



**SOUTHERN CALIFORNIA
ASSOCIATION of GOVERNMENTS**



DRAFT 2017

FEDERAL TRANSPORTATION IMPROVEMENT PROGRAM

GUIDELINES

THIS PAGE INTENTIONALLY LEFT BLANK.

**DRAFT 2017
FEDERAL
TRANSPORTATION IMPROVEMENT
PROGRAM
(FTIP)**

Guidelines

The preparation of this report was financed in part through grants from the United States Department of Transportation – Federal Highway Administration and Federal Transit Administration – under provisions of the Moving Ahead for Progress in the 21st Century Act (MAP-21).

THIS PAGE INTENTIONALLY LEFT BLANK.

Table of Contents

I.	POLICY AND REQUIREMENTS	
A.	Introduction -----	Page 1
B.	General Overview of FTIP Process -----	Page 2
C.	FTIP Period -----	Page 3
D.	Policy Guidelines -----	Page 4
E.	The AB 1246 Process -----	Page 4
F.	SB 375 Sustainable Communities Strategy (SCS)-----	Page 5
G.	Purpose of Environmental Document to Programming-----	Page 6
	1. Environmental Codes -----	Page 7
H.	The State Transportation Improvement Program (STIP) -----	Page 8
I.	The Regional Transportation Plan/Sustainable Communities Strategy (RTP/SCS) -----	Page 9
	1. Implementation of RTP/SCS Modeled Projects -----	Page 9
	2. Implementation of Transportation Demand Management and Non-Motorized Investments -----	Page 10
J.	Regionally Significant Transportation Investment Studies (RSTIS) -----	Page 10
K.	Strategic Highway Safety Plan (SHSP) Related Plans -----	Page 11
L.	Consultation (Interagency) and Public Involvement -----	Page 12
M.	Regional Funding Priorities -----	Page 14
N.	Project Selection, Project Programming, and Expedited Project Selection Procedures Criteria -----	Page 14
	1. Project Selection -----	Page 14
	2. Project Programming -----	Page 15
	3. Expedited Project Selection Procedures -----	Page 15

O.	FTIP Amendment and Amendment Modification Approval Procedures – SCAG Executive Director Authority -----	Page 16
P.	SCAG’s Programming Principles for Federal STP and CMAQ Funded Projects -----	Page 17
Q.	Identifying ITS projects and Components -----	Page 18
R.	Annual Listing of Obligated Projects -----	Page 18
S.	Congestion Management Plan (CMP) Process -----	Page 19
T.	Active Transportation Program (ATP) -----	Page 22
U.	Standard Biennial FTIP Development Process Flowchart -----	Page 24
II.	SCHEDULES AND SUBMITTALS	
A.	Schedules -----	Page 25
	Adoption Schedule for the FY 2017 Federal Transportation Improvement Program -----	Page 25
	FY 2017 FTIP Checklist -----	Page 27
B.	Submittals to SCAG -----	Page 28
	1. Narrative -----	Page 28
	2. Timely Implementation of Transportation Control Measures (TCM’s) and TCM Identification -----	Page 28
	3. Financial Plan and Resolution -----	Page 29
	SAMPLE FINANCIAL RESOLUTION -----	Page 30
	4. Grouped Project Listings -----	Page 31
	5. Modeling Reports -----	Page 31
III.	TRANSPORTATION AIR QUALITY CONFORMITY AND MODELING	
A.	Transportation Air Quality Conformity Requirements -----	Page 32

- B. **Air Basins, Non-Attainment Areas, and Air Districts
In the SCAG Region----- Page 33**
- C. **Required Modeling for Transportation Conformity----- Page 42**
- D. **Regionally Significant Projects ----- Page 44**
- E. **Non-Federal/Non-Regionally Significant Projects 100%
Locally Funded ----- Page 52**
- F. **Projects Exempt from Conformity ----- Page 52**
- G. **Projects Exempt from Regional Emissions Analysis ----- Page 53**

- IV. **TRANSPORTATION CONTROL MEASURES (TCMs)**
 - A. **TCM Definitions and Categories ----- Page 56**
 - B. **TCM Rollover Process ----- Page 58**
 - C. **Substitution of Individual TCMs ----- Page 59**
 - D. **TCM Project Categories In the South Coast Air Basin (SCAB)
and the South Central Coast Air Basin (SCCAB) ----- Page 61**

- V. **PROGRAMMING, TIP DATABASE AND REFERENCES**
 - A. **Programming ----- Page 64**
 - 1. **General ----- Page 64**
 - 2. **Programming the Environmental Documentation in
The FTIP ----- Page 64**
 - 3. **Programming of Projects that do not Fit in any of the
Three Phases ----- Page 66**
 - 4. **Congestion Mitigation and Air Quality Program ----- Page 67**
 - 5. **Identifying ITS Projects and Components ----- Page 68**
 - 6. **Local Advance Construction ----- Page 68**
 - 7. **Toll Credits and Transportation Development
Credits (Transit) ----- Page 68**
 - 8. **Group Project Listing Procedure ----- Page 70**

- 9. Closeout of Right-of-Way Costs ----- Page 83
- 10. Performance Measures ----- Page 83
- B. TIP Database ----- Page 85
 - 1. Entering Projects into the SCAG TIP Database----- Page 85
 - 2. Project Descriptions----- Page 85
 - 3. Project Completion Dates ----- Page 87
 - 4. Transportation Control Measure (TCM) Process ----- Page 87
 - 5. File Attachment ----- Page 88
 - 6. Total Project Cost ----- Page 88
 - 7. Local Match ----- Page 88
 - 8. Programming Construction funds in multiple years ----- Page 89
 - 9. Parent Project Field ----- Page 89
 - 10. Congestion Management Plan (CMP) Measures ----- Page 89
 - 11. Active Transportation Program (ATP) ----- Page 89
 - 12. Financial Plan ----- Page 89
 - 13. Common Problems with Database Project Submittals --- Page 89
 - 14. Program Codes ----- Page 90
 - 15. Change Reason Codes ----- Page 92
 - 16. Project Status ----- Page 93
 - 17. 100% Prior Projects ----- Page 94
 - 18. Reports ----- Page 94
 - 19. TIP Database Screen & Instructions ----- Page 94
- C. Reference Section
 - 1. Program Codes ----- Page 95
 - 2. Conformity Category ----- Page 106

- 3. Lead Agencies ----- Page 106
- 4. Common Fund Sources ----- Page 112
- 5. Fund Codes ----- Page 118

VI. FINANCIAL PLAN

- A. Financial Plan Required Documentation ----- Page 128
- B. Capital and Operating Revenue & Expense Budgets for Major Bus and Rail Operators ----- Page 138
- C. SCAG Financial Plan Forecast/Revenue Estimates ----- Page 140

VII. ADMENDMENTS AND ADMINISTRATIVE MODIFICATIONS

- FSTIP/FTIP Administrative Modifications And Amendments Procedures ----- Page 145
 - 1. Administrative Modifications----- Page 145
 - 2. Amendments ----- Page 147
 - 3. Procedures ----- Page 147
 - 4. Consultation----- Page 148
 - 5. Submittals to SCAG ----- Page 149
 - 6. SCAG Staff Review of FTIP Amendments and Administrative Modifications ----- Page 151
 - 7. Public Participation Requirements ----- Page 152
 - 8. FTIP Administrative Modification and Amendment Schedule ----- Page 153

THIS PAGE INTENTIONALLY LEFT BLANK.

I. Policy and Requirements

I. POLICY AND REQUIREMENTS

A. Introduction

These 2017 Federal Transportation Improvement Program (FTIP) Guidelines have been prepared to facilitate the work of the County Transportation Commissions (CTCs) (Imperial, Los Angeles, Orange, Riverside, San Bernardino and Ventura Counties), transit operators, and the State of California Department of Transportation (Caltrans) in development of county Transportation Improvement Programs (TIPs) for inclusion in the Southern California Association of Governments (SCAG) 2017 FTIP. These Guidelines assist in the development of the county TIPs that fulfill the legal, administrative and technical requirements prescribed by the law and which minimizes duplicate efforts by the CTCs, Caltrans, SCAG and/or other agencies.

As these Guidelines are being written, language is subject to change as the 2017 FTIP Guidelines are being developed in a time of uncertainty. The first uncertainty at this time is if a new federal authorization transportation bill will be approved or what its contents will entail. The other uncertainty is that the 2016 Regional Transportation Plan and Sustainable Communities Strategy (RTP/SCS) is currently under development and once approved the 2016 RTP/SCS may require additional modifications to these guidelines.

The development of the 2017 FTIP Guidelines comes at a time when an emphasis on system performance and sustainability remain at the forefront. MAP-21, the Moving Ahead for Progress in the 21st Century Act (P.L. 112-141), signed into law by President Obama on July 6, 2012, signaled a new era that restructured several funding programs and initiated a performance based approach for transportation decision-making, and continues to be the transportation authorization bill through extensions. At the state level, Assembly Bill (AB) 32 (Global Warming Solutions Act of 2006) and Senate Bill 375 (Sustainable Communities and Climate Protection Act of 2008) aimed at reducing greenhouse gas emissions within the State. Such changes in federal and state policy have impacted the FTIP. Unfortunately, implementing guidance for incorporating these policy changes is not yet available. Therefore, SCAG must ensure that the projects selected by the CTCs comply with the policy changes resulting from MAP-21 and support the intent of improved system performance and sustainability while creating a transportation network that meets the needs of the general public, the primary users of the transportation system (see also information Section H (page 8 of these guidelines) related to the State Transportation Improvement Program (STIP) and the recently adopted 2016 STIP Guidelines).

The FTIP is the document prepared by a metropolitan planning organization (MPO) that lists projects to be funded with Federal Highway Administration (FHWA), Federal Transit Administration (FTA), Caltrans, and local funds for the next four-year period. The FTIP is the process by which the RTP/SCS is implemented. It does so through providing an orderly allocation of federal, state and local funds for use in planning and building specific projects. The FTIP is required to advance the RTP/SCS by programming the projects contained in the RTP/SCS, in accordance with federal and state requirements. These include specific requirements for scheduling of projects, financing, and the timely implementation of transportation control measures to help reduce air pollution.

Development of these guidelines is the first step in drafting the 2017 FTIP. It provides the framework and federal, state, and SCAG's requirements in developing the FTIP for the SCAG region. The FTIP is not the first step towards project selection and implementation, but a process

in which projects secure federal and state funds for implementation. The 2017 FTIP is the list of projects, using a combination of federal, state, and local funds that will implement a four year period consistent with SCAG's long range plan, the 2016 RTP/SCS. Like the RTP/SCS, the FTIP is dynamic. Changes to the FTIP occur frequently to accommodate changes in funding, project schedules, and even changes to a CTCs' priorities. The ability to "amend" projects allows for flexibility as thousands of projects in the region are at different stages of planning and construction. Ultimately these projects will be built to further enhance the transportation network.

The following sections provide detail as to what is required when programming projects in the FTIP and functions as a primer for the CTCs submittal of projects into the FTIP. **It should be noted that references to MAP-21 in these guidelines reflect the programmatic structure established in this law and applicable, current regulations under 23 CFR Part 450 (new implementing regulations have not yet been promulgated by FHWA/FTA).**

B. General Overview of FTIP Process

SCAG is required under both federal and state law to develop an FTIP (23 U.S.C. §134 (j) and 49 U.S.C. § 5303(j); 23 CFR Part 450; Cal. Government Code §14527, 65082 and Cal Public Utilities Code §130301 et seq.). The FTIP is the short-range program that implements the long-range RTP/SCS to accomplish improvements in mobility and air quality. SCAG is the MPO designated pursuant to federal law and transportation planning agency (and multi-county designated transportation planning agency) designated under state law for the six-county Southern California region. SCAG's planning boundaries encompass the following counties: Imperial, Los Angeles, Orange, Riverside, San Bernardino, and Ventura Counties. SCAG develops the FTIP in cooperation with the State (Caltrans), the CTCs, and public transit operators. Federal and state requirements applicable to the development of the FTIP include but are not limited to the following:

- Required under federal law to be updated at least every four years, approved by SCAG, and approved by the Governor. Pursuant to state law, SCAG updates the FTIP every two years.
- Developed consistent with the SCAG Public Participation Plan and the AB 1246 consultation process with the CTCs and Caltrans as set forth in the Public Utilities Code Section 130059.
- Consistent with SCAG's RTP/SCS as the FTIP implements the projects and programs in the plan.
- Compatible with the STIP development and approval process (see page 8 for discussion of the STIP process).
- Subject to compliance with the conformity requirements in the federally designated non-attainment and maintenance areas. In the South Coast Air Basin and in Ventura County, the FTIP shall give priority to eligible Transportation Control Measures (TCMs) identified in applicable State Implementation Plans (SIPs) in accordance with the U.S. Environmental Protection Agency (EPA) transportation conformity regulations (40 CFR Part 93) and shall provide for their timely implementation. TCMs are transportation projects and programs that are identified in applicable SIPs to help

- reduce air pollution from mobile sources. The 2017 FTIP must pass the five federal transportation conformity tests, including timely implementation of TCMs, regional emissions analysis, fiscal constraint, interagency consultation, and consistency with the RTP/SCS.
- Consistent with financial constraint regulations (23 CFR Part 450.324(i)) that stipulate “financial constraint shall be demonstrated and maintained by year and shall include sufficient financial information to demonstrate which projects are to be implemented using current and/or reasonably available revenues, while federally supported facilities are being adequately operated.” Projects in air quality non-attainment and maintenance areas can be included in the first two years of the FTIP and STIP only if funds are “available and committed” (23 CFR Part 450.324 (i)). Therefore, non-attainment and maintenance areas may not rely on proposed new taxes or other new revenue sources for the first two years of the FTIP and STIP until such sources have been enacted by legislation or referendum. In addition, federal funds distributed on a discretionary basis are not considered available or committed until they are awarded by a federal or state agency. Revenue and cost estimates for the FTIP must use an inflation rate(s) to reflect “year of expenditure dollars” based on reasonable financial principles and information (23 CFR Part 450.324 (h)).

These and other federal and state-mandated FTIP requirements are described in the sections that follow. Also described in these Guidelines is the process for implementing the FTIP program in the SCAG region in accordance with state and federal rules. The schedule for processing the 2017 FTIP is provided on page 25. A flow chart of the FTIP Development Process is provided on page 24.

C. FTIP Period

The FTIP must cover a period of not less than four years but may cover a longer period. The SCAG 2017 FTIP covers a six-year period, from October 1, 2016 (FFY16/17) to September 30, 2022 (FFY21/22). Projects listed in the last two years of the FTIP (FFY20/21 & FFY21/22) will be considered informational consistent with federal regulations. The FTIP program years coincide with the federal fiscal year (FFY) budget cycle which begins October 1st and ends September 30th of the following year.

MAP-21 provided funding for surface transportation programs at over \$105 billion for FFY 2013 and FFY 2014. A reauthorization or extension of the current transportation bill is expected to take place prior to the beginning of FFY 2016. More information may be found at <http://www.fhwa.dot.gov/map21/>.

The frequency and cycle for updating the FTIP must be compatible with the STIP development and approval process. In the State of California, under Government Code Section 14529, the STIP is a five-year program. The 2016 STIP Program will cover the five-year period from July 1, 2016 (FY16/17) to June 30, 2021 (FY20/21), and falls entirely within the SCAG 2017 FTIP six-year period.

D. Policy Guidelines

- The FTIP is the primary means of implementing the RTP/SCS.
- To ensure consistency with the RTP/SCS, staff will compare FTIP projects with the first 5 and 10-year implementation schedules of the RTP/SCS.
- Timely implementation of committed TCM projects is required for conformity findings in South Coast Air Basin (SCAB) and Ventura County/South Central Coast Air Basin (VC/SCCAB). TCM projects must be programmed prior to programming other capacity increasing projects.
- Each project in the County TIP submitted to SCAG must be consistent with and reflect investment priorities established in the most recently adopted metropolitan transportation plan, in accordance with MAP-21. Each FTIP project must show consistency with the project's design concept, and timely implementation as reflected in the adopted RTP/SCS.
- The FTIP shall also include projects and programs consistent with the Strategic Highway Safety Plan and other transit safety and security planning and review processes, plans and programs, as appropriate.
- In accordance with MAP-21, projects, once implemented must be designed to make progress toward achieving performance targets established pursuant to forthcoming federal guidance. (Once performance criteria is established, the criteria will be presented to the Regional Council prior to amending the FTIP guidelines to include such criteria.)
- To ensure successful compliance with SB 375, SCAG in collaboration with the CTCs shall work to achieve full compliance with the approved SCS. The CTCs will ensure that transportation infrastructure investments proposed in the counties' individual Long Range Transportation Plans (LRTP) shall compliment strategies identified in SCAG's RTP/SCS.

E. The AB 1246 Process

As set forth in the Public Utilities Code Section 130000 et-seq. (otherwise known as the "AB 1246 Process"), SCAG in developing the FTIP must also consult with the CTCs and Caltrans.

Pursuant to Section 130301 of the Public Utilities Code, "the multicounty designated transportation planning agency {SCAG} which includes the area of the {county transportation} commission shall be responsible for long-range transportation system planning, including preparation of the regional transportation plan..." More specifically, such planning shall be directed to, among other things: "{c}oordination of the plans and short-range transportation improvement programs developed by the commissions, including resolution of conflicts between such plans and programs" and "{r}eview and comment concerning all near-term transportation improvement programs after the development of, but prior to, adoption of such programs by the commission." Public Utilities Code § 130301(h) and (j).

Compliance with AB 1246 is handled through the Regional CEO's committee. This committee includes the CEOs of the CTCs and the Department of Transportation. The draft FTIP is presented to this committee for review and comment prior to SCAG RC adoption.

F. SB 375 Sustainable Communities Strategy (SCS)

With the advent of the Sustainable Communities and Climate Protection Act of 2008 (SB 375), Metropolitan Planning Organizations (MPOs) such as SCAG must demonstrate a relationship between the Regional Transportation Plan (RTP) and land use planning. The result, an RTP/SCS that identifies opportunities to develop housing and commercial centers along planned transportation networks. In effect, this will reduce greenhouse gas (GHG) emissions from passenger vehicles by lessening the distances traveled for work, school, or recreation. SB 375 does mandate that the SCS reduce GHGs by 2020 and 2035 and charges the California Air Resources Board (ARB) to establish GHG emission targets. The ARB must review the emission targets and approve the SCS for each of the MPOs throughout the State.

On April 4, 2012, SCAG adopted the first 2012–2035 Regional Transportation Plan/Sustainable Communities Strategy (RTP/SCS). SCAG's SCS includes specific actions and strategies that focus on five key areas: land use, the transportation network, transportation demand management, transportation system management (TSM), and clean vehicle technology. On June 4, 2012, under Executive Order G-12-039, ARB accepted SCAG's quantification of GHG emission reduction based on the strategies SCAG identified in the RTP/SCS. ARB confirmed that SCAG's RTP/SCS would be able to achieve a nine percent per capita reduction in GHG emissions by 2020 (up from the original eight percent first presented in the draft RTP/SCS due to modifications made to the plan after public comment) and a 16 percent per capita reduction by 2035.

After approval of the 2012 RTP/SCS, SCAG created six subcommittees responsible for implementing the 2012 RTP/SCS and identifying a policy framework for development of the 2016 RTP/SCS. These subcommittees included industry experts, non-profit organizations, and local elected officials that reported to SCAG's policy committees. The six subcommittees, Active Transportation, Goods Movement, High-Speed Rail and Transit, Transportation Finance, Sustainability, and Public Health Subcommittees developed recommendations which were considered by SCAG's policy committees. The policy committees forwarded approved recommendations to the Regional Council, which adopted the recommendations as a starting point in development of the 2016 RTP/SCS. Including an all-encompassing group of participants demonstrates that the road to sustainability is a collaborative effort.

As part of the development of the 2016 RTP/SCS, SCAG has formed specific working groups for potential components of the RTP/SCS. These working groups have been formed to assist in developing the framework and potential policies to be considered for inclusion in the 2016 RTP/SCS. These working groups include industry experts, non-profit organizations, and staff from County Transportation Commissions and local jurisdictions. The three specific working groups are for Active Transportation, Open Space Conservation and Public Health. Any potential policies and discussion topics will be brought to the respective policy committees and then to the Regional Council.

SCAG will ensure that the FTIP achieves transportation conformity as mandated by federal agencies. It is through this resolution that the FTIP conforms with the RTP/SCS consistent with Government Code Section 65080(b)(2)(B)(viii) and the Clean Air Act, (p. 142, 2012 SCAG

RTP/SCS). If the State requires a nexus between the FTIP and SCS and provides direction on how to achieve this relationship, SCAG will present this item to the Regional Council before amending the FTIP guidelines to incorporate such guidance.

SB 375 provides for CEQA streamlining for qualifying transit priority projects that are consistent with the adopted SCS. Such transit priority projects must be within one-half mile of a major transit stop or high-quality transit corridor included in the RTP/SCS (CA Public Resources Code Section 21155(b)). A major transit stop is as defined in CA Public Resources Code Section 21064.3, except that it also includes major transit stops that are included in the RTP/SCS. A high-quality transit corridor means a corridor with fixed route bus service with headways of 15 minutes or better during peak commute hours. SB 743, enacted in 2013, changes the way that transportation impacts are analyzed under CEQA within transit priority areas. These are defined as areas within one-half mile of a major transit stop that is existing or planned, if the planned stop is scheduled to be completed within the planning horizon included in the FTIP (Public Resources Code Section 21099(a)).

G. Purpose of Environmental Documents to Programming

Many transportation projects require environmental approval via either the National Environmental Policy Act (NEPA) or the California Environmental Quality Act (CEQA) process to satisfy federal and/or state regulations. These approvals are required so that projects can proceed forward from the planning stages to subsequent phases such as final design, right-of way (ROW) acquisition, and construction. While projects that are smaller in scope are usually exempt from complex environmental analysis, larger projects and projects that will require federal approvals need thorough analysis to ensure that impacts to the environment are minimized. Federal environmental documents will not be approved unless the project appears in the FTIP¹. Therefore it is important that the environmental process is captured in the FTIP. To program environmental documents in the FTIP, refer to page 64 in the Programming Chapter of these Guidelines.

While it is not uncommon for a project to undergo both the federal (NEPA) and state (CEQA) environmental review processes concurrently, there are two attributes that can determine if the project will require federal approval of its environmental analysis. The first attribute is if the project receives federal funding. A large number of the projects in the FTIP are funded with federal dollars and thus must undergo the NEPA process and receive federal approval of its environmental document. The second attribute is if a project requires federal permits or approval as part of the NEPA analysis, such as interstate access projects.

In order for federal projects to receive NEPA clearance, all project phases that fall within the four-year timeframe of the FTIP must be programmed in the FTIP. In addition, project scope and cost estimates in the environmental document must be consistent with the Regional Transportation Plan/Sustainable Communities Strategies (RTP/SCS) and the FTIP to receive the appropriate environmental clearance from the Federal agencies.

There are instances where a project sponsor will forego the NEPA process for a regionally significant project because the project will not utilize federal funds or require federal approval. However, projects are still subject to CEQA, a state statute that requires project sponsors to

¹ Environmental documents through NEPA such as the EIS and a FONSI or a CE will not be approved if the project is not in a federally approved FTIP.

identify the environmental impacts of a project or program of projects. These projects must be programmed in the FTIP as stated by title 23 CFR Part 450.324(d). All regionally significant projects must be in the FTIP.

Regardless of which environmental review process is initiated, the information must be included when programming projects in the FTIP. Not only is it required for federal approval of the environmental document, it also assists in developing the baseline scenarios for the regional emissions analysis. Therefore, it is important that accurate information for the environmental document and approval date be entered into the FTIP database.

Environmental Codes

Environmental Codes identify the proposed environmental document or the actual environmental document type obtained for the project. Environmental codes are listed below.

ENVIRONMENT CODE	DESCRIPTION	
CE	CATEGORICAL EXCLUSION -- NEPA	NEPA (FEDERAL)
EA/FONSI	ENVIRONMENTAL ASSESSMENT/FINDING OF NO SIGNIFICANT IMPACT -- NEPA	
EA/NOI	ENVIRONMENTAL ASSESSMENT/NOTICE OF INTENT TO PREPARE EIS -- NEPA	
DEIS	DRAFT ENVIRONMENTAL IMPACT STATEMENT -- NEPA	
FEIS/ROD	FINAL ENVIRONMENTAL IMPACT STATEMENT/RECORD OF DECISION -- NEPA	
CE	CATEGORICAL EXEMPTIONS -- CEQA	CEQA (STATE)
IS/ND	INITIAL STUDY/NEGATIVE DECLARATION -- CEQA	
IS/NOP	INITIAL STUDY/NOTICE OF PREPERATION OF EIR -- CEQA	
DEIR	DRAFT ENVIRONMENTAL IMPACT REPORT -- CEQA	
FEIR/NOD	FINAL ENVIRONMENTAL IMPACT REPORT/NOTICE OF DETERMINATION -- CEQA	
EA/DEIR	ENVIRONMENTAL ASSESSMENT/DRAFT ENVIRONMENTAL IMPACT REPORT -- JOINT NEPA/CEQA	JOINT NEPA/CEQA
FONSI/FEIR	FINDING OF NO SIGNIFICANT IMPACT/FINAL ENVIRONMENTAL IMPACT REPORT -- JOINT NEPA/CEQA	
EA/IS	ENVIRONMENTAL ASSESSMENT/INITIAL STUDY -- JOINT NEPA/CEQA	
DEIS/DEIR	DRAFT ENVIRONMENTAL IMPACT STATEMENT/DRAFT ENVIRONMENTAL IMPACT REPORT -- JOINT NEPA/CEQA	
FEIS/FEIR	FINAL ENVIRONMENTAL IMPACT STATEMENT/FINAL ENVIRONMENTAL IMPACT REPORT -- JOINT NEPA/CEQA	

H. The State Transportation Improvement Program (STIP)

The California Transportation Commission (CTC) is required to adopt and submit a STIP to the legislature and the Governor by April 1 of each even-numbered year. The STIP contains a list of all capital improvement projects to be funded with Regional Transportation Improvement Program (RTIP) and Interregional Transportation Improvement Program (ITIP) funds. On July 15 of each odd-numbered year, Caltrans is required to submit a proposed fund estimate of STIP funds available for the five-year period for the STIP. The CTC is required to adopt the five-year estimate by August 15 of the same year.

Pursuant to Cal. Government Code 14527(a), “After consulting with the department [Caltrans], the regional transportation planning agencies and county transportation commissions shall adopt and submit to the commission [California Transportation Commission] and the department [Caltrans], not later than December 15, 2001, and December 15 of each odd-numbered year thereafter, a five-year regional transportation improvement program in conformance with Section 65082. In counties where a county transportation commission or authority has been created --- the commission or the authority shall adopt and submit the county transportation improvement program, in conformance with Sections 130303 and 130304 of that code, to the multicounty designated transportation planning agency [SCAG].”

The 2014 STIP Guidelines began to pave the way towards a quantitative or qualitative assessment of how the FTIP facilitates implementation of the policies and projects in an adopted sustainable communities strategy (SCS), by requiring that “Each region with an adopted sustainable communities strategy include a discussion of how the RTIP relates to its sustainable communities strategy.

The 2016 STIP Guidelines were updated to further require that regions be responsible for developing goals, objectives and priorities that include consideration of the overall performance of the transportation system consistent with federal and state planning requirements. The STIP Guidelines state that “In order to maximize the state’s investments in transportation infrastructure, it is the Commission’s policy that each RTIP be evaluated for performance and cost-effectiveness at the regional level and, where applicable, at the project level.” As outlined in section 19 of the 2016 STIP Guidelines, RTIP’s will be evaluated based on:

- A. Regional level performance evaluation
- B. Evaluation of cost-effectiveness
- C. Project-level evaluation

SCAG worked closely with all six county commissions to develop guidance for implementation of the new requirements. A joint comment letter was submitted to the California Transportation Commission in February 2015, not only recommending language for section 19 of the STIP guidelines but also outlining the process for the SCAG region. As agreed upon in the comment letter, SCAG, as the MPO will conduct an analysis of A. Regional level performance evaluation and B. Evaluation of cost-effectiveness. Each of the six county transportation commissions will be responsible for C. Project-level evaluation. For SCAG to conduct analysis for items A and B above, each county transportation commission must submit their 2016 RTIP program to SCAG by September 30, 2015.

Other STIP programming-related requirements that affect the FTIP include:

- The STIP will be limited to projects that are expected to receive an allocation of STIP funds from the Commission within the STIP five-year period.
- The STIP submittal may not change the project delivery milestone date of any project as shown in the adopted STIP without the consent of Caltrans or the project lead.
- Major projects shall include current costs updated as of November 1 of the year of submittal and escalated to reflect “year of expenditure dollars.”
- Proposed STIP projects must be consistent with the RTP/SCS and subject to conformity requirements.
- New projects must have completed a Project Studies Report (PSR) or a PSR-equivalent for projects not on the state highway system.

Projects to be included in the FTIP for implementation (construction) must have undergone the environmental and design phases required by Federal Highway Administration/Federal Transit Administration (FHWA/FTA) (unless 100% state funded) and the state process. Major construction projects require a completed multi-modal alternative analysis through NEPA.

MAP-21 eliminated the Transportation Enhancement (TE) program and in its place created the Transportation Alternatives Program (TAP). Existing TE projects may remain in the STIP as long as the projects are eligible for State Highway Account or Federal funds. This rule applies to both the Regional Transportation Improvement Program (RTIP) and the Interregional Transportation Improvement Program (ITIP). New bicycle and pedestrian projects may be programmed by a region and Caltrans respectively, in the RTIP and ITIP as these projects may be funded with State Highway Account or Federal funds.

I. The Regional Transportation Plan/Sustainable Communities Strategy (RTP/SCS)

SCAG prepares the long-range 30-year RTP every four years in accordance with state and federal requirements [Cal. Government Code 65080; 23 U.S.C. § 134 et seq.]. This plan is adopted by the Regional Council and transmitted to the state and federal agencies for review. Both the FHWA and FTA review the RTP/SCS to ensure that the document conforms to the applicable state implementation plan in accordance with the provisions of 40 CFR Parts 51 and 93. With the inclusion of the SCS, the California Air Resources Board must review SCAG’s GHG reduction quantification and approve or reject SCAG’s quantification determination. Upon completion of ARB’s review and the acceptance of the SCS, the Executive Officer is authorized to accept SCAG’s SCS as a strategy that will achieve the GHG targets established by the ARB. Therefore, the 2016 RTP/SCS will serve as the basis for the development of the 2017 FTIP.

1. Implementation of RTP/SCS Modeled Projects

The RTP/SCS models projects for completion in specific timeframes, thus establishing not only a project listing, but also a generalized phasing of projects for implementation. CTCs will need to

program projects for initiation within an appropriate time frame to ensure that they become operational during the time frame indicated in the RTP/SCS.

Modeled projects not included in the current time frame of the 2015 FTIP should be advanced only when additional funding becomes available and when the CTCs are able to demonstrate that they are in full compliance with the requirements. Should these projects cross a model horizon year (due to project advancement or delay), the project must be amended in the model.

2. Implementation of Transportation Demand Management and Non-Motorized Investments

2016 RTP/SCS actions and targets for implementation of Transportation Demand Management (TDM) and Non-Motorized Investments should be used for development of the 2017 FTIP. Implementation of the goals listed below should be programmed in the 2017 FTIP:

- Program public funds in the FTIP to help maintain the public sector share of the existing rideshare market and to increase the number of carpools
- Identify current dedicated funding sources and work with county transportation commissions and partners on identifying additional new funding sources.
- Encourage the addition of dedicated bicycle facilities where appropriate and safe.
- Encourage pedestrian and bicycle safety in all maintenance projects where new striping will be required or existing striping is to be replaced.
- Encourage the use of intersection control devices that detect bicyclists, particularly left turn signals.

The projected figures below will be revised as part of the draft 2016-2040 RTP/SCS as updated figures are not yet available.

2012 RTP/SCS Rideshare/TDM/Non-Motorized/ITS Amounts - Regional Totals for FY 2016/2017 to FY 2021/2022

Program	Investment (in Thousands)
Non-Motorized (Active Transportation)	\$493,123
Rideshare & Transportation Demand Management Strategies	\$242,561
Transportation System Management (including Intelligent Transportation Systems)	\$1,272,535

J. Regionally Significant Transportation Investment Studies (RSTIS)

Within the context of regional transportation planning, for a regionally significant transportation corridor improvement project, the first step toward strategy or program development is identifying 'purpose and need' similar to that required under NEPA and conducting preliminary alternatives analysis through a Regionally Significant Transportation Investment Study (RSTIS), which is currently voluntary. While some projects can move very quickly from an idea to implementation, regionally significant strategies and programs typically require a more in-depth study, analysis and stakeholder engagement. During the course of an investment study, the region can

determine the various alternatives that may help solve the problem and identify a preferred program or strategy that will be subject to a comprehensive NEPA analysis. Project sponsors should work with SCAG to determine whether a strategy/program is regionally significant and whether it should be subject to RSTIS prior to its consideration for inclusion in the financially constrained RTP/SCS.

In 2010, in response to changes in federal legislation and metropolitan planning requirements, SCAG updated its RSTIS process to provide for a voluntary forum for coordination and discussion around the preparation of major corridor studies. This process helps to ensure that: regional partners are informed regarding major corridor studies and area plans underway in the SCAG region; these studies include consideration of how projects support regional goals and objectives; and these studies are prepared in a manner consistent with recent Federal guidance and state legislation. In particular, the revised RSTIS process provides a forum for identifying where linkages between major corridor studies and NEPA analysis can be strengthened.

The RSTIS provide a process to refine or update the RTP/SCS for regionally significant transportation corridor projects. Therefore, a RSTIS originates from the regional planning process and will be guided by it. Since a RSTIS is a component of the RTP/SCS planning process, the regionally significant alternatives should be evaluated using the RTP/SCS performance measures to the extent it is feasible in order to be considered for incorporation in the RTP/SCS. The RTP/SCS includes alternative modes and technology (intelligent transportation systems, highways (new capacity and HOV), transit (high speed rail, heavy rail, light rail, rapid bus) and non-motorized transportation systems, general alignment, number of lanes, the degree of demand management and operating characteristics).

A RSTIS or other analyses are appropriate when regionally significant investments in the RTP/SCS do not have complete environmental analysis, design concept and scope (mode and alignment not fully determined). In cases requiring further analysis, the RTP/SCS may stipulate either a set of assumptions concerning the proposed improvement or no-build condition pending the completion of a corridor or sub-area analysis. In either case, the RTP/SCS will assume and identify sufficient detail in order to allow for a regional transportation conformity determination.

Sponsors of RSTIS projects are asked to present project information to SCAG's Technical Working Group (TWG). At the conclusion of the RSTIS process, the project sponsor should coordinate with SCAG to determine whether an RTP/SCS amendment is appropriate and necessary. The results of the RSTIS will help lead to a decision by SCAG, in cooperation with participating public and private organizations, on the design concept and scope of the investment for the RTP/SCS. The preferred alternative of a RSTIS must meet the performance and financial criteria established by the RTP/SCS, and it must be approved by the Regional Council before being included in the RTP/SCS and FTIP.

K. Strategic Highway Safety Plan (SHSP) Related Plans and Programs

As required by the 2012 Moving Ahead for Progress in the 21st Century Act (MAP-21), the California Department of Transportation led the effort to develop the statewide Strategic Highway Safety Plan (SHSP) to identify key safety needs of the State and strategies that address these needs. California's SHSP was completed in September 2006 and the current update is currently being revised. Please click on the link below for more information on the State's SHSP: <http://www.dot.ca.gov/hq/traffops/shsp/update.html>.

Under MAP-21, the metropolitan transportation planning process should be consistent with the SHSP, and other transit safety and security planning and review processes, and programs, as appropriate. Highway Safety Improvement Projects (HSIP) must be consistent with the California SHSP.

As referenced in the 2016 Regional Transportation Plan/Sustainable Communities Strategy (2016 RTP/SCS), the CTCs are encouraged to address the SHSP challenge areas when submitting a project into the FTIP. Relevant SHSP challenge areas are as follows:

- Reduce Impaired Driving Related Fatalities
- Reduce the Occurrence and Consequence of Leaving the Roadway and Head-on Collisions
- Ensure Drivers are Properly Licensed
- Increase Use of Safety Belts and Child Safety Seats
- Improve Driver Decisions about Rights of Way and Turning
- Reduce Young Driver Fatalities
- Improve Intersection and Interchange Safety for Roadway Users
- Make Walking and Street Crossing Safer
- Improve Safety for Older Roadway Users
- Reduce Speeding and Aggressive Driving
- Improve Commercial Vehicle Safety
- Improve Motorcycle Safety
- Improve Bicycling Safety
- Enhance Work Zone Safety
- Improve Post Crash Survivability
- Improve Safety Data Collection, Access, and Analysis
- Reduce Distracted Driving

(note: several challenge areas have been combined and renamed, but nothing we can yet incorporate)

L. Consultation (Interagency) and Public Involvement

Ongoing public involvement and interagency consultation are required in transportation planning. SCAG, the CTCs, the Department of Transportation, and other stakeholders collaboratively provide opportunities for meaningful public participation and effective interagency consultation. Federal regulations, including MAP-21, the Clean Air Act, the Transportation Conformity Rule, and the Americans with Disability Act (ADA) stipulate that public involvement in the transportation improvement program's development and approval process includes certain targeted groups.

The determination of how effectively the responsible planning agencies have provided opportunities for public input and whether the process meets the interagency consultation requirements of EPA's Transportation Conformity Rule is one of the factors used to determine conformity and in the allocation of federal funds for local, regional and state transportation projects and programs.

In the SCAG region, interagency consultation and public participation are facilitated by the Southern California Transportation Conformity Working Group, which is a collaborative group of federal, state, regional, and local transportation and air quality stakeholders. The group meets on a monthly basis to facilitate an inclusive air quality planning process and to fulfill the

interagency consultation requirements of the Federal Transportation Conformity Rule. The group helps resolve regional issues pertaining to transportation conformity and coordinates with and supports the quarterly meetings of the Statewide Transportation Conformity Working Group.

The California Public Utilities Code 130059 (AB 1246 Process) requires SCAG to convene at least two meetings annually comprised of representatives from the six commissions, and the Department of Transportation. The CTCs' TIPs will be discussed at this meeting prior to their adoption of the program. After the respective county transportation commissions act on their TIPs, SCAG prepares the FTIP. If any conflicts arise with the CTCs' programs (for example, inter-county issues, financial constraint, or inconsistency with the 2016 RTP/SCS policies, programs or projects) then SCAG will convene a subsequent meeting with the affected CTC(s) to discuss the issue.

The Public Participation Plan (PPP) serves as a guide for SCAG's public involvement process. The Plan provides information on federal and state mandates for soliciting input from the public; consultation requirements for State and local agencies; and SCAG's approach towards ensuring public participation at all levels of plan and program development. The Public Participation Plan was adopted by SCAG's Regional Council on April 3, 2014 and is available on SCAG's website at: <http://www.scag.ca.gov/participate/Pages/PublicParticipationPlan.aspx>.

The CTCs' public involvement process should be proactive and provide complete information, timely public notice, full public access to key decisions, and opportunities for early public involvement. Accordingly, the CTCs' public involvement process should provide for:

- Early and continuing public involvement opportunities throughout the transportation planning and programming process;
- Timely information about transportation issues and processes to citizens, affected public agencies, representatives of transportation agency employees, private providers of transportation, other interested parties and segments of the community affected by the transportation improvement program's projects;
- Reasonable public access to technical and policy information used in the development of the transportation improvement program;
- Adequate public notice of public involvement activities and time for public review and comment at key decision points including, but not limited to, action on the transportation improvement program;
- A process for demonstrating explicit consideration and response to public input during the transportation improvement program development process;
- A process for seeking out and considering the needs of those traditionally under-served by existing transportation systems, such as low-income and minority households which may face challenges accessing employment and other amenities; and,
- A comment period of at least thirty days and two formal public hearings prior to adoption of the transportation improvement program.

M. Regional Funding Priorities

Projects to be programmed in the FTIP shall be consistent with the RTP/SCS and its milestones.

In the South Coast Air Basin (SCAB) and Ventura County/South Central Coast Air Basin (VC/SCCAB), Transportation Control Measures (TCMs) programmed for implementation in the first two years of the FTIP must be funded and implemented by the completion date. Failure to implement a committed TCM may result in the federal agencies not approving the conformity findings of the FTIP. More information on TCMs can be found under Chapter IV of these guidelines.

N. Project Selection, Project Programming, and Expedited Project Selection Procedures Criteria

1. Project Selection

The FTIP follows the same “bottom-up” principle that guides the development of the RTP/SCS. The CTCs along with local jurisdictions are solely responsible for selecting projects that are submitted to SCAG for recommended inclusion into the FTIP. The process for receiving federal and state² dollars is an arduous journey before funds are awarded to a project and expended. The process begins at the County Transportation Commission’s level in which projects are nominated by local jurisdictions and selected by the CTCs. The CTCs develop criteria that determine which projects best enhance the transportation network and addresses the region’s goals of improving mobility and promoting sustainability. The end result is the individual County Transportation Improvement Program or County TIPs, the building blocks of SCAG’s FTIP.

AB1246 (PUC § 130059) created the CTCs and its relationship with SCAG. PUC § 130304 provides additional direction in which the CTCs are responsible for developing the County TIPs and submitting it to SCAG.

The county transportation commission shall submit the short-range transportation improvement program prepared pursuant to subdivision (b) of Section 130303 to the multicounty designated transportation planning agency. The program shall be the county transportation commission's recommendation to the agency regarding that portion of the regional transportation improvement program with respect to short-range objectives applicable to the county under the jurisdiction of the county transportation commission. The recommended program shall be submitted to the agency in a timely fashion, and the agency shall review and adopt this portion of the regional transportation improvement program in a timely fashion, giving full explanation for any necessary revision of the county transportation commission's recommended program. (PUC § 130304).

The State of California PUC establishes the procedures that SCAG and the County Transportation Commissions must follow in order to submit the County TIPs for inclusion into the FTIP. Ultimately, federal mandate provides direction on project selection. Under 23 U.S.C. 134, project selection procedures for federally funded projects is stated as follows:

² Similar to 100% locally funded projects, projects that are fully funded with State funds do not have to be in the FSTIP unless the projects are regionally significant and/or are capacity-enhancing.

“...Except as otherwise provided in subsection (k)(4) and in addition to the TIP development required under paragraph (1), the selection of Federally funded projects in metropolitan areas shall be carried out, from the approved TIP—(i) by (I) in the case of projects under this title, the State; and (II) in the case of projects under chapter 53 of title 49, the designated recipients of public transportation funding; and (ii) in cooperation with the metropolitan planning organization.” 23 U.S.C 134(j)(5)(A)

2. Project Programming

Programming projects in the FTIP itself is dynamic in that projects are added to the program as funding becomes available. At least every two years, consistent with other MPOs in the State, SCAG updates the FTIP. The following list illustrates the steps from County TIP submittal to approval of SCAG's FTIP.

- The process for updating SCAG's FTIP begins with the publication of the FTIP Guidelines. This document provides guidance to the County Transportation Commissions on how to submit projects to SCAG for inclusion into the FTIP. The document also contains SCAG policy and a synopsis of Federal and State mandates that dictate the procedures that an MPO must follow when developing a transportation improvement program (TIP). It is the counties responsibility to ensure that projects in the county TIP follow federal and state regulations as well as SCAG requirements.
- Submittal of the county TIPs marks the beginning of SCAG's analysis that ensures the projects submitted meet the five tests required under the U.S. DOT Metropolitan Planning Regulations and EPA's Transportation Conformity Regulations.
- Once SCAG completes its analysis, the FTIP is released for public review. The draft FTIP undergoes a 30-day public review period.
- At the end of the public review, the FTIP is finalized and presented to SCAG's Regional Council for adoption.
- The adopted FTIP is then transmitted to both the State and Federal agencies for review. The State receives all the FTIPs from the MPOs to incorporate the projects into the Federal Statewide Transportation Improvement Program (FSTIP).
- The FSTIP is then transmitted to the Federal agencies for review. The Federal agencies review the FSTIP/FTIP to ensure that it meets national ambient air quality standards (NAAQS) and that the projects meet financial constraint. Should the federal agencies approve the FSTIP/FTIP, a joint letter is issued stating that the FSTIP/FTIP is found to conform to NAAQS and the projects that are in the FSTIP/FTIP meet financial constraint. Projects are now part of an approved FTIP and can begin the obligation process required by the funding agencies.

3. Expedited Project Selection Procedures

The current Code of Federal Regulations, 23 CFR Part 450.330, states the following regarding Expedited Project Selection Procedures (EPSP):

“If the State or public transportation operator(s) wishes to proceed with a project in the second, third year, or fourth year of the TIP, the specific project selection procedures stated in paragraphs (b) and (c) of this section must be used unless the MPO, the State and the public transportation operator(s) jointly develop expedited project selection procedures to provide for the advancement of projects from the second, third or fourth year of the TIP.”

In order to address the above regulation the SCAG region (SCAG, County Transportation Commissions, and transit operators) developed and agree to the following expedited project selection procedures:

Projects programmed within the first four years may be advanced to accommodate project schedules that have proceeded more rapidly than estimated. This advancement allows project sponsors the flexibility to deliver and obligate state and/or federal funds in a timely and efficient manner. Nevertheless, non-TCM projects can only advance ahead of TCM projects if they do not cause TCM projects to be delayed.

Step 1 SCAG receives request to use EPSP for project(s) in the FTIP.

Step 2 SCAG analyzes, discusses with the County Transportation Commission, and takes action on the request for the use of EPSP for project(s) in the FTIP.

Projects from the first four years of the 2017 FTIP have been selected using the project selection procedures.

O. FTIP Amendment and Administrative Modification Approval Procedures – SCAG Executive Director Authority

FTIP Amendments

The SCAG Regional Council hereby grants authority to SCAG’s Executive Director to approve FTIP amendments and associated conformity determination and to transmit to the state and federal agencies amendments to the most currently approved FTIP. These amendments must meet the following criteria:

- Changes that do not affect the regional emissions analysis.
- Changes that do not affect the timely implementation of the Transportation Control Measures.
- Changes that do not adversely impact financial constraint.
- Changes consistent with the adopted Regional Transportation Plan.

Amendments triggered by an RTP/SCS amendment must be approved by the Regional Council.

FTIP Administrative Modifications

Consistent with the Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) letter dated June 3, 2011, the SCAG Regional Council hereby delegates authority to SCAG’s Executive Director to approve FTIP Administrative Modifications consistent with approved FSTIP/FTIP Administrative Modifications and Amendments Procedures and as may

be amended (SCAG Resolution #11-532-1). The following procedures apply to this delegation of authority:

- The MPO must send copies of the approved administrative modification to Caltrans, FHWA, and FTA.
- Once the administrative modification is approved by the MPO, the administrative modification will be deemed part of the Federal State Transportation Improvement Program (FSTIP).
- The MPO will demonstrate in a subsequent amendment that the net financial change from each administrative modification has been accounted for.
- Caltrans will conduct periodic reviews of MPO's administrative modification process to confirm adherence to the procedures. Noncompliance with the procedures will result in revocation of the MPO's delegation.

P. SCAG's Programming Principles for Federal STP and CMAQ Funded Projects

SCAG has a current set of principles to guide the development of programming priority for Surface Transportation Program (STP) and Congestion Mitigation and Air Quality (CMAQ) funds. The principles were reviewed through the AB 1246 process and adopted by SCAG's Regional Council. These principles should be used in the development of each county's STP and CMAQ programs.

1. Programming of STP and CMAQ funds shall be the primary responsibility of the respective CTCs, consistent with federal and state law, the RTP/SCS, and in conformance with applicable SIPs.
2. Implementation of Transportation Control Measures (TCMs) in the applicable SIPs shall be a high priority for allocation of STP and CMAQ funds.

Cities and Counties are eligible to utilize the STP and CMAQ funds for transportation demand management / transportation control measures and will be so advised by the appropriate county transportation commission.

3. CTCs are responsible for documenting timely implementation of the TCMs for which they are project sponsors.
4. A local Surface Transportation Program shall be developed and administered within each County consistent with state implementing legislation. Local STP projects will be prioritized in each County by the county transportation commissions consistent with MAP-21 which requires multimodal flexibility.

All Local STP programming decisions must be based on a discretionary process; formula apportionments are not acceptable. (Note: According to 23 CFR Part 450.324 (j), "Procedures or agreements that distribute sub allocated Surface Transportation Program funds or funds under 49 U.S.C. 5307 to individual jurisdictions or modes within the MPA [metropolitan planning area] by pre-determined percentages or formulas are inconsistent with the legislative provisions that require the MPO, in cooperation with the State and the public transportation operator, to develop a prioritized and financially constrained TIP and shall not be used unless they can be clearly shown to be based on considerations required to be addressed as part of the metropolitan transportation planning process." Project selection, therefore, must be by the

use of objective criteria other than population alone, i.e., there must be some correlation between selection and measurable need).

5. County TIPs shall be submitted to SCAG and are incorporated into SCAG's Federal TIP. The Federal TIP will be adopted by SCAG's Regional Council following the appropriate interagency consultation, public review and comment period, and the presentation to the AB 1246 CEOs Committee, after which the committee will review the FTIP and submit comments. SCAG's adoption will include the associated conformity findings. If SCAG is unable to resolve identified conflicts, SCAG will adopt the components of the program which are possible to adopt and refer back to the respective county for reconciliation of those projects which present conformity conflicts. In the event the respective county transportation commission is unable to reconcile the conflict in a timely manner, recommendations will be made by CEO Committee meeting.

Note: Any amendment to the FTIP that adds or significantly changes the design concept and scope of a non-exempt regionally significant project, and which has not been accounted for in the regional emissions analysis, requires a full conformity analysis and a new regional emissions analysis.

SCAG staff will have no recourse but to remove from consideration any project for which full and accurate information is missing or not submitted in a timely manner. A county transportation commission shall wait for the next FTIP adoption cycle to delete any non-exempt projects.

Q. Identifying ITS Projects and Components

ITS projects and projects with ITS components with federal funds must be consistent with the Southern California Regional ITS Architecture as well as the ITS Architecture for the county(s) in which the project is based. This requirement is pursuant to 23 CFR Parts 940.9 and 940.11. The most recent updates of the Regional Architecture and County Architectures can be found on the web at <http://www.scag.ca.gov/programs/Pages/IntelligentTransportation.aspx>.

In addition, ITS projects need to comply with Systems Engineering Requirements as a condition of the use of both Federal Transit and Federal Highway funds. Information on the System Engineering Requirements for FHWA-funded ITS projects can be found in the Caltrans Local Assistance Procedures Manual (LAPM) which can be found at <http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm> and the Caltrans Local Assistance Program Guidelines (LAPG) <http://www.dot.ca.gov/hq/LocalPrograms/lam/lapg.htm> (chapter 13: Intelligent Transportation Systems Program). Some portions of the [LAPM](#) and [LAPG](#) may have been superseded by Division of Local Assistance Office Bulletins ([DLA-OBs](#)). Always check http://www.dot.ca.gov/hq/LocalPrograms/DLA_OB/DLA_OB.htm for any recent policy or procedure updates.

R. Annual Listing of Obligated Projects

Federal requirement 23 CFR §450.332 stipulates that on an annual basis, no later than 90 calendar days following the end of the program year, the State, public transportation operator(s), and the MPO shall cooperatively develop a listing of projects (including investments in pedestrian

walkways and bicycle transportation facilities) for which funds under 23 U.S.C. or 49 U.S.C. Chapter 53 were obligated in the preceding program year.

SCAG in consultation and coordination with the State and county transportation commissions works to develop the annual listing of obligated projects. The county transportation commissions, working with the project sponsors and transit operators within their respective jurisdiction, update project obligation information through use of the SCAG FTIP database. SCAG compiles this information and produces the annual listing of obligated projects utilizing the FTIP Database. Projects funded strictly with local dollars, (i.e., sales tax, general fund, or other local sources) will not appear on the annual listing of obligated projects. Information on annual listing of obligated projects may be found in the currently approved Federal Transportation Improvement Program webpage, located on the following link <http://ftip.scag.ca.gov/Pages/obligated.aspx>.

S. Congestion Management Plan (CMP) Process

Projects increasing Significant Single Occupancy Vehicle Capacity and the Congestion Management Process.

In the SCAG region, federal regulations stipulate that no federal funds be programmed for any project that significantly increases Single Occupancy Vehicle (SOV) capacity unless the project is addressed as part of a congestion management process.³ The FTIP, as the programming document for all federal transportation funds, must be consistent with the regulations. NOTE: for the 2017 FTIP THE \$50 MILLION THRESHOLD PREVIOUSLY USED TO DETERMINE CMP IS NO LONGER APPLICABLE. SCAG worked closely with FHWA and determined that any SOV capacity increasing project that adds at a minimum one (1) mile or more in length meets criteria for CMP review.

All FTIP submissions for significant SOV capacity increasing projects that are at least 1 mile in length and above must include documentation that demonstrates TDM or other operational management strategies were considered. Only projects with right-of-way or construction funds in the quadrennial years of the FTIP are subject to this requirement. Submittal of such projects for inclusion in the FTIP require documentation indicating that the project was planned and will be constructed in accordance with the congestion management process as defined in 23 CFR Part 450.320(d) and (e). Acceptable forms of documentation are:

- Alternatives Analysis (AA) Studies and/or other relevant project planning studies that outline the alternatives analysis work performed, with specific reference to page/location in document where TDM or other operational management strategies were considered and incorporated into the project.
- Environmental Impact Reports (EIR)/Environmental Impact Studies (EIS), with specific reference to page/location in document where the TDM or other operational strategies are considered.
- Statement of overriding consideration (or statement of clarification why consideration of other alternatives were irrelevant, infeasible or impractical or any combination of these for the project. This would apply mostly to relatively small, but significant arterial widening projects that are clearly not safety or operational improvement projects for which appropriate and adequate AA documentation may not exist. An example of such a project would be arterial widening 1 to 2 miles in

³ 23. CFR Part 450.320

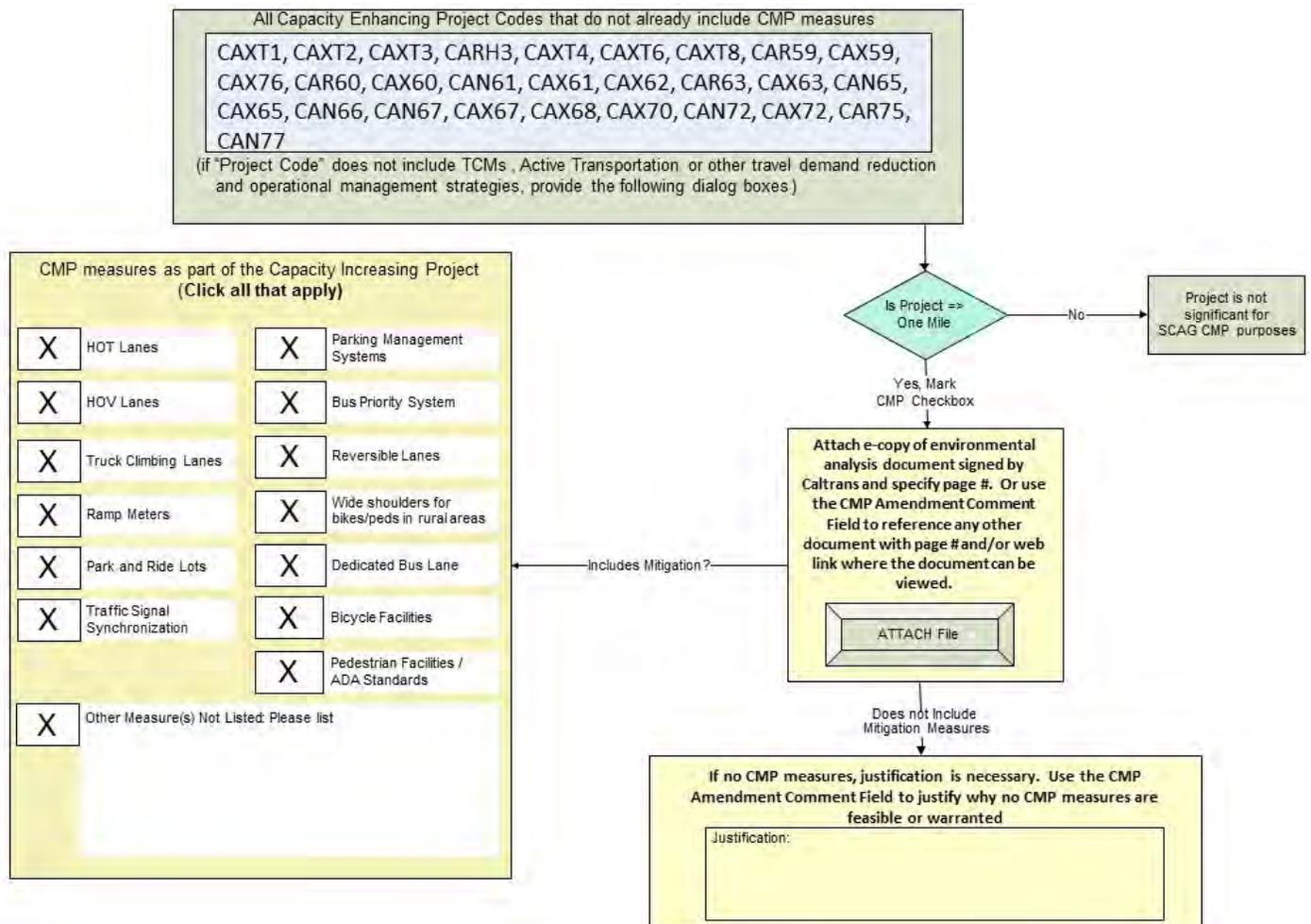
length in rural area where there may not be any opportunities for transit or bikeway alternatives due to lack of connectivity to an existing network.)

Operational and safety improvement projects are exempt from CMP review.

In the FTIP submission, if a project increases SOV capacity by at least 1 mile or more, enter which travel demand reduction or operational management strategies will be included as part of the project in the submission.

If the new or amended project has an adopted planning and/or environmental document that indicates which demand reduction or operational management strategies were evaluated/incorporated, include a copy of, or link to the document.

Below is a flowchart showing the required information needed for projects in the CMP:



FTIP Database CMP Screen-shot 1 – Mitigated

Home Create New Project Search / Update Project Approve / Submit Project Reports Maps Financial Plan TIP Help Library Logout

Save Save As TIP ID --> [] Print Project Sheet HELP * Required Fields

Source *	County *	Amendment * Number / Phase / County Prep Cutoff	Public Review Start Date	Public Review Finish Date
2011 FTIP	Imperial	7, County Preparation; Administrative Modification; 4/12/2011	4/29/2011	5/2/2011
Project Status: Draft	Updated By: jonimp	Updated By SCAG: jonscag	Create Date:	
Project Version: 8	Last Update: 08/04/2011	Last SCAG Update: 7/15/2011 10:04:25 AM	7/15/2011 9:59:30 AM	
TIP ID (Project ID) *	RTP ID*	Parent_ID	Current Project Phase:	--select--
JONTEST01 (a.7; v.8; s.2011)	0051Y	0051Y	Model No.	test

System *

Local Highway

Is Modeled CMP Project

CMP Data CMP Includes Mitigation

Hot Lanes Traffic Signal Synchronization Dedicated Bus Line Other Measres (Please List)
 HOV Lanes Parking Management Systems Bicycle Facilities
 Truck Climbing Lanes Bus Priority System Pedestrian Facilities / ADA Standards
 Ramp Meters Reversible Lanes
 Park and Ride Lots Wide Shoulders for bikes/peds in Rural Areas

Model Data Add Model

Add New State/Local

Add State/Local Street/Route From Lanes Existing Description
 Length * To: Lanes Proposed HOV Egress:

Update CTC Comment

County Modeling Comments (4000 Characters Maximum)

FTIP Database CMP Screen-shot 2 – Non-Mitigated

Home Create New Project Search / Update Project Approve / Submit Project Reports Maps Financial Plan TIP Help Library Logout

Save Save As TIP ID --> [] Print Project Sheet HELP * Required Fields

Source *	County *	Amendment * Number / Phase / County Prep Cutoff	Public Review Start Date	Public Review Finish Date
2011 FTIP	Imperial	7, County Preparation; Administrative Modification; 4/12/2011	4/29/2011	5/2/2011
Project Status: Draft	Updated By: jonimp	Updated By SCAG: jonscag	Create Date:	
Project Version: 8	Last Update: 08/04/2011	Last SCAG Update: 7/15/2011 10:04:25 AM	7/15/2011 9:59:30 AM	
TIP ID (Project ID) *	RTP ID*	Parent_ID	Current Project Phase:	--select--
JONTEST01 (a.7; v.8; s.2011)	0051Y	0051Y	Model No.	test

System *

Local Highway

Is Modeled CMP Project

CMP Data CMP Includes Mitigation

CMP Comments for Non-Mitigation Justification:

Model Data Add Model

Add New State/Local

Add State/Local Street/Route From Lanes Existing Description
 Length * To: Lanes Proposed HOV Egress:

Update CTC Comment

T. Active Transportation Program (ATP)

The Active Transportation Program (ATP) became law on September 26, 2013. ([Senate Bill 99, Chapter 359](#) and [Assembly Bill 101, Chapter 354](#)). The ATP consolidates existing federal and state transportation programs, including the Transportation Alternatives Program (TAP), Bicycle Transportation Account (BTA), and State Safe Routes to School (SR2S), into a single program to:

- Increase the proportion of biking and walking trips,
- Increase safety for non-motorized users,
- Increase mobility for non-motorized users,
- Advance the efforts of regional agencies to achieve greenhouse gas reduction goals,
- Enhance public health, including the reduction of childhood obesity through the use of projects eligible for Safe Routes to Schools Program funding,
- Ensure disadvantaged communities fully share in program benefits (25% of program), and
- Provide a broad spectrum of projects to benefit many types of active transportation users.

Additional information on the ATP can be found on the following link:

<http://www.dot.ca.gov/hq/LocalPrograms/atp/>.

The ATP has two grant processes, a statewide competitive grant process and a MPO competitive grant process. The California Transportation Commission must adopt the awarded grant projects. Once the California Transportation Commission adopts projects in each cycle, county transportation commissions shall program their ATP awarded projects as part of the next FTIP Amendment.

For large scale transportation projects, such as capacity enhancing projects or roadway construction projects, that include an active transportation component, SCAG Active Transportation staff would like to obtain information for reporting purposes. When submitting transportation projects that include active transportation components, provide documentation indicating the active transportation component in order to allow the public to determine the extent of active transportation in the project and the sub-cost of the active transportation portion of the project.

In the FTIP submission, if a project includes an active transportation component, enter the type, the length, and the estimated cost for the active transportation component.

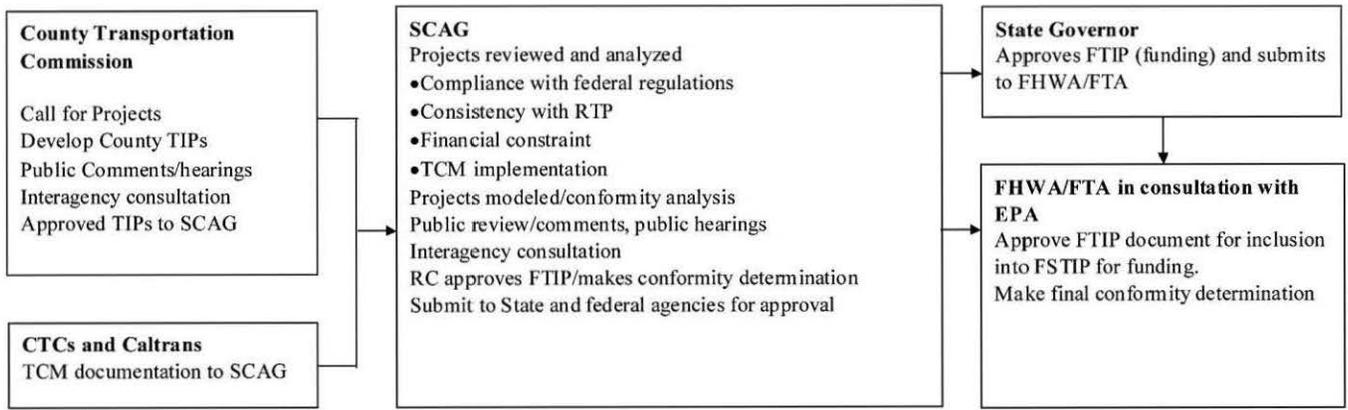
If the project has an adopted planning and/or environmental document that indicates what active transportation strategies were evaluated/incorporated, include a copy of, or link to the document.

The following are Program Codes that may include ATP Components:

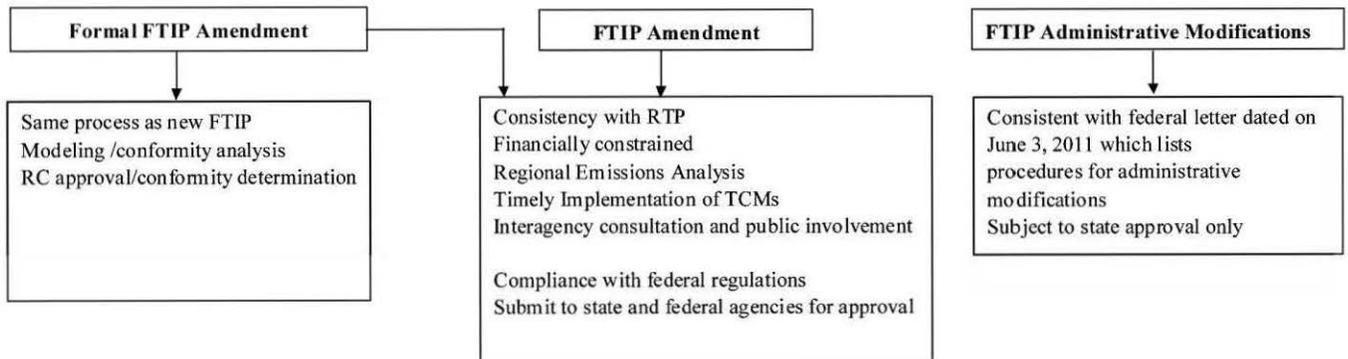
<p>Larger Projects that include active transportation CART1, CAXT1, CAYT1, CART2, CAXT2, CAYT2, CART3, CAXT3, CAYT3, CANT4, CAXT4, CAYT4, CANT5, CAXT5, CAYT5, CANT6, CAXT6, CAYT6, CAXT7, CAYT7, CANT8, CAXT8, CAYT8, CART0, CAXT0, CAYT0 NCRT1, NCRT3, NCRT0, NCRT2</p>			
<p>Active Transportation Project as part of Larger Project (Check all that apply)</p>			
Class 1 Bike Path/ Cycletrack	<input type="checkbox"/>	Sidewalks (new)	<input type="checkbox"/>
Class 2 Bike Lane	<input type="checkbox"/>	Sidewalks (rehab/repair/widen)	<input type="checkbox"/>
Class 3 Bike Route/Signage	<input type="checkbox"/>	Bulbouts/ median refuge	<input type="checkbox"/>
Bike Blvd/Bike Friendly St.	<input type="checkbox"/>	Midblock crossing signals	<input type="checkbox"/>
Bicycle Parking (lockers/ racks)	<input type="checkbox"/>		
Bicycle Traffic Signals	<input type="checkbox"/>	Unknown/ unspecified	<input type="checkbox"/>
Length of Active Transportation component (if known)	<input type="text"/> _____ Ft.		
Cost of Active Transportation component (if known)	<input type="text"/> \$ _____		

U. Standard Biennial FTIP Development Process Flowchart

Standard Biennial FTIP Development Process



Project Changes



II. Schedules and Submittals

II. SCHEDULES AND SUBMITTALS

A. Schedules

BASED ON OCTOBER 1, 2016 DUE DATE TO STATE AND FEDERAL AGENCIES

**Adoption Schedule for the
FY2017 Federal Transportation Improvement Program**
(Schedule subject to change)

September 30, 2015	County Transportation Commissions submit 2016 STIP/RTIP program to SCAG for Evaluation of system performance and Cost-effectiveness of the RTIP
October 8, 2015	Draft of 2017 FTIP Guidelines
November 2015	Final 2017 FTIP Guidelines
December 10, 2015	County Transportation Commissions submit 2016 STIP/ RTIP to California Transportation Commission and copy to SCAG
January 5, 2016	<u>DEADLINE – COUNTY TIP SUBMITTAL TO SCAG</u>
January 6 thru April 29, 2016	SCAG staff, working with Caltrans and County Commissions, will analyze County TIPs. <ol style="list-style-type: none"> 1. Analyze projects for consistency with RTP/SCS 2. Identification of Modeled Projects 3. Transportation Conformity Analysis 4. Programmatic Analysis
February 22 thru April 29, 2016	Modeling Activities
March 1, 2016	DEADLINE - Financial Plan Board Resolution submittal to SCAG
May 2, 2016	Modeling Report due to FTIP Section
May 3 thru May 26, 2016	Final draft write up
May 31 thru June 9, 2016	Management Review Period
June 13, 2016	Draft 2017 FTIP sent out for reproduction
June 2016	Presentation of 2017 FTIP to AB 1246 CEOs Committee to fulfill AB1246 requirement
July 7, 2016	Draft FTIP presented to policy committees -- Transportation Committee Energy and Environment Committee
July 2016	30-day public review period and public hearings
August 2016	Note: SCAG's Policy Committees and Board are dark in August

September 1, 2016	Draft FTIP due to Caltrans
September 1, 2016	FTIP Adoption -- Policy Committees and Regional Council Action
September 6, 2016	Adopted 2017 FTIP transmitted to state and federal agencies and upload to CTIPS database
October 1, 2016	Adopted FTIP formally due to State and Federal Agencies
November 2016	Caltrans transmits 2017 FSTIP to Federal Agencies
December 2016	Conformity Determination on 2017 FTIP by Federal Agencies

2016 State Transportation Improvement Program (STIP)

NEW REQUIREMENT FOR 2016 STIP – County Transportation Commissions submit STIP-RTIP program to SCAG for regional-level analysis for performance and cost-effectiveness NO LATER THAN SEPTEMBER 30, 2015

A copy of the County Transportation Commission's draft STIP must be transmitted to SCAG's FTIP section at the same time it is sent to the California Transportation Commission.

June 2015	Draft Fund Estimate due to the California Transportation Commission
August 26-27, 2015	California Transportation Commission Adopts the Fund Estimate (2016 STIP Fund Estimate)
September 30, 2015	County Transportation Commissions submit STIP program to SCAG for regional-level analysis for system performance and cost-effectiveness
December 9-10, 2015	Regional Transportation Improvement Program (RTIP) due to the California Transportation Commission
April 2016	California Transportation Commission adopts the STIP and submits to the Legislature

2017 TIP DATABASE AVAILABILITY

The 2017 TIP Database will be available in **October 2015**. The data will include all federally approved administrative modifications and amendments.

2017 FTIP CHECKLIST

Things to remember

- Projects must be consistent with the currently approved 2016 RTP/SCS
- Projects are “County Approved” in 2017 FTIP Database
- Timely Implementation – provide a status of each TCM Committed project. Enter information (including date entered) on the first line of the FTIP Database “TCM Comments” field.
- Modeling information entered in FTIP Database
- Projects are programmed in year of expenditure dollars
- A copy of the draft STIP must be sent to SCAG at the same time it is transmitted to the California Transportation Commission.

County 2017 FTIP Package to SCAG shall include the following:

- CTCs Transmittal Letter Certifying that:
 - County TIP is consistent with the 2016 RTP/SCS and subsequent RTP/SCS amendments
 - County TIP is financially constrained
 - County TIP does not interfere with the timely implementation of TCM's within the county and the FTIP Database includes the status of each project
- Narrative for projects that fall into the following categories:
 - New Projects
 - Completed Projects
 - Deleted Projects – provide reason for deletion
 - Changes to modeled projects
- Grouped Project back-up listings
- Modeling Report for highways (state & local) and transit generated from the SCAG FTIP Database
- Draft Financial Plan
 - Hard copy generated from SCAG FTIP Database
- Additional information as applicable

Final Financial Plan

- Financial Plan Board Resolution due no later than **March 1, 2016**
- Final Financial Plan will vary by county – dependent on conclusion of analysis. SCAG working with the CTCs will coordinate the due date

B. Submittals to SCAG

There are various items that are due to SCAG when submitting County TIPs and FTIP amendments. The required items are described below. Each county's submittal must be accompanied with a cover letter listing the submittals and any outstanding items.

1. Narrative

A narrative is required as part of the CTCs 2017 FTIP Submittal. Projects that are new, completed, deleted, and changes to modeled projects must be included in the narrative. Page 149 of these Guidelines specifies the formation and requirements for a complete narrative.

2. Timely Implementation of Transportation Control Measures (TCMs) and TCM Identification

Federal Metropolitan Planning regulations at 23 CFR Part 450.324(d) require applicable nonattainment and maintenance areas to provide for the "timely" implementation of TCMs consistent with schedules included in the applicable SIP for each air basin/air district.

CTCs in the South Coast Air Basin (SCAB) and the Ventura County portion of the South Central Coast Air Basin (SCCAB) (in cooperation with the Ventura County Air Pollution Control District (VCAPCD)) must identify TCM projects by selecting either "TCM" or "non-reportable TCM" as the Conformity Category code in the SCAG TIP Database. Refer to page 56 of these guidelines to learn more about reportable and non-reportable TCMs and how to identify committed TCM projects. If a committed TCM constitutes a portion of a larger non-TCM project, the project must be marked as a TCM.

CTCs in the SCAB and the SCCAB are also required to document the implementation of all TCMs identified as committed TCMs in the FTIP (see page 57 for a description of committed TCMs). The status of implementation for each committed TCM project must be entered in the TCM Comment field along with the edit date in the SCAG TIP Database.

TCMs are not required in the Salton Sea Air Basin (SSAB) and the Mojave Desert Air Basin (MDAB). Therefore, identification or reporting of TCMs does not apply in these two air basins.

To facilitate reporting on timely implementation of TCMs in the SCAB and the Ventura County portion of the SCCAB, TCMs are identified in the FTIP as "TCM" in the Conformity Category field and SCAG will use the interagency consultation process to provide ongoing guidance to support timely implementation of committed TCMs.

a. South Coast Air Basin

Under the Air Quality Management Plan/State Implementation Plan (AQMP/SIP) requirements for the South Coast Air Basin, SCAG shall work with the affected counties to determine the timely implementation of TCMs.

The 1994 and the subsequent AQMPs/SIPs for ozone in the South Coast Air Basin define committed TCM projects as those projects identified in the first two years (the fiscally

constrained portion) of the 2017 FTIP, which in turn, is required to be consistent with the adopted RTP/SCS. The AQMP/SIP also specifies that every time the FTIP is updated (as is the case with the 2017 FTIP), the projects contained in the standing AQMP/SIP are “rolled over”. A “rollover” list will be compiled to include new projects in addition to ongoing projects from previous FTIPs. Completed projects (projects that have completed construction or have service in place) will be reported as complete and removed from the list. The rollover list will be monitored for adherence to the schedule established in the FTIP at the time a project is identified as a committed TCM. It should be noted that this rollover process is distinct from the substitution process for TCM projects that are delayed or cancelled.

Substitution of individual TCMs will follow the process specified in the Clean Air Act (CAA) section 176(c). Section 176(c) of the CAA allows for the substitution of individual TCMs if certain conditions are met. The CTCs and/or project sponsors shall notify SCAG when a TCM project cannot be delivered or will be significantly delayed. SCAG and the CTCs will identify and evaluate possible replacement measures for individual substitutions, with consultation from the Transportation Conformity Working Group (TCWG), which includes members from all affected jurisdictions, federal, state and/or local air quality agencies and transportation agencies. The TCM substitution process is further described in the TCM chapter of this document.

As a part of the conformity determination for the 2017 FTIP, SCAG will work with the CTCs and Caltrans to ensure timely implementation of committed TCM projects.

b. Ventura County Portion of the South Central Coast Air Basin

The 1994/5 and subsequent Ozone SIPs and their TCM strategies define reporting on the timely implementation of TCMs in the Ventura County portion of the SCCAB.

3. Financial Plan and Resolution

The Financial Plan demonstrates how each County TIP can be implemented in a fiscally constrained manner consistent with the RTP/SCS.

Under federal requirements, the FTIP shall include a financial plan that demonstrates how the approved TIP can be implemented. (23 CFR Part 450.324(h)). As the basis for finding the SCAG region has the capacity to fund the FTIP, a financial plan is required when submitting 2017 County TIPs and amendments. A description of the requirements for developing the Financial Plan is provided starting on page 129 of these Guidelines.

As part of the Financial Plan, a financial resolution is required as a certification to SCAG that projects and funding listed in County TIPs in the first two years are available and committed, and reasonably available in years three to six. A sample resolution follows which may be used for this certification. Each county must submit the certification with its 2017 County TIP submittal.

SAMPLE FINANCIAL RESOLUTION

RESOLUTION NO. _____

A RESOLUTION OF THE (COUNTY) TRANSPORTATION COMMISSION WHICH CERTIFIES THAT (COUNTY) HAS THE RESOURCES TO FUND THE PROJECTS IN THE FFY 2016/17 – 2021/22 TRANSPORTATION IMPROVEMENT PROGRAM AND AFFIRMS ITS COMMITMENT TO IMPLEMENT ALL PROJECTS IN THE PROGRAM

WHEREAS, (County) Transportation Commission is located within the metropolitan planning boundaries of the Southern California Association of Governments; and

WHEREAS, the MAP-21 Moving Ahead for Progress in the 21st Century Act (MAP-21) requires SCAG to adopt a regional transportation improvement program for the metropolitan planning area; and

WHEREAS, MAP-21 also requires that the regional transportation improvement program include a financial plan that demonstrates how the transportation improvement program can be implemented; and

WHEREAS, the (County) Transportation Commission is the agency responsible for short-range capital and service planning and programming for the (County) area within SCAG; and

WHEREAS, as the responsible agency for short-range transportation planning, the (County) Transportation Commission is responsible for the development of the (County) Transportation Improvement Program, including all projects utilizing federal and state highway/road and transit funds; and

WHEREAS, the (County) Transportation Commission must determine, on an annual basis, the total amount of funds that could be available for transportation projects within its boundaries; and

WHEREAS, the (County) Transportation Commission has adopted the FFY 2016/17-2021/22 (County) Transportation Improvement Program with funding for FFY 2016/17 and 2017/18 available and committed, and reasonably committed for FFY 2018/19 through 2021/22.

NOW, THEREFORE, BE IT RESOLVED by the (County) Transportation Commission that it affirms its continuing commitment to the projects in the FFY 2016/17-2021/22 (County) Transportation Improvement Program (TIP); and

BE IT FURTHER RESOLVED, that the FFY 2016/17-2021/22 (County) TIP Financial Plan identifies the resources that are available and committed in the first two years and reasonably available to carry out the program in the last four years, and certifies that:

1. Projects in the FFY 2016/17-2021/22 (County) TIP are consistent with the proposed 2016 State Transportation Improvement Program scheduled to be approved by the California Transportation Commission in April 2016; and
2. All of the projects in the (County) TIP have complete funding identified in the Program except the (project _____) which will require additional funding in the 2016 STIP cycle. This project is in the County's number one priority for 2016 STIP funds. The (County) 2016 STIP Regional Transportation Improvement Program, as identified in the Financial Plan, will include sufficient transportation funds to complete the project. Therefore, as required by MAP-21, the Commission finds that full funding can reasonably be anticipated to be available for the (project) within the time period contemplated for completion of the project.
3. (County) has the funding capacity in its county Surface Transportation Program and Congestion Mitigation and Air Quality Program allocation to fund all of the projects in the FFY 2016/17-2021/22 (County) TIP; and
4. The local match for projects funded with federal STP and CMAQ program funds is identified in the TIP.
5. All the Federal Transit Administration funded projects are programmed within MAP-21 Guaranteed Funding levels.

PASSED, APPROVED AND ADOPTED this ___ day of _____, _____.

4. Grouped Project Listings

CTCs are responsible for listing all projects and amounts associated with grouped projects. Detailed back-up listings of grouped projects are due with the County TIP submittals and amendments and must be attached to the grouped project in the FTIP database as well. Back-up lists are required by Caltrans and FHWA/FTA for approval of the grouped projects in the FTIP and amendments. The project lists and associated cost should match the amounts programmed for the grouped projects. Additional information on projects that can be grouped and submitted as grouped project lists can be found starting on page 70 of these Guidelines.

5. Modeling Reports

As part of the 2017 FTIP submittal, the CTCs must provide a modeling report generated from the SCAG database. For CTCs that upload projects to the SCAG database, the modeling report must also be generated from the SCAG database.

THIS PAGE INTENTIONALLY LEFT BLANK.

III. Transportation Air Quality Conformity and Modeling

III. TRANSPORTATION AIR QUALITY CONFORMITY AND MODELING

A. Transportation Air Quality Conformity Requirements

Pursuant to the *Federal Clean Air Act* (CAA), national ambient air quality standards are established for various criteria pollutants. The federal requirements for air quality management are incorporated into the State Implementation Plans (SIPs) for those criteria pollutants stipulated in the CAA. State of California requirements for transportation are incorporated into Senate Bill 45 (SB 45) and other California codes.

In compliance with the CAA requirements, the U.S Environmental Protection Agency's (EPA) *Transportation Conformity Regulations* establish regulatory provisions for processing transportation plans, programs, and projects in the federal nonattainment and maintenance areas under Title 23 U.S.C., the *Federal Transit Act*, and Section 176(c) of the 1990 CAA Amendment. The *Transportation Conformity Regulations* require transportation plans, programs, and projects to “conform” to the applicable SIPs and thus support attainment of federal air quality standards.

Areas within the SCAG region are designated as nonattainment or maintenance for multiple criteria pollutants; the nonattainment areas have not attained federal health-based air quality standards. The *Transportation Conformity Regulations* stipulate that transportation plans, programs (including the 2017 FTIP), and projects cannot receive federal funds or federal approval unless they demonstrate conformity with the applicable SIPs, including meeting the emissions budgets included in each SIP.

For guidance on projects that are exempt from conformity requirements or are not regionally significant, see Items E, F, and G starting on page 52 of this chapter.

The 2017 FTIP will complete the conformity process and analyses including findings in accordance with the criteria and procedures set in the *Transportation Conformity Regulations* and all related court rulings.

The conformity determination is made by nonattainment/maintenance area and pollutant. There are five required tests for conformity determination of the 2017 FTIP:

- i. Consistency with the approved 2016-2040 RTP/SCS
- ii. Regional emissions analysis
- iii. Financial constraint
- iv. Timely implementation of TCMs
- v. Interagency consultation and public involvement

B. Air Basins, Air Districts, and Non-attainment and Maintenance Areas in the SCAG Region

There are four air basins, administered by five air districts, and twenty nonattainment and maintenance areas within the SCAG region (see Maps starting on page 35). The four air basins and nineteen nonattainment and maintenance areas are listed below:

i. The South Coast Air Basin (SCAB):

The SCAB encompasses the urbanized portions of Los Angeles, Riverside, and San Bernardino counties as well as the entire County of Orange. There are nine nonattainment and maintenance areas within the SCAB.

- The entire basin is a nonattainment area for 1997, 2006, and 2012 PM_{2.5} and a maintenance area for CO, NO₂, and PM₁₀.
- The entire basin excluding the Morongo and Pechanga ozone nonattainment areas is a nonattainment area for 8-hour Ozone.
- Morongo is a nonattainment area for 8-hour Ozone.
- Pechanga is a nonattainment area for 8-hour Ozone

ii. The Ventura County portion of the South Central Coast Air Basin (SCCAB):

- The entire county is a nonattainment area for 8-hour Ozone.

iii. The Mojave Desert Air Basin (MDAB):

The desert areas of the Los Angeles, Riverside, and San Bernardino counties constitute the SCAG portion of the MDAB. A small portion of the MDAB is in Kern County that is outside of the SCAG region. There are three nonattainment and maintenance areas within the MDAB:

- Antelope Valley Portion of MDAB - The entire desert portion of Los Angeles County (known as Antelope Valley) is part of the Western Mojave Desert Air Basin nonattainment area for 8-hour Ozone.
- San Bernardino County Portion of MDAB -
 - With the exception of the northern and eastern parts of the County, the rest is part of the Western Mojave Desert Air Basin nonattainment area for 8-hour Ozone.
 - Searles Valley (situated in the northwestern part of the County) is nonattainment for PM₁₀.
 - San Bernardino County (excluding the Searles Valley area) within the MDAB is a nonattainment area for PM₁₀.

iv. The Salton Sea Air Basin (SSAB):

The SSAB consists of Imperial County and the central portion of Riverside County. There are six nonattainment and maintenance areas within the SSAB:

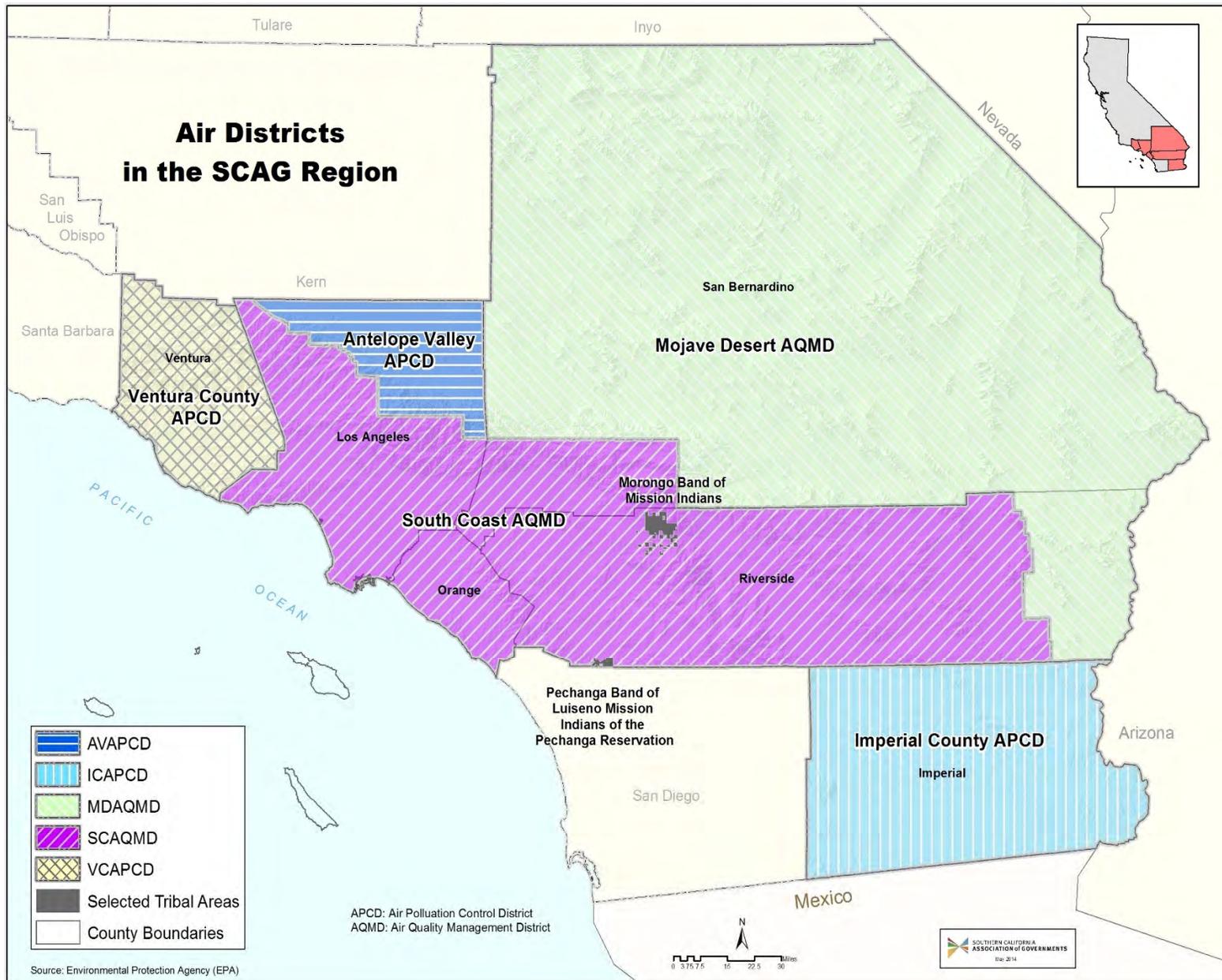
- The Riverside County Portion of SSAB – The Coachella Valley area is a nonattainment area for 8-hour Ozone and a maintenance area for PM₁₀.
- The entire Imperial County is a nonattainment area for PM₁₀ and a nonattainment area for 8-hour Ozone.
- The urbanized area of the Imperial County is a nonattainment area for 2006 and 2012 PM_{2.5}.

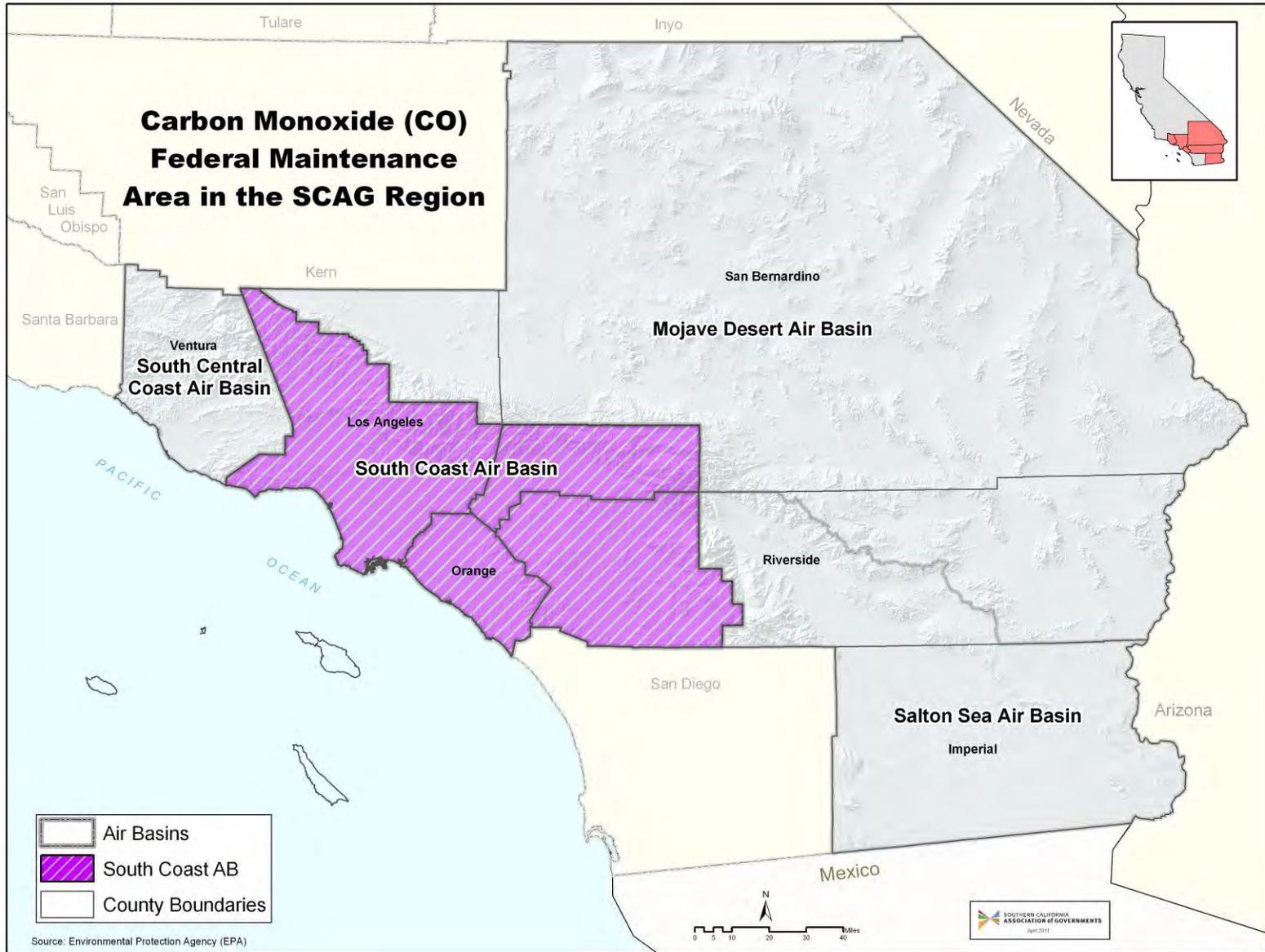
The five air districts and the areas they administer are as follows:

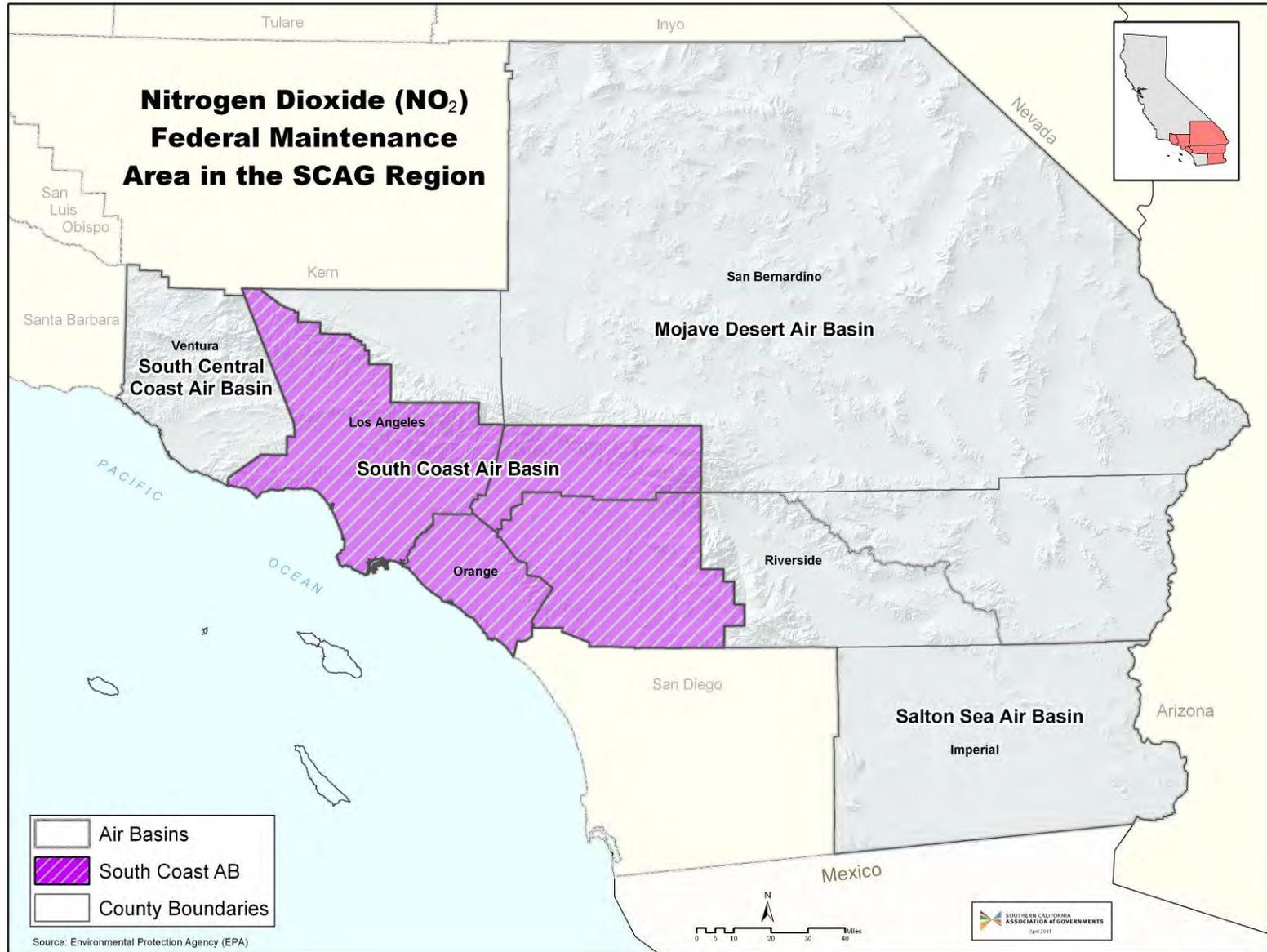
Air District	Jurisdiction
South Coast Air Quality Management District (SCAQMD).	The SCAB, excluding Morongo and Pechanga, the Riverside County portion of the SSAB (Coachella Valley), and the Riverside County portion of the MDAB excluding Palo Verde Valley.
Ventura County Air Pollution Control District (VCAPCD).	Ventura County portion of the SCCAB.
Mojave Desert Air Quality Management District (MDAQMD).	Portions of the MDAB situated in San Bernardino County and eastern Riverside County. The Riverside County portion is known as the Palo Verde Valley Area.
Antelope Valley Air Quality Management District (Antelope AQMD).	Los Angeles County portion of the MDAB.
Imperial County Air Pollution Control District (ICAPCD).	Imperial County portion of the SSAB.



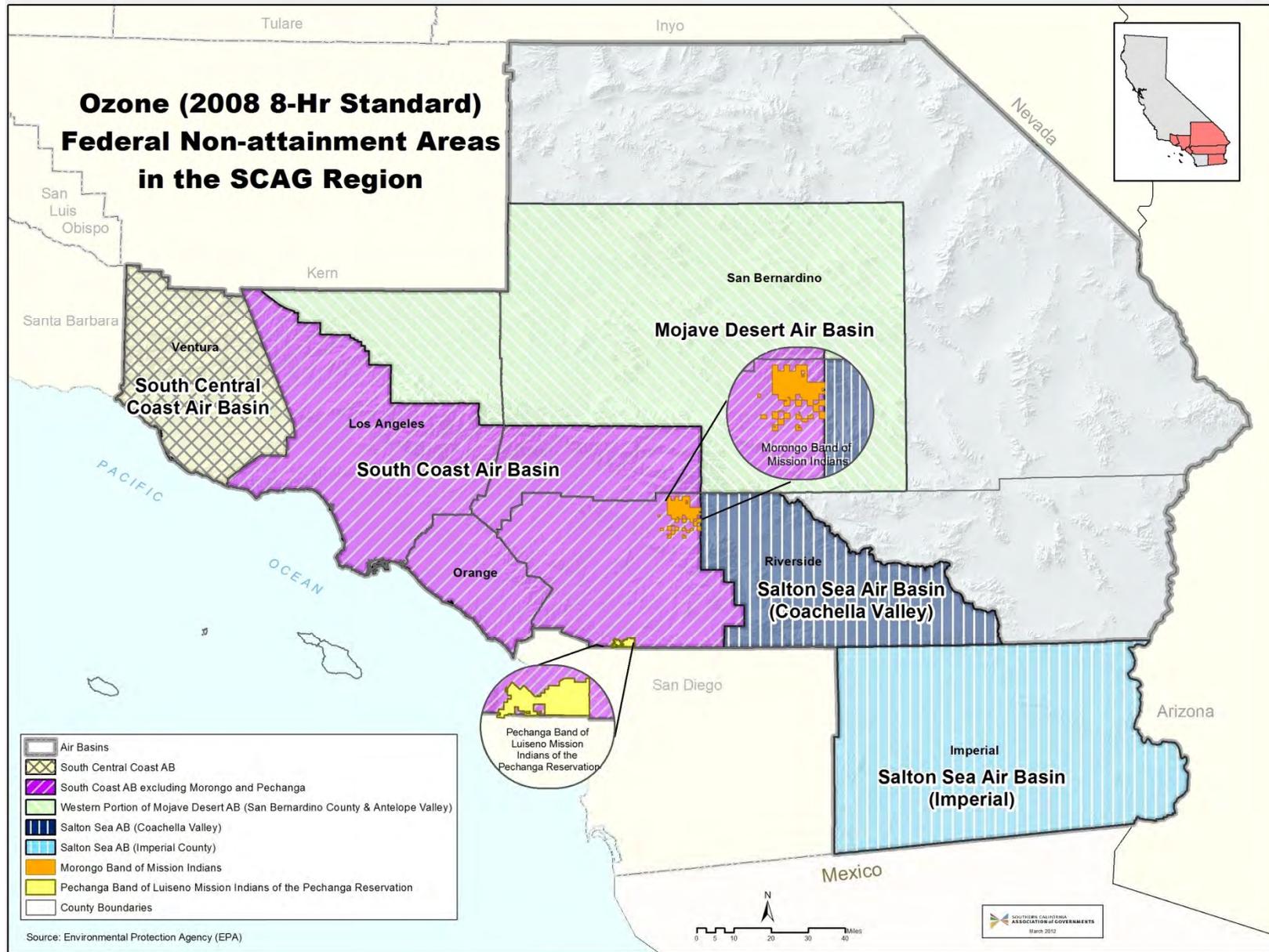
D:\Work\Special\1687R1P_maps

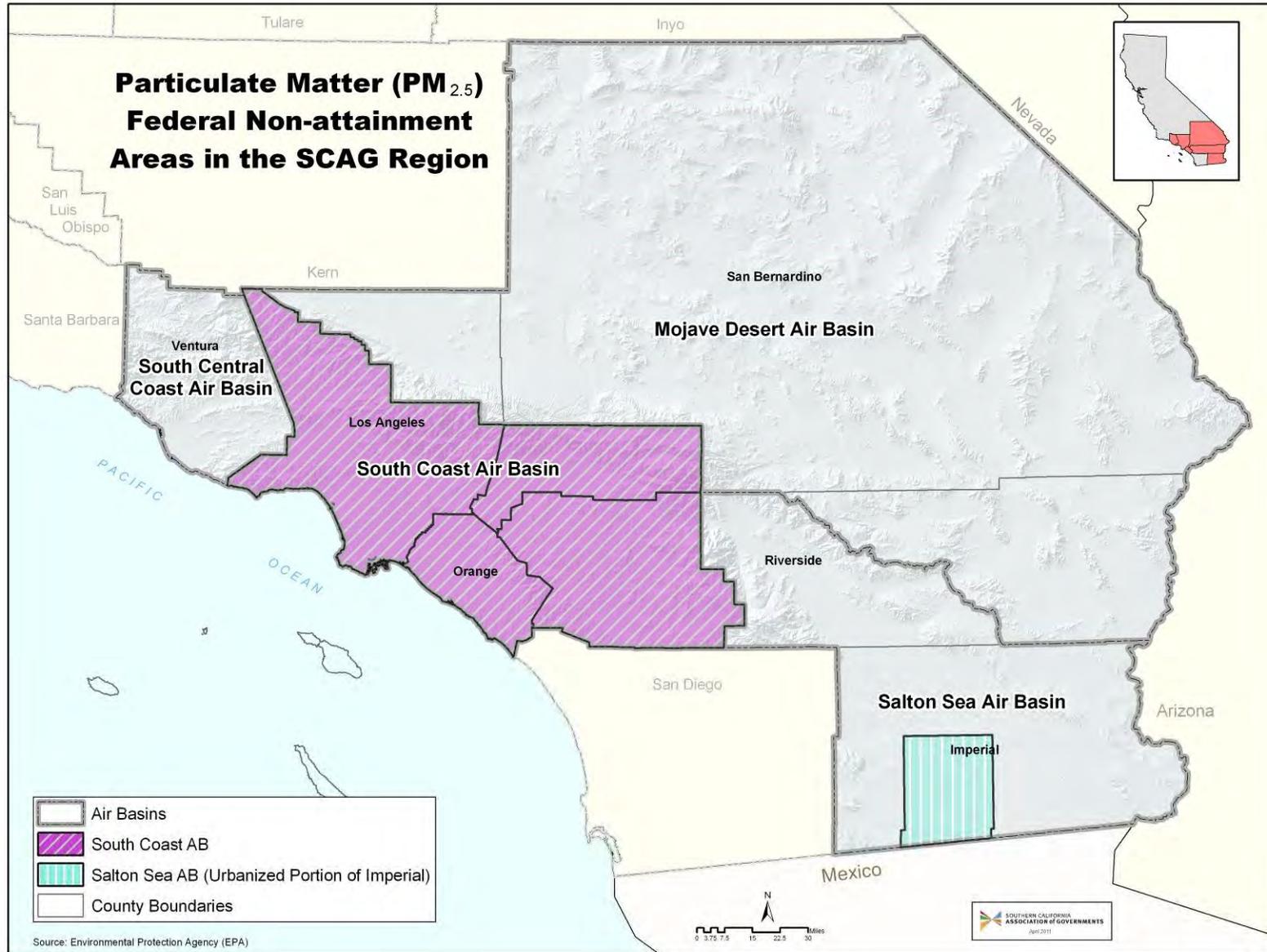




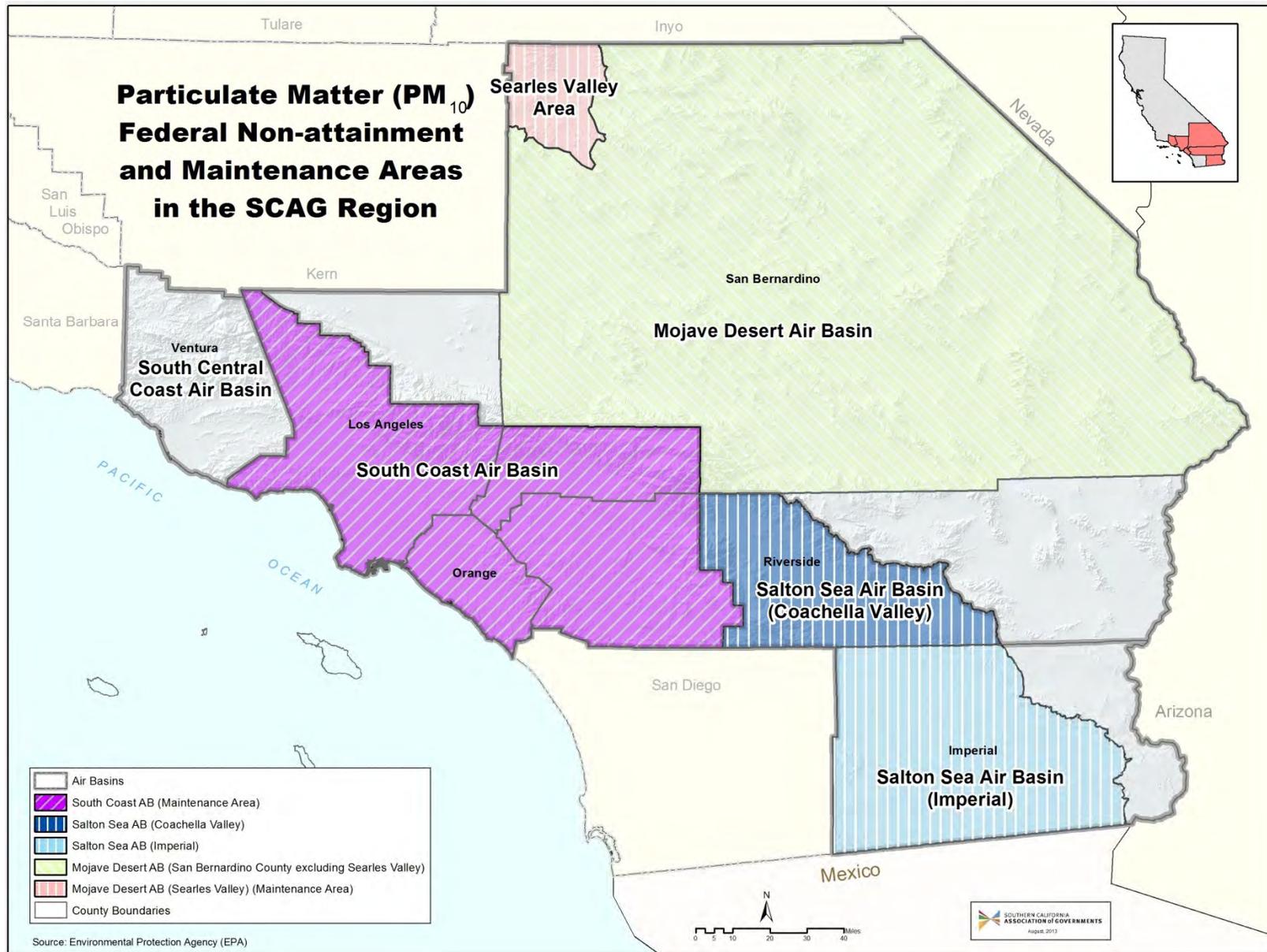


D:\Work\Special\1697\FTIP_maps





D:\Work\Special\1687\RTIP_maps



C. Required Modeling for Transportation Conformity

The *Transportation Conformity Regulations* establish the criteria and procedures necessary to meet the transportation conformity requirements set forth in CAA. MPOs do not have discretion relative to these criteria or procedures. Per the conformity regulations, projects must be from a conforming RTP/SCS.

Conformity requires, in part:

- Demonstration through transportation model-based emissions analyses that the RTP/SCS and FTIP meet the motor vehicle emission budgets for each pollutant or pollutant precursor established in each SIP;
- The emissions analysis of the transportation system include all regionally significant projects contained in the RTP/SCS and all other regionally significant highway and transit projects;
- Modeled years include the year with motor vehicle emission budget, attainment year, RTP/SCS horizon year, and other years such that modeled years can be no more than ten years apart;
- Perform interim conformity emission tests for those nonattainment and maintenance areas for which no motor vehicle emission budgets are set. In such a case, the conformity emissions analysis requires that emissions in all milestone years are less than baseline/nobuild emissions.

Required modeling years¹ by air basin and nonattainment/maintenance area are as follows:

Table B-1 South Central Coast Air Basin – Ventura County Portion

Modeling Year	2020	2030	2040
NAAQS	Ozone ^a	Ozone	Ozone

Table B-2.1 South Coast Air Basin excluding Morongo and Pechanga

Modeling Year	2017	2019	2020	2021	2023	2030	2031	2040
NAAQS	Ozone ^b	PM _{2.5} ^a	Ozone ^b PM ₁₀ ^b CO NO ₂	PM _{2.5} ^a	Ozone ^b	PM ₁₀ ^b CO NO ₂	Ozone ^a PM _{2.5}	Ozone PM _{2.5} PM ₁₀ CO NO ₂

¹ Required modeling years are based on current AQMPs/SIPs. These years may change upon new AQMPs/SIPs.

^a Attainment year

^b Budget year

Table B-2.2 Morongo Ozone Non-attainment Area

Modeling Year	2017	2020	2023	2030	2040
NAAQS	Ozone ^b	Ozone ^{a,b}	Ozone ^b	Ozone	Ozone

Table B-2.3 Pechanga Ozone Non-attainment Area

Modeling Year	2017	2020	2023	2030	2040
NAAQS	Ozone ^{a,b}	Ozone ^b	Ozone ^b	Ozone	Ozone

Table B-3 Western Mojave Desert Air Basin – Antelope Valley Portion of Los Angeles County and San Bernardino County Portion of MDAB excluding Searles Valley

Modeling Year	2020	2026	2030	2040
NAAQS	Ozone	Ozone ^a	Ozone	Ozone

Table B-4 Mojave Desert Air Basin –San Bernardino County Portion

Modeling Year	2020	2030	2040
NAAQS	PM ₁₀	PM ₁₀	PM ₁₀

Table B-5 Mojave Desert Air Basin – Searles Valley Portion

Modeling Year	2020	2030	2040
NAAQS	PM ₁₀	PM ₁₀	PM ₁₀

Table B-6 Salton Sea Air Basin – Coachella Valley Portion

Modeling Year	2020	2026	2030	2040
NAAQS	Ozone; PM ₁₀	Ozone ^a	Ozone; PM ₁₀	Ozone; PM ₁₀

Table B-7 Salton Sea Air Basin – Imperial County Portion-

Modeling Year	2017	2020	2030	2040
NAAQS	Ozone ^a	Ozone PM _{2.5} PM ₁₀	Ozone; PM _{2.5} ; PM ₁₀	Ozone; PM _{2.5} ; PM ₁₀

Note: 2021 is attainment year for Moderate PM2.5 nonattainment area under 2012 annual PM2.5 standard; however, attainment year is not a required modeling year under interim (build vs no-build) test.

Example 1

Based on these requirements set forth by federal laws, changes to the opening date of a project in a nonattainment/maintenance area must be accounted for in a RTP/FTIP amendment in those cases when the revised completion date would place the project in a year different from what was modeled in the federally approved RTP/SCS or FTIP in the same air basin. As a hypothetical example:

- The federally approved transportation conformity emissions analysis required modeling for years 2017, 2019, 2020, 2021, 2023, 2030, 2031, and 2040 in the South Coast Air Basin (SCAB) nonattainment area;
- A project in the SCAB was included in the federally approved RTP/SCS and FTIP with an opening date of 2016 (i.e., project was modeled in the 2017 network);
- Revised opening date of 2019 (crosses over the next required model year);
- Need to remodel since 2017 model network would no longer be correct – RTP/SCS and FTIP amendment would be necessary to make this change.

Example 2

For those cases where a project's opening date does not cross over to a different required model year in the air basin where this project is located, no new emissions analysis is necessary for purposes of conformity. As a hypothetical example:

- The federally approved transportation conformity emissions analysis required modeling for years 2020, 2030, and 2040 in the South Central Coast Air Basin (SCCAB) nonattainment area;
- A project in the SCCAB was included in the federally approved RTP/SCS and FTIP with an opening date of 2016 (i.e., project was modeled in the 2020 network);
- Revised opening date of 2017 (does not cross over the next required model year); No need to remodel.

D. Regionally Significant Projects

EPA conformity regulations require that the impacts of “Regionally Significant” projects be considered in the regional emissions analyses for regional transportation plans and TIPs regardless of funding sources (e.g. even 100% locally funded projects). EPA’s use of the term “Regionally Significant” is intended to limit emissions analyses to those projects that would have significant impacts on regional travel, emissions and air quality. EPA defines the terms as follows:

“Regionally significant project means a transportation project (other than an exempt project) that is on a facility which serves regional transportation needs (such as access to and from the area outside of the region, major activity centers in the region, major planned developments such as new retail malls, sports complexes, etc., or transportation terminals as well as most terminals themselves) and would normally be included in the modeling of a metropolitan area’s transportation network,

including at a minimum all principal arterial highways and all fixed guideway transit facilities that offer an alternative to regional highway travel.”

For the purpose of regional transportation modeling and regional emissions analysis in the SCAG region, **any transportation facility project meeting one of the following criteria is considered regionally significant:**

- a. **Freeways**
- b. **State Highways**
- c. **Principle Arterial (Eight-lane divided roadway)**
- d. **Major Arterial** (county defined)
- e. **Routes** that provide access to major activity centers such as amusement parks, regional shopping centers, military bases, airports and ports
- f. **Goods Movement Routes** including both truck routes and rail lines as well as rural agricultural routes that provide goods to the regions
- g. **Intermodal transfer facilities** such as transit centers, rail stations, airports, and ports
- h. **Fixed transit routes** such as light and heavy rail, commuter rail, and express bus routes

Each county is required to identify regionally significant projects by entering the appropriate *program code* for each project in the SCAG FTIP database. The codes are listed based on the program code type (i.e. the first two characters). For example, capacity enhancing improvements are coded as “CA,” while Non-Capacity Improvements are coded “NC.” To better identify projects of Regional Significance and Goods Movement projects, please utilize the Regionally Significant (“X”), and Goods Movement (“Y”) program codes (see page 91 of these Guidelines). A regionally significant, capacity enhancing grade crossing project should be coded as “CAX61.” If the grade separation project will improve access to and from a port, the project should be coded as “CAY61” to identify it as a goods movement project.

The program codes also assist SCAG staff in identifying projects that require modeling. Modeled projects will be extracted from the SCAG FTIP database based on the regionally significant program codes. It is imperative that the Program Code field is accurate to ensure that projects are modeled. Specific project information is required for modeling purposes. The required information for input for each type of project is found on the far right column of the table (see *Table III-A: Modeling Information on page 46*). Counties should enter this project information into the FTIP database as part of the project description and/or comment section.

In addition to the modeling information, counties should identify other projects not covered in the project list provided in *Table III-A: Modeling Information*. Examples of other regionally significant projects are goods movement routes, intermodal transfer facilities, and major fixed transit routes.

SCAG also models the type of projects listed below to provide accurate VMT estimates utilized in the regional emissions analysis. This information is to be submitted to the SCAG Transportation Modeling Division with the same deadline as the submittals for the FTIP cycle.

- (a) Major Arterial
- (b) Bus Routes (Express and local)

SCAG's Modeling Task Force and Transportation Conformity Working Group function as the forums responsible for interagency consultation to discuss which minor arterials and other projects, in addition to EPA's definition of regionally significant projects, shall be modeled.

Table III-A: MODELING INFORMATION

Project Category	Program Code(s)	Required Modeling Details
<p><u>Interchange Projects</u></p> <p>- New interchanges.</p>	<p>CAX70 CAY70 CAX71 CAY71 CAXT7 CAYT7</p>	<ol style="list-style-type: none"> 1) Type of facility, length, beginning and end points of the project 2) Number of lanes in each direction 3) Posted speed limits 4) New freeway interchange should include a sketch diagram showing the overall scope 5) For project with HOV facilities, also include number of HOV lanes in each direction and location of access/egress 6) Truck only or truck prohibition 7) Project completion date
<p>- Interchange reconstruction projects that add capacity.</p>	<p>CARH3 CART3 CAXT3 CAYT3</p>	<ol style="list-style-type: none"> 1) Location, configuration, beginning and end points of the project and type of facility 2) Existing and proposed number of lanes in each direction 3) Posted speed limits
<p>- Ramp widening and new ramps to existing interchanges.</p>	<p>CAX71 CAY71</p>	<ol style="list-style-type: none"> 1) Existing ramp – existing and proposed number of lanes 2) New Ramp – Number of lanes 3) Posted speed limits <p>Note: <u>Entry ramp</u>: If lane additions end at the gore point (no added lanes at the mainline) then no modeling is required. <u>Exit ramp</u>: If additional lanes are turn lanes and are within the ramp no modeling is required.</p>
<p>- Extended Interchange (IC) Ramp Acceleration/Deceleration Lanes.</p>	<p>CAR88</p>	<ol style="list-style-type: none"> 1) Length of extended IC Ramp Acc/Del Lanes, modeling required if ¼ mile or greater

Project Category	Program Code(s)	Required Modeling Details
- Interchange projects with auxiliary lanes.	CAN21 CAN37	In addition to interchange project information (except extended IC ramp category): 1) Type of auxiliary lanes including locations of beginning and end points 2) Length and number of lanes 3) Posted speeds
- Existing over/under-crossings that add new ramps to become interchanges.	CAR75 CAX75 CAY75 CART0 CAXT0 CAYT0	Same as new interchange 1) Type of facility, length, beginning and end points of the project 2) Number of lanes in each direction 3) Posted speed limits 4) New freeway interchange should include a sketch diagram showing the overall scope 5) For project with HOV facilities, also include number of HOV lanes in each direction and location of access/egress 6) Truck only or truck prohibition 7) Project completion date
<u>Local Road & Arterial Projects</u> - New local roads & arterials.	CAX66 CAY66 CAN66 CAXT5 CAYT5 CANT5 CAN77	1) Location and type of facility including length, beginning and end points of the project 2) Number of lanes in each direction 3) Divided, undivided, or continuous left turn lane 4) Signal optimization or turn prohibition 5) Roadside parking restriction 6) Posted speeds 7) Existing number of lanes 8) Reversible Lanes
- New local road & arterial connections	CAN66 CAX66 CAY66 CANT5 CAXT5 CAYT5	1) Location and type of facility including length, beginning and end points of the project 2) Number of lanes in each direction 3) Divided, undivided, or continuous left turn lane 4) Signal optimization or turn prohibition 5) Roadside parking restriction 6) Posted speeds 7) New local street should include a sketch diagram showing the overall scope
- Local road & arterial improvements that add capacity (includes gap closures)	CAN76 CAX76 CAY76 CAX62 CAY62 CAR63 CAX63 CAY63 CART2 CAXT2 CAYT2	1) Project length, beginning and end points of the improvement 2) Existing and proposed number of lanes 3) New capacity by signal optimization or parking restriction if no lane addition 4) Specify if facility type changes with changes in number of lanes 5) Upgrade road system to Parkway

Project Category	Program Code(s)	Required Modeling Details
- Local road & arterial improvements that reduce capacity (Road Diet)	CAX77	<ol style="list-style-type: none"> 1) Project length, beginning and end points of the improvement 2) Existing and proposed number of lanes 3) New capacity by signal optimization or parking restriction if no lane addition 4) Specify if facility type changes with changes in number of lanes 5) Upgrade road system to Parkway 6) Number of lanes eliminated 7) Specify the use of the removed lanes
- Extended Arterial Right-Turn Lanes	CAR63 CAX63 CAY62 CAY63	<ol style="list-style-type: none"> 1) Project length, beginning and end points of the improvement 2) Existing and proposed number of lanes
<p><u>Bridge & Grade Separation Projects</u></p> <p>- New bridges (Over-cross or Under-cross).</p>	CAX65 CAY65 CAN65 CAXT4 CAYT4 CANT4 CAX72 CAY72	<ol style="list-style-type: none"> 1) Location, length, posted speeds and number of lanes in each direction 2) Existing number of lanes and type of facility approaching or merging to the new bridge 3) Bridges/Grade Separation should include a sketch diagram showing the overall scope
- Bridge reconstruction. projects that add capacity.	CAX60 CAN72 CAX72 CAY72 CAXT1 CAXT8 CAYT8 CANT8 CAR75 CAX75 CAY75	<ol style="list-style-type: none"> 1) Existing and proposed number of lanes in each direction 2) Change of facility type
- Grade separation projects that add capacity to local roads/highways.	CAX61 CAY75 CAR75 CAXT0 CAYT0 CART0	<ol style="list-style-type: none"> 1) Location, length, and facility type 2) Existing and proposed posted speeds and number of lanes in each direction 3) Change of facility type or capacity to the merging local roads or highways 4) Truck only or truck prohibition <p>(Describe whether grade separation number of lanes matches or adds to number of lanes approaching the grade crossing on an existing road; existing grade crossing may be narrower than the rest of the existing road.)</p>

Project Category	Program Code(s)	Required Modeling Details
<p><u>State Highway Projects</u></p> <p>- New highways.</p>	CAX66 CAY66 CAN66 CAXT5 CAYT5 CANT5 CAX68 CAY68 CAX67 CAY67 CAN67 CAXT6 CAYT6 CANT6 CAN69	<ol style="list-style-type: none"> 1) Type of facility, length, beginning and end points of the project 2) Number of lanes in each direction 3) Posted speed limits 4) A sketch diagram showing the alignment or configuration of the new highway project 5) For project with HOV facilities, also include number of HOV lanes in each direction and location of access/egress 6) Truck only or truck prohibition within urbanized area 7) Toll facility also include toll rate, toll collection location and method 8) Project completion date
<p>- New connections.</p>	CAX62 CAY62 CAY63 CAR63 CAX63 CAN69	<ol style="list-style-type: none"> 1) Location and configuration of the new connection 2) Type of facility, number of lanes in each direction 3) Posted speed limits
<p>- Mainline improvements that add capacity (general purpose and HOV lanes).</p>	CAX62 CAY62 CAX63 CAY63 CAR63 CART2 CAXT2 CAYT2	<ol style="list-style-type: none"> 1) Length, beginning and end points of the project 2) Number of lanes in each direction 3) Posted speed limits 4) Existing number of lanes (Specify if it includes Auxiliary lanes)
<p>- Auxiliary lanes.</p>	CAN21 CAN37	<p>Same as above</p> <ol style="list-style-type: none"> 1) Length, beginning and end points of the project 2) Number of lanes in each direction 3) Posted speed limits 4) Specify the status of Auxiliary lanes, if any existing
<p>- New HOV lanes.</p>	CAX62 CAY62	<ol style="list-style-type: none"> 1) Number of HOV lanes in each direction and location of access and egress points 2) Auto occupancy threshold and hours of operation 3) Posted speed limits
<p>- New HOT lanes.</p>	CANT9 CART9 CAXT9	<ol style="list-style-type: none"> 1) Number of HOT lanes in each direction and location of access and egress points 2) Auto occupancy threshold and hours of operation 3) Posted speed limits 4) Rates
<p><u>Bus Transit Projects</u> <i>(Fixed-route & inter-city/commuter bus)</i></p> <p>- New bus routes. - New bus service.</p>	BUO00 BUO01 BUO02 BUN94 BUN93	<ol style="list-style-type: none"> 1) Bus route and location of stops 2) Time and distance between stops 3) Headway, boarding fare and transfer fare 4) Park-and-ride facility and location, parking cost

Project Category	Program Code(s)	Required Modeling Details
- Vehicle/Service expansions.	BUO00 BUO01 BUO02 BUN94 BUN93	Same as above 1) Bus route and location of stops 2) Time and distance between stops 3) Headway, boarding fare and transfer fare 4) Park-and-ride facility and location, parking cost
- Construction of exclusive busways.	BUN94 BUN93 PAN94 PAN93	1) Location, beginning and end points of the busway 2) Bus route and location of stops 3) Headway for peak and off-peak periods, boarding fare and transfer fare 4) Park-and-ride facility and location, parking cost
<u>Mass Transit Facilities</u> - New inter-modal transportation centers.	TRNH6*	1) Location of the new center 2) Type of service including passengers and trucks 3) Parking facility for passengers
- New Multi-modal passenger stations.	TRNH6	1) Location of the new station 2) Rail, bus, and other transit services using the facility 3) New parking facility location and parking cost
<u>Rail Service</u> - New Rail Service - Existing Rail Service Expansion	TRNH6* TREH6 TRN92 TRR15 TRN14 TRR14 LRN92 RAN92	1) Location of the new station 2) Rail, bus, and other transit services using the facility 3) Distance of Rail Extension 4) New parking facility location and parking cost 5) Rail Time and Distance 6) Headway by time periods 7) Boarding fare and transfer fare
<u>Park and Ride Facilities (P&R)</u> - New Park & Ride facilities & - Expansion to Existing Park & Ride	TDN64	1) Location of the new P&R facilities 2) Type of P&R Facility (Express Bus, Vanpool, Metrorail, etc.) 3) Capacity (# of Spaces)
<u>Traffic Signal Synchronization</u> - New traffic signal synchronization (3 or more signals)	ITS02	1) Route 2) Beginning and ending points 3) Number of signals along with signal location map/diagram

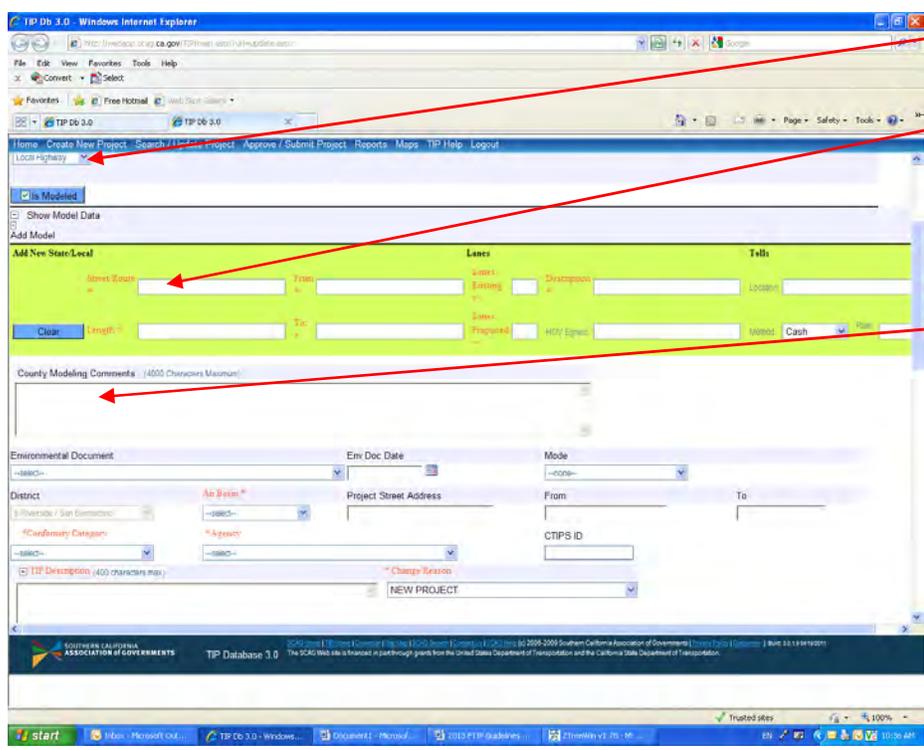
* For Baseline Modeling

Modeling

Counties must provide modeling information for all modeled projects in the FTIP Database in the modeling section of the project input screen. The information provided in the FTIP Database will be the **only** source of information that SCAG will use to model the 2017 FTIP. Thus, it is critical for all modeled projects to have the appropriate information in the modeling section. On page 51 is a view of the Modeling input fields and comment field for CTCs to add any additional modeling information. (Exhibit A)

A sample of the modeling report can be generated from the FTIP Database which will encompass all the modeling fields in the FTIP Database. If existing modeled projects to the 2015 FTIP are carried over to the 2017 FTIP, any changes to the modeled fields need to be updated. CTCs are also required to submit a location map for each modeled project as discussed below.

Exhibit A - FTIP Database Create/Update Screen Modeling Details fields



Select System for the Modeling fields to show in the input

Enter the modeling information in the Modeling fields. If project has multiple segments, the System will allow you to open a new set of modeling fields.

CTCs may enter any additional Modeling comments that may assist the modeling staff

Mapping Modeled Project

CTCs are required to submit a location map for each regionally significant project to be included in the regional emissions analysis. Other helpful information that may be included are project diagrams, funding applications and Project Study Reports (or excerpts). The CTCs will be able to submit these maps and documents as attachments to the FTIP database. (see exhibit B on page 88 for instructions)

CTCs may also use the Map page in the database to view all the projects that have been modeled. To locate a project, the CTCs may search by project ID or description of the project.

The interactive GIS mapping application allows users to edit the map (refer to steps below) such as drawing lines, drawing polygons, or entering text. CTCs may use this mapping application to show changes to modeled projects by using the editing tools to create lines and enter an updated project description. To perform these tasks, please follow the steps below:

Access the GIS mapping application that is linked to the FTIP database and search for the project you would like to update.

- Use the editing tools at the top of the page, draw the project; for example, if a project's beginning and end points have changed, the user may draw a line to show the new start and end points. If the description differs from the existing project (ex. Project ABC9999 states that you are widening X street from 2 to 4 lanes from Y street to D street), the revised project extends the beginning and end limits.
- Draw the new segment and update the project description using the text tool.
- Save the changes to a PDF file.
- Transmit the changes with your final county TIP package to SCAG via Email or use the attachment feature in the database project input screen(see Exhibit B on page 88)
- SCAG staff in turn will make the changes to the Modeling and GIS networks.
- For new projects, follow the same steps as above, except that you are now drawing a new project line on the mapping application.

E. Non-federal / Non-regionally Significant Projects – 100% Locally Funded

A non-federal project is a highway or transit project that requires no federal funding or approval, but is funded by an agency that routinely receives funds from FHWA or the Federal Transit Administration (FTA). Caltrans, County Transportation Commission, city, county, or public transit agencies are examples of such agencies. **Projects that are 100% locally funded should only be included in the FTIP if projects meet at least one of the following criteria:**

- 1) Regionally Significant or Goods Movement project (see page 44)
- 2) Capacity Enhancing project (see Table III-A starting on page 46)
- 3) Funding for a future phase will be federal
- 4) Environmental document requires federal approval
- 5) Project will help meet TDM / Non-Motorized investment Goals (see page 10)

All other non-federal and non-regionally significant projects should not be included in the FTIP. Limiting the number of locally-funded projects in the FTIP will significantly reduce the amount of staff time for everyone involved in inputting, reviewing and maintaining projects in the database.

F. Projects Exempt from Conformity²

Projects defined as exempt projects in §93.126 of the *Transportation Conformity Regulations* are exempt from the requirement to determine conformity (not required for regional and project level analysis). Exempt projects are listed in the Transportation Conformity Regulations as *Table 2--Exempt Projects* and are listed in these guidelines as *Table III-B: Projects Exempt from Conformity* on page 54. Nevertheless, the emissions

² Note: Projects exempt from regional emissions analysis may still be subject to project-level conformity analysis.

reductions from these projects can be included in the conformity analysis. Such projects may proceed toward implementation even in the absence of a conforming transportation plan and TIP. Additionally, a project may not be exempt if the MPO in consultation with other agencies, the EPA, FHWA (in case of a highway project), or the FTA (in case of a transit project) concur that the project has a potentially adverse emissions impact for any reason (see §93.105(c)(1)(III)). In such an event, a regional emissions analysis may be required. States and MPO's must ensure exempt projects do not interfere with TCM Implementation.

In addition, the Oct. 6, 2014 FHWA/FTA Final Rule on Environmental Impact and Related Procedures – Programmatic Agreements and Additional Categorical Exclusions clarifies that “[t]he addition of auxiliary lanes such as climbing, turning, passing lanes, and other purposes supplementary to through-traffic movement (see definition in <http://www.ops.fhwa.dot.gov/freewaymgmt/hovguidance/glossary.htm>) rather than adding capacity, serves primarily to increase safety, which could qualify for CE in §771.117(c)(27) for safety projects” (Federal Register, Volume 79, Number 193, pages 60100-60116).

In general, exempt projects include all projects which have no emissions impact and are considered to be neutral or de minimis.

G. Projects Exempt from Regional Emissions Analysis

Projects listed in §93.127 and §93.128 of the *Transportation Conformity Regulations* are exempt from regional emissions analysis requirements and are listed in these guidelines in *Table III-C: Projects Exempt from Regional Emissions Analysis* on page 55. A particular action of the type listed in the table below is not exempt from regional emissions analysis if the MPO in consultation with other agencies, the EPA, and the FHWA (in case of a highway project) or the FTA (in case of a transit project) concur it has a potential regional impact for any reason. The conformity category codes are listed below:

CONFORMITY CATEGORY
EXEMPT - §93.126
EXEMPT - §93.127
EXEMPT - §93.128

Note, while traffic signal synchronization may be approved, funded, and implemented without regional emission analyses, subsequent plans and TIPs need to include these projects in the regional emissions analysis. Therefore, project sponsors must provide location information on these projects.

Table III-B: Projects Exempt from Conformity (§93.126)

<p><u>Mass Transit</u></p> <ul style="list-style-type: none"> ▪ Operating Assistance to transit agencies ▪ Purchase of support vehicles ▪ Rehabilitation of transit vehicles¹ ▪ Purchase office, shop & operating equipment for existing facilities ▪ Purchase of operating equipment for vehicles (e.g., radios, fare boxes, lifts) ▪ Construction or renovation of power, signal and communications systems ▪ Construction of small passenger shelters and information kiosks ▪ Reconstruction/renovation of transit buildings and structures (e.g., rail or bus buildings, storage & maintenance facilities, stations, terminals & ancillary structures) ▪ Rehabilitation or reconstruction of track structures, track and trackbed in existing rights-of-way ▪ Purchase of new buses and rail cars to replace existing vehicles or for minor expansions of the fleet ▪ Construction of new bus or rail storage/maintenance facilities categorically excluded in 23 CFR Part 771 <p><u>Air Quality</u></p> <ul style="list-style-type: none"> ▪ Continuation of ride-sharing and van-pooling promotion activities at current levels ▪ Bicycle and pedestrian facilities <p><u>Safety</u></p> <ul style="list-style-type: none"> ▪ Railroad/highway crossing ▪ Projects that correct, improve, or eliminate a hazardous location or feature ▪ Safer non-Federal-aid system roads ▪ Shoulder Improvements ▪ Increasing sight distance ▪ Highway Safety Improvement Program implementation ▪ Traffic control devices and operating assistance other than signalization projects 	<p><u>Safety</u> (cont.)</p> <ul style="list-style-type: none"> ▪ Railroad/highway crossing warning devices ▪ Guardrails, median barriers, crash cushions ▪ Pavement resurfacing and/or rehabilitation ▪ Pavement marking ▪ Emergency relief (23 USC 125) ▪ Fencing ▪ Skid treatments ▪ Safety roadside rest areas ▪ Adding medians ▪ Truck climbing lanes outside the urbanized area ▪ Lighting improvements ▪ Widening narrow pavements or reconstructing bridges (no additional travel lanes) ▪ Emergency Truck Pullovers <p><u>Other</u></p> <ul style="list-style-type: none"> ▪ Specific activities which do not involve or lead to construction, such as: Planning and technical studies Grants for training and research programs Planning activities conducted pursuant to title 23 and 49 U.S.C. Federal-aid systems revisions ▪ Engineering to assess social, economic and environment effects of the proposed action or alternatives to that action ▪ Noise Attenuation (sound walls) ▪ Emergency or hardship advance land acquisitions (23 CFR Part 7102.503)) ▪ Acquisition of scenic easements ▪ Plantings, landscaping, etc. ▪ Sign removal ▪ Directional and information signs ▪ Transportation Enhancement Activities (except rehabilitation & operation of historic transportation buildings, structures or facilities) ▪ Repair of damage caused by natural disaster, civil unrest, or terrorist acts, except projects involving substantial functional, location, or capacity changes
---	---

¹ In PM_{2.5} and PM₁₀ non-attainment or maintenance areas, such projects are exempt only if they are in compliance with control measures in the applicable implementation plan.

Table III-C: Projects Exempt from Regional Emissions Analysis

§93.127

- Intersection channelization projects – NCRH1
- Intersection signalization projects at individual intersections – NCRH2
- Interchange reconfiguration projects (Interchange Modifications/Replacement) – NCRH3
- Changes in vertical and horizontal alignment (Curve Correction/Improve Alignment) – NCRH4
- Truck size and weight inspection stations – NCRH5
- Bus terminals and transfer points (Passenger Stations/ Facilities) – New:TRNH6;
Upgrade:TRRH6

§93.128

- Traffic Signal Synchronization (less than 3 signals) – ITS02

IV. Transportation Control Measures

IV. TRANSPORTATION CONTROL MEASURES (TCMs)

Transportation Control Measures (TCMs) are specific transportation projects and programs committed to help improve air quality, regardless of the source of funding. In other words, TCMs can be fully locally-funded. TCMs are required by the Federal Clean Air Act in ozone nonattainment areas that are classified as “serious” and under certain conditions [Section 182(c)] provide multiple benefits, including reductions of emissions and improvements to mobility and accessibility and can help support better urban form.

Southern California has among the worst air quality in the nation and must implement all reasonably available measures to support attainment of federal and state air quality standards. The unique challenges in Southern California have called for an inclusive and flexible TCM development, implementation, and monitoring process, which is included in the SIPs for the South Central Coast Air Basin (SCCAB) and the South Coast Air Basin (SCAB). Within the SCCAB and SCAB, TCM-type projects and programs that have implementation funding—right-of-way acquisition or construction funding for transit, non-motorized or HOV projects or program funding for behavioral or informational programs—within the first two years of the FTIP are committed TCMs. This ongoing rollover process has committed hundreds of projects and programs, which collectively will remove tons of air pollution each day from Southern California’s skies.

A. TCM Definitions and Categories

A TCM-type project or program is any transportation project or program that reduces vehicle use or changes traffic flow or congestion conditions for the purposes of reducing emissions from transportation sources and improving air quality.

TCM-type Projects and Programs: Only those projects meeting the specifications defined in the prevailing SIP are designated as TCM-type projects or programs. These categories define the region’s transportation strategies and control measures to reduce air pollution emissions from on-road mobile sources and provide guidance on the types of projects that can be considered in the event that a TCM substitution becomes necessary.

In the SCAG region, two ozone nonattainment areas have TCMs: the SCAB and the Ventura County portion of the SCCAB (VC/SCCAB).

For the VC/SCCAB, the current TCM-type categories are as follows:

- A. Ridesharing Strategies
 - A.1 Carpooling, Vanpooling, Buspooling
 - A.2 Modified Work Schedules
 - A.3 Park and Ride Lots
- B. Non-motorized Strategies
 - B.1 Telecommunications
 - B.2 Bicycle and Pedestrian Facilities

C. Traffic Flow Improvement Strategy

D. Land Use Strategy

E. Transit Strategies

- E.1 Public Transit Programs
- E.2 Transit/Land Use Planning
- E.3 Passenger Rail

In the SCAB, TCM-type projects and programs are defined in three main categories:

- Transit and non-motorized modes;
- HOV lanes and their pricing alternatives; and
- Information-based strategies.

A specific list of projects, consistent with the TCM-type categories, is listed in each FTIP. Please see pages 61-63 of this chapter for a detailed listing of TCM type projects.

Committed TCMs: As stated previously, a TCM-type project or program becomes a *committed* TCM once funds have been programmed by the CTCs for right-of-way acquisition or for post-design implementation in the first two years of the prevailing FTIP or FTIP amendment. Projects with funds programmed for PE only are not TCMs. If a TCM project or program is programmed through an FTIP amendment, then the TCM project or program becomes a committed TCM that must be operational by the completion date provided in the amendment. If a transportation project includes a committed-TCM portion and a non-committed-TCM portion, only the committed-TCM portion of the project is a committed TCM.

TCM Timely Implementation Reporting: Once a TCM is committed for implementation in the first two years of the FTIP, the committed TCM must be operational or implemented by the completion date committed to in the prevailing FTIP or FTIP amendment. The completion date for committed TCMs will be used to track timely implementation for the Timely Implementation Report, submitted as part of each RTP/SCS and FTIP Conformity Determination. The primary analysis for Timely Implementation Reporting will be done as part of the two-year FTIP cycle and the four-year RTP/SCS cycle, although completion status of committed TCM projects must be continuously monitored to ensure that committed TCMs are on schedule.

- Completed and operational TCM projects will be included in the TCM Timely Implementation Report in the Conformity Determination directly subsequent to project completion, and then completed projects will be removed from the list. SCAG will maintain completed TCM projects in the FTIP database.
- TCM projects require priority in funding, as well as demonstration of timely implementation, in accordance with the schedule provided in the FTIP. This means that in the event of a funding shortfall, TCM projects must be funded and implemented before non-TCM projects. In addition, all projects properly designated as TCMs in the first two years must be tracked for timely implementation, and, in the event that a project is delayed or cancelled, substitute projects that provide equivalent air quality improvement benefits must be initiated in a timely manner.

- Once a TCM project is committed for implementation in an FTIP, the implementation status must be reported on in subsequent FTIPs until the project has been completed. All committed TCMs must be implemented on schedule or substituted for to avoid a conformity lapse. If implementation obstacles arise, the obstacles must be overcome or a substitution must be made. Any development affecting implementation of a committed TCM will be reported to SCAG by the CTCs on an on-going basis. In the event that a committed TCM project encounters an obstacle to implementation, the implementing agency, SCAG, and the Transportation Conformity Working Group (TCWG) will work together to overcome the delay or to substitute the project if the obstacle cannot be overcome in a timely manner. Note that the implementation status of a committed TCM project in the 2015 FTIP with all funds programmed in the prior years of the 2017 FTIP must be reported in the 2017 FTIP TCM Timely Implementation Report even though the project may not be included in the 2017 FTIP.

B. TCM Rollover Process

TCMs Rollover Process: Approximately every two years, as the FTIP is updated, additional TCMs will be added to the South Coast and Ventura County AQMPs/SIPs based on the new FTIP and the FTIP Guidelines. The “rollover” of TCMs will update the AQMPs/SIPs to include new projects in addition to ongoing projects from previous FTIPs. The TCMs “rolled over” will be monitored for adherence to the schedule established in the FTIP at the time a project is identified as a committed TCM. The identification of TCMs from the FTIP shall be agreed upon by both SCAG and the appropriate CTCs.

The rollover of the TCMs must be adopted by SCAG’s Regional Council, in accordance with the FTIP adoption process, as described below.

- The Draft FTIP is reviewed by various SCAG Committees, Task Forces, and Working Groups, such as the standing Transportation Committee;
- The TCWG, which serves as the interagency consultation group, reviews the proposed TCMs and FTIP;
- Public notification is provided through newspapers in the affected sub-regions as well as on SCAG’s website;
- Draft FTIP materials are distributed, with appropriate cover letters, to approved public libraries and facilities and also made available on SCAG’s website for access by the public;
- Input received is compiled and analyzed, and responses to comments are provided by SCAG Staff, and made available to the public;
- A summary of comments received during the public comment period along with SCAG’s responses, following the close of the public comment period, is incorporated into the final FTIP;
- The Final FTIP is adopted by SCAG’s Regional Council;
- SCAG’s adopted FTIP is submitted to the State for funding approval and to the federal agencies (FHWA and FTA) for conformity approval.

C. Substitution of Individual TCMs

The CTCs and/or project sponsors shall notify SCAG when a TCM project cannot be delivered or will be significantly delayed. SCAG and the CTCs will identify and evaluate possible replacement measures for individual substitutions, through the TCWG, which includes members from all affected jurisdictions, federal, state and/or local air quality agencies and transportation agencies. The proposed replacement project may be a new TCM-type project or an existing TCM-type project without any funds programmed in the first two years of the prevailing FTIP.

Substitution of individual TCMs will follow the process specified in the CAA section 176(c). Section 176(c) of the CAA allows for the substitution of individual TCMs if certain conditions are met. These include:

"(i) if the substitute measures achieve equivalent or greater emissions reductions than the control measure to be replaced, as demonstrated with an emissions impact analysis that is consistent with the current methodology used for evaluating the replaced control measure in the implementation plan;

"(ii) if the substitute control measures are implemented-

"(I) in accordance with a schedule that is consistent with the schedule provided for control measures in the implementation plan; or

"(II) if the implementation plan date for implementation of the control measure to be replaced has passed, as soon as practicable after the implementation plan date but not later than the date on which emission reductions are necessary to achieve the purpose of the implementation plan;

"(iii) if the substitute and additional control measures are accompanied with evidence of adequate personnel and funding and authority under State or local law to implement, monitor, and enforce the control measures;

"(iv) if the substitute and additional control measures were developed through a collaborative process that included—

"(I) participation by representatives of all affected jurisdictions (including local air pollution control agencies, the State air pollution control agency, and State and local transportation agencies);

"(II) consultation with the Administrator; and

"(III) reasonable public notice and opportunity for comment; and

"(v) if the metropolitan planning organization, State air pollution control agency, and the Administrator concur with the equivalency of the substitute or additional control measures.

In addition to these conditions, the substitute project shall be in the same air basin and preferably be located in the same geographic area and preferably serve the same demographic subpopulation as the TCM being replaced.

The EPA's *Guidance for Implementing the Clean Air Act Section 176(c)(8) Transportation Control Measure Substitution and Addition Provision* requires that the emissions analysis demonstrates not only that the substitute TCM provides equivalent or greater emissions reductions for the same pollutants and precursors that original TCM provided in the applicable

SIP, but also that the substitution will not result in increased emissions of the other pollutants and precursors for which the area is designated nonattainment or maintenance. The emission analysis for the other pollutants and/or precursors is necessary to demonstrate that the substitution will not interfere with any applicable requirement concerning attainment, reasonable further progress, maintenance or any other applicable Clean Air Act requirement that applies to the other pollutants for which the area is designated nonattainment or maintenance.

A substitution does not require a new conformity determination or a formal SIP revision. Adoption of the new TCM in coordination with ARB and EPA concurrence will rescind the original TCM and the new measure will become effective.

SCAG will maintain documentation of all approved TCM substitutions. The documentation will provide the emissions analysis as well as a description of the substitution process, including a list of the committee or working group members, public comment process, and evidence of SCAG adoption. Compliance with the provisions listed above will ensure adequate emissions reductions are achieved in a TCM substitution.

For the purpose of TCM substitution, certain types of TCM projects including bicycle, pedestrian, bus/shuttle/paratransit vehicle purchase, and traffic signal synchronization/control system computerization projects will be grouped into their respective TCM categories by county within each FTIP cycle. The grouping will allow individual projects within each category to be replaced without formal substitution as long as the magnitude (e.g., number of buses or miles of bike lanes) of the category is equivalent or greater than that at the beginning of the FTIP cycle and the replacement project(s) will be completed in the same FTIP cycle. For details, see Table IV-A on the next page.

For the purpose of TCM timely implementation reporting, the following de minimis non-reportable TCMs will not be reported and no replacement is required:

- Bus/shuttle/paratransit fleet expansion projects with fewer than 5 vehicles;
- Bus stop improvement projects;
- Bicycle facility less than 1 mile and pedestrian facility less than 1/4 mile;
- Intelligent transportation systems/control system computerization projects with fewer than 3 traffic signals;
- Changeable message sign projects with fewer than 5 signs;
- Bike parking facilities, new or expansion, with nine or fewer bike lockers/slots;
- Expansion of bus station/shelter/transfer facilities with nine or fewer bike lockers/slots;
- Rail station expansion with addition of nine or fewer bike lockers/slots;
- and
- An individual project with three or fewer standalone HOV ramps is a non-reportable TCM if not bundled with other project(s) with standalone HOV ramps.

For details, see Table IV-A on the next page.

D. TCM Project Categories for the SCAB and SCCAB

Table IV-A below is a listing of program codes for different categories of TCM-type and committed TCM projects. The county transportation commissions need to accurately enter the program code associated with TCMs for each project in the TIP database.

Table IV-A: TCM Project Categories in the SCAB and the SCCAB

Project Description	Program Codes
A. High Occupancy Vehicle Measures	
▪ New HOV Lanes – Extensions and Additions to Existing Facilities	CAN69
▪ New HOV Lanes – With New Facility Projects	CAN69
▪ New HOV Lanes -- With Facility Improvement Projects	CAN69
▪ HOV Bypasses, Connectors, and New Interchanges with Ramp Meters	CAN69, CAN66, CAX66, CAY66, CAN71, CAX71, CAY71
▪ High Occupancy Toll (HOT) Lanes and Pricing Alternatives - New	CAXT9
▪ High Occupancy Toll (HOT) Lanes and Pricing Alternatives - Existing	CART9
B. Transit and System Management Measures	
<i>Transit</i>	
▪ Rail Track – New Lines	TRN92, LRN92, RAN92
▪ Rail Track – Capacity Expansion of Existing Lines	TRN92, LRN92, RAN92, TRR14, TRN14
▪ New Rolling Stock Acquisition -- Rail Cars and/or Locomotives	CON94, CON93, COR17, COR16
▪ Bus Rapid Transit and Dedicated Bus Lanes - Express Busways	BUO02
▪ Buses – Fleet Expansion (excluding fleet expansion with fewer than 5 buses)*	BUN94, BUN93
▪ Shuttles and Paratransit Vehicles – Fleet Expansion (excluding fleet expansion with fewer than 5 vehicles)*	PAN94, PAN93
<i>Intermodal Transfer Facilities</i>	
▪ Rail Stations – New	TRNH6
▪ Rail Stations – Expansion	TREH6
▪ Park & Ride Lots – New	TDN64
▪ Park & Ride Lots – Expansion	TDR64
▪ Bus Stations & Transfer Facilities – New (excluding bus stop improvement projects)	TRNH6
▪ Bus Stations & Transfer Facilities – Expansion (excluding bus stop improvement projects)	TREH6

Non-motorized Transportation Mode Facilities	
<ul style="list-style-type: none"> ▪ Bicycle & Pedestrian Facilities – New (non-recreational and excluding bicycle facility less than 1 mile and pedestrian facility less than 1/4 mile)* 	NCN25
<ul style="list-style-type: none"> ▪ Bicycle & Pedestrian Facilities – Expansion (non-recreational and excluding bicycle facility less than 1 mile and pedestrian facility less than 1/4 mile)* 	NCR25
<ul style="list-style-type: none"> ▪ Bicycle Facilities – New (non-recreational and excluding bicycle facility less than 1 mile)* 	NCN26
<ul style="list-style-type: none"> ▪ Bicycle Facilities – Expansion (non-recreational and excluding bicycle facility less than 1 mile)* 	NCR26
<ul style="list-style-type: none"> ▪ Pedestrian Facilities – New (non-recreational and excluding pedestrian facility less than 1/4 mile)* 	NCN27
<ul style="list-style-type: none"> ▪ Pedestrian Facilities – Expansion (non-recreational and excluding pedestrian facility less than 1/4 mile)* 	NCR27
C. Information-based Transportation Strategies	
<ul style="list-style-type: none"> ▪ Marketing for Rideshare Services and Transit/TDM/ Intermodal Services 	TDM20, TDM24
<ul style="list-style-type: none"> ▪ Intelligent Transportation Systems/Control System Computerization (excluding projects with fewer than 3 new traffic signals)* <ul style="list-style-type: none"> - Traffic Signal Synchronization (excluding projects with fewer than 3 new traffic signals) - Real Time Transit or Rail Notification System - System-wide Smart Fare Card Equipment - Traffic Management/Operations Centers - Changeable Message Signs (CMS) (excluding projects with fewer than 5 changeable message signs)* - Closed Circuit Televisions (CCTVs) - Ramp Metering Systems - System-wide Signal Preemption - Traveler/Motorist Information Systems; Highway Advisory Radios - Vehicle Detection (VDS) & Automatic Vehicle Classification (AVC) Systems 	ITS02, ITS01, ITS03, ITS04, ITS05, ITS06, ITS09, ITS10, ITS12, ITS13
<ul style="list-style-type: none"> ▪ Telecommuting Programs/Satellite Work Centers 	TDM24

* For TCM substitution purposes, the committed TCM projects will be grouped into their respective categories by county within each FTIP cycle. The grouping will allow individual projects within each category to be replaced as long as the magnitude (e.g., number of buses or miles of bike lanes) of the category is equivalent or greater than that at the beginning of the FTIP cycle.

Additional TCM/FTIP Listing Notes:

- Transit expansions to add service or vehicles (5 or more) are TCMs.
- Transit vehicle expansion projects with a large number of expansion vehicles should be split into different projects and specify the number of buses being purchased by FY in two year increments consistent with a TCM Committed Program period. (Project #1 – should have the number of vehicles being purchased in FY16/17 – 17/18 and Project #2 should have the number of vehicles being purchased in FY-18/19 – 19/20, etc.)

- Do not treat vehicle expansion projects as other “on-going “transit projects.
- Transit projects using funds for operating expenses are not TCMs.
- Transit replacement projects are not TCMs and should be separated from transit expansion projects.
- Safety and maintenance projects are not TCMs.
- Transit alternative fuel replacement projects are not TCMs.
- Bicycle and pedestrian expansion projects for recreational purposes are not TCMs.
- Class III bicycle lanes are not TCMs because they are not segregated.
- Bike parking facilities, new or expansion, with 10 or more bike lockers/slots are TCMs; Non-reportable if fewer than 10 bike lockers/slots.
- Expansion of bus station/shelter/transfer facilities with 10 or more bike lockers/slots are TCMs; Non-reportable if fewer than 10 bike lockers/slots.
- Rail station expansion with addition of 10 or more bike lockers/slots are TCMs; Non-reportable if fewer than 10 bike lockers/slots.
- Transit replacement and maintenance projects should be listed separately in the FTIP, not in conjunction with the purchase of new additional transit buses.
- In the SCAB, any transit project is either a TCM project or an Exempt project.
- Non-TCM projects may also be eligible for CMAQ funding such as replacement of old buses with alternative fuel buses.
- A project that converts a HOV lane from limited access to continuous access only is considered an operational transportation project under the Transportation Conformity Regulations and thus is not a TCM project.
- For an on-going committed TCM project, such as ridesharing, the extension of its project completion date to reflect funding for addition additional year(s) is not a delay. Therefore, the TCM project continues to demonstrate timely implementation even though its completion date has been extended.
- A committed TCM project is considered as complete if the TCM scope of the project has been completed and is open for service even though the project needs to remain in the FTIP for non-TCM scope purposes such as landscaping or fund obligation. In the FTIP database, the project status field needs to reflect the proper status code and a comment needs to be included in the TCM comment field. For additional information on the Transportation Control Measure process, please see page 87.

V. Programming, TIP Database and References

V. PROGRAMMING, TIP DATABASE AND REFERENCES

A. PROGRAMMING

1. General

Federal law requires that all projects funded under Title 23 of the U.S. Code and Federal Transit law be included in the FTIP. The FTIP should also include all 100% locally-funded projects that require modeling (such as capacity enhancing projects) and local projects that require federal approval of the environmental document (refer to the discussion below on federal approval of environmental documents). Projects that require federal action must also be included in the FTIP. The FTIP must be consistent with federal regulations which stipulate that fiscal constraint shall be demonstrated and maintained by year for the first four years of the FTIP. Advance Construction projects must meet the same requirements and be processed in the same manner as regular Federal-aid projects (see related guidance, “FHWA-FTA Fiscal Constraint Guidance”).

2. Programming the Environmental Documentation in the FTIP

As mentioned on page 6 of these guidelines, including the environmental documentation in the FTIP is critical in the development of the regional emissions analysis and receiving approval of the environmental document. The items that are required when entering the environmental information in the FTIP database are the environmental document, approval type, and the date when the environmental document will be approved. A complete list of document types is available on page 7 of these guidelines. For convenience, the document type and approval type have been combined (e.g. Environmental Assessment/Finding of No Significant Impact—EA/FONSI).

To enter the environmental information in the FTIP, select the appropriate environmental documentation and approval date in the box provided in the database. If the environmental document has not been approved, the anticipated approval date should be entered. For example, if a project sponsor is initiating the environmental approval process through NEPA and programming the project concurrently, the project sponsor should provide a reasonable date when to expect federal approval. If federal approval is delayed from the date provided in the FTIP database, the project sponsor should update the approval date in the FTIP. Updates to the environmental fields do not require State or Federal approval and are allowed in technical amendments to the FTIP. Once the environmental document has been approved or adopted, then the project should be updated in the FTIP database. If a project has not made significant progress in three years, the project may have to be reevaluated. In the case with NEPA, reevaluation is necessary to ensure that the FONSI or Record of Decision (ROD) is still valid. If there is a major change to the project’s scope which requires the recirculation of an EIS or an updated EA, the CTCs will have to input the updated environmental date in the FTIP database. Note that a change in scope for a nonexempt project may have to undergo the modeling process and will have to be in a federally approved RTP/SCS.

There are projects that are exempt from environmental review which fall under Categorical Exclusions (CE). CEs are listed in 23 CFR Part 771.117 and 771.118. For programming purposes, there is one exception to the requirement of entering the

environmental document date: transit CE projects do not require a date if projects are not: CMAQ funded; a TCM or non-exempt project; a new transit facility, or a New Starts rail line.

There are various ways of obtaining the requested environmental information. The following are sources that can provide information on environmental documentation for specific projects.

STIP-funded Projects: For STIP projects, the Project Study Report which is required at the time of programming provides information on the anticipated environmental document and dates. Some Caltrans districts provide this information for Caltrans projects directly to county commissions and some commissions track project milestone dates in-house on an on-going basis, especially for locally-administered STIP projects. Another source for information is the project sponsor's project manager.

Local Projects (excluding federally funded transit projects): Locally-sponsored project information is best obtained through the project sponsor's project manager.

Transit Projects: Transit project information can be obtained through either the project sponsor's project manager or the agency which files the transit grant application for the funds (if not the same agency).

For all projects, **the environmental date must be equal to or earlier than the programmed years for ROW and Construction phase activities.** For federally-funded projects, work on final design, ROW and Construction phases cannot begin until the environmental process has been completed.

If there have been no major steps in the advancement of a project three years after the environmental document completion date, please make a note in the environmental comment field within the FTIP database that re-evaluation will take place. If re-evaluation is not required, provide the evident reason(s).

Environmental Codes

Environmental Codes identify the proposed environmental document or the actual environmental document type obtained for the project. Environmental codes are listed below.

ENVIRONMENT CODE	DESCRIPTION	
CE	CATEGORICAL EXCLUSION -- NEPA	NEPA (FEDERAL)
EA/FONSI	ENVIRONMENTAL ASSESSMENT/FINDING OF NO SIGNIFICANT IMPACT -- NEPA	
EA/NOI	ENVIRONMENTAL ASSESSMENT/NOTICE OF INTENT TO PREPARE EIS -- NEPA	
DEIS	DRAFT ENVIRONMENTAL IMPACT STATEMENT -- NEPA	
FEIS/ROD	FINAL ENVIRONMENTAL IMPACT STATEMENT/RECORD OF DECISION -- NEPA	
CE	CATEGORICAL EXEMPTIONS -- CEQA	CEQA (STATE)
IS/ND	INITIAL STUDY/NEGATIVE DECLARATION -- CEQA	
IS/NOP	INITIAL STUDY/NOTICE OF PREPERATION OF EIR -- CEQA	
DEIR	DRAFT ENVIRONMENTAL IMPACT REPORT -- CEQA	
FEIR/NOD	FINAL ENVIRONMENTAL IMPACT REPORT/NOTICE OF DETERMINATION -- CEQA	
EA/DEIR	ENVIRONMENTAL ASSESSMENT/DRAFT ENVIRONMENTAL IMPACT REPORT -- JOINT NEPA/CEQA	JOINT NEPA/CEQA
FONSI/FEIR	FINDING OF NO SIGNIFICANT IMPACT/FINAL ENVIRONMENTAL IMPACT REPORT -- JOINT NEPA/CEQA	
EA/IS	ENVIRONMENTAL ASSESSMENT/INITIAL STUDY -- JOINT NEPA/CEQA	
DEIS/DEIR	DRAFT ENVIRONMENTAL IMPACT STATEMENT/DRAFT ENVIRONMENTAL IMPACT REPORT -- JOINT NEPA/CEQA	
FEIS/FEIR	FINAL ENVIRONMENTAL IMPACT STATEMENT/FINAL ENVIRONMENTAL IMPACT REPORT -- JOINT NEPA/CEQA	

3. Programming of Projects that do not fit in any of the Three Phases

Certain project types do not fit in any of the three available programming phases: PE, ROW, and Construction. These projects include Intelligent Transportation System (ITS) (non-planning phase), Transportation Demand Management (TDM) (Rideshare), operations (including security), administrative (non-planning), and vehicle and equipment purchases. These types of projects should be programmed in the Construction phase for consistency.

4. Congestion Mitigation and Air Quality Program

Federal requirements regarding transportation project and program eligibility for the Congestion Mitigation and Air Quality Improvement (CMAQ) program funds are outlined in the “Interim Program Guidance” which is in effect as of November 12, 2013. The CMAQ Guidance is available on the web at:

http://www.fhwa.dot.gov/environment/air_quality/cmaq/policy_and_guidance/2013_guidance/cmaq2013.pdf

Additionally, as of July 2014, there is also “Revised Interim Guidance on CMAQ Operating Assistance under MAP-21” This interim guidance is also available on the web at:

http://www.fhwa.dot.gov/environment/air_quality/cmaq/policy_and_guidance/cmaq13ig.cfm

The primary purpose of the CMAQ program is to fund projects and programs in air quality non-attainment and maintenance areas (ozone and carbon monoxide) that reduce transportation-related emissions. CMAQ funds, however, are not intended to be the only source of funds to reduce congestion and improve air quality. In the SCAG region, transportation projects and programs located in the South Coast Air Basin (SCAB), the Ventura County portion of the South Central Coast Air Basin (SCCAB), the Los Angeles and San Bernardino county portions of the Mojave Desert Air Basin (MDAB), and the Salton Sea Air Basin (SSAB) meet the CMAQ requirements and are eligible for CMAQ funds.

CTCs should ensure that projects submitted by project sponsors meet CMAQ eligibility guidelines. Caltrans checks CMAQ projects for eligibility before obligating CMAQ funds.

Transportation projects and programs in PM₁₀ (particulate matter less than 10 microns in size) non-attainment areas must meet certain requirements to use the CMAQ funds (see the program guidance for PM₁₀ project-specific CMAQ funding requirements). FHWA is now requiring a copy of the emissions benefits calculation to be included with each request for obligation of funds. FHWA will not approve the E-76 for CMAQ-funded projects without the emissions benefits calculation.

Federal regulations state that “for any State that has a nonattainment or maintenance area for fine particulate matter, an amount equal to 25 percent of the funds apportioned to each State under section 104 (b)(4) for a nonattainment or maintenance area that are based all or in part on the weighted population of such area in fine particulate matter nonattainment shall be obligated to projects that reduce such fine particulate matter emissions in such area, including diesel retrofits.” Please see the website below for additional information:

<http://www.gpo.gov/fdsys/pkg/USCODE-2013-title23/html/USCODE-2013-title23-chap1-sec149.htm>

Proposals for CMAQ funding should include a precise description of the project, providing information on the project's size, scope and timetable. CMAQ priority should be given to applicable transportation control measures (TCMs). The proposal for funding must be expected to result in reductions in carbon monoxide and ozone emissions.

Each of the CTCs are responsible for submitting data to Caltrans for their respective CMAQ programs.

5. Identifying ITS Projects and Components

ITS projects and ITS components of larger projects should be identified when adding or amending projects to the FTIP. The CTCs must identify ITS projects by selecting an ITS Program Code for the project (either a Primary Program Code or a Secondary) and by providing a description of the ITS component in the General Comment field in the Comment screen of the SCAG TIP Database.

Please include the estimated cost of the ITS component(s) in the General Comment Field for projects that include ITS components, or if the total amount does not include the cost of the ITS component. No other reporting of ITS projects or components is required to SCAG beyond providing the information noted above in the SCAG TIP Database. However, additional information will be required by Caltrans, as described in the Local Assistance Program Guidelines (LAPG).

6. Local Advance Construction

Local Advance Construction or Local AC is a tool that allows agencies to program local dollars in anticipation of receiving future federal revenue to reimburse the agency. This allows a project to continue forward with limited federal funds. Projects funded with Local AC must comply with all federal regulations as if the project is funded with federal-aid dollars. Therefore, Local AC projects must be in the FTIP. Moreover, the federal reimbursement amount, known as the conversion, must also be programmed in the FTIP, demonstrating financial constraint.

If a County Transportation Commission decides to program projects utilizing Local AC, both the local funds and the conversion must be reflected in the FTIP. In the SCAG Region, the conversion must be programmed in the same project as a negative value in the fund table of the same project. Typically, the conversion is programmed in a future federal fiscal year. However, there are some cases when the conversion is programmed in the same year as the Local AC funds. A Local AC fund code is available in the FTIP database and represents the local funds used to advance a project. Using this fund code indicates that the project is utilizing advance construction.

7. Toll Credits & Transportation Development Credits (Transit)

Section 120(j) of Title 23 permits states to use certain toll revenue expenditures as a credit toward the non-federal matching share of certain programs. Some Federal fund sources that are eligible to use toll credits as a local match for transportation projects are RSTP, CMAQ, Demonstration Projects from the ISTEA, TEA-21, and SAFETEA-LU.

Some Federal fund sources that are eligible to use transportation development credits as a local match for transit projects are FTA sections 5307, 5310, 5311, 5316, and 5317.

Toll Credits (TC)

Toll credits do not provide additional revenues, but rather allow for the use of federal funds at a reimbursement rate of 100% without a required non-federal match. Toll credits are managed by Caltrans at the state level.

Toll credits are to be entered into the FTIP database for tracking and reporting purposes. If a highway project is utilizing toll credits, the CTCs must indicate that “toll credits” will be used as a match. It is important to list the usage of TC in the project description and to specify the federal fund source that is being matched. In the project description field of the FTIP database, include a special remark to indicate the use of toll credits for a project, e.g., “(Project will use TC for RSTP)”.

For additional information on the use of Toll Credits, please see Caltrans’ policy on the Use of Toll Credits in Lieu of Non-Federal Share Match for Local Assistance Federal-aid Highway Projects, published 3/27/2014:

http://www.dot.ca.gov/hq/LocalPrograms/DLA_OB/ob14-03.pdf.

Transportation Development Credits (TDC)

Transportation Development Credits¹ (formerly referred to as Toll Revenue Credits) provide a credit toward a project’s local share for certain expenditures with toll revenues. The amount of credit toward local share to be earned by a State is based on revenues generated by toll authorities within the State. Under the provisions of 23 U.S.C. 120(j), FHWA oversees the determination of transportation development credit within each State. For the Federal Transit Administration (FTA), the effect of utilizing transportation development credits means that FTA, in essence, provides 100 percent of the total net project cost. For example, if the actual cost of the asset is \$500,000, FTA’s share at 80 percent equals \$400,000. The remaining \$100,000 match is transportation development credits, so additional Federal funds are needed to equal \$500,000 or 100 percent of the net project cost. FTA calculates a project using transportation development credits as shown in the example, from the Federal Register, below:

Actual cost of the asset	<u>\$500,000</u>
Federal Share (80%)	\$400,000
Local Share (20%)	\$100,000 (from toll development credits)
	=====
Total Federal Share (using TDC)	\$500,000

Transportation Development Credits are to be entered into the FTIP database for tracking and reporting purposes. If transit funds are using toll credits as a match, the CTCs must indicate that “transportation development credits” will be used as a match. It is important to list the usage of TDC in the project description and to specify the amount

¹ Information obtained from the TDC Fact Sheet

of the TDC, the fiscal year, and the phase in which it will be used. In the project description field of the FTIP database, include a special remark to indicate the use of transportation development credits for a project, e.g., “(Project will use TDC of \$2,000 for CON in FY14/15 for 5307 funds)”.

For additional information on Transportation Development Credits, please see FTA Circular C 9030.1E, Published 01-16-2014:

http://www.fta.dot.gov/documents/FINAL_FTA_circular9030.1E.pdf

8. Grouped Project Listing Procedures

Grouped Project Items are essentially fund reservations that include a list of projects that are grouped by function, work type, and/or geographic area (23 CFR Part 450.324(f)). Usually, grouped projects are for road rehabilitation, safety, or minor improvements that do not add capacity, require air quality conformity determination, or are deemed transportation control measures (TCMs). Caltrans has recommended a number of project categories that are eligible for Grouped Project Listings which is located on page 74 of these guidelines.

County Transportation Commissions (CTCs) may find grouping projects to offer some advantages and flexibility when amending projects in the FTIP. CTCs are required to submit a detailed list of the individual projects that constitute the grouped project that is programmed in the FTIP. The grouped list is the supporting documentation for the grouped project and is submitted to Caltrans and FHWA/FTA for approval. The grouped project list must contain a clear description of each project and fiscal year(s) the project is funded. FHWA and FTA also require that project lists be readily available that account for all funds listed in the Grouped Project. The submittal of Grouped Project Lists is mandatory and must be included with the FY 2017 county TIP and subsequent amendments. SCAG will not accept grouped projects that do not have a supporting Grouped Project list.

New projects can be added to an existing grouped project listing through administrative modifications in accordance with the Amendment and Administrative Modification Procedures dated June 3, 2011. For non-Federal Transit Administration (FTA) funded projects, the detailed project lists may be revised without the need for amendments or administrative modifications if the revisions do not result in changes to the total grouped project costs. However, CTCs must update the detailed project lists to reflect the revision, and furnish them to SCAG FTIP staff.

In an administrative modification, CTCs can add new projects to the grouped project listing as long as changes to the grouped project satisfy the administrative modification criteria. In addition, grouped project lists can be updated without the need for an amendment **as long as the total programmed amounts or fund sources do not change.**

The CTCs are required to submit to SCAG the status of projects included in Grouped Project Listings that have been obligated on an annual basis through the FTIP amendment process. If there is no change to a Grouped Project Listing from one year to the next, the CTCs are required to report that no change has occurred to the Grouped Project Listing. In addition, project lists should not contain prior year funding before

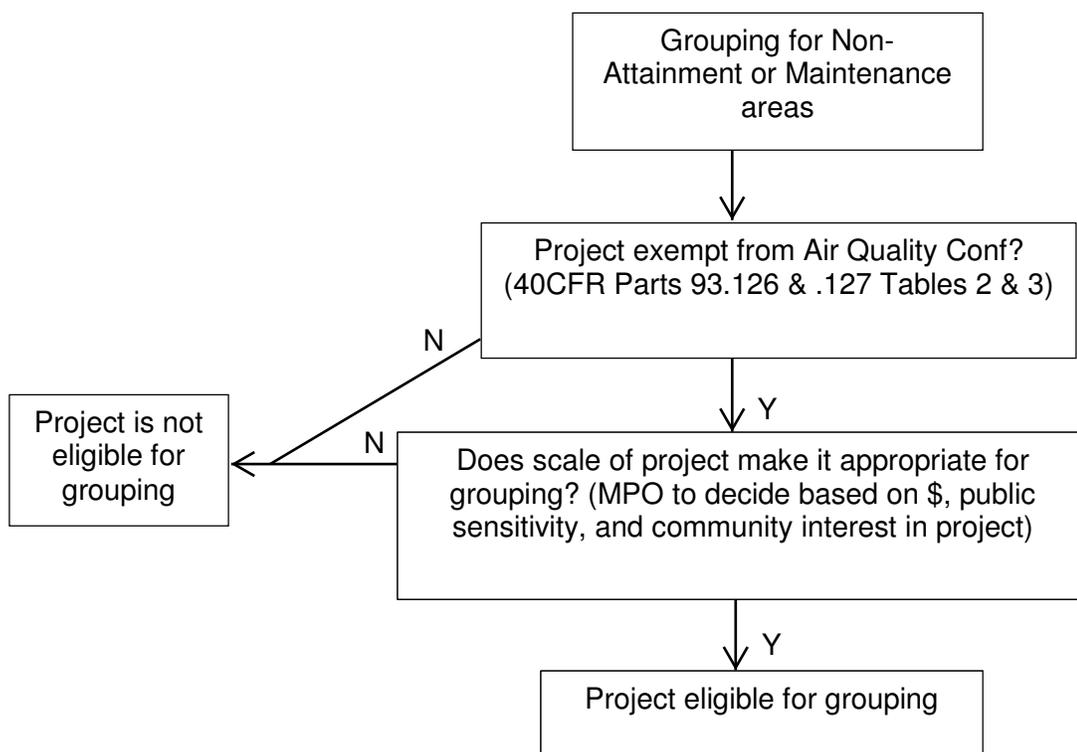
FY14-15. The CTCs should remove completed projects from the listing especially if the projects are in prior years. Electronic formats, preferably in Excel format, should be sent to SCAG

In the event Caltrans does not agree with a project sponsor that a project submitted is exempt from a conformity determination, Caltrans will convene a meeting with SCAG and other federal agencies (FHWA and/or FTA, EPA) to resolve the issue.

The guidelines below are for programming grouped project listings and must be consistent with the “Exempt Project” classification contained in the Environmental Protection Agency’s (EPA) Transportation Conformity Regulation (40CFR part 93). It is the County Transportation Commission’s responsibility to determine the eligibility of projects to be included in grouped project listings. If verification/confirmation is needed, the County Transportation Commission shall consult with SCAG to confirm their findings.

Programming Guidelines:

1. Use the flow chart below to determine if a project is eligible for grouping. Projects ineligible for grouping must be programmed individually in the FTIP.



2. The description of the grouped project listings shall include appropriate ‘Exempt Project’ classification per 40 CFR, Part 93.126 and 93.127. See page 74 for the start of the “Pre-approved List of Grouped Project Listings”. If the proposed grouped project listing is different from the ones listed, the County Transportation Commission

- shall contact SCAG staff prior to programming the new grouped project listing in its FTIP.
3. Projects may be further grouped by grantee/agency or by geographic area provided the grouped listing is consistent with the project listings per Attachment A. Note that projects can not be grouped by a particular fund type or funding program in the FTIP.
 4. Detailed project listing (back-up listing) for a grouped project that is programmed or amended in an FTIP, must be included in the transmittal package to SCAG and attached to the grouped project in the FTIP Database. The detailed listings shall contain individual project information with sufficient description to accurately identify scope, implementing agency, location, limits of the project (if any), program year and the total cost. Total cost of the projects (including funding for all project phases) from the detailed project listing shall be programmed under the “Construction” phase in the FTIP.
 5. Projects funded from the FTA can be grouped as long as the detailed project list is readily available to the FTA and the public. The detailed project list must be included by the County Transportation Commission when it is circulated for public review.
 6. Projects with multiple FTA UZAs and with multiple FTA fund types can be grouped as long as the grouped projects meet the requirements of No. 5 above.
 7. Projects that be classified as “Categorical Exclusion (CE)” per 23 CFR Part 771.117 (c) and (d) can be grouped together by CE classifications.

Highway Bridge Program (HBP)

For HBP-funded projects, SCAG maintains a county-by-county HBP Grouped Project line item. Caltrans HQ provides each MPO region with a programming amount and project listing at various intervals, which is the basis for the Grouped Project Listing. Information provided by Caltrans shall be shared with the counties. Amendments to HBP-funded projects should be done through the county. Counties are required to submit a Grouped Project List for HBP projects.

Local Highway Bridge Program funding must include proper documentation to show that capacity increasing bridge projects are included in the 2016 RTP/SCS.

Various County Grouped Project Listings

SCAG maintains the Grouped Project Listings for several fund sources under the Various Counties section of the 2017 FTIP. These listings are High Risk Rural Roads (HRRR), Highway Safety Improvement Program (HSIP), Safe Routes to School (SRTS). Other grouped projects listings may be added as deemed necessary by SCAG, the state, or the federal funding agencies.

A complete list of the Grouped Project Listings for Various Counties can be found on SCAG’s website at <http://ftip.scag.ca.gov/Pages/2015/approved.aspx>

SCAG staff will update projects with these fund sources at the request of Caltrans or the CTCs. Caltrans and/or the CTCs will need to submit back up documentation and draft the narrative describing the change to the project(s). SCAG staff will input the change in

the database, finalize the project narrative, update the Financial Plan, and revise the Grouped Project Listing report.

Transit Projects eligible for Grouped Project Listings

Transit Grouped Project lists are now required for eligible projects under Air Quality Exempt Tables 2 & 3 (40 CFR Part 93). These include minor operational/capital system improvements. Projects that are not eligible for Grouped Project Listings are bus terminals and transfer points, CMAQ-funded projects, and TCM type projects.

In order to include a transit project as a Grouped Listing, the project description must indicate the entire scope of the grouped list. For example, if project one is to construct a kiosk, project two is for shelters, and project three is for shelters and a kiosk, then the description should read Grouped projects for Kiosks and Shelters..

A transit Grouped Project will be grouped by grantee, geographic area, and type of project. The project description must include the number of buses to be purchased by the grantee with these buses categorized as an anticipated CE.

Grouped Project Categories

Sl. No.	Grouped Projects Listing Name	Project Description
1	Grouped Projects for Bridge Rehabilitation and Reconstruction - SHOPP Program	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 categories - Widening narrow pavements or reconstructing bridges (no additional travel lanes).
2	Grouped Projects for Safety Improvements - SHOPP Collision Reduction Program	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Railroad/highway crossing, Safer non-Federal-aid system roads, Shoulder improvements, traffic control devices and operating assistance other than signalization projects, Intersection signalization projects at individual intersections, Pavement marking demonstration, Truck climbing lanes outside the urbanized area, Lighting improvements, Emergency truck pullovers
3	Grouped Projects for Safety Improvements - SHOPP Mandates Program	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Railroad/highway crossing, Safer non-Federal-aid system roads, Shoulder improvements, traffic control devices and operating assistance other than signalization projects, Intersection signalization projects at individual intersections, Pavement marking demonstration, Truck climbing lanes outside the urbanized area, Lighting improvements, Emergency truck pullovers
4	Grouped Projects for Emergency Repair - SHOPP Emergency Response Program	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 categories - Repair damage caused by natural disasters, civil unrest, or terrorist acts. This applies to damages that do not qualify for Federal Emergency Relief funds or to damages that qualify for federal Emergency Relief funds but extend beyond the Federally declared disaster period
5	Grouped Projects for Safety Improvements - SHOPP Mobility Program	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Railroad/highway crossing, Safer non-Federal-aid system roads, Shoulder improvements, traffic control devices and operating assistance other than signalization projects, Intersection signalization projects at individual intersections, Pavement marking demonstration, Truck climbing lanes outside the urbanized area, Lighting improvements, Emergency truck pullovers

Sl. No.	Grouped Projects Listing Name	Project Description
6	Grouped Projects for Shoulder Improvements - SHOPP Roadside Preservation Program	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 categories - Fencing, Safety roadside rest areas
7	Grouped Projects for Pavement resurfacing and/or rehabilitation - SHOPP Roadway Preservation Program	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 categories - Pavement resurfacing and/or rehabilitation, Emergency relief (23 U.S.C. 125), Widening narrow pavements or reconstructing bridges (no additional travel lanes)
8	Grouped Projects for Bridge Rehabilitation and Reconstruction - HBP Program	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 categories - Widening narrow pavements or reconstructing bridges (no additional travel lanes).
9	Grouped Projects for Safety Improvements	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Railroad/highway crossing, Safer non-Federal-aid system roads, Shoulder improvements, traffic control devices and operating assistance other than signalization projects, Intersection signalization projects at individual intersections, Pavement marking demonstration, Truck climbing lanes outside the urbanized area, Lighting improvements, Emergency truck pullovers
a	Grouped Projects for Safety Improvements - Safe Routes to School Program (SRTS)	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Railroad/highway crossing, Safer non-Federal-aid system roads, Shoulder improvements, traffic control devices and operating assistance other than signalization projects, Intersection signalization projects at individual intersections, Pavement marking demonstration, Truck climbing lanes outside the urbanized area, Lighting improvements, Emergency truck pullovers
b	Grouped Projects for Safety Improvements - Safe Routes to School Program (SR2S State Program)	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Railroad/highway crossing, Safer non-Federal-aid system roads, Shoulder improvements, traffic control devices and operating assistance other than signalization projects, Intersection signalization projects at individual intersections, Pavement marking demonstration, Truck climbing lanes outside the urbanized area, Lighting improvements, Emergency truck pullovers

Sl. No.	Grouped Projects Listing Name	Project Description
10	Grouped Projects for Safety Improvements - HSIP Program	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Railroad/highway crossing, Safer non-Federal-aid system roads, Shoulder improvements, traffic control devices and operating assistance other than signalization projects, Intersection signalization projects at individual intersections, Pavement marking demonstration, Truck climbing lanes outside the urbanized area, Lighting improvements, Emergency truck pullovers
11	Grouped Projects for Railroad/highway crossing	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 categories - Railroad/highway crossing
12	Grouped Projects for Safety Improvements on High Risk Rural Roads - HRRR program	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Safer non-Federal-aid system roads
13	Grouped Projects for Hazard Elimination Program	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 categories - Hazard Elimination Program
14	Grouped Projects for Safer non-Federal-aid system roads	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Safer non-Federal-aid system roads
15	Grouped Projects for Shoulder Improvements	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Shoulder improvements
a	Grouped Projects for Shoulder Improvements on the State Highway System	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Shoulder improvements
b	Grouped Projects for Shoulder Improvements on the Local Roads System	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Shoulder improvements
c	Grouped Projects for Shoulder Improvements in xxxx County/City	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Shoulder improvements
16	Grouped Projects for Increasing Sight Distance	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Increasing Sight Distance
a	Grouped Projects for Increasing Sight Distance on the State Highway System	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Increasing Sight Distance

Sl. No.	Grouped Projects Listing Name	Project Description
b	Grouped Projects for Increasing Sight Distance on the Local Roads System	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Increasing Sight Distance
c	Grouped Projects for Increasing Sight Distance in xxx County/City	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Increasing Sight Distance
17	Grouped Projects for Pavement resurfacing and/or rehabilitation	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Pavement resurfacing and/or rehabilitation
a	Grouped Projects for Pavement resurfacing and/or rehabilitation on the State Highway System	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Pavement resurfacing and/or rehabilitation
b	Grouped Projects for Pavement resurfacing and/or rehabilitation on the State Highway System - Highway Maintenance	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Pavement resurfacing and/or rehabilitation
c	Grouped Projects for Pavement resurfacing and/or rehabilitation on the Local Roads System	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Pavement resurfacing and/or rehabilitation
d	Grouped Projects for Pavement resurfacing and/or rehabilitation in xxxx County/City	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Pavement resurfacing and/or rehabilitation
e	Grouped Projects for Pavement resurfacing and/or rehabilitation - ARRA or XXXX funded	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Pavement resurfacing and/or rehabilitation
f	Grouped Projects for Pavement resurfacing and/or rehabilitation - AC overlays	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Pavement resurfacing and/or rehabilitation
18	Grouped Projects for Pavement marking demonstration	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Pavement marking demonstration.
19	Grouped Projects for Emergency truck pullovers	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Emergency truck pullovers.
20	Grouped Projects for Widening narrow pavements or reconstructing bridges (no additional travel lanes)	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Non Capacity widening narrow pavements or reconstructing bridges (no additional travel lanes).

Sl. No.	Grouped Projects Listing Name	Project Description
a	Grouped Projects for Non Capacity widening (no additional travel lanes)	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Non Capacity widening narrow pavements or reconstructing bridges (no additional travel lanes).
21	Grouped Projects for Truck climbing lanes	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Truck climbing lanes outside the urbanized area
22	Grouped Projects for Skid treatments	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Skid treatments
23	Grouped Projects for Safety roadside rest areas	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Safety roadside rest areas
24	Grouped Projects for Railroad/highway crossing warning devices	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Railroad/highway crossing warning devices
25	Grouped Projects for Traffic control devices and operating assistance other than signalization	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Traffic control devices and operating assistance other than signalization project
a	Grouped Projects for Traffic control devices and operating assistance	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Traffic control devices and operating assistance other than signalization project
b	Grouped Projects for Traffic control devices	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Traffic control devices and operating assistance other than signalization project
26	Grouped Projects for Increasing Sight Distance	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Increasing Sight Distance
27	Grouped Projects for Fencing	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories – Fencing
28	Grouped Projects for Lighting improvements	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Lighting improvements
29	Grouped Projects for Ride-sharing and van-pooling	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Continuation of ride-sharing and van-pooling promotion activities at current levels

Sl. No.	Grouped Projects Listing Name	Project Description
30	Grouped Projects for Bicycle and pedestrian facilities	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Bicycle and pedestrian facilities (both motorized and Non-motorized)
a	Grouped Projects for Bicycle facilities	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Bicycle and pedestrian facilities (both motorized and Non-motorized)
b	Grouped Projects for Pedestrian facilities	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Bicycle and pedestrian facilities (both motorized and Non-motorized)
c	Grouped Projects for Bicycle and pedestrian facilities funded with xxxx	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Bicycle and pedestrian facilities (both motorized and Non-motorized)
d	Grouped Projects for Bicycle and pedestrian facilities in xxxx County/City	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Bicycle and pedestrian facilities (both motorized and Non-motorized)
e	Grouped Projects for Bicycle and pedestrian facilities - Motorized	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Bicycle and pedestrian facilities (both motorized and Non-motorized)
f	Grouped Projects for Bicycle and pedestrian facilities - Non - Motorized	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Bicycle and pedestrian facilities (both motorized and Non-motorized)
31	Grouped Projects for Noise attenuation	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Noise attenuation.
33	Grouped Projects for Safety Improvements - Projects that correct, improve, or eliminate a hazardous location or feature.	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Projects that correct, improve, or eliminate a hazardous location or feature.
34	Grouped Projects for Safety Improvements - Safer non-Federal-aid system roads	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Safer non-Federal-aid system roads
35	Grouped Projects for Safety Improvements - Safer roads - Inclusive of federal aid and non-federal aid roads	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Railroad/highway crossing, Safer non-Federal-aid system roads, Shoulder improvements, traffic control devices and operating assistance other than signalization projects, Intersection signalization projects at individual intersections, Pavement marking demonstration, Truck climbing lanes outside the urbanized area, Lighting improvements, Emergency truck pullovers

Sl. No.	Grouped Projects Listing Name	Project Description
37	Grouped Projects for Directional and informational signs	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Directional and informational signs.
a	Grouped Projects for Directional and informational signs funded with xxxx	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Directional and informational signs.
b	Grouped Projects for Directional and informational signs in xxxx County/City	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Directional and informational signs.
c	Grouped Projects for Directional and informational signs on the federal aid system	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Directional and informational signs.
d	Grouped Projects for Directional and informational signs on the non-federal aid system	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Directional and informational signs.
38	Grouped Projects for Sign removal	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Sign removal
39	Grouped Projects for Plantings, landscaping, etc.	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Plantings, landscaping, etc.
40	Grouped Projects for Acquisition of scenic easements	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Acquisition of scenic easements
41	Grouped Projects for Emergency or hardship advance land acquisitions	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Emergency or hardship advance land acquisitions (23 CFR 710.503).
42	Grouped Projects for Engineering	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Engineering to assess social, economic, and environmental effects of the proposed action or alternatives to that action; non-capacity increasing
43	Grouped Projects for Planning activities	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Planning activities conducted pursuant to titles 23 and 49 U.S.C.
44	Grouped Projects for Grants for training and research programs	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Grants for training and research programs

Sl. No.	Grouped Projects Listing Name	Project Description
45	Grouped Projects for Planning and technical studies	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Planning and technical studies
46	Grouped Projects for Activities that do not lead to construction	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Specific activities which do not involve or lead directly to construction, such as: Planning and technical studies, Grants for training and research programs, Planning activities conducted pursuant to titles 23 and 49 U.S.C, Federal-aid systems revisions, Engineering to assess social, economic, and environmental effects of the proposed action or alternatives to that action.
47	Grouped Projects for Transportation enhancement activities	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Transportation enhancement activities (except rehabilitation and operation of historic transportation buildings, structures, or facilities)
48	Grouped Projects for Emergency Repair	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Repair of damage caused by natural disasters, civil unrest, or terrorist acts, except projects involving substantial functional, locational or capacity changes.
49	Grouped Projects for Rehabilitation or reconstruction of track structures, track, and trackbed in existing rights-of-way	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Rehabilitation or reconstruction of track structures, track, and trackbed in existing rights-of-way.(non-capacity Increasing)
50	Grouped Projects for Reconstruction or renovation of transit buildings and structures	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Reconstruction or renovation of transit buildings and structures (e.g., rail or bus buildings, storage and maintenance facilities, stations, terminals, and ancillary structures).(non-capacity Increasing)
51	Grouped Projects for Construction of small passenger shelters and information kiosks	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Construction of small passenger shelters and information kiosks
52	Grouped Projects for Construction or renovation of power, signal, and communications systems	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Construction or renovation of power, signal, and communications systems
53	Grouped Projects for Purchase of operating equipment for vehicles	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Purchase of operating equipment for vehicles (e.g., radios, fareboxes, lifts, etc.)

Sl. No.	Grouped Projects Listing Name	Project Description
54	Grouped Projects for Purchase of office, shop, and operating equipment for existing facilities	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Purchase of office, shop, and operating equipment for existing facilities
55	Grouped Projects for Rehabilitation of transit vehicles	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Rehabilitation of transit vehicles (In PM10and PM2.5nonattainment or maintenance areas, such projects are exempt only if they are in compliance with control measures in the applicable implementation plan)
56	Grouped Projects for Purchase of support vehicles	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Purchase of support vehicles
57	Grouped Projects for Operating assistance to transit agencies	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Operating assistance to transit agencies
58	Grouped Projects for Purchase of new buses and rail cars to replace existing vehicles or for minor expansions of the fleet. (Minor changes include changing the number of transit vehicles purchased by 25% or less, and changes to the fuel type of transit vehicles. MPO needs to take the change through an interagency consultation to confirm that the change in scope is minor)	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Purchase of new buses and rail cars to replace existing vehicles or for minor expansions of the fleet
59	Grouped Projects for Safety Improvements, Shoulder Improvements, Pavement resurfacing and/or rehabilitation - Minor Program	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Tables 2 and Table 3 categories - Railroad/highway crossing, Safer non-Federal-aid system roads, Shoulder improvements, traffic control devices and operating assistance other than signalization projects, Intersection signalization projects at individual intersections, Pavement marking demonstration, Truck climbing lanes outside the urbanized area, Lighting improvements, Emergency truck pullovers, Pavement resurfacing and/or rehabilitation, Emergency relief (23 U.S.C. 125), Widening narrow pavements or reconstructing bridges (no additional travel lanes)

The projects included under following grouped project listings may be exempt from regional emissions analysis. Note that the local effects of the project on CO and PM concentrations must be considered to determine if a hot-spot analysis may be required prior to making a project level conformity determination.

Sl. No.	Grouped Projects Listing Name	Project Description
60	Grouped Projects for Intersection Channelization	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Table 3 categories - Intersection Channelization Projects.
61	Grouped Projects for Intersection Signalization	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Table 3 categories - Intersection Signalization Projects
62	Grouped Projects for Interchange Reconfiguration	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Table 3 categories - Interchange Reconfiguration Projects
63	Grouped Projects for Changes in Vertical and Horizontal Alignment	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Table 3 categories - Changes in Vertical and Horizontal Alignment Projects
64	Grouped Projects for Truck Size and Weight Inspection Stations	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Table 3 categories - Truck Size and Weight Inspection Stations
65	Grouped Projects for Bus Terminals and Transfer Points	Scope: Projects are consistent with 40 CFR Part 93.126 Exempt Table 3 categories - Bus Terminals and Transfer Points

Note: All Grouped listings must be accompanied by detailed back-up listings

9. Closeout of Right-of-Way Costs

In cases where the final cost of the right of way acquisition is not settled or settlement of utility relocation costs may continue after a project is complete, the federalized costs are required to be in the currently approved FTIP. These right-of-way funds need to be part of the annual right of way obligation plan or need to be approved from Caltrans HQ-RW before they can be programmed in the FTIP.

10. Performance Measures

MAP-21 includes language regarding Performance Measures for projects in the Federal Transportation Improvement Program. However, the specifics are unknown regarding this requirement but once specifics become available, it will be incorporated in the 2017 FTIP Guidelines.

Additionally the specifics for the Transit Asset Management Plan are also unknown. Once the specifics become available, it will be incorporated in the 2017 FTIP Guidelines.

B. TIP DATABASE

1. Entering Projects into the SCAG TIP Database

The 2017 TIP will continue to utilize the SCAG TIP Database. Guidance for using the SCAG TIP Database is available as a separate document via the TIP Database home page under the “TIP Help” tab and “TIP Database User Guide.”

The CTCs will continue to receive proper training on any pertinent updates to the TIP Database.

2. Project Descriptions (required field)

An important first step in programming is to review the proposed projects for funding and program eligibility, and for consistency with the 2016 RTP/SCS. If a project is not consistent with the 2016 RTP/SCS, it will not be programmed in the FTIP.

It is essential that complete information be submitted on each project, and that the CTCs carefully input information in the SCAG TIP database with as much detail as possible. Each County Transportation Commission is responsible for proofing its entire program regardless of funding source to ensure that the Database reflects accurate and complete data.

According to 23 CFR Part 450.324(e), “The TIP shall include, for each project or phase (e.g., preliminary engineering, environment/NEPA, right-of-way, design, or construction), the following:

- (1) Sufficient description material (i.e., type of work, termini, and length) to identify the project or phase;
- (2) Estimated total project cost (required field), which may extend beyond the four years of the TIP;
- (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 the 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 sources of non-Federal funds);
- (4) Identification of the agencies responsible for carrying out the project or phase (required field);
- (5) In non-attainment and maintenance areas, identification of those projects which are identified as TCMs in the applicable SIP (required);
- (6) In non-attainment and maintenance areas, included projects shall be specified in sufficient detail (design concept and scope) for air quality analysis in accordance with the EPA transportation conformity regulation (40 CFR Part 93); and
- (7) In areas with American with Disabilities Act required paratransit and key station plans, identification of those projects that will implement these plans.

SCAG recommends that the CTCs follow the format provided by Caltrans listed below when developing project descriptions. Descriptions should be as detailed as space allows (up to 400 characters). Any additional information that does not fit in the description should be included in the Database comment fields.

Standard Project Location/Description

Select the correct Project type below to model a description. The description should be brief but sufficiently comprehensive to stand alone without additional explanation.

Roadway - Capital Improvements (State Highways/Local Roads)

Description Formula: [(Location:) + (Limits) + (;) + (Improvement)]	
Location:	The nearest city or significant town illustrated on popular state highway maps. If the project is located more than 5 miles away from the city or town then prefix the city name with "East, West, North, or South of". <ul style="list-style-type: none"> <i>In Bakersfield:</i> <i>South of Bakersfield:</i>
Limits:	Project limits can be stated as from one road or street to another. Other boundary landmarks, such as rivers, creeks, State Parks, freeway overcrossings, can be used in-lieu of streets or roads. <ul style="list-style-type: none"> <i>On Main St. between 1st Street and Pine Boulevard</i> <i>North of Avenal Creek to South of Route 33</i> <i>At Rock Creek Bridge</i>
Improvement:	Describes the work to be done. Include significant components of the improvement (in particular those that relate to conformity). <ul style="list-style-type: none"> <i>Rehabilitate roadway.</i> <i>Convert 4-lane expressway to 6-lane freeway with 2 HOV lanes.</i> <i>Construct left turn lane.</i>
Example: In Bakersfield: Between 1 st Street and Pine Boulevard; rehabilitate roadway.	

Transit - Capital Improvements

Description Formula: [(Location:) + (Limits) + (;) + (Improvement/Activity)]	
Location:	For work at spot locations for large (statewide) transit agencies: <ul style="list-style-type: none"> Nearest city or significant town illustrated on popular state highway maps, If the project is located more than 5 miles away from the city or town then prefix the city name with "East, West, North, or South of". <i>In Bakersfield:</i> <i>North of Bakersfield</i> Otherwise: Skip this step
Limits:	For work at spot locations (all agencies): Name of station, description of facility, name the rail corridor for the project etc. <ul style="list-style-type: none"> <i>Lafayette BART Station</i> <i>The Daly City Yard, adjacent to the Colma Station</i> <i>San Joaquin Corridor</i> Otherwise: Skip this step
Improvement/Activity:	Describes the work to be done. Include significant components of the improvement (in particular those that relate to conformity). <ul style="list-style-type: none"> <i>Construct station.</i> <i>Construct a Child Care Facility</i> <i>Track and signal improvements</i> Projects that apply to entire transit agency jurisdiction – describe activity <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>Paratransit van leasing</i> <i>Operating assistance for Sacramento Regional Transit</i>

Examples: North of Bakersfield, San Joaquin Corridor – Track and signal improvements.
 Lafayette BART Station, construct a Child Care Facility.
 Operating Assistance for Sacramento Regional Transit.

When entering project information for transit vehicles (buses, paratransit vans, etc.), it is important that the following three criteria are met:

- The first is a detailed description of the type of vehicle to be purchased (size/type), quantity (how many buses) and fuel type (Alternative Fuel, Diesel, etc.) of the vehicle(s).
- The second is selecting the correct Program Code for the project.
- Do not combine Expansion & Replacement vehicles under one project

Example Project Description: Purchase 20 Expansion Paratransit Vehicles, Diesel.
Program Code: PAN93

3. Project Completion Dates (required field)

The Project Completion Date field in the SCAG TIP Database refers to the completion of the overall project. The date the project is expected to be implemented and operating. In cases where only ENG and/or ROW are programmed in the FTIP, the completion date should reflect the anticipated overall completion date for the project such as the end of construction. For vehicle purchase, the completion date should be the date all vehicles are delivered..

SCAG TIP Database has separate start and end date fields for each of the three phases (PE, ROW & Construction) and these fields should be populated for all construction projects.

4. Transportation Control Measures (TCM) Process

TCM-type projects become *committed* TCMs (see page 57), with ROW or Construction funds in the first two years of the FTIP, the completion date and project description become committed. The project must be operational by the completion date in order to fulfill the TCM conformity requirement of Timely Implementation of TCMs. Below are the steps by which a project becomes TCM Committed:

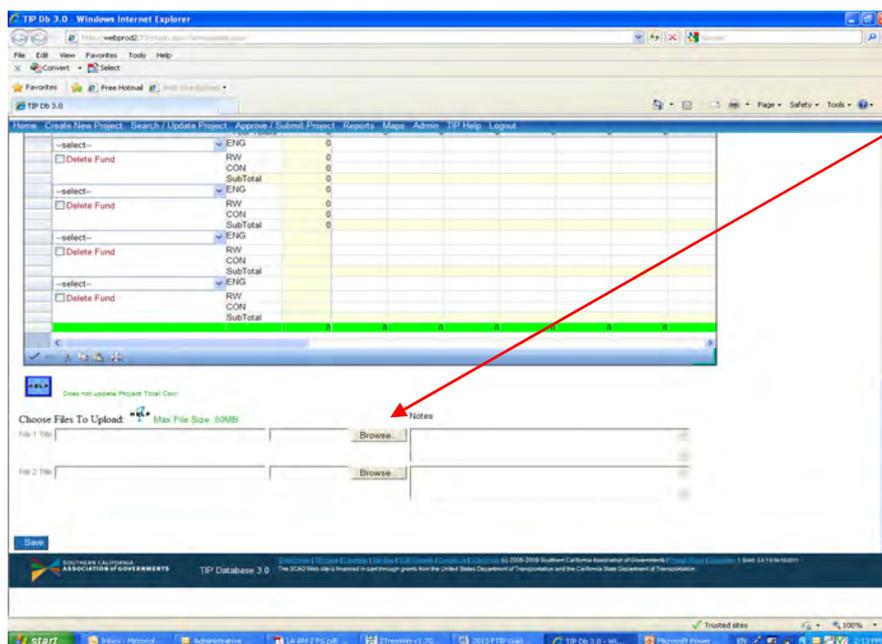
- a. The Commissions will open the TCM Committed project in the database. Under the “TCM Comment” field, the Commissions will submit a comment indicating the reason for the proposed changes.
- b. The FTIP staff will work with the Conformity staff to determine if the change will be accepted.
- c. **If the change is accepted, the project will be unlocked by the FTIP staff by changing the Conformity Category to “TCM”.**

LA Metro and OCTA need to make sure all TCM Committed projects have these fields locked until the three steps above have taken place prior to releasing their database to their local agencies.

5. File Attachment

In order for CTCs to submit all back-up documentation related to projects in the FTIP, SCAG has developed a File Attachment feature. This feature allows CTCs to attach any back-up documentation for any project submitted during the FTIP development or amendment process. Attachments may include grouped project listings, diagrams, maps, grant award letters, etc. See exhibit B below.

Exhibit B - TIP Database Create/Update Screen File Attachment field



CTCs can attach a file to a project at the bottom of the input screen. Once the CTC staff has entered the project details, the staff person can attach any back-up documentation or maps by clicking on the "Browse" button.

NOTE: CTCs can attach more than two documents per project. The title lines will expand after CTCs attach the second document.

6. Total Project Cost

The Total Project Cost is the full amount of a project (Engineering, ROW and Construction) irrespective of which phase is programmed in the FTIP. Enter the full amount required to complete all phases of a project in the Total Project Cost field of the database. In cases where only Engineering and/or ROW phase is programmed, the Total Project Cost and the Programmed Total will not match with one another. However, if all three phases of a project are programmed and funded, both the Total Project Cost and Programmed Total will match.

7. Local Match

The appropriate local match for federal funds must be programmed in the same fiscal year and phase of a project. For example, if federal funds are programmed in FY 16/17 for ROW, the local match must also be programmed in FY 16/17 for ROW. Links to common fund sources that can provide additional detail on local match requirements can be found starting on page 112 of this chapter.

8. Programming Construction funds in multiple years

Construction funds cannot be programmed in multiple years unless construction activities are under a separate contract. Construction activities that are under separate contract must be documented in the Project Notes of the database.

9. Parent Project Field

The Parent Project Field is now available for projects that will be split into two or more separate projects. Enter the original project, also known as the “parent” project, in this field. This will indicate to staff which project did the new, split project originated from.

10. Congestion Management Plan (CMP) Measures

The CMP Mitigation Measures check boxes are available in the FTIP database input screen. The CTCs will be prompted to check the corresponding CMP Measure if a project has federal funds and the length of the project exceeds 1 mile. For more details on the CMP measures, and program codes, please refer to Section S of the Policy Requirements chapter starting on page 19.

11. Active Transportation Program (ATP)

Active Transportation components check boxes have been added into the FTIP database for the CTCs to provide ATP information on large scale transportation projects that include active transportation components. SCAG Active Transportation staff would like to obtain the information for reporting purposes. For more details on the ATP, program codes, and ATP components, please refer to Section T of the Policy Requirements chapter starting on page 22.

12. Financial Plan

The financial plan is now developed and produced on the SCAG FTIP Database. Further details on how to enter the financial plan on the SCAG FTIP Database may be found in Chapter VI, starting on page 130.

13. Common Problems with Database Project Submittals

Some common problems found by SCAG staff when analyzing County TIP submittals include:

- Incomplete descriptions where it is difficult to tell what is being proposed for funding.
- Duplicate projects including projects that overlap (cover the same geographical area).
- Conflict in the number of lanes and completion years in segmented projects.
- Unidentified number and direction of existing and proposed lanes.
- Missing the number of vehicles to be included in the purchase by fiscal year.
- Missing the required local match.
- Missing completion dates and environmental document type and dates.

- Not identifying regionally significant projects for modeling.
- Not identifying TCM projects in the SCAB and SCCAB areas.
- Missing Grouped Project lists.
- Missing modeling information for bus expansion projects.
- Incorrect RTP ID's.
- Project Status should be reviewed and updated.
- Submitting projects in an Administrative Modification with Added or Deleted Phases.
- Submitting projects with Construction funding in two consecutive years.
- Missing program codes.
- Conflict with completion date and funding years.
- Not programming funds in year of expenditures dollars.
- Submitting projects with missing CMP measures and CMP back-up
- Submitting projects with a project scope that describes more than one project
- Submitting projects with the incorrect Local, Transportation Development Credit, or Toll Credit match amount.
- Narratives not giving a clear Change Reason
- Submitting bookkeeping projects
- Submitting New HBP model type projects without verifying if the project has been modeled in the approved RTP/SCS

14. Program Codes

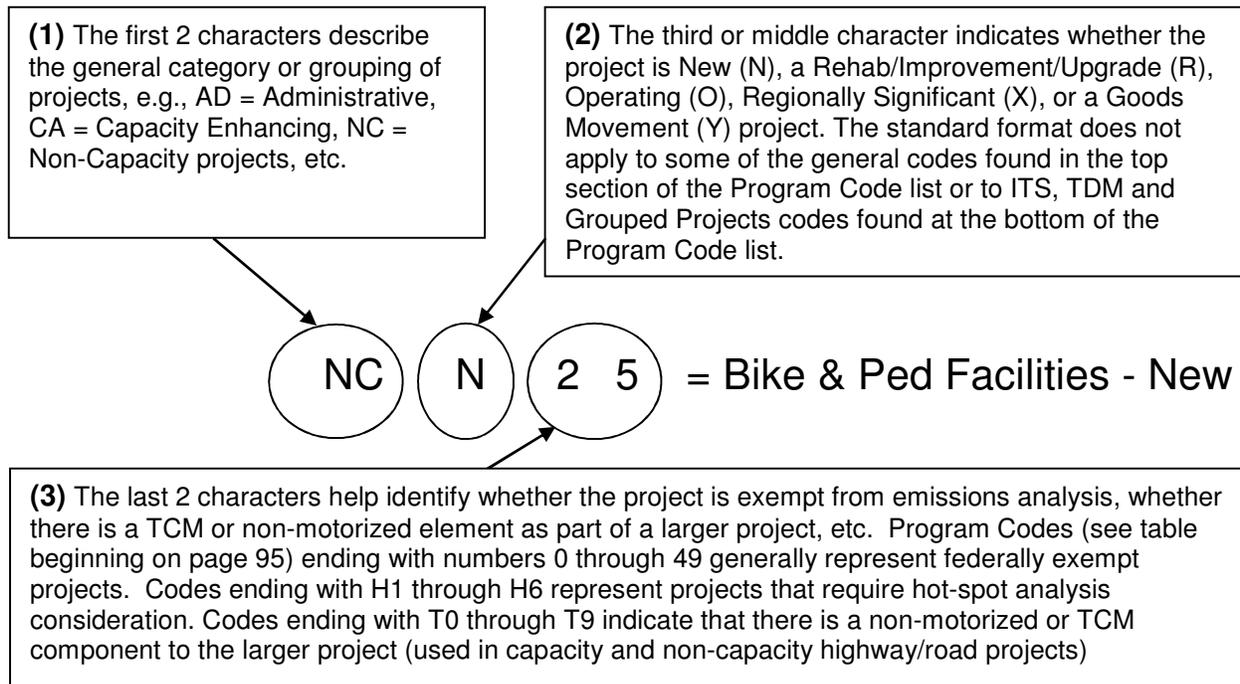
The Program Codes in the SCAG TIP Database are a vital part of the programming exercise because they permit projects to be grouped and identified by various project types, including regionally significant, goods movement, exempt, transit capital vs. operating, clean fuel vehicle vs. diesel, etc. The SCAG TIP Database can accommodate the selection of up to three Program Codes to define the main components of the overall project scope. Program codes should be selected which best defines the project.

Program Codes have been developed to categorize projects and to help identify key aspects such as whether the project is:

- capacity or non-capacity enhancing,
- new or rehabilitation/modification, operating
- federally-exempt from emission analysis or may require hot-spot analysis
- ITS / TDM / SHOPP / Grouped Projects

The exceptions to the standard format are primarily general program codes that apply across modes.

The full list of Program Codes is provided starting on page 96 of these Guidelines. The standard Program Code format is illustrated below:



Standard Program Code Format Legend

First 2 Characters	Third (middle) Character	Last 2 Characters (4 th & 5 th)
<p>AD = Admin/Admin Facilities AR = Art BU = Bus transit item CA = Capacity Enhancing CH = Child Care CO = Commuter Rail item FE = Ferry Service item FU = Fueling related IT = ITS project LR = Light Rail item LU = Conformity exempt Group Projects categories NC = Non-Capacity Enhancing PA = Paratransit item PL = Planning RA = Rail item SE = Security project SH = SHOPP Group Projects TD = Trans. Demand Mgmt VE = Vehicles TR = Transit project that applies across modes</p>	<p>N = New R = Rehabilitation, Improvement or Upgrade O = Operating or Operating Assistance X = Regionally Significant Y = Goods Movement</p> <p><i>Note: the standard middle character format does not apply to some of the general codes found in the first section of the Program Codes list or to ITS, TDM and Grouped Project codes found at the bottom of the Program Code list.</i></p>	<p>0 through 49 = federally exempt (if project is not exempt, such as “add truck lane in urbanized areas”, then indicate in the comment section of TIP database).</p> <p>H1 through H6 = these six projects require hot-spot analysis consideration.</p> <p>T0 through T9 = these larger Hwy/Road projects contain non-motorized or TCM aspects.</p>

15. Change Reason Codes (required field)

All active projects in the 2015 FTIP will be carried over into the 2017 SCAG TIP database as “2015 Carryover Projects”. If a change is made to the carryover project, it will be necessary to update the Change Reason code accordingly. If more than one Change Reason code applies to the project, the following Change Reason codes have priority over all other codes:

- #1: Description and Scope Changes
- #2: Schedule Advances or Delays
- #3: Cost Increases or decreases
- #4: Environmental Document and/or Date Changes

The Change Reason codes listed below match the codes available in the TIP Database.

CHG_REASON CODES	DESCRIPTION
AC CONV	AC CONVERSION
AWARD	AWARDED PROJECT
C/O 2015	2015 FTIP CARRYOVER
COMB	COMBINED PROJECT
COMB SCH<	COMBINED PROJECT & SCHEDULE ADVANCE
COMB SCH>	COMBINED PROJECT & SCHEDULE DELAY
COMP	COMPLETED PROJECT
COST SCH<	COST CHANGE AND SCHEDULE ADVANCE
COST SCH>	COST CHANGE AND SCHEDULE DELAY
COST<	COST DECREASE
COST>	COST INCREASE
DEL	DELETED PROJECT
DEL COMB	DELETED COMBINED PROJECT
DEL NEW ID	DELETED NEW IDENTIFICATION
DESC CHG	DESCRIPTION CHANGE
FTA	FUND TRANSFER AGREEMENT
FUND CHG	FUND SOURCE CHANGE
FUNDPH CHG	FUND PHASE CHANGE
LEAD CHG	LEAD AGENCY CHANGE
LIMIT CHG	LIMIT CHANGE
NEW COMB	NEW COMBINED PROJECT
NEW PAY	NEW PAYBACK PROJECT
NEW PRJ	NEW PROJECT
NEW PRJ ID	NEW PROJECT ID
NEW SPLIT	NEW SPLIT PROJECT

CHG_REASON CODES	DESCRIPTION
ON HOLD	HOLD STIP PROJECT
RE PGM	REPROGRAMMED
R/W CHG	RIGHT OF WAY CHANGE
SCH<	SCHEDULE ADVANCED
SCH>	SCHEDULE DELAY
SCOPE CHG	SCOPE CHANGE
SPLIT	SPLIT PROJECT
SPLIT SCH<	SPLIT PROJECT WITH SCHEDULE ADVANCE
SPLIT SCH>	SPLIT PROJECT WITH SCHEDULE DELAY
TCM - HOLD	TIMELY IMP ISSUE
TECH CHG	TECHNICAL CHANGE
MINOR CHG	MINOR CHANGE
MODEL CHANGE	MODELING DETAILS UPDATE

Note: Use MINOR CHG code only if change reason cannot be described by another listed code.

16. Project Status

Project Status helps identify the project phase when the project is programmed or amended in the FTIP. **CTCs are required to update this field to reflect on-going progress when developing 2017 county TIPs and when submitting amendments.** This field is most often overlooked. For Federal Transit Administration (FTA) funded transit projects, use the Transit Awards Management System (TrAMS) and locate the “FTA TrAMS Milestones Translation Table” to translate between FTA TrAMS Milestones and the TIP database Project Status field. The codes below match the codes available in the TIP Database.

PROJECT STATUS	DESCRIPTION
1	NO PROJECT ACTIVITY
2	ENVIRONMENTAL DOCUMENT / PRE-DESIGN PHASE (PAED)
3	ENGINEERING / PLANS, SPECIFICATIONS AND ESTIMATES (PS&E)
4	RIGHT-OF-WAY ACQUISITION
5	BID/ADVERTISE PHASE
6	CONTRACT AWARD
7	CONSTRUCTION / PROJECT IMPLEMENTATION BEGINS
8	CONSTRUCTION / IMPLEMENTATION COMPLETE, PROJECT OPEN FOR USE
9	FIRST VEHICLE DELIVERED
10	ALL VEHICLES DELIVERED
11	CONTRACT COMPLETE
12	PROJECT OPEN FOR USE BUT LANDSCAPING/OTHER STILL PENDING

17. 100% Prior Projects

Projects that are programmed in the 2017 FTIP with all funds programmed prior to FY 16-17 are considered as “100% prior projects”. It is essential that the CTCs update all 100% prior projects. These projects should be updated as completed, deleted, or continue to be carried over into the 2017 FTIP.

a. FTA Funds

It is very important to program Federal Transit Administration (FTA) funds into the current FTIP cycle to avoid grant delays. For example, a grantee has funds programmed as a 100% prior project in FY 14-15. These funds have not been awarded. If these funds are not carried over into the 2017 FTIP into FY 16-17, FY 17-18, FY 18-19, or FY 19-20 (FTIP quadrennial), the grantee will be unable to secure a grant award until funds are programmed in one of the years specified above. Not programming these funds in the FTIP quadrennial will delay the grant award process.

This analysis is necessary so that the most current and accurate information for all projects is accurately reflected and projects are not unduly delayed.

FTA considers an FTA funded project to be “complete” when the capital items are purchased, buses delivered and construction completed. A project is NOT complete merely when a grant is awarded.

18. Reports

The TIP Database gives the CTCs the ability to run various reports to conduct their analysis and review the project(s) entered in the TIP Database to confirm the accuracy of the project. The following is a list of the reports most commonly used to perform project analysis:

- Financial Plan
- Project Sheet (with comments / without comments)
- Project Listing
- Comparison Report
- Fund Summary

For steps on producing the reports, please refer to the TIP Database User Guide.

If a County Transportation Commission would like a special report that may not be produced through the current TIP Database reports screen, they may make a request by contacting Pablo Gutierrez at (213) 236-1929, or gutierre@scag.ca.gov.

19. TIP Database Screen & Instructions

Screens from the SCAG TIP Database are included in the new TIP Database User Guide. The TIP Database User Guide can be accessed from the TIP Database home page. Additionally, the 2017 FTIP Guidelines will be available in TIP Database home page.

C. REFERENCE SECTION

1. Program Codes

Program Codes have been revised to match the new codes available in the TIP database. The entire list of Program Codes is presented below. The Codes are listed based on the Program Code Type (i.e., first two characters). Following the Program Code list is a “Guide to Program Code Selection” flow chart to assist in the selection of Program Codes.

Program Codes

General Codes that Apply Across All Modes	
AD	<u>Administration/ Administrative Facilities</u>
ADM83	Administration
ADN55	Administrative Office(s)/Facility - New
ADR55	Administrative Office(s)/Facility - Rehab/Improvements
	<u>Misc.</u>
CHI50	Child Care Facility
FUL51	Fueling Stations
FUL52	Fueling Stations - Alternative Fuel
PLN40	Planning
ART48	Public Art Projects
SEC53	Security
SEC54	Security Equipment/Facilities
PPM01	STIP – Planning, Programming & Monitoring
STUDY	Project Study
VE	<u>Vehicles</u>
VER03	Vehicles - Administrative/Maintenance/Service/Security - (Alternative Fuel) - Upgrade/Rehabilitate
VER02	Vehicles - Administrative/Maintenance/Service/Security - (Gas/Diesel) - Upgrade/Rehabilitate
VEN03	Vehicles - Administrative/Maintenance/Service/Security - (Alternative Fuel) - New
VEN02	Vehicles - Administrative/Maintenance/Service/Security - (Gas/Diesel) - New
Capacity Enhancing Improvements	
CA	
CAN37	Auxiliary Lane Through Interchange
CAN76	Adding a Lane Through a Bottleneck: NON-REGIONALLY SIGNIFICANT
CAX76	Adding a Lane Through a Bottleneck: REGIONALLY SIGNIFICANT
CAY76	Adding a Lane Through a Bottleneck: GOODS MOVEMENT
CAR60	Bridge Restoration & Replacement - Lane Addition(s): NON-REGIONALLY SIGNIFICANT
CAX60	Bridge Restoration & Replacement - Lane Addition(s): REGIONALLY SIGNIFICANT
CAY60	Bridge Restoration & Replacement - Lane Addition(s): GOODS MOVEMENT

Capacity Enhancing Improvements (cont.)	
CART1	Bridge Restoration/Replacement (Lane Additions) with Non-motorized and/or TCM Scope/Facilities: NON-REGIONALLY SIGNIFICANT
CAXT1	Bridge Restoration/Replacement (Lane Additions) with Non-motorized and/or TCM Scope/Facilities: REGIONALLY SIGNIFICANT
CAYT1	Bridge Restoration/Replacement (Lane Additions) with Non-motorized and/or TCM Scope/Facilities: GOODS MOVEMENT
CAN61	Grade Separation - Capacity Enhancing: NON-REGIONALLY SIGNIFICANT
CAX61	Grade Separation - Capacity Enhancing: REGIONALLY SIGNIFICANT
CAY61	Grade Separation - Capacity Enhancing: GOODS MOVEMENT
CART9	High Occupancy Toll (HOT) Lanes and Pricing Alternatives - Existing: REGIONALLY SIGNIFICANT
CAXT9	High Occupancy Toll (HOT) Lanes and Pricing Alternatives - New: REGIONALLY SIGNIFICANT
CAX62	Highway/Road Improvements-Lane Additions with HOV lane(s): REGIONALLY SIGNIFICANT
CAY62	Highway/Road Improvements-Lane Additions with HOV lane(s): GOODS MOVEMENT
CAR63	Highway/Road Improvements-Lane Additions with no HOV lanes: NON-REGIONALLY SIG.
CAX63	Highway/Road Improvements-Lane Additions with no HOV lanes: REGIONALLY SIGNIFICANT
CAY63	Highway/Road Improvements-Lane Additions with no HOV lanes: GOODS MOVEMENT
CART2	Highway/Road Improvements-Lane Additions with Non-motorized and/or TCM Scope/Facilities: NON-REGIONALLY SIGNIFICANT
CAXT2	Highway/Road Improvements-Lane Additions with Non-motorized and/or TCM Scope/Facilities: REGIONALLY SIGNIFICANT
CAYT2	CAYT2 Highway/Road Improvements-Lane Additions with Non-motorized and/or TCM Scope/Facilities: GOODS MOVEMENT
CART3	Interchange – Modify/Replace/Reconfigure – Lane Addition(s) with Non-motorized and/or TCM Scope: NON-REGIONALLY SIGNIFICANT
CAXT3	Interchange – Modify/Replace/Reconfigure – Lane Addition(s) with Non-motorized and/or TCM Scope: REGIONALLY SIGNIFICANT
CAYT3	Interchange – Modify/Replace/Reconfigure – Lane Addition(s) with Non-motorized and/or TCM Scope: GOODS MOVEMENT
CARH3	Interchange – Modify/Replace/Reconfigure – Lane Addition(s)
CAN65	New Bridge: NON-REGIONALLY SIGNIFICANT
CAX65	New Bridge: REGIONALLY SIGNIFICANT
CAY65	New Bridge: GOODS MOVEMENT
CANT4	New Bridge with Non-motorized and/or TCM Scope/Facilities: NON-REGIONALLY SIGNIFICANT
CAXT4	New Bridge with Non-motorized and/or TCM Scope/Facilities: REGIONALLY SIGNIFICANT
CAYT4	New Bridge with Non-motorized and/or TCM Scope/Facilities: GOODS MOVEMENT
CAN66	New Connections/Cross Traffic Improvements: NON-REGIONALLY SIGNIFICANT
CAX66	New Connections/Cross Traffic Improvements: REGIONALLY SIGNIFICANT
CAY66	New Connections/Cross Traffic Improvements: GOODS MOVEMENT
CANT5	New Connections/Cross Traffic Improvements with Non-motorized and/or TCM Scope/Facilities: NON-REGIONALLY SIGNIFICANT
CAXT5	New Connections/Cross Traffic Improvements with Non-motorized and/or TCM Scope/Facilities: REGIONALLY SIGNIFICANT
CAYT5	New Connections/Cross Traffic Improvements with Non-motorized and/or TCM Scope/Facilities: GOODS MOVEMENT
CAN67	New Highway (no HOV Lanes): NON-REGIONALLY SIGNIFICANT
CAX67	New Highway (no HOV Lanes): REGIONALLY SIGNIFICANT
CAY67	New Highway (no HOV Lanes): GOODS MOVEMENT
CAX68	New Highway with HOV Lane(s): REGIONALLY SIGNIFICANT
CAY68	New Highway with HOV Lane(s): GOODS MOVEMENT

Capacity Enhancing Improvements (cont.)	
CANT6	New Highway with Non-motorized and/or TCM Scope/Facilities: NON-REGIONALLY SIGNIFICANT
CAXT6	New Highway with Non-motorized and/or TCM Scope/Facilities: REGIONALLY SIGNIFICANT
CAYT6	New Highway with Non-motorized and/or TCM Scope/Facilities: GOODS MOVEMENT
CANT9	New HOT Lane(s): REGIONALLY SIGNIFICANT
CAN69	New HOV Lane(s): REGIONALLY SIGNIFICANT
CAX70	New Interchange: REGIONALLY SIGNIFICANT
CAY70	New Interchange: GOODS MOVEMENT
CAXT7	New Interchange w/ Non-motorized and/or TCM Scope/Facilities: REGIONALLY SIGNIFICANT
CAYT7	New Interchange w/ Non-motorized and/or TCM Scope/Facilities: GOODS MOVEMENT
CAN71	New Interchange with Ramp Meters/HOV Bypass: NON-REGIONALLY SIGNIFICANT
CAX71	New Interchange with Ramp Meters/HOV Bypass: REGIONALLY SIGNIFICANT
CAY71	New Interchange with Ramp Meters/HOV Bypass: GOODS MOVEMENT
CAN72	New Overcross or Undercross: NON-REGIONALLY SIGNIFICANT
CAX72	New Overcross or Undercross: REGIONALLY SIGNIFICANT
CAY72	New Overcross or Undercross: GOODS MOVEMENT
CANT8	New Overcross or Undercross with Non-motorized and/or TCM Scope/Facilities: NON-REGIONALLY SIGNIFICANT
CAXT8	New Overcross or Undercross with Non-motorized and/or TCM Scope/Facilities: REGIONALLY SIGNIFICANT
CAYT8	New Overcross or Undercross with Non-motorized and/or TCM Scope/Facilities: GOODS MOVEMENT
CART0	Overcross or Undercross Improvements (Lane Add.) w/ Non-motorized and/or TCM Scope/Facilities: NON-REGIONALLY SIGNIFICANT
CAXT0	Overcross or Undercross Improvements (Lane Add.) w/ Non-motorized and/or TCM Scope/Facilities: REGIONALLY SIGNIFICANT
CAYT0	Overcross or Undercross Improvements (Lane Add.) w/ Non-motorized and/or TCM Scope/Facilities: GOODS MOVEMENT
CAR75	Overcross or Undercross Improvements (Lane Additions): NON-REGIONALLY SIGNIFICANT
CAX75	Overcross or Undercross Improvements (Lane Additions): REGIONALLY SIGNIFICANT
CAY75	Overcross or Undercross Improvements (Lane Additions): GOODS MOVEMENT
CAR59	Restriping for "Mix" Flow Lanes: NON-REGIONALLY SIGNIFICANT
CAX59	Restriping for "Mix" Flow Lanes: REGIONALLY SIGNIFICANT
CAY59	Restriping for "Mix" Flow Lanes: GOODS MOVEMENT
CAX77	Road Diet – Eliminating travel lanes
CAN74	Slow Vehicle Passing Lanes/Truck Climbing Lanes in Urbanized Areas: NON-REGIONALLY SIGNIFICANT
CAX74	Slow Vehicle Passing Lanes/Truck Climbing Lanes in Urbanized Areas: REGIONALLY SIGNIFICANT
CAY74	Slow Vehicle Passing Lanes/Truck Climbing Lanes in Urbanized Areas: GOODS MOVEMENT
CAN77	Reversible Lanes
CAR88	Ramps – Modify/Lane Additions

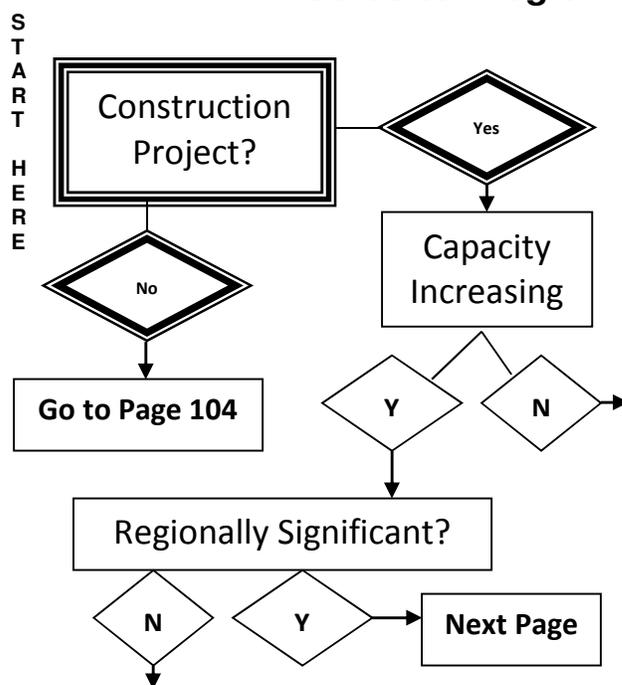
Non-Capacity Improvements	
NCN25	Bicycle & Pedestrian Facilities – New
NCN21	Auxiliary Lane Not Through Next Intersection
NCR25	Bicycle & Pedestrian Facilities – Upgrade
NCN26	Bicycle Facility – New
NCR26	Bicycle Facility – Upgrade
NCRT1	Bridge Restoration & Replace (No Lane Additions)w/ Non-motorized and/or TCM Scope/Facilities
NCR36	Bridge Restoration & Replacement (No Lane Additions)
NCR81	Curb and Gutter Improvements
NCRH4	Curve Correction/Improve Alignment
NCN47	Directional/Informational Signs / Sign Removal
NCN31	Grade Separation; Railroad/Highway Crossing – Non Capacity
NCR82	Historic Preservation
NCRT3	Interchange – Modify/Replace (non-capacity) w/ Non-motorized and/or TCM Scope/Facilities
NCRH3	Interchange – Modify/Replace/Reconfiguration
NCRH1	Intersection Improvements/Channelization
NCN84	Land Acquisition
NCN85	Land Acquisition – Abandoned Railway
NCN45	Land Acquisition for Scenic Easement
NCN95	Left Turn Lane(s)
NCN86	Maintenance/Storage Facility – New
NCR86	Maintenance/Storage Facility – Upgrade
NCN34	Median Barrier – New/ Add Median
NCR34	Median/ Median Barrier Upgrade
NCR87	Overcross or Undercross Improvements (No Lane Additions)
NCRT0	Overcross/Undercross Improvements (No Lane Additions) w/ Non-motorized and/or TCM Scope
NCR10	Passenger Benches & Small Shelters
NCR28	Passenger Loading Areas
NCN27	Pedestrian Facilities – New
NCR27	Pedestrian Facilities – Upgrade
NCN46	Planting/Landscaping
NCR46	Planting/Landscaping Restoration
NCN50	Recreational Facilities - New
NCR50	Recreational Facilities - Upgrade Existing
NCR31	Road Replacement and Rehabilitation (No Lane Additions)
NCN33	Roadside Rest Area – New
NCR30	Safety Improvements
NCR78	Seismic Retrofit
NCR22	Shoulder Widening
NCN29	Sidewalks/Curb Cuts – New
NCR29	Sidewalks/Curb Cuts – Upgrade
NCNH2	Signal(s) – at Intersections (non signal synchronization projects)
NCR79	Slope and Drainage Improvements
NCN35	Slow Vehicle Passing Lanes/Truck Climbing Lanes outside Urbanized Areas
NCR42	Sound Walls
NCR49	Storm Maintenance/Repair/Clearing
NCR35	Street Lights
NCR90	Turnouts
NCR91	Upgraded Facilities (No Lane Additions)
NCR93	Port Facilities – No Lane Additions
NCRT2	Upgraded Facilities (No Lane Additions) w/ Non-motorized and/or TCM Scope/Facilities

Revenue Operations and Capital	
TR	<u>Codes that Apply Across Bus and Rail Modes</u>
TRN06	Administrative Equipment - New
TRR06	Administrative Equipment - Upgrade/Rehabilitate
TRN08	Fare Equipment/Ticket Vending Machines
TRN07	Maintenance Equipment - New
TRR07	Maintenance Equipment - Upgrade
TRNH6	Passenger Stations/Facilities - New
TREH6	Passenger Stations/Facilities - Expansion
TRRH6	Passenger Stations/Facilities - Rehabilitation/Improvements
TRN09	Power, Signals and/or Communications
TRN92	Track Extension
TRR15	Track Replacement/Rehabilitation
TRN14	Track Structures - New
TRR14	Track Structures - Rehabilitation/Reconstruction
ITS01	Real Time Rail or Transit Notification System
BU	<u>Bus - (Fixed-Route and Intercity/Commuter Bus)</u>
BUO01	Bus - Capital Lease
BUO00	Bus Operations/Operating Assistance
BUO02	Bus Rapid Transit and Dedicated Bus Lanes - Express Busways – New Service
BUN07	Bus Service Equipment/Operating Equipment
BUN94	Buses – Expansion - Alternative Fuel
BUN93	Buses – Expansion - Gas/Diesel
BUR05	Buses – Rehabilitation/Improvements - Alternative Fuel
BUR04	Buses – Rehabilitation/Improvements - Gas/Diesel
BUR17	Buses – Replacement - Alternative Fuel
BUR16	Buses – Replacement - Gas/Diesel
CO	<u>Commuter Rail (e.g., Metrolink)</u>
CON94	Commuter Rail Cars and/or Locomotives – Expansion -Alternative Fuel
CON93	Commuter Rail Cars and/or Locomotives – Expansion -Gas/Diesel
COR05	Commuter Rail Cars and/or Locomotives – Rehabilitation/Improvements -Alternative Fuel
COR04	Commuter Rail Cars and/or Locomotives – Rehabilitation/Improvements -Gas/Diesel
COR17	Commuter Rail Cars and/or Locomotives – Replacement -Alternative Fuel
COR16	Commuter Rail Cars and/or Locomotives – Replacement -Gas/Diesel
COO00	Commuter Rail Operations/Operating Assistance
CON07	Commuter Rail Service Equipment/Operating Equipment
FE	<u>Ferry Service</u>
FEO00	Ferry Service Operations/Operating Assistance
FEN07	Ferry Service Equipment/Operating Equipment
FEN94	Ferry Service Vessels - Expansion -Alternative Fuel
FEN93	Ferry Service Vessels - Expansion -Gas/Diesel
FER05	Ferry Service Vessels - Rehabilitation/Improvements -Alternative Fuel
FER04	Ferry Service Vessels - Rehabilitation/Improvements -Gas/Diesel
FER17	Ferry Service Vessels - Replacement -Alternative Fuel
FER16	Ferry Service Vessels - Replacement -Gas/Diesel

Revenue Operations and Capital (cont.)	
LR	<u><i>Light Rail</i></u>
LRN94	Light Rail Cars and/or Locomotives - Expansion -Alternative Fuel
LRN93	Light Rail Cars and/or Locomotives - Expansion -Gas/Diesel
LRR05	Light Rail Cars and/or Locomotives - Rehabilitation/Improvements -Alternative Fuel
LRR04	Light Rail Cars and/or Locomotives - Rehabilitation/Improvements -Gas/Diesel
LRR17	Light Rail Cars and/or Locomotives - Replacement -Alternative Fuel
LRR16	Light Rail Cars and/or Locomotives - Replacement -Gas/Diesel
LRN92	Light Rail Extension
LRO00	Light Rail Operations/Operating Assistance
LRN07	Light Rail Service Equipment/Operating Equipment
PA	<u><i>Paratransit</i></u>
PAO00	Paratransit Operations/Operating Assistance
PAN07	Paratransit Service Equipment/Operating Equipment
PAN94	Paratransit Vehicles - Expansion -Alternative Fuel
PAN93	Paratransit Vehicles - Expansion -Gas/Diesel
PAR05	Paratransit Vehicles - Rehabilitation/Improvements -Alternative Fuel
PAR04	Paratransit Vehicles - Rehabilitation/Improvements -Gas/Diesel
PAR17	Paratransit Vehicles - Replacement -Alternative Fuel
PAR16	Paratransit Vehicles - Replacement -Gas/Diesel
RA	<u><i>Rail (Intercity and Heavy Rail) (Subway)</i></u>
RAN94	Rail Cars and/or Locomotives - Expansion -Alternative Fuel
RAN93	Rail Cars and/or Locomotives - Expansion -Gas/Diesel
RAR05	Rail Cars and/or Locomotives - Rehabilitation/Improvements -Alternative Fuel
RAR04	Rail Cars and/or Locomotives - Rehabilitation/Improvements -Gas/Diesel
RAR17	Rail Cars and/or Locomotives - Replacement -Alternative Fuel
RAR16	Rail Cars and/or Locomotives - Replacement -Gas/Diesel
RAN92	Rail Extension
RAO00	Rail Operations/Operating Assistance
RAN07	Rail Service Equipment/Operating Equipment
Intelligent Transportation Systems (ITS)	
ITS	
ITS01	Real Time Transit or Rail Notification System
ITS02	Signal Synchronization
ITS03	System-wide Smart Fare Card and Equipment
ITS04	Traffic Management/Operations Centers
	<u><i>Traffic Operations System Element Projects</i></u>
ITS05	Changeable Message Signs (CMS)
ITS06	Closed Circuit Televisions (CCTVs)
ITS07	Control Stations (CS) / Weigh in Motion (WIM) station
ITS08	Fiber Optic Communications
ITS09	Ramp Metering Systems
ITS10	System-wide Signal Preemption
ITS11	Signal Video Enforcement
ITS12	Traveler/Motorist Information Systems; Highway Advisory Radios

Intelligent Transportation Systems (ITS) (cont.)	
ITS13	Vehicle Detection (VDS) & Automatic Vehicle Classification (AVC) Systems
ITS14	Various Traffic Op. System Elements (ITS05 to ITS13)
Transportation Demand Management (TDM)	
TD	
TDN64	Park & Ride Lot – New
TDR64	Park & Ride Lot Modifications/Upgrade\Expansion
TDM20	Ridesharing
TDM24	TDM Programs - non Ridematching & non Park & Ride
Grouped Project Listing Categories	
SH <u>Caltrans SHOPP Projects</u>	
SHP01	Operations
SHP02	Roadside Rehabilitation
SHP03	Roadway Rehabilitation
SHP04	Safety
LU <u>Conformity Exempt Project Categories</u>	
LUM01	Operational Improvements
LUM02	Rehabilitation and Reconstruction
LUM03	Safety
LUM04	Transportation Enhancement Activities (only eligible items)
LUM05	Truck Climbing Lanes (outside urbanized areas)
LUM06	Recreation Trail Projects

Guide to Program Code Selection

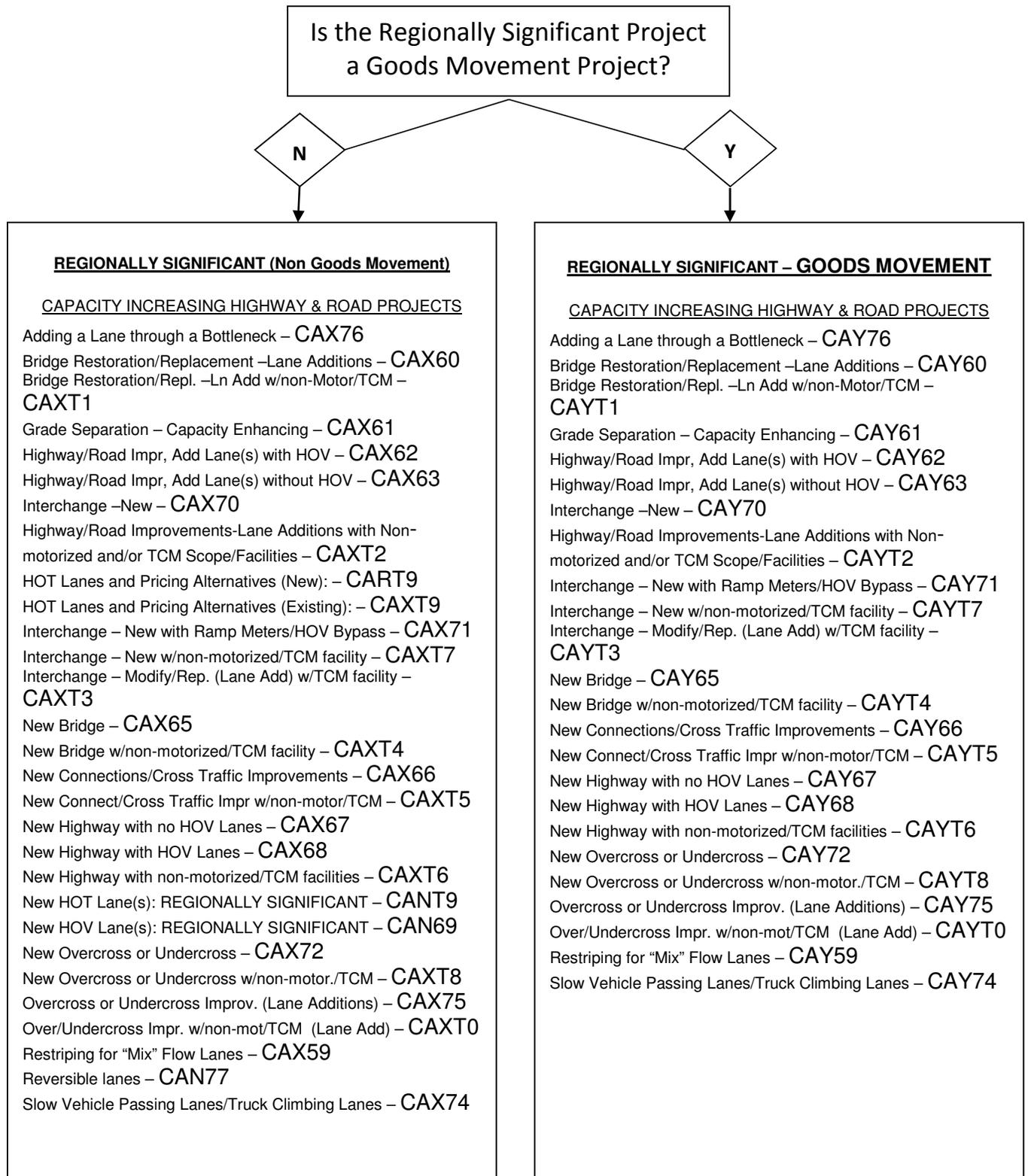


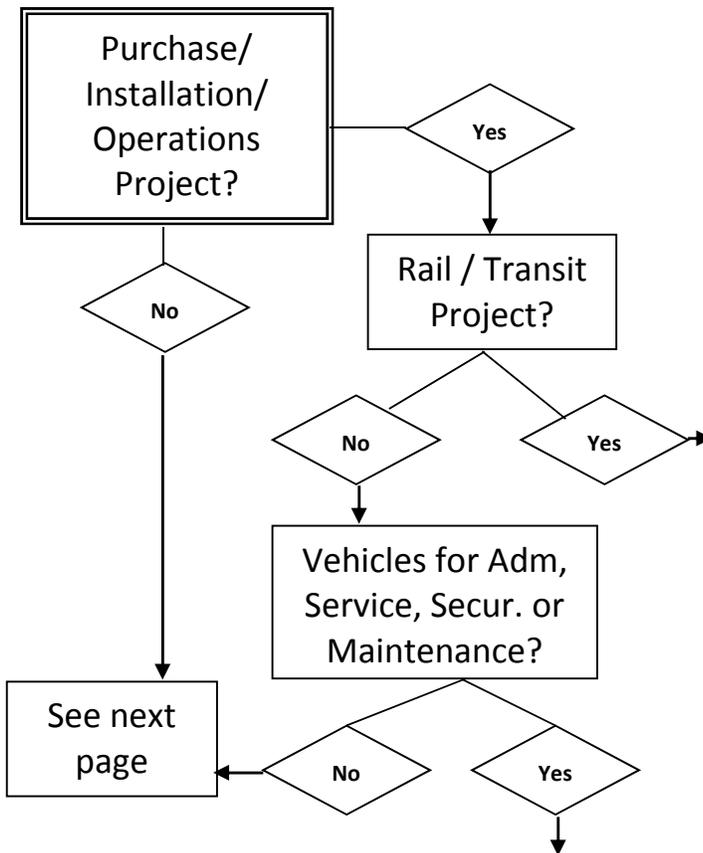
CAPACITY INCREASING HIGHWAY & ROAD PROJECTS

- Adding a Lane through a Bottleneck – CAN76
- Auxiliary Lane Through Interchange – CAN37
- Bridge Restoration/Replacement –Lane Additions – CAR60
- Bridge Restoration/Repl. –Ln Add w/non-Motor/TCM – CART1
- Grade Separation – Capacity Enhancing – CAN61
- Highway/Road Impr, Add Lane(s) without HOV – CAR63
- Highway/Road Impr, Lane add w/non-motor/TCM – CART2
- Interchange – Modify/Replace/Rec (Lane Additions) – CARH3
- Interchange – Modify/Rep. (Lane Add) w/TCM facility – CART3
- New Bridge – CAN65
- New Bridge w/non-motorized/TCM facility – CANT4
- New Connections/Cross Traffic Improvements – CAN66
- New Connect/Cross Traffic Impr w/non-motor/TCM – CANT5
- New Highway with no HOV Lanes – CAN67
- New Highway with non-motorized/TCM facilities – CANT6
- New Interchange with Ramp Meters/HOV Bypass – CAN71
- New Overcross or Undercross – CAN72
- New Overcross or Undercross w/non-motor./TCM – CANT8
- Overcross or Undercross Improv. (Lane Additions) – CAR75
- Over/Undercross Impr. w/non-mot/TCM (Lane Add) – CART0
- Ramps – Modify/Lane Additions – CAR88
- Restriping for "Mix" Flow Lanes – CAR59
- Slow Vehicle Passing Lanes/Truck Climbing Lanes – CAN74

NON-CAPACITY CONSTRUCTION PROJECTS (ALL TYPES)

- Administrative Offices/Facility - New – ADN55
- Administrative Offices/Facility - Rehab/Improve – ADR55
- Auxiliary Lane Not Through Next Intersection – NCN21
- Bicycle & Pedestrian Facilities - New – NCN25 Upgrade – NCR25
- Bicycle Facility - New – NCN26 Upgrade – NCR26
- Bridge Restoration & Replac. -No Lane Additions – NCR36
- Bridge Restor/Rep -No Add Lns w/non-motor/TCM – NCRT1
- Child Care Facility – CHI50
- Curb and Gutter Improvements – NCR81
- Curve Correction/Improve Alignment – NCRH4
- Directional / Informational Signs / Sign Removal – NCN47
- Fueling Stations – FUL51 Alternative Fuel – FUL52
- Grade Separation; RR/HWY Crossing - Non-Cap – NCN31
- Historic Preservation – NCR82
- Interchange -Modify/Replace (non-capacity) – NCRH3
- Interchange -Modify/Replace w/non-motor/TCM – NCRT3
- Intersection Improv./Channelization (non-capacity) – NCRH1
- Left Turn Lane(s) – NCN95
- Maintenance/Storage Facility -New – NCN86 Upgrade – NCR86
- Median Barrier/Add Median -New – NCN34 Upgrade – NCR34
- Overcross/Undercross Improv. - No Lane Additions – NCR87
- Overcross/Under. Improv – w/non-motorized/TCM – NCRT0
- Passenger Benches & Small Shelters – NCR10
- Passenger Loading Areas – NCR28
- Pedestrian Facilities - New – NCN27 Upgrade – NCR27
- Port Facilities – No Lane Additions – NCR93
- Public Art – ART48
- Ramps -Modify – NCR88
- Recreational Facilities - New – NCN50 Upgrade Existing – NCR50
- Road Replacement and Rehabilitation – NCR31
- Roadside Rest Area - New – NCN33
- Safety Improvements – NCR30
- Security Facilities – SEC54
- Seismic Retrofit – NCR78
- Shoulder Widening – NCR22
- Sidewalks/Curb Cuts - New – NCN29 Upgrade – NCR29
- Slope/Drainage Improvements – NCR79
- Slow Vehicle Passing Lanes/Truck Climbing Lanes outside UZA – NCN35
- Sound Walls – NCR42
- Storm Maintenance/Repair/Clearing – NCR49
- Turnouts – NCR90
- Upgraded Facilities - (No Lane Additions) – NCR91
- Upgraded Facilities (No Lane Additions) w/ Non-motorized and/or TCM Scope/Facilities – NCRT2





MASS TRANSPORTATION & RAIL PROJECTS

Codes that Apply Across Bus and Rail Modes

- Administrative Equipment - New – TRN06
- Administrative Equip - Rehab/Upgrade – TRR06
- Fare Equipment/Ticket Vending Machines – TRN08
- Maintenance Equipment - New – TRN07
- Maintenance Equipment - Upgrade – TRR07
- Maintenance/Storage Facility - New – NCN86
- Maintenance/Storage Facility - Upgrade/Rehab – NCR86
- Passenger Stations/Facilities - New – TRNH6
- Passenger Stations/Facilities - Expansion – TREH6
- Passenger Stations/Facilities - Rehabilitation/Improv – TRRH6
- Power, Signals, Communications – TRN09
- Track Extension – TRN92
- Track Replacement/Rehabilitation – TRR15
- Track Structures – New – TRN14
- Track Structures – Rehab/Reconstruction – TRR14
- Real Time Rail or Transit Notification System – ITS01

Bus Transit / Paratransit

- Bus - Capital Lease – BUO01
- Bus Operations/Operating Assistance – BUO00
- Bus Rapid Transit and Dedicated Bus Lanes - Express Busways – New Service – BUO02
- Bus Service Equipment/Operating Equipment – BUN07
- Buses - Expansion Alternative Fuel – BUN94
- Buses - Expansion Gas/Diesel – BUN93
- Buses - Rehabilitation/Improvements Alternative Fuel – BUR05
- Buses - Rehabilitation/Improvements Gas/Diesel – BUR04
- Buses - Replacement Alternative Fuel – BUR17
- Buses - Replacement Gas/Diesel – BUR16
- Paratransit Operations/Operating Assistance – PAO00
- Paratransit Service Equipment/Operating Equipment – PAN07
- Paratransit Veh - Expansion Alternative Fuel – PAN94
- Paratransit Veh - Expansion Gas/Diesel – PAN93
- Paratransit Veh - Rehabilitation/Improv Alt Fuel – PAR05
- Paratransit Veh - Rehabilitation/Improv Gas/Diesel – PAR04
- Paratransit Veh - Replacement Alternative Fuel – PAR17
- Paratransit Veh - Replacement Gas/Diesel – PAR16

Commuter Rail / Light Rail

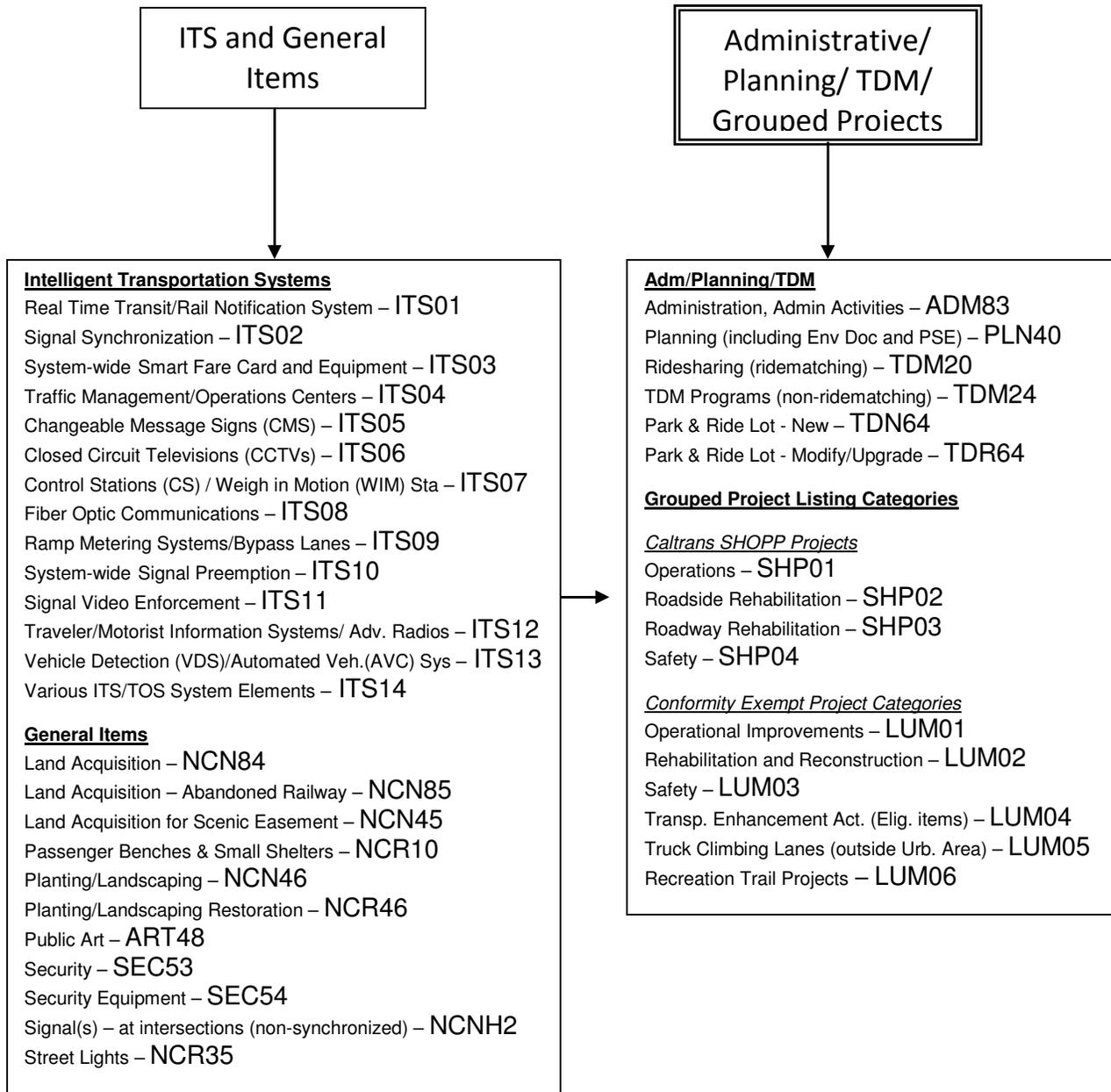
- Commuter Rail Cars/Locom - Expansion Alt Fuel – CON94
- Commuter Rail Cars/Locom - Expansion Gas/Diesel – CON93
- Commuter Rail Cars/Locom - Reh/Improv Alter Fuel – COR05
- Commuter Rail Cars/Locom - Reh/Improv Gas/Diesel – COR04
- Commuter Rail Cars/Locom - Replace Alt Fuel – COR17
- Commuter Rail Cars/Locom - Replace Gas/Diesel – COR16
- Commuter Rail Operations/Operating Assistance – COO00
- Commuter Rail Service Equipment/Operating Equip – CON07
- Light Rail Cars/Locomotives - Expansion Alt Fuel – LRN94
- Light Rail Cars/Locomotives - Expansion Gas/Diesel – LRN93
- Light Rail Cars/Locomotives - Reh/Impr Alt Fuel – LRR05
- Light Rail Cars/Locomotives - Reh/Impr Gas/Diesel – LRR04
- Light Rail Cars/Locomotives - Replace Alt Fuel – LRR17
- Light Rail Cars/Locomotives - Replace Gas/Diesel – LRR16
- Light Rail Extension – LRN92
- Light Rail Operations/Operating Assistance – LR000
- Light Rail Service Equip/Operating Equipment – LRN07

Vehicles: Admin, Maintenance, Service, Sec.

- Gas/Diesel - New – VEN02
- Alternative Fuel - New – VEN03
- Gas/Diesel - Upgrade/Rehab – VER02
- Alternative Fuel - Upgrade/Rehab – VER03

Rail (Intercity & Heavy Rail) / Ferry Service

- Rail Cars/Locomotives - Expansion Alternative Fuel – RAN94
- Rail Cars/Locomotives - Expansion Gas/Diesel – RAN93
- Rail Cars/Locomotives - Rehab/Improv Alt. Fuel – RAR05
- Rail Cars/Locomotives - Rehab/Improv Gas/Diesel – RAR04
- Rail Cars/Locomotives - Replace Alternative Fuel – RAR17
- Rail Cars/Locomotives - Replace Gas/Diesel – RAR16
- Rail Extension – RAN92
- Rail Operations/Operating Assistance – RAO00
- Rail Service Equipment/Operating Equipment – RAN07
- Ferry Service Operations/Operating Assistance – FEO00
- Ferry Service - Service Equip/Operating Equip – FEN07
- Ferry Service Vessels - Expansion Alt Fuel – FEN94
- Ferry Service Vessels - Expansion Gas/Diesel – FEN93
- Ferry Service Vessels - Rehab/Improve Alt Fuel – FER05
- Ferry Service Vessels - Rehab/Improve Gas/Diesel – FER04
- Ferry Service Vessels - Replacement Alt Fuel – FER17
- Ferry Service Vessels - Replacement Gas/Diesel – FER16



2. Conformity Category

The Conformity Category identifies projects that are exempt from conformity analysis, TCMs and non-exempt projects. Conformity category codes are listed below. See Chapter III – Item G on page 53.

Conformity Category
EXEMPT - 93.126
EXEMPT - 93.127
EXEMPT - 93.128
NON-EXEMPT
EXEMPT/MODELED
NON-EXEMPT/NOT MODELED
NON-REPORTABLE TCM
NON-REPORTABLE TCM COMMITTED
TCM
TCM Committed

3. Lead Agencies

Lead Agencies identify the agency in charge of programming the project and also report the progress of the project. If the CTCs request that a new Lead Agency or Fund Code be added to the TIP database, the form on the following page needs to be filled out and sent to Caltrans Local Districts before they can be added to the database.

Caltrans Local Assistance Procedures for requesting a new Locode (Local Agency Code) and Master Agreement may be found at the following link:

<http://www.dot.ca.gov/hq/LocalPrograms/hooles-rules.html>

See the section titled:

“ [Procedures to Request Locode/Master Agreement\(s\)](#) “

LOCAL ASSISTANCE PROCEDURES FOR REQUESTING A NEW LOCODE & MASTER AGREEMENT

A Local Agency Code, or “Locode”, is a unique numeric 4-digit agency identifier that is needed for processing of agreements (including Master Agreements) and other respective local agency requests through Caltrans Local Assistance. For a local agency that does not yet have a Locode and executed Master Agreement (MA), after the agency has a project included in an approved programming document with funding that is under the umbrella of Local Assistance, the local agency may request a new Locode and MA. A Local Agency’s first MA for Federal or State-only funded projects, whose processing will be initiated upon Locode creation, must be executed prior to the processing of allocation requests, E76s and program supplemental agreements (PSAs) with DLA for specific projects.

The “New Locode/MA Request” process is to be accomplished in several steps, outlined under the following:

- A. Request initiation
- B. Pre-award Audit
- C. Generation of new Locode
- D. Processing of Master Agreement

A local agency who contacts Local Assistance for a new Locode should be made aware that they will be required to undergo a pre-award audit by the Caltrans Division of Audits and Investigations (A&I) which may take from 3-6 months on average to complete. If documentation is not provided to A&I in a timely manner or if responses are inadequate, the process may take longer. It may be advisable for a Local Agency who has been awarded a project and who may be impacted by this timeframe to partner with another agency such as a City or County, that already has an executed MA, to administer a project. The Locode/MA request procedures are detailed below:

A. Request initiation

1. Local Agency requests new Locode/MA through DLAE. It may be beneficial for the DLAE to provide the local agency with a sample Master Agreement so that the local agency is made aware of what they will ultimately be agreeing to, provided that they are able to meet the prerequisite requirements.
2. DLAE to verify that DLA Locode/Master Agreement are necessary and applicable at this time to justify needing a pre-award audit:
 - Check currently approved programming to confirm that DLA Federal/State funds are programmed for project.
 - Check LP2000 to confirm whether Locode / Master Agreement already exist
3. DLAE assesses the type of local agency requesting Locode/Master Agreement. Issues to consider:
 - Public vs. Private Agency
 - Typically, DLA does not enter into Master Agreements with private or non-profit entities due to concerns regarding:

- * Compliance with maintenance responsibilities of Master Agreement (here today, gone tomorrow)
 - * In event of project default, Caltrans does not have a mechanism for recouping costs for completing project or placing project in acceptable state of repair, intercepting funds (e.g., future gas tax funds, withholding payment from other local assistance project invoices, etc.), or withholding future federal authorizations or California Transportation Commission allocations, if any.
 - DLA recommends these entities find a city or county project sponsor to administer project
 - Transportation vs. Nontransportation Agency
 - Non-Transportation type agencies are limited to administering non-infrastructure projects and will enter into non-infrastructure Master Agreements only.
4. If DLAE concurs with request:
- DLAE to submit (scan and email) completed “New Locode/Master Agreement Request Form” to DLA Locode Coordinator:
- Adam Ambrosini
Adam.ambrosini@dot.ca.gov
 (916)653-3840
- DLAE to cc HQ Area Engineer in email

B. Pre-award Audit

5. DLA Locode Coordinator to initiate pre-award audit process with DLA Audit Coordinator.
- Purpose is to assess:
 - Risk to Caltrans of entering into a Master Agreement with the new agency
 - * Source of revenue? (ability to meet financial commitments to contractors, consultants, Caltrans)
 - * Financial status? High Risk agency?
 - Ability of Agency's Accounting System to capture financial data and administer Local Assistance projects
 - * Compliance with Federal and State regulatory requirements?
 - Timeliness of A&I agency Audit is subject to workload and available staff. To assist A&I in prioritizing work, DLAE may request additional information from the local agency such as:
 - Type of agency? How long has the agency been in business? How large is the agency?
 - Staffing levels? Type of Staff? Staff Turnover?
 - Has agency been audited by another State agency before? If so, when? Any adverse findings? Copy of Audit Report available?
 - Is this their first Local Assistance project? Federal/State Aid dollar amounts? Other anticipated projects?

6. DLA Audit Coordinator:

- Requests A&I to perform a pre-award audit of the local agency.
- Provides to DLA Project Implementation monthly status updates of pre-award audits in progress.
- Insures that DLA Project Implementation (DLA Locode Coordinator and respective AE) and DLAE receive a copy of pre-award audit report upon its issuance.

7. Upon DLAE and DLA Implementation receiving copy of A&I pre-award audit report:

- If there are no findings, skip to “C.” below
- If there are findings,
 - DLAE to notify Local Agency that Locode and Master Agreement processing are on hold.

Local Agency may:

- o Take action to find a sponsor, such as a City or County who already have an MA, to administer a project on their behalf.
- o Work to address the audit findings. After the findings have been addressed to the satisfaction of A&I:
 - provide documentation of such (a subsequent audit report with no findings, or other documentation from A&I indicating that their report findings have been adequately addressed and resolved by the agency to the satisfaction of A&I) to the DLAE.
 - DLAE to forward documentation to HQ AE.
 - Upon verification by HQ AE that the local agency has no audit findings remaining, , HQ AE contacts DLA Locode Coordinator to proceed with “C.” below.

C. Locode

8. DLA Locode Coordinator:

- Generates new Locode in LP2000 and provides LP2000 Locode information to AE and DLAE.
- Files copy of Locode request correspondence including completed “New Locode/Master Agreement Request Form” and pertinent request emails and pre-award audit documentation into DLA Project Implementation “Locodes” binder

D. Master Agreement

9. Upon receiving notification of new Locode by DLA Locode Coordinator, AE to initiate MA processing

New Locode/Master Agreement Request Form

Local Agency information:

Agency Name:

Agency Mailing Address:

Attention Person (if any) and
Title: _____

Agency Phone Number:

Contact Person and Title:

Contact Person E-mail Address:

Caltrans District:

County Name:

State Assembly District No:

State Senate District No:

RTPA within its jurisdiction (if applicable):

MPO within its jurisdiction (if applicable):

Urban Area (if applicable):

Air Basin:

DLAE information

Requested by:

DLAE has completed steps 2 and 3 of request instructions: yes / no

District Signature (concurrence with request):

Date:

Address:

Phone
No.:

E-Mail Address:

Your DLAE will be able to assist with any individual requests. Respective DLAEs is listed below:

[District 07 Local Assistance](#)

[Steve Novotny](#)

100 S. Main St, #12.042
Los Angeles, CA 90012-3712
Public: (213) 897-0784, FAX: (213) 897-2999
Counties: Los Angeles, Ventura

[District 08 Local Assistance](#)

[Sean Yeung \(Acting\)](#)

464 West Fourth Street, 6th Floor, M760
San Bernardino CA 92401-1400
Public: (909) 383-4030, FAX: (909) 383-7131
Counties: Riverside, San Bernardino

[District 11 Local Assistance](#)

[Erwin Gojuangco](#)

4050 Taylor Street
Bldg 1, 2nd Fl, MS 124

San Diego, CA 92110-2737
Public: (619) 278-3756, Fax: (619) 220-5432
Counties: Imperial, San Diego

District 12 Local Assistance

Jim Kaufman

3347 Michelson Dr., Suite 100
Irvine, CA 92612-8894
Public: (949) 756-7805, FAX: (949) 756-4962
E-Mail Address: Jim.Kaufman@dot.ca.gov
Counties: Orange

4. Common Fund Sources

The following is a list of common fund sources seen in the Federal Transportation Improvement Program (FTIP).

Federal Highway Administration (FHWA) programs

The following FHWA fund sources are from the Moving Ahead for Progress in the 21st Century Act (MAP-21)

Surface Transportation Program (STP)

<http://www.fhwa.dot.gov/map21/factsheets/stp.cfm>

Funding is used for a wide variety of projects that can range from improving and expanding state and local highways, major roads, bridges, bicycle and pedestrian facilities. Funds are also used for transit capital but must be transferred to FTA. In accordance with Section 133 (f) of Title 23 of the United States Code, approximately 76% (\$225 million dollars per year) of the state's RSTP funds must be obligated on projects which are located within the 11 urbanized areas of California with populations greater than 200,000 people. The apportionment and distribution for such obligation is calculated based on relative population.

Congestion Mitigation and Air Quality Program (CMAQ)

<http://www.fhwa.dot.gov/map21/factsheets/cmaq.cfm>

The primary purpose of the CMAQ program is to fund projects and programs in air quality non-attainment and maintenance areas (ozone and carbon monoxide) that reduce transportation-related emissions. In the SCAG region, transportation projects and programs located in the South Coast Air Basin (SCAB), the Ventura County portion of the South Central Coast Air basin (SCCAB), the Los Angeles and San Bernardino county portions of the Mojave Desert Air Basin (MDAB), and the Riverside County portion of the Salton Sea Air Basin (SSAB) meet the CMAQ requirements and are eligible for CMAQ funds. Some projects that are eligible for CMAQ funding include High Occupancy Vehicle (HOV) lanes, bicycle and pedestrian facilities, alternative fuel vehicles for public transit agencies, and operating assistance. For a complete list of CMAQ eligible projects, please see:

http://www.fhwa.dot.gov/environment/air_quality/cmaq/policy_and_guidance/2013_guidance/index.cfm

National Highway Performance Program (NHPP)

<http://www.fhwa.dot.gov/map21/factsheets/nhpp.cfm>

The NHPP provides support for the condition and performance of the National Highway System (NHS), for the construction of new facilities on the NHS, and to ensure that investments of Federal-aid funds in highway construction are directed to support progress toward the achievement of performance targets established in a State's asset management plan for the NHS. NHPP projects must be on an eligible facility and support progress toward achievement of national performance goals for improving infrastructure condition, safety, mobility, or freight movement on the NHS, and be consistent with Metropolitan and Statewide planning requirements

Highway Safety Improvement Program (HSIP)

<http://www.fhwa.dot.gov/map21/factsheets/hsip.cfm>

<http://dot.ca.gov/hq/LocalPrograms/hsip.html>

MAP-21 continues the Highway Safety Improvement Program (HSIP) to achieve a significant reduction in traffic fatalities and serious injuries on all public roads, including non-State-owned public roads and roads on tribal lands. The HSIP requires a data-driven, strategic approach to improving highway safety on all public roads that focuses on performance. The primary features of the current HSIP are retained, including the requirement for a comprehensive, data-driven, Strategic Highway Safety Plan (SHSP) that defines State safety goals and describes a program of strategies to improve safety. In California, Caltrans administers the HSIP Call for Projects.

Transportation Alternatives Program(TAP)

<http://www.fhwa.dot.gov/map21/factsheets/tap.cfm>

MAP-21 established a new program to provide for a variety of alternative transportation projects, including many that were previously eligible activities under separately funded programs. The TAP replaces the funding from pre-MAP-21 programs including Transportation Enhancements, Recreational Trails, Safe Routes to School, and several other discretionary programs, wrapping them into a single funding source.

TIGER Discretionary Grants

<http://www.dot.gov/tiger>

TIGER (Transportation Investment Generating Economic Recovery) Grants provide a unique opportunity for the DOT to invest in road, rail, transit, bicycle/pedestrian, port, and multi-modal projects that achieve critical national objectives. Since 2009, Congress has dedicated more than \$4.6 billion for seven rounds to fund competitive projects that have a significant impact on the Nation, a region, or a metropolitan area. Through the TIGER program, DOT has awarded grants to 342 projects in all 50 States, the District of Columbia, and Puerto Rico.

Former Major FHWA Fund Sources

GARVEE Bonds

<http://www.dot.ca.gov/hq/innovfinance/garveebond.htm>

GARVEE bonds are tax-exempt debt instrument financing mechanisms that are backed by annual federal appropriations for federal-aid transportation projects. Funding from GARVEE bonds can be used for right of way, highway construction, or other transportation projects that are eligible under Title 23 of the United States Code while meeting all federal requirements. Additional requirements for projects to become eligible for GARVEE bonds include, environmental clearance and completed project design, California Transportation Commission designation for GARVEE financing, and Federal Highway Administration (FHWA) eligibility for advance construction using GARVEE financing. GARVEE financing is subject to federal match requirements because these funds rely solely on future federal-aid funding for debt repayment. However, local or state funds can be used for matching purposes outside of the debt service.

Federal Transit Administration (FTA) programs

The following FTA fund sources are from the Moving Ahead for Progress in the 21st Century Act (MAP-21):

Section 5307 Urbanized Area Formula Grants

http://www.fta.dot.gov/documents/MAP-21_Fact_Sheet_-_Urbanized_Area_Formula_Grants.pdf

This program provides grants to Urbanized Areas (UZA) for public transportation capital, planning, job access and reverse commute projects, as well as operating expenses in certain circumstances. These funds constitute a core investment in the enhancement and revitalization of public transportation systems in the nation's urbanized areas, which depend on public transportation to improve mobility and reduce congestion.

Section 5309 Fixed Guideway Capital Investment Grants

http://www.fta.dot.gov/documents/MAP-21_Fact_Sheet_-_Fixed_Guideway_Capital_Investment_Grants.pdf

This program provides grants for new and expanded rail, bus rapid transit, and ferry systems that reflect local priorities to improve transportation options in key corridors. This program defines a new category of eligible projects, known as core capacity projects, which expand capacity by at least 10% in existing fixed-guideway transit corridors that are already at or above capacity today, or are expected to be at or above capacity within five years. The program also includes provisions for streamlining aspects of the New Starts process to increase efficiency and reduce the time required to meet critical milestones.

Section 5310 Transportation for Elderly Persons and Persons with Disabilities

http://www.fta.dot.gov/documents/MAP-21_Fact_Sheet_-_Enhanced_Mobility_of_Seniors_and_Individuals_with_Disabilities.pdf

<http://www.dot.ca.gov/hq/MassTrans/5310.html>

This program is intended to enhance mobility for seniors and persons with disabilities by providing funds for programs to serve the special needs of transit-dependent populations beyond traditional public transportation services and Americans with Disabilities Act (ADA) complementary paratransit services. This program also consolidates New Freedom Program and Elderly and Disabled Program.

Section 5311 Formula Grants for Rural Areas

http://www.fta.dot.gov/documents/MAP-21_Fact_Sheet_-_Formula_Grants_for_Rural_Areas.pdf

<http://www.dot.ca.gov/hq/MassTrans/5311.html>

This program provides capital, planning, and operating assistance to states to support public transportation in rural areas with populations less than 50,000, where many residents often rely on public transit to reach their destinations.

Section 5337 State of Good Repair Grants

[http://www.fta.dot.gov/documents/MAP-21 Fact Sheet - State of Good Repair Grants.pdf](http://www.fta.dot.gov/documents/MAP-21_Fact_Sheet_-_State_of_Good_Repair_Grants.pdf)

A new formula-based State of Good Repair program is FTA's first stand-alone initiative written into law that is dedicated to repairing and upgrading the nation's rail transit systems along with high-intensity motor bus systems that use high-occupancy vehicle lanes, including bus rapid transit (BRT). These funds reflect a commitment to ensuring that public transit operates safely, efficiently, reliably, and sustainably so that communities can offer balanced transportation choices that help to improve mobility, reduce congestion, and encourage economic development.

Section 5339 Bus and Bus Facilities Formula Grants

[http://www.fta.dot.gov/documents/MAP-21 Fact Sheet - Bus and Bus Facilities.pdf](http://www.fta.dot.gov/documents/MAP-21_Fact_Sheet_-_Bus_and_Bus_Facilities.pdf)

<http://www.dot.ca.gov/hq/MassTrans/5339.html>

This program provides capital funding to replace, rehabilitate and purchase buses and related equipment and to construct bus-related facilities.

State Revenue Sources**State Transportation Improvement Program (STIP)**

<http://www.dot.ca.gov/hq/LocalPrograms/STIP.htm>

The State Transportation Improvement Program (STIP) is funded with a combination of Federal and State revenue sources. The Regional Transportation Planning Agencies (RTPAs) propose programs and projects for 75% (Regional Transportation Improvement Program (RTIP)) of the available funds while Caltrans proposes programs for the remaining 25% (Interregional Transportation Improvement Program (ITIP)). Fund estimates are released in July of every odd number year with the California Transportation Commission (CTC) approving the estimates in August of every odd number year. Once approved, Caltrans and the RTPAs prepare transportation improvement programs for these funds in December with approval of the programs by the CTC in April of the subsequent, even number year. By law, the fund estimate can be delayed for up to 90 days which impacts the overall STIP approval schedule. Therefore, the timelines are subject to change.

State Highway Operation and Protection Program (SHOPP)

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

The State Highway Operation and Protection Program (SHOPP) primarily funds state highway and bridge rehabilitation and reconstruction projects. These projects do not add capacity to highways and are often exempt from air quality analysis and environmental review. Changes to the SHOPP usually requires CTC action which is then updated in the FTIP soon after CTC approval.

Transportation Development Act (TDA)

<http://www.dot.ca.gov/hq/MassTrans/State-TDA.html>

The Transportation Development Act (TDA) provides funding for the Local Transportation Fund (LTF) and the State Transit Assistance (STA) fund, both of which fund projects that assist and improve public transportation. Funds are allocated to counties based on several factors which include population, taxable sales, and transit performance. TDA funding is used for planning and program activities, pedestrian and bicycle facilities, community transit services, public transit, and bus and rail projects. If unmet transit needs do not exist, funds can be used for roads. Agencies typically use these funds as local match for FTA funds that have a match requirement.

Active Transportation Program (ATP)

<http://www.catc.ca.gov/programs/ATP.htm>

The goals of the ATP are to encourage increased use of active modes of transportation, such as biking and walking, increase safety for non-motorized users, advance the efforts of regional agencies to achieve greenhouse gas reduction goals, and enhance public health. The California Transportation Commission (CTC) is responsible for adopting guidelines for each 4-year ATP cycle and must adopt a program of projects no later than April 1 of each odd-numbered year.

Cap and Trade Program

<http://www.arb.ca.gov/cc/capandtrade/capandtrade.htm>

Assembly Bill 32 requires California to return to 1990 levels of greenhouse gas emissions by 2020. All programs developed under AB 32 contribute to the reductions need to achieve this goal, and will deliver an overall 15% reduction in greenhouse gas emissions compared to the “business as usual” scenario in 2020 if we did nothing at all.

Former Major State Revenue Sources**Traffic Congestion Relief Program (TCRP)**

http://www.dot.ca.gov/hq/transprog/ocip/tcrp/tcrp_projects.htm

The Traffic Congestion Relief Program (TCRP) is funded with a combination of the State general fund and sales tax on gasoline between the years of 2000 to 2006. Few projects that received TCRP funds are complete, with several projects still underway.

Proposition 1B

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

Adopted in 2006 by California voters, this bond will generate \$19.925 billion over the course of ten years. Bonds are distributed to several different programs which include:

- Corridor Mobility Improvement Account (CMIA)
- State Route 99 Improvements
- California Ports Infrastructure, Security, and Air Quality Improvement Account which include the Trade Corridor Improvements Fund, additional port security measures, and an apportionment to supplement the State Air Resources Board for the purpose of emissions reduction not required by law.

- School bus retrofit
- STIP augmentation
- Public Transportation Modernization, Improvement, and Service Enhancement Account (PTMISEA) in which a portion will go to Intercity Rail improvement
- State-Local Partnership Program Account
- Transit System Safety, Security, and Disaster Account
- Local Bridge Seismic Retrofit Account
- Highway-Railroad Crossing Safety Account
- Highway Safety, Rehabilitation, and Preservation Account, a portion of which will go to the SHOPP and Traffic Light Synchronization
- Local Streets and Road Improvement, Congestion Relief, and Traffic Safety account

Other tools and mechanisms for programming projects

Local Advanced Construction

http://www.dot.ca.gov/hq/LocalPrograms/lam/prog_p/ch03-2014-04-04.pdf (Pages 3-14 to 3-15)

Local Advance Construction or Local AC is a tool that allows agencies to program local dollars in anticipation of using future federal revenue to reimburse the agency. This allows a project to continue forward with limited federal funds. According to the Local Assistance Procedure Manual, CMAQ, RSTP, and HBP are the only federal-aid programs eligible for Local AC. Additionally STIP funds are also eligible for Local AC. Projects funded with Local AC must comply to all federal regulations as if the project was funded with federal-aid dollars. Therefore, Local AC projects must be in the FTIP. Moreover, the federal reimbursement, or conversion amount, must be programmed in the FTIP so that local funds will be reimbursed.

5. Fund Codes

Fund Codes identify the specific type of funds programmed for each project. It is very important that Fund Codes be entered correctly as this can delay the obligation of funds. The table below has all fund codes in the database by county:

County	Fund Type	Fund Type Description
All	1112	RECREATIONAL TRAILS
All	2008EAR	FFY 2008 Appropriations Earmarks
All	2009EAR	FFY 2009 Appropriations Earmarks
All	2010EAR	FFY 2010 APPROPRIATIONS EARMARKS
All	5207	INTELLIGENT TRANS SYS
All	5307	FTA 5307 UZA FORMULAR
All	5307-OP	FTA 5307-OPERATING
All	5309a	FTA 5309(a) GUIDEWY
All	5309b	FTA 5309(b) NEW RAIL
All	5309c	FTA 5309(c) BUS

All	5310	FTA 5310 ELD AND DISABI
All	5310-TR	FTA 5310 (FHWA TRANSFER FUNDS)
All	5311	5311 - NONURBANIZED AREA FORMULA PROGRAM
All	5313	STATE PLNG AND RESEARCH
All	5339	5339 - BUS AND BUS FACILITIES FORMULA GRANTS
All	5340	GROWING STATES AND HIGH DENSITY STATES FORMULA
All	5394	ROGAN HR5394
All	AB2766	STATE AB2766
All	AGENCY	AGENCY
All	AIR	AIR BOARD
All	AMTRAK	AMTRAK
All	ATP	ACTIVE TRANSPORTATION PROGRAM
All	ATP-MPO	ACTIVE TRANSPORTATION PROGRAM - MPO
All	BENEFIT	BENEFIT ASSESS DIST
All	BIA	BU OF INDIAN AFFAIRS
All	BOND-SH	SHOPP AUGMENTATION
All	BONDL	BONDS - LOCAL
All	BR-LOCS	BRIDGE LOCAL SEISMIC
All	CAPTRAD	CAP AND TRADE PROGRAM
All	CBIP	FHWA CORRIDORS AND BORDERS PROGRAM
All	CITY	CITY FUNDS
All	CMAQ	CMAQ
All	CMIA	CORRIDOR MOBILITY PROGRAM
All	CMOYER	CARL MOYER FUNDS
All	CO	COUNTY
All	CTSGP	CALIFORNIA TRANSIT SECURITY GRANT PROGRAM
All	DEMISTE	DEMO - ISTE A
All	DEMO	DEMO-PRE ISTE A
All	DEMOTL	DEMO-SAFETEA-LU
All	DEMOT21	DEMO - TEA 21
All	DEV FEE	DEVELOPER FEES
All	EDA	EDA GRANT
All	ER-LOC	EMERGENCY RELIEF - LOCAL
All	ER-S	EMERGENCY RELIEF - STATE
All	FARE	FARE REVENUE
All	FEE	FEE
All	FERRY-D	1064 FERRY DISCRETIONARY
All	FLH	FEDERAL LANDS HIGHWAYS PROGRAM
All	FRA	FEDERAL RAILROAD ADMINISTRATION EARMARK
All	GEN	GENERAL FUNDS

All	GRV-SH	GARVEE BOND FINANCING
All	HBRR-L	BRIDGE - LOCAL
All	HBRR-S	HBRR - STATE
All	HFL	HIGHWAYS FOR LIFE
All	HPP-ACC	ADVANCED CONSTRUCTION CONVERSION
All	HPP-RE	HIGH PRIORITY PROJECTS PROGRAM - ADVANCE CONSTRUCTION CONVERSION
All	HRRRP	HIGH RISK RURAL ROAD PROGRAM
All	HSIP	HIGHWAY SAFETY IMPROVEMENT PROGRAM
All	HSIP-CT	HSIP - CT MINOR PROGRAM
All	HSPTB	HIGH-SPEED PASSENGER TRAIN BOND PROGRAM
All	HUD	HOUSING AND URBAN DEV
All	IM	INTERSTATE MAINTENANCE
All	IM-2764	INTERSTATE MAINT. DISCRETIONARY - H.R. 2764
All	IM-4818	INTERSTATE MAINT. HR4818
All	IM-IIP	INTERSTATE MAINTENANCE - IIP
All	IM-RIP	INTERSTATE MAINTENANCE - RIP
All	IMD	INTERSTATE MAINTENANCE DISCRETIONARY
All	LOC-AC	LOCAL ADVANCE CONSTRUCTION
All	LSRCRTS	LOCAL STREET AND ROAD, CONGESTION
All	LTF	LOCAL TRANS FUNDS
All	MELLO	MELLO ROOS
All	NCIIP	NAT'L CORRIDOR INFRASTRUCTURE IMP PROGRAM
All	NH	NATIONAL HWY SYSTEM
All	NH-HM	NATIONAL HWY SYSTEM - HM
All	NH-IIP	NATIONAL HWY SYSTEM - IIP
All	NH-RIP	NATIONAL HWY SYSTEM - RIP
All	NH-SHOP	NATIONAL HWY SYSTEM-SHOPP
All	NPSF	NATIONAL PARK SERVICE FUNDS
All	NSBP	SCENIC BYWAYS DISCRET
All	P-TAX	PROPERTY TAX
All	P116	PROP 116
All	PLH	PUBLIC LAND HWYS
All	PNRS	PROJECTS OF NATIONAL AND REGIONAL SIGNIFICANCE
All	PORT	PORT FUNDS
All	PTMISEA	PUBLIC TRANS MODERNIZATION IMP AND SERV. ENHANCEMENT ACCT.
All	PVT	PRIVATE FUNDS
All	RED	REDEVELOPMENT FUNDS
All	RSTP-AC	RSTP - ADVANCE CONSTRUCTION
All	S-PARK	STATE PARK FUNDS

All	SCE129	SECTION 129 - SURFACE TRANSPORTATION PRIORITIES
All	SEC125	SECTION 125 - SURFACE TRANSPORTATION PRIORITIES
All	SH-TCIF	SHOPP ADVANCE CONSTRUCTION - TCIF
All	SHOPPAC	SHOPP - ADVANCE CONSTRUCTION
All	SHOPPACP	SHOPP AC-PRIOR
All	SHPACMIN	SHOPP ADVANCE CONSTRUCTION (AC) - CT MINOR
All	SLP	STATE LOCAL PARTNER
All	SR2S	SAFE ROUTES TO SCHOOL (SR2S)
All	SRTS	SAFE ROUTE TO SCHOOLS
All	ST-CASH	STATE CASH
All	ST-SPR	PARTNERSHIP PLANNING GRANT
All	STA	STATE TRANSIT ASSIST
All	STA-1B	STATE TRANSIT ASSISTANCE - PROPOSITION 1B FUNDS
All	STA-BLA	STATE BIKE LANE ACT.
All	STA-PUC	STATE PUC
All	STAL-S	STATE LEGIS - STATE
All	STC-IPPP	STATE CASH - IPP PRIOR
All	STC-RIPP	STATE CASH - RIP PRIOR
All	STCASHCT	STATE CASH - CT MINOR PROGRAM
All	STCASHHM	STATE CASH – HM
All	STCASHI	STATE CASH - IIP
All	STCASHR	STATE CASH - RIP
All	STCASHS	STATE CASH- SHOPP
All	STIM2-L	ECONOMIC STIMULUS II – LOCAL
All	STIM2-S	ECONOMIC STIMULUS II – STATE
All	STIP-AC	STIP ADVANCE CON
All	STIPACIP	STIP ADVANCE CON-IIP
All	STIPACRP	STIP ADVANCE CON-RIP
All	STP	SURFACE TRANS PROG
All	STP-2764	SURFACE TRANSPORTATION PROGRAM - H.R. 2764
All	STP-HM	SURFACE TRANSPORTATION PROGRAM - HM
All	STP-IIP	SURFACE TRANS PROG - IIP
All	STP-RIP	SURFACE TRANS PROG - RIP
All	STP4818	SURFACE TRANS PROG - HR4818
All	STPE	STP ENHANCEMENT IPP PRIOR
All	STPACIPP	STIP ADVANCE CON-PIIP
All	STPACRPP	STIP ADVANCE CON-PRIP
All	STPE-I	STP ENHANCE-IIP TEA
All	STPE-L	STP ENHANCE-LOCAL TEA

All	STPE-R	STP ENHANCE-RIP TEA
All	STPG-L	STP SAFETY LOCAL
All	STPL	STP LOCAL
All	STPL-R	STP LOCAL - REGIONAL
All	STPR	SURFACE TRANS. PRIORITIES
All	STPR-L	STP RAILROAD LOCAL
All	STPR-S	STP RAILROAD
All	STPSHOP	SURFACE TRANS PROG-SHOPP
All	STSHOPPP	STATE CASH-SHOPP PRIOR
All	TAP	TRANSPORTATION ALTERNATIVES PROGRAM
All	TCIF	TRADE CORRIDOR PROGRAM
All	TCRF	TRAFFIC CONGESTION RELIEF
All	TCSPPP	TRANS AND COMM AND SYS PRESRV PILOT PROG
All	TDA	TDA
All	TDA3	TDA ARTICLE #3
All	TDA4	TDA ARTICLE #4
All	TDA4.5	TDA ARTICLE #4.5
All	TDA8	TDA ARTICLE #8
All	TIFIA	TRANSPORTATION INFRASTRUCTURE FINANCE & INNOVATION ACT
All	TIGER	TIGER DISCRETIONARY GRANT
All	TIGER13	2013 TIGER GRANTS
All	TIGGER	TRANSIT INVESTMENT FOR GREENHOUSE GAS AND ENERGY REDUCTION
All	TLSP	TRAFFIC LIGHT SYNCHRONIZATION PROGRAM
All	TPD	TRANS PLNG AND DEV
All	TRA FEE	TRAFFIC IMPACT FEES
All	TSSSDR	TRANSIT SYSTEM SAFETY, SECURITY AND DISASTER RESPONSE ACCOUNT
All	UNIV	STATE UNIVERSITY
IMP	LBSRA	LOCAL BRIDGE SEISMIC RETROFIT ACCOUNT
IMP	STCASGI	STATE CASH - GRANDFATHERED IIP
IMP	STCASHP	STATE CASH - PRIOR STIP
LA	2011FDG	2011 FED DISC GRANTS
LA	5307LA	LOS ANGELES/LONG BEACH/SANTA ANA URBANIZED AREA
LA	5307LP	LANCASTER/PALMDALE URBANIZED AREA
LA	5307RS	RIVERSIDE/SAN BERNARDINO URBANIZED AREA
LA	5307SC	SANTA CLARITA URBANIZED AREA
LA	5310LA	LOS ANGELES -LONG BEACH-ANAHEIM URBANIZED AREA - EM
LA	5310LP	LANCASTER-PALMDALE URBANIZED AREA - EM
LA	5310SC	SANTA CLARITA URBANIZED AREA - EM

LA	5337LA	LOS ANGELES -LONG BEACH-ANAHEIM URBANIZED AREA - SGR
LA	5337LP	LANCASTER-PALMDALE URBANIZED AREA - SGR
LA	5337RS	RIVERSIDE-SAN BERNARDINO URBANIZED AREA
LA	5339LA	LOS ANGELES -LONG BEACH-ANAHEIM URBANIZED AREA - BFG
LA	5339LP	LANCASTER-PALMDALE URBANIZED AREA - BFG
LA	5339RS	RIVERSIDE-SAN BERNARDINO URBANIZED AREA - BFG
LA	5339SC	SANTA CLARITA URBANIZED AREA - BFG
LA	HRCSA	HIGHWAY-RAILROAD CROSSING SAFETY ACCOUNT
LA	MEA_R	MEASURE R
LA	MR02	MEASURE R 02 - METRO RAIL TRANSIT CAPITAL
LA	MR03	MEASURE R 03 - METROLINK CAPITAL
LA	MR05	MEASURE R 05 - RAIL OPERATIONS
LA	MR15	MEASURE R 15 - LOCAL RETURN
LA	MR20B	MEASURE R 20B - BUS OPERATIONS
LA	MR20H	MEASURE R 20H - HIGHWAY CAPITAL
LA	MR35	MEASURE R 35 - RAIL BUS RAPID TRANSIT CAPITAL
LA	NH-GIIP	NAT'L HWY - GRANDFATHER IIP
LA	NH-GRIP	NAT'L HWY-GRANDFATHER RIP
LA	PC10	PROP "C10" FUNDS
LA	PC20	PROP "C20" FUNDS
LA	PC25	PROP "C25" FUNDS
LA	PC40	PROP "C40" FUNDS
LA	PC5	PROP "C5" FUNDS
LA	PROPA	PROP "A" FUNDS
LA	PROPALR	PROP "A" LOCAL RETURN
LA	PTA	PUBLIC TRANSIT ACCT
LA	PTA-IIP	PUBLIC TRANSIT ACCT - IIP
LA	PTA-PRI	PUBLIC TRANSIT ACCT - PRIOR STIP
LA	PTA-RIP	PUBLIC TRANSIT ACCOUNT - RIP
LA	SC3090	STATE CASH (AB 3090)
LA	SEC112	SECTION 112
LA	SEC115	SECTION 115
LA	SEC330	SECTION 330
LA	STCASHg	STATE CASH - GRNDFTHR RIP
LA	STCASHP	STATE CASH - PRIOR STIP
LA	STCRSP	STATE CASH - PRIOR RETROFIT SOUNDWALL PROGRAM
LA	STIPPRI	STIP PRIOR
LA	STP-GI	STP-GRANDFATHER IIP
LA	STP-GR	STP-GRANDFATHER RIP

LA	STPE-P	STP-ENTRANCEMENT PRIOR STIP
LA	STPE-SH	STP ENHANCE-SHOPP TEA
ORA	2011FDG	2011 FED DISC GRANTS
ORA	5307LA	LOS ANGELES/LONG BEACH/SANTA ANA URBANIZED AREA
ORA	5307MV	MISSION VIEJO URBANIZED AREA
ORA	5307RS	RIVERSIDE/SAN BERNARDINO URBANIZED AREA
ORA	5310MV	MISSION VIEJO URBANIZED AREA - EM
ORA	5337MV	MISSION VIEJO URBANIZED AREA - SGR
ORA	5337RS	RIVERSIDE-SAN BERNARDINO URBANIZED AREA
ORA	5339LA	LOS ANGELES -LONG BEACH-ANAHEIM URBANIZED AREA - BFG
ORA	5339MV	MISSION VIEJO URBANIZED AREA - BFG
ORA	5339RS	RIVERSIDE-SAN BERNARDINO URBANIZED AREA - BFG
ORA	HRCSA	HIGHWAY-RAILROAD CROSSING SAFETY ACCOUNT
ORA	LBSRA	LOCAL BRIDGE SEISMIC RETROFIT ACCOUNT
ORA	ORA-BCK	ORANGE M - TURNBACK
ORA	ORA-FWY	ORANGE M - FREEWAY
ORA	ORA-GMA	ORANGE M - GMA
ORA	ORA-IIP	ORANGE M - IIP
ORA	ORA-PAH	ORANGE M - MPAH
ORA	ORA-RIP	ORANGE M - REG I/C
ORA	ORA-SIP	ORANGE M - SIGNALS
ORA	ORA-SSP	ORANGE M - SMARTST
ORA	ORA-TDM	ORANGE M - TDM
ORA	ORA-TRN	ORANGE M - TRANSIT
ORA	ORAFWY2	ORANGE M2 - FREEWAY
ORA	ORAM2RC	ORANGE CO. MEASURE M2 - REGIONAL CAPACITY
ORA	ORAM2SS	ORANGE CO. MEASURE M2 - SIGNAL SYNCHRONIZATION
ORA	ORAM2TR	ORANGE CO. MEASURE M2 - TRANSIT
ORA	PTA	PUBLIC TRANSIT ACCT
ORA	PTA-IIP	PUBLIC TRANSIT ACCT - IIP
ORA	PTA-PRI	PUBLIC TRANSIT ACCT - PRIOR STIP
ORA	PTA-RIP	PUBLIC TRANSIT ACCOUNT - RIP
ORA	SC3090	STATE CASH (AB 3090)
ORA	SEC115	SECTION 115
ORA	STCASHP	STATE CASH - PRIOR STIP
ORA	STPE-P	STP-ENTRANCEMENT PRIOR STIP
ORA	STPE-PR	STP ENHANCE-PRIOR RIP TEA
ORA	XORA	MEASURE M
RIV	5307-TR	FTA 5307 (FHWA TRANSFER FUNDS)

RIV	5307H	HEMET URBANIZED AREA
RIV	5307IC	INDIO-CATHEDRAL CITY URBANIZED AREA
RIV	5307LA	LOS ANGELES/LONG BEACH/SANTA ANA URBANIZED AREA
RIV	5307MT	MURRIETA-TEMECULA-MENIFEE URBANIZED AREA
RIV	5307RS	RIVERSIDE/SAN BERNARDINO URBANIZED AREA
RIV	5310H	HEMET URBANIZED AREA - EM
RIV	5310IC	INDIO-CATHEDRAL CITY URBANIZED AREA - EM
RIV	5310MT	MURRIETA-TEMECULA-MENIFEE URBANIZED AREA - EM
RIV	5310RS	RIVERSIDE-SAN BERNARDINO URBANIZED AREA - EM
RIV	5311 PR	FTA 5311 NON UZA - PRIOR OBL
RIV	5337RS	RIVERSIDE-SAN BERNARDINO URBANIZED AREA
RIV	5337H	HEMET URBANIZED AREA - BFG
RIV	5339IC	INDIO-CATHEDRAL CITY URBANIZED AREA - BFG
RIV	5339LA	LOS ANGELES -LONG BEACH-ANAHEIM URBANIZED AREA - BFG
RIV	5339MT	MURRIETA-TEMECULA-MENIFEE URBANIZED AREA - BFG
RIV	5339RS	RIVERSIDE-SAN BERNARDINO URBANIZED AREA - BFG
RIV	ADCONST	LOCAL - ADVANCED CONSTRUCTION
RIV	CMAQ-AC	CMAQ-ADVANCE CONSTRUCTION
RIV	DEMOACE	DEMO - SAFETEA LU ACE
RIV	DS-NH-G	GARVEE DEBT SERVICE PAYMENT
RIV	ERVTUMF	EASTERN RIV TUMF
RIV	GRV-NH	NATIONAL HIGHWAY SYSTEM (GARVEE)
RIV	GRV-STP	SURFACE TRANS PROG - GARVEE
RIV	IM-SHOP	INTERSTATE MAINTENANC-SHOPP
RIV	LBSRA	LOCAL BRIDGE SEISMIC RETROFIT ACCOUNT
RIV	NH-GIIP	NAT'L HWY - GRANDFATHER IIP
RIV	NH-GRIP	NAT'L HWY-GRANDFATHER RIP
RIV	PTA-IIP	PUBLIC TRANSIT ACCT - IIP
RIV	PTA-RIP	PUBLIC TRANSIT ACCOUNT - RIP
RIV	SC3090	STATE CASH (AB 3090)
RIV	SEC115	SECTION 115
RIV	STCASHP	STATE CASH - PRIOR STIP
RIV	STP-GI	STP-GRANDFATHER IIP
RIV	STP-GR	STP-GRANDFATHER RIP
RIV	STPIIP3	SURFACE TRANS PROG-IIP AB 3090
RIV	STPRIP3	SURFACE TRANS PROG-RIP AB3090
RIV	WRVTUMF	WESTERN RIV TUMF-
RIV	XRIV	RIV CO SALES TAX

SBD	5307LA	LOS ANGELES/LONG BEACH/SANTA ANA URBANIZED AREA
SBD	5307RS	RIVERSIDE/SAN BERNARDINO URBANIZED AREA
SBD	5307VH	VICTORVILLE-HESPERIA URBANIZED AREA - FP
SBD	5310LA	LOS ANGELES -LONG BEACH-ANAHEIM URBANIZED AREA - EM
SBD	5310RS	RIVERSIDE-SAN BERNARDINO URBANIZED AREA - EM
SBD	5310VH	VICTORVILLE-HESPERIA URBANIZED AREA - EM
SBD	5337LA	LOS ANGELES -LONG BEACH-ANAHEIM URBANIZED AREA - SGR
SBD	5337RS	RIVERSIDE-SAN BERNARDINO URBANIZED AREA
SBD	5339LA	LOS ANGELES -LONG BEACH-ANAHEIM URBANIZED AREA - BFG
SBD	5339RS	RIVERSIDE-SAN BERNARDINO URBANIZED AREA - BFG
SBD	5339VH	VICTORVILLE-HESPERIA URBANIZED AREA
SBD	CMAQ-AC	CMAQ-ADVANCE CONSTRUCTION
SBD	DBR	BRIDGE DISCRETIONARY - REPLACEMENT/REHABILITATION
SBD	FEMA	FEMA
SBD	IM-SHOP	INTERSTATE MAINTENANC-SHOPP
SBD	LBSRA	LOCAL BRIDGE SEISMIC RETROFIT ACCOUNT
SBD	OES	OFFICE OF EMERGENCY SERVICES
SBD	PNRSAC	ADV CONSTR. PROJECTS OF NAT'L AND REG'L SIGNIFICANCE
SBD	PTA-IIP	PUBLIC TRANSIT ACCT - IIP
SBD	PTA-RIP	PUBLIC TRANSIT ACCOUNT - RIP
SBD	SC3090	STATE CASH (AB 3090)
SBD	SEC112	SECTION 112
SBD	SEC115	SECTION 115
SBD	SEC117	SECTION 117
SBD	SEC330	SECTION 330
SBD	STCASHP	STATE CASH - PRIOR STIP
SBD	STPE-PR	STP ENHANCE-PRIOR RIP TEA
SBD	XSBD	SBD CO MEASURE I
VAR	2011FDG	2011 FED DISC GRANTS
VEN	5307CAM	CAMARILLO URBANIZED AREA
VEN	5307OX	OXNARD URBANIZED AREA
VEN	5307SV	SIMI VALLEY URBANIZED AREA
VEN	5307TO	THOUSAND OAKS URBANIZED AREA
VEN	5310CAM	CAMARILLO URBANIZED AREA - EM
VEN	5310OX	OXNARD URBANIZED AREA - EM
VEN	5310SV	SIMI VALLEY URBANIZED AREA - EM
VEN	5310TO	THOUSAND OAKS URBANIZED AREA - EM

VEN	5337CAM	CAMARILLO URBANIZED AREA - SGR
VEN	5337OX	OXNARD URBANIZED AREA - SGR
VEN	5337SV	SIMI VALLEY URBANIZED AREA - SGR
VEN	5337TO	THOUSAND OAKS URBANIZED AREA - SGR
VEN	5339CAM	CAMARILLO URBANIZED AREA - BFG
VEN	5339OX	OXNARD URBANIZED AREA - BFG
VEN	5339SV	SIMI VALLEY URBANIZED AREA - BFG
VEN	5339TO	THOUSAND OAKS URBANIZED AREA - BFG
VEN	FBP	FERRY BOAT FORMULA PROGRAM
VEN	PTA-RIP	PUBLIC TRANSIT ACCOUNT - RIP
VEN	SC3090	STATE CASH (AB 3090)
VEN	SEC115	SECTION 115
VEN	STCASHP	STATE CASH - PRIOR STIP
VEN	STPE-P	STP-ENHANCEMENT PRIOR STIP
VEN	STPE-S	STP ENHANCE-SHOPP TEA

VI. Financial Plan

VI. FINANCIAL PLAN

A. Financial Plan Required Documentation

The Moving Ahead for Progress in the 21st Century Act (MAP-21) regulations require that for the FTIP, “financial constraint shall be demonstrated and maintained by year and shall include sufficient financial information to demonstrate which projects are to be implemented using current and/or reasonably available revenues, while federally supported facilities are being adequately operated and maintained.” The CTCs must also certify that projects that are under their programming responsibility (STP, CMAQ, FTA, etc.) are in priority order as required by federal law. Unless otherwise specified, this means all projects in the first year for each specific program are first priority for funding, projects in the second year are second priority, projects in the third year are third priority, and those in year four have fourth priority.

MAP-21 is the controlling document for financial constraint regulations for the 2017 FTIP and 2017 FTIP amendments and administrative modifications.

In air quality non-attainment or maintenance areas, projects included in the first two years of the FTIP shall be limited to those for which funds are “available or committed.” Available or committed revenue sources are those sources currently being used for transportation investments. These could include any federal, state, and local revenues, or other revenue streams (i.e. farebox advertising, tolls, etc.) Also, project priority must be given to the implementation of Transportation Control Measures (TCMs).

For STIP projects, the assumption of this guidance is that projects currently in the first four years of the SCAG FTIP which are in the approved STIP will be constructed unless the applicable county takes a formal action to remove them from the program. It is necessary for the county to “prove” funding is available for projects in the first four years of the STIP, and that projects remain a high priority for the County.

Additionally, 23 CFR Part 450.324 states that all TIP financial plans must base their revenue and cost estimates on year of expenditure dollars. The Code of Federal Regulations states that, “revenue and cost estimates for the TIP must use an inflation rate(s) to reflect “year of expenditure dollars,” based on reasonable financial principles and information, developed cooperatively by the MPO, State(s), and public transportation operator(s).” Thus, whenever CTCs are programming projects in the FTIP, it must be based on year of expenditure dollars.

The CTCs must each submit a financial plan that documents all financial resources from public (federal, state, and local) and private sources that will fund projects in their respective County TIPs along with the financial resolution certification presented on page 30 of these Guidelines. The financial plan must demonstrate that funding in the first two years of the County TIPs are available or committed, and that funding in years three through six are reasonably available. Programmed amounts by year should not exceed amounts listed in the revenue tables provided below for each funding source.

The CTCs must also demonstrate they have the local funding capacity to cover costs of matching federal and state funds as required.

The Financial Plans due with each County TIP shall provide all information necessary for SCAG to create a region-wide Financial Plan for the 2017 SCAG FTIP. The Financial Plan is comprised of the following items (all due to SCAG with County TIPs):

1. **General Statement of Compliance:** A statement indicating compliance with requirements explained in chapter VI section A. (previous page). This statement can be provided as part of the cover letter and/ or the certifying Resolution. It should include a discussion of special circumstances such as potential impacts and any innovative financing techniques to finance needed projects and programs, including value capture, tolls, and congestion pricing.

2. **Resolution from Policy Board:** A financial resolution adopted by the policy board is required as part of the Financial Plan. The Resolution is the certification from the counties to SCAG that projects and funding listed in County TIPs in the first two years are available and committed, and reasonably available in years three to six. A sample resolution is provided on page 30 of these Guidelines.

3. **Revenue and Expenditure Worksheets:** Funding agencies require that the FTIP and amendments to the FTIP include a worksheet of revenues and programmed amounts by fund source for the first four years. The following page shows a portion of the table to be completed by the CTCs in the SCAG FTIP Database for the required Caltrans' worksheet. For 2017 FTIP Amendments, the CTCs should include a brief explanation in the Comments cell if there is **any** change in the revenues and send the appropriate documentation to SCAG to back up the explanation for the revenue change. Any over-programming should have a justification with backup documentation sent to SCAG electronically. Fund sources in the following tables are subject to change. FHWA/Caltrans is working on a revised Revenue and Expenditure Worksheet. It will be transmitted upon availability.

4. **Revenue Cover Memo (as necessary):** A cover memo explaining the rationale and assumptions for the revenue fund sources. Some, but not all, of the fund sources that need an explanation for the derivation of revenues include local sales tax revenues, Transportation Development Act funds, and FTA 5307 funds (specifically carry over funds). Additionally, the cover memo also needs to explain what programming activities are anticipated to take place in the fiscal years 2016-2017 and 2017-2018. An example of programming activities includes a call for projects or formula distributions of certain fund sources within the county.

5. **Financial Plan (New Process):** The financial plan is now entered on the SCAG FTIP Database. Counties can have a different set of previous and current amendments to enter financial plan data and run financial plan reports.

- A Financial Plan screen displays a table of columns of the first four fiscal years of the current source year.
- These are further divided by revenue, programmed, and revenue versus programmed columns, and further divided into "current" and "previous" columns.
- Only the revenue (current) column in each fiscal year is editable. The programmed column contains data from the programmed section of the TIP database, as entered in the edit project details screen.
- The rows of the table are grouped by fund category (fund source), a fund sub-category, a sub-category 2, a sub-category 3, a financial item, and the fund type and amount for that fund. The fund amounts roll up into subtotals in each of the higher groups.

- A federal total category combines two federal categories, and a grand total appears at the bottom.
- This same structure is used for reports separated into revenue, programmed, revenue versus Programmed (available with or without comment displayed) and summary reports for each of these three areas. Additional “other” category reports are also available.

Financial Plan Screen

To launch the financial plan screen, click on to the Financial Plan tab in the main top navigation bar.

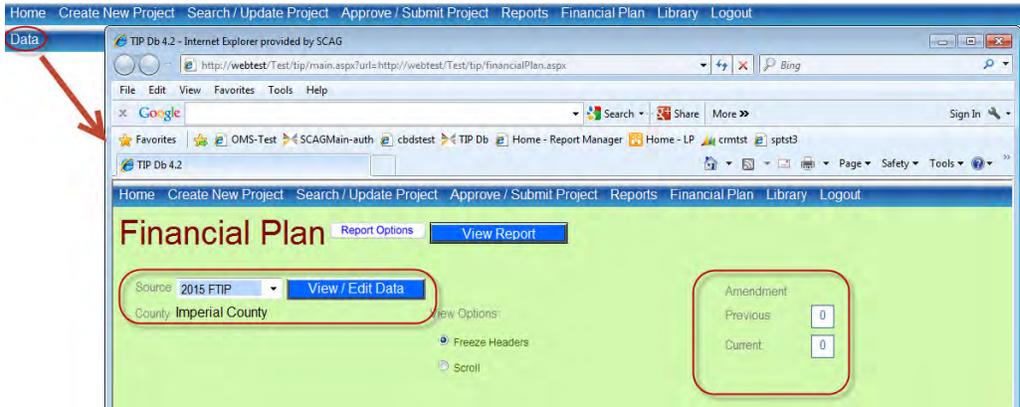


This will expand the financial plan tab to data sub tab as below. The Data tab contains the financial plan details for the previous and current amendment.



Financial Plan Data

Click on Data sub tab under financial plan main tab, to view actual financial plan and reports. Also, it displays current and previous amendments.



Source and County are dropdown fields available at all times to users for making selections. To view reports, click Reports options. This is further elaborated under the Financial Plan Reports section of these guidelines.

Click the **View/ Edit Data** button to expand the financial plan fund grid. The financial plan table will appear as shown in the screen shot on the following page.

Financial Plan Report Options View Report

Source: 2015 FTIP View / Edit Data Save Submit

County: Imperial County View Options: Freeze Headers (selected) Scroll

Amendment: Previous: 0 Current: 0

		2014/2015						2015/2016					
		Revenue		Programmed		Revenue vs Programmed		Revenue		Programmed		Revenue vs Programmed	
Fund Lock Fund		Previous (0)	Current (0)	Previous (0)	Current (0)	Previous (0)	Current (0)	Previous (0)	Current (0)	Previous (0)	Current (0)	Previous (0)	Current (0)
5	Local Total	10	10	7,694	7,694	-7,684	-7,684	6,139	6,139	-6,139	-6,139		
6	Sales Tax	10	10	4,007	4,007	-3,997	-3,997	4,105	4,105	-4,105	-4,105		
7	City												
8	CITY												
9	CITY FUNDS												

Revenue current, for all the source years, is the only column available for CTCs to add/ edit/ save; all the other columns are locked for CTCs.

Add/ Edit/ update/ Delete/ Save financial plan data, to perform any of the operations on the financial plan data, user needs to expand financial plan grid using View / Edit data button. Choose the required source year and county and click View / Edit data.

- CTCs can choose the Source year and this will display the previous and current amendments.
- CTCs can view/ edit the financial plan for the selected amendments only, revenue column is the only column available for CTCs to update.

Financial Plan Report Options View Report

Source: 2015 FTIP View / Edit Data Save Submit

County: Imperial County View Options: Freeze Headers (selected) Scroll

Amendment: Previous: 0 Current: 0

		2014/2015						2015/2016					
		Revenue		Programmed		Revenue vs Programmed		Revenue		Programmed		Revenue vs Programmed	
Fund Lock Fund		Previous (0)	Current (0)	Previous (0)	Current (0)	Previous (0)	Current (0)	Previous (0)	Current (0)	Previous (0)	Current (0)	Previous (0)	Current (0)
5	Local Total	10	10	7,694	7,694	-7,684	-7,684	6,139	6,139	-6,139	-6,139		
6	Sales Tax	10	10	4,007	4,007	-3,997	-3,997	4,105	4,105	-4,105	-4,105		
7	City												
8	CITY												
9	CITY FUNDS												
10	MEASURE R												
11	MR02 MEASURE R 02 - METRO RAIL												

- After making changes to the financial plan click save button to save.
- There is a comment field associated with each row (fund type). If current revenue exceeds previous revenue, comments are required explaining the change. If there are no comments entered for the respective fund type, the user will receive an error message, as shown on the following page.

The screenshot shows the 'Financial Plan' interface. At the top, there are navigation links: Home, Create New Project, Search/Update Project, Approve/Submit Project, Reports, Financial Plan, Library, Logout. Below this, there are buttons for 'Report Options' and 'View Report'. The 'Source' is set to '2013 FTIP' and 'County' is 'Riverside County'. There are 'View / Edit Data', 'Save', and 'Submit' buttons. A red arrow points to the 'Save' button. A yellow warning banner reads: 'Warning: Highlighted Rows(10) Require Comments when Current Revenue <=> Previous Revenue'. Below the warning is a table with columns for Fund Lock, Fund, and Revenue vs Programmed for 2012/2013. Row 10 is highlighted in yellow and has a red circle around it.

		2012/2013							
Amendments 17 vs 18		Revenue		Programmed		Revenue vs Programmed		Revenue	
Fund Lock	Fund	Previous (17)	Current (18)	Previous (17)	Current (18)	Previous (17)	Current (18)	Previous (17)	Current (18)
Local Total			60	1,469,276	1,447,651	-1,469,276	-1,447,591		
Sales Tax			60	257,899	243,274	-257,899	-243,214		
City				112,747	98,122	-112,747	-98,122		
CITY	CITY FUNDS			112,747	98,122	-112,747	-98,122		
County			60	95,002	95,002	-95,002	-94,942		
MEA_R	MEASURE R		60						60
MR02	MEASURE R 02 - METRO RAIL TRANSIT CAPITAL								
MR03	MEASURE R 03 - METROLINK CAPITAL								
MR05	MEASURE R 05 - RAIL OPERATIONS								

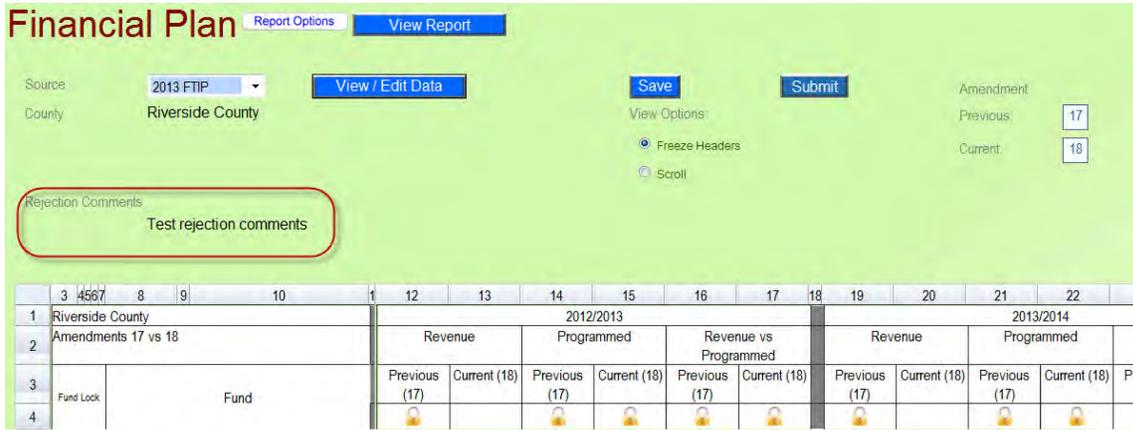
- Once the financial plan is completed it can be submitted to SCAG for further approvals, by clicking Approve button.
- Once the financial plan is submitted to SCAG, it gets locked as below. Save and submit buttons are no longer available and revenue current gets locked.

The screenshot shows the 'Financial Plan' interface with the 'Save' and 'Submit' buttons disabled. The 'View Options' section shows 'Freeze Headers' selected and 'Scroll' unselected. The 'Amendment' section shows 'Previous' set to 17 and 'Current' set to 18. The table below shows the financial plan grid for 2012/2013 and 2013/2014. The 'Current' columns for 2013/2014 are locked, indicated by padlock icons.

		2012/2013						2013/2014						
Amendments 17 vs 18		Revenue		Programmed		Revenue vs Programmed		Revenue		Programmed		Revenue vs Programmed		Previ (17)
Fund Lock	Fund	Previous (17)	Current (18)	Previous (17)	Current (18)	Previous (17)	Current (18)	Previous (17)	Current (18)	Previous (17)	Current (18)	Previous (17)	Current (18)	Previ (17)
Local Total		60	1,469,276	1,447,651	-1,469,276	-1,447,591			566,302	486,045	-566,302	-486,045		
Sales Tax		60	257,899	243,274	-257,899	-243,214			279,668	239,576	-279,668	-239,576		
City				112,747	98,122	-112,747	-98,122			192,237	152,145	-192,237	-152,145	
CITY	CITY FUNDS			112,747	98,122	-112,747	-98,122			192,237	152,145	-192,237	-152,145	
County		60	95,002	95,002	-95,002	-94,942			38,619	38,619	-38,619	-38,619		
MEA_R	MEASURE R		60				60							
MR02	MEASURE R 02 - METRO RAIL TRANSIT CAPITAL													
MR03	MEASURE R 03 - METROLINK CAPITAL													

- If submitted financial plan is approved by SCAG, all the financial plan grid stays locked for CTCs.

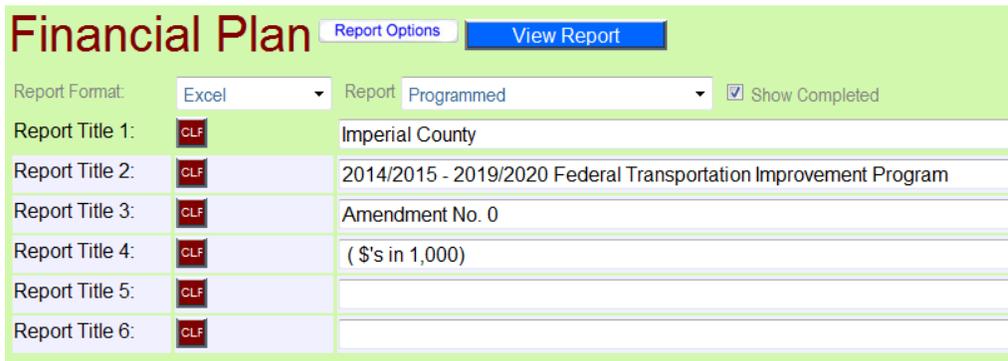
- If the financial plan is rejected by SCAG, rejection comments appear on the CTC’s screen until the changes are made and submitted again.
- Once re-submitted, the fund grid will be unlocked for CTCs and they can make the changes to the financial plan.



Rejection comments disappear once financial plan is updated and resubmitted.

Financial Plan Reports

To view the financial plan reports, click on Reports Option, this will expand selection for report type, titles and format along with View Report.



Choose the report type, report format and click View Report to generate the report. There are six title fields to be displayed in the header of the report; three titles have editable default values. Report Menu has different types of reports: revenue, programmed and revenue vs. programmed.

Portion of the spreadsheet completed by the CTCs from the SCAG FTIP Database

The screenshot shows a web browser window displaying a spreadsheet application. The browser address bar shows a URL starting with 'http://webprod2'. The application has a menu bar with options: Home, Create New Project, Search / Update Project, Approve / Submit Project, Reports, Financial Plan, Admin, Library, and Logout. The spreadsheet content includes a header row for 'Imperial County Amendments 5 vs 6' with columns for 'Revenue', 'Programmed', 'Revenue vs Programmed', and 'Revenue'. Below this, there are columns for 'Previous (5)' and 'Current (6)' for each of these categories. A list of measures is shown on the left side, including 'CITY FUNDS', 'MEASURE R', and various 'MEASURE R' entries (e.g., R 02 - METRO RAIL TRANSIT CAPITAL, R 03 - METROLINK CAPITAL, R 05 - RAIL OPERATIONS, R 15 - LOCAL RETURN, R 20B - BUS OPERATIONS, R 20H - HIGHWAY CAPITAL, R 35 - RAIL BUS RAPID TRANSIT CAPITAL, and several 'ORANGE M' measures like ORANGE M - TURNBACK, ORANGE M - FREEWAY, ORANGE M - GMA, ORANGE M - IP, ORANGE M - MPAH, ORANGE M - REG I/C, ORANGE M - SIGNALS, ORANGE M - SMARTST, ORANGE M - TDM, ORANGE M - TRANSIT, ORANGE M2 - FREEWAY, and ORANGE CO MEASURE M2 - REGIONAL CAPACITY). The spreadsheet grid shows data for the 2014/2015 period, with most cells appearing to be empty or containing zero values.

The required Caltrans' Revenue and Expenditure Worksheets

TABLE 1: REVENUE

Model County
2016/17-2019/20 Federal Transportation Improvement Program
(\$'s in 1,000)

		4 YEAR (FSIP Cycle)						
		2016/17	2017/18	2018/19	2019/20	TOTAL		
LOCAL	Sales Tax	\$0	\$0	\$0	\$0	\$0	\$0	
	- City						\$0	
	- County	\$0	\$0	\$0	\$0	\$0	\$0	
	Gas Tax	\$0	\$0	\$0	\$0	\$0	\$0	
	- Gas Tax (Subventions to Cities)						\$0	
	- Gas Tax (Subventions to Counties)						\$0	
	Other Local Funds	\$0	\$0	\$0	\$0	\$0	\$0	
	- County General Funds	\$0	\$0	\$0	\$0	\$0	\$0	
	- City General Funds	\$0	\$0	\$0	\$0	\$0	\$0	
	- Street Taxes and Developer Fees	\$0	\$0	\$0	\$0	\$0	\$0	
	- RSTP Exchange funds						\$0	
	Transit	\$0	\$0	\$0	\$0	\$0	\$0	
- Transit Fares	\$0	\$0	\$0	\$0	\$0	\$0		
Tolls (e.g. non-state owned bridges)						\$0		
Other (See Appendix 1)	\$0	\$0	\$0	\$0	\$0	\$0		
Local Total	\$0	\$0	\$0	\$0	\$0	\$0		
REGIONAL	Tolls	\$0	\$0	\$0	\$0	\$0	\$0	
	- Bridge						\$0	
	- Corridor						\$0	
	Regional Transit Fares/Measures						\$0	
	Regional Sales Tax						\$0	
	Regional Bond Revenue						\$0	
	Regional Gas Tax						\$0	
	Vehicle Registration Fees (CARB Fees, SAFE)						\$0	
	Other (See Appendix 2)	\$0	\$0	\$0	\$0	\$0	\$0	
	Regional Total	\$0	\$0	\$0	\$0	\$0	\$0	
STATE	State Highway Operations and Protection Program	\$0	\$0	\$0	\$0	\$0	\$0	
	SHOPP	\$0	\$0	\$0	\$0	\$0	\$0	
	SHOPP Prior	\$0	\$0	\$0	\$0	\$0	\$0	
	State Minor Program						\$0	
	State Transportation Improvement Program	\$0	\$0	\$0	\$0	\$0	\$0	
	STIP	\$0	\$0	\$0	\$0	\$0	\$0	
	STIP Prior	\$0	\$0	\$0	\$0	\$0	\$0	
	Transportation Enhancement Prior	\$0	\$0	\$0	\$0	\$0	\$0	
	Proposition 1 A	\$0	\$0	\$0	\$0	\$0	\$0	
	Proposition 1 B	\$0	\$0	\$0	\$0	\$0	\$0	
	GARVEE Bonds (Includes Debt Service Payments)	\$0	\$0	\$0	\$0	\$0	\$0	
	Highway Maintenance (HM)	\$0	\$0	\$0	\$0	\$0	\$0	
	Traffic Congestion Relief Program (TCRP)	\$0	\$0	\$0	\$0	\$0	\$0	
	State Transit Assistance (STA)(e.g., population/revenue based, Prop 42)	\$0	\$0	\$0	\$0	\$0	\$0	
	Active Transportation Program	\$0	\$0	\$0	\$0	\$0	\$0	
Other (See Appendix 3)	\$0	\$0	\$0	\$0	\$0	\$0		
State Total	\$0	\$0	\$0	\$0	\$0	\$0		
FEDERAL TRANSIT	5307 - Urbanized Area Formula Program	\$0	\$0	\$0	\$0	\$0	\$0	
	5308 - Clean Fuel Formula Program	\$0	\$0	\$0	\$0	\$0	\$0	
	5309 - Fixed Guideway Capital Investment Grants	\$0	\$0	\$0	\$0	\$0	\$0	
	5309b - New and Small Starts (Capital Investment Grants)	\$0	\$0	\$0	\$0	\$0	\$0	
	5309c - Bus and Bus Related Grants	\$0	\$0	\$0	\$0	\$0	\$0	
	5310 - Mobility of Seniors and Individuals with Disabilities	\$0	\$0	\$0	\$0	\$0	\$0	
	5311 - Formula Grants for Rural Areas	\$0	\$0	\$0	\$0	\$0	\$0	
	5311f - Intercity Bus	\$0	\$0	\$0	\$0	\$0	\$0	
	5316 - Job Access and Reverse Commute Program	\$0	\$0	\$0	\$0	\$0	\$0	
	5317 - New Freedom	\$0	\$0	\$0	\$0	\$0	\$0	
	5320 - Transit in the Parks	\$0	\$0	\$0	\$0	\$0	\$0	
	5324 - Emergency Relief Program	\$0	\$0	\$0	\$0	\$0	\$0	
	5329 - Public Transportation Safety Program	\$0	\$0	\$0	\$0	\$0	\$0	
	5337 - State of Good Repair Grants	\$0	\$0	\$0	\$0	\$0	\$0	
	5339 - Bus and Bus Facilities Formula Grants	\$0	\$0	\$0	\$0	\$0	\$0	
	FTA Transfer from Prior FTIP						\$0	
	Other (See Appendix 4)	\$0	\$0	\$0	\$0	\$0	\$0	
	Federal Transit Total	\$0	\$0	\$0	\$0	\$0	\$0	
	FEDERAL HIGHWAY	Congestion Mitigation and Air Quality (CMAQ)	\$0	\$0	\$0	\$0	\$0	\$0
		Construction of Ferry Boats and Ferry Terminal Facilities	\$0	\$0	\$0	\$0	\$0	\$0
		Coordinated Border Infrastructure	\$0	\$0	\$0	\$0	\$0	\$0
		Corridor Infrastructure Improvement Program	\$0	\$0	\$0	\$0	\$0	\$0
Federal Lands Access Program		\$0	\$0	\$0	\$0	\$0	\$0	
Federal Lands Transportation Program		\$0	\$0	\$0	\$0	\$0	\$0	
High Priority Projects (HPP) and Demo		\$0	\$0	\$0	\$0	\$0	\$0	
Highway Bridge Program (HBP)		\$0	\$0	\$0	\$0	\$0	\$0	
Highway Safety Improvement Program (HSIP)		\$0	\$0	\$0	\$0	\$0	\$0	
Projects of National/Regional Significance		\$0	\$0	\$0	\$0	\$0	\$0	
Public Lands Highway		\$0	\$0	\$0	\$0	\$0	\$0	
Railway Highway Crossings		\$0	\$0	\$0	\$0	\$0	\$0	
Recreational Trails		\$0	\$0	\$0	\$0	\$0	\$0	
Surface Transportation Program (RSTP)		\$0	\$0	\$0	\$0	\$0	\$0	
Tribal High Priority Projects (THPP)		\$0	\$0	\$0	\$0	\$0	\$0	
Tribal Transportation Program		\$0	\$0	\$0	\$0	\$0	\$0	
Other (See Appendix 5)		\$0	\$0	\$0	\$0	\$0	\$0	
Federal Highway Total		\$0	\$0	\$0	\$0	\$0	\$0	
Other Federal Railroad Administration (see Appendix 6)	\$0	\$0	\$0	\$0	\$0	\$0		
Federal Railroad Administration Total	\$0	\$0	\$0	\$0	\$0	\$0		
Federal Total	\$0	\$0	\$0	\$0	\$0	\$0		
INNOVATIVE FINANCING	TIFIA (Transportation Infrastructure Finance and Innovation Act)						\$0	
	Other (See Appendix 7)	\$0	\$0	\$0	\$0	\$0	\$0	
Innovative Financing Total	\$0	\$0	\$0	\$0	\$0	\$0		
REVENUE TOTAL	\$0	\$0	\$0	\$0	\$0	\$0		

MPO Financial Summary Notes:

TABLE 2: PROGRAMMED

**Model County
2016/17-2019/20 Federal Transportation Improvement Program
(\$'s in 1,000)**

	4 YEAR (FSIP Cycle)				
	2016/17	2017/18	2018/19	2019/20	TOTAL
LOCAL					
Local Total	\$0	\$0	\$0	\$0	\$0
REGIONAL					
Tolls	\$0	\$0	\$0	\$0	\$0
-- Bridge					\$0
-- Corridor					\$0
Regional Transit Fares/Measures					\$0
Regional Sales Tax					\$0
Regional Bond Revenue					\$0
Regional Gas Tax					\$0
Vehicle Registration Fees (CARB Fees, SAFE)					\$0
Other (See Appendix A)	\$0	\$0	\$0	\$0	\$0
Regional Total	\$0	\$0	\$0	\$0	\$0
STATE					
State Highway Operations and Protection Program	\$0	\$0	\$0	\$0	\$0
SHOPP	\$0	\$0	\$0	\$0	\$0
SHOPP Prior	\$0	\$0	\$0	\$0	\$0
State Minor Program					\$0
State Transportation Improvement Program	\$0	\$0	\$0	\$0	\$0
STIP	\$0	\$0	\$0	\$0	\$0
STIP Prior	\$0	\$0	\$0	\$0	\$0
Transportation Enhancement Prior	\$0	\$0	\$0	\$0	\$0
Proposition 1 A	\$0	\$0	\$0	\$0	\$0
Proposition 1 B	\$0	\$0	\$0	\$0	\$0
GARVEE Bonds (Includes Debt Service Payments)	\$0	\$0	\$0	\$0	\$0
Highway Maintenance (HM)	\$0	\$0	\$0	\$0	\$0
Traffic Congestion Relief Program (TCRP)	\$0	\$0	\$0	\$0	\$0
State Transit Assistance (STA)(e.g., population/revenue based, Prop 42)	\$0	\$0	\$0	\$0	\$0
Active Transportation Program	\$0	\$0	\$0	\$0	\$0
Other (See Appendix B)	\$0	\$0	\$0	\$0	\$0
State Total	\$0	\$0	\$0	\$0	\$0
FEDERAL TRANSIT					
5307 - Urbanized Area Formula Program	\$0	\$0	\$0	\$0	\$0
5308 - Clean Fuel Formula Program	\$0	\$0	\$0	\$0	\$0
5309 - Fixed Guideway Capital Investment Grants	\$0	\$0	\$0	\$0	\$0
5309b - New and Small Starts (Capital Investment Grants)	\$0	\$0	\$0	\$0	\$0
5309c - Bus and Bus Related Grants	\$0	\$0	\$0	\$0	\$0
5310 - Mobility of Seniors and Individuals with Disabilities	\$0	\$0	\$0	\$0	\$0
5311 - Formula Grants for Rural Areas	\$0	\$0	\$0	\$0	\$0
5311f - Intercity Bus	\$0	\$0	\$0	\$0	\$0
5316 - Job Access and Reverse Commute Program	\$0	\$0	\$0	\$0	\$0
5317 - New Freedom	\$0	\$0	\$0	\$0	\$0
5320 - Transit in the Parks	\$0	\$0	\$0	\$0	\$0
5324 - Emergency Relief Program	\$0	\$0	\$0	\$0	\$0
5329 - Public Transportation Safety Program	\$0	\$0	\$0	\$0	\$0
5337 - State of Good Repair Grants	\$0	\$0	\$0	\$0	\$0
5339 - Bus and Bus Facilities Formula Grants	\$0	\$0	\$0	\$0	\$0
FTA Transfer from Prior FTIP					\$0
Other (See Appendix C)	\$0	\$0	\$0	\$0	\$0
Federal Transit Total	\$0	\$0	\$0	\$0	\$0
FEDERAL HIGHWAY					
Congestion Mitigation and Air Quality (CMAQ)	\$0	\$0	\$0	\$0	\$0
Construction of Ferry Boats and Ferry Terminal Facilities	\$0	\$0	\$0	\$0	\$0
Coordinated Border Infrastructure	\$0	\$0	\$0	\$0	\$0
Corridor Infrastructure Improvement Program	\$0	\$0	\$0	\$0	\$0
Federal Lands Access Program	\$0	\$0	\$0	\$0	\$0
Federal Lands Transportation Program	\$0	\$0	\$0	\$0	\$0
High Priority Projects (HPP) and Demo	\$0	\$0	\$0	\$0	\$0
Highway Bridge Program (HBP)	\$0	\$0	\$0	\$0	\$0
Highway Safety Improvement Program (HSIP)	\$0	\$0	\$0	\$0	\$0
Projects of National/Regional Significance	\$0	\$0	\$0	\$0	\$0
Public Lands Highway	\$0	\$0	\$0	\$0	\$0
Railway Highway Crossings	\$0	\$0	\$0	\$0	\$0
Recreational Trails	\$0	\$0	\$0	\$0	\$0
Surface Transportation Program (RSTP)	\$0	\$0	\$0	\$0	\$0
Tribal High Priority Projects (THPP)	\$0	\$0	\$0	\$0	\$0
Tribal Transportation Program	\$0	\$0	\$0	\$0	\$0
Other (see Appendix D)	\$0	\$0	\$0	\$0	\$0
Federal Highway Total	\$0	\$0	\$0	\$0	\$0
INNOVATIVE FINANCE					
Other Federal Railroad Administration (see Appendix E)	\$0	\$0	\$0	\$0	\$0
Federal Railroad Administration Total	\$0	\$0	\$0	\$0	\$0
Federal Total	\$0	\$0	\$0	\$0	\$0
TFIA (Transportation Infrastructure Finance and Innovation Act)					\$0
Other (See Appendix F)	\$0	\$0	\$0	\$0	\$0
Innovative Financing Total	\$0	\$0	\$0	\$0	\$0
PROGRAMMED TOTAL	\$0	\$0	\$0	\$0	\$0

MPO Financial Summary Notes:

TABLE 3: REVENUE-PROGRAMMED

Model County
2016/17-2019/20 Federal Transportation Improvement Program
 (\$'s in 1,000)

		4 YEAR (FSIP Cycle)				
		2016/17	2017/18	2018/19	2019/20	TOTAL
LOCAL	Local Total	\$0	\$0	\$0	\$0	\$0
	REGIONAL					
	Tolls	\$0	\$0	\$0	\$0	\$0
	-- Bridge	\$0	\$0	\$0	\$0	\$0
	-- Corridor	\$0	\$0	\$0	\$0	\$0
	Regional Transit Fares/Measures	\$0	\$0	\$0	\$0	\$0
	Regional Sales Tax	\$0	\$0	\$0	\$0	\$0
	Regional Bond Revenue	\$0	\$0	\$0	\$0	\$0
	Regional Gas Tax	\$0	\$0	\$0	\$0	\$0
	Vehicle Registration Fees (CARB Fees, SAFE)	\$0	\$0	\$0	\$0	\$0
	Other	\$0	\$0	\$0	\$0	\$0
	Regional Total	\$0	\$0	\$0	\$0	\$0
STATE	State Highway Operations and Protection Program	\$0	\$0	\$0	\$0	\$0
	SHOPP	\$0	\$0	\$0	\$0	\$0
	SHOPP Prior	\$0	\$0	\$0	\$0	\$0
	State Minor Program	\$0	\$0	\$0	\$0	\$0
	State Transportation Improvement Program	\$0	\$0	\$0	\$0	\$0
	STIP (Including Augmentation)	\$0	\$0	\$0	\$0	\$0
	STIP Prior	\$0	\$0	\$0	\$0	\$0
	Transportation Enhancement Prior	\$0	\$0	\$0	\$0	\$0
	Proposition 1 A	\$0	\$0	\$0	\$0	\$0
	Proposition 1 B	\$0	\$0	\$0	\$0	\$0
	GARVEE Bonds (Includes Debt Service Payments)	\$0	\$0	\$0	\$0	\$0
	Highway Maintenance (HM)	\$0	\$0	\$0	\$0	\$0
	Traffic Congestion Relief Program (TCRP)	\$0	\$0	\$0	\$0	\$0
	State Transit Assistance (STA)(e.g., population/revenue based, Prop 42)	\$0	\$0	\$0	\$0	\$0
	Active Transportation Program	\$0	\$0	\$0	\$0	\$0
		Other	\$0	\$0	\$0	\$0
	State Total	\$0	\$0	\$0	\$0	\$0
FEDERAL TRANSIT	5307 - Urbanized Area Formula Program	\$0	\$0	\$0	\$0	\$0
	5308 - Clean Fuel Formula Program	\$0	\$0	\$0	\$0	\$0
	5309 - Fixed Guideway Capital Investment Grants	\$0	\$0	\$0	\$0	\$0
	5309b - New and Small Starts (Capital Investment Grants)	\$0	\$0	\$0	\$0	\$0
	5309c - Bus and Bus Related Grants	\$0	\$0	\$0	\$0	\$0
	5310 - Mobility of Seniors and Individuals with Disabilities	\$0	\$0	\$0	\$0	\$0
	5311 - Formula Grants for Rural Areas	\$0	\$0	\$0	\$0	\$0
	5311f - Intercity Bus	\$0	\$0	\$0	\$0	\$0
	5316 - Job Access and Reverse Commute Program	\$0	\$0	\$0	\$0	\$0
	5317 - New Freedom	\$0	\$0	\$0	\$0	\$0
	5320 - Transit in the Parks	\$0	\$0	\$0	\$0	\$0
	5324 - Emergency Relief Program	\$0	\$0	\$0	\$0	\$0
	5329 - Public Transportation Safety Program	\$0	\$0	\$0	\$0	\$0
	5337 - State of Good Repair Grants	\$0	\$0	\$0	\$0	\$0
	5339 - Bus and Bus Facilities Formula Grants	\$0	\$0	\$0	\$0	\$0
	FTA Transfer from Prior FTIP	\$0	\$0	\$0	\$0	\$0
	Other	\$0	\$0	\$0	\$0	\$0
	Federal Transit Total	\$0	\$0	\$0	\$0	\$0
FEDERAL HIGHWAY	Congestion Mitigation and Air Quality (CMAQ)	\$0	\$0	\$0	\$0	\$0
	Construction of Ferry Boats and Ferry Terminal Facilities	\$0	\$0	\$0	\$0	\$0
	Coordinated Border Infrastructure	\$0	\$0	\$0	\$0	\$0
	Corridor Infrastructure Improvement Program	\$0	\$0	\$0	\$0	\$0
	Federal Lands Access Program	\$0	\$0	\$0	\$0	\$0
	Federal Lands Transportation Program	\$0	\$0	\$0	\$0	\$0
	High Priority Projects (HPP) and Demo	\$0	\$0	\$0	\$0	\$0
	Highway Bridge Program (HBP)	\$0	\$0	\$0	\$0	\$0
	Highway Safety Improvement Program (HSIP)	\$0	\$0	\$0	\$0	\$0
	Projects of National/Regional Significance	\$0	\$0	\$0	\$0	\$0
	Public Lands Highway	\$0	\$0	\$0	\$0	\$0
	Railway Highway Crossings	\$0	\$0	\$0	\$0	\$0
	Recreational Trails	\$0	\$0	\$0	\$0	\$0
	Surface Transportation Program (RSTP)	\$0	\$0	\$0	\$0	\$0
	Tribal High Priority Projects (THPP)	\$0	\$0	\$0	\$0	\$0
	Tribal Transportation Program	\$0	\$0	\$0	\$0	\$0
	Other	\$0	\$0	\$0	\$0	\$0
	Federal Highway Total	\$0	\$0	\$0	\$0	\$0
	Other Federal Railroad Administration	\$0	\$0	\$0	\$0	\$0
	Federal Railroad Administration Total	\$0	\$0	\$0	\$0	\$0
	Federal Total	\$0	\$0	\$0	\$0	\$0
INNOVATIVE FINANCE	TFIA (Transportation Infrastructure Finance and Innovation Act)	\$0	\$0	\$0	\$0	\$0
	Other	\$0	\$0	\$0	\$0	\$0
	Innovative Financing Total	\$0	\$0	\$0	\$0	\$0
REVENUE - PROGRAM TOTAL		\$0	\$0	\$0	\$0	\$0

6. **Consideration for Innovative Financing:** CTCs are encouraged to submit any considerations/recommendations as may be applicable, for the use of innovative financing techniques to finance needed projects and programs, including value capture, tolls, and congestion pricing.

B. Capital and Operating Revenue & Expense Budgets for Major Bus and Rail Operators:

The County Transportation Commissions **must** submit revenue and expense budgets for the first four years of County TIPs for major rail and bus operators (including the Southern California Regional Rail Authority) as part of the Financial Plan for the 2017 FTIP package.

Information should be submitted for the following transit operators:

- **ICTC:** None
- **LACMTA:** AVTA, MTA, Access, Foothill Transit, Gardena Transit, LADOT, Long Beach Transit, Montebello Transit, Norwalk Transit, Santa Clarita Transit, Santa Monica Transit, and Torrance Transit.
- **OCTA:** OCTA
- **RCTC:** Sunline, RTA
- **SANBAG:** Omnitrans, MARTA & Victor Valley Transit
- **VCTC:** Simi Valley Transit, Gold Coast Transit & VCTC
- **SCRRA:** Metrolink

A sample revenue and expense table for transit operators is provided on the next page. Projected funding for the Federal Transit Administration Formula Funds should be consistent with the revenue estimates on page 144 of these Guidelines. If a revenue and expense budget reflects a shortfall, the county should inform SCAG staff prior to their formal county TIP submittal. In addition, the county TIP is to include documentation explicitly outlining steps that will be taken to address the financial shortfall.

Revenues

Revenue (List Funds)	FIRST 4-YEARS				Total Revenue (1 st 4-yrs)	Comments
	FY16/17	FY17/18	FY18/19	FY19/20		
Revenue Total						

Expenditures

Expenditures (List Types)	FIRST 4-YEARS				Total Expenditures (1 st 4-yrs)	Comments
	FY16/17	FY17/18	FY18/19	FY19/20		
Operating						
Capital						
Expenditures Total						

C. SCAG Financial Plan Forecast/Revenue Estimates

Programming levels for each year should be consistent with the estimates provided in this chapter. Any deviation from these estimates should be documented and provided with the financial plan.

CMAQ and RSTP estimated apportionments for the first four years of the 2017 FTIP (16/17, 17/18, 18/19, 19/20) are based on Caltrans' estimates. (see tables on page 143 of these Guidelines)

Revenue estimates for all funding sources are available in the tables provided on the following pages. The estimates come from the SCAG Financial Plan forecast for the proposed 2016-2040 RTP/SCS for years 2017-2022. The figures should be utilized by the counties as the basis for the projected revenue in the Financial Plans. Please note, however, that further adjustments will be made to the forecast in order to reflect more current budget conditions, the draft SCAG Financial Plan forecast for the 2016-2040 RTP/SCS, the 2016 STIP Fund Estimate assumptions, as well as MAP-21 regulations. SCAG's RTP staff will work with the counties to refine the revenue projections as information becomes available.

If a County Transportation Commission does not concur with the SCAG forecasts, the county may submit the methodology the County Transportation Commission used and work with the appropriate SCAG staff to resolve any critical differences. Once both agencies come to an agreement, they will need to submit the methodology as part of the Financial Plan documentation.

SCAG has incorporated many assumptions made by each County Transportation Commission in developing the estimates, and utilized several sources to provide a basis for the revenue including documents provided by Transit agencies, historical revenue data collected and reported by local and state agencies, growth forecasts and adopted publications from the California Transportation Commission. For STIP funding projections, please refer to the 2016 STIP Fund Estimate. A \$0 listed in the tables below does not mean that the county is accepting or expecting zero funding for that funding category, but rather is only an estimate based on program balances, adopted programs and information provided by the counties. SCAG's estimates do not include locally bonded funds. Each county must include all bonding funds in their financial plan documentation.

Note: Totals in the tables on the following four pages may not add-up due to rounding.

SCAG FINANCIAL FORECAST
(\$Million, Inflated)

Transportation Development Act (TDA)							
	2017	2018	2019	2020	2021	2022	Total
Imperial	\$6.95	\$7.29	\$7.64	\$8.02	\$8.41	\$8.82	\$47.13
Los Angeles	\$457.57	\$483.41	\$510.66	\$538.50	\$568.69	\$600.65	\$3,159.48
Orange	\$150.82	\$157.06	\$163.49	\$170.12	\$176.57	\$183.42	\$1,001.47
Riverside	\$79.22	\$82.78	\$86.51	\$90.40	\$94.47	\$98.72	\$532.10
San Bernardino	\$88.31	\$92.96	\$97.85	\$103.01	\$108.43	\$114.14	\$604.69
Ventura	\$36.27	\$38.18	\$40.20	\$42.32	\$44.55	\$46.90	\$248.41
Total	\$819.12	\$861.68	\$906.35	\$952.36	\$1,001.12	\$1,052.66	\$5,593.28

Local Sales Tax							
	2017	2018	2019	2020	2021	2022	Total
Imperial	\$15.24	\$15.99	\$16.78	\$17.60	\$18.46	\$19.37	\$103.44
Los Angeles	\$2,745.79	\$2,900.90	\$3,064.42	\$3,231.46	\$3,412.64	\$3,604.42	\$18,959.62
Orange	\$303.74	\$318.88	\$334.79	\$352.20	\$369.82	\$387.61	\$2,067.03
Riverside	\$139.01	\$146.66	\$154.72	\$163.23	\$172.05	\$181.34	\$957.00
San Bernardino	\$163.62	\$175.33	\$183.13	\$186.80	\$185.00	\$194.36	\$1,088.24
Ventura	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Total	\$3,367.40	\$3,557.76	\$3,753.83	\$3,951.29	\$4,157.96	\$4,387.10	\$23,175.33

Farebox							
	2017	2018	2019	2020	2021	2022	Total
Imperial	\$0.86	\$0.91	\$0.96	\$1.02	\$1.08	\$1.14	\$5.97
Los Angeles	\$666.61	\$682.47	\$731.48	\$756.61	\$795.65	\$811.77	\$4,444.60
Orange	\$92.54	\$98.10	\$102.19	\$106.45	\$112.23	\$118.09	\$629.59
Riverside	\$23.49	\$24.71	\$25.99	\$27.33	\$28.75	\$30.25	\$160.52
San Bernardino	\$29.30	\$30.84	\$32.45	\$34.15	\$35.94	\$37.83	\$200.51
Ventura	\$10.76	\$11.30	\$11.86	\$12.45	\$13.07	\$13.72	\$73.16
Total	\$823.57	\$848.32	\$904.93	\$938.01	\$986.72	\$1,012.79	\$5,514.36

Local Agency							
	2017	2018	2019	2020	2021	2022	Total
Imperial	\$0.18	\$0.18	\$0.19	\$0.19	\$0.20	\$0.21	\$1.15
Los Angeles	\$769.78	\$613.31	\$187.00	\$741.85	\$739.95	\$489.11	\$3,540.99
Orange	\$222.98	\$230.55	\$238.37	\$246.41	\$254.72	\$263.31	\$1,456.33
Riverside	\$29.00	\$29.84	\$30.71	\$31.60	\$32.52	\$33.46	\$187.14
San Bernardino	\$11.26	\$11.58	\$11.92	\$12.26	\$12.62	\$12.98	\$72.62
Ventura	\$1.22	\$1.26	\$1.30	\$1.33	\$1.37	\$1.41	\$7.90
Total	\$1,034.42	\$886.73	\$469.48	\$1,033.65	\$1,041.38	\$800.48	\$5,266.14

Other Federal (Highway Bridge Program, etc.)							
	2017	2018	2019	2020	2021	2022	Total
Imperial	\$1.23	\$1.26	\$1.28	\$1.31	\$1.33	\$1.35	\$7.76
Los Angeles	\$17.05	\$17.42	\$17.80	\$18.18	\$18.56	\$18.96	\$107.97
Orange	\$5.25	\$5.42	\$5.60	\$5.78	\$5.97	\$6.17	\$34.19
Riverside	\$16.16	\$16.46	\$16.77	\$17.08	\$17.40	\$17.73	\$101.61
San Bernardino	\$11.68	\$11.89	\$12.12	\$12.34	\$12.57	\$12.81	\$73.41
Ventura	\$1.56	\$1.59	\$1.62	\$1.65	\$1.68	\$1.71	\$9.79
Total	\$52.93	\$54.04	\$55.18	\$56.34	\$57.52	\$58.73	\$334.74

STA							
	2017	2018	2019	2020	2021	2022	Total
Imperial	\$0.95	\$0.96	\$0.97	\$0.98	\$0.99	\$1.00	\$5.85
Los Angeles	\$110.68	\$111.94	\$113.22	\$114.53	\$115.86	\$117.22	\$683.45
Orange	\$20.89	\$21.14	\$21.40	\$21.66	\$21.93	\$22.20	\$129.22
Riverside	\$13.37	\$13.51	\$13.65	\$13.79	\$13.94	\$14.09	\$82.35
San Bernardino	\$12.97	\$13.12	\$13.26	\$13.41	\$13.56	\$13.71	\$80.03
Ventura	\$4.76	\$4.81	\$4.87	\$4.92	\$4.98	\$5.03	\$29.37
Total	\$163.62	\$165.48	\$167.37	\$169.29	\$171.26	\$173.25	\$1,010.27

SHOPP							
	2017	2018	2019	2020	2021	2022	Total
Imperial	\$19.04	\$18.85	\$18.66	\$18.47	\$18.29	\$18.10	\$111.41
Los Angeles	\$424.70	\$420.46	\$416.25	\$412.09	\$407.97	\$403.89	\$2,485.36
Orange	\$97.11	\$96.13	\$95.17	\$94.22	\$93.28	\$92.35	\$568.26
Riverside	\$86.44	\$85.57	\$84.72	\$83.87	\$83.03	\$82.20	\$505.84
San Bernardino	\$205.64	\$203.58	\$201.54	\$199.53	\$197.53	\$195.56	\$1203.38
Ventura	\$23.73	\$23.49	\$23.25	\$23.02	\$22.79	\$22.56	\$138.84
Total	\$856.65	\$848.08	\$839.60	\$831.20	\$822.89	\$814.66	\$5,013.09

CMAQ (revised estimates 11/04/13)**							
	2017	2018	2019	2020	2021	2022	Total
Imperial	\$1.47	\$1.47	\$	\$	\$	\$	\$2.94
Los Angeles	\$138.53	\$138.53	\$	\$	\$	\$	\$277.06
Orange	\$42.60	\$42.60	\$	\$	\$	\$	\$85.19
Riverside *	\$30.53	\$30.53	\$	\$	\$	\$	\$61.06
San Bernardino	\$28.29	\$28.29	\$	\$	\$	\$	\$56.57
Ventura	\$8.32	\$8.32	\$	\$	\$	\$	\$16.64
Total	\$249.74	\$249.74	\$	\$	\$	\$	\$499.47

* Note: amounts for Riverside include Morongo and Pechanga tribal areas.

RSTP (revised estimates 11/04/13)**							
	2017	2018	2019	2020	2021	2022	Total
Imperial	\$2.27	\$2.27	\$	\$	\$	\$	\$4.53
Los Angeles	\$116.74	\$116.74	\$	\$	\$	\$	\$233.48
Orange	\$35.80	\$35.80	\$	\$	\$	\$	\$71.60
Riverside	\$26.26	\$26.26	\$	\$	\$	\$	\$52.53
San Bernardino	\$24.69	\$24.69	\$	\$	\$	\$	\$49.38
Ventura	\$9.89	\$9.89	\$	\$	\$	\$	\$19.77
Total	\$215.65	\$215.65	\$	\$	\$	\$	\$431.29

**Estimates from 2017-2020 for CMAQ and RSTP expected to come from Caltrans in fall 2015

FTA Formula							
	2017	2018	2019	2020	2021	2022	Total
Imperial	\$1.05	\$1.07	\$1.09	\$1.11	\$1.13	\$1.15	\$6.58
Los Angeles	\$342.57	\$348.98	\$355.51	\$362.16	\$368.94	\$375.84	\$2,154.00
Orange	\$79.39	\$80.88	\$82.39	\$83.93	\$85.50	\$87.10	\$499.19
Riverside	\$30.55	\$31.13	\$31.71	\$32.30	\$32.91	\$33.52	\$192.12
San Bernardino	\$31.03	\$31.61	\$32.20	\$32.80	\$33.42	\$34.04	\$195.10
Ventura	\$18.72	\$19.07	\$19.43	\$19.79	\$20.16	\$20.54	\$117.69
Total	\$503.31	\$512.73	\$522.32	\$532.09	\$542.05	\$552.19	\$3,164.68

Note: These figures are subject to change due to MAP-21 regulations.

FTA Discretionary							
	2017	2018	2019	2020	2021	2022	Total
Imperial	\$2.04	\$2.08	\$2.12	\$2.16	\$2.20	\$2.24	\$12.82
Los Angeles	\$143.03	\$145.71	\$148.44	\$151.21	\$154.04	\$156.92	\$899.36
Orange	\$10.94	\$11.14	\$11.35	\$11.56	\$11.78	\$12.00	\$68.76
Riverside	\$16.08	\$16.38	\$16.68	\$16.99	\$17.31	\$17.64	\$101.08
San Bernardino	\$19.96	\$20.33	\$20.71	\$21.10	\$21.49	\$21.89	\$125.47
Ventura	\$3.28	\$3.34	\$3.40	\$3.47	\$3.53	\$3.60	\$20.61
Total	\$195.32	\$198.97	\$202.69	\$206.49	\$210.35	\$214.29	\$1,228.10

Note: These figures are subject to change due to MAP-21 regulations.

Highway Safety, Traffic, Air Quality, and Port Fund (Proposition 1B)							
	2017	2018	2019	2020	2021	2022	Total
Imperial	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Los Angeles	\$103.55	\$113.33	\$0.76	\$0.00	\$0.00	\$0.00	\$217.64
Orange	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Riverside	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
San Bernardino	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Ventura	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Total	\$103.55	\$113.33	\$0.76	\$0.00	\$0.00	\$0.00	\$217.64

THIS PAGE INTENTIONALLY LEFT BLANK.

VII. Amendments and Administrative Modifications

VII. Amendments and Administrative Modifications

Due to the rapidly changing nature of transportation projects within the SCAG region, FTIP Amendments and FTIP Administrative Modifications will be scheduled on a monthly basis alternatively. An amendment/administrative modification schedule will be distributed prior to federal approval of the 2017 FTIP (expected to be in December 2016). CTCs are expected to adhere to the deadlines specified in the FTIP Amendments and FTIP Administrative Modifications Schedule and provide all of the necessary documents required in an FTIP Amendment/Administrative Modification submittal (see pages 149-150 of this chapter for a description of the documents required for an FTIP Amendment/Administrative Modification submittal). If there are any questions or concerns related to project qualification, contact your respective FTIP Analyst to resolve any issues prior to submittal.

The following section discusses how projects may qualify for an administrative modification. If a project does not qualify for an administrative modification based on the section below, the project may be changed in the 2017 FTIP through an FTIP Amendment (subject to modeling and timely implementation requirements being met).

FSTIP/FTIP Administrative Modifications and Amendments Procedures

The following procedures are applicable for processing amendments and administrative modifications to the Federal-Statewide Transportation Improvement Program (FSTIP) and the Federal Transportation Improvement Programs (FTIPs).

Projects programmed in the FSTIP may be delivered in any of the recognized program years of the FSTIP provided Expedited Project Selection Procedures (EPSPs) have been adopted by the MPOs in accordance with 23 CFR Part 450, and the required interagency consultation or coordination is accomplished and documented. Changing the obligation year of a project using EPSP does not require an administrative modification or an amendment if the change does not require an air quality conformity determination.

1. Administrative Modifications:

An administrative modification is a minor change to the FSTIP/FTIP that does not require a conformity determination, a demonstration of fiscal constraint, public review and comment, or federal approval. The following changes to the *FSTIP/FTIP* can be processed through administrative modifications:

- i. Revise description of a project or a grouped project listing without changing the project scope or without conflicting with the approved environmental document.

- ii. Revise the funding amount listed for a project or a project phase. Additional funding is limited to the lesser of 40 percent of the total project cost or \$10 million. Programming capacity must be available in the FSTIP/FTIP prior to programming the modification and must be stated in the supporting documentation. See table below for examples;
(*Note: Updated FTIP financial plans may be requested by Caltrans to validate fiscal constraint, if a MPO has processed only Administrative Modifications for a period of six months or more.*)

Initial Project Cost	New Project Cost	Total Sum Increase	% Change In Cost	% Change < or = 40%	Total Sum Increased Is < or = \$10M	Type of Amendment (Formal or Administrative)
\$1,000,000	\$1,400,000	\$400,000	40%	Yes	Yes	Administrative
\$10,000,000	\$15,000,000	\$5,000,000	50%	No	Yes	Formal
\$500,000,000	\$510,000,000	\$10,000,000	2%	Yes	Yes	Administrative
\$100,000	\$140,000	\$40,000	40%	Yes	Yes	Administrative
\$400,000	\$1,000,000	\$600,000	150%	No	Yes	Formal
\$2,500,000	\$3,000,000	\$500,000	20%	Yes	Yes	Administrative

- iii. Program Preliminary Engineering (PE) phase, provided the Right of Way and/or Construction phase(s) are already programmed in the current FSTIP/FTIP and additional funding amounts stay within the limits specified in Section ii.
(*Note: Activities done prior to Federal Authorization are not eligible for Federal participation.*)
- iv. A cost decrease has no cap as long as reduction in cost does not result in deletion of a project or a phase, and the affected project phase is still fully funded.
- v. Change source of funds.
- vi. Change a project lead agency.
- vii. Program Federal funds for Advance Construction conversion. Programming capacity must be available in the FSTIP/FTIP prior to programming the conversion.
- viii. Change the program year of funds within the current FSTIP/FTIP provided MPO has adopted EPSP in accordance with 23 CFR Part 450.
- ix. Split or combine an individually listed project or projects, provided that the schedule and scope remain unchanged.
- x. Change grouped project listings description as long as it is consistent with the Programming Grouped Project Listings in Air Quality Non-Attainment or Maintenance Areas guidance. (See pg. 71 – 72 of these guidelines for details)
- xi. Add or delete a project or projects from a grouped project listing, provided the funding amount stays within the limits specified in Section ii.
- xii. Program emergency repair projects on the state highways as a result of a natural disaster or catastrophic failure from an external cause, and that are not covered by the Emergency Relief Program, provided that these projects are exempt from Air Quality Conformity Requirements.
- xiii. Re-program a project for which FHWA funds were transferred to FTA in the prior FSTIP/FTIP and FTA has not approved the grant yet. The project can be

- programmed in the current FSTIP/FTIP via an administrative modification provided there is no change in the original scope or cost. Program the project using fund type "FTA 5307 (FHWA Transfer Funds)" in the FSTIP/FTIP.
- xiv. Program an FTA funded project from the prior FSTIP/FTIP into the current FSTIP/FTIP provided there is no change in the original scope or cost. Use the project description field (or "CTIPS MPO Comments" section) to list the year, amount, and type of the prior year funds.
 - xv. Make minor changes to an FTA funded grouped project listing. Minor changes include changing the number of transit vehicles purchased by 20% or less and changing the fuel type of transit vehicles. The MPO must take the change through its interagency consultation procedures to confirm that the change in scope is minor.

2. Amendments:

Amendments are all other modifications to the FSTIP/FTIP that are not included under administrative modifications and shall be approved in accord with the provisions of 23 CFR Part 450.326 for each metropolitan area in the State, and in accord with the provisions of 23 CFR Part 450.216 for the non-metropolitan area.

3. Procedures:

a. Administrative Modifications:

MPOs with approval delegation from Caltrans (including SCAG)

Caltrans may delegate to an MPO's Board the authority to approve administrative modifications. In such a case, no Caltrans approval of administrative modifications is required. If the MPO Board has delegated the authority to the Executive Director to approve administrative modifications, the MPO must provide copies of the delegation to Caltrans, FHWA, and FTA. The MPO must send copies of the approved administrative modification to Caltrans, FHWA, and FTA. Once approved by the MPO, the administrative modification will be deemed part of the FSTIP. The MPO will demonstrate in a subsequent amendment that the net financial change from each administrative modification has been accounted for. Caltrans will conduct periodic reviews of MPO's administrative modification process to confirm adherence to these procedures. Noncompliance with these procedures will result in revocation of that MPO's delegation.

MPOs without approval delegation from Caltrans

Each MPO's administrative modification will be forwarded to Caltrans Division of Transportation Programming for approval. If the MPO Board has delegated the authority to the Executive Director to sign off on administrative modifications, the MPO must provide copies of the delegation to Caltrans, FHWA, and FTA. The MPO must send copies of the administrative modification to Caltrans, FHWA, and FTA. In addition, the MPO must demonstrate in a subsequent amendment that the net financial change from

each administrative modification has been accounted for. Once approved by Caltrans, the administrative modification will be deemed part of the FSTIP since no Federal action is required. Caltrans will notify FHWA and FTA of the approved administrative modification.

(Note: If it is found that an approved administrative modification does not meet the criteria of an administrative modification, FHWA and FTA reserves the right to reject that administrative modification and require a formal amendment.)

b. Amendments:

Amendments to the FSTIP must be developed in accordance with the provisions of 23 CFR Part 450, and approved by FHWA and/or FTA in accordance with 23 CFR Part 450 and the July 15, 2004 MOU between FHWA-California Division and FTA Region 9. Each amendment must be forwarded to Caltrans Division of Transportation Programming for approval on behalf of the Governor. To expedite processing, the MPO will also forward a copy of the submitted amendment to FHWA and FTA at the same time the amendment is sent to Caltrans. Once approved by Caltrans, the amendment will be forwarded to FHWA and/or FTA for federal approval. Once approved by FHWA and/or FTA, the amendment will be deemed part of the FSTIP. The FHWA and/or FTA approval letter and respective Conformity Determination will be addressed to Caltrans, with copies sent to the MPO.

4. Consultation:

If a question arises regarding the interpretation of what constitutes an administrative modification or an amendment, Caltrans, the MPO, FHWA and/or FTA will consult with each other to resolve the question. If after consultation the parties disagree, the final decision rests with FTA, for transit projects, and FHWA, for highway projects.

Any exception to these procedures is allowed only through consultation among MPOs, Caltrans, and FHWA/FTA. FTA, for transit projects, and FHWA, for highway Projects, will have the final decision whether or not such an exception is granted.

5. Submittals to SCAG

There are various items that are due to SCAG when submitting County TIPs and FTIP amendments.

A. What is required for the submittal of an Amendment or Administrative Modification:

- i. Signed Cover letter with the following language:
 - Certifies financial constraint
 - Certifies implementation of TCMs
 - Certifies categorically exempt projects
 - Certifies projects, as amended or modified, are consistent with the approved RTP/SCS
 - Pertinent Information
 - Summary of changes
- ii. Narrative should be an explanation for each project and should include the following:
 - Project sponsor
 - FTIP Project ID
 - Product description
 - Route and Post Miles (State Projects only)
 - Reason for Change for any changes to funding/fund source: why did it change; why did the project cost increase or decrease; is the project still fully funded; does it have California Transportation Commission approval; were additional funds obtained; was there a schedule delay, a delay in getting approvals, materials, and/or funding sources; are new projects or programming, etc. being added and if so why and how much?

2017 FEDERAL TRANSPORTATION IMPROVEMENT PROGRAM COUNTY TRANSPORTATION COMMISSION Amendment # Month Year (in \$000's)				CTC
Agency	Project ID	Title/Description	Changes Requested	Amendment Reason
LOCAL HIGHWAYS SYSTEM				
2017 FEDERAL TRANSPORTATION IMPROVEMENT PROGRAM COUNTY TRANSPORTATION COMMISSION Amendment # Month Year (in \$000's)				CTC
Agency	Project ID	Title/Description	Changes Requested	Amendment Reason
State Highways System				
2017 FEDERAL TRANSPORTATION IMPROVEMENT PROGRAM COUNTY TRANSPORTATION COMMISSION Amendment # Month Year (in \$000's)				CTC
Agency	Project ID	Title/Description	Changes Requested	Amendment Reason
Transit System				

- iii. Financial Plan which demonstrates how each County TIP can be implemented in a fiscally constrained manner consistent with the RTP/SCS.
 - Under federal requirements, the FTIP shall include a financial plan that demonstrates how the approved TIP can be implemented (23 CFR Part 450.324(h)). As the basis for finding the SCAG region has the capacity to fund the FTIP, a financial plan is required when submitting 2017 County TIPs, administrative modifications and amendments. A description of the requirements for developing the Financial Plan is provided on page 128 of these Guidelines.
 - No funds should be over programmed (i.e., no red numbers)
 - Briefly explain any changes to the revenues
 - CMAQ and RSTP revenues do not change
- iv. Back up documentation (i.e.: SHOPP, Fed earmarks, documentation of California Transportation Commission approval, Grouped Project Listing, Caltrans project listing, etc.) is needed for any changes to the following types of projects:
 - Projects with funding that is approved by California Transportation Commission
 - SHOPP and HBRR projects
 - Projects approved in a Caltrans call for project
- v. Grouped Project Listings

CTCs are responsible for listing all projects and amounts associated with grouped projects. Detailed back-up listings of grouped projects are due with the County TIP submittals and amendments. Back-up lists are required by Caltrans and FHWA/FTA for approval of the grouped projects in the FTIP and amendments. The project lists and associated cost should match the amounts programmed for the grouped projects. Additional information on projects that can be grouped and submitted as grouped project lists can be found starting on page 70 of these Guidelines.

 - Grouped Projects must be exempt
 - All programming years, fund sources, and grand totals should match what has been programmed
- vi. Uploads to SCAG database – 2 counties: Los Angeles and Orange Counties

6. SCAG STAFF REVIEW OF FTIP AMENDMENTS AND ADMINISTRATIVE MODIFICATIONS

Below is a summary of the process used by SCAG to analyze FTIP amendments and administrative modifications

- Quick review of amendment submittals to ensure that all components are transmitted by the county transportation commissions
- Confirm that the County Financial Plan bottom line is balanced
- County amendment comparison reports are prepared
- FTIP staff analyzes each field that changed in the proposed amendment and checks back-up documentation if applicable
- Staff analyzes the changes to determine what impacts the changes may have on the:
 1. Regional Emissions Analysis
 2. Timely Implementation of Transportation Control Measures
 3. Conformity Determination
- Staff checks for a clear reason for cost increases
- Staff analyzes new projects for a clear project scope and determines if project is:
 1. Exempt from a regional emissions analysis; or,
 2. Project is consistent with the existing conformity determination
 3. Eligible for proposed funding
- Staff analyzes proposed deleted projects to ensure that there is no impact to:
 1. Regional Emissions Analysis
 2. Timely Implementation of Transportation Control Measures
 3. Conformity Determination
- For changes or the addition of new projects, staff determines that the proposed state (STIP, SHOPP, HBP) and/or federal funds are approved by the respective agency
- Staff performs analysis of County Financial Plan Summary
- Staff ensure that the county's narrative is consistent with the proposed changes in the TIP database
- FTIP staff coordinates with conformity staff for any projects relying on the existing conformity determination
- FTIP staff coordinates with conformity staff for TCM approval
- Common Problems with conformity determination:
 1. Adding a phase such as ROW or CON in a non-exempt, capacity enhancement project does require a conformity determination
 2. Deleting a phase such as ROW or CON within a non-exempt project does not require a conformity determination.
 3. If a project is programmed beyond the quadrennial and has been modeled it is considered informational and does not require a conformity determination.

Products posted on the SCAG website (<http://www.scag.ca.gov/ftip/index.htm>) for public review of formal amendments include:

- County amendment comparison reports
- Conformity determination
- Conformity determination project listing

- SCAG Regional Financial Summary
- Public Notice for 10 day public review

After approval by SCAG, amendments are forwarded to Caltrans for review and approval. After Caltrans approval, amendments are forwarded to FHWA and FTA for review and approval.

Note: As of now, Administrative Modifications do not require formal posting for public comment/review.

7. Public Participation Requirements

The following is a summary of the different types of amendments identified by SCAG and FHWA for the FTIP and the public participation requirements for each amendment type.

Category 1. Administrative Modification

An administrative modification as defined under MAP 21, includes minor changes to project cost, schedule, scope, or funding sources. Please see the Procedures for Federal Statewide Transportation Program (FSTIP) Administrative Modifications in Section 1 of this chapter for a complete definition of administrative modifications.

Category 2. Formal Amendment – Changes that do not impact the existing conformity determination.

This category of formal amendments may include project cost changes that are greater than 40 percent of the total project cost or \$10 million, whichever is higher. This amendment may also include adding or deleting projects that are exempt from regional emission analyses.

Category 3. Formal Amendment – Relying on the existing Conformity Determination. This amendment may include adding a project or a project phase to the program. This amendment category consists of projects that are modeled and are included in the regional emissions analysis.

Category 4. Formal Amendment – New Conformity Determination.

This amendment may include adding or deleting projects that are not currently included in the regional emissions analysis nor part of the existing conformity determination. This amendment may involve adding or deleting projects that must be modeled for their air quality impacts: significantly changing the design concept, scope; or schedule of an existing project.

SCAG in consultation, coordination and collaboration with its stakeholders, partners, and interested parties have agreed that the above amendments will be circulated as prescribed in the table on the following page:

Public Hearing - Public Review & Comment Period Requirement

Amendment Category	Public Hearing Requirement	Public Review Period # of Days
Category 1. Administrative Modification	n/a	n/a
Category 2. Formal - Changes that do not impact the existing conformity determination	No	10
Category 3. Formal - Relying on existing conformity determination	No	10
Category 4. Formal – Requires a new conformity determination	Yes	30

8. FTIP Administrative Modification and Amendment Schedule

SCAG will continue to process amendments that do not jeopardize the region's conformity. Similar to the 2015 FTIP cycle there will be a monthly 2017 FTIP update alternating between administrative modifications and amendments. The updated schedule will be available in the spring of 2016.

THIS PAGE INTENTIONALLY LEFT BLANK.

THIS PAGE INTENTIONALLY LEFT BLANK.

DRAFT 2017 FEDERAL TRANSPORTATION IMPROVEMENT PROGRAM GUIDELINES

MAIN OFFICE

818 West 7th Street, 12th Floor
Los Angeles, CA 90017
Phone: (213) 236-1800
Fax: (213) 236-1825

IMPERIAL COUNTY REGIONAL OFFICE

1405 North Imperial Avenue, Suite 1
El Centro, CA 92243
Phone: (760) 353-7800
Fax: (760) 353-1877

ORANGE COUNTY REGIONAL OFFICE

OCTA Building
600 South Main Street, 9th Floor
Orange, CA 92868
Phone: (714) 542-3687
Fax: (714) 560-5089

RIVERSIDE COUNTY REGIONAL OFFICE

3403 10th Street, Suite 805
Riverside, CA 92501
Phone: (951) 784-1513
Fax: (951) 784-3925

SAN BERNARDINO COUNTY REGIONAL OFFICE

Santa Fe Depot
1170 West 3rd Street, Suite 140
San Bernardino, CA 92418
Phone: (909) 806-3556
Fax: (909) 806-3572

VENTURA COUNTY REGIONAL OFFICE

950 County Square Drive, Suite 101
Ventura, CA 93003
Phone: (805) 642-2800
Fax: (805) 642-2260