Guidelines for Development – Transportation Improvement Programs (TIPs) and the Iowa Statewide Transportation Improvement Program (STIP)

Office of Program Management
and
Office of Public Transit
Planning, Programming and Modal Division

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Transportation Improvement Program (TIP) Development Timeline

October	Project sponsors should submit applications for Iowa Clean Air Attainment Program (ICAAP) funding. Applications are due to the Iowa Department of Transportation's Office of Systems Planning on Oct. 1 for use in the following federal fiscal year.
October	MPOs and RPAs submit letters to Offices of Program Management and Public Transit requesting that STP funds programmed for transit be transferred to FTA.
December	The Iowa DOT's Office of Public Transit will post Consolidated Transit Funding Application materials on its website at http://www.iowadot.gov/transit.
January	The Iowa Transportation Commission awards projects for ICAAP.
January/February	The Iowa DOT's Office of Systems Planning will announce to metropolitan planning organizations (MPO) the Metropolitan Planning Fund allocations, with a report of carryover funds available for use in the following state fiscal year. Regional planning affiliations (RPA) will also be provided with State Planning and Research (SPR) fund allocation and a report of carryover funds available for use in the following state fiscal year. Both MPOs and RPAs will also be provided with Federal Transit Administration planning funds allocations.
January/February	Projected funding targets will be provided to MPOs and RPAs for Surface Transportation Program (STP), Transportation Alternatives Program (TAP), and TAP Flex for the next four federal fiscal years. County bridge targets (utilizing STP funds) are provided by the Office of Local Systems. Federal Transit Administration shall be notified of carryovers.
February	Project sponsors shall submit a draft Passenger Transportation Plan to the Iowa DOT's offices of Systems Planning and Public Transit on or before Feb. 1. This is not an annual requirement.
April	The Iowa DOT's Office of Program Management will provide MPOs and RPAs with Road Use Tax Fund revenues and operations and maintenance data.
April	Counties will finalize their "County Five-Year Program," which will include all county-sponsored projects that are proposed to use federal aid. These projects will be submitted for inclusion in the MPO and RPA TIPs.
May	Project sponsors shall submit a final Passenger Transportation Plan to the Iowa DOT's offices of Systems Planning and Public Transit on or before May 1. This is not an annual requirement.

May	Project sponsors should submit a Consolidated Transit Funding application to the Iowa DOT's Office of Public Transit on May 1.
May	The Iowa DOT will provide proposed primary road projects from the Iowa Transportation Improvement Program (Five-Year Program) to MPOs and RPAs to assist in the development of the MPO or RPA TIP.
June	MPOs and RPAs are required to submit draft by June 15 for review and comment.
July	MPOs and RPAs are required to submit final TIPs by July 15.
September	MPOs and RPAs are required to submit to the Office of Program Management a letter or email detailing how TAP Flex funds should be credited towards STP or TAP balances.

Statewide Transportation Improvement Program (STIP) Development Timeline

July/August	The Iowa DOT will distribute the draft STIP for public review and comment.
August/September	The Iowa DOT's Office of Program Management will make adjustments, based on public review and comments, to the final STIP.
August/September	The Iowa DOT's Office of Program Management will submit the proposed MPO TIPs (August) and STIP (September) to Federal Highway Administration and Federal Transit Administration.
October	FHWA and FTA will approve the final STIP on or before Oct. 1.
Quarterly	The Iowa DOT's Office of Program Management will provide a summarized listing of STP and TAP authorizations to MPOs and RPAs.

Introduction

This document serves as a reference guide to local planning agencies for the development of their regional Transportation Improvement Program (TIP) and the Statewide Transportation Improvement Program (STIP). Any questions regarding content or relating to the STIP process should be addressed to the region's Iowa Department of Transportation district planner or the Iowa DOT's Office of Program Management, 800 Lincoln Way, Ames Iowa 50010 or by telephone at 515-239-1664. A list of district planners, and their areas of responsibility, is included in Appendix 1. Transit-related questions should be addressed to the Iowa DOT's Office of Public Transit, 800 Lincoln Way, Ames, Iowa 50010 or by telephone 515-233-7870.

Like the previous federal transportation authorization bill, the Fixing America's Surface Transportation Act (FAST Act) continues, and further strengthens, the requirement that an extensive, ongoing and cooperative planning effort for the programming of federal funds be undertaken. Regional TIPs and the STIP are two vital components of this planning effort. Regional TIPs serve as a list of federal-aid eligible surface transportation improvements for the region. Locally sponsored projects are combined with Iowa DOT-sponsored projects to create the STIP. Each project or project phase included in the STIP must be consistent with the long-range statewide transportation plan and, in metropolitan planning areas, consistent with an approved metropolitan planning organization (MPO) transportation plan. In nonmetropolitan areas, consistency with an approved regional planning association (RPA) transportation plan is required. Consistency requires projects to flow out of the project identification, evaluation, and prioritization process that has been developed to implement a strategy or objective of these long-range transportation plans.

The Iowa DOT annually requests that Federal Highway Administration and Federal Transit Administration jointly verify that MPO and RPA TIPs are consistent with the transportation plans produced as part of the continuing and comprehensive transportation process carried out cooperatively by MPO, RPA, and statewide and public transportation operators. No FHWA or FTA funded project can receive authorization until the project is included in the first year of the STIP and has been approved by the FHWA or FTA.

Federal-aid highway funding (23 U.S.C.)

As previously mentioned, regional TIPs serve as a list of federal-aid eligible surface transportation improvements for the respective MPO or RPA. The TIP is a four-year planning document that identifies planned transportation improvements within the local regions that are expected to utilize federal-aid funds. All projects in MPO and RPA TIPs are required to match those projects listed in the STIP. All projects must be in both the TIP and STIP and be programmed with identical information describing the projects.

The Iowa County Engineers Association Service Bureau has developed the Transportation Program Management System (TPMS) to assist local planning agencies, and project sponsors, with developing, programming, and mapping of both highway and transit projects. TPMS is the primary tool used to enter and advance surface transportation and transit projects into local TIPs. To be included in the STIP a project must be entered in TPMS. As mentioned throughout this document,

TPMS can be utilized to produce a number of the items required to be included in the TIP document. TPMS can be accessed online at: http://www.tpms.org. To use the TPMS, users must log in using the specific ID and PIN code for their MPO or RPA. Questions related to the use of TPMS in the TIP process should be directed to the Iowa DOT's Office of Program Management.

Federal funding

Projects identified in local TIPs utilize a number of different sources of federal funding. The primary sources of FHWA funding to Iowa, which are in part used to fund local efforts, include:

- **Congestion Mitigation and Air Quality Improvement Program (CMAQ).** CMAQ provides flexible funding for transportation projects and programs tasked with helping to meet the requirements of the Clean Air Act. These projects can include those that reduce congestion and improve air quality.

- **Demonstration funding (DEMO).** Demonstration funding is a combination of different programs and sources. The FHWA administers discretionary programs through various offices representing special funding categories. An appropriation bill provides money to a discretionary program, through special congressionally directed appropriations or through legislative acts, such as the American Recovery and Reinvestment Act of 2009 (ARRA).

- **Highway Safety Improvement Program (HSIP).** This is a core federal-aid program that funds projects with the goal of achieving a significant reduction in traffic fatalities and serious injuries on public roads. Portions of these funds are set aside for use on high-risk rural roads and railway-highway crossings.

- **Metropolitan Planning Program (PL).** FHWA provides funding for this program to the State of Iowa based on urbanized area population. The funds are dedicated to support transportation planning efforts in urbanized areas of more than 50,000 persons. For programming purposes MPOs should program only the new PL target provided by the Office of Systems Planning. Any carryover funds identified by Systems Planning need not be added to, or subtracted from, the PL target.

- **National Highway Performance Program (NHPP).** NHPP funds are available to be used on projects that improve the condition and performance of the National Highway System (NHS), including some state and U.S. highways and interstates.

- **State Planning and Research (SPR).** SPR funds are available to funds statewide planning and research activities. A portion of SPR funds are provided to RPAs to support transportation planning efforts.

- **Surface Transportation Block Grant Program (STP).** This program is designed to address specific issues identified by Congress and provides flexible funding for project to preserve or improve the condition/performance of number of

transportation facilities, including any federal-aid highway or public road bridge. STP funding may be spent on:

-Roadway projects on federal-aid routes.
-Bridge projects on any public road.
-Transit capital improvements.
-TAP eligible activities.
-Planning activities.

- **STP Highway Bridge Program (STP-HBP).** While the Highway Bridge Program was eliminated in MAP-21, a portion of Iowa's STP will continue to be targeted directly to counties and dedicated specifically to county bridge projects. A portion of these funds are required to be obligated for off-system bridges. The remaining funds can be used on either on-system or off-system bridges.

- **Transportation Alternatives Program Setaside (TAP).** This program is a setaside from the STP program. The TAP program provides funding to expand travel choices and improve the transportation experience. Transportation Alternatives Program projects improve the cultural, historic, aesthetic, and environmental aspects of transportation infrastructure. Projects can include creation of bicycle and pedestrian facilities, and the restoration of historic transportation facilities, among others. It is important to note that some types of projects eligible under the SAFETEA-LU program Transportation Enhancements are no longer eligible, or have modified eligibility, under the TAP. All projects programmed with TAP funds should be verified to ensure compatibility with TAP eligibility.

- **Federal Lands Access Program (FLAP) and Tribal Transportation Program (TTP).** The FLAP Program provides funding for projects that improve access within, and to, federal lands. The FLAP funding will be distributed through a grant process where a group of FHWA, Iowa DOT, and local government representatives will solicit, rank, and select projects to receive funding. The TTP provides safe and adequate transportation and public road access to and within Indian reservations and Indian lands. Funds are distributed based on a statutory formula based on tribal population, road mileage, and average tribal shares of the former Tribal Transportation Allocation Methodology.

- **National Highway Freight Program (NHFP).** NHFP funds are distributed to states via a formula process and are targeted towards transportation projects that benefit freight movements.

Iowa DOT-administered grant program funding

In addition to the funding sources listed above, the Iowa DOT administers several grant programs. Projects awarded grant funding must be documented in the region's TIP. These grant awards are distributed through an application process. Applications are due Oct. 1 for projects requesting funding in the next fiscal year. State administered grant programs include:

- **City Bridge Program.** A portion of STP funding dedicated to local bridge projects is set aside for the funding of bridge projects within cities. Eligible projects need to be classified as structurally deficient or functionally obsolete. Projects are rated and prioritized by the Office of Local Systems with awards based upon criteria identified in the application process. Projects awarded grant funding are subject to a federal-aid obligation limitation of $1 million.

If more information is required on the city bridge program, please refer to the Office of Local Systems' website http://www.iowadot.gov/local_systems/publications/im/2020.pdf or contact the Office of Local Systems, 800 Lincoln Way, Ames, Iowa 50010 or by telephone at 515-239-1528.

- **Highway Safety Improvement Program – Secondary (HSIP-Secondary).** This program is being funded using a portion of Iowa's Highway Safety Improvement Program and funds safety projects on rural roadways.

  If more information is required on the HSIP-Secondary program, please contact the Office of Traffic and Safety, 800 Lincoln Way, Ames, Iowa 50010 or by telephone at 515-239-1557.

- **Iowa Clean Air Attainment Program (ICAAP).** The ICAAP funds projects that are intended to maximize emission reductions through traffic flow improvements, reduced vehicle-miles of travel, and reduced single-occupancy vehicle trips. This program utilizes $4 million of Iowa's CMAQ apportionment.

- **Recreational Trail Program.** This program provides federal funding for both motorized and nonmotorized trail projects and is funded through a takedown from Iowa's TAP funding. The decision to participate in this program is made annually by the Iowa Transportation Commission.

  If more information is required on these grant programs, please refer to the Office of Systems Planning's website http://www.iowadot.gov/systems_planning/index.htm or contact the Office of Systems Planning, 800 Lincoln Way, Ames, Iowa 50010 or by telephone at 515-239-1664.

TIP requirements

Local planning agencies are required to produce a TIP that covers a period of no less than four years. TIPs are required to be updated every four years; however, the Iowa DOT updates the STIP annually and, as such, requires that the TIP process be completed annually. TIPs must be approved by the policy board of the local agency and the Iowa DOT.

As previously stated, the primary purpose of the TIP is to make available a listing of capital and noncapital projects within the boundaries of the metropolitan/regional planning area proposed for federal-aid funding or action. It is important to note that projects or a phase of a

project identified for federal aid should only be included in the TIP if the full funding can reasonably be anticipated to be available for the project or phase within the time period for project completion.

Projects for which federal aid is currently unavailable may be included in the TIP as an illustrative project. Information regarding total project cost should be programmed however no federal aid may be shown on these projects in the TIP. Should funding become available for an illustrative project, an amendment must be completed to add the project to the TIP.

TIP financial information

The Iowa DOT's Office of Program Management provides each MPO and RPA with estimated annual STP, TAP, and TAP Flex funding targets for each of the four years in the TIP. It is important to note that targets can be revised/adjusted based on passage of subsequent federal transportation acts. Changes in federal participation may also be required due to changes in the annual obligation limits set by the federal government. Reductions in federal-aid participation for projects will not require an amendment to the STIP. Rather, adjustments to address reduced federal-aid participation will generally be considered administrative modifications.

Any changes required due to obligation limitations are generally known by Dec. 1 for the current federal fiscal year (Oct. 1 to Sept. 30). The Office of Program Management will notify MPOs and RPAs in writing of any target changes. After notification of the annual spending (obligation) authority available, the Office of Program Management will use the following process to make adjustments. If the:

- Spending authority equals 100 percent of apportionment, no adjustments needed.
- Spending authority is slightly less than apportionment, an adjustment will be accomplished within the Iowa DOT's Five-Year Program to balance the STIP.
- Spending authority is significantly less than apportionment, adjustments in the TIPs for the MPOs, RPAs, and state may be required to balance the STIP.
- Spending limit slightly higher than apportionment, the Iowa DOT's Five-Year Program will be adjusted to balance the STIP.
- Spending authority is significantly higher than apportionment, the TIPs for MPOs, RPAs, and state may be adjusted to increase the program.

Using this target information, planning agencies are required to include a financial plan that demonstrates how the approved TIP can be implemented. When developing the TIP, the local planning agency shall develop both estimates of funds that are reasonably expected to be available to support TIP implementation and system-level estimates of costs that are reasonably expected to be incurred to adequately operate and maintain federal-aid highways. These costs cannot be determined with available information; therefore, they will be determined by comparing total system mileage with federal-aid mileage. Revenues do not need to be stratified by system class and can be shown as a lump-sum line item by MPO or RPA. The Office of Program Management provides Road Use Tax Fund revenues and operations and maintenance information annually to MPOs and RPAs. This information should

be retained and can be utilized to develop inflation rates that can be utilized to forecast future year revenues and operations and maintenance costs.

Project costs programmed in the TIP must be adjusted using "Year of Expenditure" (YOE) dollars. That is, project costs in future years should be adjusted based on an assumed rate of inflation reflecting changes in construction costs. Each local planning agency must document what inflation rate was used to adjust projects into YOE dollars. In addition, the TIP must document whether local project sponsors, or the local planning agency, are responsible for accounting for YOE.

Total programmed federal aid must not be greater than the reasonably expected funds available to the local planning agency. This requirement is known as fiscal constraint, which is to be demonstrated and maintained by year and by funding type.

In order to facilitate the review of fiscal constraint, a summary table compiling total costs and anticipated federal aid for all projects must be included in the TIP. The table should be broken out by funding program and year and include all federal programs for which funds have been programmed. An example of the preferred format is shown below in Table 1.

Table 1
Summary of Costs and Federal Aid

Federal	Year 1		Year 2		Year 3		Year 4	
Aid Program	Total Cost	Federal Aid	Total Cost	Federal Aid	Total Cost	Federal Aid	Total Cost	Federal Aid
STP	$100,000	$80,000	$200,000	$160,000	$200,000	$160,000	$100,000	$80,000
TAP	50,000	40,000	80,000	64,000	100,000	80,000	50,000	40,000
NHPP	500,000	400,000	750,000	600,000	0	0	200,000	160,000
CMAQ	50,000	40,000	0	0	0	0	0	0

For the purpose of demonstrating fiscal constraint of STP, TAP, and TAP Flex funds, the following approach should be used.

- The total federal share of projects included in the first year of the TIP shall not exceed levels of funding committed to the MPO or RPA.
- The total federal share of projects included in the second, third, fourth, and/or subsequent years of the TIP may not exceed levels of funding committed, or reasonably expected to be available, to the MPO or RPA.

Local planning agencies must demonstrate fiscal constraint of STP, TAP, and TAP Flex funds using a table comparing unobligated balances, regionally targeted funds, and programmed federal-aid. Examples of STP and TAP fiscal constraint tables are shown below in Tables 2 and 3, respectively.

Table 2
STP Fiscal Constraint Table

	Year 1	Year 2	Year 3	Year 4
Unobligated balance (carryover)	$100,000	$105,000	$70,000	$60,000
STP target	100,000	100,000	100,000	100,000
TAP Flex target	$5,000	$5,000	$5,000	$5,000
Subtotal	**$205,000**	**$210,000**	**$175,000**	**$165,000**
Programmed STP/TAP Flex funds	100,000	140,000	115,000	125,000
Balance	**105,000**	**70,000**	**60,000**	**40,000**

Table 3
TAP Fiscal Constraint Table

	Year 1	Year 2	Year 3	Year 4
Unobligated balance (carryover)	$50,000	$45,000	$40,000	$10,000
TAP target	50,000	50,000	50,000	50,000
TAP Flex target	$20,000	$20,000	$20,000	$20,000
Subtotal	**$120,000**	**$115,000**	**$110,000**	**$80,000**
Programmed TAP/TAP Flex funds	75,000	75,000	100,000	55,000
Balance	**45,000**	**40,000**	**10,000**	**25,000**

As shown in the above tables, TAP Flex funds should be shown in the STP and TAP constraint tables as standalone credits. TAP flex funds should be credited towards the appropriate balance based on type of project the funds will be used for. For example, if TAP flex funds are to be programmed on a highway project, the funds should be credited towards the STP balance.

For projects funded with both STP and TAP it is necessary to include the programmed funds in both tables. In addition it is requested that a note be added in TPMS stating that the project includes both types of funding. This note will facilitate accurately debiting the planning agency's balances.

In addition to the fiscal constraint tables shown above, planning agencies must annually inform the Office of Program Management how TAP Flex funds should be credited to each agency's quarterly report balances. This notification can be made through letter or email and should be provided each September.

Estimated STP-HBP targets for county bridge funding will be prepared by the Iowa DOT's Office of Local Systems. Using these targets as guidelines, counties submit bridge projects for inclusion into draft TIPs, with only selected projects promoted from the county Five-Year

Program to the TIP. Only those projects with a reasonable chance of being ready for obligation within the proposed program year should be included.

Upon receipt of the draft MPO and RPA TIPs, the Office of Local Systems will perform a fiscal constraint analysis of the STP-HBP funds programmed. The analysis will determine if county bridge programming is within acceptable limits on both a total and year-by-year basis. If adjustments are necessary, counties that are over-programmed will be required to adjust their bridge program. This process will be repeated until fiscal constraint of the STP-HBP program is achieved. It is important to note that after the STIP has been approved by FHWA, counties may make changes to their program of bridge project using the existing procedures for TIP revisions documented later in this document.

To assist in the ongoing fiscal constraint analysis, the Office of Program Management will maintain a record of the MPO and RPA STP and TAP balances. On a quarterly basis, the Office of Program Management will provide local planning agencies with a report summarizing all STP and TAP federal-aid obligations that were authorized during the quarter.

Status report

MPO and RPA TIPs are required to provide a status report for all accomplishment year projects included in the previous year's approved TIP. The status report should indicate whether the project was authorized/let, if the project is being rolled over to the current TIP, or if the project has been removed from programming. This status report is used as a management tool to monitor the progress made in implementing the MPO or RPA transportation program.

Project selection

Projects included in the TIP should be selected by the MPO or RPA as determined by their respective policy procedures. The TIP is required to include a section documenting the criteria and processes used by local planning agencies to select transportation plan elements for inclusion in the TIP. Any changes to these specific project selection criteria from previous years are also required to be documented in this discussion. Project selection criteria must be included for not only STP and TAP projects but also for county bridge projects.

It is important to note that changes to programming entries outside the annual TIP process are also subject to MPO/RPA project selection criteria. Specific examples where this is applicable include:

- All new projects added must be selected using the approved planning agency criteria
- Sponsors, at their own discretion, cannot move funds from one project to another
- If authorized funds on a project are deobligated those funds must be programmed through the project selection process. They are not to be programmed at the discretion of the project sponsor upon which the funds were originally programmed

An exception to the examples listed above would be if a new project is created for project development reasons. For example, should a project be split into multiple smaller

projects/phases (within the original project termini) the original programming entry could be split to be consistent with the projects that would be developed and let.

Furthermore, deobligated funds can be applied to another project if the original award from the planning agency allowed for that flexibility. For example, if a planning agency awards funds to a corridor improvement rather than a specific phase/project deobligated funds could be applied to a different project within the corridor for which the funds were awarded.

Specific attention must be paid to detailing each region's TAP selection process. As was originally required by MAP-21, projects to be funded through the TAP program must be selected using a competitive project selection process. Working with FHWA, the Iowa DOT has established that, at a minimum, one of two project selection processes must be met for TAP project selection. These two processes are as follows.

1) Defined criteria are available and posted in advance of solicitation of applications. Applications are scored based on the defined criteria using quantitative methods. The highest scoring applications are recommended for funding; however, scores can be revised following project presentations/board discussion.
2) Defined criteria are available and posted in advance of solicitation of applications. Applications are ranked based on the defined criteria using qualitative methods. The highest ranked applications are recommended for funding; however rankings can be revised following project presentation/board discussion.

Project consistency between the TIP and MPO or RPA long-range transportation plan is a point of emphasis for regional TIPs. Project consistency between the two documents could be demonstrated by identifying, for each project in the TIP, a LRTP page number reference, or specific LRTP goal/objective that the project is meeting. It is the responsibility of each MPO and RPA to determine that all recommended projects are eligible for federal aid and can be obligated within the year specified.

The state's long-range transportation plan may also help the MPO or RPA determine future priorities. The district planner for each planning agency may identify appropriate proposed projects on the Primary Road System, and the district may request STP funding support from the MPO or RPA.

Finally, guidance from FHWA has stated that projects must be programmed in each of the 4 years of the TIP. However, should there be a specific reason why no projects are programmed this requirement may be waived. In this case, the specific reasons why must be explained in the TIP. For example, if funds are being accrued over time for a large upcoming project this should be noted.

While not currently required some planning agencies have begun providing project sponsors an award letter or agreement following being awarded STP or TAP funds. These documents can serve a number of different functions including:

- Providing documentation the project has been programmed

- Verifying programming/project information details
- Identifying Iowa DOT district or central office staff who the sponsor will need to work with
- Providing a brief overview of the federal aid regulations
- Providing a reminder that federal aid reimbursement cannot proceed until FHWA authorization has been obtained

Public participation

Local planning agencies must conduct a proactive public participation process when developing TIPs. These processes are unique to each agency and, therefore, each agency's TIP must document their public participation process as it relates to the development of the TIP. Topics covered should include how the MPO or RPA provided all interested parties with a reasonable opportunity to comment on the proposed TIP, a mention of formal public meetings held during the TIP development process, and a description of materials made available, or published, by the MPO or RPA for public review. This would include materials in electronically accessible format, such as the World Wide Web. In addition, all public comments received on the draft TIP should be included in the final TIP.

One required component of the public participation process is the utilization of visualization techniques in the TIP. Using visual imagery is an effective way of facilitating public review of the TIP. While a number of different techniques are available, for the purpose of TIPs, the most effective technique is to utilize a map detailing the location of programmed improvements. While local planning agencies are free to develop these maps, planning agencies may also utilize TPMS to generate a map of all projects programmed within a specific planning region.

Revision procedure documentation

Each MPO and RPA is required to explain their revision procedures for processing TIP amendments and administrative modifications. Documentation should include specific information regarding the thresholds used by local planning agencies to determine whether revisions are classified as amendments or administrative modifications. Any difference between local thresholds and those defined by the Iowa DOT, as described on pages 18 and 19, should be specifically identified. Additional information to be included when detailing revision procedures include notification procedures, posting procedures, comment periods, and staff/board actions.

National Environmental Policy Act (NEPA) project programming

The regional significance of a project plays an important role in determining whether the project needs to be included in the TIP. Regional significance can be defined as a transportation project on a facility that serves regional transportation needs and would normally be included in the modeling of the area's transportation network. All projects found to be regionally significant, regardless of whether or not the projects have federal-aid funding programmed, are required to be included in the TIP.

For example, for Interchange Justification Reports, the project needs to be programmed both in the year federal funds are to be obligated and the year FHWA approval is requested, even though no additional funds are being programmed. Projects seeking NEPA approval are also

required to be programmed in the year approval will be sought, even if no funds are to be authorized. For these projects the total project cost need to be programmed.

Specific programming requirements exist for projects covered under the NEPA. Four unique scenarios exist each having unique programming implications. The four scenarios and associated programming guidelines are as follows.

- Scenario 1: A single regionally significant project within an MPO where all phases of the project will be completed within the timeframe of the MPO Long-Range Transportation Plan (LRTP).

  -For projects with a completion date within the TIP period, all project costs must be included in the fiscally constrained TIP.
  -For projects with a completion beyond the TIP period, the costs associated with the phases that are within the TIP period must be included in the TIP. Remaining phases must be addressed in the LRTP.
  -For projects where post NEPA phases are initiated beyond the TIP period, the entire project cost must be in the TIP; however, these costs do not have to be included in the fiscal constraint analysis.
  -For each scenario, the entire cost of the project must be included within the fiscally constrained LRTP.

- Scenario 2: A single regionally significant project within an MPO where only a portion of the project will be completed within the timeframe of the MPO LRTP.

  -For projects beginning within the TIP and ending beyond the LRTP, the costs associated with the phases within the TIP must be included in the fiscal constraint analysis. Any phases beyond the TIP timeframe are addressed in the LRTP rather than the TIP.
  -For projects where a post NEPA phase is begun outside the TIP period and project completion is beyond the LRTP the entire project, cost must be documented in the TIP; however, these costs do not need be included in the fiscal-constraint analysis.
  -For both scenarios, costs associated with the phases within the timeframe of the LRTP must be included in the fiscally constrained LRTP. Costs beyond the timeframe of the LRTP must be documented in the LRTP, but do not need to be included in the fiscal-constraint analysis.

- Scenario 3: A project within an MPO that will have multiple segments. Each regionally significant segment will be analyzed separately as if it were a standalone project. The programming requirements for each segment correspond to the requirements detailed above based on the segment's timeline. For example, a project segment with a completion within the TIP period would be programmed the same as in Scenario 1 described above.

- Scenario 4: A single regionally significant project located within RPA boundary. All costs associated with the phases that are within the TIP timeframe must be included in the fiscally constrained TIP. Regionally significant projects within an RPA must be consistent with the goals and objectives of the statewide LRTP.

Transferring FHWA funding for planning

Designated planning efforts that utilize STP funds require STP funds to be transferred from FHWA to FTA for administration. These projects must be programmed in both the highway section of the TIP and the local planning agency's Transportation Planning Work Program (TPWP). In addition, the amount of STP funding in the TIP and TPWP should match. Upon approval of the transfer request, the STP funds will be transferred to a Consolidated Planning Grant by request of the Office of Systems Planning.

Additional requirements

A number of additional items are required for MPO TIPs prior to approval. These include:

- A resolution of adoption by the planning organization.
- A self-certification of the MPO planning process.
- A disclaimer discussing the contents of the TIP. For example:

> "The MPO prepared this report with funding from the U.S. Department of Transportation's Federal Highway Administration and Federal Transit Administration, and in part through local matching funds of the MPO member governments. These contents are the responsibility of the MPO. The U.S. government and its agencies assume no liability for the contents of this report or for the use of its contents. The MPO approved this document on day, month, year. Please call ###-###-#### to obtain permission of use."

Additional items are also either required or suggested to be included in RPA TIPs. These items include:

- Required: A resolution of adoption by the planning organization.
- Required: A disclaimer discussing the contents of the TIP. For example:

> "The RPA prepared this report with funding from the U. S. Department of Transportation's Federal Highway Administration and Federal Transit Administration, and in part through local matching funds of the RPA member governments. These contents are the responsibility of the RPA. The U.S. government and its agencies assume no liability for the contents of this report or for the use of its contents. The RPA approved this document on day, month, year. Please call ###-###-#### to obtain permission of use."

- Suggested: Self-certification of the RPA planning process.

A summary and checklist of the TIP requirements is presented in Appendix 3.

Federal transit assistance (49 U.S.C.)

A portion of federal fuel tax revenue is placed in the mass transit account of the Federal Highway Trust Fund. These funds, along with General Fund appropriations, are reserved for transit purposes and are administered by the FTA. A map detailing Iowa's Public Transit System is presented in Appendix 6.

FTA and state transit funding

In December, transit funding projections are posted to the Iowa DOT's Office of Public Transit's website at http://www.iowadot.gov/transit/applications.html. If federal appropriations have been enacted prior to that time, the Iowa DOT will provide actual first-year figures for distributing federal formula assistance (5310 and 5311 funds) for each regional and small urban transit system for the state fiscal year beginning the following July 1. These same amounts may be used as an estimate of second, third, and fourth year suballocations. Actual formula fund allocations for individual transit systems in future years will be subject to change based on the level of future federal appropriations, as well as on each transit system's relative performance on a yearly basis.

Additionally, projected allocations for the coming fiscal year will be posted to Office of Public Transit's website for State Transit Assistance (STA). These amounts can serve as the basis for local estimates of future year STA allocations. Actual STA formula amounts are subject to change based on the amount of new motor vehicle registration revenue collected and each transit system's relative performance on the statistical measures used to allocate the funds.

Allocations of FTA planning funds to MPOs (under Section 5303 or 5305 (e)) and to RPAs (under Section 5311, 5304, or 5305 (e)) will be announced along with MPO PL and RPA SPR targets by the Office of Systems Planning.

The Office of Public Transit will provide transit capital programming guidance concerning expected costs of transit vehicles and equipment and the level of federal participation allowed for each. These amounts will be ceilings for candidates for statewide capital funds and are recommended for items funded from transit formulas or STP allocations. These figures will be updated each year. Current projections should be inflated by 3 percent per year for use in the second, third, and fourth years. Standard equipment descriptions provided in this document should be used in each local TIP. This information is detailed in Appendix 4.

Transferring FHWA funding to FTA

Designated transit investments that utilize STP funds are required to be transferred from FHWA to FTA for administration. These projects must be programmed in both the highway and transit sections of the TIP in the federal fiscal year they are to be transferred. The transfer process is initiated with a letter from the local planning agency to the Office of Program Management requesting the funds be transferred, with a copy sent to the Office of Public Transit. This letter should include the project description, amount to be transferred, and

vehicle identification numbers when applicable. The offices of Program Management and Public Transit will then review the request and submit it to FHWA for processing.

In addition, transit projects receiving awards through ICAAP (FHWA's Congestion Mitigation Air Quality Program) also require a transfer of funds. The process for these types of transfers is the same as transferring STP funds for transit investments, except that a letter from the MPO or RPA requesting a transfer is not required.

TIP requirements

The minimum information for transit projects includes the following (a summary of the TIP requirements for transit is presented in Appendix 4).

- Grantee's name
- Project description (for rolling stock capital items use standard descriptions in Appendix 5)
- Assistance category (operations support; capital improvements, including facilities or planning)
- Type of capital purchase (preventative maintenance, replacement, rehabilitation, remanufacture, or expansion)
- Total cost and anticipated federal participation, both in whole dollars, plus identification of the federal program from which the funding will come
- A financial capacity analysis for transit programs included in the TIP or Consolidated Transit Funding Application (required for MPOs, suggested for RPAs)

All material submitted for inclusion in the STIP must be consistent with the information submitted in local TIPs and the Passenger Transportation Plan. In addition, ICAAP and STP funded projects are required to be shown in both the highway and transit element. Each project in the annual element (first year) must show any proposed funding from STA. Vehicles being proposed for replacement must include property numbers in order to use the Public Transit Equipment and Facility Management System (PTMS) as planning justification for the project. Planning carryover should be noted as a separate line item.

In addition, items required for capital improvement projects include:

- A feasibility study and NEPA documentation for the construction of a new transit facility or maintenance facility must accompany the TIP submittal for projects programmed in the first year of the STIP/TIP under a federal funding source. Planning justification is required for all projects except like-kind rolling stock replacement and rehabilitation projects, which can rely on the PTMS factors for their justification. Projects replacing a vehicle with another vehicle that differs substantially from the one being replaced must justify the need for such a change. "Useful life" is an appropriate guide to evaluate when an item needs to be replaced; however, it does not solely indicate the "need" to be replaced. More specific information is required. Expansion vehicle justification must include spare ratio information prior to and after delivery of the programmed vehicle, along

with justification as to why the existing fleet cannot meet the needs of the system.

Consolidated transit funding application

In December, the Office of Public Transit will post the consolidated transit funding application material on the office's website at www.iowadot.gov/transit. By May 1, each public transit agency must submit a consolidated transit funding application to the Office of Public Transit. The application shall cover all projects to be funded from STA formula, federal formula assistance allocated to small urban or regional transit systems, and any capital project to be considered as a candidate for statewide federal capital funding. All transit applications will consist of:

- An authorizing resolution by the transit system's policy board requesting STA funding.
- A signed copy of FTA's annual certifications published each fall in the Federal Register (large urban systems may submit a copy of original sent to FTA).
- Documentation of public hearings on all project elements included in the application. Documentation shall consist of an affidavit of hearing notice publication and hearing transcript. This meeting can be held in conjunction with other meetings, as long as the required documentation is produced.
- Planning justification for all capital projects other than vehicle replacement or rehabilitation projects relying on the PTMS. A project justification form must be completed for each project competing for statewide Section 5309 funding, unless the project will be relying solely on the PTMS criteria.
- Feasibility study and NEPA documentation for all facility projects listed in the first year under a federal funding source.
- Documentation of all information required for probable categorical exclusions for any facility project programmed in the first year.
- Americans with Disabilities Act (ADA) analysis and certification, if applying for non-ADA rolling stock.
- A copy of the transit section from MPO/RPA TIP.
- A listing of surface transportation providers (listing union affiliations if applicable) operating in the project area.
- A "Labor Protection Agreement" certifying compliance with applicable labor regulations.
- Cost allocation plans for subrecipients of federal funding.

Separate applications for the Public Transit Infrastructure Grant Fund program are also due May 1. The amounts authorized in the application resolution for each funding source should agree with the TIP figures being submitted. Application materials can be found on the Office of Public Transit's website at www.iowadot.gov/transit.

Federal and state funding programs

Similar to the FHWA programs, the transit funding authorized by MAP-21 is managed in several ways. The largest amount is distributed, by formula, to states and large metropolitan areas. Other program funds are discretionary, and some are earmarked for specific projects. Program funds include:

- **Metropolitan Transportation Planning program (Section 5303 and 5305)**. FTA provides funding for this program to the state based on its urbanized area populations. The funds are dedicated to support transportation planning projects in urbanized areas with more than 50,000 persons.

- **Statewide Transportation Planning program (Section 5304 and 5305)**. These funds come to the state based on population and are used to support transportation planning projects in nonurbanized areas. They are combined with the Section 5311 funds and allocated among Iowa's RPAs.

- **Urbanized Area Formula Grants program (Section 5307)**. FTA provides transit operating, planning and capital assistance funds directly to local recipients in urbanized areas with populations between 50,000 and 200,000. Assistance amounts are based on population and density figures and transit performance factors for larger areas. Local recipients must apply directly to the FTA.

- **Bus and Bus Facilities Program (Section 5339)**. This formula program provides federal assistance for major capital needs, such as fleet replacement and construction of transit facilities. All transit systems in the state are eligible for this program.

- **Enhanced Mobility of Seniors and Individuals with Disabilities Program (Section 5310)**. Funding is provided through this program to increase mobility for the elderly and persons with disabilities. Part of the funding is administered along with the nonurbanized funding with the remaining funds allocated among urbanized transit systems in areas with a population of less than 200,000. Urbanized areas with more than 200,000 in population receive a direct allocation.

- **Nonurbanized Area Formula Assistance Program (Section 5311)**. This program provides capital and operating assistance for rural and small urban transit systems. Fifteen percent of these funds are allocated to intercity bus projects. A portion of the funding is also allocated to support rural transit planning. The remaining funds are combined with the rural portion (30 percent) of Section 5310 funds and allocated among regional and small urban transit systems based on their relative performance in the prior year.

- **Rural Transit Assistance Program (RTAP) (Section 5311(b)(3))**. This funding is used for statewide training events and to support transit funding fellowships for regional and small urban transit staff or planners.

- **TAP Flexible funds**. Certain Title 23 funds may be used for transit purposes. Transit capital assistance is an eligible use of STP funds. Transit capital and startup operating assistance is an eligible use of ICAAP funds. When ICAAP and STP funds are programmed for transit projects, they are transferred to the FTA. The ICAAP funds are applied for and administered by the Iowa DOT's Office of Public Transit. STP funds for small urban and regional transit systems are also administered by the Office of Public Transit.

- **State Transit Assistance (STA)**. All public transit systems are eligible for funding. These funds can be used by the public transit system for operating, capital, or planning expenses related to the provision of open-to-the-public passenger transportation. The majority of the funds received in a fiscal year are distributed to individual transit systems on the basis of a formula using performance statistics from the most recent available year.

    - **STA Special Projects**. Each year up to $300,000 of the total STA funds are set aside to fund "special projects." These can include grants to individual systems to support transit services that are developed in conjunction with human services agencies. Grants can also be awarded to statewide projects that improve public transit in Iowa through such means as technical training for transit system or planning agency personnel, statewide marketing campaigns, etc. This funding is also used to mirror the RTAP to support individual transit training fellowships for large urban transit staff or planners.

        - **STA Coordination Special Projects**. Funds provide assistance with startup of new services that have been identified as needs by health, employment, or human services agencies participating in the passenger transportation planning process.

- **Public Transit Infrastructure Grant Fund**. This is a state program that can fund transit facility projects that involve new construction, reconstruction, or remodeling. To qualify, projects must include a vertical component.

TIP format

The Iowa DOT has adopted a standard format for submittal of program data to FHWA and FTA. The standard format includes project location, route identification, project termini/location, work description, project sponsor, FHWA structure numbers, total project costs by year, and expected federal-aid funds by year. The Office of Program Management recommends using TPMS to generate all lists of programming information as TPMS utilizes the standard format. Appendix 2 presents the standard formatting as generated by TPMS.

The programming format used by planning agencies for their TIPs may be different from the standard format required for Iowa DOT use, although it is not recommended. To the extent practical, work descriptions should parallel those used for the highway section of the Iowa DOT's

STIP. Similar information is required for TAP projects, with the route being replaced by the subject of the improvement (i.e., a trail or building name).

TIP adoption/approval

Adoption of the MPO or RPA TIP is subject to each local planning agency's review and approval process. The review process consists of a public comment period that provides opportunities to review the draft TIP. At the conclusion of the public review period, MPO or RPA staff review and summarize all submitted comments and present the findings to their committees for consideration into the final TIP. The MPO or RPA then submit the final TIP (approved version), with a copy of the formal resolution, to the Iowa DOT. The Iowa DOT then reviews the program to ensure compliance with federal regulations.

TIP submission to the Iowa DOT

Draft TIPs must be submitted to the Office of Program Management, the Office of Public Transit, the Iowa DOT District Planner, FHWA, and FTA by June 15. A single hard copy of the draft should be submitted to the Office of Program Management for both MPOs and RPAs. In addition, electronic copies of the draft TIPs shall be provided to all listed above. Planning agencies must submit a final draft of their TIP, including any revisions made as a result of the Iowa DOT, FHWA, and FTA review by July 15**.** For both MPOs and RPAs, a total of four hard copies of the final TIP are required to be sent to the Office of Program Management. These hard copies will be distributed to the Office of Program Management, Office of Public Transit, and FHWA. An electronic copy of the final TIP should also be submitted to all five parties identified above.

Revising an approved TIP

Under federal law, planning agencies may revise their TIPs at any time under policies and procedures agreed to with all cooperating parties. These revisions are any changes to the TIP that occur outside of the annual updating process.

The Office of Program Management identifies two types of revisions to the TIP: amendments (major revisions) and administrative modifications (minor revisions). The Iowa DOT requests that each MPO and RPA consider the state utilized thresholds listed below when adopting their definitions for amendments and administrative modifications. While these same thresholds may be used by local planning agencies, more restrictive thresholds may be implemented at the local level, if desired.

For both amendments and administrative modifications, all revisions must be processed in TPMS and the date of approval by the MPO and RPA needs to be included in the revision submittal.

Amendment

An amendment is a revision to the TIP that involves a major change to a project included in the TIP or the creation of a new project. If the change to the TIP is an amendment, two primary procedural requirements exist. These requirements include approval by the local agency's technical and policy boards and that the project follow the agency's public participation process. When the TIP is amended, local planning agencies are required to redemonstrate fiscal constraint of the TIP/STIP. However, if a revenue source is subsequently

removed or substantially reduced (i.e., by legislative or administrative actions) the original determination of fiscal constraint will not be withdrawn.

An amendment can include an addition or deletion of a projector a major change in design concept or scope. Any proposed changes that meet any of the following criteria are considered amendments.

- **Project cost:** Projects in which the recalculated project costs increase federal aid by more than 30 percent or increase total federal aid by more than $2 million from the original amount.
- **Schedule changes:** Projects added or deleted from the TIP.
- **Funding sources:** Adding an additional federal funding source.
- **Scope changes:** Changing the project termini, project alignment, the amount of through traffic lanes, type of work from an overlay to reconstruction, or a change to include widening of the roadway.

Amendment process

For locally sponsored projects, the planning agency conducts its amendment process that includes both public comment period and board approval. Upon completion of the public comment period and inclusion to the local TIP, the amendment will be approved by the Iowa DOT. Following approval of the Iowa DOT, the amendment is eligible for FHWA approval.

When adding an Iowa DOT-sponsored project the amendment process begins with presenting the proposed new project to the Iowa Transportation Commission. If approved these projects are added to the Five Year Program and then published to the Iowa DOT website for a minimum 14-day public comment period. Iowa DOT amendments will also be submitted to the applicable MPO to go through the local amendment process. Once completed at the local level, the amendment is eligible for FHWA approval. For an Iowa DOT amendment in an RPA an attempt will be made to follow the same procedure. However, if necessary, Iowa DOT amendments in an RPA may be approved at the statewide level to facilitate letting/authorization.

Administrative modification

An administrative modification is a revision making a minor change to a project in the TIP. An administrative modification does not require public review and comment, board approval, or a conformity determination (in nonattainment and maintenance areas). However, in most instances, administrative modifications are also subject to redemonstration of fiscal constraint of the TIP/STIP.

An administrative modification can include minor changes to project costs and project or project phase initiation dates. Any proposed changes that meet any of the following criteria are considered administrative modifications.

- **Project cost:** Projects in which the recalculated project costs do not increase federal aid by more than 30 percent or do not increase total federal aid by more than $2 million from the original amount.

- **Schedule changes:** Changes in schedules to projects included in the first four years of the TIP.
- **Funding sources:** Changing funding from one source to another.
- **Scope changes:** All changes to a project's scope require an amendment.

Projects in any of the first four years of the TIP may be advanced to the first year of the TIP, subject to the MPO and RPA selection requirements, and this change is considered an administrative modification. In addition, any changes to projects included in the TIP for illustrative purposes may be processed via an administrative modification.

Administrative modification process

Administrative modifications have simplified procedures that allow more flexibility in processing changes. Each MPO and RPA is allowed to process their changes by seeking board approval, or the planning agency may make minor changes administratively if the process is documented and approved by the appropriate technical and policy boards. Public participation procedures are not required for administrative modifications for either locally or Iowa DOT-sponsored projects.

Redemonstration of Fiscal Constraint

The Iowa DOT is required to ensure that that the STIP is fiscally constrained not only at the time of approval but also throughout the fiscal year. As part of the draft STIP process the DOT adjusts its federal aid participation to utilize all remaining federal funds after local project sponsors have programmed their federal aid projects. Based on this approach, at the time of approval by FHWA and FTA, no additional federal aid funds are available to be added to the STIP and maintain fiscal constraint of the document.

In order to maintain fiscal constraint of the STIP document any revision to the STIP that adds a new federal aid project or increases a project's STIP limit will require that a corresponding change be made to another programming entry to ensure that the STIP remains fiscally constrained. The federal aid funds moved to make way for the additional programmed federal aid need to be of the same federal aid program type. For example, if additional STP funds are going to be added to a project the corresponding reduction in federal aid on another project must be STP funds. This requirement pertains to both administrative modifications and amendments to the STIP and therefore also applies when moving projects up from the out years of the STIP. To facilitate the STIP approval process a programming note should be added to both TPMS entries noting the TPMS number of the other project.

The requirement to ensure fiscal constraint does not apply to accomplishment year projects that have been already programmed at their full federal aid participation rate (typically 80 percent) and whose programming entry is being adjusted based on an updated cost estimate. That would include all projects that have been programmed with an 80/20 or 90/10 split. For those projects, we anticipate that any increases in cost estimates will be balanced out by projects whose authorized federal aid is less than what was programmed.

Illustrative Projects

The revision process for Illustrative projects is dependent upon whether or not the project is regionally significant. Regional significance can generally be thought of as whether or not the project adds capacity or changes access. Illustrative projects that are found to be regionally significant must be revised via the amendment process. This would include adding a project for NEPA/IRJ determination purposes. An administrative modification can be processed for projects that are not regionally significant.

Statewide Transportation Improvement Program (STIP)

Much like regional TIPs, the STIP is a four-year listing of projects for which federal-aid funding under Title 23 (Federal Highway Funding) and Title 49 (Federal Transit Assistance) of the United States Code is proposed. Iowa's STIP is developed annually through a cooperative effort with nine MPOs and 18 RPAs. The Iowa DOT develops the STIP by incorporating into a single document the portion of each planning agency's annual TIP being funded by the FHWA and FTA within Iowa.

In addition to the compilation of federal-aid projects, the STIP notes the Iowa DOT's authority to represent the state in the transportation-related activities, details the Iowa DOT's public involvement effort, and certifies the statewide planning efforts. The STIP must be fiscally constrained; meaning programmed amounts of federal aid must fall within limits set by the FHWA or FTA (generally related to past or estimated apportionments). A significant effort is undertaken to ensure that the programmed federal aid on both local- and state-sponsored projects is fiscally constrained. Through the use of Advance Construction, and by making adjustments to the state program, a fiscally constrained program is developed.

A summary of the guidelines under which the STIP is developed by the Iowa DOT is presented in Appendix 7.

Public participation review of STIP

The FAST Act requires broad public involvement in the development of the STIP and requires that states develop a proactive public participation process in developing STIPs. The successful development of the STIP is dependent not only on public involvement at the state level but also at the local level during the development of local TIPs. Coordination of public review through the planning agencies ensures broad opportunities for public review by informed participants.

In the case of state-sponsored projects, significant statewide public participation is encouraged and facilitated during the development of the Five-Year Program. State-sponsored projects identified as candidates for federal funding are included in the STIP to ensure compliance with that federal requirement. No state-participating primary road projects can be included in the STIP unless they have been approved by the Iowa Transportation Commission in the Five-Year Program.

The following is a summary of the public involvement process utilized both during the development of the STIP and after the STIP has been approved.

- Use of public announcements and widespread distribution.

  The draft STIP is distributed electronically in July to Iowa DOT district planners, MPOs, and RPAs. Following that the Iowa DOT prepares a news release notifying media outlets of the availability of the draft STIP. The same news release is published on the Iowa DOT's website and directs the public to an electronic copy of the document online. Finally, upon request, copies are provided on an individual basis to interested parties.

- Receive and incorporate public comments.

  The minimum comment period for the proposed STIP is 30 days from the date of the public notice. Written comments are encouraged. The announcement also indicates when and where a statewide public meeting will be held to accept direct comments. Upon receipt of public comments, any necessary modifications are made to the STIP before delivery to FHWA and FTA.

STIP submission to FHWA and FTA

After the statewide public review, the draft STIP may be revised based on comments received during the public review. Upon finalizing the STIP, both the STIP and final MPO TIPs will be submitted to FHWA and FTA for approval.

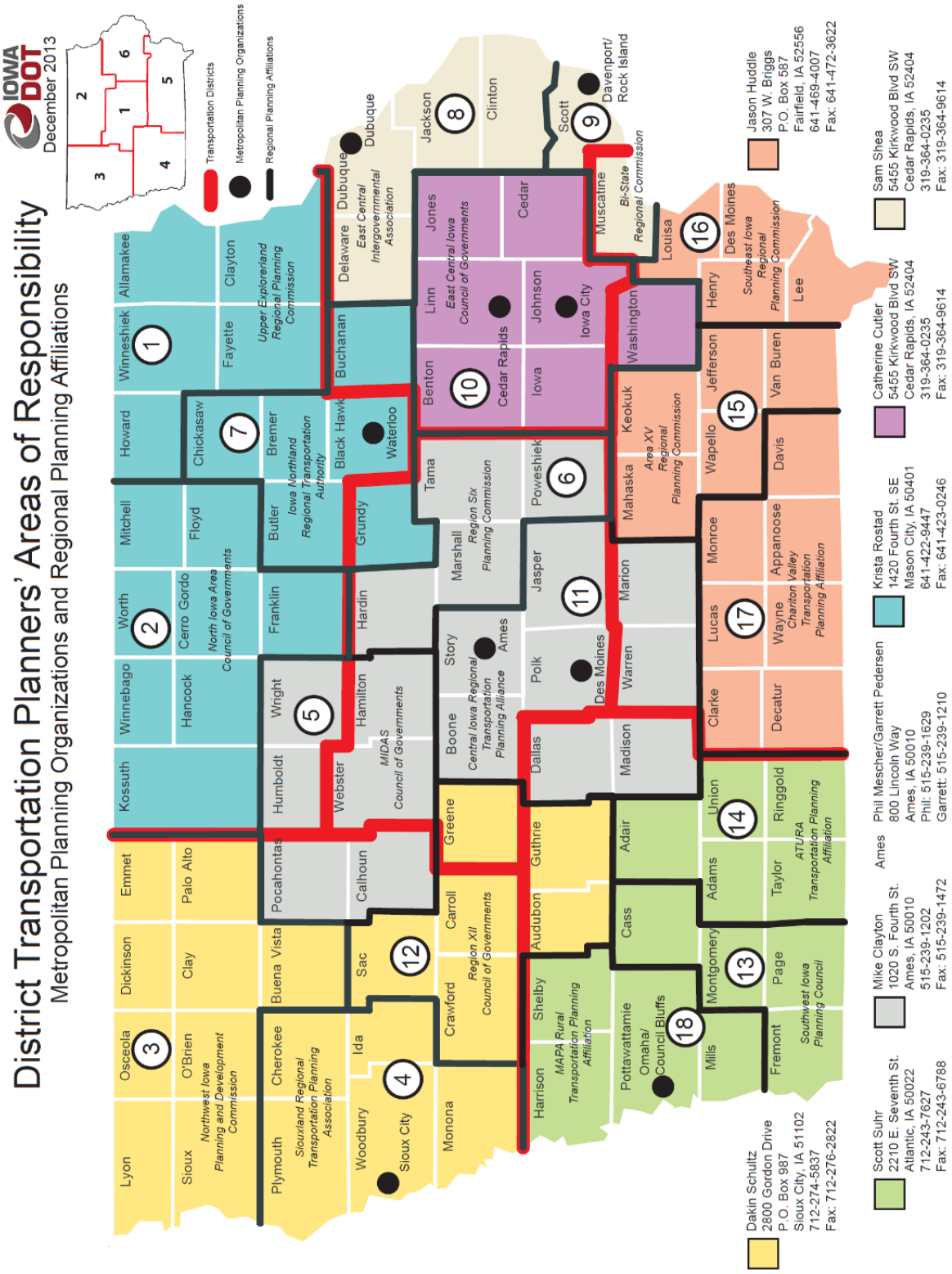
If the federal agencies find all documents submitted to be in conformance with federal requirements, the Iowa DOT will be notified of the joint approval of the STIP by FHWA and FTA. If additional material is required, or some part of the filing does not conform to federal requirements, the FHWA and/or FTA will notify the Iowa DOT of required changes. The goal is to accomplish unconditional approval of the STIP by both federal agencies prior to the beginning of the federal fiscal year on Oct. 1. This approval allows for authorization of federal-aid projects to be requested anytime thereafter. Paper copies of the final approved STIP will be provided to the MPOs, RPAs, and the public.

Revising the approved STIP

Due to the correlations that exist between local TIPs and the STIP, making revisions to the approved STIP is the same process as described above in the "Revising an Approved TIP" section. Revisions are determined to be either amendments or administrative modifications and then processed according to the guidelines for each of these revision types. Iowa DOT-sponsored amendments to the STIP are posted on the Office of Program Management's website at http://www.iowadot.gov/program_management/proposed_stip_amendments.html and are available for public comment. The minimum comment period for proposed amendment is 14 days from the date of public notice.

Appendices

Appendix 1: District planner areas of responsibility



RPA-00 / Statewide
2016 - 2019 Transportation Improvement Program

TPMS Sponsor Appr. Status	Project # Location Funding Program	Length FHWA# S:T:R		Pgm'd Amounts in 1000's FY16	FY17	FY18	FY19	Total	STIP#
STP - Surface Transportation Program									
Region Wide - 00									
34239	**STP-TREE(021)--70-00**	0	Project Total	63	0	0	0	63	TA
DOT-Statewide	On Iowa's Living Roadway Project: Community Visioning	--	Federal Aid	50	0	0	0	50	
FHWA Approved	Landscaping	--	Regional FA	0	0	0	0	0	60541
3	**STP--()--2C-00**	0 MI	Project Total	57,500	57,500	57,500	57,500	230,000	TA
DOT-Statewide	VARIOUS RDS: MISC CONSULTANT SERVICES -CONSULTING/INSPECTIONS	--	Federal Aid	1,000	1,000	1,000	1,000	4,000	
FHWA Approved	Outside Services Engineering	--	Regional FA	0	0	0	0	0	60526
8119	**STP--()--2C-00**	0 MI	Project Total	300	300	300	300	1,200	TA
DOT-Statewide	VARIOUS: PREVOCATIONAL TRAINING AND DBESUPPORT SERVICES-STATE SHARE	--	Federal Aid	240	240	240	240	960	
Authorized	Miscellaneous	--	Regional FA	0	0	0	0	0	60529
9662	**STP--()--2C-00**	0 MI	Project Total	500	500	500	500	2,000	TA
DOT-Statewide	VARIOUS: SCENIC BYWAYS PROGRAMPROJECTS DETERMINED LATER	--	Federal Aid	0	0	0	0	0	
FHWA Approved	Miscellaneous	--	Regional FA	0	0	0	0	0	--
13428	**STP--()--2C-00**	0 MI	Project Total	2,500	2,500	2,500	2,500	10,000	TA
DOT-Statewide	VARIOUS: ROADSIDE ENHANCEMENTIMPROVEMENTS-STATEWIDE	--	Federal Aid	250	250	250	250	1,000	
FHWA Approved	Landscaping	--	Regional FA	0	0	0	0	0	60532
8252	**STP--()--2C-00**	0 MI	Project Total	500	500	500	500	2,000	TA
DOT-Statewide	various: construction industry training program	--	Federal Aid	400	400	400	400	1,600	
FHWA Approved	Miscellaneous	--	Regional FA	0	0	0	0	0	60530
NHPP - National Highway Performance Program									
Region Wide - 00									
16883	**IM--()--13-00**	0 MI	Project Total	500	500	500	500	2,000	TA
DOT-Statewide	VARIOUS: STATEWIDE INTERSTATE LIGHTING	--	Federal Aid	450	450	450	450	1,800	
FHWA Approved	Lighting	--	Regional FA	0	0	0	0	0	60534
16884	**IM--()--13-00**	0 MI	Project Total	1,000	1,000	1,000	1,000	4,000	TA
DOT-Statewide	VARIOUS: STATEWIDE INTERSTATE SIGNING	--	Federal Aid	900	900	900	900	3,600	
FHWA Approved	Traffic Signs	--	Regional FA	0	0	0	0	0	60535
13745	**IM--()--13-00**	0	Project Total	0	90,000	90,000	95,000	275,000	TA AC
DOT-Statewide	Non-Interstate Pavement Modernization	--	Federal Aid	0	72,000	72,000	76,000	220,000	
FHWA Approved	Pavement Rehab	--	Regional FA	0	0	0	0	0	--

SYSTEM NOTE: CANDIDATE FOR ADVANCED CONSTRUCTION

Appendix 3: TIP checklist, highway section

Four hard copies of the final TIP must be submitted to the Iowa DOT's Office of Program Management. The final TIP must also be provided electronically to the Office of Program Management, Office of Public Transit, the Iowa DOT District Planner, FHWA , and FTA.

For the draft TIP, a single hard copy must be submitted to the Office of Program Management plus an electronic submittal to the parties listed above.

The following highway items are required to be included in the final TIP.

- A listing of all federal-aid projects, in the standard format, proposed for FHWA or FTA funds for four federal fiscal years with project costs adjusted into year of expenditure dollars.
- A summary of total project costs and federal aid, by funding program and year.
- A discussion of the fiscal constraint of the program. This should include tables demonstrating STP and TAP constraint, as well as tables documenting nonfederal-aid revenues and expected operations and maintenance (O&M) costs on the federal-aid system. Revenues and O&M costs should be adjusted based on assumed rates of inflation.
- A status report for all accomplishment year projects listed in the previous year's approved TIP. The status report should detail authorized projects, rollover projects, and projects removed from programming. "Authorized" means approval of federal-aid participation by the FHWA or grant approved by FTA.
- A discussion regarding project selection procedures. Identification of the region-specific criteria and process used to select projects for inclusion in the TIP. Project selection criteria for STP, TAP, and STP-HBP projects shall be included.
- A discussion concerning the public participation associated with development of the TIP. All public comments received should be included in the TIP.
- A map detailing the location of all projects programmed in the TIP.
- A discussion of the region's approved TIP revision procedures and criteria must be included in the TIP. The section must include a discussion of the process for revisions of the TIP and also the region's specific criteria for administrative modifications and amendments.
- A resolution or policy action of adoption of the TIP.
- A self-certification of the planning process (required for MPOs, suggested for RPAs).
- A disclaimer discussing the contents of the TIP.

Appendix 4: TIP checklist, transit section

The following transit items are required to be included in the final TIP.

- A financial capacity analysis for MPO transit programs included in the TIP or Consolidated Transit Funding Application (suggested for RPAs).
- A planning justification (narrative) for all transit projects include in the Consolidated Transit Funding Application.
- A feasibility study for any transit facility projects programmed in the first year of the TIP included in the Consolidated Transit Funding Application.
- Vehicle numbers for all projects to replace, remanufacture, or rehabilitate transit rolling stock.
- In areas with ADA required paratransit and key station plans, identification of those projects that will implement these plans. Additionally, specifically identify all transit projects that are not intended to implement aspects of the ADA plan.

Appendix 5: Transit programming guidance

IOWA DOT
Office of Public Transit

12/16/2015

FY 2017 Programming Guidance for Transit Vehicles

Vehicle type	Standard description	Typical capacities (seats/wheelchairs)	Ceiling* for federal participation	Federal replacement threshold
Minivan	Minivan	3/1, 1/2	85% of $ 50,000	4 yr./100,000 mi.
Non-ADA standard minivan	Non-ADA standard minivan	6	80% of $ 36,000	4 yr./100,000 mi.
Conversion van**	Conversion van	8/1, 4/2	85% of $ 52,000	4 yr./100,000 mi.
Non-ADA standard van**	Non-ADA standard van	14	80% of $ 37,000	4 yr./100,000 mi.
Light-duty (LD) bus (138" wb)	138" LD bus	8/1, 4/2	85% of $ 79,000	4 yr./100,000 mi.
Non-ADA LD bus (138" wb)	Non-ADA 138" LD bus	13	80% of $ 66,000	4 yr./100,000 mi.
Light-duty bus (158" -170" wb)	158" LD bus	13/1, 6/2	85% of $ 81,000	4 yr./100,000 mi.
Non-ADA LD bus (158" - 170" wb)	Non-ADA 158" LD bus	17-21	80% of $ 68,000	4 yr./100,000 mi.
Light-duty bus (176" wb)	176" LD bus	14/2, 10/3	85% of $ 86,000	4 yr./100,000 mi.
Non-ADA LD bus (176" wb)	Non-ADA 176" LD bus	25	80% of $ 73,000	4 yr./100,000 mi.
Medium-duty (MD) bus (to 28 ft.)	28' MD bus	12/2, 8/3	85% of $ 174,000	7 yr./200,000 mi.
Medium-duty bus (29-32 ft.)	30' MD bus	13/2, 10/3	85% of $ 179,000	7 yr./200,000 mi.
Medium-duty bus (33-36 ft.)	35' MD bus	17/2, 14/3	85% of $ 199,000	7 yr./200,000 mi.
Medium-duty bus (37-42 ft.)	40' MD bus	21/2, 18/3	85% of $ 221,000	7 yr./200,000 mi.
Heavy-duty (HD) bus (26-29 ft.)	26' HD bus	18/2, 14/3	85% of $ 380,000	10 yr./350,000 mi.
Heavy-duty bus (30-34 ft.)	30' HD bus	26/2, 22/3	85% of $ 430,000	10 yr./350,000 mi.
Heavy-duty bus (35-39 ft.)	35' HD bus	34/2, 30/3	85% of $ 438,000	12 yr./500,000 mi.
Heavy-duty bus (40-42 ft.)	40' HD bus	42/2, 38/3	85% of $ 460,000	12 yr./500,000 mi.

Note: Percentages may be different depending on the grant

Diesel engine: Included in ceiling for HD and MD buses; but add $8,000 to programmed cost for LD buses. [Be sure to list "diesel" in project description.] Alternate fuel engine: add funding required to ceiling shown and justify cost increase separately for compressed natural gase (CNG), liquid natural gas (LNG), or other clean air engine/features.

Low-floor: Included in ceiling for HD buses; but, for purchasing MD buses, add $75,000 to programmed cost. If purchasing LD buses, add $50,000.

Urban fixed-route configuration: Included in ceiling for HD buses; but, for purchasing farebox, light-emitting diode (LED) destination signs, passenger signal devices(s), PA system, and standee grab bars add $7,000 to programmed cost for LD and MD buses.

Vehicle surveillance systems: If a vehicle will be equipped with an expansion (not replacement) digital video and audio surveillance system, the program ceiling for that vehicle type should be increased: 1) for van type vehicles that will be equipped with at least two cameras by $2,500 ($2,125 federal); 2) for LD buses that will be equipped with at least four cameras by $4,000 ($3,400 federal), by at least six cameras by $6,000 ($5,100 federal); and 3) for MD/HD buses that will be equipped with at least six cameras by $8,000 ($6,800 federal) and with at least eight cameras $10,000 ($8,500 federal).

Body styling upgrades: Each program ceiling shown is for a standard revenue vehicle. Body styling upgrades (e.g., trolley; BRT styling) are allowed as a separate line item in the TIP. Such upgrades must use local, formula, STP or other funds rather than statewide Section 5339 funding.

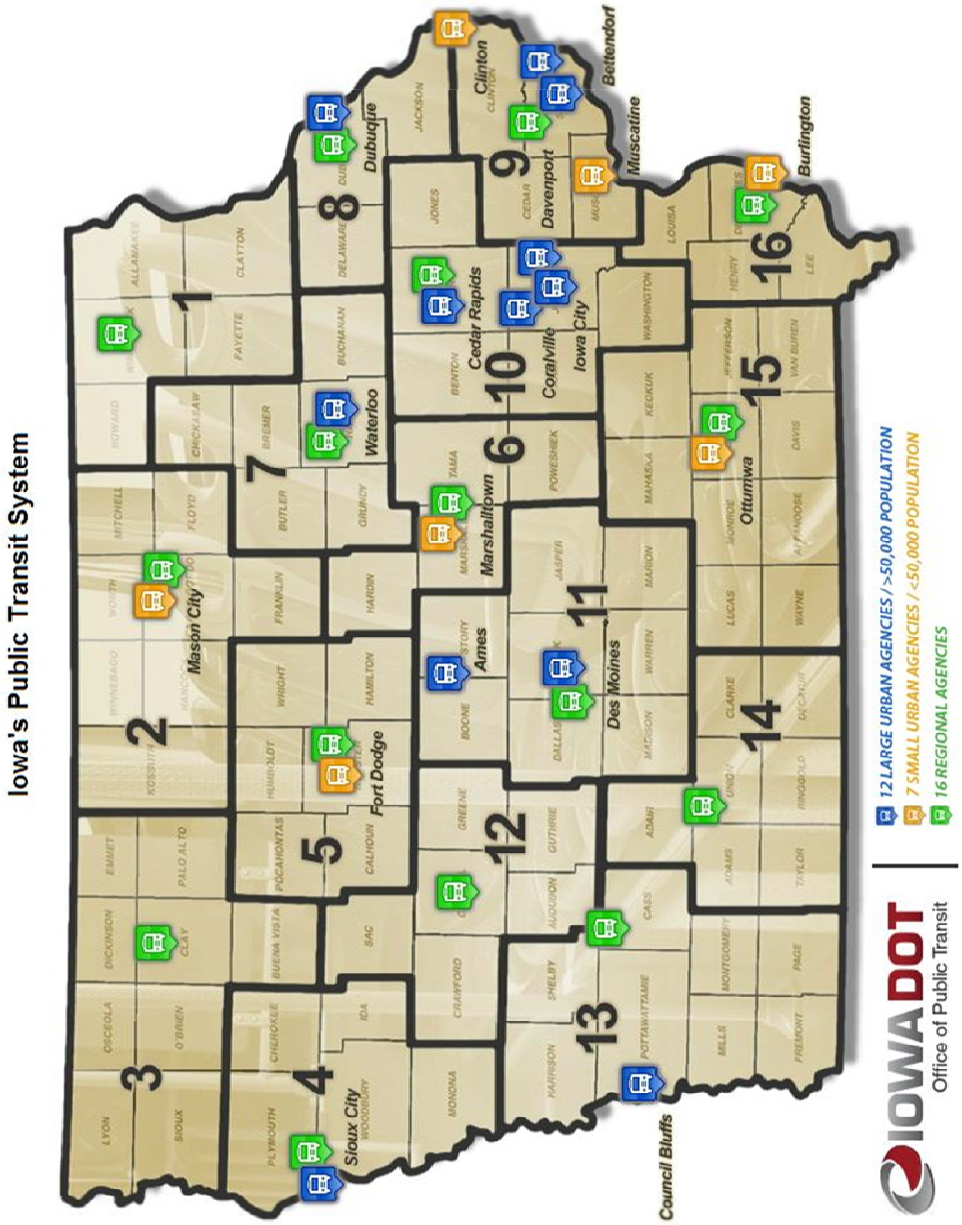
Vehicle rehabilitation (rehab): may be programmed for any revenue vehicle at 30 percent of new cost (i.e. SFY 2015 ceiling with 80 percent federal participation, if vehicle has met minimum FTA replacement (repl) threshold. Once rehabbed, a vehicle's replacement threshold will be 50 percent of the federal replacement threshold for a new vehicle.

***Ceilings** shown reflect that each vehicle programmed must be equipped to meet ADA, unless it is specifically described and justification is provided for the vehicle to be "Non-ADA". Section 5339 funds will not be used toward Non-ADA vehicle purchases. Two-way radio purchase/transfer, vehicle inspection and make ready costs, as well as factory visit costs are also eligible expenses under these ceilings.

** Conversion and standard vans with wheelbases of 127" to 148" are not recommended for "like kind" replacement or fleet expansion under Iowa DOT administered grants. NHTSA has issued warnings about the safety of conversion and standard vans. Some insurance carriers have also increased premiums, or may deny coverage, on these types of vehicles. As such, transit systems planning to purchase replacements for such vehicles are permitted/encouraged to program a minivan or a light duty bus instead.

Price adjustments for future program years: Program figures for SFY2015 and beyond need to reflect "year of expenditure" dollars. Adjustments to the SFY 2015 guidance should be made reflecting the impact of inflation and other factors using the Producer Price Index or other relevant information. The Office of Public Transit (OPT) suggests that pricing increases of 4 percent per year would seem reasonable for rolling stock based on information staff has received. Projects programmed for statewide funding in SFY 2015 that are not selected will be increased by 4 percent and moved to SFY 2016 by OPT, unless staff is informed that other funding sources have been programmed or other arrangements have been made.

Appendix 6: Transit map



Appendix 7: STIP guidelines

Section 23 CFR 450.218, in the statewide planning regulations, describes several certifications the state must make when submitting their proposed STIP, and amendments as necessary, to the FHWA and FTA for approval. The state shall certify that their transportation planning process is being carried out in accordance with the following requirements.

- 23 U.S.C. 134 and 135, 49 U.S.C. 5303 and 5304
- Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000d-1) and 49 CFR part 21
- 49 U.S.C. 5332, prohibiting discrimination on the basis of race, color, creed, national origin, sex, or age in employment or business opportunity
- Section 1101(b) of the SAFETEA-LU (Pub. L. 109-59) and 49 CFR part 26 regarding the involvement of disadvantaged business enterprises in U.S. DOT-funded projects
- 23 CFR part 230, regarding implementation of an equal opportunity program on federal and federal-aid highway construction contracts
- Provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq) and 49 CFR parts 27, 37, and 38
- Older Americans Act, as amended (42 U.S.C. 6101) prohibiting discrimination on the basis of age in programs or activities receiving federal financial assistance
- 23 U.S.C. 324 regarding the prohibition of discrimination based on gender
- Section 504 of the Rehabilitation Act of 1973 (49 U.S.C. 794) and 49 CFR part 27 regarding discrimination against individuals with disabilities

Sections 174 and 176(c) and (d) of the Clean Air Act do not apply because there are no nonattainment or maintenance areas in Iowa.

Other stipulations of 23 CFR 450(b) addressed during the development of the STIP are:

- Adherence to requirements for public involvement.
- Inclusion of projects only if consistent with state and local long-range plans.
- Inclusion of federal-aid projects and all regionally significant transportation projects requiring FHWA or FTA consideration during the first four-year program period.
- Inclusion of MPO TIPs without modification, which directly or by reference, have been approved by the governor or his designee.
- In nonattainment and maintenance area, the STIP contains only transportation projects found to conform, or from programs that conform, to the requirements contained in 40 CFR 51.
- Advisement to recipients of FTA funding that feasibility studies are required for facility projects.
- Inclusion of tables showing the STIP is fiscally constrained by year.