

2021 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* 2021 FTIP at the start of the FTIP public review period but not later than **February 1, 2021**.
- ✓ Three copies of the *Final* 2021 FTIP, along with any amendments and administrative modifications to the 2021 FTIP by **March 1, 2021**.
- ✓ Web-link to the Final 2021 FTIP and amendments by **March 1, 2021**.

II. **FTIP Package Submittal:**

Verify the 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)
- Signed board resolution that addresses the following:
 - Consistency with the metropolitan transportation planning regulations per Title 23 Code of Federal Regulations 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)
- Project listings included in the Final 2021 FTIP are available in the California Transportation Improvement Program System
- Financial Summary
 - Includes financial information covering the first four years of the FTIP
 - Excel file submitted electronically using template dated June 2, 2020
- Description of the anticipated effort of FTIP towards achieving the performance targets identified in the RTP
- Air quality conformity analysis and determination
- PPP/Interagency Consultation
- Expedited Project Selection Procedures (EPSP) documentation
- Web link to the CMAQ project selection process
- Three copies of the Final 2021 FTIP mailed to:

**California Department of Transportation
Office of Federal Transportation Management Program, MS 82
P.O. Box 942874
Sacramento, CA 94274-0001
Attention: Muhaned Aljabiry**

2021 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

Submit two copies of the draft 2021 FTIP to Caltrans at the start of the public review period, but not later than February 1, 2021. Except for the signed board resolution, all items listed in the 2021 FTIP Checklist must be included.

Submit the final 2021 FTIP and any amendments and administrative modifications to Caltrans by March 1, 2021. Only FTIPs received by the deadline will be included in the final 2021 FSTIP submittal to FHWA and FTA. Once approved by FHWA and FTA, the 2021 FSTIP will supersede the 2019 FSTIP and no projects can be obligated from an FTIP that has not been included in the 2021 FSTIP.

II. Amendments and/or Administrative Modifications

Any amendment and/or administrative modification to the board-adopted 2021 FTIP received by March 1, 2021, will be included as part of the final 2021 FSTIP submittal to FHWA and FTA. During this time, MPOs with delegated authority from Caltrans cannot approve administrative modifications to their board approved 2021 FTIPs until the 2021 FSTIP is approved by FHWA and FTA.

Amendments and/or administrative modifications not received by March 1, 2021, will be processed by Caltrans, FHWA and FTA after the 2021 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. Performance-Based Planning and Programming Requirements for RTP and FTIP

Federal regulations require States and MPOs take a performance-based approach to planning and programming, and requires States, MPOs and transit operators to 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 MPO adopted performance targets and describe efforts toward achieving the targets.

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. 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 the FTIP 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 of the FTA 5307 Program.

vi. Financial Constraint/Financial Summaries

- a) Program CMAQ and STBGP funded projects to the annual apportionment level for your region.
- b) Program projects from various Caltrans managed state consistent with the project listings from Caltrans.
- c) Include FTIP Financial Summary Table in the draft FTIP when released for public review. Notate any borrowing/loaning of apportionments in the financial summary table per agreements executed by Caltrans Local Assistance.
- d) Provide the financial summary using Caltrans adoption template dated June 2, 2020 when submitting 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 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 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 (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 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:	For work at spot locations (all agencies):

	<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> <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"> • <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” 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 allowing 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 to supplement project funding 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. 2020 State Transportation Improvement Program (STIP)

The 2021 FTIPs should be consistent with the 2020 STIP adopted by the California Transportation Commission on March 25, 2020. The total project cost and all funding, including non-STIP funding, should be shown in the FTIP. (If a phase is programmed outside of the 2021 FSTIP period, then the total project cost can be shown in the MPO comment section or in the project description field in CTIPS).

2020 STIP projects are now available 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.

Ensure STIP project funding is programmed using the appropriate "STIP Advance Construction - RIP/IIP" fund type.

State bond funds (e.g. Road Repair and Accountability Act Funding, Proposition 1B), if any, should be programmed consistent with the STIP funding details in CTIPS.

The screenshot displays the 'Fund Table Manager' web application in Google Chrome. The browser address bar shows the URL: <https://ctips-prod.dot.ca.gov/ctips/EditTypeFundForm.do>. The page has a red header for 'Edit Fund Type' and a blue header for 'Browse All Funds'. The main content area is titled 'Fund Type Details' and contains the following fields and controls:

- Fund ID:** STIP-AC
- Fund Name:** STIP Advance Construction
- Detailed Fund Description ('Huh?' Button):** Fund type to be used for programming STIP funding.
- Blended Fund Type:** Includes a 'Match %' field (0.00) and a 'Match Fund' dropdown menu.
- Type:** Radio buttons for Federal (selected), State, and Local.
- Archived Fund Type:**
- State Highway Account:**
- Program Category(s) Containing this Fund Type:** A list box containing IIP, RIP, IIP Prior, RIP Prior, GF IIP, GF IIP Prior, GF RIP, and GF RIP Prior. A 'Select Category to Add' dropdown and 'Add/Delete' buttons are also present.
- MPO Filter - This Fund Type Applies to ...:** A grid of checkboxes for various MPOs, all of which are checked: AMBAG, BCAG, COFCG, KCOG, MCAG, MTC, SACOG, SBCAG, SCAG, SANDAG, Shasta, SJCOG, SLOCOG, STANCOG, TCAG, Kings, TRPA, Madera, and Rural Non-MPO. A 'Check All ?' button is at the bottom right.

At the bottom of the form, there are buttons for 'Delete Fund Type', 'Add Fund Type', 'Top', 'Prior', 'Next', 'Bottom', and 'Exit'.

xi. 2020 State Highway Operation and Protection Program (SHOPP)

CTC adopted the 2020 SHOPP on May 13, 2020.

Timeline:

June 9, 2020 – The 2020 SHOPP will be available in CTIPS.

After June 9, 2020 – Caltrans Federal Programming Office will provide the SHOPP Grouped Project Reports.

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.

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 2020 SHOPP, District FTIP Coordinators will notify MPOs to program these phases in the 2021 FTIP.

Verify in the FTIP financial summary table that the total revenue is equal to the total programmed.

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 such determination.

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 SHOPPAC	Fund Name SHOPP Advance Construction (AC)	Detailed Fund Description ('Huh?' Button) SHOPP funding shall be programmed with 100% "SHOPP Advance Construction (AC)" fund type.
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Blended Fund Type

?	Match % 0.00	Match Fund
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Type

Federal

State

Local

Archived Fund Type State Highway Account

Program Category(s) Containing this Fund Type

<ul style="list-style-type: none"> SHOPP - Bridge Preservation SHOPP - Collision Reduction SHOPP - Emergency Response SHOPP - Mandates SHOPP - Mobility SHOPP - Roadside Preservation SHOPP - Roadway Preservation CT Minor Pgm. 	<p>Select Category to Add</p> <div style="border: 1px solid #ccc; height: 20px; margin-bottom: 5px;"></div> <p style="text-align: center;">Add Delete</p>
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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	

Delete Fund Type

Add Fund Type

Top

Prior

Next

Bottom

Exit

xii. Various Caltrans Managed State and Federal Programs

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

Attachments:

Programming Grouped project listings in air quality nonattainment or maintenance areas