Transportation Improvement Program (TIP) Procedures for Northeastern Illinois

Adopted by the Chicago Metropolitan Agency for Planning (CMAP) Board March 12, 2008
Adopted by the Metropolitan Planning Organization (MPO) Policy Committee March 13, 2008

Goals and Objectives:

The following list contains the primary goals and objectives for what the purpose of a TIP is. A proper TIP should accomplish the following:

- Identifies transportation investments to implement regional strategies
- Identifies the projects or phases of a project that are funded over the next four years
- Presents, in realistic terms, project costs and available funding sources
- Maintains regional planning integrity - cost estimates and funding sources are determined through an open and transparent process
- Is user friendly document that is useful
- Is accessible via electronic means
- Is streamlined process for document development, approval and modification

TIP Content

23 CFR 450.324 covers, in detail, what specifically is required to be included within the TIP. Some important highlights of the regulations include:

- The TIP shall include a project, or portion of the project that is considered an operationally independent phase of work or other phase only if full funding can reasonably be anticipated to be available for the project/phase within the time period contemplated for completion of the project/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 the first program year for the project or phase
- Identification of the agencies responsible for carrying out the project or phase
- The TIP shall include a financial plan that demonstrates how the approved TIP can be implemented
- Only projects/phases for which construction or operating funds can reasonably be expected to be available may be included
- For purposes of transportation operations and maintenance, the financial plan shall contain system-level estimates of costs and revenue sources that are reasonably expected to be available to adequately operate and maintain Federal-aid highways and public transportation
- In addition, for illustrative purposes, the financial plan may (but is not required to) include additional projects that would be included in the TIP if reasonable additional resources beyond those identified in the financial plan were to become available
- Projects beyond the first four years of the TIP are considered for illustrative purposes only, and are not considered part of the fiscally-constrained TIP
- Revenue and cost estimates for the TIP must use an inflation rate(s) to reflect "year of expenditure dollars," based on reasonable financial principles and information, developed cooperatively by the MPO, State(s), and public transportation operator(s)

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Projects funded under 49 USC 5309 (FTA) have additional requirements for inclusion in the TIP, beyond the items mentioned above and contained elsewhere within 23 CFR 450.324. These requirements are:

(1) The total Federal share of projects included in the first year of the TIP shall not exceed levels of funding committed to the metropolitan planning area; and
(2) 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 metropolitan planning area.

Fiscal Constraint

USDOT requires fiscal constraint to be demonstrated prior to accepting a new or modified TIP. Every project included in the TIP is reasonably expected to be completed regardless of phase representation. In order to demonstrate fiscal constraint on a project-level basis, the TIP can include a project or portions of a project that are considered operationally independent phases of work or other phases (e.g., preliminary engineering, environment/NEPA, right-of-way, design, or construction) in one of the following two methods:

1. Identify all fund sources for the total cost to design, construct, and operate a project. This includes all right-of-way and preliminary engineering costs, even if they are expected to be incurred beyond the end of the TIP.

Or,

2. Identify portions of the project that are considered operationally independent phases of work or other phases that have funds and fund sources identified as being available or are reasonably expected to be available. As new funding sources become available for future phases of a project, then the project can be amended to include the new phases.

Definitions

Amendment - A revision to the Transportation Improvement Program (TIP) that involves a major change to a project included in the TIP, including the addition or deletion of a project or a project group or a major change in project cost, project/project phase initiation dates, or a major change in design concept or design scope (e.g., changing project termini or the number of through traffic lanes). Changes to projects that are included only for illustrative purposes do not require an amendment. An amendment is a revision that requires public review and comment, redemonstration of fiscal constraint, or a conformity determination.

Administrative Modification - A minor revision to the TIP 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. An administrative modification is a revision that does not require public review and comment, redemonstration of fiscal constraint, or a conformity determination.

Revision – A change to the TIP that occurs between scheduled periodic updates. A major revision is an "amendment" while a minor revision is an "administrative modification".

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Further definition of the difference between a major project change and minor project change included in the section of this document titled "Thresholds."

Thresholds

The following thresholds will be used to determine what revisions require a TIP amendment, and which revisions will be completed via administrative modification. Revisions below the following thresholds will be considered an administrative modification; project changes above one or more of the following thresholds will require an amendment. In situations not specifically defined as an administrative modification, an amendment must be executed, unless the CMAP Tier II consultation team agrees that an administrative modification is acceptable. Decisions made on specific projects shall not be considered as setting a precedent for future actions.

Administrative modification thresholds:

- For federally funded projects administrative modifications are allowed for cost increases up to the following percentages based on the federal project cost:

Percent Increase	Federal Project or Project Group Cost ($1,000)
100%	$0-$999
50%	$1,000-$4,999
25%	$5,000-$9,999
20%, up to $10M	≥$10,000

- Changes in project scope or fund source to projects normally classified as Categorical Exclusions (as defined in 23 CFR 771.117) and/or projects identified in 40 CFR Part 93. These projects are considered grouped within the TIP, and generally do not appear individually within the program. All changes to grouped projects with the exception of addition or deletion of a group are administrative modifications.
- Changes to project implementation years for projects classified as exempt, provided that they remain within the first four years of the TIP. These projects can move across conformity analysis years without affecting the SIP conformity demonstration. Projects beyond the first four years of the TIP are considered for illustrative purposes only, and are not considered part of the fiscally-constrained TIP.
- Changes to project implementation years for projects classified as non-exempt, provided they remain within the first four years of the TIP, and do not cross air quality conformity analysis years.
- Changes in federal project fund sources that do not alter the federal project cost. For example, changing the source of matching funds for a project from State to local funds or vice versa, while not changing the federal amount could be accomplished via an administrative modification.

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- Projects or phases that are obligated and are removed from the TIP are considered administrative modifications. Changing a project or project phase cost to zero for a project that is not obligated is considered a deletion, and would require an amendment.
- Projects with unobligated funds at the end of a current federal fiscal year will be carried over and these changes will be an administrative modification.

Procedures for Revising the TIP

The MPO Policy Committee has the authority to determine how they choose to process and approve administrative modifications and amendments. Administrative modifications can be completed by CMAP staff. Administrative modifications completed by staff will be brought to the attention of the Transportation Committee at their next scheduled meeting.

Amendments involving an air quality analysis will be processed by staff and released by the Transportation Committee for a thirty-day public comment period. Final approval of such amendments after the public comment period has ended will be made by the MPO Policy Committee. Amendments that do not require an air quality analysis are subject to public comment period of a minimum of seven calendar days on the CMAP website and approval by the Transportation Committee.

Amendments to the TIP that move any number of non-exempt projects across conformity analysis years will require a new air quality analysis and subsequent conformity determination by the applicable federal agencies. Amendments to the TIP that don't move projects across analysis years do not necessarily require a new air quality analysis but may require a reaffirmation of the conformity determination. The Tier II consultation team will be consulted in these circumstances.

23 CFR 450.326 and 23 CFR 450.328 contain additional details about the TIP modification process from a federal regulatory standpoint.

Attachment A may be modified subject to Transportation Committee approval.

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Attachment A

TIP Project Groups

See chapter 5 of the TIP document for work types associated with each group.

(a) ADA access improvements – vehicles/facilities;
(b) bicycle/pedestrian projects;
(c) bridge projects (except transit);
(d) exempt paving projects (such as widening and resurfacing, reconstruction, resurfacing, pavement patching, and intermittent resurfacing);
(e) intersection improvements;
(f) miscellaneous exempt projects;
(g) rail line - maintain, rehabilitate – commuter and rapid transit;[1]
(h) rolling stock -- new vehicles to replace existing vehicles or for minor expansions of the fleet;
(i) rolling stock -- rehabilitate vehicles;
(j) safety projects;
(k) station -- maintain/rehabilitate commuter/rapid transit;[2]
(l) transfer facilities -- construct, maintain, and rehabilitate;[3]
(m) transit communications/power/signal projects;
(n) transit contingency/administration;
(o) transit operating;
(p) transit storage/maintenance facilities;[4]
(q) transit support facilities and equipment -- new/rehabilitate: bus turnaround; revenue collection equipment; shop facilities and equipment; office facilities and equipment; signal preemption for transit; towers and yards;[5]

TIP Funding Sources

Below is a list of all fund sources for use in the TIP. All other fund sources are considered illustrative; projects or phases using them are not part of the TIP.

BRD	Bridge Discretionary Program
BRR	Highway/Bridge Replacement/Rehabilitation Program
CMAQ	Congestion Mitigation/Air Quality
FNS	FTA New Start
FTA	FTA Urban Formula and/or Fixed Guideway
FTA/BUS	FTA Bus Discretionary
FTA/E-H	FTA Elderly/Handicapped
FTA Sec 112	Congressionally designated surface transportation projects
FTA Sec 115	Congressionally designated surface transportation projects
FTA Sec 117	Congressionally designated surface transportation projects

[1] Grouped projects may not have any change in customer service expected from the maintenance or rehabilitation.
[2] Parking spaces are considered an integral component of "reconstruction or renovation of transit buildings and structures (e.g., rail or bus buildings, stations, terminals, and ancillary structures)," which are specified as exempt from regional emissions analyses in Table 2 of 40 CFR 51. Therefore, such parking spaces may be included in this group.
[3] Parking spaces are considered an integral component of "bus terminals and transfer points," which are specified as exempt from regional emissions analyses in Table 3 of 40 CFR 51. Therefore, such parking spaces may be included in this group.
[4] New construction projects may be grouped only if the projects meet the requirements for categorical exclusion under 23 CFR 771.117(d).
[5] New rail yard projects may be grouped only if the projects meet the requirements for categorical exclusion under 23 CFR 771.117(d).

FTA Sec 125	Congressionally designated surface transportation projects
FTA Sec 129	Congressionally designated surface transportation projects
GEN-OP	General Revenues (e.g. municipal bonds/property tax/etc.)
HPP	High Priority Program
HSIP	Highway Safety Improvement Program
I-D	Interstate Discretionary Funding
I-M	Interstate Maintenance
ICC	Illinois Commerce Commission
ILL	State of Illinois Funding
ITS	Intelligent Transportation Systems
JARC (FTA 5316)	Job Access and Reverse Commute Grant
MFT-ALL	Allocated Motor Fuel Taxes
MFT-LOC	Locally Imposed Motor Fuel Taxes
NCP	National Corridor Planning and Border Infrastructure
NEWF (FTA 5317)	New Freedom
NHS	National Highway System
NRS	Project of National and Regional Significance
OGL	Operation GreenLight Funds
PRV	Private
RTA	Regional Transportation Authority
SB	Service Board (Transit Only)
SCIP	100% SCIP
SPEC	Other Special Assessment or Taxing District
SR2S	Safe Routes to School
STP-C	Surface Transportation Program (STP) County Programmed
STP-E	STP Enhancement Funds
STP-L	STP Urban Funds-Locally Programmed
STP-P	Surface Transportation Project
STP-R	STP Rural Funds
STP-S	STP Safety Funds
STP-U	STP Urban Funds-State Programmed
TCSP	Transportation and Community and System Preservation
TOLL	Illinois State Toll Highway Authority