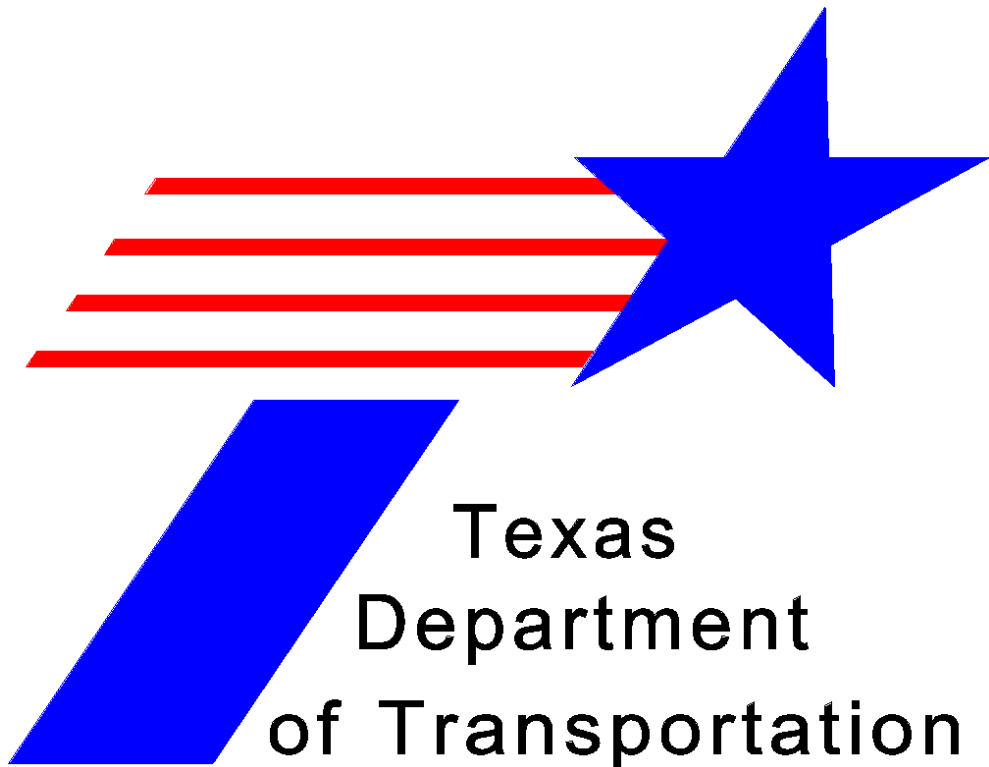


# **Transportation Programming & Scheduling Manual**



**Texas  
Department  
of Transportation**

**September 2001**

# **Transportation Programming and Scheduling Manual**

**September 2001**

## **Manual Notices**

## **Manual Notice 2001-1**

**To:** Districts, Divisions and Offices  
**From:** Kirby W. Pickett, P.E.  
**Manual:** *Transportation Planning Process Manual*  
**Effective Date:** June 1, 2001

### **Purpose**

To issue the *Transportation Programming and Scheduling Manual*. This manual is contained in the Planning and Programming Collection of the TxDOT Online Manual System.

### **Contents**

The *Transportation Programming and Scheduling Manual* contains the following chapters:

- ◆ Programming and Scheduling Overview
- ◆ Funding Considerations
- ◆ Project Selection
- ◆ Elements of the Unified Transportation Program
- ◆ Unified Transportation Program Categories (UTP)
- ◆ Development and Implementation of the Unified Transportation Program.

### **Supersedes**

Portions of the *Transportation Planning Division Operations Manual* dated April 4, 1985.

### **Instructions**

Please remove and recycle the *Transportation Planning Division Operations Manual* dated April 4, 1985.

The *Transportation Programming and Scheduling Manual* will be distributed online only. Manual distributors may print and distribute a hardcopy from the PDF online version for employees not on the TxDOT wide-area-network or those preferring to retain a hardcopy. In this case, manual distributors must retain a distribution list and must also print and distribute all revisions.

**Contact**

Refer questions or suggestions to the Special Projects and Policy Analysis Branch of the Administration Section of the Transportation Planning and Programming Division (TPP).

# Chapter 1

## Programming and Scheduling Overview

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## Section 1

### Overview

#### Process and Objectives

The programming and scheduling process for transportation projects involves numerous steps, including identifying transportation needs, selecting and prioritizing projects, authorizing and scheduling project development, and funding and implementing the work. This process involves the Texas Department of Transportation (TxDOT), metropolitan planning organizations (MPO), local governments, transit providers, citizen groups, and the general public. The results of the programming and scheduling processes are included in the Unified Transportation Program (UTP).

The objectives of the programming and scheduling process include the following:

- ◆ to ensure that the highest priority transportation needs of Texas are fulfilled on a timely basis
- ◆ to ensure compliance with applicable federal and state requirements
- ◆ to authorize the development of projects consistent with fiscal resources
- ◆ to integrate the roles and responsibilities of TxDOT, MPOs, cities, and counties in project selection and prioritization
- ◆ to provide sufficient, high-priority projects in the development “pipeline” to effectively utilize all available local, state, and federal funds.

## Section 2

### Manual Organization

#### Overview

This manual begins with information on the funding of TxDOT projects and the basis of the UTP categories. The allocation of funding among these categories is also discussed. The selection and prioritization of projects is outlined, and the role of TxDOT, the MPOs, local governments, citizen groups, and the general public is explained. The TxDOT Design and Construction Information System (DCIS) and its function in the programming and scheduling process are discussed.

With this background, the development of the UTP, beginning with the identification of transportation needs through Commission approval, is explained. Discussion of the implementation of the UTP — as it is used for guiding project development, for the development of the State Transportation Improvement Program (STIP), and for establishing the letting schedule — completes the volume.

This manual includes chapters on:

- ◆ funding considerations
- ◆ project selection
- ◆ elements of the Unified Transportation Program
- ◆ Unified Transportation Program categories
- ◆ development and implementation of the Unified Transportation Program .

# Chapter 2

## Funding Considerations

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## **Section 1**

### **Overview**

#### **Allocation Categories**

The Unified Transportation Program (UTP) currently includes 34 categories of highway projects. Many of the categories are established to match federal-aid program areas specified by federal law. The remainder are state-funded programs that target areas of needed work which either supplement or are not included in the federal-aid program.

For a summary of all UTP categories, see utpsum. A more detailed description of the categories and their characteristics is included in Chapter 5 .

The allocation of federal and state funds to the UTP categories is an essential step in the programming and scheduling process. This chapter includes a description of this funding allocation.

## Section 2

### Federal-Aid Highway Programs

#### Overview

The federal-aid program is administered by the Federal Highway Administration (FHWA) according to Title 23, U.S. Code. Title 23 is updated when the U.S. Congress enacts new surface-transportation legislation. The current law is the Transportation Efficiency Act for the 21st Century (TEA-21), which was enacted in 1998.

This section contains subsections covering the following topics:

- ◆ frequently used funding terms
- ◆ TEA-21 programs
- ◆ other federally funded projects .

## Frequently Used Funding Terms

The following definitions of terms and descriptions of federal-aid programs are based mainly on information provided on the web by FHWA. For more information refer to TEA-21 fact sheets accessible from a link on the TxDOT Internet at <http://www.dot.state.tx.us/insdtdot/orgchart/tpp/links.htm>.

The following terms will be used in this chapter to explain the federal-aid requirements:

- ◆ Authorization Act - Federal legislation that empowers FHWA to implement the Federal-aid Highway Program.
- ◆ apportionment - A term that refers to the distribution of funds to a particular category among the states. An apportionment is based on prescribed formulas in the law.
- ◆ Appropriation Act - Legislative action that makes funds available for expenditure. In this case it refers to federal reimbursements to the states for federal-aid highway programs.
- ◆ obligation - Federal government's legal commitment to reimburse the state for the federal share of a project's eligible costs.
- ◆ obligation limitation (or obligation authority) - The amount of federal assistance that may be obligated during a specified time period. Obligation limitation does not affect the scheduled apportionment or allocation of funds; it just controls the rate at which these funds may be used.
- ◆ minimum guarantee - An apportionment of federal funds that ensures each state receives a specific share of the aggregate funding for major highway programs, with every state guaranteed at least a 90.5 percent return on its percentage share of contributions to the Highway Account of the Highway Trust Funds.
- ◆ match - State or local funds used to match federal-aid funds for federal-aid program projects. The majority of federal-aid programs require a 20 percent state/local match. Safety projects or those on the Interstate system may have a 10 percent match requirement.

## TEA-21 Programs

TEA-21 and preceding federal legislation established numerous federal-aid programs. The following are the major programs that are reflected in the UTP categories:

- ◆ High-Priority Interstate Corridors - This program provides funding for the construction and expansion of highways located on high-priority interstate corridors established by TEA-21.
- ◆ Interstate Maintenance Program (IM) - The Interstate Maintenance program provides funding for all work on Interstate Highway (IH) system main lanes and frontage roads, except for construction of new single occupancy vehicle (SOV) lanes. The funds may not be used to add capacity.
- ◆ National Highway System Program (NHS) - This program provides funding for improvements to rural and urban roads that are part of the NHS, including the Interstate System and designated connections to major intermodal terminals. Under certain circumstances NHS funds also may be used to fund transit improvements in NHS corridors.
- ◆ Surface Transportation Program (STP) - The STP provides flexible funding that may be used by states and localities for projects on any federal-aid highway, including the NHS, bridge projects on any public road, transit capital projects, and intracity and intercity bus terminals and facilities. A portion of funds reserved for rural areas may be spent on rural minor collectors. A suballocation of funds is specified for safety improvements, including railroad crossings, transportation enhancements, urbanized areas with populations over 200,000, and rural areas with populations smaller than 5,000.
- ◆ Congestion Mitigation and Air Quality Improvement Program (CMAQ) - The primary purpose of the CMAQ is to fund projects and programs in air quality nonattainment and maintenance areas for ozone, carbon monoxide and small particulate matter (PM-10) which reduce transportation related emissions.
- ◆ Highway Bridge Replacement and Rehabilitation Program (HBRRP) - The HBRRP provides funds to assist the states in their programs to replace or rehabilitate deficient highway bridges and to seismic retrofit bridges located on any public road.
- ◆ High Priority (Demonstration) Program - The High Priority Projects Program provides designated funding for specific projects (commonly referred to as demonstration projects) identified by Congress. Several demonstration projects are currently authorized in Texas.

**Other Federally Funded Projects**

There are several programs that have a smaller funding impact and may be incorporated in some of the UTP categories. These include the following: National Scenic Byways Program, Bicycle Transportation and Pedestrian Walkways, Emergency Relief Program, National Corridor Planning and Development Program, Coordinated Border Infrastructure Program, Intelligent Transportation Systems Program, and Ferry Boat Program.

Although the federal-aid programs are predominantly highway-oriented, many of the programs can be used for other modes of transportation.

## Section 3

### State-Funded Highway Programs

#### Overview

State-funded highway programs have been established to supplement and complement the federal-aid program. In total, the UTP includes programs for improving mobility (new location highways and added capacity); reconstruction, restoration, rehabilitation and resurfacing (4 R projects); safety improvements; operational improvements; and some preventive maintenance.

#### State Funding Areas

Federal-aid programs provide funding for many of these transportation needs. The remaining needs are included in state-funded highway programs that have been established to:

- ◆ fulfill state statutory requirements
- ◆ fill the gaps in the federal-aid programs
- ◆ address transportation needs which do not qualify for federal aid
- ◆ effectively use the state funds remaining after the federal-aid matching requirements have been met
- ◆ provide for special transportation needs.

State-funded highway programs include the following: State Preventive Maintenance, Rehabilitation of Texas Farm to Market (FM) Roads, Texas FM Road Expansion, State Park Roads, Traffic Control Devices, Rehabilitation of Traffic Management Systems, State District Discretionary, State Funded Mobility, NAFTA Discretionary, Urban Streets, State Rehabilitation, and several smaller miscellaneous programs. Program areas that may include totally state-funded projects are the Strategic Priority Program and the Hurricane Evacuation Routes Program.

## **Section 4**

### **Cash Forecasting**

#### **Overview**

Funding for projects and programs included in the UTP is provided from five primary sources. In order of magnitude, these are the following:

- ◆ federal aid
- ◆ state appropriations
- ◆ local participation (city and county governments)
- ◆ bond sales (toll roads)
- ◆ private participation (businesses, individuals, organizations, etc.).

Other sources of funding include transportation corporations, road utility districts, county road districts, and the state infrastructure bank.

This section discusses funding predictions and the Financial Planning Group .

#### **Funding Predictions**

Federal-aid funding is predicted by considering the programs and funding authorized in current federal law and funds appropriated by Congress. Funding beyond the current authorization is estimated using the best available information.

State funding is predicted based on short-term funding projections provided periodically by the State Comptroller's office. Longer term funding projections are developed using demographic information, travel trends, and predicted fuel consumption.

A computerized cash-flow model is used to predict the availability of funds for the UTP planning horizon. Input includes the predicted federal-aid funding, the predicted state funding, the federal-aid matching requirements, the cost of operating TxDOT, the cost of operating and maintaining the highway system, and current contractual obligations. The model allows researchers to analyze various scenarios of funding options, program funding levels, and letting schedules.

Cash forecasting is a function of the Finance Division.

**Financial Planning Group**

The Financial Planning Group (FPG) is composed of the following:

- ◆ Deputy Executive Director
- ◆ Assistant Executive Director for Engineering Operations
- ◆ Assistant Executive Director for Support Operations
- ◆ Director of the Finance Division
- ◆ Director of the Design Division
- ◆ Director of Funds Management (Finance Division)
- ◆ Director of the Transportation Planning and Programming Division
- ◆ Director of Programming and Scheduling (Transportation Planning and Programming Division)
- ◆ Director of the Right of Way Division
- ◆ Director of the Legislative Affairs Office.

This group meets periodically to review the projected revenues, expenditures, program funding levels, and cash flow forecasts associated with various funding strategies and to recommend program levels and the size of the construction program.

## **Section 5**

### **Fund Apportionment and Allocation**

#### **Program Levels**

Program levels are reviewed and established annually for each of the UTP categories. These levels are set considering compliance with federal code and regulations, state statutes, TxDOT transportation priorities and goals, state transportation needs, and available funding.

This function includes distribution of federal apportionments to the UTP categories. Some of the federal-aid programs require sub-allocations to specific categories, while several programs permit considerable flexibility in the use of the funds, including transferability between programs.

Figure 2.1 graphically illustrates the allocation of funds apportioned in each of the federal-aid programs to the UTP categories that involve federal funds. The sub-allocation of funds as required by federal law is also illustrated. For detailed information on the administration of federal-aid programs, refer to TEA-21 fact sheets accessible from a link on the TxDOT Internet at <http://www.dot.state.tx.us/insdot/orgchart/tpp/links.htm>.

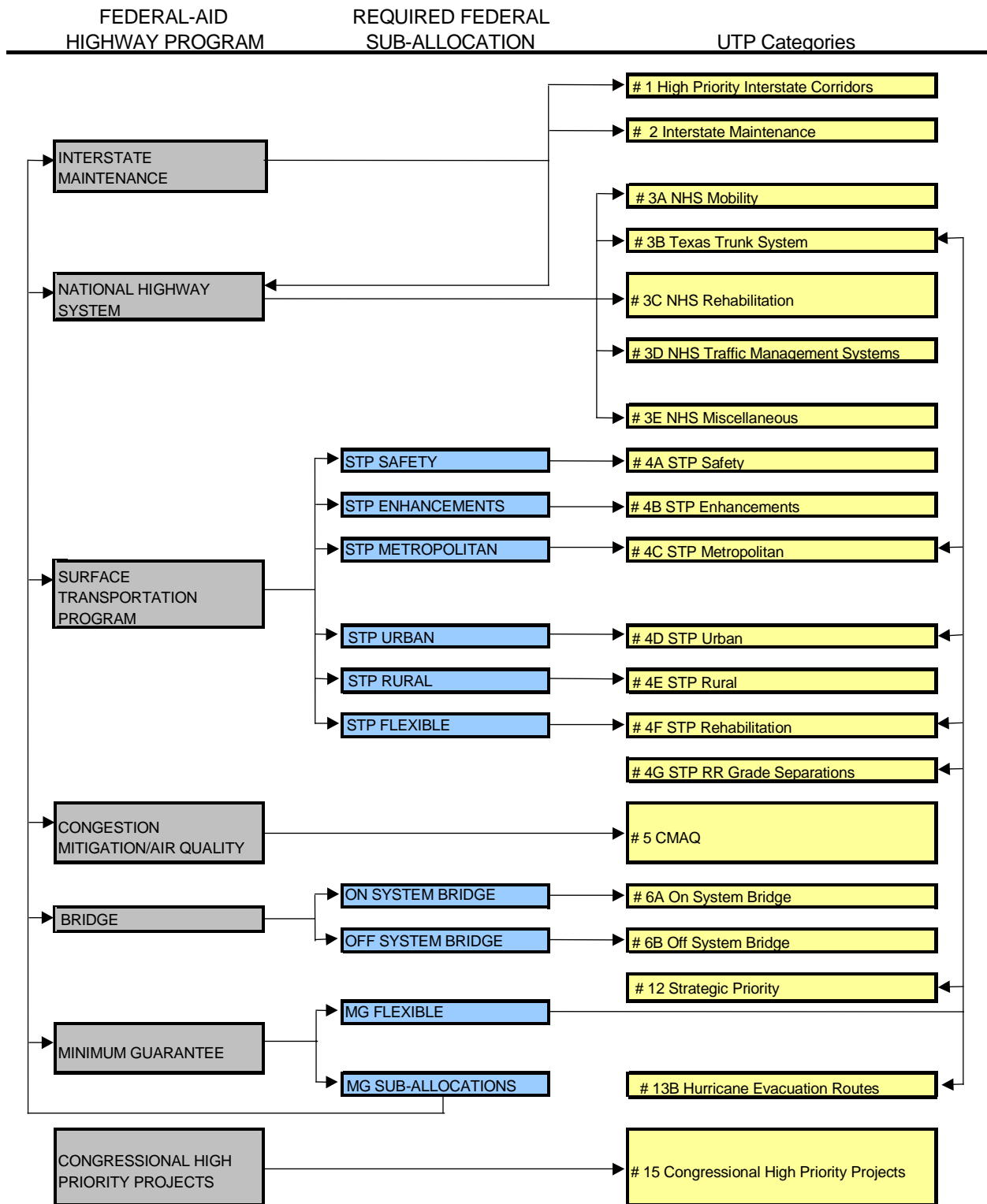


Figure 2.1: Allocation of Federal Funds. To see a PDF file of this chart, click [fedalloc](#).



# Chapter 3

## Project Selection

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## **Section 1**

### **Overview**

#### **Summary**

Project selection involves the matching of the higher priority highway transportation needs with forecasted funding and authorizing development of the selected projects.

Project selection in the Unified Transportation Program (UTP) is based on a variety of factors as discussed in this chapter. The objective of project selection is to:

- ◆ identify the highest priority, most needed, and most cost-effective projects for development
- ◆ achieve the transportation objectives established by state and federal law and by the Transportation Commission
- ◆ equitably address the transportation needs of the entire state
- ◆ authorize the development of sufficient high-priority projects to effectively use the anticipated funding in each of the UTP categories.

The sections in this chapter cover:

- ◆ source of projects and types of programs, including project-specific and bank balance allocation programs
- ◆ project responsibility and authorization, including project selection and development authorizations.

## **Section 2**

### **Project Source and Program Type**

#### **Source of Projects**

A project is an identifiable addition to, modification of, and/or improvement of the transportation system. It is described by its location, limits, length, and the work to be accomplished.

Transportation projects are generated from the identification of needs, whether for access, increased mobility, the reduction of congestion, safety improvements, maintenance, rehabilitation, reconstruction, or some specialized transportation need. The majority of transportation projects for improving access, increasing mobility, and reducing congestion result from planning activities of the metropolitan planning organizations (MPO) and the Texas Department of Transportation (TxDOT). These activities are identified in the metropolitan transportation plans (MTP) developed by each MPO and the rural transportation plans (RTP) generated by TxDOT district offices. These planning efforts involve extensive interaction with and involvement of city and county governments.

Local governments, citizen groups (such as chambers of commerce), and individual citizens have opportunities to request transportation improvements at local public hearings and/or at public hearings conducted by the Texas Transportation Commission.

Some transportation projects result from needs identified by the U.S. Congress, such as priority corridors for NAFTA traffic or specific projects included in federal law.

Many projects are identified by the TxDOT district and area offices. Many of these projects are characterized as maintenance, rehabilitation, reconstruction, and safety improvements.

#### **Types of Programs**

There are two types of programs based on the selection authority granted by the Texas Transportation Commission. These are project-specific programs and bank balance allocation programs.

## Project-Specific Programs

Projects included in project-specific programs are authorized for development in a Commission action which specifically identifies the project and specifies the level of authorization.

Project-specific programs include the following UTP categories:

- ◆ Category 1 - High-Priority Interstate Highway Corridors
- ◆ Category 3A - NHS: Mobility
- ◆ Category 3B - Texas Trunk System
- ◆ Category 3D - NHS: Traffic Management
- ◆ Category 3E - NHS: Miscellaneous
- ◆ Category 4B - Transportation Enhancements
- ◆ Category 4G - STP: Railroad Grade Separation
- ◆ Category 6A - Bridge Replacement/Rehabilitation: On-State System
- ◆ Category 6B - Bridge Replacement/Rehabilitation: Off-State System
- ◆ Category 8B - Texas Farm to Market Road Expansion
- ◆ Category 12 - Strategic Priority
- ◆ Category 13A - State-Funded Mobility
- ◆ Category 13B - Hurricane Evacuation Routes
- ◆ Category 15 - Congressional High-Priority Projects
- ◆ Category 17 - Principal Arterial Street System
- ◆ Category 18 - Candidate Turnpike Projects

The project selection for project-specific programs is normally made on a statewide basis. Exceptions are Categories 1, 12, 13B, 15, and 17.

## Bank Balance Allocation Programs

The Commission authorization for bank balance allocation programs assigns the authority for selecting the projects, establishing the development level, and establishing the letting schedule to the district engineer or, for some UTP categories, to a division director or to the MPO. Project selection for bank balance allocation programs is also subject to the TxDOT-MPO interactions specified in the Responsibility/Authority for Project Selection subsection of Section 3.

The Bank Balance Allocation Programs include the following UTP categories:

- ◆ Category 2 - Interstate Maintenance
- ◆ Category 3C - NHS: Rehabilitation
- ◆ Category 4A - STP: Safety - Federal Hazard Elimination
- ◆ Category 4A - Railroad Signal Safety
- ◆ Category 4C - STP: Metropolitan Mobility/Rehabilitation
- ◆ Category 4D - STP: Urban Mobility/Rehabilitation
- ◆ Category 4E - STP: Rural Mobility/Rehabilitation
- ◆ Category 4F - STP: Rehab - Urban/Rural
- ◆ Category 5 - Congestion Mitigation/Air Quality (CMAQ)
- ◆ Category 7 - State Preventive Maintenance
- ◆ Category 8A - Rehabilitation: Texas Farm to Market Roads
- ◆ Category 9 - State Park Roads
- ◆ Category 10A - Traffic Control Devices
- ◆ Category 10B - Rehabilitation of Traffic Management Systems
- ◆ Category 11 - State District Discretionary
- ◆ Category 13C - NAFTA Discretionary
- ◆ Category 13D - Urban Streets
- ◆ Category 14 - State Rehabilitation
- ◆ Category 16 - Miscellaneous

## Section 3

### Project Responsibility and Authorization

#### Overview

This section discusses various aspects of project responsibility and authorization. Subsections cover:

- ◆ responsibility/authority for project selection
- ◆ selection criteria for highway projects
- ◆ project development authorization
- ◆ feasibility studies
- ◆ long range project authorization
- ◆ Priority 2 authorization
- ◆ Priority 1 authorization
- ◆ public hearing on project selection process .

#### Responsibility/Authority for Project Selection

The responsibility and authority for selecting projects vary by UTP category and with the geographical location of the project. Federal code and regulations dictate the selection authority and the degree of interaction between TxDOT, the MPOs, and local governments for federal-aid projects. Table 3.1 shows this interrelated project selection process.

**Table 3.1: Project Selection Authority**

Project Location	Federal-aid Program	Project Selection
In an MPO area designated as a TMA	Project on NHS	By state, in cooperation with MPO
	Bridge IH maintenance	
	Other, except federal lands	By MPO, in consultation with state
<ul style="list-style-type: none"> <li>◆ Table information is from 23 CFR 450.222 and 23 CFR 450.332.</li> <li>◆ For definition of terms, see Reference 23 CFR 450.104.</li> <li>◆ "Consultation" means that one party confers with another identified party and, prior to taking action(s), considers that party's views.</li> <li>◆ "Cooperation" means that the parties involved in carrying out the planning, programming and management systems processes work together to achieve a common goal or objective.</li> <li>◆ Federal Lands Highway Program projects are selected in accordance with 23 USC 204.</li> <li>◆ Transportation Management Area (TMA) – An MPO for a metropolitan area with a population greater than 200,000.</li> </ul>		

**Selection Criteria for Highway Projects**

The selection criteria for highway projects are listed in Chapter 5 for each of the UTP categories.

A cost-effectiveness measure is used in several categories for prioritizing projects selected on a statewide basis. Although there are exceptions, the measure is generally a ratio of project cost to the traffic (in vehicles per day) affected by the project.

The district engineer is authorized to determine the selection criteria for projects selected on a TxDOT district-wide basis (some Bank Balance Allocation Programs), except for those projects in UTP categories where the MPO is authorized to select projects.

The MPOs adopt selection criteria to be used for those UTP categories where the MPO is granted the selection authority.

**Project Development Authorization**

The project selection process for most project-specific programs includes authorizing the extent of project development allowed (levels of authority). This provides a timely progression through the stages of project development. The four levels of authority are feasibility studies, long range project (LRP) authorization, Priority 2 authorization and Priority 1 authorization. Priority 1 and Priority 2 levels of authority are established as part of the UTP development process.

**Feasibility Studies**

For some projects, the initial authorization stage may be limited to feasibility studies. A feasibility study may be appropriate in the following situations:

- ◆ The project is outside the MPO's jurisdiction.
- ◆ The project involves a major investment of funds.
- ◆ The solution is unknown.
- ◆ There are major environmental concerns.
- ◆ Consensus of the general public and property owners along the route has not been developed.

Feasibility studies may also be initiated by the Commission in response to requests from delegations for transportation improvements. Table 3.2 lists procedures for obtaining authorization for a feasibility study.

**Table 3.2: Obtaining Feasibility Study Authorization**

<b>Step</b>	<b>Action</b>	<b>Responsible</b>
1	District submits a request for authorization to conduct a feasibility study to the Programming and Scheduling Section of the Transportation Planning and Programming Division.	District Engineer
2(a)	If estimated cost of study is \$25,000 or less, Director of TPP Division can approve feasibility study.	Division Director TPP
2(b)	If estimated cost of study is greater than \$25,000, TPP prepares a Commission Minute Order.	TPP
3	If approved, the Programming and Scheduling Section establishes a Control-Section-Job Number in DCIS for the feasibility study	TPP

**Long Range Project Authorization**

In general, projects that require an extended time period to develop are considered for LRP status. Table 3.3 lists procedures for obtaining LRP authorization. Projects in the following UTP categories may be granted LRP status:

- ◆ Category 3A - NHS: Mobility
- ◆ Category 3B - Texas Trunk System
- ◆ Category 3D - NHS: Traffic Management
- ◆ Category 3E - NHS: Miscellaneous
- ◆ Category 8B - Texas FM Road Expansion
- ◆ Category 13B - Hurricane Evacuation Routes.

LRP status authorizes the advanced planning activities to include right-of-way determination, environmental studies, and the conduct of public hearings. LRP projects are not listed in the UTP.

Table 3.3: Obtaining LRP Status

Step	Action	Responsible
1	<p>Prepare a <i>Programming Assessment</i>. It should be concise (about five pages in length). The assessment should include the following:</p> <ul style="list-style-type: none"> <li>◆ brief description of project</li> <li>◆ project location map</li> <li>◆ existing and proposed typical sections</li> <li>◆ an evaluation of the following areas (one to two paragraphs for each area) <ul style="list-style-type: none"> <li>● congruity with the Statewide Transportation Plan</li> <li>● congruity with the Metropolitan Transportation Plan (if applicable)</li> <li>● major environmental issues</li> <li>● level of community support</li> <li>● cost effectiveness</li> <li>● safety issues</li> <li>● level of service analysis</li> <li>● other areas of interest</li> </ul> </li> <li>◆ concluding paragraph providing basis for requesting LRP status</li> </ul>	TxDOT District
2	<p>Submit the <i>Programming Assessment</i> to the Transportation Systems Planning Section of the Transportation Planning and Programming Division.</p> <p>Note: A feasibility study that addresses all of the pertinent criteria may be submitted to the Transportation Systems Planning Section of the Transportation Planning and Programming Division in lieu of the <i>Programming Assessment</i>.</p>	TxDOT District
3	The TPP will review the <i>Programming Assessment</i> .	TPP
4	If approved, TPP – Transportation Systems Planning Section will authorize LRP status and advise TPP – Programming and Scheduling Section by memo.	TPP
5	Project Control-Section-Job Number will be assigned by TPP with LRP status indicated.	TPP

**Priority 2 Authorization**

Priority 2 authorization permits the preparation of plans, specifications, and estimates (PS&E), and right-of-way acquisition. With this authorization level, project plans should be nearly complete (geometric, structural, hydraulic, and pavement design approved by Design Division) and a substantial amount of the required right-of-way acquired. Districts should establish a proposed fiscal year for receipt of bids.

***Project-Specific Programs***

Project-specific programs with Priority 2 authorization are listed in the UTP. These Priority 2 projects are generally selected from the pool of LRP projects using the ranking criteria specified for the appropriate UTP category.

Priority 2 authorization does not assure that the project will be authorized as Priority 1 in the subsequent or future UTPs. There is no assurance that the project will be advanced in a specific time period.

***Bank Balance Allocation Programs***

Continuous, revolving Priority 2 programming authority has been provided to the districts for the following UTP categories. Priority 2 authorization for these projects is initiated by the district with a request submitted to TPP (Reference: Commission Minute Order 107561 dated July 30, 1998 and Commission Minute Order 105320 dated April 27, 1995).

- ◆ Category 4C - STP: Metropolitan Mobility/Rehabilitation
- ◆ Category 4D - STP: Urban Mobility/Rehabilitation
- ◆ Category 4E - STP: Rural Mobility/Rehabilitation
- ◆ Category 5 - Congestion Mitigation and Air Quality Improvement
- ◆ Category 11 - State District Discretionary

As these projects are moved to funded programs with Priority 1 authorization, the dollar value of Priority 2 programming authority will be made available for other projects.

**Priority 1 Authorization**

All phases of work are permitted for projects with Priority 1 authorization. Generally, Priority 1 projects are the highest and best-ranked projects that have proposed letting dates within the next four years of anticipated available funding. Projects granted Priority 1 authorization are funded for construction.

***Project-Specific Programs***

Priority 1 projects are generally selected from the Priority 2 projects using the ranking criteria specified for the appropriate UTP category. Candidate projects are those with 75 percent of design completed and 75 percent of right-of-way acquired. Priority 1 project-specific programs are listed in the UTP.

***Bank Balance Allocation Programs***

All projects selected for and funded in the Bank Balance Allocation Programs have Priority 1 Authorization.

**Public Hearing on Project Selection Process**

The Texas Transportation Commission holds annual hearings regarding the project selection process and the relative importance of the various criteria on which the Commission bases its project selection decision. (Refer to Texas Transportation Code, Section 201.602)

The Commission is also required by state law to distribute federal aid for transportation purposes to the various parts of the state in a manner consistent with the federal formulas used to apportion federal funds to the states. (Refer to Texas Transportation Code, Section 222.034.) Although this statutory requirement states that the intended distribution is to be accomplished through project selection, it is predominantly accomplished in the allocation of federal-aid funds as discussed in Chapter 2 . The Commission includes this subject and permitted variances at the project selection process public hearing.

# Chapter 4

## Elements of the Unified Transportation Program

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## Section 1

### UTP Overview

#### Description of the UTP

The Unified Transportation Program (UTP) is a ten-year plan that authorizes project planning, development, and construction. The annually updated UTP is a multimodal plan that includes highway, public transportation, and aviation programs. It is financially constrained to reasonable projections of available funds.

A very large portion of the UTP involves the highway program, which is the portion predominantly discussed in this manual. The other modes of transportation are discussed in other documents.

#### Function of the UTP

The UTP is the core document for the planning and scheduling of TxDOT projects. It identifies projects, indicates the authorized level of development, and lists estimated letting years for project-specific programs. For the bank balance allocation programs, the UTP authorizes the program funding and specifies the allocation of funds to each district.

Projects and programs authorized in the UTP are linked to anticipated funding and are scheduled to fully and effectively use the forecasted federal and state funds on a timely basis.

The UTP is both a result of and a major resource for the planning functions. It is the result of the transportation planning efforts of TxDOT, the MPOs, and local authorities. The UTP is also a major resource of project information used in the transportation planning function.

#### UTP Categories

UTP categories are groupings of similar projects resulting from one or a combination of federal requirements, state legislative requirements, and/or the accomplishment of objectives specified by the Texas Transportation Commission. UTP categories are described in detail in Chapter 5 . That chapter includes a discussion of programming authority, funding source, eligibility, bank balance allocation program classification, ranking criteria, responsibility for project selection, restrictions, applicable policies, and other critical information.

The Federal-Aid Highway Program, the State-Funded Highway Program, and the corresponding UTP categories (see utpsum for a summary of all UTP categories) are discussed in Chapter 2 .

### **Modifications to the UTP during the Fiscal Year**

If necessary, the UTP can be modified by Commission action during the FY. These modifications will be considered on a case-by-case basis by the Programming and Scheduling Section of the Transportation Planning and Programming Division. Modifications will be made through a Special Minute Order prepared by TPP and approved by the Commission.

### **Availability of the UTP**

The UTP is available in hardcopy from the General Services Division.

Online versions of the UTP (beginning with the FY 2000 UTP) are available on the Internet at <http://www.dot.state.tx.us/insdtdot/orgchart/tpp/links.htm>.

## Section 2

### UTP Components

#### Overview

UTP components include:

- ◆ highway projects
- ◆ aviation projects
- ◆ public transportation projects .

See the subsections below for a discussion of these components.

#### Highway Projects

The combined chapters in this manual fully explain the highway component of the UTP.

#### Aviation Projects

The aviation component of the UTP is the Aviation Capital Improvement Program (CIP), a plan for general aviation airport development in Texas. The TxDOT Aviation Division is responsible for developing this component of the UTP. It contains a detailed listing of potential projects based on the anticipated funding levels of the Federal Aviation Administration (FAA) Airport Improvement Program and the Texas Aviation Facilities Development Program.

The Aviation CIP facilitates general aviation airport development in Texas. Through multi-year programming, the FAA, TxDOT, and airport sponsors are able to anticipate airport needs and accommodate changes in project scope, cost, and schedule more easily. The project participants know when projects are scheduled, and they can plan for implementation.

Refer to the *Aviation Division Manual* for details regarding the development of the CIP.

### **Public Transportation Projects**

The public transportation component of the UTP includes projects and programs authorized for development with the transit funding administered by TxDOT. Refer to the *Public Transportation Division Manual* for details regarding the development of the public transportation programs. The programs included are Section 5311, Rural and Non-Urbanized Transit, and Section 5310, Elderly/Disabled Transportation.

The Public Transportation section of the UTP is for informational purposes only. Actual funding for this area is provided through a separate Commission Minute Order after the Public Transportation Division has properly coordinated with other entities.

## Section 3

### UTP Format

#### Overview

The UTP is approved by the Commission in two major parts — through Project-Specific Program approval and Bank Balance Allocation Program approval. All of the UTP categories are included in these two parts, except for Category 4B - Surface Transportation Program (STP): Transportation Enhancements. Due to its unique project selection process, funding and project development authorization for Category 4B is provided in a separate Commission minute order.

#### Project-Specific Program Approval

The Project-Specific Program consists of the following elements. Exhibit descriptions are based on the FY 2000 UTP. Specific exhibit titles (e.g., “A,” “B,” “C”) and content may vary from year to year. For example, Category 15 projects are included in the UTP only following an authorization or appropriation bill. Some programs may also be authorized by a separate Commission Minute Order, such as Category 4B.

- ◆ Commission Minute Order - This document includes the authorizing language that is approved by the Commission. It references exhibits that provide the details.
- ◆ Exhibit A - This exhibit includes the following information:
  - general description of the federal-aid programs, UTP categories, and authorization levels
  - summary of the UTP categories (see utpsum for a summary of all UTP categories)
  - detailed description of the UTP categories (see Chapter 5 )
- ◆ Exhibit B through O - These exhibits include listings of projects authorized for development in the UTP categories classified as project specific. The listing includes a description of the project, authorized funding, authorized level of project development, and scheduled letting date (for Priority 1).

**Table 4.1 Project-Specific Programs**

<b>Exhibit</b>	<b>UTP Category</b>	<b>Description</b>
B	1	Interstate Construction (now High-Priority Interstate Highway Corridors)
C	3A	National Highway System (NHS)
D	3B	Texas Trunk System
E	3D	NHS: Traffic Management System
F	3E	NHS: Miscellaneous
G	4G	Surface Transportation Program (STP): Railroad Grade Separations
H	6A	On-State System Bridge Replacement and Rehab Program
I	6B	Off-State System Bridge Replacement and Rehab Program
J	8B	Texas Farm to Market Roads System Expansion
K	12	Strategic Priority
L	13A	State-Funded Mobility
M	13B	Hurricane Evacuation Routes
N	15	Federal Demonstration Projects and Listing of TEA-21 Congressional High Priority Projects (now Congressional High Priority Projects)
O	17	State Principal Arterial Street System (PASS)

- ◆ Exhibit P - Projects delayed from the previous fiscal year that retain Priority 1 status. This listing includes projects that have not been let during the authorized year but remain authorized for contracting in a subsequent year.
- ◆ Exhibit Q - Letting list for project-specific categories. This listing includes those projects in the Project-Specific Program that have been scheduled for letting in the current fiscal year. (Refer to the subsection Letting Management in Chapter 6.)
- ◆ Exhibit R - Aviation Capital Improvement Program. See Aviation Projects in Section 2 of this chapter.
- ◆ Exhibit S - Public Transportation Program. See Public Transportation Projects in Section 2 of this chapter.
- ◆ Exhibit T - Highway Designations. This exhibit designates those sections of county roads and city streets that have been scheduled for development and that are not part of the state highway system as metropolitan highways or county highways for the period of construction only. This makes these highway segments part of the state highway system during the construction contract period.

### **Bank Balance Allocation Program Approval**

The Bank Balance Allocation Program consists of the following elements:

- ◆ Commission Minute Order - This document includes the authorizing language that is approved by the Commission. It references exhibits that provide the details. Projects are authorized to be selected by the district or the assigned division on an as-needed basis. Work authorized includes any necessary agreements, right-of-way acquisition, utility adjustments, relocation assistance, and construction.
- ◆ Exhibits - An exhibit is developed for each of the Bank Balance Allocation UTP categories. Included is a description of the UTP category or subcategories, the program amount, the fiscal year(s) of the allocation, the basis of allocation to the districts (where appropriate), and the responsible division(s). Based on projected funding and allocations between the UTP categories, funds are authorized for the Bank Balance Allocation Program on a fiscal year basis. Hence, the fiscal year(s) of the allocation for each program may vary from a specific fiscal year to a multiple fiscal years.
- ◆ UTP Category 4B - Surface Transportation Program, Transportation Enhancements, are authorized by the Commission as an individual program of work (refer to Texas Administrative Code, Part I, Chapter 11, Sections 11.201-11.205).

# Chapter 5

## UTP Categories

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## **Section 1**

### **Category 1 - High-Priority Interstate Corridors**

#### **Description**

This category provides for the construction and expansion of highways located on high-priority interstate corridors established by TEA-21.

#### **Restrictions**

These funds can be used only on added capacity and new location projects located on high-priority interstate corridors established by TEA-21 (Interstate Highways 27, 35, and 69).

All projects must be developed in accordance with applicable federal and state environmental requirements. All projects must be designed, constructed, operated, and maintained in accordance with state laws, regulations, directives; and safety, design, and construction standards as required by TEA-21.

Projects in this category must have the concurrence of the metropolitan planning organization (MPO) if it is located in their area of jurisdiction.

#### **Project Selection**

The commission approves projects selected for this category. Each district within an interstate construction project qualifying for these funds will receive the funds when the project is ready for letting and when the apportionment is available. Construction sequencing will be recommended by a consensus of the districts involved in project development.

## **Policy**

Funds will be used only on projects which complete and expand high-priority interstate corridors. Funds will be allocated to regions of the state based upon their remaining unfunded construction of these corridors. The Transportation Planning and Programming Division will coordinate the sequencing of construction projects through regional meetings with districts involved in their development. Consideration will also be given to the investment already made in a project by both TxDOT and local entities.

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

Levels of authorization are assigned to the projects selected for development as part of the high-priority interstate corridors category.

- ◆ Priority 1 - Projects authorized for PS&E completion, utilities adjustments, and construction within the next four fiscal years.
- ◆ Priority 2 - Projects authorized for PS&E preparation and right-of-way acquisition.

## Section 2

### Category 2 - Interstate Maintenance

#### Description

This category is intended for use in maintaining the existing interstate highway system.

#### Restrictions

Interstate maintenance funds can only be expended on the interstate highway system and are intended for the rehabilitation (including approved preventive maintenance measures) of existing main lanes, structures and interstate frontage roads.

Interstate maintenance funds can also be used to build high occupancy vehicle (HOV) lanes or auxiliary lanes on interstate highways; however, funds cannot be used to add lanes for single occupancy vehicles.

This category also addresses the replacement and refurbishing of signs and their appurtenances, raised reflective pavement markers and thermoplastic striping on interstate highways.

All projects must be developed in accordance with applicable federal and state environmental requirements. All projects must be designed, constructed, operated, and maintained in accordance with state laws, regulations, directives; and safety, design, and construction standards as required by TEA-21.

Projects in this category must have the concurrence of the MPO if it is located in their area of jurisdiction.

#### Allocation to Districts

Allocations for the Interstate Rehabilitation Programs are approved by the commission, with the districts receiving allocations based on the following formula:

- ◆ 45% - summation of flexible and rigid equivalent single-axle loads per interstate highway section multiplied times the interstate highway section length
- ◆ 10% - interstate lane miles (main lanes only)
- ◆ 45% - interstate lane miles (main lanes only) having substandard distress scores, based on Pavement Management Information System (PMIS) Distress Score less than 40.

The Interstate Rehabilitation Programs are managed as bank balance programs with eligible projects developed by the districts on an as-needed basis within their allocations. Interstate Rehabilitation Programs are usually one-year programs with the program funds available for use within four years.

**Policy**

As allowed by the provisions of the TEA-21, up to 50 percent of the apportioned money in this category may be transferred to the NHS.

Match for preliminary engineering, construction, and right-of-way purchase/utilities will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

### Section 3

## Category 3A - National Highway System: Mobility

### Description

This category is intended to address the mobility needs on the National Highway System (NHS) throughout the state.

### Restrictions

Funds earmarked for the NHS are restricted to NHS use.

All projects must be developed in accordance with applicable federal and state environmental requirements. All projects must be designed, constructed, operated, and maintained in accordance with state laws, regulations, directives; and safety, design, and construction standards as required by TEA-21.

Projects in this category must have the concurrence of the MPO if located within their area of jurisdiction.

### Project Selection

The commission approves the projects selected for this category. Projects considered in the category are evaluated on a statewide basis for inclusion in the program. Projects are grouped into three major groupings for comparison. These groups are metropolitan, urban, and rural defined as follows:

- ◆ metropolitan - counties of 200,000 or greater population
- ◆ urban - counties between 50,000 and 200,000 population
- ◆ rural - counties with less than 50,000 population.

For comparison, projects are further broken down, within the major groups, into three types of projects. The three types of projects are expansion, new locations, and interchanges.

Districts receive program authority for projects that rank high enough statewide in each of the major groups and project types.

## Policy

Projects are evaluated based on a cost-effective index (CEI). Consideration is given to the investment already made in a project by both TxDOT and local entities (except in those counties designated as disadvantaged by Transportation Code, Section 222.053).

Large interchange projects are selected based upon the CEI of the entire interchange. Once selected, construction may be phased over multiple years. Phases of the interchange construction will be scheduled by the Transportation Planning and Programming Division within available projected funding. Once an interchange is selected, the construction phases will not be reevaluated for cost effectiveness.

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

Levels of authorization are assigned to the projects selected for development as part of the NHS.

- ◆ Priority 1 - projects authorized for PS&E completion, utilities adjustments, and construction within the next four fiscal years
- ◆ Priority 2 - projects authorized for PS&E preparation and right-of-way acquisition.

## **Section 4**

### **Category 3B - Texas Trunk System**

#### **Description**

This category is intended to address construction on the Texas Trunk System.

#### **Restrictions**

These funds can be used only on portions of the Texas Trunk System. Only projects located outside cities of 50,000 or greater population will qualify for the Texas Trunk System. To achieve the accessibility and mobility goals established when the Texas Trunk System was created, the commission has identified Phase 1 corridors of the Texas Trunk System for accelerated development (Minute Order 107484, May 28, 1998). Approximately ninety percent of available Texas Trunk System funding will be dedicated to the Phase 1 corridors as projects become ready for construction contract letting. Remaining funds will be reserved for sections of the Texas Trunk System not on Phase I corridors. All Texas Trunk System projects will be limited to those which convert an existing two-lane highway into a four-lane divided highway. Relief routes or bypasses on new locations will not be constructed with this category.

All projects must be developed in accordance with applicable federal and state environmental requirements. All projects must be designed, constructed, operated, and maintained in accordance with state laws, regulations, directives; and safety, design, and construction standards as required by TEA-21.

Projects must have the concurrence of the MPO if located in their area of jurisdiction.

#### **Project Selection**

The commission approves projects selected for this category. Phase 1 corridor project construction sequencing will be recommended by a consensus of the districts involved in the project development. Texas Trunk System projects off of Phase 1 corridors will be evaluated on a statewide basis for inclusion in the program.

**Policy**

Phase I corridor construction funds will be allocated to five regions of the state based upon their remaining unfunded construction on Phase 1 corridors. The Transportation Planning and Programming Division will coordinate the sequencing of construction projects on Phase 1 corridors through regional meetings with districts involved in their development. Projects not included on Phase 1 corridors will be evaluated based on a cost-effective index (CEI). Consideration will also be given to the investment already made in a project by both TxDOT and local entities.

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

Levels of authorization are assigned to the projects selected for development as part of the Texas Trunk System.

- ◆ Priority 1 - projects authorized for PS&E completion, utilities adjustments, and construction within the next four fiscal years
- ◆ Priority 2 - projects authorized for PS&E preparation and right-of-way acquisition.

## Section 5

### Category 3C - NHS: Rehabilitation

#### Description

This category is intended to address the rehabilitation needs of non-interstate portions of the NHS in the state.

#### Restrictions

All projects must be developed in accordance with applicable federal and state environmental requirements. All projects must be designed, constructed, operated, and maintained in accordance with state laws, regulations, directives; and safety, design, and construction standards as required by TEA-21.

Projects must have the concurrence of the MPO if located in their area of jurisdiction.

#### Allocation to Districts

Allocations for the NHS Rehabilitation Programs are approved by the commission, with the districts receiving allocations based on the following formula:

- ◆ 30% - summation of flexible and rigid equivalent single-axle loads per non-interstate NHS section multiplied times the NHS section length
- ◆ 30% - non-interstate NHS lane miles
- ◆ 35% - non-interstate NHS lane miles (including interstate frontage roads) with “substandard” Distress Scores, based on Pavement Management Information System (PMIS) Distress Score less than 60
- ◆ 5% - non-interstate NHS square footage of bridge deck area with sufficiency rating between 50 and 80.

The NHS Rehabilitation Programs are managed as bank balance programs with eligible projects developed by districts on an as-needed basis within their allocations. The NHS Rehabilitation Programs are usually one-year programs with the program funds available for use within four years.

**Policy**

Funds can only be used to rehabilitate any roadway on the NHS. The roadway must be rehabilitated to applicable design standards.

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

## **Section 6**

### **Category 3D - NHS: Traffic Management Systems**

#### **Description**

This category is to address the traffic management needs on the NHS. Traffic management projects monitor and respond to traffic conditions. Examples of these types of projects include changeable message signs, closed circuit television systems, highway advisory radio, and ramp metering.

#### **Restrictions**

These funds can be spent only on the NHS, and only for the traffic management systems selected for development. Closed loop traffic signal projects are not eligible under this category.

All projects must be developed in accordance with applicable federal and state environmental requirements. All projects must be designed, constructed, operated, and maintained in accordance with state laws, regulations, directives; and safety, design, and construction standards as required by TEA-21.

Projects in this category must have the concurrence of the MPO if located within their area of jurisdiction.

#### **Project Selection**

The commission approves projects selected for this category. Projects considered in this category are evaluated and prioritized statewide using the Traffic Management Index which estimates the reduction in traffic congestion if a project is implemented, and compares it to the cost of project implementation.

Districts receive program authority for the projects that rank high enough statewide to be selected for development.

## **Policy**

This category is reserved for programming traffic management systems only in the state's areas of air quality attainment. Traffic management system projects in state's areas of air quality non-attainment should be programmed in Category 5 , “Congestion Mitigation and Air Quality Improvement.”

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

Levels of authorization are assigned to the projects selected for development as part of the NHS.

- ◆ Priority 1 - projects authorized for PS&E completion, utilities adjustments, and construction within the next four fiscal years
- ◆ Priority 2 - projects authorized for PS&E preparation and right-of-way acquisition.

## Section 7

### Category 3E - NHS: Miscellaneous

#### Description

This category is to address miscellaneous projects associated with other mobility projects on the NHS. Generally, these projects are a necessarily delayed part of a larger project that has already been constructed or a type of project not eligible for Category 3A selection.

#### Restrictions

These funds can be spent only on the NHS, and only for the miscellaneous projects selected for development.

All projects must be developed in accordance with applicable federal and state environmental requirements. All projects must be designed, constructed, operated, and maintained in accordance with state laws, regulations, directives; and safety, design, and construction standards as required by TEA-21.

Projects in this category must have the concurrence of the MPO if located within their area of jurisdiction.

#### Project Selection

The commission approves projects selected for this category. Project selection is made at the state level based on criteria to assure timely and effective use of the funds.

Districts receive program authority for the projects selected.

#### Policy

Projects in this category are prioritized statewide as an integral part of projects funded in Category 3A.

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

Levels of authorization are assigned to the projects selected for development as part of the NHS.

- ◆ Priority 1 - projects authorized for PS&E completion, utilities adjustments and construction within the next four fiscal years
- ◆ Priority 2 - projects authorized for PS&E preparation and right-of-way acquisition.



## Section 8

### Category 4A - Surface Transportation Program: Safety

#### Description

TEA-21 provided that 10 percent of all the Surface Transportation (STP) funds apportioned to the state be dedicated to safety projects. This category is composed of the following TxDOT safety programs: Federal Hazard Elimination Program and the Federal Railroad Signal Safety Program.

#### Restrictions

Safety funds apportioned under the Federal Hazard Elimination Program are to be used to implement highway safety improvement projects on any public road other than interstate highways. Safety funds apportioned under the Federal Railroad Signal Safety Program are to be used to implement highway-rail grade crossing safety projects on any public road. Safety funds apportioned under the Federal Hazard Elimination Program or the Federal Railroad Signal Safety Program can also be used to develop a crash records information system.

All projects must be developed in accordance with applicable federal and state environmental requirements. All projects must be designed, constructed, operated, and maintained in accordance with state laws, regulations, directives; and safety, design, and construction standards as required by TEA-21.

#### Project Selection

Allocations for the safety programs are approved by the commission, with the programs managed as bank balance programs on a statewide basis with projects evaluated, ranked, prioritized, and selected by the Traffic Operations Division.

Districts/Divisions receive program authority for the projects selected for inclusion in a safety program. The Federal Hazard Elimination Program is usually a one-year program with the program funds available for use within three years. The Federal Railroad Signal Safety Program is usually a one-year program with the program funds available for use within four years.

## **Policy**

Federal Hazard Elimination Program projects are evaluated and ranked by a safety improvement index using three years of accident data.

All highway-rail crossings on the statewide inventory are prioritized using the Texas Priority Index (PI). This index is based on the number of trains per day, speed of trains, current average daily traffic, number of school bus crossings per day (special vehicles), type of warning devices, and train-involved accidents within the prior five years. Those crossings with the highest PI are selected for the Federal Railroad Signal Safety Program.

Funds for a crash records information system will be approved by the Executive Director (or designee).

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

## Section 9

### Category 4B - STP: Transportation Enhancements

#### Description

This category is to address projects that are above and beyond what could normally be expected in the way of enhancements to the transportation system.

#### Restrictions

Projects programmed in this category must fall under one of the following general activities as outlined in TEA-21:

- ◆ provision of facilities for pedestrians and bicycles
- ◆ acquisition of scenic easements and scenic or historic sites
- ◆ scenic or historic highway programs (including the provision of tourist and welcome center facilities)
- ◆ landscaping and other scenic beautification
- ◆ historic preservation
- ◆ rehabilitation and operation of historic transportation buildings, structures, or facilities (including historic railroad facilities and canals)
- ◆ preservation of abandoned railway corridors (including the conversion and use thereof for pedestrian or bicycle trails)
- ◆ control and removal of outdoor advertising
- ◆ archaeological planning and research
- ◆ environmental mitigation to address water pollution due to highway runoff or reduce vehicle-caused wildlife mortality while maintaining habitat connectivity
- ◆ provision of safety and educational activities for pedestrians and bicyclists
- ◆ establishment of transportation museums.

All projects must be developed in accordance with applicable federal and state environmental requirements. All projects must be designed, constructed, operated, and maintained in accordance with state laws, regulations, directives; and safety, design, and construction standards as required by TEA-21.

Agreements must be executed prior to beginning work.

Projects in this category must have the concurrence of the MPO if it is located in their area of jurisdiction.

### **Project Selection**

Projects are prioritized and selected by the commission on a statewide basis for the Texas Statewide Transportation Enhancement Programs.

Districts receive program authority for the projects selected for inclusion in the program.

### **Policy**

All projects in this category will be selected and programmed in accordance with the rules as published in Title 43, Texas Administrative Code, Part I, Chapter 11, Sections 11.201–11.205.

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

## Section 10

### Category 4C - STP: Metropolitan Mobility/Rehabilitation

#### Description

This category is to address transportation needs within the metropolitan area boundaries of MPOs having urbanized areas with populations of 200,000 or greater.

#### Restrictions

Projects are selected by the MPO in consultation with the districts. This program authority can be used on any roadway with a functional classification greater than a local road or rural minor collector.

All projects must be developed in accordance with the applicable federal and state environmental requirements. All projects must also be designed, constructed, operated, and maintained in accordance with state laws, regulations, directives; and safety, design, and construction standards as required by TEA-21.

#### Allocation to Districts

Each urbanized area with a population in excess of 200,000 receives an annual allocation to expend each year. Allocations based on population are distributed to the TxDOT districts.

The program is managed as a bank balance program, and eligible projects (selected by the MPO) are developed by the districts on an as-needed basis. Projects can be canceled or changed as long as the program balance is not exceeded.

Additional programming authority has also been allocated to the districts for the development of plans, specifications, estimates, and right-of-way purchase. Funding of these projects can be made through upcoming Metropolitan Mobility/Rehabilitation programs.

#### Policy

The federal program authority will be allocated through the district to the qualifying MPOs.

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

## **Section 11**

### **Category 4D - STP: Urban Mobility/Rehabilitation**

#### **Description**

This category is to address the transportation needs in those urbanized areas with between 5,000 and 200,000 population.

#### **Restrictions**

Projects located within urbanized areas (population greater than 50,000) are selected by the district in consultation with the MPO. Projects located in urban areas (population between 5,000 and 50,000) are selected by the district in consultation with the local governments.

Projects in urbanized areas can be on any roadway with a functional classification greater than a local road or rural minor collector.

All projects must be developed in accordance with the applicable federal and state environmental requirements. All projects must also be designed, constructed, operated, and maintained in accordance with state laws, regulations, directives; and safety, design, and construction standards as required by TEA-21.

Projects in this category must have the concurrence of the MPO if it is located in their area of jurisdiction.

#### **Allocation to Districts**

Allocations are made to districts based on the percentage of the combined population of the qualifying cities within the district as compared to the state population in that category.

The program is managed as a bank balance program, and eligible projects (selected by the MPO if appropriate) are developed by the districts on an as-needed basis. Projects can be canceled or changed as long as the program balance is not exceeded.

Additional programming authority has also been allocated to the districts for the development of plans, specifications, estimates, and right-of-way purchase. Funding of these projects can be made through upcoming urban mobility/rehabilitation programs.

**Policy**

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

Consideration should be given to previously programmed high priority projects on the NHS, non-NHS, or urban systems. New projects should be considered only after those previously programmed projects have been evaluated and considered.

## Section 12

### Category 4E - STP: Rural Mobility/Rehabilitation

#### Description

This category is to address transportation needs in the rural areas of the state (in cities of less than 5,000 population or outside any city limits).

#### Restrictions

Projects programmed in this category must be in cities of less than 5,000 population or outside any urbanized area. This program authority can be used on any roadway with a functional classification greater than a local road or rural minor collector.

All projects must be developed in accordance with the applicable federal or state environmental requirements and design standards. All projects must be designed, constructed, operated, and maintained in accordance with state laws, regulations, directives; and safety, design, and construction standards as required by TEA-21.

Projects in this category must have the concurrence of the MPO if it is located in their area of jurisdiction.

#### Allocation to Districts

Allocations are made to districts based on the percentage of rural population within the district as compared to the state's rural population.

The program is managed as a bank balance program, and eligible projects are developed by the districts on an as-needed basis. Projects can be canceled or changed as long as the program balance is not exceeded.

Additional programming authority has also been allocated to the districts for the development of plans, specifications, estimates, and right-of-way purchase. Funding of these projects can be made through upcoming rural mobility/rehabilitation programs.

#### Policy

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

Consideration should be given to previously programmed high priority projects on the state highway system. New projects should be considered only after those previously programmed projects have been evaluated and considered.

## Section 13

### Category 4F - STP: Rehabilitation in Urban and Rural Areas

#### Description

This category is to address the rehabilitation needs of non-NHS highways as well as NHS highways in urban and rural areas on the state highway system which are functionally classified greater than a local road or a rural minor collector.

#### Restrictions

These funds can only be expended on the state highway system in urban and rural areas, and are intended for the rehabilitation of existing main lanes and structures. The roadway must be functionally classified greater than a local road or rural minor collector.

All projects must be developed in accordance with applicable federal or state environmental requirements and design standards. All projects must be designed, constructed, operated, and maintained in accordance with state laws, regulations, directives; and safety, design, and construction standards as required by TEA-21.

Projects in this category must have the concurrence of the MPO if it is located in their area of jurisdiction.

#### Allocation to Districts

Allocations for the STP Urban/Rural Rehabilitation Programs are approved by the commission, with the districts receiving allocations based on the following formula:

- ◆ 30% - summation of flexible and rigid equivalent single-axle loads per non-interstate section multiplied times the non-interstate section length
- ◆ 30% - non-interstate lane miles
- ◆ 35% - non-interstate lane miles (including interstate frontage roads) with “substandard” Distress Scores, based on Pavement Management Information System (PMIS) Distress Score less than 60.
- ◆ 5% - square footage of bridge deck area with sufficiency rating between 50 and 80.

This program is managed as a bank balance program with eligible projects developed by the districts on an as-needed basis within their allocations. The STP Urban/Rural Rehabilitation Programs are usually one-year programs with the program funds available for use within four years.

### **Policy**

Funds can only be used to rehabilitate any roadway on the state highway system with a functional classification greater than a local road or rural minor collector. The roadway must be rehabilitated to applicable design standards.

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

## **Section 14**

### **Category 4G - STP: Railroad Grade Separations**

#### **Description**

This category is to address the construction of grade separations at existing highway-railroad grade crossings and the rehabilitation or replacement of deficient railroad underpasses on the state highway system.

#### **Restrictions**

The funds in this category must be spent on the construction of a grade separation at an existing highway-railroad grade crossing or the replacement or rehabilitation of an existing deficient railroad underpass of a roadway on the state highway system with a functional classification greater than a local road or rural minor collector.

All projects must be developed in accordance with applicable federal and state environmental requirements. All projects must be designed, constructed, operated, and maintained in accordance with state laws, regulations, directives; and safety, design, and construction standards as required by TEA-21.

Projects in this category must have the concurrence of the MPO if it is located in their area of jurisdiction.

#### **Project Selection**

The commission approves projects selected for this category. Projects are ranked, prioritized, and recommended by the Design Division using a cost-benefit index (CBI). This index considers the average daily traffic, number of fatalities and injuries and delays to vehicle traffic.

Districts receive program authority for the projects selected. Each district with a selected project will receive available apportionments when the project is ready for letting.

## **Policy**

Projects are evaluated using a benefit-cost index and can only be used on any roadway on the state highway system with a functional classification greater than a local road or rural minor collector.

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

Levels of authorization are assigned to the projects selected for development as part of the Railroad Grade Separation Safety Program.

- ◆ Priority 1 - projects authorized for PS&E completion, utilities adjustments, and construction within the next four fiscal years
- ◆ Priority 2 - projects authorized for PS&E preparation and right-of-way acquisition.

## Section 15

### Category 5 - Congestion Mitigation and Air Quality Improvement

#### Description

This category is to address the attainment of a national ambient air quality standard in the non-attainment areas of the state which are currently Dallas, Fort Worth, Houston, Beaumont, and El Paso. Projects are for congestion mitigation and air quality improvement (CMAQ) in the non-attainment areas in the state.

#### Restrictions

CMAQ projects are selected by the MPO in consultation with TxDOT and the Texas Natural Resource Conservation Commission. Projects must have final approval by the Environmental Protection Agency (EPA) and the Federal Highway Administration (FHWA) before letting.

Each CMAQ project is evaluated to quantify its air quality improvement benefits. Funds can not be used to add capacity for single occupancy vehicles.

All projects must be developed in accordance with applicable federal or state environmental requirements.

All projects must be designed, constructed, operated and maintained in accordance with state laws, regulations, directives; and safety, design, and construction standards as required by TEA-21.

#### Allocation to District

Each non-attainment area receives an annual allocation to expend each year. Allocations are based on population and air quality non-attainment factors outlined in TEA-21.

The program is managed by the districts as a bank balance program with eligible projects developed by the districts on an as-needed basis. Projects can be canceled or changed as long as the program balance is not exceeded.

Additional programming authority has also been allocated to the districts for the development of plans, specifications, estimates, and right-of-way purchase. Funding of these projects can be made through upcoming (CMAQ) programs.

**Policy**

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

## **Section 16**

### **Category 6A & 6B - Bridge Replacement/Rehabilitation: On State System Bridges and Off State System Bridges**

#### **Description**

These two categories are to address the bridge needs to replace or rehabilitate deficient existing bridges located on the public highways, roads, and streets in the state. Category 6A is for those bridges on the state highway system, and Category 6B is for those off the state highway system.

#### **Restrictions**

Bridge projects must meet eligibility criteria, including

- ◆ being classified as functionally or structurally deficient under FHWA criteria
- ◆ having a FHWA sufficiency rating less than 50 to be eligible for replacement, or having and FHWA sufficiency rating less than 80 to be eligible for rehabilitation.

All bridge replacements and rehabilitation must be in accordance with TxDOT's design standards.

Projects in this category must have the concurrence of the MPO if located within their area of jurisdiction.

All projects must be developed in accordance with the applicable state or federal environmental requirements. All projects must be designed, constructed, operated, and maintained in accordance with state laws, regulations, directives; and safety, design, and construction standards as required by TEA-21.

## **Project Selection**

The commission approves projects selected for this category. Projects are selected using a statewide prioritization process that utilizes a calculated score for each candidate bridge project. The score considers average daily traffic, cost per vehicle, bridge condition, adequacy of roadway width, and overall bridge sufficiency. The actual scoring process is referred to as the Texas Eligible Bridge Selection System (TEBSS). However, projects involving eligible candidate bridges that are appraised by TxDOT as having a “critical condition” may be selected regardless of the TEBSS score.

For off-state system projects selected under the statewide prioritization process, consideration may be given under certain circumstances to a local government’s preference to fund a substitution project. TxDOT staff will consider the justification of each proposed substitution on a case-by-case basis and prepare specific minute orders for commission action as appropriate.

## **Policy**

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

Levels of authorization are assigned to the projects selected for development as part of the Bridge Replacement and Rehabilitation categories.

- ◆ Priority 1 - projects authorized for PS&E completion, utilities adjustments, and construction within the next four fiscal years
- ◆ Priority 2 - projects authorized for PS&E preparation and right-of-way acquisition.

## Section 17

### Category 7 - State Preventive Maintenance

#### Description

This category is to address preventive maintenance work necessary to preserve the existing state highway system.

#### Restrictions

Preventive maintenance funds can only be expended on the state highway system. Preventive maintenance may include such basic work as seal coats, fog seals, slurry seals, microsurfacing, asphaltic concrete overlays (maximum 1 ½ in thick) plant mix seals (maximum 1 ½ in thick), clean & seal joints in concrete pavement or bridge decks, painting steel bridge structures, recycling asphaltic concrete pavements (maximum 1 ½ in thick), spot concrete pavement repairs, and bridge deck protection. Basic work may include incidental work where necessary, such as pothole repairs, spot base and edge repairs, minor bridge deck and joint repairs, fabric underseals, pavement markings or markers, driveway and turn-out repairs, guardrail upgrading, strip or spot asphaltic concrete pavement level-ups, cold/hot milling or planing, minor widening of travelway (maximum 2 feet each side and only to correct a maintenance problem), and the installation of turn lanes (excluding continuous left turn lanes).

#### Allocation to Districts

Allocations for the preventive maintenance programs are approved by the commission, with the districts receiving allocations based on the following formula:

- ◆ 80% - lane miles on the State Highway System
- ◆ 10% - vehicle miles traveled per lane mile
- ◆ 10% - lane miles in “substandard” condition, based on Pavement Management Information System (PMIS) Distress Scores between 70 and 89.

The Preventive Maintenance Programs are managed as bank balance programs with eligible projects developed by the districts on an as-needed basis within their allocations. Preventive Maintenance Programs are usually one-year programs with the program funds available for use within four years.

**Policy**

Funds can only be used to preserve the state highway system.

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

## Section 18

### Category 8A - Rehabilitation of Texas Farm to Market Roads

#### Description

This category is primarily to address the reconstruction or rehabilitation of existing Farm to Market Roads and Ranch to Market Roads.

#### Restrictions

All Farm to Market Road (FM) program funds must be spent outside urbanized areas with populations of 50,000 or more. Funds may be used, at the district's discretion, for the rehabilitation of roads on the existing Farm to Market Road system.

All projects must be developed in accordance with applicable state environmental requirements. All projects must be designed, constructed, operated, and maintained in accordance with state laws, regulations, directives; and safety, design, and construction standards.

#### Allocation to District

Allocations for the Texas Farm to Market Road Rehabilitation Programs are approved by the commission, with the districts receiving allocations based on the following formula:

- ◆ 30% - summation of flexible and rigid equivalent single-axle loads per FM section multiplied times the FM section length
- ◆ 30% - FM lane miles
- ◆ 35% - FM lane miles with “substandard” Distress Scores, based on Pavement Management Information System (PMIS) Distress Score less than 60
- ◆ 5% - square footage of bridge deck area with sufficiency rating between 50 and 80.

The rehabilitation of a Farm to Market Road to a prison site may be funded with supplemental funds added to the State Farm to Market Road Rehabilitation program. For each prison site, the maximum amount of funds to be authorized for constructing a new road or improving an existing road is \$600,000. Each request for supplemental funds for a road to prison site will be submitted separately to the commission for approval.

The Farm to Market Road Rehabilitation programs are managed as bank balance programs with eligible projects developed by the districts on an as-needed basis within their allocations. Farm to Market Rehabilitation Programs are usually one-year programs with the program funds available for use within four years.

**Policy**

Funds can only be used to rehabilitate any Farm to Market or Ranch to Market roadways.

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

The provisions of Commission Minute Order 100593, dated February 25, 1992, outline the responsibilities and requirements for Farm to Market Roads providing access to prison sites.

## **Section 19**

### **Category 8B - Texas Farm to Market Roads System Expansion**

#### **Description**

This category is to address the construction of new Farm to Market Roads and Ranch to Market Roads, and the added capacity of existing Farm to Market Roads and Ranch to Market Roads. The construction of the roads to prison locations is also included in this category.

#### **Restrictions**

All Farm to Market Road program funds must be spent outside urbanized areas with populations of 50,000 or more. Funds may be used only for selected projects. Projects are prioritized by cost-benefit (cost per vehicle mile) and recommended to the commission for selection.

The construction of new Farm to Market Roads and Ranch to Market Roads is limited to extensions of previously designated facilities, or new sections which will complete a gap in the existing system, or new sections which will provide access to new prison sites located near existing Farm to Market Roads.

All projects must be developed in accordance with applicable state environmental requirements. All projects must be designed, constructed, operated, and maintained in accordance with state laws, regulations, directives; and safety, design, and construction standards.

#### **Project Selection**

The commission approves projects selected for this category. Projects considered are evaluated statewide by cost effectiveness (cost per vehicle mile).

The construction of a Farm to Market Road to a prison site is funded with supplemental funds added to the State Farm to Market Road program. For each prison site, the maximum amount of funds to be authorized for constructing a new or improving an existing road is \$600,000. Each request for supplemental funds for a road to prison site will be submitted separately to the commission for approval.

## **Policy**

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

The provisions of Commission Minute Order 100593 dated February 25, 1992, outline the responsibilities and requirements for Farm to Market Roads providing access to prison sites.

Levels of authorization are assigned to the projects selected for development as part of the Farm to Market Road System Expansion category.

- ◆ Priority 1 - projects authorized for PS&E completion, utilities adjustments, and construction within the next four fiscal years
- ◆ Priority 2 - projects authorized for PS&E preparation and right-of-way acquisition.

## **Section 20**

### **Category 9 - State Park Roads**

#### **Description**

This category is to address the need for constructing and rehabilitating roadways within or adjacent to Texas Parks and Wildlife Department facilities.

#### **Restrictions**

Projects in this category must be developed in accordance with a Memorandum of Agreement (MOA) between TxDOT and the Texas Parks and Wildlife Department.

All projects must be developed in accordance with applicable state environmental requirements. All projects must be designed, constructed, operated and maintained in accordance with state laws, regulations, directives, safety standards, design and construction standards.

#### **Project Selection**

Allocations for the State Park Roads Programs are approved by the commission and managed as a bank balance program on a statewide basis with the projects selected and prioritized by the Texas Parks and Wildlife Department.

Funding for each project selected will be allocated to the district in which the park is located. The park roads programs are usually one-year programs with the program funds available for use within four years.

#### **Policy**

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

The provisions of the MOA outline the responsibilities and requirements for these facilities.

## Section 21

### Category 10A - Traffic Control Devices

#### Description

This category is to address the installation and/or rehabilitation of non-interstate signs, pavement markings, traffic signals, and illumination systems, including minor roadway modifications to improve operations. Funds can be used to install new traffic signals as well as modernize existing signals.

#### Restrictions

Projects in this category may be on any highway on the state system. The normal installation of signing and markers through construction projects and maintenance operations is not considered eligible for this category.

This category is not intended for sign rehabilitation on the interstate highway system. That rehabilitation work should be programmed as a part of the interstate rehabilitation programs in Category 2, Interstate Maintenance.

All projects must be developed in accordance with the applicable state or federal environmental requirements. All projects must be designed, constructed, operated, and maintained in accordance with state laws, regulations, directives; and safety, design, and construction standards as required by TEA-21.

#### Allocation to District

Allocations for the Traffic Control Devices Program are approved by the commission, with the districts receiving allocations based on the following formula:

- ◆ 50% - District percentage of total state non-interstate lane miles
- ◆ 50% - District percentage of total state population (according to 1990 census).

The Traffic Control Devices Program is managed as a bank balance program with eligible projects developed by the districts on an as-needed basis within their allocations. The program is usually a one-year program with the program funds available for use within four years.

#### Policy

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

## Section 22

### Category 10B - Rehabilitation of Traffic Management Systems

#### Description

This category is to address the rehabilitation and maintenance of operational traffic management systems.

#### Restrictions

Installation of new traffic management systems are not eligible for this category.

These funds can only be spent on contractor payments (including parts and labor) which are contracted through either the construction or General Services (i.e.- catalog procurement) process. The purchase of spare parts, test equipment, and other materials that will be installed by TxDOT forces are not eligible for these funds.

All projects must be developed in accordance with the applicable state or federal environmental requirements. All projects must be designed, constructed, operated, and maintained in accordance with state laws, regulations, directives; and safety, design, and construction standards as required by TEA-21.

#### Allocation to District

Allocations for the Rehabilitation of Traffic Management Systems Programs are approved by the commission, with the districts receiving allocations based on sophistication of equipment installed, type of control center and miles of system under control.

The Rehabilitation of Traffic Management Systems Program is managed as bank balance program with eligible projects developed by the districts on an as-needed basis within their allocations. The program is usually a one-year program with the program funds available for use within four years.

#### Policy

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

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## Section 23

### Category 11 - State District Discretionary

#### Description

This category is to address miscellaneous projects selected at the district's discretion.

#### Restrictions

Projects must be on the state highway system. Funds from this program should not be used for right-of-way acquisition.

Projects that are located within an air quality non-attainment area may need to be included in the Transportation Improvement Program of the MPO.

#### Allocation to District

Allocations for the District Discretionary Programs are approved by the commission with each district receiving an allocation based on:

- ◆ 70% - vehicle miles traveled both on and off the state highway system
- ◆ 30% - registered vehicles.

Each district will receive a minimum allocation of \$2,000,000 (as required by Rider 41 to TxDOT's apportionments, Article 7 of House Bill 1, passed by the 75th Texas Legislature).

The district discretionary programs are managed as bank balance programs with eligible projects developed by the districts within their allocations. District Discretionary Programs are usually one-year programs with the program funds available for use within four years.

Additional programming authority has also been allocated to the districts for the development of plans, specifications, estimates, and right-of-way purchase. Funding of these projects can be made through their annual District Discretionary Program, other district bank balance programs, or the Strategic Priority Program.

#### Policy

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

## **Section 24**

### **Category 12 - Strategic Priority**

#### **Description**

This category is intended to give the commission some flexibility in selecting projects for construction throughout the state which may not meet other program criteria but promote economic development, provide system continuity with adjoining states and Mexico, or address other strategic needs of the state as determined by the commission.

#### **Restrictions**

Projects selected for the Strategic Priority Program must be in the STIP and a district's TIP if federal-aid funds will be used to construct the projects.

Projects in this category must have the concurrence of the MPO if it is located in their area of jurisdiction.

#### **Project Selection**

The commission selects and approves projects for this category. Each year the commission reviews and re-authorizes projects.

Only Priority 1 authorization is assigned to the projects selected for the Strategic Priority Program. Projects are authorized for PS&E completion, utilities adjustments, and construction within the next four fiscal years.

#### **Policy**

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

## **Section 25**

### **Category 13A - State Funded Mobility**

#### **Description**

This category is to address the previously approved state funded projects throughout the state.

#### **Restrictions**

Projects must be on the state highway system.

Projects that are located within an air quality non-attainment area may need to be included in the Transportation Improvement Program of the MPO.

#### **Project Selection**

All of the projects have already been identified. Each year the projects are reviewed and re-authorized by the commission.

#### **Policy**

Because of the additional state funding required to match the increased federal funding, and because of the increase in maintenance costs, there are not sufficient state funds to continue this program beyond the current commitment.

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

Levels of authorization are assigned to the projects selected for development as part of the State Funded Mobility category.

- ◆ Priority 1 - projects authorized for PS&E completion, utilities adjustments, and construction within the next four fiscal years
- ◆ Priority 2 - projects authorized for PS&E preparation and right-of-way acquisition.

## **Section 26**

### **Category 13B - Hurricane Evacuation Routes**

#### **Description**

This category is to address the construction of Hurricane Evacuation Routes to increase safety, access, and mobility of people and goods in the coastal areas of the state in emergency situations.

#### **Restrictions**

Projects must be on an approved Hurricane Evacuation Route on the state highway system.

All projects must be developed in accordance with applicable federal and state environmental requirements. All projects must be designed, constructed, operated and maintained in accordance with state laws, regulations, directives; and safety, design, and construction standards. Projects in this category must have the concurrence of the MPO if it is located in their area of jurisdiction.

Projects that are located within an air quality non-attainment area may need to be included in the Transportation Improvement Program of the MPO.

#### **Project Selection**

The commission approves projects selected for this category. Projects considered for this category are evaluated and recommended through the consensus of representatives from the TxDOT districts which have Hurricane Evacuation Routes (Beaumont, Corpus Christi, Houston, Pharr, and Yoakum).

#### **Policy**

Projects are evaluated by the effected districts based on identified need.

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

Levels of authorization are assigned to the projects selected for development as part of the Hurricane Evacuation Routes category.

- ◆ Priority 1 - projects authorized for PS&E completion, utilities adjustments, and construction within the next four fiscal years
- ◆ Priority 2 - projects authorized for PS&E preparation and right-of-way acquisition.



## Section 27

### Category 13C - NAFTA Discretionary/Border Trade Transportation Projects

#### Description

This category is to address demands on the transportation infrastructure in border area districts because of projected increases in international trade resulting from the ratification of the North American Free Trade Agreement (NAFTA).

This category is one of the most flexible and unique among TxDOT's funding categories. In 1995, the Texas Transportation Commission established the NAFTA Discretionary category as a state-funded allocation program. Annual funding levels were established and the border districts utilized the funds, with concurrence of the MPO as appropriate. Currently, projects exist that have been developed under the allocation program method. These projects are valid projects and have funds committed against them that reflect the Commission's intent to continue development through contract letting.

In October 1999, the Border Trade Transportation Task Force recommended to the Commission that future NAFTA Discretionary projects be listed in TxDOT's Unified Transportation Program (UTP), and be designated as Border Trade Transportation Projects. The UTP is a ten-year prioritized plan for transportation project development where projects can be more effectively streamlined and coordinated. The current projects that are being developed under the project specific method are listed and prioritized in the most recent UTP. Until the last NAFTA Discretionary allocation program lapses at the end of Fiscal Year 2006, TxDOT will be tracking both methods of developing and funding these high priority border programs.

The funding source could be 100 percent state funds or a combination of 80 percent federal/20 percent state funding depending upon availability of resources.

#### Restrictions

Projects must be NAFTA related and on the state highway system.

All projects must be developed in accordance with applicable state environmental requirements. All projects must be designed, constructed, operated, and maintained in accordance with state laws, regulations, directives, safety standards, design, and construction standards. Projects in this category must have the concurrence of the MPO if located in its area of jurisdiction.

Projects that are located within an air quality non-attainment area may need to be included in the Transportation Improvement Program of the MPO.

### **Project Selection**

The Commission approves projects selected for this category. Projects considered for this category are evaluated and recommended through the consensus of representatives from the TxDOT border districts (El Paso, Laredo, and Pharr).

The NAFTA Discretionary program is a district-controlled allocation program with the districts selecting the projects.

The Border Trade Transportation projects are selected by TxDOT border districts through coordinated discussion and consensus building.

### **Policy**

Projects are evaluated based on identified need.

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds – Participation Ratios.

Levels of authorization are assigned to the projects selected for development as follows:

- ◆ Priority 1 – Projects authorized for PS&E completion, utilities adjustments, and construction within the next four fiscal years.
- ◆ Priority 2 – Projects authorized for PS&E preparation and right-of-way acquisition.

## **Section 28**

### **Category 13D - Urban Streets**

#### **Description**

This category is to provide for the reconstruction and restoration of certain city streets in urbanized areas.

#### **Restrictions**

Projects must be on city streets in urbanized areas with populations of 50,000 or more. Streets must be classified as a collector or higher.

All reconstruction and added capacity projects must be developed in accordance with American Association of State Highway and Transportation Official's (AASHTO) standards. Pavement restoration projects will be developed to existing or higher pavement standards, based on current traffic. All projects will be developed in accordance with applicable state environmental requirements.

Projects that are located within an air quality non-attainment area may need to be included in the Transportation Improvement Program of the MPO.

#### **Allocation to MPOs**

Allocations for the Urban Street Program are approved by the commission, with the MPOs receiving allocations based on their urbanized area population (current official U.S. Census).

Programs will be managed as bank balance programs to the MPOs. Urban Street programs are usually one year programs with the program funds available for use within four years. Eligible projects should be developed by the MPOs with TxDOT concurrence on an as-needed basis.

**Policy**

Funds can be used on city streets functionally classified as a collector or higher.

Construction fund match and match for purchase of right-of-way and utility adjustments is as follows:

The city will pay 100 percent of storm sewer, curb and gutter, sidewalks, driveways, right-of-way, utility adjustments, and environmental mitigation (i.e., sound walls, etc.)

TxDOT will pay 80 percent of grading, base, pavement (no preventive maintenance projects such as thin overlays and seal coats), cross drainage, pavement markings, guard fence, and other safety features. The city will pay 20 percent of the above items.

Consultants may be used for plans, specifications, and estimates preparation. The cities will escrow funds for the department to select, manage, and pay the consultants on those projects that will be managed by the department. A city may request that they be allowed to provide complete plans, specifications and estimates, and manage the construction of a project. On these projects, the department will have oversight and audit responsibility.

## Section 29

### Category 14 - State Rehabilitation

#### Description

This category is to address rehabilitation needs on the state highway system that might not qualify for federal funding.

#### Restrictions

Projects must be on the state highway system.

Projects that are located within an air quality non-attainment area may need to be included in the Transportation Improvement Program of the MPO.

#### Allocation to District

Allocations for the State Rehabilitation Programs are approved by the commission, with the districts receiving allocations based on the following formula:

- ◆ 30% - summation of flexible and rigid equivalent single-axle loads per non-interstate section multiplied times the non-interstate section length
- ◆ 30% - non-interstate lane miles
- ◆ 35% - non-interstate lane miles (including interstate frontage roads) with “substandard” Distress Scores, based on Pavement Management Information System (PMIS) Distress Score less than 60
- ◆ 5% - square footage of bridge deck area with sufficiency rating between 50 and 80.

These programs are managed as bank balance programs with eligible project developed by the districts on an as-needed basis within their allocations. The State Rehabilitation Programs are usually one-year programs with the program funds available for use within four years.

#### Policy

Funds can only be used to rehabilitate any roadway on the state highway system. The roadway must be rehabilitated to applicable design standards.

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

## Section 30

### Category 15 - Congressional High Priority Projects

#### Description

This category is to address the development of projects across the state that have been designated as demonstration or Congressional High Priority projects in TEA-21, ISTEA, or other legislation.

#### Restrictions

All projects must be developed in accordance with applicable federal and state environmental requirements. All projects must be designed, constructed, operated, and maintained in accordance with state laws, regulations, directives; and safety, design, and construction standards as required by TEA-21.

Projects in this category must have the concurrence of the MPO if it is located in their area of jurisdiction.

#### Project Selections

The commission authorizes TxDOT's participation in Congressional high-priority projects. These projects will be contracted as soon as the districts develop them, and when state funds are available to fund the match and other expenditures.

The amount of federal funds available for each project may fund only a part of the project as described. When necessary, the commission will determine what part of the project is to be constructed with the funds provided. The remainder of the project will compete for funding in other categories.

#### Policy

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios, unless the demonstration funding terms are different.

Levels of authorization are assigned to the projects selected for development as part of the Congressional High Priority Projects category.

- ◆ Priority 1 - projects authorized for PS&E completion, utilities adjustments, and construction within the next four fiscal years
- ◆ Priority 2 - projects authorized for PS&E preparation and right-of-way acquisition.

## Section 31

### Category 16 - Miscellaneous

#### Description

This category is to address projects that will not fit into any other category.

Examples of programs included in this category would be for:

- ◆ Travel Information Centers
- ◆ Construction Landscape Program
- ◆ Truck Weight Stations
- ◆ Rest Area Construction and Rehabilitation
- ◆ Railroad Grade Crossing Replanking Program
- ◆ Railroad Signal Maintenance Program
- ◆ Ferry Boat Discretionary - Federal Program
- ◆ Federal Lands Highways - Federal Program
- ◆ Indian Reservation Highways - Federal Program
- ◆ Forest Highways - Federal Program.

Most of the programs are state funded; however, federal funds are involved in some programs as noted above. Federal-aid projects in this category must have the concurrence of the MPO if located within their area of jurisdiction.

#### Restrictions

Each of the miscellaneous programs is addressed to a specific type of work. The commission approves the requirements for each program.

#### Allocation to District

Allocations for the various state programs are approved by the commission, with the programs managed as bank balance programs on a statewide basis with the projects evaluated, prioritized, and selected by the appropriate TxDOT division (the one responsible for the program).

The commission authorizes TxDOT's participation in the federal miscellaneous programs when federal program funds are available.

Districts receive program authority for the projects selected for inclusion in one of these miscellaneous programs.

**Policy**

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

## Section 32

### Category 17 - State Principal Arterial Street System

#### **Description**

This category is to address only those projects listed in the Unified Transportation Program which were previously approved in the Urban System/Principal Arterial Street System (PASS) programs. The PASS Metro Match program was a state funded program supplemented by local funding. The urban system program was a federally funded program supplemented by state and/or local funding.

#### **Restrictions**

Projects that are located within an air quality non-attainment area may need to be included in the Transportation Improvement Program of the MPO.

#### **Project Selection**

The commission approves projects selected for this category. Projects considered in this category are scheduled on a statewide basis for inclusion into Priority 1 of this program.

#### **Policy**

Because of the additional state funding required to match the increased federal funding and because of an increase in maintenance costs, there are not sufficient state funds to continue this program beyond our present commitment. The amount of funds to be committed to projects in Categories 17 TxDOT is limited. MPOs are encouraged to utilize STP funds to re-program PASS projects so they may be constructed at an earlier date.

Match for preliminary engineering, construction, and right-of-way purchase/utility adjustments will be in accordance with TxDOT's Policy for Matching Funds - Participation Ratios.

Levels of authorization are assigned to the projects selected for development as part of the PASS category.

- ◆ Priority 1 - projects authorized for PS&E completion, utilities adjustments, and construction within the next four fiscal years
- ◆ Priority 2 - projects authorized for PS&E preparation and right-of-way acquisition.

## Section 33

### Category 18 - Candidate Turnpike Projects

#### Description

This category is intended to address the planning, design, development, construction, operation, and maintenance of turnpike and toll facilities throughout the state.

#### Restrictions

Turnpike and toll facilities must receive all necessary state and federal environmental approvals. Turnpike projects must also be the subject of public hearings in the vicinity where projects are located; public hearings concerning environmental review; and must be designed, constructed, operated, and maintained as required by applicable state and federal laws, rules, and regulations.

Projects in this category must have the concurrence of the MPO if located within their area of jurisdiction.

#### Project Selection

Texas Turnpike authority Division Board of Directors (or other appropriate tolling entity) approves proposed turnpike projects, subject to ultimate approval by the Texas Transportation Commission.

#### Policy

The Texas Turnpike Authority division may construct, maintain, repair, and operate turnpike projects to facilitate vehicular traffic throughout the state, promote the agricultural and industrial development of the state, and improve connections between highways of the state, adjoining states, and the United Mexican States. The TTA Division will evaluate projects based on feasibility studies considering various factors, including projected toll revenues and ridership volumes.

Levels of authorization are assigned to the projects based on the level of feasibility analysis and available funding:

- ◆ Priority 1 - projects authorized for PS&E completion, utilities adjustments, and construction within the next four fiscal years
- ◆ Priority 2 - projects authorized for PS&E preparation and right-of-way acquisition

**Table 5.1: Characteristics of UTP Categories**

Cateryory	Description	Funding	Responsible	Bank Balance Allocation	Project Specific	Eligible for LRP Status	Project Listed in UTP	Included in Trade Fair
1	High Priority IH Corridors	A	TPP		X		X	
2	IH Maint	A	District	X				X
3A	NHS: Mobility	B or C	TPP		X	X	X	
3B	Texas Trunk System	B	TPP		X	X	X	
3C	NHS: Rehab	B	District	X				X
3D	NHS: Traffic Mgmt	B	TPP		X	X	X	
3E	NHS: Misc	B	TPP		X	X	X	
4A	STP: Safety - Fed Haz Elim	A	TRF	X				
4A	STP: Safety - RR Sig Safety	A	TRF	X				
4B	STP: Trans Enhancements	B or C	Design		X			
4C	STP: Met Mob/Rehab	B or C	District and MPO	X				X
4D	STP: Urban Mob/Rehab	B or C	District	X				X
4E	STP: Rural Mob/Rehab	B	District	X				X
4F	STP: Rehab-Urban/Rural	B	District	X				X
4G	STP: RR Grade Sep	B	Bridge		X			
5	CMAQ	B or C	District and MPO	X				X
6A	Bridge Repl/Rehab - On State	B	Bridge		X	X	X	
6B	Bridge Repl/Rehab - Off State	C or D	Bridge		X		X	
7	State Prev Maint	E	District	X				
8A	Rehab - Tx FM Rds	E	District	X				
8B	Tx FM Rd Expansion	E	TPP		X	X	X	
9	State Park Roads	E	TPP	X				
10A	Traffic Control Devices	E	District	X				
10B	Rehab of Traffic Mgmt Systems	E	District	X				
11	State District Discretionary	E	District	X				
12	Strategic Priority	B or C or E	Comm		X		X	

13A	State Funded Mobility	E	Comm		X		X	
13B	Hurricane Evacuation Routes	B or E	Coastal Districts		X	X	X	
13C	NAFTA Discretionary	E	District	X				
13D	Urban Streets	F	MPO	X				
14	State Rehabilitation	E	District	X				
15	Congressional High Priority	B	Congress		X		X*	
16	Misc - RR Grade X-ing Replank	E	TRF	X				
16	Misc - RR Sig Maint	E	TRF	X				
16	Misc - Constr Landscape	E	District	X				
16	Misc - Federal	B or G	TPP		X			
17	PASS	E or H	TPP		X		X	
18	Candidate Turnpike Projects	varies	TTA		X		X	
		<b>Funding Code</b>						
		A		90% Fed - 10% State				
		B		80% Fed - 20% State				
		C		80% Fed - 20% Local				
		D		80% Fed - 10% State - 10% Local				
		E		100% State				
		F		80% State - 20% Local (on participation items of work)				
		G		100% Fed				
		H		50% State - 50% Local				
*Category 15 is listed in the UTP only following an Authorization Bill								

# Chapter 6

## Development and Implementation of the Unified Transportation Program

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## **Section 1**

### **UTP Development**

#### **Overview**

This section describes the process of developing the Unified Transportation Program (UTP). To gain Texas Transportation Commission approval, the UTP integrates the processes of identifying needs, selecting projects, allocating funds, coordinating with MPOs and local governmental officials, and providing opportunities for public scrutiny and input.

#### **Section Contents**

This section includes an explanation of each step of the UTP development process. The process for the Fiscal Year (X) UTP begins in May (X-2). It culminates in August (X-1) with Commission approval. (For example, the development process for the FY 2002 UTP begins in May 2000 and ends in August 2001.)

## UTP Development Process

The process flowchart ( Figure 6.1 ) reflects the sequential and temporal relationships between the various steps in the development of the UTP. The following list provides a quick reference for Figure 6.1, including text links to the subsequent explanations of each step in the development process.

- ◆ Step 1.1 - The Traffic Analysis Section of TPP provides traffic data for all Categories 3A, 3B, and 8B to the Programming and Scheduling Section of TPP.
- ◆ Step 1.2 - TPP enters traffic data into DCIS.
- ◆ Step 1.3 - TPP ranks projects for information and coordination.
- ◆ Step 1.4 - Tentative selections are made in Categories 1, 3D, 3E, 4G, 6A, 6B, 13A, and 17.
- ◆ Step 1.5 - MPOs and districts coordinate on project rankings in project-specific categories.
- ◆ Step 1.6 - TPP re-ranks projects and returns tentative listing of new Priority 1 and Priority 2 selections to districts.
- ◆ Step 1.7 - TPP prepares draft FY(x)UTP.
- ◆ Step 1.8 - Executive Director reviews draft FY(x) UTP.
- ◆ Step 1.9 - commission processing time
  - Step 1.9.1 - Commission makes tentative FY (x + 3) Strategic Priority.
  - Step 1.9.2 - TPP sends draft UTP to districts and MPOs.
  - Step 1.9.3 - 45-day public review and comment period
  - Step 1.9.4 - TPP reviews public comments and prepares staff responses.
  - Step 1.9.5 - Commission consideration and Minute Order approval
- ◆ Step 2.1 - TPP recommends category programming levels to FPG.
- ◆ Step 2.2 - FPG proposes category programming levels to Executive Director.
- ◆ Step 2.3 - Executive Director/Commission approve programming levels.
- ◆ Step 2.4 - TPP calculates allocation programs.
- ◆ Step 2.5 - Commission approves allocation programs.
- ◆ Step 2.6 - TPP and districts conduct Trade Fair and Category 13B project selection.
- ◆ Step 3.1 - Commission holds public hearing on project selection process.
- ◆ Step 3.2 - Commission adopts project selection process changes.

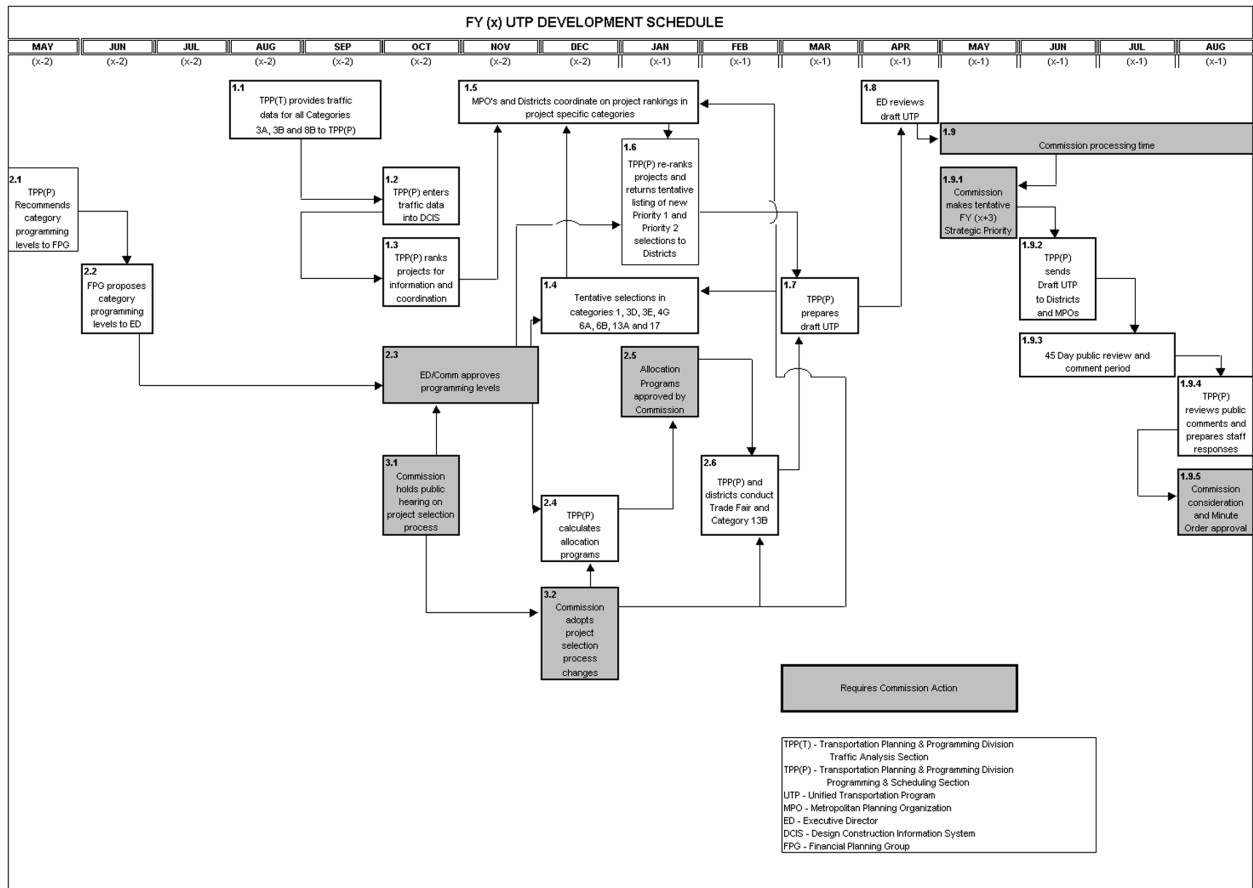


Figure 6.1: FY(X) UTP Development Schedule. Online users can click [utpdevt](#) to see a PDF file of this flowchart.

### TPP Recommends Category Programming Levels to Financial Planning Group (FPG) (Step 2.1)

**Time Period.** May (X-2)

**Input.** The information required for this process step includes the following:

- ◆ current federal-aid program requirements, limitations, and funding levels, including the flexibility to transfer funds between federal-aid programs (refer to Federal-aid Highway Programs in Chapter 2)
- ◆ state statutory requirements and limitations, with special emphasis on legislation enacted in most recent legislative session, especially the Appropriations Bill
- ◆ Commission strategic goals and directives

- ◆ identification of general needs in the various categories of work, such as congestion relief, rehabilitation, reconstruction, resurfacing, maintenance, safety, etc. Sources of this information may include the Pavement Evaluation System (PES), Bridge Inspection, Inventory and Appraisal System (BRINSAP), Traffic Accident Records, Highway Performance Monitoring Systems (HPMS), Metropolitan Transportation Plans, Rural Transportation Plans, and other input from TxDOT districts, MPOs, and local authorities.
- ◆ cash flow forecasts (Refer to Cash Forecasting in Chapter 2).

Responsible Organization. Programming and Scheduling Section of the Transportation Planning and Programming Division

**Actions.** The anticipated funding for the 11-year UTP planning period is allocated between the UTP categories based on the following considerations:

- ◆ federal-aid requirements and flexibility to transfer between programs
- ◆ required state matching dollars for federal-aid program
- ◆ projected state funds available for state-funded programs
- ◆ relative needs for congestion relief, rehabilitation, resurfacing, maintenance, safety improvements, etc.
- ◆ legislative directives
- ◆ goals and objectives of Commission and Executive Director.

The appropriateness and adequacy of the UTP categories are reviewed. The need for new categories, elimination and/or consolidation of current categories, and the need for modifying existing categories are also determined.

**Output (to Step 2.2).** The product of this step is a set of recommendations for the programming levels of UTP categories. The program levels, for those categories for which specific projects are included in the UTP, are recommended for each year of the eleven-year period included in the UTP. For other programs, the programming levels are for shorter periods, consistent with the normal time required to develop the project PS&E. Program levels for the state-funded Bank Balance Allocation Programs are established for varying periods.

These recommendations are sent to the Financial Planning Group (FPG).

### **FPG Proposes Category Programming Levels to Executive Director (Step 2.2)**

**Time Period.** June (X-2)

**Input (from Step 2.1).** The recommendations from TPP in Step 2.1 are the primary documented input for this process step.

**Responsible Organization.** FPG

**Action.** The FPG reviews the TPP recommendations for programming levels, modifies as appropriate, and develops their recommendations.

**Output(to Step 2.3).** The product of this step is the FPG's recommendations for the programming levels for the UTP categories. These recommendations are sent to the Executive Director.

### **The Traffic Analysis Section of TPP Provides Traffic Data for All Categories 3A, 3B, and 8B to the Programming and Scheduling Section of TPP (See Chapter 5 ) (Step 1.1)**

**Time Period.** September (X-2)

**Input.** Input for this process step is provided by the Transportation Planning and Programming Division Traffic Analysis Section. The UTP categories requiring updated traffic data are the following:

- ◆ Category 3A - National Highway System (NHS) Mobility
- ◆ Category 3B - Texas Trunk System
- ◆ Category 8B - Texas Farm to Market Road Expansion.

The subject projects are identified using the DCIS (refer to Role of the Design and Construction Information System in the UTP ) to obtain a listing of all projects in the three categories which are authorized for LRP status or Priority 2. (Refer to Project Development Authorization in Chapter 3)

Projects in these categories are selected based on a cost effectiveness index. Traffic data is an essential part of calculating the index.

**Responsible Organization.** The Traffic Analysis Section of the Transportation Planning and Programming Division

**Action.** Traffic data is developed for each project authorized for LRP or Priority 2 in the three UTP categories.

**Output (to Step 1.2).** Traffic data, including the current and design year (plus 20-year) average annual daily traffic (AADT), for each project are developed.

The traffic data are submitted to the Programming and Scheduling Section of the Transportation Planning and Programming Division.

### **TPP Enters Traffic Data into DCIS (Step 1.2)**

**Time Period.** August (X-2)

**Input (from Step 1.1).** The traffic data for all projects in Categories 3A, 3B, and 8B with authorization for LRP or Priority 2 are received from TPP. All traffic data used for UTP project ranking must be provided by TPP (refer to the *Transportation Policy Planning Manual*, Chapter 3, Section 4).

**Responsible Organization.** Programming and Scheduling Section of the Transportation Planning and Programming Division

**Action.** TPP enters the current traffic data into DCIS (refer to Role of the Design and Construction Information System in the UTP ).

**Output (to Step 1.3).** Updated DCIS traffic data for Categories 3A, 3B, and 8B for projects authorized for LRP or Priority 2.

### **TPP Ranks Projects for Information and Coordination (Step 1.3)**

**Time Period.** October (X-2)

**Input.** DCIS is the source of all candidate projects in the project specific programs that are to be listed in the UTP. The updated information included in DCIS, including the updated traffic data for Categories 3A, 3B, and 8B, is essential for the ranking process.

**Responsible Organization.** Programming and Scheduling Section of the Transportation Planning and Programming Division

**Actions.** Using the information in DCIS, TPP generates a ranking for all projects that are candidates for authorization upgrades to Priority 1 or Priority 2. The ranking process is unique to the UTP category. The ranking basis is summarized in Table 5.1 and, at this stage, is for information and coordination only.

The candidate projects ranked for upgrading to Priority 1 are those with Priority 2 authorization, while the candidate projects ranked for upgrading to Priority 2 status are those with LRP authorization.

**Output (to Step 1.5).** The project ranking information is distributed to the TxDOT district offices and to the MPOs.

### **Executive Director/Commission Approve Programming Levels (Step 2.3)**

**Time Period.** October–November (X-2)

**Input (from Step 2.2 and Step 3.1).** The category levels recommended by the FPG are the predominant source of information for the review and approval of the Executive Director and the Commission. Comments and recommendations from the public hearing on the project selection process conducted in **Step 3.1** are also considered.

**Responsible Party.** Executive Director and the Commission

**Actions.** The Executive Director reviews the recommended program levels, comments from the public hearing on project selection process, and submits a recommendation to the Commission for approval.

**Output (to Steps 1.4, 1.6, and 2.4).** The output includes Commission-approved levels of funding for each UTP category for the UTP planning period, [FY(X) to FY(X+1)].

### **Commission Holds Public Hearing on Project Selection Process (Step 3.1)**

**Time Period.** October (X-2)

**Input (from TPP, AVN, and PTN).** The Public Transportation Division (PTN), the Aviation Division (AVN), and the Programming and Scheduling Section of the Transportation Planning and Programming Division develop supporting documentation for the public hearing. This documentation includes the following:

- ◆ Transit Programs (developed by PTN)
- ◆ Aviation Facilities Development Program (developed by AVN)
- ◆ Highway Programs (developed by TPP)

TPP prepares the public hearing document and related information through coordination with PTN and AVN (refer to Public Hearing on Project Selection Process in Chapter 3).

The highway-related information presented at the public hearing outlines the proposed basis for allocation of projected federal and state funds to the UTP categories. This includes the federal apportionment of appropriated funds to the State of Texas, TxDOT's proposed allocation of these funds to the UTP Categories, and the distribution of the federally funded Bank Balance Allocation categorical funds to the TxDOT districts (refer to Chapter 2, Funding Considerations ).

The project selection process and the relative importance of the various criteria proposed to be used by the Commission in selecting projects are also documented (refer to Chapter 3, Project Selection ).

**Responsible Organizations.** The Texas Transportation Commission and TPP

**Process.** The public hearing is conducted in Austin. Any person, organization, group, or representative is provided an opportunity to present data, comments, view, and/or testimony at the hearing. The input received is reviewed and the proposed project selection process is modified as appropriate by TPP, AVN, and PTN.

**Output (to Steps 2.3 and 3.2).** The proposed project selection process as modified is prepared for Commission approval in Step 3.2.

**MPOs and Districts Coordinate on Project Rankings in Project-Specific Categories (Step 1.5)**

**Time Period.** November (X-2) through January (X-1)

**Input (from Steps 1.3, 1.4, and 3.2; DCIS; MPOs; and TxDOT Districts).** Tentative, or preliminary, project rankings for the project-specific categories listed in Table 6.1 are provided to the TxDOT districts and to the MPOs.

**Table 6.1: Source of Tentative or Preliminary Project Ranking**

Category	Description	Source of Ranking
1	High-Priority Interstate Highway Corridors	Step 1.4
3A	National Highway System Mobility	Step 1.3
3B	Texas Trunk System	Step 1.4
3D	National Highway System Traffic Management	Step 1.4
3E	National Highway System Miscellaneous	Step 1.4
4G	Surface Transportation Program Railroad Grade Separations	Step 1.4
6A	Bridge Replacement/Rehabilitation	Step 1.4
6B	Bridge Replacement/Rehabilitation	Step 1.4
8B	Texas Farm-to-Market Road Program	Step 1.3
17	Principal Arterial Street System (PASS)	Step 1.4

The projects ranked in these listings include projects with LRP status that will be considered for Priority 2 authority and projects with Priority 2 authority that will be considered for Priority 1 authority.

Additional information will be obtained from current DCIS records. The MPOs and the TxDOT districts will also provide input regarding candidate project characteristics.

**Responsible Organizations.** MPOs and TxDOT Districts

**Actions.** The MPOs and TxDOT districts will review the project rankings, current project information, and tentative selections provided from Steps 1.3 and 1.4. MPO and/or TxDOT

district ranking of projects in the subject UTP categories are developed considering the project selection authority as outlined in Table 3.1. (Note: The status of specific project development and the projected date of availability of PS&E for letting must be considered prior to recommending Priority 1 status for projects.)

**Output (to Step 1.6).** The projects as selected and prioritized by the MPO and/or TxDOT districts are submitted to TPP.

### **Tentative Selections Are Made in Categories 1, 3D, 3E, 4G, 6A, 6B, 13A, and 17 (Step 1.4)**

**Time Period.** December (X-2) to January (X-1)

**Input (from Steps 2.3 and 3.2).** The programming levels for the UTP categories, as approved by the Commission in Step 2.3, establish the total funds available in each program for the periods FY (X) to FY (X+3) and FY (X+4) to FY (X+10) for Priority 1 and Priority 2 authorizations. The Commission-approved project selection process from Step 3.2 is the basis for selecting projects. Any modifications in the allocation of federal-aid funds, authorized by the Commission in Step 3.2, are also considered in establishing the funds available in each of the subject categories.

**Responsible Organization.** Programming and Scheduling Section of the Transportation Planning and Programming Division

**Actions.** The TPP makes tentative selections of projects to be authorized for Priority 1 and Priority 2. The following factors are considered in this selection:

- ◆ project information included in DCIS
- ◆ selection criteria for the subject UTP categories (refer to the specific UTP category in Chapter 5 )
- ◆ funding available for projects to be added in the subject categories

Note: The projects that have been included in the previous UTP with Priority 1 authorization and that have not been contracted retain that authorization. Similarly, the projects that have been authorized in the previous UTP with Priority 2 authorization and not upgraded to Priority 1 status retain the Priority 2 authorization.

**Output (to Step 1.5).** The tentative selections for the subject UTP categories are provided to the MPOs and to the TxDOT Districts (for projects located within their jurisdictions).

## TPP Calculates Allocation Programs (Step 2.4)

**Time Period.** December (X-2)

**Input (from Steps 2.3 and 3.2).** The information used for calculating the districts' apportionments of the Bank Balance Allocation Programs is as follows:

- ◆ The programming level for the Bank Balance Allocation Programs for FY(X) to FY(X+2) is provided in Step 2.3. The UTP categories involved are the following:
  - Category 2 - Interstate Maintenance
  - Category 3C - NHS: Rehabilitation
  - Category 4A - STP: Safety - Federal Hazard Elimination
  - Category 4A - Railroad Signal Safety
  - Category 4C - STP: Metropolitan Mobility/Rehabilitation
  - Category 4D - STP: Urban Mobility/Rehabilitation
  - Category 4E - STP: Rural Mobility/Rehabilitation
  - Category 4F - STP: Rehab - Urban/Rural
  - Category 5 - Congestion Mitigation/Air Quality (CMAC)
  - Category 7 - State Preventive Maintenance
  - Category 8A - Rehabilitation - Texas Farm to Market Roads
  - Category 9 - State Park Roads
  - Category 10A - Traffic Control Devices
  - Category 10B - Rehabilitation of Traffic Management Systems
  - Category 11 - State District Discretionary
  - Category 13C - NAFTA Discretionary
  - Category 13D - Urban Streets
  - Category 14 - State Rehabilitation
  - Category 16 - Miscellaneous - Railroad Grade Crossing Replanking
  - Category 16 - Miscellaneous - Railroad Signal Maintenance
  - Category 16 - Construction Landscape
- ◆ the allocation formula specified for the subject UTP categories as outlined in Chapter 5 and summarized in Table 5.1
- ◆ Commission-approved modifications to the allocation formulas from Step 3.3

**Responsible Organization.** Programming and Scheduling Section of the Transportation Planning and Programming Division

**Actions.** The allocation for each district is calculated for each of the subject UTP categories.

**Output (to Step 2.5).** TPP prepares appropriate Minute Orders listing the district allocations for each of the subject UTP categories. This is presented for the consideration and approval of the Commission in Step 2.5.

### **Commission Adopts Project Selection Process Changes (Step 3.2)**

**Time Frame.** December (X-2)

**Input.** Input includes the following:

- ◆ the project selection process and the basis for distribution of federal-aid funding for Transit Programs, the Aviation Facilities Development Program, and the Highway Programs as presented at the public hearing in Step 3.1
- ◆ the testimony received at the public hearing testimony in Step 3.1

**Responsible Organizations.** The Texas Transportation Commission and TPP

**Actions.** TPP modifies the project selection process and the basis for funding distribution presented at the hearing as appropriate based on the testimony received. A Commission Minute Order is prepared to incorporate the staff-recommended project selection process and the basis for funding distribution.

At a regular or special meeting, the Commission Minute Order is presented to the Texas Transportation Commission for their consideration and approval.

**Output (to Steps 2.4, 1.4, and 1.5).** The approved Commission Minute Order establishes the project selection process and the distribution of funds for subsequent UTP development actions in Steps 2.4, 1.4, and 1.5.

## TPP Re-ranks Projects and Returns Tentative Listing of New Priority 1 and Priority 2 Selections to Districts (Step 1.6)

**Time Period.** January (X-1)

**Input (from Steps 1.5 and 2.3).** Input includes the following:

- ◆ The programming levels approved by the Commission in Step 2.3 for the following Project-Specific UTP categories:
  - Category 1 - High Priority Interstate Highway Corridors
  - Category 3A - NHS Mobility
  - Category 3B - Texas Trunk System
  - Category 3D - NHS Traffic Management
  - Category 3E - NHS Miscellaneous
  - Category 4G - STP RR Grade Separation
  - Category 6A - Bridge Replacement/Rehabilitation - On-State System
  - Category 6B - Bridge Replacement/Rehabilitation - Off-State System
  - Category 8B - Texas Farm to Market Road Expansion
  - Category 17 - Principal Arterial Street System
- ◆ Projects in the subject categories that have been selected and prioritized by the MPOs and districts in Step 1.5.

**Responsible Organizations.** Programming and Scheduling Section of the Transportation Planning and Programming Division

**Action.** TPP re-ranks the selected projects in the subject UTP categories considering the approved program levels and the recommended TxDOT district and MPO prioritization. TPP selects the tentative listing of projects to be added to the Priority 1 and 2 authorization levels in each of the subject UTP categories.

This listing of projects is returned to the TxDOT districts for a final check to assure that project phasing is correct and that no gaps will be created.

**Output (to Step 1.7).** The output is a tentative listing of projects in each of the subject UTP categories to be added to the lists of projects with Priority 1 and Priority 2 authority. These projects are characterized as follows:

- ◆ Selection of projects has been consistent with the selection process approved in Step 3.2 and with the responsibilities outlined in Table 3.1 .
- ◆ The estimated costs of the projects are consistent with the program levels authorized by the Commission in Step 2.3.

### **Commission Approves Allocation Programs (Step 2.5)**

**Time Period.** January (X-1)

**Input (from Step 2.4).** Inputs are the recommended Minute Orders listing the district allocations for each of the subject UTP categories classified as Bank Balance Allocation Programs.

**Responsible Organization.** Texas Transportation Commission

**Action.** The Commission considers the recommended Minute Orders at a regular or special Commission meeting. The Commission approves the Bank Balance Allocation Programs for each of the subject UTP categories in each district.

**Output (to Step 2.6).** The outputs are approved Allocation Programs.

### **TPP and Districts Conduct Trade Fair and Category 13B Project Selection (Step 2.6)**

**Time Period.** February (X-1)

**Input (from Steps 2.5. and 3.2 plus).** Input includes the following:

- ◆ The district allocations for the following programs as approved by the Commission in Step 2.5 (These allocations are for FY[X], FY[X+1], and FY[X+2].):
  - Category 2 - Interstate Maintenance
  - Category 3C - NHS: Rehabilitation
  - Category 4D - STP: Urban Mobility/Rehabilitation
  - Category 4E - STP: Rural Mobility/Rehabilitation
  - Category 4F - STP: Rehab - Urban/Rural
  - Category 4C - STP: Metropolitan Mobility/Rehabilitation
  - Category 5 - Congestion Mitigation/Air Quality (CMAC)
- ◆ the project selection process approved by the Commission in Step 3.2.

UTP Categories 2, 3C, 4D, 4E, and 4F have the following common characteristics:

- ◆ Federally funded
- ◆ Bank Balance Allocation Programs
- ◆ Projects are selected by the districts in consultation with the Metropolitan Planning Organizations (MPOs) and local governments, as appropriate.

Category 4C is allocated only in Transportation Management Areas (TMAs) and Category 5 is allocated only in non-attainment areas. These categories have the same characteristics as

the above listed categories, except that projects are selected by the MPO in consultation with TxDOT.

**Responsible Organizations.** Programming and Scheduling Section of the Transportation Planning and Programming Division and the TxDOT Districts

**Actions (for Categories 2, 3C, 4D, 4E, and 4F).** This activity provides the districts an opportunity to present their suggested letting volumes in the federally funded Bank Balance Allocation Programs for the subject fiscal year and the two succeeding fiscal years. It also provides the districts an opportunity to identify any bank balance allocations that will be leveraged with NHS funds to improve project ranking. The sum of the district’s allocations in the subject categories constitutes the district’s letting cap for these categories. Where a district’s projected letting differs from allocated amounts in a given fiscal year, the district has the opportunity to trade that year’s letting authority with other districts to maintain statewide totals for the three-year period—hence the term ‘trade fair’.

This function permits letting of larger projects which exceed annual letting caps and permits letting schedules that are compatible with project development capabilities and urgencies. Additionally, the process produces a letting schedule that will effectively utilize available federal funds in a timely manner.

The process for the Trade Fair is shown in Table 6.2.

**Table 6.2 Trade Fair Process**

Step	Action
1	<ul style="list-style-type: none"> <li>◆ The district develops their projected program of work in the subject categories for each of the subject fiscal years. The project selection process approved by the Commission in Step 3.2 must be followed. The selection of projects must be consistent with the authority indicated in Table 3.1 .</li> <li>◆ The allocated funds are the basis for establishing the letting for each category in each year.</li> <li>◆ Where warranted, the funds may be moved between categories and between years.</li> </ul>
2	The district submits their letting volume recommendations, with proposed overruns and underruns, to the Programming and Scheduling Section of the Transportation Planning and Scheduling Division.
3	The submitted letting projections are compiled by TPP.
4	TPP tabulates the submitted information, determines the projected status of funding and develops a spreadsheet reflecting the preliminary, individual district and statewide totals.
5	The districts meet individually with TPP to discuss their proposed letting schedules and to discuss options.
6	TPP counsels with the districts regarding their proposed letting volumes to negotiate trades and to maintain acceptable statewide totals.
7	The resultant letting amounts for each of the categories are for informational purposes only and are included in the long spreadsheet (estimated distribution of apportionment) by year.

**Actions (for Categories 4C and 5).** TPP also considers the district's letting plans for Categories 4C and 5 during the Trade Fair meetings with the districts. The purpose is not to trade letting authority, but to report plans for letting projects in these two categories.

**Actions (for Category 13B).** Projects for this category are evaluated and recommended through the consensus of representatives from the TxDOT districts that have Hurricane Evacuation Routes (Beaumont, Corpus Christi, Houston, Pharr, and Yoakum). The Trade Fair is the time selected for these districts to develop the recommended program for this UTP category. Project selection must be consistent with the process approved by the Commission in Step 3.2 and with the selection authority outlined in Table 3.1 .

**Output (to Step 1.7).** The output is the following:

- ◆ recommended projects for Priority 1 and Priority 2 authorization for Category 13B
- ◆ a schedule for the utilization of federally funded bank balance allocations that will prevent the lapsing of the associated federal apportionments.

*Note:* The Trade Fair also provides the funding amounts for the districts' use in the development of TIPs to comply with the financial constraint requirements.

**TPP Prepares Draft FY (X) UTP (Step 1.7)**

**Time Period.** March (X-1)

**Input (from Steps 1.6 and 2.6 plus).** Input for the development of the draft UTP includes the following:

- ◆ Aviation Capital Improvement Program (refer to Aviation Projects in Chapter 4.)
- ◆ Public Transportation Projects (Refer to Public Transportation Projects in Chapter 4.)
- ◆ Highway Projects.

Input from Step 1.6 includes specific projects recommended to be added to Priority 1 and Priority 2 authority. This includes projects listed in Table 6.3.

**Table 6.3: UTP Category Projects Recommended for Priority 1 and Priority 2 from Step 1.6**

Category	Description
1	High-Priority Interstate Highway Corridors
3A	National Highway System Mobility
3B	Texas Trunk System
3D	National Highway System Traffic Management
3E	National Highway System Miscellaneous
4G	Surface Transportation Program Railroad Grade Separations
6A	Bridge Replacement/Rehabilitation
6B	Bridge Replacement/Rehabilitation
8B	Texas Farm-to-Market Road Program
17	Principal Arterial Street System (PASS)

Input from Step 3.2 includes the specific projects recommended to be added to Priority 1 and Priority 2 in Category 13B - Hurricane Evacuation Routes

**Responsible Organization.** Programming and Scheduling Section of the Transportation Planning and Programming Division

**Action.** TPP develops the draft FY(X) UTP which includes the elements described in Chapter 4 .

**Output (to Step 1.8).** The draft FY(X) UTP is submitted to the Executive Director in Step 1.8.

### **Executive Director Reviews Draft FY (X) UTP (Step 1.8)**

**Time Period.** April (X-1)

**Input (from Step 1.7).** The input is the draft FY(X) UTP developed in Step 1.7.

**Responsible Organization.** Executive Director

**Action.** The Executive Director reviews the draft FY(X) UTP. If approved by the Executive Director, the draft FY(X) UTP is submitted to the Commission.

**Output (to Step 1.9).** The draft FY(X) UTP approved by the Executive Director is submitted to the Commission.

### **Commission Processing Time (Step 1.9)**

**Time Period.** May (X-1) to August (X-1)

**Input (from Step 1.8).** The input is the draft FY(X) UTP approved by the Executive Director in Step 1.8.

**Responsible Organizations.** The Texas Transportation Commission and the Programming and Scheduling Section of the Transportation Planning and Programming Division

**Action.** The actions are outlined in Table 6.4.

**Table 6.4: Process for Commission Actions on UTP**

<b>Step</b>	<b>Time Period</b>	<b>Action</b>	<b>Responsible Organization</b>
1.9.1	May (X-1)	<i>Commission makes tentative selection for FY (X+3) Strategic Priority</i> The Commission adds projects to Category 12 - Strategic Priority. These are projects that will be authorized in Priority 1 and are consistent with the uncommitted Category 12 funding for the period FY(X) through FY(X+3).	Commission
1.9.2	June (X-1)	<i>TPP sends Draft UTP to Districts and MPOs.</i> The draft UTP complete with the addition of Category 12 projects is distributed to the TxDOT Districts and to the MPOs.	TPP
1.9.3	June–July (X-1)	<i>45-day public review and comment period</i> Comments should be submitted to TPP as outlined in the letter transmitting the draft UTP to the MPOs.	MPOs
1.9.4	August (X-1)	<i>TPP reviews public comments and prepares staff responses.</i> At the end of the 45-day public review period, all comments received by TxDOT are reviewed by TPP, and responses are prepared for the consideration of the Commission. TPP prepares the FY(X) UTP, incorporating appropriate changes based on the comments received. A proposed Commission Minute Order providing for the approval of the FY(X) UTP is also prepared by TPP.	TPP
1.9.5	August (X-1)	<i>Commission consideration and Minute Order approval</i> The proposed Minute Order and the FY(X) UTP is presented to the Commission for their approval at a regular or special Commission meeting.	Commission

**Output.** The approved FY(X) UTP is the output.

## Section 2

### Role of the Design and Construction Information System in the UTP

#### Overview

This section includes the following topics:

- ◆ description of Design and Construction Information System (DCIS)
- ◆ functions of DCIS
- ◆ role of Transportation Planning and Programming Division (TPP) project coordinators .

#### Description of DCIS

The DCIS is an extensive computerized database that includes, among diverse project information, all necessary construction project information regarding the following:

- ◆ identification of projects
- ◆ planning
- ◆ programming
- ◆ scheduling.

DCIS is the automated information system for planning, programming, and listing the design criteria for TxDOT's construction projects. It is an essential part of the process of preparing the projects for contract bidding.

DCIS includes data that support the following project development stages:

- ◆ authorization and programming
- ◆ advance project development
- ◆ plans, specifications, and estimate (PS&E) development
- ◆ contract bidding and awarding
- ◆ post letting
- ◆ predicting future bids.

The portions of DCIS used extensively in the programming and scheduling functions are "Authorization and Programming" and "Advance Project Development." These portions include information that describes the project location and limits, proposed work, UTP category, estimated cost, current and projected traffic volumes, and other information which is essential for project selection. In addition, DCIS includes the level of work and the

funding that has been authorized. The database also includes information on the status of the project, including the projected letting date and/or year.

DCIS data input, update, and inquiry are conducted through on-line screens with defined fields, and access is limited to authorized users. TxDOT's ROSCOE (Remote Operating System Conversational On-Line Environment) and regional ROSCOE systems are the means for obtaining reports of DCIS information.

For more detailed information, refer to the *DCIS User Manual*.

## **Functions of DCIS**

DCIS includes information for every highway construction project which is authorized for feasibility studies, has been granted long range project (LRP) status, or is included in the UTP in a project-specific program or selected by the authorized district or division in a bank balance allocation program. DCIS is the only database that can generate a listing of all highway construction work that has been authorized for a specific level of development.

The TxDOT Districts, the Design Division, the Bridge Division, the Traffic Operations Division, the Maintenance Division, and the Transportation Planning and Programming Division share responsibilities for inputting current information regarding the projects. The districts and these divisions should continuously update information in DCIS to assure current data are available to the administration, Commission, and elected officials. Those fields accessible to TxDOT districts and divisions are outlined in the *DCIS User Manual*.

DCIS data support the selection of projects in the project-specific programs. Priority 2 projects are selected from those with LRP status and Priority 1 projects are selected from the pool of Priority 2 projects. DCIS information also is used for scheduling projects for the monthly construction lettings.

DCIS serves to document authorized work, including the level of authorized project development.

## **Role of TPP Project Coordinators**

Projects are identified by control, section, and job numbers (CSJ). The project coordinators in the Programming and Scheduling Section of TPP assign the CSJ only when the project has been authorized for development. These coordinators also input much of the data into DCIS, in cooperation with district personnel, to properly identify the project and to maintain complete and current information.

For more detailed information regarding the role of the project coordinators, please refer to the *Project Coordinator Manual* (not an online manual).

## **Section 3**

### **UTP Implementation**

#### **Overview**

The implementation of the UTP is described in this section.

#### **Section Contents**

This section contains the following:

- ◆ development of Metropolitan and Rural Transportation Plans
- ◆ development of Transportation Improvement Programs (TIP)
- ◆ guidance for project development
- ◆ letting management .

#### **Development of Metropolitan and Rural Transportation Plans**

Each MPO is required to develop a Metropolitan Transportation Plan (MTP), and each TxDOT district is required to develop a Rural Transportation Plan (RTP). MTPs and RTPs, both of which are financially constrained, have planning horizons of 25 years. For MPOs involving non-attainment areas, the MTP is updated every three years, while for other MPOs, the update cycle is five years. RTPs are updated every five years.

The UTP is one of the sources of information for MTPs and RTPs. The MPO and the TxDOT districts can obtain the following information from the UTP and/or from DCIS for the ten-year period included in the UTP:

- ◆ projects authorized for Priority 1 and Priority 2 development that are located within the geographical jurisdiction of the MPOs and TxDOT districts
- ◆ an indication of the committed transportation system represented by these authorized projects
- ◆ an indication of the projected, project-specific funding for the MPOs and the TxDOT districts for the listed projects.

## Development of Transportation Improvement Programs

TxDOT develops a Statewide Transportation Improvement Program (STIP) biannually. The STIP is a combination of the Metropolitan Transportation Improvement Programs (TIP), developed by each MPO, and the Rural Transportation Improvement Programs (RTIP), which are developed by each TxDOT district. A very significant attribute of the STIP is that a federal-aid project cannot be authorized for construction unless it is included in the STIP. For areas classified as being in non-conformity with air quality regulations, most projects must be included in the approved conforming TIP and/or RTIP to be authorized for construction.

The TIPs, RTIPs, and STIP cover a three-year period and are financially constrained. The UTP and/or DCIS provides the following information for the development of the TIPs, RTIPs, and the STIP:

- ◆ projects authorized for Priority 1 development that are located within the geographical jurisdiction of the MPOs and/or the TxDOT districts and that are projected to be developed for letting within the three-year planning horizon
- ◆ an indication of the projected, project-specific funding for the MPO for the listed projects.

## Guidance for Project Development

TxDOT must use its available resources to effectively and efficiently plan, develop, maintain, and operate the Texas highway system and to fulfill its legislatively authorized responsibilities for public transportation and aviation. The development of the UTP—marked by cooperation with MPOs, transit operators, local governments, and citizens—matches projected funding with the highest priority transportation projects. The resulting, authorized projects must be developed within the scheduled time periods to effectively and efficiently use authorized and/or projected funding.

The UTP provides the guidance for the commitment of department personnel and the procurement of professional services to ensure the timely development of the authorized projects.

## Letting Management

**Annual Letting Goal.** Prior to the beginning of the fiscal year, TxDOT establishes a letting goal for the fiscal year. Cash flow projections supplied by the Finance Division provide the basis for establishing the targeted amount of work to be contracted. These projections consider the following factors:

- ◆ projected revenues deposited in State Highway Fund 6, including
- ◆ motor fuel taxes, vehicle registration fees, motor oil taxes, permit fees, interest, contributions, and other revenues
- ◆ projected federal-aid reimbursement for eligible expenses
- ◆ projected expenditures budgeted for administration, preliminary engineering, planning, research, right-of-way acquisition, maintenance, etc.
- ◆ projected payments to contractors for work under contract

Various scenarios of letting amounts, letting schedules, and types of projects are analyzed. The software employed provides projected fund balances by month and by year for the scenarios considered. Maintaining a fund balance with a reserve sufficient to cover the variability in the projections (e.g., construction progress payments exceeding historical norms) is a primary consideration in establishing the goal. Because construction projects often extend for several years, it is essential that the longer-term implications (four to five years) be studied prior to selecting the current year letting strategy.

**FY(X) Letting Schedule.** The FY(X) letting schedule must be consistent with the targeted letting volume and the schedule and mix of projects in the selected strategy. The letting schedule can be composed of the following:

- ◆ the projects listed in UTP Exhibit Q, FY(X) “Letting List for Project Specific Categories”
- ◆ the projects listed in UTP Exhibit P, “Projects Delayed from Previous Fiscal Year that Retain Priority 1 Authorization”
- ◆ the projects developed under the Bank Balance Allocation Programs that are projected to be developed for letting during FY(X). These projects are extracted from the DCIS database.

Additional considerations in developing the letting strategy include the following:

- ◆ Federal-Aid Apportionments - Federal aid is apportioned by the Federal Highway Administration (FHWA) on an annual basis for each of the federal-aid categories (e.g., Interstate Maintenance, National Highway System, Surface Transportation Program, etc.). When federal-aid funds are obligated for construction of a project, the funds are deducted from the state's apportionment for the applicable category. The apportionment is available for the fiscal year of apportionment plus three years; therefore, it is necessary that sufficient projects are processed for the federal-aid categories to ensure that no apportionment is lapsed. (Note: These federal-aid apportionments are the same that are used in establishing the program levels in the development stages of the UTP.)
- ◆ Federal Obligation Authority - The FHWA establishes an obligation authority for the state each federal fiscal year. Essentially, this constitutes the maximum amount of federal-aid funds the state can obligate in the federal fiscal year. This is the federal government's process for controlling cash flow. Obligation authority is consistent with the federal funds appropriated by Congress; however, obligation authority is normally less than the funding required for all of the work authorized by Congress. Normally, obligation authority lapses at the end of the federal fiscal year. Unobligated balances are not carried into the subsequent federal fiscal year. Therefore, the state must process sufficient projects to fully use all of its obligation authority.

**Project Criteria for Letting.** For a project to be scheduled for letting, the following criteria must be met.

- ◆ Project must have Priority 1 authorization.
- ◆ If a federal-aid project, apportionments must be available in the appropriate federal-aid category. In some cases, the advance construction provision may be employed if no apportionment remains. This involves entering an agreement with FHWA whereby the project will be funded initially with state funds and subsequently converted to federal-aid when apportionment becomes available.
- ◆ If a federal-aid project, the amount of federal aid to be obligated must be within the obligation authority. In some cases, an Advanced Construction strategy may be employed if no obligation authority remains. This involves entering an agreement with FHWA whereby the project will be funded initially with state funds and subsequently converted to federal aid when obligation authority becomes available.
- ◆ If mandated by funds available, and if the project is in the following UTP categories, project costs must be within the TxDOT letting caps approved at the Trade Fair:
  - Category 2 - Interstate Maintenance
  - Category 3C - NHS: Rehabilitation
  - Category 4D - STP: Mobility/Rehabilitation
  - Category 4E - STP: Rural Mobility/Rehabilitation
  - Category 4F - STP: Rehabilitation in Urban and Rural Areas.

- ◆ Project PS&E must be completed and approved.
- ◆ Utility adjustments must be completed to a point where they will not interfere with the contractor in the construction of the project.
- ◆ Right-of-way will be acquired to a point where it will not interfere with the contractor in the construction of the project.
- ◆ Project must be included in the STIP if
  - a federal-aid project, or
  - a project of regional significance located in a nonattainment area.
- ◆ Project must be included in a conforming TIP or RTIP if located in an area that has been determined to be in non-compliance with air quality standards.
- ◆ Environmental clearances must be obtained.
- ◆ If a federal-aid project, federal project authorization and agreement (FPAA) and state letter of authority must be received prior to advertisement or any work being done.

Each month's letting is scheduled to achieve the following:

- ◆ meet the annual letting goal
- ◆ avoid lapsing any federal obligation authority
- ◆ avoid lapsing any federal category apportionments.

***Management of Letting Schedule.*** The Design Division is responsible for managing the letting schedule, for avoiding the lapse of federal-aid apportionments, and for using all obligation authority.