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**PENNSYLVANIA'S 2015
TRANSPORTATION PROGRAM
GENERAL & PROCEDURAL GUIDANCE**

This is a collaborative product jointly developed by the Pennsylvania Planning Partners – MPOs, RPOs, FHWA, FTA, the State Transportation Commission, and PennDOT.

**GENERAL AND PROCEDURAL GUIDANCE
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PENNSYLVANIA'S 2015 TRANSPORTATION PROGRAM GENERAL AND PROCEDURAL GUIDANCE

Introduction

This Guidance describes the 2015 Transportation Program development process within the context of multiple inter-related, intergovernmental planning functions. Separate processes for the development, adoption, and administration of the Twelve Year Plan (TYP) and Statewide Transportation Improvement Program (STIP) have been coordinated and streamlined over the years. This Guidance informs and directs a unified planning process covering both documents. The first section, General Guidance, identifies policies, requirements or guidance related to the general planning environment or the transportation-specific planning context within which the program development activities take place. The second section, Program Development and Administration, presents policies, requirements or guidance directly related to program development activities. This section also relates guidance for modifying and monitoring the program after adoption. The Guidance includes six Appendices with one optional Appendix to streamline the document and provide additional resources: Transportation Program Development Process Diagram; TIP Submission Documentation List; Sample Transportation Self-Certification Resolution; Schedule for Adoption; References; and an optional Regional References.

The Transportation Program Development Process Diagram depicts the phases of the process from the introduction of transportation problems into the process, to the inclusion of the proposals and the projects on a TIP. The TIP Submission Documentation List encompasses the varied documentation that makes up a completed Transportation Improvement Program (TIP) and STIP, including a list of requirements and additional documentation instructions. The Sample Certification Resolution provides an example of one of the major TIP requirements for the Metropolitan Planning Organization (MPO). It is also helpful for identifying the comprehensive range of regulatory requirements that must be addressed in the transportation planning process. A Schedule for Adoption presents the timing and milestones for completing the complex series of tasks resulting in adoption of a transportation program. References include clickable links that can be used with an internet connection to access selected references. Finally, Regional References is included as an optional appendix for use by individual planning partners if they choose.

The resulting transportation program meets the varied requirements of State and Federal law, but more importantly, ensures that public investment in the Commonwealth's transportation system is effectively managed and produces an effective and practical set of transportation projects and services.

Once finalized, all 2015 Program guidance and the 2015 Program development schedule will be placed on the PennDOT website, www.dot.state.pa.us, available for program development use by the partners and general access by other interested parties. The draft and final programs will be placed on PennDOT and MPO/RPO websites as they are completed.

Roles and Responsibilities

- MPOs are responsible for developing and approving metropolitan TIPs.
- PennDOT and the Rural Planning Organization's (RPOs), as well as one independent county, are jointly responsible for developing and approving rural TIPs.
- PennDOT, through its District Offices and Central Offices in Harrisburg, functions as the lead planning agency for the Interstate Highway System, identifying projects in cooperation with the MPOs and RPOs.
- The Governor or his designee (currently the Secretary of the Pennsylvania Department of Transportation) approves the metropolitan and rural TIPs and the Interstate Program, and submits the entire STIP to the US Department of Transportation for their approval.
- The TYP, STIP, and MPO/RPO TIPs are updated every two years. The federal programming documents (STIP and TIPs) will cover a four year time frame to remain consistent with the first four years of the TYP and the first four years of MPO/RPO long range transportation plans.

Definitions

The following terms are used throughout this document.

- The terms "2015 Transportation Program" and "2015 Program" refer to both of the following transportation project listings:
 - 2015-2018 Statewide Transportation Improvement Program and
 - 2015-2026 Twelve Year Transportation Program
- The Statewide Transportation Improvement Program (STIP) is the official federal document mandated under current federal legislation, Moving Ahead for Progress in the 21st Century (MAP-21) of 2012.
- The Twelve Year Transportation Program (TYP) is the official state document implemented under PA Act 120 of 1970.
- PA Act 120 established the State Transportation Commission (STC) and its related duties and responsibilities, and authorizes the TYP and its adoption by the STC.
- Metropolitan Planning Organizations (MPOs) are established under MAP-21 as planning bodies responsible for developing and approving transportation programs. MPOs cover all urbanized areas over 50,000 in population excepting small pieces of urbanized areas that extend into Pennsylvania (for example, Hagerstown, MD or Binghamton, NY). The Commonwealth has nineteen MPOs.

- Rural Planning Organizations (RPOs) are under contract to PennDOT to provide transportation planning and programming for rural areas of the Commonwealth (including urban areas with populations less than 50,000). For transportation planning and programming purposes, the RPOs are presently functioning as MPOs. The Commonwealth has four RPOs and one independent county. PennDOT is responsible for the development of the independent county TIP.
- The MPO/RPO Transportation Improvement Programs (TIPs) identify the projects in these areas that are included in the STIP. These terms are interchangeable with metropolitan and rural TIPs. All interstate projects are programmed on a separate TIP.
- “Partners” include the State Transportation Commission, the Pennsylvania Department of Transportation on behalf of the Governor, the Metropolitan Planning Organizations and Rural Planning Organizations, one independent county, public transportation properties across the Commonwealth, the Pennsylvania Turnpike Commission, the Pennsylvania Department of Environmental Protection, the U.S. Department of Transportation (Federal Highway Administration and Federal Transit Administration) and the U.S. Environmental Protection Agency (EPA).
- “Interested parties” mean citizens, affected public agencies, representatives of public transportation employees, freight shippers, providers of freight transportation services, private providers of transportation, representatives of users of public transportation, representatives of users of pedestrian walkways and bicycle transportation facilities, representatives of the physically challenged, agencies or entities responsible for safety/security operations, providers of non-emergency transportation services receiving financial assistance from a source other than title 49, U.S.C., Chapter 53, tribal governments, and other interested parties with reasonable opportunities to be involved in the metropolitan transportation planning process.

General Guidance

This Guidance document is intentionally brief. References or examples are included in the text as support tools that users may find useful for developing a broader (or deeper) understanding of the program development process or for professional development. The referenced materials are not intended to be comprehensive. The planning context for program development includes multiple elements:

Federal and State Planning and Programming Rules and Regulations (23 C.F.R. 450, 49 USC 5303-5304, PA Act 120, PennDOT DM1A (Design Manual Part 1A: Pre-TIP and TIP Program Development Procedures))

State and Regional Transportation Plans (Pennsylvania Mobility Plan, PA and Regional ITS Architectures, Region Long Range Transportation Plans, Region Operations Plans, Freight Plans, Bicycle and Pedestrian Plans, Congestion Management Processes)

Other Programs (Economic Development District Plans; County, Regional and Municipal Comprehensive Plans)

Existing PennDOT Data Systems for Asset Management, Environmental Assessment, Contracting, and Performance Review (PennDOT Multi-Modal Management System (MPMS), ECMS, CE Expert System, LPN System)

Corridor studies, Project Development Screening Forms developed from the Department’s Linking Planning and NEPA, needs and feasibility studies and environmental clearance documents are also useful as decision-support tools in the development of long range transportation plans and short range programs.

General Planning Requirements

- Satisfy all Federal and State planning and programming rules and regulations. Federal transportation planning requirements are documented in 23 CFR. 450. Title VI and environmental justice requirements as well as other required planning certifications are identified in the Sample Transportation Planning Certification Resolution and Referenced appendices. Other state tenets, principles, and goals that guide transportation program development are identified in PA Act 120, and the Pennsylvania Mobility Plan.
 - Each project or project phase included in the TIP shall be consistent with the region’s approved long range transportation plan.
 - Candidate major capital projects and/or air quality non-exempt projects included in the TIP should be consistent with regional long range transportation plans.

All PennDOT, regional or local plans, programs, studies, management systems, etc., as identified above are part of the planning context and also factor into program development.
- Develop the STIP and MPO/RPO TIPs among all partners and interested parties through a continuing, cooperative and comprehensive process, based upon mutual trust, data sharing (including project technical evaluation input needs), open communication and cooperation at each program development step, leading toward consensus between all planning partners regarding the most effective use of the limited transportation financial resources. Ensure

effective coordination with the providers of all modes of transportation.

- As necessary, partners will respond to new State and Federal initiatives and other changing circumstances as quickly as possible to make necessary adjustments to the joint PennDOT/MPO/RPO planning and programming process.
- Partners will program strategically; establish priorities; select transportation improvements with the greatest benefit to the Commonwealth and individual counties/regions; and give all partners the flexibility to more effectively choose and approve the best mix of projects that meet their own regional needs.
- The management and monitoring systems, corridor studies, Project Development Screening Forms developed from the Department's Linking Planning and NEPA, needs and feasibility studies and environmental clearance documentation will be used as decision-support tools in the development of long range transportation plans and short range programs.
- Transportation system preservation and management continues to be the highest priority in Pennsylvania and the individual MPO/RPO programs should emphasize system preservation and management. System preservation involves extending the life of existing facilities and their associated equipment and hardware or the repair of damage that impedes mobility or compromises safety; while, system management involves improving reliability, safety, traffic flow, and security of existing facilities and their associated equipment and hardware.
- Strengthen the linkage between land use and transportation decision-making during the development of the 2015 Transportation Program and continue to work to improve this integration process in future years.
- MPOs and RPOs are encouraged to track major changes to county and municipal comprehensive plans and zoning ordinances to determine their effects on transportation planning and programming decision-making.
- Include metropolitan and rural TIPs in the STIP that have been approved by the MPO or RPO and the Governor (or designee) and after verification of consistency with financial guidance on fiscal constraint, project funding eligibility and, completed air quality testing and analysis that demonstrates that conformity has been met, where necessary. All appropriate parties will be notified of individual projects or programs included in the STIP. Close coordination must occur with PennDOT and the STC to insure that approved TIPs are consistent with the approved first four years of the TYP.
- MPOs and RPOs should schedule their TIP approval meeting dates so that air quality conformity analyses by PennDOT's consultants can be scheduled appropriately and the TIPs can be sent to PennDOT according to the attached schedule.

Public Involvement

- Conduct meaningful public outreach and involvement activities as documented in the individual planning partner's public participation plan and PennDOT's Statewide Public Participation Plan.
 - Establish joint MPO/RPO TIP, PennDOT STIP and STC public comment periods when possible to avoid overlap, maximize return from joint outreach, avoid confusion to the public, and result in a more effective program with the most efficient use of labor across all planning partners. Seek early and coordinated input into the programming process by reviewing current programmed and candidate projects.
 - Conduct STC public involvement by the new guidance issued in the fall of 2013. Direct public involvement to utilize the website survey at www.talkpatransportation.com.
 - TIP documentation must be made available for public comment. A formal public comment time period (minimum 30 days) must be established, and a public meeting or hearing must be held by each MPO/RPO/independent county to gather all comments/concerns on the TIP and related documents.
 - The TIP Submission Documentation List in Appendix 2 identifies the documentation required for public review.
- Provide easy and complete access to all public documentation, including the draft and final TIPs, STIP and Twelve Year Program project listings, taking advantage of the Internet.

Financial Planning

- As an early part of the program development process, Pennsylvania's transportation planning partners jointly develop and approve a Transportation Program Financial Guidance document. The guidance provides sufficient information for partners and interested parties to start identifying projects, perform a project technical evaluation, negotiate, and reach consensus on their portion of the Program within fiscal constraint. The guidance:
 - Establishes funding targets for each MPO, RPO, independent county, public transportation operator, and PennDOT. The identified revenues are those that are reasonably anticipated to be available to adequately operate and maintain Federal-aid highways and public transportation in accordance with 23 C.F.R. 450.324(h).
 - Provides estimated revenue growth rates and a methodology for determining an inflation rate (for use in Year of Expenditure (YOE) calculations).
- The TIP financial plans are consolidated statewide within the STIP. Documentation shall contain system-level estimates of cost and revenue sources.
 - Cost estimates must use "year of expenditure (YOE) dollars" to reflect their cost.
 - Constrains the projects and phases of projects in the STIP by year, by available funding and within the bounds of the financial guidance.
 - Identify at a systems-level any funding gaps that may exist.
- Recognize that programs are developed around available transportation funding authorization levels and that annual obligation authority levels will restrict program/project implementation.
- Projects or phases of projects should be programmed in the Federal fiscal year in which the project is anticipated to be obligated.

- Flexing of funds between highway and public transportation will be a collaborative decision involving local officials, the MPO/RPO, the public transportation agency or agencies, PennDOT, STC and USDOT (FHWA and FTA).

Management Systems, Program Performance and Information Sharing

- In order to adequately maintain, operate and preserve existing transportation facilities, the Department and its partners shall undertake the following activities as part of an asset management-based program development process: inventory the system; determine existing conditions; develop strategies/priorities to continue to improve the system; include projects on transportation plans and programs; and implement projects as part of annual budgets. Implementation of improved asset management practices will begin with the interstate system, then progress to the NHPP, and other state-owned and local networks.
- Continue to improve the management systems including environmental planning and analysis, maintenance planning and support, the Department's Linking Planning and NEPA data tools, programming processes and systems, local network management support, and performance measurement and reporting.
 - Continue to standardize programming products (highway and public transportation project listings); develop uniform submissions to simplify reviews; and automate/computerize the programming process over time.
 - Share project and program data bases among all parties including project technical evaluation input needs. Continue to share project-specific data, especially as it relates to candidate projects that surface through individual partner activities including their public participation plans/outreach that are not included on current long range plans or programs.
 - Utilize MPMS Maps IQ mapping capabilities to better describe project/program details. Upon request, PennDOT will provide the GIS location data for projects to the MPO/RPO for its GIS use.
- Work toward more effective program and project monitoring to be done in "real time" through project database information sharing as a part of PennDOT's Multimodal Project Management System (MPMS).
- MAP-21's emphasis on performance-based transportation system management will require new or revised national performance measures in multiple program areas. Partners will have to update existing measures as needed to standards that meet or exceed the new federal requirements. PennDOT, MPOs and RPOs are encouraged to evaluate their planning efforts and introduce new or improved performance measures where appropriate.

Program Development and Administration

Development Procedures

In all cases, projects to be included in the 2015 Transportation Program, including the Interstate Management Program, will be selected cooperatively and collaboratively by the Metropolitan Planning Organizations, Rural Planning Organizations, PennDOT and State Transportation Commission with input from other involved interested parties (transit operators, etc.), primarily with regard to projects in the TIPs/first four years of the Twelve Year Program.

- The Districts will develop a list of priority needs for the operation and preservation of the interstates and expressways, betterments, bridge replacements, rehabilitation and preservation projects, and safety and congestion reduction projects, and will share that information with the appropriate MPOs and RPOs according to the attached schedule, including sufficient detail for each project needed for technical project evaluation for both air quality conformity analysis and for public review and comment. At a minimum this includes detailed project scope and limits. Together with local priorities, this information will serve as the basis to begin the 2015 Program development.
- Seek early and coordinated input into the programming process by reviewing currently programmed and candidate projects for the remaining eight years of the Twelve Year Program. Planning partners may identify and propose projects or phases of projects from their fiscally constrained long range transportation plans to PennDOT/State Transportation Commission for possible inclusion in the remaining eight years of the Twelve Year Program. On a case by case basis, the Secretary of Transportation will recommend to the State Transportation Commission additional projects or phases of projects to be listed in the remaining eight years of the Twelve Year Program. These additional projects should be on or consistent with the MPO/RPO adopted Long Range Transportation Plan.
- As planning partners and PennDOT staff continue to refine and finalize the 2015 Program, special attention must be placed on projects or phases of projects that may be or will be carried over from the 2013 Program; this matter needs to be carefully considered during the October through December 2013 time frame. Set aside funding (line item reserves) in the 2015 Program should also be considered to cover unforeseen project costs which may occur due to accrued unbilled costs, unforeseen advance construct authorizations, updated cost estimates, and other actions which might occur between program drafting and initiation.
- Address cash flow procedures, like highway advance construction and public transportation letters of no prejudice or full funding grant approvals in the program development process. Address projects with accrued unbilled costs (work on a project has been started/completed and all or a portion paid for with state or local funds, but may be eligible for Federal funds and will be submitted to FTA or FHWA during program development for Federal funding on/or after the program is approved) as appropriate. When projects in accrued unbilled status are being converted, the projects must appear on the Planning Partner's Program.
- The TIPs and STIP shall include a project or a phase of a project only if full funding can

reasonably be anticipated to be available within the time period contemplated for completion of the project based on the project phase begin and end dates. This shall also include the estimated total cost of the project's construction which may extend beyond the four years of the TIP and STIP and within the 2nd or 3rd period of the Twelve Year Transportation Program and the Long Range Transportation Program in accordance with 23 C.F.R. 450.324(i) & (e)(2).

- Utilize the Project Development Screening Forms developed from the Department's Linking Planning and NEPA effort to initiate all new projects being considered for the region TIPs and LRTPs.
- MPOs and RPOs will assist the Department and the STC in the following ways regarding the remaining eight years in the Twelve Year Program. Phases of projects that are not fully funded in the four years of the TIP will be carried over and shown in the last eight years of the Twelve Year Program. The vast majority of the funds in the remaining eight years will be covered by line items. To illustrate the linkage between planning partner long range transportation plans and the 2015 Program, each planning partner will assist PennDOT staff and the STC in preparing a narrative to be included in the Twelve Year Program document that illustrates a few of the major projects being advanced in that county or region over the next eight years and beyond. All air quality significant projects to be advanced in the last eight years must be listed and fiscal constraint maintained.

Project Requirements

Share project information and program data bases with all partners including project technical evaluation input needs.

- Include all types and categories of projects on the TIP and TYP (federal, state, local, public and private partners, special Federal, turnpike, airport, rail, and infrastructure bank, etc., but excluding county maintenance and PA Turnpike maintenance funds).
- Include all regionally significant transportation projects being advanced (project that is on a facility which serves regional transportation needs and would normally be included in the air quality modeling of the metropolitan area's transportation network) as defined in 23 C.F.R. Section 450.104.
- Public transportation operators will coordinate and cooperate with the MPO/RPO and the Department in the development of the public transportation portion of the 2015 Transportation Program. Public transportation operators will be responsible for submitting public transportation projects for the draft Transportation Program consistent with available resources.
- Provide the following information for programmed projects, including the Highway-Bridge Program, the Transit Program, and the Interstate Management Program:
 - Sufficient descriptive (detailed) material to clarify the design concept and scope as well as location of the improvement. The MPO/RPO and District Office must collaborate on the detailed descriptive information and the District must ensure the information is input in the Public Narrative field in MPMS.
 - Assign projects or phases of projects in the STIP and in the MPO/RPO TIPs by year (e.g., 2015, 2016, 2017, and 2018) based upon the latest project schedules and consistent with 23 C.F.R. 450.324(i).

- Detailed project and project phase costs should delineate between federal, state, and local shares. Each project and project phase costs should depict the amount to be obligated/encumbered for each funding category.
- Estimated phase and total costs within the TIP period reflect Year-of-Expenditure (YOE) as noted in the financial guidance.
- Identification of the agency or agencies responsible for implementing the project or phase (i.e. specific Transit Agencies, PennDOT District; MPOs/RPOs; Local Government and private partners).
- Work with all project sponsors to provide any additional information that needs to be included with each project as it is listed in the program.

Line Items

- The use of Reserve Line items programmed on the draft 2015-2018 TIP should be kept to a minimum. Every effort should be made to identify Transportation Alternatives Program (TAP), CMAQ, Safety, Bridge and Local projects in the first 2 years of the TIP.
- Selected project categories that are air quality exempt - betterment, rail/highway grade crossing, and Section 5310 - may be grouped into line items for inclusion in the program, with project specific listings to be developed at a later time by project sponsors and provided to all partners.
- Contingency line items may be used in the first year of the TIP to address uncertainties in cost estimates for carryover projects or cash flow issues such as accrued unbilled costs, advance construct, etc.

Program-specific and Other Requirements

- The Interstate Management Program for the 2015 Transportation Program will be updated by PennDOT and its planning partners.
 - Partners and the District Offices will help to identify and comment on the interstate projects.
 - Adding capacity to an interstate can be considered by coordinating a cost-sharing arrangement between the MPO/RPO TIP and the interstate program on a case-by-case basis.
 - PennDOT will manage the interstate system on a statewide basis, but will notify MPO/RPOs of Interstate Management Program amendments and modifications even when formal approval is not required.
- Proposed Highway Safety Improvement Program (HSIP) projects will be coordinated with the individual MPO/RPO, PennDOT District, Program Center, and Highway Safety and Traffic Operations Division (HSTOD) and be consistent with Strike Off Letter 470-11-02 dated January 21, 2011, the District Safety Plan, and PennDOT's Strategic Highway Safety Plan. However, other Federal funding categories can be used to program, implement and construct projects that address a documented safety need.
- Intelligent Transportation System (ITS)-type projects will be consistent with the national, state

and individual MPO/RPO ITS architectures. Work to advance transportation safety and operations initiatives that are consistent with the individual MPO/RPO Regional Operations Plans (ROP) and the Statewide Transportation Systems Operations Plan (TSOP).

- The limited number of capacity adding projects to be considered for advancement in nonattainment transportation management areas (TMAs) must be consistent with the Region's Congestion Management Process (CMP).
- The Department will request a list of turnpike projects from the Turnpike Commission and distribute the list to all planning partners, in advance of Air Quality Conformity time line requirements, so the projects can be included in appropriate Transportation Improvement Programs. Turnpike projects requesting Federal funding that are selected for inclusion on a TIP will be assigned MPMS numbers; those that have no Federal funding will need to be identified another way on the TIP.

Requirements for TIP Documentation

A TIP Submission Documentation List is included as Appendix 4. After each TIP is approved by an MPO/RPO, all documentation indicated on the list must be submitted to PennDOT. To ensure completion, a checklist is included as part of this Appendix.

- If possible utilize the Center for Program Development and Management's Share Point Website for the submission Regional TIPS. Five copies of the completed TIP must be provided to the Program Center in PennDOT according to the schedule in Appendix 4. Program Center staff will complete the remaining portions of the checklist and forward it to FHWA/FTA with the STIP.
- The Program Center will complete a statewide checklist similar to the metropolitan checklist and forward it to FHWA/FTA with the STIP. Specific requirements or additional explanations for selected items are provided in the appendix.

Program Administration

The 2015 Transportation Program must continue to be responsive to necessary programming changes after adoption. Changes to the TIP and STIP are enacted through TIP Modification Procedures adopted at both the region and state levels. Changes to the TIP's and delivery of completed projects are monitored by the planning partners and the subject of various program status reports.

- Projects in the first year of the program shall constitute an "agreed to" list of projects for subsequent scheduling and implementation. Expedited selection procedures may be used if agreed to under each MPO/RPOs modification procedures. The modification procedures that were approved by each MPO and RPO for the 2013 Program should be used as a starting point for the development of their 2015 Program modification procedures. The 2015 program modification procedures must also be part of the public comment period on the recommended 2015 Program.
- It is recommended that project selection requirements and program modification procedures

permit the movement of projects or phases of projects anywhere within the first four years of the STIP/TIP while maintaining year by year financial constraints.

- Coordinate program modifications, including those for the Interstate Management Program, with all partners to insure that the metropolitan and rural Transportation Improvement Programs and the Statewide Transportation Improvement Program are consistent with the Twelve Year Program and county/regional long range plans and vice versa and work toward the development and implementation on a streamlined amendment approval processes.
- Track progress of program and project implementation and share the findings with the planning partners and the public. This is the MPO/RPO Progress Report detailing obligations that is sent by PennDOT to the MPOs/RPOs quarterly. (As listed on Appendix 2 items 13 and 14. This is a MAP-21 requirement for state DOTs, MPOs and public transportation properties.) An additional report detailing project completion and total cost will be developed by PennDOT and shared with Planning Partners on a quarterly basis.

TIP Submission Documentation List

Specific requirements or additional explanations are provided below for selected TIP items.

Project Lists (items 2 and 3)

Projects included on the Highway – Bridge Project List and the Public Transportation Project List must meet requirements identified in ‘Projects’ in the Project Development section. Projects identified in the adopted TIPs and on the PennDOT Interstate Program are also included in the STIP by signature of the Governor or his representative and in the TYP upon adoption by the STC.

Financial Plan (item 4)

TIP Financial Plans are produced at the statewide level by the Financial Guidance Work Group and documented by the Program Center and the STIP executive summary. No additional MPO/RPO documentation is needed. Financial planning requirements are noted in the General Guidance section and under ‘Project Requirements’ in the Program Development and Administration section.

A Public Transportation Financial Capacity Analysis will be included by appropriate operators as determined by the provisions of FTA Circular 7008.1A.

Air Quality Conformity (item 5 and 6)

Perform air quality conformity analyses consistent with the U.S. Environmental Protection Agency’s Transportation Conformity Rule, recent Federal court rulings and the Pennsylvania Transportation Conformity State Implementation Plan (SIP) in non-attainment and maintenance areas.

Include an Air Quality Report and an Air Quality Resolution in nonattainment areas.

MPO Self Certification Resolution (item 7)

Prepared only by MPOs to certify that the transportation planning process is being carried out in accordance with all applicable federal requirements. A sample resolution that identifies the various requirements is attached. Non-TMA MPOs must include documentation to ensure compliance.

TIP Modification Procedures (item 8)

TIP Modification requirements are identified under Program Administration in the Program Development and Administration section.

Public Involvement (items 9 and 10)

Public involvement in the development of the transportation program is carried out in accordance with the procedures identified in existing Planning Partner public participation plans and the general guidance provisions of this document. A copy of the MPO/RPO Public Participation Plan, the advertisement of the required 30-day public comment period, and documentation of the agency’s

response to public comment are required in the MPO/RPO TIP submission.

Environmental Justice (EJ) Summary (item 11)

Summarizes the regional transportation program’s impacts on minority and low-income populations as required by Executive Order 12898. MPOs/RPOs develop the EJ summaries, which must include the community profiles and methodology used in the assessment.

Project Prioritization Process (item 12)

Provide written documentation of the Partner’s project prioritizing process utilized for TIP development and the Department’s prioritizing process utilized for the Interstate Management Program. The MPO/RPO submission should include a summary of how it relates to the LRTP vision, goals and objectives.

List of Major Projects from the previous TIP (items 13 and 14)

Two lists will be provided: one list identifies major projects that were completed during the previous TIP. The second list identifies major projects that experienced significant delay during the previous TIP period. The lists will be developed by the MPO/RPO with information provided by the PennDOT Districts.

TIP Checklist

This is the official documentation to ensure that the key components of the final TIP submission are complete. The checklist is included in this document.

Planning Partner: _____
 Non-attainment Area: Yes ___ No ___
 Identify the Pollutant(s): _____
 Maintenance Area: Yes ___ No ___
 Transportation Management Area: Yes ___ No ___

	Information Items	Response Type	Shaded Stakeholder to Provide Response Others Check to Indicate Response Verified			
			MPO/RPO	Program Center	FHWA	FTA
1. Public Participation Documentation:	Public comment period:	Date Range				
	Public meeting(s)-Date/Time/Location:	Date/Time/Location				
	Public meeting notice contains info about special needs/ADA Compliance?	Yes / No				
	Does the TIP Documentation contain a summary that provides a general overview of the transportation planning and TIP development process?	Yes / No				
	Does the summary explain the project selection process and/or project evaluation criteria procedures?	Yes / No				
	Environmental Justice documentation?	Yes / No				
	Public involvement outreach activities consistent with Public Participation Plan?	Yes / No				
	Were any public comments (written or verbal) received and addressed?	Yes / No				
	If Yes, were they provided in the TIP Documentation submitted to PennDOT?	Yes / No				
	2. TIP Adoption:	Date TIP adopted by Planning Partner: / Was TIP Included in STIP without modification	Meeting Date			
3. TIP Consistency with Long Range Transportation Plan (if applicable):	Is the Long Range Transportation Plan (L RTP) MAP-21 compliant?	Yes / No				
	Is the TIP consistent with L RTP?	Yes / No				
	Years covered by the L RTP:	Date Range				
	Date L RTP Adopted by Planning Partner:	Meeting Date				
	Anticipated date for new L RTP:	Date				
4. Air Quality Non-attainment and Maintenance Areas:	Is the area in an AQ non-attainment or maintenance area? If yes, then answer the following questions:	Yes / No				
	Have all projects been screened through an interagency consultation process?	Yes / No				
	Conformity date for the L RTP:	Yes / No				
	In non-attainment and maintenance areas, do projects contain sufficient detail for air quality analysis?	Yes / No				
5. Financial Constraint:	Is the TIP financially constrained, by year by allocations?	Yes / No				
	Any additional funds programmed above FGWC allocations (i.e. Spike funds, Earmarks, etc)? If YES, identify the TOTAL amount and TYPES of additional funds by Year:	Yes / No				
	2015	Total \$ Amt by Fund Type				
	2016	Total \$ Amt by Fund Type				
	2017	Total \$ Amt by Fund Type				
	2018	Total \$ Amt by Fund Type				
	Comments					
	Was the TIP projects screened against the individual funding program eligibility requirements?	Yes / No				
	Does the STIP Financial information contain system level estimates of cost and revenue sources?	Yes / No				
	Estimated total cost, which may extend beyond the TIP years?	Yes / No				
Compare the amount of Federal Funds to be obligated during each program year of the TIP against Financial Guidance by Year:	TIP (\$) Financial Guidance					
FFY 2013						
FFY 2014						
FFY 2015						
FFY 2016						
Explain any differences:						

	Information Items	Response Type	Shaded Stakeholder to Provide Response Others Check to Indicate Response Verified			
			MPO/RPO	Program Center	FHWA	FTA
6. MPO Self Certification:	Does the TIP submittal contain the MPO Self Certification resolution?	Yes / No				
	For the Non-TMA MPO's does the self certification contain documentation to indicate compliancy?	Yes / No				
7. Transit Fiscal Disclosure:	Financial capacity Document	Yes / No				
	Cover Letter	Yes / No				
8. Required Submission materials as documented in General and Procedural Guidance:	Highway and Bridge Listing with public narrative	Yes / No				
	Public Transportation Listing with public narrative	Yes / No				
	Public Transportation Financial Capacity Analysis	Yes / No				
	Air Quality Conformity Determination Report	Yes / No				
	Air Quality Resolution	Yes / No				
	Self certification resolution	Yes / No				
	TIP Modification Procedures	Yes / No				
	30-day Public Comment Advertisement	Yes / No				
	Public Participation Plan	Yes / No				
	Environmental Justice Summary	Yes / No				
Documented Public Comments received	Yes / No					
Project Selection Process Documentation						
List major projects from the previous TIP that were implemented and any significant delays in the planned implementation of major projects?	Yes / No					
Any noteworthy practices that deserve statewide recognition?						
Any issues that need improvements?	Yes / No					
If Yes, explain:						
Were the required information, as documented in the General & Procedural Guidance submitted?	Yes / No					
Any issues to be incorporated into the Planning Finding?	Yes / No					
9. Completed or Reviewed by:	Planning Partner: _____	Date: _____				
	PennDOT Program Center: _____	Date: _____				
	FHWA: _____	Date: _____				
	FTA: _____	Date: _____				

Appendix 3

Sample MPO Self-Certification Resolution

The resolution on the following page is prepared only by MPOs to certify that the transportation planning process is being carried out in accordance with all applicable federal requirements.

CERTIFYING ORGANIZATION

RESOLUTION NUMBER

RESOLUTION OF THE [ORGANIZATION] to certify that the metropolitan transportation planning process is being carried out in accordance with all applicable federal requirements and that the local process to enhance the participation of the general public, including the transportation disadvantaged, has been followed in developing the Transportation Improvement Program and the LRTP.

WHEREAS, 23 CFR Part 450.334 specifies that, concurrent with submittal of the proposed TIP to the FHWA and the FTA as part of the STIP approval, Metropolitan Planning Organizations (MPOs) shall certify that the metropolitan transportation planning process is being carried out in accordance with all applicable requirements; and

WHEREAS, Sections 134 and 135 of Title 23 USC, 49 USC 5303-5304, and 23 CFR Part 450 set forth the national policy that the MPO designated for each urbanized area is to carry out a continuing, cooperative, and comprehensive multimodal transportation planning process, including the development of a metropolitan transportation plan and a transportation improvement program (TIP) and establish policies and procedures for MPOs to conduct the metropolitan planning process; and

WHEREAS, the Transportation Improvement Program (TIP) continues to be financially constrained as required by 23 CFR Part 450.324 and the Federal Transit Administration (FTA) policy on the documentation of financial capacity, published in FTA Circular 7008.1A; and

WHEREAS, the requirements of Sections 174 and 176(c) and (d) of the Clean Air Act, as amended (42 USC 7504, 7506(c) and (d)) and 40 CFR Part 93 have been met for non-attainment and maintenance areas; and

WHEREAS, the requirements of Title VI of the Civil Rights Act of 1964 as amended (42 USC 2000d-1) and 49 CFR Part 21; 49 USC 5332, prohibiting discrimination on the basis of race, color, creed, national origin, sex or age in employment or business opportunity; The Older Americans Act, as amended (42 USC 6101), prohibiting discrimination on the basis of age in programs or activities receiving Federal financial assistance; 23 USC Section 324, prohibiting discrimination based on gender; Section 504 of the Rehabilitation Act of 1973 (29 USC 794), the American Disabilities Act of 1990 (42 USC 12101 et seq.), and 49 CFR Parts 27, 28, and 29, regarding discrimination against individuals with disabilities have been met; and

WHEREAS, the requirements of Section 1101(b) of SAFETEA-LU (Public Law 109-59) and 49 CFR Part 26 regarding the involvement of disadvantaged or minority business enterprises in FHWA funded planning projects and FTA funded projects have been met; and

WHEREAS, the provisions of 23 CFR part 230, regarding the implementation of an equal employment opportunity program on Federal and Federal-aid highway construction contracts have been addressed; and

WHEREAS, the requirements of Executive Order 12898 (Federal Order to Address Environmental Justice in Minority Populations and Low Income Populations) have been met; and

WHEREAS, the provision of 49 CFR part 20 prohibiting recipients of federal funds from using those funds for lobbying purposes has been met; and

NOW, THEREFORE, BE IT RESOLVED that the [Organization], the Metropolitan Planning Organization (MPO) for the [Name] Transportation Management Area (TMA) certifies that its metropolitan transportation planning process is being carried out in accordance with all applicable provisions of federal law and certifies that the local process to enhance the participation of the general public, including the transportation disadvantaged, has been followed in developing the region's transportation plans and programs, including the FFY [enter FFY range] Transportation Improvement Program (TIP).

I, [Name of Certifying Officer], HEREBY CERTIFY that I am [Name of Office] of the [ORGANIZATION]; that the foregoing resolution was adopted, in accordance with the By-Laws, by the Members of said Commission at a meeting duly called and held on the xxth day of month 20yy, and that said resolution is now in full force and effect.

IN TESTIMONY WHEREOF I hereto subscribe my name as [Name of Office].

[Name of Office]

Appendix 4

Schedule for developing and approving the 2015 Transportation Program

8/22/13 to 12/12/13	State Transportation Commission, PennDOT and planning partners conduct a pilot public outreach/public input strategy to update the 12 Year Program.
10/16/13	A conference call with all Planning Partners' and Districts is held. Department program priorities are shared along with draft financial guidance discussion.
10/30/13	A work session is held with all Planning Partners' and Districts. Department program priorities are shared along with draft financial guidance. The goal is to reach consensus on the guidance.
10/30 to 11/1/13	A three-day Planning Partners' Meeting is held in Harrisburg to discuss the program update process and other transportation issues.
By 11/1/13	Draft Financial Guidance is issued.
By 11/8/13	General and Procedural Guidance and Schedule for Developing and approving the 2015 Transportation Program are finalized.
By 11/8/13	The Department issues final guidance to planning partners for the development of the 2015 Program.
By 11/22/13	PennDOT Districts will provide updates of scopes, costs, and schedules for all carryover projects and candidate projects to planning partners.
By 11/22/13	PennDOT District project priorities are shared with planning partners. PennDOT will provide the MPO/RPOs with a listing of the draft critical carryover Interstate Management Program projects.
By 1/15/14	MPOs/RPOs/PennDOT review highway, bridge and transit projects for possible inclusion in the 2015 Program. TIP negotiations begin.
By 2/2/14	MPO and RPO "Boards" meet to discuss the 2015 schedule and guidance; set their TIP approval meeting dates for the summer of 2014.
By 2/14/14	PennDOT, via the Program Center, submits comments and proposed program revisions back to the MPOs and RPOs, including the final "spike" decisions, and share this information with the Districts and FHWA/FTA. PennDOT identifies any changes to air quality significant project lists that were developed earlier and shares this information through interagency consultation with the ICG.
By 2/28/14	State Transportation Commission meets and is updated on development of

the 2015 Program.

Appendix 5: References
([html links in blue](#))

- By 2/28/14 MPOs and RPOs develop draft TIPs (highways/bridges and transit) and submit that information to the Program Center, appropriate District Office(s) and FHWA/FTA. TIP negotiations continue.
- By 3/1/14 Program Center completes initial review of preliminary draft TIPs to ensure that Department priorities are reflected, fiscal constraint and year of expenditure are met, and all project phases are accounted for and programmed in the proper year.
- By 3/10/14 Program Center conducts individual conference calls with MPOs, RPOs, and District Offices to review all candidate projects, to agree on projects for inclusion in the Program, and to negotiate/resolve any remaining issues.
- By 3/10/14 Interagency (FHWA, FTA, EPA, DEP & PennDOT) air quality consultation initiated. All air quality significant projects are shared with the Interagency Consultation Group (ICG) before conformity determination work begins by planning partners or PennDOT. TIP negotiations continue.
- By 3/15/14 All negotiations are concluded. MPOs, RPOs, and PennDOT reach agreement on the respective portions of the Program.
- By 3/15/14 Interagency air quality consultations are concluded and conformity analyses are underway. Environmental justice (EJ) activities are also initiated.
- By 5/15/14 MPO, RPO and PennDOT complete air quality conformity analyses.
- By 7/18/14 MPOs, RPOs, and PennDOT complete joint public comment periods on their STIP/TIPs, including conformity determinations and environmental justice requirements. All relevant documents are placed on websites for public access.
- By 7/25/14 MPOs and RPOs formally approve their individual TIPs and submit their portions of the Program to the Program Center
- By 8/14/14 State Transportation Commission approves the Twelve Year Program.
- By 8/15/14 Gov./Secretary on behalf of the Commonwealth submits the STIP to FHWA/FTA for review and approval. FHWA coordinates with EPA on the air quality conformity documents.
- By 9/30/14 PennDOT obtains joint approval from FHWA and FTA on the 2015 Program.

Transportation Program Documents

[Twelve Year Program](#) (current)

[State Transportation Improvement Program](#) (current)

Pennsylvania's 2015 Transportation Program Financial Guidance

Pennsylvania's 2015 Transportation Program General and Procedural Guidance

Federal References

<u>Name of Legislation</u>	<u>Citation / Regulations</u>	<u>Comment</u>
MAP-21 of 2012	23 USC Sections 134-135 49 USC 5303-5304 23 CFR Part 450	Statewide Transportation Planning Metropolitan Transp. Planning
	23 CFR Part 230 49 CFR Parts 20 49 CFR Parts 26 49 CFR Parts 27, 28, 29	equal employment prohibits lobbying Disadvantaged Business Enterprises individuals with disabilities
Clean Air Act, as amended		
Title VI of Civil Rights Act of 1964, as amended	42 USC 200d-1 49 USC 5332 49 USC Part 21 (superceded)	discrimination
Older Americans Act as amended	42 USC 6101	age discrimination
[----]	23 USC Section 324	gender discrimination
Rehabilitation Act of 1973, as amended	29 USC 701 29 USC 794	individuals with disabilities
American Disabilities Act of 1990	42 USC 1210	individuals with disabilities
[----]	Executive Order 12898	environmental justice

State References

PA Act 120 of 1970

Transportation Funding and Advisory Committee

State Environmental Justice Work

- Center for Program Development EJ Website
- PUB 737 EVC EJ Moving Forward
- PUB 746 Project Level EJ Guidance

PA On Track

Pennsylvania Mobility Plan

PennDOT Design Manual Part 1A:
Pre-TIP and TIP Program Development Procedures (Sep 2010)

STIP Modification Procedures (appendix to STIP)

Public Participation Plan for Statewide Planning

PA ITS Architecture

Appendix 6: Regional References (optional)

Region References (references edited for each planning region)

Suggest that MPOs/RPOs edit this section, keeping what is applicable and provide a hyperlink where sources are available on the internet. References that aren't applicable can be deleted.

Region Long Range Transportation Plan

Region Transportation Improvement Program

Region Public Participation Plan

Region ITS Architecture

Region Operations Plan

Region Congestion Management Process

Region Freight Plan

Region Bicycle and Pedestrian Plan

Economic Development District Plans (as applicable, determined by MPO/RPO)

County and Municipal Comprehensive Plans (as applicable, determined by MPO/RPO)