

PROCEDURES FOR STIP AND TIP MODIFICATIONS

BACKGROUND:

This document represents the established set of procedures to be employed within the Commonwealth of Pennsylvania for processing modifications to the Statewide Transportation Improvement Program (STIP). As a sub-element of the STIP process, the planning partners in cooperation with the Pennsylvania Department of Transportation (PENNDOT) and transit agencies develop regional Transportation Improvement Programs (TIPs). As such, any regional TIP modifications must be coordinated through the planning partner.

The Federal Statewide and Metropolitan Planning Regulations, which govern the provisions concerning the STIP and the individual metropolitan planning organization (MPO) TIP, make a distinction between STIP/TIP amendments and other actions taken to modify the program. The intent of this distinction is to acknowledge the relative significance, importance and/or complexity of individual programming actions. To that end, this federal transportation planning regulation (23 CFR 450.324) permits the use of alternative procedures by the cooperating parties to more effectively manage the many actions encountered during a given programming cycle. The federal transportation planning regulations require that the cooperating parties agree upon any alternative procedure.

DEFINITIONS:

An *amendment* is a STIP/TIP change that:

- Affects financial constraint,
- Affects air quality conformity regardless of the funding source,
- Adds a new project or deletes an existing project,
- Adds new project phase(s) or deletes project phase(s) that exceed \$500,000 to/from the first three years of the STIP/TIP, or
- Involves a major scope change for a project or projects.

Amendments require federal approval. The planning partner will transmit TIP amendments (revised project listings) to PENNDOT with a transmittal that clearly explains the change(s) and when the action(s) took place. In turn, PENNDOT will formally send the amendments to FHWA and FTA, via a letter or other means from PENNDOT's Secretary of Transportation, seeking federal review and approval.

An *administrative action* is a STIP/TIP change that:

- Does not affect financial constraint,
- Does not affect air quality conformity,
- Does not add a new project or delete an existing project,
- Does not add new project phase(s) nor delete project phase(s) over \$500,000 to the first three years of the STIP/TIP.
- Does not involve a significant change in the scope of a project or projects, or

- Draws down from an existing STIP/TIP line item.

Incidental ROW takings are considered administrative actions. **Administrative actions do not require federal approval.** The planning partner will transmit TIP administrative action(s) (revised project listing) to PENNDOT via a transmittal that clearly explains the changes and when the action took place (with a courtesy copy to FHWA and FTA). The aforementioned process, including the transmittal and supporting documentation, represents a commitment by the planning partners and PENNDOT to continuously demonstrate financial constraint of the respective TIPs and STIP throughout the programming cycle.

Cooperating parties are PENNDOT, planning partners, FHWA, FTA and transit agencies.

A *modification* is either an amendment and/or an administrative action.

Planning partners for the purposes of this document are all MPOs, Local Development Districts or independent counties under contract to PENNDOT.

FINANCIAL CONSTRAINT - DETERMINATIONS & DEMONSTRATIONS

DETERMINATIONS:

The determination of STIP/TIP financial constraint will happen under two circumstances – at the initial approval of the documents by FHWA and FTA and when STIP/TIP amendments are formally submitted to FHWA and FTA.

DEMONSTRATIONS:

The demonstration of STIP/TIP financial constraint will occur through several mechanisms to FHWA and FTA that summarize recent administrative actions. Real time versions of the STIP are available to FHWA and FTA through the Department's Multimodal Project Management System. On a quarterly and annual basis, Funds Management Reports will be provided by PENNDOT to the planning partners, FHWA and FTA.

STIP/TIP FUNDS MANAGEMENT REPORTS:

In order to better manage the STIP and the TIPs, and to provide decision makers with timely and accurate information about programmed projects, PENNDOT has established a financial reporting procedure. PENNDOT will provide a TIP Funds Management Report to each planning partner and to FHWA and FTA within 45 days after the enactment of the annual federal appropriations. The report will identify the planning partner's target amount of the statewide obligation for that year. At the end of each quarter, (or more often when necessary,) PENNDOT will provide a STIP/TIP Status Report on actual federal obligations and state encumbrances for that year to all planning partners, FHWA and FTA. At the end of the federal fiscal year, PENNDOT will provide a Summary Report of all obligations and encumbrances to planning partners, FHWA and FTA.

This documentation will continue to demonstrate annual STIP/TIP financial constraint.

TIP MODIFICATION PROCEDURES:

As each individual planning partner TIP is adopted during update cycles, a document will be attached to the TIP that clarifies how that planning partner will address TIP modifications (amendments and administrative actions). Many of these procedures will remain fairly consistent among all planning partners; however, it needs to be noted that there will be differences as to how administrative actions are addressed by each partner agency, but in all cases, they will be uniform with the standards adopted in this agreement.

We, the undersigned hereby agree to the above procedures and principles.

Date _____

Hon. Bradley L. Mallory, Secretary
Pennsylvania Department of Transportation

Date _____

Mr. James A. Cheatham, Division Administrator
Federal Highway Administration

Date _____

Ms. Susan E. Schruth, Regional Administrator
Federal Transit Administration