
Chapter 5 TRANSPORTATION IMPROVEMENT PROGRAM

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5.1 PURPOSE

This chapter provides guidance to departmental staff for the review and processing of the Transportation Improvement Programs (TIPs) of Metropolitan Planning Organizations (MPOs). This chapter also details the process for amending the TIP.

5.2 AUTHORITY

23 United States Code (U.S.C.) 134 (j) and (k)(3) and (4) (Transportation Improvement Program)

23 U.S.C. 135 and 139

23 U.S.C. 204 (roads on federal lands to be included in the TIP where applicable)

49 U.S.C. 5304 (Transportation Improvement Program)

23 Code of Federal Regulations (C.F.R.) Part 450 Sections 320, 324, 326, 328, 330, and 332 (Transportation Improvement Program)

23 C.F.R. 500.109, 500.110, and 500.111 (Congestion Management System, Public Transportation Management System, and Intermodal Management System, respectively)

339.175(6) and (8), Florida Statutes (F.S.). (Transportation Improvement Program)

339.135(4)(c) and (4)(d), F.S. (Work Program)

427.015(1), Florida Statutes (Transportation Disadvantaged)

Letter from the Governor of the State of Florida to the Federal Highway Administration dated June 8, 2011, delegating the authority to review and approve MPO TIPs and TIP amendments to the Secretary of the Florida Department of Transportation

5.3 SCOPE

This chapter is for the use of departmental planning, program development and environmental management personnel in the Districts and the Central Office. It may be used by MPO staff as a guideline for the requirements of the TIP.

5.4 REFERENCES

Department Work Program Instructions

http://www.dot.state.fl.us/programdevelopmentoffice/Development/WP_instructions.shtm

Department Efficient Transportation Decision Making (ETDM) Manual, March 2006

<https://etdmpub.fl.a-etat.org/est/>

Sociocultural Effects Evaluations Handbook for the ETDM Process, November, 2005

<http://www.dot.state.fl.us/emo/pubs/sce/sce.htm>

5.5 TIP LEGAL REQUIREMENTS

The MPO is required by **23 U.S.C. 134(j)** to develop a Transportation Improvement Program (TIP). The Code of Federal Regulations define the TIP as a “prioritized listing/program of transportation projects covering a period of four years that is developed and formally adopted by an MPO as part of the metropolitan transportation planning process, consistent with the metropolitan transportation plan, and required for projects to be eligible for funding under title **23 U.S.C. and title 49 U.S.C. Chapter 53. [23 C.F.R. 450.104]** State law requires the TIP to cover a period of five years, not four. **[339.175(8)(c)(1), F.S.]** The TIP is developed in cooperation with the Department and public transit operators. **[23 C.F.R. 450.324(a)]**

5.5.1 TIP Schedule

By state law, the TIP is updated annually and approved by the MPO and the Governor or the Governor’s delegate. **[23 U.S.C. 134(j)(1)(D); 23 C.F.R. 450.324(a); 339.175(8)(a) and (f), F.S.]** The schedule for the development of the TIP must be compatible with the schedule for the development of the Department’s Work Program and the State Transportation Improvement Program (STIP) since the TIP is incorporated into the STIP. **[23 U.S.C. 135(g)(4)(D)(i); 23 C.F.R. 450.216(b)]** By September 30, the Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) make a joint finding that each TIP is

consistent with the long range transportation plan. They base that finding on the self-certification statement submitted by the State and the MPO, on their review of the LRTP, and on other reviews that they deem necessary. [23 C.F.R. 450.328(a)] **Figure 5A** on page 5-11 shows the key deadlines for development of the TIP/STIP.

5.5.2 Public Involvement

SAFETEA-LU requires that the MPO develop and use a documented public participation plan. [23 USC 134(i)(5)(B); 23 C.F.R. 450.316(a)]. In addition, the MPO shall periodically review the effectiveness of the procedures and strategies contained in the public participation plan [23 C.F.R. 450.316(a)(1)(x)]. The participation plan defines the process for public input into the TIP.

The MPO shall provide all interested parties reasonable opportunity to comment on the TIP. In addition, in nonattainment area Transportation Management Areas (TMAs), the MPO shall provide at least one formal public meeting during the TIP development process, which should be addressed through the participation plan. [23 CFR 450.324(b)] Those “interested parties” include citizens, affected public agencies, representatives of public transportation employees, freight shippers, providers of freight transportation services, private providers of transportation, representatives of users of public transportation, pedestrian walkways, bicycle transportation facilities, and the representatives of the disabled. [23 C.F.R. 450.316(a)] When the Metropolitan Planning Area (MPA) includes Indian Tribal Lands, the MPO shall appropriately involve Indian Tribal Governments in the process. In addition, if the MPA includes Federal Public Lands, the MPO shall appropriately involve Federal Land Management Agencies in the process.

In addition the MPO shall do the following when developing the TIP.

1. Provide adequate and timely notice about public participation activities;
2. Provide opportunity to comment at key decision points;
3. Provide reasonable access to information about transportation issues and processes;
4. Use visualization techniques to describe the TIP;
5. Make public information available in electronic formats such as the World Wide Web;
6. Hold public meetings at convenient times and locations;
7. Demonstrate explicit consideration and response to public input;
8. Seek out and consider the needs of those traditionally underserved by existing transportation systems such as low-income and minority households;

9. Provide additional opportunity for public comment if the Final TIP differs significantly from the Draft TIP;
10. Provide a summary, analysis, and report on the comments received on the TIP if there were a significant number of comments received;
11. Consult with state and local agencies that are responsible for other types of planning within the metropolitan area (such as planned growth, economic development, environmental protection, airport operations, and freight movements);
12. When the MPA includes Indian Tribal lands, the MPO shall appropriately involve the Indian Tribal government(s); and
13. When the MPA includes Federal public lands, the MPO shall appropriately involve the Federal land management agencies.

5.5.3 Financial Constraint

The MPO must demonstrate that the TIP is financially constrained by year and maintain that financial constraint. **[23 C.F.R. 450.324(i)]** It is highly recommended that the TIP include a table(s) that compares the funding sources and amounts by year to the total project costs by year. The TIP shall include a financial plan that demonstrates how the approved TIP can be implemented, indicates resources from public and private sources that are reasonably expected to be made available to carry out the TIP, and recommends any additional financing strategies for needed projects and programs. **[23 C.F.R. 450.324(h)]** When developing the TIP, the MPO, State, and public transportation operator(s) shall cooperatively develop estimates of funds that are reasonably expected to be available. **[23 C.F.R. 450.324(h)]**

The TIP shall include a project or phase of a project only if full funding can reasonably be anticipated for the time period contemplated to complete the project. **[23 C.F.R. 450.324(i)]** Clarification on this subject was provided by Bob Romig in a January 5, 2007 memo to the District Planning Managers. **The TIP may include projects that are not fully funded in the four federally recognized years of the TIP so long as that project or project phase is fully funded within the 20-year time horizon of the Long Range Transportation Plan.**

5.5.4 Project Selection Process

The way projects are selected for the TIP depends on whether the metropolitan area has a population of 200,000 or greater, i.e., whether the area is a Transportation Management Area (TMA). In non-TMAs, the State and/or public transportation operator(s) select the projects using funds from Title 23 funds and Title 49, Chapter 53 with the exception of Federal Lands Highway program projects in cooperation with the MPO. Those projects will be selected by the appropriate

federal agencies in cooperation with the Department and the MPO and must be included in the TIP. [\[23 C.F.R. 450.330\(b\); 23 U.S.C. 204\(a\)\(4\)\(A\)\]](#)

In a TMA, the MPO selects all Title 23 and FTA-funded projects for implementation in consultation with the Department and transit operators (except projects on the National Highway System and projects funded under the bridge and interstate maintenance programs which are selected by the Department in cooperation with the MPO.) Federal Lands Highway program projects are selected by the respective federal agency in cooperation with the MPO and the Department. [\[23 C.F.R. 450.330\(c\)\]](#) The Department funds projects in the Work Program based on the priorities set by the MPO.

5.5.5 Projects to be Included in the TIP

The TIP must include:

- (1) Capital and non-capital surface transportation projects proposed for funding under Title 23 and Title 49 Chapter 53 (including transportation enhancements, Federal Lands Highway projects, safety projects included in the Strategic Highway Safety Plan, trail projects, pedestrian walkways, and bicycle facilities). [\[23 C.F.R. 450.324\(c\)\]](#)
- (2) All regionally significant projects requiring an action by FHWA or FTA regardless of funding source. [\[23 C.F.R. 450.324\(d\)\]](#)
- (3) For information purposes, all regionally significant projects proposed to be funded with Federal funds other than those administered by the FHWA or FTA, as well as all regionally significant projects to be funded with non-Federal funds. [\[23 C.F.R. 450.324\(d\)\]](#)
- (4) In areas with Americans with Disabilities Act required paratransit and key station plans, identification of those projects that will implement these plans. [\[23 C.F.R. 450.324\(e\)\(7\)\]](#)
- (5) Only projects consistent with the LRTP. [\[23 C.F.R. 450.324\(g\) and 339.175\(8\)\(c\)\(2\), F.S.\]](#)

According to [23 C.F.R. 450.324\(c\)](#), the following types of projects may be included in the TIP but are not required.

- (1) Safety projects funded under [23 U.S.C. 402](#) and [49 U.S.C. 31102](#);
- (2) Metropolitan planning projects funded under [23 U.S.C. 104\(f\)](#), [49 U.S.C. 5305\(d\)](#), and [49 U.S.C. 5339](#);

-
- (3) State planning and research projects funded under **23 U.S.C. 505 and 49 U.S.C. 5305(e)**;
 - (4) State planning and research projects funded with National Highway System, Surface Transportation Program, and/or Equity Bonus funds;
 - (5) Emergency relief projects (except those involving substantial functional, locational, or capacity changes);
 - (6) National planning and research projects funded under **49 U.S.C. 5314**;
 - (7) Project management oversight projects funded under **49 U.S.C. 5327**.

Furthermore, the MPO may group projects that are not considered to be of appropriate scale for individual identification in a given program year. **[23 C.F.R. 450.324(f)]**

5.6 LIST OF PRIORITY PROJECTS (LOPP)

The MPO is required to develop a list of project priorities in coordination with District planning staff and submit the list to the District by **October 1** of each year, though the District and the MPO may agree in writing to vary this submittal date. **[339.175 (8)(a) and (b), F.S.]**

The MPO's list of priority projects must be formally reviewed by the technical and citizens' advisory committees and approved by the MPO before being transmitted to the District. **[339.175 (8)(b), F.S.]** In addition, all major capacity projects on the priority list, with the exception of Strategic Intermodal System/Florida Intrastate Highway System (SIS) and bridge replacement projects, should be screened under the ETDM process (programming screen) prior to being transmitted.¹ MPOs are encouraged to screen state and locally funded projects not on the State Highway System. The ETDM review period is 45 calendar days and may be extended an additional 15 days based upon a written request. MPOs should build sufficient time into their existing process to conduct programming screen before approving the priority list. Refer to the **[ETDM Manual](#)** for specific information about the ETDM programming screen which can be accessed at: **<http://www.dot.state.fl.us/emo/pubs/etdm/etdmmanual.shtm>**.

The ETDM Programming Screen provides for continuous coordination with the agencies. Resource and community agencies can provide comments regarding

¹ SIS and bridge replacement projects are screened by the Department.

priority transportation projects for the TIP. These agency comments are documented in the Programming Summary Report, available on the Public Access Website, and can be used to supplement TIP public involvement activities. The public access website is available at: <http://etdmpub.fl.a-etat.org>

Pursuant to the ETDM process, MPOs should also review sociocultural effects (SCE) comments about proposed priority projects. The SCE commentary and analyses should be updated as needed and address any unresolved SCE issues during the Programming Screen phase. This may include identifying technical studies needed to address certain issues. (Refer to the [Sociocultural Effects Evaluations Handbook for the ETDM Process](#) for specific information about conducting the SCE Evaluations.) The SCE Handbook can be accessed at: <http://www.dot.state.fl.us/emo/pubs/sce/sce1.shtm>

The intent of the ETDM programming screen is to identify significant environmental and social issues pertaining to priority projects and to develop a methodology for focused technical studies to address those potentially significant issues, as needed. Examples of significant issues would include a project that does not conform to a resource agency's statutory requirements and will not be permitted or a project that has a severe negative impact on the affected community.

TIP priority projects are included in the Work Program to the maximum extent feasible (see the [Department's Work Program Instructions](#) for a description of the state prioritization and project selection criteria). The Work Program Instructions can be accessed at: http://www.dot.state.fl.us/programdevelopmentoffice/Development/WP_instructions.shtm. Any significant disputes identified during the ETDM programming screen will be resolved prior to adding the priority project to the Work Program. The District will coordinate with the MPO to resolve any significant issues pertaining to projects on the MPO priority list pursuant to the ETDM dispute resolution process. (Refer to the [ETDM Manual](#) for a description of the dispute resolution process.)

The District's review of the MPO's list of priority projects should ascertain that, at a minimum, it considers the following: the MPO's approved long-range transportation plan, the Strategic Intermodal System Plan, the priorities developed pursuant to the Transportation Regional Incentive Program (TRIP), the results of the transportation management systems, and the MPO's Public Involvement Plan. [\[339.175\(8\)\(b\), F.S.\]](#) Furthermore, the District should make sure that the projects in the priority list have been screened under the ETDM programming screen process.

An overview of the development of the TIP from the development of the list of priority projects to ultimate approval and incorporation into the State Transportation Improvement Program is depicted in [Figure 5A](#) on page 5-11.

5.7 YEARS TO BE COVERED IN THE TIP

Under Federal law, the TIP must cover a 4-year period. [23 U.S.C. 134 (j)(2)(A)]. Federal regulations allow a TIP to cover more than the required four years. FHWA and FTA consider the fifth year of a TIP as informational. [23 C.F.R. 450.324(a)] and Florida law [339.175(8)(c)(3), F.S.] requires a TIP to cover a five year period meaning the next fiscal year and four subsequent fiscal years listed by state fiscal year. Florida law also requires the TIP to include a list of locally and privately funded projects for informational purposes [339.175(8)(c)(3), F.S.]. The consolidation of both federal and state requirements into a single project listing satisfies the federal requirement that regionally significant transportation projects be listed in the TIP even if no federal funding is involved.

5.8 RELATIONSHIP OF THE LRTP TO THE TIP/STIP

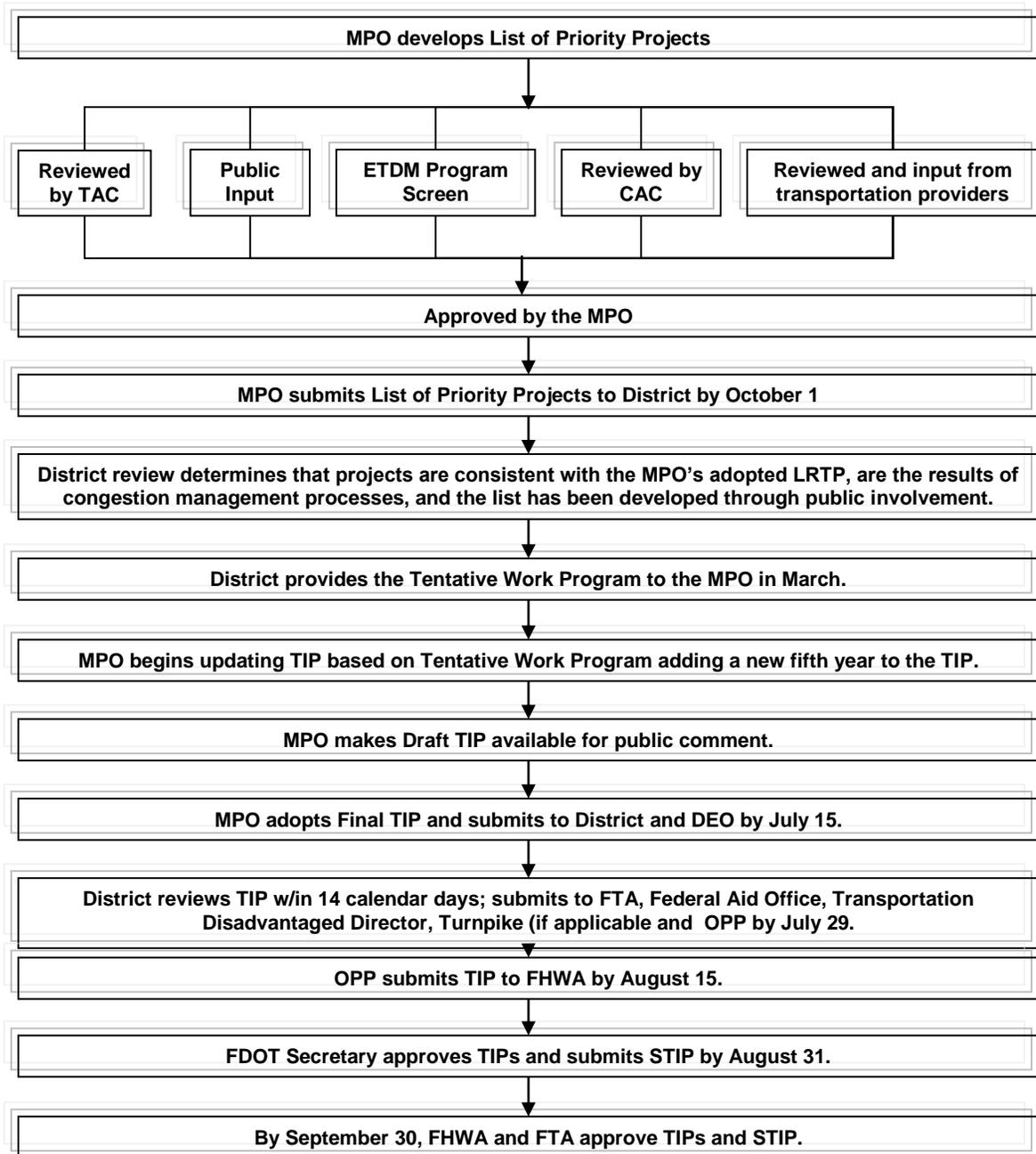
There must be an approved LRTP or a properly amended LRTP at the time the MPO submits the annual TIP to the Department for the Secretary's approval. The TIP must be incorporated into the STIP to ensure continued federal funding for the metropolitan area. The Secretary cannot approve a TIP for inclusion in the STIP that does not come from a currently approved LRTP or a TIP that includes projects that have not been properly amended into the LRTP and approved by the MPO.

5.8.1 TIP/STIP Inclusion and NEPA Approval

For an environmental document to be approved by FHWA the TIP/STIP funding for the "entire project length and termini" must be consistent with what is described in the LRTP. The "project" includes the entire project length (e.g., 30 miles) studied in the PD&E phase. If the project is to move forward in segments, then the first segment (e.g., a 10 mile segment) must be funded for design in the TIP/STIP before the Environmental Document can be approved. If the funding for the design of the project is outside of the current adopted TIP/STIP at the time the Environmental Document is complete, there should be a written explanation in the current adopted TIP/STIP indicating the design for the project falls outside the current TIP/STIP, indicating when funding will be in the TIP/STIP, and explaining what the source of funding is expected to be. This should be discussed on a case by case basis with FHWA. The remaining phases for the segment(s), i.e., Right of Way and Construction, would be discussed in the TIP/STIP for information purposes, including when they are generally expected to be funded. Detailed guidance is provided at: <http://www.dot.state.fl.us/planning/policy/metrosupport/> Additional guidance

is also provided in the Federal Aid Technical Bulletin 08-02 which can be accessed at: <http://infonet/programdevelopmentoffice/federal/fedtech.shtm>

FIGURE 5A TIP DEVELOPMENT



5.9 FORMAT AND CONTENT OF THE TIP

While no format for the TIP is specified in federal or state laws or rules, the following format has been found to meet legal requirements and be acceptable to the FHWA and the FTA.

5.9.1 Introductory Materials

- (1) The **Cover** or **Title Page** should include the official MPO name; state fiscal years covered; and the MPO Board approval date and/or subsequent revision dates.
- (2) The **table of contents** should include the title of each section and the beginning page number.
- (3) Each TIP will include an **endorsement** stating the date of official MPO approval and that the TIP has been developed consistent with federal and state requirements. The endorsement may be a copy of the MPO resolution approving the TIP or a signature block on the document cover page signed by the MPO Chairperson. In maintenance or non-attainment areas, the CDR must be approved prior to the TIP approval by the MPO.
- (4) There should be a list of **definitions**, abbreviations, funding and phase codes, and acronyms used within the text.

5.9.2 Narrative

The narrative should include a description of the following subjects.

- (1) The narrative should begin with a statement that the **purpose** of the TIP is to provide a prioritized listing of transportation projects covering a period of four years that is consistent with the metropolitan long-range transportation plan. It should be indicated that the TIP contains all transportation projects within the designated metropolitan area to be funded by **Title 23** and **Title 49** funds and all regionally significant projects regardless of funding source.
- (2) The narrative should discuss the TIP's financial Plan.
 - (a) Explain that the TIP is financially constrained for each year.
 - (b) Provide a financial plan that demonstrates how the TIP can be implemented. The plan needs to indicate the governmental

public, and private financial resources that are reasonably expected to be available to accomplish the program. Innovative financing techniques that may be used to fund needed projects and programs should be identified. Additional projects that would be included in the approved TIP if reasonable additional resources beyond those identified in the financial plan were available may be identified pursuant to **339.175(8)(c)(3), F.S.**

- (c) State that the TIP is developed by the MPO in cooperation with the State and the transit operator who will provide the MPO with estimates of available federal and state funds in order for the MPO to develop the financial plan. **[23 C.F.R. 450.324(a) and 339.175(8), F.S.]**
- (3) Project Selection:
- Describe the project selection process and state that it is consistent with the federal requirements in **23 C.F.R. 450.330(b)** for non-TMA MPOs or **23 C.F.R. 450.330(c)** for TMA MPOs.
- (4) Consistency with Other Plans:
- Describe how projects are consistent with the MPO's LRTP and, to the maximum extent feasible, with port and aviation master plans, transit development plans, and the approved local government comprehensive plans for those local governments located within the metropolitan area. When possible, the TIP should cross-reference projects with the corresponding LRTP project.
- (5) Project Priority Statement:
- The TIP should identify the MPO's criteria and process for prioritizing implementation of the transportation plan elements for inclusion in the TIP and explain any changes in priorities from the previous TIP. **[23 C.F.R. 450.324(l)(1)]** The MPO's TIP project priorities must be consistent with the LRTP.
- (6) Implemented Projects:
- FDOT produces the annual listing of projects for which federal funds have been obligated in the preceding year. The MPO should either include this list in the TIP or state in the TIP that it has been published and otherwise made available for public review **[23 USC 134 (j)(7)(B) and 339.175(8)(h), F.S.]**

(7) Public Involvement:

This section should document the MPO's activities to seek public comment and how the draft TIP was made available for public review [23 C.F.R. 450.316 and 23 C.F.R. 450.324(b)]. The MPO should document the techniques used to reach citizens, such as internet access to documents, flyers, meeting notices, billboards, media outreach, and other ways to seek the involvement of citizens and groups. ETDM should be used to document all public involvement activities.

(8) Certification:

This section includes the date the current annual Department and MPO joint certification was completed. MPOs within TMAs should also include the date of the last FHWA/FTA certification and, if known, the anticipated date of the next FHWA/FTA certification.

(9) Congestion Management Process:

Transportation Management Areas (urbanized areas with populations over 200,000) are required by 23 USC 134 (k)(3) to have a Congestion Management Process that provides for the effective management and operation of new and existing facilities through the use of travel demand reduction and operational management strategies. This section of the TIP includes a discussion of the congestion management process that is in place at the MPO.

(10) Transportation Disadvantaged (TD)

This section of the TIP relates to the Transportation Disadvantaged services developed pursuant to 427.015(1) F.S. A description of costs and revenues from TD services should be included as well as those improvements funded using such funds.

5.9.3 Detailed Project Listings for Five Fiscal Years

The TIP shall include, for each project or phase (e.g. preliminary engineering, environment/NEPA, right-of-way, design or construction) the following [23 CFR 450.324 (e)]:

- (1) Sufficient descriptive material (i.e., type of work, termini, and length) to identify the project or phase
- (2) Financial Project Number (FPN);
- (3) FDOT Work Program fund code;

-
- (4) Estimated total project cost; ;
 - (5) Year of anticipated funding;
 - (6) Summary tables showing the financial constraint of the program.
 - (7) Either a page number or identification number where it can be found in the LRTP;
 - (8) Category of Federal funds and source(s) of non-Federal funds; and,
 - (9) The FTA section number should be indicated for FTA projects. This is accomplished by putting the Section number in the description line of the work program for the project. The TIP is a download of the work program.

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

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

5.10 DISTRICT TIP REVIEW CRITERIA

Upon receipt of the TIP from the MPO, the District must review the TIP within **14 calendar days** from the date of receipt and provide its comments and recommendations to the Office of Policy Planning. District review should assess the TIP's consistency with:

- (1) Federal and state laws and regulations including [23 C.F.R. 450](#), and [339.175, F.S.](#), and the authorities listed in this chapter.
- (2) The Department's Tentative Work Program including changes in priorities, phasing, project cost estimates and funding resources and categories as required by [23 C.F.R. 450.324](#) and [339.175\(8\), F.S.](#)
- (3) The LRTP's priorities, projects, Funding and policy, goals and objectives as required by [23 C.F.R. 450.324\(g\)](#) and [339.175\(8\)\(c\)\(5\), F.S.](#)

- (4) All of the federal and state requirements listed in this chapter and in a format that can be readily understood.

District review should verify:

- (1) Estimates of total costs and revenues for the program period as required by **23 C.F.R. 450.324(h) and Subsection 339.175(8) F.S.**
- (2) The need for a transit project or service is identified in the Transit Development Program (TDP).

If the District cannot recommend the TIP approval based on federal and state law or regulation, the District should coordinate with the MPO to resolve deficiencies and issues before forwarding its comments and the TIP submittal package to the Office of Policy Planning.

5.11 TIP SUBMITTAL AND REVIEW PROCESS

The MPO should make the draft TIP available to all reviewing agencies and affected parties and provide adequate opportunity to review and comment on the draft TIP at the time it is circulated for public review.

Once the MPO approves the TIP, the final TIP must be circulated for review and comment to a variety of local, state, and federal agencies. **Figure 5B** details the distribution of the TIP document and the number of copies required. Please see **Figure 5B** for recommended format for the submittal.

5.11.1 Review by the Department of Community Affairs

The MPO must submit the approved TIP to the Department of Economic Opportunity (DEO) at least **45 days** before the Department submits the STIP to the FHWA and the FTA for approval. This submittal date may vary if the DEO, the Department and the MPO agree in writing to an alternative submittal date. **[339.175(8)(f), F.S.]**

The DEO will review the TIP for consistency with the approved comprehensive plans of affected local governments. The projects and project phases listed in the TIP must be consistent with the approved local government comprehensive plans of the units of local government located within the MPO's jurisdiction to the maximum extent feasible **[339.175(8)(c)(6), F.S.]**. The DEO will identify projects that are inconsistent with local comprehensive plans and notify the MPO. The

DEO forwards copies of its findings to the Florida Transportation Commission and the Department. **[339.175(8)(g), F.S.]** If the inconsistent project(s) is in the first

year of the TIP, the District coordinates with the MPO to resolve the issue prior to a request for project authorization. If the inconsistent project(s) is in the second year or beyond, the MPO is required to resolve the issue prior to the submittal of the next TIP.

5.11.2 Submittal to the District

MPOs must submit the approved TIP to the District and other parties shown in **Figure 5B** no later than **July 15**. The District will review the TIP and prepare written comments within **14 calendar days** of receipt from the MPO (no later than **August 1**). The District will transmit its written comments and the required number of TIP submittal packages to the Office of Policy Planning.

FIGURE 5B TIP DISTRIBUTION TABLE

| Distributed by the MPO | # of Copies |
|--|-------------------------------|
| Local Legislative Delegation | Determined by the MPO |
| Matthew R. Preston Planning Analyst, Bureau of Community Planning Department of Economic Opportunity, Caldwell Building 107 East Madison Street, MSC 160 Tallahassee, FL 32399 | 1 CDs are acceptable |
| If the TIP includes projects that may impact airport facilities: Federal Aviation Administration Airport District Office Program Manager: Bill Farris 5950 Hazeltine National Drive, Suite 400, Orlando, FL 32822 | 1 CDs are acceptable |
| FDOT District | As agreed by district and MPO |
| Distributed by District | # of Copies |
| Metropolitan Planning Coordinator Office of Policy Planning 605 Suwannee St., Mail Station 28 Tallahassee, FL 32399-0450 | 3 1 CD, 2 Hardcopy |
| Federal Aid Program Manager Florida Department of Transportation 605 Suwannee Street, Mail Station 07 Tallahassee, FL 32399-0450 | 1 CDs are acceptable |
| Transportation Disadvantaged Director 605 Suwannee Street, Mail Station 49 Tallahassee, FL 32399-0450 | 1 |
| For MPOs with Turnpike Projects: Florida Turnpike Planning Manager Building 5315 P.O. Box 613069, Ocoee, FL 34761 | 1 CDs are acceptable |
| Federal Transit Administration Attn: Planning Director, Jennifer Hibbert 230 Peachtree Street, NW Suite 800 Atlanta, GA 30303 | 1 CDs are acceptable |
| Distributed by OPP | # of Copies |
| Division Administrator Federal Highway Administration | 2 |

5.11.3 Coordination by the Office of Policy Planning

The Office of Policy Planning will determine the completeness of the TIP submittal and deliver the TIP submittal package to the Florida Division Office of the FHWA. OPP will accomplish its coordination activities within **14 calendar days** of receipt of the TIP or no later than **August 15**.

5.11.4 Review by Federal Agencies

The Office of Policy Planning will provide two copies of each TIP to the FHWA's Florida Division Office, OPP will request the FHWA and the FTA review the TIPs and provide written comments within **30 calendar days** of receipt. Once the FHWA Florida Division Office provides the Office of Policy Planning written comments on the TIPs, the Office of Policy Planning prepares all TIPs for approval by the Secretary and incorporation into the State Transportation Improvement Program (STIP) by reference. The approval of the STIP by **October 1** ensures continued federal-aid funding for projects and programs.

If the FHWA or the FTA find any TIP to be deficient or incomplete, the Office of Policy Planning will be notified. OPP will then notify the District. The District will coordinate with the MPO to resolve issues as soon as possible since federal-aid funding cannot be approved until the TIP is approved and incorporated into the STIP by **October 1** of each year. Upon resolution of deficiencies, the MPO resubmits the corrected TIP to the District. The District so advises the Office of Policy Planning. OPP resubmits the TIP submittal package to the FHWA Florida Division Office and upon confirmation that issues have been resolved to the satisfaction of the FHWA and the FTA, the OPP forwards the TIP to the Secretary for approval and incorporation into the STIP.

5.11.5 Approval by the Secretary of Transportation

The Secretary of the Florida Department of Transportation has been designated by the Governor to approve TIPs. The Secretary must do so by **August 31** of each year to allow adequate time for the review of the STIP by the FHWA and the FTA so that federal approval of the STIP can occur by the beginning of the federal fiscal year on **October 1**.

5.12 FEDERAL AUTHORIZATION REQUESTS

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

Federal Authorization Requests are prepared by the District Federal Aid Coordinator (or by various Central Office Program Coordinators) and submitted electronically to the Department's Federal Aid Office. The request is reviewed for compliance with the required criteria and transmitted electronically to the FHWA for approval.

Generally, a properly filed federal authorization request will be approved by the FHWA within **two weeks** of submission by the Federal Aid Office. However, if the

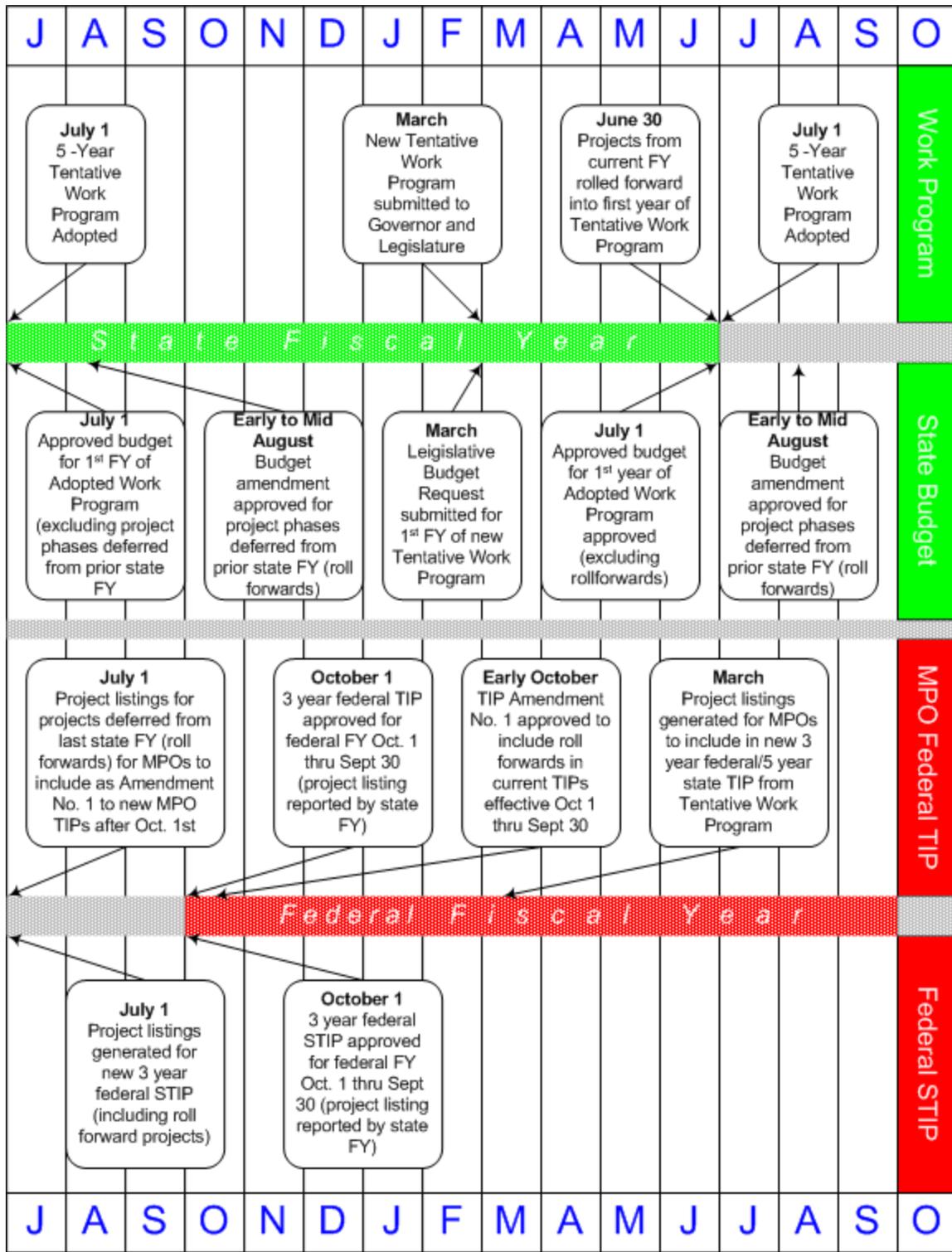
project is not properly listed in the TIP/STIP, then a TIP amendment requiring MPO board action may be required to obtain the federal authorization. This could delay commencement of work by weeks if not months. A STIP amendment request generally needs to accompany the TIP amendment.

Prior to submitting a Federal Authorization Request to the Federal Aid Office, District staff (e.g. Planning, Work Program, Estimates, Right of Way) should verify that the project is properly listed in the TIP/STIP. This verification should take place at least **two months** in advance of the District's submission of the project authorization request to the Federal Aid Office to ensure adequate time to process a TIP/STIP amendment if required. If a project falls within the TIP/STIP amendment criteria, District planning staff will notify the MPO of the need to process a TIP amendment and will notify the Office of Policy Planning of the need to process a STIP amendment. The Office of Policy Planning will coordinate the submittal of all TIP amendments to the Federal Aid Office for electronic transmission to FHWA along with the accompanying STIP amendment.

5.13 RELATIONSHIP BETWEEN WORK PROGRAM AND TIP

Figure 5C is a comparison of the major milestones for the Department's 5 Year Work Program, the State budget, and the TIP and STIP. Every March, the Tentative Work Program is submitted to the Governor and the Legislature. It is also given to the MPOs for development of the new TIP. On July 1, the Legislature approves the budget (minus project phases that were deferred from last fiscal year). At this same time, the Tentative Work Program becomes the Adopted Work Program and the MPOs' new TIPs are adopted. In August, the Legislature amends the budget to approve project phases that were deferred from last fiscal year. These projects are automatically "rolled forward" in the Work Program but not in the TIP. A "Roll Forward" TIP amendment needs to be processed for these types of projects. This process is discussed in **Section 5.13.1** below.

FIGURE 5C TIMELINE COMPARISON OF WORK PROGRAM, STATE BUDGET, TIP, AND STIP MILESTONES



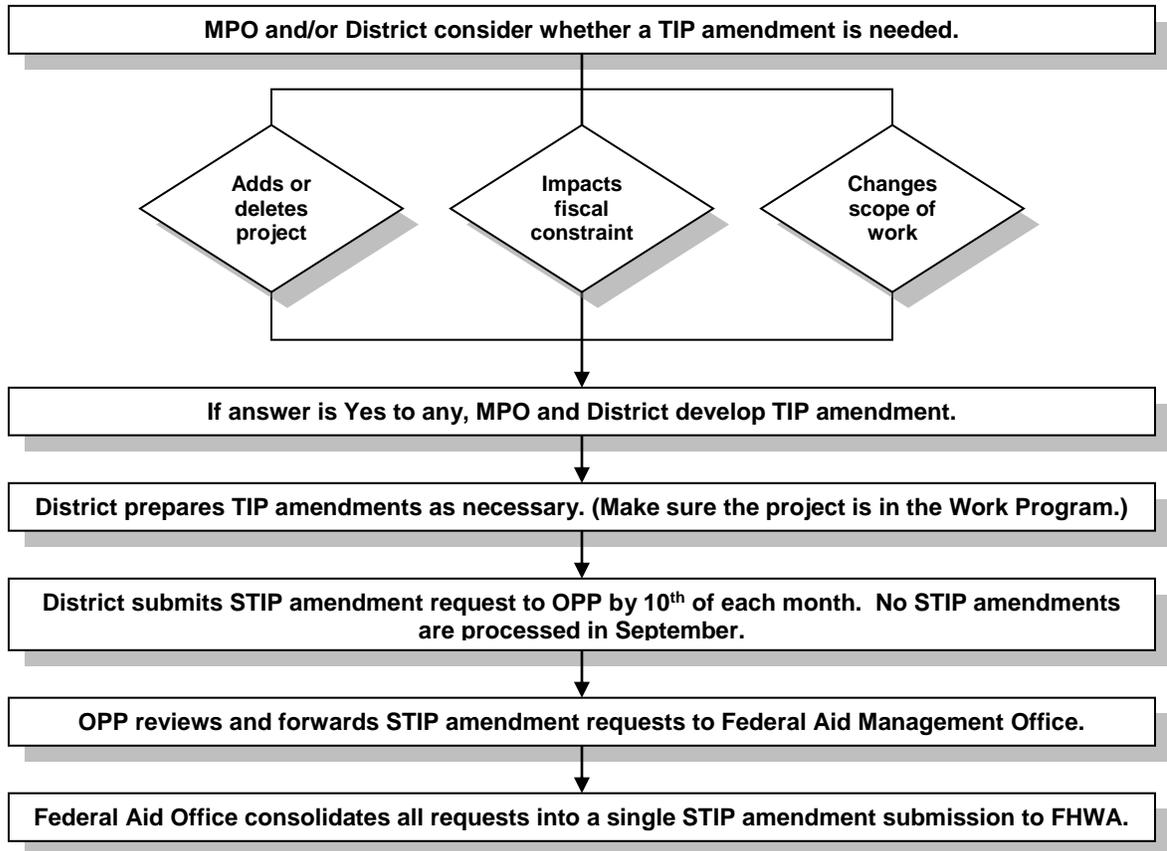
5.14 TIP AMENDMENTS

At times, the MPO TIPs and the STIP may require changes. Often, these changes are necessitated by the addition of a new project to the Work Program that is not yet in the TIP/STIP. The appropriate District office should identify the need for amending the TIP and STIP and work with the MPO to prepare and approve the TIP amendment in accordance with **23 C.F.R. 324 and 326** in advance of the authorization request to the Federal Aid Office. Internal production schedules may need to be modified to allow time for MPO board action and FHWA or FTA approvals. Some TIP amendments may also require Department Work Program amendments. The Work Program amendment process is authorized by **339.135(7), F.S.**, and outlined in the Department's **Work Program Instructions**. STIP actions take place on the Adopted Work Program, therefore any TIP/STIP amendments that require a Work Program Amendment cannot be processed until the Work Program Amendment has been approved. This entire amendment process may require two months or more. TIP/STIP amendments that require Work Program amendments shall be held in the District and will only be forwarded to Central Office for processing when the work program actions have been completed. Please note: No STIP amendments are processed in the month of September, due to new Federal Fiscal Year.

Florida law does not require TIP amendments for non-federally funded projects. However, the Work Program Amendment process does apply to changes to non-federally funded projects in the TIP. Please refer to Work Program Instructions for further details on requirements for processing Work Program Amendments.

Figure 5D shows the process for amending the MPO's approved TIP.

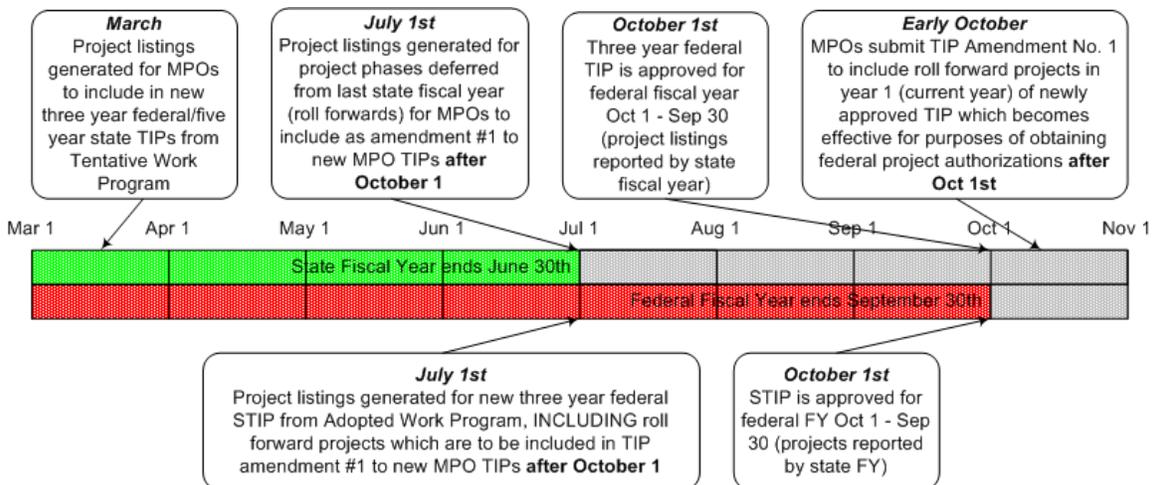
FIGURE 5D TIP AMENDMENT PROCESS



5.14.1 Roll Forward TIP Amendments

Every March, the Work Program Office provides the Districts the Tentative Work Program that is to be adopted on July 1. The MPO's TIP incorporates the Tentative Work Program and is also adopted on July 1. Year 1 of the TIP and the Work Program should always match. However when the new TIP and Work Program become adopted on July 1, there are often projects that were supposed to get authorized prior to June 30 (i.e. when the previous TIP and Work Program were in effect), but did not. These projects will automatically roll forward in the Work Program but not in the TIP. Hence there is a need to reconcile the two documents and bring the TIP up to date. This is accomplished by what is known as a Roll Forward TIP amendment. Around mid to late July, the Work Program Office posts the Roll Forward Report online. This report lists, by District, those projects which did not get authorized by the end of the last fiscal year and have been rolled forward in the newly adopted Work Program. The Districts provide this list to the MPO, and the MPO uses this list to process a Roll Forward TIP Amendment. A process flow for the roll forward amendment process is presented in the **Figure 5E** timeline below. An MPO can do a Roll Forward TIP amendment as soon as the Roll Forward Report is published. However, FHWA will not recognize the approval of the Roll Forward TIP Amendment until after October 1, the effective date of the new MPO TIP. **Please note that there is no need for the MPOs to request a Roll Forward STIP Amendment because these Roll Forward projects are included in the Department's submittal of the STIP on August 31.**

FIGURE 5E PROCESS FLOW FOR ROLL FORWARD AMENDMENTS



5.14.2 Roll Forward TIP Amendments (FTA Projects)

Unlike all other projects, Federal Transit Administration (FTA) projects do not automatically roll forward in the Work Program. All too often transit projects, especially when flex funding is involved, are not obligated in the anticipated year of award. Unless MPO Liaisons and the Public Transportation Office are mindful to roll forward FTA funded projects, there is a risk that they could mistakenly drop out of the Work Program and consequently, the STIP. If that happens, the project will not be eligible for FTA funding when the time comes to authorize it, and a STIP amendment will have to be executed to put the project back in. **Therefore, special care must be taken to ensure that the Roll Forward TIP amendment includes FTA funded projects.** The District Public Transportation Office (PTO) should work in cooperation with the Central Office PTO to identify these projects.

5.14.3 Authorization of Roll Forward Projects

There is a 3 month gap between the start of the State fiscal year and the start of the Federal fiscal year (July 1 to September 30). The Federal fiscal year begins October 1. During that 3 month gap, FHWA and FTA still regard the old STIP and TIPs as being in effect. Therefore, if there was a project in any of the 4 federally recognized years of the old TIP that did not get authorized by June 30, an MPO can still get authorization of that project based on the old TIP. An MPO can get this authorization as long as they request it between July 1 and September 30. **THERE IS NO NEED TO AMEND THE OLD TIP.** There is still a need, however, to make sure that such projects are in the new TIP if the projects are to be authorized after September 30. This is accomplished through the Roll Forward TIP amendment mentioned above. That has to occur before October 1.

5.14.4 Administrative TIP Amendment

An administrative TIP amendment is a TIP amendment that does not have to go to the full MPO Board for approval. FHWA and FTA have agreed to allow an administrative TIP amendment during the 3 month gap for new projects that were added during the Tentative Work Program development cycle.

Every March the Districts provide the MPOs the Tentative Work Program for developing the new TIP. If a new project was added to Year 1 during the Tentative Work Program development cycle, this project will appear in the new TIP, but it is not in the current TIP. This becomes an issue because of the 3 month gap between **July 1** and **September 30** when FHWA is still recognizing the old TIP as being in effect.

In the past, FHWA and FTA required that these projects be amended by the MPO Board into the old TIP during the months of July, August, and September. This is still the case, but FHWA and FTA have agreed to allow the MPO Executive Director to process an Administrative TIP amendment for these types of projects rather than having to go before the full Board. FHWA and FTA will allow this ONLY under the following conditions:

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

More information on this can be found in [Federal Aid Technical Bulletin 04-01](#) from the Department's Federal Aid Office.

5.15 DETERMINING IF A TIP/STIP AMENDMENT IS REQUIRED

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

The "Work Program Amendment" process must not be confused with the "TIP/STIP Amendment" process described herein. Although administered concurrently, the two processes are not the same, and one cannot be substituted for the other. Different criteria apply to each process, and the reporting, notification, and approval provisions for work program amendments are very different from those governing TIP/STIP amendments. Please refer to the Department's [Work Program Instructions](#) for a detailed explanation of the cooperative development of the Work Program and the Work Program Amendment process.

5.15.1 Determining Amendment or Modification

Not all changes to the TIP/STIP require state review and federal approval. Changes requiring formal state review and federal approval are referred to as "TIP/STIP amendments", and are based upon criteria established under federal law.

An administrative modification is a minor revision to a TIP or STIP that includes minor changes to project/project phase costs, minor changes to funding sources of previously included projects and minor changes to project/project phase initiation dates. An administrative modification does not require public review and comment, remonstrations of fiscal constraint, or a conformity determination, if applicable [23 CFR 450.104].

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

All TIP amendment requests will be reviewed by the Office of Policy Planning and the Federal Aid Office to ensure they are accurate and complete prior to submittal to the FHWA and/or the FTA for their review and approval.

TIPs/STIP will require formal amendments when one or more of the following criteria are met:

- The change adds new individual projects
- The change adversely impacts financial constraint
- The change results in major scope changes
- The change deletes an individually listed project from the TIP/STIP
- The change results in a cost increase greater than 20% AND \$2 million

5.15.2 The change adds a new individual project

Any new project added to any of the first four years of the TIP/STIP will require a TIP/STIP amendment. What is being referred to as a “project” is the 7-digit Financial Project Number. The TIP/STIP covers a period of five years according to state law. Of those five, the first four are recognized by the federal government. The federal government regards the fifth year as illustrative. Any federally funded project listed in any of the first four years of the TIP/STIP may be advanced or deferred within those four years without requiring a TIP/STIP amendment. However, a Work Program amendment will still be required (if dollar thresholds are exceeded) along with all required notifications (including to MPOs). See the Department’s Work Program Instructions for further details.

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

Any new project that is “regionally significant” as defined by [23 C.F.R. 450.104](#) and requires FHWA or FTA approval must have a TIP/STIP amendment regardless of the funding source. See [Section 5.5.5](#) of this chapter.

5.15.3 The change adversely impacts financial constraint

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

If [new projects](#) are added to the TIP/STIP, the TIP/STIP amendment transmittal letter must identify the source of funds for the new project. Examples include, but are not limited to, one or more of the following:

- The funds are coming from a contingency box item already included in the appropriate year of the work program. The TIP/STIP amendment should show the reduction in the contingency box item as well as the cost of the new project addition.
- The funds are coming from the deletion or deferral of another individual project in the appropriate year of the TIP/STIP. The TIP/STIP amendment should identify the specific project being deleted or deferred as well as the new project addition.
- The funds are coming from reduction(s) of cost estimate(s) to other project(s) already included in the appropriate year of the TIP/STIP. The TIP/STIP amendment should identify the specific project(s) where estimated costs are being reduced.
- The funds are coming from new appropriations or allocations of federal funds that were not available, or reasonably expected to be available, when the TIP/STIP was originally developed. The TIP/STIP amendment should identify the source and amount of the new funds.

For cost increases on existing projects, a TIP/STIP amendment is **not** required as long as all of the following statements are true:

- The funds financing this cost increase did **not** come from the deletion of another project already included in the TIP/STIP (or deferral of another project beyond the four years of the TIP/STIP).

- The TIP/STIP remains financially constrained after the cost adjustment.
- The cost increase did **not** arise as a result of a major scope change to the project, as defined below.

5.15.4 The change results in major scope changes

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

- Any material changes to project limits;
- Any material changes to capacity (e.g. adding additional lanes);
- Any material changes to type of work (e.g. adding bridge repairs to resurfacing job, or changing modes from highway to transit); and,
- Any scope change that is significant enough to affect the priority order of projects in the TIP/STIP, or to affect consistency with the MPO's Long-Range Transportation Plan.

5.15.5 The change deletes a project

The deletion of any individually listed project (meaning a project with a 7-digit Financial Project Number) in the four years of the TIP/STIP requires a TIP/STIP amendment and may also require an amendment to the LRTP. If a project is listed in the first four years of the TIP with federal funding and that funding is subsequently deleted, that will require a TIP/STIP amendment.

5.15.6 The change results in a cost increase greater than 20% AND \$2 million

This TIP/STIP amendment criterion was added in 2006 because of the frequent occurrence of cost increases on projects. The 20% - \$2 million threshold has been adopted by FDOT, FTA and FHWA as the guideline for what requires an amendment. Both criteria have to be met. If the cost increase meets only one of the criteria no TIP/STIP amendment is necessary.

5.15.7 Contents of TIP/STIP Amendment Package

TIP Amendment packages must include specific documents and information regarding project changes to be considered complete. The accompanying STIP amendment (prepared by the Federal Aid Office) will draw upon the contents of individual TIP amendments as the basis for its preparation.

TIP Amendments **must** contain the following information:

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

1. Project name, limits, length, detailed project description and type of work;
2. Financial Project Number (FPN);
3. FDOT Work Program fund code;
4. For FTA amendments, the Section number needs to be in the description line of the work program entry and on the TIP amendment.
5. Estimated cost;
6. Phase of work;
7. State fiscal year in which work is to commence;
8. Reason for the proposed change;
9. Effect of the change to financial constraints;
10. LRTP page number;
11. TIP page number;
12. Indication whether a STIP Amendment is required;
13. Signature of MPO Chairman or designee (if approval authority has been delegated to MPO staff and documented);
14. Signature of FDOT District representative; and
15. Statement that the TIP amendment was developed and approved in compliance with applicable laws and procedures

For **existing projects**, include the same information as 1-14 above, and

- (1) As listed in the current TIP (include TIP page number);
- (2) As proposed to be amended (include new TIP page number); and,
- (3) The page number in the existing STIP where it may be found.

The TIP/STIP amendment tool is posted on the Federal Aid Office home page at: <http://webapp02.dot.state.fl.us/fmsupportapps/stipamendments/default.aspx> for the intranet version. The internet version of the TIP/STIP amendment tool is at: <http://www2.dot.state.fl.us/fmsupportapps/stipamendments/default.aspx> .

District staff will be notified via email when TIP/STIP amendment(s) are approved by the FHWA, and approved amendment packages will be posted to the Federal Aid Office's Internet site at:

<http://www2.dot.state.fl.us/fmsupportapps/stipamendments/default.aspx>

5.15.8 Schedule for Processing TIP/STIP Amendments

TIP/STIP Amendment requests received by the Office of Policy Planning for review by the 10th of each month will be included in the STIP Amendment for that month, provided the requests are complete and require no clarifications or other District or

MPO input. This should enable the FHWA to routinely approve the amendment by the end of the month.

This schedule will apply to all months except September. No STIP Amendments will be processed during the month of September due to the new Federal fiscal year beginning on October 1.

It is important to note that submitting an incomplete STIP Amendment request may result in the request not being included in the consolidated STIP Amendment for that month, if needed information cannot be obtained prior to the due dates for that month as outlined above.

Additional guidance on STIP amendments can be found in the Work Program Instructions and in Federal Aid Technical Bulletins.

5.15.9 Routing of TIP/STIP Amendment Requests

STIP Amendment requests within MPO boundaries are generally accompanied by corresponding TIP amendments already prepared and approved by the various MPOs. However, the need for TIP/STIP amendments can come from many sources (e.g., Planning, Public Transportation, Program Development, etc.) and can cause a lack of consistency that often results in errors and delays in the authorization of funds. To improve communication and expedite the amendment process, all TIP/STIP amendment requests are to be routed through a single point of contact, designated within each district, to ensure that all of the necessary information is accurate.

- STIP amendment requests for projects within an MPO's planning area (i.e., those requiring TIP amendments) will be reviewed by the Office of Policy Planning in consultation with the district point of contact to ensure they are complete. After completing their review, OPP forwards these requests to the Federal Aid Programs Office.
- STIP Amendment requests for projects outside of MPO planning areas are to be submitted directly to the Federal Aid Programs Office.

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

5.15.10 Close-out of Federal Fiscal Year and TIP Amendments

During the month of September, the Department's Federal Aid Office is involved in closing the federal fiscal year, and the FHWA Florida Division Office is involved in the review process for the new MPO TIPs. Because of this work load and the deadlines associated with each of these activities, no TIP/STIP amendments will be processed by the Office of Policy Planning, the Federal Aid Office, or the FHWA during the month of September of each year. The MPOs may still continue to amend their TIPs and send them to the Districts. However, the amendments will not be processed until **after October 1** when the new Federal Fiscal Year begins. Those amendments received by the Office of Policy Planning prior to September 1 will be processed provided the amendments include the full information required in **Section 5.15.7**.