STIP/TIP Amendment and Administrative Modification Process
Idaho Transportation Department
Office of Transportation Investments

Purpose

This document establishes the **process** followed by the Idaho Transportation Department in amending the Idaho Statewide Transportation Improvement Program (STIP). Included are **criteria** considered in determining whether a STIP change is handled as an ***amendment*** or as an ***administration modification***. Criteria may include limits or thresholds that help dictate the handling of the change. This document also shows the processing workflow for changes to projects both within and outside of metropolitan planning areas.

Legal Authorities and Guidance

23 CFR §450.104	***Definitions***
23 CFR §450.206	***Scope of the statewide transportation planning process***
23 CFR §450.208	***Coordination of planning process activities***
23 CFR §450.210	***Interested parties, public involvement, and consultation***
23 CFR §450.216	***Development and content of the statewide transportation improvement program (STIP)***
23 CFR §450.218(b)	***Self-certifications, Federal findings, and Federal approvals***
ITD Policy 4001	***Authority to Sign Contracts, Agreements, and Grants and Requirement to Report Certain Contracts***
ITD Policy 4011	***Idaho Transportation Investment Program***

Definitions (from 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, re-demonstration of fiscal constraint, or a conformity determination (in nonattainment and maintenance areas).

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). 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, re-demonstration of fiscal constraint, or a conformity determination (for metropolitan transportation plans and TIPs involving "non-exempt" projects in nonattainment and maintenance areas). In the context of a long-range statewide transportation plan, an amendment is a revision approved by the State in accordance with its public involvement process.

Design scope - means the aspects that will affect the proposed facility's impact on the region, usually as they relate to vehicle or person carrying capacity and control (e.g., number of lanes or tracks to be constructed or added, length of project, signalization, safety features, access control including

approximate number and location of interchanges, or preferential treatment for high-occupancy vehicles).

Revision - means a change to a long-range statewide or metropolitan transportation plan, TIP, or STIP that occurs between scheduled periodic updates. A major revision is an "amendment," while a minor revision is an "administrative modification."

Criteria for STIP Amendments vs Administrative Modifications

A key feature of a process document regarding changes to the STIP are that it includes clear criteria to guide the decision whether to process a STIP change as an amendment or as an administration modification.

Coupled with this is an understanding that ITD's criteria for determining the processing of a STIP change is ***independent*** of the criteria used by a metropolitan planning organization (MPO) for treating changes to TIP's for projects in their planning areas. In other words, the process followed by the state DOT – whether amendment or administrative modification – may differ from the handling chosen by the MPO through application of their amendment or administration modification policy.

State DOT (ITD) Criteria for STIP Amendments vs Administrative Modifications	**Amendment**	**Administrative Modification**
1. Adding a new non-grouped project into the 4-year STIP;	X	
2. Removing a non-grouped project within first four years of the approved STIP;	X	
3. Adding or Removing projects that are exempt (per Title 40 §93.126) and/or that have air quality implications; and	X	
4. Make major changes to one or more projects using the below guidelines for 'Major Changes'.	X	
• Either the percentage change to an individual project's Total Project Cost greater than 30%, or the project's Total Project Cost changes by at least $2,000,000.		
• Cost changes to one or more grouped projects result in a percentage change to the group control total of at least 30%, or a dollar cost change to the group control total of at least $2,000,000.		
• Change in funding across modes (i.e. funding source changes from highway to transit or vice versa), unless the project is grouped.		
• Major changes in project scope (e.g. number of through traffic lanes).		
• Changes in project location limits greater than a net 0.25 miles and/or which trigger an air quality conformity amendment.		
• Changes to a project that affect air quality conformity demonstration		
5. Any project changes other than those described in Items 1 through 4.		X

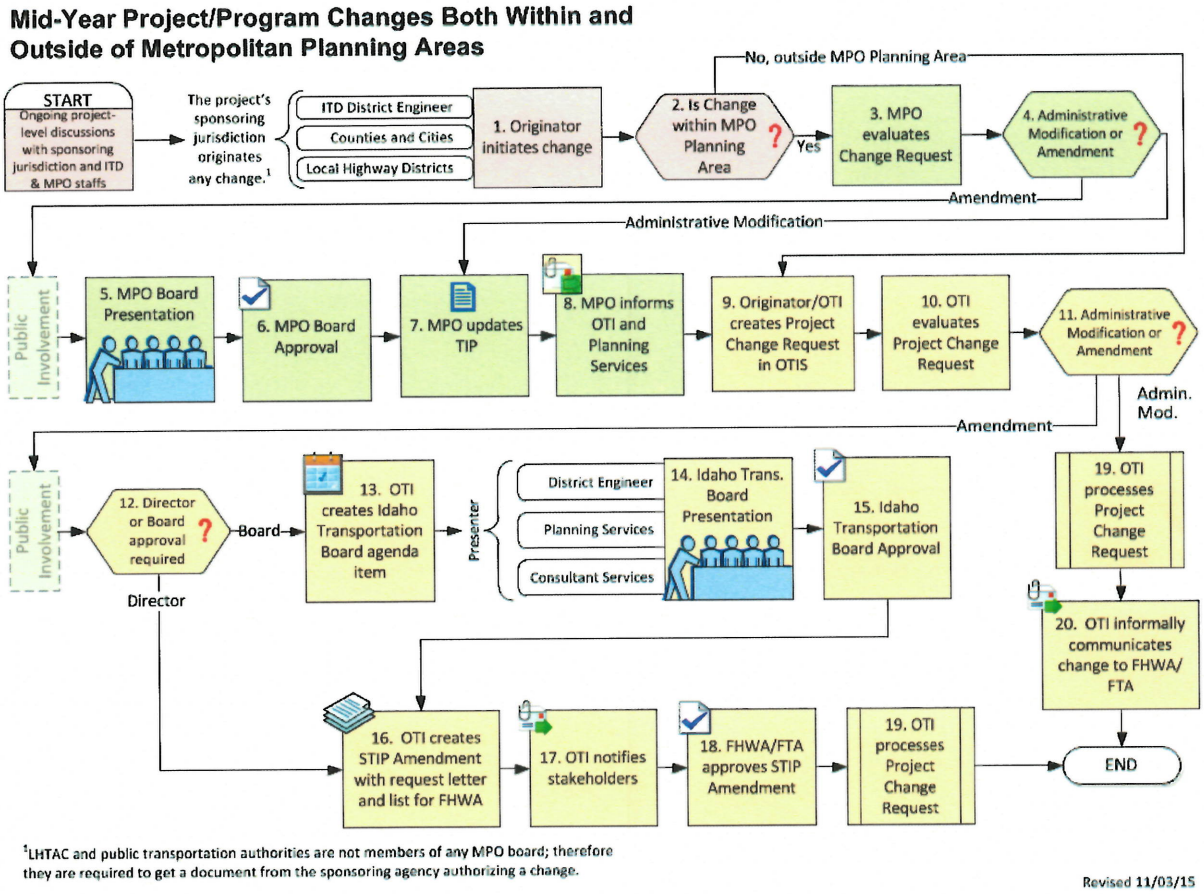
Additionally, any corrections to errors in the STIP will be handled as Administrative Modifications. These include corrections to:

- Improvement type
- Project limits
- Functional classification
- Typographical errors
- Transposed numbers

Processing of Changes to the STIP

The processing of changes to the STIP can be categorized based on whether they are for projects within or outside of a metropolitan planning area, and whether the change to the STIP meets the criteria for an Amendment or an Administrative Modification.

The following exhibit (which is repeated in the appendix at a larger scale) shows the handling for STIP changes keeping in mind the considerations listed above:



Handling of STIP Project Changes

Changes to projects in metropolitan planning areas must be initiated by the ITD District Engineer, Local Highway Districts, or representatives of the requesting city or town through communications with the appropriate MPO. Changes to projects in all other areas are initiated with requests directed to the Office of Transportation Investments.

The steps of this process are as follows:

1. The Originator (ITD District Engineers, or representatives from counties, cities or local highway districts) initiates a Change Request.
2. If the Change Request is for a project in an MPO planning area, handling of this request passes to the corresponding MPO. Otherwise the Change Request is directly forwarded to the Office of Transportation Investments (Step 9 in this process).

MPO Processing

3. The MPO evaluates the Project Change Request.
4. Based on their Amendment vs Administrative Modification criteria, the MPO decides whether to process the change as an Administrative Modification or Amendment.

   (Note: If an Administrative Modification, the MPO's Executive Director or delegate follows their handling procedures for this type of change and skips forward to Step 7 of this process.)

5. If an **Amendment**, the MPO prepares a Change Request item, applies their Public Involvement process, and presents the item to their policy board for approval.
6. The Policy Board for the MPO approves the TIP **Amendment**.
7. Following process of their TIP Amendment or Administrative Modification, the MPO Updates their TIP.
8. The MPO informs ITD's Office of Transportation Investments (OTI) and Planning Services groups of the successful change.

ITD Processing

9. The MPO – in the case of Change Requests to projects in the MPO planning area – or the Change Request Originator/OTI for all other Change Requests, creates the Project Change Request within the OTIS information management system maintained by ITD.
10. OTI evaluates the Project Change Request.
11. Based on ITD's Amendment vs Administrative Modification criteria, OTI decides whether to process the change as an Administrative Modification or Amendment.

    (Note: If the change qualifies as an Administrative Modification, processing skips forward to Step 20 of this process.)

12. If an Amendment is required, OTI applies their Public Involvement process, and determines whether Idaho Transportation (IT) Board approval is required based on overarching ITD Administrative and Board policies.
13. If IT Board Approval is required, OTI creates an Idaho Transportation Board agenda item. If IT Board Approval is not required, the process skips to Step 16.
14. The Project Change board item is presented to the IT Board by the District Engineer or the Planning Services or Consultant Services sections.
15. The IT Board approves the Project Change.
16. OTI creates the STIP Amendment request letter and attachments for transmittal to the FHWA and FTA.

17. OTI notifies all stakeholders.
18. The FHWA and FTA approve the STIP Amendment Request and forwards their response to ITD.
19. OTI completes processing of the Project Change by updating the project record in the OTIS information management system. The status of approved Amendments are reflected in changes to ITD's website.
20. ITD Program Changes through Administrative Modifications are communicated to the FHWA and FTA on a regular and consistent basis.

The following guidance is used in Step 12 to determine whether an Amendment type of change requires Board Approval or approval by the Director or his delegate:

Type of Change	IT Board Consent*	STIP Amendment Request
Addition/deletion of individually identified projects	Yes	Yes
Major scope and costs changes (cost, work, location)	Yes	Yes
Major changes to Group Control Totals	No	Yes
Project advance/delay within first 4 years	Yes	No
Project advance/delay outside of first four years	Yes	Yes
Transfer of funds between FHWA and FTA	No	Yes
*Note: as per Idaho Transportation Board Policy 4011, IT Board Consent is not required for changes to projects in the Pavement, Bridge, or Strategic Initiatives. Changes to projects in these programs may be approved by the ITD Director or his delegate. Federal considerations still apply regarding the processing of STIP amendments for these changes.		

Correspondence Regarding STIP Changes

ITD processing of ***Administrative Modifications*** to the STIP are communicated to the Federal Highway Administration and Federal Transit Administration on a regular and consistent basis. These communications may occur as often as monthly (if warranted by the volume of changes) or at a minimum, quarterly. Communications are accomplished through electronic mail and will be from the Manager, Office of Transportation Investments or delegate.

Requests to modify the Statewide Transportation Improvement Program through ***Amendments*** are made in writing to the administrators of the Federal Highway Administration and Federal Transit Administration or their delegates. These requests from ITD to the FHWA and/or FTA are signed by the Idaho Transportation Department Director or delegate.

IT Board items regarding amendments for changes that originate within the metropolitan planning organizations will reference the relevant MPO Policy Board action or executive director action, whichever pertains.

Amendment Request Letters will reference review and decisions made by MPO Policy Board, executive directors, and/or IT Board as appropriate.

ITD Transportation Board Policy 4001 titled "Authority to Sign Contracts, Agreements, and Grants and Requirement to Report Certain Contracts" states:

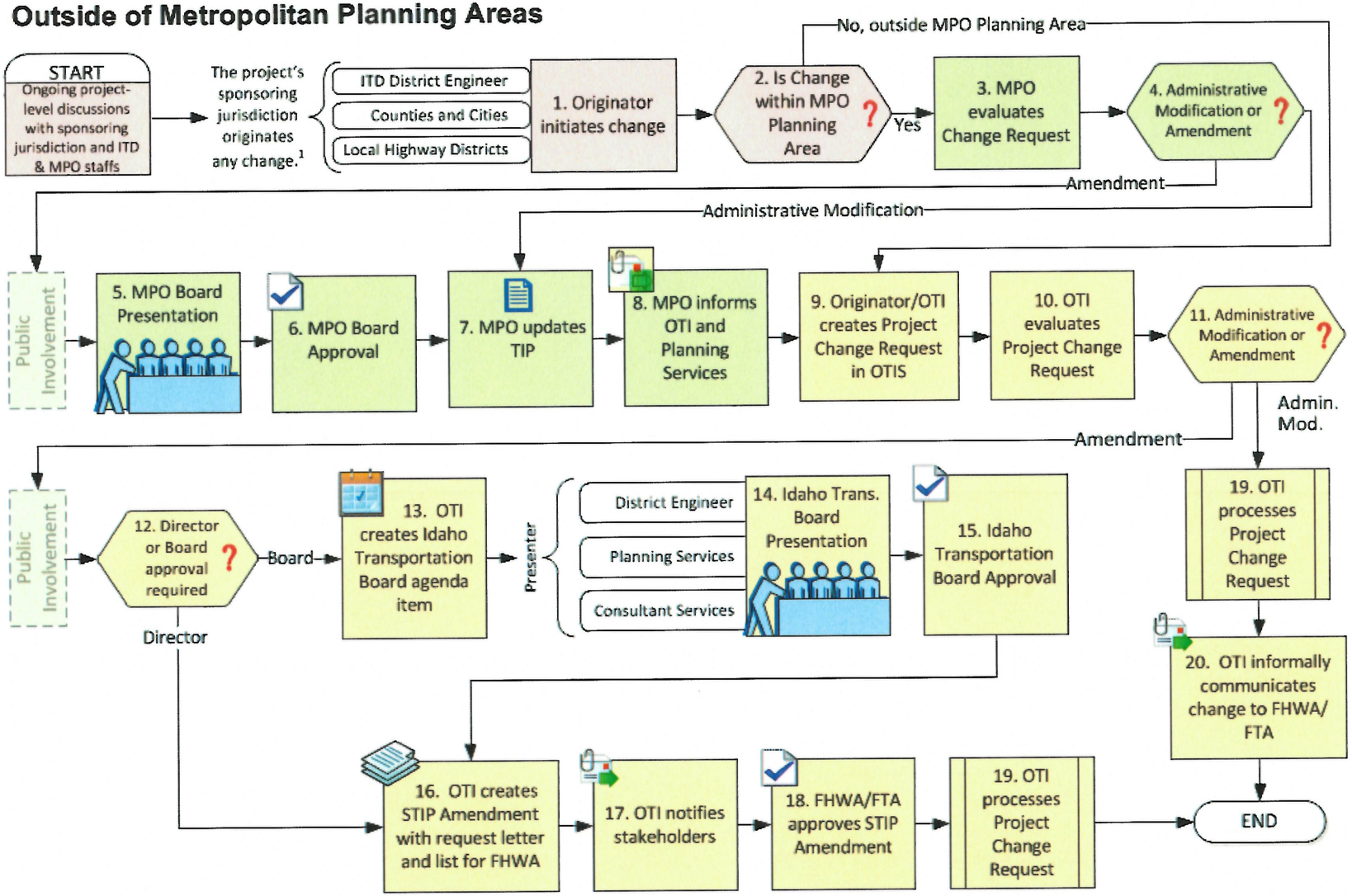
Delegated Authority

The Director or delegate shall approve contracts, agreements, and grants, and is authorized to sign all contracts, agreements, and grants required for the proper functioning of the Idaho Transportation Department. Signing authority may be delegated to Executive Officers, Division Administrators, District Engineers, and Section Managers when acting within their jurisdictional duties. Any authority so delegated shall conform to all applicable laws, rules, and regulations. Such authority shall not be exercised by the delegate in the event of a conflict of interest or if apparent personal gain is evidenced.

For the purposes of the administrative handling of STIP amendment requests, the ITD Director delegates signatory authority to the Section Manager responsible for the development and upkeep of the STIP.

Appendix

Mid-Year Project/Program Changes Both Within and Outside of Metropolitan Planning Areas



[1]LHTAC and public transportation authorities are not members of any MPO board; therefore they are required to get a document from the sponsoring agency authorizing a change.

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