

***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 Development Timeline

October	Project sponsors should submit applications for Statewide Transportation Enhancement (TE), National Recreational Trails (NRT), Safe Routes to School (SRTS), and Iowa Clean Air Attainment Program (ICAAP) funding. Applications are due to the Iowa Department of Transportation's (DOT) Office of Systems Planning on Oct. 1 for use in the following federal fiscal year.
December	The Iowa DOT's Office of Public Transit will post Consolidated Transit Funding application materials on its website at www.iowadot.gov/transit .
January	The Iowa Transportation Commission awards projects for Statewide TE, NRT, SRTS and ICAAP. Local planning agencies are notified of Federal Lands funding.
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.
January/February	Projected funding targets will be provided to MPOs and regional planning affiliations (RPA) for the Surface Transportation Program (STP), TE and transit funding programs for the next four federal fiscal years. County Highway Bridge Program (HBP) targets are provided by the Office of Local Systems. Federal Transit Administration (FTA) 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.
April	Project sponsors shall submit a final Passenger Transportation Plan to the Iowa DOT's offices of Systems Planning and Public Transit on or before April 1.
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 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 transportation improvement program (TIP).

June MPOs and RPAs are required to submit a draft TIP to the Iowa DOT's Office of Program Management, Federal Highway Administration (FHWA) and FTA for review and comment by June 15.

July MPOs and RPAs are required to submit a final TIP to the Iowa DOT's Office of Program Management by July 15.

Statewide Transportation Improvement Program Development Timeline

July	The Iowa DOT will distribute the draft Statewide Transportation Improvement Program (STIP) for public review and comment.
August	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 FHWA and FTA.
October	FHWA and FTA will approve the final STIP and TIPs on or before Oct. 1.
December	The Iowa DOT's Office of Program Management will adjust the spending authority to reflect federal authorizations.
Quarterly	The Iowa DOT's Office of Program Management will provide a summarized listing of STP and TE authorizations to MPOs and RPAs.
Biannually	The Iowa DOT's Office of Public Transit will provide a summarized listing of Job Access Reverse Commute and New Freedom funds available.

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 (DOT) district planner. 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 telephone 515-233-7870.

The Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy of Users (SAFETEA-LU) continues 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 (FHWA) and Federal Transit Administration (FTA) 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, 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, which 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. 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 using the URL

<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, 800 Lincoln Way, Ames Iowa 50010, or telephone 515-239-1664.

Federal funding

Projects identified in local TIPs utilize a number of different sources of federal funding. While some FHWA funds are distributed by statutory formulas, other funds are “discretionary” (congressionally earmarked). The primary sources of FHWA funding to Iowa, which are in part used to fund local efforts, include:

- **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 providing 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 Bridge Program (HBP).** This program provides funding for bridges on public roads. Fifteen percent of the HBP funding must be spent on bridges off the federal-aid system. The remaining 85 percent can be used to fund bridge projects both on and off the federal-aid system.
- **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.
- **Interstate Maintenance (IM).** This program is available to rehabilitate, restore and resurface the interstate system, but not to add capacity. Capacity additions to the interstate system can only be funded from NHS or STP funding.
- **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.
- **National Highway System (NHS).** NHS funds may be used to construct or improve NHS roadways, including state highways, U.S. highways and interstates.
- **Surface Transportation Program (STP).** This program is designed to address specific issues identified by Congress and to continue programs funded under the previous highway bill. STP funding may be spent on:
 - Roadway and bridge projects on federal-aid routes.
 - Transit capital improvements.
 - Planning activities.
- **Transportation Enhancements (TE).** This program is a component of the STP program and serves to expand travel choices and improve the transportation experience. Transportation enhancement projects improve the cultural, historic, aesthetic and environmental aspects of our transportation infrastructure. Enhancement projects can include creation of bicycle and pedestrian facilities,

streetscape improvements, and the restoration of historic transportation facilities, among others.

- **Federal Lands Highway Program (FLHP).** The main purpose of the FLHP is to provide financial resources and technical assistance for a program of public roads that service the transportation needs of federal and Indian lands.

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.** A portion of federal Highway Bridge Program (HBP) funds are 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 \$1,000,000.
- **Iowa Clean Air Attainment Program (ICAAP).** The ICAAP program funds projects that are intended to maximize emission reductions through traffic flow improvements, reduced vehicle miles of travel, and reduced single occupancy vehicle trips.
- **Federal Recreational Trails.** This program provides federal funding for both motorized and nonmotorized trail projects.
- **Safe Routes to School (SRTS).** The SRTS program funds infrastructure and noninfrastructure projects that increase safety and promote walking and bicycling to school.
- **Statewide Transportation Enhancements (TE).** TE projects are intended to go beyond the scope of a normal transportation improvement project and are often awarded to projects with statewide significance. Statewide TE projects are categorized by trail and bicycle facility, historic and archeological, and scenic and environmental projects.

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 Iowa DOT's Office of Systems Planning, 800 Lincoln Way, Ames, Iowa 50010, or telephone 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 maybe be included in the TIP as illustrative projects. Information regarding project costs and funding should be shown as notes rather than programmed amounts. 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.

A summary table compiling total costs and anticipated federal-aid for all the projects included in the TIP, by funding program and year, must also be included.

TIP Financial Information

The Iowa DOT's Office of Program Management provides each MPO and RPA with estimated annual STP and TE funding targets for each of the four years in the TIP. TE funding is a portion of the total STP funds, and currently is required to account for 10 percent of the total statewide STP apportionment. Fifty percent of these TE funds are distributed to MPOs and RPAs for local projects, while the remaining 50 percent are distributed annually through the Statewide TE grant process.

It is important to note that actual targets can be revised or 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 normally 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 are needed.
- Spending authority is slightly less than apportionment, an adjustment will be accomplished within the state TIP to balance the program.
- Spending authority is much less than apportionment, adjustments in the TIPs for the MPOs, RPAs and state may be required to balance the program.
- Spending limit slightly higher than apportionment, the STIP will be adjusted to balance the program.

- Spending authority is much 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 assumed inflation rates for 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 should document what inflation rate was used to adjust projects into YOE dollars. In addition, the TIP should 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.

For the purposes of showing the STP and TE 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 can demonstrate the fiscal constraint of the STP and TE programs through a table comparing unobligated balances, regionally targeted funds, and programmed federal-aid costs. An example of the preferred format for this table is shown below in Table 1. The table should be completed for both STP and TE funds.

Table 1
STP and TE Fiscal Constraint Example Table

	Year 1	Year 2	Year 2	Year 4
Unobligated Balance (Carryover)	\$100,000	\$100,000	\$125,000	\$175,000
Region STP Target	100,000	100,000	100,000	100,000
Programmed Federal-aid	100,000	75,000	50,000	25,000
Balance	100,000	125,000	175,000	250,000

While similar, HBP fiscal constraint is reviewed on a statewide basis rather than at the individual MPO or RPA level. No specific table demonstrating fiscal constraint is necessary, as constraint of the HBP will be shown in the STIP. Estimated 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 the HBP fiscal constraint calculations to determine if the county bridge program 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 bridge 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 TE balances. On a quarterly basis, the Office of Program Management will provide local planning agencies with a report summarizing all STP and TE federal-aid obligations that were authorized during the quarter. The authorized obligation amounts will be either the federal-aid limit shown in the TIP or the appropriate federal-aid participation rate of the eligible project cost, whichever is less.

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 obligated and 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 TE projects but also for Bridge projects.

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.

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 page 12, should be specifically identified. Additional information to be included when detailing revision procedures includes 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 that require an action by the FHWA or the FTA are required to be included in the TIP, regardless of whether or not the projects have federal-aid funding programmed. 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. In addition, all regionally significant projects proposed to utilize federal funds other than those administered by FHWA or the FTA are required to be in the TIP. Finally, all regionally significant projects to be funded with nonfederal funds are also required to be included in the TIP.

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.

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, project length, 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.

Programming information submitted to the Iowa DOT that is not in the standard format will not be included in the STIP. All information other than the project number is required in order for the project to be included in the STIP. Project numbers are also desired, if one has been assigned. In some cases, such as bridges, TE or ICAAP projects, project numbers may not be available at the time the information is sent to the MPO or RPA. This especially holds true for local projects.

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 TE projects, with the route being replaced by the subject of the improvement (i.e., a trail or building name) and the length being replaced by the applicable quantitative measure.

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 allows for opportunities to review of the draft TIP. At the conclusion of the public review period, MPO or RPA staff reviews and summarizes all submitted comments and presents the findings to their committees for consideration into the final TIP. The MPO or RPA submits 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, FHWA and FTA by June 15. A total of three hard copies should be submitted for both MPOs and RPAs. In addition, electronic copies of the draft TIPs shall be provided to the Iowa DOT district transportation planners, FHWA and FTA. 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 to the to the

Office of Program Management. For both MPOs and RPAs, a total of six copies of the final TIP are required. An electronic copy of the final TIP is also to be submitted to the Office of Program Management.

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 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. Changes that result in the TIP no longer being fiscally constrained must take place by amendment of the TIP. 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. Any changes to projects included in the TIP for illustrative purposes only do not require an amendment.

An amendment can include an addition or deletion of a project, a major change in project cost or project/project phase initiation dates, or 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:** Projects receiving additional federal funding sources to a project.
- **Fiscal constraint:** Changes that result in the TIP no longer being fiscally constrained (makes any of the four federal fiscal years not fiscally constrained).

- **Scope changes:** Changing the project termini, 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 board approval and a public comment period. 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.

For Iowa DOT-sponsored projects, the amendment process begins with presenting proposed amendments to the Iowa Transportation Commission. These proposed amendments are then published to the Iowa DOT website for a minimum 14-day public comment period. Upon Iowa Transportation Commission approval, Iowa DOT amendments will be submitted to the applicable planning agency to go through the local amendment process. Once completed at the local level, the amendment is eligible for FHWA approval.

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, redemonstration of fiscal constraint, or a conformity determination (in nonattainment and maintenance areas).

An administrative modification can include minor changes to project phase costs, funding sources of a previously included projects, 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:** Changes to funding from one source to another.
- **Scope changes:** All changes to the project's scope.

Projects in any of the first four years of the TIP may be advanced in place of another project in the first four years of the TIP, subject to the MPO and RPA selection requirements, and is considered an administrative modification unless the TIP does not remain fiscally constrained.

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 if the process is documented and approved by the appropriate technical and policy boards. Public participation procedures are not required for administrative modifications for both locally and Iowa DOT-sponsored projects.

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.

FTA and state transit funding

In December, transit funding projections are distributed to the MPOs, RPAs and transit agencies. 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 provided to MPOs, RPAs and transit operators 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) and to RPAs (under Section 5311 or 5304) will be announced in December.

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 competitive selections process for Job Access and Reverse Commute and New Freedom projects if applicable
- 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 Public 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. No facility project will be accepted without a feasibility study.
- 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 MPO and RPA 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.
- 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 program and for the small urbanized and nonurbanized portions of the Job Access Reverse Commute and New Freedom programs 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 SAFETEA-LU 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 Planning Program (Section 5303).** 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).** 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 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.
- **Capital Investment Program (Bus and Bus Facilities) (Section 5309).** The transit discretionary 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. In recent years, Congress has earmarked all of these funds for specific projects or geographic regions.
- **Elderly Individuals 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 50,000.
- **Nonurbanized Area Formula 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(h)).** This funding is used for statewide training events and to support transit funding fellowships for regional and small urban transit staff or planners.
- **Job Access and Reverse Commute Program (Section 5316).** This program provides funding for transportation services in urban, suburban and rural areas to increase access to employment opportunities for welfare recipients and low income individuals. The program also aims to increase collaboration among the transportation providers, human services agencies, employers, MPOs, and affected communities and individuals. All transit systems in the state are eligible for this program. The funds are available on a competitive basis, or may be earmarked by Congress for specific projects or geographic regions. By law, there is a separate allocation to each urbanized area with more than 200,000 persons. The state receives individual allocations for both smaller urbanized areas (population between 50,000 and 200,000) and nonurbanized areas (population less than 50,000). A competitive project selection process must be conducted for each of these allocations.

- **New Freedom Program (Section 5317).** This program encourages services and facility improvements to address the transportation needs of persons with disabilities that were not addressed in SAFETEA-LU and go beyond those required by ADA. By law, there is a separate allocation to each urbanized area with more than 200,000 persons. The state receives individual allocations for both smaller urbanized areas and nonurbanized areas. A competitive project selection process must be conducted for both the small urbanized area and nonurbanized area allocations.
- **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.
- **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 program 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 Grants.** 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.

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 agencies 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 6.

Public participation review of STIP

SAFETEA-LU 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 in July to Iowa DOT district planners, MPOs and RPAs. An announcement is published in regional newspapers informing the public that the draft STIP is available for review at these locations. Similarly, 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 by letter or fax are encouraged. The announcement also indicates when and where a statewide public meeting will be held to accept direct comments. The comment period will close no later than Sept. 1. Upon receipt of public comments, any necessary modifications are made to the STIP before delivery to FHWA and FTA.

STIP submission to FHWA/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 FHWA and FTA will also make available the status of the draft STIP until the requirements are met. 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.

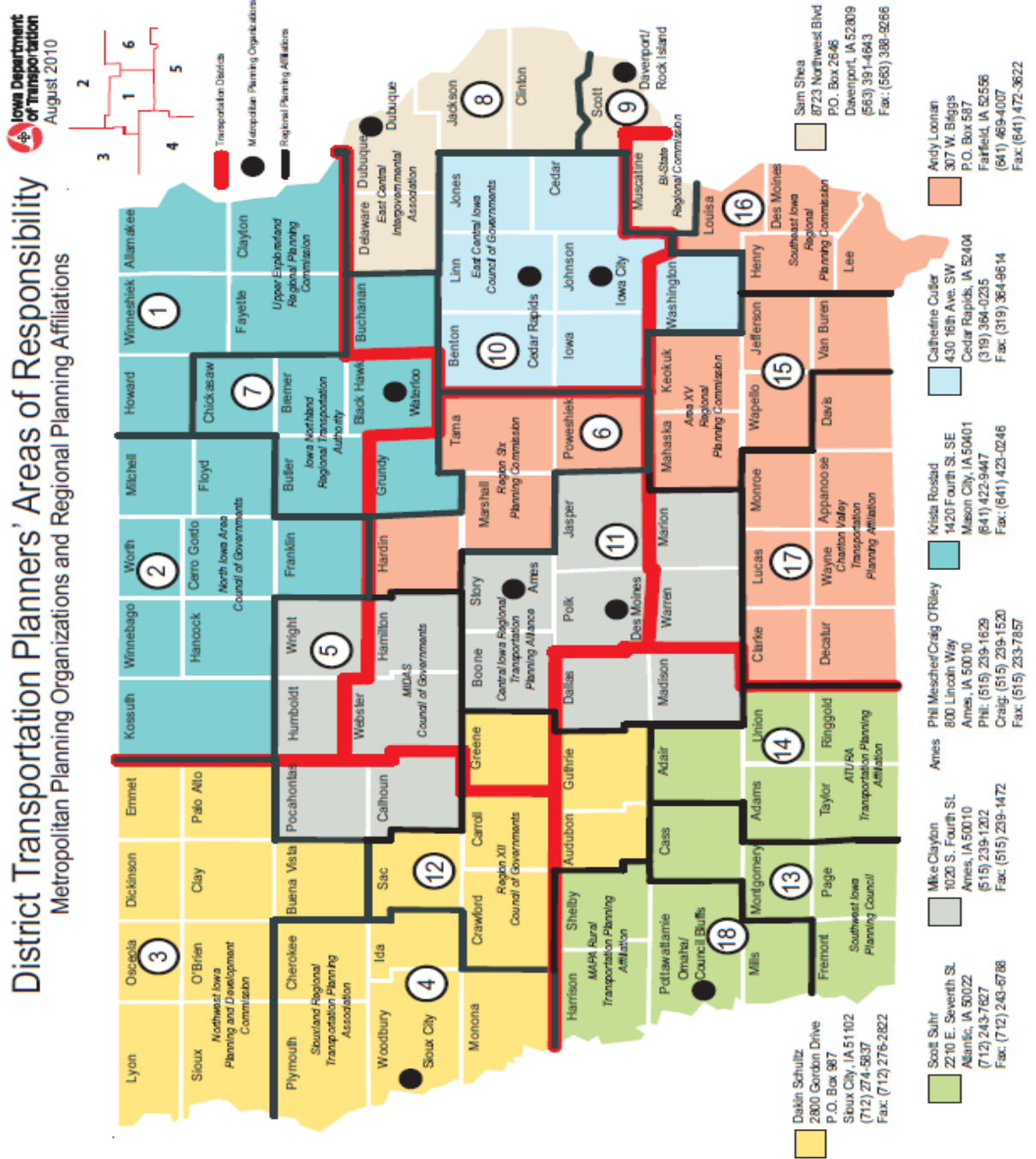
Revising the approved STIP

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(s) is 14 days from the date of public notice.

Appendices

Appendix 1: District planner areas of responsibility



Appendix 2: TPMS project formatting

RPA-08 2011 - 2014 Transportation Improvement Program									
TPMS Sponsor Appr Status	Project # Location Funding Program	Length FHWA # Sec-Turnship-Range	Project Funding	Programmed Amount	PA-Co-SEQ PA ID #				
			Federal Aid Regional FA	FY11 FY12 FY13 FY14	FY14 STIP ID #				
[1] STP - Surface Transportation Program									
Region Wide - 00									
386 RPA-08 FHWA Approved	RGPL-PA08(PMS)-ST-00 ECLA-PAVEMENT MANAGEMENT DATA COLLECTION Trans Planning	--	Project Total Federal Aid \$13 Regional FA \$10	-- -- -- --	8-0-312 -- -- -- -- 10328				
478 RPA-08 FHWA Approved	RGPL-PA08(RTP)-ST-00 ECLA-EPA 8 TRANSPORTATION PLANNING Trans Planning PA Note: It is revision to existing TIP and not an Amendment.	--	Project Total Federal Aid \$65 Regional FA \$52	-- -- -- --	8-0-335 -- -- -- -- 10008				
6618 RPA-08 FHWA Approved	RGPL-PA08(UDS)-ST-00 ECLA-STATEWIDE URBAN DESIGN STANDARDS Trans Planning	--	Project Total Federal Aid \$8 Regional FA \$6	-- -- -- --	8-0-162 -- -- -- -- 10329				
Clinton County - 23									
13145 Clinton FHWA Approved	STP-U-41150-27-23 City of Clinton Travel Demand Forecast model maintenance Planning Study	--	Project Total Federal Aid \$5 Regional FA \$4	-- -- -- --	8-25-100 -- -- -- -- 10080				
19771 DOT-D06-RPA08 FHWA Approved	STP-0-2C-23 IA 136 WCL CLINTON TO CHARLOTTE Pavement Rehab	16.3 --	Project Total Federal Aid \$4700 Regional FA \$3760	-- -- -- --	8-23-137 -- -- -- -- 10389				
Delaware County - 28									
12988 Delaware CRD Anuboried FHWA Approved	STP-S-C028(70)-SE-28 X-21-2+0th Street to Jefferson Rd Bridge Replacement	0.1 MI 1409-20 15:88:5	Project Total Federal Aid \$1000 Regional FA \$800	-- -- -- --	8-28-56 -- -- -- -- 10218				
Dubuque County - 31									
3361 Dubuque CRD FHWA Approved	STP-S-C031(850)-SE-31 D-17-Budd Rd to Bunkron Park Road Pavement Rehab	8.732 MI -- 17:89:1E	Project Total Federal Aid \$2700 Regional FA \$900	-- -- -- --	8-31-170 -- -- -- -- 10097				
14415 Dubuque CRD FHWA Approved	STP-S-C031(900)-SE-31 DOT Letting- Apr17/2012 Y-13-City of Farley to City of Cascade Pave, Granular Shoulders	10.6 MI -- 18:88:1	Project Total Federal Aid \$2800 Regional FA \$700	-- -- -- --	8-31-173 -- -- -- -- 10132				
Jackson County - 49									
13144 Maquoketa FHWA Approved	STP-U-47420-27-49 City of Maquoketa travel Demand Forecast model maintenance Planning Study PA Note: Total Project cost \$1,875. STP money used \$ 1,500	--	Project Total Federal Aid \$2 Regional FA \$2	-- -- -- --	8-49-44 -- -- -- -- 10079				
11741 Maquoketa FHWA Approved	STP-U-4742(JA64)-70-49 MAIN ST-MAIN ST TEAP Study to REPLACEMENT Traffic Signals	--	Project Total Federal Aid \$25 Regional FA \$20	-- -- -- --	8-49-46 -- -- -- -- 10047				

Appendix 3: TIP checklist, highway section

The following highway items are required to be included in the final TIP. A total of six copies of the final TIP and an electronic copy must be submitted to the Iowa DOT's Office of Program Management. For the draft TIP, three copies must be submitted to the Office of Program Management plus an electronic submittal to the Iowa DOT's district transportation planner, FHWA and FTA.

- 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 TE 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, TE and 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 Department of Transportation

12/24/2010

FY 2012 programming guidance for transit vehicles

Vehicle type	Standard description	Typical capacities (seats/WC's)	Ceiling* for federal participation	Federal replacement threshold
Minivan	Minivan	3/1, 1/2	83% of \$ 42,000	4 yr./100,000 mi.
Non-ADA Standard Minivan	Non-ADA Standard Minivan	6	80% of \$ 29,000	4 yr./100,000 mi.
Conversion van**	Conversion van	8/1, 4/2	83% of \$ 44,000	4 yr./100,000 mi.
Non-ADA standard van**	Non-ADA standard van	14	80% of \$ 30,000	4 yr./100,000 mi.
Light duty bus (138" wb)	138" LD bus	8/1, 4/2	83% of \$ 67,000	4 yr./100,000 mi.
Non-ADA LD bus (138" wb)	Non-ADA 138" LD bus	13	80% of \$ 55,000	4 yr./100,000 mi.
Light duty bus (158" -170" wb)	158" LD bus	13/1, 6/2	83% of \$ 69,000	4 yr./100,000 mi.
Non-ADA LD bus (158" - 170" wb)	Non-ADA 158" LD bus	17-21	80% of \$ 57,000	4 yr./100,000 mi.
Light duty bus (176" wb)	176" LD bus	14/2, 10/3	83% of \$ 74,000	4 yr./100,000 mi.
Non-ADA LD bus (176" wb)	Non-ADA 176" LD bus	25	80% of \$ 62,000	4 yr./100,000 mi.
Medium duty bus (to 28 ft.)	28' MD bus	12/2, 8/3	83% of \$ 145,000	7 yr./200,000 mi.
Medium duty bus (29-32 ft.)	30' MD bus	13/2, 10/3	83% of \$ 150,000	7 yr./200,000 mi.
Medium duty bus (33-36 ft.)	35' MD bus	17/2, 14/3	83% of \$ 166,000	7 yr./200,000 mi.
Medium duty bus (37-42 ft.)	40' MD bus	21/2, 18/3	83% of \$ 184,000	7 yr./200,000 mi.
Heavy duty bus (26-29 ft.)	26' HD bus	18/2, 14/3	83% of \$ 318,000	10 yr./350,000 mi.
Heavy duty bus (30-34 ft.)	30' HD bus	26/2, 22/3	83% of \$ 359,000	10 yr./350,000 mi.
Heavy duty bus (35-39 ft.)	35' HD bus	34/2, 30/3	83% of \$ 367,000	12 yr./500,000 mi.
Heavy duty bus (40-42 ft.)	40' HD bus	42/2, 38/3	83% of \$ 384,000	12 yr./500,000 mi.

Diesel engine: This is included in ceiling for HD and MD buses; but add \$8,000 to programmed cost for light duty buses. [Be sure to list "diesel" in project description.] Alternate Fuel Engine: add funding required to ceiling shown and justify cost increase separately for CNG, LNG, or other clean air engine/features.

Urban fixed-route configuration: This is included in ceiling for HD buses; but, for purchasing farebox, 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 (\$2,075 fed); 2) for buses that will be equipped with at least four cameras by \$4,000 (\$3,200 fed) and 3) for MD/HD buses that will be equipped with at least six cameras by \$8,000 (\$6,640 fed).

Body styling upgrades: Each program ceiling shown is for a standard revenue vehicle. You are allowed to program body styling upgrades (e.g., trolley, BRT styling) on a separate line of your TIP. Such upgrades must use local, formula, peerpool, STP or other funds rather than statewide Section 5309 funding.

Vehicle rehabilitation (rehab): This may be programmed for any revenue vehicle at 30 percent of new cost (i.e. SFY 2012 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% 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". 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 SFY2012 and beyond need to reflect "year of expenditure" dollars. Adjustments to the SFY 2012 guidance should be made reflecting the impact of inflation and other factors using the PP Index or other relevant information. OPT suggests that pricing increases of 3 percent per year would seem reasonable for rolling stock based on information staff has received. Projects programmed for statewide funding in SFY 2012 that are not selected will be increased by 3 percent and moved to SFY 2013 by OPT, unless staff is informed that other funding sources have been programmed or other arrangements have been made.

Appendix 6: STIP guidelines

Section 23 CFR 450.218 of the April 1, 2007, 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 part 450 subpart 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 part 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.