

## **APPENDIX A:**

### **FHWA Gap Analysis Matrix**

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### SAFETEA-LU Transportation Planning and Programming Requirements (as amended by SAFETEA-LU Sections 3005, 3006, and 6001)

Statutory Planning and Programming Requirements	Key Changes Between ISTE/TEA-21 and SAFETEA-LU	Potential SAFETEA-LU “Closing the Gap” Steps
<p><b>UPDATE CYCLES</b></p> <ul style="list-style-type: none"> <li>▪ Long-range statewide transportation plans [23 U.S.C. 135/49 U.S.C. 5304(f)(1)]</li> <li>▪ Metropolitan transportation plans [23 U.S.C. 134/49 U.S.C. 5303(i)(1)]</li> <li>▪ TIPs and STIPs [23 U.S.C. 134/49 U.S.C. 5303(j)(1)(D) and 23 U.S.C. 135/49 U.S.C. 5304(g)(1)]</li> </ul>	<p>Long-range statewide transportation plan</p> <ul style="list-style-type: none"> <li>◆ No key change in update cycle (as needed or appropriate).</li> </ul>	<ul style="list-style-type: none"> <li>• State DOT should review and/or establish a regular update cycle.</li> </ul>
	<p>Metropolitan transportation plans in air quality nonattainment and maintenance areas</p> <ul style="list-style-type: none"> <li>◆ To be updated every four years (as opposed to the former requirement of every three years).</li> </ul>	<ul style="list-style-type: none"> <li>• This SAFETEA-LU provision took effect on August 10, 2005. MPOs in nonattainment and maintenance areas should be reviewing and revising the update cycles for the metropolitan transportation plans.</li> </ul>
	<p>Metropolitan transportation plans in air quality attainment areas</p> <ul style="list-style-type: none"> <li>◆ No key change (to be updated every five years).</li> </ul>	<ul style="list-style-type: none"> <li>• No additional steps for update cycles are likely necessary for MPOs in attainment areas.</li> </ul>
	<p>Transportation Improvement Program (TIP)</p> <ul style="list-style-type: none"> <li>◆ To be updated every four years (as opposed to the former requirement of every two years).</li> <li>◆ Span of TIP increased from 3 to 4 years</li> </ul>	<ul style="list-style-type: none"> <li>• Develop an approvable TIP with projects/project phases covering four years.</li> </ul>
	<p>Statewide Transportation Improvement Program (STIP)</p> <ul style="list-style-type: none"> <li>◆ To be updated every four years or more frequent if Governor so elects (as opposed to the former requirement of every two years).</li> <li>◆ Span of STIP increased from 3 to 4 years</li> </ul>	<ul style="list-style-type: none"> <li>• Develop an approvable STIP with projects/project phases covering four years.</li> </ul>
	<p><b>ANNUAL LISTING OF PROJECTS</b> [23 U.S.C. 134/49 U.S.C. 5303(j)(7)(B) and 23 U.S.C. 135/49 U.S.C. 5304(g)(4)(B)]</p>	<ul style="list-style-type: none"> <li>◆ New project element to be specifically included (pedestrian walkways and bicycle transportation facilities).</li> </ul>
<ul style="list-style-type: none"> <li>◆ Added requirement for cooperative development by MPO partners (i.e., State and public transportation operators).</li> </ul>		

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<b>Statutory Planning and Programming Requirements</b>	<b>Key Changes Between ISTE/TEA-21 and SAFETEA-LU</b>	<b>Potential SAFETEA-LU "Closing the Gap" Steps</b>
<p><b>METROPOLITAN AND STATEWIDE TRANSPORTATION PLANNING FACTORS</b></p> <p>[23 U.S.C. 134/49 U.S.C. 5303(h)(1) and 23 U.S.C. 135/49 U.S.C. 5304(d)(1)]</p>	<ul style="list-style-type: none"> <li>◆ Added a new stand-alone factor "increase the safety of the transportation system for motorized and non-motorized users."</li> </ul>	<ul style="list-style-type: none"> <li>• Review current safety goals, objectives, performance measures, and strategies.</li> <li>• Ensure that adequate safety data are available to support development of a safety element in statewide and metropolitan transportation plans.</li> <li>• Ensure outreach to and input from safety stakeholders.</li> <li>• Incorporate the SHSP element into statewide and metropolitan transportation plans (for metropolitan transportation plans, use the portion of the SHSP related to the MPO region).</li> <li>• Incorporate the transit System Safety Program Plan (if available) into statewide and metropolitan transportation plans.</li> <li>• Review TIP/STIP project selection criteria to ensure they reflect safety priorities (e.g., SHSP and/or MPO region's priorities).</li> </ul>

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	<ul style="list-style-type: none"> <li>◆ Added a new stand-alone factor “increase the security of the transportation system for motorized and non-motorized users.”</li> </ul>	<ul style="list-style-type: none"> <li>• Review current statewide and metropolitan transportation plans for emergency planning/security elements.</li> <li>• Incorporate the transit System Security Program Plan (required for rail systems) into statewide and metropolitan transportation plans.</li> <li>• Define the role of the public transportation operators/MPO/State in promoting security (e.g., review State/local legislation for roles and responsibilities).</li> <li>• Identify critical facilities and transportation system elements (e.g., transit system, rails, ports, Interstate system, NHS routes, and STRAHNET routes).</li> <li>• Develop security goals and appropriate strategies (this may be an important role for MPOs and/or States that are near or on the Mexico/Canada borders).</li> </ul>
	<ul style="list-style-type: none"> <li>◆ Expanded the environmental factor by adding the phrase “promote consistency of transportation plan and transportation improvements with State and local planned growth and economic development patterns.”</li> </ul>	<ul style="list-style-type: none"> <li>• MPOs/State DOTs review current process to coordinate transportation and land use/economic development planning.</li> <li>• Where needed, consider methods to improve or expand coordination.</li> <li>• Identify implementation timeframes.</li> <li>• Include appropriate activities in statewide/metropolitan transportation planning work programs, as well as in MPO Participation Plans.</li> </ul>

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<p><b>FISCAL CONSTRAINT</b>                      [23 U.S.C. 134/49 U.S.C. 5303(i)(2)(C); (j)(1)(C); (j)(2)(B); and (j)(3)(D) and 23 U.S.C. 135/49 U.S.C. 5304(f)(5); (g)(4)(E); and (g)(4)(F)]</p>	<ul style="list-style-type: none"> <li>◆ No significant changes in SAFETEA-LU.</li> </ul>	<ul style="list-style-type: none"> <li>• Review and reaffirm fiscal constraint of transportation plans and programs as they are updated or amended.</li> <li>• Confirm revenues and costs related to system operations and maintenance activities covered in transportation plans and programs.</li> </ul> <p><i>Refer to the FHWA/FTA Interim Guidance on Fiscal Constraint of Transportation Plans and Programs (<a href="http://www.fhwa.dot.gov/planning/fcindex.htm">http://www.fhwa.dot.gov/planning/fcindex.htm</a> or <a href="http://www.fta.dot.gov">www.fta.dot.gov</a> → Grant Programs → Transportation Planning &amp; Environment → Statewide &amp; Metropolitan Planning)</i></p>
<p><b>ENVIRONMENTAL MITIGATION ACTIVITIES</b>                      [23 U.S.C. 134/49 U.S.C. 5303(i)(2)(B) and 23 U.S.C. 135/49 U.S.C. 5304(f)(4)]</p>	<ul style="list-style-type: none"> <li>◆ Metropolitan and statewide transportation plans shall include “discussion” of environmental mitigation activities.</li> <li>◆ This “discussion” shall be developed with Federal, State, and Tribal wildlife, land management, and regulatory agencies.</li> </ul>	<ul style="list-style-type: none"> <li>• Metropolitan and statewide transportation plans must include a generalized discussion of potential mitigation activities (at the policy/strategy-level, not project-specific).</li> <li>• Compare transportation plans with available State conservation plans, maps, and inventories.</li> </ul>

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<p><b>CONSULTATION AND COOPERATION</b></p> <ul style="list-style-type: none"> <li>▪ Transportation Plans [23 U.S.C. 134/49 U.S.C. 5303(g) and (i)(4) and 23 U.S.C. 135/49 U.S.C. 5304(f)(2)]</li> <li>▪ TIP and STIP [23 U.S.C. 134/49 U.S.C. 5303(j)(1)(C) and 23 U.S.C. 135/49 U.S.C. 5304(g)(2)]</li> <li>▪ Land Use Management and other Resource Agencies [23 U.S.C. 134/49 U.S.C. 5303(i)(4) and 23 U.S.C. 135/49 U.S.C. 5304(f)(2)(D)]</li> </ul>	<ul style="list-style-type: none"> <li>◆ Consultation with non-metropolitan local officials and Tribal governments in the development of the long-range statewide transportation plan and STIP.</li> <li>◆ MPOs and State DOTs shall consult with local/State land use management, natural resource, historic and other agencies in the development of transportation plans.</li> </ul>	<ul style="list-style-type: none"> <li>• Continuing consultation with partners (i.e., State, MPOs, non-metropolitan local officials, and Tribal government) [no change].</li> <li>• Compare transportation plans with available conservation plans and maps and/or compare with available inventories of historic or natural resources.</li> </ul>
<p><b>AIR QUALITY<sup>1</sup> CONFORMITY</b></p> <p>[23 U.S.C. 134(i)(3)]</p>	<ul style="list-style-type: none"> <li>◆ Requirement to determine conformity is now every four years (instead of every three years).</li> <li>◆ Allowance of a 1 year "grace period" before conformity lapse (in certain instances)</li> </ul>	

<sup>1</sup> Section 6011 of SAFETEA-LU contained other transportation conformity provisions. USDOT and USEPA issued joint "Interim Guidance for Implementing the Transportation Conformity Provisions in the SAFETEA-LU" on February 14, 2006. The Interim guidance is available at: <http://www.fhwa.dot.gov/environment/conformity/sec6011guidmemo.htm>

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<p><b>PUBLIC TRANSIT ELEMENT</b></p>	<ul style="list-style-type: none"> <li>◆ Coordinated Public Transit-Human Services Transportation Plan (per 49 U.S.C. 5310, 5316, and 5317).</li> </ul>	<ul style="list-style-type: none"> <li>• Entity responsible for developing the Coordinated Public Transit-Human Services Transportation Plan is not defined in SAFETEA-LU.</li> <li>• Solicitation for projects from plan to be done in cooperation with MPO</li> </ul>
<p><b>TRANSPORTATION FACILITIES</b>                      [23 U.S.C. 134/49 U.S.C. 5303(i)(2)(D); 23 U.S.C. 134/49 U.S.C. 5303(k)(3); 23 U.S.C. 135/49 U.S.C. 5304(f)(7); and 23 U.S.C. 135/49 U.S.C. 5304(i)]</p>	<ul style="list-style-type: none"> <li>◆ Operations and management strategies in metropolitan transportation plans and long-range statewide transportation plans.</li> </ul>	<ul style="list-style-type: none"> <li>• Determine if the current transportation plan adequately address operations and management strategies (for both the transit and highway network).</li> <li>• Develop/confirm performance measures for the transportation system operations and management, with the focus on mobility and safety.</li> <li>• Consider and develop strategies and costs (capital and operational investment) to preserve the existing transportation system.</li> </ul>
	<ul style="list-style-type: none"> <li>◆ Congestion Management Process in Transportation Management Areas (formerly known as Congestion Management System (CMS) in ISTEA/TEA-21).</li> </ul>	<ul style="list-style-type: none"> <li>• Review the existing CMS and its application within the TMA planning process and the metropolitan transportation plan(s).</li> <li>• Review State laws, rules, and regulations to ensure consistency with the SAFETEA-LU revised statutory language on the Congestion Management Process.</li> <li>• Identify operations partners (e.g., traffic operations centers, ITS, and traffic engineers).</li> <li>• Identify travel demand reduction and operation management strategies to be implemented.</li> <li>• Work with partners to develop projects, priorities and schedule for implementation.</li> </ul>

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<p><b>INTERESTED PARTIES AND PARTICIPATION</b>                  [23 U.S.C. 134/49 U.S.C. 5303(i)(5), (i)(6), and (j)(4) and 23 U.S.C. 135/49 U.S.C. 5304 (f)(3) and (g)(3)]</p>	<ul style="list-style-type: none"> <li>◆ Definition of “interested parties” to be engaged in statewide and metropolitan transportation planning has been expanded.</li> <li>◆ Participation Plan (required for MPOs)                         <ul style="list-style-type: none"> <li>- Shall be developed in consultation with “interested parties.”</li> <li>- Publish or make available for public view transportation plans, STIPs and TIPs.</li> <li>- Hold public meetings at convenient and accessible times and locations.</li> </ul> </li> <li>◆ Publication of statewide and metropolitan transportation plans, and TIP... to the maximum extent practicable.                         <ul style="list-style-type: none"> <li>- Make information available in electronically accessible formats (e.g., world wide web).</li> </ul> </li> <li>◆ Employ visualization techniques to depict statewide and metropolitan transportation plans.</li> </ul>	<ul style="list-style-type: none"> <li>• State DOTs and MPOs should review current public involvement plan/procedures and make necessary changes to reflect SAFETEA-LU provisions.</li> <li>• Confirm that stakeholders, interest groups, general public had/have opportunity to comment on public involvement plans and transportation plans/programs.</li> <li>• Where not apparent, give groups/general public opportunity to review/comment; update or amend participation plan, as needed.</li> <li>• To maximum extent practicable, statewide and metropolitan transportation plans and programs (with the exception of the STIP) shall be available in electronic formats (e.g., on a website).</li> <li>• Refer to FHWA Scenario Planning website or Land Use/Transportation Tool Kit (add web links) for examples of visualization techniques.</li> </ul>
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