

# 2015 Federal Transportation Improvement Program (FTIP) Development 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.

## Timeline

At the start of the public review period, but not later than September 2, 2014, MPO must transmit two copies of their Draft 2015 FTIP to Caltrans. We recommend the MPOs refer to the 2015 FTIP Checklist ( [http://www.dot.ca.gov/hq/transprog/federal/fedfiles/res\\_publications/2015-ftip-checklist.pdf](http://www.dot.ca.gov/hq/transprog/federal/fedfiles/res_publications/2015-ftip-checklist.pdf)) to ensure all items are included in the submittal with the exception of the signed board resolution. MPOs must submit the final 2015 FTIP to Caltrans by October 1, 2014. If an MPO misses FTIP submittal deadline, its FTIP will not be included in the FSTIP until FHWA/FTA approves the 2015 FSTIP. In this case, Caltrans will be required to post the MPO's FTIP for a 14-day public review period to comply with the FSTIP's Public Participation Plan.

## Amendments and/or administrative modifications

Amendments and/or administrative modifications to the board-adopted FTIPs received by Caltrans on or before October 1, 2014, will be included as part of the Draft FSTIP. Note that MPOs with delegated authority from Caltrans may only approve administrative modifications to their 2015 FTIP, and not to the 2015 FSTIP during this time. After October 1, 2014, any amendments and/or administrative modifications to the 2015 FTIPs will be processed after FHWA/FTA approves the 2015 FSTIP.

## Maintenance and Operations Costs

Federal regulations require FTIPs to identify costs of maintaining and operating the Federal-aid system. The FTIP must include the basis for the calculations of operations and maintenance needs for your region. An analysis of revenues dedicated for those activities must be included in the FTIP Financial Plan. Also, address any anticipated shortfall in available revenue and the plans to address such shortfall.

## Satisfying Public participation requirement for development of the Program of Projects (POP) for FTA 5307 Program through FTIP Development

FTA has determined that when a transit recipient follows the procedures of public involvement process outlined in the FHWA/FTA planning regulations, it satisfies the public participation requirements associated with development of the POP (that recipients of FTA Section 5307 funds must meet). In such case, the transit recipient shall coordinate with the MPO, and make sure the public knows that it is using the public participation plan associated with FTIP to satisfy the public hearing requirements for the POP. **The transit recipient must ensure the FTIP explicitly states that public notice of public involvement activities and time established for public review and comment for the FTIP will satisfy the POP requirements of the Section 5307 Program.**

## Project Listings

- For Planning Studies (non-transportation capital), verify that 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).

- Grouped Project Listings: Guidance for grouping projects in air quality nonattainment or maintenance areas is available at:  
[http://www.dot.ca.gov/hq/transprog/federal/fedfiles/res\\_publications/grouped\\_pjt\\_listings.pdf](http://www.dot.ca.gov/hq/transprog/federal/fedfiles/res_publications/grouped_pjt_listings.pdf)  
 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. MPOs are responsible for determining if projects are eligible for inclusion in the grouped project listings. Note that projects funded from the FTA funding can be grouped provided the detailed project list is readily available to FTA and the public. The detailed project list must be included in the FTIP (and in the FTIP Amendment) when it is circulated for public review.
- 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 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 the “Financial Plan.” Projects in air quality nonattainment and maintenance areas can be included in the first two years of the FTIP and FSTIP only if funds are "available or 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"> <li>• <i>In Bakersfield:</i></li> <li>• <i>South of Bakersfield</i></li> </ul>
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"> <li>• <i>Between 1<sup>st</sup> Street and Pine Boulevard;</i></li> <li>• <i>North of Avenal Creed to South of Route 33;</i></li> <li>• <i>At Rock Creek Bridge;</i></li> </ul>
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"> <li>• <i>Rehabilitate roadway.</i></li> <li>• <i>Convert 4-lane expressway to 6-lane freeway with 2 HOV lanes.</i></li> <li>• <i>Construct left turn lane.</i></li> </ul>

Example: In Bakersfield: Between 1<sup>st</sup> Street and Pine Boulevard; rehabilitate roadway.

## Transit Project Description Format

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

## 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, at the MPO's discretion, a project may be funded without the required non-federal match using Toll Credit (TC) provisions.

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"> <li>• 5307 including CMAQ and RSTP FTA transfer projects</li> <li>• 5309</li> <li>• 5310</li> <li>• 5311 including CMAQ and RSTP FTA transfer projects</li> <li>• 5316</li> <li>• 5317</li> <li>• 5337</li> <li>• 5339</li> </ul>	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 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 in the MPO comment section or in the project description field 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 Moving Ahead for Progress in the 21<sup>st</sup> Century Act (MAP-21), Congress eliminated the Transportation Enhancement (TE) Program and, 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 provided they are eligible for State Highway Account or Federal funds in lieu of TE funds.
- 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](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.

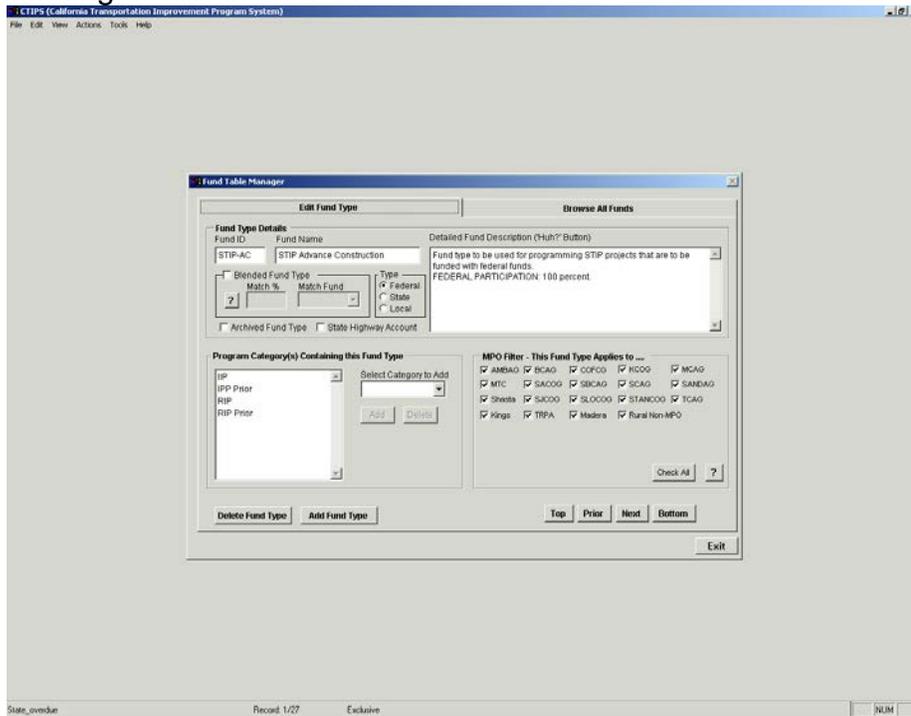
Note: For options b, c, or d, once the CTC adopts the 2014 STIP, the MPO must process an amendment to the 2015 FTIP to align its FTIP with the 2014 STIP and submit it with the final 2015 FTIP by **October 1, 2014**.

### Timeline:

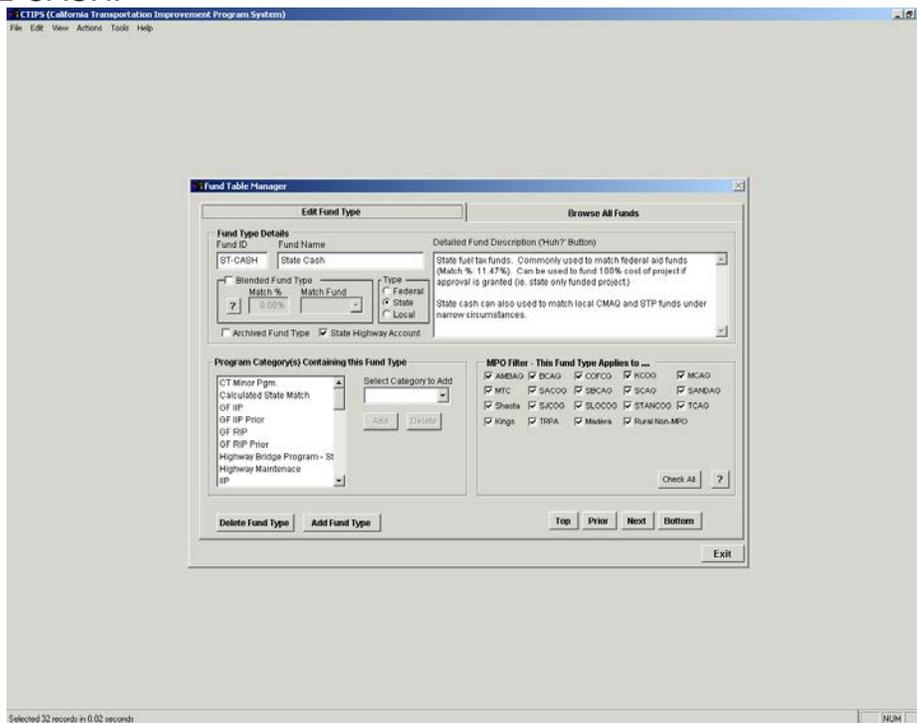
- February 27, 2014 – California Transportation Commission (CTC) staff recommendations for the 2014 STIP projects are expected to be released.
- March 21, 2014 – CTC adoption of the 2014 STIP.
- May 2014 – The 2014 STIP will be available in CTIPS for transfer into the FTIPs.

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

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) of less than \$1 million, all STIP – IIP or RIP funding portion must 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 be listed individually in the FTIP.
- For attainment areas, projects that are not classified as Categorical Exclusion (CE) must be listed individually in the FTIP.
- In the financial summary, the total revenue is equal to the 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 or CE.

### Timeline:

- January 29, 2014 – Caltrans to submit 2014 SHOPP to the CTC.
- 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.

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## Various State and Federal Programs

Programming information for various federal-aid programs is posted on:

[http://www.dot.ca.gov/hq/transprog/federal/var\\_fed\\_state\\_prog.htm](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- User's Guide is available at:

[http://www.dot.ca.gov/hq/transprog/federal/fedfiles/res\\_publications/draft-ftip-users032612.pdf](http://www.dot.ca.gov/hq/transprog/federal/fedfiles/res_publications/draft-ftip-users032612.pdf)

CTIPS Fund Table is available at:

[http://www.dot.ca.gov/hq/transprog/federal/fedfiles/res\\_publications/ctips-fund-sum-list.pdf](http://www.dot.ca.gov/hq/transprog/federal/fedfiles/res_publications/ctips-fund-sum-list.pdf)