

TRANSPORTATION COMMISSION
OF COLORADO
WORKSHOPS & REGULAR
MEETING AGENDA

August 20 & 21, 2014

Transportation Commission
August 20 & 21, 2014
Meeting Schedule & Agenda
4201 East Arkansas Avenue
Denver, Colorado 80222

Ed Peterson, Chairman
Lakewood, District 2

Shannon Gifford
Denver, District 1
Gary M. Reiff
Englewood, District 3
Heather Barry
Westminster, District 4
Kathleen Gilliland
Livermore, District 5
Kathy Connell, Vice Chair
Steamboat Springs, District 6

Douglas E. Aden
Grand Junction, District 7
Sidny Zink
Durango, District 8
Les Gruen
Colorado Springs, District 9
William Thiebaut
Pueblo, District 10
Steven Hofmeister
Haxtun, District 11

THE CHAIRMAN MAY ALTER THE ITEM SEQUENCE OR TIMES

The times indicated for each topic on the Commission agenda are an estimate and subject to change. Generally, upon the completion of each agenda item, the Commission will immediately move to the next item. However, the order of agenda items is tentative and, when necessary to accommodate the public or the Commission's schedules, the order of the agenda items is also subject to change.

Documents are posted at <http://www.coloradodot.info/about/transportation-commission/meeting-agenda.html> no less than 24 hours prior to the meeting. The documents are considered to be in draft form and for information only until final action is taken by the Commission.

Unless otherwise noted, all meetings are in CDOT HQ Auditorium.

Wednesday, August 20, 2014

12:00 p.m. HPTE Lunch Meeting [Room 225]
1:00 p.m. HPTE Board Meeting
2:00 p.m. Commissioner Meetings with RTDs [Various Rooms]
2:30 p.m. Program Management Workshop (Maria Sobota,
Josh Laipply)..... Tab 01
2:55 p.m. PD703 Workshop (Scott Richrath) Tab 02
3:10 p.m. Budget Discussion Items (Scott Richrath) Tab 03
3:25 p.m. Bid Rejections Workshop (Josh Laipply) Tab 04
3:35 p.m. SB 228 and Project Selection (Deb Perkins-Smith) Tab 05
3:50 p.m. Safety Committee (Darrell Lingk) Tab 06
4:20 p.m. DBE Committee (Heidi Humphreys) Tab 07
4:50 p.m. Adjournment

Thursday, August 21, 2014

7:30 a.m. Breakfast Meeting [Room 262]

9:00 a.m.	Asset Management Committee (William Johnson)	Tab 08
9:45 a.m.	HQ Relocation Update (Heidi Humphreys)	Tab 09
10:00 a.m.	Flood Outreach Workshop (Amy Ford)	Tab 10
10:05 a.m.	Break	

TRANSPORATION COMMISSION MEETING

10:30 a.m.	1. Call to Order, Roll Call	
10:30 a.m.	2. Audience Participation; Subject Limit: 10 minutes; Time Limit: 3 minutes	
10:30 a.m.	3. Comments of Individual Commissioners	
10:35 a.m.	4. Executive Director's Report (Don Hunt)	
10:40 a.m.	5. Chief Engineer's Report (Josh Laipply)	
10:45 a.m.	6. HPTE Director's Report (Michael Cheroutes)	
10:50 a.m.	7. FHWA Division Administrator Report (John Cater)	
10:55 a.m.	8. STAC Report (Vince Rogalski)	
11:00 a.m.	9. Act on Consent Agenda	Tab 11
	a) Resolution to Approve the Regular Meeting Minutes of July 17, 2014 (Herman Stockinger)	Consent Agenda 1
	b) Resolution to Repeal Policy Directive 81.0 and 82.0 Drug and Alcohol Policy (Darrell Lingk).....	Consent Agenda 22
	c) Resolution to Approve Policy Directive 1607 Railroad Corridor Preservation (Mark Imhoff).....	Consent Agenda 45
	d) Resolution to Approve Policy Directive 1605.0 IX Bus System (Mark Imhoff).....	Consent Agenda 56
	e) Resolution to Approve the IX Bus Operator Contract Term Increase (Mark Imhoff).....	Consent Agenda 63
	f) Resolution to Approve the Over \$50,000 Project List (Kyle Lester)	Consent Agenda 67
11:05 a.m.	10. Discuss and Act on the Resolution to Approve Adoption of PD 703.0 (Scott Richrath)	Tab 12
11:10 a.m.	11. Discuss and Act on 2nd Supplement to the FY'2015 Budget (Scott Richrath).....	Tab 13

11:15 a.m. 12. Discuss and Act on the Resolution to Repeal PD 1000.0 (Scott Richrath)..... Tab 14

11:20 a.m. 13. Acknowledgements:

- CDOT WASHTO Award
- Johnny Olson WASHTO Award
- Mike Cheroutes – National Council for Public Private Partnerships Award

11:25 a.m. 14. Other Matters

11:30 a.m. 15. Adjournment

BRIDGE ENTERPRISE BOARD OF DIRECTORS Tab 15

11:35 a.m. Call to Order and Roll Call

11:35 a.m. Audience Participation

Subject Limit: 10 minutes; Time Limit: 3 minutes

11:40 a.m. Act on Consent Agenda Bridge Enterprise 03

a) Resolution to Approve Regular Minutes from July 17, 2014 (Herman Stockinger)

11:45 a.m. Discuss and Act on 2nd Budget Supplement for FY2015

(Scott Richrath) Bridge Enterprise 09

11:50 a.m. Monthly Progress Report

(Scott McDaniel) Bridge Enterprise 12

11:55 a.m. Region 1 SH 58 over Ford Innovative Stainless Steel Rebar Presentation

(Steve Sherman) Bridge Enterprise 17

12:00 p.m. Adjournment



COLORADO

Department of Transportation

Office of the Chief Engineer

4201 E. Arkansas Ave., Room 262
Denver, CO 80222

DATE: August 21, 2014
TO: Transportation Commission
FROM: Josh Laipply, Chief Engineer
Scott Richrath, Chief Financial Officer
SUBJECT: Program Management Workshop

Purpose

The Program Management Workshop provides the Transportation Commission with an update on the delivery of programs and significant projects. This month there is a focus on RAMP Partnership and Operations.

Action

The program management items presented here are for Transportation Commission information and comment. As we continue to develop program management reports, input from the commission on which types of reports clearly present program status is valuable.

Details

Program Management Update

A primary performance metric for the integration of Cash Management and Program Management is the cash balance. Included in the Powerpoint is a diagram reporting actual cash balances for all CDOT funds—including Local Agency, Flood, etc.—against our path to target that has been set.

This month's presentation includes a focus on the RAMP Partnership and Operations program. The Transportation Commission receives updates monthly for all programs and receives a rotating focus into individual programs. These updates are included in the attached PowerPoint presentation.

Similar to last month, a status update of Significant Projects or those projects greater than \$25 M is provided.

Our focus on RAMP Partnership and Operations projects breaks them into tiers similar to the method used for significant projects.



Update on the RAMP Partnership and Operations Intergovernmental Agreements (IGAs)

More than two thirds of the IGAs needed for RAMP are either signed or in the signature process. This month we show a forecast of our plan to get all of the IGAs signed by December 31st.

Budget Supplement Information

The Eastbound Peak Period Shoulder Lanes Project is included in the budget supplement to fund a second Construction Management General Contractor (CMGC) package of work. With this action, the project will track in the green category for RAMP funding. Future CMGC work packages (other CDOT funds) may return this project to the Transportation Commission for further budget action.

A memorandum discussing project cost estimates and funding is included with the budget supplement.

Next Steps

CDOT staff will continue to make regular Program Management updates through workshops on the Commission agenda. These workshops will be jointly developed by the Chief Financial Officer and the Chief Engineer since the agency is adopting project delivery and financing methods that integrate cash management and program management.

Attachments

1. Powerpoint Presentation





COLORADO

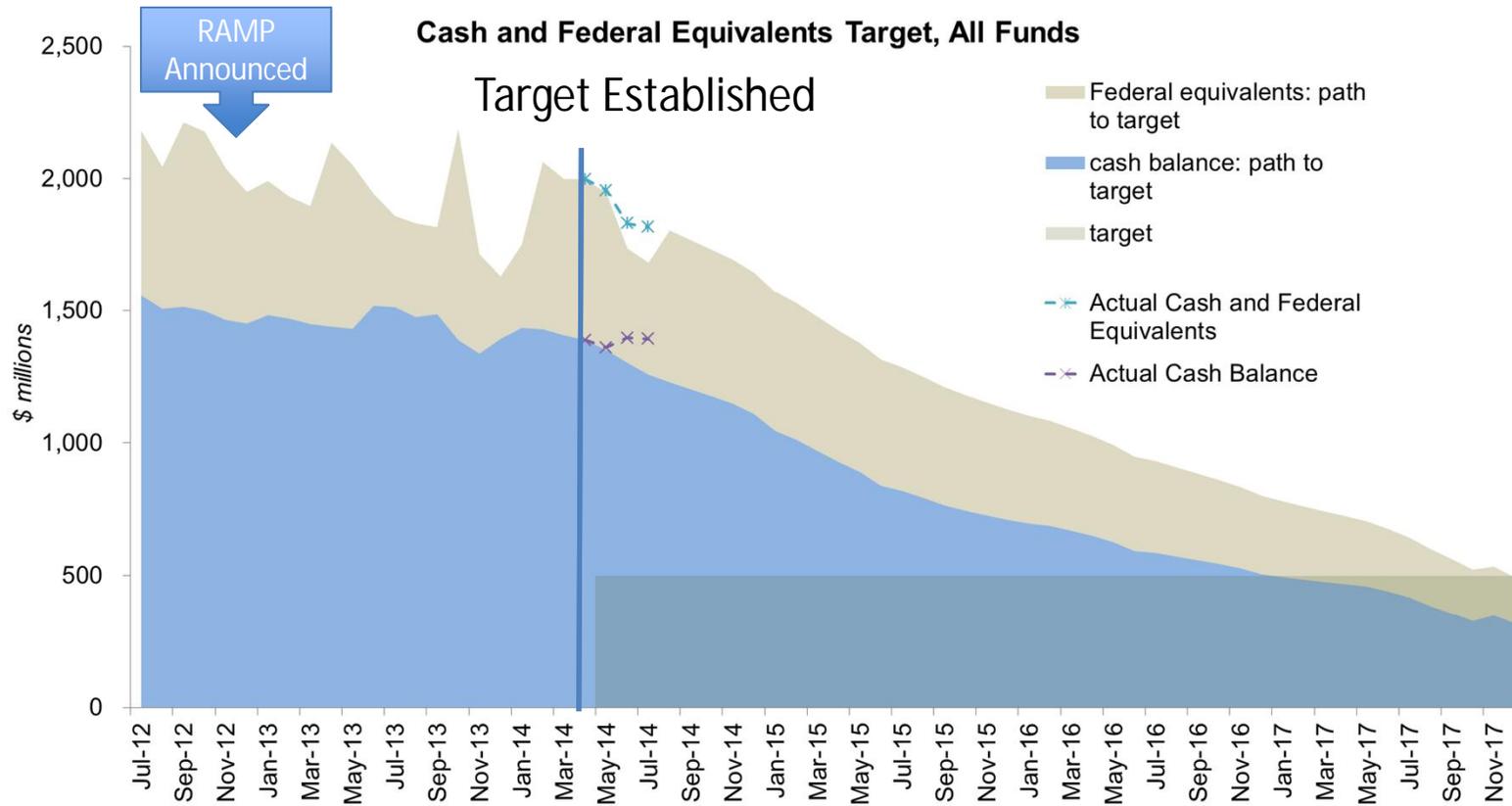
Department of
Transportation



Program Management Update August 20, 2014



Cash & Equivalents Target Balance



As of August 6, 2014



PMO Reporting Overview by Program

Program	Financial Performance (\$Millions)			Schedule	Quarterly Rotation
	Program Expenditure through 6/23/2014	Program Expenditure through 7/18/2014	\$ Change	SPI	
Flood	\$94.3	\$97.0	\$2.7	0.86	Oct.
RAMP P&O (Local Agency)	\$1.0	\$1.1	\$0.1	0.77	Oct.
RAMP P&O (CDOT)	\$71.1	\$78.3	\$7.2	0.52	August
RAMP P&O (Overall)	\$72.1	\$79.4	\$7.3	0.54	August
Other CDOT Projects	N/A	N/A	N/A	N/A	August
2014/2015 Asset Management	\$288.4	\$318.8	\$30.4	0.51/0.53	Sept.
Safety Projects	N/A	N/A	N/A	N/A	Sept.
Totals	\$454.8	\$495.2			

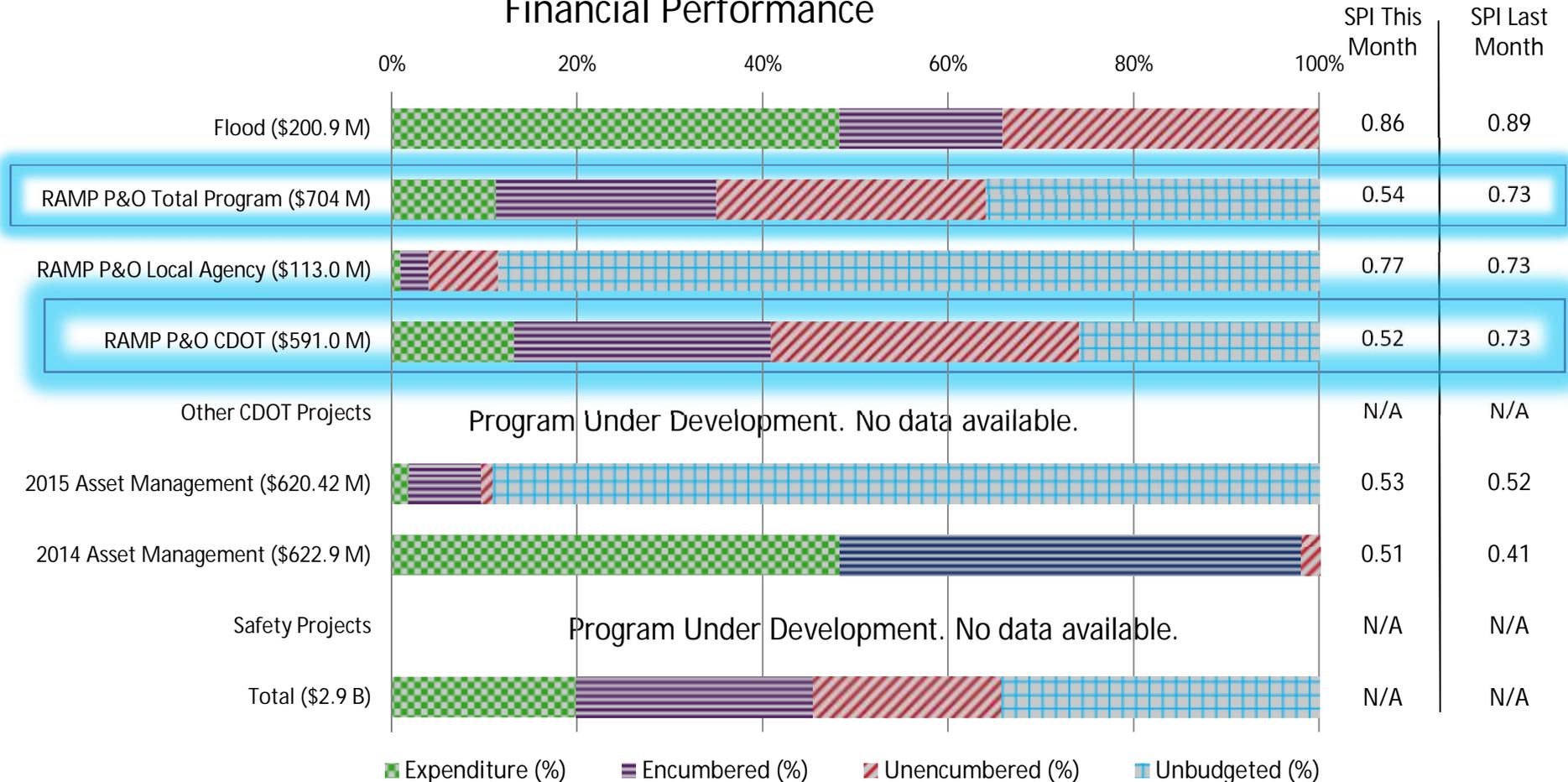
Notes: Asset Management expenditures are a combination of 2014 and 2015. Asset Management expenditures include MLOS and Roadway Equipment while these are excluded in the overall program SPI. N/A - Program in development and data not available at this time.

As of July 18, 2014



PMO Reporting Overview by Program

Financial Performance



Total Cumulative Program Amounts are for the duration of the program. Program amounts and duration vary for each program.

N/A - Master Program Schedule still in development, no data available.

Note: Asset Management expenditures include MLOS and Roadway Equipment while these are excluded in the overall program SPI.

As of July 18, 2014



Status of Significant Projects

Preconstruction

Project Name		Reg.	Total Project Cost Estimate (Millions)	Expenditure %	Phase
Tier 1	C-470 Managed Lanes, Kipling to I-25	1	\$214.0	0%	D
Tier 2	I-25 & Cimarron Interchange Recon D-B (RAMP)	2	\$95.0	2%	D
	I25A Pueblo Ilex Design Build (RAMP Non-BE)	2	\$32.2	0%	D
	I-70 East Corridor	1	\$77.0	40%	D
	I-25 and Arapahoe Rd Interchange CMGC (RAMP)	1	\$74.0	1%	D
	Grand Avenue Bridge, Glenwood	3	\$98.6	13%	D
	Twin Tunnels WB Widening Pkg 1 (RAMP HPTE)	1	\$55.0	27%	D
Tier 3	SH 9 Grand Co Safety Improv (RAMP)	3	\$46.0	0%	D
	I-25 Santa Fe Alameda Interchange Recons	1	\$31.9	0%	D
	Federal Blvd: 6th to Howard Recon & Improv (RAMP)	1	\$29.2	0%	D
	I-76: East of Crook to Sedgwick Phase I	4	\$26.3	15%	D
	EJMT Fire Suppression Sys D-B (RAMP)	1	\$25.8	2%	D
US6 & SH93: 19th St. Intersection Grade Sep (RAMP)	1	\$25.0	0%	D	
Totals			\$830.0	38%	
Number of Projects in Design as of July 18, 2014					13

Construction

Project Name		Reg.	Total Project Cost Estimate (Millions)	Expenditure %	Phase
Tier 1	US36 Managed Lane Reconstruction (Phase 1 & 2)	1	\$304.8	67%	C
	US6 Bridges Design-Build	1	\$132.0	39%	C
	I-70 EB Twin Tunnel Widening Project	1	\$106.4	83%	C
Tier 2	I-25 Managed Lanes: US 36-120th Ave	1	\$71.4	16%	C
	I-25 Widening North of Colorado Springs	2	\$71.1	66%	C
	I-225 Parker Road to Mississippi Ave	1	\$62.9	75%	C
	120TH Ave Connection Phase II	1	\$59.8	47%	C
	HPTE US 36 Phase II to Foothills Blvd	1	\$57.5	51%	C
Tier 3	I-76 Fort Morgan to Brush (Phase III)	4	\$46.9	70%	C
	Woodmen-I 25 to Powers	2	\$36.0	82%	C
	Peoria-Smith: Grade Separation	1	\$33.8	9%	C
	I-25: Santa Fe Interchange Reconstruction	1	\$33.8	81%	C
	US6: Wadsworth Interchange & 4-14th Ave	1	\$32.5	68%	C
	US 287: SH1 to LaPorte Bypass (RAMP)	4	\$42.3	25%	C
	I-70 Tower to Colfax	1	\$31.9	23%	C
	SH88: Cherry Creek Bridge Repair - FBR	1	\$30.1	38%	C
I-70 Eastbound PPSL (RAMP)	1	\$50.1	8%	C	
Totals			\$1,203.4	38%	
Number of Projects in Construction as of July 18, 2014					17

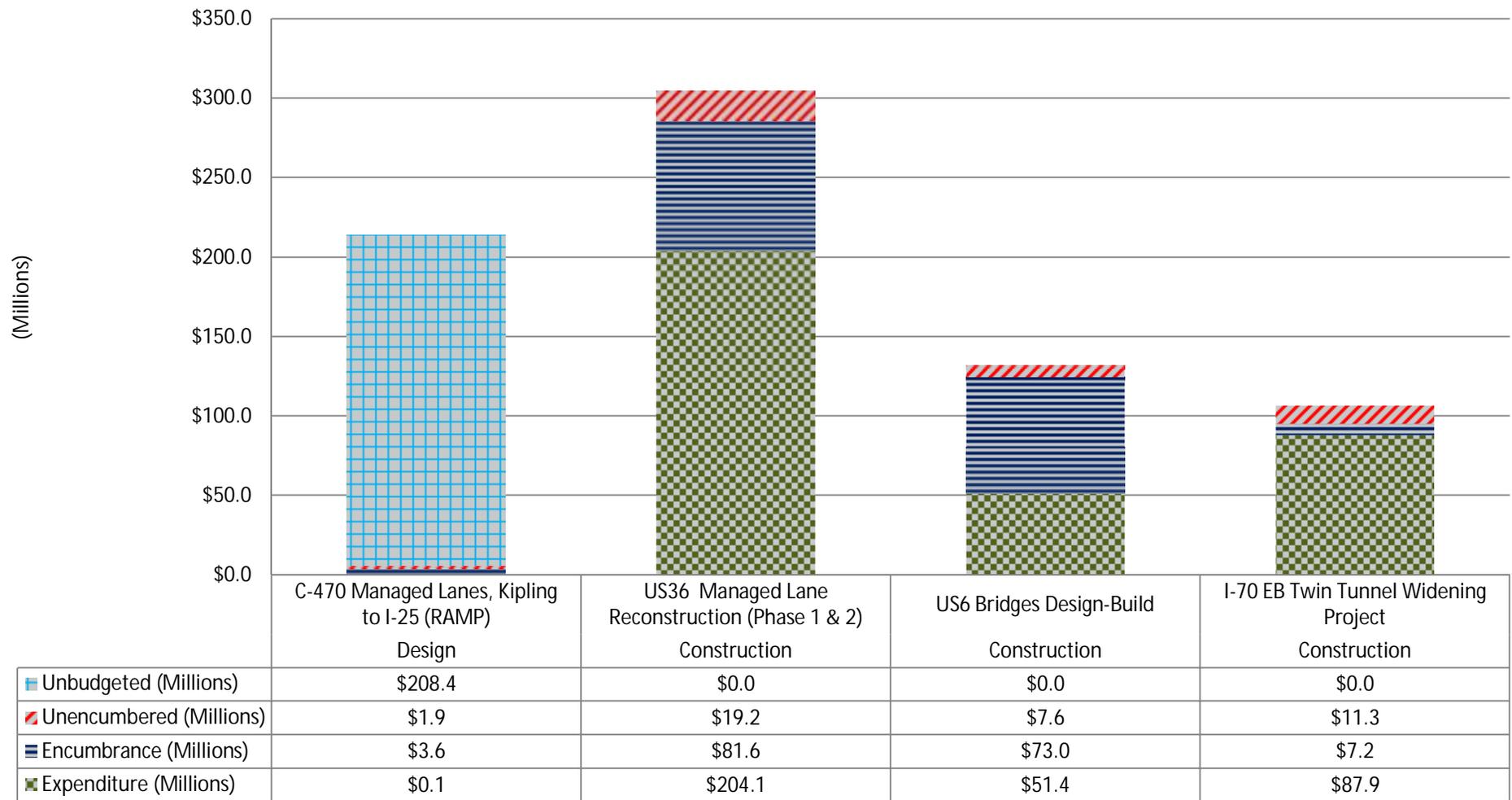
Total Projects	Total Project Cost Estimate (Millions)
30	\$2,033.4

As of July 18, 2014



Status of Significant Projects

Tier 1 (Greater than \$100M)

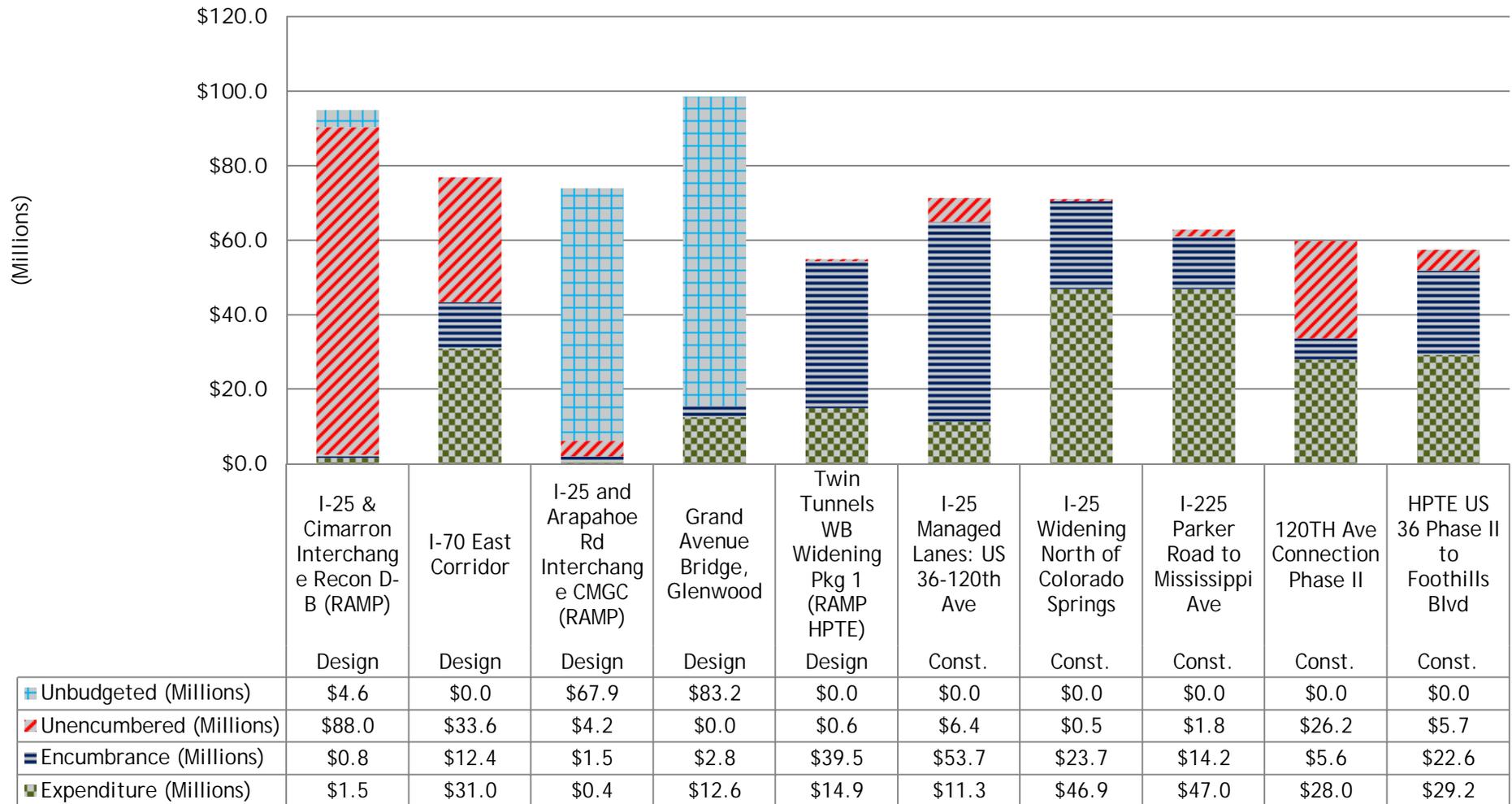


As of July 18, 2014



Status of Significant Projects

Tier 2 (Between \$50M and \$100M)

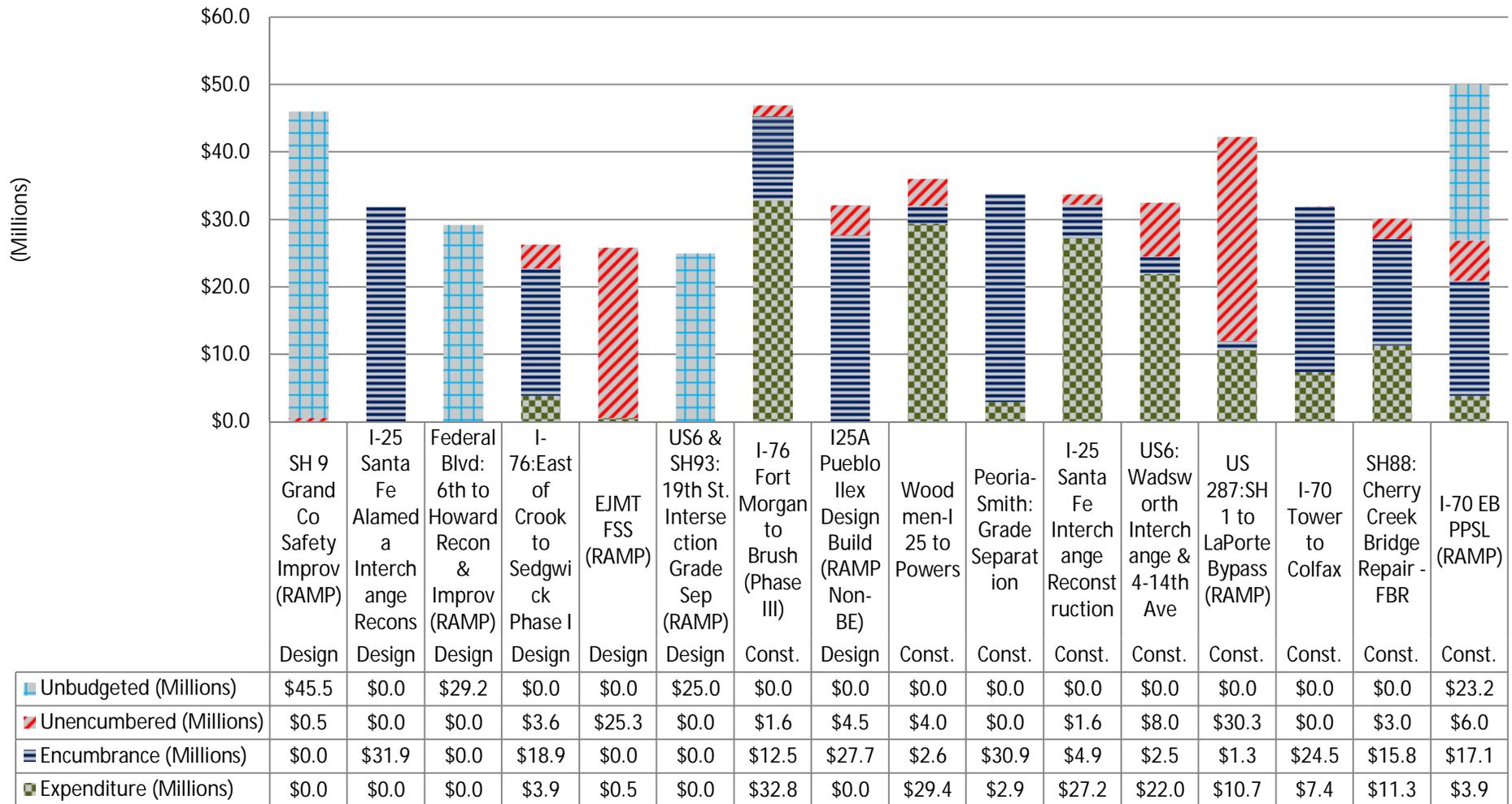


As of July 18, 2014



Status of Significant Projects

Tier 3 (Between \$25M and \$50M)



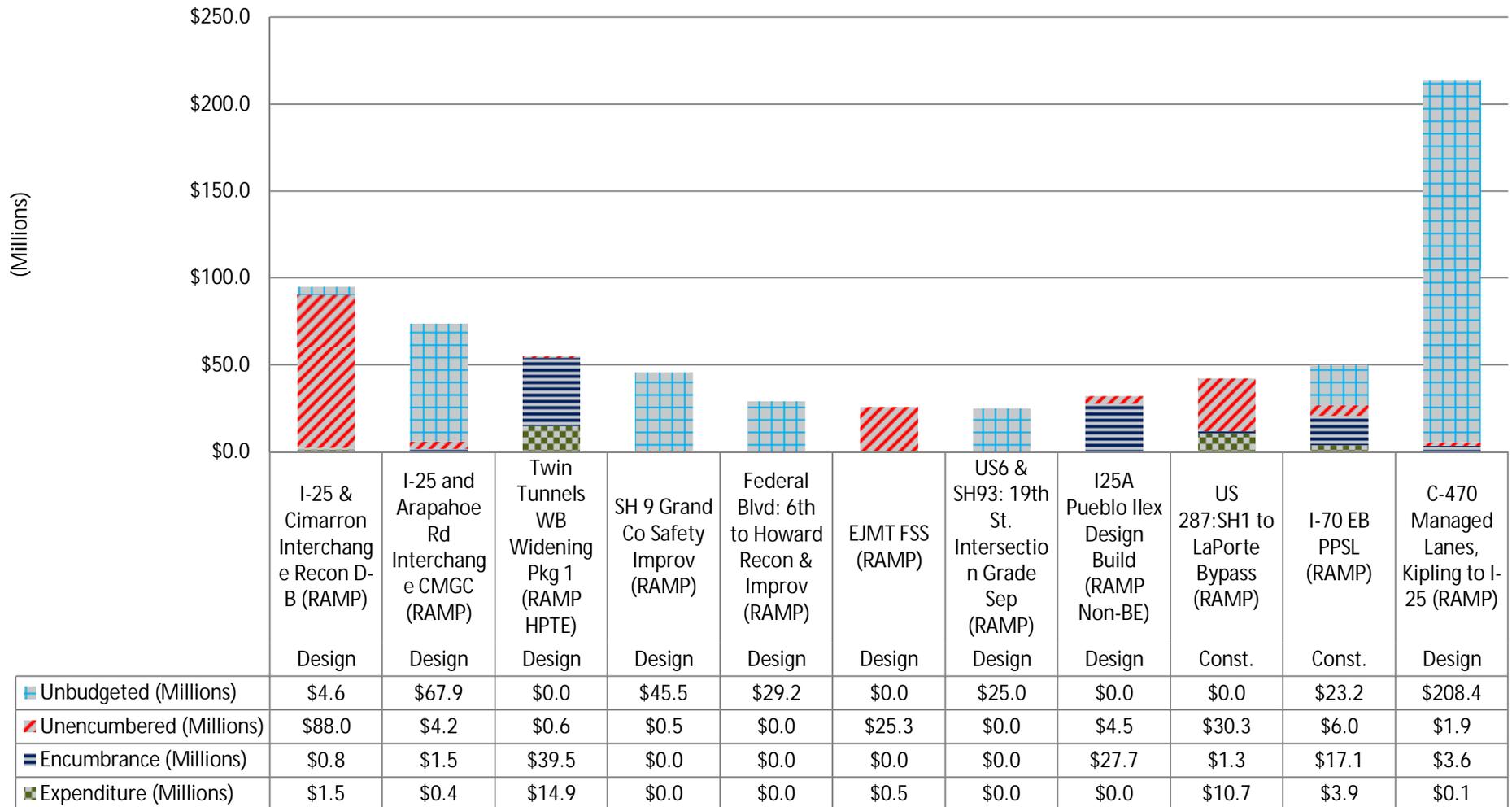
Note: I-70 Eastbound PPSL is a new project added to list.

As of July 18, 2014



Status of Significant Projects

RAMP Projects

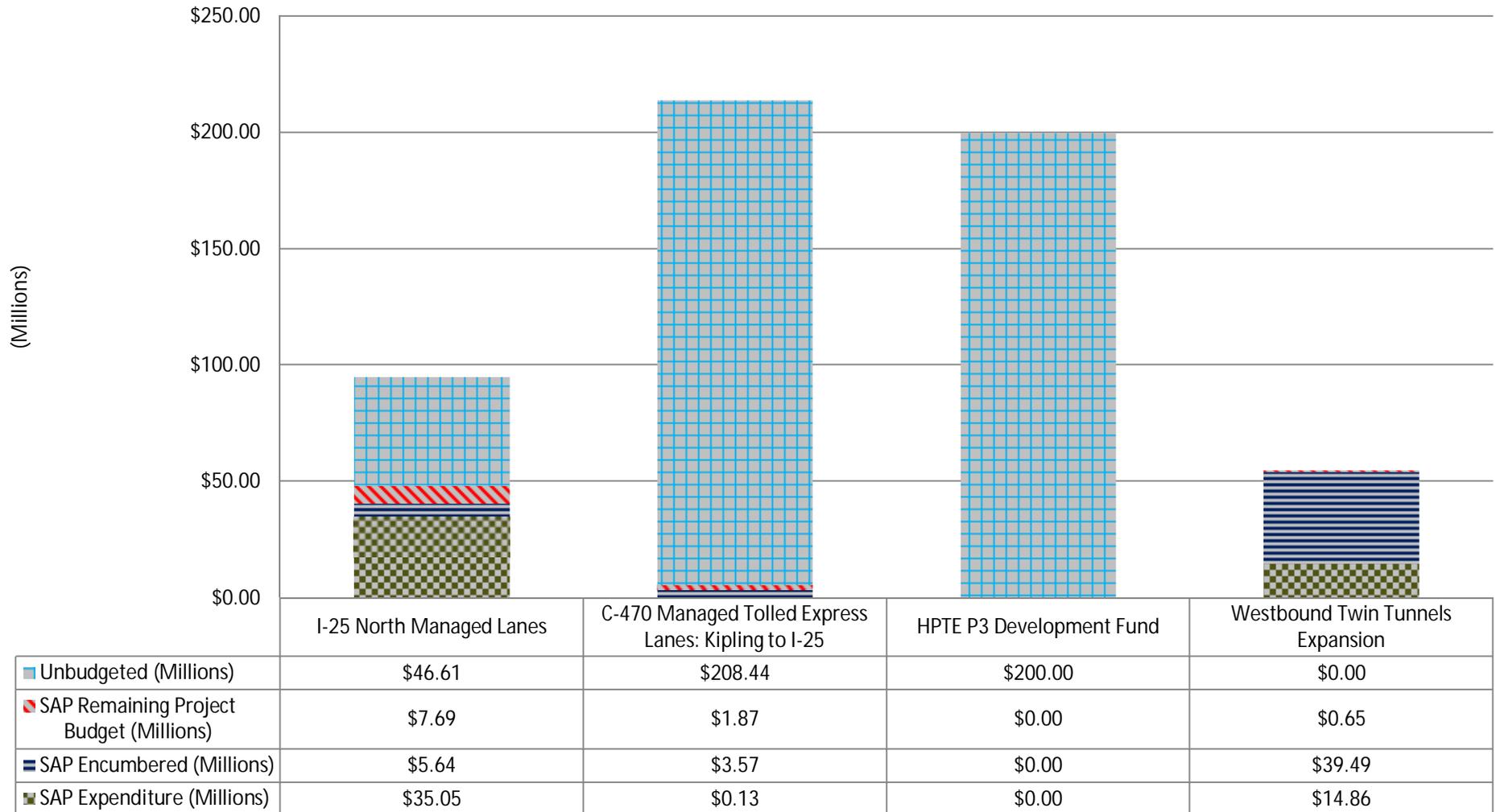


As of July 18, 2014



Status of RAMP Projects

HPTE P3



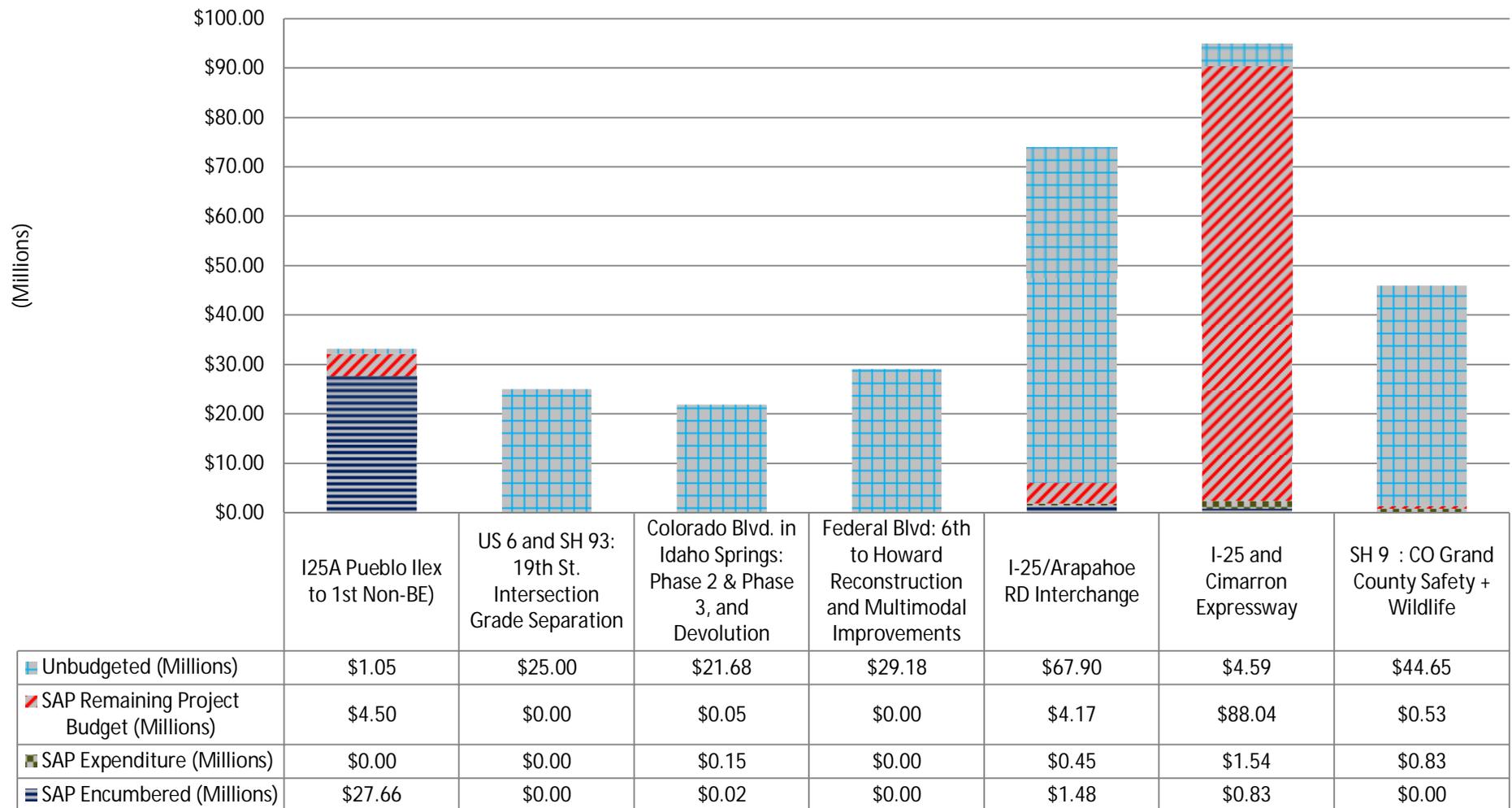
Note: I-25 North Project, we are tracking the RAMP Request amount until other P3 funding can be determined.

As of July 18, 2014



Status of RAMP Projects

Public-Public Partnerships: Large Projects \$20M +

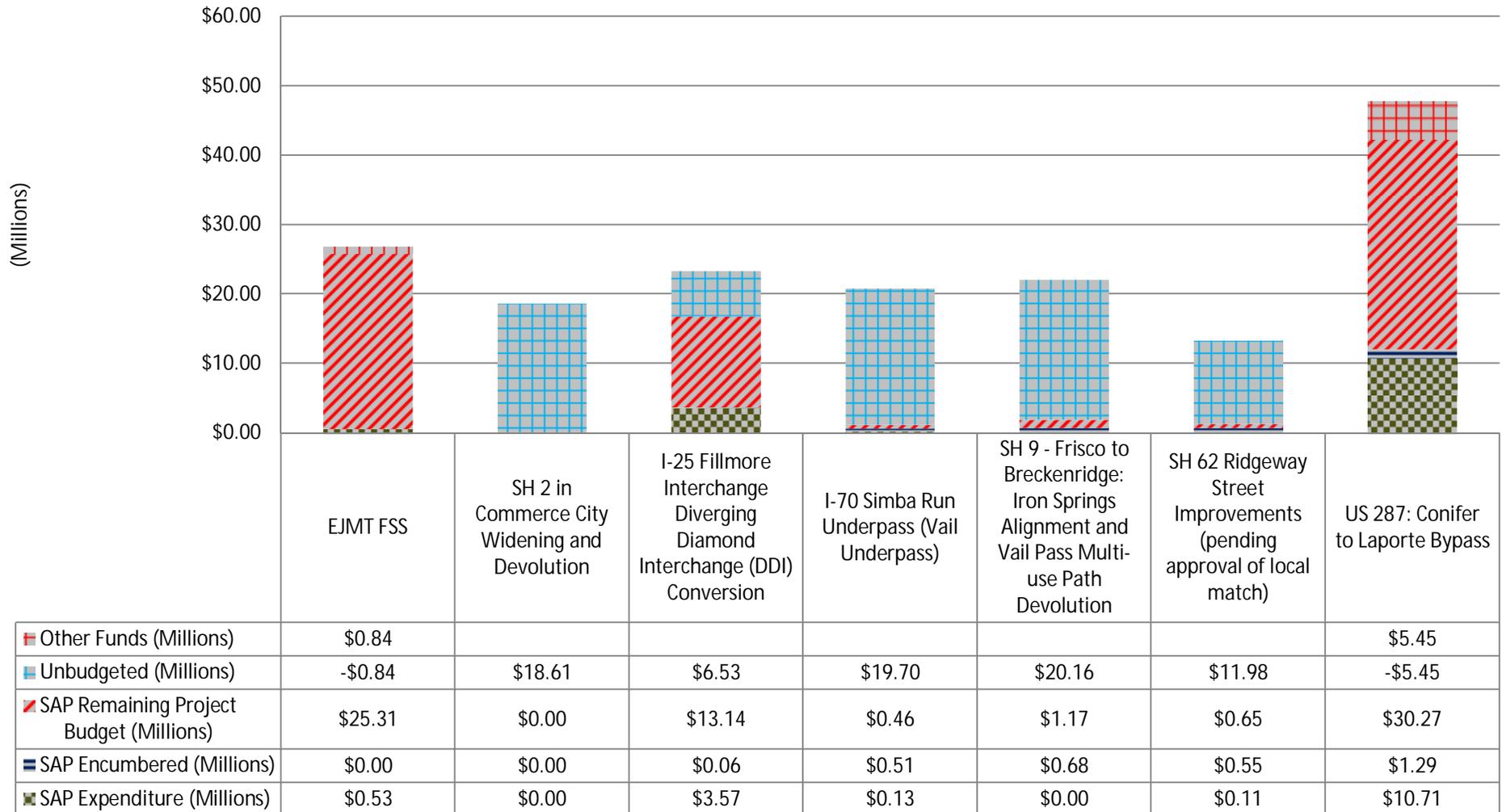


As of July 18, 2014



Status of RAMP Projects

Public-Public Partnerships: Medium Projects \$10M-\$19.9M

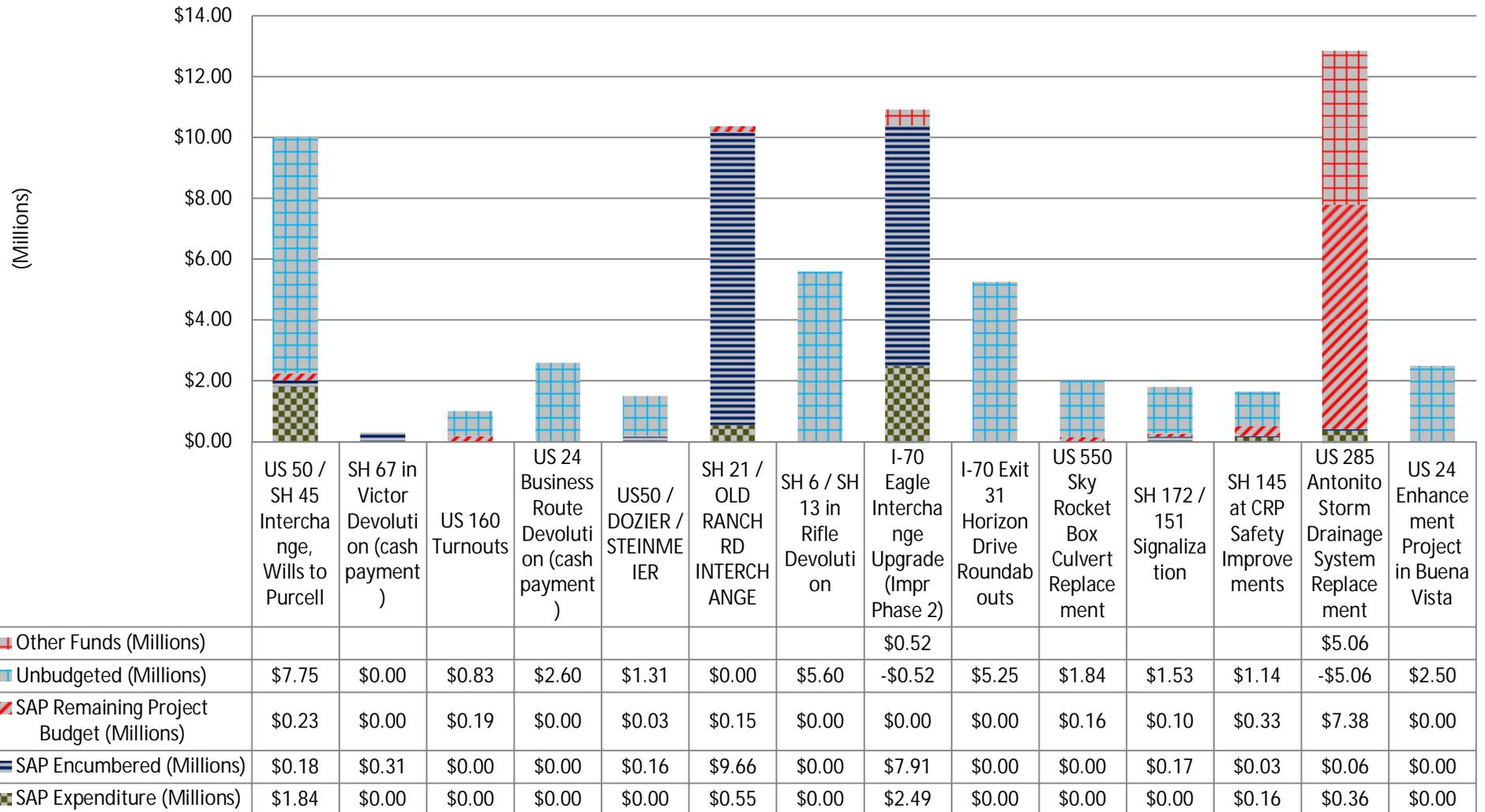


As of July 18, 2014



Status of RAMP Projects

Public-Public Partnerships: Small Projects < \$10M (CDOT)

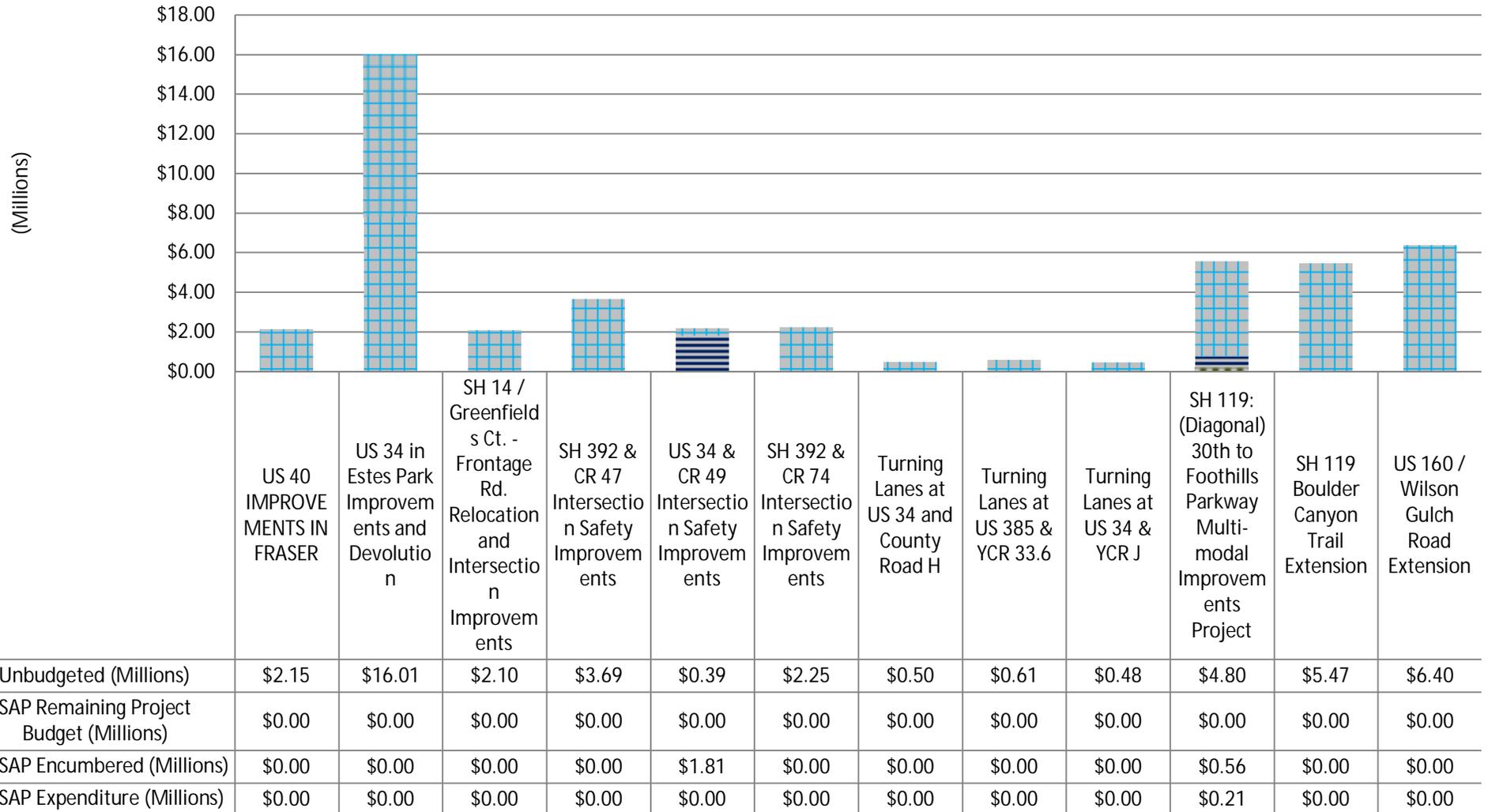


As of July 18, 2014



Status of RAMP Projects

Public-Public Partnerships: Small Projects < \$10M (Local Agency)

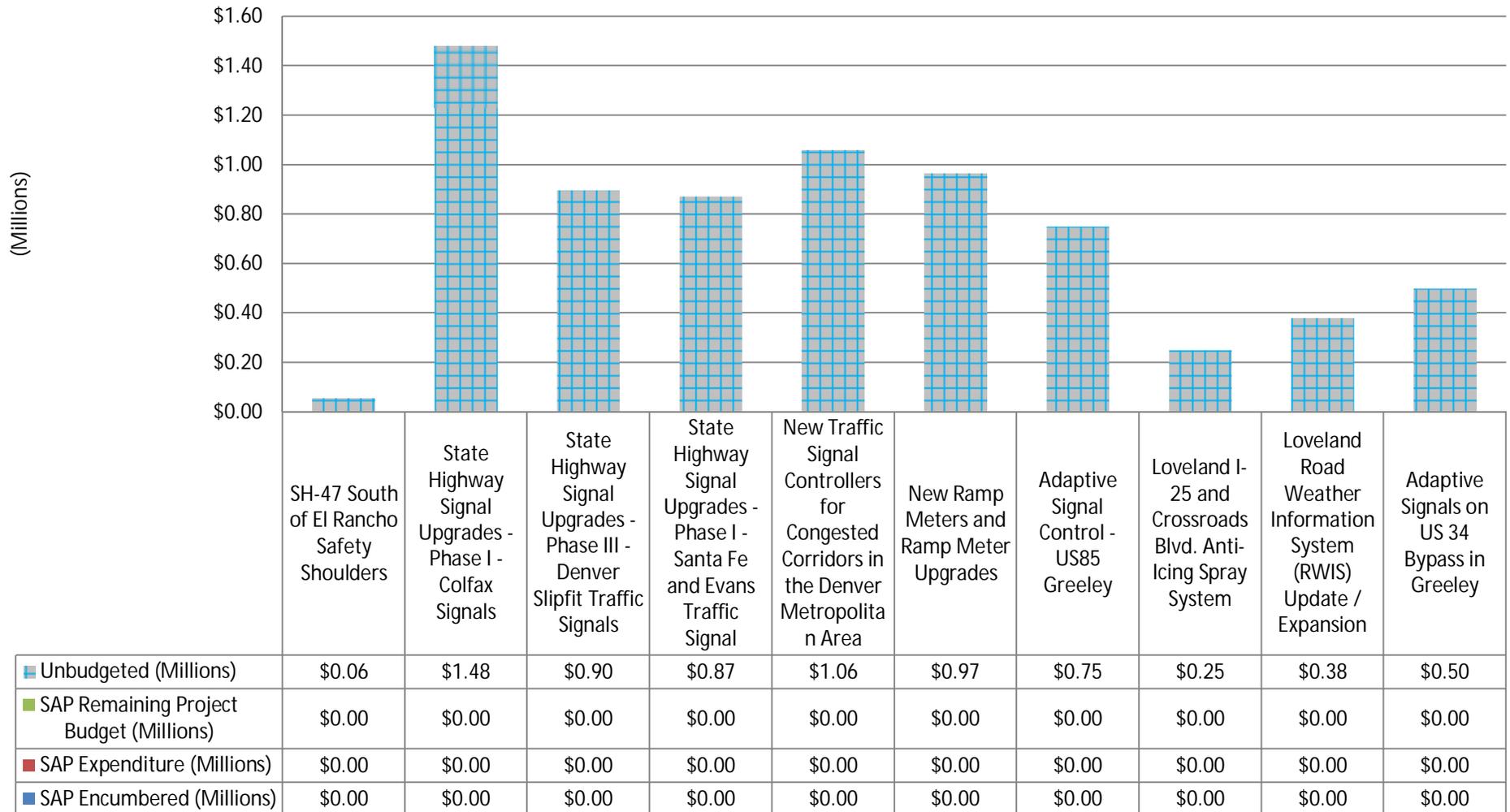


As of July 18, 2014



Status of RAMP Projects

Operations Projects (Unbudgeted) Page 1 of 2

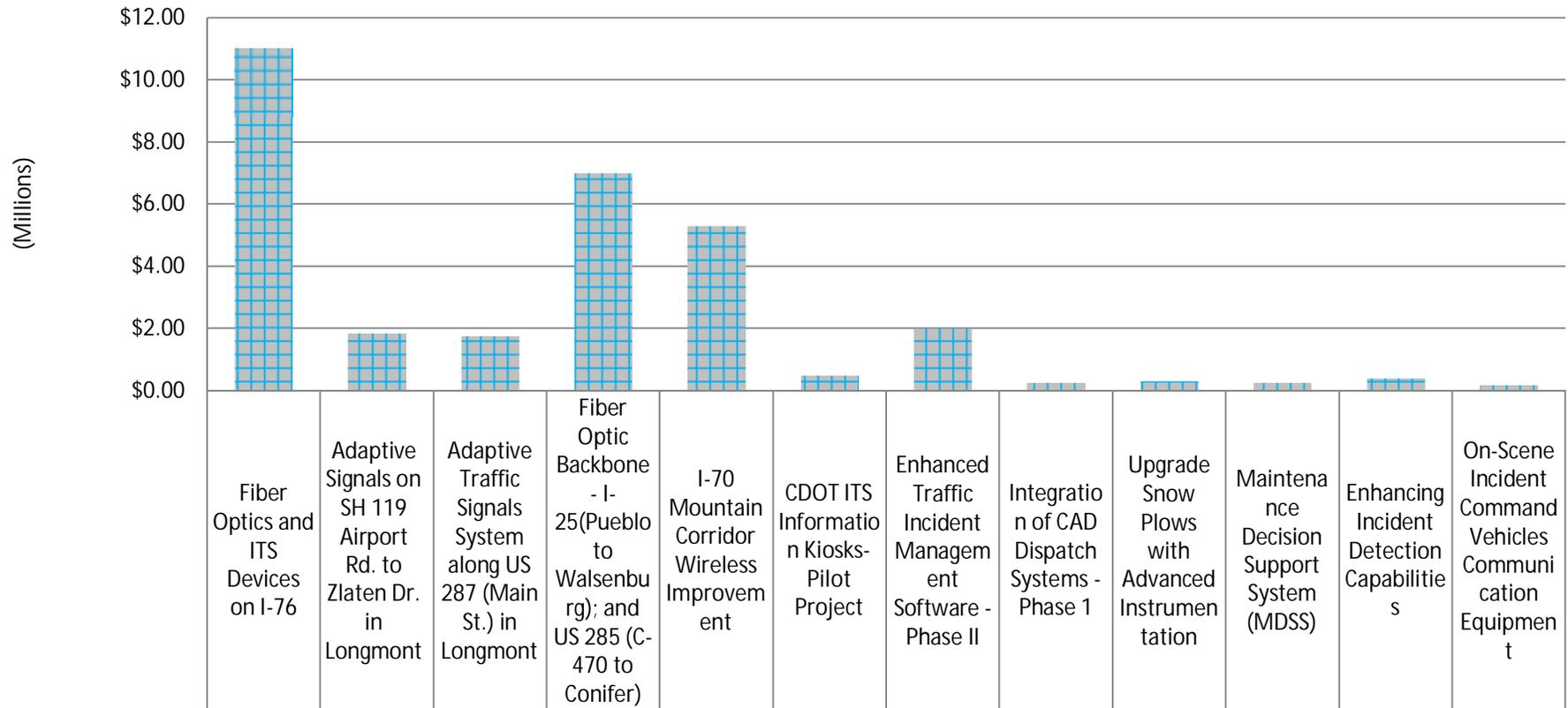


As of July 18, 2014



Status of RAMP Projects

Operations Projects (Unbudgeted) Page 2 of 2



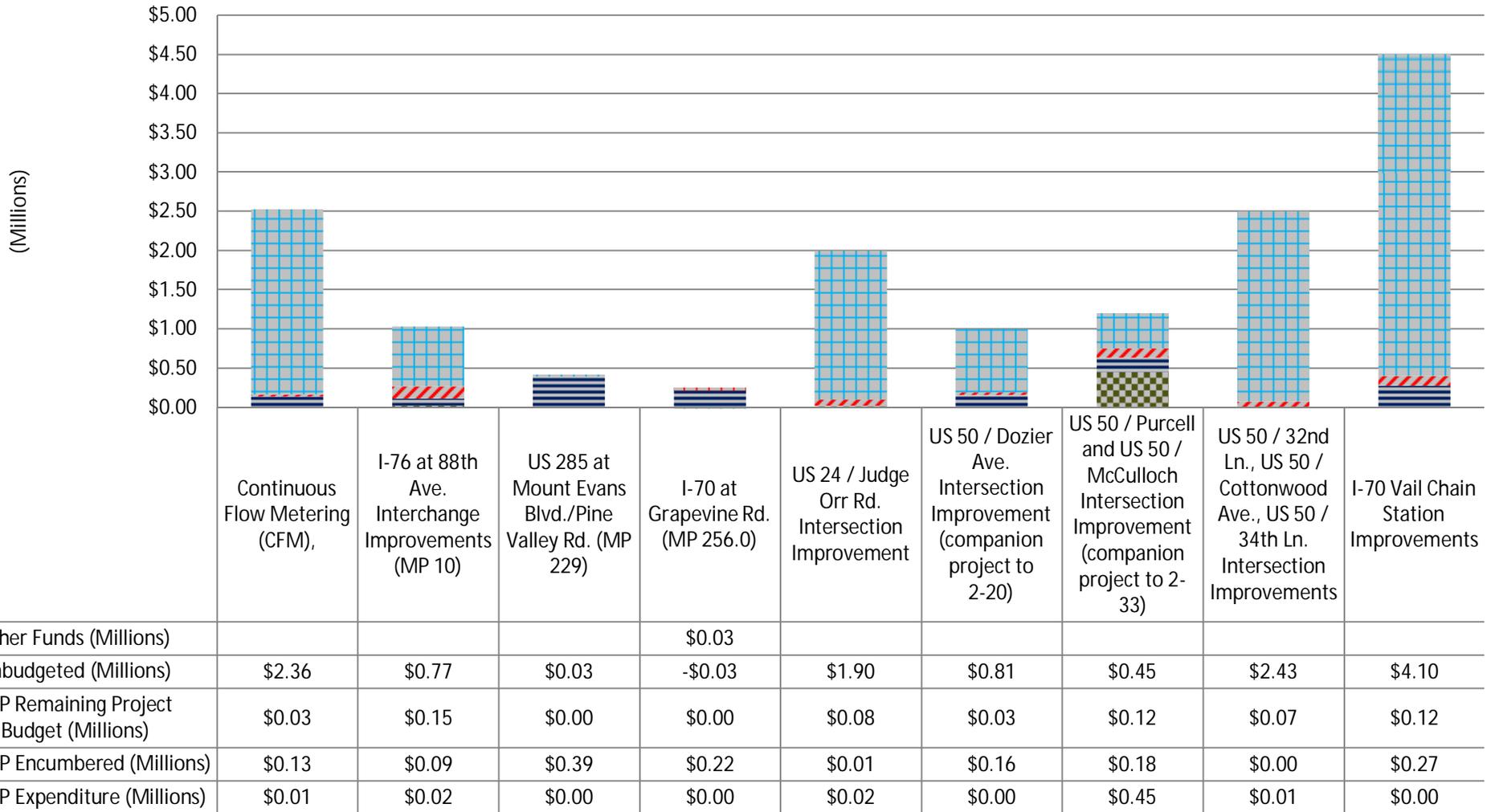
■ Unbudgeted (Millions)	\$11.00	\$1.85	\$1.76	\$7.00	\$5.30	\$0.48	\$2.00	\$0.25	\$0.30	\$0.25	\$0.39	\$0.18
■ SAP Remaining Project Budget (Millions)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
■ SAP Expenditure (Millions)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
■ SAP Encumbered (Millions)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

As of July 18, 2014



Status of RAMP Projects

Operations Projects (Budgeted) Page 1 of 2



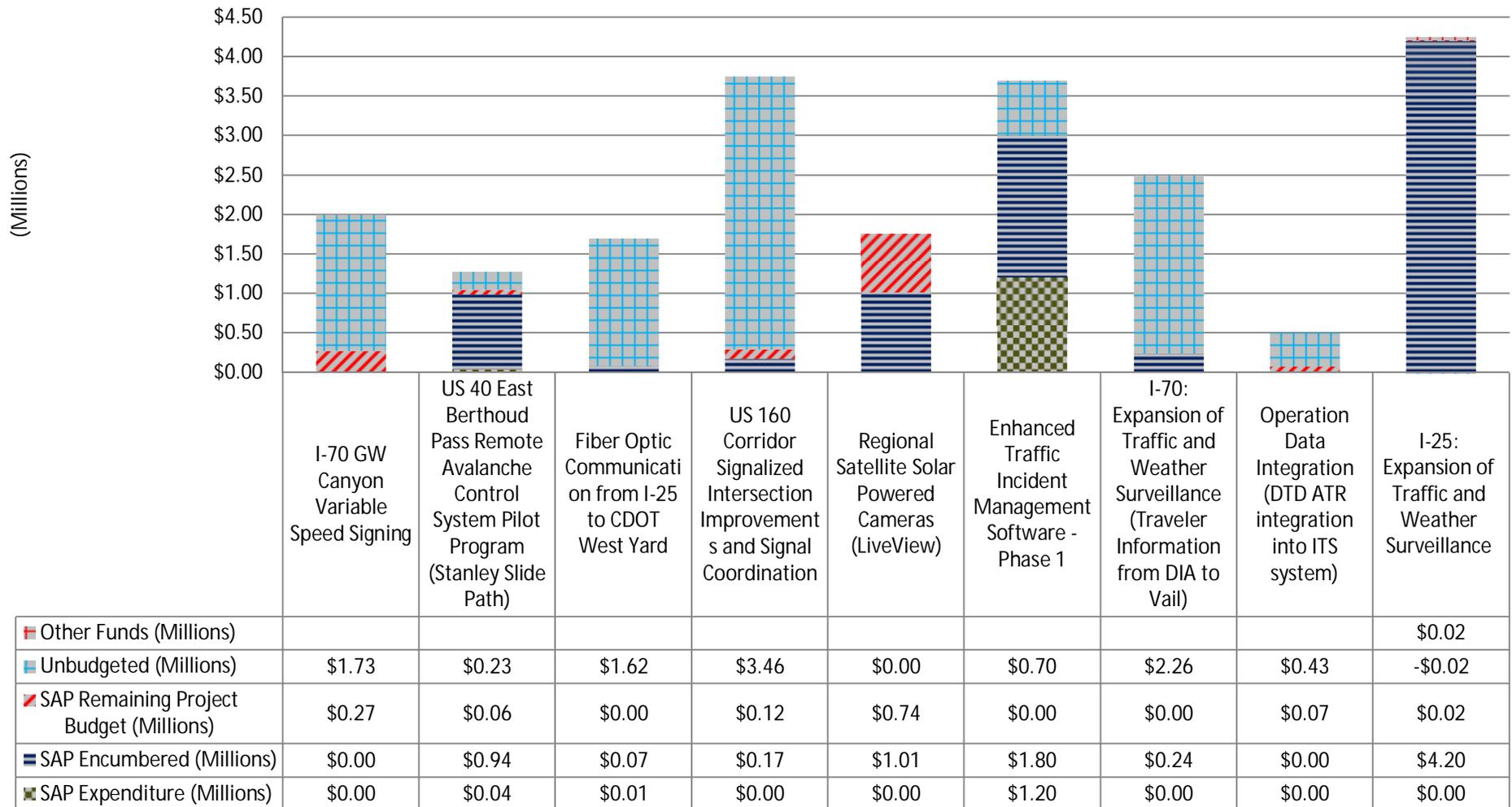
Note: I-70 Eastbound PPSL is not showing on this list.

As of July 18, 2014



Status of RAMP Projects

Operations Projects (Budgeted) Page 2 of 2



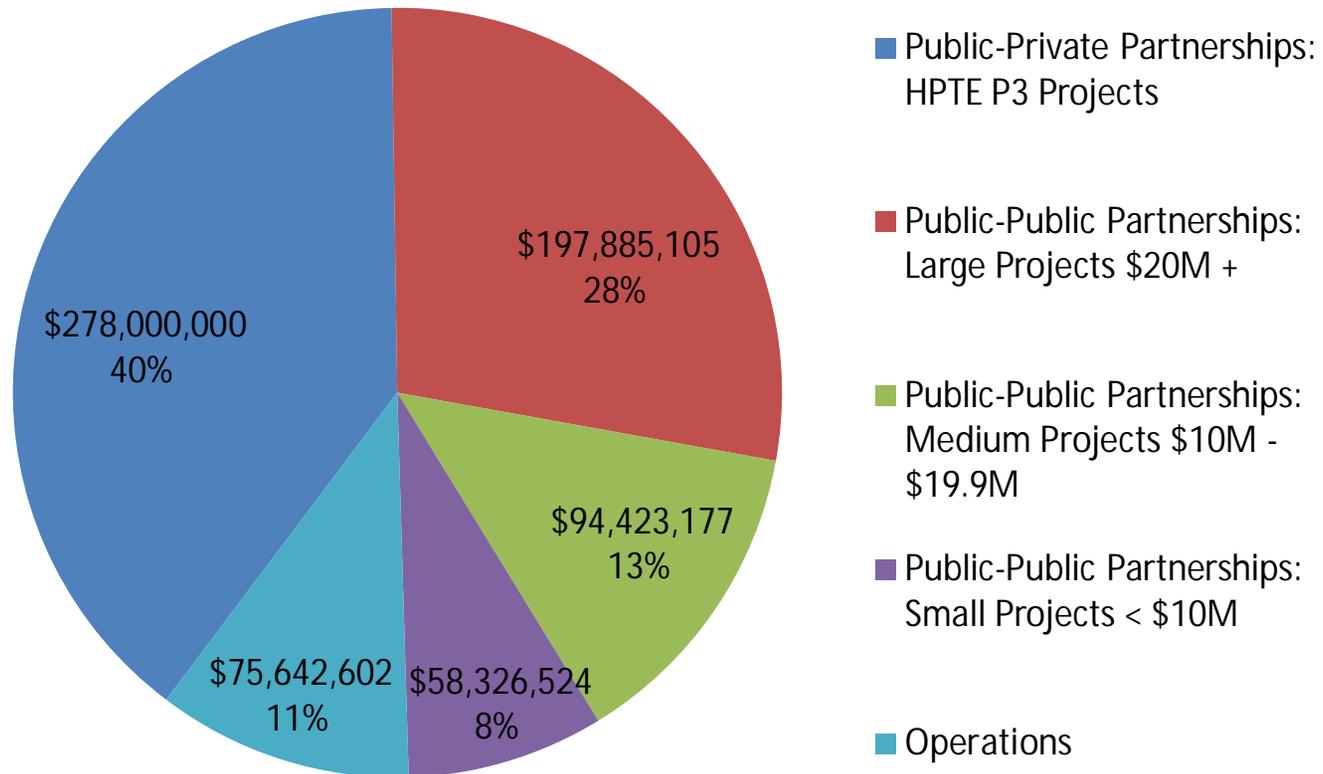
Note: I-70 Eastbound PPSL is not showing on this list.

As of July 18, 2014



Status of RAMP Projects

\$704M RAMP Request Dollars split by RAMP Category

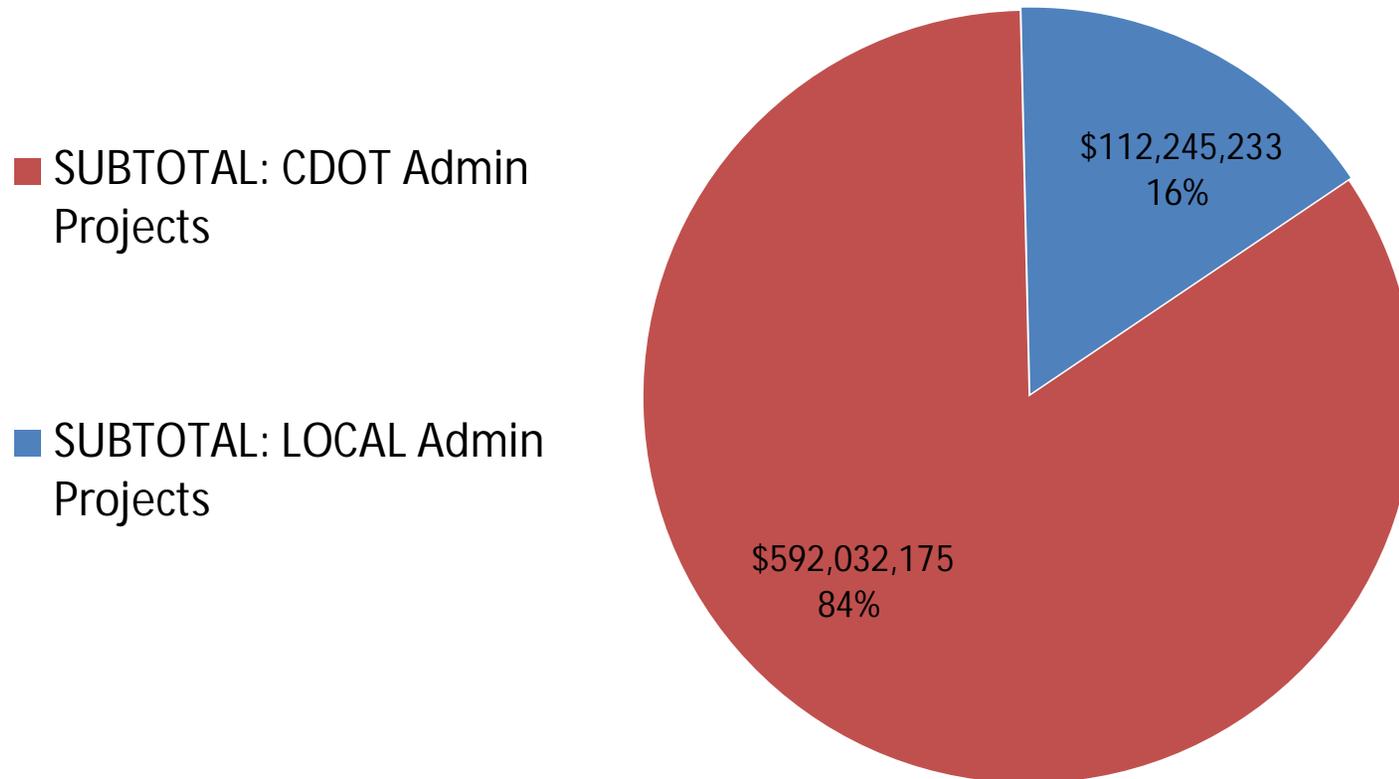


As of July 18, 2014



Status of RAMP Projects

\$704M RAMP Request Dollars split between CDOT & Local Agency Administered Projects

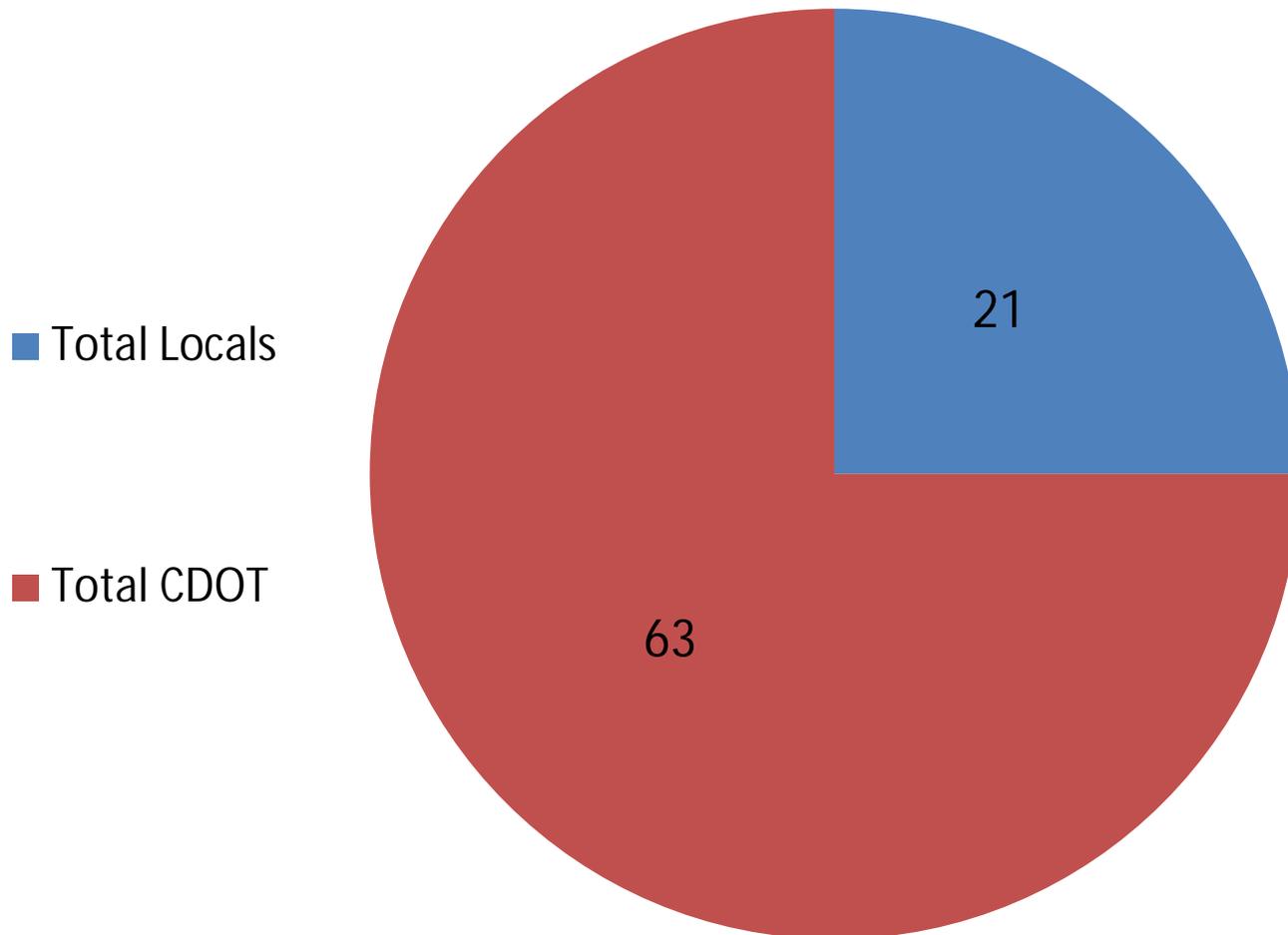


As of July 18, 2014



Status of RAMP Projects

Local and State Break Down

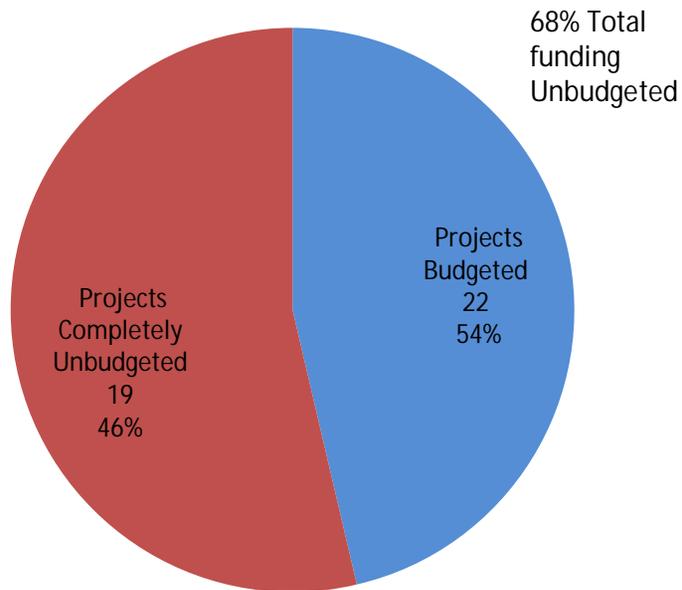


As of July 18, 2014

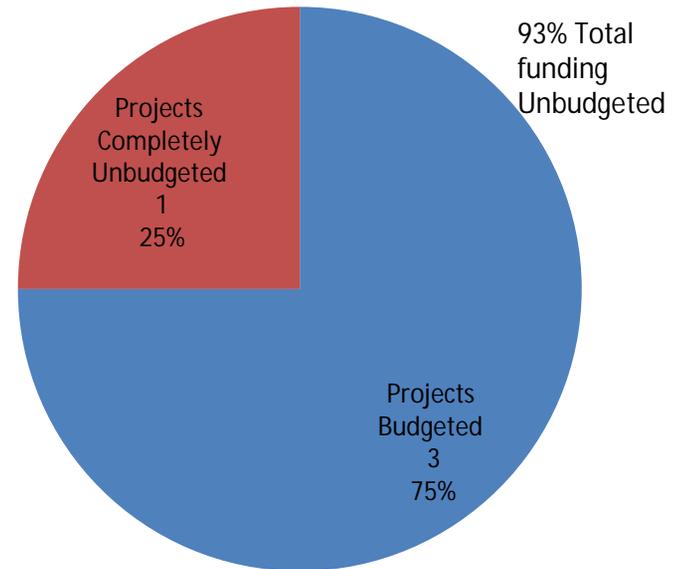


Status of RAMP Projects

Operation Projects



HPTE P3 Projects

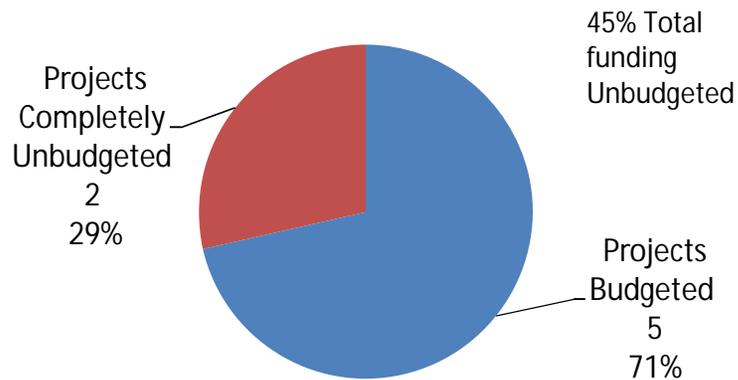


As of July 18, 2014

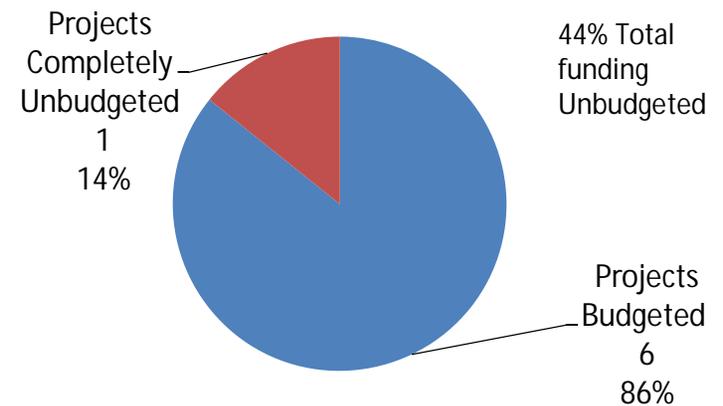


Status of RAMP Projects

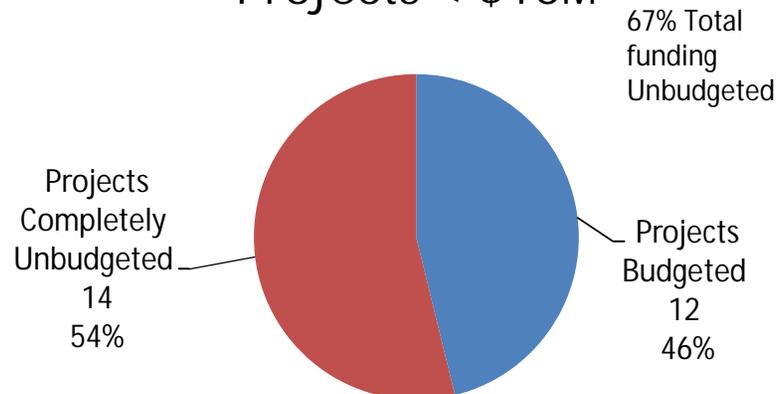
Public-Public Partnerships: Large Projects \$20M +



Public-Public Partnerships: Medium Projects \$10M - \$19.9M



Public-Public Partnerships: Small Projects < \$10M



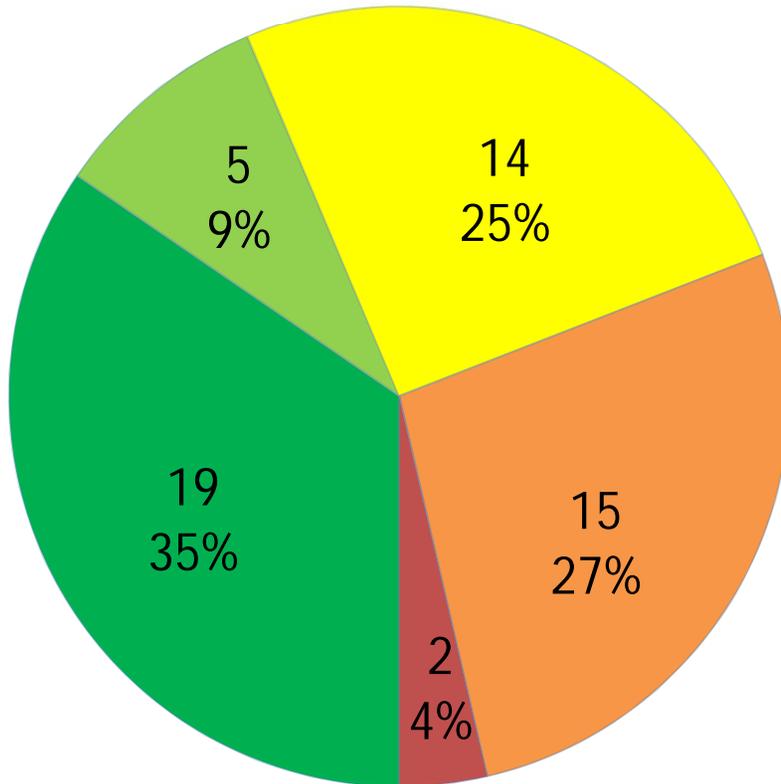
As of July 18, 2014



RAMP IGAs – Summary Update

Current IGA Progress - RAMP P&O Program

Total # of IGAs: 55



- IGA Executed
- CDOT HQ Review / LA Signatures
- Document Review by Local Agency
- HQ Drafts IGA Documents
- Regional Staff Submit IGA Packet to HQ

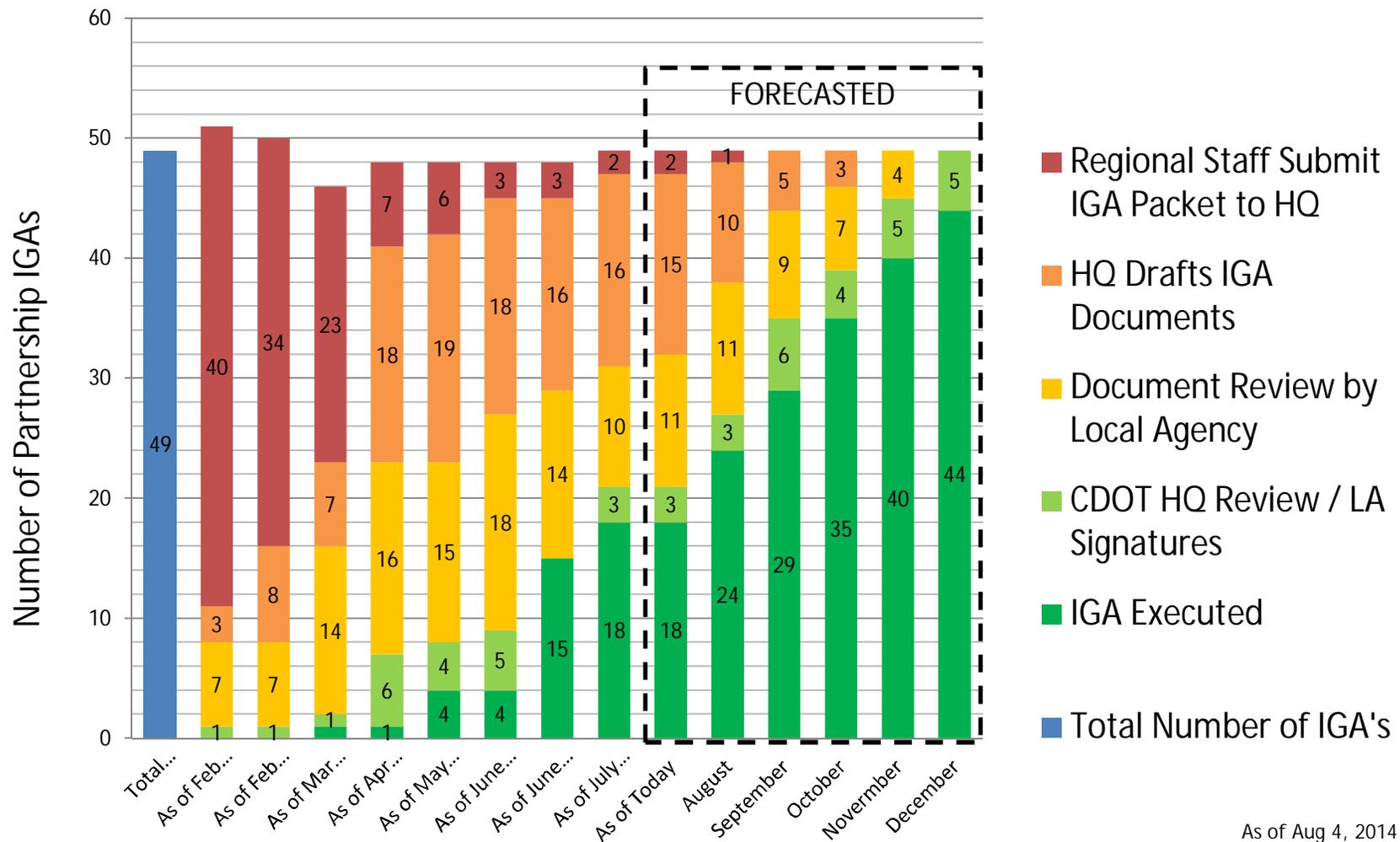
As of: August 4th, 2014

As of Aug 4, 2014



RAMP IGAs – Summary Update

RAMP Partnership IGA's

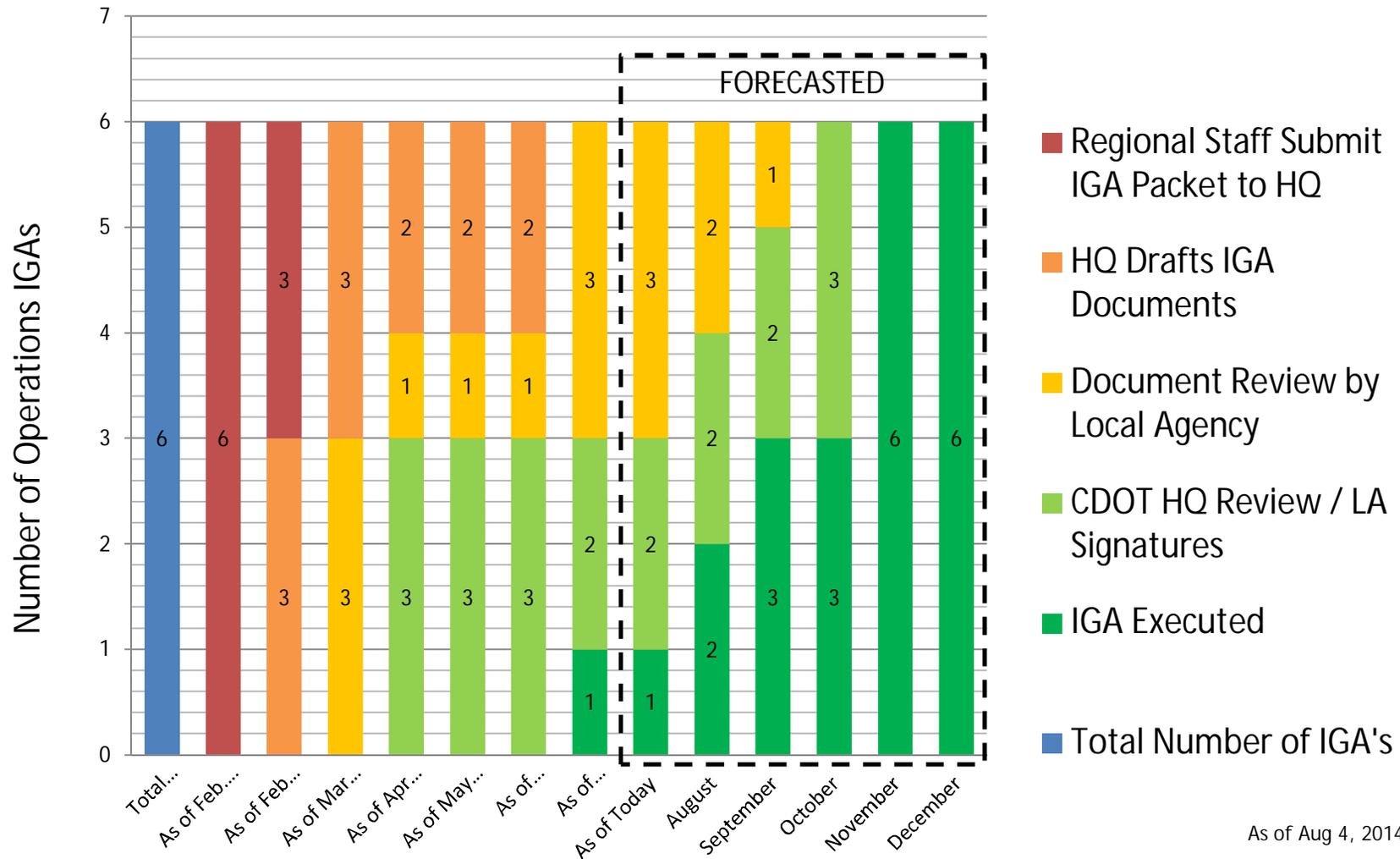


As of Aug 4, 2014



RAMP IGAs – Summary Update

RAMP Operations IGA's



As of Aug 4, 2014



PMO Coming Attractions

- Update of Cash Balance
- Overview of 2014/2015 Asset Mgmt
- Overview of Safety Projects

As of July 18, 2014



COLORADO

Department of Transportation

Division of Accounting and Finance

4201 East Arkansas Avenue, Room 262
Denver, CO 80222

MEMORANDUM

TO: TRANSPORTATION COMMISSION

FROM: SCOTT RICHRATH, CHIEF FINANCIAL OFFICER (CFO)

DATE: AUGUST 20, 2014

SUBJECT: ADOPTION OF POLICY DIRECTIVE 703.0 “ANNUAL BUDGET, PROJECT BUDGETING AND CASH MANAGEMENT PRINCIPLES”

Purpose

Adoption of Policy Directive 703.0 “Annual Budget, Project Budgeting and Cash Management Principles”

Action

To review the updated version of Policy Directive (PD) 703.0 and supporting materials and to pass a resolution adopting Policy Directive 703.0.

Background

In February, 2013, the Transportation Commission (TC) asked the former CFO, Ben Stein, to revisit PD 703.0 to better moderate supplemental budget actions presented to the TC for approval. In September, 2013, the Office of Cash Management was formed within the Division of Accounting and Finance (DAF) to develop procedures to allow the acceleration of the development of highway construction. As a result, over the past several months, Department staff, the Senior Management Team (SMT), and the TC have had the opportunity to review policy drafts and materials that support the goals of streamlining budget actions presented to the TC and to facilitate the acceleration of highway construction. The following reviews have taken place:

- In April 2014, a draft of PD 703.0 and supporting materials were first presented to the TC.
- In May and June 2014, topics such as the determination of substantive thresholds, how risk will be managed, individual project and overall program management funding processes were clarified.
- In June 2014, a budget action approval matrix (“the matrix”) was developed supporting the consistent application of the principles outlined in PD 703.0.
- In July, topics regarding approvals for maintenance covered in PD 1000.0 were consolidated into PD 703.0 and the matrix.

This month, the policy directive and the matrix have been updated to reflect the following changes:

- A new line for Capital Development Committee (CDC) fund request has been added to the matrix as outlined under the Budget Discussion agenda item. The CDC request requires two of three signatures from Executive Director or designee, Chief Engineer, CFO and is reflected as an informational (yellow) item on the matrix.



- The RAMP Operations and Partnership items previously indicating Allotment Advice (green) approval have been changed to requiring two of three signatures from Executive Director or designee, Chief Engineer, CFO (yellow) on the matrix.
- Maintenance Projects roll-forward requests and Common Policies have been added and require two of three signatures from Executive Director or designee, Chief Engineer, CFO and are listed in the informational (yellow) section of the matrix.
- Decision Items and Roll Forward requests will follow the same dollar thresholds for yellow and red as identified on the matrix.

Details

The purpose of PD 703.0 is to establish the policy by which the Department will determine and submit the annual budget and project budgets to the TC. The TC will focus on substantive budget matters, i.e. those budget matters that involve material change or significant risk, and will exercise oversight on routine budget matters.

The level of Department and TC governance is aligned to the level of risk that is identified in the matrix.

- Low risk (green) items allow for Allotment Advice where project level budget actions, initiated by Department staff, is approved by OFMB staff without TC approval. Example: Initial project funding for a TC approved asset management project.
- Moderate risk (yellow) items require two of three signatures from Executive Director or designee, Chief Engineer, CFO.
- Higher risk items (red) require TC approval. Example: Funding for projects not on a TC approved asset management project list.

The TC will be reviewing the Asset Management Project Selection Process in the Asset Committee Meeting held on August 21, 2014. Approval by the TC of the selection criteria will support the Project Related Transactions matrix within PD 703.0.

Key Benefits

The key benefit of Policy Directive 703.0 is to establish one document that provides guidance to the Department as to what budgetary items require Transportation Commission approval.

Options and Recommendations

- 1.) Adopt PD 703.0 - Staff Recommendation.
- 2.) Request additional information and delay adoption for a future month.
- 3.) Revert back to PD 703 to guide TC approval of project budgets.

Next Steps

As we move forward, it is the Department's plan to move as many programs as possible to a 4-year program of projects, whereby under PD 703.0 project lists with TC approved statewide prioritization process/model will be provided as FYI only. DAF has initiated multiple procedures to implement PD 703.0 to include Program Pool Funding Management and Project Approval and Funding Work Flow. It is also the intent of DAF to reevaluate the Matrix appendices annually and submit updates for TC approval.

Attachments

- PD703.0 Policy Directive (Appendices A and E attached)
- PD703.0 Matrix (Appendices B, C and D provided as a separate document for convenience)
- PD703.0 Resolution



COLORADO DEPARTMENT OF TRANSPORTATION		<input checked="" type="checkbox"/> POLICY DIRECTIVE <input type="checkbox"/> PROCEDURAL DIRECTIVE	
Subject			
Annual Budget, Project Budgeting and Cash Management Principles			703.0
Effective	Supersedes	Originating Office	
TBD	02/17/11	Office of Finance Management and Budget (“OFMB”)	

I. PURPOSE

To establish the policy by which the Colorado Department of Transportation will determine and submit the annual budget and project budgets to the Colorado Transportation Commission. The Commission will focus on substantive budget matters, i.e. those budget matters that involve material change or significant risk, and will exercise oversight on routine budget matters.

II. AUTHORITY

Colorado Transportation Commission pursuant to § 43-1-106(8)(h), C.R.S.

III. APPLICABILITY

This Policy Directive applies to all divisions, regions and offices of the Colorado Department of Transportation.

IV. DEFINITIONS

See Appendix A “Definitions”

V. POLICY

A. Scope. This Policy Directive applies to all funds and accounts administered by the Department. The scope includes the formation and execution of the Department’s budget and the approval of the Department’s programs.

B. Objective. The objective of this Policy Directive is to document annual budget and project budgeting policies followed by the Department with the Commission’s approval to maximize the flow of funds to the Department’s construction and maintenance projects applying effective and efficient cash management strategies.

1. The Commission will evaluate the Department’s ability to apply effective and efficient cash management strategies using the following criteria:
 - a. Available revenues in the Statewide Transportation Improvement Program (STIP) are as high as can be justified within relevant state and federal laws;

Annual and Project Budgets and Cash Management Principles

- b. Those revenues are fully allocated to programs or groups of projects within the STIP;
- c. Appropriations for construction and maintenance projects are as high as can be justified in conformance with state and federal laws;
- d. Conjointly with meeting the Department's objectives around the timely delivery of projects, the minimum monthly cash balances of each fund are not significantly different than the target cash balances approved for that fund by the Commission.

C. Principles.

1. Financial risk is a necessary element in maximizing the flow of funds to projects. The Department may take necessary financial risks in order to accelerate projects while implementing the necessary controls in order to stay in compliance within overall risk management measures.
2. It is necessary to obtain Commission approval for project modifications only when the modification is of high risk as defined by:
 - a. increases in project costs Substantively change the total funds allocated to a program as determined by the Transportation Commission;
 - b. project location or scope changes deviate Substantively from the approved project prioritization process or list; and
 - c. any other modifications to the project Substantively increase the risk to a project already identified as holding significant risk.
3. Level of Department and Commission governance is aligned to level of risk. Reference Appendix B "Annual Budget, Revenue, and Financial Position"; Appendix C "Project Related Transactions"; and Appendix D "Other Transactions".

D. Annual Budget.

1. The Department shall produce a long-range revenue forecast, by year and extending over at least 20 years, and a short-range revenue forecast, by month extending over at least 48 months, for use in all of the Department's programs and budgets.
2. Pursuant to § 43-1-113(2), C.R.S., annually, on or before December 15, the Commission shall adopt and the Department shall submit a proposed draft budget allocation plan for the beginning of the fiscal year beginning on July 1 of the succeeding year. No later than April 15 of each year, the Commission

shall adopt and submit a final budget allocation plan to the Office of State Planning and Budget.

3. The level of Department and Commission risk regarding the annual budget shall be defined as outlined in Appendix B.

E. Project Budgets.

1. Projects typically will be managed within a four-year program or programs of projects; for example, a four-year surface treatment program or a four-year FASTER Safety program.
2. The Department shall approve the scope, schedule and cost of each project through development and construction, and shall report to the Commission to obtain initial approval of the scope, schedule and cost of each project; and to approve subsequent substantive changes to the scope, schedule and cost of each project as outlined in Appendix B.

F. Statewide Transportation Improvement Program (STIP).

1. Pursuant to 23 C.F.R. 450.216, the Department is required to develop a STIP.
2. The Department shall use the STIP as the principal expression of its programs and projects for the execution of highway construction projects that have been selected by the Commission.
3. The Department shall develop a rolling four (4) year STIP.
4. The STIP must list regionally significant projects individually. Other projects will be grouped into programs.
5. The STIP will be amended at least once a year for major changes. Upon the conclusion of a fiscal year, a new fiscal year will be amended into the STIP as the fourth federally recognized year.
6. Minor changes will be made by Administrative Modification which will be approved by the Department Executive Director.

VI. DOCUMENTS REFERENCED IN THIS POLICY DIRECTIVE

1. Appendix A – “Definitions”
2. Appendix B – “Annual Budget, Revenue, and Financial Position”
3. Appendix C – “Project Related Transactions”
4. Appendix D – “Other Transactions”

Subject Annual and Project Budgets and Cash Management Principles	Number 703.0
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5. Appendix E – “Project Budgeting Process Flowchart”

VII. IMPLEMENTATION PLAN

1. The OFMB shall establish procedures to implement this Policy Directive.
2. The OFMB shall train all CDOT employees who are impacted by or involved with this Policy Directive.
3. This Policy Directive shall be effective upon signature.

VIII. REVIEW DATE

This directive shall be reviewed on or before August 2019.

 Secretary, Transportation Commission

 Date of Approval

<p>Subject</p> <p>Annual and Project Budgets and Cash Management Principles</p>	<p>Number</p> <p>703.0</p>
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Appendix A - Definitions

“Allotment Advice” shall mean project level budget actions, initiated by Department staff, that is approved by OFMB staff without Commission approval.

“Approval” shall mean administrative permission to proceed with a project, program, or other anticipated expenditure that will require one or more officials to exercise their expenditure authorities in order to enter into one or more commitments to pay for goods or services that are needed to accomplish the project or program objectives. For purposes of this Policy Directive, the Colorado Transportation Commission approves projects.

“Budget” shall mean a financial plan that shows intended authorizations, appropriations, and allotments of funds into and out of an accounting entity. When all inflows and outflows of funds of the accounting entity are shown in the budget, the budget becomes a prospective statement of revenues and expenditures for that entity. CDOT maintains several budgets including those for Colorado Bridge Enterprise, High Performance Transportation Enterprise, the Aeronautics Division, and the core budget of CDOT, all of which are included in the State’s annual budget – the Long Bill.

“Cash Management” shall refer to the balancing of expected cash outflows with expected cash inflows.

“Confirmation Item” shall mean approved action prior to TC meeting, but included on formal Budget Supplement document.

“Department” shall mean the Colorado Department of Transportation pursuant to § 43-1-103, C.R.S.

“Programs” shall mean a logical grouping of similar projects in scope; or small and miscellaneous in nature.

“Project” shall mean highway improvement activities contained under a single sub account number in CDOT’s SAP financial management information system.

“STIP” shall mean Statewide Transportation Improvement Program – A federally required, fiscally constrained, program that depicts transportation projects for a minimum of four fiscal years up to eight (8) fiscal years.

“STIP Administrative Modification” shall mean minor changes to project costs, funding sources, or initiation dates. “Substantive” shall be used to mean exceeding the approved amount over a scope, schedule or budget threshold set by the Department’s Executive Director or designee.

Subject Annual and Project Budgets and Cash Management Principles	Number 703.0
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“STIP Amendment” shall mean any major change to a project, including addition or deletion, major change to cost, initiation dates, or scope including amending a year into the STIP.

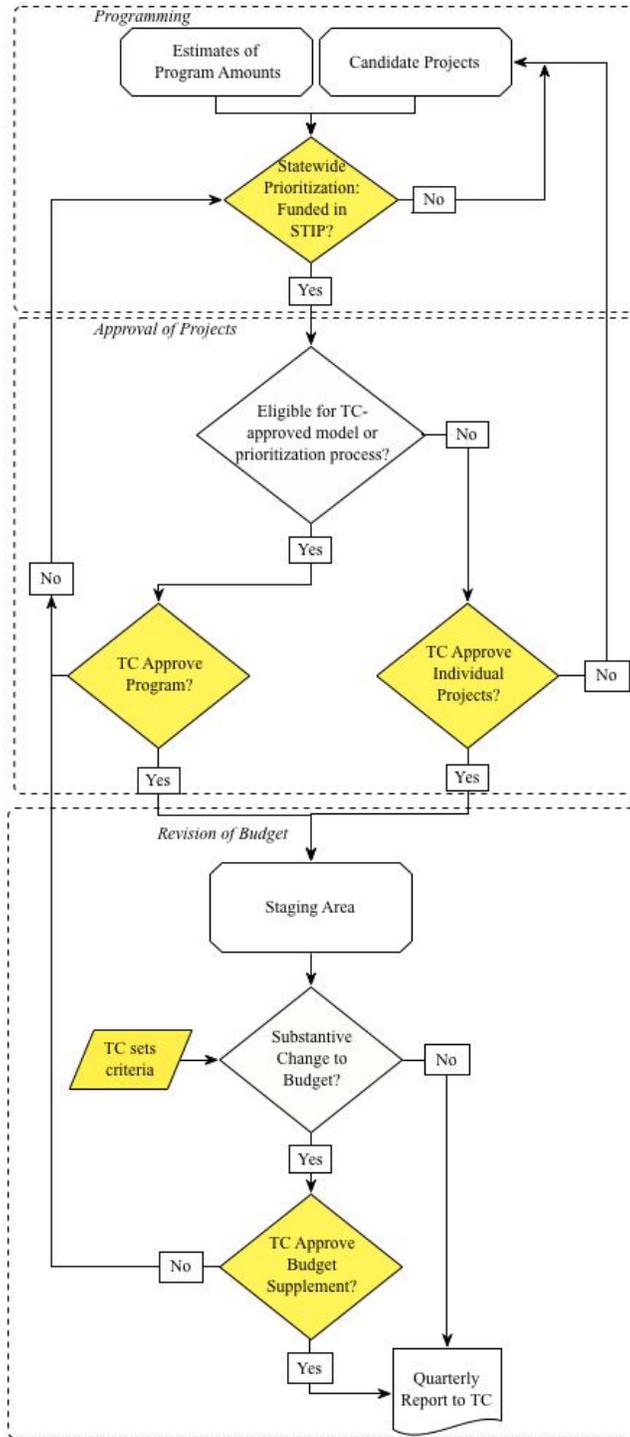
“TC Approval Required” shall mean project level budget actions, initiated by Department staff requiring Commission approval as part of a budget supplement packet.

“Transportation Commission” or “Commission” shall mean the Colorado Transportation Commission pursuant to § 43-1-406, C.R.S.

“Transportation Commission Approved List” shall mean a list of projects approved by the Transportation Commission for an Annual Program per established processes.

Appendix E - Project Budgeting Process Flowchart

(as of April 2014)



Appendix B: "Annual Budget, Revenue, and Financial Position"

Event Type	High Risk: TC Review and Approve	Moderate Risk: 2 Signatures ED (or Designee), Chief Engineer, CFO Report To and Inform TC	Low Risk: Staff Manage
STIP	STIP Amendments no less than annually	Quarterly analysis of fiscal constrained project schedule	Administrative Modifications
Capital Development Committee		Requests made to the CDC using quantitative model	
4-year Program of Projects and Corresponding Budget (see Project Related Transact.)	Acceptance of Asset Management Lists, Integrated Safety Plan and Programs of Projects as they become available	Quarterly report of allotments to projects	Locally and Regionally administered programs; or as programmed in STIP or as shown in project schedule for STIP amendments and budget supplements
		Annual forecast of amounts required to complete projects	
Cash Balances and Revenue Forecasts	Annual Risk Assessment	Quarterly reports on construction lettings and revenue forecasts	OCM limit on construction lettings each month
		Annual reports	
Revenue-Based Budget	Annual Budget Adoption: November - review draft budget March - adopt final	August - Review final budget including legislative items	Local agency project contributions, Federal Discretionary allocations, State administered grants
Common Policies	Presented as informational	Reviewed annually	
Decision Items	Greater than or equal \$1 million (Annual Process)	Less than \$1 million (Annual Process) (requires dual signature)	
Cost Center Roll Forwards	Greater than or equal \$1 million (Annual Process)	Less than \$1 million (Annual Process) (requires dual signature)	E0249-010 (Equipment) , S0014-010 (Haz Mat), S0193-010 (Engineering Training) , S0247-010 (Road Equip) , OI440-010 (ITS), SM265-010 (Property Management), SM275-010 (Camp George West HVAC)
Budget Pool Roll Forwards		Reclassifications of previous FY funds to RAMP or other programs	RPP and Local Program Pools
Project Budgets (see Project Related Transactions)	Individual projects <u>Not</u> on Approved List	Individual projects on Approved List	Individual projects on Approved List
	Additions greater than or equal to 15% and greater than or equal to \$500,000	Additions between 10%-15% or between \$250,000- \$500,000	Additions less than 10% or less than \$250,000
Cash-Based Expenditures	Budget increases greater than or equal to 10% of program and greater than \$1 million	Budget increases less than 10% of program and less than \$1 million	Quarterly review of the project schedule; expenditure forecasts and 'plan' vs. 'actual' analyses

Appendix C: "Project Related Transactions"

Project Type	Initial Project Funding	Pre-Award Adjustment and Contract Modification Orders (to the currently approved project budget)			Project Closure
		Greater than or equal to 15% and greater than or equal to \$500,000 or greater than or equal to \$5,000,000 above the original approved amount	Between 10%-15% or between \$250,000-\$500,000 above the original approved amount	Less than 10% or less than \$250,000 above the original approved amount	
2013 Emergency Relief and Permanent Repairs	Requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO				Allotment Advice
Emergency Requests (from the Transportation Commission Contingency Relief Fund or other programs)	Requires Commission Chairperson approval for Confirmation Item				Allotment Advice
Non-emergency Transportation Commission Contingency Reserve Fund Requests	TC Approval Required				
Asset Management Programs: Geohazard, Tunnels, Walls, Bridge On-System, Culverts, Surface Treatment, Property Management. (Including RAMP.)	TC Approval Required if not on Approved List or Model	TC Approval Required	Requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO	Allotment Advice	
	Allotment Advice if on Transportation Commission Approved List or Model				
Transportation Systems Management & Operations - Replacement	Allotment Advice	TC Approval Required	Requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO	Allotment Advice	
Transportation Systems Management & Operations - New Capital	TC Approval Required		Requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO	Allotment Advice	
Highway Safety Improvement Program	TC Approval Required if not on Approved List or Model	TC Approval Required	Requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO	Allotment Advice	
	Allotment Advice if on Transportation Commission Approved List or Model				

Appendix C: "Project Related Transactions"

Project Type	Initial Project Funding	Pre-Award Adjustment and Contract Modification Orders (to the currently approved project budget)			Project Closure
		Greater than or equal to 15% and greater than or equal to \$500,000 or greater than or equal to \$5,000,000 above the original approved amount	Between 10%-15% or between \$250,000-\$500,000 above the original approved amount	Less than 10% or less than \$250,000 above the original approved amount	
FASTER Safety Program	TC Approval Required if not on Approved List or Model	TC Approval Required	Requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO	Allotment Advice	
	Allotment Advice if on Transportation Commission Approved List or Model				
Strategic Projects (e.g. 7th Pot)	TC Approval Required			Allotment Advice	
Federal Discretionary Grants - State Match Required	TC Approval Required		Requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO	Allotment Advice	
Federal Discretionary Grants - No State Match Required	No Commission Approval Required for any action				
Regional Priority Program	No Commission Approval Required for any action with quarterly reporting to Transportation Commission				
Other State Administered Programs - Congestion Relief, Hot Spots and Railroad Crossings, Planning and Research, Safe Routes to School	No Commission Approval Required for any action				
Local contributions to state project	No Commission Approval Required for any action				
Local Administered Programs: CMAQ, TAP, STP-Metro, Bridge Off-System, Metro Planning	No Commission Approval Required for any action				
Maintenance Levels of Service	For all MLOS transactions, including Maintenance Projects, see "Other Transactions"				

Appendix C: "Project Related Transactions"

Project Type	Initial Project Funding	Pre-Award Adjustment and Contract Modification Orders (to the currently approved project budget)			Project Closure
		Greater than or equal to 15% and greater than or equal to \$500,000 or greater than or equal to \$5,000,000 above the original approved amount	Between 10%-15% or between \$250,000-\$500,000 above the original approved amount	Less than 10% or less than \$250,000 above the original approved amount	
Transit and Rail	TC Approval Required if not on Approved List or Model	TC Approval Required	Requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO	Allotment Advice	
	Allotment Advice if on Transportation Commission Approved List or Model				
Bridge Enterprise	Enterprise Board Approval Required if not on Approved List or Model	Enterprise Board Approval Required	Requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO	Allotment Advice	
	Allotment Advice if on Bridge Enterprise Board Approved List or Model				
High Performance Transportation Enterprise	HPTE Board Approval Required		Requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO	Allotment Advice	

Project Type	Initial Project Funding		Pre-Award Adjustment and Contract Modification Orders (to the currently approved project budget)		Project Closure
	Greater than or equal to 7.5% if more than \$100,000 or greater than or equal to \$1,000,000 above the original approved amount	Less than 7.5% or less than \$100,000 above the original approved amount	Greater than or equal to 7.5% if more than \$100,000 or greater than or equal to \$1,000,000 above the original approved amount	Less than 7.5% or less than \$100,000 above the original approved amount	
RAMP Operations and Partnership	TC Approval Required	Requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO	TC Approval Required	Requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO	

Appendix D: "Other Transactions"

Transaction Type	High Risk: TC Review and Approve	Moderate Risk: 2 Signatures ED (or Designee), Chief Engineer, CFO Report To and Inform TC	Low Risk: Staff Manage
FTE Requests	Increasing the total # of CDOT FTE's	Salary cap relief	Filling existing vacancies or Reclassifying to best meet business needs
Loans	Change that will trigger a loan and require Legislative Authority		Payment schedule included in quarterly and annual reports
Transfers between budget lines	TC Approval Required for current year funds	Reclassifications of previous FY funds to RAMP	
Budget Pool Level Transfers between Regions and/or HQ	Regional Priorities Program and 7th Pot	See Project 4 Year Budget for Quarterly report of allotments to projects to include Statewide administered programs (e.g. Asset Management programs, TSM&O, Safety)	Local administered programs (e.g. CMAQ, TAP, Metro)
Transfers between cost centers and program pools	Total Year to Date >= \$1,000,000	Individual Transfers >= \$250,000	Individual Transfers < \$250,000
Transfers between Capital and Operating Budget or Personal Services	Total Year to Date >= \$1,000,000	Individual Transfers >= \$250,000	Individual Transfers < \$250,000
Transfers between Personal Services and Operating Budget		Individual Transfers >= \$250,000	Individual Transfers < \$250,000
Aeronautics	Allocations for administrative costs		
MLOS	Annual Budget including Maintenance Program Areas	Budget transfers across regions	Budget transfers across sections or program areas within a region
Maintenance Projects (M Projects)		Structure Repairs, overlays, seal coats and all work where the total cost exceeds \$50,000; Emergency projects within Maintenance budget; Year end roll- forwards	Work where the total cost is < \$50,000
Earmarks and Federal discretionary funds	Application requiring state match not available from current program	State match is available, though project requires additional funds for completion, reference guidelines for other funds	Application requiring no state match
Other Programs (Administration & Operations)	To be reviewed on a biennial basis beginning in FY16 (FY 2015 total budget allocation of \$276,507,411)		
Transportation Commission Transition Fund	> = \$1,000,000	< \$1,000,000	
Contingency Funds	Any use of Transportation Commission Contingency Reserve Fund and Snow and Ice Contingency Reserve	Project contingencies allotted in projects but managed collectively (eg: program contingency) (requires dual signature)	Project contingency as part of approved project budget

Resolution # TC-

Adoption of Policy Directive 703.0 “Annual Budget, Project Budgeting and Cash Management Principles”

WHEREAS, pursuant to § 43-1-106(8)(h), C.R.S., the Colorado Transportation Commission (“Commission”) has the authority to promulgate and adopt all Colorado transportation programs and associated budgets, including prioritizing projects for the construction, reconstruction, repair, and maintenance of the state highway system; and

WHEREAS, Policy Directive 703.0 “Transportation Commission Budget Policy” was approved by the Commission on February 17, 2011; and

WHEREAS, Policy Directive 703.0 is intended to establish one document that provides guidance to the Department as to what budgetary items require Transportation Commission approval; and

WHEREAS, the Department seeks to maximize the flow of funds to construction and maintenance projects and, in doing so, apply effective and efficient cash management strategies; and

WHEREAS, the Transportation Commission (“Commission”) recognizes financial risk as a necessary element in maximizing the flow of funds to projects; and

WHEREAS, the Commission, with Department recommendation, will annually reevaluate substantive risk as associated with overall financial risk; and

WHEREAS, the Commission will annually approve Appendices B, C and D, (collectively known as the “Matrix”) attached to Policy Directive 703.0, which align the level of Department and Commission governance to the level of risk; and

NOW THEREFORE BE IT RESOLVED, the Commission herein approves Policy Directive 703.0 “Transportation Commission Budget Policy.”



COLORADO

Department of Transportation

Division of Accounting and Finance

4201 East Arkansas Avenue, Room 262
Denver, CO 80222

MEMORANDUM

TO: TRANSPORTATION COMMISSION

FROM: SCOTT RICHRATH, CHIEF FINANCIAL OFFICER (CFO)

DATE: AUGUST 20, 2014

SUBJECT: FY2014 & FY2015 BUDGET TOPICS

Purpose

This memorandum summarizes information related to the FY2014 and FY2015 budget topics, including:

- Discussion and approval of FY2014 to FY2015 cost center roll forwards (TC Action Requested)
- FY2014 to FY2015 Cash Management - Program Pool Funds (Information Only)
- Timing of the FY2014 revenue reconciliation and corresponding Transportation Commission Contingency Reserve Fund (TCCRF) FY2015 impact (Information Only)

Action

To review and approve a \$2.5 million Program Management FY2014 to FY2015 roll forward balance request that staff recommends be adopted as part of this month's Supplement request. This roll forward request supports the continued development of the Cash Management, Program Management and RAMP programs.

Background & Details

FY2014 to FY2015 Roll Forwards

At the close of each fiscal year, construction projects and projects funded with Federal Highway-approved State Planning & Research funds automatically roll to the next fiscal year so that those projects may continue without interruption. But many CDOT programs do not construct projects. Surplus funds in those programs have, under existing Policy Directive 703, been required to seek Transportation Commission approval to roll forward regardless of the dollar amount. Under proposed Policy Directive 703.0, up for adoption on Thursday August 21, the Transportation Commission shall be presented with all staff-recommended roll forwards of \$1 million or more. Two signatures (Executive Director and Chief Engineer or Chief Financial Officer) are required to approve roll forward requests of less than \$1 million.

Also, based on a 2009 decision made by the Chief Financial Officer to approve (with staff recommendation) the automatic roll forward of six(6) project related cost center fund balances at the end of each fiscal year, the TC will be asked this month, though PD 703.0 adoption, to continue this practice. Examples of the cost centers on this list include Equipment Pool Headquarters, the Road Equipment Pool, and the Property Management Pool. The approval matrix included with the PD includes, on the roll forward line, the specific cost centers this practice would apply to.



For FY2014 to FY2015, staff has requested roll forwards totaling \$7.6 million. The information below summarizes those requests and the action taken by management to approve, deny or forward to the TC for final action:

- a \$2.5 million Program Management request that staff recommends be adopted as part of this month's Supplement request (see attached);
- \$350,000 in M-Project roll forward requests that under PD 703.0 can be approved through dual signature (Executive Director, Chief Engineer, Chief Financial Officer);
- \$1.5 million in requests rejected by the Division of Accounting & Finance;
- \$1.9 million of the \$3.2 million in additional requests, representing 0.17% of the annual budget, in requests already encumbered or awarded in other consulting contracts that the Chief Financial Officer will review with the Executive Director and Chief Engineer;
- \$1.3 million of the \$3.2 million in additional requests, representing 0.12% of the annual budget, that have not yet been encumbered; the Chief Financial Officer will review with the Executive Director and Chief Engineer.

FY2014 to FY2015 Cash Management

At the end of FY2014, the Office of Cash Management developed preliminary program funding management procedures. The new procedures allow the acceleration of the development of highway construction.

- Procedures and guidelines are being established for each individual funding pool.
- Recommendations continue to be finalized related to unbudgeted funds being transferred to RAMP, statewide pools, or rolling forward to remain with the region (Regional Priority Programs).
- Most locally administered program pool roll forwards remain under region control.
- FY2014 Funds transferred to fund current cash needs in RAMP projects were approximately \$32 million.

Key Benefits

Commission approval of the \$2.5 million Program Management roll forward request will allow work to continue with consultants on the Program and Cash Management initiatives.

Options and Recommendations

- 1.) Approve roll forward request of \$2.5 million for Program and Cash Management consultants - staff recommendation.
- 2.) Request additional information and delay approval for a future month.
- 3.) Deny roll forward request and roll funds into Transportation Commission Contingency Reserve Fund (TCCRF) balance.

Next Steps

During the month of August, the Department will finalize all budget related year-end close items. In addition to completing the FY2014 roll forwards after final TC and Department approvals, the FY2014 revenue reconciliation will be completed by late August. The TC will be provided with updates to the TCCRF, including the impact of these items in September.

As we move forward, the Office of Cash Management will develop procedures to allow the acceleration of the development of highway construction. The Department plans to move as many programs as possible to a 4-year program of projects. The Department will address how this change impacts FY2016 revenue plan development in a separate memo.

Attachments: CDOT FY2014 to FY2015 Year-End Roll Forward Request



**CDOT FY2014 to FY2015 Year-End
Roll Forward Request (Require TC Approval)**

Region	Organization	Project / Program	Justification of Request	Encumbered / Unencumbered	Staff Recommends	\$ Amount Requested
HQ	Project Support	AECOM	The Cash Management, Project Management and RAMP programs are continuing to be developed and updated. As a result, we have several PO's for AECOM that funding is being requested to roll-forward for: PO's are: 4310000495 - \$1,134,480.00, 431000888 - \$178,280.00, 431000945 - \$394,800.00, 431000632 - \$64,449.00, 431000661 - \$107,625.00 PR's: 700003471 - \$629,547.00. Staff Branches is also using a facilitator to assist us with our QIC meetings and we would like to request the funds to roll-forward for PO - 411000771 - \$34,500.00.	E	Y	2,543,681
Total Roll Forward request for TC Approval						2,543,681



COLORADO

Department of Transportation

Division of Accounting and Finance

4201 East Arkansas Avenue, Room 262
Denver, CO 80222

MEMORANDUM

TO: TRANSPORTATION COMMISSION

FROM: SCOTT RICHRATH, CHIEF FINANCIAL OFFICER (CFO)

DATE: AUGUST 20, 2014

SUBJECT: FY2016 BUDGET TOPICS

Purpose

This memorandum summarizes information related to FY2016 budget topics and timing, including:

- FY2016 budget process (Information Only)
 - 4-year program of projects
 - Surface Treatment Asset Management list
 - Revenue forecasts
 - Decision Item process and timeline
 - Capital Development Committee project selection

Action

No formal action required. Staff respectfully seeks informal TC affirmation of criteria used in developing the Capital Development Committee list similar to the informal affirmation of statewide asset management models.

Background & Details

In August, the Transportation Commission (TC) will be asked to adopt Policy Directive (PD) 703.0. The PD reflects the guidelines supporting cash management implementation. The FY2016 budget information and approval requests to the TC will be based on the new policy directive. Major process changes related to the annual budget are the 4-year program of projects, revenue forecasts, Decision Items, Capital Development Committee requests, and roll forward requests. Roll forward changes were previously addressed in the FY2014 to FY2015 budget topic memo.

4-Year Program of Projects

The Department's plan is to move as many programs as possible to a 4-year program of projects, whereby under PD 703.0 project lists with TC-approved statewide prioritization process/model will be provided as FYI only. The plan will be to have staff present:

- Project Selection Process - most commonly done by Division of Transportation Development at the TC Asset Management Committee Meeting;
- Project lists out four years as part of the budget process;
- Performance progress metrics through the Program Management Office (PMO).



The completed FY2016 Surface Treatment Asset Management list is attached as an informational item. Additional Asset Management project lists will be provided in a future month. The project selection process will be discussed during the Asset Committee Meeting scheduled for Thursday, August 21, 2014.

Revenue Forecasts

FY2016 revenue estimates will be provided with a forecast horizon of ten years (FY2016-FY2025). A draft FY2016 budget will be prepared based on estimated revenue for the FY2016 budget. All revenue specific to a program (i.e., MAP-21 and State mandated programs such as safety education and Aeronautics) will automatically be adjusted based on the FY2016 revenue estimate. All other programs will be based on the FY2015 budget amounts as approved by the TC in March, 2014. The annual budget preparation and approval timeline is included in Attachment A.

Decision Items

Each year, the Divisions within the Department can request additional Construction, Maintenance and Operations (TC directed) funding above the current budget allocation through a Decision Item. These requests can be for one year, multiple years, or for all years going forward. Under proposed Policy Directive 703.0, up for adoption on Thursday August 21, the Transportation Commission shall be presented any staff- recommended Decision Items of \$1 million or more. Two signatures (Executive Director, Chief Engineer or Chief Financial Officer) are required to approve Decision Items less than \$1 million. Staff is currently considering two decision items, both less than \$1 million.

The Department has submitted a FY2016 legislatively appropriated (Administrative) Decision Item. The request seeks \$1 million from the Marijuana Cash Fund in FY2015-16 to fund a statewide marijuana-impaired driving public education campaign.

Capital Development Committee Project Selection

Each year all State departments can submit funding requests for capital construction projects that meet the criteria defined in 24-30-1301 C.R.S. Each department works in conjunction with the Governor's Office of State Planning and Budgeting (OSPb) to finalize a list of projects that are eventually submitted to the Capital Development Committee (CDC).

This year staff allowed regions to submit capital construction projects for consideration. Nine projects that met the eligibility requirements were ultimately submitted (See Attachment C). Staff ranked the projects using a defined ranking criterion and plan to submit the top five projects out of the nine ranked projects (See Attachment B).

Key Benefits

As we move forward, the Office of Cash Management will develop procedures to allow the acceleration of the development of highway construction. PD703.0 provides the guidelines supporting cash management implementation. Information has been provided to the TC in this memo regarding how the adoption of PD703.0 impacts FY2016 and beyond budgeting practices.

Options and Recommendations

- 1.) Affirm criteria used to develop the CDC list - Staff Recommendation.
- 2.) Request additional information related to criteria.
- 3.) Request additional information related to specific project(s).



Next Steps

In September, the Department will provide the TC with an updated Transportation Contingency Reserve Fund Reconciliation (TCCRF) summarizing fund requirements to maintain a FY2016 contingency balance of \$50 million. In addition, Decision Items requiring staff (information only to the TC) and/or TC approval will be included in a budget workshop. In future months, as outlined in Appendix A, the Department will provide FY2016 budget information to the TC to meet the Office of State Planning and Budget (OSPB) and statutory requirements.

Attachments

Attachment A - FY2016 Budget Timeline

Attachment B - Capital Development Committee Criteria Definition / Clarification

Attachment C - Capital Development Committee Project List

Attachment D - FY2016 Surface Treatment Asset Management Project List



Appendix A - FY2016 Budget Timeline

August	Preparing TC for Upcoming Budget Deliverables
September	FY2014 Budget and TCCRF Reconciliation - Staff and TC Review
September	FY2016 Revenue Projections - Staff Review
September	FY2016 Decision Items - Staff and TC Review and Approval (See PD 703.0)
October	FY2016 Draft Budget for Review/Direction - Staff and TC Review
On or Before December 15th	FY2016 Budget Submitted to Office of State Planning & Budget (OSPB)
March	TC Adopt FY2016 Budget
On or Before April 15 th	Re-Submit FY2016 to OSPB for Governor's Approval



Appendix B - Capital Development Committee Criteria Definition / Clarification

#	Criteria	Criteria definition/clarification
1	Criticality: level of risk	Does the project address problems that pose risks related to the project area, failure/delay of services, agency programs, and/or state-wide?
2	Criticality: level of urgency	Does the project address problems that need urgent attention, fix failure of services, and upgrade 'below acceptable' rated Assets?
3	Benefits: Improves Safety	Does the project improves overall safety and minimizes hazard to CDOT staff, local agency, local residents, and/or the public? Does it contribute in reducing fatality, serious injury, and/or property damages?
4	Benefits: Increases Mobility	Does the project reduce delay, improve reliability, provide travel/weather/road condition information, and create a detour option?
5	Benefits: Extends Asset Life	Does the project extend the life of an Asset, reduce operating and maintenance cost, improve the quality or/reliability of an Asset, and upgrade the components of an Asset?
6	Benefits: Enhances CMAQ	Does the project reduce Air, water, and noise pollution, improve Bike/Pedestrian access, restore natural habitat/vegetation, and protect wildlife?
7	Beneficial to CDOT/Local agency staff	Does the project improve workplace safety; provide professional development opportunities, increase efficiency and productivity of CDOT/Local agency staff?
8	Beneficial to City/County residents or the Public	Does the project improve safety of residents, increase access to opportunities, and enhance livability of the area to local, city, county, and/state residents?
9	Support CDOT/local agency/State goals	Does the project support CDOT/local agency/State goals, and relate with strategic focus areas?
10	Aligns with CDOT/Local agency/State policies, plans and standards?	Does the project align with CDOT/Local agency/State policy directives, rank in the list of priorities of statewide/long range plans, and help to meet standards/specifications?

Note: Capital Construction requests require a large and temporary outlay of funds for the acquisition, construction, renovation, and maintenance of capital assets. Projects eligible for capital construction funding include: Acquisition of a capital asset Construction, demolition, remodeling, or renovation of real property necessitated by changes in the program Site improvements or development Installation of fixed or moveable equipment necessary of the operation of new, remodeled, or renovated real property Contracting for services from architects, engineers, and other consultants to prepare plans, program documents, life-cycle cost studies, and other studies associated with capital construction and to supervise construction or execution of such capital construction.



Appendix C - Capital Development Committee Project List

Criteria Score	Rank	Project Name	Region	Project Type	Requested Funds
29	1	I-70 Genesee Bike Path Project	1	Multi-use pathway	\$556,000
29	2	Dry Creek Wildlife Mitigation Underpass	5	Game crossings	2,497,960
29	3	Mineral Palace Park Pedestrian Bridge	2	Multi-use pathways	4,900,000
28	4	Automated avalanche reduction project Loveland Pass, I-70, Vail Pass Narrows	HQ	Other capital assets/Scientific equipment	2,700,000
28	5	US85 Park & Rides- Fort Lupton & Evans (Supplemental Funding)	4	Park-n-Rides/transit shelters	700,000
Total of Top 5 Recommended Projects					\$11,353,960
26	6	I-70 Wildlife Overpass	3	Game crossings	1,000,000
24	7	Region 5- Mountain Pass Critical Safety Needs	5	Luminaires/Road closure gates/Other capital assets	2,825,000
22	8	Maintenance Decision Support System (MDSS) expansion	HQ	Other capital assets/Scientific equipment	3,100,000
21	9	Automatic Vehicle Location / Mobile Data Collection (AVL/MDC)	HQ	Other capital assets/Scientific equipment	3,100,000



Draft Statewide Surface Treatment Projects for FY2016

Interstate											
FY	Region	Highway	BMP	EMP	Description	Estimate	Anticipated Pavement Treatment	Treatment Category	Pavement Traffic Category	Mtc and/or Preservation (Yes/No)	Pavement Management Match (Yes/No)
2016	2	025A	32.5	39.0	APISHIPA NORTH	\$11,230,000	4" MILL AND 4" FILL (TOP 2" SMA OVERLAY)	Major Rehab	Interstate	No	Yes
2016	1	025A	200.0	200.0	I-25 @ I-225	\$500,000	To perform subgrade and concrete panel repairs	Prev Mtc	Interstate	Yes	No
2016	3	070A	118.6	125.8	I-70 Glenwood Canyon Phase 6	\$5,900,000	Thin Concrete on Structures	Minor Rehab	Interstate	No	Yes
2016	1	070A	215.5	217.6	I-70 WB, EMJT East	\$3,000,000	Mill and Overlay	Minor Rehab	Interstate	No	Yes
2016	1	076A	11.9	12.4	I-76, 96th to US-85	\$6,500,000	Supplement to I-76 Super Curve FSA Recon Project (#19085)	Reconstruction	Interstate	No	N/A*
2016	4	076A	101.5	115.0	I-76 Hillrose to Atwood (Rubberband)	\$10,000,000	Minor Overlay	Minor Rehab	Interstate	No	No

High Volume											
FY	Region	Highway	BMP	EMP	Description	Estimate	Anticipated Pavement Treatment	Treatment Category	Pavement Traffic Category	Mtc and/or Preservation (Yes/No)	Pavement Management Match (Yes/No)
2016	3	006E	142.0	150.0	US 6 Gypsum to Eagle Roundabout	\$5,500,000	1" Mill with 2" HMA Overlay	Minor Rehab	High Volume	No	Yes
2016	1	006G	257.1	260.2	US-6, I-70 to SH-119	\$2,500,000	Mill and Overlay	Minor Rehab	High Volume	No	Yes
2016	4	007A	0.0	9.8	Estes Park South(Rubberband)	\$7,633,000	Major rehabilitation	Major Rehab	High Volume	No	Yes
2016	2	016A / 021A	1.3 / 131.8	3.1 / 134.6	MESA RIDGE PKWY NORTH TO SH 21 & END OF SH 16 TO BRADLEY ROAD	\$5,730,000	2.5" MILL & 2.5" MODIFIED HMA OVERLAY & FDR & 4" HMA OVERLAY	Major Rehab	High Volume	No	Yes
2016	5	024A	209.8	212.9	US 24 Buena Vista (with RAMP Partnership project)	\$8,250,000	HMA 2"-3" Mill & Fill	Minor Rehab	High Volume	No	Yes
2016	2	024E	0.0 / 1.5	0.8 / 2.5	MANITOU SPRINGS WEST END & DEER PATH RD EAST TO JCT US 24	\$1,300,000	2.0" MILL & 2.0" MODIFIED HMA OVERLAY & 4" MILL & 2" MODIFIED HMA OVERLAY	Minor Rehab	High Volume	No	Yes
2016	1	040A	243.0	244.5	US-40, Berthoud Pass East	\$1,500,000	Project Combined with R3 project on West side of Berthoud Pass	Minor Rehab	High Volume	No	No
2016	1	040B	269.1	272.5	US-40, US-6 to Beaver Brook	\$2,000,000	Mill and Overlay, Consider Thin Surface Treatment	Minor Rehab	High & Low Volumes	No	Yes
2016	1	040C	288.0	291.4	Colfax, I-70 to Kipling	\$3,000,000	Mill and Overlay, Curb Ramps, Preventive Maintenance	Minor Rehab	High Volume	Rehab & Mtc	Yes
2016	2	047A / 096A	4.0 / 55.4	4.6 / 58.8	EAST END OF PCCP TO JCT US 50B & ARKANSAS RIVER TO US 50B THROUGH PUEBLO	\$4,280,000	3" MILL & 3" MODIFIED HMA OVERLAY	Minor Rehab	High Volume	No	No
2016	3	050A	32.0	36.3	US 50 Orchard Mesa	\$5,600,000	2" HMA Mill & Fill	Minor Rehab	High Volume	No	Yes
2016	3	050A	144.0	156.0	US 50 West of Gunnison	\$9,800,000	3" HMA Overlay	Minor Rehab	High Volume	No	Yes
2016	2	050A	309.4	312.8	EB ONLY PURCELL BLVD TO WILLS BLVD	\$1,590,000	2" MILL & 2" MODIFIED HMA OVERLAY	Minor Rehab	High Volume	No	Yes
2016	4	056B	4.6	9.4	Berthoud East	\$4,500,000	Minor and Major Rehabilitation on differing sections	Minor Rehab	High Volume	No	Yes
2016	1	072A	10.6	14.0	SH-72, SH-93 to Coal Creek Canyon	\$1,500,000	Will supplement permanent flood recovery repairs	Minor Rehab	High Volume	No	Yes
2016	4	085C	236.0	242.7	Brighton to Fort Lupton Northbound	\$8,160,000	Major Rehabilitation	Major Rehab	High Volume	No	Yes
2016	1	095A	0.0	2.9	Sheridan, Hampden to Arizona	\$3,500,000	Mill and Overlay, Curb Ramps	Minor Rehab	High Volume	No	Yes
2016	1	121A	12.7	13.1	Wadsworth, Highland to 10th	\$2,500,000	Supplement Wadsworth/US-6 Interchange and Widening Project (#19868)	Reconstruction	High Volume	No	N/A*
2016	1	128A	5.4	8.0	SH-128, Eldorado to Wadsworth	\$3,500,000	Mill and Overlay, Curb Ramps	Minor Rehab	High Volume	No	Yes
2016	5	160A	103.0	108.0	US 160 Bayfield to Yellow Jacket PH2	\$3,500,000	HMA leveling and 2.5" Overlay	Minor Rehab	High Volume	No	Yes
2016	5	160A	233.0	240.0	Alamosa East Chipseal Ph1	\$579,000	Chip Seals	Prev Mtc	High Volume	Yes	Yes
Potential	4	392B	115.4	Rubberband	Potential Project: East of Lucerne if Estes is done Under Flood Money	\$7,633,000	Major rehabilitation	Major Rehab	High Volume	No	Yes
2016	4	119B	50.8	54.4	Boulder East	\$6,817,000	Major rehabilitation	Major Rehab	High Volume	No	Yes
2016	1	177A	2.1	6.1	University, Arapahoe to Hampden	\$5,000,000	Mill and Overlay, Curb Ramps	Minor Rehab	High Volume	No	Yes
2016	2	287A	76.1	77.0	CEDAR ST SOUTH IN LAMAR	\$4,550,000	8.5" CONCRETE RECONSTRUCTION	Reconstruction	High Volume	No	No
2016	2	287A / 287B	TBD	TBD	US 287 Concrete PM Project - MP 0 to MP 127 as budget allows.	\$2,350,000	Concrete Rehab - Slab replacement, cross stitching, etc.	Prev Mtc	High Volume	Yes	Yes
2016	1	287C	291.2	295.0	Federal, 92nd to 120th	\$6,000,000	Mill and Overlay, Curb Ramps	Minor Rehab	High Volume	No	Yes
2016	1	391A	2.1	5.3	Kipling, Jewell to 6th	\$4,000,000	Mill and Overlay, Curb Ramps; May request swap to FY15	Minor Rehab	High Volume	No	Yes
2016	4	392B	105.4	115.4	Windsor to Lucerne (257A/392B)	\$8,835,000	Major Rehabilitation	Major Rehab	High Volume	No	Yes
2016	5	491B	26.4	29.0	US 491 North of Cortez w/ Lebanon Rd	\$7,500,000	Concrete and asphalt mill & fill (Reconstruction and Minor Rehab)	Reconstruction	High Volume	No	Yes

Medium Volume											
FY	Region	Highway	BMP	EMP	Description	Estimate	Anticipated Pavement Treatment	Treatment Category	Pavement Traffic Category	Mtc and/or Preservation (Yes/No)	Pavement Management Match (Yes/No)
2016	3	013B	98.0	104.0	SH 13 North of Craig	\$7,500,000	Major Rehabilitation	Major Rehab	Medium Volume	No	No
2016	5	017B	81.0	89.0	SH 17 Hooper	\$6,000,000	Asphalt Hot-in-Place Recycle and overlay	Minor Rehab	Medium Volume	No	Yes
2016	2	024A / 285D	225.6 / 161.8	234.0 / 162.0	CHAFFEE / PARK CL (TROUT CR PASS) EAST & ANTERO JCT NORTH	\$2,720,000	1.5" MILL & 1.5" OVERLAY & 2.5" MILL & 2.5" HMA OVERLAY	Minor Rehab	Medium & Low Volume	No	Yes
2016	1	036D	94.8	100.8	US-36, Strasburg to Byers	\$2,000,000	Mill and Thin Surface Treatment	Prev Mtc	Medium Volume	Yes	Yes
2016	4	036D	215.0	224.7	Kansas State Line West Chips	\$2,100,000	Chips (PM)	Prev Mtc	Medium Volume	Yes	Yes

Draft Statewide Surface Treatment Projects for FY2016

2016	3	040A	146.5	155.0	US 40 Rabbit Ears West	\$7,200,000	2" HIP with 2" HMA Overlay	Minor Rehab	Medium Volume	No	Yes
2016	5	062A	5.0	13.0	SH 62 Chipseal PH2	\$1,150,000	Chip Seals	Prev Mtc	Medium Volume	Yes	Yes
2016	2	071C	18.9	27.0	ARKANSAS RIVER NORTH	\$4,490,000	1" MILL & 2.5" OVERLAY	Minor Rehab	Medium Volume	No	Yes

Low Volume

FY	Region	Highway	BMP	EMP	Description	Estimate	Anticipated Pavement Treatment	Treatment Category	Pavement Traffic Category	Mtc and/or Preservation (Yes/No)	Pavement Management Match (Yes/No)
2016	3	090B / 050A Frntg / 348A	81.0 / 81.0 / 0.0	87.0 / 92.0 / 17.0	Various Chip Seals 2016-Montrose Residency	\$2,300,000	Chip Seals	Chip Seal	Low Volume	Yes	Yes
2016	2	094A	17.2	35.01	ELLCOTT EAST TO EL PASO / LINCOLN CL	\$5,390,000	1.5" MILL & 1.5" OVERLAY	Ultra Thin	Low volume	Yes	Yes

Important Conditions for Delivery of the Multi-Year STP Projects:

1. Annual STP statewide "Match Status" will vary. Three-year running average will continue to be the reporting benchmark.
2. Overall regional and statewide expenditure will be tracked against regional and statewide established planning budget totals.
3. As project details focus over time, planned project funding may be modified or redirected among Regional projects to optimize expenditures and construct the complete scope of STP work planned within each Region.
4. As project details focus over time, funding may be redirected, if approved, between the Regions to optimize statewide expenditures and construct the complete scope of STP work planned statewide.
5. As needed to address typical project delivery constraints, Regions may move listed projects between planning years while maintaining planning total amounts over time.
6. Projects on the STP Planning lists that are constructed using non-SUR funds may be replaced on the list with new projects as long as the established STP and PMS criteria remain satisfied.
7. Exact beginning and ending milepoints may change to ensure logical construction limits.

Pavement Traffic Categories:

Interstate: Any Interstate facility regardless of traffic volume

High Volume: Average Annual Daily Traffic > 4,000 or Average Annual Daily Truck Traffic > 1,000

Moderate Volume: Average Annual Daily Traffic 2,000 - 4,000 and/or Average Annual Daily Truck Traffic 100 - 1,000

Low Volume: Average Annual Daily Traffic < 2,000 and Average Annual Daily Truck Traffic < 100

Budget Requirements

FY16 STP dollars must be spent by December 31, 2016.

Pavement Management Match:

Policy Memo #10 is in effect



COLORADO Transportation Commission

4201 East Arkansas Avenue, Room270
Denver, CO 80222-3406

DATE: August 20, 2014
TO: Transportation Commission
FROM: Joshua Laipply P.E., Chief Engineer
SUBJECT: Mitigation to improve bidding environment

Purpose

This memo is intended to inform the Transportation Commission of the actions and mitigation strategies that staff has identified to reduce the number of construction project bid rejections.

Action

Informational Item

Background

At the June Transportation Commission, Scott McDaniel presented information related to the increased trend of bid rejections on CDOT's construction projects. A bid rejection is when there are fewer than three (3) bidders and the low bid is more than 10% over the Engineer's Estimate (EE) on projects larger than \$1,000,000, or more than 25% on project's less than \$1,000,000. The Transportation Commission directed staff to develop a plan to best ensure we are able to deliver the program at a justifiable cost, and to identify mitigation measures to reduce unfavorable bids.

Related to project bidding, our contractor partners have also identified a number of key elements that are limiting their ability to meet our needs:

- DBE availability
- Constructability/ Project schedules
- Contractor workforce shortage
- Competing project scope for Prime contractors
- Bid cycle and timing of project advertisements

Details

CDOT has a number of processes in place to ensure that contractor bids are fair and reasonable, two of those processes are also intended to account for current market conditions :

Cost Justification Letters - Engineering Estimates and Market Analysis prepares a Cost Justification analysis for projects when there are at least 3 bidders and the low bid is more than 15% over or more than 20% below the Engineer's Estimate. If the analysis proves that the project bid can be justified, the Cost Justification is then sent to the Chief Engineer for final approval. In calendar year 2014 to date, we have had 28 cost justifications and bid rejections compared to a total of 24 for the entirety of 2013.

Bid Review Meetings - In addition to the above, Bid Review meetings are held on a quarterly basis with participation from CDOT staff, FHWA, and the Attorney General's Office. Contractor bidding patterns are reviewed and evaluated for further action, where appropriate. Since June we have also been conducting monthly internal Bid Review meetings with the Chief Engineer to keep pace with the rapidly changing construction market.



Immediate Action

- Return to the normal bidding cycle by advertising the majority of our project from October through March instead of January through July as we did this year. This will allow us to better take advantage of market conditions and advertise while our contractors workload is still uncertain.
- Assess project scope for work type that is conducive for Prime Contractors
- Increase transparency of what a Good Faith Effort (GFE) means to contractors
- Increase contractor access to Region Civil Rights Managers

90 Day Actions

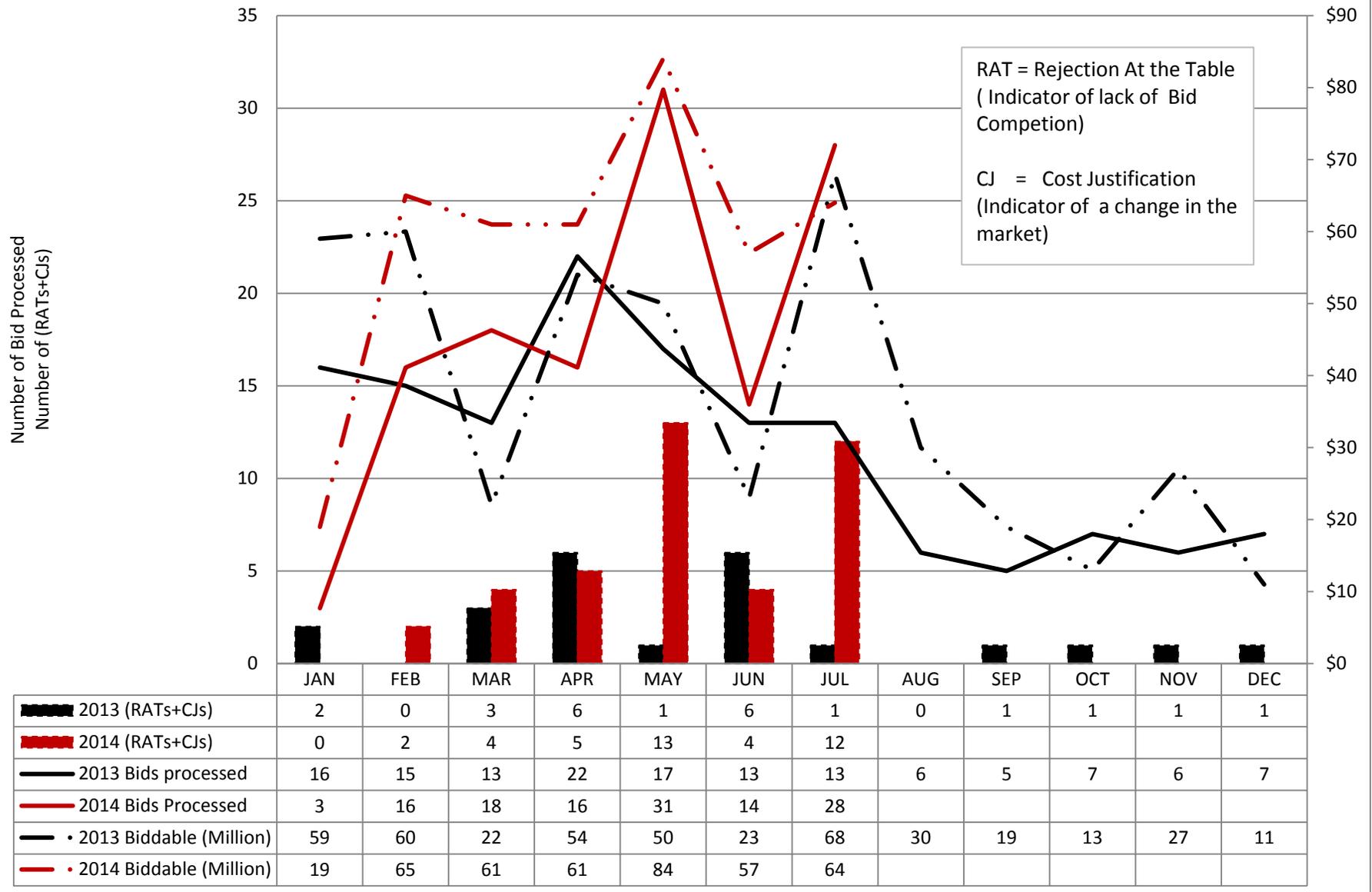
- Create a 4 year program of projects to enhance contractor confidence to grow their business
- Consider more constructability reviews for complex projects to gain contractor feedback
- Adjust duration of projects to be user impact driven instead of a fixed completion (More A+B bids, lane rental specifications and fewer working day projects)
- Increase project size to attract more contractor interest

Attachments

Bid history for calendar year 2013 and calendar year 2014 to date.



Monthly Bids Processed, (RATs+CJs), and Biddable Amount for CY 2013 and 2014YTD





COLORADO
Department of Transportation
Division of Transportation Development

Multimodal Planning Branch
4201 E. Arkansas Ave., Room 262
Denver, CO 80222-3400

DATE: August 21, 2014
TO: Transportation Commission
FROM: Debra Perkins-Smith, Director, Division of Transportation Development (DTD)
Mark Imhoff, Director, Division of Transit & Rail (DTR)
SUBJECT: Project Selection and Senate Bill (SB) 09-228

Purpose

To obtain input on the process for identifying and selecting projects to be funded with anticipated SB 09-228 funds.

Action

Discussion and input on project selection for SB 09-228 funds.

Background

Henry Sobanet of the Office of State Planning and Budgeting (OSPB) provided the TC with an update on SB 09-228 at the July TC meeting. Recent forecasts suggest that, beginning in FY 2016, CDOT may receive annual General Fund transfers under SB 09-228 in the amount of approximately \$200 M per year for five years. SB 09-228 provides funds for "the implementation of the strategic transportation project investment program." The strategic project investment program is currently defined by the TC as the 28 strategic corridors, also known as "7th Pot". As shown in Attachment A, six of these corridors have not been completed. Strategic projects also include strategic transit projects. Ten percent (10%) of SB 09-228 revenues to CDOT must be expended for transit purposes or for transit-related capital improvements.

Details

Staff has identified several questions relating to the selection of projects for SB 09-228 for which your input is requested. These include:

I-70 Viaduct

Previous TC discussions on the I-70 Viaduct have assumed SB 09-228 funding of approximately \$275 M. *Is the I-70 Viaduct at this level of funding the first priority?*

Definition of Strategic Projects

Strategic projects are currently defined by the TC as the "7th Pot" Strategic Corridors plus strategic transit. The remaining six corridors were originally identified nearly twenty years ago and may not reflect the current priorities. In addition it should be noted that due to potential TABOR limitations, projects identified should take into consideration the potential fluctuation in funding. Therefore, the Commission may want staff to take a fresh look at identifying projects that best represent current priorities and are the strongest candidates for funding under SB 09-228. Based on this assumption, a process for project identification is presented below.



Project Selection

The process outlined in Attachment B could be used to identify the best potential projects and evaluate those projects for possible funding under SB 09-228. Under this approach the Regions would be asked to identify candidate projects. Project identification by the Regions could be supported by the use of GIS data to compare projects within each Region. Those candidate projects identified by the Regions could then be evaluated based on criteria related to TC goals (similar to the RAMP process). Examples of potential criteria include mobility, economic benefits, infrastructure condition, safety, multimodal elements, geographic equity, and project readiness. Since there are other programs/funding sources that address infrastructure condition and safety, an approach that emphasizes mobility and economic benefit may be appropriate. The results of evaluation could be used to support final project selection by the TC. *Does this represent a reasonable approach to project identification, evaluation, and selection?*

Transit Projects

As noted, 10% of SB 09-228 revenues must be expended for transit purposes. Senate Bill 1 "Strategic Transit Projects" are largely completed using those funds, FASTER transit funds, and other sources. Past projects from the "Strategic Transit Program" list, from FTA requests, and from FASTER Transit requests have included projects at different geographic scales (local, regional, interregional, and statewide), of different types (demand-response bus, fixed-route bus, rail studies, and highway enhancements), for different purposes (capital, operating, and administrative/technical assistance), and requiring different levels of partnerships (local matching dollar shares and various performance criteria/requirements). *What types of transit projects should be considered and what process should be followed with respect to project selection?*

Other Issues

Are there any other issues that should be considered in identifying potential projects?

Next Steps

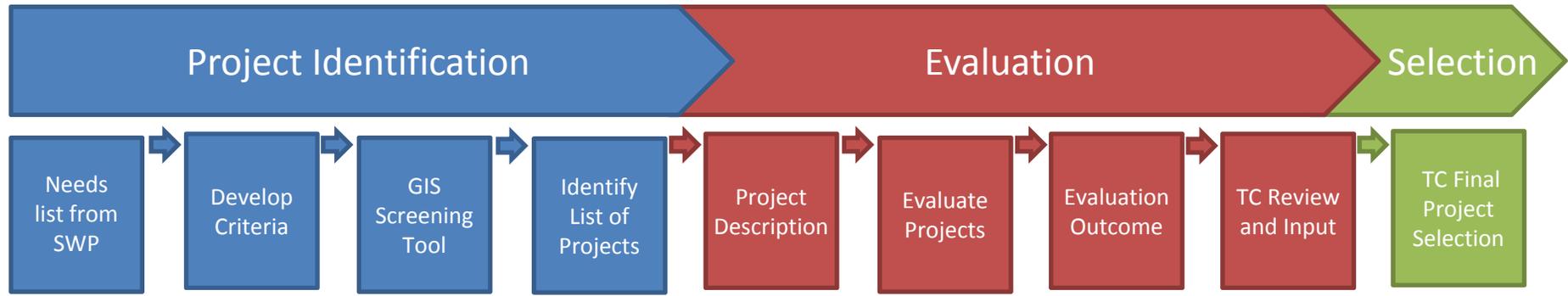
Based on input from the TC, staff will return for a workshop to identify SB 09-228 projects.

Attachments

Attachment A - Status of 28 Strategic Corridors as of June 30, 2014

Attachment B - SB09-228 Project Selection Framework





- 7th Pot List
- A & B List
- Region Input
- TPR Plans
- Hot Spots identified from data

- Develop criteria related to TC goals (Mobility, Safety, Economic Benefit, Project Readiness, Multi-modal Enhancement, etc.)

- Regions use data to identify projects

- Greatest Need Projects from Regions

- Refine projects/ detailed project descriptions

- Evaluate individual projects based on criteria

- Projects by Tiers

- Review of evaluation outcomes

- TC Identification of projects to be funded with estimated SB 09-228 revenues

**Transportation Commission of Colorado
Safety Committee Meeting Agenda
August 20, 2014 @ 3:50 P.M.
4201 East Arkansas Avenue; Auditorium
Denver, Colorado**

**Darrell Lingk
Director,
Office of Transportation Safety**

**Herman Stockinger
Secretary**

**Kathy Connell, Chair
District 6, Steamboat Springs**

**Steve Hofmeister
District 11, Haxtun**

**Heather Barry
District 4, Westminster**

**Sidny Zink,
District 8, Durango**

THE AGENDA MAY BE ALTERED AT THE CHAIRMAN'S DISCRETION

- 1. Call to Order and Roll Call**
- 2. Discuss & Act on Safety Committee Minutes of May 14, 2014 pS&**
- 3. CDOT Employee Safety Update/Risk Management Report –
10 minutes..... pS***
- 4. Public Outreach – Emily Wilfong – 10 minutes..... p%6**
- 5. Rock Fall Program – 10 minutes..... p%4**
- 7. Adjournment**

TRANSPORTATION COMMISSION OF COLORADO
SAFETY COMMITTEE MEETING MINUTES
May 14th, 2014

Chairperson Kathy Connell called the meeting to order at 4:00 p.m. on Wednesday May 14th, 2014 in the auditorium of the headquarters building at 4201 East Arkansas Avenue, Denver, Colorado.

PRESENT WERE: Commissioner Shannon Gifford, District 1
Commissioner Heather Barry, District 4
Commissioner Kathy Connell, District 6
Commissioner Kathy Gilliland, District 5
Commissioner Sidny Zink, District 8
Commissioner William Thiebaut, District 10
Commissioner Steven Hofmeister, District 11

ALSO PRESENT: Darrell Lingk, Director of OTS
Herman Stockinger, Director, Government Relations
Heidi Humphreys, Director, Admin. & Human Resources
Scot Cuthbertson, Deputy Executive Director, CDOT
Debra Perkins-Smith, Director, Transportation Development
Scott McDaniel, Director, Staff Branches
Ty Ortiz, Rock fall Program Manager
Tony DeVito, Regional Transportation Director, Region 1
Tom Wrona, Regional Transportation Director, Region 2
David Eller, Regional Transportation Director, Region 3
Johnny Olson, Regional Transportation Director, Region 4
AND: Other staff members

One audiotape and supporting documentation is filed in the Transportation Commission office.

May 14th, 2014 Transportation Commission of Colorado Safety Committee Meeting Minutes

Commissioner Connell asked if there were any comments on the January committee meeting minutes. There were none and the minutes were approved.

CDOT Employee Safety Update

Office of Transportation Safety Director Darrell Lingk gave a 5 minute presentation on Risk Management and the Excellence in Safety Program.

Darrell went over results of the Excellence in Safety Program which has been in place for 1 year now, launched on May 1st, 2013.

Darrell presented Risk Management data (Dashboard Reports) which show a 16% drop in Worker's Compensation Claims (about 50 employees) and a 28% drop in Lost Time Claims (serious injuries where the employee is out for 3 or more days) since the implementation of the EIS program; proving that with a year's worth of data at this point, the program is getting positive results.

Darrell mentions that a future topic of interest for Safety and Risk Management will be in regard to auto incidents. Current data analysis indicates that the number of occurrences where a CDOT employee collides with someone else is on the rise over the last 3-4 months; however, there has been a dramatic increase in the number of occurrences where members of the general public are colliding with CDOT vehicles.

Commissioner Connell asked Darrell what this positive drop in claims equates to in cost savings for CDOT if any. Darrell will bring cost information to the next meeting of the committee.

Commissioner Gilliland asks how we are measuring and attributing this claim drop directly to the Excellence in Safety Program. Darrell explained how we have changed CDOT's "Safety Culture" through the implementation of the Safety Engagement process and the Safety Champion Employee Recognition Program.

Public Relations for Office of Transportation Safety

Public Relations representative Emily Wilfong gave a 10 minute presentation on CDOT's ongoing public awareness campaigns on marijuana impaired driving, distracted driving, and seatbelt use (Click it or Ticket).

Emily presented slides in reference to each target area:

Marijuana (Drive High Get a DUI Campaign)

- A series of humor based Drive High Get a DUI PSA's were successfully launched and have gone totally viral on You Tube.
- Drive High Get a DUI Posters are going up at places like the Cannabis Cup and in dispensaries.
- CDOT representatives went down to the Cannabis Cup and gave out snacks and info-card hand outs (scrip pads).
- Dispensaries are on board; some are stapling the scrip pad info-cards on Drive High Get a DUI right to the product packaging.
- The CDOT PR office continues to look for new and innovative ways to engage the public on Marijuana Impaired Driving Rules.

Distracted Driving

- April was distracted driving awareness month.

- Red Thumb Reminder Campaign rolled out. CDOT sent red nail polish to local media asking them to promote. Was well received – slide from Channel 13 news was shown.
- CDOT created a unique partnership with Denver Band Rachel and the Kings around their song “Slow Mo” and put together a Facebook video contest geared to local High School students. 12 entries were received, CDOT selected the top 3 finalists and then open voting was held on Facebook. 200 votes were received and the ultimate winner chosen was from Mountain Vista High School.

Seatbelt Use (Click it or Ticket)

- CDOT running the “people who want you dead campaign” spots on the radio. (Coffin makers, the guy who wants to date your girlfriend etc.)
- Table tents going up in bars, of which many are in the rural communities. We are looking for more unique ways to target rural communities such as coupon books.
- It is tough to engage the media on Seatbelt awareness as it is not a topic of public interest usually. CDOT PR was happy to be featured in a front page story in the 04/12/14 Denver Post on rural driver’s being targeted.
- The Pueblo area is being hyper-targeted for seat belt use.

Multiple commissioner comments are raised about the “Table 6” Seat Belt use data supplied in the TC packet. It is noted that many counties are missing from the list, many of which encompass SW Colorado. Emily offered to look further into the data.

Commissioner Gilliland asks if we are doing anything from a PR standpoint in Northern parts of Colorado. Emily explains we have a current pedestrian safety campaign, working alongside grassroots organizations in areas like Boulder.

Commissioner Hofmeister asks why State Patrol isn’t funding this type of Click it or Ticket messaging. Darrell explains how Federal NHTSA funding drives most of this and briefly how it works in conjunction with the State. Emily notes that the allocation of funding in conjunction with the best ways to make these types of campaigns happen is an ongoing challenge that we face.

CDOT Rock Fall Report

Bob Group was introduced by Rock Fall Program Manager Ty Ortiz and gave a 10 minute Rockfall Program Update.

Slides were presented outlining the following:

- 3 main focus areas are Risk Reduction, Maintenance, and Emergency Response.
- Status of FY 14 projects.

- Several Incidents are shown as examples of what we are trying to avoid from a Risk Reduction standpoint. (Paonia Reservoir, Clear Creek Canyon, SH3 Durango, and SH145 Telluride)
- Several maintenance project needs are pointed out in regard to a mitigation standpoint. (Rock wall fences, crib walls, and installation of chain link on concrete barriers to increase capacity.)
- Emergency Response stats are given through 3rd quarter FY14. R4 had 23 locations whereas other Regions came in at 9, 7, 10, and 6.
- Slides are shown of recent Rockfall incidents; one at Grand Mesa over I-70 by Grand Junction and one outside of Minturn on Hwy 24. Rockfall came from 1100' above highway, also revealing that the feature adjacent to the area will need mitigation.

Commissioner Connell asks what the main reason is that the Rockfall program is over budget. Ty and Bob point out the remoteness of some of these locations as well as other factors.

Other Matters and Adjournment

And there being no further matters to discuss, Chairperson Connell adjourned the meeting at 4:30 p.m. on Wednesday, May 14th, 2014.

Herman Stockinger, Secretary
Transportation Commission of Colorado

STATE OF COLORADO

DEPARTMENT OF TRANSPORTATION



DATE: August 4, 2014

TO: Transportation Commission

FROM: Darrell S. Lingk, Director, Office of Transportation Safety & Risk Management

SUBJECT: Safety Committee Meeting

Purpose

The primary topics for discussion this month will include an update on our Worker's Compensation loss history and a response to a question that was raised during our last meeting regarding cost savings. Additionally, we will have a brief presentation on our Highway Safety education outreach programs and an update on our Rock fall mitigation efforts.

Action Requested

There are no Decision Items or Actions required from this meeting. All of the content is for information and discussion purposes only.

Details

Over the last three fiscal years we have seen a steady decline in our loss history as it pertains to the filing of Worker's Compensation claims. Much of this improvement can be attributed to the implementation of CDOT's "Excellence in Safety" process back in FY 2012. Some of the success we have realized also comes from cost savings primarily from the implementation of our "Modified Duty" program starting in FY 2010.

Since FY 2011, we have seen an average decline in Worker's Compensation claims of approximately 4% per year which equates to a total reduction of approximately 12% from FY 2011 to the end of FY 2014. Since FY 2011, we have also seen an average yearly savings of 4% in Worker's Compensation costs with a total average cost savings of approximately \$300 per claim from FY 2011 to FY 2014. Also included in the packet is a chart that compares traffic fatalities and serious injury crashes in FY 2014 to the previous three fiscal years.

CDOT implements a variety of marketing and communications tactics to educate the public on traffic safety issues, including grassroots community outreach, earned media and paid advertising. These efforts are targeted to specific, at-risk audiences in ways that are relevant to them. A representative from CDOT's Office of Communications will provide a brief update on our current efforts, including impaired driving, seat belts, motorcycle safety training and pedestrian safety.

Ty Ortiz will also deliver a five minute presentation on Rock Fall mitigation efforts to date.

Attachments

Worker's Compensation Historical Comparison Chart

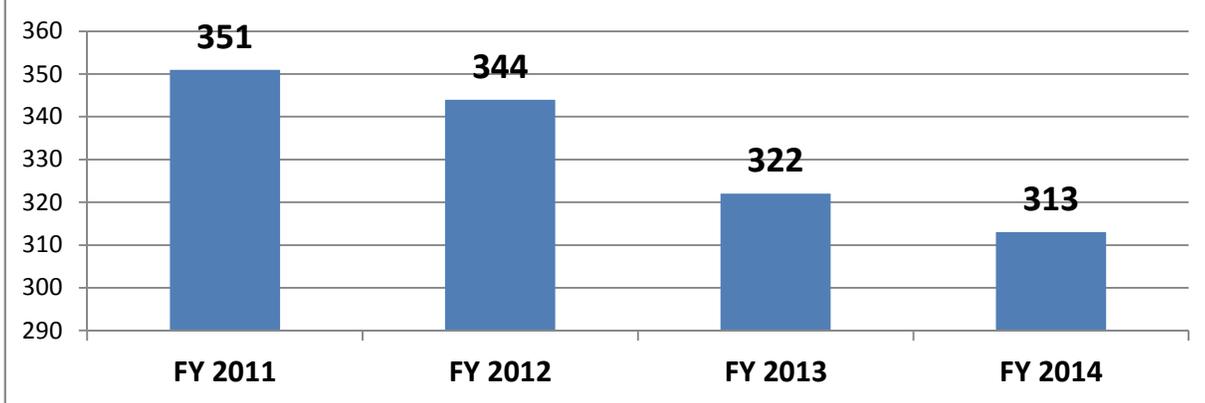
Worker's Compensation Wage Incurred Comparison Chart

Traffic Safety Statistics on Fatalities and Serious Injuries

Office of Communication PowerPoint Presentation

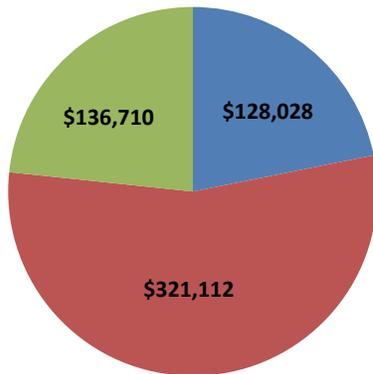
Rock Fall Mitigation PowerPoint Presentation

Workers' Compensation Claims



**Total Incurred
Average Savings
Calculated average Saving per
Fiscal year due to decrease in
claims**

■ 2012 ■ 2013 ■ 2014



FY 2012

Average cost per claim \$21,338
Decrease by 6 claims
Total Average saving \$128,028

FY 2013

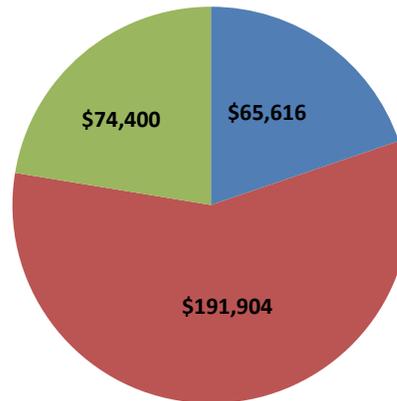
Average cost per claim \$14,596
Decrease by 22 claims
Total Average saving \$321,112

FY 2014

Average cost per claim \$15,190
Decrease by 9 claims
Total Average saving \$136,710
All claims valued at \$600,000 or more have been removed from the data to prevent an anomaly

**Medical Costs
Projected Savings
With Inflation due to decrease in
Claims from year to year**

■ 2012 ■ 2013 ■ 2014



FY 2011 to FY2012

Average cost per claim \$9038
Decrease by 6 Claims
Total Average saving with medical inflation \$65,616

FY 2012 to FY2013

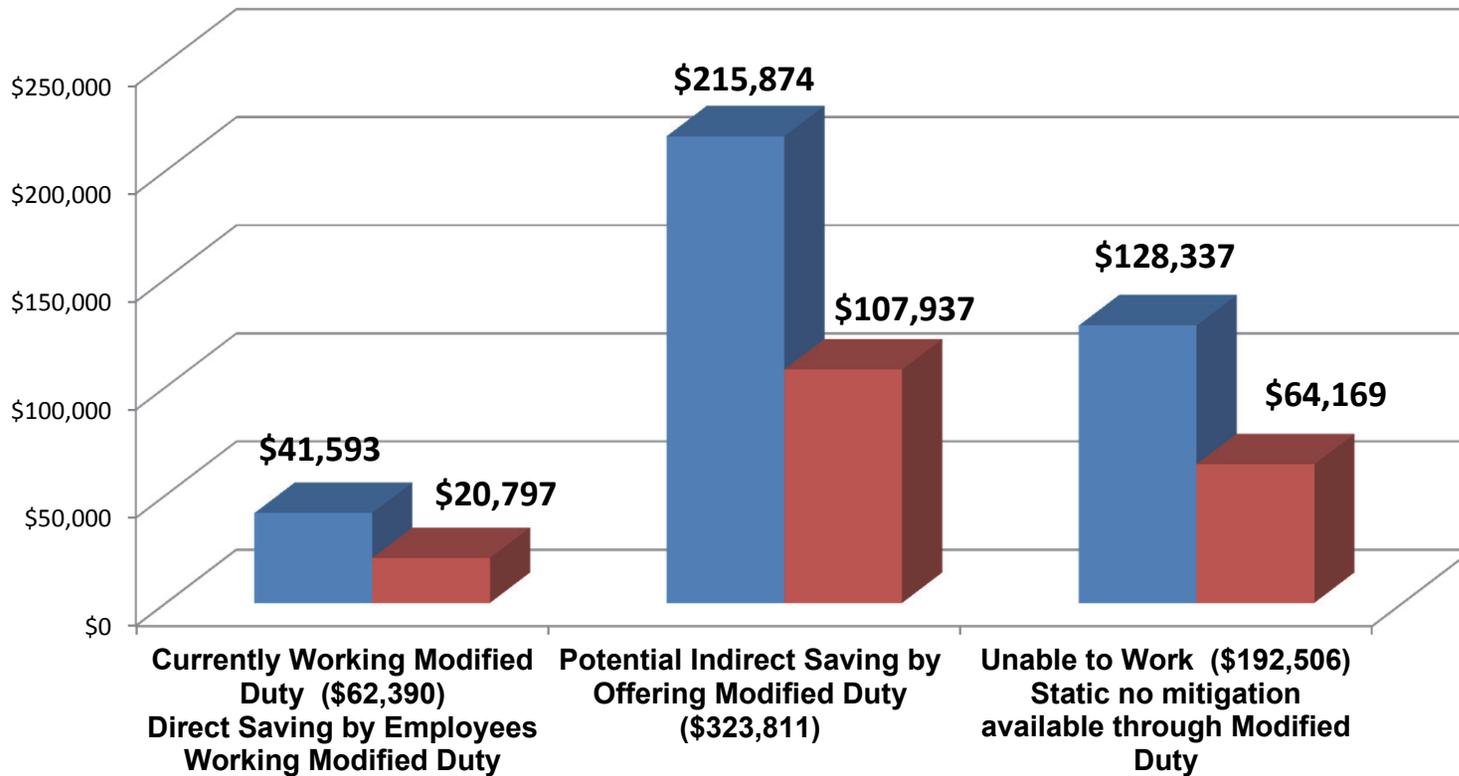
Average cost per claim \$7209
Decrease by 22 Claims
Total Average saving with medical inflation \$191,904

FY 2013 to FY2014

Average cost per claim \$6832
Decrease by 9 Claims
Total Average saving with medical inflation \$74,400
21% yearly medical inflation cost has been applied

CDOT Workers' Compensation Wages Incurred to Date Based on Employees Ability to Work Claims Currently Open as of August 4, 2014

■ Indemnity from Insurance Pool (Broadspire) ■ Injury, Sick, Annual Leave Personnel Service Budget (CDOT)



The information contained in this document is confidential and proprietary.

Data captured on August 4, 2014. Total indemnity paid is based on number of lost days multiplied by the adjusted Average Weekly Wage daily rate. During injury leave or make whole the indemnity paid is 2/3 from the state's carrier and approximately 1/3 from the personnel services budget using sick/annual/injury.



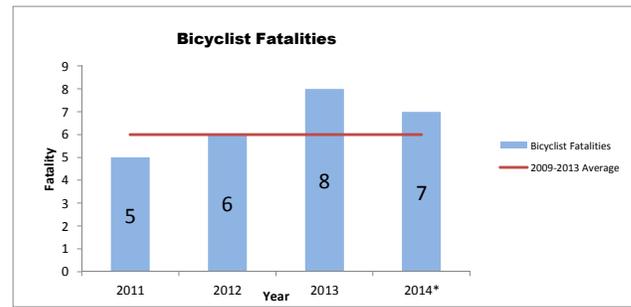
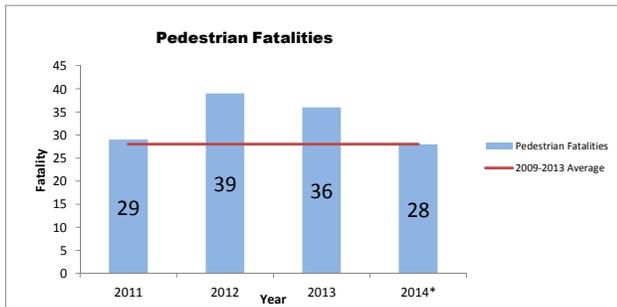
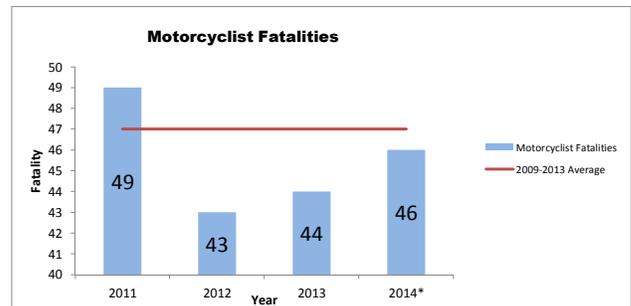
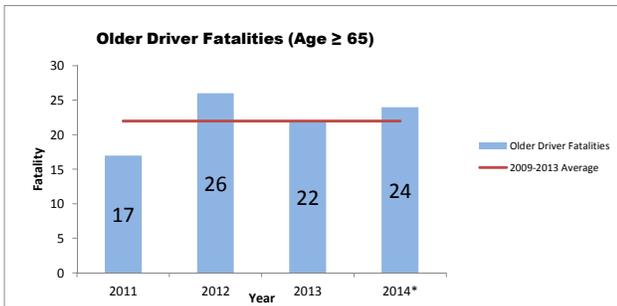
Colorado Fatalities & Serious Injuries Year-to-Date Monthly Summary Report

As of 7/31/2014

Traffic and Safety Engineering Branch

Fatal Crashes		Fatalities		Serious Injury Crashes		Serious Injuries		Total Crashes	
2014*:	233	2014*:	257	2014*:	1,272	2014*:	1,562	2014*:	56,911
2013:	237	2013:	263	2013:	1,477	2013:	1,799	2013:	60,129
2012:	233	2012:	256	2012:	1,526	2012:	1,849	2012:	56,664
2009-2013 Average	230	2009-2013 Average	253	2009-2013 Average	1,466	2009-2013 Average	1,814	2009-2013 Average	56,817

Emphasis/Focus Areas:



* 2014 data is preliminary



COLORADO
Department of
Transportation



Traffic Safety Public Education



Impaired Driving



Last Call Lots

- Renting parking lot for 3 consecutive Fridays in August during the Labor Day DUI Crackdown. Offering 30 overnight parking spaces, free of charge, as long as participants pledge to not drink and drive.



Late Night Snack Sticker

- Distributing to 19 late-night restaurants in Denver and Boulder as one last reminder to find a safe ride home.



Impaired Driving



Pint Glass Message Extenders

- Creating 1,200 pint glasses with the bottom etched with our campaign message “Drink & Don’t Drive.”
- Allows us to message right at a decision point when someone is consuming alcohol.
- Reached out to 54 bars, restaurants and breweries, and have placements in 10 so far.



Latino Outreach

- Developing posters and billboards with an ethnically relevant message and image in Spanish.



Seat Belts



Targeted Campaign in Pueblo

- In 2013, Pueblo experience 9 motor vehicle fatalities with all 9 being unbuckled.
- Developed pool balls branded with seat belt facts, distributing to Pueblo bars. There is a tie between alcohol-related and unbuckled fatalities, so this educates on both.
- Sponsoring the Pueblo Chile Festival, direct mailing free entry passes to 3,000 of our target audience (males, 18-34), hosting a booth to engage with attendees



Motorcycle Safety Training

Ride WISE

03 DENNIS AKA "STUMP"

FAVORITE BIKE:

HARLEY DAVIDSON - STREET GLIDE



WISDOM FROM THE ROAD:

Vietnam was over, at least for me. Rocks and I had made it home—to what fit like a different country. We went to explore it. I built my first bike by hand. She was a 750cc Yamaha, and she carried me across the land with nothing more than a cup of gas and a couple of gallons of motor oil. In those years, I truly discovered freedom. Chasing that freedom almost killed me. The bus fell off the back of a truck in traffic. I hit it dead on. She saved me—my bike. I wasn't meant there, but I am now. Training taught me to always look ahead and the physics that keep my feet on the pavement.

KEEP LEARNING RIDE FOREVER

FIND A CLASS AT COMOTORCYCLESAFETY.COM



Ride Wise: Keep Learning, Ride Forever

- Developed campaign targeting at-risk riders (males, 45-65), encouraging training and lifelong learning.
- Campaign featured a series of videos, advertisements and posters featuring real Colorado riders whose heart-stopping stories illustrate the value of safety training. Advertising included billboards, online ads, online video, in-bar posters, and print ads in rider publications.
- Media loved the campaign. There was a front-page article on the campaign in *Denver Post* and additional coverage in Chaffee County times, Craig Daily Press and 9News Denver.
- Indications of success include multiple experienced riders reaching out for information on training classes to learn specific riding skills.



Pedestrian Safety



Heads Up!

- Pedestrian crashes are on the rise in Colorado, particularly in urban areas. In 2013, there were over 1,400 peds hit and over 50 killed in traffic crashes. Observation showed that the majority of peds believe they always have the right of way and cars will stop for them no matter where they cross the street.
- Objectives are to increase ped and driver awareness of safety on the road and decrease ped fatalities in Colorado.
- Campaign creative concept is: Eye Contact Saves Lives—Heads Up at Crossings
- Campaign will launch end of August and run through September



 **COLORADO**
Department of
Transportation



Transportation Commission
Safety Committee
May 2014

 **FY14 Rockfall Update**

Risk Reduction
Maintenance
Emergency Response



 **Risk Reduction**

FY 13 Projects

- I-70 Georgetown Hill (R1) - Completion expected spring 2014
- SH 133 Paonia Reservoir (R3) - Currently advertised

FY 14 Projects

- US6/SH119 Clear Creek Canyon Corridor (R1) - Advertisement expected early summer 2014
- SH3 Durango (R5) - Currently advertised
- SH145 Telluride Village (R5) - Currently advertised
- US550 Ridgeway (R5) - Delayed to FY 15/16 due to ROW acquisition

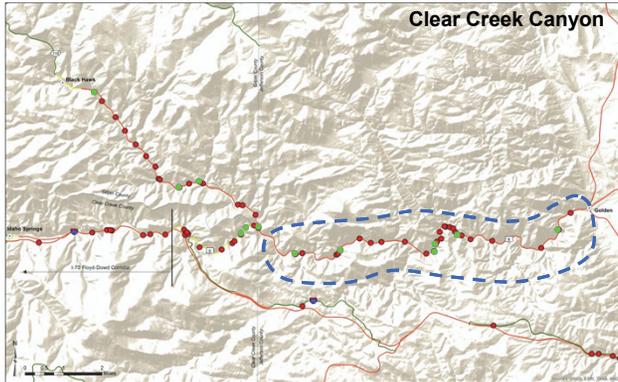
 **Risk Reduction**



April 2006 Incident – SH133 Paonia Reservoir



Risk Reduction



Risk Reduction



Risk Reduction



Maintenance

Maintenance of Existing Mitigation Devices

- I-70 Glenwood Canyon Fence Repair and Improvements
- SH 119 barrier improvement
- SH 145 barrier improvement
- US 285 barrier improvement
- US 550 Red Mountain Pass crib wall repair





Emergency Response

Emergency response and assistance:

55 locations statewide through 3rd quarter FY 14

- R1 - 9 locations
- R2 - 7 locations
- R3 - 10 location
- R4 - 23 locations
- R5 - 6 locations



SH 65 Rockfall



US 24 Rockfall



US 24 Rockfall





US 24 Rockfall

FY 15 ER fund allocation



COLORADO
Department of
Transportation

Questions?

**Transportation Commission of Colorado
Disadvantaged Business Enterprises (DBE) Committee
Agenda**

**Wednesday, August 20, 2014
4201 East Arkansas Avenue; Auditorium
Denver, Colorado**

**HEATHER BARRY, Chairwoman
District 4**

**BILL THIEBAUT
District 10**

**KATHY CONNELL
District 6**

**LES GRUEN
District 9**

**HERMAN STOCKINGER
Policy and Government
Relations Director/Secretary**

The Chairwoman may change the item sequence or timing

- 1. Call to order**
- 2. Approval of Minutes from February 20, 2013..... p04**
- 3. Committee Name Change**
- 4. DBE Participation Update Report p05**
- 5. Industry Collaboration Efforts p07**
- 6. Public Input/Comments**
- 7. Adjournment**



COLORADO Transportation Commission

4201 East Arkansas Avenue, Room270
Denver, CO 80222-3406

DATE: August 21, 2014
TO: Transportation Commission
FROM: Heidi Humphreys, Director, *Division of Administrative Service*
SUBJECT: August DBE Committee Meeting

Committee Name Change

During the May 2014 DBE Committee Meeting, CDOT's Civil Rights and Business Resource Center (CRBRC) provided an overview of the services it provides. In addition to its small business programs and certification functions, the CRBRC is also responsible for the development and execution of the Title VI program, contractor workforce development, contract compliance, and the external Americans with Disability Act (ADA) program. Based upon the breadth/depth of the continuing economic and workforce development program initiatives that could benefit from collaboration with stakeholders, the DBE Committee agreed to update its name to better reflect the full range of those responsibilities. Some examples of potential names could include: *Small Business and Diversity Committee* or *Economic and Workforce Development Committee*. Other suggested names are welcome.

DBE Participation Update

The DBE participation report for federal aid construction contracts through June of Federal Fiscal Year 2014 (10/1/2013 - 6/30/2014) shows DBE participation of 11.1% which currently exceeds CDOT's overall goal of 10.25%. Of the 232 awarded prime and subcontracts shown, 86 went to individual DBE firms. The Subcontract Work Type report shows that Traffic Control and Guard Rail continue to provide the largest percentages of DBE participation.

Industry Collaboration Efforts

The CRBRC continues to engage with industry stakeholders to find ways to improve its programs. Recently, the Colorado Contractors Association (CCA) as well as the Colorado Asphalt Pavement Association (CAPA) have raised some concerns regarding various aspects of CDOT's DBE and OJT Programs. The CRBRC, along with the Regional Civil Rights Offices, have agreed to partner with industry stakeholders (large and small) to form a work group in order to better understand these issues and find ways to improve statewide training and communication channels. It is anticipated that this group will have its first meeting in September. A report on specific work group outcomes and next steps will be provided at the November DBE Committee Meeting.

Attachments

May 2014 DBE Committee Meeting Minutes
June 2014 DBE Participation Report
June 2014 DBE Subcontract Work Type Percentage Report
Key Points of Clarification Regarding CDOT's Current DBE Program



**DBE Committee Meeting Minutes
Colorado Department of Transportation
May 15, 2014**

Attendees:

Commissioner Heather Barry
Commissioner Kathy Connell
Commissioner Kathy Gilliland
Commissioner Bill Thiebaut
Scott McDaniel, Acting Chief Engineer
Tony Devito, RTD Region 1
Karen Rowe Representing Region 2 RTD
Heidi Humphreys, Director of Division of Administrative Service
Greg Diehl, Manager of Civil Rights and Business Resource Center
Michael Nusen, Civil Rights and Business Resource Center
Katherine Williams, Civil Rights and Business Resource Center
Jim Moody, CCA
Richard Zamora, CDOT

Call to Order: 9:30 am.

Approval of Minutes:

Moved by Commissioner Connell with correction to Kathy Gilliland's name.
Seconded by Commissioner Thiebaut.

Updates and Presentations:

Greg Diehl provided an overview of the functions of the Civil Rights and Business Resource Center. Responsibilities include the development and execution of the Title VI program, small business programs and certification, contractor workforce development, contract compliance, and the external Americans with Disability Act program.

- Commissioner Thiebaut asked about renaming the committee and for the distribution of a flyer regarding the Summer Training Institute. Additionally, he asked for clarification regarding labor compliance. Davis Bacon is required only on federally funded projects.
- Buy America applies if there is federal money. This is not through the Civil Rights and Business Center. However, it is a requirement on federal contracts. They must buy from an American company but not a local company.

Greg Diehl provided an update on current DBE participation. The current participation is 12.1% participation for Federal Fiscal Year 2014 which exceeds our overall goal of 10.25%. DBE contracts have been awarded to 56 individual firms. The breakdown shows that traffic control and guardrail are the primary areas of DBE participation.

- Jim Moody pointed out that there is not less minority participation but that one of CDOT's largest DBEs graduated from the DBE program. We do not differentiate between firms that "graduate" due to size and those that just no longer qualify for the program. Firms can reenter the program if they drop below a size standard.
- Commissioner Hofmeister requested clarification on the process related to goals particularly because there was one contract in which the project was awarded to the next lowest apparent bidder that was significantly higher than the initial low bidder. It was explained that this was a difficult decision but was required according to the regulation and CDOT's processes.
- Amy Ford brought to the attention of the group the issue at DIA and mentioned that CDOT should be aware of potential questions in the future.
- Heidi Humphreys acknowledged Greg's well-received presentation at AASHTO and the request for him to present on CDOT's best practices.

DBE MONTHLY REPORT FOR CONSTRUCTION CONTRACTS

Federal Fiscal Year 2014 to Date (10/1/2013 - 6/30/2014)

Federal Dollars Only

	A	B	C	D	E	F	G	H	I
AWARDS/COMMITMENTS MADE DURING THIS REPORTING PERIOD (total contracts and subcontracts awarded or committed during this reporting period)	Total Dollars	Total Number	Total to DBEs (dollars)	Total to DBEs* (number)	Total to DBEs /Race Conscious (dollars)	Total to DBEs/Race Conscious (number)	Total to DBEs/Race Neutral (dollars)	Total to DBEs/Race Neutral (number)	Percentage of total dollars to DBEs
1. Prime contracts awarded this period	\$238,743,057	61	\$2,388,592	2	\$0	0	\$2,388,592	2	1.0%
2. Subcontracts awarded/committed this period	\$85,372,060	666	\$24,154,183	230	\$16,971,405	161	\$7,182,778	69	28.3%
3. TOTAL			\$26,542,775	232	\$16,971,405	161	\$9,571,370	71	11.1%

	A	B	C	D	E	F	G
DBE AWARDS/COMMITMENTS THIS REPORTING PERIOD-BREAKDOWN BY ETHNICITY & GENDER	Black American	Hispanic American	Native American	Asian American	Non-Minority Women	Other (i.e. not of any other group listed here)	TOTALS (for this reporting period only)
4. Total Number of Contracts (Prime and Sub)	16	91	1	5	119	0	232
5. Total Dollar Value	\$388,758	\$12,685,879	\$226,184	\$62,316	\$13,179,638	\$0	\$26,542,775

	A	B	C	D	E
ACTUAL PAYMENTS ON CONTRACTS COMPLETED THIS REPORTING PERIOD	Number of Prime Contracts Completed	Total Dollar Value of Prime Contracts Completed	DBE Participation Needed to Meet Goal (Dollars)	Total DBE Participation (Dollars)	Percentage of Total DBE Participation
6. Race Conscious	36	\$161,689,631	\$14,517,992	\$20,270,653	12.5%
7. Race Neutral	9	\$8,753,510		\$2,997,401	34.2%
8. Totals	45	\$170,443,141		\$23,268,054	13.7%

* The 232 prime and subcontracts shown in this column went to 86 individual DBE firms.

DBE Subcontracts Approved on CDOT Highway Construction Projects 10/1/2013 - 6/30/2014

Projects with Federal Funding

Subcontract Work Type	Percent of Subcontracts
Traffic Control	31.31%
Guard Rail	17.39%
Concrete Pavement	13.59%
Miscellaneous	8.74%
Trucking, Hauling	7.77%
Seeding, Topsoil, Erosion Control	5.78%
Steel	2.55%
Signing	2.32%
Electrical & Signal Items	2.28%
Storm Drain System	2.00%
Curb & Gutter, Sidewalk, Inlets	1.81%
Landscaping	1.56%
Walls	1.22%
Pavement Marking	0.75%
Aggregate, Gravel	0.37%
Asphalt (HBP)	0.18%
Waterproofing	0.18%
Culverts	0.15%
Testing	0.04%
Planing, Milling	0.02%

KEY POINTS OF CLARIFICATION REGARDING SOME CURRENT INDUSTRY CONCERNS ON THE DBE PROGRAM

1) CDOT's overall goal should be reevaluated or calculated in terms of dollars not percentage.

The CDOT triennial overall DBE goal is set in accordance with 49 CFR 26.45, which requires CDOT to establish a percentage goal; a dollar goal is not permitted. CDOT is permitted to evaluate its triennial overall DBE goal in light of changed circumstances and/or compelling industry data.

CDOT's next overall DBE goal setting will occur next year and take approximately three to four months to complete. Public participation and adjustment(s) for anticipated DBE capacity are both required elements of the goal setting process.

2) Contractors are not bidding on CDOT projects because the DBE contract goals are too high.

While this statement has been made anecdotally to CDOT staff, the industry has presented no evidence to support its assertions. CDOT has requested that the industry provide examples of specific contracts in which contract goals were or are too high. This can be demonstrated by showing evidence from past projects or by going through the good faith effort review process.

CDOT's regional civil rights offices consider the following factors when establishing contract goals. The first step of goal setting is to identify subcontracting opportunities within the project. The second step is to determine DBE availability for such contracting opportunities based upon the DBE Directory and recent bidders list information etc. And the third is to adjust the baseline number to reflect a reasonable amount of the contract that could be completed by DBEs considering feasibility of opportunities, capacity, etc. Therefore if statewide capacity is demonstrated to be a concern, CDOT will adjust its goal setting accordingly.

3) If you fail to meet the DBE contract goal, then you will not get the contract.

The perception is that "there is no good faith effort process at CDOT." The following statistics represent the total number of projects let by CDOT, the number of such projects that have gone into good faith effort review and the number of those that have not been awarded based upon a determination that the contractor failed to make good faith efforts.

State Fiscal Year (July 1 – June 30)	Total Awarded CDOT Projects	Good Faith Effort Reviews	Rejected Good Faith Efforts
2011-2012	92	4	1
2012-2013	102	2	0
2013-2014	74	5*	2

* The statistics do show an increased number of good faith efforts during the current year. However, these statistics are a product of a change in policy, not a change in capacity. At the end of last year, CDOT issued a new DBE Standard Special Provision, which requires that a contractor go through a good faith effort review for mistakes or miscalculations that put the contractor below the DBE goal. Additionally, the new forms accompanying the special provision have increased the transparency of the use of DBEs on CDOT projects. Two of this year's good faith effort reviews have been the result of miscalculations or mistakes. In both instances, the result was award of the contract with a warning to the contractor.

4) There are no specific criteria by which CDOT makes a good faith effort decision.

As stated in the DBE Standard Special Provision, CDOT uses the standards set forth in 49 CFR Part 26, Appendix A to evaluate good faith efforts. However, we understand that the process can be confusing to contractors. Therefore, the CRBRC is working on updating its website to include additional good faith effort guidance. This guidance will explain (1) why CDOT expects the contractor to put together a plan for meeting the good faith effort requirements; (2) what the plan should contain; and (3) what efforts are reasonably expected of the contractor to make the plan successful.

For questions or comments regarding this document, please contact Katherine Williams at Katherine.williams@state.co.us.

**Transportation Commission of Colorado
Transportation Asset Management Committee
Meeting Agenda
Thursday, August 21, 2014
4201 East Arkansas Avenue**

**William Johnson, Branch Manager
Transportation Performance Branch**

**Les Gruen, Chair
District 9, Colorado Springs**

**Kathy Connell
District 6, Steamboat Springs**

**Heather Barry
District 4, Westminster**

**Sidny Zink
District 8, Durango**

**Steven Hofmeister
District 11, Haxtun**

**Scott McDaniel
Acting Chief Engineer**

**Debra Perkins-Smith, Director
Division of Transportation
Development**

All commissioners are invited to attend this Committee meeting.

- 1. Report Out from Commissioner Gruen – 5 minutes**
 - **Approval of June, 2014 Minutes p02**
- 2. Geohazards Project Modification Memo, Ty Ortiz,
Q & A if needed..... p04**
- 3. Performance Metrics, William Johnson, 20 minutes..... p06**
- 4. Project Selection Process, William Johnson, 20 minutes..... p24**

THE AGENDA MAY BE ALTERED AT THE CHAIR’S DISCRETION

ASSET MANAGEMENT COMMITTEE

DRAFT MINUTES

Date: June 19, 2014

Committee Members Attending: Commissioners Gruen, Connell, Barry, and Zink.

Others Attending: Commissioner Aden, Commissioner Gifford, Debra Perkins-Smith, Scott Richrath, Josh Laipply, Scott McDaniel, Tony DeVito, Kerrie Neet, Dave Eller, Johnny Olson, Tom Wrona, William Johnson, John Vetterling, Robert Haley, Ty Ortiz, and others.

Minutes:

- The minutes from the February meeting were approved, with a request that improvements be made.
- Report Out from Commissioner Gruen.
- Commissioner Gruen informed attendees that the Project Status Report was discussed at the Program Management Workshop, and was removed from the agenda.
- **Delphi Workshop:** Commissioner Gruen requested clarification on the upcoming August Delphi meeting where FY 17 and FY 18 budget recommendations will be made. Specifically, are we relying too much on the Delphi approach instead of the Asset Investment Management System (AIMS) tool? Region Director DeVito asked if the TC could focus concerns with the Delphi process. Commissioner Gruen stated that Transportation Asset Management (TAM) focuses on process and tools, and that Delphi does not necessarily do that. The concern is that continued use of the Delphi method is taking our focus away from development of tools.

William Johnson explained that the current version of AIMS produces budget and optimized trade-off recommendations based on asset condition alone, and does not consider CDOT goals and objectives (e.g. safety, mobility, and economic development). Staff will be using the Delphi method in August while AIMS development continues, which will include adding goals and objectives to output recommendations. Commissioner Gruen requested that a scope and timeline for development of AIMS be delivered to the Committee. Commissioner Gilliland reiterated that we need to have all assets in common tool, and that we need to be able to objectively see the impacts of the TC's investment decisions. Additionally, Commissioners Gruen, Gilliland, and Connell spoke to the willingness of the TC to engage in prioritizing CDOT objectives and goals for use in enhancing tools.

- **Rockfall Program Spending Plan Moving to a Geohazard Management Plan:** Ty Ortiz presented the FY 15 Geohazard Management Plan. The plan contains two primary components, corridor risk reduction (\$6.8M) and emergency response (\$2.3M), and is designed to more effectively manage geohazards. The plan details how emergency response projects require flexibility in use of funds, and that use of funds will be in accordance with Policy Directive 703. Changes to the budget in excess of 10% would be made by formal request to the TC, and that individual emergency response projects do not need to go to the TC for budget approval. Commissioner Gruen stated that staff can assume the TC is comfortable with the plan.
- **Policy Directive 14 Refinement:** William discussed asset performance metrics and targets as they related to the Risk-Based Asset Management Plan (RB-AMP) and Policy Directive 14 (PD 14). Currently, three asset programs have performance targets in PD 14 – bridge, pavement, and MLOS. PD 14 also has language referring to the RB-AMP for other performance targets. The RB-AMP

lacks complete performance targets for five (walls, tunnels, rockfall/geohazards, signals, and a fiscally constrained target for road equipment) of the eleven asset programs. Commissioner Gruen requested that staff develop a level of effort analysis and timeline for development of missing performance targets.

- **CDOT Staff TAM Workshop:** William discussed the TAM Workshop conducted June 10-11 for CDOT staff. Highlights included 2 panel sessions that included Executive Managers and Asset Managers, as well as continued connections between Cash and Program Management initiatives. William also presented the “Cliff’s Notes” to the RB-AMP pamphlet requested by the TC during the February meeting. Commissioner Gilliland requested that the pamphlet be posted to CDOT external website.
- **10th National Conference on Transportation Asset Management:** William discussed staff participation and highlights from the conference that occurred in April. 6 CDOT staff, and 1 FHWA Colorado Division staff, attended – all gave presentations. Two highlights were the Change Management presentation from Gary Vansuch and Michelle Malloy, and a workshop on National Cooperative Highway Research Program (NCHRP) project 08-91 Cross-Asset Optimization tools.

Note: Due to timelines for PD 14 refinement more frequent meetings of the TC Asset Management Committee may be required.



COLORADO
Department of Transportation
Division of Transportation Development

Division of Transportation Development
4201 E. Arkansas Ave. Shumate Bldg
Denver, CO 80222-3400

DATE: August 21, 2014
TO: Transportation Commission
FROM: Scott McDaniel, Project Support Division
Bill Schiebel, Materials and Geotechnical Branch Manager
Ty Ortiz, Geotech Program
SUBJECT: FY15 GEOHAZARD SPENDING PLAN MODIFICATION

Purpose

The Geohazards Program is submitting this memo as information regarding a revision to its FY15 Spending Plan.

Action

Request that the Commission approve this revision to the Geohazards Management Plan.

Background

Policy Directive 703.0 provides the following guidelines for asset management project approvals:

Initial Project Funding:

- A) Projects that are on an approved asset management list do not require separate Transportation Commission approval and as such the initial budget action can be approved by OFMB staff immediately, or
- B) Projects that are not on an approved list require budget action approval by the Transportation Commission. As such, the region shall submit a budget action no later than the 25th day of the preceding month in order to be included.

Funding adjustments such as bid adjustments or CMOs:

- A) Less than 10% or less than \$250,000 above the original approved amount does not require TC approval.
- B) Between 10%-15%, or between \$250,000-\$500,000, above the original approved amount requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO
- C) Greater than or equal to 15% and greater than or equal to \$500,000 or greater than or equal to \$5,000,000 above the original approved amount requires TC approval

The revision presented below falls into Initial Project Funding category B, where the project was not on an approved list.

There are two main components of the Geohazards Spending Plan; 1) Risk Reduction and 2) Emergency Response and Geohazard Management. The Geotech Program proposes revising the Risk Reduction site list. The revised site list is presented in Table 1 below.



Table 1:

Type of work	Location
Construction	R1 Clear Creek Canyon Corridor (US6, SH119)
Construction	R2 Raton Pass Corridor (I-70)
Construction	R2 Ute Canyon Corridor (US24) - moved to FY17
Construction	R3 DeBeque Canyon (I-70) - moved to FY16
Construction	R3 Glenwood Canyon
Construction	R5 - Ridgeway (US550) - added
Const / Design	Geohazard Management System Development
Design	Clearances and Design (Statewide)
Operations	Internal operating costs
TOTAL Allocation = \$6.8M	

The changes are:

- Construction for the DeBeque Canyon corridor (I-70 R3) will be moved to FY16,
- Construction of the Ute Canyon corridor (US24 - R2) will be moved to FY17,
- US550 R5 - Ridgeway near mile post 106.3, a High Risk Outlier site originally scheduled for FY14 construction will be moved to FY15. The site was removed from the FY14 list because the time required to obtain right-of-way clearance did not allow the TAM requirement of spending TAM funds within 18 months of the fiscal year received to be fulfilled.

Key Benefits

This change accommodates time needed for right-of-way and other clearances required for the DeBeque Canyon and Ute Canyon corridor work. The revision is in line with the working draft of the Geohazard Management Plan and, we believe it is in the spirit and intent of CDOT's Asset Management Program.





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Department of Transportation

Division of Transportation Development

Transportation Performance Branch
4201 E. Arkansas Ave. Shumate Bldg
Denver, CO 80222-3400

DATE: August 21, 2014
TO: Transportation Commission
FROM: Debra Perkins-Smith, Director, Division of Transportation Development
William Johnson, Transportation Performance Branch, DTD
SUBJECT: Asset Management Performance Metrics and Targets

Purpose

This memorandum provides Commissioners with an update on performance metrics and targets for those assets not listed in Table 4.1 of the Risk-Based Asset Management Plan (RB-AMP). These metrics and targets are needed to develop the FY 17 and FY 18 asset program budget recommendations.

Action

Commission approval of performance metrics and targets.

Performance Metrics Development Background

Policy Directive 14 has historically included performance goals for pavement, bridges and maintenance. During the course of developing the Risk-Based Asset Management Plan (RB AMP) last fall, the current performance, fiscally constrained target and aspirational performance targets for each asset category was included if available, and if not, Table 4.1 in the document showed 'TBD'. The Commission requested during the June Asset Management Committee Meeting that performance metrics and targets be identified for those assets with a 'TBD' designation on Table 4.1 of the RB-AMP. The result is a revised Table 4.1, included as an attachment to this memorandum.

Details

To develop performance metrics, each asset program went through the same fundamental process which included:

- Understanding the investment decisions their asset program needed to make to maintain and extend the life of their assets.
- Understanding the data needed to support their investment decisions.
- Developing a metric, or set of metrics, that could demonstrate a link between investment and performance.
- Developing a fiscally constrained performance target that allows CDOT to maintain a balanced budget, and an aspirational target that describes the desired level of performance an asset could reasonably achieve given an unconstrained budget.
- Understanding of how the performance metric and target, along with performance data, informs project selection.

Note: Walls and Traffic Signals are new asset programs that were not part of the RB AMP document. Traffic Signals has developed some metrics; however, walls metrics are still under development at this time, and estimated to be complete in September 2014. The Rockfall program recently changed to a Geohazards program, and the associated metric is still under development and estimated to be complete in September 2014. And



pending data collection, the current condition for the Tunnels fire/life safety metric will be updated at a later time.

Staff requests Commission approval of the updated performance metrics and targets. These performance metrics and targets will be used within the asset management systems and programs, and for asset program budget recommendations.

Next Steps

Staff will use the performance metrics and targets in the process to develop the FY 17 and FY18 asset budget recommendations. Two sets of budget recommendations for the FY 17 and FY 18 asset programs will be developed on August 22nd. One will be a budget recommendation from the Asset Investment Management System (AIMS) based on best use of existing asset models. The other will be using the Delphi method since all asset classes do not have models in AIMS yet. The staff asset management budget recommendations will be presented to the Commission in September 2014.

Attachments

RB AMP Table 4.1 Version 2



All CDOT Asset Management Metrics and Performance Targets (Developed by Staff, Including PD14)

Asset	Measure	Current Performance	Aspirational Target	Fiscally Constrained Target	Performance Gap ^b
Bridges	Percentage of deck area on structurally deficient CDOT-owned bridges	6%	5%	10% ^a	5%
	Percentage of deck area on structurally deficient bridges on the NHS	5%	5%	10% ^a	5%
	Percentage of CDOT-owned bridges over waterways that are scour critical	6%	1%	5%	4%
	Percentage of bridge crossings over Interstates, U.S. routes and Colorado state highways with a vertical clearance less than the statutory maximum vehicle height of 14 feet-6 inches	1%	0%	1%	1%
	Percentage of bridge crossings over Interstates, U.S. Routes and Colorado state highways with a vertical clearance less than the minimum design requirement of 16 feet-6 inches	8%	2%	7%	5%
	Percentage of CDOT-owned bridges posted for load	0%	0%	0%	0%
	Percentage of CDOT-owned bridges with a load restriction	3%	1%	3%	2%
	Percentage of leaking expansion joint by length on CDOT-owned bridges	18%	5%	15%	10%
	Percentage of CDOT-owned bridge deck area that is unsealed or otherwise unprotected	41%	5%	30%	25%
Pavement	Percentage high-moderate drivability life for Interstates based on condition standards and treatments set for traffic volume categories	86%	90%	80% ^a	10%
	Percentage high-moderate drivability life for CDOT-owned NHS, excluding Interstates based on condition standards and treatments set for traffic volume categories	83%	90%	80% ^a	10%
	Percentage high-moderate drivability life for the State highway system based on condition standards and treatments set for traffic volume categories	82%	90%	80% ^a	10%
Maintenance	Statewide Letter Grade	B-	B-	B- ^a	None
Buildings	Statewide Letter Grade	86% C or Better	100% C or Better	90% C or Better	10%
ITS	Average Percent Useful Life	143%	80%	104%	24%
Fleet	Average Percent Useful Life	96%	60%	70%	10%
Culverts	Percentage Critical Culverts	4.4%	2%	5%	3%
Geohazards	TBD	TBD ^c	TBD ^c	TBD ^c	TBD ^c
Tunnels	Key components of fire/life safety must not exceed 100% of useful life, based on manufacturer's specification, condition inspections and maintenance history.	TBD ^d	100%	100%	0%
Traffic Signals	Average Percent Useful Life Overall Signal Infrastructure	124%	100%	113%	24%
Walls	TBD	TBD	TBD	TBD	TBD

^a These objectives and targets are from PD 14, adopted by the Transportation Commission. Others are staff recommended, and subject to available funding.

^b CDOT defines the performance gap as the difference between aspirational and fiscally constrained targets.

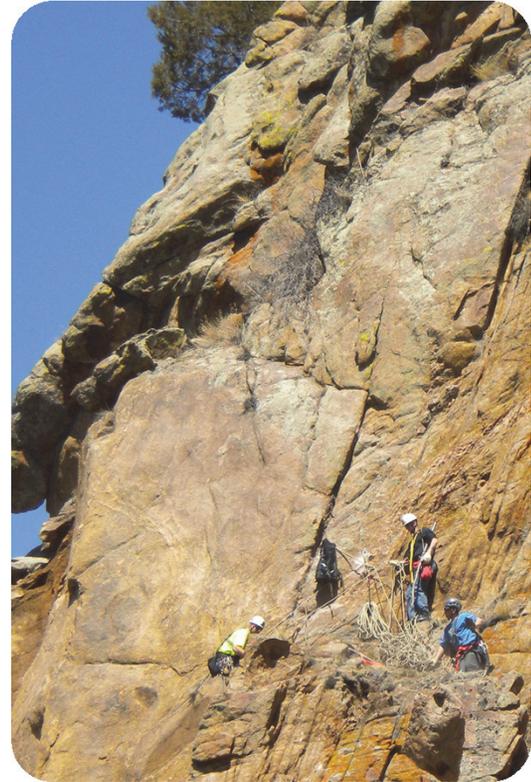
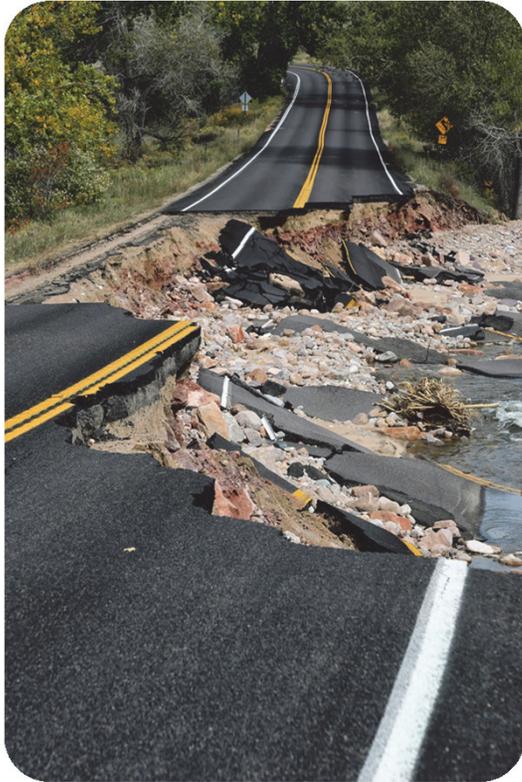
^c To be completed December 2014 with incorporation into AIMS.

^d Target pending data collection.

Highlighted Items are New Metrics and Targets.



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Transportation Asset Management Committee August 2014



TAM Performance Metrics and Targets

All CDOT Asset Management Metrics and Performance Targets (Developed by Staff, Including PD14)

Asset	Measure	Current Performance	Aspirational Target	Fiscally Constrained Target	Performance Gap ^b
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^a These objectives and targets are from PD 14, adopted by the Transportation Commission. Others are staff recommended, and subject to available funding.

^b CDOT defines the performance gap as the difference between aspirational and fiscally constrained targets.

^c To be completed December 2014 with incorporation into AIMS.

^d Target pending data collection.

Highlighted Items are New Metrics and Targets.



AIMS - Analysis

- Each asset is analyzed independently of any other asset.
- AIMS generates alternative strategies for each asset and then optimizes the “what-if” scenarios to maximize the key performance indicator.
- Once strategies are generated and optimized the **AIMS slider tool** can be used to compare outcomes for different investment levels.
- Once strategies are generated, the **AIMS Cross Asset Analysis** and Optimization functionality can be used to allow assets to compete for the same funding.



AIMS – Trade-off Analysis

- AIMS includes Two Approaches to Strategic Trade-Off Analysis
 - Slider Based Tools
 - Cross Asset Analysis and Optimization



AIMS – Slider Tool

- **Leverages the individual asset “what-if” scenarios to display impacts to key performance measures for different levels of investment.**
- **No limit to the number of “what-if” scenarios.**
- **Each tick of the slider tool is a separate “what-if” scenario and interpolation can be used between tick marks to judge investment.**
- **Outputs:**
 - Optimized Program for each budget scenario
 - Slider Tool for demonstrating the effects of moving funding from one asset or classification to another on each Key Performance Index (KPI)
 - All other dTIMS CT Charts, Graphs, Reports and Exports are available for any of the “what-if” scenarios used on the slider tool.



AIMS – Slider Tool

- **Slider tool displays key performance indices for each asset based on the budget scenarios created.**
- **Slider tool provides a mechanism for viewing the resulting condition for any of the generated scenarios.**
- **All lines and graphs are generated prior to the slider tool being executed and the slider tool just displays the results in an easy to use manner.**



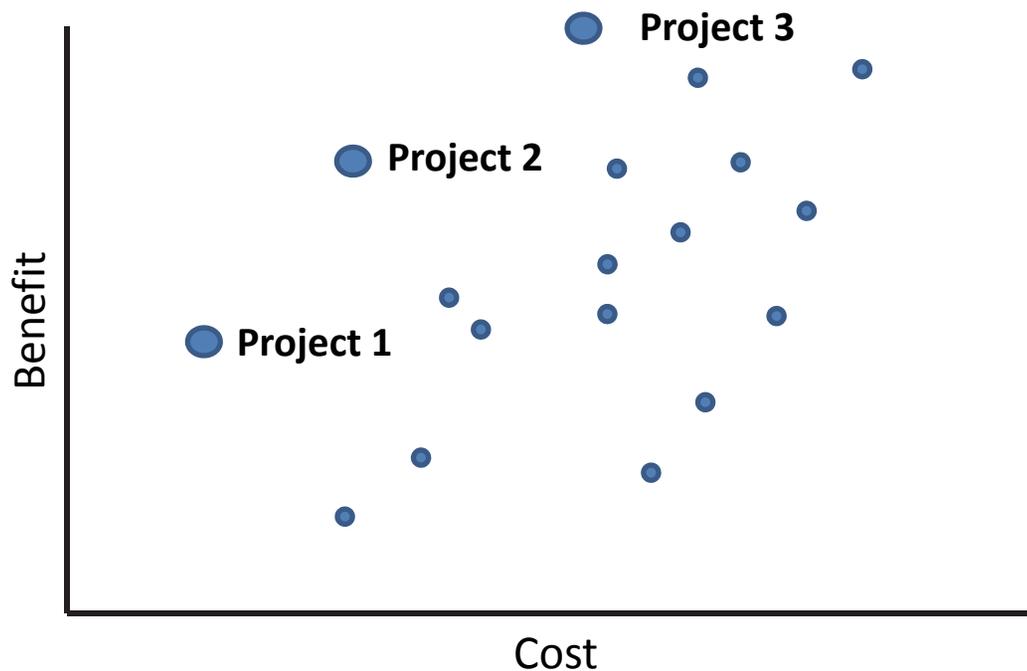
AIMS – Cross-Asset Analysis and Optimization

- **Allows strategies from different assets to be optimized together in one optimization**
- **Projects compete against one another for the same funding.**
- **Unlimited number of “assets”**
- **Input Parameters:**
 - Minimum Funding Levels for each asset
 - Additional Funding Levels to be optimized within user defined limits
 - Key Performance Measures (KPIs) for each item being optimized
- **Outputs:**
 - Optimized Distribution of the Additional Funding
 - Funding Level Report
 - All other dTIMS CT Charts, Graphs, Reports and Exports



AIMS – Cross-Asset Analysis and Optimization

- Project 1, Project 2 and Project 3 would be selected first if money was available then the other projects may be selected if funding permits.



- Funding is allocated from the dedicated minimum budget first for any asset and then from the unallocated budget once the dedicated budget exhausted. **Dedicated minimum budgets can be set to \$0.**



AIMS – Cross-Asset Analysis and Optimization

- **Example Analysis using AIMS:**

- **FY 15 \$400 M was recommended for bridge and pavement**

Pavement Assets – \$0 minimum dedicated funding

Bridge Assets - \$115 million annual minimum funding

Unallocated Funds - \$285 million available for either asset

Optimization based on Condition only :

- DL for pavements
- Modified Health Index for bridges

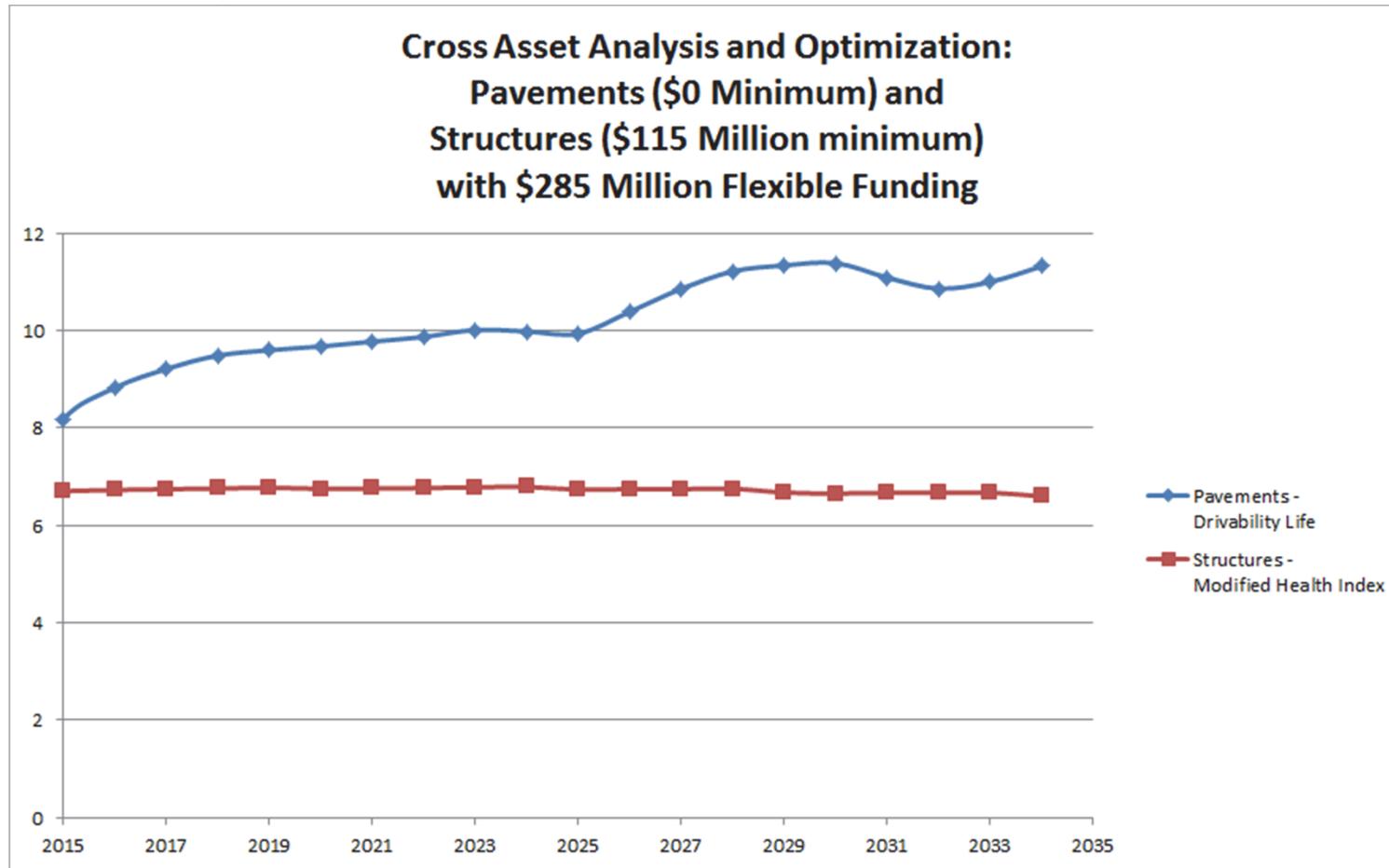


AIMS – Cross-Asset Analysis and Optimization

Year	Pavements		Bridges			
	% of Additional	Expenditure	% of Additional	Minimum	Additional	Total
2014	0.00	\$0.00	0	\$0.00	\$0.00	\$0.00
2015	82.88	\$236,211,269.82	17.11	\$115,000,000.00	\$48,761,032.74	\$163,761,032.74
2016	100.00	\$284,999,054.16	0	\$114,981,605.05	\$0.00	\$114,981,605.05
2017	99.99	\$284,984,474.96	0	\$114,965,250.33	\$0.00	\$114,965,250.33
2018	99.99	\$284,961,677.70	0.01	\$115,000,000.00	\$35,103.00	\$115,035,103.00
2019	99.83	\$284,518,047.02	0.14	\$115,000,000.00	\$390,151.29	\$115,390,151.29
2020	99.96	\$284,873,618.98	0.03	\$115,000,000.00	\$93,479.53	\$115,093,479.53
2021	99.93	\$284,793,764.65	0.06	\$115,000,000.00	\$178,736.51	\$115,178,736.51
2022	99.91	\$284,741,944.96	0.06	\$115,000,000.00	\$171,098.51	\$115,171,098.51
2023	99.90	\$284,718,809.17	0.03	\$115,000,000.00	\$75,427.84	\$115,075,427.84
2024	94.35	\$268,896,390.40	5.65	\$115,000,000.00	\$16,092,470.08	\$131,092,470.08
2025	54.18	\$154,417,770.03	45.82	\$115,000,000.00	\$130,579,326.21	\$245,579,326.21
2026	95.48	\$272,123,706.51	4.5	\$115,000,000.00	\$12,834,885.43	\$127,834,885.43
2027	99.97	\$284,908,809.39	0.03	\$115,000,000.00	\$84,271.28	\$115,084,271.28
2028	91.60	\$261,057,144.48	8.4	\$115,000,000.00	\$23,937,597.21	\$138,937,597.21
2029	97.50	\$277,873,935.68	2.49	\$115,000,000.00	\$7,105,428.35	\$122,105,428.35
2030	88.97	\$253,556,161.17	11.01	\$115,000,000.00	\$31,380,909.51	\$146,380,909.51
2031	99.91	\$284,736,660.27	0.09	\$115,000,000.00	\$256,166.96	\$115,256,166.96
2032	99.41	\$283,332,595.63	0.58	\$115,000,000.00	\$1,653,958.26	\$116,653,958.26
2033	96.10	\$273,871,330.77	3.9	\$115,000,000.00	\$11,115,365.67	\$126,115,365.67
2034	99.97	\$284,928,744.32	0	\$114,972,468.29	\$0.00	\$114,972,468.29



AIMS – Cross-Asset Analysis and Optimization



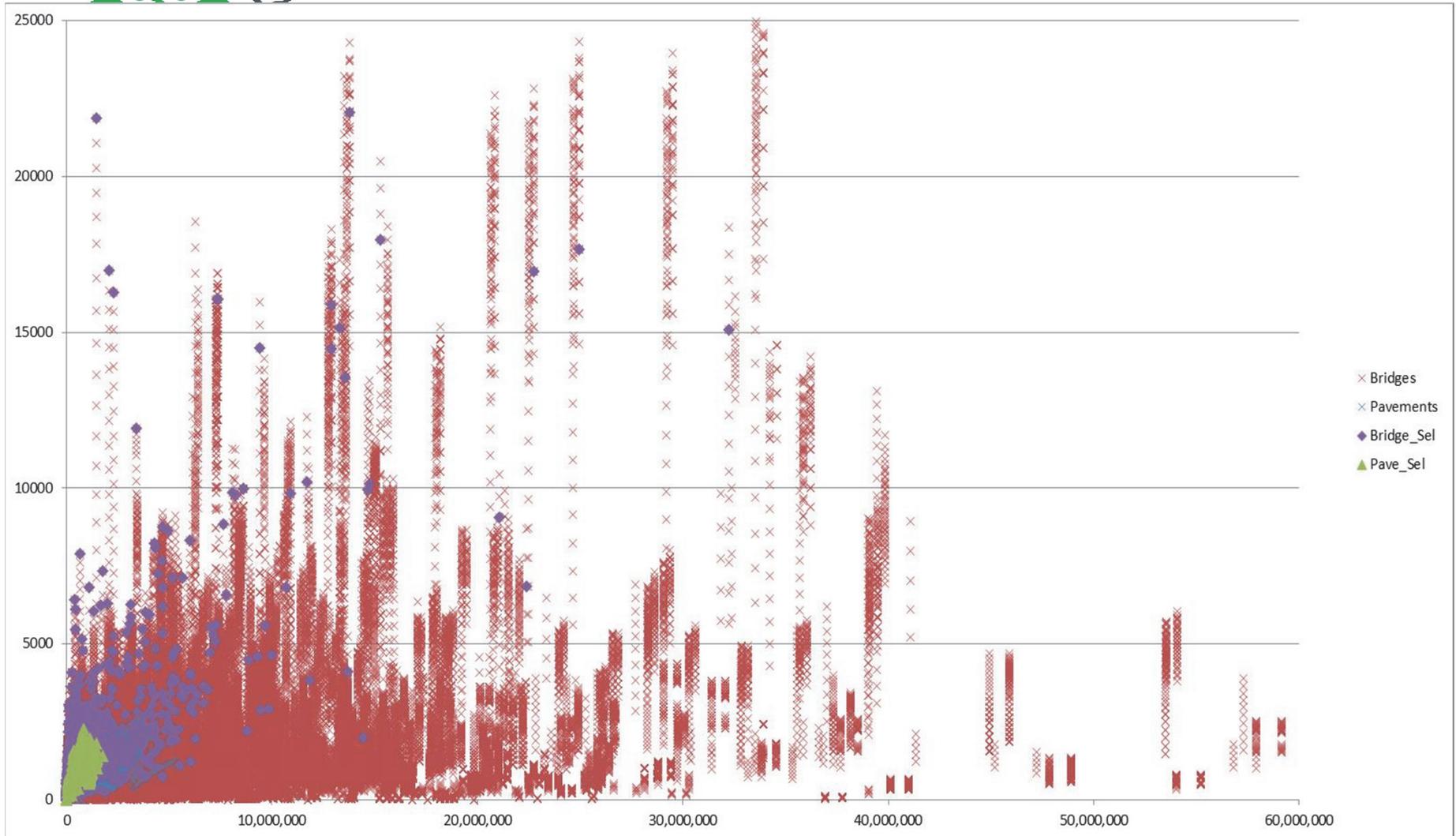


AIMS – Cross-Asset Analysis and Optimization

- Results are based upon a mathematical optimization using in which no changes to either the pavement strategies or the bridge strategies to equalize benefits or to apply a “value matrix” to project prioritization.
- Results can be explained by investigating all the possible strategies and the selected strategies.
- Bridge strategies are selected first (higher benefit, less cost) and then the pavement strategies are selected.
- Once pavement strategies are selected, higher cost / higher benefit bridge strategies are selected with the remaining funds.
- When other assets are added to the analysis, picture gets even more cloudy.
- Without equalizing the benefits and accounting for a CDOT value matrix, the cross asset analysis and optimization will not be effective.

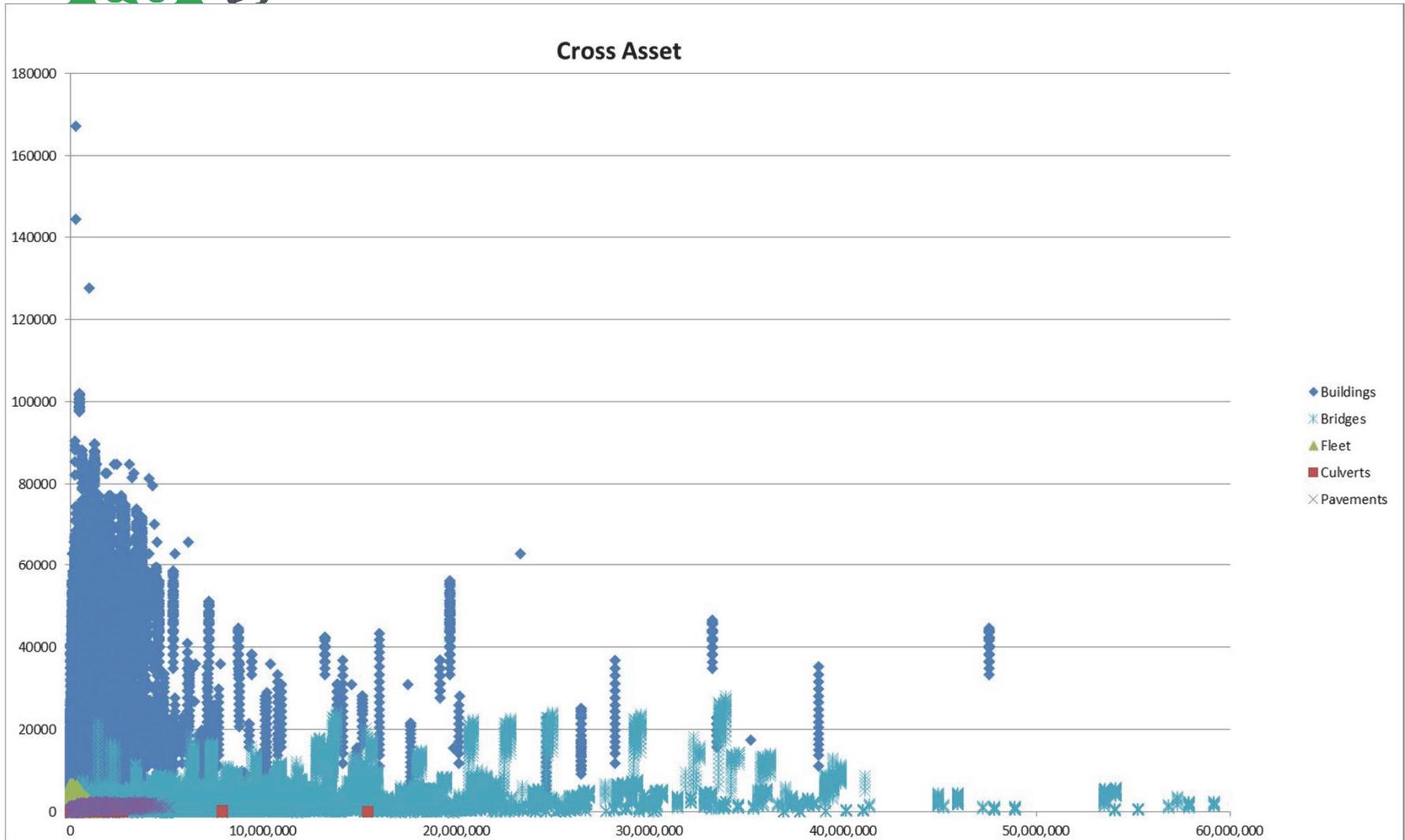


AIMS – Cross-Asset Analysis and Optimization





AIMS – Cross-Asset Analysis and Optimization





AIMS – Cross-Asset Analysis and Optimization

Cross Asset Analysis and Optimization:

- Needs to move from “condition based” to “impact based”
 - Impacts to the Economy?
 - Impacts to Society?
 - Impacts to the Environment?
- Should be implemented at the tactical asset management level when alternative strategies are generated and not after the fact at the strategic level once individual assets recommendations have been made.
- CDOT needs to value matrix and then AIMS can be used for this type of analysis.
- Transport New Zealand (National Highway Agency) has implemented a value matrix that may be of interest to CDOT.



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Department of Transportation

Division of Transportation Development

Division of Transportation Development
4201 E. Arkansas Ave. Shumate Bldg
Denver, CO 80222-3400

DATE: August 21, 2014
TO: Transportation Commission
FROM: Debra Perkins-Smith, Director, Division of Transportation Development
William Johnson, Transportation Performance Branch, DTD
SUBJECT: Asset Project Selection Processes

Purpose

To conform with PD 703 on Cash Management, project selection processes for assets are being documented for Commission approval. This memorandum provides an overview of the project selection process used by the CDOT asset managers with an example of a process summary from the Surface Treatment Program.

Action

Provide input on the content and format for documenting project selection processes for asset management, as illustrated by the Surface Treatment Program example.

Background

In the past, the Commission reviewed and approved asset program project lists. In recent years, the processes used to develop project lists have been refined and documented. Current project selection processes use information from the asset management system to ensure that investments are pointed to projects that best maximize life-cycle in a fiscally constrained environment to achieve performance targets. It is also recognized by staff that they should be continually improving their asset programs, tools, data, and processes.

Details

Attached for your review and comment is an example from the Surface Treatment Program. All summaries would contain:

- An introduction of the asset
- A performance metric and target overview
- A project selection process diagram
- A project selection process narrative

Projects lists will be managed by a collaboration between the asset managers, the Program Management Office, and OFMB - Cash Management under PD 703 guidelines, which state:

- Initial Project Funding
 - a) Projects from programs where the Commission has accepted the prioritization model/process, and staff have approved the asset program project list, do not require separate Transportation



Commission approval and as such the initial budget action can be approved by OFMB staff immediately, or

- b) Projects from programs where the Commission has not accepted the prioritization model/process, require budget action approval by the Transportation Commission. As such, the region shall submit a budget action no later than the 25th day of the preceding month in order to be included for Commission approval.

- Funding adjustments such as bid adjustments or CMOs
 - a) Less than 10% or less than \$250,000 above the original approved amount do not require TC approval
 - b) Between 10%-15% or between \$250,000-\$500,000 above the original approved amount requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO
 - c) Greater than or equal to 15% and greater than or equal to \$500,000 or greater than or equal to \$5,000,000 above the original approved amount require TC approval

Key Benefits

Approval of the project selection process eliminates the need for Commission review of individual project lists, and requires asset managers to use their asset management programs and systems to make data driven project selections.

Next Steps

In September, staff will present processes for the remaining asset programs (bridge, buildings, road equipment, ITS, signals, geohazards, tunnels, walls, and culverts). MLOS does not have traditional projects, thus no project selection process is available.

Attachments

Surface Treatment Asset Program Project Selection Process



Surface Treatment Project Selection Process

8/3/2014

Introduction

CDOT is responsible for over 9,100 centerline miles of highways system, accounting for over 23,000 lane miles of pavement. Of this total, approximately 18 percent of the State's lane miles are on the Interstate system, and over half of the lane miles CDOT is responsible for are not included as part of the National Highway System.

Performance Metric and Target

CDOT's main measure of pavement condition is "Drivability Life" (DL). DL is an indication, in years, of how long a highway will have acceptable driving conditions. An acceptable driving condition is a function of smoothness and safety, as determined by the measured roughness and amount of pavement distress. Unacceptable pavement condition does not mean impassable; it means that drivers must reduce speeds to compensate for less than desirable driving conditions, navigate around potholes, or endure rough rides. Drivability standards for condition assessment vary between highway classifications, with Interstates having the highest CDOT drivability standards. To determine DL for a segment of highway (0.5-5.0 miles in length), CDOT conducts a trend analysis using the following distresses:

- International Roughness Index (IRI);
- Rutting;
- Transverse cracking;
- Longitudinal cracking;
- Fatigue cracking (for asphalt only); and
- Corner break (for concrete only).

The predicted future point at which any one of these distresses surpasses a predefined drivability threshold defines the DL of that segment. DLs are then grouped into three categories:

- High DL – Greater than 10 years;
- Moderate DL – From 4 to 10 years; and
- Low DL – 3 or fewer years.

Performance Target

- Maintain 80 percent High/Moderate Drivability Life for Interstates based on condition standards and treatments set for traffic volume categories.
- Maintain 80 percent High/Moderate Drivability Life for the National Highway System (NHS), excluding Interstates, based on condition standards and treatments set for traffic volume categories.
- Maintain 80 percent High/Moderate Drivability Life for the State highway system based on condition standards and treatments set for traffic volume categories.

Project Selection Process

As illustrated in the below process diagram, Division of Project Support staff runs a statewide pavement analysis to optimize treatments to segments over many years for the entire pavement system. That statewide analysis generates a list of recommended statewide project segments. The cost associated with all recommended work in each Region is totaled and used to determine the percentage of the statewide surface treatment budget directed by the PMS to each Region. Those percentages are used to establish statewide planning budget distributions per

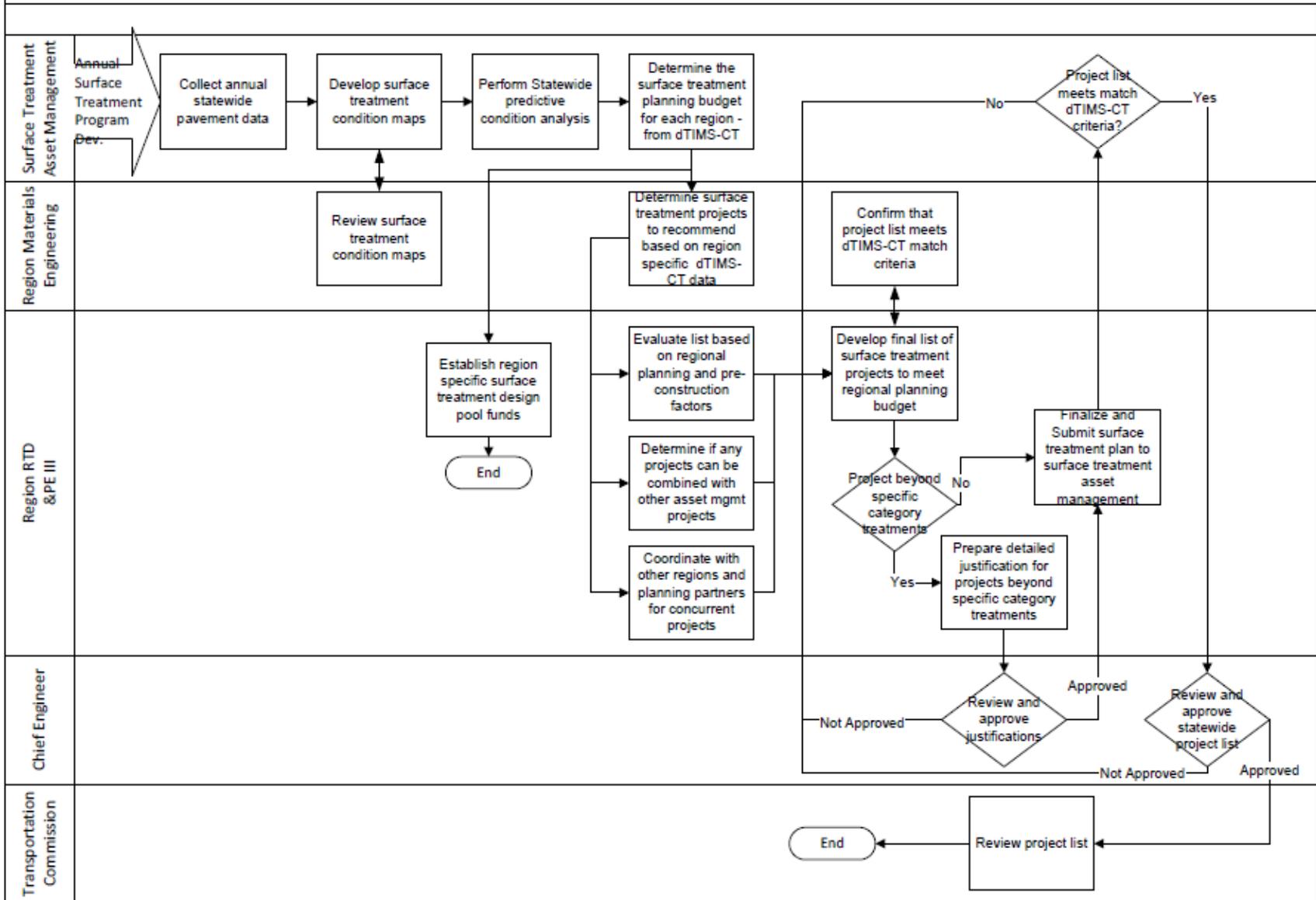
Chief Engineer Policy Memo (PM) 19. The planning budgets assigned to each Region are then used to run a second more refined PMS project analysis in each Region to generate a specific regional PMS list of recommendations. Chief Engineer Policy Memo 10 states that a minimum of 70 percent of surface treatment projects shall match model recommendations. Chief Engineer Policy Memo 7 constrains surface treatment funding expenditures to bid items that are deemed essential to improving pavement surface condition. Policy Memo 18 details preventive maintenance requirements. The Pavement Design Manual establishes the allowed treatment types for each traffic-based pavement category. All of these controlling documents establish rules to be satisfied during the regional planning process. The goal of the regional planning process is a three- to five-year surface treatment plan. The regional planning over this longer period facilitates the complex design, clearance, and delivery of construction projects.

All proposed projects from the regional planning process are gathered into a statewide portfolio for the Surface Treatment Program. Before the surface treatment portfolio is finalized, the proposed list of construction projects and the PMS-recommended project locations are reviewed by Division of Project Support staff to ensure that at least 70 percent of the statewide projects match. Budgeting of individual approved projects is made from a single statewide surface treatment pool.

There are also funds assigned to pavement maintenance activities as part of the Maintenance Levels of Service program (MPA 150).

Process: CDOT – Surface Treatment Asset Management
Sub-Process: Surface Treatment Asset Program Development
Prepared by: Dye Management Group Inc

File: CDOT surface treatment Asset Management V
Date: 10/8/2013
Page: 1/1





4201 East Arkansas Avenue, Room 262
 Denver, CO 80222-3400

MEMORANDUM

TO: Transportation Commission
 FROM: David Fox, Property Management Deputy Program Manager
 DATE: August 1, 2014
 SUBJECT: Denver Headquarters Relocation Potential

Purpose:

In June, 2014, Staff made a presentation to the Commission regarding the financial implications and strategy for a potential relocation of the Denver CDOT headquarters complex. The Commission requested staff provide additional information on the following topics:

Background:

Financial Sensivity Analysis

Staff worked with Jones Lang Lasalle to create a sensitivity model. The model can be sensitized by inputing different variables for construction costs, financing rates and terms and building size. The table below shows a range of those variables that Staff feels incorporate the high and low ends of the financial risk spectrum.

		15 Year COP - 3.5%					
		85% Total Cost Estimate - \$339 PSF		100% Total Cost Estimate - \$399 PSF		115% Total Cost Estimate - \$459 PSF	
		Initial Investment (\$M)	Net NPV (\$M)	Initial Investment (\$M)	Net NPV (\$M)	Initial Investment (\$M)	Net NPV (\$M)
Baseline - Renovate Existing HQ	552 Employees 344 SF / Employee 190,000 SF	(\$13.9)	(\$29.1)	(\$16.3)	(\$31.3)	(\$18.8)	(\$33.5)
BTS New HQ	552 Employees 200 SF / Employee 110,400 SF	(\$25.9)	(\$18.4)	(\$32.5)	(\$24.5)	(\$39.1)	(\$30.5)
BTS New HQ	552 Employees 250 SF / Employee 138,000 SF	(\$35.3)	(\$26.7)	(\$43.5)	(\$34.2)	(\$51.8)	(\$41.8)
BTS New HQ + R1	706 Employees 200 SF / Employee 141,200 SF	(\$36.3)	(\$27.6)	(\$44.8)	(\$35.4)	(\$53.2)	(\$43.1)
BTS New HQ + R1	706 Employees 250 SF / Employee 176,500 SF	(\$48.3)	(\$38.1)	(\$58.9)	(\$47.8)	(\$69.4)	(\$57.5)



The table above shows that the lowest NPV of a new build to suit HQ project would be \$18.4M if the building was programmed for 200 sf/FTE at 85% of the projected construction cost. The highest NPV for the project would be \$57.5M if R1 is included in the move, the sf/FTE is adjusted to 250 and the construction cost is increased by 15% from what is projected.

Options and Recommendations:

Project Delivery Methods

In conjunction with Jones Lang LaSalle, Staff evaluated three typical project delivery methods:

1. Developer led model
 - a. RFP for development partner
 - b. Developer financed
 - c. Disposition of existing HQ included in RFP
2. Site owner controlled build to suit
 - a. Site owner is development partner
 - b. Site owner financed
 - c. May require separate RFP for disposition of existing HQ Campus
3. Tenant/Broker led model
 - a. No development partner
 - b. CDOT hires design build team
 - c. Reduced development fees
 - d. Requires separate transaction for disposition of existing HQ Campus

Staff is recommending a hybrid model that combines elements from each of the above models. The proposed hybrid model allows CDOT to select a development partner through an RFP process prior to site selection, reduce the cost of the project by self financing, control the site selection and design process as well as the ability to align the disposition of the existing HQ campus with the occupancy of a new building. The hybrid model also allows for a design-build contracting process that increases speed to market.

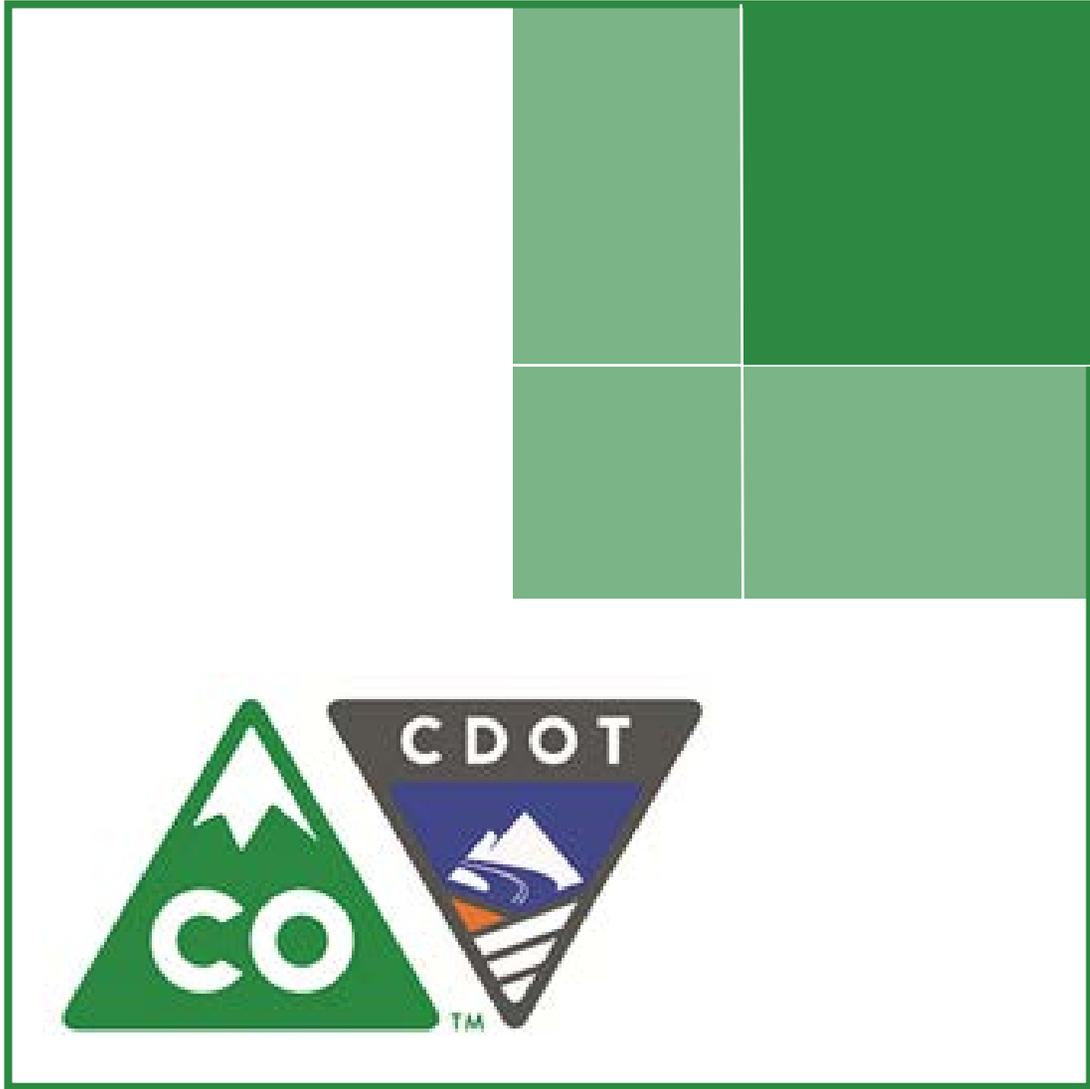
Estimated Project Schedule

By using the hybrid project delivery model described above, Staff estimates that contractor procurement, site selection, site due diligence, site acquisition and ground breaking could all be completed by May, 2015. Construction of a building this size would likely take an additional 12-18 months.

Next Steps:

Staff is requesting direction on how proceed with the next steps of this project:

1. Proceed with the hybrid project development model described above
2. Proceed with an alternative project delivery method as recommended by the Commission
3. Return to the Commission at a subsequent meeting with additional information



Defining the future

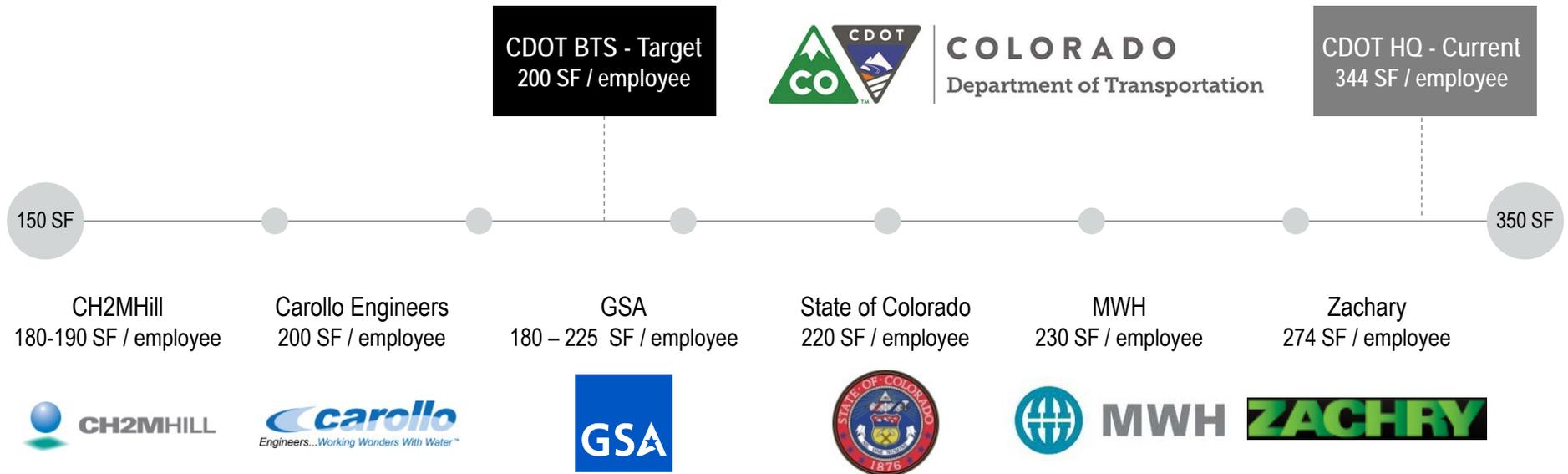
Headquarter location study
Presented to the Colorado Department of Transportation

August 2014



Engineering Benchmarking

Square feet per employee



Sensitivity Analysis

15 Year COP – 3.5%

Key Variables

	<u>Baseline</u>		<u>Build to Suit</u>	
Size of Building	190,000		110,400	
Total Cost PSF	\$86	100%	\$399	100%
Net Sale Proceeds	\$0		(\$11,540,740)	100%
COP Rate	3.5%		3.5%	
Amortization	15		15	
Operating Expenses	\$9.60		\$8.00	
Capital Reserve	\$1.26		\$1.10	
Residual Value	(\$16,750,232)	100%	(\$36,078,576)	100%

15 Year Summary of Costs - Financial Comparison (Estimated)

	Baseline - Renovate HQ	Build to Suit - Buy
Square Footage	190,000	110,400
Total Cost	(\$16,340,000)	(\$44,049,600)
Less: Sale of Existing Facility	\$0	\$11,540,740
Total Net Cost	(\$16,340,000)	(\$32,508,860)
Total Cost Over Term	(\$56,415,017)	(\$59,433,906)
Less: Projected Residual Value	\$16,750,232	\$36,078,576
Total Net Cost	(\$39,664,785)	(\$23,355,330)
NPV of Total Costs Over Term @ 5%	(\$39,230,314)	(\$41,558,972)
Less: NPV of Projected Residual Value	\$7,924,588	\$17,068,888
Total Net NPV	(\$31,305,726)	(\$24,490,084)

Delta

(\$6,815,642)

Sensitivity Table

		15 Year COP - 3.5%					
		85% Total Cost Estimate - \$339 PSF		100% Total Cost Estimate - \$399 PSF		115% Total Cost Estimate - \$459 PSF	
		Initial Investment (\$M)	Net NPV (\$M)	Initial Investment (\$M)	Net NPV (\$M)	Initial Investment (\$M)	Net NPV (\$M)
Baseline - Renovate Existing HQ	552 Employees 344 SF / Employee 190,000 SF	(\$13.9)	(\$29.1)	(\$16.3)	(\$31.3)	(\$18.8)	(\$33.5)
BTS New HQ	552 Employees 200 SF / Employee 110,400 SF	(\$25.9)	(\$18.4)	(\$32.5)	(\$24.5)	(\$39.1)	(\$30.5)
BTS New HQ	552 Employees 250 SF / Employee 138,000 SF	(\$35.3)	(\$26.7)	(\$43.5)	(\$34.2)	(\$51.8)	(\$41.8)
BTS New HQ + R1	706 Employees 200 SF / Employee 141,200 SF	(\$36.3)	(\$27.6)	(\$44.8)	(\$35.4)	(\$53.2)	(\$43.1)
BTS New HQ + R1	706 Employees 250 SF / Employee 176,500 SF	(\$48.3)	(\$38.1)	(\$58.9)	(\$47.8)	(\$69.4)	(\$57.5)

Less Expensive Than Baseline
< 10% More Expensive Than Baseline
> 10% More Expensive Than Baseline

Project Delivery

Fee developer model

DESCRIPTION

- RFP to select fee development partner prior to site selection
- Tenant hires interior architect
- Design build
- Tenant provides debt / equity
- Tenant controls disposition process
- Existing HQ may be included in RFP

PROS

- Design control
- Flexibility in site selection
- Speed to market
- Reduced cost due to limited developer fees
- Reduced cost due to debt and equity
- RFP for existing HQ

CONS

- Design coordination
- Financing risk

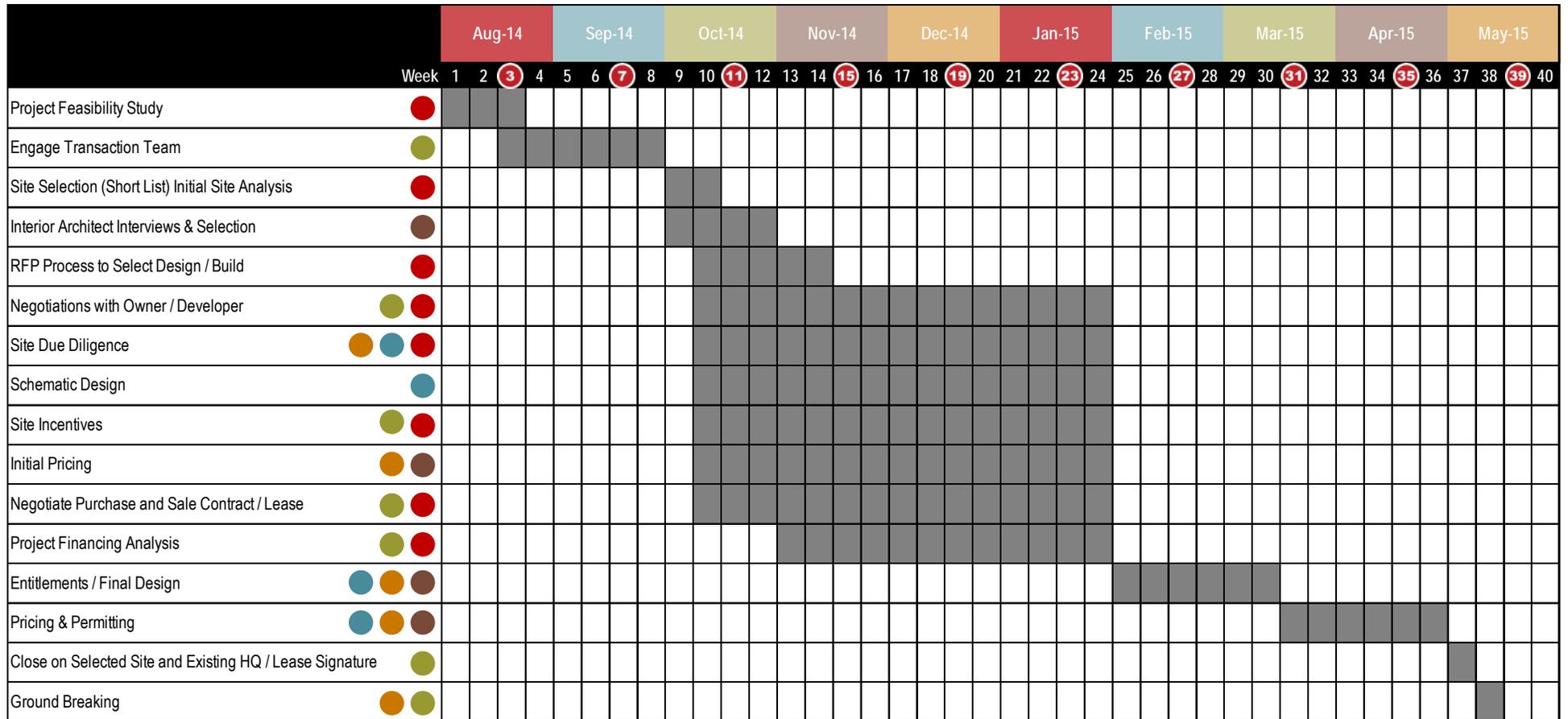
ADDITIONAL CONSIDERATIONS

- Tenant controlled site selection reduces developer fees (e.g. land mark-up)
- Desired site may be developer controlled (e.g. only available for build-to-suit)
- Hire interior architect to design the building from the inside out for programmatic control
- Will require coordination between interior architect and design build architect
- Design build provides enhanced speed to market
- Tenant financing eliminates developer yield on debt and equity, but creates financing risk
- Ability to align disposition timeline of existing HQ with delivery of new build-to-suit

Steps & Timeline

Roles & Responsibilities

= Transportation Commission meetings – 3rd Thursday of each month



● CDOT

● JLL

● Project Manager

● Architect

● Developer



COLORADO Transportation Commission

4201 East Arkansas Avenue, Room270
Denver, CO 80222-3406

DATE: August 20, 2014
TO: Transportation Commission
FROM: Amy Ford, Director of Communications
SUBJECT: CDOT Flood Webpage and 1-year anniversary activities

Purpose

To update the Commission on the activities associated with 1-Year anniversary of 2013 flood event along with a presentation on improvements made to the flood webpage on CDOT's external website.

Action

No action is required by the Commission. This is an informational item.

Background

CDOT 1-year anniversary: CDOT will be commemorating the first anniversary of the 2013 floods with video demonstrating what the agency is doing to fulfill the Governor's direction of "rebuild back better than before". The video will focus on addressing recovery, risk and building resiliency back into the system. The intent is to show the progress CDOT has made to date as well as what to expect for upcoming permanent project activity.

The anniversary events will include a media event/tour of two sites heavily impacted by the floods, potentially a ribbon cutting on US 36 with the Governor, and the publishing of the 1-year report by the Colorado Recovery Office that will highlight CDOT's accomplishments, challenges and opportunities. In addition, CDOT staff will be participating in the Colorado United Day of Service scheduled for September 13, 2014 as a way of giving back to the communities hit hardest by the flood. See attached materials.

Website: Since the Flood of 2013, CDOT has worked hard to keep the public informed about how the agency is responding to the flood with project information, road closures, emergency response work and contract activity. Now that projects are moving into permanent repair, timely communication becomes even more critical. The Flood page on the CDOT external website has been updated to include:

- More state permanent repair project descriptions including the early out projects scheduled for groundbreaking or ribbon cutting this year;
- A GIS based interactive map that shows the color coded status of each project along with general project information;
- Flood photos depicting images before and after the event along with disaster photos taken by the Civil Air Patrol; and
- Local agency project identification that can connect users to the corresponding local agency websites.

COUnited 1-year anniversary: CDOT will be participating with the Colorado Recovery Office and Serve Colorado in the Colorado United Day of Service to commemorate the one year anniversary of last fall's historic flooding. On Saturday, September 13th, volunteers from every part of Colorado, including volunteers from CDOT and other state agencies, will be encouraged to participate in a statewide day of community service dedicated to rebuilding, revitalizing and reinvigorating our communities from the effects of natural disasters.



Details

The Communications office will present a screen shot of the webpage and demonstrate what information can be found along with several drop down pages. Knowing what information is available on the flood webpage will assist the Commission in answering constituent questions and help guide interested parties to more detailed information. This presentation is part of CDOT's official rollout of the webpage improvements.

Attachments

Flood PPT

Information on Colorado United's Day of Service, September 13, 2014

Next Steps (if applicable)

The Communication's office will notify the Commission of all events so that Commissioner's can participate as appropriate.



Through fires and floods, Colorado stands stronger together.
With the help of volunteers in every community,
we are rebuilding, reinventing and reinvigorating
Colorado's flood and fire damaged communities.

Join us
Saturday, September 13th, 2014

Colorado United

Day of Service

Together. A Stronger Colorado.

Volunteer for a service project near you at:
www.coloradounited.com





COLORADO
Department of
Transportation



Flood Recovery One Year Communications



Flood Communications

- CDOT 1-year anniversary:
 - Video
 - Event (media tour and US 36 major completion)
 - COUnited Day of Service
 - Website





Flood Website

File Edit View Favorites Tools Help
 Vision 7 Web Slice Gallery 8264-25 - CDOT Retain...

CDOT DEPARTMENT OF TRANSPORTATION Taking care to get you there

HOME TRAVEL CENTER NEWS BUSINESS CENTER PROGRAMS PROJECTS ABOUT CDOT LIBRARY

home : projects : flood-related projects

Quick Links

- Projects
- American Recovery & Reinvestment Act
- Active Construction Projects
- Studies & Assessments
- Over the River Fact Sheet
- Coping with Construction
- Flood-Related Projects**
 - Impact & Continued Risk
 - Repairs
 - Local Agency Projects
 - Funding Sources for Transportation Infrastructure Repairs
 - Additional Flood Recovery Information
 - Flood Map
 - US 34 Big Thompson Canyon
 - US 34 East
 - US 34 Business in Weld County
 - US 36 Lyons to Estes
 - I-25 East
 - I-225 in South Denver
 - SH 7 Lyons to SH 72
 - SH 39 in Morgan County
 - SH 60 in Weld County

Flood-Related Projects

Flood Overview

In September, 2013, a slow-moving cold front stalled over Colorado, clashing with warm humid air from the south, resulting in a severe rain event that lasted a week and caused catastrophic flooding and damage along Colorado's Front Range. Rain began the afternoon of Monday, Sept. 9, and intensified throughout the week. In Boulder, just one of the many hard-hit communities, rainfall for the week exceeded 18 inches, contributing to a monthly rainfall total far exceeding any other month since recording began in 1893. Boulder's average September rainfall is less than 3.4 inches!

The first reported mudslides resulting from the intense rains occurred on Wednesday, Sept. 11. Flood impacts were widespread, particularly across northern Colorado, where rockslides, landslides, mudslides and washouts caused major damage and, in some cases, total destruction of residences, roadways and local access bridges. Flooding was so severe that it fully re-routed creeks and rivers by more than 500 feet in some locations.

Colorado Governor John Hickenlooper declared a disaster emergency on September 12th. Two days later, a Major Disaster Declaration was issued (DR-4145) by President Obama for federal aid to supplement state and local recovery efforts in the area affected by severe storms, flooding, landslides and mudslides. Initially the presidential declaration included 14 counties, but four counties gained funding from the original declaration due to CDOT's rapid response and compilation of detailed damage assessment reports that demonstrated the need for additional assistance.

Counties covered by the Governorial and/or Presidential declarations include the following:

1. Adams**	13. Lake**
2. Arapahoe**	14. Larimer**
3. Boulder**	15. Lincoln**
4. Broomfield**	16. Logan**
5. Chaffee**	17. Morgan**
6. Clear Creek**	18. Otero**
7. Crowley**	19. Park**

September 2013 Floods - CDOT's Story

Permanent Restoration Projects

- Planned
- In Design
- In Construction
- Complete

Media Contacts

Jared Fiel
 CDOT Communications Office
 jared.fiel@state.co.us

Amy Ford
 CDOT Communications Director
 amy.ford@state.co.us

Sign up for project updates

3



Flood Website

2013 FLOOD RECOVERY EFFORT

On/Off

Project Information

- Permanent Restoration Project
 - Planned
 - In Design
 - In Construction
 - Complete
- Completed Emergency Project
- Local Agency Project
- Before / After Photos
- Civil Air Patrol Photos
- County Declarations
 - Presidential & Governorial
 - Governorial

Legend

HOW TO USE:
 USE LEGEND CONTROLS TO DISPLAY OR HIDE PROJECT INFORMATION AND PHOTOS ON THE MAP. CLICK MAP FEATURES TO LEARN MORE ABOUT THEM AND TO OPEN IMAGES.

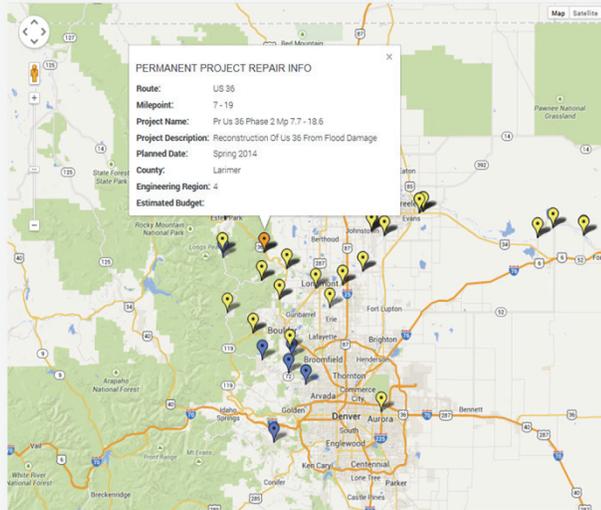
DATE DATA LAST REVISED: June 30, 2014

4



Flood Website

2013 FLOOD RECOVERY EFFORT



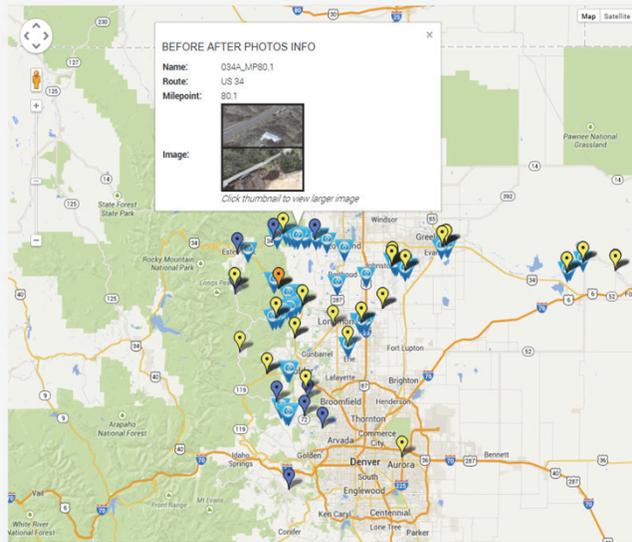
On/Off	Project Information	Legend
<input checked="" type="checkbox"/>	Permanent Restoration Project <ul style="list-style-type: none">PlannedIn DesignIn ConstructionComplete	
<input checked="" type="checkbox"/>	Completed Emergency Project	
<input type="checkbox"/>	Local Agency Project	
<input type="checkbox"/>	Before / After Photos	
<input type="checkbox"/>	Civil Air Patrol Photos	
<input type="checkbox"/>	County Declarations <ul style="list-style-type: none">Presidential & GubernatorialGubernatorial	

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Flood Website

2013 FLOOD RECOVERY EFFORT



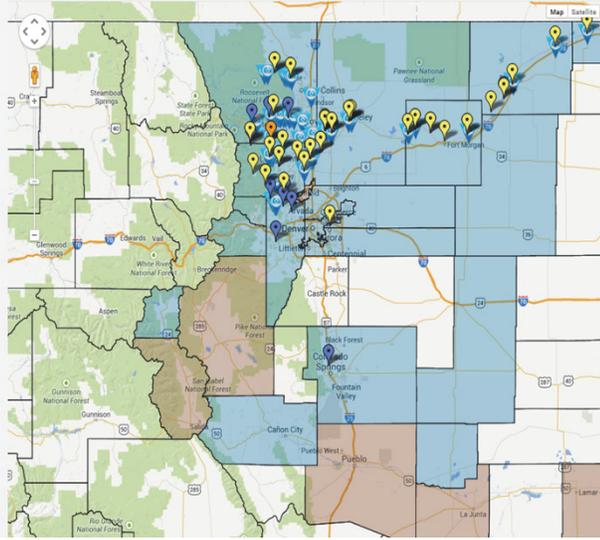
On/Off	Project Information	Legend
<input checked="" type="checkbox"/>	Permanent Restoration Project <ul style="list-style-type: none">PlannedIn DesignIn ConstructionComplete	
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Flood Website

2013 FLOOD RECOVERY EFFORT



On/ Off	Project Information	Legend
<input checked="" type="checkbox"/>	Permanent Restoration Project <ul style="list-style-type: none">• Planned• In Design• In Construction• Complete	
<input checked="" type="checkbox"/>	Completed Emergency Project	
<input type="checkbox"/>	Local Agency Project	
<input checked="" type="checkbox"/>	Before / After Photos	
<input type="checkbox"/>	Civil Air Patrol Photos	
<input checked="" type="checkbox"/>	County Declarations <ul style="list-style-type: none">• Presidential & Governorial• Governorial	

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DATE DATA LAST REVISED: June 30, 2014

Transportation Commission of Colorado
Regular Meeting Minutes
July 17, 2014

Chairman Ed Peterson convened the meeting at 9:05am in the auditorium of the headquarters building in Denver, Colorado.

PRESENT WERE: Ed Peterson, Chairman, District 2
Kathy Connell, Vice Chairman, District 6
Shannon Gifford, District 1
Gary Reiff, District 3
Kathy Gilliland, District 5
Sidny Zink, District 8
Les Gruen, District 9
Steven Hofmeister, District 11

EXCUSED: Heather Barry, District 4
Doug Aden, Chairman, District 7
Bill Thiebaut, District 10

ALSO PRESENT: Scot Cuthbertson, Deputy Executive Director
Gary Vansuch, Director of Process Improvement
Debra Perkins-Smith, Director of Division of Transportation
Josh Laipply, Chief Engineer
Heidi Humphreys, Director of Admin & Human Resources
Barb Gold, Audit Director
Amy Ford, Public Relations Director
Scott Richrath, CFO
Herman Stockinger, Director of Policy and Government Relations
Mike Cheroutes, Director of HPTE
Mark Imhoff, Director of Division of Transit and Rail
Ryan Rice, Director of the Operations Division
Darrell Lingk, Director of the Office of Transportation Safety
Tony DeVito, Region 1 Transportation Director
Tom Wrona, Region 2 Transportation Director
Dave Eller, Region 3 Transportation Director
Kerrie Neet, Region 5 Transportation Director
Kathy Young, Chief Transportation Counsel
John Cater, FHWA
Vince Rogalski, Statewide Transportation Advisory Committee (STAC)

AND: Other staff members, organization representatives,
the public and the news media

An electronic recording of the meeting was made and filed with supporting documents in the Transportation Commission office.

Audience Participation

Colorado State Senator Matt Jones stated that he represents Louisville, Longmont, Lafayette and part of Erie. He wanted to speak on I-70 East process and the HPTE process. He stated that he appreciated the Commission's service, which he has expressed at other times, including confirmations. He stated these are Coloradans' roads and their money. They deserve to have a real voice in the process and the outcome. The staff decision to recommend one HPTE option was decided prior to the public meeting required in the Executive Order and that would have been required in the bipartisan bill. After all the fallout over the handling of the US36, it appears that little has really changed.

He stated that he wanted to speak briefly about the public participation process and the Value for Money study. He asked what public participation was about and stated that he used to do that professionally as part of an international organization that facilitated this. He stated that there are two purposes. The first is to inform people, and the second is to listen and be open to change, look for good ideas to incorporate.

In the June 19 memo written for the previous Commission meeting, it stated that staff would recommend one option to the Commission (Design – Build – Finance – Operate – Maintain [DBFOM]) before the public meeting had even been held. He stated that he and other legislators were concerned because he had been told that this was not final and no decisions had been made. He stated that once the decision has been referred to the HPTE the chance of it not being done is significantly diminished, and he stated the public needed to know that. He attended the public hearing and did not hear once about the current meeting and the current decision. He stated that he may have missed it, but the people there did not know that the Commission would be making a big decision today, not the final decision but a decision that will be hard to reverse. He stated that the following day the agenda was already posted for the current meeting, and there was a memo with the staff recommendation for the Commission to proceed with the single option. That memo had to have been written before the town hall occurred and before the people were listened to.

He then stated that the Value for Money study looked like it had been written by a contractor for a contractor. It played up all the positives, and the drawbacks were not monetized in the study. For instance, he asked what the cost of a potential bankruptcy would be. He asked what the cost would be to a citizen trying to determine what was going on with I-70 and trying to figure out how HPTE fits into the equation. He asked what the cost of policy changes that would be stopped because the state previously entered a 40- or 50-year contract. This was discussed at the town hall, but it was not specific to the issue that the Commission will decide at the current meeting. He then stated that the biggest flaw is that this entire process says that private contractors can oversee this project better than CDOT. He stated that he had confidence in CDOT, the Department that brought TREX early and under budget and fixed all the flood damage by December 1, 2013, when no one thought it was possible. He stated that he believed CDOT could do this project but that the study says that CDOT cannot.

He stated that he spoke to staff and his Commissioner as soon as he saw the memo. He stated that he believed CDOT was in a place to make some of the same mistakes

that were made on US 36 but that the Commission was still able to avoid those mistakes. He asked the Commission to delay the decision rather than making it at the current meeting. He asked the Commission to look at the analysis and make it a balanced analysis. He asked them to hold a town hall to discuss this specific issue. He stated that he has heard no decision has been made but that the truth is the Commission is making a very big decision. He stated that those decisions would delay things and possibly hurt the project. But he stated that if this is the New Era in transportation, as it says in the materials, then more companies will come into competition, which means that there is no rush to make these decisions. He stated that the more important issue right now is to listen to the people who are going to be affected the most, think about what they say, not pre-judge it and not run a process to act like people are being listened to when they are not being listened to. He stated that those were his requests to the Commission today.

He stated that a staff member gave him the new, red-lined resolution. He stated that those changes increased a 5% chance that the decision may be reversed to a 7% or 8% chance that the decision will be reversed. This is a huge decision that the public did not know about and deserved to know about. These are their roads. They need to have a meaningful voice in this process.

Commissioner Reiff stated that he has tremendous respect for Senator Jones. He stated that the language added to the resolution belonged to himself from the HPTE meeting the previous day. He stated that he does not want to pre-judge the public process. He understands the need to start a process because if nothing is started, it is hard to get anywhere. However, he stated that he wants it to be perfectly clear in the resolution that as one Commission he does not believe this is a foregone conclusion. However, it is necessary to start a process but as a Commission he will want to hear the final analysis and hear the input as the process progresses. He wants to be absolutely clear that the Commission can retract the referral and modify the decision. He stated that he believed that needed to be expressed in the resolution. He stated that he heard the Senator's concerns and to some degree shared those concerns. He stated that he has already started the conversation with Director Cheroutes about whether the finance part of the DBFOM is right now. He stated it must be looked at as an economic issue. He stated that as a Commissioner and as a Board member of HPTE, he has not pre-judged this issue. He stated that he appreciates the Senator's time and comments.

Senator Jones stated that he appreciated Commissioner Reiff's comments but that everyone knows how these things work. He stated that he had worked in government for most of his life as a staff member and as a legislator. He stated that when a staff member makes a referral, that staff member should be relatively certain that their recommendation is going to happen. Once that recommendation is "sanctified" by the decision-making body, the difficulty in reversing that is huge, probably around 5%. The fact is that only one alternative is being recommended for study. He stated that it would not be such an issue if it was Design-Build through HPTE or Design-Build through the Department as has been traditionally done and like TREX was done. This is setting a course to dial in on a single option that the people in the public hearing or on the telephone town hall likely did not understand. This is a very big decision that should have been told to the public, and there should have been an entire open house around this one issue. He stated that people are going to get upset because they came to the town hall and were not informed about this big decision. He stated

this is US 36 all over again. He stated that he asked himself why he is still going after this topic because US 36 is done. He is happy to have the road, but he is not happy with the financing and the way that the financing happened. These are the public's roads. This is our responsibility to do this right. To do this right, this decision needs to be delayed and the people need to be told exactly what is going on. Then they need to be listened to. The financing will be 30, 40, 50, 60 years. They need to be given the opportunity to have a real opinion, and CDOT needs to be open to changing theirs. He stated that he appreciated the change in the resolution but it has to be much bigger than that. The prejudgment of the outcome before the public meeting will haunt the Commission. People will be angry, and he only wants to give people a voice. He thanked the Commission for their time and service.

Chairman Peterson stated that since this was a time for public comment, there would not be discussion. He did want to give Commissioner Reiff an opportunity to comment as the author of the changes to the resolution. He thanked Senator Jones for taking the time to address the Commission. He stated that the Commission takes these comments very seriously.

Individual Commissioner Comments

Commissioner Gifford stated that most of the work she has done for the last month has been meeting with individual council members with CDOT staff to discuss the financing plan for I-70E. This is a complex subject, so people needed a time to familiarize themselves with it. She stated that she thought the process was further along than it seems to be currently. CDOT has gotten good feedback from the council members and from the recent public meeting.

Commissioner Connell thanked the staff and the chairman for putting together the retreat for the Commission the two previous days.

Chairman Peterson thanked everyone who participated in the retreat. He stated that there was much accomplished. This will be great year full of challenges and full of opportunities. He is excited about the level of engagement between the staff and the Commission. He appreciates the dedication of the organization and the other Commissioners.

Executive Director's Report

Commissioner Peterson stated that Executive Director Don Hunt was traveling during the meeting but left comments to be included under the Executive Director's report. Commissioner Peterson read those comments:

He thanked Henry Sobanet for attending the meeting to brief the Commission on Senate Bill 228. A TC workshop is expected during the month of August 2014 to begin discussing full project development for Senate Bill 228 over the five year intended term. Regarding a "New Transportation Model," including pay for premium services and express lanes, incorporating private sector innovation, better systems management to reduce congestion, HPTE Director Michael Cheroutes and the CDOT Executive Director met with four editorial boards from *The Denver Post*, *The Business Journal*, *The Boulder Camera* and *The Aurora Sentinel*. A meeting with Stan Hilkey, the new Executive Director of the Colorado Department of Public Safety, agreed to

redouble the cooperative efforts on Colorado State Patrol coordination for the I-70 Mountain Corridor and incident management response for quick clearance. He offered a special thanks to Regions 1, 3 and 4 in which the Executive Director rode in the Fourth of July parades with his grandson in the restored 1939 Coleman snow plow, a beautiful restoration done by CDOT employees. It was towing an Army Howitzer used for avalanche control on Berthoud and Loveland passes.

Chief Engineer's Report

Josh Laipply stated that he enjoyed the retreat as well and thanked the Commission for the opportunity to participate. He stated that he wanted to address the bid rejections that have been previously mentioned. So far in the month of July, ten bids have been opened, and five of those were rejected at the table. It is an ongoing issue, and CDOT is collecting a lot of information around it. There is a meeting with CCA on July 21, 2014. They will discuss the issue and the best way to move forward. He anticipated coming back to the Commission in August 2014 to discuss the results and possible mitigation measures to overcome the current issues. There are many issues at play including the timing of the market and the market conditions. This is one of the big issues impacting the program currently.

High Performance Transportation Enterprise (HPTE) Director's Report

Michael Cheroutes stated that the HPTE Board met in regular open session on July 16, 2014. They discussed multiple pending and potential matters. An update on the US 36 project showed that everything is on schedule. There was a short discussion on Peak Period Shoulder Lanes and the potential for getting that project accelerated with innovative financing, not including the Public-Private Partnerships. He stated that he spent a lot of time in outreach over the last three or four weeks, meeting with editorial boards from areas of the I-70E project. Those meetings were informative in both directions. They spent time in one-on-one sessions with ten members of the Denver City Council discussing the I-70E project and in particular the options that are on the table for financing and delivering that project. Those discussions included two or three hours with Councilwoman Montero, who led a thorough discussion of what was going on and what the schedule was. HPTE participated in two town halls, including a telephone town hall and a session at the rec center in Swansea. The project and the prospects were discussed in great detail.

Yesterday, the HPTE Board adopted its public transparency policy, which flows from the Governor's Executive Order that was issued in connection with his action on Senate Bill 197. The Transparency Policy mirrors the transparency aspects of Senate Bill 197 almost exactly. In addition, the Board considered a number of public comments that came in regarding that policy. A key one included consideration of transit in connection with any kind of financing that the HPTE looks at.

HPTE also took action on a resolution recommending, subject to further input and analysis, that the HPTE be given the authority to pursue as one of the options on the table a Public-Private Partnership for the I-70E corridor. He stated that he will address that more when the item comes up on the agenda.

FHWA Division Administrator Report

John Cater stated that they received the annual summary of CDOT's research projects. He stated that there was an analysis of the full closures of facilities. It was broader than closing only the freeways, and it looked at the cost-benefit analysis of that. It was an eye-opening report about how effective that can be and what an important tool it is to have in the tool box. A complete closure for a limited period of time can have a smaller impact on the public overall than trying to maintain limited traffic through the facility over weeks or months, depending on the scope of the project. One coming up will be the I-25 Gap Project, which will be a total closure of I-25. This is a prudent way to go. There will be a quality product with much less disruption to the public than trying to do it in traffic for weeks on end.

Secondly, CDOT has been working very hard with FHWA to address inactive projects, projects for which the money has been obligated but there has been no expenditure for a year. This is a prominent issue because the Highway Bill is being reauthorized, the Trust Fund needs to be addressed and an appropriations bill that needs to happen. So there is a lot of spot light on the highway program. The last thing that CDOT wants is to be sitting on large amounts of money that are not being used. It is difficult to overemphasize how important it is to address inactive projects. Steve Markovetz and Richard Zamora have done a great job working with FHWA, especially on local projects. These tend, more often than not, to be locally handled projects. This issue will remain a politically important topic.

Finally, he stated that he wanted to make the Commission aware of legislative changes and how those locally impact Colorado. The good news is that it is likely that a bill will be passed to fill the gap in the Trust Fund. It has already passed the House and will likely pass the Senate soon. It will include an extension on MAP-21 through May. One of the consequences of that bill is that it sets the operating funds for FHWA at a lower level than in the past. That was not expected, so there will be a hit to the local federal highway office. There will be a 3% cut in operating costs, which does not sound like much but the only place take that from is personnel. There is currently a hiring freeze, restricted travel and staff reduction through attrition. As an example, delegates were not able to attend WASHTO. That said, everyone is pleased that there is a reauthorization of MAP-21, a fix for the Trust Fund and a longer term solution coming soon.

Act on Consent Agenda

Chairman Peterson asked if any commissioners wanted to remove an item or if there were any questions. Commissioner Reiff moved to approve the Consent Agenda with the exception Item C – Resolution to Repeal PD 81.0 and 82.0. Commissioner Connell seconded that motion. By unanimous vote of the Commission, Item C was pulled from the Consent Agenda. Chairman Peterson entertained a motion to approve the Consent Agenda without Item C. Commissioner Reiff moved to approve the agenda, and Commissioner Connell seconded the motion. Upon vote of the Commission, the Consent Agenda passed unanimously.

Resolution #TC-3173

BE IT HEREBY RESOLVED, that the Transportation Commission’s Regular Meeting Minutes for May 15, 2014, are approved as published in the official agenda of the June 18 & 19, 2014, meeting.

Resolution #TC-3174

Resolution #TC-3174

Establishing advocacy policies and priorities for the Moving Ahead for Progress in the 21st Century Act (MAP-21) reauthorization bill.

Approved by the Transportation Commission on July 17, 2014

WHEREAS, on July 6, 2012, the President of the United States signed into law a new transportation reauthorization bill, referred to as the “Moving Ahead for Progress in the 21st Century Act” or “MAP-21” (Public Law 112-141); and

WHEREAS, the MAP-21 is the primary federal law governing highway, bridge, transit, and transportation safety programs; and

WHEREAS, the MAP-21 will expire on October 1, 2014; and

WHEREAS, the White House and U.S. Department of Transportation transmitted to the U.S. Congress the “Generating Renewal, Opportunity, and Work with Accelerated Mobility, Efficiency, and Rebuilding of Infrastructure and Communities throughout America Act” or “GROW AMERICA ACT”; and

WHEREAS, the U.S. Senate has introduced and begun hearings on S. 2322, referred to as the “MAP-21 Reauthorization Act”;

NOW THEREFORE BE IT RESOLVED, that the Transportation Commission hereby approves the twelve policy priorities delineated in the following table for legislation reauthorizing the MAP-21.

NOW THEREFORE BE IT FURTHER RESOLVED, that the Department staff communicate the approved policy priorities to the Colorado congressional delegation members and staff.

Herman F. Stockinger III
Herman Stockinger, Secretary
Transportation Commission of Colorado

8-13-14
Date

Resolution #TC-3175

Resolution #TC-3175

Repeal of Policy Directive 1005.0 "Removal and Disposal of Wildlife Carcasses from State Highways and Rights-of-Way"

Approved by the Transportation Commission on July 17, 2014

WHEREAS, Policy Directive 1005.0 was adopted by the Transportation Commission on June 15, 2005; and

WHEREAS, Policy Directive 1005.0 set forth the policy CDOT follows to remove wildlife carcasses from state highways and rights-of-way; and

WHEREAS, Policy Directive 1005.0 served its purpose in 2005 by requiring the Department to work collaboratively with the Division of Wildlife and the Colorado State Patrol to develop a working process for the efficient removal of dead wildlife from state highways and rights-of-way; and

WHEREAS, as part of the Department-wide initiative to reduce the number of Policy and Procedural Directives, the Department recommends that Policy Directive 1005.0 should be repealed because the companion Procedural Directive 1005.1 has been updated to reflect current protocol.

NOW THEREFORE BE IT RESOLVED, the Commission herein repeals Policy Directive 1005.0 "Removal and Disposal of Wildlife Carcasses from State Highways and Rights-of-Way" as being no longer necessary.



Herman Stockinger, Secretary
Transportation Commission of Colorado

8-13-14

Date

Discuss and Act on the Resolution to Repeal PD 81.0 and 82.0 Drug and Alcohol Policy

Commissioner Reiff stated that the Commission has asked for the resolution to be delayed and discussed when staff has reviewed comments made by commissioners. Chairman Peterson entertained a motion to delay the resolution until a later time. Commissioner Reiff made a motion to delay, and Commissioner Connell seconded the motion. Upon unanimous vote of the Commission, the resolution was delayed until a subsequent meeting.

Discuss and Act on the Resolution to Approve the Transition Contingency

Scott Richrath stated that last month Executive Director Hunt recommended that there was a transition fund taken out the Transportation Commission Contingency. The Commission approved that and requested staff returns this month with a formal resolution to adopt that. The Transition Fund is intended to help projects that were previously eligible for funding but under new cash management principles or new FASTER Safety eligibility rules may find themselves a little short. Included in the resolution are criteria under which projects could seek funding under the Transition Fund. This would provide authority to use \$10 million. As projects are completed and come in under the total budgeted amount, those dollars would go back to the Transition Fund first. They would not be diverted to other programs. He respectfully

requested the Commission formally adopt the \$10 million Transition Contingency Fund.

Commissioner Reiff asked Scott Richrath to outline the criteria under which a project may be eligible for funds. Scott Richrath stated that for a project to be eligible as it seeks funding from the Transition Fund the project must do the following:

- 1) It must have been fully funded prior to rule changes that have now left it partially funded. A project that knew from Day 1 that it was a \$4 million project but only had \$3 million available will not be able to use this to supplement the original funding.
- 2) The project no longer qualifies for the type of funds that were originally budgeted. A project originally budgeted with FASTER Safety dollars that does not meet the new FASTER Safety criteria and finds that it needs an additional \$500,000 due to bids or other reasons would have the opportunity to come through seeking Transition Funds.
- 3) Funds can only be used for supplementing the budget to advertise the project when the Engineer's Estimate comes in over budget, supplementing the budget to award when bids come in over budget, supplementing the budget to fund a change order for unforeseen conditions relating to the original work not a simple scope increase, and supplementing the budget to close a project.

Approval levels would apply as stated under Policy Directive 703 that the Commission has in draft format under the Information Only tab and that staff will seek to have approved in August 2014. Requests greater than \$2.5 million should seek supplemental funding sources from other programs to reduce Transition Fund request below \$2.5 million. Because the entire fund is \$10 million, the purpose behind the clause is that one project does not take half the contingency.

Any project savings from projects with Transition Funding first revert back to the Transition Fund. It is a last in, first out source of funding for individual projects. Those are the staff recommended criteria, but those can be changed upon request of the Commission.

Chairman Peterson entertained a motion to approve the Transition Contingency resolution. Commissioner Gruen moved for the approval of the resolution. Commissioner Connell seconded the motion. Upon vote of the Commission, the resolution passed unanimously.

Resolution #TC-3176

Resolution #TC-3176

Approving the creation and implementation of a \$10 million Transportation Commission Legacy Fund

Approved by the Transportation Commission of Colorado on July 17, 2014

WHEREAS, pursuant to § 43-1-106(8)(h), C.R.S., the Colorado Transportation Commission ("Commission") is charged with promulgating and adopting all Department budgets; and

WHEREAS, the Transportation Commission Contingency Reserve Fund ("TCCRF") was established to provide the Commission with discretionary funding; and

WHEREAS, pertaining to certain programs, budgetary resources have ceased and/or selection criteria have changed; and

WHEREAS, projects utilizing these programs were selected and initially funded based on previous criteria; and

WHEREAS, the Commission and the Department staff recognize the need to anticipate and plan for unexpected increases to projects within these programs; and

WHEREAS, the Program Management Governance Committee has recommended qualifications pertaining to the usage of the proposed Transportation Commission Legacy Fund; and

WHEREAS, the Commission intends that Policy Directive 703.0 will define the requisite approval levels for both the TCCRF and the proposed Transportation Commission Legacy Fund; and

NOW THEREFORE BE IT RESOLVED, the Commission authorizes a transfer in the amount of \$10 million from the balance of the TCCRF for the implementation of the Transportation Commission Legacy Fund.



Herman Stockinger, Secretary
Transportation Commission of Colorado

8-13-14
Date

Discuss and Act on the 1st Supplement to the FY2015 Budget

Scott Richrath stated that there are two walk on items requested that were distributed electronically earlier. One is a RAMP request that seeks to move funding from red to green using previous nomenclature on how to move full budget authority forward on individual projects. The second one requests a small amount, but it does Contingency funding for Glenwood Canyon bike trail. As that would regain reimbursement through insurance proceeds, those proceeds would return to the Transportation Commission Contingency fund.

He offered to discuss any other projects the Commissioners had questions about and highlighted the line in the supplement that denotes which projects would continue to

come to the Commission under the new PD 703 and which ones would have staff authority, keeping in mind Regional Priority Program is one that would be staff level.

Chairman Peterson entertained a motion to approve the Budget Supplement. Commissioner Gilliland moved to approve the resolution, and Commissioner Gifford seconded the motion. Upon vote of the Commission, the resolution passed unanimously.

Resolution #TC-3177

BE IT SO RESOLVED, That the First Supplement to the Fiscal Year 2014-2015 Budget be approved by the Commission.

Discuss and Act on the Resolution to Approve the Greeley COP

Scott Richrath stated that last year he requested to borrow money to build a new Greeley building. At that time Commissioner Thiebaut stated that CDOT should borrow money if it needs to borrow money and spend cash if there is cash. He stated that the financial advisors and the legal bond counsel determined that it is possible to finance Greeley today. But should CDOT endeavor to take on a headquarters relocation, a Pueblo relocation or any other relocation of significant expense, the desire then may be to bundle those projects and use Certificates of Participation. Through the process, they learned that if one day Greeley will be bundled into a larger package the Commission's formal direction allowing that is necessary at this time. If 18 months down the road, it is determined to bundle Greeley with other properties and had not had formal approval to finance Greeley, it would preclude that future request.

The resolution commits the CFO to return to the Commission if and when it is decided to finance Greeley as part of any other project with the terms and conditions. But this resolution seeks the permission of the Commission to one day finance Greeley should that be the best way in the future. The resolution provides for a cap on the amount that can be requested, but again, a specific dollar amount would be requested at the time of a future resolution, along with terms and conditions of the entire package.

Commissioner Reiff stated that the costs will be \$20.4 million and that Stifel is recommending \$22 million. The contingency will be to cover the tax law issues. Scott Richrath stated that the blank would be filled in with \$22 million rather than \$20.4 million if so adopted by the Commission.

Commissioner Connell moved to approve the resolution, and Commissioner Gilliland seconded the motion. Chairman Peterson asked if there was any discussion. Commissioner Gruen stated that he planned to vote in favor of the resolution but wanted to go on record that he is extraordinarily leery of issuing Certificates of Participation. He understands that CDOT can be forced into that because of TABOR but that he hates to mortgage property that CDOT owns in order to finance other projects. Upon a vote of the Commission, the resolution passed unanimously.

Resolution #TC-3178

Resolution #TC-3178

A Resolution of the Colorado State Transportation Commission Declaring the Official Intent of the Colorado Department of Transportation to Reimburse Itself from the Proceeds of a Future Lease Purchase Financing for Capital Expenditures and Providing Certain Other Matters in Connection Therewith

Approved by the Transportation Commission on July 17, 2014

WHEREAS, the Colorado Department of Transportation ("CDOT") is an executive department of the State of Colorado; and

WHEREAS, the Colorado State Transportation Commission (the "Commission") is the governing body of CDOT; and

WHEREAS, CDOT presently intends to acquire, renovate and construct certain properties to house CDOT operations (the "Project"), including but not limited to administrative facilities in Denver, Greeley and Pueblo, Colorado; and

WHEREAS, CDOT currently intends and reasonably expects to participate in a lease purchase financing to finance the Project, including an amount of approximately \$22 million (the "Reimbursement Amount") for reimbursing CDOT for capital expenditures made by CDOT for the Project prior to the date when funds for the Project are available from such financing; and

WHEREAS, the initial expenditure of funds of CDOT for the Project occurred on a date that is within 60 days prior to the date hereof; and

WHEREAS, such lease purchase financing is to occur within 18 months of either the date that CDOT first expended funds for the Project or the date that the Project is placed in service, whichever is later (but in no event more than three years after the date of the original expenditure of CDOT funds for the Project); and

WHEREAS, the Commission hereby desires to declare the official intent of CDOT, pursuant to 26 C.F.R. § 1.150-2, to reimburse itself for the expenditure of CDOT funds for the Project from the proceeds of a future lease purchase financing of CDOT;

NOW, THEREFORE, BE IT RESOLVED BY THE COLORADO STATE TRANSPORTATION COMMISSION:

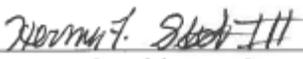
Section 1. Dates of Capital Expenditures. All of the capital expenditures covered by this Resolution were or will be made not earlier than 60 days prior to the date of this Resolution.

Section 2. Declaration of Official Intent. CDOT presently intends and reasonably expects to participate in a lease purchase financing within 18 months of either the date of the first expenditure of funds by CDOT for the Project or the date that the Project is placed in service, whichever is later (but in no event more than three years after the date of the original expenditure of CDOT funds for the Project), and to allocate an amount approximately equal to the Reimbursement Amount of the proceeds thereof to reimburse CDOT for its expenditures in connection with the Project.

Section 3. Confirmation of Prior Acts. All prior actions of the officials and agents of CDOT that are in conformity with the purpose and intent of this Resolution and in furtherance of the Project shall be and the same hereby are in all respects ratified, approved and confirmed.

Section 4. Effective Date of Resolution. This Resolution shall take effect immediately upon its passage.

INTRODUCED AND ADOPTED at a regular meeting of the Commission on July 17, 2014



Herman Stockinger, Secretary
Transportation Commission of Colorado

8-13-14
Date

Discuss and Act on the Resolution to Refer I-70E to the HPTE Board for Procurement

Michael Cheroutes stated that resolution before the Commission responds to a recommendation from the HPTE Board that HPTE be given the authority to pursue a funding/financing alternative for the I-70E project that includes private participation. The term public-private participation can have many different meanings and include many different structures. The HPTE needs the confirmation that the option remains on the table during these next six critical months. If the process does not begin on a financing alternative, that alternative will be lost. The resolution requires HPTE to return to the Commission on a quarterly basis to report. There is important due diligence activity this summer with respect to what can be expected from the market if this alternative is chosen and what the optional structures might there. There is some important public outreach coming soon, a process that is ongoing. There will be a number of additional public meetings on this. A critical one will be in the fall as there are more details on the options. There will be opportunities for the Commission to come back and adjust the options or discontinue them altogether.

He stated that his interpretation of the resolution before the Commission was allowing HPTE to get started on a public-private partnership option and to take a look at alternatives to that – everything from public funding of the project, a decision that the project is not economically feasible at all, to different forms of public-private partnerships. There will be lots of time for people to input to that process. The HPTE Board will be comparing all those options throughout the process.

Chairman Peterson stated that the resolution the Commission would vote on today is not the one included in the packet but is the red-lined one that the Commissioners received the previous day. He stated that he is clear in his mind that this resolution allows HPTE to investigate the options but in no way commits the Commission or anyone to a specific financing option at this time.

Commissioner Hofmeister asked if HPTE was looking at partial private funding or if HPTE was looking at the possibility of funding the entire project privately because there have already been discussions about committing Bridge Enterprise funds and other funds. Director Cheroutes stated that it would be partial funding. The process has been over the last several months since January. The Commission decided what the project ought to be and what ought to be maximum funds available for the project. The HPTE now begins the process to see whether it is possible to get the project financed within those limitations. The Commission did decide preliminarily to commit Bridge Enterprise monies, 228 monies and DRCOG monies. Commissioner Hofmeister asked what estimated percentage of the project would be funded privately. Director Cheroutes said approximately 10%-15%.

Commissioner Reiff stated that this is a single step in the road. He has repeated that this has to be an iterative process, both with our industry partners and what the community groups think. It is necessary to understand the impact. He asked for those revisions because as a Commissioner he has not committed to an approach. The Commission needs to put something on the table to have people react to. It has been explained that the industry partners will not take it seriously unless CDOT offers them something to consider. He stated that he firmly believes that this will be back to the Commission and to the HPTE Board on multiple occasions. It is necessary to understand what everyone is thinking on this before making a final decision.

Commissioner Gifford stated that the Commission received a letter from Denver Councilwoman Judy Montero of District 9, in whose district a majority of this project is located, expressing concern about the level of communication with, involvement with and comprehension of this very complex financing for this very complex project. Among other things, she requested that the Commission hold a follow up meeting in her district to discuss the implications of this decision. Commissioner Gifford made a request that the Commission work with staff to work with Councilwoman Montero to set up a follow up meeting that meets her request and that she feels would be adequate in terms of discussing, informing and listening to the community on this issue. Director Cheroutes stated that he would love the opportunity to that.

Commissioner Gilliland stated that she is an HPTE Board member as well as sitting on the Commission. This project is very complex, very significant and very important for the state of Colorado. The Commission and the Board have had many meetings about the different financial options on the table. It is time because it is necessary to

gain enough security with the private investors that may want to work with CDOT as partners. CDOT needs to give them some type of consideration to move forward with. She stated that she is very supportive of this and concurs with the other Commissioners that CDOT needs to listen to the public and be as transparent as possible to engage them in this discussion. But this issue is very complex, and it is difficult to get everybody in the public update on all the different aspects of the financing. It needs to be done to the extent possible. Given the new HPTE Transparency Policy, every effort is being made to engage in every way that CDOT can in an effort to get the right level of input, to listen to that input and to use it to move toward a decision. However, it is important to at least take this step and to move forward to get this under consideration as a real option to look at in order to move down the road. It is a very complex project, and CDOT needs something to move forward with. She stated that she is totally supportive given the way the resolution is written and that the Commission is not making a formal decision that this will be a P3 contract but that this is only an evaluation of that as an option. She stated that she is fully supportive of moving forward.

Commissioner Connell stated that she will support moving ahead with this. She did not want to reiterate all the previous statement, but she stated that she moves with caution. Perception is 9/10 of the law, and the Commission needs to take what was learned from the missteps with US 36 and assure that those will not be repeated in this process. The more complex something becomes the more people have issues with it. She stated that she fully supports moving ahead but that CDOT has to do much more public contact.

Director Cheroutes stated that the public-private partnership process in this case, because it is such a complicated process, will stretch out over a minimum of a year and a half. There will be many exit points for this if it looks like it will not work for one reason or another. The legislature will provide their views on this. A number of community activists will provide their views on this. It is a complicated process to describe, and the HPTE is aware that they will have to take a lot of time to describe what is going on. They are committed to doing that.

Chairman Peterson stated that this is a very complex project on many levels, including an engineering level, a fiscal level, to a social level with the neighborhoods that are involved. It is critical to the statewide system. It is obvious that the current existing conditions do not offer an alternative to offer an alternative to provide the transportation required for the Denver Metropolitan Area and the state as a whole. This is a state issue. The Commission has committed a large amount of future budgets to this project, recognizing its importance. He thanked the HPTE Board and Director Cheroutes for adding the verbiage in the one section of this resolution that makes it much easier to move forward at this time. These referral processes look at alternative means to provide the transportation that the state needs over time and realize that CDOT can no longer depend on 20th century mechanisms to fund 21st century needs across the state or the country. The Commission heard from John Cater about the problems and challenges that transportation is facing on the federal level, which are by no means solved at this point. This provides an option that should be looked at. It gives HPTE the authority to move forward in investigating those options without coming up with a pre-conclusion as to whether any of those options are viable for this particular project. He stated that this is time critical, but it is also critical to gather as much information from public outreach and public input as

possible, including from elected legislators at the State House and other groups that will be directly involved like the traveling public within the state. He stated that CDOT has done that to date and that he is confident that will continue to happen and expand this complex issue moves forward. He stated that he will be supporting the resolution.

Chairman Peterson entertained a motion to refer the I-70E project to the HPTE Board. Commissioner Gifford moved to approve the resolution, and Commissioner Gilliland seconded the resolution. Upon vote of the Commission, the resolution passed unanimously.

Resolution #TC-3179

Resolution #TC-3179

Approving referral of the I-70 East Project to the Colorado High Performance Transportation Enterprise to pursue Public-Private Partnership opportunities in the procurement of the I-70 East Project.

Approved by the Transportation Commission on July 21, 2014

WHEREAS the Transportation Commission is responsible, pursuant to Section 43-1-106(8), C.R.S., for formulating the general policy with respect to the management, construction, and maintenance of public highways of the Colorado Department of Transportation (CDOT); and

WHEREAS the General Assembly created the Colorado High Performance Transportation Enterprise (HPTE), pursuant to Section 43-4-806, C.R.S., as a government-owned business within CDOT to pursue innovative means of more efficiently financing important surface transportation projects that will improve the safety, capacity, and accessibility of the surface transportation system; and

WHEREAS such innovative means of financing projects include, but are not limited to, public-private partnerships, operating concession agreements, user fee-based project financing, and availability payment and design-build contracting; and

WHEREAS CDOT, in conjunction with HPTE and the Colorado Bridge Enterprise, has investigated various delivery methods that can be utilized in delivering an important surface transportation project that includes replacing the I-70 viaduct between Brighton Blvd and Colorado Blvd with a Partially Covered Lowered (PCL) highway and other improvements reaching as far east as Tower Road (I-70 East Project); and

WHEREAS the delivery methods reviewed for the I-70 East Project have included (i) a performance based design/build/operate/maintain/finance concept (Performance Based Public-Private Partnership); (ii) a toll-risk based design/build/operate/maintain/finance concept; (iii) a design/build/finance concept; and (iv) a design/build public funding approach; and

WHEREAS based on initial value for money analysis considered by the Transportation Commission, other financial information available to the public, and public input received to date, the Performance Based Public-Private Partnership appears to give CDOT the best value for its money in delivering the I-70 East Project in a timely and efficient manner; and

WHEREAS the Transportation Commission has determined that HPTE, the entity statutorily authorized to pursue innovative means of financing surface transportation projects, is uniquely suited to handle the procurement efforts related to implementing the I-70 East Project, with the support of the Office of Major Project Development; and

WHEREAS the Transportation Commission supports the efforts of HPTE to involve the public as it evaluates financing options for I-70 East Project and to continue to solicit and consider public input.

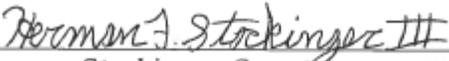
NOW THEREFORE BE IT RESOLVED, the Transportation Commission hereby refers the procurement of the I-70 East Project to HPTE to further pursue Public-Private Partnership opportunities for the I-70 East Project and such referral and the Transportation Commission's final decision is subject to, and may be modified by, continued review and consideration of financial and other relevant analysis and to the continued review and consideration of public input; and

BE IT FURTHER RESOLVED, the Transportation Commission requests that HPTE, in administering the I-70 East Project procurement, conduct an updated value for money analysis prior to issuing a Request for Proposal, provide primary contract terms to the Transportation Commission for its review prior to commercial close, and, in cooperation with the Office of Major Project Development, prepare quarterly reports to the Transportation Commission regarding the status of the I-70 East Project and the related procurement efforts; and

BE IT FURTHER RESOLVED, the Transportation Commission will continue to evaluate all future budgeting for the I-70 East Project; and

BE IT FURTHER RESOLVED, the Transportation Commission directs staff to develop a comprehensive program addressing disadvantaged and small business utilization and workforce training in administering the procurement for the I-70 East Project and to provide the details of this program to the Transportation Commission; and

BE IT FURTHER RESOLVED, the Transportation Commission directs staff to consider and recommend an HOV policy for the I-70 East Project that provides system continuity with existing and proposed express lanes and is responsive to input from corridor stakeholders.



Herman Stockinger, Secretary
Transportation Commission of Colorado

7-22-14
Date

Acknowledgements

Deb Perkins-Smith stated that CDOT was chosen to receive the Community Partner Award by the American Lung Association in Colorado for the CDOT Air Quality Program's work in program support to the CASEO Clean Air at Schools - Engines Off! program.

The Engines Off program was launched in 2008 and has since provided education and support for 30 schools around Colorado and the Front Range. The Engines Off! program is an education and intervention program conducted at elementary and middle schools to increase awareness about the harmful impacts of idling, especially around young children, and integrate behavior-changing mechanisms into the school culture. The year-long program includes collection and analysis of emissions data in and around school properties, an educational campaign spearheaded by school faculty and students, and student-led interventions including securing parent pledges and in-classroom presentations (at the middle school level).

Participating schools were located in the counties of Adams, Arapahoe, Boulder, Denver, Douglas, Garfield and Mesa. On average, the 11 schools reduced emissions

by 67% - which equates to a carbon monoxide equivalent of over 168,000 individual cigarettes no longer being smoked each day!

This award presented to Sabrina Williams and Jill Schlaefer at the Annual American Lung Association's Appreciation Event on June 19th, 2014. Sabrina Williams has been a part of this programs development since its inception.

Chuck Attardo stated that he is the Region 1 Planning and Environmental Manager and that Ashley Bushey, the Region 1 Historian, and Janet Garek, an Environmental Project Manager at Region 1 were with him. He thanked the Commission for the opportunity to share a success story with the Commission. He stated that they evaluate 120 projects each year for environmental impacts. This historic guardrail project has been one of the gems of the last year. At first, it was unbelievable that there might be a historic guardrail that would delay the completion date of a project. Guardrail replacement is usually straightforward when it comes to historical clearance. However, this was a different type of guardrail because it was spring loaded. This was the original installation on US 40. US 40 was constructed between 1936-1938 in Jefferson County with assistance from the PWA, part of FDR's New Deal Recovery Plan. Further investigation underlined that this type of guardrail was an historical turning point in guard rail design, moving from passive delineation into something that was more safety oriented, the idea being that the springs would guide the vehicle back onto the highway. Even though this is some of the last type of this spring loaded guardrail was very common in the 1930's. In terms of the historic clearance, the project had no federal nexus. They were able to work with the project team to archivally document the rail before it was replaced and maintain the project schedule. Janet stated that the exciting part of this project was that the research revealed such a rich history of innovation, collaboration and coordination. Everyone worked together to make a successful project delivery, even with the historic guardrail, which was actually substantially made here in Denver.

Chairman Peterson stated thanked them for the work that they do. He stated that it would have been hard to imagine that there was this much of an evolutionary process in safety for the traveling public. It indicates that our transportation system is always evolving, it has in the past and will continue to do so in the future. He commended them on their prompt action in preserving something that is historically important for the organization and for the people of Colorado without materially delaying the new guardrail, which is a safety issue. That is a perfect example of our engineering and staff of today and those tasked with reminding us of where we came from so that we know where we are going.

Discuss Senate Bill 228

Chairman Peterson thanked State Budget Director Henry Sobanet for returning to CDOT to present Senate Bill 228 to the Commission and to the public. Mr. Henry Sobanet stated that it was a pleasure to be there today. He stated that he was at the Commission to be of service to the Commission and to answer any questions that the Commission may have about Senate Bill 228. Many people may recall the old Senate Bill 1 in which a small part of the sales tax came to the Highway Fund from the General Fund. During the recession the law that triggered that was repealed and replaced with the new law. The trigger for the new law Senate Bill 228 is personal income in the state of Colorado. If personal income in the state of Colorado grows by

5% or more in a calendar year, the most applicable subsequent fiscal year gets a diversion of 2% of the state's General Fund revenue to the Highway Fund.

Right now, during calendar year 2014, it is projected that personal income will grow that fast or faster. That means that for fiscal year 2016 there will be a 2% diversion to the Highway Fund from the General Fund. A percentage of that is earmarked for transit, but the rest goes to the more normal program here at CDOT. Looking ahead, Director Hunt requested a discussion about the risks and how secure the Commission should feel about this fund transfer. The risks are in a few places. First, the forecast could be wrong. If personal income in Colorado does not grow by 5%, the law would not be automatically triggered. The second risk is within the law itself. Even if it is triggered, under certain conditions, if there is a certain type of TABOR refund within the state, there is a cascade of reduction that would occur in the amount of money that would come to CDOT. Ironically, faster economic growth could actually whittle away at the ability to fully fund this under the law. Before there is a TABOR rebate the state would actually collect more money, and there could be a policy choice to still make the transfer to CDOT.

One of the dynamics of the last legislative session was the extent to which state has met its requirements under Amendment 23. There is currently a lawsuit about the appropriation level to K-12 education under Amendment 23. There is a lot of political wrangling over how much money should go to K-12 education last session. That is the biggest line item in the General Fund, and it would be unfair to say that there is no political pressure from certain quarters to simply say more money to education next year.

As of today though, the budget request in November will include allowing for the transfer. The non-trigger would have to mean that an economic disruption is foreseen that would drop personal income. Right now, Colorado's economy is in the top five easily in the country by a number of measures. So for the forecast to drop something would have to happen between now and September. The September forecast is what the budget is based on. If the forecast remains relatively unchanged, this will be in the budget request in November.

The third thing is that the Budget Office has tried since 2011 to make room for this transfer to be as easy as possible. The 228 law included a provision where capital construction got a mandatory increase in the state and also the state's reserve got a mandatory increase. The entire mandatory reserve increase has been removed for the whole law. The reserve level is already 6½% in the General Fund that the law anticipated. By meeting that on an annual budget, it is easier to send 2% of the budget to transportation. The economy has done well, and space has been made to make the 2% transfer. And absent a huge disruption, this will be in the budget request.

Commissioner Gruen stated that something was mentioned about the initial contribution to transportation being one year. He asked Mr. Sobanet if the transfer will be one year or five years. Mr. Sobanet stated that the law triggers for five years, but the budget is done one year at a time. They request one year at a time, but the law triggers a five year diversion.

Commissioner Reiff stated that he remembers the Noble Bill and its repeal. He stated that this seems a lot like the Noble Bill, and he asked what the politics looked like right now. He stated that Mr. Sobanet mentioned K-12 education and asked what Mr. Sobanet was hearing about the subject. Mr. Sobanet stated that notwithstanding all that pressure around K-12 and other things in the budget as Colorado is recovering. He did not believe there was single vote in the legislature to repeal Senate Bill 228. He stated that he did not even hear side conversations of taking it away. With term limits, some of the people who voted for the law are not there anymore. Some of the institutional knowledge about why the law was passed is now gone, which leaves a challenge operationally to do some outreach and education. Balancing that out, people in leadership and on the Budget Committee know about this law and have been planning for it for three years. To that extent, the knowledge it good, and transportation is a priority at the legislature. All the different lobbies are powerful. They have their ways and their talking points, but he did not sense any political will to repeal the law during the last year.

Chairman Peterson thanked Mr. Sobanet for taking time to visit the Commission. Mr. Sobanet thanked the Commission for their service.

Other Matters

Chairman Peterson stated that there were no other matters to come before the Commission.

Adjournment

Chairman Peterson announced that the meeting was adjourned at 10:20am.



COLORADO
Transportation Commission

4201 East Arkansas Avenue, Room270
 Denver, CO 80222-3406

DATE: August 21, 2014
 TO: Transportation Commission
 FROM: Darrell Lingk / Mark Imhoff / Herman Stockinger
 SUBJECT: Repeal of Policy Directives 81.0 "Drug and Alcohol Policy" and 82.0 "Implementation of FTA Regulations for a Drug and Alcohol Free Workplace"

Purpose: To repeal two Policies Directives (81.0 and 82.0) concerning FHWA and FTA drug and alcohol testing requirements as part of the Department’s consolidation of all drug and alcohol testing-related Directives into Procedural Directive 81.1.

Action: Pass a Resolution repealing Policy Directive 81.0 “Drug and Alcohol Testing” and Policy Directive 82.0 “Implementation of FTA Regulations for a Drug and Alcohol Free Workplace.”

Background: As a result of recent changes in state law regarding the legalization of marijuana, the Department undertook a review of its two Policy Directives and four Procedural Directives governing drug and alcohol testing. As part of the initiative to reduce the number of directives, Procedural Directive 81.1 has been developed to include all drug and alcohol testing information in one document. Procedural Directive 81.1 sets out the process that will be followed for both safety-sensitive and non-safety-sensitive employees as well as employees who self-report.

The agenda item requesting repeal of Policy Directives 81.0 and 82.0 was carried over from the July 2014 Commission meeting in order to respond to questions from the Commission. Commissioners Reiff and Gifford asked for clarification how the consolidated Procedural Directive will adhere to federal and state laws on marijuana, and whether the Procedural Directive gives sufficient guidance on the lawful and unlawful use of prescription drugs.

First, with regard to the use of marijuana, employees may not report to work impaired or while at work be impaired by alcohol or any controlled substance including marijuana. Second, the Department reviewed the draft Procedural Directive 81.1, and made the revision below to clarify that the use and possession of prescription drugs in accordance with a valid prescription is not a violation of Procedural Directive 81.1:

A. General Requirements

1. Employees are required to report to work unimpaired, and while at work will remain unimpaired by alcohol, Controlled Substances including marijuana, and other drugs including prescription and non-prescription medications.

2. It is a violation of this Directive for an Employee to use, possess, manufacture, sell, trade, transfer, and/or offer for sale alcohol or any drug covered under the Federal Controlled Substances Act, including marijuana, while on work hours except as stated in paragraph 3, below. Any drug covered under the Federal Controlled Substances Act, including marijuana, and drug paraphernalia, is prohibited on CDOT property except as stated in paragraph 3, below.



3. Use and possession of prescription drugs is not prohibited when possessed by the individual to whom it is prescribed and when used in the stated dosage, according to labeling, and a physician's prescription. The sale, trade, transfer, and/or offer for sale of any prescription drug is prohibited on CDOT property and during work hours. Marijuana, including medical marijuana, is not a prescribed drug. Over-the-counter drugs are not prohibited when used at the stated dosage according to labeling.

4. Violations of this Directive may be cause for management/supervisor intervention that may result in a referral to mandatory treatment and/or corrective or disciplinary action up to and including termination.

5. It is the responsibility of all management and supervisory personnel to implement and enforce this Directive and ensure compliance by Employees.

6. CDOT will comply with the model collection and drug testing standards issued by the U.S. Department of Health and Human Services.

Details: Consolidated Procedural Directive 81.1 meets state and federal requirements, including those specific to the Federal Transit Administration. The Department worked together with the Office of the Attorney General drafting this Procedural Directive, which will be submitted for signature to Executive Director Hunt after the Commission reviews and approves repeal of Policy Directives 81.0 and 82.0.

Key Benefits: The consolidated Procedural Directive 81.1 includes the following significant points:

- Employees may not report to work impaired or while at work be impaired by alcohol or any controlled substance including marijuana;
- Appointing Authorities retain the discretion to determine the appropriate course of personnel action;
- The directive sets forth which tests (pre-employment, reasonable suspicion, post-accident, random drug) apply to safety-sensitive and non-safety-sensitive employees;
- The definition of "safety-sensitive" employee is limited to the possession of a CDL license, except for DTR employees who are under Federal Transit Administration regulations; these regulations contain a broader definition;
- CDOT's encouraging employees to self-disclose is integrated into this directive (prior 81.3); and
- The Procedural Directive eliminates unnecessary language on the testing process deemed unnecessary in that the specifics are stated in federal regulations or readily available from the testing facility and substance abuse professionals.

Options and Recommendations: (1) Pass a Resolution Repealing Policy Directives 81.0 and 82.0 (staff supported); (2) Decline to Repeal Policy Directives 81.0 and 82.0 (Pro: request additional information / Con: delay implementation of updated Procedural Directive 81.1)

Attachments

Policy Directive 81.0

Policy Directive 82.0

Resolution repealing Policy Directives 81.0 and 82.0

Consolidated Red-lined Procedural Directive 81.1 (showing revisions)



COLORADO DEPARTMENT OF TRANSPORTATION		<input checked="" type="checkbox"/> POLICY DIRECTIVE <input type="checkbox"/> PROCEDURAL DIRECTIVE	
Subject Drug and Alcohol Policy			Number 81.0
Effective 6/19/03	Supersedes N/A	Originating office CDOT Statewide Safety Committee	

PURPOSE

The Colorado Department of Transportation has a vital interest in maintaining a safe, healthful and efficient working environment; free of drugs, alcohol and other controlled substances, for its employees, clients and the public.

AUTHORITY

- Governor’s Executive Order EO D-000291, Drug-Free Workplace
- Drug-Free Workplace Act of 1988 (P.L. 100-690, Title V, Sub-Title D)
- Omnibus Transportation Employee Testing Act of 1991
- 49CFR Part 40, Procedures for Transportation Workplace Drug and Alcohol Testing Programs
- 49CFR Part 382. Controlled Substance and Alcohol Use and Testing
- Substance Abuse Policy for Colorado State Employees

POLICY

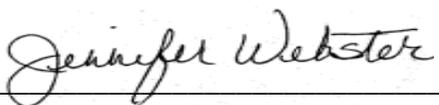
The State of Colorado and the Colorado Department of Transportation has a vital interest in maintaining a safe, healthful and efficient working environment for its employees, clients and the public. Employees impaired by alcohol or other drugs during work hours may pose safety and health risks, not only to themselves, but also to others.

Therefore, to ensure a safe working environment, it is the policy of the State of Colorado and the Colorado Department of Transportation that the use of alcohol, other drugs or controlled substances that result in job impairment is prohibited. Likewise, it is the policy of the State of Colorado and the Colorado Department of Transportation that illegal possession, manufacture, use, sale or transfer of controlled substances on state property or during work hours by its employees is prohibited. Furthermore, it is the policy of the Colorado Department of Transportation to conduct controlled substance and alcohol testing for their employees. All CDOT employees are subject to Reasonable Suspicion testing. Positions requiring Commercial Driver’s License shall also be subject to Pre-employment, Random, Post-Accident, Return-to-Duty, and Follow-up testing.

Violations of this policy will be just cause for management/supervision intervention that shall result in referral to counseling and/or treatment and may result in corrective or disciplinary actions up to and including termination.

REVIEW DATE:

This policy should be reviewed before June 2010.



 Transportation Commission Secretary

06/19/03

 Date

COLORADO DEPARTMENT OF TRANSPORTATION		<input checked="" type="checkbox"/> POLICY DIRECTIVE <input type="checkbox"/> PROCEDURAL DIRECTIVE
Subject Implementation of FTA Regulations for a Drug and Alcohol Free Workplace		Number 82.0
Effective 5.23.13	Supersedes N/A	Originating office Division of Transit and Rail / Transit Programs Section

I. PURPOSE

The Colorado Department of Transportation (“CDOT”) is committed to:

- Maintaining a working environment free of drugs, alcohol and other controlled substances; and
- Complying with federal regulations regarding drug and alcohol testing, education and compliance regarding a drug and alcohol free workplace for contractors and grantees who receive Federal Transit Administration funding from CDOT.

II. AUTHORITY

41 U.S.C. § 8101, § 8102, § 8103 to § 8106, Drug Free Workplace Act of 1988

42 U.S.C. § 12114, Illegal Use of Drugs and Alcohol

49 U.S.C. § 5331, Alcohol and Controlled Substances Testing

49 C.F.R. Part 40, Procedures for Transportation Workplace Drug and Alcohol Testing Programs

49 C.F.R. Part 655, Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations

49 CFR Part 32 Government Wide Requirements for a Drug-Free Workplace (Grants)

III. APPLICABILITY

This Policy Directive shall apply to all Division of Transit and Rail employees of CDOT, and all Contractors or Grantees funded by the Federal Transit Administration.

IV. DEFINITIONS

The definitions set forth in Procedural Directive 82.1 “Procedures for Implementation of FTA Regulations for a Drug- and Alcohol-Free Workplace” are incorporated herein by this reference.

V. POLICY

- A. The unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the workplace.
- B. If convicted of a drug statute violation occurring in the workplace, employees are required to report such to the employer in writing no later than five days after such conviction.
- C. All Division of Transit and Rail CDOT employees and all Contractors and Grantees must abide by the terms of this Policy as a condition of employment and funding.
- D. All Division of Transit and Rail CDOT employees, Contractors and Grantees shall follow applicable federal regulations with regard to drug and alcohol testing. Contractors or Grantees may obtain a copy of the federal regulations from the Manager of the Transit Grants Unit, Division of Transit and Rail, or his designee, or the Director of the Office of Transportation Safety, or his designee, at CDOT Headquarters.
- E. In the event this Policy Directive conflicts with any state or federal law or regulation, the state or federal law shall control. For purposes of construction, all relevant federal laws and regulations are herein incorporated by this reference.
- F. The Manager of the Transit Grants Unit, Division of Transit and Rail, or his designee, shall be the designated person to answer questions from Contractors or Grantees about the requirements under this Policy Directive. For CDOT employees, the Director of the Office of Transportation Safety or his designee shall be the designated person to answer questions.

VI. IMPLEMENTATION PLAN

- A. The Office of Policy and Government Relations shall post this Policy Directive on the intranet webpage within one week of adoption.
- B. The Manager of the Transit Grants Unit shall distribute this Policy Directive to all Division of Transit and Rail employees, contractors and grantees within thirty (30) days of adoption.
- C. The Manager of the Transit Grants Unit and the Office of Procurement and Contract Services will ensure that appropriate language in conformance with federal regulations is contained in all contracts and agreements.
- D. The Manager of the Transit Grants Unit will reference this Policy Directive in its State Management Plan and in any applicable manuals and other guidance.
- E. The Manager of the Transit Grants Unit shall monitor all contractors and grantees for ongoing compliance with this Policy Directive.

VII. REVIEW DATE

This Policy Directive shall be reviewed on or before May 2014.

Herman J. Stockinger III
Secretary, Transportation Commission

5-23-13
Date of Approval

COLORADO DEPARTMENT OF TRANSPORTATION			<input type="checkbox"/> POLICY DIRECTIVE <input checked="" type="checkbox"/> PROCEDURAL DIRECTIVE
Subject CDOT's Drug and Alcohol Directive			81.1
Effective TBD	Supersedes 82.0: 5.23.13 82.1: 5.23.13 81.0: 6.19.03	81.1: 8.07.06 81.2:4.01.04 81.3: 4.01.04	Originating Office Office of Transportation Safety (OTS) (Re: DOT requirements) and Division of Transit and Rail (Re: FTA requirements)

I. PURPOSE

The Colorado Department of Transportation (“CDOT”) seeks to maintain a safe, healthy, efficient work environment for its Employees, volunteers and the public. Employees who are impaired by alcohol and/or drugs during working hours may cause disruption in the workplace and pose safety and health risks not only to themselves, but to others. In order to ensure the safety of all employees, volunteers, and the public, use of alcohol, other drugs or Controlled Substances that adversely impacts the Employee and volunteer’s ability to perform his or her job will not be tolerated. It is CDOT’s intent to balance our respect for individuals with the need to maintain an alcohol and drug free environment by complying with the provisions of the Drug-Free Workplace Acts of 1988 and 1998.

II. AUTHORITY

Federal Authority

Federal Drug-Free Workplace Act of 1988 and 1998, as amended, and Implementing Regulations, 41 U.S.C. § 8101, *et seq.*

Omnibus Transportation Employee Testing Act of 1991, (FOTETA), 49 U.S.C. 5331, as amended, and Implementing Regulations

The Comprehensive Drug Abuse Prevention and Control Act of 1970, 21 U.S.C § 801, *et seq.*, including the Federal Controlled Substances Act of 1970, as amended, and Implementing Regulations

42 U.S.C. § 12114, Illegal Use of Drugs and Alcohol

49 C.F.R. Part 40, Procedures for Transportation Workplace Drug and Alcohol Testing Programs

49 C.F.R. Part 382, Controlled Substances and Alcohol Use and Testing

49 C.F.R. Part 655 “Prevention of Alcohol Misuse and Prohibited Drug Use in Transit

Subject Procedures for Drug and Alcohol Testing	Number 81.1
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Operations”

State Authority

CDOT Executive Director pursuant to § 43-1-105, C.R.S.

Executive Order D0002 91 Regarding Substance Abuse Policy for Colorado State Employees

State of Colorado Constitution, Article XVIII – Section 14 (10) (b)

State of Colorado Constitution, Article XVIII – Section 16 (6) (a)

§ 42-4-1301, C.R.S.

Colorado Revised Statutes Title 18, Article 18, Part 2, Schedules I-V

State Personnel Board Rules and Personnel Director’s Administrative Procedures 4 CCR 801.

Department of Public Safety, Minimum Standards for the Operation of Commercial Vehicles, 8 CCR 1507-1.

III. APPLICABILITY

This Procedural Directive applies to all CDOT Employees. Employees who are designated as “safety sensitive” must adhere to all related federal and state laws, regulations and policies as well as CDOT policies and procedures. All CDOT employees are subject to the provisions of this Procedural Directive, and in addition, CDOT employees in the Division of Transit and Rail must also be familiar with and adhere to the Federal Transit Administration requirements in section V. D.

IV. DEFINITIONS

“Appointing Authority” refers to the status of a CDOT employee as defined under Colorado Constitution art. XII, Sec. 13 (7) and may also include his/her Designee.

“CDOT Property” means land, buildings, vehicles or other assets owned, leased, borrowed, or otherwise used by CDOT.

“Controlled Substance” means any drug or substance listed in the Federal Controlled Substances Act.

“Employee” means any individual who is an employee or volunteer who conducts business for CDOT, is representing CDOT, or is conducting business in or on CDOT property.

Subject Procedures for Drug and Alcohol Testing	Number 81.1
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“Impairment” may be present when an Employee’s behavior or condition adversely affects job performance, threatens the safety of her or himself or others or property, and/or exhibits unprofessional conduct detrimental to the public’s perception of state personnel as a result of the use of alcohol, Controlled Substances or other drugs.

“Safety-Sensitive” means an Employee who holds a CDL license necessary for conducting business on behalf of CDOT. For FTA funded positions, “Safety Sensitive” also includes any Employee engaged in the direction or maintenance of a passenger vehicle. This includes operators of revenue service vehicles, CDL-holding operators of non-revenue service vehicles, vehicle controllers, revenue service vehicle mechanics, firearm-carrying security personnel. See Appendix “C”.

“Trained Supervisor” means a CDOT Employee who supervises other CDOT Employees and who has undergone the required Reasonable Suspicion training to act as a Trained Supervisor for purposes of this Directive.

“Work Hours” mean hours during which an Employee is conducting business on behalf of CDOT, representing CDOT, while in or on CDOT property, and while on-call or paid standby for CDOT. For Safety-Sensitive positions “Work Hours” also means the time when an Employee is required to be in readiness to work until the time he/she is relieved from all responsibility for performing work. See 49 CFR § 395.2.

V. PROCEDURE

A. General Requirements

HIGHLIGHTED TEXT WILL BE REPLACED BY TEXT IN RED FONT BELOW

1. Employees are required to report to work unimpaired, and while at work will remain unimpaired by alcohol, Controlled Substances including marijuana, or other drugs including prescription and non-prescription medications.
2. CDOT will comply with the model collection and drug testing standards issued by the U.S. Department of Health and Human Services.
3. It is a violation of this Directive for an Employee to use, possess, sell, trade, transfer, and/or offer for sale alcohol or any drug covered under the Federal Controlled Substances Act, including marijuana, while on Work Hours. Any drug covered under the Federal Controlled Substances Act, including marijuana, and drug paraphernalia is prohibited on CDOT property.
4. Violations of this Directive may be cause for management/supervisor intervention that may result in a referral to mandatory treatment and/or corrective or disciplinary action up to and including termination.
5. It is the responsibility of all management and supervisory personnel to implement and enforce this Directive and ensure compliance by Employees.

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Subject Procedures for Drug and Alcohol Testing	Number 81.1
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3. Use and possession of prescription drugs is not prohibited when possessed by the individual to whom it is prescribed and when used in the stated dosage, according to labeling, and a physician's prescription. The sale, trade, transfer, and/or offer for sale of any prescription drug is prohibited on CDOT property and during work hours. Marijuana, including medical marijuana, is not a prescribed drug. Over-the-counter drugs are not prohibited when used at the stated dosage according to labeling.
4. Violations of this Directive may be cause for management/supervisor intervention that may result in a referral to mandatory treatment and/or corrective or disciplinary action up to and including termination.
5. It is the responsibility of all management and supervisory personnel to implement and enforce this Directive and ensure compliance by Employees.
6. CDOT will comply with the model collection and drug testing standards issued by the U.S. Department of Health and Human Services.

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B. Applicable Testing

Type of Testing	Non-Safety Sensitive Employees	Safety Sensitive Employees
Pre-Employment (Drug)		✓
Reasonable Suspicion	✓	✓
Post-Accident		✓
Random Alcohol/Drug		✓
Return-to-Duty	✓	✓

<small>Subject</small> Procedures for Drug and Alcohol Testing	<small>Number</small> 81.1
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Follow-Up	✓	✓
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1. Pre-Employment (Drug). Safety-Sensitive candidates for employment with CDOT shall be subject to pre-employment testing and may not be approved for employment if they test positive or refuse to test. See CDOT Form 1200, "Pre-Employment Physical/DOT Physical/ All Drug and Alcohol Testing."

a) The candidate must provide written consent to CDOT to contact the candidate's previous employer(s) so that they may provide CDOT with:

- (1) Alcohol test results with a concentration of .04 or greater;
- (2) Positive controlled substance(s) test results and
- (3) Refusals to submit to a required alcohol or controlled substance(s) test.

2. Reasonable Suspicion

a) All Employees are subject to reasonable suspicion testing. Reasonable suspicion testing is designed to provide management with a tool to identify Employees who may use alcohol, Controlled Substances, or other drugs including prescription and non-prescription medications that result in Impairment on the job.

- (1) Reasonable suspicion testing for alcohol should be performed within 2 hours of the reasonable suspicion determination whenever possible, but must be performed within 8 hours following the reasonable suspicion determination.
- (2) When alcohol testing is not administered within 2 hours following the reasonable suspicion determination, written documentation must be provided stating the reason for the test delay. When alcohol testing is not performed by the 8 hour time limit, attempts to administer the test shall cease and a written record shall be prepared and maintained by the supervisor indicating why the test could not be performed.

b) Employees have a duty to inform a supervisor or Appointing Authority if he or she observes an Employee who appears impaired on the job.

c) If an Employee who first observes behavior that appears to be indicative of Impairment is not a Trained Supervisor, a Trained Supervisor must be contacted to conduct the reasonable suspicion screening process.

d) When a Trained Supervisor observes that reasonable suspicion may exist to

Subject Procedures for Drug and Alcohol Testing	Number 81.1
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suggest that an Employee is impaired on the job, he or she may request the presence of a second Trained Supervisor. A second Trained Supervisor is recommended but not required during the reasonable suspicion screening process.

e) Training coordinators in the regions and headquarters have access to their respective training records which is located in SAP in the ZH40 Report. Enter Object ID 50000940. This pulls up the names, the positions, the organizations, and the dates of individuals trained in reasonable suspicion and the date training was completed. The Drug and Alcohol Coordinator can act as a resource if needed to locate CDOT employees trained in reasonable suspicion.

f) Trained Supervisors must:

- (1) Meet all training and record keeping requirements of this Procedural Directive.
- (2) Complete the Reasonable Suspicion checklist, CDOT Form 946a.
- (3) Upon completing Form 946a, contact the Appointing Authority for a reasonable suspicion determination and to get authorization to send the Employee for drug and/or alcohol testing.

g) The Appointing Authority is encouraged to meet with the Employee, either in person or on the telephone to inform him or her of the reason for sending the Employee for testing, and allow the Employee an opportunity to explain the circumstances surrounding the behavior underlying the reasonable suspicion.

h) All Employees shall be temporarily removed from the performance of their duties on the day of the test. The following day, Employees are required to report for regularly scheduled duty and the Appointing Authority will re-evaluate whether the Employee should resume regular duties.

i) The Appointing Authority or designee must arrange for safe transportation of the Employee to and from the testing site. The individual who transports the Employee must remain with him or her until the completion of the testing and the Employee is safely transported back to work or home following testing.

j) The CDOT Drug and Alcohol Coordinator receives the test results along with the Region DER (Designated Employee Representative).

k) If the test result is negative, the Employee may return to normal duty and no further action is required.

l) If the test result is positive, the Appointing Authority must determine the appropriate course of personnel action. The Appointing Authority is encouraged to consult with Employee Relations / Legal Office during this phase of the

<small>Subject</small> Procedures for Drug and Alcohol Testing	<small>Number</small> 81.1
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process.

m) If the Appointing Authority does not take personnel action that results in the Employee's separation from employment, then the following applies:

- (1) If the Employee is Safety-Sensitive, the Appointing Authority must refer the Employee to Drug or Alcohol Counseling with a qualified Substance Abuse Professional ("SAP");
- (2) If the Employee is non-Safety-Sensitive, the Appointing Authority may refer the Employee to Drug or Alcohol Counseling with a qualified SAP.

n) The Employee who is referred to Drug or Alcohol Counseling must contact the SAP Referral Service to find a SAP to provide the counseling.

o) The Employee must successfully complete the Drug or Alcohol Counseling including but not limited to any follow-up or return-to-duty testing prescribed by the SAP and/or Appointing Authority.

3. Post-Accident

a) Safety Sensitive Employees who drive a state vehicle are subject to post accident testing. Safety sensitive Employees are subject to immediate drug or alcohol testing following any accident that meets one or more of the following:

- (1) A fatality occurs;
- (2) Bodily injury to a person who, as a result of the injury, receives medical treatment away from the scene of the accident;
- (3) One or more of the vehicles incurs disabling damage requiring it to be towed from the scene as a result of the accident;

b) A Safety sensitive Employee who is involved in an accident must immediately report the accident to the Appointing Authority. The Appointing Authority will:

- (1) Consult with law enforcement and/or arrive at the scene of the accident to determine if testing should be completed;
- (2) Transport or arrange for transport of the Employee to the appropriate collection site.

c) A Safety-sensitive Employee who is involved in an accident must refrain from consuming alcohol until after he/she submits to an alcohol test or for 8 hours following the accident or, whichever occurs first.

d) If an alcohol test could not be completed within 2 hours of the accident, the supervisor must prepare and maintain a record stating the reason a test was not

Subject Procedures for Drug and Alcohol Testing	Number 81.1
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promptly administered.

- e) If an alcohol test could not be completed within 8 hours, efforts to administer the test must cease and the supervisor must prepare and maintain a record stating the reason a test was not promptly administered.
- f) If a required drug test could not be completed within 32 hours, the supervisor must prepare and maintain a record stating the reason a test was not promptly administered.
- g) In lieu of ordering a post-accident test, CDOT may substitute a test administered by law enforcement officials under separate authority.

4. Random Testing. Employees who are designated as “Safety Sensitive” due to a CDL license or under FTA regulations are subject to random drug testing following CDOT procedures as implemented in accordance with applicable Federal laws, policies and regulations.

5. Positive Test Results

- a) “Positive Alcohol Test” means the result of a test that is administered by a breath alcohol technician (“BAT”) or other SAP in which an Employee’s breath or blood sample tests 0.02 BAC (Blood Alcohol Content) or greater.
- b) “Positive Drug Test” means a test in which a drug or metabolite has been confirmed to be over the cutoff limits by the testing facility and validated by the Medical Review Officer.
- c) A Safety-Sensitive Employee may be placed off duty for 24 hours from the time the alcohol test results were rendered if the results are between 0.02 and 0.039 BAC. Safety-sensitive Employees with results of 0.04 BAC or greater shall be removed from performing Safety-Sensitive duties, and be referred to a SAP.
- d) In conformance with DOT standards, CDOT will require an HHS-certified laboratory to test on a 5-panel drug test regimen, which will include marijuana (THC), Cocaine, Amphetamines, Opiates, and Phencyclidine (PCP). An Appointing Authority has the discretion, pursuant to reasonable suspicion or post-accident testing procedures, to request additional testing which are not included in the 5-panel drug test regimen.
- e) Any Employee who tests positive for alcohol or the metabolites of drugs through breath, blood, or urine may be in violation of this directive and subject to corrective and/or disciplinary action up to and including termination.
- f) An Employee who refuses to cooperate in the testing process, or who

Subject Procedures for Drug and Alcohol Testing	Number 81.1
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adulterates, tampers with, or otherwise interferes with accurate testing will be treated as if his/her test returned as a positive test result, making the Employee subject to corrective or disciplinary action up to and including termination.

g) Employees who test positive will be given the opportunity through the Medical Review Officer process to provide a legitimate medical explanation, such as a valid physician’s prescription, for the positive result.

6. Return-to-Duty and Follow-Up.

a) An Appointing Authority must implement Return-to-Duty agreements for Safety-Sensitive Employees and may implement for non-Safety Sensitive Employees who violate this Directive but are not separated from employment.

b) An Appointing Authority shall consult with a SAP, which may include C-SEAP, when developing a Return-to-Duty Agreement.

c) An Employee who violates a Return-to-Duty agreement may be subject to corrective and/or disciplinary action up to and including termination.

C. Education and Training

1. All Appointing Authorities, including their Designees, and Employees who are intended to be designated as Trained Supervisors shall receive drug and alcohol training to identify reasonable suspicion. Those who complete the training shall be designated as Trained Supervisors. Supervisors of safety sensitive Employees and any other supervisors who are expected to initiate a reasonable suspicion drug and alcohol testing process must also be trained to identify reasonable suspicion to be used as a Trained Supervisor for purposes of the reasonable suspicion testing process.

2. CDOT’s Drug and Alcohol Coordinator shall be responsible for overseeing CDOT’s training and will comply with all applicable reporting requirements under federal regulations.

D. Federal Transit Administration Requirements Regarding CDOT Employees

1. CDOT Employees in the Division of Transit and Rail (“DTR”) are subject to all applicable requirements in this Directive. In addition, the following requirements in this part E. apply to Employees who are governed by the requirements of the Federal Transit Administration, pursuant to 41 U.S.C. § 8102.

2. As the designated recipient of Federal Transit Administration funds, DTR is responsible for the following:

a) Publishing a statement informing Employees that the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited and specify the disciplinary actions for violations of the statement;

Subject Procedures for Drug and Alcohol Testing	Number 81.1
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- b) Establishing a drug-free awareness program to inform Employees about:
 - (1) The dangers of drug abuse in the workplace;
 - (2) The policy of maintaining a drug-free workplace;
 - (3) Available drug counseling, rehabilitation, and Employee assistance programs; and
 - (4) The penalties that may be imposed on Employees for drug abuse violations.
- c) Providing all CDOT Division of Transit and Rail Employees with a copy of the Procedural Directive;

3. DTR shall notify the Employee in the statement required above that as a condition of employment the Employee will:

- a) Abide by the terms of the statement; and
- b) Notify CDOT of any criminal drug statute conviction for a violation occurring in the workplace no later than 5 calendar days after the conviction;
- c) Have a sanction imposed upon, or be required to satisfactorily participate in a drug abuse assistance or rehabilitation program if convicted, as required by 41 U.S.C. § 8104; and
- d) Make a good faith effort to continue to maintain a drug-free workplace through implementation of the requirements set forth herein.

4. Within 30 days after receiving notice from an employee of a conviction pursuant to 41 U.S.C. 8102 (a)(1)(D)(ii) or 8103(a)(1)(D)(ii), the Appointing Authority shall:

- a) Take appropriate personnel action against the Employee, up to and including termination; and/or
- b) Require the Employee to satisfactorily participate in a drug abuse assistance or rehabilitation program approved for those purposes by a federal, state, or local health, law enforcement, or other appropriate agency.

E. Voluntary Disclosure of Alcohol Use or Controlled Substance Use Process

Subject Procedures for Drug and Alcohol Testing	Number 81.1
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1. Employee Self-Disclosure.

- a) CDOT encourages self-disclosure of alcohol use or Controlled Substance Use as a means of supporting an Employee and maintaining a valued Employee in the workforce. Whenever practicable and with due regard for the safety of the public and CDOT Employees, CDOT encourages the rehabilitation of Employees who voluntarily seek assistance or self-report alcohol and drug abuse problems. It is CDOT’s goal that Employees will take responsibility for their own behavior and be encouraged to voluntarily seek professional assistance.
- b) An Employee may self-report an alcohol and/or drug problem to the Appointing Authority. In the absence of a documented job performance problem, an Employee in a non-safety-sensitive position who voluntarily admits to drug or alcohol problems should be strongly encouraged to seek assistance through C-SEAP or another SAP for assessment. Self-reporting by an Employee in a Safety-Sensitive position is governed by the conditions below.
- c) Self-disclosure will not alleviate alcohol and drug testing requirements as set forth in this Directive, including random testing and post-accident testing.
- d) In the context of a voluntary disclosure, CDOT shall pay for all drug and alcohol testing in connection with evaluating the Employee’s compliance to this directive. The Employee shall be responsible to pay for any SAP substance dependency assessments and education and treatment programs the SAP may mandate.

2. Appointing Authority Responsibility

- a) For all Employees, the Appointing Authority must notify the CDOT Drug and Alcohol Coordinator that the self-disclosure has occurred.
- b) An Appointing Authority must immediately remove an Employee from the Safety-Sensitive position.
- c) A Safety-Sensitive Employee who voluntarily admits to a drug and/or alcohol problem shall receive a mandatory referral by the Appointing Authority to a SAP and may be subject to return-to-duty testing.
- d) For Non-Safety-Sensitive Employees, the Appointing Authority may, within his or her discretion, enter into a Return-to-Duty Agreement with the Employee, which shall be retained by the Coordinator and remain confidential.
- e) The Appointing Authority must coordinate a return-to-duty meeting with the Employee and C-SEAP or the SAP and must receive the SAP Return-to-Duty documentation before returning the Employee to duty following self-disclosure-

Subject Procedures for Drug and Alcohol Testing	Number 81.1
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related alcohol or drug treatment

3. Employee Responsibility

- a) The Employee may voluntarily disclose alcohol or Controlled Substance use to a supervisor prior to the start of their work shift or during off-duty hours and before being notified of a required test or reasonable suspicion testing.
- b) Upon voluntary disclosure, the Employee must comply with all educational and treatment programs recommended by a SAP or other qualified person.
- c) If the Employee fails to comply with the provisions of the Return-to-Duty Agreement, management/supervision intervention may result in referral to further treatment and/or corrective or disciplinary action up to and including termination.
- d) CDOT shall pay for all drug and alcohol testing in connection with evaluating the Employee's compliance to this directive. The Employee shall be responsible to pay for any SAP substance dependency assessments and education and treatment programs the SAP may mandate.

F. Confidentiality

- 1. CDOT respects the privacy of all Employees. Therefore, reasonable precautions will be taken to ensure the privacy and confidentiality of an Employee throughout the testing process and to make certain that procedures are administered fairly, consistently, and in accordance with CDOT's directives. Access to this information is limited to those who have a legitimate "need to know" in compliance with relevant laws and directives. All alcohol and drug testing information will be maintained in confidential records separate from official personnel files.
- 2. The Drug and Alcohol Coordinator will maintain test results data. Region DERs maintain negative test records for a period of one year and positive test records for a period of five years.
- 3. CDOT is prohibited from releasing individual test results, or medical information about an Employee to third parties without the Employee or his or her legal representative's written consent, or as required by applicable law.

VI. DOCUMENTS REFERENCED IN THIS PROCEDURAL DIRECTIVE AND OTHER RESOURCES

Appendix "A" Reasonable Suspicion Guidance

Appendix "B" Requirements Applicable to Safety-Sensitive Positions

CDOT Form 946a (available on the CDOT Forms Library)

Subject Procedures for Drug and Alcohol Testing	Number 81.1
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CDOT Form 1200, “Pre-Employment Physical/DOT Physical/ All Drug and Alcohol Testing”

DOT Guidance: <http://www.dot.gov/odapc/documents> and <http://www.dot.gov/sites/dot.gov/files/docs/ODAPC%20EmployeeHandbook%20En.pdf>

FTA Guidance: http://www.fta.dot.gov/13057_6124.html

VII. IMPLEMENTATION PLAN

- A. This Procedural Directive shall be effective upon signature.
- B. This Procedural Directive shall be implemented by the Office of Transportation and Safety regarding DOT requirements, and the Division of Transit and Rail regarding FTA requirements. The Office of Transportation Safety and the Division of Transit and Rail will provide all applicable Employees with a copy of this Procedural Directive.
- C. All Appointing Authorities, designees and direct reports must be trained in the reasonable suspicion process within ninety days of the effective date of this Directive.

VII. REVIEW DATE

This Directive shall be reviewed on or before June 2019.

Executive Director

Date of Approval

Subject Procedures for Drug and Alcohol Testing	Number 81.1
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Appendix “A”

Reasonable Suspicion Guidance

In making a determination of reasonable suspicion, the factors to be considered may include, but are not limited to, the following:

- Personal observation of specific, current, and articulable observations based on the behavior, odor, appearance and speech (“BOAS”) behavioral indicators of drug or alcohol use, physical withdrawal symptoms, and may include potential job performance issues;
- Occurrence of a serious or potentially serious work-related accident that may have been caused by human error or flagrant violations of safety, security or other operating procedures;
- Evidence of prohibited substance use, including possession, sale, delivery while on duty and/or possession of drug paraphernalia;
- Fighting (physical contact) and assaults, or erratic, aggressive or violent behavior;
- Arrest or conviction for a drug-related offense, or the identification of an Employee as the focus of a criminal investigation into illegal drug use or trafficking;
- Past admissions or statements made by the Employee;
- Information provided either by a reliable and credible source, independently corroborated or having corroborative evidence from a manager or supervisor with training and experience in identifying signs and symptoms of alcohol or drug impairment.

<small>Subject</small> Procedures for Drug and Alcohol Testing	<small>Number</small> 81.1
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Appendix “B”

Requirements Applicable to Safety-Sensitive Positions

This table lists the types of Safety-Sensitive duties subject to DOT drug and alcohol testing relevant to CDOT under FMCSA and FTA:

Transportation Industry	Safety-Sensitive Duties
Commercial Motor Carriers (FMCSA)	Commercial Drivers’ License (CDL) holders who operate a Commercial Motor Vehicle.
Public Transportation (FTA)	Operators of revenue service vehicles, CDL-holding operators of non-revenue service vehicles, vehicle controllers, revenue service vehicle mechanics, firearm-carrying security personnel.

1. Safety-Sensitive Employees:

- A. Must not use or possess alcohol or any illicit drug while assigned to perform Safety-Sensitive functions or actually performing Safety-Sensitive functions.
- B. Must not use alcohol or any illicit drug during the 4 hours before performing Safety-Sensitive functions and 8 hours following an accident or until he/she undergoes a post-accident test, whichever occurs earlier.
- C. Must not report for service, or remain on duty if he/she:
 - Is under the influence or impaired by alcohol;
 - Has a blood alcohol concentration .04 or greater; (with a blood alcohol concentration of .02 to .039, CDOT does not permit the Employee to continue working for 24 hours);
 - Has used any illicit drug.
 - Has used alcohol within four hours of reporting for service or after receiving notice to report.
 - Is using any Controlled Substance unless used pursuant to the instructions of an authorized medical practitioner, and then only if the authorized medical practitioner has advised the Employee that the Controlled Substance will not adversely affect the Employee’s ability to perform the Safety-Sensitive function.
- D. Must not refuse to submit to any test for alcohol or Controlled Substances.

Subject Procedures for Drug and Alcohol Testing	Number 81.1
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E. Must not refuse to submit to any test by adulterating or substituting the specimen.

F. Must inform their supervisor of any medication that is being taken that could interfere with performance of safety-sensitive functions.

For further guidance, see:

<http://www.dot.gov/sites/dot.gov/files/docs/ODAPC%20EmployeeHandbook%20En.pdf>

Resolution # TC-

Repeal of Policy Directives 81.0 “Drug and Alcohol Policy” and 82.0 “Implementation of FTA Regulations for a Drug and Alcohol Free Workplace”

WHEREAS, Policy Directive 81.0 and Policy Directive 82.0 were adopted by the Transportation Commission on June 19, 2003 and May 23, 2013 respectively;

WHEREAS, both Directives concern the Department’s commitment to maintain a drug and alcohol free workplace in adherence to requirements under federal and state law; and

WHEREAS, as a result of recent changes in state law regarding the legalization of marijuana, the Department undertook a wholesale review of its existing Policies and Procedural Directives governing drug and alcohol testing; and

WHEREAS, as part of the initiative to reduce the number of departmental Directives, one Procedural Directive has been developed to replace two Policy Directives (81.0 and 82.0) and four Procedural Directives (81.1, 81.2, 83.1 and 82.1); and

WHEREAS, Policy Directive 82.0 was adopted by the Commission in order to comply with a specific finding by the Federal Transit Administration as a stopgap measure until a comprehensive Procedural Directive could be finalized that met both Federal Transit Administration and Federal Highway Administration requirements; and

WHEREAS, both Policy Directive 81.0 and 82.0 are no longer necessary given the consolidated Procedural Directive 81.1.

NOW THEREFORE BE IT RESOLVED, the Commission herein repeals 81.0 “Drug and Alcohol Policy” and 82.0 “Implementation of FTA Regulations for a Drug and Alcohol Free Workplace” as being no longer necessary given the consolidation of all relevant documents into Procedural Directive 81.1.



COLORADO
Transportation Commission

Division of Transit & Rail
4201 East Arkansas Avenue, Room 227
Denver, CO 80222-3406

DATE: August 21, 2014
TO: Transportation Commission
FROM: Mark Imhoff and Debra Perkins-Smith
SUBJECT: Approval of Updated Policy Directive 1607.0, "Rail Corridor Preservation Policy"

Purpose: To approve updated Policy Directive 1607.0 which provides identifying criteria to be used in defining passenger and/or freight rail corridors of State interest and describes passenger and/or freight rail activities in which CDOT may engage.

Action: Pass a resolution approving Policy Directive 1607.0 "Rail Corridor Preservation Policy."

Background: This Policy Directive was approved by the Transportation Commission on June 30, 2000 and has not been updated since that time. Policy Directive 1607.0 continues to add value to the Department for rail corridors as an implementation tool under the current State Freight and Passenger Rail Plan (2012) and guidance for the Statewide Long Range Transportation Plan, which will be finalized in 2015.

Details: This Policy Directive was revised by DTR and DTD and includes minor revisions only. It preserves the original intent and decision structure, and updates references to federal law from the previous regulations found in the Transportation Efficiency Act for the 21st Century ("TEA-21") to the current regulations based on Moving Ahead for Progress in the 21st Century ("MAP-21"). The terms have been updated from the earlier version which implemented the rail corridor preservation as a new concept. This revision reflects current practice based on fourteen years of experience.

Key Benefits: The Policy Directive provides transparency to external public and private partners and guidance to internal staff implementing its terms. Among the improvements to the PD are the following highlights:

- Red-lined draft P. 2, section B. 1. a): the inclusion of planning and environmental linkage (PEL) study or similar study in the consideration of corridor significance.
- Red-lined draft P. 2, section B. 2. b): changing the language regarding private or community support from: "Lack of expressions of community support may not prevent CDOT from preserving a corridor" to the more proactive "Private support may be measured in terms of committed resources, personnel or other economic development strategies."

Options and Recommendations:

- Approve Policy Directive on the Rail Corridor Preservation Policy (Staff-supported).
- Alternatively, request additional changes or clarification and revisit next month.



Next Steps: When the Policy Directive is approved, DTR and DTD will provide it to all CDOT staff involved in its implementation.

Attachments: (1) Draft Resolution; (2) Red-line Version of Policy Directive 1607.0 showing changes, and (3) clean version of Policy Directive 1607.0



COLORADO DEPARTMENT OF TRANSPORTATION		<input checked="" type="checkbox"/> POLICY DIRECTIVE <input type="checkbox"/> PROCEDURAL DIRECTIVE	
Subject			Number
Rail Corridor Preservation Policy			1607.0
Effective	Supersedes	Originating Offices	
TBD	6/30/2000	Division of Transportation Development and Division of Transit & Rail	

I. PURPOSE

The purpose of this Policy Directive is to provide a framework for determining under what conditions CDOT will participate in passenger and/or freight rail transportation by identifying criteria to be used in defining passenger and/or freight rail corridors of State interest and describing passenger and/or freight rail activities in which CDOT may engage.

II. AUTHORITY

Transportation Commission pursuant to § 43-1-106(8)(a), C.R.S.

§ 43-1-104, C.R.S., (authority and responsibilities of Division of Transit & Rail)

§ 43-1-1301, *et seq.* C.R.S., (providing authority to CDOT to acquire abandoned rail rights-of-way)

III. APPLICABILITY

This Policy Directive applies to all Divisions and Regions of the Colorado Department of Transportation.

IV. POLICY

A. The Colorado Department of Transportation shall participate in passenger and/or freight rail transportation in a manner consistent with its legal authority, when such participation serves to advance statewide transportation or economic interests, which include but are not limited to:

1. Preserving rail corridors for future passenger and/or freight rail use where the state can avoid the purchase of an equivalent corridor in the future.
2. Passenger and/or freight rail transportation may be needed in certain corridors to supplement the highway system and to provide adequate mobility, market access and travel capacity.
3. Passenger and/or freight rail transportation can be demonstrated to be a cost-effective and/or environmentally preferable mode of transportation of significance to communities.

4. Preserving and/or enhancing existing freight rail service to reduce the state highway maintenance costs, and to avoid the transportation of displaced rail freight which may increase deterioration of the state highway system.

B. CDOT identifies state significant rail corridors in the State Freight & Passenger Rail Plan and the Statewide Long Range Transportation Plan. The following criteria shall be used to identify those corridors:

1. Existing or potential future demand for passenger/freight rail services.

a) Corridor significance can be presumed in the corridor if it is recommended in an adopted alternative analysis/feasibility study, planning & environmental linkage (PEL) study or similar study.

b) Corridor significance can be presumed if the rail corridor is within, adjacent or parallel to a transportation corridor identified in the Statewide Long Range Transportation Plan as needing significant capacity improvements.

c) Designation of a corridor for freight rail purposes should only be considered when freight rail is necessary for the economic health of a community, area or region. This is determined based on the following factors:

(1) When there are no other reasonable modes of transport that can economically serve the needs of the community; or

(2) When abandonment of freight service in a corridor significantly impacts a parallel state facility.

d) If the rail corridor has present/future use as a significant statewide or national freight corridor.

2. Local and regional support for corridor preservation.

a) Public support may be measured in terms of adopted land use plans supportive of rail transit or freight rail, local transportation and financial commitments.

b) Private support may be measured in terms of committed resources, personnel or other economic development strategies.

C. If a corridor is identified as a state significant rail corridor, CDOT shall, where feasible and prudent, design and construct roads and related structures to preserve right-of-way sufficient to accommodate future passenger / freight rail service.

1. In addition, if a corridor is identified as a state significant rail corridor, CDOT may engage in, but is not restricted to, preserving rail right-of-way through:

a) Purchase: CDOT may allocate funds to purchase currently operating, embargoed railroad rights-of-way, rail lines identified/proposed for abandonment, or newly designated rail corridors for rail.

b) Purchase/Lease Back: CDOT may purchase right-of-way/track and sell or lease back to another entity to operate in the corridor.

c) Coordination with Railroad Companies: Engage private railroad companies in partnership to ensure that private railroad improvements in state significant rail corridors accommodate reasonably anticipated future transportation activities that serve the state transportation interests.

d) Cost Sharing: CDOT may share the cost of reserving railroad right-of-way for future transportation improvements with other private or public entities.

D. If a corridor is not identified as a rail corridor of state significance, but is identified in an adopted regional plan, the state may:

1. Cost Share: Share the cost of reserving right-of-way for future transportation improvements with other private or public entities.

2. Incorporate future rail into highway design and construction: Where feasible and prudent, design and construct roads and related structures to preserve right-of-way sufficient to accommodate future passenger / freight rail service.

E. The following criteria should be considered when prioritizing the above activities for funding:

1. Magnitude of impacts upon adjacent highways. An estimate of the increased or decreased maintenance and reconstruction cost implications of diverting rail freight to truck transport on parallel state highway corridors should be evaluated considering present and future needs.

Subject Rail Corridor Preservation Policy	Number 1607.0
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2. Immediacy of the possible abandonment of an existing rail line that may result in subsequent private/public activity encroaching on the existing or future rail right-of-way. An estimate should be made to determine how soon actions may occur by public or private developers or railroads that are likely to jeopardize an existing or future rail corridor.
3. The estimated price and cost-effectiveness of acquiring an existing or future corridor or preserving the option to implement rail service in an existing corridor.
4. Public-Private Partnership (PPP or P3). The opportunity for participation in a public-private partnership that is beneficial to the traveling or freight-shipping public.

F. Any financial commitment to purchase rail corridors shall be subject to such rail corridors being identified, justified and included in the State Freight and Passenger Rail Plan and the Statewide Long Range Transportation Plan. Such rail corridors shall be considered for acquisition consistent with § 43-1-1301 *et seq.*, C.R.S. Rail corridors shall be acquired only after specific budgetary action has been approved pursuant to Policy Directive 703.0.

V. IMPLEMENTATION PLAN

1. This policy shall be implemented jointly by the Division of Transit and Rail and the Division of Transportation Development.
2. DTD and DTR shall ensure that all employees who will be referencing this Directive shall be made aware of its revisions, including but not limited to all DTR staff, DTD Multimodal Planning Branch Mobility Unit staff, Region Planners, Safety & Traffic Engineering (Section 130 Program), Regional Transportation Directors, and the Senior Management Team.

VI. REVIEW DATE

This Policy Directive shall be reviewed on or before June 2019.

Secretary, Transportation Commission

Date

COLORADO DEPARTMENT OF TRANSPORTATION		<input checked="" type="checkbox"/> POLICY DIRECTIVE <input type="checkbox"/> PROCEDURAL DIRECTIVE	
Subject Rail Corridor Preservation Policy			Number 1607.0
Effective <u>TBD</u>	Supersedes <u>6/30/2000</u>	Originating Offices Division of Transportation Development <u>and</u> <u>Division of Transit & Rail</u>	

I. PURPOSE

The purpose of this Policy Directive is to provide a framework for determining under what conditions CDOT will ~~consider participating~~ participate in passenger and/or freight-rail transportation by identifying criteria to be used in defining passenger and/or freight rail corridors of State interest and describing passenger and/or freight rail activities in which CDOT may engage.

II. AUTHORITY

Transportation Commission pursuant to § 43-1-106(8)(a), C.R.S.

§ 43-1-104, C.R.S., (authority and responsibilities of Division of Transit & Rail)

§ 43-1-1301, *et seq.* C.R.S., (providing authority to CDOT to acquire abandoned rail rights-of-way)

III. APPLICABILITY

This Policy Directive applies to all Divisions and Regions of the Colorado Department of Transportation.

IV. POLICY

A. ~~It is the policy of the~~ The Colorado Department of Transportation ~~shall to~~ participate in passenger and/or freight rail transportation in a manner, consistent with its legal authority, when such participation serves to advance statewide transportation or economic interests, which include but are not limited to: ~~State transportation interests may be served by participating in rail transportation for the following reasons:~~

1. ~~Preserving rail corridors for future use may save money since the cost to preserve a corridor for future transportation purposes is often far less than having to purchase an equivalent corridor in the future.~~ Preserving rail corridors for future passenger and/or freight rail use where the state can avoid the purchase of an equivalent corridor in the future.
2. Passenger and/or freight rail transportation may be needed in certain corridors to supplement the highway system and to provide adequate mobility, market access and travel capacity.
3. Passenger and/or freight rail transportation can be demonstrated to be a cost-effective and/or environmentally preferable mode of transportation of significance to communities. ~~in certain situations.~~
4. Preserving and/or enhancing existing freight rail service ~~by preventing a railroad from being abandoned can to~~ reduce the state highway maintenance costs, ~~on state highways;~~ since and to

avoid the transportation of displaced rail freight ~~with~~which may increase deterioration of the state highway system.

B. Policy Direction CDOT ~~will identify~~identifies state significant rail corridors in the State Freight & Passenger Rail Plan and the Statewide Long Range Transportation Plan. The following criteria shall be used to identify ~~those State Significant Rail~~ corridors:

1. Existing or potential future demand for passenger/freight rail services.

a) ~~Short term demand~~Corridor sSignificance can be ~~presumed~~ assumed in the corridor if it is recommended in an adopted alternative analysis/feasibility study, planning & environmental linkage (PEL) study or similar study.

b) ~~Long term demand (20 years or longer)~~Corridor sSignificance can be ~~presumed~~ assumed if the rail corridor is within, adjacent or parallel to a transportation corridor identified in the Statewide Long Range Transportation Plan as needing significant capacity improvements.

c) Designation of a corridor for freight rail purposes should only be considered when freight rail ~~serves as an economic lifeline to~~ is necessary for the economic health of a ~~the~~ community, area or region. This is determined based on the following factors:

(1) When there are no other reasonable modes of transport that can economically serve the needs of the community; or

(2) When abandonment of freight service in a corridor significantly impacts a parallel state facility. ~~;~~ or

d) ~~When~~If the rail corridor has present/future use as a significant statewide or national freight corridor.

2. Local and regional ~~public and/or private~~ support for corridor preservation ~~of the corridor~~.

a) ~~Local and regional Public~~ support ~~can~~may be measured in terms of adopted land use plans supportive of rail transit or freight rail, ~~and~~ local transportation and financial commitments.

b) Private support may be measured in terms of committed resources, personnel or other economic development strategies.

~~b) Lack of expressions of community support may not prevent CDOT from preserving a corridor.~~

C3. If a corridor is identified as a state significant rail corridor, CDOT shall, where feasible and prudent, design and construct roads and ~~roadway~~-related structures to preserve an envelope right-of-

way sufficient to accommodate future passenger / freight rail service ~~or other transportation purposes planned in the corridor.~~

41. In addition, if a corridor is identified as a state significant rail corridor, CDOT may engage in, but is not restricted to, preserving rail right-of-way through the following methods of participation in either passenger or freight rail transportation corridors:

a) ~~Corridor Preservation Purchase~~: CDOT may allocate funds, ~~within its authority,~~ to purchase currently operating, ~~or~~ embargoed railroad rights-of-way, rail lines identified/proposed for abandonment, or newly ~~designated~~ rail corridors for rail ~~or other transportation purposes.~~

b) ~~Rail Right-of-Way/Track Ownership Purchase/Lease Back~~: CDOT may purchase right-of-way/track and sell or lease back to another entity to operate ~~rail or other transportation services in the corridor.~~

c) ~~Coordinate Coordination~~ with Railroad Companies: Engage private railroad companies in partnership to ensure that private railroad improvements in state significant rail corridors accommodate reasonably anticipated future transportation activities that serve the state transportation interests.

d) Cost Sharing: CDOT may share the cost of reserving railroad right-of-way for future transportation improvements with other private or public entities.

5D. If a corridor is not identified as a rail corridor of state significance, but is identified ~~on~~ in an adopted regional plan, the state may: ~~engage in but is not limited to the following activities:~~

a)1. Cost Sharing: Share the cost of reserving right-of-way for future transportation improvements with other private or public entities.

b)2. Incorporate future rail into highway design and construction: Where feasible and prudent, design and construct roads and related structures to preserve ~~an envelope right-of-way in order to accommodate future rail service or other transportation purposes planned in the corridor. sufficient to accommodate future passenger / freight rail service.~~

6.E. The following criteria should be considered when prioritizing the above activities for funding:

a)1. Magnitude of ~~negative~~ impacts upon adjacent highways. An estimate of the increased or decreased maintenance and reconstruction cost implications of diverting rail freight to truck transport on parallel state highway corridors should be evaluated ~~for now and in the future. considering present and future needs.~~

b)2. Immediacy of the possible abandonment of an existing rail line ~~or that may result in subsequent~~ private/public activity ~~that may encroaching~~ on the existing or future rail right-of-way.

e) ~~Immediacy of possible jeopardy.~~

Subject Rail Corridor Preservation Policy	Number 1607.0
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An estimate should be made to determine how soon actions may occur by ~~CDOT, public or~~ private developers or railroads that are likely to jeopardize ~~and an~~ existing or future rail corridor.

~~3. The Estimated cost price and cost effectiveness of acquiring an existing or future corridor or preserving the option to implement rail service in an existing corridor. The cost effectiveness of a particular activity should be analyzed.~~

~~4. Public-private Partnership (PPP or P3). The opportunity for participation in a public-private partnership that is beneficial to the traveling or freight-shipping public.~~

~~CF. It is the policy of the Commission that a~~ Any financial commitment to purchase rail corridors shall be subject to such rail corridors being identified, justified and included in the State Freight and Passenger Rail Plan and the Statewide Long Range Transportation Plan. ~~and that s~~ Such rail corridors shall be considered for acquisition consistent with C.R.S. § 43-1-1301 et seq., C.R.S. Rail corridors shall be acquired only after specific budgetary action has been approved pursuant to Policy Directive 703.0.

FISCAL IMPACT

~~This does not represent a significant shift of existing resources but would be considered on a corridor/project basis through the Regional and Statewide planning process.~~

~~The degree to which this policy can be implemented is affected by the availability of new funds that can be used for this purpose.~~

V. IMPLEMENTATION PLAN

This policy shall be implemented by

~~all Divisions of Engineering and Maintenance and~~

1. The Division of Transit and Rail and the Division of Transportation Development.

2. DTD and DTR shall ensure that all employees who will be referencing this Directive shall be made aware of its revisions, including but not limited to all DTR staff, DTD Multimodal Planning Branch Mobility Unit staff, Region Planners, Safety & Traffic Engineering (Section 130 Program), Regional Transportation Directors, and the Senior Management Team.

VI. REVIEW DATE

This directive shall be reviewed on or before June 2019.

Secretary, Transportation Commission

Date

Resolution # TC-

Adoption of Policy Directive 1607.0 “Rail Corridor Preservation Policy”

WHEREAS, pursuant to § 43-1-106(8)(a), C.R.S., the Colorado Transportation Commission is charged with formulating general policy with respect to the management, construction, and maintenance of public highways and other transportation systems in the state; and

WHEREAS, the Transportation Commission approved Policy Directive 1607.0 on June 30, 2000; and

WHEREAS, the Rail Corridor Preservation Policy Directive provides identifying criteria to be used in defining passenger and/or freight rail corridors of State interest and describes passenger and/or freight rail activities in which CDOT may engage; and

WHEREAS, as part of the Department’s initiative to update older Policies and Procedural Directives, the Division of Transit and Rail (“DTR”) and the Division of Transportation Development (“DTD”) have collaborated to update Policy Directive 1607.0; and

WHEREAS, the revisions to the Policy Directive, while minor, reflect the ongoing commitment of the Department to work with external public and private stakeholders and execute a transparent process based on defined criteria for abandonment or preservation; and

WHEREAS, Policy Directive 1607.0 provides value to both Department staff and external partners regarding rail preservation for the implementation of the State Freight and Passenger Rail Plan and guidance for the Statewide Long Range Transportation Plan.

NOW THEREFORE BE IT RESOLVED, the Commission herein approves updated Policy Directive 1607.0 “Rail Corridor Preservation Policy”

Transportation Commission Secretary

Date



COLORADO
Transportation Commission

4201 East Arkansas Avenue, Room270
Denver, CO 80222-3406

DATE: August 21, 2014
TO: Transportation Commission
FROM: Mark Imhoff
SUBJECT: Approval of New Policy Directive 1605.0, Interregional Express Bus Program

Purpose To approve a new Policy Directive which establishes the Division of Transit & Rail (“DTR”) reporting procedures to the Transit & Intermodal Committee (“T&I Committee”) of the Colorado Transportation Commission (“Commission”) regarding the Interregional Express Bus service (“IX Program”).

Action Pass a resolution approving Policy Directive 1605.0 on the Interregional Express Bus Program.

Background In 2009, the General Assembly passed Senate Bill 2009-094, which created the Division of Transit & Rail. The legislation, codified at § 43-1-117.5, C.R.S., sets forth the powers and duties of the Division under the Executive Director, including the operation of interregional transit service and establishing schedules and fares. The Policy Directive adheres to the statutory framework and further sets forth the reporting requirements with the Transit & Intermodal Committee and the Transportation Commission. At the January 2014 meeting, the Transportation Commission passed Resolution #TC-3133 approving the Implementation of the Interregional Express Bus program. Throughout the development of the IX Program, the discussion included a governance model with DTR administering the program, the T&I Committee providing oversight and the Transportation Commission retaining ultimate control of critical business decisions. Included in Resolution # TC-3133 was a provision to monitor the success of the program for three years of operation, and give the Transportation Commission the option at that time to continue service, modify service or cancel service.

Details This Policy Directive was developed by DTR and reviewed by the Transit & Intermodal Committee at its July 2014 meeting.

Key Benefits The Policy Directive defines roles and responsibilities associated with the IX Bus program, and provides transparency and accountability for internal processes and external information.

Options and Recommendations

- Approve Policy Directive on the Interregional Express Bus Program (Staff-supported).
- Alternatively, the Commission could determine that changes to the Directive are necessary, or determine that a Directive is an unnecessary document, and the guidance in the Directive could be provided in an internal manual.

Next Steps When the Policy Directive is approved, DTR will provide it to all CDOT staff involved in its implementation.

Attachments Draft Policy Directive and Resolution



COLORADO DEPARTMENT OF TRANSPORTATION		<input checked="" type="checkbox"/> POLICY DIRECTIVE <input type="checkbox"/> PROCEDURAL DIRECTIVE
Subject Interregional Express Bus Service (IX Service) Program		Number 1605.0
Effective TBD	Supersedes n/a	Originating Office Division of Transit and Rail (DTR)

I. Purpose

To establish the Division of Transit and Rail (“DTR”) reporting procedures to the Transit and Intermodal Committee (“Committee”) of the Colorado Transportation Commission (“Commission”) regarding the interregional express bus service (“IX Program”).

The Division of Transit and Rail (“DTR”) IX Program was developed to augment and connect population and employment centers and local bus systems along the I-25 and I-70 Mountain Corridors and connecting routes to better integrate with a statewide transit system.

II. Authority

Transportation Commission, § 43-1-106(8)(a), C.R.S.

§ 43-1-117.5(3)(a)(II), C.R.S.

§ 43-4-811 and 812, C.R.S.

III. Applicability

This Policy Directive applies to the CDOT Division of Transit and Rail (“DTR”).

IV. Procedure

A. General Provisions

1. The IX Program was developed to augment CDOT’s commitment to provide the best multi-modal transportation system in the country. The IX Program fills a critical need by connecting with local bus systems serving populations and employment centers to better integrate a statewide transit system.
2. DTR shall initiate the IX Program on a base budget of \$3 m/yr. (FASTER Transit funds) for operations expenditures. The IX Program will be limited to this annual allocation plus collected fare revenue and shall cover the total annual operating costs of the service using these funds.
3. DTR shall set targets for fare box recovery with the goal of attracting ridership to the IX Program and providing an alternative to driving that entices riders to reduce driving. The IX Program shall thus set a goal of achieving a minimum fare box recovery of 20% of operating costs within two years of service start up.

Subject	Number
Interregional Express Bus Service (IX Service) Program	1605.0

4. DTR shall manage the IX Program, oversee the service Contractor, monitor performance, and remain flexible to adjust the service in order to maximize performance, increase effectiveness, and achieve farebox recovery goals.

5. DTR, with the Office of Communications, shall develop a public outreach program to regularly solicit input from the public on the service in general, and specifically solicit input before implementing any route, service or fare modifications.

B. Powers, Duties and Responsibilities

1. Transportation Commission Oversight. The Commission shall:

a) Monitor the performance and success of the Program for three years of operation from the service start-up date (see Resolution TC-3133, “Approving the Implementation of the Interregional Express Bus, Service” dated January 16, 2014). The Commission shall determine at this time whether to continue, modify or cancel it.

b) Review and determine whether the need for capital expenditures beyond the approved IX Program (\$3 million plus fare revenue) is warranted.

c) Approve all expenditures from the Cumulative Reserve fund.

2. Transit and Intermodal Committee Oversight. The Committee shall:

a) Meet a minimum of four times a year;

b) Monitor the performance of the Program and serve as the recommending body for any substantial modification, addition or deletion of services, including capital needs;

c) Evaluate reports and monitor the progress of DTR meeting milestones;

d) Recommend the IX Program budget annually to the Commission, including the review of any capital expenditures which vary from those previously approved;

e) Recommend to the Commission allocations from the cumulative reserve beyond the IX Program annual budget; and

f) Provide status updates at least annually to the Commission.

3. DTR Responsibilities.

a) The Director of DTR will manage the Program, monitor performance, remain flexible to adjust to maximize performance, be responsible for all day-to-day decision-making, and oversee all components of the Program, including, but not limited to:

Subject	Number
Interregional Express Bus Service (IX Service) Program	1605.0

- (1) Updating the CDOT Chief Engineer and Executive Director on a regular basis by apprising him/her of the status of performance goals and service changes;
- (2) Overseeing compliance with all applicable federal and state laws and regulations, including those arising from the Americans with Disabilities Act;
- (3) Implementing Intergovernmental Agreements and Memoranda of Understanding with governmental and partner entities;
- (4) Setting schedules and fare structures;
- (5) Conducting an annual IX Program assessment (or twice annually if needed) of service coverage, routes, schedules and fares; and modify the service plan when justified.
- (6) Preparing an annual budget (fiscal year);
- (7) Purchasing of buses and other capital infrastructure elements;
- (8) Negotiating and managing contractual agreements with a private provider for the annual operations and maintenance;
- (9) Coordinating a communication plan with the Office of Communications;
- (10) Implementing a public outreach program with the Office of Communications to regularly solicit input from the public on the IX Program in general, and specifically solicit input before implementing any route, service or fare modifications;
- (11) Implementing a customer service plan with providers;
- (12) Facilitating Park-n-Ride improvements with regions;
- (13) Monitoring Contractors' Performance;
- (14) Monitoring Risk Assessment; and
- (15) Developing an annual work plan;

b) Director of DTR Reporting. The Director of DTR shall report to the Committee on a quarterly basis. The quarterly performance reports shall include the following data by corridor and Program total based on the fiscal year:

- (1) Ridership;
- (2) Fare box revenue;

Subject	Number
Interregional Express Bus Service (IX Service) Program	1605.0

- (3) Fare box recovery ratio;
- (4) On-time performance;
- (5) Safety: collisions per 100,000 miles; and
- (6) Public input received.

V. Implementation Plan

- 1. This Policy Directive will be effective immediately upon signature.
- 2. The Originating Office shall confirm within one week of the effective date that all employees in the DTR have received a copy of this Policy Directive.

VI. Review Date

This Policy Directive shall be reviewed on or before August, 2018.

Secretary, Transportation Commission

Effective Date

Resolution # TC-

Adoption of Policy Directive 1605.0 “Interregional Express Bus Service (IX Service) Program”

WHEREAS, pursuant to § 43-1-106(8)(a), C.R.S., the Colorado Transportation Commission is charged with formulating general policy with respect to the management, construction, and maintenance of public highways and other transportation systems in the state; and

WHEREAS, in 2009, the General Assembly passed Senate Bill 2009-094, codified at § 43-1-117.5, C.R.S., which created the Division of Transit & Rail; and

WHEREAS, the legislation set forth the powers and duties of the Division under the Executive Director, including the operation of interregional transit service and establishing schedules and fares; and

WHEREAS, at its January 2014 meeting, the Transportation Commission passed Resolution #TC-3133 approving the Implementation of the Interregional Express Bus program (the “IX Program”) within the Division of Transit and Rail ; and

WHEREAS, Resolution # TC-3133 further included a provision to monitor the success of the program for three years of operation, and give the Transportation Commission the option at that time to continue service, modify service or cancel service; and

WHEREAS, the Program’s governance model has been based on DTR administering the program, the Transit & Intermodal Committee providing oversight, and the Transportation Commission retaining ultimate control of critical business decisions; and

WHEREAS; Policy Directive 1605.0 defines the roles and responsibilities of the Program’s implementation and provides transparency and accountability for internal processes and external information.

NOW THEREFORE BE IT RESOLVED, the Commission herein approves Policy Directive 1605.0 “Interregional Express Bus Service (“IX Program)”

Transportation Commission Secretary

Date



COLORADO
Transportation Commission

4201 East Arkansas Avenue, Room270
Denver, CO 80222-3406

DATE: August 21, 2014
TO: Transportation Commission
FROM: Mark Imhoff, Division of Transit & Rail
SUBJECT: Amend TC-3133 to Change IX Operator Contract Term

Purpose: The purpose of this memo is to request an amendment to Transportation Commission Resolution #TC-3133, allowing DTR to submit a waiver to the State Purchasing Director to lengthen the Interregional Bus Operator contract term beyond normal State purchasing standards.

Action Approval to amend Resolution # TC-3133 permitting DTR to request a waiver from the State Purchasing Director to lengthen the IX operator contract term length from five years to 10 years (three-year term plus seven (7) one-year options), and to contract as such if the waiver is granted.

Background Transportation Commission Resolution #TC-3133 approved by the Commission on January 16, 2014 specifically authorized a private operator be procured, with a contract term of a three-year (3) agreement with two (2) one-year options.

Procurement and Contract Services has advised the Division of Transit & Rail (DTR) that a waiver to lengthen the contract term is justified. This type of Personal Services Contract could be managed more effectively and more economically advantageous if CDOT received a waiver from the State Purchasing Director to increase the contract period beyond the standard State five-year contracting limit, and extend to the ten-year wavier limit (three-year term with seven one-year options).

Details On July 24, 2014 the IX Service Provider Solicitation was awarded to Dallas, TX based Horizon Coach Lines; an operating unit of TMS (Transportation Management Systems) of Sandy Spring, MD. TMS is a worldwide major event transportation planner/ provider and FEMA's Emergency Evacuation contractor. Locally, Horizon maintains a 50+ fleet of MCI motor coaches at their Golden, CO facility and provides:

- ✓ Fixed route casino transportation between Denver and Black Hawk/Central City
- ✓ Paratransit contractor for RTD with a maintenance facility for RTD's paratransit vehicles in the South Platte River Valley.
- ✓ Contracted transit provider for United Airlines, shuttling Company flight crews between Denver International Airport and the United Airlines Flight Training Center, 24 hours/day, 7 days per week.
- ✓ They also provide charter services for hire and convention/event transportation services in the Denver Metropolitan Area for their parent, TMS.

Prior to contractor interviews and selection, "best and final offers" were solicited for both the five-year and ten-year terms.

Under either contracting scenario, the contractor will be subjected to annual performance reviews using baseline metrics developed by DTR using FTA National Transit Database before any one-year options are executed. The metrics include:



- On Time Performance
- Road Failures per 100,000 miles
- Collisions per 100,000 miles
- Complaints per 1,000 passenger
- Injuries per 100,000 miles
- Fatalities per 100,000 miles
- Property damage per 100,000 miles
- Fare box recovery ratio

Key Benefits A ten-year term offers the following key benefits:

- A ten year contract may incentivize more competitive bids, allowing amortization of capital and other expenses over ten years instead of five.
- The expected life of the coaches/buses is 10 - 12 years, and under a ten-year contract term the contractor is incentivized to better maintain the vehicles.
- Economic advantage of controlling cost-of-living adjustments over a ten year period versus five.
- There are no procedural variances in performance metrics monitoring, liquidated damages, or contractual penalties. DTR has developed baseline performance goals using the FTA National Transit Database.
- With a longer contract term, the Service Provider would have greater vested interest and ownership in the long term success of the IX.

Options and Recommendations

- Approve the revised Interregional Express Bus resolution (Staff-supported). Pros: key benefits above; cons: do not realize key benefits above.
- Reject the revised resolution, and proceed under the current resolution (three-year term with two one-year options). Pros: none; cons: do not realize key benefits above.

Next Steps If approved, DTR will submit a waiver to the State Purchasing Director requesting a ten-year term. If a waiver is granted, DTR will contract with Horizon Coach Lines for a three-year term with 7 one-year options; if rejected, DTR will contract for a three-year term with 2 one-year extensions as previously approved by the TC.

Attachments Revised Resolution reflecting the above ten-year term.



Resolution #TC-

Approving Implementation of the Interregional Express Bus

Approved by the Transportation Commission on: _____

1-WHEREAS the CDOT mission is to “provide the best multi modal transportation system for Colorado”; and

2- WHEREAS, the Colorado Legislature created the Division of Transit & Rail in 2009 (Senate Bill 09-094) vesting in CDOT the authority to develop, operate and integrate transit service into the statewide transportation system, and to establish and modify fares and schedules for transit services provided directly by the state or contracted for by the state; and

3- WHEREAS the FASTER legislation (Senate Bill 09-108, Section 43-4-206) provides ten million dollars per year for statewide transit including the maintenance, operation, or administration of transit-related projects; and

4- WHEREAS transit service connectivity is lacking due to service gaps exist between local transit systems; and

5- WHEREAS the I-25 and I-70 corridors carry high volumes of travelers and experience high levels of congestion, and therefore have significant transit demands; and

6- WHEREAS the Transportation Commission directed the development of an interregional express bus plan in December, 2012; and

7- WHEREAS the development of an interregional express bus plan included stakeholder outreach.

8- WHEREAS, upon approval by the Transportation Commission, CDOT is prepared to begin interregional express bus service in FY 2015 after it contracts with an operator and obtains fleet vehicles.

9-WHEREAS, the Transportation Commission approved TC Resolution #3133 on January 24, 2014, and more advantageous contracting terms have been identified.

NOW THEREFORE BE IT RESOLVED, the Transportation Commission hereby approves that CDOT shall provide interregional express bus service, through a contract with a private operator, and approves that service will be initiated in the following areas:

- I-25 corridor between Colorado Springs and Denver, and Fort Collins and Denver.
- The I-70 corridor between Glenwood springs and Denver.

BE IT FURTHER RESOLVED that an initial FY 2014 Start-Up Fund of \$10.9 Million shall be established from the following sources:

- \$5.5 Million of unallocated and/or withdrawn FASTER Statewide Transit funds.
- \$4.9 Million of unallocated SB 1 funds dedicated to transit.
- \$0.5M from Miscellaneous Sales; proceeds from the sale of the FREX buses (a SB 1 grant).

BE IT FURTHER RESOLVED that \$3.0 Million per year be allocated, beginning in FY 2015, from the FASTER Statewide Transit funds to be used (along with fare revenues) for the operations, maintenance and capital needs associated with the interregional express bus program.

BE IT FURTHER RESOLVED that the FY 2014 Start-Up Fund be used to:

- Purchase of 13 Over-the-Road Coaches (buses); estimated at \$7.8 Million.
- Design and construct needed Park-and-Ride improvements; estimated at \$1.0 Million.
- Procure miscellaneous capital (if needed); \$250,000.
- Fund other start-up operating costs (communications plan, branding, compliance engineer, miscellaneous); estimated at \$280,000.
- Establish the IX Reserve (contingency) Fund from the remainder of the Start-Up Fund; estimated at \$1.57 Million; under Transportation Commission control.

BE IT FURTHER RESOLVED that a private entity to operate the IX service and maintain the bus fleet be solicited and procured with the following terms:

- Request a waiver from the State Purchasing Director to increase the State standard from five years to ten years.
- If the waiver is granted, contract for a term of three (3) years with seven (7) one-year options;
- If the waiver is not granted, contract for a term of three (3) years with two (2) one-year options.
- Funded through the FASTER Statewide Transit allocation (above).

BE IT FURTHER RESOLVED to monitor performance and success for three years of operation, and give the Transportation Commission the option at that time to continue service, modify service or cancel service.



COLORADO
Transportation Commission

4201 East Arkansas Avenue, Room270
 Denver, CO 80222-3406

DATE: August 21, 2014
 TO: Transportation Commission
 FROM: Kyle Lester, Division of Highway Maintenance
 SUBJECT: Addition to the FY 15 over \$50,000 project list

Purpose

Region 4 Maintenance Section 1 has discovered issues with structure G-18-BN, on SH 86 at MM 106.025 in the City of Elizabeth. Repairs to this structure are of vital importance to the safety and mobility as well as commerce in Elizabeth.

Action

The Division of Highway Maintenance is asking the Commission to approved the attached resolution so that work on this vital structure can commence immediately.

Background

Colorado Revised Statute 24-92-109 requires CDOT to submit any project which will be performed by CDOT forces costing between \$50,000 and \$150,000 to the Transportation Commission for approval. PD 1000.0 puts the statute into Policy with the same requirement, PD 1000.0 will be repealed at this meeting of the TC, and those requirements incorporated into PD 703. Region 4, Section 1 has made an estimate for this project costing \$100,000, and taking maintenance forces from Region 4, Section 1, and Region 1, Section 5 approximately 6 weeks to complete.

Details

Staff Maintenance on behalf of Region 4 respectfully request immediate Transportation Commission approval for the performance of \$100,000.00 in necessary bridge repairs to structure G-18-BN, Hwy. 86 MP. 16.025. This structure is located in the City of Elizabeth. The repairs to this structure are crucial. The required repairs include and are not limited to the replacement of all hanger brackets that support the City of Elizabeth's sewer line currently affixed to the structure. This work will also include building concrete curbs on both sides of the bridge and drilling and installing drain pipes. Estimated repair time is 5-6 weeks. All work will be performed by Region 4 Bridge Crew in collaboration with Region 1 Special Crew. The repair work to this structure is essential to maintaining safe travel for the traveling public throughout this area.

Region 4 - Greeley				
Highway	Begin MP	End MP	Type	Estimated Cost
86	16.025	N/A	Structure G-18-BN repair	\$100,000
			Region 4-Greeley Total	\$100,000

Sufficient funds exist within the appropriate MPA's to pursue this additional project. The project is in accordance with the statute, directive, and all other requirements.

Attachments

Resolution titled - Addition to Fiscal Year 2015 over \$50,000 project list approval



Resolution #TC-

Addition to Fiscal Year 2015 over \$50,000 project list approval

Approved by the Transportation Commission on: August 21, 2014

WHEREAS, under Senate Bill 98-148, public projects supervised by the Colorado Department of Transportation (CDOT) are exempt from the requirements of the “Construction Bidding for Public Projects Act;” and

WHEREAS, Section 24-92-109, Colorado Revised Statutes, as amended, requires CDOT to prepare cost estimates for projects to be undertaken by CDOT maintenance crews that exceed \$50 thousand, but are less than or equal to \$150 thousand for submission to the Transportation Commission for review and approval; and

WHEREAS, CDOT staff have prepared cost estimates for this projects to be done in Fiscal Year 2015 as detailed in the memorandum entitled; Addition to FY 15 over \$50,000.00 project list dated July 24, 2014; and

WHEREAS, the funding for these projects are contained in the Fiscal Year 2015 Budget.

NOW THEREFORE BE IT RESOLVED, the Transportation Commission has reviewed the cost estimate, as contained in the official agenda, and approves CDOT Maintenance Forces undertaking the project therein.

Region 4 - Greeley				
Highway	Begin MP	End MP	Type	Estimate
86	16.025	N/A	Structure repair G-18-BN	\$ 100,000.00
		Total - Greeley		\$ 100,000.00
		Statewide Total		\$ 100,000.00

Sufficient funds exist within the appropriate MPA’s to pursue these projects. The projects are in accordance with the directive and all other requirements.

Herman Stockinger, Secretary
Transportation Commission of Colorado

COLORADO DEPARTMENT OF TRANSPORTATION		<input checked="" type="checkbox"/> POLICY DIRECTIVE <input type="checkbox"/> PROCEDURAL DIRECTIVE	
Subject			
Annual Budget, Project Budgeting and Cash Management Principles			703.0
Effective	Supersedes	Originating Office	
TBD	02/17/11	Office of Finance Management and Budget (“OFMB”)	

I. PURPOSE

To establish the policy by which the Colorado Department of Transportation will determine and submit the annual budget and project budgets to the Colorado Transportation Commission. The Commission will focus on substantive budget matters, i.e. those budget matters that involve material change or significant risk, and will exercise oversight on routine budget matters.

II. AUTHORITY

Colorado Transportation Commission pursuant to § 43-1-106(8)(h), C.R.S.

III. APPLICABILITY

This Policy Directive applies to all divisions, regions and offices of the Colorado Department of Transportation.

IV. DEFINITIONS

See Appendix A “Definitions”

V. POLICY

A. Scope. This Policy Directive applies to all funds and accounts administered by the Department. The scope includes the formation and execution of the Department’s budget and the approval of the Department’s programs.

B. Objective. The objective of this Policy Directive is to document annual budget and project budgeting policies followed by the Department with the Commission’s approval to maximize the flow of funds to the Department’s construction and maintenance projects applying effective and efficient cash management strategies.

1. The Commission will evaluate the Department’s ability to apply effective and efficient cash management strategies using the following criteria:
 - a. Available revenues in the Statewide Transportation Improvement Program (STIP) are as high as can be justified within relevant state and federal laws;

- b. Those revenues are fully allocated to programs or groups of projects within the STIP;
- c. Appropriations for construction and maintenance projects are as high as can be justified in conformance with state and federal laws;
- d. Conjointly with meeting the Department's objectives around the timely delivery of projects, the minimum monthly cash balances of each fund are not significantly different than the target cash balances approved for that fund by the Commission.

C. Principles.

1. Financial risk is a necessary element in maximizing the flow of funds to projects. The Department may take necessary financial risks in order to accelerate projects while implementing the necessary controls in order to stay in compliance within overall risk management measures.
2. It is necessary to obtain Commission approval for project modifications only when the modification is of high risk as defined by:
 - a. increases in project costs Substantively change the total funds allocated to a program as determined by the Transportation Commission;
 - b. project location or scope changes deviate Substantively from the approved project prioritization process or list; and
 - c. any other modifications to the project Substantively increase the risk to a project already identified as holding significant risk.
3. Level of Department and Commission governance is aligned to level of risk. Reference Appendix B "Annual Budget, Revenue, and Financial Position"; Appendix C "Project Related Transactions"; and Appendix D "Other Transactions".

D. Annual Budget.

1. The Department shall produce a long-range revenue forecast, by year and extending over at least 20 years, and a short-range revenue forecast, by month extending over at least 48 months, for use in all of the Department's programs and budgets.
2. Pursuant to § 43-1-113(2), C.R.S., annually, on or before December 15, the Commission shall adopt and the Department shall submit a proposed draft budget allocation plan for the beginning of the fiscal year beginning on July 1 of the succeeding year. No later than April 15 of each year, the Commission

shall adopt and submit a final budget allocation plan to the Office of State Planning and Budget.

3. The level of Department and Commission risk regarding the annual budget shall be defined as outlined in Appendix B.

E. Project Budgets.

1. Projects typically will be managed within a four-year program or programs of projects; for example, a four-year surface treatment program or a four-year FASTER Safety program.
2. The Department shall approve the scope, schedule and cost of each project through development and construction, and shall report to the Commission to obtain initial approval of the scope, schedule and cost of each project; and to approve subsequent substantive changes to the scope, schedule and cost of each project as outlined in Appendix B.

F. Statewide Transportation Improvement Program (STIP).

1. Pursuant to 23 C.F.R. 450.216, the Department is required to develop a STIP.
2. The Department shall use the STIP as the principal expression of its programs and projects for the execution of highway construction projects that have been selected by the Commission.
3. The Department shall develop a rolling four (4) year STIP.
4. The STIP must list regionally significant projects individually. Other projects will be grouped into programs.
5. The STIP will be amended at least once a year for major changes. Upon the conclusion of a fiscal year, a new fiscal year will be amended into the STIP as the fourth federally recognized year.
6. Minor changes will be made by Administrative Modification which will be approved by the Department Executive Director.

VI. DOCUMENTS REFERENCED IN THIS POLICY DIRECTIVE

1. Appendix A – “Definitions”
2. Appendix B – “Annual Budget, Revenue, and Financial Position”
3. Appendix C – “Project Related Transactions”
4. Appendix D – “Other Transactions”

Subject Annual and Project Budgets and Cash Management Principles	Number 703.0
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5. Appendix E – “Project Budgeting Process Flowchart”

VII. IMPLEMENTATION PLAN

1. The OFMB shall establish procedures to implement this Policy Directive.
2. The OFMB shall train all CDOT employees who are impacted by or involved with this Policy Directive.
3. This Policy Directive shall be effective upon signature.

VIII. REVIEW DATE

This directive shall be reviewed on or before August 2019.

Secretary, Transportation Commission

Date of Approval

Subject Annual and Project Budgets and Cash Management Principles	Number 703.0
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Appendix A - Definitions

“Allotment Advice” shall mean project level budget actions, initiated by Department staff, that is approved by OFMB staff without Commission approval.

“Approval” shall mean administrative permission to proceed with a project, program, or other anticipated expenditure that will require one or more officials to exercise their expenditure authorities in order to enter into one or more commitments to pay for goods or services that are needed to accomplish the project or program objectives. For purposes of this Policy Directive, the Colorado Transportation Commission approves projects.

“Budget” shall mean a financial plan that shows intended authorizations, appropriations, and allotments of funds into and out of an accounting entity. When all inflows and outflows of funds of the accounting entity are shown in the budget, the budget becomes a prospective statement of revenues and expenditures for that entity. CDOT maintains several budgets including those for Colorado Bridge Enterprise, High Performance Transportation Enterprise, the Aeronautics Division, and the core budget of CDOT, all of which are included in the State’s annual budget – the Long Bill.

“Cash Management” shall refer to the balancing of expected cash outflows with expected cash inflows.

“Confirmation Item” shall mean approved action prior to TC meeting, but included on formal Budget Supplement document.

“Department” shall mean the Colorado Department of Transportation pursuant to § 43-1-103, C.R.S.

“Programs” shall mean a logical grouping of similar projects in scope; or small and miscellaneous in nature.

“Project” shall mean highway improvement activities contained under a single sub account number in CDOT’s SAP financial management information system.

“STIP” shall mean Statewide Transportation Improvement Program – A federally required, fiscally constrained, program that depicts transportation projects for a minimum of four fiscal years up to eight (8) fiscal years.

“STIP Administrative Modification” shall mean minor changes to project costs, funding sources, or initiation dates. “Substantive” shall be used to mean exceeding the approved amount over a scope, schedule or budget threshold set by the Department’s Executive Director or designee.

Subject Annual and Project Budgets and Cash Management Principles	Number 703.0
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“STIP Amendment” shall mean any major change to a project, including addition or deletion, major change to cost, initiation dates, or scope including amending a year into the STIP.

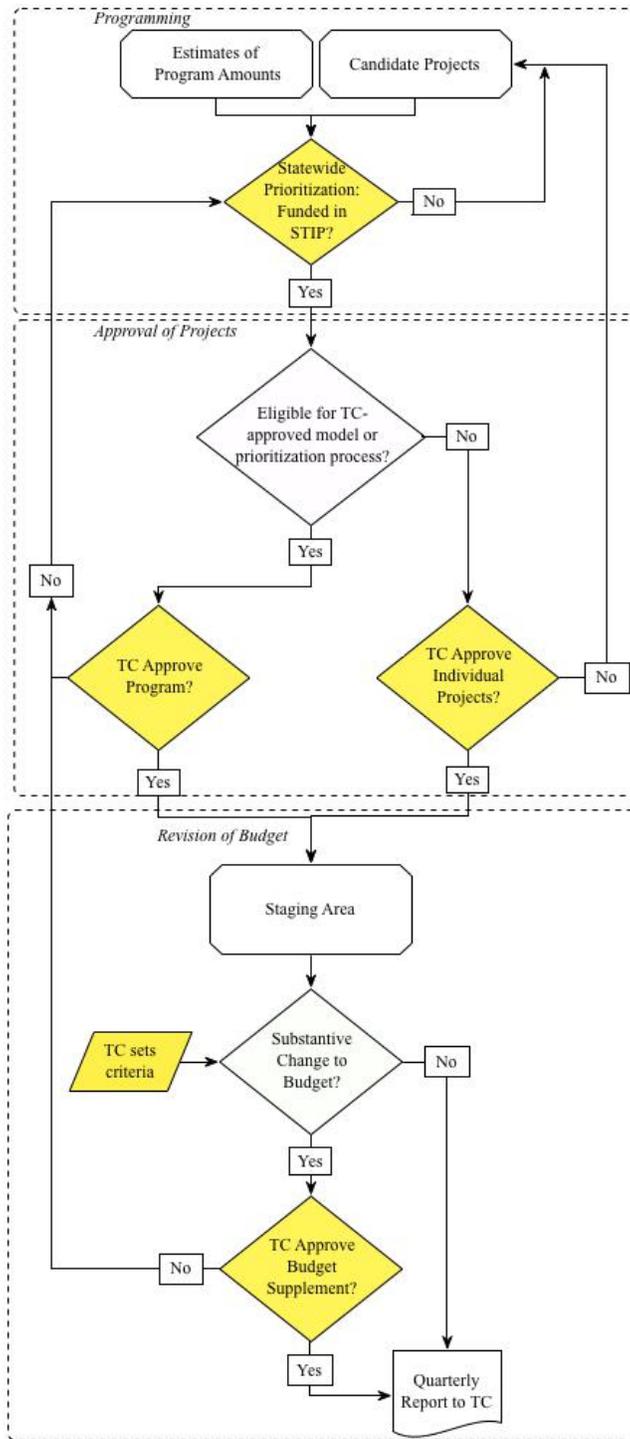
“TC Approval Required” shall mean project level budget actions, initiated by Department staff requiring Commission approval as part of a budget supplement packet.

“Transportation Commission” or “Commission” shall mean the Colorado Transportation Commission pursuant to § 43-1-406, C.R.S.

“Transportation Commission Approved List” shall mean a list of projects approved by the Transportation Commission for an Annual Program per established processes.

Appendix E - Project Budgeting Process Flowchart

(as of April 2014)



Appendix B: "Annual Budget, Revenue, and Financial Position"

Event Type	High Risk: TC Review and Approve	Moderate Risk: 2 Signatures ED (or Designee), Chief Engineer, CFO Report To and Inform TC	Low Risk: Staff Manage
STIP	STIP Amendments no less than annually	Quarterly analysis of fiscal constrained project schedule	Administrative Modifications
Capital Development Committee		Requests made to the CDC using quantitative model	
4-year Program of Projects and Corresponding Budget (see Project Related Transact.)	Acceptance of Asset Management Lists, Integrated Safety Plan and Programs of Projects as they become available	Quarterly report of allotments to projects	Locally and Regionally administered programs; or as programmed in STIP or as shown in project schedule for STIP amendments and budget supplements
		Annual forecast of amounts required to complete projects	
Cash Balances and Revenue Forecasts	Annual Risk Assessment	Quarterly reports on construction lettings and revenue forecasts	OCM limit on construction lettings each month
		Annual reports	
Revenue-Based Budget	Annual Budget Adoption: November - review draft budget March - adopt final	August - Review final budget including legislative items	Local agency project contributions, Federal Discretionary allocations, State administered grants
Common Policies	Presented as informational	Reviewed annually	
Decision Items	Greater than or equal \$1 million (Annual Process)	Less than \$1 million (Annual Process) (requires dual signature)	
Cost Center Roll Forwards	Greater than or equal \$1 million (Annual Process)	Less than \$1 million (Annual Process) (requires dual signature)	E0249-010 (Equipment) , S0014-010 (Haz Mat), S0193-010 (Engineering Training) , S0247-010 (Road Equip) , OI440-010 (ITS), SM265-010 (Property Management), SM275-010 (Camp George West HVAC)
Budget Pool Roll Forwards		Reclassifications of previous FY funds to RAMP or other programs	RPP and Local Program Pools
Project Budgets (see Project Related Transactions)	Individual projects <u>Not</u> on Approved List	Individual projects on Approved List	Individual projects on Approved List
	Additions greater than or equal to 15% and greater than or equal to \$500,000	Additions between 10%-15% or between \$250,000- \$500,000	Additions less than 10% or less than \$250,000
Cash-Based Expenditures	Budget increases greater than or equal to 10% of program and greater than \$1 million	Budget increases less than 10% of program and less than \$1 million	Quarterly review of the project schedule; expenditure forecasts and 'plan' vs. 'actual' analyses

Appendix C: "Project Related Transactions"

Project Type	Initial Project Funding	Pre-Award Adjustment and Contract Modification Orders (to the currently approved project budget)			Project Closure
		Greater than or equal to 15% and greater than or equal to \$500,000 or greater than or equal to \$5,000,000 above the original approved amount	Between 10%-15% or between \$250,000-\$500,000 above the original approved amount	Less than 10% or less than \$250,000 above the original approved amount	
2013 Emergency Relief and Permanent Repairs	Requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO			Allotment Advice	
Emergency Requests (from the Transportation Commission Contingency Relief Fund or other programs)	Requires Commission Chairperson approval for Confirmation Item			Allotment Advice	
Non-emergency Transportation Commission Contingency Reserve Fund Requests	TC Approval Required				
Asset Management Programs: Geohazard, Tunnels, Walls, Bridge On-System, Culverts, Surface Treatment, Property Management. (Including RAMP.)	TC Approval Required if not on Approved List or Model	TC Approval Required	Requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO	Allotment Advice	
	Allotment Advice if on Transportation Commission Approved List or Model				
Transportation Systems Management & Operations - Replacement	Allotment Advice	TC Approval Required	Requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO	Allotment Advice	
Transportation Systems Management & Operations - New Capital	TC Approval Required		Requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO	Allotment Advice	
Highway Safety Improvement Program	TC Approval Required if not on Approved List or Model	TC Approval Required	Requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO	Allotment Advice	
	Allotment Advice if on Transportation Commission Approved List or Model				

Appendix C: "Project Related Transactions"

Project Type	Initial Project Funding	Pre-Award Adjustment and Contract Modification Orders (to the currently approved project budget)			Project Closure
		Greater than or equal to 15% and greater than or equal to \$500,000 or greater than or equal to \$5,000,000 above the original approved amount	Between 10%-15% or between \$250,000-\$500,000 above the original approved amount	Less than 10% or less than \$250,000 above the original approved amount	
FASTER Safety Program	TC Approval Required if not on Approved List or Model	TC Approval Required	Requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO	Allotment Advice	
	Allotment Advice if on Transportation Commission Approved List or Model				
Strategic Projects (e.g. 7th Pot)	TC Approval Required			Allotment Advice	
Federal Discretionary Grants - State Match Required	TC Approval Required		Requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO	Allotment Advice	
Federal Discretionary Grants - No State Match Required	No Commission Approval Required for any action				
Regional Priority Program	No Commission Approval Required for any action with quarterly reporting to Transportation Commission				
Other State Administered Programs - Congestion Relief, Hot Spots and Railroad Crossings, Planning and Research, Safe Routes to School	No Commission Approval Required for any action				
Local contributions to state project	No Commission Approval Required for any action				
Local Administered Programs: CMAQ, TAP, STP-Metro, Bridge Off-System, Metro Planning	No Commission Approval Required for any action				
Maintenance Levels of Service	For all MLOS transactions, including Maintenance Projects, see "Other Transactions"				

Appendix C: "Project Related Transactions"

Project Type	Initial Project Funding	Pre-Award Adjustment and Contract Modification Orders (to the currently approved project budget)			Project Closure
		Greater than or equal to 15% and greater than or equal to \$500,000 or greater than or equal to \$5,000,000 above the original approved amount	Between 10%-15% or between \$250,000-\$500,000 above the original approved amount	Less than 10% or less than \$250,000 above the original approved amount	
Transit and Rail	TC Approval Required if not on Approved List or Model	TC Approval Required	Requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO	Allotment Advice	
	Allotment Advice if on Transportation Commission Approved List or Model				
Bridge Enterprise	Enterprise Board Approval Required if not on Approved List or Model	Enterprise Board Approval Required	Requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO	Allotment Advice	
	Allotment Advice if on Bridge Enterprise Board Approved List or Model				
High Performance Transportation Enterprise	HPTE Board Approval Required		Requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO	Allotment Advice	

Project Type	Initial Project Funding		Pre-Award Adjustment and Contract Modification Orders (to the currently approved project budget)		Project Closure
	Greater than or equal to 7.5% if more than \$100,000 or greater than or equal to \$1,000,000 above the original approved amount	Less than 7.5% or less than \$100,000 above the original approved amount	Greater than or equal to 7.5% if more than \$100,000 or greater than or equal to \$1,000,000 above the original approved amount	Less than 7.5% or less than \$100,000 above the original approved amount	
RAMP Operations and Partnership	TC Approval Required	Requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO	TC Approval Required	Requires 2 of 3 Signatures from Executive Director or Designee, Chief Engineer, CFO	

Appendix D: "Other Transactions"

Transaction Type	High Risk: TC Review and Approve	Moderate Risk: 2 Signatures ED (or Designee), Chief Engineer, CFO Report To and Inform TC	Low Risk: Staff Manage
FTE Requests	Increasing the total # of CDOT FTE's	Salary cap relief	Filling existing vacancies or Reclassifying to best meet business needs
Loans	Change that will trigger a loan and require Legislative Authority		Payment schedule included in quarterly and annual reports
Transfers between budget lines	TC Approval Required for current year funds	Reclassifications of previous FY funds to RAMP	
Budget Pool Level Transfers between Regions and/or HQ	Regional Priorities Program and 7th Pot	See Project 4 Year Budget for Quarterly report of allotments to projects to include Statewide administered programs (e.g. Asset Management programs, TSM&O, Safety)	Local administered programs (e.g. CMAQ, TAP, Metro)
Transfers between cost centers and program pools	Total Year to Date >= \$1,000,000	Individual Transfers >= \$250,000	Individual Transfers < \$250,000
Transfers between Capital and Operating Budget or Personal Services	Total Year to Date >= \$1,000,000	Individual Transfers >= \$250,000	Individual Transfers < \$250,000
Transfers between Personal Services and Operating Budget		Individual Transfers >= \$250,000	Individual Transfers < \$250,000
Aeronautics	Allocations for administrative costs		
MLOS	Annual Budget including Maintenance Program Areas	Budget transfers across regions	Budget transfers across sections or program areas within a region
Maintenance Projects (M Projects)		Structure Repairs, overlays, seal coats and all work where the total cost exceeds \$50,000; Emergency projects within Maintenance budget; Year end roll- forwards	Work where the total cost is < \$50,000
Earmarks and Federal discretionary funds	Application requiring state match not available from current program	State match is available, though project requires additional funds for completion, reference guidelines for other funds	Application requiring no state match
Other Programs (Administration & Operations)	To be reviewed on a biennial basis beginning in FY16 (FY 2015 total budget allocation of \$276,507,411)		
Transportation Commission Transition Fund	> = \$1,000,000	< \$1,000,000	
Contingency Funds	Any use of Transportation Commission Contingency Reserve Fund and Snow and Ice Contingency Reserve	Project contingencies allotted in projects but managed collectively (eg: program contingency) (requires dual signature)	Project contingency as part of approved project budget

Resolution # TC-

Adoption of Policy Directive 703.0 “Annual Budget, Project Budgeting and Cash Management Principles”

WHEREAS, pursuant to § 43-1-106(8)(h), C.R.S., the Colorado Transportation Commission (“Commission”) has the authority to promulgate and adopt all Colorado transportation programs and associated budgets, including prioritizing projects for the construction, reconstruction, repair, and maintenance of the state highway system; and

WHEREAS, Policy Directive 703.0 “Transportation Commission Budget Policy” was approved by the Commission on February 17, 2011; and

WHEREAS, Policy Directive 703.0 is intended to establish one document that provides guidance to the Department as to what budgetary items require Transportation Commission approval; and

WHEREAS, the Department seeks to maximize the flow of funds to construction and maintenance projects and, in doing so, apply effective and efficient cash management strategies; and

WHEREAS, the Transportation Commission (“Commission”) recognizes financial risk as a necessary element in maximizing the flow of funds to projects; and

WHEREAS, the Commission, with Department recommendation, will annually reevaluate substantive risk as associated with overall financial risk; and

WHEREAS, the Commission will annually approve Appendices B, C and D, (collectively known as the “Matrix”) attached to Policy Directive 703.0, which align the level of Department and Commission governance to the level of risk; and

NOW THEREFORE BE IT RESOLVED, the Commission herein approves Policy Directive 703.0 “Transportation Commission Budget Policy.”



COLORADO
Department of Transportation

Division of Accounting and Finance

4201 East Arkansas Avenue, Room 262
Denver, CO 80222-3400
(303) 757-9793

MEMORANDUM

DATE: August 21, 2014
TO: Transportation Commission
FROM: Scott Richrath, Chief Financial Officer
SUBJECT: Second Supplement - FY 2015

This supplement budgets projects for FY 2015 unless otherwise noted in the explanations on the following pages. The project requests are consistent with the FY 2012 through FY 2017 STIP. Funds are available from the Regions' allocations unless otherwise indicated.

Per Transportation Commission direction, Emergency Relief project updates are included in the Budget Supplement.

As requested by the Transportation Commission, the current RAMP Partnership and Operations Master Summary Report is included with this supplement. See Attachment 1.

Region 1

- \$1,800,000– **I-76/136TH CONCRETE PAVEMENT/CULVERTS–Transportation Commission Contingency Reserve Fund** -This action requests construction funding for restoration of the concrete pavement and failed subsurface culvert at mile point 19.0. The joints of the culvert are pulling apart and leading to pavement settling, shifting. Emergency contracting provisions are being used to expedite the repairs prior to winter. (20413/1000...)

I-76/136TH CONCRETE PAVEMENT/CULVERTS

Budget Components by Phase, Funding Program, Fiscal Year

Phase of Work	Program Area	Current Budget	First Supplement Action				Revised Budget	Expended Budget	
			Year of Budget			Total Request			
			FY 2015	FY 2016	FY 2017				
Construction	<i>Transportation Commission Contingency</i>	\$0	\$1,800,000	\$0	\$0	\$1,800,000	\$1,800,000	\$0	
	Total Construction	\$0	\$1,800,000	\$0	\$0	\$1,800,000	\$1,800,000	\$0	
	Total Project Budget	\$0	\$1,800,000	\$0	\$0	\$1,800,000	\$1,800,000	\$0	
			Year of Expenditure			Total Request			
			FY 2015	FY 2016	FY 2017		\$1,800,000	\$0	\$0

- \$16,348,000– **I-70 EB PPSL CONSTRUCTION PACKAGE 2 –Surface Treatment, Bridge On System, RAMP** -This action requests design and construction funding for CMGC project to add peak period should lanes on east bound I-70 from mile posts 230 to 243 in Clear Creek County. Staff recommends increase of \$11,598,000 to RAMP #1-9. (20307/1000...)

I-70 EB PPSL CONSTRUCTION PACKAGE 2

Budget Components by Phase, Funding Program, Fiscal Year

Phase of Work	Funding Program	Current Budget	Thirteenth Supplement Action				Revised Budget	Expended To-Date	
			Year of Budget			Total Request			
			FY 2015	FY 2016	FY 2017				
Design	<i>RAMP #1-9</i>	\$0	\$800,000	\$0	\$0	\$800,000	\$800,000	\$0	
	Total Design	\$0	\$800,000	\$0	\$0	\$800,000	\$800,000	\$0	
Construction	<i>RAMP #1-9</i>	\$0	\$10,798,000	\$0	\$0	\$10,798,000	\$10,798,000	\$0	
	<i>Surface Treatment</i>	\$0	\$0	\$4,650,000	\$0	\$4,650,000	\$4,650,000	\$0	
	<i>Bridge On System</i>	\$0	\$0	\$100,000	\$0	\$100,000	\$100,000	\$0	
	Total Construction	\$0	\$10,798,000	\$4,750,000	\$0	\$15,548,000	\$15,548,000	\$0	
	Total Project Budget	\$0	\$11,598,000	\$4,750,000	\$0	\$16,348,000	\$16,348,000	\$0	
			Year of Expenditure			Total Request			
			FY 2015	FY 2016	FY 2017		\$16,348,000	\$0	\$0

Region 2

- \$2,030,687– *US 50 GRANADA CREEK EAST OF GRANADA*–**Regional Priorities, Bridge On System and Transportation Commission Transition Funds** - This action requests additional construction funding for project award. The CDOT portion of this combined CDOT/Bridge Enterprise project is **50% above** the current approved budget. Transition funds do not require TC approval for use on project awards, but are presented here to reflect full project cost. (18925/ 10001...)

US 50 GRANADA CREEK EAST OF GRANADA

Budget Components by Phase, Funding Program, Fiscal Year

Phase of Work	Program Area	Current Budget	First Supplement Action				Revised Budget	Expended To-Date
			Year of Budget			Total Request		
			FY 2015	FY 2016	FY 2017			
Utilities	<i>Bridge On System</i>	\$150,000	\$0	\$0	\$0	\$0	\$150,000	\$0
	Total Utilities	\$150,000	\$0	\$0	\$0	\$0	\$150,000	\$0
Design	<i>Bridge On System</i>	\$149,204	\$0	\$0	\$0	\$0	\$149,204	\$86,828
	Total Design	\$149,204	\$0	\$0	\$0	\$0	\$149,204	\$86,828
Construction	<i>Bridge On System</i>	\$900,000	\$0	\$610,000	\$0	\$610,000	\$1,510,000	\$0
	<i>FASTER Safety</i>	\$1,000,000	\$0	\$0	\$0	\$0	\$1,000,000	\$0
	<i>TC Transition Fund</i>	\$0	\$420,687	\$0	\$0	\$420,687	\$420,687	\$0
	<i>Regional Priorities Program</i>	\$1,840,000	\$1,000,000	\$0	\$0	\$1,000,000	\$2,840,000	\$0
	Total Construction	\$3,740,000	\$1,420,687	\$610,000	\$0	\$2,030,687	\$5,770,687	\$0
Total Project Budget		\$4,039,204	\$1,420,687	\$610,000	\$0	\$2,030,687	\$6,069,891	\$86,828
			Year of Expenditure			Total Request		
			FY 2015	FY 2016	FY 2017			
			\$2,030,687	\$0	\$0	\$2,030,687		

Region 3

- \$503,672– *SH133 Paonia Reservoir Rockfall Mitigation–**Geohazard***- This action requests additional construction funding for project award. The bid amount is 16.5% greater than the previously approved budget. (19166/ 1000199307)

SH133 Paonia Reservoir Rockfall Mitigation

Budget Components by Phase, Funding Program, Fiscal Year

Phase of Work	Funding Program	Current Budget	Thirteenth Supplement Action			Total Request	Revised Budget	Expended To-Date
			Year of Budget					
			FY 2015	FY 2016	FY 2017			
Design	<i>Geohazard</i>	\$54,000	\$0	\$0	\$0	\$0	\$54,000	\$52,058
	Total Design	\$54,000	\$0	\$0	\$0	\$0	\$54,000	\$52,058
Construction	<i>Geohazard</i>	\$3,000,000	\$503,672	\$0	\$0	\$503,672	\$3,503,672	\$0
	Total Construction	\$3,000,000	\$503,672	\$0	\$0	\$503,672	\$3,503,672	\$0
Total Project Budget		\$3,054,000	\$503,672	\$0	\$0	\$503,672	\$3,557,672	\$52,058
			Year of Expenditure			Total Request		
			FY 2015	FY 2016	FY 2017	\$503,672		
			\$503,672	\$0	\$0	\$503,672		

Transportation Systems Management & Operations

- \$700,000– *I-70EB Climbing Lane Vail–**ITS Investment***- This action requests additional construction funding for a contract modification order (CMO) to add 3 ramp meters on eastbound on-ramps at Silverthorne, Frisco and Copper Mountain. Due to the urgency of a rapid approaching winter, the most efficient way to build these meters will be to add them to an existing overlay. (19171/ 1000...)

I-70EB Climbing Lane Vail & Straight Crk

Budget Components by Phase, Funding Program, Fiscal Year

Phase of Work	Program Area	Current Budget	First Supplement Action			Total Request	Revised Budget	Expended Budget
			Year of Budget					
			FY 2015	FY 2016	FY 2017			
Construction	<i>ITS Investment</i>	\$0	\$0	\$700,000	\$0	\$700,000	\$700,000	\$0
	<i>Surface Treatment</i>	\$8,700,000	\$0	\$0	\$0	\$0	\$8,700,000	\$0
	Total Construction	\$0	\$0	\$700,000	\$0	\$700,000	\$9,400,000	\$0
Total Project Budget		\$8,700,000	\$0	\$700,000	\$0	\$700,000	\$9,400,000	\$0
			Year of Expenditure			Total Request		
			FY 2015	FY 2016	FY 2017	\$700,000		
			\$700,000	\$0	\$0	\$700,000		

FY 2014 to FY 2015 Roll-forwards

- \$ 2,543,681- **Project Support**- Request roll forward of FY 2014 cost center budget to continue consultant support from AECOM on Cash Management, Project Management and RAMP initiatives as well as a facilitator supporting Staff Branches for the QIC meetings.

The new Transportation Commission budget policy directive would not require the projects that follow to be approved in a monthly budget supplement.

Region 1

- \$1,750,000 – *REGION 1 ASPHALT CRACK SEAL* – **Surface Treatment**– This action requests construction funding for resurfacing and crack seal on multiple highways. Scheduled advertisement of 10/09/2014. (19803/ 1000199243)

REGION 1 ASPHALT CRACK SEAL

Budget Components by Phase, Funding Program, Fiscal Year

Phase of Work	Funding Program	Current Budget	Thirteenth Supplement Action				Revised Budget	Expended To-Date
			Year of Budget			Total Request		
			FY 2015	FY 2016	FY 2017			
Design	<i>Surface Treatment</i>	\$15,744	\$0	\$0	\$0	\$0	\$15,744	\$7,923
	Total Design	\$15,744	\$0	\$0	\$0	\$0	\$15,744	\$7,923
Construction	<i>Surface Treatment</i>	\$0		\$1,750,000	\$0	\$1,750,000	\$1,750,000	\$0
	Total Construction	\$0	\$0	\$1,750,000	\$0	\$1,750,000	\$1,750,000	\$0
Total Project Budget		\$15,744	\$0	\$1,750,000	\$0	\$1,750,000	\$1,765,744	\$7,923
			Year of Expenditure			Total Request		
			FY 2015	FY 2016	FY 2017			
			\$1,750,000	\$0	\$0	\$1,750,000		

Per guidance provided under Transportation Commission resolution approved in March 2014, this request for project budget does not require Transportation Commission approval as a statewide Asset Management model and prioritization process exists for the Surface Treatment program. Project Support has confirmed this project is consistent with the Statewide prioritization models.

- \$2,000,000 – *SH33 BRIDGE #E-17-AH DEVOLUTION*– **Bridge On System**– This action requests funding for the devolution of the bridge structure. (20343/ 1000198661)

SH33 BRIDGE #E-17-AH DEVOLUTION

Budget Components by Phase, Funding Program, Fiscal Year

Phase of Work	Funding Program	Current Budget	First Supplement Action				Revised Budget	Expended Budget
			Year of Budget			Total Request		
			FY 2015	FY 2016	FY 2017			
Misc	<i>Bridge On System</i>	\$0	\$2,000,000	\$0	\$0	\$2,000,000	\$2,000,000	\$0
	Total Misc	\$0	\$2,000,000	\$0	\$0	\$2,000,000	\$2,000,000	\$0
Total Project Budget		\$0	\$2,000,000	\$0	\$0	\$2,000,000	\$2,000,000	\$0
			Year of Expenditure			Total Request		
			FY 2015	FY 2016	FY 2017			
			\$2,000,000	\$0	\$0	\$2,000,000		

Per guidance provided under Transportation Commission resolution approved in March 2014, this request for project budget does not require Transportation Commission approval as a statewide Asset Management model and prioritization process exists for the Bridge On System program. Project Support has confirmed this project is consistent with the Statewide prioritization models.

Region 2

- \$479,593– *Critical Culverts SH 350* –**Culverts**- This action requests additional construction funding for project award, replacing or repairing culverts at 2 locations. The bid amount is 21.4% greater than the previously approved budget. (20123/ 10001...)

Critical Culverts SH 350

Budget Components by Phase, Funding Program, Fiscal Year

Phase of Work	Program Area	Current Budget	First Supplement Action				Revised Budget	Expended Budget
			Year of Budget			Total Request		
			FY 2015	FY 2016	FY 2017			
Construction	<i>Culverts</i>	\$2,240,000	\$479,593	\$0	\$0	\$479,593	\$2,719,593	\$0
	Total Construction	\$2,240,000	\$479,593	\$0	\$0	\$479,593	\$2,719,593	\$0
Total Project Budget		\$4,480,000	\$479,593	\$0	\$0	\$479,593	\$2,719,593	\$0
			Year of Expenditure			Total Request		
			FY 2015	FY 2016	FY 2017			
			\$479,593	\$0	\$0	\$479,593		

Per proposed Policy Directive 703.0 this request for additional budget below \$500,000 would not require Transportation Commission approval; rather it would require 2 signatures from the Chief Engineer, Chief Financial Officer or Executive Director’s designee.

Region 3

- \$4,730,000– *SH 133 Redstone North and South*–**Surface Treatment, Bridge On System, Geohazard**- This action requests construction funding for resurfacing, rock fall scaling, bridge deck waterproofing and other minor rehab on three bridges. Scheduled advertisement of 10/16/2014. (20167/ 1000199307)

SH 133 Redstone North and South

Budget Components by Phase, Funding Program, Fiscal Year

Phase of Work	Program Area	Current Budget	First Supplement Action				Revised Budget	Expended Budget
			Year of Budget			Total Request		
			FY 2015	FY 2016	FY 2017			
Construction	<i>Geohazard</i>	\$0	\$30,000	\$0	\$0	\$30,000	\$30,000	\$0
	<i>Surface Treatment</i>	\$0	\$0	\$4,400,000	\$0	\$4,400,000	\$4,400,000	\$0
	<i>Bridge On-System</i>	\$0	\$0	\$300,000	\$0	\$300,000	\$300,000	\$0
	Total Construction	\$0	\$30,000	\$4,700,000	\$0	\$4,730,000	\$4,730,000	\$0
Total Project Budget		\$0	\$30,000	\$4,700,000	\$0	\$4,730,000	\$4,730,000	\$0
			Year of Expenditure			Total Request		
			FY 2015	FY 2016	FY 2017			
			\$330,000	\$4,400,000	\$0	\$4,730,000		

Per guidance provided under Transportation Commission resolution approved in March 2014, this request for project budget does not require Transportation Commission approval as a statewide Asset Management model and prioritization process exists for these programs. Project Support has confirmed this project is consistent with the Statewide prioritization models.

COLORADO DEPARTMENT OF TRANSPORTATION

STATE OF COLORADO

**Second
Supplement**

Fiscal year 2014-2015

Dated: August 21, 2014

COLORADO DEPARTMENT OF TRANSPORTATION
STATE OF COLORADO

RESOLUTION NO. TC –

**“BE IT RESOLVED, That the Second Supplement to the Fiscal Year 2014-2015
Budget be approved by the Commission”**

**Transportation Commission Contingency Reserve Fund Reconciliation
Second Supplement FY 2015 Budget**

Transaction Date	Transaction Description	Amount	Balance	Reference Document
June-14	<i>Final Balance 13S14</i>		\$63,398,117	
	<i>state match for ER permanent repair projects</i>	\$ 125,009		1000197455-1000198070
	<i>to ER Cost Center for FEMA related expenses</i>	\$ (265,096)		1000198056
	<i>FY15 Budget Allocation</i>	\$ 20,808,485		1000198107
	<i>Transfer to Transportation Commission Legacy Fund</i>	\$ (10,000,000)		1000198139
	<i>US-50 near Parkdale embankment repair, bid adjustment</i>	\$ (216,163)		1000198728
July-14	<i>Balance 1S15</i>		\$73,850,352	
	<i>1S15 Walk-on loan Glenwood Canyon Bike Trail</i>	\$ (400,000)		1000198921
	<i>Repayment of FY14 DTR Loan</i>	\$ 5,305,665		1000198674
	<i>state match for ER permanent repair projects</i>	\$ (748,169)		1000197455-1000199228
	<i>Repayment of FY14 Civil Rights and On the Job Training</i>	\$ 306,420		1000198382
	<i>Return of unbudget US 24 funds from region 2</i>	\$ 499,999		1000199268
	<i>I-76 Emergency Culvert and Concrete Repair</i>	\$ (1,800,000)		Pending
August-14	<i>Balance 2S15</i>		\$77,014,267	

**Transportation Commission Contingency Snow & Ice Fund Reconciliation
Second Supplement FY 2015 Budget**

Transaction Date	Transaction Description	Amount	Balance	Reference Document
June-14	<i>Carry forward from FY 2014</i>		\$0	
	<i>FY 2015 allocation</i>	\$10,000,000		1000198107
July-14	<i>Balance 1S15</i>		\$10,000,000	

**Transportation Commission Transition Fund Reconciliation
Second Supplement FY 2015 Budget**

Transaction Date	Transaction Description	Amount	Balance	Reference Document
	<i>Transfer from TCCRF</i>	\$10,000,000		1000198139
July-14	<i>Balance 1S15</i>		\$10,000,000	

Transportation Commission Contingency Reserve Fund

September 11, 2013 Flood Related Monthly Activity Report

Provides detail level information for any (disbursements from)/reimbursements to the TCCRF

Second Supplement 2015, as of August 4, 2014

Temporary Repair Emergency Relief-Nonparticipating costs (not reimbursable if expended)

State				Total Budget	
Reg	Highway	Mileposts	Project Description	County	TCCRF
No transactions this month					

Temporary Repair Emergency Relief-Debris removal and other reimbursable costs (reimbursable at maximum 75% of participating costs from FEMA)

State				Total Budget	
Reg	Highway	Mileposts	Project Description	County	TCCRF
No transactions this month					

Total Temporary Emergency Relief	\$ -
----------------------------------	------

Permanent Repair Emergency Relief-Nonparticipating costs and state match (not reimbursable if expended)

State				Total Budget	
Reg	Highway	Mileposts	Project Description	County	TCCRF
1	225A	7.100-11.740	PR I-225:Miss to I-70 Flood Repairs	Adams/Arapahoe	\$ (61,472)
1	070A	241.400-241.800	PR I-70 MP 241.6 FLOOD REPAIR:SLIDE	Clear Creek	\$ (24,032)
1	072A	12.500-24.450	PR SH72A FLOOD PERMANENT REPAIR	Boulder/Gilpin/Jefferson	\$ (102,708)
4	Various	Varius	PR SH 71 and SH 39	Morgan	\$ (559,957)
Total Permanent Restoration					\$ (748,169)

Grand Total TCCRF Activity for Flood Relief Since Last Reporting	\$ (748,169)
---	---------------------



August FY 2015 Contingency Balance Reconciliation

July FY 2015 TC Contingency Balance	\$73,850,352
Glenwood Canyon Bike Path Repair (1 st Supplement Walk- On)	(\$400,000)
Emergency Relief Project Allocation - Permanent Restoration	(\$748,169)
Repayment of FY 2014 Transit and Rail loan	\$5,305,665
Civil Rights FHWA revenue received, returning state fund advancement	\$306,420
Return of unused FY 2014 pool balances	\$499,999
I-76 Emergency Culvert and Concrete Repair	\$1,800,000
August FY 2015 TC Contingency Balance	\$77,014,267



FY 2015 Contingency Balance Projection

August FY 2015 TC Contingency Balance	\$77,014,267	
FY 2015 State Match for Emergency Relief/Permanent Recovery	Low Estimate	High Estimate
	(\$10,000,000)	(\$20,000,000)
Estimated Railroad Exposure	(\$10,000,000)	
Federal Reimbursement of US550, US24; Return of HPTE loans; and Other Impacts	Max Reimbursement Estimate	Min Reimbursement Estimate
	\$10,000,000	\$5,000,000
FY 2015 Contingency Estimate - Prior to FY 2015 TCCRF Funding Requests	High Balance	Low Balance
	\$68,814,267	\$53,814,267
Average Annual TCCRF Funding Requests	(\$25,000,000)	(\$25,000,000)
Projected June 30, 2015 Contingency Balance	\$42,014,267	\$27,014,267
FY 2016 Funds Required to Reach \$50M	\$7,985,733	\$22,985,733

Partnership and Operations Projects - Status Through July 2014 TC Meeting

Public-Private Partnership

Key	
	TC Approved or Staff Recommends Budgeting Funds (Group 1)
	Staff Recommends Budgeting Funds (Group 2)
	Staff Recommends Further Development (Group 3)
	Projects that have been Withdrawn or Removed (Group 4)

** Numbers are shown as a COST VARIANCE	
-\$4,800.00	Numbers shown in red or with a negative represent an overage
\$6,000.00	Numbers shown in green represent an underage

Tracking #	PCN	Project Name	TC Approved Total Project Cost	Estimated Total Project Cost	** Total Project Cost Delta	TC Approved RAMP Request	Estimated RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Contributions	Local Delta	Other Funds	Other Funds Delta	Status as of July TC	
Group 1	N/A	19879	WB Twin Tunnels Expansion	\$55,000,000	\$55,000,000	\$0	\$48,000,000	\$48,000,000	\$0	\$0	\$0	\$0	\$7,000,000	\$0	RAMP Funding Approved by TC in February
	1	TC Approved or Staff Recommends Budgeting Funds (Group 1)		\$55,000,000	\$55,000,000	\$0	\$48,000,000	\$48,000,000	\$0	\$0	\$0	\$0	\$7,000,000	\$0	

Tracking #	PCN	Project Name	TC Approved Total Project Cost	Estimated Total Project Cost	** Total Project Cost Delta	TC Approved RAMP Request	Estimated RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Contributions	Local Delta	Other Funds	Other Funds Delta	Status as of July TC
Group 2														None
		Staff Recommends Budgeting Funds (Group 2)		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	

Tracking #	PCN	Project Name	TC Approved Total Project Cost	Estimated Total Project Cost	** Total Project Cost Delta	TC Approved RAMP Request	Estimated RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Contributions	Local Delta	Other Funds	Other Funds Delta	Status as of July TC	
Group 3	1-2	18999	C-470 Managed Toll Express Lanes: Kipling to I-25	\$200,000,000	\$214,000,000	-\$14,000,000	\$100,000,000	\$100,000,000	\$0	\$10,000,000	\$5,500,000	\$0	\$84,500,000	\$0	Staff is continuing project development including Toll and Revenue studies. Staff plans for a recommendation for funding in the December Transportation Commission meeting.
	4-5a	19626	I-25: Tolloed Express Lanes: 120th to SH 7	\$1,040,000,000	\$1,040,000,000	\$0	\$55,000,000	\$55,000,000	\$0						RAMP Funding of 10% granted by TC in March for continued preconstruction activity.
	4-5b	14276 18319 18357 18844	I-25: Tolloed Express Lanes: SH 7 North to SH 14				\$35,000,000	\$35,000,000	\$0						
	N/A	-	HTPE P3 Development Fund	\$200,000,000	\$200,000,000	\$0	\$40,000,000	\$35,400,000	\$4,600,000	\$0	\$0	\$0	\$160,000,000	\$0	Staff Recommends Further Development * Reallocation of HTPE RAMP Funds (\$4.6M) to the EB PPSL project through the August Budget Supplement. Upon financial close of the PPSL project, \$4.6M may be restored to Public-Private Partnerships' RAMP funding allocation
4	Staff Recommends Further Development (Group 3)		\$1,440,000,000	\$1,454,000,000	-\$14,000,000	\$230,000,000	\$225,400,000	\$4,600,000	\$10,000,000	\$5,500,000	\$0	\$244,500,000	\$0		

4	SUB-TOTAL Public-Public Partnership Projects		\$1,495,000,000	\$1,509,000,000	-\$14,000,000	\$278,000,000	\$273,400,000	\$4,600,000	\$10,000,000	\$5,500,000	\$0	\$251,500,000	\$0	
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Tracking #	PCN	Project Name	TC Approved Total Project Cost	Estimated Total Project Cost	** Total Project Cost Delta	TC Approved RAMP Request	Estimated RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Contributions	Local Delta	Other Funds	Other Funds Delta	Status as of July TC
Group 4														None
		Projects that have been Withdrawn (Group 4)		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	

5	TOTAL Partnership Projects: HTPE P3 Projects		\$1,495,000,000	\$1,509,000,000	-\$14,000,000	\$278,000,000	\$273,400,000	\$4,600,000	\$10,000,000	\$5,500,000	\$0	\$251,500,000	\$0	
	Percentage over Transportation Commission Approved Amount				0.94%			-1.65%						

Partnership and Operations Projects - Status Through July 2014 TC Meeting

Public-Public Partnership

Key	
TC Approved or Staff Recommends Budgeting Funds (Group 1)	
Staff Recommends Budgeting Funds (Group 2)	
Staff Recommends Further Development (Group 3)	
Projects that have been Withdrawn or Removed (Group 4)	

** Numbers are shown as a COST VARIANCE	
-\$4,800.00	Numbers shown in red or with a negative represent an overage
\$6,000.00	Numbers shown in green represent an underage

Tracking #	PCN	Project Name	TC Approved Total Project Cost	Estimated Total Project Cost	** Total Project Cost Delta	TC Approved RAMP Request	Estimated RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Contribution	Local Delta	Other Funds	Other Funds Delta	Status as of July TC	
Group 1	1-7	17810	Eisenhower-Johnson Memorial Tunnels (EJMT) Fire Suppression System	\$25,000,000	\$25,000,000	\$0	\$9,000,000	\$9,000,000	\$0	\$5,000,000	\$0	\$0	\$11,000,000	\$0	RAMP Funding Approved by TC in February
	1-14	19970	SH 2 in Commerce City Widening and Devolution	\$20,800,000	\$18,700,000	\$2,100,000	\$13,600,000	\$13,600,000	\$0	\$5,100,000	\$0	\$0	\$0	-\$2,100,000	RAMP Funding Approved by TC in February
	1-15	19896	US 6 and 19th St. Intersection Grade Separation	\$25,000,000	\$25,000,000	\$0	\$20,000,000	\$20,000,000	\$0	\$5,000,000	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	1-19	17219	Colorado Blvd. in Idaho Springs Final Phase and Devolution	\$21,900,000	\$21,900,000	\$0	\$21,900,000	\$21,900,000	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	1-37	19957	Federal Blvd: 6th to Howard Reconstruction and Multimodal Improvements	\$29,203,881	\$29,181,821	\$22,060	\$23,363,881	\$23,341,821	\$22,060	\$5,840,000	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	1-46	19192	I-25 and Arapahoe Rd. Interchange	\$74,000,000	\$74,000,000	\$0	\$50,400,000	\$50,400,000	\$0	\$16,400,000	\$0	\$0	\$7,200,000	\$0	RAMP Funding Approved by TC in February
	2-1	19964	SH 67 in Victor Devolution (cash payment)	\$307,702	\$307,702	\$0	\$307,702	\$307,702	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	2-5	19954	US 160 Turnouts	\$1,015,000	\$1,015,000	\$0	\$840,000	\$840,000	\$0	\$0	\$175,000	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	2-7	19965	US 24 Business Route Devolution (cash payment)	\$2,602,475	\$2,602,475	\$0	\$2,602,475	\$2,602,475	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	2-20	19906	US 50 / Dozier / Steinmeier Intersection / Signal Improvements (companion project to 2-9)	\$1,500,000	\$1,500,000	\$0	\$1,200,000	\$1,200,000	\$0	\$300,000	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	2-21	19039	I-25 and Cimarron Interchange Reconstruction	\$95,000,000	\$95,000,000	\$0	\$24,000,000	\$24,000,000	\$0	\$6,000,000	\$0	\$0	\$65,000,000	\$0	RAMP Funding Approved by TC in March
	2-22	18367	I-25 Fillmore Interchange Diverging Diamond Interchange (DDI) Conversion	\$21,300,000	\$23,300,000	-\$2,000,000	\$11,000,000	\$11,700,000	-\$700,000	\$1,300,000	\$7,000,000	\$1,300,000	\$3,300,000	\$0	RAMP Funding Approved by TC in February
	2-23	19522	SH 21 / Old Ranch Rd. Interchange Completion	\$9,266,000	\$10,333,779	-\$1,067,779	\$600,000	\$600,000	\$0	\$8,600,000	\$0	\$600,000	\$1,133,779	\$467,779	RAMP Funding Approved by TC in February
	2-31	19205 19208 19408	I-25 Ilex to 1st St. in Pueblo (includes devolution match in RAMP request)	\$33,200,000	\$33,200,000	\$0	\$22,000,000	\$22,000,000	\$0	\$1,200,000	\$0	\$0	\$10,000,000	\$0	RAMP Funding Approved by TC in February
	2-33	19056 19751	US 50 / SH 45 Interchange, Wills to Purcell-Pueblo (companion project 2-10)	\$10,000,000	\$10,000,000	\$0	\$5,000,000	\$5,000,000	\$0	\$0	\$0	\$0	\$5,000,000	\$0	RAMP Funding Approved by TC in February
	3-6	20087	SH 6/SH13 in Rifle Devolution	\$5,600,000	\$5,600,000	\$0	\$5,600,000	\$5,600,000	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	3-9	19094	I-70 Vail Underpass (Simba Run)	\$20,800,000	\$20,800,000	\$0	\$14,600,000	\$14,600,000	\$0	\$6,000,000	\$0	\$0	\$200,000	\$0	RAMP Funding Approved by TC in February
	3-12/29	19930	SH 9 - Frisco to Breckenridge: Iron Springs Phase and Vail Pass Multi-Use Path Devolution	\$21,985,000	\$22,013,668	-\$28,668	\$17,500,000	\$17,528,668	-\$28,668	\$0	\$4,485,000	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	3-14	19459	I-70 Eagle Interchange Upgrade	\$9,887,365	\$9,887,365	\$0	\$3,500,000	\$3,500,000	\$0	\$3,437,364	\$0	\$0	\$2,950,001	\$0	RAMP Funding Approved by TC in February
	3-24	19911	I-70 Exit 31 Horizon Drive	\$5,000,000	\$5,250,000	-\$250,000	\$4,000,000	\$4,200,000	-\$200,000	\$1,050,000	\$0	\$50,000	\$0	\$0	RAMP Funding Approved by TC in February
3-31	19874	US 40 Improvements in Fraser	\$1,950,390	\$2,145,320	-\$194,930	\$1,267,754	\$1,394,458	-\$126,704	\$750,862	\$0	\$68,226	\$0	\$0	RAMP Funding Approved by TC in February	
3-40	19910	SH 9 Grand County Safety Improvement Project	\$46,000,000	\$46,000,000	\$0	\$36,222,000	\$36,222,000	\$0	\$9,722,000	\$0	\$0	\$56,000	\$0	RAMP Funding Approved by TC in February	
4-6	19893	US 34 in Estes Park Improvements and Devolution	\$16,000,000	\$16,005,000	-\$5,000	\$4,200,000	\$4,200,000	\$0	\$0	\$0	\$0	\$11,805,000	\$5,000	RAMP Funding Approved by TC in February	

Partnership and Operations Projects - Status Through July 2014 TC Meeting

Public-Public Partnership

Tracking #	PCN	Project Name	TC Approved Total Project Cost	Estimated Total Project Cost	** Total Project Cost Delta	TC Approved RAMP Request	Estimated RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Contributions	Local Delta	Other Funds	Other Funds Delta	Status as of July TC	
Group 1 (cont.)	4-20	12372 18401 19561	North College / US 287 Conifer to Laporte Bypass	\$36,000,000	\$36,157,682	-\$157,682	\$17,500,000	\$17,500,000	\$0	\$4,648,500	\$0	\$248,500	\$14,009,182	-\$90,818	RAMP Funding Approved by TC in February
	4-25	19889	SH 14 / Greenfields Ct. - Frontage Rd. Relocation and Intersection Improvements	\$2,100,000	\$2,100,000	\$0	\$1,680,000	\$1,680,000	\$0	\$420,000	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in March
	4-28	19891	SH 392 & CR 47 Intersection Safety Improvements	\$3,685,180	\$3,685,180	\$0	\$1,842,590	\$1,842,590	\$0	\$1,842,590	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	4-29	19890	US 34 & CR 49 Intersection Safety Improvements	\$2,200,000	\$2,200,000	\$0	\$1,500,000	\$1,500,000	\$0	\$700,000	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	4-30	19892	SH 392 & CR 74 Intersection Safety Improvements	\$2,249,875	\$2,249,875	\$0	\$1,000,000	\$1,000,000	\$0	\$1,249,875	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	4-34/51/52	19894 20204 20203	Turning Lanes at US 34 and County Road H / US 385 & YCR 33.6 / US 34 & YCR J	\$1,752,000	\$1,591,000	\$161,000	\$944,200	\$944,200	\$0	\$0	\$627,000	\$0	\$19,800	-\$161,000	RAMP Funding Approved by TC in February
	4-54	18397	SH 119 Diagonal: 30th to Foothills Parkway Multi-modal Improvements Project	\$5,570,000	\$5,570,000	\$0	\$4,456,000	\$4,456,000	\$0	\$1,114,000	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	4-58	19888	SH 119 Boulder Canyon Trail Extension	\$5,466,350	\$5,466,350	\$0	\$4,373,080	\$4,373,080	\$0	\$1,093,270	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in March
	5-6	19909	US 550 Sky Rocket Box Culvert Replacement	\$2,000,000	\$2,000,000	\$0	\$1,600,000	\$1,600,000	\$0	\$400,000	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	5-8	19908	SH 172 / 151 Signalization	\$1,800,000	\$1,800,000	\$0	\$1,430,000	\$1,430,000	\$0	\$370,000	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	5-10	19902	US 160 / Wilson Gulch Road Extension	\$6,400,000	\$6,400,000	\$0	\$4,288,000	\$4,288,000	\$0	\$2,112,000	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	5-13	19397	SH 145 at CR P Safety Improvements	\$1,660,194	\$1,660,194	\$0	\$1,577,185	\$1,577,185	\$0	\$83,036	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	5-14	18972	US 285 Antonito Storm Drain System Replacement	\$2,742,429	\$2,742,429	\$0	\$2,193,944	\$2,193,944	\$0	\$100,000	\$448,485	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	5-15	19411	SH 62 Ridgway Street Improvements (pending approval of local match)	\$13,791,257	\$13,291,257	\$500,000	\$10,494,509	\$10,494,509	\$0	\$2,000,000	\$796,748	\$0	\$0	-\$500,000	RAMP Funding Approved by TC in February
5-18	19643	US 24 Enhancement Project in Buena Vista	\$2,497,090	\$2,497,090	\$0	\$1,997,090	\$1,997,090	\$0	\$500,000	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February	
38	TC Approved or Staff Recommends Budgeting Funds (Group 1)		\$587,232,188	\$588,153,187	-\$920,999	\$349,580,410	\$350,613,722	-\$1,033,312	\$92,333,497	\$13,532,233	\$2,266,726	\$131,673,762	-\$2,379,039		
Group 2	Tracking #	PCN	Project Name	TC Approved Total Project Cost	Estimated Total Project Cost	** Total Project Cost Delta	TC Approved RAMP Request	Estimated RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Contributions	Local Delta	Other Funds	Other Funds Delta	Status as of July TC
	Staff Recommends Budgeting Funds (Group 2)			\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	None
Group 3	Tracking #	PCN	Project Name	TC Approved Total Project Cost	Estimated Total Project Cost	** Total Project Cost Delta	TC Approved RAMP Request	Estimated RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Contributions	Local Delta	Other Funds	Other Funds Delta	Status as of July TC
	Staff Recommends Further Development (Group 3)			\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	None
38	SUB-TOTAL Public-Public Partnership Projects			\$587,232,188	\$588,153,187	-\$920,999	\$349,580,410	\$350,613,722	-\$1,033,312	\$92,333,497	\$13,532,233	\$2,266,726	\$131,673,762	-\$2,379,039	
Group 4	Tracking #	PCN	Project Name	TC Approved Total Project Cost	Estimated Total Project Cost	** Total Project Cost Delta	TC Approved RAMP Request	Estimated RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Contributions	Local Delta	Other Funds	Other Funds Delta	Status as of July TC
	2-27	-	I-25A Exit 18 NW Frontage Rd Devolution	\$110,544	\$110,544	\$110,544	\$110,544	\$110,545	\$110,544						Local Agency Withdrew Project in December 2013
	2-29	-	I-25 Exit 11 SW Frontage Rd Devolution	\$155,307	\$155,307	\$155,307	\$155,307	\$155,307	\$155,307						Local Agency Withdrew Project in December 2013
2	Projects that have been Withdrawn (Group 4)			\$265,851	\$265,851	\$265,851	\$265,851	\$265,852	\$265,851	\$0	\$0	\$0	\$0	\$0	
40	TOTAL Public-Public Partnership Projects			\$587,498,039	\$588,419,038	-\$655,148	\$349,846,261	\$350,879,574	-\$767,461	\$92,333,497	\$13,532,233	\$2,266,726	\$131,673,762	-\$2,379,039	
					Percentage over Transportation Commission Approved Amount										
					0.11%										
					0.22%										

Partnership and Operations Projects - Status Through July 2014 TC Meeting

Operations

Key	
TC Approved or Staff Recommends Budgeting Funds (Group 1)	
Staff Recommends Budgeting Funds (Group 2)	
Staff Recommends Further Development (Group 3)	
Projects that have been Withdrawn or Removed (Group 4)	

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Tracking #	PCN	Project Name	TC Approved Total Project Cost	Estimated Total Project Cost	** Total Project Cost Delta	TC Approved RAMP Request	Estimated RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Funds	Local Delta	Other Funds	Other Funds Delta	Status as of July TC	
Group 1	1-09	19474 19984 20306 20307	I-70 Eastbound Peak Period Shoulder Lanes	\$34,000,000	\$72,500,000	-\$38,500,000	\$20,000,000	\$31,598,000	-\$11,598,000	\$500,000	\$0	\$0	\$40,402,000	\$26,902,000	Staff recommends budgeting additional funds for Construction Package 2 * Reallocation of HPTE RAMP Funds (\$4.6M) and 7th Pot Construction Savings (\$6.998M) to the EB PPSL project through the August Budget Supplement. Upon financial close of the PPSL project, \$4.6M may be restored to Public-Private Partnerships' RAMP funding allocation
	1-27	20063	SH-74 South of El Rancho Safety Shoulders	\$57,947	\$55,000	\$2,947	\$57,947	\$55,000	\$2,947	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	1-41	19978	State Highway Signal Upgrades: Phase I - Colfax Signals	\$2,495,000	\$3,246,557	-\$751,557	\$2,200,000	\$2,200,000	\$0	\$0	\$1,046,557	\$751,557	\$0	\$0	RAMP Funding Approved by TC in February
	1-42	19979	State Highway Signal Upgrades: Phase III - Denver Slipfit												
	1-44	19980	State Highway Signal Upgrades: Phase I - Santa Fe and Evans												
	1-51	20070	Continuous Flow Metering (CFM), Weight-in-Motion (WIM), and Relocated Portal Attendant Stations at Eisenhower-Johnson Memorial Tunnel (EJMT)	\$2,575,000	\$2,529,035	\$45,965	\$2,575,000	\$2,529,035	\$45,965	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	1-53	20182	New Traffic Signal Controllers for Congested Corridors in the Denver Metropolitan Area	\$1,060,000	\$1,060,000	\$0	\$1,060,000	\$1,060,000	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in March
	1-54	19958	I-76 at 88th Ave. Interchange Improvements (MP 10)	\$1,050,000	\$1,034,348	\$15,652	\$1,050,000	\$1,034,348	\$15,652	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in March
	1-56	20071 20302	US 285 at Mount Evans Blvd./Pine Valley Rd. (MP 229)	\$422,000	\$422,000	\$0	\$422,000	\$422,000	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in March
	1-63	20089	I-70 at Grapevine Rd. (MP 256.0)	\$189,000	\$189,000	\$0	\$189,000	\$189,000	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	1-77	20202	New Ramp Meters and Ramp Meter Upgrades	\$965,000	\$1,036,000	-\$71,000	\$965,000	\$1,036,000	-\$71,000	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in July through Budget Supplement
	2-08	19905	US 24 / Judge Orr Rd. Intersection Improvement	\$2,000,000	\$2,000,000	\$0	\$2,000,000	\$2,000,000	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	2-09	19906	US 50 / Dozier Ave. Intersection Improvement (companion project Partnership 2-20)	\$1,000,000	\$1,000,000	\$0	\$1,000,000	\$1,000,000	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	2-10	19751	US 50 / Purcell and US 50 / McCulloch Intersection Improvement (companion project Partnership 2-33)	\$1,200,000	\$1,200,000	\$0	\$1,200,000	\$1,200,000	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	2-17	19884	US 50 / 32nd Ln., US 50 / Cottonwood Ave., US 50 / 34th Ln. Intersection Improvements	\$1,500,000	\$2,500,000	-\$1,000,000	\$1,500,000	\$1,500,000	\$0	\$0	\$0	\$0	\$1,000,000	\$1,000,000	RAMP Funding Approved by TC in February
	3-33	19490	I-70 Vail Chain Station Improvements	\$4,500,000	\$4,500,000	\$0	\$4,500,000	\$4,500,000	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	3-34	19875	I-70 Glenwood Canyon Variable Speed Signing	\$2,200,000	\$1,996,800	\$203,200	\$2,200,000	\$1,996,800	\$203,200	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	3-51	19086	US 40 Berthoud Pass Remote Avalanche Control System Pilot Program	\$1,000,000	\$1,275,000	-\$275,000	\$1,000,000	\$1,000,000	\$0	\$225,000	\$0	\$225,000	\$50,000	\$50,000	RAMP Funding Approved by TC in July through Budget Supplement; Local Partner has committed additional funds
	4-13	19960	Adaptive Signal Control - US 85 Greeley	\$750,000	\$750,000	\$0	\$600,000	\$600,000	\$0	\$0	\$150,000	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	4-35	19886	Loveland I-25 and Crossroads Blvd. Anti-Icing Spray System	\$250,000	\$250,000	\$0	\$200,000	\$200,000	\$0	\$50,000	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
4-36	19887	Loveland Road Weather Information System (RWIS) Update / Expansion	\$380,000	\$380,000	\$0	\$304,000	\$304,000	\$0	\$76,000	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February	
4-41	19959	Adaptive signals on US 34 Bypass in Greeley	\$500,000	\$500,000	\$0	\$400,000	\$400,000	\$0	\$0	\$100,000	\$0	\$0	\$0	RAMP Funding Approved by TC in February	
4-42	19963	Fiber Optics and ITS Devices on I-76	\$11,000,000	\$11,003,607	-\$3,607	\$5,000,000	\$5,003,607	-\$3,607	\$0	\$0	\$0	\$6,000,000	\$0	RAMP Funding Approved by TC in February	
4-44/4-49	19961	Adaptive Signals on SH 119 Airport Rd. to Zlaten Dr. in Longmont / Adaptive Signals on SH 119: I-25 to WCR 3.5	\$1,850,000	\$1,850,000	\$0	\$1,680,000	\$1,680,000	\$0	\$0	\$170,000	\$0	\$0	\$0	RAMP Funding Approved by TC in February	
4-50	19962	Fiber Optic Communication from I-25 to CDOT West Yard	\$1,700,000	\$1,700,000	\$0	\$1,700,000	\$1,700,000	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February	

Partnership and Operations Projects - Status Through July 2014 TC Meeting

Operations

Tracking #	PCN	Project Name	TC Approved Total Project Cost	Estimated Total Project Cost	** Total Project Cost Delta	TC Approved RAMP Request	Estimated RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Funds	Local Delta	Other Funds	Other Funds Delta	Status as of July TC	
Group 1 (cont.)	4-66	20059	Adaptive Traffic Signals System along US 287 (Main St.) in Longmont	\$1,760,000	\$1,760,000	\$0	\$1,100,000	\$1,100,000	\$0	\$0	\$600,000	-\$60,000	\$60,000	\$60,000	RAMP Funding Approved by TC in February
	5-03	20061	US 160 Corridor Signalized Intersection Improvements and Signal Coordination	\$3,757,844	\$3,753,865	\$3,979	\$3,757,844	\$3,753,865	\$3,979	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	O-01	20179	Fiber Optic Backbone - I-25 (Pueblo to Walsenburg); and US 285 (C-470 to Conifer)	\$7,000,000	\$7,000,000	\$0	\$3,500,000	\$3,500,000	\$0	\$0	\$0	\$0	\$3,500,000	\$0	RAMP Funding Approved by TC in February
	O-02	-	I-70 Mountain Corridor Wireless Improvement	\$5,300,000	\$5,300,000	\$0	\$1,700,000	\$1,700,000	\$0	\$0	\$0	\$0	\$3,600,000	\$0	RAMP Funding Approved by TC in February
	O-03	20378	CDOT ITS Information Kiosks- Pilot Project	\$480,000	\$480,000	\$0	\$480,000	\$480,000	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	O-04	20222	Regional Satellite Solar Powered Cameras (LiveView)	\$1,750,000	\$1,750,000	\$0	\$1,750,000	\$1,750,000	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February
	O-06	20181	Enhanced Traffic Incident Management Software - Phase I	\$7,000,000	\$3,700,000	\$3,300,000	\$3,000,000	\$3,000,000	\$0	\$0	\$0	\$0	\$700,000	-\$3,300,000	RAMP Funding Approved by TC in February
	O-07	20234	Enhanced Incident Management Software - Phase II	\$2,000,000	\$2,000,000	\$0	\$2,000,000	\$2,000,000	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in June thru Budget Supplement
	O-08	20233	Integration of CAD Dispatch Systems - Phase I	\$250,000	\$250,000	\$0	\$250,000	\$250,000	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in June thru Budget Supplement
	O-09	20249	Upgrade Snow Plows with Advanced Instrumentation	\$300,000	\$300,000	\$0	\$300,000	\$300,000	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in June thru Budget Supplement
	O-10	20251	Maintenance Decision Support System (MDSS)	\$250,000	\$250,000	\$0	\$250,000	\$250,000	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in June thru Budget Supplement
	O-11	19782 20166	I-25: Expansion of Traffic and Weather Surveillance	\$2,200,000	\$5,200,000	-\$3,000,000	\$2,200,000	\$2,200,000	\$0	\$0	\$0	\$0	\$3,000,000	\$3,000,000	RAMP Funding Approved by TC in June thru Budget Supplement
	O-12	20236	I-70: Expansion of Traffic and Weather Surveillance	\$2,500,000	\$2,500,000	\$0	\$2,500,000	\$2,500,000	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in June thru Budget Supplement
	O-13	20232	Enhancing Incident Detection Capabilities	\$300,000	\$300,000	\$0	\$300,000	\$300,000	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in June thru Budget Supplement
	O-14	20238	Operation Data Integration	\$500,000	\$500,000	\$0	\$500,000	\$500,000	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in June thru Budget Supplement
O-15	20250	On-Scene Incident Command Vehicles Communication Equipment	\$182,000	\$182,000	\$0	\$182,000	\$182,000	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in June thru Budget Supplement	
41	Staff Recommends Budgeting Funds (Group 1)		\$108,173,791	\$148,203,212	-\$40,029,421	\$75,572,791	\$86,973,655	-\$11,400,864	\$851,000	\$2,066,557	\$916,557	\$58,312,000	\$27,712,000		
Group 2	Tracking #	PCN	Project Name	TC Approved Total Project Cost	Estimated Total Project Cost	** Total Project Cost Delta	TC Approved RAMP Request	Estimated RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Contributions	Local Delta	Other Funds	Other Funds Delta	Status as of July TC
	Staff Recommends Budgeting Funds (Group 2)														
				\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	None
Group 3	Tracking #	PCN	Project Name	TC Approved Total Project Cost	Estimated Total Project Cost	** Total Project Cost Delta	TC Approved RAMP Request	Estimated RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Contributions	Local Delta	Other Funds	Other Funds Delta	Status as of July TC
	Staff Recommends Further Development (Group 3)														
				\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	None
41	SUB-TOTAL Operations Projects			\$108,173,791	\$148,203,212	-\$40,029,421	\$75,572,791	\$86,973,655	-\$11,400,864	\$851,000	\$2,066,557	\$916,557	\$58,312,000	\$27,712,000	
Group 4	Tracking #	PCN	Project Name	TC Approved Total Project Cost	Estimated Total Project Cost	** Total Project Cost Delta	TC Approved RAMP Request	Estimated RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Funds	Local Delta	Other Funds	Other Funds Delta	Status as of July TC
	1-59	20090	SH 86 Intersection Improvement at Crowfoot Valley Rd. (MP 101.53)	\$516,000	\$516,000	\$516,000	\$516,000	\$516,000	\$516,000	\$0	\$0	\$0	\$0	\$0	CDOT Staff Recommends Withdrawing Project: TC Informed in March
1	Projects that have been Withdrawn (Group 4)			\$516,000	\$516,000	\$516,000	\$516,000	\$516,000	\$516,000	\$0	\$0	\$0	\$0	\$0	
42	TOTAL Operations			\$108,689,791	\$148,719,212	-\$39,513,421	\$76,088,791	\$87,489,655	-\$10,884,864	\$851,000	\$2,066,557	\$916,557	\$58,312,000	\$27,712,000	
Percentage over Transportation Commission Approved Amount						36.35%			14.31%						



4201 East Arkansas Avenue, Room 262
Denver, CO 80222

MEMORANDUM

TO: TRANSPORTATION COMMISSION

FROM: ANTHONY R. DEVITO, P.E. REGION 1 TRANSPORTATION DIRECTOR

DATE: AUGUST 12, 2014

SUBJECT: EASTBOUND PEAK PERIOD SHOULDER LANES CONSTRUCTION PACKAGE 2 BUDGET REQUEST

Purpose

To provide the Transportation Commission (TC) an update on the I-70 Eastbound Peak Period Shoulder Lane (EB PPSL) project estimate and funding plan as well as seek budget approval for a total of \$16,348,000: \$15,548,000 to fund Construction Package (CP) 2 and \$800,000 of design money for E-470 Testing and Integration and additional estimating due to changing market conditions for the Construction Manager/General Contractor process.

Action

Approval of the requested budget action of \$16,348,000 for I-70 EB PPSL CP 2.

Background

In May the TC approved \$18.6 Million for the EB PPSL project to fund CP 1, design of the Clear Creek County Greenway and complete PPSL project design. Also at that time, the TC was made aware of a revised project estimate of \$44 million (original RAMP application estimate \$34.4 M), leaving a funding delta of approximately \$10 million. Items not considered in the original \$34.4 million estimate were primarily related to change in project delivery method to better meet the schedule and necessary safety related project elements such as, replacement of deficient bridge and interchange redesign at MP 241, addressing poor pavement in GP lanes and refined ITS/ ATM costs. As mentioned, the project was accelerated with the CMGC project delivery method to take advantage of the 2014 construction season in order to better meet the aggressive schedule.

Since May, project construction has commenced and CDOT has conducted additional analysis on the estimated costs of the remaining Construction Packages to get a better sense of the overall project estimate in the current bidding environment. This analysis resulted in a revised project estimate of \$72 million, increasing the funding gap to \$36.08 million.

Details

Project Estimate

This most recent increase in project estimate can primarily be attributed to current commodity costs and market conditions. These market condition changes are impacting not only this project but other CDOT



projects as well. Market prices for construction materials have significantly increased since late 2013 when the initial project estimates were developed. Construction projects procured with low bid build delivery are indicating a 20% to 30% increase in pricing due to these conditions and project prices are reflecting this impact. Limited subcontractor and DBE availability has also escalated estimates of the project. An overview of revised project estimates by CP is provided below:

	Estimate(rounded)	Timeline
Construction Package 1: Mainline Widening	\$16.8 Million	Commenced July
Construction Package 2: SH 103 Bridge Replacement and related improvements	\$15.5 Million	Scheduled: September 2014
Construction Package 3: Exit 241 Bridge and Interchange	\$10.6 Million	Scheduled: February 2015
Construction Package 4: Final Paving and Tolling	\$17.8 Million	Scheduled: Summer 2015
Design, Greenway and E-470 costs	\$11.3 Million	On-going
Total:	\$72 Million	Open to traffic: October 2015

To fill the identified funding gap of \$36.08 million, CDOT Region 1 is working with HPTE and OMPD to explore the viability of a commercial loan, leveraging the EB PPSL toll revenue. Ernst & Young initial analysis indicate EB PPSL revenues can support a net project source of \$25-30 million. This analysis also assumes TC moral obligation as back-up. Additionally, the Region has identified nearly \$7 million in Twin Tunnel project savings which could move to the project in one of two ways. First, is to move the savings into RAMP and allocate additional RAMP dollars to the project. Second, is to move the TT project savings directly to the EBPPSL project. While the second option does not currently adhere to the new program management protocol, there is a direct nexus between the Twin Tunnels work and the EB PPSL project. The Twin Tunnels project enables us to move forward with EB PPSL and further capitalize on this investment. The overall funding plan for the project is detailed in the attachment.

Construction Package 2

The requested budget action for CP 2 consists of the following funding sources and amounts:

Project Description	EB PPSL Design	EB PPSL Construction Package 2	Total Budget Request
Surface Treatment (on approved FY 15 list)		\$4,650,000.00	
Bridge Preventative Maintenance		\$100,000.00	
HPTE P3 Development Fund Advance*		\$4,600,000.00	
RAMP Increase**	\$800,000.00	\$6,198,000.00	
Totals:	\$800,000.00	\$15,548,000.00	\$16,348,000.00

*\$4.6 M is a temporary re-allocation from HPTE P3 Development Fund, to be repaid upon receipt of commercial loan if proceeds are sufficient

**Pending Commission Decision

To meet the project schedule, the project funding needs to be approved in August 2014 to provide an opportunity for the project team to deliver CP 2 this fall.



Key Benefits

The decision to utilize CMGC as a project delivery method was driven largely by the aggressive project schedule and while initial costs of CMGC are typically higher than traditional design-bid-build, CMGC is able to provide benefits in schedule, package phasing, and involves the contractor in the design to improve constructability. CMGC provides the opportunity to minimize use of change orders and revisions due to the value added from the contractor during preconstruction.

The economic benefits and travel time savings this project will have are significant. Travel time savings are estimated to be reduced by approximately 42 percent or 30 minutes. For the TIGER grant application, the cost benefit analysis conducted for the project showed the project investment (at a seven percent discount rate) was expected to yield over \$746 million (\$322 million in present value) in benefits (including travel time savings economic value of induced trips, safety benefits and carbon emissions reduction). This analysis assumed a 20-year project useful life. Even with the new higher estimate, the benefit cost ratio for the whole project is between 4:1 and 6.5:1. From a toll revenue perspective, the project is estimated to generate \$1.06 million dollars of revenue that first season as reported in Peak Period Shoulder Lane Traffic and Revenue Study.

Options and Recommendations

Option 1A & Staff Recommendation: Increase RAMP allocation to this project by \$6.998 million and approve the total budget request of \$16,348,000 for I-70 EB PPSL CP 2. This action will ensure project can meet the October 2015 schedule. This will also allow the contractor to construct the SH103 and East Idaho Springs interchanges at different times, lessening the impacts to Idaho Springs.

Option 1B: Allow project to project transfer of funds thus moving Twin Tunnel Savings directly into the EBPPSL project and approve the total budget request of \$16,348,000 for I-70 EB PPSL CP 2. This action will ensure project can meet the October 2015 schedule. This will also allow the contractor to construct the SH103 and East Idaho Springs interchanges at different times, lessening the impacts to Idaho Springs

Option 2: Do not approve EB I-70 PPSL CP 2 at this time, delaying to Spring 2015. CDOT could watch construction pricing during the fall and winter to see how the market fairs. Deferring CP 2 does put the project schedule at risk. For many projects, the Commission and CDOT must balance the desire to move forward quickly and the costly construction environment we are now in.

Option 3: Do not proceed with the EB PPSL project and CP 2 as a CMGC project. If the project team cannot negotiate a Construction Agreed Price (CAP), CDOT has the option of advertising CP 2 for bids. The competition for CP 2 does have the potential for lower prices. However, there is a risk of higher prices due to project risks. There is also significant risk of not meeting the opening date in October 2015 if CP 2, 3, and/or 4 is advertised for bids.

Option 4: Do not proceed with the EB PPSL project at this time. CDOT would have to compensate the contractor currently constructing package 1. The estimated compensation cost would be tabulated based on termination of contract per specifications.

Attachments

Attachment A: EB PPSL Project Funding Plan



Date: 8/12/14

I-70 EB Peak Period Shoulder Lane Project Costs & Spending

Package	Amount Estimated	Amount Encumbered	Amount Needed	Notes
CCC Greenway	\$2.0 million	\$2.0 million	\$0.00 million	Budgeted with CP 1
PPSL Construction Package 1	\$16.8 million	\$16.8 million	\$0.00 million	Budgeted and Contract Executed
PPSL Construction Package 2	\$15.55 million	\$0.0 million	\$15.55 million	\$4.65M Resurfacing, \$100k Bridge Maintenance
PPSL Construction Package 3	\$10.6 million	\$0.0 million	\$10.60 million	\$4 million Bridge Enterprise, BE may cover additional bridge costs
PPSL Construction Package 4	\$17.75 million	\$0.0 million	\$17.75 million	\$0.367 Million of Critical Culvert Funds
E470 Costs (Design & Construction)	\$1.0 million	\$0.0 million	\$1.00 million	\$500K requested with CP 2 budget request
Design	\$8.3 million	\$8.0 million	\$0.30 million	\$300K requested with CP 2 budget request
Total	\$72.0 million	\$26.80 million	\$45.20 million	

I-70 EB Peak Period Shoulder Lane Identified Funding

Funding Source	Current Funding	Amount Encumbered	Amount Available	Notes
RAMP	\$20.00 million	\$20.00 million	\$0.00 million	\$2M to Greenway, \$3.25 for TO#3, \$1.5 in April, \$13.25 for CP #1
Const. Package #1 Supplement	\$0.55 million	\$0.55 million	\$0.00 million	Supplement for CP 1 overage
Surface Treatment (FY 15)	\$5.00 million	\$0.35 million	\$4.65 million	\$350K for design in May 2014, \$4.65 M for CP 2
Bridge Preventative Maintenance	\$0.10 million	\$0.00 million	\$0.10 million	\$100K for CP 2
FASTER Safety	\$3.00 million	\$3.00 million	\$0.00 million	\$3 million for CP #1
Critical Culvert	\$0.37 million	\$0.00 million	\$0.37 million	Critical Culvert Funds for CP#4
RPP	\$2.30 million	\$2.30 million	\$0.00 million	\$1.5M used for TO#1, \$800K for TO#2
Bridge Enterprise	\$4.60 million	\$0.60 million	\$4.00 million	19984 - \$600K for design, \$4M for construction (need to verify)
Total	\$35.92 million	\$26.80 million	\$9.12 million	

I-70 EB Peak Period Shoulder Lane Potential Funding Sources

Package	Amount Estimated	Notes
TT EB Const Package 1B Savings	\$0.48 million	\$416K projected after retainage for CP 2
TT EB Const Package 2 Savings	\$5.10 million	\$3.3 million projected after retainage, \$1.8 million OCIP Refund for CP 2
TT WB Const Package 1 Savings	\$0.62 million	\$618K in unused funds
Commercial Bank Loan or Other Funds	\$29.89 million	Not available until October 2014
Total	\$36.08 million	

	EB PPSL Construction Package 2
	EB PPSL Construction Package 3
	EB PPSL Construction Package 4



COLORADO
Transportation Commission

4201 East Arkansas Avenue, Room270
Denver, CO 80222-3406

DATE: August 21, 2014
TO: Transportation Commission
FROM: Scott Richrath / Kyle Lester
SUBJECT: Repeal of Policy Directive 1000.0 "Maintenance Work Requiring State Highway Commission Action"

Purpose: Repeal of Policy Directive 1000.0 "Maintenance Work Requiring State Highway Commission Action"

Action: To pass a Resolution repealing Policy Directive 1000.0 and consolidate it by separate agenda action into Policy Directive 703.0.

Background: The Transportation Commission (then known as the State Highway Commission) approved Policy Directive 1000.0 on December 15, 1977. Its terms are still of value since it provides guidance to the Department's maintenance forces as to what types of maintenance work reasonably expected to exceed \$50,000 must have prior Commission approval. This limitation is consistent with § 24-92-109(1), C.R.S. which states in part:

Whenever an agency of government proposes to undertake the construction of a public project reasonably expected to cost in excess of fifty thousand dollars by any means or method other than by a contract awarded by competitive bid, it shall prepare and submit a cost estimate in the same manner as other bidders; except that, for projects under the supervision of the department of transportation undertaken by such means or method, the department shall prepare and submit a cost estimate if the project is reasonably expected to exceed one hundred fifty thousand dollars. Cost estimates in excess of fifty thousand dollars but less than or equal to one hundred fifty thousand dollars shall be submitted to the transportation commission on at least a quarterly basis for its review and approval. (emphasis added)

Details: The relevant terms of Policy Directive 1000.0 are included in Policy Directive 703.0. See Policy Directive 703.0 (p. 1, Section V. B. referring to construction and maintenance projects) and Appendix "D" under "Maintenance Projects"

Key Benefits: The key benefit to consolidation of Policy Directive 1000.0 into Policy Directive 703.0 is to provide one document that provides guidance to the Department as to what items require Transportation Commission approval. This action also repeals the oldest existing Policy Directive.

Options and Recommendations:

- Repeal Policy Directive 1000.0 (staff supported) and incorporate its content into Policy Directive 703.0, allowing for a single source for Transportation Commission budgeting actions.
- Alternatively, the Commission could decide to not repeal Policy Directive 1000.0 on the basis that it is different enough or important enough to be a stand-alone Policy Directive, and could ask staff to update it and not consolidate it into 703.0.

Attachments (1) Resolution; (2) Copy of Policy Directive 1000.0



COLORADO DEPARTMENT OF TRANSPORTATION		<input checked="" type="checkbox"/> POLICY DIRECTIVE <input type="checkbox"/> PROCEDURAL DIRECTIVE	
Subject MAINTENANCE WORK REQUIRING STATE HIGHWAY COMMISSION ACTION			Number 1000.0
Effective 12-15-77	Supersedes N/A	Originating office MAINTENANCE	

PURPOSE

To describe types of maintenance work that require approval by the State Transportation Commission.

AUTHORITY

Executive Director
State Transportation Commission

POLICY

The following types of maintenance work will require prior approval by the State Transportation Commission:

1. Hot bituminous pavement overlays exceeding 1 1/2" in thickness and those which exceed two miles in length.
2. All work intended to improve a typical section for which the total construction cost, including materials, equipment and labor, is estimated to exceed \$50,000.
3. Seal coats for which the total construction cost, including materials, equipment and labor, is estimated to exceed \$50,000.
4. Widening, replacement or repair of major structures for which the total construction cost, including materials, equipment and labor, is estimated to exceed \$50,000.

However, maintenance work falling into these categories may be approved and initiated by the Chief Engineer, without prior State Transportation Commission approval, only in emergency situations when it is determined by the Chief Engineer with the concurrence of the Executive Director to be in the public interest to proceed immediately with the work. In those instances, the work will be included in the next budget supplement.

Signature on File
Executive Director

Signature on File
Secretary, Transportation Commission

Resolution # TC-

Repeal of Policy Directive 1000.0 “Maintenance Work Requiring State Highway Commission Action”

WHEREAS, pursuant to § 43-1-106(8)(a), C.R.S., the Colorado Transportation Commission is charged with formulating general policy with respect to the management, construction, and maintenance of public highways and other transportation systems in the state; and

WHEREAS, the Transportation Commission (then known as the State Highway Commission) approved Policy Directive 1000.0 on December 15, 1977; and

WHEREAS, as part of the Department’s initiative to repeal and consolidate Policy Directives, the Office of Financial Management and Budget has consolidated Policy Directive 1000.00 into Policy Directive 703.0; and

WHEREAS, Policy Directive 703.0 will be included in the August 21, 2014 agenda for Transportation Commission review and approval; and

WHEREAS, Policy Directive 703.0 includes the same dollar limitation and details set forth in Policy Directive 1000.0 which are consistent with § 24-92-109(1), C.R.S.; and

WHEREAS, Policy Directive 1000.0 should be repealed as it is unnecessary as a stand-alone Directive, but continues to be of value consolidated into Policy Directive 703.0

NOW THEREFORE BE IT RESOLVED, the Commission herein repeals Policy Directive 1000.0 “Maintenance Work Requiring State Highway Commission Action.”

Transportation Commission Secretary

Date

Bridge Enterprise Board of Directors
Regular Meeting Agenda
Thursday, August 21, 2014
4201 East Arkansas Avenue
Denver, Colorado 80222

Ed Peterson, Chairman
Lakewood, District 2

Shannon Gifford
Denver, District 1
Gary M. Reiff
Englewood, District 3
Heather Barry
Westminster, District 4
Kathleen Gilliland
Livermore, District 5
Kathy Connell, Vice Chair
Steamboat Springs, District 6

Douglas E. Aden
Grand Junction, District 7
Sidny Zink
Durango, District 8
Les Gruen
Colorado Springs, District 9
William Thiebaut
Pueblo, District 10
Steven Hofmeister
Haxtun, District 11

THE CHAIRMAN MAY ALTER THE ITEM SEQUENCE OR TIMES

The times indicated for each topic on the Board agenda are an estimate and subject to change. Generally, upon the completion of each agenda item, the Board will immediately move to the next item. However, the order of agenda items is tentative and, when necessary to accommodate the public or the Board's schedules, the order of the agenda items is also subject to change.

Documents are posted at <http://www.coloradodot.info/about/transportation-commission/meeting-agenda.html> no less than 24 hours prior to the meeting. The documents are considered to be in draft form and for information only until final action is taken by the Board.

BRIDGE ENTERPRISE BOARD OF DIRECTORS Tab 15

- 11:35 a.m. Call to Order and Roll Call
- 11:35 a.m. Audience Participation
Subject Limit: 10 minutes; Time Limit: 3 minutes
- 11:40 a.m. Act on Consent Agenda Bridge Enterprise 03
 - a) Resolution to Approve Regular Minutes from
July 17, 2014 (Herman Stockinger)
- 11:45 a.m. Discuss and Act on 2nd Budget Supplement for FY2015
(Scott Richrath) Bridge Enterprise 09
- 11:50 a.m. Monthly Progress Report
(Scott McDaniel) Bridge Enterprise 12

11:55 a.m. Region 1 SH 58 over Ford Innovative Stainless Steel Rebar Presentation
(Steve Sherman) Bridge Enterprise 17

12:00 p.m. Adjournment

**Bridge Enterprise Board
Regular Meeting Minutes
Thursday, July 17, 2014**

PRESENT WERE: Ed Peterson, Chairman, District 2
Kathy Connell, Vice Chairman, District 6
Shannon Gifford, District 1
Gary Reiff, District 3
Kathy Gilliland, District 5
Sidny Zink, District 8
Les Gruen, District 9
Steven Hofmeister, District 11

EXCUSED: Heather Barry, District 4
Doug Aden, Chairman, District 7
Bill Thiebaut, District 10

ALSO PRESENT: Scot Cuthbertson, Deputy Executive Director
Gary Vansuch, Director of Process Improvement
Debra Perkins-Smith, Director of Division of Transportation
Josh Laipply, Chief Engineer
Heidi Humphreys, Director of Admin & Human Resources
Barb Gold, Audit Director
Amy Ford, Public Relations Director
Scott Richrath, CFO
Herman Stockinger, Director of Policy and Government Relations
Mike Cheroutes, Director of HPTE
Mark Imhoff, Director of Division of Transit and Rail
Ryan Rice, Director of the Operations Division
Darrell Lingk, Director of the Office of Transportation Safety
Tony DeVito, Region 1 Transportation Director
Tom Wrona, Region 2 Transportation Director
Dave Eller, Region 3 Transportation Director
Kerrie Neet, Region 5 Transportation Director
Kathy Young, Chief Transportation Counsel
John Cater, FHWA
Vince Rogalski, Statewide Transportation Advisory Committee (STAC)

AND: Other staff members, organization representatives,
the public and the news media

An electronic recording of the meeting was made and filed with supporting documents in the Transportation Commission office.

Chairman Peterson convened the meeting at 10:20am in the CDOT Headquarters building at 4201 E. Arkansas Avenue, Denver, CO.

Audience Participation

Chairman Peterson stated that no members of the audience wished to address the Board of Directors.

Act on Consent Agenda

Chairman Peterson entertained a motion to approve the Consent Agenda. Director Connell moved to approve the resolution, and Director Gilliland seconded the motion. Upon vote of the Commission the resolution passed unanimously.

Resolution #BE-162

Approval of Regular Meeting Minutes for June 19, 2014.

BE IT SO RESOLVED THAT, the Minutes for the June 2014, meeting of the Bridge Enterprise Board of Directors are hereby approved by the Bridge Enterprise Board as published in the Agenda for the July 16 & 17, 2014, meeting of the Bridge Enterprise Board of Directors.

Discuss and Act on the 1st Budget Supplement for FY'2015

Scott Richrath stated that there was one Design-Build project before the Board for the US 6 main line over Garrison in Jefferson County for \$15.5 million.

Chairman Peterson entertained a motion to approve the Budget Supplement. Director Gilliland moved to approve the resolution, and Director Connell seconded the motion. Upon vote of the Board, the resolution passed unanimously.

Resolution #BE-163

BE IT SO RESOLVED THAT, the 1st Budget Supplement for FY'2015 is hereby approved by the Bridge Enterprise Board.

Discuss and Act on Resolution to Accept Asset Ownership of Bridges Previously Transferred from CDOT to Bridge Enterprise and Their New Assigned Bridge Numbers

Scott Richrath stated that the next two resolutions can be confusing, especially at first. Previously, an old bridge that became Bridge Enterprise eligible would be written down to 0 in the balance books. The bridge would be transferred, and the structure identity number would remain the same. About a year into that process, it became clear that if the books showed it was a valueless asset, there was no need to maintain the structure identity of that asset. The reconstruction was the reconstruction of a new asset. Under GASB 34, which drives much of CDOT's accounting work, it was necessary to recognize that a new asset was being created. The next two resolutions essentially divide the bridges that are transferring ownership to the Bridge Enterprise into those that

have already been resolved to move from old structures to new structures and those that came along after the new policy whereby the Bridge Enterprise is simply taking ownership of the new structure.

The first resolution is a list of bridge projects that would transfer under the old method to the Bridge Enterprise with the old identity even though they are new structures.

Chairman Peterson entertained a motion to approve the resolution to accept asset ownership of the list of bridges. Director Gruen moved to approve the resolution, and Director Connell seconded the motion. Upon vote of the Board, the resolution passed unanimously.

Resolution #BE-164

Resolution Number BE-164

Take-out-of-service and write-off previously Transferred "Poor" Bridge Asset and Acceptance of a New Bridge Asset

Approved by the Colorado Bridge Enterprise Board on July 17, 2014

WHEREAS, the General Assembly created the Bridge Enterprise as a government-owned business within CDOT, pursuant to 43-4-805 C.R.S.; and

WHEREAS, PURSUANT TO 43-4-805 C.R.S., the Bridge Enterprise is to operate as a government-owned business within the Department of Transportation and shall constitute an "enterprise" for the purposes of Section 20 of Article X of the Colorado Constitution so long as the Bridge Enterprise retains authority to issue revenue bonds and receives less than ten percent (10%) of its total annual revenue in grants, as defined in 24-77-102(7) C.R.S., from all State and local governments combined; and

WHEREAS, the business purpose of the Bridge Enterprise is to finance, repair, reconstruct, and replace designated bridges in the state; and

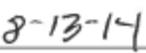
WHEREAS, Section 43-4-805(5)(f), C.R.S. authorizes the Bridge Enterprise Board to enter into agreements with the Transportation Commission, or the department to the extent authorized by the Transportation Commission, under which the bridge enterprise agrees to finance, repair, reconstruct, replace, and, if any given agreement so specifies, maintain designated bridges as specified in the agreements; and

WHEREAS, the Bridge Enterprise Board previously accepted ownership of previously existing structures (listed on Attachment A) transferred via Board approved resolution from CDOT to Colorado Bridge Enterprise, and the previously existing structures have been demolished and replaced with a new structure that was assigned its own unique Bridge ID.

NOW THEREFORE BE IT RESOLVED, the Bridge Enterprise Board hereby acknowledges that the previously transferred existing structures have been demolished and taken-out-of-service and any remaining book-value (if any) will be written-off CDOT accounting records, and Bridge Enterprise accepts asset ownership of the replacement structures with their new bridge identification numbers as itemized on Attachment A.



Herman Stockinger, Secretary
Colorado Bridge Enterprise Board



Date

Discuss and Act on Resolution to Accept Asset Ownership of Bridges Budgeted with FASTER Funding and Completed within FY2014

Scott Richrath stated that this resolution is under the new accounting procedures. The Board will be accepting ownership of brand new assets with new structure identifications. The Board will see more of these over time and fewer of the previously transferred assets. These two resolutions will come before the Board annually.

Chairman Peterson entertained a motion to approve the resolution to accept asset ownership of the list of bridges. Director Gruen moved to approve the motion, and Director Gilliland seconded the motion. Upon vote of the Board, the resolution passed unanimously.

Resolution #BE-165

Resolution Number BE-165

Acknowledge New Bridge Asset Funded by Bridge Enterprise

Approve by the Colorado Bridge Enterprise Board on July 17, 2014

WHEREAS, the General Assembly created the Bridge Enterprise as a government-owned business within CDOT, pursuant to 43-4-805 C.R.S.; and

WHEREAS, PURSUANT TO 43-4-805 C.R.S., the Bridge Enterprise is to operate as a government-owned business within the Department of Transportation and shall constitute an "enterprise" for the purposes of Section 20 of Article X of the Colorado Constitution so long as the Bridge Enterprise retains authority to issue revenue bonds and receives less than ten percent (10%) of its total annual revenue in grants, as defined in 24-77-102(7) C.R.S., from all State and local governments combined; and

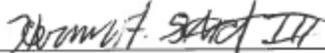
WHEREAS, the business purpose of the Bridge Enterprise is to finance, repair, reconstruct, and replace designated bridges in the state; and **WHEREAS**, Section 43-4-805(5)(f), C.R.S. authorizes the Bridge Enterprise Board to enter into agreements with the Transportation Commission, or the department to the extent authorized by the Transportation Commission, under which the Bridge Enterprise agrees to finance, repair, reconstruct, replace, and, if any given agreement so specifies, maintain designated bridges as specified in the agreements; and

WHEREAS, Bridge Enterprise no longer transfers an existing Bridge ID that is programmed to be replaced; and currently utilizes an accounting policy that provides FASTER funding directly to the planned replacement structure and newly assigned Bridge ID; and

WHEREAS, the Bridge Enterprise Board previously approved the use of FASTER funding via the monthly budget supplement process to construct the below noted replacement structures which were completed and open to traffic in Fiscal Year 2014; and

New Bridge Enterprise Owned Bridge	Facility Carried over Featured Intersection
B-17-DF	US 85 ML(Nunn Bridge) over UP Railroad
E-16-HG	SH 58 ML over Ford Street, Wash
G-16-E	US 85 ML over Draw; Cook Ranch to Louviers
G-16-F	US 85 ML over Draw; Cook Ranch to Louviers

NOW THEREFORE BE IT RESOLVED, the Bridge Enterprise Board hereby accepts ownership of the new bridges.


Herman Stockinger, Secretary
Colorado Bridge Enterprise Board

8-13-14
Date

Acknowledgement of Board Elections and Appointment of CDOT Chief Engineer

Director Reiff stated that even though the next item is listed as an acknowledgement that a motion is in order. It is necessary to formally move to have new leadership so that there is not a blending of the two committees. Director Reiff moved that as of July 1

1. Ed Peterson be the Chair of the Bridge Enterprise Board of Directors.
2. Kathy Connell be the Vice Chair of the Bridge Enterprise Board of Directors.
3. Josh Laipply be the Chief Engineer of the Bridge Enterprise Board of Directors.
4. Herman Stockinger be the Secretary of the Bridge Enterprise Board of Directors.

Director Gruen seconded the motion. Upon vote of the Board, the motion passed unanimously. Chairman Peterson thanked the members of the Board for the confidence and stated that he would endeavor to live up to the expectations. He thanked Director Reiff for the procedural correction.

Monthly Progress Report

Scott McDaniel stated the Bridge Enterprise presentation is in the printed materials previously given to the Board. There were no significant changes from the previous month except the last two slides. Those slides provide information on the potential funding of the Bridge Enterprise toward the I-70 Viaduct project and the impacts that will have on the Bridge Enterprise program.

Adjournment

Chairman Peterson asked if there were any more matters to come before the Bridge Enterprise Board and hearing none, Chairman Peterson announced the adjournment of the meeting at 10:30am.



DATE: August 21, 2014
TO: Bridge Enterprise Board of Directors
FROM: Scott Richrath, CFO
SUBJECT: Second Supplement to the FY 2015 Bridge Enterprise Budget

Enclosed is the Second Supplement to the FY 2015 Bridge Enterprise Budget.

REGION 2

- \$1,557,500 -US 50 GRANADA EAST AND WEST (old L-28-C & L-27-S) (new L-28-AS & L-27-V) This action requests additional construction funding for project award. The Bridge Enterprise portion of this combined CDOT/Bridge Enterprise project is 23% above the current approved budget. (18155/10001...)

US 50 – GRANADA EAST AND WEST
(Old L-28-C & L-27-S) (New L-28-AS & L-27-V)
Budget Components by Phase, Funding Program, Fiscal Year

Phase of Work	Funding Program	Current Budget	First Supplement Action				Revised Budget	Expended To-Date
			Year of Budget			Total Request		
			FY 2015	FY 2016	FY 2017			
ROW	<i>Bond Proceeds</i>	\$79,387	\$0	\$0	\$0	\$0	\$79,387	\$46,794
	Total Design	\$79,387	\$0	\$0	\$0	\$0	\$79,387	\$46,794
Utilities	<i>FASTER Funds</i>	\$290,000	\$0	\$0	\$0	\$0	\$290,000	\$0
	<i>Bond Proceeds</i>	\$100,000	\$0	\$0	\$0	\$0	\$100,000	\$36,745
	Total Design	\$390,000	\$0	\$0	\$0	\$0	\$390,000	\$36,745
Design	<i>FASTER Funds</i>	\$985,000	\$0	\$0	\$0	\$0	\$985,000	\$963,957
	Total Design	\$985,000	\$0	\$0	\$0	\$0	\$985,000	\$963,957
Construction	<i>FASTER Funds</i>	\$5,297,000	\$1,557,500	\$0	\$0	\$1,557,500	\$6,854,500	\$0
	Total Construction	\$5,297,000	\$1,557,500	\$0	\$0	\$1,557,500	\$6,854,500	\$0
		\$6,751,387	\$1,557,500	\$0	\$0	\$1,557,500	\$8,308,887	\$1,047,496
Total Project Budget			Year of Expenditure			Total Request		
			FY 2015	FY 2016	FY 2017			
				\$1,557,500	\$0	\$1,557,500		

Resolution No. BE-

“ BE IT RESOLVED, That the Second Supplement to the Fiscal Year 2014-2015
Budget is approved by the Bridge Enterprise Board.”



COLORADO

Department of Transportation

Statewide Bridge Enterprise

4201 E. Arkansas Ave., Room 124B
Denver, CO 80222

MEMORANDUM

TO: Bridge Enterprise Board of Directors
FROM: Josh Laipply, Chief Engineer
DATE: August 21, 2014
SUBJECT: August 2014 Bridge Enterprise Progress Report

Purpose

The Bridge Enterprise (BE) team has prepared a progress report presentation to update the Board members of recent program initiatives, statistics and successes. No action from the Board is requested; for informational purposes only. Summarized below are the elements contained in the report:

Program Schedule and SPI:

The BE program schedule has been updated for work complete through July 2014. The July Schedule Performance Index (SPI) = 0.88, a 0.1 decrease from prior month (June SPI = 0.89). Note; Program Goal $SPI \geq 0.90$. As noted in previous presentations, a flux in the index is expected as the remaining program projects are in various stages and/or face minor obstacles, e.g. railroad or utilities issues. Some factors affecting the current SPI both positively and negatively are:

- Over-performing projects: There are 2 projects with \$4.2M in combined Earned Value (EV) greater than planned which increases the overall program SPI by 0.009; a 0.002 increase from prior month.
- Under-performing projects: There are 8 Railroad projects with \$40.4M in combined lost EV which reduces overall program SPI calculation by 0.09; a 0.03 decrease from prior month. There is 1 non-Railroad project with lost EV of 0.010 or greater for this month; Region 4 SH14 over Cache La Poudre R. impacting program by 0.018, 0.002 increase from prior month.

Major Achievements:

The BE team continues to collaborate with CDOT in managing, monitoring and reporting on the progress and success of the program. Some recent program initiatives include annual data research for fiscal year performance reporting and FASTER Performance Audit (1410P) research and reporting. Recent BE project progress includes:

- The final RFP was released for the Region 1 F-16-ER, US 6 ML over Garrison Street, Lakewood project. This is an innovative bridge which will use a streamlined design-build delivery method.
- The design for G-17-A US 85 ML over Sand Creek in Douglas County was completed, design is to be shelved.
- The Region 2 K-14-B: US 50 ML over Oak Creek in Fremont County bridge went to AD.
- Region 2 bridges E-17-DC: I 76 ML Eastbound over UP Railroad and E-17-DU: I 76 ML Westbound over UP Railroad in Adams County began construction. (2 bridges, 1 project)



- Region 3 bridges F-11-AB: I 70 ML Westbound over US 6, Railroad, Eagle River and F-11-AC: I 70 ML Eastbound over US 6, Railroad, Eagle River in Eagle County began construction (2 bridges, 1 project).

Total Program Financial Performance

Expenditure and encumbrance data through June 30, 2014 summarized below:

- Projected Expenditures: Increased by \$9.2M or 1.8%
- Actual Expenditures: Overall increased by \$17.2M or 4.4% | Bond increased by \$7.7M or 2.8%
- Encumbrance Balance: Overall increased by \$8.3M or 5.1% | Bond decreased by -\$7.9M or -22.5%

Status of FASTER Eligible Bridges

There are currently 180 bridges eligible for the BE program. Of those bridges 105 have been repaired or replaced, 15 are in various stages of construction, design has been completed for 8, 15 are in design, 21 have not been programmed, and no action is proposed for the remaining 16.

Status of \$300M Bond Bridges

There are currently 93 structures in the BE bond program. Of those bridges 55 have been repaired or replaced, 15 are in various stages of construction, design has been completed for 7, 15 are in design, and no action is proposed for 1 that was deemed ineligible.

Status of 30 Most Deficient Bridges

The CBE has completed 28 of the 30 bridges originally identified as the most deficient and expects to complete the design and reconstruction of one of the remaining bridges by the end of calendar year 2015. The I-70 viaduct will be the final original ‘30 worst’ bridge addressed. Below is the status of the 30 bridges originally identified as most deficient by the BE BOD and the status of the 30 currently rated worst in 2014:

Status	Original Worst 30	2014 Poor List Worst 30
Completed	28	6
In construction	0	5
Designed	0	2
In design	2	10
Remaining	0	7
Total	30	30

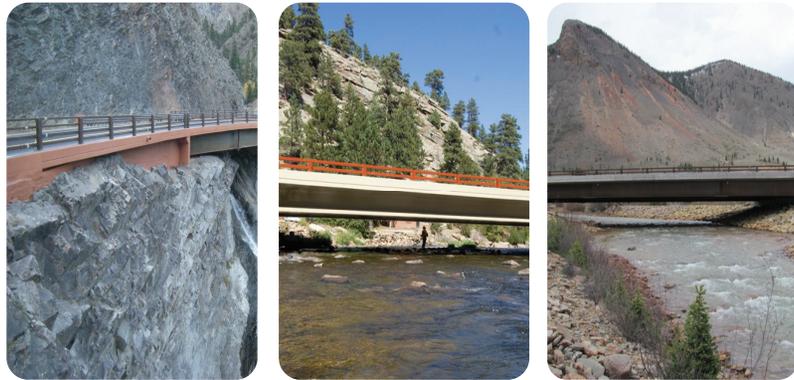
Unprogrammed Priority BE Bridges

BE has included a listing of 10 unprogrammed bridges with a Prioritization Plan score of 30 or above to present a brief snapshot of some of the program’s most deserving structures. Scores range from 30 to 41.5 and were calculated using the objective Prioritization Plan scoring system where both quantitative and qualitative criteria are taken into consideration.

Attachment

August 2014 Monthly Progress Report





Colorado Bridge Enterprise
August 2014 Monthly Progress Report
Board of Directors Meeting



Program Schedule

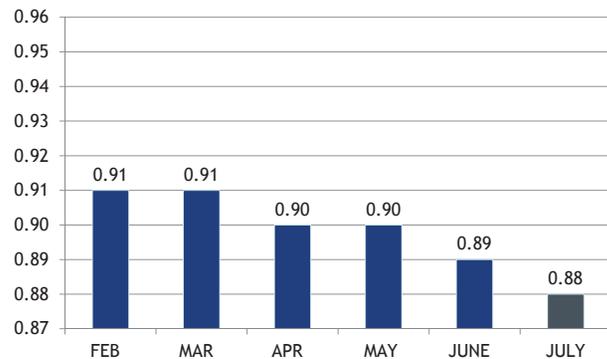
- Program schedule updated for work complete through July 2014
- July Schedule Performance Index (SPI) = 0.88; 0.01 DECREASE from prior month (June SPI = 0.89)
- Over-performing projects
 - 2 projects with \$4.2M in combined Earned Value (EV) greater than planned
 - INCREASES overall program SPI by 0.009; 0.002 INCREASE from prior month
- Under-performing projects
 - 8 Railroad projects with \$40.4M in combined lost EV
 - Reduces overall program SPI calculation by 0.09; 0.03 DECREASE from prior month
 - 1 non-Railroad project with lost EV of 0.010 or greater for this month
 - Region 4 SH14 over Cache La Poudre R. impacting program by 0.018, 0.002 INCREASE from prior month

8/21/14



Program Schedule

Program SPI by Month



Program Goal SPI ≥ 0.90



Major Achievements

- CURRENT PROGRAM INITIATIVES
 - Annual Data Research for FY Performance Reporting
 - FASTER Performance Audit (1410P) Research and Reporting
- INNOVATIVE BRIDGES
 - Region 1
 - F-16-ER, US 6 ML over Garrison Street, Lakewood
 - Final RFP was released
- BRIDGES COMPLETED DESIGN
 - Region 1
 - G-17-A: US 85 ML over Sand Creek, Douglas County
 - This bridge design is to be shelved.

8/21/14



Major Achievements

- BRIDGES TO AD
 - Region 2
 - K-14-B: US 50 ML over Oak Creek, Fremont County
- BRIDGES TO CONSTRUCTION
 - Region 1
 - E-17-DC: I 76 ML Eastbound over UP Railroad, Adams County
 - E-17-DU: I 76 ML Westbound over UP Railroad, Adams County
 - Region 3
 - F-11-AB: I 70 ML Westbound over US 6, Railroad, Eagle River, Eagle County
 - F-11-AC: I 70 ML Eastbound over US 6, Railroad, Eagle River, Eagle County

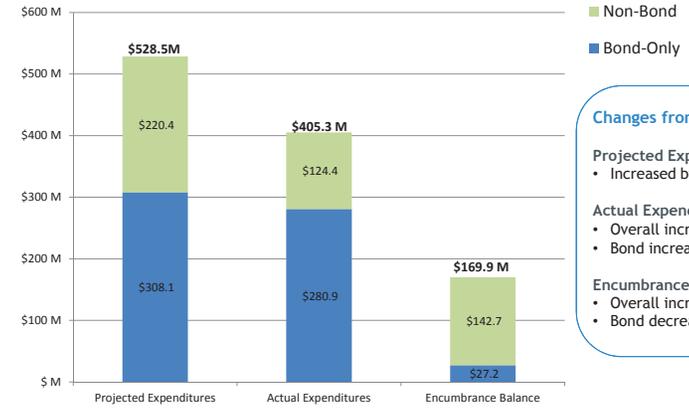
8/21/14



Total Program Financial Performance

Colorado Bridge Enterprise Total Program Performance

As of June 30, 2014



Changes from Previous Month

Projected Expenditures

- Increased by \$9.2M or 1.8%

Actual Expenditures

- Overall increased by \$17.2M or 4.4%
- Bond increased by \$7.7M or 2.8%

Encumbrance Balance

- Overall increased by \$8.3M or 5.1%
- Bond decreased by ~~-\$7.9M~~ or ~~-22.5%~~

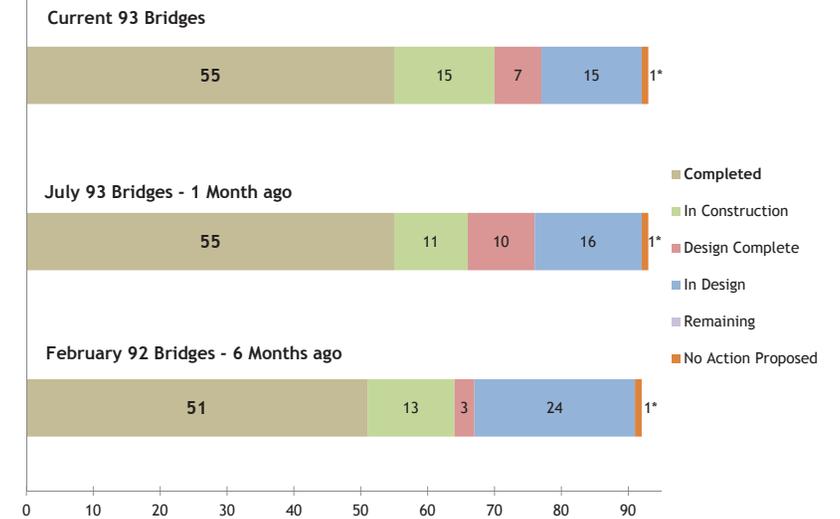
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Status FASTER Eligible Bridges



Status \$300M Bond Bridges



8/21/14



Status of 30 Most Deficient Bridges

	2014 Poor List Bridges Worst 30 Status	Original 128 Bridges Worst 30 Status
Complete	6	28
In Construction	5	0
Design Complete	2*	0
In Design	10*	2
Remaining	7	0
Total Addressed	30	30

*Changes from last month:

2014 List:

G-17-A moved from In Design to Design Complete

8/21/14



Current Unprogrammed BE Projects

Highest Prioritization Score Rated 30 and Above

	Current Prioritization Plan Score	Original Bridge ID	Region	Facility Carried over Featured Intersection
East I-70 EIS	41.5	E-17-EW	1	I 70 ML EBND over UP RR
	41.5	E-17-DF	1	I 70 ML WBND over UP RR
	38.5	N-17-BN	2	I25 ML SBND over CO RD 640, BUTTE CREEK
	34	N-17-S	2	I25 ML NBND over CO RD 103, BUTTE CREEK
E. I-70 EIS	36.5	E-17-KR	1	I 270 ML EBND over I 70 ML
	33.5	D-13-A	3	US 34 ML over N FK COLORADO RIVER
	33.5	G-03-Q	3	I 70 ML WBND over COLORADO RIVER OVERFLOW
Design Shelved	33	G-17-A	1	US 85 ML over SAND CREEK
	32	F-05-L	3	I 70 ML WBND over COLORADO RIVER
	31	C-17-B	4	SH 60 ML over SOUTH PLATTE RIVER
	30	F-10-L	3	I 70 ML EBND over US 6, RR, EAGLE RIVER

8/21/14



FASTER Q & A

Questions & Answers



COLORADO

Department of Transportation

Statewide Bridge Enterprise

4201 E. Arkansas Ave.
Denver, CO 80222

MEMORANDUM

TO: Bridge Enterprise Board of Directors
FROM: Steve Sherman, PE - Region 1, West Program - Table Mountain Residency
DATE: August 21, 2014
SUBJECT: SH58 over Ford Street in Golden, Stainless Steel Reinforced Bridge Deck

Purpose

The August Bridge Enterprise (BE) agenda includes a presentation of SH58 over Ford Street in Golden, the first stainless steel reinforced bridge deck in Colorado. No action from the Board is requested; for informational purposes only. Summarized below are the elements contained in the presentation:

Details

Originally built in 1966, structural sufficiency in 2011 degraded to 42.3 due to concrete spalling, reinforcing steel section loss, and broken reinforcing steel ties.

Design Phase-Oct 2011 to May 2013

- Started Oct, 2011
- CDOT "In-house" design
- Two-phase construction
- Staff Bridge (Mohamed Zaina and Andy Pott) used this bridge as an opportunity for a first CDOT trial of the AASHTO-LRFD (Load and Resistance Factor Design) Empirical Design Method for bridge decks.

Bridge Deck Empirical Design

- Detailed in the LRFD Manual for some time, Empirical Design Method was conditionally approved by the CDOT Bridge Engineer to be used in Colorado on a case-by-case basis.
- "The Empirical Design Method is based on laboratory testing of deck slabs. This testing indicates that the loads on the deck are transmitted to the supporting components mainly through arching action in the deck, not through shears and moments as assumed by traditional design; the Empirical Design Method requires less reinforcement in the interior portions of the deck than the (traditional) Approximate Method." -FHWA bridge design website.
- "Empirical Design employs the notion that the deck behaves more like a 'membrane' than a series of continuous beams." -Illinois DOT design guide.

What does this mean for the SH58 over Ford St. bridge deck?

- #3 and #6 bars were used instead of #5 and #9 bars as would typically be seen, reducing the total pounds of steel in the bridge deck by more than half.



- However, because the strength from the deck “arching” means cracking in the concrete deck is anticipated, there is concern that that traditional epoxy rebar would corrode and cause early concrete spalling in the bridge deck. To mitigate this concern, stainless steel rebar was used.

Project Stats

Notice To Proceed - May, 2013
Project Awarded to Hamilton Construction
Bid: 4.1M +\$400K in Force Accounts
Project Complete - July 2014

Stainless Steel Conclusion

In theory, this deck design may be able to avoid a deck rehab halfway through the 75 year design life, saving approximately \$300K.

Because there are no nearby suppliers (yet?), the stainless steel was manufactured in Cincinnati and cost approximately three times more than epoxy bar, per pound. While this higher cost offsets the savings from the reduction in the amount of steel on this project, the benefit of using less material overall is more sustainable, especially if the price per pound decreases due to a more local manufacturing alternative.

Project Conclusion

- The SH58 over Ford Bridge deck will remain open, without membrane or asphalt, for the first few years of life to observe the deck performance.
- Budget
 - Design - \$700K
 - Construction: Under the \$4.6M budget
 - Construction Engineering: Approx \$200K under the \$843K budget

Attachment

SH58 over Ford Street in Golden presentation





COLORADO
Department of
Transportation

SH58 over Ford Street in Golden

The first stainless steel reinforced bridge deck in Colorado



Steve Sherman, PE

Design Project Manager, Project Roadway Designer, and Project (Construction) Engineer



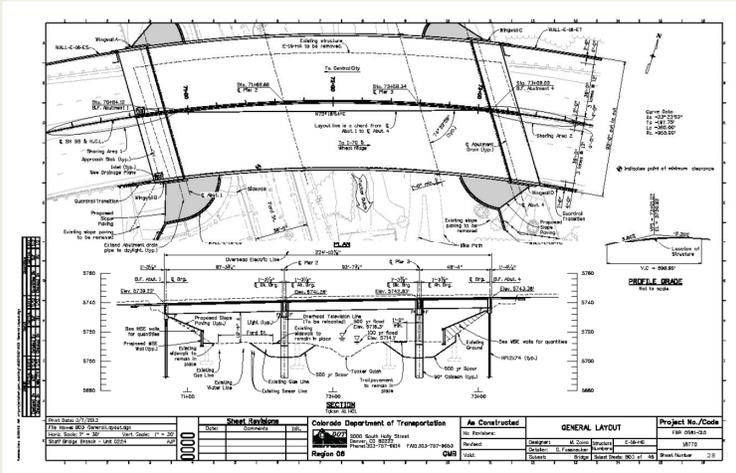
COLORADO
Department of
Transportation

Originally built in 1966, structural sufficiency in 2011 degraded to 42.3 due to concrete spalling, reinforcing steel section loss, and broken reinforcing steel ties



Design Phase-Oct 2011 to May 2013

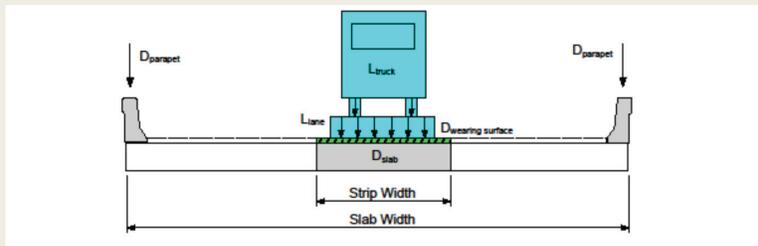
- Started Oct, 2011
- CDOT “In-house” design
- Two-phase construction



- Staff Bridge (Mohamed Zaina and Andy Pott) used this bridge as an opportunity for a first CDOT trial of the AASHTO-LRFD (Load and Resistance Factor Design) Empirical Design Method for bridge decks.

Bridge Deck Empirical Design

- Detailed in the LRFD Manual for some time, Empirical Design Method was conditionally approved by the CDOT Bridge Engineer to be used in Colorado on a case-by-case basis.
- “The Empirical Design Method is based on laboratory testing of deck slabs. This testing indicates that the loads on the deck are transmitted to the supporting components mainly through arching action in the deck, not through shears and moments as assumed by traditional design...the Empirical Design Method requires less reinforcement in the interior portions of the deck than the (traditional) Approximate Method.”- FHWA bridge design website
- “Empirical Design employs the notion that the deck behaves more like a ‘membrane’ than a series of continuous beams.” -Illinois DOT design guide



What does this mean for the SH58 over Ford St. bridge deck?

- #3 and #6 bars were used instead of #5 and #9 bars as would typically be seen, reducing the total pounds of steel in the bridge deck by more than half.
- However, because the strength from the deck “arching” means cracking in the concrete deck is anticipated, there is concern that that traditional epoxy rebar would corrode and cause early concrete spalling in the bridge deck. To mitigate this concern, **stainless steel** rebar was used.



Notice To Proceed - May, 2013

Project Awarded to Hamilton Construction

Bid: 4.1M +\$400K in Force Accounts





Phase 1 Foundations-Aug,2013



Phase 1 pier caps and girders-Oct,2013



Stainless steel deck prep – Oct, 2013



Phase 1 Deck Pour – Oct 25, 2013



Phase 2, post deck pour – April, 2014



Project complete – July 2014







Stainless Steel Conclusion

- In theory, this deck design may be able to avoid a deck rehab halfway through the 75 year design life, saving approximately \$300K.
- Because there are no nearby suppliers (yet?), the stainless steel was manufactured in Cincinnati and cost approximately three times more than epoxy bar, per pound. While this higher cost offsets the savings from the reduction in the amount of steel on this project, the benefit of using less material overall is more sustainable, especially if the price per pound decreases due to a more local manufacturing alternative.



Project Conclusion

- The SH58 over Ford Bridge deck will remain open, without membrane or asphalt, for the first few years of life to observe the deck performance.
- Budget
 - Design - \$700K
 - Construction
 - Under the awarded \$4.5M budget
 - Construction Engineering
 - Approx \$200K under the \$843K budget



COLORADO
Department of Transportation

Division of Transportation Development
Multimodal Planning Branch
4201 E. Arkansas Ave., Room 262
Denver, CO 80222-3400

DATE: August 21, 2014

TO: Transportation Commission

FROM: Debra Perkins-Smith, Director, Division of Transportation Development (DTD)

SUBJECT: Oil & Gas Transportation Impacts Study Progress Update

Purpose

Inform the Transportation Commission about the Oil & Gas Transportation Impacts Study, which began in late June, 2014. The purpose of this study is to identify the impacts from oil & gas extraction activities on the state highway system and examine potential methods to address those impacts.

Action

No action requested; informational only.

Background

CDOT completed a research study in 2010 entitled “Energy Development and the Transportation System” that looked at the trip generation characteristics for development of several energy sources, including oil & gas. Colorado’s oil & gas industry is continually evolving, and there have been considerable changes in drilling techniques and geographic focus since the 2010 study was completed. This current study will address those changes. Although the number of annual well permits issued is lower than the the peak in 2008, drilling activity in Colorado has intensified in more populous areas and remains a source of considerable media and policy discussion throughout the state (see Attachment A). Virtually all active drilling and exploration companies in Colorado employ extended lateral horizontal drilling and fracking techniques, which generate considerably different truck activity than traditional vertical drilling.

The study will address the changing conditions of the industry, refine the analysis techniques of the previous study, investigate the costs required to mitigate the impacts of the oil & gas industry on the state highway system, research the legislative and regulatory actions that are being taken by other states to recover the costs of the industry’s impacts to roadways, and understand the potential for application of similar actions in Colorado. The 2010 study identified Key Energy Corridors which were defined as state highways that have experienced significant increases in oil & gas related truck traffic. These corridors will be reviewed and updated as part of the current study effort. The research study is currently in month three of a 15-month schedule.

Key Benefits

The information from this study can be used to support policy discussions.

Next Steps

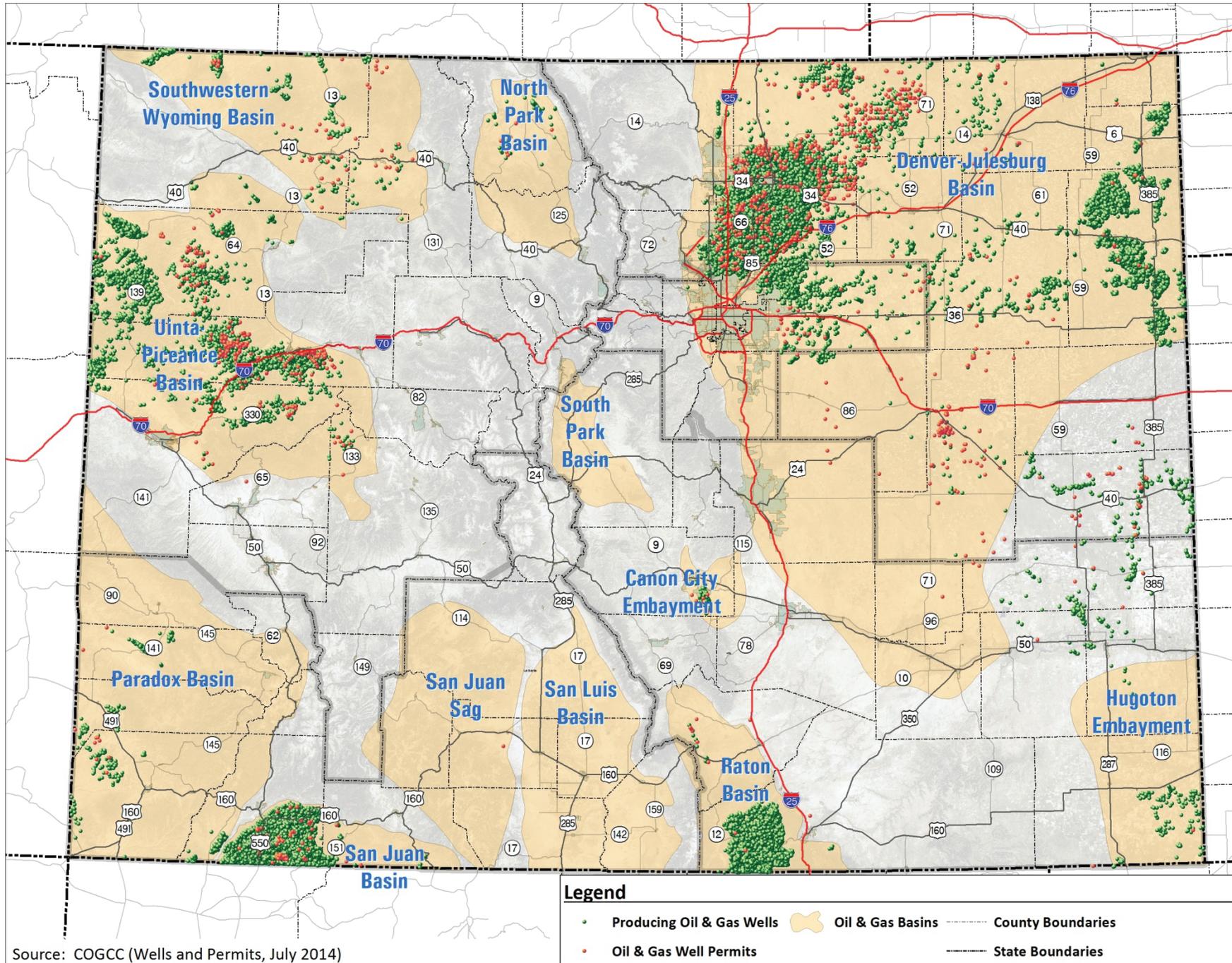
The consultants will identify key energy corridors; quantify energy activity in several state regions; and update trip generation models and road impact models. This information will be discussed with the Commission at future workshops.

Attachments

Attachment A - Current Producing Wells and Well Permits Map (as of July 2014)



Attachment A - Current Producing Wells and Well Permits (as of July 2014)



Source: COGCC (Wells and Permits, July 2014)



4201 East Arkansas Avenue, Room 262
Denver, CO 80222

MEMORANDUM

TO: Transportation Commission
FROM: Anthony R. DeVito, P.E. Region 1 Transportation Director
DATE: August 8, 2014
SUBJECT: C-470 Tolloed Express Lanes Project Update

Purpose

In advance of the August 19th HPTE hosted Town hall, staff wanted to provide the Transportation Commission an update of the C-470 Tolloed Express Lanes Project.

Action

N/A Informational Only

Background

The project received \$100 million in RAMP funds and the project status is considered “red” while the Region, OMPD and HPTE work toward assembling a financing package for the project.

Details

The project will construct two westbound tolloed express lanes from I-25 to Colorado Boulevard, one westbound tolloed express lane from Colorado Boulevard to Wadsworth Boulevard, and one eastbound tolloed express lane from just west of the Platte River bridges to I-25. At the I-25/C-470 interchange, direct connection ramps will be constructed from southbound I-25 to the westbound C-470 tolloed express lanes. The project will maintain the existing general purpose lanes and add auxiliary lanes where warranted by traffic demand. For more detailed information see attached Interim Schematic Lane Diagram.

Project Estimate: \$230M with the following funding sources:

- \$100M RAMP
- \$2M FASTER
- \$103M TIFIA/PABs supported by toll revenues
- \$10M from Douglas County
- Possible \$15M TIGER VI grant

A Level 2 Traffic & Revenue study is currently being finalized showing that future toll collection revenues appear sufficient to repay the \$103 million of bond debt. A Level 3 Traffic & Revenue Study will be initiated later this month with final results anticipated spring 2015. Additionally, Ernst & Young conducted a preliminary Value for Money Analysis earlier this month indicating a Public Private Partnership is not likely. The Project Team is recommending a design-build project delivery mechanism based on the results of the completed C-470 project delivery selection matrix and anticipates construction to start March 2016.



A revised Environmental Assessment is underway for the project, with a decision document expected June 2015. In addition to August 19th HPTE Town Hall, the project will be hosting three telephone town halls and four open houses to provide a project update to the public in mid-September. See attached schedule for additional project information.

Next Steps

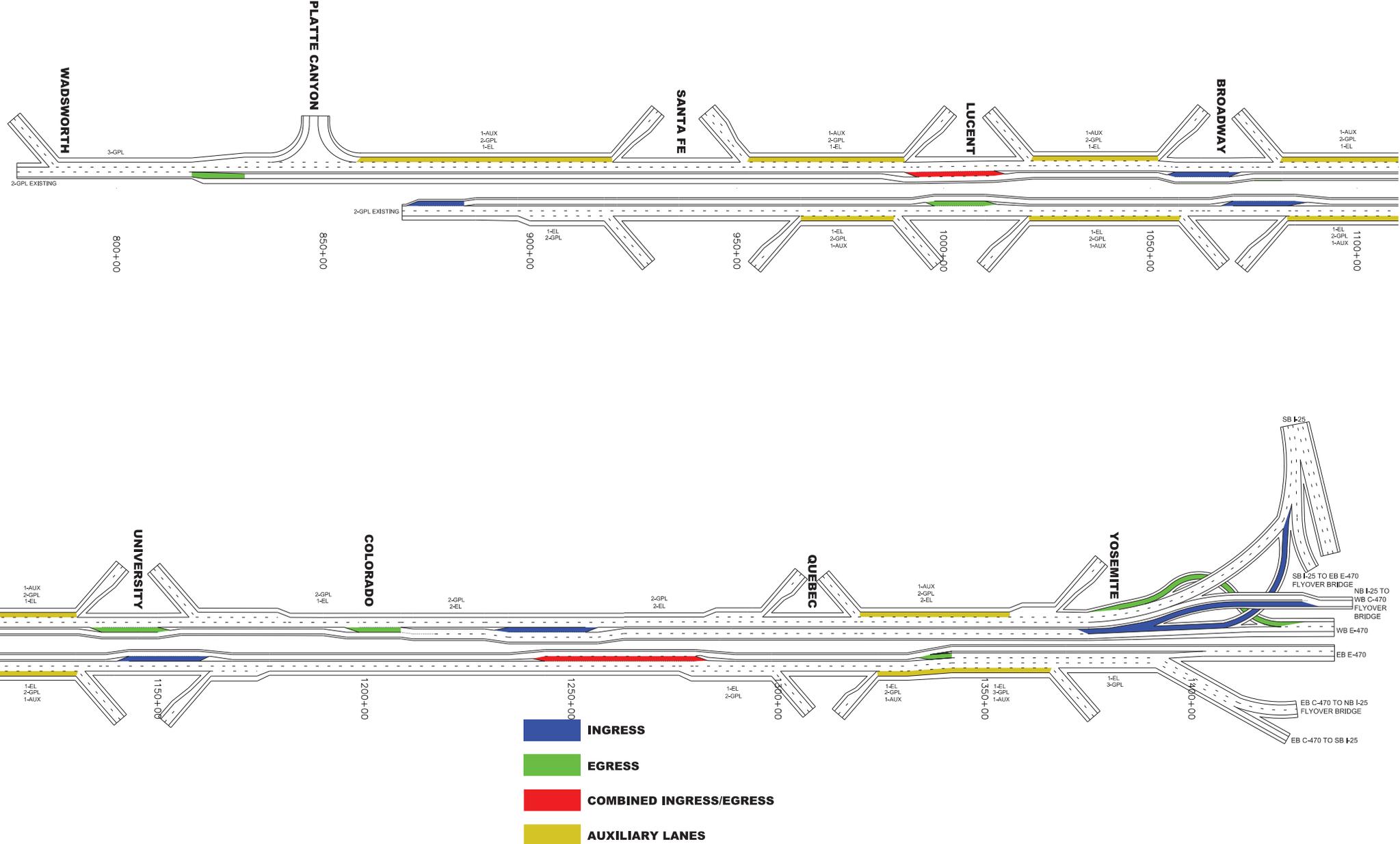
- At the September Commission workshop, staff expects to provide the Commission results from the final Value for Money analysis and a recommendation regarding P3/ Public Financing.
- Upon receipt of the Value for Money report, staff also expects to submit a TIFIA Letter of Interest in September.
- Move project status from “red” to “green” with Commission approval as early as December based on preliminary results from the Level 3 Traffic & Revenue Study. Preliminary results from Level 3 are necessary to confirm the amount of bond debt projected to be supported by toll revenues. The Level 3 data will solidify the project budget, scope and schedule.

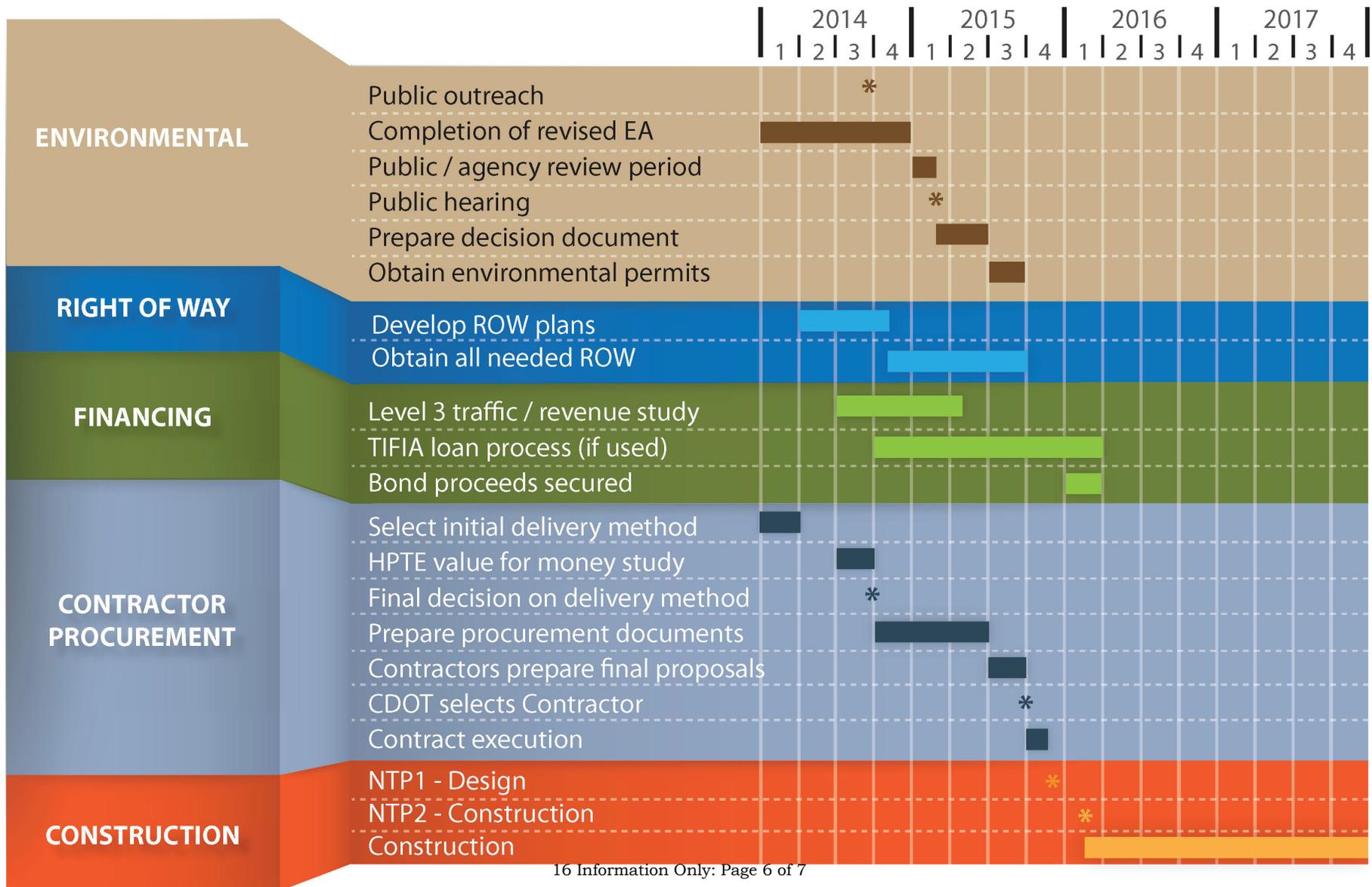
Attachments

Interim Schematic Lane Diagram
Schedule



INTERIM SCHEMATIC







COLORADO

Transportation Commission

4201 East Arkansas Avenue, Room 270
Denver, CO 80222-3406

DATE: August 21, 2014

TO: Transportation Commission

FROM: Director, Division of Transportation Systems Management & Operations (TSM&O)

SUBJECT: TSM&O Current State of Ramp Metering

Purpose

To inform the Transportation Commission on the current state of ramp metering in Colorado.

Action

This is information for the Commission on the progress of TSM&O focus areas. A detailed workshop for the Commission on the strategic vision, direction, and initiatives of TSM&O will be requested for September.

Background

The Division of Transportation Systems Management & Operations is responsible for a statewide program designed to reduce congestion and improve the safety, security, mobility, and efficient utilization of Colorado's existing highway system. The Division is formed on the belief and commitment that CDOT can do more to operate Colorado's existing surface transportation system so that it performs better to meet customer expectations through activities other than building new capacity. The Division's top-two priority corridors are I-25 (84th to Evans) and I-70 (Vail to C-470).

Details

One of the best strategies in reducing traffic congestion is ramp metering. Ramp metering helps reduce delay, improve volume throughput, enhances merging safety, and maintains a stable traffic flow on the freeway system. The more on-ramps are metered in a freeway system, the more effective they are in reducing congestion by controlling volume during peak periods. Expanding ramp metering in congested corridors and filling gaps in our existing metering system is a major initiative of TSM&O over the next three years.

In FY14, a thorough assessment of all freeway on-ramps in Region 1 was conducted and ramp meter timing plans were updated to reflect current traffic conditions. Currently, out of 352 on-ramps to freeways in Region 1, 27% have ramp meters. Some locations are planned for metering with current and future projects; others have safety concerns, a lack of storage for metering, or require civil improvements to enable metering. Some on-ramps connect from other freeways. CDOT has not yet implemented freeway-to-freeway metering, a strategy that is challenging to implement safely and without severely impacting the connecting freeway. However, freeway-to-freeway metering has been implemented in states such as Minnesota and California and TSM&O is evaluating candidate locations for implementation in Region 1.

TSM&O is also developing projects to add over 32 new ramp meter locations on congested corridors in Region 1 by the end of FY16, the first 10 locations to be completed by January 2015. This will increase our percentage of metered on-ramps in Region 1 from 27% to 37%, including 25 meters added to I-25 from Castle Pines to 144th. The cost of these projects is estimated at \$5.2 million, with \$965,000 currently funded through RAMP Operations. TSM&O is also developing guidance for engineers in all Regions to assist them with accurately assessing the feasibility of metering on-ramps on congested freeways Statewide. Funding for the remaining projects has not been finalized. Staff will evaluate the eligibility of unfunded projects to use FHWA Highway Safety Improvement Plan (HSIP) and FASTER Safety Mitigation funds, as well as consider ITS Capital Investment and Congestion Relief funds.

Key Benefits

TSM&O provides cost effective solutions that can serve as alternatives to adding roadway capacity with superior returns on investment, substantially lower implementation costs, and long lasting and consistent benefits, even after a major capacity project. No single TSM&O strategy is a "silver bullet", but layering multiple strategies and projects together creates synergistic benefits that are unmatched in their benefit/cost ratios. Ramp metering is a basic TSM&O strategy that has a benefit/cost ratio of 15:1 in its improvements of mobility and safety.





COLORADO Transportation Commission

4201 East Arkansas Avenue, Room 270
Denver, CO 80222-3406

DATE: August 21, 2014

TO: Transportation Commission

FROM: Mark Imhoff, Director, Division of Transit & Rail

SUBJECT: Southwest Chief Rail Line Economic Development, Rural Tourism, and Infrastructure Repair & Maintenance Commission

Purpose

The purpose of this memo is to inform the TC about the composition of the legislatively-created *Southwest Chief Rail Line Economic Development, Rural Tourism, and Infrastructure Repair & Maintenance Commission* (hereafter Southwest Chief Commission). This Southwest Chief Commission has been given authorities to make agreements and spend certain moneys, which have a direct bearing on transportation policy for the State.

Action

This memo is for information only. It supports the TC in responding to queries about the Southwest Chief Commission, and in providing guidance to CDOT staff as Southwest Chief Commission meetings commence.

Background

BNSF Railway and Amtrak have a contractual operating agreement by which the Amtrak Southwest Chief passenger rail line operates through southeastern Colorado, with stops in Lamar, La Junta, and Trinidad. The contract expires at the end of 2015. BNSF is the privately-owned "host" railroad over which the semi-public Amtrak passenger rail operates. Due to declining mineral extraction, agriculture, and related rail-shipping business in western Kansas, southeastern Colorado, and northeastern New Mexico, BNSF Railway is proposing to reduce maintenance of the track, thereby reducing the safe operating speed of the track. Such a speed reduction would make the Amtrak service less attractive and slower than travel by auto, likely resulting in the loss of ridership and fare revenues. Without resolution of this issue there is risk that Colorado would lose the Southwest Chief Amtrak service entirely.

Amtrak and BNSF Railway have been in contractual discussions for a year or more. Amtrak has budget limitations imposed by the U.S. Congress. BNSF Railway budgetary decisions are made according to good private-sector business needs. The cost of the track repair & on-going maintenance to maintain current operating speeds is estimated at \$200 Million over ten years, with roughly \$100 Million in track repair & replacement, and the other \$100 Million in on-going maintenance. With neither Amtrak nor BNSF apparently willing to cover the entire \$200 Million, those parties have offered options of either moving the Southwest Chief service to another BNSF rail line and entirely out of Colorado, or of seeking assistance from Kansas, Colorado, and New Mexico to cover portions of the total cost.

Colorado's State Legislature was approached for approximately \$40 Million to cover Colorado's proposed share of the total cost. The State Legislature deferred that decision, and instead created the Southwest Chief Commission to further consider the economic impacts of that investment decision versus taking no action.

Details

The Southwest Chief Rail Line Economic Development, Rural Tourism, and Infrastructure Repair and Maintenance Commission is charged to coordinate and oversee efforts by the state and local governments and cooperate with



the states of Kansas and New Mexico, Amtrak, and the Burlington Northern and Santa Fe railway to ensure continuation of existing Amtrak Southwest Chief Rail Line service in the state, expansion of such service to include a stop in Pueblo, and exploration of the benefits of adding an additional stop in Walsenburg. Governor John Hickenlooper has made the following appointments to the Commission:

Voting Members:

- Richard Guy Klein of La Junta, to serve as a resident of Las Animas, Otero or Prowers County who has publicly advocated for public rail. Appointed for a term expiring September 1, 2016;
- James Martin Souby of Denver, to serve as a representative of the Colorado tourism industry. Appointed for a term expiring September 1, 2016;
- Peter James Rickershauser of Denver, to serve as a representative of the freight rail industry. Appointed for a term expiring September 1, 2016;
- Elena Wilken of Denver, to serve as a public rail transportation advocate. Appointed for a term expiring September 1, 2017;
- Salvatore Pace of Pueblo, to serve as a resident of Pueblo or Huerfano County who has publicly advocated for public rail. Appointed for a term expiring September 1, 2017.

Non-voting Members:

- Mark Imhoff, Director, to serve as representative of CDOT, as appointed by the CDOT Executive Director
- TBD, to serve as representative of Amtrak

The Southwest Chief Commission has the authority to spend monies appropriated, awarded, granted or otherwise transferred to it. At this time, the "fund" for the Southwest Chief Commission includes \$5,279 per year and an 0.1 CDOT FTE authorization from the State Legislature to cover the expenses of the participating Commission members.

Next Steps

CDOT's DTR Director, Mark Imhoff, will convene the first meeting of the Southwest Chief Commission in September. The Commission will then establish bylaws or other rules of operation for subsequent meetings.

Attachments

Southwest Chief Legislation



CHAPTER 185

TRANSPORTATION

HOUSE BILL 14-1161

BY REPRESENTATIVE(S) Garcia, Tyler, Buckner, Court, Duran, Exum, Fields, Fischer, Hamner, Hullinghorst, Labuda, Lebsock, Lee, McLachlan, Melton, Moreno, Navarro, Pabon, Primavera, Rankin, Rosenthal, Ryden, Salazar, Singer, Vigil, Williams, Ginal, Kraft-Tharp, Schafer, Young, Ferrandino;
also SENATOR(S) Crowder, Guzman, Aguilar, Grantham, Heath, Herpin, Johnston, Jones, Kefalas, Kerr, King, Newell, Nicholson, Rivera, Roberts, Schwartz, Steadman, Tochtrop, Todd, Ulibarri, Carroll.

AN ACT

CONCERNING INTERSTATE RAIL SERVICE IN SOUTHERN COLORADO, AND, IN CONNECTION THEREWITH, CREATING A COMMISSION AND A FUND FOR THE PURPOSES OF ENCOURAGING AMTRAK TO CONTINUE ITS SOUTHWEST CHIEF RAIL LINE SERVICE AT ALL CURRENT COLORADO STOPS, EXPANDING SUCH SERVICE TO INCLUDE A STOP IN PUEBLO, STUDYING THE POTENTIAL BENEFITS OF EXPANDING SUCH SERVICE TO INCLUDE A STOP IN WALSENBURG, AND MAKING AN APPROPRIATION.

Be it enacted by the General Assembly of the State of Colorado:

SECTION 1. In Colorado Revised Statutes, **add** part 10 to article 4 of title 43 as follows:

**PART 10
INTERSTATE RAIL**

43-4-1001. Preservation and expansion of southwest chief rail line service in Colorado - commission - membership and powers - legislative declaration - definitions. (1) THE GENERAL ASSEMBLY HEREBY FINDS AND DECLARES THAT:

(a) THE AMTRAK SOUTHWEST CHIEF RAIL LINE, WHICH PROVIDES INTERSTATE RAIL SERVICE FROM CHICAGO TO LOS ANGELES WITH STOPS IN THE COLORADO CITIES OF LAMAR, LA JUNTA, AND TRINIDAD, PROVIDES NEEDED RAIL TRANSPORTATION TO RESIDENTS OF SOUTHEASTERN COLORADO, PROVIDES A GATEWAY TO TOURISTS FROM THE WEST COAST AND MIDWEST TO TOURIST ATTRACTIONS IN COLORADO, IS ITSELF A SIGNIFICANT TOURIST ATTRACTION FOR OUT OF STATE AND FOREIGN TOURISTS, AND IS AN IMPORTANT ECONOMIC DRIVER FOR RURAL AREAS OF COLORADO, KANSAS, AND NEW MEXICO.

Capital letters indicate new material added to existing statutes; dashes through words indicate deletions from existing statutes and such material not part of act.

(b) AMTRAK OPERATES THE SOUTHWEST CHIEF RAIL LINE IN KANSAS, COLORADO, AND NEW MEXICO ON OLDER TRACKS OWNED BY THE BURLINGTON NORTHERN AND SANTA FE RAILWAY THAT REQUIRE EXPENSIVE UPGRADES AND MAINTENANCE, WHICH THE RAILWAY AND AMTRAK ARE UNABLE TO PAY FOR IN FULL, AND IS CONSIDERING REROUTING THE SOUTHWEST CHIEF RAIL LINE AND DISCONTINUING SERVICE TO COLORADO, WESTERN KANSAS, AND NORTHERN NEW MEXICO.

(c) BECAUSE THE POSSIBLE REROUTING OF THE SOUTHWEST CHIEF RAIL LINE AWAY FROM COLORADO WOULD LEAVE RESIDENTS OF SOUTHEAST COLORADO WITHOUT NEEDED INTERSTATE RAIL TRANSPORTATION, COMPLICATE ACCESS TO COLORADO TOURIST ATTRACTIONS FOR TOURISTS FROM THE WEST COAST AND MIDWEST, ELIMINATE A SIGNIFICANT TOURIST ATTRACTION, AND CAUSE ECONOMIC AND EMPLOYMENT LOSSES IN COLORADO, IT IS IN THE BEST INTERESTS OF THE STATE TO TRY TO PREVENT THAT REROUTING AND ENSURE THAT THE SOUTHWEST CHIEF RAIL LINE CONTINUES TO PROVIDE RAIL SERVICE IN COLORADO.

(d) IN ADDITION TO SUPPORTING THE PASSENGER RAIL INDUSTRY, THE GENERAL ASSEMBLY ALSO CONSIDERS THE GROWTH OF THE FREIGHT RAIL INDUSTRY TO BE OF CRITICAL IMPORTANCE TO THE STATE AND THEREFORE INTENDS THAT ANY EXPANSION OF PASSENGER RAIL ONLY BE DONE IN COORDINATION WITH THE FREIGHT RAIL INDUSTRY.

(2) THE GENERAL ASSEMBLY FURTHER FINDS AND DECLARES THAT:

(a) IN ADDITION TO PRESERVING EXISTING SOUTHWEST CHIEF RAIL LINE SERVICE, MODIFYING THE ROUTE OF THE SOUTHWEST CHIEF RAIL LINE TO INCLUDE A STOP IN PUEBLO WOULD BENEFIT THE STATE BY:

(I) PROVIDING INTERSTATE RAIL SERVICE TO RESIDENTS OF PUEBLO, THE LARGEST METROPOLITAN AREA IN SOUTHERN COLORADO;

(II) CREATING AN ADDITIONAL INTERSTATE RAIL CONNECTION THAT:

(A) RESIDENTS OF THE RAPIDLY GROWING FRONT RANGE AND CERTAIN OTHER CITIES THROUGHOUT COLORADO CAN IMMEDIATELY ACCESS THROUGH EXISTING CONVENIENT, EFFICIENT, AND SEAMLESS INTRASTATE FIXED ROUTE AND CHARTER BUS SERVICES AND POTENTIALLY ACCESS IN THE FUTURE THROUGH NORTH-SOUTH RAIL SERVICE ALONG THE ENTIRE FRONT RANGE; AND

(B) TOURISTS CAN USE TO LINK TO BUS SERVICES AND POTENTIAL FUTURE NORTH-SOUTH RAIL SERVICES AND THEREBY MORE EASILY ACCESS TOURIST ATTRACTIONS THROUGHOUT THE STATE; AND

(III) BRINGING ADDITIONAL TOURISTS AND ATTENDANT ECONOMIC GROWTH DIRECTLY TO THE PUEBLO AREA, AND PROVIDING ADDITIONAL JOBS IN THE PUEBLO AREA.

(b) EXPLORING THE POTENTIAL BENEFITS, INCLUDING BUT NOT LIMITED TO BENEFITS OF INCREASED TOURISM AND OTHER ECONOMIC BENEFITS, OF FURTHER MODIFYING THE ROUTE OF THE SOUTHWEST CHIEF RAIL LINE TO INCLUDE A STOP IN

WALSENBURG IS ALSO IN THE BEST INTERESTS OF THE STATE;

(c) THERE HAVE BEEN PRELIMINARY DISCUSSIONS BETWEEN AMTRAK, THE BURLINGTON NORTHERN AND SANTA FE RAILWAY, AND THE STATES OF COLORADO, KANSAS, AND NEW MEXICO ABOUT SHARING THE COSTS OF FUNDING THE TRACK UPGRADES AND MAINTENANCE NEEDED TO PRESERVE SOUTHWEST CHIEF RAIL LINE SERVICE IN WESTERN KANSAS, SOUTHEASTERN COLORADO AND NORTHERN NEW MEXICO, AND IT IS NECESSARY AND APPROPRIATE TO ENCOURAGE THE CONTINUATION OF SUCH DISCUSSIONS AND CONVEY TO ALL OTHER INVOLVED PARTIES THAT:

(I) THE STATE OF COLORADO STRONGLY SUPPORTS THE EFFORT TO PRESERVE THAT SERVICE; AND

(II) CONTINUING TO PURSUE A COOPERATIVE APPROACH OFFERS THE BEST PROSPECTS FOR BOTH PREVENTING THE REROUTING OF THE SOUTHWEST CHIEF RAIL LINE AWAY FROM WESTERN KANSAS, COLORADO, AND NORTHERN NEW MEXICO AND EXPANDING SUCH SERVICE TO INCLUDE A STOP IN PUEBLO; AND

(d) IT IS THEREFORE NECESSARY AND APPROPRIATE TO:

(I) CREATE THE SOUTHWEST CHIEF RAIL LINE ECONOMIC DEVELOPMENT, RURAL TOURISM, AND INFRASTRUCTURE REPAIR AND MAINTENANCE COMMISSION AND THE SOUTHWEST CHIEF RAIL LINE ECONOMIC DEVELOPMENT, RURAL TOURISM, AND INFRASTRUCTURE REPAIR AND MAINTENANCE FUND;

(II) DEPOSIT INTO THE FUND ANY MONEY THAT MAY BECOME AVAILABLE TO THE STATE FOR THE PURPOSES OF ENSURING THAT THE AMTRAK SOUTHWEST CHIEF RAIL LINE CONTINUES TO PASS THROUGH COLORADO AND THAT AN ADDITIONAL STOP IN PUEBLO IS ADDED TO THE LINE; AND

(III) SPECIFY THAT THE COMMISSION MAY EXPEND MONEYS FROM THE FUND ONLY IN FURTHERANCE OF SUCH PURPOSES, ONLY TO THE EXTENT APPROPRIATED BY THE GENERAL ASSEMBLY, AND ONLY FOR:

(A) THE COMMISSION'S ADMINISTRATIVE AND STAFFING EXPENSES;

(B) THE COSTS OF ANY NECESSARY STUDIES; AND

(C) ONLY IF A FORMAL AGREEMENT IS REACHED UNDER WHICH AMTRAK, THE BURLINGTON NORTHERN AND SANTA FE RAILWAY, AND THE STATES OF KANSAS, COLORADO, AND NEW MEXICO ALL AGREE TO MAKE NECESSARY FINANCIAL CONTRIBUTIONS AND TAKE OTHER SPECIFIED ACTIONS NEEDED TO ENSURE THE ACHIEVEMENT OF SUCH PURPOSES, TRACK UPGRADES, MAINTENANCE, AND OTHER REQUIRED ACTIONS TO BE FUNDED UNDER THE TERMS OF THE AGREEMENT.

(3) AS USED IN THIS PART 10, UNLESS THE CONTEXT OTHERWISE REQUIRES:

(a) "COMMISSION" MEANS THE SOUTHWEST CHIEF RAIL LINE ECONOMIC DEVELOPMENT, RURAL TOURISM, AND INFRASTRUCTURE REPAIR AND MAINTENANCE COMMISSION CREATED IN SUBSECTION (4) OF THIS SECTION.

(b) "FUND" MEANS THE SOUTHWEST CHIEF RAIL LINE ECONOMIC DEVELOPMENT, RURAL TOURISM, AND INFRASTRUCTURE REPAIR AND MAINTENANCE FUND CREATED IN SECTION 43-4-1002.

(4) (a) THE SOUTHWEST CHIEF RAIL LINE ECONOMIC DEVELOPMENT, RURAL TOURISM, AND INFRASTRUCTURE REPAIR AND MAINTENANCE COMMISSION IS CREATED IN THE DEPARTMENT OF TRANSPORTATION. THE COMMISSION SHALL EXERCISE ITS POWERS AND PERFORM ITS DUTIES AS IF THE SAME WERE TRANSFERRED TO THE DEPARTMENT BY A **TYPE 1** TRANSFER, AS DEFINED IN SECTION 24-1-105, C.R.S. THE COMMISSION CONSISTS OF THE FOLLOWING FIVE MEMBERS APPOINTED BY THE GOVERNOR AS FOLLOWS:

(I) ONE REPRESENTATIVE OF THE TOURIST INDUSTRY IN COLORADO;

(II) ONE MEMBER WHO IS A PUBLIC RAIL TRANSPORTATION ADVOCATE;

(III) ONE REPRESENTATIVE OF THE FREIGHT RAIL INDUSTRY;

(IV) ONE RESIDENT OF LAS ANIMAS, OTERO, OR PROWERS COUNTY WHO HAS PUBLICLY ADVOCATED FOR PUBLIC RAIL; AND

(V) ONE RESIDENT OF PUEBLO OR HUERFANO COUNTY WHO HAS PUBLICLY ADVOCATED FOR PUBLIC RAIL.

(b) IN ADDITION TO THE FIVE MEMBERS OF THE BOARD, THE BOARD INCLUDES THE FOLLOWING TWO APPOINTED ADVISORS, WHO SHALL ATTEND BOARD MEETINGS AND ADVISE THE BOARD BUT ARE NOT VOTING MEMBERS OF THE BOARD:

(I) AN EMPLOYEE OF THE DEPARTMENT OF TRANSPORTATION, APPOINTED BY THE EXECUTIVE DIRECTOR OF THE DEPARTMENT; AND

(II) AN EMPLOYEE OF AMTRAK, APPOINTED BY THE PRESIDENT OF AMTRAK.

(c) APPOINTING AUTHORITIES SHALL APPOINT THE INITIAL MEMBERS AND APPOINTED ADVISORS OF THE COMMISSION NO LATER THAN SEPTEMBER 1, 2014. MEMBERS SHALL SERVE FOR TERMS OF FOUR YEARS; EXCEPT THAT THE INITIAL TERMS OF THREE OF THE MEMBERS APPOINTED BY THE GOVERNOR, AS DESIGNATED BY THE GOVERNOR, ARE TWO YEARS. THE COMMISSION SHALL ELECT A CHAIR FROM ITS MEMBERS AT ITS FIRST MEETING. MEMBERS SERVE WITHOUT COMPENSATION BUT RECEIVE REIMBURSEMENT FOR EXPENSES.

(5) (a) THE MISSION OF THE COMMISSION IS TO COORDINATE AND OVERSEE EFFORTS BY THE STATE AND LOCAL GOVERNMENTS AND COOPERATE WITH THE STATES OF KANSAS AND NEW MEXICO, AMTRAK, AND THE BURLINGTON NORTHERN AND SANTA FE RAILWAY TO ENSURE CONTINUATION OF EXISTING AMTRAK SOUTHWEST CHIEF RAIL LINE SERVICE IN THE STATE, EXPANSION OF SUCH SERVICE TO INCLUDE A STOP IN PUEBLO, AND EXPLORATION OF THE BENEFITS OF ADDING AN ADDITIONAL STOP IN WALSENBURG.

(b) IN FURTHERANCE OF ITS MISSION, AND IN ADDITION TO ANY OTHER POWERS AND DUTIES AS SPECIFIED IN THIS PART 10, THE COMMISSION HAS THE FOLLOWING

POWERS:

(I) TO ADOPT BYLAWS FOR THE REGULATION OF ITS AFFAIRS AND THE CONDUCT OF ITS BUSINESS;

(II) TO ACCEPT CONTRIBUTIONS TO AND EXPEND MONEYS FROM THE FUND AS AUTHORIZED BY SECTION 43-4-1002;

(III) TO ENTER INTO MEMORANDUMS OF UNDERSTANDING AND INTERGOVERNMENTAL AGREEMENTS WITH AGENCIES AND POLITICAL SUBDIVISIONS OF THIS STATE;

(IV) TO CONTRACT FOR NECESSARY SERVICES;

(V) TO ENTER INTO MULTISTATE AGREEMENTS; AND

(VI) TO HAVE AND EXERCISE ALL POWERS NECESSARY OR INCIDENTAL TO OR IMPLIED FROM THE SPECIFIC POWERS AND DUTIES GRANTED IN THIS PART 10.

43-4-1002. Southwest chief rail line economic development, rural tourism, and infrastructure repair and maintenance fund - creation - use of fund.

(1) THE SOUTHWEST CHIEF RAIL LINE ECONOMIC DEVELOPMENT, RURAL TOURISM, AND INFRASTRUCTURE REPAIR AND MAINTENANCE FUND IS CREATED IN THE STATE TREASURY. THE FUND CONSISTS OF ANY MONEYS, INCLUDING BUT NOT LIMITED TO ANY GIFTS, GRANTS, OR DONATIONS, RECEIVED BY THE STATE FROM THE FEDERAL GOVERNMENT, LOCAL GOVERNMENTS, PUBLIC-PRIVATE PARTNERSHIPS, OR ANY OTHER PERSON, OR AS A RESULT OF ANY VOTER-APPROVED BALLOT MEASURE, THAT ARE DEDICATED FOR THE PURPOSES OF ENSURING THAT THE AMTRAK SOUTHWEST CHIEF RAIL LINE CONTINUES TO PASS THROUGH COLORADO AND THAT AN ADDITIONAL STOP IN PUEBLO IS ADDED TO THE LINE, AND ANY OTHER MONEYS THAT THE GENERAL ASSEMBLY MAY APPROPRIATE OR TRANSFER TO THE FUND. INTEREST AND INCOME EARNED ON THE DEPOSIT AND INVESTMENT OF MONEYS IN THE FUND AND ALL UNENCUMBERED AND UNEXPENDED MONEYS IN THE FUND AT THE END OF ANY FISCAL YEAR REMAIN IN THE FUND. SUBJECT TO ANNUAL APPROPRIATION BY THE GENERAL ASSEMBLY, THE COMMISSION MAY EXPEND MONEYS FROM THE FUND FOR ITS ADMINISTRATIVE AND STAFFING EXPENSES AND FOR THE COSTS OF ANY NECESSARY STUDIES. SUBJECT TO ANNUAL APPROPRIATION AND THE LIMITATIONS SET FORTH IN SUBSECTION (2) OF THIS SECTION, THE COMMISSION MAY ALSO EXPEND MONEYS FROM THE FUND FOR RAIL REPLACEMENT OR OTHER IMPROVEMENTS TO THE PORTION OF THE BURLINGTON NORTHERN AND SANTA FE RAILWAY LINE USED TO PROVIDE EXISTING AMTRAK SOUTHWEST CHIEF RAIL LINE SERVICE IN COLORADO AND TO PAY COSTS ASSOCIATED WITH THE EXPANSION OF SOUTHWEST CHIEF RAIL LINE SERVICE TO INCLUDE A STOP IN PUEBLO.

(2) THE COMMISSION MAY ONLY EXPEND MONEYS FROM THE FUND FOR THE PURPOSES OF RAIL REPLACEMENT OR OTHER IMPROVEMENTS OR FOR COSTS ASSOCIATED WITH THE EXPANSION OF SOUTHWEST CHIEF RAIL LINE SERVICE TO INCLUDE A STOP IN PUEBLO IF:

(a) AMTRAK CONFIRMS IN WRITING THAT THE SOUTHWEST CHIEF RAIL LINE WILL CONTINUE TO STOP IN LAMAR, LA JUNTA, AND TRINIDAD, THAT THE SOUTHWEST

CHIEF RAIL LINE WILL ADD A REGULAR STOP IN PUEBLO WITHIN FIVE YEARS FROM THE DATE THE COMMISSION FIRST EXPENDS MONEYS FOR THOSE PURPOSES FROM THE FUND, AND THAT AMTRAK WILL EXPLORE THE POTENTIAL BENEFITS, INCLUDING BUT NOT LIMITED TO BENEFITS OF INCREASED TOURISM AND OTHER ECONOMIC BENEFITS, OF ALSO ADDING A REGULAR STOP IN WALSENBURG; AND

(b) THE STATES OF KANSAS AND NEW MEXICO, AMTRAK, AND THE BURLINGTON NORTHERN AND SANTA FE RAILWAY COMMIT IN WRITING TO EXPEND AN AVERAGE AGGREGATE AMOUNT OF AT LEAST FIFTEEN MILLION TWO HUNDRED THOUSAND DOLLARS PER YEAR FOR EACH OF THE TEN YEARS BEGINNING WITH THE YEAR IN WHICH THE COMMISSION FIRST EXPENDS MONEYS FOR THOSE PURPOSES FROM THE FUND.

43-4-1003. Repeal of article. THIS ARTICLE IS REPEALED, EFFECTIVE JULY 1, 2017.

SECTION 2. In Colorado Revised Statutes, 24-1-128.7, **add** (7) as follows:

24-1-128.7. Department of transportation - creation - repeal. (7) (a) THE SOUTHWEST CHIEF RAIL LINE ECONOMIC DEVELOPMENT, RURAL TOURISM, AND INFRASTRUCTURE REPAIR AND MAINTENANCE COMMISSION CREATED IN SECTION 43-4-1001 (4), C.R.S., SHALL EXERCISE ITS POWERS AND PERFORM ITS DUTIES AND FUNCTIONS AS IF THE SAME WERE TRANSFERRED BY A **TYPE 1** TRANSFER, AS DEFINED IN SECTION 24-1-105, TO THE DEPARTMENT OF TRANSPORTATION.

(b) THIS SUBSECTION (7) IS REPEALED, EFFECTIVE JULY 1, 2017.

SECTION 3. Appropriation. In addition to any other appropriation, there is hereby appropriated, out of any moneys in the chief rail line economic development, rural tourism, and infrastructure repair and maintenance fund created in section 43-4-1002, Colorado Revised Statutes, not otherwise appropriated, to the department of transportation, for the fiscal year beginning July 1, 2014, the sum of \$5,279 and 0.1 FTE, or so much thereof as may be necessary, for allocation for expenses related to the southwest chief rail line economic development, rural tourism, and infrastructure repair and maintenance commission created in this act.

SECTION 4. Act subject to petition - effective date. This act takes effect at 12:01 a.m. on the day following the expiration of the ninety-day period after final adjournment of the general assembly (August 6, 2014, if adjournment sine die is on May 7, 2014); except that, if a referendum petition is filed pursuant to section 1 (3) of article V of the state constitution against this act or an item, section, or part of this act within such period, then the act, item, section, or part will not take effect unless approved by the people at the general election to be held in November 2014 and, in such case, will take effect on the date of the official declaration of the vote thereon by the governor.

Approved: May 14, 2014