FHWA/FTA AND MNDOT GUIDANCE FOR

FORMAL STIP AMENDMENTS AND ADMINISTRATIVE STIP MODIFICATIONS

Effective: April 15, 2015

The STIP may be updated periodically throughout the course of the year for project additions, advancements, changes in scope, cost, and other types of changes. These changes are accomplished either by a Formal STIP Amendment or an Administrative STIP Modification. Every effort should be made to keep Formal STIP Amendments and Administrative STIP Modifications to a minimum.

Formal STIP Amendment

Before Federal Highway Administration (FHWA) or Federal Transit Administration (FTA) can approve a Formal STIP Amendment, the associated Metropolitan Planning Organization (MPO)'s TIP must also be amended if the project is within the geographic boundaries of the MPO. Generally, the MPO Transportation Improvement Program (TIP) may only be amended by a formal approval action of the MPO Policy Board.

FHWA Formal STIP Amendment **-** For projects using highway funds, formal STIP amendments are required based on the following criteria:

- The change adds new individual FHWA funded projects.
- The change adds a regionally significant project (see Page 5 for regional significant project definition).
- The change impacts financial constraint, including total cost increases or decreases meeting the Formal STIP Amendment thresholds.
- The change adds or removes a phase of work such as preliminary engineering, right-of-way, construction, etc. to the project which increases or decreases the total project cost.
- The change results in project scope change includes, but not limited to, changing work type such as bridge rehabilitation to replacement, resurface to reconstruct, adding additional work/bridge/lane/intersection/route.
- The change in project limit/termini greater than 0.3 miles in any direction.
- The change impacts air quality conformity for projects in an MPO.

FHWA FORMAL STIP AMENDMENT THRESHOLDS

STIP Total Project Estimate Cost	FHWA Formal STIP Amendment required if increase/decrease more than:
< $1,000,000	No Formal STIP Amendment required*
$1,000,001 to $3,000,000	50%
$3,000,001 to $10,000,000	35%
$10,000,001 to $50,000,000	20%
$50,000,001 to $100,000,000	15%
> $100,000,000	10%

*No Formal STIP Amendment is required when a STIP total project estimate cost is less than $1 million AND the proposed total estimate cost remains less than $1 million.

FTA Formal STIP Amendment **-** For projects using transit funds, Formal STIP Amendments are required based on the following criteria:

- The change adds new individual FTA funded projects to the current approved STIP.
- The change increases the STIP total project estimate cost by more than 20%.
- The change impacts air quality conformity for projects in an MPO.

FTA FORMAL STIP AMENDMENT THRESHOLDS

STIP Total Project Estimate Cost	FTA Formal STIP Amendment required if increase more than:
Any amount	20%

Administrative STIP Modification

Project changes which do not meet the criteria for Formal STIP Amendment may be accomplished by simply changing minor information on the project.

FHWA Administrative STIP Modification – For projects using highway funds, Administrative STIP Modifications are required based on the following criteria:

- The increase or decrease in cost estimate meeting FHWA Administrative STIP Modification thresholds. Justification is required to maintain fiscal constraint.
- Identifying a new project from a federal set-aside in the same state fiscal year.
- Change in STIP year. Projects are advanced or deferred within STIP years with no changes to cost or scope. Justification is required to maintain fiscal constraint.
- The addition of a state funded project to the STIP, which is not regionally significant.
- Converting a state funded project to a federally funded project with no changes to scope or cost. Justification is required to maintain fiscal constraint.
- The change adds a locally funded project to an existing federally funded project in the STIP if the revised total project cost is greater than $2 million. This applies to both MnDOT let and local let project. No action required if the revised total project cost is less than $2 million.
- The change includes making a technical correction.
- Adding or removing Advance Construction (AC) – includes adding new AC, increase or decrease existing AC amount, or taking an existing AC off a project.
- Removing a project currently programmed in the STIP.
- Splitting a project into two or more projects. Splitting projects have to be located within the original planned location, no change in combined total cost, and no shift in state fiscal year (OTSM's prior approval required).

FHWA ADMINISTRATIVE STIP MODIFICATION THRESHOLDS

STIP Total Project Estimate Cost	Administrative STIP Modification required if increase/decrease more than:
< $1,000,000	No Administrative STIP Modification required**
$1,000,001 to $10,000,000	20%
$10,000,001 to $100,000,000	10%
>$100,000,000	***

**No Administrative STIP Modification is required when a STIP total project estimate cost is less than $1 million AND the proposed total estimate cost remains less than $1 million.

***Processing an Administrative STIP Modification for high profile projects (greater than $100 million), which the change impacts financial constraint, requires prior collaborative discussion between MnDOT and FHWA.

FTA Administrative STIP Modification – For projects using transit funds, Administrative STIP Modifications are required based on the following criteria:

- Moving projects between years of the current approved STIP.
- Changing FTA funding source such as changing from Section 5307 funds to Section 5339 funds or vice versa.
- Changing federal funding from FTA funds to FHWA funds or vice versa. Fiscal constraint justification required.
- Making a technical correction.
- Changing the State Project Number.

Who Approves Formal STIP Amendment

- Formal STIP Amendments involving only highway funds are approved by FHWA.
- Formal STIP Amendments involving only transit funds are approved by FTA.
- Formal STIP Amendments involving both highway and transit funds require joint FHWA and FTA approval.

Formal STIP Amendment Process

The Districts, or the partners in consultation with the District/ATP, initiate Formal STIP Amendment. Amendments to the STIP should be considered by the Specialty Office or District/ATP, submitted to the appropriate District for concurrence, and forwarded to OTSM. OTSM will then review, approve the Formal STIP Amendment, and request FHWA/FTA approval. Approval of a Formal STIP Amendment at the state and federal level is dependent upon appropriate public involvement and continued financial constraint of the STIP.

The amendment of a MPO TIP for an area designated as a non-attainment or maintenance area requires an air quality conformity determination.

Transparency and Public Participation

A list of current Formal STIP Amendments and Administrative STIP Modification can be found at: http://www.dot.state.mn.us/planning/program/stip.html

Roles and Responsibilities

MnDOT Districts or Specialty Offices who request formal STIP Amendment and Administrative STIP Modifications are responsible for the accuracy of project information provided on the form and notifying appropriate partners of the status.

OTSM is responsible for coordinating, processing Formal STIP Amendment and Administrative STIP Modification, and notifying the Districts or Specialty Offices of the status.

Definition of Regional Significant Project

Regionally significant project means a transportation project (other than an exempt project) that is on a facility which serves regional transportation needs (such as access to and from the area outside of the region, major activity centers in the region, major planned developments such as new retail malls, sports complexes, etc., or transportation terminals as well as most terminals themselves) and would normally be included in the modeling of a metropolitan area's transportation network, including at a minimum all principal arterial highways and all fixed guideway transit facilities that offer an alternative to regional highway travel.