2017 Federal Transportation Improvement Program (FTIP) Development Guidance

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

I. Update to the California State Statutes

Government Code 65074
Caltrans is required by state statute to submit the Federal Statewide Transportation Improvement Program (FSTIP) to Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) by December 1 of each even-numbered year.

Streets and Highways Codes 18.6 and 182.7
MPOs are required to submit FTIPs to Caltrans by October 1 of each even-numbered year.

II. Timeline

a) Submit two copies of the draft 2017 FTIP to Caltrans at the start of the public review period, but not later than September 1, 2016. Except for the signed board resolution, all items listed in the 2017 FTIP Checklist must be included.
b) Submit the final FTIP to Caltrans by September 30, 2016. Note: Only FTIPs received by the deadline will be included in the draft 2017 FSTIP to FHWA/FTA. Caltrans will not process late FTIPs until after the approval of the 2017 FSTIP, which is expected on 12/16/2016. These FTIPs will be posted separately for 14-days to comply with the FSTIP's Public Participation Plan (PPP).

Amendments and/or administrative modifications
Any amendment and/or administrative modification to the board-adopted FTIP received before September 30, 2016, will be included as part of the draft 2017 FSTIP. Note: MPOs with delegated authority from Caltrans may only approve administrative modifications to the 2017 FTIP, and not to the 2017 FSTIP during this time. Amendments and/or administrative modifications not received by September 30, 2016, will be processed after the 2017 FSTIP is approved.

III. Maintenance and Operations Costs

Include in the FTIP's financial plan an analysis of revenues dedicated for maintaining and operating the federal-aid system, including the basis for calculation. Address any anticipated shortfall in available revenues and describe plans to deal with the gap.

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

The FTIP's public involvement process can be used to satisfy the public participation requirement for the development of the POP for the FTA 5307 program. In such case, the transit recipient shall coordinate with the MPO, and ensure the public knows that it is using the public participation plan associated with FTIP to satisfy the public hearing requirements for the POP. MPO must ensure that the FTIP explicitly states that public involvement activities and time established for public review and comment for the FTIP will satisfy the POP requirements of the FTA 5307 Program.

V. Project Listings

a) Verify planning studies (non-transportation capital) are included in the Overall Work Program. They do not need to be listed in the FTIP.

b) Program funding for each phase of a project in the year of obligation (E-76).

c) Include Grouped Project Listing: See the guidance for grouping projects in air quality nonattainment or maintenance areas for further information, located here: 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 listing. Note: FTA-funded projects can be grouped, provided the detailed project list is made 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.

d) Include projects in the FSTIP that need environmental approval, even if no funds are identified within the four years of the FTIP. Reference the Regional Transportation Plan (RTP), the project completion date, and add the following language to the project description:
    1) "Project included in the FTIP for environmental approval."

e) Provide the following information for each project:
    1) Sufficient description (i.e., type of work, termini, and length) to identify the project. (See the section below for more information.)
    2) Total project cost based on the latest estimates which may extend beyond the four years of the FTIP. Cost estimates must use an inflation rate to reflect the "year of expenditure dollars" based on 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."
    3) 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).

4) Required non-federal matching funds.
5) Implementing agency.
6) Corresponding 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 the 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." f) *In Bakersfield:* g) *South of Bakersfield*
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. h) *Between 1st Street and Pine Boulevard;* i) *North of Avenal Creed to South of Route 33;* j) *At Rock Creek Bridge;*
Improvement:	Describes the work to be done. Include significant components of the improvement (in particular those that relate to air quality conformity). • *Rehabilitate roadway.* • *Convert 4-lane expressway to 6-lane freeway with 2 HOV lanes.* • *Construct left turn lane.*
Example: In Bakersfield: Between 1st 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." k) *In Bakersfield:* l) *North of Bakersfield:* 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. m) *Lafayette BART Station;* n) *The Daly City Yard, adjacent to the Coloma Station;* o) *San Joaquin Corridor;* 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. • *Construct a station.* • *Construct a child care facility.* • *Track and signal improvements.* Projects that apply to entire transit agency jurisdiction – describe activity • *Purchase of 59 buses -- 12 MCI's and 47 Standard 40 ft buses (note if expansion or replacement).* • *Para-transit van leasing.* • *Operating assistance for Sacramento Regional Transit.*
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.

VI. Use of Toll Credits

Federal-aid highway projects typically require sponsors to provide 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. The non-federal share match requirement can be met by applying an equal amount of TCs and therefore *allow a project to be funded at 100% federal* for federally participating costs. TCs can be used for the four-year duration of the 2017 FTIPs for state and local highway and for transit projects. Note: 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.

Toll Credits may be used for the following programs:

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
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. • 5307 including CMAQ and RSTP FTA transfer projects • 5309 • 5310 • 5311 including CMAQ and RSTP FTA transfer projects • 5316 • 5317 • 5337 • 5339	Various

***** Notate in the FTIP the "Use of TCs" in the project description for CMAQ and RSTP-funded projects.
Note: TCs shall not be used if the non-federal matching requirement has already been met with other non-federal funds

VII. 2016 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 2017 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 though the "CTIPS Transfer Mechanism," right of way support and construction support costs will be added to the corresponding capital costs. Ensure projects are programmed using the appropriate "STIP-RIP/IIP" fund type. 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. 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 California Transportation Commission (CTC) adopted 2016 STIP.
b) Use CTC staff recommendations.
c) Use the county and interregional shares information from the Revised 2016 STIP Fund Estimate (FE).
http://www.dot.ca.gov/hq/transprog/ctcbooks/2016/0116/Yellow_Items/Tab18_4.17.pdf
Note: For the first three years of the 2017 FTIP, program only existing projects from the 2014 STIP that are to be re-programmed in the 2016 STIP. Program new STIP projects, if any, in the fourth year of the 2017 FTIP. The total programmed STIP funding in 2017 FTIP must be constrained to the available STIP targets for the region per FE.
d) Program only existing projects from the 2014 STIP that are to be re-programmed in the 2016 STIP.

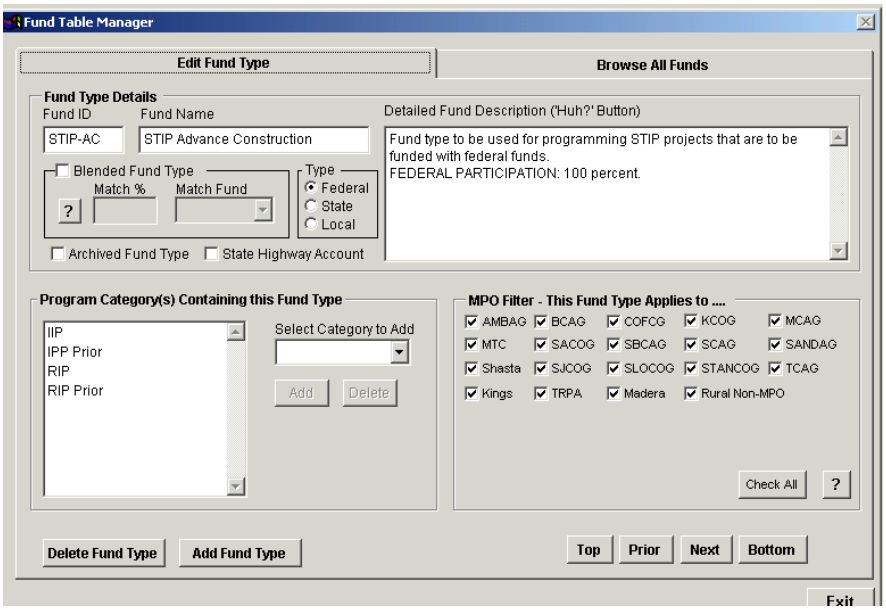
Note: Options b, c, and d, will require the MPO to process an amendment to align the FTIP with the 2016 STIP once the CTC adopts the 2016 STIP. The FTIP amendment must be submitted to Caltrans by **September 30, 2016**.

Timeline:

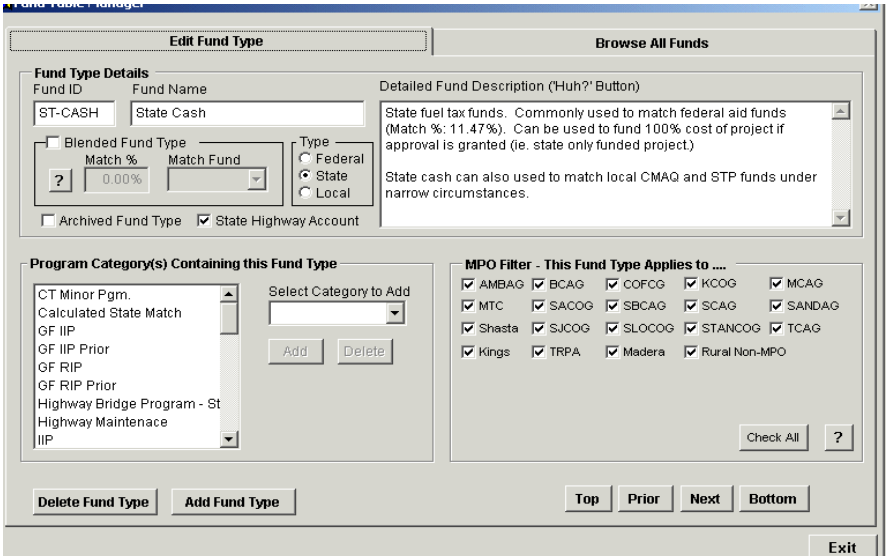
- ✓ April 22, 2016 – CTC staff recommendations for the 2016 STIP projects are expected to be released.
- ✓ May 18, 2016 – CTC adoption of the 2016 STIP.
- ✓ June 2016 – The 2016 STIP will be available in CTIPS for transfer into the FTIPs.

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) must be programmed consistent 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.”

VIII. 2016 State Highway Operation and Protection Program (SHOPP)

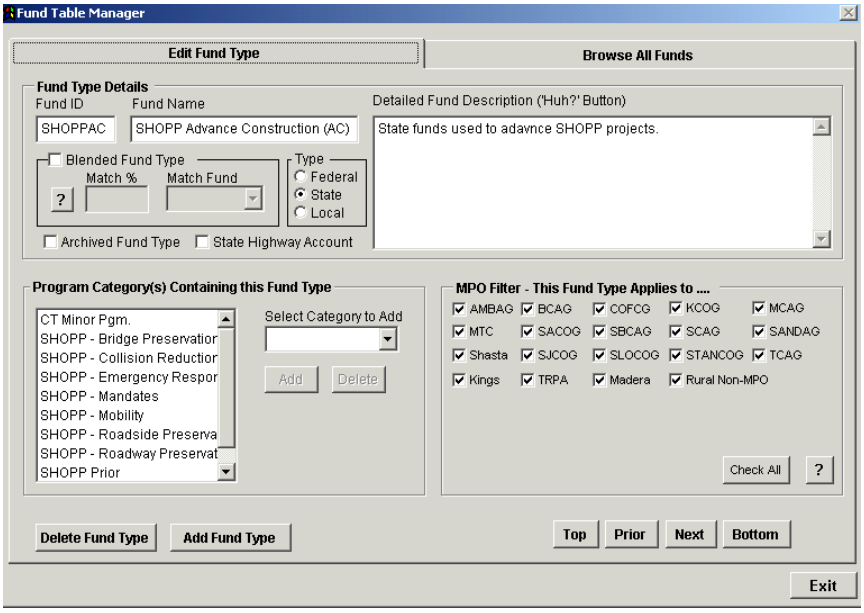
For non-attainment areas, projects that are not exempt from air quality conformity determination must be listed individually in the FTIP. For attainment areas, projects that are not classified as Categorical Exclusion (CE) must be listed individually in the FTIP.

- Program all projects with 100% "SHOPP AC" fund type using TCs.
- Verify in the financial summary that the total revenue is equal to the total programmed.

Note: MPOs are responsible for determining if a project can be classified as non-exempt or CE. Contact the District FTIP Coordinators if more information, such as a detailed project scope, is needed to make that determination.

Timeline:

- ✓ January 31, 2016 – Caltrans to submit proposed 2016 SHOPP to the CTC.
- ✓ March 2016 – CTC adoption of the 2016 SHOPP.
- ✓ July 1, 2016 – The 2016 SHOPP will be available in CTIPS for transfer into the FTIPs.
- ✓ After July 1, 2016 – Caltrans will provide the SHOPP Grouped Project Listings.



IX. 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

X. California Transportation Improvement System (CTIPS)

Draft FTIP Module - User's Guide is available here:
http://www.dot.ca.gov/hq/transprog/federal/fedfiles/res_publications/draft-ftip-users032612.pdf

CTIPS Fund Table is available here:
http://www.dot.ca.gov/hq/transprog/federal/fedfiles/res_publications/ctips-fund-sum-list.pdf