

FTIP CHECKLIST AND DEVELOPMENT GUIDELINES

2015 Federal Transportation Improvement Program (FTIP) Checklist and Development Guidance

This checklist will be used by Caltrans to ensure the completeness of FTIP submittals.

I. Timeline:

- Submit the *Draft* 2015 FTIP to Caltrans starting at the beginning of the FTIP public review but not later than **September 2, 2014**.
- Submit three copies of the *Final* 2015 FTIP and any amendments to Caltrans and post the *Final* 2015 FSTIP on the Metropolitan Planning Organization's (MPO's) website by **October 1, 2014**.
- Email the link to the 2015 *Final* FSTIP by **October 1, 2014**.

II. Checklist for FTIP Package Submittal:

- Project Listings
 - Identify those projects that are Transportation Control Measures (TCMs)
- Detailed listings for grouped projects (back-up listings)
- Signed board resolution that addresses the following:
 - Consistency with the metropolitan transportation planning regulations per Title 23 Code of Federal Regulations Part 450
 - Consistency with the Regional Transportation Plan (RTP) ____ (e.g. 2030)
 - Financial constraint – the enclosed financial summary affirms availability of funding
 - Meets Air Quality Conformity
 - Does not interfere with the timely implementation of the TCMs contained in the State Implementation Plan (SIP)
 - Completion of the public participation process in accordance with the MPO's Public Participation Plan (PPP)
- Project listings included in the Final 2015 FTIP are available in the California Transportation Improvement Program System (CTIPS)
- Financial Summary (Attachment A)
 - Includes financial information covering the first four years of the FTIP
 - Email the Excel file to your FTIP Coordinator
- Air quality conformity analysis and determination
- PPP/Interagency Consultation
- Expedited Project Selection Procedures (EPSP) documentation
 - Include the following statement: *"Projects from the first four years of the 2015 FTIP have been selected using the approved project selection procedures."*
- Three copies of the Final 2015 FTIP mailed to:

California Department of Transportation
Office of Federal Transportation Management Program, MS 82
P.O. Box 942874
Sacramento, CA 94274-0001
Attention: Muhaned Aljabiry

GENERAL GUIDANCE

This guidance is not intended to supersede any federal regulations. FTIPs must comply with applicable metropolitan transportation planning regulations per Title 23 Code of Federal Regulations Part 450.

- At the start of the public review period, but not later than September 2, 2014, MPO's must transmit two copies of their Draft 2015 FTIP to Caltrans. All items listed on the FTIP Checklist, with the exception of the signed board resolution, must be included. If this deadline is missed, your FTIP will not be included in the FSTIP until after it has been approved by FHWA/FTA. Caltrans will be required to post your FTIP for public review for 14 days.
- Amendment and/or administrative modifications to the board-adopted FTIPs will be included as part of the Draft FSTIP provided they are received by October 1, 2014. Note that MPOs with delegated authority from Caltrans may only approve administrative modifications for their existing 2013 FTIP, and not to the 2015 FSTIP during this time. If the deadline is missed, any amendments and/or administrative modifications will be processed after FHWA/FTA approval of the 2015 FSTIP.
- Federal regulations require FTIPs to identify costs for maintaining and operating the system of Federal-aid facilities. Include the basis for the calculations of operations and maintenance needs for your region. Provide analysis of revenues dedicated for those activities in the FTIP Financial Plan. Also, address any anticipated shortfall in available revenue and the plans to address the shortfall.
- For Planning Studies (non-transportation capital), verify these projects are included in the Overall Work Program rather than the FTIP.
- The total funding for each phase shall be shown in the year of obligation (E-76)
- Group Project Listings: Guidance for grouping projects in air quality nonattainment or maintenance areas is provided in Attachment B. For MPO areas and Rural non-MPO counties that are classified as air quality attainment (SBCAG, AMBAG, and Shasta), refer to 23CFR771.117 (c) and (d) for additional information on projects that can be classified as "Categorical Exception (CE)." For those areas, projects that are not considered regionally significant and qualify as CE may be grouped together. MPO's are responsible to make the eligibility determination for projects to be included in grouped project listings.
- Projects must be included in the FSTIP to receive environmental approval. Therefore projects with no funding programmed within the first four years of the FTIP and are programmed in order to receive an environmental document approval must add the following to the project description:
 - RTP Reference and project completion date
 - "Project included in the FTIP for environmental approval."
- Each project in the FTIP shall include the following information:
 - Sufficient description (i.e., type of work, termini, and length) to identify the project. See the section below for more information.
 - Total project cost based upon the latest estimates which may extend beyond the four years of the FTIP. Cost estimates must use an inflation rate to reflect "year of expenditure dollars" based upon reasonable financial principals and assumptions and be included in your "Financial Plan." In nonattainment and maintenance areas, projects in the first two years of the FTP shall be limited to those for which funds are available and committed.
 - The amount of Federal funds proposed to be obligated during each program year (for the first year, this includes the proposed category of Federal funds and source(s) of non-federal funds. For the second, third, and fourth years, this includes the likely category or possible categories of Federal funds and source(s) of non-federal funds).
 - Required non-federal matching funds

- Implementing agency
- Corresponding Regional Transportation Plan (RTP) number or RTP page number. MPOs that use CTIPS to develop their FTIPs may use the “Project Title, Location & Description” field or the “MPO Comments” field to include RTP information.

Highway Projects (State Highways/Local Roads) Description Format

Description Formula: [(Location :) + (Limits) + (;) + (Improvement)]	
Location:	The nearest city or significant town illustrated on state highway maps. If the project is located more than five miles away from the city or town, then prefix the city name with “East, West, North, or South of.” <ul style="list-style-type: none"> • <i>In Bakersfield:</i> • <i>South of Bakersfield</i>
Limits:	Project limits can be stated as from one road to another. Other boundary landmarks, such as rivers, creeks, state parks, freeway overcrossings, can be used in-lieu of streets or roads. <ul style="list-style-type: none"> • <i>Between 1st Street and Pine Boulevard;</i> • <i>North of Avenal Creed to South of Route 33;</i> • <i>At Rock Creek Bridge;</i>
Improvement:	Describes the work to be done. Include significant components of the improvement (in particular those that relate to air quality conformity). <ul style="list-style-type: none"> • <i>Rehabilitate roadway.</i> • <i>Convert 4-lane expressway to 6-lane freeway with 2 HOV lanes.</i> • <i>Construct left turn lane.</i>
Example: In Bakersfield: Between 1 st Street and Pine Boulevard; rehabilitate roadway.	

Transit Project Description Format

Description Formula: [(Location :) + (Limits) + (;) + (Improvement)]	
Location:	For work at spot locations for large (statewide) transit agencies: The nearest city or significant town illustrated on state highway maps. If the project is located more than five miles away from the city or town, then prefix the city name with “East, West, North, or South of.” <ul style="list-style-type: none"> • <i>In Bakersfield:</i> • <i>North of Bakersfield:</i> Otherwise: Skip this step.
Limits:	For work at spot locations (all agencies): Name of the station, description of facility, name the rail corridor for the project etc. <ul style="list-style-type: none"> • <i>Lafayette BART Station;</i> • <i>The Daly City Yard, adjacent to the Colma Station;</i> • <i>San Joaquin Corridor;</i> Otherwise: Skip this step.
Improvement:	Describes the work to be done. Include significant components of the improvement (in particular those that relate to air quality conformity). <ul style="list-style-type: none"> • <i>Construct a station.</i> • <i>Construct a child care facility.</i> • <i>Track and signal improvements.</i> Projects that apply to entire transit agency jurisdiction – describe activity <ul style="list-style-type: none"> • <i>Purchase of 59 buses -- 12 MCI's and 47 Standard 40 ft buses (note if expansion or replacement).</i> • <i>Paratransit van leasing.</i> • <i>Operating assistance for Sacramento Regional Transit.</i>
Example: North of Bakersfield: San Joaquin Corridor – Track and signal improvements. Lafayette BART Station; construct a child care facility. Operating assistance for Sacramento Regional Transit.	

Use of Toll Credits

Federal-aid highway projects typically require sponsors to provide a certain amount of non-federal funds as match to federal funds. However, if you have enough federal-aid highway funds to pay the required non-federal match for a project, you may be able to take advantage of Toll Credit (TC) provisions. When using TCs, the non-federal matching requirement for a project no longer has to be met with non-federal funds. Instead, the federal funds for a project can be increased in accordance with the amount of toll credits being claimed up to the non-federal matching amount required for the federal Program Code being used.

TCs can be used for the four-year duration of the 2015 FTIPs for state and local highway and for transit projects. Note that the use of TCs does not generate additional federal funding and is limited to the non-federal match required for the federal apportionments available in any given year.

Programs for which Toll Credits may be used:

STIP	Projects with the construction cost (excluding support costs) and/or the right of way cost (excluding support costs) greater than \$1 million are eligible to receive TCs.	STIP AC
SHOPP	All SHOPP projects shall be programmed with 100% SHOPP AC	SHOPP AC
Highway Maintenance	All projects shall be programmed with 100% federal funds (STP or NHS) using TCs.	STP or NHS
State Minor	All eligible projects shall be programmed with 100% "SHOPP-AC – Minor Program" fund type (flexible federal fund type) using TCs.	SHOPP AC – Minor Program
HBP – Off System Projects	TCs are to be used for the "Off federal aid system" projects.	HBP
HBP – On System projects	TCs can be used for the "On federal aid system" projects using other eligible federal funds.	Eligible federal funds (e.g. CMAQ, RSTP)
HSIP	TCs can be used for projects from the local safety programs using other eligible federal funds	Eligible federal funds (e.g. CMAQ, RSTP)
CMAQ and RSTP	Projects may be programmed with TCs at MPO's discretion.	CMAQ,RSTP
FTA – Funded Projects	Projects funded from the formula programs are eligible to receive TCs. Below are the eligible programs. <ul style="list-style-type: none"> • 5307 including CMAQ and RSTP FTA transfer projects • 5309 • 5310 • 5311 including CMAQ and RSTP FTA transfer projects • 5316 • 5317 • 5337 • 5339 	Various

Projects using TCs shall note the "Use of TCs" in the project description in the FTIP.

2014 State Transportation Improvement Program (STIP)

- The total project cost must be programmed in the FTIP and all funding, including non-STIP funding, must be shown in the FTIP. (Note: If a phase is programmed outside of the 2015 FSTIP period, then the total project cost can be shown under the MPO comment section or in the project description in CTIPS).
- When a STIP project is transferred from the STIP into the FTIP in CTIPS through the “CTIPS Transfer Mechanism,” right of way support and construction support costs will be added to the corresponding capital costs. Please make sure to change the appropriate “STIP-RIP/IIP” fund type.
- With the passage of MAP-21 (Moving Ahead for Progress in the 21st Century Act), Congress eliminated the Transportation Enhancement (TE) Program and, in its place, established the Transportation Alternatives Program (TAP). The TAP is a competitive program and is *not* included in the STIP. Existing TE projects may remain in the 2015 FSTIP as long as they are eligible for State Highway Account or Federal funds in lieu of TE funds.
- Toll Credits can be used. Projects greater than \$1 million are eligible to receive TCs. TCs shall not be used if the non-federal matching requirement has already been met with other non-federal funds (e.g. Proposition 1B, local funds).
- MPOs may choose one of the following options for programming STIP projects:
 - a) **Recommended Option:** Use the CTC adopted 2014 STIP.
 - b) Use CTC staff recommendations.
 - c) Use the county and interregional shares information from the 2014 STIP Fund Estimate (FE).
http://www.dot.ca.gov/hq/transprog/ctcliaison/misc%20OCTCL%20Info/Final_2014_STIP_FE.pdf
 - d) Program only existing projects from the 2012 STIP that are to be re-programmed in the 2014 STIP.

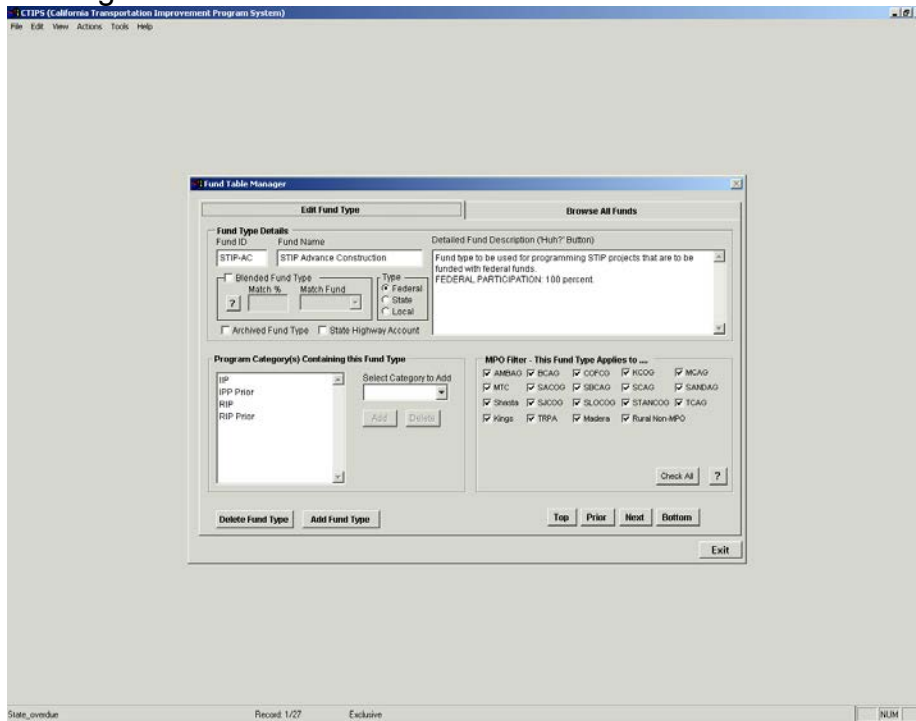
Note: For options b, c, or d, once the CTC adopts the 2014 STIP, an amendment will need to be processed to align the 2015 FTIP. The amendment shall be submitted with the final 2015 FTIP by October 1, 2014.

Timeline:

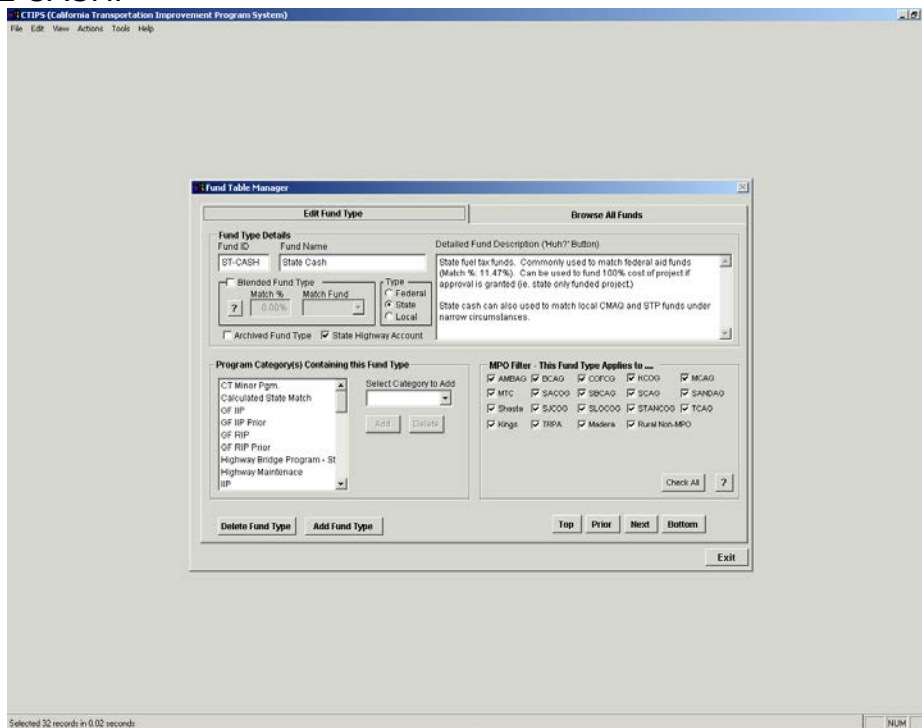
- February 27, 2014 – California Transportation Commission (CTC) staff recommendations for the 2014 STIP projects are expected to be released.
- March 21, 2014 – CTC adoption of the 2014 STIP.
- May 2014 – The 2014 STIP will be available in CTIPS for transfer into the FTIPs.

Projects that are eligible to receive TCs, STIP – IIP or RIP funding portion of the project (including all support and capital costs) shall be programmed with 100% “STIP-AC” fund types using TCs.

Any non-STIP project funding (e.g. Proposition 1B, local funds) shall be programmed in accordance with the STIP funding details in CTIPS.



Projects with construction costs (excluding support costs) and/or the right of way cost (excluding support costs) less than \$1 million, all STIP – IIP or RIP funding portion shall be programmed with 100% “STATE CASH.”



Projects multi-funded with federally eligible Local Assistance funding such as CMAQ, HPP, etc, shall program all STIP funds with 100% “STIP—AC.”

2014 State Highway Operation and Protection Program (SHOPP)

- Program all projects with 100% “SHOPP AC” fund type using TCs.
- For non-attainment areas, projects that are not exempt from air quality conformity determination must list those projects individually in the FTIP.
- For attainment areas, projects that are not classified as Categorical Exclusion must list those projects individually in the FTIP.
- In the financial summary, total revenue is equal to total programmed.

Note: MPOs may contact their District FTIP Coordinators if they need more information on the project scope in order to make the determination of non-Exempt/CE.

Timeline:

- January 29, 2014 – California Transportation Commission(CTC) staff recommendations for the 2014 SHOPP projects are expected to be released.
- March 21, 2014 – CTC adoption of the 2014 SHOPP.
- June 30, 2014 – The 2014 SHOPP will be available in CTIPS for transfer into the FTIPs.
- After June 30, 2014 – Caltrans will provide the SHOPP Grouped Project Listings.

Selected 9 records in 0.02 seconds

Various State and Federal Programs

Programming information for various federal-aid programs is posted on our website:
http://www.dot.ca.gov/hq/transprog/federal/var_fed_state_prog.htm

Active Transportation Program

The CTC is finalizing ATP guidelines.

California Transportation Improvement System (CTIPS)

Draft FTIP Module (Attachment C)
Fund Table (Attachment D)