

# MPO

## Program Management Handbook

### Chapter 4

### Transportation Improvement Program



OFFICE OF POLICY PLANNING

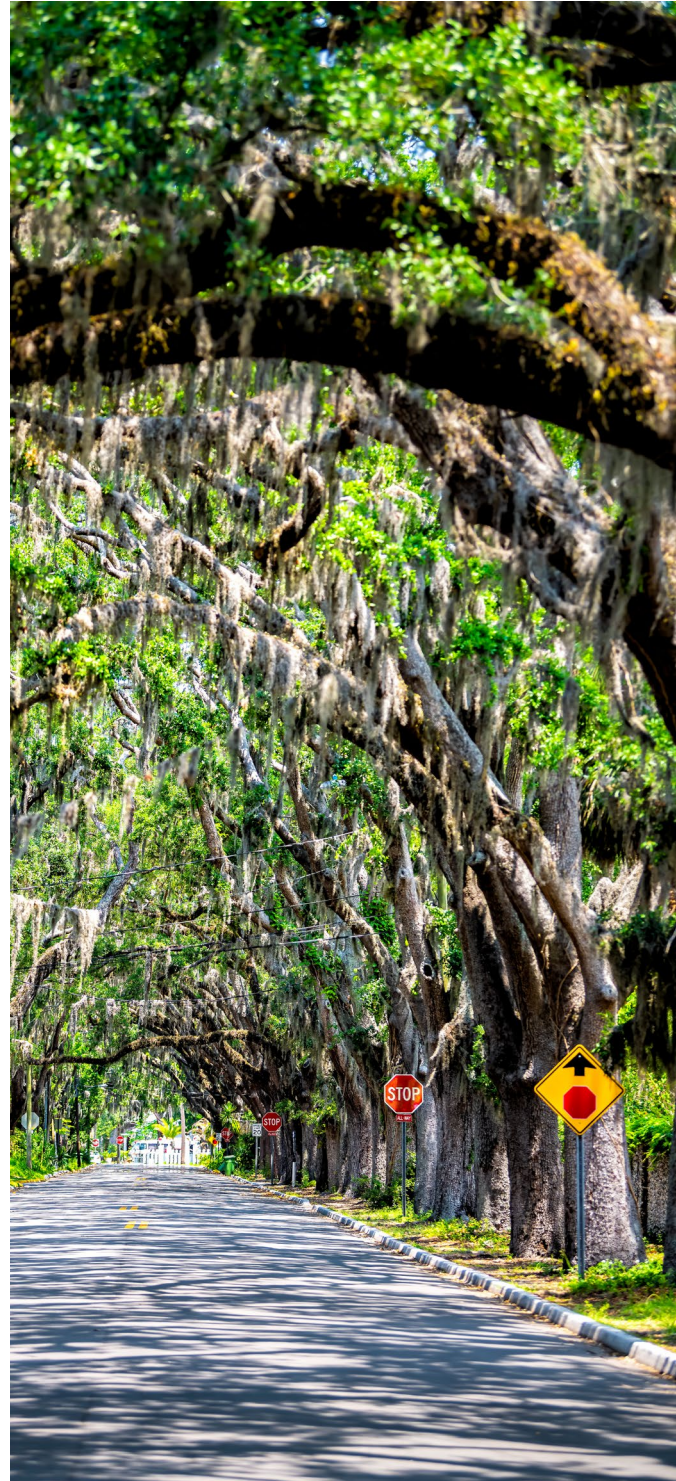




## 4. Transportation Improvement Program

### Key Chapter Changes

The Transportation Improvement Program chapter was updated to provide additional information on the TIP development process, including scheduling, amendments, and modifications. The chapter was reorganized to follow a sequential order of events. (April 10, 2024)



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## 4.1 Introduction

This chapter guides the Florida Department of Transportation (FDOT) Districts, FDOT Central Office, and Florida Metropolitan Planning Organizations (MPOs) in the preparation, review, and implementation of their Transportation Improvement Programs (TIP).

MPOs are required by [23 United States Code \(USC\) 134\(j\)](#) to develop a TIP. MPOs, in cooperation with FDOT and public transportation operators, develop the TIP. [\[23 Code of Federal Regulations \(CFR\) 450.326\(a\)\]](#)

The CFR defines the TIP as a prioritized listing/program of transportation projects covering four years that is developed and formally adopted by an MPO as part of the metropolitan transportation planning process, consistent with the Long Range Transportation Plan (LRTP), and required for projects to be eligible for funding under [23 USC, 49 USC Chapter 53, and \[23 CFR 450.104\]](#). State law requires the TIP to cover an additional year, for a total of five years. [\[s.339.175\(8\)\(c\)\(1\), Florida Statutes \(FS\)\]](#) The fifth year of the TIP is considered illustrative for federal purposes.

The following sections present the federal and state requirements for MPOs to develop the TIP, covering the topics of TIP preparation and implementation. Federal and state statutes, regulations, and rules for developing and managing the MPO's TIP are listed in [Section 4.4 Federal and State Requirements for Developing the TIP](#).



### 4.1.1 TIP Project Selection and Implementation Process

Under federal law, project selection for the TIP depends on whether the metropolitan area is designated as a Transportation Management Area (TMA) or a non-TMA. TMAs are Census defined urban areas of more than 200,000 people. In metropolitan areas not designated as a TMA, the state and public transportation operator(s), in cooperation with the MPO, select projects to be implemented using [23 USC](#) and [49 USC Chapter 53](#) funds. Tribal Transportation Program, Federal Lands Transportation Program, and Federal Lands Access Program projects are not included in this selection process. Those projects will be selected by the appropriate federal agencies cooperating with FDOT and the MPO and must be included in the TIP. [\[23 CFR 450.332\(b\)\]](#)

In areas designated as TMAs, the MPO selects all [23 USC](#) and [49 USC Chapter 53](#) funded projects for implementation in consultation with FDOT and public transit operators (except projects on the NHS and Tribal Transportation Program, Federal Lands Transportation Program, and Federal Lands Access Program). The state shall select projects on the NHS in cooperation with the MPO. Tribal Transportation Program, Federal Lands Transportation Program, and Federal Lands Access Program projects shall be selected by the appropriate federal agencies in cooperation with FDOT and the MPO, and must be included in the TIP [\[23 CFR 450.332\(c\)\]](#).

Federal laws and regulations do not prescribe a particular process that state DOTs, MPOs, and affected public transportation operators must follow to develop their respective TIPs and Statewide Transportation Improvement Program (STIP). Transportation needs vary widely, and it is up to each state to establish a process that meets its particular goals and objectives and those of the local jurisdictions within a state. However, there are common elements in both federal and state law that govern TIP project selection and implementation.





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Regarding the requirement for both the Work Program and the STIP to incorporate MPO TIPs into the FDOT Five-Year Work Program and STIP:

- ❖ [Title 23 USC 134](#) and [23 CFR 450.326](#) require each MPO to develop a TIP in cooperation with the state DOT and any affected public transportation operator.
- ❖ According to [s.339.175, FS](#), it is required of each MPO, in cooperation with FDOT and affected public transportation operators, to develop an annually updated TIP for the area of jurisdiction of the MPO. Each year, this is accomplished by having each MPO prepare a List of Priority Projects (LOPP), which is submitted to the appropriate FDOT District office for inclusion in the new fifth year of the work program (see [Section 4.2.1 List of Priority Projects \(LOPP\)](#)). These LOPPs are used by the District in developing the District Work Program (to become part of FDOT's Five-Year Work Program) and by the MPO in developing its TIP. It should be noted that not every project in the LOPP will make it to the FDOT Five-Year Work Program.

Regarding the order of the selection of projects for implementation from the approved FDOT Five-Year Work Program and four-year STIP:

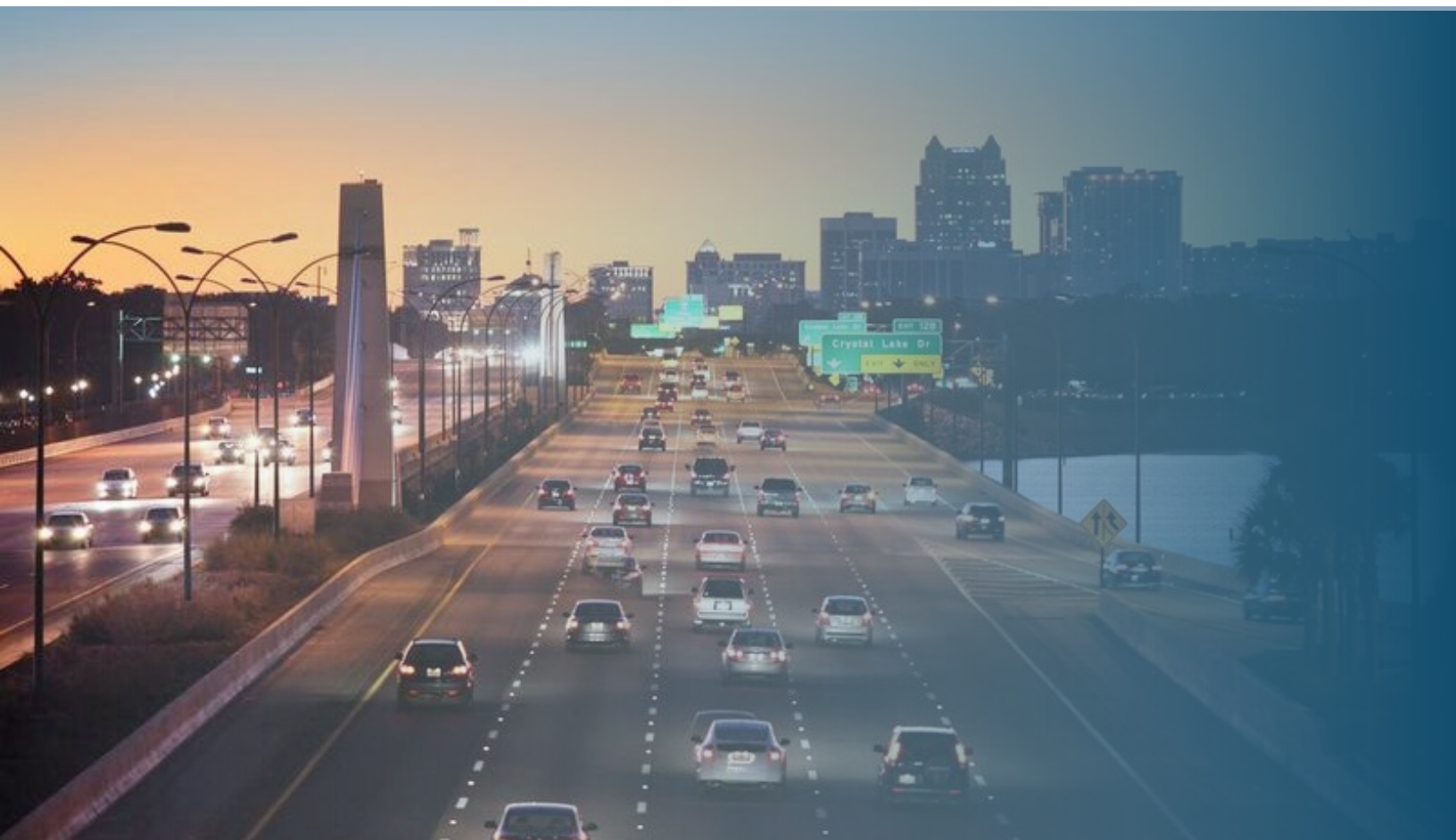
- ❖ [Title 23 CFR 450.332](#) states that the projects in the first year of an approved TIP shall constitute an agreed list of projects for funding and implementation, and the implementing agency requires no further action to proceed. This also applies to all projects in the STIP, including those outside the jurisdiction of the MPOs.
- ❖ According to [s.339.135, FS](#), FDOT shall advance for implementation by one fiscal year all projects included in the second year of the previous year's adopted FDOT Five-Year Work Program. This ensures that projects in the first year of the newly adopted Work Program constitute an agreed-upon list of projects for funding and implementation, consistent with federal requirements.
- ❖ According to [s.339.135\(4\)\(b\), FS](#), "It is the intent of the Legislature that the first three years of the adopted work program stand as a commitment of the state to undertake transportation projects that local governments may rely on for planning and concurrency purposes and in the development and amendment of capital improvement elements of their local government comprehensive plans."

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Regarding the need to revise, modify, advance, or delete projects in the approved Work Program, STIP, or TIPs before implementation, both Florida and federal laws and regulations make provisions for this flexibility:

- ❖ [Title 23 CFR 450.326](#) states that an MPO TIP may be revised at any time under procedures agreed to by the state, MPOs, and public transportation operators, consistent with TIP development procedures established in that section of federal regulations.
- ❖ The Work Program Amendment process is defined by [s.339.175, FS](#), and is further defined in FDOT's Work Program Instructions. The process requires notification of all affected parties, who are given an opportunity to comment on how the amendment affects local and regional transportation planning efforts. The [Grant Applications Program \(GAP\)](#) facilitates the TIP Modification or Amendment process described later in this chapter.

For more information on TIP revisions, including modifications and amendments, see section [4.3.1 TIP and STIP Revisions](#).





### 4.1.2 Projects to Be Included in the TIP

The TIP must include:

- ❖ Capital and noncapital surface transportation projects (or phases of projects) within the boundaries of the Metropolitan Planning Area (MPA) proposed for funding under [23 USC](#) and [49 USC Chapter 53](#) (including transportation alternatives<sup>1</sup>; associated transit improvements; Tribal Transportation Program, Federal Lands Transportation Program, and Federal Lands Access Program projects; HSIP projects; trails projects; accessible pedestrian walkways; and bicycle facilities). [\[23 CFR 450.326\(e\)\]](#)
- ❖ All regionally significant projects defined in [40 CFR 93.101](#), requiring an action by the Federal Highway Administration (FHWA) or Federal Transit Administration (FTA), regardless of funding source. [\[23 CFR 450.326\(f\)\]](#)
- ❖ For information purposes, all regionally significant projects proposed to be funded with federal funds other than those administered by FHWA or FTA, as well as all regionally significant projects to be funded with non-federal funds. [\[23 CFR 450.326\(f\)\]](#)



The following types of projects may be included in the TIP but are not required: [\[23 CFR 450.326\(e\)\]](#)

- ❖ Safety projects funded under [23 USC 402](#) and [49 USC 31102](#);
- ❖ Metropolitan planning projects funded under [23 USC 104\(d\)](#), and [49 USC 5305\(d\)](#);
- ❖ State planning and research projects funded under [23 USC 505](#) and [49 USC 5305\(e\)](#);
- ❖ Metropolitan planning projects funded with Surface Transportation Program funds, if available to the MPO;
- ❖ Emergency relief projects (except those involving substantial functional, locational, or capacity changes); [\[23 CFR 667\]](#)
- ❖ National planning and research projects funded under [49 USC 5314](#); and
- ❖ Project management oversight projects funded under [49 USC 5327](#).



<sup>1</sup> The Infrastructure Investment and Jobs Act (IIJA) replaced the Fixing America's Surface Transportation (FAST) Act with a set-aside of funds under the Bipartisan Infrastructure Law (BIL).

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The TIP must include, for each project or phase (e.g., preliminary engineering, environment/National Environmental Protection Act (NEPA), right of way, design, or construction), the following: [\[23 CFR 450.326\(g\)\]](#)



- ❖ Sufficient descriptive material (i.e., type of work, termini, and length) to identify the project or phase.
- ❖ Estimated total project cost, which may extend beyond the four years of the TIP.
- ❖ The amount of federal funds proposed to be obligated during each program year for the project or phase (for the first year; this includes the proposed category of federal funds and source(s) of non-federal funds. For the second, third, and fourth years, this consists of the likely category or possible categories of federal funds and sources of non-federal funds).
- ❖ Identification of the agencies responsible for carrying out the project or phase.
- ❖ In nonattainment and maintenance areas, identify projects identified as Transportation Control Measures (TCM) in the applicable State Implementation Plan (SIP).
- ❖ In nonattainment and maintenance areas, projects that shall be specified in sufficient detail (design concept and scope) for air quality analysis following the Environmental Protection Agency (EPA) transportation conformity regulations [\(40 CFR Part 93, Subpart A\)](#).
- ❖ In areas where the Americans with Disabilities Act (ADA) requires paratransit and key station plans, identify the projects that will implement these plans.

The MPO may group projects that are not considered to be of appropriate scale for individual identification in a given program year. [\[23 CFR 450.326\(h\)\]](#)

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***Each project or project phase included in the TIP must be consistent with the approved LRTP. [\[23 CFR 450.326\(i\)\]](#) and [s.339.175\(8\)\(c\)\(2\), FS](#)***

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### 4.1.3 Relationship between Work Program, LRTP, and TIP

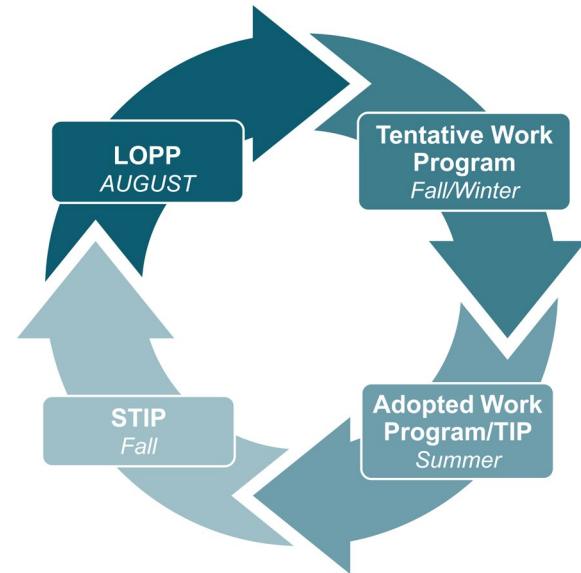
#### 4.1.3.1 LRTP

The LRTP is the MPO's vision for the next 20 years, which is updated every five years. Some MPOs use a 25 year horizon, but it is not required by federal or state law.

The TIP includes projects planned and funded in the metropolitan area for the next five years. The LOPP) is an input in the development of the Tentative Work Program and the new fifth year of the TIP. The MPO approves the LOPP by August 1 of each year. The LOPP is then used to develop the Tentative Work Program, which is FDOT's list of programmed projects for the next five fiscal years and is updated annually.

The Tentative Work Program is submitted in the fall of the same year and becomes the Approved Work

Program in July the following year. The TIP is updated by July 15 of every year, and is approved by the FDOT Secretary by August 31, and becomes effective on October 1, which is then incorporated into the STIP. The STIP includes all MPO TIPs and lists projects using federal and state funds for the next four fiscal years and is approved by September 30 and becomes effective on October 1. The LRTP, TIP, and Work Program must be consistent with each other and is discussed more in the next section.



#### 4.1.3.2 Work Program

The Tentative Work Program is cooperatively developed with public and MPO input. It is then submitted to the Governor and the Legislature in January for even years (i.e., 2024, 2026, etc.) and in March for odd years (i.e., 2025, 2027, etc.). The MPOs begin to develop the new draft TIP, usually in March/April. On **July 1**, the Legislature approves the budget, minus project phases deferred from the last fiscal year. Once the Tentative Work Program is approved by the Legislature, it becomes the Adopted Work Program. The TIP is also adopted by the MPO by July 15. In August, the Legislature amends the budget to approve project phases deferred from last fiscal year. These projects are automatically “rolled forward” in the Work Program but not in the MPO TIPs. The MPOs must process a “Roll Forward” TIP Amendment for these projects. This process is discussed in **Section 4.3.1.4: Roll Forward Amendment (Authorization of Roll Forward Projects)**.

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*Although the newly Adopted Work Program is effective July 1 at the start of the state fiscal year, the newly adopted TIP becomes effective October 1 at the start of the federal fiscal year.*

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The TIP must be incorporated into the STIP to ensure continued federal funding for metropolitan areas. An adopted LRTP must be in place when the MPO submits the annual TIP to FDOT for the Secretary's approval and inclusion in the STIP. The Secretary cannot approve a TIP for inclusion in the STIP that does not come from a currently adopted LRTP or a TIP that includes projects that have not been adequately amended into the LRTP and adopted by the MPO. In other words, a clear and identifiable link must be between projects included in the TIP and LRTP, also known as planning consistency.

#### *4.1.4 TIP/STIP Inclusion and NEPA Approval*

As stated in [Chapter 5: Long-Range Transportation Plan](#) (Section [23 USC 327](#)), FDOT assumed FHWA's responsibilities under the [National Environmental Policy Act \(NEPA\)](#) for highway projects on the State Highway System (SHS) and Local Agency Program (LAP) projects off the SHS as per the [Memorandum of Understanding \(MOU\)](#) renewed May 26, 2022. In general, FDOT is responsible for all highway and roadway projects funded by FHWA or that constitutes a federal action through FHWA. This includes responsibilities for environmental review, interagency consultation, and other regulatory compliance-related actions about reviewing or approving NEPA projects. Therefore, whereas FHWA was previously identified as the Lead Federal Agency, this function is now served by FDOT with approval authority resting in the [Office of Environmental Management \(OEM\)](#). OEM's guiding document for NEPA approval is [Meeting Planning Requirements for NEPA Approval](#).

For an environmental document to be approved by FHWA, the TIP/STIP funding for the "entire project length and termini" must be consistent with what is described in the LRTP. The "project" includes the entire project length (e.g., 30 miles) studied in the Project Development and Environment (PD&E) phase. If the project is to move forward in segments, the first segment (e.g., a 10-mile segment) must be funded for design in the TIP/STIP before the Environmental Document can be approved. If funding for the design of the project is outside of the current adopted TIP/STIP at the time the Environmental Document is complete, there should be a written explanation in the current adopted TIP/STIP indicating the design for the project falls outside the current TIP/STIP; this explanation should indicate when funding will be in the TIP/STIP, explain what the source of funding is expected to be, and is to be included in the TIP/STIP as a footnote. All of this should be discussed with FHWA on a case-by-case basis. The remaining phases for the segment(s) (i.e., right of way and construction) would be addressed in the TIP/STIP for information purposes, including when they are generally expected to be funded.



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*In Chapter 5: Long Range Transportation Plan, Emergency Relief (ER) projects (except those involving substantial functional, locational, or capacity changes) may be exempt from planning consistency documentation requirements [\[23 CFR 450.218\]](#).*

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#### 4.1.5 TIP Schedule

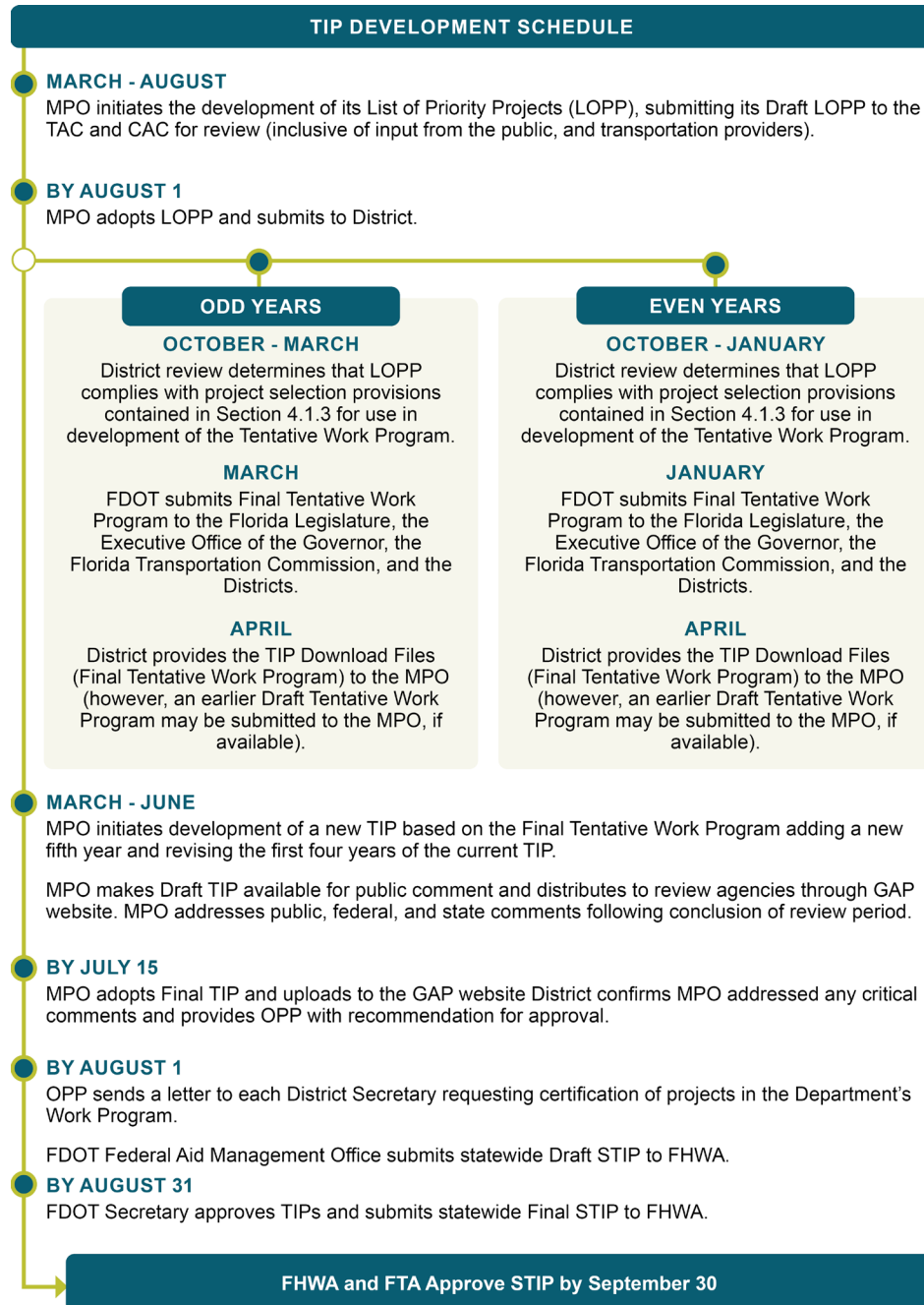
Under state law, the TIP is updated annually and approved by the MPO, the Governor, or the Governor's delegate. The FDOT Secretary has been delegated the authority to review and approve TIPs in Florida. [\[23 USC 134\(j\)\(1\)\(D\); 23 CFR 450.326\(a\); s.339.175\(8\)\(a\) and \(f\), FSI\]](#) The schedule for the development of the TIP must be compatible with the schedule for the development of the FDOT Five-Year Work Program and the STIP since the TIP is based on FDOT's Five-Year Work Program and is incorporated into the STIP. [\[23 USC 135\(g\)\(5\)\(D\)\(i\); 23 CFR 450.218\(b\)\]](#) For a discussion on how projects are selected and incorporated into the STIP, refer to **Section 4.3.1 TIP and STIP Revisions**.



By **September 30** of each year, FHWA and FTA make a joint finding that each MPO's TIP is consistent with their LRTP. The finding is based on the self-certification statement submitted by the state and the MPO, their review of the LRTP, and other reviews deemed necessary. [\[23 CFR 450.330\(a\)\]](#) **Figure 4.1** shows the key deadlines for the development of the TIP/STIP (which includes the MPO's LOPP and the FDOT Five-Year Work Program) when the Florida legislative session begins in March or January. The Florida Legislature meets in March of each odd-numbered year and January of each even-numbered year. The figure also shows the key deadlines for when the Florida legislative session begins in January (accelerated schedule). During the accelerated schedule, it is best practice for the MPO to submit the LOPP before August 1 to avoid delays when FDOT begins developing the Tentative Work Program.

Figure 4.1 provides an overview of the TIP development process, beginning with the development of the LOPP, then the Tentative Work Program and draft TIP, followed by the Adopted Work Program, final TIP, and STIP.

Figure 4.1 TIP Development Schedule





## 4.2 TIP Preparation

### 4.2.1 List of Priority Projects (LOPP)

Development of the TIP begins with the development of the LOPP. The MPO is required to develop a list of project priorities in coordination with the public and District planning staff and submit the list to the District by **August 1** of each year in preparation for TIP development the following March. The District and the MPO may agree in writing to vary the August 1 submittal date. [\[s.339.175 \(8\)\(a\) and \(b\), FS\]](#)

The MPO's annual LOPPs must be based upon project selection criteria that, at a minimum, considers the following: [\[s.339.175\(8\)\(b\), FS\]](#)

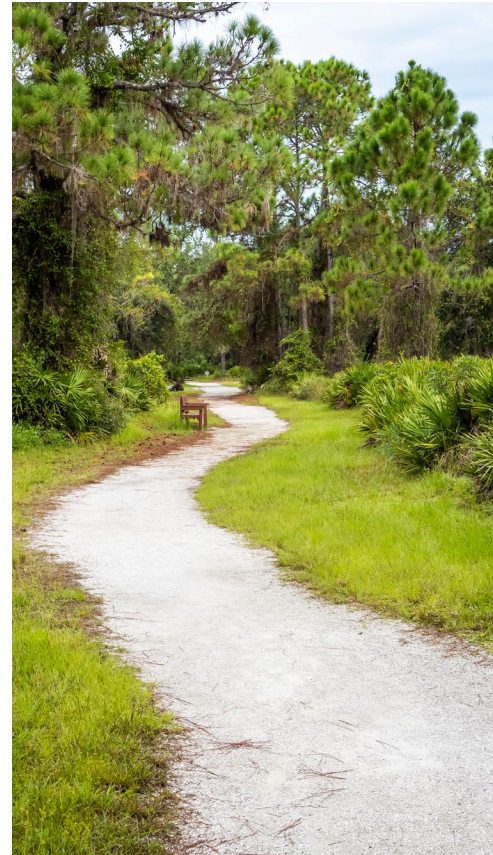
- ❖ The approved MPO LRTP;
- ❖ The Strategic Intermodal System Plan developed under [s.339.64, FS](#);
- ❖ The Transportation Regional Incentive Program (TRIP) priorities developed under [s.339.2819\(4\), FS](#);
- ❖ The results of the transportation management systems outlined under [s.339.177, FS](#) and
- ❖ The MPO's public involvement procedures.



The MPO's LOPP must be formally reviewed by the technical and citizens' advisory committees and approved by the MPO before being transmitted to the District. The approved LOPP must be used by the district in developing the District Work Program and by the MPO in developing its TIP. [\[s.339.175 \(8\)\(b\), FS\]](#)

#### *4.2.1.1 Efficient Transportation Decision-Making (ETDM) Screening Process*

ETDM was developed by FDOT, FHWA, and state and federal partners in 1999 to support the environmental process and for conducting efficient environmental reviews related to highway projects. ETDM is split into two screening phases, planning and programming. The ETDM planning screen focuses on project feasibility, early consideration on topics addressed in the programming screen, consideration for project mitigation, identifying impacts, and data gathering for project analysis. The information in the planning screen helps provide information about project feasibility used in the development of LRTP's. The ETDM programming screen is used to identify significant environmental and social issues about priority projects and to develop a methodology for focused technical studies to address potentially significant issues [\[40 CFR 1500.5\(f\)\]](#). Examples of significant issues would include a project that does not conform to a resource agency's statutory requirements or has a severe negative impact on an affected community.



Following [\[23 USC 139\(g\)\(1\)\(A\)\]](#), the lead agency [FDOT] shall establish a plan for coordinating public and agency participation in and comment on the environmental review process for a project or category of projects. The ETDM Programming Screen provides for the continuous coordination between agencies. Resource and community agencies can comment on priority transportation projects in the TIP. These agency comments are documented in the Programming Summary Report, available on the [Public Access Website](#), and can be used to supplement TIP public involvement activities.

All major capacity projects included in the LOPP, except for Strategic Intermodal System (SIS) and bridge replacement projects, should be screened through the ETDM process (programming screen). FDOT screens SIS and bridge replacement projects. MPOs are encouraged to screen state and locally funded projects not on the State Highway System (SHS) but are not required to. Refer to the [ETDM Manual](#) for specific information about the ETDM programming screen.



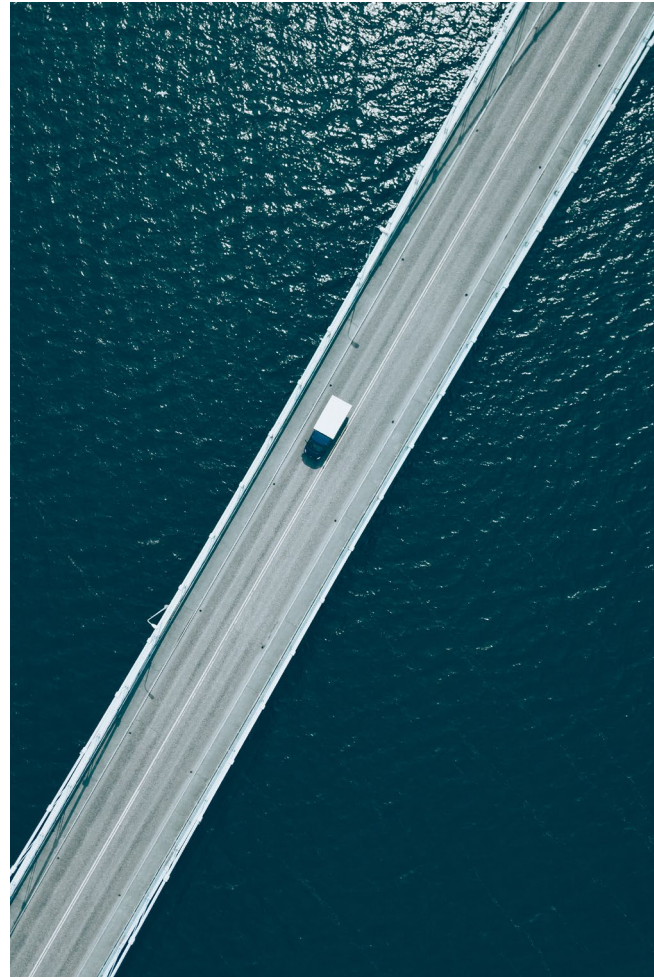
#### 4.2.1.2 District Review of Priority Projects

The District's review of the MPO's LOPP should ascertain that, at a minimum, it is based on the project selection criteria listed in **4.2.1 List of Priority Projects (LOPP)** [\[s.339.175 \(8\)\(b\), FS\]](#).

[Florida Statute 339.175\(8\)](#) requires each MPO to cooperatively develop, with its partners the LOPP. In this context, "cooperation" means that "the parties involved in carrying out the transportation planning and programming processes work together to achieve a common goal or objective." The LOPP is submitted by the MPO to the appropriate FDOT District Office consistent with Florida Statutes. This list is the foundation for each MPO's TIP and the District's annual work program. Other factors considered during the project selection and programming process include project readiness, cost, schedule, and funding availability.

The Department assumes that the projects listed in each LOPP are in sequential order of priority and will be programmed in priority order by the District's Office of Work Program to the maximum extent possible. If the District or MPO expresses concern, the parties will consult to ensure projects programmed in the TIP reflect the MPO's top priorities. In this context, "consult" is defined as "the party confers with other identified parties by an established process and, before acting, considers the views of the other parties and periodically informs them about the action taken."

For more information regarding coordination with MPOs, see the [FDOT Office of Policy Planning \(OPP\) Memorandum on Programming STBG Urban Funds \(SU\)](#).





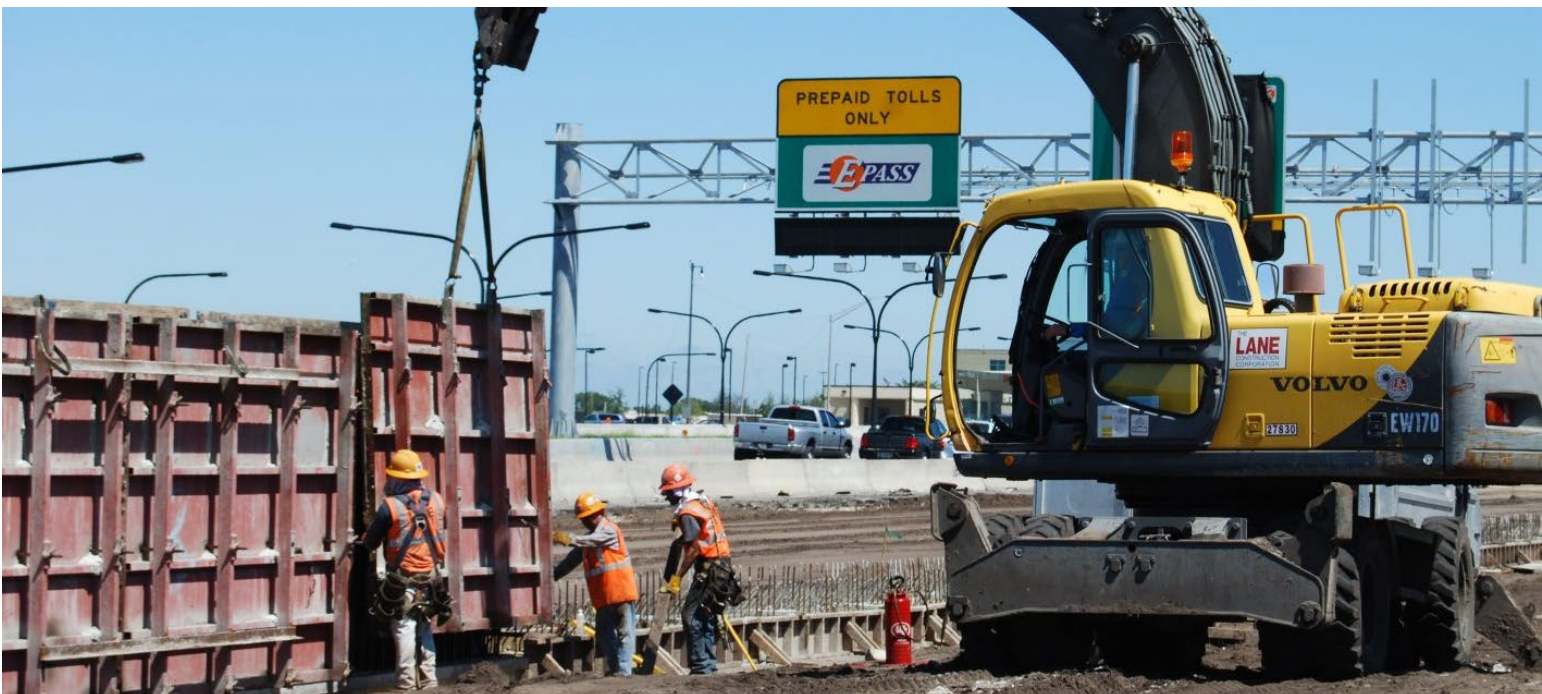
### 4.2.2 Format and Content of the TIP

While no format for the TIP is specified in federal or state laws or rules, the following outline meets legal requirements and is acceptable to FHWA and FTA. A checklist to assist in the review of the TIP can be found in the Liaison Toolkit on the [MPO Partner Site](#).

#### 4.2.2.1 Introductory Materials

The introduction must include:

- ❖ The official MPO name on the Cover or Title Page, state fiscal years covered, and the MPO Board approval date and subsequent revision dates.
- ❖ A table of contents with the title of each section and beginning page number.
- ❖ An endorsement that the TIP was developed following federal and state requirements and the date of official MPO approval. The endorsement may be a copy of the MPO resolution approving the TIP or a signature block on the document cover page signed by the MPO Chairperson. In air quality nonattainment or maintenance areas, the MPO must approve the conformity determination report before the TIP approval.
- ❖ A list of definitions, abbreviations, funding and phase codes, and acronyms used within the text.



#### 4.2.2.2 Narrative

The narrative must include:

- ❖ A statement that the purpose of the TIP is to provide a prioritized listing of transportation projects covering five years that are consistent with the metropolitan LRTP. It should be indicated that the TIP contains all transportation projects within the designated MPA to be funded by [23 USC](#) and [49 USC Chapter 53](#) funds and includes all regionally significant projects regardless of funding source.
- ❖ A discussion of the TIP's financial plan.
  - Explain that the TIP is financially constrained for each year.
  - Provide a financial plan that demonstrates how the TIP can be implemented. The plan needs to indicate the public and private financial resources that are reasonably expected to be available to accomplish the program. Innovative financing techniques that may be used to fund needed projects and programs should be identified. Additional projects that would be included in the approved TIP if reasonable additional resources beyond those identified in the financial plan were available may be identified under [s.339.175\(8\)\(c\)\(3\), FS](#)
  - State that the MPO developed the TIP in cooperation with the state and the public transit operator, who will provide the MPO with estimates of available federal and state funds for the MPO to develop the financial plan. [\[23 CFR 450.326\(a\)\]](#) and [s.339.175\(8\), FS](#)
- ❖ A description of the project selection process and state that it is consistent with the federal requirements in [23 CFR 450.332\(b\)](#) for non-TMA MPOs or [23 CFR 450.332\(c\)](#) for TMA MPOs.
- ❖ A description of how projects are consistent with the MPO's LRTP and, to the maximum extent feasible, with port and aviation master plans, public transit development plans, and approved local government comprehensive plans for those local governments located within the metropolitan area. [\[s.339.175\(8\)\(c\)\(7\), FS\]](#) When possible, the TIP should cross-reference projects with the corresponding LRTP project. [\[s.339.175\(8\)\(a\), FS\]](#)
- ❖ An identification of the MPO's criteria and process for prioritizing implementation of the transportation plan elements (including multimodal tradeoffs) for inclusion in the TIP and explain any changes in priorities from the previous TIP. [\[23 CFR 450.326\(n\)\(1\)\]](#) The MPO's TIP project priorities must be consistent with the LRTP.

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- ❖ The annual listing of projects from FDOT for which FHWA funds have been obligated in the preceding year. The annual listing of projects for which FTA funds have been utilized in the preceding year must be cooperatively developed with the appropriate transit agencies. The MPO should either include this list in the TIP or state in the TIP that it has been published and otherwise made available for public review. [\[23 CFR 450.334 and s.339.175\(8\)\(h\), FS\]](#)
- ❖ Documentation of the MPO's activities to seek public comment and how the draft TIP was made available for public review. [\[23 CFR 450.316 and 23 CFR 450.326\(b\)\]](#) The MPO should document the techniques used to reach citizens, such as Internet access to documents, flyers, meeting notices, billboards, media outreach, and other ways to seek the involvement of citizens and groups. The MPO should also document feedback received through this process and any revisions. The ETDM process can be used to document all public involvement activities.
- ❖ The completion date of the current FDOT MPO Annual Joint Certification. MPOs within TMAs also should include the date of the last FHWA/FTA certification and, if known, the anticipated date of the next FHWA/FTA certification.
- ❖ A discussion of the congestion management process that is in place at the MPO. TMAs (urban areas with populations over 200,000) are required by [23 CFR 450.322](#) to have a congestion management process that effectively manages and operates new and existing facilities through travel demand reduction and operational management strategies. [Section 339.175\(6\)\(c\)\(1\), FS](#), requires all MPOs to have a congestion management process.
- ❖ A discussion of the Transportation Disadvantaged (TD) services developed under [s.427.015\(1\) FS](#) and [41-2.009\(2\), FAC](#). A description of costs and revenues from TD services should be included, and those improvements should be funded using such funds.
- ❖ A discussion of how, once implemented, it will make progress toward achieving the performance targets for safety, system, bridge, and pavement performance measures, as well as state asset management and state freight plans. [\[23 CFR 450.326\(c\)\]](#)
- ❖ A discussion of the anticipated effect of achieving the performance targets identified in the LRTP, linking investment priorities to those performance targets for safety, system, bridge, and pavement performance measures, as well as state asset management and state freight plans. [\[23 CFR 450.326\(d\)\]](#)



### 4.2.2.3 Detailed Project Listings for Five Fiscal Years

The TIP shall include for each project or phase (e.g., preliminary engineering, environment/NEPA, right of way, design, or construction) the following information:


- ❖ Sufficient descriptive material (i.e., type of work, termini, and length) to identify the project or phase.
- ❖ Financial Project Number (FPN).
- ❖ FDOT Work Program fund code.
- ❖ Estimated total project cost.
- ❖ Year of anticipated funding.
- ❖ Summary tables showing the financial constraint of the program.
- ❖ Page number or identification number where it can be found in the LRTP.
- ❖ Category of federal funds and source(s) of non-federal funds.
- ❖ The FTA section number should be indicated for FTA projects. This is accomplished by putting the section number in the description line of the work program for the project.

Figure 4.2 shows a sample TIP from the Florida-Alabama TPO.

Figure 4.2 Sample TIP from Florida-Alabama TPO

Florida-Alabama TPO Transportation Improvement Program - FY 2023/24 - 2027/28

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<p><b>4217172</b></p> 	<p><b>FLORIDA-ALABAMA TPO</b></p> <p><b>Work Summary:</b> MODAL SYSTEMS PLANNING</p> <p><b>Lead Agency:</b> TPO</p>	<p><b>Non-SIS</b></p> <p><b>From:</b></p> <p><b>To:</b> SECTION 5305</p> <p><b>LRTP #:</b> #31 in Mod. Report p.41</p>
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Phase	Fund Source	2023/24	2024/25	2025/26	2026/27	2027/28	Total
PLN	DU	172,720	177,901	180,808	0	0	531,429
PLN	DPTO	21,589	22,237	22,601	0	0	66,427
PLN	LF	21,589	22,237	22,601	0	0	66,427
<b>Total</b>		<b>215,898</b>	<b>222,375</b>	<b>226,010</b>	<b>0</b>	<b>0</b>	<b>664,283</b>

Prior Cost < 2023/24:	2,062,698
Future Cost > 2027/28:	0
<b>Total Project Cost:</b>	<b>2,726,981</b>
<b>Project Description:</b>	TPO Public Transportation Project Priority Florida Alabama TPO FTA 5305 Planning Grant.

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Transportation Improvement Program FY24-28 (Amended February 7, 2024) Section 7- Public Transportation, Page 5

**Please note for FTA-funded projects.** FTA guidance states that projects in the TIP or STIP need to be described in detail, delineating between minor projects (bus shelters, signs, facility rehabilitation, preventative maintenance, operating assistance) and major projects (rolling stock, new facilities). Major projects must be listed in an approved Transportation Development Plan (TDP). Minor activities that are not considered to be of an appropriate scale for individual identification could be grouped by function.

The MPO should identify any project(s) rescheduled in the proposed TIP that had advanced to the design stage of preliminary engineering and had been removed from a previous TIP. The MPO should document that such removal or rescheduling resulted from a joint action of the MPO and FDOT. Such projects cannot be rescheduled by the MPO in a subsequent TIP earlier than the fifth year of such program, except when the District Secretary provides written justification that for good cause, the project should be rescheduled earlier. [\[s.339.175\(8\)\(d\), FS\]](#)

### *4.2.3 Fiscal Constraint*

The MPO must demonstrate that the TIP is financially constrained by year and maintain that financial constraint. [\[23 CFR 450.326\(k\)\]](#) It is recommended the TIP include a table(s) that compares the funding sources and amounts by year to the total project costs by year. The TIP shall include a financial plan demonstrating how the approved TIP can be implemented, with resources from public and private sources that are reasonably expected to be available to carry out the TIP. In addition, the TIP shall include any recommendations regarding financing strategies for needed projects and programs. [\[23 CFR 450.326\(j\)\]](#) When developing the TIP, the MPO, state, and public transportation operator(s) shall cooperatively develop estimates of funds that are reasonably expected to be available. [\[23 CFR 450.326\(j\)\]](#)

The TIP shall include a project or phase of a project only if total funding can reasonably be anticipated for the time contemplated to complete the project. [\[23 CFR 450.326\(k\)\]](#) The TIP may include projects not fully funded in the four federally recognized years of the TIP, so long as that project or project phase is fully funded within the 20-year time horizon of the LRTP.

#### 4.2.4 Performance Management

Federal statute establishes national performance goals for federal-aid highway programs and directs the U.S. Department of Transportation (U.S. DOT) to establish performance measures for fatalities and serious injuries on all public roadways, pavement conditions on the Interstate and non-Interstate National Highway System (NHS), bridge conditions on the NHS, freight movement on the Interstate system, traffic congestion and on-road mobile source emissions assessment for public roads, and transit state of good repair/asset management relating to transit services. [\[23 USC 150\]](#) States and MPOs set performance targets for their required measures. See [Chapter 8: Performance Management](#) for more information on performance management.



Now that performance management rules have become effective, the TIP must be designed to make progress toward achieving the performance targets established by the MPO under [23 CFR 450.306\(d\)](#). The TIP shall include, to the maximum extent practicable, a description of the anticipated effect of the TIP toward achieving the performance targets identified in each MPO's long-range transportation plan (LRTP), linking investment priorities to those performance targets. [\[23 CFR 450.326\(c\)\(d\)\]](#)

See [Chapter 8: Performance Management](#) for detailed information about the federally required performance management approach to metropolitan transportation decision-making.



### 4.2.5 Public Involvement

MPOs are required to develop and use a documented Public Participation Plan (PPP) that defines a process for providing reasonable opportunities to be involved in the metropolitan transportation planning process to individuals, affected public agencies, representatives of public transportation employees, public ports, freight shippers, providers of freight transportation services, private providers of transportation (including intercity bus operators, employer-based commuting programs, such as carpool program, vanpool program, transit benefit program, parking cash-out program, shuttle program, or telework program), representatives of users of public transportation, representatives of users of pedestrian walkways and bicycle transportation facilities, representatives of the disabled, and other interested parties. [\[23 CFR 450.316\(a\)\]](#)



In developing the TIP, the MPO should consult with agencies and officials responsible for other planning activities within the MPA that are affected by transportation (including state and local planned growth, economic development, tourism, natural disaster risk reduction, environmental protection, airport operations, or freight movements) or coordinate its planning process (to the maximum extent practicable) with such planning activities. In addition, the MPO shall develop the TIP with due consideration of other related planning activities within the metropolitan area. [\[23 CFR 450.316\(a\)\(3\)\(b\)\]](#)

When the MPA includes Indian Tribal Lands, the MPO shall appropriately involve Indian Tribal Governments. If the MPA includes federal public land, the MPO shall appropriately involve federal land management agencies.

[Chapter 9: Public Involvement](#) details MPO public involvement requirements and practices.

### 4.2.6 TIP Submittal and Review Process

The MPO must make the draft TIP available to all reviewing agencies and affected parties; they must provide adequate opportunity to review and comment on it when it is circulated for public review.

The MPO must circulate the TIP for review and comment to various local, state, and federal agencies. The MPO shares the draft TIP with local agencies and the public according to their public participation plan.

The [GAP](#) facilitates the TIP submittal and review process and houses all documents and comments for state and federal agencies. MPOs upload the TIP and associated documents to the [GAP](#), which then notifies the following agency contacts for review:

- ❖ FDOT – District Staff.
- ❖ FDOT – Central Office Planning.
- ❖ Florida Commission for the Transportation Disadvantaged.
- ❖ Florida Department of Commerce - Bureau of Community Planning.
- ❖ Federal Transit Administration Region IV.
- ❖ Federal Highway Administration.

If you need to contact a staff person, check the latest [Metropolitan Planning Program Staff List](#) for their contact information.

For additional information navigating the GAP website, refer to the [FL GAP State Guide](#)

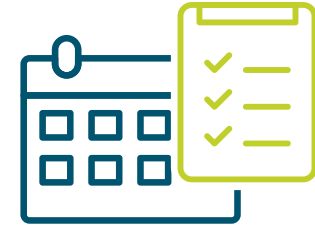
The steps involved in submitting, reviewing, and approving the TIP are summarized below.

- **Step 1:** In March or April, MPO initiates the development of a new TIP based on the Final Tentative Work Program, adding a new fifth year and revising the first four years of the current TIP.
- **Step 2:** By the end of June, the MPO makes the draft TIP available for public comment and distributes it to review agencies through the GAP system. Following the conclusion of the review period, the MPO addresses comments from the public, as well as federal and state review agencies.
- **Step 3:** By July 15, the MPO will adopt the final TIP and upload it into the GAP system. The District confirms that the MPO addressed any critical comments and provides OPP with a recommendation for approval.
- **Step 4:** By August 1, OPP sends a letter to each District Secretary requesting certification of projects in the Department's Work Program. FDOT Federal Aid Management Office submits the STIP to FHWA.
- **Step 5:** By August 31, the FDOT Secretary will approve the TIPs and submit the STIP documents to FHWA.



#### 4.2.6.1 Submittal to the District

MPOs must submit the draft TIP to the District and other parties through the [GAP](#) system between March and June. The District will review the draft TIP using the TIP checklist and prepare comments within **14 calendar days** of receiving it from the MPO. The District will upload the TIP checklist and comments into the [GAP](#) system.



##### 4.2.6.1.1 DISTRICT TIP REVIEW CRITERIA

Using the TIP checklist, the District review should assess the draft TIP's consistency with:

- ❖ Federal and state laws and regulations, including [23 CFR 450](#) and [s.339.175, FS](#), and the authorities listed in this chapter.
- ❖ The FDOT Five-Year Work Program, including changes in priorities, phasing, project cost estimates, and funding resources and categories, as required by [23 CFR 450.326](#) and [s.339.175\(8\), FS](#)
- ❖ The LRTP's priorities, projects, funding and policy, goals, and objectives, as required by [23 CFR 450.326\(i\)](#) and [s.339.175\(8\)\(c\)\(5\), FS](#)

District review should verify:

- ❖ Estimates of total costs and revenues for the program period, as required by [23 CFR 450.326\(j\)](#) and [s.339.175\(8\), FS](#)
- ❖ Transit projects or service needs are identified in the TDP, if applicable.





When reviewing the draft and final versions of the TIP, Districts should employ the following system when providing comments to the MPOs. This will give the MPOs perspective for each comment. This system is graduated from editorial to enhancement to critical, as shown below.

- **Editorial:** These comments may be addressed, but such corrections would not affect approval of the document. Examples of editorial comments include grammatical, spelling, and other related errors.
- **Enhancement:** These comments may be addressed, but the document already meets the minimum requirements for approval. Enhancement comments would greatly improve the quality of the document and the public's understanding. These comments may pertain to improving graphics, repackaging the document, using plain language, reformatting for clarity, removing redundant language, or suggesting alternative approaches to meet minimum requirements, etc.
- **Critical:** These comments must be addressed to meet minimum federal and state requirements. The reviewer must clearly identify the applicable federal or state policies, regulations, guidance, procedures, or statutes with which the document does not conform.

**If the District cannot recommend approval upon review of the TIP, the District should coordinate with the MPO to resolve deficiencies and issues before any other party reviews the TIP.** A checklist to assist in the review of the TIP can be found in the Liaison Toolkit on the [MPO Partner Site](#). The [GAP](#) system will notify all parties involved in the review process once everyone reviews and approves the document. This will initiate OPP's process for approving the TIPs with the STIP.

#### 4.2.6.1.2 TIP CHECKLIST

Federal or state laws and rules do not specify a particular format for the TIP. The TIP Checklist is provided to assist in the review of the TIP. This checklist should be used to review the draft TIP, and MPOs must address critical comments for the District to recommend approval to OPP. The TIP Checklist can be found in the Liaison Toolkit on the [MPO Partner Site](#). It is best practice to provide a comment if checking "No" to a question and to categorize all comments.

#### *4.2.6.2 Coordination by the Office of Policy Planning*

OPP will coordinate with the Districts, FHWA, and FTA in their review of all draft and final TIPs for compliance with federal and state laws and regulations. Once the MPO distributes the final TIP to all review agencies, all issues are resolved, and the Districts have formally recommended approval of all TIPs, OPP prepares all TIPs for approval by the Secretary and incorporation into the STIP by reference.

#### *4.2.6.3 Approval by the Secretary of Transportation*

The Governor has designated the Secretary of FDOT to approve TIPs. The Secretary must approve all TIPs by **August 31** of each year to allow adequate time for review of the STIP by FHWA and FTA so federal approval of the STIP can occur by **October 1**, which is the beginning of the federal fiscal year.

#### *4.2.6.4 Review by Federal Agencies*

OPP will request FHWA review the TIPs and provide written comments in [GAP](#) within **30 calendar days** of receipt. FTA will receive a digital copy from the MPO Liaisons for review and provide written comments within **30 calendar days**. Once the FHWA Florida Division Office provides the OPP written comments on the TIPs in [GAP](#), the OPP will prepare all TIPs for approval by the Secretary and incorporation into the STIP by reference. The approval of the STIP by **September 30** ensures continued federal-aid funding for projects and programs.

Through [GAP](#), FHWA will notify OPP and the District in the event they find any TIP to be deficient or incomplete. The District will coordinate with the MPO to resolve issues as soon as possible since federal-aid funding cannot be approved until the TIP is approved and incorporated into the STIP by **September 30** each year. Upon resolution of deficiencies, the MPO will resubmit the corrected TIP to the District. The District will then advise OPP of the correction. And then OPP will notify the FHWA Florida Division Office. Upon confirmation that the issues have been resolved to the satisfaction of the FHWA and the FTA, OPP will recommend the TIP to the Secretary for approval and incorporation into the STIP.

#### 4.2.6.5 Review by the Florida Department of Commerce

The MPO must submit the adopted TIP to the Florida Department of Commerce (FloridaCommerce) at least **45 days** before FDOT submits the STIP to the FHWA and the FTA for approval. This submittal date may vary if FDOT, FloridaCommerce, and the MPO agree in writing to an alternative submittal date.

[\[s.339.175\(8\)\(f\), FS\]](#) This review is completed in [GAP](#).

The FloridaCommerce will review the TIP for consistency with the approved comprehensive plans of affected local governments. The projects and project phases listed in the TIP must be consistent, to the maximum extent feasible, with the approved local government comprehensive plans of the units of local government located within the MPO's jurisdiction. [\[s.339.175\(8\)\(c\)\(1\), FS\]](#) FloridaCommerce shall review the TIP of each MPO for consistency with the approved local government comprehensive plans of the units of local government whose boundaries are within the metropolitan area of each MPO and shall identify those projects that are inconsistent with such comprehensive plans. FloridaCommerce will identify projects inconsistent with local

comprehensive plans and notify the MPO. [\[s.339.175\(8\)\(g\), FS\]](#) If a project is inconsistent with an affected comprehensive plan, the MPO must justify the project(s) in the TIP. [\[s.339.175\(8\)\(c\)\(6\), FS\]](#) FloridaCommerce must forward copies of its findings to the Florida Transportation Commission and FDOT. If the inconsistent project(s) is in the first year of the TIP, the District will coordinate with the MPO to resolve the issue before a project authorization request. If the inconsistent project(s) is in the second year or beyond, the MPO must resolve the issue before the submittal of next year's TIP.





## 4.3 TIP and STIP Implementation

### 4.3.1 TIP and STIP Revisions

At times, TIPs and the STIP may require revisions. These revisions can be processed as either a *TIP/STIP Amendment* or as a *Modification*. **TIP Modifications** are used for minor changes and are performed by the MPO Executive Director. TIP Modifications do not require an amendment to the STIP. **TIP/STIP Amendments** are processed for project changes that meet the thresholds as described below, and generally require MPO Board approval for the TIP Amendment and FHWA/FTA approval for the STIP Amendment. Two specific types of TIP Amendments may occur between the start of the new state fiscal year and the end of the old federal fiscal year (July 1 – September 30): **Roll Forward TIP Amendments** and **Administrative TIP Amendments**. **Copies of any updated TIPs must be provided to FHWA and FTA through the [GAP](#) system.**

Figure 4.3 Types of TIP Revisions

<p><b>TIP Modification</b></p>	<p>Minor changes to project costs (i.e., less than 20 percent and \$2 million), funding sources of previously included projects, termini changes for minor changes in length, and project initiation dates.</p>
<p><b>TIP/STIP Amendment</b></p>	<p>Major change including addition or deletion of a project, project cost increase (more than 20 percent and \$2 million), or change in design concept or project scope (i.e., changing project termini - increase or decrease of 1/2 mile and 20%, or the number of through traffic lanes).</p> <p>TIP/STIP Amendment requests that are received by OPP/FAMO for review by the 10th of each month will be included in the STIP Amendment for that month. This will enable FHWA to routinely approve the amendment by the end of the month.</p>
<p><b>Roll Forward Amendment</b></p>	<p>If there is a project in any of the four federally recognized years of the old TIP that did not get authorized by <b>June 30</b>, the project can still be authorized based on the old TIP, as long as the request is made between <b>July 1</b> and <b>September 30</b>.</p> <p>There is a need to ensure such projects are in the new TIP if the projects are to be authorized after <b>September 30</b>. This is accomplished through the Roll Forward TIP Amendment which must be adopted by the MPO before <b>October 1</b>.</p>
<p><b>Administrative TIP/STIP Amendment</b></p>	<p><i>During the Tentative Work Program development cycle</i>, if a new project is added to Year One, this project will appear in the new TIP, but it is not recognized by FHWA until <b>October 1</b>. This becomes an issue between <b>July 1</b> and <b>September 30</b>, when FHWA does not yet recognize the new TIP as being in effect and the <b>project requires federal authorization prior to October 1</b>.</p> <p>FHWA and FTA allow Administrative TIP/STIP Amendments during the three-month gap between the start of the new state fiscal year and the beginning of the new Federal fiscal year- without the requirement of full Board Action. Administrative TIP/STIP Amendments may take place between <b>July 1</b> and <b>August 31</b> only.</p>

TIP Amendments are required when a new project is added to the FDOT Five-Year Work Program and the project is not yet in the TIP/STIP. The appropriate District office should identify the need for amending the TIP and STIP and work with the MPO to prepare and approve the TIP Amendment following [23 CFR 450.326](#) and [23 CFR 450.328](#) in advance of the Federal Authorization Request to the Federal Aid Management Office. This may require FDOT project schedule changes to allow time for MPO Board action and FHWA or FTA approvals. Some TIP Amendments also may require FDOT Five-Year Work Program Amendments.

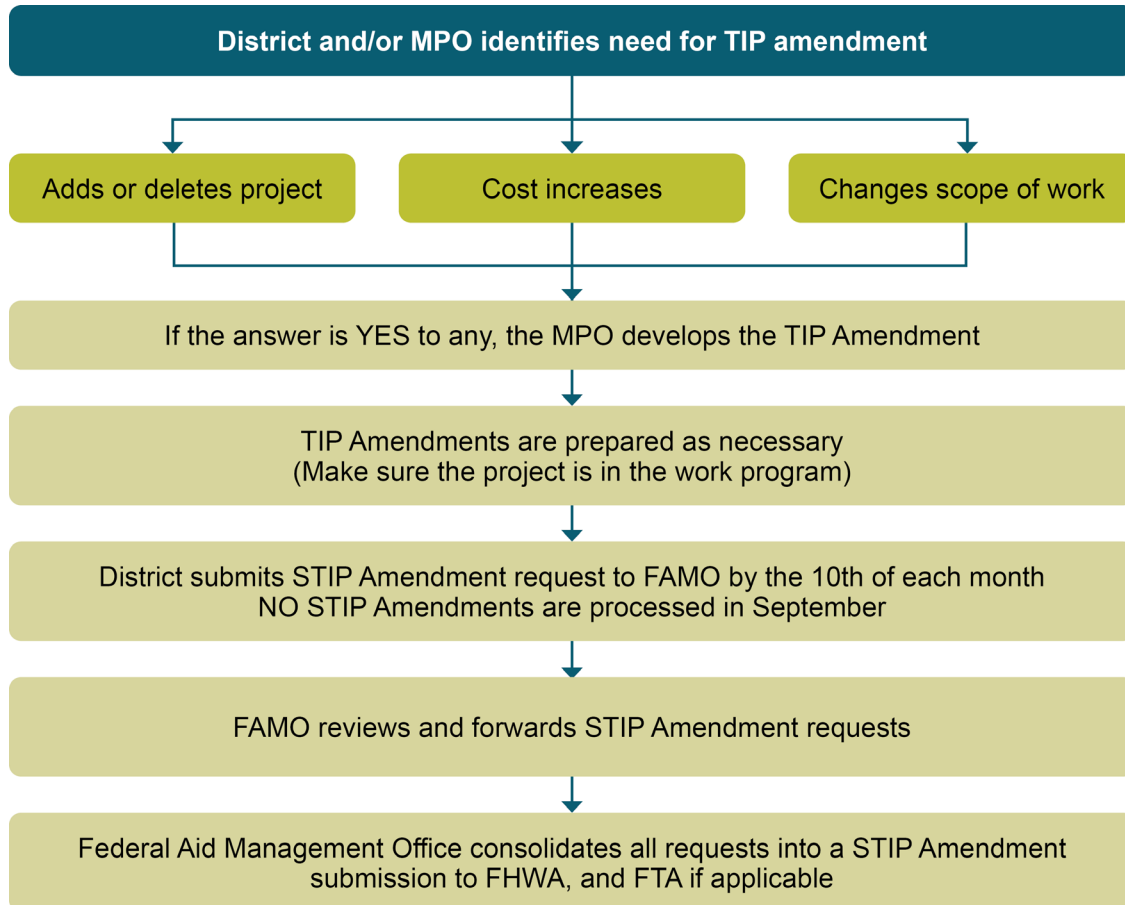
In many cases, projects that require TIP Amendments also require the FDOT Five-Year Work Program Amendments. The Work Program Amendment process is authorized by [s.339.135\(7\), FS](#), and outlined in FDOT's [Work Program Instructions](#). Any TIP/STIP Amendments requiring a FDOT Five-Year Work Program Amendment cannot be processed until the FDOT Five-Year Work Program Amendment has been approved. This entire amendment process may require two months or more. TIP/STIP Amendments that require FDOT Five-Year Work Program Amendments will be initiated by the District and will only be forwarded to the Central Office for processing when the FDOT Five-Year Work Program actions have been completed. **Note: No STIP Amendments are processed in September due to the new federal fiscal year starting October 1.**

For further details about amending the STIP, see the Work Program Instructions Part IV, Chapter 5 Section E. This section includes information outlining TIP/STIP Amendment requirements, minimum federal criteria, the content of the TIP/STIP Amendment package, and the routing of STIP Amendment requests.

Florida law does not require TIP/STIP Amendments for non-regionally significant, non-federally funded projects. However, the FDOT Five-Year Work Program Amendment process does apply to changes to non-federally funded projects in the Work Program. Please refer to the [Work Program Instructions](#) for further details on requirements for processing FDOT Five-Year Work Program Amendments.

**Figure 4.4** shows the process for amending the MPO's approved TIP.

Figure 4.4 TIP Amendment Process



#### 4.3.1.1 Determining if a TIP/STIP Amendment Is Required

This section defines changes to MPO TIPs and STIP that require state review and federal approval before the included federally funded projects can be authorized for federal participation. These guidelines **do not** affect any other federal or state law provisions or departmental procedure governing how projects are initially incorporated into FDOT’s Work Program, MPO TIPs, or the STIP.

**The “Work Program Amendment” process should not be confused with the “TIP/STIP Amendment” process described herein.** The two processes are different, and one cannot be substituted for the other. Different criteria apply to each process; the reporting, notification, and approval provisions for FDOT Five-Year Work Program Amendments differ significantly from those governing TIP/STIP Amendments. Please refer to FDOT’s [Work Program Instructions](#) for a detailed explanation of the FDOT Five-Year Work Program and the FDOT Five-Year Work Program Amendment process.



#### 4.3.1.1.1 DETERMINING IF A CHANGE IS AN AMENDMENT OR MODIFICATION

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*Not all changes to the TIP/STIP require state review and federal approval. Changes requiring formal state review and federal approval are referred to as TIP/STIP Amendments and are based on criteria established under federal law.*

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#### 4.3.1.2 Modifications

A **modification** is a minor revision to a TIP or STIP that includes minor changes to project/project phase costs, minor changes to funding sources of previously included projects, and minor changes to project/project phase initiation dates. If applicable, an administrative modification does not require public review and comment, demonstration of fiscal constraint, or a conformity determination. [\[23 CFR 450.104\]](#)

See the [STIP Information page](#) for more information.

#### 4.3.1.3 Amendments

An **amendment** is a revision to a TIP or STIP that involves a major change to a project in a TIP or STIP, including the addition or deletion of a project, a major change in project cost, project phase initiation dates, or a major change in design concept or design scope (i.e., changing project termini or the number of through traffic lanes). [\[23 CFR 450.104\]](#) An amendment requires public review and comment, demonstration of financial constraint, or a conformity determination, if applicable.

TIP Amendment requests may be made by the District to the MPO and require MPO Board approval. TIP Amendments brought before the MPO Board that affect projects in the first three years of the TIP must be approved by the MPO with a **recorded roll call vote** of a majority of the membership present. [\[s. 339.175, FS\]](#) TIP Modifications or Amendments will be processed through the [GAP](#), which then notifies the appropriate agency contacts for review.

STIP Amendments are performed following the MPO Board approval of the TIP Amendment. OPP and the Federal Aid Management Office will review all STIP Amendment requests to ensure they are accurate and complete before submitting them to the FHWA or the FTA for their review and approval.

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*The following five subsections describe common scenarios that result in a TIP/STIP Amendment.*

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#### 4.3.1.3.1 THE CHANGE ADDS A NEW INDIVIDUAL PROJECT

1

Any new project added to the first four years of the TIP/STIP will require a TIP/STIP Amendment. A “project” for TIP/STIP purposes is a Federal Aid Project, which generally aligns with the phase group. For example, if the Preliminary Engineering and Right of Way phases already are in the TIP/STIP and Construction must be added, the Construction phase would be considered a new project being added to the TIP/STIP.

The TIP/STIP covers five years according to state law. Of those five, the first four are recognized by the federal government. The federal government regards the fifth year as illustrative. Any federally funded project listed in the first four years of the TIP/STIP may be advanced or deferred within those four years without requiring a TIP/STIP Amendment. However, a FDOT Five-Year Work Program Amendment will still be required (if dollar thresholds are exceeded). All the necessary notifications (including those for MPOs) will also be required. See FDOT’s [Work Program Instructions](#) for further details.

If a project is listed in the first four years of the TIP but without federal funding and the funding is subsequently changed to add federal funds, this will not require a TIP/STIP Amendment.

Any “regionally significant” project, as defined by [23 CFR 450.104](#), that requires FHWA or FTA approval must have a TIP/STIP Amendment regardless of the funding source. **See 4.1.2 Projects to Be Included in the TIP** of this chapter.

#### 4.3.1.3.2 THE CHANGE ADVERSELY IMPACTS FINANCIAL CONSTRAINTS

2

Federal law requires the TIPs/STIP to be financially constrained to the amount of funds projected to be available by year over the four-year period of the approved TIPs/STIP. This means the cost of new projects and cost increases on existing projects must be offset by decreases in other areas of the TIP/STIP to maintain the financial constraints upon which the TIP/STIP was originally developed unless new sources of funds are identified.

If **new projects** are added to the TIP/STIP, or if a project is amended to reflect a cost increase, the STIP Amendment transmittal to FHWA/FTA must identify the source of funds for the new project. This information can be obtained project-by-project from the District Office of Work Program or Federal Aid Office.

#### 4.3.1.3.3 THE CHANGE RESULTS IN MAJOR SCOPE CHANGES

3

A TIP/STIP Amendment is required if there are major changes to the scope of a project. In this context, a major scope change is defined as one that changes or significantly expands the basic attributes or nature of a project (such as the design concept). Examples include, but are not limited to, the following:

- ❖ Any changes to project limits such as the length changing by more than 20% and 1/2 mile as determined by the milepost limits;
- ❖ Any changes to capacity (e.g., adding additional lanes);
- ❖ Any changes to the type of work (e.g., adding bridge repairs to resurfacing job or changing modes from highway to transit); and
- ❖ Any scope changes significant enough to affect the priority order of projects in the TIP/STIP or to affect consistency with the MPO's LRTP.

See [Part IV, Chapter 5 of the Work Program Instructions](#) for more information.

#### 4.3.1.3.4 THE CHANGE DELETES A PROJECT

4

Deleting any individually listed project in the four years of the TIP/STIP requires a TIP/STIP Amendment and an amendment to the LRTP. If a project is listed in the first four years of the TIP with federal funding and that funding is subsequently deleted, a TIP/STIP Amendment is required.

#### 4.3.1.3.5 THE CHANGE RESULTS IN A COST INCREASE GREATER THAN 20 PERCENT AND \$2 MILLION

5

This TIP/STIP Amendment criterion was added in 2006 because of the frequent occurrence of project cost increases. FDOT, FHWA, and FTA adopted the 20 percent **AND** \$2 million threshold as the guideline for what requires an amendment. Both criteria must be met. If the cost increase meets only one of the criteria, no TIP/STIP Amendment is necessary.



#### *4.3.1.4 Roll Forward Amendment (Authorization of Roll Forward Projects)*

During the three-month gap between the start of the state fiscal year (**July 1**) and the start of the federal fiscal year (**October 1**), FHWA and FTA regard the old STIP and TIPs as still being in effect. Therefore, if there was a project in any of the four federally recognized years of the old TIP that did not get authorized by **June 30**, the project can still be authorized based on the old TIP if the request is made between **July 1** and **September 30**. **There is no need to amend the old TIP**. However, there is still a need to ensure such projects are in the new TIP if the projects are to be authorized after **September 30**. This is accomplished through the Roll Forward TIP Amendment mentioned below and must occur before **October 1**.

##### 4.3.1.4.1 ROLL FORWARD TIP AMENDMENTS (FHWA PROJECTS)

Each March or April, the Work Program Office provides the Districts with the Tentative Work Program, which will be adopted on **July 1**. The MPO's TIP incorporates the Tentative Work Program and is adopted by **July 1**. Year one of the TIP and the Work Program should always match. However, when the new TIP and Work Program is adopted on **July 1**, there are often projects that were supposed to get authorized and encumbered before **June 30** (i.e., when the previous TIP and Work Program were in effect) but did not. These projects will automatically roll forward in the Work Program but will not roll forward in the TIP. Hence, the TIP must be amended to include these projects and match the Work Program. This is accomplished by what is known as a Roll Forward TIP Amendment.

Following the adoption of the Work Program, the Work Program Office posts the Roll Forward Report online. This report lists, by District, those projects that were not authorized by the end of the last fiscal year and have been rolled forward in the newly adopted Work Program. The District provides this list to the MPO, and the MPO uses it to process a Roll Forward TIP Amendment.

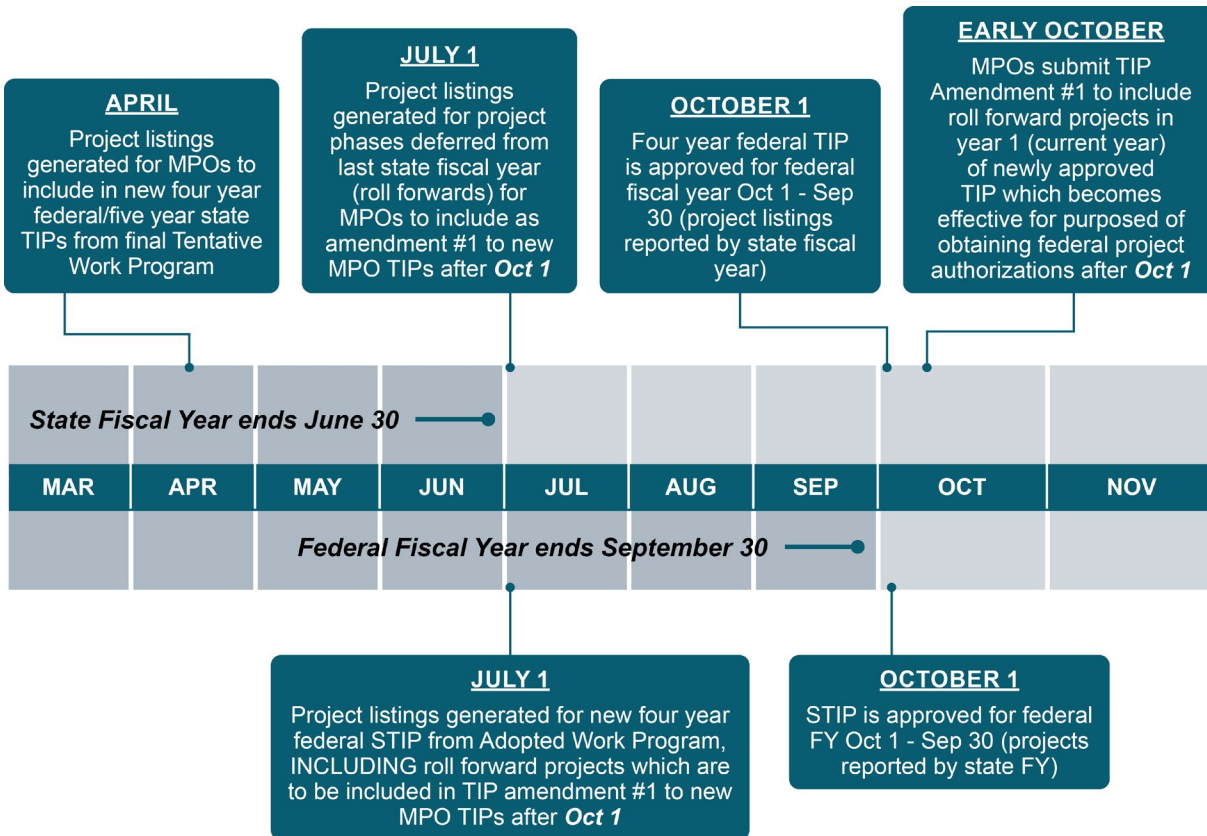
**Figure 4.5** presents the Roll-Forward Amendment process. An MPO can process a Roll-Forward TIP Amendment as soon as the Roll-Forward Report is published. However, FHWA will not recognize the approval of the Roll-Forward TIP Amendment until after **October 1**, the effective date of the new MPO TIP.

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*Please note there is no need for the MPOs to request a Roll Forward STIP Amendment because these Roll Forward projects are included in FDOT's submittal of the STIP on August 31.*

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Figure 4.5 Process Flow for Roll Forward Amendments



### 4.3.1.4.2 ROLL FORWARD TIP AMENDMENTS (FTA PROJECTS)

Unlike all other projects, FTA projects do not automatically roll forward in the Work Program. Non-budgeted projects that utilize 49 USC Sections [5307](#), [5337](#), and [5339](#) funds that are not obligated in the previous year will not roll forward. A limited number of budgeted projects will roll forward into the new STIP. Unless District MPO Liaisons and the Public Transportation Office are mindful of rolling forward FTA-funded projects, there is a risk that they could mistakenly drop out of the Work Program and, consequently, the STIP. If that happens, the project will not be eligible for FTA funding when the time comes to authorize it, and an STIP Amendment will have to be executed to put the project back in. **Therefore, special care must be taken to ensure the Roll Forward TIP Amendment includes FTA-funded projects.** The District Public Transportation Office (PTO) should cooperate with the Central Office PTO and the respective transit agencies to identify these projects. The District MPO Liaison must work closely with the District Public Transportation Office (PTO) to ensure all projects not previously obligated are in the new STIP. See the [Work Program Instructions Part IV, Chapter 5](#) Section F for further details about Roll Forward TIP/STIP Amendments.

#### *4.3.1.5 Administrative TIP Amendment between the Start of the State and Federal Fiscal Years*

**An administrative TIP Amendment does not have to go to the full MPO Board for approval.** FHWA and FTA will allow an administrative TIP Amendment during the three-month gap between the start of the new state fiscal year and the end of the old federal fiscal year (July 1 to September 30) **for new projects added during the Tentative Work Program development cycle.**

Every April, the Districts provide the MPOs with the Final Tentative Work Program for developing the new TIP. If a new project is added to Year One during the Tentative Work Program development cycle, it will appear in the new TIP but not in the current TIP. This becomes an issue because of the three-month gap between **July 1** and **September 30**, when FHWA recognizes the old TIP as being in effect.

In these instances, the old TIP must be amended to include the project. Still, FHWA and FTA have agreed to allow the MPO Executive Director to process an Administrative TIP Amendment for these types of projects rather than having to go before the full MPO Board. FHWA and FTA will allow this only under the following conditions:

- ❖ The amendment takes place between **July 1** and **September 30**;
- ❖ The project must appear in the amendment exactly as it appears in the newly adopted TIP; and
- ❖ The Board has authorized the MPO Director to approve administrative TIP Amendments.

**District and MPO staff should not confuse the Administrative TIP/STIP Amendment process with the TIP/STIP Modification process, as these processes are unique and have different approval requirements.** Doing so may result in miscommunication regarding the process for changing a project in the TIP, which could result in project delays. More information on the Administrative TIP/STIP Amendment process can be found in Federal Aid Technical Bulletin 10-03 and 20-02 from FDOT's Federal Aid Management Office, available on the **Federal Aid Tech Bulletin Internal SharePoint Site**.



#### *4.3.1.6 Emergency TIP/STIP Amendments*

Occasionally, a project will undergo a change that requires an amendment to the TIP, either as a new project or a change in project scope. However, the project schedule and timing of MPO Board meetings necessitate the amendment be performed before the MPO Board meeting.

**In these instances, the MPO may perform an emergency TIP Amendment, provided that the Board has authorized the MPO Director or the MPO Board Chair to do so, and the process is addressed in the MPO's operational procedures, bylaws, and public involvement plan.** Such changes should be rare, as District and MPO staff should be coordinating early in the project development process.

The STIP Amendment package from an emergency TIP Amendment must include a confirmation from the MPO that an emergency TIP Amendment has been performed. Such confirmation might consist of correspondence between the MPO and the District.

#### *4.3.1.7 Contents of TIP/STIP Amendment Package*

TIP Amendment packages must include specific documents and information regarding project changes and be uploaded to the [GAP](#) system. The accompanying STIP Amendment (prepared by the Federal Aid Office) will draw upon the contents of individual TIP Amendments as the basis for its preparation.

TIP Amendments must contain the following information:

For **new projects**, include the following:

- ❖ Project name, limits, length, detailed project description, and type of work;
- ❖ Financial Project Number (FPN);
- ❖ FDOT Work Program fund code;
- ❖ For FTA Amendments, the section number needs to be in the description line of the Work Program entry and on the TIP Amendment;
- ❖ Estimated cost;
- ❖ Phase of work;
- ❖ State fiscal year in which work is to commence;
- ❖ Reason for the proposed change;
- ❖ Effect of the change to financial constraints;

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- ❖ LRTP page number;
- ❖ TIP page number;
- ❖ Date TIP was amended (on amended TIP page);
- ❖ Indication whether a STIP Amendment is required;
- ❖ Signature of MPO Chairman or designee (if approval authority has been delegated to MPO staff and documented);
- ❖ Signature of FDOT's District representative; and
- ❖ Statement that the TIP Amendment was developed and approved in compliance with applicable laws and procedures.

For **existing projects**, include the information listed above and the following:

- ❖ As listed in the current TIP (include TIP page number);
- ❖ As proposed to be amended (include new TIP page number); and
- ❖ The page number in the existing STIP where it may be found.
- ❖ Documents that must be included in the amendment package with file naming convention.

The STIP Amendment tool is at FDOT's [Federal Aid Management Office STIP Amendment website](#). District staff will be notified via email when the FHWA approves TIP/STIP Amendment(s), and approved amendment packages will be posted to the website.

### *4.3.1.8 Schedule for Processing TIP/STIP Amendments*

TIP/STIP Amendment requests received by OPP for review by the **10<sup>th</sup> of each month** will be included in the STIP Amendment for that month, provided the requests are complete and require no clarifications or other District or MPO input. This will enable the FHWA to approve the amendment by the end of the month routinely.

**This schedule does not apply in September. No STIP Amendments will be processed during September due to the new federal fiscal year beginning on October 1.**

An incomplete STIP Amendment request may not be included in the consolidated STIP Amendment for that month if needed information cannot be obtained prior to the due dates for that month, as outlined above.

Additional guidance on STIP Amendments may be found in the [Work Program Instructions](#) and Federal Aid Technical Bulletins.

#### *4.3.1.9 Routing of TIP/STIP Amendment Requests*

STIP Amendment requests within MPO planning areas are generally accompanied by corresponding TIP Amendments already prepared and approved by the MPOs. However, the need for TIP/STIP Amendments can come from many sources (e.g., Planning, Public Transportation, Program Development, etc.). It can cause a lack of consistency that often results in errors and delays in the authorization of funds.

- ❖ STIP Amendment requests for projects within an MPO's planning area (i.e., those requiring TIP Amendments) will be reviewed by OPP in consultation with the District point of contact to ensure they are complete. After their review, the STIP Amendment Application forwards these requests to the Federal Aid Management Office.
- ❖ STIP Amendment requests for projects outside of MPO planning areas are to be submitted following the same process as above but do not require documentation.

The Federal Aid Management Office then consolidates all requests into a single STIP Amendment for submission to FHWA.

#### *4.3.1.10 Close-out of Federal Fiscal Year and TIP Amendments*

During September, FDOT's Federal Aid Management Office is closing the federal fiscal year; the FHWA Florida Division Office is involved in the review process for the new MPO TIPs. Because of this workload and the deadlines associated with each activity, **no TIP/STIP Amendments will be processed by OPP, the Federal Aid Office, or FHWA during September of each year.** The MPOs may continue to amend their TIPs and send them to the Districts. However, the amendments will not be processed until **after October 1**, when the new federal fiscal year begins. Those amendments received by OPP before September 1 will be processed, provided the amendments include the complete information required in [Section 4.3.1.7 Contents of TIP/STIP Amendment Package](#).



### *4.3.2 Federal Authorization Requests*

A project must be included in the approved TIP and STIP for FHWA and the FTA to participate in the cost of any federally funded transportation project in order to issue a Federal Project Authorization.

Federal Authorization Requests are prepared by the District Federal Aid Coordinator (or by various Central Office Program Coordinators) and submitted electronically to FDOT's Federal Aid Management Office (FAMO). The Request is reviewed for compliance against the required criteria and transmitted electronically to FHWA/FTA for approval.

A properly filed Federal Authorization Request (FAR) will generally be approved by FHWA within **two weeks** of submission by FDOT's Federal Aid Management Office. However, if the project is not listed correctly in the TIP/STIP, a TIP Amendment requiring MPO Board action may be required to obtain initial Federal Authorization. This could delay commencement of work by weeks or months. A STIP Amendment request generally needs to accompany the TIP Amendment.

For this reason, District staff (e.g., Planning, Work Program, Estimates, Right of Way) must verify the project is correctly listed in the TIP/STIP before submitting an initial Federal Authorization Request to the Federal Aid Management Office. The project must be listed correctly in the federally mandated four-year STIP, and if the project is located within the MPO's boundary, it must be listed in the first four years of the MPO's five-year TIP. For more information about the FAR process, refer to [Part IV, Chapter 6: Authorizing Federal Projects With Federal Highway Administration](#).

This verification should take place at least **two months** before the District submits the federal authorization request to the Federal Aid Management Office to ensure adequate time to process a TIP/STIP Amendment if required. If a project has undergone a change that falls within the formal TIP/STIP Amendment criteria, District planning staff will notify the MPO of the need to process a TIP Amendment; District staff will notify OPP/FAMO of the need to process an STIP Amendment. Following approval of the TIP Amendment, OPP will review the submitted STIP Amendments with the Federal Aid Management Office for electronic transmission to FHWA or FTA for review and approval. For more information on the TIP/STIP Amendment process, see [Work Program Instruction Part IV, Chapter 5: Statewide and Local Transportation Improvement Programs \(STIP and TIP\)](#), and [Section 4.2.6.1.2 TIP Checklist](#).

The following reporting tool has been developed to provide advanced warning on projects that may need TIP/STIP Amendments: [Federal Aid Management - Work Program and Budget](#).

## 4.4 Federal and State Requirements for Developing the TIP

Table 4.1 presents the federal and state statutes, regulations, and rules related to the development of the TIP and provides a list of references/definitions from federal or state law, including key plans and guidance about MPOs.

*Table 4.1 Federal and State Statutes and Codes and References*

Citation	Description
<b>METROPOLITAN TRANSPORTATION PLANNING</b>	
<a href="#"><u>23 USC 134(j) and (k)(3) and (4)</u></a>	Scope of the metropolitan planning process and development of the TIP.
<a href="#"><u>49 USC 5303</u></a>	
<b>FEDERAL LANDS ACCESS PROGRAM</b>	
<a href="#"><u>23 USC 204</u></a>	Roads on federal lands are to be included in the TIP, where applicable.
<b>PLANNING ASSISTANCE AND STANDARDS</b>	
<a href="#"><u>23 CFR Part 450 Sections 326, 328, 330, 332, and 334</u></a>	Development and content of the TIP, TIP revisions and relationship to the STIP, TIP action by FHWA and FTA, project selection from the TIP, and annual listing of projects.
<b>TRANSPORTATION FINANCE AND PLANNING</b>	
<a href="#"><u>s.339.175, FS</u></a>	MPO responsibilities and TIP requirements.
<a href="#"><u>s.339.135(4)(c) and (4)(d), FS</u></a>	Statute clarifies the preparation, adoption, execution, and amendments to the Work Program.
<b>SPECIAL TRANSPORTATION AND COMMUNICATIONS SERVICES</b>	
<a href="#"><u>s.427.015(1), FS</u></a>	Requirements for the transportation disadvantaged.

Citation	Description
<b>WORK PROGRAM INSTRUCTIONS</b>	
<a href="#"><u>FDOT Work Program Instructions</u></a>	Instructions to guide the development of FDOT's Work Program.
<b>FDOT'S OFFICE OF ENVIRONMENTAL MANAGEMENT ETDM MANUAL</b>	
<a href="#"><u>FDOT's Efficient Transportation Decision-Making (ETDM) Manual</u></a>	For use in reviewing qualifying transportation projects during the Efficient Transportation Decision Making (ETDM) Process Planning and Programming Screens.
<b>SCE EVALUATION PROCESS WEBSITE</b>	
<a href="#"><u>Practical Application Guides for SCE Evaluations: ETDM Phase</u></a>	Describes the process for evaluating sociocultural effects (SCE) for projects undergoing Planning screen or Programming screen reviews as part of Florida's Efficient Transportation Decision Making (ETDM) Process.
<b>GRANT APPLICATION PROGRAM</b>	
<a href="#"><u>GAP</u></a>	Websites through which MPOs upload TIPs, TIP modifications, TIP Amendments, and guidance on the GAP website.
<a href="#"><u>FL GAP State Guide</u></a>	
<b>PROJECT DELIVERY AND ENVIRONMENT</b>	
<a href="#"><u>Project Development and Environment Manual Part II, Chapter 4</u></a>	Sociocultural effects (SCE) chapter and how to develop it in the evaluations.

**Note:** *The Governor of the State of Florida has delegated the authority to review and approve MPO TIPs and TIP Amendments to the Secretary of the FDOT.*