

Chapter VIII: STIP Amendment Process

The approved STIP is frequently amended to reflect changes in project status. The current STIP and a log of amendments can be found online on the ODOT STIP homepage.

Federal rules require that the STIP be consistent with MPO area MTIPs. Therefore, before the STIP is amended to reflect a project change in an MPO area, the MTIP must also be amended. ODOT works closely with MPOs on project coordination, and this becomes one important factor that the agencies need to facilitate. For a project change in an MPO area, the MPO board adopts a change to their approved MTIP, then ODOT staff amends the STIP to also reflect the change.

The procedure for formally amending the STIP differs depending on the nature of the proposed amendment. There are three categories of amendments:

- Full amendments
 - adding or deleting a state or federally funded (FHWA or FTA) project or a project that requires action by the Federal Highway Administration (FHWA) or Federal Transit Administration (FTA)
 - adding a regionally significant project
 - making a major change in scope of a project with state or federal funds
 - advancing a project or phase of a project from year four to one of the first three years of the STIP
- Administrative amendments
 - adding a federally funded project that is funded with discretionary funds
 - adding a non-federally funded project that does not impact air quality conformity
 - combining or splitting two or more projects
 - minor technical corrections, such as typographic errors or missing data.
- Project Control System (PCS) database changes
 - slipping an approved project or phase of a project from the current year of the STIP to a later year

- increasing or decreasing the federal funds of an FHWA-funded project, without affecting fiscal constraint of the STIP.

A complete list of actions that require a full amendment, administrative amendment, or a PCS change is documented in ODOT's STIP Development Manual, which sets forth detailed guidelines and administrative procedures for the current STIP.

A. General Process

All STIP amendments must be submitted on prescribed forms. The Region STIP Coordinator verifies the kind of amendment needed using established administrative guidelines and obtaining the appropriate Region or Program Manager approval. After obtaining the required region approvals, the Region STIP Coordinator submits the request(s) to the Statewide STIP Coordinator in the Highway Finance Office (HFO). If Oregon Transportation Commission (OTC) action is required, the Region STIP Coordinator determines the HFO deadline date per the Amendment Calendar that is established by the Director's office. OTC action items must include an agenda request letter, which may be submitted by a region manager, program manager, division manager, or other authorized personnel and submitted to the Director's office.

The Statewide STIP Coordinator reviews the request for completeness. Administrative and Full (non-state system projects) amendments are processed in the HFO. Once the review is complete, the Statewide STIP Coordinator notifies the regions and other interested parties of approval of the request. For projects that require OTC approval, the request is forwarded to the HFO Manager and Program & Funding Services Manager for additional review. The HFO then submits an OTC action request to the Executive Officer for Highway to review the proposed amendment for compliance. The Executive Officer for Highway then submits a request to the Director's Office where authorization is given to OTC support staff for that amendment to be included in the OTC agenda or on the Commission's consent calendar.

After OTC approval, the Statewide STIP Coordinator prepares the STIP amendment, checking that TIP amendments also have been approved. Documentation that the corresponding TIP amendments are approved by the metropolitan planning organization (MPO), tribal government, or federal agency must be submitted before the STIP amendment can take effect. The Statewide STIP Coordinator forwards the amendment to the ODOT Director's Office for a cover letter and mailing to FHWA and FTA. FHWA and FTA return their approval to the Director's Office and send a copy of the approval to the Statewide STIP Coordinator.

For more information or questions about STIP amendment procedures, please contact your Region STIP Coordinator.

B. Administrative STIP Amendments

Administrative Amendments are initiated by the Region STIP Coordinator to the Statewide STIP Coordinator. FHWA also must be notified when an administrative amendment is proposed. The steps that relate to OTC approval are not required for administrative amendments, but other notification and documentation steps apply.

C. Full STIP Amendments

Full amendments require a signed letter from the Region Manager or Program Manager to the Statewide STIP Coordinator. This letter states the requested action and provides background on the project, including details of what the project entails.

Full amendments to the STIP that involve a project on the state highway system also require OTC approval. The exception is when the amendment is advancing a project or phase of a project from the fourth year to the first three years of the STIP.

Local projects not on the state highway system require Region Manager or Program Manager approval before an amendment can be made to the STIP. If local projects are located within an MPO, the project must be amended in the Metropolitan Transportation Improvement Program (MTIP) before requesting a STIP amendment. The amendment request is then forwarded to the HFO, and submitted to FHWA for approval. FHWA must approve a full amendment if the project is proposed in the first three years of the STIP.

In all regions, an amendment is required to advance construction on projects that complete their planning phase (e.g., a Type 2 Environmental Assessment) or Environmental Impact Statements that are programmed under a separate key number in the STIP.

As noted earlier, for more information or questions about STIP amendment procedures, please contact your Region STIP Coordinator.

D. Project Control System (PCS) and Financial Plan Amendments

PCS changes and financial plan changes are not considered administrative amendments but, to ensure that the PCS system is kept up to date, these changes also require an e-mail to the Statewide STIP Coordinator. These amendments essentially are clerical in nature and are not considered as amendments.

Full Amendments

Full amendments require a signed letter from the Region Manager or Program Manager to the Statewide STIP Development Coordinator. STIP amendments for projects on the state highway system require OTC approval before amendment into the STIP. Local projects not on the state highway system require Region Manager or Program Manager

approval before amendment into the STIP. Local projects in an MPO require TIP amendment before amendment into the STIP. The following actions require a full amendment:

- Adding a state or federally funded (FHWA or FTA) project, or a project that requires an action by FHWA or FTA (any funding source), to the STIP
- Adding a regionally significant project to the STIP (any funding source)
- Deleting a state or federally funded project, or a project that requires an action by FHWA or FTA (any funding source), from the STIP
- Major change in scope of a project with state or federal funds, or a project with CMAQ funds that requires a new CMAQ eligibility finding, or a project that requires a new regional air quality conformity finding
- Advancing a project or phase of a project from the fourth year to the first three years of the STIP

Administrative Amendments

Administrative amendments require an e-mail from the Region STIP Coordinator to the Statewide STIP Development Coordinator. The following actions require an administrative amendment:

- Adding a federally funded project that is funded with discretionary funds
- Adding a non-federally funded project that doesn't impact air quality conformity or require FHWA or FTA action to the STIP
- Advancing an approved project or phase of a project from year two or three into the current year of the STIP
- Adding PE or ROW phase to an approved project in the first three years of the STIP
- Combining two or more approved projects into one project
- Splitting one approved project into two or more projects
- Minor technical corrections to make the printed STIP consistent with prior approvals (such as typographic errors or missing data)
- Increasing or decreasing the federal funds of an FTA-funded project, without affecting fiscal constraint of the STIP

- Adding FHWA funds to an approved FTA-funded project
- Increasing or decreasing federal funds of an FTA-funded project, without affecting fiscal constraint of the STIP

PCS Changes

The following actions require an e-mail to the Statewide STIP Development Coordinator, in order to assure that PCS is kept up to date:

- Slipping an approved project or phase of a project from the current year of the STIP to a later year
- Increasing or decreasing the federal funds of an FHWA-funded project, without affecting fiscal constraint of the STIP

These guidelines should address most changes to the STIP. However, there may be instances that will need to be addressed on a case-by-case basis.