

CDOT Guidance for Processing TIP/STIP Amendments, Administrative Modifications and the Annual STIP Update

Statewide Transportation Improvement Program

The Statewide Transportation Improvement Program (STIP) is frequently amended due to changes in available funding, project cost, scope or schedule, or the addition or deletion of projects. The public involvement process and approval process is described below:

I. STIP Amendments

STIP Amendments require Transportation Commission approval and will occur on a semi-annual basis. Below is a description of what constitutes an Amendment and the timeline for approval.

A. Regionally Significant Projects

A revision to the STIP is considered to be a STIP Amendment when:

1. A regionally significant project is added to or deleted from the STIP.
 - a) Regionally significant projects are defined here as stand-alone projects that are regionally significant to that specific area or are not eligible for inclusion in a STIP Pool. For more specifics on what is considered to be a regionally significant project, please refer to the Project Priority Programming Process (4P) Guidelines.
2. There is a major scope change to a project. A major scope change may be described as:
 - a) Adding a travel lane at least one centerline mile in length;
 - b) Adding a new intersection or a major improvement to existing intersections (excluding turn lanes, auxiliary lanes or median improvements);
 - c) Adding new interchanges and grade separated intersections;
 - d) Major improvements to existing interchanges excluding drainage improvements and ramp widening;
 - e) A modification to a project that results in a re-evaluation of a NEPA document (NOTE: STIP amendments *documented* during NEPA re-evaluation public involvement do not require further public involvement during STIP process);
 - f) A modification to a project that requires air quality conformity determination, if applicable;
 - g) Adding or deleting federal or state funding for any project by more than \$5 million (cumulative) over the four years of the STIP.

3. Timeline for Processing STIP Amendments

Amendments will be processed for approval by the Transportation Commission in December and May of each fiscal year. This includes the public involvement process as detailed in III. A, below. Off-cycle Amendments will be processed when deemed necessary by the Transportation Commission or the CDOT Executive Management Team.

B. Non-Regionally Significant Projects and Program Pools

Adding a new program pool or implementing substantial changes to program pool totals due to action by the Transportation Commission or the US DOT. Projects that are listed in 23 CFR 771.117 (c) & (d) are pool eligible and will follow the Administrative Modification guidance in section II.



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1. Adding funds to a STIP program pool that results in a change of the program pool balance of 15% or more than was originally pushed via Program Distribution or the Annual Budget funding adjustment, based on updated revenue projections.
2. Other amendments determined by CDOT.

II. STIP Administrative Modifications

- A. STIP Administrative Modifications include revisions which:
 1. Do not meet the STIP Amendment criteria as listed in Section I A or I B; or
 2. Result from voter initiatives; or
 3. Are declared an emergency as defined by the Emergency Relief Program 23 CFR 668.105, the Governor, the Transportation Commission, or the Executive Director (based on an emergency event); or
 4. Require an expedited action for special circumstances agreed to by CDOT Executive Director and FHWA Colorado Division Administrator or the FTA Regional Administrator. This action will go through an abbreviated public involvement process concluding with Transportation Commission action.
- B. Roll-forwards from prior STIPs
 1. Includes projects that are STIP'd in a previous STIP cycle, but were not obligated in that cycle. These projects will be added to the current STIP in one of the following manners:
 - a) Beginning with FY2016, Region Business Office will undo the original budget action so that the funds may be rolled into the next current fiscal year and re-STIP'd with the original funds, or
 - b) Projects will be STIP'd in the current STIP utilizing the funding program UNO for Unobligated. This funding program is solely used for the purpose of demonstrating those projects previously budgeted and not yet obligated. This option will be phased out as CDOT moves forward with Cash Management principles and those older projects – from FY2015 and earlier - are processed for obligation.

III. Public Involvement and Approval Procedures for STIP Amendments and STIP Administrative Modifications for Rural, non-TIP Areas

A. STIP Amendments:

1. Prior to STIP Amendment approval for rural non-TIP areas:
 - a) Regional STIP Administrator will notify OFMB of STIP Amendment
 - (1) OFMB verifies if project is an Amendment.
 - (2) OFMB verifies financial constraint.
 - (3) Region Planner verifies the amendment for consistency with the long-range Regional and Statewide Plans. If a Plan amendment is needed, the Region Planner will initiate it and work with DTD to complete.
 - b) OFMB develops public notice and posts proposed STIP Amendment on external website for a 30-day review and comment period



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- c) OFMB distributes electronic notice of proposed STIP Amendment using appropriate TPR distribution list. This mailing list is derived from the DTD Statewide Planning Mailing List and will be updated periodically with the electronic list managed by OFMB.
 - d) CDOT Region Planner contacts TPR representative and requests that a TPR meeting be conducted to discuss any pending STIP Amendments no later than the end of the written comment period, identified in the notice. If the TPR already has a meeting scheduled during the public involvement period, they should discuss any pending STIP Amendments for their area.
 - e) All written comments are sent to OFMB STIP Manager who will, in turn, forward copies to the appropriate CDOT Region Planner within 3 business days after receiving comments.
 - f) CDOT Region Planner responds to the commenter within 5 business days before the scheduled Transportation Commission meeting.
 - g) CDOT Region Planner provides a copy of the response to OFMB for documentation.
 - h) OFMB coordinates with the Transportation Commission office on the required agenda item and the Chief Financial Officer, or designee, leads the Transportation Commission discussion with the CDOT Region Planner or appropriate region staff in attendance, if necessary.
 - i) Transportation Commission takes action on the STIP Amendments.
 - j) If Commission approves STIP Amendments, OFMB submits Transportation Commission approved STIP Amendments with signature from the OFMB Director to FHWA/FTA.
 - k) FHWA/FTA sends its approval of STIP Amendments to OFMB.
 - l) OFMB endorses the FHWA approved amendment list in the STIP and informs DTD-MPO & Regional Planner, STIP Administrator and CDOT Region Planner of FHWA/FTA approval.
 - m) OFMB posts approval for STIP Amendments on external website.
 - n) If Transportation Commission or FHWA/FTA **does not** approve STIP Amendments, process will start over with updated information.
- B. Administrative Modifications**
- 1. OFMB verifies and approves revision as administrative modification.
 - 2. OFMB compiles the administrative modification report at the end of the month and sends it to FHWA.
 - 3. OFMB posts approved administrative modification information on CDOT external website.

IV. Public Involvement and Approval Procedures for TIP Amendments

A. MPO TIP Areas

CDOT will rely on Metropolitan Planning Organization (MPO) Transportation Improvement Program (TIP)'s public involvement process as structured in the signed Memorandum of Agreement with each MPO. TIP projects are included in the STIP without modification.



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1. CDOT acknowledges MPO's TIP public involvement process and obtains MPO TIP resolutions from the MPO board.
2. CDOT Regions will ensure projects are in the TIP before amending the STIP.
3. OFMB drafts a letter for signature from Executive Director, who has signature authority from the Governor to approve incorporating TIP amendments into the STIP.
4. OFMB sends the signed letter and supporting documentation to FHWA/FTA for subsequent modifications/amendments to the STIP. Supporting documentation includes:
 - a) Verification of fiscal constraint
 - b) Verification of air quality conformity
 - c) Resolution from MPO
 - d) Explanation for the amendment
5. After forwarding the information to FHWA/FTA, OFMB endorses the amendment list in the STIP and informs DTD-MPO & Regional Planner, STIP Administrator and CDOT Region Planner of the STIP approval.
6. OFMB will approve TIP amendments on a weekly basis.

V. Annual STIP Update

The steps below outline the process for the Annual STIP Update. This process is used to maintain an active 4-year STIP window to align with the CDOT principles of Cash Management. This process has been developed with input and concurrence from the FHWA Colorado Division and the FTA Region 8.

The Annual STIP Update will coincide with the timing and execution for the May STIP Amendment cycle. The update will include projects identified for funding in the year being added to the STIP, including any Regionally Significant projects, and projects in non-regionally significant program pools. This includes any projects that have been identified for asset management program pools, such as Surface Treatment, Bridge, FASTER Safety, etc.

A. Annual STIP Update Process

1. Region Planners will meet with each TPR or MPO to review projects being added to the new fiscal year in the STIP. These meetings may be set with each individual TPR/MPO or conducted as a joint meeting. These meetings must be concluded by the end of February each year.
2. Region Planners will enter the additional projects into SAP by March 5. (If March 5 falls on a weekend, projects must be entered by the Friday prior to the 5th.)
3. OFMB will then publish the list for a minimum of 30 days for public review and comment.
 - a) The Transportation Commission will release the Draft STIP for public comment and review at its March meeting. The comment period will run through the end of April.



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- b) Any comments received by the OFMB STIP Manager will, in turn, be forwarded to the appropriate CDOT Region Planner within 3 business days after receiving comments.
 - c) CDOT Region Planner responds to the commenter within 5 business days before the scheduled commission meeting.
 - d) CDOT Region Planner provides a copy of the response to OFMB for documentation.
4. OFMB coordinates with the Transportation Commission office on the required agenda item and the Chief Financial Officer, or designee, leads the Commission discussion with the CDOT Region Planner or appropriate region staff in attendance, if necessary.
 5. Transportation Commission takes action on the Annual Update at its May meeting.
 6. Once approved, CDOT will forward a copy of the updated STIP, along with a copy of the Transportation Commission resolution, an updated self-certification, and verification of fiscal constraint with signature from the Chief Financial Officer to FHWA/FTA.
 7. FHWA/FTA will conduct a final review and approval of the updated STIP. Final approval will be sent back to the CDOT Executive Director and Chief Financial Officer.



STIP Administrative Modification Process

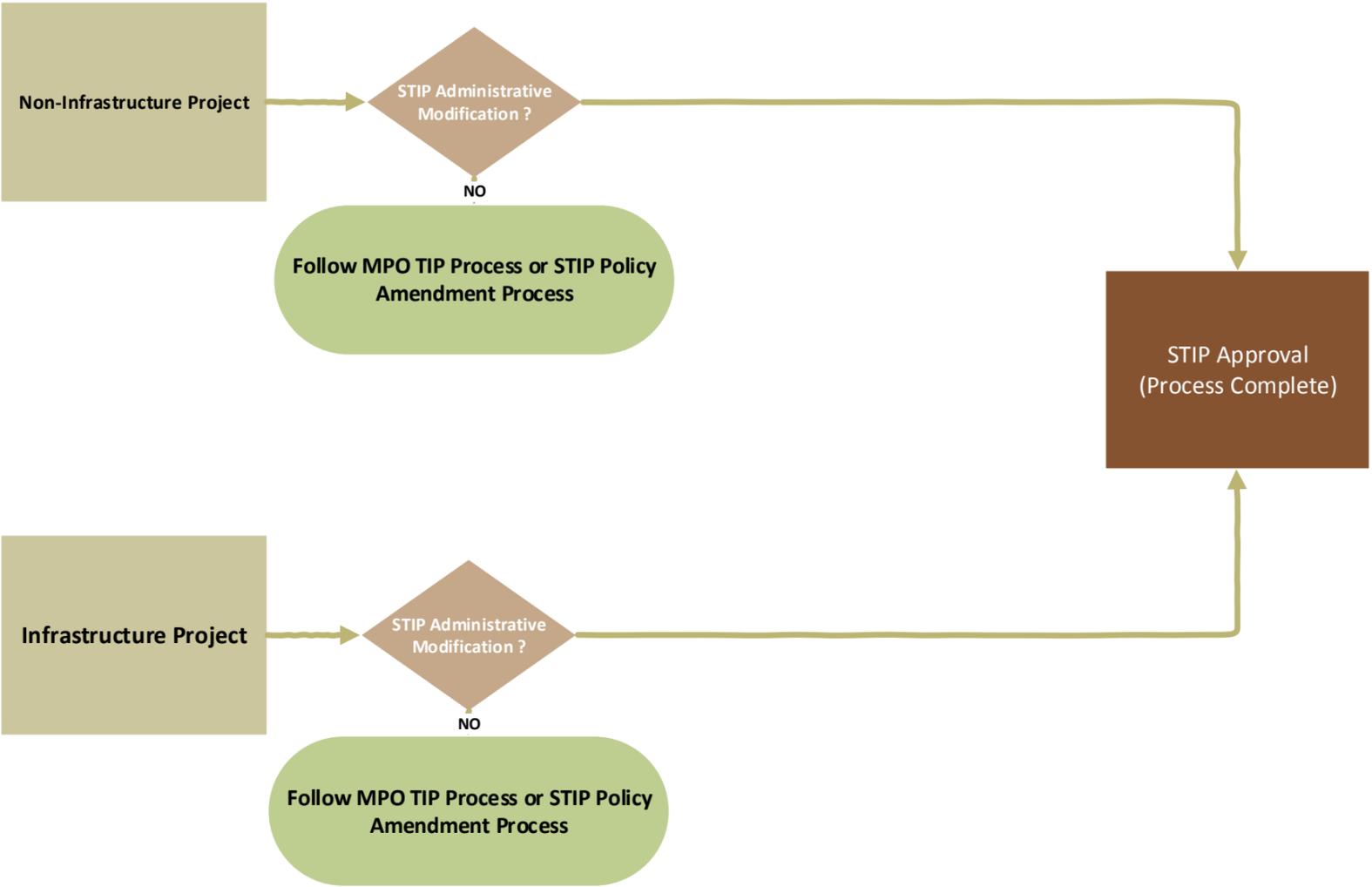
HQ Business Office

OFMB STIP Manager

Regional Planner

Transportation Commission

FHWA/FTA



STIP Policy Amendment Process

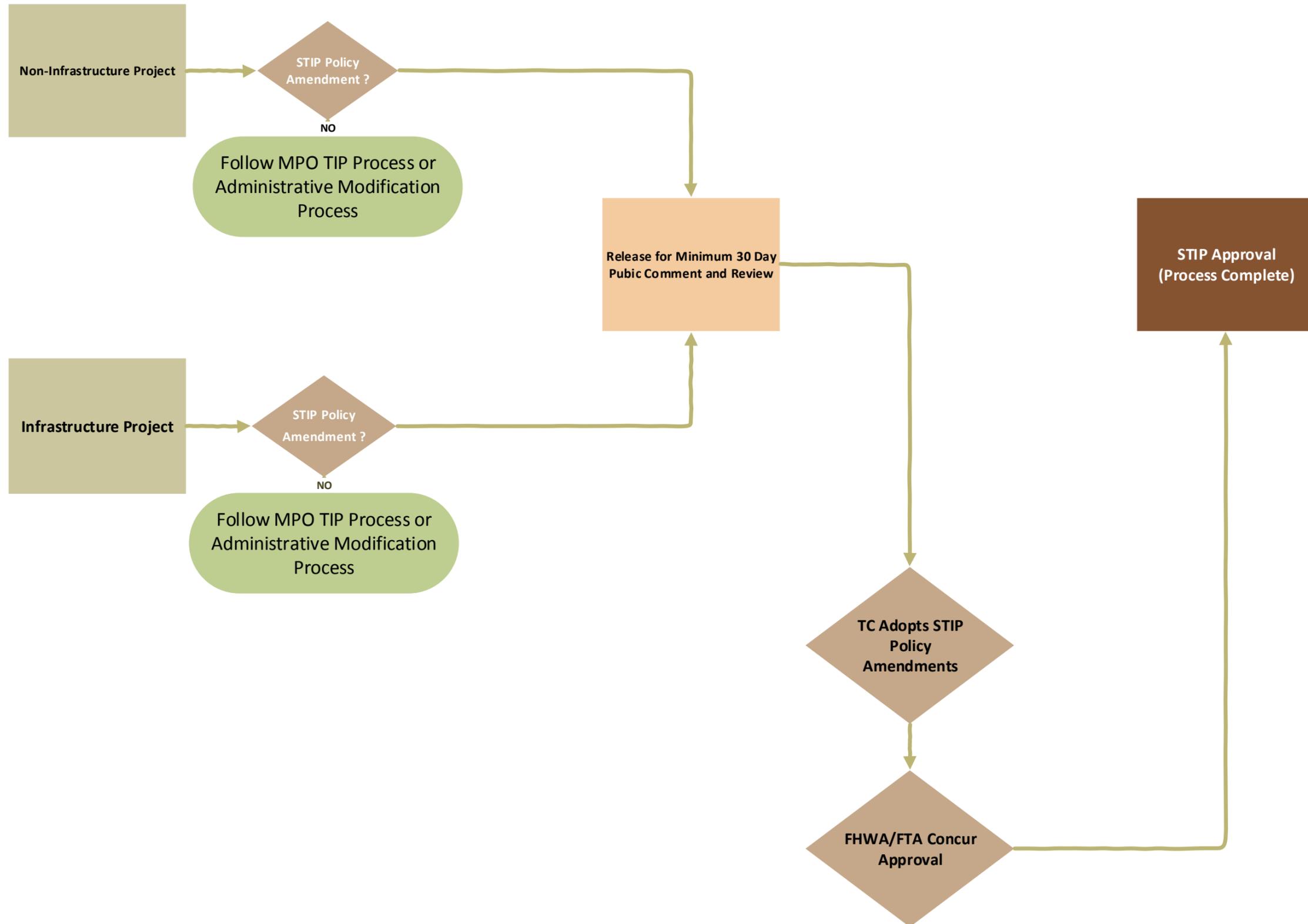
HQ Business Office

OFMB STIP Manager

Regional Planner

Transportation Commission

FHWA/FTA



MPO TIP Amendment Process

HQ Business Office

OFMB STIP Manager

Regional Planner

DTD

MPO

