

Approved February 14, 2019

# 2019 TIP Guidebook

## Transportation Improvement Program Policies & Procedures



# SRTC

SPOKANE REGIONAL TRANSPORTATION COUNCIL

421 W Riverside Ave  
Suite 500  
Spokane, WA, 99201  
509-343-6370  
[www.srtc.org](http://www.srtc.org)

# TABLE OF CONTENTS

<b>INTRODUCTION</b>	<b>1</b>
Purpose	1
Effective Date	1
Goals and Objectives	2
<b>SECTION 1 – REGIONAL TRANSPORTATION PROGRAMMING</b>	<b>3</b>
Transportation Planning and Programming	3
Projects included in the TIP	4
<b>SECTION 2 – TIP DEVELOPMENT PROCESS</b>	<b>6</b>
SRTC Project Selection	6
STA Project Selection	8
Six-Year Transportation Programs	8
2019-2022 TIP Development	9
Safe and Complete Streets Policy	9
Congestion Management Process	10
<b>SECTION 3 – PROJECT CHANGES</b>	<b>12</b>
2018 Amendment Schedule	13
2018 Administrative Modifications Schedule	14
Types of Project Changes	15
<b>SECTION 4 – PROJECT DELIVERY</b>	<b>16</b>
Annual Listing of Federal Obligations	16
Project Tracking	16
<b>SECTION 5 – PUBLIC INVOLVEMENT</b>	<b>17</b>
<b>SECTION 6 – POLICIES AND PROCEDURES</b>	<b>17</b>
1. Regional Transportation Programming	17
2. TIP Development	18
3. Project Changes	19
4. Project Delivery	19
5. Public Involvement	21
6. Funding Policies (STBG, CMAQ, STBG Set-Aside)	21
<b>Appendix A</b> SRTC Member Agencies, Committees & Map	
<b>Appendix B</b> Safe and Complete Streets Policy and Checklist	
<b>Appendix C</b> Definitions of Amendments and Administrative Modifications	

# INTRODUCTION

## Purpose

The *Transportation Improvement Program (TIP) Policies and Procedures Guidebook* is a transportation programming resource for SRTC's member agencies. The purpose of the document is to: (1) outline the goals and objectives of SRTC's program and to (2) identify the policies and procedures necessary to implement the program.

## About SRTC

The Spokane Regional Transportation Council (SRTC) is the federally designated Metropolitan Planning Organization (MPO) for the Spokane region. SRTC is the lead agency for transportation planning and decision-making for the Spokane Metropolitan Planning Area (SMPA), which includes all of Spokane County.

SRTC is governed by a Board of Directors composed of elected officials from member agencies and representatives from the following: Washington State Department of Transportation (WSDOT), Washington State Transportation Commission, Spokane Transit Authority (STA), Spokane International Airport, transportation private sector, and SRTC's Transportation Technical Committee (TTC) and Transportation Advisory Committee (TAC). Member agencies include all local jurisdictions within Spokane County, as well as WSDOT and STA.

For more information on SRTC's member agencies, committees, and SRTC's planning area boundary map, please see Appendix A.

## Effective Date

The 2019 TIP Policies and Procedures Guidebook will go into effect January 1, 2019.

## Goals and Objectives

The goals and objectives of the program and development process are defined below. For the purposes of this document, goals describe the long-term desired outcome for the program and objectives describe specific actions that will be taken to achieve these goals.

### Goal 1 | SRTC's

Transportation Improvement Program (TIP) will provide for the efficient use of federal, state and local funds for regionally significant projects that advance the long-term transportation goals of the Spokane region.

- 1.1 | Projects in the TIP will implement the strategies and projects of the current Metropolitan Transportation Plan (MTP), Horizon 2040.
- 1.2 | SRTC will fully obligate annual allocations of Federal funds (STBG, CMAQ, and STBG Set-Aside).
- 1.3 | Projects in the TIP will be completed on budget and schedule.

Goal 2 | SRTC's TIP will provide an open and transparent process that is accessible to stakeholders and the public.

- 2.1 | The TIP will comply with applicable federal and state regulations and requirements.
- 2.2 | Information on federal and state regulations will be made readily available to all local agencies and the public.
- 2.3 | TIP documents will be presented in clear and accessible language and formatting.
- 2.4 | Programming decisions will be made in a public forum and will be consistent with the goals, objectives and policies of the Guidebook.
- 2.5 | Timelines for the TIP development process will be made available to stakeholders and the public well in advance.

# SECTION 1 - REGIONAL TRANSPORTATION PROGRAMMING

## Transportation Planning and Programming

At least once every four years, SRTC prepares a **Metropolitan Transportation Plan (MTP)** that establishes the long-range goals for the region and identifies projects and strategies that will be necessary to implement them.

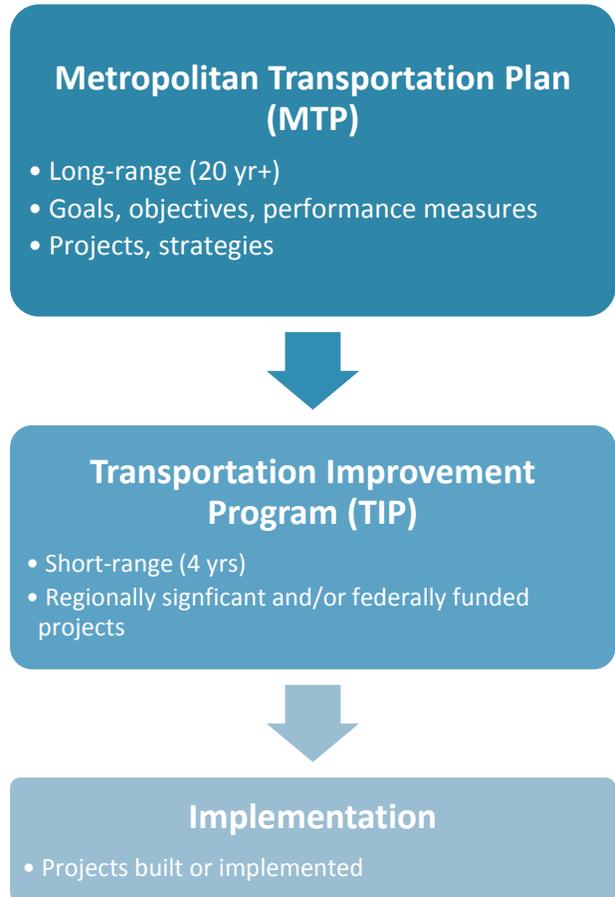
The current MTP, *Horizon 2040*, was approved by the SRTC Board on December 14, 2017. For more information on *Horizon 2040*, please refer to SRTC's website, [www.srtc.org](http://www.srtc.org), or click [here](#).

With a long-range plan in place, the **Transportation Improvement Program (TIP)** serves as a short-range programming document for projects that are planned over the next four years. The purpose of the TIP is to ensure that projects planned for implementation in the near future are consistent with the projects and strategies identified in the MTP.

The 2018-2021 TIP was approved by the SRTC Board October 12, 2017 and will go into effect at the beginning of the 2018 program year (approximately January 1, 2018). For more information about the 2018-2021 TIP, the document can be accessed at: <https://www.srtc.org/transportation-improvement-program/>.

For the purposes of SRTC's TIP, years one and two of the TIP constitute an agreed to list as defined by CFR 45.330. This means that once a project has been programmed into year one or two of the approved TIP, the project's sponsor(s) can begin implementation of the project by accessing funds to start preliminary engineering, right-of-way acquisition, or construction. Projects that are programmed in years three and four of the TIP are not part of the agreed to list and are not eligible for obligation without prior approval by the SRTC Board.

## Projects Included in the TIP



Projects in the TIP are required to be consistent with the MTP. In order to be considered consistent, a project in the TIP must be listed in the MTP as a planned regionally significant project (i.e. a new or expanded roadway) or otherwise captured in a program of projects (i.e. preservation program or bicycle/pedestrian program).

The TIP must include all projects that are federally funded through U.S. Code Title 23 (Federal Highway Administration) and Title 49 (Federal Transit Administration), and all regionally significant projects regardless of source of funds.

### ***Regionally Significant Projects***

Regionally significant projects must be included in the TIP, MTP and added to the transportation demand model for purposes of air quality conformity. SRTC classifies a transportation project as regionally significant<sup>1</sup> if the project:

1. Cannot be grouped in the TIP and/or State TIP (STIP)<sup>2</sup>, and/or it is not listed as an exempt project type in the Environmental Protection Agency's (EPA's) regional transportation conformity regulation (40 C.F.R. part 93)<sup>3</sup>; *and*
2. Is on a facility which serves regional transportation needs (federally classified as a principal arterial, highway or freeway) and alters the number of through-lanes for motor vehicles for a length greater than a half mile, or impacts a freeway or freeway interchange (other than maintenance projects); *or*
3. Is a new or extended fixed guideway transit service (dedicated bus lanes, vehicle track or wires) or capital expenditures related to a new fixed-route transit service on a facility which serves regional transportation needs (federally classified as principal arterial or higher).
4. Is determined by the SRTC Policy Board to be regionally significant or have the potential for adverse emissions impacts for any reason.

SRTC is responsible for determining whether or not a project is regionally significant. Project sponsors are responsible for providing the necessary project information to SRTC in order to make the determination on regional significance.

It is important to note that although a project may not meet the definition of regionally significant, that does not impact the importance of the project to the region, nor does it impact the project's

---

<sup>1</sup> The federal definition for regionally significant is defined in 23 C.F.R. § 450.104.

<sup>2</sup> U.S.C. 135(g)(4)(C)(ii) states that projects that are categorically excluded from the National Environmental Policy Act (NEPA) process and are not regionally significant can either be identified individually or grouped with other projects of the same funding source in the STIP.

<sup>3</sup> 40 CFR § 93.126 states that certain highway and transit projects are exempt from conformity requirements (highway safety, transit, bike and pedestrian facilities, travel demand management programs, and other activities that do not lead directly to construction of a project), unless it is determined by the Interagency Consultation group that the project it has potentially adverse emissions impacts for any reason. 40 CFR § 93.127 identifies several project types that are exempt from regional emissions analysis (intersection channelization or signalization, interchange reconfiguration, transit terminals, weigh stations, and changes in alignment), unless it is determined by the Interagency Consultation group that the project it has potentially adverse emissions impacts for any reason.

ability to receive future federal or state grants. The purpose of defining projects as regionally significant is to ensure that all projects that could impact transportation conformity are analyzed.

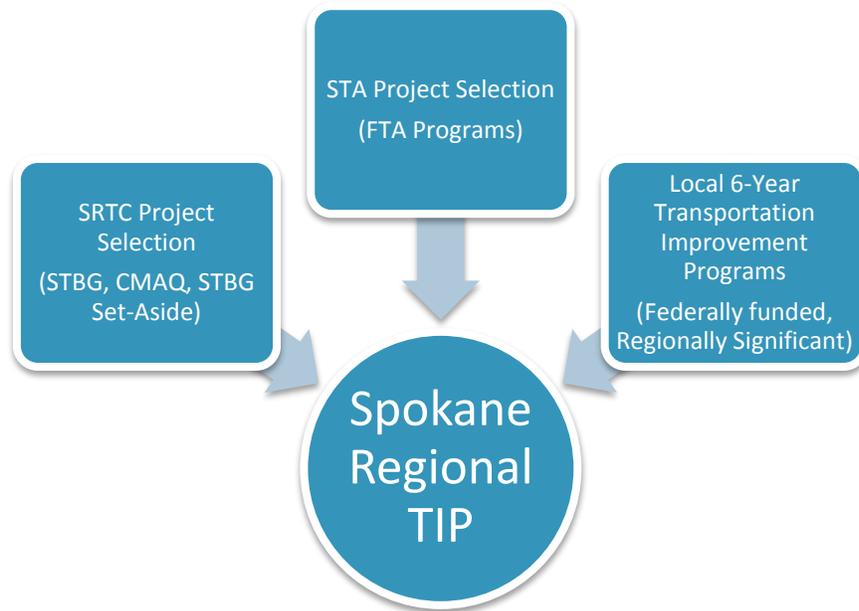
One example of a project that would not meet the definition of regionally significant, but is considered a regional priority project is the completion of the Fish Lake Trail. The project is a bicycle and pedestrian facility and is exempt from transportation conformity requirements. However, the project is an important project to the region; it was listed on the SRTC Policy Board's 2012 Regional Project Priorities.

### ***Interagency Consultation Group and Process***

Interagency consultation is required as part of the conformity determination process as stated in 40 C.F.R. Part 93.105, which covers the requirements for determining conformity to State or Federal Implementation Plans; transportation plans or programs; or projects developed, funded, or approved under Title 23 or FTA transit laws. Currently, the agencies involved in SRTC's interagency consultation group include the Federal Transit Administration (FTA), Federal Highway Administration (FHWA), WSDOT, Washington State Department of Ecology, Spokane Regional Clean Air Agency and the U.S. Environmental Protection Agency.

The interagency consultation group has many roles related to transportation conformity determinations. As it pertains to the TIP, this group assists SRTC in determining which transportation projects should be considered regionally significant for purposes of regional emissions analysis. In addition, this group has a role in evaluating whether projects that are otherwise exempt from meeting conformity (40 C.F.R. Part 93.126 and 93.127) should be treated as non-exempt in cases where potential adverse air quality impacts may exist.

## SECTION 2 - TIP DEVELOPMENT PROCESS



The development of the TIP involves three separate but interrelated processes; SRTC project selection, STA project selection, and local agency six-year transportation programs.

### **SRTC Project Selection**

SRTC, in consultation with WSDOT and STA, is responsible for selecting projects for regional allocations of federal highway funds – Surface Transportation Block Grant Program (STBG), Congestion Mitigation Air Quality (CMAQ), and STBG Set-Aside (formerly TAP) program. The next call for projects will be in 2018. In the event that regional funds are returned prior to the next call for projects, SRTC will follow policy 6.5.1 related to the utilization of leftover funds.

#### **Surface Transportation Block Grant Program (STBG):**

The purpose of the STBG program is to provide a flexible source of funding that can be tailored to meet the specific needs of the region. STBG funds can be used for roadway construction, reconstruction or preservation; transit projects; bicycle and pedestrian facilities or programs; bridges; and planning efforts.

In November 2018, SRTC selected projects to fund using the estimated STBG allocations (formerly STP) for 2020-2021.

#### **Congestion Mitigation & Air Quality (CMAQ):**

The purpose of the CMAQ program is to implement transportation projects and programs that improve air quality by increasing the efficiency of existing transportation facilities or reducing travel demand. CMAQ-funded projects and programs must be capable of demonstrating a reduction of

either carbon monoxide (CO) or particulate matter (PM-10) within the Spokane CO and PM-10 boundaries.

In November 2018, SRTC selected projects to fund using the estimated CMAQ allocations for 2021-2023.

### **STBG Set-Aside (formerly TAP):**

The purpose of the STBG Set-Aside program is to implement on- and off-road facilities for bicyclists and pedestrians and fund other enhancements to surface transportation. Eligible projects include sidewalks, bicycle facilities, signals, traffic calming projects, projects that bring a facility into compliance with the Americans with Disabilities Act (ADA), conversion of rail corridors for non-motorized users, scenic overlooks and viewpoints, historic preservation, environmental mitigations, Safe Routes to School projects, and recreational trails.

In November 2018, SRTC selected projects to fund using the estimated CMAQ allocations for 2021-2023.

**Other Federal, State Programs:** For projects funded with federal National Highway Performance Program (NHPP), Surface Transportation Program (STP), and Federal Lands Highway programs, and any projects on the National Highway System (NHS), WSDOT is responsible for selecting projects in cooperation with SRTC (23 C.F.R. §450.330(c)).

Other federal programs (various discretionary programs, Freight Mobility Strategic Investment Board, Highway Safety Improvement Program, etc.) and state programs (Pedestrian and Bicycle Safety, Safe Routes to School, Transportation Improvement Board, etc.) may also award funds to projects within the Spokane region. Although the prioritization processes for these funding programs are conducted outside of SRTC, SRTC must cooperatively select all projects programmed in the TIP.

### **STA Project Selection**

As the designated recipient of regional allocations of federal transit funds, STA is responsible for selecting projects for the Federal Transit Administration (FTA)'s Urbanized Area Formula Program (Section 5307), Enhanced Mobility of Seniors and Individuals with Disabilities (Section 5310), and Bus and Bus Facilities Formula Program (Section 5339). SRTC assists in soliciting and prioritizing projects for Section 5310 funds; however, the STA Board of Directors is responsible for selecting a program of projects for those funds.

### **Six-Year Transportation Programs**

SRTC annually reviews the six-year transportation improvement programs adopted by local agencies. Projects that are consistent with the MTP, are regionally significant, and/or federally funded through U.S. Code Title 23 and Title 49 are incorporated into the TIP. These projects must be submitted to SRTC in the Washington STIP system, Secure Access Washington (<https://secureaccess.wa.gov/myAccess/saw/select.do>) no later than August 1.

The schedule for local agency’s six-year transportation programs is included below.

<b>Local Six-Year Transportation Programs Schedule</b>	
<b>Jun 30</b>	Cities and towns must have six-year transportation programs adopted
<b>Jul 5</b>	Cities and towns, Spokane County <sup>4</sup> and STA <sup>4</sup> submit adopted six-year programs to SRTC for TIP review
<b>Jul 19</b>	SRTC notifies agencies of all regionally significant and/or federally funded projects that will need to be included in the regional TIP. Some projects may also require a completed Safe & Complete Streets checklist.
<b>Aug 1</b>	All agencies must submit the required information for all regionally significant and/or federally funded projects to SRTC via the Washington STIP system, Secure Access Washington (SAW). Safe and Complete Streets checklists are also due.

## 2020-2023 TIP Development

After SRTC has selected projects for regional allocations of federal funds and has selected projects from local six-year transportation programs for inclusion in the TIP, the projects are compiled into the 2020-2023 TIP.

The schedule for the 2020-2023 TIP development is included below

<b>2020-2023 TIP Development Schedule</b>	
<b>Aug 1</b>	Safe and Complete Streets checklists due to SRTC for projects that are not exempt from the Safe and Complete Streets policy or were not previously submitted with an SRTC call for projects.
<b>Aug 1</b>	Agencies must submit the required information for all regionally significant and/or federally funded projects to SRTC via Secure Access Washington (SAW).
<b>Jul - Aug</b>	TIP development – review project information in SAW, finalize project list, fiscal constraint analysis, air quality conformity determination, maps, project pages, and appendices.
<b>Aug 28</b>	TTC meetings – Review TIP development timeline
<b>Sep 1 – 30</b>	30-day public comment period
<b>Sep (TBD)</b>	Public meeting to review draft TIP
<b>Sep 12</b>	Board meeting – Overview of draft TIP
<b>Sep 23</b>	TAC meeting – Overview of draft TIP
<b>Sep 25</b>	TTC meeting – Recommend approval of draft TIP
<b>Oct 10</b>	SRTC Board Approval

<sup>4</sup> According to state regulation, counties must adopt a six-year transportation program by December 31<sup>st</sup> (RCW 36.81.121) and transit agencies must adopt a six-year transit plan by September 1<sup>st</sup> (RCW 35.58.2795). The deadlines for these two entities conflict with the TIP development schedule, which must be submitted to WSDOT in October. In developing the TIP, SRTC will review the most recently adopted six-year plan for incorporation into the TIP.

<b>Oct 18</b> WSDOT STIP Due Date (estimated)
<b>~ Jan 1</b> FHWA/FTA STIP Approval

## Safe and Complete Streets Policy

The SRTC Policy Board approved the SRTC Safe and Complete Streets Policy in September 2012, with the effective date of January 2013. The primary purpose of the policy is to ensure that the safety and convenience of all transportation system users (pedestrians, bicyclists, transit users, motorists, freight providers, and emergency responders) are considered during the planning and programming of projects. The policy and checklist are provided in Appendix B.

The SRTC Safe and Complete Streets Policy shall apply to all roadway construction and roadway reconstruction projects (any phase) that are required to be included in SRTC's TIP.

Several project types are exempt from the policy and are not required to submit a Safe and Complete Streets Checklist, including:

- Roadway preservation,
- Intelligent Transportation Systems (ITS),
- Projects located on a facility that prohibits bicyclists or pedestrians AND transit does not operate on, nor is planned to, for the next 15 years,
- Non-motorized,
- Transit,
- Safety projects (funded with safety funds, for example Highway Safety Improvement Program or Safe Routes to School)
- Programs, and
- Planning studies.

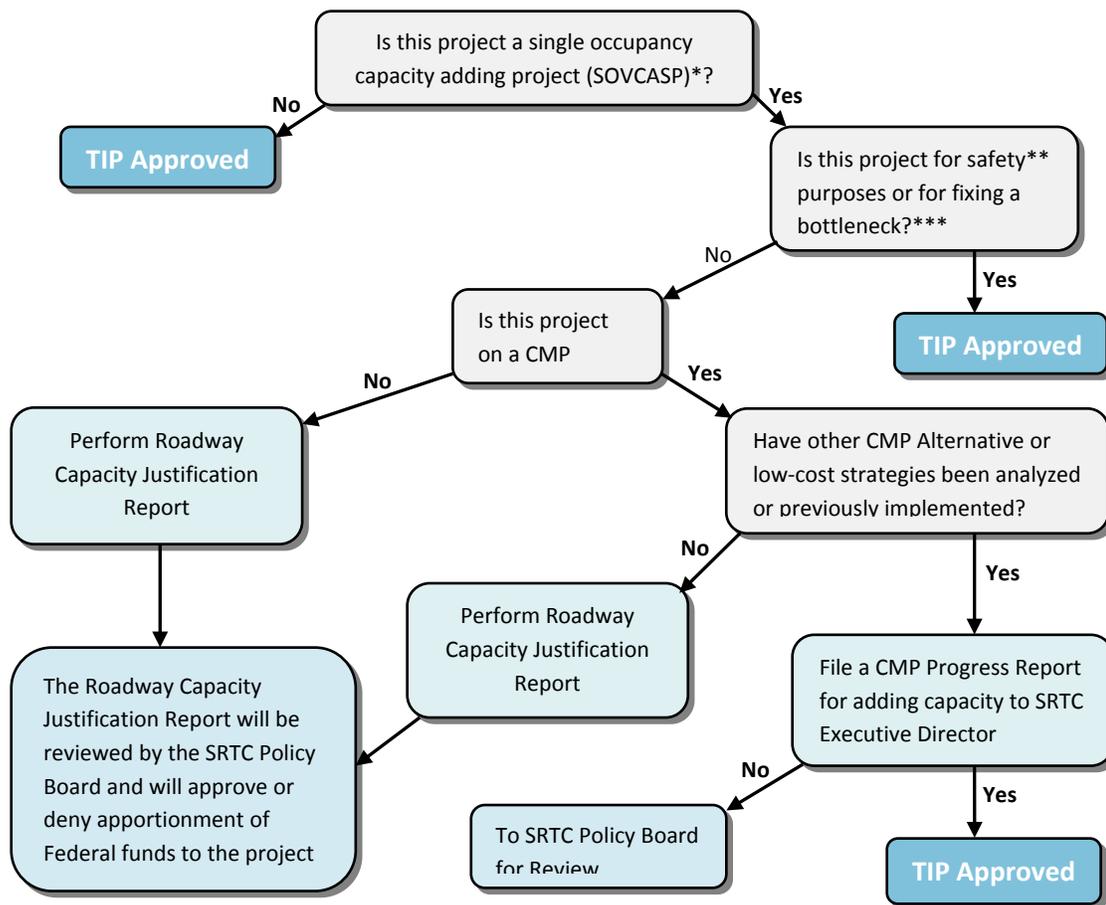
Project sponsors will be required to complete the SRTC Safe and Complete Streets Checklist for all applicable projects (see above) submitted for inclusion in the SRTC TIP. This can occur: 1) as part of the annual TIP development process (due August 1), 2) through an amendment to add a new project to the TIP (monthly), or 3) during an SRTC Call for Projects (submitted with the application packet).

## Congestion Management Process

The Congestion Management Process (CMP) is a systematic and regionally-accepted approach for managing congestion that provides accurate, up-to-date information on transportation system performance and assesses alternative strategies for congestion management that meet state and local needs. Since the Spokane Region is a Transportation Management Area (TMA), SRTC is required to develop, implement, and monitor a CMP. The Spokane Region is also classified as an EPA air quality maintenance area therefore, certain types of transportation projects may not receive Federal funding unless that project has been addressed through a congestion management process (23 Code of Federal Regulations 450.320 (d) & (e)).

To address compliance with the TIP a decision process was created, called the CMP/TIP Compliance Process. This process will ensure that any project, regardless of funding source, that appears in the SRTC TIP has gone through a least-cost planning process and a justification process, if the project increases Single Occupancy Vehicle (SOV) carrying capacity of roadways. This analysis ensures fair treatment of all projects in the TIP that address congestion.

This process will require that alternative strategies be analyzed and, in most instances, a Roadway Capacity Justification Report be conducted before significant SOV capacity-increasing projects are approved for funding or placed in the SRTC Regional TIP. The Roadway Capacity Justification Report would be reviewed by members of the CMP Working Group and approved by the SRTC Board before such a project could move forward. The CMP/TIP Compliance Process is as follows and is also depicted in Figure 1:



\*SOVCAP (Single Occupancy Vehicle Capacity Adding Project) – a transportation project which significantly increases the carrying capacity of a roadway. In areas that are in non-attainment/maintenance zones for air quality, a SOVCAP may not receive federal funding unless consistency with the regional CMP has been demonstrated.

Exempt from this definition, are realignments which replace rather than supplement previous roadways for through traffic, turning lanes, acceleration/deceleration lanes, climbing lanes, bridge replacements, widening without adding new travel lanes, and facilities that are primarily for use by modes other than SOVs (such as bus lanes, HOV lanes, and bicycle and pedestrian facilities).

**\*\*Safety Projects:** There is a wide range of strategies and projects for improving safety on public roadways, which can include geometric improvements and intersection improvements that may result in adding roadway capacity, though many small capital projects and policy programs are also used to improve safety on a corridor. Projects that are funded through a safety program are considered safety projects. If not funded through safety program, a project statement must demonstrate how the project will improve safety and be accepted by the CMP Working Group.

**\*\*\*Bottleneck Projects:** A bottleneck is a localized section of highway or principal arterial that experiences reduced speeds and inherent delays due to a recurring operational influence or a nonrecurring impacting event; a bottleneck is distinguished from "congestion" because it occurs on a subordinate segment of a parent facility, and not pervasively along the entire facility. Increasing capacity on a short section of roadway is one of many available methods for combating bottlenecks, along with a variety of operational and demand management strategies. A project statement must indicate the location of the bottleneck, how the project will improve the bottleneck and be accepted by the CMP Working Group.

## SECTION 3 - PROJECT CHANGES

As a project gets underway, new information often results in project changes. This can include project cost adjustments, scope changes, newly secured funds, etc. In addition, federal funds may be awarded to new projects throughout the year. When a change is requested for an existing project in the TIP or a new project needs to be added to the TIP, it is classified as either an amendment or an administrative modification. The process for incorporating the change into the TIP is different for each classification.

From the initial request for an amendment or administrative modification to the final federal approval, the process typically takes 8-10 weeks. The process includes the following steps:

- 1) Project sponsor submits written request for an amendment or administrative modification to SRTC.
- 2) SRTC staff evaluates request for completeness, financial feasibility, air quality conformity, consistency with the MTP and State and Federal regulations, SRTC's Safe and Complete Street Policy, etc.
- 3) If the project change is an amendment, a 10-day public comment period is held pursuant to the SRTC Public Participation Plan. Administrative modifications do not require a public comment period and are processed administratively by SRTC staff.
- 4) The TTC reviews the amendment and makes recommendation for approval to the SRTC Policy Board.
- 5) The Board takes action on the amendment.
- 6) If approved by the Board, the amendment is submitted to WSDOT for inclusion in the State TIP (STIP). Administrative modifications are submitted to the STIP at the same time as any approved amendments.
- 7) WSDOT reviews the project changes and forwards the amended STIP to FHWA and FTA for approval.
- 8) FHWA and FTA review the revised STIP for approval.

### **2019 Amendment and Administrative Modifications Schedules**

The amendment and administrative modifications schedules, which is subject to change, is provided below. If a change occurs to the schedule, revised schedules will be published on SRTC's website and member agencies will be notified.

## 2019-2022 Transportation Improvement Program (TIP) Amendment Schedule

January Amendment	
Amendment Request Due Date	December 7
SRTC Staff Review & Air Quality	December 10-14
Public Comment Period (10 day)	December 19-28
TTC Recommendation	December 19
SRTC Board Approval	January 18
WSDOT STIP Amendment Due Date	January 18
FHWA/FTA STIP Approval	~February 15

July Amendment	
Amendment Request Due Date	June 7
SRTC Staff Review & Air Quality	June 10 - 14
Public Comment Period (10 day)	June 19 - 28
TTC Recommendation	June 26
SRTC Board Approval	July 11
WSDOT STIP Amendment Due Date	July 19
FHWA/FTA STIP Approval	~August 16

February Amendment	
Amendment Request Due Date	January 4
SRTC Staff Review & Air Quality	January 7 – 11
Public Comment Period (10 day)	January 16-25
TTC Recommendation	January 23
SRTC Board Approval	February 14
WSDOT STIP Amendment Due Date	February 15
FHWA/FTA STIP Approval	~March 15

August Amendment Delete August Amendment-Board may not meet in August	
Amendment Request Due Date	July 5
SRTC Staff Review & Air Quality	July 8 – 12
Public Comment Period (10 day)	July 17 – 26
TTC Recommendation	July 24
SRTC Board Approval	August 8
WSDOT STIP Amendment Due Date	August 16
FHWA/FTA STIP Approval	~September 13

March Amendment	
Amendment Request Due Date	February 8
SRTC Staff Review & Air Quality	February 11-15
Public Comment Period (10 day)	Feb 20 – Mar 1
TTC Recommendation	February 27
SRTC Board Approval	March 14
WSDOT STIP Amendment Due Date	March 15
FHWA/FTA STIP Approval	~April 12

September Amendment	
Amendment Request Due Date	August 9
SRTC Staff Review & Air Quality	August 12 – 16
Public Comment Period (10 day)	August 21 – 30
TTC Recommendation	August 28
SRTC Board Approval	September 12
WSDOT STIP Amendment Due Date	September 20
FHWA/FTA STIP Approval	~October 18

April Amendment	
Amendment Request Due Date	March 8
SRTC Staff Review & Air Quality	March 11 – 15
Public Comment Period (10 day)	March 20 – 29
TTC Recommendation	March 27
SRTC Board Approval	April 11
WSDOT STIP Amendment Due Date	April 19
FHWA/FTA STIP Approval	~May 17

October Amendment	
Amendment Request Due Date	September 6
SRTC Staff Review & Air Quality	September 9 - 13
Public Comment Period (10 day)	September 18 - 27
TTC Recommendation	September 25
SRTC Board Approval*	October 10
WSDOT STIP Amendment Due Date	October 18
FHWA/FTA STIP Approval	~November 15

May Amendment	
Amendment Request Due Date	April 5
SRTC Staff Review & Air Quality	April 8 – 12
Public Comment Period (10 day)	April 17 – 26
TTC Recommendation	April 24
SRTC Board Approval	May 9
WSDOT STIP Amendment Due Date	May 17
FHWA/FTA STIP Approval	~June 14

\*The SRTC Board will also be approving 2020-2023 TIP at this meeting.

June Amendment	
Amendment Request Due Date	May 3
SRTC Staff Review & Air Quality	May 6 – 10
Public Comment Period (10 day)	May 15 – 24
TTC Recommendation	May 22
SRTC Board Approval	June 13
WSDOT STIP Amendment Due Date	June 21
FHWA/FTA STIP Approval	~July 19

No amendments will be processed by WSDOT in November or December; the amendment process for the 2019 TIP is closed after the October cycle.

## 2019-2022 Transportation Improvement Program (TIP) Administrative Modifications Schedule

January Administrative Modifications	
Admin Mod Request Due Date	January 11
SRTC Staff Review	January 14-17
WSDOT STIP Amendment Due Date	January 18
FHWA/FTA STIP Approval	~February 15

July Administrative Modifications	
Admin Mod Request Due Date	July 12
SRTC Staff Review	July 15-18
WSDOT STIP Amendment Due Date	July 19
FHWA/FTA STIP Approval	~ August 16

February Administrative Modifications	
Admin Mod Request Due Date	February 8
SRTC Staff Review	February 11-14
WSDOT STIP Amendment Due Date	February 15
FHWA/FTA STIP Approval	~ March 15

August Administrative Modifications	
Admin Mod Request Due Date	August 9
SRTC Staff Review	August 12-15
WSDOT STIP Amendment Due Date	August 16
FHWA/FTA STIP Approval	~ September 13

March Administrative Modifications	
Admin Mod Request Due Date	March 8
SRTC Staff Review	March 11-14
WSDOT STIP Amendment Due Date	March 15
FHWA/FTA STIP Approval	~ April 12

September Administrative Modifications	
Admin Mod Request Due Date	September 13
SRTC Staff Review	September 16-19
WSDOT STIP Amendment Due Date	September 20
FHWA/FTA STIP Approval	~ October 18

April Administrative Modifications	
Admin Mod Request Due Date	April 12
SRTC Staff Review	April 15-18
WSDOT STIP Amendment Due Date	April 19
FHWA/FTA STIP Approval	~ May 17

October Administrative Modifications	
Admin Mod Request Due Date	October 11
SRTC Staff Review	October 14-17
WSDOT STIP Amendment Due Date	October 18
FHWA/FTA STIP Approval	~ November 15

May Administrative Modifications	
Admin Mod Request Due Date	May 10
SRTC Staff Review	May 13-16
WSDOT STIP Amendment Due Date	May 17
FHWA/FTA STIP Approval	~ June 14

No administrative modifications will be processed by WSDOT in November or December; the amendment and administrative modifications process for the 2019 STIP is closed after the October cycle.

June Administrative Modifications	
Admin Mod Request Due Date	June 14
SRTC Staff Review	June 17-20
WSDOT STIP Amendment Due Date	June 21
FHWA/FTA STIP Approval	~ July 19

## **Types of Project Changes**

Project changes are classified as amendments or administrative modifications. SRTC is responsible for determining whether or not a project change is an amendment or administrative modification.

### ***Amendments***

Amendments include adding a new project, deleting a project, major scope changes, changes to a project's total programmed amount greater than 30% (or over \$3 million), changes to a project that impact air quality conformity, adding a future phase of a project, and adding federal funds to a project currently programmed in the TIP without federal funds.

### ***Administrative Modifications***

Administrative modifications are project changes that are not considered amendments and typically include: revisions to lead agency, adding a prior phase of a project not previously authorized, changes to a project's total programmed amount less than 30%, minor changes in scope, and minor changes or errors in project information (environmental type, right-of-way required, project limits, improvement type, typographical errors, etc.), etc.), changes in a project's federal fund source, moving a project within the first four years of the TIP (as long as the project timing remains consistent with the MTP), authorization for any federal funds currently programmed in the TIP without consideration of the phase split, and adjustments in a project's funding authorization for award of contract.

Administrative modifications requested by local agencies are reviewed by the jurisdiction and SRTC staff prior to being implemented. A list of modifications is maintained by SRTC as part of the TIP. Once a modification has been made, a revised TIP will be sent to WSDOT, FHWA, and FTA and will be linked on SRTC's website.

For full definitions of amendments and administrative modifications please see Appendix C.

## SECTION 4 - PROJECT DELIVERY

The final step in the programming process is project delivery; construction, procurement, or implementation. SRTC monitors project delivery by annually publishing a list of obligations from the preceding year and by presenting project status reports to the SRTC Policy Board twice annually.

### Annual Listing of Federal Obligations

Every year, SRTC is required to complete a list of federal obligations that occurred in the preceding program year (23 C.F.R. § 450.332). For each project, the listing shall include the amount of federal funds that: were programmed in the TIP, obligated in the preceding year, and remaining for future years. The list is prepared cooperatively with WSDOT and STA, and must be published no later than 90 calendar days following the end of the program year.

The schedule for completing the Annual Listing of Federal Obligations is included below.

Annual Listing of Federal Obligations	
<b>January</b>	SRTC compiles information on 2018 federal obligations
<b>Feb 1</b>	SRTC will notify agencies of any requested information necessary to complete the 2018 Annual Listing
<b>Feb 15</b>	Deadline for local agencies to submit requested information to SRTC for compilation of the 2018 Annual Listing
<b>Mar 25, 27</b>	TAC, TTC meetings – present the 2018 Annual Listing
<b>Mar 31</b>	2018 Annual Listing will be posted to the SRTC website and sent to WSDOT, FHWA, and FTA no later than March 31
<b>Apr 11</b>	SRTC Board – present the 2018 Annual Listing

### Project Tracking

In addition to tracking annual obligations, SRTC also tracks the status of projects receiving regional funds. The purpose of tracking the status of these projects is to ensure that regional allocations of federal funds are being obligated efficiently and that projects are making continuous progress towards construction or implementation.

## SECTION 5 - PUBLIC INVOLVEMENT

SRTC's Public Participation Plan includes the policies and procedures SRTC follows to ensure that the public is given adequate opportunity to participate in and comment on SRTC's programming process. Participating agencies and the general public are provided an opportunity to comment on the TIP development through a variety of means. Throughout the year, the public is invited to attend SRTC advisory committee meetings to discuss project selection, TIP amendments, and the development of the next four-year TIP. Documentation from the meetings is also posted on the SRTC website.

In addition to the adopted policies and procedures for public involvement, SRTC strives to make the programming process as clear and accessible to the public as possible.

For more information on SRTC's Public Participation Plan, please refer to SRTC's website.

## SECTION 6 - POLICIES AND PROCEDURES

### 1. Regional Transportation Programming

**Policy 1.1 – For the purposes of SRTC's TIP, years one and two of the TIP constitute an agreed to list as defined by CFR 45.330.**

Policy 1.1.1 - Once a project has been programmed in year one or two of an approved TIP, the project sponsor(s) can begin project implementation by obligating funds.

Policy 1.1.2 - Projects that are programmed in years three and four of the TIP are not part of the agreed to list and are not eligible for obligation without prior approval by the SRTC Board.

**Policy 1.2– All projects in the TIP must be consistent with the Metropolitan Transportation Plan (MTP).** In order to be considered consistent with the MTP, a project in the TIP must be listed in the MTP as planned regionally significant project (i.e. a specific capital project that adds or impacts vehicular capacity) or program of projects (i.e. arterial preservation, sidewalk infill).

**Policy 1.3 – SRTC shall determine consistency with the MTP.** If it is unclear whether or not a project is consistent with the MTP, SRTC shall convene the Interagency Consultation group (WSDOT, STA, FTA, and FHWA) and/or the Air Quality Interagency Consultation Group (members of the Interagency Consultation group with the addition of Environmental Protection Agency and the Washington State Department of Ecology) pursuant to SRTC's Interagency Consultation Procedures. The results of the consultation process are presented to the SRTC Policy Board for final determination on a project's consistency with the MTP.

Policy 1.4 – **All projects receiving federal funds through U.S.C. Title 23 and Title 49 must be included in the TIP.** Projects receiving other federal funds do not need to be included in the TIP unless the project is regionally significant.

Policy 1.5 – **All regionally significant projects must be included in the TIP.** Regionally significant projects are defined on page 4.

Policy 1.6 – **SRTC shall determine whether or not a project is regionally significant.** If it is unclear whether or not a project is regionally significant, SRTC shall convene the Interagency Consultation group (WSDOT, STA, FTA, and FHWA) or the Air Quality Interagency Consultation Group (members of the Interagency Consultation group with the addition of Environmental Protection Agency and Washington State Department of Ecology) pursuant to SRTC’s Interagency Consultation Procedures. The results of the consultation process are presented to the SRTC Policy Board for final determination on a project’s regional significance.

Policy 1.7 – **Project sponsors shall provide the necessary project information to SRTC in order to make the determination on consistency with the MTP and regional significance.** This includes a description of the project, location, length, and planned year of completion.

## 2. TIP Development

Policy 2.1 – **Agencies must submit approved TIP to SRTC no later than July 1 each year.** The projects may be submitted in any format; however, agencies must provide sufficient detail in their TIP for SRTC to identify projects for inclusion in the TIP (including project name, length, description of work, total estimated cost, and amount of secured funds).

Policy 2.2 – **SRTC shall notify agencies no later than July 15 with a list of all regionally significant and/or federally funded projects that will need to be included in the regional TIP and that will require a completed Safe and Complete Streets checklist.**

Policy 2.3 – **Agencies must submit the required information for all regionally significant and/or federally funded projects to SRTC in the State’s STIP system, Secure Access Washington (<https://secureaccess.wa.gov/myAccess/saw/select.do>), as well as a completed Safe and Complete Streets checklists no later than August 1.**

Policy 2.4 – **SRTC shall publish the draft TIP during the first week of September for the required 30-day public comment period.** The timing of the public comment period must allow sufficient time for public comments to be incorporated into the draft TIP prior to the SRTC Policy Board approval.

Policy 2.5 - **The SRTC Safe and Complete Streets Policy stipulates that roadway construction and roadway reconstruction projects (any phase) that are required to be included in SRTC’s TIP must complete and submit a Safe and Complete Streets Checklist.** The timelines for submitting the checklists are detailed in Policy 2.2 and 2.3. Several project types are exempt from the policy and are not required to submit a Safe and Complete Streets Checklist, including: roadway preservation; Intelligent Transportation Systems (ITS); projects located on a facility that prohibits bicyclists or pedestrians AND transit

does not operate on, nor is planned to, for the next 15 years; non-motorized; transit; safety (funded with safety funds); programs; and planning studies.

### 3. Project Changes

**Policy 3.1 – All scope changes must be approved by the Executive Director, with TTC concurrence.**

**Policy 3.2 – SRTC is responsible for determining whether or not a project change is an amendment or administrative modification.**

**Policy 3.3 – Project sponsors shall submit a written request to SRTC to initiate a project change, whether it is an amendment or administrative modification.** The request must provide sufficient detail for SRTC to make the determination on the type of project change that is required.

**Policy 3.4 – SRTC shall maintain a full accounting of all amendments and administrative modifications made to the current TIP.** The history of these project changes will be made available on SRTC's website for the TIP.

**Policy 3.5 – In the event that the TIP amendment/administrative modification schedule should be revised, SRTC shall notify all member agencies and post an updated schedule on SRTC's website for the TIP.**

### 4. Project Delivery

#### All Projects

**Policy 4.1 – SRTC will track the status of all projects receiving regional federal funds in the TIP.** Project sponsors shall provide sufficient information for tracking the status of projects upon request. This information will be provided to the Board of Directors and committees as it relates to the Region's ability to meet the Federal Fiscal Year (FFY) 2018 obligation target.

**Policy 4.2 – SRTC will provide delivery status updates on all projects obligating or de-obligating regional federal funds during the FFY.** SRTC shall present these updates to the SRTC Policy Board and committees periodically throughout the year.

**Policy 4.3 – SRTC shall publish a listing of all annual federal obligations from the preceding program year no later than March 30.** This policy is consistent with federal regulations for annual obligations reporting. The annual listing will be presented to the SRTC Board of Directors and advisory committees and will be posted to SRTC's website for the TIP.

## **STBG, CMAQ, STBG Set-Aside Projects**

**Policy 4.4 – If a project phase does not meet its targeted obligation date; SRTC may administratively grant the project sponsor a one-time extension of up to two (2) years.** The project sponsor has 30 calendar days from the date it was notified of the administrative extension to submit a revised project delivery schedule for the project to SRTC. If a revised schedule has not been received within that time period, the project will be presented to the SRTC Policy Board for direction and possible removal from the TIP.

**Policy 4.5 – If a project sponsor is unable to meet a targeted obligation date after the one-time grace period, the project sponsor may request an extension from the SRTC Policy Board.** The Board may grant the extension or may act to remove the project from the TIP. If the agency is permitted an extension, it must submit a revised schedule to SRTC within 30 calendar days of the Board action. If the Board acts to remove the project from the TIP, any regional federal funds awarded to the project shall be returned to SRTC for reallocation. If the project is eligible to receive regionally selected federal funds, it may be placed on the contingency list of projects for that fund source at the discretion of the Board.

**Policy 4.6 – Planning projects and preliminary engineering phases for all projects are not eligible for an administrative grace period for obligation of funds.** If a planning project or preliminary engineering phase cannot meet its scheduled date for obligation, the project will be reviewed by the SRTC Policy Board. The Board may grant the agency a one-time grace period of up to one (1) year or may act to remove the project from the TIP. If the agency is permitted a grace period, a revised schedule must be received by SRTC within 30 calendar days of the Board action. If the Board acts to remove the project from the TIP, any regional federal funds awarded to the project shall be returned to SRTC for reallocation. If the project is eligible to receive regionally selected federal funds, it may be placed on the contingency list of projects for that fund source at the discretion of the Board.

**Policy 4.7 – SRTC will maintain a contingency list of projects selected through a regional process and approved by the SRTC Policy Board..** Projects on the contingency lists may be selected for funds that become available if previously selected projects from that fund source are removed from the TIP by Board action, funds are voluntarily returned by the sponsoring agency, or additional funds become available for some other reason (for example: annual allocations higher than anticipated). The contingency list can include projects partially funded by the SRTC Policy Board. The most recently approved contingency list replaces and supersedes any previously approved contingency lists.

**Policy 4.8 – SRTC will consider the following strategies to demonstrate fiscal constraint in the event that regional allocations are reduced because of failure to meet SRTC's obligation target:**

- Utilization of returned funds from project de-obligations and closeouts, if any.
- Accounting of obligations by agency to provide a quantitative methodology for delaying or removing regional funds from an agency's projects.

## 5. Public Involvement

Policy 5.1 – **SRTC will follow the policies and procedures for public involvement throughout the TIP development and amendment process outlined in SRTC’s Public Participation Plan**, located on SRTC’s website, [here](#).

Policy 5.2 – **SRTC will make all decisions related to transportation programming in a public forum**. This includes meetings of the TTC, TAC, and/or SRTC Policy Board.

Policy 5.3 – **SRTC will strive to make the programming process (including any documents) understandable and accessible to the public**. This includes using plain language, as appropriate; including definitions for technical terms; providing lists of abbreviations; and including graphics to illustrate complex processes.

## 6. Funding Policies (STBG, CMAQ, STBG Set-Aside funds only)

### **Cost Overruns**

***Cost overruns are defined as costs that exceed the project budget as it was determined at the time of project application to SRTC.***

Policy 6.1 - **After a project has been selected by SRTC for regional allocations of federal funds, any cost overruns are the responsibility of the project sponsor**. Project sponsors are required to sign SRTC’s Local Agency Project Endorsement Form, which states that any cost overruns are the responsibility of the project sponsor.

Policy 6.2 - **Although cost overruns are the responsibility of the project sponsor, for eligible cost overruns (see Policy 6.3) on projects awarded on regional allocations of federal funds, the project sponsor may request additional funds through the SRTC Executive Director or the SRTC Board**. The process for requesting a fund increase is described below.

Policy 6.2.1 - For a project with a total estimated project cost less than \$1 million (as originally programmed in the TIP), the SRTC Executive Director may increase the project’s award amount up to 15% of the total estimate project cost. At the Executive Director’s discretion, the request may be brought to the TTC for discussion and input. Fund increase requests approved or denied by the Executive Director will be noted at an SRTC Board meeting.

Policy 6.2.2 - For a project with a total estimated project cost equal to or greater than \$1 million (as originally programmed in the TIP), the SRTC Executive Director may increase the project’s award amount up to 15% of the total project cost, not to exceed \$300,000. At the Executive Director’s discretion, the request may be brought to the

TTC for discussion and input. Fund increase requests approved or denied by the Executive Director will be noted at an SRTC Board meeting. Requests greater than 15% of the total project cost or greater than \$300,000 would require SRTC Board action. Fund increase requests requiring SRTC Board action will be brought first to the TTC for discussion and input. Fund increase requests approved or denied by the SRTC Board will take place during an SRTC Board meeting, which are open to the public.

Policy 6.2.3 - It is the responsibility of the project sponsor to submit a written request to SRTC for the increase in the award amount. The request shall document the circumstances of the cost overrun and describe why the cost overrun should be considered eligible by SRTC and/or the SRTC Board for a fund increase.

Policy 6.2.4 - Fund increases that are considered by the SRTC Executive Director shall be limited to available funds. Available funds are allocated funds (this includes but is not limited to annual allocations, carryover funds, returned funds from projects that came in under budget) that have not been awarded or programmed for a specific project. If a fund source has been fully programmed in the current TIP (all available funds and forecasted funds are associated with planned projects), approving a fund increase request will impact currently programmed projects. These impacts could include delaying one or more projects out of the first four years of the TIP or reducing the award amount for one or more projects.

Policy 6.2.5 - If a fund increase request is denied by the SRTC Executive Director or the SRTC Board, the project sponsor may finance the cost increase through other funding sources, reduce the scope of the project to available funds (with SRTC concurrence on the scope change), or withdraw the project from the TIP and return any previously obligated funds to SRTC for redistribution. In addition, fund increase requests denied by the SRTC Executive Director may be appealed by the project sponsor; appeals may be considered by the SRTC Board, at their discretion.

**Policy 6.3 - Fund increase requests related to cost overruns will be considered on a case-by-case basis.** Policies 6.3.1 and 6.3.2 describe possible causes for eligible and ineligible cost overruns. The examples provided below are not exhaustive and do not imply the eligibility or ineligibility of any specific project. The SRTC Executive Director and/or SRTC Board shall make the determination on whether a project cost overrun is considered eligible or ineligible for a fund increase.

Policy 6.3.1 - A cost overrun may be eligible for a fund increase if it is considered outside of the control of the project sponsor. Examples of possible eligible cost overruns could include: unanticipated weather events, “Acts of God”, or other external events including war, labor strikes, or national security threats or events; new federal or state mandatory requirements; significant unanticipated utility, environmental, cultural/historical issues; or significant unanticipated pavement condition.

Policy 6.3.2 - A cost overrun may be ineligible for additional funds through SRTC if the cost overrun is considered to be within the control of the project sponsor. Examples of possible ineligible cost overruns could include: a change in scope for owner betterment; omitted requirements that could have reasonably been anticipated; or poor judgment or inadequate planning, design, or implementation of the project.

**Policy 6.4 - Approved fund increase requests related to cost overruns must maintain or increase the original local match commitment (i.e. percentages).**

### ***Leftover Funds***

Policy 6.5 - **After a project has been selected by SRTC for regional allocations of federal funds, any unspent funds from the project award must be returned to SRTC for redistribution.** Project sponsors may not change the original scope or extend the length or duration of the project in order to utilize the remaining funds.

Policy 6.5.1 – SRTC staff will provide a recommendation to the SRTC Board on how to best utilize leftover SRTC regional funds. This recommendation will be reviewed and discussed with the TTC prior to going to the Board. The following methods will be utilized in order to develop this recommendation:

1. Applying funds to regional planning needs identified in the Task 9 “Unfunded Planning Activities” of the current Unified Planning Work Program (UPWP) – Board approval required.
2. Advancing projects programmed in the out years of the current TIP –Administrative modification, does not require Board approval.
3. Select projects to fund from the most recently approved contingency list– TIP amendment requires Board approval.

Policy 6.5.2 – Active Projects (i.e. project that have not closed) that de-obligate SRTC regional funds may reapply for future regional funds through SRTC calls for projects; however, there is no guarantee, expressed or implied, that the project will be prioritized and selected for funding.

### ***Partial Funding***

Policy 6.6 - **If a project has been selected for partial funding, whether by phases (PE, ROW, CN) or geographical segment (~~PE and/or RW only~~), it is the responsibility of the project sponsor to secure the remaining funds necessary to complete the project.** The project sponsor may apply for additional funds through future SRTC calls for projects; however, there is no guarantee, expressed or implied, that the project will be prioritized and selected for funding.

Policy 6.7 -Unless approved in advance by the SRTC Policy Board, **projects selected for PE or RW only are permitted to transfer any remaining funds to a later phase of the project, if the project is programmed for construction within the first four years of the TIP.** If the construction phase is not programmed within the first four years of the TIP, the project sponsor must return any remaining funds after the completion of the PE and RW phase.

### ***Contingency Funds***

Policy 6.8 - **SRTC will not establish a contingency fund for STBG, CMAQ, or STBG Set-Aside at this time. As such, any fund increase requests approved by the SRTC Executive Director and/or SRTC Board are subject to Policy 6.2.4.**

### ***Eligible Phases and Project Types***

Policy 6.9 - **The SRTC Policy Board shall define the eligible phases and types of projects for each Call for Projects process.** For example, for each Call for Projects, the Board may choose to only fully fund projects, allow some partially funded projects, fund only the construction phase of projects, and/or fund regional or local planning studies. This policy grants SRTC the flexibility to respond to the changing needs of individual agencies and the region as a whole.