

Alaska Statewide Transportation Improvement Program

Procedures for Revisions

Introduction

The purpose of the State Transportation Improvement Program (STIP) Manual is to set forth definitions and procedures to be used for processing revisions to the Statewide Transportation Improvement Program (STIP) and the process to incorporate Metropolitan Planning Organizations (MPOs) Transportation Improvement Programs (TIPs).

Agencies involved in this process include DOT&PF, the MPOs, the Federal Highway Administration (FHWA), and the Federal Transit Administration (FTA). Alaska has two MPOs: the Anchorage Metropolitan Area Transportation Solutions (AMATS) and Fairbanks Area Surface Transportation Planning (FAST).

Transportation Improvement Programs (TIPs) developed by Metropolitan Planning Organizations (MPOs) are incorporated into the STIP. If the MPOs have definitions outlined within their operating agreements or procedures for TIP administrative modifications and amendments that are in accordance with the provisions of 23 CFR 450, then those definitions may be used. If amendment and administrative modifications definitions are not included, or not in accordance with 23 CFR 450, then the definitions below shall apply to MPO TIPs.

Concerning the TIP, the procedures section of this document covers the procedures only for incorporation of the TIP into the STIP. The MPOs have independent procedures established for the development of the TIP and TIP revisions, including public and committee reviews.

The following criteria have been developed for processing administrative modifications and amendments to the STIP/TIP in accordance with the provisions of 23 CFR 450.

Definitions

Administrative Modification: Per 23 CFR 450.104, **Administrative modification** means a minor revision to a long-range statewide or metropolitan transportation plan, Transportation Improvement Program (TIP), or Statewide Transportation Improvement Program (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 is a revision that does not require public review and comment, a redemonstration of fiscal constraint, or a conformity determination (in nonattainment and maintenance areas).

Administrative modifications are minor revisions to the STIP/TIP. This type of change does not require public review, demonstration of fiscal constraint, or FHWA/FTA approval. Changes may include:

- Increases to funding amounts of a project or phase of a project where the increase is greater than 10% of the total project cost and within the financial thresholds identified below:
 - The total project cost* as indicated in the approved STIP/TIP is less than \$3 million; an administrative modification shall be used for an increase in cost between 10% and 50% of the total project cost or \$1 million, whichever is less.
 - The total project cost as indicated in the approved STIP/TIP is greater than \$3 million but less than \$10 million; an administrative modification shall be used for an increase in cost between 10% and 30% of the total project cost.
 - The total project cost as indicated in the approved STIP/TIP is greater than \$10 million; an administrative modification shall be used for an increase in cost between 10% and 20% of the total project cost.

*Total programmed amount in the approved STIP to complete all phases of a project. It includes all sources of funds associated with the project (federal, state, local, match, etc.).

Table 1

Total project cost* of all phases within approved STIP	Administrative Modification	Amendment
Total project cost < \$3,000,000	10% < cost increase ≤ 50% or < \$1,000,000 <i>whichever is less</i>	Cost increase > 50% or > \$1,000,000 <i>whichever is less</i>
\$3,000,000 ≤ total project cost < \$10,000,000	10% < cost increase ≤ 30%	Cost increase > 30%
Total project cost ≥ \$10,000,000	10% < cost increase ≤ 20%	Cost increase > 20%

*Total programmed amount in the approved STIP to complete all phases of a project. It includes all sources of funds associated with the project (federal, state, local, match, etc.).

- Revisions to a project scope that do not:
 - Result in an air quality conformity reevaluation,
 - Result in a revised total project cost estimate that exceeds the financial thresholds established in this section, or
 - Result in a change in scope on any federally funded project that is significant enough to constitute a new project.

- Shifts project funding between projects, subject to the financial thresholds established in Table 1 of this MOU.
- Splitting up a single project or combining multiple projects.
- Adds a right-of-way phase to a project for incidental right-of-way work that does not exceed the financial thresholds established in this section.
- Adds a utility phase to a project for incidental utility work that does not exceed the financial thresholds established in this section.

Amendment: Per 23 CFR 450.104, **Amendment** means a revision to a long-range statewide or metropolitan transportation plan, TIP, or STIP that involves a major change to a project included in a metropolitan transportation plan, TIP, or STIP, including the 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 (e.g., changing project termini or the number of through traffic lanes or changing the number of stations in the case of fixed guideway transit projects). Changes to projects that are included only for illustrative purposes do not require an amendment. An amendment is a revision that requires public review and comment and a redemonstration of fiscal constraint. If an amendment involves non-exempt projects in nonattainment and maintenance areas, a conformity determination is required.

Amendments are major changes to the STIP that require federal approval, public review, demonstration of fiscal constraint, or an air quality conformity. An amendment is a modification to the STIP that:

- Affects air quality conformity regardless of the cost of the project or the funding source.
- Requires an Air Quality Conformity Evaluation.
- Changes a project cost to a level greater than the financial thresholds established in section 2.1 and Table 1 of this MOU.
- Adds or deletes a project phase other than a right-of-way or utility phase as established in section 2.1 of this MOU.
- Adds federal funds to a project currently without any federal funds.
- Changes in scope of a project that alters the original project intent.
- Adds or deletes a project. Exceptions are made for emergency repair projects established below in section 2.3 of this MOU.
- Incorporating a TIP or TIP amendment into the STIP is considered a STIP amendment and will follow the procedures listed below.

Updates that Do Not Require a STIP Change: The DOT&PF, FHWA, and FTA recognize that some revisions to the STIP require neither an amendment nor an administrative modification. These revisions do not require a formal STIP change and may be subsequently reflected in later updates to the STIP. This list identifies several revisions that do not require a formal STIP change, but it may not be an exhaustive list.

- Increases to funding amounts of a project or phase of a project where the increase is less than 10% of the total project cost.
- Any technical correction and other minor changes such as change in title, project description, implementing agency, or project sponsor.
- Moving existing programmed amounts between phases or years.
- Any changes to projects that are not required to be in the STIP/TIP such as emergency, safety, planning projects, or non-regionally significant projects that do not include federal funding.
- Advances a project schedule in the approved STIP/TIP in lieu of another project.
- Changes the federal funding category (apportionment) programmed for a phase or a project, as this is a funds management action.
- Adds a project for emergency repairs to roadways or bridges, except those involving substantial, functional, location, or capacity changes.
- Funding adjustments to award contracts.

Procedures

Approval of STIP Administrative Modifications

- Administrative modifications will be incorporated into the STIP and no federal action will be required. Approval will be through a memorandum signed by the DOT&PF Statewide Program Development and Planning Director.
- Administrative modification memorandums will be posted to the website and forwarded to FHWA and FTA for their records.
- DOT&PF will update the STIP to include these modifications periodically as full amendments or STIP updates are processed.

Approval of STIP Amendments

- Amendments to the STIP will be developed in accordance with provisions of 23 CFR 450.
- DOT&PF will send draft amendments to FHWA and FTA for review at time of public review.
- FHWA and FTA will provide DOT&PF with any comments during the public review period or within one week of the completion of the public review period.
- Upon approval by the Commissioner, amendment approval requests will be submitted by DOT&PF to FHWA and FTA. The amendment approval request will include a description of the changes, a fiscal constraint analysis, and a certification letter per 23 CFR 450.218.
- FHWA and FTA will strive to approve STIP amendments within two weeks of receipt of the request for approval. Amendments which cannot be approved will be returned to DOT&PF within two weeks, with a clear explanation of what actions can be taken so that the amendment can be approved.

- Upon approval, FHWA and FTA will issue a joint, written response notifying Alaska DOT&PF of their decision.
- Amendments that contain projects specific to only one agency (FHWA or FTA) may be approved on behalf of both agencies by the appropriate agency, with a copy of the approval provided to the other agency.
- Amendments that contain both transit and highway projects and amendments that trigger an Air Quality Conformity Determination require joint approval from both FHWA and FTA. In these cases, the procedures for STIP approval and Air Quality Conformity Determinations will be followed.
- Once approved by FHWA and FTA, the amendment will be incorporated into the STIP.

Incorporation of MPO TIP Administrative Modification into the STIP

- MPO TIP administrative modifications will be submitted to Alaska DOT&PF Statewide Program Development and Planning.
- MPO TIP administrative modifications will be approved through a memorandum signed by the Commissioner of DOT&PF, the statutory designee for all state transportation planning matters.
- Administrative modification memorandums will be posted to the website and forwarded to FHWA and FTA for their records. This action constitutes the incorporation by reference of the TIP revision into the STIP.

Incorporation of MPO TIPs and TIP Amendments into the STIP

- MPO TIPs and TIP amendments will be submitted to DOT&PF Statewide Program Development and Planning.
- Upon approval by the Commissioner, MPO TIPs and TIP amendments will be submitted by DOT&PF to FHWA and FTA with a request for approval to incorporate the amendment into the STIP. The request will include a description of the changes, a fiscal constraint analysis, and a certification letter per 23 CFR 450.330.
- The requirements for public review will be satisfied by the MPO TIP public review period.
- Upon approval, FHWA and FTA will issue a joint, written response notifying DOT&PF of their decision.
- TIP amendments that contain projects specific to only one agency (FHWA or FTA) may be approved on behalf of both agencies by the appropriate agency, with a copy of the approval provided to the other agency.
- TIP amendments that contain both transit and highway projects and amendments that trigger an Air Quality Conformity Determination require joint approval from both FHWA and FTA. In these cases, the procedures for Air Quality Conformity Determinations will be followed.
- TIP amendment approval letters will be posted to the website. This action constitutes the incorporation by reference of the TIP revision into the STIP.

Dispute Resolution

If a question arises on the interpretation of the definition of an administrative modification or amendment, DOT&PF, FHWA, and FTA will consult with each other to resolve the question. If after consultation, the parties disagree on the definition of what constitutes an administrative modification or amendment, the final decision rests with FHWA for federal-aid highway funded projects and FTA for community and public transit funded projects.

Other TIPs Incorporated by Reference

Planning organizations that receive federal funding for transportation projects in Alaska and that have their own federally-required TIPs must also be incorporated into the STIP by reference. These TIPs are not displayed in full in the STIP, but links to these TIPs can be found on the STIP Incorporation website.