

Transportation Improvement Program (TIP) Statewide Transportation Improvement Program (STIP) Administrative Action/Amendment/Notification Process

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Developed in Coordination by:
Connecticut Department of Transportation (Department)
Federal Highway Administration (FHWA)
Federal Transit Administration (FTA)

Introduction

This document has been developed to outline the process the Department uses in securing amendment and action approvals for the STIP. It outlines the roles of the Department, FHWA, FTA and the Regional Planning Organizations (RPOs). It reflects federal regulations and Department procedures. All comments received on this process will be evaluated for consistency and the process will be modified as required.

Previously Obligated Projects

The Department's practice is to set aside \$40 million in the STIP for cost increases on previously obligated FHWA funded projects. The set aside estimate is monitored and reflected in the Summary Tables submitted with a STIP Amendment to FHWA/FTA.

The Department will issue the annual listing of obligated highway and transit projects to each Regional Planning Organization (RPO), as per 23 CFR 450.332, within 90 days following the end of the Federal Fiscal year.

Unobligated Projects

A. Project Review and TIP/STIP Modification Proposals

TIP/STIP modifications may be initiated in one of three ways outlined below:

1. The Department's Bureau of Engineering and Construction holds **monthly** project status meetings to review project delivery timetables and to assess STIP modifications as needed. At these meetings, project managers are required to discuss schedule and cost modifications to their projects. Project managers and engineers from the Bureau of Engineering and Construction also coordinate regularly with the Office of Capital Services Programming and Scheduling, Bureau of Finance and Administration, to ensure that all projects are properly reflected in the STIP.

After these meetings, a review of projects that may require administrative actions, amendments or notifications is conducted by the Capital Services office. Those projects requiring a change, a TIP Action or Amendment form is

completed and both the request and the form will be sent to the Department's Bureau of Policy and Planning for processing.

2. The Department's Bureau of Finance and Administration holds transit capital meetings to review project delivery timetables and to assess STIP modifications as needed. At these meetings, project managers are required to discuss schedule and cost modifications to their projects. Designated FTA grant recipients also coordinate regularly with the Office of Capital Services Programming and Scheduling, Bureau of Finance and Administration, to ensure that all projects are properly reflected in the STIP.

After these meetings, a review of projects that may require administrative actions, amendments or notifications is conducted by the Capital Services office. Those projects requiring a change, a TIP Action or Amendment form is completed and both the request and the form will be sent to the Department's Bureau of Policy and Planning for processing.

3. If a Metropolitan Planning Organization (MPO) would like to modify an existing project in their TIP, the MPO will coordinate this activity with STIP unit staff. The STIP unit staff will review the draft TIP action to verify DOT and the MPO are in agreement with the change and will verify adequate funds are available from the Bureau of Finance and Administration. Once those two matters are confirmed, the MPO can provide their approval.

In all cases, if the request is for a new project or a project with significant change in scope, the project is reviewed by the Office of Census/Modeling to determine Air Quality Conformity. The Interagency Consultation Process will be followed. All projects needing TIP action or amendment will be processed and sent to the Required RPO as soon as possible. The requests will be emailed to the RPO Director and Transportation Planning staff and will include the TIP/STIP action amendment form (if available).

B. TIP/STIP Modification Procedures

1. Department Review of Project Modification Requests

When a request for a project modification is received, the Bureau of Policy and Planning reviews the existing STIP and any outstanding administrative action/ amendment requests that have already gone out and conducts a "review of the three rules" below.

- **Air Quality Conformity Impacts**

All TIP/STIP project modifications and new project proposals will be reviewed for Air Quality Conformity by the Census/Modeling unit.

If a proposed TIP/STIP project modification or a request to add a new project to the TIP/STIP **impacts** the Air Quality Conformity Determination or if there is a rescheduling of air quality sensitive projects, a new conformity determination is required along with a full STIP amendment and/or an amendment to the Regional Transportation Plan. The Interagency Consultation Process will be followed. The letter transmitting

these projects to FHWA/FTA for their approval will reflect the RPOs approval of this new conformity determination.

If a proposed TIP/STIP project modification or request to add a new project **does not** affect Air Quality Conformity, the Department's letter to FHWA/FTA shall explicitly state that the original TIP conformity determination still applies.

- **Intent and Limits of the Project**

The "intent and limits" of the project includes – location, termini and purpose. Should the "intend and limits" change substantially from what was originally presented to the public, a TIP amendment will be requested to reflect the change and impacts to Air Quality conformity will be reviewed. Such examples could include extending the limits of a project, the addition of lanes or otherwise changing the intent of the project. However, the cost increase due to the removal of unexpected rock from a roadway reconstruction project **does not** require an amendment so long as the length and width (number of lanes and shoulders) remains the same.

- **Fiscal Constraint Impact**

Fiscal constraint is reviewed during the TIP/STIP modification process. When all modifications are made to the existing STIP and an updated STIP is developed, the Bureau of Policy and Planning will review fiscal constraint by developing financial summary sheets on the current updated STIP. This review includes calculating the percentage of the cost increases for all projects as a whole in the TIP/STIP. Fiscal constraint is determined by comparing current available funds to the projects listed in the STIP. If the STIP is determined to be unconstrained, any current STIP modification in process will be placed on hold until additional STIP modifications are processed to bring the STIP into fiscal constraint.

2. **Determination of Administrative Action Versus Amendment versus Notification to RPO**

After consideration of the rules, the appropriate administrative action, amendment, or notification is forwarded to the RPO by the Department or the project proponent/recipient based upon the information below.

- a. **A request for an administrative action is forwarded to the RPO by the Department or the project proponent/recipient if any of the following applies:**

- A project schedule moves an FHWA funded project to another year within the STIP
- A FHWA funded project cost increases as described in Table 1: TIP/STIP Administrative Action/Amendment/Notification Criteria
- There is a change in the project's funding source
- A Right of Way (ROW) phase may be added to a project by administrative action if the need for a small ROW acquisition is discovered during construction.

- A FTA funded project exceeds the TIP/STIP total FTA programmed amount by more than 10 percent but less than 20 percent
 - A FTA funded project needs to be moved between any of the first 3 years of the current TIP/STIP or advanced from the previous TIP/STIP if the project was listed in the last 'active' year of the prior TIP/STIP
- b. A request for an amendment is forwarded to the RPO by the Department or the project proponent/recipient if any of the following applies:**
- A new project needs to be added to the STIP
 - A project is being cancelled and needs to be deleted from STIP
 - A project is being moved out beyond the life of the STIP
 - A FHWA funded project cost increases as described in Table 1: TIP/STIP Administrative Action/Amendment/Notification Criteria
 - There is a substantial change in the intent and/or project limits on a project in the STIP
 - A FTA funded project is being moved from year 4 into year 1 or 2 of the current TIP/STIP
 - A FTA funded project exceeds the TIP/STIP total programmed amount by more than 20 percent
- c. A notification by email is forwarded to the RPO by the Department or the project proponent/recipient if any of the following applies:**
- A Bridge project included in the Bridge List that is on the national highway system and is projected to cost over \$5m is added as separate line item in STIP.
 - A Safety project included in the Safety List that is projected to cost over \$5m is added as separate line item in STIP.
 - A Bridge project included in the Bridge List that is changing funding source.
 - A Safety project included in the Safety List that is changing funding source.
 - Addition of an Advanced Construction (AC) entry only, with no other changes to existing STIP entries.
 - A FHWA funded project cost increases as described in Table 1: TIP/STIP Administrative Action/Amendment/Notification Criteria.
 - An emergency declaration project is being added or adjusted in the TIP/STIP.

Note 1

FTA Section 5309 Discretionary Funds/Section 3037 Access to Jobs or any other Congressional Earmarks (only funds that have a specific earmark, i.e.,

committed by Congress) may be programmed in year 1 or 2 of the TIP/STIP. Discretionary funds that are “reasonably expected to become available” may be programmed in year 3 and then moved into years 1 and 2 by administrative action when the Congressional appropriation becomes available.

This footnote was put in by FTA.

C. STIP Amendment Submission to and Approval by Federal Agencies

Approved administrative actions are sent to FHWA and /or FTA approximately every 2 to 3 weeks.

Amendments and the updated STIP are sent to FHWA/FTA for review and approval every 2 to 3 months. A copy of the letter(s) requesting STIP amendment approval will also be sent to each RPO. Once the updated STIP is approved by FHWA/FTA, the RPOs can access the updated 4-year STIP for the entire state via the Internet.

If the amendment contains both highway and transit project modifications, ConnDOT will send FHWA and FTA separate letters asking for endorsement. FHWA and FTA will review their portion of the proposed STIP amendment and issue a separate letter of approval for the STIP amendment. All efforts are made to complete this process within 2 weeks of receipt of the STIP amendment and all necessary backup materials.

The Department will notify the RPOs via e-mail, with a cc to FHWA/FTA each time the updated STIP is available on the web. This notification will include a web address link to the updated STIP, copies of the Authorized Versus Endorsed STIP summaries for the 4-year program, and copies of the FHWA and FTA approval letters.

TABLE 1: TIP/STIP Administrative Action/Amendment/Notification Criteria

Type of Change	Responsibility		
	ConnDOT (Notify RPO)	RPO Director (Action)	RPO Board (Amendment)
<i>Adding/Deleting Projects</i>			
Project Deleted in Entirety			X
New Project Added			X
<i>Changes to Scope</i>			
Breakout Project		X	
Addition of Phase		X	
Deletion of Phase		X	
Addition of AC entry for funding purposes	X		
Intent and Limits			X
<i>Changes to Schedule</i>			
FHWA Projects:			
Phase Moves Out 1+ Years		X	
Phase is Advanced 1+ Years		X	
FTA Projects:			
Move Between Yrs 1, 2 or 3		X	
Adv. from last active yr of Previous TIP/STIP		X	
Move from Year 4 into Yr 1 or 2			X
<i>Changes to Costs</i>			
FHWA Projects <\$1,000,000:			
0-19.9% & Any \$ Amount increase	X		
20-49.9% & increase up to \$199,999	X		
20-49.9% & increase \$200,000 & over		X	
Over 50% & increase up to \$249,999		X	
Over 50% & increase \$250,000 & over			X
FHWA Projects ≥ \$1,000,000:			
0-19.9% & Any \$ Amount increase	X		
20-49.9% & Any \$ Amount increase		X	
Over 50% & Any \$ Amount increase			X
FTA Projects of Any \$ Amount:			
Increase >10% but <20%		X	
Increase >20%			X
<i>Changes in Funding Category</i>			
Any Program		X	
Changing to all state funds	X		
Adding an emergency declaration project to STIP	X		
Moving project from Bridge list into STIP under BRXZ or different funding source	X		
Moving project from Safety list into STIP under HSIP or different funding source	X		