

# Appendix I: Transportation Improvement Program Policy

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# 1. INTRODUCTION

The Wichita Area Metropolitan Planning Organization (WAMPO) is the designated Metropolitan Planning Organization (MPO) for the Wichita region, in place to provide access to federal transportation funds and to conduct regional transportation planning. The WAMPO region includes 22 municipalities, all of Sedgwick County, and portions of Butler County and Sumner County.

The region's increasing development and travel demand require a continuous program of managing and improving the area's surface transportation system. WAMPO is responsible for maintaining a number of federally required core documents to ensure that federal transportation funds are programmed towards projects that will make a positive contribution to the region's transportation system. These documents include the **Metropolitan Transportation Plan (MTP)** and the **Transportation Improvement Program (TIP)**. The MTP is federally required and outlines long-range transportation goals of the region and lists transportation projects that advance those goals, including projects eligible for federal transportation funds.

**Transportation Improvement Program (TIP):**

*The TIP is a short-range implementation tool that identifies federally funded and regionally significant projects to be implemented during the four-year period following its adoption. The TIP must be consistent with the MTP.*

The TIP is a list of transportation projects covering a period of four years, based on the **Federal Fiscal Year (FFY)**, which runs from October 1<sup>st</sup> through September 30<sup>th</sup>. The TIP is developed biennially by WAMPO in cooperation with federal, state, and local agencies, including public transportation providers. Projects included in the TIP must be consistent with the MTP and the WAMPO Federal Functional Classification Map and should reflect progress towards the overall transportation goals of the region.

**Federal Fiscal Year (FFY):**

*A Federal Fiscal Year (FFY) runs from October 1<sup>st</sup> through September 30<sup>th</sup>.*

This TIP Policy serves as the guiding document outlining processes and criteria established by the Transportation Policy Body (TPB) for the development and maintenance of the TIP. The TIP Policy shall supersede, when more restrictive, any criteria or guidelines reflected in the Kansas Department of Transportation (KDOT) Statewide Transportation Improvement Program (STIP) Amendment and Administrative Modifications Procedures.

## 2. PARTICIPANTS IN THE TIP PROCESS

This section identifies key stakeholders and their roles in the development and implementation of the TIP.

### 2.1 TRANSPORTATION POLICY BODY (TPB)

The TPB is the decision-making authority for WAMPO. The TPB is responsible for determining which projects receive WAMPO-suballocated funding funds, takes final action on adopting a new TIP and on TIP amendments, and has overall authority to include or exclude any given project in the TIP.

### 2.2 TECHNICAL ADVISORY COMMITTEE (TAC)

The TAC reviews and proposes projects to be programmed with WAMPO-suballocated funding funds in each new TIP and each TIP amendment. The TAC is responsible for providing a recommendation to the TPB for action on any new TIP or TIP amendment.

### 2.3 PROJECT SELECTION COMMITTEE

The Project Selection Committee reviews each request to identify which projects will be recommended for funding.

### 2.4 KANSAS DEPARTMENT OF TRANSPORTATION (KDOT)

KDOT serves as a cooperative partner and oversight agency for WAMPO. KDOT provides information that WAMPO uses to develop and maintain the TIP. This information includes, but is not limited to: obligation-authority statuses, notifications of obligated and deobligated funds, and updates on projects using WAMPO-suballocated funding.

### 2.5 UNITED STATES DEPARTMENT OF TRANSPORTATION (USDOT)

The United States Department of Transportation (USDOT) serves as a cooperative partner and oversight agency for WAMPO and KDOT. The primary USDOT agencies that WAMPO works with are the Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA). Other agencies of the USDOT are involved on a case-by-case basis.

### 2.6 PROJECT SPONSORS

A project sponsor is responsible for submitting projects to be included in the TIP, coordinating with WAMPO and KDOT, and, ultimately, the completion of their projects. A project sponsor is typically a governmental jurisdiction/agency or taxing entity that is responsible for the local share of a project's cost. A paratransit provider may also be a project sponsor if its project is funded through WAMPO-suballocated funding and/or FTA funding sources (e.g., Section 5310, Section 5311, etc.). Project sponsors are responsible for providing WAMPO with the most accurate information reasonably possible regarding their TIP projects.

#### **Public Participation Plan (PPP):**

*The PPP identifies opportunities for the public to get involved with WAMPO activities, as well as methods used by WAMPO to increase public awareness and understanding. The PPP identifies policies WAMPO follows to provide complete and timely information to the public.*

### 2.7 PUBLIC

The public plays an important role in the regional transportation planning process by providing project sponsors, elected officials, and WAMPO with input on projects in the WAMPO region. There are various

opportunities for the public to provide input on TIP projects, including: public meetings, public review and comment periods, and public hearings at TPB meetings. The efforts WAMPO undertakes to engage the public are identified in the *Public Participation Plan (PPP)*.

# 3. ELEMENTS OF THE TIP

When working with the TIP, there are many elements that are essential to understand the entire process. These elements are discussed in this section. For additional information, refer to the current TIP or contact WAMPO.

## 3.1 FISCAL CONSTRAINT

Federal regulation 23 CFR 450 requires that programming for each year of the TIP shall not exceed levels of funding committed or available to the **Metropolitan Planning Area (MPA)** in that year. For the TIP to remain fiscally constrained, all projects included in the TIP, combined, may not exceed levels of funding committed or reasonably expected to be available to the MPA.

**Fiscal Constraint:**  
Project costs do not exceed reasonably expected sources of funding over the period of the TIP or MTP.

## 3.2 OBLIGATION AUTHORITY ESTIMATES

During the development of a new TIP, WAMPO will request from KDOT future **obligation authority** estimates for WAMPO-suballocated funding for all four years of the TIP. WAMPO will request that these estimates be provided prior to the end of the Call for Projects. The estimates are used to program WAMPO-suballocated funding during the project-selection process and are subject to change throughout an FFY.

**Metropolitan Planning Area (MPA):**  
The geographic area, determined by agreement between the Metropolitan Planning Organization (MPO) and the Governor, in which the metropolitan transportation planning process is carried out.

## 3.3 FUNDING SPLIT (80/20)

Project sponsors are allowed to request a maximum of 80% WAMPO-suballocated funding for qualifying costs associated with a project. A minimum 20% nonfederal match must be used to fund the project. Only costs that are eligible for funding, such as construction engineering (CE) and construction, can be programmed to be paid with WAMPO-suballocated funding. WAMPO-suballocated funding may not be used for Right-Of-Way acquisition (ROW), Preliminary Engineering, or utilities relocation, unless otherwise directed by the TPB and KDOT.

Project sponsors should keep in mind that most federal funding programs operate on a reimbursement basis. This includes any projects funded with WAMPO-suballocated funding. Project sponsors with questions regarding the process for reimbursement of federal funds should contact WAMPO.

**Obligation Authority:**  
The total amount of funds available in a given FFY.

## 3.4 PROJECT EVALUATION CRITERIA

**Project Selection Criteria** is a tool used by WAMPO to assist in determining which projects to program in the TIP with WAMPO-suballocated funding. Federal legislation requires that projects programmed with WAMPO-suballocated funding go through a Project Evaluation Criteria process.

Projects applying for WAMPO-suballocated funding must fully complete the Project Evaluation Criteria for the applicable project type and meet eligibility criteria as identified in section 4.1 through 4.1.4. Projects that fail to meet the minimum eligibility criteria for at least one WAMPO-Suballocated funding source will be disregarded.

[Appendix B](#) outlines the PSC used for each project type in order to be considered for WAMPO-suballocated

funding.



### 3.5 YEAR OF EXPENDITURE (YOE) – INFLATION

By USDOT and KDOT approval of the STIP (where the TIP is amended into the STIP), they agree to the *Year of Expenditure (YOE)* rate used in the TIP. YOE is applied to projects included in the second, third, and fourth years of the TIP. This rate is applied to the base cost of the project to reflect the project cost in future years. This rate is compounded annually (as reflected in the example below). WAMPO staff will apply the YOE to the project cost depending on the year that the project is programmed.

**Year of Expenditure (YOE):**  
 The year a project is planned to be obligated with inflation costs factored into the project cost estimates.

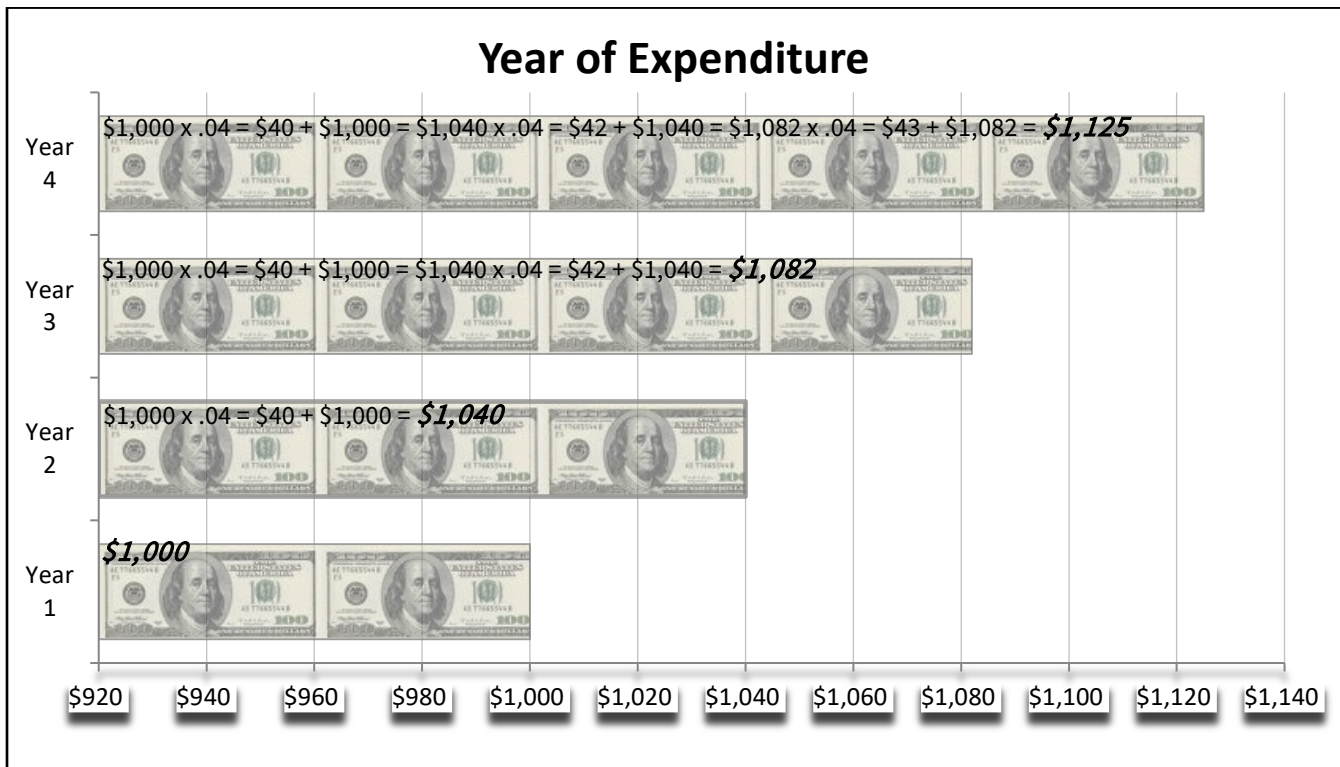
WAMPO does not apply YOE to any KDOT projects. KDOT incorporates inflation into their projects as they are submitted to WAMPO for inclusion in the TIP. Non-Suballocated projects with federal funds administered by KDOT have YOE reflected entirely through the local funding share of a project’s cost. Shown below is an example of how to calculate YOE for the various years of the TIP. [Figure 1](#) graphically reflects this example.

**Example:**

Assume a 4% yearly inflation rate and a base project cost of \$1,000.

- In year one, a project would cost \$1,000.
- In year two, the base cost of \$1,000 would then cost \$1,040. The base amount multiplied by 4% (.04) and added to the base project cost.
- In year three, the project would cost \$1,082. This is the second year project cost multiplied by 4% (.04) and added to the second year project cost.
- In year four, the project would cost \$1,125. This is the third year project cost multiplied by 4% (.04) and added to the third year project cost.

*Figure 1: Year of Expenditure Diagram*





### 3.6 PROJECT CAPPING

WAMPO limits the amount of WAMPO-suballocated funding for a project by capping these funds in the TIP (Starting in FFY 2008). Should a project's cost exceed the amount of programmed WAMPO-suballocated funding, the project sponsor is responsible for making up the difference.

**Capped Project:**  
A project programmed with a specified maximum amount of federal funding participation.

**Uncapped projects** in the TIP can exceed their programmed amount prior to being closed out by KDOT, typically due to contract limitations. The difference between the programmed amount and the closed out amount would then come from the current FFY (i.e. 2013) obligation authority. If that occurs, projects programmed in the current TIP with the identified funding source would need to be reviewed and adjusted to maintain fiscal constraint of the TIP.

**Uncapped Project:**  
A project programmed without a specified maximum amount of federal funding participation.

### 3.7 OBLIGATION OF FUNDS

Federal funds awarded in each FFY must be obligated by September 30<sup>th</sup> of the project's specified FFY in the TIP. An obligation is the Federal Government's promise to pay the federal share of a project's eligible cost. This commitment occurs when KDOT submits a Project Agreement to the FHWA for approval. If the project does not obligate by September 30<sup>th</sup>, these funds could be lost to the WAMPO region.

Before KDOT can submit a Project Agreement to FHWA for approval, the following criteria must be met by the project sponsor in coordination with WAMPO and KDOT:

- The project must be in the WAMPO MTP and TIP.
- If KDOT is authorizing any work phase other than Preliminary Engineering (PE), all environmental clearances must be complete and the project sponsor's Local Agency/State Agreement shall have been executed.
- In the case of Construction Engineering (CE)/Construction authorization, KDOT must also have a Right of Way (ROW) and Utilities Certificate on file.

Obligated funds are considered used even if no expenses have occurred. Once a project has been obligated it can be let at any point, but it is encouraged to be let within a reasonable amount of time (between 30 and 60 days after obligation). The term "let" is a shortened term for "bid letting," which means that the project has been made available for contractors to apply for consideration to complete the project's construction. The date that a project is let is referred to as the "let date."

### 3.8 PROJECT LISTING

The project listing section of the TIP is where the most recent information regarding TIP projects can be found, as reported by project sponsors. This includes, but is not limited to, project information such as:

- Project sponsor.
- Project scope.
- Project FFY.
- Project type.
- KDOT and WAMPO project numbers.
- Project funding amounts.
- Project funding sources.
- Total project cost.

## 4. TYPES OF FUNDING CATEGORIES

This section discusses the difference between WAMPO-suballocated funding and Non-Suballocated funding categories. WAMPO-Suballocated funding sources are also discussed with a brief summary of each program and any necessary criteria for a project being programmed with these funds.

### 4.1 WAMPO-SUBALLOCATED FUNDING

**WAMPO-suballocated funding** are for projects that are funded partially or in full (for the federal share) with the following funding programs: Congestion Mitigation and Air Quality (MPO-CMAQ), Surface Transportation Program (MPO-STP) and Transportation Alternatives (MPO-TA). KDOT annually provides MPO-CMAQ funds to WAMPO, to be used as WAMPO-suballocated funding. Both MPO-STP and MPO-TA funds are attributable to the WAMPO region. All WAMPO-Suballocated funding programs operate on a reimbursement basis through KDOT.

**WAMPO-suballocated funding:**  
These are federal funds that WAMPO is responsible for selecting projects to program with, in the TIP. These funds include: MPO-CMAQ, MPO-STP, and MPO-TA.

Projects are evaluated with the assistance of the PSC by the TAC who then develops a recommended list of projects to program for each FFY of the TIP. This recommendation is then brought to the TPB who is asked to endorse the TAC's recommendation. Once the complete TIP is brought to the TPB for action, the TPB will take final action of the TIP and all of the projects found within it, including WAMPO-suballocated funding. See Appendix B for additional information on the PSC used for WAMPO-suballocated funding.

#### 4.1.1 CONGESTION MITIGATION AND AIR QUALITY (MPO-CMAQ)

##### **Intent:**

The WAMPO Congestion Mitigation and Air Quality (MPO-CMAQ) Program:

- Assures that MPO-CMAQ funds are programmed for projects that meet the intent of the federal CMAQ program.
- Outlines eligible project types for MPO-CMAQ funding.
- Makes progress towards the implementation of the short-term strategy #13 identified in the Metropolitan Transportation Plan (MTP) 2035.

**Congestion Mitigation and Air Quality (MPO-CMAQ):**  
Federal funds for projects that improve air quality and/or reduce traffic congestion.

#### 4.1.2 MPO-CMAQ FUNDING SPLIT (80/20):

Project sponsors are allowed to request a maximum of 80 percent federal funding for costs associated with the projects that are eligible for funding. A minimum 20 percent non-federal match must be used to fund the project.

See section 3.3 for additional details.

#### 4.1.3 MPO-CMAQ POLICY IMPLEMENTATION:

Project sponsors are encouraged to apply for MPO-CMAQ funds for projects that are directly related to meeting the intent of the federal CMAQ Program. This policy includes a list of all eligible project types for MPO-CMAQ funds for the WAMPO region, as determined by the TPB.

Starting in FFY 2014, 100 percent of MPO-CMAQ funds will first be available for projects identified as an eligible project type. The balance of MPO-CMAQ funds not programmed towards eligible project types will

be made available to program other projects that can demonstrate congestion mitigation or air quality benefits to the WAMPO region. These funds will be treated in a similar fashion as MPO-STP funds. If the WAMPO region is designated as a non-attainment area for air quality standards, all projects programmed with MPO-CMAQ funds would then be required to meet additional federal requirements.

## MPO-CMAQ Eligible Project Types:

Eligible project types include:

- Projects intended to reduce emissions through cold-start conditions.
  - Retrofitting vehicles and fleets with water and oil heaters.
  - Installing electrical outlets and equipment in publicly-owned garages or fleet storage facilities.
- Traffic flow improvements (must demonstrate net emissions benefits).
  - Traditional Improvements.
    - Construction of roundabouts.
      - Construction of vehicle lanes (such as turn lanes) that can prove a reduction in congestion.
- Intelligent Transportation Systems (ITS).
  - Traffic signal synchronization projects.
  - Traffic management projects.
  - Regional multi-modal traveler information systems.
  - Traffic signal control systems.
  - Freeway management systems.
  - Incident management programs.
    - Transit management systems.
    - Electronic toll-collection systems.
  - Transit operating assistance (for up to 3 years).
    - Operating assistance to introduce a new type of transit service, service to a new geographical area, or expand existing service providing additional hours or service or reduced headways.
      - Eligible operating cost include: labor, fuel, maintenance, and related expenses.
  - Bicycle and pedestrian.
    - Constructing bicycle and pedestrian facilities (paths, bike racks, support facilities, etc.) that are not exclusively recreational and reduce vehicle trips.
  - Travel demand management.
    - Park and Ride facilities.
    - Telecommuting.
    - Carpool/Vanpool.
    - Employer-based commuter choice programs (flexible work hours).
  - Public education and outreach (may be funded indefinitely).
  - Education and outreach activities targeting the public, community leaders, and potential projects sponsors about:
    - Connections between trip making and transportation mode choices.
    - Traffic congestion.
    - Air quality.
  - Activities that promote:
    - New or existing transportation services.
    - Developing messages.
    - Advertising materials (including market research, focus groups, and creative).
    - Distributing messages and materials.
    - Evaluating message and material dissemination and public awareness.
    - Technical assistance.

***Non-Attainment Area:***  
*A geographical area that does not meet the national ambient air quality standards (NAAQS) established by the Environmental Protection Agency (EPA).*

- Programs that promote the Tax Code provisions related to commute benefits.
  - Transit operation of fare sales.
  - Any other activities that help forward less-polluting transportation options.
- Air quality public education messages.
  - Maintain your vehicle.
- Minimize one person per vehicle travel by grouping trips to locations together.
- Telecommuting.
- Proper use of alternate fuels.
- Observe speed limits.
- Don't idle your vehicle for long durations.
- Eliminate rapid starts and stops when driving.
- Use of alternate modes of transportation.
- Transportation Management Associations (TMAs)
  - TMA start-up costs, provided emissions can be reduced (up to 3 years).
- Carpooling and vanpooling.
  - Marketing (may be funded indefinitely) for existing, expanded, and new activities designed to:
    - Increase the use of carpools and vanpools.
    - Purchase and use of computerized matching software.
    - Outreach to employers.
    - Guaranteed ride home programs.
  - Vehicles (Vanpools only) (eligible operating costs limited to 3 years).
    - Vanpool vehicle capital costs for purchasing or leasing vans.
    - Empty-seat subsidies.
    - Maintenance.
    - Insurance.
    - Administration (staff, dispatcher, grant management, etc.).
- Idle reduction.
  - Idle reduction projects that reduce emissions and are located within, or in proximity to and primarily benefiting, the WAMPO region.
- Inspection/Maintenance (I/M) programs.
  - Construction of I/M facilities.
  - Purchase of I/M equipment.
  - I/M program development.
  - One-time start-up activities:
    - Updating quality assurance software.
    - Developing a mechanic training curriculum.
  - Administrative costs.
- Alternative Fuels.
  - Infrastructure / Facilities.
  - Vehicles.
    - Establishment of privately owned "portable" I/M programs, including remote sensing (provided that they are public services, reduce emissions, and do not conflict with statutory I/M requirements or EPA regulations).

***Transportation Management Associations (TMAs):***  
*TMAs are non-profit, member-controlled organizations that provide transportation services in a particular area, such as a commercial district, mall, medical center, or industrial park.*

This section was developed with the use of the Eligible Projects and Programs section of “The Congestion Mitigation and Air Quality (CMAQ) Improvement Program under the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users Final Program Guidance”.



## Surface Transportation Program (MPO-STP)

**Intent:** The Surface Transportation Program (MPO-STP) is the one of two funding sources that is directly attributable to WAMPO from the USDOT and used as WAMPO-Suballocated funding program. This funding program is flexible and can be used for a variety of different transportation improvements. The MPO-STP program:

- Assures that MPO-STP funds are programmed for projects that meet the intent of the Federal STP Program.
- Outline eligible project types for MPO-STP funding.

### MPO-STP Funding Split (80/20):

Project sponsors are allowed to request a maximum of 80 percent federal funding for costs associated with the projects that are eligible for funding. A minimum 20 percent non-federal match must be used to fund the project.

See Section 3.3 for additional details.

### MPO-STP Eligible Project Types:

For a complete listing of eligible project types, refer to 23 U.S.C. 133. Shown below is a summary of eligible project types for MPO-STP funds.

- Construction.
- Reconstruction.
- Rehabilitation.
- Resurfacing.
- Restoration.
- Operational improvements for highways and bridges.
- Capital costs for transit projects (including vehicles and facilities).
- Carpool projects.
- Fringe and corridor parking facilities and programs.
- Bicycle transportation and pedestrian walkways.
- Highway and transit safety infrastructure improvements and programs.
- Capital and operating costs for traffic monitoring, management, and control facilities and programs, including advanced truck stop electrification systems.
- Transportation enhancement activities.
- Transportation Control Measures.  
(TCM) listed in Section 108(f)(1)(A) (other than clause xvi) of the Clean Air Act (42 U.S.C. 7408(f)(1)(A)).
- Development and establishment of management systems under 23 U.S.C. 303.
- Intersection improvements.
- Infrastructure-based intelligent transportation systems capital improvements.

### Transportation Alternatives Program (MPO-TA)

#### Intent:

The Transportation Alternatives Program (MPO-TA) is a funding source that is directly attributable to WAMPO from the USDOT and used as a WAMPO-Suballocated funding program. The MPO-TA program:

- Assures that MPO-TA funds are programmed for projects that meet the intent of the Federal TA Program.

*Surface Transportation Program (MPO-STP): STP provides flexible funding that may be used by project sponsors on any Federal-aid highway, including the National Highway System (NHS), bridge projects on any public road, transit capital projects, etc.*

- Outline eligible project types for MPO-TA funding.

### **MPO-TA Funding Split (80/20):**

Project sponsors are allowed to request a maximum of 80 percent federal funding for costs associated with the projects that are eligible for funding. A minimum of 20 percent non-federal match must be used to fund the project.

See Section 3.3 for additional details.

### **MPO-TA Eligible Project Types:**

For a complete listing of eligible project types, refer to [https://www.fhwa.dot.gov/environment/transportation\\_alternatives/](https://www.fhwa.dot.gov/environment/transportation_alternatives/). Shown below is a summary of eligible project types for MPO-TA funds.

- Transportation Alternatives as defined in 23 U.S.C. 101(a)(29) (MAP-21 1103):
  - Construction, planning, and design of on-road and off-road trail facilities for pedestrians, bicyclists, and other non-motorized forms of transportation, including sidewalks, bicycle infrastructure, pedestrian and bicycle signals, traffic calming techniques, lighting and other safety-related infrastructure, and transportation projects to achieve compliance with the Americans with Disabilities Act of 1990.
  - Construction, planning, and design of infrastructure-related projects and systems that will provide safe routes for non-drivers, including children, older adults, and individuals with disabilities to access daily needs.
  - Conversion and use of abandoned railroad corridors for trails for pedestrians, bicyclists, or other non-motorized transportation users.
  - Construction of turnouts, overlooks, and viewing areas.
  - Community improvement activities, including –
- Inventory, control, or removal of outdoor advertising;
- Historic preservation and rehabilitation of historic transportation facilities;
- Vegetation management practices in transportation rights-of-way to improve roadway safety, prevent invasive species, and provide erosion control; and
- Archaeological activities relating to impacts from implementation of a transportation project eligible under title 23.
- Any environmental mitigation activity, including pollution prevention and pollution abatement activities and mitigation to –
  - Address storm water management, control, and water pollution prevention or abatement related to highway construction or due to highway runoff, including activities described in sections 133(b)(11), 328(a), and 329 of title 23; or
  - Reduce vehicle-caused wildlife mortality or to restore and maintain connectivity among terrestrial or aquatic habitats.
- The recreational trails program under section 206 of title 23.

- The safe routes to school program under section 1404 of the SAFETEA-LU.
  - Infrastructure-related projects, planning, design, and construction of infrastructure-related projects on any public road or any bicycle or pedestrian pathway or trail in the vicinity of schools that will substantially improve the ability of students to walk and bicycle to school, including sidewalk improvements, traffic calming and speed reduction improvements, pedestrian and bicycle crossing improvements, on-street bicycle facilities, off-street bicycle and pedestrian facilities, secure bicycle parking facilities, and traffic diversion improvements in the vicinity of schools.
  - Non-infrastructure related activities to encourage walking and bicycling to school, including public awareness campaigns and outreach to press and community leaders, traffic education and enforcement in the vicinity of schools, student sessions on bicycle and pedestrian safety, health, and environment, and funding for training, volunteers, and managers of safe routes to school programs.
  - Safe Routes to School coordinator.
- Planning, designing, or constructing boulevards and other roadways largely in the right-of-way of former Interstate System routes or other divided highways.

***Non-Suballocated funds:***  
*Any federally funded and/or regionally significant project which WAMPO does not determine the amount of participating federal funds.*

## 4.2 NON-SUBALLOCATED

***Non-Suballocated*** projects are those for which the TPB does not determine the amount of federal funding programmed. If a Non-Suballocated project has federal transportation funds associated with it, it is required to be included in the TIP and the MTP. Projects that do not have federal funds but are considered to be regionally significant should also be included in the TIP. For a project to be included in the TIP as a Non-Suballocated project, it must meet one of the following criteria:

- A project programmed with federal transportation funds, excluding: MPO-CMAQ, MPO-STP, and MPO-TA.
- A project programmed by the state or locally that is considered regionally significant.
- A project programmed through a combination of the sources listed above.

# 5. CHANGES IN WAMPO-SUBALLOCATED FUNDING AVAILABILITY

The availability of WAMPO-suballocated funding can vary within any given FFY. Changes in the WAMPO-suballocated funding obligation authority (recessions, new authorizations, etc.) and deobligations affect the balance of available WAMPO-suballocated funding. WAMPO is responsible for assuring that all available funds are programmed within the TIP. The use of advance construction projects and a reserved projects list provide WAMPO options that assist in assuring that funds are not lost to the WAMPO region. WAMPO-suballocated funding projects programmed in the current FFY of the TIP using advance construction can be the priority projects to fund with any additional WAMPO-suballocated funding. If funds are remaining, they will be available for projects included on the reserved projects list.

## 5.1 ADVANCE CONSTRUCTION

***Advance construction*** is a technique which allows a project sponsor to initiate a project using non-

federal funds while preserving eligibility for future federal funds.

To use advance construction, project sponsors must contractually agree to fund the project 100% in the first year and be reimbursed over time, if and when federal funds become available and approved by the TPB. Project sponsors risk not being reimbursed if funds are not available or approved. Project sponsors must receive written approval from USDOT prior to entering into an advance construction contract. Advance construction projects are not allowed to seek reimbursement for any activities associated with the project that occur prior to entering into the advance construction contract.

**Advance Construction:**  
*When a project sponsor funds 100% of a project and can later be reimbursed the federal funds when/if funds become available.*

## 5.2 RESERVED PROJECTS PRIORITY

The use of reserved projects is an option WAMPO has available to safeguard against the loss of WAMPO-suballocated funding and to assure that these funds remain in the WAMPO region. Reserved projects include only projects in the region that are eligible for federal funds, identified in the MTP Eligible for Funding List, and can be obligated on short notice. In most situations, only advance construction projects meet the necessary criteria. KDOT, WAMPO, and the project sponsor will work together to assure the readiness of projects being considered. Projects included in the reserved projects list are required to be fiscally constrained.

Reserved projects are developed in conjunction with the Call for Projects Application Period or Request for Amendments Application Period (unless directed otherwise by the TPB). The TAC will review and recommend to the TPB a prioritized list of reserved projects from those projects submitted.

The TAC will forward this recommended, prioritized list of reserved projects to the TPB for action. The TPB has the option to accept, revise, not accept, or request further TAC review of the recommended prioritized list of reserved projects. Once approved by the TPB, projects will automatically be selected from the prioritized list of reserved projects if and when federal funding becomes available. Projects will be selected for funding based on its priority and the ability to obligate funds prior to the end of the FFY. The project sponsor has the option to accept or decline the funds. Any projects included in the prioritized list of reserved projects must be included in the TIP project listing prior to receiving federal funds. Inclusion in the TIP may occur when a new TIP is developed or through a TIP amendment. If a reserved project is included in the TIP as advance construction, a conversion of funds must be identified in the TIP project listing. An Administrative Adjustment may be used to change the year in which the conversion is made, if and when federal funds did become available.

**Reserved Projects:**  
*A project in the WAMPO region that is eligible for federal funds, identified in the MTP Eligible for Funding List, and can be obligated on short notice.*

# 6. TIP DEVELOPMENT

This section outlines key steps related to the development of a new TIP or a TIP amendment.

## 6.1 CALL FOR PROJECTS APPLICATION PERIOD

The first step for a project to request to be added into the TIP is through the Call for Projects Application Period. A Call for Projects Application Period only occurs when a new TIP is being developed (which is on an annual basis). The process for both WAMPO-suballocated funding and Non-Suballocated projects is described in sections 6.1.1 and 6.1.2.

### **6.1.1 COMPETITIVE - CALL FOR PROJECTS APPLICATION PROCESS**

During a Call for Projects Application Period, project sponsors may submit applications for WAMPO-suballocated funding prior to the established deadline. Any late applications received by WAMPO will not be considered unless directed otherwise by the TPB. Once the Call for Projects Application Period ends, WAMPO staff compiles the submitted project information and tabulates PSC scores. For more information on the PSC, see Appendix B. After this process is complete, projects enter the project selection process as identified in section 6.2.

### **6.1.2 NON-SUBALLOCATED – CALL FOR PROJECTS APPLICATION PROCESS**

In order for a Non-Suballocated project to be included in a new TIP, the project sponsor must submit their project application prior to the established deadline. Any late applications received by WAMPO will not be included in the new TIP unless directed otherwise by the TPB.

If a project sponsor misses the Call for Projects Application Period deadline, they have two options to get their project included in the TIP. The first option is for the project sponsor to wait until the next Request for Amendments Application Period to include their project in the upcoming TIP Amendment. The second option is for the project sponsor to follow the process outlined in section 6.1.4.

Once a Call for Projects Application Period ends, WAMPO staff compiles the submitted project information and includes the Non-Suballocated projects into the draft of the new TIP. Project sponsors should keep in mind that Non-Suballocated projects must be fiscally constrained and that the TPB may choose not to include a Non-Suballocated project in the TIP. If the TPB chooses not to include a Non-Suballocated project in the TIP and the project does have federal funds, the project will not be able to receive federal funds.

The project must be included in an approved TIP in order to receive federal funds.

### **6.1.3 REQUEST FOR AMENDMENTS APPLICATION PROCESS**

During a Request for Amendments Application Period, project sponsors may submit applications to amend their projects already programmed in the TIP or apply to include a new Non-Suballocated project in the TIP. Allowable changes to projects during a Request for Amendments Application Period include:

- The design concept or scope of the project.
- The FFY of the project obligation date.
- A funding source (federal, state, or local) and/or amount.
- If WAMPO-suballocated funding are involved, funds must be available and the TIP must remain fiscally constrained. Project may only increase funds if it has not been obligated.
- Addition/removal of a project to the TIP.
  - If WAMPO-suballocated funding are involved, funds must be available and the TIP must remain fiscally constrained. Project may only increase funds if it has not been obligated.

Project changes not submitted to WAMPO prior to the established Request for Amendments Application Period deadline must follow the process outlined in section 6.1.4.

#### **6.1.4 MISSED APPLICATION DEADLINE PROCESS**

If a project sponsor submits a TIP project application late, projects could potentially still be included in the TIP. Projects sponsors must notify WAMPO staff one week prior to the next TAC meeting following an Application Period. Project sponsors will be required to make a request to the TAC and TPB to include their late submittal in the draft TIP or TIP Amendment. An updated public review and comment period will be held prior to TPB action on the TIP or TIP Amendment and follow the necessary public involvement process outlined in the Public Participation Plan (PPP).

### **6.2 PROJECT SELECTION**

Project selection is the process WAMPO follows in order to identify projects to be programmed with WAMPO-suballocated funding (MPO-CMAQ, MPO-STP, and MPO-TA). The TAC will use the Project Selection Criteria (PSC) as a tool to assist in the selection of projects to recommend to the TPB to be programmed with WAMPO-suballocated funding. For Non-Suballocated projects, refer to the individual agency and/or KDOT for their project selection processes.

Project sponsors and WAMPO staff are responsible for verifying that projects included in the TIP with federal funds are included in the MTP. The TPB is ultimately responsible for approving the inclusion of WAMPO-suballocated funding and Non-Suballocated projects in the TIP. The TPB has the authority to exclude a project(s) from the TIP (WAMPO-suballocated funding or Non-Suballocated).

## **7. PUBLIC INVOLVEMENT**

During the development of a new TIP and TIP Amendments, the public is given opportunities to provide their input and ask questions related to the TIP. WAMPO staff conducts, at a minimum: TIP workshops at the beginning of a new TIP development, a public open house during a new TIP's public review and comment period, and a public hearing prior to TPB action on a new TIP and TIP amendments. Additional details regarding public involvement for the TIP can be found in WAMPO's Public Participation Plan (PPP).

### **7.1 TIP WORKSHOP**

A TIP workshop will be held at the beginning of the Call for Projects Application Period for a new TIP. This workshop is open to project sponsors and the public. This workshop is provided by WAMPO staff to explain the application process, changes to the application process, and answer questions regarding the TIP and processes followed to develop the TIP. This workshop can also be split into two separate workshops if deemed appropriate where one workshop would be focused on project sponsor needs and concerns, while the other workshop would be focused more on the public needs and concerns.

### **7.2 PUBLIC OPEN HOUSES**

A public open house is held during the public review and comment period of a new TIP. This is an opportunity for the public to review, provide input, and ask questions about the new TIP. Additional details regarding public open houses can found in WAMPO's PPP.

### **7.3 PUBLIC MEETINGS AND HEARINGS**

Both the TAC and TPB meetings are open to the public. During the TPB meeting when action is scheduled to take place on a new TIP or TIP amendment the public is given an opportunity to provide comments through a public hearing.



## 8. PROJECT MONITORING

### 8.1 REASONABLE PROGRESS

Project sponsors are required to provide project progress updates for any project programmed with WAMPO-suballocated funding in the current FFY. Project progress updates are also required for any project programmed with WAMPO-suballocated funding that is under construction (including projects from previous FFYs). Project progress updates will be monitored by WAMPO staff and reported to the TPB. Projects that are programmed to receive WAMPO-suballocated funding in the current FFY should be obligated by the end of the 2<sup>nd</sup> quarter (March 31<sup>st</sup>) of the current FFY. Project sponsors should keep this in mind when applying for projects to be programmed in the TIP. Projects not obligated by this deadline will be identified to the TPB at the TPB meeting following the end of the FFY 2<sup>nd</sup> quarter. The TPB may take action on projects not obligated by March 31<sup>st</sup> up to and including the removal of unobligated WAMPO-suballocated funding.

Project progress reports will be given to the TPB at a minimum every two months. At the TPB meeting following the end of the FFY 2<sup>nd</sup> quarter, project sponsors with projects in the current FFY not obligated will be given an opportunity to present their project's status, request additional time to obligate, and be available to answer questions from the TPB.

### 8.2 MONITORING AND REPORTING

Project monitoring enable the WAMPO staff to maintain an up-to-date TIP and also fulfills the federal requirement to provide project updates. Sponsoring agencies are required to provide project updates to WAMPO. WAMPO staff will maintain Project Progress Reports (PPR) for WAMPO-suballocated funding projects.

WAMPO also publishes an Annual List of Federally Obligated Projects (ALOP) that reports on all obligations that have occurred in the WAMPO region in the previous FFY. All projects that have obligated federal transportation funds, including Non-Suballocated projects, are included in this list. KDOT and Wichita Transit provide WAMPO with all obligation information included within the ALOP.

### 8.3 WAMPO-SUBALLOCATED FUNDING PROJECTS - DESIGN STATEMENT

Projects receiving WAMPO-suballocated funding shall be designed and constructed consistent with the scope of work outlined in the TIP. The project sponsor and KDOT are responsible for determining the specific design details to be included in the project in order to accomplish the approved scope. KDOT will affirm that project design and scope are consistent with the TIP during field and office checks.

## 9. NEW TIP PROCESS

This section outline the process involved in the development of the new TIP. A visual map has been provided for this process on [Figure 2](#).

### 9.1 FUTURE FUNDING ESTIMATE

At the beginning a new TIP, KDOT provides WAMPO an estimate of anticipated funding levels for WAMPO-

suballocated funding (and MPO-CMAQ, MPO-STP, and MPO-TA) for the next four FFY's. This is referred to as the obligation authority for WAMPO-suballocated funding and is used by WAMPO to program projects in the TIP.

## 9.2 CALL FOR PROJECTS APPLICATION PERIOD

A Call for Projects Application Period is held for project sponsors to submit applications for projects to be included in the new TIP (Competitive and Non-Suballocated). For more information regarding the Call for Projects Application Period, refer to Section 6.1.

## 9.3 PROJECT EVALUATION (COMPETITIVE ONLY)

Each project application requesting WAMPO-suballocated funding will be scored through the use of the PSC (a tool used to help selected projects) for the appropriate project type. Appendix B outlines the PSC for each WAMPO-Suballocated funding source.

## 9.4 PROJECT SELECTION (COMPETITIVE ONLY)

With the use of PSC scores for projects applying for WAMPO-suballocated funding, the TAC creates a recommended list to the TPB of projects to be programmed in the new TIP. The TPB is responsible for making the final decision of what projects will be programmed with WAMPO-suballocated funding. When developing a new TIP, projects in the second, third, and fourth years in the current TIP are presumed to move into the first, second, and third years of the new TIP, respectively keeping the same priority. However, a change in regional priorities may alter this orderly progression of projects. These prequalified projects **will require new applications** with any updated information. WAMPO will not automatically carry a project sponsor's project from the current TIP to a new TIP.

## 9.5 PROJECT SELECTION (NON-SUBALLOCATED ONLY)

Non-Suballocated projects proposed will be presented to the TAC for their recommendation for TPB approval and to the TPB for action. Refer to individual agencies for their selection process. See Section 6.2 for additional details.

## 9.6 PUBLIC INVOLVEMENT

At the beginning of a Call for Projects Application Period for a new TIP, WAMPO will hold an application workshop and a public open house as described in Section 7. These opportunities provide project sponsors and the public a chance to learn more about the TIP and find out what changes have been made to the TIP application and development process.

In addition, prior to TPB action on a new TIP, a public open house meeting, a public review and comment period, and a public hearing will be held in accordance with the guidelines identified in the WAMPO PPP.

## 9.7 TAC RECOMMENDATION

The TAC will review the draft TIP and may provide one of the following recommendations to the TPB for their consideration or other recommendations they see fit.

- Recommend that the TPB approves the TIP as is.
- Recommend that the TPB approves the TIP with specific changes.
- Recommend that the TPB does not approve the TIP.



## 9.8 TPB ACTION

The TPB will review the proposed TIP and the TAC's recommendation. Upon completion of a public hearing by the TPB, the TPB may take action on the proposed TIP. When the TPB takes action on a new TIP, they may be given the following or other options they may see fit:

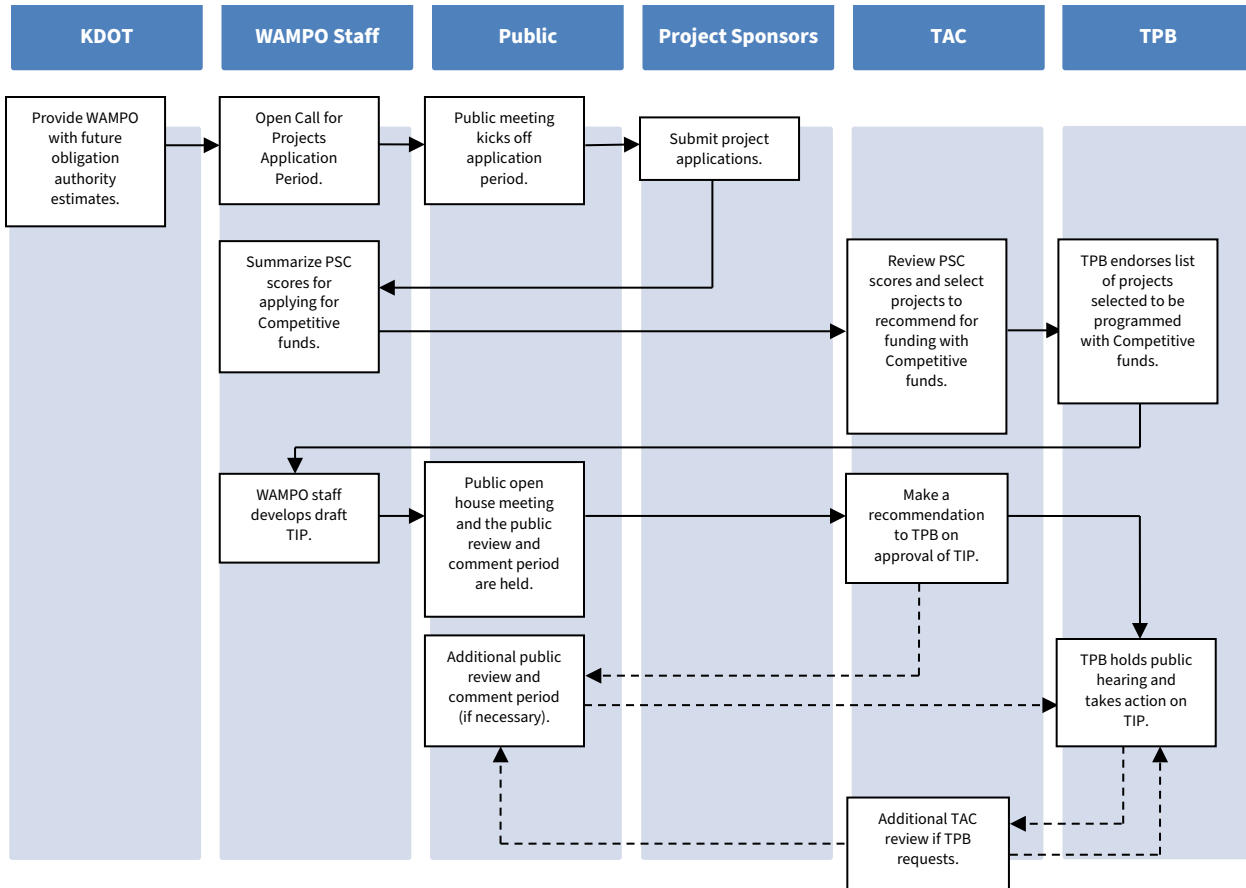
- Approve the TIP as proposed.
- Make changes to the TIP as deemed appropriate.
- Table the item for further discussion.
- Not approve the TIP.
- Request further TAC review prior to TPB action.

If the TPB requests substantial changes to the proposed TIP, a new public review and comment period and public hearing would be held.

## 9.9 INCLUSION OF TIP IN STIP

After the TPB approves a new TIP, WAMPO submits a letter to KDOT requesting inclusion of the new TIP into the STIP by reference. KDOT then processes an amendment to the STIP and request USDOT approval of the STIP amendment. Once USDOT approves the STIP amendment, KDOT and WAMPO are notified.

Figure 2: New TIP Process Visual map



# 10.AMENDMENT PROCESS

This section outlines the process involved in a TIP amendment. Amendments to the TIP occur on a quarterly basis, however, special amendments may occur when determined to be necessary by the TPB or the WAMPO Director. [Figure 3](#) has been provided as a Visual Map. All amendments must maintain the fiscal constraint requirement outlined in Section 3.1.

## 10.1 AMENDMENT CRITERIA

The TIP must be amended when one or more of the following criteria exist:

- The design concept or scope of the project has changed.
- Addition/removal of a funding source (federal, state, or local) and/or amount. (Fiscal constraint must be maintained) unless otherwise allowed by an administrative adjustment.
  - If WAMPO-suballocated funding are involved, funds must be available and the TIP must remain fiscally constrained. Project may only increase federal funds if it has not been obligated.
- Addition/removal of a project to/from the TIP. (Fiscal constraint must be maintained).
  - If WAMPO-suballocated funding are involved, funds must be available and the TIP must remain fiscally constrained. Project may only increase federal funds if it has not been obligated.

## 10.2 REQUEST FOR AMENDMENTS APPLICATION PERIOD

A Request for Amendments Application Period occurs on a quarterly basis and is the beginning of the amendment process. A tentative amendment schedule is posted on the WAMPO website. To request changes to a specific project, the project sponsor must complete a TIP Amendment Application Form during the Request for Amendments Application Period.

## 10.3 PUBLIC INVOLVEMENT

Prior to TPB action on a TIP amendment, a public review and comment period will be held. Guidelines for a public review and comment period for a TIP amendment are outlined in the WAMPO PPP.

## 10.4 TAC RECOMMENDATION

The TAC will review the draft TIP amendment and may provide one of the following recommendations to the TPB for their consideration or other recommendations they see fit.

- Approve the TIP amendment as is.
- Approve the TIP amendment with specific changes.
- Not approve the TIP amendment.

## 10.5 TPB ACTION

The TPB will review the proposed TIP amendment and the TAC's recommendation. Upon completion of a public hearing by the TPB, the TPB may take action on the proposed TIP amendment. When the TPB takes action on a TIP amendment they may be given the following or other options they may see fit:

- Approve the TIP amendment as proposed.
- Make changes to the TIP amendment as deemed appropriate.
- Table the item for further discussion.
- Not approve the TIP amendment.

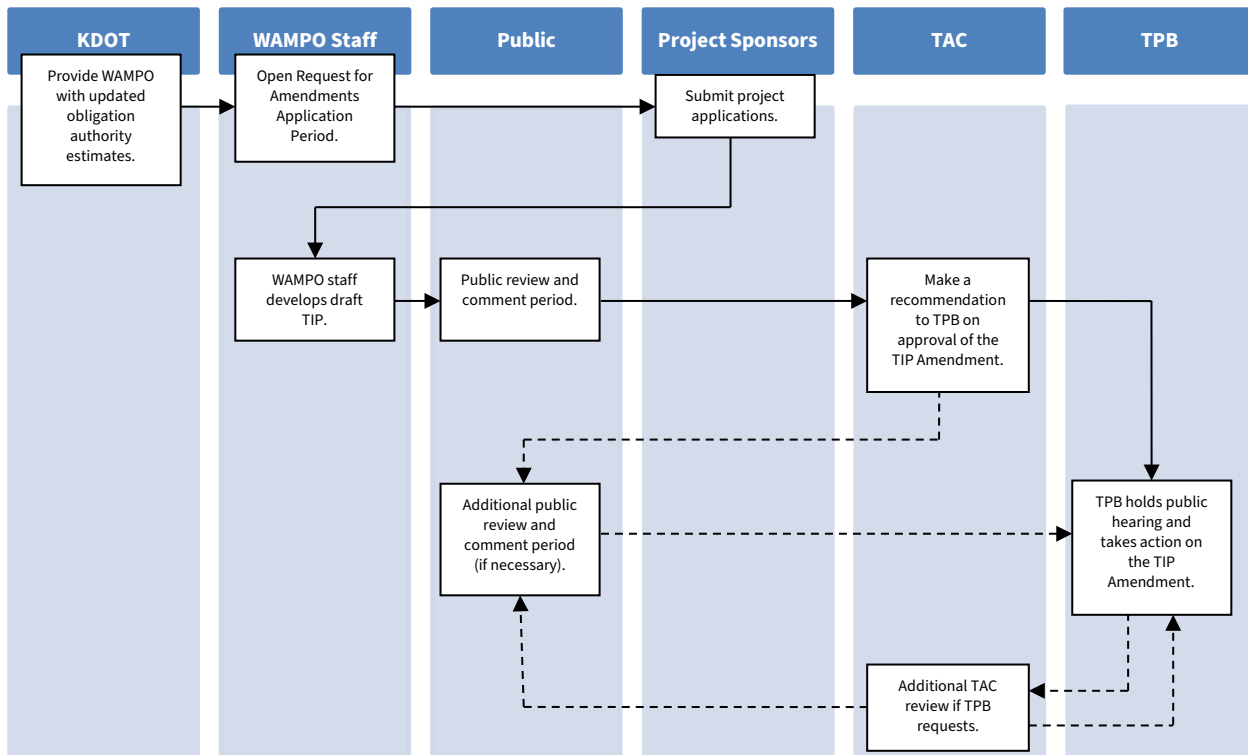
- Request further TAC review prior to TPB action.

If the TPB requests substantial changes to the proposed TIP, a new public review and comment period and public hearing would be held.

## 10.6 INCLUSION OF TIP IN STIP

After the TPB approves a TIP amendment, WAMPO submits a letter to KDOT requesting approval and inclusion of the TIP amendment into the STIP by reference. KDOT then processes an amendment to the STIP and request USDOT approval of the STIP amendment. Once USDOT approves the STIP amendment, KDOT and WAMPO are notified.

*Figure 3: Amendment Process Visual Map*



# 11. ADMINISTRATIVE ADJUSTMENT PROCESS

This section outlines the process involved in an administrative adjustment. WAMPO staff has the authority to make administrative adjustments as long as the specified criteria in section 11.1 are met. All administrative adjustments must maintain the fiscal constraint requirement outlined in section 3.1. Figure 4 has been provided as a Visual Map.

## 11.1 ADMINISTRATIVE ADJUSTMENT CRITERIA

WAMPO may administratively adjust a project in the TIP only if the following requirements are met.

- An administrative adjustment form is completed for the change requested.
- No change to the design concept or scope of the project.
- Project has not yet been obligated.
- Must maintain fiscal constraint.
- Administrative adjustments are limited to:
  - Programming of additional funding limited to the lesser of 25 percent of the total project cost or \$5 million. Any increase in WAMPO-suballocated funding must be approved by the TPB. The TPB may pre-select projects to absorb deobligated federal funds.
- Minor editorial changes that result in no changes to project scope or design.
- A change in the programmed FFY.

## 11.2 ADMINISTRATIVE ADJUSTMENT SCHEDULE

Administrative adjustments will be made to the TIP as needed and will be reflected in the TIP once a new amendment for the TIP is processed.

## 11.3 REQUEST FOR AN ADMINISTRATIVE ADJUSTMENT

An administrative adjustment can be requested by a project sponsor at any time, upon submittal of an administrative adjustment application form. Administrative adjustments allow project sponsors to make minor changes to a project in the TIP, as identified in section 6.1.3.

## 11.4 WAMPO STAFF REVIEW

After a project sponsor submits an administrative adjustment application form, WAMPO will review the requested changes and determine if they are eligible to proceed with the administrative adjustment process.

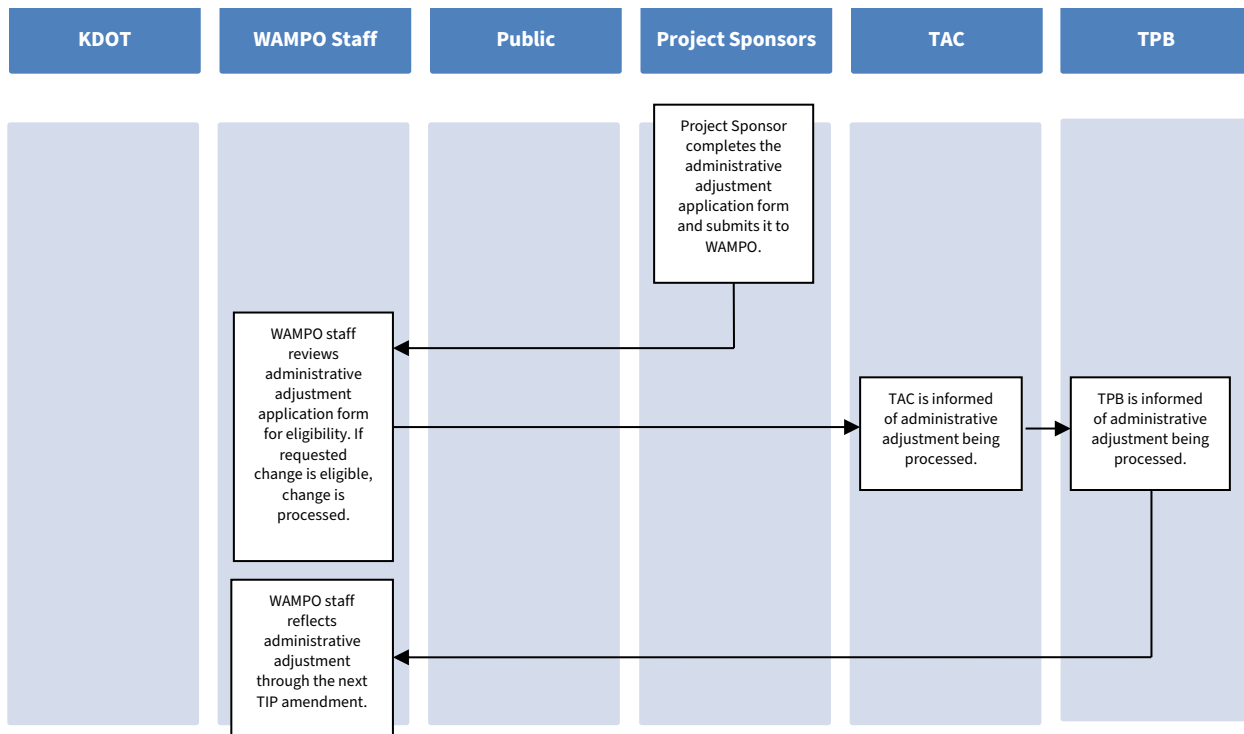
## 11.5 NOTIFY THE TAC AND TPB

If the proposed changes are eligible, WAMPO staff will inform the TAC and TPB. No action from the TPB will be necessary.

## 11.6 RECORD CHANGES IN THE TIP

All administrative adjustments to projects will be reflected in the next available TIP or TIP amendment.

Figure 4: Administrative Adjustment Process Visual Map



## 12. ATTACHMENT A: GLOSSARY OF TERMS

**Advanced Construction** – Is when a project sponsor funds 100% of a project and can be reimbursed the federal participation of funds when/if federal funds become available.

**Authorization** – Basic substantive legislation or that which empowers an agency to implement a particular program, and also establishes an upper limit on the amount of funds that can be appropriated for that program.

**Call for Projects** – A Call for Projects is the process by which WAMPO's staff informs the communities located in WAMPO's area of available federal funds. During this time, accepts applications for WAMPO-suballocated funding.

**Capped Project** – A project programmed with a specific maximum amount of federal funding participation.

**Congestion Mitigation and Air Quality (CMAQ)** – A categorical funding program that directs funding to projects that contribute to meeting national air quality standards in non-attainment areas for ozone and carbon monoxide.

**Conversion of Advanced Construction Funds** – Federal funds available to reimburse a project sponsor's costs for an advanced construction project programmed in the TIP. Conversions of funds can be in full or partial amounts, depending on the availability of funds.

**Federal Fiscal Year (FFY)** – A Federal Fiscal Year (FFY) runs annually from October 1<sup>st</sup> to September 30<sup>th</sup>.

**Federal Highway Administration (FHWA)** – A United States Department of Transportation agency whose major activities are grouped into two "programs," the Federal-aid Highway Program and the Federal Lands Highway Program.

**Fiscal Constraint** – Project costs do not exceed reasonably expected sources of funding over the period of the TIP and MTP.

**Inflation Rate** – This is used in Year of Expenditure (YOE) to account for the percentage increase for project materials and services.

**Kansas Department of Transportation (KDOT)** – The Kansas State Department responsible for planning, designing, building, operating, and maintaining the state transportation system.

**Letting** – The taking of construction bids on a project.

**Metropolitan Transportation Plan (MTP)** – The Metropolitan Transportation Plan (MTP) is the long range transportation plan for the WAMPO region. It is federally required and identifies the overall vision, goals, and objectives for the region's transportation system for the next 25 years.

**Metropolitan Planning Area (MPA)** – The geographic area determined by agreement between the MPO and the Governor, in which the metropolitan transportation planning process is carried out.

**Metropolitan Planning Organization (MPO)** – Regional planning entity responsible for transportation planning and approval of federal transportation funding for the region.

**Non-Suballocated funds** – Any federally funded and/or regionally significant project not funded with WAMPO-suballocated funding.

**Obligation** – The Federal government's legal commitment (promise) to pay or reimburse the States or



other entities for the Federal share of a project's eligible costs.

**Obligation Authority** – The total amount of funds that is available in an FFY.

**Obligation Limitation** – A restriction, or "ceiling" on the amount of Federal assistance that may be promised (obligated) during a specified time period.

**Project Evaluation Criteria** – A tool used by WAMPO to objectively rank projects that are competing for WAMPO-suballocated funding. The Project Evaluation Criteria also helps to promote consistency with the goals and policies implemented through various plans and programs adopted by WAMPO.

**Project Sponsor** – The taxing government entity that proposes and supports individual transportation projects.

**Public Participation Plan (PPP)** – The Public Participation Plan (PPP) identifies opportunities for the public to get involved with WAMPO activities and methods used by WAMPO to increase public awareness and understanding. The PPP also identifies policies WAMPO follows to provide complete and timely information to the public.

**Surface Transportation Program (STP)** – Federal-aid highway funding program that funds a broad range of surface transportation capital needs, including many roads, transit, sea and airport access, vanpool, bicycle, and pedestrian facilities.

**Technical Advisory Committee (TAC)** – A standing committee of most metropolitan planning organizations (MPOs); function is to provide advice on plans or actions of the MPO from planners, engineers and other staff members.

**Transportation Alternatives Program (TA)** – Funding for on and off-road pedestrian and bicycle facilities, infrastructure projects for improving non-driver access to public transportation and enhanced mobility, community improvement activities, and environmental mitigation; recreational trail program projects, safe routes to school projects; and projects for planning, design or construction of boulevards and other roadways largely in the right-of-way of former Interstate System routes or other divided highways.

**Transportation Improvement Program (TIP)** – The TIP is a short-range implementation tool that identifies federally funded and regionally significant projects to be carried out within the four year period following its adoption. The TIP must be consistent with the MTP.

**Transportation Policy Body (TPB)** – The governing body of WAMPO. The Transportation Policy Body (TPB) is an independent entity, which is the final decision-maker on all MPO programs and policies.

**Uncapped Project** – A project programmed without a specified maximum amount of federal funding participation.

**United States Department of Transportation (USDOT)** – A federal cabinet department of the United States government concerned with transportation.

**WAMPO-suballocated funding** – These are federal funds that include: MPO-CMAQ, MPO-STP, and MPO-TA. The TPB determines which projects receive these funds.

**Wichita Area Metropolitan Planning Organization (WAMPO)** – The transportation policy-making organization for the Wichita Area, made up of representatives from local government and transportation authorities.

**Year of Expenditure (YOE)** – The year a project is planned to be obligated with inflation costs factored

into the project cost estimates.

# 13. ATTACHMENT B: WAMPO-SUBALLOCATED FUNDING PROGRAMS MANAGEMENT PROCEDURE

Updated: December 2022

## **Issue Background**

- WAMPO awards approximately \$12 million per year in federal funding to transportation projects across the region. Collectively, these funding programs are called WAMPO funding or WAMPO sub-allocated funding.
- WAMPO's overall planning and programming processes are intended to make sure funds are awarded to the types of projects and programs that are in-line with the outcomes set by the Policy Board as defined in the Metropolitan Transportation Plan (MTP).
- KDOT generally allows up to 7% or \$1 million of WAMPO's annual suballocated funding to carry over to the next year if needed, and this change provides an opportunity for WAMPO to develop a comprehensive approach to fund management.
- This document is intended to clarify WAMPO's funding management procedures. Because this is an on-going program, WAMPO must develop processes and procedures to ensure its managed appropriately, accounting for both changes on both the cost side (e.g., construction materials) and on the funding side (e.g., annual amount)
- This document accounts for de-obligated funding, advance construction, end of year balance, and many other related issues that are part of the larger sub-allocated funding management.

## **Highlights**

- Allows all WAMPO funded projects to compete for additional funding, if additional need is demonstrated, approximately half way between initial programming and bid letting.
- Accounts for WAMPO's outstanding liability.
- Plans, Specs and Estimates (PSE) to be submitted to KDOT by May (at the latest) of year of obligation.

## **Project Cost Estimates and WAMPO Funding Awards**

Project concepts enter the WAMPO planning and programming processes up to 10 years before they are implemented, beginning with programming the project into the MTP, as noted in the WAMPO Cost Estimated Guidance at the end of this document. As the ideas and concepts move thru project development process, details about the scope of the project emerge and are refined and eventually finalized.

As projects move from ideas to final design, cost estimates can change greatly due to changes in cost of materials and changes in the project scope. As such, project sponsors are provided opportunities to update cost estimates and request additional funding, should the need be demonstrated. The WAMPO funding amount may not be adjusted after the project is obligated, so it is important to monitor cost estimate changes throughout the project development process and update accordingly.

## **Procedures:**

With each WAMPO Call for Projects (every two years), sponsors with projects already in the TIP may

compete for additional funding, in competition with other applications for new funding. Each project that is awarded WAMPO funding will have a total of two opportunities to request funding – at initial programming and again approximately half way between the initial programming and bid letting.

- WAMPO funding can only be used on the project phase associated with it in the TIP. For capital construction projects, this is usually construction and construction engineering costs.
- The entirety of the WAMPO funding award is in place during the entirety of the project. If the entirety of the WAMPO funding award is not used during the course of the project, it is released back (“de-obligated”) into WAMPO’s funding program, thus creating a surplus of funding that requires obligation by the end of the current fiscal year. See “Outstanding Liability” section below.
- The WAMPO funding amount that is programmed in the TIP at the time of obligation is capped, meaning that it cannot be increased after obligation.
- WAMPO’s commitment is for funding on the year(s) programmed in the TIP and cannot guarantee it will be available either before or after that year. The project development process can take up to three years; KDOT Bureau of Local Projects carries out this process. They have developed a comprehensive process and schedule to ensure the project development complies with applicable federal law. Given the importance of staying on schedule, WAMPO requires the Plans, Specs and Estimates (PSE) to be submitted to the KDOT Project Manager by May 1 of the scheduled year of obligation. Should the PSE be submitted after May 1, WAMPO cannot guarantee the funding and it may be reprogrammed to another eligible project.
- WAMPO assesses a TIP fee on all WAMPO funded projects. Depending on the year of obligation, the TIP % fee is as agreed upon by the TPB, and is due the month before the start of the federal fiscal year that obligation is expected to take place.

#### Advance Construction (“Split Projects”)

WAMPO follows the “Advance Construction” or AC approach that was put in place by the Federal Highway Administration (FHWA). This is the amount of funding WAMPO has committed to reimburse to the project sponsor at some point in the future. This approach allows large scale, multi-year projects to move forward without the entirety of the federal funding being in place. WAMPO uses it as a management tool to handle unanticipated increases and decreases in its annual funding amount, adjust project obligation schedules if unanticipated issues arise during project development, and give flexibility in WAMPO’s overall funding program so that we can provide an opportunity for additional funding requests.

Currently, project sponsors that have been certified by KDOT to administer (e.g., bid, and oversee the contractor) their own projects are set up as AC type projects. At this point, City of Wichita and Sedgwick County are the only project sponsors that fall into this category. WAMPO needs to increase the number of projects that are set up as AC to continue to allow this flexibility and cover its outstanding liabilities. The only difference between AC projects and non-AC projects is that AC projects require the project sponsor to “front” a portion or the entirety of the federal funding portion of the project, and then be reimbursed the federal portion in future programmed years.

#### Outstanding Liability

WAMPO currently carries “Outstanding Liability.” This represents the amount of funding that WAMPO has committed to previously awarded projects, should it be needed to carry out the project. It results from project bids that come in under the amount programmed in the TIP. After the contract for these projects has been executed, the difference between the amount programmed in the TIP and the contracted amount is released or “de-obligated,” back into WAMPO’s funding account. Should additional funding (e.g., change orders) above the contracted amount be needed during the course of the project, that

amount is made available, or “obligated” to the project up to the amount programmed in the TIP. Once the project closes out, WAMPO erases any outstanding liability associated with it.

Procedure: Maintain at least the same amount of AC bank as outstanding liability per funding program per year. This approach would not “take away” funding from any currently funded project, just delay reimbursement to project sponsors.

### De-Obligated Funds Toolkit

If none of the outstanding liability is cashed in the funds for each fiscal year will be programmed using the following set of options:

- \$1 million may be rolled over to next fiscal year, if desired
- Existing project cost updates for the current year, if not already obligated
- Advanced construction (split projects)
- Transit and Technology that can be obligated within the same fiscal year
- \*Regionally significant project expenses, if timing will allow – the TAC and TPB can allow this to trump all, if desired

### Year-End Balance Guidance (Adopted December 13,2022)

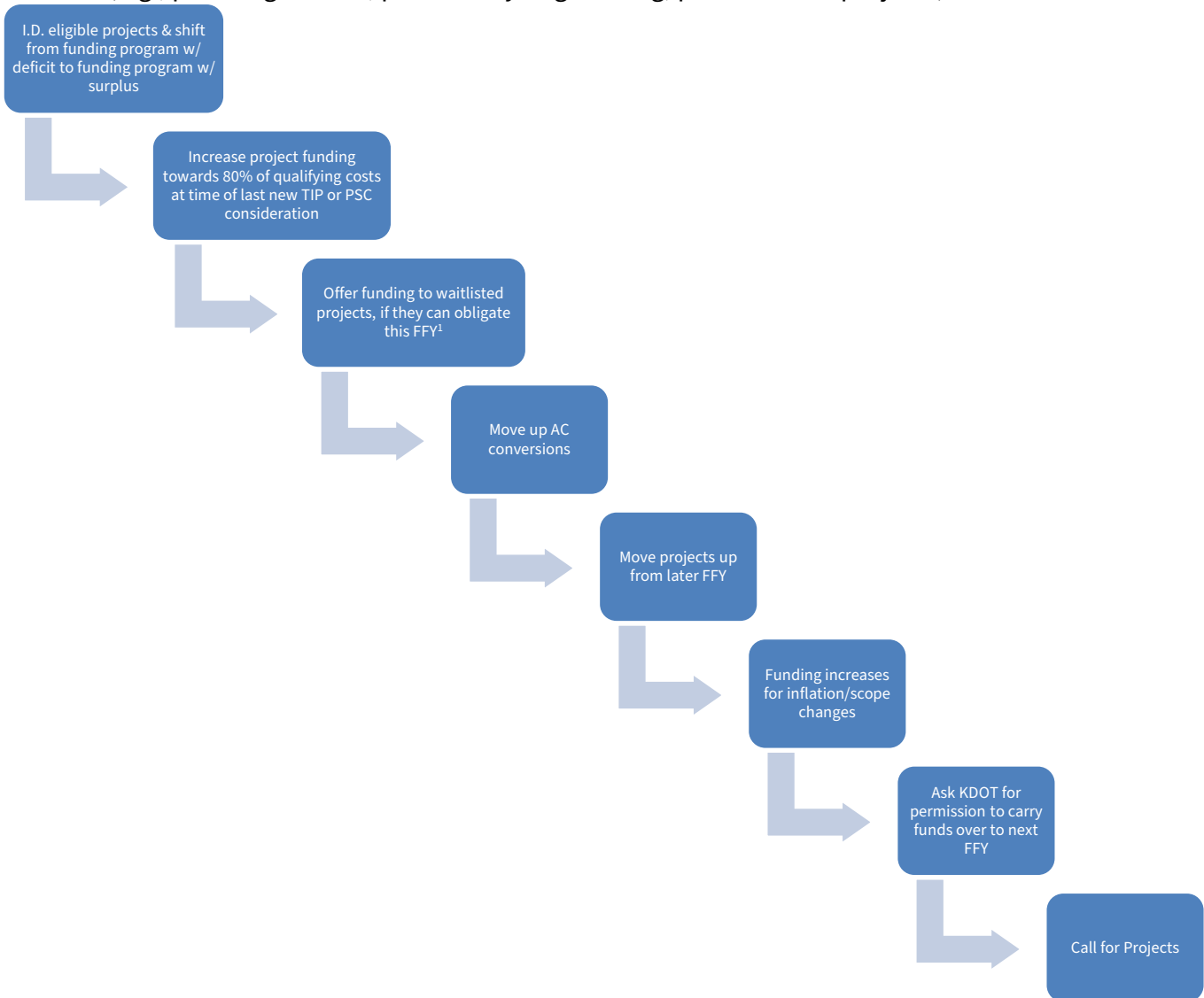
In the event of a WAMPO-suballocated funding program being projected to have a surplus or deficit at the end of the current Federal Fiscal Year (FFY), the following strategies are to be prioritized to get the projected balance as close to zero as possible. These strategies are listed in priority order; if it is not possible to implement a given strategy or that strategy only partially addresses the nonzero balance, proceed to the next listed strategy to address whatever portion of the nonzero balance still remains.

*If a WAMPO-suballocated funding program is projected to have a **surplus** at the end of the current FFY:*

1. If another WAMPO-suballocated funding program has a projected deficit, identify (an) unobligated project(s) in the current FFY that is/are currently programmed to receive funds from the program with a projected deficit but which also qualify/ies for funding from the program with a projected surplus, then change some or all of the funding programmed for that/those project(s) from the program with a projected deficit to the program with a projected surplus, without changing the overall amount of WAMPO-suballocated funding on any given project.
2. Increase funding on unobligated current-FFY projects with more than 0% and less than 80% federal funding on their qualifying phases. If all such projects already have the same percent federal funding on their qualifying phases, increase their funding proportionally, so that they will continue to have the same percent federal funding on their qualifying phases. If they do not all have the same percent federal funding on their qualifying phases, start by increasing funding on the project with the lowest percent federal funding on its qualifying phases until it ties the second-lowest project, and so on until all projects have the same percent federal funding on their qualifying phases or the projected surplus has been drawn down. *For this step, a given project’s federal funding is capped at 80% of its qualifying-phase costs, as estimated at the time of the original adoption of the current TIP (as opposed to the time of the most recent amendment to that TIP) or the time when the project’s funding was most recently considered by the PSC outside of the regular new-TIP-adoption cycle (if applicable), whichever occurred more recently.*
3. If there is/are (an) unobligated project(s) that currently has/have zero WAMPO-suballocated funding programmed on it/them but which the PSC, TAC, and TPB have placed on a waitlist for funding, contact the project sponsor(s) to confirm whether or not they would be willing and able to start the

project(s) in the current FFY if the projected funding-program surplus for that FFY were programmed on their project(s). If one or more project sponsors respond in the affirmative, start by funding whichever project on the waitlist was assigned the highest priority, and so on down the list.<sup>1</sup>

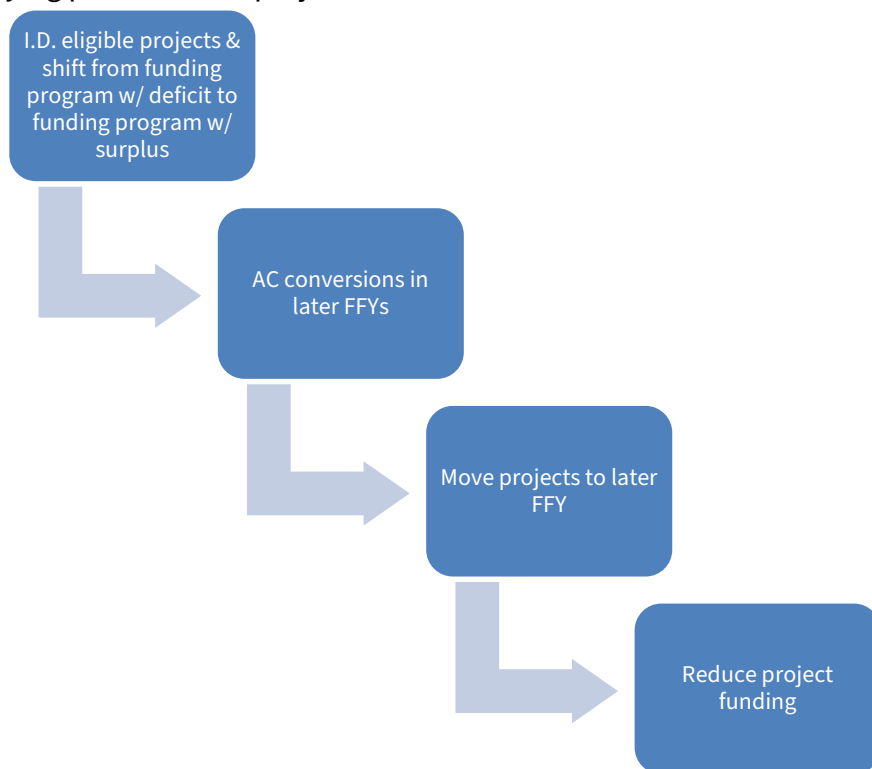
4. Move up Advance Construction (AC) conversions that had been scheduled for a later FFY to the current FFY.
5. Ask project sponsors if they would be willing and able to move up a project that had been programmed for a later FFY to the current FFY.
6. If inflation or scope changes have caused (an) unobligated project's/s' estimated costs of qualifying phases to increase since the last time either a new TIP was adopted (as opposed to amended) or the project's/s' funding level(s) was/were considered by the PSC, qualify that/those project(s) for funding up to 80% of its/their revised qualifying-phase costs. If more than one project qualifies, increase their funding proportionally relative to what they previously qualified for (as opposed to relative to their revised cost estimates), up to 80% of their respective revised estimates of qualifying-phase costs.
7. Ask KDOT for permission to carry funds over to the next FFY.
8. Issue a Call for Projects, focused on projects/activities that could obligate before the end of the current FFY (e.g., planning studies, preliminary engineering, public transit projects).



<sup>1</sup> The ability of a waitlisted project to obligate in the current FFY is dependent upon where the project is in KDOT's approval/funding processes and whether all necessary steps could be completed before the end of the FFY.

If a WAMPO-suballocated funding program is projected to have a **deficit** at the end of the current FFY:

1. If another WAMPO-suballocated funding program has a projected surplus, identify (an) unobligated project(s) in the current FFY that is/are currently programmed to receive funds from the program with a projected deficit but which also qualify/ies for funding from the program with a projected surplus, then change some or all of the funding programmed for that/those project(s) from the program with a projected deficit to the program with a projected surplus, without changing the overall amount of WAMPO-suballocated funding on any given project.
2. Use Advance Construction (AC) arrangements to move unobligated project funding to a later FFY without delaying the start of the project or reducing the overall amount of funding it will ultimately receive, provided the project sponsor has the financial means to carry the corresponding project costs until the AC funds are reimbursed.
3. Ask the sponsors of unobligated current-FFY projects if they are willing to delay the start dates of their projects to a later FFY, when more funding is expected to be available.
4. Reduce funding on unobligated current-FFY projects. If all such projects already have the same percent federal funding on their qualifying phases, reduce their funding proportionally, so that they will continue to have the same percent federal funding on their qualifying phases, according to cost estimates at the time of the original adoption of the current TIP (as opposed to the time of the most recent amendment to that TIP) or the time when the projects' funding was most recently considered by the PSC outside of the regular new-TIP-adoption cycle (if applicable), whichever occurred more recently. If they do not all have the same percent federal funding on their qualifying phases, start by reducing funding on the project with the highest percent federal funding on its qualifying phases until it ties the second-highest project, and so on until all projects have the same percent federal funding on their qualifying phases or the projected deficit has been eliminated.





# 14. ATTACHMENT C: WAMPO COST ESTIMATE GUIDANCE

*Updated: September 2019*

As per federal regulations, the entirety of the project cost (not just the WAMPO funding) must be shown in the MTP and in the TIP.

## **MTP: (5 – 10 years prior to letting)**

Approved projects with planning level cost estimates based on a local government's experience with similar projects Estimate should take into account the following stages of project development for a capital project.

- Refinement studies
- Engineering design plans/preliminary engineering
- Right of way acquisition
- Utility relocation
- Construction & construction engineering
- Railroad coordination
- Contingency

TIP: Use increasingly more refined cost estimates

Initial WAMPO Call for Projects: (4 years prior to letting)

- First opportunity to request WAMPO funding
- Use an engineer's estimate for costs, that includes all of the items listed above
- Include all costs in the TIP, both the items covered by WAMPO funding (e.g., participating) and the items not covered by WAMPO funding (e.g., non-participating).

Carry out refinement study (Optional)

- Opportunity to refine cost estimates based on the preferred scope and design among several alternatives.

Next WAMPO Call for Projects (2 years prior to letting)

- Opportunity to adjust amount of WAMPO funding requested with updated cost estimate and scope developed during refinement study, existing conditions assessment, or field check.

Year of Letting

- Adjust the cost estimate shown in the TIP during regular TIP Amendments at two project development milestones:
- Office check cost estimates
- Final check cost estimate.
- The cost estimate shown in the TIP must be within 25% of the cost estimate completed just prior to obligation or FHWA will not allow KDOT to obligate the federal funding and the project will be delayed.