

PROGRAMMING STATE MANAGED PROGRAMS

These guidelines are intended to be used for programming various federal aid programs managed by the state through the Program Managers (PMs) from the Division of Local Assistance, Division of Mass Transit and the Division of Rail. For the State Highway Operation and Protection Program (SHOPP), see “Programming of SHOPP Projects in FTIP/FSTIP” guidelines.

Background:

Title 23, Code of Federal Regulations (CFR), Section 450.216 (j) allows projects that are not considered to be of appropriate scale for individual identification in the Federal Transportation Improvement Program (FTIP) to be grouped by function, work type or geographic region using appropriate classifications.

For Metropolitan Planning Organization (MPO) areas that are classified as air quality attainment (SLOCOG, SBCAG, AMBAG and SHASTA as of November 2007), projects that can be classified as “Categorical Exclusion (CE)” can be grouped together by CE category. All other projects must be listed individually in the FTIP. Grouped project listings for MPO areas that are classified as either air quality non-attainment or maintenance, must be consistent with the “Exempt Project” classification in 40 CFR Part 93.126 and 93.127 (see attachment). It is the MPO’s responsibility to make the eligibility determination for projects to be included in grouped project listings. Funding for the projects that can be grouped together shall be programmed under “construction” phase in the FTIP.

Procedure for programming grouped projects in FTIP/FSTIP:

Grouped projects may be programmed in FTIP through one of the three options noted below.

A. For FTIP adoption or updates within the FTIP Cycle:

To include grouped projects in a new FTIP or to update a program within the current FTIP cycle:

1. PM prepares the detailed listings for each MPO as well as rural-non MPO regions that includes the following information:
 - a) Pertinent information such as program description, matching funds requirement and contact person for that program in the transmittal. Also provide any links for that program from the Federal Highway Administration, Federal Transit Administration and Caltrans’ websites, if available.
 - b) Project title, scope and the associated total project cost in Excel format (preferred).
 - c) Detailed listing may show funding for various phases (PE, RW and CON).
 - d) A statewide financial summary that reconciles the funding from detailed project listings per MPO must be provided. The statewide financial summary must show the type of federal funds and any applicable matching funds.
2. PM forwards the information to the Chief, Office of Federal Transportation Management Program (OFTMP) for transmitting to MPOs.
3. OFTMP transmits the information to MPOs.
4. MPOs program the projects in their FTIP through FTIP adoption (or FTIP amendment). OFTMP will process FTIP amendment for the projects from the rural-non MPO region.
5. MPOs will include the detailed grouped project listings in their FTIP (or FTIP amendment) when submitting it to OFTMP for approval.

B. FTIP amendment for an individual MPO:

An existing grouped project listing for an MPO may be modified in accordance with the followings:

1. In general, grouped project listings are not required to go through a public participation process unless the MPO's public participation plan requires it.
2. Projects may be added/deleted from an existing grouped project listing in the Federal Statewide Transportation Improvement Program (FSTIP) in a short timeframe through the FTIP amendment process. Refer to FSTIP Modification Guidelines for information (see link below).

<http://www.dot.ca.gov/hq/transprog/federal/fedfiles/amendmentprocedures.pdf>

3. A project contained in an existing grouped project listing programmed within the 4-year element of the current FSTIP may be implemented prior to amending the FSTIP for a cost increase with the consent of the PM. In such case PM must confirm the availability of funding in the respective MPO's FTIP at the time of implementation. A subsequent FTIP amendment request must be sent to MPOs to reconcile these changes through FTIP amendment process. Refer to "**Procedure for FTIP amendments**" outlined below.
4. If the revisions made by the PM to the detailed project listing do not change the total programmed funding for a grouped project listing in the FTIP, no FTIP amendment is required; but the revised detailed project listing must be transmitted to the affected MPO and the appropriate FTIP Coordinator from OFTMP.

Procedure for FTIP amendments:

1. PM prepares documentation required for the FTIP amendment. The information must be prepared in accordance with the guidelines noted under section "A" above.
2. PM forwards the information to the appropriate FTIP Coordinator from OFTMP.
3. OFTMP FTIP Coordinator forwards the information to the appropriate MPO(s).
4. MPOs will program the information in their FTIP through FTIP amendment process. OFTMP FTIP Coordinator will process FTIP amendment if the projects are from the rural non-MPO region.
5. MPOs will include the detailed project listings in their FTIP amendment when submitting it to OFTMP for approval.
6. OFTMP will transmit the state approval letter for the FTIP amendment to the appropriate Office Chief in the Division of Local Assistance, Division of Mass Transit and the Division of Rail. OFTMP will post the FTIP amendment, state and federal approval letters on its website. Status of a FTIP amendment can be found out from this website. See link below.

<http://www.dot.ca.gov/hq/transprog/fedpgm.htm>