



**Department of
Transportation**

ANDREW M. CUOMO
Governor

MATTHEW J. DRISCOLL
Commissioner

**TIP/STIP Guidance Part 2 –
*Technical Guidance for Process &
Procedures***

*October 2016–September 2020 STIP
October 2016–September 2021 MPO TIPs*

February 2016

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TIP/STIP Guidance Part 2 – Technical Guidance for Process & Procedures

October 2016–September 2020 STIP

October 2016 –September 2021 MPO TIPs

Introduction

This *TIP/STIP Guidance Part 2 – Technical Guidance for Process & Procedures* is provided to assist NYS Metropolitan Planning Organizations and NYSDOT Regional Offices in addressing the federally-required planning process and procedures as they develop Transportation Improvement Programs (TIPs) and non-metropolitan programs that become the Statewide Transportation Improvement Program (STIP). Please refer to the *TIP/STIP Policy Guidance and Instructions for the Update Period Beginning October 2016*, September 10, 2015, previously transmitted for instructions on program development.

This technical guidance is based upon the current Federal Metropolitan and Statewide Planning Regulations as amended by MAP-21. .

The requirements highlighted herein are important because, as part of the STIP submittal, the State and the MPOs will have to certify that the planning process is being conducted in accordance with federal planning requirements. This Guidance summarizes those areas where particular attention and extra effort may be needed with respect to compliance with the law and where Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) have provided guidance and additional information. Note that this Guidance is not a comprehensive treatment, but it builds on previous guidance and provides resources on current direction for these areas. These areas include fiscal constraint of the programs, financial plans for TIPs (and Metropolitan Transportation Plans), STIP data and project descriptions, costs in year of expenditure (inflation rates), rollover, TIP/STIP amendment and administrative modification procedures, and schedules for development of the TIP/STIP.

The eSTIP Application on NYSDOT servers will again be used by MPOs and the Regions to manage their amendments and build the draft STIP. If you are a new user on eSTIP and need training, please see the contact list on page 20.

As mutually agreed upon between NYSDOT and the NYS MPOs, TIPs and the STIP will be updated as follows:

- October 2016 to September 2020 STIP (4 years)
- October 2016 to September 2021 MPO TIPs (Minimum 4, 5years if desired)

The following table shows how the years covered by the MPOs' TIPs (orange) overlap with the STIP (in bright blue).

Time Period Covered for October 1, 2016 Approval					
	STIP				MPO TIP Year Only
By STIP Update	FFY 2017 10/1/16 to 9/30/17	FFY 2018 10/1/17 to 9/30/18	FFY 2019 10/1/18 to 9/30/19	FFY 2020 10/1/19 to 9/30/20	FFY 2021 10/1/20 to 9/30/21
By MPO TIP	MPO TIP Year 1	TIP Year 2	TIP Year 3	TIP Year 4	TIP Year 5

Coordination of Program Update with MPO TIP

Please refer to *TIP/STIP Policy Guidance and Instructions for the Update Period Beginning October 2016*, September 10, 2015 in developing TIP and non-MPO area program changes. The NYSDOT Regional Offices and their respective MPOs will work together to develop programs consistent with the fiscally constrained targets provided.

MAP-21 Planning Requirements and Compliance

Federal guidance on implementing the metropolitan and statewide planning requirements for TIPs and STIP development under MAP-21 is still being finalized. Therefore, the most recent 2007 Federal regulations (attached) on implementing the metropolitan and statewide planning requirements for TIPs and STIP development remains in effect, except where new Federal guidance has been published or offered.

The 2007 rule will be followed until new regulations are in place, along with additional guidance provided by the Federal agencies which can be found at:

FHWA - <http://www.fhwa.dot.gov/map21/>

FTA - <http://www.fta.dot.gov/map21/index.html>

FHWA has also added a site for information related to the newly enacted FAST Act. It can be found at: <https://www.fhwa.dot.gov/fastact/>

Financial Plans

Financial plans for the MPOs' TIPs¹ are required. Each MPO TIP must include a financial plan that demonstrates how the TIP can be implemented; indicates resources from public and private sources that are reasonably expected to be available to carry out the program; and identifies innovative financing techniques to finance projects, programs, and strategies.

The TIP financial plan can be as simple as providing a fiscal constraint table. Note if a financial plan is not provided for the TIP of a MPO in a nonattainment area and the TIP is not fiscally constrained, FHWA cannot make a positive conformity determination for the TIP.

For more details on financial plans, please refer to FHWA/FTA's:

- **Statewide Transportation Planning; Metropolitan Transportation Planning; Final Rule:** In particular, review 23 CFR 450.314 and §450.324 on agreements and development and content of the transportation improvement program, respectively.
- As an example where the [TIP financial plan is a table](#) – see table on page 18.

Planning targets were distributed in conjunction with the *TIP/STIP Policy Guidance and Instructions for the Update Period Beginning October 2016*. These are flat extensions of previous planning targets. The NYSDOT RPPM is the contact for the MPO on the estimates to be used.

¹ Resource and revenue estimates should be consistent with those referenced, or also included in the MPO's Metropolitan Transportation (or long-range) Plan (MTP). The MPO may have to update the MTP's financial plan if the TIP's finance plan is updated to appropriately reflect changes due to fund source.

Transit planning targets were sent on October 18, 2015. Please see the following section for details.

Fiscal Constraint

MPO TIPs and the STIP shall be financially constrained by year² using estimates of current and/or reasonably available revenues. Please refer to the attached '[Example TIP Fiscal Constraint Table](#)' on page 18 for your use. These tables must reflect unmatched federal amounts. The MPO and its respective NYSDOT Region(s) must discuss any proposed violation of fiscal constraint with NYSDOT Main Office well before submission deadline and any program public reviews, approvals or votes (e.g. early enough for the MPO to act on a "fix") in case violation is not approved by Main Office.

Be aware that FHWA is currently reviewing STIP performance. FHWA's national goal is to see 75% of the construction phases programmed for obligation in a Federal Fiscal Year obligated by the end of the Federal Fiscal Year. For this reason among others, NYSDOT will be strictly enforcing fiscal constraint, and Regions and MPOs will not be permitted to program in excess of their planning targets by FFY. MPOs and Regions should be aware that not all transactions (e.g., close-outs and modifications) run through the TIP/STIP. MPOs need to work with the Regions to use the FMIS reports to reconcile obligations on an annual basis. This step is done outside of the eSTIP.

"For the TIP, financial constraint shall be demonstrated and maintained by year and shall include sufficient financial information to demonstrate which projects are to be implemented using current and/or reasonably available revenues, while federally supported facilities are being adequately maintained." [23 CFR 450.324]

- **Fiscal constraint for FHWA** is defined as establishing a TIP/STIP such that the amount of total FHWA fiscally constrained funding programmed in each year of the TIP/STIP does not exceed the total planning targets for each of the TIP/STIP years. Any fiscally constrained fund type can be over-programmed in a year provided:
 1. The total of all fiscally constrained funding programmed in that year does not exceed the planning targets (implies a columnar total of over fund types must be under-programmed to compensate).
 2. The total amount of fiscally constrained fund type that is programmed in the 4-year STIP period does not exceed the amount of that fund's planning target during the 4-year STIP period. Rows (fund types) and columns (years) cannot be over-programmed.
- Regional totals (TIPs and rural program) must be fiscally constrained by year and fund type for the STIP period.
- Note for TIPs: MPOs DO NOT have five (5) years to balance programming versus planning target by fund type. These must be balanced over the 4-year STIP period. To do otherwise, will not guarantee fund type fiscal constraint of the STIP initially or over its life.
- Finally, FHWA, FTA and NYSDOT consider TIP years beyond the first four (4) as only informational.

² FTA fund sources are constrained by the Notice of Funding Availability (NOFA) limits.

- **Fiscal Constraint for FTA:** Transit planning target estimates provided in October of 2015 assume apportionments will remain flat from FFY 2015 and be held constant through 2021. Appropriations bills are annually enacted, and apportionments and allocations are published by the FTA in the Federal Register. In order to maintain and document fiscal constraint, the FTA funds that are programmed on the TIP/STIP for a year need to be consistent with the amounts shown in the Federal Register for that year. For carryover balances of unobligated FTA transit funds, Transit Agencies need to document the variance in the narrative of the TIP development and if added after its approval, in the ballots that take the action. Follow the Notice of Funding Availability (NOFA) limitations for FTA 5324 Emergency Relief.

All NYSDOT Regions, MPOs and transit Designated Recipients are expected to follow the regulations for fiscal constraint.

Year of Expenditure Dollars and Inflation Factors

Information on year of expenditure (YOE) dollars and inflation factors recommended by NYSDOT can be found on page 29 of this Guidance for the "[NYSDOT Official Inflation Rates for PSS Base Year 2015](#)". Please note all projects' costs on the TIP must be shown in year of expenditure dollars. MPOs that use inflation factors other than those recommended by NYSDOT for local projects must keep documentation on how they address YOE for their projects.

Total Project Costs

Federal regulation 23 CFR 450.324(i) requires that inclusion of the estimated total project cost be included in the TIP/STIP. The TIP/STIP total project must also include project costs that are programmed prior or beyond the TIP/STIP period.

Please see the help document that appears for this field in eSTIP. Additional help can be obtained from your NYSDOT Regional Office(s) for additional guidance on project cost and contingency estimating. Be aware that projects with an estimated total cost of \$100M or more (cost in "year of expenditure" dollars) require an annual Financial Plan and all contingencies should be sufficiently detailed and managed.³

Rollover

Fund balances (both positive and negative) from the previous STIP period "rollover" into the new STIP period. Simply put: Programming \$ = Planning Target + Rollover. Overspending during the previous STIP period (a negative rollover) reduces the amount that can be programmed during the new STIP period. Under spending during the previous STIP period increases the amount that can be programmed.

MPOs need to discuss the rollover amounts with their respective Regional Office(s). The roll ins for 2014-15 FHWA funds were provided to each Region in its planning targets for FHWA funding; however, these were not included in the transit targets.

³ FHWA, Fed Aid Program Adm., Major Projects Guidance, Financial Plans, Contingency Fund Mgmt. http://www.fhwa.dot.gov/ipd/project_delivery/resources/general/mpg_memo.htm

Many MPOs include a rollover clause (“Whereas” or “Resolved”) in the MPO’s TIP approval resolution. The clause allows projects on the previous STIP that were not funded and listed in a “committed” (or “obligated”) column of the new TIP to “rollover” into the new TIP via an administrative modification rather than a formal TIP amendment. A project can “rollover” if, and only if sufficient “rollover” funding also occurs and the TIP is not already over programmed.

A typical “rollover” clause in the TIP Adoption resolution reads somewhat similar to the following:

***RESOLVED**, that projects identified as obligated in Federal Fiscal Year 2013 are automatically incorporated in the Federal Fiscal Year 2014 annual element if they are not obligated prior to September 30, 2013;*

[PDCTC Resolution 13-03, 6/20/2013]

This provision does not apply to FTA projects. FTA projects can rollover from the last year of the previous TIP/STIP to the first year of the new TIP/STIP via administrative modification(s).

In addition, note that although an amendment is not needed (for a change from year to year), NYSDOT procedures for maintaining a constrained STIP require an “administrative modification” be filled out as a ballot and approved by MPOs and the NYSDOT Program Supervisor (PS) within eSTIP.

For FTA-funded projects, please contact the Public Transportation Bureau to confirm whether a change will be an amendment or an administrative modification before bringing an amendment to MPO members for approval. FTA guidance for amendments is that projects funded on the TIP with local funds and subsequently using Federal funds would be an amendment. Conversely, removing all Federal funding from a project would be considered a deletion and should be processed as an amendment.

Performance Measures

NYSDOT recognizes that USDOT is currently developing final rules to implement MAP-21 performance requirements. We will continue to discuss coordination on performance measures and targets with the MPOs through the MAP-21 Implementation Working Group. When final rules are issued, and once targets have been established, MPOs’ metropolitan transportation plans and programs will need to describe how program and project selection will be used to help achieve targets.

Planning Factors – The planning factors under 23 USC 134, as modified by FAST are as follows:

- (A) support the economic vitality of the metropolitan area, especially by enabling global competitiveness, productivity, and efficiency;
- (B) increase the safety of the transportation system for motorized and nonmotorized users;
- (C) increase the security of the transportation system for motorized and nonmotorized users;
- (D) increase the accessibility and mobility of people and for freight;
- (E) protect and enhance the environment, promote energy conservation, improve the quality of life, and promote consistency between transportation improvements and State and local planned growth and economic development patterns;
- (F) enhance the integration and connectivity of the transportation system, across and between modes, for people and freight;
- (G) promote efficient system management and operation; and
- (H) emphasize the preservation of the existing transportation system.

The FAST Act added two new factors which have not yet been incorporated into rulemaking:

- (I) improve the resiliency and reliability of the transportation system and reduce or mitigate storm water impacts of surface transportation; and
- (J) enhance travel and tourism.

Public Participation and Consultation

- **Public Participation Plans** – MPOs must have developed “public participation plans” “in consultation with all interested parties” for both the plan and the TIP. [23 CFR 450.316] Non-attainment area TMAs must provide for at least one formal public meeting (23 CFR 450.324(b)) during the TIP development process.
- **Publication of Plans and TIPs/STIP** – MPOs shall publish or otherwise make available for public review transportation plans and TIPs including, to the maximum extent practicable, in electronically accessible formats using means such as the World Wide Web. It is strongly suggested that any electronically accessible formats be in ‘rich text formats (rtf)’, which is ADA accessible. As in the past, NYSDOT will be submitting the STIP electronically. NYSDOT Program Analysis Section (in the Program Management Bureau) will continue to provide training, or refreshers, to staff from the MPOs and Regions to assist in entering and maintaining the STIP project data in eSTIP.
- **Use of Visualization techniques in Plans and Metropolitan TIP Development** – As part of TIP and transportation plan development, MPOs shall employ visualization techniques prior to the adoption of metropolitan transportation plans and metropolitan TIPs (450.316). If the MPO has a website, the MPO’s site needs to visibly portray the MPO as an independent entity or organization rather than a subunit of the host agency.

Consultation and Cooperation

- **Consultations** – MPOs should continue to review and update, where necessary to ensure consistency with the most recent law, consultation procedures, plans, and guidelines to include reasonable opportunities to consult with all interested parties and for interested parties to comment on the TIP -- with stakeholders and local/State agencies responsible for land use management, natural resources, environmental protection, conservation, and historic preservation in developing metropolitan transportation (long-range) plans. This activity may also occur during individual MPO member/agency planning activities in the MPO plan development.
- **Native/Tribal Nations** – For those MPOs that include Indian Tribal Lands, the MPO shall appropriately involve the Indian/Native Nations government(s) in the development of the TIP. Note that the funding distribution method for the Tribal Transportation Program (formerly IRR Program) has changed and Tribal Nations will have apportioned funding directly from FHWA Federal Lands to develop a Tribal Transportation Program. FHWA’s role will continue where the Tribal Transportation Program Office will be sending FHWA-NY a list of tribal nations projects within state boundaries which NYSDOT can elect to place on the STIP. Note the Tribal Transportation Program (TTP) may likely be completed off-STIP cycle and will be added to the STIP when these programs are made available. Tribal Transit Programs will be added to the STIP through the NYSDOT Passenger Transportation Bureau.

- **Rural Areas** - NYSDOT is responsible for consulting with public officials and other local stakeholders in rural areas on transportation planning and programming issues that may arise in their respective communities. For detailed instructions on reaching out to the locals on STIP related activities in your Region, refer to the “*NYSDOT Procedures for Consultation with Public Officials in Rural Areas*” which was updated in 2011. The link is:

https://www.dot.ny.gov/divisions/policy-and-strategy/planning-bureau/MPO_program_update_guide/repository/ruralconsult2006a1.pdf

These procedures are currently being updated with a projected completion date in February 2016.

- **Annual Listing of Obligated Projects** – MPOs should contact their respective NYSDOT Regional Office, NYSDOT Public Transportation Bureau (PTB), and/or transit operator(s) as per their mutual agreements to request project obligation data for the preceding year.

TIP Data and STIP Development in eSTIP

General Instructions to Collect STIP Data

As in previous years, NYSDOT will be submitting its STIP to the FHWA and FTA through the web-based eSTIP. NYSDOT Main Office will be working with the Regions and the MPOs to ensure all necessary data will be entered in the eSTIP. Be prepared to provide project information for the TIP at a sufficient level of detail to describe each project to ensure Federal fund source eligibility on your programs. Training and separate instructions have been provided by NYSDOT on how to enter project data into the eSTIP. These and other training guides can be downloaded from the eSTIP software by clicking on the “Help” button on the menu bar and selecting the appropriate file from the Reference Guide drop down list.

There should be a mutually agreed upon contact person(s) for the respective NYSDOT Region and the MPOs in that Region as the eSTIP data contact. NYSDOT Region and MPOs in that Region will be responsible for synchronizing the information entered into TIP and STIP via eSTIP. In other words, the MPO must ensure that its published TIP is completely synchronized with its TIP within the eSTIP. Questions regarding using the eSTIP application may be directed to the contacts from the NYSDOT Program Management Bureau on the last page.

Please refer to the planning regulations for data needed for the STIP (refer to 23 CFR 450.216, 23 CFR 450.316 & 450.324). Project descriptions should be consistent with those provided in the federal *STIP Project Description Reference Guide*. In addition, please see the STIP Development Checklist on page 17 which lists STIP deliverables by participant in the STIP development process.

Illustrative Projects

In the effort to maintain their respective TIPs in fiscal constraint but also to show projects that meet local transportation needs, MPOs and Regions are allowed to include additional projects in their Plan, and as appropriate, in the TIP for inclusion in the STIP, for information as “illustrative projects”. [23 CFR 450. 322]

- ***Illustrative project*** means an additional transportation project that may (but is not required to) be included in a financial plan for a metropolitan transportation plan, TIP, or STIP if reasonable additional resources were to become available. [23 CFR 450.104] If a project

was proposed to be noted in the STIP's financial plan for illustrative purposes, sufficient information would be required to describe the project, excepting the resources. [§ 450.216] Illustrative Project total cost estimates could be a range.

- Illustrative projects are indicated in eSTIP by clicking on the so named box on the bottom of the screen (in DRAFT Edit screen, or in the case of the Current STIP-- the Edit module.
- Changes to illustrative projects do not require amendments.
- However, these projects may be candidates to be added to the TIP if additional funding was made available. If and when the resources become available, MPOs will have to amend their Plan and the TIP/STIP to bring these projects into the fiscally constrained TIP, and maintain fiscal constraint. In this case, an amendment should be prepared in eSTIP.
- In non-attainment and maintenance areas, when MPOs amend their TIPs to add these projects into the fiscally constrained TIP, conformity may need to be re-established, depending on the exempt/non-exempt nature of the project(s).

Certifications and Resolutions

The MPOs will be expected to provide various resolutions or other documentation necessary for the STIP. These are due **by June 30, 2016** and include:

- Certification of the metropolitan planning process (Self-Certification resolution or a statement of a pending Federal Certification) - Please refer to [Appendix 1 - Self-Certification Instructions & Checklist for MPOs](#). Resolutions for self-certification and/or any self-certification statements must be signed.
- Resolution approving the TIP and affirming fiscal constraint, including fiscal constraint of the Plan, i.e. fiscally constrained TIP stemming from a fiscally constrained Plan, as appropriate.
- Air Quality Conformity (as applicable):
- MPO Conformity Determination (resolution) – Please review resolution language before approval with the Environmental Science Bureau and your respective MPO liaison. Draft language is available.
- Federal USDOT Conformity Determination/approval (letter)
- MPO statement certifying that MPO TIP is in the STIP (after MPO staff has reviewed draft STIP)
- MPO Metropolitan Transportation Plan (MTP) approval date.

Questions?

- Any questions on the STIP development should be directed to Lou Adams, the STIP development manager, at 518-457-8540, or raised at the conference calls.
- Any questions on the eSTIP application should be directed to Joseph McClean, eSTIP Administrator, at 518-485-8534.

- Any questions on certifications should be directed to your respective MPO liaison in the Statewide Planning Bureau at 518-457-2967.
- The next few pages identify expectations for deliverables and time frames.

Example of a Fiscal Constraint Table

Fund Source	FFY 2017		FFY 2018		FFY 2019		FFY 2020		FFY 2021		Total for STIP Years		Total for 5-Year TIP	
	Planning Targets	Programmed	Planning Targets	Programmed	Planning Targets	Programmed								
Fed Categories Fiscally Constrained														
NATIONAL HIGHWAY PERFORMANCE PROGRAM NHPP 0.8 ->														
CONGESTION MANAGEMENT AIR QUALITY *CMAQ -> 0.8														
HIGHWAY SAFETY IMPROVEMENT PROGRAM *HSIP (includes RURAL) -> 0.9														
HIGHWAY SAFETY IMPROVEMENT PROGRAM RAIL (INCL. HWY HAZ ELIM & HWY PROTECT) *HSIP RAIL -> 0.9														
SURFACE TRANSPORTATION PROGRAM *STP FLEX (includes STP RURAL, STP SM URBAN) -> 0.8														
STP LARGE URBAN *STP LG URBAN -> 0.8														
STP OFF-SYSTEM BRIDGE *STP-OFF -> 0.8														
TRANSPORTATION ALTERNATIVES PROGRAM TAP LG URBAN -> 0.8														
TRANSPORTATION ALTERNATIVES PROGRAM TAP SM URBAN -> 0.8														
TRANSPORTATION ALTERNATIVES PROGRAM TAP RURAL -> 0.8														
*FTA 5307														
*FTA 5309														
*FTA 5310														

	FFY 2017		FFY 2018		FFY 2019		FFY 2020		FFY 2021		Total for STIP Years		Total for 5-Year TIP	
	Programmed		Programmed		Programmed		Programmed		Programmed		Programmed		Programmed	
*FTA 5311														
FTA 5316														
FTA 5317														
FTA 5324 (Emergency Relief)														
FTA 5329 (Safety)														
FTA 5337														
FTA 5339														
Fed Categories - Minor Codes Not included in Fiscal Constraint														
FTA MISC														
FTA NA														
FTA 5309 NS														
FERRY BOAT PROGRAM														
*FBD -> 0.8														
RECREATIONAL TRAILS PROGRAM														
TRAILS														
*REC TRAILS -> 0.8														
*indicates existing fund code also in MAP-21														

APPENDIX 1 – Self-Certification Instructions & Checklist for MPOs

The Self-Certification Instructions were sent separately in the past, but since the MPOs' self-certifications are now part of the STIP submission, these are being included in the Technical & Process Guidance.

Self-Certification Instructions

MPO self-certifications are a required element of the NY STIP. Toward that end, MPO action on self-certification needs to be scheduled to coincide with TIP approval action. Self-certification documentation can be included in the TIP itself, if desired. MPOs are reminded to schedule Planning and Policy Committee approvals for self-certification no later than **June 30, 2016**. This will allow NYSDOT time to incorporate the signed resolutions into the draft STIP prior to its release for public review.

Self-certification documentation consists of a resolution accompanied by a narrative, both of which have been approved by the Policy Committee. The narrative should be based on information requested on the attached 'checklist'. This is the same checklist used previously though modified slightly with FHWA's concurrence.

As a result of recently completed or ongoing federal certification review processes, CDTC and GBNRTC are not required to self-certify this year. FHWA and FTA do require that these MPOs submit a letter to NYSDOT stating that fact. We also need this letter by **June 30th**.

NEW YORK STATE - METROPOLITAN PLANNING ORGANIZATION CERTIFICATION SUBJECTS CHECKLIST

A. Required Agreements:

Discuss status of necessary agreements. Please note status of the cooperative planning agreement between the MPO, NYSDOT and the transit operator to include provisions for cooperatively developing and sharing information related to the development of financial plans that support the metropolitan transportation plan and the TIP (CFR 450.314). This agreement also needs to address development of the annual listing of projects.

B. Planning/Technical:

1. UPWP - Discuss how the UPWP covers relevant planning activity and needs, including how the UPWP supports the Metropolitan Transportation Plan. Please note any progress or scheduling issues.
2. Metropolitan Transportation Plan – Mention the following MTP Items: Horizon Date, MPO Approval Date, conformity approval date, fiscal constraint, required elements and implementation. Discuss program level environmental mitigation activities and any current or planned consultation activities with Federal, State, and tribal, wildlife, land management, and regulatory agencies. Discuss current or planned activities for consultation with State and local agencies responsible for land use management, economic development, natural resources, environmental protection, conservation and historic preservation concerning the development of the Plan.
3. TIP– Mention the following items: MPO approval, conformity approval, fiscal constraint, consistency with MTP and any other relevant issues. The TIP needs to contain priority list of projects and strategies for 4 years; financial plan; and descriptions (type of work, termini, length, etc.) of each project in the TIP. Discuss status of consultation activities with agencies listed under “Metropolitan Transportation Plan” above.
4. Technical Areas – Take the opportunity to highlight any technical emphasis areas of interest to the MPO.
5. Special Considerations
 - a. Title VI: Discuss how Title VI concerns are addressed in the planning process and documented in the UPWP, TIP and Long Range Plan. These include Environmental Justice (EJ), Limited English Proficiency (LEP), Americans with Disabilities Act (ADA) activities and Disadvantaged Business Enterprise (DBE) activities.
 - i. Environmental Justice (EJ) - Describe the processes to assess the impacts of the transportation planning process, the LRPs and the TIPS on the EJ target populations. This may include the utilization of GIS tools to illustrate EJ populations in relation to location of transportation projects.
 - ii. Limited English Proficiency (LEP) - Please discuss any program or study level activities the MPO may have undertaken to identify and/or address the needs of LEP populations in the metropolitan area and any outreach activities.
 - iii. American with Disabilities Act (ADA) - Describe the processes or information used to support those assurances provided on ADA compliance [§450.334(a)(7)]. Information should be given on any ADA-related efforts for the MPOs' planning activities including outreach, support and/or

coordination with transit operators or other groups. Discuss efforts to make communications accessible and available to persons with impaired vision and hearing. Discuss efforts to hold MPO meetings in ADA accessible locations. Discuss any efforts to provide ADA Transition Plan assistance to members as applicable.

- iv. Disadvantaged Business Enterprise (DBE) - Indicate if Semi-annual DBE reports (Commitments/Awards and Payments) are submitted and if the MPO has signed the Hosts' DBE Plan or NYSDOT's DBE Plan.
- b. Private Operators: Discuss how private operators are accommodated.
- c. Planning Factors: Discuss how these are considered in planning process and products. Discuss any new activities pursuant to security identified as a separate planning factor. Discuss any activities promoting consistency between transportation improvements and State and local planned growth and economic development patterns.
- d. Congestion Management Process (CMP): Discuss the status of CMP and how it is used.
- e. Participation Plan: Discuss the status of public involvement/participation plan procedures and a periodic evaluation process to determine their effectiveness. Discuss how visualization techniques will be employed for Plans and TIPs. Discuss status of making public information available in electronically accessible formats such as the World Wide Web. Discuss incorporation of consultations which are listed under "Transportation Plan" and "TIP" in this document. Please address coverage in the participation plan of users of pedestrian walkways, bicycle transportation facilities, and the persons with disabilities.
- f. Coordinated Public Transit-Human Service Agency Transportation Plans: Discuss the MPO's coordinated planning process including development of or implementation of these Plans.

C. Administrative Management

1. Progress Report	Indicate if reports are submitted to FHWA/FTA on time
2. Bills	Indicate if bills are submitted on time and paid on time
3. Audits	Indicate if audits are completed in a timely manner and if any identified deficiencies are corrected.
4. Annual Program	Indicate if the annual program is closed out in a timely manner
5. Budget	Indicate if budgets are kept current and amendments processed as appropriate.
6. Consultant Selection	Discuss MPO or host consultant selection procedures. Discuss DBE provisions.

7. Central Staff/Host Relations	Discuss any staffing or recruiting issues. Indicate if staff has the political support it needs for effective accomplishments.
8. Decision Making	Indicate if committees are adequately structured and staffed. Are reasonable decisions reached in a timely fashion?
9. Governance	Are foundation documents for the MPO such as MOUs, operating procedures and financial/staffing plans reviewed and updated periodically to ensure that they are still relevant to current MPO operations? Do members and host understand and execute their roles in a way that supports independent and unbiased work by MPO staff and sound MPO decisions? Discuss status of working relationships with other governments, i.e. local, international and tribal governments.
10. Procurement	<p>MPOs need to address an extensive list of requirements applicable to FTA recipients and their FTA assisted procurements in a transparent manner with appropriate documentation. Have the MPO and their subrecipients:</p> <ol style="list-style-type: none"> 1. Complied with FTA Circular Guidance 4220.1F, Third Party Contracting Requirements (http://www.fta.dot.gov/documents/FTA_Circular_4220.1F.pdf) and the most recent FTA Master Agreement, 10/1/2014, http://www.fta.dot.gov/documents/21-Master.pdf 2. Maintained a written history of all FTA related procurements 3. Incorporated clauses and certifications for eligible FTA assistance program funding

STIP Development Checklist

Deliverables by Participant

Regional Offices- Deliverables to MO: Joseph McClean

- Non-MPO (rural) Federal-Aid project List
 - Includes regionally significant non-federally funded and/or projects requiring federal approvals
- Provide narrative or documentation of any changes of processes for public involvement or consultation with rural officials and Tribal governments for STIP narrative supporting materials.
- MPO & Rural Project Lists
 - Includes regionally significant and/or projects requiring federal approvals
- Fiscal Constraint Table (See attached example.)
- eSTIP data entry of project lists (Instructions are in the reference guides and Help modules in the application. Training is available upon request from the NYSDOT M.O.)
- Region handles public review and press releases based on information from PIO
 - NYSDOT Main Office will develop generic statewide information
 - NYSDOT Regional Offices may distribute generic statewide information and supplement it with their own regionally specific information.
- MPO resolutions approving the TIP and if in a nonattainment area, making/approving the conformity determination

MPO Deliverables to NYSDOT Regional Office

- Fiscal Constraint Table (See attached example.)
- Resolutions
 - Approving the TIP by the MPO
 - Approving/Making the Conformity Determination
 - by the MPO and
 - by FHWA & FTA
- STIP Project Lists to NYSDOT Regional Office
- STIP Project List Format (eSTIP format & provided by NYSDOT MO.)
- Project description information should include sufficient project information on fund source eligibility
- Certifying that the MPO TIP is contained in the STIP (Send letter to Regional Office with copy to Statewide Planning Bureau.)

MPO Deliverables to NYSDOT Statewide Planning Bureau/ MPO liaison

- ❑ eSTIP data entry of project list, if appropriate and agreed to by Region & MPO
- ❑ Certifications of the Planning Process to Statewide Planning Bureau MPO liaison.
 - See Certification Checklist in Appendix 1
 - Check with NYSDOT SPB MPO liaison if any questions on that checklist.
- ❑ Air Quality Conformity Determination: copy Statewide Planning Bureau for Appendix C.

Inflation Assumptions

Official Inflation Rates for PSS Base Year 2015

**Inflation Assumptions
 Provided by Lou Adams and Approved by Ron Epstein, CFO
 January 26, 2015**

The following simple rates of inflation by State Fiscal Year (SFY) (April to March) are the best available estimates of overall price trends for the transport public works sector in New York State for the programming period:

Annual Period	Simple Year Over Year Inflation
SFY 15-16	0.00%
SFY 16-17	2.00%
SFY 17-18	4.00%
SFY 18-19	6.00%
SFY 19-20	8.00%
SFY 20-21	10.00%
SFY 21-22	12.00%
SFY 22-23 thru 29-30	14.00%

The following multiplication factors reflect the simple rates of inflation stated above. They are used to convert SFY 2015 un-inflated cost estimates (in the Program Support System, Bridge Model, or Pavement Model) to be year of expenditure (YOE) inflated cost estimates (for the TIP, STIP and Governor's Program), or vice versa:

Year of Expenditure	2015 \$ to YOE \$	YOE \$ to 2015\$
SFY 15-16	1.0000	1.0000
SFY 16-17	1.0200	0.9804
SFY 17-18	1.0400	0.9615
SFY 18-19	1.0600	0.9434
SFY 19-20	1.0800	0.9259
SFY 20-21	1.1000	0.9091
SFY 21-22	1.1200	0.8929
SFY 22-23+	1.1400	0.8772

Contact List

Joseph McClean Joseph.McClean@dot.ny.gov	eSTIP Administrator, NYSDOT Program Analysis Section in Program Management Bureau	518-485-8534
Lou Adams Lou.Adams@dot.ny.gov	STIP Development Manager, NYSDOT Bureau	518-457-8540
Patrick Lentlie Patrick.Lentlie@dot.ny.gov	Environmental Science Bureau	518-457-0212
MPO Liaisons	Statewide Planning Bureau	518-457-2967
David Rettig Dave.Rettig@dot.ny.gov	Office of Regional Planning and Program Coordination	518-485-1382
Tom Vaughan Tom.Vaughan@dot.ny.gov	Public Transportation Bureau	518-457-8335
James Flynn James.Flynn@dot.ny.gov	Program Management Bureau	518-457-4086
Anna Price Anna.Price@dot.gov	Federal Highway Administration, NY Division	518-431-8858
Maria Chau Maria.Chau@dot.gov	Federal Highway Administration, NY Division	518-431-8878
Nancy Danzig Nancy.Danzig@dot.gov	Federal Transit Administration, Region II	212-668-2170