a variety of transportation matters.

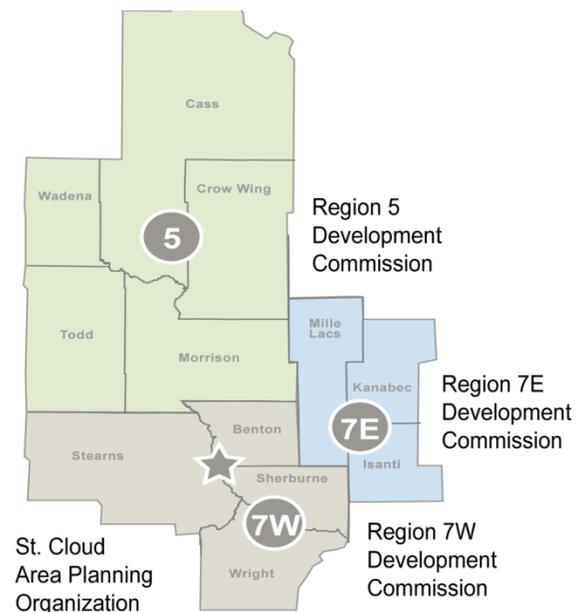
ST. CLOUD AREA PLANNING ORGANIZATION

The St. Cloud APO is the only designated MPO in the ATP-3 programming area. The APO is responsible for maintaining a continuous, comprehensive, and coordinated (3-C) transportation planning process for the St. Cloud metropolitan area.

As the designated MPO, the APO must prepare a Transportation Improvement Program (TIP) at least every two years for the metropolitan area. The APO updates its TIP annually. Projects in the TIP must be consistent with the products derived from the APO's planning process, including its long-range metropolitan transportation plan. The APO must ensure that the TIP is compatible with the development of the Partnership's ATIP and ultimately the STIP. Since the Partnership's ATIP represents the area's input into the STIP, it is essential that the Partnership and APO coordinate their activities.

The APO's transportation planning processes are well established and are useful for determining the transportation priorities for the St. Cloud metropolitan area. The candidate projects identified through the APO's TIP development process provide input into the Partnership's ATIP development process. Similar to the two RDCs in the area, the APO is complemented with a transportation advisory committee. This committee assists the agency in preparing transportation plans and studies and in reviewing various alternatives to address existing and future transportation needs. Recommendations from this committee are then forwarded to the APO Policy Board where official action is taken.

Figure 3 – ATP 3, MPO, RDC's



REGION 7W TRANSPORTATION POLICY BOARD

The area of Region 7W outside of the St. Cloud APO's 20-year metropolitan planning area is represented by the Region 7W Transportation Policy Board. The authority for this organization was made possible through a Joint Powers Agreement mutually executed by Benton, Sherburne, Stearns, and Wright Counties in January 2000. The Region 7W Transportation Policy Board was established to address regionally-significant transportation issues, conduct regional transportation plans and studies, and

provide assistance to the Partnership in the solicitation and selection of projects seeking federal funding in the STIP.

MnDOT District 3 staff provides support to the Region 7W Transportation Policy Board in a manner similar to the roles performed by the transportation planning staffs of the RDCs. A special transportation advisory committee has been established to execute the region's transportation work program and to advise and make recommendations to the Region 7W Transportation Policy Board on transportation matters. This includes the annual review and evaluation of candidate projects to be recommended to the Region 7W Transportation Policy Board for inclusion in the Draft ATIP.

METROPOLITAN COUNCIL

In March 2012, the U.S. Census Bureau identified portions of Albertville, Hanover, Otsego, and St. Michael in Wright County and portions of Elk River and Big Lake Township in Sherburne County as part of the Minneapolis-St. Paul Urbanized Area. With this announcement came the news that for the first time the Metropolitan Council's planning area was extended beyond the legislatively defined seven-county boundary area. Local jurisdictions within the extended area now must be included in the Metropolitan Council's federal transportation planning and programming process.

A Memorandum of Understanding (MOU) was duly executed between the Region 7W Transportation Policy Board, the Metropolitan Council, and the cities and counties in the extended area in January 2014. The MOU establishes a communication and coordination framework for addressing the Metropolitan Council's federal metropolitan transportation planning and programming requirements within the extended area.

In terms of the impact of this MOU on the Partnership's ATIP development process, the Region 7W Transportation Policy Board will continue to represent the local jurisdictions within the extended area in the development of the Region 7W portion of the Partnership's Draft ATIP. Projects to be programmed with federal money in the extended area will continue to be selected and funded through the existing ATP-3 Partnership process. Projects within the extended area selected for funding and inclusion in the Partnership's Draft ATIP will be transmitted to the Metropolitan Council for inclusion in its metropolitan area TIP.

If an amendment to the Metropolitan Council's TIP is needed prior to the normal annual TIP update cycle, MnDOT District 3 and the Region 7W Transportation Policy Board will submit the amendment request to the Metropolitan Council for consideration and processing.

Public Participation

Federal Surface Transportation Legislation emphasizes strong public participation in the development of transportation plans and programs. The Partnership's decentralized process for developing its Draft ATIP helps fulfill the spirit and intent of the legislation. The decision to involve the regional planning partners in the development of the Draft ATIP strengthens the Partnership's public involvement goals. Collectively, these agencies perform a wide array of programs and services that integrate well and contribute to the Partnership's programming activities.

The regional planning partners involved in the Partnership's ATIP development process are responsible for making their products, processes, and services accessible to the public. The organizational structures of

these bodies provide a link to various constituencies within the regions they serve. The meetings that are held by these bodies in delivery their programs and services are open and accessible to the public.

MnDOT District 3 utilizes the processes established by these bodies in executing its public participation activities. In addition, MnDOT District 3 staff regularly meets and receives input from the public, local governments, and other special interests in the development and execution of its trunk highway construction program. MnDOT also maintains a robust public involvement process in the development of various agency transportation plans and studies that are used to help inform future investments.

In addition to these public involvement activities, the Partnership holds its own set of meetings, meeting on average four times per year. The Partnership posts its annual meeting schedule at both the MnDOT District 3 Offices in Baxter and St. Cloud and on the District 3's website. This schedule is approved at the final meeting of the annual ATIP development process and is used to establish the dates, times, and locations for the meetings to be held for the next ATIP update cycle. The present meeting schedule can be found at the following link: www.mndot.gov/d3/atp/atpmeetings.html.

AREA TRANSPORTATION IMPROVEMENT PROGRAM DEVELOPMENT

General

The Partnership values the role that the regional planning partners play in identifying transportation needs and priorities. Regions are responsible for participating in the regional solicitation and selection of local projects seeking federal transportation funding and for recommending a prioritized list of transportation needs to the Partnership in the preparation of the Draft ATIP. Eligible projects include all projects requesting funding under Title 23 of the United States Code (USC) (highway) and Title 49 USC (transit). MnDOT District 3 is responsible for overseeing the ATIP development process and ensuring its completion (via the use of the Partnership) in the ATP-3 programming area.

Federal Highway Administration requires a non-federal match of at least 20 percent of project costs. Regions reserve the right to limit the amount of federal funds being recommended on any local project. Applicants may be requested to exceed the minimum 20 percent matching requirements to maximize and leverage available federal funds targeted to the region. MnDOT permits overmatching of federal funds but limits this type of matching option to only locally-sponsored projects. In these instances, federal participation should not be less than 30 percent as a rule unless approved first by MnDOT and the Federal Highway Administration. State projects seeking federal funds generally are funded at the maximum federal level allowed pursuant to the particular federal program being pursued and programmed.

Federal Surface Transportation Block Grant Program (STBGP) funds provided to local agencies under the ATP Managed Program provide a flexible source of funding that may be used by cities and counties for projects on any Federal-aid eligible highway or street. They may also be used for bridge projects on any public road and for transit capital requests. Federal and state trunk highway funds provided under the SPP and DRMP are targeted to the MnDOT Districts to ensure attainment toward federal and state performance requirements and district goals.

ATP Managed Program Development

The project solicitation process generally begins following the publication and release of the STIP Guidance, but may commence sooner at the discretion of the Partnership. The STIP Guidance provides the Partnership with the STIP development timeline and regional federal funding targets that is necessary for developing the ATIP. Regions follow the below steps in developing their list of priorities to recommend to the Partnership for funding under the ATP Managed Program:

- Sending out federal Partnership application materials and guidance to potential applicants.
- Receiving completed applications from jurisdictions by the solicitation deadline.
- Verifying all candidate projects meet the minimum federal and Partnership eligibility requirements.
- Evaluating eligible candidate projects using region's project assessment criteria and process.
- Recommending a rank-ordered list of projects to the Partnership for programming consideration.

MnDOT District 3 staff and the regions commence the local solicitation activities by distributing complete project solicitation packets to all counties, cities over 5,000 populations, the Mille Lacs Band and Leech Lake Band. Organizations receiving the complete packets are furnished with application guidance and forms to assist them in nominating transportation projects to their respective regions for consideration in the Draft ATIP.

Regions are responsible for recommending a prioritized list of transportation projects to the Partnership based on their targeted funding levels. While each region has flexibility in setting their investment priorities, they all follow a similar process and schedule set forth by the Partnership in soliciting and selecting projects for consideration in the ATIP. Region 5 and Region 7W annually solicit projects for the fourth year of the ATIP, while the ECRDC and the St. Cloud APO solicit every other year to develop a five-year program.

Primary project type categories eligible to receive funding through the ATP process include:

- New alignment roadway construction.
- Roadway expansion defined as adding capacity by constructing a new travel lane.
- Roadway reconstruction.
- Roadway reclamation, reconditioning, and resurfacing.
- Bridge replacement or rehabilitation.
- Safety and/or operational improvements.

Applicants are advised that some regions have taken official action to make exceptions on what types of projects may be eligible for federal funding within their region. These regions made these exceptions to emphasize and focus federal funding on those transportation needs important to their areas. The following exceptions are in effect:

- Eligible cities and counties in Region 7W (outside of the St. Cloud APO 20-year planning area) may nominate projects in any of the primary project type categories listed above. However, they may only nominate Roadway Reclamation projects under the "Roadway Reclamation, Reconditioning and Resurfacing" category. The other three regions are not subject to this restriction.
- Eligible cities and counties within the St. Cloud APO 20-year planning area may apply for federal funding for Planning. Planning includes those activities occurring before the selection of a preferred

alternative. Federal funds may be used for corridor studies/planning activities where specific construction projects are the intended outcome.

- Eligible cities and counties within the St. Cloud APO 20-year planning area may apply for federal funding for Right of Way (ROW) Acquisition. Funding for ROW is limited to reimbursement for the costs that were paid for the acquired property (to be based on the Fair Market Value), not the value of the property at the time for which reimbursement is requested. Applicants receiving funding for ROW must initiate construction within ten years from the date of acquisition.

Applicants seeking federal funding under MnDOT’s ATP Managed Program must meet certain minimum federal and Partnership eligibility requirements, which are designed to assist the applicant in determining whether their proposed project is appropriate to receive federal funding. These seven eligibility criteria shown in **Table 4** should be used by the regional planning partners in screening and evaluating candidate projects for funding

Table 4: ATP Local Surface Transportation Block Grant Program Project Eligibility Criteria

CRITERIA		DEFINITION
1	Existing ADT	This is the average daily traffic (ADT) computed for the most recent count for the roadway. Twenty year ADT is used for non-existing roadways and expansion projects.
2	Minimum Functional Classification	This is the minimum functional classification for a roadway in order for it to receive federal funds
3	Minimum Federal Fund Request	This is the minimum amount of federal funds that may be requested for the project. Projects receiving federal funding require extensive amounts of documentation and investigation during project development. Projects should be of a certain magnitude to effectively optimize the use of federal funds. Otherwise, the administration and development costs may exceed the benefit of the federal funds that are being requested for the project
4	Project in Existing Plan or Program	Project must be consistent with state, regional, and local long-range plans, including plans and studies prepared by the RDC or MPO or a locally adopted capital improvement plan.
5	Assured Coordination with All Jurisdictions	Projects that cross multiple local government units must be accompanied by a letter and/or official action indicating all affected local units of government are in agreement with the concept of the proposed project. This is to make sure that projects have the support of the local units of government, which potentially have a veto power over that project.
6	Assured Local Match	Applicant must provide assurance that they have secured the necessary local match for their project. The local match is a minimum of 20 percent of the total project cost for which federal funds are being requested and any additional costs not covered by federal funds necessary to complete the project as proposed in the application.
7	Movement of People and Freight	Project must demonstrate that it improves the movement of people and freight. Regions will utilize information from Section 7 (Project Qualifications) of the application to make this determination.

In addition to the **Table 4** requirements, **Table 5** establishes the minimum project requirements by project investment category (roadway, bridge, and safety) that must be met by local agencies to qualify for STP federal funds. Project proposers must meet all requirements associated with the investment category for which funding is being sought.

Table 5: ATP Minimum Project Eligibility Requirements by Investment Category

CRITERIA		ROADWAY				BRIDGE			SAFETY
		Urban		Rural		Replace	New	Rehab	
		Existing	New Align	Existing	New Align				
1	Existing ADT	2,000	3,000	200	400	25	400 R 3,000 U	25	200
2	Minimum Functional Class	Collector	Collector	Major Collector	Major Collector	Public Road	Min-Col-R Min-Art-U	Public Road	Maj-Col-R Collector-U
3	Minimum Federal Fund Request	200K	200K	200K	200K	50K	50K	50K	100K (B/C>1)
4	Project in Existing Plan or Program	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
5	Assured Coordination with All Jurisdictions	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
6	Assured Local Match	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
7	Movement of People and Freight	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes

Applicants seeking federal funding under the ATP Managed Program will need to complete a separate “Local Surface Transportation Block Grant Program Funding Application” for each road or bridge project they wish to submit. Transit capital requests seeking ATP Managed Program funding, though eligible, will not use this application but will instead be referred to the District 3 Transit Providers Committee to determine project eligibility and need.

Regions are responsible for reviewing and evaluating the applications they receive from local agencies for funding under the ATP Managed Program. Regions are required to evaluate each project according to the seven project qualification factors included in the application, which are as follows:

- Access and Mobility
- System Connectivity
- Multimodal
- System Condition
- Safety
- Economic Vitality
- Equity

Regions have discretion in what methodology they wish to use in their application review and evaluation process, such as whether to use a quantitative or qualitative approach or a combination thereof. Regions may incorporate additional factors (beyond the seven noted above) to include in their evaluation process if they feel doing so will help determine the merits of each proposed project. If they elect to do, they should ensure the tools and/or methodology used is coordinated with their application practices and procedures.

Regions are required to rank their local project submittals after completing their evaluation of the applications. Transit capital requests, if any, must be considered in the region's ranking. The rank-ordered list should be fiscally-constrained according to the federal funds targeted to the region by the Partnership. The rank-ordered list may show local project requests exceeding the region's targeted amount if the region wishes to establish an overall ranking for all of the projects that were submitted.

Local agencies must submit a local resolution of commitment for each project being recommended for inclusion in the Draft ATIP. The local resolution must be specific to the project being programmed. Language in the resolution must include the local agency's commitment to the project scope and description and the local matching funds needed to leverage the federal funds. Resolutions must include language whereby the local agency agrees to cover any additional costs beyond the programmed amounts that may be necessary to complete the project as submitted in the application. Resolutions must be submitted to MnDOT District 3 staff prior to the finalization of the Draft ATIP/STIP to ensure local commitment toward the project. Local agencies may submit their resolutions at the time of application or after the project is recommended by the region to the Partnership for inclusion in the Draft ATIP.

Transportation Alternatives Program Development

Transportation Alternatives Program (TAP) projects are selected under a different application process and selection criteria than that used for the ATP Managed Program. The TAP is administered jointly between the MnDOT Central Office and the ATPs as part of a competitive application process. Applicants interested in applying to the TAP must first complete a Letter of Intent (LOI) to determine their eligibility and preparedness. Regions send out full applications to applicants in their area who have completed the LOI, meet the basic eligibility requirements, and successfully demonstrate potential to receive funding from the TAP.

The Partnership, through its TAP Committee, has developed a TAP Application entitled the "Full Application" for use in ATP-3 to supplement the LOI administered centrally by MnDOT. The application requires applicants to provide information about their proposed project's description, budget, schedule, and eligibility. Applicants must also furnish narrative responses to provide additional project details and to respond to several criteria that will be used later by the TAP Committee in technically evaluating and scoring each proposal.

Regions are responsible for establishing a process for reviewing and ranking the TAP applications they receive. In reviewing each application, regions should consider information and responses to the criteria in the application in determining each project's eligibility and ranking. The region's scoring of the applications provides a basis for each region to establish their individual regional TAP priorities.

Each region is granted "Regional Significance" points that they may use to help advance their top two regionally-significant projects in the Partnership's process. Regions are allowed to add ten points to their most regionally-significant project and five points to their second most regionally-significant project. Applicable points are added to the project score when the TAP Committee meets to conduct its evaluation of the applications submitted for the entire ATP-3 area.

The Partnership utilizes a method to address equity called the "Direct Correlation of Regional Population Percentage to Regional Funding Distribution". Using each region's population percentage as a surrogate for the equitable distribution of TAP funding within the ATP area, equity points are distributed to regions that

have not received their equitable share of TAP funding. Equity is measured as each region's percent of the population compared to the historical amount of TAP funding they have received.

Equity points become available when a regional equity deficit is four percent or more. Available equity points are not awarded when less than four and are capped at the region's percent share of the population, whichever is greater. Once a region has fallen behind on equity, equity points equal to the actual amount of the inequity percentage are added to the region's number one priority project, which is defined as the project that the region has awarded its ten regional significance points to. Equity points are added to the project's score after the TAP Committee members' technical scores have been totaled and averaged, and the ten regional significance points have been awarded to the region's number one priority project. Applicable points are applied to the project score when the TAP Committee meets to conduct its evaluation of the applications submitted for the entire ATP-3 area.

Following review by the regions, the TAP Committee's individual members technically evaluate and score the applications received for the entire ATP programming area. Members then submit their ranked ordered list of projects with corresponding scores based on the scoring criteria and methodology previously established by the Partnership. Member scores for each application are totaled together to determine an average technical score for each project. Any additional points related to equity or regional significance are added to establish a final application score. The TAP Committee then convenes to review project scores, establish a recommended list of rank ordered projects for funding consideration, and develop comments for applicants that may re-apply in future years.

In addition to the procedures established above, the TAP Committee follows the ensuing process when establishing the recommended list of rank ordered projects for funding consideration:

- To be selected for TAP funding, a project application must receive a TAP Committee average technical score of sixty or higher (zero to one-hundred scale), which does not include equity or regional significance points.
- The Committee first attempts to fund projects to the requested amount, which is typically eighty percent federal and twenty percent local match (or the maximum allowed by the ATP). When the yearly TAP funding begins to dwindle and funding a project with eighty percent federal/twenty percent local is no longer an option, the Committee uses the prioritized list and asks the next in line applicant if they are willing to accept a lesser federal portion. A minimum thirty percent federal share is required. If the next in line applicant is not willing to accept a lesser federal share, the question is asked to the next in line applicant and so on.
 - Applicants being asked to accept a lesser federal share cannot re-scope the project to better fit the available funding amount.

Final application scores provide the basis for determining the ranking of TAP applications by the TAP Committee. The rank-ordered list should be fiscally-constrained according to the federal TAP funds that are expected to be available for the given fiscal year being programmed. The list should include the ranking of projects exceeding the available funding to establish an overall ranking for all of the TAP projects that were submitted and reviewed. The TAP Committee forwards its rank-ordered list of projects to the Partnership's ATIP Committee for consideration in the Draft ATIP.

Transit Vehicle Capital Funding Requests

Presently, transit capital vehicle requests for both Rural and Small Urban systems are funded centrally by the MnDOT Office of Transit and Active Transportation (OTAT). With this being the case, the Partnership's Transit Committee has been inactivated. The Partnership can elect to reactive this committee should OTAT require the need for ATPs to assist in the future funding of transit needs statewide.

If reactivated, the Partnership's Transit Committee would review the transit capital requests requesting federal highway funding. This committee will use vehicle useful life data to forecast future transit vehicle needs within the ATP's programming area. Useful life is evaluated according to each vehicle's classification, age, mileage, and condition. The committee will use the data driven information to recommend the transit vehicle capital requests that they propose for inclusion in the Draft ATIP.

Transit Committee recommendations can be considered by OTAT for requests to be funded centrally, or by the Partnership for requests to be funded from the ATP Managed Program, or by a combination of both sources. The OTAT may fund new requests and requests previously considered or committed to by the Partnership. If previously committed ATP Managed Program funds are replaced by OTAT's funding, those funds would become available to the Partnership for re-programming. The organization responsible for considering requests may depend on the funding available to the Office of Transit. If funding requests to the OTAT are denied or funding levels are insufficient, the Partnership may be asked to fund requests for rural bus capital requests with its ATP Managed Program

MnDOT District 3's Program Development

MnDOT District 3 receives federal and state funding for developing its four-year construction program to be included in the Draft ATIP through MnDOT's Statewide Performance Program (SPP) and the District Risk Management Program (DRMP). The SPP funds are allocated to the districts based on the investments necessary to achieve MnSHIP performance targets established for pavement and bridges on the designated National Highway System (NHS). The NHS includes Interstates, most U.S. highways, and other routes functionally classified as a principal arterial. Selection of projects for the SPP involves collaboration between the MnDOT district offices, specialty offices, and the central office.

DRMP funds provided to MnDOT District 3 for improvements primarily on non-NHS roadways (e.g., routes functionally classified as minor arterials and below) though improvements to NHS routes with these funds may be allowed. Project selections are evaluated statewide through a collaborative process to ensure each district is balancing district-level risks while making progress toward statewide goals. The DRMP focuses on pavement, bridge, and roadside infrastructure on lower-volume roads; and is responsible for funding the majority of safety and mobility projects proposed by the districts.

MnDOT District 3 begins its process for identifying new projects to be added into the fourth year of the ATIP by reviewing the planned investments included in its ten-year capital highway work plan, which includes the first four years of the STIP and years five thru ten which constitute the remainder of the work plan. MnDOT views projects in the STIP as commitments while projects in years five thru ten have more uncertainty but are planned to be delivered.

The District's ten-year capital work plan is updated annually and contains a listing of the District's transportation investments by year that have been identified to help MnDOT meet its required national and

statewide performance targets as well as other transportation goals. The planned investments identified in the work plan have received prior concurrence from MnDOT Central Office and the appropriate Specialty Offices as part of the annual update cycle.

Functional group leaders with responsibility for pavements, bridges, traffic and safety, and maintenance in the district are responsible for reviewing the projects in the work plan and recommending any changes or adjustments to the program that may be necessary. After verifying the projects and activities to be recommended for both SPP and DRMP funding, district planning staff organize a meeting with key leaders to discuss changes to the program and seek agreement on the projects to recommend for advancement into the ATIP.

Proposed projects recommended for further programming consideration are assigned a project manager. Project managers are responsible for conducting a pre-program scoping of the projects they are assigned to determine a more definitive scope and cost for the project. Individuals from other functional groups within the district are given the opportunity to provide input into scoping decision for the proposed project. Project managers consider this input in finalizing the scope and cost for the projects. District planning staff ensures the proposed program is properly vetted internally and that the program remains fiscally-constrained.

Programming of funds for several set-aside categories is also determined as part of the development of MnDOT District 3's four-year construction program. Setasides are necessary for delivery and support of the district's overall construction program. Setaside categories generally include the following: right of way, supplemental agreements and cost overruns, cooperative construction agreements for participation in local projects, landscape partnerships, road and bridge repair and rehabilitation, and miscellaneous activities associated with construction (i.e., detours, utilities, etc.) These activities are generally funded with state trunk highway funds provided to MnDOT District 3 through the DRMP.

MnDOT District 3 staff performs the ranking of trunk highway projects. Functional group leaders, responsible for recommending the projects to be programmed, rank the projects they have identified. Each group leader uses a different set of criteria to rank projects within their area of responsibility. They use these criteria to develop a rank-ordered listing of projects that will be used later for integrating MnDOT's program and the local program in development the Draft ATIP.

Following the development of its proposed program, MnDOT District 3 provides its listing of recommended projects for the fourth year of the program along with changes to existing programmed projects that will be included in the district's four-year construction program and the Draft ATIP.

Merging Regional Transportation Priorities

The Partnership has agreed to respect the priorities established by each region as long as the recommended projects meet federal, state, and ATP-3 eligibility requirements for inclusion in the Draft ATIP. The Partnership's ATIP Development Committee is responsible for reviewing the transportation priorities of the regions and MnDOT District 3 and integrating these priorities into a Draft ATIP to recommend to the full Partnership.

The ATIP Development Committee initiates this process by reviewing the rank-ordered lists seeking federal funds under the ATP Managed Program submitted by the regions. After reviewing the lists, the Committee establishes a process for merging the locally-sponsored projects, ensuring the process does not violate

regional priorities. Upon deciding on an acceptable process, the Committee proceeds to merge the projects. It continues to merge the regional lists until the federal funding targeted for locally-sponsored transportation projects is financially-constrained to the levels allowable in the STIP Guidance.

The Committee continues to prioritize the list of local projects exceeding the target level in the STIP Guidance. This is done so that projects are identified for possible advancement in the event additional federal funds become available to the Partnership that must be programmed prior to the next ATIP update cycle. It should be noted that these projects will need to be amended into the STIP if they are allowed to be advanced because of the announcement of additional funding. If funding is not forthcoming for these projects, project proposers are reminded that they will be required to re-submit their applications for these projects if they wish to be considered for federal funding in future ATIP development processes.

After local projects have been merged, the ATIP Development Committee establishes a process for integrating MnDOT District 3's proposed trunk highway program with the rank-ordered list of local projects. Since the state projects receiving funding under the SPP are determined centrally, these projects are not integrated with the local projects in the program. Only the projects seeking federal funding under the DRMP are integrated. Integration of the state and local program is accomplished using the quartile method of merging projects to ensure an equitable and fair distribution of federal funding by jurisdiction throughout the program.

The Partnership completes the ATIP development process by holding a meeting to review and approve the Draft ATIP recommended to it by the ATIP Development Committee. The Draft ATIP is then recommended to the MnDOT District 3 Transportation District Engineer, who reviews the document and forwards it, along with any changes or comments, to MnDOT Central Office for inclusion in the Draft STIP. The Partnership is provided an opportunity to review and comment on its element of the Draft STIP before the document is approved by the MnDOT Commissioner and forwarded to the Federal Highway Administration and Federal Transit Administration for review and approval.

MINNESOTA TRANSPORTATION REVOLVING LOAN FUND

Minnesota established a Transportation Revolving Loan Fund (TRLF) in 1997 in response to federal legislation calling for the creation of State Infrastructure Banks. The purpose of the TRLF is to attract new funding into transportation, to encourage innovative approaches to financing transportation projects, and to help build needed transportation infrastructure by providing low-cost financing to eligible borrowers for transportation projects.

Eligible applicants include the state, counties, cities, and other governmental units with projects eligible for federal-aid funding as set forth under Title 23 of the United States Code and Minnesota Statutes 446A.085, subdivision 2 (1998). Eligible projects include (but are not limited to) road and bridge maintenance, repair, improvement, or construction; acquisition of right of way; rail and air safety projects; enhancement items; transit capital projects; and pre design studies.

MnDOT Central Office is responsible for soliciting new TRLF project proposals. The application period is contingent upon the balance in the TRLF account. All proposals for TRLF projects must go through MnDOT's ATP process. The Partnership is required to evaluate, approve, and prioritize the applications that are submitted in the ATP-3 area. If the TRLF project is located within the APO's 20-year planning area, the APO

must approve the application and place it in its TIP if the request is approved by the Partnership and MnDOT for inclusion in the STIP.

Federal funds may be used for TRLF loan repayment. If federal funds are used in this manner, they may only be requested and programmed in the year following the program year that TRLF funds are being requested or any successive year thereafter. For example, if a TRLF loan is being sought for the third year of the four-year ATIP, applicants can only request federal funds through the region for the fourth year of the program. Applicants should not assume federal funding as a payback source for their TRLF proposal until funding has been committed and included in the STIP.

Applicants seeking federal funding should make their request for the early years of the loan repayment to avoid long-term obligations of these funds by the Partnership. Regions must agree to commit future federal allocations if the TRLF application is approved for funding. Any federal funds that are committed for loan repayment will count against each region's local federal funding sub-target. If a region declines to commit future federal funds toward the financing of the project, the applicant will be asked if they wish to continue to pursue the project without federal funds and will be given an opportunity to resubmit their application.

The Partnership is required to review and rank the TRLF applications they receive regardless of the proposed loan repayment funding sources. The ranked proposals are then included in the STIP by amendment or as part of the normal Draft ATIP update cycle. This action authorizes MnDOT District 3 Planning and Programming Unit staff to submit the individual TRLF applications, along with any other supporting documentation, to MnDOT Central Office for further consideration.

MnDOT Central Office applies certification evaluation criteria provided in administrative rules and the handbook accompanying the application. Central Office submits its recommendations to MnDOT's Transportation Programming Investment Committee (TPIC) for certification and final approval by the Minnesota Public Facilities Authority (PFA). A project does not receive final funding approval until it has been certified by MnDOT and a loan has been approved by the PFA.

AREA TRANSPORTATION IMPROVEMENT PROGRAM MANAGEMENT

Overview

MnDOT District 3 staff is primarily involved in the day-to-day management of the ATIP. Management activities include ensuring the implementation of MnDOT District 3's trunk highway program and the locally-sponsored federal projects in the ATIP. The MnDOT District 3 Planning and Programming Unit is responsible for managing the trunk highway program and the MnDOT District 3 State Aid Engineer, with input from regions and affected local agencies, is responsible for managing the local projects in the ATIP.

While the overall responsibility for managing the ATIP rests with MnDOT District 3, the Partnership has approved guidance and policies to assist in managing changes affecting projects that have been selected for implementation in the ATIP. Possible changes to the ATIP include: dealing with revisions to project cost estimates; managing changes in project scope; and managing increases or reductions in federal funding. The level of direct Partnership involvement may vary depending on the change that is being requested.

The Partnership has adopted the following general policies to ensure the orderly delivery of projects and management of the ATIP.

- The project development process shall be initiated as soon as possible after final STIP approval.
- Local jurisdictions should provide an annual update to their respective region and the District 3 State Aid Engineer regarding the project development status for their programmed projects.
- Local jurisdictions should provide cost and project delivery updates on programmed projects to their respective region and the District 3 State Aid Engineer during the annual project solicitation period.
- A local project may be granted a maximum of two deferrals from its original program year.
 - The District 3 State Aid Engineer may grant the request, provided the deferral does not adversely affect other projects in the ATIP.
 - If granting the request does adversely affect other projects in the ATIP, the Partnership shall consider the request.
- A local project requiring a third deferral from its original program year shall be removed from the ATIP. The lead agency for the project will be directed by the Partnership to utilize an alternative funding source, or re-compete for funding.
- Regions with a local project that has been removed from the ATIP because of project delivery failures or eligibility shall be granted the first right of refusal for programming new projects with the unexpended funding.

Managing Revisions to Project Cost Estimates

A revision to a project cost estimate can occur at any time during the course of project and plan development. It is important for cost estimates to be kept accurate and up-to-date in the ATIP to avoid project delays, unanticipated costs, and amendments that could delay project implementation. In most cases, changes to cost estimates should be captured and documented as part of the Partnership's annual Draft ATIP update process.

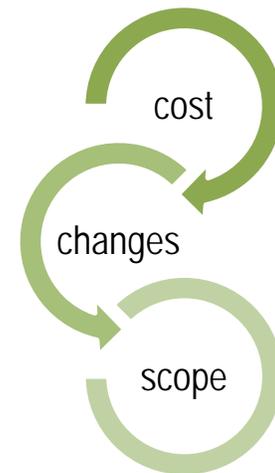
The Partnership considers federal funds for local projects to be "capped" once they have been programmed in the ATIP. Local agencies must submit a local resolution of commitment for each project it has programmed in the ATIP whereby it must agree to the project scope and to cover any other additional costs beyond the programmed amounts that may be necessary to complete the project as submitted in the application.

The Partnership has developed guidance that provides a process for considering local requests to increase the federal funding amount for a programmed project when the overall cost of the project is expected to increase. For MnDOT sponsored projects, the Partnership has granted MnDOT District 3 the authority to approve increases such as these for its projects as long as such action does not adversely affect locally-sponsored projects in the STIP. This is not to preclude other MnDOT projects from adversely being affected by the action.

For local projects, the Partnership has granted regions the discretion and authority to commit their future federal targeted funding to cover increases. The local agency seeking additional federal funding would initiate its request as part of the Partnership's annual Draft ATIP development cycle. If a region agrees to the increase, the local project sponsor would agree to upfront any costs for the overrun and be reimbursed in the year specified by the region. Regions may not exceed their targeted funding level in approving such requests and there can be no guarantee of reimbursement. Further, granting such a request shall not adversely affect funding to any state or local project in the ATIP.

Managing Changes in Project Scope

Changes in project scope are discouraged by the Partnership as changes in project scope can result in project cost increases. They also indicate premature submittal of the project for programming in the STIP by the project proposer. This can interfere with priority setting by the regions and MnDOT in recommending the best projects to include in the Draft ATIP for federal funding. If the recommended scoping changes are significant enough to change the project description, an amendment to the STIP may also be required in order to authorize the project. If the change in project scope does not significantly alter the programming category of the project for which it was included in the STIP, an amendment would not be required but a modification may be necessary.



The Partnership provides a process for considering scoping changes to projects programmed in the STIP. Changes in scope for a locally-sponsored project will require approval by the region. Without this approval, the project may be removed from the STIP or the local agency will be held to the original scope or, if approved, may be required to assume all increases in the project costs resulting from the scoping change. For MnDOT projects, MnDOT District 3 will maintain a process for considering scoping changes to the projects in its four-year highway construction program.

Managing Increases and Decreases in Federal Funding

The STIP is prepared based on estimates of available federal and state transportation funding. These estimates can vary from year-to-year based on MnDOT's financial forecasting assumptions, which, in turn, can affect the funding targeted to MnDOT District 3 and the Partnership. The Partnership has adopted policies to manage changes in federal funding to ensure that projects in the approved ATIP can be implemented.

To manage increases in federal funding, the ATP honors the regional federal funding sub-target distribution when determining possible methods for distributing funding to the regions. The ATP has acknowledged the following two options and could also consider other solutions when determining the most appropriate option:

Option 1 (Yearly Apportionment): Additional funds are distributed to each region in the year of the ATIP where increases in federal funding takes place based on each region's share of the funding. Under this scenario, each region can determine how to distribute the funds in the year it is available. Projects already authorized or let would not be eligible to receive additional funding.

Option 2 (ATIP Restructuring): Additional funds are managed by the Partnership through the advancement and/or restructuring of existing programmed projects to make funds available in the fourth year of the ATIP. Under this scenario, each region develops the fourth year of the ATIP with a higher level of funding. Determining which projects can be advanced and/or restructured requires collaboration between the District 3 State Aid Engineer and the local jurisdictions.

To manage reductions in federal funding, the Partnership has adopted a policy to delay or defer projects in the ATIP. This is initiated by the District 3 State Aid Engineer first asking sponsoring agencies with projects in the ATIP to voluntarily defer their projects. If projects cannot be identified in sufficient numbers to manage the funding decrease through this voluntary process, the Partnership shall be authorized to defer additional projects by priority order (descending) to move to the following year, and would continue this process until such time that the ATIP is fiscally-constrained according to the new federal funding estimate.

STIP Amendments and Administrative Modifications

Amendments to the STIP are needed for a variety of reasons, including but not limited to the following examples:

- A project is not listed in the current, approved STIP and must be added to the current (1st) year.
- There is an increase in the total cost of the project warranting an amendment.
- A phase of work (preliminary engineering, right of way, construction, etc.) is added to the project and increases the project cost.
- The project scope is changed (e.g., for a bridge project, changing rehab to replace; or for a highway projects, changing from resurface to reconstruct; etc.).
- There is a major change in the project termini/length warranting amendment.

The Partnership has worked to clarify its amendment requirements, streamline the decision-making process, and minimize potential delays to projects that would otherwise require formal action by the Partnership. The policy provides guidance on when formal action by the Partnership is required to amend the STIP and when such action is not warranted. The policy is as follows:

When Partnership Action is NOT REQUIRED:

1. The total cost of a project increases to warrant an amendment under MnDOT Central Office guidance. The increase is not caused by a scope change. The lead agency agrees to fund the difference in project cost. Fiscal constraint of the ATIP is maintained. For state projects, MnDOT District 3 may approve cost and scope changes so long as local federal projects are not adversely affected.
2. There is a minor change in the scope of a project whereby the changes to the project scope remain consistent with the original intent of the programmed project. The lead agency agrees to fund the difference in project cost. Fiscal constraint of the ATIP is maintained.
3. The scope of a local project is changed to warrant an amendment under MnDOT Central Office guidance. The proposed scope is significantly different from the original programmed project. The region (e.g., RDC or MPO) originally responsible for ranking the project agrees with the change. Fiscal constraint of the ATIP is maintained.
4. The scope of a project is changed that also affects the overall total cost of the project. Both of these changes meet the amendment requirements under MnDOT Central Office guidance. The region (e.g., RDC or MPO) originally responsible for ranking the project agrees with the changes. The lead agency agrees to fund the difference in project cost. Fiscal constraint of the ATIP is maintained.
5. Advancements and deferrals of local projects recommended by the District 3 State Aid Engineer necessary to maintain fiscal constraint of the local federal aid program in the first year of the ATIP.

6. Advancements, deferrals, and additions of the state trunk highway projects recommended by MnDOT District 3 to maintain fiscal constraint of the state trunk highway construction program in the first year of the ATIP.
7. A new project is being recommended for inclusion in the STIP, whereby the funding source(s) for this project do not involve the use of federal formula funds targeted to the Partnership. These projects may include federal high priority, appropriations, and earmark projects determined by Congress and the President; FTA Section 5309 transit capital projects; Public Lands; Forest Highways, Scenic Byways, and various state funded projects determined by the State Legislature and Governor.
8. A new project is being recommended for inclusion in the STIP, whereby the Partnership is not granted the opportunity to participate in the project solicitation and selection process. These types of projects include those listed in item 3, but may also include any federal or state funded projects where MnDOT is chiefly responsible for project selection. Recent examples include projects funded by the American Recovery and Reinvestment Act, Minnesota Chapter 152, Certain Allocated Funds, Safe Routes to School, Highway Safety Improvement Program, etc.

When Partnership ACTION IS REQUIRED:

1. The scope of a local project is changed to warrant an amendment under MnDOT Central Office guidance. The change in scope is significantly different from the original programmed project. The lead agency is not seeking additional federal funding. The region (e.g., RDC or MPO) responsible for originally ranking the project does not agree with the scope change. The lead agency is appealing the region's decision. The Partnership meets to consider the request and takes action as it deems appropriate.
2. The total cost of a project increases to warrant an amendment under MnDOT Central Office guidance. The change in total project cost may affect either the original programmed project or is caused by a scope change to this project. The lead agency is seeking additional federal formula funding from the Partnership to cover the difference. The Partnership meets to consider the request and, if approval is granted, ensures fiscal constraint of the ATIP is maintained.
3. The Partnership experiences an increase or reduction in its federal funding target that cannot be addressed as part of its normal ATIP update process. The Partnership is asked to manage the increase or reduction in federal funding to ensure fiscal constraint of the ATIP is maintained. The changes required to the program are complicated and do not otherwise neatly conform to the Partnership's existing policy on managing increases and reductions in federal funding. The Partnership meets to consider these requests and takes action as it deems appropriate.
4. Any unforeseen requirements necessitating an amendment that is not already covered by this policy.

Linking Projects in the STIP

Sometimes one or more jurisdictions may have projects that are programmed in different years of the ATIP. In some cases, these projects may be closely tied to each other by proximity, work type, need, etc. Sponsoring agencies may wish to link these projects together so the projects may be implemented in the same programming year. Justification for such requests might include coordination of construction activities, reducing impediments caused by detours to the traveling public, improved coordination between jurisdictions, cost savings, etc. Local agencies may make a formal request to the Partnership to link two or more projects programmed in different years with one another in one program year. Before the Partnership considers such requests, the local agency is required to provide sound justification to justify their requests. The Partnership will be responsible for ensuring the approval of these requests do not adversely impact other projects in the ATIP without the consent and approval of the other agencies that might be affected by such action.



GLOSSARY

Definitions that are germane to the understanding of this manual are listed below. The definitions are intended to establish consistency in the interpretation of the various terms used throughout this document as well as other commonly used transportation terms.

Access/Accessibility – The opportunity to reach a desired location within a certain time frame, without being impeded by physical or economic barriers.

Americans with Disabilities Act (ADA) – 1990 federal act provides a framework and approach for ending discrimination in employment and access to services against persons with disabilities. The goals of the ADA are to assure that persons with disabilities have equality of opportunity, a chance to fully participate in society, are able to live independently, and can be economically self-sufficient.

Area Transportation Improvement Program (ATIP) – The Area Transportation Improvement Program (ATIP) covers four years and includes all state and local projects financed with federal highway or transit assistance; other regionally significant projects; and all projects on the trunk highway system. Each Area Transportation Partnership prepares a Draft ATIP for consideration and inclusion in the State Transportation Improvement Program (STIP). Once in the STIP, projects from the ATIP become eligible for federal transportation funding.

Area Transportation Partnership (ATP) – Groups that have been established in each of MnDOT's eight district areas to integrate state and local priorities and recommend area-wide transportation investment for a minimum four-year program.

Area Transportation Partnership (ATP) Managed Program – The ATP Managed Program consists of federal funding distributed to ATPs for local agencies to fund qualifying transportation projects under the Surface Transportation Block Grant Program (STBGP) Urban, Small Urban, and Rural population programs. Distribution of funds to the ATPs is accomplished based on the following factors:

- 50% - Distributed by ATP population consistent with the most recent census, distributed by the definitions for rural, small urban, and urban as defined by federal transportation planning regulations.
- 50% - Distributed by the average of the ATPs' county and municipal state aid needs as calculated by MnDOT's State Aid for Local Transportation process.

Bikeway – A facility intended to accommodate bicycle travel for recreational or commuting purposes. Bikeways are not necessarily separated facilities; they may be designed and operated to be shared with other travel modes.

Busways - A two-lane facility (one lane per direction) on exclusive right of way dedicated for buses only. Grade separation at high volume cross streets and gate crossing arms at low volume crossings are assumed.

Capital Highway Investment Plan (CHIP) - The CHIP details MnDOT's capital highway investments for the next ten years on the state highway network. The CHIP is updated annually. The primary purpose of the CHIP is to communicate MnDOT's programmed and planned capital highway projects. The CHIP serves as a check to ensure that MnDOT is meeting the investment levels and performance outcomes identified in its 20-year Minnesota State Highway Investment Plan. The first four years represent state highway projects in the State Transportation Improvement Program (STIP), which is MnDOT's committed construction program. The CHIP also identifies projects in the six years, which are the agency's planned investments. While projects are not commitments until they reach the STIP, listing potential projects five to ten years out allows for advanced coordination and ultimately better projects for all those served.

Carbon Monoxide Nonattainment Area - The Twin Cities area is part of a nonattainment area for carbon monoxide emissions from transportation sources. The designation and area affected is based on national carbon monoxide standards. A portion of this area extends into eastern Wright County.

Car Pool – An arrangement where people share the use and cost of privately owned automobiles in traveling to and from pre-arranged destinations.

Circulator Service - A means of movement provided within a major activity center (such as a regional business concentration or community) for going from place to place within the center; such a system may be entirely pedestrian or may use transit.

Collector Streets - The streets that connect neighborhoods to regional business concentrations.

Complete Streets – The planning, scoping, design, implementation, operation, and maintenance of roads in order to reasonably address the safety and accessibility needs of users of all ages and abilities. Complete streets considers the needs of motorists, pedestrians, transit users and vehicles, bicyclists, and commercial and emergency vehicles moving along and across roads, intersections, and crossings in a manner that is sensitive to the local context and recognizes that the needs vary in urban, suburban and rural settings.

Congestion Mitigation and Air Quality (CMAQ) – The CMAQ program is continued in MAP-21 to provide a flexible funding source to State and local governments for transportation projects and programs to help meet the requirements of the Clean Air Act. Funding is available to reduce congestion and improve air quality for areas that do not meet the National Ambient Air Quality Standards for ozone, carbon monoxide, or particulate matter (nonattainment areas) and for former nonattainment areas that are now in compliance (maintenance areas). Currently only the Metro District/Met Council is eligible for these funds.

Context Sensitive Solutions – A collaborative, interdisciplinary approach to building transportation facilities that fit their settings. It is an approach that leads to preserving and enhancing scenic, aesthetic, historic, community, and environmental resources, while improving or maintaining safety, mobility and infrastructure conditions.

Control Section - A segment of the state highway road system that is divided into shorter, more manageable parts for record keeping within MnDOT.

Cost-Sharing - A contractual arrangement whereby a local unit of government or other governmental body enters into an agreement to pay for part of a physical facility or a service; includes subscription transit service.

County Road (CR) - Roads locally maintained by county highway departments in Minnesota; span a wide variety of road types, varying from A-minor arterials that carry large volumes of traffic to an improved road.

County State-Aid Highway (CSAH) – Specialized form of county road that is part of the state aid system. County State Aid routes are eligible for funding from the County State Aid Highway Fund.

Demand-Responsive Service - A para-transit service in which the passenger either phones or hails the vehicle and shares the vehicle with other passengers (for example, taxi, jitney, dial-a-ride).

Developing Area - The developing area is that portion of the region that is in the path of urban growth. It includes the communities beyond the fully developed area up to the metropolitan urban service area boundary.

Dial-A-Ride - A demand-responsive service in which the vehicle is requested by telephone and vehicle routing is determined as requests are received. Origin-to-destination service with some intermediate stops is offered. Dial-A-Ride is a version of the taxicab using larger vehicles for short-to-medium-distance trips in lower-density sub-regions.

District Risk Management Program (DRMP) – The District Risk Management Program is the new name for MnDOT’s share of the State and Federal Target Formula funds provided to the Districts. The distribution is based on the following factors:

- 20% – Non-Principal Pavement Needs
- 20% – Non-Principal Bridge Needs
- 30% – Trunk Highway Lane Miles
- 24% – Trunk Highway Vehicle Miles Traveled (VMT)
- 6% – Trunk Highway Heavy Commercial Vehicle Miles Traveled (HCVMT)



The “Needs” factors are updated each year.

Environmental Justice - 1994 executive order that requires analysis of the effects of federally funded programs, plans and actions on racial minority populations and low-income populations.

Federal Highway Administration (FHWA) – A branch of the U.S. Department of Transportation that provides financial and technical assistance to local public transit systems and oversees safety measures for those systems.

Federal Transit Administration (FTA) - A branch of the U.S. Department of Transportation that provides financial and technical assistance to local public transit systems and oversees safety measures for those systems.

Fixing America’s Surface Transportation Act (FAST Act) – Fast Act is a five-year surface transportation law that provides funding for federal fiscal years 2016-2020. It is the first federal transportation bill enacted

in over ten years that provides long-term funding for infrastructure planning and investment. The FAST Act replaced MAP-21.

Fixed-Route Transit - A service that follows a specified route of travel with identified stops for passengers and an established schedule; regular-route transit.

Functional Classification – Functional classification is the grouping of streets and highways into classes or systems according to the character of service they are intended to provide. Basic to this process is the recognition that most travel involves movement through a network of roads. Functional classification defines the role that any particular road or street plays in serving the flow of trips through an entire network.

Functionally Obsolete – A bridge that was built to standards that do not meet the minimum federal clearance requirements for a new bridge. These bridges are not automatically rated as structurally deficient, nor are they inherently unsafe. Functionally obsolete bridges include those that have sub- standard geometric features such as narrow lanes, narrow shoulders, poor approach alignment or inadequate vertical under clearance.

Grade Separation - Intersection of traffic by provision of crossing structures, underpasses or overpasses; interchanges.

Greater Minnesota – The area of Minnesota that lies outside the seven-county Metro Area.

Highway Performance Monitoring System (HPMS) – The national level highway information system that includes data on the extent, condition, performance, use and operating characteristics of the nation's highways. The Office of Transportation System Management submits state-level traffic data to HPMS on a monthly and yearly basis.

Highway Safety Improvement Program (HSIP) – HSIP is a federal-aid funding program designed to reduce traffic fatalities and serious injuries on all public roads. The object of this program is to identify, implement and evaluate cost effective construction safety projects. HSIP is formerly known as Hazard Elimination Safety (HES).

Infrastructure - Fixed facilities, such as roadway or railroad tracks; permanent structures.

Intermodal - A concept generally defined as a "seamless" delivery of freight by more than one mode from point of origin to point of destination. The delivery is accomplished under one bill of lading, but may include truck/rail/truck, truck/air/truck, or truck/rail/vessel.



Level of Service - As related to highways, the different operating conditions that occur on a lane or roadway when accommodating various traffic volumes. It is a qualitative measure of the effect of traffic flow factors, such as speed and travel time, interruption, freedom to maneuver, driver comfort and convenience, and indirectly, safety and operating costs. It is expressed as levels of service "A" through "F." Level "A" is a condition of free traffic flow where there is little or no restriction in speed or maneuverability caused by

presence of other vehicles. Level "F" is forced-flow operation at low speed with many stoppages, with the highway acting as a storage area.

Legislative Route - A highway number defined by the Minnesota State Legislature. Routes 1 to 70 are constitutional routes and route numbers greater than 70 may be added or deleted by the Legislature.

Life-Cycle Maintenance - Concept of keeping a facility useable at least through its design life by conducting scheduled maintenance.

Local system roads - Any road not on the Interstate or Trunk Highway system can be designated as a CSAH (County State Aid Highway), CR (County Road), MSAS (Municipal State Aid Street), township, or municipal road.



Long Range Transportation Plan (LRTP) - A transportation plan addressing no less than a twenty (20) year planning horizon. The LRTP includes both long-range and short-range strategies/actions that lead to the development of an integrated multimodal transportation system.

Major Construction - Roadway improvements that increase the operational characteristics of a highway facility, including decreasing congestion, increasing operating speed and reducing accidents.

MAP-21 Moving Ahead for Progress in the 21st Century Act – MAP-21 was a two-year transportation act that establishes federal assistance to the states through September 2014. It also restructures core transportation programs and institutes a performance-based transportation program. Note: MAP-21 replaced SAFETEA-LU, the 2005 Federal Transportation Act.

Metro Area – The seven-county Twin Cities Metropolitan Area comprised of Anoka, Carver, Dakota, Hennepin, Ramsey, Scott, and Washington counties.

Metropolitan Council - The Metropolitan Council is the regional policy-making body, planning agency, and provider of essential services for the Twin Cities metropolitan region. The Council's mission is to foster efficient and economic growth for a prosperous region. The Council serves as the designated Metropolitan Planning Organization (MPO) for the Twin Cities metropolitan area. The legislatively defined seven-county region consists of Anoka, Carver, Dakota, Hennepin, Ramsey, Scott, and Washington Counties. For MPO planning purposes, the region extends beyond this boundary to encompass the Census defined urbanized portions of Sherburne and Wright Counties and a small portion of St. Croix County, Wisconsin. Portions of the Cities of Albertville, Hanover, Otsego, and St. Michael in Wright County and portions of Elk River and Big Lake Township in Sherburne County are included in the Council's extended urbanized metropolitan area.

Metropolitan Planning Organization (MPO) – Regional planning agency designated by law with the lead responsibility for the development of a metropolitan area's transportation plans and to coordinate the

transportation planning process. All urban areas over 50,000 in population are required to have an MPO if the agencies spend Federal funds on transportation improvements. There are eight Metropolitan Planning Organizations in Minnesota. Primary functions of an MPO include: maintain a long-range transportation plan, develop a Transportation Improvement Program (TIP), and develop a Unified Planning Work Program (UPWP).

Minnesota Department of Transportation (MnDOT) - The state department of transportation for Minnesota. MnDOT's mission is to plan, build, operate, and maintain a safe, accessible, efficient, and reliable multimodal transportation system that connects people to destinations and markets throughout the state, regionally, and around the world.

Municipal State Aid Street (MSAS) - Similar to the County State Aid system, this is a system of designated municipal streets in cities above 5,000 in population that are not already on the state highway or CSAH systems. Municipal streets on the MSAS system are eligible for funding from the Municipal State Aid Highway Fund.

Minnesota State Highway Investment Plan (MnSHIP) – The MnSHIP supports the guiding principles from the Minnesota GO vision and link the policies and strategies laid out in the Statewide Multimodal Transportation Plan to improvements on the state highway system. The state highway system is a network of roads that includes interstates, U.S. highways, and state highways. MnDOT maintains the state's 12,000-mile highway system. MnSHIP guides future capital improvements on Minnesota's state highway system over the next twenty years; it will not affect local or county roads.

Mixed Use - Refers to a variety of land uses and activities with a mixture of different types of development, all clustered within about one-quarter mile or within 40-to-160 acre areas, in contrast to separating uses, such as job sites, retail and housing.

Mobility - The ability of a person or people to travel from one place to another.

Mode – Different forms and means of transportation for moving people and freight. Examples include highways, transit, rail, air, waterways, bicycles, and pedestrian.

Multimodal Link - The connection between two or more passenger transportation methods (such as bicycle, walking, automobile and transit).

National Environmental Policy Act (NEPA) - NEPA was signed into law on January 1, 1970, by President Nixon. The Act is designed to encourage productive and enjoyable harmony between humans and their environment; promote efforts which will prevent or eliminate damage to the environment and biosphere and stimulate the health and welfare of humankind; to enrich the understanding of the ecological systems and natural resources important to the Nation; and to establish a Council on Environmental Quality.

National Highway System (NHS) – The National Highway System (NHS) consists of roadways important to the nation's economy, defense, and mobility, and was developed by the Department of Transportation (DOT) in cooperation with the states, local officials, and metropolitan planning organizations (MPOs). Moving Ahead for Progress in the 21st Century (MAP-21) has elevated the priority of the NHS system by increasing the share of federal aid dollars targeted to the system and by requiring regular reporting of performance for the condition and the function of this system. MAP-21 authorizes funding for five formula programs, the largest

of which is the National Highway Performance Program (NHPP). The NHS includes the following subsystems of roadways (a specific highway route may be on more than one subsystem):

- **Interstate** - The Eisenhower Interstate System of highways retains its separate identity within the NHS.
- **Other Principal Arterials** - These are highways in rural and urban areas, which provide access between an arterial and a major port, airport, public transportation facility, or other intermodal transportation facility.
- **Strategic Highway Network (STRAHNET)** - This is a network of highways, which are important to the United States' strategic defense policy and which provide defense access, continuity and emergency capabilities for defense purposes.
- **Major Strategic Highway Network Connectors** - These are highways, which provide access between major military installations and highways which are part of the Strategic Highway Network.
- **Intermodal Connectors** - These highways provide access between major intermodal facilities and the other four subsystems making up the National Highway System.

Operational Improvement - A capital improvement consisting of installation of traffic surveillance and control equipment, computerized signal systems, motorist information systems, integrated traffic control systems, incident management programs, and transportation demand and system management facilities, strategies and program.

Para-transit Services - Transit service that provides generally more flexible and personalized service regular-route transit, using a variety of vehicles, such as large and small buses, vans, cars and taxis. Para-transit can serve a particular population, such as people with disabilities, or can be assigned to serve the general population. Para-transit is frequently provided in less densely populated areas, and used at times and in areas where trip demands are less concentrated, such as during weekends and evenings in urban settings. Para-transit services are of several types:

- **Ridesharing** - Car and van pooling intended primarily to serve the work trip.
- **Demand-Response** - This is any type of public transportation involving flexibly scheduled service that is deployed upon a person's request for a trip. There are three types of demand response:
 - **Dial-A-Ride Services** - The best known and most common type of para-transit, involving advance request pickup and drop-off at desired or designated destinations. Dial-a-ride may deploy vans, small buses or shared-ride taxis.
 - **Cycled Services** - A zonal demand-response service in which the vehicles are scheduled to arrive and leave a major activity center on a regular basis; and in between scheduled stops, passengers are picked up and dropped off at their doors.
 - **Flexible Fixed-Route or Deviation Services** - Either point deviation or route deviation where vehicles stop at specific locations on a regular schedule but do not have to follow a set route between the stops. They can deviate from the route to pick up or drop off passengers upon request.

Park and Ride - An arrangement whereby people can drive an automobile to a transit hub, transfer station or terminal, park in the designated lot, and use a transit vehicle for their ultimate destinations.

Peak Period - The time between 6:30 and 9 a.m. and between 3:30 and 6 p.m. on a weekday, when traffic is usually heavy.

Performance Measures – A quantifiable representation of an outcome or process. Performance measures can be used as a management tool to track and assess progress. They can be used address stakeholders' desire for accountability and transparency in decision making.



Person Trip - A one-way journey between two points by one person in a vehicle.

Preservation - Preservation activities are directed toward the elimination of deficiencies and major cost replacement of existing facilities. Preservation is not meant to include work that will increase the level of service by the addition of traffic lanes.

Public Engagement Outreach Plan for Long-term Equity (PEOPLE) - The public participation plan for MnDOT District 3.

Regional Development Commission (RDC) - Established by the Minnesota Legislature in 1969 under the Regional Development Act, RDCs were created to work with and on behalf of local units of government to develop plans or implement programs to address economic, social, physical, and governmental concerns. There were 13 development regions designated: 12 regions in Greater Minnesota and the Twin Cities seven-county area. Currently, only 9 of the 12 outstate regions are active. Region 5 (Cass, Crow Wing, Morrison, Todd, and Wadena Counties), Region 7E (Chisago, Isanti, Kanabec, Mille Lacs, and Pine Counties), and Region 7W (Benton, Sherburne, Stearns, and Wright Counties) are located in District 3. Only Regions 5 and 7E have active commissions.

Region 7W Transportation Policy Board (TPB) - Region 7W is one of the 12 development regions created in Greater Minnesota under the 1969 Regional Development Act. Region 7W was once an active region with a functioning commission. However, in 1981, the Region officially became inactive. In 2000, the Region 7W TPB was established by Joint Powers Agreement duly executed by Benton, Sherburne, Stearns, and Wright Counties to conduct transportation planning and programming responsibilities. While not an RDC as defined above, the TPB performs many of the same functions and receives planning support from MnDOT similar to an RDC.

Regular-Route Transit Service - A transit service that operates on a predetermined, fixed route and schedule. The types of vehicle used in regular-route service are generally large buses or small buses. Regular-route service is usually classified as four types:

- Local Service - Buses make frequent pickups and drop-offs, stopping at almost every street corner.
- Urban Local - Buses operate primarily in central cities and include regular-route radial service (routes start or end in one or both of the two major downtowns); crosstown (often providing connecting links

between radial routes); and limited stop (buses make limited stops along a route or "skip stops," achieving faster service to selected destinations).

- Suburban Locals - Buses operate in suburban environments, many times as suburban circulators, and include regular-route crosstowns (often as feeder routes to radial services) and para-transit services.
- Express - Buses operate nonstop on highways or dedicated transitways for at least four miles and include peak only and all-day express. Express routes provide travel times competitive with driving in an automobile. Most express routes operate longer distances (8-25 miles) and during peak times, and are destined to and from one of the two major downtowns.

Rehabilitation - Roadway improvements intended to correct conditions identified as deficient without major changes to the cross section. These projects should consist of removal and replacement of base and pavement, shouldering and widening and drainage correction as needed.

Right of Way (ROW) – Right of way refers to a strip of land which is used as a transportation corridor. The land is acquired as an easement or in fee, either by agreement or condemnation. It may also refer to temporary rights needed to construct a transportation facility.



Routine Maintenance - Roadway maintenance consisting of snow and ice control, mowing, sweeping, periodic applications of bituminous overlays, seal treatments, milling, crack routing and filling and base repair. These treatments are intended to help ensure the roadway can be used to the end of its design life.

Saint Cloud Area Planning Organization (APO) - The APO is the designated MPO for the St. Cloud metropolitan area. There are 19 jurisdictions making up the APO's 20-year planning area. Nine of these jurisdictions along with the Saint Cloud Metropolitan Transit Commission (Saint Cloud Metro Bus) are subscribed, planning partner members of the APO.

Smart Growth - A pro-growth approach to guiding development into more convenient patterns and into areas where infrastructure allows growth to be sustained over the long term. It envisions developments of complementary land uses, including affordable and lifecycle housing, retail and offices, on interconnected streets amenable to walking, bicycling or using transit or car to reach destinations.

Stakeholders – A person or group that may be affected or perceives that they may be affected by a decision, plan, program or project.

Statewide Performance Program (SPP) – SPP consists of federal funding provided under the National Highway Performance Program (NHPP) intended for use on the National Highway System (NHS) including the required state/local matching funds. MnDOT has established the SPP to ensure progress in meeting federal performance requirements for pavement, bridge, safety, and congestion on the NHS system.

State Transportation Improvement Plan (STIP) – The State Transportation Improvement Program (STIP) is Minnesota’s four-year transportation improvement program. The STIP identifies the schedule and funding of transportation projects by state fiscal year (July 1 through June 30). It includes all state and local transportation projects with federal highway and/or federal transit funding along with 100 percent state funded transportation projects. Rail, port, and aeronautic projects are included for information purposes. The STIP is developed/updated on an annual basis.

Structurally Deficient – A structure that receives a general condition rating for the deck, superstructure, substructure or culvert as four or less or if the road approaches regularly overtop due to flooding. A general condition rating of four means that the component rating is described as poor.

Surface Transportation Block Grant Program (STBGP) - One of the five core federal highway funding program. STP provides flexible funding that may be used by states and localities for projects on any federal-aid highway, including the national highway system, bridge projects on any public road, transit capital projects, and intracity and intercity bus terminals and facilities.

Telecommuting - The elimination or reduction in commuter trips by routinely working part of full-time at home or at a satellite work station closer to home.

Throughput - The amount of vehicles/persons that can pass a point on a roadway or pass through an intersection over a specified period of time. It can be equated to capacity if considering vehicles alone.

Traffic Calming - Techniques such as speed bumps, narrow lanes and traffic circles used to slow traffic in primarily residential neighborhoods.

Transportation Alternatives (TA) Program – Under MAP-21, transportation enhancements, scenic byways, safe routes to school, and several other discretionary programs have been grouped together under the Transportation Alternatives Program. This consolidation carried forward with the FAST Act.



Transportation Economic Development (TED)/Transportation Economic Development Infrastructure (TEDI) Programs – The TED and TEDI programs are jointly administered by the Department of Transportation and the Department of Employment and Economic Development. They are competitive programs that provide State funding for the construction, reconstruction, and improvement of state and local transportation infrastructure in order to:

- Create and preserve jobs.
- Improve the state’s economic competitiveness.
- Increase the tax base.
- Accelerate transportation improvements to enhance safety and mobility.
- Promote partnerships with the private sector.

The program provides state funding to close financing gaps for transportation infrastructure improvement construction costs. These improvements will enhance the statewide transportation network while promoting economic growth through the preservation or expansion of an existing business—or development of a new business.

Trunk Highway (TH) - Major roadways such as Interstates, U.S. Highways, and State Highways.

Urban Areas - As defined in Federal Aid Highway Law (Section 101 of Title 23, U.S. Code) as follows:

- Urban Area means an urbanized area, or in the case of an urbanized area encompassing more than one State, that part of the urbanized area in each such State, or urban place as designated by the Bureau of the Census having a population of five thousand or more and not within any urbanized area, within boundaries to be fixed by responsible State and local officials in cooperation with each other, subject to approval by the Secretary. Such boundaries shall, as a minimum, encompass the entire urban place designated by the Bureau of Census.
- Small Urban areas are those urban places, as designated by the Bureau of the Census having a population of five thousand (5,000) or more and not within any urbanized area. Urbanized areas are designated as such by the Bureau of the Census.
- Rural Areas comprise the areas outside the boundaries of small urban and urbanized areas, as defined above.

Urban/Rural Status - Delineation of geographical areas by the Census Bureau. Urban areas represent densely developed territory and encompass residential, commercial, and other non-residential land uses; redefined after each decennial census by applying specified criteria. Rural areas encompass all population, housing, and territory not included within an urban area.

User Cost - The total dollar cost of a trip to a user for a particular mode of transportation; includes out-of-pocket costs, such as transit fares, gas, oil, insurance, and parking for autos plus a valuation of implicit cost, such as waiting and travel times.

Vehicle Miles Traveled (VMT) - Commonly used to measure the demand on our transportation network; computed by multiplying the annual average daily traffic (AADT) by the centerline road miles.

Volume-to-Capacity Ratio - The hourly number of vehicles expected to use a roadway in the busiest hour, divided by the number of moving vehicles the roadway can safely accommodate in an hour.