SOUTHERN CALIFORNIA

ASSOCIATION of GOVERNMENTS

FINAL GUIDELINES

FEDERAL TRANSPORTATION IMPROVEMENT PROGRAM

2013

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2013 **F**EDERAL **T**RANSPORTATION **I**MPROVEMENT **P**ROGRAM (**FTIP**)

Guidelines

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Policy & Requirements

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I. POLICY AND REQUIREMENTS

A. Introduction

These Guidelines have been prepared to facilitate the work of the county transportation commissions (Imperial, Los Angeles, Orange, Riverside, San Bernardino and Ventura Counties) (CTCs), transit operators, and Caltrans in the development of "county TIPs" for inclusion in the Southern California Association of Governments (SCAG) 2013 Federal Transportation Improvement Program (FTIP). These Guidelines assist in the development of the county TIPs that fulfill the legal, administrative, and technical requirements prescribed by law and which minimizes duplicate efforts by the CTCs, Caltrans, SCAG, and/or other agencies.

The FTIP serves as the Federal document that implements programs and policies set forth in the Regional Transportation Plan (RTP). As such, SCAG will work with the CTCs to develop their county TIPs consistent with the goals and policies set forth within the Regional Transportation Plan/Sustainable Communities Strategy (RTP/SCS) to develop a regionally comprehensive network that meets the needs of the region.

As these Guidelines are being written, language in these Guidelines is subject to change due to several uncertainties regarding the development of the 2013 FTIP. First, it is unknown when the federal transportation bill will be approved or what its contents will entail. Second SCAG's 2012 Regional Transportation Plan remains under development. Once approved, the 2012 RTP along with its newly required element, the Sustainable Communities Strategy (SCS) may require additional modifications to these Guidelines. Although SCAG is still developing its final Sustainable Communities Strategy at the time of issuance of these Guidelines, SCAG has provided a clear directive via the RTP/SCS regarding the direction that the region needs to take in order to achieve its SB 375 targets.

These Guidelines are consistent with SAFETEA-LU and the Metropolitan Transportation Programming final rule: 23 CFR Part 450 and 500, and 49 CFR Part 613.

B. General Overview of FTIP Process

SCAG is required under both federal and state law to develop an FTIP (23 U.S.C. §134 (h) and 49 U.S.C. § 5303(H); Cal. Government Code §14527, 65082 and 130301 et seq.). The FTIP is the short-range program that implements the long-range Regional Transportation Plan (RTP) to accomplish improvements in mobility and air quality. SCAG is the federally-designated Metropolitan Planning Organization (MPO) and as the state-designated transportation planning agency and multi-county designated transportation planning agency for the six-county Southern California region. SCAG develops the FTIP in cooperation with the State (Caltrans), the CTCs, and public transit operators. Federal and state rules and regulations require that the FTIP be:

- Updated at least every four years, adopted by SCAG, and then sent to the Governor for approval. SCAG will continue to update 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 the SCAG long-range RTP as the FTIP implements the projects and programs in the RTP.
- Compatible with the State Transportation Improvement Program (STIP) development and approval process (see page 7 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 §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 2013 FTIP must pass the five federal conformity tests, including timely implementation of TCMs, regional emissions analysis, fiscal constraints, interagency consultation, and consistency with the RTP.

- Consistent with financial constraint regulations (23 CFR §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 § 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 (including Section 5309, earmarks, and demonstration funds) are not considered available or committed until they are awarded by the USDOT (discretionary funds) or authorized by Congress (such as High Priority projects). 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 § 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 2013 FTIP is provided on page 23. A flow chart of the FTIP Development Process is provided on page 22.

C. FTIP Period

The FTIP must cover a period of not less than four years but may cover a longer period. The SCAG 2013 FTIP covers a six-year period, from October 1, 2012 (FFY12/13) to September 30, 2018 (FFY17/18). Projects listed in the last two years of the FTIP (FFY16/17 & FFY17/18) 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.

The FTIP is required to follow federal legislation and guidelines. Currently, the FTIP follows SAFETEA-LU, which was signed into law by the President on August 10, 2005 and it expired on September 30, 2009, and provided federal transportation funding through FFY 2009. It is expected that the federal government will enact another transportation funding program. This will be through an extension of SAFETEA-LU or the passage of a new transportation authorization act. At the time of this writing, SAFETEA-LU is currently extended through March 31, 2012.

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 2012 STIP Program will cover the five-year period from July 1, 2012 (FY12/13) to June 30, 2017 (FY16/17), and falls entirely within the SCAG 2013 FTIP six-year period.

D. Policy Guidelines

- The FTIP is the primary means of implementing the RTP.
- To ensure consistency with the RTP, staff will compare FTIP projects with the first 5 and 10-year implementation schedules of the RTP for timeliness and modeling consistency.
- In accordance with the Adopted RTP Policy #1, transportation investments shall be based on SCAG's adopted Regional Performance Indicators.
- 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.
- In accordance with SAFETEA-LU, all regionally significant capacity enhancing projects and transportation control measures must be adequately described in the County TIP to determine project consistency with the most recently adopted RTP. The FTIP projects must show consistency with the project's design concept, and timely implementation as reflected in the adopted RTP.

- 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.

- 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 Long Range Plan (LRP) shall compliment land use strategies wherever possible.

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, "{t}he 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 (k).

F. SB375 (Steinberg) Process

SB 375 is California state law that became effective January 1, 2009. This new law requires California's Air Resources Board (CARB) to develop regional reduction targets for greenhouse gas emissions (GHG), and prompts the creation of regional plans to reduce emissions from vehicle use throughout the state. California's 18 Metropolitan Planning Organizations (MPOs) have been tasked with creating "Sustainable Community Strategies" (SCS). The MPOs are required to develop the SCS through integrated land use and transportation planning and demonstrate an ability to attain the proposed reduction targets by 2020 and 2035.

> (1) Existing law requires certain transportation planning activities by the Department of Transportation and by designated regional transportation planning agencies, including development of a regional transportation plan. Certain of these agencies are designated under federal law as metropolitan planning organizations. Existing law authorizes the California Transportation Commission, in cooperation with the regional agencies, to prescribe study areas for analysis and evaluation.
> This bill would require the commission to maintain guidelines, as specified, for travel demand models used in the development of regional transportation plans by metropolitan planning organizations. The bill would

> require the commission to consult with various agencies in this regard, and to form an advisory committee and to hold workshops before amending the guidelines.
> This bill would also require the regional transportation plan for regions of the state with a metropolitan planning organization to adopt a sustainable communities strategy, as part of its regional transportation plan, as specified, designed to achieve certain goals for the reduction of greenhouse gas emissions from automobiles and light trucks in a region.

Under SB 375, SCAG is required to achieve per capita reductions of greenhouse gas emissions from improved, integrated land use and transportation planning. SCAG must achieve a 2020 target of 8% and a 2035 target of 13%. SCAG has a number of supporting programs and policies to the RTP/SCS, with the goal to reduce vehicle miles traveled and greenhouse gas emissions from passenger vehicles.

In order for SCAG to be able to meet its 2020 target, it is critical that the 2013 FTIP prioritize funding for transportation choices that help the region move towards sustainability. As such, the CTCs are required to help the region meet these targets. Given the long lead time involved in the construction of transportation projects, it is necessary to prioritize funds now for projects that will help to reduce demand for single occupant vehicle miles traveled and promote less polluting alternatives. CTCs are strongly encouraged to carefully review County TIP projects and to earmark funding in the 2013 FTIP for projects which help to contribute to transportation choices and promote the development of mixed-use, transit-oriented and other innovative growth. SCAG is committed to take into account the broader goals of the 2012 RTP and its requirements as set forth by SB 375 when creating the 2013 FTIP.

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 FTIP[1]. Therefore it is important that the environmental process is captured in the FTIP. To program environmental documents in the FTIP, refer to page 59 in the Programming Section 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 majority 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. Another attribute is if the project requires interstate access approval.

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 (RTP) and the FTIP to receive the appropriate environmental clearance from the Federal agencies.

Instances do occur 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 identify the environmental impacts of a project or program of projects. Nonetheless, these projects must be programmed in the FTIP as stated by title 23 CFR 450.324(d). All regionally significant projects must be in the FTIP even if the project is funded with non-Federal funds.

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 is entered into the FTIP database.

[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.

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/APPROVAL	ENVIRONMENTAL ASSESSMENT/ -- NEPA	
EA/FONSI	ENVIRNOMENTAL 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/IS	ENVIRONMENTAL ASSESSMENT/INITIAL STUDY – JOINT NEPA/CEQA	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 Improvement Program (RIP) and Interregional Improvement Program (IIP) funds. Caltrans is required to release an estimate of STIP funds available in the five-year STIP period by July 15 of every odd-numbered year; and the CTC is required to adopt the five-year estimate by August 15 of each odd-numbered 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 deadline for submitting County STIPs to SCAG will be released when the California Transportation Commission adopts the 2012 STIP Fund Estimate in August 2011.

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 and subject to conformity requirements.
- Proposed projects must have completed a Project Studies Report (PSR) or a PSR-equivalent or major investment study for projects not on the state highway system.

Projects to be included in the FTIP for implementation (construction) must have proceeded (or proceed) through 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 (consistent with federal requirements established to replace the Major Investment Study (MIS) process from the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA) and environmental clearances issued under the National Environmental Protection Act/California Environmental Quality Act (NEPA/CEQA).

I. The Regional Transportation Plan (RTP)

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, subject to conformity and fiscal constraint requirements, and then approved by the Governor and for conformity by USDOT. The 2008 RTP will serve as the basis for the development of the 2013 FTIP.

The FTIP is the process by which the RTP is implemented. It does so through providing an orderly allocation of federal, state and local funds for use in planning and building specific projects. Under law, the FTIP is required to advance the RTP by programming the projects, programs, and policies contained in the RTP, in accordance with federal and state requirements. These include specific requirements for scheduling of projects, financing, and the timely implementation of Transportation Control Measures (TCMs).

1. Implementation of RTP Modeled Projects

The RTP 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.

Modeled projects not included in the current time frame of the 2013 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 of the timely implementation of TCMs as applicable.

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

2012 RTP actions and targets for implementation of Transportation Demand Management (TDM) and Non-Motorized Investments should be used for development of the 2013 FTIP. Implementation of the goals listed below should be programmed in the 2013 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.

2008 RTP Rideshare/TDM/Non-Motorized/ITS Amounts - Regional Totals[2]

Program	Investment (in Billions)
Non-Motorized	$1.47
Rideshare & Transportation Management Strategies	$1.31
Intelligent Transportation Systems	$2.76

[2] Revised figures will be available once 2012 RTP released.

J. Regionally Significant Transportation Investment Studies (RSTIS)

Within the context of regional transportation planning, the first step toward strategy or program development is the Regionally Significant Transportation Investment Study (RSTIS), which is a corridor study or alternatives analysis including a NEPA "purpose and need" statement and preliminary environmental documentation. While some projects can move very quickly from an idea to implementation, regionally significant strategies and programs typically require a more in-depth study and analysis. 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. It is the responsibility of SCAG to identify which strategies/programs should be subject to such requirements and to identify those programs/projects in the RTP as requiring further study and analysis.

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 provides a process to refine or update the RTP 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 planning process, the regionally significant alternatives should be evaluated by the RTP performance measures in order to be considered for incorporation in the RTP. The RTP 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 do not have complete environmental analysis, design concept and scope (mode and alignment not fully determined). In cases requiring further analysis, the RTP 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 will assume and identify sufficient detail to provide a plan conformity determination.

Sponsors of RSTIS projects are asked to present project information to SCAG's Plans and Programs Technical Advisory Committee. At the conclusion of the RSTIS process, the project sponsor should coordinate with SCAG to determine whether an RTP 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. The preferred alternative of a RSTIS must meet the performance and financial criteria established by the RTP, and it must be approved by the Regional Council before being included in the RTP and FTIP.

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

As required by the 2005 Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), 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.

Under SAFETEA-LU, 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.

As referenced in the Regional Transportation Plan (RTP) the CTC's are encouraged to address the SHSP challenges when submitting a project into the FTIP. Relevant SHSP challenges 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

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 SAFETEA-LU, 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 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 Federal Transportation Improvement Program. If any conflicts arise with the CTCs' programs (for example, inter-county issues, financial constraint, or inconsistency with the 2012 Regional Transportation Plan policies, programs or projects) then SCAG will convene a subsequent meeting with the affected CTC(s) to discuss the issue.

As a result, SCAG has developed "Policies, Procedures and Guidelines for Public Participation and Interagency Consultation" to provide guidance for public participation and interagency consultation in the regional planning process. These procedure and guidelines are available on SCAG's website:

http://www.scag.ca.gov/downloads/home/PPP_AdoptedAmend01_Oct07.pdf

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 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 for the 2013 FTIP.

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

1. Project Selection

Project selection procedures for federally-funded projects including the Surface Transportation Program (STP), the Congestion Mitigation and Air Quality Improvement Program (CMAQ), and for the Federal Transit Administration (FTA) capital and operating programs are a requirement of Title 23 United States Code (USC) 134 (i)(4), as amended by SAFETEA-LU.

Title 23 of the USC 134 (i)(4)(A) states the following:

> *Selection of Projects – All federally funded projects carried out within the boundaries of a transportation management area under this title (excluding projects carried out on the National Highway System and projects carried out under the bridge program or the Interstate maintenance program) or under chapter 53 of title 49 shall be selected for implementation from the approved transportation improvement program by the metropolitan planning organization designated for the area in consultation with the State and any affected public transit operator.*

Under California law (AB 1246), the County Transportation Commissions (CTCs- Imperial County Transportation Commission, Los Angeles County Metropolitan Transportation Authority, Orange County Transportation Authority, San Bernardino Associated Governments, Riverside County Transportation Commission, and Ventura County

Transportation Commission) are responsible for developing the county transportation improvement programs for submittal to SCAG. SCAG in turn prepares the FTIP using the county TIPs.

SCAG publishes the FTIP guidelines at the beginning of each FTIP cycle and outlines all federal, state, and MPO requirements to facilitate the development of the county TIPs.

SCAG analyzes all of the county TIP projects for consistency with the RTP and for financial constraint. SCAG incorporates the eligible projects into the Federal Transportation Improvement Program (FTIP) for conformity analysis. Projects that are not consistent with the federal and MPO requirements are not incorporated into the FTIP.

Should conflicts arise, they are worked out with the CTCs, SCAG's Regional Council and the AB 1246 CEOs Committee. If a project should fall out, then SCAG coordinates with the CTCs to replace it. The Transportation Conformity Working Group also serves as a mechanism for interagency consultation for TIP issues between staff representatives from SCAG, the CTCs, Caltrans, and federal and state agencies.

2. Project Programming

Once the CTCs have programmed funds to projects, as required by state and federal statutes, projects are then included in the FTIP in accordance with the estimated project delivery schedules. The first four years of the FTIP are required to be financially constrained, and programming beyond this period is for information purposes only. Below are the steps which specify how projects are programmed in the FTIP:

Step 1 The CTCs have established that projects programmed in the first four years are priority projects for the region and are programmed according to estimated project delivery schedules at the time of the TIP submittal. SCAG incorporates the county TIPs into the Federal TIP as submitted by the CTCs in accordance with the appropriate transportation conformity and RTP consistency requirements.

Step 2 SCAG performs all required conformity and consistency analysis and public hearings on the FTIP and adopts the FTIP.

Step 3 SCAG submits the FTIP to the Governor (authority delegated to Caltrans) for incorporation into the State's Federal TIP, and SCAG simultaneously submits the conformity findings to the FHWA, FTA, and EPA for approval of the final conformity determination.

3. Expedited Project Selection Procedures

The current Code of Federal Regulations, 23CFR450.330, 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 (CTCs), 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 CTC, and takes action on the request for the use of EPSP for project(s) in the FTIP.

Step 3 CTC submits changes to project(s) using EPSP in a future FTIP amendment, or administrative modification.

Projects from the first four years of the 2013 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 Federal Transportation Improvement Program (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 amendment must be approved by the Regional Council

FTIP Administrative Modifications (subject to approval of SCAG Public Participation Plan Amendment #2)

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. 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 county transportation commission, consistent with federal and state law, the RTP, 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 SAFETEA-LU 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 450.324 (j), "Procedures or agreements that distribute suballocated Surface Transportation Program funds or funds under 49 U.S.C. 5307 to individual jurisdictions or modes within the metropolitan planning area by pre-determined percentages or formulas are inconsistent with the legislative provisions that require MPOs, in cooperation with the State and transit operators, 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 comments 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 RTAC.

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 should 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, which was adopted on April 7, 2005 as well as the ITS Architecture for the county(s) in which the project is based. This requirement is pursuant to 23 CFR 940.9 and 940.11. The Regional Architecture and County Architectures can be found on the web at **http://www.scag.ca.gov/its**.

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 Projects

SAFETEA-LU requires the production of this annual listing with the cooperation of Caltrans and the public transportation operators throughout the SCAG region. Additionally, SAFETEA-LU also requires an additional list which identifies all bicycle/pedestrian projects for which Federal funds were obligated in the preceding year. The listing is available on SCAG's website.

The county commissions working with the project sponsors within their respective county update project obligations for projects in their county through use of the SCAG TIP database. SCAG then produces an annual listing of projects utilizing the SCAG TIP database. This annual listing of projects is posted on SCAG's website. In addition, Caltrans produces obligation reports for the MPOs which SCAG also makes available on its website as supplemental information.

S. Congestion Management Plan

Congestion Management Plan (CMP) Process

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

In the SCAG region, federal regulations stipulates that no federal funds may be programmed for any project that significantly increase Single Occupancy Vehicle (SOV) capacity unless 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.

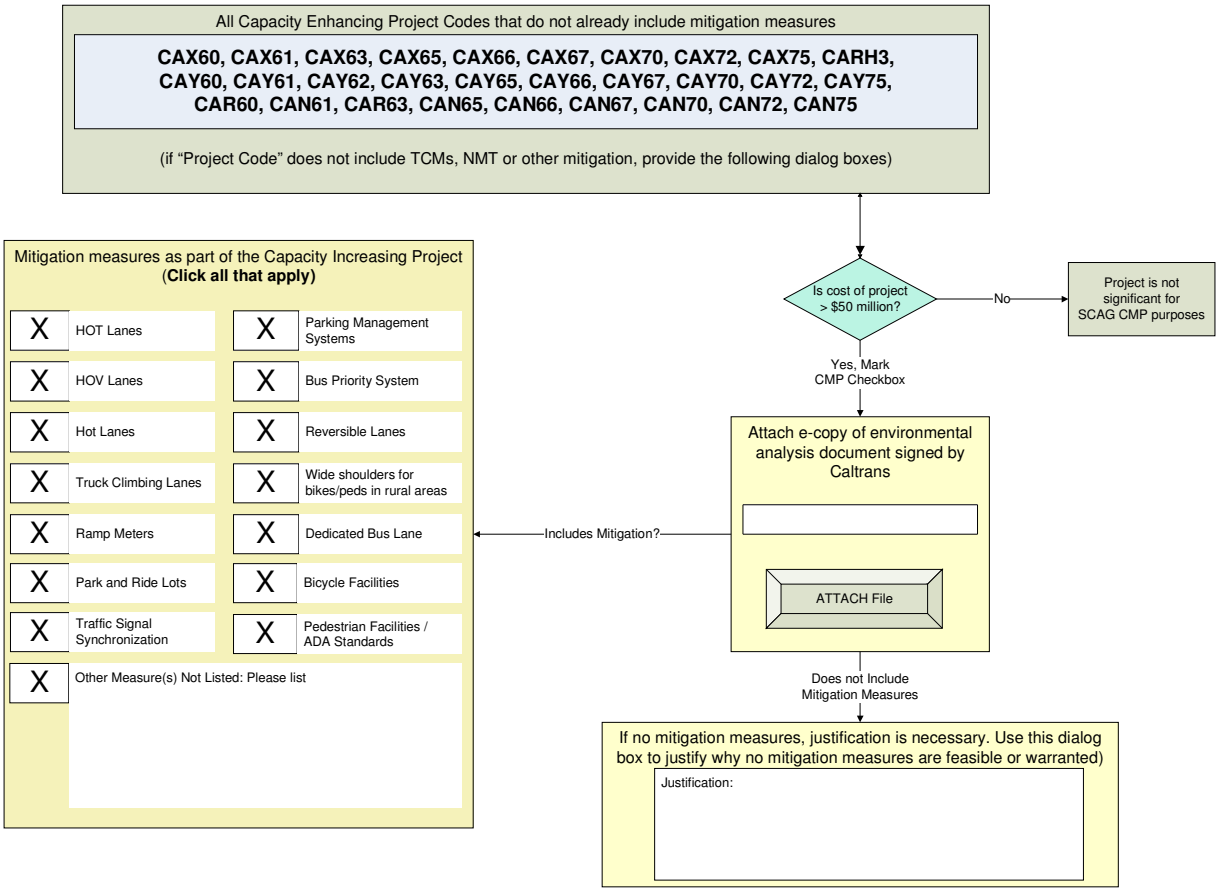
SCAG finds that any SOV capacity increasing project where the cost exceeds $50 million meets the criteria of significant. All FTIP submissions for significant SOV capacity increasing projects over $50 million must include documentation indicating that the project was planned and will be constructed in accordance with the congestion management process as defined in 23CFR §450.320(d) and (e).

In the FTIP submission, if a project increases SOV capacity significantly, enter what travel demand reduction or operational management strategies will be included as part of the project in the submission.

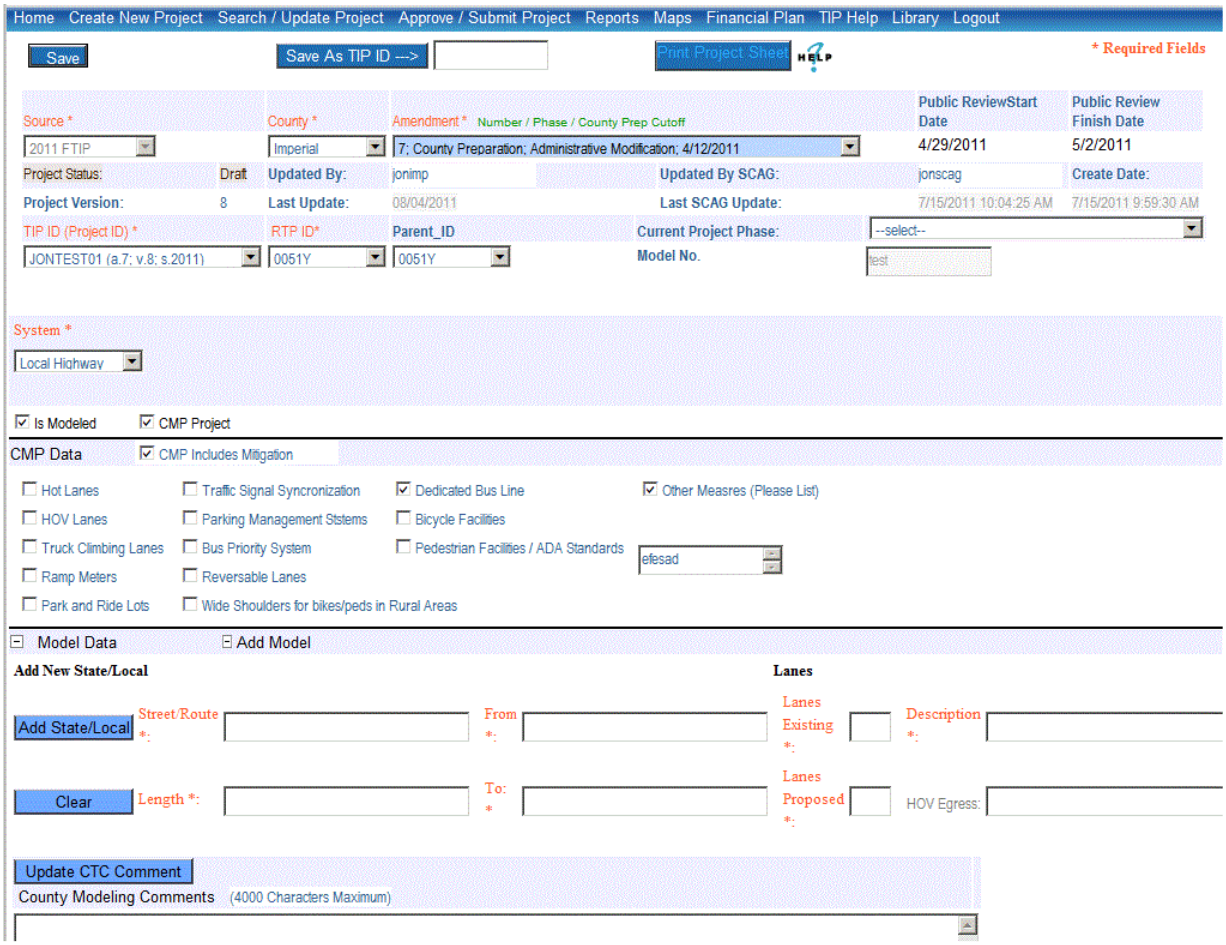
If the new or amended project has an adopted planning and/or environmental document that indicate what demand reduction or operational management strategies were evaluated/incorporated, include a copy of, or link to the document.

[3] 23. CFR 450.320

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

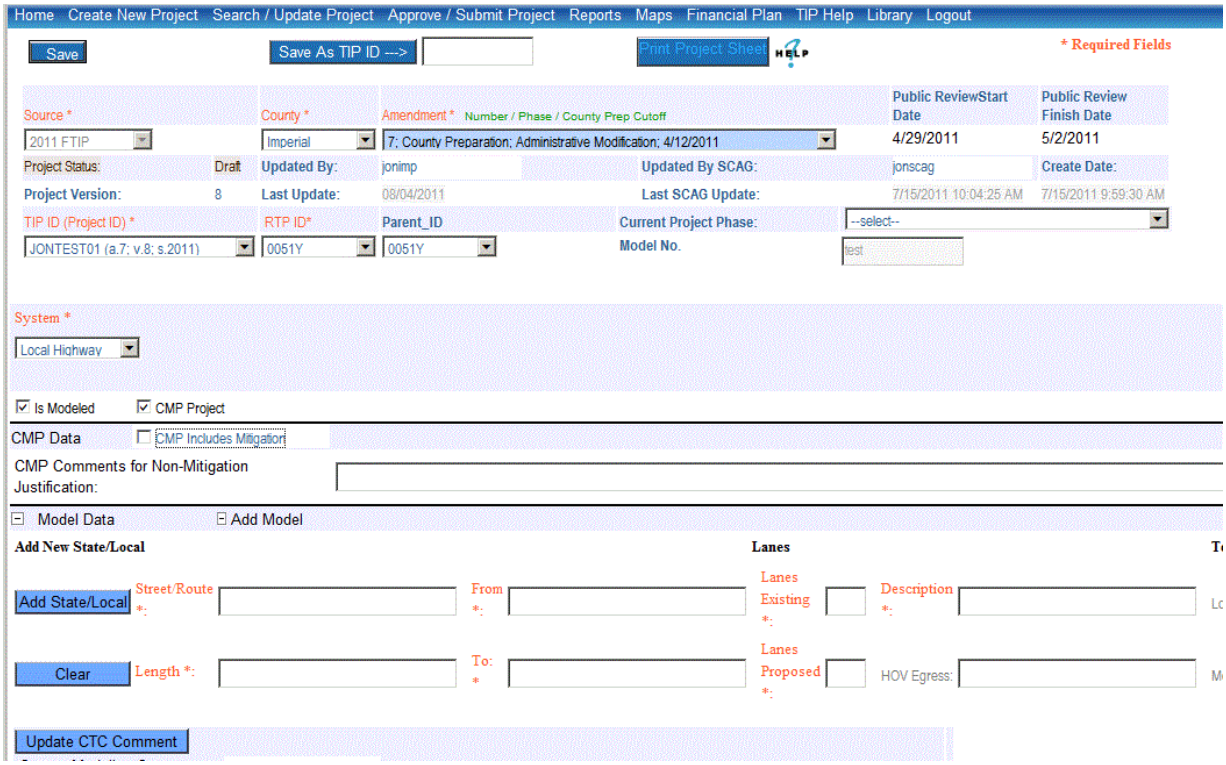


FTIP Database CMP Screen-shot 1 – Mitigated



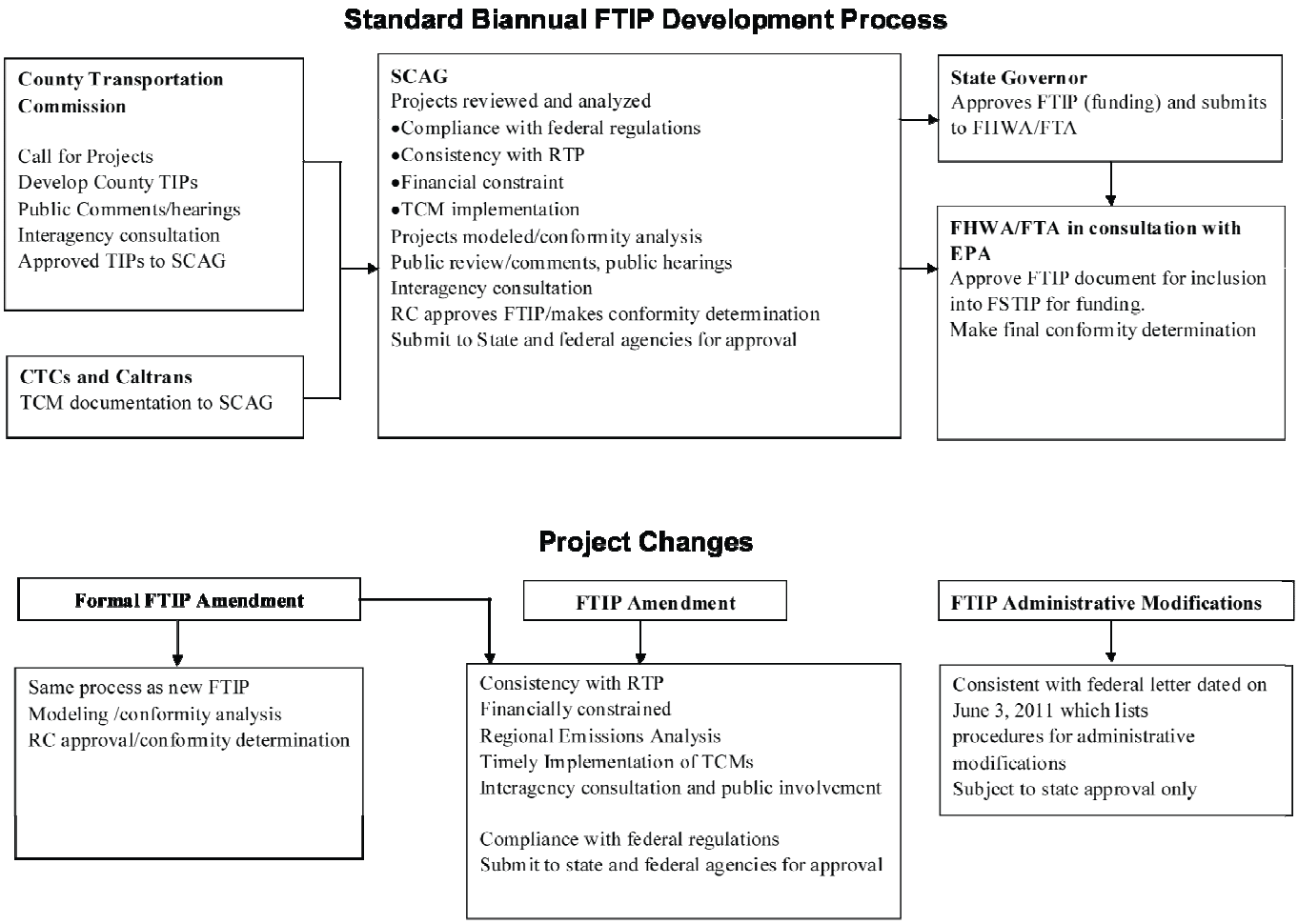
NOTE: CMP portion of FTIP Database under development – CMP input steps will be available in this section in a future version.

FTIP Database CMP Screen-shot 2 – Non-Mitigated



NOTE: CMP portion of FTIP Database under development – CMP input steps will be available in this section in a future version.

T. Standard Biannual FTIP Development Process Flowchart



Schedules & Submittals

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II. SCHEDULES AND SUBMITTALS

A. Schedules

BASED ON OCTOBER 1, 2012 DUE DATE TO STATE AND FEDERAL AGENCIES

Adoption Schedule for the
FY2013 Federal Transportation Improvement Program
(Schedule subject to change)

July 2011	Draft of 2013 FTIP Guidelines
September 2011	Final 2013 FTIP Guidelines
December 15, 2011	County Transportation Commissions transmit copy of 2012 STIP/ RIP to SCAG
January 4, 2012	**DEADLINE – COUNTY TIP SUBMITTAL TO SCAG**
January 5 thru May 4, 2012	SCAG staff, working with Caltrans and County Commissions, will analyze County TIPs. 1. Analyze projects for consistency with RTP 2. Identification of Modeled Projects 3. Transportation Conformity Analysis 4. Programmatic Analysis
March 5 thru May 4, 2012	Modeling Activities
May 18, 2012	Modeling Report due to FTIP Section
May 8 thru May 25, 2012	Final draft write up
June 4 thru June 8, 2012	Management Review Period
June 11, 2012	2013 FTIP sent out for reproduction
June 2012	Presentation of 2013 FTIP to AB 1246 CEOs Committee to fulfill AB1246 requirement
July 5, 2012	Draft FTIP presented to policy committees -- Transportation Committee Energy and Environment Committee
July 2012	30-day public review period and public hearings
August 2012	Note: SCAG's Policy Committees and Board are dark in August

September 1, 2012	Draft FTIP due to Caltrans
September 6, 2012	FTIP Adoption -- Policy Committees and Regional Council Action
September 7, 2012	Adopted 2013 FTIP transmitted to state and federal agencies and upload to CTIPS database
October 1, 2012	Adopted FTIP formally due to State and Federal Agencies
November 2012	Caltrans transmits 2013 FSTIP to Federal Agencies
December 2012	Conformity Determination on 2013 FTIP by Federal Agencies

2012 State Transportation Improvement Program (STIP)

June 22, 2011	Fund Estimate due to the California Transportation Commission
August 10, 2011	California Transportation Commission Adopts the Fund Estimate (2012 STIP Fund Estimate)
December 15, 2011	Regional Improvement Program (RIP) due to the California Transportation Commission
March 28, 2012	California Transportation Commission adopts the STIP and submits to the Legislature

2013 TIP DATABASE AVAILABILITY

The 2013 TIP Database will be available in September 2011. The data will include all federally approved administrative modifications and amendments.

2013 FTIP CHECKLIST

Things to remember

- ☐ Projects must be consistent with the 2012 Regional Transportation Plan (RTP)
- ☐ Projects are "County Approved" in 2013 FTIP Database
- ☐ Timely Implementation – provide a status of each TCM Committed project. Enter information 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

County 2013 FTIP Package to SCAG shall include the following:

- ☐ CTC Transmittal Letter Certifying that:
  - County TIP is consistent with the 2013 RTP
  - 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
  - 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
  - In addition to a hard copy, transmit an electronic copy in excel to SCAG FTIP liaison
- ☐ Additional information as applicable

Final Financial Plan

- ☐ Financial Plan Board Resolution due no later than March 5, 2012
- ☐ Final Financial Plan will vary by county – dependent on conclusion of analysis. SCAG working with the CTC 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. These required submittals 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 2013 FTIP Submittal. Projects that are new, deleted, and changes to modeled projects must be included in the narrative. Page 118 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 C.F.R. §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 "TCM" as the Conformity Category code in the SCAG TIP Database. Refer to page 52 of these guidelines to learn more about TCMs and how to identify committed TCM projects. If a committed TCM constitutes a portion of a larger non-TCM project, a description (and dollar amount) of the TCM portion must be provided in the TCM Comment field in the Comment screen of the SCAG TIP Database.

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 53 for a description of committed TCMs). The status of implementation for each committed TCM project must be entered in the TCM Comment field in the Comment screen of 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 2013 FTIP, which in turn, is required to be consistent with the adopted RTP. The AQMP/SIP also specifies that every time the FTIP is updated (as is the case with the 2013 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 section of this document.

As a part of the conformity determination for the 2013 FTIP, SCAG will work with the CTCs and Caltrans to ensure timely implementation of committed TCM projects.

The 2013 FTIP also must demonstrate that the TCM projects are being funded in the future years (FFYs 2014/15-2017/18).

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.

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 2013 County TIPs and amendments. A description of the requirements for developing the Financial Plan is provided starting on page 123 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 2013 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 PROJCTS IN THE FFY 2012/13 – 2017/18 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 Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) requires SCAG to adopt a regional transportation improvement program for the metropolitan planning area; and

WHEREAS, the SAFETEA-LU 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 2012/13-2017/18 (County) Transportation Improvement Program with funding for FFY 2012/13 and 2013/14 available and committed, and reasonably committed for FFY 2014/15 through 2017/18.

NOW, THEREFORE, BE IT RESOLVED by the (County) Transportation Commission that it affirms its continuing commitment to the projects in the FFY 2012/13-2017/18 (County) Transportation Improvement Program (TIP); and

BE IT FURTHER RESOLVED, that the FFY 2012/13-2017/18 (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 2012/13-2017/18 (County) TIP are consistent with the proposed 2012 State Transportation Improvement Program scheduled to be approved by the California Transportation Commission in April 2012; 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 2012 STIP cycle. This project is in the County's number one priority for 2012 STIP funds. The (County) 2012 STIP Regional Improvement Program, as identified in the Financial Plan, will include sufficient funds to complete the project. Therefore, as required by the SAFETEA-LU, 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 2012/13-2017/18 (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 SAFETEA-LU 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. Grouped project lists are due with the County TIP submittals and amendments because the projects within the group will be evaluated for eligibility by SCAG, Caltrans and FHWA/FTA staff. Grouped project lists are required by Caltrans and FHWA/FTA for approval of 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 63 of these Guidelines.

5. Modeling Reports

As part of the 2013 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.

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Transportation Air Quality Conformity and Modeling

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III. TRANSPORTATION AIR QUALITY CONFORMITY AND MODELING

A. Transportation Air Quality Conformity Requirements

The *Federal Clean Air Act* (CAA) establishes air quality standards 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 non-attainment 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 SIP and thus support attainment of federal air quality standards.

Areas within the SCAG region are designated as non-attainment or maintenance for multiple criteria pollutants and the non-attainment areas have not attained federal health-based air quality standards (see maps starting on page 34). The *Transportation Conformity Regulations* stipulate that transportation plans, programs (including the 2013 FTIP), and projects cannot receive federal funds 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 **Section B. Required Modeling for Transportation Conformity** starting on the next page.

The 2013 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 air basin, non-attainment/maintenance area, and pollutant. There are five required tests for conformity determination of the 2013 FTIP:

i. Consistency with the RTP

ii. Regional emissions analysis

iii. Financial constraint

iv. Timely implementation of TCMs.

v. Interagency consultation and public involvement

B. 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.

Conformity requires, in part:

- Demonstration through transportation model-based emissions analyses that the RTP and TIP 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 and all other regionally significant highway and transit projects;
- Modeled years include the base year, attainment year, RTP horizon year, and other years such that modeled years can be no more than ten years apart;
- Perform interim conformity emission tests for those non-attainment 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 emissions.

Required Modeling Years[4]

2012, 2014, 2018, 2020, 2023, 2030, and 2035

Example 1

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

- The federally approved transportation conformity emissions analysis required modeling for years 2012, 2014, 2018, 2020, 2023, 2030, and 2035;
- A project was included in the federally approved RTP/FTIP with an opening date of 2016 (i.e., project was modeled in the 2018 network);
- Revised opening date of 2019 (crosses over the next required model year);
- Need to remodel since 2018 model network would no longer be correct - amendment would be necessary to make this change.

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

Example 2

For those cases where a project's opening date does not cross over to a different required model year, 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 2012, 2014, 2018, 2020, 2023, 2030, and 2035;
- A project was included in the federally approved RTP/FTIP with an opening date of 2016 (i.e., project was modeled in the 2018 network);
- Revised opening date of 2017 (does not cross over the next required model year);
- No need to remodel – no amendment necessary.

C. 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 fourteen non-attainment or maintenance areas within the SCAG region. The four air basins and fourteen non-attainment and maintenance areas are as follows:

i. <u>The South Coast Air Basin (SCAB):</u>

The SCAB encompasses the urbanized portions of Los Angeles, Riverside, and San Bernardino counties as well as the entire County of Orange.

- The entire basin is a non-attainment area for 8-hour Ozone and $PM_{2.5}$ and a maintenance area for CO, NO_2, and PM_{10}.

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

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

iii. <u>The Mojave Desert Air Basin (MDAB):</u>

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.

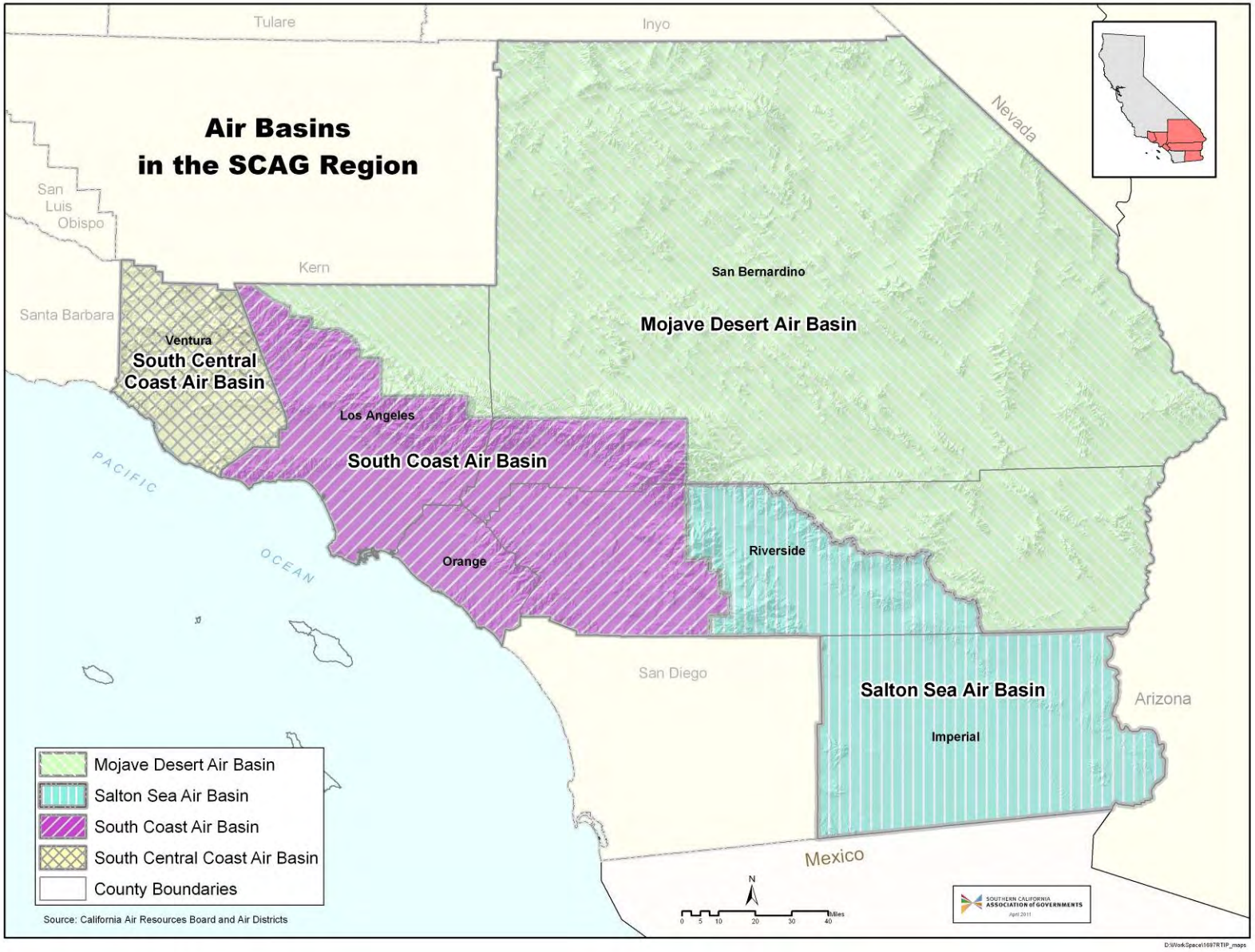
- Antelope Valley Portion of MDAB - The entire desert portion of Los Angeles County (known as Antelope Valley) is a non-attainment area for 8-hour Ozone.
- San Bernardino County Portion of MDAB
  - With the exception of the northern and eastern parts of the County, the rest is a non-attainment area for 8-hour Ozone.
  - Searles Valley (situated in the NW part of the County) is non-attainment for PM_{10}.
  - San Bernardino County (excluding the Searles Valley area) within the MDAB is a non-attainment area for PM_{10}.

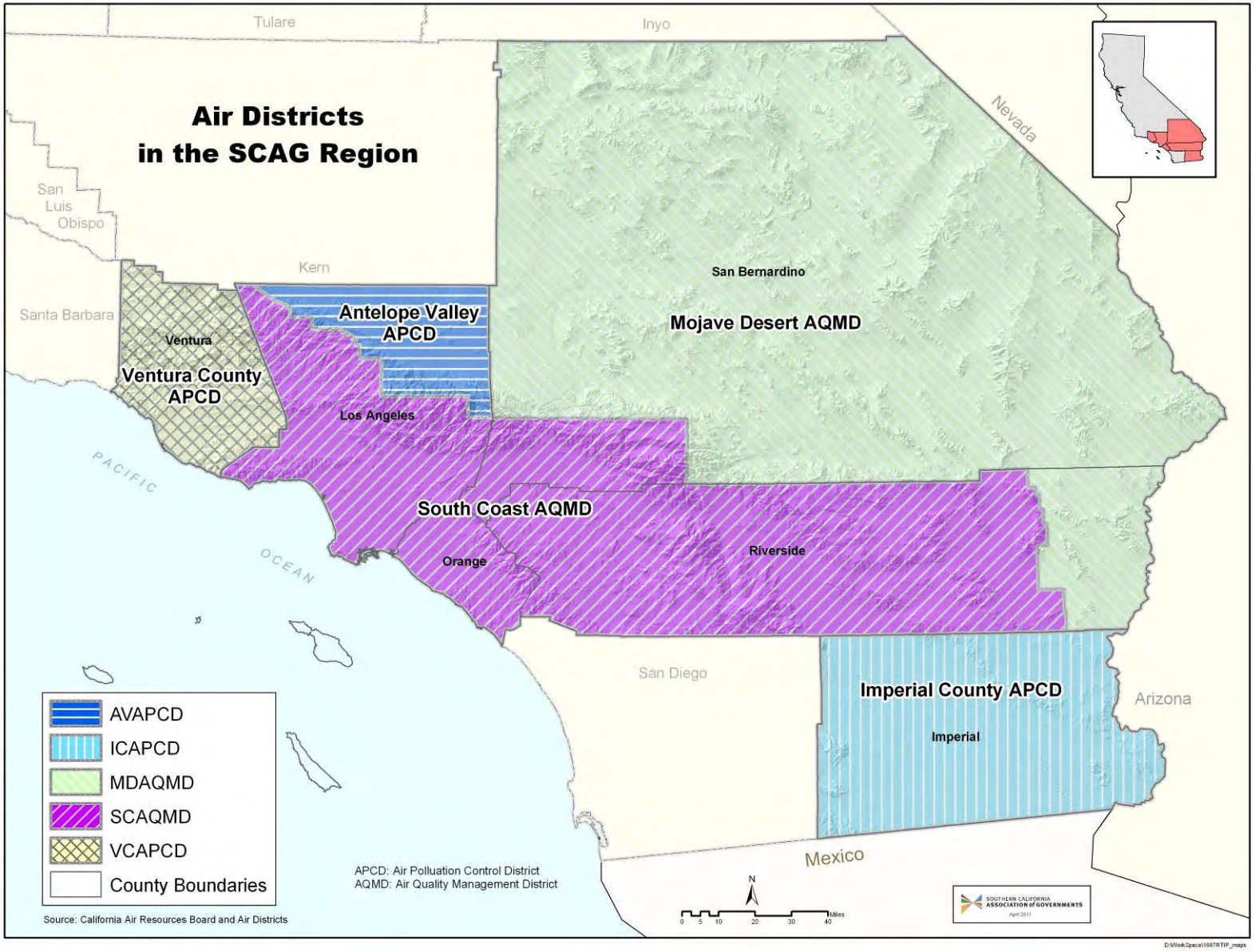
iv. The Salton Sea Air Basin (SSAB):

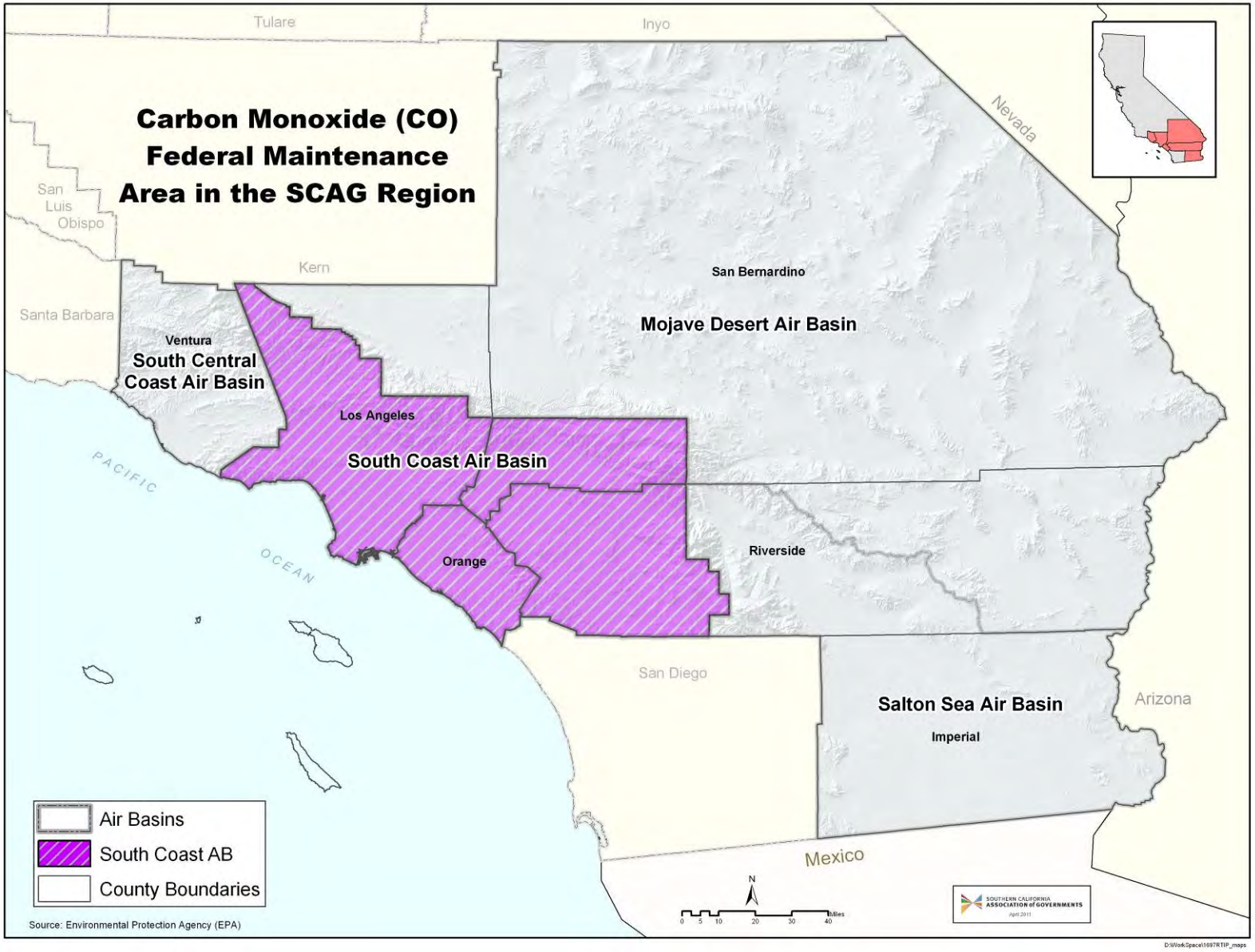
- The SSAB consists of Imperial County and the central portion of Riverside County.
- The Riverside County Portion of SSAB – The Coachella Valley area is a non-attainment area for 8-hour Ozone and a maintenance area for $PM_{10.}$
- The entire Imperial County is a non-attainment area for PM_{10} and a maintenance area for 8-hour Ozone.
- The urbanized area of the Imperial County is a non-attainment area for $PM_{2.5.}$

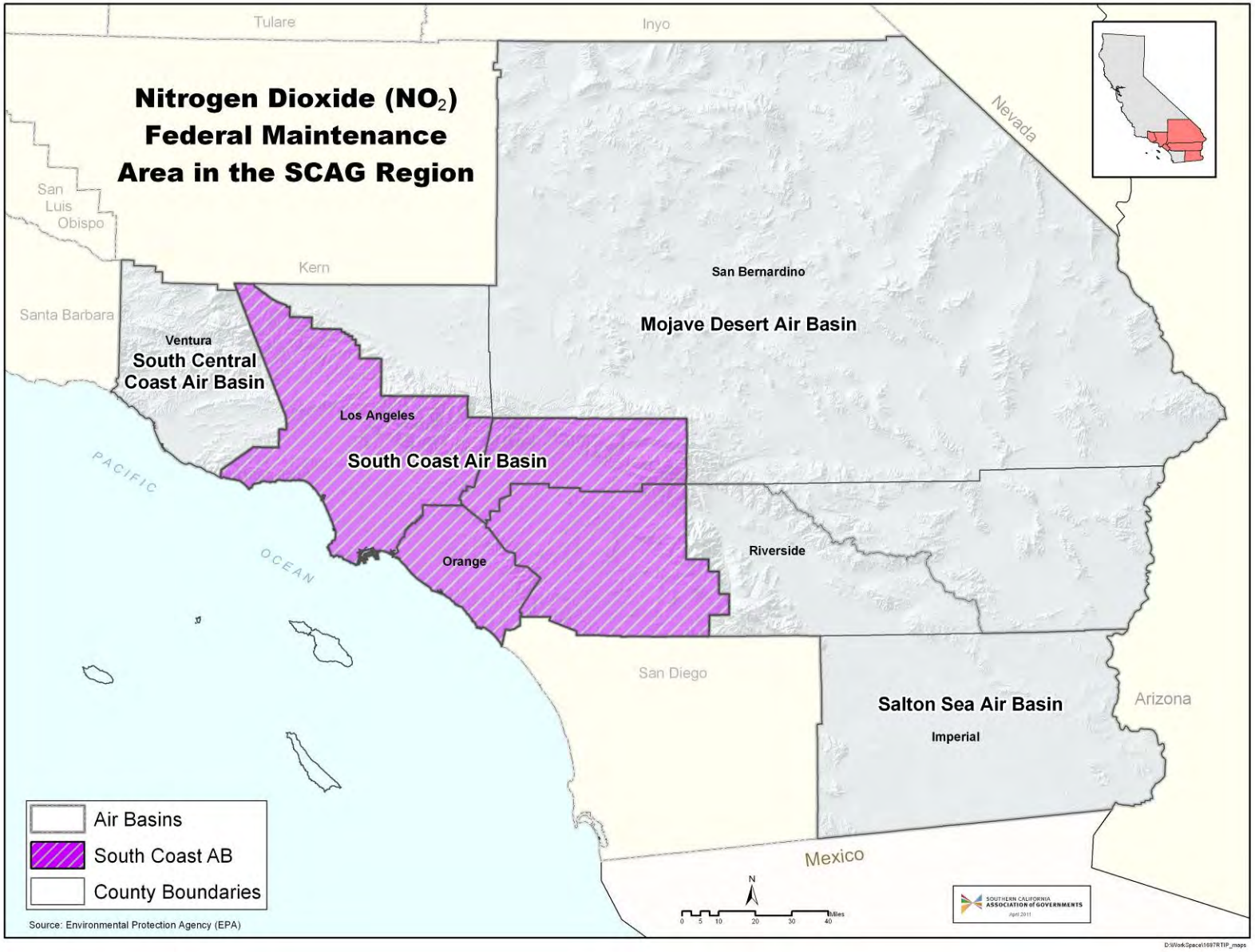
The five air districts and the areas they administer are as follows:

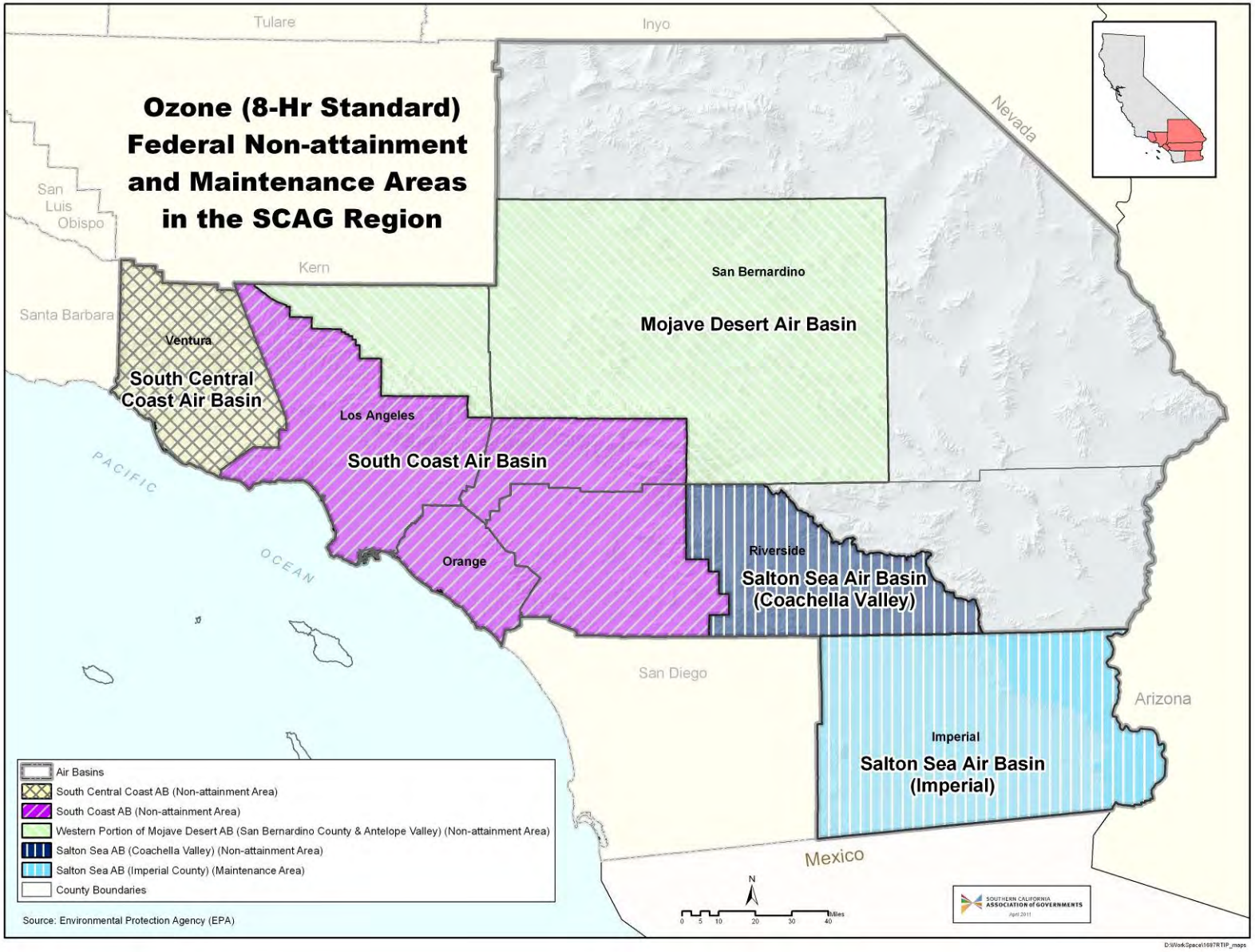
Air District	Jurisdiction
South Coast Air Quality Management District (SCAQMD).	The SCAB, the Riverside County portion of the SSAB (Coachella Valley), and the Riverside County portion of the MDAB (excluding Palo Verde Valley).
Ventura County Air Pollution Control District (VCAPCD).	Ventura County portion 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.

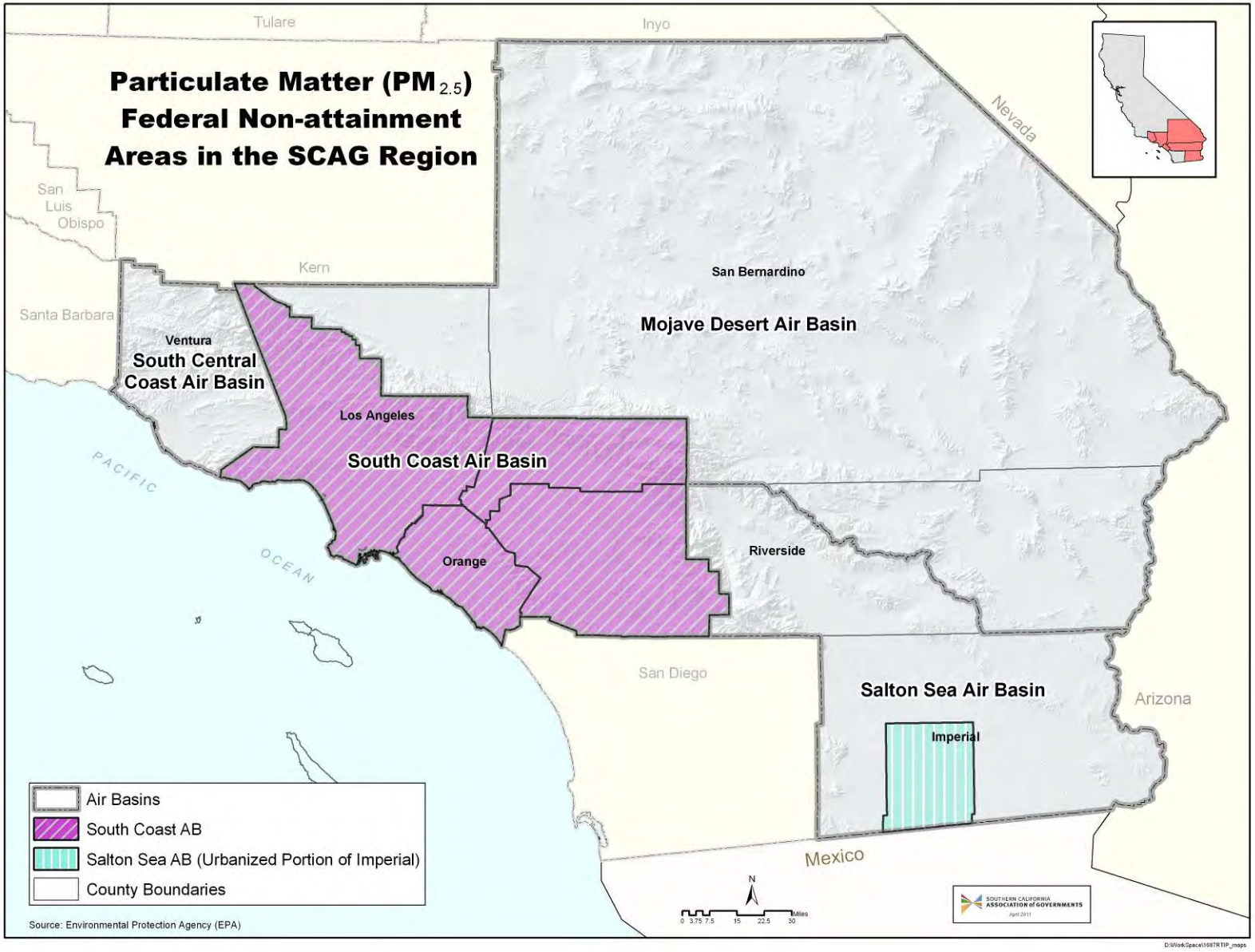

Air Basins
in the SCAG Region
Tulare
Inyo
Nevada
San Luis Obispo
Kern
Santa Barbara
Ventura
South Central Coast Air Basin
San Bernardino
Mojave Desert Air Basin
Los Angeles
South Coast Air Basin
PACIFIC
OCEAN
Orange
Riverside
San Diego
Salton Sea Air Basin
Imperial
Arizona
Mexico
Mojave Desert Air Basin
Salton Sea Air Basin
South Coast Air Basin
South Central Coast Air Basin
County Boundaries
Source: California Air Resources Board and Air Districts
N
Miles
0 5 10 20 30 40
SOUTHERN CALIFORNIA ASSOCIATION of GOVERNMENTS
April 2011

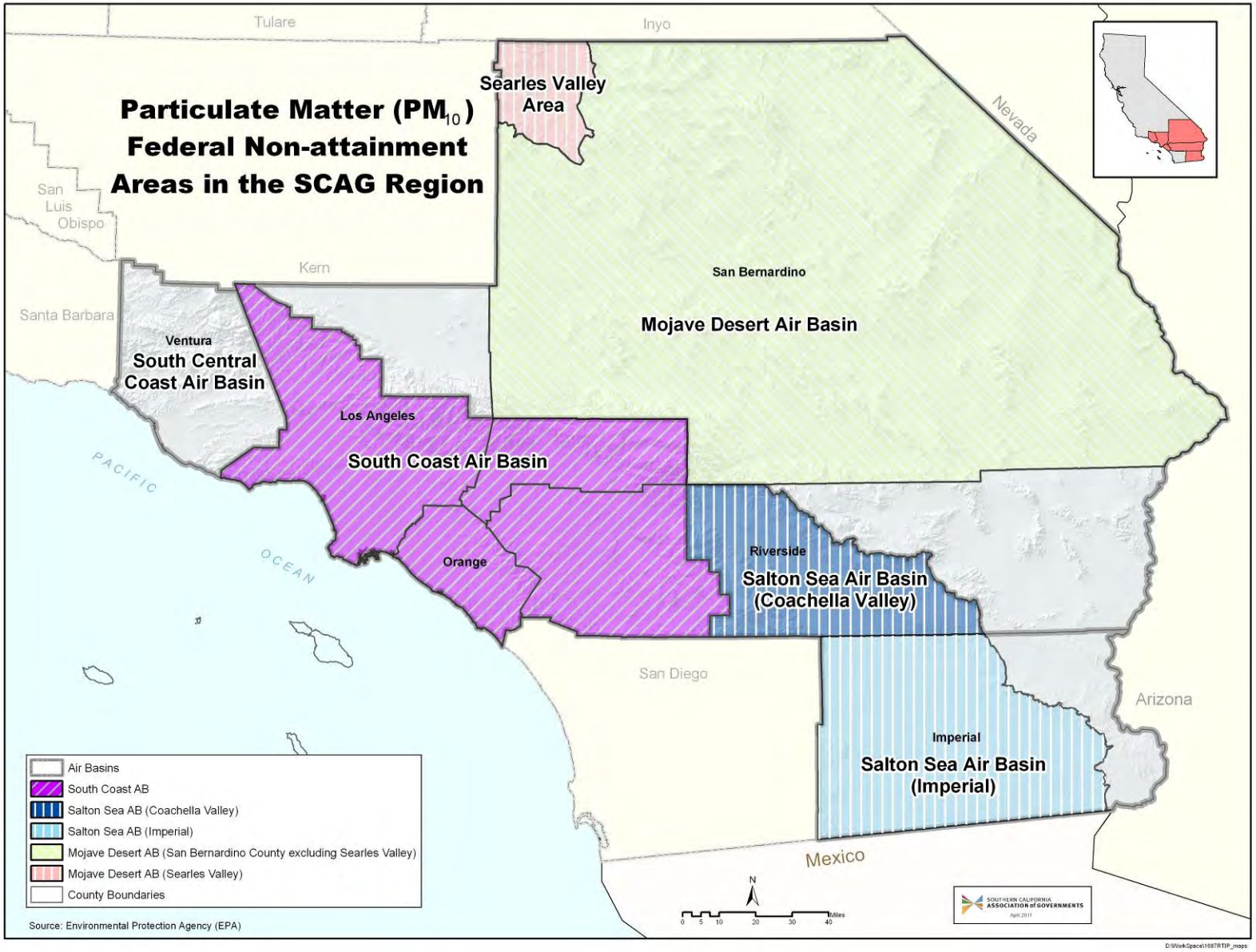

Air Districts
in the SCAG Region
Tulare
Inyo
Nevada
San Luis Obispo
Kern
Santa Barbara
Ventura
Ventura County APCD
Antelope Valley APCD
Los Angeles
San Bernardino
Mojave Desert AQMD
PACIFIC
OCEAN
South Coast AQMD
Orange
Riverside
San Diego
Imperial County APCD
Imperial
Arizona
Mexico
AVAPCD
ICAPCD
MDAQMD
SCAQMD
VCAPCD
County Boundaries
APCD: Air Pollution Control District
AQMD: Air Quality Management District
Source: California Air Resources Board and Air Districts
N
Miles
0 5 10 20 30 40
SOUTHERN CALIFORNIA ASSOCIATION of GOVERNMENTS
April 2011


Carbon Monoxide (CO)
Federal Maintenance
Area in the SCAG Region
Tulare
Inyo
Nevada
San Luis Obispo
Kern
Santa Barbara
Ventura
South Central Coast Air Basin
San Bernardino
Mojave Desert Air Basin
Los Angeles
South Coast Air Basin
PACIFIC
OCEAN
Orange
Riverside
San Diego
Salton Sea Air Basin
Imperial
Arizona
Mexico
Air Basins
South Coast AB
County Boundaries
Source: Environmental Protection Agency (EPA)
N
Miles
0 5 10 20 30 40
SOUTHERN CALIFORNIA ASSOCIATION of GOVERNMENTS
April 2011


Nitrogen Dioxide (NO_2)
Federal Maintenance
Area in the SCAG Region
Tulare
Inyo
Nevada
San Luis Obispo
Kern
Santa Barbara
Ventura
South Central Coast Air Basin
San Bernardino
Mojave Desert Air Basin
Los Angeles
South Coast Air Basin
PACIFIC
OCEAN
Orange
Riverside
San Diego
Salton Sea Air Basin
Imperial
Arizona
Mexico
Air Basins
South Coast AB
County Boundaries
Source: Environmental Protection Agency (EPA)
N
Miles
0 5 10 20 30 40
SOUTHERN CALIFORNIA ASSOCIATION of GOVERNMENTS
April 2011


Ozone (8-Hr Standard)
Federal Non-attainment
and Maintenance Areas
in the SCAG Region
Tulare
Inyo
Nevada
San Luis Obispo
Kern
Santa Barbara
Ventura
South Central Coast Air Basin
San Bernardino
Mojave Desert Air Basin
Los Angeles
South Coast Air Basin
PACIFIC
OCEAN
Orange
Riverside
Salton Sea Air Basin (Coachella Valley)
San Diego
Arizona
Imperial
Salton Sea Air Basin (Imperial)
Mexico
Air Basins
South Central Coast AB (Non-attainment Area)
South Coast AB (Non-attainment Area)
Western Portion of Mojave Desert AB (San Bernardino County & Antelope Valley) (Non-attainment Area)
Salton Sea AB (Coachella Valley) (Non-attainment Area)
Salton Sea AB (Imperial County) (Maintenance Area)
County Boundaries
Source: Environmental Protection Agency (EPA)
N
Miles
0 5 10 20 30 40
SOUTHERN CALIFORNIA ASSOCIATION of GOVERNMENTS
April 2011


Particulate Matter (PM2.5) Federal Non-attainment Areas in the SCAG Region
Tulare
Inyo
Nevada
San Luis Obispo
Kern
Santa Barbara
Ventura
South Central Coast Air Basin
San Bernardino
Mojave Desert Air Basin
Los Angeles
South Coast Air Basin
PACIFIC
OCEAN
Orange
Riverside
San Diego
Salton Sea Air Basin
Imperial
Arizona
Mexico
Air Basins
South Coast AB
Salton Sea AB (Urbanized Portion of Imperial)
County Boundaries
Source: Environmental Protection Agency (EPA)
N
Miles
0 3.75 7.5 15 22.5 30
SOUTHERN CALIFORNIA ASSOCIATION of GOVERNMENTS
April 2011


Particulate Matter (PM_{10}) Federal Non-attainment Areas in the SCAG Region
Tulare
Inyo
Searles Valley Area
Nevada
San Luis Obispo
Kern
San Bernardino
Mojave Desert Air Basin
Santa Barbara
Ventura
South Central Coast Air Basin
Los Angeles
South Coast Air Basin
PACIFIC
OCEAN
Orange
Riverside
Salton Sea Air Basin (Coachella Valley)
San Diego
Arizona
Imperial
Salton Sea Air Basin (Imperial)
Mexico
Air Basins
South Coast AB
Salton Sea AB (Coachella Valley)
Salton Sea AB (Imperial)
Mojave Desert AB (San Bernardino County excluding Searles Valley)
Mojave Desert AB (Searles Valley)
County Boundaries
Source: Environmental Protection Agency (EPA)
N
0 5 10 20 30 40 Miles
SOUTHERN CALIFORNIA ASSOCIATION of GOVERNMENTS
April 2011

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 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 83 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 pulled from the SCAG TIP 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 42*). Counties should enter this project information into the TIP 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 (Six-lane divided roadway)
(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
Interchange Projects - New interchanges.	CAX70 CAY70 CAX71 CAY71 CAXT7 CAYT7	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
- Interchange reconstruction projects that add capacity.	CARH3 CART3 CAXT3 CAYT3	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
- Ramp widening and new ramps to existing interchanges.	CAX71 CAY71 NCR88	1) Existing ramp – existing and proposed number of lanes 2) New Ramp – Number of lanes 3) Posted speed limits Note: Entry ramp: If lane additions end at the gore point (no added lanes at the mainline) then no modeling is required. Exit ramp: If additional lanes are turn lanes and are within the ramp no modeling is required.
- Extended Interchange (IC) Ramp Acceleration/Deceleration Lanes.	NCR88	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.	NCN21 NCN37	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
Local Road & Arterial Projects - New local roads & arterials.	CAX66 CAY66 CAN66 CAXT5 CAYT5 CANT5	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
- 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.

Project Category	Program Code(s)	Required Modeling Details
- Extended Arterial Right-Turn Lanes	CAR63 CAX62 CAX63 CAY62 CAY63	1) Project length, beginning and end points of the improvement 2) Existing and proposed number of lanes
Bridge & Grade Separation Projects - New bridges (Over-cross or Under-cross).	CAX65 CAY65 CAN65 CAXT4 CAYT4 CANT4 CAX72 CAY72	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.	CAN72 CAX72 CAY72 CAXT8 CAYT8 CANT8 CAR75 CAX75 CAY75	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.	CAY75 CAR75 CAXT0 CAYT0 CART0	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 (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.)
State Highway Projects - New highways.	CAX66 CAY66 CAN66 CAXT5 CATT5 CANT5 CAX68 CAY68 CAX67 CAY67 CAN67 CAXT6 CAYT6 CANT6 CAX69 CAN69 CAY69	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 7) Toll facility also include toll rate, toll collection location and method 8) Project completion date
- New connections.	CAY69 CAX69 CAX62 CAY62 CAY63 CAR63 CAX63	1) Location and configuration of the new connection 2) Type of facility, number of lanes in each direction 3) Posted speed limits

Project Category	Program Code(s)	Required Modeling Details
- Mainline improvements that add capacity (general purpose and HOV lanes).	CAX62 CAY62 CAX63 CAY63 CAR63 CART2 CAXT2 CAYT2	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 aux lanes)
- Auxiliary lanes.	NCN21 NCN37	Same as above 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
- New HOV lanes.	CAX62 CAY62	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
Bus Transit Projects *(Fixed-route & inter-city/commuter bus)* - New bus routes.	BUO01 BUO00 BUN94 BUN93	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
- New bus service.	BUO01 BUO00 BUN94 BUN93	Same as for new bus routes 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
- Vehicle/Service expansions.	BUO01 BUO00 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
Mass Transit Facilities - 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

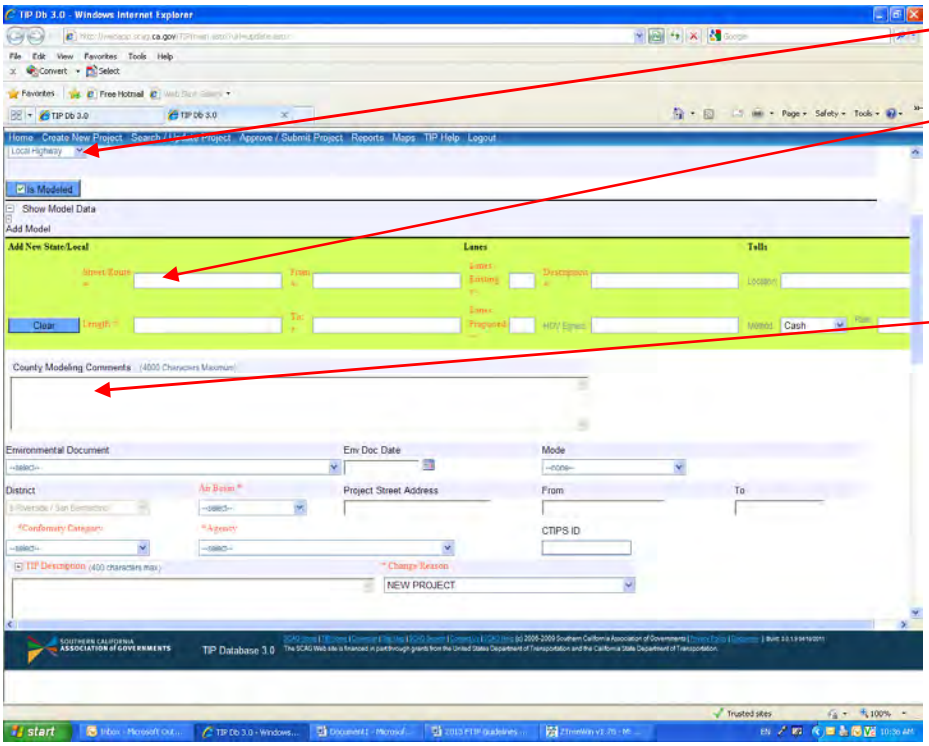
Project Category	Program Code(s)	Required Modeling Details
Park and Ride Facilities (P&R) - New Park & Ride facilities & - Expansion to Existing Park & Ride	TDN64	1) Location of the new P&R facilities 2) Type of P&R Facility (Express Bus, Vanpool, Metrorail, etc.) 3) Capacity (#of Spaces)
Traffic Signal Synchronization - 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.

Modeling

Counties must provide modeling information for all modeled projects in the TIP Database in the modeling section of the project input screen. The information provided in the TIP Database will be the **only** source of information that SCAG will use to model the 2013 FTIP. Thus, it is critical for all modeled projects to have the appropriate information in the modeling section. On page 47 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 TIP Database which will encompass all the modeling fields in the TIP Database. If existing modeled projects to the 2011 FTIP are carried over to the 2013 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 on the next page.

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



Select System for the Modeling fields to show in the input screen.

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 TIP database. (see exhibit B on page 80 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 TIP 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. AB99999 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 80)
- 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 (CTC), 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 41)
2) Capacity Enhancing project (see page 42)
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 9)

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 Conformity[5]

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 II--Exempt Projects and are listed in these guidelines as *Table III-B: Projects Exempt from Conformity* on page 50. Nevertheless, the emissions 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 general, exempt projects include all projects which have no emissions impact and are considered to be neutral or de minimis.

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

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 51. 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)

Mass Transit

- Operating Assistance to transit agencies
- Purchase of support vehicles
- Rehabilitation of transit vehicles [1]
- 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 771

Air Quality

- Continuation of ride-sharing and van-pooling promotion activities at current levels
- Bicycle and pedestrian facilities

Safety

- 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

Safety (cont.)

- 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

Other

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 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 PM_{10} 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 – NCNH2
- 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)

Transportation Control Measures

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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 non-attainment areas that are classified as "serious" and above [Section 182(c)] and provide multiple benefits, including reductions of emissions and improvements to mobility and accessibility and can help support better urban form.

Southern California has 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 TCMs. 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 non-attainment areas have TCMs: the South Coast Air Basin (SCAB) and the Ventura County portion of the South Central Coast Air Basin (VC/SCCAB).

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

A. Ridesharing Strategies
   - A.1 Carpooling, Vanpooling, Buspooling
   - A.2 Modified Work Schedules
   - A.3 Park and Ride Lots

B. Nonmotorized 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

A specific list of projects, consistent with the TCM categories, is listed in each FTIP.

In the South Coast Air Basin (SCAB), TCMs are defined in three main categories:

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

Committed TCMs: As stated above, a TCM-type project or program becomes a *committed* TCM once funds have been programmed by the CTCs in the first two years of the FTIP. Committed TCM projects have funds programmed 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.

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 Conformity Determination. The primary analysis for Timely Implementation Reporting will be done as part of the two-year FTIP 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 an internal list of completed TCM projects.

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 to avoid a conformity lapse. If implementation obstacles arise, the obstacles must be overcome. 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.

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 TIPs. 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 FTIP 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

For the purpose of TCM substitution, certain TCM projects including bicycle, pedestrian, bus/shuttles/paratransit vehicle purchases, and traffic signals synchronizations/control system computerization projects will be grouped into their respective TCM categories by county within each FTIP cycle. Thus, for the purpose of substitution of individual TCMs, a TCM project means a TCM project, a TCM category, or a TCM program. 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.

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.

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 apply the new measure.

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.

D. TCM Project Categories in the South Coast Air Basin (SCAB) and the South Central Coast Air Basin (SCCAB)

Table IV-A below is a listing of program codes for different types of 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 South Coast Air Basin (SCAB) and the South Central Coast Air Basin (SCCAB)

Project Description	Program Codes
A. High Occupancy Vehicle Measures	
▪ New HOV Lanes – Extensions and Additions to Existing Facilities	CAN69, CAX69, CAY69
▪ New HOV Lanes – With New Facility Projects	CAN69, CAX69, CAY69
▪ New HOV Lanes -- With Facility Improvement Projects	CAN69, CAX69, CAY69
▪ HOV Bypasses, Connectors, and New Interchanges with Ramp Meters	CAN69, CAX69, CAY69, CAN66, CAX66, CAY66, CAN71, CAX71, CAY71
▪ High Occupancy Toll (HOT) Lanes and Pricing Alternatives	CAN69, CAX69, CAY69
B. Transit and System Management Measures	
Transit	
▪ 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
▪ Express Busways – Bus Rapid Transit and Dedicated Bus Lanes	
▪ 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
Intermodal Transfer Facilities	
▪ Rail Stations - New	TRNH6
▪ Rail Stations - Expansion	TRRH6
▪ 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)	TRRH6

Project Description	Program Codes
Non-motorized Transportation Mode Facilities	
▪ Bicycle & Pedestrian Facilities – New (non-recreational and excluding bicycle facility less than 1 mile and pedestrian facility less than 1/4 mile)*	NCN25
▪ Bicycle & Pedestrian Facilities – Expansion (non-recreational and excluding bicycle facility less than 1 mile and pedestrian facility less than 1/4 mile)*	NCR25
▪ Bicycle Facilities – New (non-recreational and excluding bicycle facility less than 1 mile)*	NCN26
▪ Bicycle Facilities – Expansion (non-recreational and excluding bicycle facility less than 1 mile)*	NCR26
▪ Pedestrian Facilities – New (non-recreational and excluding pedestrian facility less than 1/4 mile)*	NCN27
▪ Pedestrian Facilities – Expansion (non-recreational and excluding pedestrian facility less than 1/4 mile)*	NCR27
C. Information-based Transportation Strategies	
▪ Marketing for Rideshare Services and Transit/TDM/ Intermodal Services	TDM20, TDM24
▪ **Intelligent Transportation Systems/Control System Computerization (excluding projects with fewer than 3 new traffic signals)*** -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
▪ Telecommuting Programs/Satellite Work Centers	TDM24

* For TCM substitution purposes, these 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 switched in and out 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 are TCMs.
- **Transit vehicle expansion projects should be split into different projects in two year increments consistent with a TCM committed programming period (2013 FTIP Project #1 = 12/13 & 13/14; Project # 2 = 14/15/ & 15/16 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.
- 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.

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Programming, TIP Database and References

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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 for non-exempt (non-Categorical Exclusions (CE)) projects (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.

There are projects that are exempt from environmental review which fall under Categorical Exclusions (CE). CEs are listed in 23 CFR 771.117 as well as on page 50 of these guidelines. 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 the environmental document completion date indicates that construction will begin three or more years beyond the date of the environmental document, please make a note in the comment field in the TIP database that re-evaluation will take place or that re-evaluation is not required and state reasons.

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/APPROVAL	ENVIRONMENTAL ASSESSMENT/ -- NEPA	
EA/FONSI	ENVIRNOMENTAL 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/IS	ENVIRONMENTAL ASSESSMENT/INITIAL STUDY – JOINT NEPA/CEQA	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

All federal requirements regarding transportation project and program eligibility for the Congestion Mitigation and Air Quality Improvement (CMAQ) program funds are outlined in the "Final Guidance for the Congestion Mitigation and Air Quality Improvement Program" which is in effect as of November 17, 2008. The CMAQ Guidance is available on the web at

http://www.fhwa.dot.gov/environment/cmaq08gm.htm. 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. Other federal funds such as the Surface Transportation Program (STP) or Federal Transit Administration (FTA) capital funds can be used for this purpose. 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 CMAQ project sponsors in their respective counties have copies of the CMAQ Guidance so they know which projects are eligible for CMAQ funds. Caltrans routinely checks CMAQ projects for eligibility before obligating CMAQ funds.

Transportation projects and programs in PM_{10} (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 PM_{10} 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.

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 FHWA 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 using 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 CTC decides to program projects utilizing Local AC, both the local funds and the conversion must be reflected in the FTIP. Currently, Caltrans has approved several methods in programming advance construction. The methods vary in the approach used to program the conversion. The conversion can either be programmed in the same project, under a separate project ID, or 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. 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 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 67 of these guidelines.

CTCs may find grouping projects to offer some advantages and flexibility when amending projects in the FTIP. County Transportation Commissions (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 2013 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, CTC's 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 do not change.**

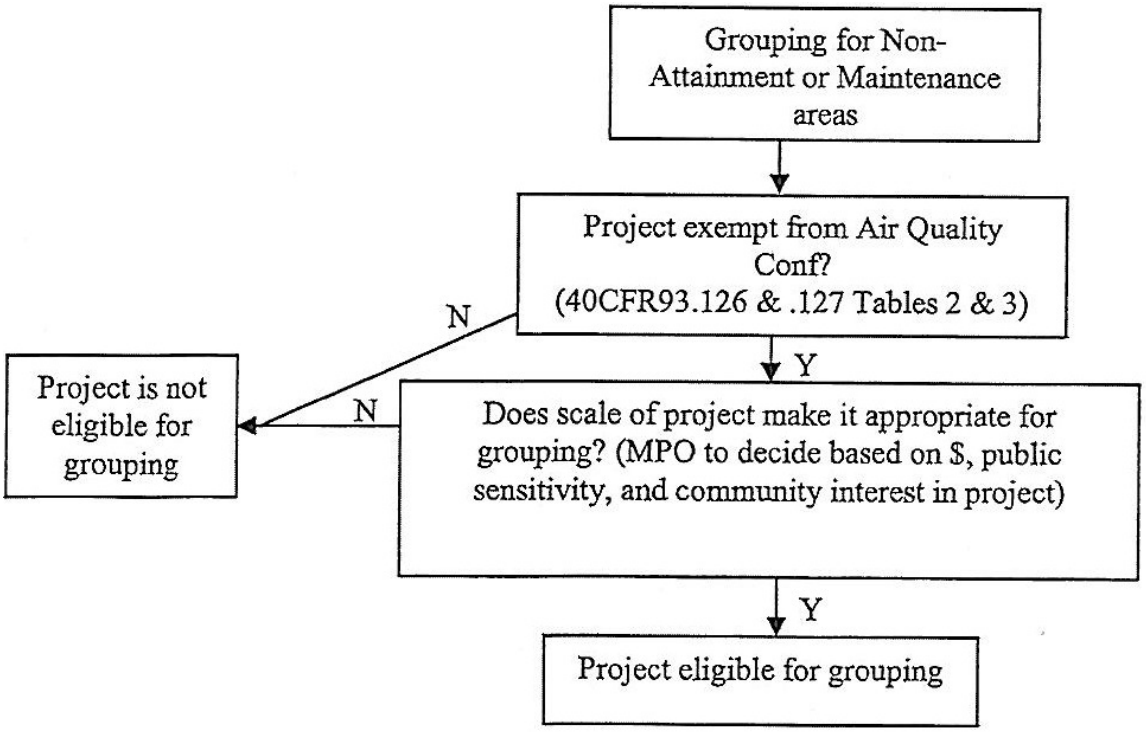
The CTCs are required to submit to SCAG the status of projects included in Grouped Project Listings that have been obligated on an annual basis through the FTIP amendment process. If there is no change to a Grouped Project Listing from one year to the next, the CTCs are required to report that no change has occurred to the Grouped Project Listing. In addition, project lists should not contain prior year funding beyond two years of the active quadrennial (i.e. FY 15/16 and FY 16/17). 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 CTC's responsibility to determine the eligibility of projects to be included in grouped project listings. If verification/confirmation is needed, a CTC 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 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 67 "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 CTC 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. The detailed listings shall contain individual project information with sufficient description to accurately identify scope, implementuing agency, location, limits of the project (if any), program year and the total cost. See the list starting on page 67 for the format of the detailed project listing. 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 deatiled project list must be included by the CTC when it is circulated for public reiew.

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 771.117 (c) and (d) can be grouped together by CE classifiations.

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.

Various County Grouped Project Listings
SCAG maintains the Grouped Project Listings for several fund sources under the Various Counties section of the 2013 FTIP. These listings are High Risk Rural Roads (HRRR), Highway Safety Improvement Program (HSIP), Safe Routes to School (both SRTS and SR2S).

A complete list of the Grouped Project Listings for Various Counties can be found on SCAG's website at http://scag.ca.gov/rtip/rtip2008/approved.htm.

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 the construction of benches, and project three is for shelters and a kiosk, then the description should read Grouped projects for Kiosks, Shelters, and Benches.

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.

FTA Section 5310 Grouped Projects

FTA Section 5310 Projects may be programmed as a Grouped Project if they have been approved for funding by Caltrans and FTA, except for TCMs which must be programmed individually in the FTIP. Proof that projects have been funded shall be included with the FTIP Submittal.

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

8. 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.

B. TIP DATABASE

1. Entering Projects into the SCAG TIP Database

The 2013 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 Manual.

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 2012 RTP. If a project is not consistent with the 2012 RTP 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 CTC 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". • *In Bakersfield:* • *South of Bakersfield:*
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. • *On Main St. between 1st Street and Pine Boulevard* • *North of Avenal Creek to South of Route 33* • *At Rock Creek Bridge*
Improvement:	Describes the work to be done. Include significant components of the improvement (in particular those that relate to conformity). • *Rehabilitate roadway.* • *Convert 4-lane expressway to 6-lane freeway with 2 HOV lanes.* • *Construct left turn lane.*
Example: In Bakersfield: Between 1st Street and Pine Boulevard; rehabilitate roadway.	

Transit - Capital Improvements

Description Formula: [(Location:) + (Limits) + (;) + (Improvement/Activity)]	
Location:	For work at spot locations for large (statewide) transit agencies: • 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". • *In Bakersfield:* • *North of Bakersfield* • 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. • *Lafayette BART Station* • *The Daly City Yard, adjacent to the Colma Station* • *San Joaquin Corridor* • 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). • *Construct station.* • *Construct a Child Care Facility* • *Track and signal improvements* Projects that apply to entire transit agency jurisdiction – describe activity • *Purchase of 59 buses - 12 MCI's and 47 Standard 40 ft buses (note if expansion or replacement)* • *Paratransit van leasing* • *Operating assistance for Sacramento Regional Transit*

Examples: North of Bakersfield, San Joaquin Corridor – Track and signal improvements.
Lafayatte 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 53), 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:

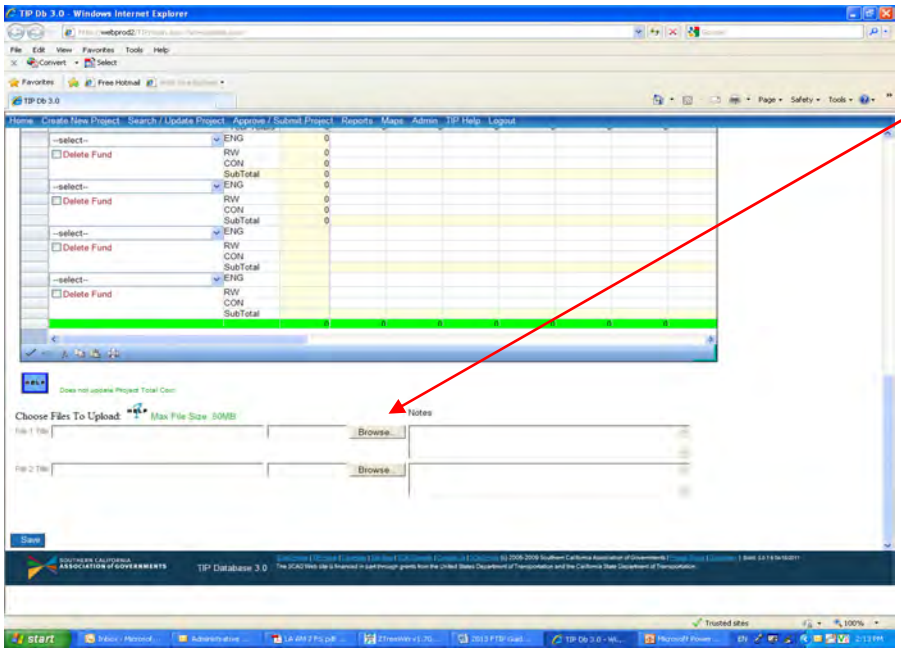
1. The Commissions will open the TCM Committed project in the database. Under the "TCM Comment" field, the Commissions will submit a comment indicating the reason for the proposed changes.
2. The FTIP staff will work with the Conformity staff to determine if the change will be accepted.
3. **If the change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

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

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 12/13 for ROW, the local match must also be programmed in FY 12/13 for ROW. Section 5 of this chapter provides links to common fund sources that can provide additional detail on local match requirements.

8. Programming Construction funds in multiple year

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 the new, split project originated from.

10. 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.
- Missing or incorrect RTP ID's.
- Project Status should be reviewed and updated.
- Submitting projects in an Administrative Amendment with 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.

11. 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 88 of these Guidelines under the title "TIP Database Codes". The standard Program Code format is illustrated below:

(1) The first 2 characters describe the general category or grouping of projects, e.g., AD = Administrative, CA = Capacity Enhancing, NC = Non-Capacity projects, etc.

(2) The third or middle character indicates whether the project is New (N), a Rehab/Improvement/Upgrade (R), Operating (O), Regionally Significant (X), or a Goods Movement (Y) project. The standard format does not apply to some of the general codes found in the top section of the Program Code list or to ITS, TDM and Grouped Projects codes found at the bottom of the Program Code list.

NC N 2 5 = Bike & Ped Facilities - New

(3) The last 2 characters help identify whether the project is exempt from emissions analysis, whether there is a TCM or non-motorized element as part of a larger project, etc. Program Codes (see table beginning on page 88) ending with numbers 0 through 49 generally represent federally exempt projects. Codes ending with H1 through H6 represent projects that require hot-spot analysis consideration. Codes ending with T0 through T9 indicate that there is a non-motorized or TCM component to the larger project (used in capacity and non-capacity highway/road projects)

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 Mgmnt **VE** = Vehicles **TR** = Transit project that applies across modes	**N** = New **R** = Rehabilitation, Improvement or Upgrade **O** = Operating or Operating Assistance **X** = Regionally Significant **Y** = Goods Movement *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.*	**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). **H1 through H6** = these six projects require hot-spot analysis consideration. **T0 through T9** = these larger Hwy/Road projects contain non-motorized or TCM aspects.

12. Change Reason Codes (required field)

All active projects in the 2011 FTIP will be carried over into the 2013 SCAG TIP database as "2011 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 2008	2008 FTIP CARRYOVER
C/O 2011	2011 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
LEAD CHG	LEAD AGENCY CHANGE
LIMIT CHG	LIMIT CHANGE
NEW COMB	NEW COMBINED PROJECT
NEW PAY	NEW PAYBACK PROJECT
NEW PRJ	NEW PROJECT

CHG_REASON CODES	DESCRIPTION
NEW PRJ ID	NEW PROJECT ID
NEW SPLIT	NEW SPLIT PROJECT
ON HOLD	HOLD STIP PROJECT
R/W CHG	RIGHT OF WAY CHANGE
SCH<	SCHEDULE ADVANCED
SCH>	SCHEDULE DELAY
SCOPE CHG	SCOPE CHANGE
SPLIT	SPLIT PROJECT
FUND INCR<	FUND INCREASE
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

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

13. 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 2013** county TIPs and when submitting amendments. This field is most often overlooked. For Federal Transit Administration (FTA) funded transit projects, use the "FTA TEAM Milestones Translation Table" to translate between FTA TEAM 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

FTA TEAM MILESTONE TRANSLATION TABLE	
TEAM MILESTONES	EQUIVALENT PROJECT STATUS CODES
Construction	
RFP/IFB OUT TO BID	5
CONTRACT AWARD	6
CONSTRUCTION BEGINS	7
CONSTRUCTION COMPLETE	8
CONTRACT COMPLETE	11

14. 100% Prior Projects

Projects that are programmed in the 2013 FTIP with all funds programmed prior to FY 11-12 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 2013 FTIP.

a. FTA Funds

In particular 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 10-11. These funds have not been awarded. If these funds are not carried over into the 2013 FTIP into FY 12-13, FY 13-14, FY 14-15, or FY 15-16; the grantee will be unable to secure a grant award until it is programmed in one of the years specified above. This 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.

15. 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:

Project Sheet
Project Listing
Comparison Report
Fund Summary

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

If a CTC 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.

16. 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 2013 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	*Administration/ Administrative Facilities*
ADM83	Administration
ADN55	Administrative Office(s)/Facility - New
ADR55	Administrative Office(s)/Facility - Rehab/Improvements
	Misc.
CHI50	Child Care Facility
FUL51	Fueling Stations
FUL52	Fueling Stations - Alternative Fuel
PLN40	Planning
ART48	Public Art Projects
SEC53	Security
SEC54	Security Equipment/Facilities
VE	*Vehicles*
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	
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
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

Capacity Enhancing Improvements (cont.)	
CAN61	Grade Separation - Capacity Enhancing: NON-REGIONALLY SIGNIFICANT
CAX61	Grade Separation - Capacity Enhancing: REGIONALLY SIGNIFICANT
CAY61	Grade Separation - Capacity Enhancing: GOODS MOVEMENT
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 SIGNIFCANT
CAXT2	Highway/Road Improvements-Lane Additions with Non-motorized and/or TCM Scope/Facilities: REGIONALLY SIGNIFICANT
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 SIGNFICANT
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
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
CAX69	New HOV Lane(s): REGIONALLY SIGNIFICANT
CAY69	New HOV Lane(s): GOODS MOVEMENT
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

Capacity Enhancing Improvements (cont.)	
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
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
Non-Capacity Improvements	
NCN21	Auxiliary Lane Not Through Next Intersection
NCN37	Auxiliary Lane Through Interchange
NCN25	Bicycle & Pedestrian Facilities - New
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

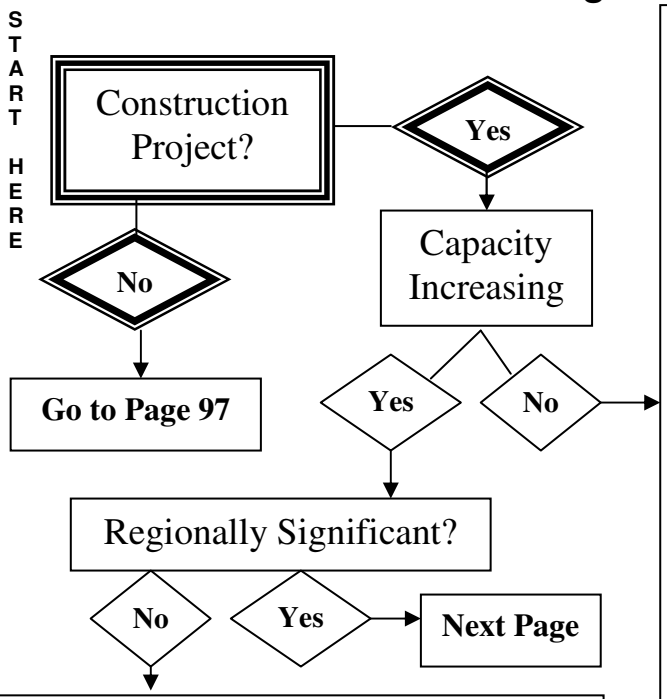
Non-Capacity Improvements (cont.)	
NCN95	Left Turn Lane(s)
NCN86	Maintenance/Storage Facility - New
NCR86	Maintenance/Storage Facility - Upgrade
NCN34	Median Barrier - New/ Add Median
NCR34	Median/ Median Barrier Upgrade
NCR87	Overcross or Undercross Improvements (No Lane Additions)
NCRT0	Overcross/Undercross 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
NCR88	Ramps - Modify
NCR77	Reversible lanes
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)
NCRT2	Upgraded Facilities (No Lane Additions) w/ Non-motorized and/or TCM Scope/Facilities
Revenue Operations and Capital	
TR	*Codes that Apply Across Bus and Rail Modes*
TRN06	Administrative Equipment - New
TRR06	Administrative Equipment - Upgrade/Rehabilitate
TRN08	Fare Equipment/Ticket Vending Machines
TRN07	Maintenance Equipment - New
TRR07	Maintenance Equipment - Upgrade
NCN86	Maintenance/Storage Facility - New
NCR86	Maintenance/Storage Facility - Upgrade
TRNH6	Passenger Stations/Facilities - New
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

Revenue Operations and Capital (cont.)	
BU	*Bus - (Fixed-Route and Intercity/Commuter Bus)*
BUO01	Bus - Capital Lease
BUO00	Bus Operations/Operating Assistance
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	*Commuter Rail (e.g., Metrolink)*
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	*Ferry Service*
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	*Light Rail*
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	*Paratransit*
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	*Rail (Intercity and Heavy Rail) (Subway)*
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
	Traffic Operations System Element Projects
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
TDM20	Ridesharing
TDM24	TDM Programs - non Ridematching & non Park & Ride
Grouped Project Listing Categories	
SH	*Caltrans SHOPP Projects*
SHP01	Operations
SHP02	Roadside Rehabilitation
SHP03	Roadway Rehabilitation
SHP04	Safety
LU	*Conformity Exempt Project Categories*
LUM01	Operational Improvements
LUM02	Rehabilitation and Reconstruction
LUM03	Safety
LUM04	Transportation Enhancement Activities (only eligible items)
LUM05	Truck Climbing Lanes (outside urbanized areas)

Guide to Program Code Selection

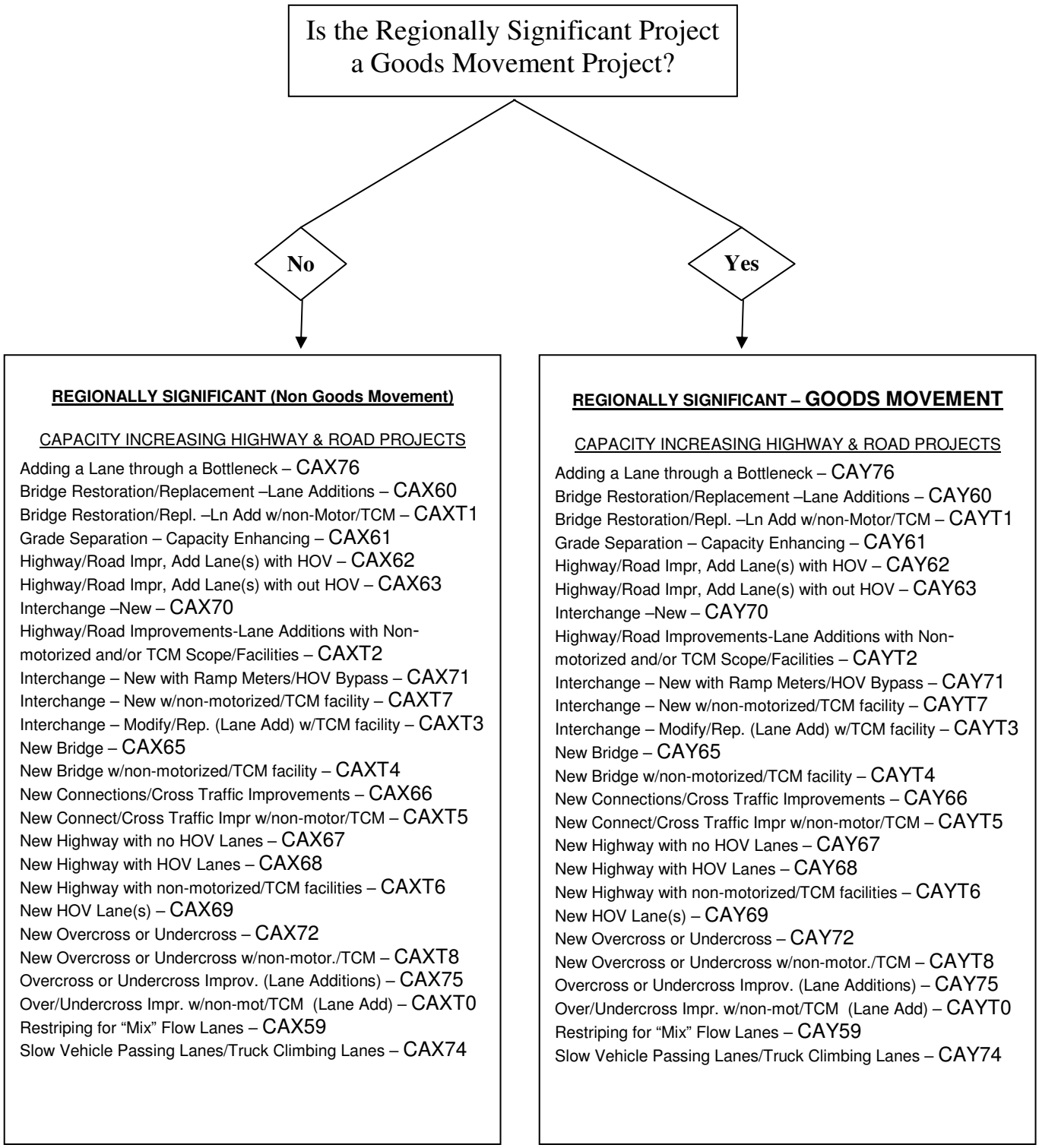


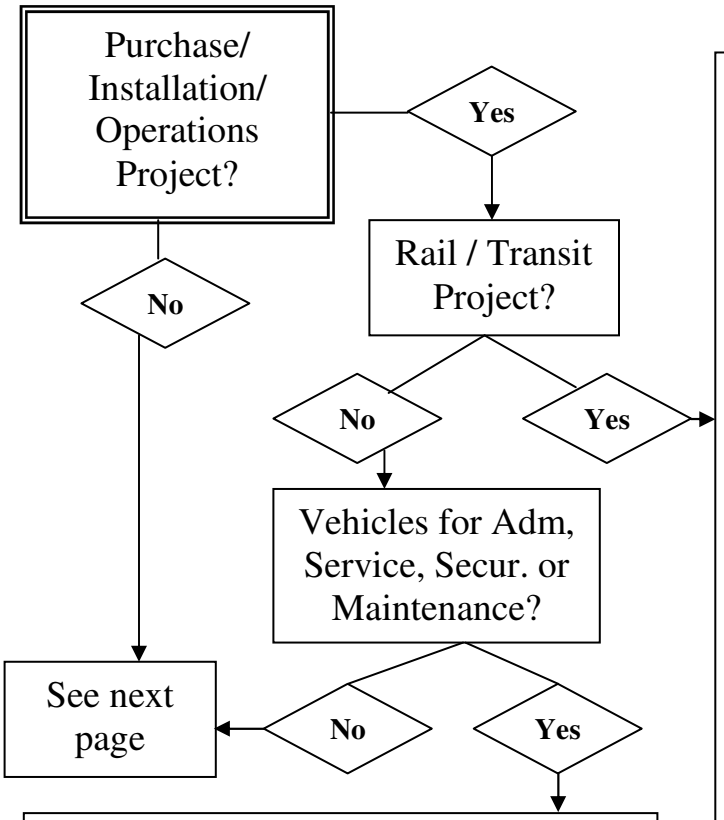
CAPACITY INCREASING HIGHWAY & ROAD PROJECTS

Adding a Lane through a Bottleneck – CAN76
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) with out 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 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
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
Bicycle & Pedestrian Facilities - Upgrade – NCR25
Bicycle Facility - New – NCN26
Bicycle Facility - 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
Fueling Stations - 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
Maintenance/Storage Facility -New – NCN86
Maintenance/Storage Facility -Upgrade – NCR86
Median Barrier/Add Median -New – NCN34
Median/Median Barrier -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
Pedestrian Facilities - Upgrade – NCR27
Public Art – ART48
Ramps -Modify – NCR88
Reversible lanes – NCR77
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
Sidewalks/Curb Cuts - Upgrade – NCR29
Slope/Drainage Improvements – NCR79
Sound Walls – NCR42
Storm Maintenance/Repair/Clearing – NCR49
Truck Size and Weight Inspection Stations – NCRH5
Turnouts – NCR90
Upgraded Facilities - no new travel lanes – NCR91
Upgraded Facilities w/non-motor/TCM – NCRT2


Is the Regionally Significant Project a Goods Movement Project?
No
Yes
REGIONALLY SIGNIFICANT (Non Goods Movement)
CAPACITY INCREASING HIGHWAY & ROAD PROJECTS
Adding a Lane through a Bottleneck – CAX76
Bridge Restoration/Replacement –Lane Additions – CAX60
Bridge Restoration/Repl. –Ln Add w/non-Motor/TCM – CAXT1
Grade Separation – Capacity Enhancing – CAX61
Highway/Road Impr, Add Lane(s) with HOV – CAX62
Highway/Road Impr, Add Lane(s) with out HOV – CAX63
Interchange –New – CAX70
Highway/Road Improvements-Lane Additions with Non-motorized and/or TCM Scope/Facilities – CAXT2
Interchange – New with Ramp Meters/HOV Bypass – CAX71
Interchange – New w/non-motorized/TCM facility – CAXT7
Interchange – Modify/Rep. (Lane Add) w/TCM facility – CAXT3
New Bridge – CAX65
New Bridge w/non-motorized/TCM facility – CAXT4
New Connections/Cross Traffic Improvements – CAX66
New Connect/Cross Traffic Impr w/non-motor/TCM – CAXT5
New Highway with no HOV Lanes – CAX67
New Highway with HOV Lanes – CAX68
New Highway with non-motorized/TCM facilities – CAXT6
New HOV Lane(s) – CAX69
New Overcross or Undercross – CAX72
New Overcross or Undercross w/non-motor./TCM – CAXT8
Overcross or Undercross Improv. (Lane Additions) – CAX75
Over/Undercross Impr. w/non-mot/TCM (Lane Add) – CAXT0
Restriping for "Mix" Flow Lanes – CAX59
Slow Vehicle Passing Lanes/Truck Climbing Lanes – CAX74
REGIONALLY SIGNIFICANT – GOODS MOVEMENT
CAPACITY INCREASING HIGHWAY & ROAD PROJECTS
Adding a Lane through a Bottleneck – CAY76
Bridge Restoration/Replacement –Lane Additions – CAY60
Bridge Restoration/Repl. –Ln Add w/non-Motor/TCM – CAYT1
Grade Separation – Capacity Enhancing – CAY61
Highway/Road Impr, Add Lane(s) with HOV – CAY62
Highway/Road Impr, Add Lane(s) with out HOV – CAY63
Interchange –New – CAY70
Highway/Road Improvements-Lane Additions with Non-motorized and/or TCM Scope/Facilities – CAYT2
Interchange – New with Ramp Meters/HOV Bypass – CAY71
Interchange – New w/non-motorized/TCM facility – CAYT7
Interchange – Modify/Rep. (Lane Add) w/TCM facility – CAYT3
New Bridge – CAY65
New Bridge w/non-motorized/TCM facility – CAYT4
New Connections/Cross Traffic Improvements – CAY66
New Connect/Cross Traffic Impr w/non-motor/TCM – CAYT5
New Highway with no HOV Lanes – CAY67
New Highway with HOV Lanes – CAY68
New Highway with non-motorized/TCM facilities – CAYT6
New HOV Lane(s) – CAY69
New Overcross or Undercross – CAY72
New Overcross or Undercross w/non-motor./TCM – CAYT8
Overcross or Undercross Improv. (Lane Additions) – CAY75
Over/Undercross Impr. w/non-mot/TCM (Lane Add) – CAYT0
Restriping for "Mix" Flow Lanes – CAY59
Slow Vehicle Passing Lanes/Truck Climbing Lanes – CAY74



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 – FERG16

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 - 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 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 – BURGS16
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

ITS and General Items

Intelligent Transportation Systems

Real Time Transit/Rail Notification System – ITS01
Signal Synchronization – ITS02
System-wide Smart Fare Card and Equipment – ITS03
Traffic Management/Operations Centers – ITS04
Changeable Message Signs (CMS) – ITS05
Closed Circuit Televisions (CCTVs) – ITS06
Control Stations (CS) / Weigh in Motion (WIM) Sta – ITS07
Fiber Optic Communications – ITS08
Ramp Metering Systems/Bypass Lanes – ITS09
System-wide Signal Preemption – ITS10
Signal Video Enforcement – ITS11
Traveler/Motorist Information Systems/ Adv. Radios – ITS12
Vehicle Detection (VDS)/Automated Veh.(AVC) Sys – ITS13
Various ITS/TOS System Elements – ITS14

General Items

Land Acquisition – NCN84
Land Acquisition – Abandoned Railway – NCN85
Land Acquisition for Scenic Easement – NCN45
Passenger Benches & Small Shelters – NCR10
Planting/Landscaping – NCN46
Planting/Landscaping Restoration – NCR46
Public Art – ART48
Security – SEC53
Security Equipment – SEC54
Signal(s) – at intersections (non-synchronized) – NCNH2
Street Lights – NCR35

Administrative/ Planning/ TDM/ Grouped Projects

Adm/Planning/TDM

Administration, Admin Activities – ADM83
Planning (including Env Doc and PSE) – PLN40
Ridesharing (ridematching) – TDM20
TDM Programs (non-ridematching) – TDM24
Park & Ride Lot - New – TDN64
Park & Ride Lot - Modify/Upgrade – TDR64

Grouped Project Listing Categories

Caltrans SHOPP Projects

Operations – SHP01
Roadside Rehabilitation – SHP02
Roadway Rehabilitation – SHP03
Safety – SHP04

Conformity Exempt Project Categories

Operational Improvements – LUM01
Rehabilitation and Reconstruction – LUM02
Safety – LUM03
Transp. Enhancement Act. (Elig. items) – LUM04
Truck Climbing Lanes (outside Urb. Area) – LUM05

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.

CONFORMITY CATEGORY
EXEMPT - §93.126
EXEMPT - §93.127
EXEMPT - §93.128
NON-EXEMPT
NON-FEDERAL / NON-REGIONAL
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 CTC's 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 headquarters before they can be added to the database. The form may be downloaded from the TIP Database homepage.

http://rtmisweb.scag.ca.gov/RTIP/login.aspx?logout=1

DIVISION OF LOCAL ASSISTANCE PROCEDURES
TO REQUEST LOCAL AGENCY LOCODE / MASTER AGREEMENT(S)

1. Local Agency requests Division of Local Assistance (DLA) LOCODE & Master Agreement through DLAE.
2. DLAE to verify that DLA LOCODE/Master Agreement are necessary and applicable at this time
   - Check LP2000 Database to confirm that Local Agency LOCODE / Master Agreement do not already exist
   - Check FTIP/STIP to confirm that DLA federal/State funds are programmed for project
   - If a transit agency is making the request, can programmed FHWA federal funds be transferred to FTA?
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 a Master Agreement with a private entity 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 CTC allocations, if any.
     - DLA recommends private 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 Master Agreements
4. If DLAE concurs with request:
   - DLAE to instruct Local Agency to complete and return the attached DLA "LOCODE Request Form"
   - DLAE to submit completed DLA “LOCODE Request Form” to:
     Sunate Vongjesda
     Senior Transportation Engineer
     Office of Project Implementation
     Division of Local Assistance
5. Caltrans DLA to Request an audit of Local Agency by Caltrans Audits & Investigation (A&I)
   - 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 DLA and A&I in prioritizing work additional information may be requested from the local agency such as:
     - Type of agency?
     - How long has 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. Upon DLA concurrence to issue a LOCODE / Master Agreement to the new Agency:
   - Local Agency may request Master Agreement be generated immediately (for review by their legal counsel) or issued concurrently with project specific program supplement agreement.

DIVISION OF LOCAL ASSISTANCE "LOCODE REQUEST FORM"

Please assign a LOCODE for the following agency (before implementing its project).

Agency Name: _____

Agency Mailing Address: _

_____

_____

Attention Person (if any) and Title: _____

Agency Phone Number: _____

Agency FAX 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: _____

Local Agency Request by:

Date: _____

Name: _____

Address: _____

_____

_____

Phone No.: _____

Fax No. _____

E-Mail Address:_____

DLAE: Send completed LOCODE Request Form to:

Sunate Vongjesda
Department of Transportation
Division of Local Assistance, MS1
Project Implementation, North
1120 N Street, Sacramento, CA 95814, or

P.O. Box 942874, Sacramento, CA 94274-0001

Phone: ..... (916) 651-6872
Fax:..... (916) 653-7621
E-Mail Address: .... sunate_vongjesda@dot.ca.gov

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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 fund sources are from the Safe, Accountable, Flexible, Efficient, Transportation Equity Act, a Legacy for Users (SAFETEA-LU). These fund sources and stipulations that govern eligibility are subject to change depending on the outcome of the next transportation bill reauthorization.

Surface Transportation Program (STP)
http://www.fhwa.dot.gov/safetealu/factsheets/stp.htm

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. Funds are distributed to state by formula and are allocated to the regions with 50% of funds to the Regional Transportation Planning Authorities (RTPAs), 40% to the State Highway Operations and Protection Program (SHOPP), and 10% to Transportation Enhancements (TE).

Congestion Mitigation and Air Quality Program (CMAQ)
http://www.fhwa.dot.gov/environment/cmaq08gm.htm

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. Projects that are eligible for CMAQ funding include High Occupancy Vehicle (HOV) lanes, bicycle and pedestrian facilities, and fleet expansion vehicles for public transit agencies.

Highway Bridge Program
http://www.fhwa.dot.gov/bridge/hbrrp.htm

The Highway Bridge Program (formerly known as the Highway Bridge Replacement and Rehabilitation program) improves the safety of bridges by providing a discretionary fund source that finances preventative maintenance, seismic retrofits, bridge repair and replacement, and, on occasion, increasing bridge capacity where warranted.

Interstate Maintenance (IM)
http://www.fhwa.dot.gov/discretionary/imd2011info.htm

The Interstate Maintenance discretionary program is used for resurfacing, restoration, rehabilitation, and reconstruction on the Interstate Highway system. Funds can also be used to increase capacity on highways.

National Highway System (NHS)
http://www.fhwa.dot.gov/safetealu/factsheets/nhs.htm

National Highway System (NHS) funds are used to fund state highway projects. Projects include improvements to urban and rural roads.

Transportation, Community, and System Preservation Program (TCSP)
http://www.fhwa.dot.gov/discretionary/tcsp2011info.htm

The purpose of the Transportation, Community, and System Preservation Program (TCSP) is to plan and implement strategies and goals that reduce the impact of transportation on the environment, reduce the need for costly repair of the transportation network, ensure that access is provided to areas of employment, and to ultimately encourage private entities to support and develop areas around the goals of this program.

Highway Safety Improvement Program (HSIP)
http://safety.fhwa.dot.gov/hsip/gen_info/

The Highway Safety Improvement Program provides funding for projects that improve safety on highways and local roads, given that the State has adopted a Strategic Highway Safety Plan before October 1, 2007. HSIP is separated into four separate programs: safety improvements (HES), highway-railway crossings (HRX), safe routes to school (SR2S), and high risk rural roads (HRRR).

High Priority Projects Program (SAFETEA-LU Demonstration Projects)
http://www.fhwa.dot.gov/safetealu/factsheets/highpriproj.htm

High Priority Projects are discretionary funds strictly intended for projects and activities identified in the transportation bill (SAFETEA-LU). These funds are flexible as long as the projects fall within certain criteria as mentioned in the transportation bill. Funding is available until expended.

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 (CTC) 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

Section 5307
http://www.fta.dot.gov/funding/grants/grants_financing_3561.html

Section 5307 funds are one of the primary sources of revenue for transit agencies. For transit agencies in an Urbanized Area (UZA) with population of 200,000 or more, 5307 funds can only finance capital projects. For transit agencies in a UZA with a population of less than 200,000, funding can be utilized for operating assistance.

Section 5309(a) Fixed Guideway Modernization
http://www.fta.dot.gov/funding/grants/grants_financing_3558.html

Section 5309 Fixed Guideway Modernization funds are formula funds for transit services that operate exclusively on rail or dedicated right-of-way (i.e. heavy rail, commuter rail, light rail, monorail, trolleybus, aerial tramway, inclined plane, cable car, automated guideway transit, ferryboats, that portion of motor bus service operated on exclusive or controlled rights-of-way, and high-occupancy-vehicle (HOV) lanes. Funds are used for capital projects that improve existing service and facilities which include purchase and rehabilitation of rolling stock, track, line equipment, structures, signals and communications, power equipment and substations, passenger stations and terminals, security equipment and systems, maintenance facilities and equipment, operational support equipment including computer hardware and software, system extensions, and preventive maintenance.

Section 5309(b) New Starts and Small Starts
http://www.fta.dot.gov/funding/grants/grants_financing_3559.html

The New Starts and Small Starts program is a discretionary source used to construct new or extend existing fixed-guideway service. New Starts and Small Starts each have separate criteria that determine which projects can be funded with these discretionary programs.

Section 5309(c) Bus and Bus Facilities
http://www.fta.dot.gov/funding/grants/grants_financing_3557.html

The Bus and Bus Facilities program is a discretionary fund source that is available for the purchase of new or replacement vehicles, equipment, or bus facilities. Projects are announced annually with the release of the Federal Register.

Section 5310 Transportation for Elderly Persons and Persons with Disabilities
http://www.fta.dot.gov/funding/grants/grants_financing_3556.html

Section 5310 are formula funds available to the State to assist private, non-profit groups in the provision of transit services for individuals that live in areas where service is insufficient or nonexistent. The State develops and submits a statewide application and program of projects that meet federal requirements for the provision of service. Funding is strictly for capital projects.

Section 5311 Non-UZA
http://www.fta.dot.gov/funding/grants/grants_financing_3555.html

Section 5311 is a formula program that funds projects that are outside the UZA which are typically rural areas. The funds can be used for both capital projects and operating assistance.

Section 5316 Jobs Access Reverse Commute (JARC)
http://www.fta.dot.gov/funding/grants/grants_financing_3550.html

The Jobs Access Reverse Commute (JARC) program is primarily used to fund planning, capital activities, or operating assistance to transit agencies that provide service for low income individuals traveling to and from employment centers. Transit operators and non-profit agencies are eligible for this fund source.

Section 5317 New Freedom
http://www.fta.dot.gov/funding/grants/grants_financing_3549.html

New Freedom funds are used to fund capital and operating expenses for transit services for persons with disabilities. Both public transit and non-profit transit agencies are eligible to apply for these formula funds.

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% of the available funds while Caltrans proposes programs for the remaining 25%. Fund estimates are released on 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 transit demand does not exist, funds can be used for roads. Agencies typically use these funds as local match for FTA funds that have a match requirement.

Traffic Congestion Relief Program (TCRP)
http://www.dot.ca.gov/hq/transprog/ocip.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

(Website not available)

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. 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.

Toll Credits

http://www.dot.ca.gov/hq/LocalPrograms/DLA_OB/DLA-OB-10-09_Rev.pdf

Toll credits have become a tool that the County Transportation Commissions can use to fund a project phase using 100% federal funds. Toll credits remove the burden of providing a local match that is often required by federal fund sources. While toll credits act as the local match, toll credits do not represent additional revenue. Instead federal funding is used in lieu of local dollars. Federal fund sources that are eligible to use toll credits as a local match are RSTP, CMAQ, Demonstration Projects from the ISTEA, TEA-21, and SAFETEA-LU, and FTA Sections 5307, 5310, 5311, 5316, and 5317. If a highway project is utilizing toll credits, the CTCs must indicate that “toll credits” will be used as a match. If transit funds are using toll credits as a match, the CTCs must indicate that “Transportation Development Credits” will be used as a match. Currently, using toll credits as a local match is allowed for FY 2010 and FY 2011 and is subject to change due to reauthorization or other extenuating factors.

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	5207	INTELLIGENT TRANS SYS
All	5307	FTA 5307 UZA FORMULAR
All	5307-OP	FTA 5307-OPERATING
All	5307-TR	FTA 5307 (FHWA TRANSFER FUNDS)
All	5308	CLEAN FUEL FORMULA
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	5311	FTA 5311 NON-UZA
All	5313	STATE PLNG AND RESEARCH
All	5316	FTA 5316 JOB ACCESS PROGRAM
All	5317	FTA 5317 NEW FREEDOM PROGRAM
All	5339	FTA 5339 ALTERNATIVES ANALYSIS PROGRAM
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	AR-5307	ARRA - FTA 5307
All	AR-5309	ARRA - FTA 5309
All	AR-5311	ARRA - FTA 5311
All	AR-FLH	ARRA - FEDERAL LANDS HIGHWAYS PROGRAM
All	AR-FRA	ARRA Federal Railroad Administration
All	AR-RSTP	ARRA - REGIONAL SURFACE TRANSPORTATION PROGRAM
All	AR-STP	ARRA - SURFACE TRANSPORTATION PROGRAM
All	AR-TE-S	ARRA - STATE TRANSPORTATION ENHANCEMENT
All	ARRA-HM	ARRA - HIGHWAY MAINTENANCE (HM)
All	ARRA-SH	ARRA - SHOPP
All	ARRA-TE	ARRA - TRANSPORTATION ENHANCEMENT
All	ARRAIIP	ARRA - STIP IIP
All	ARRARIP	ARRA - STIP RIP
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

County	Fund Type	Fund Type Description
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 - ISTEA
All	DEMO	DEMO-PRE ISTEA
All	DEMOSTL	DEMO-SAFETEA-LU
All	DEMOT21	DEMO - TEA 21
All	DEV FEE	DEVELOPER FEES
All	DOC	DEPT COMMERCE
All	DOD	DEFENSE FUNDS
All	ECREC	ECONOMIC RECOVERY
All	ECREC-T	ECONOMIC RECOVERY - TRANSIT
All	EDA	EDA GRANT
All	ER-LOC	EMERGENCY RELIEF - LOCAL
All	ER-S	EMERGENCY RELIEF - STATE
All	FARE	FARE REVENUE
All	FEE	FEE
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 - ADAVANCE CONSTRUCTION CONVERSIO
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	I	INTERSTATE
All	IM	INTERSTATE MAINTENANC
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	IS	INTERSTATE SUBSTITUT
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

County	Fund Type	Fund Type Description
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 MODERINAZATION 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 Cons
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

County	Fund Type	Fund Type Description
All	STP-IIP	SURFACE TRANS PROG - IIP
All	STP-RIP	SURFACE TRANS PROG - RIP
All	STP4818	SURFACE TRANS PROG - HR4818
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-L	STP RAILROAD LOCAL
All	STPR-S	STP RAILROAD
All	STPSHOP	SURFACE TRANS PROG-SHOPP
All	STSHOPPP	STATE CASH-SHOPP PRIOR
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	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	2006EAR	FFY 2006 APPROPRIATIONS EARMARKS
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	CRD	CRD-77J0
LA	DBR	BRIDGE DISCRETIONARY - REPLACEMENT/REHABILITATION
LA	DEMOACE	DEMO - SAFETEA LU ACE
LA	DS-NH-G	GARVEE DEBT SERVICE PAYMENT
LA	IBRC	INNOVATIVE BRIDGE RESEARCH AND CONSTRUCTION PROGRAM
LA	IM-EAR	INTERSTATE MAINTENANC - EARMARK
LA	LBSRA	LOCAL BRIDGE SEISMIC RETROFIT ACCOUNT
LA	MEA_R	MEASURE R

County	Fund Type	Fund Type Description
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 C"40" 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	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	2006EAR	FFY 2006 APPROPRIATIONS EARMARKS
ORA	5307LA	LOS ANGELES/LONG BEACH/SANTA ANA URBANIZED AREA
ORA	5307MV	MISSION VIEJO URBANIZED AREA
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

County	Fund Type	Fund Type Description
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	2006EAR	FFY 2006 APPROPRIATIONS EARMARKS
RIV	5311 PR	FTA 5311 NON UZA - PRIOR OBL
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	2006EAR	FFY 2006 APPROPRIATIONS EARMARKS
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

County	Fund Type	Fund Type Description
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
VEN	PTA-RIP	PUBLIC TRANSIT ACCOUNT - RIP
VEN	SEC115	SECTION 115
VEN	STCASHP	STATE CASH - PRIOR STIP
VEN	STPE-P	STP-ENTRANCEMENT PRIOR STIP
VEN	STPE-S	STP ENHANCE-SHOPP TEA

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Amendments and Administrative Modifications

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VI. 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 2013 FTIP (expected to be in December 2012). CTC's 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 118-119 of this chapter for a description of the documents required for an FTIP Amendment/Administrative Modification 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 2013 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 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 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 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.
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 FT A 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 of23 CFR 450.326 for each metropolitan area in the State, and in accord with the provisions of23 CFR 450.216 for the non-metropolitan area.

3. Procedures:

a. Administrative Modifications:

<u>MPOs with approval delegation from Caltrans</u>

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, FHW A, and FTA. The MPO must send copies of the approved administrative modification to Caltrans, FHW A, 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.

<u>MPOs without approval delegation from Caltrans</u>

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, FHW A, and FT A. The MPO must send copies of the administrative modification to Caltrans, FHW A, and FT A. 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 FHW A and FT A 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 450, and approved by FHW A and/or FT A in accordance with 23 CFR 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 FHW A and FTA at the same time the amendment is sent to Caltrans. Once approved by Caltrans, the amendment will be forwarded to FHW A 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
- 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; 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 CTC approval; were additional funds obtained; was there a schedule delay, a delay in getting approvals, materials, and/or funding sources; are new projects; programming, etc. being added? If so why, how much?)

2011 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				

2011 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				

2011 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 demonstrates how each County TIP can be implemented in a fiscally constrained manner consistent with the RTP.

- 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 2013 County TIPs, administrative modifications and amendments. A description of the requirements for developing the Financial Plan is provided on page 123 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, CTC item or memo number for projects that require CTC action), documentation for additions or changes to funding sources, Grouped Project Listing, etc,) is needed for any changes to the project in the amendment including:

- Change in programming year
- Change in funding amount
- Change in fund source – Why did it change? CTC approval?

v. Project Listing and Grouped Project Listing

- Grouped Project Listing

  CTCs are responsible for listing all projects and amounts associated with grouped projects. Grouped project lists are due with the County TIP submittals and amendments. The projects within the group will be evaluated for eligibility by SCAG, Caltrans and FHWA/FTA staff. Grouped project lists are required by Caltrans and FHWA/FTA for approval of 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 63 of these Guidelines.
- 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 insure 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 starts amendment analysis
- Staff analyzes each field that changed in the proposed amendment
- 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
  4. Clear reason for cost increases over 40% or $10 million (amendment only)
  5. Back-up documentation is provided for changes in funding
- Analyze new projects for a clear project scope and determine 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
- Analyze 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 determine that the proposed state (STIP, SHOPP, HBP) and/or federal funds are approved by the respective agency
- Analysis of County Financial Plan Summary
- Insure 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

Products Posted on the SCAG web site (http://www.scag.ca.gov/rtip/) for public review of formal amendments include:

- County amendment comparison reports
- Conformity determination
- Conformity determination project listing
- SCAG Regional Financial Summary
- Public Notice for 15 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: Administrative modifications do not require formal posting.

7. Public Participation Requirements

SAFETEA-LU has provided two definitions of amendments. 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 SAFETEA-LU, includes minor changes to project cost, schedule, scope, or funding sources. Please see the Procedures for Federal Statewide Transportation Program (FSTIP) Modifications for a complete definition of administrative modifications.

Category 2. Formal Amendment – Changes that do not impact the existing conformity determination.
The category of formal amendments may include project cost changes that are greater than 25 percent of the total project cost or $5 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 following table:

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	15
Category 3. Formal - Relying on existing conformity determination	No	15
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 2011 FTIP cycle there will be a monthly FTIP update alternating between administrative modifications and amendments. The updated schedule will be available in the spring of 2012.

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Financial Plan

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VII. FINANCIAL PLAN

A. Financial Plan Required Documentation

SAFETEA-LU 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.

SAFETEA-LU expired on October 1, 2009 and there will either be a new authorization bill or another SAFETEA-LU continuing resolution until a new authorization bill is approved by Congress and the President. Consequently, the SAFETEA-LU continuing resolution, or the new authorization bill will be the controlling document for financial constraint regulations for the 2013 FTIP and 2013 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 would 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 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 (including all regionally significant projects, regardless of funding source) along with the financial resolution certification presented on page 28 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, especially in the first four years.

The CTC's 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 2013 SCAG FTIP. The Financial Plan is comprised of the following items (all due to SCAG with County TIPs):

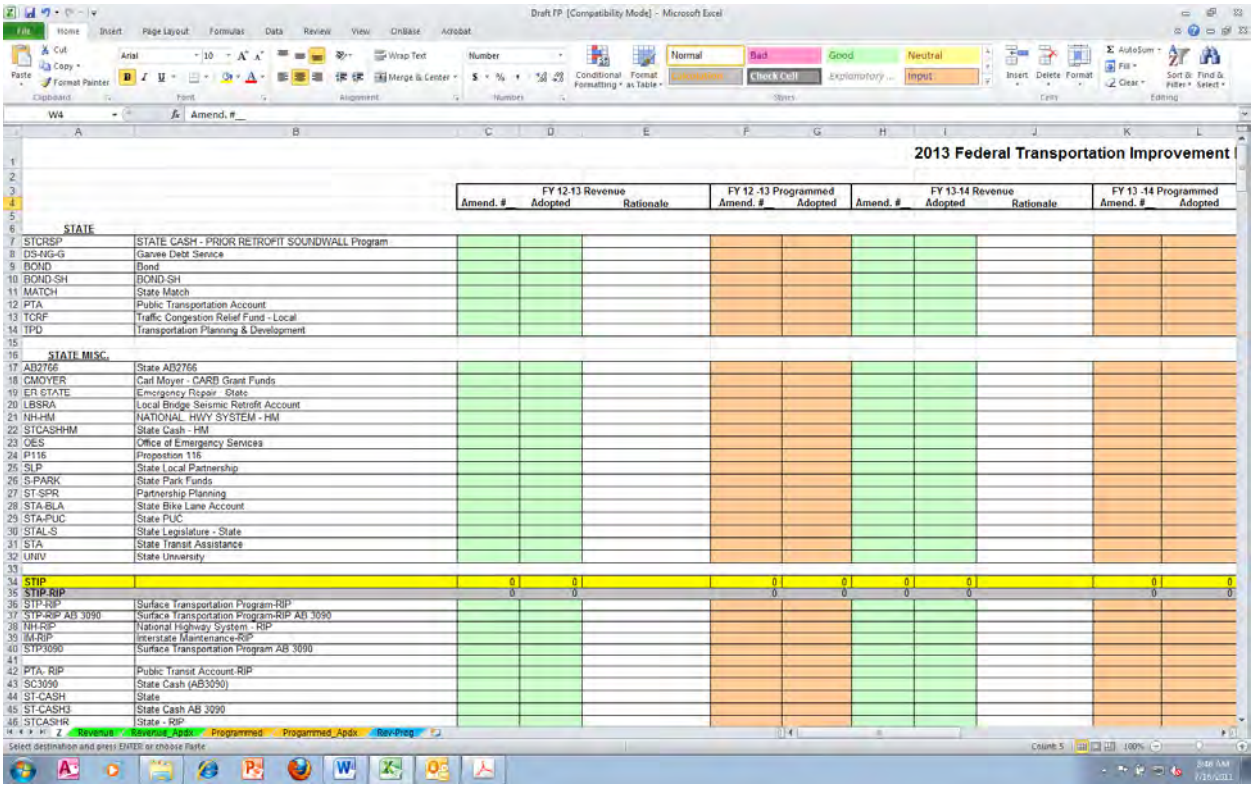
1. **General Statement of Compliance:** A statement indicating compliance with requirements explained in the first five paragraphs of Section VII.A.. (above) This statement can be provided as part of the cover letter and/ or the certifying Resolution. A discussion of special circumstances and other items to highlight 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 28 of these Guidelines.

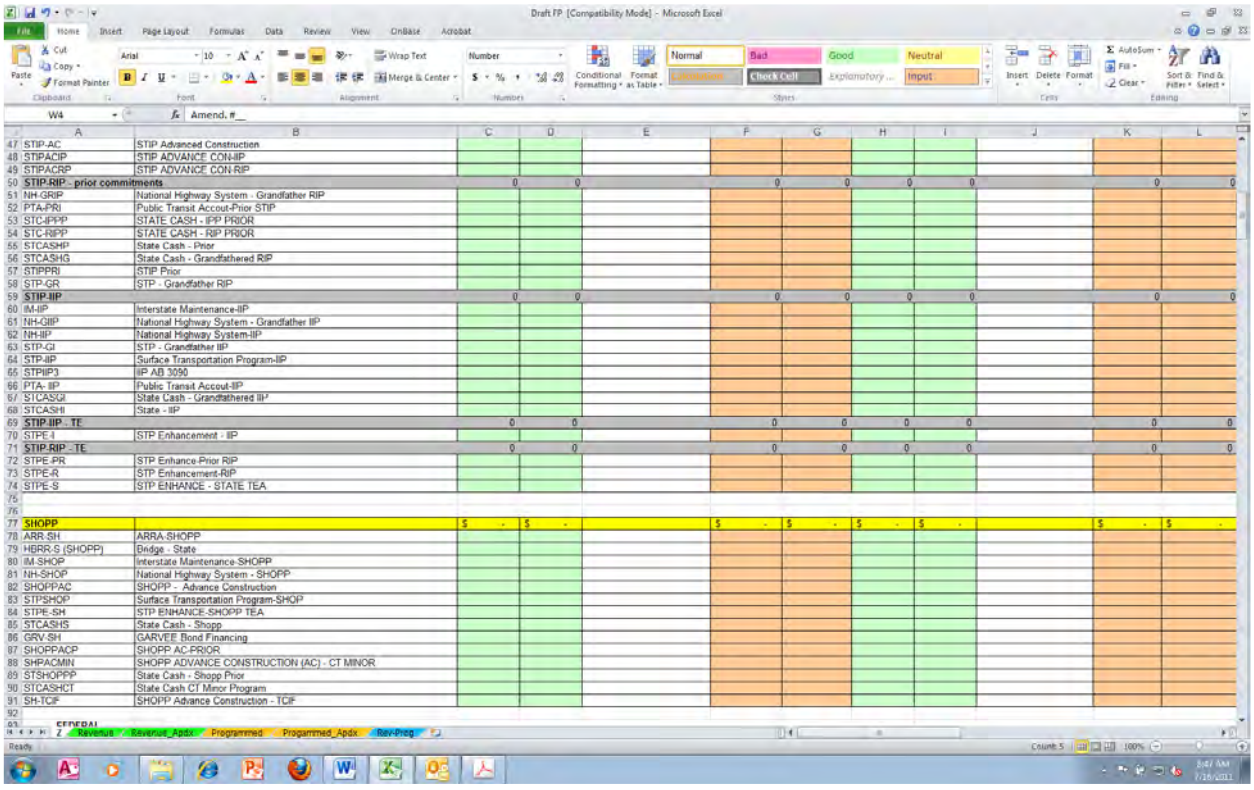
3. **Revenue and Expenditure Worksheet (Spreadsheet):** Funding agencies require that the FTIP and amendments to the FTIP include a worksheet of revenues and programmed amounts by fund source for the first four years. Listed below is a portion of the table to be completed by the CTCs for the required Caltrans' worksheet. For 2013 FTIP Amendments, the CTCs should include a brief explanation in the Rationale cell if there is **any** change in the revenues and attach the appropriate documentation to back up the explanation for the revenue change. CTC's should also provide explanations and attach the appropriate documentation for any fund source revenue changes. Any over-programming should have a justification and "footnoted" in the worksheet or separately as an attachment to the worksheet. 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 2012-2013 and 2013-2014. An example of programming activities includes a call for projects or formula distributions of certain fund sources within the county.

Portion of the spreadsheet completed by the CTCs



		FY 12-13 Revenue Amend. #	Adopted	Rationale	FY 12 -13 Programmed Amend. #	Adopted	FY 13-14 Revenue Amend. #	Adopted	Rationale	FY 13 -14 Programmed Amend. #	Adopted
	STATE										
STCRSP	STATE CASH - PRIOR RETROFIT SOUNDWALL Program										
DS-NG-G	Garvee Debt Service										
BOND	Bond										
BOND-SH	BOND-SH										
MATCH	State Match										
PTA	Public Transportation Account										
TCRF	Traffic Congestion Relief Fund - Local										
TPD	Transportation Planning & Development										
	STATE MISC.										
AB2766	State AB2766										
CMOYER	Carl Moyer - CARB Grant Funds										
ER STATE	Emergency Repair - State										
LBSRA	Local Bridge Seismic Retrofit Account										
NH-HM	NATIONAL HWY SYSTEM - HM										
STCASHHM	State Cash - HM										
OES	Office of Emergency Services										
P116	Proposition 116										
SLP	State Local Partnership										
S-PARK	State Park Funds										
ST-SPR	Partnership Planning										
STA-BLA	State Bike Lane Account										
STA-PUC	State PUC										
STAL-S	State Legislature - State										
STA	State Transit Assistance										
UNIV	State University										
STIP		0	0		0	0	0	0		0	0
STIP-RIP		0	0		0	0	0	0		0	0
STP-RIP	Surface Transportation Program-RIP										
STP-RIP AB 3090	Surface Transportation Program-RIP AB 3090										
NH-RIP	National Highway System - RIP										
IM-RIP	Interstate Maintenance-RIP										
STP3090	Surface Transportation Program AB 3090										
PTA- RIP	Public Transit Account-RIP										
SC3090	State Cash (AB3090)										
ST-CASH	State										
ST-CASH3	State Cash AB 3090										
STCASHR	State - RIP										



STIP-AC	STIP Advanced Construction										
STIPACIP	STIP ADVANCE CON-IIP										
STIPACRP	STIP ADVANCE CON-RIP										
STIP-RIP - prior commitments		0	0		0	0	0	0		0	0
NH-GRIP	National Highway System - Grandfather RIP										
PTA-PRI	Public Transit Accout-Prior STIP										
STC-IPPP	STATE CASH - IPP PRIOR										
STC-RIPP	STATE CASH - RIP PRIOR										
STCASHP	State Cash - Prior										
STCASHG	State Cash - Grandfathered RIP										
STIPPRI	STIP Prior										
STP-GR	STP - Grandfather RIP										
STIP-IIP		0	0		0	0	0	0		0	0
IM-IIP	Interstate Maintenance-IIP										
NH-GIIP	National Highway System - Grandfather IIP										
NH-IIP	National Highway System-IIP										
STP-GI	STP - Grandfather IIP										
STP-IIP	Surface Transportation Program-IIP										
STPIIP3	IIP AB 3090										
PTA- IIP	Public Transit Accout-IIP										
STCASGI	State Cash - Grandfathered IIP										
STCASHI	State - IIP										
STIP-IIP - TE		0	0		0	0	0	0		0	0
STPE-I	STP Enhancement - IIP										
STIP-RIP - TE		0	0		0	0	0	0		0	0
STPE-PR	STP Enhance-Prior RIP										
STPE-R	STP Enhancement-RIP										
STPE-S	STP ENHANCE - STATE TEA										
SHOPP		$ -	$ -		$ -	$ -	$ -	$ -		$ -	$ -
ARR-SH	ARRA-SHOPP										
HBRR-S (SHOPP)	Bridge - State										
IM-SHOP	Interstate Maintenance-SHOPP										
NH-SHOP	National Highway System - SHOPP										
SHOPPAC	SHOPP - Advance Construction										
STPSHOP	Surface Transportation Program-SHOP										
STPE-SH	STP ENHANCE-SHOPP TEA										
STCASHS	State Cash - Shopp										
GRV-SH	GARVEE Bond Financing										
SHOPPACP	SHOPP AC-PRIOR										
SHPACMIN	SHOPP ADVANCE CONSTRUCTION (AC) - CT MINOR										
STSHOPPP	State Cash - Shopp Prior										
STCASHCT	State Cash CT Minor Program										
SH-TCIF	SHOPP Advance Construction - TCIF										

The required Caltrans' Revenue and Expenditure Worksheets

TABLE 1: REVENUE

Model County
2012/13-2015/16 Federal Transportation Improvement Program
Adoption
($'s in 1,000)

	Funding Source	NOTES	4 YEARS (FSTIP Cycle)								CURRENT TOTAL
			2012/13		2013/14		2014/15		2015/16		
			Amendment		Amendment		Amendment		Amendment		
			Prior No.	Current No.	Prior No.	Current No.	Prior No.	Current No.	Prior No.	Current No.	
LOCAL	**Sales Tax**										
	-- City										
	-- County										
	Gas Tax										
	-- Gas Tax (Subventions to Cities)										
	-- Gas Tax (Subventions to Counties)										
	Other Local Funds										
	-- County General Funds										
	-- City General Funds										
	-- Street Taxes and Developer Fees										
	-- RSTP Exchange funds										
	Transit										
	-- Transit Fares										
	Tolls (e.g. non-state owned bridges)										
	Other (See Appendix 1)										
	Local Total										
REGIONAL	**Tolls**										
	-- Bridge										
	-- Corridor										
	Regional Transit Fares/Measures										
	Regional Sales Tax										
	Regional Bond Revenue										
	Regional Gas Tax										
	Vehicle Registration Fees (CARB Fees, SAFE)										
	Other (See Appendix 2)										
	Regional Total										
STATE	**State Highway Operations and Protection Program**										
	SHOPP (Including Augmentation)										
	SnOPP Prior										
	State Minor Program										
	State Transportation Improvement Program										
	STIP (Including Augmentation)										
	Transportation Enhancement										
	STIP Prior										
	Transportation Enhancement										
	Proposition 1 A										
	Proposition 1 B										
	GARVEE Bonds (Includes Debt Service Payments)										
	Highway Maintenance (HM)										
	Traffic Congestion Relief Program (TCRP)										
	State Transit Assistance (STA)(e.g., population/revenue based, Prop 42)										
	Safe Routes to School (SR2S)										
	State Emergency Repair Program										
	Other (See Appendix 3)										
	State Total										
FEDERAL TRANSIT	5307 - Urbanized Area Formula Program										
	5308 - Clean Fuel Formula Program										
	5309a - Fixed Guideway Modernization										
	5309b - New and Small Starts (Capital Investment Grants)										
	5309c - Bus and Bus Related Grants										
	5310 - Elderly & Persons with Disabilities Formula Program										
	5311 - Nonurbanized Area Formula Program										
	5311c - Public Transportation on Indian Reservation										
	5311f - Intercity Bus										
	5316 - Job Access and Reverse Commute Program										
	5317 - New Freedom										
	5320 - Transit in the Parks										
	FTA Transfer from Prior FTIP										
	Other (See Appendix 4)										
	Federal Transit Total										
FEDERAL HIGHWAY	Bridge Discretionary Program										
	Congestion Mitigation and Air Quality (CMAQ)										
	Coordinated Border Infrastructure (SAFETEA-LU Sec.1303)										
	Corridor Infrastructure Improvement Program (SAFETEA-LU Sec. 1302)										
	Federal Lands Highway										
	Ferry Boat Discretionary										
	High Priority Projects (HPP) and Demo										
	High Risk Rural Road (HRRR)										
	Highway Bridge Program (HBP)										
	Highway Safety Improvement Program (HSIP)										
	National Scenic Byways Program										
	Projects of National/Regional Significance (SAFETEA-LU Sec. 1301)										
	Public Lands Highway										
	Railway (Section 130)										
	Recreational Trails										
	Safe Routes to School (SRTS) (SAFETEA-LU)										
	Surface Transportation Program (Regional)										
	Transportation and Community and System Preservation Program										
	Transportation Improvements (TI)										
	Other (see Appendix 5)										
	Federal Highway Total										
FEDERAL RAILROAD ADMINISTRATION	American Recovery and Reinvestment Act of 2009										
	Passenger Rail Investment and Improvement Act of 2008 (PRIIA)										
	Other (see Appendix 6)										
	Federal Railroad Administration Total										
	Federal Total										
INNOVATIVE FINANCE	TIFIA (Transportation Infrastructure Finance and Innovation Act)										
	State Infrastructure Bank										
	Section 129 Loans										
	Rail Rehab & Improvement Financing										
	Railroad Innovative Finance										
	Private Activity Bonds										
	Private Concession Fees										
	Private Donations										
	Program Income (from a federal project)										
	Other (See Appendix 7)										
	Innovative Financing Total										
REVENUE TOTAL											

MPO Financial Summary Notes:

TABLE 1: REVENUE - APPENDICES

Model County
2012/13-2015/16 Federal Transportation Improvement Program
Adoption
($'s in 1,000)

Appendix 1 - Local Other

Local Other	2012/13		2013/14		2014/15		2015/16		CURRENT TOTAL
	Prior	Current	Prior	Current	Prior	Current	Prior	Current	
Local - Advanced Construction									
Agency									
Agency - Adv Construction									
Air Board									
Benefit Assessment District									
Bonds Local									
Congestion Mitigation Air Quality - Advance Construction									
Demo SAFETEA-LU Advance Construction									
Fees									
General Funds - Locally Generated									
High Priority Projects Program - Advance Constrtion Conversion									
Investment Income									
Local Advance Construction									
Local Transportation									
Mello Roos									
Property Tax									
Adv Const Projects of National and Reg'l Significance									
Port Funds									
Private									
Redevelopment Funds									
RSTP - Advance Construction									
Traffic Impact Fees									
Transportation Development Act									
TDA Article 3									
TDA Article 4									
TDA Article 4.5									
TDA Article 8									
Local Other Total									

Appendix 2 - Regional Other

Regional Other	2010/11		2011/12		2012/13		2013/14		CURRENT TOTAL
	Prior	Current	Prior	Current	Prior	Current	Prior	Current	
Regional Other Total									

Appendix 3 - State Other

State Other	2010/11		2011/12		2012/13		2013/14		CURRENT TOTAL
	Prior	Current	Prior	Current	Prior	Current	Prior	Current	
State Match									
Transportation Planning & Development									
State AB2766									
Carl Moyer - CARB Grant Funds									
Office of Emergency Services									
Propostion 116									
State Park Funds									
Partnership Planning									
State Bike Lane Account									
State PUC									
State Legislature - State									
State University									
State Other Total									

Appendix 4 - Federal Transit Other

Federal Transit Other	2010/11		2011/12		2012/13		2013/14		CURRENT TOTAL
	Prior	Current	Prior	Current	Prior	Current	Prior	Current	
Metropolitan Planning Program - 5303									
Metropolitan Planning Program - 5304									
Metropolitan Planning Program - 5305									
State Plng & Research									
National Research and Technology Program									
Bus and Bus-Related Projects									
Transit Investment for GHG and Energy Reduction									
FTA 5339 Alternative Analysis Program									
Federal Transit Other Total									

Appendix 5 - Federal Highway Other

Federal Highway Other	2010/11		2011/12		2012/13		2013/14		CURRENT TOTAL
	Prior	Current	Prior	Current	Prior	Current	Prior	Current	
Bridge Local Seismic									
FHWA Corridors & Border Program									
Innovative Bridge Research and Construction Program									
Interstate									
Interstate Maintenance									
IMD Interstate Maintenace Discretionary									
Interstate Maintenance - Earmark									
Interstate Maintenance Discretionary - H.R. 2764									
Interstate Maintenance - HR4818									
Interstate Substitution									
National Corridor Infrastructure Improvement Program									
National Highway System									
Section 112									
Section 115									
Section 117									
Section 129 - Surface Transportation Priorities									
Section 125 - Surface Transportation Priorities									
Section 330									
Surface Transportation Program AB 3090									
Surface Transportion - HR 4818									
Surface Transportation Program									
STP Enhancement- LOCAL									
STP Hazard Safety									
FFY 2006 Appropriations Earmarks									
FFY 2009 Appropriations Earmarks									
Intelligent Transportation System									
Rogan HR									
AMTRAK									
Bureau of Indian Aff.									
Community Development Block Grant									
CRD-77J0									
Department of Commerce									
Defense Funds									
EDA Grant									
Emergency Repair - Local									
FEMA									
Housing & Urban Dev.									
Tiger Discretionary Grant									
Federal Highway Other Total									

Appendix 6 - Federal Railroad Administration Other

Federal Railroad Administration Other	2010/11		2011/12		2012/13		2013/14		CURRENT TOTAL
	Prior	Current	Prior	Current	Prior	Current	Prior	Current	
ARRA - Federal Railroad Administration									
Federal Railroad Administration Other Total									

Appendix 7 - Innovative Other

Innovative Other	2010/11		2011/12		2012/13		2013/14		CURRENT TOTAL
	Prior	Current	Prior	Current	Prior	Current	Prior	Current	
Innovative Other Total									

TABLE 2: PROGRAMMED

Model County
2012/13-2015/16 Federal Transportation Improvement Program
Adoption
($'s in 1,000)

	Funding Source	NOTES	4 YEARS (FSTIP Cycle)								CURRENT TOTAL
			2012/13		2013/14		2014/15		2015/16		
			Amendment		Amendment		Amendment		Amendment		
			Prior	Current	Prior	Current	Prior	Current	Prior	Current	
			No.	No.	No.	No.	No.	No.	No.	No.	
LOCAL	Local Total										
REGIONAL	**Tolls**										
	-- Bridge										
	-- Corridor										
	Regional Transit Fares/Measures										
	Regional Sales Tax										
	Regional Bond Revenue										
	Regional Gas Tax										
	Vehicle Registration Fees (CARB Fees, SAFE)										
	Other (See Appendix A)										
	Regional Total										
STATE	**State Highway Operations and Protection Program**										
	SHOPP (Including Augmentation)										
	SHOPP Prior										
	State Minor Program										
	State Transportation Improvement Program										
	STIP (Including Augmentation)										
	Transportation Enhancement										
	STIP Prior										
	Transportation Enhancement										
	Proposition 1 A										
	Proposition 1 B										
	GARVEE Bonds (Includes Debt Service Payments)										
	Highway Maintenance (HM)										
	Traffic Congestion Relief Program (TCRP)										
	State Transit Assistance (STA)(e.g., population/revenue based, Prop 42)										
	Safe Routes to School (SR2S)										
	State Emergency Repair Program										
	Other (See Appendix B)										
	State Total										
FEDERAL TRANSIT	5307 - Urbanized Area Formula Program										
	5308 - Clean Fuel Formula Program										
	5309a - Fixed Guideway Modernization										
	5309b - New and Small Starts (Capital Investment Grants)										
	5309c - Bus and Bus Related Grants										
	5310 - Elderly & Persons with Disabilities Formula Program										
	5311 - Nonurbanized Area Formula Program										
	5311c - Public Transportation on Indian Reservation										
	5311f - Intercity Bus										
	5316 - Job Access and Reverse Commute Program										
	5317 - New Freedom										
	5320 - Transit in the Parks										
	FTA Transfer from Prior FTIP										
	Other (See Appendix C)										
	Federal Transit Total										
FEDERAL HIGHWAY	Bridge Discretionary Program										
	Congestion Mitigation and Air Quality (CMAQ)										
	Coordinated Border Infrastructure (SAFETEA-LU Sec.1303)										
	Corridor Infrastructure Improvement Program (SAFETEA-LU Sec. 1302)										
	Federal Lands Highway										
	Ferry Boat Discretionary										
	High Priority Projects (HPP) and Demo										
	High Risk Rural Road (HRRR)										
	Highway Bridge Program (HBP)										
	Highway Safety Improvement Program (HSIP)										
	National Scenic Byways Program										
	Projects of National/Regional Significance (SAFETEA-LU Sec. 1301)										
	Public Lands Highway										
	Railway (Section 130)										
	Recreational Trails										
	Safe Routes to School (SRTS) (SAFETEA-LU)										
	Surface Transportation Program (Regional)										
	Transportation and Community and System Preservation Program										
	Transportation Improvements (TI)										
	Other (see Appendix D)										
	Federal Highway Total										
FEDERAL RAILROAD ADMINISTRATION	American Recovery and Reinvestment Act of 2009 (ARRA)										
	Passenger Rail Investment and Improvement Act of 2008 (PRIIA)										
	Other (see Appendix E)										
	Federal Railroad Administration Total										
	Federal Total										
INNOVATIVE FINANCE	TIFIA (Transportation Infrastructure Finance and Innovation Act)										
	State Infrastructure Bank										
	Section 129 Loans										
	Rail Rehab & Improvement Financing										
	Railroad Innovative Finance										
	Private Activity Bonds										
	Private Concession Fees										
	Private Donations										
	Program Income (from a federal project)										
	Other (See Appendix F)										
	Innovative Financing Total										
PROGRAMMED TOTAL											

MPO Financial Summary Notes:

TABLE 2: PROGRAMMED - APPENDICES

Model County
2010/11-2013/14 Federal Transportation Improvement Program
Adoption
($'s in 1,000)

Appendix A - Regional Other

Regional Other	2012/13		2013/14		2014/15		2015/16		CURRENT
	Prior	Current	Prior	Current	Prior	Current	Prior	Current	TOTAL
Regional Other Total									

Appendix B - State Other

State Other	2010/11		2011/12		2012/13		2013/14		CURRENT
	Prior	Current	Prior	Current	Prior	Current	Prior	Current	TOTAL
State Match									
Transportation Planning & Development									
State AB2766									
Carl Moyer - CARB Grant Funds									
Office of Emergency Services									
Propostion 116									
State Park Funds									
Partnership Planning									
State Bike Lane Account									
State PUC									
State Legislature - State									
State University									
State Other Total									

Appendix C - Federal Transit Other

Federal Transit Other	2010/11		2011/12		2012/13		2013/14		CURRENT
	Prior	Current	Prior	Current	Prior	Current	Prior	Current	TOTAL
Metropolitan Planning Program - 5303									
Metropolitan Planning Program - 5304									
Metropolitan Planning Program - 5305									
State Plng & Research									
National Research and Technology Program									
Bus and Bus-Related Projects									
Transit Investment for GHG and Energy Reduction									
FTA 5339 Alternative Analysis Program									
Federal Transit Other Total									

Appendix D - Federal Highway Other

Federal Highway Other	2010/11		2011/12		2012/13		2013/14		CURRENT
	Prior	Current	Prior	Current	Prior	Current	Prior	Current	TOTAL
Bridge Local Seismic									
FHWA Corridors & Border Program									
Innovative Bridge Research and Construction Program									
Interstate									
Interstate Maintenance									
IMD Interstate Maintenace Discretionary									
Interstate Maintenance - Earmark									
Interstate Maintenance Discretionary - H.R. 2764									
Interstate Maintenance - HR4818									
Interstate Substitution									
National Corridor Infrastructure Improvement Program									
National Highway System									
Section 112									
Section 115									
Section 117									
Section 129 - Surface Transportation Priorities									
Section 125 - Surface Transportation Priorities									
Section 330									
Surface Transportation Program AB 3090									
Surface Transportion - HR 4818									
Surface Transportation Program									
STP Enhancement- LOCAL									
STP Hazard Safety									
FFY 2006 Appropriations Earmarks									
FFY 2009 Appropriations Earmarks									
Intelligent Transportation System									
Rogan HR									
AMTRAK									
Bureau of Indian Aff.									
Community Development Block Grant									
CRD-77J0									
Department of Commerce									
Defense Funds									
EDA Grant									
Emergency Repair - Local									
FEMA									
Housing & Urban Dev.									
Tiger Discretionary Grant									
Federal Highway Other Total									

Appendix E - Federal Railroad Administration Other

Federal Railroad Administration Other	2010/11		2011/12		2012/13		2013/14		CURRENT
	Prior	Current	Prior	Current	Prior	Current	Prior	Current	TOTAL
Federal Railroad Administration Other Total									

Appendix F - Federal Railroad Administration Other

Innovative Other	2010/11		2011/12		2012/13		2013/14		CURRENT
	Prior	Current	Prior	Current	Prior	Current	Prior	Current	TOTAL
Innovative Other Total									

TABLE 3: REVENUE-PROGRAMMED

Model County
2010/11-2013/14 Federal Transportation Improvement Program
Adoption
($'s in 1,000)

	Funding Source	4 YEARS (FSTIP Cycle)								CURRENT TOTAL
		2012/13		2013/14		2014/15		2015/16		
		Amendment		Amendment		Amendment		Amendment		
		Prior No.	Current No.	Prior No.	Current No.	Prior No.	Current No.	Prior No.	Current No.	
LOCAL	Local Total									
REGIONAL	Tolls									
	-- Bridge									
	-- Corridor									
	Regional Transit Fares/Measures									
	Regional Sales Tax									
	Regional Bond Revenue									
	Regional Gas Tax									
	Vehicle Registration Fees (CARB Fees, SAFE)									
	Other									
	Regional Total									
STATE	State Highway Operations and Protection Program									
	SHOPP (Including Augmentation)									
	SHOPP Prior									
	State Minor Program									
	State Transportation Improvement Program									
	STIP (Including Augmentation)									
	Transportation Enhancement									
	STIP Prior									
	Transportation Enhancement									
	Proposition 1 A									
	Proposition 1 B									
	GARVEE Bonds (Includes Debt Service Payments)									
	Highway Maintenance (HM)									
	Traffic Congestion Relief Program (TCRP)									
	State Transit Assistance (STA)(e.g., population/revenue based, Prop 42)									
	Safe Routes to School (SR2S)									
	State Emergency Repair Program									
	Other									
	State Total									
FEDERAL TRANSIT	5307 - Urbanized Area Formula Program									
	5308 - Clean Fuel Formula Program									
	5309a - Fixed Guideway Modernization									
	5309b - New and Small Starts (Capital Investment Grants)									
	5309c - Bus and Bus Related Grants									
	5310 - Elderly & Persons with Disabilities Formula Program									
	5311 - Nonurbanized Area Formula Program									
	5311c - Public Transportation on Indian Reservation									
	5311f - Intercity Bus									
	5316 - Job Access and Reverse Commute Program									
	5317 - New Freedom									
	5320 - Transit in the Parks									
	FTA Transfer from Prior FTIP									
	Other									
	Federal Transit Total									
FEDERAL HIGHWAY	Bridge Discretionary Program									
	Congestion Mitigation and Air Quality (CMAQ)									
	Coordinated Border Infrastructure (SAFETEA-LU Sec.1303)									
	Corridor Infrastructure Improvement Program (SAFETEA-LU Sec. 1302)									
	Federal Lands Highway									
	Ferry Boat Discretionary									
	High Priority Projects (HPP) and Demo									
	High Risk Rural Road (HRRR)									
	Highway Bridge Program (HBP)									
	Highway Safety Improvement Program (HSIP)									
	National Scenic Byways Program									
	Projects of National/Regional Significance (SAFETEA-LU Sec. 1301)									
	Public Lands Highway									
	Railway (Section 130)									
	Recreational Trails									
	Safe Routes to School (SRTS) (SAFETEA-LU)									
	Surface Transportation Program (Regional)									
	Transportation and Community and System Preservation Program									
	Transportation Improvements (TI)									
	Other									
	Federal Highway Total									
FEDERAL RAILROAD ADMINISTRATION	American Recovery and Reinvestment Act of 2009									
	Passenger Rail Investment and Improvement Act of 2008 (PRIIA)									
	Other									
	Federal Railroad Administration Total									
	Federal Total									
INNOVATIVE FINANCE	TIFIA (Transportation Infrastructure Finance and Innovation Act)									
	State Infrastructure Bank									
	Section 129 Loans									
	Rail Rehab & Improvement Financing									
	Railroad Innovative Finance									
	Private Activity Bonds									
	Private Concession Fees									
	Private Donations									
	Program Income (from a federal project)									
	Other									
	Innovative Financing Total									
REVENUE - PROGRAM TOTAL										

5. **SCAG TIP Database Fund Summaries**: In addition to the worksheet described and listed above, the Financial Plan should include a printout of the "Fund Summary" report from the SCAG TIP Database. This report can be generated after all project information has been entered into the Database and by selecting the "Fund Summary" button in the "Reports" screen. The grand totals for each of the first four fiscal years in the fund summary (FY 2012-2013, FY 2013-2014, FY 2014-2015, and FY 2015-2016) must match the grand total for each of the aforementioned fiscal years in the financial plan.

    - For the 2013 FTIP, when preparing a fund summary, select 'Fund Summary". This option excludes completed and deleted projects.
    - For all subsequent amendments and administrative modifications, choose "Fund Summary w/options" AND check "Show Completed".

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.

7. **GARVEE Recommendations/Commitments:** CTCs are requested to submit information concerning GARVEE bond commitments and anticipated future pledges, as may be applicable. (see page 102 of these Guidelines for additional information regarding GARVEE bonds)

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 2013 FTIP package.

Information should be submitted for the following transit operators:

- **ICTC**: None
- **LACMTA**: MTA, Access, Foothill Transit, Gardena Transit, Long Beach Transit, Montebello Transit & Santa Monica Transit.
- **OCTA**: OCTA
- **RCTC**: Sunline, RTA
- **SANBAG**: Omnitrans, MARTA & Victor Valley Transit
- **VCTC**: Simi Valley Transit, Gold Coast Transit & VISTA

A sample revenue and expense table for transit operators is provided on the next page. Projected funding for the Federal Transit Administration Section 5307 program should be consistent with the revenue estimates on page 137 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 (1st 4-yrs)	Comments
	FY12/13	FY13/14	FY14/15	FY15/16		
Revenue Total						

Expenditures

Expenditures (List Types)	FIRST 4-YEARS				Total Expenditures (1st 4-yrs)	Comments
	FY12/13	FY13/14	FY14/15	FY15/16		
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 section. 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 2013 FTIP (12/13, 13/14, 14/15, 15/16) will be based on FFY12/13 Caltrans estimated apportionments. The apportionments will be

updated as revised figures are provided by Caltrans. Figures for 16/17 and 17/18 will be added as revised figures are provided by Caltrans. The figures in the table below are from the FFY10/11 Caltrans estimated apportionments. Once the FFY12/13 Caltrans estimated apportionments are released, the figures in the table below will be updated.

Caltrans Estimated CMAQ and RSTP Apportionments

	CMAQ	RSTP
	2012/13	2012/13
Imperial	$1,618,789	$1,715,959
Los Angeles	$140,106,164	$114,742,021
Orange	$42,506,504	$34,349,892
Riverside	$29,409,171	$18,646,055
San Bernardino	$28,476,349	$20,626,369
Ventura	$7,984,227	$9,086,259
Total	**$250,101,204**	**$199,166,555**

Revenue estimates for the remaining years and all other funding sources are available in the tables provided below. The estimates come from the SCAG Financial Plan forecast for the 2008 RTP for years 2011-2016, and were taken from the high scenario financial plan which does not reflect any impacts from alternative fuels (the long range financial plan accounts for revenue impacts from alternative fuels). SCAG RTP staff worked closely with the counties in developing the revenue projections. 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 (i.e. figures for 2017 and 2018) in order to reflect more current budget conditions, the SCAG Financial Plan forecast for the 2012 RTP for years 2013-2018, the 2012 STIP Fund Estimate assumptions, as well as SAFETEA-LU continuing resolutions, or a new authorization bill approved by Congress and the President. SCAG's RTP staff will work with the counties to refine the revenue projections as information becomes available.

If a CTC does not concur with the SCAG forecasts, the county may submit the methodology 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 CTC 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 Interregional Transportation Improvement Plan (ITIP) and STIP funding projections, please refer to the 2012 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.

SCAG FINANCIAL FORECAST
($Million, Inflated)

Transportation Development Act (TDA)							
	2013	**2014**	**2015**	**2016**	**2017**	**2018**	**Total**
Imperial	$6.85	$7.28	$7.73	$8.22			**$30.08**
Los Angeles	$443.08	$467.13	$492.05	$517.05			**$1,919.31**
Orange	$204.53	$215.70	$227.37	$239.53			**$887.13**
Riverside	$121.08	$131.59	$143.01	$155.42			**$551.10**
San Bernardino	$114.85	$123.27	$132.31	$142.00			**$512.43**
Ventura	$47.88	$51.43	$55.24	$59.33			**$213.88**
Total	**$938.27**	**$996.40**	**$1,057.71**	**$1,121.55**	**$0.00**	**$0.00**	**$4,113.93**

Local Sales Tax							
	2013	**2014**	**2015**	**2016**	**2017**	**2018**	**Total**
Imperial	$14.99	$15.93	$16.92	$17.98			**$65.82**
Los Angeles	$1,794.80	$1,892.21	$1,993.14	$2,094.40			**$7,774.55**
Orange	$373.46	$397.24	$422.47	$449.00			**$1,642.17**
Riverside	$296.50	$331.04	$370.73	$414.24			**$1,412.51**
San Bernardino	$233.87	$255.29	$276.91	$299.43			**$1,065.50**
Ventura	$0.00	$0.00	$0.00	$0.00			**$0.00**
Total	**$2,713.62**	**$2,891.71**	**$3,080.17**	**$3,275.05**	**$0.00**	**$0.00**	**$11,960.55**

Farebox							
	2013	**2014**	**2015**	**2016**	**2017**	**2018**	**Total**
Imperial	$0.58	$0.61	$0.65	$0.69			**$2.53**
Los Angeles	$624.72	$664.48	$682.92	$736.64			**$2,708.76**
Orange	$137.04	$143.93	$150.70	$159.43			**$591.10**
Riverside	$31.00	$34.10	$37.29	$40.89			**$143.28**
San Bernardino	$30.19	$32.46	$34.80	$37.22			**$134.67**
Ventura	$18.17	$21.11	$24.15	$26.46			**$89.89**
Total	**$841.70**	**$896.69**	**$930.51**	**$1,001.33**	**$0.00**	**$0.00**	**$3,670.23**

Farebox revenue is derived from fare revenue estimates contained in financial sections of short range transit plans for the major transit agencies including Omnitrans, Riverside Transit Agency, Sunline Transit Agency and South Coast Area Transit, and from the long range financial plans of the MTA (for all LA County operators) and OCTA.

Local Agency							
	2013	**2014**	**2015**	**2016**	**2017**	**2018**	**Total**
Imperial	$0.10	$0.10	$0.11	$0.11			**$0.42**
Los Angeles	$888.91	$1,054.77	$640.84	$633.55			**$3,218.07**
Orange	$116.34	$96.51	$100.41	$104.47			**$417.73**
Riverside	$7.64	$7.93	$8.23	$8.55			**$32.35**
San Bernardino	$9.05	$9.39	$9.75	$10.12			**$38.31**
Ventura	$0.45	$0.46	$0.48	$0.50			**$1.89**
Total	**$1,022.49**	**$1,169.16**	**$759.82**	**$757.30**	**$0.00**	**$0.00**	**$3,708.77**

Local Agency funds include Orange County Gasoline Tax Fund; Transportation corridor Agencies toll revenues in Orange County and local agency contributions to committed projects

Other Federal (Highway Bridge Program, etc.)							
	2013	**2014**	**2015**	**2016**	**2017**	**2018**	**Total**
Imperial	$0.14	$0.15	$0.16	$0.16			**$0.61**
Los Angeles	$16.07	$16.47	$16.88	$17.30			**$66.72**
Orange	$4.15	$4.31	$4.47	$4.64			**$17.57**
Riverside	$11.56	$12.00	$12.46	$12.93			**$48.95**
San Bernardino	$10.63	$11.03	$11.45	$11.89			**$45.00**
Ventura	$2.17	$2.25	$2.34	$2.43			**$9.19**
Total	**$44.72**	**$46.21**	**$47.76**	**$49.35**	**$0.00**	**$0.00**	**$188.04**

These funds include programs such as Regional Transportation Enhancements, Highway Bridge Rehabilitation, grade crossings and hazard elimination. Also includes Federal Highway Priority Projects for the region, other federal funds for specific projects (e.g. Alameda Corridor) and MTA clean fuels program.

TCRP, Proposition 42, & Proposition 1A							
	2013	**2014**	**2015**	**2016**	**2017**	**2018**	**Total**
Imperial	$3.04	$3.15	$3.27	$3.39			**$12.85**
Los Angeles	$171.77	$190.98	$168.89	$174.41			**$706.05**
Orange	$68.31	$71.62	$75.11	$78.79			**$293.83**
Riverside	$35.82	$37.18	$38.59	$40.06			**$151.65**
San Bernardino	$36.02	$37.39	$38.81	$40.29			**$152.51**
Ventura	$14.68	$15.24	$15.82	$16.42			**$62.16**
Total	**$329.64**	**$355.56**	**$340.49**	**$353.36**	**$0.00**	**$0.00**	**$1,379.05**

TCRP funds are included to inform the Legislature that the funds are still required for air quality purposes and to complete the project.

STA							
	2013	**2014**	**2015**	**2016**	**2017**	**2018**	**Total**
Imperial	$0.42	$0.44	$0.45	$0.47			**$1.78**
Los Angeles	$153.14	$168.60	$176.44	$185.62			**$683.80**
Orange	$22.08	$23.21	$24.40	$25.66			**$95.35**
Riverside	$6.16	$6.40	$6.64	$6.89			**$26.09**
San Bernardino	$7.39	$7.67	$7.97	$8.27			**$31.30**
Ventura	$2.57	$2.67	$2.77	$2.88			**$10.89**
Total	**$191.76**	**$208.99**	**$218.67**	**$229.79**	**$0.00**	**$0.00**	**$849.21**

SHOPP							
	2013	**2014**	**2015**	**2016**	**2017**	**2018**	**Total**
Imperial	$23.42	$23.42	$23.42	$23.42			**$93.68**
Los Angeles	$619.28	$619.28	$619.28	$619.28			**$2,477.12**
Orange	$105.17	$105.17	$105.17	$105.17			**$420.68**
Riverside	$90.92	$90.92	$90.92	$90.92			**$363.68**
San Bernardino	$261.74	$261.74	$261.74	$261.74			**$1,046.96**
Ventura	$32.16	$32.16	$32.16	$32.16			**$128.64**
Total	**$1,132.69**	**$1,132.69**	**$1,132.69**	**$1,132.69**	**$0.00**	**$0.00**	**$4,530.76**

RSTP & CMAQ							
	2013	**2014**	**2015**	**2016**	**2017**	**2018**	**Total**

Figures will be added once Caltrans makes them available. Figures from 2015-2018 will be added once the SCAG Financial Plan forecast for the 2012 RTP for years 2015-2018 becomes available.

FTA Formula (5307, 5310, 5311, 5309a Fixed Guideway)							
	2013	2014	2015	2016	2017	2018	Total
Imperial	$0.24	$0.25	$0.26	$0.27			**$1.02**
Los Angeles	$288.71	$296.17	$303.82	$311.67			**$1,200.37**
Orange	$62.64	$65.18	$67.83	$70.58			**$266.23**
Riverside	$11.87	$12.32	$12.78	$13.27			**$50.24**
San Bernardino	$15.97	$16.58	$17.21	$17.87			**$67.63**
Ventura	$11.39	$11.82	$12.27	$12.74			**$48.22**
Total	**$390.82**	**$402.32**	**$414.17**	**$426.40**	**$0.00**	**$0.00**	**$1,633.71**

FTA Discretionary (5309b New Starts, 5309c Bus)							
	2013	2014	2015	2016	2017	2018	Total
Imperial	$0.13	$0.13	$0.14	$0.14			**$0.54**
Los Angeles	$88.81	$89.85	$90.90	$91.97			**$361.53**
Orange	$4.43	$4.55	$4.68	$4.81			**$18.47**
Riverside	$0.28	$0.30	$0.31	$0.32			**$1.21**
San Bernardino	$8.93	$9.27	$9.62	$9.99			**$37.81**
Ventura	$0.26	$0.27	$0.28	$0.29			**$1.10**
Total	**$102.84**	**$104.37**	**$105.93**	**$107.52**	**$0.00**	**$0.00**	**$420.66**

Note: Numbers in the above tables may not add due to rounding

Highway Safety, Traffic, Air Quality, and Port Fund (Proposition 1B)							
	2013	2014	2015	2016	2017	2018	Total
Imperial	$20.16	$0.00	$0.00	$0.00			**$20.16**
Los Angeles	$863.85	$0.00	$0.00	$0.00			**$863.85**
Orange	$215.38	$0.00	$0.00	$0.00			**$215.38**
Riverside	$126.03	$0.00	$0.00	$0.00			**$126.03**
San Bernardino	$170.67	$0.00	$0.00	$0.00			**$170.67**
Ventura	$55.79	$0.00	$0.00	$0.00			**$55.79**
Total	**$1,451.88**	**$0.00**	**$0.00**	**$0.00**	**$0.00**	**$0.00**	**$1,451.88**

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1. SOURCE: Defaults to FTIP Year
2. COUNTY: Defaults to County logged user
3. AMENDMENT: Select Amendment – County Preparation
4. TIP ID (PROJECT ID): Created by CTCs
5. RTP ID: Select Appropriate RTP ID from drop down
6. MODELED BOX: Check this box if submitting a model project, then enter the modeling details. Page 46
7. ENVIRONMENTAL DOCUMENT: Select the accurate information/Date. Page 59
8. ENVIRONMENTAL DOCUMENT DATE: input date. Page 59
9. AIR BASIN: Populated by Default.
10. PROJECT STREET ADDRESS: Important – Populate → "Street Address", "From", "To"
11. PROJECT STREET ADDRESS: Important – Populate → " "From"
12. PROJECT STREET ADDRESS: Important – Populate → "To"
13. CONFORMITY CATEGORY: Select from drop down. See Page 99
14. AGENCY: Select lead Agency from dropdown
15. CTIPS ID: Self-populated after uploading project to CTIPs
16. PROJECT DESCRIPTION: Enter project description consistent with page 77 requirements
17. CHANGE REASON: Select from drop down. See page 84
18. PROGRAM CODE: Expand. See page 82
19. SCHEDULE DATES: Expand and populate all the fields.
20. PROJECT COMPLETION DATE: See page 79
21. Enter Timely implementation update on the first line starting with the following language: "2013 FTIP timely implementation _____"

    For FTIP Amendments and Administrative Modifications enter a TCM comment when requesting to unlock a TCM Committed Project

22. GENERAL COMMENTS: Enter any additional project information
23. FUNDING COMMENTS: Enter any additional project funding information.
24. STATUS: Enter any additional project status information
25. TOTAL PROJECT COST: Enter the total project cost (not a phase total) Page 80
26. FUND DATA:
    a. Expand, Select fund from Drop down; Enter match where require.
    b. Enter funding in year of expenditure dollars.
    c. Do not program project phases in multiple years unless there is multiple contracts.

27. CHOOSE FILES TO UPLOAD: Click on "Browse" button to upload and attach supporting documents. Documents may include grouped project listings, spreadsheets, maps, etc. You may attach more than one document per project. Page 80
28. CURRENT PROJECT PHASE: Identify the project phase (status) when programming it in the FTIP. Example: No Project Activity, Right-of-Way Acquisition, Contract Award, etc. Page 85

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

Save

Defaults to FTIP Year

Defaults to County logged user

Select Amendment – County Preparation

Source: 2011 FTIP | County: Imperial | Amendment: 11: County Preparation, Administrative Modification 7/12/2011

Updated By: mp1

Updated By SCAG:

Last SCAG Update:

Current Project Phase: --select--

Create Date:

Project Version: 1

TIP ID (Project ID): | RTP ID: --select-- | Model No.:

Select from the dropdown the project phase (status). Page 85

System: --select--

Created by CTCs

Select Appropriate RTP ID from drop down

Modeled

Check this box if submitting a modeling project, then enter the modeling details. Page 46

Select the accurate information/date. Page 59

Environmental Document: --select--

Env Doc Date

Mode: --select--

District: 11 Imperial

Populated by Default

Project Street Address

Important. Please Populate

From

To

*Conformity Category: --select--

See Page 99

*Agency: --select--

Select Lead Agency from dropdown

CTIPS ID

Self Populated after uploading Project to CTIPs

TIP Description (400 characters max)

Enter project description consistent requirements On page 77

* Change Reason: NEW PROJECT

See Page 84

Program Codes

Primary

Secondary 1

Secondary 2

UZAs | Fed Demo IDs | SubRegion

STIP * Yes No

Program Codes

Expand. See Page 82

Schedule Dates Project Completion Date *

Expand and populate all the fields

See Page 79

Schedule Dates Project Completion Date *

	PA&ED	PS&E(ENG)	ROW	CON
Scheduled Starting Dates				
Scheduled Ending Dates				
Actual Starting Dates				
Actual Ending Dates				

TCM Comments (4000 characters maximum)(4000 characters maximum)

Enter Timely Implementation Update on first line as follows:

2013FTIP Timely Implementation

Enter any TCM Comments when requesting to unlock a TCM Committed project.

Comments

Main CommentsMain Comments (4000 characters maximum)(4000 characters maximum)

General CommentsGeneral Comments (4000 characters maximum)(4000 characters maximum)

Enter general comments you would like to convey regarding the project

Funding CommentsFunding Comments (4000 characters maximum)(4000 characters maximum)

Enter comments regarding the project funding

Amendment Comment:Amendment Comment: (4000 characters maximum)(4000 characters maximum)

Status (4000 characters maximum)(4000 characters maximum)

Enter comments regarding the status of the project. Why is the project delayed, advancing, etc. Rejection comments From TIP staff will also appear in this window.

CTC Data

Total Project Cost may not be less than total programming. Page 80

Fund Data *Total Project Cost: Please Enter Cost before Funds when increasing. Enter funds first when decreasing

Fund	Phase	Total	2012/2013	2013/2014	2014/2015	2015/2016	2016/2017	2017/2018	2018/2019
	Year Totals	0	0	0	0	0	0	0	
--select--	ENG	0							
Delete Fund	RW	0							
	CON	0							
	SubTotal	0							
--select--	ENG	0							
Delete Fund	RW	0							
	CON	0							
	SubTotal	0							
--select--	ENG								
Delete Fund	RW								
	CON								
	SubTotal								
--select--	ENG								
Delete Fund	RW								
	CON								
	SubTotal								

- Select Fund from Dropdown
- Enter funding in year of expenditure dollars
- Enter Match where required
- Do not program phases in multiple years unless there is multiple contracts

HELP Does not update Project Total Cost

Click on Browse to upload and attach supporting documents. Documents may include grouped project listings, Spreadsheets, maps, etc. You may attach more than one document per project. Page 80

Choose Files To Upload: HELP Max File Size: 50MB

Notes

File 1 Title | Browse...

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Save

HELP

No Other Amendments Available for Selection This Project Is Not Yet Saved

Source * 2011 FTIP (1)

County * Imperial (2)

Amendment * Number / Phase / County Prep Cutoff 11; County Preparation; Administrative Modification; 7/1/2011 (3)

Updated By: imp1

Updated By SCAG:

Last SCAG Update:

Create Date:

Project Version: 1

TIP ID (Project ID) * (4)

RTP ID* --select-- (5)

Model No.

Current Project Phase --select-- (28)

System * --select--

Is Modeled (6)

Environmental Document --select-- (7)

Env Doc Date (8)

Mode --none-- (11)

From (12)

To

District 11 Imperial

Air Basin * SSAB (9)

Project Street Address (10)

CTIPS ID (15)

*Conformity Category --select-- (13)

*Agency --select-- (14)

TIP Description (400 characters max) (16)

* Change Reason NEW PROJECT (17)

UZAs Fed Demo IDs SubRegion

STIP * Yes No STIP data is not available for a new project until it has been saved

Program Codes (18)

Schedule Dates Project Completion Date * (20)

(19)

TCM Comments (21)

(4000 characters maximum)(4000 characters maximum)

Program Codes (18)

Primary --select--

Secondary 1 --select--

Secondary 2 --select--

Schedule Dates Project Completion Date * (19)

	PAED	PS&E(ENG)	ROW	CON
Scheduled Starting Dates				
Scheduled Ending Dates				
Actual Starting Dates				
Actual Ending Dates				

Comments

Main CommentsMain Comments (4000 characters maximum)(4000 characters maximum)

General CommentsGeneral Comments (4000 characters maximum)(4000 characters maximum) (22)

Funding CommentsFunding Comments (4000 characters maximum)(4000 characters maximum) (23)

Amendment Comment:Amendment Comment: (4000 characters maximum)(4000 characters maximum)

Status (4000 characters maximum)(4000 characters maximum) (24)

CTC Data

Fund Data *Total Project Cost (25) Please Enter Cost before Funds when increasing. Enter funds first when decreasing.

Fund	Phase	Total	2012/2013	2013/2014	2014/2015	2015/2016	2016/2017	2017/2018	2018/2019
	Year Totals	0	0	0	0	0	0	0	
--select--	ENG	0							
Delete Fund	RW	0							
	CON	0							
	SubTotal	0							
--select--	ENG	0							
Delete Fund	RW	0							
	CON	0							
	SubTotal	0							
--select--	ENG								
Delete Fund	RW								
	CON								
	SubTotal								
--select--	ENG								
Delete Fund	RW								
	CON								
	SubTotal								
		0	0	0	0	0	0	0	

(26)

HELP Does not update Project Total Cost

Choose Files To Upload: HELP Max File Size: 50MB (27)

File 1 Title Browse...

Notes

FEDERAL TRANSPORTATION IMPROVEMENT PROGRAM//2013

MAIN OFFICE
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Fax: (714) 560-5089

RIVERSIDE COUNTY REGIONAL OFFICE
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Fax: (951) 784-3925

SAN BERNARDINO COUNTY REGIONAL OFFICE
Santa Fe Depot
1170 West 3rd Street, Suite 140
San Bernardino, CA 92418
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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

SOUTHERN CALIFORNIA
ASSOCIATION of GOVERNMENTS

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