



600 NE Grand Ave.
Portland, OR 97232-2736

Council meeting agenda

Thursday, April 8, 2021

2:00 PM

**<https://zoom.us/j/615079992> or
888-475-4499 (toll free)**

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1. Call to Order and Roll Call

2. Public Communication

Public comment may be submitted in writing and will also be heard by electronic communication (videoconference or telephone). Written comments should be submitted electronically by emailing legislativecoordinator@oregonmetro.gov. Written comments received by noon on the day of the meeting will be provided to the council prior to the meeting.

Those wishing to testify orally are encouraged to sign up in advance by either: (a) contacting the legislative coordinator by phone at 503-797-1916 and providing your name and the agenda item on which you wish to testify; or (b) registering by email by sending your name and the agenda item on which you wish to testify to legislativecoordinator@oregonmetro.gov. Those requesting to comment during the meeting can do so by using the "Raise Hand" feature in Zoom or emailing the legislative coordinator at legislativecoordinator@oregonmetro.gov. Individuals will have three minutes to testify unless otherwise stated at the meeting.

3. Presentations

- 3.1 Solid Waste Service Equity Audit Presentation [20-5524](#)

Presenter(s): Brian Evans, Metro
Angela Owens, Metro
Elliot Shuford, Metro
Roy Brower, WPES
Jon Mayer, WPES
Marta McGuire, WPES

Attachments: [Office of the Auditor Report](#)
[Audit Highlights](#)

4. Consent Agenda

- 4.1 Resolution No. 21-5163, For the Purpose of Amending ODOT's US 30 NW Saltzman Rd to NW Bridge Ave Project to Add Approved Funding Increasing the Project Limits by 1.31 Miles to be US30 NW Kittridge Ave to NW Bridge Ave to the 2021-24 Metropolitan Transportation Improvement Program (MTIP) (MR21-08-MAR) [RES 21-5163](#)

Attachments: [Resolution No. 21-5163](#)
[Exhibit A](#)
[Staff Report](#)

5. Resolutions

- 5.1 Resolution No. 21-5158, For the Purpose of Amending the FY2020-21 Budget and Appropriations Schedule and the FY2020-21 Through FY2024-25 Capital Improvement Plan to Provide for Changes in Operations [RES 21-5158](#)

Presenter(s): Cinnamon Williams, Metro

Attachments: [Resolution No. 21-5158](#)
[Exhibit A](#)
[Exhibit B](#)
[Staff Report](#)
[Attachments 1-5](#)

6. Chief Operating Officer Communication

7. Councilor Communication

8. Adjourn

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សេចក្តីជូនដំណឹងអំពីការមិនរើសអើងរបស់ Metro

ការគោរពសិទ្ធិពលរដ្ឋរបស់ ។ សំរាប់ព័ត៌មានអំពីកម្មវិធីសិទ្ធិពលរដ្ឋរបស់ Metro ឬស្នើសុំទទួលបានកាតបណ្តឹងរើសអើងសូមចូលទស្សនាគេហទំព័រ www.oregonmetro.gov/civilrights។ បើលោកអ្នកត្រូវការអ្នកបកប្រែភាសានៅពេលអង្គប្រជុំសាធារណៈ សូមទូរស័ព្ទមកលេខ 503-797-1700 (ម៉ោង 8 ព្រឹកដល់ម៉ោង 5 ល្ងាច ថ្ងៃធ្វើការ) ប្រាំពីរថ្ងៃ មុនថ្ងៃប្រជុំដើម្បីអាចឲ្យគេសម្រួលតាមសំណើរបស់លោកអ្នក ។

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Gresham Channel 30 - MCTV <i>Web site:</i> www.metroeast.org <i>Ph:</i> 503-491-7636 Call or visit web site for program times.	Washington County and West Linn Channel 30– TVC TV <i>Web site:</i> www.tvctv.org <i>Ph:</i> 503-629-8534 Call or visit web site for program times.
Oregon City and Gladstone Channel 28 – Willamette Falls Television <i>Web site:</i> http://www.wftvmedia.org/ <i>Ph:</i> 503-650-0275 Call or visit web site for program times.	

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Agenda Item No. 3.1

Solid Waste Service Equity Audit Presentation

Presentation

Metro Council Meeting
Thursday, April 8, 2021



Solid Waste Service Equity:

Establish clear goals and measures at the program level to improve outcomes

March 2021

A Report by the Office of the Auditor

Brian Evans

Metro Auditor

Angela Owens

Principal Management Auditor

Elliot Shuford

Senior Management Auditor

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Brian Evans
Metro Auditor

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MEMORANDUM

To: Lynn Peterson, Council President
Shirley Craddick, Councilor, District 1
Christine Lewis, Councilor, District 2
Gerritt Rosenthal, Councilor, District 3
Juan Carlos González, Councilor, District 4
Mary Nolan, Councilor, District 5
Bob Stacey, Councilor, District 6

From: Brian Evans, Metro Auditor

Re: Audit of Solid Waste Service Equity

This report covers the audit of solid waste service equity. The purpose was to determine how the Waste Prevention and Environmental Services department incorporated equity into solid waste programs. We evaluated access to solid waste services before and after the adoption of the department's Diversity, Equity and Inclusion (DEI) work plan in 2018. Our analysis evaluated access to service for people living in census tracts with high proportions of people of color, people with lower income, people with limited English proficiency, and tracts with the highest proportion of people living in multifamily housing. We found both positive and negative changes for the four programs we reviewed.

The audit found several best practices were in place at the department level. For example, the department developed a framework and vision for racial equity. The department also made investments in organizational capacity and partnerships. While these provided a foundation, some best practices were missing at the program level.

The programs we reviewed did not have goals and measures specific for service equity. These would show what success looks like, and help prioritize future program investments. Additional data collection, evaluation, and reporting was also needed to support continuous improvement. For example, without regular analyses of service equity outcomes, negative impacts for some populations may go unnoticed. Finally, developing formal policies and procedures will help ensure that operations are carried out consistently and in alignment with goals.

We have discussed our findings and recommendations with Marissa Madrigal, COO; Roy Brower, Waste Prevention and Environmental Services (WPES) Director; and Marta McGuire, WPES Deputy Director. A formal follow-up to this audit will be scheduled within five years. We would like to acknowledge and thank all of the employees who assisted us in completing this audit.

Summary

This audit evaluated access to four solid waste services before and after the adoption of the department's Diversity, Equity and Inclusion work plan in 2018. We noted that several best practices were in place at the department level. For example, the department developed a framework and vision for racial equity, and made investments in organizational capacity and partnerships. While these provided a foundation for the department, some best practices were missing at the program level.

We found both positive and negative changes in service equity outcomes for the programs we reviewed. In places throughout the region where more people from historically disadvantaged communities live, access to a few services decreased, whereas for other services, it increased.

Our analysis evaluated access to service for people living in census tracts with high proportions of people of color, people with lower income or people with limited English proficiency. We also included tracts with the highest proportion of people living in multifamily housing.

We found three areas of best practice where additional efforts were needed to improve service equity outcomes. For the programs we reviewed, we found:

- Service equity goals and measures were not in place at the program level.
- Data-driven decision-making was underdeveloped.
- Policies and procedures were not in place.

The Regional Waste Plan included equity-specific goals and measures to track progress toward those goals. However, these were not developed at the program level. In particular, goals were not specific enough to identify the desired long-term outcomes for each program. Without refinement, the department cannot measure success, or identify where more or fewer resources are needed to improve equity.

Additional data collection, evaluation, and reporting was also needed to support continuous improvement. Finally, developing formal policies and procedures will help ensure that operations are carried out consistently and in alignment with goals.

It's important to note that the department sought to address racial equity in ways we did not evaluate in this audit. For instance, one program developed a job program for people with barriers to employment. Another program began piloting smaller waste pickup events based on community needs.

During the audit, Covid-19 and related budget constraints led to changes in some of the programs we reviewed. While some changes to programs have already occurred, the analysis in this report can still provide a framework for evaluating how programs impact the department's equity goals.

Background

Metro's Waste Prevention and Environmental Services Department operates two transfer stations where commercial and residential customers bring solid waste. Solid waste includes garbage and recycling. The department also provides educational services; operates a recycling information hotline; issues grants; and investigates and cleans-up illegal dumping, among other services.

The department found that communities of color experience barriers to accessing recycling information, education services and household hazardous waste services. More generally, people of color in the Metro region experience the worst economic and social outcomes because of a history of exclusionary and discriminatory policies. To address these problems, both Metro and the department engaged in several efforts in recent years to promote racial equity, and to ensure equitable services for communities of color.

The agency-wide Strategic Plan to Advance Racial Equity, Diversity and Inclusion was approved in 2016. In that plan, racial equity was defined as “when race can no longer be used to predict life outcomes, and outcomes for all groups are improved.” In 2018, the department updated its Diversity, Equity and Inclusion (DEI) work plan. The next year, Metro adopted the latest version of the Regional Waste Plan, which placed an emphasis on racial equity.

Exhibit 1 Key Metro and department actions supporting equity



Source: Auditor's Office analysis of equity-related plans

While racial equity has been a clear focus in its planning efforts, the department has also discussed *service* equity. The department had not specifically defined service equity, but the concept was discussed in the Regional Waste Plan and the DEI work plan. For instance, a value within the Regional Waste Plan is to “provide excellent service and equitable system access.” The 2018-22 DEI work plan also articulated a vision of service equity:

“...We meaningfully involve people of color on our team and in our decision-making, and **provide our services equitably so that everyone benefits from a healthy community and healthy environment.**”

Equity best practices distinguish between equity and equality and note that equality is about sameness, while equity is about fairness. Meaningful institutional change to repair historic and systemic inequities requires a strategic and holistic approach. They are applicable to different levels within an organization. For example, leadership needs to operate with urgency and accountability. It is also important to articulate a vision and develop a shared understanding. The Government Alliance for Racial Equity outlines the following six-part approach:

- Use a racial equity framework to articulate a vision and develop shared understanding
- Operate with urgency and accountability
- Build organizational capacity
- Be data-driven to measure progress toward goals
- Implement racial equity tools to change policies, programs, and practices that perpetuate inequities

This audit focused on practices that need to be in place at the program level. These practices included identification of service equity goals and measures, data-driven decision making, and policies and procedures.

For the analysis, we compared program service areas to the census tracts in the region that had higher proportions of people of color, people with lower income, and people with low English proficiency. We also included people living in multifamily housing.

It's important to note that the department sought to address racial equity in ways we did not evaluate in this audit. For instance, one program developed a job program for people with barriers to employment. Another program began piloting smaller waste pickup events based on community needs.

Our analysis included programs related to proper disposal of hard-to-handle waste and ensuring the livability of the region. The programs included:

- The **Regional Illegal Dumping Patrol (RID)** investigates and cleans up illegal dumping in the region.
- **Household Hazardous Waste Mobile Collection Events (mobile events)** provide opportunities for residents to bring household hazardous waste to mobile collection events. Metro also accepts these materials at its transfer stations.
- **Community Enhancement Grants (CEG)** enhance and rehabilitate areas around the region's public and private solid waste transfer stations.
- The **Disposal Voucher** program provides either funding or vouchers to cover the costs for disposing waste collected at community clean-ups.

Exhibit 2 Estimated Annual Program Costs in Calendar Year 2019

Program	Estimated Annual Cost
Regional Illegal Dumping Patrol	\$1.7 million
Household Hazardous Waste Mobile Collections Events	\$254,000*
Disposal Voucher	\$83,000
Community Enhancement Grants	\$21,000*

*Estimate provided by Waste Prevention and Environmental Services

During the audit, Covid-19 and related budget constraints led to changes in some of the programs we reviewed. We were informed the Disposal Voucher program was eliminated. Mobile events were put on hold. The process to update some agreements related to the CEG program was also delayed. While some changes to programs have already occurred, the analysis in this report can still provide a framework for evaluating how programs impact the department's equity goals.

Results

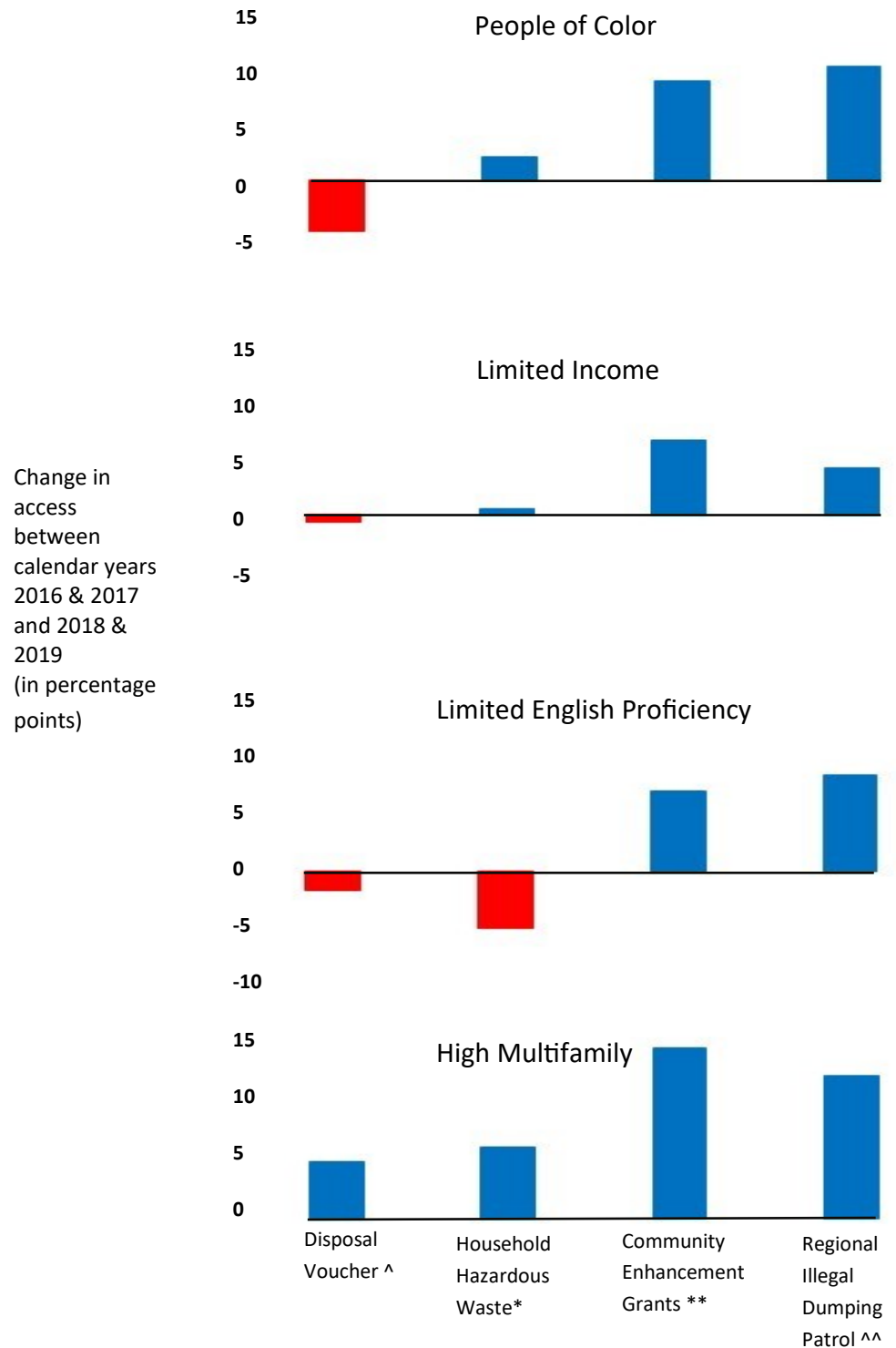
We evaluated access to solid waste services before and after the adoption of the department's DEI work plan in 2018. We found both positive and negative changes in service equity outcomes for the programs we reviewed. In places throughout the region where more people from historically disadvantaged communities live, access to a few services decreased, whereas for other services, it increased.

Negative changes meant access to the department's services may have become less equitable. For instance, fewer areas with a high proportion of people of color and people with limited English proficiency were within a five-minute drive of a Disposal Voucher clean-up event. At the same time, people in these groups were also more likely to have barriers to accessing department services.

Our analysis evaluated access to service for people living in census tracts with high proportions of people of color, people with lower income or people with limited English proficiency. Metro identified these tracts for regional transportation planning. We also included tracts with the highest proportion of people living in multifamily housing. These tracts are collectively referred to as Equity Areas in this report.

Programs had different service equity outcomes. The Disposal Voucher program had decreased access for three Equity Areas. The mobile events had a decrease for one area and increases for the others, though two areas only saw small increases. Both the CEG program and the RID Patrol had increases in all four Equity Areas. Please see Exhibit 3 on the next page for the results for each program.

Exhibit 3 Access for some Equity Areas varied



Access definitions

^ Five-minute drive time to a clean-up event

* Ten-minute drive time to a clean-up event

** Tract was in an area eligible to receive grant funding

^^ Per-capita calls for service were in the top 75% of all census tracts in the region

Source: Auditor's Office geographic analysis of program service locations and data provided by the Metro's Research Center

We noted that several best practices were in place at the department level. For example, the department developed a framework and vision for racial equity. The department also made investments in organizational capacity and partnerships. While these provided a foundation for the department, some best practices were missing at the program level.

To improve program service equity outcomes, the department needed to develop or strengthen best practices. The programs we reviewed did not have goals and measures specific for service equity. These would show what success looks like, and help prioritize future program investments.

Additional data collection, evaluation, and reporting was also needed to support continuous improvement. For example, without regular analyses of service equity outcomes, negative impacts for some populations may go unnoticed. Finally, developing formal policies and procedures will help ensure that operations are carried out consistently and in alignment with goals.

Service outcome equity varied

Service equity outcomes for each program varied, which meant the department was at risk for not improving service equity for some historically marginalized populations. For example, access to Disposal Voucher events decreased for most of the Equity Areas. Also, census tracts where more people with limited English proficiency live saw a decrease in service accessibility for both Disposal Voucher and mobile events.

We also found some promising results. Access for all of the services in our review increased for tracts where more people live in multifamily housing (e.g. apartments). The department and others we spoke with identified these residents as lacking equitable service levels. Specifically, some apartments have inadequate recycling containers and few options for disposal of bulky waste. Our analysis showed there was increased access to dispose bulky waste through the Disposal Voucher program for people in areas with higher concentrations of multifamily housing, assuming they had the means to transport this waste.

In the absence of clearly defined service equity goals and measures for each program, we used existing data and our own measures to evaluate service equity. They included:

- RID Patrol—the number of reported illegal dumping cases per 1,000 people in each census tract;
- CEG—whether or not individual census tracts were eligible to receive grant funding;
- Disposal Voucher program—tracts within a five-minute drive time to clean-up events;
- Mobile events—tracts within a ten-minute drive time to clean-up events.

These measures were not intended to be the only relevant data or measures related to service equity for these programs. They provide one possible way

to evaluate service equity. Using different data and different measures could have shown different results.

Also, census data has been noted to have limitations when it comes to historically marginalized populations. One critique is that it is too generalized for some races or ethnicities. Combining different groups into the same category may not provide enough specificity about the barriers faced within these categories.

The potential to show different results underscored the importance of identifying appropriate service equity goals and measures, and incorporating data analysis at the program level. Without these in place, the department may miss opportunities to improve service equity.













Strengthen best practices to improve service equity outcomes

We found three areas of best practice where additional efforts were needed to improve service equity outcomes. For the programs we reviewed, we found:


- Service equity goals and measures were not in place at the program level.
- Data-driven decision-making was underdeveloped.
- Policies and procedures were not in place.

Clear goals and measures, data-driven decision making, and formal policies and procedures set expectations for Council, department staff, regional partners, and the public. They can also be helpful in setting expectations for funding priorities and decision-making.


Exhibit 4 Improvements were needed across the programs we reviewed

Program	Service equity goals and measures	Data-driven decision making	Policies and procedures
Regional Illegal Dumping Patrol			
Community Enhancement Grants			
Disposal Voucher			
Household Hazardous Waste Mobile Collection Events			

Partially in place



Not in place



Source: Auditor Office analysis of program documents, interviews, and data

Define service equity goals and measures at the program level

Some programs required more effort to prioritize service equity than others. For example, RID Patrol, CEG, and Disposal Voucher services were demand-based and carried out in partnership with other jurisdictions or groups. This reduced the department's ability to influence equity outcomes by itself.

There were examples where department staff and leadership wanted to make changes to improve service equity, but were challenged because of staff capacity and limited resources. For example, the mobile events team wanted to update procedures for selecting sites, but Covid-19 had reduced staff capacity. Challenges were likely to continue given the current budget environment. However, changes at the program level could improve service equity outcomes. Evaluating performance can also help the department identify ways to prioritize the programs that provide more equitable services.

The Regional Waste Plan included equity-specific goals. It also included measures to track progress toward those goals. However, neither were developed at the program level. In particular, goals were not specific enough to identify the desired long-term outcomes for each program. Few measures were in place and they lacked corresponding targets. Without refinement, the department cannot measure success or identify where more or fewer resources are needed to improve equity.

Service equity goals and measures were not in place for the Disposal Voucher and CEG programs. One Plan measure was to calculate the share of CEG dollars awarded to projects that benefit marginalized communities. However, it did not yet include a desired target or baseline. Without those details, the program cannot determine if it is doing too much or not enough.

Two programs identified goals and measures but those elements lacked specificity. For example, the RID Patrol sought to clean sites in three days, but this was not equity-specific. The Plan had a goal to clean up sites and prioritize communities with greatest need. A measure in the Plan was "tons of dumped waste overall and in the most impacted communities." However, it was not clear how the most impacted communities would be identified. Desired tonnage ratios were also not provided, nor was it clear how they would be used to assess service equity.

Without clear goals or measures, it will be a challenge for the RID Patrol to effectively prioritize efforts and resources. For instance, it is not clear if it should prioritize reducing overall tonnage or focus on the most impacted communities. This program sought to increase equity in different ways including a job training program for people with employment barriers. New efforts increased the number of potential program goals.

The mobile events provide a good example of how powerful more clearly defined goals can be. This program had goals and measures in place for event advertising but not for site selection. Clarity was important because the program was piloting new efforts to improve service equity. One effort

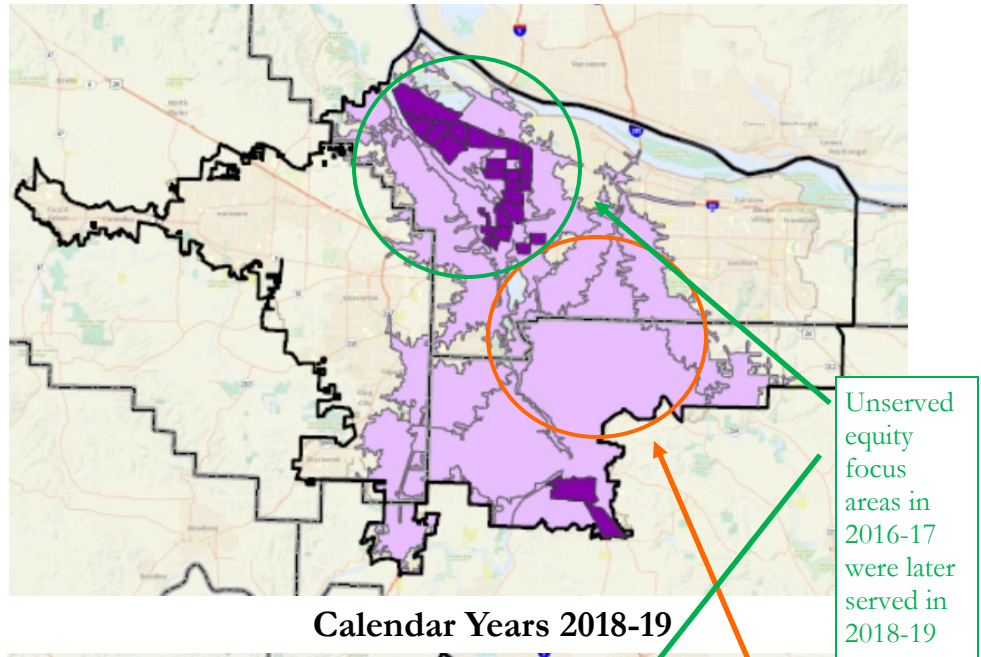
sought to site events in areas that were previously underserved. Decisions for these new locations were made in partnership with a department community outreach and engagement specialist. We found this resulted in increased access for some of the region's Equity Areas.

The Plan highlighted actions to provide convenient, accessible, and equitable collection of hazardous waste from households. This was to be prioritized for "communities with greatest need." Although the department was working with community organizations to identify needs, it was not clear how communities with greatest need was defined or what service levels would be required to provide service equity.

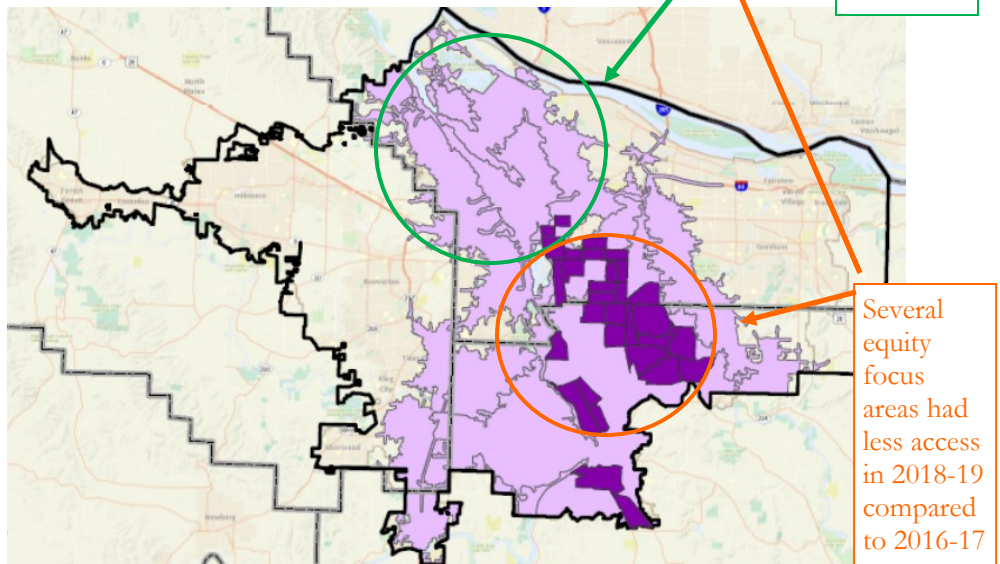
Historically mobile events were provided to ensure access for those who live farther away from Metro's two transfer stations. They were sited outside of a 20-minute drive from Metro's transfer stations. In 2019, the department was more specific about how it identified which communities had the greatest need. This shift had a positive impact for some communities that were previously unserved. Please see Exhibit 5 on the next page for a summary of the analysis.



Exhibit 5 Access to Household Hazardous Waste Mobile Collection events changed when goals were more specifically defined

Calendar Years 2016-17



Calendar Years 2018-19



 20-minute drive to Metro Transfer Station  Unserved Equity Focus Areas

Source: Auditor Office analysis of event locations, Metro Equity Focus Areas, and drive-time data from Metro's Research Center

Although access increased for some Equity Focus Areas within a 20-minute drive from a Metro transfer station, it also decreased for others. Because these efforts were being piloted, it will be important for the department to specify service equity goals and measures to manage tradeoffs and ensure improvements continue. That would also allow the department to identify programs or service areas where additional efforts are needed.

Implement data-driven decision making

Equity evaluation and reporting was underdeveloped for the programs we reviewed. As a result, there were opportunities for the department to better use data for decision-making.

Although the RID Patrol and Disposal Voucher program collected and reported service data, it was not consistently used to evaluate the equity of services provided. For example, the department produced reports that summarized actions by the RID Patrol, but these reports did not highlight which communities were or were not accessing services. Department leadership and staff were aware of the potential inequities in the Disposal Voucher program and tried to identify ways to make the program more equitable, but there were not regular evaluations of data to demonstrate the extent of the inequities. This information could have been useful in making program changes to better align with desired equity outcomes.

The CEG program recently made an improvement that could better facilitate data-driven decision-making. In FY 2017-18, the program began tracking if grantees were culturally-specific community based organizations as a way to evaluate equity. However, this data was not used to evaluate potential program changes.

The mobile events program could also improve its use of data. The program used data to make advertising decisions and mapped site locations to help ensure geographic equity. Although conversations took place about past events and community needs, event data was not regularly used to identify service-equity gaps for communities with the greatest need.

We also found that the department needed better cost and output data. This information could help determine the cost-effectiveness of different ways to accomplish similar activities, including those intended to improve equity outcomes. For instance, we calculated the cost per ton for ensuring proper disposal of garbage. These estimates showed it was much less expensive per ton to ensure that garbage is not illegally dumped and cleaned up by RID Patrol. Accordingly, preventing waste and working to curb illegal dumping is more cost effective.

We also calculated the costs per ton for the two ways Metro worked to ensure household hazardous waste was properly disposed. These estimates indicated the mobile collection events may be less expensive on a per ton basis than disposal of these materials at a hazardous waste facility. Additional analysis would be needed to confirm the size of the cost differences, but our estimates indicate increasing mobile events could be a cost-effective way to ensure proper disposal.

We found cost and output data were difficult to obtain. They raised questions about which costs were included. Strengthening the department's cost and output data is key to understanding service cost-effectiveness. As the department continues to develop its analytical capacity, it will be important to include cost information to help evaluate program efficiency and effectiveness.

Develop policies and procedures

Policies and procedures help set expectations and formalize the requirements for improving service equity outcomes. These were not developed for the programs we reviewed. Without policies and procedures, there was a risk that current efforts to provide more equitable services would continue inconsistently or not at all.

Given the range of department services, policies and procedures could come in many forms. Examples include program evaluation criteria, procedures for obtaining community feedback, or procedures for assessing service gaps. Formality can range from something as simple as a checklist to a fully developed procedures manual.

Programs lacked policies and procedures to set expectations for service equity. For example, equity was not a factor in Disposal Voucher program criteria or the applicant approval process.

The funding criteria for the CEG allowed for a variety of activities that may not necessarily increase service equity. Local jurisdictions controlled most of the grant committees. This reduced Metro's authority over those decisions. Changing the funding criteria is one option to increase service equity. This may require Metro Council action and engagement with local jurisdictions.

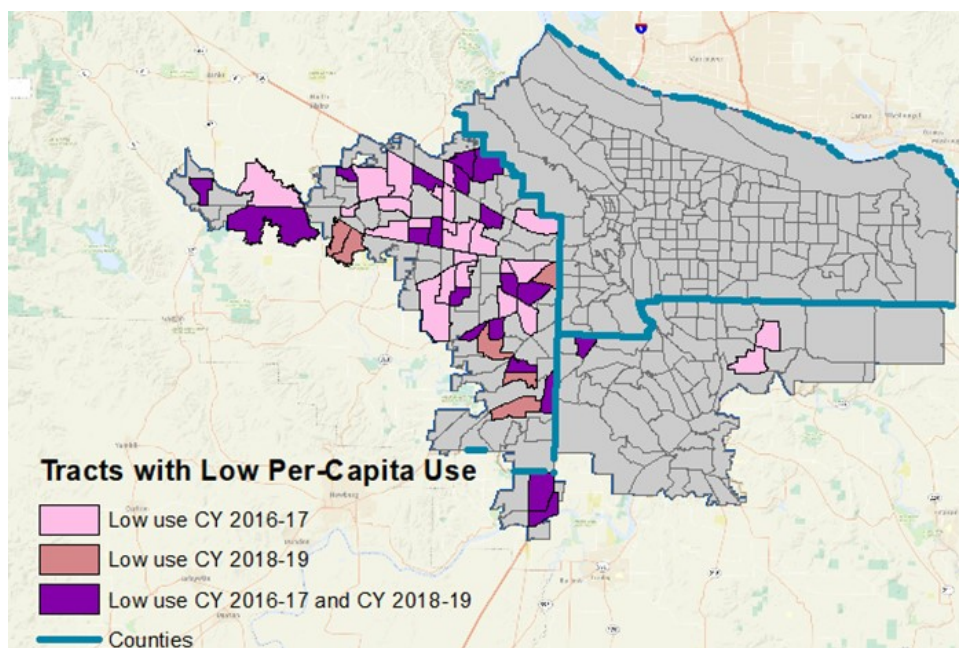
Another option would be for the department to work with local jurisdictions to ensure they improve service equity outcomes through the local grantmaking process. Changing the inter-governmental agreements (IGAs) is one way to accomplish this. Although the department began exploring options to amend IGAs to better ensure equity, at the time of the audit such changes had not been made.

There were consistent service gaps in the western portion of the region for the RID Patrol. Without a formal process to analyze the gaps, the department is less likely to know the extent and distribution of the gaps and why they occurred.

The RID Patrol provides an on-demand service. This meant people needed to be aware of the services provided before accessing them. Lack of awareness could have been one reason for the gaps. Staff recognized the importance of an outreach plan, but had not developed one.

We were told some local jurisdictions elected to clean up sites on their own. This could have reduced use in some areas. Lack of use could also be due to other reasons. For example, if the department finds that some historically marginalized communities are less likely to request government services because of the historic and current injustices caused by governments, then the department may want to consider other ways to ensure this service is delivered equitably.

Exhibit 6 Low-use tracts for RID Patrol were concentrated in the western portion of the region



Source: Auditor's Office geographic analysis of RID program data

The mobile events team developed detailed annual planning documents for the site selection process. However, procedures for making the selections were not written. Site selection required assessment of site availability, safety, size, and geographic distribution. The program also worked with community partners and department community engagement specialists to inform site selection.

Given the complexity of the siting decisions and new efforts to meet community needs, procedures were essential to ensure these efforts are carried out consistently. Similarly, because of the economic challenges created by Covid-19, developing program-level goals and measures, using data-driven decision making, and developing policies and procedures will help realize the department's vision of providing services equitably.

Recommendations

To improve service equity outcomes at the program level, Metro's Waste Prevention and Environmental Services department should:

1. Develop clear goals, measures, and targets for service equity within programs to set expectations.
2. Formalize policies and procedures to ensure equity expectations are carried out.
3. Develop reliable cost and output information for its programs.
4. Analyze cost and output data to identify the programs that drive continuous improvement in service equity.

Scope and methodology

The purpose of this audit was to determine how the Waste Prevention and Environmental Services department incorporated equity into solid waste programs between 2015 and 2019. To do this, the audit had two objectives:

- Determine how equity considerations impacted how solid waste services are delivered
- Determine which best practices could improve service equity outcomes

To develop the audit objectives, we reviewed department and agency plans, policies and procedures, and other documents related to solid waste services and equity. We also reviewed best practices and related audits conducted by other audit organizations.

We attended meetings and interviewed Metro employees to identify concerns and opportunities for improvement. We conducted preliminary analyses of department and program data to provide context and identify trends.

To determine how equity considerations impacted the delivery of solid waste services, we selected four programs for review. We selected programs based on risks identified in early audit work, program size, program history, type of services provided, and level of control Metro had over the program.

We compared services provided in calendar years 2016 and 2017 to services provided in 2018 and 2019 for each of the four programs. When available, we used program data to identify service locations. We also calculated service locations using addresses and mapping software.

We used our professional judgment to define access. As such, methodologies applying different approaches may result in different conclusions.

For the Disposal Voucher program, we defined access as any census tract within a five-minute drive from an event location. For Household Hazardous Waste Mobile Collection events, access was defined as a census tract within a ten-minute drive of an event. RID Patrol use was defined as number of cases per 1,000 people in census tract. Finally, Community Enhancement Grant access was defined as whether or not a census tract was eligible to receive Community Enhancement Grant funding because of its position relative to the grant enhancement area boundaries.

To identify service equity, we mapped access for each program against Metro's Equity Focus Areas, as developed by the Research Center. We also used Research Center data to identify areas in the region high in multifamily housing. We calculated this as any census tract where the percentage of multifamily housing to total housing was in the top 25 percent. We mapped service access for each program against the results.

We used data from several sources to identify service costs and benefits including PeopleSoft, Weighmaster, and different sets of program data. For the Disposal Voucher, Household Hazardous Waste, and RID Patrol services, this included estimating cost per ton.

To determine which best practices could improve service equity outcomes, we developed assessment criteria using three bodies of work: internal controls, performance management, and racial equity frameworks and practices. We used this criteria to identify opportunities for improvements within the programs we reviewed.

Specifically, we used the Government Accountability Office (GAO) to identify standards for internal controls. We used general guidance for performance management from the GAO and Government Finance Officers Association as well as the Performance Management Framework from the National Performance Management Advisory Committee. We also reviewed racial equity frameworks, tools, and practices identified by other local governments, the Government Alliance on Race and Equity, and the Coalition of Communities of Color.

We conducted this performance audit in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives. This audit was included in the FY 2019-20 audit schedule.

Management response

Memo



Date: Friday, March 5, 2021

To: Brian Evans, Metro Auditor

From: Marissa Madrigal, Metro Chief Operating Officer
Roy Brower, Waste Prevention and Environmental Services Director

Subject: Management response to Solid Waste Service Equity Audit

Thank you for the opportunity to respond to your audit of Solid Waste Service Equity. Equity is an important value for Metro and the Waste Prevention and Environmental Services department (WPES). We appreciate your time and attention on this critical subject and your recommendations for how we can continue to improve in this area.

We appreciate that you noted that the department has best practices in place at the department level, including development of a framework and a vision for racial equity in the 2030 Regional Waste Plan. We agree that we have more work to do to ensure that these goals and values are embedded in each of our programs. To successfully implement the vision of service equity from the Regional Waste Plan, we need to ensure that services and facilities are equitably accessible to all.

With regards to the second recommendation of the audit, formalize policies and procedures to ensure equity expectations are carried out, we will implement Metro's racial equity framework and adapt it for use in our department as we implement the 2030 Regional Waste Plan. This framework will help us to incorporate Metro's equity values into our decision-making processes, use tools, analysis and methods to eliminate exclusionary practices and adopt department-wide policies, practices and tools to support implementation of the racial equity framework at the program level.

In the following pages we provide our responses to your recommendations, organized by each of the four recommendations and the four WPES programs assessed in the audit.

Recom- mendation Number	Do you agree with the recommen- dation?	If agree, what are the proposed plans for implementing solutions? If disagree, please provide reasons.	Proposed timetable for implementation?
1. Develop clear goals, measures and targets for service equity within programs to set expectations.	Yes	<p><u>Overall response</u></p> <p>As was noted in the audit, “The Regional Waste Plan included equity-specific goals and measures to track progress toward those goals. However, these were not developed at the program level. In particular, goals were not specific enough to identify the desired long-term outcomes for each program. Without refinement, the department cannot measure success, or identify where more or fewer resources are needed to improve equity.” To address this, the department is working on developing equity-related goals, indicators and measures at the program level. Here is an overview of that implementation for each of the programs included in the audit.</p> <p><u>Regional Illegal Dumping (RID) program</u></p> <p>The RID program will define service equity for its services then develop clear goals, measures and targets in alignment with the 2030 Regional Waste Plan and for data-driven equity decision making. The program will update its data collection tools and systems for any identified data collection needs. However, available resources for the development of new data collection methods or systems may impact proposed timetable for implementation. While current program capacity does not allow for this work, we plan to further develop these goals and measures after additional program staff are added to meet current demand for services.</p> <p><u>Household Hazardous Waste (HHW) Mobile Collection Events program</u></p> <p>The department is currently in the process of reinstating a limited number of HHW mobile collection events for 2021 which will prioritize communities of color and other underserved communities. These events will be scheduled to the extent that they can be done safely following current Covid-19 protocols by conducting risk assessments. These events also focus on priority materials such as sharps and medications. We have assembled a project team to meet immediate service gaps for most vulnerable communities in our region. This team will also develop clear goals, measures and targets related to service equity with input from partners and stakeholders.</p>	<p>FY 23-24 (RID)</p> <p>Summer/ fall 2021 (HHW)</p>

		<p><u>Community Enhancement Grant program (CEG)</u></p> <p>The CEG program will define service equity for the grant program, determine implications of the revised tonnage allocation process, and determine the program's ability to meet 2030 Regional Waste Plan Goal 13 on program expansion. In order to develop clear goals, measures and targets for service equity, the program will coordinate with Metro Council, Office of Metro Attorney, Metro DEI Program and local jurisdictions to determine whether proposed new goals, measures and targets require Metro Code changes. If Metro Code changes are necessary, it will likely lengthen the proposed timeline. The successful completion of the above work assumes additional staffing resources.</p> <p><u>Disposal Voucher program</u></p> <p>The department opted to sunset the Disposal Voucher program in 2020 due to budget reductions and the need to address service equity concerns as identified by multiple stakeholders. Metro will work with local government, community partners and other stakeholders to re-envision how we can most effectively provide disposal assistance prioritizing our most vulnerable, underserved communities. Ultimately, meeting these goals may or may not include a voucher program and are likely to be addressed through a multipronged approach including options such as rate assistance, increased bulky waste multifamily service standards and/or through contracts/partnerships with community based organizations to support targeted bulky waste collection. Either way, we will develop clear goals, measures and targets for service equity during this process.</p>	<p>FY 23-24 (CEG program)</p> <p>Initial scoping FY 21-22 pending budget and staff capacity (disposal assistance)</p>
2. Formalize policies and procedures to ensure equity expectations are carried out.	Yes	<p><u>Overall response</u></p> <p>We will implement Metro's racial equity framework and adapt it for use in our department as we implement the 2030 Regional Waste Plan. This framework will help us to incorporate Metro's equity values into our decision-making processes, use tools, analysis and methods to eliminate exclusionary practices and adopt department-wide policies, practices and tools to support implementation of the racial equity framework at the program level.</p> <p><u>Regional Illegal Dumping (RID) program</u></p> <p>Once the steps for the first recommendation are complete, program policies and procedures will be updated to reflect the service equity goals and measures.</p> <p><u>Household Hazardous Waste Mobile Collection Events program</u></p> <p>Policies and procedures will be developed as part of the effort described above. We will update or develop new policies and procedures to ensure equity outcomes are met.</p>	<p>FY 23-24 (RID)</p> <p>FY 21-22 (HHW)</p>

		<p><u>Community Enhancement Grant program</u> Once the steps for the first recommendation are complete, program policies and procedures will be drafted to reflect the service equity goals and measures. Proposed timeline is dependent on the completion of action 1 above.</p> <p><u>Disposal Voucher program</u> See item 1.</p>	<p>FY 23-24 (CEG)</p> <p>Initial scoping FY 21-22 pending budget and staff capacity (disposal assistance)</p>
3. Develop reliable cost and output information for its programs.	Yes	<p><u>Overall response</u> We appreciate the connection made in the audit between recommendation #3 and #4, for developing, then analyzing cost and output information for programs will help to identify programs that drive continuous improvement in service equity. Therefore, responses for this recommendation are focused on how the programs will build capacity for this analysis work.</p> <p><u>Regional Illegal Dumping (RID) program</u> The RID Program will need to evaluate the potential data points available for each program service and the available data collection methods and tools. The program's ability to develop reliable cost and output information will depend on the data collection system and staffing resources to develop new tools or upgrade the current data collection system.</p> <p><u>Household Hazardous Waste Mobile Collection Events program</u> This will be addressed through the strategic plan, logic modeling and budget process noted above.</p> <p><u>Community Enhancement Grant program</u> The CEG will consider what consistent data can be feasibly collected from all the grant programs, including those administered by local jurisdictions. This will require coordination and input from WPES analytics staff, grant administrative staff from local jurisdictions and associated budget considerations from local jurisdictions to do this work. The program's ability to develop reliable cost and output information will also depend on tonnage allocation impacts to the program, data collection system and tools, and program staff capacity and resources.</p> <p><u>Disposal Voucher program</u> See item 1. For any program updates or new program development, a collaborative approach engaging community partners and other stakeholders will be utilized to develop cost and output metrics that are relevant to our service equity goals. Ongoing analysis of cost and output data will be integrated into program implementation.</p>	<p>FY 23-24 (RID)</p> <p>Fall 2021/ winter 2022 (HHW)</p> <p>FY 23-24 (CEG)</p> <p>Initial scoping FY 21-22 pending budget and staff capacity (disposal assistance)</p>

<p>4. Analyze equity-specific cost and output data to identify effective programs and drive continuous improvement.</p>	<p>Yes</p>	<p><u>Overall response</u> As noted in our response to recommendation 2 above, we will implement this recommendation largely through implementation of Metro’s racial equity framework and adaptation for use with the 2030 Regional Waste Plan. Evaluation of equity-specific cost and output data is a key element of a racial equity framework if it is used regularly to guide decision-making and continuous improvement to department programs.</p> <p><u>Regional Illegal Dumping (RID) program</u> The RID program will develop procedures for analyzing program data to determine which services are effective and drives continuous improvement as well as evaluate the costs of the outputs. The program will develop methodology and procedures with WPES Analytics staff to ensure program metrics align with the 2030 Regional Waste Plan. The program will also consider an annual review of data collection and analysis to ensure the use of the best available data and most accurate analysis.</p> <p><u>Household Hazardous Waste Mobile Collection Events program</u> A program-specific evaluation plan will be developed and put into practice as the new equity-focused HHW Mobile Collection Events program is more fully implemented. This may include participant and Census data and community participant feedback to ensure that the program is meeting service equity goals.</p> <p><u>Community Enhancement Grant program</u> After the above actions are complete, the program will develop procedures for analyzing program data to determine which services are effective and drives continuous improvement as well as evaluate the costs of the outputs. The program will develop methodology and procedures with WPES Analytics staff to align with the 2030 Regional Waste Plan, Metro Code and how/whether it might be used to compare to other agency grant programs. The program will also consider an annual review of data collection methods and data points to ensure the use of best available data and accurate analysis. This will depend on local jurisdiction willingness to collaborate, the need for Metro Code changes, and Metro staff capacity.</p> <p><u>Disposal Voucher program</u> See item 1. Evaluation will be key component of any programming developed to provide disposal assistance, whether that be a refined disposal voucher program or an entirely new program. Process and outcomes based evaluation will be utilized to ensure that the program is meeting service equity goals.</p>	<p>FY 24-25 (RID)</p> <p>Winter/ spring 2022 (HHW)</p> <p>FY 24-25 (CEG)</p> <p>Initial scoping FY 21-22 pending budget and staff capacity</p>
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Solid Waste Service Equity: Establish clear goals and measures at the program level to improve outcomes

Why this audit is important

People of color in the region experience worse economic and social outcomes because of a history of exclusionary and discriminatory policies. Metro's Waste Prevention and Environmental Services department found that communities of color experience barriers to accessing some of its services.

To address these problems, the department engaged in several efforts to promote racial equity and ensure equitable services. While racial equity was a clear focus in its planning efforts, the department had not specifically defined service equity.















We conducted this audit to determine:

- How equity considerations impacted the delivery of four solid waste services.
- Which practices should be in place at the program level to improve service equity outcomes.

What we found

We found three areas where additional efforts were needed at the program level to improve service equity outcomes. Clear goals and measures, data-driven decision making, and formal policies and procedures set expectations for stakeholders and can also be helpful in setting expectations for funding priorities and decision making. These were not fully in place for the four programs we reviewed. Without them, the department may miss opportunities to improve service equity.

Improvements were needed across the programs we reviewed

Program	Service equity goals and measures	Data-driven decision making	Policies and procedures
Regional Illegal Dumping Patrol			
Community Enhancement Grants			
Disposal Voucher			
Household Hazardous Waste Mobile Collection Events			
	Partially in place 	Not in place 	

Source: Auditor's office analysis of program information, interviews, and data

In the absence of defined service equity goals and measures for each program, we used existing data and our own measures to evaluate service equity. Our analysis focused on census tracts with high proportions of people of color, people with lower income, people with limited English proficiency, and people living in multifamily housing.

We evaluated access to services before and after the adoption of the department's Diversity, Equity and Inclusion work plan in 2018 and found both positive and negative changes for the four programs we reviewed. Negative changes meant access to department services may have become less equitable. Using different data and measures could have shown different results, which underscores the importance of identifying appropriate service equity goals and measures.

What we recommend

To improve service equity outcomes at the program level we recommended the department develop clear goals, measures, and targets for service equity to set expectations, and formalize policies and procedures to ensure expectations are carried out. We also recommended the department develop reliable cost and output information for its programs and use that information to drive continuous improvement in service equity.

Agenda Item No. 4.1

Resolution No. 21-5163, For the Purpose of Amending ODOT's US 30 NW Saltzman Rd to NW Bridge Ave Project to Add Approved Funding Increasing the Project Limits by 1.31 Miles to be US30 NW Kittridge Ave to NW Bridge Ave to the 2021-24Metropolitan Transportation Improvement Program (MTIP) (MR21-08-MAR)

Consent Agenda

Metro Council Meeting
Thursday, April 8, 2021

BEFORE THE METRO COUNCIL

FOR THE PURPOSE OF AMENDING ODOT'S)	RESOLUTION NO. 21-5163
US30 NW SALTZMAN RD TO NW BRIDGE AVE)	
PROJECT TO ADD APPROVED FUNDING)	Introduced by: Chief Operating Officer
INCREASING THE PROJECT LIMITS BY 1.31)	Marissa Madrigal in concurrence with
MILES TO BE US30 NW KITTRIDGE AVE TO)	Council President Lynn Peterson
NW BRIDGE AVE TO THE 2021-24)	
METROPOLITAN TRANSPORTATION)	
IMPROVEMENT PROGRAM (MTIP) (MR21-08-)	
MAR))	

WHEREAS, the Metropolitan Transportation Improvement Program (MTIP) prioritizes projects from the Regional Transportation Plan (RTP) to receive transportation related funding; and

WHEREAS, the Joint Policy Advisory Committee on Transportation (JPACT) and the Metro Council approved the 2021-24 MTIP via Resolution 20-5110 on July 23, 2020; and

WHEREAS, JPACT and the Metro Council must approve any subsequent amendments to add new projects or substantially modify existing projects in the MTIP; and

WHEREAS, the U.S. Department of Transportation (USDOT) has issued clarified MTIP amendment submission rules and definitions for MTIP formal amendments and administrative modifications that both ODOT and all Oregon MPOs must adhere to which includes that all new projects added to the MTIP must complete the formal amendment process; and

WHEREAS, MTIP amendments now must also include assessments for required performance measure compliance, expanded RTP consistency, and strive to meet annual Metro and statewide obligation targets resulting in additional MTIP amendment processing practices and procedures; and

WHEREAS, Metro is now under formal annual obligation targets resulting in additional accountability for Metro to commit, program, obligate, and expend allocated federal formula funds; and

WHEREAS, ODOT's US30 repaving, ADA and drainage improvement project was down-scoped during the 2019 Recalibration resulting in smaller project limits from NW Saltzman Rd to NW Bridge Ave; and

WHEREAS, Since the down-scoping action, ODOT has realized savings from other projects allowing the added funding to be redirected to the US30 repaving project; and

WHEREAS, Subsequent project reviews and the funding savings indicate the US30 repaving project requires to be restored to its original project limits to maximize project delivery efficiencies; and

WHEREAS, Through this amendment to the MTIP and STIP, ODOT's US30 repaving project is adding \$2.067 million of extra funding allowing the project limits to be expanded to be NW Kittridge Ave to NW Bridge Ave; and

WHEREAS, the a review of the proposed project changes has been completed against the current approved Regional Transportation Plan (RTP) to ensure the projects remain consistent with the goals and

Proposed March 2021 Formal Transition Amendment Bundle
Amendment Type: **Formal/Full**
Amendment #: **MR21-08-MAR**
Total Number of Projects: 1

Key Number & MTIP ID	Lead Agency	Project Name	Amendment Action	Added Remarks
Project #1 ODOT Key 20208 MTIP ID 70938	ODOT	US30: NW Saltzman Rd— NW Bridge Ave US30: NW Kittridge Ave to NW Bridge Ave	<u>Limits Expansion:</u> ODOT has approved additional funding to the project which enables the project limited to be expanded by 1.31 miles and now be NW Kittridge Ave to NW Bridge Ave	ODOT has approved \$2,067,000 to the project allowing the limits to be expanded. The scope still remains the same as an active transportation and Safety ADA improvement project. The added funds reflect a 21.7% cost increase which is above the 20% threshold for administrative changes



Metro
2021-24 Metropolitan Transportation Improvement Program (MTIP)
PROJECT AMENDMENT DETAIL WORKSHEET

Formal Amendment
LIMITS EXPANSION
Expand project limits by 1.31 miles

Lead Agency: ODOT		Project Type:	Active	ODOT Key:	20208
Project Name: US30: NW Saltzman Rd - NW Bridge Ave US30: NW Kittridge Ave to NW Bridge Ave	1	ODOT Type:	BikePed	MTIP ID:	70938
		Performance Meas:	Yes	Status:	5
Project Status: 5 = (RW) Right-of Way activities initiated including R/W acquisition and/or utilities relocation		Capacity Enhancing:	No	Comp Date:	12/31/2022
		Conformity Exempt:	Yes	RTP ID:	
		On State Hwy Sys:	US30	RFFA ID:	N/A
		Mile Post Begin:	5.23 3.92	RFFA Cycle:	N/A
Short Description: Repave roadway; upgrade ADA ramps to current standards; improve access management; and address drainage as needed. Widen and pave existing bike lanes.		Mile Post End:	6.46 6.46	UPWP:	No
		Length:	1.23 2.54	UPWP Cycle:	N/A
		1st Year Program'd:	2017	Past Amend:	5
		Years Active:	5	OTC Approval:	Yes
		STIP Amend #:	21-24-0525	MTIP Amnd #:	MR21-09-MAR
Detailed Description: In NW Portland areas on US30 between NW Bridge Ave (MP 6.46) and NW Saltzman Rd (MP 5.23) (1.23 miles total), NW Kittridge Ave to NW Bridge Ave, (MP 3.92 to MP 6.46) (2.54 miles total), arterial rehabilitation to include repaving. ADA ramp compliance upgrades, access management improvements, and address drainage as needed. Widen and pave existing bike lane to provide a safer experience for bicyclists.					
STIP Description: Repave roadway, upgrade curb ramps to current standards, improve access management, and address drainage as needed to restore the pavement surface and improve safety and accessibility. Widen and pave existing bike lane to provide a safer experience for bicyclists.					

Last Amendment of Modification: Administrative, August 2020 - AB21-02-AUG2 - Slip Utility Relocation to 2021

PROJECT FUNDING DETAILS

Fund Type	Fund Code	Year	Planning	Preliminary Engineering	Right of Way	Other (Utility Relocation)	Construction	Total
Federal Funds								
STP>200	Z230	2017		\$ 2,022,440				\$ 2,022,440
ADVCON	ACP0	2020			\$ 376,866			\$ -
NHPP	Z001	2020			\$ 347,255			\$ 347,255
ADVCON	ACP0	2021				\$ 62,811		\$ -
NHPP	Z001	2021				\$ 62,811		\$ 62,811
ADVCON	ACP0	2021					\$ 5,181,716	\$ -
NHPP	Z001	2021					\$ 7,066,046	\$ 7,066,046
							Federal Totals:	\$ 9,498,552
Federal Fund Obligations \$:				\$ 2,022,440	\$ 347,255			Federal Aid ID
EA Number:				PE002834	R9602000			S092(060)
Initial Obligation Date:				8/24/2017	8/28/2020			
EA End Date:				5/31/2021	8/31/2023			
Known Expenditures:				\$ 1,013,605	\$ 11,475			
State Funds								
State	Match	2017		\$ 231,477				\$ 231,477
State	Match	2020			\$ 43,134			\$ -
State	Match	2020			\$ 39,745			\$ 39,745
State	Match	2021				\$ 7,189		\$ 7,189
State	Match	2021					\$ 593,071	\$ -
State	Match	2021					\$ 808,741	\$ 808,741
Other	S010	2021					\$ 1,000,000	\$ 1,000,000
								\$ -
							State Total:	\$ 2,087,152
Local Funds								
								\$ -
								\$ -
							Local Total	\$ -
Phase Totals Before Amend:			\$ -	\$ 2,253,917	\$ 420,000	\$ 70,000	\$ 6,774,787	\$ 9,518,704
Phase Totals After Amend:			\$ -	\$ 2,253,917	\$ 387,000	\$ 70,000	\$ 8,874,787	\$ 11,585,704
Year Of Expenditure (YOE):								\$ 11,585,704

Notes and Summary of Changes:

- > Red font = prior amended funding or project details. Blue font = amended changes to funding or project details. Black font indicates no change has occurred.
- > Formal Amendment reason: Limits Change @1.31 miles > 0.25 miles and Cost change @ 21.7% > 20% threshold

Amendment Summary:

The formal amendment adds funding to the project enabling the limits to be increased by 1.31 miles. The project name and descriptions are updated to reflect the revised limits which are now NW Kittridge to NW Bridge. The project costs increases (construction phase) from adding the new funding and equals a revised total project cost of \$11,585,704. This represents a \$2,067,000 increase to the project which reflects a 21.7% increase to the project and is above the 20% threshold. The ROW phase is updated with based on actual phase obligations. Overall, the project still remains an active transportation focused improvement.

- > Will Performance Measurements Apply: Yes - Safety

RTP References:

- > RTP ID: 12095 - Safety & Operations Projects
- > RTP Description: Projects to improve safety or operational efficiencies such as pedestrian crossings of arterial roads, railroad crossing repairs, slide and rock fall protections, illumination, signals and signal operations systems, that do not add motor vehicle capacity.
- > Exemption Status: Project is an exempt, non-capacity type project per 40 CFR 93.126, Table 2 - Air Quality - Bicycle and pedestrian facilities.
- > UPWP amendment: Not applicable & not required
- > RTP Goals: Goal 3 - Transportation Choices
- > Goal 3.2 Active Transportation System Completion
- > Goal Description: Complete all gaps in regional bicycle and pedestrian networks.

Fund Codes:

- > STP>200 = Federal Surface Transportation Program funds appropriated to the states with a portion allocated to the MPOs. This funding pot requires their commitment and use in urban areas.
- > ADVCON = Federal Advance Construction funding. These funds act as a placeholder for future federal funds to be committed. Until then, the State DOT commits state funds to over the costs. When the federal funds are available, a fund code conversion occurs to reflect the federal funds now committed to the project.
- > NHPP = Federal National Highway Performance Program funds. Appropriated to the State DOT for needed and eligible improvements on the National Highway system
- > State = General state funds used normally as the required match to the federal funds.
- > Other = General funds provided by the lead agency above the required match amount to support phase costs above the federal and match amount programmed.

Other

- > On NHS: Yes
- > Metro Model: Yes
- > Model category and type: Pedestrian - Pedestrian Parkway
- > TCM project: No
- > Located on the CMP: Yes

strategies identified in the RTP with the results confirming that no RTP inconsistencies exist as a result of the project changes from the March 2021 MTIP Formal Amendment; and

WHEREAS, RTP consistency check areas included financial/fiscal constraint verification, eligibility and proper use of committed funds, an assessment of possible air quality impacts, a deviation assessment from approved regional RTP goals and strategies, a validation that the required changes have little or no impact upon regionally significant projects, and a reconfirmation that the MTIP's financial constraint finding is maintained a result of the March 2021 Formal Amendment; and

WHEREAS, Metro's Transportation Policy and Alternatives Committee (TPAC) received their notification plus amendment summary overview, and recommended approval to Metro's Joint Policy Advisory Committee on Transportation (JPACT) on March 5, 2021; and

WHEREAS, JPACT approved Resolution 21-5163 consisting of the March 2021 Formal MTIP Amendment bundle on March 18, 2021 and provided their approval recommendation to Metro Council; now therefore

BE IT RESOLVED that the Metro Council hereby adopts the recommendation of JPACT on April 8, 2021 to formally amend the 2021-24 MTIP to include the required changes to the ODOT US30 repaving project identified as part of Resolution 21-5163.

ADOPTED by the Metro Council this ____ day of _____ 2021.

Lynn Peterson, Council President

Approved as to Form:

Carrie MacLaren, Metro Attorney

Memo



Metro

600 NE Grand Ave.
Portland, OR 97232-2736

Date: March 18, 2021
To: Metro Council and Interested Parties
From: Ken Lobeck, Funding Programs Lead
Subject: March 2021 MTIP Formal Amendment & Resolution 21-5163 Approval Request

FORMAL AMENDMENT STAFF REPORT

FOR THE PURPOSE OF AMENDING ODOT'S US30 NW SALTZMAN RD TO NW BRIDGE AVE PROJECT TO ADD APPROVED FUNDING INCREASING THE PROJECT LIMITS BY 1.31 MILES TO BE US30 NW KITTRIDGE AVE TO NW BRIDGE AVE TO THE 2021-24 METROPOLITAN TRANSPORTATION IMPROVEMENT PROGRAM (MTIP) (MR21-08-MAR)

BACKGROUND

What This Is:

The March 2021 Formal Metropolitan Transportation Improvement Program (MTIP) Formal/Full Amendment which is contained in Resolution 21-5163 and being processed under MTIP Amendment MR21-08-MAR.

What is the requested action?

JPACT approved Resolution 21-5163 on March 5, 2021 and now recommends Metro Council approve Resolution 21-5163 consisting of ODOT's US30 NW Kittridge to NW Bridge Ave limits expansion project to be amended correctly into the 2021-24 MTIP with final approval to occur from USDOT.

Proposed March 2021 Formal Amendment Bundle					
Amendment Type: Formal/Full					
Amendment #: MR21-08-MAR					
Total Number of Projects: 1					
ODOT Key #	MTIP ID #	Lead Agency	Project Name	Project Description	Description of Changes
Project #1 Key 20208	70938	ODOT	US30: NW Saltzman Rd - NW Bridge Ave US30: NW Kittridge Ave to NW Bridge Ave	Repave roadway; upgrade ADA ramps to current standards; improve access management; and address drainage as needed. Widen and pave existing bike lanes.	LIMITS EXPANSION: ODOT approved added funds to the project which enables the project limits to expand out by 1.31 miles. The revised cross-street limits are now NW Kittridge Ave to NW Bridge Ave Funds added equal \$2,067,000 which equal a 21.7% increase

A detailed summary of the amended project is provided below.

Project 1:	US30: NW Saltzman Rd – NW Bridge Ave US30: NW Kittridge Ave to NW Bridge Ave
Lead Agency:	ODOT
ODOT Key Number:	20208
	MTIP ID Number: 70938
Projects Description:	<p>Project Snapshot:</p> <ul style="list-style-type: none"> Proposed improvements: Repave roadway; upgrade ADA ramps to current standards; improve access management; and address drainage as needed. Widen and pave existing bike lanes. Source: Existing project. Funding: The funding is primarily federal. The use of the federal fund code, ADVCON (Advance Construction) had been used as a placeholder until the specific federal programmatic fund type code was identified. <p>Through this amendment the federal programmatic fund type code is anticipated to be National Highway Performance Program (NHPP). NHPP is replacing ADVCON in the Right-of Way, Utility Relocation, and Construction phases</p> <ul style="list-style-type: none"> Location: On US30 Cross Street Limits: Revised to be NW Kittridge Ave to NW Bridge Ave Overall Mile Post Limits: Revised to be 3.92 to 6.46 Current Status Code: 5 = (RW) Right-of Way activities initiated including R/W acquisition and/or utilities relocation Air Conformity/Capacity Status: The project is considered a “non-capacity enhancing” project from a roadway/motor vehicle improvement perspective and is exempt from air quality conformity analysis per 40 CFR 93.126, Table 2 – Air Quality – Bicycle and Pedestrian facility improvements. Regional Significance Status: Regionally significant project. The project contains federal funds and is located in the Metro Pedestrian Modeling Network. STIP Amendment Number: 21-24-0525 MTIP Amendment Number: MR21-08-MAR OTC approval required: No, but ODOT Director’s approval was required to approve the new funding. Metro approval date: Tentatively scheduled for April 8, 2021
What is changing?	<p><u>AMENDMENT ACTION: LIMITS EXPANSION</u></p> <p>The formal amendment completes the following actions to the project:</p> <ul style="list-style-type: none"> The project name is updated to reflect the revised cross-street limits that are now NW Kittridge to NW Bridge Ave The MTIP’s Short and Detailed descriptions are updated to reflect the changes in limits and clarify scope. The programmatic ADVCON (Advance Construction) fund type code is replaced with its expected federal conversion code of National Highway Performance Program (NHPP)

- The Right-of-Way phase is updated with the actual fund obligations for the phase resulting in a small decrease to the phase
- The Construction phase receives the new approved funding to the project increasing the construction phase to \$8,874,787.
- The total project cost increases as a result by 21.7% to \$11,585,704.
- The overall scope of work for the project remains unchanged.

From the ODOT Staff Report:

The purpose of the project is to repave roadway, upgrade curb ramps to current standards, replace outdated signal equipment, and address drainage as needed to restore the pavement surface and improve safety and accessibility. In addition, it will widen and pave existing bike lane to provide a safer experience for bicyclists. It was prioritized for improvements due to its importance as a highly utilized lifeline route with poor and deteriorating pavement conditions.

This project was programed with \$8,485,704 of preservation funds in the 18-21 STIP and an additional \$1,000,000 in state sidewalk improvement program funds (SWIP) were added to upgrade bicycle and pedestrian features.

During the 2019 recalibration efforts the project limits were reduced to match what could be delivered within current STIP funding. This resulted in a shorter project, changing it from the original US 30: NW Kittridge Ave – NW Bridge Ave to US30: NW Saltzman Rd – NW Bridge Ave.

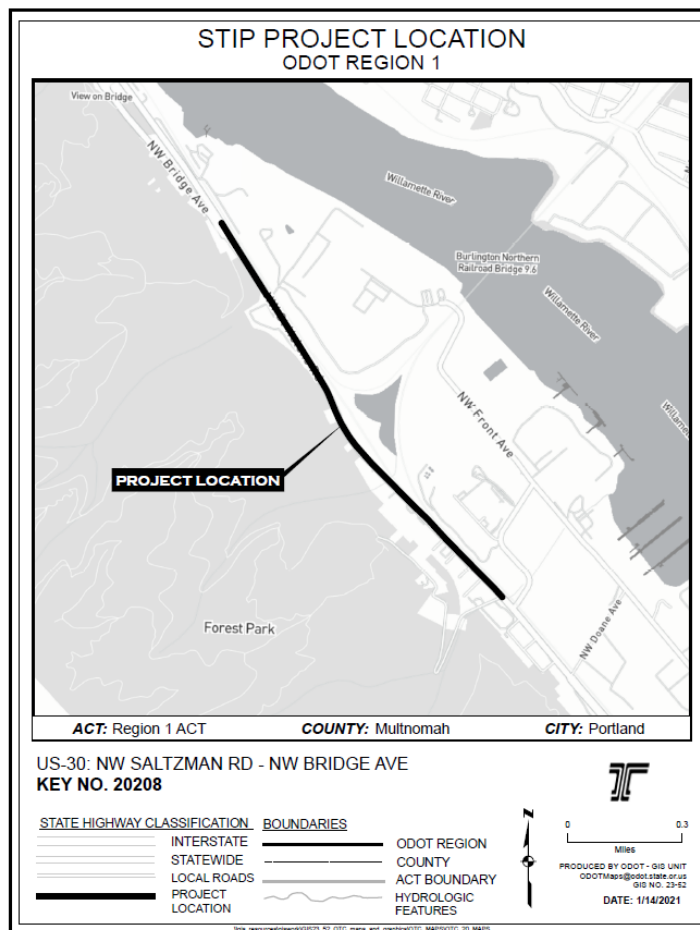
While reducing the scope during recalibration to fit within available funding made sense at the time, recent low bids and project savings within Region 1 now provide the opportunity to restore the original project scope. With this amendment we are proposing to utilize savings from recent projects within region to pave the additional 1.3 miles between NW Kittridge Ave to NW Saltzman as originally scoped.

Additional Details:

Below are listed the proposed locations along US30 for the improvements

Locations						
Route	Highway	MP Begin	MP End	Length	Street	City
US-30	092 LOWER COLUMBIA RIVER	5.23	6.46	1.23		PORTLAND
US-30	092 LOWER COLUMBIA RIVER	4.52	5.19	0.67		PORTLAND
US-30	092 LOWER COLUMBIA RIVER	5.20	6.46	1.26		PORTLAND
US-30	092 LOWER COLUMBIA RIVER	3.92	4.13	0.21		PORTLAND
US-30	092 LOWER COLUMBIA RIVER	5.21	5.21	0.00		PORTLAND
US-30	092 LOWER COLUMBIA RIVER	6.41	6.41	0.00		PORTLAND

Why a Formal amendment is required?	Per the FHWA/FTA/ODOT/MPO approved Amendment Matrix, limit changes beyond a 0.25 mile change require a formal amendment. Additionally, the inclusion of the new added funding results in a cost change of 21.7% which is above the 20% threshold for administrative changes and triggers a formal/full amendment to complete.
Total Programmed Amount:	The project's total cost in the MTIP increases from \$9,518,704 to \$11,585,704.
Added Notes:	Included below are project location maps and a copy of the ODOT Report





Oregon

Kate Brown, Governor

Oregon Transportation Commission

Office of the Director, MS 11

355 Capitol St NE

Salem, OR 97301-3871

DATE: February 8, 2021

TO: Kristopher W. Strickler
Director

FROM: Rian Windsheimer
Region 1 Manager

SUBJECT: Amend the 2021-2024 Statewide Transportation Improvement Program (STIP) to increase funding for the *United States 30: Northwest Saltzman Road - Northwest Bridge Avenue* project.

Requested Action:

Approve amending the 2021-2024 Statewide Transportation Improvement Program (STIP) to increase funding for the *United States 30: Northwest Saltzman Road - Northwest Bridge Avenue* project by \$2,100,000 and change the name to *United States 30: Northwest Kittridge Avenue - Northwest Bridge Avenue*. The additional funding comes from the Region 1 Fix-It financial plan.

STIP Amendment Funding Summary

Project/Funding Source	Current Funding	Proposed Funding
US30: NW Kittridge Ave - NW Bridge Ave	\$9,485,704	\$11,585,704
Fix-It Region 1 financial plan	\$2,100,000	\$0
TOTALS	\$11,585,704	\$11,585,704

Project to increase funding and change name:

US30: NW Kittridge Ave - NW Bridge Ave (K20208)			
PHASE	YEAR	COST	
		Current	Proposed
Preliminary Engineering	2017	\$2,253,917	\$2,253,917
Right of Way	2020	\$387,000	\$387,000
Utility Relocation	2021	\$70,000	\$70,000
Construction	2021	\$6,774,787	\$8,874,787
TOTALS		\$9,485,704	\$11,585,704

Background:

The purpose of the project is to repave roadway, upgrade curb ramps to current standards, replace outdated signal equipment, and address drainage as needed to restore the pavement surface and improve safety and accessibility. In addition, it will widen and pave existing bike lane to provide a safer experience for bicyclists. It was prioritized for improvements due to its importance as a highly utilized lifeline route with poor and deteriorating pavement conditions.

This project was programed with \$8,485,704 of preservation funds in the 18-21 STIP and an additional \$1,000,000 in state sidewalk improvement program funds (SWIP) were added to upgrade bicycle and pedestrian features.

During the 2019 recalibration efforts the project limits were reduced to match what could be delivered within current STIP funding. This resulted in a shorter project, changing it from the original US 30: NW Kittridge Ave – NW Bridge Ave to US30: NW Saltzman Rd – NW Bridge Ave.

While reducing the scope during recalibration to fit within available funding made sense at the time, recent low bids and project savings within Region 1 now provide the opportunity to restore the original project scope. With this amendment we are proposing to utilize savings from recent projects within region to pave the additional 1.3 miles between NW Kittridge Ave to NW Saltzman as originally scoped.

Options:

With approval, the project will become US30: NW Kittridge Ave – NW Bridge Ave.

Without approval, the project will remain US30: NW Saltzman Rd – NW Bridge Ave.

Attachments:

- Attachment 1 – Location & Vicinity Maps

Copies to:

Jeri Bohard	Karen Rowe	Rian Windsheimer	Jessica Homing
Travis Brouwer	Mac Lynde	Tova Peltz	Talena Adams
Cooper Brown	Jeff Flowers	Adriana Antelo	Ted Miller
Lindsay Baker	Arlene Santana	Gabriela Garcia	
Jess McGraw	Amanda Sandvig	Stephanie Turner	
Tom Fuller	Alice Bibler	Matthew Freitag	

Note: The Amendment Matrix located below is included as a reference for the rules and justifications governing Formal Amendments and Administrative Modifications to the MTIP that the MPOs and ODOT must follow.

METRO REQUIRED PROJECT AMENDMENT REVIEWS

In accordance with 23 CFR 450.316-328, Metro is responsible for reviewing and ensuring MTIP amendments comply with all federal programming requirements. Each project and their requested changes are evaluated against multiple MTIP programming review factors that originate from 23 CFR 450.316-328. The programming factors include:

- Verification as required to programmed in the MTIP:
 - Awarded federal funds and is considered a transportation project
 - Identified as a regionally significant project.
 - Identified on and impacts Metro transportation modeling networks.
 - Requires any sort of federal approvals which the MTIP is involved.
- Passes fiscal constraint verification:
 - Project eligibility for the use of the funds
 - Proof and verification of funding commitment
 - Requires the MPO to establish a documented process proving MTIP programming does not exceed the allocated funding for each year of the four year MTIP and for all funds identified in the MTIP.
 - Passes the RTP consistency review: Identified in the current approved constrained RTP either as a stand- alone project or in an approved project grouping bucket
 - RTP project cost consistent with requested programming amount in the MTIP
 - If a capacity enhancing project – is identified in the approved Metro modeling network
- Satisfies RTP goals and strategies consistency: Meets one or more goals or strategies identified in the current RTP.
- If not directly identified in the RTP's constrained project list, the project is verified to be part of the MPO's annual Unified Planning Work Program (UPWP) if federally funded and a regionally significant planning study that addresses RTP goals and strategies and/or will contribute or impact RTP performance measure targets.

ODOT-FTA-FHWA Amendment Matrix	
Type of Change	
FULL AMENDMENTS	
1. Adding or cancelling a federally funded, and regionally significant project to the STIP and state funded projects which will potentially be federalized	
2. Major change in project scope. Major scope change includes: <ul style="list-style-type: none"> • Change in project termini - greater than .25 mile in any direction • Changes to the approved environmental footprint • Impacts to AQ conformity • Adding capacity per FHWA Standards • Adding or deleting worktype 	
3. Changes in Fiscal Constraint by the following criteria: <ul style="list-style-type: none"> • FHWA project cost increase/decrease: <ul style="list-style-type: none"> • Projects under \$500K – increase/decrease over 50% • Projects \$500K to \$1M – increase/decrease over 30% • Projects \$1M and over – increase/decrease over 20% • All FTA project changes – increase/decrease over 30% 	
4. Adding an emergency relief permanent repair project that involves substantial change in function and location.	
ADMINISTRATIVE/TECHNICAL ADJUSTMENTS	
1. Advancing or Slipping an approved project/phase within the current STIP (If slipping outside current STIP, see Full Amendments #2)	
2. Adding or deleting any phase (except CN) of an approved project below Full Amendment #3	
3. Combining two or more approved projects into one or splitting an approved project into two or more, or splitting part of an approved project to a new one.	
4. Splitting a new project out of an approved program-specific pool of funds (but not reserves for future projects) or adding funds to an existing project from a bucket or reserve if the project was selected through a specific process (i.e. ARTS, Local Bridge...)	
5. Minor technical corrections to make the printed STIP consistent with prior approvals, such as typos or missing data.	
6. Changing name of project due to change in scope, combining or splitting of projects, or to better conform to naming convention. (For major change in scope, see Full Amendments #2)	
7. Adding a temporary emergency repair and relief project that does not involve substantial change in function and location.	

- Determined the project is eligible to be added to the MTIP, or can be legally amended as required without violating provisions of 23 CFR450.300-338 either as a formal Amendment or administrative modification:
 - Does not violate supplemental directive guidance from FHWA/FTA's approved Amendment Matrix.
 - Adheres to conditions and limitation for completing technical corrections, administrative modifications, or formal amendments in the MTIP.
 - Is eligible for special programming exceptions periodically negotiated with USDOT.
 - Programming determined to be reasonable of phase obligation timing and is consistent with project delivery schedule timing.
- Reviewed and initially assessed for Performance Measurement impacts to include:
 - Safety
 - Asset Management - Pavement
 - Asset Management – Bridge
 - National Highway System Performance Targets
 - Freight Movement: On Interstate System
 - Congestion Mitigation Air Quality (CMAQ) impacts
 - Transit Asset Management impacts
 - RTP Priority Investment Areas support
 - Climate Change/Greenhouse Gas reduction impacts
 - Congestion Mitigation Reduction impacts
- MPO responsibilities completion:
 - Completion of the required 30 day Public Notification period:
 - Project monitoring, fund obligations, and expenditure of allocated funds in a timely fashion.
 - Acting on behalf of USDOT to provide the required forum and complete necessary discussions of proposed transportation improvements/strategies throughout the MPO.

APPROVAL STEPS AND TIMING

Metro's approval process for formal amendment includes multiple steps. The required approvals for the March 2021 Formal MTIP amendment (MR21-08-MAR) will include the following:

<u>Action</u>	<u>Target Date</u>
• Initiate the required 30-day public notification process.....	March 2, 2021
• TPAC notification and approval recommendation.....	March 5, 2021
• JPACT approval and recommendation to Council.....	March 18, 2021
• Completion of public notification process.....	March 31, 2021
• Metro Council approval.....	April 8, 2021

Notes:

- * If any notable comments are received during the public comment period requiring follow-on discussions, they will be addressed by JPACT.

USDOT Approval Steps (The below time line is an estimation only):

<u>Action</u>	<u>Target Date</u>
• Amendment bundle submission to ODOT for review.....	April 13, 2021
• Submission of the final amendment package to USDOT.....	April 13, 2021
• ODOT clarification and approval.....	Early May, 2021
• USDOT clarification and final amendment approval.....	Mid May, 2021

ANALYSIS/INFORMATION

1. **Known Opposition:** None known at this time.
2. **Legal Antecedents:**
 - a. Amends the 2021-24 Metropolitan Transportation Improvement Program adopted by Metro Council Resolution 20-5110 on July 23, 2020 (FOR THE PURPOSE OF ADOPTING THE 2021-2024 METROPOLITAN TRANSPORTATION IMPROVEMENT PROGRAM FOR THE PORTLAND METROPOLITAN AREA).
 - b. Oregon Governor approval of the 2021-24 MTIP: July 23, 2020
 - c. 2021-2024 Statewide Transportation Improvement Program (STIP) Approval and 2021 Federal Planning Finding: September 30, 2020
3. **Anticipated Effects:** Enables the projects to obligate and expend awarded federal funds, or obtain the next required federal approval step as part of the federal transportation delivery process.
4. **Metro Budget Impacts:** None to Metro

RECOMMENDED ACTION:

JPACT approved Resolution 21-5163 on March 5, 2021 and now recommends Metro Council approve Resolution 21-5163 consisting of ODOT's US30 NW Kittridge to NW Bridge Ave limits expansion project to be amended correctly into the 2021-24 MTIP with final approval to occur from USDOT.

- TPAC Approval Date: March 5, 2021
- JPACT Approval Date: March 18, 2021

Note: No attachments:

Agenda Item No. 5.1

Resolution No. 21-5158, For the Purpose of Amending the FY2020-21 Budget and Appropriations Schedule and the FY2020-21 Through FY2024-25 Capital Improvement Plan to Provide for Changes in Operations

Resolution

Metro Council Meeting
Thursday, April 8, 2021

BEFORE THE METRO COUNCIL

FOR THE PURPOSE OF AMENDING THE FY 2020-
21 BUDGET AND APPROPRIATIONS SCHEDULE
AND FY 2020-21 THROUGH FY 2024-25 CAPITAL
IMPROVEMENT PLAN TO PROVIDE FOR
CHANGES IN OPERATIONS

RESOLUTION NO 21-5158

Introduced by Marissa Madrigal, Chief
Operating Officer, with the concurrence of
Council President Lynn Peterson

WHEREAS, the Metro Council has reviewed and considered the need to change appropriations within the FY 2020-21 Budget; and

WHEREAS, Metro Code chapter 2.02.040 requires Metro Council approval to add any new position to the budget; and

WHEREAS, the need for the change of appropriations has been justified; and

WHEREAS, adequate funds exist for other identified needs; and

WHEREAS, ORS 294.463(1) provides for transfers of appropriations within a fund, including transfers from contingency that do not exceed 15 percent of a fund's appropriations, if such transfers are authorized by official resolution or ordinance of the governing body, and

WHEREAS, ORS 294.463(3) provides for transfers of appropriations or of appropriations and a like amount of budget resources between funds of the municipal corporation when authorized by an official resolution or ordinance of the governing body stating the need for the transfer, and

WHEREAS, ORS 294.338(2) allows an increase in appropriations due to specific purpose grants or gifts when authorized by an official resolution or ordinance of the governing body stating the need for the recognition, and

WHEREAS, ORS 294.338(3) allows an increase in appropriations when a request for services, the cost of which is supplied by another entity, necessitates a greater expenditure of public money for any specific purpose in order to provide the services when authorized by an official resolution or ordinance of the governing body stating the need for the recognition, and

BE IT RESOLVED,

1. That the FY 2020-21 Budget and Schedule of Appropriations are hereby amended as shown in the column entitled "Revision" of Exhibits A and B to this Resolution for the purpose of modifying expenditures, approving new FTE, removing FTE and transferring funds to and from contingency.
2. That the FY 2020-21 through FY 2024-25 Capital Improvement Plan is hereby amended accordingly.

ADOPTED by the Metro Council this 8th day of April, 2021.

Lynn Peterson, Council President

APPROVED AS TO FORM:

Carrie MacLaren, Metro Attorney

Exhibit A
Resolution 21-5158
Schedule of Appropriations

	Current Appropriation	Revision	Revised Appropriation
GENERAL FUND			
Council	\$ 6,244,205	\$ 117,585	\$ 6,361,790
Office of the Auditor	825,955	-	825,955
Office of Metro Attorney	2,872,303	-	2,872,303
Information Services	5,956,614	-	5,956,614
Communications	1,951,150	-	1,951,150
Finance and Regulatory Services	4,905,068	-	4,905,068
Human Resources	3,570,805	-	3,570,805
Capital Asset Management	3,071,368	-	3,071,368
Planning and Development Department	29,557,631	-	29,557,631
Research Center	4,457,960	124,800	4,582,760
Parks and Nature	3,146,500	-	3,146,500
Special Appropriations	3,486,067	-	3,486,067
Non-Departmental		-	
Debt Service	8,263,627	-	8,263,627
Interfund Transfers	26,876,078	938,382	27,814,460
Contingency	10,221,534	(639,363)	9,582,171
<i>Total Appropriations</i>	115,406,865	541,404	115,948,269
Unappropriated Balance	23,664,678	-	23,664,678
Total Fund Requirements	139,071,543	541,404	139,612,947
AFFORDABLE HOUSING FUND			
Planning and Development Department	171,926,547	-	171,926,547
Non-Departmental			
Interfund Transfers	253,871	-	253,871
Contingency	35,000,000	1,403	35,001,403
<i>Total Appropriations</i>	207,180,418	1,403	207,181,821
Unappropriated Balance	463,349,582	-	463,349,582
Total Fund Requirements	670,530,000	1,403	670,531,403
GENERAL ASSET MANAGEMENT FUND			
Asset Management Program	16,058,665	499,637	16,558,302
Non-Departmental			
Interfund Transfers	305,000	-	305,000
Contingency	7,264,914	(498,000)	6,766,914
<i>Total Appropriations</i>	23,628,579	1,637	23,630,216
Unappropriated Balance	9,912,262	-	9,912,262
Total Fund Requirements	33,540,841	1,637	33,542,478
MERC FUND			
MERC	35,432,211	-	35,432,211
Non-Departmental			
Interfund Transfers	8,093,095	-	8,093,095
Contingency	9,357,113	1,600,000	10,957,113
<i>Total Appropriations</i>	52,882,419	1,600,000	54,482,419
Total Fund Requirements	52,882,419	1,600,000	54,482,419
NATURAL AREAS FUND			
Parks and Nature	7,769,433	-	7,769,433
Non-Departmental			
Interfund Transfers	1,177,348	-	1,177,348
Contingency	3,719,379	4,561	3,723,940
<i>Total Appropriations</i>	12,666,160	4,561	12,670,721
Total Fund Requirements	12,666,160	4,561	12,670,721

	Current Appropriation	Revision	Revised Appropriation
OREGON ZOO INFRASTRUCTURE/ANIMAL WELFARE FUND			
Visitor Venues - Oregon Zoo	20,136,172	-	20,136,172
Non-Departmental			
Interfund Transfers	462,377	-	462,377
Contingency	1,053,628	14,244	1,067,872
Total Appropriations	21,652,177	14,244	21,666,421
Total Fund Requirements	21,652,177	14,244	21,666,421
PARKS AND NATURE BOND FUND			
Parks and Nature	31,320,918	-	31,320,918
Non-Departmental			
Interfund Transfers	593,810	-	593,810
Contingency	3,203,000	11,634	3,214,634
Total Appropriations	35,117,728	11,634	35,129,362
Unappropriated Balance	155,395,272	-	155,395,272
Total Fund Requirements	190,513,000	11,634	190,524,634
PARKS AND NATURE OPERATING FUND			
Parks and Nature	20,252,112	-	20,252,112
Non-Departmental			
Interfund Transfers	3,905,319	-	3,905,319
Contingency	6,752,263	(16,195)	6,736,068
Total Appropriations	30,909,694	(16,195)	30,893,499
Total Fund Requirements	30,909,694	(16,195)	30,893,499
RISK MANAGEMENT			
Finance and Regulatory Services	4,421,389	-	4,421,389
Non-Departmental			
Interfund Transfers	-	-	-
Contingency	378,608	318,572	697,180
Total Appropriations	4,799,997	318,572	5,118,569
Unappropriated Balance	80,517	-	80,517
Total Fund Requirements	4,880,514	318,572	5,199,086
SOLID WASTE FUND			
Waste Prevention and Environmental Services	93,475,350	264,862	93,740,212
Non-Departmental			
Interfund Transfers	7,254,879	-	7,254,879
Contingency	21,350,630	3,984	21,354,614
Total Appropriations	122,080,859	268,846	122,349,705
Unappropriated Balance	11,450,000	-	11,450,000
Total Fund Requirements	133,530,859	268,846	133,799,705
SUPPORTIVE HOUSING SERVICES			
Planning and Development Department	35,446,302	-	35,446,302
Non-Departmental			
Interfund Transfers	6,200,000	-	6,200,000
Contingency	9,808,698	76	9,808,774
Total Appropriations	51,455,000	76	51,455,076
Total Fund Requirements	51,455,000	76	51,455,076
Total Appropriations	807,454,603	2,746,182	810,200,785
Total Unappropriated Balance	670,047,318	-	670,047,318
TOTAL BUDGET	\$ 1,477,501,921	\$ 2,746,182	\$ 1,480,248,103

Exhibit B
Resolution 20-5158
Schedule of FTE

	Current FTE	Revision	Revised FTE
GENERAL FUND			
TOTAL FUND FTE	247.40	0.20	247.60
AFFORDABLE HOUSING			
TOTAL FUND FTE	7.70	1.80	9.50
PARKS AND NATURE BOND FUND			
TOTAL FUND FTE	32.00	1.20	33.20
SOLID WASTE FUND			
TOTAL FUND FTE	171.36	10.60	181.96
SUPPORTIVE HOUSING SERVICES FUND			
TOTAL FUND FTE	4.70	1.20	5.90
TOTAL FTE	951.86	15.00	966.86

All Other FTE Remain as Previously Adopted

STAFF REPORT

IN CONSIDERATION OF RESOLUTION 20-5158 FOR THE PURPOSE OF AMENDING THE FY 2020-21 BUDGET AND APPROPRIATIONS SCHEDULE AND FY 2020-21 THROUGH FY 2024-25 CAPITAL IMPROVEMENT PLAN TO PROVIDE FOR CHANGES IN OPERATIONS

Date: March 11, 2021

Prepared by:
Cinnamon Williams, Financial Planning Director

Department: Finance and Regulatory Services

Presented by:
Cinnamon Williams, Financial Planning Director

Meeting date: April 8, 2021

ISSUE STATEMENT

This resolution will authorize changes in appropriations and FTE in the FY 2020-21 Budget and approve changes to the FY 2020-21 through FY 2024-25 Capital Improvement Plan.

ACTION REQUESTED

Council adoption of Resolution 21-5158.

IDENTIFIED POLICY OUTCOMES

Council approval will authorize changes in appropriations and FTE requested by departments for FY 2020-21 and approve requested changes to the FY 2020-21 through FY 2024-25 Capital Improvement Plan.

POLICY QUESTION

Council should consider whether the changes in appropriations and FTE have been justified, that adequate funds exist for identified needs and that proposed changes to the Capital Improvement Plan appear appropriate.

POLICY OPTIONS FOR COUNCIL TO CONSIDER

Adoption of the Resolution will provide sufficient appropriations and FTE to accommodate the changes in operations outlined by the departments. Adoption will also allow for changes to capital projects, again due to operational factors.

Disapproval of the Resolution will require departments to reevaluate their proposed changes to operational and capital plans due to the denied requests for additional resources and changes in capital projects.

STAFF RECOMMENDATIONS

The Chief Operating Officer recommends adoption of Resolution 21-5158.

STRATEGIC CONTEXT & FRAMING COUNCIL DISCUSSION

Known Opposition: None known.

Legal Antecedents: ORS 294.463(1) provides for transfers of appropriations within a fund, including transfers from contingency that do not exceed 15 percent of a fund's appropriation, if such transfers are authorized by official resolution or ordinance of the governing body. ORS

294.463(3) provides for transfers of appropriations or of appropriations and a like amount of budget resources between funds of the municipal corporation when authorized by an official resolution or ordinance of the governing body stating the need for the transfer. ORS 294.338(2) allows an increase in appropriations due to specific purpose grants or gifts when authorized by an official resolution or ordinance of the governing body stating the need for the recognition. ORS 294.338(3) allows an increase in appropriations when a request for services, the cost of which is supplied by another entity, necessitates a greater expenditure of public money for any specific purpose in order to provide the services when authorized by an official resolution or ordinance of the governing body stating the need for the recognition. Metro code chapter 2.02.040 requires the Metro Council to approve the addition of any position to the budget. Metro's adopted financial policies require any project exceeding \$100,000 or an existing CIP project increasing greater than 20 percent to receive Council approval.

Anticipated Effects: This action provides for changes in operations as described above, recognizes new revenues, provides additional appropriations authority, adds FTE and changes Capital Improvement Plan.

Budget Impacts: This action increases total appropriations by \$2.7 million, adds 15 FTE and changes capital projects. It has the following impacts on the FY 2020-21 budget:

- General Fund: increases 0.2 FTE and total fund appropriations by \$1.2M through recognizing \$1.8M of grant proceeds from CARES Act and Regional Disaster Preparedness Organization and a transfer from the fund's contingency, for a net increase of fund requirements of \$541k.
- General Asset Management Fund: increases total fund appropriations by \$500,000 for CARES Act grant fund recognition and transfer from fund's contingency, for a net increase of fund requirements of \$1.6k.
- MERC Fund: recognizes an increase of \$1.6M of transfers from the General fund and \$1.6M increase of contingency reserves.
- Natural Areas Fund: recognizes \$4.5k of CARES Act grant proceeds and \$4.5k increase of contingency reserves.
- Oregon Zoo Infrastructure / Animal Welfare Fund: recognizes \$14.2k of CARES Act grant proceeds and \$14.2k increase in contingency reserves.
- Parks and Nature Bond Fund: increases 1.2 FTE (no increase in appropriation), recognizes \$12k of CARES Act grant proceeds and increase of \$12k contingency reserves.
- Parks and Nature Operating Fund: recognizes \$313k of CARES Act grant proceeds and transfers to the General Fund of \$329k, for a net decrease of fund requirements of \$16.2k.
- Risk Management Fund: recognizes \$319k of CARES Act grant proceeds and \$319k increase of contingency reserves.
- Solid Waste Fund: increases 10.6 FTE and an increase of \$265,000 of appropriations through a transfer from the fund's contingency, \$602,000 of CARES Act grant proceeds and \$4k increase to the fund's contingency, for a net increase of total fund requirements of \$269k.
- Supportive Housing Services: increases 1.2 FTE (no increase in appropriation), recognizes \$80 dollars of CARES Act grant proceeds and \$80 dollars increase to the fund's contingency.
- Affordable Housing Fund: increases 1.8 FTE (no increase in appropriation), recognizes \$1.4k of CARES Act grant proceeds and \$1.4k increase to the fund's contingency.
- Amends the FY 2020-21 through FY 2024-25 Capital Improvement Plan for projects at the Zoo, WPES, Parks and Natural Area sites and at the Metro Regional Center.

BACKGROUND

The following amendments have been proposed for Council review and action:

Recognition of CARES Act grant proceeds as received from the City of Portland in the amount of \$1,600,000.

Metro received \$1.6M in CARES Act Coronavirus Relief Funds from the City of Portland's PDX-CARES relief package. The intent of these funds was to support Portland's Centers for the Arts, the downtown theaters which are owned by the City and which have been closed since March 2020 due to the pandemic. The funds are restricted to eligible CARES Act costs. Metro incurred these eligible costs across many departments and funds in the Agency; these grant proceeds will be recorded in those departments and \$1.6M will be transferred to the Portland '5 Centers for the Arts.

Capital Asset Management Department – Capital Improvement Plan Changes

With a transition to telework in response to the pandemic, and the subsequent closure of the Metro Regional Center (MRC) building, the MRC renovation projects have been able to advance more quickly than anticipated during FY20-21. The Department is asking for following Capital Improvements Projects to be revised as outlined below:

- **MRC Daycare Improvements** – Request to increase funding of \$250k, for a total project cost of \$1.25M.
- **MRC Lighting Upgrades** – Request to increase funding of \$540K, for a total project cost of \$1.2M.
- **MRC Interior & Exterior Coatings** – Request to delay funding \$350K of this project until next fiscal year (FY22).
- **MRC Irving Garage Concrete and Steel** – Request to delay funding \$150k of this project until next fiscal year (FY22).
- **MRC Kitchen, Bathroom and ADA Upgrades** – Request to move \$800k of project savings to other projects.
- **MRC Furniture Reconfiguration** – Request to increase funding of \$800k, for a total project cost of \$1.1M.
- **MRC Concrete Repairs** – Request to delay funding of \$100k until FY22.
- **MRC Lobby Security Improvements** – Request to delay funding of \$75k until FY23.
- **MRC Tower Elevator Retrofit** – Request to move \$250k of project savings to other projects.
- **MRC IS System Upgrades** – Request to add this project for the amount \$114k.
- **MRC Elevator Retrofit #2 (HR/Freight)** – Request to add this project for the amount of \$105k.

This action amends the FY 2020-21 through 2024-25 Capital Improvement Plan and decreases the fund General Asset Management Fund's contingency by \$425k. Attachment 1 outlines the Capital Projects changes requested.

Research Center and Diversity, Equity and Inclusion Departments – Recognition of Grant Revenue and Corresponding Expense Appropriation

Research Center in partnership with DEI and Regional Disaster Preparedness Organization (RDPO) has secured two Social Vulnerability Grant from the City of Portland, one for \$175k and a secondary for \$33k; for a total of \$208k. This project is intended to identify which communities in the region experience barriers to emergency services and programs before, during, and after disasters. In order to fulfil the project objectives, the departments are also requesting \$208k of additional appropriations.

The Office of the Chief Operating Officer – 1.0 FTE ask for General Manager for Major Projects

The agency has identified the need for a 1.0 FTE (General Manager Major Projects) that will plan, organize, lead and oversee the work of major regional projects at the direction of the Chief Operating Officer. Funding will be spread across the Solid Waste Fund, Parks and Nature Bond funds and the General Fund. Funding was established by projects identified, such as Solid waste and recycling system capital investments and infrastructure, Willamette Cove Park and Natural Area investments, and Expo Center investments and future operations. The position will report to the COO (within Council Department). Appropriation needs for FY 2020-21 are only from the General Fund in the amount of \$35k to be transferred from the General Fund's contingency.

Human Resources (HR) Department – Request for 1.0 FTE for a HR Business Partner

The Department is requesting 1.0 FTE of a Program Analyst to help support Waste Prevention and Environmental Services (WPES), and in the future other departments, to assist and manage recruiting, onboarding, employee relations, ADA accommodations and providing *general support* to both employees and supervisors. General support, which also includes basic day-to-day HR needs, comprises of coaching, classification and compensation analysis and employee benefits. Due to the current demands of WPES needs, the remainder of FY 2020-21 will be paid for by the Solid Waste Fund but all future years will be a Central Service cost. For FY 2020-21 WPES has enough current appropriations to cover the costs and is not asking for additional appropriation.

Information Services (IS) Department – Capital Improvement Plan Changes

The IS Department is requesting one change to their Capital Improvement Plan. This is to prioritize a new project, an addition to the VoIP deployment, which is required by law. Funding for this project will be taken from savings in the Department's current materials and services appropriation.

- **ISTBD23 E911 VoIP** – Request to include to current project list for \$100k

This action amends the FY 2020-21 through 2024-25 Capital Improvement Plan and does not impact the General Asset Management Fund's contingency. Attachment 2 outlines the Capital Projects changes requested.

Parks and Nature – Request for 1.0 FTE for a Community Visions Program Manager and Capital Improvement Plan Changes –

The Parks and Nature Bond program area titled "Community Visions" does not have any dedicated Metro staff to manage the program and its objectives. Metro wants to move the program forward and this position will be responsible for developing the program process, procedures and accountability measures to ensure that the Parks and Nature bond dollars are linked to community enhancement projects, grounded in parks and nature, across the Metro region. This 1.0 position, classified as a Principal Regional Planner, will develop two phases of a grant program including application materials, evaluation process, and agreements for execution and implementation. The position will also work with community partners, other Metro staff, and local governments to help identify potential grant projects. The Department can pay for the position with current appropriations and is not asking for any additional appropriation.

The Department is also asking for following Capital Improvements Projects to be revised, as outlined below:

- **LA110 Chehalem Ridge Nature Park** – Parks and Nature Bond Fund Project, request to increase funding of \$1.6M, for a total FY 2020-21 cost of \$3.9M. The Department is not

requesting additional appropriation but will use savings in the Fund's materials and services appropriation to pay for the increase in project costs.

- **POX012 Oxbow Potable Water System** – Parks and Nature Bond Fund Project, request to increase funding of \$100k for a total cost of \$600k. The Department is not requesting additional appropriation but will use savings in the Fund's materials and services appropriation to pay for the increase in project costs.
- **GF155 Von Ebert Parking Lot Improvements** – Parks General Asset Management Fund Project, request to increase funding of \$75k for a total project cost of \$175k. The Department is requesting to reduce the Fund's contingency to pay for the increase in project costs.
- **LR903 Ennis Creek Road Repair** – Parks and Nature Operations Fund Project, request to delay project until further notice and remove it from the project list.

This action amends the FY 2020-21 through 2024-25 Capital Improvement Plan and decreases the General Asset Management Fund's contingency by \$75k. Attachment 3 outlines the Capital Projects changes requested.

Waste Prevention and Environmental Services (WPES) Department – 9.0 FTE for the Expansion of the Regional Illegal Dumping Workforce Transition Program (RID), Transfer Station Operations and administrative support.

WPES is requesting the addition of 4.0 FTE in the Community Services and Education Division in response to significant demand in the region for cleanup services for dumped garbage. This is a top priority for the Department and the FTE will expand this program to have **six** operating RID Crews (triple what Metro currently has). The 4.0 FTE is to add three RID Crew Lead positions and Program Assistant III to provide additional support for the program.

WPES is requesting 4.0 FTE to address various needs within the Garbage and Recycling Operations division. These positions are necessary to support the increased customer count as well as provide absence coverage for the existing scalehouse teams at Metro South (2.0 FTE) and Metro Central (1.0 FTE). The increased activity at the stations has also highlighted safety concerns across the department and is requesting Environmental Health and Safety Program Manager classified as a Program Analyst. All FTE requests are addressing extensive issues with safety, employee morale and compliance with federal, state and local laws, regulations and basic industry standards.

WPES is requesting the addition of 1.0 FTE in the Strategic Planning and Support Services division for the WPES Administrative Supervisor (Program Supervisor I) position. This request addresses a longstanding need including supervisory span of control in addition to ensuring the department's expanding and increasingly complex admin/program support needs can be met.

The Department will need \$265k of additional appropriation to be transferred from the Solid Waste Fund's contingency.

Waste Prevention and Environmental Services - Capital Improvement Plan Changes

The department is requesting to make Solid Waste Fund capital project adjustments to the Solid Waste Capital Improvement Plan (CIP) due to priority changes from the last six months.

- **SMC017 MCS Lighting** – Request to add this project for \$200k, as it has been identified as a significant need. This project has been identified as a high priority as upgrading the lighting at Metro Central contains a safety and sustainability components. Funding for this project will be provided by other capital projects that have been deprioritized or have savings.

- **SWTBD027 MCS Covered Storage HHW** – Request to delay this project of \$200k until further notice.
- **SMC019 Stormwater Upgrade** – Request to prioritize this project to FY 2020-21, which was funded for FY 2021-22. This project needs \$250k to remedy biofouling in the existing treatment system and to reduce the high operating cost of meeting regulatory discharge limits. Funding for this project will be provided by other capital projects that have been deprioritized or have savings.
- **SMS008 MSS Transfer Scale Replacement** – Request to add this project for \$500k, as it is critical to the continued operation at Metro South. The project encompasses engineering, scale replacements, and transport/emergency scales. Funding for this project will be provided by other capital projects that have been deprioritized or have savings.
- **Land Acquisition (SWTBD08)** – Request to use savings from this project that was budgeted at \$7.5M for FY20-21. The land acquisition for the West property will occur in FY20-21 for much smaller amount (\$3.2M) and the Department would like to use savings to pay for projects as noted above.

This action amends the FY 2020-21 through 2024-25 Capital Improvement Plan and does not require any Solid Waste Fund's contingency. Attachment 4 outlines the Capital Projects changes requested.

Oregon Zoo - Capital Improvement Plan Changes

The following Capital Improvement Projects require revision as outlined below:

- **ZOOTBD22-2 Boardwalk Repairs** – Request to reallocate resources for the Zoo's Boardwalk Repairs project in the amount of \$150k. This work is for design and construction to repair the structures and remove and replace the existing waterproof topping on the boardwalk with a more substantial waterproof assembly that would be deemed more safe and effective.
- **ZOOTBD21-8 Gate J Security** – Request to reallocate resources for the zoo's Gate J Security project in the amount of \$180k. This work would include security cameras in that area, connectivity, as well as additional curbing needed in that area for a secure entry/exit point. Resources to be reallocated from the zoo's Painting budget for FY21.
- **ZOOTBD21-4 - Exterior Painting & Building Repair** – Request to reduce this project budget by \$180k in FY 2020-21.

This action amends the FY 2020-21 through 2024-25 Capital Improvement Plan and does not require any of the Zoo's contingency. Attachment 5 outlines the Capital Projects changes requested.

ATTACHMENTS

- Resolution 21-5158
- Exhibit A – Schedule of Appropriations
- Exhibit B – Schedule of FTE
- Attachments 1-5 Capital Project Details

Mid Year Amendment FY 2020-21 Budget
Capital Improvement Plan (CIP) Detail Changes
Capital Asset Management

Financial Planning Use

Attachment 1

Resolution 20-5198

New? Y/N	Project ID	Project Title	GL Acct	Fund ID	Dept ID	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	Notes (i.e delay/cancel other projects, contingency)
						CIP Amended	CIP Amended	CIP Amended	CIP Amended	CIP Amended	
	MRC003	MRC Daycare Improvements	572000	618	00434	1,250,000	-	-	-	-	
	MRC014	MRC Lighting Upgrades	572000	618	00434	1,190,000	-	-	-	-	
	MRC015	MRC Interior & Exterior Coatings	572000	618	00434	100,000	350,000	-	-	-	
	MRC013	MRC Underground Garage Entrance	572000	618	00434	250,000	-	-	-	-	
	PSTBD011	MRC Irving Garage Concrete and Steel	572000	618	00434	-	550,000	-	-	-	
	PSTBD030	MRC Kitchen, Bathroom and ADA Upgrades	572000	618	00434	-	-	-	-	-	
	MRC005	MRC Furniture Reconfiguration	575000	618	00434	1,050,000	-	-	-	-	
	01332	MRC Fire Stoppage	572000	618	00434	350,000	-	-	-	-	
	PSTBD032	MRC Plaza Drainage	572000	618	00434	150,000	-	-	-	-	
	PSTBD004	MRC Concrete Repairs	525000	618	00434	-	600,000	-	-	-	
	PSTBD028	MRC Lobby Security Improvements	572000	618	00434	-	-	625,000	-	-	
	MRC006	MRC Tower Elevator Retrofit	572000	618	00434	-	-	-	-	-	
	MRC012	MRC IS System Upgrades	526010	618	00434	113,871	-	-	-	-	
	MRC009	MRC ElevRetro #2 HR/Freight	526010	618	00434	105,000	-	-	-	-	

Mid Year Amendment FY 2020-21 Budget
Capital Improvement Plan (CIP) Detail Changes
Information Services

Financial Planning Use

Attachment 2

Resolution 21-5158

New? Y/N	Project ID	Project Title	GL Acct	Fund ID	Dept ID	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	Notes (i.e delay/cancel other projects, contingency)
						CIP Amended	CIP Amended	CIP Amended	CIP Amended	CIP Amended	
Y	ISTBD23	E911	575000	616	441	100,000	-	-	-	-	
						-	-	-	-	-	
						-	-	-	-	-	
						-	-	-	-	-	
						-	-	-	-	-	

**Mid Year Amendment FY 2020-21 Budget
Capital Improvement Plan (CIP) Detail Changes**

Parks and Nature

Financial Planning Use

Attachment 3

Resolution 21-5158

New? Y/N	Project ID	Project Title	GL Acct	Fund ID	Dept ID	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	Notes (i.e delay/cancel other projects, contingency)
						CIP Amended	CIP Amended	CIP Amended	CIP Amended	CIP Amended	
N	LA110	Chehalem Ridge Nature Park	571000	351/352	03430	3,875,000	-	-	-	-	
N	GF155	Von Ebert Parking Lot Improvements	571000	617	03310	175,000	-	-	-	-	
N	POX012	Oxbow Potable Water System	571000	352	03450	600,000	-	-	-	-	
N	LR903	Ennis Creek Road Repair	571000	165	03210	-	-	-	-	-	
						-	-	-	-	-	
						-	-	-	-	-	
						-	-	-	-	-	

**Mid Year Amendment FY 2020-21 Budget
Capital Improvement Plan (CIP) Detail Changes**

Waste Prevention & Environ. Services

Financial Planning Use

Attachment 4

Resolution 21-5158

New? Y/N	Project ID	Project Title	GL Acct	Fund ID	Dept ID	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	Notes (i.e delay/cancel other projects, contingency)
						CIP Amended	CIP Amended	CIP Amended	CIP Amended	CIP Amended	
Y	SMC017	MCS Lighting Project	571000	536	34100	200,000	-	-	-	-	
N	SWTBD27	MCS Covered Storage HHW	572000	536	34100	-	-	-	-	-	
Y	SMC019	MCS Stormwater Upgrade	571000	536	34100	250,000	500,000	-	-	-	
N	SMS008	MSS Transfer Scale Replacement	574000	534	34100	500,000	-	-	-	-	
N	SWTBD08	Land Acquisition	570000	536	34100	6,750,000	-	-	-	-	
						-	-	-	-	-	
						-	-	-	-	-	
						-	-	-	-	-	
						-	-	-	-	-	

Mid Year Amendment FY 2020-21 Budget
Capital Improvement Plan (CIP) Detail Changes

Visitor Venue - Oregon Zoo

Financial Planning Use

Attachment 5

Resolution 21-5158

New? Y/N	Project ID	Project Title	GL Acct	Fund ID	Dept ID	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	Notes (i.e delay/cancel other projects, contingency)
						CIP Amended	CIP Amended	CIP Amended	CIP Amended	CIP Amended	
Y	ZOOTBD22-2	Boardwalk Repairs	526100	326	20000	150,000	-	-	-	-	
Y	ZOOTBD21-8	Gate J Security	526100	325	20000	180,000	-	-	-	-	
N	ZOOTBD21-4	Exterior Painting & Building Repair	526100	326	20000	45,000	-	-	-	-	
						-	-	-	-	-	
						-	-	-	-	-	
						-	-	-	-	-	
						-	-	-	-	-	