

Transportation Commission  
Feb. 17 & 18, 2016  
Meeting Schedule & Agenda  
4201 East Arkansas Avenue  
Denver, Colorado 80222  
Kathy Connell, Chairwoman  
Steamboat Springs, District 6

Shannon Gifford  
Denver, District 1  
Ed Peterson  
Lakewood, District 2  
Gary M. Reiff, Vice Chair  
Englewood, District 3  
Heather Barry  
Westminster, District 4  
Kathleen Gilliland  
Livermore, District 5

Kathy Hall  
Grand Junction, District 7  
Sidny Zink  
Durango, District 8  
Nolan Schriener  
Colorado Springs, District 9  
William Thiebaut  
Pueblo, District 10  
Steven Hofmeister  
Haxtun, District 11

THE CHAIRWOMAN 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, Feb. 17, 2016

- 11:30 a.m. HPTE Board Meeting [Call to Order in Auditorium]
- 12:30 p.m. HPTE Board Break
- 12:45 p.m. HPTE Board Meeting [Reconvenes in Auditorium]
- 1:55 p.m. Joint TC and HPTE Executive Session on Central 70 Project Procurement (Tony DeVito).....Tab 1
- 2:25 p.m. Joint TC and HPTE P3 Management Manual Workshop (David Spector) .....Tab 2
- 2:35 p.m. Program Management Workshop (Mike Keleman) .....Tab 3
- 2:55 pm. FY 2015-16 and FY 2016-17 Budget Workshop (Maria Sobota) .....Tab 4

- 3:15 p.m. SB 228 Workshop (Debra Perkins-Smith).....Tab 5
- 3:45 pm. Asset Management Overview (Debra Perkins-Smith) .....Tab 6
- 4:05 p.m. FASTER Audit – Bridges (Herman Stockinger).....Tab 7
- 4:35 p.m. Disadvantaged Business Enterprise (DBE) Committee (Greg Diehl)  
.....Tab 8
- 5:05 p.m. Adjournment
- 6:15 p.m. Commissioner Dinner (Location TBA)

TRANSPORTATION COMMISSION MEETING

Thursday, Feb. 18, 2016

- 7:30 a.m. Breakfast Meeting [Room 262]
- 9:00 a.m. 1. Call to Order, Roll Call
- 9:05 a.m. 2. Audience Participation; Subject Limit:  
10 minutes; Time Limit: 3 minutes
- 9:10 a.m. 3. Comments of Individual Commissioners
- 9:15 a.m. 4. Executive Director’s Report (Shailen Bhatt)
- 9:20 a.m. 5. Chief Engineer’s Report (Josh Laipply)
- 9:25 a.m. 6. HPTE Director’s Report (David Spector)
- 9:30 a.m. 7. FHWA Division Administrator Report (John Cater)
- 9:35 a.m. 8. Act on Consent Agenda .....Tab 9
  - a) Resolution to Approve the Regular Meeting Minutes of Jan. 21, 2016  
(Herman Stockinger)
  - b) First Amendment to HPTE I-70 PPSL Project Intra-Agency Agreement  
(David Spector)
- 9:40 a.m. 9. Colorado Springs Colorado State Infrastructure Bank Loan Application  
(Maria Sobota) .....Tab 10
- 9:45 a.m. 10. Discuss and Act on the 8<sup>th</sup> Budget Supplement of FY 2016 (Maria  
Sobota) .....Tab 11
- 9:50 a.m. 11. Other Matters
- 9:50 a.m. 12. Adjournment



The Bridge Enterprise Board of Directors meeting will begin immediately following the adjournment of the Transportation Commission Meeting. Estimated Start Time: 9:50 a.m.

BRIDGE ENTERPRISE BOARD OF DIRECTORS .....Tab 12  
9:50 a.m. 1. Call to Order and Roll Call

2. Audience Participation

- Subject Limit: 10 minutes; Time Limit: 3 minutes

3. Act on Consent Agenda

- a) Resolution to Approve Regular Minutes from Jan. 21, 2016  
(Herman Stockinger)

4. Final FY 2016-17 Bridge Enterprise Budget for Comment (Maria Sobota)

5. Bridge Enterprise 2015 Annual Financial Statements (Scott McDaniel)

6. Monthly Progress Report (Scott McDaniel)

7. Adjournment

.....  
The Audit Review Committee will meet immediately following the adjournment of the Bridge Enterprise Board of Directors. Estimated start time: 10:20

10:20 a.m. Audit Review Committee (Scott Young, Jim Ballard).....Tab 13



MEMORANDUM

**TO:** Colorado Bridge Enterprise Board of Directors  
High Performance Transportation Enterprise Board of Directors

**FROM:** Tony DeVito, Central 70 Project Director  
David Spector, HPTE Director

**DATE:** February 17, 2016

**SUBJECT:** Executive Session Regarding Central 70 Project Procurement

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Purpose

To discuss confidential commercial and financial information regarding the Central 70 Project procurement.

Action

No formal action. The discussion will provide greater awareness to Board Directors regarding key risk allocation provisions and cost considerations in advance of the release of the second draft of the Request for Proposals (RFP) for the Central 70 Project.

Background

Following the initial release of the draft Instructions to Proposers (ITP) and Project Agreement (PA), staff held a series of legal/commercial and technical one-on-one meetings with each of the four shortlisted proposer teams. In response to feedback received from each of the proposer teams, certain changes are being proposed to the RFP documents to optimize risk allocation and the overall project value-for-money.

Details

The Executive Session will cover a number of topics, including the revised risk profile for the project, risk-related legal issues, and strategic considerations for the Central 70 Project procurement moving forward.

Key Benefits

The discussion will provide additional guidance to management and staff as further changes are proposed over the course of the Central 70 Project procurement.

Next Steps

Public release of the second draft RFP on February 23, 2016.





Date: February 17, 2016  
To: Transportation Commission / High Performance Transportation Enterprise Board  
From: Nicholas Farber, HPTE Operations Manager  
Subject: CDOT / HPTE P3 Management Manual

#### Purpose

The purpose of this memo is to summarize the draft final of the CDOT / HPTE P3 Management Manual.

#### Action

Information only. Over the next month HPTE and OMPD will be seeking your comments on the manual for final approval in March.

#### Background

The March 30, 2015 HPTE Legislative Audit cited that the “application of project management principles is crucial to managing [P3] projects for the maximum benefit to the State. As funding for transportation system improvement continues to be limited in Colorado, it is likely that the State will be embarking on more of these [P3] projects. A robust project management framework, supported by adequate guidance, training, resources, and expertise, is essential to establishing a sustainable program that manages these risks and commitments effectively for current and future projects.”

The P3 Management Manual provides a framework for both HPTE and CDOT for the development, implementation, and oversight of P3 projects. The manual addresses P3 program development and management, and walks through the different stages of project development and defined roles and responsibilities to ensure timely and responsive actions between HPTE and CDOT to address common needs of P3 projects.

#### Details

The slide deck attached goes into additional detail on:

- Background
- P3 Manual Approach
- Organization of the Manual
- Chapter Summaries / Highlights
- Questions on the Manual
- Next Steps

#### Attachment

February 4, 2016 Draft of the CDOT/HPTE P3 Management Manual



**COLORADO**  
Department of  
Transportation



# HPTE P3 Management Manual

*Feb. 17, 2016*



# Agenda

- Background
- P3 Manual Approach
- Organization of the Manual
- Chapter Summaries/Highlights
- Questions on Manual
- Next Steps/Completion/Adoption of Manual

# Background

- US-36 P3 Project HPTE's First Public-Private Partnership
- US-36 P3 Project Post-Evaluation and Audit Emphasized Capturing Best Practices/Guidance for Future P3 Projects
- P3 Management Manual Draft Developed by the RS&H-Led Team with Clary Consultants, in Partnership with HPTE, CDOT OMPD, and Public Information Staff, as well as Attorney General

# P3 Management Manual Approach

- Focused on Higher-Level Guidance (More Detailed Guidance to be Project-Specific (Project P3 Feasibility Analysis, RFQ, RFP))
- Guidance includes Best Practices and Strategies to Capture 'Lessons Learned'
- P3 Management Manual Expected to be a "Living Document"

# Organization of P3 Manual

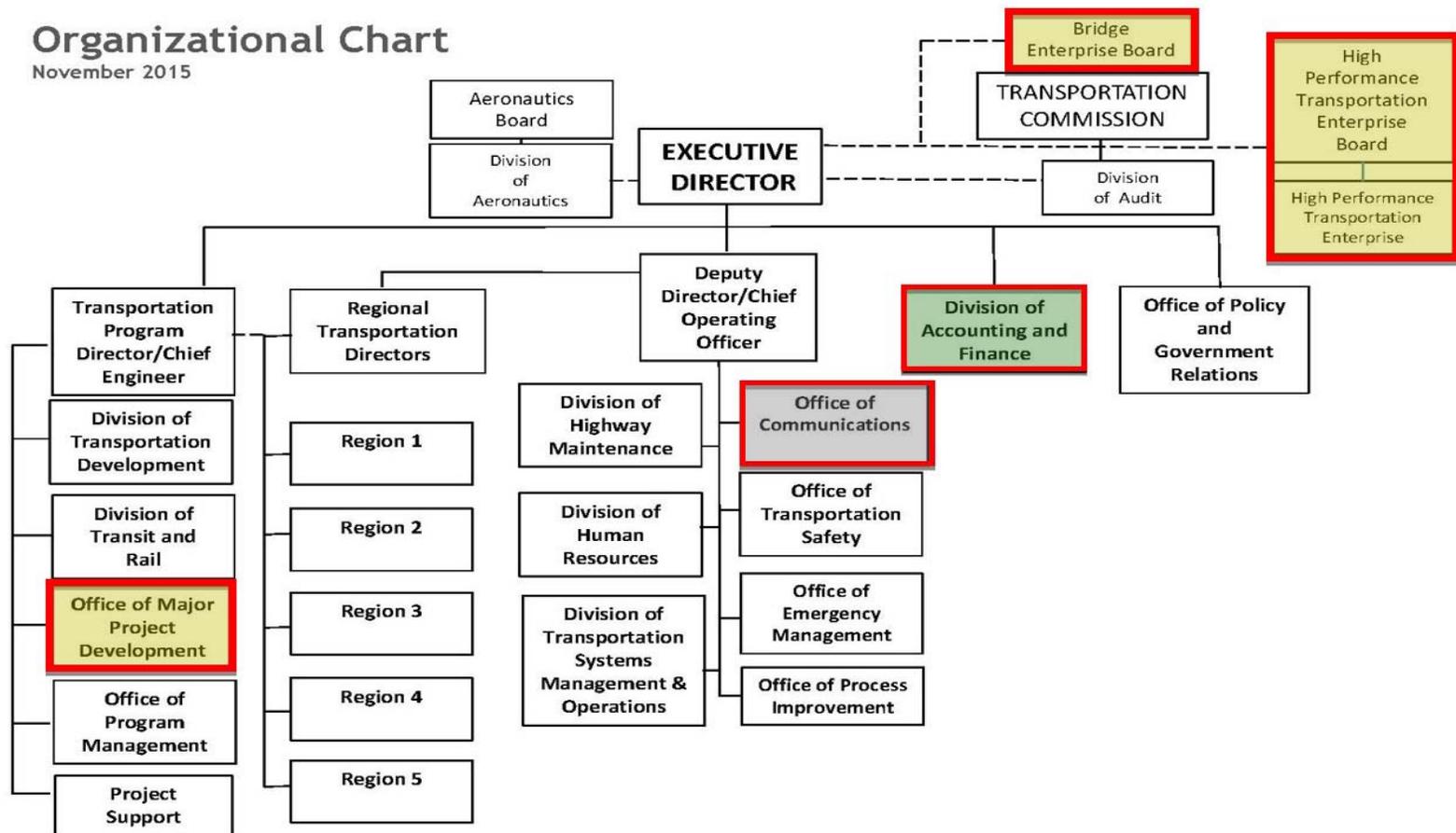
- Chapter 1 - Purpose and Goals
- Chapter 2 - P3 Program Development and Management
- Chapter 3 - P3 Project Planning and Development
- Chapter 4 - P3 Project Procurement
- Chapter 5 - P3 Project Implementation and Operations

# Chapter 1 - Goals of the Manual

The P3 Manual will help HPTE and CDOT follow a consistent approach for selection of appropriate projects for the P3 delivery method and, once selected, optimize their efficiencies on accelerating projects through the P3 delivery method. By further defining roles and responsibilities, each team member will be able to take ownership of their responsibilities and ensure the appropriate personnel are being engaged at the proper time to help decision-makers make sound choices based on sufficient information in a timely manner, while addressing public concerns and transparency throughout.

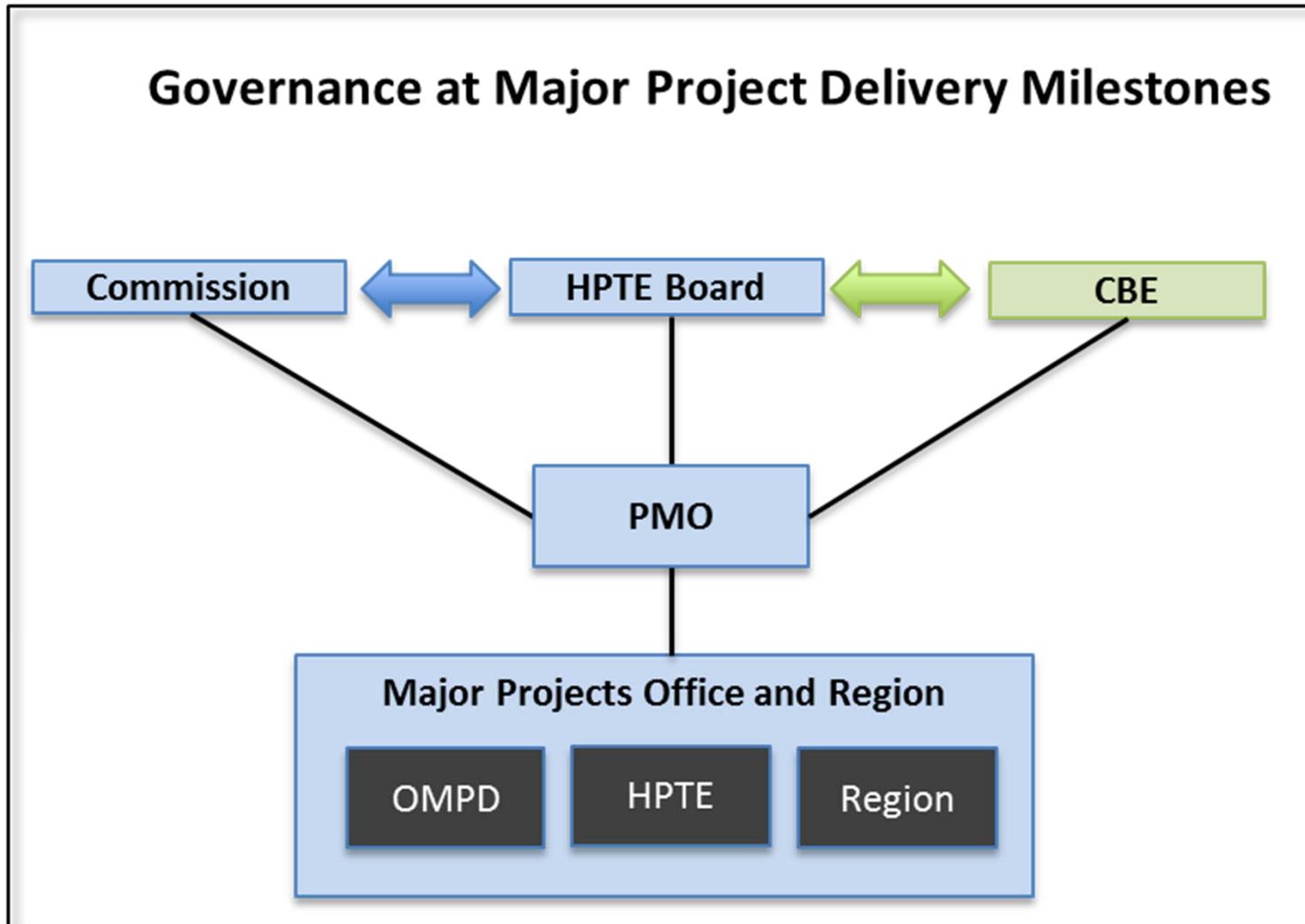
# Chapter 2 - Defines Roles and Responsibilities

Organizational Chart  
November 2015

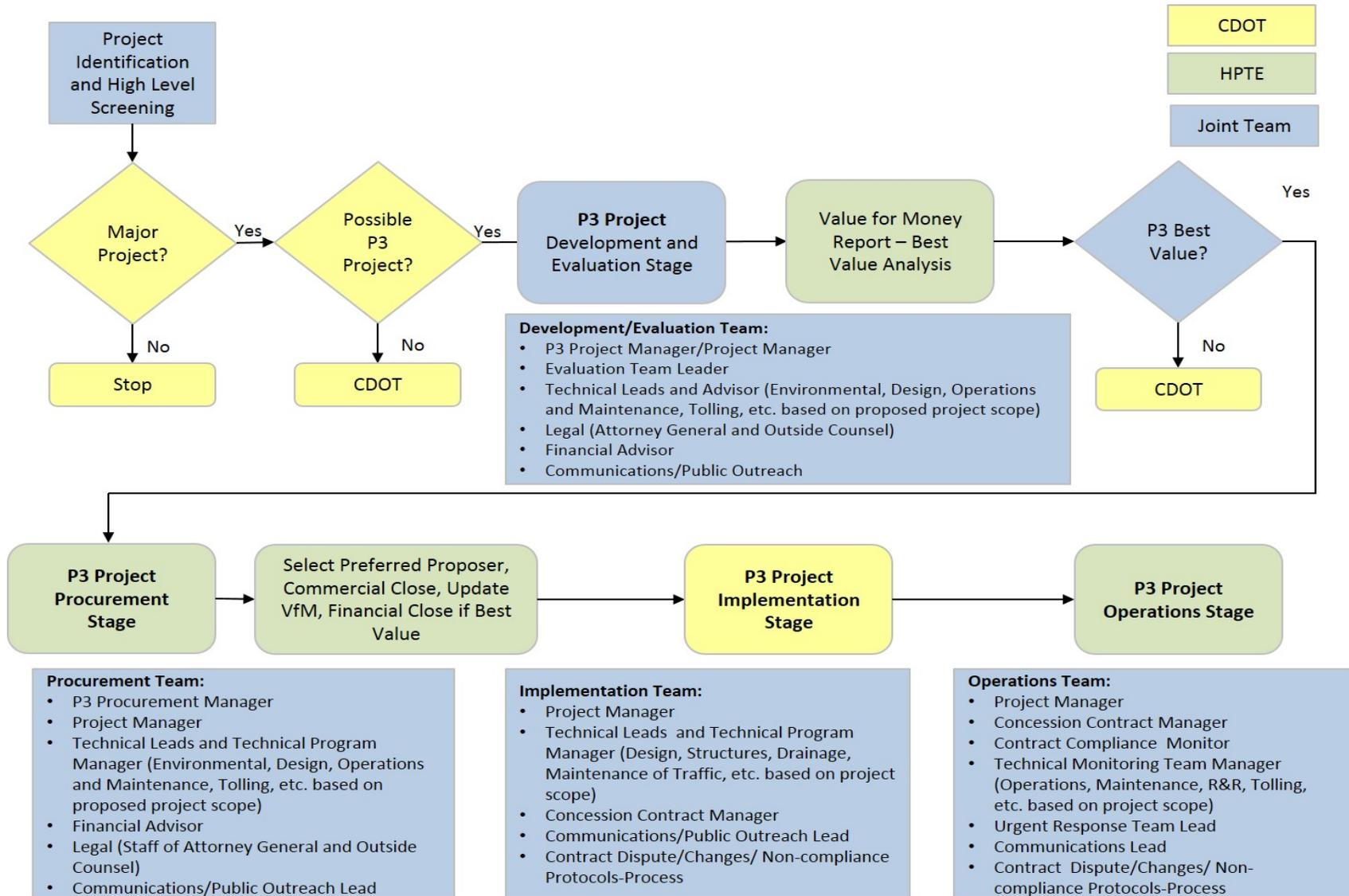


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# Chapter 2 - Provides

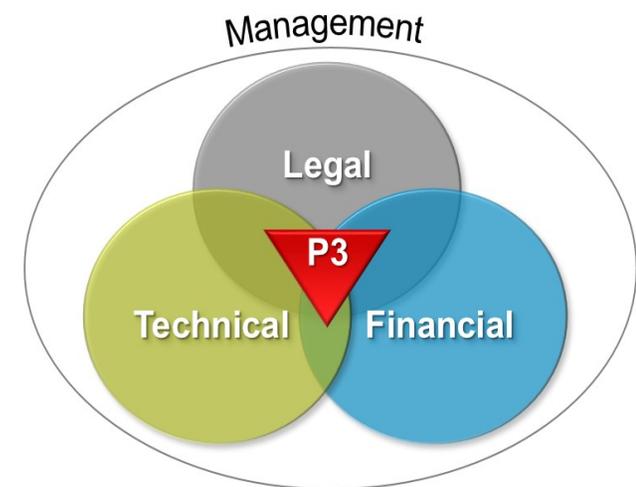
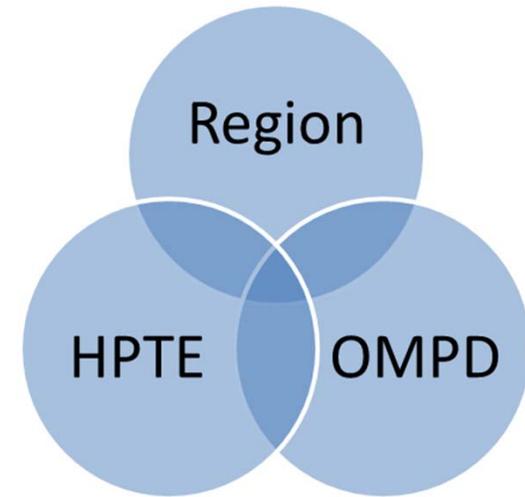


# Chapter 2 – Provides P3 Process

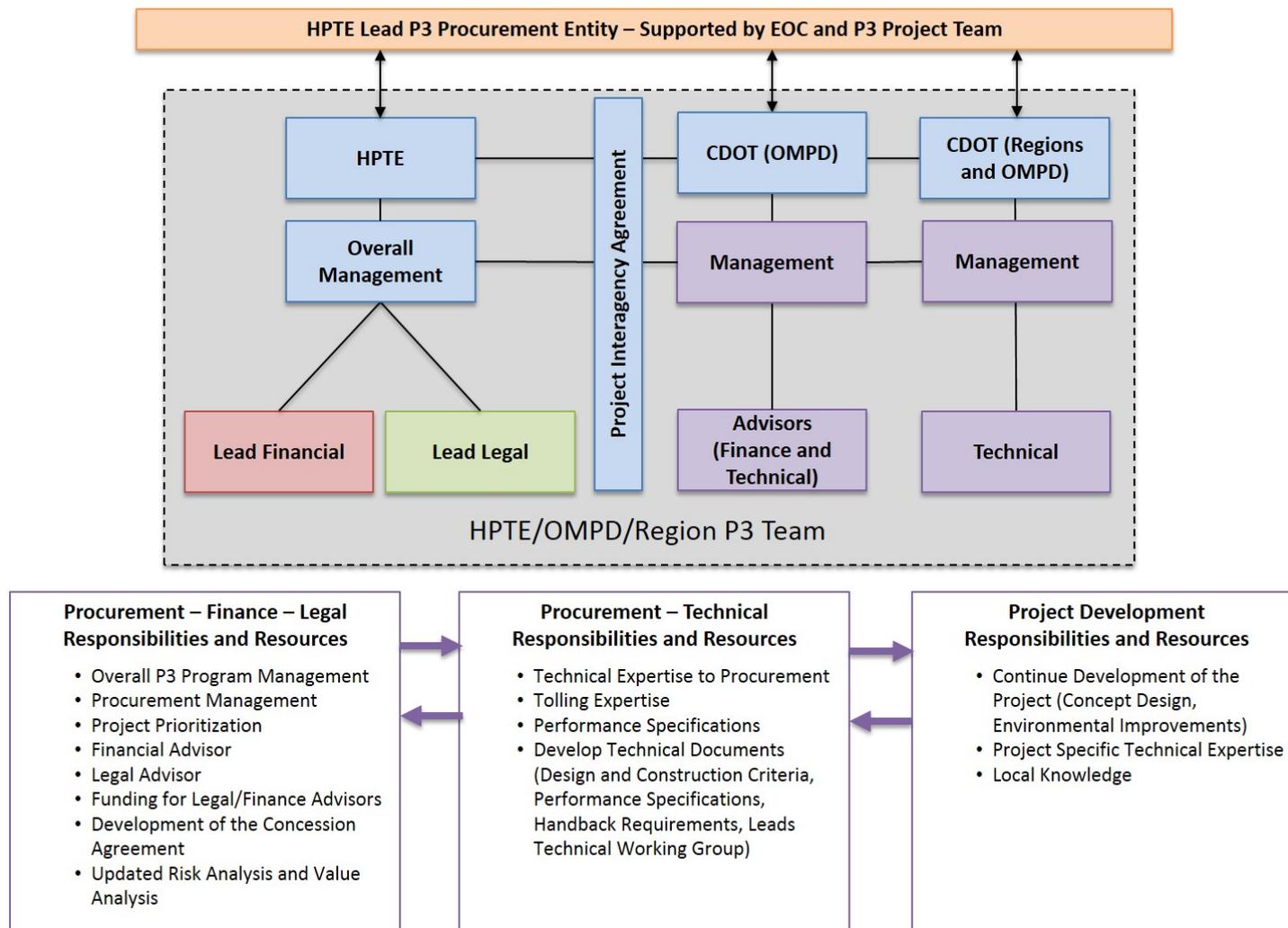


# Chapter 3 – Provides Guidance on:

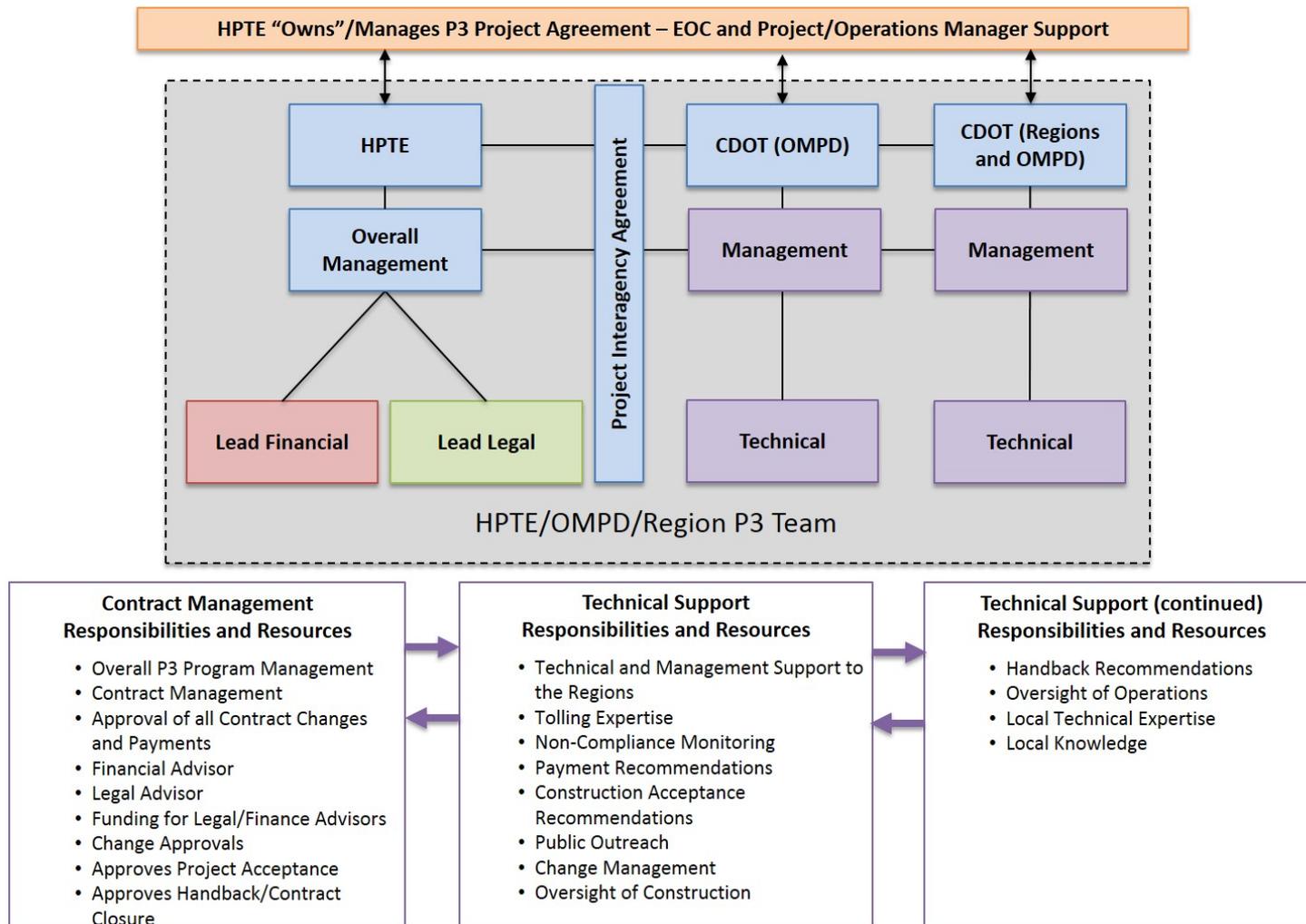
- The P3 Office 'flexible Linkages'
- Defines the P3 Team
- Feasibility of Project Delivery Approach (P3 vs Traditional)
- Initial Procurement Schedule, RFQ and RFP Development
- Project and Document Controls



# Chapter 4 – Project Procurement Organization



# Chapter 5 – Project Operations & Implementation Organization



# Questions/Next Steps

- Comments/Questions on the P3 Management Manual - HPTE Board
- Final Updates to P3 Management Manual
- Adopting of P3 Management Manual - Planned for March HPTE Board Meeting
- Period Updates to the P3 Management Manual (Major Law Changes and Post-Evaluation of P3 Projects as Examples)

Colorado Department of Transportation

# P3 Management Manual

High-Performance Transportation Enterprise

February 2016 (Draft)

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# I. Purpose and Goals

## A. Purpose

The High-Performance Transportation Enterprise (HPTE) Public-Private Partnership (P3) Management Manual provides a framework for both HPTE and the Colorado Department of Transportation (CDOT or “Department”) for the development, implementation, and oversight of P3 projects.

This manual addresses P3 program development and management, and walks through the different stages of project development and defined roles and responsibilities to ensure timely and responsive actions between HPTE and CDOT to address common needs of P3 projects. The manual is divided into five sections:

- 1) P3 Program Development and Management
- 2) Project Planning and Developmental/Pre-Procurement Phase
- 3) Project Procurement Phase
- 4) Project Implementation Phase
- 5) Project Operations Phase

The manual is meant to supplement existing laws, policies, and guidance already in place by CDOT for traditional projects and also by HPTE for P3 projects. The manual will not replace existing procedures for traditional projects, but is specifically addressing additional guidance and processes for P3 projects. The manual incorporates appropriate laws and applicable HPTE/CDOT policies, manuals, and guidance, and provides direction for the HPTE P3 Program and P3 projects that the HPTE Board approves to move forward. The manual is not meant to be all-inclusive and specific elements will need to be developed in more detail as P3 projects move forward. Each P3 project will include a project interagency agreement that provides project resources and may provide additional guidance for the P3 project. The interagency agreement will govern if there is possible confusion with guidance in the P3 manual. In addition, it is important that the P3 Manual become a living document that is periodically updated for law and policy changes, and at the completion of any phase of a P3 project for best practices and any lessons learned on a given project.

P3 projects are complex and each is unique. At times it will be necessary to implement specific guidance on a P3 project that is different than the guidance in the P3 Manual. This will be documented for that P3 project and if the different approach becomes practice, the P3 Manual will be changed at the next update. In addition, specific guidance will be provided for each P3 project in documents such as the Request for Qualifications (RFQ), Request for Proposals (RFP), and P3 Project Agreement that is much more detailed than the P3 Manual and specific to that P3 project.

## B. Goal

The P3 Manual will help HPTE and CDOT follow a consistent approach for selection of appropriate projects for the P3 delivery method and, once selected, optimize their efficiencies on accelerating projects through the P3 delivery method. By further defining

roles and responsibilities, each team member will be able to take ownership of their responsibilities and ensure the appropriate personnel are being engaged at the proper time to help decision-makers make sound choices based on sufficient information in a timely manner, while addressing public concerns and transparency throughout.

## C. P3 Defined

Under the Colorado Revised Statutes (CRS) HPTE is authorized to pursue P3s for surface transportation infrastructure projects. The CRS further defines the types of projects to include a highway, a bridge other than a designated bridge, or any other infrastructure, facility, or equipment used primarily or in large part to transport people on systems that operate on or are affixed to the ground. The P3 project scope includes multiple project elements, including those below, that will vary depending on the scope defined by HPTE in partnership with CDOT:

- Planning
- Design
- Engineering
- Construction
- Repair/reconstruction
- Maintenance
- Operations
- Financing

The P3 project agreement is between the public owner (HTPE) and the private partner that includes, but is not limited to:

- Acceptance of a private contribution to the P3 project in exchange for a public benefit concerning the project other than only a money payment.
- Sharing of resources and the means of providing P3 projects.
- Cooperation in researching, developing, and implementing the P3 project.

## II. P3 Program Development and Management

The HPTE has outlined P3 Program goals and objectives to serve as a resource for innovative finance and P3s. This will allow careful due diligence that evaluates whether moving forward with the proposed P3 project based on preliminary analysis supports using the P3 approach as the best value. This section outlines the process for screening and identifying prospective major projects that might fit the P3 approach and the due diligence process that will be followed for presenting recommendations to the HPTE Board for decision-making prior to moving the project forward as a P3.

### A. Program Legal Direction and Policies

In 2009, the General Assembly created the High Performance Transportation Enterprise (HPTE) in the Funding Advancement for Surface Transportation and Economic Recovery or “FASTER” Act [Section 43-4-801, et seq., C.R.S.]. The General Assembly specifically charged HPTE with the responsibility to seek out opportunities for P3s for the purpose of completing surface transportation infrastructure projects through any available means of financing that will allow the efficient completion of projects [Section 43-4-806 (1) (c), C.R.S.]. By statute, HPTE’s business purpose is to “pursue public-private partnerships and other innovative and efficient means of completing surface transportation infrastructure projects [Section 43-4-806 (2) (c), C.R.S.].” To accomplish that purpose, HPTE has authority to:

- Impose tolls and other user fees for the privilege of using surface transportation infrastructure.
- Issue revenue bonds secured by those tolls and fees.
- Contract with government and nongovernment sources for loans or grants to be used to support HPTE’s functions.
- Seek out and enter into public-private partnerships.

HPTE is a government-owned business established as a separate division within the CDOT. HPTE is an enterprise for purposes of Section 20 of Article X of the State Constitution (commonly referred to as “TABOR”), and accordingly is not subject to the revenue and spending limitations of TABOR as long as it receives less than 10 percent of its total revenues in grants from state and local governments. A seven member board of directors (the HPTE Board) oversees HPTE’s operations; four members are appointed by the Governor and three are appointed by the Transportation Commission. The HPTE Board appoints the Director and together, the HPTE Board and Director exercise powers and perform duties specifically given in statute.

In the “FASTER” Act that created the HPTE, the legislative intent expressed that innovation and flexibility be interpreted broadly to help facilitate moving key projects forward. As such, HPTE has flexibility in the development and procurement of P3 projects. To help guide this process the HPTE Board has adopted policies and also adopted key CDOT policies to

provide guidance for the implementation of the P3 Program. The below are rules and policies adopted by the HPTE Board as applicable to the HPTE that have been adopted, as periodically amended by the Transportation Commission. These rules and policies carry the same authority as law and must be followed at all times in the development and implementation of the P3 program. These sections and links are current as of September 2015 and should be verified from time to time on the CDOT intranet to ensure this is most current version of the applicable rule and policy.

This section outlines the legal direction for HPTE and the complete statutory language governing the HPTE can be found at the following links:

- [Colorado Revised Statutes](#)
- [Statute CRS 43-4-806 as of 2014](#)

The HPTE has adopted the following guidance for the HPTE Board that will be updated from time to time that should be reviewed as part of the P3 Program:

- [HPTE Articles of Organization](#)
- [HPTE Bylaws](#)
- [Mission Statement](#)

The P3 Program has the following directive process:

- Applicable federal and state laws must be followed at all times for the P3 Program and P3 projects.
- Rules have the same force as law and must be followed unless the rule is changed through the approved rule update process and policies can be adjusted by HPTE Board action. The below rules and policies directly related to the P3 Program and P3 projects adopted by the HPTE Board As of **September 2015** these include:
  - [HPTE Transparency Policy](#)
  - [Tolling Policy](#)
  - [Toll Enforcement Rules](#)
  - [Colorado Secretary of State](#)
- The HPTE by law is a part of the CDOT and part of the State of Colorado, however, as an “enterprise” the HPTE is provided broad flexibility to implement P3 projects. The rules, policies and procedures of the CDOT that have been adopted by the HPTE Board as applicable to the HPTE that must be followed for the P3 Program as shown in Attachment X, as of **September 2015**. These items should be checked from time to time on the CDOT intranet to ensure this is most current version of the rule and policy.

## B. HPTE Mission/Goals

The following is HPTE’s mission:

“The mission of the Colorado High Performance Transportation Enterprise is to partner with local agencies, communities and private industry to seek out opportunities for creative means of financing and accelerating the delivery of multimodal transportation infrastructure projects.”

Identify Opportunities.

Develop Partnerships.

Provide Sustainable Alternatives.

Lead Innovative Financing.

Accelerate Program Delivery.

### C. Program Organizational Chart/Decision-Making Authority

The overall organization for CDOT is shown below with the areas highlighted that are directly part of the efforts for the P3 Program and P3 projects. These include the primary offices of HPTe, Office of Major Project Development (highlighted in yellow), Division of Accounting and Finance (highlighted in green), and the Office of Communications (highlighted in grey)

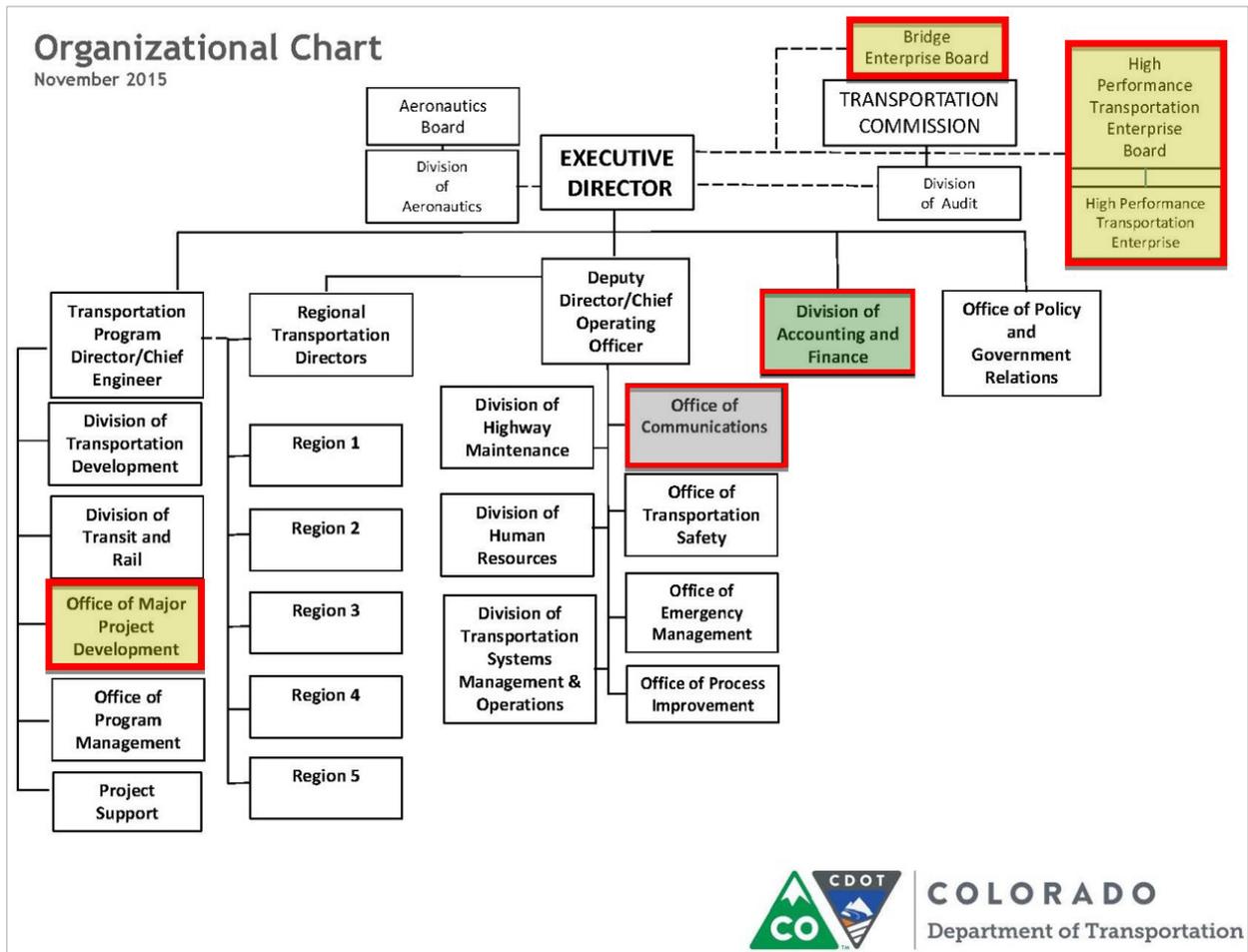


Figure 1 - CDOT Organizational Chart

It is important to always check for the latest organization chart at <https://www.codot.gov/about/CDOT-org-chart/view> as the organizational structure may be adjusted from time to time.

The organizational chart for the P3 Program relationships for major projects that become P3 projects is shown in Figure 2. The major policy boards and functional units include:

- Policy Boards
  - Transportation Commission – The Transportation Commission sets the overall policy for CDOT. Primarily related to major projects/P3 projects the Commission reviews and, if supported as the best approach, receives and/or approves:
    - Briefings on key projects
    - Approves moving a major project forward for consideration as a P3 in partnership with the HPTC Board
    - Approves CDOT funds allocated to the P3 Program and/or a P3 project
    - Approves agreements as needed for a P3 project, that CDOT is party to the agreement
    - Other items as required by the Commission as CDOT policy board related to a P3 projects
  - HPTC Board – Approves the project moving forward as a P3 and is briefed on major elements of the project process such as reviewing and, if supported as the best value for the state, receives and/or approves the key items shown below:
    - Approves the adoption of policies associated with the P3 Program
    - Briefings on issuing the Request for Qualification (RFQ) to begin the P3 procurement process
    - Briefing on the shortlist of proposers
    - Briefing on issuing the final RFP
    - Approves selection of the preferred proposer
    - Approves commercial close – signing the P3 project agreement
    - Approves financial close documents required for signature by the HPTC
    - Approves amendments to P3 project agreements
    - Receives briefings on major actions such as letter of interest for a Transportation Infrastructure Finance and Innovation Act (TIFIA) loan, serving as conduit bond issuer or other authorized actions associated with facilitating the financing for a P3 project
    - Receives briefing on accepting an unsolicited proposal
    - Approves toll rates or dynamic pricing algorithms
    - Approves other items associated with a P3 project as determined by the HPTC in coordination with the HPTC Director.
  - Colorado Bridge Enterprise (CBE) – Approves funding and/or financing for designated bridge projects that fall under the responsibility of the Bridge Enterprise. The HPTC Director will coordinate with the CDOT Executive Director and jointly present a proposal to the CBE for the CBE to participate in funding and/or financing for designated bridge projects that relate to a P3 project. The CBE Board will review the proposal and either approve or reject the proposal based on the best interest of the State and the CBE.
- Functional Units and Offices
  - Program Management Office (PMO) Governance Committee – The PMO Governance Committee (PMO) is composed of all major leaders in the

- CDOT, including the HPTE Director. The PMO includes key activities associated with major projects and projects that move into the P3 arena such as:
- Serve as the “vetting organization” for key projects including receiving briefings from the Regions, OMPD and HPTE on key projects.
  - Discuss and with the assistance of the Region, OMPD and HPTE to review key projects that are brought forward for consideration as a major project that could move to the P3 approach.
  - When it is in the best interest of the state, the PMO will recommend to the CDOT Executive Director that a project should be designed as a major project and be considered for the P3 approach.
  - Consider and make recommendations related to CDOT regarding funding allocations for a major project in partnership with the Region Director where the major project is located. The recommendation for funding allocation will be made to the Executive Director and Commission.
  - In partnership with the Region Director and OMPD to develop policy and resolve policy questions related to technical aspects of P3 projects during all stages of a P3 project.
- CDOT Office of Major Project Development (OMPD) – The OMPD serves as an “internal consultant” for CDOT on projects that may be considered and ultimately are designated as a “major project.” Under a Memorandum of Understanding (MOU), the OMPD also serves as the technical advisor for the HPTE on P3 projects. The OMPD has expert resources in-house and via contracted resources related to:
    - Environmental reviews and approvals
    - Project management
    - Developing technical specifications such as design, construction, maintenance, and related elements associated with major projects
    - Tolling
    - Related technical elements associated with major projects
  - CDOT Division of Accounting and Finance headed by Chief Financial Officer (CFO) – While not shown on the chart, the CDOT’s CFO or their designee serves as a resource to HPTE for funding and finance aspects of major projects that move forward under the P3 approach. Typically, staff of the CFO will participate during the project development and procurement phases for the P3 project.
  - CDOT Regions – The CDOT Regions develop projects and may propose a project to the PMO for consideration as a major project. The regions will allocate funds that may be used for project development and later phases of the project in coordination with the Executive Director and in partnership with the PMO. If a major project is considered as a P3, the Region will lead the technical development of the project and rely on the HPTE and OMPD to run the due diligence process to determine if the project should be approved for moving forward as a P3 project. The Region will support HPTE’s/OMPD’s due diligence with cost estimating, risk assessments and cash flow information

needed for the HPTE's analysis. If the project is approved to move forward as a P3 project, the HPTE, in coordination with OMPD, manages the P3 process and serves in the role of "owner" of the project for the P3 process. The Region will lead the project for key elements, including:

- Project environmental review and approvals
  - Public communication related to environmental and technical elements
  - Technical lead in partnership with OMPD
  - Major team member in the P3 process and lead on technical elements in partnership with OMPD
  - Oversight of P3 project implementation (design-build) phase in partnership with OMPD/HPTE
  - Coordination on the oversight of P3 project operations phase in partnership with OMPD/HPTE.
  - Oversight of P3 project "handback" phase in partnership with OMPD/HPTE
- o HPTE – The HPTE has a small staff of experts and administrative staff that provide management and oversight for the P3 Program under the direction of the HPTE Board. The HPTE augments its resources with OMPD for technical expertise and contracted resources for legal, financial, and public outreach expertise. The HPTE partners with OMPD and the applicable Region on each project being considered as a major project as a resource to the Region with resources provided for the P3 project through a P3 project interagency agreement. Once the Commission designates a project as a major project to be considered for the P3 approach, HPTE assumes the leadership for the P3 aspects of the project in coordination with OMPD and the CBE (where applicable), including due diligence to determine if the project should move forward as a P3 project as the "best value" for the state. Should a project be deemed the best value as a P3 project, HPTE, in partnership with OMPD, CBE (where applicable) and the Region, leads the project procurement. HPTE "owns" the P3 project agreement upon execution and manages the P3 project agreement in partnership with OMPD and the Region once the project reaches commercial and financial close.

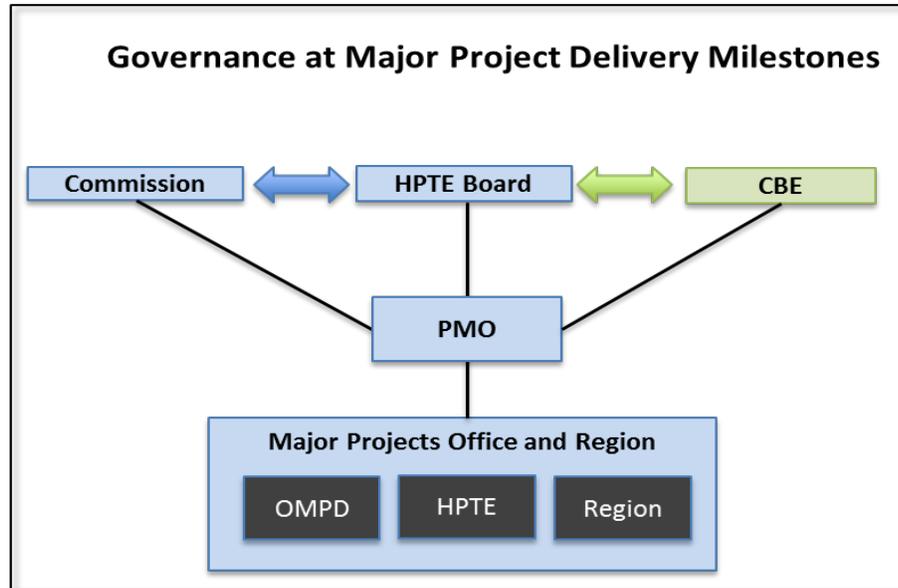


Figure 2 - Governance at Major Project Delivery Milestones

The following table provides general guidance on the differentiation of who leads and who supports certain activities. Upon adoption of this P3 Manual by the HPTE Board and the Transportation Commission, it shall amend and replace the MOU between HPTE and OMPD that outlines the key areas, as well as which leads and supports for each area.

Program / Project Phase	Description	Responsibilities and Resources (HPTE Eligible Projects Only)	
		OMPD	HPTE
Overall Program	<u>Management and Oversight:</u> Provide communications, overall administration and reporting of P3 Program	Support	Lead
	• Establish policies	Support	Lead
	• Provide strategic master planning	Lead	Support
	• Conduct program communications and marketing*	Support*	Lead*
	• Establish procedural guidelines and procedures*	Support*	Lead*
	• Conduct program-level budget planning and reporting	Lead (Commission)	Lead (Board)
Program Planning	<u>Management and Oversight:</u> Conduct initial feasibility, conceptual design, financial plan, initial environmental planning, delivery plan, ID and select projects, prioritization as major project and screening for P3 project	Lead	Support
	• Identify and prioritize potential projects	Lead	Support
	• Determine initial feasibility of potential projects	Lead	Support
	• Prepare conceptual project definition/scope/design	Lead	Support
	• Conduct Phase I T&R Study (revenue projections)	Support	Lead

	• Prepare conceptual cost estimates and scheduling	Lead	Support
	• Conduct environmental review (pre-NEPA)	Lead	Support
	• Prepare value-for-money analysis	Support	Lead
	• Prepare initial financing plan	Support	Lead
	• Engage industry (program info, initial interest)	Support	Lead
	• Conduct public engagement	Lead	Support
	• Conduct stakeholder engagement (local TR agencies)*	Support*	Lead*
	• Provide FHWA coordination and approvals	Lead	Support
	• Make P3 decision and prepare delivery plan	Support	Lead
Project Development	<u>Management and Oversight</u> : Conduct final feasibility, financing plan, NEPA, and preliminary engineering	Lead	Support
	• Provide overall project management	Lead	Support
	• Determine final feasibility of project	Lead	Support
	• Prepare preliminary project design	Lead	Support
	• Conduct Phase II T&R Study (revenue projections)	Support	Lead
	• Prepare preliminary cost estimates and scheduling	Lead	Support
	• Provide environmental clearance/approval (NEPA)	Lead	Support
	• Prepare value-for-money analysis	Support	Lead
	• Prepare final financing plan	Support	Lead
	• Engage industry (project information, RFI)	Support	Lead
	• Conduct public engagement (project specific)	Lead	Support
	• Conduct stakeholder engagement (local TR agencies)	Lead	Support
	• Provide FHWA coordination and approvals	Lead	Support
	• Develop project communications plan	Lead	Support
	• Develop project management plan	Lead	Support
• Make P3 procurement decision and define delivery plan	Support	Lead	
Project Procurement	<u>Management and Oversight</u> : Procure the project	Lead	Support
	• Provide overall project management	Lead	Support
	• Prepare solicitation <u>documents</u> (RFI, RFP, others)	Support	Lead
	• Prepare contract documents	Support	Lead
	• Prepare <u>investment-grade</u> T&R (revenue projections)	Support	Lead
	• Prepare final financial documents and requirements	Support	Lead
	• Prepare value engineering and technical requirements	Lead	Support
	• ATC reviews	Lead	Support
	• Coordinate procurement with industry bidders	Support	Lead
	• Review proposals and conduct evaluations	Support	Lead
	• Conduct public engagement (project specific)	Lead	Support
	• Conduct stakeholder engagement (local TR agencies)	Lead	Support
	• Provide FHWA coordination and approvals	Lead	Support
• Select winning bidder and negotiate contract	Support	Lead	
Construction	<u>Management and Oversight</u> : construct the project	Lead	Support
	• Provide contract management and administration	Lead	Support
	• Provide change management	Lead	Support

	• Provide budget management	Lead	Support
	• Provide financial reviews	Support	Lead
	• Conduct design reviews	Lead	Support
	• Construction oversight and quality audits	Lead	Support
	• Conduct final project acceptance	Lead	Support
M & O	<u>Management and Oversight: Operating the Project</u>		
	• Manage P3 project agreement and related contracts (incl. reporting)	Support*	Lead*
	• Toll collection	Support	Lead
	• Maintenance	Lead	Support

Figure 3 - Identification of Leadership and Support

\*Denotes a change from the MOU

This manual will help provide guidance to help clarify what the lead role and support role means for the various categories as outlined in the chart above.

#### D. Overall P3 Process Chart

Each P3 project is unique in the project scope and also the expertise that might be required throughout the life of a potential P3 project. The leadership of OMPD, HPTE, and the Region, in coordination with the Executive Director, will partner to provide P3 project teams that bring together the most appropriate resources and skills for the applicable P3 project phase. In addition each phase may have different decision making hierarchy for major milestones and authorizations to continue as a P3 project. The chart below helps identify the key roles and responsibilities that occur throughout the life of a P3 project. Many of the steps of the project are shown as a joint responsibility that could be led by either HPTE or CDOT depending on the project and specific resources available and needed. It must be understood that many activities must overlap phases to continue the progress of the project and the procurement. The subsequent chapters in the P3 Manual outline in more detail the key roles and responsibilities at each stage of the P3 project.

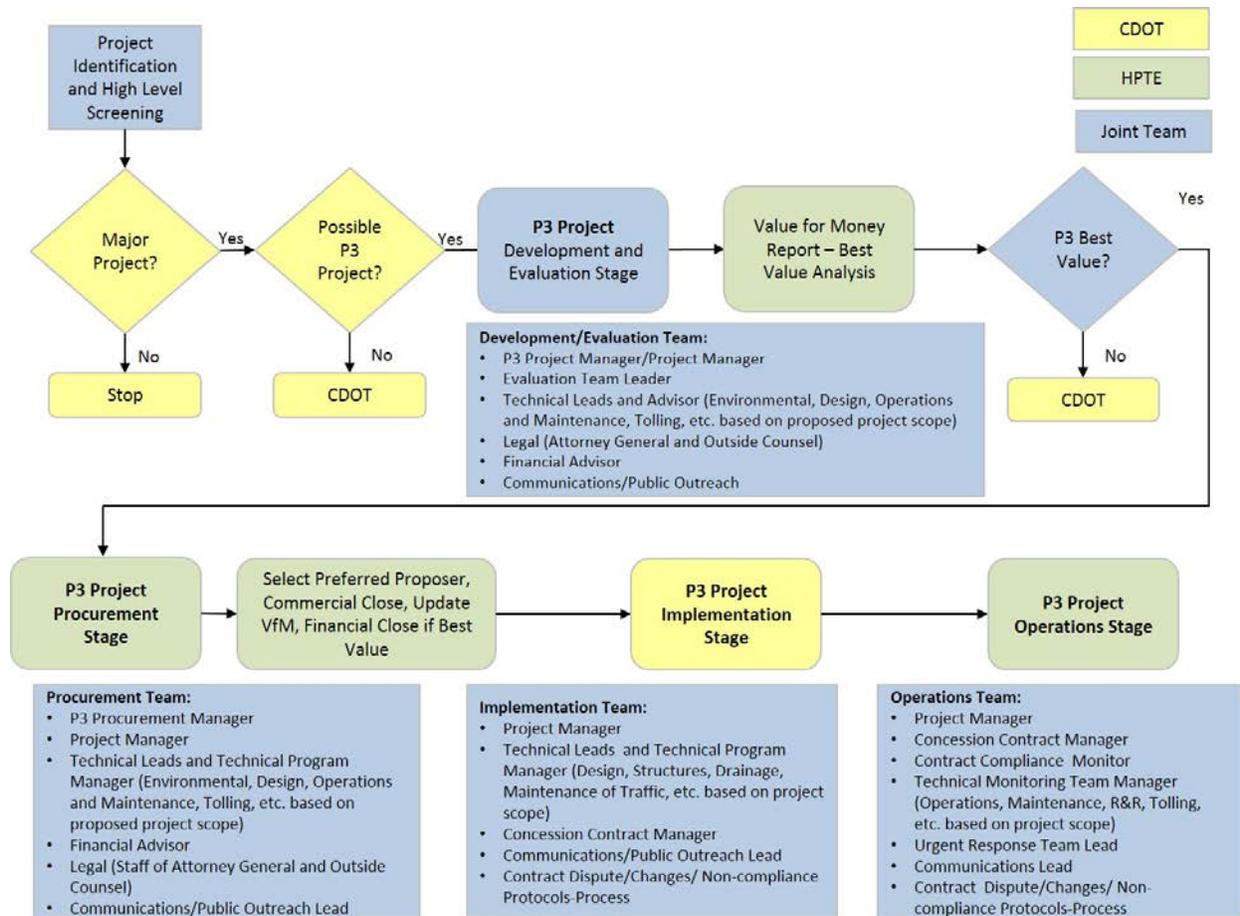


Figure 4 - Overall Process Flow Chart

### E. Identification of Potential P3 Projects

As previously discussed, the CDOT Regions may bring projects forward for consideration as a major project for further evaluation by CDOT’s PMO and ultimately the Executive Director and Commission. Additionally, the PMO, Executive Director or Commission may bring a project forward as a major project in consultation with the applicable Region Director. The PMO and Executive Director will consult with the HPTE Director and Board to discuss the major projects to be considered for delivery through the P3 approach. Transportation projects that may not be owned by or being sponsored by the CDOT (such as a regional project) can be considered by the HPTE for a P3 approach provided the project falls within the jurisdiction of and meets the mission of the HPTE. Some of the factors to consider when identify projects and prioritizing them high level for screening may include those outlined in Section F. below.

### F. High-Level Screening of Potential P3 Projects

The joint team of HPTE and OMPD, under the leadership of the OMPD, will provide a very high level screen of the list of major projects provided by the PMO for consideration for

delivery under the P3 approach. Although OMPD leads the overall efforts in project screening, HPTE will be making the recommendations (or approvals) of projects to move forward as a P3 in partnership with OMPD. The screening process will determine at a high level whether the project should be considered for prioritization and detailed due diligence for delivery as a P3 project, or eliminated from consideration as a P3. Projects that appear to warrant moving to the P3 Project Development phase will be recommended to the Executive Director and with concurrence to the Transportation Commission and HPTE Board for consideration as a P3 project. Some key elements to consider at the screening level include:

- Size of the project
  - Does the project size justify being considered for the P3 approach?
  - Generally, projects need to be a minimum of \$100 million in size to be considered a major project that warrants consideration for delivery under the P3 approach.
- Challenging project funding
  - Does the project have all funding identified in CDOT's Work Plan?
  - If so, the project might be more appropriate for a design-build approach instead of a P3.
  - Does the project generate revenues and if so, have these been forecasted at a preliminary level?
  - If the funding is identified over a long-term, such as ten years or longer in the cost feasible Long-Range Transportation Plan, or there are challenges finishing out the funding plan that equity or tolling could help solve, then this might warrant evaluation as a P3 project.
- Project complexity or uniqueness
  - Does the project include challenging elements that innovation and/or a life-cycle approach can help solve?
  - Combining phases such as design-build-operate-maintain are areas where P3 projects can be helpful.
- Project is broken up into multiple projects (accelerating improvements/project efficiencies)
  - Is the project being broken up simply due to funding challenges, which costs more, increases coordination challenges, and is more disruptive to the public?
  - If so, combining the project into a larger P3 may be an option.
  - If the project was done as a P3 would it free up funding for other projects that may not be viable as a P3?
- Environmental review process is underway or cleared
  - Has the project received environmental approvals or the environmental review stage is underway and can be completed in a reasonable time?
- Project risks
  - Are there risks that a P3 model could help transfer to the private sector for a long term agreement?

## G. Priority Setting for Potential P3 Projects

When the initial screening is provided and there is more than one candidate P3 project under consideration by the HPTE, the HPTE Director will consult with CDOT's Executive Director, PMO and HPTE Board to set priority for the candidate P3 projects. Key items to consider include:

- Production readiness
  - What is the current production phase for the project?
  - Projects that have environmental approvals and required right-of-way in hand will generally receive a higher priority.
  - Projects that are in the later stages of the environmental review process will also receive consideration.
  - Acknowledgement, status and magnitude of any known project risks. This could include a project requiring extensive environmental mitigation, or high potential for encountering contamination. These examples may require long lead times to investigate and develop solutions that could be difficult to simply transfer to a private party therefore they could carry risk for a procurement as well as a risk of poor value to the Owner if the risk is transferred without fully understanding it.
- Relative benefit to the travelling public
  - What are the safety challenges, traffic levels, and congestion periods, and what benefit does the project provide to improve safety, relieve congestion, and provide options/choices for the travelling public?
  - Projects that provide a major benefit will receive a higher priority.
- Funding status
  - Has a preliminary funding plan been identified for the project under a P3 approach?
  - Projects that show a preliminary "path" for reaching financial close as a P3 project will generally be given higher priority.
  - This is not all inclusive as part of the mission of the HPTE is to help solve funding challenges.

## H. Program-Level Public Outreach and Involvement Plan

By nature, P3 programs and projects require more public outreach and a comprehensive involvement plan. Each P3 project will have unique project characteristics, possibly the CDOT Region, the location, and interested parties. The HPTE Director will provide a comprehensive P3 Program-level public outreach and involvement plan (P3 Public Outreach Plan) in coordination with the HPTE Board, the CDOT Office of Communications and OMPD. The P3 Public Outreach Plan will be updated periodically based on feedback and periodic assessments of best practices and updates included in the revised P3 Public Outreach Plan. The P3 Public Outreach Plan will be included on the HPTE internet site and updated as changes are made to the Plan.

The P3 Public Outreach Plan will include key elements, such as:

- Key focus groups for outreach – The Plan will identify the key groups, including applicable elected officials, interest groups, and others.
- Key public outreach approaches and mediums – The Plan will identify the major approaches such as public meetings, official briefings, written materials, posting to the website, other forms of social media, and the overall delivery approach for the Plan.
- Plan implementation – The Plan will be put into action and delivered by appropriate officials, staff, and consultants.
- Evaluation of the Plan – The HPTE should maintain records of materials used for the Plan, meetings held, attendees, questions and responses, and other feedback on the Plan. This should be used to evaluate the effectiveness of the Plan and the results provided to the HPTE Board at least every other year and also utilized to update the Plan at the next update cycle, or more frequently as needed.

## I. Program-Level Resources and Periodic Resource Evaluation

Annually, the HPTE Director will evaluate the resource level being provided in support of the P3 Program. The HPTE Director will coordinate with the CDOT Executive Director and PMO on the evaluation of resources to ensure that all aspects of the P3 Program are considered, evaluation and addressed. The HPTE Director will provide a resource update to the HPTE Board and the CDOT Executive Director at least once each year. The resource review will consider the number of P3 projects in operation, implementation, procurement, and due diligence. In addition, the HPTE Director will consider resources being provided as a consultant to CDOT under the Fee for Service Interagency Agreement to assist as an advisor for CDOT on innovative finance and consideration of projects as a possible P3 project. The resource review will consider the HPTE and CDOT in-house and consultant resources allocated to or available to the P3 Program to ensure that all elements of the P3 Program are addressed.

## J. Staff Training

P3s are still new to the United States. As such, there is not “standard” training similar to engineering standards or other well established disciplines and standards. As such, it is important that staff training for the P3 Program be developed with a wide range of approaches and activities, and the training program be updated on an annual basis as the availability of training on P3s is changing each year. Some key areas to consider for inclusion in the P3 Program staff training:

- Federal Highway Administration (FHWA) Office of Innovative Program Delivery – The FHWA was directed by Congress to develop a range of P3 materials, including manuals, training, and related materials to assist the states in the consideration and implementation of P3 programs. In addition, FHWA through the Office of Innovative Program Delivery and the Colorado Division Office can set up special workshop sessions on key topics based on requests by the CDOT. The FHWA materials can be accessed here: [www.fhwa.dot.gov/ipd/p3/](http://www.fhwa.dot.gov/ipd/p3/).
- Conferences – Various conferences are held across the United States that focus on key aspects of P3 programs and case studies of P3 projects. It important to vet the

scope of the conference program to ensure the topics are useful to the staff. Most conferences provide affordable registration fees for public sector participants.

- Partnering with other states – States that have experience in P3s are often open to partnering with other states to share knowledge, experience, and best practices on P3 programs and projects. This can be accomplished through assistance from AASHTO, FHWA, or by reaching out directly to the other states. As of 2015, the following states had a P3 project in operation, implementation, and/or procurement for major rehabilitation/capacity improvement P3 projects:
  - Alabama (private toll road P3)
  - Arkansas (design-build-finance or DBF)
  - California (concession)
  - Florida (DBF and concession)
  - Georgia (DBF)
  - Indiana (concession)
  - Maryland (concession)
  - Michigan (DBF)
  - New York (Port Authority – concession)
  - North Carolina (DBF and concession)
  - Ohio (concession)
  - Pennsylvania (concession)
  - Virginia (concession)
  - Texas (concession)
- Peer exchanges – Canadian provinces have extensive experience with P3 programs and projects as well as other countries in Asia, Australia, Europe, and South America. Peer exchanges can be helpful to learn from countries that have been in the P3 space much longer than the United States to allow for forward planning for areas such as operations and maintenance and handback. In many cases FHWA, AASHTO, TRB, and other organizations can help facilitate peer exchanges.
- Topic-specific training – Topic-specific training can be provided from expert consultants available to the HPTE and CDOT that provide more detailed guidance on major topics related to technical, financial, and legal areas for the P3 Program.

## K. Expertise Availability and Approach

It is the direction of the Commission and the HPTE Board that the in-house staff level of the OMPD and HPTE remain small and that expertise and resources be augmented from expert consultant resources. In addition, the in-house legal resources are provided by the Office of the Attorney General. The following expertise will be provided for the P3 Program:

- HPTE expertise
  - In-house
    - Director
    - Project Managers (may be more than one depending on resource needs)
    - Communications (shared with the CDOT)
    - Office Manager/Board Secretary

- Consultant expertise
  - Financial
  - Legal
  - Insurance Advisors
  - Public outreach
  - Contract monitoring
- OMPD expertise
  - In-house
    - Director
    - Environmental
    - Project management
    - Toll services
  - Consultant expertise
    - Broad based technical (this can be in one group or individual consultant services)
    - Environmental
    - Design
    - Construction
    - Operations
    - Maintenance
    - Project management
    - Toll services
  - Financial
- Office of the Attorney General
  - In-house legal services

## L. Program-Level Procurement Policies

The HPTe is exempt from state procurement laws, policies, and guidance. This is to allow flexibility to implement P3 projects in the most efficient and cost effective manner. This Manual and the P3 process are designed to meet Federal procurement requirements and the HPTe Director and OMPD Director will partner with the FHWA Division to ensure the P3 procurement process meets applicable Federal requirements on projects that include Federal funds and/or part of the Federal-aid highway system. The HPTe has instituted policies and practices in the US 36 P3 project and the Central 70 P3 project. Key elements of these policies that will apply at the P3 Program level and accordingly apply to each HPTe procurement:

- HPTe Board approval – The HPTe Board must be briefed at key points and approve the major decision points in the procurement process, including:
  - Briefing on a candidate P3 project moving forward into the procurement process
  - Briefing on the RFQ and RFP
  - Briefing on the short-list
  - Approve the selected preferred proposer
  - Approve the P3 project agreement at commercial close

- Financial close (as applicable such as the P3 project agreement requires an amendment for financial close and any financing documents required for financial close that HPTE is a party to the agreement such as serving as a conduit for private activity bonds)
- Public outreach – At a minimum, public outreach will be conducted prior to moving into procurement, after selection of the preferred proposer, and prior to financial close. In general public outreach should consider the timeliness of educational messages to ensure the public understands why P3’s are being considered and the benefits that they will achieve.
- P3 Project Manager – A P3 Project Manager will be assigned to serve as P3 Project Manager prior to procurement. The P3 Project Manager will be responsible for all aspects of the procurement under the direction of the HPTE Director and OMPD Director.
- Two-step procurement process – Generally P3 procurements that are solicited by HPTE will involve a two-step procurement process comprised of the below steps. However, in some instances the P3 project may warrant less or more steps as determined jointly by the HPTE Director and the OMPD Director in coordination with the CDOT Executive Director.
  - RFQ – The RFQ stage involves the P3 Project Team preparing and HPTE issuing an RFQ that outlines the key qualifications that must be met by the private teams interested in proposing on the P3 project procurement. The private teams will submit a Statement of Qualifications (SOQ) in response to the RFQ. The P3 Project Team will lead the evaluation of SOQs and recommended shortlisting to move into the next step.
  - RFP – The RFP stage involves the P3 Project Team preparing and HPTE issuing an RFP that outlines the instructions to proposers, technical provisions, draft P3 project agreement, and related documents and exhibits. The shortlisted proposers will provide a proposal in response to the RFP. The P3 Project Team will lead the evaluation of the proposals.
- Team approach – Each procurement effort shall be a team approach that includes HPTE, OMPD, the applicable Region for the P3 project (or other entities if they are the project originator/sponsor), CDOT CFO, Attorney General, State Controller, funding partners (if other than the CDOT and HPTE), FHWA, and expert technical, financial, and legal advisors. The P3 Project Manager, working with the HPTE Director and OMPD Director, shall develop sub-teams or ‘P3 Project Teams’ as needed for major elements of the procurement.
- Office of the Attorney General – In coordination with the HPTE, staff of the Attorney General lead the legal review for all documents to be signed by the HPTE, including the P3 project agreement. The Attorney General will be assisted by expert legal advisors available to the HPTE.
- State Controller – The State Controller must approve and sign all contractual documents associated with the procurement, including the P3 project agreement.

### i. Unsolicited Proposal Process

The HPTE legal authority allows for the submission of unsolicited proposals. As a general policy, HPTE **would prefer to use a solicited procurement process** as this provides an efficient and effective procurement process with more probable outcome for both the public sector and the interest industry participants. However, this is not to say that unsolicited proposals will not be considered. Interested industry participants are encouraged to meet with the HPTE Director to discuss ideas in one-on-one sessions prior to submitting an unsolicited proposal.

Should the HPTE receive an unsolicited proposal, the following guidelines are outlined with more detailed direction contained in the CDOT and HPTE interagency agreements. The detailed guidelines will govern for any conflicts between the detailed guidelines and the P3 manual.

- The HPTE Director will provide the unsolicited proposal to OMPD and the applicable Region Director where the project is located for review. The review will use similar criteria as those outlined in the previous high-level Screening of Potential P3 Projects section for the initial screening.
- The assigned P3 Project Manager with input from the CDOT PMO and the Region Director for the region where the unsolicited proposal project is located, will make an initial recommendation to the HPTE Director and CDOT Executive Director to either reject the unsolicited proposal or perform more due diligence. This initial recommendation should generally be made no later than 45 days after receipt of the unsolicited proposal by the HPTE.
- The HPTE Director may require that an additional fee, beyond the mandatory \$1,000 be paid by the private team that submits the unsolicited proposal to cover the cost of providing the due diligence review of the unsolicited proposal. If a fee is requested in writing by the HPTE Director and the unsolicited proposal Team fails to pay the fee the HPTE Director will return the unsolicited proposal without further consideration.
- If the HPTE Director in coordination with the CDOT Executive Director decides to reject the unsolicited proposal, the HPTE Director will provide a written notification of rejection of the unsolicited proposal to the submitter.
- If the recommendation is to continue with due diligence of the unsolicited proposal the HPTE Director in coordination with the CDOT Executive Director will present the recommendation to the Transportation Commission and HPTE Board to move the unsolicited proposal forward as a proposed P3 project for additional due diligence to determine if the P3 approach is the best value for the project. The HPTE Director will notify the unsolicited proposer in writing that the project is moving to the more detailed due diligence stage. This notice should generally be delivered no later than 120 days after submittal of the unsolicited proposal.
- If the due diligence supports the P3 project as the best value and the HPTE Director and CDOT Executive Director concur, HPTE will authorize an advertisement for open competition for a time period determined by the HPTE Director in coordination with OMPD and the CDOT Executive Director based on the size and complexity of the project. The time period for advertisement will generally be not less than 30 days

and, after receipt of any other proposals, the P3 Project Team will evaluate all proposals and recommend the preferred proposer as the best value proposal to the HPTE Board

- Under no circumstances is the HPTE required to accept the unsolicited proposal. The HPTE may discontinue the process at any point prior to commercial/financial close when determined in the best interest of the state.

## M. P3 Program Transparency and Timing of Availability of Key P3 Program Public Records

Transparent processes and open records are fundamental to successful P3 projects and procurements. Transparent processes help stakeholders and the public understand the complexity of these projects and the types of risks that will be transferred to the private sector or retained by the public owner/agency. Transparent processes also eliminate conflicts and misunderstandings and ensure an attractive environment for private investors and government partners. To that end, the General Assembly specifically required HPTE to be subject to the Colorado Open Records Act (CORA) [Section 43-4-809 (2) (b), C.R.S.]. The CORA [Section 24-72-201, et seq., C.R.S.] makes most of HPTE's documents and information, with some exceptions outlined in law, subject to disclosure as public records. In addition, the HPTE has adopted a CORA Policy relating to Public-Private Partnerships. In the case of any conflicts or confusion of the P3 manual and the CORA laws and HPTE CORA policy the law and policy will govern.

- P3 projects and procurements involve an enormous variety of documents and information of interest to stakeholders, including legislators, the public, local governments, and private sector proposers. The following example documents, created as part of the P3 Program and procurement process, are public records under CORA including:
  - **Minutes and documents** provided at HPTE Board meetings will be published to the HPTE website within a reasonable time after each Board meeting.
  - **Initial project value analysis** and any subsequent updates that evaluate the feasibility of pursuing a P3 project compared to a conventional public sector approach will be published to the HPTE website after presentation and acceptance by the HPTE Board. Updates to the project value analysis will be published to the HPTE website after presentation and acceptance by the HPTE Board.
  - **Key procurement documents prepared by HPTE**, such as the RFQ, initial and final RFPs, shortlists of the prospective bidders, and selection of the preferred bidder will be posted to the HPTE website when approved and/or issued publically by the HPTE Board.
  - **Qualifications and proposals submitted by the prospective bidders**, which include the bidders' detailed proposals in response to the RFQ and RFP, are subject to being released publically during the procurement process except for items that are marked as not subject to disclosure under CORA. All public information will be maintained by HPTE staff for up to six years after contract expiration and will be readily available for public inspection in either

electronic and/or paper file, based on the media format that is most efficient. After that point the HPTE staff may archive the materials as “public” and “confidential” in accordance with standard CDOT policies and procedures.

- o **Commercial and financial closing documents**, which include the contractual and financing agreements executed between the state and the selected bidder, except for those documents or portions of documents protected from release by law, will be posted to the HPTE website. The P3 project agreement on the website will be updated as amendments are executed on the P3 project agreement. All public information will be maintained by HPTE staff for up to six years after financial close and will be readily available for public inspection in either electronic and/or paper file, based on the media format that is most efficient. After that point the HPTE staff may archive the materials as “public” and “confidential” in accordance with standard CDOT policies and procedures.
- o **Major monthly monitoring reports and related documents** that are generated by the private partner and HPTE during the design-build and operation-maintenance stages of the P3 project will be posted on the HPTE website.
- As part of each procurement effort for a P3 project, the HPTE will notify the proposers of the following requirements in the RFQ and RFP:
  - o All information provided by proposers is subject to and will become public records in accordance with the HPTE Transparency and HPTE CORA Policy as well as CORA.
  - o Confidential commercial and financial information and trade secrets may not be public records. However, proposers have the burden of proof for establishing what information is confidential and must proactively identify this information and be prepared to defend against release if the CDOT/HPTE requests the information be made public record.
- The HPTE will consult with the Office of the Attorney General on any questions that arise about whether P3 Program documents may be public record prior to the release of any documents that a proposer or private partner asserts is confidential.

## N. P3 Records Management System

Colorado Revised Statutes outline specific records management requirements to ensure agencies have adequate systems to maintain and manage their records for the purpose of providing public access and for conducting business and managing operations. Specifically, Section 24-80-102.7(2)(a), C.R.S., requires that “each state agency shall establish and maintain a records management program for the state agency and document the policies and procedures of such program.”

In accordance with CDOT Procedural Directive 51.1, the HPTE has identified the HPTE Office Manager as the HPTE records coordinator who, among other duties, (1) works with the CDOT’s Official Records Custodian on records retention and disposition requirements, (2) completes a “Record Analysis Sheet” that lists the types of documents retained and the state or federal statute requiring retention, and (3) advises the Official Records Custodian of

any documents not included in existing records retention schedules and develops a schedule for those records.

The HPTE Records Coordinator, in coordination with the HPTE Director, has created Attachment A (HPTE State Archives and Public Records Disposition Schedule) to the P3 Manual that outlines the requirements for records management for the P3 Program. This includes the identification of the follow major items:

- Contractor Proposal and Supporting Documents Procured by HPTE
- Concession Agreement(Contract) and Supporting Documents
- Project Monitoring Files applicable to P3/Toll Projects
- Project Monitoring Files applicable to Other Projects

## O. Conflict of Interest Policies and Review Process

It is critical that conflicts of interest be prevented for the P3 Program and if encountered, dealt with in a timely manner. It is impractical to address all potential individual conflicts of interest that might arise over time in the P3 Manual. However, there are certain elements that can be generalized here that include:

- Employees of the HPTE/CDOT are expected to be aware of and shall follow applicable laws and policies related to conflicts of interest both during employment and post-employment.
- In the future, no firm and/or individual may advise the HPTE or CDOT on a P3 project that is also an integral member of a proposer team on the same P3 project, such as an equity owner, design-build joint venture member, lead operations, lead maintenance team member, or lead advisor for the equity owners such as technical, financial, or legal advisor, In the case of any situations that existed prior to this manual, HPTE shall ensure appropriate firewalls are in place to ensure that a team that participated as an integral member of a the private partner team on a P3 project are not reviewing work performed as part of the P3 project and to avoid any sensitive information being shared regarding contract language, pending claims or other information that would jeopardize HPTE's ability to ensure there are no conflicts of interest on the applicable P3 project.
- All firms and/or individuals that perceive a real or potential conflict of interest shall promptly notify the HPTE Director in writing via e-mail or certified mail.
  - Cases will be examined on a case-by-case basis in collaboration with the Attorney General's Office.
  - To ensure a timely review and response, the firm and/or individual will outline the real or perceived potential conflict of interest in their notice to the HPTE Director. The HPTE Director may request follow up information as needed. In the submittal, the firm and/or individual agree to abide by the decision of the HPTE Director on the question of whether a conflict of interest exists or not.
  - The HPTE Director and OMPD Director will review the information within 10 days of receipt.
  - The HPTE Director will notify the firm and/or individual of the HPTE's decision.

## P. Program-Level P3 Financial Policies

The HPTE is an “enterprise” for purposes of section 20 of Article X of the State Constitution, so long as it retains the authority to issue revenue bonds and receives less than 10 percent of its total revenues in grants from the State and local governments. The HPTE has the ability to implement tolls, serve as a conduit bond issuer, facilitate finance options, and pass through grant funding as appropriate. Some major program-level financial considerations are outlined below:

- The HPTE may submit a letter of interest to US DOT for an allocation of private activity bond (PAB) capacity for an eligible project as part of the P3 procurement effort.
  - The amount of the PAB allocation will be determined in consultation with US DOT based on the availability of PAB capacity and interaction with the prospective proposers at the industry forum, one-on-one sessions, advice from financial advisors, and other related information.
  - All debt incurred by the private partner on P3 projects shall be non-recourse to the HPTE and the State.
  - The HPTE is open to serving as the conduit bond issuer for bond issues in support of P3 projects. To do so, the following major elements shall be met:
    - The private partner in the P3 project will express in writing they desire for the HPTE to serve as a conduit bond issuer for the applicable P3 project.
    - The HPTE and State shall not be liable for conduit bonds issued and shall be indemnified by the private partner in the P3 project against any cost that may be incurred as part of the bond issue. All offering documents and bonds issued shall bear a statement on their face that the HPTE and the State are not liable for the bonds.
    - The conduit bond issue will be the best value for the State as demonstrated by the financial model presented by the private partner on the P3 project.
    - All applicable costs of the bond issue are the responsibility of the private partner, including any cost incurred by HPTE for the bond issue.
- The HPTE may submit a letter of interest to the US DOT for availability of a TIFIA loan for a P3 project and/or may be the applicant in select instances for the TIFIA loan. The HPTE will operate under the following guidelines for TIFIA loans where HPTE is providing the option of a TIFIA loan to the private partner:
  - The HPTE will serve as a “facilitator” to have a TIFIA loan available for a P3 project procurement effort to the extent the project meets the TIFIA loan requirements, TIFIA loan funds are available, and the US DOT expresses openness for a TIFIA loan on the P3 project subject to appropriate due diligence.
  - The amount of TIFIA loan being requested in the letter of interest will be determined based on the applicable TIFIA loan program requirements in consultant with the US DOT TIFIA Joint Program Office (JPO).

- The HPTE will work with the TIFIA JPO to provide information needed for the JPO to evaluate whether the project qualifies for a TIFIA loan and also to respond to questions about the project and procurement effort.
- The HPTE will work with the shortlisted teams to facilitate questions on their behalf to the TIFIA JPO related to a prospective TIFIA loan.
- The HPTE will facilitate a draft term sheet, to the extent possible, working with the TIFIA JPO and provide this as part of the RFP package of documents for the shortlisted teams.
- The HPTE will appropriately note on any documents facilitated on a possible TIFIA loan in the RFP package of documents that the HPTE assumes no responsibility or liability for the documents provided on a prospective TIFIA loan.

## Q. Program-Level Funding and Project-Level Funding

The HPTE is responsible for ensuring that both the HPTE program and each project being pursued has a budget allocated for forecasted program expenses and project needs. The HPTE will develop an overall P3 Program budget and funding sources for the overall P3 Program budget. HPTE will partner with project sponsors (CDOT Regions and others) and the OMPD for allocations at each project stage, including:

- P3 Program Management:
  - General P3 Program Management (staffing, public outreach advisor)
  - P3 Project Screening and Priority Setting (staffing, public outreach advisor, other advisors may be funded/provided via the CDOT at the screening and priority setting stage)
  - HPTE P3 project oversight (staffing and consultant advisors)
- P3 project
  - Project Due Diligence and Development (staffing and public outreach/financial/legal advisors, with technical advisors supplied by OMPD)
  - Project Procurement (stipends, staffing, and public outreach/financial/legal advisors)
  - Project Implementation/Operations (project subsidies, availability payments, dedication of project revenues – if revenue risk, HPTE contract monitoring)
  - Project Handback (advisors)

## R. Policies/Process for Dispute Resolution

The HPTE will review claims/disputes that occur on P3 projects in a partnership with the CDOT with the intent to resolve these in a partnership effort with the private partner while protecting the public interest. However, from time to time disputes will occur that involve a formal dispute resolution process.

The HPTE will utilize the CDOT's standard dispute resolution Dispute Review Board (DRB) process for disputes that occur on P3 projects. The DRB process is outlined at the CDOT website: [www.codot.gov/business/designsupport/dispute\\_review\\_board](http://www.codot.gov/business/designsupport/dispute_review_board).

The HPTE will include the requirements for the DRB in the procurement documents and final P3 project agreement for P3 projects. The HPTE will partner with the CDOT and appropriate advisors on disputes that occur on P3 projects and follow the DRB process for the resolution of disputes that cannot be resolved via discussions and escalation of negotiations to the executives of both HPTE/CDOT and the private partner.

In select instances the HPTE Director, in coordination with the OMPD, may utilize an alternative dispute resolution approach where this best fits an element of a project or the overall project.

# III. Project Planning and Development (Pre-Procurement Phase)

## A. Decision-Making to Enter and Fund Project Planning and Development

As discussed in Chapter 2, the CDOT Executive Director and PMO will first evaluate and approve a project moving forward as a “major project” and to be evaluated as a P3 project in conjunction with HPTE. The HPTE Director will be part of the discussion and decision-making for this process.

Once the project has been initially screened and prioritized by the HPTE Board as discussed in Sections 2.5 through 2.7, the prospective P3 project is evaluated further by the HPTE in partnership with CDOT. The PMO, in conjunction with the HPTE Director and CDOT Executive Director, makes the final decision to move a project forward for due diligence in the Project planning and development stage as outlined in Chapter 3.

The HPTE and CDOT will work together to identify funding to pay for the costs associated with the P3 Project planning and development stage (P3 Project Development Stage) of the proposed P3 project.

On projects that involve Federal funds and/or major Federal highways HPTE will coordinate with OMPD and the Region to ensure that the FHWA Division is part of the P3 Project Development Stage, and involved in the consideration of a project as a P3 project. OMPD and the CDOT Region will coordinate with the FHWA Division Administrator on the appropriate timing for a Project Stewardship and Oversight Plan. This plan will outline FHWA involvement in the project. In addition, for proposed P3 projects that meet the threshold for a major project under the Federal definition (currently greater than \$500 million and/or projects that will involve a TIFIA loan), OMPD and the Region will ensure a Project Finance Plan and Project Management Plan are developed timely and updated annually in coordination with HPTE and submitted to the FHWA Division Administrator.

## B. Project-Level Organizational Chart

At the P3 Project Development Stage the HPTE will take the project lead in coordination with OMPD and the Region for the day-to-day responsibility for due diligence and for the evaluation of a project as a P3. The applicable CDOT Region will be the lead for key elements for the project, including the environmental review and public involvement, as well as the lead for all project level data. The CDOT Region will be assisted by OMPD for the technical aspects of the project. The HPTE Director and OMPD Director will collectively identify the key members of the P3 Project Team for the P3 Project Development Stage in coordination with the Region Director and other CDOT managers as needed. The P3 Project Team will include the key roles and responsibilities identified for the P3 Project Development

Stage outlined in further detail in the next section below. The P3 Project Linkages diagram below shows how the Region-HPTE-OMPD are linked together in a “team approach” for the proposed P3 project

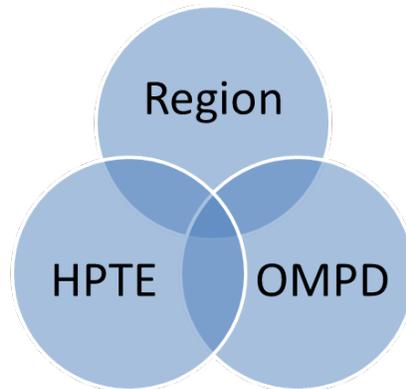


Figure 5 - P3 Project Linkages

### C. Decision-Making Authority, Roles, and Responsibilities and Key Decision Points

The high level decision-making authority, key roles and responsibilities, and key decision points in the P3 Project Development Stage are shown below.

- CDOT has ultimate responsibility for the project’s scope and environmental approvals and will work closely with the HPTE on the P3 aspects that will be needed to help deliver the most effective project that provides the best value, including:
  - Environmental review, public hearings and related elements required to achieve environmental approvals.
  - Project scope.
  - Project phases and elements such as design-build, operate and maintain, toll operations/services, etc. to be included in the project.
  - Project subsidies and/or funding to be provided from the CDOT.
  - Interaction, presentations, and recommendations to the Transportation Commission related to a CDOT project.
- The HPTE Board will review and make decisions related to the following elements of a proposed P3 project.
  - Moving the proposed project forward as a P3 project.
  - Approving the budget for HPTE funds for the Project..
- The HPTE Director in coordination with the OMPD Director will have ultimate responsibility for the day-to-day direction of the P3 Project Development Stage:
  - The HPTE Director and the OMPD Director in coordination with the Region Director will identify key personnel for the P3 Project Team, including the following roles and responsibilities for the P3 Project Development Stage:

- P3 Project Manager – The HPTE Director and OMPD Director will delegate the day-to-day management to the designated P3 Project Manager under the supervision and direction of the HPTE and OMPD Directors.
- Identify P3 Project Team technical team leaders based on the Project Scope such as:
  - Environmental
  - Design/Engineering
  - Traffic Engineering
  - Operations and Maintenance
  - Tolling Services
- Identify P3 Project Team outside technical advisor team
- Identify P3 Project Team legal team leader (staff of the Office of the Attorney General) and outside expert P3 legal counsel team
- Identify P3 Project Team financial team leader and outside expert P3 financial advisor team
- Identify the public involvement and outreach team leader and outside expert public outreach team.
- In identifying the P3 Project Team members the HPTE Director and OMPD Director, in coordination with the applicable Region Director, will consider the following key elements:
  - Project scope including the Project phases and elements such as design-build, operate and maintain, toll operations/services, etc. to be included in the project.
  - Thoughts on the initial risk allocation among the HPTE/CDOT and the proposer/private partner, Project subsidies and/or funding approach.
  - Key elements of the Value for Money analysis
  - Anticipated funding partners.
  - Anticipated public involvement and outreach approach and effort.
  - The Project Team will include representation for expertise on key elements of the Project from the following areas where the skills best fit for the proposed P3 project moving into the P3 Project Development Stage:
    - HPTE
    - CDOT OMPD
    - CDOT CFO
    - CDOT Region
    - Office of the Attorney General
    - CDOT Office of Communications
    - FHWA
    - Funding Partners
    - Expert Advisors
      - ❖ Financial
      - ❖ Legal
      - ❖ Technical

❖ Public Outreach

- The OMPD Director will partner with the P3 Project Manager to coordinate the technical elements of the proposed P3 in coordination with the CDOT Region and HPTE.
- The “P3 Project Team” for the P3 Project Development Stage under the direction of the P3 Project Manager will be responsible for the planning and development of the project as a proposed P3 project. The P3 Project Manager will coordinate the day to day activities of the Project Team for the P3 Project Development Stage for the proposed project. This will include, but not be limited to:
  - Develop and maintain the proposed P3 Project Team distribution list.
  - Develop and manage the schedule of key activities for the P3 Project Development Stage of the proposed P3 project as further outlined below. The P3 Project Manager will coordinate the development of the schedule that identifies the overall schedule of key activities that includes at a minimum:
    - Schedule for the P3 Project Development Stage.
    - Key decision-points in the process and the applicable decision-maker.
    - Major elements to be analyzed in the due diligence including for the proposed P3 project.
    - Assessment of the status of the environmental review and the steps and timing required to achieve environmental approvals.
    - Identify document control systems and records management for the proposed P3 project.
    - Estimated project costs and schedule by major project phase assuming:
      - Traditional project delivery approach
      - P3 approach
    - Assumed risk allocation for major elements of the proposed P3 project and the cost/cost savings, schedule/schedule savings for each:
      - Traditional project delivery approach
      - P3 approach
      - Development of the initial Risk Matrix.
    - Assumed cost of financing assuming:
      - Traditional project delivery approach
      - P3 approach
    - Industry Forum and one-on-one sessions
    - Project delivery options and analysis of the options
    - Initial Value for Money analysis
    - Public outreach that includes:
      - Education on the P3 approach
      - Workshops on the proposed P3 project in the geographical area of the project
      - Outreach to elected officials and interested parties
      - Other public outreach as needed
    - Summaries and recommendations to reject or approve moving forward as a P3 project

- If moving forward, development of the initial RFQ for the proposed P3 project
- Other activities as may be needed depending the unique elements of the proposed P3 project such as assessment of toll services
- Establish sub-groups as needed among the Project Team and a lead member for each sub-group to help the P3 Project Manager coordinate the efforts of the Project Team for that particular sub-group. Sub-group activities may include:
  - Identification and Sizing of non-compliance points regime
  - Sizing of Financial adjustment regime
  - Formula for Best Value Selection(appropriate weighting of financial and technical scoring)
  - Development of Performance Specifications
- Schedule working sessions, meetings, presentations, etc. as needed.
- “Bump-up” major decisions as needed to the HPTE Director, OMPD Director, Region Director or others as applicable.
- Develop briefing materials on the proposed P3 project in coordination with the HPTE Director/OMPD Director/Region Director/Public Outreach experts.
- Assist the applicable Directors with public outreach as needed.
- Provide briefing updates on the progress for the P3 Project Development Stage. The periodic briefing updates may include the following elements as applicable for briefings of the HPTE Board, PMO, CDOT Executive Director, and Transportation Commission as appropriate to help these entities make decisions on the project:
  - P3 project description.
  - Description of the P3 Project Development Stage for the proposed P3 project.
  - Schedule for the P3 Project Development Stage with the current status in the schedule.
  - Summary of major activities during the past month.
  - Summary of planned major activities for the next month.
  - Summary and timing of the next major decision point in the P3 Project Development Stage for the proposed P3 project.

#### D. Identification of Team Needs and Contracts (Expertise Needed, Duration, Schedule, Funding, Contract Manger)

The HPTE Director and OMPD Director shall jointly identify the expertise needed for the P3 Project Development Stage of the proposed P3 project including the HPTE Director identifying the expert advisors for financial, legal and public outreach (related to the P3 elements) and the OMPD Director (or Region Director, as appropriate) identifying the technical advisors for the P3 project. The respective directors will identify the following for the advisory services contracts:

- Contract manager for the expert advisor contract.
- Budget manager for the expert advisor contract.

- Funding and budget for the expert advisor contract.
- Term and amount for the contract and/or task order.
- Monitoring of the contract budget, work, invoices and overall performance of the expert advisor.

The P3 Project Manager will coordinate the expert advisors efforts for the P3 Project Development Stage.

## E. Funding Partner Coordination

The P3 Project Manager will ensure that funding partners are an integral part of the P3 Project Development Stage. This includes the following elements:

- Public outreach to the funding partner on the P3 approach and to others that the funding partner may wish the P3 Project Team to provide public outreach to as part of their funding partnership.
- Have the funding partner identify a key contact or contacts for the proposed P3 project.
- Add the key contact(s) to the distribution list for key activities, meetings, status reports, presentations, and related information.
- Scheduling and tracking the development and execution of any intergovernmental and/or funding agreements.

## F. Project and Document Controls

The HPTE will develop a project document control system and utilize the system for each proposed P3 project once the P3 Project Development Stage begins. The project document control system will facilitate the development, management and storage of documents for the proposed P3 project. This project document control system will include the minimum elements outlined below. CDOT may utilize the Department's internal system (currently ProjectWise) and HPTE's Aconex system where HPTE and CDOT agree for documentation and management of these documents at the Regions and OMPD to accomplish these requirements.

- A system that has the ability to store and share large documents among multiple P3 Project Team members that is secure/access protected and limited to only authorized users to ensure the integrity of the process.
- A system that will store a large volume of documents in an electronic format that provides for search and retrieve capabilities by authorized users
- A document control manager will be assigned for each proposed P3 project that will be responsible for project document control system.
- A system that can track the performance of the contract through implementation and operations

## G. Feasibility/Scoping of Project (Confirm Minimum Requirements)

The P3 Project Team will discuss and outline the scope for the project that will include consideration of the following key project elements as the P3 Project Development Stage moves forward:

- Project phases to include in the proposed P3 project, including the major project phases of design-build-operate-maintain. Note that Projects that include design-build phases with no elements of proposer financing will be managed by the CDOT and not under the guidelines of the P3 manual.
- Consideration of whether a segmented series of projects or a portion of these will be combined into one overall project through financing by the proposer/private partner.
- Term of the proposed P3 project.
- Consideration of project elements that may be unique for each project such as:
  - Toll services for projects that include tolling.
  - The inclusion of optional services such as operate-maintain segments of roadway that may be adjacent to the proposed P3 project where it is more cost effective for the proposer/private partner to deliver these services as part of the P3 project.
  - Separating certain elements as between HPTE and CDOT, and between HPTE/CDOT and the private partner, such as:
    - The process to set toll rates and who collects tolls.
    - HPTE/CDOT retains certain elements of operate-maintain such as snow/ice removal or other elements.
  - Linkage of risk allocation to the project scoping to best align the risk sharing with the party (HPTE or private partner) that is in the best position to manage the risk in the most cost effective manner.
  - Revisiting the project scoping as cost estimates, risk allocation, financial evaluation and the overall initial Value for Money analysis is refined to help provide the best value option for the project scope for the proposed P3 project.

## H. Feasibility Schedule Development

The P3 Project Manager in partnership with the P3 Project Team will develop the overall proposed P3 project schedule that will involve the below major elements:

- P3 Project Development Stage schedule at a very detailed level as outlined in in section F.
- P3 Proposed Procurement Stage schedule at a level that details the major steps for the Procurement Stage and the time to accomplish the Procurement Stage. This schedule will be revisited in more detail should the decision be made to move the proposed P3 project to the Procurement Stage.
- The proposed Implementation Stage schedule at a level to identify the overall time period from design-construction of the project until it is planned to open to traffic. This schedule will be developed in more detail for the RFP should the decision be made to move the proposed P3 project to the Procurement Stage.
- The proposed Operate-Maintain Stage schedule that outlines the time period from opening to traffic and start of the operating period to the handback period and the end of the P3 term.

## I. Risk Analysis

The intent of this manual as it pertains to risk analysis is to provide the basic framework and guidance for expectations of risk analysis and efforts throughout a project's life. The purpose of a risk analysis is to help define the risks for the project as well as the procurement, and understand how these risks can impact schedule and costs. By discussing these in a workshop setting it allows input from many P3 Project Team members with a variety of experiences. The P3 Project Team will normally identify as many risks as possible and then discuss each risk on a comparison basis with the base project assumptions initially in the P3 Project Development Stage. Early on the base project lacks detail and most risks are discussed in a qualitative manner and as the project progresses and more details are available it will shift to a more quantitative analysis such as during the later portion of the P3 Project Development Stage and into the Procurement Stage. The workshop discussions allow the P3 Project Team to develop expected costs and schedule impacts both qualitative and quantitative depending on the information available. The discussion will also help identify mitigation actions that can be taken to help reduce or eliminate particular risks. The risk listing or risk register that is developed can be updated on a regular basis as risks will change throughout the life of the project. It is recommended that the P3 Project Team conduct risk analysis workshops to update the risk register at key decision making times of the project. The risk analysis will also produce a range of most likely costs and schedules based on the participation of the group and the statistical analysis that is run by the risk workshop facilitator. The recommended timing of risk workshops and updates to the risk register are:

- P3 Project Development Stage – At this stage of the project there may be a lack of detailed information and the focus may be on the procurement risks including the development of a feasible project, competition and overall procurement and implementation schedules. Identifying and discussing these risks can help the team focus on the needs and actions that will help define a feasible project and mitigation actions to help ensure realistic costs and schedule. Risks will also be prioritized to help the project team manage the risk in an efficient manner.
- Pre-Procurement – Prior to entering procurement it is recommended to update the risk register to help define and confirm the risk allocations on the project as well as the probability of costs to ensure the project is still viable and there have been no changes that would affect the delivery method chosen. A risk workshop should be held to provide the team time to react and ensure that the RFP documents incorporate the risk decisions that have been made.
- Procurement – When major changes are made to the draft RFP and final RFP and prior to executing a contract it is recommended that the risk register be updated to support updates to the value for money analysis to ensure any changes that have taken place during procurement have been accounted for and included in the value for money analysis prior to entering into the P3 project agreement.
- Implementation – It is recommended that the risk register be updated to focus on the owner obligations to help the P3 Project Team develop a risk management approach to the design and construction that is effective and efficient. Since many risks are transferred to the private party the P3 Project Team can prioritize those

elements of the project that will be the owner's responsibility after construction, as well as those assets being designed and constructed that will outlive the P3 project agreement term.

- Operations – Again, it is recommended to update the risk register for the operations period. This will allow the P3 Project Team to manage its limited resources efficiently. In addition to owner obligations, there could also be a focus on items that affect public safety and public perception.
- Handback – Prior to the actual handback of the facility, the risk register should be updated for specific handback activities to help plan and manage the handback process. This assessment will also provide CDOT with information they may desire to make decisions on how to manage the facility after the handback.

#### i. Initial Risk Register Items

The P3 Project Team will identify a list of risk items referred to as the risk register that will focus on the major elements of the project, the listing will include the anticipated risk allocation that best manages risk to provide the state the greatest value for the proposed P3 project.

Potential risk-related elements to be considered include:

- Project scope
- Project costs
- Environmental approvals
- Permitting
- Utilities
- Operations
  - Enhanced elements
  - Service patrols
  - Acceptable down time/availability
- Maintenance
  - Routine
  - Periodic
  - Renewal and replacement
- Project revenues and funding
  - Revenue risk
  - Funding subsidies
  - Availability based
- Financing
- Emergency events
  - Traffic incidents and clearing
  - Storm Events
  - Major events such as road closures
  - Major event damage
    - Clearance
    - Repairs
- Term of the proposed P3 project
- Third Parties
- Competing Facilities

- Contamination
- Latent Defects
- Right of Way
- Law Changes
- Standard Changes
- Force Majeure
- Handback
- Warranties
- Insurance
- Toll services (if applicable)

## ii. Risk Register Template

The risk register template is typically a spreadsheet that expands on the risk items that have been identified to include a variety of categories that will allow the P3 Project Team to review, organize, distribute, track, prioritize and follow up on the risk management actions that are identified to be done during the risk discussions and meetings. The risk register template will also include the risk modeling outputs that are typically calculated in an embedded macro-program within the file housing all the risk inputs. The following list of items is meant to provide a general overview of the inputs to be expected in the risk register.

- Risk number – It is recommended that each risk be given a sequential number to allow for quick reference in discussions and meetings. It is expected the number of risks will grow as a project progresses and more details made available. Consideration can also be given to sequential numbering the risks by categories, although many risks may overlap categories.
- Risk category – Organizing by category allows the team to sort the risk register by specific categories that can be assigned and tracked by team members. The categories can vary depending on the desires of the P3 Project Team and the scope of the project. Example categories can include Policy, Technical, Funding/Financial, Government Approvals, Tolling, etc.
- Risk topic – Although similar to category, the P3 Project Team can utilize risk topics as a secondary sorting mechanism to efficiently manage the risks. An example would be under the Technical Risk Category the P3 Project Team may elect to have topics such as Roadway, structures, ITS, Tolling etc.
- Impact stage – This is the phase that the particular risk will come to fruition. Typical phases would include; development, procurement, design, construction, operations and handback.
- Risk description – This is simply a description of the risk that is detailed enough that one not familiar with the project could read and get a good understanding of the risk.
- Expected value/Monte Carlo Analysis Inputs – The below items can be utilized to develop the expected outcomes through a statistical analysis that evaluates the outcomes and the probability of these outcomes occurring based a range of assumptions for the data typically referred to as a Monte Carlo Analysis. This analysis provides an expected outcome for the project's cost and schedule based on an

iterative statistical analysis. The formulas and specific information required for input should be reviewed with a risk facilitator prior to beginning a workshop and collecting the input.

- Consequence of risk – The consequence the risk will typically be brief description of the impact of the risk. Typically this will cost or schedule but could also be detailed as having a safety, environmental or reputation consequence.
- Probability range – These are ranges that a risk event would occur and have a negative impact on the project. It is important to discuss these as a group to get all feedback on the likelihood of a risk event materializing. These ranges can help prioritize efforts when managing the risks. Typical ranges can be in 20% increments where risk items with a 90% or greater likelihood should be considered to be part of your base project.
- Qualitative cost and schedule impact – This will be a range, typically by percent and weeks or months, of the base project cost and schedule impact the risk could have on the project.
- Quantitative cost and schedule impact – When more detail is available the risks can be quantified versus just qualified. The range of impacts could be specific quantities as the minimum, maximum and most likely Impact that can be expected.
- Monte Carlo Simulation (distribution, modeling notes) – These are notes that outline the risk being evaluated and the range of assumptions applied for the risk that supports the calculation for a particular risk.
- Risk response method (mitigation, transferences) – This is where specific strategies can be identified for the P3 Project Team to follow up on as part of their risk management.
- Risk allocation – Which party in the P3 project is responsible for the risk - the Public Owner, Private Partner, or shared.
- Risk allocation notes – Some risk allocations may need explanation if they are shared or potentially expected to change over time. This will help the team understand the expectations as well as the potential action items that may be identified.
- Risk tracking (critical path, owner actions, mitigation, planned mitigation cost, review dates, status, comments) – ??? Can we explain what this is saying?
- Risk Closure Notes- identifying how and why a particular risk is no longer relevant or does not exist any longer. These notes will help when going back through the history of the project to help document decisions.
- Lessons learned notes – All projects will bring lessons learned. The P3 Project Team should be diligent in documenting these and carrying them through to other projects to ensure there is continuity in policy and practice where appropriate.

By developing a risk register that can be sorted by columns the team can easily track particular aspects of the risks and utilize this template to help manage the project based on the risks. These risks can be prioritized and specific actions included in the template will allow the team to follow up on actions and update the risk as it changes.

### iii. Risk Analysis Strategy

The risk analysis provides an excellent opportunity to educate the P3 Project Team on the risks as well as collect feedback from a multi-disciplined group that will help provide sufficient information for sound decision making. The P3 Project Manager can utilize the risk analysis to prioritize the team's actions as well as brief senior management. Specific Strategies can include:

- Identify key risk elements that will be needed for policy discussions with the HPTE Director, OMPD Director and the CDOT Executive Director for approval or direction or that should be further evaluated by the P3 Project Team.
- Keep the risk register up to date as further discussions occur among the P3 Project Team, with the industry and as decisions are made by HPTE and CDOT management.
- Solicit feedback from industry on particular risk elements and include the feedback in the analysis and potential mitigation strategies.

## J. Value for Money Analysis

A Value for Money (VfM) analysis will be conducted at key stages in the process for the proposed P3 project. These major stages include:

- Initial Value for Money analysis as part of the P3 Project Development Stage. The Initial VfM builds the template for the project that includes all major elements including:
  - A Public Comparator that models the project based on a traditional delivery approach such as design-build, public financing, and operations and maintenance by the CDOT. The P3 Project Team will develop and/or have developed the information supporting the Public Comparator such as:
    - Schedule for a traditional delivery of the project.
    - Cost estimate for design-build traditional delivery for the project.
    - Cost estimate for traditional delivery of operations and maintenance for the project. This will include ongoing renewal and replacement such as resurfacing, bridge repairs, etc.
    - Public financing cost for the project.
    - Possible risk factors such as cost overruns, schedule overruns, inflation for future delivery of phases, and other key items associated with traditional delivery.
  - P3 Delivery that models the project based on a P3 delivery approach where the P3 Project Team has outlined the P3 project scope. At the Initial VfM analysis stage the HPTE Director, OMPD Director, CDOT Executive Director, and other senior managers and Transportation Commission or HPTE Board members may want the P3 Project Team to evaluate more than one project scope and P3 delivery approach, for example: 1) shifting revenue risk to the private partner or an availability payment approach; 2) leaving all or part of the operations and maintenance such as snow removal with the CDOT; and 3) providing "options" such as the proposer "bidding" to provide operations

and maintenance services on adjacent lanes or roadways to the main P3 project. The P3 Project Team will develop and/or have developed the information supporting the P3 Delivery approach such as:

- Schedule for P3 delivery of the project.
  - Cost estimate of the capital cost (design-build) for the project.
  - Cost estimate for the operating period for the project including operations and maintenance
  - Renewal and replacement costs.
  - Handback requirements
  - Merge the cost factors into a life-cycle cost model for the overall term of the P3 project.
  - Risk analysis and the impact upon cost and schedule.
  - Financing cost for a P3 delivery approach.
  - Other factors associated with the P3 delivery approach such as cost savings from advancing the project, shifting of revenue or partial revenue risk, availability performance standards, HPTE and CDOT costs, stipends, and related elements.
  - Based on direction from the HPTE Director, OMPD Director, CDOT Executive Director, Transportation Commission or HPTE Board there may be multiple delivery approaches modeled for the P3 Delivery approach to evaluate the best alternative for delivering the project.
- The Public Comparator will be matched against the P3 Delivery approach(es) and this results in a “Best Value” analysis that shows whether the Public Comparator or the P3 Delivery approach is the apparent Best Value for delivering the project. These results will be part of the briefing package presented to the HPTE Director, OMPD Director, CDOT Executive Director, Transportation Commission and HPTE Board to help make a decision to reject or approve the project moving forward as a P3.
- Update the Initial VfM prior to selecting the Preferred Proposer in the Procurement Process. This is further discussed in Section 4.
  - Update the Updated VfM prior to financial close for the P3 project. This is further discussed in Section 4.F.

## K. Procurement Goals/Guidelines

The major goals for procurement of a P3 project are for the HPTE, in partnership with the CDOT, to:

- Provide comprehensive, consistent and timely information, and evaluations supporting a fair and open procurement process,
- Protect the integrity of the procurement process,
- Protect the public interest,
- Select the best value proposal, and
- Strive to reach financial close provided the P3 project is the best value to the State.

The policies and major guidelines governing the procurement of a P3 project are outlined in Section L of Chapter 2. The procurement process is outlined in more detail in Chapter 4.

## L. Procurement Schedule Development

The P3 Project Team will develop the initial procurement schedule. The schedule will identify the key activities for the procurement process and include adequate time to accomplish these activities to reach financial close in a timely manner. Key activities to be included in the initial procurement schedule are shown below:

- Development of the draft RFQ as further discussed under RFQ development in Chapter 3 below.
- Environmental approval (if pending)
- All FHWA approvals
- Briefings for HPTE Director, OMPD Director, CDOT Executive Director, the Transportation Commission and HPTE Board before the final decision to move into the Procurement Stage for the P3 project.
- Development of the draft RFP as further discussed under RFP development in Chapter 3 below.
- HPTE Director and OMPD Director approval of issuance of the RFQ.
- Due date for Statements of Qualifications
- Review and evaluation of the Statements of Qualifications
- Presentation and recommendation to the HPTE Director and OMPD Director for approval of the Short-List of Proposers
- Issuance of the draft RFP
- ATC Process, including meetings, submission, and response due dates
- Interactive One-on-One Sessions with Short-Listed Proposers
- Formal written question and answer periods
- Issuance of the Final RFP
- Due date for Proposals
- Review and evaluation of the Proposals
- Update the Value for Money Analysis
- Presentation and recommendation to the HPTE Board – HPTE Board selection of the Preferred Proposer
- Protest period
- Negotiations on final P3 project agreement
- Presentation and recommendation to the HPTE Board – HPTE Board approval of the P3 project agreement
- Commercial Close
- Negotiations on financing documents
- Updated Value for Money
- Presentation and recommendation to HPTE Board –HPTE Board approval of financing documents
- Financial Close
- P3 project moves to Implementation stage

## M. Project-Level Public Outreach Plan

HPTE adopted a transparency policy and has developed an overall P3 Program Public Outreach Plan that has been included on the HPTE internet site located at \_\_\_\_\_. HPTE

will ensure that public outreach is accomplished within the requirements of the transparency policy as part of the P3 Project Development Stage. The HPTE Director, in coordination with the OMPD Director and Region Director, will direct the development of a public outreach plan for the proposed P3 project.

The P3 project public outreach plan will address at a minimum the following requirements:

- Identify the key groups, individuals and geographical areas that are the focus of the public outreach.
- Develop briefing materials on the P3 project and update these as the proposed P3 project moves forward.
- Identify the media approaches to deliver the public outreach such as:
  - Web site project information
  - Media packages
  - Public Workshops
  - Focus Group sessions
  - Key official briefings
  - Board meetings
- Identify a schedule for delivery of the public outreach for the major stages. The public outreach plan for the P3 project will start with the P3 Project Development Stage and be expanded for additional stages should the P3 project move forward beyond the P3 Project Development Stage.
  - P3 Project Development
  - Procurement
  - Negotiation/Financial Close
  - Implementation
  - Operations
- Recordkeeping for the public outreach effort that includes:
  - Identification of attendees/participants for public outreach
  - Summary of key input and questions received in public outreach
  - Follow up in response to input and questions received
  - Input on materials used in the public outreach
- Periodic evaluation and update will be accomplished based on feedback from public outreach sessions and the P3 Project Team will utilize the evaluation to update the public outreach plan to continually improve the public outreach effort for the P3 project.

As part of public outreach the HPTE Transparency Policy calls for HPTE, in coordination with interested local governments, to hold a minimum of three public town hall meetings in relation to a potential P3 project. These meetings will:

- Be held either at a location near the primary communities expected to be affected by the project and at such other forums as HPTE may deem appropriate to provide access to the public.
- Allow for comment, input, and questions from the public and response from staff or board members of the HPTE.
- Update the public on additional developments regarding the project and other information as required by, or consistent with, the HPTE Transparency Policy.

- To the extent possible these public town hall meetings should be coordinated with other project activities such as the environmental review and public hearings associated with this review and other required public hearings to avoid duplication and confusion about the project.

All meetings required by the HPTe Transparency Policy will be preceded by full and timely notice. This includes posting a notice on the project website and providing notice to appropriate media, members of the General Assembly whose districts include any geographic area located within the expected boundaries of the project, and the county/municipal governing bodies of those geographic areas.

## N. Industry Outreach

Industry outreach can be accomplished in a number of forms and can be useful in the P3 Project Development Stage to assist the P3 Project Team in developing the proposed P3 project. Typically these will be held before procurement begins to help generate interest and momentum for the project, as well as provide industry input for consideration by the P3 Project Team as the project moves into procurement. Proper Outreach and marketing of the program and projects will help maximize competition on projects. Some key options for industry outreach include:

- Industry forum – Industry forums may be held once the P3 Project Team has developed adequate information to share on the proposed P3 project such as a tentative project scope, timing, and key elements related to possible procurement, finance approach, key technical elements and related information. The focus of the Industry Forum is to share and gather information to help develop the best P3 project, delivery approach and process that delivers the best value for the State. The Industry Forum normally includes:
  - General Sessions where HPTe/CDOT share information on the project, project scope, and ideas on finance approach, key technical elements, etc. Industry may provide limited input during the general sessions, but not normally specific input.
  - One-on-One Sessions where the industry participants are offered the opportunity to share specific ideas or concerns with HPTe/CDOT on the project and approach.
  - Follow up evaluation of the input and use by the P3 Project Team to help define the proposed P3 project and approach.
- Request for Letter of Interest can be used to request written responses from industry to evaluate the level of interest and any specific comments that are provided by the industry participants that respond with a Letter of Interest. The P3 Project Team will evaluate the input to help define the proposed P3 project and approach.
- P3 conferences and national meetings (ARTBA, AASHTO, and TRB as examples) can be used to share brief information on the proposed P3 project and solicit informal feedback from industry on the proposed P3 project and approach. These are very useful in building interest in the proposed P3 project.
- Industry requested meetings with HPTe/CDOT are common once information regarding a potential P3 project becomes known. These meetings can be held

during the P3 Project Development Stage prior to issuance of the RFQ document and operate similar to One-on-One meetings at the Industry Forum.

It is important for the HPTE/CDOT to share consistent information with industry participants on the proposed P3 project to ensure consistent feedback is received from industry. It is critical that HPTE/CDOT only answer technical questions in meetings with the industry participants and hold all policy issues and decisions for discussion among the P3 Project Team and interaction with the HPTE Director, OMPD Director, and CDOT Executive Director.

## O. Report to HPTE Board and Transportation Commission

The P3 Project Team under the direction of the HPTE Director and OMPD Director will develop a report on the proposed P3 project after completion of due diligence in the P3 Project Development Stage that includes the following key elements for the proposed P3 project. The report will include at a minimum:

- Project description
  - Summary of the project scope
  - Key project elements/unique features
- P3 project schedule
- Term of the P3 project
- Estimated life-cycle costs over the term
  - Estimated design-build cost
  - Estimated operating period cost (operations, maintenance, and renewal and replacement)
- Delivery options considered and the suggested approach
- Finance approaches considered and the suggested approach
- Summary of the Value for Money analysis that compares the P3 delivery options with the Public Comparator (Value for Money report attached)
- Summary of the risk analysis and key project risk
- Summary of industry outreach and input
- Summary of the public outreach and input
- Overall recommendation based on the assessment of delivery options and the Value for Money analysis identification of the best value.

In addition the P3 Project Team will prepare and deliver a summary presentation for the HPTE Board that summarizes the report and the recommendation for the best value approach for the project for consideration by HPTE Director, OMPD Director, Region Director and the CDOT Executive Director.

## P. RFQ Development

The RFQ is used to solicit the SOQs from interested private sector P3 firms/teams (respondents). The RFQ asks interested respondents to submit a SOQ in response to evaluation and selection criteria defined within the RFQ. The primary objective of the RFQ is to receive SOQs to evaluate and select a pool, or "shortlist," of qualified, potential proposers for the project. It is a formal and structured process that must comply with federal regulations, state statutes, and the Colorado code of regulations.

Respondents are required to submit a SOQ in response to the RFQ by a specified cut-off date identified in the RFQ.

The P3 Project Team will develop a draft RFQ for the proposed P3 project that includes the following key elements:

- Summary level P3 project description
- P3 project scope and goals
- Overall P3 project schedule
- Draft procurement schedule
- Minimum technical qualifications
- Key personnel and their minimum qualifications
- Minimum financial qualifications
- Minimum experience on prior P3 projects
- Unique project elements or challenges
- RFQ schedule
- Key standard elements such as communication limitations (generally referred to as “cone of silence”), conflicts of interest, CORA requirements, etc.
- Instructions for qualifications package submittal
  - Format
  - Limitations
  - Due date
- Brief description of the qualifications package evaluation and short-list process

One of the most important aspects of the RFQ will be to define the project and procurement goals. Although these goals may change over time, establishing them early allows for both the P3 Project Team and potential respondents to focus and prioritize around meeting these goals. These goals should also play a large part in the evaluation of proposals that will further incentivize proposers to elaborate and find ways to achieve the goals set for the project.

The draft RFQ may be shared with industry representatives for input if desired and the input considered for developing the final RFQ document.

The final draft RFQ will be presented to the HPTD Director and OMPD Director for approval once the decision has been made to move forward with the project as a P3 project. The RFQ is further refined and the process for evaluation and short-list is further outlined in Chapter 4.

## Q. RFP Development

After the HPTD Director, OMPD Director and the CDOT Executive Director have approved the project moving forward as a P3 project the P3 Project Team will begin development of the RFP documents. The major documents to develop at this stage include the following:

- Draft Instructions for Proposers (ITP)
- Draft P3 Project Agreement
- Reference documents
- Draft Technical Requirements

Development of the documents comprising the RFP should be underway prior to issuance of the RFQ and during the RFQ period of the Procurement stage with the intent to provide a comprehensive draft RFP to the shortlisted proposers shortly after announcement of the shortlist. It is important to note that P3 brings a uniqueness and complexity to the RFP documents that many project team members may not be familiar with if only accustomed to working on typical design-build type projects. This section of the manual is meant to highlight some of the more unique items that will need to be considered and addressed in the RFP documents. A P3 project can provide tremendous opportunities for risk transfer, but requires technical, financial, and legal advisory teams to be working together to ensure the RFP documents address each element appropriately (see figure 6). The below figure represents that it takes the union of the technical, finance, and legal expertise to handle the P3 uniqueness of a project but these working groups must be managed.

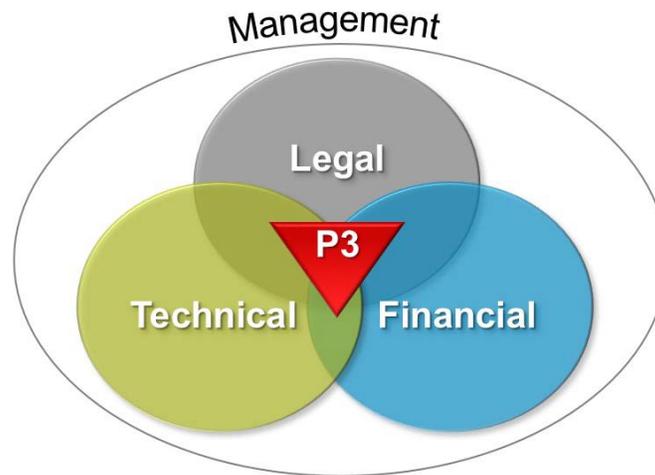


Figure 6 - Technical, Financial, and Legal Teams

The project team should hold an RFP kickoff session where they can discuss all portions of the RFP in detail to ensure assignments and schedules are clear and the interaction the team will need to complete the Draft RFP. As mentioned earlier, this section is intended to identify and explain some of the inter-relations of items that need to be addressed in the development of the RFP. All items do not need to be finalized in the initial draft of the RFP and can change throughout the development and procurement, but early understanding of all elements associated with a P3 RFP will put the team in the best position to manage priorities and meet schedules and avoid surprises in the process.

Risk Allocations – As mentioned in the risk sections of this manual, the risk register and information that is developed in the risk workshops and analysis must transfer to the RFP. The risk register can be used as a checklist to ensure each item is handled appropriately as well as a QC document for verification.

Project Goals – Are the project goals clear and up to date? Do goals align as it pertains to scope and costs?

Evaluation Criteria – Are the evaluation criteria clear, do they tie to the project goals, and will the selection criteria provide value between technical and finance?

Submittal Requirements – Do the submittal requirements fall in line with the pass-fail needs and the evaluation criteria? Is there value in everything being asked for?

ATC Process – Evaluate lessons learned from previous procurements and ensure schedule allows for sufficient time.

Design and Construction Criteria-

- How will criteria be dealt with in the future for renewal/rehabilitation work?
- Are current criteria too prescriptive?
- What flexibilities should be given with base criteria versus forcing an ATC?
- What should be the design submittal requirements? Should this be open to flexibility for the private partner?
- Are the tolling requirements and agreements needed for tolling clear?

Operations and Maintenance (O&M) – There are many aspects of O&M that will need to be addressed in the RFP, which include:

- Limits of responsibility and performance expectations during construction.
- Limits of responsibility and performance expectations during operations.
- Maintenance of third party assets- will there be temporary or long-term responsibilities for existing or newly constructed assets that are not part of the CDOT system? This could include cross roads, ITS devices, signal systems, bus facilities, or other areas that would need to be coordinated.
- Are there existing assets that may be transferred to the private party and is sufficient information available to assess the risk of these items?
- Are the tolling responsibilities clear and will there be a need for separate agreements needed for tolling operations?
- Performance Standards- review latest performance standards and compare with other states and lessons learned to ensure requirements are reasonable and cure periods to address and re-occurrence are appropriate and defensible.
- What will be the level of owner oversight and should it be paid by the P3 firm?
- How should any financial adjustments be sized for non-compliance or violations?
- How should the non-compliance point system be sized and the overall lengths of time to be considered for accumulation of points (i.e., one year, three years etc.)?
- What will be the consequence for the accumulation of too many points?
- What should trigger a replacement or rehabilitation of an asset?
- How should a renewal be planned and funded?
- How should traffic operations and safety issues be handled?
- How will emergencies be handled (evacuations, state of emergency, lifting of tolls, contraflow)?
- How will shared assets be handled for inspections, repair and funding?
- How will future improvements be handled? Construction of, impact of and maintenance of?
- How will change in standards be dealt with?

Handback Requirements –

- How will a handback reserve be sized, funded and drawn? What should be the timetable and activities involved for early asset assessments that could trigger additional work prior to handback?
- What condition is expected at handback? What maintenance inventory is expected?

#### Administration –

- Will the private partner be responsible to provide project offices to HPTE/CDOT during implementation? During operations?
- What are the roles and responsibilities for document control during implementation and operations, and what long-term provisions should be considered?
- What are roles and responsibilities for public outreach during implementation and operations?
- How will change in ownership be handled? Is there a minimum time period before allowing a transfer?
- What should the insurance requirements be during implantation? During operations?

As the RFP develops it will be important for the team to track and document decisions by creating an RFP matrix that identifies the lead for each section of the RFP and any decisions or direction that is needed for the section. As this direction is given it should be the leads responsibility to document the decision/direction with sufficient detail so as much of the RFP language will be challenged throughout the process there will be a history of how the draft language was developed which will allow the project team to react quickly and appropriately during any challenges. P3 agreements are complex and are intended to provide value to CDOT, but it takes a multidisciplinary team to develop and understand all aspects of the contract. Also, it is important to listen to proposers to find and ensure the final RFP language and requirements will provide CDOT with the greatest value.

## R. Quality Assurance/Quality Control

There are a number of key analyses being performed and reports/presentations being generated during the P3 Project Development Stage. The P3 Project Manager will review the quality control process that ensures that each of the major processes includes adequate quality control by the P3 Project Team to ensure that work is cross checked by experienced members of the P3 Project Team prior to the finalization of analyses and reports/presentations. The processes are varied during the P3 Project Development Stage so the HPTE Director/OMPD Director/P3 Project Manager will review each major area and have the applicable P3 Project Team members provide their quality control processes for review and approval by the P3 Project Manager.

The HPTE Director and OMPD Director may authorize a quality assurance review of any major element of the P3 Project Development Stage. For example, an outside firm independent of the P3 Project Team could be engaged to peer review one or more of the following major elements, depending on the risk valuation of that particular element:

- Value for Money analysis
- Risk matrix and analysis
- Traffic and revenue forecast and analysis

- Public outreach plan
- Delivery options analysis
- Draft RFQ or RFP

## IV. Project Procurement Phase

Colorado’s Transportation Commission is the state’s transportation policy decision-making body. CDOT manages the state’s transportation system under the direction of the Transportation Commission. The procurement of P3 projects is the responsibility of HPTE but they will need to work closely with CDOT and the CDOT Regions to manage a successful procurement. The Below graphic illustrates the organizational structure of the offices during Procurement (see Figure 7).

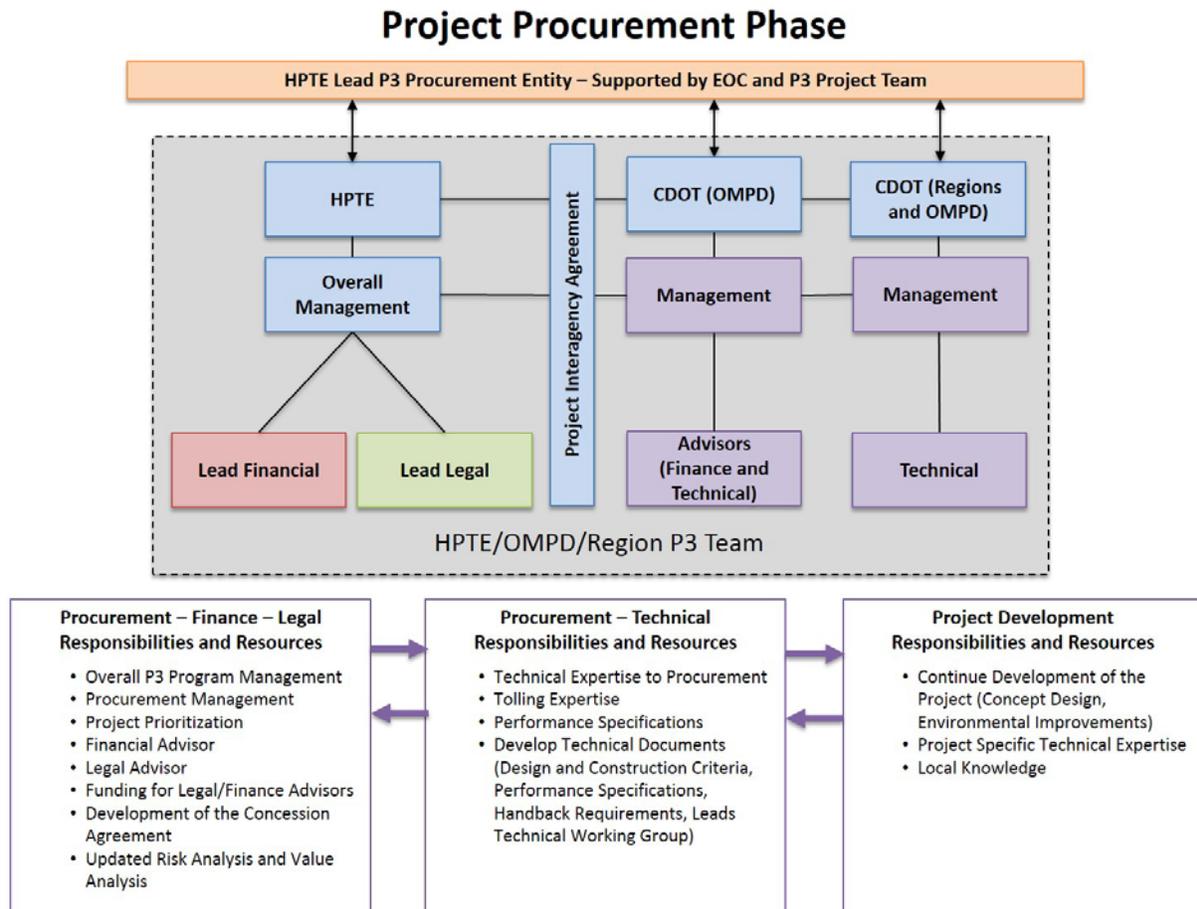


Figure 7 - Team Structure, Roles, and Responsibilities – Project Procurement Phase

This section describes the competitive P3 procurement process and provides guidance on related activities for all projects that have been selected for P3 procurement.

## A. Commitment to Transparency

The HPTe is committed to being transparent during the procurement of P3 projects. HPTe's board adopted the "HPTe Transparency Policy" to ensure transparency and accountability for, and public participation in, any P3 entered into by HPTe.

In accordance with the HPTe Transparency Policy, the Procurement documents for a P3 project should include:

- The procurement documents will include provisions to facilitate the public disclosure of information provided by proposers.
- The HPTe will make available other relevant information relating to the project that will assist the public in considering meaningful comments.
- When the P3 agreement is executed, the HPTe will post the fully executed agreement together with a summary of the key terms of such agreement on the project's website.

## B. Updating the Project Risk Assessment and Allocating Risk

Once P3 projects are approved for procurement, the HPTe initiates the procurement process starting with the issuance of RFQ documents, followed by the issuance of the RFP. An increased level of project definition will be available prior to finalizing the draft RFP and will provide the team an opportunity to update the project risk assessment. Some new risks may be identified and some risks may be closed out from the previous risk assessments performed during project development. As the P3 project agreement and technical requirements are developed, it is important that the risk register and risk allocations are updated to reflect current project conditions.

The risk register should be updated prior to issuance of the RFP based on the decisions that have been made prior to completing the RFP. This allows quantifying and qualifying the risk decisions that have been made and how they affect the project's cost and risk profile. Updating the risk register and risk analysis has a number of benefits throughout the procurement process:

- Enables updating project cost, revenue, and schedule risk adjustments.
- Provides input into the cost analysis.
- Helps identify and/or confirm the commercial Risk Allocation that should be incorporated into the P3 project agreement.
- Helps identify risk mitigation strategies that can be implemented to reduce/eliminate risks.
- Increases overall confidence in appropriate allocation of commercial project risks.
- Helps identify the high cost and schedule risks that will help in risk management when prioritizing team resources and actions.
- Prepares the team for the upcoming proposer challenges regarding risk allocations in the P3 project agreement.

i. Risk Workshop(s)

The HPTE project manager should review previous risk management activities and analyses that may have been conducted on the project Risk Workshop(s) should have been conducted and a risk register should have been developed for every P3 project regardless of size and complexity. Also an expected value (or Monte Carlo) analysis may have been performed. The HPTE project manager may decide to update the risk register and risk analyses via targeted meetings with experts and other stakeholders or have a subsequent Risk Workshop(s).

ii. Risk Assessment

Step 1 – Update Risk Identification and Quantitative Risk Analysis

The P3 Project Manager, in collaboration with the project manager, should review new information that might have become available as a result of further design studies and input from the initial Risk Workshop during project development. This new information is likely to require a review of the identification and quantification of the previously identified risks. If additional risks are identified, they must be added to the risk register by filling in the risk category, risk topic, impact phase, and risk description columns. Changes in the base cost estimate or the schedule may alter the percentage cost risk impact or number of months delay respectively. It is the responsibility of the P3 project manager to arrange the necessary workshops/meetings in order to make these changes to the risk register through discussion with the appropriate personnel that can contribute to the identification of risks.

Step 2 – Update Risk Response

After updating the information in Step 1, the P3 Project Manager, in coordination with the person or entity most familiar with the risk, should update the risk register to reflect mitigations carried out and new mitigation strategies for the procurement. Other forms of response may also be deployed and recorded in the risk register. At this point, the focus should be on risks that have been previously identified as having a high risk value (combination of probability and impact). The P3 Project Manager may elect to hold a facilitated 'workshop' to keep the meetings focused and productive in addressing and documenting each risk.

Step 3 – Update Potential Risk Allocation

The undertaking of Risk Allocation becomes more significant during procurement as risk transfer has to be fully defined in the P3 project agreement. The allocations listed in the risk register must align with the P3 project agreement and technical requirements. It may be helpful to record the section reference of the P3 project agreement that relates to the assignment of a particular risk event in the risk register notes column. This documentation can also aid in any peer review or quality control review of the documents that will help ensure the documents have been drafted in accordance with the intent of the risk allocations.

### iii. Updated Risk Analysis

The procurement phase represents an opportunity to update the quantification of risks. Input information should be well developed by this stage and be appropriate for an expected value (or Monte Carlo) analysis. The output and details of the risk analysis, along with the other risk assessment information, should be captured by the P3 Project Manager in the risk register. Using the outputs and details of the risk assessment information and risk register, the P3 Project Manager will lead the updates to:

- Any risk management plan that has been developed from the risk register or the overall management plan if a specific risk management plan does not exist. An update to estimated project costs
- Calculation of risk adjusted costs and scheduling of project milestones
- Revision of the HPTE's project contingency costs/amounts
- Consideration of risks and potential allocations as input for industry review meetings

It should be noted that all risks will need to be reassessed if the base cost and schedule have been modified to ensure the inputs are still correct relative to the updated base information.

## C. Schedule

There will be significant interaction between the HPTE and private industry during the RFQ phase and between the HPTE and the shortlisted proposers during the RFP phase of the procurement. The procurement process must be planned and well executed to avoid potential delays and challenges. The HPTE project manager will need to develop a procurement schedule for the overall procurement since critical procurement milestone dates will need to be included in the RFQ and the RFP. These milestone dates include, but are not limited to:

- RFQ issuance
  - Industry forum
  - RFQ issuance
  - Final date for RFQ comments
  - Final date for responses to RFQ comments
  - SOQ submission deadline
  - Deadline for submission of public disclosure SOQ
  - Interviews (if required)
  - Anticipated announcement of shortlisted proposers
- RFP process
  - Issue draft RFP to shortlisted proposers
  - Proposer comments/questions due (set 1)
  - First one-on-one meetings(set 1)
  - Proposer comments/questions due (set 2)
  - Update of RFP
  - Second one-on-one meetings
  - Last day for alternative technical concept (ATC) submittals
  - Last day for change to proposer team

- o Issue final RFP
- o Final responses to ATC submittals
- o Final one-on-one meetings
- o Proposal due date
- o Proposal evaluation
- o Select preferred proposer
- o Negotiations
- o Execute P3 project agreement (Commercial Close)
- o Further negotiations on financial plan
- o Financial Close (amend P3 project agreement as needed)

The project development status of the project must be considered in preparing the procurement schedule including NEPA/environmental clearance, due diligence activities (such as surveying, geotechnical investigations, subsurface utility investigations, hazardous materials investigation, etc.), right-of-way acquisition, utility coordination and relocations, capital and lifecycle cost estimates, traffic and revenue estimates, and feasibility and value for money analyses. The procurement schedule needs to accommodate required timeframes for state and federal reviews necessary due to project funding.

Each P3 project will have unique considerations affecting it's the procurement schedule. Factors that need to be considered when finalizing a procurement schedule include the completeness of project development (specifically status of NEPA/environmental clearance), the size and complexity of the project, risk factors and allocation, and complexity of the procurement, decisions pending, whether an investment grade T&R will be needed, etc. It should be noted that an investment grade study takes approximately 9 months to complete. The procurement schedule should be updated at least monthly, reflecting current status of procurement activities and incorporating any changes to the procurement approach/strategy.

## D. Two-Phase Procurement Process

Typically HPTE uses a two-phase procurement process. The P3 procurement process (see figure below) consists of: (1) the RFQ phase and evaluation of SOOs resulting in a "shortlist" of qualified proposers; (2) the RFP stage including issuance, evaluation of the proposals, and selection of a best value proposal and preferred proposer to enter into a P3 project agreement to develop and implement the project. HPTE does have the flexibility to go directly to the RFP stage and as part of the evaluation of the proposal to include Pass/Fail criteria. It should be noted that during the RFQ phase a draft RFP could be released if available. The HPTE serves as the primary point of contact for P3 procurements, in consultation with the CDOT and the Colorado Attorney General's Office, and ensures that the process is administered in accordance with applicable law. The HPTE Director is responsible for managing a consistent, transparent, and well-defined procurement process.

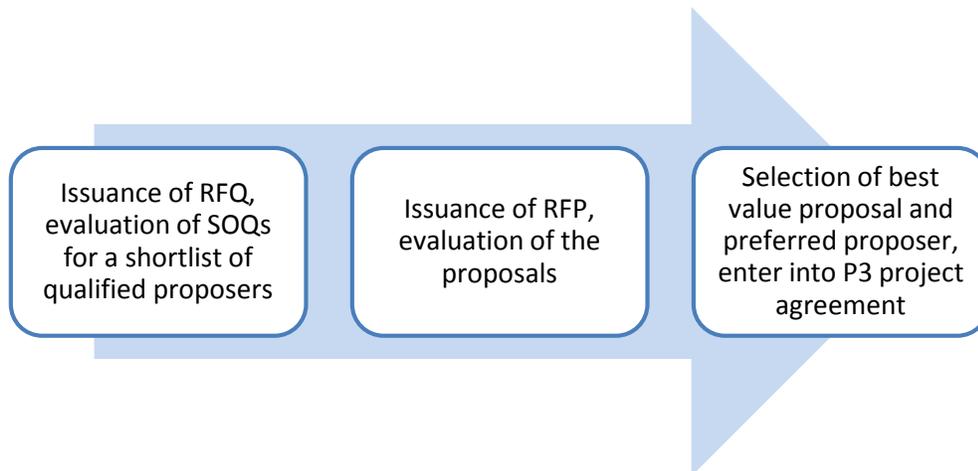


Figure 8 - Two-Phase Procurement Process

### i. Finalizing the RFQ

As discussed in Chapter 3 once the HPTE Board has approved moving forward with the proposed P3 project, the HPTE initiates the first phase of the P3 procurement process by issuing a RFQ. The draft RFQ was developed in the latter stages of the Project Development Stage. This draft RFQ is updated and finalized based on industry input, review by the P3 Project Team and updates on the project. One of the key areas that is normally updated from the draft RFQ relates to the minimum qualifications based on the extent of industry interests, the complexity of the project, and adjustments in project scope.

Typically the final RFQ format includes of eight major elements:

- Executive summary/introduction of the project/Establishment of the goals for the project and procurement
- Background information, including relevant information about the development status and funding of the project
- Description of the procurement process
- Procurement rules including communications, conflicts of interest, and confidentiality
- Submission requirements for the SOQs
- Evaluation process and criteria
- Protest procedures and debriefings
- Submittal forms

#### a. Evaluation Criteria for the SOQ

Specific content of the SOQ must be identified in the RFQ, and should be developed using proven methods that will determine the true qualifications of the respondents. Evaluation criteria usually include: 1) technical criteria including the organization, structure, experience, and performance of the firm/team on similar projects and 2) financial criteria, including the financial qualifications and capacity of the firm/team and financial approach to the project.

The evaluation criteria contained in the RFQ focuses on specialized capabilities required for the project. Individual criteria are weighted according to their relative importance to the successful completion of the project. The actual criteria selected for use should be applicable to the project and the respondent's ability to perform the work. When setting the evaluation criteria the project goals should be considered and how the evaluation criteria will support those goals. With this in mind, it is also important to avoid criteria that are so restrictive that few, if any firms/teams can meet the minimum requirements. Criteria that may be considered are:

- Organization, structure, experience and performance of the firm/team
  - Project team organization
  - Key project team members
  - Minimum qualification requirements/experience for individual experience of team members
  - Staff/resource capacity and availability (project manager, design manager, construction superintendent, quality manager, etc.)
  - History of the proposed team working together
  - Corporate experience with P3 projects
  - Experience in similar types of work
  - Past performance
  - Experience in the execution of fast-track projects
  - Experience with formal partnering activities
  - Scheduling and control systems to track and manage project
  - Specialized design capability for the key project elements
  - Specialized construction capability for the key project elements
  - Experience with complex construction staging, traffic control, and site conditions
  - Quality assurance organization
  - Quality assurance approach
  - Quality performance
  - Specialized expertise that reduces risk and assures quality of work
  - Safety record
  - Approach and understanding of the project
  - Understanding of local environment
- Financial qualifications and capacity of the firm/team
  - Financial capacity
  - Bonding record or proof of bonding ability
  - Past performance on awarded contracts (completion, liquidated damages, quality, claims, fines, schedule)
  - History of performance (unsubstantiated claims, fines, suits, quality, accuracy, schedule)
  - Legal and financial disclosures

To develop and maintain a level and uniform playing field the RFQ should rigidly define the SOQ submittal format. It should specify at a minimum: the maximum number of single-sided pages, font size and type, allowable paper size(s), and labeling and pagination requirements.

The SOQ evaluation methods are disclosed in the RFQ. It is important to structure the RFQ to request information about a respondent's experience that can be evaluated in an objective manner. The SOQ should allow the respondents to demonstrate their firm/team's strengths, and permit HPTE to determine which of the respondents are the most highly qualified. Cost or price related factors are prohibited from use in the RFQ and consideration in the SOQs.

## ii. Issuing the RFQ

The HPTE, in consultation with CDOT and other state and federal agencies, as appropriate, is responsible for the development and issuance of the RFQ documents. The HPTE will issue a public notice on the project website and will email those who have signed up on [HPTE's Bidder's List](#) to announce the issuance of the RFQ documents. The public notice may also be issued by publication in a newspaper or newspapers of general circulation in the area in which the project is to be performed, so as to provide reasonable notice to the maximum number of respondents that can be reasonably anticipated to submit responses to the RFQ.

The RFQ documents will be posted on the project website. These documents should provide for a minimum 60-day competition period and include information regarding the scope, nature, and timing of development and/or operation of the project.

The procurement documents, including required forms, addenda, and other related information, will be made available electronically on the project website. The HPTE may arrange for a pre-proposal conference or webinar, as deemed appropriate, to present and clarify information about the project and procurement process, as well as respond to any questions that prospective respondents may have about the RFQ. A notice for such event will be made known within the RFQ documents and on the project website.

At any time during the procurement process, the need to issue one or more addenda to the procurement documents may arise following interaction with the industry, or in the event the underlying conditions of a particular project change or more information becomes available. Respondents are encouraged to check the project website frequently and before submitting their responses.

## iii. Submission of SOQS

In response to the issuance of an RFQ, interested respondents will be required to submit an SOQ. The SOQ should be prepared in accordance with the timelines and requirements of the RFQ.

As a part of the SOQ, respondents may be required to provide information related to the structure of the respondent team, qualification and experience of the respondent, individual team members, and key personnel with developing, designing, constructing, financing, operating and/or maintaining comparable projects. The specific nature of experience, key personnel, and background sought will depend on the project as well as the delivery structure used.

Additionally, the RFQ may require submittal of certain financial information from the respondent and its affiliates. The intent of financial qualification submittal requirements is to determine whether the private entity submitting a response has sufficient financial capacity

to assume the responsibilities and obligations required to deliver the project on schedule. The HPTE, in coordination with CDOT, may require the submission of financial statements (including audited financial statements), letters of support from providers of payment, and performance security and/or disclosure of material changes in the respondent's financial position during a specified period of time or reporting period identified in the RFQ.

Prior to submitting their responses, respondents are encouraged to become familiar with the Colorado Open Records Act (CORA), C.R.S. §§ 24-72-201, et seq. provisions to ensure that documents identified as confidential financial or commercial information will not be subject to disclosure pursuant to CORA and to otherwise understand which documents may be subject to disclosure pursuant to CORA.

#### iv. Evaluation of SOQs

The RFQ documents specify the evaluation criteria and methodology used to evaluate such criteria so that proposers will know how their submissions will be evaluated. The HPTE Director and P3 Project Manager, in coordination with the P3 Project Team, will establish an RFQ review process to:

- Evaluate the SOQs submitted
- Determine and shortlist the most highly qualified respondents in accordance with the RFQ
- Shortlist the most highly qualified respondents no later than 60 days after the deadline for submission of the SOQs

A method and evaluation process for SOQs shall be developed for each project. A formal shortlist process and ranking document must be developed. The evaluation process shall be approved by the HPTE Director in coordination with the OMPD Director. A defensible SOQ evaluation process requires the approach be developed, documented, and in place before the release of the RFQ.

The evaluation of SOQs begins immediately after the submittal date identified in the RFQ. The evaluation process has two steps. The initial step determines responsiveness according to the requirements of the RFQ as a pass or fail evaluation. All SOQs receiving a "pass" proceed to the next step. All SOQs receiving a "fail" are rejected and returned. The failing respondents' only means to cure is through the protest procedure described in more detail below.

The second step of the SOQ evaluation process is a scoring or ranking step where the information in the SOQs for all responsive (pass) proposers is measured against the evaluation criteria set forth in the RFQ.

The evaluations are completed by an SOQ Evaluation Committee. This committee must contain individuals experienced in a broad array of areas of project delivery. The evaluation process should be completed with the entire committee present. This approach will provide the best opportunity for sharing of expertise and reducing the required time for outside research.

There are two established standard methods for scoring the evaluations of the SOQs. The numeric SOQ evaluation process is where proposals are given a numeric score used for

ranking and the adjectival SOQ evaluation process is where categories of acceptance are described and different adjectives are used to score the proposal. The adjectives will carry a numeric score that will be applied after the adjectival grade is given and ultimately will result in a numeric ranking of proposals. Regardless of the approach used, the entire Evaluation Committee must be brought together for training in the evaluation process.

#### v. Shortlisting of Qualified Respondents

The HPTE is responsible for reviewing, scoring, and ranking all responsive SOQs. The maximum number of proposers to be shortlisted and invited to submit a proposal in response to the RFP shall be specified in the RFQ. The minimum number shall be two firms, but is not recommended. Federal guidelines state three to five firms should be shortlisted. While the HPTE will make the final decision, it is expected that no more than four proposers will be shortlisted to advance to the RFP stage.

Upon completion of the SOQ evaluation process, the HPTE Director in coordination with the OMPD Director and the P3 Project Team will brief the HPTE Board regarding which proposers will advance to the RFP stage. Scoring of qualifications and any ranking of the SOQs will not be carried over to the evaluation of the final RFP responses. Only firms that have been shortlisted during the RFQ process will be allowed to submit a proposal in response to the RFP.

After the Board is briefed, the short-list will be posted on the HPTE internet site. The Director, or designee, will notify all respondents in writing of the short-list and invite those shortlisted proposers to submit a proposal in accordance with the RFP. Additionally, the HPTE in coordination with the Department will inform other state and federal agencies, affected localities, affected elected officials, MPOs, and stakeholders.

After HPTE announces the shortlist, the losing proposers may request a debriefing meeting with HPTE. These debriefing meetings should give the proposers and HPTE an informal setting in which to discuss the RFQ and the shortlisting process.

If after the competitive response period, the HPTE receives a single responsive submittal to its RFQ, then the HPTE will conduct an evaluation on whether to start negotiations with the proposer for the project or if the proposed procurement should be terminated. If the procurement is terminated, the HPTE will make a determination if modifications are required to the timing, scope, and nature of the project to promote greater competition. The HPTE will make a presentation of its determination to the HPTE Board and seek a resolution from the Board to advance a modified procurement. The HPTE's presentation will be at a scheduled meeting open to the public.

If there is only one shortlisted proposer, or none, HPTE may decide to meet with private industry to determine why they were not more responsive to the RFQ. From those discussions, the scope may be modified taking into account the feedback from the private sector. The HPTE may reissue the modified RFQ or re-procure the project at a later date.

The HPTE reserves the right, in its sole discretion, to cancel the RFQ, issue a new RFQ, reject any or all SOQs, seek or obtain data from any source that has the potential to improve the understanding and evaluation of the responses to the RFQ, seek and receive clarifications to an SOQ, and waive any deficiencies, irregularities, or technicalities in considering and

evaluating the SOQs. The RFQ does not commit HPTE to enter into a contract or proceed with the procurement of the project. The HPTE assumes no obligations, responsibilities, and liabilities, fiscal or otherwise, to reimburse all or part of the costs incurred by the parties responding to any RFQ. All such costs shall be borne solely by each proposer.

#### vi. Developing the RFP

Upon making the determination of shortlisted proposers, the HPTE will complete its development of the draft RFP to begin the second phase of the P3 procurement process. It will be important to keep the project team informed and clear responsibilities for the team members so each aspect of the RFP has a responsible person. Since there is a tremendous amount of overlap between the technical, legal and finance teams, each person responsible for a given section shall coordinate input from the other P3 Project Teams as necessary to complete their section of responsibility. This communication and coordination to develop the internal draft documents will allow for more efficient quality control and page turn process of the documents since all parties have had input into the internal draft. The purpose of the RFP process is to create competition among a shortlist of the most qualified proposers to create value for the public. The RFP solicits proposals from the shortlisted proposers. This process, like the RFQ process, must follow federal regulations, state statute, and the Colorado Code of Regulations. The HPTE must receive approval from FHWA to release the Final RFP.

The draft RFP should be issued as soon as practicable after the shortlisting process has been completed to assist development and definition, the RFP process may be undertaken in two steps. First, the issuance of a draft RFP to solicit formal questions from the shortlisted proposers followed by one-on-one meetings. Depending on the schedule and the amount of discussion and potential for changes in the RFP, the procurement manager can decide whether to issue subsequent drafts of the RFP or issue the final RFP. After the final RFP is issued, all changes to the RFP will need to be addressed through an addendum. The issuance of subsequent versions of the RFP should be contemplated in the original schedule and coincide with the one-on-one meetings with proposers and comment periods.

#### a. Major Components of the RFP

The RFP documents include specific requirements for the detailed proposals, as well as the selection criteria to be met. Depending on the project, the RFP documents usually include:

- Instructions to Proposers (ITP)
- P3 project agreement
- P3 project agreement schedules including technical requirements

#### b. Industry Review of the RFP

It is important to note that the RFP is developed as a draft and there is input received from industry through various mechanisms throughout the RFP phase. The interaction with Industry will allow for the exchange of information that should provide HPTE with sufficient information to finalize the RFP. It is expected that feedback from industry will lead to an RFP that will continue to maximize the competition while providing value to the state.

Formalized processes will be identified in the ITP, including dates and times, for this interaction may include:

- Pre-proposal conference – Pre-proposal conferences may be mandatory or optional as stated in the ITP and RFP. The draft ITP will identify the date, time, and location of the meeting, and state whether the meeting is mandatory. The pre-proposal conference is undertaken after the release of the draft RFP and draft ITP. It is an informal conference intended to provide information and clarity where all proposers are invited in a single setting.
- One-on-one and ATC meetings with proposers – One-on-one meetings are confidential meetings with proposers to discuss their observations and recommendations on the RFP (primarily the commercial terms of the agreement) while ATC meetings are set aside to specifically discuss ATCs. The one on one will typically be with the core groups from the project team and the proposer team that have good knowledge of the entire RFP. The goal of these meetings will be to hear out concerns from all proposers to help gauge the need to modify the documents in any way. Decisions on questions should not be made during these meetings, but rather after all proposers have been heard. If the meeting or questions result in material changes to the P3 project agreement or technical requirements an update or revision will be released to all proposers. Proposers will be afforded a reasonable amount of time to review these materials, contemplate any consequences, and consider the content for inclusion in their proposals.
- Pre-proposal submittals – The pre-proposal submittals can be used to submit specific items that warrant approval or feedback prior to the proposals being submitted. The most common pre-proposal submission is an ATC submission that will require a response of approval or rejection by HPTE in order for a proposer to submit it with their proposal. The pre-proposal submission can also be discussed in specific meetings set aside with proposers.
- Comments/questions – The HPTE will request written comments on the draft RFP at various dates specified in the ITP and may provide a specific form for questions to be submitted on. It is desirable to receive these questions at least one week in advance of any meetings where the questions will be discussed to allow the project team to prepare internally to identify the initial reaction and any clarifications that are needed. These questions can form the agenda and priorities during the one-on-one meetings.

When any of these processes are used, the ITP and RFP shall list appropriate dates, times, and locations for each.

c. Developing an ATC Process (including Alternative Configuration Concepts (ACC) and Alternative Requested Elements (ARE))

The HPTE encourages proposers to recommend ATCs that are equal or better in quality or effect (as determined by Department in coordination with the HPTE, in their sole discretion) than the technical requirements in the RFP. The purpose of the ATC process is to allow the proposers to incorporate innovation, flexibility, and time and cost savings into the design,

construction, operation, and maintenance of the P3 project, and ultimately to obtain the best value for public.

The HPTE may invite each proposer to confidential 'ATC to discuss the proposer's ATCs in further detail. In addition, the proposers may request an ATC Meeting with HPTE. The HPTE reserves the right to limit the frequency of ATC Meetings.

The purposes of the ATC Meetings are as follows:

- Give the proposers the opportunity to present and explain each ATC to the HPTE/Department and to ensure that HPTE/Department fully understands such ATC.
- Discuss the proposed deviations from the basic configuration, design criteria, construction criteria, operation, and maintenance criteria, or other technical requirements of the RFP.
- Discuss alternative approaches to the tasks included within the definition of non-separable tasks.
- Answer questions and address other issues related to ATCs.

The submission of an ATC will include a description and conceptual drawings of the configuration of the ATC or other appropriate descriptive information and an explanation of where and how the proposer would use the ATC on the project. The ATC submission will present deviations, or references to the RFP requirements with which the ATC is inconsistent, including an explanation of the nature of the deviations from the RFP requirements and a request for HPTE approval of such deviations or a determination that the ATC is already consistent with this RFP requirements. The ATC submission may also include:

- An analysis justifying the proposer's use of the ATC and why HPTE/Department should allow the deviations, if any, from the RFP requirements as well as a preliminary analysis of potential environmental impacts (including NEPA re-evaluations), community impacts (including additional public involvement), safety impacts, and maintenance and operation impacts.
- A cost and benefit analysis including a detailed breakdown of any savings that would accrue to HPTE/Department as a result of the ATC or a statement to the effect that there are no such cost savings.
- An estimate of any impact to the design and construction schedule resulting from implementing the ATC, including a description of the methods the proposer would use, as well as a schedule graphically showing how the ATC will impact the time period, or a statement to the effect that there are no such impacts. A description of any additional risks to HPTE/Department or third parties associated with implementation of the ATC.
- A description of how the ATC is, in terms of quality and performance, equal to or better than an RFP requirement.
- Any changes in operational and maintenance requirements associated with the ATC, including ease of operations or maintenance.
- Any changes in handback procedures or anticipated life an element of the project associated with the ATC.

In the event that implementation of an ATC will require governmental approvals, the proposer will have full responsibility for obtaining such approvals. If any required approval is

not subsequently granted, with the result that the proposer must change its approach to meet the original requirements of the P3 project agreement and technical requirements, the proposer will not be eligible for an HPTE/Department approval for such ATC that extends the project schedule, nor will it be entitled to any other adjustment of its obligations or any form of compensation.

The RFP will spell out specific conditions that may warrant HPTE issuing an addendum to the technical requirements as a result of an ATC submission. These conditions should be made clear to proposers prior to their ATC submissions. Typical items that would dictate an addendum include:

- Uncovering an error, omission or ambiguity in the RFP
- Acceptance of significant design changes such as typical sections, number of lanes, design speed
- Incorporation of changes previously contemplated by HPTE/CDOT

If HPTE elects to issue an addendum as a result of the ATC submission they will need to evaluate the timing of the RFP addendum with the response to the specific ATC accordingly.

The HPTE/Department intends to review the ATCs and provide verbal comments, as determined in HPTE/Department's sole discretion, to each proposer during the ATC Meetings. Verbal comments will not be considered HPTE/Department approval or denial of the proposed ATC.

The HPTE will respond to ATC submissions by a date specified and listed in the RFP. The HPTE's written response with respect to ATCs will be limited to one of the following statements:

- HPTE approval is granted for the ATC
- HPTE approval is denied for the ATC
- Identification of any conditions that must be met to approve the ATC
- The ATC is already allowed within the terms of the contract, and is therefore not applicable as an ATC

The proposer may incorporate zero, one, or more approved ATCs as part of its proposal. If HPTE responded to an ATC stating that certain conditions must be met for HPTE approval, the proposer may incorporate such ATC conditions into the proposal at its own risk. If the proposer incorporates an ATC with conditions into its proposal, the proposer will be responsible to comply with these ATC conditions if awarded the P3 project agreement. Copies of HPTE approval letters for each ATC incorporated in the proposal must be included in the proposal.

#### d. Final RFP

The release of the final RFP, for risk purposes, is based on prior receipt of the signed environmental/NEPA decision document. The final RFP is created by compiling the information and input gathered during all previous phases. It will reflect scope of work changes and clarification resulting from the one-on-one meeting process and comments received subsequent to the draft RFP and draft ITP release. Refinements in scope and price of the project do not invalidate the process. It should be noted that FHWA approval is

typically required prior to release of the final RFP and any subsequent amendments to the RFP. It will be important to keep FHWA informed throughout the development of the RFP so approvals will be known ahead of time and there is no impact to schedules waiting for approvals or issues with obtaining approvals.

Once consideration has been given to feedback from the shortlisted proposers and other appropriate parties, the HPTe will issue the final RFP documents to shortlisted proposers. The final ITP accompanies the final RFP, and also reflects scope of work changes and clarification resulting from the draft RFP release. The final ITP will identify the anticipated notice to proceed date and a procurement schedule by which proposers shall prepare and submit their proposals.

If after the competitive response period, HPTe receives a single responsive submittal to its RFP, HPTe will conduct a full value assessment of the proposal received to determine if the responsive submittal brings value to the public. Once the value assessment has been completed, the HPTe Director, in coordination with the OMPD Director and P3 Project Team, will present the proposal and value assessment to the HPTe Board, which will determine whether to accept the responsive proposal or terminate the procurement. The HPTe Director's presentation to the Board will be at a scheduled meeting open to the public.

Decisions related award of a stipend for the development and submittal of a proposal by shortlisted proposers will be approved by the HPTe Director in coordination with the Department on a project-specific basis. The requirements for and amount of the stipend will be included in the final RFP.

#### *1) Proposal Submissions*

In response to the issuance of the final RFP documents, shortlisted proposers will be invited to submit a detailed proposal containing at least two basic components, a technical proposal and a financial proposal, in accordance with the requirements stated in the RFP documents. The RFP may require proposers to submit information different from or in addition to such information referenced in this P3 Manual.

Additionally, the extent and type of information requested may vary depending upon the complexity of the P3 project; however, the information and supporting documents provided should be sufficient to allow the HPTe to determine the most suitable proposer for delivering the P3 project.

#### *2) Technical Proposal*

The HPTe requires the proposer to provide a technical proposal addressing the project's scope of work and the RFP technical requirements. Required information may include design elements and approach, construction approach, operations approach, maintenance approach, approach for maintenance of traffic during construction, project management approach, schedule, phasing, quality control and assurance approach, environmental requirements, communication and public involvement approach, and other information as appropriate for the project's implementation.

The intent of the technical proposal is to provide assurance of the following:

- That the selected proposer has a sufficient understanding of the project and/or desired service

- An approach that fosters innovation and creativity
- An approach that meets technical and contractual requirements
- The ability to deliver the project and/or desired service in accordance with technical and contractual requirements stated in the RFP documents in a timely and efficient manner

If compliance with NEPA is required, the technical proposal must be consistent with any existing NEPA approvals or additional NEPA documentation may be required.

*a. Financial Proposal*

The content requirements of the financial proposal will vary with the type of P3 delivery structure and the nature of a particular P3 project. If the RFP and project scope requires the proposer to finance any part of the project, the RFP will require that the financial proposal include a financial plan and financial model. Depending upon the nature of the project, the project delivery method, and current market conditions, the requirements for the contents and level of detail of the financial plan could be substantially different. The financial proposal may require that the proposer update the financial qualification information provided with the SOQ. The RFP documents will include the financial plan requirements.

The HPTe will seek, where financially feasible and the best value for the state, proposals that minimize the use of public funds. If a proposal including public or private debt is submitted, then the RFP will require that the proposal identify the amount of public funds required and a plan for complying with any requirements associated with using public funds.

The proposal will also include a requirement for “bid or proposal security” that is generally for between five-percent and ten-percent of the total value of the capital cost of the proposal, and can generally be provided in the form of a bond or letter of credit. In addition, the proposer must generally hold their proposal pricing for a minimum period of 180 days or longer depending on the requirements of the RFP. The bid/proposal security is generally subject to forfeit if the proposer is selected and fails to reach commercial and financial close on the project within the time period established in the RFP.

*3) Proposal Evaluation Criteria*

The evaluation methodology for proposals will depend largely on the nature of the project, the scope of work, and details set forth in the RFP documents. The HPTe generally uses best value as the basis for award. However, the HPTe reserves the right to utilize other basis for award, including low bid, lowest lifecycle cost, lowest public subsidy, and any other basis that is appropriate and deemed by the HPTe in coordination with CDOT to be in the best interests of the project and the state of Colorado.

The specific criteria and methodology for evaluating proposals will be included in the RFP documents of the specific P3 procurement and will vary depending on the scope and complexity of the project and project delivery approach. The RFP evaluation criteria will allow the HPTe to clearly communicate the project objectives and priorities to the private sector.

#### 4) *Evaluation of Proposals*

Selection of the preferred proposer is an important decision, and many factors must be evaluated in determining the most appropriate and qualified proposer for the P3 project. Prior to receiving proposals, the HPTe will establish a technical and financial review process for each project. The HPTe Director, in coordination with the OMPD Director and P3 Project Team, will form a proposal evaluation team (which may operate through sub-teams, and will be subject to appropriate governance and oversight) to review the proposals and provide a selection recommendation to HPTe's Board. The nature of the elements being evaluated, and the evaluator's qualifications shall be considered when selecting members of the proposal evaluation team.

Upon receipt of proposals, the HPTe will commence the evaluation and selection process. The evaluation process will include an initial review of each part of a proposal to verify responsiveness and a "pass-fail" evaluation in accordance with requirements of the RFP. Each proposal that has (a) been deemed responsive and (b) achieved a "pass" for the "pass-fail" evaluation will then be ranked based on the technical and financial evaluation criteria and weightings set out in the RFP. Typically the project team will complete the evaluation of the technical portion of the proposal prior to opening and evaluating the financial portion of the proposal. The determination of apparent best value proposal shall be based on the highest total proposal score considering the weighing of the technical and financial portion of the proposal.

The HPTe may ask written questions of the proposers, seek written clarifications, and conduct discussions on the proposals during the evaluation and selection process. The HPTe may request proposers to attend an oral interview to explore any matter in its proposal that HPTe considers to be more conveniently clarified through an oral interview than through written requests for clarification.

Evaluations and rankings of proposals are subject to the sole discretion of HPTe and it may reject all proposals or advertise for new proposals if, in its judgment, such action is in the best interests of the public.

There are two established standard methods for evaluating proposals:

- The Numeric Proposal Evaluation process where proposals are given a numeric score used for ranking
- The Adjectival Proposal Evaluation process where categories of acceptance are described and used for rank.

Regardless of the approach used, the entire Evaluation Board must be brought together for training in the evaluation process.

#### 5) *Formal Discussions*

Usually HPTe intends to evaluate proposals and award P3 contracts without the use such formal discussions, unless the HPTe determines that formal discussions and BAFOs are needed to provide the best value. When used, formal discussions will be held after all proposals have been received and the evaluation process is underway.

Formal meetings are undertaken with complete confidentiality. The HPTe shall not disclose information or details of competing proposals, or furnish information about another

proposer's technical or financial approach to the project. The HPTE shall not engage in auction techniques during such formal discussions. "Auction techniques" include: (a) indicating to a proposer a cost or price it must meet to obtain further consideration; (b) advising a proposer of its price standing relative to another proposer; or (c) otherwise furnishing information about another proposer's prices.

Formal discussions may be considered for any of the following reasons:

- Promote understanding of the HPTE's RFP requirements and of the proposers proposal
- Clarify initial proposals, identify deficiencies in initial proposals, or resolve ambiguities or mistakes in initial proposals
- Ensure conformance of proposals with the RFP requirements
- Facilitate the development of a P3 agreement that will be most advantageous to HPTE taking into consideration price and the other evaluation factors set forth in the RFP

If the meetings or responses to inquiries result in material changes to the scope of work or otherwise affect the manner or form of the response, all proposers known to be participating will be notified in writing of any such change. When such written notice is given, proposers will be afforded a reasonable amount of time to review these materials, contemplate any consequences, and consider the content for inclusion in their proposals.

#### 6) *Best and Final Offer*

After evaluation of the proposals and if formal discussions are held, HPTE reserves the right to request that proposers submit proposal revisions – also known as a BAFO. Typically, only those proposers that are responsive and/or fall within a competitive range will be permitted to submit BAFOs. The RFP revision or BAFO is intended to provide proposers an opportunity to revise their proposals (both technical and financial) in light of the formal discussions and the BAFO request issued by the HPTE.

The BAFO request shall include:

- Notice that formal discussions are concluded
- Notice that the BAFO is the opportunity to submit a best and final offer
- Notice of a common cut-off date and time that allows a reasonable opportunity for submission of written best and final offers
- Notice that if any modification is submitted, it shall be received by the date and time specified and is subject to the late submissions, modifications, and withdrawals of proposals provision of the solicitation

Proposers will be given a reasonable opportunity to submit, in writing, revised technical or price proposals that may result from the formal discussions.

After receipt of the BAFOs the HPTE will not reopen formal discussions and the BAFO will be the basis for any award. The BAFOs will be evaluated as stated in the RFP, based on the consideration of the revised technical and financial proposals. The proposal evaluation process will be repeated by the HPTE for the proposal revisions/BAFOs.

It is important to note that BAFOs are not mandatory and may not be useful or appropriate for a given project. If BAFO is to be used, it will be specifically stated in the RFP

#### 7) *Value for Money Update*

Prior to selection, the HPTE Director and P3 Project Manager will provide an update of the initial Value for Money analysis based on the proposal ranked as the “best value proposal”. The best value proposal will form the P3 approach values for the Value for Money model update. The Value for Money will also be updated for key changes in the project scope, cost estimates and related information for the Public Comparator. The updated Value for Money report will be included as part of the evaluation report to the HPTE Board. For the selection to move forward, the Value for Money analysis must support that the proposal ranked as the best value represent the overall best value for the State in comparison to the Public Comparator.

#### vii. Selection and Award

The HPTE may initiate limited negotiations or recommend execution of the P3 agreement without negotiations. Negotiations (if any) are limited to those issues that HPTE determines are appropriate to include in the negotiations. The HPTE will identify and set out in writing the issues to be negotiated to the preferred proposer. The preferred proposer will be deemed not to have negotiated in good faith if it fails to attend and actively participate in reasonably scheduled negotiation meetings with HPTE or insists upon terms or conditions that are (a) materially inconsistent with the preferred proposer's proposal or (b) outside the scope of the issues identified in writing by HPTE as included in the negotiation. In addition, the proposers may be required to forfeit their bid/proposal security.

If HPTE fails to reach an agreement with the proposer initially determined to have provided the apparent best value proposal, HPTE will formally end negotiations with that proposer and take action as HPTE determines appropriate. Such action may include:

- Rejection of all proposals
- Re-calculation of the best value proposal based on the remaining proposers (excluding the proposer initially determined to have provided the apparent best value proposal) and, based on this re-calculation, proceed to negotiations with the proposer that submitted the most highly ranked proposal to finalize a P3 agreement with that proposer

If the second option is selected, the next most highly ranked proposal will then be considered the apparent best value proposal and the proposer that submitted such proposal will be considered the preferred proposer provided this option is supported by a revised updated Value for Money analysis. If negotiations fail with the second ranked proposer, HPTE may formally terminate negotiations with that proposer and proceed with negotiations with the third ranked proposer.

Upon completion of the evaluations and successful negotiations (if any), the evaluation team will recommend to the HPTE's Board that HPTE enter into a P3 project agreement with the preferred proposer. The HPTE Board will take into account the evaluation criteria and selection recommendation of the HPTE Director when selecting a preferred proposer. Once approved by the Board, HPTE will notify all proposers of the selection. The HPTE will inform

the preferred proposer that it has been selected by written notice and initiate the finalization of the terms of the P3 agreement. At the same time, the HPTe will send a written notice to all other unsuccessful proposers to award the project to the preferred proposer.

The HPTe will deliver notice to the preferred proposer and the preferred proposer will proceed to execute and deliver the P3 agreement.

#### viii. Changes Prior to Execution of the P3 Project Agreement

If HPTe becomes aware any material adverse change in the financial condition of any member of a proposer's team whose financial statements were provided with the proposal, or of the proposed lender(s), HPTe will consider whether such change would have resulted in the preferred proposer receiving a "fail." Should the preferred proposer fail to take action within a time specified by HPTe to remedy this adverse change, HPTe may declare the proposer in breach and select an alternative preferred proposer to proceed with the project.

The selected proposer is required to seek HPTe approval if it seeks to change the composition of its team or the percentage of equity participation of one or more equity members. The HPTe will consider requests by the selected proposer to make such changes, based only on unusual circumstances beyond the proposer's control, and will approve or reject them as it deems appropriate in its sole discretion. If any unapproved change is implemented after the approval date for such changes, HPTe will have the right to declare the proposer in breach and select an alternative preferred proposer for the project.

#### ix. Stipend Payment

The HPTe may offer to pay a stipend payment to each shortlisted proposer that provides a responsive and "pass" but unsuccessful proposal, but is not selected as the preferred proposer. A stipend payment is conditioned upon the proposer providing an executed stipend agreement and being fully compliant with the conditions established in such agreement for payment of the stipend payment. Acceptance of the stipend payment entitles HPTe to use any and all concepts, ideas, ATCs, and information contained in the proposals or in connection with a subsequent procurement for the project or any other project, without any obligation to pay any additional compensation, consideration, or value to the unsuccessful proposers.

Under no circumstances will HPTe be liable for or reimburse any costs incurred by any proposer or any member of a proposer's team.

#### x. Protest Procedures

In the competitive environment of the procurement, and in accordance with the requirements of the RFQ or RFP, one or more of the proposers may formally protest the HPTe's selection of the shortlisted proposers, approval of changes in a proposer's organization, or decisions regarding responsiveness, best value evaluation rankings, selection of the preferred proposer, or award of the contract. These protests must be hand delivered to the HPTe's contact person no later than 14 calendar days after the public announcement by HPTe. The RFP may also specify other contacts and CDOT or HPTe who are to receive the formal protest. The protesting proposer is responsible for obtaining proof

of delivery. The protester shall concurrently file a notice of protest with the other proposers whose addresses may be obtained from the HPTE's contact person. The notice of protest shall state the grounds of the protest.

Unless the Protest Review Committee decides otherwise in its discretion, no hearing will be held on the protest and the Protest Review Committee or its designees shall decide it on the basis of the written submissions received from the protesting parties. The Protest Review Committee or its designees may, in its discretion, discuss the protest with the protesting parties, other proposers, procuring authorities' advisors, and other state entities or their representatives.

Any additional information regarding the protest requested from the protesting parties by the Protest Review Committee or its designees shall be submitted within the time period requested in order to expedite resolution of the protest. If any party fails to expeditiously comply with any request for information, the protest may be resolved without such information.

## E. Commercial Close

Upon award and the protest period expiring, HPTE and the preferred proposer will finalize the P3 project agreement. Typically there is a designated time period to accomplish commercial close after project award. The draft P3 project agreement is normally updated to reconcile any minor issues in the draft P3 project agreement and documents and the final proposal. Once all parties are in agreement, the HPTE Director will recommend the P3 project agreement for approval by the HPTE Board. Upon approval, the P3 project agreement will be provided to the awarded proposer for execution and returned to the HPTE. The P3 project agreement will be executed by the HPTE and the State Controller after verification to ensure there were no material changes. At this point the awarded proposer becomes the private partner and moves to the financial close process.

## F. Financial Close

The private partner has a financial team as part of their proposal. The private partner and their financial team take the executed P3 project agreement and, working with the financial markets, finalize the finance plan that fully finances the delivery of the P3 project. The RFP includes a time period for the private partner to reach financial close. The private partner keeps HPTE "up-to-date" on their progress during this time. The investors and lenders for the private partner may request additional information and also that certain documents such as the P3 project agreement and/or supporting documents be updated or amended to meet their financial requirements. The private partner will review the suggested changes with HPTE and the P3 Project Team. Minor changes can generally be accommodated and will be incorporated into an amendment to the P3 project agreement and/or supporting documents.

### i. Requests for Material Changes

In select cases the investors or lenders may request a material change to the P3 project agreement or supporting documents. HPTE will evaluate the requested material change in three steps as shown below.

- Would the material change result in the private partner's proposal being judged as "fail" under the pass/fail criterion of the RFP. If so, the HPTE will reject the material change.
- Would the material change result in the private partner's proposal being ranked lower than another proposer's ranking? If so, the HPTE will reject the material change.
- If the material change passes the two prior evaluations then HPTE in its sole discretion will evaluate and make a decision about whether the material change is in the State's best interest and based on this assessment make a final decision on accepting or rejecting the material changes to the documents and notify the private partner of the final decision. In select cases, the material change may be of such import that subsequent HPTE Board approval is required for the change.

### ii. Failure to Reach Financial Close

It is within the HPTE's sole discretion to allow extensions of time for the private partner to reach financial close provided the HPTE has evidence that significant progress is being made by the private partner to reach financial close and the additional time would result in financial close in the best interest of the State. If time has expired and the private partner cannot reach financial close within the time period set in the RFP, HPTE may require that the private partner forfeit their bid/proposal security.

### iii. HPTE Acting as Conduit Bond Issuer

As discussed in Chapter 2 in some cases the private partner may request that HPTE serve as a conduit bond issuer on behalf of the P3 Project. It is in the sole discretion of the HPTE Board to agree to serve as a conduit bond issuer. If the Board agrees to do so the requirements of Chapter 2, Section P shall be met in serving as conduit bond issuer.

### iv. Final Value for Money

After all documents are agreed to, including any amendments to the P3 project agreement and supporting documents, and the financial model has been updated for financial close, HPTE will provide a final Value for Money analysis based on the financial model as of financial close to ensure that the P3 Project is the best value for the State prior to financial close. The final Value for Money report will form part of the due diligence documents provided to the HPTE Board supporting moving to financial close on the P3 Project.

### v. Execution of Financial Close

After completion of appropriate due diligence the private partner will reach financial close. HPTE will have a role in this to the extent the P3 project agreement and supporting documents must be amended or HPTE serves as a conduit bond issuer. Otherwise the

process is the responsibility of the private partner. Once financial close is completed the private partner will provide HPTE a complete transcript of the closing documents.

At this point the P3 Project moves to the Implementation stage as discussed in Chapter 5.

# V. Project Implementation and Operations Phases

## A. Organizational Chart/Decision-Making Authority

As the project moves through implementation and into operations, the project team needs to have clear roles and responsibilities. Although much of the project will be relatively similar to a typical major design-build project and follow very similar processes, the project team needs to understand how decisions and directions affect the long-term P3 project agreement. Therefore, the decision making and communications will require CDOT to be the day-to-day lead on the project for both the implementation and operations phases of the project, and communicate with HPTE on a regular basis. HPTE will act as the contract manager. Figure 9 on the following page illustrates the organization of the offices with the general responsibilities that will need to be assigned for the project. As mentioned previously the decision making process should include an assessment/consideration of how all decisions impact the long-term P3 project agreement. Both HPTE and CDOT will jointly develop the management plan for a specific project and include the following sections to help ensure the appropriate personnel are involved in decision-making during implementation:

- Defined regular meetings/teleconferences with the HPTE/CDOT to cover:
  - Project status
  - Project issues
  - Public outreach
  - Claims and intent to claim/change orders/supplemental agreements
  - Non-compliance status
  - Project look-ahead
    - Potential issues/decisions needed
    - Opportunities for incorporation of lessons learned/best practices from other projects/states
- Defined decision-making matrix to categorize decisions, including the following approval/concurrence options:
  - CDOT approval/HPTE concurrence
  - CDOT approval
  - HPTE approval/CDOT concurrence
  - HPTE approval
- Contract Status
  - Payment to/from private partner to date
  - Pending Payments to/from the private partner
  - Non-compliance status
  - Contract performance measures
- Owner Obligations
  - Review of upcoming owner deliverables/reporting
  - Owner performance and resources

Each entity will determine at what level within their organization they need to escalate a specific decision or concurrence. The intent of this section is to recognize the need for a joint effort on some decisions, while allowing the flexibility for each entity to make decisions that are solely their responsibility in a timely fashion. Although not every needed decision will have a clear path for decision making, developing a process allows for all decisions and issues to get identified early that will allow for proper and sound decision making by the team. This section will discuss and provide examples of decision-making considerations to help illustrate and prepare the team to establish a clear process during implementation and operations.

### Project Operations & Implementation Phase

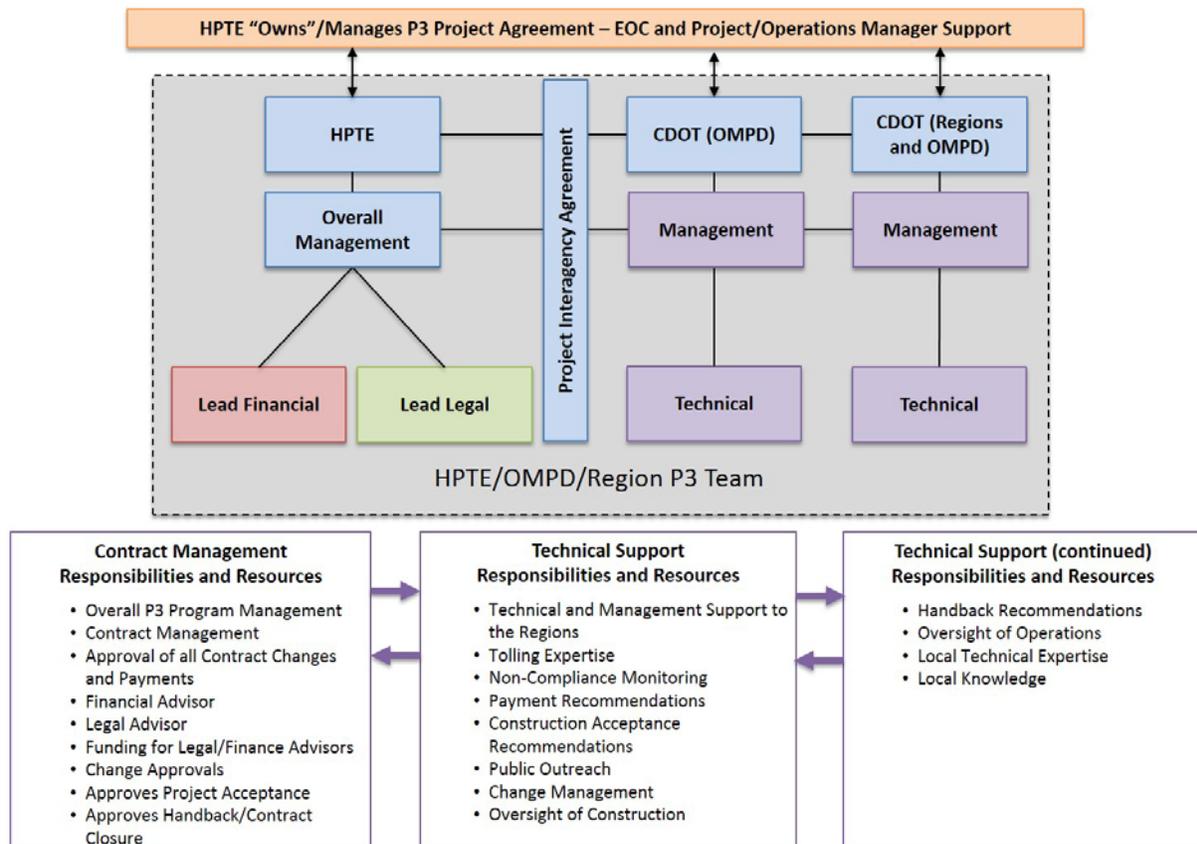


Figure 9 - Team Structure, Roles, and Responsibilities – Project Implementation and Operations Phase

### B. Program Organization, Roles, and Responsibilities

An Executive Oversight Committee (EOC) will be established, similar the committee established during procurement, for the project that provides overall policy direction, dispute resolution, and guidance to the project delivery team. The primary functions of the EOC are to:

- Make policy decisions for the project

- Ensure adequate resources are provide from each respective organization to support the project
- Provide support to the project team in relation to regional and national stakeholders
- Monitor the progress of the project

The member organizations of the EOC will have the following roles and responsibilities on the project:

- HPTe – Serve as the lead contract manager for the P3 project agreement, assisting the CDOT Region on any P3 project agreement questions and interactions with the private partner. HPTe also holds final approval authority over the contract and will typically provide the legal and financial interpretations of the contract and proposed contract changes.
- CDOT Region – Deliver and manage the design and construction work, right-of-way acquisition, intergovernmental agreements, and other project- related agreements with utilities and other agencies. CDOT will also be responsible for the day to day management during the Operations Phase of the contract.
- OMPD – Serve as consultant to HPTe and the CDOT Region on technical provisions in the P3 project agreement. OMPD will provide major project management expertise as well as tolling expertise.
- FHWA Colorado Division Office – Oversee the project, consistent with the Project Stewardship and Oversight Agreement, quality assurance reviews, and process claims and P3 project agreement modification orders per the Project Stewardship and oversight Agreement
- Other key funding partners – HPTe will coordinate with other funding partners in accordance with intergovernmental agreements for the project.

## C. Project Management Team, Roles and Responsibilities

The below roles and responsibilities cover both the implementation and the operations period. The general structure and reporting of the team will be similar in both periods but some positions will only exist during implementation like the design and construction mangers. These positions can be re-established in the future during major project renewals depending on how the concessionaire plans their work. It should also be noted that the personnel that fill all positions should be re-evaluated as the project transitions from implementation to operations and the efforts and risks are reduced.

The **project manager** reports to the EOC, is the senior point of contact for the project, and is responsible for:

- Overall responsibility and day to day decisions making for implementation period and most likely full-time in the project office, ensuring the project is on time and on budget
- Overall responsibility for the oversight of the Concessionaire’s Operations during the operating period and planned renewal work working at a remote location and available as needed by the Operations Manager.
- Serving as the senior point of contact for the project

- Ensuring terms and conditions of the P3 project agreement are met by HPTE and the private partner
- Managing the contractual and financial matters
- Overseeing administration of the federal funding

It is anticipated that the P3 Project Manager will transition to become the **contract manager** and will have ultimate responsibility for interpretation of the contract utilizing legal and finance advisors as necessary. They will provide regular guidance and direction for all contract matters to the day to day managers in the field for both implementation and operations. They will decide what direction and decisions must be escalated to the Project Director and will, along with the day to day managers brief the Project Director on the project issues and status.

The project manager is responsible for assuring all Equal Employment Opportunity requirements of the P3 project agreement are fulfilled.

The **design managers** report directly to the project manager. Design Managers from both CDOT and other project partners are charged with the overall administration of the design portion of the project and ensuring the design conforms to the terms of the P3 project agreement. They are responsible for ensuring a smooth cooperative relationship between the private partner, CDOT, and other project partners, and impacted local jurisdictions in review and approvals necessary as stipulated in the P3 project agreement. They also coordinate with the Construction Manager to resolve design-related issues that are brought up during construction.

The **construction managers** report directly to the project director. Construction managers from both CDOT and other project partners are charged with the overall administration of the construction portion of the project. They evaluate, process, and approve change orders, disputes, and claims. The Construction Managers also coordinate with the Design Managers before and during construction so that the project is built per the P3 project agreement and to the highest quality possible.

The project manager for the **operations stage** will be termed the operations manager to oversee the contractual obligations during the operating period. They will assign resources for any independent inspections or assessments of the private partner's performance and make recommendations to the contract manager for any non-compliance assessments as well as recommendations on any contract changes whether if they will be owner directed changes, private partner requested or potential claim oriented changes. The Operations Manager will be responsible for regular reporting on the project as well as briefings to the Contract Manager to keep them updated and informed on the status and issues on the project. The Operations Manager will also be responsible to have an Operations Management Plan developed, as describe in the Operations Transition section of this manual, in place that will complement the Concessionaire's Maintenance and Operations Management Plan and will provide the necessary guidance and information to manage the project on a day to day basis.

The **Project Public Information (PI) Liaison** coordinates with the project manager during the implementation and operations stage and is responsible for coordinating all public

outreach efforts by CDOT, funding partners and the private partner during the life of the project.

Other project partners provide staff to support CDOT in the management of the project per the terms of Intergovernmental agreements.

## D. Technical Support

Throughout design, construction and operations, the project will receive technical support from experienced CDOT engineers and construction managers and their consultants, experts from other agencies, experts from CDOT's specialty units such as environmental, traffic, right-of-way, and from FHWA. The management of technical support will be handled through the day to day managers during the given phase of the project.

## E. Project and Document Controls

The private partner will use data systems, standards, and procedures compatible with those employed by the HPTE/CDOT and implement any new operating practices required as a result of HPTE/CDOT's amendments to any such systems, standards, and procedures. Any software interface must be secure so that only authorized users have access.

The private partner will:

- Provide a secure location for any interface as may be provided by HPTE/CDOT, such that only authorized users have access and that it is protected from loss, theft, damage, unauthorized, or malicious use.
- Use appropriate standards and procedures, and train private partner personnel to operate any HPTE/CDOT data management system the HPTE/CDOT may require in connection with the project.
- Provide a mechanism for the electronic transfer of meta data along with the associated portable document format (PDF) images for uploading into an Electronic Document Management System (EDMS) employed by HPTE/CDOT.
- To allow for disaster recovery and additional security, the private partner will back-up all project-related documents on a nightly basis and store all project-related documents in a secure off-site area on a weekly basis. The private partner will provide HPTE/CDOT access to their document control database as deemed necessary by HPTE.

The HPTE has successfully used the EDMS system Aconex on other projects.

HPTE/CDOT will:

- Assess how project files will be stored and organized, and will further consider:
  - Typical Project Development information that would have started ahead of the project being designated as a P3.
  - Organization and tracking of information being provided to proposers during procurement
  - Organization and location of information that is submitted by proposers including the team's evaluation of proposals, recommendations and selection of best value proposals.

- o Location and responsibilities for housing any confidential information
  - During procurement
  - During construction
  - During operations
- Access protocols for project information
- Retention protocols for project information
- Archiving protocols for project information
- Responsibilities for project and document controls

## F. Document Retention

The private partner will establish and maintain an EDMS to store, catalog, and retrieve all documents. Unless otherwise directed by HPTE, record retention will comply with the requirements of the CDOT and be provided to HPTE at the time of expiration or earlier termination of the agreement.

## G. Correspondence and Delivery

The private partner must use the EDMS web-based collaboration system to communicate all formal matters with the HPTE/CDOT and other consultants and subconsultants in relation to the project and its execution. The private partner will register and transmit all drawings and documents and all amendment to drawings and documents for the project on the EDMS web-based collaboration system.

## H. Serving Notices

A notice, consent, information, or request that must or may be given or made to a party under the agreement must be delivered to that party using both the web-based collaboration system and electronic mail.

## I. Project Handoff Meetings

It is recommended that an official hand off meeting occur to recognize the transfer of day to day responsibilities from the procurement team to the implementation team, and from the implementation team to the operations team. These meetings can serve as a platform to confirm the communication and documentation protocols and establish regular meeting and reporting schedules and responsibilities required for the particular phase of the project. The meetings can also serve as an opportunity to educate any members of the implementation or operations team on any specific contract requirements/obligations that management would like to highlight. It is recommended to get the implementation as well as the operations team members involved prior to the start of their respective phases to help ensure a smooth handoff/transition and overall acceptance of the work and responsibilities at these meetings.

## J. HPTE/CDOT Monitoring, Payments and Reporting

There will be several aspects of the project that require monitoring and reporting for different reasons and purposes. The monitoring and reporting of certain items will most likely

be needed to satisfy many stakeholders including, FHWA, project supporters (including funding sources), the general public, other projects looking for lessons learned, and third parties including permitting agencies.

The HPTE and CDOT will work closely to incorporate these items into the project's implementation and operations management plan clearly stating the deliverables and the responsible party for each item. Each project will be unique and HPTE and CDOT may consider utilizing facilitated workshops to help develop a monitoring and reporting plan that will address everyone's needs in an efficient and logical manner. These workshops could be part of a risk analysis mentioned earlier in the manual that will allow the team to have a risk-based approach to their management structure and activities.

It is important to extract all of the owner obligations from the P3 project agreement and incorporate into the appropriate management plan, as well as other agreements for the project, and assign the appropriate personnel/office/position that will be responsible for each obligation. In some cases the team may develop a specific process to address specific obligations that may include both HPTE and CDOT participation. The team can also summarize the private partner obligations and assess and develop specific processes of how and who will monitor these obligations and the actions and responsibilities if these obligations are not met.

This process will identify many of the items that should be considered for the management plan as well as provide some guidance to help the team develop the roles and responsibilities for these items. A critical item that will require both HPTE and CDOT to work closely on will be all items requiring some form of payment or receipt of payment.

#### i. Milestone/Progress Payments to Private Partner

The HPTE/CDOT may utilize milestone or progress payments to the private partner for various reasons including:

- A public subsidy (payment(s) to the private partner) may be required to make the project financially feasible. These payments to the private partner will offset debt and reduce the overall finance costs of the project.
- Incentivize or prioritize certain project obligations.
- Incentivize meeting certain schedule commitments.
- Potentially pay for specific project feature(s) that the funding (payment) was intended for. An example could be a municipality that requested a pedestrian bridge be constructed with the project with set aside funding.
- Also, availability type payments during the operations phase.

During the Procurement Phase HPTE and CDOT will have worked closely to develop the sizing of payments as well as the timing of the payments, and what will be required of the concession team to receive or authorize these payments. The sizing/timing of the payments will need to be clear in the P3 project agreement and achieve both the goal of injecting the public subsidy but also assuring HPTE/CDOT that they are receiving value that is equal to or greater than these payments prior to authorizing.

Since CDOT will be responsible for the overall implementation of the project, they will need to be the lead in tracking and reporting of any payments that will be due to the private

partner. They will work closely with HPTE to incorporate the specific requirements and expectations for all activities leading up to milestone achievement. CDOT will have an obligation to HPTE to provide updates and status of these milestones as well as recommendations for approval or rejection regarding private partner invoices for such payments.

The requirements (obligations) and expectations that are developed should be shared early with the private partner. Reviewing the expectations in conjunction with the P3 project agreement language will help confirm clear understanding of these requirements between all parties and help avoid untimely disagreements regarding milestone achievements and appropriate payments. The example below helps illustrate the need for defining expectations as part of the development of clear milestone/payment requirements, and the benefits of following up on these items as part of the development of the team's implementation management plan.

Example:

An owner has incentivized an opening a new ramp (traffic movement) in an accelerated fashion and incorporated a milestone payment for "Completion of the new ramp with it opened to traffic in its final configuration."

Although this may sound like a straight forward requirement, the below items are left unclear in the contract:

- Will the ramp be required to remain open without closures for the duration of the P3 project agreement?
- Does the final surface course need to be in place?
- Does the final striping need to be in place?
- Does the lighting need to be installed and functional?
- Do the full shoulders need to be available?

By developing a set of requirements and expectations needed to accomplish the milestone, any disagreements can be identified early and worked out in advance and can be tracked, reported on, and discussed by the team without any misunderstandings. This will allow the project team to have a clear focus on the tasks needed to achieve any milestones as well as provide the public information on milestones that will set the appropriate expectations when achieved. It is suggested that this exercise be done in the development of the procurement documents to the greatest extent possible and to confirm the information as part of the implementation management planning.

If HPTE/CDOT elect to make progress payments during construction they will clearly define what will be required to review and process these progress payments for payment.

Considerations shall be made for:

- What percent of work must be accomplished prior to allowing a progress payment?
- Will the progress payment cover activities that are not 'in the ground' work? Will they cover mobilization, design, planning, management, financial advisors?
- What percentage of effort versus progress payments is desirable?
- What effort will it take to monitor the progress for payments?
- What are the potential public perceptions when making progress payments?

## ii. HPTE/CDOT Monitoring Requirements

HPTE and CDOT will work together to develop the monitoring requirements as part of the implementation and operations management plans. There will be specific monitoring and reporting requirements as part of any agreements that either CDOT or HPTE has made as part of the development of the project. In addition both CDOT and HPTE may want to monitor other items that may not be a specific requirement as part of the executed agreements for the project. These could be items that will help manage HPTE/CDOT's risks on the project or help provide insight to the performance and lessons learned that can be gained on the project. It is suggested that CDOT/HPTE utilize a risk-based approach to help develop and prioritize their monitoring plan so resources can be planned in the most efficient way to meet the goals of the project and protect HPTE/CDOT. The below items are meant to be a starting point for consideration of items that could be included in the project's monitoring portion of both the applicable implantation and operations management plans:

- FHWA reporting requirements (financial, traffic, or other)
- Traffic performance
- Customer service
- Milestone status/payments
- Submittals and review times
- Utility relocations
- Right-of-way acquisitions
- Permitting status
- Long-term asset construction (elements being constructed that will outlive the term)
- Operations and/or maintenance performance during implementation
- Operations and maintenance performance during operations
- Material or other testing audits
- Certifications
- DBE goals
- Private partner performance (non-compliance, payment adjustments)
- Owner performance(owner obligations)
- Availability of the roadway(s) as applicable
- Any relief or compensation events
- Other

It is recommended that regular meetings are scheduled (potentially quarterly) to reassess the monitoring aspects of the implementation and operations plans during the respective periods. This will allow both CDOT and HPTE to ensure priorities and staffing are still appropriate from the previous update and if not, have the flexibility to adjust the monitoring to best suit the project and meet both HPTE and CDOT goals.

## iii. Non-Compliance Monitoring Requirements and Payment Adjustments

When the Project Team identifies non-compliance events in the field, they shall notify the HPTE of the event by summarizing:

- Description of the event
- How the event was identified (private partner reported – self-reported – or other)
- The specific P3 project agreement reference that the private partner failed to comply with
- The number of non-compliance points and/or financial adjustment(s) that can be assessed per P3 project agreement for the specific event
- Recommendation of the project office with supporting information
- Timing requirements for owner action/decision on the non-compliance event (may coincide with private partner, notice, or invoice approvals)

HPTE, upon notification and receipt of the non-compliance information/package, will assess the need for a meeting/teleconference with the project office or if they are able to provide concurrence of the recommendation. The HPTE shall track and document both the non-compliance points and financial adjustments that could have been assessed as well as what actually gets assessed, and look for trends and potentially lessons learned that should be captured and applied to future projects or adjustments to the current project. This tracking document should be incorporated and updated as necessary into the lessons learned information described in section M).

#### iv. Claims Assessment and Processing

As with the non-compliance reporting, the project office shall provide the HPTE and FHWA early notice of any potential for claims as well as any claims that have been submitted, and provide a summary that would include:

- Description of the claim or potential claim
- Any supporting documentation if submitted by the private partner
- Schedule impacts on any decision making that will be needed
- Recommended actions from the project office (this will vary depending on how far any evaluations have progressed)

The HPTE will utilize their advisors as necessary to evaluate claims and provide direction and decisions to the project office to follow through on. HPTE will be responsible to process claims for payment (with assistance from the project office (CDOT)) and if disputed, follow the necessary dispute procedures called for in the P3 project agreement. The project office will be responsible for developing any supporting documentation necessary for either disputing claims or approving/paying claims. This will include any presentation material that may be necessary for a dispute review board. The HPTE will have approval authority over the any information presented or provided in support of a claims dispute. Coordination with FHWA will be required to maintain consideration for federal eligibility.

Through the coordination with the HPTE, payment sources will be identified as well as any third-party approvals that may be necessary from any funding partners or other stakeholders that could be required to approve or accept the financial impacts of a claim. The HPTE will make the determination per project as to whom, whether CDOT or HPTE, shall coordinate claim matters with third parties. This designation can be on a project basis or claim by claim as determined by HPTE.

The HPTE will summarize and track the claims on a project for applicability for future and current projects. The summary and relevant information should be incorporated and updated as necessary into the lessons learned information described in section M. (As the database of information grows, the HPTE will be able to identify the best way to organize the information for easy access to the project teams developing and implementing projects.)

#### v. Third-Party Coordination

The CDOT and HPTE shall review the list of third parties and identify who will be the main point of contact during the project's implementation period and whether that needs to vary at different levels as it pertains to:

- General Information (project status/updates)
- Any reviews or feedback on project submittals or decisions
- Contractual issues that may affect an agreement or require approval/acceptance of the third party (claim or unforeseen condition)

It will be project office's responsibility to identify any third party communications and coordination that will be necessary of HPTE. Both CDOT and HPTE shall keep each other informed of any developments and contacts made with third parties. Depending on the expected involvement as well as risks with third parties, they should be discussed as part of the regular project status/update meetings that the project office will have with HPTE on. As the project progresses, some third parties may not be as relevant and will not need to be reported on while others may increase in priority.

#### vi. Public Outreach

As the project moves into implementation, it is critical that the project office take the lead in public outreach. The project office will be in the best position to provide the latest and most accurate information. As part of the development of the project's implementation management plan, the roles of the private partner and CDOT will be clearly defined. The project office will update HPTE regularly on any outreach activities and issues that may have developed, including particular public complaints. The HPTE shall have approval authority over any outreach literature or marketing-type materials generated by the project office for public consumption. The HPTE and CDOT will work collaboratively on any specific messages that they want to convey to the public that will enhance the public's understanding of alternative project delivery (P3) and any project-specific benefits that have been realized. This project-level public outreach can be used to help support the more program-level messages both CDOT and HPTE want to convey.

As the project moves into operations HPTE and CDOT must evaluate how best to handle public outreach. Each project will be unique and the Project Team may decide on different approaches. Items that should be considered for a P3 project in the operations phase include:

- How are the operations and maintenance responsibility divided between a private partner, CDOT, and HPTE? Will private partner have responsibilities Right-of-Way to Right-of-Way or potentially only for the tolled lanes?

- Who is collecting tolls?
- What are any third party obligations for the project?
- Who has snow removal responsibilities?
- Is this a high profile or controversial project?

#### vii. Transition Plan Development for Operations

Prior to implementation completion, the CDOT office shall start the development of a CDOT/HPTE Operations Management Plan. It is important to start the development of this plan approximately a year in advance of project completion. The early start is necessary to work out the responsible parties for inspections, monitoring, and reporting during the operating period to ensure each agency confirms their responsibilities and can plan resources accordingly. The plan should address several items, including but not be limited to the following:

- Inspections
- Monitoring
- Specific asset discussion as necessary based on P3 project agreement (lighting, landscaping, structures, etc.)
- Incorporation of P3 project agreement requirements (DBE reporting, insurance, etc.)
- Emergency procedures
- Incident management
- Financial Reporting
- Communications (public relations)
- Tolling operations
- ITS and traffic management
- Snow/ice removal/treatments
- Project controls
- Document control
- Performance management and reporting
- Payment/revenue processing
- Annual budgets
- Non-compliance reporting
- P3 project agreement changes
- Permit work/lane closure requests
- Permit compliance
- Safety Compliance
- Fuel spills
- Renewal work
- Owner reports (annual finance plan, project management plan updates, other)
- Handback procedures and responsibilities, early asset condition reports, determination of appropriate hold-backs, and funding for reserve handback account.

The plan should describe the process and minimum requirements for HPTE/CDOT related to the transitioning into the operations phase including HPTE/CDOT roles and responsibilities, documentation responsibilities and decision-making. This can prove challenging to prioritize

but the development should be started approximately a year in advance of construction acceptance. . Once the plan is complete it should be updated on a regular basis and for significant changes to ensure that it is accurate and captures any lessons learned and best practices for continued success.

## K. After Action Report for Implementation Phase

Because P3 projects are complex and new to states, it will be important to clearly identify best practices and lessons learned as they evolve. The performance management and reporting section identified in the Transition Plan above will be a good source of information in determining how well the performance criteria of the contract is working. The goal will be to set performance criteria at the appropriate level to yield the performance expected at the optimum value. It will be HPTE's responsibility to document and organize materials that are generated on projects for non-compliance, claims, and general clarifications that occur as projects get implemented. The HPTE will review these materials on a regular basis with project personnel to draw out any best practices or lessons learned that can be incorporated into procedures or modification of procedures and/or practices that will improve the state's P3 Program. The HPTE will decide what actions require HPTE Board approval and will be responsible for developing any materials for board consideration, as well as regular updates on actions the HPTE has or will be taking to improve their processes and the overall P3 Program.



**COLORADO**

**Department of Transportation**

Office of the Chief Engineer

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

**DATE:** February 17, 2016  
**TO:** Transportation Commission  
**FROM:** Josh Laipply, Chief Engineer  
Maria Sobota, Chief Financial Officer  
Mike Keleman, Office of Program Management Acting Director  
**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 the RAMP Partnership & Operations and Safety programs.

### Details

A primary performance objective related to the integration of Cash Management and Program Management is a reduction of the cash balance. Total program spending has a significant impact on CDOT's cash balance. Included in the PMO deck is a bar chart projecting the impact of total program spending through December 2016 on individual cash fund balances and federal cash equivalents. The attached memorandum gives further details of the accounts in the total cash balance.

We are continuing to monitor program delivery at the statewide level using the expenditure performance index (XPI) to evaluate actual construction expenditure performance as compared to planned. This month the cumulative XPI remained at 0.96. After having several months of actual expenditures that exceeded planned expenditures, January's expenditures were slightly below the expenditure target, achieving a monthly XPI of 0.97 for January.

The Office of Program Management is continuing to report on the performance metrics and objectives to the Commission that it considers helpful for CDOT to achieve its goals and vision. The Calendar Year 2016 Capital Construction Expenditure Goal was set at \$737M. There are several advantages to reporting expenditures on a calendar year basis rather than a fiscal year basis. The foremost reason is that it matches our construction season. We will continue to monitor and report to the Commission on both Fiscal Year and Calendar Year 2016 Expenditures until June 2016.

The PMO Reporting Overview slide provides a status update of the four main programs reported on by the Office of Program Management. The Schedule Performance Index (SPI) for the RAMP Partnership and Operations program decreased slightly to 0.94 in January from 0.95 in December. The SPI for CDOT



administered RAMP projects decreased slightly to 0.96 in January from 0.99 in December.

The RAMP Partnership and Operations Program continues to show steadily increasing monthly expenditure totals. Budgeted funds increased substantially when the construction funding for the C-470 Express Lanes project was budgeted.

The attached RAMP Partnership Program Controls update shows how the program is tracking against the remaining contingency and how CDOT is managing the Partnership program to stay within that amount. There are no RAMP Partnership funding requests this month that require commission action.

The Safety program focuses on projects with HSIP and FASTER Safety funds within the Fiscal Year Range (2010-Present). The slide provided is a snapshot of how these two safety programs are performing at delivering projects.

In last month's workshop, we illustrated new lead metrics that staff is using to deliver the construction program (expenditure goal). These metrics are being used internally by staff to provide greater insight and improved awareness when trying to proactively manage and deliver a construction program that matches our cash balance targets.

#### Attachments

1. Attachment A - Cash Balance Memorandum
2. RAMP Partnership Program Controls Update (table)
3. Powerpoint Presentation





# COLORADO

## Department of Transportation

Division of Accounting and Finance

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

**DATE:** February 17, 2016  
**TO:** Transportation Commission  
**FROM:** Maria Sobota, Chief Financial Officer  
Josh Laipply, Chief Engineer  
Mike Keleman, Office of Program Management Acting Director  
**SUBJECT:** Attachment A - Cash Balance Memorandum

### Details of Cash Balance Charts

A primary performance objective related to the integration of Cash Management and Program Management is a reduction of the cash balance. Total program spending has a significant impact on CDOT's cash balance. Included in the PMO deck is a cash balance forecast bar chart through December 2016 considering the impacts of the FAST Act on the cash balance and factoring in the construction program expenditure projections provided by the Program Management Office.

The Fixing America's Surface Transportation (FAST) Act was approved by Congress on Thursday December 3, 2015 and signed by President Obama on December 4, 2015. This is the first long-term Federal Transportation Authorization since SAFETEA-LU in 2005. It is a five year, \$305 billion authorization of highway, safety, transit, and rail programs.

### Capital Construction Fund (Fund 400)

The cash balance in the chart is split out by fund with the Capital Construction Fund (Fund 400) being the most relevant as its activity includes the receipt of Highway User Tax Fund (HUTF) transfers, receipt of FHWA reimbursements, and the majority of CDOT's construction spending. The projected Fund 400 cash balance at January 31, 2016, was \$445 million. The actual Fund 400 cash balance at January 31, 2016, was \$399 million - a difference of \$46 million. The most notable reason why the Fund 400 cash balance did not increase as much as the projection for January is because the timing of the receipt of the FAST federal notice prevented CDOT from converting as much federal obligation limitation from accrued project expenditures to cash as expected.

The federal obligation, which is CDOT's authorization to bill FHWA for reimbursement of expenditures, is an important driver of cash balance increases and decreases. In general, CDOT begins to spend down the Fund 400 cash balance when the federal obligation has been exhausted. This is because as long as CDOT has federal obligation available, it will receive reimbursement for approximately 80 percent of any qualifying expenditure. The projected ending balance for federal



obligation at January 31, 2016, was \$515 million. The actual ending balance for federal obligation at January 31, 2016, was approximately \$597 million - a difference of \$82 million. As of the end of January, CDOT was holding approximately \$250 million of expenditures in anticipation of billing FHWA upon receipt of federal obligation.

The timing and amount of federal notices on federal obligation received by CDOT impact the Fund 400 cash balance. CDOT had received approximately \$83 million in federal obligation limitation in the current federal fiscal year through December 2015. With the passage of the Fixing America's Surface Transportation (FAST) Act, CDOT received its full federal obligation limitation of \$496 million for the year on January 11, 2016.

While the passage of the FAST Act reduces uncertainty regarding federal obligation receipts in 2016, it will continue to be important for CDOT to closely monitor the cash balance as the Cash Management initiative progresses. By March, Department staff will provide the Transportation Commission with a recommendation of a cash balance threshold to sustain an increased capital construction program while effectively managing expenditure timing and related risks.

### Bridge Enterprise Fund (Fund 538)

The projected Bridge Enterprise Fund (Fund 538) cash balance at January 31, 2016, was approximately \$174 million. The actual Fund 538 cash balance at January 31, 2016, was approximately \$219 million - a difference of \$45 million. The cash balance is needed to commit to Central 70 milestone payments during construction to limit CBE's long term debt obligation.

### Other CDOT Funds

Included in Other Funds are cash balances related to Aeronautics, HPTE, and the State Infrastructure Bank, among other smaller funds. Other Funds generally do not fluctuate significantly from month to month.



RAMP Partnership Program Controls Update

RAMP Partnership Program Controls Update									Feb 2016
PCN	Project Name	Original TC Approved Budget [A]	Current Forecasted Cost Estimate [C]	Total Project Cost Variance [A-C]	Prelim. Scalable Review	Additional Non-CDOT Contribution	Additional RAMP Contingency	Additional CDOT Contribution	Project Controls Comments
19192	I-25/ARAPAHOE RD INTERCHANGE	\$74,000,000	\$80,000,000	(6,000,000)	Completed (\$600,00)	Possible	\$6,000,000	\$0	CMGC project; Additional \$6.0M in estimated ROW costs approved in September; ICE results for 60% plans evaluated in August; ICE results for 90% plans evaluated in December; Pavement Cross Section reduced; AD/CAPP negotiations in progress; Planned Construction in Spring 2016.
19954	US 160 Turnouts	\$1,015,000	\$461,538	553,462	Estimated (\$600,000)	Unlikely	\$0	\$0	Awarded; Bid savings realized (\$21k); Project scope reduced to a single decel lane; Alternatively, both decel lanes would cost over \$2.1 million; Construction duration from March to June 2016.
19906	US50/Dozier/Steinmeier Intersection Improvement & Signal Improvements (companion Ops project 2-9)	\$2,500,000	\$2,500,000	0	Completed	Unlikely	\$0	\$0	Project is currently tracking within budget; FOR complete; Additional Local Contribution unlikely; Project savings may be realized upon award; Planned Advertisement in March 2016.
18331 19039	I-25 AND CIMARRON EXPRESSWAY	\$95,000,000	\$113,624,588	(18,624,588)	Completed (\$11,500,000)	\$2,050,000	\$2,531,138	\$14,043,450	Awarded; Apparent successful proposer was selected in February; TC Approved additional RAMP Contingency funds; \$2.5 M in savings from bid opening returned to RAMP Contingency.
19056 19751	US 50 / SH 45 Interchange, Wills to Purcell - Pueblo (companion Ops project 2-10)	\$11,200,000	\$11,075,452	124,548	Bundled Projects	\$0	\$0	\$0	Awarded; Total Project Cost (RAMP + Surface Treatment) is \$13,426,152; Project completion anticipated in Summer 2016.
19094	I-70 Simba Run Underpass (Vail Underpass)	\$20,800,000	<del>\$20,100,000</del> \$29,173,006	(8,373,006)	Completed	1,803,240	\$6,569,766	\$0	Awarded; CMGC project; Additional Local Contribution approved by Town of Vail; Additional RAMP Contingency Funds approved in June 2015; Ad/CAPP Negotiations finalized in December 2015; Construction duration from Spring 2016 through December 2017.
19930	SH 9 - Frisco to Breckenridge: Iron Springs Alignment and Vail Pass Multi-use Path Devolution	\$21,985,000	\$27,487,269	(5,502,269)	Completed (\$4,200,000)	1,012,454	\$4,489,815	\$0	In Bid/Award; Additional Local Contribution approved by Summit County partners at matching percentage; TC Approved additional RAMP Contingency Funds in July 2015; Planned Letting end of February 2016; Construction duration from Summer 2016 through December 2017.
19911	I-70 Exit 31 Horizon Drive Roundabouts	\$5,000,000	<del>\$6,095,000</del> \$6,312,300	(1,312,200)	Complete	\$105,000 + \$496,300 Local Match (\$308,000 Utility Co)	\$423,000	\$0	Awarded; Additional RAMP Contingency funds approved in May; Advertised in June 2015; Additional Local Contribution (\$496k) committed to award project in July; Project completion anticipated in Fall 2016.
19910	SH 9 CO River South Wildlife & Safety	\$46,000,000	\$52,627,747	(6,627,747)	Completed (\$4,200,000)	Completed	\$6,627,747	\$0	Awarded; Increased Local Contribution; Additional RAMP Contingency funds approved to Award; Project is nearly 50% expended; Project completion anticipated in Winter 2017.
12372 18401 19561 20632	US 287: Conifer to Laporte Bypass (Phase 1 - SH1 to Laporte Bypass) (Phases 2 & 3 - Local Agency)	\$36,000,000	<del>\$43,833,509</del> \$43,553,695	(7,553,695)	Completed (\$800,000)	Completed	\$7,553,695	Local Agency is contributing to the other 2 Phases	Awarded; Bid savings realized (FASTER & RAMP); Local Contribution increased its funding of the other 2 Phases; Additional RAMP Contingency Funds approved in August 2015; Project awarded in December 2015; Project completion anticipated in Summer 2018.
19909	US 550 Sky Rocket Box Culvert Replacement	\$2,000,000	<del>\$2,000,000</del> \$1,908,753	91,247	Complete	Unlikely	\$0	\$0	Awarded; Bid savings realized (\$250k); Advertised in October 2015; Awarded in November 2015; Project completion anticipated in November 2016.
19908	SH 172 / 151 SIGNALIZATION	\$1,800,000	\$1,729,562	70,438	Complete	Unlikely	\$0	\$0	Awarded; Bid savings realized (\$187k); Readvertised in October (no project bids received in August); Awarded in December 2015; Project completion anticipated in Summer 2016.
19397	SH 145 AT CR P SAFETY IMPROVEMENTS	\$1,660,194	<del>\$1,676,597</del> \$1,912,975	(252,781)	Possible	Unlikely	\$0	\$252,781	Awarded; Savings realized during the design phase; Awarded in June 2015; Additional FASTER funds approved per original application; Project completion delayed until Spring/Summer 2016.
18972	US 285 Antonito Storm Drainage System Replacement	\$2,742,429	\$3,343,337	(600,908)	Bundled Projects	Completed	\$0	\$0	Project Accepted; Local in-kind contribution increased by \$350,000; Bundled with \$7.0 mil SUR project for bidding economy; Construction completed in 9 months (Accepted in Nov 2015).
19411	SH 62 Ridgeway Street Improvements (pending approval of local match)	\$13,791,257	\$13,463,955	327,302	Complete	Unlikely	\$0	\$0	Awarded; Project is currently tracking within budget; Independent Cost Estimate (ICE) complete; Advertised in December 2015; Awarded in January 2016; Construction completion anticipated in Fall 2017.
19643	US 24 Enhancement Project in Buena Vista	\$2,497,090	\$2,780,174	(283,085)	Possible (3 options)	Unlikely	\$0	\$0	Scalability and Local Contribution under region review; Project to be bundled with \$8 mil SUR project; Further reduction of scope and FA items possible; FOR completed in September; Planned Advertisement in April 2016; Construction completion anticipated in Summer 2017.
Subtotals		\$337,990,970	\$391,954,251	(\$53,963,282)	(\$600,000)	\$6,710,754	\$34,195,161	\$14,296,231	\$1,838,865
		Total Original	Total Forecast	Total Variance	Total Scope Reduction	Total Local Contribution	Total RAMP Contingency	Total CDOT Contribution	Remaining Projected Liability

Legend:

Project Awarded (blue)
Cells updated since last month (yellow)

Per resolution TC-3209, Establishment of the RAMP Program Project Controls, the table above includes those RAMP Public-Public Partnership CDOT administered projects that were un-awarded as of December 2014.



**COLO R A D O**

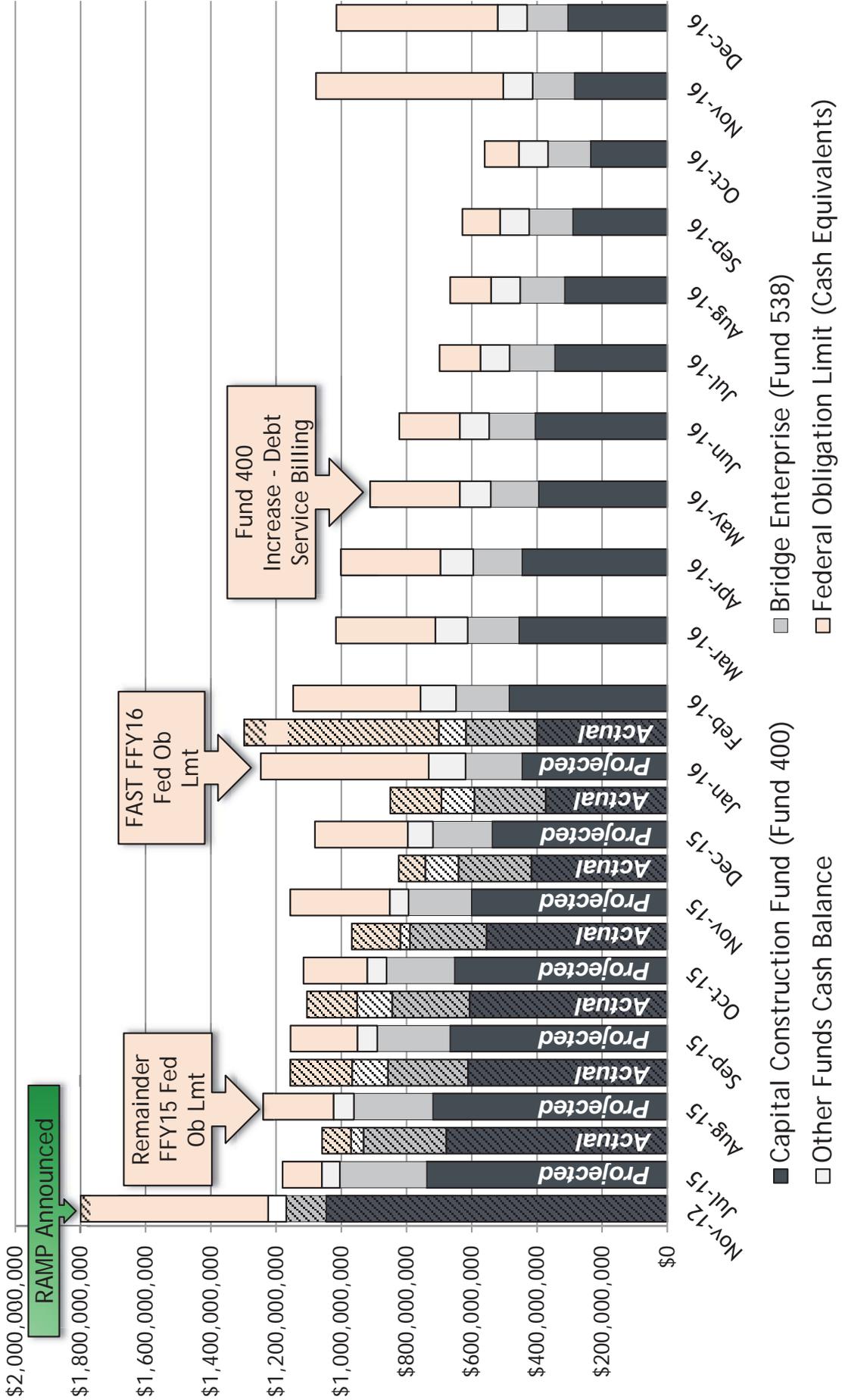
Department of  
Transportation

# Program Management Update February 17, 2016



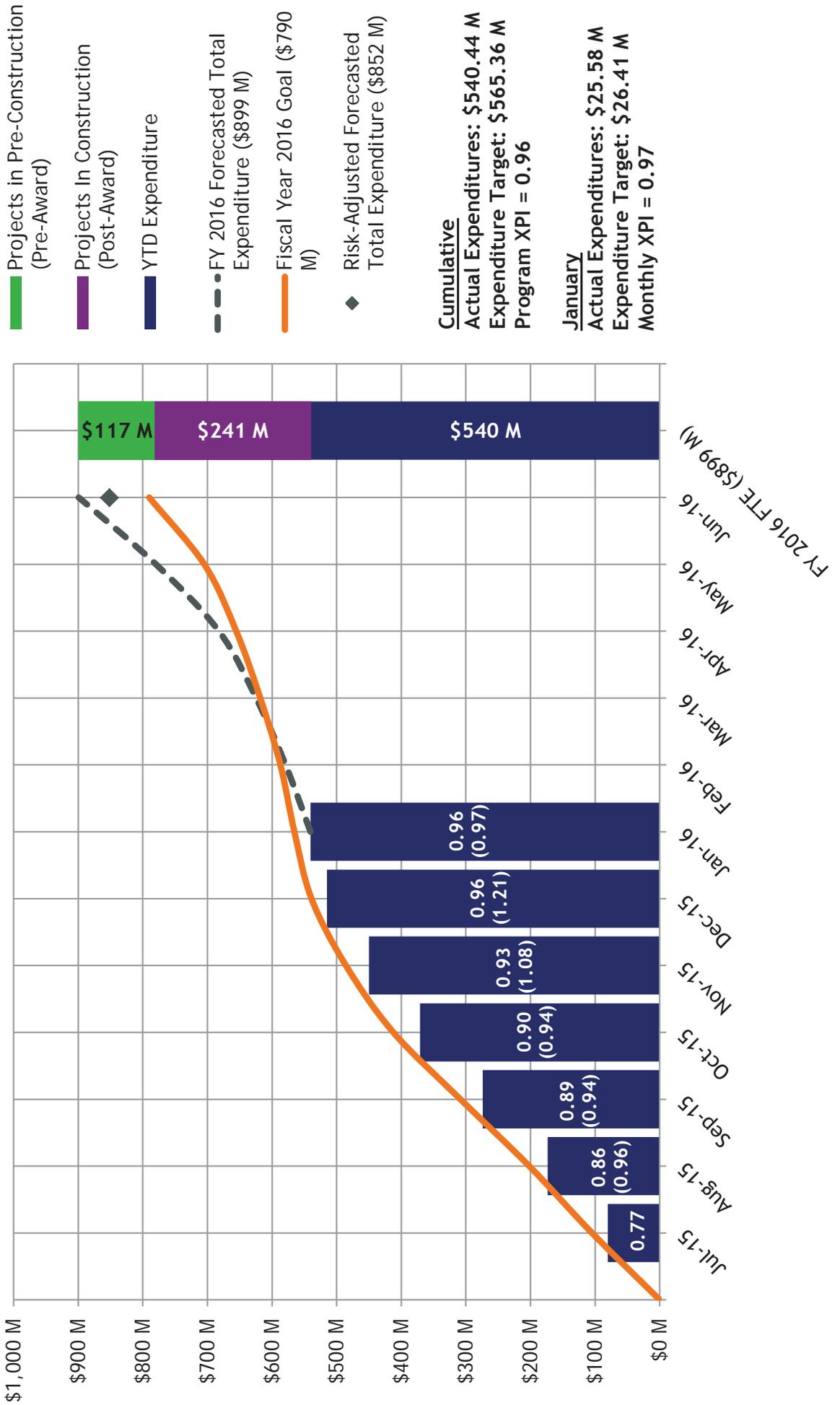
# Cash & Federal Obligation Target Balance

Forecast through December 31, 2016 Based on FAST Act



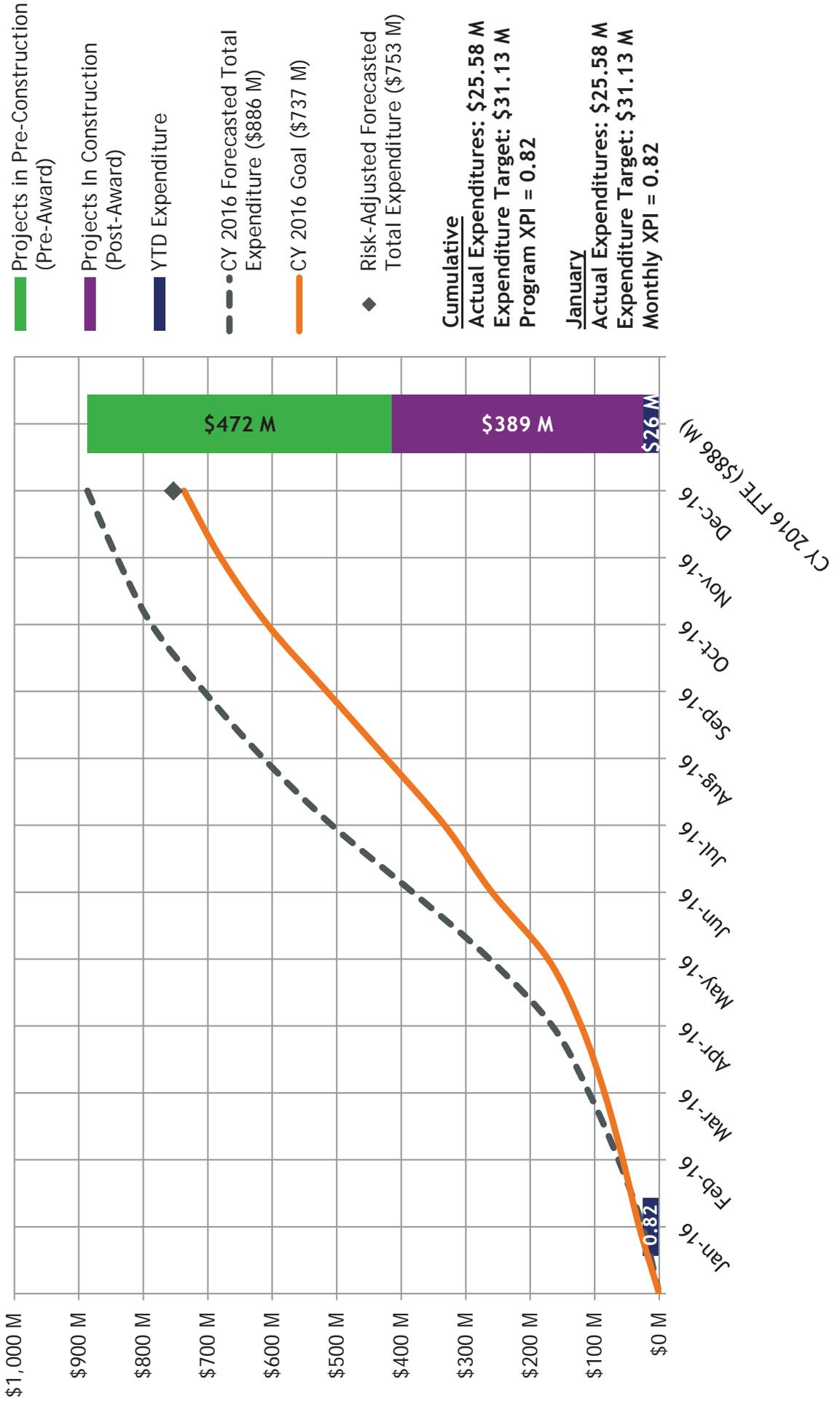


# FY 2016 Capital Program Construction Expenditure





# CY 2016 Capital Program Construction Expenditure





# PMO Reporting Overview by Program

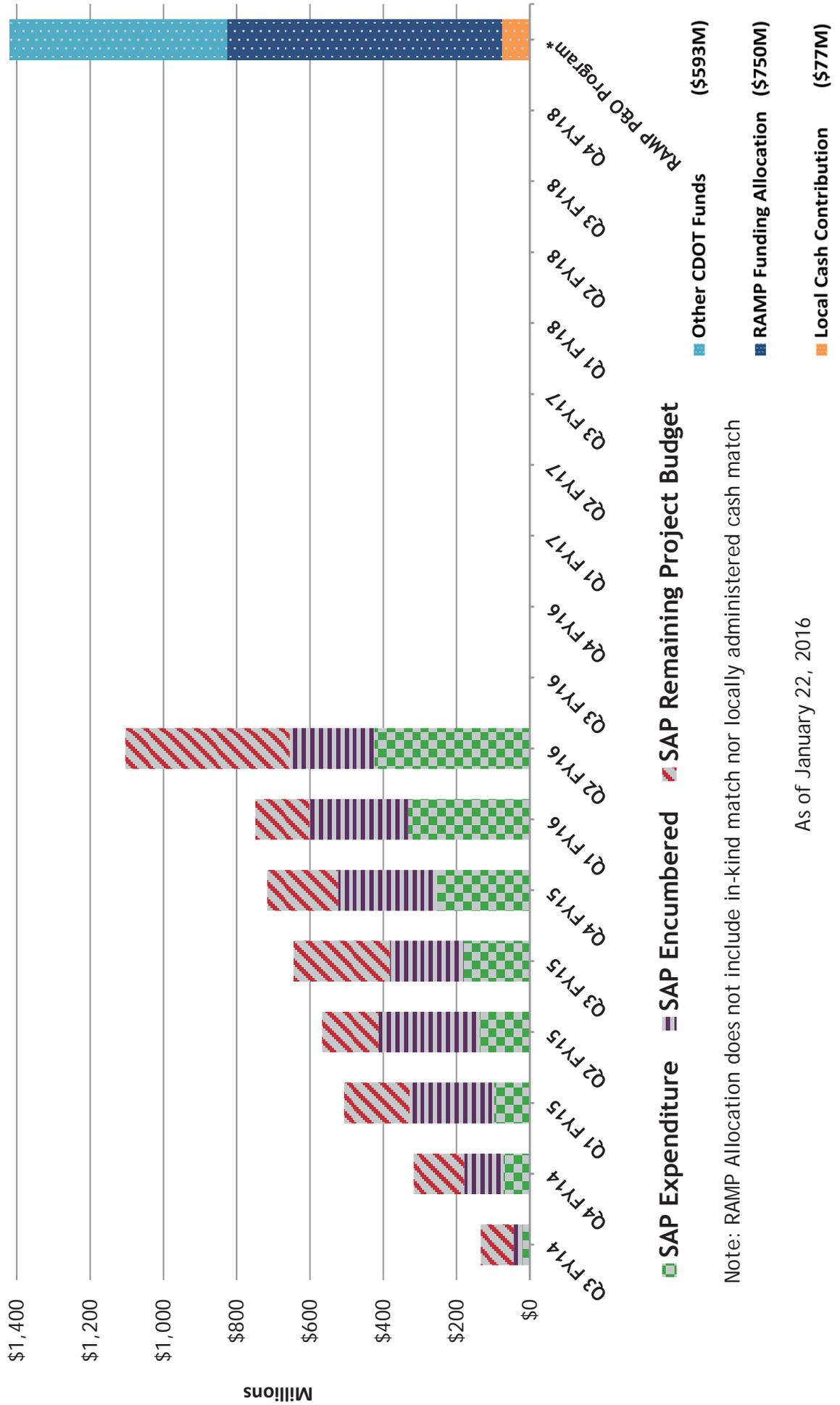
Program	Financial Performance (\$Millions)			Precon. Schedule Performance	Quarterly Rotation
	Program Expenditure through 12/18/2015	Program Expenditure through 1/22/2016	\$ Change		
<b>Flood</b>	\$179.7 †	\$181.9 †	\$2.2	0.91	Apr. 2016
<b>RAMP P&amp;O (Overall)</b>	\$424.7	\$436.5	\$11.8	0.94	Feb. 2016
RAMP P&O (Local Agency)	\$55.4	\$56.3	\$0.9	0.89	Apr. 2016
RAMP P&O (CDOT)	\$369.3	\$380.2	\$10.9	0.96	Feb. 2016
<b>FASTER and HSIP</b>	\$614.7	\$620.6	\$5.9	*	Feb. 2016
<b>Asset Management</b>	\$1,344.1	\$1,381.2	\$37.1	**	Mar. 2016

Notes:

1. SPI's shown are for Preconstruction.
2. \* FASTER and HSIP funds are used on projects in multiple programs and as a result, an SPI is not provided for these programs.
3. \*\* Asset Management expenditures are a combination of Fiscal Year 2014, 2015, 2016 and include MLOS and Roadway Equipment. (Note: MLOS and Road Equipment are included in expenditures and as a result, are excluded from SPI calculations)
4. † Flood totals do not include Fiscal Year Cost Center expenditures



# Overview of RAMP P&O Program





## Managing within the Established RAMP Program Controls (TC-3209)

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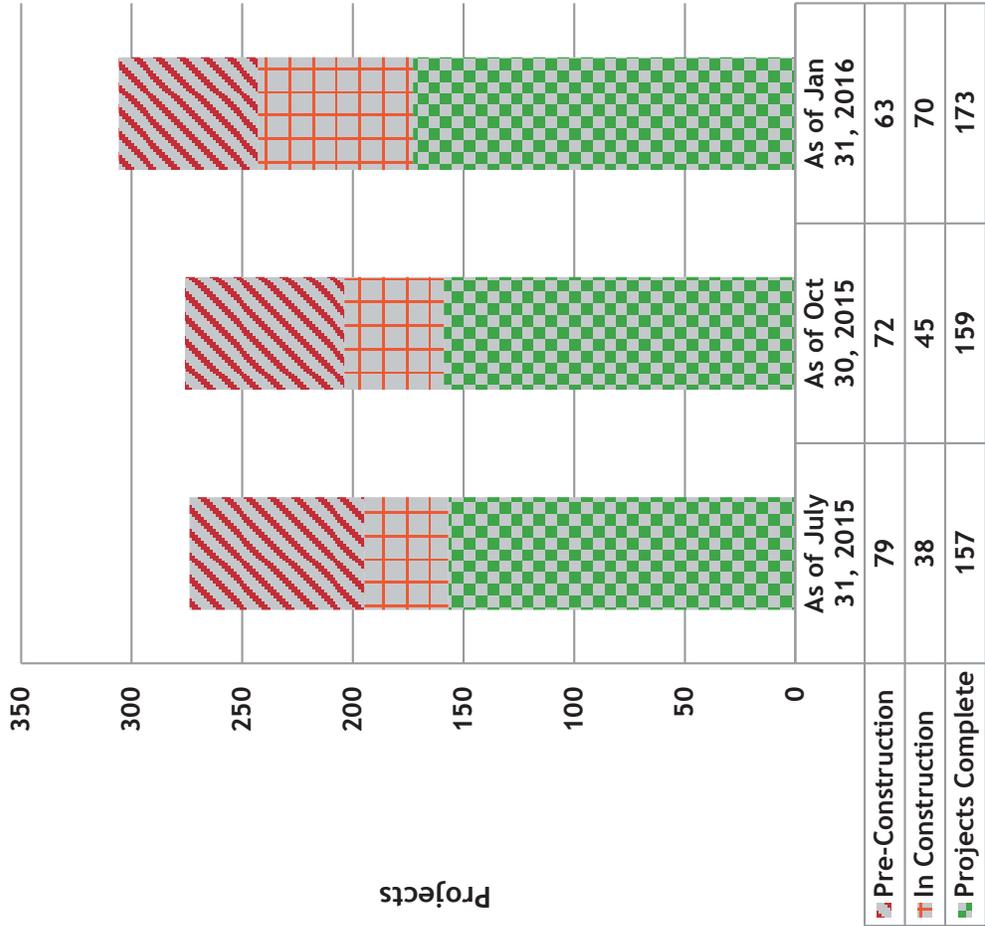
There are no RAMP projects requiring commission action this month.

- ✓ The remaining RAMP Public-Public Partnership Contingency Reserve is \$5,804,839.
- ✓ The remaining RAMP Operations Contingency is \$2,454,472.

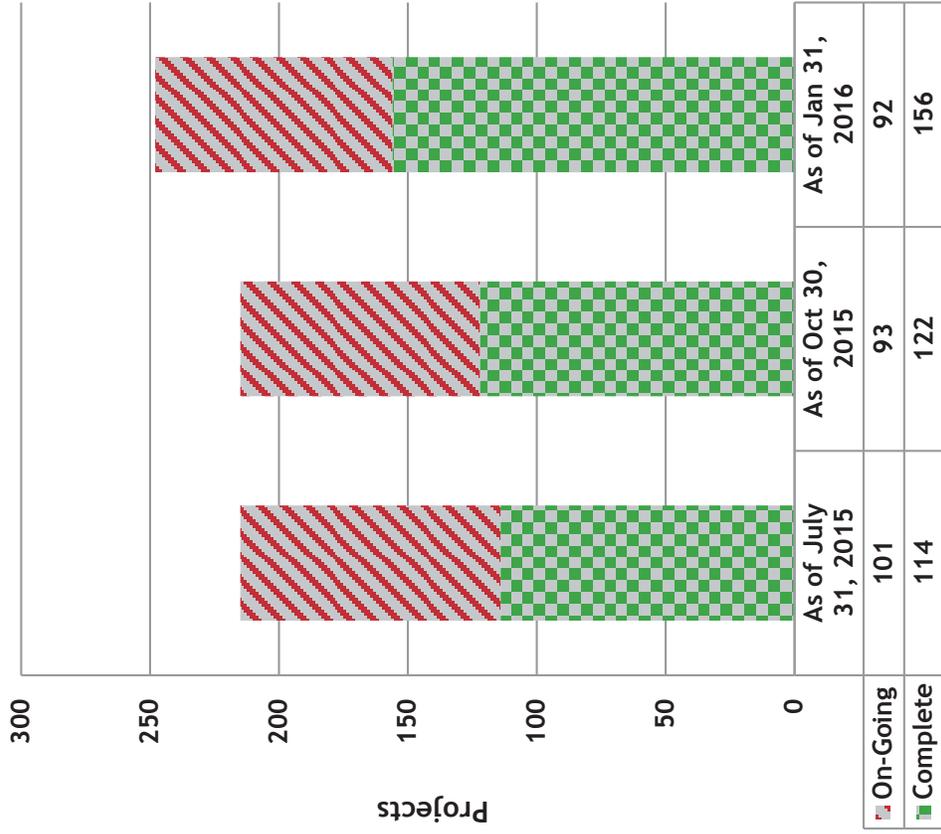


# Safety Program Project Status

## FASTER Program



## HSIP Program



\* Completed Projects Within Fiscal Year Range (2010 – Present)

As of January 31, 2016



## Questions or Comments

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- Upcoming topics for next month
  - Update on Cash Balance & Federal Obligation Targets
  - Update on Expenditure Performance for FY16 & CY16
  - Update on the Asset Management program



**COLORADO**  
Department of Transportation  
Division of Accounting and Finance

4201 East Arkansas Avenue, Room 262  
Denver, CO 80222

**TO:** TRANSPORTATION COMMISSION  
**FROM:** MARIA SOBOTA, CHIEF FINANCIAL OFFICER  
**DATE:** FEBRUARY 17, 2016  
**SUBJECT:** FY 2015-16 AMENDED BUDGET TOPICS (Current Fiscal Year)

---

**Purpose**

This memorandum summarizes information to be discussed during the February Transportation Commission (TC) budget workshop, including the following budget topics:

- Fixing America's Surface Transportation (FAST) Act
- Senate Bill (SB) 09-228 General Fund Transfer Forecasts
- FY 2015-16 Budget Implications

**Action**

The TC is being asked to review changes to the Amended FY 2015-16 Budget and provide the Division of Accounting and Finance (DAF) with guidance and input in preparation for the March 2016 TC meeting. The TC originally adopted this budget in March, 2015.

Important items for the TC to note and consider include:

- **National Highway Freight Program:** CDOT is due to receive roughly \$15.5 million in federal money in FY 2015-16 allocated for a new freight initiative introduced in the FAST Act. It establishes both discretionary grant and formula programs to fund critical transportation projects that would benefit freight movement.
- **Off-System Bridge:** There is an assumed increase to the dedicated federal funding source allocated for this program. As a result, the TC is being asked to consider reducing state flexible funds for this program in FY 2015-16 or combining state and federal resources to further increase the program.
- **Division of Transit and Rail (DTR):** The Governor's Office of State Planning and Budgeting (OSPB) released updated SB 09-228 forecasts in December 2015. This new forecast calls for a full SB 09-228 transfer in FY 2015-16 of \$200.2 million, an increase from \$102.6 million above the original TC adopted FY 2015-16 budget. Per statute, DTR receives 10% of the transfer. The TC will need to consider, along with DTR, what projects to fund with the \$20.2 million due to DTR in FY 2015-16.



## Introduction

The FY 2015-16 Budget was adopted in March 2015 and approved by the Governor in June 2015. However, DAF finds the results of the FAST Act to be substantial enough to provide an update to the TC. DAF is providing an updated FY 2015-16 Annual Budget that includes the new FAST revenues, the updated SB 09-228 General Fund transfer, and updated Aeronautics revenue.

## Background & Details

### *Fixing America's Surface Transportation Act*

On December 4, 2015, President Obama signed into law the Fixing America's Surface Transportation (FAST) Act. The FAST Act authorizes federal highway, transit, and rail programs for five years, from 2016 to 2020, and represents the first long-term comprehensive surface transportation legislation since 2005. The FAST Act is a \$300.0 billion highway, transit, highway safety, and rail bill. It provides approximately \$225.0 billion in contract authority over five years for the Federal-aid Highway program, increasing funding from \$41.0 billion in FY 2014-15 to \$47.0 billion in FY 2019-20. The bill continues to distribute nearly 93% of all Federal-aid Highway program contract authority to State DOTs through formula programs.

The FAST Act creates a new National Highway Freight program (approximately \$1.2 billion per year) that is distributed to states by formula, and creates a new discretionary program for Nationally Significant Freight and Highway Projects (approximately \$900 million a year). The Executive Management Team (EMT) will advise the Freight Advisory Council on potential allocations for this new program.

The FAST Act gradually increases the percentage of the Surface Transportation Program (STP) that is sub-allocated by population from 50% in FY 2014-15 to 55% in FY 2019-20. The bill also includes a \$7.6 billion rescission of unobligated Federal-aid Highway contract authority in FY 2019-20.

The FAST Act provides approximately \$61.0 billion over five years for federal transit programs including \$48.9 billion in Highway Trust Fund (HTF) contract authority and roughly \$12.0 billion in funding from the General Fund. For highway safety, the bill provides \$4.7 billion for National Highway Transportation Safety Administration (\$3.7 billion from the HTF) and \$3.2 billion for the Federal Motor Carrier Safety Administration. The FAST Act authorizes approximately \$10.0 billion over five years for the Federal Railroad Administration and Amtrak.

For Colorado, the FAST Act increases highway formula funding from \$516.0 million in FY 2014-15 to \$542.0 million in FY 2015-16, growing to \$592.0 million in FY 2019-20. On the transit side, funding increases from \$111.5 million in FY 2014-15 to \$114.6 million in FY 2015-16, growing to \$124.8 million in FY 2019-20.

Under the new FAST Act legislation, a National Freight Program has been added to the Federal funding programs. An additional line item in the One Sheet budget (see Attachment A, line 56) has been added to reflect this new funding program. The Bridge Off-System funding has also increased significantly. Department staff recommends allocating the additional \$3.0 million of the TC directed Bridge Off-System funds to the Transportation Commission Contingency (Line 103). This \$3.0 million is in addition to a \$2.0



million adjustment to revenue because of a change in how DAF now recognizes the HPTE fee-for-service in the CDOT Budget.

**FAST Act Budget Implications**

As a result of the FAST Act, the following line items have increased/(decreased) on the Amended FY 2016-17 Annual Budget (see Attachment A):

- Highway Safety Improvement Program (Line 18)
- Railway-Highway Crossing Program (Line 19)
- Freight Program (Line 56)
- DTD Planning and Research - SPR (Line 64)
- Transportation Alternatives Program (Line 77)
- STP - Metro (Line 78)
- Congestion Mitigation/Air Quality (Line 79)
- Metropolitan Planning (Line 80)
- Bridge Off-System - TC Directed (Line 81)
- Bridge Off-System - Federal Program (Line 82)
- Federal Transit (Line 85)
- TC Contingency (Line 103)

**Senate Bill 09-228 General Fund Transfer Forecasts**

Both the Office of State Planning and Budgeting (OSPB) and Legislative Council Services (LCS) released revised quarterly economic forecasts in December 2015:

- OSPB and LCS are now both projecting similar Senate Bill (SB) 09-228 General Fund transfers in FY 2015-16 and FY 2016-17 (see Table 1 below). Both OSPB (\$200.2 million) and LCS (\$199.5 million) are projecting a full transfer in FY 2015-16 and a 50% transfer in FY 2016-17 (\$106.8 million for OSPB and \$106.1 million for LCS). Both OSPB and LCS forecast that SB 09-228 General Fund transfers will be eliminated in FY 2017-18.
- The FY 2015-16 Annual Budget as adopted by the TC included a SB 09-228 projected transfer of \$102.6 million. The FY 2016-17 Draft Budget as adopted by the TC in November included a zero transfer reflecting the amount in the previous forecast issued in September 2015. Both Budgets have been revised to reflect the amounts that OSPB projected in December 2015.
- The changes reflected in the amended FY 2015-16 and in the FY 2016-17 budgets are included in the table below:

Table 1: December 2015 Economic Forecasts

<b>December 2015 Forecasts (in millions)</b>			
	<b>FY 2015-16</b>	<b>FY 2016-17</b>	<b>FY 2017-18</b>
<b>OSPB</b>	\$200.2	\$106.8	\$0.0
<b>LCS</b>	\$199.5	\$106.1	\$0.0



### January 2016 Quarterly Revenue Forecast

The FY 2015-16 Annual Budget was created using an annual revenue forecast that was created in March 2015. In prior years, DAF annually reconciled the original revenue forecast to the full fiscal year revenues received. At year-end, Department staff would make recommendations to the TC to distribute surplus revenue.

DAF now updates revenue forecasts quarterly for the current and future fiscal years and compares the newest forecast to the one used to produce the Annual Budget. Department staff is currently analyzing the most recent quarterly revenue forecast and will provide information to the TC in upcoming months.

### Division of Aeronautics Revenue

In March 2015, jet fuel sold for \$1.77 per gallon. In January 2016, jet fuel sold for \$1.08 per gallon. The Division of Aeronautics main source of revenue is an ad valorem tax of 2.9% of each gallon of jet fuel sold at all Colorado airports, which causes extreme fluctuation in revenue as oil price volatility has increased since 2015. Due to the subsequent significant decrease in oil prices and jet fuel prices, the January 2016 forecast for FY 2015-16 Aeronautics revenue is significantly lower than the one produced in March 2015 and used in the adopted FY 2015-16 Annual Budget. Expected Aeronautics revenue for FY 2015-16 is expected to be \$19.4 million, a decrease from \$30.0 million.

### HPTE Fee for Service

One final addition to the FY 2015-16 Annual Budget is the HPTE Fee for Service line item (line 66). This line item was not originally reflected on the adopted FY 2015-16 Annual Budget, but CDOT did pay HPTE a \$2 million Fee for Service for FY 2015-16. HPTE and CDOT are currently evaluating the existing fee-for-service model, which may impact the amount of this payment in future years.

### Key Benefits

The TC will be able to review the updated FY 2015-16 Annual Budget, and be asked to provide its initial thoughts and recommendations to DAF before the TC amends a final FY 2015-16 Annual Budget in March 2016.

### Options and Recommendations

The TC is being asked to review and comment on changes to the FY 2015-16 Amended Annual Budget.

### Next Steps

In March 2016, DAF will provide the TC with an updated FY 2015-16 Amended Annual Budget based on questions and/or further policy updates. The TC will be asked to adopt the amended budget.

### Attachments

Attachment A: FY 2015-16 FAST Act Amended Budget Comparison



**Attachment A: Colorado Department of Transportation  
Fiscal Year 2015-16 Adopted Budget FAST Act Amended Budget Comparison**

	Budget Category	Program Area	Directed by	TC Approved FY2016 Budget Allocations (MAP-21)	Amended FY2016 Budget Allocations (FAST Act)	MAP-21 vs FAST Act Increase/(Decrease)	Funding Source
				A	B	B-A	
1	<b>Maintain - Maintaining What We Have</b>						
2		<b>CDOT Performed Work</b>					
3		Roadway Surface	TC	39,075,453	39,075,453		SH
4		Roadside Facilities	TC	20,162,777	20,162,777		SH
5		Roadside Appearance	TC	7,805,488	7,805,488		SH
6		Structure Maintenance	TC	8,556,025	8,556,025		SH
7		Tunnel Activities	TC	6,908,508	6,908,508		SH
8		Snow and Ice Control	TC	73,350,077	73,350,077		SH
9		Traffic Services	TC	67,707,695	67,707,695		SH
10		Planning and Scheduling	TC	14,870,563	14,870,563		SH
11		Material, Equipment and Buildings	TC	15,963,414	15,963,414		SH
12				<b>254,400,000</b>	<b>254,400,000</b>		
13		<b>Contracted Out Work</b>					
14		Surface Treatment /1 /2	TC	149,500,000	149,500,000		FHWA/ SH/
15		Structures On-System Construction /1 /2	TC	22,300,000	22,300,000		FHWA/ SH/ 09-108
16		Structures Inspection and Management /1 /2	TC	8,400,000	8,400,000		SH/09-108
17		Geohazards Mitigation /1	TC	5,100,000	5,100,000		09-108
18		Highway Safety Improvement Program	FR	29,154,151	28,417,776	(736,375)	FHWA / SH
19		Railway-Highway Crossings Program	FR	3,150,245	5,090,320	1,940,075	FHWA / SH
20		Hot Spots	TC	2,167,154	2,167,154		FHWA / SH
21		Traffic Signals /1 /2	TC	1,472,823	1,472,823		FHWA/ SH/ 09-108
22		FASTER - Safety Projects	TC	56,300,000	56,300,000		09-108
23		Permanent Water Quality Mitigation	TC	-	-		FHWA / SH
24		Maintain-Related Indirects/Overhead /2					
25		Maintain-Related CDOT Construction Engineering /2					
26				<b>277,544,373</b>	<b>278,748,073</b>	<b>1,203,700</b>	
27		<b>Capital Expenditure</b>					
28		Road Equipment /1 /2	TC	11,500,000	11,500,000		SH
29		Capitalized Operating Equipment	TC	3,448,525	3,448,525		SH
30		Property /1 /2	TC	1,011,722	1,011,722		SH
31				<b>15,960,247</b>	<b>15,960,247</b>		
32			<b>Total:</b>	<b>547,904,620</b>	<b>549,108,320</b>	<b>1,203,700</b>	
33	<b>Maximize - Safely Making the Most of What We Have</b>						
34		<b>CDOT Performed Work</b>					
35		TSM&O: Performance Programs and Services	TC	6,107,619	6,107,619		SH
36		TSM&O Traffic Incident Management	TC	-	-		SH
37		TSM&O: ITS Maintenance /1	TC	14,400,000	14,400,000		SH / 09-108
38				<b>20,507,619</b>	<b>20,507,619</b>		
39		<b>Contracted Out Work</b>					
40		Safety Education	Comb	11,090,000	11,090,000		NHTSA / SSE
41		TSM&O: Congestion Relief	TC	4,000,000	4,000,000		FHWA / SH
42		Regional Priority Program	TC	50,000,000	50,000,000		FHWA / SH
43		Road X	TC	-	-		
44		Maximize-Related Indirect/Overhead /2					
45		Maximize-Related CDOT Construction Engineering /2					
46				<b>65,090,000</b>	<b>65,090,000</b>		
47		<b>Capital Expenditure</b>					
48		TSM&O: ITS Investments	TC	10,000,000	10,000,000		FHWA / SH
49				<b>10,000,000</b>	<b>10,000,000</b>		
50			<b>Total:</b>	<b>95,597,619</b>	<b>95,597,619</b>		
51	<b>Expand - Increasing Capacity</b>						
52		<b>CDOT Performed Work</b>					
53							
54		<b>Contracted Out Work</b>					
55		Strategic Projects	SL	92,340,000	180,180,000	87,840,000	09-228
56		Freight Program	FR	-	17,703,513	17,703,513	FHWA / SH
57		Expand-Related Indirect /2					
58		Expand-Related CDOT Construction Engineering /2					
59				<b>92,340,000</b>	<b>197,883,513</b>	<b>105,543,513</b>	
60			<b>Total:</b>	<b>92,340,000</b>	<b>197,883,513</b>	<b>105,543,513</b>	
61	<b>Deliver - Program Delivery/Administration</b>						
62		Operations [including maintenance support]	TC	31,123,151	31,123,151		SH
63		Projects Initiatives	TC	1,855,000	1,855,000		FHWA / SH
64		DTD Planning and Research - SPR	FR	12,711,092	12,914,112	203,020	FHWA / SH
65		Administration (Appropriated)	SL	29,037,385	29,037,385		SH
66		HPTE Fee for Service	TC	-	2,000,000	2,000,000	SH
67		FY2016 Common Policy Anticipated Salary Increase		2,005,647	2,005,647		
68			<b>Total:</b>	<b>76,732,275</b>	<b>78,935,295</b>	<b>2,203,020</b>	
69	<b>Pass-Through Funds/Multi-modal Grants</b>						
70		<b>Aeronautics</b>					
71		Division of Aeronautics to Airports	AB	29,100,000	18,544,747	(10,555,253)	SA
72		Division of Aeronautics Administration	AB	900,000	900,000		SA
73				<b>30,000,000</b>	<b>19,444,747</b>	<b>(10,555,253)</b>	
74		<b>Highway</b>					
75		Recreational Trails	FR	1,591,652	1,591,652		FHWA
76		Safe Routes to School	TC	-	-		FHWA
77		Transportation Alternatives Program	FR	12,045,642	12,277,579	231,937	FHWA / LOC
78		STP-Metro	FR	46,972,177	49,563,424	2,591,247	FHWA / LOC
79		Congestion Mitigation/Air Quality	FR	45,539,598	47,294,545	1,754,947	FHWA / LOC
80		Metropolitan Planning	FR	7,829,342	8,215,870	386,528	FHWA / FTA / LOC
81		Bridge Off-System - TC Directed	TC	3,164,139	-	(3,164,139)	FHWA / SH / LOC
82		Bridge Off-System - Federal Program	FR	6,285,272	11,863,829	5,578,557	FHWA / SH / LOC
83				<b>123,427,822</b>	<b>130,806,899</b>	<b>7,379,077</b>	
84		<b>Transit</b>					
85		Federal Transit	FR	29,236,280	28,139,127	(1,097,153)	FTA / LOC
86		Strategic Projects - Transit	SL	10,260,000	20,020,000	9,760,000	09-228
87		Transit and Rail Local Grants	SL	5,000,000	5,000,000		09-108
88		Transit and Rail Statewide Grants	TC	5,800,000	5,800,000		09-108
89		Bustang	TC	3,000,000	3,000,000		09-108
90		Transit Administration and Operations	TC	1,200,000	1,200,000		FTA / 09-108
91				<b>54,496,280</b>	<b>63,159,127</b>	<b>8,662,847</b>	
92		<b>Infrastructure Bank</b>					
93		Infrastructure Bank	TC	500,000	500,000		SIB
94			<b>Total:</b>	<b>208,424,102</b>	<b>213,910,773</b>	<b>5,486,671</b>	
95	<b>Transportation Commission Contingency / Debt Service</b>						
96		<b>Permanent Recovery</b>					
97		Permanent Recovery		174,500,000	174,500,000		FHWA
98		Recovery-Related Indirect/Overhead /2					
99		Recovery-Related CDOT Construction Engineering /2					
100				<b>174,500,000</b>	<b>174,500,000</b>		
101							
102		<b>Contingency</b>					
103		TC Contingency	TC	1,972,914	7,050,472	5,077,558	FHWA / SH
104		Snow & Ice Reserve	TC	10,000,000	10,000,000		SH
105				<b>11,972,914</b>	<b>17,050,472</b>	<b>5,077,558</b>	
106		<b>Debt Service</b>					
107		Strategic Projects - Debt Service	DS	167,840,075	167,840,075		FHWA / SH
108		Certificates of Participation-Property	DS	2,362,200	2,362,200		SH
109		Certificates of Participation-Energy	DS	1,041,850	1,041,850		SH
110				<b>171,244,125</b>	<b>171,244,125</b>		
111			<b>Total:</b>	<b>357,717,039</b>	<b>362,794,597</b>	<b>5,077,558</b>	
				<b>1,378,715,655</b>	<b>1,498,230,117</b>	<b>119,514,462</b>	

Revenue **1,378,715,655**    **1,498,230,117**    **119,514,462**

/1 FASTER Safety funds (\$40.0M) were substituted for flexible funds in appropriate Asset Management Programs. Resulting available flexible funds were then added to Regional Priority Program.

/2 Budget excludes RAMP projects; CE and indirects are calculated based on total programs as shown.

**Flexible Funds**

**Key to acronyms:**

LOC=Local Matching Funds    DS= Debt Service Covenants    SH=State Highway funding    SL=State Legislation  
SIB=St. Infrastructure Bank Interest    AB=Aeronautics Board    FHWA=Federal Highway Administration    Comb=Combination  
TC=Transportation Commission    FR=Federal Requirements    FTA=Federal Transit Administration    SSE=State Safety Education

**State Bridge Enterprise  
Fiscal Year 2015-16 Adopted Budget FAST Act Amended Budget Comparison**

	Budget Category	Program Area	Directed by	TC Approved FY2016 Budget Allocations (MAP-21)	Amended FY2016 Budget Allocations (FAST Act)	Over (Under) MAP-21 vs FAST Act	Funding Source
				A	B	A - B	
1	Maintain - Maintaining What We Have						
2		CDOT Performed Work					
3		Contracted Out Work					
4		Maintenance	BEB	250,000	250,000	-	09-108
5		Scoping Pools	BEB	750,000	750,000	-	09-108
6				1,000,000	1,000,000	-	
7		Contracted Out Work					
8		Bridge Enterprise Projects	BEB	102,954,096	102,954,096	-	09-108
9		Maintain-Related Indirects/Overhead /1					
10		Maintain-Related CDOT Construction Engineering /1					
11				102,954,096	102,954,096	-	
			Total	103,954,096	103,954,096	-	
12	Maximize - Safely Making the Most of What We Have						
13		CDOT Performed Work					
14		Contracted Out Work					
15			Total	-	-	-	
16	Expand - Increasing Capacity						
17		CDOT Performed Work					
18		Contracted Out Work					
19			Total	-	-	-	
20	Deliver - Program Delivery/Administration						
21		Administration and Legal Fees		1,911,904	1,911,904	-	09-108
22			Total	1,911,904	1,911,904	-	
23	Pass-Through Funds/Multi-modal Grants						
24		Highway					
25			Total	-	-	-	
26	Transportation Commission Contingency / Debt Service						
27		Contingency					
28		Bridge Enterprise - Contingency	BEB	-	-	-	09-108
29							
30		Debt Service					
31		Bridge Enterprise - Debt Service	DS	18,234,000	18,234,000	-	FHWA / SH
32				18,234,000	18,234,000	-	
33			Total	18,234,000	18,234,000	-	
				124,100,000	124,100,000	-	

/1 Budget excludes RAMP projects; CE and indirects are calculated based on total programs as shown.

Revenue **124,100,000 124,100,000 -**

**Key to acronyms:**

BEB= Bridge Enterprise Board  
DS= Debt Service Covenants

**High Performance Transportation Enterprise  
Fiscal Year 2015-16 Adopted Budget FAST Act Amended Budget Comparison**

	Budget Category	Program Area	Directed by	TC Approved FY2016 Budget Allocations (MAP-21)	Amended FY2016 Budget Allocations (FAST Act)	Over (Under) MAP-21 vs FAST Act	Funding Source
				A	B	A - B	
1	Maintain - Maintaining What We Have						
2		CDOT Performed Work					
3		Contracted Out Work					
4			Total	-	-	-	
5	Maximize - Safely Making the Most of What We Have						
6		CDOT Performed Work					
7		Contracted Out Work					
8			Total	-	-	-	
9	Expand - Increasing Capacity						
10		CDOT Performed Work					
11		High Performance Transportation Enterprise--Maintenance	HPTEB	-	-	-	Tolls/Managed Lanes Revenue
12							Tolls/Managed Lanes
13		Contracted Out Work					
14		High Performance Transportation Enterprise--Projects	HPTEB	575,000	575,000	-	Tolls/Managed Lanes
15		Expand-Related Indirect /1					
16		Expand-Related CDOT Construction Engineering /1					
17				575,000	575,000	-	Tolls/Managed Lanes Revenue
18			Total	575,000	575,000	-	
19	Deliver - Program Delivery/Administration						
20		High Performance Transportation Enterprise--Administration and Legal Fees		1,249,148	1,249,148	-	Fee for Service
21			Total	1,249,148	1,249,148	-	
22	Pass-Through Funds/Multi-modal Grants						
23		Highway					
24			Total	-	-	-	
25	Transportation Commission Contingency / Debt Service						
26		Contingency					
27		Debt Service		750,852	750,852	-	Fee for Service
28			Total	750,852	750,852	-	
				2,575,000	2,575,000	-	

/1 Budget excludes RAMP projects; CE and indirects are calculated based on total programs as shown.

Revenue **2,575,000 2,575,000 -**

**Key to acronyms:**

HPTEB=High Performance Transportation Enterprise Board

**HPTE Fee For Service Revenue & Allocation Adjustment**

Total Consolidated Allocations	<b>1,505,390,655</b>	<b>1,624,905,117</b>	<b>119,514,462</b>
Total Consolidated Revenue	<b>1,505,390,655</b>	<b>1,624,905,117</b>	<b>119,514,462</b>



**COLORADO**  
Department of Transportation  
Division of Accounting and Finance

4201 East Arkansas Avenue, Room 262  
Denver, CO 80222

**MEMORANDUM**

**TO:** TRANSPORTATION COMMISSION  
**FROM:** MARIA SOBOTA, CHIEF FINANCIAL OFFICER  
**DATE:** FEBRUARY 17, 2016  
**SUBJECT:** FY 2016-17 BUDGET TOPICS (Next Fiscal Year)

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**Purpose**

This memorandum summarizes information to be discussed during the February 2016 Transportation Commission (TC) budget workshop including the following budget topics:

- Fixing America's Surface Transportation (FAST) Act
- Senate Bill (SB) 09-228 General Fund Transfer Forecasts
- FY 2016-17 Annual Budget

**Action**

The TC is being asked to review and comment on changes to the FY 2016-17 Annual Budget and provide the Division of Accounting and Finance (DAF) with guidance and input in preparation for the March 2016 TC meeting.

Important items for the TC to note and consider include:

- **National Highway Freight Program:** CDOT is due to receive roughly \$14.9 million in federal money in FY 2016-17 allocated for a new freight initiative introduced in the FAST Act. It establishes both discretionary grant and formula programs to fund critical transportation projects that would benefit freight movement.
- **Off-System Bridge:** There is an assumed increase to the dedicated federal funding source allocated for this program. As a result, the TC will need to consider reducing state flexible funds for this program in FY 2016-17 or combining state and federal resources to further increase the program.
- **Senate Bill 09-228:** The Office of State Planning and Budget (OSPB) released updated SB 09-228 forecasts in December 2015. This new forecast calls for a half SB 09-228 transfer for FY 2016-17 of \$106.8 million. Per statute, the Division of Transit and Rail (DTR) will receive 10% of SB 09-228 transfers. The FY2016-17 Draft Budget adopted by the TC in November included a zero transfer based on the economic forecast issued by OSPB in September 2015. The revised FY 2016-17 Budget includes the transfer. Over the next several months, Department staff will review recommendations with the TC regarding possible projects.



## Background & Details

### *Fixing America's Surface Transportation Act*

Please refer to the FAST Act description in the FY 2015-16 Budget Topics memo for more information on the FAST Act.

### FAST Act Budget Implications

As a result of the FAST Act, the following line items have increased/(decreased) on the FY 2016-17 Annual Budget (see Attachment A):

- Highway Safety Improvement Program (Line 18)
- Railway-Highway Crossing Program (Line 19)
- Freight Program (Line 56)
- DTD Planning and Research - SPR (Line 64)
- Transportation Alternatives Program (Line 77)
- STP - Metro (Line 78)
- Congestion Mitigation/Air Quality (Line 79)
- Metropolitan Planning (Line 80)
- Bridge Off-System - TC Directed (Line 81)
- Bridge Off-System - Federal Program (Line 82)
- Federal Transit (Line 85)
- TC Contingency (Line 103)

### *Senate Bill 09-228 General Fund Transfer Forecasts*

Both the Office of State Planning and Budgeting (OSPB) and Legislative Council Services (LCS) released revised quarterly economic forecasts in December 2015:

- OSPB and LCS are now both projecting similar Senate Bill (SB) 09-228 General Fund transfers in FY 2015-16 and FY 2016-17 (see Table 1 below). Both OSPB (\$200.2 million) and LCS (\$199.5 million) are projecting a full transfer in FY 2015-16 and a half transfer in FY 2016-17 (\$106.8 million for OSPB and \$106.1 million for LCS). Both OSPB and LCS forecast that SB 09-228 General Fund transfers will be eliminated in FY 2017-18.
- The FY 2015-16 Annual Budget as adopted by the TC included an SB-228 projected transfer of \$102.6 million. The FY 2016-17 Draft Budget as adopted by the TC in November included a zero transfer reflecting the amount in the previous forecast issued in September 2015. Both Budgets have been revised to reflect the amounts that OSPB projected in December 2015.
- The changes reflected in the amended FY 2015-16 and in the FY 2016-17 budgets are included in the table below:



Table 1: December 2015 Economic Forecasts

<b>December 2015 Forecasts (in millions)</b>			
	<b>FY 2015-16</b>	<b>FY 2016-17</b>	<b>FY 2017-18</b>
<b>OSP</b>	\$200.2	\$106.8	\$0.0
<b>LCS</b>	\$199.5	\$106.1	\$0.0

January 2016 Quarterly Revenue Forecast

In November 2015, the TC adopted a Draft FY 2016-17 Annual Budget, which was produced using a revenue forecast from September 2015. DAF prepared a January revenue forecast and Department staff is currently evaluating its impacts to the FY 2016-17 Annual budget and will provide information regarding any substantial changes from the November forecast to the TC the upcoming months.

Division of Aeronautics Revenue

In March 2015, jet fuel sold for \$1.77 per gallon. In January 2016, jet fuel sold for \$1.08 per gallon. The Division of Aeronautics main source of revenue is an ad valorem tax of 2.9% of each gallon of jet fuel sold at all Colorado airports, which causes extreme fluctuation in revenue as oil price volatility has increased since 2015. Due to the subsequent significant decrease in oil prices and jet fuel prices, the January 2016 forecast for FY 2016-17 Aeronautics revenue is significantly lower than the one produced in September 2015 and used in the Draft FY 2016-17 Annual Budget. Expected Aeronautics revenue for FY 2016-17 is expected to be \$17.8 million, a decrease from \$25.0 million.

FY 2016-17 Budget Implications

Due to the increased federal revenues as a result of the FAST Act and the significant decrease in Aeronautics revenue forecast from September, DAF has provided the TC a revised Draft Final FY 2016-17 Annual Budget. DAF is seeking comments and recommendations on this Draft Final Annual Budget. In March, the TC will be asked to adopt the Final FY 2016-17 Annual Budget prior to CDOT’s submission to OSPB by April 15, 2016. DAF respectfully asks the TC to comment on the following:

- Increased Federal revenue allocation from the FAST Act.
- Increased SB 09-228 transfer of \$106.8 million from the original expected transfer of zero (Attachment A Line 55 plus Line 86).

Budget amounts for the FY 2016-17 Annual Budget are based initially on CDOT’s revenue model and asset management plan. Unlike TC-directed programs, programs that receive dedicated revenues (the revenues obtained for a particular program) must be allocated to that program and are based on the final FY 2016-17 revenue estimates.



The following criteria were used to allocate program funds for the Department's proposed FY 2016-17 Annual Budget:

- All revenue specific to a program (i.e. FAST Act and State programs such as Safety Education and Aeronautics) were automatically adjusted based on the updated FY 2016-17 revenue estimate.
- All other programs were based on the FY 2015-16 budget amounts as adopted by the TC in November 2015.

As discussed during the November 2015 Budget Workshop, the following TC directed recommendations were included in the FY 2016-17 Draft Budget:

- The FY 2016-17 total Asset Management budget, including Maintenance Levels of Service (MLOS), totals \$587.5 million. In FY 2016-17, \$39.0 million of Trans Bond funding was re-allocated to Asset Management as directed by the TC in Program Distribution dated February 2014. Maintaining current infrastructure is one of CDOT's primary missions.
- Permanent Recovery funding from FHWA was reflected to decrease in FY 2016-17 from FY 2015-16 by \$47.1 million
- The Safe Routes to Schools program was included in the budget at a level of \$2.5 million for FY 2016-17.
- An HPTE "Fee-for-Service" charge of \$2.08 million was budgeted by CDOT in FY 2016-17.

The following changes have been made to the updated FY 2016-17 Annual Budget:

- National Freight Program (Attachment A, line 56) has been added in order to comply with Federal regulations.
- The TC Contingency (Attachment A, line 103) has been reduced to \$15.4 million. This change reflects the State Highway Fund match corresponding to the additional and increases to federal programs as outlined in the FAST Act.
- The total Department budget (including the Enterprises) is \$1.513 billion, representing a net decrease from the amended FY 2015-16 budget of \$112.3 million, or 7.5%. The decrease can be attributed to SB 09-228 forecasts.

Additionally, the HPTE Debt Service allocation has been removed from the HPTE Budget. As discussed at the TC Meeting in January 2016, HPTE has asked for flexibility to determine how and when it will be repaying its TC debt in subsequent fiscal years. As the plan is developed, information will be provided to the TC.

#### **Key Benefits**

The TC has an opportunity review changes to the FY 2016-17 budget and provide initial thoughts to DAF on the budget changes reflected in this memorandum. Department staff will incorporate final recommendations provided by the TC into Final FY 2016-17 Annual Budget.

#### **Options and Recommendations**

The TC is being asked to review the updated FY 2016-17 Annual Budget and provide recommendations in preparation for the March 2016 TC meeting.



**Next Steps**

In March 2016, DAF will provide the TC with a Final FY 2016-17 Annual Budget including changes recommended by the TC during the February 2016 workshop. In March, the TC will be asked to adopt the FY 2016-17 Annual Budget prior to submission to the Governor for approval on or before April 15, 2016.

**Attachments**

Attachment A: Proposed Final FY2016-17 Annual Budget



**Attachment A: Colorado Department of Transportation  
Fiscal Year 2016-17 Proposed Budget Allocations Comparison**

	Budget Category	Program Area	Directed by	FY2017 Draft Allocations (November 2015)	FY2017 Allocations (February 2016)	Difference	Funding Source
				A	B	B-A	
1	<b>Maintain - Maintaining What We Have</b>						
2		<b>CDOT Performed Work</b>					
3		Roadway Surface	TC	39,207,301	39,207,301	-	SH
4		Roadside Facilities	TC	22,031,593	22,031,593	-	SH
5		Roadside Appearance	TC	8,582,670	8,582,670	-	SH
6		Structure Maintenance	TC	12,206,661	12,206,661	-	SH
7		Tunnel Activities	TC	7,181,237	7,181,237	-	SH
8		Snow and Ice Control	TC	76,064,129	76,064,129	-	SH
9		Traffic Services	TC	66,254,514	66,254,514	-	SH
10		Planning and Scheduling	TC	15,584,857	15,584,857	-	SH
11		Material, Equipment and Buildings	TC	15,487,037	15,487,037	-	SH
12				<b>262,600,000</b>	<b>262,600,000</b>	-	
13		<b>Contracted Out Work</b>					
14		Surface Treatment /1 /2	TC	145,125,000	145,125,000	-	FHWA/ SH/
15		Structures On-System Construction /1 /2	TC	31,268,000	31,268,000	-	FHWA/ SH/ 09-108: \$7.6M
16		Structures Inspection and Management /1 /2	TC	4,532,000	4,532,000	-	SH/09-108: \$3.5M
17		Geohazards Mitigation /1	TC	10,000,000	10,000,000	-	09-108: \$10.0M
18		Highway Safety Improvement Program	FR	30,504,717	30,293,460	(211,257)	FHWA / SH
19		Railway-Highway Crossings Program	FR	3,282,636	3,275,208	(7,428)	FHWA / SH
20		Hot Spots	TC	2,167,154	2,167,154	-	FHWA / SH
21		Traffic Signals /1 /2	TC	11,200,000	11,200,000	-	FHWA/ SH/ 09-108: \$9.4M
22		FASTER - Safety Projects	TC	57,851,157	57,851,157	-	09-108
23		Permanent Water Quality Mitigation	TC	6,500,000	6,500,000	-	FHWA / SH
24		Maintain-Related Indirects/Overhead /2					
25		Maintain-Related CDOT Construction Engineering /2					
26				<b>302,430,664</b>	<b>302,211,979</b>	<b>(218,685)</b>	
27		<b>Capital Expenditure</b>					
28		Road Equipment /1 /2	TC	-	-	-	SH
29		Capitalized Operating Equipment	TC	3,760,247	3,760,247	-	SH
30		Property /1 /2	TC	10,000,000	10,000,000	-	SH
31				<b>13,760,247</b>	<b>13,760,247</b>	-	
32			<b>Total:</b>	<b>578,790,911</b>	<b>578,572,226</b>	<b>(218,685)</b>	
33	<b>Maximize - Safely Making the Most of What We Have</b>						
34		<b>CDOT Performed Work</b>					
35		TSM&O: Performance Programs and Services	TC	607,619	607,619	-	SH
36		TSM&O Traffic Incident Management	TC	1,989,156	1,989,156	-	SH
37		TSM&O: ITS Maintenance /1	TC	27,100,000	27,100,000	-	SH / 09-108: \$9.5M
38				<b>29,696,775</b>	<b>29,696,775</b>	-	
39		<b>Contracted Out Work</b>					
40		Safety Education	Comb	12,973,628	12,973,628	-	NHTSA / SSE
41		TSM&O: Congestion Relief	TC	4,750,000	4,750,000	-	FHWA / SH
42		Regional Priority Program	TC	48,609,000	48,609,000	-	FHWA / SH
43		Road X	TC	12,096,525	12,096,525	-	FHWA / SH
44		Maximize-Related Indirect/Overhead /2					
45		Maximize-Related CDOT Construction Engineering /2					
46				<b>78,429,153</b>	<b>78,429,153</b>	-	
47		<b>Capital Expenditure</b>					
48		TSM&O: ITS Investments	TC	10,000,000	10,000,000	-	FHWA / SH
49				<b>10,000,000</b>	<b>10,000,000</b>	-	
50			<b>Total:</b>	<b>118,125,928</b>	<b>118,125,928</b>	-	
51	<b>Expand - Increasing Capacity</b>						
52		<b>CDOT Performed Work</b>					
53				-	-	-	
54		<b>Contracted Out Work</b>					
55		Strategic Projects	SL	-	96,120,000	96,120,000	09-228
56		National Freight Program	FR	-	16,614,829	16,614,829	FHWA / SH
57		Expand-Related Indirect /2					
58		Expand-Related CDOT Construction Engineering /2					
59				-	<b>112,734,829</b>	<b>112,734,829</b>	
60			<b>Total:</b>	-	<b>112,734,829</b>	<b>112,734,829</b>	
61	<b>Deliver - Program Delivery/Administration</b>						
62		Operations [including maintenance support]	TC	32,738,361	32,738,361	-	SH
63		Projects Initiatives	TC	1,855,000	1,855,000	-	FHWA / SH
64		DTD Planning and Research - SPR	FR	13,283,014	13,251,519	(31,495)	FHWA / SH
65		Administration (Appropriated)	SL	30,011,073	30,011,073	-	SH
66		HPTE Fee for Service	TC	2,080,000	2,080,000	-	SH
67		FY2016 Common Policy Anticipated Salary Increase		-	-	-	
68			<b>Total:</b>	<b>79,967,448</b>	<b>79,935,953</b>	<b>(31,495)</b>	
69	<b>Pass-Through Funds/Multi-modal Grants</b>						
70		<b>Aeronautics</b>					
71		Division of Aeronautics to Airports	AB	23,991,181	16,723,097	(7,268,084)	SA
72		Division of Aeronautics Administration	AB	1,050,000	1,050,000	-	SA
73				<b>25,041,181</b>	<b>17,773,097</b>	<b>(7,268,084)</b>	
74		<b>Highway</b>					
75		Recreational Trails	FR	1,591,652	1,591,652	-	FHWA
76		Safe Routes to School	TC	2,500,000	2,500,000	-	FHWA
77		Transportation Alternatives Program	FR	12,045,395	12,021,174	(24,221)	FHWA / LOC
78		STP-Metro	FR	49,134,550	49,955,022	820,472	FHWA / LOC
79		Congestion Mitigation/Air Quality	FR	45,994,306	47,411,168	1,416,862	FHWA / LOC
80		Metropolitan Planning	FR	8,150,505	8,263,775	113,270	FHWA / FTA / LOC
81		Bridge Off-System - TC Directed	TC	3,164,139	-	(3,164,139)	FHWA / SH / LOC
82		Bridge Off-System - Federal Program	FR	6,285,161	11,616,065	5,330,904	FHWA / SH / LOC
83				<b>128,865,708</b>	<b>133,358,856</b>	<b>4,493,148</b>	
84		<b>Transit</b>					
85		Federal Transit	FR	29,621,237	28,725,739	(895,498)	FTA / LOC
86		Strategic Projects - Transit	SL	-	10,680,000	10,680,000	09-228
87		Transit and Rail Local Grants	SL	5,000,000	5,000,000	-	09-108
88		Transit and Rail Statewide Grants	TC	5,800,000	5,800,000	-	09-108
89		Bustang	TC	3,000,000	3,000,000	-	09-108
90		Transit Administration and Operations	TC	1,200,000	1,200,000	-	FTA / 09-108
91				<b>44,621,237</b>	<b>54,405,739</b>	<b>9,784,502</b>	
92		<b>Infrastructure Bank</b>					
93		Infrastructure Bank	TC	420,804	420,804	-	SIB
94			<b>Total:</b>	<b>198,948,930</b>	<b>205,958,496</b>	<b>7,009,566</b>	
95	<b>Transportation Commission Contingency / Debt Service</b>						
96		<b>Permanent Recovery</b>					
97		Permanent Recovery		127,400,000	127,400,000	-	FHWA
98		Recovery-Related Indirect/Overhead /2					
99		Recovery-Related CDOT Construction Engineering /2					
100				<b>127,400,000</b>	<b>127,400,000</b>	-	
101							
102		<b>Contingency</b>					
103		TC Contingency	TC	25,000,000	17,379,159	(7,620,841)	FHWA / SH
104		Snow & Ice Reserve	TC	10,000,000	10,000,000	-	SH
105				<b>35,000,000</b>	<b>27,379,159</b>	<b>(7,620,841)</b>	
106		<b>Debt Service</b>					
107		Strategic Projects - Debt Service	DS	128,869,125	128,869,125	-	FHWA / SH
108		Certificates of Participation-Property	DS	2,364,664	2,364,664	-	SH
109		Certificates of Participation-Energy	DS	993,850	993,850	-	SH
110				<b>132,227,639</b>	<b>132,227,639</b>	-	
111			<b>Total:</b>	<b>294,627,639</b>	<b>287,006,798</b>	<b>(7,620,841)</b>	
				<b>1,270,460,856</b>	<b>1,382,334,230</b>	<b>111,873,374</b>	

Revenue **1,270,460,856**      **1,382,334,230**      **111,873,374**

/1 FASTER Safety funds (\$40.0M) were substituted for flexible funds in appropriate Asset Management Programs. Resulting available flexible funds were then added to Regional Priority Program.  
/2 Budget excludes RAMP projects; CE and indirects are calculated based on total programs as shown.

**Flexible Funds**

**Key to acronyms:**

LOC=Loc DS= Debt Service Covenants  
SIB=St. AB=Aeronautics Board  
TC=Trans FR=Federal Requirements

SH=State Highway funding  
FHWA=Federal Highway  
FTA=Federal Transit

SL=State Legislation  
Comb=Combination  
SSE=State Safety Education

09-228=Funds from HB 09-228  
09-108=Funds from HB 09-108 (FASTER)  
NHTSA=Nat. Hwy. Traffic Safety Administration

**State Bridge Enterprise  
Fiscal Year 2016-17 Proposed Budget Allocations Comparison**

	Budget Category	Program Area	Directed by	FY2017 Draft Allocations (November 2015)	FY2017 Allocations (February 2016)	Difference	Funding Source
				A	B	B-A	
1	Maintain - Maintaining What We Have						
2		CDOT Performed Work					
3		Contracted Out Work					
4		Maintenance	BEB	250,000	250,000	-	09-108
5		Scoping Pools	BEB	300,000	300,000	-	09-108
6				550,000	550,000	-	
7		Contracted Out Work					
8		Bridge Enterprise Projects	BEB	105,904,096	105,904,096	-	09-108
9		Maintain-Related Indirects/Overhead /1					
10		Maintain-Related CDOT Construction Engineering /1					
11			Total	105,904,096	105,904,096	-	
12	Maximize - Safely Making the Most of What We Have						
13		CDOT Performed Work					
14		Contracted Out Work					
15			Total	-	-	-	
16	Expand - Increasing Capacity						
17		CDOT Performed Work					
18		Contracted Out Work					
19			Total	-	-	-	
20	Deliver - Program Delivery/Administration						
21		Administration and Legal Fees		1,911,904	1,911,904	-	09-108
22			Total:	1,911,904	1,911,904	-	
23	Pass-Through Funds/Multi-modal Grants						
24		Highway					
25			Total:	-	-	-	
26	Transportation Commission Contingency / Debt Service						
27		Contingency					
28		Bridge Enterprise - Contingency	BEB	-	-	-	09-108
29							
30		Debt Service					
31		Bridge Enterprise - Debt Service	DS	18,234,000	18,234,000	-	FHWA / SH
32				18,234,000	18,234,000	-	
33			Total:	18,234,000	18,234,000	-	
				126,600,000	126,600,000	-	

/1 Budget excludes RAMP projects; CE and indirects are calculated based on total programs as shown.

Revenue **126,600,000**      **126,600,000**      **-**

**Key to acronyms:**  
BEB= Bridge Enterprise Board  
DS= Debt Service Covenants

**High Performance Transportation Enterprise  
Fiscal Year 2016-17 Proposed Budget Allocations Comparison**

	Budget Category	Program Area	Directed by	FY2017 Draft Allocations (November 2015)	FY2017 Allocations (February 2016)	Difference	Funding Source
				A	B	B-A	
1	Maintain - Maintaining What We Have						
2		CDOT Performed Work					
3		Contracted Out Work					
4			Total	-	-	-	
5	Maximize - Safely Making the Most of What We Have						
6		CDOT Performed Work					
7		Contracted Out Work					
8			Total	-	-	-	
9	Expand - Increasing Capacity						
10		CDOT Performed Work					
11		High Performance Transportation Enterprise--Maintenance	HPTEB	-	-	-	Tolls/Managed Lanes Revenue
12							Tolls/Managed Lanes Revenue
13		Contracted Out Work					
14		High Performance Transportation Enterprise--Projects	HPTEB	5,636,702	5,636,702	-	Tolls/Managed Lanes Revenue
15		Expand-Related Indirect /1					
16		Expand-Related CDOT Construction Engineering /1					
17				5,636,702	5,636,702	-	Tolls/Managed Lanes Revenue
18			Total	5,636,702	5,636,702	-	
19	Deliver - Program Delivery/Administration						
20		High Performance Transportation Enterprise--Administration and Legal Fees		1,178,649	2,088,800	910,151	Fee for Service
21			Total:	1,178,649	2,088,800	910,151	
22	Pass-Through Funds/Multi-modal Grants						
23		Highway					
24			Total:	-	-	-	
25	Transportation Commission Contingency / Debt Service						
26		Contingency					
27		Debt Service		901,351	-	(901,351)	Fee for Service
28			Total:	901,351	-	(901,351)	
				7,716,702	7,725,502	8,800	

/1 Budget excludes RAMP projects; CE and indirects are calculated based on total programs as shown.

Revenue **7,716,702**      **7,725,502**      **8,800**

**Key to acronyms:**  
HPTEB=High Performance Transportation Enterprise Board

HPTE Fee For Service Revenue & Allocation Adjustment      (2,080,000)      (2,080,000)

Total Consolidated Allocations      **1,402,697,558**      **1,514,579,732**      **111,882,174**

Total Consolidated Revenue      **1,402,697,558**      **1,514,579,732**      **111,882,174**



**DATE:** February 17, 2016  
**TO:** Transportation Commission  
**FROM:** Debra Perkins-Smith, Director, Division of Transportation Development (DTD)  
**SUBJECT:** Candidate Senate Bill (SB) 228 Projects

**Purpose**

To review updated candidate SB 228 projects and discuss priorities for additional SB 228 funding.

**Action**

Informational. Transportation Commission (TC) input.

**Background**

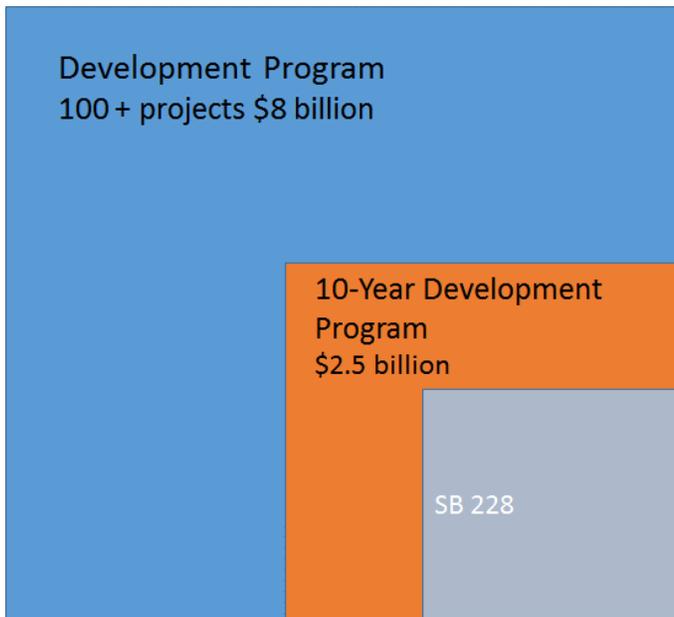
Current forecasts from the Office of State Planning and Budgeting (OSPB) and Legislative Council call for SB 228 transfers of roughly \$306 million in FY 16 and 17. Roughly \$200 million is anticipated in FY 16. When the initial draft FY 17 budget was developed this fall, forecasts called for no SB 228 funding in FY 17. More recent forecasts are now calling for approximately \$106 million in SB 228 revenue in FY 17. There are also a number of legislative proposals this session which, if successful, may increase the likelihood of SB 228 funding in subsequent years.

Candidate SB 228 projects were initially identified in November, 2014 and have since been included in the Development Program. The evaluation of SB 228 projects focused on two key areas - mobility and economic vitality. In order for an eligible project to compete well, the project needed to demonstrate strong mobility benefits (i.e. reduced congestion, increased reliability, improved connections, etc.) and the ability to significantly affect the economic vitality of the state or region (i.e. facility serves freight, agricultural, energy, or recreation needs, serves key jobs center, provides access to significant inter-/multi-modal facilities, etc.). Additional evaluation criteria included criteria relating to safety and asset life. The emphasis on mobility and economic vitality reflects both the SB 228 focus on strategic projects, as well as the availability of other funding dedicated to asset management and safety. The Central 70 (I-70 East) project was identified by the TC as the priority for the initial SB 228 transfers (assumed \$200 million, with 10 percent for transit), but the TC did not identify specific projects from the candidate list for additional SB 228 transfers. The STAC also discussed and supported the identification of the Central 70 project as the initial priority for SB 228 given its statewide significance.

In January, the Transportation Commission reaffirmed the previously identified SB 228 criteria and the focus on mobility and economic vitality. The Statewide Transportation Advisory Committee (STAC) met the week after the January Transportation Commission meeting and concurred that mobility and economic vitality remain the appropriate focus for this funding source.

January TC and STAC meetings also included discussion of further prioritization of the nearly \$8 billion in major highway projects included in the Development Program in order to identify a smaller subset of projects (i.e. "10 Year Development Program") with a target of closer to \$2 - \$2.5 billion. This is a related and parallel effort, with further discussion anticipated at subsequent TC meetings. While priorities for SB 228 are focused on mobility and economic vitality, the "10 Year Development Program" will include major projects of all types, including those that are focused on safety or asset life.





## Details

### *Highway Projects*

Attachment A includes the original candidate SB 228 highway projects, with updates reflecting the most current information on scope, cost, etc. Updates are summarized in column M. Two projects are recommended for removal and are identified at the top of Attachment A. Staff reviewed other projects included in the Development Program and the RTDs recommended several projects from the Development Program for further evaluation and consideration of inclusion on the list of candidate SB 228 projects. Fourteen projects have been identified for further consideration and are included in Attachment A under the heading “Potential NEW Candidate SB 228 Highway Projects.” The original projects met eligibility criteria relating to project readiness, strategic nature, and funding, in addition to the evaluation criteria identified above. If the TC chooses to consider these additional projects further, staff will review them based on the eligibility and evaluation criteria. With the removal of the projects identified above, candidate SB 228 highway funding needs total roughly \$2.1 billion. The additional projects identified total roughly \$537 million in need.

As noted previously, current projections for FY 17 SB 228 revenues total approximately \$106 million, with the possibility of additional funds in subsequent years (depending on forecasts, and the outcome of proposed legislation). Staff requests Transportation Commission input to assist in further screening or prioritizing projects. Questions to consider include:

- Should a project or projects be identified only for FY 17 funding (\$106 million), or for a higher amount assuming the possibility of additional SB 228 funding in subsequent years?
- Should there be a project readiness requirement? (The original eligibility criteria required a project be ready for construction within five years of selection).
- Should projects with other options for funding be considered a lower priority?
- How should geographic equity be considered?
- Should there be a focus on funding a very large project or in funding multiple smaller projects?

### *Transit Projects*

Transit projects were also included in the original list of candidate SB 228 projects from November 2014 and are included in Attachment A under the heading “Original Candidate SB 228 Transit Projects.” One project has been removed and is identified at the top of the transit projects in Attachment A. One additional project has been identified for further consideration and is included in Attachment A under the heading “Potential NEW Candidate



SB 228 Transit Projects.” With the addition of this project, candidate SB 228 transit funding needs total roughly \$465 million.

Over the last several months the Division of Transit & Rail (DTR) has been working with the Transit & Intermodal (T&I) Committee to update, refine, and scale priorities for transit more in line with available SB 228 funding. Through the evolution of the SB 228 Transit process with the TC and the T&I Committee, DTR has developed a Conceptual Plan for a Rural Regional bus network to be operated with existing, sustainable federal and FASTER funds. The capital requirements (buses and park & rides) for the Rural Regional system, and park & ride deficiencies for the existing Bustang service will utilize the SB 228 Transit funds. Detailed cost estimates are being developed over the winter and spring as the Conceptual Plan comes closer to finalization with stakeholder input. Once finalized, it will be proposed and recommended to the TC that projects be implemented in the order of priority until the available funds are exhausted.

#### **Next Steps**

- February - STAC Workshop on priorities for SB 228 funding
- March - TC Workshop on priorities for SB 228 funding

#### **Attachments**

- Attachment A - Updated Candidate SB 228 Projects
- Attachment B - Map of Updated Candidate SB 228 Projects



Updated Candidate Senate Bill (SB 228) Projects  
February 2016

A	B	C	D	E	F	G	H	I	J	K	L	M	
SB 228 Project ID	Development Program Project ID	Region	TPR	County	Project	Project Description	Project Limits	Project Type	Total Project Cost (\$ M)	Funding Request (\$ M)	Reason for Selection	Updates	
<b>Original Candidate SB 228 Highway Projects to be Removed</b>													
1	16	N/A	2	Pikes Peak	El Paso	US 24 / 8th Street Interchange	Construction of Single Point Urban Interchange at 8th Street	14th St. (MP 303) to I-25 (MP 304)	Interchange Improvements	\$ 72.0	\$ 72.0	Regionally significant corridor. Significant corridor for commuter traffic and recreational traffic as gateway to mountains from Colorado Springs.	Recommended for removal- Improvements being completed as part of the Cimarron Interchange project will significantly delay the need for this project.
2	4	12	1	Greater Denver	Douglas	C-470: Platte Canyon to Kipling	Second phase of C-470 Corridor project. Currently funded first phase adds one tolled Express Lane westbound from I-25 to Wadsworth, and a second tolled Express Lane from I-25 to Colorado. Eastbound, the project adds one tolled Express Lane from Platte Canyon to I-25. The funded first phase also includes auxiliary lanes between select interchanges. The second phase includes the extension of one westbound tolled Express Lane from Platte Canyon to Kipling, and a second westbound tolled Express Lane to Lucent. Eastbound, one tolled Express Lane would be extended to Kipling, and a second tolled Express Lane would be added from Broadway to I-25.	Platte Canyon to Kipling	Widening/ New Capacity	\$ 334.0	\$ 334.0	Regionally significant corridor. Continues important managed lanes project with high mobility and economic benefit.	Updated project description, project cost, and funding request. Recommended for removal-study on this segment is just beginning and construction has yet to begin on the first phase.
<b>Original Candidate SB 228 Highway Projects with Updates</b>													
3	1	9	1	Greater Denver	Denver	I-70 East: I-25 to I-225	Reconstruction of I-70, including the I-70 viaduct. First phase project would include the addition of one tolled Express Lane in each direction from Brighton Boulevard to I-225. Preferred ultimate alternative is expansion and reconstruction of I-70 from Brighton Boulevard to Tower Road with two tolled Express Lanes in each direction. The total project cost includes only the first phase project.	I-25 to I-225	Widening/ New Capacity	\$ 1,117.0	\$ 180.0	Critical project of statewide significance. Major corridor of state and national significance, and major truck route. High mobility and economic benefits.	Updated name and project description to extend to I-225 and specify type of managed lanes. Reduced funding request to \$180 M.
4	2	7	1	Greater Denver	Clear Creek	I-70 West: Floyd Hill	Reconstruction of westbound Bridge at US 6 (MP 244) and construct of third lane westbound down Floyd Hill to bridge. Construction of third lane to Twin Tunnels-either Peak Period Shoulder Lanes (PPSL) or permanent.	East Idaho Springs (MP 241) to Beaver Brook (MP 246.5)	Widening/ New Capacity	\$ 250.0	\$ 200.0	Major corridor of state and national significance, and major truck route. Project will address severe weekend mobility issues related to recreational traffic. High mobility and economic benefits.	
5	3	4, 5	1	Greater Denver	Adams	I-25 North: TEL Expansion	Expand Tolled Express Lanes from current planned end at E-470 to SH 7. Project would need to be combined with local funds to rebuild I-25 / SH 7 Interchange.	E-470 to SH 7	Widening/ New Capacity	\$ 70.0	\$ 30.0	Completes TELs to originally planned target. Leverages local funds to build new interchange allowing for better functioning TELs, General Purpose lanes and potential transit expansion.	Split into two separate projects with updated name, description, termini, total project cost, and funding request.
6	3	4, 5	1	Greater Denver	Adams	I-25 North: US 36 to 120th	Improvements on I-25 between US36 and 120th Potential improvements include: I-25/ Thornton Parkway Ramp, Aux lanes, additional lane between 84th Ave and Thornton Parkway and reconstruction of 88th Ave Bridge.	US 36 to 120th	Operational Improvements	\$ 95.0	\$ 50.0	Major corridor of state and national significance, and major truck route. High mobility and economic benefits.	Split into two separate projects with updated name, description, termini, total project cost, and funding request.
7	5	1	1	Greater Denver	Douglas	I-25: Monument to Castle Rock	Expand capacity with Managed Lanes from Monument to Castle Rock as outlined in the PEL currently underway. Could be expanded north based on PEL outcomes.	Monument to Castle Rock	Widening/ New Capacity	\$ 270.0	\$ 100.0	Major corridor of state and national significance, and major truck route. Includes PEL and early action items on segment in between completed I-25 work in Denver area and Colorado Springs area.	Total project cost and funding request increased from \$27 M. Updated project description.
8	12	6	1	Greater Denver	Clear Creek	I-70 West: Westbound Peak Period Shoulder Lane (PPSL)	Construction of Peak Period Shoulder Lanes (PPSL) on westbound side from Empire Junction to Twin Tunnels.	Empire Junction (MP 231) to Twin Tunnels	Operational Improvements	\$ 170.0	\$ 100.0	Major corridor of state and national significance, and major truck route. Project will address severe weekend mobility issues related to recreational traffic. High mobility and economic benefits.	Funding request reduced from \$170 M. Updated project termini.
9	13	2	1	Greater Denver	Denver	I-25: Santa Fe to Alameda	Completion of the Alameda Interchange on I-25 including reconstruction of Lipan, reconstruction of the Alameda Bridge over the South Platte and finalization of ramp configurations.	Santa Fe to Alameda	Interchange Improvements	\$ 30.0	\$ 3.0	Major corridor of state and national significance. High mobility and economic benefits.	Revised funding request from \$30 M to \$3 M to reflect agreement with City and County of Denver. As part of the IGA between CDOT and the City of Denver for the I-70 East project, Denver has agreed to make this project its top priority for TIP funding in the next DRCOG TIP cycle.
10	14	13	1	Greater Denver	Jefferson	US 6: Wadsworth Interchange	Reconstruction of the interchange at US 6 and Wadsworth.	US 6 and Wadsworth	Interchange Improvements	\$ 60.0	\$ 60.0	Regionally significant corridor. Serves major commercial center.	

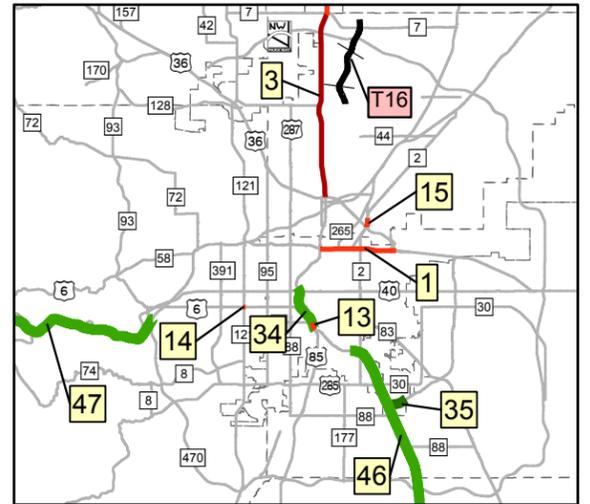
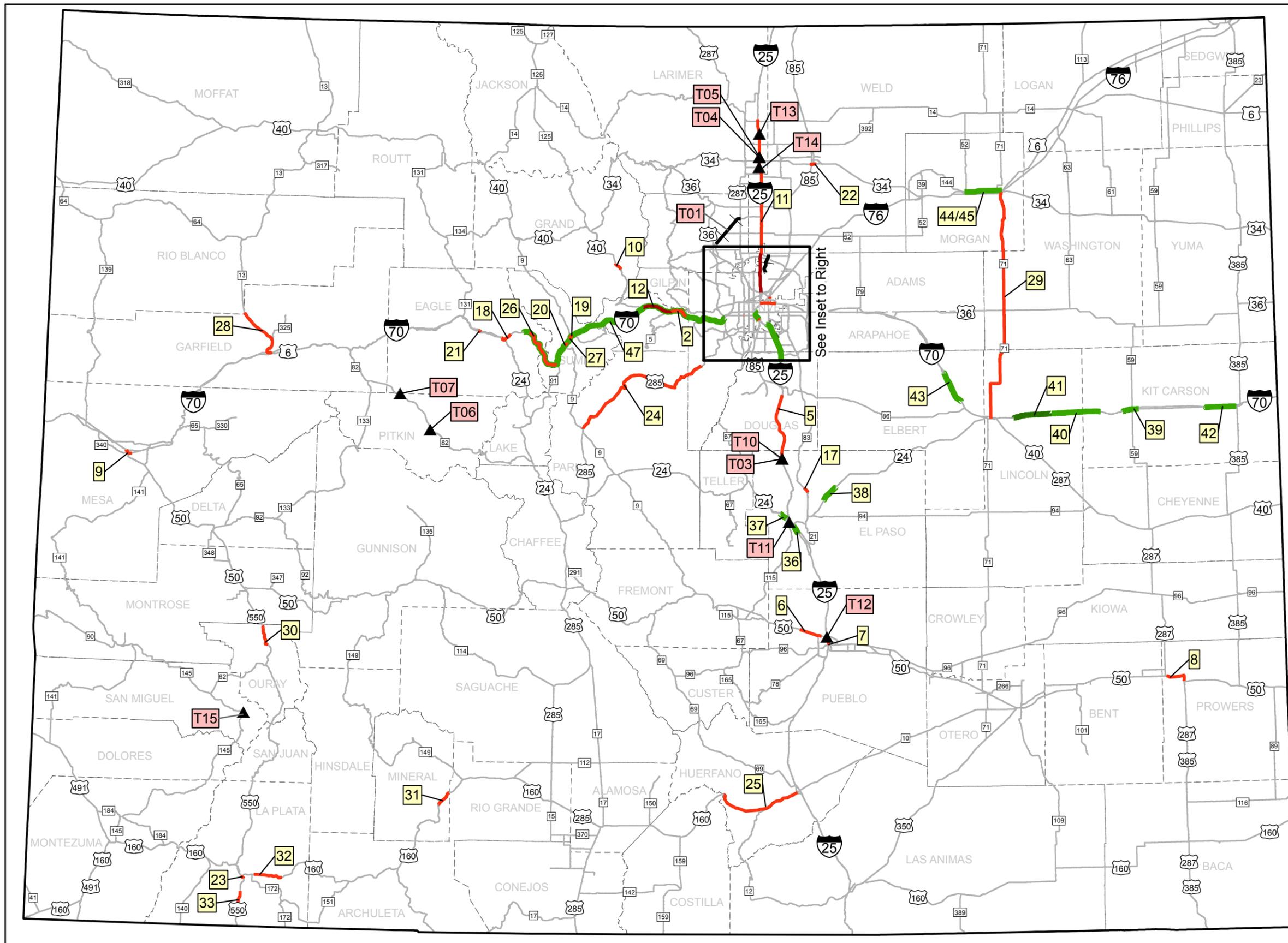
	SB 228 Project ID	Development Program Project ID	Region	TPR	County	Project	Project Description	Project Limits	Project Type	Total Project Cost (\$ M)	Funding Request (\$ M)	Reason for Selection	Updates
13	15	15	1	Greater Denver	Adams	US 85: I-270 to 62nd Ave. Interchange	Reconstruction of the interchange at I-270 and intersection at 60th Ave. to improve the safety and capacity by making the geometric configuration more intuitive for drivers, adding grade separation, and improving access points based on a PEL study recommendation.	I-270 to 62nd Ave.	Interchange Improvements	\$ 35.0	\$ 35.0	Primary alternate to I-70. Critical during I-70 East construction. Significant truck route.	Updated project description and increased total project cost from \$25 M.
14	6	23	2	Pueblo	Pueblo	US 50 West of Pueblo WB	Widening of divided highway westbound from two lanes to three lanes.	Pueblo Boulevard (SH 45) to McCulloch Boulevard	Widening/ New Capacity	\$ 50.0	\$ 50.0	High mobility and economic benefits., as well as safety benefits. Provides access to major employers in area.	
15	7	18	2	Pueblo	Pueblo	I-25: 29th street section	Part of the Phase 1 of the New Pueblo Freeway. Widening of the interstate from two to three lanes in each direction and relocation of interchange ramps and construction of frontage roads.	US 50 (MP 99) to SH 47 interchange (MP 101)	Widening/ New Capacity	\$ 52.0	\$ 52.0	Major corridor of state and national significance, and major truck route. High mobility and economic benefits. Also provides safety benefits by addressing a narrow bridge and problematic curves.	Total project cost increased from \$50 M.
16	8	25	2	Southeast	Prowers	US 287: Lamar Reliever Route	Construction of new two lane reliever route. A smaller Phase 1 project can be completed for \$30 M.	US 287 (MP 73 to MP 79) and US 50 (MP 433 to 435)	Widening/ New Capacity	\$ 160.0	\$ 160.0	Truck bypass on important Ports to Plains Freight Corridor.	Total project cost increased from \$75 M.
17	17	28	2	Pikes Peak	El Paso	SH 21: Research Parkway Interchange	Construction of new grade-separated interchange at SH 21 and Research Parkway.	North of Woodman Rd. (MP 149) to South of Briargate Parkway (MP 151)	Interchange Improvements	\$ 30.0	\$ 30.0	Only at grade intersection on this section of the SH21 corridor from Woodmen to Old Ranch Road. This will be the only at grade intersection in this section when the Old Ranch road interchange is completed as part of RAMP. High mobility benefits- identified as on of the top	Total project cost increased from \$25 M.
18	24	N/A	2	Central Front Range	Park	US 285 Fairplay to Richmond Hill	Addition of passing lanes and shoulder widening.	Fairplay (MP 183) to Richmond Hill (MP 234)	Other Mobility Improvements	\$ 15.0	\$ 15.0	Strong mobility need for passing lanes. Corridor serves as alternate route to I-70 in event of closures.	
19	25	N/A	2	South Central	Huerfano	US 160 Mobility Improvements	Addition of passing lanes and shoulder widening at selected locations.	La Veta Pass (MP 278.63) to I-25 (MP 303.5)	Other Mobility Improvements	\$ 15.0	\$ 15.0	Improves mobility and safety on corridor providing connections to several major tourists destinations.	
20	9	30	3	Grand Valley	Mesa	I-70: Business Loop	Reconstruction of First and Grand intersection to improve operations and safety, meet current geometric design standards, and improve pedestrian safety.	I-70B (MP 4) to 15th St. (MP 6)	Widening/ New Capacity	\$ 20.0	\$ 16.0	Regionally significant corridor. Project will improve access, mobility, and safety. Provides access to major commercial area, and improves connection between I-70 and Colorado Mesa University.	Total project cost reduced from \$37.5 M and scope updated.
21	10	41	3	Northwest	Grand	US 40: Fraser to Winter Park	Construction of capacity improvements on US 40 between Fraser and Winter Park, likely widening to a four lane facility.	Fraser (MP 226.5) to Winter Park (MP 229)	Widening/ New Capacity	\$ 11.0	\$ 11.0	Regionally significant tourism corridor. Will improve mobility in busy area with new development.	
22	18	34	3	Intermountain	Eagle	I-70 West: Dowd Canyon Interchange	Reconstruction and upgrade of I-70 Dowd Interchange for safety and operations.	Dowd Canyon (MP 170 to MP 174)	Interchange Improvements	\$ 22.0	\$ 22.0	Major corridor of state and national significance, and major truck route. High mobility and economic benefits. West of Vail- serves significant tourism traffic as well as commuter traffic. Location has one of highest accident rates along I-70 corridor. Will improve substandard on-ramp at a sharp curve.	Total project cost increased from \$14 M. \$12-13 M for Phase I EB improvements, plus \$5-6 M for Phase II WB improvements, plus \$1.5 M for geohazard work.
23	19	38	3	Intermountain	Summit	I-70 West: Silverthorne Interchange	Reconstruction of Exit 205 (Silverthorne) Interchange including installation of a Diverging Diamond Interchange, extensive paving, curb, drainage. All 4 ramps affected, including new capacity on westbound on ramps.	MP 205 to MP 206	Interchange Improvements	\$ 20.0	\$ 19.0	Major corridor of state and national significance, and major truck route. High mobility and economic benefits. Provides access to major ski areas. Will reduce peak period travel times.	\$11 M request originally reported in error. Updated to \$20 M.
24	20	36	3	Intermountain	Summit	I-70 West: Exit 203 Interchange Improvements	Conversion of single lane roundabout at the Exit 203 ramp termini to a double lane, consider addition of through lane over existing structure and bridge expansion. This will correct traffic back ups on westbound I-70 in peak periods and weave from an auxiliary lane east of the ramp.	MP 202 to MP 203	Interchange Improvements	\$ 6.2	\$ 6.2	Major corridor of state and national significance, and major truck route. High mobility and economic benefits.	Total project cost increased from \$4.5 M. If striping only is feasible and bridge widening not required, project would only be \$1.08 M.
25	21	33	3	Intermountain	Eagle	I-70 Edwards Spur Road	Improvements to southern half of the Edwards Spur Rpad starting north of the roadway bridge and ending with connection to US 6 to the south. Improvements anticipated to include road and bridge widening, intersection improvements, and pedestrian mobility improvements.	I-70 G Spur Rd. (MP 0) to US 6 (MP 0.527)	Interchange Improvements	\$ 35.0	\$ 25.0	Provides connectivity to I-70. Bustang Stop. One of worst interchanges in Eagle/Summit County.	Project increased from \$15 M due to need for additional lane in each direction and \$5 M in multimodal improvements.

	SB 228 Project ID	Development Program Project ID	Region	TPR	County	Project	Project Description	Project Limits	Project Type	Total Project Cost (\$ M)	Funding Request (\$ M)	Reason for Selection	Updates
26	26	35	3	Intermountain	Eagle	I-70 West: Vail Pass Auxiliary Lanes and Wildlife Overpass	Completion of NEPA and preliminary engineering for recommended third lane (both directions) to increase safety and mobility. Installation of permanent water quality features, relocation of bike path, and completion of 3 miles of roadway widening.	MP 180 to MP 195	Other Mobility Improvements	\$ 75.0	\$ 72.5	Major corridor of state and national significance, and major truck route. High mobility and economic benefits. Serves significant tourism traffic.	Total project cost increased from \$50 M.
27	27	37	3	Intermountain	Summit	I-70 West: Frisco to Silverthorne Auxiliary Lane	Construction of eastbound auxiliary lane from MP 203 to 205. Identified in the Silverthorne Interchange PEL as a safety improvement for eastbound I-70. Minimal widening required.	MP 203 to MP 205	Other Mobility Improvements	\$ 11.2	\$ 10.0	Major corridor of state and national significance, and major truck route. High mobility and economic benefits.	Total project cost increased from \$8 M.
28	28	45	3	Intermountain	Garfield	SH 13: Rifle North	Reconstruction of NHS and high volume truck route to add shoulders, game fence and wildlife underpasses.	Rifle (MP 4) to Rio Blanco County Line (MP 16)	Other Mobility Improvements	\$ 60.0	\$ 52.0	Adding shoulders will improve truck movement. Strong economic benefits given importance of corridor for freight and energy development.	Funding need reduced from \$60 M.
29	11	52	4	Greater Denver / North Front Range	Adams/ Broomfield/ Weld/ Larimer	I-25 North: SH 7 to SH 14	Addition of one tolled Express Lane in each direction, interchange reconstruction, mainline reconstruction, safety, and Intelligent Transportation System (ITS) improvements from SH 7 to SH 14.	SH 7 (MP 229) to SH 14 (MP 270)	Widening/ New Capacity	\$ 1,500.0	\$ 350.0	Major corridor of state and national significance, and major truck route. High mobility and economic benefits.	Funding request increased from \$200 M. Total project cost increased from \$1,000 M.
30	22	58	4	North Front Range	Weld	US 34 / US85 Interchange Reconfiguration	Improvements to the safety and capacity of interchange by making the geometric configuration of the interchange more intuitive to drivers, adding grade separations, and improving access points. Due to its complexity this interchange has come to be known by locals as Spaghetti Junction.	US 85 (MP 112 to MP 114)	Interchange Improvements	\$ 100.0	\$ 99.0	Regionally significant corridor supporting freight, energy, oil, agriculture, and commuter traffic. Will update and reconfigure failing structures and improve mobility and operations.	Total project cost increased from \$75 M.
31	29	72	4	Eastern	Morgan/ Washington/ Lincoln	SH 71 Super 2	Reconstruction of corridor to Super 2 configuration.	I-70 to Nebraska State Line.	Other Mobility Improvements	\$ 100.0	\$ 100.0	Congressionally designated high priority corridor (Heartland Expressway). Will add shoulders and improve roadway to Super 2. Improvements will attract truck traffic away from I-25 and other corridors.	Updated project description and limits.
32	23	92	5	Southwest	La Plata	US 550/US 160 Connection	Completion of the connection of US 550 to US 160 at the Grandview Interchange.	Grandview Interchange south to CR 220 (MP 15.5)	Interchange Improvements	\$ 91.0	\$90 (\$10 M for ROW and design)	Congested corridor improves travel time and access. Connects to new development and hospital.	Total project cost increased from \$90 M.
33	30	94	5	Gunnison Valley	Ouray/ Montrose	US 550: Passing Lanes North of Ridgway	Addition of passing opportunities and mobility improvements to US 550, north of Ridgway. The project includes safety improvements with the addition of shoulder widening, curve corrections, and the installation of a wildlife underpass.	Ridgway (MP 111) to Colona (MP 117)	Other Mobility Improvements	\$ 27.0	\$ 27.0	Regionally significant corridor with heavy truck traffic. Passing lanes will improve mobility and wildlife mitigation will address animal-vehicle accidents in an area with one of the highest animal-vehicle accident rates in the state.	Total project cost increased from \$15 M.
34	31	85	5	San Luis Valley	Mineral	US 160: Wolf Creek Pass East Mobility Improvements	This is the final project outlined in the US 550 East of Wolf Creek Pass Environmental Assessment (EA). The design includes the addition of passing opportunities, mobility improvements, and safety improvements including shoulder widening, curve corrections, rock excavation and rockfall protection, chain station reconstruction, and fiber optic backbone installation.	Lake Creek (MP 175) to East of Chain Station (MP 180)	Other Mobility Improvements	\$ 45.3	\$ 45.3	Regionally significant corridor accessing Wolf Creek Ski Area. Freight corridor. Improves mobility on mountainous roadway pass.	Total project cost increased from \$35 M.
35	32	83	5	Southwest	La Plata	US 160 Dry Creek Passing and Mobility Improvements	Addition of passing opportunities and mobility improvements including an intersection relocation at CR 223, and a two lane bypass around Gem village. The project also includes the following safety improvements: shoulder widening, access consolidation, wildlife underpass and fencing, passing lane extension.	SH 172 (MP 93) to West of Gem Village (MP 101)	Other Mobility Improvements	\$ 21.5	\$ 21.5	Bypass and passing lanes will improve travel times. Connects two major communities in the area.	Updated name from US 160: Durango to Bayfield Passing and Mobility Improvements. Increased total project cost from \$20 M. and increased funding request.
36	33	90	5	Southwest	La Plata	US 550 South: Sunnyside	Major reconstruction requiring widening to a four lane roadway, including earthwork, drainage, irrigation, utilities, HMA paving, pedestrian bridge, sound wall, small and large mammal crossings.	MP 8-10	Other Mobility Improvements	\$ 26.6	\$ 26.6	Widening to 4 lanes will improve safety and travel times on congested corridor with no shoulders. Regionally significant corridor, freight route to New Mexico. Provides access to areas of new development.	US 550: New Mexico State Line North to Durango Passing and Mobility Improvements split into two projects- US 550 South: Sunnyside and US 550 South: Gap.
37	33	91	5	Southwest	La Plata	US 550 South: Gap	Reconstruction to four lanes, including drainage, utilities, large and small mammal crossings, and intersection improvements.	MP 9-12	Other Mobility Improvements	\$ 30.0	\$ 27.3	Widening to 4 lanes will improve safety and travel times on congested corridor with no shoulders. Regionally significant corridor, freight route to New Mexico. Provides access to areas of new development.	US 550: New Mexico State Line North to Durango Passing and Mobility Improvements split into two projects- US 550 South: Sunnyside and US 550 South: Gap.

SB 228 Project ID	Development Program Project ID	Region	TPR	County	Project	Project Description	Project Limits	Project Type	Total Project Cost (\$ M)	Funding Request (\$ M)	Reason for Selection	Updates
<b>Potential NEW Candidate SB 228 Highway Projects</b>												
38												
39	46	06	Statewide	Greater Denver Area	Denver, Douglas	I-25 South Metro/Managed Motorway Demonstration Project	The Colorado Managed Motorways project would build upon the Intelligent Transportation Systems (ITS) applications already present in the I-25 corridor, including ramp metering and traveler information systems, to improve the overall average speed and vehicular throughput in the corridor during peak demand (rush hour).	Ridgeway Pkwy. to University Blvd.	Operational Improvements	\$ 7.6	\$ 7.6	
40	47	06	Statewide	Greater Denver Area / Intermountain	Jefferson, Clear Creek, Summit, Eagle	I-70 Mountain Corridor Connected Vehicle (CV) Project	The primary goal of the CV Pilot Program is to maximize safety and mobility on the I-70 mountain corridor through probe data collection, vehicle-to-infrastructure (V2I) communication, and related decision support analysis to enable real-time traffic management and traveler information and safety applications.	C-470 to Vail	Operational Improvements	\$ 11.2	\$ 11.2	
41	34	3	1	Greater Denver Area	Denver	I-25: Valley Highway Phase 3.0: Santa Fe to Bronco Arch (including bridges)	Replacement of bridges and interchanges and roadway widening.	Santa Fe to Bronco Arch	Widening/ New Capacity	\$ 60.0	\$ 60.0	
42	35	10	1	Greater Denver Area	Denver	I-225: I-25 to Yosemite	Complete NEPA and final design for \$3 million. Construction involves removing bottleneck at Yosemite by splitting traffic going to northbound and southbound I-25 with two lanes for each direction. Current DTR on-ramp would serve northbound I-25 only with a braided ramp under I-225 to I-25 northbound that will connect to the right side of the I-225 to I-25 southbound lanes. Includes replacement of Ulster bridge.	I-25 to Yosemite	Widening/ New Capacity	\$ 60.0	\$ 60.0	
43	36	19	2	Pikes Peak Area	El Paso	I-25: Widening S. Academy to Circle/Lake	Widening of roadway to six lanes.	S. Academy Blvd. to Circle/Lake	Widening/ New Capacity	\$ 35.0	\$ 35.0	
44	37	21	2	Pikes Peak Area	El Paso	US 24 West: 8th Street to 31st St.	Widening of roadway from four to six lanes.	8th St. to 31st St.	Widening/ New Capacity	\$ 55.0	\$ 55.0	
45	38	22	2	Pikes Peak Area	El Paso	US 24 East: Widening Garrett/Dodge to Stapleton Rd.	Widening of roadway to four lanes from Garrett/Dodge Rd. to Stapleton Rd.	Garret/Dodge Rd. (MP 318.3) to Stapleton Rd. (MP 323.6)	Widening/ New Capacity	\$ 28.0	\$ 28.0	
46	39	53	4	Eastern	Lincoln / Kit Carson	I-70: Seibert-West ASR Replacement	Replacement of Akali-Silica Reactivity (ASR) pavement and associated safety improvements.	MP 402.3 to MP 406.9	Asset Mgmt.	\$ 17.5	\$ 17.5	
47	40	53	4	Eastern		I-70: Arriba-East and West HMA Failure	Overlay/reconstruction of failing Hot Mix Asphalt (HMA) pavement for 15.1 miles.	MP 380.0 to MP 395.1	Asset Mgmt.	\$ 56.5	\$ 56.5	
48	41	53	4	Eastern		I-70: Genoa-East and West HMA Replacement	Overlay/reconstruction of failing HMA pavement for 11.3 miles.	MP 368.7 to MP 380	Asset Mgmt.	\$ 42.5	\$ 42.5	
49	42	53	4	Eastern		I-70: Burlington-West HMA Replacement	Overlay/reconstruction of failing HMA pavement for 8.9 miles.	MP 427.4 to MP 436.3	Asset Mgmt.	\$ 33.5	\$ 33.5	
50	43	53	4	Eastern		I-70: East Spot Repairs- Flagler East and Cedar Point West	Replacement of distressed concrete pavement for 3 miles (Cedar Point West) and 5 miles (Flagler to Kansas State Line).	Flagler and Cedar Point West	Asset Mgmt.	\$ 30.0	\$ 30.0	
51	44	54	4	Upper Front Range	Morgan	I-76: Fort Morgan to Brush Phase 4	Reconstruction of roadway and interchanges between Ft. Morgan and Brush.	Ft. Morgan to Brush	Asset Mgmt.	\$ 41.5	\$ 41.5	
52	45	54	4	Upper Front Range	Morgan	I-76: Fort Morgan to Brush Phase 5	Reconstruction of roadway and interchanges between Ft. Morgan and Brush.	Ft. Morgan to Brush	Asset Mgmt.	\$ 58.5	\$ 58.5	

SB 228 Project ID	Development Program Project ID	Region	TPR	County	Project	Project Description	Project Limits	Project Type	Total Project Cost (\$ M)	Funding Request (\$ M)	Reason for Selection	Updates	
<b>Original Candidate SB 228 Transit Projects to be Removed</b>													
53	T17	N/A	Statewide	Southeast	Prowers, Bent, Otero, Las Animas	Position Colorado for Federal Funds by Providing a Match for Southwest Chief TIGER Application	Similar to the successful application by Garden City, KS, CDOT would position itself to be eligible for future TIGER grant opportunities. This is consistent with CDOT's State Freight & Passenger Rail Plan goal to be competitive for federal dollars.	Southwest Chief Amtrak line	Rail	\$ 3.0	\$ 3.0	High priority for consideration by the State as evidenced through the creation by the State Legislature of the Southwest Chief Commission. Regionally significant for tourism & economic development.	\$1 M from TC Contingency was a sufficient commitment, with commitments made by other parties, to win a TIGER VII grant. Project is proceeding to contract by June, and construction by first half of 2017.
<b>Original Candidate SB 228 Transit Projects</b>													
54	T02		Statewide	Statewide	Statewide	Bus Operational Improvements to Highway Projects	Includes transit signal priority treatments, bus stop/pullout, queue jump lanes, and bus-shoulder signing/stripping.	Specific locations TBD	Operational Improvements	\$ 16.1	\$ 16.1	Provides significant travel time improvements for minimal investment. "Maximize" budget category. Which strategies used depends upon highway project selection	Total project cost increased from \$15 M.
55	T08		Statewide	Statewide	Statewide	Transit Infrastructure Bank	Creation of Transit Infrastructure Bank providing the opportunity for larger scale regional transit projects to move forward with loan-based project delivery option.	Statewide	Other Mobility Improvements	\$ 10.0	\$ 10.0	Financing mechanism.	
56	T09		Statewide	Statewide	Statewide	Expansion Buses for Interregional, Regional Service	Purchase of buses to allow for the expansion of Bustang potentially to Pueblo, Greeley, or frequency enhancements on base routes. Allows expansion of regional commuter or rural regional service.	Denver to Greeley via SH 85 and Colorado Springs to Pueblo via I-25	Other Mobility Improvements	\$ 8.0	\$ 8.0	Strategic importance identified in Regional Transit Plans.	Total project cost increased from \$7.3 M.
57	T16	T2, T3	1	Greater Denver	Adams	North Metro Rail Line to 162nd Avenue	RTD is completing North Metro DUS to 124th. This project is 124th to 162nd Avenue, and is largely single track, with some double/passing track segments. Stations are initially built for 2-car consists w/ expandability to 4-car.	124th & Claude Ct. to 162nd Ave. and Colorado Blvd.	Rail	\$ 263.0	\$ 263.0	FasTracks completion is first/top rated passenger rail project in State Rail Plan. Required element for 2nd highest rated project, extending up into the North Front Range Region.	Total project cost increased from \$168 M based on RTD estimates.
58	T03		2	Pikes Peak	El Paso	I-25 Monument Interchange Park and Ride	Addition of northbound Park and Ride to I-25 Slip Ramp at Monument Interchange	I-25 and SH 105	Interchange Improvements	\$ 4.0	\$ 4.0	Travel time improvement of several minutes x 30 or more passengers per bus for each bus serving the Monument park and ride.	Total project cost increased from \$3.8 M.
59	T10		2	Pikes Peak	El Paso	I-25: Monument Park and Ride Expansion	Expansion of Park and Ride capacity to include an additional 100-120 spaces. The existing park and ride accommodates approximately 240 cars.	I-25 and SH 105	Transit Facilities	\$ 1.3	\$ 1.3	Major corridor of state and national significance. High mobility and economic benefits. Component of multi-modal approach to maximize benefit of existing facilities.	Total project cost increased from \$1.2 M.
60	T11		2	Pikes Peak	El Paso	I-25: Tejon Park and Ride Expansion and Reconstruction	Expansion of Park and Ride capacity to include up to an additional 100 spaces. The existing park and ride accommodates approximately 100 cars. The project will also improve access/egress for both cars and buses, leverage the site's potential for additional connections with regional and intercity buses, and improve safety and security with lighting and other measures.	I-25 and Tejon St.	Transit Facilities	\$ 1.6	\$ 1.6	Major corridor of state and national significance. High mobility and economic benefits. Component of multi-modal approach to maximize benefit of existing facilities.	Total project cost increased from \$1.5 M.
61	T12	T5	2	Pueblo	Pueblo	I-25 / US 50 Add new Pueblo Park and Ride for Carpools, Vanpools, and for Expansion of Bustang Express Bus	Construction of a 200 space originating Park and Ride on the west side of the I-25 / US 50 interchange at exit 101.	I-25 and US 50	Transit Facilities	\$ 2.2	\$ 2.2	Major corridor of state and national significance. High mobility and economic benefits. Component of multi-modal approach to maximize benefit of existing facilities.	Total project cost increased from \$2 M.
62	T06		3	Intermountain	Pitkin	Grade - Separated Pedestrian Crossing at Buttermilk Ski Base Area, Located at SH 82 / Owl Creek Road	Construction of grade-separated pedestrian crossing to improve mobility and safety for through motorists and transit patrons crossing from the south side of the Buttermilk Ski Area base to the north side SH 82 Bus Rapid Transit (BRT) stop.	SH 82 and Owl Creek Rd.	Other Mobility Improvements	\$ 5.4	\$ 5.4	Regional, state, and nationally-significant transit infrastructure for Colorado. This is a VelociRFTA BRT stop in both directions. This will serve working commuters and tourists/visitors alike.	Total project cost increased from \$5 M.
63	T07		3	Intermountain	Eagle	Grade - Separated Pedestrian Crossing at Town of Basalt	This project will improve speed and safety for through-motorists as well as speed and safety for transit patrons crossing from the southern side of the SH 82 where the park and ride is located to the northern side of SH 82 where the town center is.	SH 82 and Basalt Ave.	Other Mobility Improvements	\$ 5.4	\$ 5.4	Regional, state, and nationally-significant transit infrastructure for Colorado. This is a VelociRFTA BRT stop in both directions. This will serve working commuters, residents of Basalt, and tourists/visitors alike.	Total project cost increased from \$5 M.
64	T01		4	Greater Denver	Boulder	SH 119 Bus Rapid Transit	Bus Rapid Transit (BRT), or a high-quality, high capacity bus-based rapid transit system, along SH 119 between Boulder and Longmont. Components of project include bus pull-out/queue jump lanes, signal improvements, vehicles, and bus station canopies/shelters.	Boulder to Longmont	Operational Improvements	\$ 61.3	\$ 61.3	Highly rated project from RTD and NW Corridor Stakeholders. Strong mobility and economic benefits.	Total project cost increased from \$57.2 M.

	SB 228 Project ID	Development Program Project ID	Region	TPR	County	Project	Project Description	Project Limits	Project Type	Total Project Cost (\$ M)	Funding Request (\$ M)	Reason for Selection	Updates
67	T04		4	North Front Range	Larimer	US 34 / I-25 Interchange Reconfiguration: Add Kendall Parkway transit slip ramps	Addition of four total transit-only ramp components.		Interchange Improvements	\$ 16.1	\$ 16.1	Major corridor of regional/national significance. North I-25 EIS Commitment. Creates room for phased highway improvements. Improves bus operating efficiency and access capacity.	Total project cost increased from \$15 M.
68	T05		4	North Front Range	Larimer	US 34 / I-25 Interchange Reconfiguration: Relocate & expand US 34 (Loveland) Park and Ride	Relocation of 200 parking spaces from current location in northwest quadrant of interchange to one-quarter mile north of the interchange, and increase in parking capacity.		Interchange Improvements	\$ 3.2	\$ 3.2	Major corridor of regional/national significance. North I-25 EIS Commitment. Creates room for phased highway improvements. Improves bus operating efficiency and access capacity.	Total project cost increased from \$3 M.
69	T13	T11	4	North Front Range	Larimer	I-25 Expand Harmony/I-25 Park and Ride for Carpooling, Vanpooling, Local Transit Service and Bustang connectivity	Expansion of Park and Ride capacity to include an additional 200 spaces, possibly in two phases of 100 spaces each. The existing park and ride accommodates approximately 100 cars. This location has so much demand that it will be CDOT's first deployment of paid / managed parking.		Transit Facilities	\$ 3.2	\$ 3.2	Major corridor of state and national significance. High mobility and economic benefits. Component of multi-modal approach to maximize benefit of existing facilities.	Total project cost increased from \$3 M.
70	T14	T14	4	North Front Range	Larimer	Expand and Reconstruct SH 402 Park and Ride for Carpooling, Vanpooling, and Bustang Express Bus Service	This existing park and ride has 75 spaces, some on pavement, some informal on gravel. The project would formalize all the parking, expanding and reconstructing to accommodate 200 spaces, and to improve the access/egress movements for autos and for buses.		Transit Facilities	\$ 3.2	\$ 3.2	Major corridor of state and national significance. High mobility and economic benefits. Component of multi-modal approach to maximize benefit of existing facilities.	Total project cost increased from \$3 M.
71	T15		5	Southwest	San Miguel	Replace Gondola Cabins Used in Public Transportation	Replacement of gondola cabins. This gondola reduces both auto traffic on SH 145 as well as reducing the number of buses that would otherwise be needed to mitigate traffic.		Transit Facilities	\$ 21.4	\$ 21.4	The Telluride-Town of Mountain Village Gondola is a rare example of a gondola system being recognized by the Federal Transit Administration (FTA) as providing public transportation service beyond the more obvious recreation purpose.	Total project cost increased from \$20 M.
72	<b>Potential NEW Candidate SB 228 Transit Projects</b>												
73	N/A		1-5	Statewide	Statewide	Bustang and Rural Regional Park And Ride Enhancements & Additions	Add park and rides for Bustang in "outer ring" of Denver Region plus other locations. Improve park and rides with enhanced access	Statewide	Operational Improvements	\$ 40.0	\$ 40.0	Based on requests received after the opening of Bustang and the release on the original SB 228 List. Under development winter and spring 2016.	



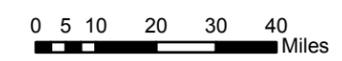
**Legend**

- Highway Project Locations (w/Project ID)
- Potential New Highway Project Locations (w/Project ID)
- Transit Project Locations - Points (w/Project ID)
- Transit Project Locations - Lines (w/Project ID)
- Interstates/Highways
- Counties

Data Source: CDOT 2015  
 Published: February 9, 2016  
[www.coloradodot.info](http://www.coloradodot.info)



# Candidate Projects for SB 228 Funding





**DATE:** February 17, 2016  
**TO:** Transportation Commission  
**FROM:** Debra Perkins-Smith, Director, Division of Transportation Development  
William Johnson, Performance and Asset Management Branch Manager  
**SUBJECT:** Asset Management Overview

Purpose

This memo provides an overview of Asset Management efforts at CDOT and sets the stage for more in-depth discussions in future months, ultimately preparing the Commission for approval of the FY20 asset management planning budget, thereby continuing the 4-year program of projects.

Action

Informational item. Provides information for future Transportation Commission action.

Background

CDOT works with Asset Managers in 11 asset areas: surface treatment, bridge, maintenance, property management, intelligent transportation systems (ITS), road equipment, tunnels, geohazards, traffic signals, culverts and walls. These 11 asset managers, along with DTD and OFMB, form the Transportation Asset Management (TAM) Working Committee, which meets monthly to share information. Each year this group meets with the RTDs and the Transportation Oversight Committee members in a workshop to develop a budget for the Asset Management program. The Transportation Commission then reviews this Staff Recommendation, which is ultimately finalized during the annual budget cycle.

Details

The workshop will include an overview of Asset Management efforts at CDOT, including the organizational structure and each assets' current performance measures and targets.

Next Steps

During the next two months Asset Managers will present their asset programs to the Commission. In May William Johnson will present the CDOT Staff Recommendation for the FY20 Asset Management Budget to the Transportation Commission for approval. Additionally, staff expect to have a discussion with the Transportation Commission in subsequent months to discuss progress on metrics identified in Policy Directive 14 to start the budget process for FY18.

Summary of Presentations:

- February: Overview
- March: MLOS, buildings, signals, ITS, road equipment and geohazards
- April: Bridge, walls, culverts, pavement, and tunnels
- May: FY20 Planning Budget

Attachments

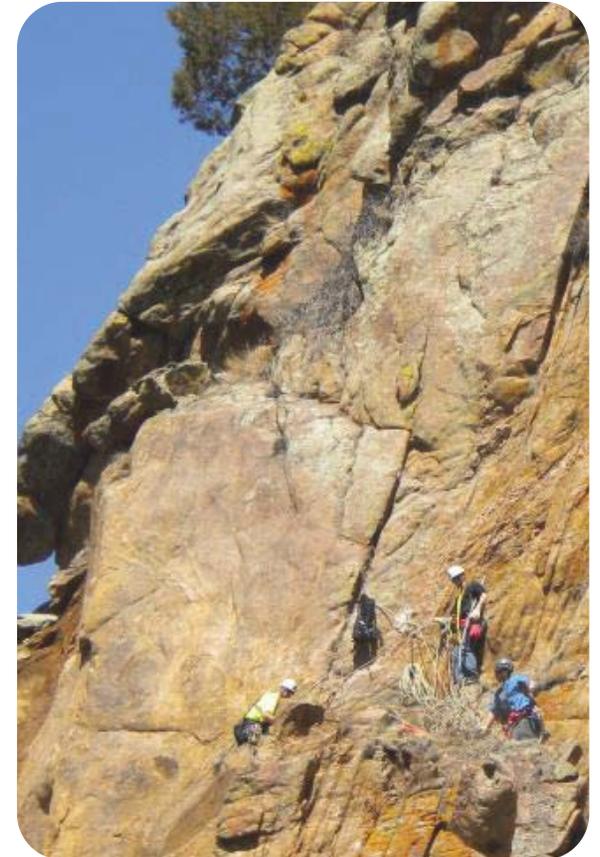
Attachment A: Asset Management Overview Presentation





**COLORADO**

Department of  
Transportation



## Transportation Asset Management Overview February 17, 2016



# Transportation Commission Role

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**Commissioner input is requested in these areas:**

- Approve planning budgets for asset programs
- Approve targets for performance measures
- Adopt asset program budgets as part of budget setting process
- Provide input and direction to Asset Management Program
- Provide guidance via Policy Directive 14.0 (PD14)



## What is TAM?

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*“Transportation Asset Management is a strategic and systematic process of operating, maintaining, upgrading and expanding physical assets effectively throughout their life cycle. It focuses on business and engineering practices for resource allocation and utilization, with the objective of better decision making based upon quality information and well defined objectives.”*



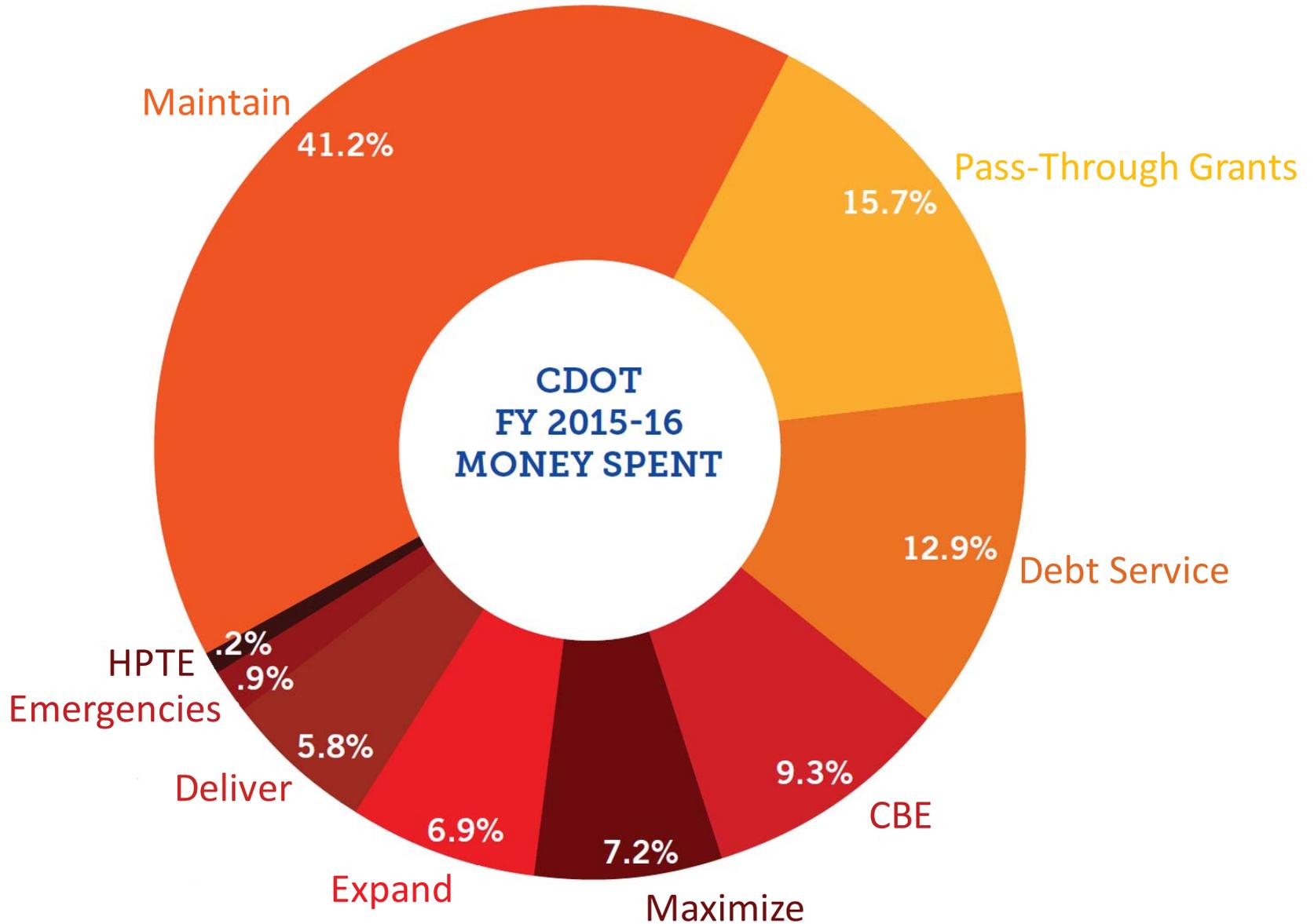
# Why Transportation Asset Management (TAM)?

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# How much of CDOT's Budget is TAM?





# FAST Federal Requirements for Asset Mgmt.

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Continues MAP-21 Asset Management Provisions:

Requires a Transportation Asset Management Plan (submitted to FHWA in 2014, waiting for Rules)

The plan must, at a minimum, include:

- a summary listing of the pavement and bridge assets on the National Highway System within the state, including a description of the condition of those assets;
- asset management objectives and measures;
- performance gap identification;
- lifecycle cost and risk management analysis;
- a 10-year financial plan; and
- investment strategies.

Requires performance goals for highways and bridges

*If a state fails to develop and implement a state asset management plan, that state's federal transportation funding will be reduced by 35 percent.*



# Risk-Based Asset Management Plan (RB-AMP)

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## RB-AMP Content:

Executive Summary

1: Introduction

2: Value to Citizens

3: Asset Inventory and Condition

4: Asset Management Performance Measures and Targets

5: Current Asset Management Processes

6: Life-Cycle Cost Considerations

7: Incorporating Risk into the Asset Management Program

8: Financial Plan

9: Investment Strategies

10: Asset Management Gap Assessment

11: Asset Management Implementation Plan

12: RB AMP Governance

Appendices

**Assets Included:** Pavement, Structures, Culverts, MLOS, Buildings, ITS Equipment, Roadway Equipment, Tunnels, and Rockfall Mitigation Sites

<http://coloradotransportationmatters.com/progress-made/your-cdot-dollar/asset-management/>



# Risk-Based Asset Management Plan (RB-AMP)

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## RB-AMP Updates

Addressed gaps identified in RB-AMP Gap Analysis including:

- Developed and documented project selection procedures for each asset
- Updated Risk Register with Mitigation Strategies and Costs
- Life Cycle Cost Analysis Recommendations for established assets
- Updated performance targets in Table 4.1 in conjunction with work in AIMS (Asset Investment Management System)

Currently:

Awaiting rules and certification on Initial RB-AMP, while working on

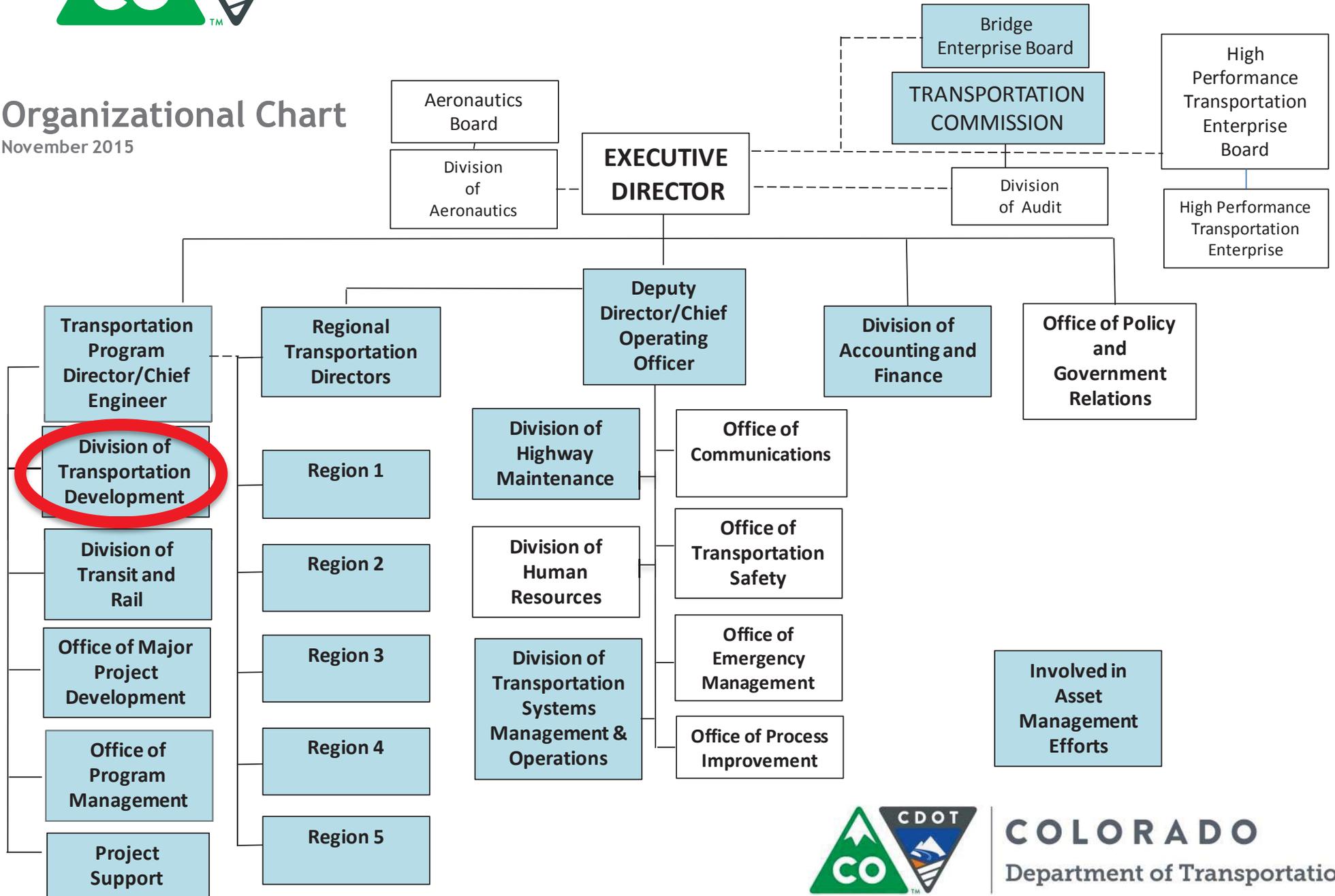
- Asset Valuation Effort with OFMB
- Risk and Resiliency support



# CDOT Organizational Structure

## Organizational Chart

November 2015



**COLORADO**  
Department of Transportation



# TAM Organizational Structure

**Transportation Commission**  
 Kathy Connell, Chair  
 Gary Reiff, Vice Chair

**TAM Oversight Committee**  
 Mike Lewis (Dep. Director), Josh Laipply (Chief Engr.),  
 Scott McDaniel (Director, Staff Services), Debra Perkins-Smith (Director, Div. of Transp. Development), Maria Sobota (CFO), Dave Eller (Region 3 Director)

Information Technology Management Team (ITMT)

Communications Partners  
 FHWA, Bridge Enterprise

Operations Team, RTDs,  
 Knowledge Mgmt GOC

## TAM Working Committee

William Johnson, Comm. Chair, PAM Mgr.  
 JoAnn Mattson, Committee Vice Chair  
 Jeff Sudmeier, DTD Planning  
 Bob Haley, Chief Engineer's Office  
 Behrooz Far, Staff Bridge  
 Mike Collins, Staff Bridge  
 Brooke Podhajsky, Staff Bridge  
 Stephen Henry, Pavement  
 Bill Schiebel, Materials and Geotech

Al Martinez, Maintenance & Operations  
 Chris Volkert, Road Equipment  
 Hope Wright, Buildings  
 Rich Sembrat, ITS  
 Nitin Deshpande, Traffic Signals  
 Ty Ortiz, Geohazards  
 Tyler Weldon, Tunnels  
 Charles Meyer, Traffic  
 Director, Program Management Office

Andy Stratton, R1 Resident Engineer  
 Ajin Hu, R2 Program Engineer  
 Jason Ahrens, R2 Business Manager  
 Zane Znamenacek, R3 Traffic Engineer  
 Mike Goolsby, R3 Superintendent  
 Myron Hora, R4 PIng and Env. Manager  
 Mike McVaugh, R5 Trf and Safety Engr



# Performance Metrics and Targets

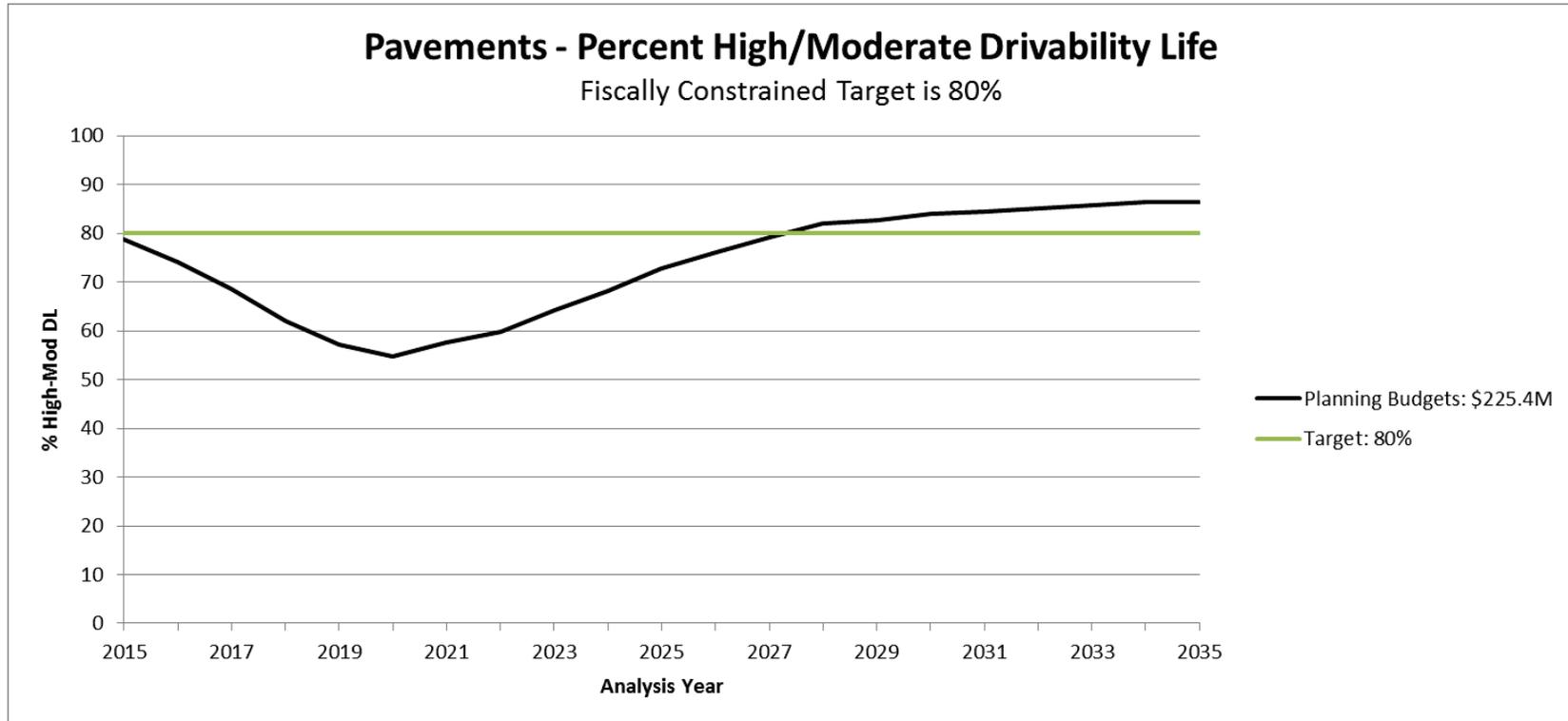
**Table 4.1 CDOT RB-AMP Asset Management Metrics and Performance Targets: 1-14-16**

Asset	Measure	Current Performance	Fiscally Constrained Target	Aspirational Target
Bridges	Percentage of deck area on structurally deficient CDOT-owned bridges	5.4%	10% <sup>a</sup>	5%
	Percentage of deck area on structurally deficient bridges on the NHS	5%	10% <sup>a</sup>	5%
	Percentage of CDOT-owned bridges over waterways that are scour critical	7.1%	5%	1%
	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	0.4%	0.4%	0%
	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	4.8%	4.8%	2%
	Percentage of CDOT-owned bridges posted for load	0.1%	0%	0%
	Percentage of CDOT-owned bridges with a load restriction	2.6%	3%	1%
	Percentage of leaking expansion joint by length on CDOT-owned bridges	18.8%	15%	5%
	Percentage of CDOT-owned bridge deck area that is unsealed or otherwise unprotected	31%	30%	5%
	Pavement	Percentage high-moderate drivability life for Interstates based on condition standards and treatments set for traffic volume categories	91%	80% <sup>a</sup>
Percentage high-moderate drivability life for CDOT-owned NHS, excluding Interstates based on condition standards and treatments set for traffic volume categories		84%	80% <sup>a</sup>	90%
Percentage high-moderate drivability life for the State highway system based on condition standards and treatments set for traffic volume categories		79%	80% <sup>a</sup>	90%
Maintenance	Statewide Letter Grade	B-	B- <sup>a</sup>	B-
Buildings	Statewide Letter Grade	80% C or Better	90% C or Better	100% C or Better
ITS	Average Percent Useful Life	114%	90%	85%
Fleet	Average Percent Useful Life	90%	70%	50%
Culverts <sup>e</sup>	Percent Culverts which are structurally deficient (have a culvert rating of 4 or less)	4.4%	5%	3%
Geohazards	Percent of segments at or above risk grade C	78%	80%	90% <sup>b</sup>
Tunnels	Percent of tunnels which have all classes that have Weighted Condition Indexes with a maximum of $\leq 2.5$	91%	80%	100%
Traffic Signals <sup>c</sup>	Percent intersections with at least one signal assembly beyond 100% Useful Life	27%	15%	0%
Walls <sup>d</sup>	Percentage of CDOT-owned walls, by square foot, that are structurally deficient (have a Main Structure rating of 4 or less).	4.8%	1%	0.5%



# Surface Treatment

FY15-FY19 Asset Management Planning Budgets (in millions)					
Asset Class	FY15	FY16	FY17	FY18	FY19
Surface Treatment	\$235.2	\$235.9	\$242.1	\$231.4	\$225.4



**Metric Description:** Percentage high-moderate drivability life for all CDOT-owned highways, based on condition standards and treatments set for traffic volume categories.

**Current Performance:** 79%

**Fiscally Constrained Target:** 80%



# TAM Budget Setting Workshop

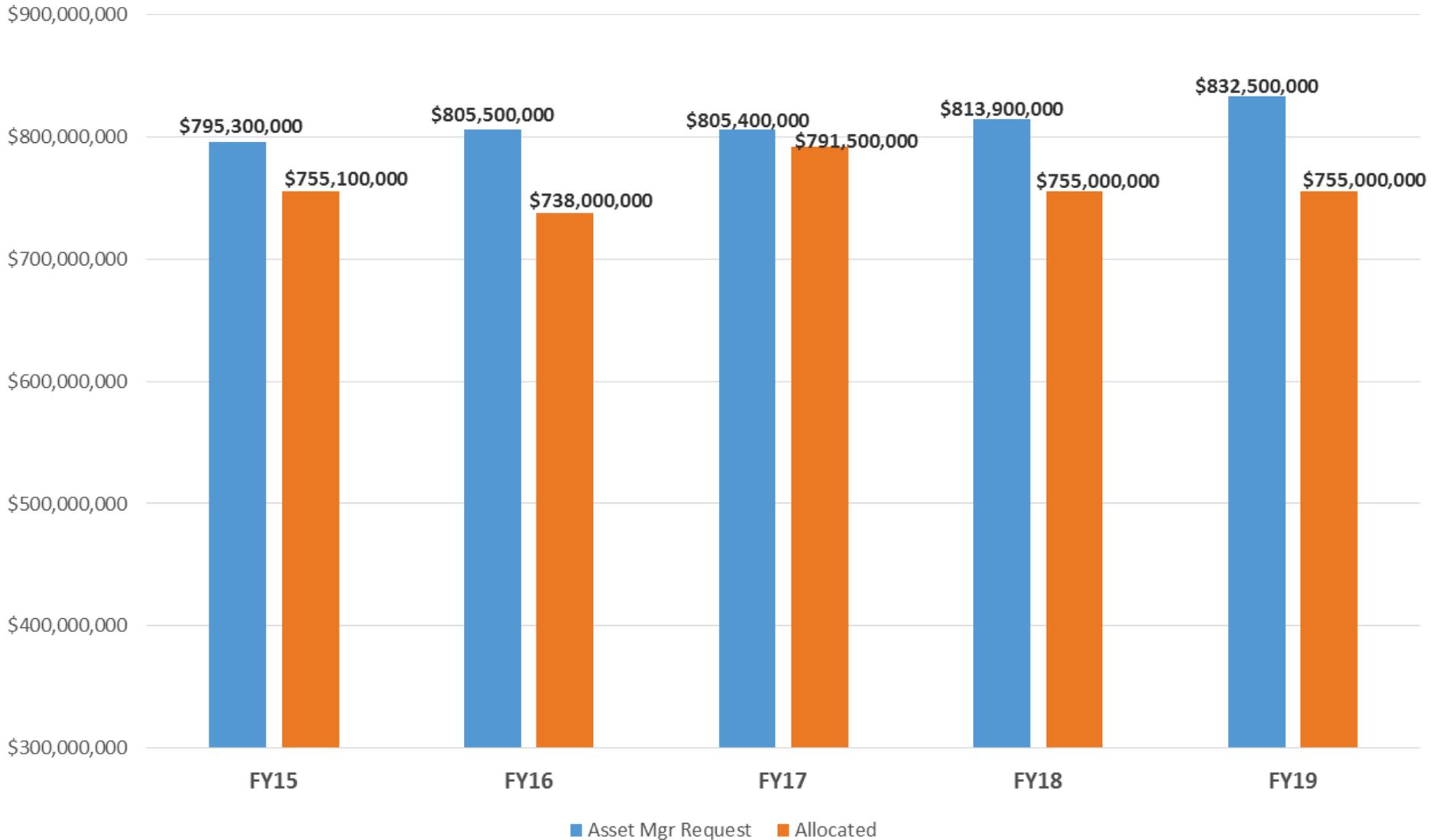
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1. Demonstrate with a quantified performance measure the benefit of additional investment.
2. Establish a performance target.
3. Fund only capital preservation and replacement with asset management funds.
4. Expend funding by the December following the fiscal year of allocation.
5. Demonstrate progress on previously funded projects through reporting percent of funds expended.
6. At least one slide in each assets' presentation should demonstrate the use of the Asset Investment Management System (AIMS) to show performance curves and need analysis.



# Past TAM Requests and Budgets

Asset Mgmt: Requested vs. Allocated





# Current TAM Planning Budgets

<b>FY15-FY19 Asset Management Planning Budgets (in millions)</b>					
	<b>Actual</b>		<b>Proposed</b>		
<b>Asset Class</b>	<b>FY15</b>	<b>FY16</b>	<b>FY17</b>	<b>FY18</b>	<b>FY19</b>
Surface Treatment	\$235.2	\$235.9	\$242.1	\$231.4	\$225.4
Bridge, BE & Bridge Fixed Costs	\$168.2	\$164.1	\$163.2	\$155.4	\$142.5
MLOS	\$251.3	\$254.4	\$262.6	\$263.5	\$272.8
Road Equipment	\$20.9	\$18.4	\$26.4	\$23.0	\$26.8
ITS	\$27.6	\$21.4	\$24.5	\$23.0	\$23.5
Geohazards	\$9.1	\$9.2	\$10.0	\$8.5	\$8.4
Buildings	\$20.8	\$12.9	\$21.4	\$17.5	\$20.2
Tunnels	\$12.4	\$5.2	\$7.6	\$6.4	\$8.4
Culverts	\$9.6	\$8.2	\$11.0	\$9.1	\$7.6
Walls	\$0.0	\$2.4	\$5.8	\$4.6	\$4.6
Traffic Signals	\$0.0	\$5.7	\$16.9	\$12.6	\$14.8
<b>TOTAL</b>	<b>\$755.1</b>	<b>\$738.0</b>	<b>\$791.5</b>	<b>\$755.0</b>	<b>\$755.0</b>



## 4-Year Rolling Program of Projects

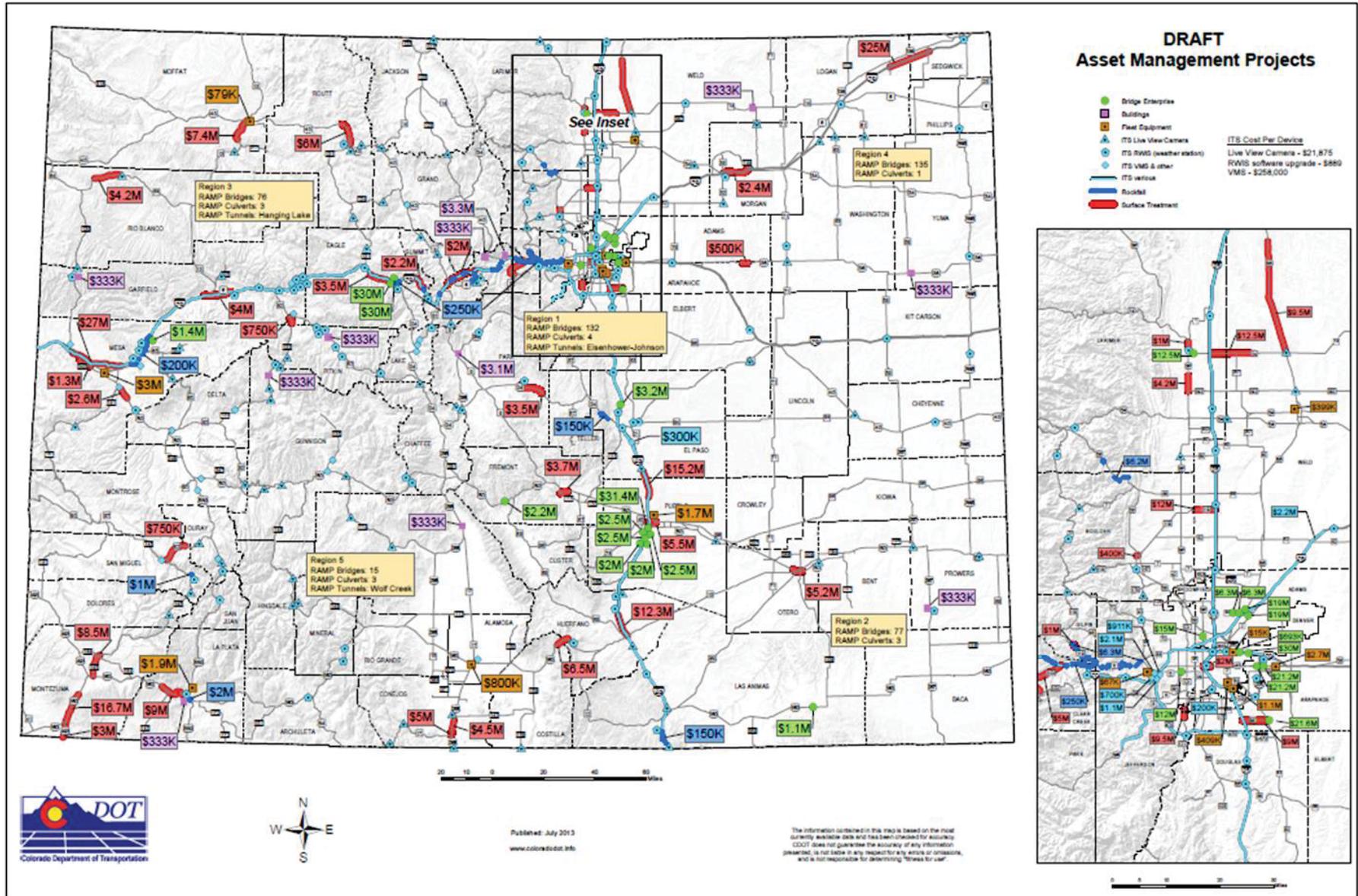
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Benefits CDOT by:

1. Providing Regions with anticipated budget for planning projects
2. Providing public and potential contractors with understanding of expected projects on the horizon
3. Providing MPOs and TPRs with timetable for projects of interest



# Part of 4-Year Rolling Program of Projects





## Next Steps

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**March:** MLOS, buildings, signals, ITS, road equipment & geohazards

**April:** Bridge, walls, culverts, pavement, and tunnels

**May:** FY20 Asset Management Planning Budget



**DATE:** February 18, 2016

**TO:** Bridge Enterprise Board of Directors

**FROM:** Herman Stockinger, Office of Policy & Government Relations Director

**SUBJECT:** Department and Bridge Enterprise Compliance with Recommendations of the Colorado Office of the State Auditor "Collection and Usage of the FASTER Motor Vehicle Fees" dated August 2015

### **Purpose and Action**

Provide a "deeper dive" into the actions taken by CDOT to comply with the FASTER Audit recommendations and improve the FASTER program overall and report on the impact of those actions. This month, we will focus on the Bridge Enterprise program.

### **Audit Recommendation #1 Summary:**

The audit purpose was to determine whether there was an adequate bridge selection process to ensure bridges in need of repair are addressed in a timely and strategic manner.

The Audit found that while CDOT developed a "Prioritization Plan" for eligible bridges (bridges that are Structurally Deficient or Functionally Obsolete and rated Poor), CDOT and BE staff (staff) did not present projects for funding in the order they appeared on the Prioritization Plan. Further, staff did not provide the Bridge Enterprise Board of Directors (Board) with reasons why some projects were being selected "out of order" for funding. Staff explained to the auditors that the Prioritization Plan was not intended to be the sole consideration when strategically prioritizing projects, though auditors cited sources, such as their interpretation of the 2014 BE Annual Report, that indicated otherwise.

The auditors concluded that bridges were not being selected "strategically", as required in statute, and asked that the department establish a documented process to strategically prioritize and program eligible bridge projects. The audit found that CDOT did not spend Bridge Enterprise dollars strategically because CDOT did not repair or replace the bridges in the exact Prioritization Plan order starting from the very worst. One example of how CDOT did not follow the Prioritization Plan is the Ilex project on I-25 through Pueblo. CDOT is repairing or replacing the bridges at Northern Ave, Indiana Ave, Ilex St, and Santa Fe over the Arkansas River. While these are all eligible poor bridges, they were not sequential on the list of worst bridges in the state. CDOT chose to fix or replace the bridges all at once because it was the most cost efficient since we are paying for a contractor to be at the site and because coming back later to replace a bridge would only prolong the construction a disruption to the people of Pueblo, our customers. CDOT stands by that decision, but agrees there was no documented process to explain staff or Board decisions.

### **How is this resolved?**

Policy Directive 16.0 (PD 16.0) was adopted by the Board in January. Here's what the Board did by passing this new Policy:

- Set project eligibility requirements, mirroring statute and current practice, to define the universe of projects. This simply puts current practice and statute into formal BE Policy.
- Clarifies that the Prioritization Plan is a quantitative analysis and is not intended to be the sole source of information to identify strategic funding priorities. This is consistent with current practice, but may conflict a bit with previous statements/interpretations. Staff thought this was an important clarification that the Board make in response to the audit.



- The Board states in Policy Directive 16.0 that in order to strategically prioritize bridge projects, the analysis must be both quantitative and qualitative, and the Board requires a new document, called an evaluation summary, be provided to the Board at the time of a bridge funding request. The Procedural Directive goes into detail on what considerations are quantitative, and what is qualitative. While both the Board and staff "knew" that a variety of considerations, both quantitative and qualitative, were always considered when staff presented bridge projects for funding, it is true that not all of those factors were deliberately recorded and reported on. So the process is basically the same, but it is now supported by specific Policy statements from the Board and Procedures for staff to follow. Same process, but more documentation to back up that process.

**Bridge Enterprise Board "Hands-On" versus "Hands-Off" Options**

- From a project selection standpoint, the Board continues and increases its "hands-on" approach by continuing to require any proposed project be presented to the Board for approval before programming.
- The new process increases the Board's hands-on approach by requiring a new "evaluation summary" that articulates both the quantitative and qualitative reasons for funding an eligible bridge project.





**DATE:** February 18, 2016

**TO:** Bridge Enterprise Board of Directors

**FROM:** Herman Stockinger, Office of Policy & Government Relations Director

**SUBJECT:** Department and Bridge Enterprise Compliance with Recommendations of the Colorado Office of the State Auditor “Collection and Usage of the FASTER Motor Vehicle Fees” dated August 2015

**Purpose and Action**

Provide a “deeper dive” into the actions taken by CDOT to comply with the FASTER Audit recommendations and improve the FASTER program overall and report on the impact of those actions. This month, we will focus on the Bridge Enterprise program.

**Audit Recommendation #2 Summary:**

The audit purpose was to determine whether bridge surcharge revenue is managed effectively, through budgeting processes that maximize project closure processes to redirect all unused FASTER revenue to other projects in a timely manner. The auditors believed the two key ways to accomplish that task was to (1) budget projects in a realistic way, and (2) close completed projects in a timely manner so unused funds can be quickly redirected.

1. Budgeting projects in a realistic way: As the Transportation Commission has found from time to time, the auditors also found that sometimes bridge projects were reaching substantial completion with significant fund balances remaining in the project budget, in part due to the large amount of contingencies that were budgeted into the projects. The auditors looked at 23 closed projects and discovered that budgeted amounts exceeded actual expenditures by 19%. By tying up dollars unnecessarily, the auditors determined the department was not making efficient and timely use of FASTER bridge funds.
2. Closing projects in a timely manner: While the auditors did conclude CDOT follows federal project closure requirements, they felt the FASTER legislative intent was to accelerate projects as much as possible, and of 34 “substantially completed” projects they looked at, those projects held \$19.1 million of budgeted but unexpended funds, some of which may have been available for other projects. Consequently, the auditors recommended establishing and implementing a project closure process to ensure available funds are utilized for new projects in a timely manner.

1

**How is this resolved?**

Policy Directive 16.0 (PD 16.0) was adopted by the Board in January. Here's what the Board did by passing this new Policy:

- PD 16.0 provides pretty soft language where the Board directs staff to develop “reasonable project contingency fund levels” and “review projects nearing completion so they may be closed out in a timely manner.”
- The Procedural Directive 16.1 provides the meat for implementation of this recommendation. In the areas of contingency and project close-out, the program management office was concerned about imposing different requirements for bridge projects than the rest of the construction program and took care not to impose requirements that couldn't be adopted by the program as a whole.



- Requires bridge projects to have a contingency that doesn't exceed 5% unless approved by the responsible Program Engineer with justification. That's something we've never done before.
- Requires contingency funds to be funded with *future* dollars. This was a pretty innovative idea and makes sense, since we wouldn't generally dip into contingencies until late in a project's life, using future dollars ensures current year dollars are being budgeted into project elements that would most likely be utilized that year. That's something we've never done before.
- We've put in place new procedures that require bridge and department staff, both at HQ and the regions, to review projects nearing substantial completion and work to debudget project funds not expected to be utilized before final close-out. These steps should go a long way toward ensuring dollars are not pointlessly left in substantially completed projects.

#### **Bridge Enterprise Board “Hands-On” versus “Hands-Off” Options**

- By offering general policy direction regarding contingency and project close-out, the Board is taking a hands-off approach in these areas. Alternatively, the Board could direct the staff to hold contingencies at a certain percent, or could put in place a more formal Board approval process to allow for higher contingencies rather than leaving it up to department staff.
- Similarly, the Board may want a policy that lays out every step in the project close-out process, or could ask for specific analysis and reporting at particular steps in the project. For instance, the Board could adopt policy that states “the Board requests a quarterly report on all projects at or near 90% complete, with an accounting of remaining budget versus expected needed budget, and what the department has done to debudget a project when the remaining budget is projected to be 50% more than necessary to complete remaining project elements.”





# COLORADO

Department of Transportation

Office of Policy and Government Relations

4201 E. Arkansas, Room 275  
Denver, CO 80222

## RELEASE MEMORANDUM

**TO:** ALL CDOT EMPLOYEES  
**FROM:** HERMAN STOCKINGER, TRANSPORTATION COMMISSION SECRETARY  
**DATE:** JANUARY 26, 2016  
**SUBJECT:** NEW POLICY DIRECTIVE 16.0 BRIDGE ENTERPRISE “OVERSIGHT OF FASTER FUNDING FOR STATE BRIDGES”

1. Name of Policy Directive: 16.0 Bridge Enterprise Policy Directive “Oversight of FASTER Funding for State Bridges”
2. Date of PD this Directive Supersedes: None (new PD)
3. Executive Summary: In August 2015, the Colorado Office of the State Auditor issued a Performance Audit titled “Collection and Usage of the FASTER Motor Vehicle Fees” (the “2015 FASTER Audit”). Bridge Enterprise Policy Directive 16.0 was approved by the Bridge Enterprise Board of Directors on January 21, 2016 in order to provide direction to the Bridge Enterprise Program Management Staff and to the Department with regard to the effective management and oversight of FASTER revenues utilized by the Bridge Enterprise Program. This Policy Directive should be read together with Bridge Enterprise Procedural Directive 16.1. The following summarizes both the Policy and the Procedural Directive responsibilities and requirements:

#### Bridge Enterprise Board of Directors (“BOD”):

- Determines criteria for project eligibility (PD BE 16.0)
- Directs staff to evaluate and recommend projects based on a qualitative and quantitative analysis (PD BE16.0)

#### Bridge Enterprise staff:

- Provides an evaluation summary with the Designated Bridge funding request to the Bridge Enterprise BOD (PD BE16.0)
- Continues to develop improvements on reasonable project contingency fund levels, reviews projects nearing completion in order to close out projects in an expedient manner, and provides regular progress reports to Bridge Enterprise BOD to ensure transparency (PD BE16.0)
- Maintains and updates a prioritized list of structures that meet the criteria for Designated Bridges (PD BE16.1)
- Applies the Bridge Enterprise BOD approved Prioritization Plan tool (quantitative analysis) to prioritize Designated Bridges, followed by a



qualitative analysis to further determine the prioritization of Designated Bridges (PD BE16.1)

- Requests funding for projects from the Bridge Enterprise BOD through the budget supplement process (PD BE16.1)
- Works with the Schedule Change Control Board to address underperforming projects (PD BE16.1)
- Evaluates project finances when projects are approximately 90% complete in order to determine what funds are needed to complete the project
- Works with regions to release all remaining budget and encumbrances and reprogram funds for other bridge projects (PD BE16.1)
- Achieves transparency by submitting progress reports to the Bridge Enterprise BOD, providing updates on key program metrics to the Department Communications Office, holding regularly scheduled meetings with stakeholders to discuss project issues, and submitting its annual report to the Bridge Enterprise BOD and the Transportation Committee (PD BE16.1)

4. Effective Date: January 26, 2016



<b>Statewide Bridge Enterprise</b>		<input checked="" type="checkbox"/> <b>POLICY DIRECTIVE</b> <input type="checkbox"/> <b>PROCEDURAL DIRECTIVE</b>
<b>Subject</b> <b>Oversight of FASTER Funding for State Bridges</b>		<b>Number</b> <b>BE16.0</b>
<b>Effective</b> <b>01.26.16</b>	<b>Supersedes</b> <b>n/a</b>	<b>Originating Office</b> <b>Statewide Bridge Enterprise</b>

## I. PURPOSE

Pursuant to § 43-4-805(2)(b), C.R.S., the business purpose of the Bridge Enterprise is to finance, repair, reconstruct, and replace any designated bridge in the state and, as agreed upon by the Transportation Commission (“Commission”), or the Colorado Department of Transportation (“Department”) to the extent authorized by the Commission, to maintain the bridges it finances, repairs, reconstructs, and replaces.

It is the intent of the Bridge Enterprise Board of Directors to ensure that the State obtains the greatest benefit in increased bridge safety per FASTER dollar spent by establishing and utilizing a documented process to strategically prioritize and program bridge projects in a thorough and integrated manner.

The Bridge Enterprise Board of Directors, through its oversight of the Bridge Enterprise Program, will use FASTER funding effectively and efficiently to facilitate the financing, repair, reconstruction, and replacement of designated bridges as promptly and efficiently as possible.

## II. AUTHORITY

Statewide Bridge Enterprise Board of Directors established pursuant to § 43-4-805, C.R.S.

Statewide Bridge Enterprise established pursuant to § 43-4-805(2), C.R.S.

§ 48-4-801 to 805, C.R.S. “Funding Advancements for Surface Transportation and Economic Recovery Act of 2009” “FASTER Act”

23 CFR 650 subpart C National Bridge Inspection Standards, March 1 2009

Recording and Code Guide for the Structure Inventory and Appraisal of the Nation’s Bridges, FHWA, Report No. FHWA-PD-96-001 <https://www.fhwa.dot.gov/bridge/nbi/library.cfm>

### **III. APPLICABILITY**

This Policy Directive shall apply to the Statewide Bridge Enterprise as well as all Divisions, Regions, and Offices of the Colorado Department of Transportation.

### **IV. POLICY**

A. Project Eligibility. The Bridge Enterprise Board of Directors shall make the most strategic use of available FASTER funds using the following criteria to determine which statewide bridges should be Designated Bridges and eligible to receive FASTER funds.

1. A sufficiency rating of less than 50, which means the bridge is “poor”; and
2. The status must be functionally obsolete and/or structurally deficient.

B. Project Selection. Designated Bridges are eligible for FASTER funding and will be evaluated by Bridge Enterprise staff on both a qualitative and quantitative basis. The quantitative prioritization plan is not intended to be a rank order strategic priority list in which Designated Bridges should be funded. Strategic bridge priorities are determined through a combination of both the qualitative and quantitative analysis. At the time of the funding request, an evaluation summary will be provided to the Bridge Enterprise Board. Staff will follow Procedural Directive BE 16.01 when evaluating and recommending projects for funding to the Bridge Enterprise Board.

C. Project Execution and Transparency. The Bridge Enterprise Board provides staff with the following additional guidance to Bridge Enterprise and CDOT staff for the project execution and reporting stages.

1. Continue to provide guidelines to project engineers and seek other process improvements for the development of reasonable project contingency fund levels in order to make best use of funds available.
2. Work with CDOT project staff to review projects nearing completion so that the projects may be closed out in a timely manner and excess project funds shall be returned for funding to other priority projects.
3. Provide regular progress reports to the Bridge Enterprise Board at regular meetings and develop other methods to insure transparency of Bridge Enterprise decisions and progress.

Subject <b>Oversight of FASTER Funding for State Bridges</b>	Number <b>BE16.0</b>
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**V. IMPLEMENTATION PLAN**

This Policy Directive shall be effective upon signature.

**VI. REVIEW DATE**

This Policy Directive shall be reviewed on or before January 2021.

  
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Herman Stockinger  
Secretary, Bridge Enterprise Board of Directors

  
\_\_\_\_\_  
Date of Approval



## COLORADO

### Department of Transportation

Office of the Executive Director  
4201 East Arkansas Ave, Suite 262  
Denver, CO 80222

### RELEASE MEMORANDUM

**TO: ALL CDOT EMPLOYEES**  
**FROM: SHAILEN P. BHATT, DIRECTOR, BRIDGE ENTERPRISE**  
**DATE: JANUARY 29, 2016**  
**SUBJECT: NEW PROCEDURAL DIRECTIVE 16.1 BRIDGE ENTERPRISE**  
**“OVERSIGHT OF FASTER FUNDING FOR STATE BRIDGES”**

1. Name of Procedural Directive: 16.1 Bridge Enterprise Procedural Directive  
“Oversight of FASTER Funding for State Bridges”

2. Date of PD this Directive Supersedes: None (new PD)

3. Executive Summary: In August 2015, the Colorado Office of the State Auditor issued a Performance Audit titled “Collection and Usage of the FASTER Motor Vehicle Fees” (the “2015 FASTER Audit”). Bridge Enterprise Policy Directive 16.0 was approved by the Bridge Enterprise Board of Directors on January 21, 2016 in order to provide direction to the Bridge Enterprise Program Management Staff and to the Department with regard to the effective management and oversight of FASTER revenues utilized by the Bridge Enterprise Program. This Policy Directive should be read together with Bridge Enterprise Procedural Directive 16.1. The following summarizes both the Policy and the Procedural Directive responsibilities and requirements:

**Bridge Enterprise Board of Directors (“BOD”):**

- Determines criteria for project eligibility (PD BE 16.0)
- Directs staff to evaluate and recommend projects based on a qualitative and quantitative analysis (PD BE16.0)

**Bridge Enterprise staff:**

- Provides an evaluation summary with the Designated Bridge funding request to the Bridge Enterprise BOD (PD BE16.0)
- Continues to develop improvements on reasonable project contingency fund levels, reviews projects nearing completion in order to close out projects in an expedient manner, and provides regular progress reports to Bridge Enterprise BOD to ensure transparency (PD BE16.0)
- Maintains and updates a prioritized list of structures that meet the criteria for Designated Bridges (PD BE16.1)



- Applies the Bridge Enterprise BOD approved Prioritization Plan tool (quantitative analysis) to prioritize Designated Bridges, followed by a qualitative analysis to further determine the prioritization of Designated Bridges (PD BE16.1)
- Requests funding for projects from the Bridge Enterprise BOD through the budget supplement process (PD BE16.1)
- Works with the Schedule Change Control Board to address underperforming projects (PD BE16.1)
- Evaluates project finances when projects are approximately 90% complete in order to determine what funds are needed to complete the project
- Works with regions to release all remaining budget and encumbrances and reprogram funds for other bridge projects (PD BE16.1)
- Achieves transparency by submitting progress reports to the Bridge Enterprise BOD, providing updates on key program metrics to the Department Communications Office, holding regularly scheduled meetings with stakeholders to discuss project issues, and submitting its annual report to the Bridge Enterprise BOD and the Transportation Committee (PD BE16.1)

4. Effective Date: January 29, 2016



<b>BRIDGE ENTERPRISE BOARD OF DIRECTORS</b>		<input type="checkbox"/> <b>POLICY DIRECTIVE</b> <input checked="" type="checkbox"/> <b>PROCEDURAL DIRECTIVE</b>
<b>Subject</b> <b>Bridge Enterprise Management of FASTER Revenue and Selection of FASTER Bridge Projects</b>		<b>Number</b> <b>BE16.1</b>
<b>Effective</b> <b>01.29.16</b>	<b>Supersedes</b> n/a	<b>Originating Office</b> <b>Statewide Bridge Enterprise</b>

### **I. PURPOSE**

The purpose of this Procedural Directive is to set forth the processes to implement Policy Directive BE16-1 so that FASTER revenues are effectively and efficiently leveraged to strategically and quickly complete bridge projects, and to ensure that the State obtains the greatest benefit in increased bridge safety from FASTER dollars.

### **II. AUTHORITY**

Bridge Enterprise Director pursuant to § 43-4-805, C.R.S

Funding Advancements for Surface Transportation and Economic Recovery Act of 2009, §48-4-801 to 805, C.R.S.

Recording and Code Guide for the Structure Inventory and Appraisal of the Nation’s Bridges, FHWA, Report No. FHWA-PD-96-001 (“SIA”)

§ 43-4-801, et seq., C.R.S. “Funding Advancement for Surface Transportation and Economic Recovery” “FASTER”

### **III. APPLICABILITY**

This Procedural Directive shall apply to the Bridge Enterprise and all Divisions, Regions, and Offices of CDOT.

### **IV. DEFINITIONS**

“Bridge” shall mean a structure including supports erected over a depression or an obstruction, such as water, highway, or railway, and having a track or passageway for carrying traffic or other moving loads, and having an opening measured along the center of the roadway of more than 20 feet between undercopings of abutments or spring lines of arches, or extreme ends of openings for multiple boxes; it may also

include multiple pipes, where the clear distance between openings is less than half of the smaller contiguous opening. 23 C.F.R. § 650.305

“Bridge Enterprise Board of Directors” shall mean the Type 2 Board established pursuant to § 43-4-805, C.R.S.

“Bridge Enterprise Director” shall mean the position established by § 43-4-805(2)(a)(I), C.R.S., who shall oversee the discharge of all responsibilities of the bridge enterprise and shall serve at the pleasure of the Bridge Enterprise Board of Directors.

“Designated Bridge” is defined by § 43-4-803(10), C.R.S. as “every bridge, including any roadways, sidewalks, or other infrastructure connected or adjacent to or required for the optimal functioning of the bridge, that: (a) is part of the state highway system, as described in section 43-2-101, C.R.S.; and (b) has been identified by the department as structurally deficient or functionally obsolete, and has been rated by the department as poor, as of January 1, 2009, or is subsequently so identified and rated by the department.”

“Executive Director” shall mean the Executive Director of the Colorado Department of Transportation or his/her designee, pursuant to § 43-1-105, C.R.S.

## **V. PROCEDURE**

### **A. Identification and Designation of Eligible Candidates for FASTER Bridge Enterprise Projects**

1. The Bridge Enterprise Board of Directors (hereinafter “the Bridge Enterprise BOD”) determines the criteria for bridges to be candidates for Designated Bridges and thus eligible for FASTER funding. See Policy Directive BE16.0.
2. The CDOT Staff Bridge Office is charged with performing scheduled bridge inspections and performing maintenance of bridges pursuant to 23 C.F.R. 650.305.
3. Staff Bridge utilizes the Recording and Code Guide for the Structure Inventory and Appraisal of the Nation’s Bridges, FHWA, Report No. FHWA-PD-96-001 (“SIA”) to determine a sufficiency rating for bridges.
4. The CDOT Staff Bridge Office provides the Bridge Enterprise Program Management with the current list of bridges determined to have a “poor” rating.
5. The Bridge Enterprise Program Management staff applies the criteria established by the Bridge Enterprise BOD and develops a list of “Designated Bridges” which are FASTER funding eligible.

## **B. Prioritization of Projects**

### **1. Quantitative Analysis Using the Prioritization Plan Tool**

a) The Bridge Enterprise Program Management staff maintains and updates a prioritized list of structures that meet the criteria for Designated Bridges. It applies the Bridge Enterprise BOD approved Prioritization Plan tool to prioritize Designated Bridges.

b) The Prioritization Plan Tool weighs the following factors and arrives at a quantitative number for each Designated Bridge. The list of factors includes:

- (1) The severity of the deficiency or obsolescence;
- (2) The severity of the Sufficiency Rating;
- (3) The severity of the entire Designated Bridge condition or the structural condition of the bridge components;
- (4) The average daily traffic (“ADT”);
- (5) The percentage of truck traffic (“%TT”);
- (6) The importance of the Designated Bridge (i.e., is it a primary access to a community, emergency route, has freight/tourism agriculture/other industry importance, etc.);
- (7) The program-specific economic impacts; and
- (8) Other structure specific issues.

### **2. Qualitative Program and Funding Analysis**

a) The Bridge Enterprise Program Management staff gathers data from CDOT Staff Bridge and the Regions regarding the factors set forth below. This data is used to augment the initial prioritization of Designated Bridges.

b) The Regions provide to Bridge Enterprise Program Management staff a preliminary project estimate, a drawdown schedule of funds, and a progress schedule for the Designated Bridge project(s). Bridge Enterprise Program Management staff reviews these documents to determine whether all information has been included and confirms that an appropriate level of detail has been provided.

c) The Bridge Enterprise Program Management staff then conducts a qualitative analysis to further determine the prioritization of Designated Bridges. This analysis includes consideration of the following dynamic factors when applicable:

- (1) Project readiness with regard to design completion influencing considerations, such as long-term or long-duration studies or analysis;
- (2) Coordination with external stakeholders, etc.;
- (3) Project staffing/resource availability;
- (4) Anticipated project cost;
- (5) Anticipated length of project development and delivery;
- (6) Region input regarding the importance of the Designated Bridge to the health, safety and welfare of the public;
- (7) The availability of Non-FASTER funds;
- (8) The Designated Bridge service life;
- (9) Anticipated project delivery method (Design-Build, Design Bid Build, CM/GC, public-private partnerships, etc.) final determination will be by a project delivery workshop during design phase;
- (10) Multi-modal transportation considerations;
- (11) Project-specific variables including but not limited to: environmental considerations, utilities, railroad involvement, State Historic Preservation Office involvement, alternative construction methods including Accelerated Bridge Construction (ABC) and traffic impacts; and
- (12) Economies of scale.

### **C. Project Selection and Budgeting**

1. The Bridge Enterprise Program Management staff shall adhere to all established CDOT and Bridge Enterprise procedures and guidance documents with regard to internal budgeting processes. The management of the budgeting process shall ensure that only eligible project features are funded through the Bridge Enterprise, and ensure that the allocation of FASTER revenues are readily identifiable.

2. The Bridge Enterprise Program Management staff, with the oversight of the Bridge Enterprise BOD and the Department Executive Director, shall continually update a short-term and sustainable long-term plan for revenue streams dedicated to the construction of important surface transportation infrastructure projects pursuant to § 43-4-802(3)(a), C.R.S. These short and long-term plans shall include as a paramount requirement that FASTER funding be made available to respond to urgent present needs to repair and replace structurally deficient and functionally obsolete bridges and improve highway safety in the state pursuant to § 43-4-802(2)(b), C.R.S.

3. Projects will be selected first for programming and then for budgeting. These two steps combined constitute the funding process.

4. Programming the Project. The Bridge Enterprise Program Management staff will either seek to program a project at once, or program in incremental phases, depending on the outcome of the prioritization process above. A project that is identified for pre-construction only results in a set of plans, specifications and estimates (the "PS&E Package"). Upon completion of a pre-construction only project, the project re-enters the population of Designated Bridge projects and will have a 'shelved' PS&E Package. If a project has been identified for pre-construction and construction phase, the following also apply; however, the project will not need to be reevaluated between phases.

a) Pre-Construction Phase

(1) The Bridge Enterprise Program Management staff submits recommendations for project programming to the Bridge Enterprise Director with supporting documentation. The supporting documentation shall include an Evaluation Summary, justifying the selection of a Designated Bridge for programming based on the quantitative and qualitative analysis set forth above.

(2) The Bridge Enterprise Director or his management designee shall provide input on the Designated Bridge Projects. Projects that receive concurrence proceed with the procedure below, rejected projects return to the list of future projects.

(3) The Regions provide to Bridge Enterprise Program Management staff, scope, schedules and preliminary cost estimate for Designated Bridge projects.

(4) Bridge Enterprise Program Management staff then:

(a) Conducts a final review to determine whether all information has been included and confirms that an appropriate level of detail and transparency has been provided;

(b) Confirms that the scope, schedule and budget are within program resources; and

(c) Develops a final list of Designated Bridges recommended for approval with supporting information that includes a Bridge Enterprise Evaluation Summary clearly documenting the rationale for selecting bridges to repair or replace. The summary shall include both the quantitative and qualitative elements that cause the project to be recommended for funding over other eligible projects.

(5) The budget requests for project approval shall follow the established budgeting process for inclusion in a Budget Supplement request for Bridge Enterprise BOD approval, which includes Department management review. For all projects using FASTER funding, if the project exceeds the approved budget by the amount specified in Policy Directive 703.0, the process set forth in Policy Directive 703.0 must be followed.

(6) The Bridge Enterprise Evaluation Summary shall be included in the budget supplement request.

(7) After being approved by the Bridge Enterprise BOD, the project is budgeted in CDOT's accounting system and added to the Statewide Transportation Improvement Plan by OFMB.

(8) If FASTER funds are utilized to fund a Bridge that is later determined to have not been a Designated Bridge, the FASTER revenue must thereafter be returned to the FASTER pool.

**b) Construction Phase**

(1) Approved Bridge projects that were previously programmed for preconstruction only, and have a shelved PS&E Package may be programmed for construction phase.

(2) Selection of a project for programming for construction phase will follow the same programming and approval process described

<p>Subject</p> <p><b>Bridge Enterprise Management of FASTER Revenue and Selection of FASTER Bridge Projects</b></p>	<p>Number</p> <p>BE16.1</p>
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in section 4. a) above.

(3) Budgeting the construction phase. When an approved project is identified to be programmed for construction, the following budgeting process applies:

(a) The completed PS&E Package shall be submitted to the CDOT Cost Estimates and Marketing Analysis unit for development of the official engineer's estimate.

Engineering Estimates & Marketing Analysis shall provide Bridge Enterprise Program Management staff with the official engineer's estimate.

(b) After completing the engineer's estimate for the project, the project engineer shall establish a contingency for the initial construction budget based on the total estimated cost of the biddable items. The established contingency shall not exceed 5% of the estimated cost of the biddable items unless approved in writing by the responsible Program Engineer based on a justification for the increase.

(c) Regional business managers shall fund the contingency portion of a project with future year dollars.

(d) Bridge Enterprise Program Management staff shall review the official engineer's estimate with the region to ensure that the construction engineering and in-direct costs are accurate.

## **D. Building the Project**

### **1. Oversight of Designated Bridge Projects**

a) Oversight of the Bridge Enterprise Program Management Staff. In order to execute and achieve the goals of an independent government owned business, the Bridge Enterprise Program Management Staff participates in the development of a project from concept through completion. As part of this process it:

(1) Provides input on individual Designated Bridge project goals, scope, budget, structure design, procurement and schedule to maintain consistency with program objectives.

(2) Performs eligibility reviews of project features at appropriate intervals during development.

- (3) Tracks the performance of each project.
  - (4) Advises the Schedule Change Control Board (SCCB) which consists of the members of the CDOT Executive Management team.
2. Oversight of the Schedule Change Control Board (“SCCB”). The SCCB acts in an advisory capacity to the Bridge Enterprise BOD, the Bridge Enterprise Director, and the Bridge Enterprise Program Management, with the goal of addressing underperforming projects.
3. Project Close
- a) Region staff and the Bridge Enterprise Program Management staff shall consistently review projects nearing substantial completion so that projects may be closed in a timely manner.
  - b) At approximately 90% complete, the Bridge Enterprise Program Management staff will evaluate the project finances with the appropriate region staff in order to determine what funds are needed to complete the project.
  - c) Bridge Enterprise Program Management staff shall work with the regions to determine the appropriate funds necessary to complete the project. The regions shall take all measures to immediately release excess funds.
  - d) The Bridge Enterprise Program Management staff shall have the final discretion to determine the amount necessary to complete the project.
  - e) The regions shall then work with the Bridge Enterprise Program Management staff to release all remaining budget and encumbrances. All FASTER Bridge Enterprise project savings shall be returned to the FASTER Bridge Enterprise Fund (538) for reprogramming.

## **E. Bridge Enterprise Transparency**

- 1. Progress Reporting. The Bridge Enterprise Program Management staff:
  - a) Prepares progress reports on Bridge Enterprise matters and submits them to the Bridge Enterprise BOD at regular meetings.
  - b) At no less than quarterly intervals, provides an update of key program metrics to the CDOT Office of Communications which are then posted on the Bridge Enterprise website.

c) Holds regularly scheduled meetings with CDOT departments, regions, state agencies and other stakeholders to discuss project issues, initiatives, and plans.

d) Submits its annual report to the Bridge Enterprise BOD at least one month in advance of its submission to the State House and Senate Transportation Committee for their review, comment, and approval.

d) Provides its annual report to the House and Senate Transportation Committees no later than February 15th of each year in accordance with § 43-4-805(6), C.R.S.

## **VI. DOCUMENTS RELEVANT TO OR REFERENCED IN THIS PROCEDURAL DIRECTIVE**

1. Recording and Code Guide for the Structure Inventory and Appraisal of the Nation's Bridges, FHWA, Report No. FHWA-PD-96-001 ("SIA")
2. American Association of State Highway and Transportation Officials (AASHTO) Manual, "The Manual for Bridge Evaluation"
3. Bridge Inspector's Reference Manual (BIRM), See 23 C.F.R. § 650.305
4. Bridge Enterprise Guidance Documents
5. Appendix A Bridge Enterprise Program Planning Process

## **VII. IMPLEMENTATION PLAN**

This Procedural Directive shall be effective upon signature.

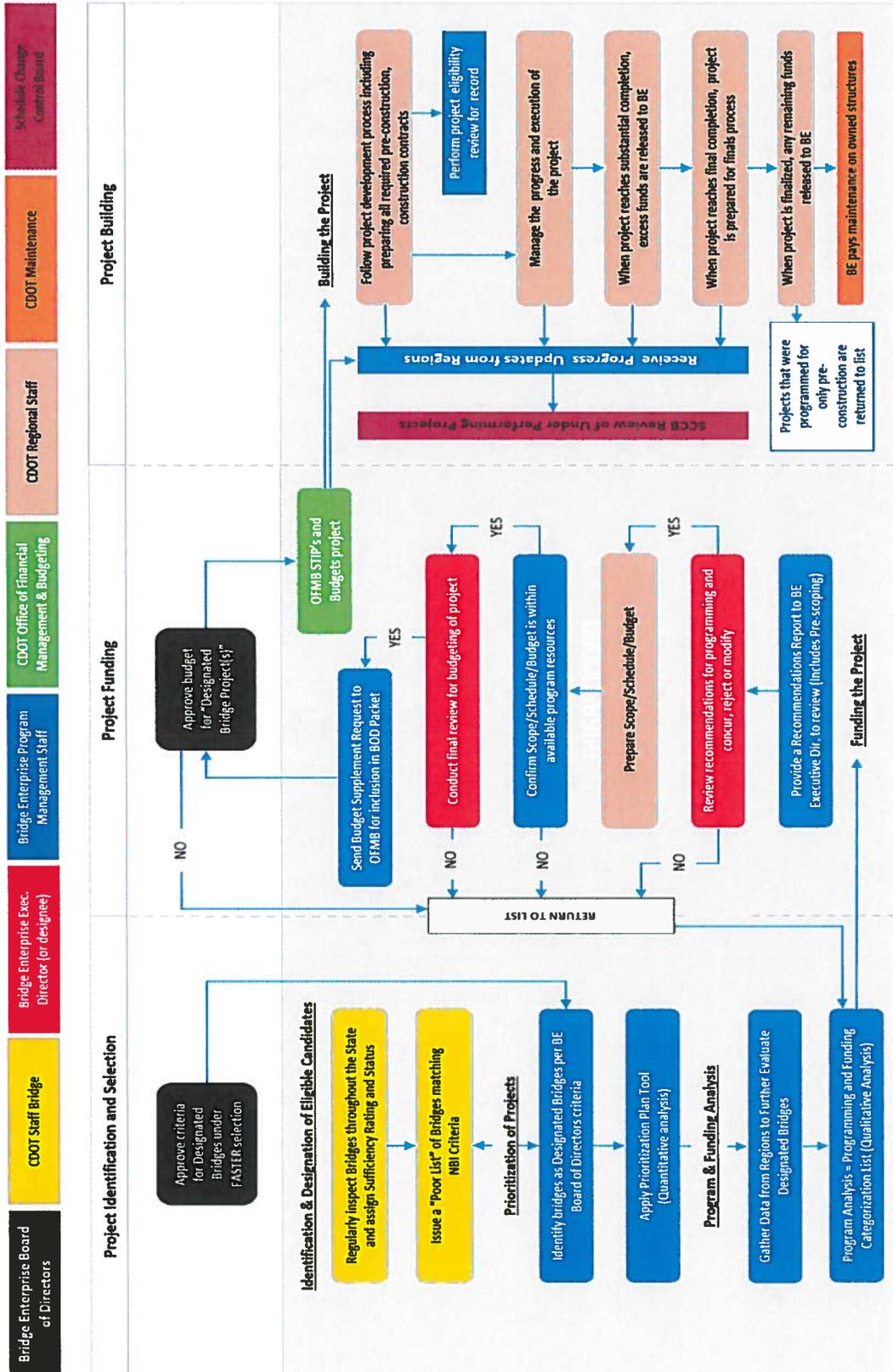
## **VIII. REVIEW DATE**

This Procedural Directive shall be reviewed on or before January 2021.

  
\_\_\_\_\_  
Bridge Enterprise Director

  
\_\_\_\_\_  
Date of Approval

## Bridge Enterprise Program Planning Process





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

DATE: February 5, 2016  
TO: Transportation Commission  
FROM: Greg Diehl, Manager, *Civil Rights & Business Resource Center (CRBRC)*  
SUBJECT: February Disadvantaged Business Enterprise (DBE) Committee Meeting

#### DBE Participation Report

As shown in the attached DBE Monthly Report for Construction Contracts, for the first quarter of the Federal Fiscal Year 2016 (10/1/2015 - 12/31/2015) CDOT is on target to meet its DBE overall annual goal of 12.15% with 12.2% participation. This quarter 64 contracts were awarded to 42 separate DBE firms.

#### DBE/ESB Supportive Services Update

CDOT delivers its small business supportive services through its Connect2DOT program. The Connect2DOT program provides small business technical assistance, business planning, outreach, and training resources throughout the state to help increase capacity and grow Colorado's underutilized DBE and ESB firms.

Connect2DOT has had a successful and busy first quarter. Attached you will find a comprehensive report of Connect2DOT activities last quarter. Key highlights include:

- From October to December of 2015, program consultants conducted 207 one-on-one consulting sessions with 96 unique customers.
- Connect2DOT hosted two workshops in CDOT Region 4 for businesses interested in government contracting. Region 4 was identified as an area with a significant number of small businesses that are not certified in the DBE and ESB programs and/or actively pursuing CDOT work.
- The CRBRC and Connect2DOT hosted an I-70 East CDOT Small Business Roundtable event at CDOT headquarters in Denver and simultaneously offered it as a webinar. This was the second in a series of webinars for small businesses interested in contracting on the I-70 East project. The topic was understanding small business barriers to contracting on a large project. 62 people attended collectively in-person and online.
- Connect2DOT hosted a resource booth at eight industry events and organized two small business networking events, including a reverse trade fair and networking event for DBE and ESB certified firms interested in opportunities to sub-consult on the upcoming I-70 East project. More than 300 people representing DBE, ESBs, and industry and resource partners attended the networking event.

This quarter, CDOT launched Small Business Collaborative Forums to improve communication and transparency with small business stakeholders. The forums provide a space where small businesses, CDOT staff, and other industry leaders find solutions to issues affecting DBE and ESB utilization and success in the planning, design, construction, and operation of the Colorado transportation system. CDOT hosts separate forum meetings dedicated to construction and professional services.

The first professional service forum meeting was held in January and was offered in both an in-person and webinar format. There were over 59 people in attendance at the in-person meeting and 21 people attended the webinar. To ensure transparency, the forum has a dedicated webpage with meeting agendas, minutes, presentations, handouts, and information, available here: <http://www.connect2dot.org/stay-connected/cdotcf>

The Collaborative Forums will take place in Denver with an option to attend via webinar in order to reach statewide stakeholders. Connect2DOT and the CRBRC are also exploring options to improve small business outreach in rural areas including hosting regional construction roundtables and regional networking events for professional service firms.



## Workforce Development Update

The FHWA On-the-Job Training (OJT) Program requires State Transportation Agencies (STAs) to establish apprenticeship and training programs targeted to move women, minorities, and disadvantaged individuals into journey-level positions to ensure that a competent workforce is available to meet highway construction hiring needs, and to address the historical under-representation of these groups in highway construction skilled crafts.

The OJT Supportive Services (OJT/SS) Program was established in Title 23 Code of Federal Regulations (CFR), Part 230) to supplement the OJT program and support the State Agency training programs by providing services to highway construction contractors and assistance to highway construction apprentices and trainees. The primary objectives of OJT/SS are: (1) to increase the overall effectiveness of the State highway agencies' approved training programs; and (2) to seek other ways to increase the training opportunities for women, minorities, and disadvantaged individuals.

CRBRC is currently holding a statewide Civil Rights Summit meeting in February where both programs will be discussed in an effort to revamp the programs.

## ADA Transition Plan

CRBRC is partnering with internal and external stakeholders to update to its ADA Transition Plan and to develop a strategic and integrated approach for progressively bringing curb ramps across the state into federal compliance.

## Attachments

November 2015 DBE Committee Meeting Minutes  
December DBE Participation Report  
CDOT DBE/SS (Connect2DOT) Q1 Report



**Transportation Commission of Colorado  
DBE Committee Meeting Minutes  
November 18, 2015**

- The meeting was called to order at 4pm.
- The following were in attendance:

Commissioner Barry	Commissioner Hofmeister
Commissioner Gilliland	Commissioner Thiebaut
Commissioner Hall	Shailen Bhatt
Herman Stockinger	Josh Laipply
Greg Diehl	Katherine Williams
Megan Coontz McAllister	Jun Arcilla
Cathy Kramer	Darrell Wells

- Approval of Minutes: Commissioner Hofmeister moves to correct the spelling of his name in the meeting minutes. The committee unanimously approved the minutes with the corrected spelling.
- CRBRC Center Update:
  - CDOT's Civil Rights & Business Resource Center (CRBRC) has been realigned to report directly to CDOT's Chief Engineer.
  - CRBRC has been partnering with stakeholders to update its ADA transition Plan
  - More partnership events with Unified Certification Program (UCP) partners, City and County of Denver and RTD. This morning RTD, the City and County of Denver, and CRBRC collaborated on a certification event for DBEs.
  - Question(s): Do subcontractors or prime contractors need to obtain DBE certification?
  - Answer: Both, It does not matter if you are a prime or sub. The DBE program is a federal program for socially and economically disadvantaged firms. The criteria for certification is defined by federal law.
- DBE Participation Report: The year-end DBE report is finished. CDOT exceeded its DBE goal of 10.25%. CDOT had 10.4% DBE participation for the Federal fiscal year. This is the sixth year in row CDOT has met or exceeded the DBE goal. A more aggressive 12.15% has been set for the next fiscal year. CRBRC is re-focusing efforts for small businesses through supportive services, restricted projects, and in preparing small businesses for the I-70 East project. The I-70 East project currently has two project DBE goals: 11.6% for Design and 12.5% for Construction. The project goals, including goal methodology, are currently open for comment.
- Workforce Development:

US DOT opened a pilot program for a local hiring preference. CDOT applied, and was approved, for the pilot program for the I-70 East project. An RFP has been developed for a needs assessment to analyze the availability of labor, technical assistance needs, and job readiness in the community. The study will focus on the Environmental Justice area as a targeted primary geographic location as well as a larger secondary area that includes adjacent communities.
- Questions
  - Question: Isn't the new DBE goal too aggressive? We aren't ready for the I-70 East project yet, so shouldn't we wait another two years to establish a goal this aggressive?
  - Answer: The I-70 East project goals were established by the CRBRC conducting a relative availability analysis based upon project estimates provided by an engineering team. The goals are currently open for public comment. The overall CDOT DBE goal does not include I-70 East project dollars. We establish our overall DBE goal through a mathematical process established by regulation. The process includes weighted census numbers with the number of DBE certified firms and a list of other factors that can bring the number up or down. The overall DBE goal doesn't apply individually to each region. We expect higher participation in the metro area and we expect less participation in rural areas.
  - Question: Can you speak to the cost associated with trying to meet project DBE goals. Sometimes it is upwards of 20-30% and it is getting ridiculous.

- Answer: In that case we have a “Good Faith Efforts” process, where a firm that is unable to meet a DBE goal can demonstrate Good Faith Efforts to meet the goal. We are making the goal setting process more transparent so that firms know how to solicit DBE firms and where to go when there is a problem. This ensures that we are all on the same page when we conduct a Good Faith Efforts review.
- Small Business Outreach & Statewide Collaboration: CRBRC has hosted a lot of events this month, including a reverse trade fair and a webinar for the 1-70 East project. The reverse trade fair gave small businesses space to highlight their work to primes. There were over 300 in attendance and we received positive feedback. The webinar gave primes and subs a forum to give input on the goal setting process and discuss DBE barriers to success on large projects.
- Suggestion: Commissioner Gilliland would like to see a small business roundtable event (perhaps a Wednesday morning or late afternoon event so that committee members can attend the meeting).
- Adjournment

**DBE MONTHLY REPORT FOR CONSTRUCTION CONTRACTS**

Federal Fiscal Year 2016 to Date (10/1/2015 - 12/31/2015)

Federal Dollars Only

	A	B	C	D	E	F	G	H	I
<b>AWARDS/COMMITMENTS MADE DURING THIS REPORTING PERIOD</b> (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	\$50,936,510	15	\$323,514	1	\$0	0	\$323,514	1	0.6%
2. Subcontracts awarded/committed this period	\$13,102,653	220	\$5,882,099	63	\$5,053,371	34	\$828,728	29	44.9%
<b>3. TOTAL</b>			\$6,205,613	64	\$5,053,371	34	\$1,152,242	30	12.2%

	A	B	C	D	E	F	G
<b>DBE AWARDS/COMMITMENTS THIS REPORTING PERIOD-BREAKDOWN BY ETHNICITY &amp; GENDER</b>	<b>Black American</b>	<b>Hispanic American</b>	<b>Native American</b>	<b>Asian American</b>	<b>Non-Minority Women</b>	<b>Other (i.e. not of any other group listed here)</b>	<b>TOTALS (for this reporting period only)</b>
4. Total Number of Contracts (Prime and Sub)	4	27	2	0	31	0	64
5. Total Dollar Value	\$148,418	\$3,781,112	\$331,869	\$0	\$1,944,214	\$0	\$6,205,613

	A	B	C	D	E
<b>ACTUAL PAYMENTS ON CONTRACTS COMPLETED THIS REPORTING PERIOD</b>	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	12	\$49,597,811	\$4,806,499	\$6,155,003	12.4%
7. Race Neutral	3	\$2,787,300		\$102,750	3.7%
8. Totals	15	\$52,385,110		\$6,257,753	11.9%

\* The 64 prime and subcontracts shown in this column went to 42 individual DBE firms.



# FFY SOW 2015 Quarterly Report 1

*Performance Period: October 1, 2015-December 31, 2015*

Colorado Department of Transportation  
Civil Rights & Business Resource Center  
4201 East Arkansas Avenue  
Denver, CO 80222

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## Part 1 – Accomplishments and Performance

The Colorado Department of Transportation (CDOT) is committed to developing and delivering a meaningful Disadvantaged Business Enterprise (DBE) Business Development Program (BDP) through funding support from the Federal Highway Administration (FHWA). CDOT has successfully delivered DBE supportive services through the Connect2DOT program ([www.connect2dot.org](http://www.connect2dot.org)) for the past three years.

The Connect2DOT program provides technical assistance, business planning, outreach, and training throughout the state through a strategic partnership with the Colorado Small Business Development Center (SBDC) Network. The Colorado SBDC Network is operated by the Governor's Office of Economic Development and International Trade (OEDIT) and is governed by a cooperative agreement with the US Small Business Administration (SBA).

Through a memorandum of understanding with OEDIT, CDOT and the Colorado SBDC's have developed an effective model for delivering supportive services that helps to nurture, increase capacity, and grow Colorado's DBEs and small businesses in highway design and construction. Highlights of achievements during the first quarter of the 2015 federal fiscal year include:

### 1. **Connect2DOT Activities**

A solid foundation has been developed for the Connect2DOT program and it continues to gain momentum as more SBDC's build sub-programs targeted at small businesses interested in working with CDOT. The Connect2DOT program conducted outreach activities across the state this quarter. There was some slowing down of activities over the holidays when engagement is more difficult.

#### a. **Workshops & Webinars**

- i. **Making CDOT's OJT Program Work for You Workshop & Networking.** This workshop, held in Alamosa, Colorado, brought together prime and subcontractors to learn about how to effectively leverage and comply with On the Job Training (OJT) requirements on CDOT projects. CDOT Region 5 staff participated in developing and delivering the content. The workshop was followed by a networking session hosted by the San Luis Valley SBDC. Despite proactive outreach efforts via email, press releases, newspaper advertising, and flyers, only nine people attended and all were small business owners. Low attendance in Alamosa has been a trend, and therefore, other locations in Region 5 for training are being explored for future events.
- ii. **CDOT Contracting: Truth or Consequences Workshop.** This workshop, held in Durango, Colorado, covered contract compliance basics for subcontractors working on CDOT projects. CDOT Region 5 staff participated in the presentation and twenty-two attendees received one-on-one consulting.
- iii. **ESB Orientation Webinar.** This is a mandatory one-hour session for small businesses applying for ESB certification with CDOT. Webinars are provided monthly for statewide access. Thirty-two people participated in the webinars this quarter.
- iv. **Subcontracting on the Ramp Up Ridgeway! Project Workshop.** This workshop focused on subcontracting opportunities for an upcoming CDOT/Town of Ridgeway/DORA funded local-agency project. There were twenty-six attendees from the local area, primarily in construction. Staff participated from CDOT headquarters, CDOT Region 5, Town of Ridgeway, and Montrose SBDC.
- v. **Local Agency & Prime Contractor DBE Workshop.** This workshop was targeted to local agency recipients and prime contractors who are responsible for implementing the DBE program on their projects. The workshop gave an overview of the program regulations and involved a sample project exercise. Staff from CDOT Region 5 and headquarters also participated in the presentation for five

attendees. Attendees included LaPlata County employees, Town of Ridgway employees, and one prime contractor.

- vi. **Small Business Certification Workshop.** This workshop was hosted by the Grand Junction SBDC and was the third in a series of events held on the western slope this quarter. Connect2DOT co-presented with PTAC on federal, state, and local certification programs. Twelve people attended representing construction, engineering, and procurement vendors.
- vii. **Doing Business with the Government Workshop.** Two workshops were held in CDOT Region 4 for businesses interested in government contracting. The first was hosted by the Larimer SBDC in Fort Collins and the second was hosted by the Northeast SBDC in Greeley. Connect2DOT co-presented with PTAC on federal government contracting and CDOT contracting and certifications. Seventeen people attended in Fort Collins and twelve people attended in Greeley, representing a variety of industries. Both sessions were followed by a three-hour, one-on-one consulting block. Thirty minute meetings were pre-scheduled and Connect2DOT met with a total of ten individuals.
- viii. **I-70 East Webinar Series: CDOT Small Business Roundtable.** This event was held at CDOT headquarters in Denver and was also simultaneously offered as a webinar. The focus of the roundtable was on the implementation of DBE and ESB programs on the CDOT I-70 East project. This was the second in a series of webinars for small businesses interested in contracting on the I-70 East project. During this roundtable event, CDOT staff was able to share and obtain feedback on the I-70 East goal-setting methodology. It was also used as a forum to understand small business barriers to contracting. Sixty-two people attended collectively in-person and online. Most represented construction and engineering industries, with a small number of procurement vendors and industry partners in attendance.

#### **b. Small Business Networking Events**

Registration for small business networking events requires minimal data. Therefore, only basic attendee information is available. Demographic, certification, and industry information is only available if the attendee is also a client that has gone through the intake process. Client data can be made available upon request.

- i. **CDOT I-70 East Project Professional Services Reverse Trade Fair.** Connect2DOT and the CDOT I-70 East project team hosted a reverse trade fair for DBE and Emerging Small Business Enterprise (ESB) certified firms interested in opportunities to sub-consult on the upcoming I-70 East project. A mandatory event pre-meeting was held and was attended by sixty-four people to provide project information, trade fair logistics, and marketing tips. The reverse trade fair was held at the National Western Complex in Denver, with fifty-two attendees staffing forty-two booths. The reverse trade fair event aimed to allow professional services firms an opportunity to meet with short-listed prime developer teams early on in the Request for Proposals (RFP) process to maximize teaming opportunities. The format was well received and Connect2DOT will follow up with DBE/ESB attendees to determine successes resulting from the event.
- ii. **CDOT I-70 East Project Small Business Networking Event.** This event followed the reverse trade fair at the National Western Complex in Denver and was open to all small businesses (professional services, construction, and vendors) interested in subcontracting on the I-70 East Project. It was an open house format with the four short-listed prime teams staffing booths. The CDOT I-70 East project team presented an overview of the project and an open networking session followed the presentation. The objective of the networking event was to allow all small businesses the opportunity to meet with the prime developer teams and begin making connections. More than 300 people representing DBE/ESBs, other subcontractors, and industry and resource partners attended the networking event.

### c. Industry Events

- i. **6<sup>th</sup> Annual Northwest Colorado Women's Conference.** The Northwest Colorado Women's Conference is an annual SBDC event in Vail, Colorado. The event attracted 270 attendees and involved breakout sessions, keynote presentations, and resource booths. Connect2DOT staffed a booth, gave a presentation on Doing Business with CDOT, and provided one-on-one consulting to six people.
- ii. **ChallengeHER Event for Government Contracting.** This event for female entrepreneurs in Denver was hosted by the SBA. Connect2DOT participated as a resource provider along with CDOT representatives from Procurement and the Civil Rights and Business Resource Center (CRBRC). Approximately 350 people attended from various industries. Connect2DOT staffed two tables and provided twenty-two one-on-one consultations.
- iii. **Government to Business Outreach Event.** Government representatives from CDOT Region 5, U.S. Forest Service, Bureau of Land Management, and City of Montrose provided presentations and a one-on-one consulting at the Montrose SBDC. Despite proactive outreach via press releases, flyers, email, and a newspaper ad, only two people attended. This event occurred the day after the Ridgway Subcontractor Workshop, which may have reduced attendance.
- iv. **Winter Park Resource Roundtable Event.** This event was hosted by the Northwest SBDC in Winter Park and joined government procurement resources from the SBA, Northwest Council of Governments, Colorado Mountain College, and the Grand County Office of Economic Development. The roundtable discussion centered on doing business with government agencies and upcoming local opportunities. The resource fair included booths hosted by agency representatives and area businesses. Twenty-two people attended from a variety of industries. Connect2DOT provided information on highway projects, procurement, and DBE/ESB certification.
- v. **NDCC Construction Forum.** This event was hosted by the North Denver Cornerstone Collaborative and involved resource booths from industry partners and a presentations about upcoming construction in the metro area. Connect2DOT participated with the CDOT I-70 East project team to discuss doing business with CDOT and subcontracting opportunities. Approximately 250 people attended and approximately twenty-five individuals in construction and engineering industries received one-on-one consulting.
- vi. **NASMWDD Event.** This annual event of the National Association of State Minority, Women, and Disadvantaged Business Enterprise Directors was hosted by the Colorado Office of Economic Development in Denver. The NASMWDD event was a two-day conference for DBE program directors across the country, offering workshops, panel discussions, and networking. CDOT participated as a panelist with other local agencies to discuss Colorado small business programs.
- vii. **Government Contracting Conference.** This conference in Colorado Springs was a collaboration between the Pikes Peak National Contract Management Association (NCMA) and PTAC. The conference consisted of 3-4 simultaneous workshop topics for attendees to choose from. Connect2DOT led a workshop on doing business with CDOT, which included a forecast of upcoming CDOT projects in the Front Range. Approximately sixty-five people attended the conference and twelve people, representing small business contractors and local agency representatives, attended a Connec2DOT breakout session.
- viii. **Consulting & Assistance Provided at Short-Listed Prime Developer Team Event.** Connect2DOT assisted in event promotion and outreach for the Front Range Mobility Group's I-70 East outreach event. Connect2DOT also provided one-on-one consulting to DBE/ESB firms attending the event. Approximately fifty people attended.

#### d. Partnerships with other Programs

- i. **RTD** – Connect2DOT participates on the RTD DBE Advisory Committee (DBEAC) which convenes quarterly. This quarter, the DBEAC meeting was focused on changes to DBE program regulations. CDOT staff presented at the meeting, which was attended by approximately sixty people. Connect2DOT also hosted a resource partner booth and met with approximately twenty-five individuals.
- ii. **PTAC** – Connect2DOT collaborated with PTAC for a variety of workshops and outreach events as described in previous sections of this report. The Colorado SBDC Network has formal partnership with the Colorado PTAC and several offices are co-located across the state.
- iii. **SBTRC** – Connect2DOT assisted the Small Business Transportation Resource Center with promoting two Bonding Education Programs this quarter. Connect2DOT referred clients for the program and at least twelve Connect2DOT clients participated in the program. Connect2DOT meets with the SBTRC regularly to discuss upcoming events and collaborate on a joint training program for the I-70 East project.
- iv. **Contractor Academy** – Connect2DOT participates as a Board Member for the Contractor Academy, which is a 501(c)3 providing educational workshops and training for construction contractors. The board meets bi-monthly to discuss curriculum, program partnerships, funding, sponsorships, scholarships, and events.
- v. **HCC** – Connect2DOT participates with CDOT and other industry partners in the Hispanic Contractor of Colorado Transportation Committee. The committee meets quarterly to discuss topics related to small businesses in the transportation and transit sector. This quarter, CDOT staff provided an overview of the DBE and ESB programs for HCC members.
- vi. **CCA** – Connect2DOT worked with the Colorado Contractors Association to promote workshops and networking sessions for large and small businesses, including the workshops in Alamosa and Durango. CCA was also helpful in identifying prime contractors to participate as guest speakers for the Leading Edge program. CCA is the host organization for the SBTRC.
- vii. **Western CCA** – Connect2DOT worked with the Western CCA to promote the small business workshops/events in Ridgway, Montrose, and Grand Junction. This partnership has not been very active, however, a closer working relationship is being pursued with the new Western CCA director to assist with Connect2DOT outreach and training.
- viii. **Colorado MBDA** – Connect2DOT meets once per quarter with the Minority Business Development Agency (MBDA) to discuss upcoming events and clients. This quarter, the discussion included the I-70 East events, CDOT Supplier Self-Service Portal, changes to the DBE regulations, and introductions for three of their small business clients.
- ix. **Colorado OEDIT Minority Business Office** – Connect2DOT meets once per quarter with the MBO director to discuss cross-promotional opportunities, training, and events. This quarter, the focus of the discussion was on CDOT participation in the NAMSWDD conference, Colorado State Procurement Expo, and Spanish-language certification workshops.
- x. **Colorado State Purchasing Office** – CDOT collaborates frequently with the State Purchasing Office for small businesses that contact the program and provide vendor products/services. This quarter, Connect2DOT and the Colorado State Purchasing Office co-presented on government contracting at various industry events, including the Government Contracting Conference.

- xi. **ACEC of Colorado** – Connect2DOT meets with the ACEC director on a regular basis and cross-promotes training and events. This quarter, topics of discussion have included providing a workshop on CDOT consultant prequalification and Master Price Agreements, as well as the launch of CDOT's Small Business Collaborative Forums.
- xii. **Black Construction Group** – This is a special interest group of the Black Chamber of Commerce. Connect2DOT attended a member meeting and met with the Black Chamber of Commerce director. Connect2DOT also cross-promotes events and workshops when applicable to the industry.

**e. SBDC Activities**

- i. **Denver SBDC** – The Denver SBDC is finalizing logistics to offer a spring Leading Edge program and has started recruitment efforts.
- ii. **Pikes Peak SBDC** – The Pikes Peak SBDC is currently offering the Leading Edge program. This program includes business plan reviews and a bi-annual follow-up with graduates.
- iii. **Northwest SBDC** – The Northwest SBDC is coordinating a three-day "road show" in the north central part of the Colorado. The "road show" will include the CDOT Contract Management and Compliance Workshop in Glenwood Springs, SBTRC Prime Connections event in Vail, and a Construction Forum & Panel in Craig. One-on-one consulting will be available at all events.
- iv. **Southern SBDC** – The Southern SBDC is coordinating the annual Government Procurement Fair to be held in April of 2016 in Pueblo, Colorado. The Government Procurement Fair will consist of a panel presentation, breakout sessions, and resource booths. CDOT staff from Procurement, Region 2, Region 5, and headquarters will participate in the panel presentation, breakout sessions, resource booths, and one-on-one consulting.
- v. **Aurora SBDC** – All allocated funds for the Aurora SBDC have been used for one-on-one consulting. The Aurora SBDC requested additional funding for consulting with Connect2DOT clients. The Aurora SBDC is currently developing a proposal for estimated hours through the end of the state fiscal year (June 2016). This proposal will be analyzed along with client impact and other SBDC expenditures to determine an additional allocation, if any.
- vi. **Boulder SBDC** – Boulder SBDC is developing an engineering workshop track to be delivered in April of 2016 that will consist of the following topics: Marketing & Business Development, Optimizing Indirect Cost Rates, CDOT Consultant Prequalification, and Master Pricing Agreement (MPA). The Government Contracting Fair has been postponed until next year due to conflict with other events in March. Connect2DOT sponsorship and participation will be redirected to the Engineering Track and one-on-one consulting.
- vii. **Southwest SBDC** – The Southwest SBDC will manage registration and outreach for the CDOT Contract Management & Compliance Workshop in April. Cortez Chamber of Commerce has requested an Intro to Contracting workshop with CDOT, which will be offered the day after the Contract Management & Compliance Workshop in April.
- viii. **Northeast SBDC** – The Northeast SBDC conducted a webinar training on DBE and ESB certification for SBDC consultants last quarter. As a follow up, one of the consultants is working on translating the presentation into Spanish and scheduling workshops in CDOT Region 4.
- ix. **San Luis Valley SBDC** – The San Luis Valley SBDC does not anticipate additional events at this time because of a low turnout at the workshop and networking event the San Luis Valley SBDC hosted in October.

- x. **Grand Junction SBDC** – The Grand Junction SBDC conducted outreach for the Small Business Certifications workshop this quarter. Last year, the Grand Junction SBDC hosted the CDOT Contract Management & Compliance Workshop, which the SBDC had planned to host again this year. However, CDOT moved the location to Glenwood Springs which falls in the jurisdiction of the Northwest SBDC. Therefore, Grand Junction has focused expanding consulting services.
- xi. **West Central SBDC** – The West Central SBDC hosted and helped coordinate the western slope “road trip” through Ridgway and Montrose. The director of the Montrose (satellite) SBDC office was instrumental in working with the Town of Ridgway for the contractor event. The West Central SBDC has a local Connect2DOT consultant who frequently assists with DBE certification and is responsible for the majority of the one-on-one consulting sessions with Connect2DOT clients between Gunnison and Montrose.
- xii. **Southeast SBDC** – The Southeast SBDC is focused on expanding small business outreach and consulting services. There is a low number of contractors in the Lamar Valley of Colorado and past efforts to conduct workshops resulted in very low turnout.

**f. Consulting**

There are currently more than 225 business consultants in the SBDC network, 25 of which have specific technical expertise for Connect2DOT clients. This quarter, program consultants conducted 207 one-on-one consulting sessions with 96 unique customers. There were a total of 273 hours in direct contact and preparation (file review, notes, research) spent with clients. See Appendix for client demographics and the business information of clients served.

**2. LEADING EDGE™ for Transportation**

The LEADING EDGE for Transportation course is a ten-week class tailored to business owners who specialize in design or construction services in the transportation industry. The course builds on the award-winning LEADING EDGE curriculum and was customized by industry experts to help small businesses determine the best growth strategy for their business and successfully perform on projects with CDOT and other USDOT-funded contracts. This is part of the CDOT BDP requirement and participants graduate by completing an actionable, approved business development plan.

**a. Training.**

- i. **LEAD Center** – The Connect2DOT Program Manager participated in a Leading Edge Certification training session with SBDC Directors. The format included presentations on the curriculum and processes used by individual centers. Connect2DOT provided an overview of the Leading Edge for Transportation program and statewide program implementation.

**b. Leading Edge for Transportation Programs.**

- i. **Denver Metro SBDC** – The first Leading Edge for Transportation program was held in the spring of 2015. There are currently eleven graduates of the program, each having an approved business plan. Business plan reviews were conducted by course facilitators during the program, six months after graduation, and business plan reviews will be conducted again in one year. The next Leading Edge for Transportation program is planned to start in March 2016. Logistics, facilitators, guest speakers, and meeting space was secured this quarter. Promotion and registration will begin in January.
- ii. **Pikes Peak SBDC** – The second Leading Edge for Transportation program kicked off in Colorado Springs on November 2, 2015 and will go through the end of January 2016 (which included holiday breaks). The class has nine participants representing six businesses (3 DBE, 1 ESB, 2 in the certification process). Business plans are in final review. A select

number of business plans from the two classes were chosen to be in the SBDC statewide business plan competition.

- iii. **I-70 East Project** – Connect2DOT is collaborating with the Small Business Transportation Resource Centers to determine if the Leading Edge and Bonding Education Program (BEP) curriculum can be customized into a single program for subcontractors on the I-70 East project.
- c. **Recruitment Efforts.** Each SBDC hosting the program manages logistics, registration, and regional outreach. This quarter, Connect2DOT constructed a mailing list from ReferenceUSA of small businesses with relevant NAICS in a 50-mile radius of Colorado Springs. Postcards were mailed to over 1600 companies. Email invitations and notices in eNewsletters were also delivered. Flyers were provided to partner organizations to distribute to client databases. The SBDC also conducted two open house sessions prior to the class with an 80% conversion rate.
- d. **Recommended Program Changes (If any)** – No program changes are recommended at this time. Past participant surveys were positive for the program and presenters.

### 3. Outreach

A variety of outreach methods are used to promote the Connect2DOT program. These outreach activities are generally focused on one of the following objectives: branding/program recognition, event/workshop promotion, client recruitment, and client retention. The Lead Center coordinates with individual SBDC's to conduct outreach.

- a. **Marketing-** Connect2DOT promotes programs through regular marketing. Marketing efforts this quarter include:
  - i. Postcard mailers, email invitations, flyers, and press releases for the Leading Edge program in Colorado Springs;
  - ii. Flyers, press releases, email invitations, and newspaper ads were sent for the Ridgway, Montrose and Grand Junction workshops and events;
  - iii. Flyers, press releases, and email invitations were sent for the I-70 East project events;
  - iv. Flyers, press releases and newspaper ads were sent to promote Alamosa and Durango workshops;
  - v. Flyers and email invitations were sent to promote the Fort Collins and Greeley workshops;
  - vi. Flyers, email invitations, and project website content were sent to promote for the CDOT I-25 Pre-Bid and Small Business Networking event in January;
  - vii. Flyers and email invitations were sent for the CDOT Contract Management & Compliance workshops in Denver, Glenwood Springs, and Durango in February, March, and April respectively. A postcard mailer will also be sent in January; and
  - viii. A direct calling and email campaign was initiated to improve outreach to small businesses in the Boulder SBDC service area.
- b. **eNewsletter** – Connect2DOT delivers a monthly email newsletter that contains relevant news and information for contractors across the state. This quarter, newsletters were delivered to over 3300 subscribers in October, November, and December. Opt-in subscription is managed on the Connect2DOT website and this list is uploaded to Constant Contact along with the DBE and ESB directory lists each month prior to delivery.
- c. **Website** – Connect2DOT.org is updated 2-3 times per week with event information and other content relevant to the contracting community. The Connect2DOT Program Manager collects information from online sources, industry partners, prime contractors, and CDOT for updates.
- d. **Bid Matching Service** – Connect2DOT updated the CDOT Item Code/NAICS crosswalk to include those items codes used in CDOT project ads that did not have an associated NAICS.

#### **4. Bid Express**

Connect2DOT manages the application process, compliance with usage terms, and client account reviews for CDOT's Sponsored BidX Accounts. Applications are reviewed when they are received and approved or denied based upon eligibility. Compliance is conducted quarterly and emails sent to account holders that have not logged in during the quarter. Account reviews are conducted as needed to determine how account holders are using the system.

- a. **Accounts** – There are currently 45 active account holders (DBE/ESB certified). An email will be sent to all account holders in January letting them know that the annual term expiration is on February 29 and they must re-apply in order to maintain their account. These numbers will be evaluated to make a decision on how many accounts to keep under the contract with InfoTech.
- b. **Survey Results** – Only one survey was received from account holders. Connect2DOT is looking into an alternate method to gather information about how the system is being used by account holders. One method will be to create a renewal application.

#### **5. Statewide DBE & Small Business Conference**

CDOT requested additional program funding in the current year SOW to include an annual conference tailored to DBE contractors. Although the additional funding was not granted, CDOT is collaborating with local agency partners, RTD and City and County of Denver to plan the conference. An initial meeting was held this quarter to discuss concept and approach. A follow up meeting is expected to happen in the next quarter.

#### **6. Program Management and Expansion**

##### **a. Success stories –**

- i. B&B Diversified Materials has been a DBE certified firm in Colorado since 2013. Since 2013, B&B Diversified Materials has grown extensively and on October 5, 2015, the company graduated from the DBE program.
- ii. Cruz Construction has been a certified DBE firm in Colorado since 2010. This quarter, Cruz Construction was awarded a \$1 million prime contract for guardrail installation on I-70.
- iii. Chacon's Construction and Transport has been a Colorado certified DBE since 2013. Staff from Chacon's Construction and Transport completed the Leading Edge for Transportation program and were able to secure \$100,000 in financing by working with a Chase Bank representative who attended a Leading Edge workshop as a guest speaker.
- iv. James Martinez is the President of the Colorado DBE certified firm Martinez Associates, Inc. and completed the Leading Edge for Transportation program to help him grow his business. Here is what Mr. Martinez said about the program: "the Leading Edge course was an incredible learning experience. It's been a while since I've felt my brain soak up so much information. I entered knowing little about the course, but left with crucial concepts in place. I also feel I have the tools/resources to grow and expand my company in the private and transportation sectors. I would actually take this entire class again, that's how good it was."

**b. Challenges & Solutions –**

**i. Consultant Expertise & Scheduling.**

Challenge: There continues to be a lack of CDOT-specific expertise in the consultant pool and therefore most client referrals go to the Program Manager. Many of the retired CDOT recruits understand CDOT process, but not small business issues. On the other hand, many SBDC consultants understand small business issues but not CDOT specific process. Also, the SBDC's rely primarily on the Program Manager to conduct all workshops and provide subject matter expertise. This is not a scalable model and sometimes causes a bottleneck with scheduling issues for consulting, training, and events.

Solution: The Connect2DOT Program Manager conducted three internal webinars on doing business with CDOT, DBE/ESB certifications, and the online DBE/ESB application and renewal process. The Program Manager also worked individually with consultants to provide advice for specific clients and review client materials. The Program Manager is working with all SBDC's to schedule "road trips" during the next two quarters to coordinate travel schedule and availability.

**ii. Client Data.**

Challenge: Quantitative reporting on program activities and client data has been a challenge because of the limitations of the reporting function in CenterIC, the centralized SBDC database.

Solution: CenterIC implemented a Beta reporting tool that is more robust and accurate. Connect2DOT staff is now able to create customized reports with detailed information. While most of the information is now accessible, additional procedures must be put in place to ensure data is being captured consistently. This includes Connect2DOT related customer data (e.g. DBE/ESB certified, prequalified, and owner race/ethnicity), as well as impact data (e.g. bidding activity, and certification).

**c. Recommendations for Improvement –**

**i. Improving Data Tracking.** CDOT has been exploring tools and technology to assist with data collection for client impact and outcomes. Specifically, CDOT hopes to track information about consultant contracts, such as prompt pay and subconsultant awards. CDOT hopes to amalgamate supportive service data with award, prequalification, and certification data to help target particular areas of supportive service needs.

**ii. Improving Communication & Transparency.** CDOT is launching Small Business Collaborative Forums to ensure that CDOT has effective communication with small business stakeholders. The forums provide a space where small businesses, CDOT staff, and other industry leaders find solutions to issues affecting DBE and ESB utilization and success in the planning, design, construction, and operation of the Colorado transportation system. CDOT will host separate Small Business Collaborative Forum meetings dedicated to construction and professional services. The first professional service forum meeting will be held in January. To ensure transparency, the forum has a dedicated webpage with meeting agendas, minutes, presentations, handouts, and information, available here: <http://www.connect2dot.org/stay-connected/cdotcf>

**iii. Online Orientation & Trainings.** CDOT has recently published draft changes to DBE/ESB requirements for consultant contracts. These new changes have increased interest in ESB certification. Currently, the ESB orientation is a requirement to certification and is hosted via a live online webinar once every month. An automated online ESB orientation offering

(including an orientation in Spanish) would increase orientation offerings and accessibility, and accordingly, CDOT is exploring how to implement an online orientation platform.

- iv. **Targeted Regional Outreach.** CDOT is exploring options to improve small business outreach outside the Denver metro area. CDOT is considering the possibility of hosting regional construction roundtables in November and regional networking events for professional service firms.

## **Part 2 - Budget Summary**

The contracted budget to fully implement CDOT's FFY 2015 DBE Supportive Services is \$362,860. CDOT was awarded \$179,960 from FHWA and received an additional \$182,900 of funding provided by the state of Colorado and in-kind funding provided by the Colorado SBDC Network. As of December 30, 2015, Connect2DOT has spent \$60,754 of FHWA and state funds.

## Appendix

### Grand Total

**Distinct Customers 96**

Total Records 96

Race		Hispanic		Gender		Disability		Veteran		Military Status	
Asian	4 4.2%	Not Set	0 0.0%	Not Set	0 0.0%	Not Set	0 0.0%	Not Set	0 0.0%	Not Military/Not Active	94 97.9%
Black	22 22.9%	No	69 71.9%	Male	56 58.3%	No	86 89.6%	Non-Veteran	74 77.1%	Reserve/National Guard	2 2.1%
White	61 63.5%	Yes	26 27.1%	Female	40 41.7%	Yes	8 8.3%	Veteran	8 8.3%	On Active Duty	0 0.0%
Native American	4 4.2%	No Reply	1 1.0%	No Reply	0 0.0%	No Reply	2 2.1%	Srv-Cnctd Dsbl'd Vet.	8 8.3%		
Pacific	2 2.1%							No Reply	6 6.3%		
No Reply	6 6.3%										

Customer Type	
Lead Representative	96 100.0%
Member	0 0.0%

Business Status	
Not Yet in Business	9 9.4%
In Business	86 89.6%
In Business A	1 1.0%
In Business B	0 0.0%
In Business C	0 0.0%
Closed Business	0 0.0%
Sold Business	0 0.0%

Business Type	
Not Set	7 7.3%
11 Agriculture, Forestry, Fishing and Hunting	0 0.0%
21 Mining	0 0.0%
22 Utilities	0 0.0%
23 Construction	35 36.5%
31 Manufacturing	3 3.1%
42 Wholesale Trade	2 2.1%
44 Retail Trade	1 1.0%
48 Transportation and Warehousing	5 5.2%
51 Information	0 0.0%
52 Finance and Insurance	1 1.0%
53 Real Estate and Rental and Leasing	0 0.0%
54 Professional, Scientific, Technical Services	19 19.8%
55 Management of Companies and Enterprises	0 0.0%
56 Administrative and Support	1 1.0%
61 Educational Services	0 0.0%
62 Health Care and Social Assistance	3 3.1%
71 Arts, Entertainment, and Recreation	0 0.0%
72 Accommodation and Food Services	1 1.0%
81 Other Services (except Public Administration)	18 18.8%
92 Public Administration	0 0.0%

Business Organization	
Not Set	7 7.3%
Sole Proprietorship	6 6.3%
Partnership	4 4.2%
Corporation	13 13.5%
Undecided	0 0.0%
S Corporation	15 15.6%
LLC	51 53.1%
Non-Profit 501c3	0 0.0%

Female Ownership	
Not Set	8 8.3%
0%	46 47.9%
0 < and < 50%	1 1.0%
50%	4 4.2%
50 < and < 100%	14 14.6%
100%	23 24.0%

Status	
Business Online	12 12.5%
Home Based	39 40.6%
8a Certified	6 6.3%
DBE Certified	26 27.1%
ESB Certified	9 9.4%
MBE Certified	4 4.2%
HubZone Certified	1 1.0%
TBD1	0 0.0%
Energy	2 2.1%
Creative Industry	2 2.1%
Bioscience	0 0.0%
Information Technology	3 3.1%
Aerospace	0 0.0%
Emerging Industry	1 1.0%
Biz Hub	4 4.2%
	9 9.4%
Employees Full	452
Employees Part	110
Annual Sales \$	\$36,417,263
Annual P/L \$	\$3,929,923
Exporting	1 1.0%
Export Employees	1
Export Sales	\$50,000

	Distinct Customers	Sessions	Contact	Prep	Total
<b>CO Adams</b>	8	16	18.75	6.25	25.00
	Distinct Customers	Sessions	Contact	Prep	Total
<b>CO Arapahoe</b>	14	49	80.00	21.50	101.50
	Distinct Customers	Sessions	Contact	Prep	Total
<b>CO Boulder</b>	1	1	1.00	0.00	1.00
	Distinct Customers	Sessions	Contact	Prep	Total
<b>CO Conejos</b>	1	1	2.00	2.00	4.00
	Distinct Customers	Sessions	Contact	Prep	Total
<b>CO Delta</b>	1	2	1.50	1.00	2.50
	Distinct Customers	Sessions	Contact	Prep	Total
<b>CO Denver</b>	15	27	44.00	9.25	53.25
	Distinct Customers	Sessions	Contact	Prep	Total
<b>CO Douglas</b>	4	7	11.50	2.25	13.75
	Distinct Customers	Sessions	Contact	Prep	Total
<b>CO Eagle</b>	1	3	2.25	0.75	3.00
	Distinct Customers	Sessions	Contact	Prep	Total
<b>CO El Paso</b>	8	25	24.25	12.75	37.00
	Distinct Customers	Sessions	Contact	Prep	Total
<b>CO Garfield</b>	1	2	4.00	1.00	5.00
	Distinct Customers	Sessions	Contact	Prep	Total
<b>CO Jefferson</b>	4	9	12.25	2.75	15.00
	Distinct Customers	Sessions	Contact	Prep	Total
<b>CO Larimer</b>	3	3	2.75	1.00	3.75
	Distinct Customers	Sessions	Contact	Prep	Total
<b>CO Mesa</b>	6	8	9.00	4.25	13.25
	Distinct Customers	Sessions	Contact	Prep	Total
<b>CO Montrose</b>	3	10	16.75	0.00	16.75

	<b>Distinct Customers</b>	<b>Sessions</b>	<b>Contact</b>	<b>Prep</b>	<b>Total</b>
<b><i>CO Ouray</i></b>	1	5	16.50	0.00	<b>16.50</b>
<b><i>CO Pueblo</i></b>	16	32	39.10	13.10	<b>52.20</b>
<b><i>CO Summit</i></b>	1	1	1.00	0.00	<b>1.00</b>
<b><i>CO Weld</i></b>	4	6	5.00	3.25	<b>8.25</b>
	<b>Distinct Customers</b>	<b>Sessions</b>	<b>Contact</b>	<b>Prep</b>	<b>Total (C+P)</b>
	92	207	291.60	81.10	372.70

**Transportation Commission of Colorado**  
**Regular Meeting Minutes**  
**January 21, 2016**

**Chairwoman Kathy Connell convened the meeting at 9:05 a.m. at the CDOT Headquarters in Denver.**

PRESENT WERE: Kathy Connell, Chairwoman, District 6  
Gary Reiff, Vice Chair District 3  
Shannon Gifford, District 1  
Ed Peterson, District 2  
Heather Barry, District 4  
Kathy Gilliland, District 5  
Kathy Hall, District 7  
Sidny Zink, District 8  
Nolan Schriener, District 9  
Bill Thiebaut, District 10  
Steven Hofmeister, District 11

ALSO PRESENT: Shailen Bhatt, Executive Director  
Michael Lewis, Deputy Executive Director  
Josh Laipply, Chief Engineer  
Debra Perkins-Smith, Director of Transportation Development  
Maria Sobota, CFO  
Herman Stockinger, Government Relations Director  
Paul Jesaitis, Region 1 Transportation Director  
Dave Eller, Region 3 Transportation Director  
Johnny Olson, Region 4 Transportation Director  
Kerrie Neet, Region 5 Transportation Director  
Kathy Young, Chief Transportation Counsel  
Scott McDaniel, Staff Services Director  
David Specter, HPTE Director  
Ryan Rice, Operations Division Director  
Mark Imhoff, Director of Transit and Rail  
Vince Rogalski, STAC Chairman  
David Ulane, Director of Aeronautics  
Alicia Nolan, FHWA Representative

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**

Chairwoman Connell opened the meeting for general public comment. There were no public comments.

**Individual Commissioner Comments**

Commissioner Schriener went to the Aeronautics Board Meeting the month. He also met with the Airport of Colorado Springs to discuss a loan coming up and to learn

more about them. Commissioner Schriener also had numerous meetings with the Pikes Peak Area Council of Governments and Colorado Springs in an effort to get more involved in the area.

Commissioner Barry had nothing to report and wished everyone a Happy New Year.

Commissioner Gilliland attended the Grand Opening of the Diverging Diamond Interchange at McCaslin Boulevard. She stated it was very good to see the facility in action and that everyone is excited over all of US 36 come to fruition.

Vice Chair Reiff met with the Arapahoe County Commissioners this month and was very impressed with how forward thinking they are on transportation issues. Commissioner Reiff expressed an appreciation for CDOT staff for their interdisciplinary work. By not remaining in their silo's employees help the TC. He cited the example of Josh Laipply and Maria Sobota's teams working together very well on project planning and project delivery. Vice Chair Reiff appreciated staff's efforts addressing the FASTER audit. He also pointed out HPTE working very well with finance and operations outside of their respective silos on the PPSL project.

Commissioner Hall attended the Delta County yearly County Commissioner meetings. She that they were very happy with CDOT's efforts. She also spoke with the MGD group in Grand Junction about transportation funding working with the growth in the western slop. Finally she mentioned how impressed she was with the PPSL as she drove to the meeting over the mountains on I-70.

Commissioner Gifford had the opportunity to use the PPSL. Additionally she has received very favorable feedback on the lanes.

Commissioner Hofmiester had nothing to report.

Commissioner Thiebaut expressed his happiness to see Karen Rowe back at the meetings. He thanked Sassan and Ajun for their efforts in her leave.

Commissioner Peterson wished everyone a Happy New Year. He also echoed Commissioner Reiff's thoughts on the cooperation and evolution demonstrated within CDOT, and that makes it a very exciting time to be a part for the organization.

Commissioner Zink explained to the commission how much snow Durango has been receiving. She has been impressed with the notifications CDOT has being giving regarding road closures and snow operations. Commissioner Zink shared her thoughts on Region 5 Director Kerrie Neet's retirement, and that she has done a great job as a manager and an RTD for southwest Colorado.

Chairwoman Connell attended the Joint Budget and Transportation Committees at the State Capital. She was very proud of how staff handled themselves at the hearings. She expressed her displeasure with how the Transportation Committee members acted during the hearings. She gave an update on the Highway 9 improvement project. She said the road is wonderful, and that animals have in fact been using the overpasses built for the project.

## **Executive Director's Report**

Executive Director Shailen Bhatt stated he can be protective but demanding of his staff, so he likes appreciates hearing the sincere positive comments the commissioners shared. He acknowledged the efforts of the commission and thanked them for the level of care they put towards CDOT. Executive Director Bhatt also took a moment to welcome back Karen Rowe. Finally, he explained how though the winter has been mild in Denver, across the state the weather has been very bad elsewhere, and thanked staff for their diligence in working.

### **Chief Engineer's Report**

Chief Engineer Josh Laipply welcomed Karen Rowe back to the meeting, and expressed his sadness at Kerrie Neet's retirement. Central 70 had a TIFIA presentation in late December, with a C-470 TIFIA presentation in January. CDOT is leveraging this program as much as possible to build those projects out. PPSL team has worked very hard regarding how the lanes will react to situations, and their work has yielded great benefits so far. He also mentioned in the PPSL area, a bridge demolition was rescheduled at the request of the local area, demonstrating CDOT's efforts to deal with construction impacts.

US 36 opening was a great feather in CDOT's cap. Additionally, RoadX has reached an agreement with HERE to share data. This is an example of Colorado being the first DOT to pen an agreement on data sharing. Finally, Josh detailed a new agreement with CCA to help deliver an increased project load.

### **HPTE Director's Report**

HPTE director David Spector gave a brief report on the HPTE Board. He welcomed Jan Martin as a new full member on the HPTE Board. The Board is now full for the first time in a long time. In December, David reported to the State Capital on the US 36 Audit. He was happy to report 26 of the 29 recommendations were taken. The audit committee was happy to hear that as well.

He went on to report that the HPTE Annual Report would be released on Feb. 15, with an update on the PPSL. Starting in March, the HPTE Board will start to create the price elasticity for Phase 2 of the US 36 project – the commission will be kept informed during this process. Finally, he reported that discussions in Washington, D.C. about TIFIA loans for C-470 and Central 70 went well. Finally, the I-25 north segment 2 prices will be set in March.

### **FHWA Division Administrator Report**

FHWA Division Administrator Alicia Nolan informed the commission on the passing of the FAST act by Congress. This is a five year federal funding bill, with a slight increase per year in funds of about 10% per year. The FAST act adds a new program for freight corridors, and Colorado is in good shape to receive those funds. Additionally, the appropriations bill passed in December, so the state will receive much more predictable federal funding. This will also allow TIGER VIII move forward in 2016. Finally, the US DOT is celebrating its 50<sup>th</sup> anniversary in 2016.

### **STAC Report**

Vince Rogoff of STAC reported that the Transportation Committee has approved a bill to go to the senate recommending that STAC report directly to the Transportation Committee in the future.

**Act on Consent Agenda**

Chairwoman Connell entertained a motion to approve the Consent Agenda. Commissioner Gilliland moved for approval of the resolution, and Commissioner Peterson seconded the motion. Upon vote of the Commission, the resolution passed unanimously.

**Resolution #TC-16-1-1**

BE IT HEREBY RESOLVED, that the Transportation Commission's Regular Meeting Minutes for Nov. 19, 2015, are approved.

**Resolution #TC-16-1-2**

BE IT HEREBY RESOLVED, that the Transportation Commission's Regular Meeting Minutes for Dec. 17, 2015, are approved.

**Resolution #TC-16-1-3**

**Resolution #TC-16-1-3**

Disposal of property to the Anthony Dam Trust.

**Approved by the Transportation Commission on January 21, 2016**

**WHEREAS**, CDOT acquired Parcel 16Rev and 17 in the late 1980's and early 1990's in Adams County as a part of CDOT Project # ID-1(CX)76-1(138) and FI 003-1(2) for use as I-76;

**WHEREAS**, CDOT in an effort to construct a portion of I-76, acquired several total take parcels;

**WHEREAS**, CDOT did not need all of the parcels for right of way resulting in several remainder parcels;

**WHEREAS**, CDOT did not declare 16Rev and 17 as remainder parcels;

**WHEREAS**, the Department of Transportation would like to sell Parcel 16Rev and a portion of 17 to the adjacent property owner, The Anthony Dam Trust;

**WHEREAS**, Parcel 16Rev consists of 8,962 square feet;

**WHEREAS**, Parcel 17 consists of 9,843 square feet;

**WHEREAS**, the combined Parcels 16Rev is now referred as Area 3 and a portion of 17 is now referred to as Area 2 consists of 18,805 square feet;

**WHEREAS**, CDOT discovered a portion of the private buildings encroaching upon CDOT property;

**WHEREAS**, the Anthony Dam Trust would like to resolve the encroachment and bring the private property up to code for residential/commercial development;

**WHEREAS**, the Department of Transportation would like to sell Parcel 16Rev and a portion of 17 to The Anthony Dam Trust;

**WHEREAS**, the disposal of Parcel 16Rev and a portion of 17 will not affect the operation, maintenance, use or safety of CDOT's facility;

**WHEREAS**, the Department of Transportation, Region 1 has declared through Joshua Laipply as Chief Engineer, that Parcel 16Rev and a portion of 17 are not needed for transportation purposes;

**WHEREAS**, pursuant to Colorado Revised Statutes (C.R.S) 43-1-210(5)(a)(I) The Department of Transportation is authorized, subject to approving resolution of the

Transportation Commission, to dispose of any property or interest therein which is no longer needed for transportation purposes;

**WHEREAS**, the Department has determined that Parcel 16 Rev consisting of 8,962 sf and a portion of Parcel 17 consisting of 9,843 sf of I-76 right of way is of use only to the adjacent property owner;

**WHEREAS**, pursuant to Colorado Revised Statutes (C.R.S) 43-1-210(5)(a)(III) when a parcel that is no longer needed for transportation purposes has value to only one adjacent owner, that owner shall have first right of refusal to purchase said property for fair market value;

**WHEREAS**, The Anthony Dam Trust desires to exercise its right of refusal to purchase the 18,805 sf of I-76 right of way which is no longer needed for transportation purposes;

**NOW THEREFORE BE IT RESOLVED**, pursuant to the provisions of the C.R.S, 43-1-210(5) and 23 CFR 710.403 the Department of Transportation be given authority to declare Parcels 16Rev and a portion of 17 as excess property and dispose of the 18,805 sf of I-76 right of way, which is no longer needed for transportation purposes for fair market value.

**BE IT FURTHER RESOLVED**, funds from the sale of the property shall be disbursed in accordance with Section 7.2.15 of the CDOT Right-of-Way Manual.

  
\_\_\_\_\_  
Herman Stockinger, Secretary  
Transportation Commission of Colorado

  
\_\_\_\_\_  
Date

**Resolution #TC-16-1-4**

**Resolution #TC-16-1-4**

Disposal of property to adjacent property owner.

**Approved by the Transportation Commission on January 21, 2016**

**WHEREAS**, CDOT acquired Parcel 1E-EX and access rights AC-1E-EX in the early 1950's in Adams County as a part of CDOT Project # SP-12 382-501 for use as US36 at Federal Blvd Interchange;

**WHEREAS**, CDOT redesigned and located the on-ramp further North for US36;

**WHEREAS**, the redesign created excess right of way;

**WHEREAS**, AC-1E-EX was imposed as a police power and therefore no money was paid to acquire it;

**WHEREAS**, the Department of Transportation requests approval to sell Parcel 1E-EX and relinquish AC-1E-EX to the adjacent property owner;

**WHEREAS**, Parcel 1E-EX consists of 15,815 square feet;

**WHEREAS**, the adjacent property owner would like to purchase the parcel to construct a restaurant;

**WHEREAS**, the disposal of Parcel 1E-EX and relinquishment of AC-1E-EX will not affect the operation, maintenance, use or safety of CDOT's facility;

**WHEREAS**, the Department of Transportation, Region 1 has declared through Joshua Laipply as Chief Engineer, that Parcel 1E-EX and AC-1E-EX are no longer needed for transportation purposes;

**WHEREAS**, pursuant to Colorado Revised Statutes (C.R.S) 43-1-210(5)(a)(I) The Department of Transportation is authorized, subject to approving resolution of the Transportation Commission, to dispose of any property or interest therein which is no longer needed for transportation purposes;

**WHEREAS**, the Department has determined that Parcel 1E-EX consisting of 15,815 sf of US36 right of way and AC- 1E-EX are of use only to the adjacent property owner;

**WHEREAS**, pursuant to Colorado Revised Statutes (C.R.S) 43-1-210(5)(a)(III) when a parcel that is no longer needed for transportation purposes has value to only one adjacent owner, that owner shall have first right of refusal to

purchase said property for fair market value;

**WHEREAS**, the adjacent property owner desires to exercise its right of refusal to purchase the Parcel 1E-EX and AC- 1E-EX which are no longer needed for transportation purposes;

**NOW THEREFORE BE IT RESOLVED**, pursuant to the provisions of the C.R.S, 43-1-210(5) and 23 CFR 710.403 the Department of Transportation be given authority to approve the relinquishment of AC-1E-EX and declare Parcel 1E-EX as excess property and dispose of the 15,815 sf of US36 right of way, which is no longer needed for transportation purposes for fair market value.

**BE IT FURTHER RESOLVED**, funds from the sale of the property shall be disbursed in accordance with Section 7.2.15 of the CDOT Right-of-Way Manual.

  
\_\_\_\_\_  
Herman Stockinger, Secretary  
Transportation Commission of Colorado

  
\_\_\_\_\_  
Date

**Discuss and Act on State Infrastructure Bank Greeley County Airport Loan Request**

Chief Financial Officer Maria Sobota requested approval for a COSIB loan to update the taxiways at the Greeley Airport.

Commissioner Hall asked what sort of revenue is being generated by the oil wells at the airport. Maria Sobota stated she will look into that for her, but reported they are confident the airport will be able to repay the loan.

Chairwoman Connell entertained a motion to approve the Loan Request. Commissioner Schriner moved for approval of the resolution, and Commissioner Reiff seconded the motion. Upon vote of the Commission, the resolution passed unanimously.

**Resolution #TC-16-1-5**

**Resolution #TC-16-1-5**

Approval of the Greeley-Weld County Airport COSIB loan.

**Approved by the Transportation Commission on January 21, 2016**

**WHEREAS**, the Colorado State Infrastructure Bank (bank) is a transportation investment bank with the ability to make loans to public and private entities for the formation of public transportation projects within the state; and

**WHEREAS**, the General Assembly passed Legislation (43-1-113.5 CRS) that made certain provisions for the bank and established within the bank, a highway account, a transit account, an aviation account and a rail account; and

**WHEREAS**, a loan application has been submitted by the Greeley-Weld County Airport (borrower), to borrow \$1,000,000 from the aviation account to correct drainage issues and resurface the taxiways; and

**WHEREAS**, the Transportation Commission has adopted rules, pursuant to 43-1-113.5 CRS, in 2 CCR 605-1 regarding the eligibility requirements, disbursement of funds, interest rates, and repayments of loans from the bank; and

**WHEREAS**, pursuant to 2 CCR 605-1, Rule VI, Section 4 the Review Committee has reviewed and is in support of the application; and

**WHEREAS**, 2 CCR 605-1, Rule VI, Section 6 (2) provides "loan agreements for construction will specify that funds will be disbursed in their entirety to a third party fiduciary or escrow agent" unless the Transportation Commission provides a specific exemption; and

**WHEREAS**, the borrower has expressed its intent to attain Wells Fargo Bank (the agent) as the third party fiduciary, escrow, or administrative agent to confirm proper documentation from the borrower for loan draws, with the Department's Division of Aeronautics, directly disbursing funds to the borrower upon receipt of the agent's confirmation; and

**WHEREAS**, the Division of Aeronautics and the Colorado Aeronautic Board has technically approved this aviation project; and

**WHEREAS**, a sufficient amount is available to loan in the aviation account; and

**WHEREAS**, the term of the loan is five (5) years with a 2.50% interest rate, set by the Transportation Commission semi-annually; and

**NOW THEREFORE BE IT RESOLVED**, the Transportation Commission authorizes the Department, under the guidance and direction of the Chief Financial Officer, to execute

a loan agreement with the borrower in an amount of \$1,000,000.00 under the terms and provisions set forth in the adopted rules.

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

1-26-16  
Date

**Discuss and Act on State Infrastructure Bank Park County Loan Request**

Maria Sobota explained that this request was approve initially in Nov. of 2014, however Park County has received a new Escrow Agent. This loan is the same as the one that was passed in 2014, with a different escrow agent and an interest rate of 2.5% rather than 2.7%

Chairwoman Connell entertained a motion to approve the Loan Request. Commissioner Hofmeister moved for approval of the resolution, and Commissioner Peterson seconded the motion. Upon vote of the Commission, the resolution passed unanimously.

## **Resolution #TC-16-1-6**

### **Resolution #TC-16-1-6**

Revision to the November 2014 Park County State Infrastructure Bank Loan.

#### **Approved by the Transportation Commission on January 21, 2016**

**WHEREAS**, the Colorado State Infrastructure Bank (bank) is a transportation investment bank with the ability to make loans to public and private entities for the formation of public transportation projects within the state; and

**WHEREAS**, the General Assembly passed Legislation (43-1-113.5 CRS) that made certain provisions for the bank and established within the bank, a highway account, a transit account, an aviation account and a rail account; and

**WHEREAS**, a loan application has been submitted by Park County, Colorado (borrower), to borrow \$570,000 to complete the Tarryall Road (County Road 77) project; and

**WHEREAS**, the Transportation Commission has adopted rules, pursuant to 43-1-113.5 CRS, in 2 CCR 605-1 regarding the eligibility requirements, disbursement of funds, interest rates, and repayments of loans from the bank; and

**WHEREAS**, pursuant to 2 CCR 605-1, Rule VI, Section 4 the Review Committee has reviewed and is in support of the application; and

**WHEREAS**, 2 CCR 605-1, Rule VI, Section 6 (2) provides "loan agreements for construction will specify that funds will be disbursed in their entirety to a third party fiduciary or escrow agent" unless the Transportation Commission provides a specific exemption; and

**WHEREAS**, the borrower has expressed its intent to attain Bankers Escrow Corporation (the agent) as the third party fiduciary, escrow, or administrative agent to confirm proper documentation from the borrower for loan draws, with the Department's Division of Highways, directly disbursing funds to the borrower upon receipt of the agent's confirmation; and

**WHEREAS**, the Division of Project Support has reviewed and acknowledged the highway projects significance to transportation goals for which the Borrower requests to borrow funds; and

**WHEREAS**, a sufficient amount is available to loan in the highway account; and

**WHEREAS**, the term of the loan is ten (10) years with a 2.50% interest rate, set by the Transportation Commission semi-annually; and

**NOW THEREFORE BE IT RESOLVED**, the Transportation Commission authorizes the Department, under the guidance and direction of the Chief Financial Officer, to execute a loan agreement with the borrower in an amount of \$570,000 under the terms and provisions set forth in the adopted rules.

  
\_\_\_\_\_  
Herman Stockinger, Secretary  
Transportation Commission of Colorado

  
\_\_\_\_\_  
Date

## **Discuss and Act on 7<sup>th</sup> Budget Supplement of FY 2016**

Maria Sobota pointed out the two items up for approval in Region 2. One of the items is a scope change on SH 21, with the second item being a bid adjustment on a bridge construction project. Additionally, included for information is RoadX information and information on I-76 resurfacing.

Chairwoman Connell entertained a motion to approve the Budget Supplement. Commissioner Gilliland moved for approval of the resolution, and Commissioner Gifford seconded the motion. Upon vote of the Commission, the resolution passed unanimously.

**Discuss and Act on the Resolution Approving the I-25 North IAA between CDOT and HPTE**

David Spector explained that the HPTE board unanimously approved a bank agent for completion of segment 3 of the North I-25 project. The project was able to secure very low loan rates. HPTE is asking the commission to approve the description on how CDOT and HPTE will work together, as well as asking CDOT to back up the loan if HPTE is unable to repay.

Chairwoman Connell entertained a motion to approve the I-25 North IAA. Commissioner Schriner moved for approval of the resolution, and Commissioner Hofmeister seconded the motion. Upon vote of the Commission, the resolution passed unanimously.

**Resolution #TC-16-1-8**

**Resolution #TC-16-1-8**

Approving an Intra-Agency Agreement between the Colorado Department of Transportation and the Colorado High Performance Transportation Enterprise for the I-25 North Express Lanes Project (Segment 3)

**Approved by the Transportation Commission on January 21, 2016**

**WHEREAS**, pursuant to Section 43-1-106(8), C.R.S, the Transportation Commission is responsible for formulating the 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 promulgates and adopts all budgets for the Colorado Department of Transportation ("CDOT") and state transportation programs; 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**, HPTE is authorized, pursuant to Section 43-4-806(2)(c)(I), C.R.S., to impose user fees on the travelling public for the privilege of using surface transportation infrastructure; and

**WHEREAS**, CDOT, in partnership with HPTE, is undertaking the I-25 North Express Lanes Project (Segment 3) (the "Segment 3 Project") to complete, implement and operate one new tolled express lane in each direction between approximately 120<sup>th</sup> Avenue and E-470; and

**WHEREAS**, the Transportation Commission supports the Segment 3 Project and recognizes the benefits it provides to the State, which include, but are not limited to, improving travel times, managing congestion in the I-25 North Corridor, and providing travelers with a choice of a new travel lane; and

**WHEREAS**, HPTE will enter into a loan agreement with Bank of America, N.A. (the "Segment 3 Loan Agreement") pursuant to which HPTE will borrow money to fund the payment of the lawful expenses and costs of planning, designing, engineering, acquisition, installation or construction of the Segment 3 Project and other lawful expenses and costs related thereto ("Segment 3 Loan"); and

**WHEREAS**, in connection with the Segment 3 Loan, HPTE will pledge to Bank of America, N.A. the user-fee revenues collected by HPTE from the Segment 3 Project as further detailed in the Segment 3 Loan Agreement; and

**WHEREAS**, pursuant to Section 43-4-806(4), C.R.S., the Transportation Commission may authorize the transfer of money from the state highway fund to HPTE to defray expenses of HPTE; and

**WHEREAS**, together with HPTE's approval of the Segment 3 Loan Agreement, HPTE has requested that CDOT enter into that certain I-25 North Express Lanes Project (Segment 3) Intra-Agency Agreement with HPTE (the "Segment 3 Intra-Agency Agreement") pursuant to which HPTE can request, and the Transportation Commission will agree to consider making, but is not obligated to make, one or more loans from the state highway fund to satisfy any of HPTE's payment obligations under the Segment 3 Loan Agreement, or to fund HPTE O&M Project Expenses (as such term is defined in the Segment 3 Intra-Agency Agreement), in the event user fee revenues are insufficient, or projected to be insufficient, to satisfy HPTE's obligations; and

**WHEREAS**, any loan that CDOT provides HPTE under the Segment 3 Intra-Agency Agreement shall, notwithstanding any state fiscal rule or generally accepted accounting principle that could otherwise be interpreted to require a contrary conclusion, constitute a loan from the Transportation Commission to HPTE and shall not be considered a grant for purposes of Section 20(2)(d) of Article X of the state Constitution; and

**WHEREAS**, the Transportation Commission recognizes and respects the legal principle that it cannot bind future Transportation Commissions with respect to budgetary and policy decisions, recognizes it cannot agree, in advance, to allocate and transfer state highway funds for a loan to HPTE, and agrees that any decision as to whether or not to allocate and transfer such funds for such purposes shall be made by the Transportation Commission, in its sole discretion, in the year in which the HPTE request occurs; and

**WHEREAS**, in the event the Transportation Commission elects, in its sole and absolute discretion, to make a loan to HPTE to satisfy any of the payment obligations under the Segment 3 Loan Agreement, CDOT can, but is not required to, fund such a loan using Federal-aid highway funds to assist HPTE in fulfilling its payment obligations under the Segment 3 Loan Agreement, but CDOT may not use Federal-aid highway funds to satisfy any HPTE O&M Project Expenses of the Segment 3 Project.

**NOW THEREFORE BE IT RESOLVED**, the Transportation Commission hereby approves and authorizes CDOT to enter into the Segment 3 Intra-Agency Agreement with HPTE in substantially the form presented to the Transportation Commission and authorizes the CDOT Executive Director or his delegee to execute the Segment 3 Intra-Agency Agreement with such changes therein and additions thereto, not inconsistent with this Resolution, as are approved by the CDOT Executive Director or his delegee (whose signature thereon shall constitute conclusive evidence of such approval).

**BE IT FURTHER RESOLVED**, the Transportation Commission hereby approves and authorizes the Segment 3 Loan Agreement in substantially the form approved by the HPTE Board of Directors and appended to the Segment 3 Intra-Agency Agreement, with such changes therein and additions thereto, not inconsistent with this Resolution, as are approved by the CDOT Executive Director or his delegee, which changes can include an increase or decrease in (i) the initial interest rate charged for the Segment 3 Loan so long as the initial interest rate for the Segment 3 Loan does not exceed 3%, provided that such rate may increase under certain circumstance as provided in the Segment 3 Loan Agreement; and (ii) the principal amount of the Segment 3 Loan so long as such principal amount does not exceed \$35 million.

**BE IT FURTHER RESOLVED**, the Transportation Commission hereby authorizes the CDOT Executive Director, the CDOT Chief Financial Officer, or any other officer of CDOT to execute and deliver such certificates and other documents and take such other actions as may be necessary or convenient to the accomplishment of the purposes of this Resolution, including, without limitation, the delivery of closing certificates and other documents required to be delivered by CDOT, if any, under the provisions of the Segment 3 Loan Agreement.

  
\_\_\_\_\_  
Herman Stockinger, Secretary  
Transportation Commission of Colorado

1-26-16  
Date

**Approval of Policy Directive 704.0 “Policy Governing the Efficient Use of FASTER Revenue”**

Josh Laipply to the commission of the changes that were made to the resolution to include the continue efforts surrounding FASTER in workshops. Commissioner Barry requested changes to the language. This change was made to the resolution.

Chairwoman Connell entertained a motion to approve Policy Directive 704.0. Commissioner Barry moved for approval of the resolution, and Commissioner Thiebaut seconded the motion. Upon vote of the Commission, the resolution passed unanimously.

**Resolution #TC-16-1-9**

**Resolution # TC-16-1-9**

Adoption of Policy Directive 704.0 "Policy Governing the Efficient Use of FASTER Revenue."

**Approved by the Transportation Commission on January 21, 2016**

**WHEREAS**, pursuant to § 43-1-106(8)(a), C.R.S., the Colorado Transportation Commission ("Commission") is authorized to formulate 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 the Funding Advancements for Surface Transportation and Economic Recovery (FASTER) Act, § 43-4-801, *et seq.*, C.R.S.; and

**WHEREAS**, the FASTER Act was intended to provide funding for the repair and replacement of structurally deficient and functionally obsolete bridges and improve highway safety in the state;

**WHEREAS**, the FASTER Act, § 43-4-811, C.R.S. allocated additional FASTER funding for FASTER Transit Projects; and

**WHEREAS**, the Colorado Office of the State Auditor conducted an audit regarding the use of FASTER funding by state agencies including CDOT, and published its recommendations in an audit entitled "Collection and Usage of the FASTER Motor Vehicle Fees" dated August 2015; and

**WHEREAS**, the State Auditor's findings 1 through 7, 9 and 10 concern CDOT's processes and controls for the use of FASTER funds for eligible projects; and

**WHEREAS**, the Commission, by adopting Policy Directive 704.0, intends to provide sufficient guidance to the Department on the allocation of FASTER funding and set forth criteria the Department must follow to select eligible projects in order to effectively and efficiently use FASTER revenue; and

**NOW THEREFORE BE IT RESOLVED**, the Commission herein approves Policy Directive 704.0 "Policy Governing the Efficient Use of FASTER Revenue."

**NOW THEREFORE BE IT FURTHER RESOLVED**, in a continuing effort to bring focus to this important program, the Commission requests additional workshops with CDOT staff for the purpose of further review and possible refinement of applicable directives.

  
\_\_\_\_\_  
Transportation Secretary  
Herman Stockinger

1-26-16  
\_\_\_\_\_  
Date

**Recognition**

Karen Rowe gave recognition to the City of Colorado Springs for their collaboration on the I-25/ US 24 RAMP project. The City of Colorado Springs recognized the need for this project, and brought forward a significant amount of money. The project faced issues with the raising cost of construction. However through collaboration between CDOT and the city, more funds were able to be raised by the city, allowing the project to become a reality. The City also put a great deal of effort into the project in non monetary ways, through leveraging relationships, clearing processes and design input. Commissioner Schriener stated this interchange is the focal point of Colorado Springs, so that this project's completion is extremely important. Colorado Springs and a few individuals were presented with certificates.

Commissioner Zink acknowledged the actions of Mike McVaugh and Kerrie Neet. The three of them were driving over Wolf Creek pass, and saw a driver in distress. A woman had an incident while driving, she was weaving across the highway then

pulled off to the side of a lane. Mike went up to the car, seeing that the driver was unconscious with the car running, he put some rocks in front and behind the wheels of the car to immobilize it. After that, Kerrie and Mike was able to get the driver to open the windows after she regained consciousness. They then turned off the car and called her husband with her cell phone. Commissioner Zink stated that the calm, decisive and reassuring actions of Mike and Kerrie helped to manage and diffuse the extraordinary situation. Mike and Kerrie were presented with certificates of appreciation. Kerrie Neet stated that Mike is a man of action, who is often in the right spot helping whenever he can – Be it rock fall or a loose animal on the road. He is always helping.

Executive Director Bhatt recognized Ty Ortiz for his efforts in Oklahoma. The state experienced some rock fall issues during a recent flooding. The governor of Oklahoma called CDOT asking for some expertise. Ty took this call and immediately went to Oklahoma to help them deal with the issues. As a thank you, Governor Fallin of Oklahoma then sent Governor Hickenlooper a letter recognizing and thanking Ty for his help. Executive Director Bhatt expressed his thanks to Ty for answering the call and going above and beyond the call. He was presented with a framed copy of Governor Fallin's letter.

With the coming of the New Year, it is time to award the Executive Director's cup to one of the five CDOT Regions. Executive Director Bhatt stated that it was a very difficult decision, because there are 5 great regions with great RTD's. The regions are the areas where the rubber hits the road, so the cup is a good chance to share the accolades HQ receives with the people who do the work. This year, the Cup will be going to Region 5. Director Bhatt highlighted that people in region 5 are exemplary. Additionally, the region felt a great tragedy this year, and rebounded as a community wonderfully. Kerrie Neet accepted the award and thanked the people in her region for their extremely hard work.

### **Adjournment**

Chairwoman Connell closed the January Transportation Commission meeting at 10:25 a.m.



**COLORADO**

**Department of Transportation**

Division of Accounting and Finance

4201 East Arkansas Avenue, Room 262  
Denver, CO 80222

**MEMORANDUM**

**TO: TRANSPORTATION COMMISSION**  
**FROM: MARIA SOBOTA, CHIEF FINANCIAL OFFICER**  
**CC: DAVID SPECTOR, DIRECTOR OF HIGH PERFORMANCE TRANSPORTATION ENTERPRISE**  
**DATE: FEBRUARY 18, 2016**  
**SUBJECT: AMENDMENT TO THE INTRA-AGENCY AGREEMENT BETWEEN CDOT AND HPTE**

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Purpose

To present details regarding changes being made to the existing I-70 Peak Period Shoulder Lane Project Intra-Agency Agreement (IAA) between Colorado Department of Transportation (CDOT) and the High Performance Transportation Enterprise (HPTE).

Action

Staff is seeking TC approval of the resolution authorizing the proposed changes to the I-70 Peak Period Shoulder Lane (PPSL) Project IAA.

Background

In December 2014, HPTE borrowed \$25 million from Banc of America to help complete the I-70 PPSL Project. In order to assist HPTE in securing more favorable loan terms needed for this critical project, CDOT entered into an IAA in order to provide credit support to HPTE. Since that time, the need has arisen to modify specific items in the Loan Agreement itself as well as clarify how obligations between CDOT and HPTE will be determined.

Amendment Details

The IAA amendment conforms to two specific changes being made to the Loan Agreement between Banc of America and HPTE. The two changes to the Loan Agreement that are reflected in the IAA amendment are as follows:

1. The original Loan Agreement had a reporting requirement that specified that HPTE provide unaudited financial statements 30 days after July 1 and January 1 of each fiscal year. In practice, this is impossible due to the state's accounting system (CORE) and how long it takes to reconcile financial information. HPTE and Banc of America agreed that moving from 30 to 90 days after July 1 and January 1 was reasonable in order to accommodate these existing constraints.
2. It clarifies the definition on when our interest payment date occurs.



In addition to the changes that flow from the amendments to the loan agreement, the changes to the IAA more clearly define how obligations between CDOT and HPTE will be determined. The changes to the IAA are as follows:

1. It defines which Operations and Maintenance (O&M) costs are subject to the "pro-rata share." In the original IAA, a broad pro-rata split is all that was contemplated, but since that time, staff has gotten more specific about how that split will be determined. This IAA amendment will use essentially the same criteria that HPTE and CDOT have used in the recently approved I-25N Segment 3 IAA. Specifically, many items (such as snow and ice) will be treated on a pro-rata basis; whereas costs related only to the tolling and toll lane maintenance will be an HPTE-only expense and pre-existing costs unaffected by the managed lane (such as lighting) will be a CDOT-only expense.
2. It includes CDOT invoicing and HPTE payment processes of O&M obligations that were not addressed in the original IAA.

All necessary parties have agreed to the changes to the original Loan Agreement. Those are currently being integrated into the first amendment to HPTE's PPSL Loan with Banc of America. This amendment is being presented to the HPTE Board of Directors this month for authorizing and execution.

#### Key Benefits

Approval of the changes to the existing I-70 PPSL IAA will mirror the revisions being made to the existing Loan Agreement, ensuring consistency across all agreements related to this project. It will also reinforce the mutually beneficial partnership between CDOT and HPTE by clearly defining roles and responsibilities.

#### Options and Recommendations

1. Approve the amended IAA between CDOT and HPTE (STAFF RECOMMENDATION).
2. Do not approve the amended IAA and request additional information.
3. Reject the amended IAA.

#### Next Steps

If approved, execute amended IAA.

#### Attachments

Attachment A: First Amendment to HPTE I-70 PPSL Project Intra-Agency Agreement

Attachment B: Resolution Approving the First Amendment to the Intra-Agency Agreement between CDOT and HPTE for the I-70 Peak Period Lane (Mountain Express Lane) Project



**FIRST AMENDMENT TO  
HPTE I-70 PPSL PROJECT  
INTRA-AGENCY AGREEMENT**

THIS FIRST AMENDMENT (the “Amendment”) is made this \_\_\_\_\_ day of \_\_\_\_\_, 2015 by and between the STATE OF COLORADO for the use and benefit of the COLORADO DEPARTMENT OF TRANSPORTATION, hereinafter referred to as “CDOT,” and the COLORADO HIGH PERFORMANCE TRANSPORTATION ENTERPRISE, a government-owned business and a division of CDOT, hereinafter referred to as the “Enterprise” or “HPTE.”

**FACTUAL RECITALS:**

A. CDOT is an agency of the State of Colorado authorized pursuant to Section 43-1-105, C.R.S. to plan, develop, construct, coordinate, and promote an integrated transportation system in cooperation with federal, regional, local and other state agencies.

B. The Transportation Commission of Colorado (the “Transportation Commission”) is the budgetary and policy making body for CDOT with all powers and duties granted by the Colorado General Assembly pursuant to Section 43-1-106, C.R.S.

C. HPTE was created pursuant to Section 43-4-806(2), C.R.S. as a government-owned business within CDOT to pursue innovative means of completing important surface transportation projects that will improve the safety, capacity, and accessibility of the surface transportation system, can feasibly be commenced in a reasonable amount of time, and will allow more efficient movement of people, goods, and information throughout Colorado.

D. CDOT and HPTE previously entered into that certain *HPTE I-70 PPSL Project Intra-Agency Agreement*, dated December 19, 2014 (the “Agreement”), regarding the financing, construction, and operations and maintenance of the I-70 Mountain Express Lane Project, formerly known as the I-70 Peak Period Shoulder Lane Project (the “Project”).

E. CDOT and HPTE also previously entered into a Letter Agreement, dated March 5, 2015, concerning the invoicing and reimbursement of certain costs paid by CDOT for the construction of the Project, the terms of which are to be incorporated into this Amendment.

F. CDOT and HPTE now desire to amend the Agreement to clarify certain terms and conditions related to the operations and maintenance of the Project.

G. Pursuant to Section 6.13 of the Loan Agreement between HPTE and Banc of America Preferred Funding Corporation (the “Bank”), the Bank’s consent to the Amendment is required and, as of the date of this Amendment, such consent has been received.

H. This Amendment is executed by HPTE under the authority of Sections 29-1-203 and 43-4-806(6)(h), C.R.S., and by CDOT under the authority of Sections 43-1-110 and 43-1-116, C.R.S.

**NOW, THEREFORE, IN CONSIDERATION OF THE FOREGOING RECITALS, THE PARTIES TO THIS AMENDMENT HEREBY AGREE AS FOLLOWS:**

1. Amendment to Operations and Maintenance Provisions. Section I (Operation and Maintenance of the Project) of the Agreement is hereby deleted in its entirety and replaced with the following:

**I. OPERATIONS AND MAINTENANCE OF THE PROJECT**

A. The I-70 PPSL Project is adjacent to a segment of the I-70 general purpose lanes (“I-70 General Purpose Lanes”) and HPTE and CDOT recognize the need to cooperate in carrying out the related operations and maintenance for the I-70 PPSL Project and the I-70 General Purpose Lanes. To that end, HPTE and CDOT agree to cooperate in ensuring that the operations and maintenance is performed and agree to the division of costs as set forth herein. As a general matter, HPTE shall be responsible for operating and maintaining the I-70 PPSL Project, and agree that CDOT shall be responsible for operating and maintaining the I-70 General Purpose Lanes. It is the intent of the parties that, except as specifically provided otherwise herein, CDOT shall perform such operations and maintenance of both the I-70 General Purpose Lanes and the I-70 PPSL Project, subject to reimbursement from HPTE for HPTE’s proportionate share of the overall operations and maintenance expenses, as further described herein.

B. Except as otherwise provided herein, the CDOT and HPTE agree to allocate costs based on a proportion of the total number of vehicles using I-70 within the Project area during the reference month, with HPTE’s portion being calculated to include all vehicles obligated to pay a fee for use of the I-70 PPSL Project, whether or not such user fee is actually collected, and CDOT’s portion being calculated to include all other vehicles (the “Pro-Rata O&M Cost Calculation”). For illustrative purposes only, if the total cost of operating and maintaining the segment of I-70 including the I-70 PPSL Project is \$500,000 per month, and 5% of the total vehicle count consisted of vehicles obligated to pay a user fee, HPTE would be responsible for \$25,000 of such operations and maintenance costs. The Pro-Rata O&M Cost Calculation shall apply to CDOT’s costs incurred with respect to: (i) snow and ice removal services; (ii) courtesy patrol; (iii) pavement resurfacing, life-cycle and capital maintenance, to the extent such activities reasonably include both the I-70 PPSL Project and the I-70 General Purpose Lanes; (iv) lane striping; and (v) any other operations and maintenance expense CDOT and HPTE agree in good faith is most fairly allocated utilizing the Pro-Rata O&M Cost Calculation method.

C. The Pro-Rata O&M Cost Calculation shall not apply to those operations and maintenance costs existing and regularly funded by CDOT prior to the

implementation of the I-70 PPSL Project, and for which the addition of the I-70 PPSL Project results in a *de minimus* impact on overall operations and maintenance expenses for I-70. Such costs include, but are not limited to, CDOT's costs incurred with respect to: (i) repair and replacement of guardrail; (ii) repair and replacement of lighting fixtures; and (iii) contracts with the State Patrol for safety enforcement within the corridor (but exclusive of additional enforcement contracted by HPTE for toll evasion enforcement, if any).

D. HPTE shall be solely responsible for costs incurred with respect to: (i) toll processing and collection; (ii) Level I and Level II maintenance of toll equipment; (iii) contracts for toll evasion enforcement with the State Patrol or other law enforcement entity, if any; (iv) daily lane sweeping/cleaning in preparation for opening the I-70 PPSL Project; and (v) CDOT staff time dedicated to monitoring traffic flows and determining opening/closing times and variable toll rates for the I-70 PPSL Project, in accordance with guidance set forth and approved by HPTE; and (vi) HPTE overhead and administrative costs related to the operations and maintenance of the I-70 PPSL Project. Such costs, together with those costs attributable to HPTE under the Pro-Rata O&M Cost Calculation, shall constitute the "HPTE O&M Project Expenses."

E. To the extent either CDOT or HPTE provides services to the other (either through a third party or directly) that results in one party covering the costs that is agreed to be the responsibility of the other, the party covering such costs will invoice the other and such invoice shall include a reasonably detailed breakdown of the costs for which the invoicing party is seeking reimbursement.

F. CDOT shall submit to HPTE on or before January 15 and July 15 of each year an invoice describing the HPTE O&M Project Expenses due to CDOT with respect to the I-70 PPSL Project for the prior six month period. To the extent the user fee revenues generated from the I-70 PPSL Project as they are required to be applied are, or are estimated to be, inadequate to cover the HPTE O&M Project Expenses, HPTE can request a CDOT Backup Loan to fund all or a portion of the HPTE O&M Project Expenses pursuant to Section II below. Before HPTE submits to CDOT the written notification described in Section II.B below, CDOT and HPTE agree to cooperate in estimating the expected cost of operating the I-70 PPSL Project for the upcoming fiscal year. This estimate, and the expected available revenue from the I-70 PPSL Project for the HPTE O&M Project Expenses shall serve as a basis for submitting the notification described in Section II.B.

G. In consideration of the various terms, covenants, and conditions set forth herein (including the benefits that CDOT will receive as a result of the Project, CDOT hereby provides to a non-exclusive license over, under, upon and in the site of the Project ("License") for HPTE to operate the I-70 PPSL Project. CDOT acknowledges and agrees that HPTE may sublicense the License as needed to operate and maintain the Project. Subject to the License, CDOT reserves the right of use, occupancy and ownership over, under, upon and in the lands comprised of the I-70 PPSL Project.

2. Eastbound PPSL Construction Package 3. On December 18, 2014, the Transportation Commission approved a budget action of \$20.85 million to pay for the Eastbound PPSL Construction Package 3, of which \$17.5 million was available to HPTE to pay for the construction of ITS infrastructure, interchange improvements at mile marker 241 East Idaho Springs, asphalt overlay, and fiber installation for the Project. In a Letter Agreement dated March 5, 2015, CDOT and HPTE agreed that CDOT shall invoice HPTE, and HPTE shall remit payment to CDOT, for those aforementioned elements of the Eastbound PPSL Construction Package 3. CDOT and HPTE agree that all invoicing and payment obligations with respect to the Eastbound PPSL Construction Package 3 have been satisfied in their entirety.

3. General Provisions. With the exception of those terms and conditions specifically modified herein, the Agreement shall remain in full force and effect in accordance with all of its terms and provisions. In the event of any conflict between the terms and provisions of the Agreement and the term and provisions of this Amendment, the terms and provisions of this Amendment shall control. This Amendment may be executed in any number of counterparts, each of which shall be deemed an original, and all of such counterparts shall constitute one agreement.

*[Signature page follows.]*

**IN WITNESS WHEREOF**, the parties hereto have executed this Amendment as of the day and year first above written.

STATE OF COLORADO  
JOHN HICKENLOOPER, Governor

COLORADO HIGH PERFORMANCE  
TRANSPORTATION ENTERPRISE

By: \_\_\_\_\_  
SHAILEN P. BHATT  
Executive Director  
DEPARTMENT OF TRANSPORTATION

By: \_\_\_\_\_  
DAVID I. SPECTOR  
HPTE Director

APPROVED:

CYNTHIA COFFMAN  
Attorney General

By: \_\_\_\_\_  
Assistant Attorney General

**Resolution # TC-16-2-**

**Approving the First Amendment to Intra-Agency Agreement between CDOT and HPTE for the I-70 Peak Period Shoulder Lane (Mountain Express Lane) Project.**

**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 and other transportation systems in the State; 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**, HPTE, in partnership with CDOT, completed and is operating the I-70 Mountain Express Lane Project, formerly known as the I-70 Peak Period Shoulder Lane Project (the “Project”) over a 13 mile segment of eastbound I-70 through the I-70 Mountain Corridor; and

**WHEREAS**, by Resolution #TC-3216, dated December 19, 2014, the Transportation Commission previously approved the HPTE I-70 PPSL Project Intra-Agency Agreement (the “Agreement”) between CDOT and HPTE regarding the Project; and

**WHEREAS**, CDOT and HPTE now desire to further define the allocation of costs and responsibilities for operations and maintenance of the Project, as well as set forth invoicing and payment procedures not described in the original Agreement.

**NOW THEREFORE BE IT RESOLVED**, the Transportation Commission hereby approves the First Amendment to the I-70 PPSL Project Intra-Agency Agreement between CDOT and HPTE and authorizes CDOT’s Executive Director to sign the First Amendment on behalf of CDOT.

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Herman Stockinger, Secretary  
Transportation Commission of Colorado

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Date



4201 East Arkansas Avenue, Room 235  
Denver, CO 80222

## MEMORANDUM

**TO: TRANSPORTATION COMMISSION**  
**FROM: COLORADO STATE INFRASTRUCTURE BANK (COSIB) COMMITTEE**  
**DATE: FEBRUARY 18, 2016**  
**SUBJECT: COSIB LOAN APPLICATION FOR COLORADO SPRINGS AIRPORT**

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### Purpose

To provide background information related to the Colorado Springs Airport COSIB loan application and to review the SIB Committee's recommendation for approval.

### Action

The TC is being asked to review and approve the Colorado Springs Airport \$3,341,183 loan request.

### Background

The Colorado Springs Municipal Airport wants to rehabilitate two major taxiways and several connector taxiways throughout the airport as well as purchase new fleet vehicles. The taxiways were constructed over 25 years ago with Portland Cement Concrete pavement and no major reconstruction or rehabilitation has been performed on these taxiways since then. Consequently, these taxiways are experiencing moderate distresses, including surface map cracking, longitudinal and corner cracking and spalling, and the creation of Foreign Object Debris from large fragments of deteriorated concrete surfaces. These projects will assist in preserving the safety of passenger carriers and other aircraft utilizing these sections of the taxiways described by mitigating potential hazards to aircraft caused from the pavement deterioration. If approved, the project is expected to begin during the 2016 construction season. The airport also seeks to purchase several new pieces of equipment, including Tracking Tow Brooms and Police vehicles, which are reaching the end of their useable lives and making it difficult to maintain Movement Areas and other essential airport areas in safe and secure operating conditions.

### Details

Revenue from the Passenger Facility Charges (PFC) that the airport receives is identified as the primary source of funds that will be used to secure the COSIB loan. This option for revenue generation is common at all public use airports. The PFC program allows commercial service airports enplaning more than 2,500 passengers annually to charge each enplaning passenger a facility charge in accordance with Federal Aviation Administration (FAA) regulations. The PFC is levied on the ticket, collected by the airlines, and forwarded to the airport. An airport can only utilize PFCs upon receipt of an approved, Final Agency Decision (FAD) from the FAA. In order to obtain a FAD, an airport must first consult with the airlines to obtain their approval and comments, which are included in the PFC application. A PFC application may be submitted for eligible projects that are already completed, under construction, or will be completed in the future. Allowable costs are the reasonable and necessary costs of carrying out an approved project including costs prior to and subsequent to the approval to impose a PFC and making payments for debt service including financing costs incurred to carry out such projects.



The airport is currently using PFCs to repay a COSIB loan that it received in 2014. In addition to PFC revenues, the airport has agreed to adding additional language in the proposed loan agreement that will secure jet fuel sales and use tax revenue refunds in the event of non-appropriation of PFC revenues towards debt service in any given year. The COSIB Committee views this as more than adequate coverage (as shown in attachment A) and consider the risk level no different from other airport loans that have been issued in the past.

#### Key Benefits

Funding the taxiway rehabilitations and the fleet vehicle purchases will address an increasingly serious safety hazards. By repairing and reconstructing the concrete on the taxiways, aircrafts will be able to enter and exit the taxiways with ease while reducing damage to the aircrafts that is caused by concrete debris. The airports will also be able to maintain Movement Areas and other essential airport areas, ensuring they stay in safe and secure operating conditions.

#### Options and Recommendation

1. Approve the \$3,431,183 loan to Colorado Springs Airport. **SIB Committee recommendation.**
2. Request additional information and delay for a future month.
3. Deny SIB loan request.

#### Next Steps

If the loan is approved, the Division of Administration and Finance (DAF) will complete the loan process. The Department will work closely with the Colorado Springs Airport to ensure that the loan is disbursed quickly in order to keep the airport on schedule to complete its repairs in the 2016 construction season.

#### Attachments:

Attachment A: Colorado Springs Airport Loan Analysis



## Colorado State Infrastructure Bank of Loan Request

### General Information About the Sponsor:

Sponsor's Name..... Colorado Springs Municipal Airport

Application date..... January 13, 2016

CO SIB Priority..... Single

Transportation Region..... Region 2

### Financial Information Concerning the Sponsor:



Statement of Net Assets		Statement of Revenues, Expenses and Change in Net Assets	
Cash, Investments and Receivables	\$ 29,438,268.00	Total Revenue	\$ 30,636,642.00
Other Current Assets	215,060.00	Operating Expenses	\$ 27,489,660.00
Total Current Assets	<u>\$ 29,653,328.00</u>	EBI	<u>\$ 3,146,982.00</u>
Fixed and Other Assets	<u>259,003,401.00</u>	Interest Expenses	
Total Assets	<u>\$ 288,656,729.00</u>	Net Income	<u>\$ 3,146,982.00</u>
Current Liabilities	7,560,158.00	Source: Colorado Springs Airport, 2014 Financial Statements, December 31, 2014	
Long-term Liabilities	24,148,414.00		
Total Liabilities	<u>\$ 31,708,572.00</u>		
Net Assets	<u>\$ 256,948,157.00</u>		

### Financial Totals:

Total Assets..... \$ 288,656,729.00

Total Liabilities..... \$ 31,708,572.00

Total Revenue..... \$ 30,636,642.00

Total Expense..... \$ 27,489,660.00

**Loan Provisions:**

Requested Loan Amount.....	\$ 3,431,183.00
Rate of Interest on the Loan.....	2.50%
Period.....	10 years <span style="float: right;">10</span>
Loan Repayment Basis.....	Annual
Beginning Payment Date.....	1-Apr-2017
Repayment Source(s).....	Passenger Facility Charge (PFC) Revenues
Previous CO SIB Loan Balance.....	\$2,127,491.53

**Amortization Schedule:**

	Payment Due Dates	Annual Payment Amounts	Interest	Principal	Outstanding Balance
1	April-17	411,889.89	90,122.17	321,767.72	3,283,118.92
2	April-18	411,889.89	82,077.97	329,811.92	2,953,307.00
3	April-19	411,889.89	73,832.68	338,057.21	2,615,249.79
4	April-20	411,889.89	65,381.24	346,508.64	2,268,741.14
5	April-21	411,889.89	56,718.53	355,171.36	1,913,569.78
6	April-22	411,889.89	47,839.24	364,050.64	1,549,519.14
7	April-23	411,889.89	38,737.98	373,151.91	1,176,367.23
8	April-24	411,889.89	29,409.18	382,480.71	793,886.52
9	April-25	411,889.89	19,847.16	392,042.73	401,843.79
10	April-26	411,889.89	10,046.09	401,843.79	(0.00)

**Project Information:**

Project Description.....	Reconstruct taxiways and purchase additional fleet equipment.
Type of Project.....	Aviation
Total Project Cost.....	\$ 26,313,183.00
Leverage Ratio.....	0.130
% Funded by Other Sources.....	87.0%
Benefit.....	Safety
Plan.....	Yes
Technical Approval.....	Yes, approved by the Colorado Aeronautical Board

**Financial Analysis:**

The companies long term debt to its assets are favorable. Liquidity ratio is also favorable.

**Debt-Equity Ratios:**

Long-term Debt Ratio.....	0.086 =	Long-term Liabilities divided by Long-term Liabilities plus Net Assets
Debt-Equity Ratio.....	0.094 =	Long-term Liabilities divided by Net Assets
Total Debt Ratio.....	0.1098 =	Total Assets divided by Total Liabilities

**Liquidity Ratios:**

Net Working Capital to Total Assets Ratio....	0.077 =	Current Assets minus Current Liabilities divided by Total Assets
Current Ratio.....	3.922 =	Current Assets divided by Current Liabilities
Quick Ratio.....	3.894 =	Cash, Investments and Receivables divided by Current Liabilities
Interval Measure (in days).....	391 =	Cash, Investments and Receivables divided by Operating Expenses divided by 365

**Transportation Commission of Colorado  
February 18, 2016**

**Resolution Number TC-**

**WHEREAS, the Colorado State Infrastructure Bank (bank) is a transportation investment bank with the ability to make loans to public and private entities for the formation of public transportation projects within the state; and**

**WHEREAS, the General Assembly passed Legislation (43-1-113.5 CRS) that made certain provisions for the bank and established within the bank, a highway account, a transit account, an aviation account and a rail account; and**

**WHEREAS, a loan application has been submitted by the Colorado Springs Municipal Airport (borrower), to borrow \$3,431,183.00 from the aviation account to rehabilitate taxiways and purchase additional fleet equipment; and**

**WHEREAS, the Transportation Commission has adopted rules, pursuant to 43-1-113.5 CRS, in 2 CCR 605-1 regarding the eligibility requirements, disbursement of funds, interest rates, and repayments of loans from the bank; and**

**WHEREAS, pursuant to 2 CCR 605-1, Rule VI, Section 4 the Review Committee has reviewed and is in support of the application; and**

**WHEREAS, 2 CCR 605-1, Rule VI, Section 6 (2) provides “loan agreements for construction will specify that funds will be disbursed in their entirety to a third party fiduciary or escrow agent” unless the Transportation Commission provides a specific exemption; and**

**WHEREAS, the borrower has expressed its intent to attain U.S. Bank Global Corporate Trust Services (the agent) as the third party fiduciary, escrow, or administrative agent to confirm proper documentation from the borrower for loan draws, with the Department’s Division of Aeronautics, directly disbursing funds to the borrower upon receipt of the agent’s confirmation; and**

**WHEREAS, the Division of Aeronautics and the Colorado Aeronautical Board has technically approved this aviation project; and**

**WHEREAS, a sufficient amount is available to loan in the aviation account; and**

**WHEREAS, the term of the loan is ten (10) years with a 2.50% interest rate, set by the Transportation Commission semi-annually; and**

**NOW THEREFORE BE IT RESOLVED, the Transportation Commission authorizes the Department, under the guidance and direction of the Chief Financial Officer, to execute a loan agreement with the borrower in an amount of \$3,431,183.00 under the terms and provisions set forth in the adopted rules.**

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**Herman Stockinger, Secretary  
Transportation Commission of Colorado**



**COLORADO**  
**Department of Transportation**  
Division of Accounting and Finance

4201 East Arkansas Avenue, Room 262  
Denver, CO 80222-3400  
(303) 757-9793

## MEMORANDUM

DATE: February 18, 2016  
TO: Transportation Commission  
FROM: Maria Sobota, Chief Financial Officer  
SUBJECT: Eighth Supplement - FY 2016

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The project request included in the Supplement are consistent with the FY 2016 through FY 2019 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.

**Region 4**

**\$11,586,458 - I-70 Seibert-East-Surface Treatment**-Additional state funds to increase scope of work on existing project. Project limits are being extended to address safety concerns and take advantage of mobilized contract and existing permitting. 4 miles are being added to the west from MP 406.9 to MP 410.9. (19029/1000218593)

**I-70 Seibert-East**

*Budget Components by Phase, Funding Program, Fiscal Year*

Phase of Work	Funding Program	Current Budget	Eighth Supplement Action				Revised Budget	Expended To-Date	
			Year of Budget			Total Request			Percent Increase
			FY 2016	FY 2017	FY 2018				
Design	<i>Regional Priority Program</i>	\$45,242	\$0	\$0	\$0	\$0	\$45,242	\$45,242	
	<b>Total Design</b>	<b>\$45,242</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$45,242</b>	<b>\$45,242</b>	
Construction	<i>On System Bridge Construction</i>	\$1,550,000	\$0	\$0	\$0	\$0	\$1,550,000	\$1,550,000	
	<i>Surface Treatment</i>	\$25,591,831	\$0	\$0	\$11,586,458	\$11,586,458	\$37,178,289	\$23,773,825	
	<b>Total Construction</b>	<b>\$27,141,831</b>	<b>\$0</b>	<b>\$0</b>	<b>\$11,586,458</b>	<b>\$11,586,458</b>	<b>\$38,728,289</b>	<b>\$25,323,825</b>	
<b>Total Project Budget</b>		<b>\$27,187,073</b>	<b>\$0</b>	<b>\$0</b>	<b>\$11,586,458</b>	<b>\$11,586,458</b>	<b>43%</b>	<b>\$38,773,531</b>	<b>\$25,369,067</b>
			Year of Expenditure			Total Request			
			FY 2016	FY 2017	FY 2018	\$11,586,458			
			\$11,586,458	\$0	\$0	\$11,586,458			

*Per PD703.0 project adjustments above 15% and \$500,000 require Commission approval.*

**Division of Highway Maintenance**

**\$500,000** – Transfer from the *Transportation Commission Contingency for Snow and Ice* to the Region 5 Section 3 Maintenance. Through 55% of the statistical winter the section has plowed approximately 90% of the total lane miles from the previous full winter. As such the region cannot resolve its own budget deficit and requests funds from the Contingency. (PST-TCS-15/R53MS-010/1000...)

**Informational Items**

**RoadX**

**\$1,000,000** – *I-70 West Corridor Connected Vehicles*–**RoadX**- Ethernet/network and ITS device upgrades at multiple locations between mile points 200-260 in Clear Creek, Jefferson and Summit Counties. RoadX program is assuming partial funding responsibility for this project from the IT Infrastructure program which will allow the ITI program to fund other qualified work.

*Refer to the January Commission RoadX workshop and memo.*

**COLORADO DEPARTMENT OF TRANSPORTATION**

**STATE OF COLORADO**

**Eighth  
Supplement**

**Fiscal year 2015-2016**

**Dated: February 18, 2016**

**COLORADO DEPARTMENT OF TRANSPORTATION**

**STATE OF COLORADO**

**RESOLUTION NO. TC –**

**“BE IT RESOLVED, That the Eighth Supplement to the Fiscal Year 2015-2016  
Budget be approved by the Commission”**

**Transportation Commission Contingency Reserve Fund Reconciliation  
Eighth Supplement FY 2016 Budget**

Transaction Date	Transaction Description	Amount	Balance	Reference Document
June-15	<i>Final Balance 12S15</i>		<b>\$64,416,755</b>	
	state match for ER permanent repair projects	\$ (1,682,770)		1000209366-1000210687
	FY16 Budget Allocation	\$ 1,972,914		1000209249
	TREX Coping Panel Reenforcement	\$ (4,250,000)		1000211551
	SH139 in Garfield County roadway failure due to rainfall	\$ (400,000)		1000211551
July-15	<i>Balance 1S16</i>		<b>\$60,056,899</b>	
	SH6 Devolution as approved by resolution in the June Commission meeting	\$ (6,606,196)		1000211883
	Savings from 2012 ER project K-16-W BRIDGE REPLACEMENT	\$ 162		1000211198-1000211861
	state match for ER permanent repair projects	\$ 45,778		1000211198-1000211861
	SH13 Stabillization Wall Failure	\$ (1,500,000)		1000212439
August-15	<i>Balance 2S16</i>		<b>\$51,996,643</b>	
	Savings from 2009 Snowplow restoration	\$ 1,309		1000212265
	state match for Emergency Repair and Permanent Repair projects	\$ 6,576		10002123358-1000213730
	Transfer State funds to Safe Routes to School	\$ (2,500,000)		1000213834
September-15	<i>Balance 3S16</i>		<b>\$49,504,528</b>	
	Savings from Region 2 SH67 ER project	\$ 3,134		1000215459
	Savings from Region 5 US550 ER project	\$ 15,995		1000215459
	Return savings from R2 SH139 Douglas Pass	\$ 111,082		1000214577
	Payback of On the Job Training and Disadvantage Business Advancement	\$ 319,068		1000214364
	state match for Emergency Repair and Permanent Repair projects	\$ (354,294)		1000214082-1000215243
	US-50 Near Parkdale Embankment Repair	\$ (125,000)		1000215790
	Pave Platteville Yard Facility	\$ (79,540)		1000215793
	Pave Greeley West Yard Facility	\$ (466,781)		1000215793
	Tolled Express Lanes Operations and Maintenance	\$ (2,085,000)		1000215796
	Baptist Road	\$ (11,431,000)		1000215795
October-15	<i>Balance 4S16</i>		<b>\$35,412,192</b>	
	Return savings from FASTER Transition Fund to patially fund Road X	\$ 4,870,643		1000216149
	Savings from Region 2 SH67 ER project	\$ 79,331		1000215788
	Additional 2015 Rollforwards and Revenue	\$ 55,222,423		1000213823/1000217348
	Road X	\$ (10,000,000)		1000216581
	state match for Emergency Repair and Permanent Repair projects	\$ (2,087,790)		1000215791-1000215925
	urHub Settlement (Approved as Confirmation Item)	\$ (900,000)		1000216075
November-15	<i>Balance 5S16</i>		<b>\$82,596,799</b>	
	state match for Emergency Repair and Permanent Repair projects	\$ 303,780		1000216009-1000216170
December-15	<i>Balance 6S16</i>		<b>\$82,900,579</b>	
	state match for Emergency Repair and Permanent Repair projects	\$ (60,018)		1000216030/1000217467
January-16	<i>Balance 7S16</i>		<b>\$82,840,561</b>	
	FY16 Capital Construction Funds	\$ 500,000		Pending
	Savings from Region 2 US24 ER Project	\$ 1,378,442		Various
	state match for Emergency Repair and Permanent Repair projects	\$ (686,880)		Various
February-16	<i>Pending Balance 8S16</i>		<b>\$84,032,123</b>	

**Transportation Commission Contingency Snow & Ice Fund Reconciliation  
Eighth Supplement FY 2016 Budget**

<b>Transaction Date</b>	<b>Transaction Description</b>	<b>Amount</b>	<b>Balance</b>	<b>Reference Document</b>
June-15	<i>Carry forward from FY 2015</i>		\$0	
	<i>FY 2016 allocation</i>	\$10,000,000		1000209249
July-15	<i>Balance 1S16</i>		<b>\$10,000,000</b>	
	<i>Transfer to Region 5 Section 3</i>	(\$500,000)		Pending
February-16	<i>Pending Balance 8S16</i>		<b>\$9,500,000</b>	

**Transportation Commission Contingency RAMP Reserve  
Eighth Supplement FY 2016 Budget**

<b>Transaction Date</b>	<b>Transaction Description</b>	<b>Amount</b>	<b>Balance</b>
December-14	<i>Beginning Balance</i>		<b>\$0</b>
	<i>Transfer from TCCRF</i>	\$40,000,000	
	<i>Region 2-19039 I-25/CIMARRON EXPRESSWAY</i>	(\$5,000,000)	
	<i>Region 3-19910 SH 9 CO River South Wildlife</i>	(\$6,627,747)	
January-15	<i>Balance 7S15</i>		<b>\$28,372,253</b>
February-15	<i>Balance 8S15</i>		<b>\$28,372,253</b>
	<i>Region 2-19039 I-25/CIMARRON EXPRESSWAY</i>	\$2,468,862	
March-15	<i>Balance 9S15</i>		<b>\$30,841,115</b>
April-15	<i>Balance 10S15</i>		<b>\$30,841,115</b>
	<i>Region 3-19911 I-70 Exit 31 Horizon Drive (correction to previous month)</i>	(\$423,000)	
May-15	<i>Balance 11S15</i>		<b>\$30,418,115</b>
	<i>Region 3-19094 I-70 Vail Underpass</i>	(\$6,570,000)	
June-15	<i>Balance 12S15</i>		<b>\$23,848,115</b>
	<i>Region 3-19930 SH 9 - Frisco to Breckenridge</i>	(\$4,489,815)	
July-15	<i>Balance 1S16</i>		<b>\$19,358,300</b>
	<i>Region 4-12372 North College / US 287 Conifer to Laporte Bypass</i>	(\$7,833,509)	
August-15	<i>Balance 2S16</i>		<b>\$11,524,791</b>
	<i>Region 1-1-46 I-25 / Arapahoe Road Interchange</i>	(\$6,000,000)	
September-15	<i>Balance 3S16</i>		<b>\$5,524,791</b>
	<i>Region 4-12372 North College / US 287 Conifer to Laporte Bypass</i>	\$279,814	
	<i>Region 3-19094 I-70 Vail Underpass</i>	\$234	
January-16	<i>Balance 7S16</i>		<b>\$5,804,839</b>
February-16	<i>Balance 8S16</i>		<b>\$5,804,839</b>

**Transportation Commission Contingency Reserve Fund**  
**Emergency and Permanent Repairs-Nonparticipating costs and state match**  
**(not reimbursable if expended)**

**September 11, 2013 Flood Related Monthly Activity**

<b>Reg</b>	<b>State Highway</b>	<b>Mileposts</b>		<b>Project Description</b>	<b>County</b>	<b>Total Budget TCCRF</b>
4	007A	18	- 33	ER SH 7 Lyons to Raymond - MDB	Boulder	\$ 160,170
4	036B	0	- 21	ER US 36 Boulder to Estes Park - MDB	Larimer	\$ 79,500
4	034A	63	- 87	ER US 34 Loveland to Estes Park - MDB	Larimer	\$ 440,132
1	072A	11	- 29.377	ER SH72 Coal Creek Canyon: SH93 to SH119	Jefferson	\$ 93,499
4	119A	26	- 41	ER SH119 MP 26-41	Boulder	\$ 43,643
4	034A	82	- 88	ER SH34 Glade Rd. to Dam Store	Larimer	\$ 76,686
4	034A	114	- 116	PR US 34A MP 114 to MP 116	Weld	\$ 378,620
4	025A	216.5	- 298.2	PR Low Water Bridge Reviews	Various	\$ 137,324
4	119C	61.42	- 63.699	PR SH 119 MP 61.5-63.9	Weld	\$ 316,118
4	071E	180.6	- 181.58	PR SH 71 and SH 39	Morgan	\$ 8,231
4	007A	10.75	- 19.25	PR SH-7 Flood, Estes Park to Jct SH-72	Boulder	\$ (130,000)
4	025A	249.5	- 250.13	PR Scour Bridge Repairs #3	Weld	\$ 127,678
1	225A	7.1	- 11.74	PR I-225:Miss to I-70 Flood Repairs	Arapahoe	\$ 6,878
4	072B	32.37	- 54.063	PR SH 72B Resurfacing	Boulder	\$ (1,480,060)
<b>Total</b>						<b>\$ 258,419</b>

**Spring 2015 Flood Related Monthly Activity**

<b>Reg</b>	<b>State Highway</b>	<b>Mileposts</b>		<b>Project Description</b>	<b>County</b>	<b>Total Budget TCCRF</b>
2	115A	34.74	- 35.748	ER SH 115-MP 34.7	El Paso	\$ (77,000)
2	115A	40	- 40.1	ER SH 115-MP 40	El Paso	\$ (18,200)
2	050A	286.6	- 286.63	ER SH 50-MP 286.63	Fremont	\$ (106,600)
2	024A	294.1	- 294.2	ER US24 MONTESSORI WALL MP 296.9-297.1	El Paso	\$ (15,100)
2				ERLA NORTH CREEK RD SOUTH (CU212C)	Pueblo	\$ (64,232)
2				ERLA OVERTON RD	Pueblo	\$ (664,167)
<b>Total</b>						<b>\$ (945,299)</b>

**Grand Total TCCRF Activity for Emergency Relief Since Last Reporting** **\$ (686,880)**



FY 2016 Contingency Balance Reconciliation	
January FY 2016 TC Contingency Balance	\$82,840,561
FY2016 Capital Construction Funds Received	\$500,000
Savings from Region 2 US24 ER Project	\$1,378,442
State Match for ER and Permanent Flood repairs	(\$686,880)
<b>Pending February FY 2016 TC Contingency Balance</b>	<b>\$84,032,123</b>



## FY 2016 Contingency Balance Projection

Pending February FY 2016 TC Contingency Balance	\$84,032,123	
FY 2016 State Match for Emergency Relief/Permanent Recovery	Low Estimate	High Estimate
	(\$9,500,000)	(\$15,000,000)
FY 2016 State Match for Spring 2015 Floods	(\$0)	(\$2,500,000)
Union Pacific Railroad Right of Way Resolution	(\$12,500,000)	(\$12,500,000)
Backfill Southwest Chief Decision to SB228	(\$1,000,000)	(\$1,000,000)
Return of HPTE loans, Potential Insurance Reimbursements and Other Impacts	Max Reimbursement Estimate	Min Reimbursement Estimate
	\$6,000,000*	\$750,852*
FY 2016 Contingency Estimate - Prior to FY 2015 TCCRF Funding Requests	High Balance	Low Balance
	\$67,032,123	\$53,782,975
Estimated FY2016 TCCRF Funding Requests	(\$8,000,000)	(\$8,000,000)
Projected FY 2016 YE Contingency Balance	\$59,032,123	\$45,782,975
<b><i>TCCRF Fund Balance Adjustment to Reach \$40M Balance - Period 1 FY2017</i></b>	<b><i>(\$19,032,123)</i></b>	<b><i>(\$5,782,975)</i></b>

\*Right-hand column assumes only HPTE payback to establish minimum expected reimbursements.

# RAMP Partnership and Operations Projects - Status Through January 2016 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	Original TC Approved Total Project Cost	Current TC Approved Total Project Cost	** Total Project Cost Delta	Original TC Approved RAMP Request	Current TC Approved RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Contributions	Local Delta	Other Funds	Other Funds Delta	Status through January TC
N/A	19879 19880	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 2014; Project Complete - Project Acceptance 4/15/15.
4-5a*	19626*	I-25: Tolled Express Lanes: 120th North to SH7 * (Southern Segment / Segment 3)	\$500,000,000 ‡	\$101,250,000	\$0	\$55,000,000	\$55,000,000	\$0	\$750,000	\$0	\$750,000	\$45,500,000	\$45,500,000	RAMP Funding of 10% granted by TC in March 2014; Additional RAMP Funding approved by TC in the 5th Supplement FY15 (November 2014) (#TC-3208) for preconstruction activity;  *TC informed of the I-25 North project scope, schedule, and budget in the April PMO Workshop; Authority to budget the remaining RAMP Funds (\$55.0M) granted by TC resolution of the 10th Supplement FY15 (April 2015)(#TC-15-4-5); An additional \$28.0M in various funds were approved by the TC in the 6th Supplement FY16 (December 2015) for advertisement of the project (as planned); The TC also approved by resolution (#TC-15-12-2) that CDOT may enter into an Intra-Agency Agreement with HPTE to provide the necessary credit support of a direct bank loan including any potential loan obligations in the future; The TC must still approve the terms of the loan and the advertisement & award of the project may be delayed to coincide with the loan; These additional funding requests are being tracked as Other Funds.
4-5b**	20575**	I-25: Tolled Express Lanes: SH7 North to SH14 ** (Northern Segment / Crossroads Interchange)	\$540,000,000 ‡	\$35,000,000	\$0	\$35,000,000	\$35,000,000	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding of 10% granted by TC in March 2014 for continued preconstruction activity;  ** TC informed of the I-25 Crossroads Interchange project scope, schedule, and budget; Authority to budget the RAMP Funds (\$35.0M) granted by TC in the RAMP Program Controls Workshop (December 2014) and resolved via the 6th Supplement FY15 (#TC-3214, walk-on).
1-2	18999	C-470 Managed Toll Express Lanes: Kipling to I-25	\$200,000,000	\$289,000,000 ‡	-\$89,000,000	\$100,000,000	\$120,000,000	-\$20,000,000	\$10,000,000	\$5,500,000	\$0	\$153,500,000	\$69,000,000	RAMP Funding and Additional Total Project Costs Approved by TC in the 8th Supplement FY15 (February 2015) (#TC-15-2-4, walk-on); Additional RAMP HPTE Development Funds approved by TC in the 4th Supplement FY16 (Oct 2015).  TC informed of C-470 Express Lanes project scope, schedule, and budget - including the results of Level 3 tolling & revenue studies, loan finance options, and additional revenue and construction costs elements of the project.
<b>4 TC Approved or Staff Recommends Budgeting Funds (Group 1)</b>			<b>\$1,295,000,000</b>	<b>\$480,250,000</b>	<b>-\$89,000,000</b>	<b>\$238,000,000</b>	<b>\$258,000,000</b>	<b>-\$20,000,000</b>	<b>\$10,750,000</b>	<b>\$5,500,000</b>	<b>\$750,000</b>	<b>\$206,000,000</b>	<b>\$114,500,000</b>	

Tracking #	PCN	Project Name	Original TC Approved Total Project Cost	Current TC Approved Total Project Cost	** Total Project Cost Delta	Original TC Approved RAMP Request	Current TC Approved RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Contributions	Local Delta	Other Funds	Other Funds Delta	Status through January TC
None														
<b>Group 2 Staff Recommends Budgeting Funds (Group 2)</b>			<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	

Tracking #	PCN	Project Name	Original TC Approved Total Project Cost	Current TC Approved Total Project Cost	** Total Project Cost Delta	Original TC Approved RAMP Request	Current TC Approved RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Contributions	Local Delta	Other Funds	Other Funds Delta	Status through January TC
N/A	-	HTPE P3 Development Fund	\$200,000,000	\$175,400,000 ‡	\$24,600,000	\$40,000,000	\$15,400,000	\$24,600,000	\$0	\$0	\$0	\$160,000,000	\$0	Staff Recommends Further Development; \$4.6M of HPTE RAMP Funds approved by TC in the 2nd Supplement FY15 (August 2014)(#TC-3188), for the I-70 EB PPSL (RAMP Ops Project #1-09); \$20.0M of HPTE Funds approved by TC in 4th Supplement FY16 (October 2015), for the C-470 Express Lanes project based on the initial finance plan (IFP).
<b>1 Staff Recommends Further Development (Group 3)</b>			<b>\$200,000,000</b>	<b>\$175,400,000</b>	<b>\$24,600,000</b>	<b>\$40,000,000</b>	<b>\$15,400,000</b>	<b>\$24,600,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$160,000,000</b>	<b>\$0</b>	

<b>5 SUB-TOTAL Public-Private Partnership Projects</b>			<b>\$1,495,000,000</b>	<b>\$655,650,000</b>	<b>-\$64,400,000</b>	<b>\$278,000,000</b>	<b>\$273,400,000</b>	<b>\$4,600,000</b>	<b>\$10,750,000</b>	<b>\$5,500,000</b>	<b>\$750,000</b>	<b>\$366,000,000</b>	<b>\$114,500,000</b>	
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Tracking #	PCN	Project Name	Original TC Approved Total Project Cost	Current TC Approved Total Project Cost	** Total Project Cost Delta	Original TC Approved RAMP Request	Current TC Approved RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Contributions	Local Delta	Other Funds	Other Funds Delta	Status through January TC
None														
<b>Group 4 Projects that have been Withdrawn (Group 4)</b>			<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	

<b>5 TOTAL Partnership Projects: HTPE P3 Projects</b>			<b>\$1,495,000,000</b>	<b>\$655,650,000</b>	<b>-\$64,400,000</b>	<b>\$278,000,000</b>	<b>\$273,400,000</b>	<b>\$4,600,000</b>	<b>\$10,750,000</b>	<b>\$5,500,000</b>	<b>\$750,000</b>	<b>\$366,000,000</b>	<b>\$114,500,000</b>	
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Percentage over Transportation Commission Approved Amount

4.31%

1.65%

RAMP Program totals are within currently approved program total plus 3.5%. Staff may make individual authorizations per PD 703.0

‡ The total project cost shown may include estimates of funding from partner sources (such as PPP concessionaire contribution, loan or bonds on toll revenue, or federal funds (TIFIA loans)). The details of these other sources will be presented to the Commission for information or action as the project develops.

## RAMP Partnership and Operations Projects - Status Through January 2016 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	Original TC Approved Total Project Cost	Current TC Approved Total Project Cost	** Total Project Cost Delta	Original TC Approved RAMP Request	Current TC Approved RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Contribution	Local Delta	Other Funds	Other Funds Delta	Status through January TC
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	19969 19970	SH 2 in Commerce City Widening and Devolution	\$20,800,000	\$20,800,000	\$0	\$13,600,000	\$13,600,000	\$0	\$5,100,000	\$0	\$0	\$2,100,000	\$0	RAMP Funding Approved by TC in February Devolution resolution approved by TC in Dec 2014 (#TC-3206).
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 Devolution resolution approved by TC in April 2014 (#TC-15-3-9).
1-37	19957	Federal Blvd: 6th to Howard Reconstruction and Multimodal Improvements	\$29,203,881	\$29,181,821	\$22,060	\$23,363,105	\$23,341,821	\$21,284	\$5,840,000	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February; Due to changes in market conditions ROW relocation and procurement schedule has been extended; TC informed of project delivery delay in November 2015; Local agency partner is responsible for additional costs associated with ROW relocation and procurement.
1-46	19192	I-25 and Arapahoe Rd. Interchange	\$74,000,000	\$80,000,000	-\$6,000,000	\$50,400,000	\$56,400,000	-\$6,000,000	\$16,400,000	\$0	\$0	\$7,200,000	\$0	RAMP Funding Approved by TC in February; Additional RAMP Funding Approved by TC for ROW phase in the 3rd Supplement FY16 (Sept 2015).
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; Devolution resolution approved by TC in Nov 2014 (#TC-3198); Approval of Time Extension granted by TC in April 2015 (#TC-15-3-5).
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; Devolution resolution approved by TC in Dec 2014 (#TC-3204).
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	18331 19039	I-25 and Cimarron Interchange Reconstruction	\$95,000,000	\$113,624,588	-\$18,624,588	\$24,000,000	\$26,531,138	-\$2,531,138	\$8,050,000	\$0	\$2,050,000	\$79,043,450	\$14,043,450	RAMP Funding Approved by TC in March; RAMP Contingency, RPP, LA Funding approved by TC in RAMP Program Controls Workshop (December 2014) and resolved in the 6th Supplement FY15 (#TC-3214, walk-on).
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	\$42,153,270	-\$8,953,270	\$22,000,000	\$30,953,270	-\$8,953,270	\$1,200,000	\$0	\$0	\$10,000,000	\$0	RAMP Funding Approved by TC in February; Additional RAMP Funding Approved by TC in the 5th Supplement FY15 (November 2014) (#TC-3208).
2-33	19056 19751	US 50 / SH 45 Interchange, Wills to Purcell-Pueblo (companion project 2-10)	\$10,000,000	\$11,075,452	-\$1,075,452	\$5,000,000	\$5,000,000	\$0	\$0	\$0	\$0	\$6,075,452	-\$1,075,452	RAMP Funding Approved by TC in February; Awarded bid includes companion FY16 Surface Treatment project (\$1.6M).
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; Devolution resolution approved by TC in Dec 2014 (#TC-3203).
3-9	19094	I-70 Vail Underpass (Simba Run)	\$20,800,000	\$30,100,000	-\$9,300,000	\$14,600,000	\$21,170,000	-\$6,570,000	\$6,000,000	\$0	\$0	\$2,930,000	\$0	RAMP Funding Approved by TC in February; RAMP Contingency Funding & Local Cash match approved by TC in PMO Workshop and resolved in the 12th Supplement FY15 (June 2015).
3-12/29	19930	SH 9 - Frisco to Breckenridge: Iron Springs Phase and Vail Pass Multi-Use Path Devolution	\$21,985,000	\$27,487,269	-\$5,502,269	\$17,500,000	\$21,989,815	-\$4,489,815	\$1,012,454	\$4,485,000	\$1,012,454	\$0	\$0	RAMP Funding Approved by TC in February; RAMP Contingency Funding & Local Cash match approved by TC in PMO Workshop and resolved in the 1st Supplement FY16 (July 2015).
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; Project Complete
3-24	19911	I-70 Exit 31 Horizon Drive	\$5,000,000	\$6,312,300	-\$1,312,300	\$4,000,000	\$4,423,000	-\$423,000	\$1,624,300	\$0	\$624,300	\$265,000	\$0	RAMP Funding Approved by TC in February; RAMP Contingency Funding & Local Cash match approved by TC in PMO Workshop and resolved in the 11th Supplement FY15 (May 2015); Additional Local Contribution Funds added in July 2015 to award the project.
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	\$52,627,747	-\$6,627,747	\$36,222,000	\$42,849,747	-\$6,627,747	\$9,200,000	\$0	-\$522,000	\$578,000	\$522,000	RAMP Funding Approved by TC in February; RAMP Contingency Funding approved by TC in RAMP Program Controls Workshop (December 2014) and resolved in the 6th Supplement FY15 (#TC-3214, walk-on).
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; Devolution resolution approved by TC in Nov 2014 (#TC-3199).

## RAMP Partnership and Operations Projects - Status Through January 2016 TC Meeting

Tracking #	PCN	Project Name	Original TC Approved Total Project Cost	Current TC Approved Total Project Cost	** Total Project Cost Delta	Original TC Approved RAMP Request	Current TC Approved RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Contribution	Local Delta	Other Funds	Other Funds Delta	Status through January TC
4-20	12372 18401 19561 20632	North College / US 287 Conifer to Laporte Bypass	\$36,000,000	\$43,833,509	-\$7,833,509	\$17,500,000	\$25,333,509	-\$7,833,509	\$4,648,500	\$0	\$248,500	\$13,851,500	-\$90,818	RAMP Funding Approved by TC in February; Additional RAMP Funding Approved by TC in the 2nd Supplement FY16 (Aug 2015)(#TC-15-8-7).
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 20700	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	-\$27	\$0	RAMP Funding Approved by TC in February
5-14	18972	US 285 Antonito Storm Drain System Replacement	\$2,742,429	\$3,343,337	-\$600,908	\$2,193,944	\$2,794,852	-\$600,908	\$100,000	\$448,485	\$0	\$0	\$0	RAMP Funding Approved by TC in February; Additional RAMP Funding approved by TC in 6th Supplement FY15 (December 2014); Awarded bid includes approved Surface Treatment project (\$7.02M); Project Complete - Project Acceptance 11/12/15.
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
<b>38</b>	<b>TC Approved or Staff Recommends Budgeting Funds (Group 1)</b>		<b>\$587,232,188</b>	<b>\$655,646,880</b>	<b>-\$68,414,692</b>	<b>\$349,579,634</b>	<b>\$394,414,441</b>	<b>-\$44,834,807</b>	<b>\$95,448,251</b>	<b>\$13,532,233</b>	<b>\$5,381,480</b>	<b>\$152,251,955</b>	<b>\$13,210,959</b>	

Tracking #	PCN	Project Name	Original TC Approved Total Project Cost	Current TC Approved Total Project Cost	** Total Project Cost Delta	Original TC Approved RAMP Request	Current TC Approved RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Contribution	Local Delta	Other Funds	Other Funds Delta	Status through January TC
														None
	<b>Staff Recommends Budgeting Funds (Group 2)</b>		<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	

Tracking #	PCN	Project Name	Original TC Approved Total Project Cost	Current TC Approved Total Project Cost	** Total Project Cost Delta	Original TC Approved RAMP Request	Current TC Approved RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Contribution	Local Delta	Other Funds	Other Funds Delta	Status through January TC
														None
	<b>Staff Recommends Further Development (Group 3)</b>		<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	

<b>38</b>	<b>SUB-TOTAL Public-Public Partnership Projects</b>		<b>\$587,232,188</b>	<b>\$655,646,880</b>	<b>-\$68,414,692</b>	<b>\$349,579,634</b>	<b>\$394,414,441</b>	<b>-\$44,834,807</b>	<b>\$95,448,251</b>	<b>\$13,532,233</b>	<b>\$5,381,480</b>	<b>\$152,251,955</b>	<b>\$13,210,959</b>	
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Tracking #	PCN	Project Name	Original TC Approved Total Project Cost	Current TC Approved Total Project Cost	** Total Project Cost Delta	Original TC Approved RAMP Request	Current TC Approved RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Contribution	Local Delta	Other Funds	Other Funds Delta	Status through January TC
2-27	-	I-25A Exit 18 NW Frontage Rd Devolution	\$110,544	\$0	\$110,544	\$110,544	\$0	\$110,544						Local Agency Withdrew Project in December 2013
2-29	-	I-25 Exit 11 SW Frontage Rd Devolution	\$155,307	\$0	\$155,307	\$155,307	\$0	\$155,307						Local Agency Withdrew Project in December 2013
<b>2</b>	<b>Projects that have been Withdrawn (Group 4)</b>		<b>\$265,851</b>	<b>\$0</b>	<b>\$265,851</b>	<b>\$265,851</b>	<b>\$0</b>	<b>\$265,851</b>						

<b>40</b>	<b>TOTAL Public-Public Partnership Projects</b>		<b>\$587,498,039</b>	<b>\$655,646,880</b>	<b>-\$68,148,841</b>	<b>\$349,845,485</b>	<b>\$394,414,441</b>	<b>-\$44,568,956</b>	<b>\$95,448,251</b>	<b>\$13,532,233</b>	<b>\$5,381,480</b>	<b>\$152,251,955</b>	<b>\$13,210,959</b>	
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Percentage over Transportation Commission Approved Amount

11.60%

12.74%

Program totals are currently in excess of original TC approved program total plus 3.5%. The TC must budget additional project funds per PD 703.0 and resolution TC#-3209, Establishment of RAMP Program Project Controls.

## RAMP Partnership and Operations Projects - Status Through January 2016 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)

** 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	Original TC Approved Total Project Cost	Current TC Approved Total Project Cost	** Total Project Cost Delta	Original TC Approved RAMP Request	Current TC Approved RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Funds	Local Delta	Other Funds	Other Funds Delta	Status through December TC	
Group 1	1-09	19474 19984 20092 20306 20307 20308 <del>20309</del> I-70 Eastbound Peak Period Shoulder Lanes	\$34,000,000	\$81,313,480	-\$47,313,480	\$20,000,000	\$26,998,000	-\$6,998,000	\$500,000	\$0	\$0	\$53,815,480	\$40,315,480	Additional RAMP Funding approved by TC for Construction Pkg 2 in the 2nd Supplement FY15 (August 2014) (#TC-3188); Project appeared as an informational item in the November PMO Workshop for TC discussion and input; HPTE Loan, Safety, and ITS funding for Construction Package 3 was approved by the TC in the 6th Supplement FY15 (December 2014) (#TC-3214); TC also approved by resolution approval for CDOT to enter into an Intra-Agency Agreement with HPTE (#TC-3216); As discussed in the February PMO Workshop, an additional \$4.6M in Surface Treatment and RPP Funds were approved by the TC for Construction Pkg 3 in the 9th Supplement FY15 (March 2015) (#TC-15-3-11) bringing the total project cost of the I-70 PPSL project to \$78,487,480; Again, an additional \$2.8M in Surface Treatment and RPP Funds were approved by TC in the 6th Supplement FY16 (December 2015); These additional funding requests are being tracked as Other Funds.	
	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	\$3,486,615	-\$991,615	\$2,200,000	\$2,200,000	\$0	\$0	\$1,286,615	\$991,615	\$0	\$0	\$0	RAMP Funding Approved by TC in February; Local Partner has committed additional funds;
	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	\$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	\$0	RAMP Funding Approved by TC in March
	1-54	19958 I-76 at 88th Ave. Interchange Improvements (MP 10)	\$1,050,000	\$2,633,693	-\$1,583,693	\$1,050,000	\$1,583,693	-\$533,693	\$0	\$0	\$0	\$1,050,000	\$1,050,000	\$1,050,000	RAMP Funding Approved by TC in March Additional RAMP Funding and Other CDOT Program Funds Approved by TC in the 10th Supplement FY15 (May 2015) (#TC-15-4-5).
	1-63	20089 I-70 at Grapevine Rd. (MP 256.0)	\$189,000	\$344,342	-\$155,342	\$189,000	\$296,091	-\$107,091	\$0	\$0	\$0	\$48,251	\$0	\$0	RAMP Funding Approved by TC in February Additional RAMP Funding Approved by TC in 5th Supplement FY15 (November 2014) (#TC-3208); An additional \$20K added for Safety concerns post-award in June 2015.
	1-77	20202 New Ramp Meters and Ramp Meter Upgrades	\$965,000	\$998,639	-\$33,639	\$965,000	\$998,639	-\$33,639	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in 1st Supplement FY15 (July 2014) (#TC-3177, walk-on); Additional RAMP Funding Approved by TC in the 3rd Supplement FY15 (September 2014) (#TC-3194).
	1-81	19086 US 40 Berthoud Pass Remote Avalanche Control System Pilot Program	\$1,000,000	\$1,439,854	-\$439,854	\$1,000,000	\$1,000,000	\$0	\$225,000	\$0	\$225,000	\$214,854	\$214,854	\$214,854	RAMP Funding Approved by TC in 1st Supplement FY15 (July 2014) (#TC-3177); Local Partner committed to providing additional funds; RAMP ID # changed from 3-51 to 1-81; Other Funds includes additional MLOS Funds approved by TC in the 6th Supplement FY16 (December 2015).
	2-08	19905 US 24 / Judge Orr Rd. Intersection Improvement	\$2,000,000	\$200,000	\$1,800,000	\$2,000,000	\$200,000	\$1,800,000	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February; RAMP Funding Withdrawn with TC Approval in the 9th Supplement 2015 (March 2015) (#TC-15-3-11); Project will be shelved until other funding is made available.
	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	\$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	\$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	\$5,800,000	-\$4,300,000	\$1,500,000	\$3,300,000	-\$1,800,000	\$0	\$0	\$0	\$2,500,000	\$2,500,000	\$2,500,000	RAMP Funding Approved by TC in February; Additional RAMP Funding and Other Funds Approved by TC in the 9th Supplement FY15 (March 2015) (#TC-15-3-11).
	3-33	19490 I-70 Vail Chain Station Improvements	\$4,500,000	\$6,535,000	-\$2,035,000	\$4,500,000	\$6,535,000	-\$2,035,000	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February; RAMP Funding withdrawn from RAMP Ops project #3-34; Approved by TC in the 12th Supplement FY15 (June 2015) (#TC-15-6-6); Additional RAMP Funding reallocated from RAMP Ops project #3-34; Approved by the TC in the 3rd Supplement FY16 (Sept 2015).
	3-34	19875 I-70 Glenwood Canyon Variable Speed Signing	\$2,200,000	\$165,000	\$2,035,000	\$2,200,000	\$165,000	\$2,035,000	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February; RAMP Funding Withdrawn with TC Approval in the 12th Supplement FY15 (June 2015) (#TC-15-6-6); Additional RAMP Funding reallocated to RAMP Ops project #3-33 with TC Approval in the 3rd Supplement FY16 (Sept 2015); Project to remain shelved until other funding is made available.
	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	\$0	RAMP Funding Approved by TC in February; Bundled project advertisement with RAMP Ops #4-41 (see below).
	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	\$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	\$0	RAMP Funding Approved by TC in February
4-41	19959 Adaptive signals on US 34 Bypass in Greeley	\$500,000	\$646,448	-\$146,448	\$400,000	\$546,448	-\$146,448	\$0	\$100,000	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February; Bundled with RAMP Ops #4-13; TC Approved additional RAMP Funding via the 3rd Supplement FY16 (Aug 2015).	
4-42	19963 Fiber Optics and ITS Devices on I-76	\$11,000,000	\$2,585,000	\$8,415,000	\$5,000,000	\$2,585,000	\$2,415,000	\$0	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February; Partial RAMP Funds reallocated to RAMP Ops project #4-50 with TC Approval in the 9th Supplement FY15 (March 2015) (#TC-15-3-11); An additional reallocation of RAMP Funds approved by TC in the 6th Supplement FY16 (Dec 2015) to RAMP Ops projects #4-66 and #4-44/49.	
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	\$0	RAMP Funding Approved by TC in February; Bundled with RAMP Ops #4-66; TC approved the reallocation of \$1.89M in RAMP Funding from Ops project #4-42 via the 6th Supplement FY16 (Dec 2015).	

# RAMP Partnership and Operations Projects - Status Through January 2016 TC Meeting

## Operations

Tracking #	PCN	Project Name	Original TC Approved Total Project Cost	Current TC Approved Total Project Cost	** Total Project Cost Delta	Original TC Approved RAMP Request	Current TC Approved RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Funds	Local Delta	Other Funds	Other Funds Delta	Status through December TC	
Group 1 (cont.)	4-50	19962	Fiber Optic Communication from I-25 to CDOT West Yard	\$1,700,000	\$2,225,000	-\$525,000	\$1,700,000	\$2,225,000	-\$525,000	\$0	\$0	\$0	\$0	\$0	RAMP Funding Approved by TC in February; Additional RAMP Funds reallocated from RAMP Ops project #4-42 with TC Approval in the 9th Supplement FY15 (March 2015)(#TC-15-3-11).
	4-66	20059	Adaptive Traffic Signals System along US 287 (Main St.) in Longmont	\$1,760,000	\$3,650,000	-\$1,890,000	\$1,100,000	\$2,990,000	-\$1,890,000	\$0	\$600,000	-\$60,000	\$60,000	\$60,000	RAMP Funding Approved by TC in February; Bundled with RAMP Ops #4-44/49; TC approved the reallocation of \$1.89M in RAMP Funding from Ops project #4-42 via the 6th Supplement FY16 (Dec 2015).
	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	\$3,700,000	\$3,700,000	\$0	\$3,000,000	\$3,000,000	\$0	\$0	\$0	\$0	\$700,000	\$0	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 (#TC-3168)
	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 (#TC-3168)
	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 (#TC-3168)
	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 (#TC-3168)
	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 (#TC-3168)
	O-12	20236	I-70: Expansion of Traffic and Weather Surveillance	\$2,500,000	\$7,900,000	-\$5,400,000	\$2,500,000	\$2,500,000	\$0	\$0	\$0	\$0	\$5,400,000	\$5,400,000	RAMP Funding Approved by TC in June (#TC-3168)
	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 (#TC-3168)
O-14	20238	Operation Data Integration	\$500,000	\$900,000	-\$400,000	\$500,000	\$500,000	\$0	\$0	\$0	\$0	\$400,000	\$400,000	RAMP Funding Approved by TC in June (#TC-3168)	
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 (#TC-3168)	
<b>40</b>	<b>Staff Recommends Budgeting Funds (Group 1)</b>		<b>\$104,451,791</b>	<b>\$160,362,971</b>	<b>-\$55,911,180</b>	<b>\$75,150,791</b>	<b>\$82,916,771</b>	<b>-\$7,765,980</b>	<b>\$851,000</b>	<b>\$2,306,615</b>	<b>\$1,156,615</b>	<b>\$74,288,585</b>	<b>\$52,940,334</b>		
Group 2															
Tracking #	PCN	Project Name	Original TC Approved Total Project Cost	Current TC Approved Total Project Cost	** Total Project Cost Delta	Original TC Approved RAMP Request	Current TC Approved RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Funds	Local Delta	Other Funds	Other Funds Delta	Status through December TC	
														None	
<b>Staff Recommends Budgeting Funds (Group 2)</b>			<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>		
Group 3															
Tracking #	PCN	Project Name	Original TC Approved Total Project Cost	Current TC Approved Total Project Cost	** Total Project Cost Delta	Original TC Approved RAMP Request	Current TC Approved RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Funds	Local Delta	Other Funds	Other Funds Delta	Status through December TC	
														None	
<b>Staff Recommends Further Development (Group 3)</b>			<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>		
<b>40</b>	<b>SUB-TOTAL Operations Projects</b>		<b>\$104,451,791</b>	<b>\$160,362,971</b>	<b>-\$55,911,180</b>	<b>\$75,150,791</b>	<b>\$82,916,771</b>	<b>-\$7,765,980</b>	<b>\$851,000</b>	<b>\$2,306,615</b>	<b>\$1,156,615</b>	<b>\$74,288,585</b>	<b>\$52,940,334</b>		
Group 4															
Tracking #	PCN	Project Name	Original TC Approved Total Project Cost	Current TC Approved Total Project Cost	** Total Project Cost Delta	Original TC Approved RAMP Request	Current TC Approved RAMP Request	** RAMP Request Delta	Local Contribution	In Kind Funds	Local Delta	Other Funds	Other Funds Delta	Status through December TC	
1-56	20071 20302	US 285 at Mount Evans Blvd./Pine Valley Rd. (MP 229)	\$422,000	\$0	\$422,000	\$422,000	\$0	\$422,000	\$0	\$0	\$0	\$0	\$0	CDOT Staff Recommends Withdrawing Project; TC Informed in November 2015	
1-59	20090	SH 86 Intersection Improvement at Crowfoot Valley Rd. (MP 101.53)	\$516,000	\$0	\$516,000	\$516,000	\$0	\$516,000	\$0	\$0	\$0	\$0	\$0	CDOT Staff Recommends Withdrawing Project; TC Informed in March 2014	
<b>2</b>	<b>Projects that have been Withdrawn (Group 4)</b>		<b>\$938,000</b>	<b>\$0</b>	<b>\$938,000</b>	<b>\$938,000</b>	<b>\$0</b>	<b>\$938,000</b>							
<b>42</b>	<b>TOTAL Operations</b>		<b>\$105,389,791</b>	<b>\$160,362,971</b>	<b>-\$54,973,180</b>	<b>\$76,088,791</b>	<b>\$82,916,771</b>	<b>-\$6,827,980</b>	<b>\$851,000</b>	<b>\$2,306,615</b>	<b>\$1,156,615</b>	<b>\$74,288,585</b>	<b>\$52,940,334</b>		

Percentage over Transportation Commission Approved Amount

52.16%

8.97%

Program Cap	\$156,139,550
Remainder	-\$4,223,421

RAMP Ops Cap	\$85,706,243
Remainder	\$2,454,472

Proposed Total Program Funding Amount per the 4th Supplement FY15 (October 2014). When approved funding amount (by TC and staff action) is below this amount, staff may budget additional project funds per PD 703.0 and per resolution TC#-3209, Establishment of RAMP Program Project Controls.

Bridge Enterprise Board of Directors  
Feb. 18, 2016

Kathy Connell, Chairwoman  
Steamboat Springs, District 6

Shannon Gifford

Denver, District 1

Ed Peterson

Lakewood, District 2

Gary M. Reiff, Vice Chair

Englewood, District 3

Heather Barry

Westminster, District 4

Kathleen Gilliland

Livermore, District 5

Kathy Hall

Grand Junction, District 7

Sidny Zink

Durango, District 8

Nolan Schriener

Colorado Springs, District 9

William Thiebaut

Pueblo, District 10

Steven Hofmeister

Haxtun, District 11

THE CHAIRWOMAN MAY ALTER THE ITEM SEQUENCE OR TIMES

The times indicated for each topic on the Board of Directors 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.

The Bridge Enterprise Board of Directors meeting will begin immediately following the adjournment of the Transportation Commission Meeting. Estimated Start Time: 9:50 a.m.

BRIDGE ENTERPRISE BOARD OF DIRECTORS

- 9:50 a.m.
1. Call to Order and Roll Call
  2. Audience Participation
    - Subject Limit: 10 minutes; Time Limit: 3 minutes
  3. Act on Consent Agenda
    - a) Resolution to Approve Regular Minutes from Jan. 21, 2016 (Herman Stockinger) .....Page 3
  4. Final FY 2016-17 Bridge Enterprise Budget for Comment (Maria Sobota) .....Page 7
  5. Bridge Enterprise 2015 Annual Financial Statements (Scott McDaniel) .....Page 10

6. Monthly Progress Report (Scott McDaniel)  
.....Page 11

7. Adjournment

.....  
The Audit Review Committee will meet immediately following the adjournment of the Bridge Enterprise Board of Directors. Estimated start time: 10:20

10:20 a.m. Audit Review Committee (Scott Young, Jim Ballard)

**Bridge Enterprise Board  
Regular Meeting Minutes  
January 21, 2016**

**Chairwoman Kathy Connell convened the meeting at 10:25 a.m. at CDOT Headquarters in Denver.**

PRESENT WERE: Kathy Connell, Chairwoman, District 6  
Gary Reiff, Vice Chair District 3  
Shannon Gifford, District 1  
Ed Peterson, District 2  
Heather Barry, District 4  
Kathy Gilliland, District 5  
Kathy Hall, District 7  
Sidny Zink, District 8  
Nolan Schriener, District 9  
Bill Thiebaut, District 10  
Steven Hofmeister, District 11

ALSO PRESENT: Shailen Bhatt, Executive Director  
Michael Lewis, Deputy Executive Director  
Josh Laipply, Chief Engineer  
Debra Perkins-Smith, Director of Transportation Development  
Maria Sobota, CFO  
Herman Stockinger, Government Relations Director  
Paul Jesaitis, Region 1 Transportation Director  
Dave Eller, Region 3 Transportation Director  
Johnny Olson, Region 4 Transportation Director  
Kerrie Neet, Region 5 Transportation Director  
Kathy Young, Chief Transportation Counsel  
Scott McDaniel, Staff Services Director  
David Specter, HPTE Director  
Ryan Rice, Operations Division Director  
Mark Imhoff, Director of Transit and Rail  
Vince Rogalski, STAC Chairman  
David Ulane, Director of Aeronautics  
Alicia Nolan, FHWA Representative

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**

Chairwoman Connell stated that no members of the audience wished to address the Board of Directors.

**Act on Consent Agenda**

Chairwoman Connell entertained a motion to approve the Consent Agenda. Director Peterson moved to approve the resolution, and Director Hall seconded the motion. Upon vote of the Board the resolution passed unanimously.

**Resolution #BE-16-1-1**

Approval of Regular Meeting Minutes for Nov. 19, 2015.

BE IT SO RESOLVED THAT, the Minutes for the Nov. 19, 2015, meeting of the Bridge Enterprise Board of Directors are hereby approved by the Bridge Enterprise Board as published in the Agenda for the Jan. 20 & 21, 2015, meeting of the Bridge Enterprise Board of Directors.

**Approval of new Policy Directive BE 16.0 “Oversight of FASTER Funding for State Bridges”**

Josh Laipply stated this is very similar to the previously passed Policy Directive 704.0. This would be the revised version with the comments Director Barry suggested for PD 704.0.

Chairwoman Connell entertained a motion to approve the Consent Agenda. Director Gilliland moved to approve the resolution, and Director Hofmeister seconded the motion. Upon vote of the Board the resolution passed unanimously.

**Resolution #BE-16-1-2**

**Resolution # BE-16-1-2**

Adoption of Policy Directive BE16.0 "Oversight of FASTER Funding for State Bridges"

**Approved by the Board on January 21, 2016**

**WHEREAS**, in 2009, the General Assembly passed the Funding Advancements for Surface Transportation and Economic Recovery (FASTER) Act, § 43-4-801, *et seq.*, C.R.S.; and

**WHEREAS**, one component of the FASTER Act was the creation of the Statewide Bridge Enterprise, § 32-4-805(2), C.R.S. whose business purpose is to finance, repair, reconstruct, and replace any designated bridge in the state; and

**WHEREAS**, the FASTER Act also imposed a bridge safety surcharge to defray the costs of completing designated bridge projects due to limited availability of state and federal funding and the need to accomplish the financing, repair, reconstruction, and replacement of designated bridges as promptly and efficiently as possible; and

**WHEREAS**, the Colorado Office of the State Auditor conducted an audit regarding the use of FASTER funding by state agencies including CDOT, and published its findings in an audit entitled "Collection and Usage of the FASTER Motor Vehicle Fees" dated August 2015; and

**WHEREAS**, the State Auditor's recommendations 1 and 2 specifically concern the Bridge Enterprise; and

**WHEREAS**, Policy Directive BE16.0 is intended to meet audit recommendation 1 by utilizing a documented process to strategically prioritize and program eligible bridge projects in a thorough and integrated manner, including documenting the rationale for selecting bridges to repair; and

**WHEREAS**, Policy Directive BE16.0 is intended to meet audit recommendation 2 by working with the Department to establish and implement a bridge project budgeting process that avoids routinely approving project budgets that are significantly larger than necessary; and

**WHEREAS**, Policy Directive BE16.0 is further intended to meet audit recommendation 2 by establishing and implementing a bridge project

closure process that addresses the FASTER legislative mandate to effectively and efficiently leverage FASTER revenue and strategically and quickly complete bridge projects; and

**NOW THEREFORE BE IT RESOLVED**, the Bridge Enterprise herein approves Policy Directive BE16.0 "Oversight of FASTER Funding for State Bridges."

**NOW THEREFORE BE IT FURTHER RESOLVED**, in a continuing effort to bring focus to this important program, the Board requests additional workshops with CDOT staff for the purpose of further review and possible refinement of applicable directives.

  
\_\_\_\_\_  
Transportation Secretary  
Herman Stockinger

  
\_\_\_\_\_  
Date

**Bridge Enterprise 2015 Year in Review**

Scott McDaniels thanked the board for the chance to review their yearly work. Scott went through the PowerPoint in the TC booklet, pointing out a few important numbers. He stated that the Bridge Enterprise program is making progress, with the number of bridges in the program lowering significantly. However, the number of bridges will rise if CDOT does not stay diligent with the Bridge Enterprise program.

### **January 2016 On-System Poor List and Prioritization Scoring Update**

Scott McDaniel outlined that in the FASTER audit, Bridge Enterprise was tasked with documenting how they prioritize projects and make decisions. He explained the old prioritization system and its downfalls. He then presented the new prioritization plan. This plan gives a score to each project based on three categories. By ranking the scores, a prioritization list is created. This system provides transparency on how BE chooses their projects.

### **Monthly Progress Report**

Scott McDaniel asked the Board if they had any questions on the progress report. There were none.

### **Q1 FY2016 BE Program Delivery Update**

Scott McDaniel showed two graphs found in the packet that show how much project funds will be available to Bridge Enterprise. Bridge Enterprise will continue to monitor the graphs as they go forward to ensure SPI is where it should be.

### **Adjournment**

Chairwoman Connell asked if there were any more matters to come before the Bridge Enterprise Board of Directors. Hearing none, Chairwoman Connell announced the adjournment of the meeting at 10:55 a.m.



## MEMORANDUM

**TO:** THE BRIDGE ENTERPRISE BOARD OF DIRECTORS  
**FROM:** MARIA SOBOTA, CHIEF FINANCIAL OFFICER  
**DATE:** FEBRUARY 18, 2016  
**SUBJECT:** FISCAL YEAR 2016-17 FINAL BRIDGE ENTERPRISE BUDGET

---

Purpose:

This month the Bridge Enterprise Board of Directors is being presented with a final version of the Fiscal Year (FY) 2016-17 budget for review and comment.

Action:

This memo is informational only and no action is required this month. Based on the projected revenues determined by the Office of Financial Management and Budget (OFMB) in coordination with Bridge Enterprise (BE), staff is presenting a final FY 2016-17 budget for Fund 538 and will return in March for approval and formal adoption of the FY 2016-17 budget.

Background:

In alignment with the new annual budget timeline for Bridge Enterprise, staff presented the Board with a draft version of the FY2016-17 operational budget for Fund 538 in October 2015. This timing was in order to ensure the specific BE budget information that was presented to the Transportation Commission (TC) as part of the final CDOT FY2016 Draft Annual Budget in November 2015 had also been presented to the Board.

This month staff is bringing the Board a final FY2016-17 operational budget for Fund 538 for comment and review. This timing is to ensure that any Board comments or suggested changes can be integrated and reflected in the final CDOT FY2016-17 Annual Budget that will be formally adopted by the TC in March 2016 and then submitted to the Governor for approval.

Details:

The BE FY 2016-17 budget allocations are based on an estimated \$126.6 Million of projected BE revenue for FY 2016-17. The \$126.6 Million revenue estimate is comprised of the following revenue sources:

- \$102,100,000 in FASTER Bridge Revenue
- \$3,500,000 in Interest Earnings
- \$6,000,000 in Federal Subsidy for the Build America Bonds (BABs)
- \$15,000,000 in Transferred Federal Funds



The overall projected revenue of \$126.6 Million has been allocated to the following categories in the finalized operational budget for Fund 538:

- \$1,777,564 for Program Management
- \$300,000 for BE Project Scoping Pools
- \$250,000 for Maintenance
- \$18,234,00 for Debt Service
- \$106,038,436 for Bridge Enterprise Projects

Details regarding individual line items that roll up to each budget category are outlined in Attachment A: Fiscal Year 2016-17 Final Bridge Enterprise Budget Fund 538. One important change to note is that the majority of line items related to the bonding program totaling \$1,109,679 that were presented in the draft version of the operational budget for Fund 538 have been removed. The only item remaining is expenses related to the BE trustee. Additionally, staff has changed the format slightly to present the information more clearly.

Key Benefits

N/A

Options and Recommendations

The Board is being asked to review the final FY 2016-17 budget and provide feedback if necessary.

Next Steps

This coming month, staff will integrate any changes requested by the Board and then return in March for formal adoption of a FY 2016-17 Bridge Enterprise Budget for Fund 538.

Attachments:

Attachment A: Fiscal Year 2016-17 Final Bridge Enterprise Budget Fund 538.



<b>Fiscal Year 2016-17 Final Bridge Enterprise Budget</b> <b>Statewide Bridge Enterprise Special Revenue Fund (C.R.S 43-4-805(3)) 538</b>		
Budget Item	Estimated FY2017 Revenues	Estimated FY2017 Expenses
<b>Revenue</b>		
Estimated FY17 FASTER Bridge Revenues	\$102,100,000	
Interest Earnings	\$3,500,000	
Federal Subsidy for Build America Bonds	\$6,000,000	
Transfer of Federal Funds	\$15,000,000	
<b>Total Revenue</b>	<b>\$126,600,000</b>	
<b>Expenses</b>		
<b>Administrative &amp; Operating (Cost Center B8800-538 and B88AD-538)</b>		
BE Program Management AECOM		\$ (1,500,000)
CDOT / BE Staff		\$ (181,564)
Attorney General Legal Services		\$ (50,000)
Annual Audit		\$ (11,000)
Operating Expenses		\$ (10,000)
Other Consulting		\$ (20,000)
Trustee		\$ (5,000)
<b>Total Administrative &amp; Operating Expenses</b>		<b>\$ (1,777,564)</b>
<b>Scoping Pools (Cost Center B88SP-538)</b>		
Scoping Pools		\$ (300,000)
<b>Total Scoping Pools</b>		<b>\$ (300,000)</b>
<b>Maintenance (Cost Center B88MS-538)</b>		
Maintenance		\$ (250,000)
<b>Total Maintenance</b>		<b>\$ (250,000)</b>
<b>Debt Service</b>		
Debt Service		\$ (18,234,000)
<b>Total Debt Service</b>		<b>\$ (18,234,000)</b>
<b>Bridge Enterprise Projects</b>		
Preservation Project		\$ (100,000)
Other Bridge Enterprise Projects		\$ (105,938,436)
<b>Total Bridge Enterprise Projects</b>		<b>\$ (106,038,436)</b>
<b>Total Fund 538 FY17 Revenue</b>	<b>\$126,600,000</b>	
<b>Total Fund 538 FY17 Expenses</b>	<b>-\$126,600,000</b>	
<b>Remaining Unbudgeted Funds</b>	<b>\$0</b>	





MEMORANDUM

TO: COLORADO BRIDGE ENTERPRISE BOARD OF DIRECTORS  
FROM: MARIA SOBOTA, CHIEF FINANCIAL OFFICER  
DATE: FEBRUARY 18, 2016  
SUBJECT: ANNUAL FINANCIAL STATEMENTS FOR FISCAL YEARS 2014 AND 2015

Purpose

This memorandum is presenting the Colorado Bridge Enterprise's (CBE) Fiscal Year 2014 and 2015 annual audited financial statements.

Action

No formal action is being requested. Informational only.

Background

On an annual basis, the Office of the State Auditor (OSA) engages an outside audit firm to conduct a financial and compliance audit of the CBE. For Fiscal Year 2015, OSA contracted with BKD, LLP to complete the annual audit. The purposes and the scope of the Fiscal Year 2015 audit were to

- Express an opinion on the financial statements of CBE as of and for the years ended June 30, 2015 and 2014, including consideration of internal control over financial reporting.
- Review CBE's compliance with rules and regulations governing the expenditure of State funds for the year ended June 30, 2015
- Issue a report on CBE's internal control over financial reporting and on compliance with certain provisions of laws, regulations, contracts, and grant agreements as well as other matters based on OSA's audit of the financial statements.

Details

BKD's report included an unmodified opinion of CBE's financial statements for the year ended June 30, 2015. No material weakness in internal controls over financial reporting were identified and no instances of noncompliance considered material to the financial statements were disclosed by the audit. There are no audit findings or recommendations reported for the year ended June 30, 2015.

Hard copies of the audited financial statements will be provided to the Board. An electronic version will be available on the Bridge Enterprise website at [www.codot.gov/programs/BridgeEnterprise/financial-statements](http://www.codot.gov/programs/BridgeEnterprise/financial-statements). If any other staff needs to request a hard copy, contact the Enterprise Accountant, Kay Hruska at [kay.hruska@state.co.us](mailto:kay.hruska@state.co.us).





4201 E. Arkansas Ave., Room 124B  
Denver, CO 80222

## MEMORANDUM

**TO:** Bridge Enterprise Board of Directors  
**FROM:** Scott McDaniel, PE, Director of Project Support  
**DATE:** February 18, 2016  
**SUBJECT:** February 2016 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; this report is 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 January 31, 2016. The January Schedule Performance Index (SPI) = 0.97, an increase of 0.03 from prior month (December SPI = 0.94). Note: Program Goal SPI  $\geq$  0.90. A significant increase in program SPI was realized in January 2016 due to the Grand Avenue Bridge baseline schedule being reset in accordance with guidance document #7 revision 1.

#### Over-performing projects

- 5 projects with \$9.5M in combined Earned Value (EV) greater than planned
- Increases overall program SPI by 0.014; a decrease of 0.002 from prior month (December = 0.016)

#### Under-performing projects

- 3 projects with \$24.6M in combined lost EV
  - Reduces overall program SPI calculation by 0.04; a 0.02 decrease from prior month (December = 0.06)
- Of the 13 Railroad involved projects there are none currently being impacted by railroad delays

### PROGRAM INITIATIVES AND RECENT ACTIVITY:

The BE team continues to collaborate with CDOT in managing, monitoring and reporting on the progress and success of the program. Some recent program tasks and initiatives include:

- Policy and Procedural Directives documentation
- Ongoing project coordination and oversight
- Closeout and deprogramming funds from completed projects
- Programming of new projects for preconstruction activities
- Continued PMO coordination
- Quarterly Reporting
- Maintenance invoicing
- Task Order 1 - February 1, 2016 commencement

### RECENT PROJECT ACTIVITY:

#### Region 3 Grand Avenue Bridge CM/GC Delivery to Construction January 5, 2016:

- The project will replace the existing Grand Avenue Bridge which carries SH 82 over the Colorado River in Glenwood Springs and is funded through Bridge Enterprise, CDOT, contributions from utility companies, and several local governments including the City of Glenwood Springs, Garfield County, and Eagle County.
- Of note, SH 82 is the primary access to the Roaring Fork Valley including Glenwood Springs, Carbondale, Basalt and Aspen.



**Grand Avenue Bridge Open House:**

- 2 sessions were held January 14th at the Glenwood Springs Community Center. More than 100 people were in attendance for each session.
- First public open house for the project, second open house will be scheduled in 2017 prior to the detour.

**Grand Avenue Bridge Partnering Session Held January 28th:**

- CDOT, Bridge Enterprise, Glenwood Springs, Downtown Development Authority, Consultants, Contracting Team and various major stakeholder representatives met to establish an outline of work and communication strategies to apply throughout the project.

**TOTAL PROGRAM FINANCIAL PERFORMANCE**

Expenditure and encumbrance data through December 31, 2015 summarized below:

- Overall projected expenditures increased by \$13.3 M or 1.8%
- Overall actual expenditures increased by \$11.8 M or 2.0%
- Actual Bond expenditures, no increase or decrease. Bond proceeds are essentially expended and the bulk of the remaining balance is related to interest earnings.
- Overall encumbrances decreased by (\$4.6 M) or -3.0%
- Bond encumbrances decreased by (\$4.9 M) or -100.09% \*

\*Approximately \$10,000 of Bond Proceeds and Interest Earnings remain unexpended and all encumbrances have been liquidated. For reporting purposes we recognize bond expenditures when they are billed to the Trustee. Once all budget is expended all remaining Bond Proceeds and Interest will be billed to the Trustee.

**STATUS OF FASTER ELIGIBLE BRIDGES**

There are currently 192 bridges eligible for the BE program.

Completed	120
In Construction	20
Design Complete	2
In Design	11
Remaining	25
No Action Proposed	14

**STATUS OF \$300M BOND BRIDGES**

There are currently 89\* bridges in the BE bond program.

Completed	66
In Construction	20
Design Complete	2
In Design	1

\*The methodology for the 2010 bond program bridge count has changed from programmed bridges to budgeted bridges.

**STATUS OF 30 MOST DEFICIENT BRIDGES**

The CBE has completed 28 of the 30 bridges originally identified as the most deficient. Only 11 of the 30 worst bridges based on 2015 final ratings remain to be programmed:

Bridge Number	Region	County	Facility Carried over Featured Intersection
E-17-KR	1	Denver	I-270 ML EBND over I-70 ML
E-17-DF	1	Denver	I-70 ML WBND over UP RR W of Quebec Street
E-17-EW	1	Denver	I-70 ML EBND over UP RR; W of Quebec Street
E-17-EQ	1	Denver	SH 265 over ML Race Street
E-17-AH	1	Denver	40th Avenue W of SH 2 ML over BNSF RR
I-18-I	2	El Paso	US 24 ML over Draw
N-17-S	2	Huerfano	I-25 ML NBND over CO Rd. 103, Butte Creek
L-19-F	2	Pueblo	US 50 BUS. RT over DRAW
F-10-C	3	Eagle	US 6 ML over East Lake Creek
P-09-L	5	Archuleta	US 84 ML over Rio Blanco
K-11-G	5	Saguache	US 50 ML over Agate Creek

**DBE PARTICIPATION**

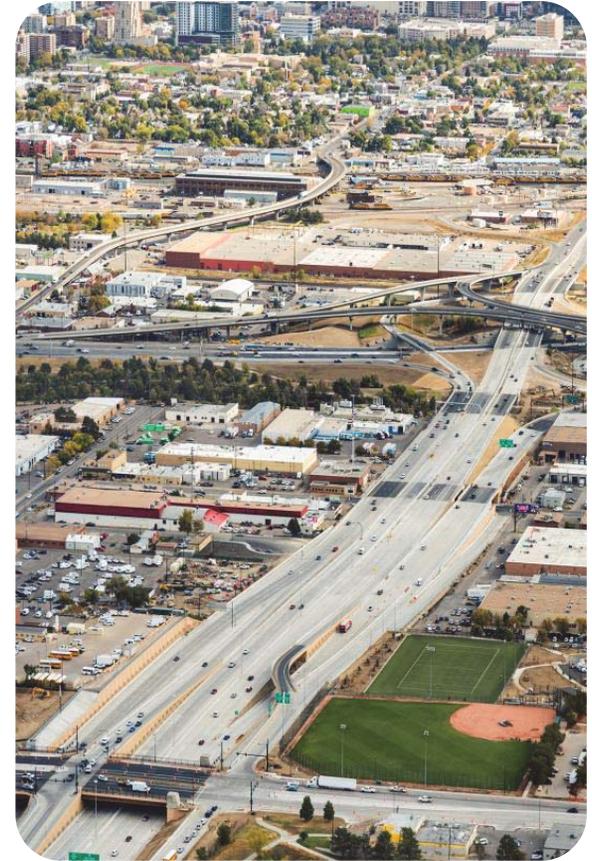
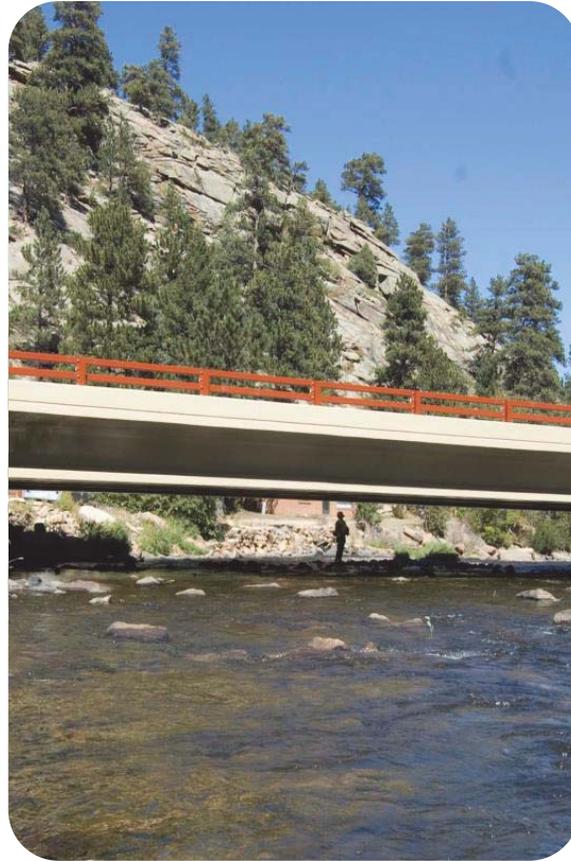
Federal Fiscal Year (FFY) 2015 - 10/1/2014 - 9/30/15 DBE participation resulted in 22.8% of subcontract dollars going to 49 individual DBE firms.





# COLORADO

Department of  
Transportation



## **Colorado Bridge Enterprise**

February 2016 Monthly Progress Report  
Board of Directors Meeting



# Program Schedule

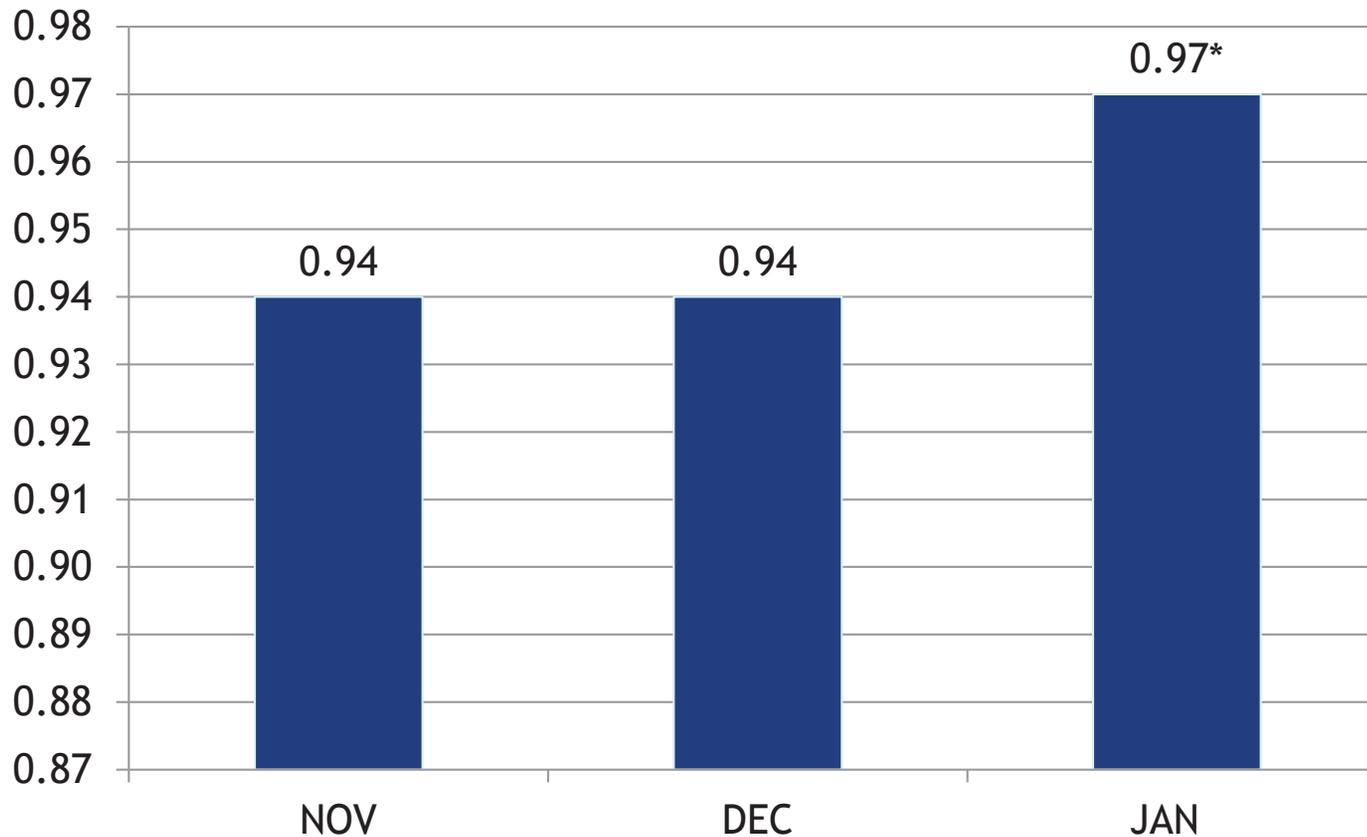
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- Program schedule updated for work complete through January 2016
- December Schedule Performance Index (SPI) = 0.97; an INCREASE of 0.03 from prior month (December SPI = 0.94)
- A significant increase in program SPI was realized in January 2016 due to the Grand Avenue Bridge baseline schedule being reset in accordance with guidance document #7 revision 1
- **Over-performing projects**
  - 5 projects with \$9.5M in combined Earned Value (EV) greater than planned
  - INCREASES overall program SPI by 0.014; a DECREASE of 0.002 from prior month (December = 0.016)
- **Under-performing projects**
  - 3 projects with \$24.6M in combined lost EV
    - Reduces overall program SPI calculation by 0.04; a 0.02 DECREASE from prior month (December = 0.06)
  - Of the 13 Railroad involved projects there are none currently being impacted by railroad delays



# Program Schedule

## Program SPI by Month



\*0.03 increase due to Grand Ave. Bridge baseline reset per Guidance Document #7 rev. 1

Program Goal SPI  $\geq$  0.90



# Program Initiatives

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## CURRENT PROGRAM ACTIVITY & INITIATIVES:

- Policy and Procedural Directives documentation
- Ongoing project coordination and oversight
- Closeout and deprogramming funds from completed projects
- Programming of new projects for preconstruction activities
- Continued PMO coordination
- Quarterly Reporting
- Maintenance invoicing
- Task Order 1 - February 1, 2016 commencement



# Recent Project Activity

## Region 3 Grand Avenue Bridge CM/GC Delivery

Project went to Construction January 5, 2016

- The project will replace the existing Grand Avenue Bridge which carries SH 82 over the Colorado River in Glenwood Springs and is funded through Bridge Enterprise, CDOT, contributions from utility companies, and several local governments including the City of Glenwood Springs, Garfield County, and Eagle County.
- Of note, SH 82 is the primary access to the Roaring Fork Valley including Glenwood Springs, Carbondale, Basalt and Aspen.





# Recent Project Activity

## Grand Avenue Bridge Open House Spurs Public Interest:

- 2 sessions were held January 14th at the Glenwood Springs Community Center; more than 100 people in attendance for each session.
- First public open house for the project, second open house will be scheduled in 2017 prior to the detour.

## Grand Avenue Bridge Partnering Session Held January 28th:

- CDOT, Bridge Enterprise, Glenwood Springs, Downtown Development Authority, Consultants, Contracting Team and various major stakeholder representatives met to establish an outline of work and communication strategies throughout the project.

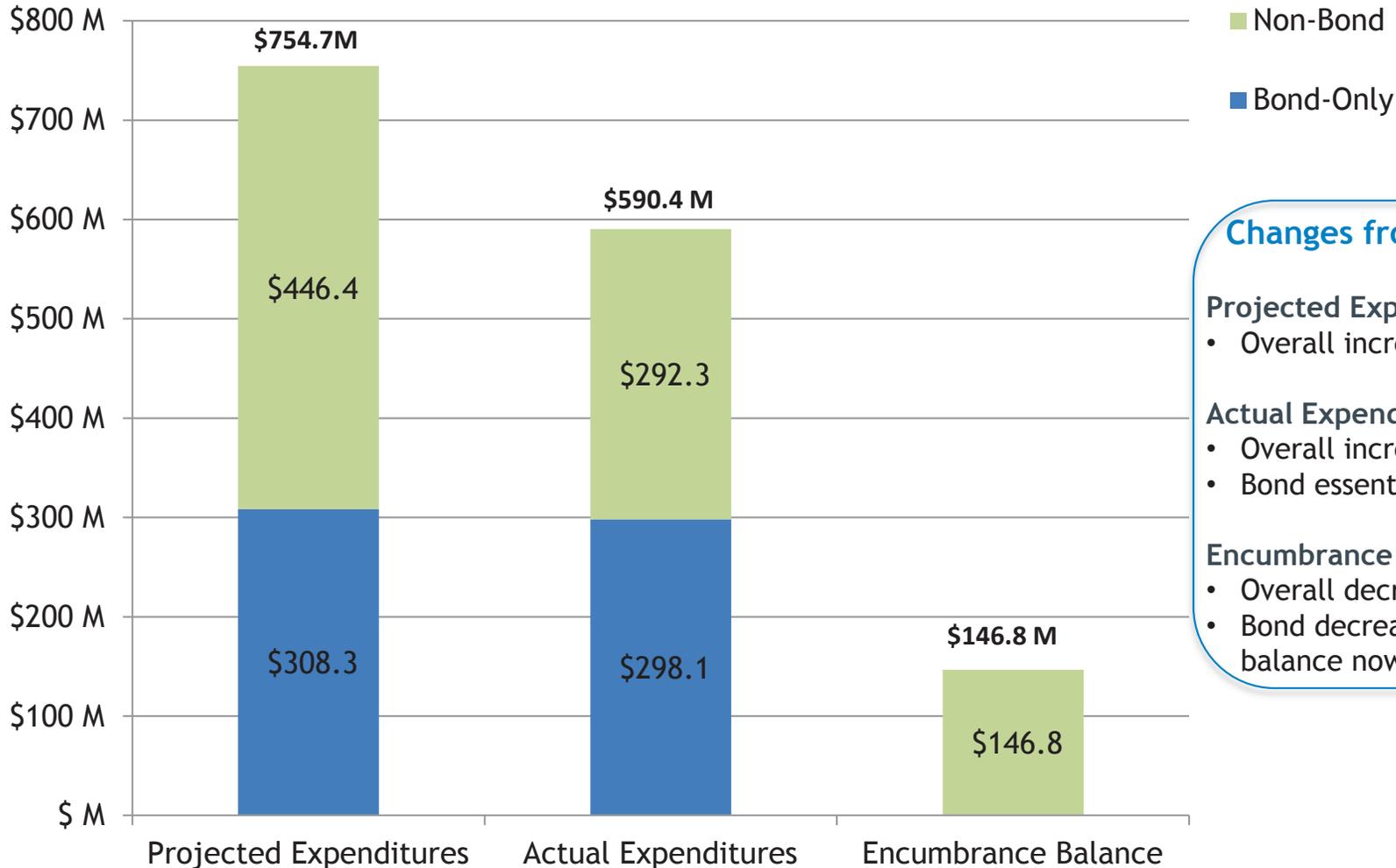


Photos courtesy Post Independent



# Total Program Financial Performance

Colorado Bridge Enterprise Total Program Performance  
As of December 31, 2015 - Preliminary



### Changes from Previous Month

#### Projected Expenditures

- Overall increased by \$13.3M or 1.8%

#### Actual Expenditures

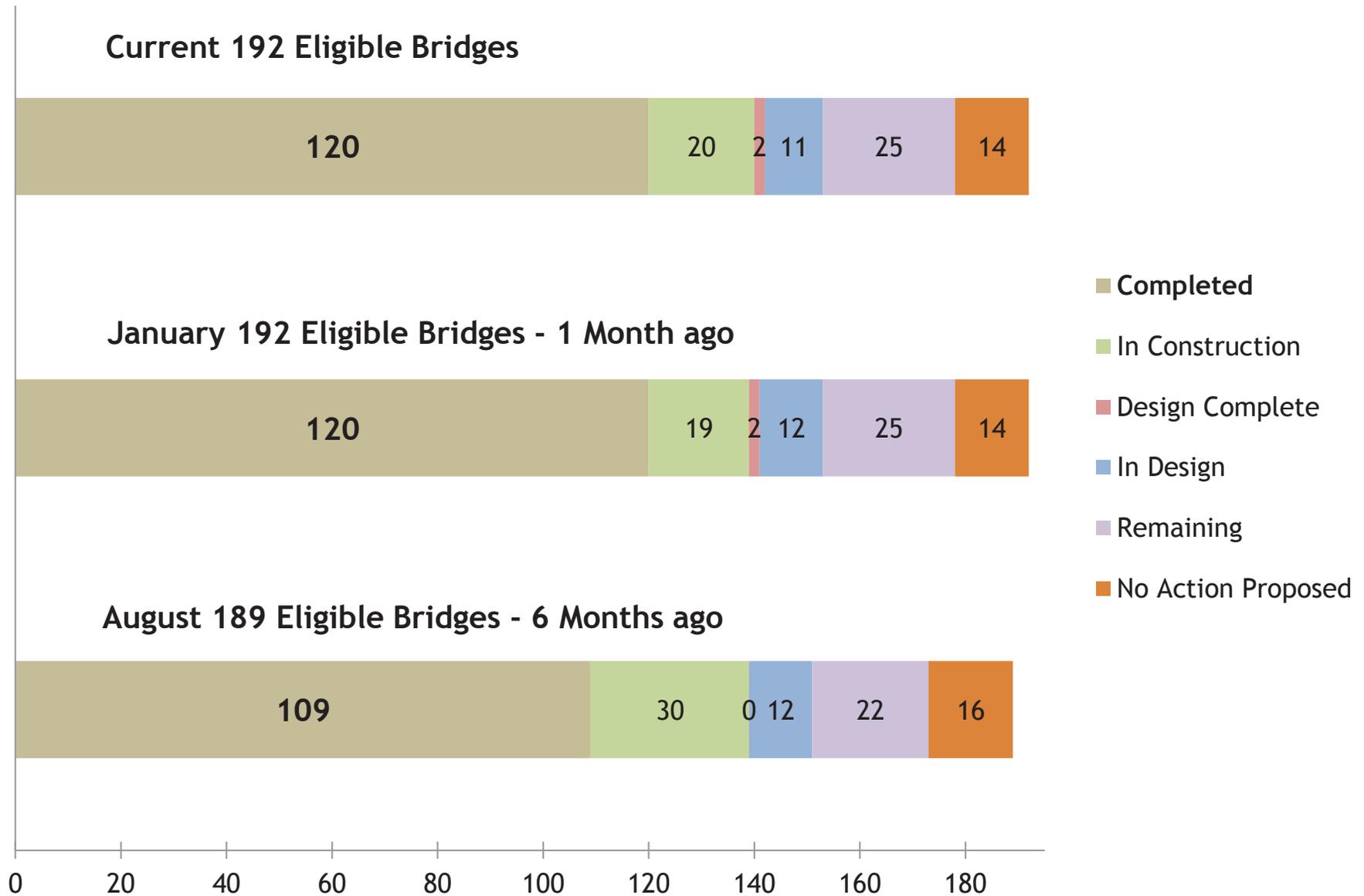
- Overall increased by \$11.8M or 2.0%
- Bond essentially expended

#### Encumbrance Balance

- Overall decreased by (\$4.6M) or -3.0%
- Bond decreased by (\$4.9M), balance now \$0



# Status FASTER Eligible Bridges





# Status \$300M Bond Bridges

Current 89\* Bridges



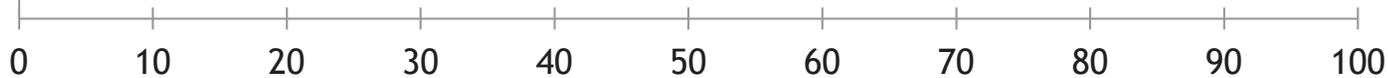
January 89 Bridges - 1 Month ago



August 93 Bridges - 6 Months ago



- Completed
- In Construction
- Design Complete
- In Design
- Remaining
- No Action Proposed



\*Variation in the bridge count is due to a reconciliation of bond program tracking. The methodology for the 2010 bond program bridge count has changed from programmed bridges to budgeted bridges.



# Status of 30 Most Deficient Bridges

	2015 Poor List Bridges Worst 30 Status	Original 128 Bridges Worst 30 Status
Complete	1	28
In Construction	2	1*
Design Complete	9	0
In Design	7	1**
Remaining	11***	0
<b>Total Addressed</b>	<b>30</b>	<b>30</b>

\*L-18-M I 25 ML NBND over Indiana Ave; \*\* E-17-FX I-70 Viaduct will be the final original '30 worst' bridge addressed.

\*\*\*Remaining/Not Programmed

Bridge Number	Region	County	Facility Carried over Featured Intersection
E-17-KR	1	Denver	I-270 ML EBND over I 70 ML
E-17-DF	1	Denver	I-70 ML WBND over UP RR W of Quebec Street
E-17-EW	1	Denver	I-70 ML EBND over UP RR; W of Quebec Street
E-17-EQ	1	Denver	SH 265 OVER ML Race Street
E-17-AH	1	Denver	40th Avenue W of SH 2 ML over BNSF RR
I-18-I	2	El Paso	US 24 ML over Draw
N-17-S	2	Huerfano	I-25 ML NBND over CO Rd. 103, Butte Creek
L-19-F	2	Pueblo	US 50 BUS. RT over DRAW
F-10-C	3	Eagle	US 6 ML over East Lake Creek
P-09-L	5	Archuleta	US 84 ML over Rio Blanco
K-11-G	5	Saguache	US 50 ML over Agate Creek



## DBE Participation

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State & FHWA-funded BE construction contracts continue to help CDOT exceed its overall 12.46% DBE goal through the following achievements:

Federal Fiscal Year (FFY) 2015 - 10/1/2014 - 9/30/15	
6 Prime Contracts Awarded	\$144,924,029
199 Subcontracts Awarded	\$57,439,564
75* Total DBE Subcontracts Awarded	\$13,072,999
DBE Percentage of Subcontract Dollars	<b>22.8%</b>

\*The 75 subcontracts went to 49 individual DBE firms.



# FASTER Q & A

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## Questions & Answers

**Colorado Transportation Commission  
Audit Review Committee Agenda  
Thursday, February 18, 2016  
CDOT Headquarters, Auditorium  
10:00 – 11:00 a.m.**

**Sidny Zink, Chair  
District 8, Durango**

**Bill Thiebaut  
District 10, Pueblo**

**Gary Reiff  
District 3, Englewood**

**Ed Peterson  
District 2, Lakewood**

All commissioners are invited to attend this Committee meeting.

<b>1.</b>	<b>*</b>	<b>Call to Order</b>	<b>Verbal</b>
<b>2.</b>	<b>*</b>	<b>Approval of August 2015 Minutes</b>	<b>p 1</b>
<b>3.</b>	<b>*</b>	<b>Modified Audit Plan</b>	<b>Verbal</b>
<b>4.</b>	<b>*</b>	<b>Release - Hard to Fill (HTF) and Extremely Hard to Fill (HTFX) Benefits Audit</b>	<b>Attachment 1</b>
<b>5.</b>	<b>*</b>	<b>Audit Division Updates</b>	<b>Verbal</b>
<b>6.</b>		<b>Audit Work In Process</b>	
		<b>a. Patrol Inventory Audit</b>	<b>p 4</b>
		<b>b. Mobile Device Policy Advisory Services</b>	<b>p 4</b>
		<b>c. Construction Claim/Dispute Audits</b>	<b>p 4</b>
		<b>d. A-133 2014 Single Audit Reviews</b>	<b>p 4</b>
		<b>e. Indirect Cost Rate Reviews</b>	<b>p 5</b>
		<b>f. Master Pricing Agreement Reviews</b>	<b>p 5</b>
		<b>g. Sole Source Reviews</b>	<b>p 6</b>
<b>7.</b>		<b>Fraud Hotline Statistics</b>	<b>p 7</b>
<b>8.</b>	<b>*</b>	<b>Outstanding Audit Recommendations</b>	<b>Verbal</b>

**THE AGENDA MAY BE ALTERED AT THE CHAIR'S DISCRETION**

\*Those items marked with an asterisk will be presented to the committee.

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**Colorado Transportation Commission**  
**Audit Review Committee**  
**MEETING MINUTES**

**August 19, 2015**  
**4:30 p.m. to 5:00 p.m.**  
**CDOT Headquarters Room 225**

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**AUDIT COMMITTEE MEMBERS PRESENT:** Sidney Zink, Bill Thiebaut, Gary Reiff

**ALSO PRESENT:** Barbara Gold, Audit Director; James Ballard, Audit Manager; Trent Josten, Audit Supervisor; Daniel Pia, IT Auditor; Melissa Canaday, Audit Supervisor; Lisa Gibson, Program Administrator; Kyle Lester, Division of Highway Maintenance Director

**AND:** Other Executive Management Team members and the public.

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**Call to Order**

ARC Chair Zink called the meeting to order on August 19, 2015 at 4:37 p.m. Chair Zink also called roll and all Audit Committee members were present. The meeting was held in Room 225 at the Colorado Department of Transportation Headquarters' building.

**Approval of Minutes of the June 17, 2015 ARC Meeting**

Commissioner Thiebaut moved to approve the meeting minutes for June 17, 2015. Commissioner Reiff seconded the motion. The minutes were approved with no opposition. The minutes were adopted as published in the agenda.

**Approval of Minutes of the July 24, 2015 ARC Meeting**

Commissioner Reiff moved to approve the meeting minutes for July 24, 2015. Commissioner Thiebaut seconded the motion. The minutes were approved with no opposition and were adopted as published in the agenda.

**Approval of the FY 2016 Audit Plan**

Ms. Gold presented the FY 2016 audit plan and risk assessment to the Committee. Commissioner Thiebaut asked Ms. Gold if she feels the plan is overly ambitious. Ms. Gold said she felt the plan was reasonable, but maybe a bit ambitious. However, she would like to try to accomplish the plan as proposed. Commissioner Reiff asked what audits would be removed from the plan, if necessary. Kyle Lester, CDOT Division of Highway Maintenance Director, suggested the proposed Bulk Fuel audit should be removed, since improvements to the Bulk Fuel program will be made soon. Therefore, it would be more effective to review the Bulk Fuel program after the new changes are fully implemented. Chair Zink inquired about which audits on the audit plan were requested by management. Ms. Gold replied that all were at management's request and agreed that the Bulk Fuel audit could potentially be removed from the FY 2016 plan. Commissioner Thiebaut stressed that audit quality is more important than quantity. Chair Zink asked if the Audit Division works on multiple audits at one time. Ms. Gold confirmed that yes, multiple audits and services are conducted simultaneously. Commissioner Reiff moved to accept the FY 2016 Audit Plan and Commissioner Thiebaut seconded the motion. Upon vote of the Committee, the plan was passed with no opposition.

*Action Item:* At the next meeting, the Committee would like an update on audit progress and the audit plan.

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**MEETING MINUTES**

**Other Audits and Reviews**

Ms. Gold gave a brief verbal overview of the status of each external audit and review that have been recently performed by the Office of the State Auditor, Federal Transit Administration and consultants hired by CDOT. Commissioner Thiebaut said it would be helpful to have a one or two sentence summary of these audits and reviews for future ARC meetings.

*Action Item:* Ms. Gold, in future meetings, will provide to the Committee a brief summary of other audits and reviews.

**Release of Fuel Cost Audit Phase 2 & 3 Report**

Chair Zink reviewed options related to release of a report. Commissioner Thiebaut motioned to release the report and Commissioner Reiff seconded the motion. All committee members voted to approve and release report. The report was released with no opposition.

**Discussion of Fuel Cost Audit Phase 2 & 3 Report**

Ms. Gold reviewed the report and presented the audit results and the five recommendations contained in the report. Mr. Lester stated that most of the recommendations have already been implemented. Mr. Lester also stated that overall, fuel cards have been reduced by 12%. Chair Zink asked how a card could be eliminated if it's associated with equipment; asking if we had that much idle equipment. Mr. Lester said that yes, there is that much idle equipment. Mr. Lester also explained that some of the fuel cards with minimal use are needed for emergencies for equipment that is primarily fueled by bulk fuel tanks. Mr. Lester also said that a new policy directive for the fuel program will be presented to the Transportation Commission that will update processes surrounding pin and card procedures. The updated policy directive will address recommendations related to fuel PINs. Securing the facilities is a slower process, but it is currently underway. Mr. Lester stated he is working with the Regional Transportation Directors to enhance the security of facilities. Mr. Lester also reported on the new fuel exception reporting process related to the Fuel Phase I audit. He said the fuel exception reporting process has improved and that the majority of reported exceptions are being adequately resolved. Refining the exception reporting process is an on-going process with a goal to ensure that only true exceptions are being identified. Chair Zink asked if any of those exceptions involved fraudulent activity. Mr. Lester said none have been linked to fraud in the past 18 months.

**Audit Division Updates**

Ms. Gold introduced David Gallagher, a recently hired auditor. She informed the Committee that two interns have been hired and the Auditor III position has been posted.

**Outstanding Audit Recommendations**

Ms. Gold presented an overview of outstanding recommendations. Commissioner Reiff stated that a huge improvement in resolving recommendations have been made over the past two years. Ms. Gold said they are working with management sooner in an effort to resolve outstanding recommendations more quickly. Commissioner Reiff said management in the Finance Office, as well as the Chief Engineer's Office has improved over the past two years resulting in recommendations being resolved sooner.

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**Response to CDOT Mobile Smart Phone Application (urHub)**

Chair Zink stated that a response has been received but was confidential. Ms. Gold stated that Kathy Young with the Attorney General's Office is currently assisting with preparing a response. Ms. Gold will provide an update as information is available.

**Fraud Hotline Statistics**

Ms. Gold said fraud hotline calls have decreased. The Audit Division is developing a fraud presentation to increase awareness of fraud and the existence of the Hotline. This will be presented to the various regions.

Meeting was adjourned at 5:16 p.m.

**CDOT Audit Division  
Audit Work in Process  
As of January 31, 2016**

**Patrol Inventory Audit**

The Audit Division began an audit of the Region 1 store room in mid-2015 but changed their objective, after conducting risk assessments, to focus on the patrol level inventory procedures. This change in objective also was considered after receiving fraud allegations on the CDOT Fraud Hotline related to patrol inventory. Thus, the Audit Division is conducting a performance audit related to evaluating Region 1's current procedures and internal controls over inventory on a patrol level. We have completed a draft report and we are in the process of submitting it to management for review.

**Mobile Device Policy Advisory Services**

Executive Management requested the Audit Division's participation on a cell phone task force committee. In response to this request, the Audit Division reviewed the current policy, identified high risk areas and informed Executive Management of these risks. A procedural directive was prepared by management and implemented in November 2015.

**Construction Claim/Dispute Audits**

The Audit Division receives and processes these claims through CDOT's dispute resolution process established in CDOT specification book (Section 105.22, 105.23 and 105.24). A dispute has two elements: entitlement (whether the contractor has a right to a monetary adjustment) and quantum (amount of the monetary adjustment). The Audit Division does not express an opinion on the contractors' entitlement to the dispute amount, but evaluates the quantum aspect of the claims and provides information regarding the acceptability of the requested amount and the reliability of contractor data furnished in support of the dispute.

The Audit Division has issued final audit reports on two construction claims since the previous ARC meeting in September. The first report, issued October 2, 2015, recommended a reduction in the claim amount from roughly \$440k to \$340k, and it was resolved at the Audit Division calculated amount. The second report, issued January 15, 2016, recommended a reduction in the claim amount from roughly \$1.1m to \$843k.

**A-133 2014 Single Audit Reviews**

The Audit Division has finalized completion of reviews of single audits. These reviews are required to be completed each year in accordance with the Office of Management and Budget (OMB) requirements. This year we reviewed a total of 157 sub-recipients, of which 89 were non-exempt and required additional follow up. Exempt sub-recipients are those entities that expend less than \$500,000 per year in federal awards. Non-exempt are those entities that expend greater than \$500,000 per year in federal awards.

The Audit Division submitted a report to the Division of Accounting and Finance with a summary of the information obtained with the closing of the process for the year. There were no findings identified.

**CDOT Audit Division  
Audit Work in Process  
As of January 31, 2016**

<b>CDOT Audit Division Status of A-133 2014 Process As of 10/31/2015</b>		
Type of Sub-Recipients	# of Sub-recipients	Sub-Recipients with Findings Related to CDOT
Exempt	68	N/A
Non-Exempt	89	0
<b>Total</b>	<b>157</b>	<b>0</b>

Source: Audit Division

The audit division is preparing for the A-133 2015 Single Audit process that will begin in March 2016.

**Indirect Cost Rate Reviews**

CDOT has the responsibility to monitor the activities of local governments and non-profit entities as necessary to ensure that these entities use federal awards for authorized purposes and in compliance with federal regulations. As part of this responsibility, the Audit Division reviews the reasonableness of indirect cost rate proposals submitted by these entities. We completed the following indirect cost rate reviews:

<b>Indirect Cost Rate Reviews Completed August – December 2015</b>		
Agency	Pass-Through Dollars CY 2014	Date Completed
North Front Range Metropolitan Planning Organization (NFR)	\$992,480	9/10/15
Denver Regional Council of Governments (DRCOG)	\$7,916,182	9/21/2015
Seniors Resource Center (SRC)	\$214,872	9/24/15
Upper Arkansas Area Council of Governments (UAACOG)	\$115,056	10/15/2015
Northwest Colorado Council of Governments (NWCCOG)	\$145,482	12/09/2015

Source: Audit Division

We did not identify any issues in the reviews performed.

**Master Pricing Agreement Reviews**

Master Pricing Agreement Reviews provide assurance to CDOT that architectural and engineering (A/E) consultants are in compliance with the Federal Acquisition Regulations (FAR). All A/E firms wishing to provide professional services to CDOT must go through this review process.

We completed 109 Financial Qualification Reviews in calendar year 2015, including 22 in the most recent quarter, October-December 2015.

**CDOT Audit Division  
Audit Work in Process  
As of January 31, 2016**

Our reviews have resulted in findings including hourly rates that are unreasonably high and/or in excess of actual payroll rates, incorrect accounting of labor costs, inclusion of unallowable costs, and incorrect application of FAR guidelines. Together, these findings have resulted in potential hourly savings of \$1,998.48 (Oct-Dec) and \$6,142.83 (Jan-Dec) over the rates that would have been charged to CDOT had these reviews not taken place.

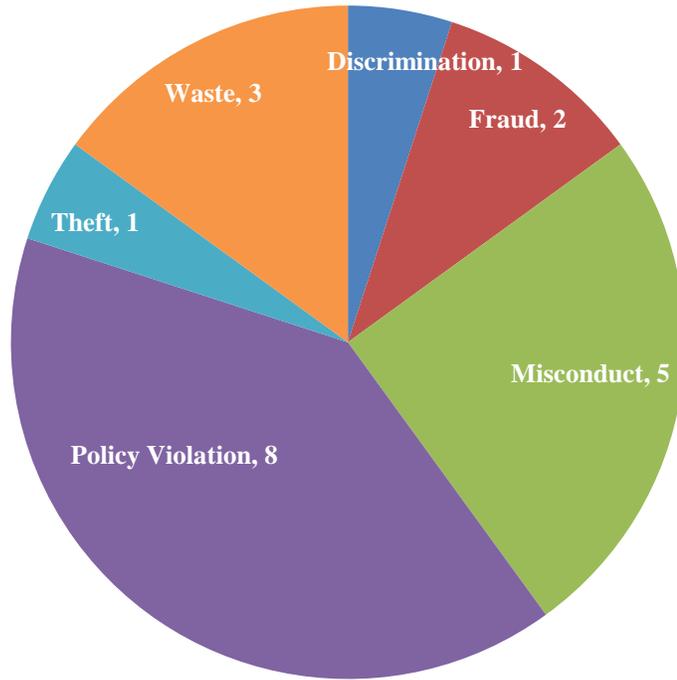
**Sole Source Reviews**

Colorado Revised Statute 24-103-205 allows a contract to be awarded without competition when the head of a purchasing agency determines, in writing, that there is only one source for the required item. Sole source procurement is justified when there is a limited number of vendors that can provide a particular good or service. CDOT's Procurement Manual requires a price cost analysis when no competition is received. Additionally, the Audit Division is required to review sole source procurements exceeding \$100,000 to ensure fair and reasonable pricing. The Audit Division completed two reviews this quarter.

<b>Sole Source Reviews Completed August - December, 2015</b>		
<b>Vendor</b>	<b>Amount</b>	<b>Date Completed</b>
Applied Engineering Management (AEM) – PARRE for Flood	\$2,000,000	11/05/2015
Jacobs Engineering – Connected Vehicle, Road X	\$3,608,814	12/10/2015

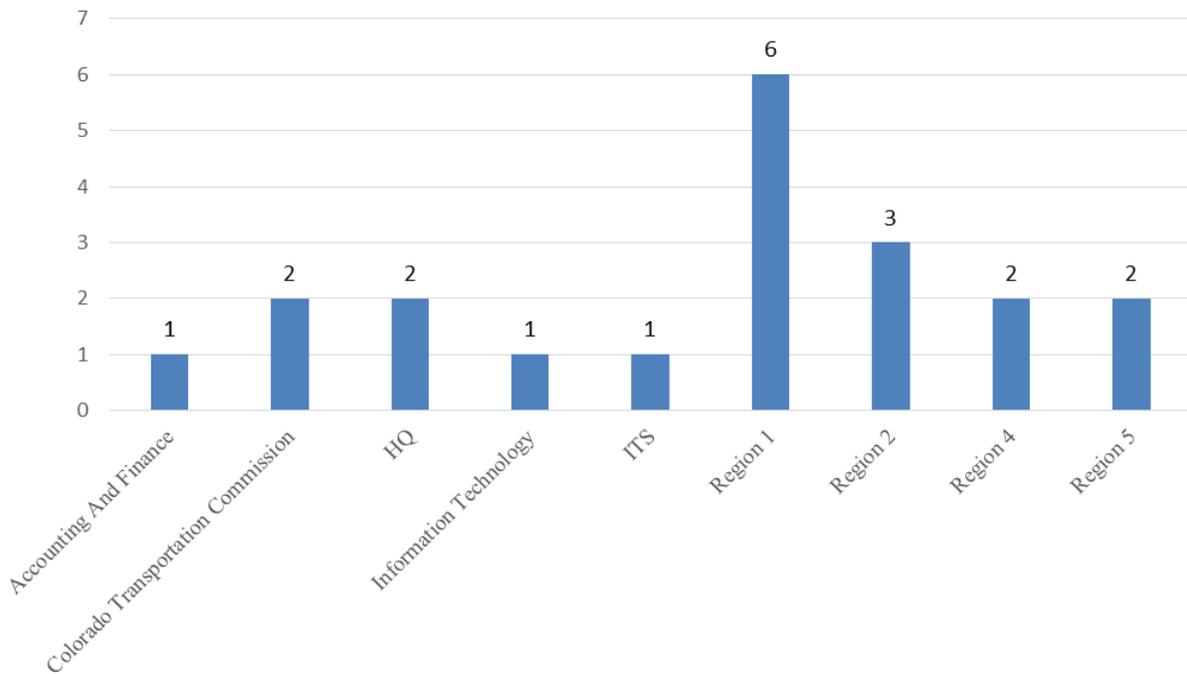
Source: Audit Division

**CDOT Audit Division  
Hotline Summary  
20 Incidents by Type  
CY 2015 (1/1/2015 - 12/31/2015)**



Source: Hotline Data obtained by Audit Division

**CDOT Audit Division  
Hotline Summary  
20 Incidents by Location  
CY 2015 (1/1/2015 - 12/31/2015)**



Source: Hotline Data obtained by Audit Division

**DATE:** February 2, 2016  
**TO:** Transportation Commission  
**FROM:** Johnny Olson, P.E. Region 4 Transportation Director  
**SUBJECT:** 2013 Flood - FHWA Emergency Relief Program Funding

Purpose

The purpose of this memo is to provide a 2013 Flood Program update and bring to attention the need for requesting additional FHWA Emergency Relief (ER) dollars.

Action

CDOT has strategies to obtain additional federal funds and complete the permanent repair effort. Currently the option of an additional congressional request is not a viable option. This could change with future disasters or changing conditions in Congress. Our current approach is to annually request un-allocated federal ER dollars. Our local FHWA partners believe this is a viable alternative and may complete the program of projects in a 5 year window.

Background

Our current Flood Program of Projects budget is estimated at \$692M. \$648M is FHWA ER participating, \$27.7M is CDOT's share, and \$16M is Local Agency/OEM's share. Therefore the permanent repair projects are short approximately \$198M from the FHWA ER program. There are a number of factors that have played into the increased program cost. A few contributing factors worth highlighting are:

- Increased bid prices, up approximately 20%-30% since 2013
- Original \$450 estimate was provided only few weeks into event
- 6 roadways are FLAP eligible, therefore reimbursed at 100% FHWA instead of 82.79%
- New hydrologic data, in some locations flows have increased, requiring larger structures
- Opportunities for best resilient construction practices at damaged sites

Details

The Flood Recovery Program has been pressing forward to deliver all flood recovery permanent repair projects by the end of 2017. With this funding gap CDOT anticipates schedule changes on when these projects will get delivered. We are researching previous un-allocated ER fund requests to produce a timeline in which we think we can deliver the program. Final completion will be dependent on how much Colorado receives each year.

Key Benefits

CDOT is leveraging lessons learned and best practices to rebuild these infrastructure improvements with a resiliency focus so Colorado can rebound quickly after the next disaster. The program numbers reflected above are eligible within the ER manual so reimbursement will happen, it is just unknown how long it will take.

Next Steps

CDOT will continue to provide Flood Recovery program updates to Commission as new information becomes available.





4201 E. Arkansas Ave., Rm. 227  
Denver, CO 80222

**DATE:** February 18, 2016  
**TO:** Transportation Commission  
**FROM:** Mark Imhoff, Division of Transit and Rail  
**SUBJECT:** FASTER 2017 and FTA 2016 Transit Capital Funding Recommendations

Purpose

The purpose of this memo is to provide background and results of CDOT's annual transit capital grant selection process, also known as the Consolidated Call for Capital Projects (CCCP).

Action

No action requested, this is an informational item.

Background

The CCCP is a competitive grant process used to fund transit capital projects that are eligible for either FASTER Transit (Local and Statewide) or FTA grant programs (Section 5310, 5311, and 5339) that are administered by DTR. By combining these various programs into one single competitive process, CDOT has taken a more comprehensive approach to capital planning and funding while lightening the administrative burden on applicants.

For the past two years CDOT has awarded funding for a two-year period in the hopes of increased predictability and improved planning. The first year awards were final, while the second year awards were preliminary since CDOT could not commit funding that was not yet available. Under the previous process, most preliminary awards were finalized in the following year when funding availability and project scores were verified. However, there have been several instances where preliminary awards were not finalized due to higher-scoring projects being submitted for the current year. Because of this CDOT has elected not to make preliminary awards and will only award projects for the current year of funding (SFY 2017 for FASTER Transit and FFY 2016 for FTA). For applicants that applied this year for future projects, CDOT will retain those applications and give applicants an opportunity to update and/or submit those applications again in next year's CCCP.

CDOT received just over 100 applications from 46 organizations for capital grants that are available in calendar year 2016. The grant requests totaled \$28.5 million. Meanwhile, CDOT has only \$16.8 million available. The applications were reviewed and scored by a team made up of employees from DTR, as well as CDOT's Division of Transportation Development, Office of Policy and Governmental Relations, and Office of Civil Rights.

Details

The projects recommended for funding are found in the attached document and are organized by funding program. FTA-funded projects are listed in Tables A through F while FASTER Transit-funded projects are found in Tables G through I. Table J lists each of the projects not recommended for funding along with the rationale for their lower score or reason they were not recommended for full or partial funding.

In general, vehicle replacement projects were prioritized over other types of projects such as facility and equipment projects. Approximately 73 percent of the available funding (\$12.6 million) was used to replace aging and high-mileage vehicles. CDOT was able to fund several facility and equipment projects worth \$3.7 million, or 23 percent of available funding. DTR also funded two planning projects for \$550,000, or 3 percent of available funding.



Key Benefits

The awarded projects further the goals of the Statewide Transit Plan in the areas of asset management, enhancing and supporting existing transit services throughout the state, and increased mobility.

Next Steps

Project budgets will be put into place and the contracting process will begin.

Attachments

Table of all FASTER FY17 and FTA FY16 awards is attached.



**Recommended Funding Awards for FTA FY16: February 4, 2016**

<b>Table A: FTA FY16 Section 5310 Rural Capital Awards</b>						
<b>Applicant</b>	<b>Project</b>	<b>Project Type</b>	<b>2016 Request</b>	<b>Total Score</b>	<b>Recommended FY16 FTA Award</b>	
Archuleta County	Paratransit Vehicle	Vehicle Replace	\$40,000	9.4	\$40,000	
Inspiration Field	Replacement Truck	Vehicle Replace	\$31,394	9.3	\$31,394	
Blue Peaks	Vehicle Acquisition 2016	Vehicle Replace	\$49,060	9.3	\$49,060	
Inspiration Field	Replacement Van	Vehicle Replace	\$30,064	8.8	\$30,064	
Inspiration Field	Replacement Bus	Vehicle Replace	\$52,408	8.8	\$52,408	
Cripple Creek Care Center	Bus Replacement Request - 2016	Vehicle Replace	\$64,889	8.7	\$64,889	
Montrose County Senior Citizens Transportation, Inc.	Two Body on Chassis Vehicles (1 of 2 vehicles requested, both awarded)	Vehicle Replace	\$56,000	8.6	\$56,000	
Montrose County Senior Citizens Transportation, Inc. *	1 Type II BOC and 1 minivan	Vehicle Replace	\$106,400	8.5	\$106,400	
Grand County Council on Aging	One ADA Van	Vehicle Replace	\$34,000	8.3	\$34,000	
Mountain Valley Developmental Services (Garfield)	Vehicle Replacement	Vehicle Replace	\$60,000	8	\$60,000	
Johnstown Senior Center	ADA Bus Acquisition	Vehicle Replace	\$64,000	7.9	\$64,000	
Montrose County Senior Citizens Transportation, Inc.	Two Body on Chassis Vehicles (1 of 2 vehicles requested, both awarded)	Vehicle Replace	\$56,000	7.1	\$56,000	
Total					\$644,215	

<b>Table B: FTA FY16 Section 5310 Small Urbanized Capital Awards</b>						
<b>Applicant</b>	<b>Project</b>	<b>Project Type</b>	<b>2016 Request</b>	<b>Total Score</b>	<b>Recommended FY16 FTA Award</b>	
Via Mobility Services	Replace Three Body-on-Chassis Paratransit Buses (1 of 3 vehicles requested, all 3 awarded)	Vehicle Replace	\$45,200	9.5	\$45,200	
Via Mobility Services	Replace Three Body-on-Chassis Paratransit Buses (1 of 3 vehicles requested, all 3 awarded)	Vehicle Replace	\$45,200	9.5	\$45,200	
Via Mobility Services	Rebuild Three Body-on-Chassis Paratransit Buses (1 of 3 rebuilds requested, all 3 awarded)	Vehicle Rebuild	\$9,120	9.5	\$9,120	
Via Mobility Services	Replace Three Body-on-Chassis Paratransit Buses (1 of 3 vehicles requested, all 3 awarded)	Vehicle Replace	\$45,200	9	\$45,200	
Via Mobility Services	Rebuild Three Body-on-Chassis Paratransit Buses	Vehicle Rebuild	\$9,120	9	\$9,120	
Via Mobility Services	Rebuild Three Body-on-Chassis Paratransit Buses (1 of 3 rebuilds requested, all 3 awarded)	Vehicle Rebuild	\$9,120	8.5	\$9,120	
Via Mobility Services	Rebuild Three Body-on-Chassis Paratransit Buses (1 of 3 rebuilds requested, all 3 awarded)	Vehicle Rebuild	\$9,120	8	\$9,120	
Senior Resource Devt. Agency (Pueblo)	Replacement vehicle	Vehicle Replace	\$55,300	8	\$55,300	
Mesa County	Bus Replacement-FASTER 2017 (2)	Vehicle Replace	\$272,000	8	\$272,000	
Total					\$499,380	

<b>Table C: FTA FY16 Section 5310 Large Urbanized Capital Awards</b>						
<b>Applicant</b>	<b>Project</b>	<b>Project Type</b>	<b>2016 Request</b>	<b>Total Score</b>	<b>Recommended FY16 FTA Award</b>	
Seniors Resource Center (Adams)	A-Lift Fleet Replacements	Vehicle Replace	\$128,000	7.75	\$128,000	
Seniors Resource Center (Fleet)	SRC Fleet Vehicle Replacements	Vehicle Replace	\$128,000	7.5	\$120,000	
Easter Seals Colorado	BOC Replacement	Vehicle Replace	\$50,440	7	\$50,440	
Total					\$298,440	

**Table D: FTA FY16 Section 5311 Capital Awards**

Applicant	Project	Project Type	2016 Request	Total Score	Recommended FY16 FTA Award
Roaring Fork Transportation Authority (RFTA)	Replace 4 New Flyer Buses (This item is for one of the four vehicles requested. Ultimately three of the four vehicles were awarded)	Vehicle Replace	\$500,000	8.2	\$500,000
Neighbor to Neighbor Volunteers	New mini van	Vehicle Replace	\$30,400	8.05	\$30,400
Neighbor to Neighbor Volunteers	Salida van	Vehicle Replace	\$44,000	8.05	\$44,000
Neighbor to Neighbor Volunteers*	BOC Replacement	Vehicle Replace	\$84,000	8	\$84,000
Mountain Village, Town of	Cutaway Replacement	Vehicle Replace	\$64,000	8	\$64,000
City of Cripple Creek	BOC Replacements	Vehicle Replace	\$128,000	7	\$128,000
La Plata County	1 BOC Replacment (2017)	Vehicle Replace	\$64,000	7	\$64,000
SUCAP	SUCAP Equipment Truck	Equipment	\$24,800	7.33	\$24,800
Huerfanco/Las Animas Area COG	Dispatching Software	Equipment	\$20,000	6.92	\$20,000
Cripple Creek	CC Bus Shelter	Facilities	\$21,600	6.83	\$21,600
Breckenridge, Town of	Multi-modal origin-destination trip planner software	Equipment	\$52,000	6.63	\$52,000
Mountain Village, Town of	Gondola Cabin Refurbishment - Phase 3 of 6	Equipment	\$88,000	6.63	\$88,000
Steamboat Springs, City of	Bus Shelter Improvements - Steamboat Hotel	Facilities	\$78,100	6.63	\$78,100

\* Project uses FY17 FASTER as match

Total \$1,198,900

**Table E: FTA FY16 Section 5339 Rural Capital Awards**

Applicant	Project	Project Type	2016 Request	Total Score	Recommended FY16 FTA Award
Eagle County	40' Vehicle Replacement (2)	Vehicle Replace	\$344,000	8.5	\$344,000
Town of Telluride	BOC Replacement	Vehicle Replace	\$97,600	8.5	\$97,600
Town of Telluride	BOC Replacement	Vehicle Replace	\$97,600	8.5	\$97,600
Town of Telluride	Van Replacement	Vehicle Replace	\$48,000	8	\$48,000
Breckenridge, Town of	Bus Replacement	Vehicle Replace	\$768,000	7.5	\$768,000
Eagle County	Cutaway Replacement	Vehicle Replace	\$88,000	7.5	\$88,000
SUCAP	Road Runner Transit Fixed Route Bus Replacement	Vehicle Replace	\$64,370	7.5	\$64,370
Telluride, Town of	Medium, BOC Diesel Bus Replacement	Vehicle Replace	\$84,800	7.1	\$84,800
Eagle County	Large Bus Replacements (Partial award, see Table J)	Vehicle Replace	\$1,044,000	7	\$522,000

Total \$2,114,370

**Table F: FTA FY16 Section 5339 Small Urbanized Capital Awards**

Applicant	Project	Project Type	2016 Request	Total Score	Recommended FY16 FTA Award
Mesa County	Bus Replacement-5339 2016	Vehicle Replace	\$400,000	7.5	\$400,000
Greeley, City of	Fixed Route Vehicle Replacements (Unable to fund full request due to availability of funds)	Vehicle Replace	\$786,670	7.25	\$544,000
Mesa County	Mesa County CNG Fueling Equipment**	Facility	\$273,080	7.83	\$273,080
Greeley, City of	GET Maintenance Lift	Equipment	\$200,000	7.33	\$200,000

\*\*Conditional Award: Conditions include submitting a business plan that satisfies DTR and receiving DOLA funding

Total \$1,417,080

**Recommended Funding Awards for FASTER FY17: February 4, 2016**

<b>Table G: FASTER Urban Area Set-asides</b>					
Applicant	Project	Project Type	2017 Request	Total Score	Recommended FY17 FASTER Award
Regional Transportation District	19th and California Light Rail Crossing Rehab and Reconstruction	Equipment			\$2,000,000
Regional Transportation District	Light Rail Midlife Refurbishment and Overhaul (3 vehicles)	Vehicle Rebuild			\$1,000,000
Mountain Metropolitan Transit	Replacement and capitalization of up to 24 ADA paratransit vehicles	Vehicle Replace			\$700,000
Transfort	Partial match for 5 35' low emission vehicles	Vehicle Replace			\$200,000
				Total	\$3,900,000

<b>Table H: FASTER FY17 Local Pool</b>					
Applicant	Project	Project Type	2017 Request	Total Score	Recommended FY17 FASTER Award
Archuleta County	Archuleta County BOC Vehicle Request	Vehicle Replace	\$53,738	9.4	\$53,738
Winter Park, Town of	1 replacement cutaway bus	Vehicle Replace	\$80,000	9	\$80,000
Montezuma County	Vehicle Replacement	Vehicle Replace	\$57,075	9	\$57,075
Silver Key Senior Services (Colorado Springs)	BOC Replacements (2)	Vehicle Replace	\$80,000	8.75	\$80,000
El Paso Fountain Valley Senior Citizens Program	Fountain Valley Senior Center Replacement Vehicle	Vehicle Replace	\$8,800	8.6	\$8,800
Aspen, City of	BOC Replacements (4)	Vehicle Replace	\$320,000	8.5	\$320,000
Winter Park, Town of	2 replacement transit buses	Vehicle Replace	\$360,000	8.5	\$360,000
NECALG	2017 Vehicle Replacements - 2 BOCs	Vehicle Replace	\$121,600	8.5	\$121,600
Montrose County Senior Citizens Transportation, Inc. *	Match for FY16 5311 award	Vehicle Replace	\$18,720	8.5	\$18,720
Archuleta County	Archuleta County Body on Chassis Vehicle Request	Vehicle Replace	\$57,642	8.4	\$57,642
Disability Services, Inc. (Colorado Springs)	BOC Replacements (2)	Vehicle Replace	\$124,000	8.25	\$124,000
Roaring Fork Transportation Authority (RFTA)	Replace 4 New Flyer Buses (This item is for one of the four vehicles requested. Ultimately three of the four vehicles were awarded. This item is not fully funded due to funds availability)	Vehicle Replace	\$500,000	8.2	\$450,000
Winter Park, Town of	2 replacement transit buses	Vehicle Replace	\$360,000	8	\$360,000
Summit Stage	Large Bus replacements	Vehicle Replace	\$736,000	8	\$736,000
Chaffee Shuttle *	Match for FY16 5311 BOC award	Vehicle Replace	\$16,800	8	\$16,800
Aspen, City of	Large Bus Replacement	Vehicle Replace	\$360,000	8	\$360,000
Summit Stage	Replacement of four 40 foot buses (4 requested, 1 awarded due to funds availability)	Vehicle Replace	\$371,776	7.85	\$371,776
Mountain Express	Bus Replacement	Vehicle Replace	\$142,400	7.5	\$142,400
Mountain Express	Bus Replacement	Vehicle Replace	\$142,400	7.5	\$142,400
Mountain Express	Vehicle Replacement (1)	Vehicle Replace	\$137,600	7.5	\$137,600
Mesa County	GVT Replacement Vehicle	Vehicle Replace	\$72,800		\$72,800
				Total	\$4,071,351

<b>Table I: FASTER FY17 Statewide Pool</b>					
Applicant	Project	Project Type	2017 Request	Total Score	Recommended FY17 FASTER Award
Roaring Fork Transportation Authority	Replace 4 New Flyer Buses (This item is for one of the four vehicles requested. Ultimately three of the four vehicles were awarded)	Vehicle Replace	\$500,000	8.2	\$500,000
North Front Range Transportation & Air Quality Council	Vanpool Replacements 2017	Vehicle Replace	\$185,600	7.25	\$185,600
RTD	First and Last Mile Study	Planning	\$200,000	7.83	\$200,000
RTD	Mineral PnR Bridge Rehab	Facility	\$56,938	7.33	\$56,938
Roaring Fork Transportation Authority	New Castle PnR Construction	Facility	\$600,000	7	\$600,000
RTD	Thornton PnR Passenger Amenities	Facility	\$308,000	6.67	\$308,000
CDOT Region 1	CDOT Region 1 Bus on Shoulder	Planning	\$350,000	6.58	\$350,000
				Total	\$2,200,538

**Table J: Unfunded and partially-funded projects from all available programs**

Applicant	Project	Project Type	Request	Score	Rationale
Roaring Fork Transportation Authority (RFTA)	Replace 4 New Flyer Buses	Replace Vehicle	\$500,000	8.2	Partially funded application. Four vehicles were requested, three were funded. The fourth vehicle was not funded due to equity considerations and limited funding availability.
Summit County (Summit Stage)	Replacement of four 40 foot buses	Replace Vehicle	\$1,115,328	7.85	Partially funded application. Four vehicles were requested, one was funded. The three vehicles were not funded due to equity considerations and limited funding availability.
Eagle County	Large Bus Replacements	Replace Vehicle	\$522,000	7	One vehicle funded in full, partial funding available for second vehicle.
Eagle County	ECO Transit Vehicle Replacement	Replace Vehicle	\$348,000	6.95	Low score relative to other replacement vehicle requests. Limited funding availability.
Seniors Resource Center (Fleet)*	Vehicle Replacements	Replace Vehicle	\$74,000	6.5	While this project received a preliminary award last year, CDOT received applications this year with projects that scored higher. Because of limited funding availability this preliminary project will not be finalized.
Eagle County	ECO Transit Vehicle Replacement	Replace Vehicle	\$1,392,000	6.45	Low score relative to other replacement vehicle requests. Limited funding availability.
Dolores County Senior Services*	BOC Replacement	Replace Vehicle	\$51,120	6	While this project received a preliminary award last year, CDOT received applications this year with projects that scored higher. Because of limited funding availability this preliminary project will not be finalized.
Snowmass Village, Town of*	Van replacements (4)	Replace Vehicle	\$200,000	6	While this project received a preliminary award last year, CDOT received applications this year with projects that scored higher. Because of limited funding availability this preliminary project will not be finalized.
Greeley, City of	GET Regional Transportation Center	Facility	\$1,200,000	7.5	Request amount too large relative to amount available. With a revised cost estimate, this strategic project may be appropriate for other funding sources such as SB1 or SB228.
Summit Stage	Summit Stage Bus Shelter	Facility	\$158,800	6.5	Low score. Limited funding availability.
RTD	Mineral PnR Overflow	Facility	\$1,664,617	6.5	Low score. Limited funding availability.
Teller Senior Coalition*	Expansion Vehicle	Vehicle Expansion	\$52,000	6.4	Low score. Expansion vehicles not a priority at this time. Limited funding availability.
Steamboat Springs, City of*	GPS Phase III	Equipment	\$122,330	6.38	Low score. Limited funding availability.
Roaring Fork	AMF Underground Fuel Storage	Equipment	\$500,000	6.17	Low score. Limited funding availability.
Cripple Creek	CC Routing Software	Equipment	\$40,000	6.17	Low score. Concern that implementation plan is unrealistic and didn't quantify benefits.
Archuleta County	Archuleta County Bus Parking	Facility	\$44,000	6.17	Insufficient justification for project's benefits. Cost estimates seemed low.
Arvada	Arvada Sidewalk Gap Improvement	Facility	\$168,136	6.08	Low score. Project has other funding options including local or developer funds per Arvada development code. Encourage the City to work with RTD to apply for and provide better access to transit stops.
Augustana Care	Augustana Care	Vehicle Expansion	\$53,987	6	Low score. The application didn't present a compelling case that the project is needed.
vRide	vRide	Vehicle Expansion	\$48,052	5.92	Project is more suited for an operating grant which may be applied for in the spring.
RTD	Lafayette PnR Realignment	Facility	\$796,028	5.83	Low score. Project readiness in question. Large funding request relative to the available funding.
Cripple Creek	CC Bus Storage and Operations	Facility	\$748,000	5.75	Hesitation to fund a project that is at conceptual level of design.
Seniors Resource Center*	Clear Creek County Expansion	Vehicle Expansion	\$64,000	5.75	Expansion vehicles not a priority at this time. Low score. Limited funding availability.
Boulder County	Boulder County US 287	Planning	\$200,000	5.58	Low score. Other planning funds administered by DRCOG may be a more appropriate funding source for this project.
Boulder City	Table Mesa Transit Access Path	Facility	\$514,111	5.25	Low score. Limited funding availability. Not a priority project.
Estes Park	Estes Park Visitory Center Parking	Facility	\$997,149	5.08	Low score due to limited transit utility. Concerns persist around funding for a parking structure that has limited reserved transit patron parking relative to that that is open to the general public for extended parking.
Town of Avon*	Bus Stop Shelter Replacement	Facility	\$125,000	5	Low score. Limited funding availability.
Arvada	Arvada Transit Circulator Study	Planning	\$200,000	4.83	No evident coordination with regional transit provider. Other planning funds administered by DRCOG may be a more appropriate source of funding for this project.

\*Indicates the project received a preliminary award last year

\$11,898,658

# TRANSPORTATION ACRONYM GUIDE

3P Public Private Partnership #  
4P Project Priority Planning Process  
7th Pot CDOT's Strategic Investment Program and projects - utilizing S.B. 97-01 funds

AASHTO American Association of State Highway and Transportation Officials A  
ACEC American Council of Engineering Companies of Colorado  
ACP Access Control Plan  
ACPA American Concrete and Paving Association  
ADA Americans with Disabilities Act  
ADT Average Daily Traffic (7 days)  
AG Attorney General  
AIMS Asset Investment Management System  
AMP Access Management Plan  
APCC Air Pollution Control Commission  
APCD Air Pollution Control Division  
APTA American Public Transportation Association  
ARC Audit Review Committee  
ARRA American Recovery and Reinvestment Act  
ARTBA American Road and Transportation Builder Association  
AWOS Automated Weather Observation System

BAC Blood Alcohol Level  
BAMS Bid Analysis Management System  
BE Bridge Enterprise - part of the FASTER program B  
BMP Best Management Practice  
BMS Bridge Management System  
BRT Bus Rapid Transit

CASTA Colorado Association of State Transit Agencies  
CCA Colorado Contractors Association  
CCI Colorado Counties Incorporated  
CDC Construction Development Center  
CDC Capital Development Committee - The State Legislative Committee which  
approves specific funding for the CDOT and transportation projects  
CDL Commercial Drivers License  
CDOT Colorado Department of Transportation  
CE Categorical Exclusions (or Cat Ex)  
CFR Code of Federal Regulations  
CFR TPR Central Front Range Transportation Planning Region  
CMAQ Congestion Mitigation and Air Quality Program  
CMCA Colorado Motor Carriers Association  
CMGC Construction Management General Contractor - an integrated approach to  
planning, design and construction of highway projects  
CML Colorado Municipal League  
CMO Contract Modification Order  
CO Carbon Monoxide  
COFRS Colorado Financial Reporting System  
COG Council of Governments

**COP** Certificate of Participation  
**COSMIX** Colorado Springs Metro Interstate Expansion  
**COTRIP** Colorado Transportation Resource and Information Partnership  
**CRHRS** Colorado Rockfall Hazard Rating System  
**CRS** Colorado Revised Statutes  
**CSP** Colorado State Patrol  
**CTE** Colorado Tolling Enterprise (replaced by HPTE)  
**CVO** Commercial Vehicle Operations

**DBE** Disadvantaged Business Enterprise  
**DEIS** Draft Environmental Impact Statement  
**DIA** Denver International Airport  
**DRCOG** Denver Regional Council of Governments  
**DTD** Division of Transportation Development within CDOT (Planning)  
**DUI** Driving Under the Influence  
**DUS** Denver Union Station  
**DWAI** Driving While Ability Impaired

**D**

**EA** Environmental Assessment  
**EIS** Environmental Impact Statement  
**EJ** Environmental Justice  
**EJMT** Eisenhower Johnson Memorial Tunnel  
**EMT** Executive Management Team (CDOT)  
**EO** Executive Order  
**EOC** Emergency Operations Center  
**ERP** Enterprise Resource Planning  
**ESB** Emerging Small Business  
**ETPR** Eastern Transportation Planning Region

**E**

**FAA** Federal Aviation Administration  
**FASTER** Funding Advancements for Surface Transportation and Economic Recovery | Senate Bill 09-108  
**FasTracks** 2004 RTD Ballot Initiative  
**FEIS** Final Environmental Impact Statement  
**FEDL** Federal Lands dollars  
**FHWA** Federal Highway Administration  
**FMCS** Fleet Management and Control Systems  
**FONSI** Finding of No Significant Impact  
**FRA** Federal Railroad Administration  
**FTA** Federal Transit Administration  
**FTE** Full Time Employee  
**FY** Fiscal Year

**F**

**GFE** Good Faith Effort  
**GIS** Geographic Information Systems  
**GUI** Graphical User Interface  
**GVT** Grand Valley Transit  
**GV TPR** Gunnison Valley Transportation Planning Region

**G**

**H**

**HAZMAT** Hazardous Materials  
**HI** Hazard Index  
**HLT** Hanging Lake Tunnel  
**HOT** High-Occupancy Toll  
**HOV** High-Occupancy Vehicle  
**HPTE** High Performance Transportation Enterprise  
**HSR** High Speed Rail  
**HTF** Highway Trust Fund (federal)  
**HUTF** Highway Users Tax Fund (state)

**IBTTA** International Bridge Tunnel and Turnpike Association  
**IG** Inspector General (federal)  
**IGA** Intergovernmental Agreement  
**IM** Interstate Maintenance  
**IM TPR** Intermountain Transportation Planning Region  
**ISTEA** Intermodal Surface Transportation Efficiency Act of 1991  
**IT** Information Technology  
**IT-ITS** Information Technology-Intelligent Transportation System Committee  
**ITS** Intelligent Transportation Systems  
**JBC** Joint Budget Committee (Colorado General Assembly)

**LEAF** Law Enforcement Assistance Fund  
**LEV** Low Emissions Vehicle  
**LOS** Level of Service  
**LRP** Long-Range Plan  
**LRT** Light Rail Transit

**MAP-21** Moving Ahead for Progress in the 21st Century - Current Federal Transportation Bill through 9/31/2014  
**MBE** Minority Business Enterprise  
**MIS** Major Investment Study  
**MLOS** Maintenance Level of Service  
**MOA** Memorandum of Agreement  
**MOST** Motorcycle Operator's Safety Training Fund  
**MOU** Memorandum of Understanding  
**MP** Mile Post  
**MPA** Maintenance Program Area  
**MPO** Metropolitan Planning Organization  
**MSA** Metropolitan Statistical Area  
**MVIC** Metro Vision Issues Committee (DRCOG)

**NAAQS** National Ambient Air Quality Standards  
**NARC** National Association of Regional Councils  
**NCHRP** National Cooperating Highway Research Program  
**NEPA** National Environmental Policy Act of 1969  
NEPA Documents:

**Cat Ex** Categorical Exclusion  
**EA** Environmental Assessment

**EIS Environmental Impact Statement**  
**FONSI Finding of no Significant Impact**

**ROD** Record of Decision  
**NFR AP&CD** North Front Range Air Pollution & Control District  
**NFRMPO** North Front Range Metropolitan Planning Organization  
**NHI** National Highway Institute  
**NHPP** National Highway Performance Program  
**NHS** National Highway System  
**NHTSA** National Highway Traffic Safety Administration  
**NPRM** Notice of Proposed Rule Making  
**NPS** Non-Project Specific  
**NWCCOG** Northwest Colorado Council of Governments  
**NW TPR** Northwest Transportation Planning Region

**O&D** Origin and Destination (survey)  
**O&M** Operations and Maintenance  
**OFMB** Office of Financial, Management and Budget (CDOT)  
**OIG** Office of the Inspector General  
**OJT** On-the-Job Training  
**OSHA** Occupational Safety and Health Association  
**OSPB** Office of State Planning and Budgeting (Governor's Office)  
**OTS** Office of Transportation Safety  
**OTiS** Online Transportation Information System

**PACOG** Pueblo Area Council of Governments  
**PE** Preliminary Engineering  
**PEIS** Programmatic Environmental Impact Statement  
**PL** Public Law  
**PLH** Public Land Highways  
**PM10** Particulate Matter Less than 10 Micron Size  
**PMP** Pavement Management Program  
**PMS** Pavement Management System  
**POE** Port-of-Entry  
**PPACG** Pikes Peak Area Council of Governments  
**PPI** Public/Private Initiative Program  
**PPPP** Project Priority Programming Process (4P)  
**ProMIS** Program Management Information System  
**PS&E** Plans, Specifics, and Estimate  
**PSI** Pavement Serviceability Index

**RAMP** Responsible Acceleration of Maintenance and Partnerships  
**RAQC** Regional Air Quality Council (Denver)  
**RFP** Request for Proposal  
**ROD** Record of Decision  
**ROW** Right-of-Way  
**RPC** Regional Planning Commission

O

P

R

RPP Regional Priority Program  
RSL Remaining Surface Life (of road)  
RTA Regional Transportation Authority  
RTD Regional Transportation District (Denver's mass transit operator)  
RTD Regional Transportation Director (CDOT Engineering Region Director)  
RTP Regional Transportation Plan  
RWIS Road Weather Information System

SAFETEA-LU Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users

SAP Manufacturer of CDOT's enterprise resource planning software that manages operational and financial activities of the Department.

SC TPR South Central Transportation Planning Region

SE TPR Southeast Transportation Planning Region

SH State Highway

SHPO State Historical Preservation Officer

SHRP Strategic Highway Research Program

SIB State Infrastructure Bank

SIP State Implementation Plan (plan for attaining air quality compliance)

SLV TPR San Luis Valley Transportation Planning Region

SOV Single-Occupancy Vehicle

SP Strategic Projects, aka 7th Pot - CDOT's Strategic Investment Program and projects

STAC Statewide Transportation Advisory Committee

STE Surface Transportation Program- Enhancements

STF Surface Transportation Program- Flexible

STIP State Transportation Improvement Program

STP-Metro Surface Transportation Program- Metro - a federal funding program for metro Areas

SUR Surface Treatment Pool

SWP Statewide Plan

TABOR Taxpayer's Bill of Rights

TAC Technical Advisory Committee

TAMS Transportation Asset Management System

TAP Transportation Alternatives Program

TAZ Traffic Analysis Zone

TC Transportation Commission (CDOT)

TDM Transportation Demand Management

TEA-21 Transportation Equity Act for the 21<sup>st</sup> Century

TIFIA Transportation Infrastructure Finance and Innovation Act of 1998

TIGER Transportation Investment Generating Economic Recovery

TIP Transportation Improvement Program

TLRC Transportation Legislation Review Committee

TMA Transportation Management Area

TMO Transportation Management Organization

TOC Traffic Operations Center (CDOT)

TOD Transit-Oriented Development

TODS Tourist Oriented Directional Signs

TPR Transportation Planning Region

**There are 15 in the State**

**PP** Pikes Peak Area Council of Governments

**DR** Denver Regional Council of Governments

**NF** North Front Range MPO

**PB** Pueblo Area Council of Governments

**GJ** Grand Valley MPO (Grand Junction/Mesa County)

**EA** Eastern

**SE** Southeast

**SL** San Luis Valley

**GV** Gunnison Valley

**SW** Southwest

**IN** Intermountain

**NW** Northwest

**UF** Upper Front Range

**CF** Central Front Range

**SC** South Central

**TRANS** Transportation Revenue Anticipation Notes

**TRB** Transportation Research Board

**T-REX** Transportation Expansion Project in Southeast Denver

**TRIP** Transportation Resource Information Partnership

**UFR TPR** Upper Front Range Transportation Planning Region

**UGB** Urban Growth Boundary

**UPWP** Unified Planning Work Program

**USACE** United States Army Corp of Engineers (also see COE)

**USC** United States Code

**USDOT** United States Department of Transportation

**V/C** Volume Capacity Ratio

**VMS** Variable Message Sign

**VMT** Vehicle Miles Traveled

**VO** Vehicle Occupancy

**VOC** Volatile Organic Compound

**VPD** Vehicles Per Day

**WASHTO** Western Association of State Highway and Transportation Officials

**WBE** Women-Owned Business Enterprise

**WIM** Weigh In Motion

**WTS** Women in Transportation Seminar

U

V

W