

# CTDOT STIP Change Procedures Summary

## November 2024

The Statewide Transportation Improvement Plan is a federally required document that provides a fiscally constrained list of regionally significant projects and must include all projects requesting federal highway and transit funding for roadway or transit projects. Developed in coordination with Federal Highway Administration and Federal Transit Administration and in cooperation with the Connecticut Metropolitan Planning Organizations and Council of Governments, the STIP may be revised at any time under agreed upon procedures consistent with the STIP Development.

As outlined in the Code of Federal Regulations (CFR) Projects in any of the first 4 years of the STIP may be advanced in place of another project in the first 4 years of the STIP, subject to the project selection requirements. In addition, subject to FHWA/FTA approval, the State may revise the STIP at any time under procedures agreed to by the State, MPO(s), and public transportation operators consistent with the STIP development procedures established, as well as the procedures for participation by interested parties. Changes that affect fiscal constraint must take place by amendment of the STIP.

The following is a summary of the Amendment/Administrative Action/Notification process:

### CTDOT Review of Project Change Requests

When a request for a change on a project is received, the STIP unit reviews the existing STIP and any outstanding requests that have already gone out and conducts a “review of the three rules” below.

#### 1. Air Quality Conformity Impacts

All project modifications and new project proposals will be reviewed for Air Quality Conformity by the Travel Demand/Air Quality Modeling Unit as outlined in the Interagency Consultation Process.

**If** a proposed project change or a request to add a new project **impacts** the Air Quality Conformity Determination, or if there is a rescheduling of air quality sensitive projects, a new conformity determination is required along with a full STIP amendment and/or an amendment to the Metropolitan Transportation Plan. The Interagency Consultation Process will be followed. A full Air Quality Conformity Determination can take up to six months to complete, with an additional 3 months for MPO and Federal approval. The Department is scheduled to run a new Air Quality Conformity Determination yearly, beginning August/September of each year to ensure any new projects that need to be included in the Conformity review are done. The letter transmitting these projects to FHWA/FTA for their approval will reflect the MPOs approval of this new conformity determination.

**If** a proposed project change or request to add a new project **does not** affect Air Quality Conformity, CTDOT’s letter to FHWA/FTA shall explicitly state that the original TIP conformity determination still applies.

## 2. Intent and Limits of the Project

The “intent and limits” of the project includes – location, termini and purpose. Should the “intent and limits” change substantially from the original request and what was originally presented to the public, a TIP amendment will be requested to reflect the change and impacts to Air Quality conformity will be reviewed. Such examples could include extending the limits of a project, the addition of lanes or otherwise changing the intent of the project.

## 3. Fiscal Constraint Impact

Fiscal constraint is reviewed twice during the change process and is determined by comparing the authorization level of funds to the amount programmed in the STIP.

### Determination of Amendment versus Administrative Action versus Notification to MPO and Rural COG

There are three ways to update a STIP – by Amendment, Administrative Action, or Notification. These are outlined below:

- **Amendment** - a revision to a Transportation Improvement Program (TIP), or Statewide Transportation Improvement Program (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.
- **Administrative action (modification)** - a minor revision to a 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).
- **Notification** - a minor change to a project in the STIP that does not warrant an administration action or amendment.

## Metropolitan Planning Organization Coordination

After consideration of the Air Quality conformity impacts, the intent and limits of the project and the fiscal constraint impacts, the appropriate amendment, administrative action or notification is forwarded to the MPO or Rural COG by the STIP unit for their consideration and approval based upon the table below:

Type of Change	Responsibility		
	CTDOT (Notify MPO/COG)	MPO COG Director (Action)	MPO Board (Amendment)
<b><i>Adding/Deleting Projects</i></b>			
Project Cancelled and Deleted in Entirety			X
New Project Added			X
Adding a state funded regionally significant project	X		
Adding Illustrative Projects/Earmarks/Grants to FYI	X		
Adding federal projects not administered by CTDOT, but coordinated with the appropriate Federal Agencies			X
<b><i>Changes to Project</i></b>			
Intent and Limits (change in the project original description, might include but not limited to change scope)			X
Deletion of Phase		X	
Addition of Phase with increase in total federal cost of over 20% but under 50% (FHWA)		X	
Addition of Phase with increase in total federal cost of over 50% (FHWA)			X
Addition of ROW phase if the need for a small ROW acquisition is discovered during construction		X	
Addition of AC entry in the project description for funding purposes	X		
Addition of AC Construction in the project description for funding purposes	X		
To correct typo errors in a STIP entry	X		
<b><i>Breakout Project</i></b>			
Breakout project that has cost increase >20% but less than 50% with no change in scope		X	
Breakout project that has cost increase greater than 50% and/or changes the scope			X
Breakout project (splitting the scope and cost into two separate projects) - no change in scope or increase in funding		X	

<b><i>Changes to Schedule (generally)</i></b>			
Phase Moved Out 1+ Years		X	
Phase Moved in 1+ Years		X	
Project moved to FYI			X
Project moved from FYI into year 1-4 of STIP			X
Adv. from last active yr. of Previous TIP/STIP (FTA projects only)		X	
<b><i>Changes to Costs</i></b>			
<b>FHWA Projects &lt;\$1,000,000 (Less than):</b>			
0-19.9%	X		
20-49.9% & increase up to \$199,999	X		
20-49.9% & increase \$200,000 & over		X	
Over 50% & increase up to \$249,999		X	
Over 50% & increase \$250,000 & over			X
<b>FHWA Projects ≥ \$1,000,000 (Greater than):</b>			
0-19.9% & Any \$ Amount increase	X		
20-49.9% & Any \$ Amount increase		X	
Over 50% & Any \$ Amount increase			X
<b>FTA Projects of Any \$ Amount:</b>			
Increase < 20%		X	
Increase > 20%			X
<b><i>Changes in Funding Category</i></b>			
Change in Federal Funding program		X	
Adding an additional funding program with no impact to total cost		X	
Adding state funds to an existing federal project	X		
Changing existing federally funded project to all state funds	X		
Changing a regionally significant state funded project to federal funds			X
Adding federal emergency declaration project to STIP	X		
Adding appropriate FTA entry to existing FHWA project to transfer funds between agencies		X	
Adding new Federal project with appropriate FHWA and FTA entries for transferring			X
Moving project from Bridge list into STIP (Less than 20%)	X		
Moving project from Bridge list into STIP (over 20%)		X	
Moving project from Bridge list into STIP (over 50%)			X
Moving project from Safety list into STIP (less than 20%)	X		
Moving project from Safety list into STIP (over 20%)		X	
Moving project from Safety list into STIP (over 50%)			X
Moving project from Bridge list or Safety list into STIP under different funding program		X	