State of California
DEPARTMENT OF TRANSPORTATION

Business, Transportation and Housing Agency

Memorandum

Flex your power!
Be energy efficient!

To: SHOPP Project Managers
FTIP Program Coordinators

Date: March 27, 2007

From: MUHANED ALJABIRY
Office Chief, FSTIP

RICK GUEVEL
Office Chief, SHOPP

Subject: Programming of SHOPP projects in FTIP/FSTIP

The Federal Statewide Transportation Improvement Program (FSTIP) and the State Highways Operations and Protection Program (SHOPP) Offices have developed procedures for programming and amending SHOPP projects in the FSTIP.

The following documents are enclosed:

1) FTIP development flowchart,
2) General FTIP amendment process flowchart,
3) Programming SHOPP Projects in FSTIP
4) Vote Request Form (located at http://www.dot.ca.gov/hq/transprog/Allocation/Funds%20Request%20Form.doc)
5) Contact lists (SHOPP/FSTIP Office staff)

All SHOPP projects that are funded with federal funds must be included in the approved FSTIP at the time of obligation (E-76). Programming of projects in the FSTIP can be a multi-agency and time intensive effort. SHOPP Project Managers and District FTIP Coordinators must work together with Metropolitan Planning Organization (MPO) staff to ensure appropriate and timely programming of projects in the FTIP.

For assistance, please contact the appropriate staff from FSTIP and SHOPP Offices as identified in enclosure #5.

Enclosures

c: MPO FTIP Coordinators (w/enclosures)
FFalakfarsa (w/enclosures)
RSteen (w/enclosures)

bc: MAljabiry
RGuevel
FSTIP Staff (w/enclosures)
SHOPP Staff (w/enclosures)

PROGRAMMING SHOPP PROJECTS IN FSTIP

STEP	WHO	WHAT	WHEN/TIME REQUIRED
A	Headquarters (HQ) SHOPP Office/ California Transportation Commission (CTC)	**Four-Year SHOPP Programming Document** – • Caltrans HQ SHOPP Office prepares draft 4-year SHOPP Programming document. • Draft document is distributed to districts, regional agencies, and CTC for review. • CTC approves SHOPP. • HQ SHOPP Office enters SHOPP into California Transportation Improvement Program System (CTIPS) after CTC approval.	Between September of odd numbered year and April of following even numbered year
B	HQ FSTIP Office	**Generation of SHOPP Grouped Project Listing for FTIP** • Caltrans HQ FSTIP Office generates SHOPP Grouped Project Listings* for base FTIPs after it is entered in CTIPS. • Caltrans HQ FSTIP Office transmits Grouped Project Listings to Metropolitan Planning Organizations (MPOs), District FTIP Coordinators and SHOPP HQ.	April/May of even year
C	MPO	**FTIP Submittal to Caltrans HQ FSTIP Office** • MPO uses Grouped Project Listing to develop and approve FTIP. • MPOs submit approved FTIPs to Caltrans HQ FSTIP Office. o FTIPs include SHOPP Grouped Project Listings from 2 above.	No later than August 1 of even year
D	Caltrans Director/HQ FSTIP Office	• Caltrans FSTIP HQ Office prepares the FSTIP. o Includes all FTIPs and rural non-MPO information. • Caltrans FSTIP HQ Office submits the FSTIP to FHWA/FTA for approval.	September 1 of even year
E	FHWA/FTA	• Approves FSTIP	October 1 of even year

*Grouped Projects: Projects that are exempt from the air quality conformity requirements in air quality non-attainment areas, and those that can be classified as "Categorical Exclusion" projects in an air quality attainment areas can be grouped under a "Grouped Project Listing" in FTIP.

PROGRAMMING SHOPP PROJECTS IN FSTIP

[redacted]

STEP	WHO	PROCEDURE
1 1a.	Districts/ HQ SHOPP Office	**New Projects:** • The District develops & submits a SHOPP amendment request for new projects to HQ SHOPP Office. • HQ SHOPP Office requests HQ Program Advisor Concurrence. • If concurrence granted, HQ SHOPP Office adds project into ongoing SHOPP amendment. • HQ SHOPP Office enters project information in CTIPS upon approval of SHOPP amendment by the Chief of Division of Transportation Programming. • District generates SHOPP Grouped Projects listing report from CTIPS for FTIP amendment request upon notification of SHOPP amendment approval in CTIPS by HQ SHOPP Office. • District forwards FTIP amendment request to the MPO. Copy also forwarded to HQ SHOPP Office, and HQ FSTIP Office. When necessary to avoid delaying allocation and advertisement of new high priority projects, the District FTIP Coordinator may forward FTIP amendment request to MPO as soon as HQ SHOPP Programming receives HQ Program Manager Approval.
OR		
1b.	Districts/ HQ SHOPP Office/ HQ Project Management	**Changes to programmed projects in current fiscal year:** • District prepares and sends PCR package to HQ Project Management. • PCR committee reviews and makes recommendation to the Executive Committee. • Executive Committee approves or denies PCR. • HQ Project Management sends a formal

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		memo to District. • As changes to the original programmed amount are not amended in CTIPS, District must manually enter the approved PCR information on the current SHOPP Grouped Project listing report generated from CTIPS. • District transmits request for an FTIP amendment to appropriate MPO that includes corrected Grouped Project listing report from above and a copy of the approved PCR, also copy of FTIP amendment is transmitted to HQ SHOPP Office and HQ FSTIP Office. **Note: that this process does not replace the ">120% Allocation Process".**

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PROGRAMMING SHOPP PROJECTS IN FSTIP

OR	WHO	PROCEDURE
1c.	Districts/ HQ SHOPP Office/ HQ Project Management	**Changes to programmed projects in future fiscal years:** • District prepares and sends PCR package to HQ Project Management. • PCR committee reviews and makes recommendation to the Executive Committee. • Executive Committee approves or denies PCR. • HQ Project Management sends a formal memo to District. • HQ SHOPP staff amends SHOPP and updates programmed cost in CTIPS for future fiscal year in accordance with PCR approval memo, and notifies District upon implementing changes in CTIPS. • District generates SHOPP Grouped Projects listing report from CTIPS for FTIP amendment request upon notification from HQ SHOPP Office. • District transmits request for an FTIP amendment to appropriate MPO that includes Grouped Project listing report from above, also copy of FTIP amendment is transmitted to HQ SHOPP Office and HQ FSTIP Office.

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STEP	WHO	WHAT	WHEN/TIME REQUIRED
2	MPO	**Amend Changes into FTIP** • MPO makes the determination if an administrative or a formal amendment is required in order to accommodate the changes received from District FTIP Coordinator. • MPO prepares FTIP amendment incorporating changes to SHOPP projects based on the information from Step 1. **For Administrative Amendment**: o MPO Executive Director has delegated authority from its board to approve amendment on its behalf (except for SANDAG). o 30-day public review may be required per MPO's public involvement process. **For Formal Amendment**: o 30-day public review may be required per MPO's public involvement process. o Air quality conformity determination may be required. o MPO Board approves amendment after public comment period ends, if required. • MPO transmits FTIP amendment to Caltrans HQ FSTIP office for approval	Time frames vary by MPO. District FTIP coordinator will know time frame.

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PROGRAMMING SHOPP PROJECTS IN FSTIP

STEP	WHO	WHAT	WHEN/TIME REQUIRED
3 3a	Caltrans HQ FSTIP Office	**Approve administrative FTIP amendment and include amendment into FSTIP:** o Caltrans has delegated authority from FHWA/FTA to approve and include amendment into FSTIP. No federal approval is required.	• Caltrans HQ FSTIP Office approves Administrative Amendments within 14 days of receipt. • FSTIP is updated when amendment is approved.
Or			
3b	HQ FSTIP Office/ FHWA and FTA	**Approve formal FTIP amendment and include amendment into FSTIP:** o HQ FSTIP Office approves amendment and forwards it to FHWA/FTA for approval and inclusion into the FSTIP o FHWA/FTA approve amendment for inclusion in FSTIP	• HQ FSTIP Office forwards formal amendments to FHWA/FTA for approval within 30 days of receipt. • FHWA/FTA approve formal amendments within approximately 30 days of receipt from HQ FSTIP Office.

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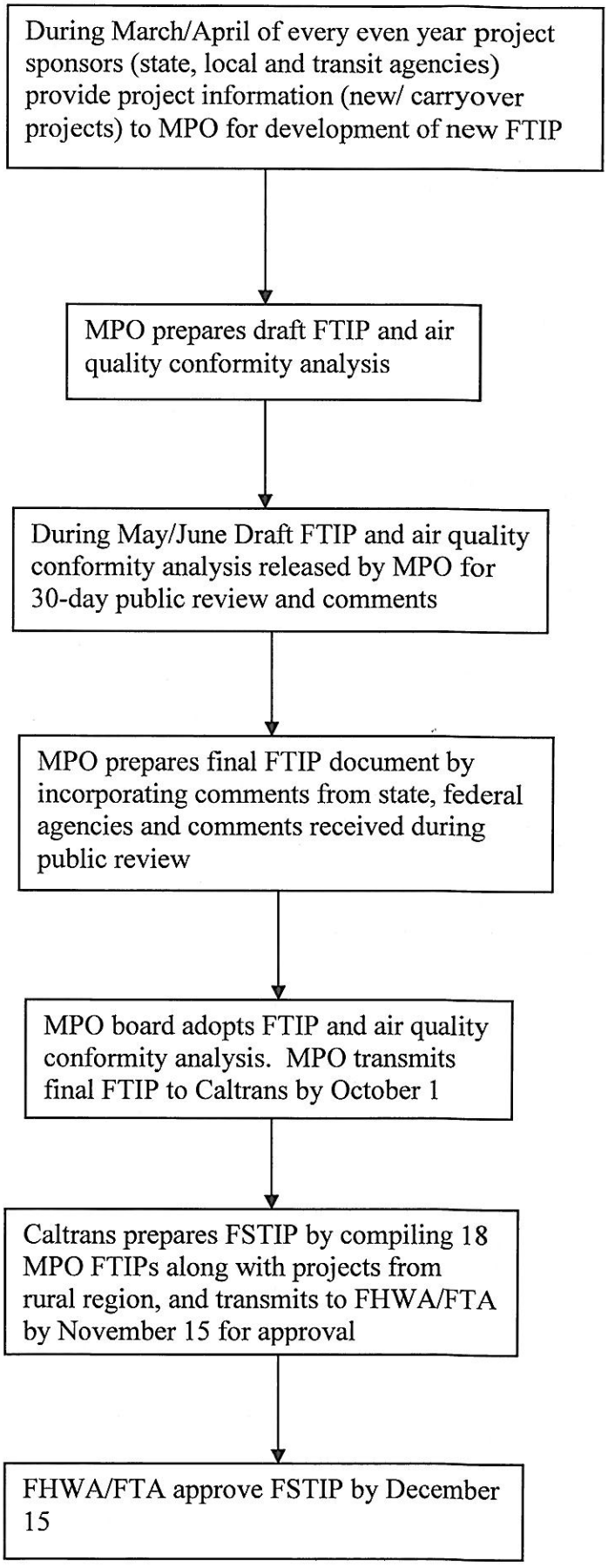
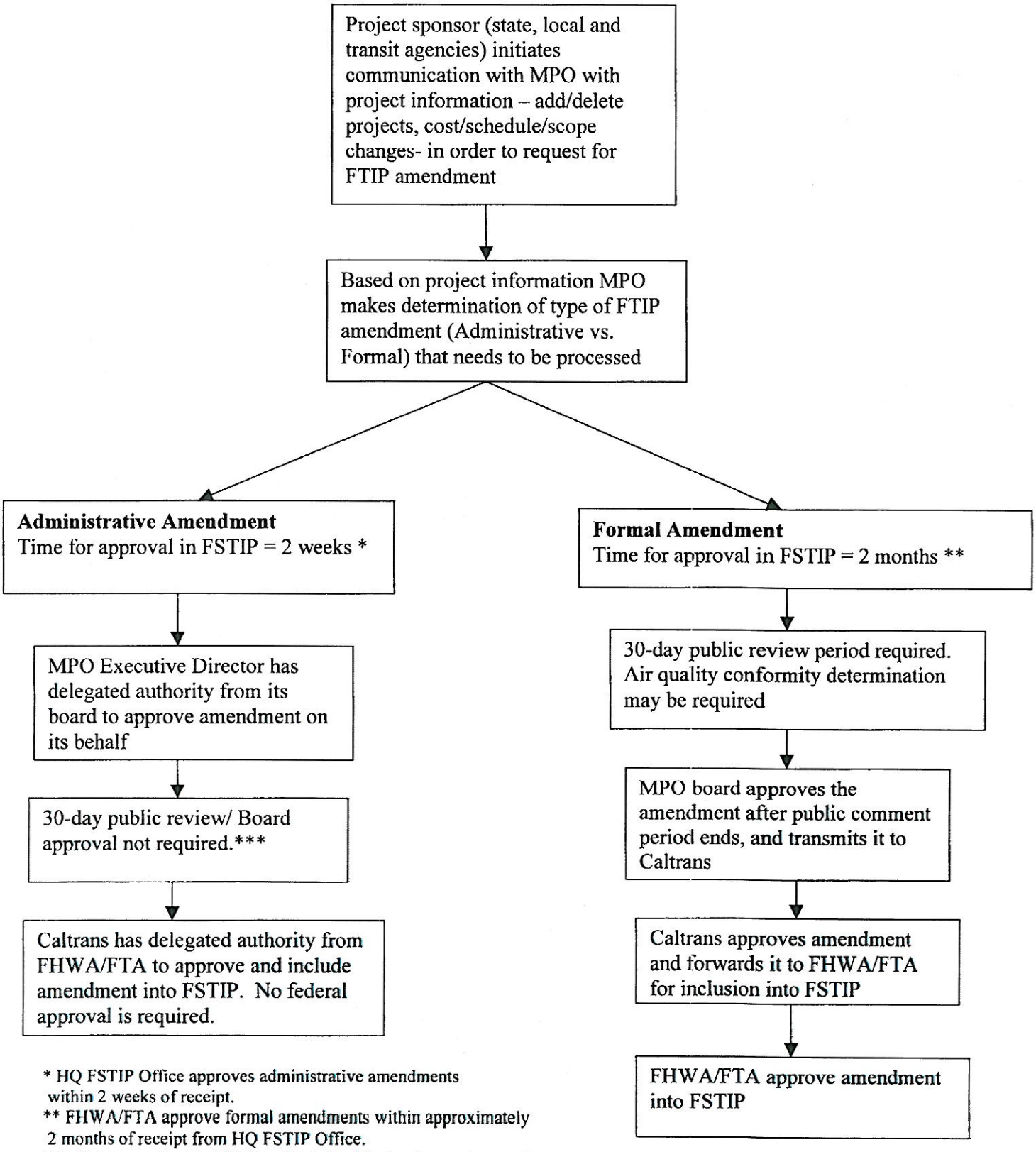
FTIP Development

- FTIP is a 4-year document updated every even year.



FTIP Amendment Process

- MPO may amend its FTIP Within FSTIP duration.



* HQ FSTIP Office approves administrative amendments within 2 weeks of receipt.

** FHWA/FTA approve formal amendments within approximately 2 months of receipt from HQ FSTIP Office.

*** Unless required by MPO's adopted public involvement procedure.

Office of Federal Transportation Management Program (OFTMP)

Office Chief

Muhaned Aljabiry - (916) 654-2983

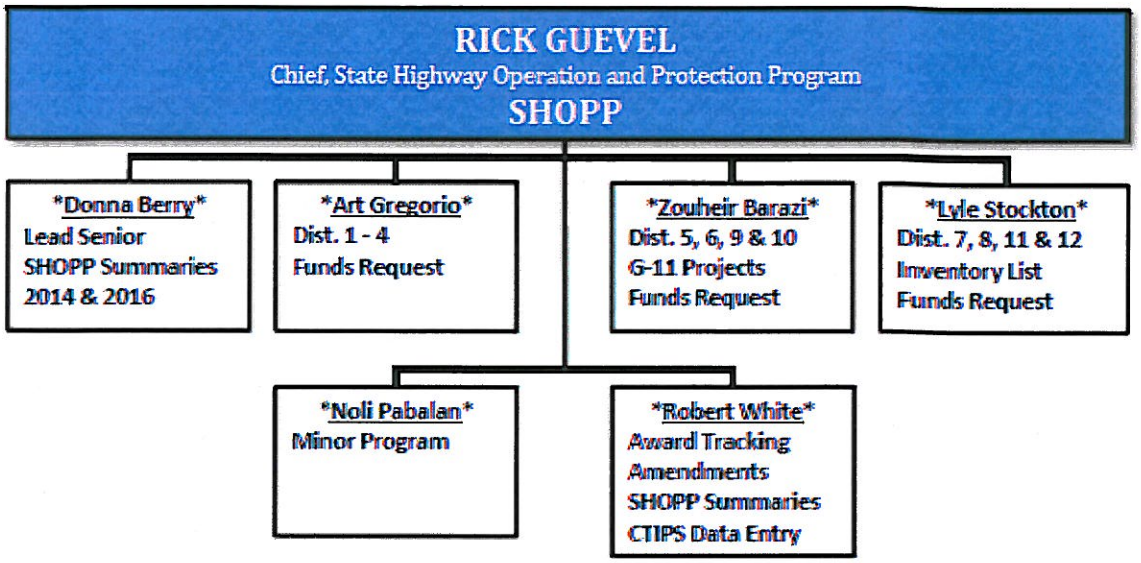
FSTIP/FTIP Coordinators

Abhijit Bagde (916) 654-3638 - AMBAG, MTC, StanCOG, SCAG, SCRTPA, TMPO, State Managed Programs, CFPG

Lilibeth Green (916) 654-3521 - Rural Non-MPO, Air Quality, Apportionment Distribution, FSTIP Financial Constraint

Dennis Jacobs (916) 654-4447 - BCAG, FCOG, KCOG, SACOG, SANDAG, SLOCOG, CTIPS Database, CMAQ Project Eligibility for BCAG, KCOG, FCOG, SACOG, SANDAG, STANCOG and TCAG

Lima Huy (916) 651-7411 - KCAG, MCAG, MCTC, SBCAG, SJCOG, TCAG, Public Participation, CMAQ Program Administrator, CMAQ Annual Report, CMAQ Project Eligibility for KCAG, MCAG, MCTC, MTC, SCAG, SJCOG, TMPO and Rural Non-MPO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SHOPP
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SHOPP Summaries
2014 & 2016
Art Gregorio
Dist. 1 - 4
Funds Request
Zouheir Barazi
Dist. 5, 6, 9 & 10
G-11 Projects
Funds Request
Lyle Stockton
Dist. 7, 8, 11 & 12
Inventory List
Funds Request
Noli Pabalan
Minor Program
Robert White
Award Tracking
Amendments
SHOPP Summaries
CTIPS Data Entry