

2023 Federal Transportation Improvement Program (FTIP) Checklist for Caltrans FTIP Coordinator

I. Timeline:

Ensure each Metropolitan Planning Organization (MPO) submits the following items to Caltrans:

- ✓ The *Draft* 2023 FTIP at the start of the FTIP public review period but not later than **August 30, 2022**.
- ✓ Upload the final 2023 FTIP, along with any amendments and to the 2023 FTIP in the California Transportation Improvement Program System (CTIPS) by **September 30, 2022**.
- ✓ Email web-link to the Final 2023 FTIP and amendments to Caltrans by **September 30, 2022**.

II. FTIP Package Submittal:

Paper copies of the draft or final 2023 FTIPs are not required.

Verify that your draft and final FTIP package includes the following:

Project Listings

- Projects that are Transportation Control Measures (TCMs) are identified

Detailed listings for highway and transit grouped projects (back-up listings)

Board resolution that addresses the following. Include signed board resolution with your final 2023 FTIP.

- Consistency with the metropolitan transportation planning regulations per Title 23 Code of Federal Regulations (CFR) Part 450
- Consistency with the Regional Transportation Plan (RTP)____(e.g. RTP 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
- Compliance with the performance-based planning requirements
- Completion of the public participation process in accordance with the MPO's Public Participation Plan (PPP)

Federal Performance Measures:

- The FTIP must be designed such that once implemented, it makes progress toward achieving the performance targets established under 23 CFR 450.306(d).
- Include description of the anticipated effect of the FTIP toward achieving the performance targets identified in the metropolitan transportation plan/RTP, linking investment priorities to the performance targets.
- Submit FTIP Performance Measures Reporting Workbook in Excel via email.

Financial Summary

- Includes financial information covering the first four years of the FTIP
- Excel file submitted electronically using template dated 2/01/22

Include analysis of revenues dedicated for maintaining and operating the federal-aid system

Air quality conformity analysis and determination

PPP/Interagency Consultation

Expedited Project Selection Procedures (EPSP) documentation

Web link to the CMAQ and STBGP project selection process

2023 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. Timeline

Email Caltrans FTIP Coordinator the link to your draft 2023 FTIP at the start of the public review period, but not later than August 30, 2022. Except for the signed board resolution, all items listed in the 2023 FTIP Checklist must be included.

Submit the final 2023 FTIP and any amendments to Caltrans by September 30, 2022. Only FTIPs received by the deadline will be included in the final 2023 FSTIP submittal to FHWA and FTA. Once it is approved by the FHWA and FTA, the 2023 FSTIP will supersede the 2021 FSTIP and only projects included in the 2023 FSTIP can be obligated.

II. Amendments

Any amendment to the board-adopted 2023 FTIP received by September 30, 2022, will be included as part of the final 2023 FSTIP submittal to the FHWA and FTA. During this time, MPOs with delegated authority from Caltrans cannot approve administrative modifications to their board approved 2023 FTIPs until the 2023 FSTIP is approved by the FHWA and FTA.

Amendments not received by September 30, 2022, will be processed by Caltrans, FHWA and FTA after the 2023 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. Include the basis for calculation, address any anticipated shortfall in available revenues, and describe plans to address the gap.

iv. Performance-Based Planning and Programming Requirements for RTP and FTIP

Federal regulations require States and MPOs to take a performance-based approach to planning and programming. States, MPOs, and transit operators must establish targets in key national performance areas. Title 23 CFR 450.306 requires MPOs to establish performance targets in their metropolitan transportation planning process. The FTIP shall include the MPO's adopted performance targets and describe efforts toward achieving those targets.

This checklist should be used as a tool to ensure the requirements and best practices for addressing federal performance measures are adequately met in the FTIP.

Shall:

- 23 CFR 450.326
 - **(c)** The TIP shall be designed such that once implemented, it makes progress toward achieving the performance targets established under § 450.306(d).
 - **(d)** The TIP shall include, to the maximum extent practicable, a description of the anticipated effect of the TIP toward achieving the performance targets identified in the metropolitan transportation plan, linking investment priorities to those performance targets.

The FTIP Should:

- Include a dedicated discussion/section to address federal performance measures.
- Identify each federal performance measure and the most recent target set for each performance measure.
 - PM 1, 2, 3, TAM, PTASP
- Describe the MPO's targets for each performance measure (i.e. supporting the State's target or MPO is selecting its own targets).
 - For TAM and PTASP targets, MPOs collect targets from the transit agencies, but are required to set a regional target. Describe methodology for setting regional target.
 - Also describe the coordination efforts undertaken by the MPO to set each performance targets, such as coordination with the State, transit agencies, etc.
- The performance measures section of the FTIP should be consistent with the RTP, specifically, the System Performance Report, and should reference the RTP and/or refer the reader to more detailed information in the RTP System Performance Report.
- Explain how the projects programmed in the FTIP are consistent with the RTP goals, objectives, and/or strategies.
- Explain how the projects programmed in the FTIP align with the MPO's project selection criteria.
- Describe projects that are programmed in the FTIP that help to achieve or make progress towards achieving each of the performance targets (PM 1, 2, 3, TAM, PTASP).
 - Describe the funding program(s)/source(s) for the project(s).

- Identify whether the project is on the NHS (PM 2).
- Provide details about the existing conditions/performance and describe the anticipated conditions/performance once the project is implemented.

v. Satisfying Public Participation Requirement for the 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 Program of Projects (POP) for the FTA 5307 Program. To achieve this requirement, the transit recipient shall coordinate with the MPO to ensure the public is informed that its public participation plan associated with the FTIP is used to satisfy the public involvement requirements for the POP. The MPO must ensure that the FTIP explicitly states that public involvement activities and time established for public review and comment for the FTIP satisfy the POP requirements for the FTA 5307 Program.

vi. Financial Constraint/Financial Summaries

- a) Program CMAQ and STBGP funded projects up to the annual apportionment level for your region.
- b) Program projects from various Caltrans managed state consistent using the project listings from Caltrans.
- c) Include the FTIP Financial Summary Tables in the draft FTIP for public review. Notate any borrowing/loaning of apportionments in the financial summary table per agreements executed by Caltrans Local Assistance.
- d) Submit the financial summary tables dated June 2, 2020 in the final FTIP to Caltrans.

vii. Programming of Individually Listed Projects

- a) Verify planning studies (non-transportation capital) are included in the Overall Work Program. Planning studies 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) For projects with no funding programmed within the four-year FTIP cycle that are included in the FSTIP for environmental approval purpose, include the Regional Transportation Plan (RTP) Project Number, project completion date, the total project cost and add the following language to the project description:

"Project included in the FTIP for environmental approval."
- d) 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 engineering 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 project or phase.
- 4) Required non-federal matching funds.
- 5) Implementing agency
- 6) When programming an FTA-funded project from the prior FTIP into the 2023 FTIP, use the project description field (or "CTIPS MPO Comments" section) to list the fiscal year in which the funds were awarded, the amount, and the prior year fund type.
- 7) Corresponding RTP number or RTP page number. MPOs that use California Transportation Improvement Program System (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:	<p>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"> • <i>In Bakersfield:</i> • <i>South of Bakersfield</i>
Limits:	<p>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.</p> <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:	<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"> • <i>Widen roadway from existing 2 lanes to 4 lanes.</i> • <i>Convert 4-lane expressway to 6-lane freeway with 2 HOV lanes.</i> • <i>Construct left turn lane.</i>
<p>Example: In Bakersfield: Between 1st Street and Pine Boulevard; widen roadway from existing 2 lanes to 4 lanes.</p>	

Transit Project Description Format

Description Formula: [(Location :) + (Limits) + (;) + (Improvement)]	
Location:	<p>For work at spot locations for large (statewide) transit agencies:</p> <p>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">• <i>In Bakersfield:</i>• <i>North of Bakersfield:</i> <p>Otherwise: Skip this step.</p>

Limits:	<p>For work at spot locations (all agencies):</p> <p>Name of the station, description of facility, name the rail corridor for the project etc.</p> <ul style="list-style-type: none"> • <i>Lafayette BART Station;</i> • <i>The Daly City Yard, adjacent to the Coloma Station;</i> • <i>San Joaquin Corridor;</i>
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"> • <i>Construct a station.</i> • <i>Track and signal improvements.</i> <p>Projects that apply to entire transit agency jurisdiction – describe activity</p> <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>Para-transit van leasing.</i> • <i>Operating assistance for Sacramento Regional Transit.</i>
Example:	<p>North of Bakersfield: San Joaquin Corridor – Track and signal improvements.</p> <p>Operating assistance for Sacramento Regional Transit.</p>

viii. Programming of Grouped Projects

- a) Use the attached guidelines titled “Programming of Grouped Project Listings in Air Quality Non-Attainment or Maintenance Areas” (Attachment A) for programming grouped projects in air quality non-attainment or maintenance areas.
- b) Refer to 23CFR771.117 (c) and (d) for MPO areas (SBCAG, AMBAG, and Shasta) and Rural non-MPO counties that are classified as air quality attainment for information on projects that can be classified as “Categorical Exclusion (CE).” For these areas, projects that are not considered regionally significant and qualify as CE may be grouped together.
- c) MPOs are responsible for determining if projects are eligible for inclusion in the grouped project listing.

- d) FTA-funded projects can be grouped, provided the detailed project list is made available to the FTA and the public. The detailed project list must be included in the FTIP and in the FTIP amendment when circulated for public review.

ix. 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 satisfied by applying an equal amount of TCs, which allows a project to be funded with 100% federal funding for federally participating project costs. TCs do not generate additional federal funding and are limited to the non-federal match required for the federal apportionments available in any given year.

The current Caltrans federal funding policy excludes the STIP (IIP), SHOPP, and Highway Maintenance Program projects from the use of TCs. However, MPOs may use CMAQ and STBGP funds in lieu of the required federal match by using TCs for the programs listed below.

TCs may be used for the following programs:

PROGRAMS	CRITERIA	ELIGIBLE FUNDS FOR USING TCs
STIP	TCs can be used only for the RIP projects	Eligible federal funds (e.g. CMAQ, STBGP)
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. HIP, STBGP)
HSIP	TCs can be used for projects from the local HSIP using other eligible federal funds, except for certain countermeasures eligible to use HSIP funds.	Eligible federal funds (e.g. CMAQ, STBGP)
*CMAQ and RSTP	Projects may be programmed with TCs at MPO’s discretion	CMAQ, STBGP

FTA – Funded Projects	<p>Projects funded from the formula programs are eligible to receive TCs. Below are the eligible programs</p> <ul style="list-style-type: none"> • 5307 including CMAQ and RSTP FTA transfer projects • 5309 • 5310 • 5311 including CMAQ and RSTP FTA transfer projects • 5337 • 5339 	Various
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* Notate in the FTIP the “Use of TCs” in the project description for CMAQ and RSTP-funded projects.

TCs shall not be used if the non-federal matching requirement has already been met with other non-federal funds

x. 2022 State Transportation Improvement Program (STIP)

The total project cost and all funding, including non-STIP funding, must be shown in the FTIP. (If a phase is programmed outside of the 2023 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 are added to the corresponding capital costs.

MPOs may choose one of the following options for programming STIP projects:

- a) **Recommended Option:** Use the California Transportation Commission (CTC) adopted 2022 STIP.
- b) Use CTC staff recommendations.
- c) Use the county and interregional shares information from the 2022 STIP Fund Estimate (FE). <https://catc.ca.gov/-/media/ctc-media/documents/programs/stip/2022-stip/2022-stip-fund-estimate-shares-distribution-approved-aug-21-a11y.pdf>
- d) For the first three years of the 2023 FTIP, program only existing projects from the 2020 STIP that are re-programmed in the 2022 STIP. Program new STIP projects, if any, in the fourth year of the 2023 FTIP. The total programmed STIP funding in 2023 FTIP must be constrained to the available STIP targets for the region per FE.
- e) Program only existing projects from the 2020 STIP that are to be re-programmed in the 2022 STIP.

Options b, c, and d, require the MPO to process an amendment to align the FTIP with the 2022 STIP once the CTC adopts the 2022 STIP. The FTIP amendment must be submitted to Caltrans by **September 30, 2022**.

Timeline:

- ✓ **February 28, 2022** – CTC staff recommendations for the 2022 STIP projects are expected to be released.
- ✓ **March 16-17, 2022** – CTC adoption of the 2022 STIP.
- ✓ **May 1, 2022** – The 2022 STIP will be available in CTIPS for transfer into the FTIPs.

Ensure projects are programmed using the appropriate “STIP Advance Construction - RIP/IIP” fund type.

Any non-STIP project funding (e.g. Road Repair and Accountability Act Funding, Proposition 1B, local funds) must be programmed consistent with the STIP funding details in CTIPS.

Fund Table Manager - Google Chrome
 Secure | https://ctips-prod.dot.ca.gov/ctips/EditTypeFundForm.do

Edit Fund Type
Browse All Funds

Fund Type Details

Fund ID STIP-AC	Fund Name STIP Advance Construction	Detailed Fund Description ('Huh?' Button) Fund type to be used for programming STIP funding.
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Blended Fund Type

Match % 0.00	Match Fund ▼
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Archived Fund Type State Highway Account

Type

Federal
 State
 Local

Program Category(s) Containing this Fund Type

<div style="border: 1px solid black; padding: 2px;"> IIP RIP IIP Prior RIP Prior GF IIP GF IIP Prior GF RIP GF RIP Prior </div>	Select Category to Add ▼ <input type="button" value="Add"/> <input type="button" value="Delete"/>
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MPO Filter - This Fund Type Applies to ...

<input checked="" type="checkbox"/> AMBAG	<input checked="" type="checkbox"/> BCAG	<input checked="" type="checkbox"/> COFCG	<input checked="" type="checkbox"/> KCOG	<input checked="" type="checkbox"/> MCAG
<input checked="" type="checkbox"/> MTC	<input checked="" type="checkbox"/> SACOG	<input checked="" type="checkbox"/> SBCAG	<input checked="" type="checkbox"/> SCAG	<input checked="" type="checkbox"/> SANDAG
<input checked="" type="checkbox"/> Shasta	<input checked="" type="checkbox"/> SJCOG	<input checked="" type="checkbox"/> SLOCOG	<input checked="" type="checkbox"/> STANCOG	<input checked="" type="checkbox"/> TCAG
<input checked="" type="checkbox"/> Kings	<input checked="" type="checkbox"/> TRPA	<input checked="" type="checkbox"/> Madera	<input checked="" type="checkbox"/> Rural Non-MPO	

xi. 2020 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 “SHOPP Advance Construction (AC)” fund type.
- Verify in the financial summary that the total revenue is equal to the total programmed.
- Program Preliminary Engineering (PE) and Right of Way (RW) phases for the Contingency projects (G-13) and once Construction Capital and Construction Support phases are programmed in the 2022 SHOPP, District FTIP Coordinators will notify MPOs to program these phases in the 2023 FTIP.

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

Timeline:

- ✓ **January 31, 2022** – Caltrans to submit proposed 2022 SHOPP to the CTC.
- ✓ **March 16-17, 2022** – Anticipated CTC adoption of the 2022 SHOPP.
- ✓ **May 2, 2022** – The 2022 SHOPP will be available in CTIPS
- ✓ **By May 15, 2022** – Caltrans Programming will provide the SHOPP Grouped Project Reports.

Fund Table Manager - Google Chrome
 Secure | https://ctips-prod.dot.ca.gov/ctips/EditTypeFundForm.do

Edit Fund Type
Browse All Funds

Fund Type Details

Fund ID:

Fund Name:

Blended Fund Type

Match %: Match Fund:

Archived Fund Type State Highway Account

Detailed Fund Description ('Huh?' Button)

SHOPP funding shall be programmed with 100% "SHOPP Advance Construction (AC)" fund type.

Type: Federal
 State
 Local

Program Category(s) Containing this Fund Type

- SHOPP - Bridge Preservation
- SHOPP - Collision Reduction
- SHOPP - Emergency Response
- SHOPP - Mandates
- SHOPP - Mobility
- SHOPP - Roadside Preservation
- SHOPP - Roadway Preservation
- CT Minor Pgm.

Select Category to Add:

MPO Filter - This Fund Type Applies to ...

<input checked="" type="checkbox"/> AMBAG	<input checked="" type="checkbox"/> BCAG	<input checked="" type="checkbox"/> COFCG	<input checked="" type="checkbox"/> KCOG	<input checked="" type="checkbox"/> MCAG
<input checked="" type="checkbox"/> MTC	<input checked="" type="checkbox"/> SACOG	<input checked="" type="checkbox"/> SBCAG	<input checked="" type="checkbox"/> SCAG	<input checked="" type="checkbox"/> SANDAG
<input checked="" type="checkbox"/> Shasta	<input checked="" type="checkbox"/> SJCOG	<input checked="" type="checkbox"/> SLOCOG	<input checked="" type="checkbox"/> STANCOG	<input checked="" type="checkbox"/> TCAG
<input checked="" type="checkbox"/> Kings	<input checked="" type="checkbox"/> TRPA	<input checked="" type="checkbox"/> Madera	<input checked="" type="checkbox"/> Rural Non-MPO	

xii. Various Caltrans Managed State and Federal Programs

Caltrans Federal Programming Office provides MPOs information on various Caltrans managed state and federal programs (Highway Bridge Program, Highway Safety Improvement Program, Highway Maintenance Program etc.) as the listings become available. Ensure projects are programmed using the latest state managed program listings. Contact Caltrans Federal Programming Office for further assistance.

xiii. Electronic FSTIP (E-FSTIP)

To streamline and expedite the submittal and approval of the FSTIP, Caltrans implemented the Electronic Submittal and approval of the FSTIP (E-FSTIP). The E-FSTIP enables MPOs, Caltrans, the FHWA and the FTA to electronically submit and approve the FSTIP, FTIPs, and FTIP amendments. The new E-FSTIP process eliminated the need for the MPOs and Caltrans to submit hard copies of these federal programming documents for review and approval. The FHWA and FTA will also approve all federal programming documents for the 2023 FSTIP through the E-FSTIP.

MPOs must submit their 2023 FTIPs, FTIP amendments, administrative modifications, and air quality conformity determinations to Caltrans, by uploading these documents into the California Transportation Improvement Program System (CTIPS) database to obtain state and federal approvals.

Caltrans' approval of the federal programming documents in CTIPS will constitute the State's approval of the FTIPs and its amendments for inclusion into the FSTIP. FHWA's and FTA's entry of an approval date in CTIPS will constitute federal approval of the FSTIP, FTIP amendments, and associated air quality conformity determinations.

Use the "E-FSTIP Amendment Approval Procedures for MPOs" (Attachment B) for the instructions on how to upload your FTIP and FTIP amendments into CTIPS.

Attachments:

Attachment A: Programming Grouped project listings in air quality nonattainment or maintenance areas

Attachment B: E-FSTIP Amendment Approval Procedures for MPOs