

## Appendix A

### Modification and Amendment Process

#### **Formal Amendments**

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 the projects that are included for illustrative purposes only 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.

The Federal Highway Administration (FHWA)-Alabama Division and the Alabama Department of Transportation (ALDOT) have agreed that a formal TIP amendment is required for a *highway-oriented* project when one or more of the following criteria are met:

- Affects air quality conformity, regardless of the cost of the project or the funding source.
- Adds a new project, or deletes a project, that utilizes federal funds from a statewide line item, exceeds the thresholds listed below, and excludes those federally-funded statewide program projects.
- Adds a new project phase(s), or increases a current project phase, or deletes a project phase(s), or decreases a current project phase that utilizes federal funds, where the revision exceeds the following thresholds:
  - \$5 million or 10 percent, whichever is greater, for ALDOT federally-funded projects and Transportation Management Area (TMA) attributable projects.
  - The lesser amount of \$1 million or 50 percent, of project cost for non-TMA MPOs.
  - \$750,000 for the county highway and bridge program.
- Involves a change in the Scope of Work to a project(s) that would:
  - Result in an air quality conformity reevaluation.
  - Result in a revised total project estimate that exceeds the thresholds established between ALDOT and the Planning Partner (not to exceed any federally-funded threshold contained in this MOU).
  - Results in a change in the Scope of Work on any federally-funded project that is significant enough to essentially constitute a New Project.
  - Level of Effort (LVOE) planned budget changes, exceeding 20 percent of the original budgeted amount per ALDOT region.

#### **Administrative Modifications**

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). An Administrative Modification is a minor STIP/TIP revision that:

- Adds a project from a level of effort category or line item, utilizing 100 percent state or nonfederal funding, or an MPO TIP placement of the federally-funded, Statewide Program, or federal funds from a statewide line item that do not exceed the thresholds established by the Planning Partner.
- Adds a project for emergency repairs to roadways or bridges, except those involving substantive or functional adjustments, or location and capacity changes.
- Draws down, or returns funding, from an existing STIP/TIP Reserve Line Item, and does not exceed the threshold established between ALDOT and the Planning Partners.
- Adds federal or state capital funds from low-bid savings, de-obligations, release of encumbrances, from savings on programmed phases, and any other project-cost modification sent to and approved by FHWA or FTA, to another programmed project phase or line item.